



Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

Commission Chair
Supervisor Scott Haggerty, District 1

Commission Vice Chair
Councilmember Rebecca Kaplan,
City of Oakland

AC Transit
Director Elsa Ortiz

Alameda County
Supervisor Richard Valle, District 2
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
Supervisor Keith Carson, District 5

BART
Director Thomas Blalock

City of Alameda
Mayor Marie Gilmore

City of Albany
Mayor Peggy Thomsen

City of Berkeley
Councilmember Laurie Capitelli

City of Dublin
Mayor Tim Sbranti

City of Emeryville
Councilmember Ruth Atkin

City of Fremont
Mayor William Harrison

City of Hayward
Councilmember Marvin Peixoto

City of Livermore
Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Vice Mayor Larry Reid

City of Piedmont
Mayor John Chiang

City of Pleasanton
Mayor Jerry Thome

City of San Leandro
Vice Mayor Michael Gregory

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

Programs and Projects Committee

Monday, January 13, 2014, 12:00 p.m.*

*Or immediately following the Planning, Policy and Legislation meeting

**1111 Broadway, Suite 800
Oakland, CA 94607**

Mission Statement

The mission of the Alameda County Transportation Commission (Alameda CTC) is to plan, fund and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County.

Public Comments

Public comments are limited to 3 minutes. Items not on the agenda are covered during the Public Comment section of the meeting, and items specific to an agenda item are covered during that agenda item discussion. If you wish to make a comment, fill out a speaker card, hand it to the clerk of the Commission, and wait until the chair calls your name. When you are summoned, come to the microphone and give your name and comment.

Reminder

Please turn off your cell phones during the meeting. Please do not wear scented products so individuals with environmental sensitivities may attend the meeting.

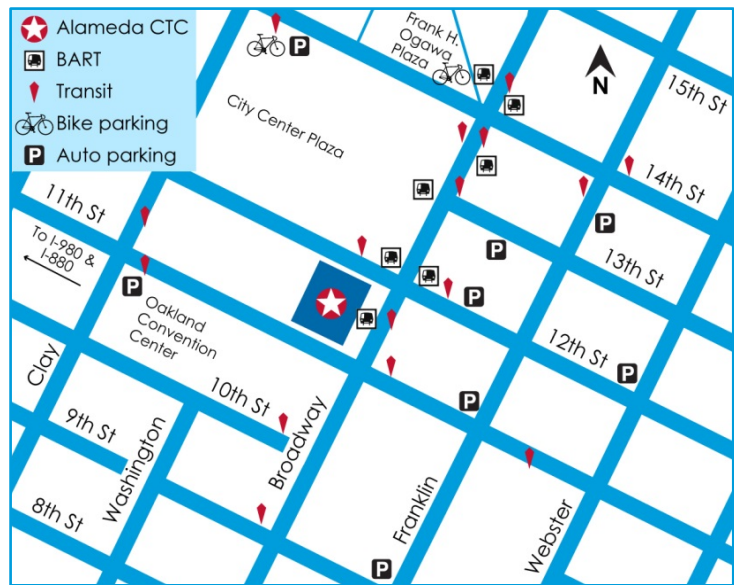
Glossary of Acronyms

A glossary that includes frequently used acronyms is available on the Alameda CTC website at www.AlamedaCTC.org/app_pages/view/8081.

Location Map

★ Alameda CTC
1111 Broadway, Suite 800
Oakland, CA 94607

Alameda CTC is accessible by multiple transportation modes. The office is conveniently located near the 12th Street/City Center BART station and many AC Transit bus lines. Bicycle parking is available on the street and in the BART station as well as in electronic lockers at 14th Street and Broadway near Frank Ogawa Plaza (requires purchase of key card from bikelink.org).



Garage parking is located beneath City Center, accessible via entrances on 14th Street between 1300 Clay Street and 505 14th Street buildings, or via 11th Street just past Clay Street. To plan your trip to Alameda CTC visit www.511.org.

Accessibility

Public meetings at Alameda CTC are wheelchair accessible under the Americans with Disabilities Act. Guide and assistance dogs are welcome. Call 510-893-3347 (Voice) or 510-834-6754 (TTD) five days in advance to request a sign-language interpreter.



Meeting Schedule

The Alameda CTC meeting calendar lists all public meetings and is available at www.AlamedaCTC.org/events/upcoming/now.

Paperless Policy

On March 28, 2013, the Alameda CTC Commission approved the implementation of paperless meeting packet distribution. Hard copies are available by request only. Agendas and all accompanying staff reports are available electronically on the Alameda CTC website at www.AlamedaCTC.org/events/month/now.

Connect with Alameda CTC

www.AlamedaCTC.org



facebook.com/AlamedaCTC

[@AlamedaCTC](https://twitter.com/AlamedaCTC)

youtube.com/user/AlamedaCTC



Programs and Projects Committee Meeting Agenda Monday, January 13, 2014, 12 p.m.*

*Or immediately following the Planning, Policy and Legislation Committee meeting

1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

1. Pledge of Allegiance

2. Roll Call

3. Public Comment

Chair: Vice Mayor Larry Reid, City of Oakland

Vice Chair: Councilmember Suzanne Chan, City of Fremont

Commissioners: Ruth Atkin, Laurie Capitelli, Carol Dutra-Vernaci, Luis Freitas, Nate Miley

Ex-Officio Members: Scott Haggerty, Rebecca Kaplan

Executive Director: Arthur L. Dao

Clerk: Vanessa Lee

4. Consent Calendar

Page A/I

4.1. [November 4, 2013 PPC Meeting Minutes](#)

1 A

Recommendation: Approve the November 4, 2013 meeting minutes

4.2. [California Transportation Commission December 2013 Meeting Summary](#)

5 I

5. Programs

5.1. [Alameda CTC At Risk Monitoring Reports](#)

11 A

Recommendation: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) At Risk monitoring reports dated December 31, 2013.

5.2. [Alameda County Freeway Soundwall Policy](#)

41 A

Recommendation: Approve revisions to the Alameda County Freeway Soundwall Policy.

5.3. [Vehicle Registration Fee \(VRF\): Status of Technology Program](#)

47 I

5.4. [Vehicle Registration Fee \(VRF\): Local Transportation Technology Program Policy](#)

53 A

Recommendation: Approve the Policy for administration of the VRF Local Transportation Technology Program as a direct local distribution program.

5.5. [Cap and Trade Program Update](#)

57 I

5.6. [Revised Implementation Guidelines For The Special Transportation For Seniors and People With Disabilities Program](#)

67 A

Recommendation: Approve two revisions to the Implementation Guidelines for the Special Transportation for Seniors and People

with Disabilities Program.

- 5.7. [Proposition 1B Transit System Safety, Security and Disaster Response Account \(TSSSDRA\) Funds](#) 77 A

Recommendation: (1) Adopt Resolution 14-001 which authorizes the execution of Grant Assurance documents for the TSSSDRA Program and appoints the Executive Director or designee as the Alameda CTC's authorized agent, to execute the Grant Assurances, grant applications, funding agreements, reports or any other documents necessary for project funding and TSSSDRA program compliance. (2) Authorize the Executive Director, or his designee, to submit project applications requesting allocations for FY 2013/14 TSSSDRA funds.

- 5.8. Measure B Reauthorization Update (Verbal) I

6. Projects

- 6.1. [I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes Project\(PN 720.5\): Cooperative Agreement with Caltrans](#) 89 A

Recommendation: Approve the Cooperative Agreement (District Agreement No. 04-2467) with Caltrans to satisfy offsite compensatory mitigation requirements for the I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes Project required by project permits.

- 6.2. [State Route 84 Corridor Widening Projects: Agreements with the City of Livermore for Transfer of Tri-Valley Transportation Development Fee Funds](#) 103 A

Recommendation: Authorize the Executive Director to enter into Agreements with the City of Livermore to transfer Tri-Valley Transportation Development Fee Funds to the State Route 84 Corridor Widening Projects.

- 6.3. [Route 84 Expressway Project - North and South Segments \(PN 624.1 & 624.2\) and Isabel Avenue - Route 84/I-580 Interchange \(PN 623.0\):](#) 113 A

Agreement with the City of Livermore for Utility Relocation along the Route 84 Expressway Project and an Amendment to the Project Specific Funding Agreement No. A07-0058 with the City of Livermore for the Isabel Avenue – Route 84/I-580 Interchange Project

Recommendation: (1) Authorize the Executive Director to enter into an Agreement with the City of Livermore for Utility Relocation along the Route 84 Expressway Project - North and South Segments (PN 624.1 & 624.2) and (2) Amend the Project Specific Funding Agreement No. A07-0058 for the Isabel Avenue – Route 84/I-580 Interchange Project (PN 623.0).

- 6.4. [Various Projects: Amendments to Professional Services and Project Specific Funding Agreements for Time Extensions](#) 123 A

Recommendation: Approve time extensions and authorize the Executive Director to execute amendments for requested time extensions to Professional Services and Project Specific Funding Agreements in support of the Alameda CTC's Capital Projects and Program delivery commitments.

- 6.5. [Regional Measure 2: Project No. 29 Savings Plan](#) 127 A

Recommendation: (1) Approve distribution of Regional Measure 2 Project No. 29 funds savings to the I-880 23rd 29th Avenue and AC Transit's Bus Rapid Transit (BRT) projects and (2) Authorize the Executive Director, or his designee, to negotiate and execute all necessary agreements and contracts for the allocation and use of RM2 funds to deliver the I-880 23rd 29th Avenue project.

7. Adjournment

Next Meeting: February 3, 2014

All items on the agenda are subject to action and/or change by the Commission.

This page intentionally left blank



Programs and Projects Committee Meeting Minutes Monday, November 4, 2013, 12 p.m.

4.1

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

1. Pledge of Allegiance

2. Roll Call

A roll call was conducted and a quorum was confirmed.

3. Public Comment

There were no public comments.

4. Consent Calendar

4.1. October 14, 2013 PPC Meeting Minutes

Commissioner Haggerty motioned to approve the consent calendar. Commissioner Atkin seconded the motion. The motion passed unanimously.

5. Programs

5.1. Revised State Transportation Improvement Program (STIP) Fund Estimate

Stewart Ng recommended that the Commission approve the Revised 2014 Regional Transportation Improvement Program (RTIP) based on the Revised STIP Fund Estimate, and approve exchange of 2014 STIP funds. He stated that the exchange proposal is in alignment with the STIP approved by the Commission in September and approving the item would allow an exchange of STIP funding and Measure B funds to consolidate STIP funding from three projects into the I-880 to Mission Blvd. East-West Connector project.

The City of Fremont and the City of Union City stating requested assurances that they would not be affected by the exchange. Stewart stated staff would memorialize the commitment in writing.

Commissioner Kaplan motioned to approve the item with amendments to have assurances added for Fremont and Union City. Commissioner Dutra-Vernaci seconded the motion. The motion passed unanimously.

5.2. Safe Routes to Schools Annual Update

Arun Goel provided an update on the Safe Routes to School program. He updated the committee on the programs growth, provided a 2012/13 school year summary, and updated the committee on the school selection process and program delivery. Arun also covered program activities and increased participation trends including participating in the international walk day, golden sneaker contest, carpool to school day and bike to school day. Arun covered success stories in the program and top performing schools, as well as mode splits and trends. He concluded by reviewing the look ahead goals for the program.

Commissioner Miley wanted to know if the overall goal was to have the program in every school in the county. Arun stated that the intention is for continuous program expansion throughout the county.

Commissioner Miley wanted more information on the high school component of the program. Arun stated that the high school program is more hands-on and usually uses a club-based or leadership program. The high school program varies significantly from the middle and elementary school programs.

Commissioner Miley requested more information on safety education. Arun stated that safety education is done extensively at the elementary and middle school level through the puppet show and rodeos. Safety education is also addressed in the high-school program.

Commissioner Haggerty wanted to know why the BikeMobile "fix-it" is not being fully utilized. Arun stated that staff is looking into being able to accommodate more requests.

This Item was for information only.

5.3. Transportation Expenditure Plan Update (Verbal)

Tess Lengyel provided an update on the Transportation Expenditure Plan (TEP). She stated that the Commission and members of the TEP ad-hoc and steering committee had been working on the plan since July. She updated the committee on polling results and stated that the Commission approved bringing the TEP to voters in November 2014.

This item was for information only.

6. Projects

6.1. I-580 Express Lanes Project (PN 720.4/724.1) Outreach and Education Plan: Issuance of Request for Proposals for Public Outreach and Education Services

Tess Lengyel recommended that the Commission authorize the release of a Request for Proposals (RFP) for implementation of a Public Outreach and Education Plan for the I-580 Express Lanes and authorize the Executive Director, or a designee of the Executive Director, to negotiate and execute one or more professional services agreements with consultants or consultant teams selected as a result of the RFP process in accordance with procurement procedures. Tess stated that development of the lanes is underway and that education is a key component for use of the lane. Education and outreach for the lanes will be a 18-month process that will educate users on how to safely use the lanes. She concluded by stating that a draft education plan has been developed for implementation.

Commissioner Kaplan requested more information on how the lanes will be utilized.

Tess stated that there will be two express lanes for the most part in the eastbound direction and a single express lane in the westbound direction. Zone tolling will be implemented with signs placed strategically to publish toll rates to be charged. There will be no toll booth, therefore any need to stop and the toll charges will be collected through electronic toll collection, utilizing transponders. Subject to legislation, HOV users will have to carry switchable transponders to facilitate enforcement.

Commissioner Atkin wanted to make sure mechanisms are in place to avert speeding, when using the lane. Art Dao stated that the design includes enforcement options, including CHP enforcement to deter speeding.

Commissioner Dutra-Vernaci questioned if a user will be charged twice for re-entering the lane. Kanda Raj stated that zone based tolling will be enforced that means a flat rate will be applied for travel within a zone. However, depending on where they re-enter within a zone and the time elapsed in-between the entries, there is a possibility that a user can be charged twice.

Commissioner Kaplan motioned to approve the item. Commissioner Chan seconded the motion. The motion passed unanimously.

7. Committee Member Reports

There were no committee member reports.

8. Staff Reports

There were no staff reports.

9. Adjournment/ Next Meeting

The meeting adjourned at 12:45 p.m. The next meeting is:

Date/Time: Monday, January 13, 2014 @12:00 p.m.

Location: Alameda CTC Offices, 1111 Broadway, Suite 800, Oakland, CA 94607

Attested by:



Vanessa Lee,
Clerk of the Commission

This page intentionally left blank



Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: California Transportation Commission December 2013 Meeting Summary

RECOMMENDATION: Receive an update on the December 2013 CTC Meeting.

Summary

The December 2013 California Transportation Commission (CTC) meeting was held at Riverside, CA. Detailed below is a summary of the three(3) agenda items of significance pertaining to Projects/Programs within Alameda County that were considered at the December 2013 CTC meeting (Attachment A).

Background

The California Transportation Commission is responsible for programming and allocating funds for the construction of highway, passenger rail, and transit improvements throughout California. The CTC consists of eleven voting members and two non-voting ex-officio members. The San Francisco Bay Area has three (3) CTC members residing in its geographic area: Bob Alvarado, Jim Ghielmetti and Carl Guardino.

Detailed below is a summary of the three (3) agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the December 2013 CTC meeting.

1. 2014 Active Transportation Program Update and Fund Estimate

On September 26, 2013 the Governor signed legislation creating the Active Transportation Program (Senate Bill 99, Chapter 359 and Assembly Bill 101, Chapter 354). This legislation required the CTC, in consultation with an Active Transportation Program Workgroup, to develop program guidelines by March 26, 2014.

As a first step in the development of guidelines, Commission staff conducted a series of workgroup meetings, open to the public, to solicit input on key issues. Having gathered this input, staff developed the preliminary draft guidelines as a basis for continuing workgroup discussions.

The schedule for the development of the Active Transportation Program guidelines is proposed to include:

Workgroup and subgroup meetings	December 2013 – mid January
Guidelines hearing, South	January 23, 2014
Guidelines hearing, North	January 29, 2014
Guidelines to the Joint Legislative Budget Committee	February 3, 2104
Commission adopts Guidelines	March 20, 2014

The CTC also approved the 2014 Active Transportation Program (ATP) Fund Estimate. The new ATP will divide approximately \$120 million for active transportation projects between the state and regions subject to guidelines that will be adopted by the Commission. This replaces the current system of small-dedicated grant programs, which fund programs like Safe Routes to Schools, bicycle programs, and recreational trails. The intent of combining this funding is to improve flexibility and reduce the administrative burden of having several small independent grant programs.

Outcome: Approximately \$10 million ATP funds are estimated to be available for MTC Region; Alameda County share will be determined through MTC's Regional process.

2. State Highway Operation and Protection Program/Proposition 1B Trade Corridor Improvement Fund (SHOPP-TCIF) / I-580 Eastbound Truck Climbing Lane Project

The CTC approved de-allocation of \$10.1 million in Proposition 1B SHOPP-TCIF Program funds from the construction phase of the I-580 EB Truck Climbing Lane Project due to elements not attributed to the SHOPP-TCIF approved scope of work. The non-SHOPP-TCIF project elements will be delivered with alternative fund sources by Caltrans.

Outcome: The construction capital allocation will reduce to \$31.6 million.

3. Proposition 1B Local Bridge Seismic Retrofit Account (LBSRA)

The CTC allocated approximately \$2.1 million LBSRA funds for 2 projects in Alameda County.

Outcome: Allocation will provide \$1.7 million for the construction phase of City of Oakland's Embarcadero Street Bridge Project (over Lake Merritt Canal) and \$460,000 for the construction phase of City of Fremont's Niles Blvd Bridge Project (over BART, UPRR, & BNSF Railroad).

Fiscal Impact: There is no fiscal impact.

Attachments

- A. December 2013 CTC Meeting summary for Alameda County Project / Programs

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

This page intentionally left blank

December 2013 CTC Summary for Alameda County Projects/ Programs

Sponsor	Program / Project	Item Description	CTC Action / Discussion
Caltrans	2014 Active Transportation Program (ATP)	CTC staff presented the 2014 ATP Fund Estimate and draft program guidelines.	Approved
Caltrans	State Highway Operation and Protection Program/Proposition 1B Trade Corridor Improvement Fund (SHOPP-TCIF) / I-580 Eastbound Truck Climbing Lane Project	De-allocation of \$10.1 Million in Proposition 1B SHOPP-TCIF Program funds from construction phase of I-580 EB Truck climbing lane project due to elements not attributed to the SHOPP-TCIF approved scope of work. The non-SHOPP-TCIF project elements will be delivered with alternative fund sources by Caltrans.	Approved
Caltrans	Proposition 1B Local Bridge Seismic Retrofit Account (LBSRA)	\$1.7 Million for construction phase of City of Oakland's Embarcadero Street Bridge Project (over Lake Merritt Canal) and \$460K for construction phase of City of Fremont's Niles Blvd Bridge Project (over BART, UPRR, & BNSF Railroad)	Approved

http://www.dot.ca.gov/hq/transprog/ctcbooks/2013/1213/00_ETA.pdf

This page intentionally left blank



Memorandum

5.1

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Alameda CTC At Risk Monitoring Reports

RECOMMENDATION: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) At Risk monitoring reports dated December 31, 2013.

Summary

The Alameda CTC monitors the projects programmed with State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) County Program Manager funds for compliance with the respective program requirements and provides periodic updates to the Commission. The attached At Risk reports are dated December 31, 2013.

Background

Project sponsors are responsible for meeting the milestone deadlines associated with each of the monitored fund sources. The At Risk reports assign projects to zones of risk based on the status of the monitored activities at the time of the report date. Red zone projects are considered at a relatively high risk of non-compliance with the requirements, Yellow zone projects at moderate risk, and Green zone projects at low risk. The durations included in the criteria are intended to provide adequate time for project sponsors to perform the required activities to meet the deadline(s). A project may have multiple activities that indicate multiple zones of risk. Projects with multiple risk factors are listed in the zone of higher risk.

The STIP and STP/CMAQ reports are based on information provided to the Alameda CTC's project monitoring team by project sponsors as well as information made available by other funding agencies such as the Metropolitan Transportation Commission (MTC) and Caltrans Local Assistance. The Alameda CTC requests project sponsors provide copies of certain documents related to the required activities to verify that the deadlines have been met. The requested documentation may include copies of material submitted by the sponsor to agencies such as MTC, Caltrans and the California Transportation Commission (CTC). The TFCA report is based on status information on file with the Alameda CTC.

STIP At Risk Report

The attached STIP At Risk report (Attachment A) includes projects monitored for compliance with the STIP "Timely Use of Funds" provisions. The criteria for determining the project zones are listed near the end of the report. The risk zone associated with each risk factor is indicated in the tables following the report. Note that for the STIP "Complete Expenditures" deadline, sponsors are to provide documentation supported by their accounting department as proof that the deadline has been met.

STP/CMAQ At Risk Report

The attached STP/CMAQ At Risk report (Attachment B) includes locally-sponsored, federally-funded projects monitored for compliance with the requirements set forth in MTC's Regional Project Delivery Policy (MTC Resolution 3606, revised July 23, 2008). Appendix B of the report provides the Resolution 3606 deadlines associated with each of the required activities. Sponsors of STP/CMAQ projects are requested to note the following:

- For projects programmed in federal fiscal year (FFY) 2013/14, the deadline to submit a request for authorization (RFA) is February 1, 2014 and the deadline to obligate funding (receive E-76 or FTA transfer) is April 30, 2014.
- Projects in the three local federal Safety Programs: Highway Safety Improvement Program (HSIP), High Risk Rural Roads Program (HR3), and Safe Routes to School Program (SRTS) have been added to the STP/CMAQ report. As of November 2010, MTC has been enforcing the provisions of MTC Resolution 3606 for all local safety programs. Per MTC, sponsors with local safety funds not obligated by the deadline are ineligible for future programming.
- The deadline for submitting the environmental package one year in advance of the obligation deadline for right of way or construction capital funding is tracked and reported, but is not affiliated with a zone of risk.
- MTC will be revising Resolution 3606 in early 2014. Once approved, all projects will be subject to the revised provisions and associated deadlines, with the following exception: for the revised RFA and E-76 deadlines, FFY 2015/16 is proposed to be the transitional year for the revised (earlier) dates.

TFCA At Risk Report

The attached TFCA TUF report (Attachment C) includes active and recently completed projects programmed with Alameda County TFCA Program Manager funds and monitored for TFCA program compliance. In this report, twenty projects are in the Red zone with required activities due within four months (of the report date of December 31, 2013). Of these, fourteen are in the Red zone for unexecuted funding agreements. There are two projects in the yellow zone for activities due within seven months and seven projects in the Green zone with required activities that are not due for eight months or

more. The nine recently completed projects listed at the end of the report have met the monitored requirements and will be removed from future reports.

Next steps

The next reporting cycle is anticipated late spring 2014.

Fiscal Impact

There is no fiscal impact.

Attachments

- A. STIP At Risk Report, dated December 31, 2013
- B. STP/CMAQ At Risk Report, dated December 31, 2013
- C. TFCA At Risk Report, dated December 31, 2013

Staff Contacts

[Matt Todd](#), Principal Transportation Engineer

[James O'Brien](#), Project Controls Team

[Jacki Taylor](#), Program Analyst

This page intentionally left blank

STIP At Risk Report
STIP-RIP Locally-Sponsored Alameda County Projects

Status Date: December 31, 2013

Red Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
1	0057J	Caltrans	SR-24 Caldecott Tunnel 4th Bore Landscaping						
	RIP	\$1,100	CE	13/14	Allocate Funds	6/30/14	R		R
	RIP	\$500	Con	13/14	Allocate Funds	6/30/14	R		
	RIP	\$400	PSE	12/13	Complete Expend	6/30/15	G	\$400K Allocated 6/11/13	
2	2014U	GGBHTD	SF Golden Gate Bridge Barrier						
	RIP	\$12,000	Con	11/12	Allocate Funds	12/31/13	R	18-Mo Ext App'd May 12 \$20M Total RIP - \$12M Ala	R

End of Red Zone

Yellow Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
3	2100F	Alameda Co.	Cherryland/Ashland/Castro Valley Sidewalk Imps.						
	RIP-TE	\$1,150	Con	10/11	Accept Contract	11/1/14	Y	\$1,150 Allocated 5/12/11 Awarded Nov 2011	G
4	2103	BART	Oakland Airport Connector						
	RIP	\$20,000	Con	10/11	Accept Contract	9/1/14	Y	App'd into STIP and allocated 9/23/10 Awarded Oct 2010	G
5	2140S	LAVTA	Rideo Bus Restoration Project						
	RIP-TE	\$200	Con	10/11	Accept Contract	8/10/14	Y	\$200 Allocated 5/12/11 from SM County Reserve Contract Awd 8/10/11	G
6	2009K	LAVTA	Satellite Bus Operating Facility (Phases 1 & 2)						
	RIP	\$4,000	Con	11/12	Accept Contract	11/7/14	Y	Note 3 \$4M Alloc'd 6/23/11 PTA Contract Awd 11/7/11	G

End of Yellow Zone

STIP At Risk Report
STIP-RIP Locally-Sponsored Alameda County Projects

Status Date: December 31, 2013

Green Zone Projects (cont.)

