ALAMEDA COUNTY
CONGESTION MANAGEMENT AGENCY

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October 12, 2009
Agenda Item 4.6.1

Memorandum

DATE: September 30, 2009

TO: Plans and Programs Committee

FROM: Matt Todd, Manager of Programming

RE: State Transportation Improvement Program (STIP): At Risk Report

Action Requested
It is recommended that the Board approve the attached At Risk Report for local projects programmed in the STIP. ACTAC is scheduled to consider this item on October 6th.

Discussion
The Report, dated September 30, 2009, includes a total of 27 STIP projects being monitored for compliance with the STIP "Timely Use of Funds" provisions. Red zone projects are considered at a relatively high risk of non-compliance with the provisions. Yellow zone projects are considered at moderate risk, and green zone at low risk. The criteria for determining the project zones are listed near the end of the report. 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 risk factors that indicate multiple zones. The risk zone associated with each risk factor is indicated in the tables. Projects with multiple risk factors are listed in the zone of higher risk.

The CMA requests copies of certain documents related to the required activities to verify that the deadlines have been met. Typically, the documentation requested are copies of documents submitted by the sponsor to other agencies involved with transportation funding such as Caltrans, MTC, and the CTC. The one exception is the documentation requested for the "Complete Expenditures" deadline which does not have a corresponding requirement from the other agencies. Sponsors must provide documentation supported by their accounting department as proof that the Complete Expenditures deadline has been met. Once the project sponsor provides a copy of the Final Invoice to the CMA, the project is moved to the list of Completed Projects at the end of the report.

The information presented in the report is based on the information made available to the CMA's project monitoring team. This information stems from the project sponsors as well as other funding agencies such as Caltrans, MTC and the CTC.

Attachment

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Red Zone Projects

Index	PP No.	Source	Sponsor / Prog'd Amount ($x 1,000)	Project Title / Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Prev Zone
1	2009P		BART	Ala. Co. BART Station Renovation						
		RIP	$3,000	Con	07/08	Award Contract	10/30/09	R	$3M Alloc'd 12/11/08 4-Mo Ext App'd June 09	R
		RIP	$248	PSE	07/08	Complete Expend	6/30/10	Y	$248 Alloc'd 9/5/07	G
2	2100E		Oakland	7th St. / West Oakland TOD						
		ARRA-TE	$1,300	Con	09/10	Award Contract	12/31/09	R	$1,300 Obligated 8/5/09 Note 3	G

