ALAMEDA COUNTY
CONGESTION MANAGEMENT AGENCY

1333 BROADWAY, SUITE 220 • OAKLAND, CA 94612 • PHONE: (510) 836-2560 • FAX: (510) 836-2185
E-MAIL: mail@accma.ca.gov • WEB SITE: accma.ca.gov

February 3, 2009
Agenda Item 3.3.1

Memorandum

DATE: January 23, 2009

TO: ACTAC

FROM: Matt Todd, Manager of Programming

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

Action Requested
ACTAC is requested to approve the attached At Risk Report for local projects programmed in the STIP Program.

Discussion
The Report, dated January 31, 2009, includes a total of 28 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	2009C		AC Transit	Berkeley/Oakland/San Leandro Corridor MIS						
		RIP	$2,700	Env	06/07	Complete Expend	6/30/09	R	$2,700K Alloc'd 4/26/07	Y
2	2009N		Alameda	Tinker Avenue Extension						
		RIP	$4,000	Con	07/08	Award Contract	3/25/09	R	$4M Alloc'd 9/25/08	R
3	2009P		BART	Ala. Co. BART Station Renovation						
		RIP	$3,000	Con	07/08	Award Contract	5/11/09	R	$3M Alloc'd 12/11/08	R
		RIP	$248	PSE	07/08	Complete Expend	6/30/10	G	$248 Alloc'd 9/5/07	
4	0057A		Caltrans	Caldecott Tunnel 4th Bore						
		RIP	$2,000	PSE	08/09	Allocate Funds	6/30/09	R		NA

Yellow Zone Projects

No Projects in Yellow Zone this Report

Green 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	Zone
5	2009A		AC Transit	Maintenance Facilities Upgrade						
		RIP	$3,705	Con	06/07	Accept Contract	3/7/10	G	$3,705K Alloc'd 9/7/06 See Note 2	G
6	2009B		AC Transit	SATCOM Expansion						
		RIP	$1,000	Con	06/07	Accept Contract	3/7/10	G	$1,000K Alloc'd 9/7/06 See Note 2	G
7	2009D		AC Transit	Bus Component Rehabilitation						
		RIP	$4,500	Con	06/07	Accept Contract	1/17/10	G	$4.5M Alloc'd 7/20/06 See Note 2	G
8	2009I		AC Transit	New Bus Component Rehabilitation Project						
		RIP	$7,738	Con	07/08	Accept Contract	5/29/11	G	$7,738 Alloc'd 5/29/08	R
9	2009Q		AC Transit	Bus Purchase						
		RIP	$14,000	Con	06/07	Accept Contract	4/12/10	G	$14M Alloc'd 10/12/06 See Note 2	G
10	2009X		AC Transit	Zero Emission Bus Project						
		RIP	$7,810	Con	07/08	Accept Contract	3/20/11	G	$7.81M Alloc'd 9/20/07 See Note 2	R
11	0016O		ACCMA	I-680 SB HOT Lane Accommodation						
		RIP	$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	R

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
12	2179		ACCMA	Planning, Programming and Monitoring [1]						
		RIP	$1,311	Con	07/08	Complete Expend	6/30/10	G	$1,311 Alloc'd 7/26/07	G
		RIP	$111	Con	06/07	Complete Expend	6/30/09	G	Expenditures Comp.	
		RIP	$110	Env	05/06	Complete Expend	6/30/08	G	Expenditures Comp.	
		RIP	$1,409	Con	08/09	Complete Expend	6/30/12	G	$1,409 Alloc'd 7/24/08	
		RIP	$1,209	Con	09/10	Allocate Funds	6/30/10	G		
		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		
13	0062E		ACCMA	I-80 Integrated Corridor Mobility						
		RIP	$954	Env	07/08	Complete Expend	6/30/10	G	$954 Alloc'd 9/5/07 Contra Costa RIP	G
14	0044C		ACCMA	I-880 Reconstruction, 29th to 23rd						
		RIP	$5,000	PSE	09/10	Allocate Funds	6/30/10	G		G
		RIP	$7,000	Con	11/12	Allocate Funds	6/30/12	G		
15	0016V		ACTA	I-880/Mission Blvd, Phase 1B/2						
		RIP	$10,000	Con	09/10	Allocate Funds	6/30/10	G		G
16	0081D		ACTA	Rte 84 Expressway - Fremont and Union City						
		RIP	$9,300	Con	10/11	Allocate Funds	6/30/11	G		NA
17	0016U		ACTIA	I-580 Castro Valley I/C Improvements						
		RIP	$7,315	Con	07/08	Accept Contract	6/26/11	G	$7.315M Alloc'd 3/12/08	R
18	2009L		Alameda Co.	Vasco Road Safety Improvements						
		RIP	$4,600	Con	07/08	Accept Contract	7/29/11	G	$4.6M Alloc'd 2/14/08 Contract Award 7/29/08	R
19	1014		BART	BART Transbay Tube Seismic Retrofit						
		RIP	$38,000	Con	07/08	Accept Contract	3/5/11	G	$38M Alloc'd 9/5/07	R
20	2009Y		BART	Ashby BART Station Concourse/Elevator Imps						
		RIP-TE	$1,200	Con	07/08	Accept Contract	1/22/12	G	$1,200 Alloc'd 6/26/08 Sched for Awd 1/22/09	R
21	2009W		Berkeley	Ashby BART Station Intermodal Imps						
		RIP	$4,614	Con	07/08	Accept Contract	12/26/11	G	$4,614 Alloc'd 6/26/08	R
		RIP	$1,500	Con	09/10	Allocate Funds	6/30/10	G	AB 3090 approved 8/28/08	
22	2014U		GGBHTD	SF Golden Gate Bridge Barrier						
		RIP	$12,000	Con	11/12	Allocate Funds	6/30/12	G		NA
23	2009K		LAVTA	Satellite Bus Operating Facility (Phases 1 & 2)						
		RIP	$1,500	Con	06/07	Accept Contract	9/10/10	G	Contract Awd 9/10/07	G
		RIP	$4,000	Con	10/11	Allocate Funds	6/30/11	G		

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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
24	2100		MTC	Planning, Programming and Monitoring [1]						
		RIP	$113	Con	07/08	Complete Expend	6/30/10	G	$113 Alloc'd 7/26/07	G
		RIP	$110	Con	06/07	Complete Expend	6/30/09	G	Expenditures Comp.	
		RIP	$110	Env	05/06	Complete Expend	6/30/08	G	Expenditures Comp.	
		RIP	$113	Con	08/09	Complete Expend	6/30/12	G	$113 Alloc'd 7/24/08	
		RIP	$113	Con	09/10	Allocate Funds	6/30/10	G		
		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		
25	1022		Oakland	Rte. 880 Access at 42nd Ave./High St., APD						
		RIP	$5,990	R/W	07/08	Complete Expend	6/30/10	G	$5.990M Alloc'd 12/13/07	Y
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	R
27	2100E		Oakland	7th St. / West Oakland TOD						
		RIP-TE	$1,300	Con	09/10	Allocate Funds	6/30/10	G		NA
28	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	R
		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.

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.