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
7	2009A	AC Transit	Maintenance Facilities Upgrade						
	RIP	\$3,705	Con	06/07	Project Being Removed from Report			\$3,705K Allocated 9/7/06	G
8	2009B	AC Transit	SATCOM Expansion						
	RIP	\$1,000	Con	06/07	Project Being Removed from Report			\$1,000K Allocated 9/7/06	G
9	2009C	AC Transit	Berkeley/Oakland/San Leandro Corridor MIS						
	RIP	\$2,700	Env	06/07	Project Being Removed from Report			\$2,700K Allocated 4/26/07	G
10	2009D	AC Transit	Bus Component Rehabilitation						
	RIP	\$4,500	Con	06/07	Project Being Removed from Report			\$4.5M Allocated 7/20/06	G
11	2009Q	AC Transit	Bus Purchase						
	RIP	\$14,000	Con	06/07	Project Being Removed from Report			\$14M Allocated 10/12/06	G
12	0044C	Alameda CTC	I-880 Reconstruction, 29th to 23rd						
	RIP	\$2,000	PSE	10/11	Final Invoice/Report		NA		R
13	0062E	Alameda CTC	I-80 Integrated Corridor Mobility						
	RIP	\$954	Env	07/08	Project Being Removed from Report			\$954 Allocated 9/5/07 Contra Costa RIP	G
14	0081H	Alameda CTC	RT 84 Expressway Widening (Segment 2)						
	RIP	\$34,851	Con	16/17	Allocate Funds	6/30/17	G		G
	RIP-TE	\$2,179	Con	16/17	Allocate Funds	6/30/17	G		
15	0139F	Alameda CTC	Rt 580, Landscaping, San Leandro Estudillo Ave - 141st						
	RIP-TE	\$350	Con	10/11	Accept Contract	7/26/15	G	\$350K Allocated 10/27/11 3-Mo Ext for Awd 5/23/12 Contract Awarded 7/26/12	G
16	2100K	Alameda CTC	I-880 Landscape/Hardscape Improvements in San Leandro						
	RIP-TE	\$400	PSE	09/10	Final Invoice/Report		NA	\$400K Allocated 6/30/10 12-Mo Ext App'd April 2012	R
17	2179	Alameda CTC	Planning, Programming and Monitoring (Note 2)						
	RIP	\$1,563	Con	12/13	Complete Expend	6/30/15	G	\$1,563 Allocated 6/28/12	G
	RIP	\$750	Con	13/14	Complete Expend	6/30/16	G	\$750K Allocated 8/6/13 effective 7/1/13 (SB184)	
	RIP	\$886	Con	16/17	Allocate Funds	6/30/17	G		
18	2009Y	BART	Ashby BART Station Concourse/Elevator Imps						
	RIP-TE	\$1,200	Con	07/08	Project Being Removed from Report			\$1,200 Allocated 6/26/08 Completed 3/31/13	G

Page 2 of 5

Green Zone Projects (cont.)

Index	PP No.	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
19	9051A	BATA	Improved Bike/Ped Connectivity to East Span SFOBB	RIP-TE	\$3,063	Con	16/17	Allocate Funds	6/30/17	G	Added in 2012 STIP	G
20	2009W	Berkeley	Ashby BART Station Intermodal Imps	RIP	\$4,614	Con	07/08				\$4,614 Allocated 6/26/08	G
				RIP	\$1,500	Con	09/10	Project Being Removed from Report			AB 3090 App'd 8/28/08 \$1.5M Allocated 9/10/09	
21	2100G	Berkeley	Berkeley Bay Trail Project, Seg 1	RIP-TE	\$1,928	Con	10/11	Final Invoice/Report		NA	\$1,928 Allocated 12/15/11 Awarded 5/29/12	G
22	2100H	Dublin	Alamo Canal Regional Trail, Rt 580 undercrossing	RIP-TE	\$1,021	Con	10/11	Final Invoice/Report		NA	\$1,021 Allocated 8/11/11 Contract Awd 2/7/12 Accepted 2/19/13	G
23	2100	MTC	Planning, Programming and Monitoring ²	RIP	\$114	Con	12/13	Complete Expend	6/30/15	G	\$114 Allocated 6/27/12 effective 7/1/12 (SB184)	G
				RIP	\$122	Con	14/15	Allocate Funds	6/30/15	G		
				RIP	\$118	Con	13/14	Complete Expend	6/30/16	G	\$118K Allocated 6/11/13 effective 7/1/13 (SB184)	
				RIP	\$126	Con	15/16	Allocate Funds	6/30/16	G		
				RIP	\$131	Con	16/17	Allocate Funds	6/30/17	G		
24	1022	Oakland	Rte. 880 Access at 42nd Ave./High St., APD	RIP	\$5,990	R/W	07/08	Project Being Removed from Report			\$5.99M Allocated 12/13/07	G
25	2100C1	Oakland	MacArthur Transit Hub Improvement, 40th St	RIP-TE	\$193	Con	07/08	Project Being Removed from Report			\$193 Allocated 7/26/07	G
26	2103A	Oakland	Oakland Coliseum TOD	RIP-TE	\$885	Con	10/11	Final Invoice/Report		NA	\$885 Allocated 6/23/11 Contract Awd 11/10/11 Completed 3/13/13	Y
27	2110	Union City	Union City Intermodal Station	RIP	\$4,600	Con	07/08	Project Being Removed from Report			\$4.6M Allocated 9/5/07	G
				RIP	\$720	Con	05/06				\$720K Allocated 11/9/06	
				RIP-TE	\$5,307	Con	05/06				\$5,307K Allocated 11/9/06	
				RIP-TE	\$2,000	Con	06/07				\$2,000K Allocated 11/9/06	
				RIP	\$9,787	Con	06/07				\$9,787K Allocated 11/9/06 6-Mo Ext App'd 9/23/10 for Accept Contract - Site Imps accepted 11/19/10	

End of Green Zone

Notes:

- 1** The "Date Req'd By" for the required activity is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity and/or satisfy the requirement.
- 2** PPM funds programmed in the Con phase are not subject to the typical construction phase requirements. Once PPM funds are allocated, the next deadline is "Complete Expenditures."
- 3** Transit projects receiving State-only funds are subject to project specific requirements in agreements with Caltrans (Federal funds are typically transferred to FTA grant).

2012 STIP -Timely Use of Funds Provisions

The Timely Use of Funds and At Risk reports monitor the STIP Timely Use of Funds Provisions included in the current STIP Guidelines as adopted by the CTC. The current Timely Use of Funds Provisions are as follows:

Required Activity	Timely Use of Funds Provision
Allocation	For all phases, by the end (June 30th) of the fiscal year identified in the STIP.
Construction Contract Award ¹	Within six (6) months of allocation.
Accept Contract (Construction)	Within 36 months of contract award.
Complete Expenditures	For Env, PSE, & R/W funds, costs must be expended by the end of the second FY following the FY in which the funds were allocated.
Final Invoice/Project Completion (Final Report of Expenditures)	For Env, PSE, & R/W funds, within 180 days (6 months) after the end of the FY in which the final expenditure occurred. For Con funds, within 180 Days (6 months) of contract acceptance.

Zone Criteria

The Timely Use of Funds and At Risk reports utilize the deadlines associated with each required activity of the STIP Timely use of Funds Provisions to assign a zone of risk. The following zone criteria was developed for each of these risk zones (Red, Yellow, & Green). For the Final Invoice, this activity is tracked but no zone of risk is assigned.

Required Activity	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Allocation -Env Phase	within four months	within four to eight months	All conditions other than Red or Yellow Zones
Allocation -PS&E Phase	within six months	within six to ten months	All conditions other than Red or Yellow Zones
Allocation -Right of Way Phase	within eight months	within eight to twelve months	All conditions other than Red or Yellow Zones
Allocation -Construction Phase	within eight months	within eight to twelve months	All conditions other than Red or Yellow Zones
Construction Contract Award	within six months	within six to eight months	All conditions other than Red or Yellow Zones
Accept Contract	within six months	within six to twelve months	All conditions other than Red or Yellow Zones
Complete Expenditures	within eight months	within eight to twelve months	All conditions other than Red or Yellow Zones
Final Invoice/Project Completion (Final Report of Expenditures)	NA	NA	NA

Other Zone Criteria

Yellow Zone	STIP /TIP Amendment pending
Red Zone	Extension Request pending

Notes:

1. Statute requires encumbrance by award of a contract for construction capital and equipment purchase within twelve months of allocation. CTC Policy is six months.

This page intentionally left blank

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects

Index	TIP ID	Sponsor	Project Title		Phase	FY	Required Activity	Date	Zone	Notes	Prev Zone
		Source	Prog'd Amount					Req'd By			
			(\$x 1,000)								
1	ALA130022	Alameda		Alameda City Complete Streets							
		STP	\$130	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04		NA
						Obligate Funds	04/30/14	Y			
		STP	\$505	Con	14/15	Submit Req for Auth	02/01/15	G			
						Obligate Funds	04/30/15	G			
2	HSIP4-04-002	Alameda		Shoreline Dr - Westline Dr - Broadway Improvements							
		HSIP	\$348	Con	11/12	Submit Req for Auth	Note 1	R	See Note 2		R
						Obligate Funds	01/11/14	R			
						Complete Closeout	01/12/16	G			
		HSIP	\$68	PE	11/12	Liquidate Funds	07/12/15	G	\$68 Obligated 1/18/12		
3	HSIP4-04-010	Alameda		Park Street Operations Improvements							
		HSIP	\$607	Con	11/12	Submit Req for Auth	01/12/14	R	See Note 2		Y
						Obligate Funds	04/12/14	Y			
						Complete Closeout	04/12/16	G			
		HSIP	\$126	PE					\$126 Obligated 1/18/12		
4	ALA090069	Ala County		Alameda County: Rural Roads Pavement Rehab							
		STP	\$1,815	Con	11/12	Award Contract	Note 1	R	\$1,815 Obligated 4/4/12		R
						Submit First Invoice	Note 1	R			
						Liquidate Funds	04/04/18	G			
		STP	\$320	PE	10/11	Liquidate Funds	03/16/17	G	\$320 Obligated 3/16/11		
5	ALA050035	Ala County		Cherryland/Ashland/CastroValley/Fairview SidwIkImp							
		CMAQ	\$130	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-03		NA
						Obligate Funds	04/30/14	Y			
		CMAQ	\$300	Con	14/15	Submit Req for Auth	11/01/14	G			
						Obligate Funds	02/01/15	G			
6	ALA110026	Ala County		Alameda Co - Central Unincorporated Pavement Rehab							
		STP	\$1,071	Con	11/12	Award Contract	Note 1	R	\$1,071 Obligated 4/4/12		R
						Submit First Invoice	Note 1	R			
						Liquidate Funds	04/04/18	G			
		STP	\$50	PE	10/11	Liquidate Funds	03/23/17	G	\$50 Obligated 3/23/11		
7	ALA130018	Ala County		Alameda Co-VariouS Streets and Roads Preservation							
		STP	\$100	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04		NA
						Obligate Funds	04/30/14	Y			
		STP	\$1,565	Con	14/15	Submit Req for Auth	02/01/15	G			
						Obligate Funds	04/30/15	G			

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title		Required Activity	Date	Zone	Notes	Prev Zone		
		Source	Prog'd Amount (\$x 1,000)	Phase						FY	Req'd By
8	H3R1-04-031	Ala County	Patterson Pass Road - PM6.4 Widen or Improve Shoulder								
			HRRR	\$717	Con	12/13	Submit Req for Auth	Note 1	R	See Note 2	R
							Obligate Funds	Note 1	R		
							Liquidate Funds	06/30/15	G		
							Complete Closeout	12/31/15	G		
HRRR	\$101	PE	Prior	Liquidate Funds	06/30/15	G	\$101 Obligated 12/19/08				
9	HSIP2-04-024	Ala County	Castro Valley Blvd - Wisteria St Intersection and Frontage Improvements								
			HSIP	\$577	Con	11/12	Liquidate Funds	Note 1	R	See Note 2	R
							Complete Closeout	03/31/14	R		
			HSIP	\$59	PE	Prior				Obligated 8/14/09	
			HSIP	\$63	R/W	Prior				Obligated 2/15/11	
10	HSIP2-04-027	Ala County	Remove Permanent Obstacle along Shoulder (Foothill Road)								
			HSIP	\$427	Con	10/11	Liquidate Funds	03/30/14	R	See Note 2	R
							Complete Closeout	09/30/14	Y		
			HSIP	\$59	PE	Prior				PE Obligated 2/23/09	
11	SRTS1-04-001	Ala County	Fairview Elementary School Vicinity Improvements								
			SRTS	\$508	Con	10/11	Liquidate Funds	Note 1	R	See Note 2	R
							Complete Closeout	03/31/14	G		
			SRTS	\$77	PE	Prior				Obligated 1/29/09	
12	ALA110007	Berkeley	City of Berkeley Transit Action Plan - TDM								
			CMAQ	\$10	Con	11/12	Obligate Funds	Note 1	R	Working with Caltrans and MTC to add to PE	R
			CMAQ	\$1,990	PE	10/11	Liquidate Funds	02/22/17	G	\$1,990 Obligated 2/22/11	
13	ALA110024	Dublin	Dublin Citywide Street Resurfacing								
			STP	\$547	Con	11/12	Award Contract	Note 1	R	\$547 Obligated 3/16/12	R
							Submit First Invoice	Note 1	R		
							Liquidate Funds	03/16/18	G		
14	ALA110034	Dublin	West Dublin BART Golden Gate Drive Streetscape								
			CMAQ	\$580	Con	11/12	Submit First Invoice	Note 1	R	\$580 Obligated 6/1/12 Contract Awd 9/18/12	R
			CMAQ	\$67	PE	10/11	Liquidate Funds	03/18/17	G	\$67 Obligated 3/18/11	

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title			Date	Zone	Notes	Prev Zone				
		Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Req'd By						
15	SRTS3-04-007	Emeryville	\$696	Con	13/14	San Pablo Avenue 43rd to 47th Pedestrian Safety							
						Submit Req for Auth	03/07/14	R	See Note 2				
						Obligate Funds	06/17/14	G					
						Liquidate Funds	12/07/15	G					
						Complete Closeout	06/07/16	G					
	SRTS	\$52	PE	11/12			G	\$52 Obligated 5/4/12					
16	ALA110012	Fremont	\$1,114	Con	11/12	Fremont CBD/Midtown Streetscape							
						Award Contract	Note 1	R	\$1,114 Obligated 3/27/12				
						Submit First Invoice	Note 1	R					
						Liquidate Funds	03/27/18	G					
						CMAQ	\$432	Con	10/11	Project Complete	NA	\$432 Obligated 4/13/11	
CMAQ	\$54	Con	10/11	Project Complete	NA	\$54 Obligated 6/13/11							
17	ALA130020	Fremont	\$2,105	Con	13/14	Fremont Various Streets and Roads Preservation							
						Submit Req for Auth	02/01/14	R	TIP Amend 13-04				
						Obligate Funds	04/30/14	Y					
18	ALA130025	Fremont	\$5,333	Con	13/14	Fremont City Center Multi-Modal Improvements							
						Submit Req for Auth	02/01/14	R	TIP Amend 13-04				
						Obligate Funds	04/30/14	Y					
						STP	\$522	Con	14/15	Submit Req for Auth	02/01/15	G	NA
						Obligate Funds	04/30/15	G					
19	HSIP1-04-005	Fremont	\$164	Con	11/12	Install Median Barrier, Install Raised Median and Improve Delineation (Mowry)							
						Liquidate Funds	Note 1	R	See Note 2				
						Complete Closeout	03/31/14	R					
						HSIP	\$35	PE	Prior			Obligated 11/28/07	
20	HSIP2-04-018	Fremont	\$183	Prior		Replace Concrete Poles with Aluminum in Median (Paseo Parkway)							
						Liquidate Funds	Note 1	R	See Note 2				
						Complete Closeout	03/31/14	R					
							Con Obligated 4/19/11 PE Obligated 4/8/09						
21	HSIP4-04-020	Fremont	\$275	Con	13/14	Fremont Blvd / Eggers Dr							
						Submit Req for Auth	Note 1	R	See Note 2				
						Obligate Funds	01/11/14	R					
						Liquidate Funds	07/12/15	G					
						Complete Closeout	01/12/16	G					
		\$41	PE	Prior			Obligated 11/8/11						

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)								
22	HSIP4-04-022	Fremont	Fremont Blvd / Alder Ave							
	HSIP	\$348	Con	13/14	Submit Req for Auth	Note 1	R	See Note 2		R
					Obligate Funds	01/11/14	R			
					Liquidate Funds	07/12/15	G			
					Complete Closeout	01/12/16	G			
		\$43	PE	Prior				Obligated 11/8/11		
23	ALA110019	Hayward	Hayward Various Arterials Pavement Rehab							
	STP	\$1,336	Con	10/11	Award Contract	Note 1	R	\$1,336 Obligated 2/23/11		R
					Submit First Invoice	Note 1	R			
					Liquidate Funds	02/23/17	G			
24	ALA110035	Hayward	South Hayward BART Area/Dixon Street Streetscape							
	CMAQ	\$1,540	Con	11/12	Award Contract	Note 1	R	\$1,264 Obligated 4/4/12		R
					Submit First Invoice	Note 1	R	Amounts per Phase Adjusted		
					Liquidate Funds	04/04/18	G			
	CMAQ	\$260	PE	10/11	Liquidate Funds	01/18/17	G	\$536 Obligated 1/18/11		
25	ALA130013	Hayward	Hayward - Industrial Boulevard Preservation							
	STP	\$70	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04		NA
					Obligate Funds	04/30/14	Y			
	STP	\$1,265	Con	14/15	Submit Req for Auth	02/01/15	G			
					Obligate Funds	04/30/15	G			
26	HSIP5-04-007	Hayward	West "A" Street between Hathaway and Garden							
	HSIP	\$22	PE	12/13	Submit Req for Auth	Note 1	R	New Cycle 5 Project		R
					Obligate Funds	Note 1	R	See Note 2		
	HSIP	\$139	CON	13/14	Submit Req for Auth	08/23/15	G	See Note 3		
					Obligate Funds	11/23/15	G			
					Complete Closeout	11/23/17	G			
27	ALA130010	Livermore	Livermore Various Streets Preservation							
	STP	\$1,053	CON	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04		NA
					Obligate Funds	04/30/14	Y			
28	ALA110029	Oakland	Oakland Foothill Blvd Streetscape							
	CMAQ	\$2,200	Con	11/12	Award Contract	Note 1	R	\$2,200 Obligated 4/4/12		R
					Submit First Invoice	Note 1	R			
					Liquidate Funds	04/04/18	G			

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects (cont.)

Index	TIP ID	Sponsor		Project Title		Date Req'd By	Zone	Notes	Prev Zone
		Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity			
29	ALA130016	Oakland	CMAQ	Oakland Complete Streets		Submit Req for Auth	02/01/14	R	TIP Amend 13-04
						Obligate Funds	04/30/14	Y	
	CMAQ	Oakland	\$3,384	Con		Submit Req for Auth	02/01/16	G	NA
						Obligate Funds	04/30/16	G	
30	HSIP2-04-004	Oakland	HSIP	West Grand at Market, Macarthur at Fruitvale & Market at 55th Improvements		Liquidate Funds	03/30/14	R	See Note 2
						Complete Closeout	09/30/14	Y	
31	HSIP2-04-005	Oakland	HSIP	Various Intersections Pedestrian Improvements		Liquidate Funds	03/30/14	R	See Note 2
						Complete Closeout	09/30/14	Y	
32	HSIP4-04-005	Oakland	HSIP	San Pablo Ave - West St - W. Grand Ave Intersections		Submit Req for Auth	Note 1	R	See Note 2
						Obligate Funds	03/13/14	Y	
						Liquidate Funds	09/13/15	G	
						Complete Closeout	03/13/16	G	
33	HSIP4-04-011	Oakland	HSIP	Bancroft Ave - 94th Ave Improvements		Submit Req for Auth	Note 1	R	See Note 2
						Obligate Funds	01/11/14	R	
						Liquidate Funds	07/12/15	G	
						Complete Closeout	01/12/16	G	
34	HSIP4-04-012	Oakland	HSIP	Hegenberger Rd Intersections		Submit Req for Auth	Note 1	R	See Note 2
						Obligate Funds	01/11/14	R	
						Liquidate Funds	07/12/15	G	
						Complete Closeout	01/12/16	G	
35	HSIP5-04-011	Oakland	HSIP	W. MacArthur Blvd. between Market & Telegraph		Submit Req for Auth	Note 1	R	New Cycle 5 Project
						Obligate Funds	Note 1	R	
						Submit Req for Auth	08/23/15	G	
						Obligate Funds	11/23/15	G	
						Complete Closeout	11/23/17	G	

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
36	HSIP5-04-012	Oakland	98th Avenue Corridor									
	HSIP			\$99	PE	12/13		Submit Req for Auth	Note 1	R	New Cycle 5 Project	R
								Obligate Funds	Note 1	R	See Note 2	
	HSIP			\$558	CON	13/14		Submit Req for Auth	08/23/15	G	See Note 3	
								Obligate Funds	11/23/15	G		
								Complete Closeout	11/23/17	G		
37	HSIP5-04-013	Oakland	Market Street between 45th & Arlington									
	HSIP			\$103	PE	12/13		Submit Req for Auth	Note 1	R	New Cycle 5 Project	R
								Obligate Funds	Note 1	R	See Note 2	
	HSIP			\$541	CON	13/14		Submit Req for Auth	08/23/15	G	See Note 3	
								Obligate Funds	11/23/15	G		
								Complete Closeout	11/23/17	G		
38	SRTS1-04-014	Oakland	Intersection Improvements at Multiple School (5 Elem. + 1 Middle)									
	SRTS			\$613		Prior		Liquidate Funds	Note 1	R	See Note 2	R
								Complete Closeout	03/31/14	G	PE Obligated 3/2/08 Con Obligated 8/18/11	
39	SRTS2-04-007	Oakland	Multiple School (5 Schools) Improvements Along Major Routes									
	SRTS			\$753	Con	11/12		Liquidate Funds	Note 1	R	See Note 2	R
								Complete Closeout	03/31/14	G	Con Obligated 2/3/12	
	SRTS			\$118	PE	Prior					PE Obligated 1/26/10	
40	ALA130019	Piedmont	Piedmont Complete Streets (CS)									
	STP			\$129	Con	13/14		Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA
								Obligate Funds	04/30/14	Y		
41	ALA110031	Pleasanton	Pleasanton - Foothill/I-580/IC Bike/Ped Facilities									
	CMAQ			\$709	Con	12/13		Award Contract	02/01/14	R	\$709 Obligated 5/1/13	Y
								Submit First Invoice	06/01/14	G	Advertised 5/30/13	
								Liquidate Funds	05/01/19	G		
42	ALA110010	Port	Shore Power Initiative									
	CMAQ			\$3,000	Con	11/12		Award Contract	Note 1	R	\$3,000 Obligated 2/16/12	R
								Submit First Invoice	Note 1	R		
								Liquidate Funds	02/16/18	G		
43	ALA110027	San Leandro	San Leandro Downtown-BART Pedestrian Interface									
	CMAQ			\$4,298	Con	11/12		Award Contract	Note 1	R	\$4,298 Obligated 2/28/12	R
								Submit First Invoice	Note 1	R	Advertised	
	CMAQ			\$312	PE	10/11		Liquidate Funds	12/21/16	G	\$312 Obligated 12/21/10	

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Required Activity	Date	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd By			
44	HSIP4-04-015	San Leandro	Washington Ave / Monterey Blvd					
	HSIP	\$307	Con	13/14	Submit Req for Auth	01/12/14	R	See Note 2
					Obligate Funds	04/12/14	Y	
					Liquidate Funds	10/12/15	G	
					Complete Closeout	04/12/16	G	
		\$66	PE	Prior			Obligated 12/15/11	
45	ALA090015	Union City	Union City Intermodal Station Infrastructure					
	CMAQ	\$8,692	CON	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04
					Obligate Funds	04/30/14	Y	NA
46	ALA130023	Union City	Whipple Road Pavement Rehabilitation					
	STP	\$18	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04
					Obligate Funds	04/30/14	Y	NA
	STP	\$651	Con	14/15	Submit Req for Auth	02/01/15	G	
					Obligate Funds	04/30/15	G	
47	HSIP5-04-030	Union City	Alvarado Road between Decoto & Mann					
	HSIP	\$62	PE	12/13	Submit Req for Auth	Note 1	R	New Cycle 5 Project
					Obligate Funds	Note 1	R	See Note 2
	HSIP	\$288	CON	13/14	Submit Req for Auth	08/23/15	G	See Note 3
					Obligate Funds	11/23/15	G	
					Complete Closeout	11/23/17	G	

*End of Red Zone***Yellow Zone Projects**

Index	PP No.	Sponsor	Project Title	Required Activity	Date	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Req'd By			
48	HSIP3-04-005	Fremont	Paseo Padre Parkway - Walnut to Washington - Replace Poles					
	HSIP	\$120	Con	12/13	Liquidate Funds	06/02/14	Y	G
					Complete Closeout	12/02/14	G	Con Obligated 2/16/12
	HSIP	\$23	PE	Prior			PE Obligated 11/18/10	
49	HSIP3-04-006	Fremont	Paseo Padre Parkway - Walnut Ave and Argonaut Way					
	HSIP	\$458	Con	12/13	Liquidate Funds	06/02/14	Y	See Note 2
					Complete Closeout	12/02/14	G	\$458 Obligated 4/11/13
	HSIP	\$59	PE	Prior			Obligated 11/22/10	