Yellow Zone Projects

Index	PP No.	Source	Sponsor / Prog'd Amount ($x 1,000)	Project Title / Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Prev Zone
3	2179		ACCMA	Planning, Programming and Monitoring [1]						
		RIP	$1,311	Con	07/08	Complete Expend	6/30/10	Y	$1,311 Alloc'd 7/26/07	G
		RIP	$1,409	Con	08/09	Complete Expend	6/30/11	G	$1,409 Alloc'd 7/24/08	
		RIP	$1,209	Con	09/10	Complete Expend	6/30/12	G	$1,209 Alloc'd 7/9/09	
		RIP	$1,210	Con	10/11	Allocate Funds	6/30/11	G		
		RIP	$1,000	Con	11/12	Allocate Funds	6/30/12	G		
		RIP	$1,000	Con	12/13	Allocate Funds	6/30/13	G		
		RIP	$111	Con	06/07	Complete Expend	6/30/09	NA	Expenditures Comp.	
		RIP	$110	Env	05/06	Complete Expend	6/30/08	NA	Expenditures Comp.	
4	0062E		ACCMA	I-80 Integrated Corridor Mobility						
		RIP	$954	Env	07/08	Complete Expend	6/30/10	Y	$954 Alloc'd 9/5/07 Contra Costa RIP	G
5	0044C		ACCMA	I-880 Reconstruction, 29th to 23rd						
		RIP	$5,000	PSE	09/10	Allocate Funds	6/30/10	Y		G
		RIP	$7,000	Con	11/12	Allocate Funds	6/30/12	G		
6	0016V		ACTA	I-880/Mission Blvd, Phase 1B/2						
		RIP	$10,000	Con	09/10	Allocate Funds	6/30/10	Y		G
7	2009C		AC Transit	Berkeley/Oakland/San Leandro Corridor MIS						
		RIP	$2,700	Env	06/07	Complete Expend	6/30/10	Y	$2,700K Alloc'd 4/26/07 12-Mo Ext App'd May 09	R
8	2009K		LAVTA	Satellite Bus Operating Facility (Phases 1 & 2)						
		RIP	$1,500	Con	06/07	Accept Contract	9/10/10	Y	Contract Awd 9/10/07	G
		RIP	$4,000	Con	10/11	Allocate Funds	6/30/11	G		
9	2100		MTC	Planning, Programming and Monitoring [1]						
		RIP	$113	Con	07/08	Complete Expend	6/30/10	Y	$113 Alloc'd 7/26/07	G
		RIP	$113	Con	08/09	Complete Expend	6/30/11	G	$113 Alloc'd 7/24/08	
		RIP	$113	Con	09/10	Complete Expend	6/30/12	G	$113 Alloc'd 7/9/09	
		RIP	$113	Con	10/11	Allocate Funds	6/30/11	G		
		RIP	$114	Con	11/12	Allocate Funds	6/30/12	G		
		RIP	$114	Con	12/13	Allocate Funds	6/30/13	G		
		RIP	$110	Con	06/07	Complete Expend	6/30/09	NA	Expenditures Comp.	
		RIP	$110	Env	05/06	Complete Expend	6/30/08	NA	Expenditures Comp.	
10	1022		Oakland	Rte. 880 Access at 42nd Ave./High St., APD						
		RIP	$5,990	R/W	07/08	Complete Expend	6/30/10	Y	$5.990M Alloc'd 12/13/07	G

Green Zone Projects

Index	PP No.	Source	Sponsor	Project Title	Prog'd Amount ($x 1,000)	Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Zone
11	2009A	RIP	AC Transit	Maintenance Facilities Upgrade	$3,705	Con	06/07	Accept Contract	Note 2	G	$3,705K Alloc'd 9/7/06	G
12	2009B	RIP	AC Transit	SATCOM Expansion	$1,000	Con	06/07	Accept Contract	Note 2	G	$1,000K Alloc'd 9/7/06	G
13	2009D	RIP	AC Transit	Bus Component Rehabilitation	$4,500	Con	06/07	Accept Contract	Note 2	G	$4.5M Alloc'd 7/20/06	G
14	2009I	RIP	AC Transit	New Bus Component Rehabilitation Project	$7,738	Con	07/08	Accept Contract	Note 2	G	$7,738 Alloc'd 5/29/08	G
15	2009Q	RIP	AC Transit	Bus Purchase	$14,000	Con	06/07	Accept Contract	Note 2	G	$14M Alloc'd 10/12/06	G
16	2009X	RIP	AC Transit	Zero Emission Bus Project	$7,810	Con	07/08	Accept Contract	Note 2	G	$7.81M Alloc'd 9/20/07	G
17	0016O	RIP	ACCMA	I-680 SB HOT Lane Accommodation	$8,000	Con	07/08	Accept Contract	6/26/12	G	$8M Alloc'd 6/26/08 42 months for Accept App'd by CTC	G
18	0081D	RIP	ACTA	Rte 84 Expressway - Fremont and Union City	$9,300	Con	10/11	Allocate Funds	6/30/11	G		G
19	0016U	RIP	ACTIA	I-580 Castro Valley I/C Improvements	$7,315	Con	07/08	Accept Contract	6/26/11	G	$7.315M Alloc'd 3/12/08	G
20	2009N	RIP	Alameda	Tinker Avenue Extension	$4,000	Con	07/08	Accept Contract	3/17/12	G	$4M Alloc'd 9/25/08 Awd 3/17/09	R
21	2009L	RIP	Alameda Co.	Vasco Road Safety Improvements	$4,600	Con	07/08	Accept Contract	7/29/11	G	$4.6M Alloc'd 2/14/08 Contract Award 7/29/08	G
22	1014	RIP	BART	BART Transbay Tube Seismic Retrofit	$38,000	Con	07/08	Accept Contract	3/5/11	G	$38M Alloc'd 9/5/07	G
23	2009Y	RIP-TE	BART	Ashby BART Station Concourse/Elevator Imps	$1,200	Con	07/08	Accept Contract	1/22/12	G	$1,200 Alloc'd 6/26/08	G
24	2009W	RIP	Berkeley	Ashby BART Station Intermodal Imps	$4,614	Con	07/08	Accept Contract	12/26/11	G	$4,614 Alloc'd 6/26/08	G
		RIP			$1,500	Con	09/10	Accept Contract	12/26/11	G	AB 3090 app'd 8/28/08 $1.5M Alloc'd 9/10/09	
25	2014U	RIP	GGBHTD	SF Golden Gate Bridge Barrier	$12,000	Con	11/12	Allocate Funds	6/30/12	G		G