End of Yellow Zone

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Green Zone Projects

Index	TIP ID	Source	Sponsor Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
50	ALA110119		AC Transit	AC Transit: Spectrum Ridership Growth						
		CMAQ	\$1,803	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-05	NA
						Obligate Funds	04/30/15	G		
51	ALA110025		Alameda	Alameda - Otis Drive Rehabilitation						
		STP	\$837	Con	10/11	Liquidate Funds	03/08/17	G	\$837 Obligated 3/8/11 Awarded 5/17/11	G
52	ALA030002		Ala County	Vasco Road Safety Improvements Phase 1A						
		STP	\$235	ROW	14/15	Submit Req for Auth	02/01/15	G		G
						Obligate Funds	04/30/15	G		
		STP	\$1,785	Con	09/10	Liquidate Funds	08/31/16	G	\$1,785 Obligated 8/31/10 Contract awarded 6/7/11	
		STP	\$478	PE	12/13	Liquidate Funds	04/17/19	G	\$478 Obligated 4/17/13	
53	SRTS1-04-002		Ala County	Marshall Elementary School Vicinity Improvements						
		SRTS	\$450	Con	12/13	Liquidate Funds	11/01/14	G	See Note 2	G
						Complete Closeout	04/01/15	G	Obligated 9/19/12	
		SRTS	\$50	PE	Prior			G	Obligated 12/7/10	
54	ALA110009		Alameda CTC	Bikemobile - Bike Repair and Encouragement Vehicle						
		CMAQ	\$500	Con	10/11	Liquidate Funds	03/29/17	G	\$500 Obligated 3/29/11 Obligated w/ALA110033	G
55	ALA110033		Alameda CTC	Alameda County Safe Routes to School						
		CMAQ (OBAG)	\$2,000	Con	13/14	Liquidate Funds	10/24/19	G	TIP Amend 13-05	G
		CMAQ (RSRTS)	\$2,673	Con	13/14	Liquidate Funds	10/24/19	G		
		STP (RSRTS)	\$1,000	Con	13/14	Liquidate Funds	10/24/19	G	\$5,673 Obligated 10/24/13	
		CMAQ (RSRTS)	\$620	Con	10/11	Liquidate Funds	03/29/17	G		
		CMAQ	\$1,669	Con	10/11	Liquidate Funds	03/29/17	G	\$2,689 Obligated 3/29/11	
		STP	\$400	Con	10/11	Liquidate Funds	03/29/17	G	Obligated w/ALA110009	
56	ALA110122		Alameda CTC	Local PDA Planning - Alameda						
		STP	\$3,905	Con	15/16	Submit Req for Auth	02/01/16	G	TIP Amend 13-06	
						Obligate Funds	04/30/16	G		NA
57	ALA110030		Albany	Albany - Buchanan Bicycle and Pedestrian Path						
		CMAQ	\$1,702	Con	11/12	Liquidate Funds	06/01/18	G	\$1,702 Obligated 6/1/12 Contract Awd 10/15/12 1st Invoice dated 5/14/13 Fed-Aid No. 5178(012)	G
58	ALA110039		Albany	Albany - Pierce Street Pavement Rehabilitation						
		STP	\$117	Con	10/11	Liquidate Funds	05/02/17	G	Contract Awd 7/12/11 \$117 Obligated 5/2/11	G

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Green Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
59	ALA090068	BART	MacArthur BART Plaza Remodel	CMAQ	\$626	Con	10/11				\$626 Obligated 3/16/11 Transferred to FTA Grant	G
60	ALA110032	BART	Downtown Berkeley BART Plaza/Transit Area Imps.	CMAQ	\$4,066	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	G
								Obligate Funds	04/30/15	G		
				CMAQ	\$706	PE	10/11				\$706 Obligated 3/16/11	
				CMAQ	\$1,099	Con	10/11				\$1,099 Obligated 3/16/11 Transferred to FTA Grant	
61	ALA110038	BART	BART - West Dublin BART Station Ped Access Imps	CMAQ	\$21	PE	10/11				\$21 Obligated 2/2/11	G
				CMAQ	\$839	Con	10/11				\$839 Obligated 2/2/11 Transferred to FTA Grant	
62	ALA110121	BART	BART Train Car Accident Repair Project	STP	\$1,493	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		
63	ALA110022	Berkeley	Berkeley - Sacramento St Rehab - Dwight to Ashby	STP	\$955	Con	10/11	Liquidate Funds	03/18/17	G	\$955 Obligated 3/18/11 Contract Awd 7/19/11	R
64	ALA130012	Dublin	Dublin Boulevard Preservation	STP	\$470	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		
65	ALA130021	Emeryville	Emeryville - Hollis Street Preservation	STP	\$100	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		
66	HSIP2-04-009	Hayward	Carlos Bee Blvd between West Loop Rd and Mission Blvd	HSIP	\$725	Prior		Project Being Removed from Report				R
								Closeout Complete 2/13/13				
67	ALA110013	Livermore	Iron Horse Trail Extension in Downtown Livermore	CMAQ	\$1,566	Con	11/12	Liquidate Funds	04/04/18	G	\$1,241 Obligated 4/4/12 Contract Awd 7/23/12 First Invoice Dated 2/8/13 TLC Project Fed Aid (025)	G
68	ALA110015	Livermore	Livermore Downtown Lighting Retrofit	CMAQ	\$176	Con	10/11	Liquidate Funds	04/04/17	G	\$176 Obligated 4/4/11 Billing 1 dated 2/22/12 Fed Aid (024)	G

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Green Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
69	ALA110023	Livermore	Livermore - 2011 Various Arterials Rehab	STP	\$1,028	Con	10/11	Liquidate Funds	03/21/17	G	\$1,028 Obligated 3/21/11 Billing 1 dated 2/22/12 Fed Aid (023)	G
70	ALA110037	Livermore	Livermore Village Plaza & Infrastructure									
			Project Being Removed from Report									R
			Funds Moved to ALA130011								TIP Amend 13-04	
71	ALA130011	Livermore	Livermore Relocation and Restoration of R/R Depot	STP	\$2,500	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		
72	ALA110016	Newark	Newark - Cedar Blvd and Jarvis Ave Pavement Rehab	STP	\$682	Con	11/12	Liquidate Funds	02/17/18	G	\$682 Obligated 2/17/12 1st Invoice 11/28/12	G
73	ALA110006	Oakland	Various Streets Resurfacing and Bikeway Facilities	STP	\$3,492	Con	11/12	Liquidate Funds	02/16/18	G	\$3,492 Obligated 2/16/12 Awd 12/4/12	R
				STP	\$560	PE	10/11	Liquidate Funds	02/22/17	G	\$560 Obligated 2/22/11	
74	ALA110014	Oakland	Oakland - MacArthur Blvd Streetscape	CMAQ	\$1,700	Con	10/11	Liquidate Funds	04/27/17	G	\$1.7M Obligated 4/27/11 Contract Dated 8/19/11	G
75	ALA130014	Oakland	7th Street West Oakland Transit Village, Phase II	CMAQ	\$3,288	Con	15/16	Submit Req for Auth	02/01/16	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/16	G		
76	ALA130017	Oakland	Oakland - Peralta and MLK Blvd Streetscape Phase I	CMAQ	\$5,452	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		
77	ALA130024	Oakland	Lakeside Complete Streets and Road Diet	STP	\$4,846	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		
78	ALA110021	Pleasanton	Pleasanton Various Streets Pavement Rehab	STP	\$876	Con	10/11	Liquidate Funds	04/14/17	G	\$876 Obligated 4/14/11 Final Inv/Rep 10/30/12 Final Rep returned Prog Billing Dated 4/30/13	G
79	ALA130009	Pleasanton	Pleasanton Complete Streets	STP	\$832	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
								Obligate Funds	04/30/15	G		

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Green Zone Projects (cont.)

Index	TIP ID	Source	Sponsor Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
80	ALA110020		San Leandro	San Leandro - Marina Blvd Rehabilitation						
		STP	\$807	Con	10/11	Liquidate Funds	03/29/17	G	\$807 Obligated 3/29/11 Contract Awd 5/5/11	G
81	ALA130008		San Leandro	San Leandro Boulevard Preservation						
		STP	\$804	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-06	NA
						Obligate Funds	04/30/15	G		
82	HSIP5-04-019		San Leandro	Bancroft Ave/ Sybil Ave						
		HSIP	\$380	Con	15/16	Submit Req for Auth	08/23/15	G	See Note 2	R
						Obligate Funds	11/23/15	G	See Note 3	
						Liquidate Funds	05/23/17	G		
						Complete Closeout	11/23/17	G		
		HSIP	\$69	PE	12/13				\$69 Obligated 7/16/13	
83	SRTS3-04-017		San Leandro	Multiple Schools Bicycle and Pedestrian Safety						
		SRTS	\$410	Con	11/12	Liquidate Funds	03/06/16	G	See Note 2	G
						Complete Closeout	09/06/16	G	\$410 Obligated 3/22/12	
84	ALA110017		Union City	Union City - Dyer Street Rehabilitation						
		STP	\$861	Con	10/11	Liquidate Funds	04/13/17	G	\$861 Obligated 4/13/11 Contract Awd 6/14/11	G
85	ALA110028		Union City	Union City Blvd Corridor Bicycle Imp. Phase 1						
		CMAQ	\$860	Con	11/12	Liquidate Funds	03/22/18	G	\$860 Obligated 3/22/12 Contract Awd 6/12/12	R
86	ALA110036		Union City	Union City BART East Plaza Enhancements						
		CMAQ	\$4,450	Con	10/11	Liquidate Funds	02/02/17	G	\$4,450 Obligated 2/2/11 Contract Awd 6/28/11 FTA CA-95-X157	G

End of Green Zone**Notes:**

- 1 MTC Reso 3606 deadline or the Safety Program Monitoring date is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity.
- 2 HSIP, SRTS and HRRR projects may have different timely use of funds provisions than the MTC Reso 3606 requirements. The values for "Date Req'd By" shown in this report are based on the Safety Program Delivery Status Reports - Complete Project Listing available from Caltrans Local Programs at www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm. For the purposes of this monitoring report, the Submit Request for Authorization dates are set to three months prior to the date shown for authorization in the Safety Program Delivery Status Reports, and the Liquidate Funds dates are set to six months prior to the date shown for Complete Closeout shown by Caltrans.
- 3 HSIP Cycle 5 projects are not yet included in an adopted TIP. Sponsors cannot request obligation until included in TIP. Projects with Cycle 5 programming requested in FY12/13 are shown in report with the same "Required Activity" and "Dates Required By" as other projects with FY 12/13 funding while they wait for the TIP approval.

Federal At Risk Report
 Federally-Funded Locally-Sponsored Alameda County Projects

Status Date: December 31, 2013

Appendix A			
Federal At Risk Report Zone Criteria			
Required Activities per Resolution 3606 (Revised July 23, 2008)			
Required Activities Monitored by CMA ¹	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Request Project Field Review	Project in TIP for more than nine (9) months, or obligation deadline for Con funds within 15 months.	Project in TIP for less than nine (9) months, and obligation deadline for Con funds more than 15 months away.	All conditions other than Red or Yellow Zones
Submit Environmental Package	NA	NA	NA
Approved DBE Program and Methodology	NA	NA	NA
Submit Request for Authorization (PE)	within three (3) months	within three (3) to six (6) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (R/W)	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (Con)	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Obligation/ FTA Transfer	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Advertise Construction	within four (4) months	within four (4) to six (6) months	All conditions other than Red or Yellow Zones
Award Contract	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Award into FTA Grant	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Submit First Invoice	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Liquidate Funds	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones Move to Appendix D
Project Closeout	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Other Zone Criteria			
Red Zone	Projects with funds programmed in the same FY for both a project development phase (i.e. Env or PSE) and a capital phase (i.e. R/W or Con) without the project development phase(s) obligated.		
Yellow Zone	Projects with an Amendment to the TIP pending.		
Notes: ¹ See Appendix B for more information about the Required Activities and Resolution 3606.			

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Appendix B
Definitions of the Required Activities per Resolution 3606 (As revised July 23, 2008)

Index	Definition	Deadline
1	Req Proj Field Rev	
	Per MTC Resolution 3606-Revised, "Implementing agencies are required to request a field review from Caltrans Local Assistance within 12 months of approval of the project in the TIP ¹ , but no less than 12 months prior to the obligation deadline of construction funds. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable, such as FTA transfers, regional operations projects and planning activities. Failure for an implementing agency to make a good-faith effort in requesting and scheduling a field review from Caltrans Local Assistance within twelve months of programming into the TIP could result in the funding being reprogrammed and restrictions on future programming and obligations. Completed field review forms must be submitted to Caltrans in accordance with Caltrans Local Assistance procedures."	12 months from approval in the TIP ¹ , but no less than 12 months prior to the obligation deadline of construction funds.
2	Sub ENV package	
	Per MTC Resolution 3606-Revised, "Implementing agencies are required to submit a complete environmental package to Caltrans for all projects (except those determined Programmatic Categorical Exclusion as determined by Caltrans at the field review), twelve months prior to the obligation deadline for right of way or construction funds. This policy creates a more realistic time frame for projects to progress from the field review through the environmental and design process, to the right of way and construction phase. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner. Failure to comply with this provision could result in the funding being reprogrammed. The requirement does not apply to FTA transfers, regional operations projects or planning activities."	12 months prior to the obligation deadline for RW or Con funds. (No change)
3	Approved DBE Prog	
	Per MTC Resolution 3606-Revised, "Obligation of federal funds may not occur for contracted activities (any combination of environmental/ design/ construction/ procurement activities performed outside the agency) until and unless an agency has an approved DBE program and methodology for the current federal fiscal year. Therefore, agencies with federal funds programmed in the TIP must have a current approved DBE Program and annual methodology (if applicable) in place prior to the fiscal year the federal funds are programmed in the TIP. STP/CMAQ funding for agencies without approved DBE methodology for the current year are subject to redirection to other projects after March 1. Agencies should begin the DBE process no later than January 1 to meet the March 1 deadline. Projects advanced under the Expedited Project Selection Process (EPSP) must have an approved DBE program and annual methodology for the current year (if applicable) prior to the advancement of funds."	Approved program and methodology in place prior to the FFY the funds are programmed in the TIP.
4	Sub Req for Auth	
	Per MTC Resolution 3606-Revised, "In order to ensure funds are obligated or transferred to FTA in a timely manner, the implementing agency is required to deliver a complete funding obligation / FTA Transfer request package to Caltrans Local Assistance by February 1 of the year the funds are listed in the TIP. Projects with complete packages delivered by February 1 of the programmed year will have priority for available OA, after ACA conversions that are included in the Obligation Plan. If the project is delivered after February 1 of the programmed year, the funds will not be the highest priority for obligation in the event of OA limitations, and will compete for limited OA with projects advanced from future years. Funding for which an obligation/ FTA transfer request is submitted after the February 1 deadline will lose its priority for OA, and be viewed as subject to reprogramming."	February 1 of FY in which funds are programmed in the TIP.

Page B1 of B3

Federal At Risk Report
 Federally-Funded Locally-Sponsored Alameda County Projects

Status Date: December 31, 2013

Appendix B
Definitions of the Required Activities per Resolution 3606 (As revised July 23, 2008)

Index	Definition	Deadline
5	Obligate Funds/ Transfer to FTA	
	Per MTC Resolution 3606-Revised, "STP and CMAQ funds are subject to an obligation/FTA transfer deadline of April 30 of the fiscal year the funds are programmed in the TIP. Implementing agencies are required to submit the completed request for obligation or FTA transfer to Caltrans Local Assistance by February 1 of the fiscal year the funds are programmed in the TIP, and receive an obligation/ FTA transfer of the funds by April 30 of the fiscal year programmed in the TIP. For example, projects programmed in FY 2007-08 of the TIP have an obligation/FTA transfer request submittal deadline (to Caltrans) of February 1, 2008 and an obligation/FTA transfer deadline of April 30, 2008. Projects programmed in FY 2008-09 have an obligation request submittal deadline (to Caltrans) of February 1, 2009 and an obligation/FTA transfer deadline of April 30, 2009. No extensions will be granted to the obligation deadline."	April 30 of FY in which funds are programmed in the TIP.
6	Execute PSA	
	Per MTC Resolution 3606, "The implementing agency must execute and return the Program Supplement Agreement (PSA) to Caltrans in accordance with Caltrans Local Assistance procedures. The agency must contact Caltrans if the PSA is not received from Caltrans within 60 days of the obligation. This requirement does not apply to FTA transfers. Agencies that do not execute and return the PSA to Caltrans within the required Caltrans deadline will be unable to obtain future approvals for any projects, including obligation and payments, until all PSAs for that agency, regardless of fund source, meet the PSA execution requirement. Funds for projects that do not have an executed PSA within the required Caltrans deadline are subject to de-obligation by Caltrans."	Within 60 days of receipt of the PSA from Caltrans, and within six months from the actual obligation date. ²
7	Advertise Contract /Award Contract/Award into FTA Grant	
	Per MTC Resolution 3606-Revised, "For the Construction (CON) phase, the construction/equipment purchase contract must be advertised within 6 months of obligation and awarded within 9 months of obligation. However, regardless of the advertisement and award deadlines, agencies must still meet the invoicing deadline for construction funds. Failure to advertise and award a contract in a timely manner could result in missing the subsequent invoicing and reimbursement deadline, resulting in the loss of funding. Agencies must submit the notice of award to Caltrans in accordance with Caltrans Local Assistance procedures, with a copy also submitted to the applicable CMA. Agencies with projects that do not meet these award deadlines will have future programming and OA restricted until their projects are brought into compliance. For FTA projects, funds must be approved/ awarded in an FTA Grant within one federal fiscal year following the federal fiscal year in which the funds were transferred to FTA."	Advertised within 6 months of obligation and awarded within 9 months of obligation. FTA Grant Award: Within 1 year of transfer to FTA.
8	Submit First Invoice / Next Invoice Due	
	Per MTC Resolution 3606-Revised, "Funds for each federally funded (Environmental (ENV/ PA&ED), Preliminary Engineering (PE), Final Design (PS&E) and Right of Way (R/W) phase and for each federal program code within these phases, must be invoiced against at least once every six months following obligation. Funds that are not invoiced at least once every 12 months are subject to de-obligation. There is no guarantee that funds will be available to the project once de-obligated. Funds for the Construction (CON) phase, and for each federal program code within the construction phase, must be invoiced and reimbursed against at least once within 12 months of the obligation, and then invoiced at least once every 6-months thereafter. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee that funds will be available to the project once de-obligated. If a project does not have eligible expenses within a 6-month period, the agency must provide a written explanation to Caltrans Local Assistance for that six-month period and submit an invoice as soon as practicable to avoid missing the 12-month invoicing and reimbursement deadline. Agencies with projects that have not been invoiced against and reimbursed within a 12-month period, regardless of federal fund source, will have restrictions placed on future programming and OA until the project is properly invoiced. Funds that are not invoiced and reimbursed against at least once every 12 months are subject to de-obligation by FHWA."	For Con phase: Once within 12 months of Obligation and then once every 6 months thereafter, for each federal program code. For all other phases: Once within 6 months following Obligation and then once every 6 months thereafter, for each phase and federal program code.

Page B2 of B3

Federal At Risk Report

Status Date: December 31, 2013

Federally-Funded Locally-Sponsored Alameda County Projects

Appendix B
Definitions of the Required Activities per Resolution 3606 (As revised July 23, 2008)

Index	Definition	Deadline
8a	Inactive Projects	
	Per MTC Resolution 3606-Revised, "Most projects can be completed well within the state's deadline for funding liquidation or FHWA's ten-year proceed-to-construction requirement. Yet it is viewed negatively by both FHWA and the California Department of Finance for projects to remain inactive for more than twelve months. It is expected that funds for completed phases will be invoiced immediately for the phase, and projects will be closed out within six months of the final project invoice. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee the funds will be available to the project once de-obligated."	Funds must be invoiced and reimbursed against once every 12 months to remain active.
9	Liquidate Funds	
	Per MTC Resolution 3606-Revised, "Funds must be liquidated (fully expended, invoiced and reimbursed) within six years of obligation. California Government Codes 16304.1 and 16304.3 places additional restrictions on the liquidation of federal funds. Generally, federal funds must be liquidated (fully expended, invoiced and reimbursed) within 6 state fiscal years following the fiscal year in which the funds were appropriated. Funds that miss the state's liquidation/ reimbursement deadline will lose State Budget Authority and will be de-obligated if not re-appropriated by the State Legislature, or extended (for one year) in a Cooperative Work Agreement (CWA) with the California Department of Finance. This requirement does not apply to FTA transfers."	Funds must be liquidated within six years of obligation.
10	Estimated Completion Date/Project Closeout	
	Per MTC Resolution 3606-Revised, "Implementing Agencies must fully expend federal funds on a phase one year prior to the estimated completion date provided to Caltrans. At the time of obligation, the implementing agency must provide Caltrans with an estimated completion date for that project phase. Any un-reimbursed federal funds remaining on the phase after the estimated completion date has passed, is subject to project funding adjustments by FHWA. Projects must be properly closed out within six months of final project invoice. Projects must proceed to construction within 10 years of federal authorization of the initial phase. Federal regulations require that federally funded projects proceed to construction within 10 years of initial federal authorization of any phase of the project. Furthermore, if a project is canceled, or fails to proceed to construction in 10 years, FHWA will de-obligate any remaining funds, and the agency is required to repay any reimbursed funds. If a project is canceled as a result of the environmental process, the agency does not have to repay reimbursed costs for the environmental activities. However, if a project is canceled after the environmental process is complete, or a project does not proceed to construction within 10 years, the agency is required to repay all reimbursed federal funds. Agencies with projects that have not been closed out within 6 months of final invoice will have future programming and OA restricted until the project is closed out or brought back to good standing by providing written explanation to Caltrans Local Assistance, the applicable CMA and MTC."	Est. Completion Date: For each phase, fully expend federal funds 1 year prior to date provided to Caltrans. Project Close-out: Within 6 months of final project invoice.

Notes:

- ¹ Approval in the TIP: For administrative/ minor TIP Amendments it is the date of Caltrans approval. For formal TIP Amendments, it is the date of FHWA approval.
- ² Per DOT letter from Caltrans Local Assistance to MPOs, regarding "Procedural Changes in Managing Obligations", dated 9/15/05.

This page intentionally left blank

TFCA County Program Manager Funds

At Risk Report

Report Date: December 31, 2013

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
RED ZONE (Milestone deadline within 4 months)							
09ALA07	AC Transit	Easy Pass Transit Incentive Program	TFCA Award	Agreement Executed	1/7/10	12/03/09	1st extension approved Oct '11 Expenditures complete Final Invoice received FMR received
			\$ 350,000	Project Start	Sep-09	Nov-09	
			TFCA Expended	Expend Deadline Met?	01/13/13	Yes	
			\$ 236,535	Final Report	Apr-13	Apr-13	
				Final Reimbursement	01/31/14		
11ALA03	Albany	Buchanan Bike Path	TFCA Award	Agreement Executed	1/5/12	06/01/12	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 100,000	Project Start	Dec-12	Oct-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ -	Final Report	Feb-14		
				Final Reimbursement	12/31/14		
11ALA06	Fremont	North Fremont Arterial Management	TFCA Award	Agreement Executed	1/5/12	01/04/12	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 256,000	Project Start	Dec-12	Nov-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ 82,114	Final Report	Feb-14		
				Final Reimbursement	12/31/14		
11ALA08	Hayward	Clawiter Road Arterial Management	TFCA Award	Agreement Executed	1/5/12	02/27/12	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 190,000.00	Project Start	Dec-12	Feb-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ -	Final Report	Feb-14		
				Final Reimbursement	12/31/14		
11ALA13	Alameda CTC	Alameda County Guaranteed Ride Home (GRH) Program (FYs 11/12 & 12/13)	TFCA Award	Agreement Executed	1/5/12	07/05/11	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 245,000	Project Start	Dec-12	Jan-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ 123,214	Final Report	Feb-14		
				Final Reimbursement	12/31/14		
12ALA02	Pleasanton	Pleasanton Trip Reduction Program (FY 12/13)	TFCA Award	Agreement Executed	2/1/13	2/6/13	Expenditure deadline Oct '14 Expenditures not complete FMR due Jan '14
			\$ 57,507	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14		
			\$ -	Final Report	Jan-14		
				Final Reimbursement	12/31/15		
14ALA01	Alameda County	Fairmont Rd Class II Bike Lanes	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '16 3-year expenditure period approved
			\$ 90,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/16		
			\$ -	Final Report	Jan-17		
				Final Reimbursement	12/31/17		
14ALA02	Berkeley	Berkeley Citywide Bicycle Parking Project	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 155,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA04	Fremont	Arterial Management Stevenson Blvd	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 76,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA05	Hayward	"A" Street Signal Upgrade and Coordination	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 190,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

TFCA County Program Manager Funds

At Risk Report

Report Date: December 31, 2013

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed</u> (Date or Y/N)	<u>Notes</u>
RED ZONE (Milestone deadline within 4 months), continued							
14ALA06	Oakland	Adeline St Bikeway Gap Closure	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 51,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA07	Oakland	CityRacks Bicycle Parking Program Phase 10	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 88,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA08	Oakland/ Alameda CTC	East Bay Greenway	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 190,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA09	Pleasanton	Pleasanton Trip Reduction Program	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 118,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA10	San Leandro	San Leandro LINKS Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 60,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA11	AC Transit	Route 51 Transit Signal Priority (TSP)	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 123,821	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA12	Alameda CTC	Alameda County Guaranteed Ride Home and Transportation Demand Management Services Information	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 270,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA13	Cal State - East Bay	Second BART to Campus Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 130,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA14	LAVTA	Rte 53 Ace to BART Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 120,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA15	LAVTA	Rte 54 Ace to BART Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 47,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

TFCA County Program Manager Funds

At Risk Report

Report Date: December 31, 2013

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
YELLOW ZONE (Milestone deadline within 5-7 Months), continued							
08ALA01	Alameda CTC	Webster Street Corridor Enhancements Project	TFCA Award	Agreement Executed	1/8/09	12/16/08	3rd extension approved Sept '12 Expenditures complete Final Invoice to be received FMR due Jun '14
			\$ 420,000	Project Start	Jan-09	Jun-09	
			TFCA Expended	Expend Deadline Met?	12/22/13	Yes	
			\$ 236,372	Final Report	Jun-14		
				Final Reimbursement	12/31/14		
09ALA01	Alameda CTC	Webster St SMART Corridors	TFCA Award	Agreement Executed	1/7/10	7/7/09	2nd extension approved Sept '12 Expenditures complete Final Invoice to be received FMR due Jun '14
			\$ 400,000	Project Start	Oct-09	Jul-09	
			TFCA Expended	Expend Deadline Met?	12/22/13	Yes	
			\$ 327,145	Final Report	Jun-14		
				Final Reimbursement	12/31/14		
GREEN ZONE (Milestone deadline beyond 7 months)							
10ALA02	Alameda CTC	I-80 Corridor Arterial Management	TFCA Award	Agreement Executed	2/17/11	07/09/10	Expenditures complete Final invoice paid FMR due July 2015, after overall I-80 ICM project is operational.
			\$ 100,000	Project Start	Mar-11	Jul-10	
			TFCA Expended	Expend Deadline Met?	10/28/12	Yes	
			\$ 100,000	Final Report	Jul-15		
				Final Reimbursement	12/31/13	Oct-12	
10ALA04	Hayward	Traffic Signal Controller Upgrade and Synchronization	TFCA Award	Agreement Executed	2/17/11	01/26/11	1st extension approved 9/27/12 Expenditures complete FMR due Sept 2015 (2 years post-project)
			\$ 614,000	Project Start	Mar-11	Dec-10	
			TFCA Expended	Expend Deadline Met?	10/28/13	Yes	
			\$ 614,000	Final Report	Sep-15		
				Final Reimbursement	12/31/14	Jan-13	
11ALA01	Alameda	Park Street Corridor Operations Improvement	TFCA Award	Agreement Executed	1/5/12	06/13/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due Feb '15
			\$ 230,900	Project Start	Dec-12	Dec-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ -	Final Report	Feb-15		
				Final Reimbursement	12/31/15		
11ALA02	Alameda County	Mattox Road Bike Lanes	TFCA Award	Agreement Executed	1/5/12	01/24/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due Feb '15
			\$ 40,000	Project Start	Dec-12	Dec-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ 11,500	Final Report	Feb-15		
				Final Reimbursement	12/31/15		
11ALA09	Oakland	Traffic Signal Synchronization along Martin Luther King Jr. Way	TFCA Award	Agreement Executed	1/5/12	03/08/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due date Dec '15 (2 years post-project)
			\$ 125,000	Project Start	Dec-12	May-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ 36,489	Final Report	Feb-16		
				Final Reimbursement	12/31/15		
11ALA07	Hayward	Post-project Monitoring/Retiming activities for Arterial Mgmt project 10ALA04	TFCA Award	Agreement Executed	1/5/12	06/01/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due Sept '15
			\$ 50,300.00	Project Start	Dec-12	Feb-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ -	Final Report	Sep-15		
				Final Reimbursement	12/31/15		
14ALA03	East Bay Regional Park District	Iron Horse Trail Dublin/Pleasanton BART Santa Rita Road	TFCA Award	Agreement Executed	Jan-14	11/8/13	Expenditure deadline Oct '15 Expenditures not complete FMR due Jan '16
			\$ 180,000	Project Start	Dec-14	Jul-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

TFCA County Program Manager Funds

At Risk Report

Report Date: December 31, 2013

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
Completed Projects (will be removed from the next monitoring report)							
11ALA04	Cal State - East Bay	CSUEB - 2nd Campus to BART Shuttle (FYs 11/12 & 12/13)	TFCA Award	Agreement Executed	1/5/12	11/08/11	Expenditures complete Final Invoice paid FMR received
			\$ 194,000	Project Start	Dec-12	Aug-11	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ 194,000	Final Report	Feb-14	Oct-13	
				Final Reimbursement	12/31/14	Dec-13	
11ALA05	Cal State - East Bay	Transportation Demand Management Pilot Program (FY 11/12)	TFCA Award	Agreement Executed	1/5/12	11/08/11	Expenditures complete Final Invoice paid FMR received
			\$ 52,000	Project Start	Dec-12	Sep-11	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ 52,000	Final Report	Dec-12	Dec-12	
				Final Reimbursement	12/31/13	Jun-13	
11ALA12	San Leandro	San Leandro LINKS Shuttle (FYs 11/12 & 12/13)	TFCA Award	Agreement Executed	1/5/12	11/08/11	Expenditures complete Final Invoice paid FMR received
			\$ 47,500	Project Start	Dec-12	Jul-11	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ 47,500	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/14	Oct-12	
12ALA01	Oakland	Broadway Shuttle: Fri and Sat Evening Extended Service (FY 12/13)	TFCA Award	Agreement Executed	2/1/13	12/14/12	Expenditures complete Final Invoice paid FMR received
			\$ 35,300	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 35,300	Final Report	Sep-13	Sep-13	
				Final Reimbursement	12/31/15	Aug-13	
12ALA03	Cal State - East Bay	CSUEB Second Shuttle - Increased Service Hours (FY 12/13)	TFCA Award	Agreement Executed	2/1/13	2/6/13	Expenditures complete Final Invoice paid FMR received
			\$ 56,350	Project Start	Dec-13	Sep-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 56,350	Final Report	Sep-13	Oct-13	
				Final Reimbursement	12/31/15	Dec-13	
12ALA04	LAVTA	Route 10 - Dublin/Pleasanton BART to Livermore ACE Station and LLNL (FY 12/13 Operations)	TFCA Award	Agreement Executed	2/1/13	1/9/13	Expenditures complete Final Invoice paid FMR received
			\$ 144,346	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 144,346	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/15	Jul-13	
12ALA05	LAVTA	ACE Shuttle Service - Route 53 (FY 12/13 Operations)	TFCA Award	Agreement Executed	2/1/13	1/9/13	Expenditures complete Final Invoice paid FMR received
			\$ 34,180	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 34,180	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/15	Jul-13	
12ALA06	LAVTA	ACE/BART Shuttle Service - Route 54 (FY 12/13 Operations)	TFCA Award	Agreement Executed	2/1/13	1/9/13	Expenditures complete Final Invoice paid FMR received
			\$ 30,700	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 30,700	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/15	Jul-13	
12ALA07	BAAQMD	Port Truck Replacement Program (Model Years 2005/06)	TFCA Award	Agreement Executed	2/1/13	5/17/13	Agreement termination letter received from Air District 6/5/13. \$1.43M to be included in FY14/15 fund estimate.
			\$ 1,430,000	Project Start	Dec-13	NA	
			TFCA Expended	Expend Deadline Met?	10/17/14	NA	
			\$ -	Final Report	Sep-13	NA	
				Final Reimbursement	12/31/15	NA	

Report Milestone Notes

Agreement Executed = Date TFCA Agreement executed by Alameda CTC

Project Start = Date of project initiation

Expend Deadline Met? = Expenditures were completed by established deadline (Yes/No)

Final Report = Date final project reporting received by Alameda CTC

Final Reimbursement = Date final invoice paid by Alameda CTC



Memorandum

5.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Alameda County Freeway Soundwall Policy

RECOMMENDATION: Approve revisions to the Alameda County Freeway Soundwall Policy.

Summary

Implementing soundwall projects involves lengthy lead times due to design constraints and identifying funding. The delivery of a retrofit soundwall project (wherein existing homes were in place prior to a freeway) also involves above average coordination and outreach efforts between the local agencies, property owners and other community stakeholders, Caltrans and the Alameda CTC.

The existing Alameda County Freeway Soundwall Policy (Policy) adopted in 2002, is not consistent with the current project nomination / project deliver methodology for soundwall projects as well as how other transportation projects are advanced within Alameda County. The Policy also needs to be streamlined to increase its effectiveness and responsiveness to citizens' request for noise barriers.

The amended Policy will reflect the following responsibilities:

Local Jurisdiction

- Provide preliminary evaluation studies to evaluate whether the requested location qualifies for a retrofit soundwall.
- Provide an agency resolution that confirms the community support for the proposed project.
- Prepare a Noise Barrier Scope Summary Report (NBSSR) if applying for STIP funds.

Alameda CTC

- Forward project requests received to the respective jurisdictions
- Evaluate preliminary studies conducted by Local jurisdictions to ensure they are eligible to receive Federal / State funds
- Coordinate NBSSR study requests with Caltrans' Project Initiation Document (PID) work plan process

Approving the amendments will result in

- Increasing the effectiveness of the Policy
- Increased responsiveness to citizens request for consideration for noise barriers
- Maintaining consistent project nominations process to be funded through the State Transportation Improvement Program (STIP)
- Streamline the process to align with the current project delivery methodology

Upon approval, the Soundwall Policy issues considered in this memo will result in a new Alameda CTC Soundwall Policy and will supersede the existing Alameda County CMA Freeway Soundwall Policy.

Background

Caltrans Retrofit Soundwall Program

In the 1980s the State Transportation Improvement Program (STIP) was administered by the Department of Transportation (Caltrans) and included a subprogram (HB311) to address retrofit sound wall candidate projects. The program funded soundwall projects to mitigate noise impacts for pre-existing residences after freeways were constructed (before the advent of the California Environmental Quality Act (CEQA) and the National Environmental Policy Act (NEPA) in the early 1970s). The program arose because of the interest in established communities, in various parts of California, for noise mitigation from adjacent freeways. The policy justification arose because freeways built before CEQA and NEPA may not have considered soundwall components. Those statutes mandated that environmental impacts be considered in the construction of public improvements – and implied such impacts should be mitigated where reasonably feasible.

The retrofit soundwall program required Caltrans to develop a priority list of soundwall improvements, and to fund them in priority order. The total cost of all the projects on Caltrans statewide retrofit soundwall list was estimated to cost between \$200 to \$300 million range (at that time). Staff has the understanding that all the eligible projects that were on the retrofit list in Alameda County have been completed.

HB 311 program was eliminated with the passage of SB 45 (1997) legislation which restructured the STIP programming process.

Under the existing STIP process, new capital projects (that meet STIP eligibility criteria), including retrofit soundwalls, could compete for funding through the STIP process.

The Alameda CTC continues to periodically receive requests from residents for soundwall projects to mitigate existing freeway noise. Based on requests received in the past, the ACCMA approved the Alameda County Freeway Soundwall Policy (Policy) in 2002. Retrofit soundwall requests within Alameda County are currently reviewed and evaluated by the Alameda CTC consistent with the Policy.

The Policy is based on identifying locations where soundwalls would effectively mitigate noise and also be eligible for federal funding. The primary criteria that are considered to evaluate retrofit soundwall projects include:

- The houses were constructed prior to the freeway,
- The existing noise level is above 65 decibels,
- A soundwall would reduce noise by at least 5 decibels, and
- The soundwall could be constructed within a reasonable cost (currently identified as \$45,000 per residence).

Implementing soundwall projects involves lengthy lead times due to design constraints and identifying funding. The delivery of a retrofit soundwall project also involves above average coordination and outreach efforts between the local agencies, property owners and other community stakeholders, Caltrans and the Alameda CTC.

Policy Issue - Roles and Responsibilities to Deliver Retrofit Soundwall Projects

Retrofit soundwall projects require a unique mix of participation from multiple stakeholders in the delivery process. Caltrans is the owner and operator of all freeways and freeway facilities (soundwalls included) in the State of California. The Alameda CTC is responsible for prioritizing STIP funds and has assisted in reviewing and evaluating retrofit soundwall requests in the past. The local jurisdiction the soundwall would be located in must also be involved from the time of the initial request. The local jurisdiction needs to work with residents, community groups and other stakeholders and provide advocacy and resources (staff and funding) to deliver and construct the projects they support. Similar to other transportation project priorities, local agencies need to nominate soundwall projects for STIP funding. In the past, organization structure and budget allowed for Caltrans to provide certain project delivery requirements such as initial evaluation of proposed soundwall locations and preparation of Noise Barrier Scope Summary Reports (NBSSR) (the scoping document required prior to a request for STIP funds). The current structure of Caltrans is no longer capable of providing the resources for these services without committing additional financial resources. Therefore, it is recommended that the Policy be amended to reflect the current project delivery process for retrofit soundwalls, including the additional financial responsibilities required by project sponsors.

Policy Issue - Initial Evaluation of Retrofit Soundwall Requests

The existing Policy defined an initial step in the evaluation of a retrofit soundwall request to gauge feasibility. This initial step was called a "pre-NBSSR" and was intended to provide an initial low cost checklist based evaluation on the likelihood a project location would meet the base criteria of the soundwall policy (houses preceeded freeway facility, noise level, effectiveness of wall, and cost effectiveness). In the past, organization structure and budget allowed for Caltrans to provide certain project delivery requirements such as an initial evaluation of proposed soundwall locations. This step was included to avoid completing a costly NBSSR study for a project that would not likely meet certain minimum project requirements. The current structure of Caltrans is no longer capable of providing

this evaluation. Therefore, it is recommended that the Policy be amended to reflect the current project delivery process for retrofit soundwalls, including providing local agencies with guidance and required documentation to establish the feasibility of a proposed retrofit soundwall project.

Policy Issue - Funding Retrofit Soundwalls Projects

One of the biggest challenges for implementing retrofit soundwall projects is the availability (or rather lack of) fund source types. Retrofit soundwalls are eligible to be funded with State Transportation Improvement Program (STIP) funds, Federal Surface Transportation Program (Federal STP) and Local funds (Measure B Local Streets and Roads). Alameda County has already committed approximately \$200 Million of STIP funds from future cycles. The county shares of STIP funding received by Alameda County over the past several years have varied between \$0 to 30 Million per cycle (biennial). Federal STP funds have been prioritized to fund One Bay Area Grant projects including road rehabilitation, bike, pedestrian and transit oriented development improvements. Local funds such as Measure B Local Streets and Roads direct distribution funds, which are assigned at the local agency level, could fund retrofit soundwall projects. Reviewing the past prioritization of projects for these limited fund sources, retrofit soundwall projects have not competed well against other transportation priorities within the County.

In summary, the amended Policy will reflect the following responsibilities:

Local Jurisdiction

1. Provide preliminary evaluation studies to evaluate whether the requested location qualifies for a retrofit soundwall.
2. Provide an agency resolution that confirms the community support for the proposed project.
3. Prepare an NBSSR if applying for STIP funds.

Alameda CTC

1. Forward project requests received to the respective jurisdictions
2. Evaluate preliminary studies conducted by Local jurisdictions to ensure they are eligible to receive Federal / State funds
3. Coordinate NBSSR study requests with Caltrans' PID work plan process

Existing Requests and Status

The Alameda CTC over the past decade has received close to fifty (50) soundwall requests from various parts of the county. Based on initial evaluations, nine (9) locations have been approved as potential locations where a soundwall may be constructed. Out of these, eight (8) locations are in the City of Oakland and one (1) is in the City of San Leandro. As a next step the jurisdictions were required to provide the Alameda CTC petitions signed by residents

adjacent to the proposed soundwall project confirming community support of the project. Alameda CTC has received two (2) signed petitions.

The NBSSR studies for these two locations have been included in Caltrans' 3 years Project Initiation Document (PID) Work Plan request for Alameda County. In order for NBSSR work to proceed funding needs to be identified for both the study work and Caltrans oversight costs.

Upon approval, the Soundwall Policy issues considered in this memo will result in a new Alameda CTC Soundwall Policy and will supersede the existing Alameda County CMA Freeway Soundwall Policy.

Fiscal Impact: There is no fiscal impact.

Staff Contact

[Stewart Ng](#), Deputy Director, Programming and Projects

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

This page intentionally left blank



Memorandum

5.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Vehicle Registration Fee (VRF): Status of Technology Program

RECOMMENDATION: Receive an update on the VRF Technology Program.

Summary

The goal of the VRF program is to sustain the County's transportation network and reduce traffic congestion and vehicle related pollution. The program includes four categories of projects to achieve this, including:

- Local Road Improvement and Repair Program (60%)
- Transit for Congestion Relief (25%)
- Local Transportation Technology (10%)
- Pedestrian and Bicyclist Access and Safety Program (5%)

In 2011, the Commission established the policy that the VRF Local Transportation Technology funding would fund the SMART Corridors Program. This policy is proposed to be further refined in the following item 5.4, VRF Local Transportation Technology Program Policy. The goal of this policy is to improve the revenue collection and funding required to support capital investments and ongoing operational and maintenance requirements that benefit corridors with technology projects such as the Smart Corridors Program.

This Memorandum provides information on the Local Transportation Technology component (a.k.a. SMART Corridors) of the VRF program.

Background

The SMART Corridors Program consists of capital investment and operations & maintenance of equipment used to improve the performance of the transportation systems, by promoting efficient use of the existing roadway, highway, and transit systems. The goal of the SMART Corridors Program is to better manage congestion and incidents, improve transportation safety, mobility and efficiency along various corridors, and efficiently operate and manage express lanes, emergency services, and transit resources.

The SMART Corridors Program field elements support the following corridors:

- East Bay SMART Corridors
 - Interstate 80 (I-80)/San Pablo Avenue (SPA) Corridor
 - Interstate 880 (I-880) Corridor
 - International Boulevard/Telegraph Avenue/East 14th Street (INTEL) Corridor
- Interstate 680 Corridor - Express Lane Support
- Interstate 580 Corridors - Express Lane Support (future)

The East Bay SMART Corridors (EBSC) Program is a cooperative effort by the Alameda CTC and 17 other partner agencies to operate and manage a multi-modal Advanced Transportation Management System (ATMS) to support three field elements along the I-80/SPA, I-880, & INTEL corridors. The field elements include:

- Closed Circuit Television (CCTV) – Fixed cameras mounted on poles to monitor local street traffic flow conditions as a way to confirm actual traffic conditions and to implement appropriate traffic management strategies during an incident.
- Non-Intrusive Vehicle Detection System (VDS) – a microwave motion sensor to detect moving vehicles and provide traffic count data.
- Transit System Priority (TSP) equipment – Equipment that communicates to traffic signals to provide a green extension for Rapid Bus transit vehicles.

Details of typical field elements at an intersection are shown in Attachment A. The data from the field elements and local Traffic Management Centers (TMC) are connected to a centralized EBSC server through leased wire-lines and wireless communication modems. In the Tri-Valley corridor, CCTV and VDS data from the cities of Dublin, Livermore and Pleasanton is accessed through a leased wire-line so Tri-Valley information can be displayed on the EBSC website (<http://www.smartcorridors.com>).

The I-80 Integrated Corridor Management (ICM) project is in the process of rehabilitating the I-80/San Pablo Avenue (SPA) SMART Corridor equipment, as part of the approximately 20 mile long project between the I-80/580/880 interchange to just south of the Carquinez Bridge. A new I-80 ICM Memorandum of Understanding (MOU) was signed by 14 stakeholders along the I-80 corridor in May 2012. Per the MOU, equipment and assets in Contra Costa County Right-of-Way (ROW) were relinquished to Contra Costa cities and Contra Costa County. In addition, equipment and assets in Caltrans ROW, in Alameda County, were relinquished to Caltrans.

The ongoing operation and maintenance (O&M) of the EBSC equipment is provided by a routine maintenance and emergency service contract. The O&M contract was authorized by the Commission in October 2012. The required maintenance services include annual cleaning, calibration, semi-annual inspection and troubleshooting and performing

emergency repair of EBSC field elements. Emergency repair and maintenance services include responding to knock-downs, thefts, collisions, reported failures and malfunction or other abnormal conditions.

The I-880 Corridor and the INTEL Corridor equipment are included in the O&M services contract. The maintenance services are underway in these corridors, providing cleaning, calibration and trouble-shooting for the field equipment. This ongoing maintenance of EBSC equipment will ultimately reduce the operations costs for the system, by providing reliable and updated equipment. It is anticipated that EBSC equipment in the Caltrans ROW associated with the I-880 ICM project will be relinquished to Caltrans in the future.

The I-680 Southbound Express Lane also requires maintenance and emergency repairs of intelligent transportation system (ITS) elements, such as dynamic message signs (DMS), remote traffic monitoring stations (RTMS), in-lay traffic monitoring stations (TMS), Closed Circuit Television (CCTV), communication and power connections. The I-680 Express Lane has been in operation since September 2010 and its annual operations and maintenance costs have been funded with a combination of toll revenue, federal grants, and other local funds. VRF funds will support the routine maintenance and emergency on-call repairs of the ITS elements to effectively manage traffic congestion in this express lane corridor. The toll data center (TDC) of the I-680 Express Lane and the data center of the EBSC are collocated for efficient management of these ITS projects. The future I-580 Express Lanes are also anticipated to use VRF Technology funding for scope similar to the I-680 Express Lanes.

Fiscal Impact: The SMART Corridor program capital investment and operations & maintenance budget is approximately \$1.0 million annually.

Attachments

A. East Bay SMART Corridor (EBSC) Elements and Communications Features

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

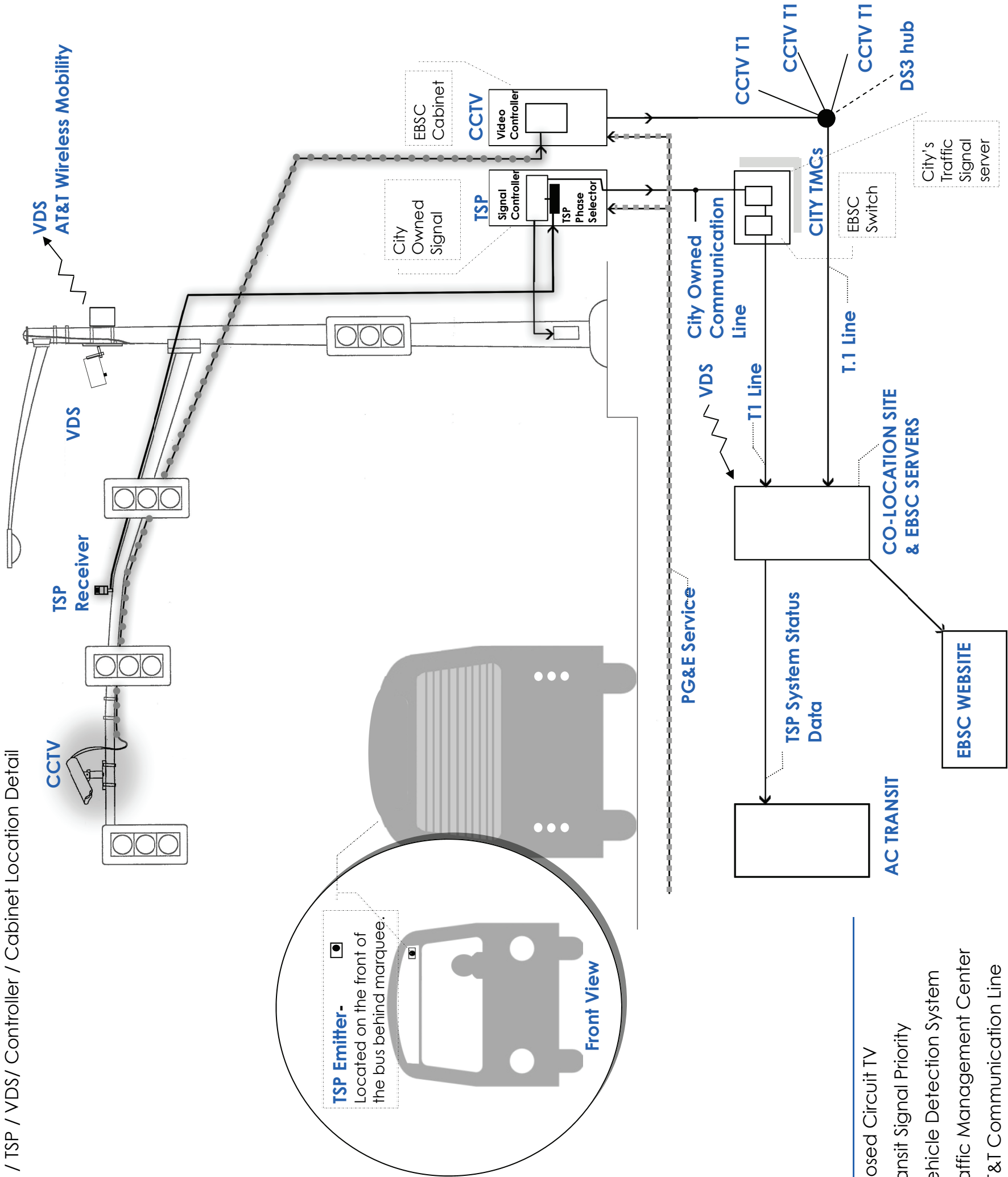
[John Hemiup](#), Senior Transportation Engineer

[Hank Haugse](#), Senior Project Manager

This page intentionally left blank

East Bay SMART Corridor (EBSC) Elements and Communication Features

CCTV / TSP / VDS / Controller / Cabinet Location Detail



This page intentionally left blank



Memorandum

5.4

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Vehicle Registration Fee (VRF): Local Transportation Technology Program Policy

RECOMMENDATION: Approve the Policy for administration of the VRF Local Transportation Technology Program as a direct local distribution program.