Green Zone Projects (Cont.)

Index	PP No. / Source	Sponsor / Prog'd Amount ($x 1,000)	Project Title / Phase	FY	Req'd Activity	Date Req'd By	Zone	Notes	Zone
26	**2100C1**	**Oakland**	**MacArthur Transit Hub Improvement, 40th St**						
	RIP-TE	$193	Con	07/08	Accept Contract	12/1/10	G	Alloc App'd 7/26/07	G
27	**2110**	**Union City**	**Union City Intermodal Station**						
	RIP	$4,600	Con	07/08	Accept Contract	11/13/10	G	$4.6M Alloc'd 9/5/07	G
	RIP	$720	Con	05/06	Accept Contract	11/13/10	G	$720K Alloc'd 11/9/06	
	RIP-TE	$5,307	Con	05/06	Accept Contract	11/13/10	G	$5,307K Alloc'd 11/9/06	
	RIP-TE	$2,000	Con	06/07	Accept Contract	11/13/10	G	$2,000K Alloc'd 11/9/06	
	RIP	$9,787	Con	06/07	Accept Contract	11/13/10	G	$9,787K Alloc'd 11/9/06	
	RIP	$715	Con	11/12	Allocate Funds	6/30/12	G		

Notes:

1 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."

2 Transit projects receiving State-only funds are subject to project specific requirements included in agreements with Caltrans.

3 Deadline for ARRA funding may be different than STIP Timely Use of Funds requirement. ARRA deadlines shown.

2008 STIP -Timely Use of Funds Provisions

The At Risk Report monitors 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	Description
Allocation	For all phases, by the end (June 30th) of the fiscal year programmed in the STIP.
Construction Contract Award [1]	Within six (6) months of allocation.
Accept Contract	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 (Final Report of Expenditures)	For Env, PSE, & R/W funds, within 180 days (6 months) after the FY in which the expenditure occurred. For Con funds, within 180 Days (6 months) of contract acceptance.

Zone Criteria

The At Risk Report utilizes 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 (4) to eight (8) months	All conditions other than Red or Yellow Zones
Allocation -PS&E Phase	within six months	within six (6) to ten (10) months	All conditions other than Red or Yellow Zones
Allocation -Right of Way Phase	within eight months	within eight (8) to twelve (12) months	All conditions other than Red or Yellow Zones
Allocation -Construction Phase	within eight months	within eight (8) to twelve (12) months	All conditions other than Red or Yellow Zones
Construction Contract Award [1]	within six months	NA	All conditions other than Red or Yellow Zones
Accept Contract	within six months	within six (6) to twelve (12) months	All conditions other than Red or Yellow Zones
Complete Expenditures	within eight months	within eight (8) to twelve (12) months	All conditions other than Red or Yellow Zones
Final Invoice (Final Report of Expenditures)	NA	NA	NA

Other Zone Criteria

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

Notes:

[1] June 2006 CTC action, Resolution G-06-08, changed the construction contract award deadline from within 12 months of the Allocation date to within 6 months of the Allocation date.