Summary

One of the original objectives of the VRF Program, approved by Alameda County Voters in November 2010, was to create a reliable source of funding to support ongoing operational requirements for technology related capital investments that benefit traffic corridors within Alameda County. The Local Transportation Technology Program category defined in the VRF Expenditure Plan has funded, and is proposed to continue to fund, the operation, maintenance and ongoing management of transportation technology projects such as the "Smart Corridors Program" which is operated by the Alameda CTC. The goal of the proposed VRF Local Transportation Technology Program Policy is to create an efficient method to allocate funding for ongoing operational requirements for Alameda CTC's technology related capital investments that benefit traffic corridors in Alameda County such as the "Smart Corridors Program". The proposed policy is consistent with the original intent of the VRF Program. Upon approval by the Commission, the policy will be incorporated into the next update of the Alameda CTC's Strategic Plan (FY14/15).

Background

Measure F, the Alameda County VRF Program, was approved by the voters of Alameda County in November 2010. The fee generates about \$11.5 million per year through a \$10 per year fee on each vehicle registration in Alameda County. Collection of the \$10 per year VRF started in May 2011. The goals of the VRF Program are to sustain the County's transportation network and reduce traffic congestion and vehicle related pollution.

The program includes four categories of projects to achieve this, including:

- Local Road Improvement and Repair Program (60%)
- Transit for Congestion Relief (25%)

- Local Transportation Technology (10%)
- Pedestrian and Bicyclist Access and Safety Program (5%)

The VRF Local Transportation Technology Program Policy provides a process by which the Alameda CTC will administer the Local Transportation Technology Program as a direct Local Distribution program. The goal of this policy is to create a reliable source of funding to support ongoing operational requirements for Alameda CTC's technology related capital investments that benefit traffic corridors in Alameda County such as the "Smart Corridors Program".

The proposed policy is consistent with the original intent of the VRF Program which is to create a reliable source of funding to support ongoing operational requirements for technology related capital investments that benefit traffic corridors in Alameda County. The policy is further detailed in Attachment A.

Fiscal Impact: There is no fiscal impact.

Attachments

A. Vehicle Registration Fee Local Transportation Technology Program Policy

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

**Vehicle Registration Fee
Local Transportation Technology Program
POLICY**

PURPOSE

The goal of the Vehicle Registration Fee Local Transportation Technology Program Policy is to create an efficient method for revenue collection and funding of the support required for ongoing operational requirements for Alameda CTC's technology related capital investments that benefit traffic corridors in Alameda County such as the "Smart Corridors Program".

The Policy specifies that the Local Transportation Technology Program funds will be distributed as a direct Local Distribution program to the Alameda CTC.

POLICY PROVISIONS

- A. The Local Transportation Technology Program will be administered as a Direct Local Distribution Program to the Alameda CTC.
- B. The Commission will have the authority to program the Local Transportation Technology funds directly to the operation and maintenance of ongoing transportation technology projects such as the "Smart Corridors Program" operated by the Alameda CTC.
- C. If excess programming capacity remains after addressing all ongoing operation and maintenance costs required of existing technology corridor operations, the Commission may authorize the programming of excess funds to other eligible projects within the Local Transportation Technology Program category.

This page intentionally left blank



Memorandum

5.5

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Cap and Trade Program Update

RECOMMENDATION: Receive an update on the Cap and Trade Program.

Summary

California's greenhouse gas (GHG) cap-and-trade program is a central element of California's Global Warming Solutions Act ([Assembly Bill 32](#)) and covers major sources of GHG emissions in the state such as refineries, power plants, industrial facilities and transportation fuels. The regulation includes an enforceable GHG cap that will decline over time. The California Air Resources Board (CARB) distributes allowances, which are tradable permits, equal to the emission allowed under the cap. The Alameda CTC supported [AB 574 \(Lowenthal\)](#) which required that Cap and Trade funds derived from motor fuels be used for transportation purposes that support GHG reductions, supporting a nexus between the source and use of the funds. AB 574 included the advocacy principles of the Transportation Coalition for Livable Communities, which was developed and supported by transportation interest and advocacy groups across the state.

On April 16, 2013, the CARB released its draft [Cap & Trade Investment Plan](#) and adopted a final plan on April 25th with no revisions. The final expenditure plan was submitted to the Governor for his May 2013 Budget Revise. However, in the 2013/14 budget, the State borrowed from these funds and did not allocate them for other purposes. It is anticipated that the Governor's proposed 2014/15 budget, which will be released in January 2014 will include proposals for how to allocate the funds.

Over the past few months the Bay Area Congestion Management Agencies have been collaborating with the Metropolitan Transportation Commission (MTC) regarding development of the allocation methods for Cap and Trade funds that come to the region. At its December 2013 meeting, the MTC approved the Cap and Trade Funding Framework and Project Selection Guideline Development Process.

Background

The Bay Area's Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS), known as Plan Bay Area (PBA), was adopted in July 2013 and assumes \$3.1 billion dollars in Cap and Trade revenue. These funds represent the Bay Area's share of funds that are expected to be administered by the state's metropolitan planning organizations.

PBA includes a description of eligible uses, including, but not limited to "transit operating and capital rehabilitation/replacement, local street and road rehabilitation, goods movement, and transit-oriented affordable housing, consistent with the focused land use strategy outlined in Plan Bay Area." PBA further notes that the "share of funds reserved for these purposes, the specific project sponsors and investment requirements will be subject to further deliberation with partner agencies and public input following adoption of Plan Bay Area."

Regarding support for communities of concern, PBA states that Cap and Trade revenues will be allocated to specific programs through a transparent and inclusive regional public process that "will specifically ensure that at least 25 percent of these revenues will be spent to benefit disadvantaged communities in the Bay Area, and to achieve the goals of Plan Bay Area."

In addition, PBA states that the plan will direct a "significant portion" of the revenue generated from Cap and Trade to unmet transit needs.

MTC released a proposal in November 2013 that identified specific categories of expenditures for cap and trade funds that aligns with the focused land use strategy outlined in Plan Bay Area. The proposal also includes principles that, among others, require all investment categories to include funding that benefits disadvantaged communities as defined by MTC's Communities of Concern analysis that was included in Plan Bay Area.

At its December 2013 meeting, the MTC approved the Cap and Trade Funding Framework and Project Selection Guideline Development Process.

Table 1: investment categories for Cap and Trade Funding included the following focus areas

Funding Category	Amount (\$ x million)
1. Transit Core Capacity Challenge Grants Program	875
2. Transit Operating and Efficiency Program	500
3. One Bay Area Grants	1,050
4. Climate Initiatives	275
5. Goods Movement	450
TOTAL	\$3,150

The Transit Core Capacity program includes investment of \$875 million over the life of Plan Bay Area and focuses on BART, SFMTA, and AC Transit – transit operators that carry 80% of region's passengers and account for approximately 75% of the plan's estimated transit capital shortfall, and also includes funding for the Santa Clara Valley Transportation Authority (VTA) system.

The Transit Operating and Efficiency Program includes investment of \$500 million and is distributed based on a formula that provides 40% of the funding to core capacity transit operators (AC Transit, BART, and SFMTA) and 60% to the remaining transit operators. The formula for distribution within the two operator categories is as follows: 50% based on ridership; 25% based on low-income ridership; and 25% based on minority ridership (see attached material for additional detail).

The One Bay Area Grants category includes investment of \$1,050 million towards transportation improvements concentrated near high quality transit and higher density housing focusing on complete streets, bicycle and pedestrian facilities, and streetscape improvements.

The Climate Initiatives Program is a multi-agency program focused on investments in technology advancements and incentives for travel options that help the Bay Area meet the GHG emission reduction targets related to SB375. This category includes \$75 Million funding to support the county Safe Routes to School programs

Goods movement investments fall into two categories: (1) projects focused on improving the efficiency of the movement of goods within and through the region, and (2) mitigation projects that reduce the associated environmental impacts on local communities. MTC is currently working with Caltrans and selected Congestion Management Agencies (including the Alameda CTC) to update the regional goods movement program and to inform the California Freight Mobility Plan.

The proposed principles and a set of investment categories for Cap and Trade Funding are listed in Attachment A. The process for developing the guidelines for various categories are detailed in the Project Selection Guidelines and will occur in 2014 (and are further detailed in Attachment B).

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Principles and investment categories for Cap and Trade Funding
- B. Process for developing the Project Selection Guidelines

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

Date: December 18, 2013
 W.I.: 1515
 Referred by: PAC

Attachment A
 Resolution No. 4130
 Page 1 of 3

Attachment A

Bay Area Cap and Trade Funding Framework

Cap and Trade Reserve Investment Principles

1. Cap and Trade Funds must have a strong nexus to Greenhouse Gas (GHG) reduction
2. Distribution of the estimated \$3.1 billion in available funds will serve to strategically advance the implementation of Plan Bay Area and related regional policies
3. Investment Categories and related Policy Initiatives will be structured to provide co-benefits and opportunities to leverage investments across categories and from multiple sources (public and private).
4. All Investment Categories should include funding that benefits disadvantaged communities. The communities are defined as MTC's Communities of Concern, or as refined during the guideline development process.

Cap and Trade Reserve Funding Categories

1. Transit Core Capacity Challenge Grants Program

Plan Bay Area identifies a remaining need of \$17 billion over nearly three decades to achieve an optimal state of repair for the region's public transit network. The plan's in-fill and transit-oriented growth strategy relies on a well-maintained transit system to meet greenhouse gas emissions reduction targets and other plan performance objectives.

Proposal:

- Invest \$875 million over the life of Plan Bay Area
- The proposed Transit Core Capacity Challenge Grant Program:
 - a) accelerates fleet replacement and other state of good repair projects from Plan Bay Area, including "greening" the fleet and other strategic capital enhancements
 - b) focuses on BART, SFMTA, and AC Transit – transit operators that carry 80% of region's passengers, account for approximately 75% of the plan's estimated transit capital shortfall, and serve PDAs that are expected to accommodate the lion's share of the region's housing and employment growth
 - c) achieves roughly \$7 billion in total state of good repair investment by leveraging other regional discretionary funds and requiring a minimum 30% local match from the three operators
 - d) requires that participating operators meet the Transit Sustainability Project's performance objectives outlined in MTC Resolution No. 4060

2. Transit Operating and Efficiency Program

Plan Bay Area fully funds existing transit service levels at nearly \$115 billion over the three decade period, with an assumption that the largest transit operators achieve near-term performance improvements. However, the plan also identifies the importance of a more robust and expanded public transit network, anchored by expanded local service, as a key ingredient for success of Plan Bay Area's growth strategy. In particular, the plan falls short of the funding necessary to meet the performance target of growth in the non-auto mode share to 26 percent of all trips.

Proposal:

- Invest \$500 million over the life of Plan Bay Area
- Distribute the funding based on a formula that provides 40% of the funding to core capacity transit operators (AC Transit, BART, and SFMTA) and 60% to the remaining transit operators. The formula for distribution within the two operator categories is as follows: 50% based on ridership; 25% based on low-income ridership; and 25% based on minority ridership. The \$500 million distribution based on 2011 National Transit Database ridership and 2006 Godbe Transit Passenger Demographic Survey is as follows:

Core Capacity Operator	40%
<i>AC Transit</i>	\$35
<i>BART</i>	\$54
<i>SFMTA</i>	\$111
Subtotal	\$200
Other Operator	60%
<i>Caltrain</i>	\$35
<i>Golden Gate (w Marin Transit)</i>	\$22
<i>SamTrans</i>	\$44
<i>VTA</i>	\$140
Subtotal	\$241
<i>ACE</i>	\$1.8
<i>CCCTA</i>	\$10.3
<i>ECCTA</i>	\$8.1
<i>Fairfield + Suisun</i>	\$2.9
<i>LAVTA</i>	\$5.4
<i>NCTPA</i>	\$2.5
<i>Santa Rosa</i>	\$9.7
<i>SolTrans</i>	\$4.8
<i>Sonoma County</i>	\$4.3
<i>Union City</i>	\$1.5
<i>Vacaville</i>	\$1.3
<i>WCCTA</i>	\$3.8
<i>WETA</i>	\$2.7
Subtotal	\$59
Total	\$500

3. One Bay Area Grants

Plan Bay Area invests over \$14 billion in transportation improvements concentrated near high quality transit and higher density housing – through the One Bay Area grant program – focusing on complete streets, bicycle and pedestrian facilities, and streetscape improvements. The Plan identifies a remaining need of \$20 billion over the next three decades to achieve a PCI score of 75, the Plan’s adopted performance target for pavement; of this, roughly 45% is for non-pavement infrastructure, critical for complete streets that would serve alternative modes and transit-oriented development that is a key part of Plan Bay Area’s growth strategy. Further, the provision of housing for low and moderate income households in areas that provide access to jobs was identified in Plan Bay Area as critical to sustaining the region’s economic growth and attaining the Plan’s GHG and Housing Targets.

Proposal:

- Invest \$1,050 million to augment the One Bay Area Grant Program

4. Climate Initiatives

The Climate Initiatives Program is a multi-agency program focused on investments in technology advancements and incentives for travel options that help the Bay Area meet the GHG emission reduction targets related to SB375.

Proposal:

- Invest \$275 million for the Climate Initiatives Program over the life of Plan Bay Area, including \$75 million funding to support the county Safe Routes to School programs

5. Goods Movement

Goods movement investments fall into two categories: (1) projects focused on improving the efficiency of the movement of goods within and through the region, and (2) mitigation projects that reduce the associated environmental impacts on local communities. MTC is currently working with Caltrans and selected Congestion Management Agencies to update the regional goods movement program and to inform the California Freight Mobility Plan.

Proposal:

- Invest \$450 million for goods movement projects over the life of Plan Bay Area

Funding Category	Amount (\$ millions)
1. Transit Core Capacity Challenge Grants Program	875
2. Transit Operating and Efficiency Program	500
3. One Bay Area Grants	1,050
4. Climate Initiatives	275
<i>Safe Routes to School</i>	75
5. Goods Movement	450
TOTAL	\$3,150

This page intentionally left blank

Date: December 18, 2013
 W.I.: 1515
 Referred by: PAC

Attachment B
 Resolution No. 4130
 Page 1 of 2

Attachment B

Cap and Trade Guideline Development Process

Following adoption of the Cap and Trade Funding Framework, staff will convene stakeholders to develop the project selection process and criteria for individual categories, summarized below:

- Transit Operating and Efficiency Program
- One Bay Area Grants
- Climate Initiatives
- Goods Movement

The Transit Core Capacity Challenge Grant Program would follow the process and project selection included in MTC Resolution No. 4123.

Stakeholder Involvement: Staff will convene the Regional Advisory Working Group (RAWG) as the discussion forum for the development of the project selection process and criteria. Members of the Partnership Board and Policy Advisory Council (or their working groups) will be invited to participate in the RAWG, but will also receive updates on the progress of the RAWG Cap and Trade guideline development discussions. In addition, certain subject matter experts or stakeholders may be added to the standing working groups to provide information for specific categories of funding.

Development of Program Guidelines: The development of the project selection process and criteria is proposed to take place over a 6-12 month period and generally follow the process below:

- Review studies/efforts completed to-date
- Conduct an initial evaluation to establish focus area within the Funding Category
- Develop the draft guidelines
- Release the draft guidelines for stakeholder review
- Commission approval of Program Guidelines and adjustment to Framework, if necessary

More detail on each step in the proposed process is provided in the table on the next page. Staff proposes to initiate discussions between summer 2014 and early 2015, depending on the enactment of state legislation and completion of studies that may inform guidelines.

Process Steps	Work Plan and Timeframe																				
Review Studies and Efforts Completed To-Date	<p>Staff will summarize and review with stakeholders recent efforts completed for each of the Cap and Trade categories. Possible studies by category include:</p> <table><tr><th><i>Transit Operating and Efficiency</i></th><th><i>OneBayArea Grants</i></th><th><i>Climate Initiatives</i></th><th><i>Goods Movement</i></th></tr><tr><td>1) Transit Sustainability Project</td><td>1) Plan Bay Area</td><td>1) Plan Bay Area</td><td>1) Plan Bay Area</td></tr><tr><td>2) Short Range Transit Plans or similar plans</td><td>2) Cycle 1 Evaluation</td><td>2) Innovative Grants Evaluation</td><td>2) Regional Goods Movement Plan and update</td></tr><tr><td></td><td></td><td>3) Air District Plans and programs</td><td>3) California Freight Mobility Plan</td></tr><tr><td></td><td></td><td>4) CARB programs</td><td></td></tr></table>	<i>Transit Operating and Efficiency</i>	<i>OneBayArea Grants</i>	<i>Climate Initiatives</i>	<i>Goods Movement</i>	1) Transit Sustainability Project	1) Plan Bay Area	1) Plan Bay Area	1) Plan Bay Area	2) Short Range Transit Plans or similar plans	2) Cycle 1 Evaluation	2) Innovative Grants Evaluation	2) Regional Goods Movement Plan and update			3) Air District Plans and programs	3) California Freight Mobility Plan			4) CARB programs	
<i>Transit Operating and Efficiency</i>	<i>OneBayArea Grants</i>	<i>Climate Initiatives</i>	<i>Goods Movement</i>																		
1) Transit Sustainability Project	1) Plan Bay Area	1) Plan Bay Area	1) Plan Bay Area																		
2) Short Range Transit Plans or similar plans	2) Cycle 1 Evaluation	2) Innovative Grants Evaluation	2) Regional Goods Movement Plan and update																		
		3) Air District Plans and programs	3) California Freight Mobility Plan																		
		4) CARB programs																			
Conduct an Initial Evaluation to Establish Focus Area within the Funding Category	<p>Evaluate Project and Program Categories, based on the review of efforts to-date, broadly for the following:</p> <ol style="list-style-type: none">1) GHG emission reduction;2) How well the projects or programs serve disadvantaged communities;3) Other performance factors; and4) Consistency with approved Cap and Trade statute, when available <p>This evaluation will inform the program focus areas and the criteria for competitive project selections.</p>																				
Develop the Guidelines	<p>This step should follow enactment of the legislation governing Cap and Trade funding to ensure consistency. The guidelines should consider the information gathered in the process steps above and include the following:</p> <ol style="list-style-type: none">1) Eligible project types2) Individual project review and scoring3) Funding amount and timing4) Consistency with other initiatives5) Potential leverage opportunities/local match requirements6) Other requirements specified for funding eligibility (state requirements)																				
Release the Draft Guidelines for Stakeholder Review	<p>Stakeholders would have an opportunity to review the draft guidelines and provide additional comments. Staff would review comments and finalize the guidelines accordingly.</p>																				
Commission Approval of Program Guidelines	<p>The Commission would consider adoption of the guidelines for specific program categories in early to late 2015. As necessary, the Commission would also consider any adjustments to the Cap and Trade Funding Framework to address stakeholder discussions or final legislative direction. The timing of these approvals will depend on the enactment of legislation governing Cap and Trade and the length of the guideline development process.</p>																				



Memorandum

5.6

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Implementation Guidelines for the Special Transportation for Seniors and People with Disabilities Program

RECOMMENDATION: Approve revisions to the Implementation Guidelines for the Special Transportation for Seniors and People with Disabilities Program.

Summary

In 1986, Alameda County voters approved the Measure B half-cent transportation sales tax, which was later reauthorized in November 2000. Alameda CTC allocates approximately 60 percent of the net sales tax revenues to essential programs and services in Alameda County. The remaining approximated 40 percent are earmarked for specific capital projects as set forth in the 2000 Measure B Transportation Expenditure Plan. Of the 60 percent of net sales tax revenues directed to programs, 10.45 percent is designated to the Special Transportation for Seniors and People with Disabilities program. The Implementation Guidelines for the Special Transportation for Seniors and People with Disabilities Program provide program eligibility, definitions and fund usage for both Measure B direct local program distribution funds and discretionary grant funds.

The Implementation Guidelines were originally adopted by the Commission on December 16, 2011 and incorporated into the Master Programs Funding Agreements (MPFA). Minor revisions to the Guidelines were adopted on January 24, 2013. The Paratransit Advisory and Planning Committee (PAPCO) and the Paratransit Technical Advisory Committee (ParaTAC) discussed revisions to the Implementation Guidelines at the November 25, 2013 Joint meeting and PAPCO recommended the revised Implementation Guidelines (Attachment A) for Commission approval. The revised Implementation Guidelines for the Special Transportation for Seniors and People with Disabilities Program will replace the referenced Implementation Guidelines in the MPFA.

Background

The Implementation Guidelines for the Special Transportation for Seniors and People with Disabilities Program provide the eligibility requirements for services that can be funded, partially or in their entirety, with Alameda CTC direct local program distribution funds and discretionary grant funds as part of the MPFA. The Guidelines were originally adopted by

R:\AlaCTC_Meetings\Commission\PPC\20140113\5.6_Revised_Imp_Guidelines_Paratransit\5.6_Revised_Imp_Guidelines_20140113_V3.docx

the Commission on December 16, 2011 and incorporated into the Master Programs Funding Agreements (MPFA). All ADA mandated paratransit services, city-based non-mandated programs, and discretionary grant projects funded with Measure B revenues were required to be in full compliance with these guidelines by the end of fiscal year 2012-2013.

Minor revisions to the Guidelines were adopted on January 24, 2013. PAPCO and TAC discussed revisions to the Guidelines at the November 25, 2013 Joint meeting and PAPCO approved and recommended two revisions for Commission approval. The revised guidelines reclassify the "Wheelchair Van Service" as a "Specialized Van Service" and broaden the parameters of the "Scholarship/Subsidized Fare Program" to allow city-based programs greater flexibility in meeting community needs. The Specialized Van Service provides accessible, door-to-door trips on a pre-scheduled or same-day basis as a supplement to a city-based program (e.g. subsidized taxi) that does not meet critical needs for particular trips in certain communities. The Scholarship/Subsidized Fare Program language was clarified to confirm that Cities can use non-Measure B funds to purchase East Bay Paratransit tickets, above the current three percent limit of total Measure B funds that they are allowed. Some Cities purchase East Bay Paratransit tickets to be provided to their patrons at a lower cost. Once approved, the Implementation Guidelines for the Special Transportation for Seniors and People with Disabilities Program will replace the referenced Implementation Guidelines in the MPFA.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Implementation Guidelines for Special Transportation for Seniors and People with Disabilities Program

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Matt Todd](#), Principal Transportation Engineer

[John Hemiup](#), Senior Transportation Engineer

Implementation Guidelines – Special Transportation for Seniors and People with Disabilities Program

These guidelines lay out the service types that are eligible to be funded with Alameda County Measure B and Vehicle Registration Fee (VRF) revenues under the Special Transportation for Seniors and People with Disabilities Program (Paratransit). All programs funded partially or in their entirety through Measure B or the VRF, including ADA-mandated paratransit services, city-based non-mandated programs, and discretionary grant funded projects, must abide by the following requirements for each type of paratransit service. Programs must be in full compliance with these guidelines by the end of fiscal year 2012-2013.

Fund recipients are able to select which of these service types is most appropriate in their community to meet the needs of seniors and people with disabilities. Overall, all programs should be designed to enhance quality of life for seniors and people with disabilities by offering accessible, affordable, and convenient transportation options to reach major medical facilities, grocery stores and other important travel destinations to meet life needs.

The chart below summarizes the eligible service types and their basic customer experience parameters; this is followed by more detailed descriptions of each.

Service	Timing	Accessibility	Origins/ Destinations	Eligible Population
ADA Paratransit	Pre-scheduled	Accessible	Origin-to-Destination	People with disabilities unable to ride fixed route transit
Door-to-Door Service	Pre-scheduled	Accessible	Origin-to-Destination	People with disabilities unable to ride fixed route transit and seniors
Taxi Subsidy	Same Day	Varies	Origin-to-Destination	Seniors and people with disabilities
Specialized Van	Pre-scheduled & Same Day	Accessible	Origin-to-Destination	People with disabilities using mobility devices that require lift- or ramp-equipped vehicles
Accessible Shuttles	Fixed Schedule	Accessible	Fixed or Flexed Route	Seniors and people with disabilities
Group Trips	Pre-scheduled	Varies	Round Trip Origin-to-Destination	Seniors and people with disabilities
Volunteer Drivers	Pre-scheduled	Generally Not Accessible	Origin-to-Destination	Vulnerable populations with special needs, e.g. requiring door-through-door service or escort

Mobility Management and/or Travel Training	N/A	N/A	N/A	Seniors and people with disabilities
Scholarship/Subsidized Fare Programs	N/A	N/A	N/A	Seniors and people with disabilities

Note on ADA Mandated Paratransit. Programs mandated by the American's with Disabilities Act are implemented and administered according to federal guidelines that may supersede these guidelines; however all ADA-mandated programs funded through Measure B or the VRF are subject to the terms of the Master Programs Funding Agreement.

Interim Service for Consumers Awaiting ADA Certification: At the request of a health care provider, or ADA provider, city-based programs must provide interim service through the programs listed below to consumers awaiting ADA certification. Service must be provided within three business days of receipt of application.

City-based Door-to-Door Service Guidelines	
Service Description	<p>City-based door-to-door services provide pre-scheduled, accessible, door-to-door trips. Some programs allow same day reservations on a space-available basis. They provide a similar level of service to mandated ADA services. These services are designed to fill gaps that are not met by ADA-mandated providers and/or relieve ADA-mandated providers of some trips.</p> <p>This service type does not include taxi subsidies which are discussed below.</p>
Eligible Population	<p>People 18 and above with disabilities who are unable to use fixed route services or Seniors 80 years or older without proof of a disability.</p> <p>Cities may provide services to consumers who are younger than age 80, but not younger than 70 years old.</p> <p><i>Cities may offer "grandfathered" eligibility to program registrants below 70 years old who have used the program regularly in the prior fiscal year as long as it does not impinge on the City's ability to meet the Implementation Guidelines.</i></p> <p><i>Program sponsors may use ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City Transit), as proof of disability.</i></p>
Time & Days of Service	<p>At a minimum, service must be available five days per week between the hours of 8 am and 5 pm (excluding holidays).</p> <p>At a minimum, programs should accept reservations between the hours of 8 am and 5 pm Monday – Friday.</p>
Fare (Cost to Customer)	<p>Fares for pre-scheduled service should not exceed local ADA paratransit fares, but can be lower, and can be equated to distance. Higher fares can be charged for "premium" same-day service.</p>
Other	<p>Door-to-Door programs must demonstrate that they are providing trips at an equal or lower cost than the ADA-mandated provider on a cost per trip and cost per hour basis.</p> <p>Programs cannot impose limitations based on trip purpose, but can impose per person trip limits to control program resources.</p>

Taxi Subsidy Service Guidelines	
Service Description	<p>Taxis provide curb-to-curb service that can be scheduled on a same-day basis. They charge riders on a distance/time basis using a meter. Taxi subsidy programs allow eligible consumers to use taxis at a reduced fare by reimbursing consumers a percentage of the fare or by providing some fare medium, e.g. scrip or vouchers, which can be used to cover a portion of the fare. These programs are intended for situations when consumers cannot make their trip on a pre-scheduled basis. This is meant to be a “premium” safety net service, not a routine service to be used on a daily basis.</p> <p>The availability of accessible taxi cabs varies by geographical area, but programs should expand availability of accessible taxi cabs where possible.</p>
Eligible Population	<p>People 18 and above with disabilities who are unable to use fixed route services or Seniors 80 years or older without proof of a disability.</p> <p>Cities may provide services to consumers who are younger than age 80, but not younger than 70 years old.</p> <p><i>Cities may offer “grandfathered” eligibility to program registrants below 70 years old who have used the program regularly in the prior fiscal year as long as it does not impinge on the City’s ability to meet the Implementation Guidelines.</i></p> <p><i>Program sponsors may use ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City Transit), as proof of disability.</i></p>
Time & Days of Service	24 hours per day/7 days per week
Fare (Cost to Customer)	<p>At a minimum, programs must subsidize 50% of the taxi fare.</p> <p>Programs can impose a cap on total subsidy per person. This can be accomplished through a maximum subsidy per trip, a limit on the number of vouchers/scrip (or other fare medium) per person, and/or a total subsidy per person per year.</p>

City-based Specialized Van Service	
Service Description	<p>Specialized van service provides accessible, door-to-door trips on a pre-scheduled or same-day basis. These services are generally implemented as a supplement to a program that does not meet critical needs for particular trips in accessible vehicles in certain communities. Examples of unmet needs might be a taxi program without accessible vehicles or medical trips for riders too frail to take a shuttle, or outside of the ADA-mandated service area.</p> <p>These programs make use of fare mediums such as scrip and vouchers to allow consumers to pay for rides.</p>
Eligible Population	At discretion of program sponsor with local consumer input.
Time & Days of Service	At discretion of program sponsor with local consumer input.
Fare (Cost to Customer)	At discretion of program sponsor with local consumer input.
Other	Specialized van programs should provide trips at an equal or lower cost than the ADA-mandated provider on a cost per trip and cost per hour basis.

City Accessible Shuttle Service Guidelines	
Service Description	<p>Shuttles are accessible vehicles that operate on a fixed, deviated, or flex-fixed route and schedule. They serve common trip origins and destinations visited by eligible consumers. Common trip origins and destinations are: senior centers, medical facilities, grocery stores, BART stations, other transit stations, community centers, commercial districts, and post offices.</p> <p>Shuttles should be designed to supplement existing fixed route transit services. Routes should not necessarily be designed for fast travel, but to get as close as possible to destinations of interest, often going into parking lots or up to the front entrance of a senior living facility. Shuttles allow for more flexibility than pre-scheduled paratransit service, and are more likely to serve active seniors who do not drive and are not ADA paratransit registrants.</p>
Eligible Population	Shuttles should be designed to appeal to older people, but can be made open to the general public.
Time and Days of Service	At discretion of program sponsor with local consumer input.
Fare (Cost to Customer)	Fares should not exceed local ADA paratransit fares, but can be lower, and can be equated to distance.
Cost of Service	By end of FY12/13, the cost per one-way person trip must be \$20 or lower, including transportation and direct administrative costs.
Other	<p>Shuttles are required to coordinate with the local fixed route transit provider. Shuttle routes and schedules should be designed with input from the senior and disabled communities and any new shuttle plan must be submitted to the Alameda CTC for review prior to requesting funding to ensure effective design.</p> <p>Deviations and flag stops are permitted at discretion of program sponsor.</p>

Group Trips Service Guidelines	
Service Description	<p>Group trips are round-trip rides for pre-planned outings or to attend specific events or go to specific destinations for fixed amounts of time, e.g. shopping trips, sporting events, or community health fairs. Trips usually originate from a senior center or housing facility and are generally provided in accessible vans and other vehicle types or combinations thereof. These trips are specifically designed to serve the needs of seniors and people with disabilities.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	Group trips must begin and end on the same day.
Fare (Cost to Customer)	At discretion of program sponsor.
Other	Programs can impose mileage limitations to control program costs.

Volunteer Driver Service Guidelines	
Service Description	<p>Volunteer driver services are pre-scheduled, door-through-door services that are generally not accessible. These programs rely on volunteers to drive eligible consumers for critical trip needs, such as medical trips. This service type meets a key mobility gap by serving door-through-door trips for more vulnerable populations. This is a complementary gap-filling service.</p> <p>Volunteer driver programs may also have an escort component where volunteers accompany consumers, who are unable to travel in a private vehicle, on ADA trips.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	At discretion of program sponsor.
Fare (Cost to Customer)	At discretion of program sponsor.
Other	Program sponsors can use Measure B funds to pay for volunteer mileage reimbursement purposes or an equivalent financial incentive for volunteers and/or administrative purposes.

Mobility Management and/or Travel Training Service Guidelines	
Service Description	<p>Mobility management and/or travel training play an important role in ensuring that people use the "right" service for each trip, e.g. using EBP from Fremont to Berkeley for an event, using a taxi voucher for a same-day semi-emergency doctor visit, and requesting help from a volunteer driver or group trips service for grocery shopping. Mobility management covers a wide range of activities, such as travel training, escorted companion services, coordinated services, trip planning, and brokerage.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	At discretion of program sponsor.
Fare (Cost to Customer)	N/A
Other	<p>Programs must specify a well-defined set of activities that will be undertaken in a mobility management or travel training program.</p> <p>The mobility management plan or travel training program must be submitted to the Alameda CTC for review prior to requesting funding to ensure effective design.</p>

Scholarship/Subsidized Fare Program Guidelines	
Service Description	Scholarship or Subsidized Fare Programs can subsidize any service for customers who are low-income and can demonstrate financial need.
Eligible Population	Subsidies can be offered to low-income consumers with demonstrated financial need; these consumers must also meet the eligibility requirements of the service for which the subsidy is being offered. Low income should be considered 30% AMI (area median income) or lower.
Time and Days of Service	N/A
Fare (Cost to Customer)	N/A
Other	Program sponsors must describe how financial means testing will be undertaken. If program sponsors include subsidized East Bay Paratransit (EBP) tickets in this program, no more than 3% of their direct local program distribution funds, or discretionary funds, may be used for these tickets. Programs may use other funds to purchase these tickets in excess of the 3% direct local program distributions funds or discretionary funds.

Meal Delivery Service Guidelines	
Service Description	Meal Delivery Programs deliver meals to the homes of individuals who are transportation disadvantaged. Although this provides access to life sustaining needs for seniors and people with disabilities, it is not a direct transportation expense.
Eligible Population	For currently operating programs, at discretion of program sponsor.
Time and Days of Service	For currently operating programs, at discretion of program sponsor.
Fare (Cost to Customer)	For currently operating programs, at discretion of program sponsor.
Other	Currently operating programs can continue to use Measure B funds for these service costs, but new meal delivery services cannot be established.



Memorandum

5.7

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Proposition 1B Transit System Safety, Security & Disaster Response Account (TSSSDRA) Funds

RECOMMENDATION: (1) Adopt Resolution 14-001 which authorizes the execution of Grant Assurance documents for the TSSSDRA Program and appoints the Executive Director or designee as the Alameda CTC's authorized agent, to execute the Grant Assurances, grant applications, funding agreements, reports or any other documents necessary for project funding and TSSSDRA program compliance. (2) Authorize the Executive Director, or his designee, to submit project applications requesting allocations for FY 2013/14 TSSSDRA funds.

Summary

Section 8879.23 of the California Government Code creates the Highway Safety, Traffic Reduction, Air Quality and Port Security Fund of 2006 (Proposition 1B) in the State Treasury. Section 8879.23(h) directs that \$1 billion be deposited in the Transit System Safety, Security and Disaster Response Account (TSSSDRA). The State Controller's Office has recently released a list of allocations for eligible agencies for the Proposition 1B TSSSDRA program. The Alameda CTC's FY 2013/14 allocation from this program is \$38,826, and will be allocated for the Altamont Commuter Express (ACE) service within Alameda County. The allocations for ACE are made available through the Alameda CTC whereas agencies such as AC Transit and BART have received their allocations directly.

Background

Proposition 1B, approved by the voters on November 7, 2006, includes a program of funding in the amount of \$1 billion to be deposited in the Transit System Safety, Security and Disaster Response Account (TSSSDRA). The State Controller's Office has recently released a list of allocations for eligible agencies for the Proposition 1B TSSSDRA program administered by the California Governor's Office of Emergency Services (Cal OES). The Alameda CTC's FY 2013/14 allocation from this program is \$38,826, and will be allocated for the Altamont Commuter Express (ACE) service within Alameda County. The allocations for ACE are made available through the Alameda CTC whereas agencies such as AC Transit and BART have received their allocations directly.

Eligible project types include transit capital projects that provide increased protection against a security or safety threat and projects that increase the capacity of transit operators to prepare for disaster response transportation systems that can move people, goods, emergency personnel and equipment in the aftermath of a disaster.

The program guidelines released by Cal OES state "Applications to Cal OES for projects seeking funds pursuant to GC Section 8879.58(a)(2) and 8879.58(a)(3) must be submitted through and approved by the appropriate County transportation commission". Projects submitted for funding will be reviewed and approved in two phases.

Phase I

Eligible applicants are required to submit Investment Justifications (IJ) to Cal OES.

Phase II

Cal OES shall review the information submitted by project sponsors to determine if projects are compliant with the program requirements. Upon final project approval, sponsors shall be issued a Notice of Project Eligibility (NOPE) letter. The NOPE will include project milestones, audit requirements, program monitoring requirements, reporting requirements and directions to complete the Cal OES Financial Management Forms Workbook (FMFW). Upon receipt of the NOPE the agency has up to six weeks to complete and submit all supporting application documents. The supporting documents include the FMFW, certified copy of the Alameda CTC Resolution No. 14-001 (Attachment A) and the signed original Grant Assurances (Attachment B).

San Joaquin Regional Rail Commission (SJRRRC) staff has proposed FY 2013/14 funds (\$38,826) be assigned to the ACE Electronic Fare Collection (eTicketing) project. The eTicketing will require registered users and provide a real-time passenger manifest for active trains able to be accessed remotely, in real-time, by both SJRRRC staff, law enforcement, and first responders. SJRRRC had assigned the FY 2012/13 TSSSDRA funds to the eTicketing project.

It is recommended the Commission authorize the Executive Director, or his designee, to submit Investment Justifications and project applications requesting allocations for FY 2013/14 TSSSDRA funds.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Draft Alameda CTC Resolution #14-001
- B. Grant Assurances

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

This page intentionally left blank

**Commission Chair**

Supervisor Scott Haggerty, District 1

Commission Vice ChairCouncilmember Rebecca Kaplan,
City of Oakland**AC Transit**

Director Elsa Ortiz

Alameda CountySupervisor Richard Valle, District 2
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
Supervisor Keith Carson, District 5**BART**

Director Thomas Blalock

City of Alameda

Mayor Marie Gilmore

City of Albany

Mayor Peggy Thomsen

City of Berkeley

Councilmember Laurie Capitelli

City of Dublin

Mayor Tim Sbranti

City of Emeryville

Vice Mayor Ruth Atkin

City of Fremont

Mayor William Harrison

City of Hayward

Councilmember Marvin Peixoto

City of Livermore

Mayor John Marchand

City of Newark

Councilmember Luis Freitas

City of Oakland

Vice Mayor Larry Reid

City of Piedmont

Mayor John Chiang

City of Pleasanton

Mayor Jerry Thorne

City of San Leandro

Councilmember Michael Gregory

City of Union City

Mayor Carol Dutra-Vernaci

Executive Director

Arthur L. Dao

ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION # 14-001

Authorization for Execution of the Grant Assurances Documents for the Transit System Safety, Security & Disaster Response Account Bond Program (FY2013/14 – ACE Electronic Fare Collection Project)

WHEREAS, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 authorizes the issuance of general obligation bonds for specified purposes, including, but not limited to, funding made available for capital projects that provide increased protection against security and safety threats, and for capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems; and

WHEREAS, the California Governor's Office of Emergency Services (Cal OES) administers such funds deposited in the Transit System Safety, Security, and Disaster Response Account under the California Transit Security Grant Program (CTSGP); and

WHEREAS, the Alameda County Transportation Commission ("Alameda CTC") is eligible to receive CTSGP funds; and

WHEREAS, the Alameda CTC will apply for FY 2013/14 CTSGP funds in an amount up to \$38,826 for the Electronic Fare Collection Project to enhance and expand the functionality and reliability of the San Joaquin Regional Rail Commission's fare collection system; and

WHEREAS, Alameda CTC recognizes that it is responsible for compliance with all Cal OES CTSGP grant assurances, and state and federal laws, including, but not limited to, laws governing the use of bond funds; and

WHEREAS, Cal OES requires Alameda CTC to complete and submit a Governing Body Resolution for the purposes of identifying agent(s) authorized to act on behalf of Alameda CTC to execute actions necessary to obtain CTSGP funds from Cal OES and ensure continued compliance with Cal OES CTSGP assurances, and state and federal laws.

NOW, THEREFORE, BE IT RESOLVED by the Board of the Alameda CTC that the Executive Director, and/or his Designee, is hereby authorized to execute for and on behalf of Alameda CTC, a public entity established

under the laws of the State of California, any actions necessary for the purpose of obtaining financial assistance provided by the California Governor's Office of Emergency Services under the CTSGP.

DULY PASSED AND ADOPTED by the Alameda County Transportation Commission at the regular meeting of the Board held on Thursday, January 23, 2014 in Oakland, California, by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

Supervisor Scott Haggerty
Chair

Vanessa Lee
Clerk of the Commission

Grant Assurances

**Transit System Safety, Security and
Disaster Response Account Program**Name of Applicant: Alameda County Transportation Commission

Grant Cycle: _____ Grant Number: _____

Address: 1111 Broadway Suite 800City: OAKLAND State: CA Zip Code: 94506Telephone: (510) 208-7400 E-Mail: contact@alamedactc.org

As the duly authorized representative of the Applicant, I certify that the Applicant named above:

1. Has the legal authority to apply for CTS GP-CTAF funds, and has the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the grant provided by the State of California and administered by the California Governor's Office of Emergency Services (Cal OES).
2. Assures that the grant funds will only be used for allowable, fair, and reasonable costs.
3. Recognizes the importance of accountability for the use of CTS GP-CTAF funds, and will give the State of California generally, and Cal OES in particular, through any representative authorized by Cal OES, access to and the right to examine all paper and electronic records, books, and other documents related to the award.
4. Will establish and maintain a proper accounting system for CTS GP-CTAF funds, in accordance with applicable laws, generally accepted accounting standards, and Cal OES directives.
5. Will provide reports and documentation related to this grant to Cal OES, in accordance with applicable laws and Cal OES grant guidance, including but not limited to: progress reports, closeout documentation, authorized agent forms, governing body resolutions, and other information as may be required by Cal OES.
6. Will initiate and complete approved project work within applicable timeframes, after Cal OES approves the project.
7. Will comply with Standardized Emergency Management System requirements as stated in the California Emergency Services Act (California Gov Code Section 8607 *et seq.*) and Title 19 of the California Code of Regulations, Sections 2445, 2446, 2447, and 2448.
8. Will promptly return to the State of California all funds received which exceed the actual expenditures approved by Cal OES.

Grant Assurances

9. If the approved amount of the grant is reduced, will promptly return to the State of California funds equal to the amount of this reduction.
10. Will keep CTSGP-CTAF funds in a separate interest bearing account. Any interest that is accrued must be accounted for and used for the project approved by Cal OES.
11. Agrees that equipment acquired or obtained with CTSGP-CTAF funds:
 - a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant; and
 - b. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan, the California Fire Services and Rescue Mutual Aid Plan, and the State Emergency Plan.
12. Will comply with all applicable federal, state, and local laws, executive orders, regulations, program and administrative requirements, policies, and any other requirements governing this program.
13. Understands that failure to comply with applicable state and federal laws governing general obligation, tax-exempt, and Build America bonds may result in penalties administered by the Internal Revenue Service or a loss of tax-exempt bond status.
14. Will retain records for thirty-five years after notification of grant closeout by the State, and ensure that any subcontractors, subgrantees, or entities to which project responsibilities are transferred, retain records in accordance with state, federal, and local record retention requirements.
15. Grantees and subgrantees will use their own procurement and contracting procedures, which comply with applicable state and local laws and regulations, or with the California Public Contract Code, whichever is more restrictive.
16. Will maintain and abide by procedures to minimize the time between the award of funds and the disbursement of funds.
17. Will abide by Cal OES CTSGP-CTAF guidelines.
18. Will submit to Cal OES a CTSGP-CTAF Program Investment Justification, listing all projects to be funded for the life of the bond, including the amount for each project and the year in which the funds will be requested.

19. Will submit to Cal OES a signed Authorized Agent form designating the representative who can submit documents on behalf of the Applicant and an original, certified copy, or e-signed and verified copy, subject to approval by Cal OES, of the board resolution appointing the Authorized Agent. Should a new agent be authorized by the Applicant's governing board, the Applicant will submit to Cal OES a new, signed Authorized Agent form designating the representative who can submit documents on behalf of the Applicant, and an original, certified copy, or e-signed and verified copy, subject to approval by Cal OES, of the board resolution appointing that Authorized Agent.
20. Will ensure that CTSGP-CTAF funds will be used only for the approved capital project and that this approved project will be completed within applicable timeframes and remain in operation for its useful life, in accordance with state and federal laws, including, but not limited to applicable laws governing the CTSGP-CTAF Program, state general obligation bond laws, and federal laws governing tax-exempt and Build America bonds.
21. Will promptly notify Cal OES of pending litigation, bankruptcy proceedings, and negative audit findings related to the project.
22. Will maintain continuing control over the use of project equipment and facilities, and will maintain project equipment and facilities for the useful life of the project, in accordance with state and federal laws, including, but not limited to the laws governing the CTSGP-CTAF Program, state general obligation bond laws, and federal tax-exempt and Build America bond laws.
23. The project sponsor must notify Cal OES of any changes to the approved project and obtain Cal OES approval to these changes prior to their implementation.
24. Funds must be encumbered and liquidated within the time allowed in the applicable budget act and in accordance with grant guidelines.
25. Understands that all of Applicant's contractors and subcontractors shall comply with all applicable federal, state and local laws. Applicant assures that its contractors and subcontractors will be obligated to agree to comply with all applicable federal, state, and local laws.
26. That any project cost for which the Applicant received funds that is determined by subsequent audit to be unallowable under applicable federal, state, or local laws, are subject to repayment by the Applicant to the State of California. Should the Applicant fail to reimburse the moneys due to the State within thirty (30) days of demand, or within another time period mutually agreed to in writing between Cal OES and the Applicant, the State is authorized to withhold future payments due to the Applicant from the State.
27. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have familial, business, or other ties.

28. Will comply with all California and federal statutes relating to nondiscrimination, including, but not limited to:

- a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin; and
- b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex; and
- c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794) which prohibits discrimination on the basis of disabilities; and
- d. The Americans with Disabilities Act of 1990 (42 U.S.C. Chapter 126), as amended, which prohibits discrimination on the basis of disabilities; and
- e. The Unruh Civil Rights Act (California Civil Code §54, *et seq.*) and California Government Code §11135, which prohibit discrimination on the basis of disabilities; and
- f. The Age Discrimination Act of 1975, as amended (42 U.S.C. §6101-6107) which prohibits discrimination on the basis of age; and
- g. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse; and
- h. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; and
- i. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §290dd-2), as amended, relating to confidentiality of alcohol and drug abuse patient records; and
- j. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601, *et seq.*), as amended, relating to nondiscrimination in the sale, rental or financing of housing; and
- k. Any other nondiscrimination provisions in the specific statute(s) under which application for assistance is being made; and
- l. The requirements of any other nondiscrimination statute(s) that may apply to the application or to the Applicant.

29. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

30. Will complete required environmental documentation before requesting an allocation of CTS GP-CTAF funds. The Applicant certifies that projects approved for CTS GP-CTAF funds will comply with all applicable federal and state environmental laws. These may include, but are not limited to:

- a. California Environmental Quality Act. California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Sections 15000-15007; and

Grant Assurances

- b. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; and
- c. Notification of violating facilities pursuant to EO 11738; and
- d. Protection of wetlands pursuant to EO 11990; and
- e. Evaluation of flood hazards in floodplains in accordance with EO 11988; and
- f. Assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 *et seq.*); and
- g. Conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §7401, *et seq.*); and
- h. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and
- i. Protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205); and
- j. Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1271, *et. seq.*) related to protecting components or potential components of the national wild and scenic rivers system.
- k. Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1, *et seq.*).

31. The Applicant and its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency; and
- b. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) have not within a three-year period preceding this application had one or more public transactions (federal, state, or local) terminated for cause or default; and where the

Grant Assurances

applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

32. Will comply with the audit requirements set forth in the Office of Management and Budget (OMB) Circular A-133, "Audit of States, Local Governments and Non-Profit Organizations."
33. Agrees that the noncompliance with these assurances, Cal OES CTSGP-CTAF Program guidelines, and applicable laws, may be taken into consideration by Cal OES when considering future allocation applications from Applicant.
34. Understands that failure to comply with any of the above assurances may result in suspension, reduction, or termination of grant funds.

As the duly authorized representative of the Applicant, I hereby certify that the Applicant will comply with the above certifications.

The undersigned represents that he/she is authorized by the above named Applicant to enter into this agreement for and on behalf of the said Applicant.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: Arthur L. Dao

Title: Executive Director Date: _____



Memorandum

6.1

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes Project(PN 720.5): Cooperative Agreement with Caltrans

RECOMMENDATION: Approve the Cooperative Agreement (District Agreement No. 04-2467) with Caltrans to satisfy offsite compensatory mitigation requirements for the I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes Project required by project permits.

Summary

Alameda CTC, in partnership with Caltrans, is constructing the following improvements on Eastbound I-580:

- An eastbound auxiliary lane between the Isabel Avenue on-ramp and the North Livermore Avenue off-ramp.
- An eastbound auxiliary lane between the North Livermore Avenue on-ramp and the First Street off-ramp.
- Widening of I-580 between the Santa Rita Road and the Fallon Road interchanges to accommodate future Express Lane improvements.
- Minor widening at the Hacienda Drive on ramp, Fallon Road on-ramps and Airway Boulevard on-ramp to provide standard outside shoulder widths.
- Pavement overlay of Asphalt Concrete from Hacienda Drive to Greenville Road.

The total cost of these improvements is \$41.0 million funded with a combination of federal, state, regional and local fund sources; including Corridor Mobility Account Improvement funds.

Background

The I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes Project started construction in April 2013 and is currently underway. Completion of the project is expected in November 2014. The project will construct eastbound auxiliary lanes at two locations; between the Isabel Avenue on-ramp and North Livermore Avenue off-ramp and between the North Livermore Avenue on-ramp and First Street off-ramp. The project also includes widening work to accommodate future Express Lane improvements between Santa Rita

Road and the Fallon Road interchanges; the widening of two eastbound bridges at Arroyo Las Positas; and a pavement overlay of asphalt concrete from Hacienda Drive to Greenville Road.

During the environmental phase of the project, the environmental impacts and mitigation requirements were determined. Prior to construction, permits were obtained from California Department of Fish and Wildlife, California Regional Water Quality Control Board, U.S. Army Corps of Engineers, and US Fish and Wildlife Service. These permits address the offsite mitigation requirements for the project.

Caltrans and Alameda CTC agreed that Alameda CTC would assist Caltrans in satisfying the permit requirements by implementing the offsite mitigation plan. Alameda CTC will fund all work and ensure compliance with the permit requirements for the offsite mitigation. All financial commitments to implement the offsite mitigation have been fulfilled through previously approved and executed agreements with the mitigation providers.

The offsite mitigation, which includes the preservation of 140 linear feet of riparian habitat, preservation of 20.4 acres of California red-legged frog and California tiger salamander habitat, and preservation of 0.06 acres of wetlands, will be implemented at the Eagle Ridge Preserve in Alameda County. Agreements between Alameda CTC and Eagle Ridge Preserve have been previously approved and executed. Per these agreements, Eagle Ridge Preserve is responsible for constructing and maintaining the necessary mitigation work on the Eagle Ridge Preserve property and for performing the necessary reporting.

In addition, through previous approvals, Alameda CTC has set up an endowment fund which will provide the necessary funding for the perpetual maintenance of the mitigation property.

A Cooperative Agreement with Caltrans is needed to address the offsite mitigation requirements for the I-580 Eastbound HOV Lane - Segment 3 Auxiliary Lanes Project. The Cooperative agreement includes the roles and responsibilities of Alameda CTC and Caltrans as it pertains to mitigation implementation, monitoring and reporting.

RM2 funds were previously allocated by MTC on July 28, 2010 and April 30, 2012 in the amounts of \$1,265,000 and \$585,000 respectively to fund the required mitigation for the I-580 projects, including the I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes Project.

Fiscal Impact: There is no fiscal impact for approving this item. The necessary funding for the purchase and sale of the mitigation property and endowment fund were approved through previous board actions and subsequent RM2 allocations by MTC (\$1,265,000 on July 28, 2010 and \$585,000 on April 30, 2012).

Attachments

- A. Cooperative Agreement: District Agreement No. 04-2467

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Connie Fremier](#), Project Controls Team

This page intentionally left blank

DEPARTMENT OF TRANSPORTATION

111 GRAND AVENUE
P. O. BOX 23660
OAKLAND, CA 94623-0660
PHONE (510) 286-6018
FAX (510) 622-8755
TTY 711



*Flex your power!
Be energy efficient!*

December 5, 2013

Ms. Connie Fremier
Executive Vice President,
Vali Cooper & Associates, Inc.
2000 Powell Street, Suite 550
Emeryville, California 94608

Ala-580 Eastbound HOV Lane (R7.8/19.1)
04-2908V
EFIS No. 0400000783
District Agreement No. 04-2467

Dear Ms. Fremier:

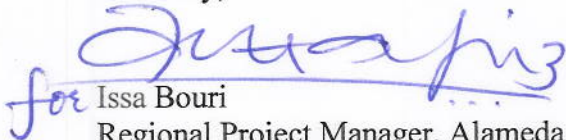
Enclosed for Alameda County Transportation Commission's (ACTC's) signatures are two copies of Cooperative Agreement No. 04-2467 between the State and ACTC for addressing all offsite (outside the State Highway System right of way) compensatory mitigation requirements, including mitigation implementation and any mitigation monitoring and reporting, for the Ala-580 Eastbound HOV Lane (R7.8/19.1) project in Alameda County.

Please have both copies of the Agreement signed by the appropriate ACTC officials and return them to us together with two certified copies of a resolution adopted by the ACTC Board, approving the Amendment and authorizing its execution.

We will provide ACTC with a fully executed copy of the Amendment after receiving the signed copies from you and obtaining the necessary signatures here in our office. We will also provide you with an electronic copy of the executed Amendment for your record.

Your early attention to this matter would be appreciated. Please call me at (510) 286-5220 if you have any questions with respect to this Agreement.

Sincerely,


for Issa Bouri

Regional Project Manager, Alameda County Tri-Valley
Division of Program/Project Management

Enclosures

COOPERATIVE AGREEMENT

This AGREEMENT, EFFECTIVE on _____, is entered into by and between the STATE OF CALIFORNIA, acting by and through its Department of Transportation, referred to herein as "CALTRANS," and the ALAMEDA COUNTY TRANSPORTATION COMMISSION, a joint powers agency, referred to herein as "ALAMEDA CTC."

RECITALS

1. CALTRANS and ALAMEDA CTC (collectively "PARTIES"), pursuant to Streets and Highways Code sections 114 and/or 130, are authorized to enter into this Agreement.
2. CALTRANS and ALAMEDA CTC are beginning construction on the Eastbound (EB) and Westbound (WB) High Occupancy Vehicle (HOV) Lane Projects on Interstate 580 (I-580) in Alameda County ("PROJECTS") from approximately postmile (PM) 8.0 to 19.3.
3. Prior to this Agreement, PARTIES (and/or ALAMEDA CTC's predecessor, Alameda County Congestion Management Agency) entered into the following cooperative agreements for the project development and construction phases of PROJECTS:
 - 4-1871-C – (WB and EB directions from PM 8 to 19.3)
 - 4-1871 A1 – (WB and EB directions from PM 8 to 19.3)
 - 4-1871 A2 – (WB and EB directions from PM 8 to 19.3)
 - 4-1871 A3 – (WB and EB directions from PM 8 to 19.3)
 - 4-2056 – (EB direction from PM R 8.1 to 19.3)
 - 4-2056 A-1 – (EB direction from PM R 8.1 to 19.3)
 - 4-2056 A2 – (EB direction from PM R 8.1 to 19.3)
 - 4-2162 – (EB direction from PM 13.2 to 19.1)
 - 4-2162 A-1 – (EB direction from PM 13.2 to 19.1)
 - 4-2162 A2 – (EB direction from PM 13.2 to 19.1)
 - 4-2209 – (EB direction from PM 13.2 to 19.1) and
 - 4-2440 – (EB direction from PM 13.2 to 19.1), referred to herein collectively as "PRIOR AGREEMENTS."
4. This Agreement is separate from, and does not modify or supersede PRIOR AGREEMENTS.
5. CALTRANS is owner and operator of Interstate 580 and the NEPA/CEQA lead agency for PROJECT. The following permits have been issued in relation to PROJECT:

- a. Pursuant to Fish and Game Code sections 1600 et seq., California Department of Fish and Wildlife ("CDFW") issued to CALTRANS a Streambed Alteration Agreement (Notification No. 1600-2012-0040-R3 dated May 21, 2012) for PROJECT, referred to herein as "1600" and incorporated herein by this reference.
- b. Pursuant to Clean Water Act Section 401, the California Regional Water Quality Control Board-Central Coast Region ("CRWQB") issued to CALTRANS a Water Quality Certification for Discharge of Dredged and/or Fill Materials (Certification No. CIWQS744555 dated May 10, 2012) for PROJECT, referred to herein as "401" and incorporated herein by this reference.
- c. Pursuant to Section 404 of the Clean Water Act (33 U.S.C. Section 1344), the San Francisco District, U.S. Army Corps of Engineers ("USACE") issued to CALTRANS a Nationwide Permit 14 "Linear Transportation Projects" (Permit File Number SPN-2007-00740S dated April 24, 2012) for PROJECT, referred to herein as "404" and incorporated herein by this reference.
- d. Pursuant to consultation with the United States Fish and Wildlife Service ("USFWS"), CALTRANS received a Biological Opinion for PROJECT (81420-2008-F-0495-R001-3, dated October 26, 2011-complete revision) outlining requirements for mitigation to offset PROJECT impacts to the California red-legged frog ("CRLF"), referred to herein as "BO," and incorporated herein by this reference. Pursuant to consultation with USFWS, CALTRANS received an amendment to the BO for PROJECT (81520-2008-F-0495-R0002-1).

All future permit amendments and related conditions and requirements will be considered as additional permits issued in relation to PROJECT and subject to this Agreement.

6. These permits, and this Agreement, address mitigation requirements (offsite) for the eastbound direction of I-580 only. Separate permits have been issued to address mitigation requirements (onsite and offsite) for the westbound direction of I-580 and these mitigation requirements will be addressed in a separate agreement.
7. CDFW, CRWQB, USACE and USFWS are collectively known as the "PERMITTING AGENCIES."
8. CALTRANS desires to enter into this Agreement with ALAMEDA CTC in order to satisfy any and all offsite (outside the State Highway System right of way) compensatory mitigation requirements (as described in Exhibit A attached hereto and made a part of this Agreement), including mitigation implementation and any mitigation monitoring and reporting required by the PERMITTING AGENCIES, and referred to herein collectively as "PERMIT REQUIREMENTS."
9. ALAMEDA CTC desires to assist CALTRANS in satisfying PERMIT REQUIREMENTS by implementing all PERMIT REQUIREMENTS.

10. PARTIES now define herein below the terms and conditions under which this Agreement will be implemented.

SECTION I

ALAMEDA CTC AGREES:

1. ALAMEDA CTC shall fund all work and ensure compliance with PERMIT REQUIREMENTS for off-site compensatory mitigation.
2. All work performed by ALAMEDA CTC, or performed on ALAMEDA CTC's behalf, shall be performed in accordance with all state and federal laws, regulations, policies, procedures, and standards.
3. To obtain any and all necessary property rights and/or rights of entry required prior to the implementation of compensatory mitigation and for full compliance with any terms and conditions thereof. Said rights of entry shall also include rights for CALTRANS personnel.
4. To coordinate any and all discussions, documents, and correspondence pertaining to permit applications and PERMIT REQUIREMENTS with appropriate CALTRANS personnel in attendance. This includes, but is not limited to, interaction with both State and Federal resource agency personnel and public and private entities involved with satisfying PERMIT REQUIREMENTS. All coordination meetings with federal resource agency personnel must be arranged in advance by CALTRANS personnel.
5. To obtain in collaboration with CALTRANS, any and all environmental approvals and/or resource agency agreements, permits, and/or approvals required prior to implementation of compensatory mitigation and to fully comply with any terms and conditions thereof.
6. To be financially responsible for the implementation and long term maintenance of mitigation habitat, to ensure that compensatory mitigation habitat will be retained in an open space condition and to prevent any use of the site that will impair or interfere with the conservation values of the site, to provide for the management of the mitigation site in perpetuity, and to comply with PERMIT REQUIREMENTS.
7. To implement and comply with all PERMIT REQUIREMENTS, including all conditions set forth by the PERMITTING AGENCIES.
8. To fund all work and fulfill commitments pursuant to this Agreement, in order to satisfy obligations and responsibilities set forth in this Agreement.
9. To submit draft monitoring reports to CALTRANS by January 1 each year for five (5) years and then in years 6, 7 and 9 thereafter or until the final success criteria are met. Monitoring is anticipated to begin when the compensatory mitigation work is completed

and shall contain all of the information required to satisfy PERMITTING AGENCIES requirements.

10. To address CALTRANS' comments on the draft monitoring report and thereafter submit a final draft monitoring report to CALTRANS by February 1 each year for five (5) years, or until the final success criteria are met (with monitoring anticipated to begin in the year 2014 and end five (5) years later) and then in years 6, 7 and 9 thereafter or until the final success criteria are met. All reports are due as outlined in the PERMIT REQUIREMENTS.
11. If, at any time during the five (5) year monitoring period and then in years 6, 7 and 9 thereafter or until the final success criteria are met, it is determined by CALTRANS, in consultation with ALAMEDA CTC, that progress towards reaching the success criteria is not being achieved, then ALAMEDA CTC shall implement any remedial or adaptive management measures necessary to meet the success criteria. Mitigation monitoring and Annual reporting will be the main documents used in establishing the trending success of the mitigation and whether remedial or adaptive management measures are required.
12. To submit to CALTRANS, within thirty (30) days of the execution date of this Agreement, a report indicating the current status of all compliance with PERMIT REQUIREMENTS.
13. To retain all books, documents, papers, accounting records and other evidence pertaining to costs incurred, including support data for cost proposals, and to make such materials available at the respective offices of CALTRANS at all reasonable times for three (3) years after the termination date of this Agreement. CALTRANS, the Federal Highway Administration, or any duly authorized representative of the Federal Government shall have access to any books, records, and documents of ALAMEDA CTC that are pertinent to this Agreement for audits, examinations, excerpts, and transactions, and copies thereof shall be furnished when requested.

SECTION II

CALTRANS AGREES:

1. CALTRANS will obtain written confirmation from PERMITTING AGENCIES that PERMIT REQUIREMENTS have been met and provide a copy to ALAMEDA CTC.
2. Caltrans will be responsible for all restoration/mitigation activities within the State Highway System right of way.

SECTION III

IT IS MUTUALLY AGREED:

1. All obligations of CALTRANS under the terms of this Agreement are subject to the appropriation of resources by the Legislature, State Budget Act authority and the allocation of funds by the California Transportation Commission (CTC).
2. All applicable laws, rules and policies relating to the use of federal or state funds shall apply notwithstanding other provisions of this Agreement.
3. The party that discovers hazardous material (HM) will immediately notify the other party to this Agreement. HM-1 is defined as hazardous material (including, but not limited to, hazardous waste) that may require removal and disposal pursuant to federal or state law, whether it is disturbed by work in compensatory mitigation areas or not. HM-2 is defined as hazardous material (including but not limited to hazardous waste) that may require removal and disposal pursuant to federal or state law, only if disturbed by work in compensatory mitigation areas. Management activities associated with either HM-1 or HM-2 include, without limitation, any necessary manifest requirements and designation of disposal facility.
4. CALTRANS, independent of this Agreement, is responsible for any HM-1 found within existing State Highway System (SHS) right of way, but compensatory mitigation for this PROJECT is not on the SHS.
5. CALTRANS has no responsibility for management activities or costs associated with HM-1 found outside the existing SHS right of way. If HM-1 is found outside existing SHS right of way, under state and federal law responsibility for such HM-1 rests with the owner(s) of the parcel(s) on which the HM-1 is found. If HM-1 is found outside the existing SHS right of way, PARTIES will reassess the feasibility of the compensatory mitigation and mutually agree on a course of action prior to the commencement of any additional work.
6. ALAMEDA CTC is responsible for the management of any HM-2 found within compensatory mitigation areas. ALAMEDA CTC's acquisition of a Conservation Easement to any property on which any hazardous material is found will proceed in accordance with ALAMEDA CTC's policy on such acquisition. PARTIES agree that CALTRANS is not responsible for any costs or actions of HM-2 found within compensatory mitigation areas.
7. Neither ALAMEDA CTC nor any officer or employee thereof is responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by CALTRANS and/or its agents under or in connection with any work, authority, or jurisdiction conferred upon CALTRANS and/or its agents under this Agreement. It is understood and agreed that, CALTRANS, to the extent permitted by law, will defend, indemnify, and save harmless ALAMEDA CTC and all of its officers and employees

from all claims, suits, or actions of every name, kind and description brought forth under, including, but not limited to, tortious, contractual, inverse condemnation, or other theories or assertions of liability occurring by reason of anything done or omitted to be done by CALTRANS and/or its agents under this Agreement.

8. Neither CALTRANS nor any officer or employee thereof is responsible for any injury, damage, or liability occurring by reason of anything done or omitted to be done by ALAMEDA CTC and/or its agents under or in connection with any work, authority, or jurisdiction conferred upon ALAMEDA CTC under this Agreement. It is understood and agreed that, ALAMEDA CTC, to the extent permitted by law, will defend, indemnify, and save harmless CALTRANS and all of its officers and employees from all claims, suits, or actions of every name, kind and description brought forth under, including, but not limited to, tortious, contractual, inverse condemnation, or other theories or assertions of liability occurring by reason of anything done or omitted to be done by ALAMEDA CTC and/or its agents under this Agreement.
9. In the event of any breach of this Agreement by any party, either party may enforce this Agreement by any means available at law or in equity. In the event of litigation, mediation or arbitration to resolve any breach of, or dispute, related to this Agreement, each party agrees to pay for their own attorneys' cost and expenses without regard to who prevails.
10. A failure by any party to enforce any provision of this Agreement shall not be construed as a continuing waiver, or as a waiver of the right to compel enforcement of that provision.
11. This Agreement may be executed in several counterparts and all counterparts so executed shall constitute one agreement that shall be binding on all of the PARTIES, notwithstanding that all of the PARTIES are not a signatory to the original or the same counterpart. If any provision of this Agreement is held invalid, the other provisions shall not be affected thereby.
12. No alteration or variation of the terms of this Agreement shall be valid unless made by a formal amendment executed by the PARTIES hereto and no oral understanding or agreement not incorporated herein shall be binding on any of the PARTIES hereto.
13. Nothing within the provisions of this Agreement is intended to create duties or obligations to or rights in third parties not party to this Agreement or to affect the legal liability of either party to the Agreement by imposing any standard of care different from the standard of care imposed by law.

SIGNATURES

PARTIES declare that:

1. Each party is an authorized legal entity under California state law.
2. Each party has the authority to enter into this Agreement.
3. The people signing this Agreement have the authority to do so on behalf of their public agencies.

STATE OF CALIFORNIA
Department of Transportation


ALAMEDA COUNTY
TRANSPORTATION COMMISSION

By: _____
Helena (Lenka) Culik-Caro
Deputy District Director, Design

By: _____
Arthur L. Dao
Executive Director

Approved as to form and procedure:

Recommended for approval:



Attorney
Department of Transportation

By: _____
Stewart D. Ng, Deputy Director
of Programming and Projects

Approved as to form and legality:

Wendel, Rosen, Black & Dean LLP
Legal Counsel to ALAMEDA CTC

EXHIBIT A
OFFSITE COMPENSATORY MITIGATION REQUIREMENTS

ACTC shall comply with the following:

A.) Notification #1600-2012-0040-R3 Streambed Alteration Agreement (1600)

3. Compensatory Measures 3.1, 3.2, and 3.3 (page 8 of 1600). Monitoring reports submitted to Caltrans for submittal to CDFG shall include all of the information required in Reporting Measure 4.3 (pages 8-9 of 1600).

B.) Water Quality Certification for the Eastbound Interstate 580 HOV Lane Project Phase 3, City of Livermore, Alameda County CIWQS Place No. 744555 401 Database No.: 02-01-C1132 (401)

Conditions 4 and 5 (pages 7-9 of 401) including any monitoring requirements contained therein. Additional monitoring or other reports required by the permit and submitted to Caltrans shall meet all of the requirements as specified in conditions 6, 7, 9, and 10 of 401 (pages 9-11 of 401).

C.) USACE 404 SPN-2007-00740S General Condition #7 (404)

Special Condition 7 (pages 4-5 of 404).

D.) USFWS 2008 F-0495-R001-3- Biological Opinion (BO), October 26, 2011

Proposed Conservation Measures #1 and #2 (pages 11-12 of BO), including the submittal to Caltrans of a Funding Assurance Letter which Caltrans will submit to USFWS.

E.) USFWS 2008 F-0495-R002-1- Biological Opinion Re-initiation (amended BO), July 2, 2012

Changes to the October 26, 2011 BO, which include:

#2 (page 2 of amended BO) – Increase in compensatory mitigation from 12.6 acres to 20.4 acres.

#5 (page 3 of amended BO) – Increase in in-perpetuity preservation from 12.6 acres of habitat to 20.4 acres of habitat.

This page intentionally left blank



Memorandum

6.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: State Route 84 Corridor Widening Projects: Agreements with the City of Livermore for Transfer of Tri-Valley Transportation Development Fee Funds

RECOMMENDATION: Authorize the Executive Director to enter into Agreements with the City of Livermore to transfer Tri-Valley Transportation Development Fee Funds to the State Route 84 Corridor Widening Projects.

Summary

The City of Livermore is the project sponsor and proposes to implement the following two projects to widen State Route 84 (SR 84):

1. Route 84 Expressway – South Segment , and
2. Route 84 Widening – Pigeon Pass to I-680.

The Tri-Valley Transportation Council (TVTC) allocated \$2.94 million of Tri-Valley Transportation Development Fee (TVTDF) funds at their July 2013 meeting for the Project Approval and Environmental Document (PA&ED) phase of Route 84 Widening – Pigeon Pass to I-680 Project. The TVTC allocated \$5.0 million TVTDF funds at their October 2013 meeting for the Route 84 Expressway – South Segment Project. The Alameda CTC is the implementing agency for both of these projects. Two agreements between the City of Livermore and Alameda CTC, will transfer \$7.94 million TVTDF funds to Alameda CTC to be applied to these projects, according to the TVTC allocation.

Background

In 2003, a Project Study Report - Project Development Support (PSR - PDS) sponsored by TVTC identified several improvement projects along SR 84 to widen the corridor to expressway standards between I-680 and I-580 that could be constructed in stages as funding became available. The Route 84 Expressway – South Segment Project and Route 84 Widening - Pigeon Pass to I-680 Projects were identified in the PSR - PDS. All other projects identified in the PSR - PDS are either complete or nearing completion.

The Route 84 Expressway – South Segment Project is currently in the design and right of way acquisition phases. Construction is expected to start in spring 2015 with completion in fall 2016. This project is funded from a combination of State Transportation Improvement Program funds, Transportation Enhancement funds, Measure B funds, TVTDF funds and Rule 20 A funds. A total of \$10.0 million TVTC funds are programmed for this project. TVTC allocated \$5.0 million TVTDF funds at their October 2013 meeting. The remaining \$5.0 million TVTDF funds are expected to be allocated in 2014.

No project development work has been initiated on the Route 84 Widening – Pigeon Pass to I-680 Project. TVTC allocated \$2.94 million TVTDF funds at the July 2013 meeting to the PA&ED phase of this project. The request to issue a Request for Proposals for the professional services contract for the PA&ED phase for this project is anticipated to go to the Alameda CTC Commission for approval in February 2014.

Two Agreements between the City of Livermore and Alameda CTC will transfer \$7.94 million TVTDF funds to the Alameda CTC to be applied to the Route 84 Expressway – South Segment Project and The Route 84 Widening - Pigeon Pass to I-680 Project.

Fiscal Impact: The fiscal impact for approving this item is \$7.94 million; the action will authorize the encumbrance of additional project funding for subsequent expenditure. This budget is included in the appropriate project funding plans. \$5.0 million is included in the Alameda CTC Adopted FY 2013-2014 Operating and Capital Program Budget. An encumbrance of \$2.94 million will be added to the Alameda CTC Adopted FY 2013-2014 Operating and Capital Program Budget.

Attachments

- A. Cooperative Agreement between Alameda County Transportation Commission and City of Livermore for the Route 84 Expressway Project – South Segment
- B. Cooperative Agreement between Alameda County Transportation Commission and City of Livermore for the Route 84 Widening Project – Pigeon Pass to Interstate 680

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Gary Sidhu](#), Project Controls Team

COOPERATIVE AGREEMENT
BETWEEN
ALAMEDA COUNTY TRANSPORTATION COMMISSION
AND
CITY OF LIVERMORE

Route 84 Expressway Project – South Segment

This COOPERATIVE AGREEMENT (“**Agreement**”), effective on _____, 2014 is entered into by and between the City of Livermore (“**City**”), a municipal corporation, and Alameda County Transportation Commission (“**Alameda CTC**”), a joint powers agency.

RECITALS

- A. City as one of the members of the Tri Valley Transportation Council (“TVTC”) is a signatory to the Joint Exercise of Powers Agreement Pertaining to the Tri-Valley Transportation Development Fee (TVTDF) for Traffic Mitigation.
- B. The TVTDF fees are divided into the “Eighty Percent Fees” which are allocated by TVTC for projects in the TVTDF Funding Plan, and the “Twenty Percent Fees” a portion of which are available to the City for allocation to projects at its discretion.
- C. The TVTC has identified the Project (defined as Route 84 Expressway from I-580 to I-680) as one of eleven projects which it proposes to fund in part with the “Eighty Percent Fee” portion of the developer fees.
- D. The Project is divided into three Segments; Segment 1 - I-580 to Airway Boulevard, Segment 2 – from Airway Boulevard to Ruby Hills Drive, and Segment 3 – from Ruby Hills Drive to I-680.
- E. Segment 2 is further divided into three phases: Phase 1 – Isabel Avenue/Vineyard Avenue intersection realignment; Phase 2 – Airway Boulevard to West Jack London Boulevard; Phase 3 – West Jack London Boulevard to Ruby Hills Drive.
- F. Phase 3 is further split into two Segments; North Segment – from West Jack London Boulevard to North of Concannon Boulevard; and South Segment – from North of Concannon Boulevard to Ruby Hills Drive.
- G. South Segment is to be funded with \$34.9 million in State Transportation Improvement Program (STIP) funds, \$2.2 million in Federal Transportation Enhancement funds, and the balance in local contributions comprising Measure B, TVTDF funds and Rule 20A funds.
- H. TVTC allocated \$5.0 million out of \$10.0 million TVTDF funds programmed for the South Segment on October 17, 2013.
- I. Alameda CTC is the implementing agency for preliminary engineering, environmental studies, design, right of way acquisition and utility relocation and California Department of Transportation (“State”) will retain a Contractor and manage and administer construction for the South Segment.

- J. The State will submit invoices to Alameda CTC for payment of local contributions for construction of the South Segment if so authorized by a separate agreement.

NOW, THEREFORE, THE PARTIES DO HEREBY AGREE AS FOLLOWS:

Section I

Alameda CTC Agrees:

1.1 To oversee environmental clearance, final design, right of way acquisition, utility relocation monitor construction progress, and apply local contribution payments to either Alameda CTC or Consultants, for reimbursement of design, right of way acquisition, utility relocation or construction management costs, or to the State for construction of South Segment, in accordance with Alameda CTC policy.

Section II

City Agrees:

2.1 To transfer \$5 million TVTDF funds to Alameda CTC upon execution of this Agreement and within 30 days of City's receipt of funds from TVTC, and transfer remaining \$5 million TVTDF funds for the South Segment upon allocation by TVTC.

Section III

It Is Mutually Agreed:

3.1 This Agreement constitutes the entire agreement between the parties regarding the subject matter hereof and any oral discussions or written or oral agreements with respect thereto preceding the effective date of this Agreement are superseded hereby. No amendment, alteration, or variation of the terms of this Agreement shall be valid unless made in writing and signed by the parties hereto, and no oral understanding or agreement not incorporated herein shall be binding on any of the parties hereto.

3.2 Alameda CTC and the City each render their services under this Agreement as independent agencies. None of the agents or employees of either shall be deemed agents or employees of the other.

3.3 This Agreement shall terminate upon construction completion of the South Segment.

3.4 Any notice given under this Agreement shall be in writing and shall be deemed given if delivered personally or mailed by registered or certified mail or commercial overnight courier, return receipt of confirmation of delivery requested, or by facsimile transmission with voice confirmation or receipt, the parties at the following addresses (or at such other address for a party as shall be specified by like notice):

If to Livermore:

Marc Roberts, City Manager
City of Livermore
1052 S Livermore Ave

If Alameda CTC:

Arthur L. Dao, Executive Director
Alameda County Transportation Commission
1111 Broadway, Suite 800

Livermore, CA 94550
Facsimile (925) 373-5318

Oakland, CA 94607
Facsimile: (510) 893-6489

CITY OF LIVERMORE

By: _____
Marc Roberts
City Manager

Approved as to Legal Form:

By: _____
Jason Alcala
Acting City Attorney

ALAMEDA COUNTY TRANSPORTATION
COMMISSION

By: _____
Arthur L. Dao
Executive Director

Recommended:

By: _____
Stewart D. Ng
Deputy Director of Programming and Projects

Reviewed as to Budget/Financial Controls:

By: _____
Patricia Reavey
Director of Finance

Approved as to Legal Form:

By: _____
Wendel, Rosen, Black & Dean LLP
Alameda CTC Legal Counsel

This page intentionally left blank

**COOPERATIVE AGREEMENT
BETWEEN
ALAMEDA COUNTY TRANSPORTATION COMMISSION
AND
CITY OF LIVERMORE**

Route 84 Widening Project – Pigeon Pass to Interstate 680

This COOPERATIVE AGREEMENT (“**Agreement**”), effective on _____, 2014 is entered into by and between the City of Livermore (“**City**”), a municipal corporation, and Alameda County Transportation Commission (“**Alameda CTC**”), a joint powers agency.

RECITALS

- A. City as one of the members of the Tri Valley Transportation Council (“TVTC”) is a signatory to the Joint Exercise of Powers Agreement Pertaining to the Tri-Valley Transportation Development Fee (TVTDF) for Traffic Mitigation.
- B. TVTDF fees are divided into the “Eighty Percent Fees” which are allocated by TVTC to projects in the TVTDF Funding Plan, and the “Twenty Percent Fees” a portion of which are available to the City for allocation to projects at its discretion.
- C. TVTC has identified the Project (defined as Route 84 Expressway from I-580 to I-680) as one of eleven projects which it proposes to fund in part with the “Eighty Percent Fee” portion of the developer fees.
- D. Project is divided into three Segments; Segment 1 - I-580 to Airway Boulevard, Segment 2 – from Airway Boulevard to Ruby Hills Drive, and Segment 3 – from Ruby Hills Drive to I-680.
- E. Segment 3 is further segmented into two stages: Stage 1 – Ruby Hills Drive to Pigeon Pass and Stage 2 – Pigeon Pass to I-680.
- F. TVTC allocated \$2.94 million TVTDF funds on July 31, 2013 to conduct preliminary engineering and environmental studies for Stage 2.
- G. City is the project sponsor of Route 84 Expressway from I-580 to I-680 for the TVTC.
- H. Alameda CTC will be the implementing agency for preliminary engineering and environmental studies for Stage 2.

NOW, THEREFORE, THE PARTIES DO HEREBY AGREE AS FOLLOWS:

Section I

Alameda CTC Agrees:

1.1 To oversee environmental clearance, and apply local contribution payments to either Alameda CTC or Consultants, for reimbursement of environmental clearance for Stage 2.

1.2 To inform City staff of progress and key findings as they are developed and seek input from City staff during the analysis and development of project scope and alternatives, consultant selection, and environmental assessment including the identification of project impacts and mitigation measures.

Section II

City Agrees:

2.1 To transfer \$2.94 million TVTDF funds to Alameda CTC upon execution of this Agreement and City's receipt of funds from TVTC.

Section III

It Is Mutually Agreed:

3.1 This Agreement constitutes the entire agreement between the parties regarding the subject matter hereof and any oral discussions or written or oral agreements with respect thereto preceding the effective date of this Agreement are superseded hereby. No amendment, alteration, or variation of the terms of this Agreement shall be valid unless made in writing and signed by the parties hereto, and no oral understanding or agreement not incorporated herein shall be binding on any of the parties hereto.

3.2 Alameda CTC and the City each render their services under this Agreement as independent agencies. None of the agents or employees of either shall be deemed agents or employees of the other.

3.3 This Agreement shall terminate upon completion of preliminary engineering and environmental studies for Stage 2.

3.4 Any notice given under this Agreement shall be in writing and shall be deemed given if delivered personally or mailed by registered or certified mail or commercial overnight courier, return receipt of confirmation of delivery requested, or by facsimile transmission with voice confirmation or receipt, the parties at the following addresses (or at such other address for a party as shall be specified by like notice):

If to Livermore:

Marc Roberts, City Manager
City of Livermore
1052 S Livermore Ave
Livermore, CA 94550
Facsimile (925) 373-5318

If Alameda CTC:

Arthur L. Dao, Executive Director
Alameda County Transportation Commission
1111 Broadway, Suite 800
Oakland, CA 94607
Facsimile: (510) 893-6489

CITY OF LIVERMORE

ALAMEDA COUNTY TRANSPORTATION
COMMISSION

By: _____

Marc Roberts
City Manager

By: _____

Arthur L. Dao
Executive Director

Approved as to Legal Form:

By: _____
Jason Alcala
Acting City Attorney

Recommended:

By: _____
Stewart D. Ng
Deputy Director of Programming and Projects

Reviewed as to Budget/Financial Controls:

By: _____
Patricia Reavey
Director of Finance

Approved as to Legal Form:

By: _____
Wendel, Rosen, Black & Dean LLP
Alameda CTC Legal Counsel

This page intentionally left blank



Memorandum

6.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Route 84 Expressway Project - North and South Segments (PN 624.1 & 624.2) and Isabel Avenue - Route 84/I-580 Interchange (PN 623.0): Agreement with the City of Livermore for Utility Relocation along the Route 84 Expressway Project and an Amendment to the Project Specific Funding Agreement No. A07-0058 with the City of Livermore for the Isabel Avenue – Route 84/I-580 Interchange Project

RECOMMENDATION: (1) Authorize the Executive Director to enter into an Agreement with the City of Livermore for Utility Relocation along the Route 84 Expressway Project - North and South Segments (PN 624.1 & 624.2) and (2) Amend the Project Specific Funding Agreement No. A07-0058 for the Isabel Avenue – Route 84/I-580 Interchange Project (PN 623.0).

Summary

The City of Livermore is the sponsor of the Route 84 Expressway Project – North and South Segments from West Jack London Boulevard to Ruby Hills Drive. Alameda CTC is the implementing agency for this project. The City of Livermore and Alameda CTC have agreed to share certain responsibilities for relocation of utilities within the Project limits. The Agreement between the City of Livermore and Alameda CTC will commit both parties to fulfill their responsibilities for utility relocation along the project limits.

The City of Livermore and Alameda CTC have also agreed to amend the Project Specific Funding Agreement (PSFA) No. A07-0058 for the Isabel Avenue – Route 84/I-580 Interchange Project. The amendment to the PSFA will allow City of Livermore to use the projected \$1.5 million Measure B savings from the Isabel Avenue – Route 84/I-580 Interchange Project for close-out costs for the Isabel Interchange project. The amendment will also allow the City of Livermore to use the funds for staff oversight costs for the underground relocation of existing PG&E and AT&T utilities between north of Concannon Boulevard and north of Stanley Boulevard on the Route 84 Expressway Project – North and South Segments.

Background

The Route 84 Expressway Project proposes to widen and upgrade State Route 84 in the Cities of Pleasanton and Livermore to expressway standards from West Jack London Boulevard to Ruby Hills Drive. The Alameda CTC is the implementing agency and the project is funded in part with 2000 Measure B funds. The project is being implemented in two phases; a North Segment, from north of Concannon Boulevard to West Jack London Boulevard and a South Segment, from north of Concannon Boulevard to Ruby Hills Drive. The North Segment is currently under construction. The South Segment is in the design and right of way acquisition phases.

The proposed improvements along State Route 84 within the limits of Route 84 Expressway - South Segment project require relocation of certain utilities. The City of Livermore is proposing relocation of certain utilities within the limits of Route 84 Expressway - North Segment project in accordance with the City of Livermore's Scenic Route and General Plan Policies. The City of Livermore and Alameda CTC have agreed to share certain responsibilities for relocation of these utilities along the project's limits, including cost sharing.

The Isabel Avenue – Route 84/I-580 Interchange Project is in construction close-out and right of way close-out phases. The City of Livermore is the implementing agency for this project, which received 2000 Measure B funds. There is a projected \$1.5 million savings in allocated Measure B funds on this project. As part of the agreement, the City of Livermore and Alameda CTC have agreed to amend the PSFA No. A07-0058 for the Isabel Ave – Route 84/I-580 Interchange Project. The amendment to the PSFA will allow City of Livermore to use the projected Measure B savings for project close-out costs on the Isabel Ave – Route 84/I-580 Project. The amendment will also allow the City of Livermore to use the funds for staff oversight costs for the underground relocation of existing PG&E and AT&T utilities along the Route 84 Expressway Project, between north of Concannon Boulevard and north of Stanley Boulevard. The Agreement between the City of Livermore and Alameda CTC will commit both parties to fulfill their responsibilities for utility relocation for the Route 84 Expressway Project – North and South Segments and authorize the Alameda CTC Executive Director to amend the PSFA No. A07-0058 with the City of Livermore.

Fiscal Impact: The fiscal impact for approving this item is \$3.0 million; the action will authorize the encumbrance of additional project funding for subsequent expenditure. This budget is included in the appropriate project funding plans. This encumbrance amount is included in the Alameda CTC Adopted FY 2013-2014 Operating and Capital Program Budget.

Attachment

- A. Cooperative Agreement between the Alameda County Transportation Commission and City of Livermore for Utility Relocation along Route 84 Expressway Project – North and South Segments

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Gary Sidhu](#), Project Controls Team

This page intentionally left blank

COOPERATIVE AGREEMENT
BETWEEN
ALAMEDA COUNTY TRANSPORTATION COMMISSION
AND
CITY OF LIVERMORE

Utility Relocation along Route 84 Expressway Project – North and South Segments

This COOPERATIVE AGREEMENT (“**Agreement**”), dated for reference purposes only as of January 23, 2014, is entered into by and between the City of Livermore (“**City**”), a municipal corporation, and Alameda County Transportation Commission (“**Alameda CTC**”), a joint powers agency. This Agreement shall become effective on the date the same is fully-executed by both parties (“**Effective Date**”).

RECITALS

- A. City is the sponsor of the State Route 84 Expressway Widening Project (“**Project**”) between West Jack London Boulevard and Ruby Hill Drive.
- B. Alameda CTC is the implementing agency for preliminary engineering, environmental studies, design, right of way acquisition and utility relocation. The State of California Department of Transportation (“**Caltrans**”) will retain a contractor and manage and administer construction of the Project.
- C. The Project is segmented into the “North Segment,” from West Jack London Boulevard to north of Concannon Boulevard, and the “South Segment,” from north of Concannon Boulevard to Ruby Hill Drive.
- D. The Project Report and Environmental Document (PA&ED) for the combined North Segment and South Segment was approved in September 2008.
- E. The PA&ED and associated project budget documents assumed that utilities within the Project limits would remain overhead after relocation. This was an incorrect assumption, since Route 84 was designated as a Scenic Route in the City’s General Plan, and the City’s Scenic Route and General Plan policies call for overhead utilities to be undergrounded in the City’s Scenic Route Corridors. Subsequent to approval of the PA&ED, the City requested that certain utilities within the Project limits be undergrounded to reflect these policies.
- F. The City committed \$1.5 million in Measure B Project Specific Funds anticipated to be saved at the future close out of its Isabel Avenue – 84/I-580 Interchange Project and \$2.0 million in City Rule 20A Underground Funds for the underground relocation of certain utilities within the Project limits.
- G. The City subsequently proposed to exchange \$1.5 million in City Rule 20A Underground Funds for the \$1.5 million in previously committed Measure B Project Specific Funds from the City’s Isabel Interchange Project.
- H. The City adopted Resolution No. 2013-130 on October 28, 2013, pursuant to which the City announced an intent to form an Underground District along certain segments of the Project between Vineyard Avenue and approximately 1,000 feet north of Stanley Boulevard.

NOW, THEREFORE, THE PARTIES DO HEREBY AGREE AS FOLLOWS:

Section I

Alameda CTC Agrees:

1.1 To perform the overhead relocation of PG&E's 60KV electrical transmission line, 21KV electrical distribution line and AT&T communication line between Ruby Hill Drive and Vallecitos Road at project cost within the State Route 84 Expressway operating right of way as described in Caltrans Variance Request for 04-297614/297621.

1.2 To pay all design sunk costs incurred in evaluating the underground relocation alternative for PG&E's 60KV electrical transmission line.

1.3 To perform the underground relocation of existing overhead utilities between north of Concannon Boulevard and East Vineyard Avenue (Segment 1) as shown on the attached Exhibit A, to be funded partially from the South Segment budget and partially from City's contribution of \$1.5 million Rule 20A Underground Funds in-lieu of City's original \$3.5 million (\$2.0 million Rule 20A Underground Funds plus \$1.5 million in Measure B Project Specific Funds for the Isabel Interchange) commitment for underground utility relocation.

1.4 To relinquish \$2.0 million in City Rule 20A Underground Funds out of City's original \$3.5 million commitment for utility relocation, to permit City to utilize the same for underground relocation of PG&E and AT&T utilities between north of Concannon Boulevard and north of Stanley Boulevard (Segments 2a and 2b).

1.5 To accept City's proposed exchange of \$1.5 million in City Rule 20A Underground Funds for \$1.5 million in previously committed Project Specific Measure B funds from the City's Isabel Interchange Project.

1.6 To secure all Right-of-Way for the undergrounding of utilities, including Design Exceptions with Caltrans for undergrounding overhead utilities on the State parcels.

Section II

City Agrees:

2.1 To pay \$1.5 million in City Rule 20A Underground funds to Alameda CTC towards underground relocation of existing overhead utilities between North of Concannon Boulevard and Vineyard Avenue (Segment 1) as shown on Exhibit A.

2.2 To underground PG&E and AT&T utilities between north of Concannon Boulevard and north of Stanley Boulevard (Segment 2a & 2b) as shown on Exhibit A using City's Rule 20A Underground Funds and/or other local funds.

Section III

It Is Mutually Agreed:

3.1 City and Alameda shall take all requisite action to amend Project Specific Funding Agreement No. A07-0058 between City and Alameda CTC to add \$1.5 million in freed up Project Specific Measure B funds back into the Isabel Interchange Project to be used for any Isabel Interchange Project close out costs and any City staff costs to provide oversight for the Project or underground relocation of existing PG&E and AT&T utilities between north of Concannon Boulevard and north of Stanley Boulevard.

3.2 This Agreement constitutes the entire agreement between the parties regarding the subject matter hereof and any oral discussions or written or oral agreements with respect thereto preceding the effective date of this Agreement are superseded hereby. No amendment, alteration, or variation of the terms of this Agreement shall be valid unless made in writing and signed by the parties hereto, and no oral understanding or agreement not incorporated herein shall be binding on any of the parties hereto.

3.3 Alameda CTC and City each render their services under this Agreement as independent agencies. None of the agents or employees of either shall be deemed agents or employees of the other.

3.4 Any notice given under this Agreement shall be in writing and shall be deemed given if delivered personally or mailed by registered or certified mail or commercial overnight courier, return receipt of confirmation of delivery requested, or by facsimile transmission with voice confirmation or receipt, the parties at the following addresses (or at such other address for a party as shall be specified by like notice):

If to Livermore:

Marc Roberts, City Manager
City of Livermore
1052 S Livermore Ave
Livermore, CA 94550
Facsimile (925) 373-5318

If to Alameda CTC:

Arthur L. Dao, Executive Director
Alameda County Transportation Commission
1111 Broadway, Suite 800
Oakland, CA 94607
Facsimile: (510) 893-6489

CITY OF LIVERMORE

ALAMEDA COUNTY TRANSPORTATION
COMMISSION

By: _____
Marc Roberts
City Manager

By: _____
Arthur L. Dao
Executive Director

Approved as to Legal Form:

Recommended:

By: _____
Jason Alcala
Acting City Attorney

By: _____
Stewart D. Ng
Deputy Director of Programming and Projects

Signatures continue on the following page

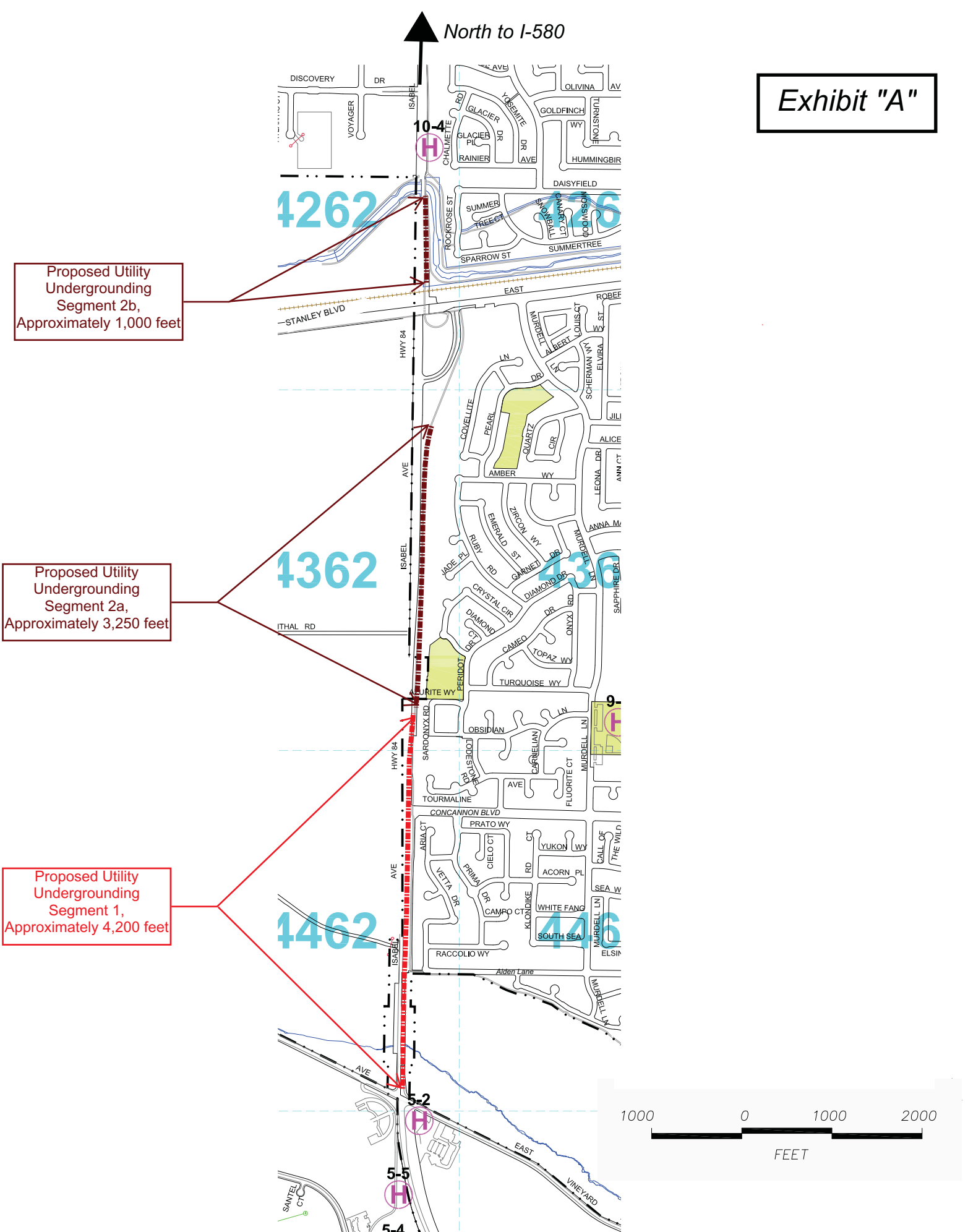
Reviewed as to Budget/Financial Controls:

By: _____
Patricia Reavey
Director of Finance

Approved as to Legal Form:

By: _____
Wendel, Rosen, Black & Dean LLP
Alameda CTC Legal Counsel

Exhibit "A"



This page intentionally left blank



Memorandum

6.4

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Various Projects: Amendments to Professional Services and Project Specific Funding Agreements for Time Extensions

RECOMMENDATION: Approve time extensions and authorize the Executive Director to execute amendments for requested time extensions to Professional Services and Project Specific Funding Agreements in support of the Alameda CTC's Capital Projects and Program delivery commitments.

Summary

Alameda CTC enters into professional services agreements with firms, project funding and grant agreements with project sponsors to provide the services necessary to meet the Capital Projects and Program delivery commitments. Agreements are entered into based upon estimated known project needs for scope, cost, and schedule.

Two agreements have been identified with justifiable needs for a time extension and are recommended for approval.

Background

Through the life of an agreement, situations may arise that warrant the need for a time extension.

The most common and justifiable reasons include:

- (1) Sole source services that are not available through any other source (eg: Engineer of Record and Proprietary software).
- (2) Delays in the procurement of new replacement contract.
- (3) Project delays.
- (4) Extended project closeout activities.

Staff recommends that the Commission authorize the Executive Director of Alameda CTC to amend the listed agreements as shown in Attachment A.

Fiscal Impact: There is no fiscal impact.

Attachments

A. Table A: Contract Time Extension Summary

Staff Contact

[Trinity Nguyen](#), Sr. Transportation Engineer

A. Table A: Contract Time Extension Summary

Index No.	Contract No.	Firm/Agency	Project/Services	Contract Amendment History	Time Request	Reason Code	Fiscal Impact
1	A09-006	TJKM	Webster Street SMART Corridor Project	A1: Additional time and scope A2: Additional time and scope A3: Additional time	6 months	4	None
2	A12-0004	St. Mini Cab	Same day taxi services for seniors and disabled originating in Tri-City area	A1: Additional time	3 months	2	None

- (1) Sole source services that are not available through any other source.
- (2) Delays in the procurement of new replacement contract.
- (3) Project delays.
- (4) Extended project closeout activities.

This page intentionally left blank



Memorandum

6.5

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Regional Measure 2 Program: Projects No. 29 Savings Plan

RECOMMENDATION: (1) Approve distribution of Regional Measure 2 Project No. 29 funds savings to the I-880 23rd 29th Avenue and AC Transit's Bus Rapid Transit (BRT) projects. (2) Authorize the Executive Director, or his designee, to negotiate and execute all necessary agreements and contracts for the allocation and use of RM2 funds to deliver the I-880 23rd 29th Avenue project.

Summary

The Metropolitan Transportation Commission (MTC) is responsible for administering the Regional Measure 2 (RM2) program. Thirty-six capital projects are listed in RM2 (California Streets and Highway Code Section 30914(c)). These projects range from studies to transit vehicle procurement to freeway improvements. The Alameda CTC and AC Transit are co-sponsors of RM2 Project No. 29 (Express Bus South- \$22 million). Project 29 had five sub-projects that have been delivered and resulted in a project cost savings of approximately \$2.9 million. It is recommended that \$2.3 million of project 29 savings be programmed to Alameda CTC sponsored I-880 23rd 29th Avenue and \$0.6 million be programmed to AC Transit's BRT project. The AC Transit BRT project will also be programmed with an additional \$1.7 million STIP funds, resulting in both project receiving \$2.3 million.

Background

Alameda CTC and AC Transit are the co-sponsors of Project No. 29 Express Bus South which received an initial RM2 programming of \$22 million. As a project delivery strategy, the project was subdivided into five (5) sub projects. Over the past few years the Alameda CTC and AC Transit have partnered and successfully delivered the 5 sub projects. Approximately \$2.9 million of RM2 funds still remain.

Alameda CTC and AC Transit propose to utilize the RM2 project 29 project cost savings. Alameda CTC and AC Transit staff have reached a consensus to propose two projects to utilize the savings towards capital and capital support phase needs. The proposal includes \$2.3 million of project 29 savings be programmed to Alameda CTC sponsored I-880 23rd 29th Avenue and \$0.6 million programmed to AC Transit's BRT project. The AC Transit BRT project will also be programmed with an additional \$1.7 million STIP funds, resulting in both project receiving \$2.3 million. The draft cost savings proposal was forwarded to MTC staff last month. MTC review may result in additional programming actions required by Alameda CTC.

It is recommended the Commission approve distribution of Regional Measure 2 Project No. 29 funds savings to the I-880 23rd 29th Avenue and AC Transit's Bus Rapid Transit (BRT) projects and authorize the Executive Director, or his designee, to negotiate and execute all necessary agreements and contracts for the allocation and use of RM2 funds to deliver the I-880 23rd 29th Avenue project.

Fiscal Impact: There is no fiscal impact.

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer