

BOARD OF DIRECTORS MEETING

Thursday, March 2, 2017

5:30 PM

Board of Supervisors' Chambers

County Government Center 70 West Hedding Street San Jose, CA 95110

AGENDA

To help you better understand, follow, and participate in the meeting, the following information is provided:

- Persons wishing to address the Board of Directors on any item on the agenda or not on the agenda are requested to complete a blue card located at the public information table and hand it to the Board Secretary staff prior to the meeting or **before the item is heard**.
- Speakers will be called to address the Board when their agenda item(s) arise during the meeting and are asked to limit their comments to 2 minutes. The amount of time allocated to speakers may vary at the Chairperson's discretion depending on the number of speakers and length of the agenda. If presenting handout materials, please provide 25 copies to the Board Secretary for distribution to the Board of Directors.
- The <u>Consent Agenda</u> items may be voted on in one motion at the beginning of the meeting. The Board may also move regular agenda items on the consent agenda during Orders of the Day. If you wish to discuss any of these items, please request the item be removed from the <u>Consent Agenda</u> by notifying the Board Secretary staff or completing a blue card at the public information table prior to the meeting or prior to the Consent Agenda being heard.

<u>Disclosure of Campaign Contributions to Board Members</u> (Government Code Section 84308)

In accordance with Government Code Section 84308, no VTA Board Member shall accept, solicit, or direct a contribution of more than \$250 from any party, or his or her agent, or from any participant, or his or her agent, while a proceeding involving a license, permit, or other entitlement for use is pending before the agency. Any Board Member who has received a contribution within the preceding 12 months in an amount of more than \$250 from a party or from any agent or participant shall disclose that fact on the record of the proceeding and shall not make, participate in making, or in any way attempt to use his or her official position to influence the decision.

A party to a proceeding before VTA shall disclose on the record of the proceeding any contribution in an amount of more than \$250 made within the preceding 12 months by the party, or his or her agent, to any Board Member. No party, or his or her agent, shall make a contribution of more than \$250 to any Board Member during the proceeding and for three months following the date a final decision is rendered by the agency in the proceeding. The foregoing statements are limited in their entirety by the provisions of Section 84308 and parties are urged to consult with their own legal counsel regarding the requirements of the law.

• All reports for items on the open meeting agenda are available for review in the Board Secretary's Office, 3331 North First Street, San Jose, California, (408) 321-5680, the Monday, Tuesday, and Wednesday prior to the meeting. This information is available on our website, <u>www.vta.org</u>, and also at the meeting. Any document distributed less than 72-hours prior to the meeting will also be made available to the public at the time of distribution. Copies of items provided by members of the public at the meeting will be made available following the meeting upon request.

In accordance with the Americans with Disabilities Act (ADA) and Title VI of the Civil Rights Act of 1964, VTA will make reasonable arrangements to ensure meaningful access to its meetings for persons who have disabilities and for persons with limited English proficiency who need translation and interpretation services. Individuals requiring ADA accommodations should notify the Board Secretary's Office at least 48-hours prior to the meeting. Individuals requiring language assistance should notify the Board Secretary may be contacted at (408) 321-5680 or *e-mail: board.secretary@vta.org or (408) 321-2330 (TTY only). VTA's home page is on the web at: www.vta.org or visit us on Facebook at: www.facebook.com/scvta. (408) 321-2300: 中文/ Español / 日本語 / 한국어 / tiếng Việt / Tagalog.

NOTE: THE BOARD OF DIRECTORS MAY ACCEPT, REJECT OR MODIFY ANY ACTION RECOMMENDED ON THIS AGENDA.

<u>70 West Hedding</u> St., San Jose, California is served by bus lines *61, 62, 66, 181, and Light Rail. (*61 Southbound last trip is at 8:55 pm for this location.)

For trip planning information, contact our Customer Service Department at (408) 321-2300 between the hours of 6:00 a.m. to 7:00 p.m. Monday through Friday and 7:30 a.m. to 4:00 p.m. on Saturday. Schedule information is also available on our website, <u>www.vta.org</u>.

1. CALL TO ORDER AND ROLL CALL

- **1.1.** ADMINISTER OATHS OF OFFICE to newly appointed Board Members.
- **1.2.** ROLL CALL
- **1.3.** Orders of the Day

2. AWARDS AND COMMENDATION

- **2.1.** INFORMATION ITEM Recognize Corina Blanco, Transit Division Supervisor, Cerone Operations, and Robert Joyce, Bus Dispatcher, Chaboya Operations, as the Employees of the Year for 2016.
- **2.2.** INFORMATION ITEM Recognize the Mineta Transportation Institute for being a valued community partner not only to VTA but to the many families in Santa Clara County as well.
- **2.3.** INFORMATION ITEM Recognize the 2016 Advisory Committee Chairpersons, and welcome those serving in that capacity for 2017.

3. PUBLIC COMMENT

This portion of the meeting is reserved for persons desiring to address the Board of Directors on any item within the Board's jurisdiction. Speakers are <u>limited to 2 minutes</u>. The law does not permit Board action or extended discussion of any item not on the agenda except under special circumstances. If Board action is requested, the matter can be placed on a subsequent agenda. All statements that require a response will be referred to staff for reply in writing.

4. **PUBLIC HEARINGS**

4.1 HEARING - NOTICE OF INTENTION TO ADOPT RESOLUTIONS OF NECESSITY

ACTION ITEM - Close Hearing and adopt Resolutions of Necessity determining that the public interest and necessity requires the acquisition of property interests from three properties owned by: (1) The heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, Charles Brandt and Emma E. Brandt (property is located in Milpitas, California); (2) The heirs or devisees of Jose De S. Silveira, Deceased, subject to the administration of the Estate of said Decedent (property located in San Jose, California); and (3) Roland Y. Santo, Chester T. Santo, and the heirs or devisees of Ryuzo Santo and Yoshi Santo, Deceased, subject to the administration of the Estate of said Decedent (property located in Milpitas, California) for the BART Silicon Valley Berryessa Extension (SVBX) Project.

Property ID/Assessor's Parcel Number/Owner

B2220C (No APN) owned by the heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, Charles Brandt and Emma E. Brandt.

Property ID/Assessor's Parcel Number/Owner

B3617 (Vacated Trimble Road/Lundy Place – No APN) owned by the heirs or devisees of Jose De S. Silveira, Deceased, subject to the administration of the Estate of said Decedent.

Property ID/Assessor's Parcel Number/Owner

B3621 (Vacated Trimble Road/Lundy Place – No APN) owned by Roland Y. Santo, Chester T. Santo, and the heirs or devisees of Ryuzo Santo and Yoshi Santo, Deceased, subject to the administration of the Estate of said Decedent.

5. COMMITTEE REPORTS

- **5.1.** Citizens Advisory Committee (CAC) Chairperson's Report. (Verbal Report) (Wadler)
- **5.2.** Policy Advisory Committee (PAC) Chairperson's Report. (Verbal Report) (Miller)
- **5.3.** Policy Advisory Board Chairpersons' Report. (Verbal Report)

6. CONSENT AGENDA

- **6.1.** ACTION ITEM Approve the Board of Directors Regular Meeting Minutes of February 2, 2017.
- **6.2.** ACTION ITEM Approve the process for appointments to the 2016 Measure B Citizens' Oversight Committee.
- **6.3.** ACTION ITEM Authorize the General Manager to amend the amount of the current \$500,000 on-call Joint Development Support Services contract with PlaceWorks, Inc. by \$867,000 (to a total of \$1,367,000), to provide technical support on development entitlements for multiple joint development sites in the City of San Jose.
- **6.4.** ACTION ITEM Authorize the General Manager to execute a contract with WABO Landscape & Construction Inc., the lowest responsive and responsible bidder, in the amount of \$5,830,462 for the construction of Landscaping for Berryessa and Milpitas Campuses and Third Party Access (C741).

- **6.5.** ACTION ITEM Authorize the General Manager to negotiate and execute an amendment to the existing cooperative agreement with the Santa Clara Valley Water District (SCVWD) regarding the reimbursement of SCVWD's staff costs to assist VTA with construction coordination and project close out in support of the BART Silicon Valley Berryessa Extension (SVBX) Project to increase the authorization by \$200,000, from an existing amount of \$2,273,000 to \$2,473,000.
- **6.6.** ACTION ITEM Approve the selection of NEPC, LLC and authorize the General Manager to execute the contract for NEPC, LLC to provide general investment consultant services to the Santa Clara Valley Transportation Authority (VTA) for a period of five years plus two optional one year extensions, for a total of seven years and an amount not to exceed \$1,377,000.
- **6.7.** ACTION ITEM Adopt a resolution authorizing the General Manager to file and execute grant applications and agreements with the Metropolitan Transportation Commission (MTC) for funding from the Transit Performance Initiative (TPI) Investment Program (Round 3).
- **6.8.** ACTION ITEM Adopt a resolution authorizing the General Manager to submit and execute grant applications and agreements, certifications, assurances, and other documents as necessary to receive funding from the California Department of Transportation (Caltrans) under the Federal Transit Administration (FTA) Section 5310 Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program. (Deferred from the February 2, 2017, VTA Board of Directors' meeting.)
- **6.9.** ACTION ITEM Review and receive the Auditor General's report on the Express Lane Funding and Operations Assessment.
- **6.10.** ACTION ITEM Review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Investment Program Controls Internal Audits performed during Fiscal Years 2013 and 2015.
- **6.11.** ACTION ITEM Review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Timekeeping and Payroll Process Review.
- **6.12.** INFORMATION ITEM Review and receive the Internal Audit Program's Audit Dashboard on the status of implementation of recommendations issued by the Office of the Auditor General.
- **6.13.** INFORMATION ITEM Receive the Valley Transportation Plan (VTP) Highway Program Semi-Annual Report Ending October 31, 2016.
- **6.14.** INFORMATION ITEM Receive a report on the "State Route 85 Noise Reduction Study Final Phase 1 Report" dated September 2016.
- **6.15.** INFORMATION ITEM Receive a summary of community feedback collected to date on the draft Next Network transit service plan.

6.16. INFORMATION ITEM - Review the Legislative Update Matrix.

7. REGULAR AGENDA

Administration and Finance Committee

7.1. ACTION ITEM - Review and accept the Fiscal Year 2017 Statement of Revenues and Expenses for the period ending December 31, 2016.

8. OTHER ITEMS

- 8.1. General Manager Report. (Verbal Report)
 - **8.1.A.** Receive an update on Caltrans District 4 Activities in Santa Clara County. (Verbal Report) (Sartipi/Gonot)
 - **8.1.B.** Receive a presentation from VTA's Federal Lobbyist, Steve Palmer, Van Scoyoc Associates. (Verbal Report)
 - **8.1.C.** Receive a report on Operations support during Coyote Creek flood. (Verbal Report) (I. Evans)
 - **8.1.D.** Receive Government Affairs Update.
 - **8.1.E.** INFORMATION ITEM Receive Silicon Valley Rapid Transit (SVRT) Program Update.
- **8.2.** Chairperson's Report. (Verbal Report)
- **8.3.** ITEMS OF CONCERN AND REFERRAL TO ADMINISTRATION
- **8.4.** Unapproved Minutes/Summary Reports from VTA Committees, Joint Powers Boards (JPB), and Regional Commissions
 - **8.4.A.** VTA Standing Committees
 - **8.4.B.** VTA Advisory Committees
 - **8.4.C.** VTA Policy Advisory Boards (PAB)
 - 8.4.D. Joint Powers Boards and Regional Commissions
- **8.5.** Announcements

9. CLOSED SESSION

9.1. Recess to Closed Session

A. Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

> Name of Case: Con-Quest Contractors, Inc. v. Santa Clara Valley Transportation Authority, et al. (Santa Clara County Superior Court Case No. 1-16-CV-291015)

B. Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

Name of Case: Santa Clara Valley Transportation Authority v. Mahajan, et al. (Santa Clara County Superior Court Case No. 16-CV-292574)

9.2. Reconvene to Open Session

9.3. Closed Session Report

10. ADJOURN



Date:February 15, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Director of Business Services, Alberto Lara
SUBJECT:	2016 Employees of the Year

FOR INFORMATION ONLY

BACKGROUND:

Employees of the Year for 2016:

Corina Blanco, Transit Division Supervisor at Cerone Operations, is the Supervisor of the Year in the Administrative/Supervisor category. During her 21 years as a VTA employee, Corina has always been hard working and engaged in her work duties. She strives to be a positive role model not only for her employees, but everyone she works with. Having worked as an operator for VTA before, Corina is able to draw from her experience in providing valuable assistance to her staff. She ensures that workloads are flowing smoothly, and she is efficient in completing all of her tasks. Her team describes her as an amazing employee who is absolutely deserving of this recognition. Congratulations to Corina Blanco, Supervisor of the Year!

Robert Joyce, Bus Dispatcher at Chaboya Operations, is the Operations Award Winner of the Year in the Operations/Maintenance category. Next month will mark Robert's 39 year anniversary as an employee with the organization. He has always been meticulous with the level of detail he puts in his work and always goes the extra mile when needed. Not only does he assist employees at Chaboya with pullouts when they are shorthanded, but he also does this for other divisions as well. He frequently motivates his coworkers and serves as a great role model for them. His colleagues strongly believe he deserves acknowledgement for all of his hard work. Congratulations to Robert Joyce, Operations Employee of the Year!

Prepared By: Office of Diversity and Inclusion Memo No. 5944



Date:February 21, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Director of Business Services, Alberto Lara
SUBJECT:	Community Partnership Recognition

FOR INFORMATION ONLY

BACKGROUND:

VTA remains a committed community partner and actively continues to pursue valued partnerships that enhance the quality of life in Santa Clara County.

VTA reached out to The Mineta Transportation Institute (MTI) to educate the VTA on its roles and responsibilities in the event of a wide scale emergency or disaster. MTI is a part of the Lucas Graduate School of Business at San José State University. MTI conducts research, education programs, information and technology transfer, focusing on multimodal surface transportation policy and management issues.

MTI Instructors Dr. Frances Edwards, Ph.D., Deputy Director, National Transportation Safety and Security Center, and Dan Goodrich, Chair of the San Jose Metropolitan Medical Task Force exercise group, brought multiple decades of Emergency Management and Security experience to VTA and provided a depth of knowledge of the four phases of Emergency Management: Mitigation, Preparedness, Response, and Recovery. VTA continues to partner with MTI to deliver quality Emergency Management Education to its staff.

Prepared By: Michael Brill Memo No. 5949



Date:February 23, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
FROM:	Board Chairperson, Jeannie Bruins
SUBJECT:	Recognition of 2016 and Introduction of 2017 Advisory Committee Chairpersons

FOR INFORMATION ONLY

BACKGROUND:

VTA values and benefits from the thoughtful input and diverse perspective provided by its five advisory committees: Bicycle & Pedestrian Advisory (BPAC); Citizens Advisory (CAC); Committee for Transportation Mobility & Accessibility (CTMA); Policy Advisory (PAC); and Technical Advisory (TAC). These committees provide a wide spectrum of stakeholder groups with a forum for discussing proposed changes in VTA policy or priorities that potentially impact transit service and transportation projects throughout the county.

The efficient functioning of these committees and the ability to conduct dynamic, respectful discussions yielding productive input is the responsibility of each committee's chairperson. The chairperson, who is elected by the membership, is responsible for presiding at their respective committee meetings and for representing their committee before the Board of Directors and VTA management. They facilitate their committee meetings in an impartial manner, focusing the discussion while taking the wide range of member perspectives into consideration. The challenging goal for the chairperson is to achieve support and individual responsibility for the collective decision. Leadership is a key component to guiding the discussions of the meeting in an organized and productive manner.

DISCUSSION:

The Board would like to take this opportunity to express its appreciation to the 2016 advisory committee chairpersons for their service to the Board of Directors and the community and for their dedicated leadership. Through the input of their committees, VTA is able to maximize the effectiveness of transportation services, programs and projects provided to the residents of Santa Clara County.

The individuals who served as their committee's 2016 chairperson are:

Advisory	Committee

Bicycle & Pedestrian Advisory Committee (BPAC) Citizens Advisory Committee (CAC) Committee for Transit Accessibility (CTA) Policy Advisory Committee (PAC) Technical Advisory Committee (TAC)

2016 Chairperson

Kristal Caidoy Herman Wadler Aaron Morrow Larry Carr Henry Servín (through Sep.) Matt Morley (Oct. - Dec.)

The Board would also like to extend a warm welcome to the 2017 advisory committee chairpersons, as recently elected by the membership of their respective committees, and to thank them for accepting this valuable and vital responsibility. They are:

Advisory Committee	2017 Chairperson
Bicycle & Pedestrian Advisory Committee (BPAC)	Peter Hertan
Citizens Advisory Committee (CAC)	Herman Wadler
Committee for Transportation Mobility & Accessibility (CTMA)	Christine Fitzgerald
Policy Advisory Committee (PAC)	Howard Miller
Technical Advisory Committee (TAC)	Matt Morley

Prepared By: Stephen Flynn, Advisory Committee Coordinator Memo No. 5900



Date:February 23, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

- **TO:** Santa Clara Valley Transportation Authority Board of Directors
- THROUGH: General Manager, Nuria I. Fernandez
- **FROM:** Interim Director Engr & Transp Infra Dev, Dennis Ratcliffe
- SUBJECT: SVBX Parcels: (1) B2220C (The heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, Charles Brandt, and Emma E. Brandt); (2) B3617 (The heirs or devisees of Jose De S. Silveira, Deceased, subject to the administration of the Estate of said Decedent) and; (3) B3621 (Roland Y. Santo, Chester T. Santo, and the heirs or devisees of Ryuzo Santo and Yoshi Santo, Deceased, subject to the administration of the Estate of said Decedent)

Policy-Related Action: No

Government Code Section 84308 Applies: No

Resolution

ACTION ITEM

RECOMMENDATION:

Adopt three (3) Resolutions of Necessity determining that the public interest and necessity require the acquisition of three properties for the BART Silicon Valley Berryessa Extension (SVBX) Project.

BACKGROUND:

The BART Silicon Valley Program is an extension of the existing BART regional heavy rail system to Milpitas, San Jose and Santa Clara, which will be delivered through a phased approach. The first phase is the Silicon Valley Berryessa Extension (SVBX) Project, a 10-mile, two-station project, which will extend the existing BART system and provide service to the Cities of Milpitas and San Jose in Santa Clara County.

The SVBX Project will begin south of the future BART Warm Springs Station in Fremont and proceed on the WP Milpitas Corridor purchased by VTA from the Union Pacific Railroad in 2002, through Milpitas, and end in the Berryessa area of north San Jose at Las Plumas Avenue

(See Project Map attached hereto.) The Project also includes the extension of South Milpitas Boulevard from Montague Expressway to Capitol Avenue. (See South Milpitas Boulevard Extension Map attached hereto.) Engineering on the SVBX Project has advanced, and major utility relocations and full construction activities have begun.

Full and partial property acquisitions are required from approximately 100 property owners in order to construct the SVBX Project.

These acquisitions are being pursued in accordance with state and federal law, and diligent efforts are being made to acquire them through negotiated settlements. However, negotiated settlements may not be achievable in all instances and some of the acquisitions may need to be acquired through a timely condemnation process, particularly to ensure that the Project can stay on schedule.

A prerequisite to commencement of eminent domain proceedings by a public entity is adoption of a Resolution of Necessity (California Code Civil Procedure section 1245.220). As discussed below, staff is recommending the Board to adopt three Resolutions of Necessity to enable commencement of eminent domain proceedings.

DISCUSSION:

Among the approximately 100 property acquisitions required for the Project, staff is recommending that a Resolution of Necessity be adopted for each of the following three properties, which are required to construct a portion of the SVBX Project. When VTA was in the process of creating legal descriptions of the rail corridor for the Project, it was discovered that there were a few small gaps in title within the corridor, likely as a result of the abandonment and vacation of the streets in which the corridor cross. The three properties are:

1. Property Owners: <u>The heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin</u> <u>Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling,</u> <u>Edward Topham, Hattie E. Topham, Charles Brandt and Emma E. Brandt (B2220C).</u>

This property is located within the former Industrial Way, which the City of Milpitas vacated in or around 1978. The subject parcel is landlocked, with Highway 237 to the north, a residential development to the east, VTA property to the south and the Union Pacific rail corridor to the west. Union Pacific Railroad Corporation had been operating trains through this property as part of its corridor for many years prior to its sale of the corridor to VTA in 2002. The property consists of a 2,793 square foot fee interest (B2220C-01), which is necessary for the BART operating corridor. According to the preliminary title report, the owners of the property include the heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, and Charles Brandt and Emma E. Brandt.

The subject property was appraised, the appraisal was reviewed by a review appraiser, and VTA staff set just compensation. However, after a reasonably diligent search, VTA staff was unable to locate the heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward

Topham, Hattie E. Topham, and Charles Brandt and Emma E. Brandt, and therefore could not make an offer to the owner(s) of record.

2. Property Owners: <u>The heirs or devisees of Jose De S. Silveira</u>, <u>Deceased</u>, <u>subject to the administration of the Estate of said Decedent (B3617)</u>.</u>

This property is located within Lundy Place (formerly Trimble Road), which the County of Santa Clara vacated. The subject parcel is landlocked within the SVBX corridor to the north and south and Lundy Place to the east and west. Union Pacific Railroad Corporation had been operating trains through this property as part of its corridor for many years prior to its sale of the corridor to VTA in 2002. The property consists of a 1,354 square foot fee interest (B3617-01), which, is necessary for the BART operating corridor.

The subject property was appraised, the appraisal was reviewed by a review appraiser, and VTA staff set just compensation. Based on an archived page of the book of deeds for the County of Santa Clara, Jose De. S. Silveira took title to the Subject Property on or about July 2, 1908. After a reasonably diligent search, VTA was unable to locate the heirs or devisees of Jose De S. Silveira, and therefore could not make an offer to the owner of record.

3. Property Owners: <u>Roland Y. Santo, Chester T. Santo, and the heirs or devisees of</u> <u>Ryuzo Santo and Yoshi Santo, Deceased, subject to the administration of the Estate of</u> <u>said Decedent (B3621).</u>

This property is located within Lundy Place (formerly Trimble Road), which the County of Santa Clara vacated. The subject parcel is landlocked within the SVBX corridor to the north and south and Lundy Place to the east and west. Union Pacific Railroad Corporation had been operating trains through this property as part of its corridor for many years prior to its sale of the corridor to VTA in 2002. The property consists of a 1,350 square foot fee interest (B3621-01), which is necessary in order for the BART operating corridor.

The subject property was appraised, the appraisal was reviewed by a review appraiser, and VTA staff set just compensation. An offer based on the recommended appraisal was made on or about December 30, 2016 to Roland Y. Santo and Chester T. Santo, the only living persons on title. Although Roland and Chester Santo accepted VTA's offer and executed the deed to convey the subject property, VTA must still remove the interests of any and all potential heirs or devisees of Ryuzo and Yoshi Santo from title. VTA staff seeks to clear the interests of any potential heirs and devisees via eminent domain proceedings in order to obtain the level of certainty required by the title company to remove their interests from title.

As noted above, a prerequisite to commencement of eminent domain proceedings by a public entity is adoption of a Resolution of Necessity. This statutory requirement is designed to ensure that public entities verify and confirm the validity of their intended use of the power of eminent domain. A resolution of necessity must contain a general statement of the public use for which the property is taken, a reference to the authorizing statutes, a description of property, and a declaration stating that each of the following has been found and determined to be true:

1. The public interest and necessity require the proposed project;

- 2. The proposed project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury;
- 3. The property described in the resolution is necessary for the proposed project; and
- 4. The offer required by Section 7267.2 of the Government Code, together with the accompanying statement of the amount established as just compensation, has been made to the owner or owners of record, which offer and statement were in a format and contained the information required by Government Code Section 7267.2, or the offer has not been made because the owner cannot be located with reasonable diligence.

Further information addressing each of these items and any additional findings that must be made are included in a staff report attached hereto. The staff report also contains specific information on the properties being impacted.

ALTERNATIVES:

The properties that are subject to the Resolution of Necessity before the Board are necessary for the Project and a condemnation action must be initiated in order to obtain possession of the parcels if the Project schedule is to be maintained. The Board may, in its discretion, decide not to adopt the Resolution of Necessity. However, this would necessitate either some delay and/or a possible redesign, which could impact the schedule and, most likely, increase the costs of the Project.

FISCAL IMPACT:

Appropriation for the costs associated with acquisition of this property is included in the FY17 Adopted 2000 Measure A Transit Improvement Program Fund Capital Budget.

Prepared by: Kevin Balak Memo No. 6032

SVBX Property Acquisition Staff Report

INTRODUCTION

This staff report is submitted for review by the Board of Directors prior to the recommended adoption of a resolution of necessity for the acquisition of property for the BART Silicon Valley Berryessa Extension (SVBX) Project.

For each property interest to be acquired, a resolution of necessity must be adopted prior to the commencement of eminent domain proceedings (Code of Civil Procedure Section 1245.220.). The statutory requirement that a public entity adopt a resolution of necessity before initiating a condemnation action "is designed to ensure that public entities will verify and confirm the validity of their intended use of the power of eminent domain prior to the application of that power in any one particular instance." *San Bernardino County Flood Control Dist. v. Grabowski* (1988) 205 Cal.App.3d 885, 897.

Thus, a resolution of necessity must contain a general statement of the public use for which the property is to be taken, a reference to the statute authorizing the exercise of eminent domain, a description of the property, and a declaration stating that each of the following have been found and determined by the Board to be the case:

- (1) The public interest and necessity require the proposed project;
- (2) The proposed project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury;
- (3) The property described in the resolution is necessary for the proposed project; and,
- (4) That either the offer required by Section 7267.2 of the Government Code has been made to the owner or owners of record, or the offer has not been made because the owner cannot be located with reasonable diligence.

(Code of Civil Procedure Section 1245.230.)

Further, insofar as any of the property to be acquired has heretofore been dedicated to public use, the resolution of necessity will find that the acquisition of such property by VTA for the Project is for a more necessary public use to which the property has already been appropriated or is a compatible public use pursuant to Code of Civil Procedure Sections 1240.510 and 1240.610.This report provides data and information addressing each of these items. Section 1 generally describes the public use for which the property is to be taken and sets forth the statutory authority for VTA's exercise of eminent domain. Sections 3, 4, and 5 provide facts pertinent to public interest and necessity (Finding #1) and the planning and location of the SVBX Project (Finding #2). Section 6 also contains a property data sheet and other material discussing the necessity for acquiring the specific property interest that is the subject of the resolutions of

necessity (Finding #3). Section 2 provides information concerning the offers made to the property owners pursuant to Government Code Section 7267.2 (Finding #4).

This evidentiary factual record will assist the Board in determining whether the requirements of Section 1245.230 have been met, and whether the other findings specified above, as applicable, can be made. If the Board determines that all requirements have been met, and that all findings can be made, it is recommended that the Board adopt the resolution of necessity listed on the Board Meeting Agenda. The Resolutions of Necessity scheduled to be heard by the Board is attached to this staff report.

SECTION 1

GENERAL STATEMENT OF PUBLIC USE

The properties that are the subject of the recommended resolutions of necessity are to be acquired for the construction of the SVBX Project, a 10-mile, two-station, first phase of the16-mile BART Silicon Valley Program.

STATUTORY AUTHORIZATION FOR EXERCISE OF EMINENT DOMAIN

Under its enabling legislation, VTA is authorized to acquire property for mass transit purposes by eminent domain. Public Utilities Code Section 100130, which sets forth the general powers of VTA, provides in pertinent part that: "The district may take by grant, purchase, devise, or lease, or condemn in proceedings under eminent domain, or otherwise acquire, and hold and enjoy, real and personal property of every kind within or without the district necessary to the full or convenient exercise of its powers." One of the main functions of VTA is to provide transit service. (Public Utilities Code Sections 100160, 100161.)

Public Utilities Code Section 100131 provides further authority for the taking of property by VTA through eminent domain. It states in pertinent part that: "The district may exercise the right of eminent domain to take any property necessary or convenient to the exercise of the powers granted in this part."

In addition, the Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, gives entities authorized by statute the right to use eminent domain to acquire property for public use, and specifies the procedures for the exercise of that right.

SECTION 2

GOVERNMENT CODE OFFERS

The owner of the property that is the subject of the resolution was made an offer by VTA for the purchase of the property unless they could not be located with reasonable diligence as required by Government Code Section 7267.2. Sections 7267.2(a), (b) and (c) state that:

(a) (1) Prior to adopting a resolution of necessity pursuant to Section 1245.230 of the Code of Civil Procedure and initiating negotiations for the acquisition of real property, the public entity shall establish an amount that it believes to be just compensation therefor, and shall made an offer to the owner or owners of record to acquire the property for the full amount so established, unless the owner cannot be located with reasonable diligence. The offer may be conditioned upon the legislative body's ratification of the offer by execution of a contract of acquisition or adoption of a resolution of necessity or both. The amount shall not be less than the public entity's approved appraisal of the fair market value of the property. Any increase or decrease in the fair market value of real property to be acquired prior to the date of valuation caused by the public improvement for which the property is acquired, or by the likelihood that the property would be acquired for the improvement, other than that due to physical deterioration within the reasonable control of the owner or occupant, shall be disregarded in determining the compensation for the real property.

(2) At the time of making the offer described in paragraph (1), the public entity shall provide the property owner with an informational pamphlet detailing the process of eminent domain and the property owner's rights under the Eminent Domain Law.

- (b) The public entity shall provide the owner of real property to be acquired with a written statement of, and summary of the basis for, the amount it established as just compensation. The written statement summary shall contain detail sufficient to indicate clearly the basis for the offer, including, but not limited to, all of the following information:
 - (1) The date of valuation, highest and best use, and applicable zoning of property.
 - (2) The principal transactions, reproduction or replacement cost analysis, or capitalization analysis, supporting the determination of value.

- (3) If appropriate, the just compensation for the real property acquired and for damages to remaining real property shall be separately stated and shall include the calculations and narrative explanation supporting the compensation, including any offsetting benefits.
- (c) Where the property involved is owner-occupied residential property and contains no more than four residential units, the homeowner shall, upon request, be allowed to review a copy of the appraisal upon which the offer is based. The public entity may, but is not required to, satisfy the written statement, summary, and review requirements of this section by providing the owner a copy of the appraisal on which the offer is based.

Each property owner that could be located after reasonable diligence was presented with a written offer in an amount not less than the approved appraisal for the property, and a statement and summary of the basis of the offer, comprised of an Appraisal Summary Statement. The Appraisal Summary Statement provided the following information: name of owner; property address; parcel and APN number; locale; applicable zoning; date of valuation, present use; highest and best use; total property area; area to be acquired; type of interest to be acquired; improvements and access impacted; damages incurred and, as appropriate, separately stated with calculations and narrative explanation; total payment; and a description of the market value, reproduction or replacement cost analysis, or capitalization analysis, used to determine just compensation; and a summary of comparable sales, including the location, date of sale and sales price of properties used in the appraisal process. The date that the offer was made to the property owner is specified on the Property Fact Sheet contained in Section 6 of this report.

Not all of the property owners, however, could be located after reasonable diligence. The preliminary title reports show that the owners of some of the properties subject to Resolutions of Necessity before the Board are the unnamed heirs of certain deceased persons. After exercising reasonable diligence to locate the subject heirs, VTA staff was able to identify potential heirs, but was unable to obtain sufficient documentation confirming that these persons were in fact heirs of the decedents. Accordingly, no offers were made as the owners could not be located.

SECTION 3

SVBX PROJECT OVERVIEW, PURPOSE, AND NEED

Project Description

BART Silicon Valley is an extension of the existing BART regional heavy rail system to Milpitas, San Jose and Santa Clara. The 16-mile BART Silicon Valley Program will be delivered through a phased approach.

The Silicon Valley Berryessa Extension (SVBX) Project is a 10-mile, two-station, first phase of BART Silicon Valley. SVBX is being implemented in cooperation with the Federal Transit Administration's (FTA) New Starts Program, and will be a fully operable extension of the existing BART system with service to the cities of Milpitas and San Jose in Santa Clara County.

This extension of the BART system will begin south of the future BART Warm Springs Station in Fremont and proceed on the WP Milpitas Corridor purchased by VTA from the Union Pacific Railroad in 2002, through Milpitas, and end in the Berryessa area of north San Jose at Las Plumas Avenue. Engineering on the project is advancing, construction activities have commenced.

The two SVBX stations will feature:

- Parking structures
- Bus transit centers
- Bike and pedestrian connections
- Convenient access to BART System:
 - Half-mile walk for nearly 30,000 residents
 - Less than 12-minute bike ride for 260,000
 - 15-minutes via public transit or automobiles for more than 1,007,000 local residents

Purpose of the Project

The project is intended to achieve the following objectives:

• Improve public transit service and increase ridership in this severely, and ever-increasing, congested corridor by providing expanded transit capacity and faster, convenient access to and from major Santa Clara County employment and activity centers for corridor residents and residents from throughout the Bay Area and portions of the Central Valley of California.

- Enhance regional connectivity by expanding and interconnecting BART rapid transit service with VTA light rail, Amtrak, ACE, Caltrain, and VTA bus services in Santa Clara County; improve intermodal transit hubs where rail, bus, auto, bicycle and pedestrian links meet.
- Expand transportation solutions that will be instrumental in maintaining the economic vitality and continuing development of Silicon Valley.
- Improve mobility options to employment, education, medical, and retail centers for corridor residents, in particular low-income, youth, elderly, disabled, and ethnic minority populations.
- Improve regional air quality by reducing auto emissions.
- Support local and regional land use plans and facilitate corridor cities' efforts to direct business and residential investments in transit oriented development. More efficient growth and sustainable development patterns are necessary to reduce impacts to the local and global environmental, such as adverse climate change.

Improved transit in the BART Silicon Valley Corridor is consistent with the goals established in prior corridor studies and responds to the long-range *Valley Transportation Plan 2035* (*VTP 2035*), adopted by VTA in January 2009. The primary goal of the long-range plan is to provide transportation facilities and services that support and enhance Santa Clara County's high quality of life and vibrant economy.

Need for the Project

The SVBX Project is critical to improving mobility between the East Bay and South Bay regions of the San Francisco Bay Area, as well as between eastern Santa Clara County and San Francisco. The project corridor, including the 1-880 and 1-680 freeways, is already very congested, with roadway conditions projected to steadily worsen as Santa Clara County and the greater Bay Area continue to grow. Travelers on the roadway network experience excessive delays currently and can expect delays on the typical weekday to increase in the absence of the proposed improvements.

SVBX is the initial segment of a planned BART extension to downtown San Jose and Santa Clara. The full extension will complete a major link in a regional high-speed, high capacity transit network that will circle lower San Francisco Bay. Regional connectivity is important to the future of Silicon Valley, the high-technology and venture capital center of the nation and a major provider of biotechnology products and services.

BART is the only modal alternative that produces a better balance between transit and auto modes; significantly facilitates transit-oriented development; and moves large numbers of commuters and discretionary travelers alike quickly and reliably. Other transportation improvement alternatives to the proposed project are not adequate for addressing current and future needs. Transportation system management/baseline improvements in the form of expanded express bus services and preferential treatments for transit do not reduce travel time delays significantly. Although increased higher density, mixed-use developments around light rail stations would increase the viability of a light rail option, it is oriented to intra-county travel. Frequent station stops and at-grade running tend to slow travel speeds, and train capacity will become constrained by the maximum allowable three-car train consists. Existing commuter rail services in the corridor are also capacity constrained due to the limited service frequencies that remain when sharing trackage with freight trains. No other transit modes can match the regional connectivity provided by a BART extension and therefore they perform poorly in accommodating the rapid growth of regional travel in the San Francisco Bay Area.

SECTION 4

PROJECT PLANNING AND IMPLEMENTATION

Alternatives Analysis

A BART extension was selected as the Locally Preferred Alternative (LPA) following completion of the Major Investment Study (MIS)/Alternatives Analysis (MIS/AA) in November 2001. The study evaluated 11 alternatives for the Silicon Valley Rapid Transit Corridor, representing various modes of travel including express bus, bus rapid transit, commuter rail, diesel and electric light rail, and BART. The LPA was chosen after an extensive review process, including technical analysis, 12 public meetings, and more than 15 Community Working Group meetings.

In October 2001, the Policy Advisory Board (PAB) voted unanimously to recommend to the VTA Board that the BART on the UPRR Alignment alternative be carried forward into the EIS/EIR phase along with the FTA-required Baseline Alternative. Since the VTA-BART property negotiations were still unresolved at the time, the PAB also recommended carrying forward a BART-Compatible alternative.

On November 9, 2001, the VTA Board unanimously selected BART on the UPRR Alignment as the Preferred Investment Strategy for the Silicon Valley Rapid Transit Corridor, citing its overall ranking of "High" in comparison to the other alternatives. The Board instructed that, in addition to the BART Alternative, the Baseline (Expanded Bus) Alternative be carried forward into the environmental compliance phase to fulfill FTA project development guidelines. The Board also approved an agreement with BART to identify the terms and conditions for implementing the

Preferred Investment Strategy in concert with BART. On November 12, 2001, the BART Board also adopted the terms and conditions for the agreement.

When compared with the other alternatives, the BART Alternative offered:

- Fastest travel times to passenger destinations
- Highest ridership projections
- Greatest congestion relief
- Best access to jobs, education, medical, retail and entertainment centers throughout the Bay Area
- Regional connectivity with no transfers to the BART system
- Opportunities for transit-oriented development in conjunction with local land use planning efforts.

Station Area Planning

Station area planning for the new BART stations is an important element of the SVBX Project. VTA is working with the cities and stakeholders to develop transit-supportive station campuses, access, circulation, and land uses in the station areas that would increase transit ridership, create vibrant communities, ease the housing shortage, and promote multi-modal access to and from the stations.

The City of Milpitas has adopted a specific plan for the area surrounding the proposed BART Milpitas Station. The Milpitas Transit Sub Area Specific Plan, as adopted by the Milpitas City Council, would create mixed land uses near two VTA LRT stations and the future Milpitas BART station at Montague Expressway and Piper Drive.

Station area land use plans are guided, in part, by the Metropolitan Transportation Commission (MTC) Regional Transit Expansion Program policy, Resolution 3434, which includes provisions for transit-oriented development within a half-mile radius of transit stations.

Project Funding

The total SVBX Project cost is estimated at approximately \$2.1billion based on most current engineering cost estimates for project construction. Funding for the SVBX Project will come through multiple revenue streams including the 2000 Measure A, 1/2 cent sales tax and other local sources, the State of California and its Traffic Congestion Relief Program (TCRP), and federal grants including the New Starts Program.VTA requested \$900 million in FTA New Starts funding, which it secured through execution of a full Funding Grant Agreement (FFGA) in March, 2012. The FFGA is a multi-year contractual agreement between the FTA and VTA that formally defines the project scope, cost and schedule, and establishes the terms of the \$900 million in federal financial assistance. Further, with respect to the construction of the South

Milpitas Boulevard extension, the Master Agreement between VTA and the City of Milpitas provides that the City of Milpitas will reimburse VTA up to \$17 million of VTA's actual costs for constructing South Milpitas Boulevard from developer fees identified in the funding plan for the Transit Area Specific Plan.

Engineering design

The engineering and design of BART Silicon Valley is developed in various phases of project development in conjunction with the environmental process. Engineering phases include Conceptual Engineering (10% design), Preliminary Engineering (35% design), 65% design, and Final Engineering (100% design). These design phases represent a progression of engineering throughout project development.

Conceptual Engineering and Preliminary Engineering (PE) phases occur during the development of draft and final environmental documents, and together are generally referred to as the PE phase. The 65% design phase allows for a further refinement to project definition and the design of the facilities and systems.

In December 2006, the technical PE phase was completed. The 65% engineering phase was completed in December 2008. Said engineering designs are hereby incorporated herein by reference. Final design will advance the project development to 100% completion following the selection of a Design-Build contractor as discussed in the section below.

Contract Procurement

In May 2010, the VTA Board of Directors authorized VTA's General Manager to pursue Design-Build as the delivery method for SVBX. The Design-Build method of project delivery involves selecting a contractor to perform both final design and construction under a single contract. Analysis of Design-Build as the delivery method for the project versus the traditional design, bid, build showed potential cost savings of \$75 million, a 6 month acceleration of project delivery and reduced risks to VTA. This is VTA's first Design-Build contract.

VTA issued the Request for Proposals (RFP) for the C700 Line, Track, Stations, and Systems (LTSS) contract in March 2011 to pre-qualified teams. The pre-qualified teams were KSG Constructors, Skanska-Shimmick-Herzog, Tutor Perini and Parsons SVBX, and Walsh/Flatiron/Comstock. On December 8, 2011, the Board awarded the C700 contract to Skanska-Shimmick-Herzog.

The Milpitas Boulevard Extension is being constructed pursuant to a bid-build contract (C640). The contract was advertised on June 17, 2015 and bids opened on August 12, 2015. The Board awarded the C640 contract on November 5, 2015.

SECTION 5

ENVIRONMENTAL CLEARANCE AND REVIEW

Environmental Clearance

The Berryessa Extension Project is defined in the BART Silicon Valley Final Environmental Impact Statement (2010). FTA, in coordination with VTA, circulated an Environmental Impact Statement in accordance with the National Environmental Policy Act (NEPA) in 2009. The Final Environmental Impact Statement was released in March 2010. A Record of Decision was issued in June 2010.

VTA released a Draft Second Supplemental Environmental Impact Report (SEIR) in November 2010 to address proposed project changes since the certification of the last environmental document in 2007 under the California Environmental Quality Act (CEQA). The Final Second SEIR was circulated to the public in February 2011 and certified at the March 2011 VTA Board of Directors meeting.

Environmental Review Summary

Environmental impacts were discussed in detail in the following California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) documents prepared during the planning and environmental review phases of the Project. Said documents are available for the Board's review & consideration and are incorporated by reference herein. Many of these documents, and other information concerning the Project, are available through the VTA website, vta.org.

- Major Investment Study Final Report, November 2001 (NEPA)
- 2004 Draft Environmental Impact Statement/Environmental Impact Report (NEPA/CEQA)
- 2004 Final Environmental Impact Report (CEQA)
- 2007 Draft Supplemental Environmental Impact Report (CEQA)
- 2007 Final Supplemental Environmental Impact Report (CEQA)
- 2009 Draft Environmental Impact Statement (NEPA)
- 2010 Final Environmental Impact Statement (NEPA)
- 2010 Addendum to the 2007 FSEIR (CEQA)

- 2010 Environmental Determination Addenda to the Final EIS (NEPA)
- 2010 Draft Second Supplemental Environmental Impact Report (CEQA)
- 2011 Final Second Supplemental Environmental Impact Report (CEQA)
- 2011 Addendum to the 2nd Supplemental Environmental Impact Report (CEQA)
- 2011 Initial Study/Mitigated Negative Declaration (CEQA)
- 2012 Addendum No. 2 to the 2nd Supplemental Environmental Impact Report (CEQA)
- 2012 Addendum No. 3 to the 2nd Supplemental Environmental Impact Report (CEQA)
- 2013 Addendum No. 4 to the 2nd Supplemental Environmental Impact Report (CEQA)
- 2013 Categorical Exemption (CEQA)
- 2014 Addendum No. 5 to the 2nd Supplemental Environmental Impact Report (CEQA)
- 2014 Environmental Re-evaluation (NEPA)
- 2014 Addendum to Initial Study/Mitigated Negative Declaration (CEQA)
- 2014 Categorical Exemption (CEQA)
- 2015 Addendum No. 6 to the 2nd Supplemental Environmental Impact Report (CEQA)

SECTION 6

SPECIFIC PROPERTY ACQUISITIONS

A detailed property fact sheet and aerial map of each of the properties subject to the Resolutions of Necessity follow. Overall property requirements and project related costs have been minimized as much as possible.

The only owners that could be located with reasonable diligence were Roland Y. Santo and Chester T. Santo, the only living heirs on title for property identified as B3621. Roland and Chester Santo were presented with a written offer in an amount not less than the approved appraisal for the property, which they accepted.

4.1.a

An offer was not made to the remaining owners of the property identified as B3621 as well as to the owners of properties identified as B2220C and B3617 because they could not be located with reasonable diligence. The preliminary title reports show that the owners of these properties are the unnamed heirs of certain deceased persons. After exercising reasonable diligence to locate the subject heirs, staff was able to identify potential heirs, but was unable to obtain sufficient documentation confirming that these persons were in fact the heirs of the decedents. Nevertheless, the potential heirs that VTA staff was able to locate were sent a letter on February 16, 2017, advising them that the Board intended to consider adopting Resolutions of Necessity.

BART SILICON VALLEY BERRYESSA EXTENSION PROJECT

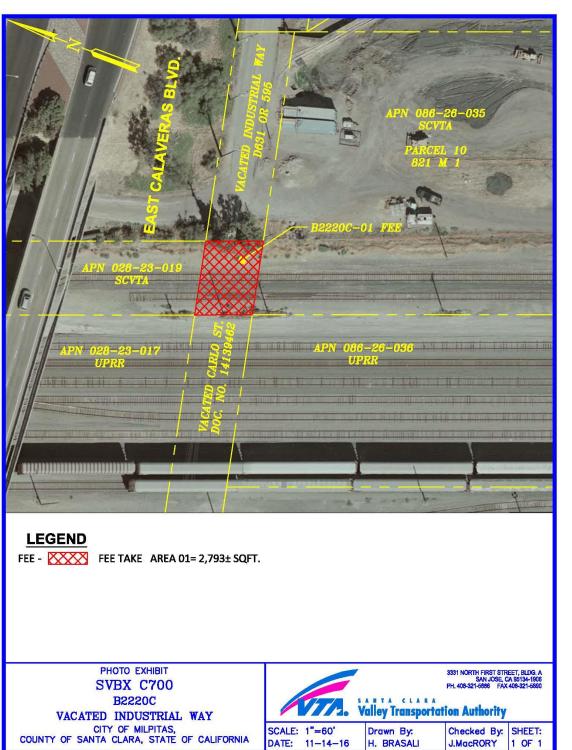
PROPERTY FACT SHEET – B2220C

Owner:	The heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, Charles Brandt and Emma E. Brandt
Property Address:	Adjacent to the UPPR corridor and in a southerly direction from State Highway 237
City:	Milpitas, CA
Present Use:	Railroad corridor
Total Property Area:	2,793 sq.ft.
Area to be Acquired:	Fee interest- 2,793 sq.ft.
Date of Offer:	Unable to locate owners after reasonable diligence. Last known owner acquired property on April 20, 1905.

This property is located within the former Industrial Way, which the City of Milpitas vacated in or around 1978. The subject parcel is landlocked, with Highway 237 to the north, a residential development to the east, VTA property to the south and the Union Pacific rail corridor to the west. Union Pacific Railroad Corporation had been operating trains through this property as part of its corridor for many years prior to its sale of the corridor to VTA in 2002. The property consists of a 2,793 square foot fee interest (B2220C-01), which, is necessary for the BART operating corridor. According to the preliminary title report, the owners of the property include the heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, and Charles Brandt and Emma E. Brandt.

The subject property was appraised, the appraisal was reviewed by a review appraiser, and VTA staff set just compensation. However, after a reasonably diligent search, VTA staff was unable to locate the heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, and Charles Brandt and Emma E. Brandt, and therefore could not make an offer to the owner(s) of record.

4.1.a



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DATE: 11-14-16

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1 OF 1

BART SILICON VALLEY BERRYESSA EXTENSION PROJECT

PROPERTY FACT SHEET – B3617

Owner:	The heirs or devisees of Jose De S. Silveira, Deceased, subject to the administration of the Estate of said Decedent
Property Address:	Within Lundy Place (Formerly abandoned Trimble Road)
City:	San Jose, CA
Present Use:	Railroad corridor
Total Property Area:	1,354 sq.ft.
Area to be Acquired:	Fee interest- 1,354 sq.ft.
Date of Offer:	Unable to locate owners after reasonable diligence. Last known owner acquired property on July 2, 1908.

This property is located within Lundy Place (formerly Trimble Road), which the County of Santa Clara vacated. The subject parcel is landlocked within the SVBX corridor to the north and south and Lundy Place to the east and west. Union Pacific Railroad Corporation had been operating trains through this property as part of its corridor for many years prior to its sale of the corridor to VTA in 2002. The property consists of a 1,354 square foot fee interest (B3617-01), which is necessary for the BART operating corridor.

The subject property was appraised, the appraisal was reviewed by a review appraiser, and VTA staff set just compensation. Based on an archived page of the book of deeds for the County of Santa Clara, Jose De. S. Silveira took title to the Subject Property on or about July 2, 1908. After a reasonably diligent search, VTA was unable to locate the heirs or devisees of Jose De S. Silveira, and therefore could not make an offer to the owner of record.



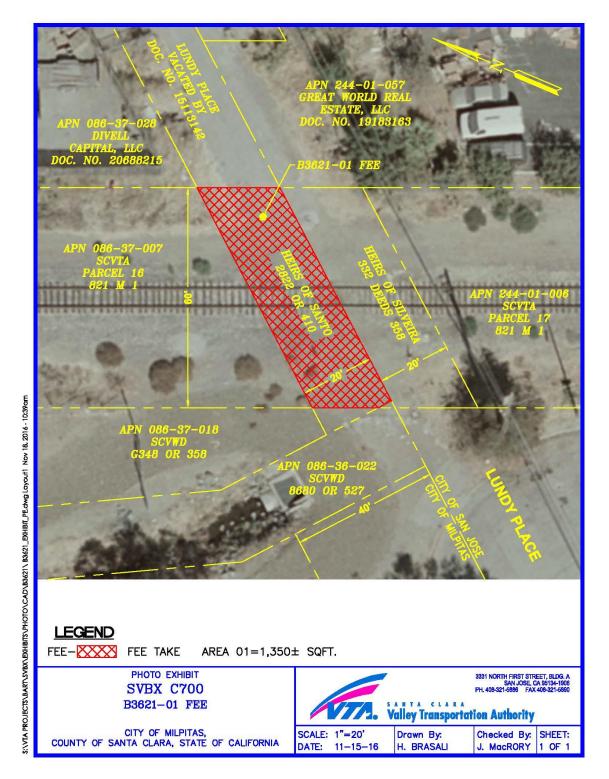
BART SILICON VALLEY BERRYESSA EXTENSION PROJECT

PROPERTY FACT SHEET – B3621

Owner:	Roland Y. Santo, Chester T. Santo, and the heirs or devisees of Ryuzo Santo and Yoshi Santo, Deceased, subject to the administration of the Estate of said Decedent
Property Address:	Within Lundy Place (Formerly abandoned Trimble Road)
City:	Milpitas, CA
Present Use:	Railroad corridor
Total Property Area:	1,350 sq.ft.
Area to be Acquired:	Fee interest- 1,350 sq.ft.
Date of Offer:	December 30, 2016

This property is located within Lundy Place (formerly Trimble Road), which the County of Santa Clara vacated. The subject parcel is landlocked within the SVBX corridor to the north and south and Lundy Place to the east and west. Union Pacific Railroad Corporation had been operating trains through this property as part of its corridor for many years prior to its sale of the corridor to VTA in 2002. The property consists of a 1,350 square foot fee interest, which is necessary in order for the BART operating corridor.

The subject property was appraised, the appraisal was reviewed by a review appraiser, and VTA staff set just compensation. An offer based on the recommended appraisal was made on or about December 30, 2016 to Roland Y. Santo and Chester T. Santo, the only living persons on title. Although Roland and Chester Santo accepted VTA's offer and executed the deed to convey the subject property, VTA must still remove the interests of any and all potential heirs or devisees of Ryuzo and Yoshi Santo from title. VTA staff seeks to clear the interests of any potential heirs and devisees via eminent domain proceedings in order to obtain the level of certainty required by the title company to remove their interests from title



Property ID: B2220C

RESOLUTION OF NECESSITY DETERMINING THAT THE PUBLIC INTEREST AND NECESSITY REQUIRE THE ACQUISITION OF CERTAIN LAND AND DIRECTING THE FILING OF EMINENT DOMAIN PROCEEDINGS

WHEREAS, the BART Silicon Valley Berryessa Extension Project (the "Project") is being undertaken for the purpose of easing traffic congestion, improving area-wide mobility, and otherwise furthering the public health, safety and welfare; and

WHEREAS, it is desirable and necessary for the Santa Clara Valley Transportation Authority ("VTA") to acquire a Fee interest in certain property more particularly described in Exhibit "A" (B2220C-01), attached hereto and made a part hereof by this reference, as right of way for the Project and the construction thereof; and

WHEREAS, VTA is authorized to acquire the subject property and exercise the power of eminent domain pursuant to and in accordance with Article 1, Section 19 of the California Constitution, the California Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, and Sections 100130 and 100131 of the Public Utilities Code; and

WHEREAS, if the owner has been located with reasonable diligence, pursuant to the provisions of Section 1245.235 of the Code of Civil Procedure of the State of California, notice will have been duly given to the owner(s) of the property herein, all of whom have been given a reasonable opportunity to appear and be heard before the Board of Directors of VTA at the time and place set forth in said notice, regarding the matters specified therein.

NOW, THEREFORE, IT IS FOUND, DETERMINED AND ORDERED as follows:

- 1. The recitals contained herein are true and correct.
- 2. Upon examination of the alternatives, VTA requires the property for the Project.
- 3. VTA is authorized to acquire the property and exercise the power of eminent domain pursuant to and in accordance with Article 1, Section 19 of the California Constitution, the California Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, and Sections 100130 and 100131 of the Public Utilities Code.
- 4. The public interest and necessity require the Project.
- 5. The Project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury.
- 6. A Fee interest described in Exhibit "A" is necessary for the Project.

- 7. The offer required by Section 7267.2 of the Government Code, together with the accompanying statement of the amount established as just compensation, has been made to the owner or owners of record, which offer and statement were in a format and contained the information required by Government Code Section 7267.2, or the offer has not been made because the owner cannot be located with reasonable diligence.
- 8. VTA has complied with all conditions and statutory requirements, including those prescribed by CEQA, NEPA, and that are necessary for approval and adoption of the Project.
- 9. All conditions and statutory requirements necessary to exercise the power of eminent domain ("the right to take") to acquire the property described herein have been complied with by VTA.
- 10. Insofar as the property or the larger parcel of which it is a part has heretofore been appropriated for public use, the proposed use set forth herein will not unreasonably interfere with or impair the continuation of the public use as it exists or may reasonably be expected to exist in the future, and is therefore a compatible public use pursuant to Code of Civil Procedure Section 1240.510, or, as applicable, constitutes a more necessary public use than the use to which the property is appropriated pursuant to Code of Civil Procedure Section 1240.610.
- 11. General Counsel or General Counsel's duly authorized designee is hereby authorized and directed to institute and conduct to conclusion eminent domain proceedings to acquire a Fee interest in property described in Exhibit "A", and to take such actions that counsel deems advisable or necessary in connection therewith, and may deposit the probable amount of compensation and obtain an order for prejudgment possession of the subject property.

PASSED AND ADOPTED by the Santa Clara Valley Transportation Authority Board of Directors on March 2, 2017, by the following vote:

- AYES: DIRECTORS:
- NOES: DIRECTORS:
- ABSENT: DIRECTORS:

JEANNIE BRUINS, Chairperson Board of Directors

4.1.b

I HEREBY CERTIFY AND ATTEST that the foregoing resolution was duly and regularly introduced, passed and adopted by the vote of two-thirds or more of the Board of Directors of the Santa Clara Valley Transportation Authority, California, at a meeting of said Board of Directors on the date indicated, as set forth above.

Dated:

ELAINE BALTAO, Secretary Board of Directors

APPROVED AS TO FORM:

ROBERT FABELA General Counsel

ID B2220C-01

EXHIBIT A



June 10, 2016 Parcel B2220C-01 FEE Page 1 of 1

LEGAL DESCRIPTION

REAL PROPERTY situated in the City of Milpitas, County of Santa Clara, State of California, being a portion of the Milpitas Rancho, more particularly described as follows:

BEGINNING at the most northerly corner of Parcel A described in the Resolution filed April 14, 1998, in Document No. 14139462, Official Records of Santa Clara County, lying on the northerly line of vacated Carlo Street (46.2 feet wide and formerly Calaveras Road), also lying on the southerly line of VTA Parcel 8 (60.00 feet wide) as shown on the Record of Survey filed December 7, 2007, in Book 821 of Maps, Page 1, Santa Clara County Records;

Thence along the southerly line of said Parcel 8, lying on the dividing line between the Tularcitos Rancho and the Milpitas Rancho, also lying on the northerly line of said Calaveras Road as shown on the Record of Survey filed July 8, 1966, in Book 212 of Maps, Page 4, Santa Clara County Records, North 75°28'40" East, 60.66 feet, to the most westerly corner of the portion of vacated Industrial Way (46.2 feet wide and formerly Calaveras Road) described in the Order of the City of the City of Milpitas, filed April 28, 1978, in Book D631, page 595, Official Records of Santa Clara County;

Thence along the southwesterly line of said vacated Industrial Way, South 23°00'10" East, 46.70 feet, to the southerly line of said Calaveras Road, being the northerly line of VTA Parcel 10 as shown on said Record of Survey filed in Book 821 of Maps, Page 1;

Thence along said northerly line, South 75°28'40" West, 60.26 feet, to the northeasterly line of said Parcel A;

Thence along said northeasterly line, North 23°29'00" West, 46.76 feet, to the POINT OF BEGINNING.

Containing 2,793 square feet, more or less.

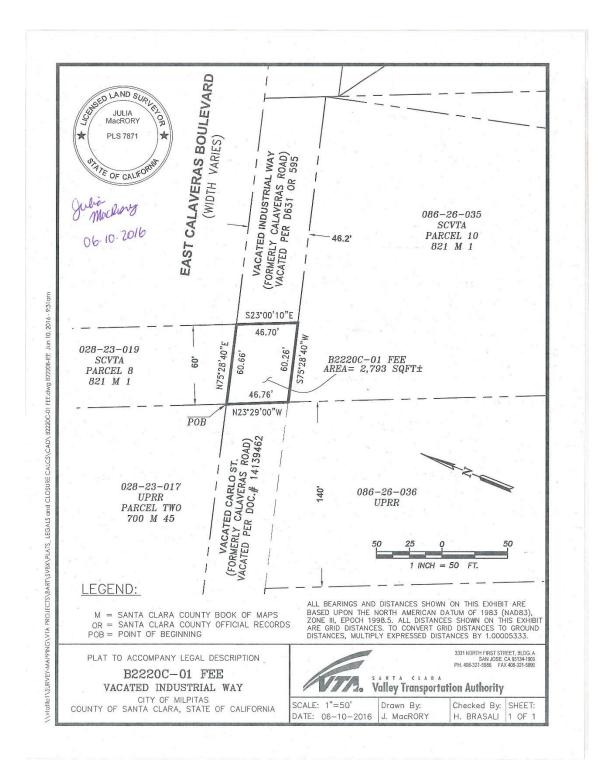
Plat Exhibit attached and by this reference made a part hereof.

This description was prepared by me or under my direction in conformance with the Professional Land Surveyors Act. All bearings and distances are based on the North American Datum of 1983 (NAD83), Zone III, epoch 1998.5. All distances are grid distances. To convert grid distances to ground distances, multiply expressed distances by 1.00005333.

ine 10, 2016



Julia MacRory, LS 7871 Survey and Mapping Manager



Property ID: B3617

RESOLUTION OF NECESSITY DETERMINING THAT THE PUBLIC INTEREST AND NECESSITY REQUIRE THE ACQUISITION OF CERTAIN LAND AND DIRECTING THE FILING OF EMINENT DOMAIN PROCEEDINGS

WHEREAS, the BART Silicon Valley Berryessa Extension Project (the "Project") is being undertaken for the purpose of easing traffic congestion, improving area-wide mobility, and otherwise furthering the public health, safety and welfare; and

WHEREAS, it is desirable and necessary for the Santa Clara Valley Transportation Authority ("VTA") to acquire a Fee interest in certain property more particularly described in Exhibit "A" (B3617-01), attached hereto and made a part hereof by this reference, as right of way for the Project and the construction thereof; and

WHEREAS, VTA is authorized to acquire the subject property and exercise the power of eminent domain pursuant to and in accordance with Article 1, Section 19 of the California Constitution, the California Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, and Sections 100130 and 100131 of the Public Utilities Code; and

WHEREAS, if the owner has been located with reasonable diligence, pursuant to the provisions of Section 1245.235 of the Code of Civil Procedure of the State of California, notice will have been duly given to the owner(s) of the property herein, all of whom have been given a reasonable opportunity to appear and be heard before the Board of Directors of VTA at the time and place set forth in said notice, regarding the matters specified therein.

NOW, THEREFORE, IT IS FOUND, DETERMINED AND ORDERED as follows:

- 1. The recitals contained herein are true and correct.
- 2. Upon examination of the alternatives, VTA requires the property for the Project.
- 3. VTA is authorized to acquire the property and exercise the power of eminent domain pursuant to and in accordance with Article 1, Section 19 of the California Constitution, the California Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, and Sections 100130 and 100131 of the Public Utilities Code.
- 4. The public interest and necessity require the Project.
- 5. The Project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury.
- 6. A Fee interest described in Exhibit "A" is necessary for the Project.

- 7. The offer required by Section 7267.2 of the Government Code, together with the accompanying statement of the amount established as just compensation, has been made to the owner or owners of record, which offer and statement were in a format and contained the information required by Government Code Section 7267.2, or the offer has not been made because the owner cannot be located with reasonable diligence.
- 8. VTA has complied with all conditions and statutory requirements, including those prescribed by CEQA, NEPA, and that are necessary for approval and adoption of the Project.
- 9. All conditions and statutory requirements necessary to exercise the power of eminent domain ("the right to take") to acquire the property described herein have been complied with by VTA.
- 10. Insofar as the property or the larger parcel of which it is a part has heretofore been appropriated for public use, the proposed use set forth herein will not unreasonably interfere with or impair the continuation of the public use as it exists or may reasonably be expected to exist in the future, and is therefore a compatible public use pursuant to Code of Civil Procedure Section 1240.510, or, as applicable, constitutes a more necessary public use than the use to which the property is appropriated pursuant to Code of Civil Procedure Section 1240.610.
- 11. General Counsel or General Counsel's duly authorized designee is hereby authorized and directed to institute and conduct to conclusion eminent domain proceedings to acquire a Fee interest in property described in Exhibit "A", and to take such actions that counsel deems advisable or necessary in connection therewith, and may deposit the probable amount of compensation and obtain an order for prejudgment possession of the subject property.

PASSED AND ADOPTED by the Santa Clara Valley Transportation Authority Board of Directors on March 2, 2017, by the following vote:

- AYES: DIRECTORS:
- NOES: DIRECTORS:
- ABSENT: DIRECTORS:

JEANNIE BRUINS, Chairperson Board of Directors

4.1.c

I HEREBY CERTIFY AND ATTEST that the foregoing resolution was duly and regularly introduced, passed and adopted by the vote of two-thirds or more of the Board of Directors of the Santa Clara Valley Transportation Authority, California, at a meeting of said Board of Directors on the date indicated, as set forth above.

Dated:

ELAINE BALTAO, Secretary Board of Directors

APPROVED AS TO FORM:

ROBERT FABELA General Counsel

ID B3617-01

EXHIBIT A

Parcel B3617-01 12/19/2011 FEE

LEGAL DESCRIPTION APN: NONE

All that certain real property situated in the City of San Jose, County of Santa Clara, State of California, described as follows:

Being a portion of that certain parcel of land described in the Grant Deed to Santa Clara County, recorded December 30, 1909 in Book 351 of Deeds at Page 184, Official Records of said County, being more particularly described as follows:

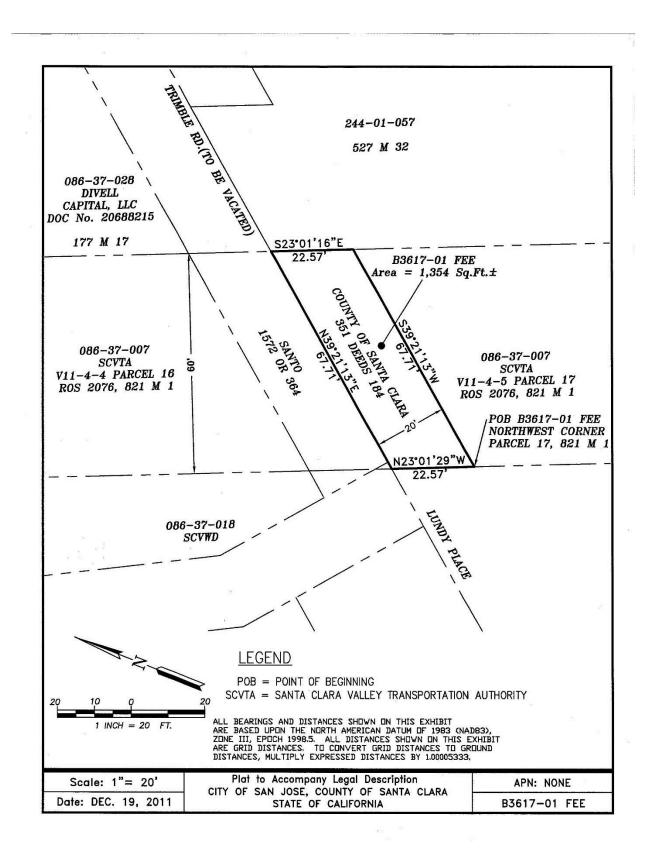
BEGINNING at the northwest corner of that certain parcel designated as Parcel 17, as said Parcel is shown on that certain map entitled "RECORD OF SURVEY VTA-BART EXTENSION" filed December 7, 2007 in Book 821 of Maps at Pages 1 through 51 inclusive, Official Records of said County; thence

- North 23°01′29″ West 22.57 feet to the centerline of Trimble Road, being also the northwesterly line of that certain parcel of land described in the Grant Deed to Jose de S. Silveira, recorded July 2, 1908 in Book 332 of Deeds at Page 358, Official Records of said County; thence along said centerline
- 2. North 39°21'13" East 67.71 feet; thence leaving said line
- 3. South 23°01'16" East 22.57 feet to the northerly line of said Parcel 17; thence
- 4. South 39°21'13" West 67.71 feet along said northerly line to the POINT OF BEGINNING;

Containing 1,354 square feet more or less.

This description was prepared by me or under my direction in conformance with the Professional Land Surveyors Act. All bearings and distances are based on the North American Datum of 1983 (NAD83), Zone III, epoch 1998.5. All distances are grid distances. To convert grid distances to ground distances, multiply expressed distances by 1.00005333.

O. John W. Pettley, PLS 6202 IN MARKING FE My License Expires on 03/31/2012



Property ID: B3621

RESOLUTION OF NECESSITY DETERMINING THAT THE PUBLIC INTEREST AND NECESSITY REQUIRE THE ACQUISITION OF CERTAIN LAND AND DIRECTING THE FILING OF EMINENT DOMAIN PROCEEDINGS

WHEREAS, the BART Silicon Valley Berryessa Extension Project (the "Project") is being undertaken for the purpose of easing traffic congestion, improving area-wide mobility, and otherwise furthering the public health, safety and welfare; and

WHEREAS, it is desirable and necessary for the Santa Clara Valley Transportation Authority ("VTA") to acquire a Fee interest in certain property more particularly described in Exhibit "A" (B3621-01), attached hereto and made a part hereof by this reference, as right of way for the Project and the construction thereof; and

WHEREAS, VTA is authorized to acquire the subject property and exercise the power of eminent domain pursuant to and in accordance with Article 1, Section 19 of the California Constitution, the California Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, and Sections 100130 and 100131 of the Public Utilities Code; and

WHEREAS, if the owner has been located with reasonable diligence, pursuant to the provisions of Section 1245.235 of the Code of Civil Procedure of the State of California, notice will have been duly given to the owner(s) of the property herein, all of whom have been given a reasonable opportunity to appear and be heard before the Board of Directors of VTA at the time and place set forth in said notice, regarding the matters specified therein.

NOW, THEREFORE, IT IS FOUND, DETERMINED AND ORDERED as follows:

- 1. The recitals contained herein are true and correct.
- 2. Upon examination of the alternatives, VTA requires the property for the Project.
- 3. VTA is authorized to acquire the property and exercise the power of eminent domain pursuant to and in accordance with Article 1, Section 19 of the California Constitution, the California Eminent Domain Law, Code of Civil Procedure Sections 1230.010 *et seq.*, and Sections 100130 and 100131 of the Public Utilities Code.
- 4. The public interest and necessity require the Project.
- 5. The Project is planned or located in the manner that will be most compatible with the greatest public good and the least private injury.
- 6. A Fee interest described in Exhibit "A" is necessary for the Project.

- 7. The offer required by Section 7267.2 of the Government Code, together with the accompanying statement of the amount established as just compensation, has been made to the owner or owners of record, which offer and statement were in a format and contained the information required by Government Code Section 7267.2, or the offer has not been made because the owner cannot be located with reasonable diligence.
- 8. VTA has complied with all conditions and statutory requirements, including those prescribed by CEQA, NEPA, and that are necessary for approval and adoption of the Project.
- 9. All conditions and statutory requirements necessary to exercise the power of eminent domain ("the right to take") to acquire the property described herein have been complied with by VTA.
- 10. Insofar as the property or the larger parcel of which it is a part has heretofore been appropriated for public use, the proposed use set forth herein will not unreasonably interfere with or impair the continuation of the public use as it exists or may reasonably be expected to exist in the future, and is therefore a compatible public use pursuant to Code of Civil Procedure Section 1240.510, or, as applicable, constitutes a more necessary public use than the use to which the property is appropriated pursuant to Code of Civil Procedure Section 1240.610.
- 11. General Counsel or General Counsel's duly authorized designee is hereby authorized and directed to institute and conduct to conclusion eminent domain proceedings to acquire a Fee interest in property described in Exhibit "A", and to take such actions that counsel deems advisable or necessary in connection therewith, and may deposit the probable amount of compensation and obtain an order for prejudgment possession of the subject property.

PASSED AND ADOPTED by the Santa Clara Valley Transportation Authority Board of Directors on March 2, 2017, by the following vote:

- AYES: DIRECTORS:
- NOES: DIRECTORS:
- ABSENT: DIRECTORS:

JEANNIE BRUINS, Chairperson Board of Directors

4.1.d

I HEREBY CERTIFY AND ATTEST that the foregoing resolution was duly and regularly introduced, passed and adopted by the vote of two-thirds or more of the Board of Directors of the Santa Clara Valley Transportation Authority, California, at a meeting of said Board of Directors on the date indicated, as set forth above.

Dated:

ELAINE BALTAO, Secretary Board of Directors

APPROVED AS TO FORM:

ROBERT FABELA General Counsel

ID B3621-01

EXHIBIT A

Parcel B3621-01 12/19/2011 FFF

LEGAL DESCRIPTION APN: NONE

All that certain real property situated in the City of Milpitas, County of Santa Clara, State of California, described as follows:

Being a portion of that certain parcel of land described in the Grant Deed to Robert C. and Roland Y. Santo, recorded February 26, 1948 in Book 1572 at Page 364, Official Records of said County, being more particularly described as follows:

BEGINNING at the southeast corner of that certain parcel designated as Parcel 16, as said Parcel is shown on that certain map entitled "RECORD OF SURVEY VTA-BART EXTENSION" filed December 7, 2007 in Book 821 of Maps at Pages 1 through 51 inclusive, Official Records of said County; thence

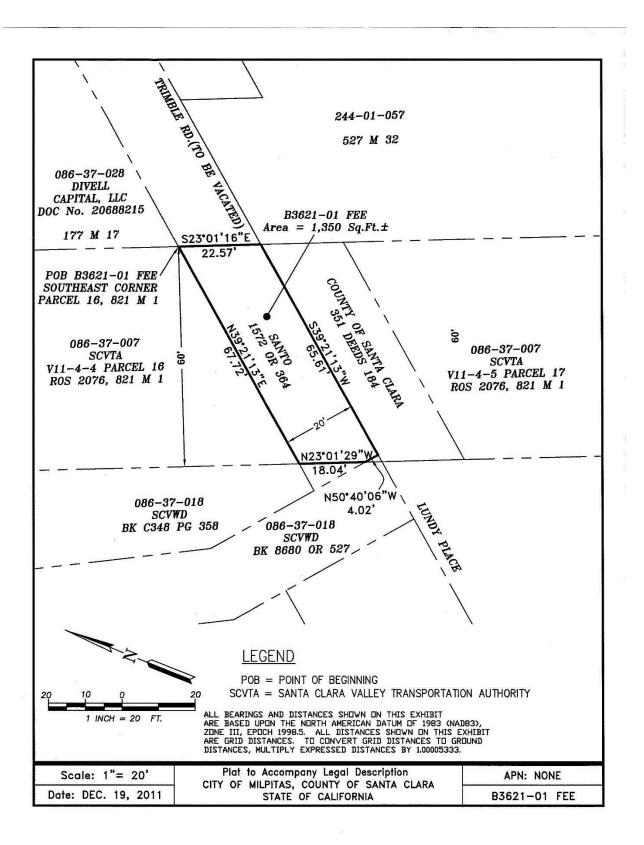
- 1. South 23°01'16" East 22.57 feet to the centerline of Trimble Road; thence along said centerline
- South 39°21'13" West 65.61 feet to the northeasterly line of that certain parcel of land described in the Grant Deed to Santa Clara Valley Water District, recorded September 24, 1969 in Book 8680 at Page 527, Official Records of said County; thence along said line
- 3. North 50°40'06" West 4.02 feet; thence leaving said line
- 4. North 23°01′29" West 18.04 feet to the southwest corner of said Parcel 16; thence
- North 39°21'13" East 67.72 feet along the southerly line of said Parcel 16 to the POINT OF BEGINNING;

Containing 1,350 square feet more or less.

This description was prepared by me or under my direction in conformance with the Professional Land Surveyors Act. All bearings and distances are based on the North American Datum of 1983 (NAD83), Zone III, epoch 1998.5. All distances are grid distances. To convert grid distances to ground distances, multiply expressed distances by 1.00005333.

John W. Pettley, PLS 6202 My License Expires on 03/31/2012

AND



Item 4.1

BART Silicon Valley Berryessa Extension Project

Resolution of Necessity Hearing

March 2, 2017



Solutions that move you

Resolution of Necessity Hearing

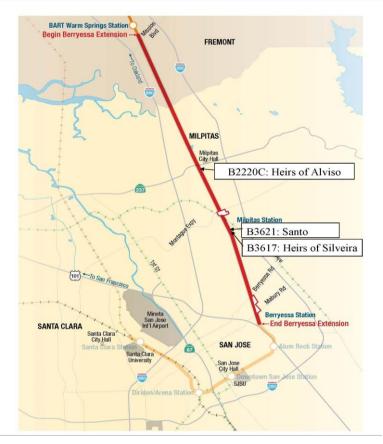
- Board has full discretion as to whether or not to adopt a recommended Resolution of Necessity.
- Amount of compensation is NOT a consideration in this hearing.
- Board must make each of the findings contained in the respective Resolution of Necessity prior to their adoption.



BART Silicon Valley Berryessa Extension Project

2

Project Map





BART Silicon Valley Berryessa Extension Project ³

Resolution of Necessity Property

Property #1: (B2220C) The heirs or devisees of Jose Maria Alviso, Jose G. Uridias, Martin Murphy Junior, Tito L. de La Rosa, Mary Ann Young, Mary A. Chapman, E.W. Darling, Edward Topham, Hattie E. Topham, Charles Brandt and Emma <u>E. Brandt</u>

Location: Former Industrial Way; Adjacent to the UPPR corridor and in southerly direction from State Highway 237, Milpitas

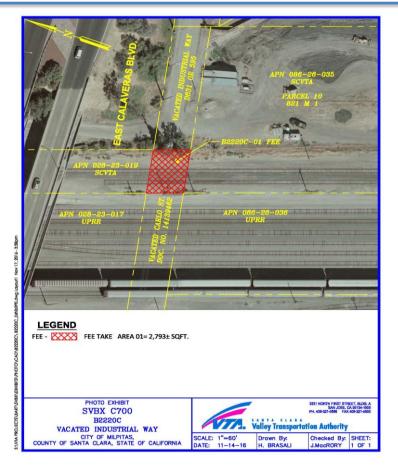
Property Size: 2,793 sq.ft.

Acquisition: Fee (B2220C-01) - 2,793 sq.ft. needed for the BART operating corridor



BART Silicon Valley Berryessa Extension Project ⁴

Aerial Map of B2220C





BART Silicon Valley Berryessa Extension Project ⁵

Resolution of Necessity Property

Property #2: (B3617) The heirs or devisees of Jose De S. Silveira, Deceased, subject to the administration of the Estate of said Decedent

Location: Within Lundy Place (Formerly abandoned Trimble Road), San Jose

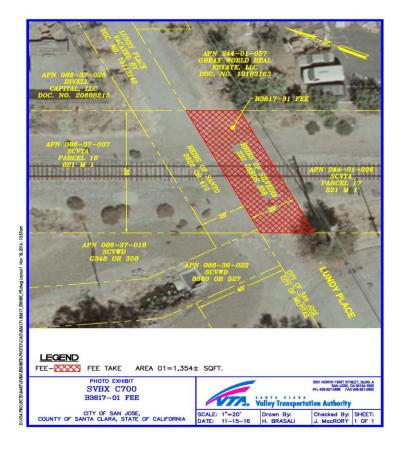
Property Size: 1,354 sq.ft.

Acquisition:

Fee (B3617-01) - 1,354 sq.ft. needed for the BART operating corridor

BART Silicon Valley Berryessa Extension Project ⁶

Aerial Map of B3617





BART Silicon Valley Berryessa Extension Project ⁷

Resolution of Necessity Property

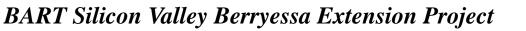
Property #3: (B3621) Roland Y. Santo, Chester T. Santo, and the heirs or devisees of Ryuzo Santo and Yoshi Santo, Deceased, subject to the administration of the Estate of said Decedent

Location: Within Lundy Place (Formerly abandoned Trimble Road), Milpitas

Property Size: 1,350 sq.ft.

Acquisition:

Fee (B3621-01) - 1,350 sq.ft. needed for the BART operating corridor



Aerial Map of B3621





BART Silicon Valley Berryessa Extension Project ⁹



BOARD OF DIRECTORS MEETING

Thursday, February 2, 2017

MINUTES

1. CALL TO ORDER AND ROLL CALL

The Regular Meeting of the Santa Clara Valley Transportation Authority's (VTA) Board of Directors (Board) was called to order by Chairperson Bruins at 5:31 p.m. in the Board of Supervisors' Chambers, County Government Center, 70 West Hedding Street, San José, California.

Chairperson Bruins welcomed new Board Members Charles "Chappie" Jones and Lan Diep and Alternate Board Member Dev Davis, representing Group 1 - City of San Jose, and Alternate Board Member Bob Nuñez from the City of Milpitas, representing Group 5 – North East Cities.

1.1 Oaths of Office

Elaine Baltao, VTA Board Secretary, administered the Oath of Office to Board Members Charles "Chappie" Jones, and Lan Diep, and Alternate Board Members Dev Davis and Bob Nuñez.

Attendee Name	Title	Status
Jeannie Bruins	Chairperson	Present
Larry Carr	Alternate Board Member	Present
Cindy Chavez	Board Member	Present
David Cortese	Alternate Board Member	Absent
Dev Davis	Alternate Board Member	Present
Lan Diep	Board Member	Present
Glenn Hendricks	Board Member	Present
Charles "Chappie" Jones	Board Member	Present
Johnny Khamis	Board Member	Present
Sam Liccardo	Vice Chairperson	Absent
John McAlister	Alternate Board Member	Absent
Bob Nuñez	Alternate Board Member	Present
Teresa O'Neill	Board Member	Present
Raul Peralez	Board Member	Present
Rob Rennie	Alternate Board Member	Absent
Savita Vaidhyanathan	Board Member	Present
Ken Yeager	Board Member	Present

1.2. ROLL CALL

* Alternates do not serve unless participating as a Member.

A quorum was present.

1.3. Orders of the Day

Chairperson Bruins noted **Revised Agenda Item #6.2.**, Revised 2017 Appointments to Board Standing Committees, Joint Powers Boards, Policy Advisory Boards and Ad Hoc Committees was in the Board Members' reading folders.

Chairperson Bruins noted staff requested **Agenda Item #6.4.**, FTA Section 5310 Formula Grant Program Development, be deferred to a future meeting. She indicated the deadline was extended and VTA will have an opportunity to pursue additional funding.

M/S/C (Khamis/Chavez) to approve the Orders of the Day.

ADOPTED	APPROVED [UNANIMOUS]
MOVER:	Johnny Khamis, Board Member
SECONDER:	Cindy Chavez, Board Member
AYES:	Bruins, Carr, Chavez, Davis, Diep, Hendricks, Jones, Khamis, O'Neill,
	Peralez, Vaidhyanathan, Yeager
NOES:	None
ABSENT:	None

2. AWARDS AND COMMENDATION

2.1 <u>Retirement Commendation</u>

Chairperson Bruins recognized the following retirees for their distinguished public service with VTA: Eddie Nunley, Overhaul and Repair Foreperson, for 38 years of service; Jess Martinez, Transit Foreperson, for 36 years of service; Gerry Welin, Support Mechanic, for 35 years of service; Patrick Garcia, Overhaul and Repair Foreperson, for 35 years of service; John Hurney, Paint and Body Worker, for 35 years of service; Nancy Lopez, Coach Operator, for 32 years of service; Patricia Easley-Hill, Service Worker, for 32 years of service; Lorene Harris, Transportation Supervisor, for 31 years of service, and; Devinder Dhindsa, Coach Operator, for 28 years of service.

The following retirees were unable to attend, but were recognized for their distinguished public service with VTA: Benny Cheung, Light Rail Dispatcher, for 37 years of service; Edward Von Runnen, Bus Dispatcher, for 36 years of service; Susan Emery, Office and Timekeeping Technician, for 35 years of service; Douglas Coover, Coach Operator, for 31 years of service; Oscar Edwards, Coach Operator, for 29 years of service; Robert Ramos, Coach Operator, for 28 years of service; Carlito Mojica, Substation Maintainer, for 27 years of service; David Sausjord, Revenue Service Manager, for 26 years of service.

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

2.2. <u>2017 Outgoing Board Member Resolution</u>

Chairperson Bruins recognized outgoing VTA Board Member Magdalena Carrasco.

M/S/C (Chavez/Hendricks) to adopt a Resolution of Appreciation No. 2017.02.07 for outgoing VTA Board Member Magdalena Carrasco.

ADOPTED	APPROVED [UNANIMOUS] Agenda Item # 2.2
MOVER:	Cindy Chavez, Board Member
SECONDER:	Larry Carr, Board Member
AYES:	Bruins, Carr, Chavez, Davis, Diep, Hendricks, Jones, Khamis, O'Neill,
	Peralez, Vaidhyanathan, Yeager
NOES:	None
ABSENT:	None

3. PUBLIC COMMENT

Christopher Stanton, Interested Citizen, stated there is an important need within the community and suggested VTA build an educational exhibit to introduce youth and the adult community to VTA and how to safely utilize the transportation system.

4. **PUBLIC HEARINGS**

There were no Public Hearings.

5. COMMITTEE REPORTS

5.1. <u>Citizens Advisory Committee (CAC) Chairperson's Report</u>

There was no CAC Report.

5.2. Policy Advisory Committee (PAC) Chairperson's Report

Policy Advisory Committee (PAC) Chairperson Miller provided a report on the January 12, 2017, Policy Advisory Committee meeting, highlighting: 1) Committee received the biennial budget report; 2) received Next Network update, noting the Committee is curious how it will integrate with 2016 Measure B efforts; 3) extensive discussion held regarding 2016 Measure B; 4) received a presentation on the Draft Transit Service Plan, and expressed concern that changes in local communities may mean a loss of paratransit service; and 5) expressed concern with future changes to the Highway 85 north/south bus.

5.3. Policy Advisory Board Chairperson's Report

There were no Policy Advisory Board Reports.

6. CONSENT AGENDA

Board Member Chavez requested removing **Agenda Item #6.5.**, Contract Award: Four to Six Color Offset Printing Services, from the Consent Agenda and place it on the Regular Agenda.

6.1. <u>Board of Directors Regular Meeting Minutes of January 5, 2017</u>

M/S/C (Chavez/Hendricks) to approve the Board of Directors Regular Meeting Minutes of January 5, 2017.

6.2. <u>Revised 2017 Appointments to Board Standing Committees, Joint Powers</u> <u>Boards, Policy Advisory Boards and Ad Hoc Committees</u>

M/S/C (Chavez/Hendricks) to approve revised and/or additional appointments to Board Standing Committees, Joint Powers Boards, Policy Advisory Boards, and Ad Hoc Committees for 2017; and rename the Ad Hoc SVRT Program Working Committee to VTA's BART Silicon Valley Ad Hoc Committee.

6.3. <u>Project Management/Construction Management Software Solution</u>

M/S/C (Chavez/Hendricks) to authorize the General Manager to execute a contract with PMWeb for furnishing a Project Management/Construction Management software solution for a period of five years in an amount up to \$1,348,250.

6.4. (Deferred to a future Board of Directors Meeting.)

Adopt a resolution authorizing the General Manager to submit and execute grant applications and agreements, certifications, assurances, and other documents as necessary to receive funding from the California Department of Transportation (Caltrans) under the Federal Transit Administration (FTA) Section 5310 Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program.

6.5. (Removed from the Consent Agenda and placed on the Regular Agenda.)

Authorize the General Manager to execute on-call task order contracts with two (2) selected printing firms, Fong Brothers Printing, Inc. and ImageX, for four to six color printing services to be utilized on an as-needed basis. Each contract shall be for a period of up to five (5) years, with an option to extend the contract for an additional two-year term. The total amount for the two (2) contracts shall not exceed \$700,000 for a total contract term of five years.

6.6. <u>Construction of the Rail Rehabilitation Phase 6 – Crossovers & Interlockings</u> <u>Contract (C16189F)</u>

M/S/C (Chavez/Hendricks) to authorize the General Manager to execute a contract with the lowest responsive and responsible bidder, DMZ Transit (Joint Venture), in the amount of \$6,891,000 for the construction of the Rail Rehabilitation Phase 6 - Crossovers & Interlockings Contract (C16189F); and an available contract change authority of 25% over the contract amount.

6.7. <u>Approve On-Call List of Law Firms</u>

M/S/C (Chavez/Hendricks) to authorize the General Counsel, or his designee, to execute contracts and future extensions thereof with law firms in twelve specialized areas of law and litigation that were selected through a competitive procurement process. Each contract may be for a term of up to five years or until the conclusion of pending matters, whichever occurs later, and in a total amount not to exceed amounts budgeted for such legal services in any given year.

6.8. Adopt VTA's Transit Asset Management Program Project List

M/S/C (Chavez/Hendricks) to adopt VTA's Federal Transit Administration (FTA) grant-funded state-of-good-repair investment program as shown in Attachment A.

6.9. FY 2018 & FY 2019 Biennial Budget Assumptions

M/S/C (Chavez/Hendricks) to review the Fiscal Year 2018 & Fiscal Year 2019 Biennial Budget Assumptions Framework.

6.10. Federal Legislative Consulting Services

M/S/C (Chavez/Hendricks) to receive information on federal legislative consulting services.

ADOPTED	APPROVED [UNANIMOUS] Agenda Items # 6.1-6.3 and 6.6 to 6.10
MOVER:	Cindy Chavez, Board Member
SECONDER:	Glenn Hendricks, Board Member
AYES:	Bruins, Carr, Chavez, Davis, Diep, Hendricks, Jones, Khamis, O'Neill,
	Peralez, Vaidhyanathan, Yeager
NOES:	None
ABSENT:	None

7. REGULAR AGENDA

7.1. <u>1976 Tax, Sales Tax Revenue Refunding Bonds, 2017 Series A</u>

Raj Srinath, Chief Financial Officer, provided a brief overview of the staff report.

Board Member Khamis thanked staff for researching the matter and saving tax payer dollars.

M/S/C (Chavez/Hendricks) to adopt Resolution Number 2017.02.08, authorizing the refunding of certain maturities of the 2007 Bonds, approving the transaction documents (on file with the Board Secretary), and authorizing the General Manager and Chief Financial Officer to individually take all actions necessary to issue the 1976 Tax, Sales Tax Revenue Refunding Bonds, 2017 Series A (the "2017 Bonds") and pay issuance costs.

ADOPTED	APPROVED [UNANIMOUS] Agenda Item # 7.1
MOVER:	Cindy Chavez, Board Member
SECONDER:	Glenn Hendricks, Board Member
AYES:	Bruins, Carr, Chavez, Davis, Diep, Hendricks, Jones, Khamis, O'Neill,
	Peralez, Vaidhyanathan, Yeager
NOES:	None
ABSENT:	None

7.2. <u>Contract Award for ACCESS Paratransit Services</u>

Inez Evans, Chief Operating Officer, and Aaron Vogel, Regional Transportation Services Manager, provided an overview of the staff report and a presentation entitled "Paratransit Takeover Update," highlighting: 1) Emergency Contract Authorized with MV; 2) Paradigm Shifts; 3) Progress; 4) General Information, and; 5) New Paratransit Facility Pictures.

Members of the Committee and staff discussed the following: 1) online access will be available in April 2017; 2) average cost of a one-way paratransit ride is \$45.00; 3) breakdown of Request for Proposal (RFP) contract figures; 4) customer satisfaction efforts; 5) real-time survey program will be implemented; 6) acknowledged and thanked VTA for the hard work and smooth transition to an emergency provider; 7) consider first and last mile solutions; 8) consider conducting an evaluation of how service is delivered; 9) expressed appreciation for the contract flexibility, and; 10) recommended that as new opportunities for services come forward that there be a discussion with one of the subcommittees about how that would work.

Public Comment

Christine Fitzgerald, Chairperson for the Committee for Transportation, Mobility and Accessibility (CTMA), and Community Advocate for Silicon Valley Independent Living Center, noted the following; 1) importance of fully accessible rides and trips according to needs; 2) expressed concern about potential Almaden Valley bus service cuts, and; 3) request the Board keep the cost as low as possible, noting many people are on Social Security Disability Insurance (SSDI).

Eugene Bradley, Silicon Valley Transit User, suggested contract bid financials be made available to ensure that potential bidders are solvent.

Gary Coles, Chief Sales Officer at MV Transportation, thanked VTA for their past partnership, and encouraged the Board to approve the contract award to MV for Access Paratransit. He stated MV Transportation is one of the largest paratransit providers in North America and works with the largest agencies in the United States. He expressed excitement and stated MV looks forward to continuing their partnership with VTA.

M/S/C (Khamis/Chavez) to authorize the General Manager to execute a four year contract with MV Transportation (MV) in the amount of \$79,875,047 to provide VTA's ACCESS Paratransit Services.

ADOPTED	APPROVED [UNANIMOUS] Agenda Item # 7.2
MOVER:	Johnny Khamis, Board Member
SECONDER:	Cindy Chavez, Board Member
AYES:	Bruins, Carr, Chavez, Davis, Diep, Hendricks, Jones, Khamis, O'Neill,
	Peralez, Vaidhyanathan, Yeager
NOES:	None
ABSENT:	None

Chairperson Bruins thanked staff for the incredible job during the emergency transition, and noted her appreciation for the honesty during the process. She expressed appreciation that VTA is looking to the future and making positive changes for the community.

7.3. <u>Paratransit Account Balance Practice Change</u>

Mr. Vogel provided an overview of the staff report.

Board Member Hendricks stated the matter came through the Administration and Finance Committee (A&F), noting the Committee's understanding of the importance of financial accountability. He thanked VTA staff for their understanding in working with customers to transition these additional changes into the system.

On Order of Chairperson Bruins and there be no objection, the Board received and reviewed the Paratransit Account Balance Practice Change to eliminate the allowance of negative account balances.

6.5. <u>Contract Award: Four to Six Color Offset Printing Services</u>

Chairperson Bruins requested the item be deferred.

M/S/C (Chavez/Hendricks) to defer authorizing the General Manager to execute on-call task order contracts with two (2) selected printing firms, Fong Brothers Printing, Inc. and ImageX, for four to six color printing services to be utilized on an as-needed basis. Each contract shall be for a period of up to five (5) years, with an option to extend the contract for an additional two-year term. The total amount for the two (2) contracts shall not exceed \$700,000 for a total contract term of five years.

DEFERRED	
MOVER:	Cindy Chavez, Board Member
SECONDER:	Glenn Hendricks, Board Member
AYES:	Bruins, Carr, Chavez, Davis, Diep, Hendricks, Jones, Khamis, O'Neill,
	Peralez, Vaidhyanathan, Yeager
NOES:	None
ABSENT:	None

8. OTHER ITEMS

8.1. <u>General Manager Report</u>

Ms. Fernandez provided a report, highlighting:

- On January 21, 2017, the Women's March took place in San Jose with approximately 25,000 people participating in the event. VTA successfully moved 16,200 people in four hours with limited notice.
- VTA is committed to improving the customers' experience through innovation. In that effort, VTA is expanding mobile ticketing, partnering with Giant Gray and IBM to improve the Closed-Circuit Television (CCTV) system, and working with Mobileye and ROSCO on transit bus collision avoidance notification.
- Announced February through June 2017, VTA will be conducting passenger surveys on board buses and light rail trains to gather information about VTA's riders and their travel patterns.

Captain David Lera provided a brief security report and presentation, highlighting the following: 1) January, 2017, there were 112 incidents with 60 arrests; 2) law enforcement security staff increase has been positive; 3) Sheriff Transit Patrol three-year comparison, and; 4) 2014-2016 Serious or Violent Incidents by City.

Board Member Khamis queried about the Ridership Report. Ms. Fernandez stated VTA ridership continues to show a decrease of approximately seven percent as compared to 2016, noting the report would be provided to the Board Members.

8.1.A. Government Affairs Update

Ms. Fernandez announced Elaine Chao was confirmed as the Secretary to the U.S. Department of Transportation (DOT). Ms. Fernandez stated the region is looking forward to working closely with Secretary Chao and her team to deliver local county projects to residents.

Aaron Quigley, Senior Policy Analyst, provided an update on Government Affairs, highlighting Governor Jerry Brown's formal submittal of the FY2018 budget to the legislature on January 10, 2017. Mr. Quigley noted the budget includes a summary of the transportation funding plan and recommended legislature regarding cap and trade allowance auctions.

On order of Chairperson Bruins and there being no objection, the Board received the Government Affairs Update.

8.1.B. Silicon Valley Rapid Transit (SVRT) Program Update

Dennis Ratcliffe, Interim Director Engineering and Transportation Infrastructure Development, discussed the progress of the SVRT program and provided a presentation entitled, "SVRT Program Update," highlighting: 1) Berryessa Extension; 2) Berryessa Extension Cost Summary; 3) Berryessa Extension Progress; 4) Milpitas Station Construction Progress; 5) Berryessa Station Construction Progress; and 6) Phase II Extension Activities.

On order of Chairperson Bruins and there being no objection, the Board received the Silicon Valley Rapid Transit (SVRT) Program Update.

8.1.C. <u>Next Network Transit Service Plan Update</u>

Jim Unites, Executive Manager, Transit Planning & Capitol Development, provided an overview of the staff report, and a presentation entitled "Next Network Transit Service Plan Update," highlighting: 1) Public Outreach Overview; 2) Public Comments: What They Like!; 3) Public Comments: What They Want!, and; 4) Next Key Steps.

Members of the Board and staff discussed the following: 1) expressed constituents' concern about Almaden Valley bus service cuts and queried about alternative plans to meet customer needs; 2) core connectivity analysis will help determine available options; 3) Route 10 subsidized airport shuttle service will be replaced with Bus Route 60, noting customers continuing on past the airport will be required to pay a fare; 4) Route 77 decrease of 24%; 5) expressed appreciation for VTA community outreach; 6) ridership growth forecast will be forthcoming in March/April 2017 timeframe; 7) expressed appreciation for on-board customer survey process, and

8) receiving positive customer feedback from downtown San Jose residents regarding frequency of service.

Chairperson Bruins encouraged Board Members to attend the Community Outreach Meetings, noting they are collaborative and informative.

Public Comment

Mr. Stanton commented on the following: 1) consider offering a Day Pass for Bus Line 181 to Fremont to avoid additional fares, and; 2) consider offering a Bus Line 615 that makes a simple loop between the Civic Center and Valley Med. This would increase frequency and intercept the wheelchair traffic going from light rail to Valley Med which causes delays on the long haul on Route 61 and 62.

James Wightman, Interested Citizen, suggested that Bus Line 60 should go to the San Jose Airport and continue on to the Fremont BART Station; 2) consider light rail express service from Baypointe Station to the Milpitas BART Station; 3) suggested CCTV security be installed at all light rail stations, and; 4) the new Route 11 should loop from the San Jose Airport to the Milpitas Berryessa BART Station, back to the San Jose Airport and then to downtown San Jose.

Mr. Bradley commented on the following: 1) queried about the promotion of new services to new VTA riders; 2) expressed appreciation for free transfers; 3) noted the importance of timing connections, and 4) queried what would get the Board Members on the VTA bus?

Joyce, Interested Citizen, referenced a petition submitted to the VTA Board of Directors which expressed concern about the service cuts to Almaden Valley. She suggested VTA consider two route possibilities as outlined in the petition: 1) extend 64SB to Almaden and Coleman, and; 2) combine and extend a portion of Route 13 with 63, from Almaden Expressway to Camden during peak times. She stated these changes will support VTA's mission to provide customer service, to facilitate commuters and increase ridership by utilizing public transportation.

On order of Chairperson Bruins and there being no objection, the Board received the Next Network Transit Service Plan Update.

8.2. <u>Chairperson's Report</u>

Chairperson Bruins announced the following: 1) her appointment to the Metropolitan Transportation Commission (MTC); 2) noted she now represents VTA at Caltrain, and; 3) announced she will be participating in the launch of the VTA Diversity Committee on Wednesday, February 15, at 11:30 a.m. at the VTA River Oaks Facility, and invited her colleagues to join her.

8.3. <u>Items of Concern and Referral to Administration</u>

There were no Items of Concern and Referral to Administration.

8.4. <u>Unapproved Minutes/Summary Reports from VTA Committees, Joint</u>

8.4.A. VTA Standing Committees

- Silicon Valley Rapid Transit (SVRT) Program Working Committee There was no report.
- Governance and Audit Committee There was no report.
- Congestion Management Program & Planning (CMPP) Committee Notice of Cancellation was accepted as contained in the Agenda Packet.
- Safety, Security, and Transit Planning & Operations (SSTP&O) Committee – Notice of Cancellation was accepted as contained in the Agenda Packet.
- Administration & Finance (A&F) Committee There was no report.
- **8.4.B.** VTA Advisory Committees
 - Technical Advisory Committee (TAC) There was no report.
 - Citizens Advisory Committee (CAC) and 2000 Measure A Citizens Watchdog Committee (CWC) The January 11, 2017, Minutes were accepted as contained in the Agenda Packet.
 - Bicycle & Pedestrian Advisory Committee (BPAC) The January 11, 2017, Minutes were accepted as contained in the Agenda Packet.
 - Committee for Transportation Mobility and Accessibility (CTMA) The January 12, 2017, Minutes were accepted as contained in the Agenda Packet.
 - Policy Advisory Committee (PAC) The January 12, 2017, Minutes were accepted as contained in the Agenda Packet.

8.4.C. VTA Policy Advisory Boards (PAB)

- State Route 85 Corridor PAB There was no report.
- Downtown East Valley Policy Advisory Board There was no report.
- Diridon Station Joint Policy Advisory Board There was no report.
- El Camino Real Rapid Transit PAB There was no report.

- **8.4.D.** Joint Powers Boards and Regional Commissions
 - Caltrain Peninsula Corridor Joint Powers Board The February 2, 2017, Summary Notes were accepted as contained in the reading folder.
 - Capitol Corridor Joint Powers Authority There was no report.
 - Dumbarton Rail Corridor Policy Committee There was no report.
 - Metropolitan Transportation Commission (MTC) There was no report.
 - Sunol Smart Carpool Lane Joint Powers Authority There was no report.
 - SR 152 Mobility Partnership There was no report.

8.5. ANNOUNCEMENTS

There were no Announcements.

9. CLOSED SESSION

Chairperson Bruins noted that Agenda Item 9.1.B, - Conference with Legal Counsel – Existing Litigation, has been deferred.

9.1. Recessed to Closed Session at 7:30 p.m.

A. Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

Name of Case: Santa Clara Valley Transportation Authority v. Chung, et al. (Santa Clara County Superior Court Case No. 1-16-CV-292568)

B. (Deferred)

Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

Name of Case: Con-Quest Contractors, Inc. v. Santa Clara Valley Transportation Authority, et al. (Santa Clara County Superior Court Case No. 1-16-CV-291015) C. Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

> Name of Case: California Public Employees' Retirement System v. Santa Clara Valley Transportation Authority, et al. (Sacramento Superior Court Case No. 34-2016-00196269 and Third Appellate District Case No. C083355)

9.2. Reconvened to Open Session at 8:05 p.m.

9.3. Closed Session Report

A. Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

Name of Case: Santa Clara Valley Transportation Authority v. Chung, et al. (Santa Clara County Superior Court Case No. 1-16-CV-292568)

Robert Fabela, General Counsel, noted no reportable action was taken during Closed Session.

C. Conference with Legal Counsel - Existing Litigation [Government Code Section 54956.9(d)(1)]

> Name of Case: California Public Employees' Retirement System v. Santa Clara Valley Transportation Authority, et al. (Sacramento Superior Court Case No. 34-2016-00196269 and Third Appellate District Case No. C083355)

Mr. Fabela noted no reportable action was taken during Closed Session.

10. ADJOURNMENT

On order of Chairperson Bruins and there being no objection, the meeting was adjourned at 8:15 p.m.

Respectfully submitted,

Anita McGraw, Board Assistant VTA Office of the Board Secretary



Date:February 23, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Director of Government & Public Relations, Jim Lawson
SUBJECT:	Appointment Process for the 2016 Measure B Citizens' Oversight Committee

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

RECOMMENDATION:

Approve the process for appointments to the 2016 Measure B Citizens' Oversight Committee.

BACKGROUND:

On November 8, 2016 the voters of Santa Clara County overwhelmingly approved Measure B that enacted a thirty year ½ cent sales tax for transit and transportation improvements. Nine categories of projects and programs were proposed as part of the measure:

- Local Streets & Roads Repair
- BART Phase II
- Bicycle & Pedestrian Projects
- Caltrain Grade Separations
- Caltrain Capacity Improvements
- Highway Interchanges
- County Expressways
- SR 85 Corridor
- Transit Operations

The ballot measure specified that the revenues and expenditures would be reviewed by an independent citizens' oversight committee appointed by the Santa Clara Valley Transportation Authority (VTA):

"An independent citizens' oversight committee shall be appointed to ensure that the funds are being expended consistent with the approved Program. Annually, the committee shall have an audit conducted by an independent auditor. The audit shall review the receipt of revenue and expenditure of funds. The committee shall hold public hearings, and issue a report annually to inform the Santa Clara County residents how the funds are being spent. The hearings will be public meetings subject to the Brown Act."

DISCUSSION:

With the passage of the ballot measure, it is necessary to appoint a Citizens' Oversight Committee. Staff reviewed the appointment process of several California jurisdictions having similar ballot measures with some form of oversight. The current VTA experience with our 2000 Measure A Citizens Watchdog Committee also helped form the recommendations.

The recommendation is the formation of an independent committee consisting of seven (7) members who are registered voters in Santa Clara County. There will be an open application process with the intent to allow qualified citizens the opportunity to participate.

In the application process we will actively seek individuals who bring important relevant experience to the committee. Staff recommends that the committee should consist of persons who fulfill the following criteria:

- A retired federal or state judge or administrative law judge or an individual with experience as a mediator or arbitrator.
- A professional from the field of municipal/public finance with a minimum of four years relevant experience.
- A professional with a minimum of four years of experience in management and administration of financial policies, performance measurement and reviews.
- A professional with demonstrated experience of four years or more in the management of large scale construction projects.
- A regional community or business organization representative with at least one year of decision making experience.
- A professional with four years of experience in organized labor.
- A professional with a minimum of four years of experience in educational administration at the high school or college level.

The intent is to have one member representing each of the specified areas of expertise. If after a good faith effort, this is not achieved then no more than two members from one of the other areas of expertise may be selected.

This should provide a range of expertise to assist the committee in its task of evaluating the revenues and project expenditures as we begin implementing the commitments to the voters in 2016 Measure B.

The committee will be staffed by the Auditor General to assure the relevant level of expertise and professional advice.

To assure independence, no elected officials, employees of VTA or appointees to VTA committees are eligible while they hold those positions or appointments. Further, employees of the County of Santa Clara or the cities within Santa Clara will also be ineligible. Since 2016 Measure B was structured to assist the County and the cities in the delivery of their projects, their appointment would not be in keeping with the spirit of independence that the measure calls for.

The members of the committee will be subject to VTA's Conflict of Interest policies. Members are prohibited from acting in any commercial activity directly or indirectly involving VTA, such as being a consultant to VTA or to any party with pending legal actions against VTA during their tenure. Members shall not have direct commercial interest or employment with any public or private entity which receives sales tax funds authorized by this Measure.

Each committee member shall serve for a term of four years except initial appointments will be staggered to assure continuity. Members will be limited to two consecutive terms.

Attachment A describes the committee role and responsibilities along with the appointment process and the high level approach to the projected meetings.

ALTERNATIVES:

In order to meet the intention of 2016 Measure B an oversight committee must be appointed. The Board may direct a different method for selecting the committee or change any of the requirements or restrictions the Board desires.

FISCAL IMPACT:

There is no fiscal impact with approving this appointment process.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Governance & Audit Committee considered this item at its February 2, 2017 meeting as part of its Regular Agenda.

Committee members expressed strong support for the staff proposal, commenting that it was well thought out. Committee members requested the inclusion of the following items in the appointment or committee administration processes: 1) an aspirational goal of balancing, where feasible, appointments to balance the geographic regions of the county; and 2) offer committee members training on bond oversight and other relevant topics.

The committee unanimously recommended Board approval of the staff recommendation with inclusion of the minor additions indicated and that this item be placed on the Board's Consent Agenda.

Prepared by: Jim Lawson, Director of Public Affairs & Executive Policy Advisor Memo No. 5992

ATTACHMENTS:

A--2016 Measure B COC Appointment Process Overview (PDF)

Role: To fulfill the commitment of 2016 Measure B to have an independent oversight committee audit and report on the performance of VTA and the various project sponsors to ensure the funds are being expended consistent with the approved programs.

Membership: Seven citizens of Santa Clara County who are eligible voters.

- A retired federal or state judge or administrative law judge or an individual with experience as a mediator or arbitrator.
- A professional from the field of municipal/public finance with a minimum of four years relevant experience.
- A professional with a minimum of four years of experience in management and administration of financial policies, performance measurement and reviews.
- A professional with demonstrated experience of four years or more in the management of large scale construction projects.
- A regional community or business organization representative with at least one year of decision making experience.
- A professional with four years of experience in organized labor.
- A professional with a minimum of four years of experience in educational administration at the high school or college level.

Application: Application period will be posted and applicants will apply on line.

Terms: 4 years. First appointees to be randomly selected (or volunteer) for either two or four year terms (three [3] for two years and four [4] for four years). Membership will be limited to two consecutive terms only.

Appointment: The application period will be posted. Applications will be submitted on line at a dedicated site. Applications will be forwarded to an Evaluation Subcommittee of the Board of Directors appointed by the Chair. The Subcommittee will submit eligible candidates to the Governance & Audit Committee. G&A will recommend finalist candidates to the Chair for appointment with ratification by the full Board of Directors.

Responsibilities: Provide independent verification that the tax revenue collected under 2016 Measure B is expended appropriately to deliver the projects and programs described in the ballot measure.

Establish the scope and work plan for the independent audit. Hire a qualified, independent professional audit firm to conduct an audit of the revenues and expenditures on an annual basis.

Conduct a Public Hearing to inform the general public that based upon the independent audit that the public's money is expended for the purposes as described in the ballot measure or adjusted as circumstances warrant through the required approval process.

Publish a report indicating the results of the Independent Audit, Public Hearing and any additional findings the Committee may have.

Request from time to time a report and/or presentation from project sponsors charged with delivering the various projects under this measure on their progress and expenditures.

Meetings: Meetings will be held on a quarterly basis. All meeting will be publicly noticed and conducted under the requirements of the Brown Act. The first meeting is targeted to 2^{nd} Quarter FY2018.



Date:February 23, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

- TO: Santa Clara Valley Transportation Authority Board of Directors
- THROUGH: General Manager, Nuria I. Fernandez
- FROM: Chief Financial Officer, Raj Srinath
- **SUBJECT:** PlaceWorks Contract

Policy-Related Action: No

Government Code Section 84308 Applies: Yes

ACTION ITEM

RECOMMENDATION:

Authorize the General Manager to amend the amount of the current \$500,000 on-call Joint Development Support Services contract with PlaceWorks, Inc. by \$867,000 (to a total of \$1,367,000), to provide technical support on development entitlements for multiple joint development sites in the City of San Jose.

BACKGROUND:

In 2016, the Board of Directors authorized the expenditure of \$3.5 million in additional funds from the Joint Development Fund for the purpose of establishing an on-call bench of joint development consultants to provide technical support in the categories of planning, architecture, development economics, engineering and construction, cost estimating and management. These services are needed by Santa Clara Valley Transportation Authority for predevelopment work related to joint development projects (including the securing of entitlements), as well as to provide support for developer selection and negotiation of joint development agreements.

Staff subsequently issued a competitive RFP for on-call joint development services and, in 2016, awarded master agreements to 15 consulting firms across all categories. The intent at the time was to pursue a series of individual joint development project approvals that could be accomplished by project-specific work directives. PlaceWorks is one of the selected contractors for planning and architecture services.

SUMMARY:

Vendor Name: PlaceWorks	Original Authorized Amount: \$500,000
Contract Number: S16362	No prior modification
Contract Term(s) : Through December 31,	Amount Requested: \$867,000
2020	
	Total Amount Requested: \$1,367,000
Procurement Type: Joint Development	% of request to Current amount: 167%
Professional Services	
Small Business Enterprise Goal: 18%	% Modifications including request to
aspirational goal	original contract: 167%
	Funding Source(s): Joint Development Fund

DISCUSSION:

Subsequent to the selection of the on-call list of joint development contractors VTA entered into contracts with each of such contractors, including a contract with PlaceWorks for \$500,000. Staff also began discussions with the City of San Jose Planning Department on allowed mixed-use density development at multiple VTA Joint Development sites. After initial scoping discussions between City of San Jose Planning staff and VTA staff, a consensus was reached amongst City and VTA staff that the most efficient approach would be to pursue additional land use entitlements through a combined application and a single CEQA clearance for all seven sites. This approach could generate substantial cost savings, potentially approaching \$1 million or more, compared to pursuing entitlements on a site-by-site basis.

PlaceWorks was selected to conduct an initial round of CEQA analysis, as part of its \$500,000 contract. The \$867,000 increase in the PlaceWorks contract would fund the costs to complete a combined application for Transit-Oriented Development entitlements for seven VTA Joint Development sites, including associated CEQA work. It would include a contingency if additional CEQA analysis is required.

ALTERNATIVES:

The Board could direct staff to use multiple consultants to complete the application and CEQA analysis. This would result in substantially higher costs, potentially \$1 million or more. Depending upon consultant capacity, it could be necessary for the Board to approve increases in the value of other consultant contracts to complete the work.

FISCAL IMPACT:

This action will authorize an additional \$867,000 for technical support on development entitlements. Appropriation for these expenditures is available in the FY17 Adopted Joint Development Fund Capital Budget.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Administration & Finance Committee considered this item on February 16, 2017 as part of their consent agenda. The Committee recommended Board approval.

Prepared by: Ron Golem Memo No. 5995

ATTACHMENTS:

• PlaceWorks - Attachment A (PDF)

Attachment A

PlaceWorks Contract List of Contractor(s)

Firm Name	Name	Role	Location
Placeworks, Inc.	Steve Noack	Principal	1625 Shattuck Avenue, #300
			Berkeley, CA 94709



Date:	February 23, 2017
Current Meeting:	March 2, 2017
Board Meeting:	March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Engr & Transp Infra Dev, Dennis Ratcliffe
SUBJECT:	Construction Contract Award C741 (C16335F) Landscaping for Berryessa and Milpitas Campuses and Third Party Access

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

RECOMMENDATION:

Authorize the General Manager to execute a contract with WABO Landscape & Construction Inc., the lowest responsive and responsible bidder, in the amount of \$5,830,462 for the construction of Landscaping for Berryessa and Milpitas Campuses and Third Party Access (C741).

BACKGROUND:

The C741 contract includes landscaping and related work for both the Milpitas and Berryessa Station campuses being constructed for the Santa Clara Valley Transportation Authority (VTA) BART extension to Berryessa. This landscaping is needed to meet City requirements; to satisfy storm water treatment permit requirements; and to provide various third-party access locations throughout the project. Landscaping is included for the campus roadways, transit centers and plazas, parking areas, and at entry areas around campus buildings and structures such as the parking garages, Police Zone Facility and ancillary buildings.

Scope of the C741 Landscaping for Berryessa and Milpitas Campuses and Third Party Access contract includes the following:

- Construction of a reclaimed water landscape irrigation system and landscaping at the Milpitas Station Campus in the City of Milpitas. (Attachment A)
- Construction of a potable water landscape irrigation system and landscaping at the Berryessa Station Campus in the City of San Jose. (Attachment B) Reclaimed water

supply is unavailable at the Berryessa Station location.

- Construction of a Native American contemplation garden at the Berryessa Station Campus.
- Installation of access gates and fences at several private properties along the east side of the project corridor.
- Installation of protective fences over the project trackway at Abel Street and Calaveras Boulevard bridge overcrossings.

A Native American contemplation garden is included in the Berryessa Station Campus to meet project environmental mitigation requirements.

Third party access is required for Chevron and MCI to maintain their facilities previously located from within the project operating corridor to other areas within the project. To provide appropriate access to match pre-project conditions for inspection and maintenance for Chevron and MCI, VTA will construct fenced access driveways at several private properties along the east access roadway adjacent to the project corridor.

DISCUSSION:

The C741 Landscaping for Berryessa and Milpitas Campuses and Third Party Access Contract was first advertised on September 23, 2016. Bids were opened on October 24, 2016; however, after a review the bids, it was discovered that a Federal Transit Administration (FTA) document needed for identifying subcontractor participation and Disadvantaged Business Enterprise (DBE) verification was omitted from the bid package. The omitted form, combined with other bid irregularities, led VTA to reissue the contract for a second bidding.

On December 16, 2016, the C741 Contract was re-advertised. Contractor pre-qualification was required for this contract, and six (6) contractors satisfied the pre-qualification requirements. Four (4) bids were submitted on January 11, 2017 with the following results:

Company Name	Bid Amount
WABO Landscape & Construction Inc.	\$5,830,462
Marina Landscape, Inc.	\$5,982,917
Empire Landscaping Inc.	\$6,167,368
Suarez & Munoz Construction Inc.	\$6,290,849
Engineer's Estimate	\$6,516,859

The lowest bid was submitted by WABO Landscape & Construction Inc. in the amount of \$5,830,462. The bids received ranged from 3-10% below the Engineer's Estimate

VTA staff has completed the bid review process and has determined that WABO Landscape & Construction Inc. is the lowest responsible and responsive bidder. The bid is \$686,397 below the Engineer's Estimate, and is fair and reasonable. Staff recommends award of this contract to WABO Landscape & Construction Inc.

Page 3 of 3

Construction is anticipated to begin in April 2017 with completion by December 2017. A followon 6 month Plant Establishment Period for plant maintenance will commerce upon construction completion and is scheduled to end in June 2018.

ALTERNATIVES:

The Board could choose to reject all bids and request staff to re-advertise the contract. This action would delay the completion of the Landscaping for Berryessa and Milpitas Campuses and Third Party Access project, which will negatively impact overall project delivery schedule with on-going construction activities occurring after revenue operations.

FISCAL IMPACT:

This action will authorize \$5,830,462 for construction of Landscaping for Berryessa and Milpitas Campuses and Third Party Access. Appropriation for this expenditure is included in the FY2017 Adopted 2000 Measure A Transit Improvement Program Fund Capital Budget. This contract is funded by a combination of Federal (FTA), City of Milpitas, and 2000 Measure A funds.

DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION:

Based on identifiable subcontracting opportunities, a Disadvantaged Business Enterprise (DBE) goal of 4.41% has been established for this contract. WABO Landscape & Construction Inc. has committed to 5.07% DBE participation on this contract. A listing of subcontractors for WABO Landscape & Construction Inc. is included in Attachment C.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

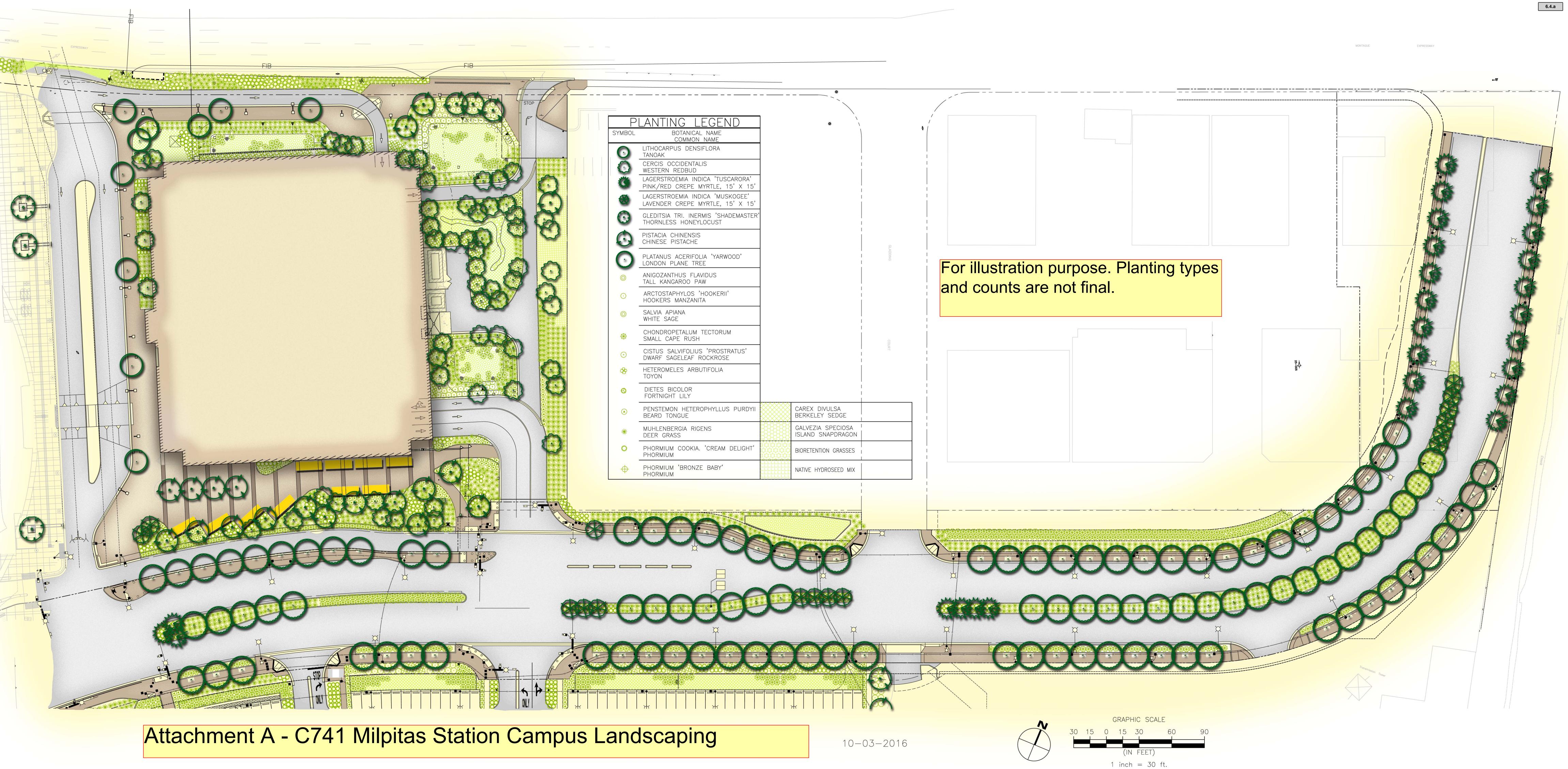
(PDF)

The Administration & Finance Committee considered this item on February 16, 2017 as part of their consent agenda. The Committee recommended Board approval.

Prepared by: Margaret Simmons-Cross, Program Manager Memo No. 5775

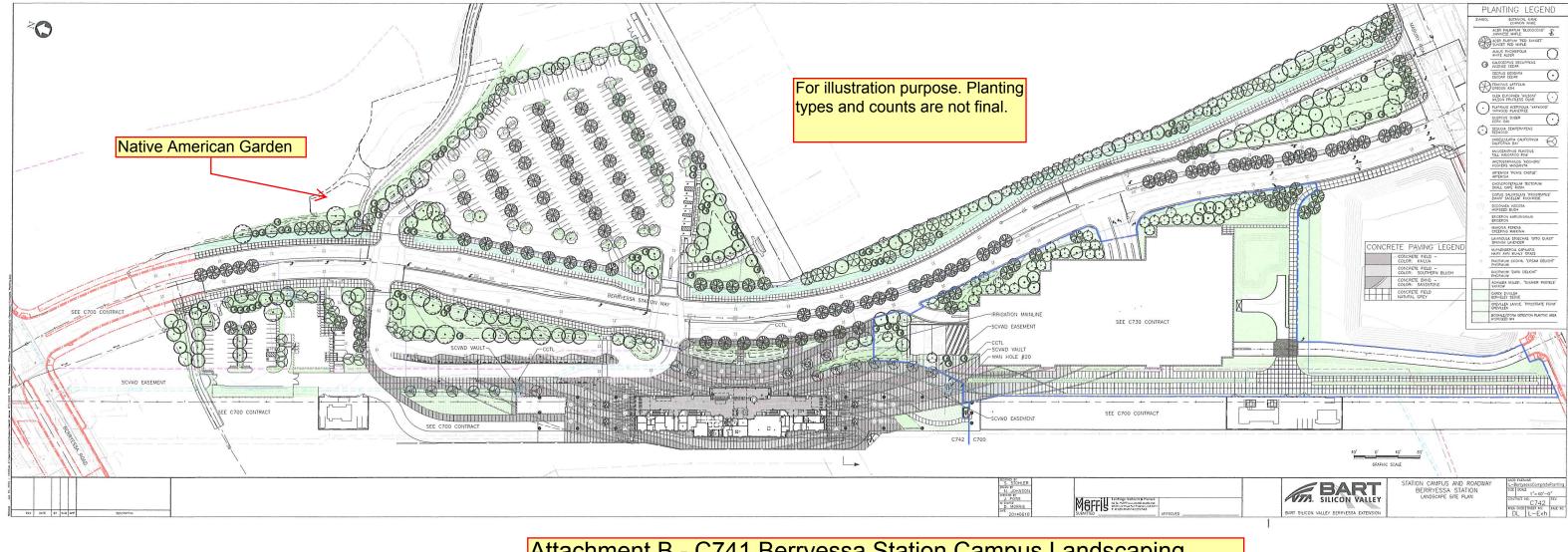
ATTACHMENTS:

- 5775_Attachment A Milpitas Campus Color (PDF)
- 5775_Attachment B Berryessa Campus
- 5775_Attachment C List of Subcontractors_Rev1 (DOCX)



Ρ	LANTING LEGEND
SYMBOL	BOTANICAL NAME COMMON NAME
\bigcirc	LITHOCARPUS DENSIFLORA TANOAK
\odot	CERCIS OCCIDENTALIS WESTERN REDBUD
٢	LAGERSTROEMIA INDICA 'TUSCARORA' PINK/RED CREPE MYRTLE, 15' X 15'
	LAGERSTROEMIA INDICA 'MUSKOGEE' LAVENDER CREPE MYRTLE, 15' X 15'
\bigcirc	GLEDITSIA TRI. INERMIS 'SHADEMASTER' THORNLESS HONEYLOCUST
\bigcirc	PISTACIA CHINENSIS CHINESE PISTACHE
\odot	PLATANUS ACERIFOLIA 'YARWOOD' LONDON PLANE TREE
0	ANIGOZANTHUS FLAVIDUS TALL KANGAROO PAW
\odot	ARCTOSTAPHYLOS 'HOOKERII' HOOKERS MANZANITA
\bigcirc	SALVIA APIANA WHITE SAGE
\\$	CHONDROPETALUM TECTORUM SMALL CAPE RUSH





Attachment B - C741 Berryessa Station Campus Landscaping

Attachment C – List of Subcontractors

Firm	Role	Location
WABO Landscape and Construction Inc.	Prime Contractor	Hercules, CA
Construction Inc.		
Tully Consulting Group	Engineering	Dixon, CA
San Jose Transport	Trucking	Gilroy, CA
Select Masonry Contractor	Masonry	Rancho Cucamonga, CA
, see a s		
Nitta Erosion Control	Erosion Control	Loomis, CA
No Develt A sub-14	A1 14	
No Fault Asphalt	Asphalt	Palo Alto, CA
Calco Fence Inc.	Fencing	Livermore, CA



Date:	February 23, 2017
Current Meeting:	March 2, 2017
Board Meeting:	March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Engr & Transp Infra Dev, Dennis Ratcliffe
SUBJECT:	Amendment of Agreement for Reimbursement of Santa Clara Valley Water District's Costs for SVBX Project Support

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

RECOMMENDATION:

Authorize the General Manager to negotiate and execute an amendment to the existing cooperative agreement with the Santa Clara Valley Water District (SCVWD) regarding the reimbursement of SCVWD's staff costs to assist VTA with construction coordination and project close out in support of the BART Silicon Valley Berryessa Extension (SVBX) Project to increase the authorization by \$200,000, from an existing amount of \$2,273,000 to \$2,473,000.

BACKGROUND:

Both of the proposed stations sites in the Santa Clara Valley Transportation Authority (VTA) BART extension to Berryessa are traversed by major water transmission pipelines owned by Santa Clara Valley Water District (SCVWD). The 42-inch diameter Milpitas Pipeline crosses the Milpitas station site, and the 66-inch diameter Central Pipeline lies within the Berryessa station site. Both pipelines have been relocated to accommodate the BART guideway and stations. In addition, VTA was required to coordinate with SCVWD regarding flood control facilities such as the restoration of Upper Penitencia Creek within the Berryessa Station site that VTA completed in 2012.

To coordinate SCVWD and VTA efforts related to these pipeline relocations, VTA entered into a Relocation Agreement with SCVWD on April 27, 2011 which provided a framework for cooperative efforts between the two agencies. The Relocation Agreement stated that VTA would reimburse the internal staff costs of SCVWD related to the project, but did not provide a specific budget for the reimbursements. In May, 2013, VTA entered into a reimbursement agreement with SCVWD authorizing a budget total of \$1,723,000 for SCVWD's services on the project.

2013 Reimbursement Agreement and September 2014 Amendment. The Agreement also provided a schedule of hourly rates. The level of effort actually made by SCVWD was higher

with technical issues, planning activities, plan reviews and construction inspection for the

pipeline relocation and flood channel modifications described above.

On September 11, 2014 VTA amended the reimbursement agreement authorizing an updated

SCVWD has been working cooperatively with VTA for five and a half years on project, assisting

SCVWD initially provided an estimate to VTA of their anticipated staff time for project support through approximately January, 2014, then a revised estimate through 2017. These budget estimates covered the most active period of project support, and served as the basis of the May,

than estimated, and the total amended budget authorization has now been depleted.

While the pipeline relocation work has been completed, there is still some remaining construction work within the footprints of the SCVWD pipelines, as well as right-of-way transfers, acceptance and close-out processes that will require SCVWD support. SCVWD has furnished a new budget estimate, projecting their total anticipated costs through the completion of the project, and including previous outstanding invoices, at approximately \$200,000.

This amendment would increase the amount of SCVWD's budget authorization for project support by \$200,000 to a total of \$2,473,000. The amendment also updates the SCVWD billing rates to match their current rate schedule. Other terms of the May, 2013 Reimbursement Agreement would remain unchanged.

ALTERNATIVES:

total budget of \$2,273,000.

DISCUSSION:

Because VTA has already agreed, through the existing Relocation Agreement, to reimburse SCVWD's internal costs related to the project, and because VTA relies upon the technical assistance of SCVWD staff for the pipeline relocations, there is no practical alternative to providing funding for this support.

FISCAL IMPACT:

This amendment provides a total authorization of up to \$2,473,000 - an increase of \$200,000 above the previously approved budget - for SCVWD's support services for SVBX. Appropriation for this expenditure is included in the FY17 Adopted 2000 Measure A Transit Improvement Program Fund Capital Budget and is funded by a combination of 2000 Measure A and federal funds.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Administration & Finance Committee considered this item on February 16, 2017 as part of their consent agenda. The Committee unanimously recommended approval of this item.

Prepared by: Oxo Slayer, Agency Coordinator Memo No. 5986



Date:February 22, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Chief Financial Officer, Raj Srinath
SUBJECT:	Selection of Firm to Provide General Investment Consultant Services

Policy-Related Action: No

Government Code Section 84308 Applies: Yes

ACTION ITEM

<u>RECOMMENDATION:</u>

Approve the selection of NEPC, LLC and authorize the General Manager to execute the contract for NEPC, LLC to provide general investment consultant services to the Santa Clara Valley Transportation Authority (VTA) for a period of five years plus two optional one year extensions, for a total of seven years and an amount not to exceed \$1,377,000.

BACKGROUND:

Callan Associates has served as the general investment consultant to the VTA since April 1, 2011. The existing agreement between Callan Associates and the VTA will expire on March 31, 2017. The general investment consultant provides counsel on asset allocation, portfolio structure and investment manager selection. The services provided by Callan Associates are shared between the SCVTA - ATU, Local 265 Pension Plan, the VTA Retirees' Other Post-Employment Benefits Trust and the VTA Non-Trust Held Funds; fees are split between the plans in proportion to services used.

DISCUSSION:

On March 8, 2016 at the request of the Chief Financial Officer and the ATU Board of Pensions an evaluation panel was formed to review proposals for general investment consultant services. The SCVTA - ATU, Local 265 Pension Plan Investment Committee and the VTA's Fiscal Resources Manager were selected to serve on the evaluation panel.

A Request For Proposals (RFP) was issued on October 17, 2016. The RFP was advertised in the San Jose Post Record and on the VTA website, and notices were sent to prospective proposers;

five proposals were received.

The committee evaluated the written proposals based on the following criteria:

- Qualifications of the Firm
- Staffing and Project Organization
- Work Plan/Project Understanding
- Local Firm Preference
- Cost/Price

Four firms were selected for interviews: Callan Associates; NEPC, LLC; Pension Consulting Alliance, LLC; and Verus Advisory, Inc. Interviews were conducted on November 29, 2016.

Based on the interviews and the evaluation of the written proposals, on December 6, 2016 the evaluation panel formally recommended that NEPC, LLC be selected to provide general investment consultant services to the VTA and the SCVTA - ATU, Local 265 Pension Plan Board of Administration.

On December 13, 2016 the SCVTA - ATU, Local 265 Pension Plan Board of Administration voted unanimously in favor of replacing the incumbent, Callan Associates, with NEPC, LLC.

FISCAL IMPACT:

This action will authorize up to \$1,377,000 for general investment consultant services for a period of five years plus two optional one year extensions, if executed. Expenses for the contract will be split between the SCVTA - ATU, Local 265 Pension Plan, the VTA Retirees' Other Post-Employment Benefits Trust and the VTA Non-Trust Held Funds in proportion to the services used by the plans. Appropriation for the expenses related to the VTA Non-Trust Held Funds through June 30, 2017 is included in the FY17 Adopted VTA Transit Fund Operating Budget. Appropriation for VTA Non-Trust Held Funds related expenses for the remainder of the contract term will be included in subsequent Biennial Budgets.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Administration & Finance Committee considered this item on February 16, 2017. The Committee unanimously recommended the item be forwarded to the VTA Board of Directors for approval.

Prepared by: Sean Bill Memo No. 5996

ATTACHMENTS:

• Attachment A- Sec 84308 (PDF)

Attachment A

Government Code Section 84308 Campaign Disclosure Prohibitions

Subject: Selection of Firm to Provide General Investment Consultant Services

Firm	Name	Role	Location
NEPC, LLC	Don Stracke	Sr. Consultant	Redwood City
	Dan Hennessy	Consultant	Redwood City



Date:February 24, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Planning & Program Development, Carolyn M. Gonot
SUBJECT:	Transit Performance Initiative (TPI) - Investment Program Grant

Policy-Related Action: No

Government Code Section 84308 Applies: No

Resolution

ACTION ITEM

RECOMMENDATION:

Adopt a resolution authorizing the General Manager to file and execute grant applications and agreements with the Metropolitan Transportation Commission (MTC) for funding from the Transit Performance Initiative (TPI) - Investment Program (Round 3).

BACKGROUND:

VTA's Light Rail Enhancement Program is advancing projects identified in the 2010 Light Rail Systems Analysis to enhance the capacity, market responsiveness and operational efficiency of the light rail system. Investments in capital improvements and new service enable VTA to operate the light rail system more efficiently, improve the system for current riders and meet future demand.

The Santa Clara Pocket Track near Levi's Stadium was recently constructed and is currently being used for stadium event services. Operations near the pocket track would benefit from additional construction work, specifically interlocking the pocket track, to allow for safer and more efficient operations.

An interlocking is an arrangement of track signals and trackwork, which prevents conflicting movements of trains through the same location. This project would fully interlock the recently constructed pocket track in Santa Clara to improve reliability for two light rail lines of service in the area and would also allow for trains to turn back in a more efficient manner. This would lower annual operating costs. Without constructing this interlocking, operators would need to

6.7

rely heavily on VTA's Operations Control Center (OCC) to coordinate the movements of trains through this location.

With the arrival of BART to Silicon Valley in the fall of 2017, VTA will be redesigning its light rail network. VTA will make several changes including doubling the number of trains at this location and turning back some trains using the Santa Clara Pocket Track. Fully interlocking this location would improve efficiency for the trains traveling through this area and would enable turn back trains to use the platform. This would reduce daily train and operator needs, operating costs and improve farebox recovery.

DISCUSSION:

The Santa Clara Pocket Track Light Rail Interlocking project corridor is approximately one (1) mile long and includes three (3) VTA light rail stations - Great America, Old Ironsides and Reamwood. The Great America light rail station is adjacent to the Capitol Corridor / Altamont Corridor Express (ACE) Station, and currently serves Levi's Stadium and will serve the Santa Clara City Place project when that development is complete. In the future, VTA plans to operate two light rail lines through this area.

VTA will complete the Santa Clara Pocket Track Light Rail Interlocking project in two phases.

Phase I will include the following:

Arrange and install track signals from the Reamwood Station to the Old Ironsides Station. The estimated cost for Phase 1 is \$1.5 million and is being constructed as part of an existing rail procurement and construction contract. This phase is scheduled for completion by late 2017.

Phase II will include the following:

Arrange and install additional track signals from the Old Ironsides Station to the Great America Station. This phase is scheduled for completion by late 2018.

The cost estimate for Phase II of the Santa Clara Pocket Track Light Rail Interlocking project is \$2 million. MTC has allocated \$500,000 from the Transit Performance Initiative (TPI) - Investment Program to help fund this phase of the project. The balance will come from local funds. MTC has \$17 million available for the current cycle of the TPI - Investment Program, which is a competitive grant program open to all eligible transit agencies in the Bay Area.

The program includes a requirement that eligible transit agencies applying for funding adopt a Governing Body Resolution authorizing the submittal and execution of grant applications and agreements with MTC.

ALTERNATIVES:

The Board of Directors could elect not to accept the TPI - Investment Program funds and complete the proposed project entirely with local funds.

FISCAL IMPACT:

This action will make \$500,000 in TPI - Investment Program funds available to VTA to interlock the project area thereby enhancing light rail operations and increasing overall system ridership.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION

The Safety, Security, and Transit Planning and Operations Committee considered this item as a Committee of the Whole on February 16, 2017. The Committee of the whole expressed support for this item.

Prepared by: Mike Tasosa Memo No. 5967

Resolution of Local Support MTC Discretionary Funding Resolution No.

<u>Authorizing the filing of an application for funding assigned to MTC and</u> <u>committing any necessary matching funds and stating the assurance to complete the project</u>

WHEREAS, the Santa Clara Valley Transportation Authority (VTA) (herein referred to as APPLICANT) submitted an application to the Metropolitan Transportation Commission (MTC) for \$500,000 in funding assigned to MTC for programming discretion, including but not limited to federal funding administered by the Federal Highway Administration (FHWA) such as Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding and/or Transportation Alternatives (TA) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the Santa Clara Pocket Track Light Rail Interlocking project (herein referred to as PROJECT) for the Transit Performance Initiative – Investment Program (herein referred to as PROGRAM); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP 21) authorize various federal funding programs including, but not limited to the Surface Transportation Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives Program (TA) (23 U.S.C. § 213); and

WHEREAS, state statutes, including California Streets and Highways Code 182.6 and 182.7 provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal funds for a project shall submit an application first with the appropriate MPO for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of federal funds; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a resolution adopted by the responsible implementing agency stating the following:

- 1. the commitment of any required matching funds; and
- 2. that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- that the project will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
- 4. the assurance of the sponsor to complete the project as described in the application, subject to environmental clearance, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
- 5. that the project will comply with all project-specific requirements as set forth in the PROGRAM; and
- 6. that the project (transit only) will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 for continued funding; and be it further

RESOLVED that the APPLICANT by adopting this resolution does hereby state that:

- 1. APPLICANT will provide any required matching funds; and
- 2. APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- 3. APPLICANT understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation projects, and has assigned, and will maintain a single point of contact for all FHWA-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans and FHWA on all communications, inquiries or issues that may arise during the federal programming and delivery process for all FHWA-funded transportation projects implemented by APPLICANT; and
- 4. PROJECT will be implemented as described in the complete application and in this resolution, subject to environmental clearance, and, if approved, for the amount approved by MTC and programmed in the federal TIP; and
- APPLICANT and the PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and
- 6. APPLICANT (for a transit project only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866, revised; and therefore be it further

RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and be it further

RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED that APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC's federal TIP.

PASSED AND ADOPTED by the Santa Clara Valley Transportation Authority Board of Directors on March 2, 2017 by the following vote:

AYES:

NOES:

ABSENT:

Jeannie Bruins, Chairperson Board of Directors

I HEREBY CERTIFY AND ATTEST that the foregoing resolution was duly and regularly introduced, passed and adopted by the vote of the Board of Directors of the Santa Clara Valley Transportation Authority, California, at a meeting of said Board of Directors on the date indicated, as set forth above.

Date:

Elaine Baltao, Board Secretary

APPROVED AS TO FORM:

Robert Fabela, General Counsel



Date:	February 3, 2017
Current Meeting:	March 2, 2017
Board Meeting:	March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors		
THROUGH:	DUGH: General Manager, Nuria I. Fernandez		
FROM:	Interim Director - Planning & Program Development, Carolyn M. Gonot		
SUBJECT:	FTA Section 5310 Formula Grant Program		
Dolian Dolated A	covernment Code Section 94209 Applies: No		

Policy-Related Action: Yes

Government Code Section 84308 Applies: No

Resolution

RECOMMENDATION:

Adopt a resolution authorizing the General Manager to submit and execute grant applications and agreements, certifications, assurances, and other documents as necessary to receive funding from the California Department of Transportation (Caltrans) under the Federal Transit Administration (FTA) Section 5310 Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program.

BACKGROUND:

The FTA Section 5310 Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program provides a mix of capital and operating grants to private nonprofit corporations and public agencies to provide safe, efficient and coordinated transportation services for seniors and individuals with disabilities for whom public transportation is otherwise unavailable, insufficient, or inappropriate. Caltrans is the designated recipient for funds apportioned to the State's large urbanized, small urbanized and rural areas.

Caltrans requires all applicants to submit a resolution approved by their governing body authorizing the submittal of the grant application.

DISCUSSION:

On January 9, 2017, Caltrans released a Call for Projects to social service and public agencies for federal fiscal years 2015, 2016 and 2017 of the FTA Section 5310 Formula Grant Program.

There are two project categories in the FTA Section 5310 Program - Traditional Capital and

Expanded projects. Traditional Capital projects include mobility management, vehicles and other equipment (for example, communications equipment, computer hardware and wheelchair restraints). Expanded projects provide public transportation services that exceed ADA minimum requirements. Expanded projects include improving access to fixed-route service and providing alternatives to public transportation to assist seniors and individuals with disabilities with transportation, including mobility management.

The Metropolitan Transportation Commission (MTC) has estimated the three-year programming target for Traditional Capital and Expanded projects for the San Jose Urbanized Area (UZA) at \$2,900,000.

VTA is applying for \$2,900,000 to support a new fixed route travel training program at the Eastridge Paratransit Facility. The goal of the program is to teach seniors and persons with disabilities the necessary skills to use fixed route service as an option to meet their travel needs. This training will be provided in cooperation with VTA's social service agency partners and other community agencies in response to requests received from persons with disabilities within VTA's service area of Santa Clara County.

This memorandum complies with the requirement that grant recipients adopt a Governing Body Resolution authorizing the submittal and execution of grant applications and agreements, certifications, assurances, and other documents as necessary to obtain the federal grant funds.

ALTERNATIVES:

The Board of Directors could elect not to accept the federal grant and fund the proposed project entirely with local money.

FISCAL IMPACT:

If the grant application is successful, VTA could receive up to \$2,900,000 for the proposed project.

STANDING COMMITTEE DISCUSSION/RECOMMENDATIONS:

The Administration and Finance Committee reviewed this item as part of its consent agenda on January 25, 2017. The Committee recommended Board approval and placed this item on the consent agenda for the February 2, 2017 VTA Board of Directors' regular meeting.

Prepared by: Mike Tasosa Memo No. 5972

RESOLUTION AUTHORIZING THE FEDERAL FUNDING UNDER FTA SECTION 5310 (49 U.S.C. SECTION 5310) WITH CALIFORNIA DEPARTMENT OF TRANSPORTATION

WHEREAS, the U. S. Department of Transportation is authorized to make grants to states through the Federal Transit Administration (FTA) to support capital projects for non-urbanized public transportation systems under Section 5310 of the Federal Transit Act (**FTA C 9070.1G**); and

WHEREAS, the California Department of Transportation (Department) has been designated by the Governor of the State of California to administer Section 5310 grants for transportation projects for seniors and individuals with disabilities; and

WHEREAS, the Santa Clara Valley Transportation Authority (VTA) desires to apply for said financial assistance to permit operation of paratransit service in Santa Clara County; and

WHEREAS, VTA has, to the maximum extent feasible, coordinated with other transportation providers and users in the region (including social service agencies).

NOW, THEREFORE, BE IT RESOLVED AND ORDERED that the Board of Directors of the Santa Clara Valley Transportation Authority does hereby authorize the General Manager or her designated representative, to file and execute applications on behalf of VTA with the Department to aid in the financing of capital projects pursuant to Section 5310 of the Federal Transit Act (**FTA C 9070.1G**), as amended.

That the General Manager or her designated representative is authorized to execute and file all certification of assurances, contracts or agreements or any other document required by the Department.

That the General Manager or her designated representative is authorized to provide additional information as the Department may require in connection with the application for the Section 5310 projects.

That the General Manager or her designated representative is authorized to submit and approve request for reimbursement of funds from the Department for the Section 5310 project(s).

PASSED AND ADOPTED by the Santa Clara Valley Transportation Authority Board of Directors on March 2, 2017 by the following vote:

AYES:

NOES:

ABSENT:

Jeannie Bruins, Chairperson Board of Directors

I HEREBY CERTIFY AND ATTEST that the foregoing resolution was duly and regularly introduced, passed and adopted by the vote of the Board of Directors of the Santa Clara Valley Transportation Authority, California, at a meeting of said Board of Directors on the date indicated, as set forth above.

Date:

Elaine Baltao, Board Secretary

APPROVED AS TO FORM:

Robert Fabela, General Counsel



Date:February 23, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

- **TO:** Santa Clara Valley Transportation Authority Board of Directors
- **FROM:** Auditor General, Bill Eggert
- SUBJECT: Express Lanes Funding and Operations Assessment

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

RECOMMENDATION:

Review and receive the Auditor General's report on the Express Lane Funding and Operations Assessment.

BACKGROUND:

Express Lanes Funding and Operations Assessment is one of the projects contained in the Boardapproved FY 2017 Internal Audit Work Plan. The Auditor General's Office completed this project between August and September 2016 and the attached report is the result of that review.

An express lane (EL) is a highway lane used by carpoolers, motorcyclists, and clean-air vehicles for free and by single-occupancy vehicles through congestion-priced tolls. Approved by the Board in 2008, VTA's Express Lanes program is a key component of the Authority's Congestion Management plan for Santa Clara County. The EL Program totals 67 planned centerline miles, of which four are currently operational, five are in design, and the remaining 58, including US 101 and SR 85, are planned but not funded. In FY 2016, VTA's EL program generated \$1.2 million of toll revenue with an average toll rate of \$2.60.

DISCUSSION:

The objective of this assessment was to obtain an understanding of EL program funding and operations, assess the design and operating effectiveness of relevant controls, and identify both improvement and potential revenue enhancement opportunities.

Based on the work performed, an overall report risk rating of Low was assigned to help

management understand our assessment of the overall design of VTA's Express Lanes Program. This was based on three observation categories, one of which was rated as *Medium* risk and the other two rated as *Low*. Our recommendations addressed the following areas: (1) Express Lanes Program Rollout; (2) Electronic Toll System; (3) Toll Revenue Accounting and Reporting.

Management concurs with most of the risks identified and has committed to implement the recommended mitigation actions. Actions for which management is not in agreement with are addressed and justified in the report, and mostly relate to the limitation of current funding sources. Most recommendations will be completed by the end of December 2017, with a small number completed by the close of June 2019.

Recommendations for improvement or efficiency opportunities contained in this report are presented for the consideration of VTA management, which is responsible for the effective implementation of any action plans.

FISCAL IMPACT:

There is no financial impact associated with acceptance of this report.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Governance & Audit Committee considered this item at its February 2, 2017 meeting as part of its Regular Agenda.

Committee members engaged in a lengthy discussion with Auditor General and VTA staff that included the following areas: 1) funding implications; 2) beneficial impacts of Express Lanes; 3) prioritization of projects; and 4) creative funding, financing and investment opportunities. Chairperson Bruins stressed the importance of understanding of which potential funding sources can be used for Express Lanes and toll roads and which cannot.

The Committee unanimously recommended Board acceptance of this report and that it be placed on the Board's Consent Agenda.

Prepared by: Bill Eggert, Auditor General & Stephen Flynn, Advisory Committee Coordinator Memo No. 5711

ATTACHMENTS:

• A--Express Lanes Funding & Operations Assessment (PDF)

Express Lanes Funding and Operations Assessment

Auditor General Report No. 2016-11

December 2, 2016



EXECUTIVE SUMMARY

Background

An express lane is a highway lane used by carpoolers, motorcyclists, and clean-air vehicles for free and by single-occupancy vehicles through dynamic-pricing tolls. VTA's Express Lanes (EL) program was approved by the Board in 2008 and is a key component of the Authority's Congestion Management plan for Santa Clara County. Background facts and timeline:

- The EL Program totals 67 centerline miles (including US 101, SR 85)
- Initial 4 mile segment of SR 237 opened for tolling in March 2012
- Next 5 mile segment of SR 237 is scheduled for October 2018
- The projected costs are \$600 million for the initial 67 centerline miles and up to \$1.4 billion for the entire program (including SR 17 and SR 87, I-280, I-680 and I-880, and segments of SR 237 and US 101)
- VTA's EL program generated \$1.2 million toll revenue in FY 2016
- Average toll rate was \$2.60 for FY 2016

The Express Lanes Operations and Funding Assessment was contained in the Board-approved FY 2017 Internal Audit Work Plan, and the Auditor General's Office completed this project during August and September 2016.

This review was performed in accordance with the Standards for Consulting Services issued by the American Institute of Certified Public Accountants. The report was prepared for use by VTA's Board of Directors, Governance & Audit Committee, and management. Recommendations for improvement are presented for management's consideration, and management is responsible for the effective implementation of corrective action plans.

Objective and Scope

The objective of this assessment was to:

- Obtain an understanding of EL program funding and operations
- Assess the design and operating effectiveness of relevant controls
- Identify potential process improvement and revenue enhancement opportunities

The detailed scope and risks covered in the assessment are in Appendix C.

 Overall Rating

 Overall Rating

 Overall Rating

 Report Rating

 Number of Observations by Risk Rating

 Express Lanes Funding and Operations
 Low
 0
 1
 2

Overall Summary and Review Highlights

VTA has implemented about four of the 67 planned centerline miles of express lanes. VTA's Board adopted an "incremental" approach in 2013, based primarily on funding availability. State and federal grants and other financing sources have been considered, but there are limited committed funds for future segments. No completion date for the program has been established.

The existing EL have been successful; they have both reduced drivers' travel times and generated revenue to offset operating expenses. However, VTA's incremental approach has limited the potential impact on improved regional congestion management. In order to mitigate the increasing congestion in Santa Clara County, we recommend that the planned implementation of the total EL program be formalized and accelerated, which may require alternative financing sources, such as Public Private Partnerships (P3s), revenue bonds, and/or adjustments to toll rates to generate higher toll revenues.

An overall report rating of Low was assigned to help management understand our assessment of the overall design of VTA's Express Lanes Program. This was based on three observations, as noted above and described in detail, beginning on page 4, and address the following:

- Express Lanes Program Rollout
- Electronic Toll System
- Toll Revenue Accounting and Reporting

We would like to thank those who assisted us throughout this review. Questions should be addressed to Bill Eggert, Auditor General, at <u>Auditor.General@VTA.org</u>.

OBSERVATIONS SUMMARY

Following is a summary of observations noted in the areas reviewed.

Definitions of the observation rating scale are included in Appendix A.

Ratings by Observation			
Observation Title	Rating		
1. EXPRESS LANES PROGRAM ROLLOUT	Medium		
2. ELECTRONIC TOLL SYSTEM (ETS)	Low		
3. TOLL REVENUE ACCOUNTING AND REPORTING	Low		

DETAILED OBSERVATIONS

Ref. # 1	Observation: The Board approved an EL Program	Recommendation: VTA increase its focus on and accelerate the EL	Management's Action Plan
	with 67 planned centerline miles, four of which are currently operational. Most of the related projected costs for future miles have not been funded.	program. Consider larger and less-incremental financing options, including a Public Private Partnerships (P3), to more effectively provide congestion relief.	
Observati	on Rating: Medium		
to the EL p upon phas and costs summarized • St • Bo • SF • SF • 9/2 • SF • 0/2 • SF • 0/2 • SF • 0/2 • SF • 0/2 • SF • 0/2 • SF • 0/2 • 0	as adopted an "incremental" approach brogram, which is entirely dependent se-by-phase funding. Key milestones are included in Appendix B and ed below: aff Study – 9/2003 bard Approves EL Program – 11/2008 bard Approves EL Plan, Costs – 3/2009 R 237 Phase I Operational – 3/2012 R 237 Phase 2 Planned Operation – 2018 R 85/ US 101 – TBD R 87, SR 237 (extension to SR 85), 580, 280 and 880 – TBD ast four years, VTA has opened only 4 centerline miles of express lanes. n continues to increase at a rapid rate, to "California Transportation by the report issued by TRIP, a national tion research group, in August 2016.	 1.1 As the Congestion Management Agency (CMA) for Santa Clara County, VTA must balance transit and highway projects. The EL program is currently a four-year old and relatively small part of VTA's operations and strategic plan. Upon completion of the EL program, VTA would rank among the 25 largest U.S. toll providers, based upon miles, according to IBTTA (International Bridge, Tunnel and Turnpike Association) statistics. To support future growth, we recommend that VTA increase its focus on the EL program, and: a) Establish specific timetables and funding plans. b) Determine the Program size: 67 centerline miles and \$600 million cost as approved by the BOD in Sept 2013, or 172 miles and \$1.4 billion, per VTP 2040. c) Enhance community and municipal outreach efforts to create a regionally acceptable EL plan. 	 1.1 Management Response: a) and b) No specific timetables for the EL program can be established, as EL expansion is dependent on the funding plans and other issues below. In addition, funding plans cannot be established with certainty because there are no current funding sources available to VTA to fund EL projects. b) It is essential to have VTA funds as local contribution to leverage external funding from state, grants and private financing. This is also the case for Public Private Partnerships (P3) options, which require substantial VTA funds to make this option viable. The existing VTA sales tax measures do not designate any funding for EL program. c) Outreach efforts on EL program will be ongoing as individual projects are developed and implemented.
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Express L	Express Lanes (EL) Program Rollout				
Ref. # 1	Observation: The Board approved an EL Program with 67 planned centerline miles, four of which are currently operational. Most of the related projected costs for future miles have not been funded.	Recommendation: VTA increase its focus on and accelerate the EL program. Consider larger and less-incremental financing options, including a Public Private Partnerships (P3), to more effectively provide congestion relief.	Management's Action Plan		
Transporta does not c complete t	"VTP 2040, the Long Range ation Plan for Santa Clara County", contain specific plans or timelines to the EL network, which has the potential congestion relief in the planned	 d) Discuss toll policy and funding alternatives with the Bay Area tolling agencies, including MTC and BAIFA (Bay Area Infrastructure Financing Authority). e) Consider national best practices, including FHWA's "Lessons Learned from the National Evaluation of Congestion Pricing Strategies" report dated 2015. 	 d) We agree. VTA will continue regular on-going discussions with Bay Area and statewide toll operators at several functional levels. Express Lanes policy decisions in Santa Clara County are led by the VTA Board of Directors. e) We agree. VTA staff is actively involved at the national level through participation on Transportation Research Board (TRB) Committees. VTA staff currently co-chairs the TRB Managed Lanes Committee and is on the TRB Congestion Pricing Committee. Responsible Party: Planning and Program Development Division Target Date (a, b, c, d, e): Ongoing 		



Express L	anes (EL) Program Rollout		
Ref. # 1	Observation: The Board approved an EL Program with 67 planned centerline miles, four of which are currently operational. Most of the related projected costs for future miles have not been funded.	Recommendation: VTA increase its focus on and accelerate the EL program. Consider larger and less-incremental financing options, including a Public Private Partnerships (P3), to more effectively provide congestion relief.	<u>Management's Action Plan</u>
 build-out a because lin financing h of the EL F VTA has e express la corridors. Y financing of were offered Funding of STIP (Fund) declini efficien U.S. D Gener VTA h awards FAST Transp applica funding Transp 	xisting legislative authority to operate nes in the SR 237 and SR 85/US 101 VTP 2040 describes Capital Plan options, but no new revenue solutions ed. otions assessed by VTA include: State Transportation Improvement – No new money for 2016, due to ng gas prices and increasing fuel ncy. OT TIGER (Transportation Investment ating Economic Recovery) grants – as applied for but not received any	 1.2. We recommend that VTA continue to evaluate and pursue both traditional and innovative funding solutions to significantly accelerate implementation of the EL program and provide congestion relief. We also recommend that VTA: a) Continue to consider utilizing Public Private Partnerships (P3), supported by bond financing or other public "equity" sources. A private company could provide the capital to build and operate the ELs, under a long-term lease, and the ownership of the facility would remain public. Although the provisions of SBX2 4 that contain statutory authority for P3 transportation projects were set to expire on January 1, 2017, VTA could coordinate with other California agencies to support other or new legislative action to allow P3s. Various risk scenarios should be evaluated. For example, the Illinois Department of Transportation for a "Design-Build-Finance-Operate-Maintain" (DBFOM) model for an 	 1.2 Management Response: a) We agree. Bond financing is a viable option. Staff has developed an RFP to be issued in mid-December 2016 to solicit banks to propose toll secured financing structures that would fund construction, any additional contingency, required reserves and capitalized interest, for the Express Lanes Phase 2 project on SR 237. Proposals will be due in mid-January, with any recommendation provided to the Board in the February/March committee/Board cycle. After researching and analyzing various financing/ funding alternatives including P3s, staff has concluded that P3s are not a viable option at the present time. VTA's managed lanes projects currently lack significant amounts of one-time funding or any long-term funding other than tolls. They also lack many of the key characteristics that the managed lane P3s that have been completed in the United States have. Due to these issues as well as loss of rate setting control and public policy concerns, we believe that any use of P3s must be carefully and fully analyzed to determine whether the benefits of earlier delivery will offset these and other negative considerations. In addition to independently researching and analyzing various financing/funding alternatives including P3s, VTA has had extensive discussions with several leading



Expre	ss Lanes (EL) Program Rollout		
Ref. #	1 Observation: The Board approved an EL Program with 67 planned centerline miles, four of which are currently operational. Most of the related projected costs for future miles have not been funded. inimum \$50 million direct loan or loan	Recommendation: VTA increase its focus on and accelerate the EL program. Consider larger and less-incremental financing options, including a Public Private Partnerships (P3), to more effectively provide congestion relief.	Management's Action Plan
gu • Tơ ∨ ⁻ • 20 • Dơ • Sá	arantee. oll revenue bonds – never been issued by rA. 16 Measure B – no specified EL funding. eveloper fees from cities – sporadic source. ales tax for highways – does not exist, nce existing sales tax is restricted to transit.	 most risk to the private partner. Agencies can structure the deal to manage toll rate policy and increases as much as desired. b) Consider coordinating with FHWA's Center for Innovative Finance Support, which assists with cost estimating, financial planning, and project financing options for major projects (over \$500 million). c) Continue to pursue TIGER, FAST, and other federal grants that support highway projects and EL funding. 	 managed lane financing/funding options. b) and c) We agree. VTA will continue to pursue TIGER or other federal grants, if deemed appropriate by VTA staff, based on individual project eligibility and competitiveness. VTA has applied for TIGER funding for portions of the EL program six times, at considerable expense. During the most recent debrief with US DOT staff, VTA was clearly told that the project's funding plan was inadequate, and that the project would not be considered until non-TIGER funds were clearly identified and secured. VTA staff will not re-submit the project until this has occurred. VTA did not apply for any FAST funding, as the project was ineligible in the first round due to a combination of project scale and inability to meet US DOT's project delivery timeline. Responsible Party: Budget & Finance Division Target Date (a, b, c): March 31, 2017



Express L	anes (EL) Program Rollout		
Ref. # 1	Observation: The Board approved an EL Program with 67 planned centerline miles, four of which are currently operational. Most of the related projected costs for future miles have not been funded.	Recommendation: VTA increase its focus on and accelerate the EL program. Consider larger and less-incremental financing options, including a Public Private Partnerships (P3), to more effectively provide congestion relief.	Management's Action Plan
revenue fo \$2.60. Curr sufficient to ratios on an VTA is curr evaluate tra	EL program generated \$1.2 million toll r FY 2016. The average toll rate was rent toll revenues do not appear to be o meet typical debt service coverage ny potential revenue bonds. rently conducting a Fare Study to ansit fares; however, the study does toll operations on Express Lanes.	1.3 We recommend that VTA continue to assess the inputs (e.g. toll minimum and maximum) used in the Dynamic Pricing Algorithm that affect toll rates to ensure revenue is optimized while still achieving the EL program's primary goal of congestion management. In addition, as the EL program expands, VTA should consider conducting toll rate studies to formally evaluate the efficacy of toll rates. Traffic and Revenue consultant reports indicate that tolls are relatively price inelastic, which could allow additional toll rate increases. This, in turn, would better support bond financings or P3 deals.	 1.3 Management Response We agree. Assessing the inputs to the algorithm is an on-going process. We agree that tolls are relatively price inelastic, which could allow for maximizing revenue through toll rate increases. However, it is important for VTA to consider public reaction to increased toll rates as well. In addition, while trying to generate revenues to reinvest into roadway and public transit improvements, VTA uses dynamic toll rates as a tool for addressing traffic congestion and maximizing person throughput. VTA has increased the maximum toll rates three times since beginning toll operations in March 2012 from \$4 to \$7 now. Increasing the toll rate allows VTA to keep the system open to toll paying customers as much as possible while also using the toll rate to influence demand to use the lanes. The primary reason for the reduction in toll paying customers is due to the operational business rules to maintain an average speed of 45 mph in the corridor in accordance with the Federal requirement. In addition, clean air vehicles with special decals do not have to pay toll per state mandate and their usage has been increasing. Responsible Party: Planning and Program Development Division Target Date: Ongoing

RSM

Express L	anes (EL) Program Rollout		
Ref. # 1	Observation: The Board approved an EL Program with 67 planned centerline miles, four of which are currently operational. Most of the related projected costs for future miles have not been funded.	Recommendation: VTA increase its focus on and accelerate the EL program. Consider larger and less-incremental financing options, including a Public Private Partnerships (P3), to more effectively provide congestion relief.	Management's Action Plan
Caltrans a procure a Caltrans a the followi • "VTA o prepare estima contra contra 101, d	will ensure that the engineering firm ring the plans, specifications and ate will not be employed by or under ct to the PROJECT construction ctor". (para 61 of Agreement for US ated 08/10/2011) not have a formal process to monitor e with this requirement relating to	 1.4 For the purposes of collaboration on transit projects, VTA has executed numerous cooperative agreements with Caltrans and subsequent contracts with multiple contractors and subcontractors. We recommend that VTA clarify with Caltrans: a) Whether contractors may serve the overall Program (not individual projects) in different capacities, such as project development, design or construction phases. b) Whether subcontractors are subject to the same terms as the prime contractor. c) How the Agreements apply over multiple project phases and years. d) In addition, we recommend that VTA develop a process or control, such as a matrix or other monitoring tool, to ensure compliance with Caltrans' various contract provisions. 	 1.4 Management Response: a), b) and c) VTA will clarify these issues with Caltrans. d) We agree. VTA contracting must adhere to VTA, state (Public Contract Code, construction standards/Caltrans) and federal (FTA, FAR) guidelines. As such, VTA will revise future bid solicitations to include additional clauses that require the following: Contractors recognize potential conflicts of interests as defined by FAR 9.505-2 Contractors provide in writing a representation that all employees, agents and subcontractors involved in the performance of the contract have been informed of the provisions of this clause Responsible Party: Procurement & Contracting Unit and Planning and Program Development Division Target Date (a, b, c, d): 03/30/2017



Electronic	: Toll System (ETS)		
Ref. # 2Observation:The ETS is a critical system for the EL Program. It is primarily managed by a contractor and the Planning and Program Development Division (PPD)		Recommendation: Define and document the role of VTA's Technology Department in the go-live and ongoing maintenance of the ETS system.	<u>Management's Action Plan</u>
	on Rating: Low	24 The ETS was classified by \sqrt{T}	2.4 Management Response
TransCore TransCore part of the system that Tracks Validat transpo Calcula Algorit Manag Produc and re PPD Divisi the selectio and engag oversight. involved, b owner of th Detailed D provide an	s and records vehicle activity tes and transmits drivers' FasTrak onder information ates tolls using a Dynamic Pricing hm ges EL message boards ces real-time dashboards, traffic images	 2.1 The ETS was classified by VTA's Technology Department as a low-risk system, as part of its enterprise-wide assessment of criticality. While the current ETS system upgrade is reported to be on schedule, we recommend that VTA's Technology Department be more involved and have documented responsibility for the final review of the ETS system and DDD prior to go-live. Management should evaluate the disaster recovery (DR) and backup plan for the ETS system and either require: VTA's Technology Department to define requirements and manage internally, including development and testing, or Define specific vendor requirements by including relevant Service Level Agreements into the vendor's contract. As the EL program grows, the Technology Department and PPD should jointly assess the best model for ongoing support and oversight of this program-critical application to reduce risk and the reliance on external third parties. 	 2.1 Management Response We agree and have included requirements for disaster recovery (DR) and a back up plan for the ETS in the recently issued toll system RFP. We believe that PPD is the correct functional unit within VTA to undertake the selection of the SI based on PPD's experience delivering highway projects and operating ETS. We agree that the VTA Technology Department will continue to provide technical expertise on IT and telecommunications matters supporting the design, implementation and operations of Express Lanes. In particular, the Technology Department will ensure that the Detailed Design Documents (DDD) specify that the Express Lanes systems will be kept separate from the VTA entity-wide network. The Technology Department will continue to be an active participant in the development of design requirements for the toll data center hardware, network architecture, CCTV subsystem and communications. Responsible Parties: Planning and Program Development Division Target Date: June 2017 (for RFP evaluation)

10



Electronic	Electronic Toll System (ETS)					
Ref. # 2	Observation: The ETS is a critical system for the EL Program. It is primarily managed by a contractor and the Planning and Program Development Division (PPD)	Recommendation: Define and document the role of VTA's Technology Department in the go-live and ongoing maintenance of the ETS system.	Management's Action Plan			
server resi communic transmits o There have	ogram has a dedicated and secured iding in VTA's data center, utilizes a ations tower at VTA's Cerone Yard, and data on VTA-owned fiber. e been no tests of the back-up or apabilities of the ETS system.					
 2.2 Risks may exist in the ETS system structure and related data transmissions. For example, drivers' transponder data is encrypted and then transmitted to the Tolling Data Center (TDC) via a wireless system. In addition, there are multiple data transmission points involving outside parties, such as the Bay Area Toll Authority (BATA), the California Highway Patrol (CHP), and Caltrans. The TDC resides at VTA but is operated and managed primarily by TransCore. VTA has not tested the potential threats from disruption of operations or intentional attacks or penetration attempts of this key ETS system. 		 2.2. We recommend that: a) VTA Technology Department and PPD Division collaborate with TransCore during Phase 2 to design appropriate controls and procedures to mitigate single points of failure and access through outside parties' portals. b) VTA should consider penetration testing to assess potential intruders' access to the ETS system or require the SI vendor to perform such tests. 	 2.2 Management Response a) We agree. VTA just released an RFP for the next phase of the Express Lane system, which includes a more robust fault tolerant design and system failover. The current SR 237 express lane design has a built-in single point of failure capability by buffering data at the reader level. Once the failure has been corrected, the back end system picks up the stored data without losing information or disrupting traffic. b) We agree. VTA will collaborate with the system provider, TransCore, around intrusion risks. We may require the provider to perform penetration testing if the team deems that testing is necessary. Responsible Parties: VTA's Technology and PPD staff (who are leading the development and implementation of Express Lanes) Target Date (a, b): January 2019 (prior to go live date) 			



Electronic	: Toll System (ETS)		
Ref. # 2 2.3 Trans(Observation: The ETS is a critical system for the EL Program. It is primarily managed by a contractor and the Planning and Program Development Division (PPD) Core is providing System Integrator (SI)	Recommendation:Define and document the role of VTA'sTechnology Department in the go-live and ongoing maintenance of the ETS system.2.3 We recommend that VTA management	Management's Action Plan 2.3 Management Response
services for responsible live. VTA has n Controls (S if there are adversely a financial re by TransCore statement controls re including s	ot requested any Service Organization SOC) reports from TransCore to identify any potential conditions that could affect VTA's internal control over eporting. SOC reports would be prepared ore's external auditors to test assertions (SOC 1) or TransCore's lated to compliance or operations, recurity, availability, processing integrity, ality, and/or privacy (SOC 2).	require SOC 1 and/or SOC 2 reports from TransCore and develop an internal process to review the results on an annual basis. By implementing a regular review, VTA can ensure adequate understanding of TransCore's internal controls, including potential risks VTA may face as a result of relevant controls testing.	 We agree. VTA will require TransCore to provide SOC 2 reports to assess any potential operational and/or availability risks to VTA. This request will be undertaken as part of the Phase 2 Express Lanes project since there is an associated cost to VTA to acquire this report which is better supported by the Phase 2 project. We will continue to obtain SOC 1 reports from MTC, related to financial settlement services provided by Bay Area Toll Authority. Responsible Party: Planning and Program Development Division Target Date: June 2019 (6 months after Phase 2 Express Lanes project go-live).

6.9.a

Toll Rev	oll Revenue Accounting and Reporting					
Ref. # 3	Observation: FY 2016 revenue amounts in VTA's financial statements were different than those in the published Express Lanes Annual Report. Also, inventory valued at \$73,000 was not tracked or tested.	Recommendation: We recommend that VTA assess its reporting and accounting processes for Express Lane assets and revenues, in anticipation of future EL program growth.	<u>Management's Action Plan</u>			
Observa	tion Rating: Low					
revenues separate statemen VTA publ Report" fo public. Th revenue i Estimated documen statemen	accounts for its Express Lanes operating s, expenses, assets, and liabilities in a enterprise fund. The FY 2016 draft financial its reflect annual toll revenue of \$1,274,000. lished the "SR 237 Express Lanes Annual or FY 2016 for release to the Board and he report has a variety of traffic, toll and information. It stated FY 2016 Total d Revenue of \$1,249,885. While the source its were the same, VTA's financial its reported an immaterial \$24,115 more than the EL Annual Report.	3.1 Toll Revenues should be clearly identified in Operational reports and Financial reports. While these reports are not yet relied upon by investors or bondholders, we recommend that the EL "Annual Report" contain a note or disclaimer related to the different natures of the reported revenues.	 3.1 Management Response We agree. VTA will clearly title the SR 237 Express Lanes Annual Report as an "operational report" to separate it from financial reports. The Annual Report will also include a disclaimer. It will be similar to the language relating to financial and investor decisions on our web portal, as follows: www.vta.org/About-Us/Financial-and-Investor-Information Responsible Party: Planning and Program Development Division Target Date: September 30, 2017 (to be implemented in FY 17 operational report). 			
equipmen zone con and CCT reported line Mana by the ET are stored counted of	s Express Lanes operations requires various nt and devices, such as overhead scanners, trollers, vehicle detectors, message signs, V camera systems. These assets are at a value of \$72,946 on a Maintenance On- agement System (MOMS) report produced TS (Electronic Toll System). However, they d at a TransCore site, are not regularly or observed by VTA, and are not reported TA's financial statements.	3.2 Assess any future EL inventory or capital equipment to determine how it should be reported on VTA's financial statements, either in a capital projects fund or in Fund 5000. The PPD should track and monitor and assets by performing inventory observations and periodic counts, as well as assessing inventory for obsolescence.	 3.2 Management Response We agree. VTA will perform inventory observations and periodic counts, as well as assessing inventory for obsolescence. VTA has a fixed asset capitalization policy that covers capital asset acquisitions. Responsible Party: Planning and Program Development Division Target Date: June 30, 2017 			



APPENDIX A—RATING DEFINITIONS

	Observation Risk Rating Definitions		Report Rating Definitions
Rating	Definition	Rating	Explanation
Low	Process improvements exist but are not an immediate priority for VTA. Taking advantage of these opportunities would be considered best practice for VTA.	Low	Adequate internal controls are in place and operating effectively. Few, if any, improvements in the internal control structure are required. Observation should be limited to only low risk observations identified or moderate observations which are not pervasive in nature.
Medium	Process improvement opportunities exist to help VTA meet or improve its goals, meet or improve its internal control structure, and further protect its brand or public perception. This opportunity should be considered in the near term.	Medium	 Certain internal controls are either: Not in place or are not operating effectively, which in the aggregate, represent a significant lack of control in one or more of the areas within the scope of the review. Several moderate control weaknesses in one process, or a combination of high and moderate weaknesses which collectively are not pervasive.
High	Significant process improvement opportunities exist to help VTA meet or improve its goals, meet or improve its internal control structure, and further protect its brand or public perception presents. This opportunity should be addressed immediately.	High	 Fundamental internal controls are not in place or operating effectively for substantial areas within the scope of the review. Systemic business risks exist which have the potential to create situations that could significantly impact the control environment. Significant/several control weaknesses (breakdown) in the overall control environment in part of the business or the process being reviewed. Significant non-compliance with laws and regulations. High risk observations which are pervasive in nature.

APPENDIX B — EXPRESS LANE PROGRAM, COSTS AND DATES (UNAUDITED INFORMATION PROVIDED BY MANAGEMENT)

Phase	Center- line Miles	Cost per BOD Approval of Plan (2013) (\$ millions)	Cost per VTP 2040 Long Range Plan (\$ millions)	Committed Sales Tax Funding** (\$ millions)	Committed Grant Funding*** (\$ millions)	City Contributions	Actual Cost Estimate To Date	Estimated Completion Date
Program Study and Start								09/2003
Board Approval of EL Program								12/11/2008
Board Approval of EL Implemen- tation Plan and Initial Cost								3/7/2013
SR 237 (Phase 1)	4			\$0	\$12	\$0	\$12	3/2012
SR 237 (Phase 2)	5	\$15	\$20	\$0	\$11	\$3	\$34	10/2018
SR 85 (Phases 3 and 4)	24	\$170	\$181	\$0	\$10	\$0	\$181	TBD
US 101 (Phase 4)	34	\$400	\$465	\$0	\$17	\$0	\$465	TBD
Subtotal	67	\$585	\$666	\$0	\$50	\$3	\$692	
I-680	20		\$91	\$0	\$0	\$0	\$91	TBD
I-280	36		\$97	\$0	\$0	\$0	\$97	TBD
I-880	22		\$209	\$0	\$0	\$0	\$209	TBD
SR 17	9		\$30	\$0	\$0	\$0	\$30	TBD
SR 87	18		\$35	\$0	\$0	\$0	\$35	TBD
SR 237 (Mathilda Avenue to SR 85)	3		\$81	\$0	\$0	\$0	\$81	TBD
US 101 (SR 25 to Cochrane Road)	26		\$225	\$0	\$0	\$0	\$225	TBD
Total *	201		\$1,434	\$0	\$50	\$3	\$1,460	

* TOTAL DOES NOT INCLUDE SR 152 TOLL ROAD.

** INCLUDES FUNDS FROM ALL TAX MEASURES (1996 MEASURE A+B, 2000 MEASURE A). *** INCLUDES FUNDS FROM FEDERAL HIGHWAY ADMINISTRATION, VTA LOCAL PROGRAM RESERVE (LPR) FUND, AND OTHER SOURCES.

6.9.a

APPENDIX C — SCOPE, WORK PLAN AND BACKGROUND

FIELDWORK DATES:

August 5, 2016 to September 22, 2016

WORK STEPS AND DOCUMENTS

Examine the processes and controls in place around Express Lane operations, future expansion, and congestion management efforts. The following steps were taken to complete our analysis and deliver a report with recommendations:

- Kickoff meeting and preliminary documentation review
- · Walkthroughs and interviews of Express Lane processes with key personnel
- Documentation of processes and controls
- Testing of key controls
- Identification of recommendations and opportunities for improvement

KEY RISK AREAS

Our review focused on the following risk areas:

- Toll revenue recognition and reconciliation
- Contract and/or grant compliance
- Budgeting controls
- Public perception
- Future expansion and jurisdictional coordination
- Fare modeling, pricing, and ridership
- System security and Information Technology
- Financing



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Date:February 3, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

- TO: Santa Clara Valley Transportation Authority Board of Directors
- FROM: Auditor General, Bill Eggert
- **SUBJECT:** Report on Follow-Up on the Investment Program Controls Internal Audits Performed During FY 2013 & FY 2015

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

RECOMMENDATION:

Review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Investment Program Controls Internal Audits performed during Fiscal Years 2013 and 2015.

BACKGROUND:

VTA's Auditor General's Office is responsible for conducting the projects specified in the Board-approved Internal Audit Work Plan. It is also responsible for determining the implementation status, adequacy and timeliness of corrective actions that VTA management committed to implement on reported observations and recommendations contained in these reviews.

The Auditor General's Office previously completed an Investment Program Controls Internal Audit, one each during Fiscal Years 2013 and 2015. These audits are performed biennially as required by the Board-adopted Investment policy. The primary objective of these reviews are to assess whether reasonable safeguards are in place to minimize VTA's exposure to unreasonable financial loss or reputational damage as a result of its investment program. To achieve this objective, we evaluated the effectiveness of the design and operation of the 13 investment controls in operation, including identifying potential opportunities for process and control improvements.

Based on the work performed, an overall *Low* level of potential opportunity for process improvement was issued, based on six identified areas of potential process improvement, all of which were judged as *Low* potential. VTA management agreed with all Auditor General's Office recommendations. It committed to implement all recommendations by the end of May 2015.

Recommendations of opportunities for improvement contained in those reports were presented by the Auditor General for consideration by the VTA Board of Directors, Governance & Audit Committee and management, which are solely responsible for the effective implementation of any recommendation.

DISCUSSION:

In November 2016, the Auditor General's Office completed its follow-up process to assess if the management action plans specified in both Investment Program Controls Internal Audits had been completed. The results of this follow-up, as well as a summary of the findings, recommendations and VTA management responses from the subject reports, are included on Attachment A.

Based on the evidence submitted by VTA, we have confirmed that the recommendations have been successfully implemented

FISCAL IMPACT:

There is no financial impact associated with acceptance of this report.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Governance & Audit Committee considered this item at its February 2, 2017 meeting as part of its Consent Agenda. The committee, unanimously and without comment, recommended Board acceptance of this item and placement on the Board's Consent Agenda.

Prepared by: Bill Eggert, Auditor General and Stephen Flynn, Audit Committee Coordinator Memo No. 5975

ATTACHMENTS:

• A--Followup on Investment Program Controls IA FY13 & FY15 (PDF)

VTA Auditor General's Office

Follow-up Report: of the Investment Program Controls Internal Audit

January 10, 2017

Report year	#	Observation	Recommendation	Management Response	Recommendation Implementation Status
(FY15)		Investment Control Modifications During review and testing of investment controls, it was identified that VTA reviews the SSAE 16 report for both the Custodial Agent and the Investment Manager. However, the review of the Investment Manager's SSAE 16 report was not a documented control activity.	Convert the existing duplicate control of SSAE 16 report review from the Custodial Agent to the Investment Manager to ensure documented controls cover all Investment process service organizations and their controls.	VTA concurs. VTA will update the controls as recommended. Responsible Party: Investment Program Management Target Date: May 31, 2015	Auditor General's Office: Status: Complete VTA management has updated their review process and risk matrix to formally document review of the Investment Manager's SSAE 16 report. This review is documented in control TECO-3.
(FY15)		Investment Control Modifications During control testing, we noted that the SSAE 16 reports were unnecessarily reviewed by both the Investment Programs Manager and Fiscal Resources Manager, though the control requires review by only one manager. In addition, the review did not cover all control objectives covered in the SSAE 16 reports.	Revise existing controls to require only one level of review of the SSAE 16 report that includes all control objectives. Revising the control will optimize VTA resources, while adequately reviewing the service organization's controls.	VTA concurs. VTA will update the controls as recommended. Responsible Party: Investment Program Management Target Date: May 31, 2015	Auditor General's Office: Status: Complete VTA management has updated their review process and risk matrix to require only one of the Investment Programs Manager or the Fiscal Resources Manager to review SSAE 16 reports. This is documented in controls TECO-3 and TECO-6.
(FY15)		Investment Control Modifications During control testing, we noted that investment journal entries require a secondary review, though such journal entry controls generally only require one level of review.	investment journal entries. The revision would	VTA concurs. VTA will update the controls as recommended. Responsible Party: Investment Program Management Target Date: May 31, 2015	Auditor General's Office: Status: Complete VTA management has updated their review process and risk matrix to require only the Investment Program Manager's review of journal entries. This is documented in control TECO-13.
(FY15)		Investment Control Modifications We identified a control activity that was documented and tested in two separate key controls.	Reclassify the duplicate controls as non-key and remove it from further testing during the audit of key controls. Doing so would eliminate control redundancies and result in time savings for VTA process owners without compromising the control portfolio	VTA concurs. TECO-4 will be removed from the investment key control listings. Responsible Party: Investment Program Management Target Date: May 31, 2015	Auditor General's Office: Status: Complete VTA management has updated their review process and risk matrix to remove TECO-4 from the list of investment key controls.
(FY13)		Investment Control The key control identified as TECO4 – Accountant prepares journal entries for deposits and withdrawals should not be classified as a key control. Preparation of journal entries is a process rather than a control. The control over the journal entries, which is the actual review, is included in the control TECO13.	save VTA staff time each month, and since the	VTA Management agrees. VTA will reclassify TECO4 as a non-key control and remove it from further testing during the audit of key controls. This will be accomplished by the end of September 2013	Auditor General's Office: Status: Complete VTA management has updated their review process and risk matrix to remove TECO-4 from the list of investment key controls.



Date:February 3, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

- **TO:** Santa Clara Valley Transportation Authority Board of Directors
- **FROM:** Auditor General, Bill Eggert

SUBJECT: Report on Follow-Up on the Timekeeping and Payroll Review

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

RECOMMENDATION:

Review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Timekeeping and Payroll Process Review.

BACKGROUND:

VTA's Auditor General's Office is responsible for conducting the projects specified in the Board-approved Internal Audit Work Plan. It is also responsible for determining the implementation status, adequacy and timeliness of corrective actions that VTA management committed to implement on reported observations and recommendations contained in these projects.

In February 2015, the Auditor General's Office completed the Timekeeping and Payroll Process Review. The primary objective of this review was to obtain an understanding of VTA's key timekeeping and payroll processes, to assess the design and operating effectiveness of internal controls to ensure proper payment to employees, and identify opportunities for control and process improvements.

Based on the work performed, an overall *Medium* level of potential opportunity for process improvement was issued, based on six identified areas of potential process improvement: one judged as *High* potential, four as *Medium* and one as *Low*.

VTA management agreed with all Auditor General's Office recommendations. It committed to implement all recommendations by the end of December 2015.

6.11

Recommendations of opportunities for improvement contained in that report were presented by the Auditor General for consideration by the VTA Board of Directors, Governance & Audit Committee and management, which are solely responsible for the effective implementation of any recommendation.

DISCUSSION:

In September and October 2016, the Auditor General's Office completed its follow-up process to assess if the management action plans specified in the Timekeeping & Payroll Process Review had been completed. The results of this follow-up, as well as a summary of the findings, recommendations and VTA management responses from the subject report, are included on Attachment A.

Based on the evidence submitted by VTA, we have confirmed that the recommendations have been successfully implemented.

FISCAL IMPACT:

There is no financial impact associated with acceptance of this report.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Governance & Audit Committee considered this item at its February 2, 2017 meeting as part of its Consent Agenda. The committee, unanimously and without comment, recommended Board acceptance of this item and placement on the Board's Consent Agenda.

Prepared by: Bill Eggert, Auditor General and Stephen Flynn, Audit Committee Coordinator Memo No. 5712

ATTACHMENTS:

• A--Followup on TimeKeeping and Payroll Review (PDF)

VTA Auditor General's Office

Follow-up Report: Timekeeping and Payroll Process Review Auditor General Report

Januarv	10, 2017	
Junuary	10, 201/	

		January 10, 2017	
# Observation	Recommendation	Management Response	Recommendation Implementation Status
1 <u>SAP Governance, Risk, and Compliance</u> (GRC) Process SAP Governance, Risk, and Compliance (GRC) rule sets are not reviewed by management to ensure effective segregation of duties analysis.	The current GRC tool rule sets are not regularly nor systematically reviewed by management for applicability to VTA. We recommend VTA management, across all key business processes, review the existing GRC rule sets and update as necessary to appropriately align with business risks.	 VTA concurs. SAP GRC ruleset will be reviewed and updated. VTA plans to undertake a comprehensive review of the GRC tool rule sets to ensure adequate risk mitigation as well as applicability to VTA, and compatibility with VTA processes and procedures. Responsible Party: VTA Technology and Finance Departments Target Date: 12/31/2015 	Auditor General's Office: Status: Complete VTA management has reviewed the GRC system and made updates to the GRC process, including management review and approval of conflicts. At the time of review, mitigation efforts for existing segregation of duties conflicts were underway and not independently verified by the Auditor General. Due to process revisions, the Auditor General deems that management response as complete.
2 <u>Time Recording, Approval, and Entry</u> Time recording, approval, and entry process is manual and non-standard throughout VTA.	 We were made aware that VTA is currently testing automated time entry applications at the time of review. We encourage implementation of an automated timekeeping system and workflow to enhance process efficiencies by: Standardizing time entry and approval process Automating workflow and approval process Eliminating paper records and archival files Reduction of manual errors at various process stages 	 VTA concurs. An automated timekeeping application has been developed and is currently being tested in the Technology and Payroll Departments. Management plans to roll it out enterprise-wide within the next quarter in a phased manner. Responsible Party: VTA Technology and Finance Departments Target Date: 6/30/2015 	Auditor General's Office: Status: Complete As of the date of the follow up review, VTA had implemented an automated timekeeping application. The Office of the Auditor General observed the use of the automated system, eTime, and deemed the management response as complete.
3.1 Process Ownership and Standards for <u>Timekeeping Information and Training</u> No centralized process owner and standards for timekeeping information and training.	 Because of the complexity of timecard exception pay codes VTA employees, supervisors, and timekeepers frequently have questions on processing timecards. We recommend VTA identify a centralized expert-level function, often referred to as a "center of competence," that would be responsible for the communication of timekeeping information throughout VTA. Centralized process ownership facilitates: Ease of access to information Standard implementation of processes Consistent communication of information Clearly defined roles and responsibilities 	VTA concurs. Management will clarify that Payroll is the primary owner of the timekeeping process, and that Human Resources (HR) is responsible for various personnel actions which affect timekeeping. These HR activities include updating personnel systems to reflect new hires, pay rate changes, promotions, transfers, and separations. The two departments will develop and deploy documentation and training to users in VTA. Responsible Party: Payroll and Human Resources Target Date: 9/30/2015	Auditor General's Office: Status: Complete The Office of the Auditor General verified VTA management's completion of the recommendation by inspecting revised Timekeeping and Payroll process documentation that was provided as part of employee Payroll training. In addition, we verified that the process documentation consists of clearly defined roles and responsibilities.
3.2 Process Ownership and Standards for <u>Timekeeping Information and Training</u> No centralized process owner and standards for timekeeping information and training.	In addition, we recommend VTA identify best practices for timekeeping and develop standard training for employees, timekeepers, and supervisors. Training should include, but not be limited to: a standard breakdown sheet of pay codes and examples for each union; FAQs and common mistakes; training for collective bargaining agreement (CBA) revisions that affect pay codes; refresher courses, etc. Implementation of standard training would facilitate the following: - Consistent implementation of pay codes - Reduction of manual re-work by timekeepers and payroll department - Increased accuracy of data inputs and remuneration	 VTA concurs. The timekeeping function is affected by Human Resources functions. Adequate internal control is maintained by segregation of duties within the two functions. Each function owner will develop and deploy training to users in a coordinated and integrated manner. Responsible Party: Payroll and Human Resources Target Date: 9/30/2015 	Auditor General's Office: Status: Complete VTA management provided the majority of employees training on the new eTime procedures, and a taped training is uploaded and available as an on-demand module on "The Hub", VTA's intranet.
4 Process and Procedure Documentation Documentation provided during review to support processes and procedures was limited or out of date.	 We recommend that documentation be developed or updated for key processes and procedures. Developing adequate documentation can support: Standardized process execution, yielding process efficiencies Clear identification of roles and responsibilities Defining of baseline metrics that can be used to monitor and measure process performance Employee accountability to defined standards We recommend primarily focusing on: Standard time recording and timekeeping procedures Process documentation for Employee Set Up and change processes in SAP, including procedures, as appropriate Updated Payroll Process documentation and development of procedures for key tasks 	VTA concurs. The documentation prepared to address Recommendations 3.1 and 3.2 will ensure alignment with the current state. Responsible Party: Payroll and Human Resources Target Date: 9/30/2015	Auditor General's Office: Status: Complete We have reviewed the process documentation provided by management and determined the process documentation supports process efficiencies, identification of roles and responsibilities, metrics, and procedures. VTA management also discussed the responsibility of division timekeepers to keep employees accountable for compliance with payroll processes.

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#	# Observation	Recommendation	Management Response	Recommendation Implementation Status
	Record Retention plan pertaining to timekeeping/payroll processes not adhered to across organization and many key documents are only stored as hard copy.	retention requirement and that ownership of timecard documentation is defined. Implementation of an automated timekeeping system should resolve this issue, but archival documents should be stored appropriately. We recommend consideration of offsite storage for records management (i.e. Iron Mountain) to reduce risk of loss and support compliance with VTA policy.	 VTA concurs. VTA Technology, working with the General Counsel's Office, will continue to review its records retention policies. Electronic solutions will be emphasized where appropriate. Training to relevant staff on new and revised policies will be administered by VTA's Organizational Development and Training (OD&T) Office. Ongoing guidance and support will be provided by VTA's Records Management Administrator in the Technology Department. Responsible Party: VTA Technology Department, Office of the General Counsel, and OD&T Target Date: 9/30/2015 	Auditor General's Office: Status: Complete g AG verified that VTA's electronic timekeeping system (eTime) has been fully deployed in support of VTA's non-ATU staff. OD&T delivered full classroom training to staff prior to each Business Area rollout. Training materials in both written and A/V form are accessible via VTA's intranet site (the Hub) within OD&T's Training Aids website. eTime records are managed per VTA's Records Retention Schedule. eTime's business owner is Disbursements Manager. Human Resources is responsible for FMLA, WOOC, and Lead/Training Pay modules of the eTime system. A formal document retention policy has been implemented and is available through the VTA intranet site. AG verified that paper forms required to be kept from date of employment separation plus six years are being kept and maintained by individual departments. These files will not be scanned and will be destroyed as appropriate. Since implementation of eTime, timekeeping records have been kept electronically.
	Documentation Record Retention plan pertaining to timekeeping/payroll processes not adhered to	the Audit Committee in September 2014), we recommend HR review record retention practices and identify critical documents to be stored electronically to reduce reliance on manual/paper processes and ensure compliance with VTA retention policies.	digitize appropriate documents and establish schedules for maintenance and destruction of all documents. Responsible Party: VTA Technology Department, Office of the General Counsel, and Human Resources Target Date: 9/30/2015	Status: Complete
	Paychecks VTA currently processes live, hard copy payroll paychecks for a significant portion of employees.	for payroll, we recommend management evaluate alternatives to live payroll paychecks that are in compliance with all applicable laws and regulations. Implementation of an automated solution, such as employer-sponsored payroll cards, that aligns with the existing direct deposit payroll process could result in the following:	direct deposit, VTA will continue to work with employee bargaining units to increase this metric. HR will work with employee bargaining units to improve the rate of participation. In addition, HR, as part of new employee "on boarding," will encourage participation by discussing the advantages to both the employee and VTA. Responsible Party: Human Resources	Auditor General's Office: Status: Complete The Auditor General has verified the completion of management's response with the following actions: • Inclusion of direct deposit form as part of "new hire packet" prior to the start date • Completion of the direct deposit form is emphasized to employees on their start of date if they arrive without it • Implementation a 1-week follow-up for direct deposit forms that are not received on the start date • Use of a flyer that outlines benefits of direct deposit in conjunction with the direct deposit form into the envelope with the employee's paycheck



Date:February 24, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Chief Financial Officer, Raj Srinath
SUBJECT:	Audit Dashboard Follow Up: Audit Recommendations Issued by the Office of the Auditor General As of December 31, 2016

FOR INFORMATION ONLY

BACKGROUND:

The Office of the Auditor-General has issued recommendations to strengthen compliance, improve internal control, and promote operational effectiveness and efficiency. In May 2016, VTA Internal Audit Program was established to follow up and report on the status of open audit recommendations and corrective action plans. The purpose of the audit dashboard report is to provide a status summary of implementation of recommendations. This is a control mechanism established by management to track and provide reasonable assurance that appropriate and prompt action is provided by management in support of implementing the recommendations.

DISCUSSION:

The implementation status was based on compilation of information and documentary evidence from various departments. VTA's audit program staff met with the Auditor General staff and discussed status of open items as well as closing items that are outside VTA's control. As of December 31, 2016, the total number of recommendations is 143. Of this total, 49 (or 34%) are not yet due for implementation and of these 49, 37 are not due for implementation until June 2018. The status of implementation of the remaining 94 recommendations is summarized by area of responsibility as follows:

	Fully Imple mente d	Substantially Imple mented	Not Implemented	
Audit Area	Corrective actions are complete; no further actions necessary in support of the recommendation.	Major actions are complete; critical elements of the recommendation have been implemented.	Only minor actions in support of the recommendation have been performed; major actions have yet to be implemented.	Total
Human Resources & Diversity Programs	1			1
Information Technology	9			9
Procurement and Contracts	8	1		9
ATU Pension Bd	3	1		4
Engineering & Transp Infra Development	14		1	15
Finance & Budget	14			14
General Manager	1			1
Operations	14			14
Paratransit	10			10
Grants/Planning & Programming Dev	2			2
Public Relations - Community Outreach	4			4
System& Safety	11			11
Totals	91	2	1	94
Percentage	97%	2%	1%	

Status of Recommendations Due for Implementation by Area of Responsibility As of December 31, 2016

Status of Implementation As of December 31, 2016

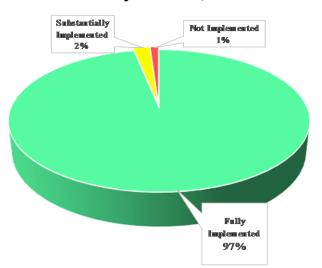


Exhibit A provides the detail of the 16 recommendations which were considered fully implemented during the period November 1 to December 31, 2016. Of the 16 fully implemented recommendations, VTA considers four of these closed due to inability to achieve desired outcome during the last bargaining negotiations with the ATU. The next round of negotiations is expected to be equally difficult. Ten recommendations were implemented. The recommendation for VTA to contractually pursue the elimination of advance payments to Outreach is considered closed as Outreach is no longer providing paratransit services and advance payments will not be part of the agreement with the succeeding vendor. The recommendation for the VTA to evaluate the costs and benefits of a community policing station is closed. VTA Board has approved an

agreement with the County of Santa Clara and Allied Universal for security services.

Exhibit B provides the detail of the two substantially completed recommendations and the one not yet implemented. Of the two substantially completed, one pertains to the recommendation on the utilization of the SAP pension module or similar application to streamline manual process and simplify workflow. This is expected to be completed by June 2017. The other substantially implemented recommendation involves the use of SAP procurement and contracts module, which is expected to be completed by April 2017. The one recommendation not implemented relates to VTA's effort to obtain written assurance from the City of Milpitas of its commitments under the Measure A agreement. Although VTA received \$3.6 million out of the \$17 million commitment in December 2016, no written assurance on the remaining outstanding amount has been received. VTA Internal Audit Program will continue to follow up on these recommendations until they are fully implemented.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Governance & Audit Committee considered this item on February 2, 2017. The Committee unanimously recommended that the item be forwarded to the VTA Board of Directors.

Prepared By: Grace S. Ragni, Fiscal Resources Manager Memo No. 5977

During the Period November 1 to December 31, 2016

Audit Report	Governance & Audit Committee review date	Risk Rating: High, Medium or Low	Recommendation	Response by Department	Original Target Date of Implementation	Revised Date of Implementation	N Free In Su	ov 1 to De	ec 31, 20	the Period 016 To Not Implemented Substantially Implemented Fully	Specific Responsible Individual	Actions Taken To Date	Other Comments
Operatio	ons					L	Ir	nplemented		Implemented			
Operator Scheduling Assessment	05/07/15		Schedulers currently have difficulty in creating efficient schedules and routes with the modified cafeteria approach. While it would take considerable effort to change existing work rules, including agreement from the ATU, we recommend that VTA conduct a cost-benefit analysis of implementing regular rostering scheduling. Rostering would allow VTA to create pre-packaged schedules, including assigned days off while allowing operators to select packages, as preferred. This could completely remove the group relief packages and result in budget and administrative savings without unduly burdening the operators and relieving constraints on	Moving from the current modified cafeteria style bidding to regular rostering would be a significant cultural and operational change to the VTA workforce. This would likely require agreement with the ATU and modifications to VTA's scheduling and workforce management software (Trapeze FX and OPS). VTA staff and Trapeze would likely need to run some computerized test scenarios to determine the cost savings of such an approach. This effort could be complicated and time consuming. This change would need to be negotiated with ATU. This will be addressed during the current negotiations with ATU on a new collective bargaining agreement. The other related		Dependent upon successful negotiation in the next CBA which is anticipated in Sept 2018					Chief Operating Officer	As of 12/7/16, VTA attempted to negotiate this item in the most recent CBA, but was unsuccessful. An agreement from the AG's Office has been obtained to close this recommendation.	Recent negotiations with ATU did not include changing our bidding to a rostering approach. This would be a significant organizational change that would need to be negotiated and union leadership has indicated that they do not support this change at all. It would be beneficial to have a cost benefit analysis performed. However, group relief rostering is being implemented in July, 2016, which enables this part of the bidding process to move from a manual to an automated process, which is more efficient and saves staff time. Current operator work rules governed by union agreements inhibit bidding & scheduling efficiency.
			schedulers and office supervisor supports	factors will also be evaluated.									VTA's current modified cafeteria style allows flexibility for operators to select their divisions, routes, work hours & days off. However, this comes at a cost to the operating budget & creates a multi-step bidding process.
Operator Scheduling Assessment	05/07/15	_	We recommend that VTA use the same cost- benefit analysis above and explore the possibility of removing the union restriction on straight runs. This would provide a more efficient solution for scheduling.		06/30/15	Dependent upon successful negotiation in the next CBA which is anticipated in Sept 2018			(•	Chief Operating Officer	Update on 12/7/16, VTA attempted to negotiate this item in the most recent CBA, but was unsuccessful. An agreement from the AG's Office has been obtained to close this recommendation.	VTA was not able to achieve through the CBA. Current operator work rules governed by union agreements inhibit bidding & scheduling efficiency. Scheduling efficiency of operator runs for a given day by limiting the amount of operators that work both peak periods and paying overtime for these runs.
Operator Scheduling Assessment	05/07/15		lowering the bidding frequency would result in administrative efficiencies and cost savings related to schedule preparation and bidding. We recommend that VTA proposes to change the	VTA management agrees that the recommendation to reduce the frequency of schedule bids from quarterly to three times per year would be more efficient. Again, this would need to be addressed in the collective bargaining agreement with ATU. To make this recommendation most effective, management recommends that the labor agreement be modified to have more flexibility as to when the date of the sign up is effective to adjust for service changes, school schedules and other impacts.		Dependent upon successful negotiation in the next CBA which is anticipated in Sept 2018			•	•	Chief Operating Officer	As of 12/7/16, VTA attempted to negotiate this item in the most recent CBA, but was unsuccessful. An agreement from the AG's Office has been obtained to close this recommendation.	This was not addressed in the last round of ATU contract negotiations. There should be internal discussion on the pros/cons of implementation. If the analysis proved beneficial, then VTA would take its findings to the next round of ATU negotiations. Current operator work rules governed by union agreements inhibit bidding & scheduling efficiency. It was found that the process of creating the group relief packages is heavily manual and time-intensive.
Operator Scheduling Assessment	05/07/15		may have ability to perform this function in a Web-based format. We recommend investigating	Management agrees with the recommendation. The implementation of web bidding requires ATU participation and extensive changes to administrative procedures and processes. This will be addressed during the current negotiations with ATU on a new collective bargaining agreement.	08/31/15	Dependent upon successful negotiation in the next CBA which is anticipated in Sept 2018			(Deputy Director of Transit Operations	As of 12/7/16, VTA attempted to negotiate this item in the most recent CBA, but was unsuccessful. An agreement from the AG's Office has been obtained to close this recommendation.	VTA was not able to achieve this through negotiations in the new CBA. VTA will try to negotiate this recommendation into the new CBA effective 9/1/2018. As of 12/7/16, VTA attempted to negotiate this item in the most recent CBA, but was unsuccessful. An agreement from the AG's Office has been obtained to close this recommendation.

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Audit Report	Governance & Audit Committee review date 05/07/15		5	Response by Department VTA management agrees and will investigate other operating personnel deployment strategies (use of	Original Target Date of Implementation 07/30/15	Revised Date of Implementation 9/1/18	0 0	Implemented Substantially Implemented Fully	Specific Responsible Individual	Actions Taken To Date As of 12/7/16, VTA has entered into agreement with Levi's Stadium management	Other Comments The events placed stress on operating & supervision staff that is not sustainable, especially as events are
Assessment			Events is unsustainable long-term and have recently hired several people to address this. Still, we recommend that VTA evaluate alternative staffing and operation strategies, including the use of part-time operators, possibly creating a new category of operators that can work on bus and rail, and options to augment existing services provided by VTA.	part time operators, dual bus/rail operators, etc.) to sustain event operations while continuing to provide effective day to day service. Many potential changes would need union agreement or change in current operating practices, which will be addressed during the current negotiations with ATU on a new collective bargaining agreement.					Operations	to help minimize operational losses and implemented Express Rail Service as part of operational strategy. VTA coniders this item closed.	added at Levi's Stadium & Avaya Stadium opens in 2015.
Operator Scheduling Assessment	05/07/15		variety of functions, but does not duplicate reports previously available. We recommend establishing a process to create special reports to duplicate previous reports, especially in regards to time worked/not worked.	Management agrees with the recommendation. This process has been in place since the June 2014 Trapeze OPS deployment. Development of internal reports is on-going. Report developer staff will continue to reach out to users for reporting requirements. In addition, VTA will engage Trapeze to conduct database structure training for VTA staff. Viewpoint, a business and reporting intelligence tool for OPS, is currently in design review with a target implementation of August 2015. This business intelligence tool will provide another layer of reporting solution for Trapeze OPS.	08/31/15	12/31/16	•		Manager of Operations, Analysis, Systems and Reporting	As of 12/9/2016, a list of user sign-offs were provided for the list of customizations developed for VTA.	Trapeze OPS requires additional modules, additional training and reporting functionality.
Procure	ment an	d Contra	icts								
Procurement & Contracting Process Assessment	05/01/14	MEDIUM	We recommend Legal and CAMM Management consider developing a series of standardized contract templates, if not already developed for simple and routine contracts. Legal should write the template to ensure proper terms and conditions are included. Both CAMM and legal would work on a new set of requirements that a contract must meet before it is sent to legal for	Management concurs. To implement this recommendation, staff will take the following steps: (1) Work with the VTA General Counsel's Office to develop a process that allows a one-time review of frequently used standard contract documents. Once the standard is approved by Counsel, no further review will be needed if the item does not contain any changes from the standard contract. This step will be completed by August 2014.	08/31/14	07/01/17			Manager of Procurement, Contracts & Matls,	Boilerplates have been developed. Enhancements to the boilerplate are reflected on as needed basis.	AG report in April 2016 disclosed that this is not fully completed. This recommendation was to improve the turn around time of contracts by establishing standard templates. However, as a precaution, Legal still reviews all contracts. This is an ongoing process and small improvements continue to be made. Legal becomes the bottleneck holding up the process on routine items. Several contract forms or templates are currently being used thus requiring several levels of review.

Date	Other Comments
red into m management	The events placed stress on operating & supervision staff that is not sustainable, especially as events are
losses and ervice as part of oniders this	added at Levi's Stadium & Avaya Stadium opens in 2015.
er sign-offs	Trapeze OPS requires additional modules, additional
customizations	training and reporting functionality.

							0	0	ring the Period				
								Nov 1 to Dec 3	51, 2016 To				
Audit Report	Governance & Audit Committee review date	Risk Rating: High, Medium	Recommendation	Response by Department	Original Target Date of Implementation			Not Implemented	Not Implemented	Specific Responsible	Actions Taken To Date	Other Comments	
		or Low				Implementation	$\overline{}$	Substantially 🔵	Substantially	Individual			
								Implemented Fully	Implemented Fully				
Procurement & Contracting Process Assessment	05/01/14	LOW	with VTA's General Manager and other members of executive management to develop a succession plan for key CAMM purchasing and contracts- related positions that covers the next 3-5 years.	Management concurs with this recommendation. To implement, staff will take the following steps: (1) VTA is currently developing a formal, agency- wide Succession Planning program that will meet the needs of CAMM; (2) In the short term, an important consideration is the implementation of cross-training opportunities for staff where feasible, enabling employees to increase their knowledge and skill levels to become proficient in all disciplines within CAMM. This will also allow employees to take on greater responsibilities and ensure that quality service is provided at all levels. These steps will be completed by the end of calendar 2014.	12/31/14	07/01/17		Implemented		Manager of Procurement, Contracts & Matls,	As of December 14, 2016, Director of Communications had reached out to Muni and AC in support of creating working groups. Other agencies had shown interest and the first working group is anticipated to occur in March 2017.	AG status report as of April 2016 disclosed that CAMM is dependent upon VTA succession plan that is currently in development. Once rolled out, CAMM will proceed according to plan. Procurement Manager also indicated that Succession Plan is a long-term effort. However, PCMM has developed a training matrix and continues to provide training opportunities as time and budget allow. Based on an email from A. Lara on 5/17/16, there are several staff in PCMM (formerly CAMM) attending courses toward their professional certification. PCMM will perform more formal action after the succession plan framework from HR is firmed up. - Lack of adequate succession planning can lead to less than adequate change management during times of anticipated or unanticipated employee turnover. - Inadequate change management can cause inconsistencies in the application of policies and procedures, and additional delays in end-to-end procurement turnaround times.	
Procurement & Contracting Process Assessment	05/01/14	MEDIUM	recommend that Management re-evaluate and determine the purpose and function of the contracts and purchasing functions within CAMM. With this, management should: (1) Decide if the CAMM group is a true service department that supports VTA customers, find efficiencies and cost savings while ensuring VTA compliance, or are they just "gate-keepers" with complete control over this process; (2) Clearly communicate and train all appropriate VTA personnel on the roles and responsibilities so all have a good understanding of the requirements, timeframes, communication channels and expectations in order to simplify the process; and (3) Include tracking and reporting of metrics, (timeframes, budget vs. actual dollars used, renegotiation, etc.)	Management concurs. To implement this recommendation, staff will take the following steps: • CAMM will obtain needed assistance from VTA's Organizational Development and Training staff to provide guidance, instruction and training to CAMM staff to ensure they understand the service nature of the procurement process and provide the proper level of assistance to CAMM internal customers. • With the assistance of internal customer departments, staff will develop a training plan that will communicate and train all appropriate VTA personnel on the roles and responsibilities of both CAMM and the user departments so that there is a clear understanding of the requirements, timeframes, communication channels and expectations in order to simplify the procurement process. • Expand the use of e-procurement where possible to expedite the procurement process. • As a part of the implementation of the SAP procurement and contracting modules, staff will develop tracking and reporting metrics that provide meaningful information to VTA management and staff. These steps will be completed by the end of October 2014.	10/31/14	04/28/17					As of 12/6/2016 - Procurement, Contracting and Materials Management (PCMM) has developed and conducted regular training sessions on roles and responsibilities affecting procurement. PCMM has also reported KPIs on a quarterly basis.	 Roles and responsibilities are not clearly defined Documentation may not be processed or completed in a timely manner, may be provided twice, or not be provided at all Process requirements/forms are not clearly explained, understood or used consistently Lack of communication or miscommunication 	

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							Nov 1 to I	s During the Period Dec 31, 2016		
	Governance & Audit	Risk Rating:			Original Target Date	Revised Date of	From No	To t A Not	Specific	
Audit Report	Committee review date	High, Medium or Low	Recommendation	Response by Department	of Implementation	Implementation	Implemented	<u> </u>	Responsible Individual	Actions Taken To Da
							Implemented Fully	I Implemented		
Procurement & Contracting Process Assessment	05/01/14		and evaluate from the customer's perspective existing policies and procedure to either combine existing documents or replace the current procedures with the CAMM desktop procedures (or something similar) which describe the process and how to comply with the process. This will be especially important if the process is automated	Procedures with internal customer departments to update, simplify and make them more user-friendly; and (2) With assistance of outside resources, develop short, easy-to-use "user guides" to clearly describe how to submit required documents and how to use SAP functionality. These steps will be completed by the end of calendar 2014.	12/31/14	7/1/17		<u>I Implemented</u>		User's Guide completed.
System S Public Safety Process Assessment	Safety &		VTA should evaluate the costs and benefits of a community policing station by assessing best	VTA management concurs with the recommendation. VTA will evaluate benefits of a community policing station by assessing best practice security approaches used at other BART stations.	06/30/16	07/31/18	•	•	Program Manager of Protective Services and Captain of Transit Patrol	As of 12/7/16, this item will be one new contract with Sheriff was ap October 2016 and new contract Barton will be presented and app the Board in December 2016.
Paratransit Operation Assessment	sit 12/14/15		amounts and lack of visibility to specific expense and revenue elements for ADA paratransit services, we recommend VTA to contractually pursue the elimination of advance payments.	VTA management agrees with the recommendations to eliminate or simplify advance payments and to streamline the invoicing process. Modification of the existing advance payment provision will require amendment of the VTA/Outreach contract.	03/31/16	7/1/17	•		Operating Officer with the assistance of both General Counsel's Office and Contracts and	Since July 4, 2016, VTA is able VPN access to the Trapeze pass and able to run reports to valida Comments made in Nov 2016: By July 2017, VTA will have a r for Paratransit Services which w supporting documents of service payment. There is no advance pa provision in the RFP.

Date	Other Comments
	Lack of clearly stated procedures & inadequate training on said procedures can cause CAMM customers to submit inaccurate or incomplete data, thereby delaying their procurement or contracting requests.
be closed as s approved in cct with Allied approved by	Community Policing stations are somewhat unique to transit systems but not unique to general law enforcement. The BART SV Extension service will create additional safety and security complexity that should be managed through an assessment of best practice security approaches used at other BART stations and coded in the O&M Companion Agreement being developed.
ble to obtain ass software idate invoices. 5: a new contract n will require rice for payment	Invoices submitted to VTA are insufficiently supported as required by the contract. Additionally, Outreach's paratransit services invoicing process is unnecessarily complex because of VTA's advance payments, resulting in increased risk of inaccurate invoice amounts.

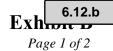
							Progress Changes During the Nov 1 to Dec 31, 2016 From To			, 2016		
Audit Report	Governance & Audit	Risk Rating: High, Medium	Recommendation	Response by Department	Original Target Date	Revised Date of		Not		Not	Specific Responsible	Actions Taken To Dat
Autor Report	Committee review date	or Low	Recommendation	Response by Department	of Implementation	Implementation	F	Implemented Substantially		Implemented Substantially	Individual	fictions function for Du
							$\overline{}$	Implemented		Implemented		
								Fully Implemented	\bigcirc	Fully Implemented		
			ity Outreach				-		-			
Alum Rock Bus Rapid Transit (BRT) Project Delay Assessment	05/05/16	none specified	 Perform short, concentrated project framing workshop to ensure staff-level consensus and consensus with the City Ensure that consensus with the City and its partners are established on all issues prior to going out for bid Ensure that the Policy Advisory Board and standing Board subcommittee has consistent and recurring input on the project Create working groups with other transit agencies/DOT's performing BRT projects. 	VTA management agrees: -Staff will conduct focused meetings with project stakeholders to ensure consensus and achieve written accord. This will be done on a project-by- project basis based on the specific parameters and challenges of each project. -Staff will contact other agencies/cities/DOT's to determine their interest in building a network for the exchange of information and sharing Best Management Practices on BRT projects. -The recently implemented Pre-Construction Requisition Review process will ensure that all open issues with stakeholders are addressed prior to approving the contract for advertising. -PAB meetings will be scheduled starting from early in the project lifecycle until the project is in construction, with regular project updates. VTA management suggests that PAB and standing Board committees will be advised and informed on project progress during construction. Semiannual reports, action items (such as contract award, agreements, etc.) and major decisions will be taken to the appropriate standing Board committee.		9/30/16		•		•	Director of Communications	As of December 14, 2016, Direct Communications had reached ou and AC in support of creating we groups. Other agencies had show and the first working group is ant occur in March 2017.
Informat	ion Techn	ology			1							
Records and Information Management Assessment Report	2/2/2012	None Specified	VTA should develop and execute a Change Management/Training Communications (CTC) Plan to help deliver specific content on records retention and disposition, legal hold, readiness, email management and other related policies and procedures.	Concur. Staff is the process of developing a comprehensive organization-wide Record Information Management Program to develop and execute a Change Management/Training Communications Plan. The Record management Policy, Retention schedule, and required budget request will go to the Administrative & Finance Committee in the next few month, and staff will provide a progress report at the May Audit Committee meeting.	no specified date of implementation	12/31/17		•		•	Information Technology/ Finance	Original record retention project: implemented. Next generation ef ongoing relating to record destru- training of individual department



Date	Other Comments
irector of d out to Muni g working hown interest s anticipated to	
ject: fully n effort is struction, and nents.	Overall, the assessment determined that VTA does not currently have a comprehensive, organization-wide RIM Program, and as a result, the organization could be at risk including potential noncompliance with certain legal and/or regulatory obligations. Additionally, there is cost and other risks associated with processes, practices, or activities that are not executed efficiently.

Audit Report Grants	Governance & Audit Committee review date	Risk Rating: High, Medium or Low	Recommendation	Response by Department	Original Target Date of Implementation	Revised Date of Implementation	ss Changes I Nov 1 to De From Not Implemented Substantially Implemented Fully Implemented	To Not Implemented Substantially Implemented	Specific Responsible Individual	Actions Taken To Date	Other Comments
Grants Management & Compliance Assessment	05/05/16		The Programming & Grants Department is of vital importance to the VTA. The funding they receive is vital to VTA operations. Because of this, we recommend Programming & Grants develop policies and procedures that cover their various processes. Doing so would help both maintain useful training material for new employees and other VTA employees who work closely with that department.	VTA management concurs with the recommendation. Programming and Grants staff will be developing policies and procedures to document its processes.	12/31/16		T DUE FOR MENTATIO N		Director of Planning & Prog Dev; Manager of Prog & Grants	Various policies and procedures are now in Sharepointe.	The Programming & Grants Department does not have formally documented policies and procedures for their various workflows Therefore other departments may not fully understand the processes or timing of the grants.
Engineeri BART SV Interagency Agreement Assessment	<u>ng and Ti</u> 11/06/14	LOW	and provide current actual costs to date. Additionally, cost accruals should be maintained	t VTA management agrees with the Auditor General's recommendation. Since MCI utility relocations have been difficult to coordinate due to their extensive presence throughout the SVBX Project corridor, VTA management, in coordination with VTA legal counsel, in September 2014 established specific work processes that will regulate the work of MCI and VTA's contractors on site. This should result in bringing MCI's billings up to date and in line with VTA's agreements with MCI. In the meantime, VTA staff continues to track the anticipated costs of MCI relocation work by monitoring the estimated costs of the specific work requested, and by monitoring the on-site activities conducted by MCI.		12/31/16	•		Director of Engr & Transp Infra Dev (BART Silicon Valley)	now complete, and VTA is expecting a final	Additional costs could be incurred by MCI where VTA is unaware. Invoice delays increase the risk of variances in the actual versus estimated completion costs and as the resulting effort needed to resolve any discrepancies.

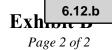
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Audit Recommendations that Have Not Been Fully Implemented

As of December 31, 2016

Audit Report	Governance & Audit Committee review date	Risk Rating: High, Medium or Low	Recommendation	Response by Department	Original Target Date of Implementation	Revised Date of Implementation	Progress to Date Not Implemented Substantially Implemented Fully Implemented		Actions Taken To Date	Other Comments
ATU Pension Plan Compliance Audit	nsion _{8/28/14}	HIGH	Management to explore fully implementing and using the SAP Pension module or similar application that fully integrates with SAP. Utilizing the SAP system to its fullest capabilities would streamline the manual processes, automate controls, reduce paperwork and simplify workflow. This would also allow all documents to be located electronically in one place and easily accessed, searched, tracked and reported upon. Additionally, if VTA management elects to implement the SAP Pension module, relevant training should be provided to all users to help maximize system usability, employee satisfaction with the new process and return on investment.	VTA management concurs with the recommendation. VTA will immediately begin evaluation to determine the business needs of the VTA/ATU Pension Plan administration process. Following completion of an SAP enhancement (Pack 6) scheduled for completion by December 2014 and depending on the results of the business needs evaluation, VTA will implement either SAP functionality or another available technology solution, whichever best meets the business needs. Although a firm date cannot be determined at this time, implementation of the technology solution is estimated for early 2015.	03/31/15	03/31/17			While VTA has fully implemented the digitization of Pension Records to a backed-up, secure share file - IT is in the design phase of automating employee records, including Pension Records, in Sharepoint which is scheduled to be deployed by 3/31/17. As of 12/7/2016, the status of the stages of work is: Stage 1 - Employee Personnel file (Jan to March 2017). Stage 2 - Retirement file (April to June 2017)	 Critical Pension Plan documents are stored onsite with no backup of key data and/or documents. Documents may be misplaced or damaged, and confidential retiree personally identifiable information (PII) may be more easily compromised. Due to current SAP limitations, necessary Pension Plan information may not be captured accurately or timely (i.e. contingent annuitant information).
Procurement & Contracting Process Assessment	nent & Co 05/01/14	<u>U</u>	Process Assessment We strongly recommend Management explore fully implementing and using the SAP procurement and contracts module. This would allow all documents to be online and easily accessible, tracked and reported upon, which would help remediate current communication gaps. Utilizing the system to its full capabilities would streamline the process, reduce paperwork, allow for online signatures/approvals, simplify workflow and reduce procurement turnaround time.	Management concurs. To implement this recommendation, staff will take the following steps: (1) Identify functions within the SAP procurement and contracting modules that have not been implemented, yet are necessary to completely automate the date tracking and reporting functionality; (2) In support of this, staff has initiated development of the prototype workflow process and status reporting functionality in SAP. The first reports using this process will be produced by the close of April 2014; and (3) Initiate the process to procure the services of a third-party contractor to expedite the automation of the procurement and contracting process. Staff will report on the timeline for full implementation at the next (August 28, 2014) Audit Committee meeting.	Workflow process: 4/28/2014 Report on timeline for full implement- action: 8/28/14	04/28/17		Contracts & Matls,	Substantially completed with on-going process improvements (based on AG report). Because of the large undertaking involved with this recommendation, the PCMM group divided this into short and long term goals. To date, PCMM has made substantial progress with the short term items. The long-term item can be classified as ongoing process improvement. As of 9/23/2016 - VTA decided that additional features and functionality be included to the procurement solution. There are also improvements to the integration between SAP, K2 interactive forms, and Sharepointe to allow for a system that better supports the business processes. The new projected roll out date is: April 28, 2017. As of 12/6/2016 - Bulk of rec has been implemented except for the simplification of the workflow. SAP, Sharepointe is completed; design of K2 (forms and workflow) is ongoing. Anticipated completion: will attempt to complete by April 28, 2017. This anticipated completion date was also confirmed by CIO.	 The process is, at times, prohibitively delayed, jeopardizing critical deadlines. Project documents are in several places & not organized; documents may be misplaced or lost. Buyer/Status of project is unknown, or not readily available. No formal reporting of metrics; limited or no capability to quickly gather needed data.



Audit Recommendations that Have Not Been Fully Implemented

As of December 31, 2016

Audit Report		Risk Rating: High, Medium or Low	Recommendation	Response by Department	Original Target Date of Implementation	Revised Date of Implementation	Progress to Date Not Implemented Substantially Implemented Fully Implemented	Responsible for Implementation	Actions Taken To Date	Other Comments
Enginee	ring and	Transp	ortation Infrastructure De	evelopment						
BART SV Interagency Agreement Assessment	11/06/14		5	VTA agrees. VTA and the City of Milpitas management are coordinating resolution of this issue and are developing the pertinent clarifications regarding the City's commitments under an amendment to the Master Agreement. Although a firm deadline cannot be established due to the complexity of this issue and because the two parties still need to reach an amended agreement and obtain City Council approval, VTA has already initiated the process of obtaining written assurances and clarifications from the City of Milpitas and anticipates the process will be completed by the end of February 2015.	02/28/15	Dependent on city's collaborative effort	•	Director of Engr & Transp Infra Dev (BART Silicon Valley)	coordinate the pertinent clarifications regarding the City's commitments under an amendment to the Master Agreement. On July 15, 2015, VTA proposed amended terms for payment based on the discussions at July 1 Meeting. (Reference document P0728-C640- LTR-000001) Although VTA and City staff continue to meet and coordinate project implementation matters, VTA has	



Date:February 22, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Engr & Transp Infra Dev, Dennis Ratcliffe Interim Director - Planning & Program Development, Carolyn M. Gonot
SUBJECT:	VTP Highway Program Semi-Annual Report Ending October 31, 2016

FOR INFORMATION ONLY

Please find attached the Semi-Annual Report for the VTP Highway Program for the period ending October 31, 2016. Highlights for this reporting period include the following accomplishments:

- The I-280 corridor study started in January 2016. Public meetings in City of San Jose and City of Cupertino were held in September 2016. Final report is expected by mid-2017.
- Request for Proposal (RFP) for planning and conceptual design services for Tasman Corridor Complete Streets Study was issued in June 2016. Contract was awarded to Kimley Horn and Associates in October 2016. Work is expected to start in December 2016.
- RFP for planning and conceptual design services for Bascom Corridor Complete Streets Study was issued in June 2016. Contract was awarded to MIG, Inc. in October 2016. Work started in November 2016.
- RFP from design consultants for the I-280/Winchester Boulevard Improvements project was issued in December 2015. Contract was executed in July 2016. Project Approval and Environmental Document phase is in progress.
- The Project Initiation Document (PID) phase for the Mathilda Avenue Improvements at SR 237 and US 101 project was completed in February 2015. Project Approval and Environmental Document (PA/ED) began in early 2015 and is targeted for completion by early 2017.
- Contract to complete PID phase for the US101/Zanker Rd/ Skyport Dr/ N 4th St Interchange was awarded to AECOM. Work on the PID phase started in spring 2016 and is planned for completion in early 2017.

- RFP for the I-680 Soundwalls project was issued in February 2016 for the Project Approval/Environmental (PA/ED) phase. Contract was awarded to BKF Engineers and work on the PA/ED phase started in September 2016 and is planned for completion by mid-2017.
- Contract to complete PID phase for the I-280/Wolfe Rd Interchange Improvement Project was awarded to HMH Engineers. Work started in June 2016 and is expected to be completed by mid-2017.
- Design for landscaping at I-280/I-880/Steven Creek Blvd project started in September 2015 and is expected to be completed by December 2016. Construction contract will be advertised in spring 2017.
- Environmental process for the Pedestrian Connection at Eastridge Transit Center was completed in June 2015. Project was redesigned after coordination with City of San Jose's trail project. Construction contract will be advertised for bids in early 2017 pending approval of construction funding by Caltrans.
- Project Approval & Environmental Document (PA/ED) for SR 85 Express Lanes and US 101 Express Lanes were completed in April 2015 and July 2015 respectively. Design services contract for the Silicon Valley Express Lanes Program Phases 3 and 4 Project was awarded to HNTB Corporation. Design for Phase 3 is currently ongoing. RFP for the System Integrator was issued in October 2016 and is expected to be awarded by mid-2017.
- ETS design development and civil design for the SR 237 Express Lanes Phase 2 project is currently ongoing and will be completed by early 2017. Construction is dependent on funding.

ADVISORY COMMITTEE DISCUSSION/RECOMMENDATION:

This item was received as part of the Consent Agenda at the Citizens Advisory Committee (CAC), Technical Advisory Committee (TAC), and Policy Advisory Committee (PAC) meetings and was forwarded without discussion.

STANDING COMMITTEE DISCUSSION

The Congestion Management Program and Planning Committee (CMPP) heard this item at their February 16, 2017 meeting under their regular agenda and approved moving this item forward.

Prepared By: Suja Prasad, Sr. Cost & Schedule Coordinator Memo No. 5773

VTP Highway Program

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Semi-Annual Report October 2016

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SECTION 1

EXECUTIVE SUMMARY

SECTION 1 – EXECUTIVE SUMMARY

A. BACKGROUND

The VTP Highway Program includes projects from the currently approved long range countywide transportation plan, Valley Transportation Plan 2040 (VTP), for Santa Clara County. The VTP feeds projects into the Regional Transportation Plan (RTP), and projects must be included in the RTP as a prerequisite for eligibility to receive Federal, State, regional and local discretionary fund programming. One hundred percent of VTP Highway Program expenditures are funded by grants (Federal, State, regional or local) or other local funding. No VTA Transit funds are used for these projects.

B. EXECUTIVE SUMMARY

The Valley Transportation Plan (VTP) Highway Program consists of potentially over \$1 billion of highway improvement projects in various phases from conceptual study to construction. The projects are located throughout Santa Clara County (and adjoining areas) and seek to improve key elements of the highway transportation system, utilizing a variety of funding sources.

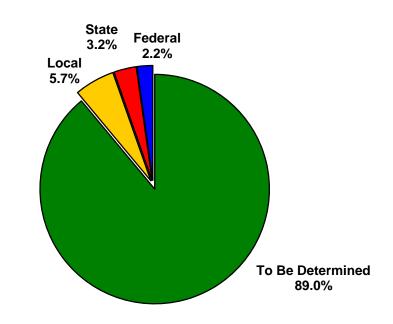
Funding is a key issue for many of the highway projects. VTA, as the congestion management agency (CMA) for Santa Clara County, assembles funding from a variety of sources as needed in order to advance each project through its various phases to completion. As a consequence, in this report there are references to several terms associated with a project's funding level. These terms, arranged in order of increasing certainty of funding availability, are as follows:

- Estimated Cost An estimate of the total cost of a project given the currently known scope and configuration of the project. For early stage projects, this estimate may be based on very conceptual information and, therefore, has associated with it a high level of uncertainty and a correspondingly low level of accuracy. In the individual project information sheets, we have included the "Estimate Class" in order to give an idea of the level of uncertainty associated with the estimated cost. A more detailed discussion of this topic is included in the appendix.
- 2. <u>Identified Funding</u> –Funding identified as being ultimately available from project funding agencies to complete the work, as of the writing of this report. Depending on the stage of the project, the identified funding may be less than the estimated cost of a project. In such cases, we use the term "To Be Determined" (TBD) funding to describe the difference between the estimated cost and identified funding.
- 3. <u>Appropriation</u> The most recent Adopted Budget includes appropriations, based on an estimate of expenditures during fiscal years 2014 and 2015, for various VTP Highway Program projects. Since these projects can run beyond FY15, the appropriation amount is only a time-constrained slice of total estimated expenditures.
- 4. <u>Secured Funding</u> Funding that has been committed by funding agencies and is now available to VTA for project expenditures. In many cases, secured funding is at a lower level than the appropriation in the Adopted Budget. For these projects, it is anticipated that additional funding may be secured during the FY16/17 period. It is important to note that, regardless of the level of appropriation, actual expenditures will not exceed secured funding at any time.

Figure 1.1 shows the total estimated cost of all projects contained in this report, broken down by the currently identified funding sources.

Figure 1.1

VTP Highway Program Identified Funding Sources



Note the large proportion of funding shown in Figure 1.1 that is designated as "To Be Determined." Clearly, significant sources of federal, state, and/or local funding will be required to complete many of these projects. VTA's strategy continues to be to advance a number of projects through the early (and relatively low-cost) stages of project development so that they will be ready to take advantage of funding that may become available in the future.

Figure 1.2, on the next page, shows the projects categorized by phase of development, and shows what portion of the estimated cost has been identified for each project.

Figure 1.2

lumber	Project Name	Portion of Estimated Cost For Funding Has Been Identifie	
	Conceptual Study Projects*	0 50%	100%
P-0570	El Camino Real/SR 85/237/Middlefield		
P-0653	I-680 - Corridor Studies		
P-0912	I-280 - Corridor Studies		
P-0903	Noise Reduction Program on SR85		
P-0864	Innovation Transportation Technology Program		
P-0919	Bicycle Safety Educat./Promotional Act.		
P-0978	Countywide Bicycle Plan Update		
P-0865	Intelligent Transportation System Project		
P-0920	Local PDA Planning- Santa Clara		
P-0921	Story - Keyes Corridor Complete Streets Study		
P-0980	Tasman Corridor Complete Streets Study		
P-0981	Bascom Corridor Complete Streets Study		
	Environmental/Preliminary Engineering		
P-0749	Freeway Performance Initiative		
P-0617	SR 152 Trade Corridor		
P-0606	US 101 Widening - Monterey Road to SR 129		
P-0565	US 101 De La Cruz Boulevard/Trimble Road		
P-0720	SR 85 Express Lanes (PA/ED)		
P-0721	US 101 Express Lanes (PA/ED)		
P-0678	SR 237/US 101 Mathilda Interchange		
P-0911	I-280 - Winchester Blvd Improvements project		
2-0972	US101/Zanker Rd/Skyport Dr/N 4th St Interchange		
P-0976	I-680 Sound Walls		
-0970 2-0987	I-280/Wolfe Rd Interchange Improv Project		
P-0788	SR 237 Express Lanes - PH 2		
2-0900	SV Express Lanes-US101/SR85 PH 3		
P-0901	SV Express Lanes-US101/SR85 PH 4		
P-0902	SV Express Lanes-Electronic Toll System(ETS)		
	Projects in Final Design (PS&E)		
P-0826	Combined Landscaping & Maint. Project		
P-0812	I-280/Foothill Expressway Ramp Improvements		
P-0866	Landscaping at I280/I880/Steven Creek Blvd		
P-0898	Capitol Expy-Ped Connection to Eastridge		
F-0898	Capitor Expy-r ed Connection to Lasu age		
	Projects Under Construction		
P-0619	US 101 Aux Lanes – Embarcadero to SR 85 (CMIA)		
P-0620	I-880 HOV Widening (CMIA)		
P-0655	Ramp Metering Implementation		
P-0694	SR 237/I-880 Express Connectors		
P-0730	US 101 Capitol Expwy - Yerba Buena Int. (CMIA)		
P-0455	I-880/I-280/Stevens Creek Improvements (CMIA)		

VTP Highway Projects Identified Funding Levels

*Estimated cost for projects in the Conceptual Study category includes only the conceptual study. ** (Identified Funding) / (Estimated Cost) x 100% See page 1-3 for definitions of Identified Funding and Estimated Cost

The following are activities of note that took place during the six-month period from May 2016 to October 2016 covered by this report:

- a. The Contract was awarded to Kimley Horn and Associates for the I-280 corridor study. Study started in January 2016. Public meetings in City of San Jose and City of Cupertino were held in September 2016. Final report is expected by mid 2017.
- b. Fehr & Peers was awarded the contract for countywide bicycle plan update in September 2015. Consultant completed analysis of existing conditions and completed outreach efforts in July 2016. Also completed Cross County Bicycle Corridor updates in consultation with member Agencies & other stakeholders in fall 2016. Bicycle audits were conducted Oct 2016. Prioritization criteria will be presented and adopted by VTA Board in Nov 2016.
- c. Request for Proposal (RFP) for planning and conceptual design services for Tasman Corridor Complete Streets Study was issued in June 2016. Contract was awarded to Kimley Horn and Associates in October 2016. Work is expected to start in December 2016.
- d. Request for Proposal (RFP) for planning and conceptual design services for **Bascom Corridor Complete Streets Study** was issued in June 2016. Contract was awarded to MIG, Inc. in October 2016. Work is expected to start in November 2016
- e. Request for proposal from design consultants for the **I-280/Winchester Boulevard Improvements project** was issued in December 2015. Contract was executed in July 2016. Project Approval and Environmental Document phase is in progress
- f. The Project Initiation Document (PID) phase for the **Mathilda Avenue Improvements** at **SR 237 and US 101** project was completed in February 2015. Project Approval and Environmental Document (PA/ED) began in early 2015 and is targeted for completion by early 2017.
- g. Request for Proposal (RFP) for the US101/Zanker Rd/Skyport Dr/N 4th St Interchange was issued in October 2015 for selection of designer to complete Project Initiation Document (PID) phase. Contract was awarded to AECOM and work on the PID phase started in spring 2016 and is planned for completion in early 2017.
- h. Request for Proposal (RFP) for the **I-680 Soundwalls** project was issued in February 2016 for the Project Approval/Environmental (PA/ED) phase. Contract was awarded to BKF Engineers and work on the PA/ED phase started in September 2-016 and is planned for completion by mid-2017.
- i. Request for Proposal (RFP) was issued for the **I-280/Wolfe Rd Interchange Improvement** Project in early 2016 for designer to complete Project Initiation Document (PID) phase. Contract was awarded to HMH Engineers and work started in June 2016 and expected to be completed by mid-2017.
- j. Design for **landscaping at I-280/I-880/Steven Creek Blvd** project started in September 2015 and is expected to be completed by December 2016. Construction contract will be advertised in spring 2017.

- k. Environmental process for the Pedestrian Connection at Eastridge Transit Center was completed in June 2015. Project was redesigned after coordination with City of San Jose's trail project. Construction contract will be advertised for bids in early 2017 pending approval of construction funding by Caltrans.
- The construction contract for the US 101 Capitol Expressway Yerba Buena Interchange which was administered by VTA was completed in March 2014 and 1-year plant establishment was completed April 2015. Construction contract has been closed out and project is in the closeout phase.
- m. The construction contract for the **I-880/ I-280/ Stevens Creek Improvements** project which was administered by VTA was completed in December 2015. Construction contract is being closed out and project is in the closeout phase.
- n. Project Approval & Environmental Document (PA/ED) for SR 85 Express Lanes and US 101 Express Lanes were completed in April 2015 and July 2015 respectively. Design services contract for the Silicon Valley Express Lanes Program Phases 3 and 4 Project was awarded to HNTB Corporation. Design for Phase 3 is currently ongoing. Request for Proposal (RFP) for the System Integrator was issued in October 2016 and is expected to be awarded by mid-2017.
- o. The environmental document and Project Study Report Project Report (PSR-PR) for the SR 237 Express Lanes – Phase 2 was completed in June 2015. Electronic Toll System (ETS) Integrator services contract was awarded to Transcore in June 2015. ETS design development and civil design is currently ongoing and will be completed by early 2017. Construction is dependent on funding.

C. SECURED FUNDING

Figure 1.3 shows the prior and current period funding for the VTP Highway projects. Secured funding increased by a net \$6.6 million during the report period, as discussed below:

Changes in Secured Funding

1. Conceptual Study Projects

Secured funding increased by \$2.4 million to a total of \$7.0 million for projects in the conceptual phase. This was primarily due to securing funding for three projects below: Bicycle Safety Educational./Promotional Act. - \$0.15 mil Tasman Drive Complete Street Corridor Study - \$1.1 mil Bascom Avenue Complete Street Corridor Study - \$1.1mil

2. Projects in the Environmental/Preliminary Engineering Phase

There were no changes to secured funding for projects in the Environmental/Preliminary Engineering phase.

3. Projects in Final Design (PS&E)

There were no changes to secured funding for projects in the Final Design phase.

4. Projects Under Construction

Secured funding increased by \$0.05 million to \$130.8 million. This was due to transfer of \$50,000 SWAP funds from Rt 87 Highway Planting project to I-880/I-280/Stevens Creek Improvements project.

5. Silicon Valley Express Lanes

Secured funding remained the same at \$55.2 million. SR 85 Express Lanes PA/ED phase project was closed and remaining \$48k was transferred to SV Express Lanes - Electronic Toll System (ETS) project.

Figure 1.3

VTP Highway Program Secured Funding

0 0 0					in millions
El Carnio Real/SR 85/SR 237/Middlefield \$0.8 \$0.8 \$0.0 1-680 Corridor Study \$0.5 \$0.0 \$1-680 Corridor Study \$0.8 \$0.0 1-280 Corridor Study \$0.8 \$0.0 \$0.0 \$0.0 \$0.0 Expect Related Projects \$0.7 \$0.8 \$0.0 \$0.0 \$0.0 Intelligent Transportation System Proj. \$0.3 \$0.0<	Project/Category	Previous Secured Funding	Current Secured Funding	Changes	d Text Reference
El Camio Real/SR 85/SR 237/Middlefield 50.8 50.8 50.0 L680 Corridor Study 50.5 50.5 50.0 L680 Corridor Study 50.8 50.0 L680 Corridor Study 50.8 50.1 50.0 Bicycle Related Projects 50.7 50.8 50.1 1 Intelligent Transportation System Proj. 50.3 50.3 50.0 Local PDA Planning- Santa Clara 51.0 51.0 50.0 Story - Keyse Corridor Complete Streets Study 50.0 51.1 \$1.1 2 Bascom Corridor Complete Streets Study 50.0 51.1 \$1.1 2 Bascom Corridor Complete Streets Study 50.0 51.1 \$1.1 31.1 2 Bascom Corridor Complete Streets Study 50.0 51.1 \$1.1 \$1.1 2 Bascom Corridor Complete Streets Study 50.0 \$1.1 \$1.1 3 Total \$4.6 \$7.0 \$2.4 Projects in the Environmental/Preliminary Engineering Phase Freeway Performance Initiative 51.6 \$1.6 \$0.0 \$ St 152 Trade Corridor \$1.3.0 \$1.0 \$0.0 US 101 Widening - Monterey Rd to SR 129 \$5.9 \$5.9 \$0.0 US 101 Widening - Monterey Rd to SR 129 \$5.9 \$5.9 \$0.0 US 101 Widening - Monterey Rd to SR 129 \$5.9 \$5.0 \$0.0 SR 237/US 101/ Mathida Interchange \$44.0 \$4.0 \$0.0 E-280/Winknester Bird Improvements Project \$1.1 \$1.5 \$1.5 \$0.0 E-680 Sound Wals \$0.6 \$0.6 \$0.6 \$0.0 E-280/Wolfe Rd Interchange Improv Proj \$1.2 \$0.0 Total \$29.7 \$29.7 \$0.0 Projects In Final Design (PS&E) E-280/Foorbill Expressway Rump Improvements \$0.7 \$0.7 \$0.7 \$0.0 Combined Landscapping M.Mint. Project \$3.8 \$3.3 \$0.0 Capitol Expressway Rump Improvements \$0.8 \$0.8 \$0.0 E-280/Wolfe Rd Interchange Improv Proj \$1.2 \$0.0 Total \$8.6 \$8.6 \$0.0 E-280/Wolfe Rd Interchange Improv Proj \$1.2 \$0.0 Total \$8.6 \$0.8 \$0.0 E-280/L-880/StevensCrk Blvd \$3.3 \$3.3 \$0.0 Capitol Expressway Rump Improvements \$0.7 \$0.7 \$0.0 Combined Landscapping M.Mint. Project \$3.8 \$0.8 \$0.0 E-280/L-280/Stevens Creck Improvements \$2.6 \$2.6 \$0.0 US 101 Capitol Expressway Performan \$2.6 \$2.6 \$0.0 US 101 Capitol Expressery Proba Buena Interchange \$30.5 \$5.0 Ste 20.7 \$1.8 \$1.8 \$1.8 \$1.8 \$0.0 SR 237.1-880 Express Connectors \$11.8 \$1.1 \$1.8 \$1.0 \$0.0 SR 237.1-880 Express Connectors \$1.1 \$1.3 \$1.3 \$0.0 \$0 SR 237.1-88	Conceptual Study Projects				
1-680 Corridor Study \$0.5 \$0.0 1-280 Corridor Study \$0.8 \$0.8 \$0.0 Bicycle Related Projects \$0.7 \$0.8 \$0.0 Bicycle Related Projects \$0.7 \$0.8 \$0.0 Story - Reyes Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 Story - Reyes Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 Tasman Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 Bascom Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 \$3 Projects in the Environmental/Preliminary Engineering Plase Freeway Performance Initiative \$1.6 \$1.6 \$0.0 SR 152 Trade Corridor \$1.3.0 \$1.0 \$0.0 \$1.2 US 101 Widening - Montrey Rd to SR 129 \$5.9 \$5.9 \$0.0 US 101 Widening - Montrey Rd to SR 129 \$1.0 \$1.0 \$0.0 SR 237/US 101/ Mathida Interchange \$4.0 \$0.0 \$1.2 \$0.0 L280Workine Rel Bid Improve Proj \$1.2 \$1.2 \$0.0 \$0.0		\$0.8	\$0.8	\$0.0	
anovat. Transportation Technology Prog. \$0.1 \$0.1 \$0.1 \$0.1 Sicycle Related Projects \$0.7 \$0.8 \$0.1 1 Intelligent Transportation System Proj. \$0.3 \$0.0 \$0.0 Jord PDA Planning-Santa Clara \$1.0 \$1.0 \$0.0 Total \$0.0 \$1.1 \$1.1 \$1.1 \$2.1 Bascom Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 \$2.4 Projects in the Environmental/Preliminary Engineering Plase \$7 \$2.4 \$700 \$2.4 Projects in the Environmental/Preliminary Engineering Plase \$7 \$0.0 \$1.1 \$1.1 \$2 Stor Wicking - Montery Rd to SR 129 \$5.5 \$5.9 \$0.0 \$2.37/US 101/ Mathikin Interchange \$4.0 \$4.0 \$0.0 \$2.30/US 10.0 \$2.00 \$2.00 \$2.00 \$2.2 \$2.00 \$2.20/US 10.0 \$2.1 \$2.10 \$2.0 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.00 \$2.0 <td>-680 Corridor Study</td> <td>\$0.5</td> <td>\$0.5</td> <td>\$0.0</td> <td></td>	-680 Corridor Study	\$0.5	\$0.5	\$0.0	
Sizyck Related Projects \$0,7 \$0.8 \$0.1 1 metligent Transportation System Proj. \$0.3 \$0.3 \$0.0 \$0.0 ocal PDA Planning- Santa Clara \$1.0 \$1.0 \$0.0 Story - Keyes Corridor Complete Streets Study \$0.0 \$1.1 \$1	-280 Corridor Study	\$0.8	\$0.8	\$0.0	
Intelligent Transportation System Proj. \$0.3 \$0.3 \$0.0 Local PDA Planning-Sunta Clara \$1.0 \$1.0 \$1.0 \$0.0 Story - Keyes Conduct Complete Streets Study \$0.0 \$1.1 \$1.1 \$1.1 \$1.1 \$2.3 Bascom Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 \$1.1 \$2.4 Projects in the Environmental/Preliminary Engineering Phase Freeway Performance Initiative \$1.6 \$1.6 \$0.0 SR 152 Trade Corridor \$13.0 \$13.0 \$13.0 \$0.0 US 101 Widening - Montrey Rd to SR 129 \$5.9 \$5.9 \$0.0 US 101 Widening - Montrey Rd to SR 129 \$5.5 \$1.0 \$0.0 US 101 Widening - Montrey Rd to SR 129 \$5.9 \$5.0 \$0.0 US 101 Widening - Montrey Rd to SR 129 \$5.0 \$0.0 \$0.0 SR 237/US 101/Mathida Interchange \$4.0 \$4.0 \$0.0 US 10/Zanker Rd/Skyport Dr/N 4th St Inte \$1.2 \$1.2 \$0.0 L280/Woolite Rd Interchange Improv Proj \$1.2 \$1.2 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0	Innovat. Transportation Technology Prog.	\$0.1	\$0.1	\$0.0	
Local PDA Planning- Santa Clara \$1.0 \$1.0 \$0.0 Story - Keyes Corridor Complete Streets Study \$0.5 \$0.5 \$0.0 Bascom Corridor Complete Streets Study \$0.0 \$1.1	Bicycle Related Projects	\$0.7	\$0.8	\$0.1	1
Story – Keyes Condor Complete Streets Study \$0.5 \$0.0 \$1.1 \$1.1 \$2 Bascom Corridor Complete Streets Study \$0.0 \$1.1 \$1.1 \$1.1 \$2 Projects in the Environmental/Preliminary Engineering Phase \$1.6 \$1.6 \$0.0 \$2.4 \$3 Projects in the Environmental/Preliminary Engineering Phase \$1.6 \$1.6 \$0.0 \$2.4 \$3 St 152 Trade Corridor \$13.0 \$13.0 \$0.0 \$5.9 \$5.9 \$0.0 US 101 Widening - Monterey Rd to SR 129 \$5.9 \$5.0 \$0.0 \$2.20/Winchester Blvd Improvements Project \$1.0 \$0.0 28 237/US 101/Mathida Interchange \$4.0 \$0.6 \$0.0 \$0.0 \$0.0 280/Foothill Expressway Ramp Improvements \$0.6 \$0.6 \$0.0 \$0.0 \$0.0 280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 \$0.0 Cambined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 \$0.0 Capitol ExpressVary Arento Insprovements \$0.7 \$0.0 \$0.0 <td>Intelligent Transportation System Proj.</td> <td>\$0.3</td> <td>\$0.3</td> <td>\$0.0</td> <td></td>	Intelligent Transportation System Proj.	\$0.3	\$0.3	\$0.0	
Fasman Corridor Complete Streets Study \$0.0 \$1.1 \$	Local PDA Planning- Santa Clara	\$1.0	\$1.0	\$0.0	
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	Story – Keyes Corridor Complete Streets Study	\$0.5	\$0.5	\$0.0	
Total \$4.6 \$7.0 \$2.4 Projects in the Environmental/Preliminary Engineering Phase Freeway Performance Initiative \$1.6 \$1.6 \$1.6 \$0.0 SR 152 Trade Corridor \$13.0 \$13.0 \$0.0 \$0.0 \$0.0 SR 152 Trade Corridor \$13.0 \$13.0 \$0.0 \$0.0 \$0.0 US101 Widening - Monterey Rd to SR 129 \$5.9 \$0.0 \$0.0 \$0.0 SR 237/US 101/ Mathida Interchange \$4.0 \$4.0 \$0.0 \$0.0 US101/Zanker Rd/Skyport Dr/N 4th St Inte \$1.5 \$1.5 \$0.0 \$0.0 L-280/Winchester Bivd Interchange Improv Proj \$1.2 \$1.2 \$0.0 \$0.0 L-280/Vinchester Bivd Interchange Improv Proj \$1.2 \$1.2 \$0.0 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$0.8 \$0.0 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 US 101 Carbie Expressway-Y-erba Buena Interchange </td <td>Tasman Corridor Complete Streets Study</td> <td>\$0.0</td> <td>\$1.1</td> <td>\$1.1</td> <td>2</td>	Tasman Corridor Complete Streets Study	\$0.0	\$1.1	\$1.1	2
Projects in the Environmental/Preliminary Engineering Phase Freeway Performance Initative \$1.6 \$1.6 \$0.0 SR 152 Trade Corridor \$13.0 \$13.0 \$0.0 US 101 Videning - Monterey Rd to SR 129 \$5.9 \$5.9 \$0.0 US 101 DE La Cruz Bkd/Trimble Rd \$0.9 \$0.0 \$0.0 SR 237/US 101/ Mathikla Interchange \$4.0 \$4.0 \$0.0 US 101 DE La Cruz Bkd/Trimble Rd \$1.5 \$1.5 \$0.0 US 101/Zanker Rd/Skyport Dr/N 4th St Inte \$1.5 \$1.5 \$0.0 US 101/Zanker Rd/Skyport Dr/N 4th St Inte \$1.2 \$1.2 \$0.0 L'280/Wolfe Rd Interchange Improv Proj \$1.2 \$1.2 \$0.0 Projects In Final Design (PS&E) \$280/70 cohill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & L-280//StevensCrk Blvd \$3.3 \$3.3 \$3.3 \$0.0 Capitol Expressway Ramp Improvements \$0.8 \$0.8 \$0.0 \$0.0 Capitol Expressway Ram / Improvements \$0.7 \$0.7 \$0.0 \$0.0	Bascom Corridor Complete Streets Study	\$0.0	\$1.1	\$1.1	3
Freeway Performance Initiative \$1.6 \$1.6 \$0.0 SR 152 Trade Corridor \$13.0 \$13.0 \$0.0 US 101 Widening - Montrey Rd to SR 129 \$5.9 \$5.9 \$0.0 US 101 DL a Cruz Blvd/Trimble Rd \$0.9 \$0.9 \$0.0 SR 152 Trade Corridor \$1.0 \$1.0 \$0.0 US 101 Muthilda Interchange \$4.0 \$4.0 \$0.0 L280/Winchester Blvd Improvements Project \$1.0 \$1.0 \$0.0 US101/Zanker Rd/Skyport Dr/N 4th St Inte \$1.2 \$1.2 \$0.0 L680 Sound Walls \$0.6 \$0.6 \$0.0 L280/Wolfe Rd Interchange Improv Proj \$1.2 \$1.2 \$0.0 Total \$29.7 \$0.0 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 Carbiol Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & T-280/Foothill Expressway Ramp Improvements \$0.7 \$0.0 Combined Landscaping & T-280/Foothill Expressway Ramp Improvements \$0.8 \$0.0 Landscaping at 1-280/Foothill Expressway Stoth \$0.8 \$0.0 </td <td>Total</td> <td>\$4.6</td> <td>\$7.0</td> <td>\$2.4</td> <td></td>	Total	\$4.6	\$7.0	\$2.4	
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	Projects in the Environmental/Preliminary Engineering P	hase			
US 101 Widening - Monterey Rd to SR 129 \$5.9 \$5.9 \$0.0 US101 De La Cruz Bivd/Trimble Rd \$0.9 \$0.0 SR 237/US 101/ Mathida Interchange \$4.0 \$0.0 L-280/Winchester Bivd Improvements Project \$1.0 \$1.0 \$0.0 US101/Zanker Rd/Skyport Dr/N 4th St Inte \$1.5 \$1.5 \$0.0 L-280/Winchester Bivd Improvements Project \$1.2 \$1.2 \$0.0 L-280/Wolfe Rd Interchange Improv Proj \$1.2 \$1.2 \$0.0 L-280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Projects In Final Design (PS&E) Total \$3.8 \$3.3 \$0.0 Landscaping at L-280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 Capitol Expressoray Ramp Improvements \$0.8 \$0.0 \$0.0 Total \$86.6 \$80.0 \$0.0 \$0.0 Capitol Expressoray Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & L-280/Texpes CansetCh Blvd \$3.3 \$0.0 Landscapin gat I-280/StevensChek Blvd	Freeway Performance Initiative	\$1.6	\$1.6	\$0.0	
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	SR 152 Trade Corridor	\$13.0	\$13.0	\$0.0	
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	US 101 Widening - Monterey Rd to SR 129	\$5.9	\$5.9	\$0.0	
L-280/Winchester Blvd Improvements Project \$1.0 \$1.0 \$0.0 US101/Zanker Rd/Skyport Dr/N 4th St Inte \$1.5 \$1.5 \$0.0 L-680 Sound Walls \$0.6 \$0.6 \$0.0 L-280/Wolfe Rd Interchange Improv Proj \$1.2 \$1.2 \$0.0 Projects In Final Design (PS&E) \$0.7 \$0.0 L-280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge \$0.8 \$0.8 \$0.0 DS 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 US 101 Capitol Expressaway-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 -880/1-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Silicon Valley Express Lanes \$6.9 \$6.9 \$0.05 \$5 SNE 2 Spress Lanes \$6.9 \$6.9 \$0	US101 De La Cruz Blvd/Trimble Rd	\$0.9	\$0.9	\$0.0	
$ \begin{array}{c c c c c c c c c c c c c c c c c c c $	SR 237/US 101/ Mathilda Interchange	\$4.0	\$4.0	\$0.0	
1-680 Sound Walls \$0.6 \$0.6 \$0.0 1-280/Wolfe Rd Interchange Improv Proj $$1.2$ \$1.2 \$0.0 Projects In Final Design (PS&E) \$0.7 \$0.0 1-280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 Capitol Expresses and the express landscaping at 1-280/I-880/StevensCrk Blvd \$3.3 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge \$0.8 \$0.8 \$0.0 Projects Under Construction Total \$8.6 \$0.0 Projects Under Construction \$18.9 \$18.9 \$0.0 L-880 HO V Widening (CMIA) \$18.9 \$18.9 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 L-880/I-280/Stevens Creek Improvements (CMIA) \$16.8 \$13.0.8 \$0.1 Silicon Valley Express Lanes Program \$2.93 \$2.00 \$0.0 SR 237/I-880 Express Connectors \$11.8 \$11.8 \$0.0 SR 237/I-880 Express Lanes \$6.9 \$6.9 \$0.05 \$5 US 101 Express Lanes \$8.2	-280/Winchester Blvd Improvements Project	\$1.0	\$1.0	\$0.0	
$\begin{array}{c c c c c c c c c c c c c c c c c c c $	US101/Zanker Rd/Skyport Dr/N 4th St Inte	\$1.5	\$1.5	\$0.0	
Total \$29.7 \$29.7 \$0.0 Projects In Final Design (PS&E) -280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 Landscaping at 1-280/I-880/StevensCrk Blvd \$3.3 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge \$0.8 \$0.8 \$0.0 \$0.0 Projects Under Construction US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 Projects Under Construction \$16.8 \$16.8 \$0.0 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 \$0.0 Is 101 Capitol Expressway-Yerba Buena Interchange \$30.5 \$0.0 \$0.0 Is 80/I-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Silicon Valley Express Lanes Program \$2.93 \$0.0 \$0.0 \$1.8 \$11.8 \$0.0 SR 237/I-880 Express Lanes \$6.9 \$6.9 \$(\$0.05) 5 SN 237 Express Lanes \$8.2 \$8.2 \$8.2	I-680 Sound Walls	\$0.6	\$0.6	\$0.0	
Projects In Final Design (PS&E) -280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 Landscaping at I-280/F880/StevensCrk Blvd \$3.3 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge \$0.8 \$0.8 \$0.0 Projects Under Construction Total \$8.6 \$0.0 Projects Under Construction US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 Projects Under Construction \$2.6 \$2.6 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$18.9 \$18.9 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 US 101 Capitol Expressway-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 L-880/I-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Total \$130.8 \$130.8 \$0.0 SWEL Program Development \$2.93 \$2.93 \$0.0 SR 237/I-880 Express Lanes \$6.9 \$6.9 \$(50.05) 5 US 101 Express Lanes					
L-280/Foothill Expressway Ramp Improvements \$0.7 \$0.7 \$0.0 Combined Landscaping & Maint. Project \$3.8 \$3.8 \$0.0 Landscaping at I-280/I-880/StevensCrk Blvd \$3.3 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge \$0.8 \$0.8 \$0.0 Projects Under Construction Total \$8.6 \$0.0 Projects Under Construction \$16.8 \$16.8 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 L-880 HOV Widening (CMIA) \$18.9 \$18.9 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 US 101 Capitol Express Vary-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 US 80/I-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Silicon Valley Express Lanes Program \$130.8 \$10.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.1 4 Silicon Valley Express Lanes Program \$2.93 \$0.0 \$0.0 \$0.5 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$	Total	\$29.7	\$29.7	\$0.0	
Combined Landscaping & Maint. Project \$3.8 \$3.8 \$3.8 \$0.0 Landscaping at I-280/I-880/StevensCrk Blvd \$3.3 \$3.3 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge $$0.8$ \$0.8 \$0.0 Projects Under Construction Total \$8.6 \$0.0 Projects Under Construction \$16.8 \$16.8 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 US 101 Capitol Expressway-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 US 101 Capitol Express Lanes Program \$130.8 \$130.8 \$0.1 4 Stilcon Valley Express Lanes Program \$2.93 \$2.0 \$0.0 \$0.1 4 Stilcon Valley Express Lanes \$6.9 \$6.9 \$6.9 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.0 \$0.1 \$0.0 \$0.1 \$0.0 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 \$0.1 <t< td=""><td></td><td></td><td></td><td></td><td></td></t<>					
Landscaping at I-280/I-880/StevensCrk Blvd \$3.3 \$3.3 \$3.3 \$0.0 Capitol Expy-Ped Connection to Eastridge \$0.8 \$0.8 \$0.0 Total \$8.6 \$0.0 Projects Under Construction \$16.8 \$16.8 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 Projects Under Construction \$16.8 \$16.8 \$0.0 US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 US 101 Capitol Expressway-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 L-880/I-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Total \$130.8 \$130.8 \$0.0 Silicon Valley Express Lanes Program \$2.93 \$0.0 SVEL Program Development \$2.93 \$2.93 \$0.0 SR 237/I-880 Express Lanes \$6.9 \$6.9 \$0.05) \$5 US 101 Express Lanes \$13.4 \$13.4 \$0.0 \$V Express Lanes-PH 2 \$13.4 \$13.4 \$0.0	I-280/Foothill Expressway Ramp Improvements	\$0.7	\$0.7	\$0.0	
Capitol Expy-Ped Connection to Eastridge $\$0.8$ $\$0.8$ $\$0.0$ Total $\$8.6$ $\$0.8$ $\$0.0$ Projects Under Construction US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) $\$16.8$ $\$16.8$ $\$16.8$ $\$0.0$ US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) $\$16.8$ $\$16.8$ $\$16.8$ $\$0.0$ Ramp Metering Implementation $\$2.6$ $\$2.6$ $\$2.6$ $\$0.0$ US 101 Capitol Expressway-Yerba Buena Interchange $\$30.5$ $\$30.5$ $\$0.0$ L-880/I-280/Stevens Creek Improvements (CMIA) $\$62.0$ $\$62.0$ $\$62.0$ $\$62.0$ $\$62.0$ $\$62.0$ $\$0.1$ 4 Silicon Valley Express Lanes Program Still 30.8 $\$130.8$ $\$130.8$ $\$10.8$	Combined Landscaping & Maint. Project				
Total \$8.6 \$8.6 \$0.0 Projects Under Construction US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 L-880 HOV Widening (CMIA) \$18.9 \$18.9 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 US 101 Capitol Expressway-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 L-880/I-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Total \$130.8 \$130.8 \$0.1 4 Silicon Valley Express Lanes Program \$2.93 \$0.0 \$0.0 SVEL Program Development \$2.93 \$2.93 \$0.0 SR 85 Express Lanes \$6.9 \$6.9 \$6.9 \$0.5 US 101 Express Lanes \$8.2 \$8.2 \$0.0 \$13.4 \$13.4 \$0.0 SV Express Lanes-PH2 \$13.4 \$13.4 \$0.0 \$V Express Lanes-US101/SR85 PH 3 \$5.1 \$5.0 SV Express Lanes-Electronic Toll System (ETS) \$3.7 \$3.7 \$0.05 \$0.5	Landscaping at I-280/I-880/StevensCrk Blvd	\$3.3		\$0.0	
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US 101 Auxiliary Lanes - Embarcadero to SR 85 (CMIA) \$16.8 \$16.8 \$0.0 I-880 HOV Widening (CMIA) \$18.9 \$18.9 \$0.0 Ramp Metering Implementation \$2.6 \$2.6 \$0.0 US 101 Capitol Expressway-Yerba Buena Interchange \$30.5 \$30.5 \$0.0 I-880/I-280/Stevens Creek Improvements (CMIA) \$62.0 \$62.0 \$0.1 4 Stlicon Valley Express Lanes Program \$10.8 \$130.8 \$10.0 \$0.1 4 Stlicon Valley Express Lanes Program \$2.93 \$2.93 \$0.0 \$0.1 4 Stlicon Valley Express Connectors \$11.8 \$11.8 \$0.0 \$5 \$5 SR 85 Express Lanes \$6.9 \$6.9 \$6.9 \$6 \$5 US 101 Express Lanes \$8.2 \$8.2 \$0.0 \$5 \$5 US 101 Express Lanes \$8.2 \$8.2 \$0.0 \$6 <	Total	\$8.6	\$8.6	\$0.0	
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SV Express.Lanes-Electronic Toll System (ETS) \$3.7 \$3.7 \$0.05 Noise Reduction Program on SR85 \$0.3 \$0.3 \$0.0		\$5.1	\$5.1	\$0.0	
Noise Reduction Program on SR85 \$0.3 \$0.3 \$0.0	SV Express Lanes-US101/SR85 PH 4	\$2.9	\$2.9	\$0.0	
		\$3.7	\$3.7	\$0.05	
Total \$55.2 \$55.2 \$0.0	-				
	Total	\$55.2	\$55.2	\$0.0	
GRAND TOTAL \$228.8 \$231.3 \$2.4		¢778 0	\$221.2	\$2.4	

D. INCURRED COSTS

Figure 1.4 below shows the incurred costs for the VTP Highway Program at the beginning and end of the period as well as the percent of the secured funding incurred as of October 2016.

	0			in millions
Project/Category	a Incurred Costs Through Apr-16	b Incurred Costs Through Oct-16	c = (b - a) Incurred Costs This Period	d Percent of Secured Funding Incurred Oct-16
Conceptual Study Projects				
El Camino Real/SR 85/SR 237/Middlefield	\$0.8	\$0.8	\$0.0	100.0%
I-680 Corridor Study	\$0.5	\$0.5	\$0.0	100.0%
I-280 Corridor Study	\$0.1	\$0.3	\$0.2	41.1%
Innovat. Transportation Technology Prog.	\$0.1	\$0.1	\$0.0 \$0.2	85.8%
Bicycle Related Projects Intelligent Transportation System Proj.	\$0.2 \$0.0	\$0.5	\$0.3 \$0.0	58.5%
• • •	\$0.0 \$0.0	\$0.0 \$0.3	\$0.0 \$0.3	0.9%
Local PDA Planning- Santa Clara Story – Keyes Corridor Complete Streets Study	\$0.0 \$0.0	\$0.5	\$0.3 \$0.1	26.4% 15.0%
Tasman Corridor Complete Streets Study	\$0.0 \$0.0	\$0.1 \$0.0	\$0.1 \$0.0	0.0%
Bascom Corridor Complete Streets Study	\$0.0 \$0.0	\$0.0 \$0.0	\$0.0 \$0.0	0.0%
Bascom Complete Streets Study Total	\$0.0	\$0.0	\$0.0 \$0.9	35.9%
		φ 2. .3	φ υ. 9	55.770
Projects in the Environmental/Preliminary Engineering P		A1 -	^	100.000
Freeway Performance Initiative	\$1.6	\$1.6	\$0.0	100.0%
SR 152 Trade Corridor	\$8.0	\$8.1	\$0.1	62.0%
US 101 Widening - Monterey Rd to SR 129	\$5.9	\$5.9	\$0.0	100.0%
US101 De La Cruz Blvd/Trimble Rd SR 237/US 101 Mathikla Interchange	\$0.9	\$0.9	\$0.0 \$0.7	97.8%
6	\$2.1 \$0.0	\$2.9 \$0.1	\$0.7 \$0.1	71.4% 13.9%
I-280/Winchester Blvd Improvements Project	\$0.0 \$0.0	\$0.1	\$0.1	28.2%
US101/Zanker Rd/Skyport Dr/N 4th St Inte I-680 Sound Walls	\$0.0 \$0.0	\$0.5	\$0.3	0.4%
-280/Wolfe Rd Interchange Improv Proj	\$0.0 \$0.0	\$0.1	\$0.1	21.6%
Total	\$18.6	\$20.1	\$1.6	67.9%
Projects In Final Design (PS&E)				
I-280/Foothill Expressway Ramp Improvements	\$0.7	\$0.7	\$0.0	100.0%
Combined Landscaping & Maint. Project	\$2.3	\$2.5	\$0.2	66.4%
Landscaping at I-280/I-880/StevensCrk Blvd	\$0.3	\$0.5	\$0.3	15.8%
Capitol Expy-Ped Connection to Eastridge	\$0.4	\$0.5	\$0.1	80.7%
Total	\$3.7	\$4.2	\$0.6	49.3%
Projects Under Construction				
US 101 Auxilliary Lanes - Embarcadero to SR 85 (CMIA)	\$16.6	\$16.7	\$0.1	98.9%
I-880 HOV Widening (CMIA)	\$18.3	\$18.4	\$0.0	97.4%
Ramp Metering Implementation	\$2.5	\$2.5	\$0.0	98.6%
US 101 Capitol Expressway - Yerba Buena Int. (CMIA)	\$29.0	\$29.1	\$0.0	95.2%
I-880/I-280/Stevens Creek Improvements (CMIA)	\$58.0	\$58.1	\$0.1	93.7%
Total	\$124.5	\$124.7	\$0.3	95.4%
Silicon Valley Express Lanes Program				
SVEL Program Development	\$2.9	\$2.9	\$0.0	100.0%
SR 237/I-880 Express Connectors	\$11.7	\$11.7	\$0.0	99.8%
SR 85 Express Lanes	\$6.9	\$6.9	\$0.0	100.0%
US 101 Express Lanes	\$8.2	\$8.2	\$0.0	100.0%
SR 237 Express Lanes-PhII Extension	\$7.2	\$8.2	\$1.0	61.6%
SV Express Lanes-US101/SR85 PH 3	\$0.4	\$0.8	\$0.4	16.1%
SV Express Lanes-US101/SR85 PH 4	\$0.1	\$0.1	\$0.0	4.0%
SV Exp.Lanes-Electronic Toll System(ETS)	\$0.4	\$0.5	\$0.1	14.1%
Noise Reduction Program on SR85	\$0.1	\$0.2	\$0.1	80.1%
Total	\$38.1	\$39.7	\$1.7	72.0%
GRAND TOTAL	\$186.4	\$191.3	\$4.9	82.7%
UNALL IUTAL	ψ100.7	ψ1/1.J	φ -,7	041/0

Figure 1.4 VTP Highway Program Incurred Costs

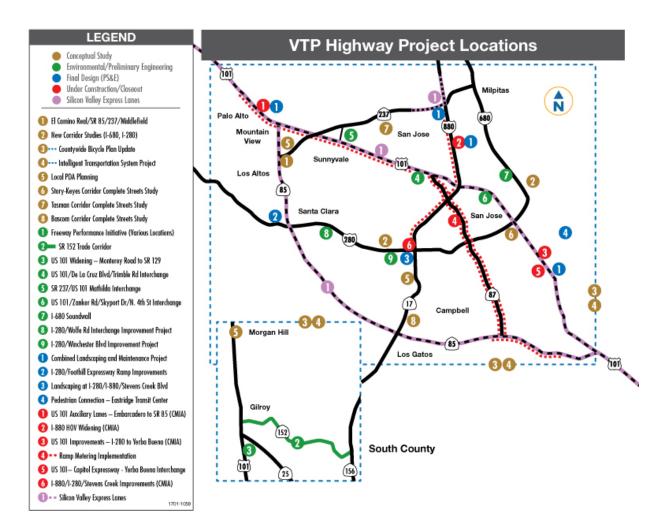


Figure 1.5 - VTP Highway Program Overview Map

SECTION 2

PROJECT SUMMARY REPORTS

VTP HIGHWAY PROJECT SUMMARY REPORTS

A. CONCEPTUAL STUDY PROJECTS

1. El Camino Real/SR 85/SR 237/Middlefield

2.I-680 Corridor Study

3.I-280 Corridor Study

4. Innovation Transportation Technology Program

5. Bicycle Related Projects

6. Intelligent Transportation System Project

7. Local PDA Planning- Santa Clara

8. Story - Keyes Corridor Complete Streets Study

9. Tasman Corridor Complete Streets Study

10. Bascom Corridor Complete Streets Study

B. PROJECTS IN THE ENVIRONMENTAL/PRELIMINARY ENGINEERING PHASE

1. Freeway Performance Initiative

2.SR 152 Trade Corridor

3. US 101 Widening - Monterey Road to Route 129

4. US 101/De La Cruz Boulevard/ Trimble Road Interchange

5. Mathilda Avenue Improvements at SR237 and US101

6. US101/Zanker Road/ Skyport Dr /N. 4th St Intersection

7.I-680 Sound Walls

8. I-280/Wolfe Rd Interchange Improvement Project

9. I-280/Winchester Blvd Improvements Project

C. PROJECTS IN FINAL DESIGN (PS&E)

- 1. Combined Landscaping & Maintenance Project
- 2. I-280/Foothill Expressway Ramp Improvements
- 3. Landscape @I-280/I-880/Stevens Creek Blvd
- 4. Pedestrian Connection Eastridge Transit Center

D. PROJECTS UNDER CONSTRUCTION

- 1.US 101 Auxiliary Lanes Embarcadero to SR 85 (CMIA)
- 2. I-880 HOV Widening (CMIA)
- 3. Ramp Metering Implementation
- 4. US 101 Capitol Expressway Yerba Buena Interchange (CMIA)
- 5.I-880/I-280/Stevens Creek Improvements (CMIA)

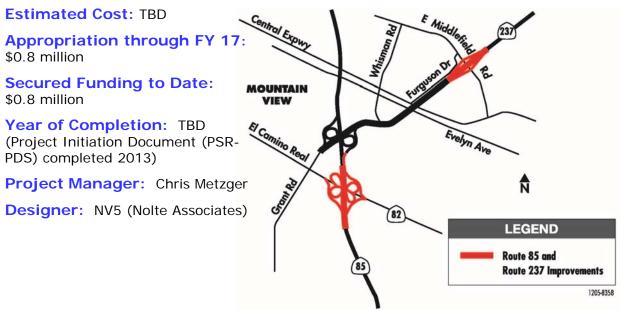
E. SILICON VALLEY EXPRESS LANES PROGRAM

- 1. Program Overview
- 2.SR 237/I-880 Express Connectors
- 3.SR 85 Express Lanes (PA/ED)
- 4. US 101 Express Lanes (PA/ED)
- 5.SR 237 Express Lanes PH 2
- 6.SV Express Lanes US101/SR85, PH 3
- 7.SV Express Lanes US101/SR85, PH 4
- 8. SV Express Lanes Electronic Toll System (ETS)
- 9. Noise Reduction Program on SR 85

VTP Highway Projects

October 2016

El Camino Real/SR 85/SR 237/Middlefield



Project Description:

Project alternatives include operational improvements to the El Camino Real/SR 85 Interchange, auxiliary lanes on SR 85 from El Camino Real to the SR 85 / SR 237 Interchange, and operational improvements at the Middlefield Road / Route 237 Interchange. The approved funding was solely for the production of a Project Initiation Document.

Project Status:

VTA and City of Mountain View prepared a Project Initiation Document. A Final Project Study Report/Project Development Support (PSR-PDS) was approved by Caltrans in early 2013.

Preparation of environmental documents and preliminary engineering are dependent upon funding.

Project Schedule:

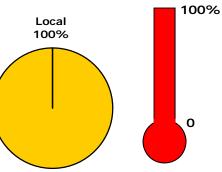
Schedule is dependent upon funding.



Secured Funding Balance d = (a-c)
-
-
(9)
9
-

Funding (millions):

Funding Source	Identified	Secured
Meas B Swap	\$0.54	\$0.54
Local (Mountain View)	\$0.25	\$0.25
Total	\$0.79	\$0.79

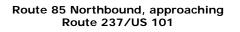


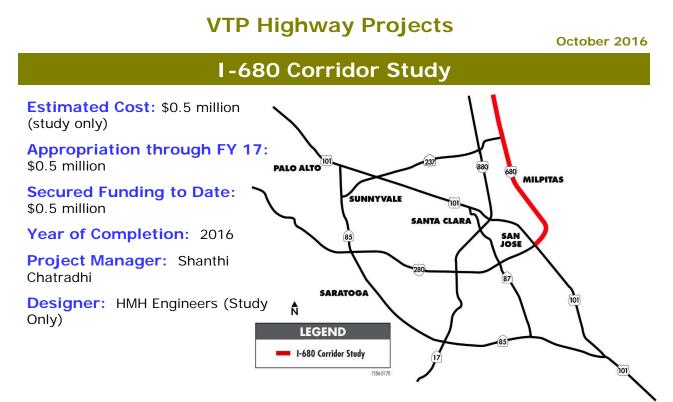
Portion of Estimated Cost for which funding has been identified (PID only)



Route 237 looking west towards Route 85







Project Description:

The scope of work includes an assessment of existing and future conditions, development of a study framework and evaluation matrix of improvement alternatives, and identifying strategies and projects for improving mobility in the I -680 Corridor between US 101 and Alameda/Santa Clara County line.

Project Status:

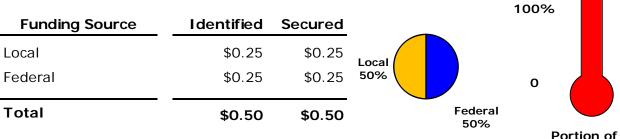
Request for proposal from design consultants for the I-680 corridor study was issued in July 2014. Contract was awarded to HMH Engineers at the December 2014 VTA Board Meeting. HMH Engineers completed traffic operations, and environmental analysis. Intensive public outreach effort was also done. HMH Engineers submitted project alternatives and corridor study report in February 2016. This project was closed in March 2016.

Project Schedule:

Activity	Start	End	2014	2015	2016	2017
I-680 Study - Project Initiation	Early 2015	Late 2015				
I-680 Study - Public Outreach	Mid 2015	Late 2015				
I-680 Study - Corridor Study Report	Late 2015	Early 2106				

Project Cost Element	Secured Funding a	Apr-16 Committed Costs <i>b</i>	Apr-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	500	500	500	-
Financing Costs	-			-
Total	500	500	500	-
Secured	I Funding Incurred	100%		
Secured F	unding Committed	100%		
NOTE: All amounts are Year Of Expenditure	dollars in \$1,000's			

Funding (millions):



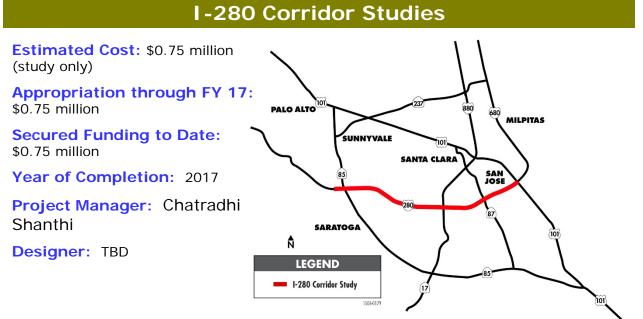
Portion of Estimated Cost for which funding has been identified



Aerial showing typical AM commute on I-680 in the Capitol Expressway and Alum Rock interchange areas

VTP Highway Projects

October 2016



Project Description:

The I-280 Corridor Study will develop a strategic plan for the for the 22 mile I-280 corridor from the US 101/I-680 interchange in San Jose to Page Mill Road in Palo Alto in Santa Clara County. Through a collaborative effort with local, State and regional stakeholders, the study will identify transportation improvement projects along the corridor that relieve congestion, improve operations and enhance safety, for programming and implementation.

Project Status:

Cooperative agreement with the City of Cupertino was executed in May 2015. Request for proposal for consulting services to conduct the study was issued in July 2015. Contract was awarded to Kimley Horn and Associates. Study started in January 2016. Data collection is complete and existing conditions evaluation is under review by Stakeholders. Public meetings in City of San Jose and City of Cupertino were held in September 2016. Consultant is currently working on concept plan analysis and draft report is expected by early 2017. Final report is expected by mid 2017.

Activity	Start	End	2014	2015	2016	2017
Consultant Procurement	Mid 2015	Late 2015				
Existing Condition Evaluation	Early 2016	Early 2016				
Concept Plan Analysis	Early 2016	Late 2016				
Study Report	Late 2016	Early 2017				

Project Schedule:

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	750	642	308	442
Contingency				-
Total	750	642	308	442
Secureo	Funding Incurred	41%		
Secured F	unding Committed	86%		
NOTE: All amounts are Year Of Expenditure	dollars in \$1,000's			

Funding (millions):

inding (millions):				Local
Funding Source	Identified	Secured		33%
cal	\$0.25	\$0.25		
ocal (Cupertino)	\$0.50	\$0.50		/
otal	\$0.75	\$0.75	Local (Cupertino) 67%	

Portion of **Estimated Cost** for which funding has been identified



October 2016

Innovation Transportation Technology Program

Estimated Cost: \$2.0 million (study only)

Appropriation through FY 17: \$2.0 million

Secured Funding to Date: \$0.09 million

Year of Completion: 2017

Project Manager: Ramanujam Murali

Consultant: Texas Transportation Institute

Project Description:

To provide Intelligent Transportation System (ITS)/technology related improvements through projects to involve advanced express lanes enforcement technology, demand responsive/adaptive ramp metering, remote ramp metering control system, credit-based congestion pricing, mobile/web apps to report graffiti/pothole.

As part of this program, an effort was undertaken to do a paper and workshop on anticipating how future technologies could impact the Silicon Valley Express Lanes. VTA hosted a workshop on October 9, 2015 to assess how the Silicon Valley Express Lanes could be impacted by emerging technologies. The attendees for the workshop formed an expert panel that provided guidance for VTA staff. The panel consisted of a variety of individuals representing small and large technology companies, government agencies, enforcement personnel, and financial service organizations.

Project Status:

The current effort is currently nearing completion. Workshop was completed in October 2015, presented information at Transportation Research Board via committee meeting and poster board session. The draft briefing paper is under review. Future efforts will depend on securing funds.

Project Schedule:

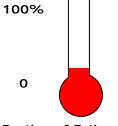
The briefing paper will be finalized by February 2017.

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	84	82	73	11
Project Contingency	1			1
Total	85	82	73	12
Secured	I Funding Incurred	86%		
Secured F	unding Committed	96%		
NOTE: All amounts are Year Of Expenditure	dollars in \$1,000's			

Local

Funding (millions):

Funding (millions):			4%	100%	
Funding Source	Identified	Secured			
Swap/SVSX	\$0.09	\$0.09			
TBD	\$1.92	\$0.00		0	
Total	\$2.00	\$0.09	TBD 96%	Portion of	



Estimated Cost for which funding has been identified



Workshop hosted by VTA to assess how the Silicon Valley Express Lanes could be impacted by emerging technologies

VTP Highway Projects

October 2016

Bicycle Related Projects

Estimated Cost: \$0.84 million (study only)

Appropriation through FY 17: \$0.84 million

Secured Funding to Date: \$0.84 million

Year of Completion: P-0919 : 2018 – P-978: 2017

Project Manager: Lauren Ledbetter

Designer: Fehr & Peers

Project Description:

Bicycle Safety Education: This project will deliver up to three pilot educational and/or encouragement programs to promote bicycling and bicyclist safety.

Countywide Bicycle Plan Update: Update VTA 2008 Countywide Bicycle Plan with an emphasis on serving disadvantaged communities.

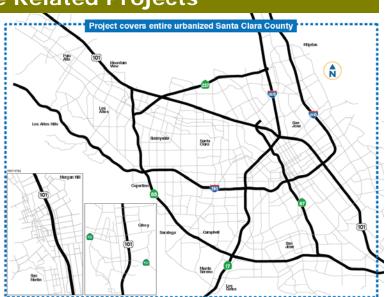
Project Status:

Contract for the **County Wide Bicycle Plan Update** project was awarded to Fehr & Peers in September 2015. Consultant will analyze the existing conditions, conduct outreach efforts, develop project and policy recommendations and develop implementation strategies and produce a countywide plan that will be considered for adoption by VTA Board. VTA held three public meetings for the Bicycle Plan in March 2016 in three different parts of the County. In addition, VTA publicized an online mapping tool to solicit input from community members, tabled numerous local events and festivals, spoke at numerous organizations, and conducted a text-based survey.

Bicycle Safety Educational project will deliver up to three pilot educational and/or encouragement programs to promote bicycling for transportation and bicyclist safety. Under project Santa Clara County Bicycle Map was updated, with 35,000 English maps printed in May 2016 and 6,000 Spanish maps printed summer 2016. Currently developing scope of work for a series of adult bicycle safety education and instructor certification classes.

Project Schedule:

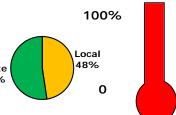
Activity	Start	End	2015	2016	2017
Existing Condition Evaluation	Oct-15	Mar-16			
Public Outreach	Jan-16	Aug-16			
Develop Draft Plan	Apr-16	Dec-16			
Draft Plan - Public Comments	Jan-17	Mar-17			
Plan Adoption	Apr-17	Jun-17			



Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	843	679	493	350
Project Contingency				-
Total	843	679	493	350
Secure	d Funding Incurred	58%		
C a a constal	Funding Committed	81%		

Funding (millions):

Funding Source	Bicycle Safety Ed	Countywide Bicycle Plan	Total Identified	Total Secured	
CMP		0.26	\$0.26	\$0.26	State
State		0.44	\$0.44	\$0.44	52%
MeasB Swap	0.14		\$0.14	\$0.14	
Total	0.14	0.70	\$0.84	\$0.84	



Portion of Estimated Cost for which funding has been identified



Public meeting held in Cupertino

VTP Highway Projects

October 2016

Intelligent Transportation System Project

Estimated Cost: \$14.0 million

Appropriation through FY 17: \$14.0 million

Secured Funding to Date: \$0.3 million

Year of Completion: 2017 (Strategic Plan only)

Project Manager: Kobayashi, David

Designer/Consultant: DKS Associates

Project Description:

VTA developed a strategic Intelligent Transportation System (ITS) plan in 2008. This has been used as a roadmap to deploy ITS in Santa Clara County for both roadways and public transportation. The plan concluded that although further ITS deployment is warranted, there needs to be more emphasis on the following:

- Provide the human resources needed for effective real-time transportation operations.
- Provide the human resources and specialty contractors needed for rapid correction of faults in technology systems.
- Provide more accurate real-time information to travelers.
- Continuously collect performance measures for real-time transportation operations.
- · Implement technology-based improvements for transportation systems

This project will address the above and update the ITS plan to be consistent with the USDOT priorities as identified below:

- Enhance Mobility
- Limit Environmental Impacts
- Promote Innovation
- · Support Transportation System Information Sharing

Subsequent work on this project will depend on the scope adopted by the Board and securing funding.

Project Status:

Request for Proposal (RFP) was issued in July 2016. Work is expected to start in early 2017

Activity	Start	End	2016	2017
Consultant Procurement	Jul-16	Dec-16		
Stake Holder Outreach	Jan-17	Jun-17		
Develop Draft Plan/review	May-17	Aug-17		
Final Report and Plan Adoption	Sep-17	Dec-17		

the system project

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	300	244	3	297
Project Contingency	0			0
Total	300	244	3	297
Secur	ed Funding Incurred	1%		
Secured	Funding Committed	81%		

Funding (millions):

runding (minoris).			Local	
Funding Source	Identified	Secured	2%	100%
Local	\$0.30	\$0.30		
TBD	\$13.70	\$0.00		
Total	\$14.00	\$0.30		ο
			TBD	, i

98%

Portion of Estimated Cost for which funding has been identified

VTP Highway Projects

October 2016

Local PDA Planning – Santa Clara

Estimated Cost: \$1.0 million

Appropriation through FY 17: \$1.0 million

Secured Funding to Date: \$1.0 million

Year of Completion: 2017

Project Manager: Sighamony, John

Designer: CD+A



Project Description:

This project supports transportation investments to improve performance in Priority Development Areas (PDA) in:

City of Morgan Hill for Downtown Specific Plan Advanced Planning Activities, City of Mountain View for East Whisman Precise Plan and, City of Campbell for Transportation Improvement Plan

PDAs are areas that communities identified as possible areas to grow, nominated by the city or town council via resolution. They are generally areas of at least 100 acres where there is local commitment to developing more housing along with amenities and services to meet the day-to-day needs of residents in a pedestrian-friendly environment served by transit. It is envisioned that these grants will help local jurisdictions enhance their planning activities to enable developments in the planned or potential PDAs. The objective of this work effort is to assist VTA Member Agencies in preparing the deliverables of the Grant program.

Project Status:

Request for Proposal (RFP) to provide professional services for land use and transportation planning for the Priority Development Area (PDA) Planning Grant program was issued in October 2015. Contract was awarded to CD+A.

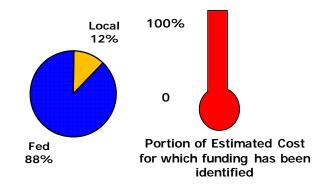
Project Schedule:

Activity	Start	End	2015	2016	2017
Consultant Procurement	Sep-15	Feb-16			
Public Outreach	Mar-16	Dec-16			
City of Campbell Transportation Improvement Plan	Mar-16	Dec-16			
City Mountain View Precise Plan (E. Whisman)	Apr-16	Sep-17			
City of Morgan Hill Downtown Specific Plan	Apr-16	Sep-17			
Project Closeout	Oct-17	Dec-17			

Project Cost Element	Secured Funding a	Apr-16 Committed Costs <i>b</i>	Apr-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	1,010	899	5	1,005
Project Contingency				-
Total	1,010	899	5	1,005
Secure	d Funding Incurred	1%		
Secured I	Funding Committed	89%		
NOTE: All amounts are Year Of Expenditure	e dollars in \$1,000's			

Funding (millions):

Funding Source	Identified	Secured
Local	\$0.12	\$0.12
Fed	\$0.89	\$0.89
Total	\$1.01	\$1.01



VTP Highway Projects

October 2016

Story – Keyes Corridor Complete Streets Study



Project Description:

Prepare comprehensive complete streets study that will examine existing conditions, identify multi-modal priorities for bicycle/ pedestrian/transit riders, analyze conceptual design alternatives & provide recommendations for funding & project implementation. Story Road and Keyes Street is an important commercial and transportation corridor connecting multiple low income and minority neighborhood in Central San Jose. The goal is to transform Story-Keyes into a high quality multimodal corridor that provides safe and comfortable accommodation for bicyclists, pedestrians and transit riders while still serving motorists.

Project Status:

A Request for Proposal (RFP) for the study was issued by VTA in April 2016. Three proposals were received. After review of the proposals, followed by interviews of shortlisted firms, the contract was awarded to Fehr and Peers in July 2016. The project kicked off in late July 2016 and the first found of outreach was held in November 2016.

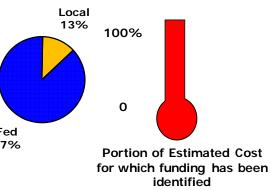
Activity	Start	End	2016	2017	2018
Consultant Procurement	Apr-16	Aug-16			
Existing Condition Evaluation	Sep-16	Oct-16			
Public Outreach	Oct-16	Jul-17			
Develop Plan Alternatives	Nov-16	Sep-17			
Draft Plan Issue and Review	Sep-17	Oct-17			
Final Report	Nov-17	Feb-18			
Project Closeout	Feb-18	Apr-18			

Project Schedule:

			d = (a-c)
-	-	-	-
-	-	-	-
452	416	68	384
			-
452	416	68	384
g Incurred 159	%		
Committed 929	%		
	452	452 416	452 416 68

Funding (millions):

Funding Source	Identified	Secured	
Local	\$0.06	\$0.06	
Fed	\$0.40	\$0.40	
Total	\$0.46	\$0.46	



VTP Highway Projects

October 2016

Tasman Corridor Complete Streets Study

Estimated Cost: \$1.1 million

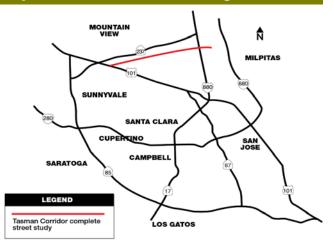
Appropriation through FY 17: \$1.1 million

Secured Funding to Date: \$1.1 million

Year of Completion: 2018

Project Manager: Swierk, Robert

Designer: Kimley Horn & Associates



Project Description:

The Tasman Drive Corridor Complete Streets Study is one of the three individual "Great Streets" corridor studies that VTA initiated in partnership with member Agencies. The purpose of these multi-jurisdictional planning studies is to evaluate opportunities along selected transportation corridors in Santa Clara County to demonstrate and advance Complete Streets improvements and to transform these roadways into high-quality, multimodal corridors that prioritize improvements for bicyclists, pedestrians and transit riders while still serving motorists. The key objective of this study is to identify multi modal access needs and improvements, safety, and connectivity. The study will develop and analyze conceptual design alternatives and provide recommendations for funding & project implementation. Following the completion of this study, VTA anticipates that individual Complete Streets projects may be pursued by local agencies to advance all or portions of the corridors through the environmental process, final design and implementation.

Project Status:

A Request for Proposal (RFP) for the study was issued by VTA in June 2016. Three proposals were received . After review of the proposals, followed by interview of two shortlisted proposals, the contract was awarded to Kimley Horn and Associates at the VTA Board of Directors meeting on October 6, 2016. **Project Schedule:**

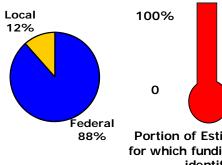
Activity	Start	End	2016	2017	2018
Consultant Procurement	Jun-16	Nov-16			
Existing Condition Evaluation	Dec-16	Mar-17			
Public Outreach	Feb-17	Nov-18			
Develop Plan Alternatives	Jun-17	Jun-18			
Draft Plan Issue and Review	Jun-18	Sep-18			
Final Report	Sep-18	Nov-18			
Project Closeout	Nov-18	Dec-18			

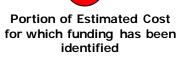
Froject Schedule.

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	1,128	836	-	1,128
Project Contingency				-
Total	1,128	836	-	1,128
Secure	d Funding Incurred	х		
Secured F	Funding Committed	74%		
NOTE: All amounts are Year Of Expenditure	U U			

Funding (millions):

Funding Source	Identified	Secured
Federal	\$1.00	\$1.00
Local	\$0.13	\$0.13
Total	\$1.13	\$1.13





October 2016

Bascom Corridor Complete Streets Study

Estimated Cost: \$1.1 million

Appropriation through FY 17: \$1.1 million

Secured Funding to Date: \$1.1 million

Year of Completion: 2018

Project Manager: Malahat Owrang

Designer: Moore Iacofano Goltsman (MIG) Inc



Project Description:

VTA has initiated a "Great Streets" Corridor Study effort to evaluate opportunities along select transportation corridors in Santa Clara County to demonstrate and advance Complete Streets improvements. The Bascom Corridor Complete Streets Study is one of three individual studies currently being developed under the overall "Great Streets" Corridor Study effort. This multi-jurisdictional complete streets study will examine existing conditions, identify priorities for bicyclists, pedestrians, transit riders while still serving motorists. The study will develop and analyze conceptual design alternatives and provide recommendations for funding & project implementation. Following the completion of this study, VTA anticipates that individual Complete Streets projects may be pursued by local agencies to advance all or portions of the corridors through the environmental process, final design and implementation.

Project Status:

A Request for Proposal (RFP) for the study was issued by VTA in June 2016. Eight proposals were received . After review of the proposals , followed by interview of five shortlisted proposals, the contract was awarded to MIG Inc. at the VTA Board of Directors meeting on October 6, 2016.

Activity	Start	End	2016	2017	2018
Consultant Procurement	Jun-16	Nov-16			
Existing Condition Evaluation	Dec-16	Mar-17			
Public Outreach	Dec-16	Nov-18	[
Develop Plan Alternatives	Jun-17	Jun-18			
Draft Plan Issue and Review	Jun-18	Sep-18			
Final Report	Sep-18	Nov-18			
Project Closeout	Nov-18	Dec-18			

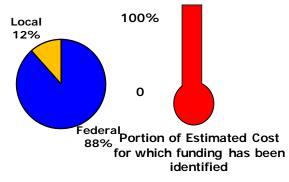
Project Schedule:

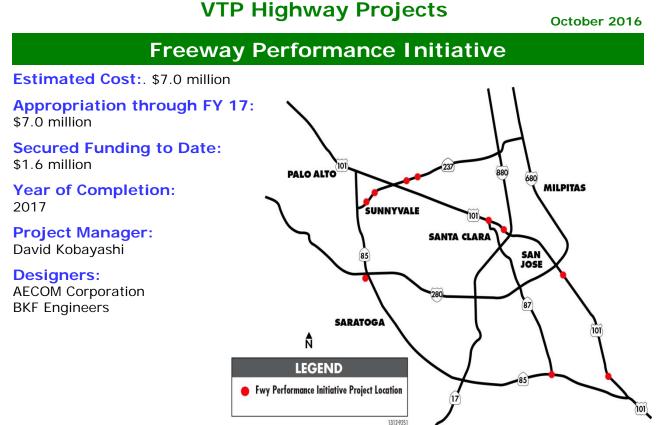
2-22

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs <i>c</i>	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	1,119	812	-	1,119
Project Contingency				-
Total	1,119	812		1,119
	d Funding Incurred	X		
	Funding Committed	73%		
NOTE: All amounts are Year Of Expenditur	e dollars in \$1,000's			

Funding (millions):

Funding Source	Identified	Secured
Federal	\$0.99	\$0.99
Local	\$0.13	\$0.13
Total	\$1.12	\$1.12





Project Description:

As part of MTC's Freeway Performance Initiative, this program will include a variety of projects to improve highway operations along six freeway corridors within Santa Clara County: SR 87, 17, 237, I-280, I-880, and US 101.

VTA, at the request of MTC and Caltrans, will act as the project manager for the design of proposed freeway improvements including on- and off-ramp widening, additional on- and off-ramp metering, and other Intelligent Transportation Systems (ITS) that are intended to gain additional throughput on the existing freeway systems.

Project Status:

The project is funded through the environmental and design phases, with construction funding to be identified in the future.

The AECOM Corporation and BKF Engineers teams completed environmental, data collection, and final design early 2015. Supporting environmental studies and final design packages have been approved by Caltrans. Construction is dependent on securing funds.

Activity	Start	End	2011	2012	2013	2014	2015	2016	2017
Environmental	Mid 2011	End 2013							
Design (PS&E)	Early 2012	Early 2015							
Construction	TBD								
Open to Traffic	TBD								
Closeout	TBD								

Funding a	Committed Costs b	Incurred Costs c	Funding Balance d = (a-c)
-	-	-	-
-	-	-	-
1,563	1,562	1,562	0
-	-	-	-
1,563	1,562	1,562	0
nding Incurred	100%		
ing Committed	100%		
	a - 1,563 - 1,563 nding Incurred	a b - - - - 1,563 1,562 - - 1,563 1,562	a b c - - - - - - 1,563 1,562 1,562 - - - 1,563 1,562 1,562 - - - 1,563 1,562 1,562

Funding (millions):

Funding Source	Identified	Secured	Federal 22%	
Federal	\$1.56	\$1.56		
TBD	\$5.44	\$0.00	твр	0
Total	\$7.00	\$1.56	78%	

Portion of Estimated Cost for which funding has been identified

100%



Typical Configuration of Freeway On-ramp Layout with Ramp Metering

October 2016

6.13.a

SR 152 Trade Corridor

Estimated Cost: \$1,136 million HENRY W. COE STATE PARK 4N I-5 Interchange Estimate Class 5 (see appendix) Improvements **Appropriation through FY** \$31.4 million 101 Secured Funding to Date: Access Control PACHECO SAN LUIS RESERVOI SANTA CLARA and Alignment COUNTY \$13 million Improvements PACHECO STATE PAR Year of Completion: TBD (Project Initiation Document (PSR-PDS) completed 2015) Access Control and Alignment **Project Manager:** Improvements: Eastbound Truck Grade Separation Climbing Lane of Local Roads Chris Metzger **Designer:** HDR MERCEL **Project Description:** New SR 152 Freeway VTA is studying the Alignment development of an east-west LEGEND SAN BENITO STATE HIGHWAY COUNTY LINE LOCAL ROAD WATER COURSE ED HIGHWAY IMPROVEMENTS trade and mobility corridor on PROPOSED INTERCHANGE POTENTIAL INTERCHANGE IMPROVEMENTS Route 152 between US 101 and AIRPORT/AIRPARK SAN JUAN BAUTISTA EXISTING INTERCHANCE TRUCK SCALE FACILITY STATE PARKS/RECREATIONAL AREAS I-5. This study was requested by CTC.

The study will evaluate highway improvements and financing strategies that could benefit the movement of goods and the mobility of commuters throughout the corridor. It includes evaluation of Route 152 realignment alternatives between US 101 and Route 156 to enhance travel safety and improve travel times while upgrading to expressway standards.

Major improvements within Santa Clara County include: New Alignment of SR 152 from US 101 to SR 156, including the SR 25/US 101 interchange, safety and operational improvements from SR 156 to Pacheco Pass, and new Eastbound Pacheco Pass climbing lanes.

Major improvements outside Santa Clara County may include: improvements to the SR 152/I-5 interchange and other safety and operational improvements along the corridor.

Project Status:

Major accomplishments to date include:

- Completed Preliminary Traffic and Revenue (T&R) Study
- Completed Trade Corridor Summary Report
- Completed Project Study Report/Project Development Support (PSR/PDS)
- Initiated Environmental and Engineering Technical Studies
- Developed a range of Corridor Improvements
- Prepared preliminary financial model
- PSR/PDS was approved by Caltrans in March 2015
- The **Next Steps** are to:
- Secure Funding to Continue Engineering and Environmental Studies and Complete Project Approval/Environmental Document(PAED)
- Develop and Execute Necessary Agreements

Project Schedule:

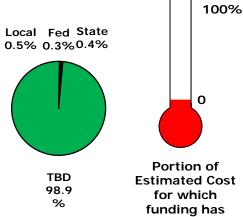
Additional funds are required to complete PAED. Schedule is dependent upon funding.

Funding a	Committed Costs <u>b</u>	Incurred Costs c	Funding Balance d = (a-c)
-	-	-	-
-	-	-	-
10,048	8,240	8,068	1,980
2,964		-	2,964
13,012	8,240	8,068	4,944
red Funding Incurred	62%		
d Funding Committed	63%		
	a - - 10,048 2,964	a b - - - - 10,048 8,240 2,964	a b c - - - - - - 10,048 8,240 8,068 2,964 - - 13,012 8,240 8,068 red Funding Incurred 62%

Funding (millions):

Funding Source	Identified	Secured
Local (Other)	\$0.15	\$0.15
Measure A/STIP Swap	\$5.00	\$5.00
Federal	\$2.86	\$2.86
State - STIP	\$5.00	\$5.00
TBD*	\$1,122.99	\$0.00
Total	\$1,136.00	\$13.01

* includes \$300 million included in P-0606 also for the US101/Rt25 interchange



been identified



Existing SR 152 Trade Corridor

October 2016

US 101 Widening - Monterey Road to SR 129

Estimated Cost: \$450 million Estimate Class 4 *(see appendix)*

Appropriation through FY 17: \$11.1 million

Secured Funding to Date: \$5.9 million

Year of Completion: TBD

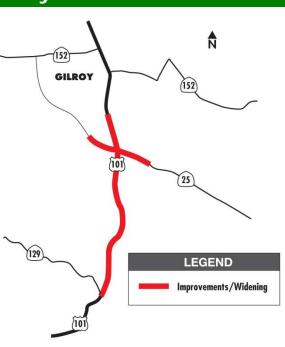
(Environmental documents approved 2013)

Project Manager: Chris Metzger

Designer: AECOM Corporation

Project Description:

The project proposes to widen US 101 from four to six lanes in Santa Clara and San Benito Counties to meet future traffic demands and to provide access control. The project also includes constructing a new interchange at the intersection of US 101 and SR 25, extending Santa Teresa Boulevard to connect to SR 25 at the SR 25/US 101 Interchange, and improvements on SR 25 required for efficient traffic operations at the SR 25/US 101 interchange.



The project proposes approximately 4.1 miles of freeway improvements on US 101 into Santa Clara County and approximately 2.6 miles of improvements on US 101 in San Benito County. VTA is in partnership with San Benito Council of Government, Caltrans District 4, Caltrans District 5, local agencies and developers to deliver the project.

The project is contemplated to be delivered in two segments. The first segment extends from the northern limit of the project to the US 101/Route 25 interchange. The second segment extends from just south of the US 101/SR 25 interchange to the US 101/SR 129 interchange.

The SR 25/US 101 Interchange reconstruction is a central element to both the US 101 Widening Project and the SR 152 Trade Corridor Project. The interchange construction is included in the description of both VTP Highway Project Descriptions as it is crucial to improve operations of both of the proposed projects. Budget for the northern limit segment is also included in the SR 152 Trade Corridor Project estimated cost in the amount of \$300 million.

Project Status:

Environmental/Preliminary Engineering:

The FEIR was approved at the June 2013 Board Meeting. Project report was approved by Caltrans in November 2013. Design and construction is dependent upon funding.

Project Schedule:

Schedule is dependent upon funding.

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	68	68	68	-
Labor, Services and Support	5,832	5,832	5,832	-
Contingency	-	-	-	-
Total	5,900	5,900	5,900	
Secure	d Funding Incurred	100%		
Secured F	unding Committed	100%		
NOTE: All amounts are Year Of Expenditure	e dollars in \$1,000's			

Funding (millions):

Funding Source	Identified	Secured	Local 1%	
Meas A/STIP Swap	\$4.90	\$4.90		
Meas B Swap	\$1.00	\$1.00		0
TBD	\$444.10	-		
Total	\$450.00	\$5.90	TBD 99%	
			,,,,,	Portion of Estimated



Northbound US 101 approaching SR 129 Overcrossing



Northbound US 101 at SR 25 Overcrossing

100%

Cost for which funding has been identified

October 2016

US 101 De La Cruz Boulevard/Trimble Road Interchange Improvements

Estimated Cost: \$40 million

Estimate Class 4 *(see appendix)* **Appropriation through FY 17:** \$4.9 million **Secured Funding to Date:**

\$0.9 million

Year of Completion: 2016 (PA/ED)

Project Manager: David Kobayashi

Designer: Rajappan & Meyer Consulting Engineers, Inc.

Project Description:

The project evaluates improvements to the US 101-De La Cruz Boulevard/Trimble Road interchange in San Jose, including:

- Replacing the existing US 101 overcrossing
- Widening De La Cruz Blvd/Trimble Road to six travel lanes through the interchange limits
- Reconstructing the southbound exit loop to a partial cloverleaf design and incorporating a new intersection on De La Cruz Boulevard
- Configuring interchange and surface street improvements for multi-modal uses, including pedestrian and bicycle users.

Project Status:

A Cooperative Agreement was executed with Caltrans in February 2012 to facilitate the completion of the Project Initiation Document. A Draft Project Study Report/Project Development Support – PSR/PDS – was submitted to Caltrans in Spring 2012. The Final PSR/PDS was completed in November 2012.

With VTA as the Environmental Lead Agency, the Project Report and Environmental Document (State-CEQA only) for the interchange improvements was approved in early 2016. Design and construction is dependent upon on funding.

Activity	Start	End	2008	2009	2010	2011	2012	2013	2014	2015	2016
Environmental/PE	2008	2016									
Design PS&E	TBD										

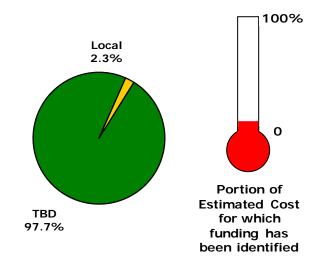




Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs <i>c</i>	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	904	902	902	1
Financing Costs	-	(19)	(19)	19
Total	904	884	884	20
Secure	d Funding Incurred	98%		
Secured F	unding Committed	98%		

Funding (millions):

Funding Source	Identified	Secured
Local (San Jose)	\$0.85	\$0.85
Meas A Swap	\$0.05	\$0.05
TBD	\$39.10	-
Total	\$40.00	\$0.90





Rendering of Proposed Overcrossing



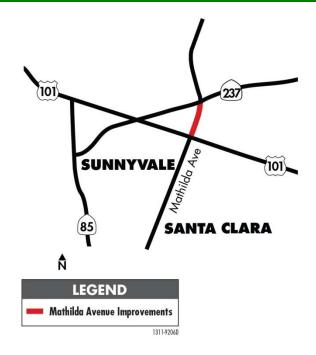
Rendering of US 101/De La Cruz Blvd Interchange

October 2016

Mathilda Avenue Improvements at SR 237 and US 101

Estimated Cost: \$40.0 million Estimate Class 5 (see appendix) Appropriation through FY 17: \$35.9 million Secured Funding to Date: \$4.0 million Year of Completion: 2019 Project Manager: Marilou Ayupan

Designer: WMH Corporation



Project Description:

The project proposes to reduce congestion and improve traffic operations on Mathilda Avenue at SR 237 and US 101 in Sunnyvale and enhance bicycle and pedestrian movements through both interchange areas.

Project Status:

Environmental/ Preliminary Engineering: The preparation of the Project Study Report – Project Development Support (PSR-PDS) for the Project Initiation Document (PID) phase was completed in February 2015. Project Approval and Environmental Document (PA/ED) began in early 2015 and is targeted for completion by early 2017.

Project Schedule:

Activity	Start	End	2013	2014	2015	2016	2017	2018	2019
Environmental/PE	Mid 2013	Early 2017				1			
Design (PS&E)	Late 2016	Late 2017							
Right-of-Way	Early 2017	Early 2018							
Construction	Early 2018	Early 2019							
Closeout	Early 2019	Late 2019							

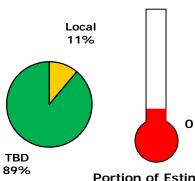
Funding not Identified, schedule is tentative



Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	100	6	6	95
Labor, Services and Support	3,899	3,786	2,849	1,050
Contingency	1	-	-	1
Total	4,000	3,792	2,855	1,145
Secure	d Funding Incurred	71%		
	unding Committed	95%		

Funding (millions) :

Funding Source	Identified	Secured
Local (City)	\$4.00	\$4.00
TBD	\$36.00	\$0.00
Total	\$40.00	\$4.00



Portion of Estimated Cost for which funding has been identified



Aerial View of Mathilda Avenue between US 101 and SR 237





100%

October 2016

US101/Zanker Rd/Skyport Dr/N 4th St Interchange

Estimated Cost: \$ 138 million

Appropriation through FY 17: \$8.0 million Secured Funding to Date: \$1.5 million

Year of Completion: 2023

Project Manager: Marilou Ayupan

Designer: AECOM

Project Description:

VTA, City of San Jose and California Department of Transportation (Caltrans), proposes to construct a new interchange connecting Zanker Road and Old Bayshore Highway with North 4th Street and Skyport Drive on United States Route 101 (US 101) in San Jose



This project will improve roadway connectivity, traffic operations, congestion and circulation.

Project Status:

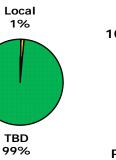
Project Initiation Document (PID) phase including alternative analysis started April 2016 and is planned for completion in mid 2017.

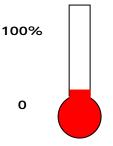
-										
Activity	Start	End	2016	2017	2018	2019	2020	2021	2022	2023
PID Phase	Mid 2016	Mid 2017								
PAED Phase	Mid 2017	Early 2019								
Design (PS&E)	Early 2019	Early 2021								
Right-of-Way	Early 2019	Early 2021								
Construction	Early 2021	Mid 2023								
Closeout	Mid 2023	Late 2023								
-					Fundi	ng not Identi	ified, schedul	e is tentative	;	

Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
-	-	-	-
-	-	-	-
1,389	1,057	339	1,050
111			111
1,500	1,057	339	1,161
Funding Incurred	23%		
unding Committed	70%		
	Funding a - - 1,389 111	Secured Funding aCommitted Costs b1,3891,057111-1,5001,0574 Funding Incurred23%	Secured Funding aCommitted Costs bIncurred Costs c1,3891,0573391111,5001,0571,5001,057339

Funding (millions):

Funding Source	Identified	Secured
Local	\$1.50	\$1.50
TBD	\$136.50	\$0.00
Total	\$138.00	\$1.50



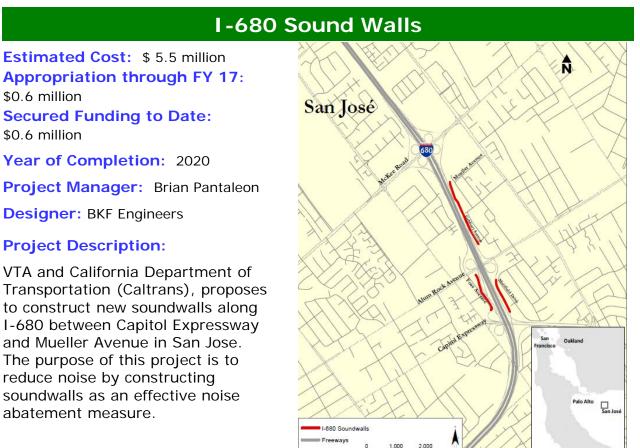


Portion of Estimated Cost for which funding has been identified



Conceptual Aerial Map

October 2016



Project Status:

Request for Proposal (RFP) was issued in February 2016 for selection of designer to complete Project Approval/Environmental (PA/ED) phase. Selection process was conducted in early 2016 and contract was awarded to BKF Engineers in August 2016. Work on the PAED phase started in September 2016 and is targeted for completion by mid 2017.

Local Roads

Project Schedule:

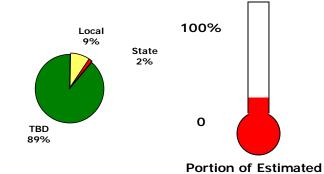
Activity	Start	End	2016	2017	2018	2019	2020
PAED Phase Design (PS&E) Construction Closeout	Mid 2016 Mid 2017 Mid 2019 Mid 2020	Mid 2017 Mid 2018 Mid 2020 End 2020			Constru delay du funding constra	ie to	

6.13.a

Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
-	-	-	-
-	-	-	-
594	381	132	462
3			3
597	381	132	464
ed Funding Incurred	22%		
Funding Committed	64%		
	Funding a - - 594 3 597 ed Funding Incurred	Funding Costs a b - - - - 594 381 3 - 597 381 ed Funding Incurred 22%	Funding a Costs b Costs c - - - - - - - - - - - - 594 381 132 3 - - 597 381 132 ed Funding Incurred 22%

Funding (millions):

Funding Source	Identified	Secured
Local	\$0.50	\$0.50
State	\$0.10	\$0.10
TBD	\$4.90	\$0.00
Total	\$5.50	\$0.60





Aerial Map showing proposed soundwall limits



I-680 Soundwall project Informational Open House at Mayfair Community Center, San Jose

Cost for which funding has been identified

October 2016

I-280/Wolfe Rd Interchange Improvement Project

Estimated Cost: \$ 62 million

Appropriation through FY 17: \$4.4 million Secured Funding to Date: \$1.2 million

Year of Completion: 2022

Project Manager: Lam Trinh

Designer: HMH Engineers

Project Description:

VTA, City of Cupertino and California Department of Transportation (Caltrans), proposes to modify the Wolfe Road interchange on Interstate Route 280 (I-280) in the City of Cupertino.



This project will improve traffic operations and circulation by modifying the interchange and widening the existing Wolfe Road bridge structure, or constructing a new bridge structure over I-280 in the City of Cupertino.

Project Status:

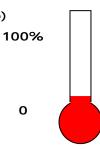
Project Initiation Document (PID) phase including alternative analysis started June 2016 and is planned for completion in mid 2017.

Activity	Start	End	2016	2017	2018	2019	2020	2021	2022
PID Phase	Mid 2016	Mid 2017							
PAED Phase	Mid 2017	End 2018							
Design (PS&E)	Mid 2018	End 2019							
Right-of-Way	Mid 2018	End 2019							
Construction	Early 2020	End 2021							
Closeout	Early 2022	Mid 2022							
<u> </u>	I	1			Fundi	ng not Identi	fied, schedul	e is tentative	

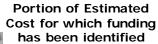
Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs <i>c</i>	Secured Funding Balance d = (a-c)
-	-	-	-
-	-	-	-
1,200	885	259	941
			-
1,200	885	259	941
Funding Incurred	22%		
unding Committed	74%		
	Funding a - 1,200 1,200	Secured Funding aCommitted Costs b1,2008851,200885	Secured Funding aCommitted Costs bIncurred Costs c1,2008852591,200885259

Funding (millions):

Funding (millions):			(Cupertino) 2%
Funding Source	Identified	Secured	2% 10
Local	\$1.20	\$1.20	
TBD	\$60.80	\$0.00	
Total	\$62.00	\$1.20	TBD 98%



Local





Conceptual Aerial Map

October 2016

I-280/Winchester Boulevard Improvements Project



Project Description:

The I-280/Winchester Boulevard Improvements Project proposes to construct improvements in the vicinity of the Interstate 280 (I-280)/Winchester Boulevard Interchange to relieve congestion, improve traffic operations on the freeways and local roadway, provide new access from northbound I-280 to Winchester Boulevard, and improve bicycle, pedestrian, and transit accesibilility and connectivity.

Project Status:

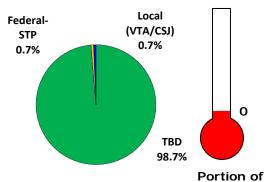
Project Approval/Environmental Document (PA/ED) phase including alternatives analysis started July 2016 and is planned for completion in early 2020.

Activity	Start	End	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025
Alternative Analysis	Mid 2016	Mid 2017										
PAED Phase	Mid 2017	Early 2020										
Design (PS&E)	Early 2020	Early 2022										
Right-of-Way	Early 2020	Early 2022										
Construction	Early 2022	Early 2025										
Closeout	Early 2025	Late 2025										
			I		Euro	ding not l	doptified	aabadula	in tonto	tive		
					⊢un	ding not I	aentified,	scnedule	e is tenta	live		

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	835	651	139	696
Contingency	165			165
Total	1,000	651	139	861
Secure	d Funding Incurred	14%		
	Funding Committed	65%		

Funding (millions):

Funding Source	Identified S	Secured
Local (VTA/CSJ)	\$0.50	\$0.50
Federal-STP	\$0.50	\$0.50
TBD	\$74.00	\$0.00
Total	\$75.00	\$1.00



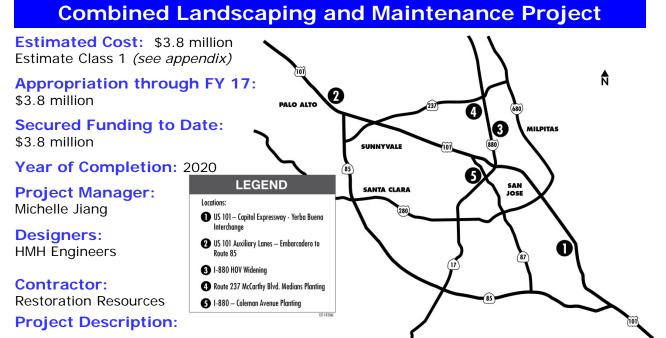
Portion of Estimated Cost for which funding has been identified



Project Location Map

100%

October 2016



The combined projects consist of landscape planting, irrigation and plant establishment period (PEP)/ landscape maintenance for five separate locations. The projects are designed and separated into three contracts at the following locations:

- Contract 1 **I-880/ Coleman Ave. Landscaping**; A follow-on replacement planting project to the highway interchange improvements project completed in 2007. The project provides landscape planting and irrigation streetscape improvements at Coleman Avenue and slope planting within adjacent Caltrans right-of-way.
- Contract 2 **I-880 HOV Widening**; a follow-on 2-year plant establishment period (PEP)/ landscape maintenance contract to complete the 3-year PEP requirements by Caltrans.

US 101/ Aux Lanes; a follow-on 2-year plant establishment period (PEP)/ landscape maintenance contract to complete the required Caltrans 3-year PEP.

US 101/ Yerba Buena Rd – Tully Rd; a follow-on 2-year plant establishment (PEP)/ landscape maintenance contract to complete the required Caltrans 3-year PEP.

• Contract 3 SR 237/ McCarthy Blvd. Medians Landscaping; The project provides landscape planting and irrigation streetscape improvements at McCarthy Blvd. in Milpitas. Adjacent highway slope planting in Caltrans right-of-way will complete the landscaping.

Project Status:

Contract 1: Advertisement for bids was issued in February 2015 and was awarded to the lowest bidder in May 2015. Construction started in June 2015 and was completed in October 2015. PEP period will be completed in Oct 2018.

Contract 2: PEP/maintenance contract was awarded at the October 2014 Board meeting. Work is ongoing and will continue till summer of 2017.

Contract 3: Final design documents are being developed based on scope agreed upon with City of Milpitas. Construction is expected to start in Spring 2017.

Activity	Start	End	2013	2014	2015	2016	2017	2018
Design	April 2013	Mar-15						
Planting	Apr 2015	Dec 2015						
Plant Establishment	Sept 2014	Dec 2018						

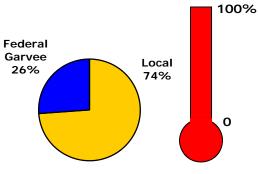




Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	1,524	1,524	973	551
Real Estate	-		-	-
Labor, Services and Support	2,156	2,156	1,539	618
Operation	115	115	27	88
Contingency	29	29	-	29
Total	3,824	3,824	2,539	1,285
Secureo	funding Incurred	66%		
	unding Committed	100%		

Funding (millions):

Funding Source	Identified	Secured
City of Milpitas	\$0.50	\$0.50
City of San Jose	\$0.12	\$0.12
Measure A/Swap	2.20	2.20
GARVEE	1.00	1.00
Total	\$3.82	\$3.82



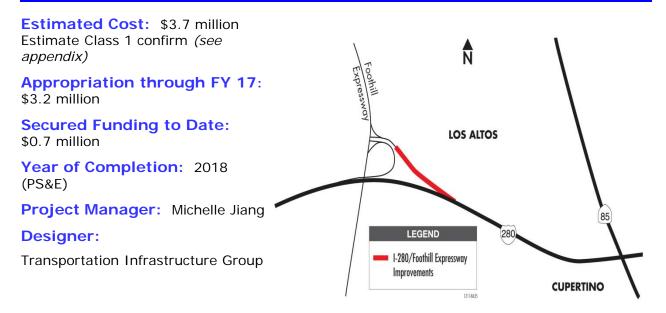
Portion of Estimated Cost for which funding has been identified



Ongoing PEP along the I -880 HOV widening project location US 101 Tully Interchange

October 2016

I-280/Foothill Expressway Ramp Improvements



Project Description:

The I-280/Foothill Expressway Ramp Improvements scope includes widening the existing northbound I-280 exit to Foothill Expressway from one lane to two lanes and constructing a 4ft-wide shoulder with retaining wall and concrete barrier. The project area extends from the SR 85 connector ramp to NB I-280 and to Foothill Expressway.

Project Status:

Environmental studies and final design have been completed. The project is currently on hold and construction is contingent on funding.

Project Schedule:

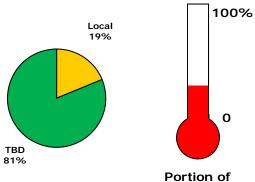
Activity	Start	End	2012	2013	2014	2015
Design (PS&E)	Early 2012	Mid 2014				
		Construction is contingent upon funding.				ing.

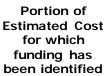
6.13.a

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	700	700	700	0
Contingency		-	-	-
Total	700	700	700	0
Secure	d Funding Incurred	100%		
Secured I	unding Committed	100%		
NOTE: All amounts are Year Of Expenditure	C C			

Funding (millions)

Funding Source	Identified	Secured
Meas A Swap	\$0.70	\$0.70
TBD	\$3.03	\$0.00
Total	\$3.73	\$0.70







I-280 Northbound, approaching Foothill Expressway



Aerial View of I-280/Foothill Expressway Project Location

October 2016

Landscaping at I-280/I-880/Stevens Creek Blvd

Estimated Cost: \$3.3 million

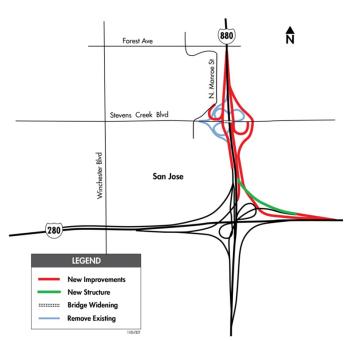
Appropriation through FY 17: \$3.5 million

Secured Funding to Date: \$3.3 million

Year of Completion: 2019

Project Manager: Michelle Jiang

Designer: TBD



Project Description:

This project includes landscaping planting, irrigation and plant establishment period and is follow on to civil construction of the I-280/I-880/Stevens Creek Boulevard Improvements Interchange project.

Project Status:

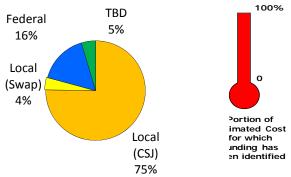
Cooperative agreement with Caltrans has been established in May 2015. Design started in July 2015 and will be completed by December 2016. Construction contract is planned to be advertised in spring 2017.

			FY'	15 FY	16 FY´	17 FY'	18 FY	19 FY2	20 FY	21
Activity	Start	End	2014	2015	2016	2017	2018	2019	2020	2021
Design (PS&E/Bid)	Mid 2015	Late 2016								
Construction and PEP	Early 2017	Late 2020								
Closeout	Early 2021	Mid 2021								

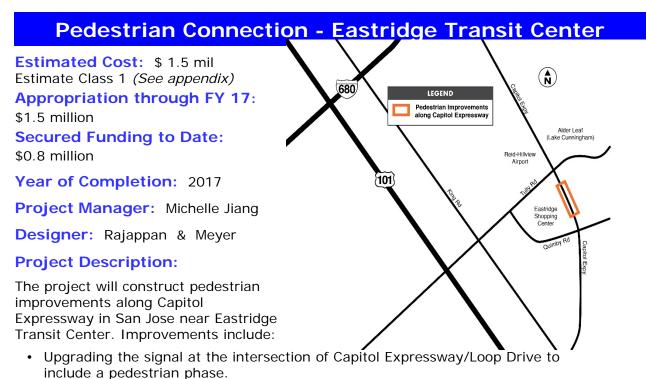
-	1,407 -
	-
528	919
	485
528	2,811

Funding (millions)

Funding Source	Identified	Secured	Fed 16
MeasB/SWAP	\$0.14	\$0.14	Loc
City	\$2.63	\$2.63	(Swa 49
Federal	\$0.57	\$0.57	47
TBD	\$0.16	\$0.00	
Total	\$3.50	\$3.34	



October 2016



- Installing a pedestrian crosswalk at the intersection of Capitol Expressway and Eastridge Loop
- Installing a median fence on Capitol Expressway between Tully Road and Eastridge Loop.
- Coordinate work with adjacent City of San Jose recreational trail project.

Project Status:

Environmental process was completed in June 2015. Project is being redesigned after coordination with City of San Jose's trail project. Construction contract planned to be be advertised for bids in early 2017 pending approval of construction funding by Caltrans.

Project Schedule:

Project Schedule:	ĺ	FY1	5	FY1	16 FY	17		
Activity	Start	End	20	14	20	15	2016	2017
Environmental/PE	Late 2014	Mid 2015						
Design (PS&E)	Mid 2015	Early 2017	-					
Construction	Early 2017	Mid/Late 2017						
Closeout	Late 2017	End 2017						

Funding to be secured schedule is tentative

6.13.a



Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	760	493	482	279
Contingency		-	-	-
Total	760	493	482	279
Secured	Funding Incurred	63%		
Secured F	unding Committed	65%		

Funding (millions):

Funding Source	Identified	Secured		100%
State - TFCA	\$0.20	\$0.20	County 19%	
Federal	\$1.05	\$0.26		
County - TDA	\$0.30	\$0.30	State	•
Total	\$1.55	\$0.76		Federal ^{68%} Portion of Estimated Cost for which



Map showing the project vicinity

6.13.a

US 101 Auxiliary Lanes – Embarcadero Road to SR 85

Estimated Cost: \$71 million (includes \$54.2M construction cost administered by Caltrans. Estimate Class 1 - *see appendix*)

Appropriation through FY 17:

\$17.0 million

Secured Funding to Date: \$16.8 million

Year of Completion: 2017

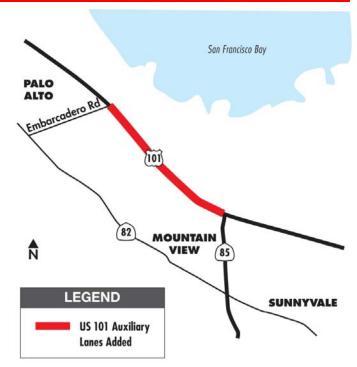
Project Manager: Lam Trinh

Designer: URS Corporation

Contractor: O.C. Jones Sons, Inc.

Project Description:

Construct auxiliary lanes and extended dual HOV lanes in each direction of a 3.2 mile segment of US 101 between SR 85 in Mountain View and Embarcadero Road in Palo Alto.



This project has been selected by the California Transportation Commission (CTC) for construction funding through the Corridor Mobility Improvement Account (CMIA) Proposition 1B Funding Program.

Project Status:

Environmental/Preliminary Engineering: The Environmental Document and Project Study Report/Project Report were approved in July 2009.

Final Design: The final engineering design – Plans, Specifications, and Estimate (PS&E) – work was completed in July 2011.

Construction and Right-of-Way: Right-of-way certification was achieved in April 2011. Utility relocations were completed in late 2011.

Construction began on February 27, 2012. New lanes were opened to traffic in August 2014. First year of plant establishment period (PEP) was completed by Caltrans in July 2015. Year 2 and year 3 PEP is in progress and will be complete by VTA in summer 2017 (P-0826). Project closeout is expected to be completed by mid 2017.

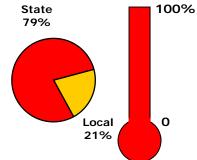
Activity	Start	End	2009	2010	2011	2012	2013	2014	2015	2016	2017
Environmental/PE	Mid 2007	Mid 2009									
Design (PS&E)	Mid 2009	Mid 2011									
Right-of-Way	Mid 2009	Early 2011									
Right-of-Way Certification	4/19/2011										
Caltrans Bidding Process	Mid 2011	Early 2012									
Construction	Early 2012	Late 2015									
Open to Traffic	Mid 2014							٠			
Plant Establishment Period	Mid 2015	Mid 2015									
Closeout	Mid 2014	Mid 2017									



Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	1,499	1,499	1,499	(0)
Real Estate	1,736	1,713	1,636	100
Labor, Services and Support	13,605	13,533	13,521	84
Contingency		-	-	-
- Total =	16,840	16,745	16,656	184
Secured	Funding Incurred	99%		
Secured Fu	99%			

Funding (millions):

Funding Source	Identified	VTA Administered	Administered By Others	Total
Meas A/STIP Swap	\$15.12	\$15.12		\$15.12
State (CMIA)	\$55.90	\$1.72	\$54.18	\$55.90
Total	\$71.02	\$16.84	\$54.18	\$71.02





US 101 - Looking south at Shoreline Blvd Interchange

Portion of Estimated Cost for which funding has been identified



US 101 – Looking north at Old Middlefield Way on and off ramp

October 2016

6.13.a

I-880 HOV Widening

Estimated Cost: \$63.8 million (includes \$45M construction cost administered by

Caltrans. Estimate Class 1 - see appendix)

Appropriation through FY 17: \$19.3 million

Secured Funding to Date: \$18.8 million

Year of Completion: 2017

Project Manager: Lam Trinh

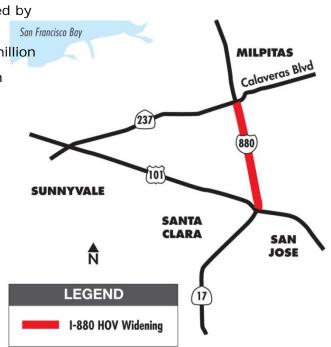
Designer: Mark Thomas & Company, Inc.

Contractor: Bay City Paving and Grading

Project Description:

This project adds a High Occupancy Vehicle (HOV) lane in each direction of 4.6 miles of Interstate 880 between US 101 in San Jose and SR 237 in the City of Milpitas.

This project has been selected by the California Transportation Commission (CTC) for construction funding through the Corridor Mobility Improvement Account (CMIA) Proposition 1B Funding Program.



Project Status:

Environmental/Preliminary Engineering: The Environmental Document and Project Study Report/Project Report were approved in June 2009.

Final Design: The final engineering design –Plans, Specifications, and Estimate (PS&E) – work was completed in July 2011.

Construction and Right-of-Way: Right-of-way certification was achieved in May 2011. VTA completed early utility relocation in October 2012, and construction began in April 2012.

Civil construction was completed and opened to traffic in June 2013. One year plant establishment period was completed and project was accepted in April 2014. Right of way transfers to Caltrans was completed. Project closeout is expected to be completed in early 2017.

Project Schedule:

Activity	Start	End	2009	2010	2011	2012	2013	2014	2015	2016	2017
Environmental/PE	Mid 2007	Mid 2009									
Design (PS&E)	Mid 2009	Mid 2011									
Right-of-Way	Mid 2009	Mid 2011									
Right-of-Way Certification	5/4/2011				-						
Caltrans Bidding Process	Mid 2011	Early 2012									
Construction	Early 2012	Mid 2013									
Open to Traffic	6/22/2013						•				
Plant Establishment Period	Early 2013	Early 2014									
Closeout	Early 2014	Early 2017									
		-									

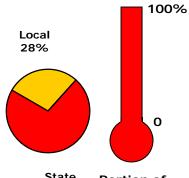
P-0620



Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	2,939	2,939	2,939	-
Real Estate	4,319	4,319	4,294	25
Labor, Services and Support	11,267	11,146	11,146	121
Contingency	340	-	-	340
Total	18,865	18,404	18,379	486
Secure	d Funding Incurred	97%		
Secured F	unding Committed	98%		
NOTE: All amounts are Year Of Expenditure	e dollars in \$1,000's			

Funding (millions):

	Secured						
Funding Source	Identified	VTA Administered	Administered By Others	Total			
Meas A/STIP Swap	\$17.94	\$17.94	\$0.00	\$17.94			
State (CMIA)	\$45.93	\$0.93	\$45.00	\$45.93			
Total	\$63.87	\$18.87	\$45.00	\$63.87			



State Portion of 72% Estimated Cost for which funding has been identified



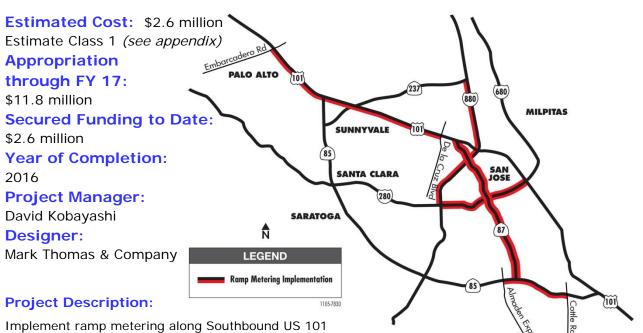
I-880/SR 237 Interchange



I-880 at Brokaw

October 2016

Ramp Metering Implementation



Implement ramp metering along Southbound US 101 between Embarcadero Road and De La Cruz Boulevard,

the entire length of SR 87, and southbound Route 85 between Almaden Expressway and Cottle Road during the AM and PM peak periods. Ramp metering improvements to the I-880 corridor between SR 237 and SR 280 were subsequently added and implemented. Caltrans has recently requested assistance with similar ramp metering improvements on the I-280 corridor between US 101 and I-880.

The goals of the project are to minimize overall corridor delay by managing access at on-ramps during peak commute periods, and to minimize the impact on local street traffic resulting from the implementation of ramp metering.

Project Status:

Ramp metering plans have been developed for southbound I-280 corridor and a public informational meeting was held in late April 2012. Metering on southbound I-280 corridor was implemented in late May 2012 and north bound in early 2013. Evaluation of the metering effectiveness was completed and reported to VTA Board in October 2014. The finding was that further monitoring of the corridor is required due to change in traffic volumes after the economic recovery.

VTA worked in conjunction with MTC to implement metering on SR85 (De Anza Blvd to US 101 North) and I-680 Corridor (US101 to Alameda County line). VTA will continue to work with MTC on the US101 (SR85 South to San Benito County line). VTA is in a support role to coordinate with stakeholders.

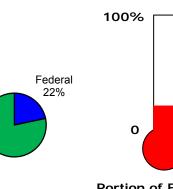
Activity	Start	End	2008	2009	2010	2011	2012	2013	2014	2015	2016
US 101, Route 87, I-880, and Route 85		85									
Design	Early 2008	Late 2010									
Construction	Late 2008	Early 2011									
Evaluation	Mid 2010	Late 2011									
I-280 Corridor											
Design	Mid 2011	Late 2011									
Construction	Early 2012	Mid 2013									
Evaluation	Mid 2013	Late 2013									
Closeout	Late 2013	Late 2014									
VTA Support S	 R85/1-680/	'US-101									



Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)	
Construction and Major Procurement	191	191	191	-	
Real Estate	-	-	-	-	
Labor, Services and Support	2,360	2,334	2,334	25	
Contingency	10	-	-	10	
Total	2,561	2,526	2,526	35	
Secureo	d Funding Incurred	99%			
	unding Committed	99%			

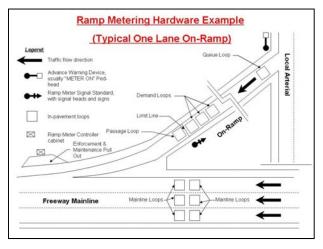
Funding (millions):

Funding Source	Identified	Secured		
Federal (CMAQ)	\$2.56	\$2.56		
TBD	\$9.23	\$0.00		
Total	\$11.79	\$2.56		



Portion of Estimated Cost for which funding has been





TBD 78%

Metered Onramp



October 2016

N

SAN JOSE

Yerba Buena Rd

US 101 Capitol Expwy – Yerba Buena Interchange

101

This is Phase 2 of a US 101 Improvements

Effort; see page 2-23 for Phase 1.

Estimated Cost: \$30.5 million Estimate Class 1 *(see appendix)*

Appropriation through FY 17: \$33.7 million

Secured Funding to Date: \$30.5 million

Year of Completion: 2017

Project Manager: Ven Prasad

Designer: HMH Engineers

Contractor: Granite Rock dba Pavex Project Description:

This project complements the US 101 Improvements – I-280 to Yerba Buena Road project (see page 2-23), and its environmental clearance was approved in the same environmental document as US 101 Improvements – I-280 to Yerba Buena Road. This project will improve highway operations along US 101 by reducing congestion at the Capitol Expressway and Yerba Buena Road Interchanges. The improvements include:

- Modifying the Capitol Expressway Interchange from full cloverleaf to partial cloverleaf
- Extending the fifth southbound lane on US 101 from north of Capitol Expressway to Yerba Buena Road
- Modifying the northbound US 101 on-ramp from Yerba Buena Road
- Constructing a northbound US 101 slip on-ramp from the northbound collector distributor road
- Adding a southbound US 101 auxiliary lane between Capitol Expressway and Yerba Buena Road
- Constructing a two-lane southbound US 101 off-ramp to Yerba Buena Road
- Landscaping extending from Tully Road to Yerba Buena Road

Project Status:

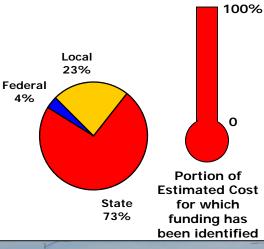
The construction contract was awarded in August 2012, construction began in September 2012. Construction was completed in March 2014 and 1-year plant establishment was completed in April 2015. VTA administered the construction contract. Construction contract has been closed. Project closeout is currently ongoing.

Activity	Start	End	2010	2011	2012	2013	2014	2015	2016	2017
Environmental	Early 2010	Early 2011								
Design PS&E	Early 2011	Early 2012								
Right-of-Way	Early 2011	Mid 2012								
Construction	Mid 2012	Early 2014								
Open to Traffic	Early 2014						•			
Plant Establish	Early 2014	Early 2015								
Closeout	Early 2015	Early 2017								

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	21,663	21,663	21,663	0
Real Estate				-
Labor, Services and Support	7,450	7,392	7,392	59
Contingency	1,410	-	-	
Total	30,523	29,055	29,055	59
Secured	Funding Incurred	95%		
Secured Fi	Inding Committed	95%		

Funding (millions):

Funding Source	Identified	Secured
Local (San Jose) Meas A/STIP Swap	\$1.57 \$5.48	\$1.57 \$5.48
State (CMIA)	\$22.37	\$22.37
Federal - Others	\$1.10	\$1.10
Total	\$30.52	\$30.52







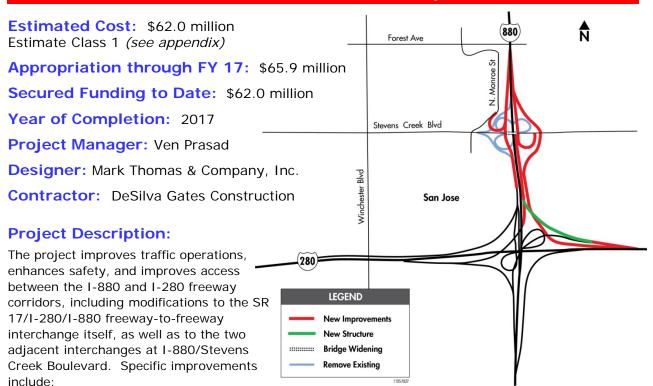
Aerial Photo of US 101 Capitol Expressway Interchange

Median Enhancements and Landscaping at Tully Interchange

VTP Highway Projects

October 2016

I-880/I-280/Stevens Creek Improvements



- Reconfiguring the existing full cloverleaf I-880/Stevens Creek Boulevard Interchange to improve traffic flow in the interchange area by widening and realigning ramps, widening the overcrossing structure at Stevens Creek Boulevard over I-880, improving intersections, and providing enhanced access to pedestrians and bicyclists.
- Separating freeway-to-freeway traffic from local traffic by constructing a new direct connector from northbound I-280 to northbound I-880.
- Constructing direct off-ramp to Monroe Street from southbound I-880.

Project Status:

The construction contract was awarded in September 2012. Construction began in October 2012 and was completed in September 2015. VTA is administering the construction contract. Construction contract closeout and project closeout is currently ongoing. Project was selected by the American Public Work Association (APWA) Silicon Valley Chapter for the 2016 Project of the Year Award. Project also earned a national recognition award in the American Council of Engineering Companies (ACEC) 2016 Engineering Excellence Award competition.

Activity	Start	End	2009	2010	2011	2012	2013	2014	2015	2016
Environmental/PE	Early 2007	Mid 2011								
Design PS&E	Early 2009	Mid 2012								
Right-of-Way	Early 2011	Mid 2012								
Construction	Oct-12	Sep-15								
Open to Traffic	Sep-15								•	
Closeout	Mid 2015	Late 2016								B.

Project Schedule:







Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	41,181	38,386	38,315	2,866
Real Estate	2,544	2,465	2,386	158
Labor, Services and Support	17,560	17,466	17,457	103
Financing Costs	-	(40)	(40)	
Contingency	738		-	738
Total _	62,023	58,278	58,118	3,865
	Funding Incurred	94%		
Secured Fr	unding Committed	94%		

Funding (millions):

Funding Source	Identified	Secured	Federal 100 30% %
Meas A/STIP Swap	\$1.05	\$1.05	Local 7%
Meas B/STIP Swap	\$1.51	\$1.51	
Local (San Jose)	\$1.55	\$1.55	Portion of
State (CMIA)	\$39.23	\$39.23	Estimated Cost for
Federal (Earmark, STP)	\$18.68	\$18.68	State funding
Total	\$62.02	\$62.02	63% has been identified



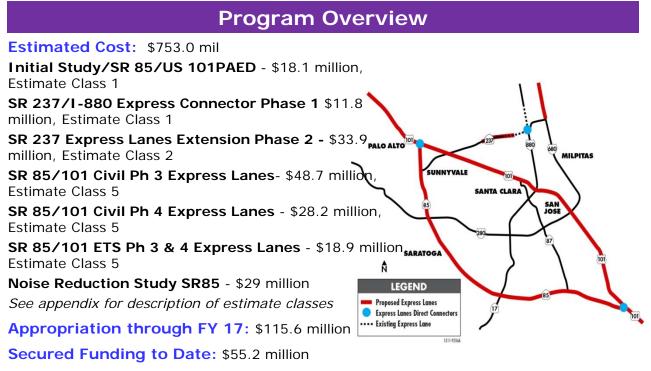
Aerial Photo of I-880/Stevens Creek



American Public Work Association (APWA) Silicon Valley Chapter 2016 Project of the Year Award 2-59

VTP Highway – Silicon Valley Express Lanes

October 2016



Year of Completion (Target Opening Year):

Phase 1 – Open to Traffic 2012; Phase 2 – 2019; Phase 3 & 4 – 2021; Future Phases – TBD (Phase 3, 4 and Future Phases dependent on funding)

Program Overview:

The benefits of the Silicon Valley Express Lanes program include:

- Increased efficiency of existing roadway Carpool lanes are underutilized and have the capacity to accommodate more vehicles. Encouraging transit and carpools, and allowing solo drivers to pay a fee to access the lanes, will result in more efficient use of existing roadways.
- Option for reliable travel Through the use of dynamic pricing, VTA can manage the amount of traffic in the express lanes and maintain free-flowing speeds even when the general purpose lanes are congested. Motorists who choose to use the Express Lanes can count on reliable travel times.
- Revenue reinvested in the corridor Tolls collected will be used to operate the lanes and for other transportation improvements in the Express Lanes corridors including transit.

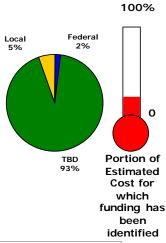
Tolls for solo drivers will vary based on the level of congestion in the lanes. When traffic is light, toll prices are low. When congestion increases, toll prices go up to regulate the number of drivers entering the express lanes. The California Highway Patrol (CHP) will provide enforcement of express lanes using a combination of new technologies and visual checks for occupancy (as with HOV lanes).

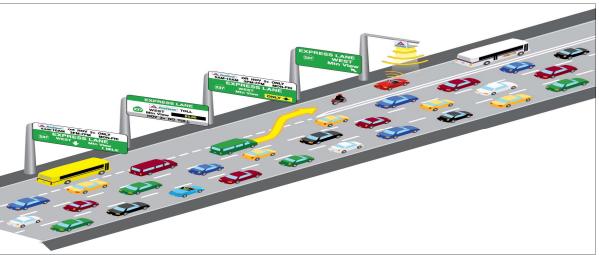
Project Cost Element	Secured Funding a	Oct-16 Committed Costs <u>b</u>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	5,840	5,790	5,790	51
Real Estate	38	-	-	38
Labor, Services and Support	48,354	40,437	33,275	15,079
Contingency	283	24	-	283
Operations (P-0694 Only)	650	650	650	-
Total	55,165	46,901	39,714	15,451
	Funding Incurred	72%		
Secured F	unding Committed	85%		

NOTE: All amounts are Year Of Expenditure dollars in \$1,000's

Funding (millions):

											Loc 5%
	P-0478 P-0720	P-0694	P-0788	P-0900	P-0901	P-0902	P-0903	P-0XXX			57
	P-0720										
E	Initial	SR 237 I-880	SR 237 Express	US101 SR85 EL	US101 SR85 EL	US101 SR85 EL	Noise Reducti	US101 SR85 EL			
Funding Source	Study/	Conn.	Lane	Civil	Civil	ETS	on	Civil ETS			
	PAED	Ph 1	Ph 2	Ph 3	Ph 4		Study	Future	Total	Secured	. \
Local	\$13.26	\$4.30	\$11.77	\$5.10	\$2.86	\$3.70	\$0.29		\$41.28	\$41.28	
Federal	\$4.79	\$7.46	\$1.60						\$13.85	\$13.85	
TBD	-	-	\$20.54	\$43.61	\$25.35	\$15.20	\$28.72	\$564.50	\$697.92	-	
Total	\$18.05	\$11.76	\$33.91	\$48.71	\$28.21	\$18.90	\$29.00	\$564.50	\$753.04	\$55.13	





VTA Express Lanes provide improved access and reliable travel for everyone.

• Solo drivers with a prepaid FasTrak transponder can choose to pay a toll and use the Express Lanes.

• Transit vehicles, carpools, vanpools, motorcycles, and eligible hybrids can use the Express Lanes at no charge.

P-0478, P-0720, P-0721, P-0694, P-0788, P-0900, P-0901, P-0902, P-0903

VTP Highway – Silicon Valley Express Lanes October 2016





Project Description:

The SR 237/I-880 Express Connectors project converts the direct carpool lane to carpool lane connector ramps at the SR 237/I-880 interchange to Express Lanes operation. This project is funded through local and federal funds, including the American Recovery and Reinvestment Act (ARRA) and the Value Pricing Pilot Program.

Project Status:

Construction was completed and opened to traffic in March 2012.

The SR 237 Express Lanes has served over 2.3 million toll paying vehicles (about 19% of the total over 11.8 million vehicles that have used the facility since inception). About 220,000 vehicle hours of travel time savings have been gained in the corridor while generating about \$4.6 million since it opened for tolling on March 20, 2012. VTA continues to monitor usage and revenue of the Express Connectors.

Construction of the new Express Lane Operations Center was completed in June 2016 and project is expected to be closed by early 2017.

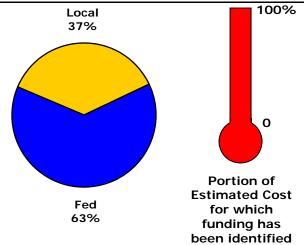
Project Schedule:

Activity	Start	End	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
Preliminary Engineering	Early 2007	Late 2008											
Design	Early 2009	Mid 2011											
Construction	Mid 2011	Early 2012											
Tolling Operational	Early 2012							•					
Warrant Maintenance	Early 2012	Early 2013											
Maintenance Contract	Early 2013	Early 2017								·	_		
Contract Closeout	Early 2017	Late 2017											

- - 24	5,642 - 5,441	5,642	5,644	Construction and Major Procurement
- - 24	-	-		ourser de tion and major i rocarement
- 24	5 441		-	Real Estate
24	5,441	5,441	5,442	Labor, Services and Support
	-	24	24	Contingency
-	650	650	650	Operations
27	11,733	11,757	11,760	Total
		100%	unding Incurred	Secured F
		100%	nding Committed	Secured Fu
			nding Committed	

Funding (millions):

Funding Source	Identified	Secured
Meas B Swap	\$4.30	\$4.30
Federal	\$7.46	\$7.46
Total	\$11.76	\$11.76







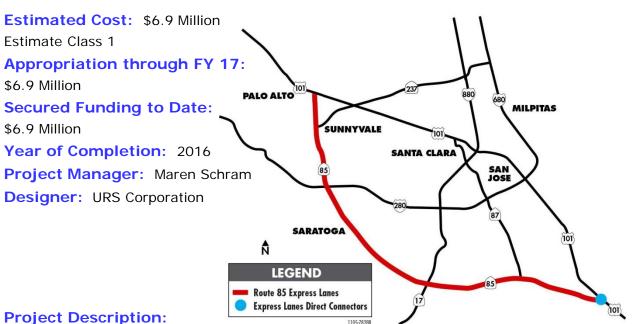
Express Lanes entrance from Eastbound SR 237 Express Lanes

Construction of the new Express Lane Operations Center

VTP Highway – Silicon Valley Express Lanes

October 2016





Project Description:

This project covers the PA/ED phase only and includes conversion of 24 miles of the existing high-occupancy vehicle (HOV) lanes along SR 85 to combination HOV/Express Lanes. The proposed facility will allow single occupancy vehicles to gain access to the combination HOV/express lanes by paying a toll. A second Express Lane will also be added to create a double Express Lane between I-280 and SR 87 to provide added congestion relief and operational benefits to users.

Project Status:

Environmental/Preliminary Engineering: The draft Environmental Document was circulated for public review/comments in December 2013. The circulation period ended in February 2014. Project Approval & Environmental Document (PA/ED) was completed in April 2015. Project close-out is in progress and will be completed by May 2016. Final design and construction phases will be done under separate projects (P-0900, P-0901 and P-0902).

Project Schedule:

				FY	′11	FY	′12	FY	′13	FY	′14	FY	15	F	Y16	
Activity	Start	End	201	10	20	11	20	12	20	13	20	14	20	15	20	016
Environmental/PE	Late 2010	Mid 2015														
Closeout	Late 2015	Mid 2016		Refe	r to 254	l to 2-59	for subse	equent p	hases							

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	6,892	6,892	6,892	-
Contingency			-	-
Total	6,892	6,892	6,892	-
Secureo	Funding Incurred	100%		
Secured F	unding Committed	100%		

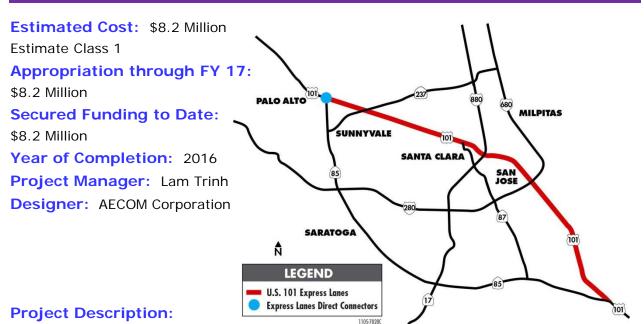
Funding (millions):

Funding (million	s):			100%
Funding Source	Identified	Secured	Lo. 30	cal
Measure A Swap	\$0.97	\$0.97		ο
Measure B Swap	\$1.13	\$1.13	Fed 70%	Ĩ
Federal	\$4.79	\$4.79		Portion of Estimated Cost
Total	\$6.89	\$6.89		for which funding has been
 Project Features 9.7 miles South San Jose to Mountain View 9. Converts existing carpool late 9. Second express lane proposes between SR 87 and 1280 9. Final environmental documer published in mid 2015 9. More efficient use of existing 9. Provides a new, reliable trave 9. Travel times improve in all late 9. Opnamic toll pricing helps line express lane 9. Provides a new revenue streed and corridor improvements 	ns ad nt res loption res lit congestion in	EGEND Single Express Double Express Enter Express La DOV Lans Direct Constant Dov Exit Express La Dov Exit Express La Dov Dov Exit Express La Dov Dov Exit Express La Dov Exit Express La Dov Exit Express La Dov Dov Exit Express La Dov Exit Express La Dov Exit Express La Dov Dov Exit Express La Dov Exit Express La Exit Express La Dov Exit Express La Exit Express La Dov Exit Exit Exit Exit Exit Exit Exit Exit	Lane no d d Los Alts Capacitos	The first of the f

VTP Highway – Silicon Valley Express Lanes

October 2016





The project covers the PA/ED phase only and involves converting 36 miles of the existing high-occupancy vehicle (HOV) lanes along US 101 between Dunne Avenue in Morgan Hill and the San Mateo County line to combined HOV/Express Lanes. The proposed facility will allow single occupancy vehicles to gain access to the combination HOV/Express Lanes by paying a toll. The current recommendation is to implement a combination of single and dual Express Lanes where feasible to provide added congestion relief and operational benefits to users.

Project Status:

Environmental/Preliminary Engineering: Project Study Report-Preliminary Development Study (PSR-PDS) was approved by Caltrans in August 2012. Draft Initial Study/Environmental Assessment was completed and circulated for public review in January and February 2015. Project Approval & Environmental Documentation (PA/ED) phase was completed on August 11, 2015. Project for the PA/ED phase (P-0721) was closed in April 2016. Final design and construction phases will be done under separate projects (P-0900, P-0901 and P-0902).

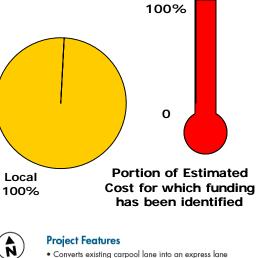
Project Schedule:

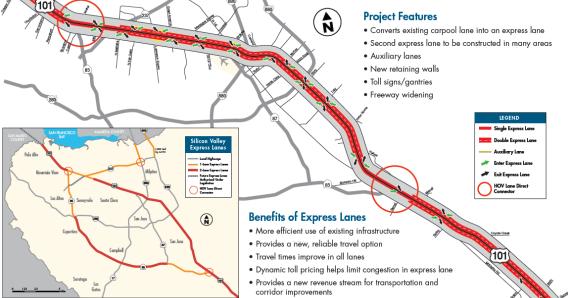
				FY	′11	FY	´12	FY13	β F\	/14	FY	15	FY	16	
Activity	Start	End	20	10	20	11	201	12 2	2013	20	14	201	15	201	16
Environmental/PE	Late 2010	Mid 2015													
Closeout	Late 2015	Early 2016		F	lefer t	:o 2	54 to 2	2-59 foi	subse	uent	phas	es			

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <u>b</u>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	8,228	8,228	8,228	-
Contingency		-	-	-
Total	8,228	8,228	8,228	-
Secure	d Funding Incurred	100%		
Secured	Funding Committed	100%		
NOTE: All amounts are Year Of Expenditur	e dollars in \$1,000's			

Funding (millions):

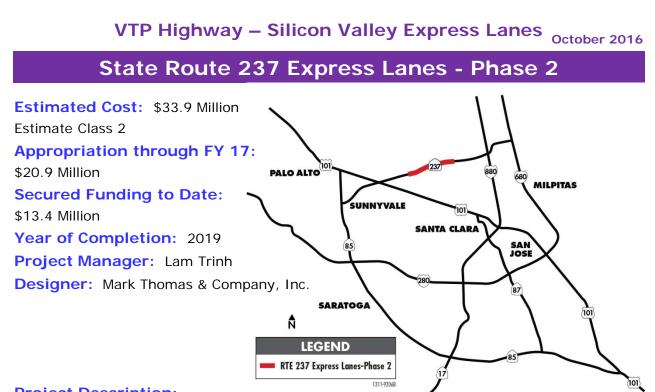
Funding Source	Identified	Secured
Measure A Swap	\$7.88	\$7.88
Measure B Swap	\$0.35	\$0.35
Total	\$8.23	\$8.23





P-0721

2-67



Project Description:

The SR 237 Express Lanes Phase 2 project is an extension of the SR 237/I-880 Express Connectors (Phase 1) project. The project proposes to extend express lanes operations by converting the existing HOV lanes to express lanes, beginning at the current phase 1 project limits and extending to approximately Mathilda Avenue in Sunnyvale. The Project will implement a roadway pricing system to allow for the use of unused capacity in the High Occupancy Vehicle (HOV) lanes to provide congestion relief. Access to the available capacity in the HOV lanes would be made available to commuters meeting the carpool requirement and to solo commuters for a fee.

Project Status:

Environmental/Preliminary Engineering: Project Study Report/ Project Report (PSR/PR) and Environmental Document were completed in June 2015.

Final Design and Electronic Tolling System (ETS) Development: Final Engineering and ETS development are on-going and expected to be completed by early 2017. Revenue service is targeted for late 2018.

Activity	Start	End	2012	2013	2014	2015	2016	2017	2018	2019
Environmental/PE	Late 2012	Mid 2015								
Design (PS&E)	Mid 2014	Early 2017								
ETS *	Mid 2015	Late 2018								
Right-of-Way	Mid 2014	Late 2016								
Construction	Early 2017	Late 2018								
Revenue Service	Late 2018									•
Closeout	Late 2018	Mid 2019								

Project Schedule :

P-0788

Funding not Identified, schedule is tentative ETS includes development and implementation 6.13.a

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	132	132	132	-
Real Estate	-	-	-	-
Labor, Services and Support	13,224	9,041	8,105	5,119
Contingency	8	-	-	8
Total _	13,364	9,173	8,237	5,127
Secured	Funding Incurred	62%		
Secured Fi	unding Committed	69%		
NOTE: All amounts are Year Of Expenditure	dollars in \$1,000's			

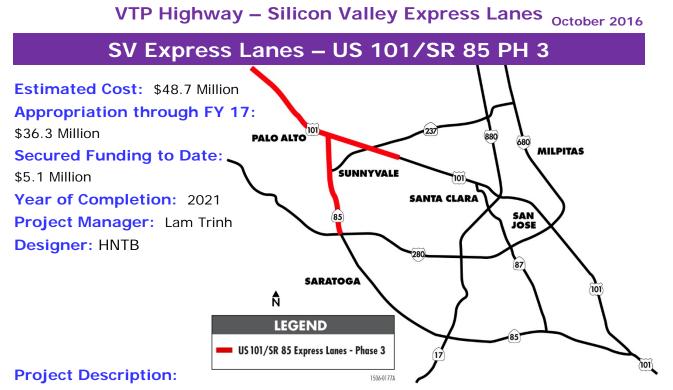
Funding (millions):

Funding Source	Identified	Secured	Federal		
Measure A/Swap	\$9.03	\$9.03	5%	100%	7
City (San Jose)	\$1.00	\$1.00			
City (Sunnyvale)	\$1.74	\$1.74		Local	
Federal	\$1.60	\$1.60	твр	35%	
TBD	\$20.54	\$0.00	60%	0	
Total	\$33.91	\$13.36			

Portion of Estimated Cost for which funding has been identified



Aerial View of SR 237 from Zanker Road to Mathilda Avenue



This project converts existing carpool/ High Occupancy Vehicles (HOV)lanes to Express Lanes on US 101 (from San Mateo /Santa Clara County line to Fair Oaks Ave.) and on SR 85 (from US 101 in Mountain View to I-280) including conversion of the US 101/SR 85 HOV connector north in Mountain View.

Project Status:

Work began in December 2015 with express lane access analysis. 35% design deliverables are expected in early 2017. Construction is planned for early 2019 but is contingent on securing funding.

Project Schedule:

Activity	Start	End	2016	2017	2018	2019	2020	2021
Design (PS&E)*	Late 2015	Late 2018						
ETS ** (P-0902)	Early 2017	Late 2020						
Right-of-Way	Mid 2016	Late 2018						
Construction	Early 2019	Late 2020						
Revenue Service	Late 2020						•	
Closeout	Late 2020	Mid 2021						
						nedule is tenta		

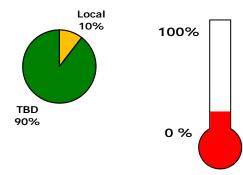
Funding not fully Identified, schedule is tentative Includes construction bid and award

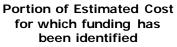
* ETS includes development and implementation

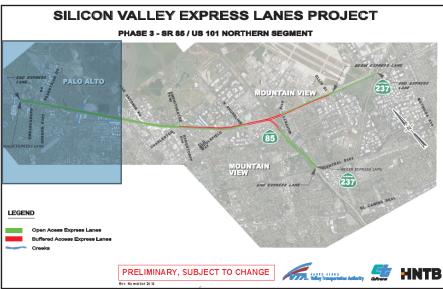
Project Cost Element	Secured Funding a	Oct-16 Committed Costs <u>b</u>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	38	-	-	38
Real Estate	38	-	-	38
Labor, Services and Support	5,025	4,384	821	4,204
Financing Costs	-			-
Total	5,100	4,384	821	4,279
Secure	ed Funding Incurred	16%		
Coourod	Funding Committed	86%		

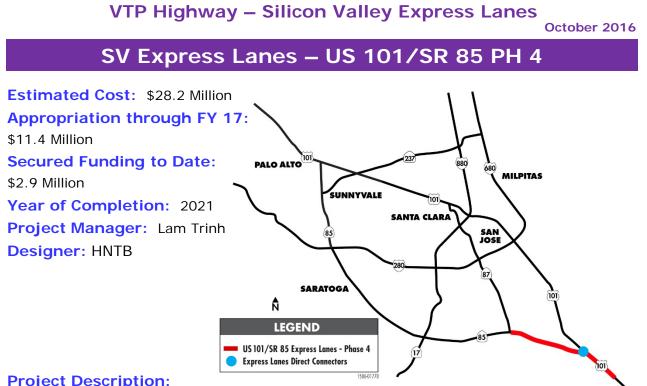
Funding (millions):

Funding Source	Identified	Secured
Swap SVSX	\$5.10	\$5.10
TBD	\$43.61	\$0.00
Total	\$48.71	\$5.10









Project Description:

The project converts exiting carpool /High Occupancy Vehicles (HOV) lanes to Express Lanes on US 101 (between Bailey Ave. to SR85 Interchange South), and on SR 85 (between US101/SR85 Interchange South to SR 87), including SR 85/US 101 connector south in San Jose.

Project Status:

Due to funding constraints for the program, Phase 3 design is moving ahead while Phase 4 is currently on hold until funding is secured.

Activity Start End 2016 2017 2018 2019 2020 2021 Design (PS&E)* _ate 2015 Late 2018 ETS ** (P-0902) Early 2017 Late 2020 Right-of-Way Mid 2016 Late 2018 Construction Early 2019 Late 2020 **Revenue Service** Late 2020 Closeout Late 2020 Mid 2021

Project Schedule:



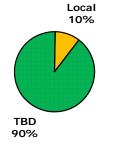
Funding not fully Identified, schedule is tentative Includes construction bid and award

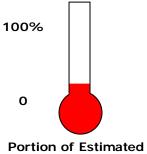
++ ETS includes development and implementation

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs <i>c</i>	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
Labor, Services and Support	2,734	2,174	114	2,620
Project Contingency	121			121
Total	2,855	2,174	114	2,741
Secure	d Funding Incurred	4%		
Secured	Funding Committed	76%		

Funding (millions):

Funding Source	Identified	Secured
Swap SVSX	\$2.86	\$2.86
TBD	\$25.35	\$0.00
Total	\$28.21	\$2.86

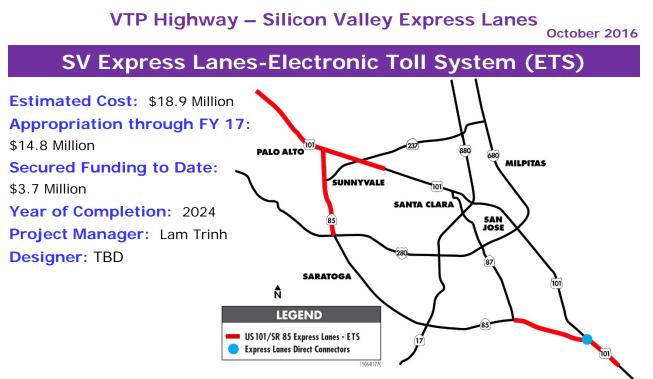




Cost for which funding has been identified



Aerial view of SR 85 - US 101 Interchange in South San Jose



Project Description:

This project will develop and implement an Electronic Toll System (ETS) for the SR 85/ US 101 corridor. Current authorized scope covers **Phase 3** - US 101(from San Mateo /Santa Clara County line to Fair Oaks Ave) and on SR 85 (from US 101 in Mountain View to I-280) and **Phase 4** - US 101 (between Bailey Ave. to SR 85 Interchange South), and on SR 85 (between US 101/SR 85 Interchange South to SR 87). The estimated cost of \$18.9 million is for Phase 3 and Phase 4. Future phases are dependent on securing funding.

Project Status:

Request for Proposal (RFP) was issued in October 2016. Selection of the System Integration is in progress. The development of ETS is anticipated to begin in late Spring

Project Schedule:

Activity	Start	End	2015	2016	2017	2018	2019	2020	2021
Develop RFP, Bid, and Award	Early 2015	Early 2017							
ETS Development	Early 2017	Early 2019							
ETS Implementation	Early 2019	Late 2020							
Revenue Service	Late 2020								
Closeout	Late 2020	Mid 2021							

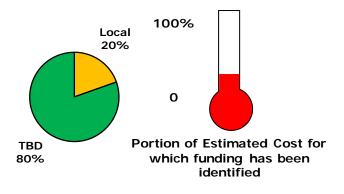


Funding not Identified, schedule is tentative

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	27	15	15	11
Real Estate	-	-	-	-
Labor, Services and Support	3,608	1,091	512	3,095
Project Contingency	113			113
Total	3,748	1,107	528	3,220
Secure	d Funding Incurred	14%		
Secured Funding Committed		30%		

Funding (millions):

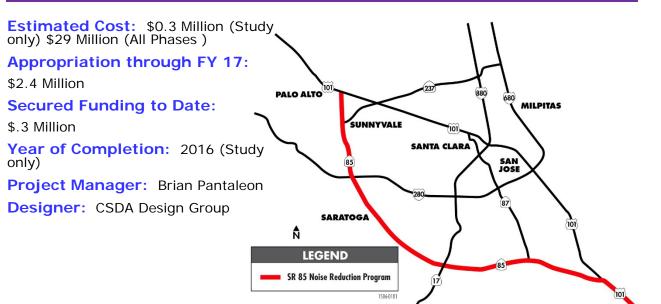
Funding Source	Identified	Secured
Swap/SVSX	\$3.70	\$3.70
TBD	\$15.20	\$0.00
Total	\$18.90	\$3.70



VTP Highway – Silicon Valley Express Lanes

October 2016





Project Description:

During the environmental circulation period for the SR 85 Express Lanes project, residents expressed their concerns toward the existing noise from the SR 85 corridor and added noise from the proposed express lanes, in particular, the double express lanes between SR 87 and I-280 within the cities of San Jose, Campbell, Los Gatos, Saratoga and Cupertino. To address noise concerns on SR 85, VTA will implement a three-phase noise reduction program along SR 85. **Phase 1** (noise reduction study) will review existing noise conditions, establish the ambient noise conditions along SR 85, and provide available types of noise reduction strategies that could be implemented with Caltrans approval. **Phase 2** (noise reduction pilot project) will implement noise reduction treatments identified in Phase 1 as pilot project at specified test location(s). Noise measurements before and after the implementation of the noise reduction treatment will be performed. With revenue generated from the SR 85 express lanes and based on Phase 2 results, **Phase 3** (noise reduction projects) will implement noise reduction treatments at other locations within SR 85.

Project Status:

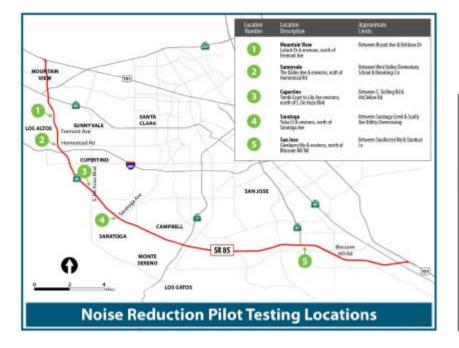
Draft report was issued for comments to stakeholders in May 2016. Final report was completed in September 2016. Request for Proposal for Phase 2 (Pilot project) is planned for mid 2017 and is dependent on securing funding.

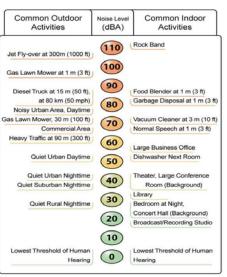
Project Schedule: Study started in Summer 2015 and was completed in September 2016. Future phases to implement recommendations of the study are dependent on securing funding.

Project Cost Element	Secured Funding a	Oct-16 Committed Costs <i>b</i>	Oct-16 Incurred Costs c	Secured Funding Balance d = (a-c)
Construction and Major Procurement	-	-	-	-
Real Estate	-	-	-	-
abor, Services and Support	268	253	228	40
Project Contingency	17			17
Total	285	253	228	57
Secureo	d Funding Incurred	80%		
	unding Committed	89%		

Funding (millions):

Funding Source	Identified	Secured	Local 1%	100%	
Swap/SVSX	\$0.29	\$0.29			
TBD	\$28.72	\$0.00		_	
Total	\$29.00	\$0.29	TBD 99%	0	





Portion of Estimated Cost

for which funding has

been identified

Noise Levels of Common Activities

APPENDIX – COST ESTIMATE CLASSES

Figure 1.6 – Cost Estimate Classification Matrix

(Adapted from AACE Skills & Knowledge of Cost Engineering, 4th ed., Chapter 1)

Estimate	Level of Project	Expected
Class	Definition	Accuracy Range
	Expressed as engineering percent completion at time of estimate	Typical variation in low and high ranges
Class 5	0% to 5%	-50% to +100%
Class 4	5% to 25%	-30% to +50%
Class 3	35%	-20% to +30%
Class 2	65%	-15% to +20%
Class 1	90% to 100%	-10% to +15%

Figure 1.5 shows a mapping of Estimate Class to Level of Project Definition. Intuitively, estimates become more accurate and have less uncertainty as project definition increases. This table provides a rough framework to describe the accuracy of project estimated costs in this report. A discussion of cost estimate classes, in order of increasing accuracy, is presented below:

- Class 5 (Order-of-Magnitude Estimates) Order-of-magnitude estimates are sometimes referred to as "conceptual" or "ballpark" estimates. These estimates are made without detailed engineering data using only basic criteria such as area or distance. An estimate of this type would normally be expected to be accurate within +100 percent to -50 percent. Order-of-magnitude estimates are used to quickly screen several types of alternative designs.
- Classes 4 and 3 (Preliminary Estimates) Preliminary estimates are prepared once enough preliminary engineering has taken place to further define the project scope. An estimate of this type is normally expected to be accurate within +50 percent to -30 percent. Since the preliminary estimate is more definitive than the order-of-magnitude estimate, it is better suited for determining project feasibility.
- Classes 2 and 1 (Final Estimates) Final estimates are prepared from very defined engineering data. This data includes, as a minimum, fairly complete plans and specifications. An estimate of this type is usually expected to be accurate within +15 percent to -15 percent. The final estimate has a level of accuracy that is appropriate for setting project budgets.



Date:February 16, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Planning & Program Development, Carolyn M. Gonot
SUBJECT:	SR 85 Noise Reduction Program (Phase 1)

FOR INFORMATION ONLY

BACKGROUND:

At its November 6, 2014 meeting, the VTA Board was informed of a proposal to undertake a noise reduction study along the SR 85 freeway corridor in response to continuing concerns regarding roadway noise from SR 85.

The noise reduction program that was proposed at the time included the following three-phase process:

<u>Phase 1</u>: Conduct a Noise Reduction Study working with local agency staff. The noise reduction study would review existing noise conditions to establish the ambient noise conditions within the SR 85 corridor, and investigate noise reduction studies that could be implemented. Strategies could include sound wall modifications, retrofit and/or treatment; landscaping; and quieter pavement treatments/modifications. A potential list of test locations would be identified with at least two recommended noise reduction strategies for each location to pilot test as part of the next phase of the program.

<u>Phase 2</u>: Implement noise reduction treatments as pilot projects at five selected noise-impacted test location(s) identified in the SR 85 Noise Reduction Study (Phase 1). Noise measurements before and after the implementation of the noise reduction treatment would be performed.

<u>Phase 3</u>: Based on results of the pilot projects, a "corridor-wide" noise reduction project could be implemented.

On April 16, 2015, a Request for Proposals (RFP) was issued for "Noise Reduction Study (Phase

1) on SR 85" and on August 4, 2015, a contract was executed with CSDA Design Group to assist with the study. A kick-off meeting was held with local agency and California Department of Transportation (Caltrans) staff on August 24, 2015, to start the project.

DISCUSSION:

The purpose of this memorandum is to inform the VTA Board that the SR 85 Noise Reduction Study (see attached) has been completed. VTA staff coordinated the study with staff from the following local agencies: Town of Los Gatos; cities of Mountain View, Sunnyvale, Los Altos, Cupertino, Saratoga, Campbell, Monte Sereno, and San Jose; and Santa Clara County Roads and Airports Department. The study was also coordinated with Caltrans. The final study findings were accepted by all agencies involved.

The final study report presents the investigated noise reduction measures for SR 85. Specifically, the following measures were investigated: implementation of acoustically absorptive barrier treatments, addition of barrier "caps" to the top of the existing noise barriers, and incorporation of quieter pavements.

In order to determine the noise reduction performance of each method, the study included:

- 1) Review of applicable scientific research articles (e.g., research reports, journal articles, conference papers).
- 2) Selection of five sensitive receptor locations for Phase 2.
- 3) Computer noise modeling of absorptive barriers and barrier caps at selected sensitive receptors located along SR 85.
- 4) Calculation of quieter pavement noise reduction using On-Board Sound Intensity, a measurement method used to quantify the sound level of various pavement types.

Following extensive research and noise modeling, the study determined that quieter pavement treatment yielded the most effective noise reduction measure as compared to barrier caps and absorptive barrier treatments. The project goal was a noise reduction of 5 decibels with the selected abatement strategies, which is the threshold for readily noticeable reduction perceptible by the human ear. The study recommendation was to implement quieter pavement treatment at the five selected test locations. Even though it was determined that barrier caps could approach the same noise reduction as quieter pavement, quieter pavement treatments benefit a greater number of receptors (since barrier caps only benefit those receptors located behind the treated sound wall, whereas quieter pavement reduces noise for all surrounding areas).

The test locations were selected based on a combination of the following criteria: a) receptors with the highest noise level; b) focus on residential receptors; c) higher density of receptors; d) select receptors with varying topography; e) receptors with potential for at least 3 dB of noise reduction.

The study recommends asphalt overlay as the preferred noise reduction measure at the five selected test locations.

VTA plans to move into Phase 2 and implement the asphalt overlays as noise reduction treatments at the five selected locations identified in the study. These five locations will act as the pilot project as part of Phase 2. Before and after noise measurements would be collected with the implementation of the noise reduction treatments. The implementation of Phase 2 is dependent on funding, with the potential funding source for Phase 2 being sales tax measure funds.

Based on the results of the pilot projects in Phase 2, additional noise reduction measures could be implemented throughout the corridor. The implementation of Phase 3 is also dependent on funding being made available. Due to the length of the freeway corridor and potential cost of implementation, Phase 3 may have to go through a site selection process to prioritize the locations for a phased implementation.

SR 85 Corridor Policy Advisory Board Discussion/Recommendations:

The SR 85 Corridor Policy Advisory Board (PAB) heard this item at their December 12, 2016 meeting and recommended moving this item forward to the VTA Board. The PAB members had questions regarding the schedule and cost of the pilot projects and ultimate deployment of the noise abatement strategies.

Advisory and Standing Committees Discussion/Recommendations:

The Technical Advisory Committee heard this item at their February 8, 2017 meeting under their regular agenda and approved moving this item forward to the VTA Board.

The Policy Advisory Committee heard this item at their February 9, 2017 meeting under their regular agenda and approved moving this item forward to the VTA Board.

The Congestion Management Program and Planning Committee heard this item at their February 16, 2017 meeting under their regular agenda and approved moving this item forward to the VTA. There was discussion regarding the maintenance cost of the recommended measure which will be further discussed in the next phase of the program to implement test pilot projects (Phase 2).

Prepared By: Brian Pantaleon Memo No. 5755 STATE ROUTE 85 NOISE REDUCTION STUDY FINAL PHASE 1 REPORT



Santa Clara Valley Transportation Authority September 2016

CSDA DESIGN GROUP

State Route 85 Noise Reduction Study Final Phase 1 Report

September 2016

Prepared for: Santa Clara Valley Transportation Authority 3331 N. First Street, Building B San Jose, CA 95134

Prepared by:

CSDA Design Group 475 Sansome Street, Suite 800 San Francisco, CA 94111

CSDA Project No. 1517.01

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1.0 Executive Summary

There has been community concern regarding freeway noise along State Route (SR) 85. Various studies and test projects have been conducted to address freeway noise to adjacent sensitive receptors (e.g., residences). During the SR 85 Express Lanes environmental analysis conducted in 2014, certain sensitive receptors were identified as at or above the federal noise threshold; however, per Federal Highway Administration (FHWA)/California Department of Transportation (Caltrans) criteria, it was not feasible and reasonable to construct new sound walls or replace existing sound walls.

This study investigates alternate noise reduction measures for SR 85. Specifically, the following measures were investigated: implementation of acoustically absorptive barrier treatments, addition of barrier "caps" to the top of the existing noise barriers, and incorporation of quieter pavements. These materials/methods are explained and shown in the body of the report.

In order to determine the noise reduction performance of each method, the following was completed:

- 1) Review of applicable scientific research articles (e.g., research reports, journal articles, conference papers).
- 2) Selection of five, noise-impacted sensitive receptors.
- 3) Computer noise modeling of absorptive barriers and barrier caps at selected sensitive receptors located along SR 85.
- 4) Calculation of quieter pavement noise reduction using On-Board Sound Intensity, a measurement method used to quantify the sound level of various pavement types.

It was found that quieter pavements yielded noise reduction ranging from 1.6 to 4.7 dBA (depending on existing pavement type and the type of "quieter" pavement applied to the roadway), barrier caps yielded theoretical reductions of 0.7 to 4.5 dBA, and absorptive barrier treatments yielded a reduction of 0.8 to 0.9 dBA. The project goal was a noise reduction of 5 dBA, which is the Caltrans minimum and considered a readily noticeable improvement. It is recommended that quieter pavement treatment be implemented (at the five selected noise-impacted receptor locations in this report). Even though barrier caps provide similar noise reduction, quieter pavement treatment benefit a greater number of receptors (since barrier caps only benefit those receptors located behind the treated sound wall).

The cost per benefited receptor varied between \$34,000 and \$274,000, depending on the treatment method and analysis location. A cost estimate and exhibits showing treatment areas are included in the report.

2.0 Project Description

2.1 Previous Projects and Studies

Due to community concerns regarding freeway noise along SR 85, the following studies and projects were undertaken by Caltrans and Santa Clara Valley Transportation Authority (VTA):

- 1998: Caltrans completed a study of potential alternatives that could be expected to reduce freeway noise by 3 decibels.
- 2001: VTA completed a study recommending a test project to micro-grind (texture-grind) a portion of the freeway, and conducted noise analyses to determine if an improvement could be achieved.

- 2003: VTA completed a micro-grind (texture-grind) test project with results that indicated while overall freeway noise levels were not significantly reduced, however, the frequency characteristics of the noise was modified resulting in the noise being less noticeable/annoying to the sensitive receptors.
- 2006: VTA completed a noise mitigation project that included textured grinding of about 11 miles of concrete pavement from east of Almaden Expressway to north of Stevens Creek Boulevard.
- 2014: SR 85 Express Lanes Environmental Phase: VTA, in cooperation with Caltrans, completed environmental documentation of SR 85¹ to allow for the implementation of express lanes on the route. The planned implementation of express lanes on SR 85 includes the conversion of the existing carpool lanes in both directions between US 101 in south San Jose and US 101 in Mountain View and the addition of a second express lane in both directions between SR 87 and Interstate 280 (I-280).

During the environmental review period for the project, residents expressed concerns about the existing noise levels along SR 85 and the anticipated increase in noise levels in the proposed express lanes, in particular, the planned double express lanes between SR 87 and I-280 through San Jose, Campbell, Los Gatos, Saratoga and Cupertino.

Environmental Document: The environmental study of SR 85 for express lanes implementation conducted community noise measurements at 149 locations throughout the corridor. The results of the study determined no effect or no more than a 3-decibel increase in noise levels. An increase of 3 decibels is considered barely detectable to the human ear. Under the California Environmental Quality Act (CEQA), changes in traffic noise from the project would not result in a significant impact. Under federal regulation 23 CFR 772, noise abatement was considered because 41 noise receptors along SR 85 and US 101 have existing and future noise levels that approach or exceed federal noise abatement criteria. The noise evaluations identified feasible sound walls; however, none of the sound walls qualified under the Caltrans "reasonableness" criteria for new or replacement sound walls.

Comparison to Previous Noise Studies: VTA compared 12 receptor locations from the 1987 Final Environmental Impact Statement for the construction of SR 85 between I-280 and US 101 in San Jose, and the 1996 environmental document for the construction of High Occupancy Vehicle Lane Widening Project between Dana Street and north of Moffett Boulevard. The noise levels from the SR 85 Express Lanes environmental document and those from the previous studies were found to be equivalent.

Comparison to the 2013 Saratoga Noise Element Update: VTA compared one noise measurement collected along SR 85 for the 2013 City of Saratoga Draft Noise Element Update and the noise analysis from the SR 85 Express Lanes environmental document. It was determined that the SR 85 Express Lanes noise study levels are comparable to the levels documented in the 2013 Saratoga Noise Element Update.

¹ <u>State Route 85 Express Lanes Project: Initial Study with Negative Declaration/Environmental Assessment with Finding of No</u> <u>Significant Impact</u>. Prepared by the State of California Department of Transportation in Cooperation with the Santa Clara Valley Transportation Authority, April 2015.

CSDA GROUP

2.2 Noise Reduction Program

To address existing noise concerns on SR 85, VTA is working with cities along SR 85 and Caltrans to study, test and implement noise reduction treatments through a three-phase process.

The Noise Reduction Program will be implemented in three phases:

- Phase 1 (this study): the study phase of the Program. This phase used available noise studies for evaluation of alternative noise reduction measures that could be implemented with Caltrans approval, identification of test locations, selection of five (5) representative test locations, and analysis of feasible noise reduction at each test location.
- Phase 2: the pilot testing phase of the Program. This phase involves the pilot testing of the recommended noise reduction measures identified in Phase 1 at the five test locations and evaluation of their efficacy after implementation.
- Phase 3: the deployment phase of the Program. This phase involves the implementation of those measures from Phase 2 that show promise in reducing noise at other impacted sensitive receptors along SR 85.

3.0 Acoustical Criteria

Currently, this project is not being funded with federal or state monies; therefore, it is not subject to FHWA or Caltrans noise criteria. However, the following criteria used in this noise reduction study is based on Caltrans/FHWA regulations.

- Noise Impact Threshold: The existing noise level at the exterior of residential land uses approaches or exceeds $L_{eq(h)}^2$ 67 dBA.³ This is defined as a noise level of $L_{eq(h)}$ 66 dBA or greater.
- **Minimum Noise Reduction**: To be considered effective, the minimum noise reduction from any noise reduction measure considered should be 5 dBA or greater at impacted residential receptors.
- Cost per Benefitted Receptor: The cost per benefitted receptor should not be greater than \$80,000. This is Caltrans' 2016 base allowable cost.⁴

4.0 Existing Freeway Conditions

SR 85 is a freeway that connects the cities of Mountain View and San Jose in California. The freeway, also named the West Valley Freeway, is 23.7 miles in length and is oriented in a southeasterly direction. The freeway begins at its northern terminus with U.S. Route 101 in Mountain View and ends at a junction with U.S. 101 in southern San Jose. SR 85 crosses SR 237, Interstate 280 (I-280), Highway 17 and Highway 87.

 $^{^2}$ $L_{eq(h)},$ or equivalent hourly sound level: The average sound level over a one hour period.

³ dBA: A-weighted sound pressure (or noise level) represents the noisiness or loudness of a sound by weighting the amplitudes of various acoustical frequencies to correspond more closely with human hearing. A 10-dB (decibel) increase in noise level is perceived to be twice as loud. A-weighting is specified by the U.S. EPA, OSHA, Caltrans, and others for use in noise measurements.

⁴ The 2016 Base Cost Allowance can be found at <u>http://www.dot.ca.gov/hq/env/noise/index.htm</u>

SR 85 is primarily used as a passenger car by-pass for U.S. 101, as trucks over 4.5 tons are prohibited between U.S. 101 in South San Jose to Interstate 280 in Cupertino. SR 85 is a six lane highway with three lanes in each direction and a 46-to-50 foot wide center median. There are 10-foot inside and outside shoulders on each side of the traveled lanes.

Along SR 85, between U.S. 101 (in southern San Jose) and west to Highway 87 (Almaden Expressway), the roadway surface is close to original grade. Only a few retaining walls are present and are located mostly at the interchanges. Along SR 85, between Highway 87 and I-280, the roadway is depressed and lined by concrete retaining walls. Further northwesterly along SR 85, from I-280 to U.S. 101, the roadway is positioned on embankment fill, with numerous sound walls near the hinge points. Where present, cut faces vary considerably in height.⁵ All other things equal, community noise levels are lowest for depressed freeways, moderate for freeways on-grade, and potentially loudest on embankment or elevated structures.

Existing noise barrier heights at various locations along SR 85 are described in the table below:

Segment Description	Existing Barrier Heights (feet)
US 101 – Oregon Expressway to SR 85 (Palo Alto and Mountain View)	10 to 16
SR 85 - US 101 to Central Expressway (Mountain View)	14
SR 85 – Central Expressway to El Camino Real (Mountain View)	12, 16
SR 85 – El Camino Real to Fremont Avenue (Mountain View, Sunnyvale, and Los Altos)	12, 16
SR 85 - Fremont Avenue to I-280 (Sunnyvale and Cupertino)	12-16
SR 85 - I-280 to South De Anza Boulevard (Cupertino)	12-16
SR 85 – South De Anza Boulevard to Saratoga Avenue (San Jose and Saratoga)	12, 14
SR 85 – Saratoga Avenue to Winchester Boulevard (Saratoga, San Jose, Campbell, and Los Gatos)	6–16
SR 85 – Winchester Boulevard to Union Avenue (Los Gatos, Campbell and San Jose)	10–16
SR 85 – Union Avenue to Camden Avenue (San Jose)	5–14
SR 85 – Camden Avenue to Almaden Expressway (San Jose)	10–14
SR 85 – Almaden Expressway to Blossom Hill Road (San Jose)	6–16
SR 85 – Blossom Hill Road to Cottle Road (San Jose)	12, 14
SR 85 – Cottle Road to South of SR 85/US 101 Interchange (San Jose)	12–16
US 101 – South of SR 85/US 101 Interchange to Bailey Avenue (San Jose)	berms

Table 4-1: Noise Barrier Heights at Various Segments of SR 85⁶

⁵ Caltrans Storm Water Quality Handbooks, Project Planning and Design Guide, August 2010

⁶ <u>State Route 85 Express Lanes Project: Initial Study with Negative Declaration/Environmental Assessment with Finding of No</u> <u>Significant Impact</u>. Prepared by the State of California Department of Transportation in Cooperation with the Santa Clara Valley Transportation Authority, April 2015.

The current pavement on SR 85 consists of longitudinally tined Portland cement concrete. Figure 4-1 (right) shows a typical section of pavement along SR 85 (For more images of the existing pavement at analysis locations, see Appendix A).



Figure 4-1: Photo of Typical SR 85 Pavement

5.0 Research Review

A comprehensive research review was performed to determine the minimum and maximum noise reduction that could be expected from non-barrier noise reduction measures such as sound wall modification, retrofit and/or treatment of sound walls, and pavement modifications or treatments. The following noise reduction measures were considered:

- Barrier caps: Consisting of various materials and shapes installed at the top of an existing barrier. Typical profiles (shapes) include cylindrical, "mushroom" and T-shaped. Typical materials include steel, aluminum, concrete, and wood.
- Vegetation/absorptive treatment: Vegetation or acoustically absorptive material at the inside face (i.e., at the roadway side) of a barrier to reduce noise reflections from existing noise barriers to residences located on the opposite side of the road as the barrier.
- Quieter pavement: Various rigid and flexible pavement strategies that help reduce tire noise.

These alternatives were considered because research, both through noise modeling and real-world applications, in these areas is recent and readily available. Also, some of the particular methodologies of each alternative appeared to have significant results in the field of noise reduction and warranted further investigation.

The following sections summarize the findings for each noise reduction measure; Appendix B includes the reference information for each report, study, and book reviewed.

SR 85 Noise Reduction Study September 2016 Final Phase 1 Report

5.1 Barrier Caps

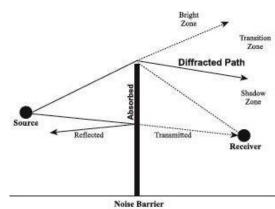
Barrier caps increase the noise reduction provided by a barrier through two primary means:

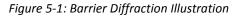
- Reduced diffraction: When noise from vehicular traffic impinges on a barrier, most of the noise is blocked (reflected back) by the barrier; however, some of the noise bends over the top of the barrier and continues to travel to the sensitive receptor located on the shadow (non-road) side of the barrier. (See Figure 5-1). With barrier caps, this "bending" of the sound waves is reduced, thereby increasing the barrier's noise reduction.
- 2. Increased noise path length: The effectiveness of a noise barrier is primarily determined by the path length difference between the distance sound travels if there is no barrier (i.e., the straight line distance between source and receptor) versus the distance sound must travel when there is a barrier (i.e., the distance from the source to the top of a barrier, plus the distance from the top of the barrier to the receptor). Adding a barrier cap effectively increases the path length, thereby increasing the barrier's noise reduction. Often the additional path length of a barrier cap is equal to increasing the height of the barrier by one to two feet.

5.1.1 Barrier Cap Types



There are various barrier cap designs that are acoustically effective. Figure 5-2 shows the most common designs.





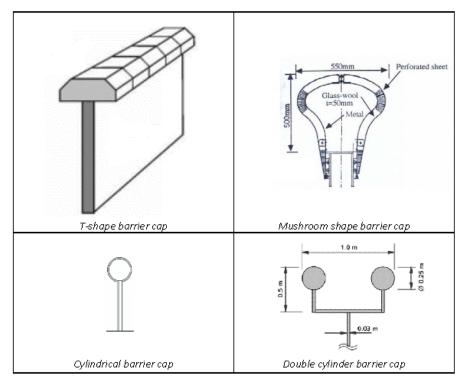


Figure 5-2: Typical Barrier Cap Designs

Barrier caps are generally fabricated from steel, perforated steel, aluminum, concrete, or polycarbonate materials depending upon the style. T-shaped caps can be manufactured in various widths ranging from 3 to 5 feet and made from pre-cast concrete, wood, or metal. Acoustically absorptive materials, typically made from mineral-fiber insulation, are added to obtain a higher level of noise reduction. For example, high density, water resistant absorptive materials may be added to the top of a T-shaped noise barrier (or inside of a mushroom shaped barrier cap) to increase noise reduction. Barrier caps are fabricated in various lengths (10 to 12 feet) to reduce fabrication and installation costs.

The barrier caps fabricated from lighter materials (less weight) are preferred when the caps are to be added to an existing sound wall/barrier, eliminating the need to strengthen the foundation of the existing wall or barrier. Structural angles are attached to the bottom of the barrier cap and "pre-punched" for attachment to the face of the existing barrier. The finished effect, depending on the style of barrier cap, is an added 4 to 20 inches in height to the existing wall.

Installation of the caps from the "freeway" side of the wall may prove to be challenging in areas where the freeway is depressed and the top of the wall can be more than 20-feet above the roadway surface. Temporary easements will be required if the installation needs to occur from the non-freeway side of the wall.

Figure 5-3 below shows field images of installed and "mock-ups" of common barrier caps.



Figure 5-3: Field Images of Common Barrier Caps. Clockwise from Top Left: Mushroom Cap, Cylinder Cap, and T-Shaped Cap

The amount of noise reduction provided by a barrier cap is directly related to the size of the barrier cap (height and width) along with the amount of acoustically absorptive materials contained in the cap. Table 5-1 summarizes typical barrier cap noise reduction obtained from various research papers and books.^{7, 8, 9, 10, 11}

⁷ Morgan, P.A. <u>Review of Japanese Noise Barrier Research</u>. Road and Hydraulic Engineering Division of Rijkswaterstaat (Netherlands), 2004.

⁸ Watts, G.R. <u>Acoustic Performance of New Designs of Traffic Noise Barriers: Full Scale Tests</u>. Journal of Sound and Vibration, Volume 177, 1994.

⁹ Demizieux, P. and Dutilleux, G. <u>Experimental Evaluation of CEN/TS 1793-4 on Two Noise Barriers with Caps</u>. Internoise Conference, Czech Republic, 2004.

¹⁰ Samuels, Stephen and Ancich, Eric. <u>Recent Developments in the Design and Performance of Road Traffic Noise Barriers</u>. *Acoustics Australia*, Volume 29, No. 2, 2001.

¹¹ Watson, Dustin. <u>Evaluation of Benefits and Opportunities for Innovative Noise Barrier Designs</u>. Final Report 572, Arizona Department of Transportation, 2006.

Type of Barrier Cap	Typical Noise Reduction (dBA) without Absorptive Material	Typical Noise Reduction (dBA) with Absorptive Material
T-Shape	1.4 - 3.5	2.0 - 4.5
Mushroom	0.8 - 2.1	2.2 – 2.3
Double Cylinder	(no data available)	5.5
Single Cylinder	0-3.0	1.3 - 4.0

Table 5-1: Typical Noise Reduction by Barrier Cap Type with and without Absorptive Material

Note: There are other, more "exotic" barrier cap profiles that have achieved noise reduction approaching 5 dBA. However, the constructability and long term durability of these profiles is unproven.

5.1.3 Barrier Cap Installation Projects

- T-Shape: Hume Highway, Australia
- Mushroom: I-5 (Santa Ana) Freeway in Commerce, California
- T-Shape: CO 93 in Golden, Colorado
- T-Shape, cylindrical, mushroom, y-shape, etc.: Japan has implemented and tested many different barrier profiles¹²

5.2 Vegetation/Absorptive Treatment

When there are parallel barriers (i.e., barriers on both sides of the freeway), vehicle noise can reflect (bounce) off of the barrier multiple times and cause their noise reduction performance to degrade across the freeway to sensitive receptors located on the opposite side of the reflecting barrier. See Figure 5-4. Absorptive treatments can be applied to the road-side of the barrier on the opposite side of the freeway

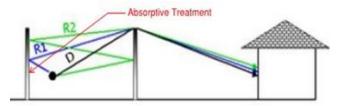


Figure 5-4: Parallel Barrier Reflections

from the receptor (e.g., if the receptor is on the west side of SR 85, absorptive treatment would be added to the barrier on the east side of SR 85). In general, for absorptive treatments to work, the receptor must be at the same or higher elevation than the freeway, and the road width to barrier height ratio is usually 10:1 or less (e.g., road is 100-feet wide and barrier is 10-feet tall).

¹² Morgan, P.A. <u>Review of Japanese Noise Barrier Research</u>. Road and Hydraulic Engineering Division of Rijkswaterstaat (Netherlands), 2004.

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5.2.1 Vegetation/Absorptive Treatment Types

There are two primary methods to add acoustical absorption to a noise barrier: vegetation and surface-applied materials. Vegetation is a natural, sustainable method to achieve acoustical absorption, yet, like all landscaping, requires space in front of the existing sound wall, water, and maintenance; another benefit of vegetation on barriers is the reduction in graffiti. Surface-applied materials require minimal maintenance, but the upfront costs are higher and repair is required if they are damaged. Both vegetation and surfaceapplied materials provide similar levels of acoustical absorption.

Figure 5-5 shows an acoustically absorptive barrier¹³ and Figure 5-6 shows a vegetation covered barrier.

Acoustically absorptive panels are often recommended over vegetation as the preferred method of noise reduction due to the maintenance and water requirements of vegetation.

Absorptive treatments are constructed from a variety of materials, whose function is to provide an uneven surface to absorb sound energy or prevent sound reflection. The



Figure 5-5: Acoustically Absorptive Barrier Tiles



Figure 5-6: Vegetation Covered Barrier

absorptive panels can be "rough" tiles, such as the barrier tiles depicted in Figure 5-5. The tiles are attached to the face of the sound wall with construction grade adhesive.

Another type of absorptive panel is made from high density insulation sandwiched between noncorrosive aluminum sheets. The outer face of the panel is made from perforated aluminum. The panels are provided in segments, typically 2-foot widths of various heights. A top and bottom mounting channel is attached to the face of the existing barrier and each section/panel is inserted into the mounting track. Since the panels weigh approximately 2 pounds per square foot, the weight of each panel is manageable.

Similar to the barrier caps, access for installation of the panels from the "freeway" side of the wall may prove to be challenging in areas where the freeway is depressed and the top of the wall is more than 20-feet above the roadway surface. Prior to the installation of the panels, the surface of the barriers need to be free of vegetation; however, if vegetation is already present there would be little reason to add panels, since the vegetation likely already provides sufficient acoustical absorption.

¹³ Image courtesy of SoundSorb (<u>www.soundsorb.com</u>)

5.2.2 Vegetation/Absorptive Treatment Noise Reduction

Significant research has been conducted on the performance of acoustically absorptive barrier materials. Researchers have calculated and modeled noise reduction of 3 to 12 dBA^{14, 15}; however, field trials have resulted in 0 to 3 dBA of noise reduction.¹⁶ In general, absorptive materials are more effective for receptors that are located at longer distances (e.g., greater than 50 feet) from the barrier.

5.2.3 Vegetation/Absorptive Treatment Installation Projects

- US 101 in San Rafael, CA
- I-580 in Oakland
- Gene Autry Way in Anaheim, CA
- I-40 in Knoxville, TN
- Highway A2 in Portugal

5.3 Quieter Pavement

At highway speeds, the majority of automobile traffic noise is generated by the tires contacting the pavement; for trucks, it is a mix of tire noise and engine/exhaust noise. Since SR 85 has light truck traffic (less than 2% of the total volume due to trucks being prohibited between the southern boundary with U.S. 101 northwesterly to the intersection with I-280), tire noise is the dominant source. Tire noise levels are dependent on the type of pavement, vehicle speed, and tire type (e.g., off-road tires are significantly louder than road tires).

The level and character of noise generated by the tires contacting pavement is determined by seven mechanisms: impact, adhesion, air displacement, horn effect, acoustical impedance effect, mechanical impedance effect, and tire resonance.¹⁷ The material and texture of a pavement directly influence these seven factors. In general, smooth pavement (minimal surface texture) is quieter than rough pavement, and air space or voids in the pavement surface will often reduce noise levels.

There are basically two types of quieter pavement: flexible and rigid. Flexible pavement is derived from asphalt products that contain mixtures of rubber and other polymer modifiers, allowing the roadway to be less "stiff" than rigid pavement, thus reducing noise from tire impact. Flexible quieter pavement, such as Open Graded Friction Course (OGFC) or Open Grade Asphalt Concrete (OGAC) have air pockets in the roadway surface that captures tire noise.¹⁸

Rigid quieter pavement refers to concrete roadway surfaces that are longitudinally tined in the direction of travel and incorporate specialized grinding methods. Rigid pavement types such as "Grind and Groove" (GnG) or "Conventional Diamond Grinding" (CDG) are smooth concrete surfaces intentionally

¹⁴ Nilsson, et al. <u>Environmental Methods for Transport Noise Reduction</u>. (Results from European HOSANNA Research Project) CRC Press, 2015.

¹⁵ Watts, G.R. <u>Acoustic Performance of Parallel Traffic Noise Barriers</u>. Applied Acoustics, Volume 47, No. 2, 1996.

¹⁶ Watts, G. R. Godfrey, N.S. <u>Effects on Roadside Noise Levels of Sound Absorptive Materials in Noise Barriers</u>. Applied Acoustics, Volume 58, 1999.

¹⁷ Bernhard, Robert, et al. <u>A Study of the Effect of Innovatively Textured Portland Cement Concrete Roadway Surfaces on Tire-</u> <u>Pavement Noise</u>. Purdue University, December 2009.

¹⁸ Rasmussen, et al. <u>The Little Book of Quieter Pavement</u>. FHWA-IF-08-004, July 2007.

cut to create grooves. The grooves produce negative texture which allows air between the tire and roadway surface to escape.¹⁹

5.3.1 Measuring Tire-Pavement Noise

One of the techniques for measuring tire-pavement noise is called "on board sound intensity" or OBSI. OBSI is referred to as a *source measurement* because it measures sound near the tire, as opposed to *wayside measurements*, where microphones are set up at specific distances from the side of the road to measure traffic noise.²⁰

OBSI is a measurement procedure used to evaluate tire/pavement noise resulting from the interaction of an ASTM F 2493 Standard Reference Test Tire (SRTT) on a pavement surface. Sound intensity measurements are taken at defined locations near the tire/pavement interface (see Figure 5-7 for an image showing an OBSI measurement). Because of this, noise measured with OBSI will be significantly higher than noise measured where receptors are located (i.e. homes adjacent to the highway).



Figure 5-7: On Board Sound Intensity Measurement

5.3.2 Range of Existing Pavement Noise

A range of pavements in California and Arizona were measured using OBSI. Figure 5-8 shows the results of this survey, presented in terms of sound intensity (as discussed above).

In general, concrete pavement is noisier than asphalt surfaces, and all pavement gets noisier as it ages (0.3 to 0.8 decibels per year). As shown in Figure 5-8, Open Grade (OG) Rubberized Asphalt Concrete (RAC) surfaces generally tested between 95.5 to 101.5 dBA. Portland Cement Concrete (PCC) tested between 100.5 and 109 dBA. Dense Grade Asphalt (DGA) pavement tested between 98.5 dBA and 101.5 dBA. The survey shows that pavement noise levels can vary by up to 13 dBA.

The Traffic Noise Model (TNM), as represented by the green oval in Figure 5-8, uses an average pavement noise level regardless of pavement age, type, or measured sound intensity level. The TNM noise level for vehicle traffic similar to SR 85 is 102.7 dBA. The TNM average is significant in that it is an accepted method to calculate noise levels at receptor locations and has been used in the Express Lanes Noise Study for SR-85.

¹⁹ Ibid ²⁰ Ibid

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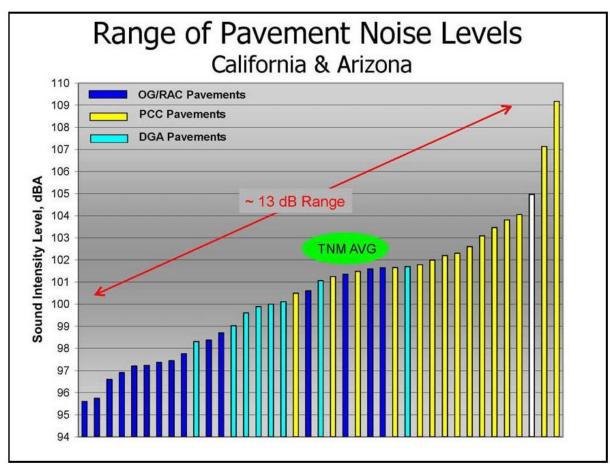


Figure 5-8: Range of Pavement Noise Levels

Notes:

- 1) Chart by: B. Rymer, California Department of Transportation (CalTrans), Division of Environmental Analysis.
- 2) OG/RAC = Open Graded Asphalt
- 3) PCC = Portland Cement Concrete
- 4) DGA = Dense Graded Asphalt
- 5) The white bar on the graph represents "Chip Seal" a unique pavement type to the survey. No similar types were tested and, therefore no sound intensity range is provided.
- 6) TNM Average Noise Level is derived from the following source: National Cooperative Highway Research Program <u>Report 738: Evaluating Pavement Strategies and Barriers for Noise Mitigation</u>, 2013. Page 13.

5.3.3 Quieter Pavement Types

Two types of quieter pavement appear to be especially beneficial: 1) Open Grade Asphalt Concrete (OGAC) or Rubberized Asphalt Concrete Overlay (RAC-O) which is pavement material that consists of regular asphalt concrete mixed with crumb rubber from recycled tires and 2) Grind and Groove or "GnG" pavement, which is characterized by uniform longitudinal grooves in Portland cement concrete roadways. The resultant positive and negative surfaces in GnG pavement is wider than the grooves created when Conventional Diamond Grinding (CDG) is applied to Portland cement roadways. See Figure 5-9 below.



Figure 5-9: Next Generation Concrete Surface (NGCS) Grind and Groove (GnG) pavement.

Implementation of quieter pavement measures will require night work with temporary lane closures.

5.3.4 Quieter Pavement Noise Reduction

Depending on the existing pavement type, condition (age), noise reduction from the implementation of quieter pavement generally is in the range of 1 to 10 dBA.

5.3.5 Quieter Pavement Treatment Installation Projects

Quieter pavement has been implemented in many places nationally and internationally. The following is a list of some representative projects:

- Interstate 5 in Sacramento Grind and Groove (GnG)
- State Route 101 in Arizona Asphalt Rubber Friction Course (ARFC)
- U. S.101 in San Rafael, CA Open Grade Asphalt Concrete (OGAC)
- I-280 in Woodside, CA Rubberized Asphalt Concrete Overlay (RAC-O)
- I-80 in Davis, CA Open Grade Asphalt Concrete (OGAC)

6.0 SR 85 Noise Analysis

6.1 Existing Noise Conditions

This study did not conduct field measurements of traffic noise along SR 85. Instead, this study used measurements of existing noise conditions obtained for the SR 85 Express Lanes Project Initial Study with Negative Declaration/Environmental Assessment with Finding of No Significant Impact (Express Lanes IS/EA) dated April 2015. Appendix C lists the modeled existing noise levels from the Express Lanes IS/EA. Of the locations, 38 noise-sensitive receptors are identified as at or approaching 67 dB, the FHWA level of significance.

6.2 Selection of Analysis Locations

In order to determine the amount of noise reduction that would be provided by each alternative, five analysis locations were selected. These locations were selected by narrowing down the 38 noise-sensitive receptors identified as at or approaching 67 dB in the Express Lanes IS/EA. The following methodologies were employed:

- 1. Eliminate receptors adjacent to U.S.101: Receptors not adjacent to SR 85 are outside of the project scope. This eliminated 10 receptors.
- 2. Eliminate non-residential receptors: Churches, schools, parks, trails, etc. can be considered less sensitive than residences, as people spend less time in these locations, and sleep disturbance is not a concern at non-residential receptors. This eliminated 8 receptors.
- 3. Eliminate rural residential receptors: There are three (3) noise-impacted rural, residential receptors off Malech Road in South San Jose. These receptors were eliminated, as Caltrans' "cost per benefitted receptor" would be greatly exceeded by any potential noise reduction strategy.
- **4. Select receptors with potential for at least 3 dB of noise reduction**: An initial screening/modeling of the 17 remaining sensitive receptors were conducted to determine which receptors showed the most potential for noise reduction from the alternative noise reduction measures.

The entire roadside community will benefit from quieter pavements (e.g., Next Generation Concrete Surface (NGCS), grinding, overlays), so the screening was focused on the other two alternatives being studied: barrier caps and absorptive barrier treatments.

- 5. Select receptors with varying topography: Since recommendations from this study will be part of the "pilot" testing phase (Phase 2 of the Program), receptors with varying topography were selected to determine whether greater benefit is received when SR 85 is depressed (below grade of the residence), level (same grade as the residence), or elevated (above the residence). Topography affects how much diffraction a barrier cap will reduce, along with the effectiveness of acoustical absorption at parallel barriers.
- 6. **Selecting receptors with highest noise level**: The final step is to select receptors with the highest existing noise level.

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Based on the methodology above, Table 6-1 below lists the 5 locations that were selected. Appendix D shows these locations on SR-85 and Appendix E reviews each of the recommended analysis locations in detail.

Table 6-1: Summary of Selected Locations

Note: Quieter pavement types will be effective for all receptors in this memo. Receptor Designation codes and existing noise

				Potential Noise Reduction Measure			
Location No.	Receptor Designation	Description	Worst Hour Existing Traffic Noise Levels (dBA)	Barrier Cap?	Absorptive Treatment?	Quieter Pavement?	
1	ST - 19	Lubich Drive, Mountain View	69	Yes	Yes	Yes	
2	ST - 24	The Dalles Ave. and environs, Sunnyvale	68	Yes	Yes	Yes	
3	ST - 40	Tomki Court to Lily Ave., Cupertino	67	Yes	No	Yes	
4	ST - 55	Yuba Court, Saratoga	67	Yes	Yes	Yes	
5	ST - 107	Glenburry Way, San Jose	66	Yes	No	Yes	

levels are from the SR 85 Express Lanes IS/EA.

6.3 Noise Reduction Calculation Methodology

6.3.1 Vegetation as Absorptive Treatments

Noise reduction calculations were not performed for vegetation as an absorptive treatment to existing sound walls as a means to increase noise reduction due to the maintenance and water concerns/costs raised in section 5.2.1.

6.3.2 Barrier Caps and Absorptive Treatments

For state and federal highway projects, the accepted method to calculate noise levels at sensitive receptors is the FHWA's Traffic Noise Model (TNM) v2.5. This model incorporates the road geometry, barrier configuration, and receptor locations. It is also capable of incorporating the noise reduction from buildings, terrain features (e.g., berms), tree rows, and ground effects. However, the TNM cannot accurately calculate barrier cap noise reduction, and the calculation of noise reduction from absorptive barrier materials has not been fully implemented in the software.²¹

There are a few different acoustical calculation software packages that are able to calculate the effects of barrier caps and absorptive materials. Both SoundPlan²² and CadnaA²³, state-of-the-art noise modeling software, were used to calculate noise reduction from barrier caps and absorptive materials at the five selected analysis locations. Both software packages are able to calculate the noise reduction obtained from barrier caps and absorptive barriers, and both follow the same calculation standards. While this software is not used for federally-funded highway noise studies (due to FHWA mandates), the software is used extensively for other public infrastructure work (e.g., rail/highway construction noise, power plant noise). Both software packages were used to determine whether the results were consistent. In general, the following procedure was followed:

²¹ While the TNM does have some capability to calculate the effect of absorptive barrier treatments, the results are not always accurate or reliable. NCHRP Report 791: <u>Supplemental Guidance on the Application of FHWA's Traffic Noise Model (TNM)</u> discusses this issue in detail. <u>http://onlinepubs.trb.org/onlinepubs/nchrp/nchrp_rpt_791.pdf</u>

²² http://www.datakustik.com/en/products/cadnaa

²³ <u>http://www.soundplan.eu/english</u>

 Imported TNM studies used in the Express Lanes noise study (performed by Illingworth & Rodkin) prepared for the Express Lanes IS/EA. The road geometry, barrier locations and heights, and sensitive receptor locations were all imported into SoundPlan and CadnaA. Figure 6-1 below shows a screenshot from the software.

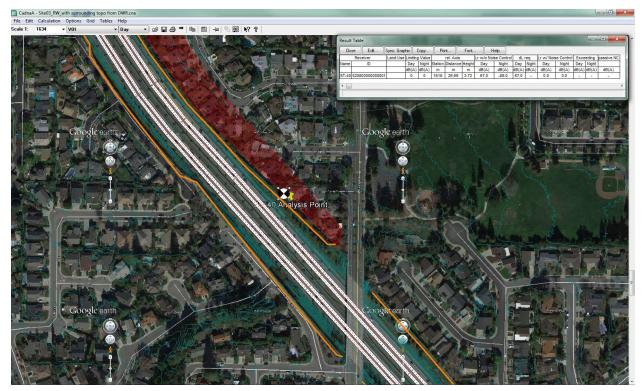


Figure 6-1: Noise Modeling Software Screenshot

- 2) Imported terrain data for the right-of-way from Caltrans Topographic data provided by VTA (Caltrans Radman Aerial Surveys dated 6-30-2010).
- 3) Imported terrain data for areas outside of the right-of-way from the U.S. Geological Survey (USGS) or National Oceanic and Atmospheric Administration (NOAA). Figure 6-2 below shows the topography at one of the analysis locations.

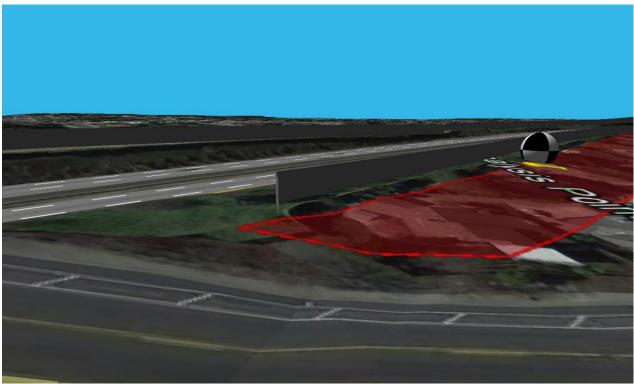


Figure 6-2: 3D View of Local Topography

- 4) Calculated the existing noise level (i.e., no changes made to the TNM study) at each of the five analysis locations; barriers were set as acoustically reflective (NRC²⁴ of 0.2). All other pertinent settings (e.g., temperature, humidity, number of orders of reflection) were made consistent across models.
- 5) Modified the noise model as follows:
 - a. In the case of barrier caps, added cylindrical (three foot diameter) or T-shaped (three and five feet wide) elements; see Figures 6-3 and 6-4.
 - b. For those locations where absorptive materials were being considered, the far barrier (i.e., the barrier on the opposite side of the roadway as the receptor of interest) was modified to be acoustically absorptive (NRC 0.80)

²⁴ Noise Reduction Coefficient (NRC): A measure of the acoustical absorption performance of a material, calculated by averaging its sound absorption coefficients at 250, 500, 1000 and 2000 Hz, expressed to the nearest integral multiple of 0.05.

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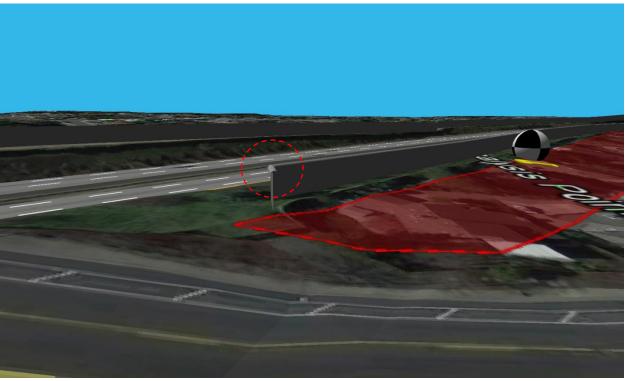


Figure 6-3: Cylindrical Barrier Cap Modeling

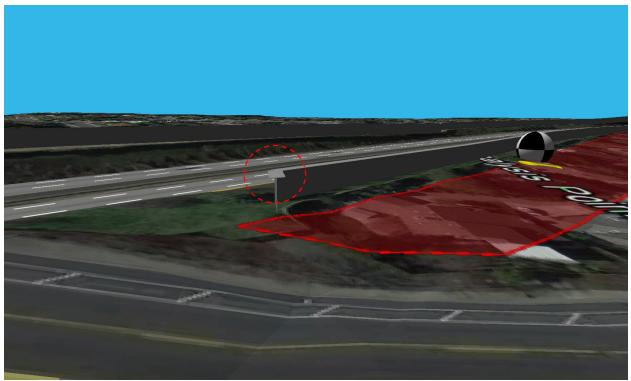


Figure 6-4: T-Shaped Barrier Cap Modeling

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6) Recalculated the noise levels at the receptors to quantify the difference (i.e., the noise reduction) provided by the barrier cap and/or absorptive treatment

6.3.3 Quieter Pavement Calculation Methodology

The FHWA and the TNM require that noise modeling be conducted using the "average pavement" type. As shown in Figure 5-8, average pavement falls in the middle of the range of tire noise generated by various road surfaces. While both SoundPlan and CadnaA allow other pavement types to be modeled, the options are limited and were not considered as accurate as the method utilized for this study (presented below).

As part of research review, numerous papers and reports concerning quieter pavements were read and summarized. These documents investigated both the overall noise levels of various pavement types, along with the longevity (increase in noise levels over time) of each type. Specifically, the following documents were found to be most useful:

- <u>Quieter Pavement Pilot Program: Progress Report 3, Final Report 577.</u> Arizona Department of Transportation, September 2012.
- <u>Evaluation of Grind and Groove (Next Generation Concrete Surface) Pilot Projects in California</u>. Caltrans/UC Pavement Research Center, November 2012.
- <u>Evaluating Pavement Strategies and Barriers for Noise Mitigation, Report 738</u>. National Highway Cooperative Research Program, 2013

The following procedure was utilized to estimate the noise reduction achieved from quieter pavements:

- 1. Review the above documents and determine typical On-Board Sound Intensity Levels (OBSI) measured for the various Quieter Pavement types.
- 2. Calculate the average OBSI noise level for three pavement types of interest:
 - a. Next Generation Concrete Surface
 - b. Rubberized Asphalt Over Concrete (RAC[O])
 - c. Asphalt Rubber Friction Course (ARFC)
- 3. Calculate the Quieter Pavement noise reduction by subtracting the quieter pavement OBSI from the existing, TNM average pavement OBSI values.

Figure 6-5 shows an excerpt of the quieter pavement calculation worksheet employed to determine noise reduction (NR).

Noise Reduction Based Upon TNM Modeling (Avg. Pavement)

Pavement Type	OBSI	NR
TNM Avg. Pavement - Light Vehicles	102.7	
GNG	101.1	1.6
ARFC (average of new and 9 year)	98.0	4.7
RACO (average of new and 9 year)	98.1	4.6

Notes:

1) NR signifies noise reduction, in dBA.

2) Since pavement gets noisier as it ages, 0.3 to 0.8 decibels per year, the average OBSI of new and 9 year old pavement is used to determine the noise reduction of ARFC and RACO pavement types.

Figure 6-5: Excerpt from Quieter Pavement Worksheet

6.4 Results

Table 6-2 summarizes findings for each of the analysis points. The two viable noise reduction measures are barrier caps with absorptive material and quieter pavement. The calculated noise reduction is a reduction in noise as compared to the existing noise levels calculated by the TNM during the Express Lanes noise study. Appendix F provides exhibits showing the area of treatment for all three methods.

	Potential Noise Reduction (dBA)									
			Barrier Cap		Absorptive Treatment					
Location No.	Receptor Designation	Description	Barrier Cap without Absorptive Material	Barrier Cap with Absorptive Material	Absorptive Treatment	GnG Pavement	Asphalt Overlay	Worst Hour Existing Traffic Noise Levels (dBA)		
1	ST - 19	Lubich Drive, Mountain View	1.4-2.3	3.4-4.3	0.0*	1.6	4.6-4.7	69		
2	ST - 24	The Dalles Ave. and environs, Sunnyvale	1.5-2.4	3.5-4.4	0.9	1.6	4.6-4.7	68		
3	ST - 40	Tomki Court to Lily Ave., Cupertino	1.4-2.5	3.4-4.5	n/a	1.6	4.6-4.7	67		
4	ST - 55	Yuba Court, Saratoga	1.2-2.1	3.2-4.1	0.8	1.6	4.6-4.7	67		
5	ST - 107	Glenburry Way, San Jose	0.7-1.2	2.7-3.2	n/a	1.6	4.6-4.7	66		

Notes:

* At Location 1, the opposite sound wall (where the absorptive treatment would be applied), does not run the length of the treatment area. The noise reduction is negligible.

1) Regarding barrier caps, the average noise reduction range is for the three types of barrier caps described in Section 6.3.2, step 5 of the modeling procedure; 3-foot diameter cylindrical and 3 and 5-foot T-shaped. There are two ranges of results; one is the range without absorptive material and the other is the range with absorptive material.

2) Absorptive Treatment: "n/a" shown in the column indicates that absorptive treatment is not feasible because there is no parallel opposite barrier reflecting noise.

3) GnG = Next Generation Concrete Surface or "Grind and Groove", meaning a new concrete grinding process which reduces tire noise over traditional concrete grinding methods.

- Asphalt overlays = Either RAC(O)²⁵ or ARFC²⁶; will need to consult with Caltrans to determine which overlay is feasible for SR 85
- 5) Worst Hour Existing Traffic Noise Levels derived from <u>Express Lanes IS/EA</u>.

6.5 Estimated Costs

Table 6-3 summarizes the estimated costs for the two viable alternatives (barrier cap with absorptive material and quieter pavement).

			RAC(O) Grind and Groove (RAC(O) Grind and Groove (GnG) W		Barrie With Abs Mate	orptive
Locati on No.	Receptor Designation	Number of Receptors Benefited	Total Cost	Cost per Receptor	Total Cost	Cost per Receptor	Total Cost	Cost per Receptor
1	ST-19 - Mountain View	11	\$912,000	\$83,000	\$588,000	\$54,000	\$727,000	\$66,000
2	ST-24 - Sunnyvale	24	\$1,543,000	\$64,000	\$958,000	\$40,000	\$1,119,000	\$47,000
3	ST-40 - Cupertino	28	\$1,517,000	\$54,000	\$942,000	\$34,000	\$1,021,000	\$36,000
4	ST-55 - Saratoga	7	\$1,919,000	\$274,000	\$880,000	\$126,000	\$615,000	\$88,000
5	ST-107 – San Jose	16	\$928,000	\$58,000	\$599,000	\$37,000	\$632,000	\$40,000
Totals		\$6,819,000		\$3,967,000		\$3,113,000		

Table 6-3: Estimated Costs

Notes:

1) Costs are total project costs including design and construction.

2) At Location 4, the length of the area to be paved is 1,202 yards. The length of the sound wall to be fitted with a barrier cap is 500 yards. The difference in the lengths of the treatment areas explains the variation in cost per receptor.

The current Caltrans allowable cost per benefitted receptor is \$80,000.

6.6 Recommendation

As can be seen from Table 6-2, on average the asphalt overlay provides the most noise reduction. Absorptive barrier caps approach the noise reduction provided by the quieter pavement; however, the benefit of quieter pavement extends to more receptors, as a barrier cap only benefits those residences located just behind the sound wall whereas quieter pavement reduces noise for all surrounding receptors. Absorptive barrier treatments provide minimal noise reduction improvement and we do not recommend implementation.

Based on the above, we recommend asphalt overlay as the preferred noise reduction measure.

²⁵ RAC(O): rubberized asphalt concrete overlay

²⁶ ARFC: asphalt rubber friction course

7.0 Implementation Plan

The implementation of Phase 2 is dependent on funding. The Program is funded through Phase 1 (this study) from local sources. The potential funding sources for the project initiation, project approval and environmental document, design, and construction phases of Phase 2 include future sales tax and toll revenue.

After full funding is in place, VTA is projecting the start of construction for Phase 2 to be in the fall of 2018. The Construction phase is assumed to be 9 months.

The implementation of Phase 3 is dependent on the following:

- a. Funding. The potential funding sources for the project initiation, approval and environmental document, design, and construction phases of Phase 3 include future sales tax and toll revenue.
- Positive result of noise reduction measure observed several years after Phase 2 construction. The process and timing of the assessment will be determined during the project approval and environmental phase of Phase 2.

Because of the length of the freeway corridor and potential cost of implementation, Phase 3 may have to go through a site selection process to prioritize the locations for a phased implementation.

8.0 Study Limitation and Consideration

- a. Study Limitations. This study and its conclusions are based upon research articles and measurements conducted by others. No on-site measurements were conducted. Acoustical modeling was based upon the TNM noise studies received from VTA/Illingworth & Rodkin and we are not responsible for the veracity of these models. Topography data was obtained from the USGS and NOAA, and we are not responsible for the veracity of the veracity of this data. As with all acoustical calculations, the margin of error is approximately at least +/- 1 dBA.
- b. Caltrans Process and Approval. Any State highway improvement project to be undertaken follows Caltrans' project development procedures manual (<u>http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm</u>). The follow on phases (Phase 2 and Phase 3) will go through the policies and procedures outlined in this manual. The typical project development phases include project initiation, project approval and environmental document, design, construction, and project closeout. Further analysis of the recommendation in this study will be undertaken to fully review the benefit of the recommended noise reduction measure against the overall impacts to the facility, including but not limited to constructability, longevity, aesthetics if applicable, structural integrity, service life and maintenance. During these phases, the projected schedule to complete the follow on phases and assessment period after construction of Phase 2 will be fully developed.
- c. Caltrans Quieter Pavement Bulletin. In addition to the project development procedures manual discussed above, Caltrans has a quieter pavement bulletin (<u>http://www.dot.ca.gov/hq/maint/Pavement/Offices/Pavement_Engineering/Quiet_Pavement.html</u>) that establishes policies related to the design, construction and maintenance of quieter pavements. The follow on phases (Phase 2 and Phase 3) will go through the policies and procedures outlined in this bulletin.

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9.0 City Involvement

Representatives for the Town of Los Gatos, Cities of Mountain View, Sunnyvale, Cupertino, San Jose, Saratoga, Campbell, Los Altos and Monte Sereno, and Santa Clara County Roads and Airports have been invited and have attended project team meetings with VTA and Caltrans staff. The local representatives have also reviewed and provided comments to the study documentations. Concurrence to the five (5) noise analysis locations were obtained during the January 6, 2016 project team meeting.

Input to the draft report was received form the various cities and Caltrans, and the items were discussed and/or incorporated into this report. On September 9, 2016, a meeting was held with the parties listed above to obtain final concurrence on the report. The attendees (Caltrans, Mountain View, Saratoga, Los Altos) had no additional comments or requested changes. Caltrans stated that the report was technically/acoustically satisfactory.

SR 85 Noise Reduction Study September 2016 Final Phase 1 Report

Appendix A – Existing Pavement at Analysis Locations



Location ST-19, in the proximity of Lubich Drive, Mountain View



Location ST-24, in the proximity of The Dalles, Sunnyvale



Location ST-40, in the proximity of Tomki Court, Cupertino

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Appendix A – Existing Pavement at Analysis Locations



Location ST-55 in the proximity of Sea Gull Court, Saratoga



Location ST-107, in the proximity of Glenburry Way, San Jose



Appendix B – Research Article Bibliography

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Appendix C – SR 85 Express Lanes Project, Summary of Long and Short-Term Measurements and Existing Noise Levels

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
LT-1	1	Central Avenue trail entrance to Stevens Creek Trail, Mountain View.	Mountain View	C(67)	64
ST-1	1	Front yard of 751 San Carlos Avenue, Mountain View	Mountain View	B(67)	54
ST-2	1	Rear Yard of 861 San Luppe Drive, Mountain View	Mountain View	B(67)	57
ST-3	1	500 W. Middlefield Road - Willow Creek Apartments, Mountain View	Mountain View	B(67)	59
ST-4	1	Equivalent to pool/common area of 500 W. Middlefield Road - Willow Creek Apartments, Mountain View	Mountain View	B(67)	55
ST-5	1	Alamo Court Park, Mountain View	Mountain View	C(67)	63
ST-6	1	West end of Creekside Park, Mountain View Representative of park and adjacent residential apartments.	Mountain View	B(67)/ C(67)	61
ST-7	1	179 B Central Avenue condos.	Mountain View	B(67)	59
ST-8	1	117 Easy Street – Church of Scientology.	Mountain View	C(67)/ D(52)	64
LT-2	2	Rear yard of 579 McCarty Avenue, Mountain View.	Mountain View	B(67)	57
ST-9	2	120 Pioneer Way – Jehovah's Witness Church, Mountain View. No sensitive outdoor uses.	Mountain View	D(52)	71
ST-10	2	Avalon Apartments at Creekside, Mountain View.	Mountain View	B(67)	61

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Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-11	2	Equivalent to apartments adjoining SR 85 along Alice Avenue.	Mountain View	B(67)	68
LT-3	3	Rear yard of 1105 Remington Court, Sunnyvale.	Sunnyvale	B(67)	64
ST-12	3	150 Kings Row in Sahara Mobile Home Park.	Mountain View	B(67)	64
ST-12a	3	Stevens Creek Trail.	Mountain View	C(67)	71
ST-12b	3	271 Kings Row in Sahara Mobile Home Park.	Mountain View	B(67)	59
ST-13	3	Pool area of Americana Apartments.	Mountain View	B(67)	57
ST-14	3	Park along Franklin Avenue.	Mountain View	C(67)	62
ST-15	3	1240 Dale - Delmonico Apartments.	Mountain View	B(67)	64
ST-16	3	Rear yard of 1317 Brook Place.	Mountain View	B(67)	63
ST-17	3	Rear yard of 877 Heatherstone - Heatherstone Apartments.	Mountain View	B(67)	63
ST-18	3	End of Mockingbird Lane.	Sunnyvale	B(67)	64
ST-19	3	Alta Vista High School at setback of nearest classrooms to SR 85. Equivalent to Lubich Drive residential rear yards.	Mountain View	B(67)/C(67)/ D(52)	69
ST-20	3	Rear yard of 1429 Brookmill Road.	Los Altos	B(67)	66
ST-21	3	Bernardo Avenue - Assisted living facility, adjacent to outdoor use area.	Sunnyvale	B(67)	71

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-22	4	Front of 1090 Butte Court.	Sunnyvale	B(67)	65
ST-23	4	Rear yard of 1272 Brookings.	Sunnyvale	B(67)	66
ST-24	4	Equivalent to 1112/1113 The Dalles Ave.	Sunnyvale	B(67)	68
ST-25	4	Rear yard of 1624 Bellville Way.	Sunnyvale	B(67)/ D(52)	69
ST-26	4	Equivalent to rear yard of 1494 S. Bernardo Avenue.	Sunnyvale	B(67)	62
ST-27	4	10901 Maxine Avenue.	Cupertino	B(67)	64
ST-28	4	Rear yard of 1739 Banff Drive.	Sunnyvale	B(67)	65
ST-29	4	Front yard of 10760 Maxine Avenue.	Cupertino	B(67)	59
ST-30	5	10700 Stokes Avenue - Somerset Park. Receptor outside of study area.	Cupertino	N/A	
LT-4	5	Rear yard of 10480 Stokes Avenue, Cupertino.	Cupertino	B (67)	62
ST-31	5	Small park next to Casa de Anza Apartments on Mary Avenue.	Cupertino	C(67)	65
ST-32	5	End of Fitzgerald Avenue.	Cupertino	B(67)	63
ST-33	5	Glenbrook Apartments.	Cupertino	B(67)	57
ST-34	5	De Anza College, Campus Drive.	Cupertino	C(67)/ D(52)	69
ST-35	5	Home of Christ Church on Bubb Street. No sensitive outdoor uses.	Cupertino	D(52)	74
ST-36	5	South end of Campus Drive - Child Development Center.	Cupertino	C(67)/ D(52)	74

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-36a1	5		Cupertino	C(67)/ D(52)	60
ST-37	5	Rear yard of 826 September Drive.	Cupertino	B(67)	64
ST-38	5	Equivalent to rear yard of 7855 Festival Drive.	Cupertino	B(67)	67
ST-39	5	Park across from 7704 Orogrande Place.	Cupertino	C(67)	68
ST-40	5	Rear yard of 7726 Tomki Court.	Cupertino	B(67)	67
ST-41	5	Rear yard of 1101 Kentwood Avenue.	Cupertino	B(67)	63
ST-42	5	Rear yard of 1114 Scotland Drive.	Cupertino	B(67)	68
ST-44	5	Gardenside Lane at Kingsbury Place. Equivalent to outdoor use areas of residences.	Cupertino	B(67)	66
ST-45	5	Water Lily Way - townhomes.	San Jose	B(67)	64
LT-5	6	Congress Springs Park, Saratoga.	Saratoga	C (67)	65
ST-43	6	7150 Rainbow Drive, Building 1.	Cupertino	B(67)	66
ST-46	6	Rear yard of 20167 Pampas Court.	Saratoga	B(67)	62
ST-47	6	Equivalent to rear yard of 7168 Sharon Drive.	San Jose	B(67)	64
ST-48	6	1507 Eddington Place.	San Jose	B(67)	56
ST-49	6	Prospect Corners Apartments.	San Jose	B(67)	60

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-50	6	Rear yard of 19782 Solana Drive.	Saratoga	B(67)	64
ST-51	6	Rear yard of 20159 Marilla Court.	Saratoga	B(67)	61
ST-52	6	South corner of Kevin Moran Park.	Saratoga	C(67)	63
ST-53	6	Rear yard of 19899 Seagull Way.	Saratoga	B(67)	65
ST-54	6	13149 Anza Court. (Between 13126 and 13148 Anza Drive)	Saratoga	B(67)	61
ST-55	6	Rear yard of 19729 Yuba Court.	Saratoga	B(67)	67
ST-56	6	Front yard of 19201 Vineyard Lane – Vineyards of Saratoga condos.	Saratoga	B(67)	62
ST-57	7	19110 Bonnet Way. Represents both rear yards and front yards.	Saratoga	B(67)	55
ST-58	7	Park across from 18906 Bellgrove Circle.	Saratoga	C(67)	62
ST-59	7	Alvarado Court.	Saratoga	B(67)	58
ST-60	7	14035 Abdulla Way.	Saratoga	B(67)	59
ST-61	7	Rear yard of 18581 Lyons Court.	Saratoga	B(67)	51
ST-62	7	5104 Westmont Avenue – Hacienda Quito Apartments.	San Jose	B(67)	58
ST-63	7	Rear yard of 18669 Casa Blanca Lane.	Saratoga	B(67)	59
ST-64	7	Rear yard of 1380 Elwood Drive.	Los Gatos	B(67)	59

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Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-65	7	5036 Pinetree Terrace – Roundtree Apartments.	Campbell	B(67)	59
ST-66	7	Los Gatos Estates on Pollard Road.	Los Gatos	B(67)	60
ST-67	7	Palmer Drive apartments, swimming pool.	Los Gatos	B(67)	56
ST-68	7	Equivalent to residential yards at end of Mulberry Avenue.	Los Gatos	B(67)	58
ST-69	7	Equivalent to rear yard of 748 Pollard Road.	Los Gatos	B(67)	58
ST-70	7	Elm Wood Court apartments.	Los Gatos	B(67)	60
ST-71	7	End of Del Loma Drive.	Campbell	B(67)	60
ST-72	8	Aventino Apartments, pool/playground.	Los Gatos	B(67)	57
ST-73	8	Bonnie View mobile home park, #58.	Los Gatos	B(67)	56
ST-74	8	Los Gatos Swim and Racquet Club, tennis courts.	Los Gatos	C(67)	65
ST-75	8	Front yard of 106 Pso Laura Court.	Los Gatos	B(67)	54
ST-76	8	Across from 16260 Burton Road.	Los Gatos	B(67)	57
ST-77	8	16160 East Mozart Avenue.	Los Gatos	B(67)	56
ST-78	8	Ashbrook Circle.	San Jose	B(67)	61
ST-79 ²	8	Rear side of Good Samaritan Hospital.	San Jose	D(52)	69

Receptor Segment Location ID Number		City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level	
ST-80	8	Equivalent to 2313 Clydelle Avenue.	San Jose	B(67)	62
ST-81	8	Equivalent to rear yard of 4643 Marbella Drive.	San Jose	B(67)	59
ST-82	8	Carolyn Norris Park.	San Jose	B(67)	59
LT-6	9	Rear yard of 1860 Little Branham Lane, San Jose	San Jose	B (67)	59
ST-83	9	Front yard of 4840 Anna Drive.	San Jose	B(67)	65
ST-84	9	Standish Drive.	San Jose	B(67)	57
ST-85	9	Equivalent to rear yard of 4794 Sally Drive.	San Jose	B(67)	61
ST-86	9	Rosswood Drive.	San Jose	B(67)	64
LT-7	10	Rear yard of 5071 Las Cruces Court, San Jose.	San Jose	B (67)	66
ST-87	10	Lawson Court, rear patio.	San Jose	B(67)	64
ST-88	10	Rear yard of 1599 Rebel Way	San Jose	B(67)	64
ST-89	10	5055 Dent Avenue.	San Jose	B(67)	59
ST-90	10	Appleseed School field. 5200 Dent Avenue	San Jose	C(67)	58
ST-91	10	Rear yard of 5141 Yucatan Way.	San Jose	B(67)	65
ST-92	10	Rear yard of 1373 Dentwood Drive.	San Jose	B(67)	62
ST-93	10	Rear yard of 5098 Tifton Way.	San Jose	B(67)	54
ST-94	ST-94 10 5304 Ayrshire, equivalent to Almaden S Elementary School playground.		San Jose	C(67)	58

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-95	10	Russo Park. Lansing Avenue	San Jose	C(67)	68
ST-99	10	Rear yard of 1265 Dentwood Drive.	San Jose	B(67)	62
LT-8	11	Rear yard at 5464 Chesbro Avenue, San Jose.	San Jose	B (67)	59
ST-96	11	Sanchez Drive.	San Jose	B(67)	62
ST-97	11	5403-5435 Sanchez Drive – apartments.	San Jose	B(67)	65
ST-98	11	Rear yard of 5283 Fell Avenue.	San Jose	B(67)	65
ST-100	11	5220 Terner Way, setback of Ohlone Court apartments.	San Jose	B(67)	58
ST-101	11	Rear yard of 5371 Glenbury Way	San Jose	B(67)	60
ST-102	11	Gunderson High School, large baseball field.	San Jose	C(67)	64
ST-102a	11	Gunderson High School, small baseball field.	San Jose	B(67)	59
ST-102b	11	Gunderson High School, open field closest SR 85.	San Jose	B(67)	71
ST-102c	11	11 Gunderson High School, tennis courts.		B(67)	64
ST-103	11	In cul-de-sac near 772 Glenbury Way.	San Jose	B(67)	57
ST-104	11	End of Rutherglen Place, rear yard pool.	San Jose	B(67)	61
ST-105	11	Rear yard of 685 Glenbury Way, patio.	San Jose	B(67)	64

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-106	11	Rear yard on Gaundabert Lane.	San Jose	B(67)	62
ST-107	11	Rear yard of 579 Glenbury Way	San Jose	B(67)	66
ST-108	11	Rear yard of 5452 Chesbro Avenue.	San Jose	B(67)	61
ST-109	11	Rear yard of 5536 Chesbro Avenue.	San Jose	B(67)	64
ST-110	11	Front yard of 495 Velasco Drive.	San Jose	B(67)	60
ST-111	11	425 Don Fernando Way - Kinderwood Children's Center.	San Jose	C(67)	55
LT-9	12	Rear yard at 218 Herlong Avenue, San Jose.	San Jose	B (67)	63
ST-112	12	Rear yard of 5614 New Court.	San Jose	B(67)	56
ST-113	12	Rear yard of 5684 Crow Lane.	San Jose	B(67)	64
ST-114	12	Front yard of 5787 Ribchester Court.	San Jose	B(67)	57
ST-115	5 12 Rear yard of 5733 Hillbright Circle, patio.		San Jose	B(67)	62
ST-116	116 12 Rear yard of 5834 Bridle Way.		San Jose	B(67)	63
ST-117	12	Rear yard of 5871 Herma Street.	San Jose	B(67)	64
ST-118	12	Rear yard of 5874 Bufkin Court.	San Jose	B(67)	62
ST-119	12	Rear yard of 294 Herlong Avenue.	San Jose	B(67)	63
<u> </u>					

Receptor ID			City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-120	12	Rear yard of 5858 Treetop Court.	San Jose	B(67)	63
ST-121	12	End of Pala Mesa Drive.	San Jose	B(67)	62
ST-122	12	Palm Valley townhomes, common use area/pool.	San Jose	B(67)	61
ST-123	13	Kaiser Permanente, picnic area.	San Jose	C(67)	59
ST-124	13	Kaiser Permanente, picnic area.	San Jose	C(67)	63
ST-125	13	End of Holly Gillingham Lane.	San Jose	B(67)	62
ST-126	13	Front of 5983 S. Breeze Court.	San Jose	B(67)	54
ST-127	13	Monterey Grove Apartments.	San Jose	B(67)	62
ST-128	13	Setback of mobile homes nearest US 101 in Monterey Circle.	San Jose	B(67)	62
LT-11	В	Rear yard of 251 Crestridge Court, San Jose	San Jose	B (67)	64
ST-129	В	Swimming pool at 449 Danna Court	San Jose	B(67)	56
ST-130	В	Rear yard of 404 Birkhaven Place	San Jose	B(67)	61
ST-131	В	Rear yard of 7032 Basking Ridge Avenue	San Jose	B(67)	64
ST-132	В	Rear yard of 7406 Basking Ridge Avenue	San Jose	B(67)	60
ST-133	В	Coyote Creek Trail near Metcalf Park	San Jose	C(67)	62
	1		1	1	l

Receptor ID	Segment Number	Location	City	Noise Abatement Criteria Activity Category ¹	Worst- Hour Existing Traffic Noise Level
ST-134	В	Parkway Fishing Lakes	San Jose	C(67)	62
ST-135	В	Parkway Fishing Lakes	San Jose	C(67)	64
ST-136 ²	В	Calibration point for residences on Malech Road	San Jose	G	69
ST-136a	В	Rural residence on Malech Road	San Jose	B(67)	66
ST-136b	В	Rural residence on Malech Road	San Jose	B(67)	67
ST-136c	В	Rural residence on Malech Road	San Jose	B(67)	66
ST-137 B Rural residence off Coyote Creek Ranch Road		San Jose	B(67)	63	

¹ See the Noise Abatement Criteria Activity Category Definitions on the table below

Activity Category	NAC, Hourly A- Weighted Noise Level, L _{eq} (h) ^{1, 2}	Description of Activities	
A	57 (Exterior)	Lands on which serenity and quiet are of extraordinary significance and serve an important public need and where the preservation of those qualities is essential if the area is to continue to serve its intended purpose.	
B1	67 (Exterior)	Residential.	
C1	67 (Exterior)	Active sport areas, amphitheaters, auditoriums, campgrounds, cemeteries, day care centers, hospitals, libraries, medical facilities, parks, picnic areas, places of worship, playgrounds, public meeting rooms, public or nonprofit institutional structures, radio studios, recording studios, recreation areas, Section 4(f) sites, schools, television studios, trails, and trail crossings.	
D 52 (Interior) Auditoriums, day care centers, hospitals, libraries, medical facilitie of worship, public meeting rooms, public or nonprofit institutional structures, radio studios, recording studios, schools, and television			
E	72 (Exterior)	Hotels, motels, offices, restaurants/bars, and other developed lands, properties, or activities not included in A–D or F.	
F	No NAC—reporting only	Agriculture, airports, bus yards, emergency services, industrial, logging, maintenance facilities, manufacturing, mining, rail yards, retail facilities, shipyards, utilities (water resources, water treatment, electrical, etc.), and warehousing.	
G	No NAC—reporting only	Undeveloped lands that are not permitted.	

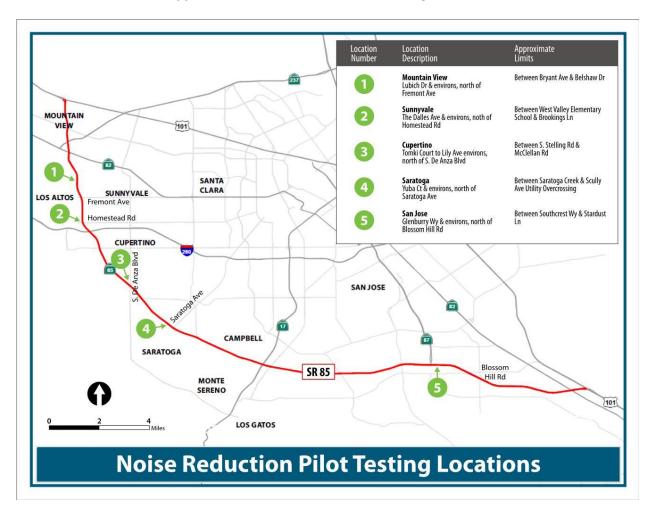
Noise Abatement Criteria Activity Category Definitions

Source: Caltrans 2011d

¹ Includes undeveloped lands permitted for this activity category.

 2 The $L_{\text{eq}[h]}$ activity criteria values are for impact determination only and are not design standards for noise abatement measures. All values are A-weighted decibels (dBA).

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Appendix D – Noise Reduction Pilot Testing Locations

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-	Appenaix E: Detailed Noise Analysis Location information						
No.	Receptor Designation	City	Description	Noise Level	Topography	Rationale	
1	ST-19	Mountain View	Lubich Drive Residences along the west side of SR 85 north of Fremont Avenue.	69 dB	SR 85 below grade of residences	11 receptors affected; barrier cap and/or absorptive treatment may be effective (absorptive treatment will likely only benefit north Lubich Drive residences); note that additional receptors south of Alta Vista High School may also benefit (will be determined during detailed analysis). Roadway width to barrier height ratio is approximately 7.5:1.	
	ST-19 And	Ilysis Point			Fird's Eyr	e View Looking West	

Appendix E: Detailed Noise Analysis Location Information

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	Appendix E: Detailed Noise Analysis Location information						
No.	Designation	City	Description	Noise Level	Topography	Rationale	
2	ST-24	Sunnyvale	The Dalles Avenue (and residences north and south of The Dalles) along the west side of SR 85 north of Homestead Road.	68 dB	Level ground	24 receptors affected, barrier cap and/or absorptive treatment may be effective. Roadway width to barrier height ratio is approximately 9.5:1.	
	ST-24 Ana	vysta Point				<image/>	

Appendix E: Detailed Noise Analysis Location Information

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No.	Receptor	City	Description	Noise Level	Topography	Rationale
140.	Designation	City	Description	NOISE LEVEI	ιομοβιαμιγ	
3	ST-40	Cupertino	Residences from Tomki Court to Lily Avenue, on the east side of SR 85 north of S. De Anza Boulevard	67 dB	SR 85 below grade of residences	28 receptors affected, barrier cap may be effective.
		Aerial View				<image/>

Appendix E: Detailed Noise Analysis Location Information

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No.	Receptor Designation	City	Description	Noise Level	Topography	Rationale
4	ST-55	Saratoga	Yuba and Sea Gull Court residences rear yards along the west side of SR 85, north of Saratoga Avenue.	67 dB	SR 85 below grade of residences	7 receptors affected, barrier cap and/or absorptive treatment may be effective. Roadway width to barrier height ratio is approximately 13:1.
		Aerial View			Bird's	With the second secon

Appendix E: Detailed Noise Analysis Location Information

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SR 85 Noise Reduction Study September 2016 Final Phase 1 Report

No. Receptor Designation City Description Noise Level Topography Rationale 5 ST-107 San Jose Glenburry Way residences along the west side of SR 85, north of Blossom Hill Road. 66 dB Level 16 residences, barrier cap may be effective. ST-107 San Jose Glenburry Way residences along the west side of SR 85, north of Blossom Hill Road. ST-107 San Jose ST-107 San Jose ST-107 San Jose ST-107 ST-107 <		Decenter				ieu Noise Anulysis Locu	,
5 ST-107 San Jose Glenburry Way residences along the west side of SR 85, north of Blossom Hill Road. 66 dB Level 16 residences, barrier cap may be effective. ST-107 SI Jose Silescom Hill Road. SILENCE	No.	Designation	City	Description	Noise Level	Topography	Rationale
	5		San Jose	residences along the west side of SR 85, north	66 dB	Level	16 residences, barrier cap may be effective.
Aerial View Bird's Eye View Looking West							

Appendix E: Detailed Noise Analysis Location Information

Note: Quieter pavement is a potential noise reduction measure at all locations proposed.



-					Appendix	x F: Approximate	Treatment Area	
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options	
1	ST-19	Mountain View	Lubich Drive Residences along the west side of SR 85 north of Fremont Avenue.	69 dBA	SR 85 below grade at residences	16-feet	Noise reduction measures include quieter pavement and the addition of barrier caps to the existing sound wall. 11 noise receptors are identified below and will benefit from the noise reduction treatments.	
4	To West F	remont Avenu	le		Lo	oking West at the	e Receptors To California SR 82	
	Legend							
E	kisting Sound Wa	all w/ Absorpt	ive Treatment	•••	Existing Sound Wall w/ Ba	arrier Cap	Quieter Pavement Area	

					Appendix	F: Approximate	Treatment Area	
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options	
2	ST-24 Northern Segment	Sunnyvale	The Dalles Avenue (and residences north and south of The Dalles) along the west side of SR 85 north of Homestead Road.	68 dBA	Level ground	16-feet	Noise reduction measures include quieter pavement, the addition of barrier caps to the existing sound wall and/or absorptive treatments to the sound wall located on the far side of the freeway from the receptors. 24 noise receptors are identified below and will benefit from the noise reduction treatments. Roadway width to barrier height ratio is approximately 9.5:1.	
						J.		
	To West Hor	mestead Road	t	Loo	king West at the Norther	n End of ST-24 at	the Receptors: Location 2.a To West Fremont Avenue	
					Legend			
E>	xisting Sound Wa	all w/ Absorpt	tive Treatment	•••	Existing Sound Wall w/ Ba	nrrier Cap	Quieter Pavement Area	
				•		•		



					Appendiz	x F: Approximate	Treatment Area
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options
2	ST-24 Southern Segment	Sunnyvale	The Dalles Avenue (and residences north and south of The Dalles) along the west side of SR 85 north of Homestead Road.	68 dBA	Level ground	16-feet	Noise reduction measures include quieter pavement, the addition of barrier caps to the existing sound wall and/or absorptive treatments to the sound wall located on the far side of the freeway from the receptors. 24 noise receptors are identified below and will benefit from the noise reduction treatments. Roadway width to barrier height ratio is approximately 9.5:1.
	\square	11		H		$\left \right \right $	
					Looking West at the Sou	thern End of ST-2	At at the Receptors: Location 2.b
	📁 To West H	omestead Ro	bad		Looking west at the sou		To West Fremont Avenue
	Legend						
E	xisting Sound Wa	all w/ Absorpt	tive Treatment	•••	Existing Sound Wall w/ Ba	arrier Cap	Quieter Pavement Area



_					Appendix	x F: Approximate	e Treatment Area
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options
3	ST-40 Northern Segment	Cupertino	Residences from Tomki Court to Lily Avenue, on the east side of SR 85 north of S. De Anza Boulevard	67 dBA	SR 85 below grade at residences	12-feet	Noise reduction measures include quieter pavement and the addition of barrier caps to the existing sound wall. 28 noise receptors are identified below and will benefit from the noise reduction treatments.
	rower	Letter the d	the Northern End of ST-40	at the Receptor	s: Location 3.a		<image/> <caption></caption>
	Legend						
E	xisting Sound Wa	all w/ Absorp	tive Treatment	•••	Existing Sound Wall w/ Ba	arrier Cap	Quieter Pavement Area

-					Appendix	cF: Approximate	e Treatment Area
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options
3	ST-40 Southern Segment	Cupertino	Residences from Tomki Court to Lily Avenue, on the east side of SR 85 north of S. De Anza Boulevard	67 dBA	SR 85 below grade at residences	12-feet	Noise reduction measures include quieter pavement and the addition of barrier caps to the existing sound wall. 28 noise receptors are identified below and will benefit from the noise reduction treatments.
		Looking	North at the Receptors:	Location 3.c			<image/>
Looking North at the Receptors: Location 3.c							LOOKING NORTH AT THE SOUTHERN ENd OF SI-40 AT THE RECEPTORS: LOCATION
F	Existing Sound Wall w/ Absorptive Treatment Existing Sound Wall w/ Barrier Cap						Quieter Pavement Area

					Appendiz	x F: Approximate	e Treatment Area
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options
4	ST-55 Northern Segment	Saratoga	Yuba and Sea Gull Court residences rear yards along the west side of SR 85, north of Saratoga Avenue.	67 dBA	SR 85 below grade at residences	12-feet	Noise reduction measures include quieter pavement, the addition of barrier caps to the existing sound wall and/or absorptive treatments to the sound wall located on the far side of the freeway from the receptors. 7 noise receptors are identified below and will benefit from the noise reduction treatments. Roadway width to barrier height ratio is approximately 13:1.
	LC	boking North	at the Northern End of ST	55 at the Recept	btors: Location		Eoking North at the Receptors : Location
Legend							
E	xisting Sound Wa	all w/ Absorpt	tive Treatment	•••	Existing Sound Wall w/ Ba	arrier Cap	Quieter Pavement Area

_					Appendix	x F: Approximat	e Treatment Area
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options
4	ST-55 Southern Segment	Saratoga	Yuba and Sea Gull Court residences rear yards along the west side of SR 85, north of Saratoga Avenue.	67 dBA	SR 85 below grade at residences	12-feet	Noise reduction measures include quieter pavement, the addition of barrier caps to the existing sound wall and/or absorptive treatments to the sound wall located on the far side of the freeway from the receptors. 7 noise receptors are identified below and will benefit from the noise reduction treatments. Roadway width to barrier height ratio is approximately 13:1.
		Looking	When the	bcation 4.c			Eoking North at the Southern End of ST-55:Location 4.d
					Legend	T	
E:	xisting Sound Wa	all w/ Absorpt	tive Treatment	•••	Existing Sound Wall w/ Ba	arrier Cap	Quieter Pavement Area

-					Appendi	x F: Approximate	e Treatment Area	
No.	Receptor Designation	City	Description	Noise Level	Topography	Existing Sound Wall Height	Treatment Options	
5	ST-107	San Jose	Glenburry Way residences along the west side of SR 85, north of Blossom Hill Road.	66 dB	Level ground	12-feet	Noise reduction measures include quieter pavement and the addition of barrier caps to the existing sound wall. 16 noise receptors are identified below and will benefit from the noise reduction treatments.	
Image: Control of the control of th								
					Legend			
Ex	kisting Sound Wa	all w/ Absorp	otive Treatment	• • •	Existing Sound Wall w/ Ba	arrier Cap	Quieter Pavement Area	



Date:February 24, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Planning & Program Development, Carolyn M. Gonot
SUBJECT:	Next Network Outreach Status Update

FOR INFORMATION ONLY

BACKGROUND:

VTA is nearing the end of a two-year planning and outreach effort to develop a redesigned transit network for Fall 2017 when BART service begins in Santa Clara County. The project to develop the transit service plan is known as VTA's Next Network, and it aims to engage the community in developing a new bus and light rail transit network that meets our transit needs while increasing ridership, improving farebox recovery, and integrating BART service into the transit network. Major milestones completed to date include the release of a Transit Choices Report in early 2016, an intensive first phase of community outreach over the summer of 2016, policy guidance regarding the development of the draft transit service plan in January 2017. Upon release of the draft transit service plan, the project entered a second phase of intensive community outreach.

DISCUSSION:

The second phase of outreach, which runs through February 20, aims to collect feedback from the community regarding the draft transit service plan. The feedback received during this outreach phase will inform development of the final transit service plan, which will be presented to VTA Advisory and Standing committees in March 2017 and the VTA Board of Directors in April 2017. Staff will present a summary of the feedback received to date.

ADVISORY COMMITTEE DISCUSSION:

The Bicycle and Pedestrian Advisory Committee (BPAC) received a presentation on this item on February 8, 2017 and committee members made the following comments: 1) Expressed concern about service reductions in Palo Alto, particularly Route 88, which serves Gunn High School; 2)

Expressed support that VTA is working with the City of Palo Alto and Gunn High School PTSA to consider retaining some coverage service in Palo Alto; 3) Expressed concern about service reductions in Almaden Valley and encouraged VTA to retain some transit routes; 4) Expressed appreciation of VTA retaining Route 61, which serves the Good Samaritan Hospital, noting the area is expected to see increased growth in the near future; 5) Asked how VTA designs school service with a particular interest in service aimed at students who do after school activities (staff responded that it is designed on a case-by-case basis with consideration to proximity of other allday routes); 6) Asked for elaboration on possible EcoPass restructuring (staff responded that the restructuring would be intended to bring actual EcoPass revenues in line with Board-adopted policy that requires EcoPass revenue per boarding to be equivalent to that of other VTA fare media); 7) Asked for elaboration on how VTA might operate subsidy programs under the Core Connectivity program and whether excess capacity with Access paratransit service could be utilized (staff responded that subsidies might be implemented through a coupon code as other agencies currently do and that the new paratransit contract with MV Transportation allows for using excess capacity for non-paratransit purposes); 8) Asked how VTA could improve boardings at Mineta San Jose Airport (staff responded that the extension of Route 10 and combination with Route 60 and the new one-seat ride to the Milpitas BART Station should have a positive effect on ridership); 9) Lamented the loss of coverage-purposed service in the draft plan and stated that VTA should expand services further from the trunk lines (such as Route 22) as a strategy for increasing ridership; 10) Reacting to comment #9, another committee member assessed that comment #9 was likely typical of those who travel in areas where service reductions are proposed, however such reductions are necessary if VTA wants to achieve ridership goals and complimented Jarrett Walker for his discussion of this tradeoff at an earlier community leader workshop.

The Technical Advisory Committee (TAC) received a presentation on this item at their February 8, 2016 meeting. They expressed appreciation to staff for the outreach efforts but otherwise had no additional comments.

The Citizens Advisory Committee (CAC) received a presentation of this item at their February 8, 2017 meeting. The committee members 1) asked for clarification that the draft plan does not include any new resources from the 2016 Measure B transit operations funding source; 2) expressed support to explore new mobility options for seniors; 3) expressed support for increased service on Route 68 to South County; 4) asked for clarification on the service levels in Gilroy; 5) asked what happens if the Phase 1 BART opening gets delayed; 6) asked if there are opportunities to do some elements of the plan earlier than the arrival of BART service; 7) asked if we've received feedback on the paratransit impacts; 8) asked for clarification on the future of DASH service; 9) asked if staff studied VTA's Express bus network; 10) asked if staff is studying EcoPass program; 11) asked if staff will collect feedback on senior mobility; 12) expressed concern about loss of service in Almaden Valley; 13) asked if staff will present the financial impacts of the plan. Staff responded 1) the draft plan does not include any Measure B resources; 2) explained the draft plan's service on Route 68, 96, and 97 in Gilroy; 3) confirmed that if BART gets delayed, implementation of the plan would be delayed with it; 4) there may be opportunities to implement some elements of the plan earlier, though the timing may be difficult; 5) confirmed staff has collected significant feedback on paratransit impacts; 6) confirmed that DASH would be extended to BART and renamed the Rapid 500, serving Diridon Station,

downtown San Jose, and Berryessa BART Station; 7) confirmed staff will study the Express network after the new BART stations open; 8) confirmed that staff is studying the EcoPass program as part of the fare study; 9) confirmed that staff will engage stakeholders in the senior mobility community as part of the Core Connectivity project; 10) replied that the final plan will utilize the same total amount of service as was last approved by the VTA Board ("service hours neutral"), but that presenting all of the financial impacts of the plan would require decisions on fares, paratransit, and other related elements.

The Policy Advisory Committee (PAC) received this item on February 9, 2017 and committee members made the following comments: 1) expressed an endorsement of making transit service faster and more frequent; 2) expressed support of targeting transit service to areas by times of day when demand is high (i.e. peak period or school bell-timed routes); 3) expressed concern at the proposal to discontinue transit service in Almaden Valley; 4) expressed wishes that service to Downtown Los Gatos and Los Gatos High School could be accommodated in the Final Transit Service Plan; 5) expressed interest in possibility of Core Connectivity Project providing service to areas where transit service does not currently operate with some committee members encouraging Measure B funds to be used toward this purpose; 6) asked whether contracted services such as school buses could be used for other purposes outside school bell times, such as senior shuttles; 7) expressed an interest in how VTA can lower operating costs by using smaller vehicles and requested future analysis of operating cost components; 8) asked how determinations are made regarding which areas might see service restored (staff responded that factors such as observed ridership, school needs, senior needs and the math of operating transit are all factors, but ultimately it will be a staff judgment).

STANDING COMMITTEE DISCUSSION:

All three VTA Board standing committees received this report at their February 16 meeting. Members had the following comments.

Congestion Management Program & Planning Committee (CMPP): 1) Member Diep asked staff to describe the difference between the existing Airport Flyer, Line 10 and the proposed Line 60 that would take its place; 2) Member Rennie said that VTA should consider less service to schools but not eliminate it all together.

Administration and Finance Committee (A&F): 1) Member Bruins indicated that cities should help and fund services to seniors and that cities should also work in partnership with VTA to address service needs in their downtowns; 2) Member Liccardo asked staff to explain the changes to the DASH service as it would be replaced by the New Rapid 500 line. Also inquired how much VTA receives from the Air District to help fund the service - about \$400-800,000 annually; 3) Chair Hendricks asked staff to ensure that ridership and performance metrics are included in the Final Plan for both coverage and ridership type routes and in regular evaluation reports to the Board. He also asked for information on how free transfers would impact ridership. Also asked how Measure B funds would be addressed.

Safety, Security, and Transit Planning and Operations (SSTPO): Member Chavez had questions and comments: on 1) wanted ridership and fare analysis to show a baseline benchmark so staff

can compare future results; 2) suggested that cities wanting service could buy those services from VTA in a cost recovery fashion; 3) in some situations VTA might provide some funding to cities for service but only for three years; 4) asked what is plan for Express 181 from Fremont and suggested AC Transit provide service or in a potential partnership with VTA; 5) inquired about deletion of Line 17 to Social Services facility in Gilroy and staff indicated ridership was very low; 6) inquired about Line 45 in east San Jose and said another veterans housing facility is going to be built nearby and 7) suggested that some needs might be addressed by renting organizations one of VTA's vehicles that are no longer need.

Prepared By: Jason Tyree Memo No. 5896



Date:January 23, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Director of Government & Public Relations, Jim Lawson
SUBJECT:	Legislative Update Matrix

FOR INFORMATION ONLY

BACKGROUND:

The Legislative Update Matrix describes the key bills that are being considered by the California State Legislature during the first year of the 2017-2018 regular session. The matrix indicates the status of these measures and any VTA positions with regard to them.

DISCUSSION:

The purpose of this report is to provide an update on recent developments concerning important transportation-related issues facing lawmakers in Sacramento.

Governor's FY 2018 Budget: On January 10, 2017, Gov. Jerry Brown formally submitted his recommended FY 2018 budget to the Legislature, which has a heavy emphasis on uncertainty and prudence. Similar to recent years, it cautions against overspending and issues warnings about a possible recession looming on the horizon after eight years of economic expansion.

After four years of balanced budgets with small surpluses, Gov. Brown's recommended FY 2018 budget projects a \$1.6 billion deficit for the fiscal year that begins July 1. The budget indicates that while revenues from the state's "big three" sources -- income, sales and corporation taxes -- are still growing, the trajectory of that growth is lagging behind expectations. In addition, the Governor's budget notes that the state is experiencing higher costs for Medi-Cal than assumed when the current-year spending plan was enacted in June 2016.

To address this anticipated deficit, Gov. Brown's FY 2018 budget recommends \$3.2 billion in solutions, including funding K-14 education at, rather than above, the Proposition 98 minimum guarantee; eliminating a \$400 million set-aside in the current-year budget for affordable housing that was never allocated; canceling a \$300 million transfer of funds to modernize state office

buildings that was planning in FY 2018; and keeping state spending for other programs flat. In addition, the budget proposes to maintain a balance of \$7.9 billion in the state's "Rainy Day Fund," which represents 63 percent of the constitutional goal established under Proposition 2.

There are a number of factors that make state budgeting in California a challenge every year. For instance, although the state has the most progressive tax structure in the nation, that structure results in more volatility because of an over-reliance on capital gains. This year, however, there is more uncertainty than usual because of potential changes at the federal level that may be pursued by the Trump Administration and majority Republicans in Congress. The Governor's FY 2018 budget assumes a continuation of existing federal fiscal policy, but notes: "The incoming presidential administration and leaders in Congress have suggested major changes to Medicaid, trade and immigration policy, and the federal tax structure. Many of the proposed changes could have serious and detrimental effects on the state's economy and budget. At this point, it is not clear what those changes will be or when they will take effect." This means the Governor's May Revise could look very different from his January budget, depending on what happens over the next several months in Washington, DC.

For the third year in a row, Gov. Brown used his budget as an opportunity to urge the Legislature to pass a transportation funding package, noting that "the repair, maintenance, and efficient operations of the state's transportation system are vital to California's economic growth." He indicated that such a package should reflect the following principles:

- Focusing new revenues primarily on "fix-it-first" investments to repair state highways and bridges, as well as local roadways.
- Making key investments in trade corridors to support continued economic growth and implementing a sustainable freight strategy.
- Providing funding to match locally generated dollars for high priority transportation projects.
- Continuing measures to improve performance, accountability and efficiency at Caltrans.
- Investing in passenger rail and public transit modernization and improvement.
- Avoiding an impact on the General Fund.

In his recommended FY 2018 budget, the Governor summarized his own transportation funding plan, which is similar to a proposal he unveiled to the Legislature in September 2015. While the Governor's revised plan is different in a number of respects from the two bills that have been introduced in the Legislature -- AB 1 (Frazier) and SB 1 (Beall) -- it does share certain elements with them.

Specifically, Gov. Brown is proposing to raise roughly \$4.3 billion a year for ongoing investments in transportation through the following sources:

- Increasing the diesel excise tax by 11 cents per gallon, estimated to generate about \$425 million annually.
- Eliminating the Board of Equalization's annual adjustments to the variable portion of the state's gasoline excise tax and, instead, converting the variable rate to a fixed rate of 21.5 cents per gallon. The Governor's budget indicates that this change would yield approximately \$1.1 billion a year.
- Indexing both the gasoline and diesel excise taxes annually to inflation.
- Imposing a new road improvement charge of \$65 per year on all motor vehicles to generate roughly \$2.1 billion annually.
- Assuming \$100 million in annual savings by improving the efficiency of Caltrans. These savings could be reinvested in capital projects.
- Appropriating an additional \$500 million a year in cap-and-trade auction proceeds for transportation purposes. Unlike the other revenue sources being proposed by the Governor, this suggestion would require the Legislature to take action every year to appropriate the funds through the Budget Act.

Under Gov. Brown's transportation funding plan, these new, ongoing revenues would be used to provide the following annual investments:

- \$100 million for bicycle and pedestrian improvement projects under the Active Transportation Program.
- \$1.2 billion for local street/road maintenance and rehabilitation.
- \$250 million for a state/local partnership program to reward communities that have imposed local transportation special taxes and fees.
- \$25 million for competitive grants to assist regions and local governments in achieving the sustainable transportation requirements under current state law.
- \$275 million for multimodal mobility improvements in key congested commute corridors.
- \$400 million for public transit capital improvement projects under the Transit and Intercity Rail Capital Program.
- \$1.8 billion for maintenance and rehabilitation of the state highway system.
- \$250 million for mobility improvements along the state's major trade corridors.

Finally, Gov. Brown, in his transportation funding plan, is recommending a number of policy

- Requiring Caltrans to develop performance measures for major highway projects and to report those measures to the California Transportation Commission (CTC).
- Reinstating the statutory authority for Caltrans and regional transportation agencies to use public-private partnerships for state highway projects for a 10-year period, ending January 1, 2027. This authority expired on January 1, 2017.
- Making permanent a current California Environmental Quality Act (CEQA) exemption for a project that consists of repairing, maintaining or making minor alterations to a roadway within an existing right-of-way.
- Establishing an Advance Mitigation Program within Caltrans to allow the department to undertake environmental mitigation for future planned transportation projects in advance of construction through the use of mitigation banks, in-lieu-of fee programs and conservation easements.
- Reinstating and making permanent the statutory authorization for Caltrans to participate in a federal program that allows states to assume the responsibilities of the Federal Highway Administration (FHWA) under the National Environmental Policy Act (NEPA).

In his FY 2018 budget, Gov. Brown is recommending that the Legislature, by a two-thirds vote, pass a bill to provide the California Air Resources Board (CARB) with the statutory authority to administer cap-and-trade allowance auctions beyond December 31, 2020. This proposal is meant to address the current volatility in auction revenues, which many speculate is resulting from both the legal uncertainty as to whether cap-and-trade can continue to exist beyond 2020, and a pending lawsuit in the appellate court concerning the question of whether cap-and-trade is a tax or fee.

At the same time, the Governor's budget outlines a \$2.2 billion expenditure plan for FY 2018 cap-and-trade auction proceeds. This plan reflects the following amounts for the four programs that receive continuous appropriations under current law:

- <u>Low Carbon Transit Operations Program</u> = \$75 million. This formula-based program provides operating and capital assistance to public transit agencies to reduce greenhouse gas emissions, improve mobility, and enhance or expand service to increase mode share. Under this program, funding flows to public transit agencies according to the State Transit Assistance Program (STA) formula.
- <u>Transit and Intercity Rail Capital Program</u> = \$150 million. This competitive grant program is intended to fund "transformative" capital improvements that reduce greenhouse gas emissions, and modernize intercity, commuter and urban transit systems. The California State Transportation Agency (CalSTA) is responsible for selecting the projects to be funded under this program.

- <u>Affordable Housing and Sustainable Communities Program</u> = \$300 million. This program provides grant funds on a competitive basis for projects that reduce greenhouse gas emissions through the implementation of land-use, housing, transportation, and agricultural land preservation practices that support infill and compact development. The Strategic Growth Council is responsible for administering the Affordable Housing and Sustainable Communities Program.
- <u>High-Speed Rail</u> = \$375 million. In the near term, these funds are being used for construction of the initial piece of the state's high-speed train system in the Central Valley, and for further environmental and design work related to other segments of the project.

These four programs would receive cap-and-trade funding in FY 2018 under any circumstances. However, if CARB's authority to administer allowance auctions is not extended past 2020, the actual amounts allocated to them could be significantly less than what is assumed in the Governor's budget because the current volatility being experienced in the cap-and-trade marketplace most likely would continue.

The remaining \$1.3 billion in Gov. Brown's recommended FY 2018 cap-and-trade expenditure plan is proposed to be used for one-time appropriations for a wide range of programs, including low-carbon transportation, recycling, urban green spaces, forestry improvements, agricultural water conservation, energy efficiency upgrades, and weatherization. Of this amount, \$363 million would be allocated to CARB to provide incentives for low-carbon freight and passenger transportation, including rebates for zero-emission cars, and vouchers for hybrid and zero-emission trucks. Another \$500 million is targeted for the Transit and Intercity Rail Capital Program (\$400 million) and the Active Transportation Program (\$100 million) pursuant to Gov. Brown's transportation funding plan. However, the Governor's budget states that this \$1.3 billion in one-time funding would be allocated to these programs only if the Legislature passes a cap-and-trade extension bill by a two-thirds majority.

Finally, Gov. Brown's FY 2018 budget estimates that STA would be \$293.8 million in the upcoming fiscal year. This figure represents an increase of \$31.3 million from the current-year projection of \$262.5 million. Revenues for STA are derived entirely from the sales tax on diesel fuel. Because STA revenues are highly volatile and are difficult to project, the budget typically includes an estimate, rather than a line-item appropriation for this program.

The release of Gov. Brown's recommended FY 2018 budget is the first step in what is typically a six-month process. Over the next several months, various Assembly and Senate budget subcommittees will hold hearings and begin putting together the various pieces of the FY 2018 Budget Act, which is required to be approved by the Legislature by midnight on June 15. If that deadline is not met, lawmakers would begin forfeiting their pay. Most of the major decisions by the Legislature will be deferred until after the Governor releases his FY 2018 May Revise, which will include not only updated revenue and expenditure estimates, but also new recommendations to ensure that the budget is balanced.

Prepared By: Kurt Evans, Government Affairs Manager Memo No. 5879

LEGISLATIVE UPDATE MATRIX 2017 State Legislative Session January 20, 2017

2017 Regular Session Calendar

DAY	JANUARY	DAY	JUNE
1	Statutes signed into law in 2016 take effect.	2	Last day for bills to be passed out of their house of origin.
4	Legislature reconvenes.	15	Budget must be passed by midnight.
10	Budget must be submitted by the Governor to the Legislature on or before this date.	DAY	JULY
20	Last day to submit bill requests to the Legislative Counsel's Office.	14	Last day for policy committees to hear and report fiscal bills introduced in the other house.
DAY	FEBRUARY	21	Last day for policy committees to hear and report non-fiscal bills introduced
17	Last day for new bills to be introduced.	21	in the other house. Summer Recess begins upon adjournment, provided that the Budget Bill has been enacted.
DAY	MARCH		
	None.	DAY	AUGUST
		21	Legislature reconvenes from Summer Recess.
DAY	APRIL		
6	Spring Recess begins upon adjournment.	DAY	SEPTEMBER
17	Legislature reconvenes from Spring Recess.	1	Last day for fiscal committees to hear and report to the floor bills introduced
28	Last day for policy committees to hear and report fiscal bills introduced in	-	in the other house.
	their house of origin.	8	Last day to amend bills on the Assembly and Senate floors.
DAY	MAY	15	Last day for each house to pass bills. Interim Recess begins at the end of this day's session.
12	Last day for policy committees to hear and report to the floor non-fiscal bills introduced in their house of origin.	DAY	OCTOBER
26	Last day for fiscal committees to hear and report to the floor bills introduced in their house of origin.	15	Last day for the Governor to sign or veto bills passed by the Legislature before September 15, and in his possession on or after September 15.

State Assembly Bills

State Assembly Bills	Subject	Last Amended	Status	VTA Position
AB 1 (Frazier) Transportation Funding	Creates the Road Maintenance and Rehabilitation Account to be funded from the following sources: (1) an increase in the gasoline excise tax of 12 cents per gallon, which would be indexed to inflation every three years; (2) a registration surcharge of \$38 per year imposed on all motor vehicles, which would be indexed to inflation every three years; (3) a registration surcharge of \$165 per year imposed on zero-emission vehicles starting with the second year of ownership, which would be indexed to inflation every three years; and (4) revenues obtained by Caltrans through the rental or sale of property, the sale of documents, and charges for other miscellaneous services provided to the public. Distributes the revenues deposited into the Road Maintenance and Rehabilitation Account in the following manner: (1) \$200 million per year would be taken off the top for allocation to local jurisdictions that have sought and gained voter approval of a local transportation special tax, or that have imposed uniform developer or other fees solely for transportation progent; (b) \$80 million per year would be taken off the top and distributed to the Active Transportation projects; (4) \$2 million per year would be taken off the top and distributed to the Active transportation projects; (4) \$2 million per year would be taken off the top and distributed to the Caltronia State University to conduct transportation studies; (6) 50 percent of the amount remaining after the aforementioned set-asides would be allocated to Caltrans for maintenance of the state highway system, and for projects programmed in the State Highway Operation and Protection Program (SHOPP); and (6) 50 percent; (1) an increase in the diseel sales tax by a rate of 3.5 percent for the State Transit Assistance Program (STA); (2) an increase in the deseel sales tax by a rate of 3.5 percent for the State Transit Assistance Program (STA); (2) an increase in the deseel sales tax by a rate of 3.5 percent for the State Transit Assistance Program (STA); (2) an increase in the	As Introduced	Assembly Desk	Support

2017-2018 Legislative Update Matrix

			1		6.16.a
State Assembly Bills	Subject	Last Amended	Status	VTA Position	1
AB 17 (Holden) Transit Pass Program	Creates the Transit Pass Program to support local programs that provide free or reduced-fare public transit passes to any of the following: (1) pupils attending public middle schools or high schools that are eligible for funding under Title 1 of the federal No Child Left Behind Act of 2001; (2) students attending a California community college who qualify for a waiver of student fees pursuant to the Education Code; or (3) a student who attends a campus of the California State University or the University of California, and who receives an award under the Cal Grant Program, the federal Pell Grant Program, or both. Requires Caltrans to administer this program. Provides that the Transit Pass Program is to be funded from money made available for this purpose through appropriations by the Legislature. Requires Caltrans to develop guidelines describing the criteria that eligible transit providers shall use to make available free or reduced-fare transit passes to eligible participants. Defines "eligible transit provider" to mean a transportation agency, transportation planning agency or county transportation commission that is eligible to receive State Transit Assistance Program (STA) funding. Defines "eligible participants" to mean a public agency, including a transit operator, school district, community college district, the California State University, or the University of California. Requires Caltrans to develop performance measures and reporting requirements to evaluate the effectiveness of the Transit passe to students and whether the program to be expended to provide low- or no-cost transit passes to students through programs that support new or existing transit pass program. Allows a an eligible transit provider to give priority to an application from an eligible participant with an existing, successful transit pass program, provided that the eligible participant can demonstrate that the additional funds will further reduce the cost of the transit pass or expand program. After the initial \$20,000 amount is all	As Introduced	Assembly Desk		
AB 28 (Frazier) Federal Environmental Review Process	Reinstates and makes permanent the statutory authorization for Caltrans to participate in a federal program that allows states to assume the responsibilities of the Federal Highway Administration (FHWA) under the National Environmental Policy Act (NEPA). In addition, reinstates and makes permanent provisions that authorize Caltrans to consent to the jurisdiction of the federal courts with regard to the assumption of FHWA's responsibilities under NEPA and that waive the state's Eleventh Amendment protection against NEPA-related lawsuits brought in federal court.	As Introduced	Assembly Desk	Support	
AB 33 (Quirk) Fees and Rebates on New Vehicle Purchases	States the intent of the Legislature to enact a bill to reduce net emissions from greenhouse gases from transportation by imposing fees and granting rebates on sales of new automobiles and light- duty trucks.	As Introduced	Assembly Desk		

					6.16.a
State Assembly Bills	Subject	Last Amended	Status	VTA Position	L
AB 65 (Patterson) High-Speed Rail Bond Debt Service	Prohibits money in the Transportation Debt Service Fund from being used to pay debt service for bonds issued pursuant to the Safe, Reliable high-Speed Passenger Train Bond Act for the 21 st Century (Proposition 1A).	As Introduced	Assembly Desk		
AB 66 (Patterson) California High-Speed Rail Authority: Reporting Requirements	Requires the business plan prepared by the California High-Speed Rail Authority to identify projected financing costs for each segment or combination of segments of the high-speed rail system for which financing is proposed by the authority. In the business plan and in other reports that High-Speed Rail Authority is required to prepare, specifies that the authority shall call out any significant changes in scope for segments of the high-speed rail system identified in the previous version of the report, and provide an explanation of adjustments in cost and schedule attributable to the changes.	As Introduced	Assembly Desk		
AB 87 (Ting) Autonomous Vehicles	Requires the Department of Motor Vehicles (DMV) to revoke the registration of an autonomous vehicle that is being operated on public streets or roads in violation of current state law. Authorizes a peace officer to cause the removal and seizure of an autonomous vehicle operating on public streets or roads with a registration that has been revoked by the DMV. Authorizes the DMV to impose a penalty of up to \$25,000 per day that an autonomous vehicle is operated on public streets roads in violation of current state law.	As Introduced	Assembly Desk		
AB 91 (Cervantes) HOV Lanes: Riverside County	Beginning July 1, 2018, prohibits a high-occupancy vehicle (HOV) lane from being established in Riverside County, unless the lane is established as an HOV lane only during the hours of heavy commuter traffic, as determined by Caltrans. Requires any existing HOV lane in Riverside County that is not a toll lane to be modified to operate as an HOV lane under those same conditions. On or after May 1, 2019, authorizes Caltrans to reinstate 24-hour HOV lanes in Riverside County if the department determines that there is an adverse impact on safety, traffic conditions or the environment by limiting the use of HOV lanes during hours of heavy commuter traffic. Before reinstating 24-hour HOV lanes in Riverside County, requires Caltrans to notify the Assembly Transportation Committee, and the Senate Transportation & Housing Committee.	As Introduced	Assembly Desk		
AB 92 (Bonta) Public Contracts: Retention Proceeds	Extends the sunset date from January 1, 2018, to January 1, 2023, for provisions in current law that authorize the retention proceeds withheld from any payment by a public entity from the original contractor, by the original contractor from any subcontractor, and by a subcontractor from any other subcontractor to exceed 5 percent if: (1) a finding is made prior to contract bid that the project is substantially complex and requires a higher retention; and (2) this finding and the actual retention amount is included in the bid documents.	As Introduced	Assembly Desk		
AB 151 (Burke) Cap-and-Trade Extension	Declares the intent of the Legislature to enact a bill to authorize the California Air Resources Board (CARB) to utilize a market-based compliance mechanism after December 31, 2020, in order to help California achieve the statewide greenhouse gas emissions limit of at least 40 percent below the 1990 level by 2030.	As Introduced	Assembly Desk		

				6.	16.a
State Assembly Bills	Subject	Last Amended	Status	VTA Position	
AB 161 (Levine) CalPERS: Infrastructure Investments	Authorizes the Department of Finance to identify infrastructure projects in the state for which the department will guarantee a rate of return for an investment made in that infrastructure project by the Public Employees' Retirement System (CalPERS). Creates the Reinvesting in California Special Fund as a continuously appropriated fund. Requires money in the fund to be used to pay the rate of return on investments made in infrastructure projects. States the intent of the Legislature to identify special fund dollars to be transferred to the Reinvesting in California Special Fund.	Introduced	Assembly Desk		

State Senate Bills

State Senate Bills	Subject	Last Amended	Status	VTA Position
SB 1 (Beall) Transportation Funding	Creates the Road Maintenance and Rehabilitation Account to be funded from the following sources: (1) an increase in the gasoline excise tax of 12 cents per gallon, which would be phased in over three years; (2) a registration surcharge of 538 per year imposed on zero-emission vehicles starting with the second year of ownership, which would be indexed to inflation every three years; (3) a registration surcharge of \$100 per year imposed on zero-emission vehicles starting with the second year of ownership, which would be indexed to inflation every three years; and (4) revenues obtained by Caltrans through the rental or sale of property, the sale of documents, and charges for other miscellaneous services provided to the public. Distributes the revenues deposited into the Road Maintenance and Rehabilitation Account in the following manner: (1) \$200 million per year would be taken off the top for allocation to local jurisdictions that have sought and gained voler approval of a local transportation special tax, or that have imposed uniform developer or other fees solely for transportation program; (c) for FY 2018 through FY 2021, \$30 million per year would be taken off the top to be used to fund the implementation of advance environmental mitigation plans for future transportation projects; (4) \$2 million per year would be taken off the top and distributed to the California State University to conduct transportation research, and transportation-related workforce education, training and tevelopment; (5) 50 percent of the amount remaining after the aforementioned set-asides would be allocated to Caltrans for maintenance of the state fighway system, and for projects; (1) an increase in the diseel sales tax by a rate of 3.5 percent for the State Transit Assistance Program (STA); (2) an increase in the diseel sales tax by a rate of 3.5 percent for commuter and intercity rai; (3) an increase in the diseel sales tax by a rate of 0.5 percent for commuter and intercity rai; (3) an increase in the diseel sales tax by a rate of	As Introduced	Senate Rules Committee	Support

6.16.a

State Senate Bills	Subject	Last Amended	Status	VTA Position
SB 4 (Mendoza) Goods Movement	Subject to voter approval at the June 5, 2018, statewide primary election, enacts the Goods Movement and Clean Trucks Bond Act to authorize the issuance of \$600 million in state general obligation bonds for the following purposes: (1) \$200 million to the California Transportation Commission (CTC) for projects and programs eligible for funding from the Trade Corridors Improvement Fund (TCIF); (2) \$200 million to the California Air Resources Board (CARB) for projects and programs consistent with the Goods Movement Emission Reduction Program; and (3) \$200 million to CARB for projects and programs to expand the use of zero- and near-zero emission trucks in areas of the state that are designated as severe or extreme nonattainment areas for ozone and particulate matter. Requires revenues apportioned to California from the National Highway Freight Program established by the federal Fixing America's Surface Transportation (FAST) Act to be deposited into the TCIF and allocated by the CTC for projects pursuant to the statutes governing the TCIF. In prioritizing projects for TCIF funding, requires the CTC to consult the California Sustainable Freight Action Plan released in July 2016 pursuant to a gubernatorial executive order. Requires projects leigible for TCIF funding to further the state's economic, environmental and public health objectives and goals for freight policy. In evaluating the program of projects to be funded from the TCIF, requires the CTC to evaluate the total potential economic and non-economic benefits of the program of projects for the california's economy, environment and public health. Requires the CTC to allocate the revenues apportioned to California from the formula-based National Highway Freight Program in the following manner: (1) \$150 million dedicated exclusively to fund improvements to California's economic, and ron-economic benefits existing or planned land ports of entry on the border with Mexico; (2) \$70 million dedicated exclusively to fund improvements to California's economic, and inpo	As Introduced	Senate Rules Committee	

6.16.a

State Senate Bills	Subject	Last Amended	Status	VTA Position
SB 80 (Wieckowski) CEQA: Notices	Requires the lead agency for a project to post notices related to compliance with the California Environmental Quality Act (CEQA) on its Internet Web site. Requires the lead agency to offer to provide such notices by email to any person requesting them. Requires the county clerk to post notices regarding an environmental impact report or a negative declaration on the county's Internet Web site. If the lead agency determines that a project is not subject to CEQA and the agency approves or determines to carry out the project, requires the agency to file a notice of determination with the county clerk of each county in which the project will be located.		Senate Rules Committee	



Date:February 24, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Chief Financial Officer, Raj Srinath
SUBJECT:	Fiscal Year 2017 Statement of Revenues and Expenses for the Period Ending December 31, 2016

Policy-Related Action: No

Government Code Section 84308 Applies: No

ACTION ITEM

<u>RECOMMENDATION:</u>

Review and accept the Fiscal Year 2017 Statement of Revenues and Expenses for the period ending December 31, 2016.

DISCUSSION:

This memorandum provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through December 31, 2016. The schedule has been designed to follow the same company-wide line item rollup as included in the adopted budget. The columns have been designed to provide easy comparison of actual to budget activities for the current fiscal year including year-to-date dollar and percentage variances from budget. The current staff projections of Revenues and Expenses for Fiscal Year 2017 are also included.

The following are highlights of the current Statement of Revenues and Expenses:

Revenues

Fiscal year-to-date Total Revenues (line 15) are below budget estimates by \$7.3M, primarily due to unfavorable variances in Fares-Transit (line 1), 1976 Half-Cent Sales Tax (line 3), Transportation Development Act (TDA) (line 4) and State Transit Assistance (STA) (line 6). This negative variance was partially offset by a favorable variance in Other Income (line 12).

Fares (line 1) shows a negative variance of \$3.6M due primarily to lower ridership than budgeted.

1976 Half-Cent Sales Tax (line 3) and TDA (line 4) reflect a collective variance of \$4.3M under budget estimates. While sales tax receipts to date for FY17 were higher than the previous year, the rate of growth was lower than budgeted.

STA (line 6) reflects an unfavorable variance of \$2.9M due to the continued reduction in the price of diesel fuel. STA revenues are derived entirely from the sales tax on diesel fuel.

Other Income (line 12) reflects a positive variance of \$1.9M due primarily to a one-time receipt of revenues from termination of a Light Rail Vehicle lease/leaseback arrangement.

Expenses

Overall, Fiscal year-to-date Total Expenses (line 44) were \$6.3M under budget driven primarily by favorable variances in Labor (line 16) and Fuel (line 21) offset somewhat by unfavorable variances in Materials & Supplies (line 17) and Reimbursements (line 32).

Labor (line 16) shows a favorable variance of \$6.0M due primarily to savings related to health insurance premiums, decreased Retiree Medical Trust contributions, and a higher than budgeted vacancy rate.

Materials & Supplies (line 17) reflects an unfavorable variance of \$1.8M due primarily to increased preventive maintenance costs on an aging Light Rail Vehicle fleet.

Fuel (line 21) reflects a favorable variance of \$2.2M due to lower per gallon costs than budgeted. Average diesel price per gallon paid year-to-date through December was \$1.85 versus a budgeted price of \$2.85.

Reimbursements (line 32) has a negative variance of \$3.4M due primarily to timing of reimbursable project activities and the assignment of staff to non-reimbursable activities.

Projections

Current staff projections for the fiscal year reflect a negative Operating Balance (line 45) of \$21.7M. This decrease over the budgeted Operating Balance is due primarily to lower than anticipated Fares, Sales Tax based and STA revenues partially offset by lower Labor and Fuel expenditures.

SUMMARY:

Through the first six months of the year, revenues were lower than budget projections by \$7.3M while expenses were \$6.3M below budget estimates, for an overall negative variance of revenues over expenses (line 45) of \$0.9M. Current staff projections for the fiscal year reflect a negative Operating Balance of \$21.7M. Unless other mitigation measures are adopted by the Board, this negative Operating Balance would be funded from Sales Tax Stabilization and Operating Reserves. Staff will continue to monitor expenditure levels and provide updated projections throughout the year.

FISCAL IMPACT:

There is no fiscal impact as a result of this action.

STANDING COMMITTEE DISCUSSION/RECOMMENDATION:

The Administration and Finance Committee considered this item at its February 16, 2017 meeting. The Committee inquired what drivers were responsible for the projected operating deficit. Staff responded that the main drivers were the budget augmentations for labor, security and paratransit service.

Prepared by: Carol Lawson, Fiscal Resources Manager Memo No. 5814

ATTACHMENTS:

• FY17 2Q Rev Exp Attachment (PDF)

SANTA CLARA VALLEY TRANSPORTATION AUTHORITY STATEMENT OF REVENUES AND EXPENSES Fiscal Year 2017 through December 31, 2016

(Dollars in Thousands)

		Fiscal Year-	Fiscal Year-	Year-to-	%	FY 2017	FY 2017
Line	Category	to-Date	to-Date	Date	Variance	Current	Projection ²
		Actual	Budget	Variance	variance	Budget ¹	Flojection
1	Fares-Transit	17,421	21,038	(3,617)	-17.2%	41,599	34,493
2	Fares-Paratransit ³	240	0	240	N/A	0	1,740
3	1976 Half-Cent Sales Tax	109,352	111,530	(2,179)	-2.0%	216,835	210,824
4	TDA	50,320	52,419	(2,100)	-4.0%	101,912	100,099
5	Measure A Sales Tax-Oper Asst	20,197	20,585	(388)	-1.9%	40,021	38,912
6	STA	4,494	7,383	(2,888)	-39.1%	14,765	8,965
7	Federal Operating Grants	2,069	1,852	217	11.7%	3,704	3,704
8	State Operating Grants	1,305	710	595	83.8%	1,420	2,411
9	Investment Earnings	1,484	713	772	108.3%	1,425	2,425
10	Advertising Income	1,206	1,129	77	6.8%	2,258	2,335
11	Measure A Repayment Obligation	2,472	2,391	82	3.4%	15,247	15,247
12	Other Income	3,199	1,278	1,921	150.3%	2,556	4,458
13	Transfer for Capital	(16,800)	(16,800)	0	0.0%	(33,600)	(33,600)
14	Debt Reduction Fund Contribution	5,847	5,847	0	0.0%	11,693	11,693
15	Total Revenues	202,806	210,074	(7,269)	-3.5%	419,836	403,706
16	Labor Costs	155,466	161,433	5,968	3.7%	323,134	310,932
17	Materials & Supplies	11,516	9,690	(1,826)	-18.8%	19,374	23,374
18	Security	5,813	6,310	496	7.9%	15,119	14,619
19	Professional & Special Services	2,968	3,425	457	13.3%	7,120	7,120
20	Other Services	3,416	3,722	306	8.2%	7,584	7,584
21	Fuel	4,044	6,271	2,227	35.5%	12,517	7,979
22	Traction Power	2,306	2,124	(182)	-8.6%	3,898	4,198
23	Tires	1,055	1,135	80	7.0%	2,266	2,266
24	Utilities	1,456	1,446	(10)	-0.7%	2,895	2,895
25	Insurance	2,990	2,876	(114)	-4.0%	5,752	6,012
26	Data Processing	2,146	2,367	221	9.3%	4,746	4,746
27	Office Expense	169	213	45	21.0%	425	425
28	Communications	829	803	(26)	-3.2%	1,606	1,606
29	Employee Related Expense	266	515	248	48.3%	1,031	1,031
30	Leases & Rents	351	396	45	11.3%	791	791
31	Miscellaneous	370	356	(14)	-3.8%	714	714
32	Reimbursements	(15,976)	(19,385)	(3,409)	17.6%	(38,769)	(34,806)
33	Subtotal Operating Expense	179,185	183,698	4,512	2.5%	370,201	361,485
34	Paratransit	10,166	11,767	1,601	13.6%	26,184	26,388
35	Caltrain	4,195	4,195	(0)	0.0%	8,390	8,390
36	Altamont Corridor Express	2,444	2,662	218	8.2%	5,323	5,323
37	Highway 17 Express	158	192	34	17.5%	384	384
38	Monterey-San Jose Express Service	18	18	0	0.0%	35	35
39	Contribution to Other Agencies	438	486	48	9.9%	1,772	1,772
40	Debt Service	3,491	3,422	(69)	-2.0%	21,641	21,641
	Subtotal Other Expense	20,909	22,741	1,831	8.1%	63,729	63,933
41							
41 42	Operating & Other Expenses	200,095	206,438	6,344	3.1%	433,930	425,417
42	Operating & Other Expenses	<i>,</i>				·	
	_	200,095 0 200,095	206,438 0 206,438	6,344 0 6,344	3.1% N/A 3.1%	433,930 1,517 435,447	425,417 0 425,417

Note: Totals and percentages may not be precise due to independent rounding.

¹ Reflects Adopted Budget approved by the Board on June 4, 2015, \$4.0M augmentation approved on October 1, 2015, \$2.5M augmentation approved on October 6, 2016, and \$5.3M augmentation approved on November 3, 2016 ² Reflects current staff projection as of January 9, 2017 ³ Prior to November 2016, Paratransit fares were netted from expenditures and reflected on line 34

SANTA CLARA VALLEY TRANSPORTATION AUTHORITY SOURCES AND USES OF FUNDS SUMMARY Fiscal Year 2017 through December 31, 2016

(Dollar in Thousands)

<u>Line</u>	Description	<u>FY17</u> <u>Adopted</u> <u>Budget¹</u>	<u>FY17</u> <u>Current</u> <u>Budget²</u>	<u>FY17</u> <u>Projected</u> <u>Actual³</u>
<u>Opera</u>	ting Balance			
1	Total Operating Revenues	419,836	419,836	403,706
2	Total Operating Expenses	(423,647)	(435,447)	(425,417)
3	Operating Balance	(3,811)	(15,611)	(21,711)
-				
<u>Opera</u>	ting Balance Transfers			
4	Operating Balance	(3,811)	(15,611)	(21,711)
5	Transfer From/(To) Sales Tax Stabilization Fund	0	0	8,934
6	Transfer From/(To) Operating Reserve	3,811	15,611	12,777
7	Transfer to Debt Reduction Fund for Future Capital	0	0	0
0				
Opera	ting Reserve			
8	Beginning Operating Reserve	63,547	64,147	64,147
9	Transfer From/(To) Operating Balance	(3,811)	(15,611)	(12,777)
10	Ending Operating Reserves	59,736	48,536	51,370
11	Operating Reserve % ⁴	12.6%	10.2%	10.8%

Note: Totals may not be precise due to independent rounding.

² Reflects \$4.0M and \$2.5M augmentations approved by the Board on October 1, 2015, October 6, 2016, and November 3, 2016 respectively

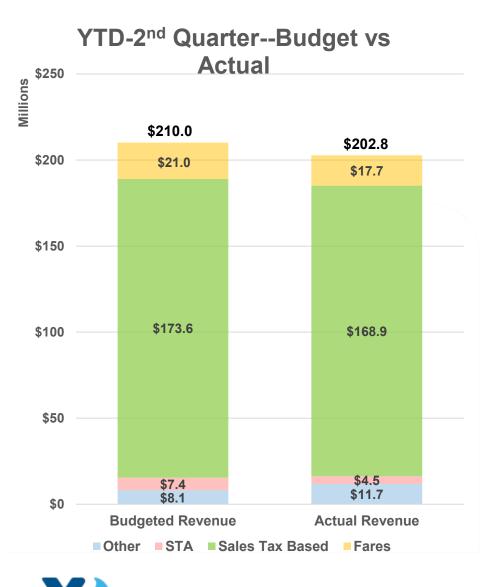
¹ Adopted Budget approved by the Board on June 4, 2015

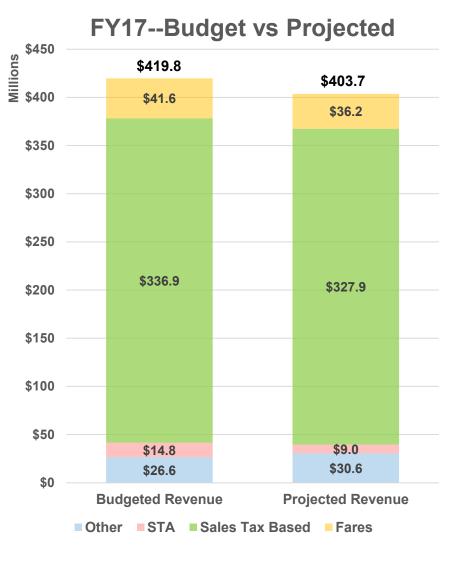
³ Staff Projection as of January 9, 2017

⁴ Line 10 divided by Budgeted Operating Expenses

FY17 Revenues

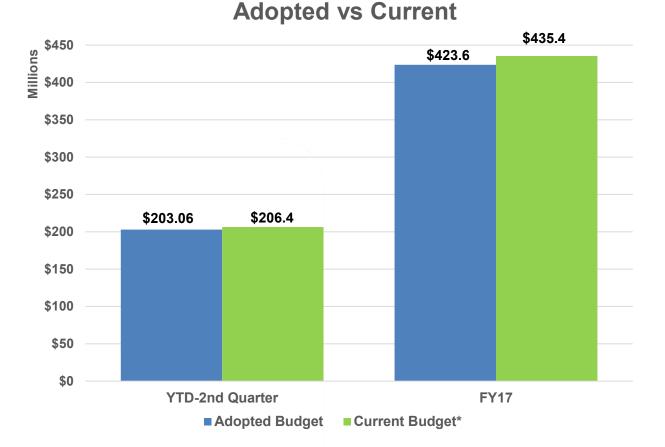
Agenda Item #7.1





Solutions that move you

FY17 Expenses Adopted Budget vs Current Budget



*Includes \$4.0M, \$2.5M, and \$5.3M augmentations approved by the Board on October 1, 2015; October 6, 2016; and November 3, 2016; respectively.



Solutions that move you

2

Projected Operating Balance and Transfers

Fiscal Year 2017 (Dollars in Thousands)

Operating Balance

Total Operating Revenues	403,706
Total Operating Expenses	(425,417)
Operating Balance	(21,711)
Operating Balance Transfers	
Operating Balance	(21,711)
Transfer From/(To) Sales Tax Stabilization Fund	8,934
Transfer From/(To) Operating Reserve	12,777
Transfer to Debt Reduction Fund for Future Capital	0



February 2017 Public Safety Data

Enforcement – Sheriff Transit Patrol

Events	January 2017	February 2017	Year-to-Date
Total Incident Reports	112	135	247
Misdemeanors	39	52	91
Felonies	50	47	97
Other	23	36	59
		-	
Serious/Violent Offenses	14	11	25
Mental Health Commitments	10	10	20
Alcohol/Drug-Related	25	41	66
Arrests	60	121	181
Misdemeanor Cite and Release	26	32	58
Light Rail Cases	48	43	91

VTA Fare Inspectors

	January 2017	February 2017
Total Passengers Checked	53,044	49,923
Total Citations	104	148

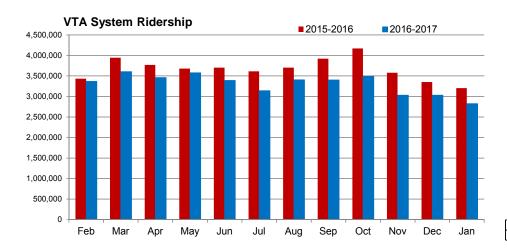


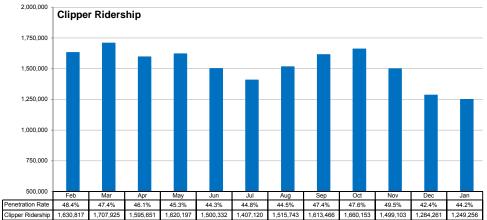
Solutions that move you

Valley Transportation Authority

Ridership and Fare Revenue Performance - January 2017

-			Monthly				Year-to-Date (calen	ndar)		Prior mo	onth
dir		January 2017	January-2016	Difference	Percent Change	Current (Jan' 17-Jan' 17)	Current (Jan' 16-Jan' 16)	Difference	Percent Change	Dec-2016	Percent Change
ers	Bus	2,148,947	2,426,236	-277,289	-11.4%	2,148,947	2,426,236	-277,289	-11.4%	2,323,152	-7.5%
Rid	Light Rail	674,439	776,511	-102,072	-13.1%	674,439	776,511	-102,072	-13.1%	706,685	-4.6%
	System	2,823,386	3,202,747	-379,361	-11.8%	2,823,386	3,202,747	-379,361	-11.8%	3,029,837	-6.8%





			Monthly				Year-to-Date (caler	ıdar)		Prior mo	nth
nue		January 2017	January-2016	Difference	Percent Change	Current (Jan' 17-Jan' 17)	Current (Jan' 16-Jan' 16)	Difference	Percent Change	Dec-2016	Percent Change
evel	Fare Revenue	\$2,610,254	\$2,919,272	-\$309,018	-10.6%	\$2,610,254	\$2,919,272	-\$309,018	-10.6%	\$2,787,074	-6.3%
Ř	Avg. Fare per Boarding	\$0.93	\$0.91	\$0.01	1.5%	\$0.93	\$0.91	\$0.01	1.5%	\$0.92	0.5%

Valley Transportation Authority Key Performance Indicators (KPI) - January 2017

	Monthly			Year-to-Date (calendar)					
	January 2017	Jan-2016	Difference	Percent Change	Current (Jan' 17-Jan' 17)	Current (Jan' 16-Jan' 16)	Difference	Percent Change	2016 Goal
% of Scheduled Service Operated									
Bus	99.66%	99.75%	-0.09%	-0.1%	99.66%	99.75%	-0.09%	-0.1%	>= 99.50%
Light Rail	99.97%	99.97%	0.00%	0.0%	99.97%	99.97%	0.00%	0.0%	>= 99.90%
o Service Recovery									
Bus	52 mins	50 mins	2 mins	4.0%	52 mins	50 mins	2 mins	4.0%	<= 50 mins
Light Rail	17 mins	21 mins	-4 mins	-19.0%	17 mins	21 mins	-4 mins	-19.0%	<= 29 mins
Bus Light Rail Miles Between Mechanical Failure Bus Light Rail Chargeable Accidents per 100k miles Bus Light Rail									
a Bus	10,238	9,065	1,173	12.9%	10,238	9,065	1,173	12.9%	>= 8,000
Light Rail	47,908	20,516	27,392	133.5%	47,908	20,516	27,392	133.5%	>= 25,000
Chargeable Accidents per 100k miles									
Bus	0.95	0.59	0.36	60.9%	1.35	0.59	0.76	128.8%	<= 1.00
Light Rail	0.00	0.00	0.00	n/a	0.00	0.00	0.00	n/a	<= 0.05
Un-time performance									
Bus	87.66%	87.80%	-0.14%	-0.2%	87.66%	87.80%	-0.14%	-0.2%	>= 92.5%
Light Rail	82.25%	77.87%	4.38%	5.6%	82.25%	77.87%	4.38%	5.6%	>= 95.0%
Absenteeism									
Transportation	7.9%	6.8%	1.1%	16.2%	7.9%	6.8%		16.2%	<= 10.0%
Maintenance	5.8%	5.0%	0.8%	16.0%	5.8%	5.0%	0.8%	16.0%	<= 8.0%



Caltrans District 4 Update

CALTRANS...



INNOVATION SUSTAINABILITY PARTNERSHIP



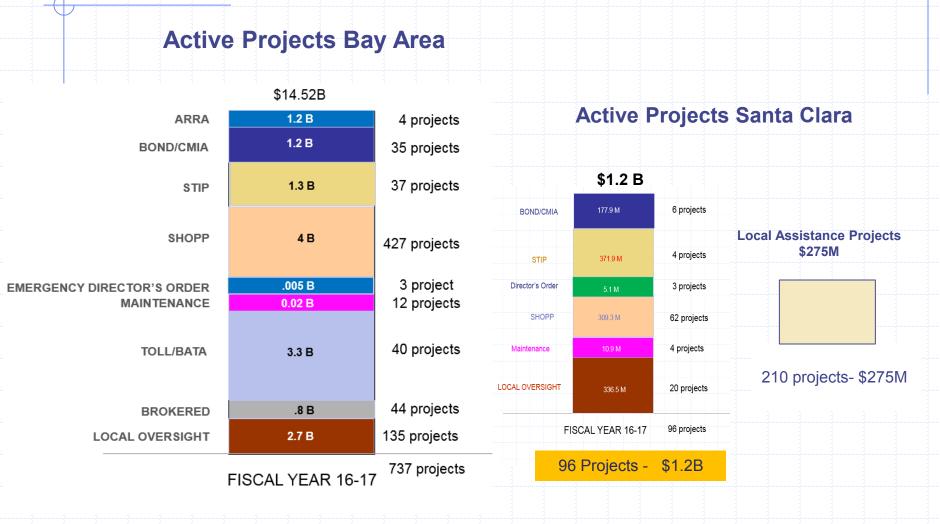
VTA Board of Director March 2, 2017 Bijan Sartipi



8.1.A.



District 4 At Work





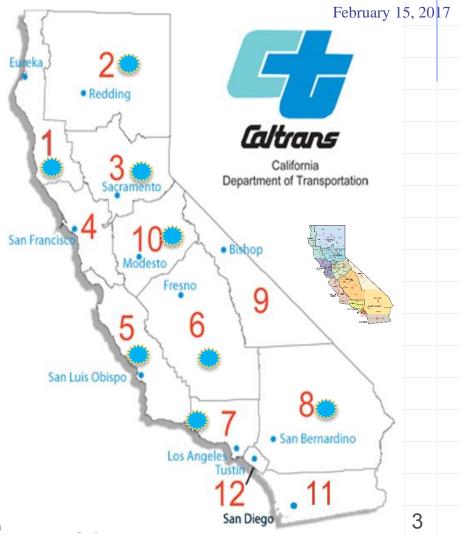
District 4 Brokering Program

Brokering with 8 Districts
Brokering Districts: NR (1, 2, 3), CR (5, 6) & D7, 8 and 10
-44 Brokered Projects
-61.48 PYs
-Capital Cost Over \$750M

Regional/District Totals

~	Region	Number of Projects	Capital Cost	16/17 PYs	Number of FY 16/17 CFD Projects
	NR	15	\$105M	9.36	7
	CR	14	\$250M	26.0	5
	D7*	9	\$40M	11.12	4
	D8	6	\$360M	15.0	1
	Totals	44	\$755M	61.48	17

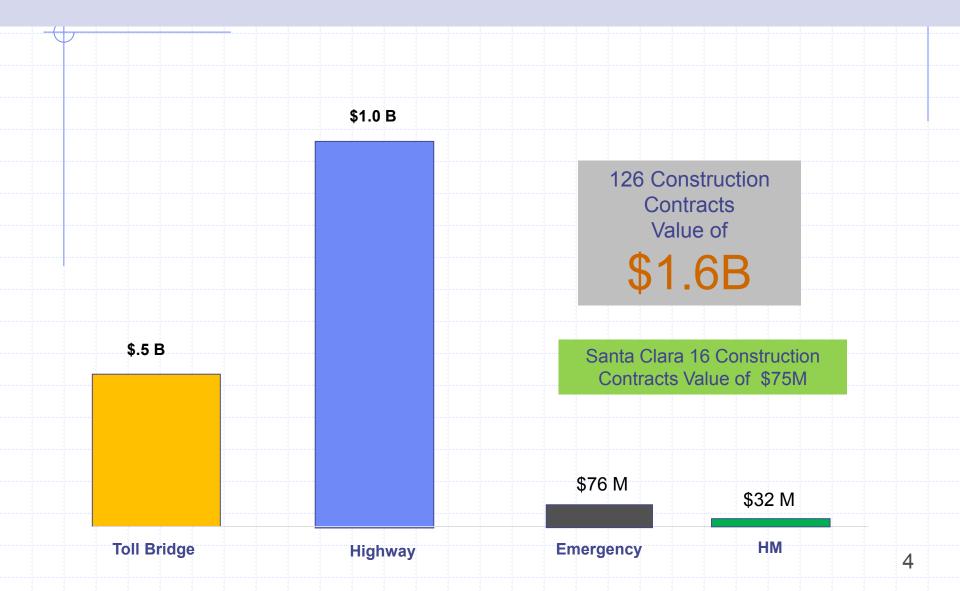
*There is an additional 26 PYs of staff augmentation work to support the 335 program





District 4 at Work: FY 2016-17 Construction Workload

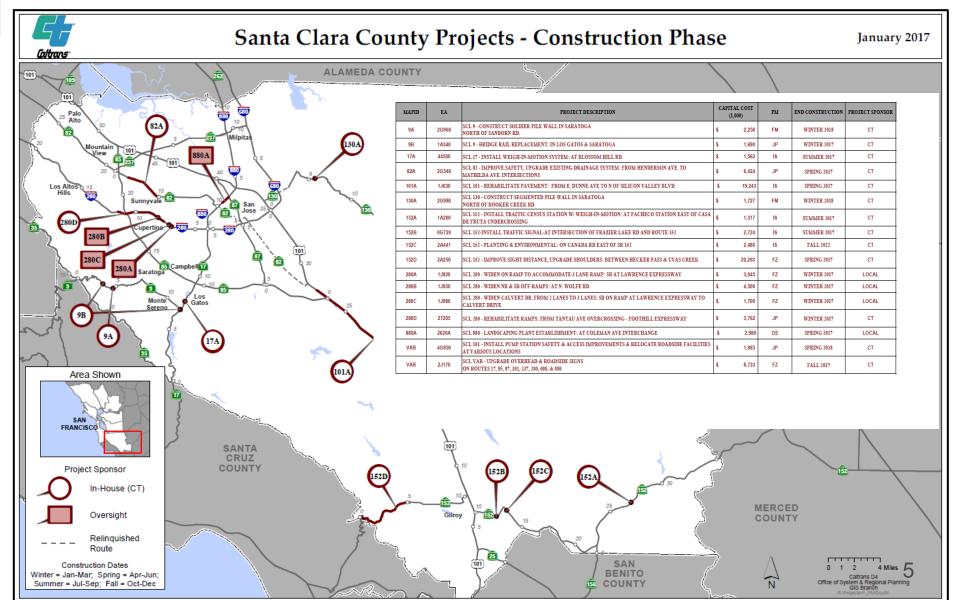
(As of February 2017)





Santa Clara County Projects Under Construction

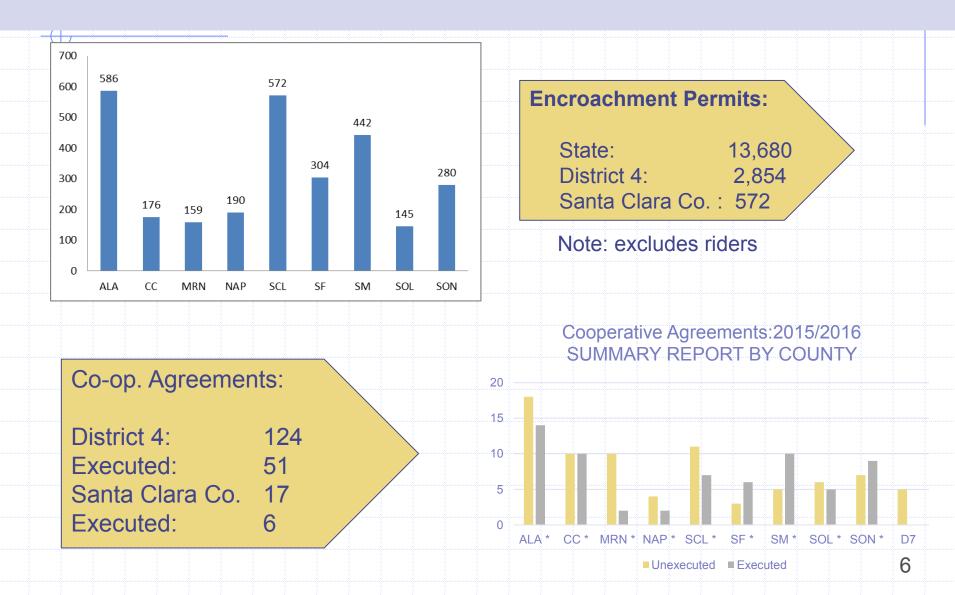
(19 Projects \$89 million)





Encroachment Permits Cooperative Agreements

2015/16 Fiscal Year





Santa Clara County Projects

Caltrans Recently Completed Projects(\$164M, 177 Miles, \$44M):

- I-880/17/280 Stevenson Creek \$ 62M (\$40M Prop 1B)
- US 101 Aux-lane- \$ 73M (\$56M Prop. 1B)
- SR 9 Curve Correction (\$9 mil)
- SR152 Hecker Pass Safety Improvement Project (\$20 mil)
- US 101 Rehab, In Morgan Hill and San Jose, 94 Iane-miles (\$19 mil)
- SR 152, In and near Gilroy, 9 lane-miles (\$10 mil)
- SR 237, from Fair Oaks Ave O/C to N First St O/C,19 lane-miles (\$3 mil)
- I- 280, from Tantau Ave. O/C to Foothill Expwy; 32 lane-miles (\$7 mil)
- I-880, In Milpitas & San Jose, 23 lane-miles (\$5 mil)

Oversight Projects:

- Mathilda/ 237/ 101 PAED completed with EIR. In design phase (\$23 mil)
- 237 Express lanes PAED completed. Begin Construction 3/15/17 (T) (\$13 mil)
- Campbell Ave Portal Construction completed





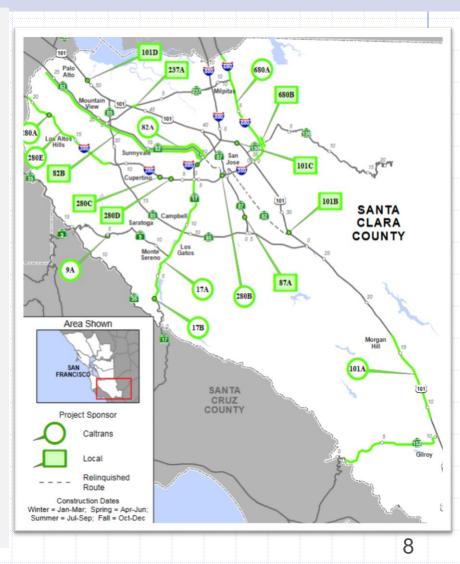
Santa Clara County Projects

Programmed & Upcoming Projects: (166 Miles, \$89M):

- 1. SR17, from Hebard Rd. to 17/280/880, 50 lane-miles (\$30 mil), 2020
- 2. SR 82, from McKendrie Rd. to Lawrence, 26 lane-miles (\$11 mil), 2019
- SR 280, from Foothill to 0.5 mile North of Sandhill Rd. 90 lane-miles, (\$48 mil), 2019

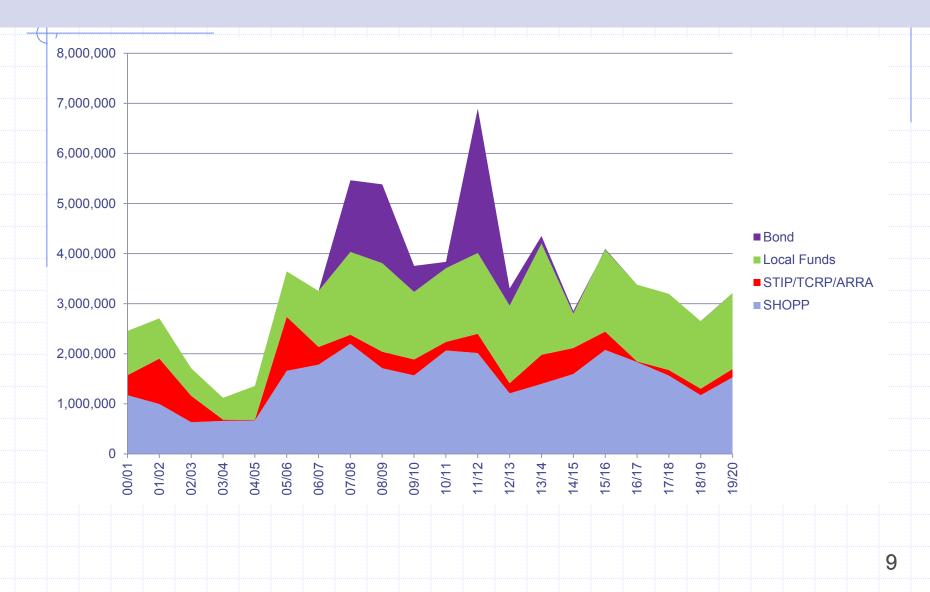
Planned Paving Projects : (174 Miles, \$134M):

- 1. SR 82, from CA 237 to San Mateo County Line, 43 lane-miles (\$23 mil)
- 2. SR 87, In San Jose, Between CA 85 & CA 280, 30 lane-miles (\$16 mil)
- US 101, from Santa Clara County line to E. Dunne Ave., 87 lane-miles (\$90 mil)
- 4. SR 152, from Santa Teresa Blvd. to US 101, 14 lane-miles (\$5 mil)

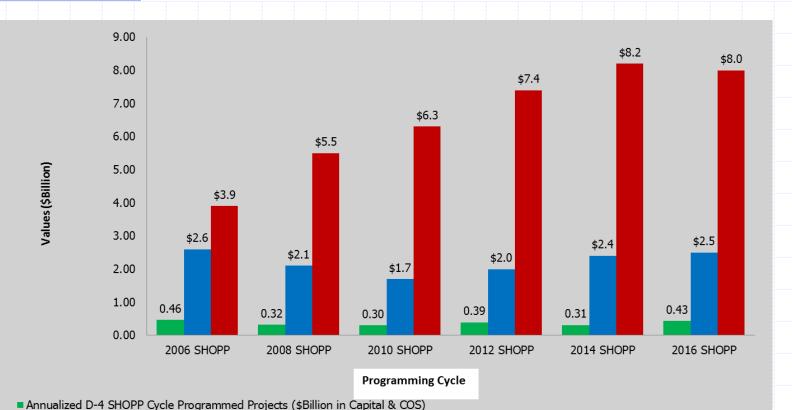


Transportation Funding Mountain Chart Construction Allocation

(\$1,000s, Not adjusted for inflation)







- Annualized Statewide SHOPP Cycle Programmed Projects (\$Billion in Capital & COS)
- Annualized Statewide SHOPP Ten-Year Needs Plan (\$Billion in Capital & COS)

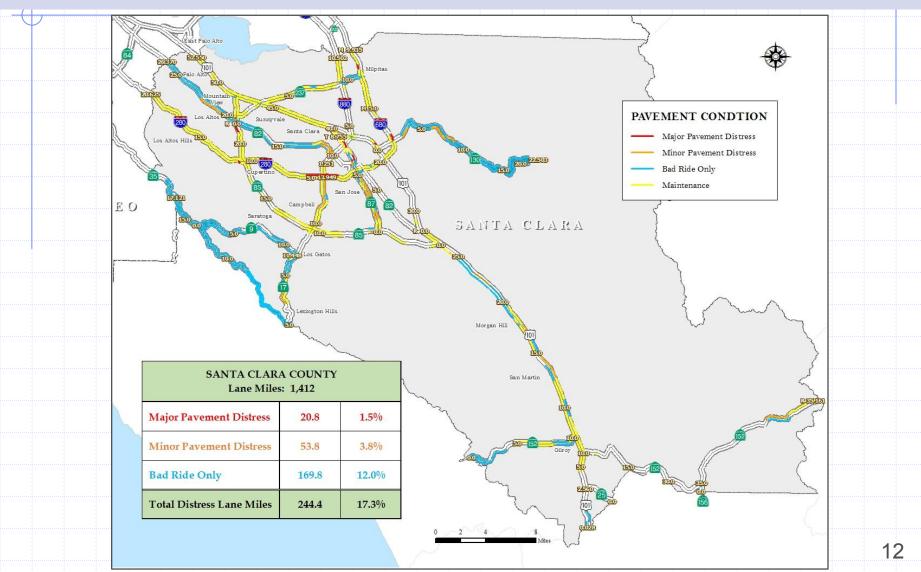
Note: Chart is based on the Final Ten-Year SHOPP Needs Plan, and CTC Approved SHOPP Programs.

District 4 Bay Area *Caltrans* Distressed Highway Lane Miles (2015)

· · · · · · · · · · · · · · · · · · ·			1	-	
County	Distressed Lane Mils	Total Lane Miles	Percentage		
Alameda	339	1,260	26.9%		
Contra Costa	98	677	14.5%		
Marin	66	358	18.3%		
Napa	109	261	41.7%		
San Francisco	67	235	28.6%		
San Mateo	279	945	29.6%		
Santa Clara	244	1,412	17.3%		PAVEMENT CONDITION
Solano	91	649	13.9%		Major Pavement Distress Minor Pavement Distress Bad Ride Only Maintenance
Sonoma	179	670	26.8%		
District Total	1,473	6,467	22.8%		0 5 10 20 Miles

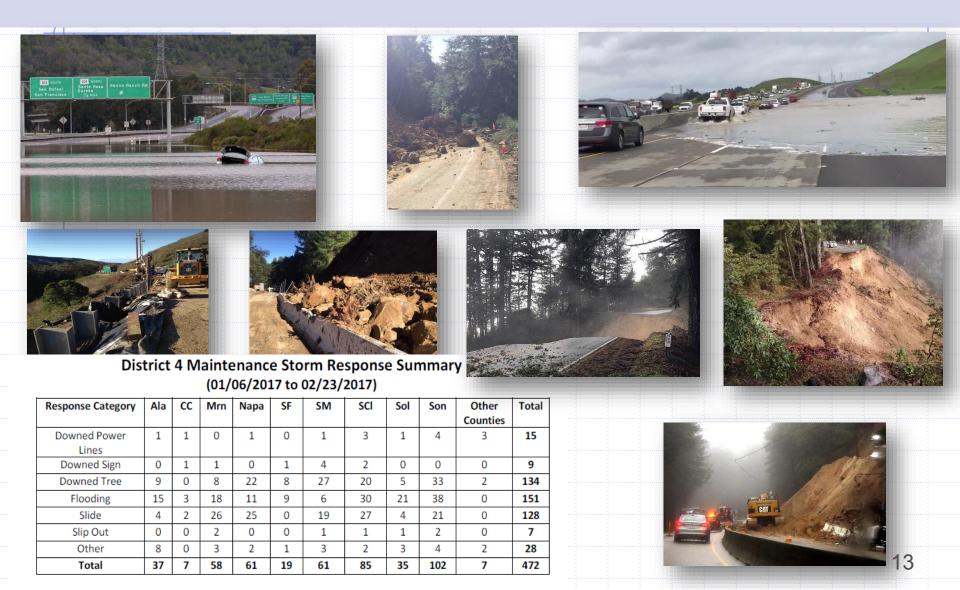
11

Santa Clara County *Gitrans* Distressed Highway Lane Miles (2015)





Caltrans District 4 Storm Report





Caltrans District 4 Storm Report

6 Route full closures (Routes: Mrn1{2 locations}, SCI9, SCI35, SCI130, SCI152)

- 1 Connector/Ramp full closure (Ala13)
- 2 Ferry services closed (Real McCoy: No ETO, J-Mack: ETO-02/24/17)
- 5 Locations under one way traffic control (SM1, SM35, SM84, Son1{2 locations})
- 1 Shoulder closure (Son128)
- 23 Executed DOs with the estimated value of \$68 M
- 4 DOs in process for approval estimated \$14.6M
- 18 DOs in process for approval (estimate TBD)



















Litter, Graffiti and Homeless Encampment













District 4 Maintenance Budget (Litter, Homeless Encampments and Graffiti)

\$15 million annual for District & Over \$50 million Statewide.

- Caltrans Maintenance
- Local & Statewide Contracts (Probation Help, CCCs, SJCC)
- Adopt A Highway Program
- Partnership with Local Cities & Counties
- Enforcement Quarterly litter pick with CHP
- Education PSAs, Partnering with Local Programs ,.....
- Engineering Hardening, Access, ...

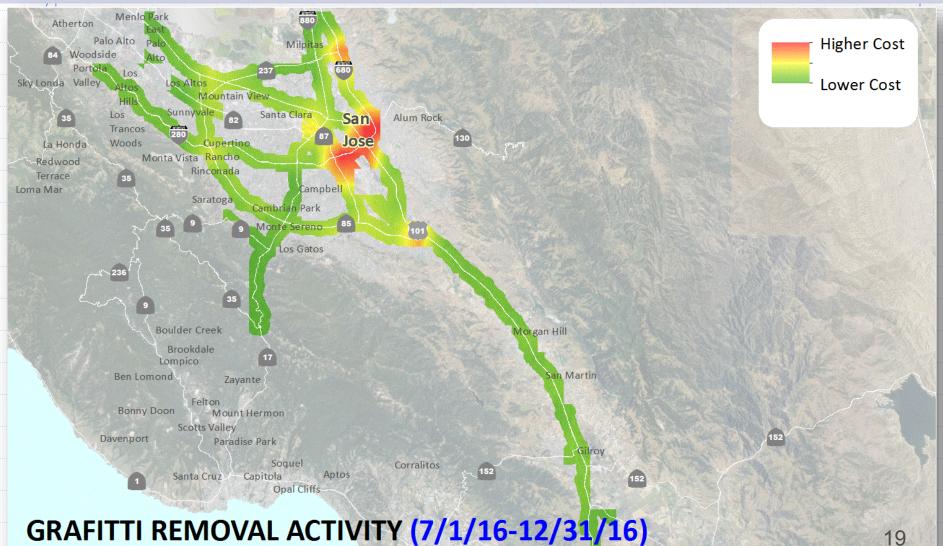


District 4 Maintenance Budget (Litter, Holmes Encampments and Graffiti)

County	Budget		
Alameda	\$3,400,000		
Contra Costa	\$2,200,000		
Marin	\$325,000		
Napa	\$600,000		
San Francisco	\$800,000		
San Mateo	\$1,000,000		
Santa Clara	\$4,900,000		
Solano	\$725,000		
Sonoma	\$1,600,000		
GRAND TOTAL	\$15,550,000		

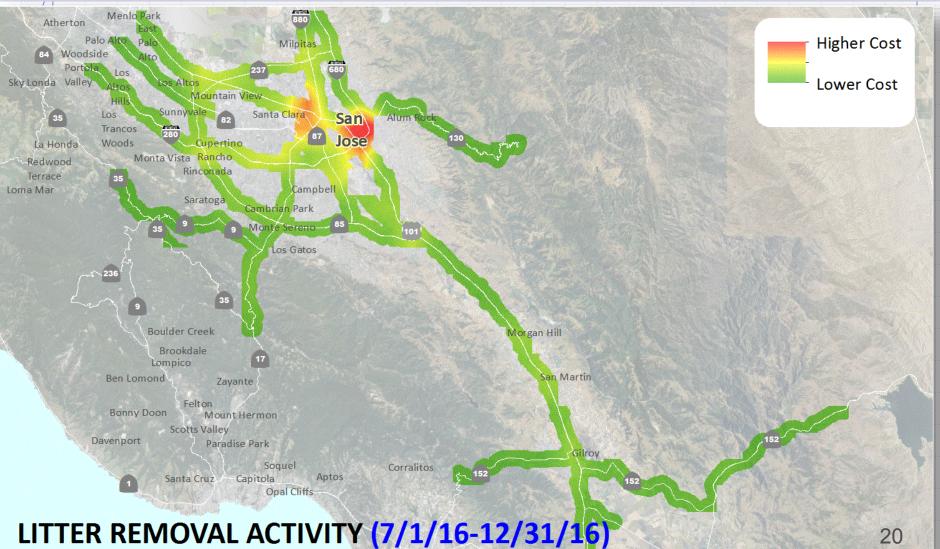


District 4, Santa Clara County Graffiti Removal Heat Map



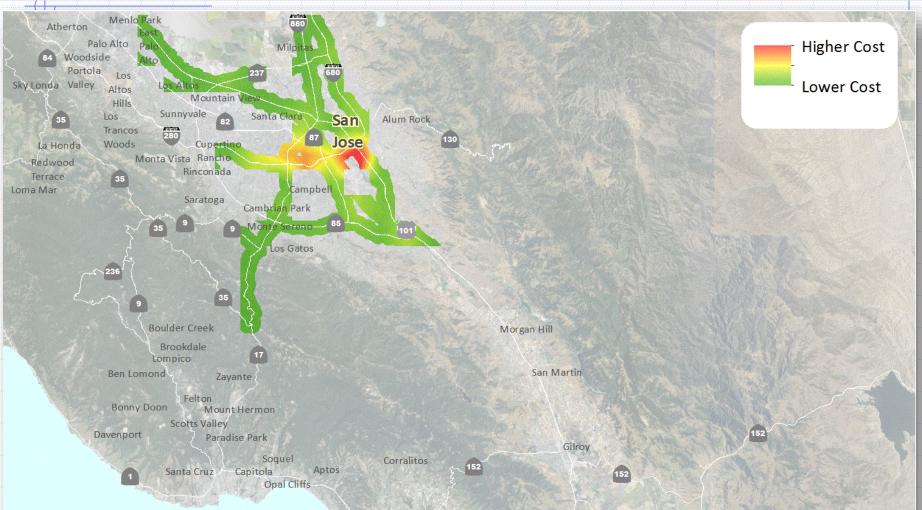


District 4, Santa Clara County Litter Removal Heat Map



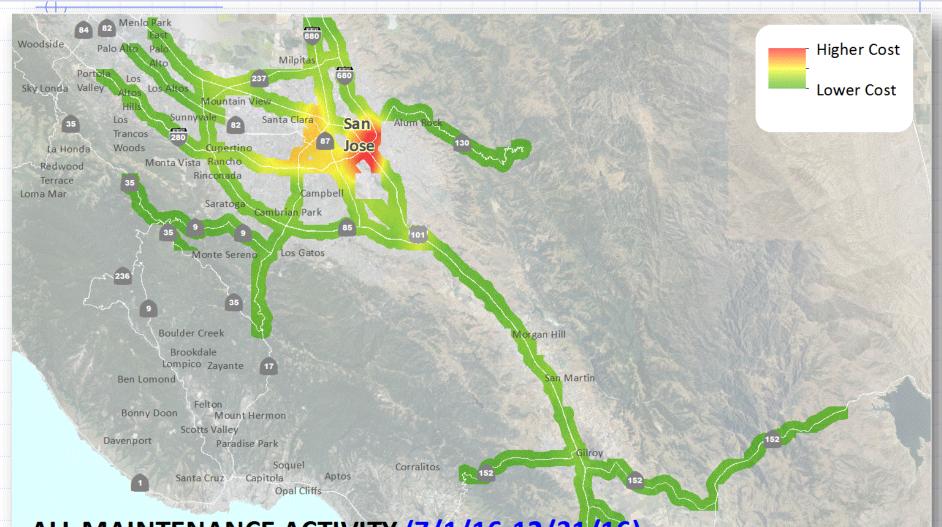


District 4, Santa Clara County Encampments Removal Heat Map



ENCAMPMENT REMOVAL ACTIVITY (7/1/16-12/31/16)

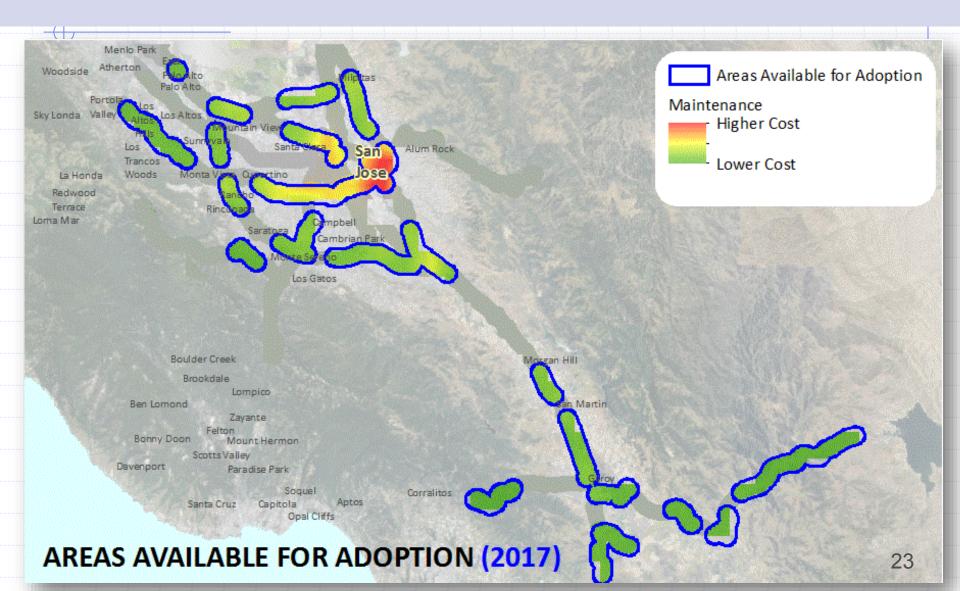
District 4, Santa Clara County Combined Maintenance Activity Heat Map



ALL MAINTENANCE ACTIVITY (7/1/16-12/31/16)

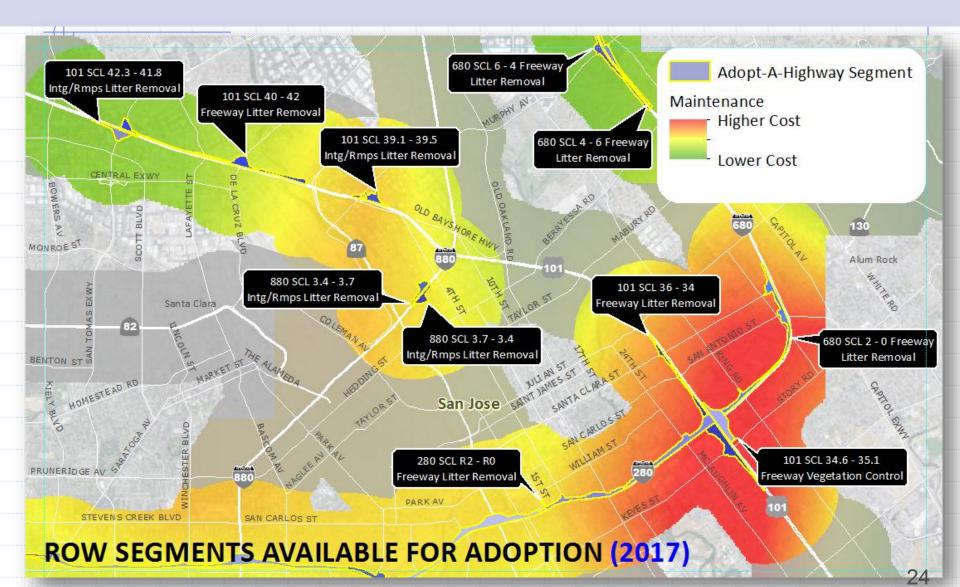


District 4, Santa Clara County Adopt a Highway Status Map

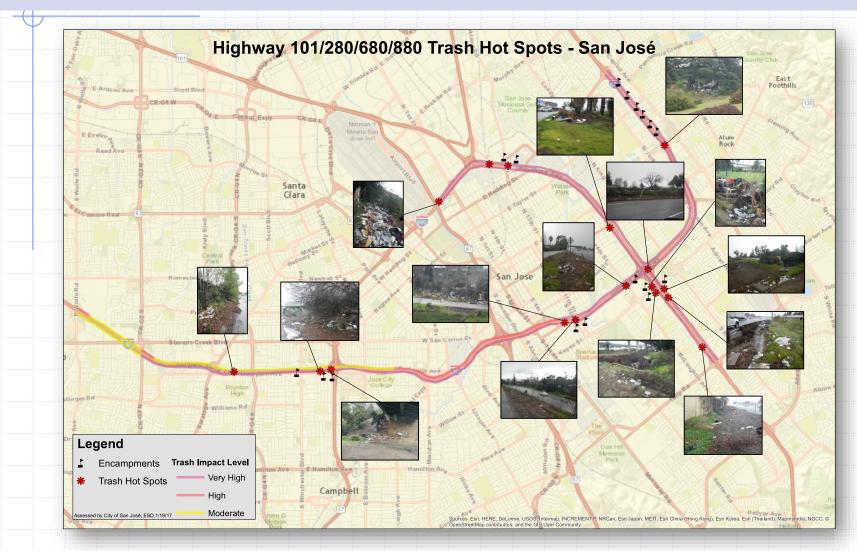




District 4, Santa Clara County Adopt a Highway Heat Map









District 4 Maintenance

- Currant Maintenance Efforts
 - Utilizing Maintenance Service Contracts to supplement State forces
 - Partnering with San Jose Downtown Streets and Goodwill to increase candidate pool
 - Partnering with the City to clean up 5 locations
 - Working closely with locals to promote the Adopt A Highway Program
- Challenges
 - Hiring and retention of maintenance staff
 - Increasing litter and debris in Bay Area in General & Santa Clara County
 - Increase in Maintenance Service Requests (working on improving monitoring & response)
- Opportunities
 - Partnering with locals agencies and local Law enforcements
 - Out reach







caltrans & VTA

- Master Agreement executed September 2013
- Three Caltrans iTEAM staff at VTA
- Accomplishments:
 - ✓ Streamlined and accelerated project delivery
 - ✓ Front end coordination and providing overview of the CT Process
 - ✓ Focused assistance with Federal Requirements
 - ✓ Training for Member Agency's staff in Santa Clara County
 - ✓ Assist in the process of complex permits
 - ✓ Facilitate and coordinate maintenance activities
 - ✓ Coordinate traffic regional issues
 - ✓ Hard Running Shoulder workshop



Agenda Item #8.1.B

Federal Update

Santa Clara Valley Transportation Authority



The New Trump Administration

- FAST Act: Policy and program framework through 2020
- Republican Party Platform
 - Oppose an increase in the federal gas tax
 - Eliminate federal transit program
 - "An inherently local affair that serves only a small portion of the population, concentrated in six big cities"
- Key Administration Players

2

- OMB Director Mick Mulvaney
- Transportation Secretary Elaine Chao

Infrastructure Initiative

- One of candidate Trump's primary investment proposals
 - Buy America/Hire America
 - "Harness market forces to attract new private sector investments through deficit-neutral system of tax credits"
 - "Work with financing authorities, public-private partnerships, and other prudent funding opportunities."
- Timing: Could be pushed into 2018
- How it might get done
 - Tax Reform: Corporate taxes revenues for infrastructure
 - Direct spending: \$1 trillion proposal Includes highways, transit, airports, sewer/water, hospitals, schools
 - Index federal gas tax/issue bonds against revenue = \$500 billion
 Infrastructure Bank
 - Infrastructure Bank

FY 2017 Appropriations

- BART Phase I
 - FFGA: \$100 million
 - President Obama's Budget Proposal: \$125 million
 - Last Year's House bill: Recommends \$125 million
 - Last Year's Senate bill: Does not designate project funding
- Fiscal year began on October 1, 2016
- Congress failed to pass any FY 2017 bills
- Continuing Resolution through April 28
 - GOP Congress did not want to negotiate with President Obama
 - Possibility of government shutdown
 - Appropriations Committees have been told to finalize bills
 - Full-year appropriations or full-year CR

FY 2018 Appropriations

- FY 2018: Last installment of New Starts funding for BART Phase 1
- President Trump's Address to Congress this week
- Trump's FY 2018 budget priorities:
 - Domestic spending cuts
 - Increase in defense spending and funding for the border wall
 - Full budget proposal could be sent to Congress in April
 - Next Steps
 - Budget resolution focus will be on tax reform
 - Appropriations Committee markups in May/June
 - Senate will need 60 votes to pass legislation
 - Potential for government shutdown on October 1

What Can VTA Do?

- Pursue Opportunities
 - Include direct spending for transportation in any infrastructure initiative -- Equity investments and PPPs will help a very small portion of transportation infrastructure needs
 - Secure remaining appropriation for BART Phase I and build supp for Phase II
- Play Defense

6

- Maintain federal transit program
- Preserve transit funding from Highway Trust Fund
- Oppose cuts to domestic discretionary spending
 - Ensure continued support for FTA New Starts & Small Starts



VTA Mutual Aid Efforts During Flooding in Santa Clara County

February 2017



Solutions that move you

What a Storm!

- Extremely heavy rainfalls.
- Winds up to almost 50 mph.
- Flooding, mudslides, and downed trees and power lines.
- Many road closures within VTA service area.





VTA Storm Communications

- Participated in **10** Winter Storms and **6** Public Information Officer teleconferences with local agencies.
- Messaging to community via GovDelivery, Twitter, Facebook.
- Sent **15** email bulletins to **50,821** people.
- Retweeted tweets from local influencers and @vtaservice.
- Shared a Facebook post about VTA's evacuation support efforts.



VTA's Response

VTA responded to:

- **21** road closures due to flooding and mudslides.
- 9 road closures due to down power lines and loss of PGE power.
- 5 road closures due to down trees.
- **9** mutual aid requests for shelter in place, evacuations and transports.





Mutual Aid Efforts



VTA coordinated and partnered with San Jose Police, Fire, EOC and CHP.



Solutions that move you

Thank You!

To our dedicated VTA staff and our Santa Clara County partners for working around the clock on this critical effort.



Solutions that move you



Date:February 15, 2017Current Meeting:March 2, 2017Board Meeting:March 2, 2017

BOARD MEMORANDUM

TO:	Santa Clara Valley Transportation Authority Board of Directors
THROUGH:	General Manager, Nuria I. Fernandez
FROM:	Interim Director - Engr & Transp Infra Dev, Dennis Ratcliffe
SUBJECT:	Silicon Valley Rapid Transit (SVRT) Program Update

FOR INFORMATION ONLY

Silicon Valley Berryessa Extension Project

Currently, the Berryessa Extension Project is 95.9% complete with no changes in unallocated contingency of \$150 million.

In February, a workshop was conducted with management from the contractor, sub-contractors and VTA's project team to realign resources transitioning the project from the construction phase into testing and start-up activities. A draft schedule establishing the work plan for completing the key testing and start-up activities needed to begin revenue operations by the end of the year has been developed and is under review by VTA.

BART's Warm Springs Extension must achieve revenue operations before the Berryessa Extension can begin testing activities from the BART Operations Control Center and prerevenue operations testing.

Other project activities include shifting traffic on Montague Expressway in Milpitas onto the northern portion of the newly constructed bridge over upper Berryessa Creek. This reopens South Milpitas Boulevard to Montague Expressway with right-in, right-out traffic flow.

Communications and Outreach

- Staff developed community engagement action plans for the remaining impactful construction activities and testing operations across throughout the project area.
- Outreach efforts continued for the partial reopening of the S. Milpitas Boulevard closure. Meetings were facilitated to provide project information and updates to directly impacted

businesses. Staff also generated a comprehensive stakeholder contact database to better track and document communications with constituents.

• Community Outreach staff continued to provide traffic advisories, construction notices and in-person project updates for utility relocation work and traffic control improvements being constructed at the intersection of North King and McKee roads.

Phase II Extension

Key Activities

- *Single-bore Tunnel Technical Study:* Consultant HNTB has received BART feedback from the January progress meetings. The draft report was issued in February for review, with completion anticipated for April 2017.
- *Tunneling Methodology Independent Risk Assessment*: In February, VTA and BART staff completed evaluating proposals and interviewing firms. The selected firm, which will evaluate qualitative and quantitative risks associated with twin and single-bore tunneling alternatives, is anticipated to be selected by the beginning of March, with completion of the study expected in June.
- Draft Supplemental Environmental Impact Statement/Subsequent Environmental Impact Report (SEIS/SEIR): The 45-day comment period for the document was extended from February 20, 2017 to March 6, 2017. At the time of submitting this report, VTA has received a total of 36 comments from the general public, stakeholders and local, regional and state agencies. Over the next several months, staff will prepare responses to comments received and release the Final SEIR/SEIS in fall 2017. Below is a summary attendance and speakers for the three public hearings that were held during the comment period:
 - January 25, 2017: Mexican Heritage Plaza 44 attendees, 5 speakers
 - January 26, 2017: Santa Clara Senior Center 38 attendees, 2 speakers
 - January 30, 2017: San Jose City Hall 90 attendees, 15 speakers
- Phase II Community Working Groups received a preview of the environmental document presentation prior to each January public hearing. The groups also met February 7-9, 2017 for their regularly scheduled meetings.

Prepared By: Kevin Kurimoto, Sr. Management Analyst Memo No. 5903

Agenda Item 8.1.E

SVRT Program Update

Board of Directors Meeting

March 2, 2017



Solutions that move you

Berryessa Extension

- February workshop conducted with contractor, sub-contractor and VTA management transitioning project from construction phase into testing and start-up activities
- Agreed upon sequence for schedule implementation
- Draft schedule will be available for VTA management review by the end of the month
- Integration with Warm Springs Extension and BART Operations Control Center is critical



2

Berryessa Extension Forecast Summary Schedule

			2017			2018					
	3	4		1	2	3	4	1	2	3	4
<u>Milestones</u>			Fo	oreca	ist Reve	nue Oj	perations	FFG	A Rever	🔶 Nue Oper	ations
<u>C700 LTSS Design/Build</u>								Buffe	er Float		
Radio System						1					
Communications Network											
Traction Power				*							
Train Control Static Testing											
Train Control Dynamic Testing											
Stations Construct / Test											
<u>BART</u>											
WSX to Revenue Operations											
WSX Conversion to Pass-Thru						4					
OCC and Pre-Revenue Operations Testing											



Berryessa Extension Cost Summary

SVBX Project Element (FTA Standard Cost Category)	FTA Estimate	Cost Forecast	Incurred to Date*	Incurred this Period*
SVBX – New Starts				
10 Guideway and Track Elements	416.1	334.7	326.1	0.0
20 Stations, Stops, Terminals & Intermodal	250.3	262.3	201.0	3.9
30 Support Facilities: Yards, Shops, Admin. Buildings	46.5	63.0	13.5	0.7
40 Sitework and Special Conditions	220.1	252.7	200.5	1.5
50 Systems	260.7	234.6	190.2	3.1
60 ROW, Land, and Existing Improvements	261.0	181.8	160.2	0.1
70 Vehicles	174.3	146.3	14.8	-
80 Professional Services	548.3	592.0	487.0	5.7
Sub-Total	\$2,177.3	\$2,067.4	\$1,593.3	\$15.0
90 Unallocated Contingency	40.2	150.1	-	-
100 Finance Charges	112.5	112.5	82.4	
FTA New Starts Total	\$2,330.0	\$2,330.0	\$1,675.7	\$15.0
999 Concurrent Non-project Activities	91.3	91.3	66.6	0.8
SVBX Project Total	\$2,421.3	\$2,421.3	\$1,742.3	\$15.8

\$Millions – Year of Expenditure

* Through January 2017



Berryessa Extension Progress



Installation of skylights on the Milpitas Station roof.



Berryessa Extension Progress



Installation of metal roofing at Berryessa Station.



Installation of light fixture framing within the Berryessa Station concourse.



6

Berryessa Extension Progress



Electrical testing underway near Trade Zone Boulevard.



Phase II Extension Activities

Single-bore study

- Consultant has received input from progress meetings with BART
- Draft report issued for VTA management review
- Study completion anticipated for April 2017

Independent Risk Assessment of Tunneling Alternatives

- Evaluations of proposals and interviews of proposers completed
- Notice to Proceed anticipated in early March
- Study completion expected June 2017

Draft SEIR/SEIS

- 45-day public review period extended from February 20 to March 6, 2017
- Public meetings occurred January 25, 26, and 30
- 71 comments received to date (as of February 27) from the general public, stakeholders and local, regional and state agencies

Phase II Community Working Groups

• The next series meetings are scheduled for April 4-6, 2017.



End



Solutions that move you



Governance and Audit Committee

Thursday, February 2, 2017

MINUTES

CALL TO ORDER

The Regular Meeting of the Governance and Audit Committee ("Committee") was called to order at 4:03 p.m. by Chairperson Bruins in Conference Room 157, County Government Center, 70 West Hedding, San Jose, California.

1. ROLL CALL

Attendee Name	Title	Status
Jeannie Bruins	Chairperson	Present
Cindy Chavez	Member	Present
Glenn Hendricks	Member	Present
Sam Liccardo	Vice Chairperson	Absent
Teresa O'Neill	Member	Present

A quorum was present.

2. PUBLIC PRESENTATIONS:

Roland Lebrun, Interested Citizen, expressed concern with light rail and Caltrain connections.

Member O'Neill arrived at the meeting and took her seat at 4:05 p.m.

3. ORDERS OF THE DAY

There were no Orders of the Day.

CONSENT AGENDA

4. <u>Regular Meeting Minutes of November 30, 2016</u>

M/S/C (Chavez/Hendricks) to approve the Regular Meeting Minutes of November 30, 2016.

5. <u>Policy Advisory Board Appointments</u>

M/S/C (Chavez/Hendricks) to approve appointments to VTA's Policy Advisory Boards.

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

6. <u>Bicycle & Pedestrian Advisory Committee Appointments</u>

M/S/C (Chavez/Hendricks) to ratify appointments to the Bicycle & Pedestrian Advisory Committee for the two-year term ending June 30, 2018.

7. <u>Ethics Hotline Quarterly Summary Report</u>

Member Chavez indicated there was an error in the attachment and wanted to ensure it was clear for the record that there were three reports via website and not two.

M/S/C (Chavez/Hendricks) to receive and review the Auditor General's Ethics Hotline Quarterly Summary Report.

8. <u>2017 Governance and Audit Committee Meeting Schedule</u>

M/S/C (Chavez/Hendricks) to approve the 2017 Governance and Audit Committee Meeting Schedule.

9. <u>Timekeeping and Payroll Process Review</u>

Member Chavez commended staff for their work in completing the project.

M/S/C (Chavez/Hendricks) to submit a recommendation to the Board of Directors to review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Timekeeping and Payroll Process Review.

10. Investment Program Controls Internal Audits

Member Chavez commended staff for their work in completing the projects.

M/S/C (Chavez/Hendricks) to submit a recommendation to the Board of Directors to review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Investment Program Controls Internal Audits performed during Fiscal Years 2013 and 2015.

RESULT:	APPROVED - Agenda Items #4 -10
MOVER:	Chavez, Member
SECONDER:	Hendricks, Member
AYES:	Bruins, Chavez, Hendricks, O'Neill
NOES:	None
ABSENT:	Liccardo

REGULAR AGENDA

11. 2016 Measure B Citizens' Oversight Committee Appointment Process

Jim Lawson, Director of Government Affairs and Public Relations, provided a brief overview of the staff report, highlighting the purpose of the committee, committee composition, and the application and appointment process.

Member Chavez made the following recommendations: 1) add regional representation as a goal; and 2) offer committee members training on bond oversight and other relevant topics.

Member Chavez indicated she can provide the information to staff on a company that provides training.

Nuria I. Fernandez, General Manager and CEO, and Committee Staff Liaison, indicated staff is working to have the committee in place by July 2017 which is when the first report of revenues is expected.

Public Comment

Mr. Lebrun requested Committee Members be required to be a resident of Santa Clara County. Staff responded the current requirement is a registered voter in Santa Clara County.

M/S/C (Hendricks/Chavez) to submit a recommendation to the Board of Directors to approve the process for appointments to the 2016 Measure B Citizens' Oversight Committee with training on bond oversight and an additional goal of regional resident representation, as amended.

RESULT:	APPROVED - Agenda Item #11
MOVER:	Hendricks, Member
SECONDER:	Chavez, Member
AYES:	Bruins, Chavez, Hendricks, O'Neill
NOES:	None
ABSENT:	Liccardo

12. Express Lane Funding and Operations Assessment

Pat Hagan, Auditor General's Office, and Corey Saunders, Deputy Auditor General, provided a brief overview of the staff report.

The Committee discussed the following: 1) funding implications; 2) beneficial impacts; 3) prioritization of projects; 4) creative funding and other opportunities.

Ms. Fernandez indicated all infrastructure projects will be going to the Capital Projects Oversight Committee (CPOC), and Administration and Finance (A&F) will be making recommendations on financing and funding and what investments need to be made to generate revenue.

Chairperson Bruins stressed the importance of understanding dollars for toll roads and what they can be used for.

M/S/C (Chavez/Hendricks) to submit a recommendation to the Board of Directors to review and receive the Auditor General's report on the Express Lane Funding and Operations Assessment.

RESULT:	APPROVED - Agenda Items #12
MOVER:	Chavez, Member
SECONDER:	Hendricks, Member
AYES:	Bruins, Chavez, Hendricks, O'Neill
NOES:	None
ABSENT:	Liccardo

13. Internal Audit Work Plan

Mr. Saunders provided an overview of the report, noting the IT Development and Project Management Assessment item was complete, but was moved to the March 2017 meeting to allow adequate time to fully discuss the item. He provided a brief overview of the work plan, noting the types of items that are reviewed by the Committee.

On order of Chairperson Bruins and there being no objection, the Committee received an update from Auditor General Office staff on the status of projects contained in the current Internal Audit Work Plan.

14. Fiscal Year 2018 & Fiscal Year 2019 Biennial Budget Assumptions

Carol Lawson, Fiscal Resources Manager, provided a brief overview of the staff report, highlighting several areas, including: 1) service and fares; 2) sales taxes; and 3) wages. She provided a schedule for outreach, committee review, and Board adoption.

Member Chavez requested the following: 1) matrix showing all funding sources and uses; 2) provide a pie chart showing how much money is being invested in operations activities versus capital activities; 3) options available to VTA in terms of timing of expenditure; 4) illustrate the financing costs and the implications over the 30 year horizon; and 5) present capital costs in a simple and easy to understand format.

On order of Chairperson Bruins and there being no objection, the Committee reviewed the Fiscal Year 2018 & Fiscal Year 2019 Biennial Budget Assumptions.

12. Express Lane Funding and Operations Assessment (continued)

Raj Srinath, Chief Financial Officer, indicated the financing plan for SR 237 Phase II project was underway and the Request for Proposal (RFP) was being released.

Member Chavez suggested outreach be done to solicit medium sized banks.

15. Internal Audit Program's Audit Dashboard

Meeta Podar, Audit Program Manager, provided a brief overview of the report and a presentation, highlighting: 1) Background; 2) Implementation status; and 3) Status of recommendations due for implementation by area of responsibility.

On order of Chairperson Bruins and there being no objection, the Committee reviewed and received the Internal Audit Program's Audit Dashboard on the status of implementation of recommendations issued by the Office of the Auditor General.

OTHER ITEMS

16. <u>Items of Concern and Referral to Administration</u>

Chairperson Bruins requested staff meet with new members and provide an overview of the Committee.

17. <u>Review Committee Work Plan</u>

Ms. Fernandez briefly discussed items scheduled for the March 2017 meeting including the results of the 2016 Board self-assessments.

On order of Chairperson Bruins and there being no objection, the Committee reviewed the Committee Work Plan.

18. <u>Committee Staff Report</u>

There was no Committee Staff Report.

19. <u>Chairperson's Report</u>

Chairperson Bruins welcomed Directors Hendricks and O'Neill to the Committee.

20. Determine Items for the Consent Agenda for Future Board of Directors' meetings

CONSENT:

Agenda Item # 9., Review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Timekeeping and Payroll Process Review.

Agenda Item #10., Review and receive the Auditor General's follow-up report on the implementation status of management's action plans contained in the Investment Program Controls Internal Audits performed during Fiscal Years 2013 and 2015.

Agenda Item #11., Approve the process for appointments to the 2016 Measure B Citizens' Oversight Committee highlighting training and the goal for regional resident representation.

Agenda Item #12., Review and receive the Auditor General's report on the Express Lane Funding and Operations Assessment.

Agenda Item #15., Review and Receive the Internal Audit Program's Audit Dashboard on the status of implementation of recommendations issued by the Office of the Auditor General.

REGULAR: None

21. <u>ANNOUNCEMENTS</u>

There were no Announcements.

22. <u>ADJOURNMENT</u>

On order of Chairperson Bruins and there being no objection, the Committee was adjourned at 5:04 p.m.

Respectfully submitted,

Menominee L. McCarter, Board Assistant VTA Office of the Board Secretary



Congestion Management Program & Planning Committee

Thursday, February 16, 2017

MINUTES

CALL TO ORDER

The Regular Meeting of the Congestion Management Program & Planning Committee (CMPP) was called to order at 10:06 a.m. by Chairperson O'Neill in Conference Room B-106, 3331 North First Street, San José, California.

1. ROLL CALL

Attendee Name	Title	Status
Lan Diep	Member	Present
Johnny Khamis	Vice Chairperson	Present
Dev Davis	Alternate Member	N/A
Teresa O'Neill	Chairperson	Present
Bob Nuñez	Alternate Member	N/A
Savita Vaidhyanathan	Member	N/A
Rob Rennie	Alternate Member	Present

* Alternates do not serve unless participating as a Member.

A quorum was present.

2. PUBLIC PRESENTATIONS

Roland Lebrun, Interested Citizen, expressed concern with the management of the Caltrain Electrification project.

3. ORDERS OF THE DAY

There were no Orders of the Day.

Member Diep arrived at the meeting and took his seat at 10:08 a.m.

4. <u>Committee's Vice Chairperson for Calendar Year 2017</u>

Chairperson O'Neill nominated Member Khamis to serve as the Committee's Vice Chairperson for 2017.

M/S/C (O'Neill/Rennie) to close nominations and elect Member Khamis to serve as the Committee's vice chairperson for calendar year 2017.

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

RESULT:	APPROVED [UNANIMOUS] – Agenda Item
MOVER:	O'Neill, Chairperson
SECONDER:	Rennie, Member
AYES:	Diep, Khamis, O'Neill, Rennie
NOES:	None

CONSENT AGENDA

5. <u>Regular Meeting Minutes of December 15, 2016</u>

M/S/C (Khamis/Rennie) to approve the Regular Meeting Minutes of December 15, 2016.

6. <u>2017 Congestion Management Program and Planning (CMPP) Committee Meeting</u> <u>Schedule</u>

M/S/C (Khamis/Rennie) to approve the 2017 Congestion Management Program and Planning (CMPP) Committee Meeting Schedule.

isent Agenda Items #5-6

REGULAR AGENDA

7. Draft 2016 Measure B - Bicycle & Pedestrian Program Area

Scott Haywood, Transportation Planning Manager, provided a brief overview of the staff report and a presentation, highlighting; 1) 2016 Measure B program areas; 2) Bicycle and Pedestrian – program description; 3) Bicycle and pedestrian – proposed guidelines; 4) Competitive grant programs; 5) Example of potential grant program awards; and 6) Relationship to Vehicle Emissions Reductions Based at Schools (VERBS) program.

Vice Chairperson Khamis requested staff consider making the formula for the education and encouragement funding of the VERBS program population based.

Alternate Member Rennie expressed concern with language in the attachment stating only projects listed on resolution are eligible and questioned how projects can be added.

Mr. Haywood indicated there is flexibility in Measure B to allow for changes at a later date if needed.

Vice Chairperson Khamis expressed support for adding projects but not for removing any projects from the list.

Upon inquiry, Chris Augenstein, Deputy Director, Planning, provided clarification on adding projects to the Bicycle and Pedestrian area of 2016 Measure B.

Vice Chairperson Khamis requested a change in the language under criteria to state that projects listed on Resolution No. 2016.06.17 are currently eligible.

On order of Chairperson O'Neill and there being no objection the Committee reviewed and discussed the Draft 2016 Measure B - Bicycle & Pedestrian Program Area.

8. Draft 2016 Measure B Caltrain Corridor Capacity

Mr. Haywood provided a brief overview of the staff report and a presentation, highlighting: 1) 2016 Measure B Program Areas; 2) Caltrain Corridor capacity improvements – program description; 3) Caltrain Corridor capacity improvements – proposed guidelines; 4) Caltrain grade separation – program description: 5) Caltrain grade separation – Locations; 6) Caltrain grade separation – proposed guidelines; and 7) Caltrain grade separation – implementation plan.

The Committee discussed the following: 1) how service to South County will work if that section of the system is not electrified; 2) transfers between South County and the rest of the system; and 3) funding for Diridon Station improvements.

Jim Lawson, Director of Public Affairs and Executive Policy Advisor, provided additional information on the Caltrain Electrification Project and potential increase in service to the South County.

Nuria I Fernandez, General Manager and CEO, provided clarification on capacity enhancements and grade separation.

Vice Chairperson Khamis requested the Board consider adding language ensuring funds will be available for the Diridon Station improvements study.

Alternate Member Rennie requested a report back from staff on ridership, farebox recovery, congestion improvements, and plans for marketing.

Public Comment

Mr. Lebrun expressed concern with Caltrain not opting for a hybrid train system or considering using sprinters.

On order of Chairperson O'Neill and there being no objection, the Committee reviewed and discussed the Draft 2016 Measure B Caltrain Corridor Capacity and Caltrain Grade Separation Program Areas.

9. Draft Next Network Transit Service Plan

Jim Unites, Transit Planning and Capital Development Executive Manager, provided a brief overview of the staff report and overview of draft system maps.

Alternate Member Rennie suggested looking at eliminating parts of routes and not the entire route to provide some service especially routes serving schools.

On order of Chairperson O'Neill and there being no objection the Committee received a summary of community feedback collected to date on the draft Next Network transit service plan.

10. Valley Transportation Plan (VTP) Highway Program Semi-Annual Report

Gene Gonzalo, Engineering Group Manager, provided a brief overview of the staff report and a presentation, highlighting: 1) VTP Highway Program; 2) Program overview map; 3) Highway projects costs and funding; and 4) Highway program identified funding sources.

The Committee discussed the following: 1) progress on study of SR87 programs; and 2) SR85 express lanes study.

Public Comment

Mr. Lebrun suggested Caltrans be invited to a meeting to explain the details of smart freeways.

On order of Chairperson O'Neill and there being no objection, the Committee received the Valley Transportation Plan (VTP) Highway Program Semi-Annual Report Ending October 31, 2016.

11. <u>State Route 85 Noise Reduction Study Final Phase 1 Report</u>

Mr. Gonzalo provided a brief overview of the staff report and a presentation, highlighting; 1) Project background; 2) Noise reduction pilot testing locations; and 3) Recommendation and next steps.

Public Comment

Mr. Lebrun expressed concern with asphalt overlay and suggested the following: 1) research shaving next generation concrete and making it smoother; and 2) contact the California Highway Patrol (CHP) to request information on braking conditions.

Member Rennie expressed concern with the need for additional maintenance and questioned if staff had any indication of the associated costs.

Mr. Gonzalo indicated maintenance costs will be discussed with Caltrans as a part of the next steps.

On order of Chairperson O'Neill and there being no objection, the Committee received a report on the "State Route 85 Noise Reduction Study Final Phase 1 Report" dated September 2016.

OTHER ITEMS

12. <u>Items of Concern and Referral to Administration</u>

There were no Items of Concern and Referral to Administration.

13. <u>Committee Work Plan</u>

On order of Chairperson O'Neill and there being no objection, the Committee reviewed the Committee Work Plan.

14. <u>Committee Staff Report</u>

Carolyn Gonot, Interim Director of Planning & Program Development and Staff Liaison, indicated a written report was provided to the Committee at their places and on the Public Table.

Ms. Fernandez indicated the Committee's comments and concerns regarding **Agenda Item #7.,** Draft 2016 Measure B - Bicycle & Pedestrian Program Area, will be forwarded to the Board.

15. <u>Chairperson's Report</u>

There was no Chairperson's Report.

16. <u>Determine Consent Agenda for the January 5, 2017 Board of Directors Meeting</u> CONSENT:

Agenda Item #10, Receive the Valley Transportation Plan (VTP) Highway Program Semi-Annual Report Ending October 31, 2016.

Agenda Item #11, Receive a report on the "State Route 85 Noise Reduction Study Final Phase 1 Report" dated September 2016.

REGULAR:

None

17. <u>ANNOUNCEMENTS</u>

There were no Announcements.

18. <u>ADJOURN</u>

On order of Chairperson O'Neill and there being no objection, the meeting was adjourned at 11:17 a.m.

Respectfully submitted,

Menominee L. McCarter, Board Assistant VTA Office of the Board Secretary

Administration and Finance Committee

Regular Meeting Minutes of February 16, 2017

WILL BE FORWARDED UNDER SEPARATE COVER

Safety, Security, and Transit Planning and Operations Committee

Regular Meeting Minutes of February 16, 2017

WILL BE FORWARDED UNDER SEPARATE COVER



TECHNICAL ADVISORY COMMITTEE

Wednesday, February 8, 2017

MINUTES

CALL TO ORDER

The Regular Meeting of the Technical Advisory Committee (TAC) was called to order at 1:30 p.m. by Chairperson Morley in Conference Room B-106, Santa Clara Valley Transportation Authority (VTA), 3331 North First Street, San José, California.

1. ROLL CALL

Attendee Name		Representing	Status
Shahid Abbas	Member	City of Sunnyvale	Present
Carol Shariat	Alternate Member	City of Sunnyvale	N/A
VACANT	Member	City of Santa Clara	-
Dennis Ng	Alternate Member	City of Santa Clara	Present
Karl Bjarke	Member	City of Morgan Hill	Absent
Christina Turner	Alternate Member	City of Morgan Hill	Present
Timm Borden	Member	City of Cupertino	Present
David Stillman	Alternate Member	City of Cupertino	N/A
Todd Capurso	Member	City of Campbell	Present
Matthew Jue	Alternate Member	City of Campbell	N/A
John Cherbone	Member	City of Saratoga	Present
Macedonia Nunez	Alternate Member	City of Saratoga	N/A
Allen Chen	Member	Town of Los Altos Hills	Present
Tina Tseng	Alternate Member	Town of Los Altos Hills	N/A
Dawn Cameron	Vice Chairperson	County of Santa Clara	Present
Michael Murdter	Alternate Member	County of Santa Clara	N/A
Helen Kim	Member	City of Mountain View	Present
VACANT	Alternate Member	City of Mountain View	-
Steven Machida	Member	City of Milpitas	Absent
Steve Chan	Alternate Member	City of Milpitas	Absent
Matt Morley	Chairperson	Town of Los Gatos	Present
Lisa Petersen	Alternate Member	Town of Los Gatos	N/A
Cedric Novenario	Member	City of Los Altos	Present
Susanna Chan	Alternate Member	City of Los Altos	N/A
Joshuah Mello	Member	City of Palo Alto	Present
Jessica Sullivan	Alternate Member	City of Palo Alto	N/A
John Ristow	Member	City of San José	Present
Jessica Zenk	Alternate Member	City of San José	N/A
Michael Fisher	Member	City of Gilroy	Present
VACANT	Alternate Member	City of Gilroy	-
VACANT	Member	City of Monte Sereno	-
Nick Saleh	Ex-Officio Member	California Department of Transportation (Caltrans)	Present
Dina El-Tawansy	Ex-Officio Alternate Member	California Department of Transportation (Caltrans)	Present
Therese Trivedi	Ex-Officio Member	Metropolitan Transportation Commission (MTC)	Present
VACANT	Ex-Officio Alternate Member	Metropolitan Transportation Commission (MTC)	-

A quorum was present.

2. ORDERS OF THE DAY

There were no Orders of the Day.

3. PUBLIC PRESENTATIONS

There were no Public Presentations

4. <u>Committee Staff Report</u>

Marcella Rensi, Transportation Planning Manager – Planning and Grants and Staff Liaison, provided a brief report, noting: 1) The VTA Board of Directors (Board) approved the MV Transportation contract to provide paratransit services; 2) Alum Rock/ Santa Clara Bus Rapid Transit testing of bus and signal operations; 3) new VTA ad campaign for seniors; 4) on-board survey being conducted throughout the VTA system; and 5) VTA's security service, formerly AlliedBarton Security Services, is now Allied Universal Security.

Ms. Rensi welcomed Alternate Member Turner, representing the City of Morgan Hill, to the Committee

On order of Chairperson Morley and there being no objection, the Committee received the Committee Staff Report.

5. <u>Chairperson's Report</u>

Chairperson Morley welcomed Alternate Member Turner to the Committee and provided a brief report, noting he received an overview from staff regarding the 2016 Measure B implementation and coordination of items thru the TAC.

6. <u>TAC Working Groups Report</u>

• Capital Improvement Program (CIP) Working Group

Celeste Fiore, Transportation Planner, highlighted the CIP Working Group activities and discussion topics for 2016, including: 1) Pedestrian Access to Transit; 2) Envision Silicon Valley; 3) One Bay Area Grant – Cycle 2 (OBAG 2); 4) VTA's Complete Streets Policy; and 5) Vehicle Emissions Reductions Based at Schools (VERBS) and Safe Routes to School.

Ms. Fiore expressed her appreciation to Member Agency staff for their work and participation in the CIP Working Group, noting David Gittleson, City of Morgan Hill, and Laura Ley, City of Gilroy, were elected as the 2017 CIP Working Group chair and vice chair respectively. Ms. Fiore noted the CIP Working Group meets on the fourth Tuesday of the month and the next meeting is scheduled for February, 28, 2017.

• Systems Operations & Management (SOM) Working Group

Eugene Maeda, Senior Transportation Planner, noted the SOM Working Group held their annual luncheon on December 14, 2016, and was hosted by the City of Palo Alto. The following topics were discussed: 1) Vehicle Registration Fee (VRF) Program activities; and 2) elected the SOM Working Group leadership, with Joel Arreola, City of Sunnyvale, and Ananth Prasad, County of Santa Clara, as the 2017 SOM Working Group chair and vice chair respectively. He expressed appreciation of Rafael Rius, City of Palo Alto, for his leadership in 2016.

Mr. Maeda highlighted the SOM Working Group activities and discussion topics for 2016, including: 1) Super Bowl 50 transit and traffic management plans; 2) *Crossroads* collision database; 3) application of green bike lanes; 4) toured Caltrans traffic incident management center; 5) Complete Streets pilot projects by Member Agencies; and 6) reviewed Congestion Management Program (CMP) Conformance and Monitoring Report and Transportation Systems Monitoring Report.

• Land Use/Transportation Integration (LUTI) Working Group

Robert Swierk, Principal Transportation Planner, highlighted the LUTI Working Group activities and discussion topics for 2016, including: 1) City of Sunnyvale's Peery Park Specific Plan; 2) City of Milpitas' Transit Area Specific Plan; 3) land use implications from VTA's Next Network transit redesign and Joint Development Program; and 4) regional and state initiatives, such as Senate Bill (SB) 743 and Plan Bay Area 2040.

Mr. Swierk noted the LUTI Working Group meets quarterly and will evaluate 2017 meeting dates to avoid conflicts with TAC meetings.

Public Comment

Roland Lebrun, Interested Citizen, expressed concern the LUTI Working Group meetings are not open to Members of the Public. He noted the development near the Cottle Light Rail Station and asked about ridership and ways to encourage transit usage in the area.

CONSENT AGENDA

7. <u>Regular Meeting Minutes of December 8, 2016</u>

M/S/C (Capurso/Borden) to approve the Regular Meeting Minutes of December 8, 2016.

8. <u>Summary Minutes of January 11, 2017</u>

M/S/C (Capurso/Borden) to receive and file Summary Minutes of January 11, 2017.

9. <u>Valley Transportation Plan (VTP) Highway Program Semi-Annual Report Ending</u> October 31, 2016

M/S/C (Capurso/Borden) to receive the Valley Transportation Plan (VTP) Highway Program Semi-Annual Report Ending October 31, 2016.

10. <u>Legislative Update Matrix</u>

M/S/C (Capurso/Borden) – to review the Legislative Update Matrix.

RESULT:	APPROVED [UNANIMOUS] – Consent Agenda (Agenda Items #7-10)
MOVER:	Todd Capurso, Member
SECONDER:	Timm Borden, Member
AYES:	Abbas, Borden, Cameron, Capurso, Chen, Cherbone, Fisher, Kim, Mello,
	Morley, Ng (Santa Clara Alt.), Novenario, Ristow, Turner (Morgan Hill Alt.)
NOES:	None
ABSENT:	Machida, Chan (Alt., Milpitas)

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

REGULAR AGENDA

11. Draft 2016 Measure B - Bicycle & Pedestrian Program Area

Scott Haywood, Transportation Planning Manager, provided an overview of the staff report, noting program description, proposed guidelines, example of potential grant program awards, and relationship to the VERBS Program.

Public Comment

Marty Martinez, Safe Routes to School National Partnership, expressed general support of the 2016 Measure B - Bicycle & Pedestrian Program and the County of Santa Clara Public Health Department's commitment to bicycle and pedestrian safety and education. He noted the importance of a strong Safe Routes to School program and advocated for more non-infrastructure funding.

Alice Kawaguchi, County of Santa Clara Public Health Department, expressed general support of the 2016 Measure B - Bicycle & Pedestrian Program, noting: 1) the program aligns with the Department's commitment to active transportation; 2) advocated for eligibility of Countywide coordination efforts; 3) encouraged continued funding for the VERBS non-infrastructure programs; and 4) suggested consideration for including a representative knowledgeable about education, safety, and encouragement on the scoring committee.

Doug Muirhead, Interested Citizen, cited a bike trail in the City of Morgan Hill and asked about project application process if a local agency does not have complete control of a facility.

Members of the Committee offered their comments on the following: 1) project scoring committee composition; 2) application process efficiencies to avoid duplication of efforts; 3) expressed support of funding for Countywide educational activities and coordination efforts; 4) funding for Complete Streets implementation; 5) funding allocation strategy for education and encouragement programs; and 6) consideration for some formula-based funding to develop local routes that would connect with regional facilities.

On order of Chairperson Morley, and there being no objection, the Committee reviewed and discussed the Draft 2016 Measure B - Bicycle & Pedestrian Program Area.

12. Draft 2016 Measure B Caltrain Corridor Capacity and Caltrain Grade Separation <u>Program Areas</u>

Mr. Haywood provided an overview of the staff report, highlighting program description, proposed guidelines, Caltrain grade separation locations, and overview of implementation plan.

Members of the Committee made the following comments: 1) advocated funding for projects that improve capacity without having to wait until after completion of the Peninsula Corridor Electrification Project (PCEP); 2) expressed support for increased Caltrain service in South County; 3) asked about distribution and implementation strategies under the Grade Separation Program; 4) asked whether rail cars are eligible under the Corridor Capacity Improvement Program; and 5) consideration of front-loading funds to support environmental review or preliminary designs.

Public Comment

Mr. Lebrun commented the following: 1) expressed concern about reduction of seating on Caltrain; 2) expressed concern about VTA reprogramming of funds for light rail projects; 3) noted need for grade separations in South San Jose; and 4) suggestions for Caltrain platform configuration.

On order of Chairperson Morley, and there being no objection, the Committee reviewed and discussed the Draft 2016 Measure B Caltrain Corridor Capacity and Caltrain Grade Separation Program Areas.

13. <u>Next Network Outreach Status Update</u>

Jim Unites, Executive Manager of Transit Planning & Capital Development, provided an overview of the Next Network outreach efforts to date, highlighting general themes received from the public.

Mr. Unites noted end of the Next Network comment period is on February 20, 2017.

Public Comment

Mr. Lebrun commended staff on outreach effort. He suggested staff evaluate VTA Express Bus 181 beyond opening of Phase 1 of BART, and advocated to keep frequency for Bus Line 68.

Chairperson Morley thanked staff on the significant outreach effort done.

On order of Chairperson Morley, and there being no objection, the Committee received a summary of community feedback collected to date on the draft Next Network transit service plan.

14. <u>SR 85 Noise Reduction Program (Phase 1)</u>

Gene Gonzalo, Engineering Group Manager – Capital Program, provided an overview of the staff report, noting project background, pilot testing locations, summary of recommendation, and next steps.

Public Comment

Mr. Lebrun offered a suggestion on pavement modification that could help reduce noise.

Member Kim expressed support for efforts on reducing noise for residents along the corridor and asked that the affected communities be kept informed of project status and outreach efforts as the program moves to the next phase.

On order of Chairperson Morley, and there being no objection, the Committee received a report on the "State Route 85 Noise Reduction Study Final Phase 1 Report" dated September 2016.

OTHER

15. <u>Update on Metropolitan Transportation Commission (MTC) Activities and</u> <u>Initiatives</u>

Ex-Officio Member Trivedi, provided a brief update, highlighting: 1) new Active Transportation Planner, Kara Oberg, and planned Complete Streets workshops in 2017; 2) coordination with VTA staff on VTA's Complete Streets Policy; 3) overview of Plan Bay Area activities, including planned public workshops/outreach in Spring 2017.

On order of Chairperson Morley, and there being no objection, the Committee received an update on MTC Activities and Initiatives.

16. <u>Update on Caltrans Activities and Initiatives</u>

Ex-Officio Member Saleh noted the following: 1) joint Caltrans-VTA Hard Shoulder Running Informational Forum on January 17, 2017; and 2) update on incidents and repairs stemming from the recent storms. He urged local agencies to contact Caltrans of any issues they should be aware of.

On order of Chairperson Morley, and there being no objection, the Committee received an update on Caltrans Activities and Initiatives.

17. <u>Committee Work Plan</u>

On order of Chairperson Morley, and there being no objection, the Committee reviewed the Committee Work Plan.

18. ANNOUNCEMENTS

There were no Announcements.

16. ADJOURNMENT

On order of Chairperson Morley, and there being no objection, the meeting was adjourned at 2:53 p.m.

Respectfully submitted,

Michelle Oblena, Board Assistant VTA Office of the Board Secretary



CITIZENS ADVISORY COMMITTEE and 2000 MEASURE A CITIZENS WATCHDOG COMMITTEE

Wednesday, February 8, 2017

MINUTES

CALL TO ORDER

The Regular Meeting of the Citizens Advisory Committee (CAC)/2000 Measure A Citizens Watchdog Committee (CWC) was called to order at 4:02 p.m. by Chairperson Wadler in Conference Room B-106, VTA River Oaks Campus, 3331 North First Street, San Jose, California.

1. ROLL CALL

Attendee Name	Title	Status
Stephen Blaylock	CAC Member	Present
Aneliza Del Pinal	CAC Member	Present
Chris Elias	CAC Member	Present
Sharon Fredlund	Vice Chairperson	Absent
William Hadaya	CAC Member	Absent
Ray Hashimoto	CAC Member	Present
Aaron Morrow	CAC Member	Absent
Chris O'Connor	CAC Member	Present
Charlotte Powers	CAC Member	Present
Lucas Ramirez	CAC Member	Present
Connie Rogers	CAC Member	Present
Martin Schulter	CAC Member	Present
Noel Tebo	CAC Member	Present
Herman Wadler	Chairperson	Present

A quorum was present.

2. ORDERS OF THE DAY

Member Powers noted, prior to the Consent Agenda being approved, she had a question on **Agenda Item #9.**, VTP Highway Program Semi-Annual Report Ending October 31, 2016.

Member Tebo arrived at the meeting at 4:04 p.m. and took his seat.

3. PUBLIC PRESENTATIONS

There were no Public Presentations.

4. <u>Committee Staff Report</u>

Aaron Quigley, Senior Policy Analyst and Staff Liaison, reported the VTA Board of Directors (Board) took the following actions at their February 2, 2017, meeting: 1) received a status report on VTA's BART Silicon Valley Berryessa Extension project, noting the project is 95% complete. There is an unallocated contingency of \$150M and revenue service reforecast date is now mid-December 2017; 2) approved a four-year contract with MV Transportation to provide VTA's Access Paratransit service; 3) Alum Rock Bus Rapid Transit (BRT) bus and signal operations testing has begun; 4) new senior outreach campaign promoting VTA transit service; 5) on-board survey for VTA bus and light rail service, and 6) received legislative update.

Members of the Committee and staff discussed the following: 1) BART budget tracking; 2) BART Warm Springs revenue service date, and; 3) request for an East Side BRT status update.

5. <u>Chairperson's Report</u>

Chairperson Wadler reported the following: 1) Member Roberta Hughan has resigned. Members of the Committee noted their appreciation for her years of dedicated service; 2) encouraged CAC members to attend and help spread the word about upcoming transit system redesign community meetings, noting the VTA website (<u>www.vta.org</u>) has a listing of upcoming meetings and video live-stream, and; 3) noted the community has expressed concern about Almaden Valley bus service cuts.

6. <u>Committee for Transportation Mobility and Accessibility (CTMA) Report</u>

There was no Committee for Transportation Mobility and Accessibility (CTMA) Report.

7. Bicycle and Pedestrian Advisory Committee (BPAC) Report

There was no Bicycle and Pedestrian Advisory Committee (BPAC) Report.

COMBINED CAC AND 2000 MEASURE A CITIZENS WATCHDOG COMMITTEE CONSENT AGENDAS

Member Powers referenced **Agenda # 9.**, VTP Highway Program Semi-Annual Report Ending October 31, 2016, noting Measure A funds were used in some of the projects listed, and queried if those projects were in alignment with the Committee's mission. Mr. Quigley stated he would have staff follow up.

8. <u>Regular Meeting Minutes of January 11, 2017.</u>

M/S/C (Powers/Ramirez) to approve the Regular Meeting Minutes of January 11, 2017.

9. VTP Highway Program Semi-Annual Report Ending October 31, 2016.

M/S/C (Powers/Ramirez) to receive the VTP Highway Program Semi-Annual Report Ending October 31, 2016.

10. Legislative Update Matrix.

M/S/C (Powers/Ramirez) to receive the Legislative Update Matrix.

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

RESULT:	APPROVED [UNANIMOUS] (<u>Consent Agenda Items #8-10)</u>	
MOVER:	Powers, Member	
SECONDER:	Ramirez, Member	
AYES:	Blaylock, Del Pinal, Elias, Hashimoto, O'Connor, Powers, Ramirez,	
	Rogers, Schulter, Tebo, Wadler	
NOES:	None	
ABSENT:	Fredlund, Hadaya, Morrow	

2000 MEASURE A CITIZENS WATCHDOG COMMITTEE REGULAR AGENDA

There were no items for the 2000 Measure A Citizens Watchdog Committee Regular Agenda.

CITIZENS ADVISORY COMMITTEE REGULAR AGENDA

11. <u>Draft 2016 Measure B Program Areas – Caltrain Corridor Capacity & Caltrain</u> <u>Grade Separation</u>

Jane Shinn, Senior Management Analyst, provided an overview of the staff report, and a presentation entitled "2016 Measure B Program Areas," highlighting: 1) 2016 Measure B Program Areas; 2) Caltrain Corridor Capacity Improvements – Program Description; 3) Caltrain Corridor Capacity Improvements – Proposed Guidelines; 4) Caltrain Grade Separation – Program Description; 5) Caltrain Grade Separation – Locations; 6) Caltrain Grade Separation – Proposed Guidelines; 7) Caltrain Grade Separation – Implementation Plan, and; 8) Caltrain Corridor Capacity Improvements & Caltrain Grade Separation Program.

Members of the Committee and staff discussed the following: 1) south county funding for capacity improvement; 2) competitive state grade separation program; 3) implementation plan; 4) city project readiness; 5) land purchase for right of way; 6) expressed appreciation for additional service to South County; 7) suggested VTA/Caltrain survey riders regarding preferred schedule times; 8) suggested, as part of funding eligibility requirements, cities be required to pay for any additional real estate as part of their contribution; 9) suggested 10% local match is too low; 10) suggested aligning the matching contribution with other major grant systems that are already in place, and; 11) weigh safety concerns.

On order of Chairperson Wadler and there being no objection, the Committee received a report on the Draft 2016 Measure B Program Areas – Caltrain Corridor Capacity & Caltrain Grade Separation.

12. Draft 2016 Measure B Program Area – Bicycle & Pedestrian

Ms. Shinn provided an overview of the staff report and handout entitled "Vehicle Emissions Reductions Based at Schools (VERBS) Program vs. 2016 Measure B Bike & Pedestrian Education/Encouragement Grant Program." She also provided a presentation entitled "2016 Measure B Program Areas," highlighting: 1) 2016 Measure B Program Areas; 2) Bicycle & Pedestrian – Program Description; 3) Bicycle/Pedestrian – Proposed

Guidelines; 4) Competitive Grant Programs; 5) Example of Potential Grant Program Awards; 6) Relationship to VERBS Program, and; 7) Bike and Pedestrian Program.

Members of the Committee and staff discussed the following: 1) reimbursement of funds and 2) adding eligible projects to the list.

On order of Chairperson Wadler and there being no objection, the Committee received a report on the Draft 2016 Measure B Program Area – Bicycle & Pedestrian.

13. <u>Next Network Outreach Status Update</u>

Jason Tyree, Senior Project Manager, provided an overview of the staff report, and handout entitled "Map of Next Network Proposal."

Members of the Committee and staff discussed the following: 1) the proposal does not include any resources from the transit operating portion of 2016 Measure B; 2) expressed support for more frequent service on Line 68; 3) tentative plan to combine community bus routes in Gilroy and Morgan Hill into one large loop; 4) implementation of Next Network Service will coincide with the opening of BART; 5) upcoming paratransit update policy; 6) Downtown Area Shuttle (DASH) will be replaced with the new Rapid 500; 7) Express Bus Network Plan will be studied after BART stations open; 8) noted the importance of continued community outreach as the Core Connectivity Program is developed and moves through committees; 9) expressed concern about negative community feedback over potential Almaden Valley bus service cuts, and; 10) financial analysis would be helpful.

On order of Chairperson Wadler and there being no objection, the Committee received the Next Network Outreach Status Update

COMBINED CAC AND CITIZENS WATCHDOG COMMITTEE ITEMS

14. <u>Review the Citizens Advisory Committee and Citizens Watchdog Committee Work</u> <u>Plans.</u>

Member Tebo expressed concern with VTA light rail service to the Women's March on Saturday, January 21, 2017. Mr. Quigley indicated he would be happy to address the matter in his Staff Liaison Report at the March meeting, noting VTA moved 16,000 people in four hours with limited prior notice.

Member Blaylock suggested it might be a good time to consider looking at installing Solar Panels and Solar Powered Parking Pay Stations at VTA Park and Ride Lots.

Chairperson Wadler noted community members have alerted him that people are using VTA Park and Ride Lots for long term vehicle parking.

On order of Chairperson Wadler and there being no objection, the Committee reviewed the Citizens Advisory Committee and Citizens Watchdog Committee Work Plans.

OTHER

15. <u>ANNOUNCEMENTS</u>

Member Blaylock indicated photographs were taken during the CAC meeting for an internal newsletter for two articles. One article will be on a community shuttle program for the City of Mountain View, and the second article on the value and purpose of the

CAC/CWC. He stated the newsletter will be forwarded to Committee members and feel free to forward it on to constituents.

16. <u>ADJOURNMENT</u>

On order of Chairperson Wadler and there being no objection, the meeting was adjourned at 5:30 p.m.

Respectfully submitted,

Anita McGraw, Board Assistant VTA Office of the Board Secretary



BICYCLE & PEDESTRIAN ADVISORY COMMITTEE

Wednesday, February 8, 2017

MINUTES

CALL TO ORDER

The Regular Meeting of the Bicycle and Pedestrian Advisory Committee (BPAC) was called to order at 6:33 p.m. by Chairperson Hertan in Conference Room B-106, Santa Clara Valley Transportation Authority (VTA), 3331 North First Street, San José, California.

1. ROLL CALL

Attendee Name	Title	Representing	Status
Wes Brinsfield	Member	City of Los Altos	Present
Kristal Caidoy	Member	City of Milpitas	Present
Barry Chaffin	Member	City of Monte Sereno	Present
Jaime Fearer	Member	City of San José	Present
Paul Goldstein	Member	City of Palo Alto	Present
Bill Haskell	Member	City of Morgan Hill	Present
Peter Hertan	Chairperson	Town of Los Gatos	Present
Sarah Peters	Vice Chairperson	City of Santa Clara	Present
David Simons	Member	City of Sunnyvale	Absent
Jim Stallman	Member	City of Saratoga	Present
Paul Tuttle	Member	City of Campbell	Present
Greg Unangst	Member	City of Mountain View	Present
Herman Wadler	Member	County of Santa Clara	Present
Vacant	Member	City of Cupertino	n/a
Vacant	Member	City of Gilroy	n/a
Vacant	Member	Town of Los Altos Hills	n/a
Colin Heyne	Ex-Officio Member	Silicon Valley Bicycle Coalition	Present
Shiloh Ballard	Alt. Ex-Officio Member	Silicon Valley Bicycle Coalition	n/a

A quorum was present.

Member Tuttle, representing the City of Campbell, was welcomed and introduced himself.

2. ORDERS OF THE DAY

There were no Orders of the Day.

3. PUBLIC PRESENTATIONS:

Matt Murphy, Interested Citizen, commented on funding for the Penitencia Creek Trail and suggested trail improvements.

Chairperson Hertan noted that the suggested improvements could be incorporated into the County Bike Plan.

CONSENT AGENDA

4. <u>Regular Meeting Minutes of January 11, 2017</u>

M/S/C (Stallman/Goldstein) to approve the Regular Meeting Minutes of January 11, 2017.

RESULT:	APPROVED
MOVER:	Jim Stallman, Member
SECONDER:	Paul Goldstein, Member
AYES:	Brinsfield, Caidoy, Chaffin, Fearer, Goldstein, Haskell, Hertan, Peters,
	Stallman, Tuttle, Unangst, Wadler
NOES:	None
ABSENT:	Simons

REGULAR AGENDA

5. Draft 2016 Measure B Program Area - Bicycle & Pedestrian

Jane Shinn, Senior Transportation Planner, provided a presentation titled "2016 Measure B Program Areas: Bicycle & Pedestrian," highlighting the following: 1) 2016 Measure B Program Areas; 2) Bicycle & Pedestrian - Program Description; 3) Bicycle & Pedestrian - Proposed Guidelines; 4) Competitive Grant Programs; 5) Example of Potential Grant Program Awards; and 6) Relationship to Vehicle Emissions Reductions Based at Schools (VERBS) Program.

Public Comment

Richard Swent, Chair of the Steering Committee of Traffic Safe Communities Network, made the following comments: 1) expressed concern with the funding for VERBS projects; 2) education and encouragement funds appear to only include direct education and encouragement programs; and 3) standardizing data reporting across the County for Safe Routes to School programs.

Doug Muirhead, Interested Citizen, recommended having a VTA team dedicated to finding grant opportunities for smaller cities.

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

Members of the Committee discussed the following: 1) projects which are cross jurisdictional; 2) general support for the transition of VERBS to 2016 Measure B funds, but expressed concern that money will be lost in the process; 3) broader educational framework which would include things such as bike maintenance skills; 4) language possibly limiting projects to only those listed as part of Resolution 2016.060.17; 5) expressed concern that planning is underfunded and suggested that extra funds go to planning instead of capital; 6) expressed concern that Safe Routes to School programs may potentially be against education and encouragement programs; 7) projects using money from multiple program areas; 8) education through public outreach; 9) changing the scoring committee to include four BPAC members (one each from a small city, a medium sized city, a large city, and the County), four Member Agency staff (one each from a small city, a medium sized city, a large city, and the County), and one VTA member; 10) funding for before and after studies of projects; 11) utilizing a central group to evaluate projects once they are completed; 12) what countywide significance means; and 13) the impact of High Speed Rail and Caltrain projects on bike/pedestrian projects.

On order of Chairperson Hertan and there being no objection, the Committee reviewed and discussed the Draft 2016 Measure B - Bicycle & Pedestrian Program Area.

6. <u>Next Network Outreach Status Update</u>

Adam Burger, Senior Transportation Planner, provided an overview of comments received at the Next Network outreach events, highlighting the following: 1) support for free transfers within the VTA system; 2) support for increased light rail frequency; 3) support for core connectivity; 4) possible solutions for preserving service in Almaden Valley; 5) concern with service cuts in Palo Alto; 6) service south of De Anza Boulevard; 7) service to downtown Los Gatos; 8) Route 45 in East San Jose may be better served as a more flexible service; 9) eliminating route 65, which is similar to routes 61 and 63; 10) express discontinuation; routes 11) partnering with the senior community; and 12) February 20, 2017, is the public comment deadline.

Members of the Committee discussed the following: 1) improving farebox recovery; 2) cities are willing to work with VTA to improve service; 3) paratransit service and changing VTA's policy to minimize impact on current users; 4) after school service around high schools for students who are involved in sports and other activities; 5) subsidies from commercial companies to supplement service; and 6) reorganization of the Eco Pass program.

On order of Chairperson Hertan and there being no objection, the Committee received a summary of community feedback collected to date on the draft Next Network transit service plan.

OTHER

7. <u>Committee Staff Report</u>

Lauren Ledbetter, Senior Transportation Planner and BPAC Staff Liaison, provided a report, highlighting the following: 1) at the February 2, 2017 meeting the Board of Directors (Board) approved a four year contract with MV Transportation to provide VTA's

Access Paratransit service; 2) the Board honored 18 retirees at the February meeting; 3) bus testing and signal operations of the Alum Rock Bus Rapid Transit corridor; 4) VTA is reaching out to seniors with a new ad campaign; 5) on board surveys over the next five months; 6) new uniform and name for VTA's contracted security service; and 7) Monthly Bike Pedestrian webinar on "Growing the Movement - University Curriculum for Pedestrian and Bicycle Professionals" on Wednesday, February 15, 2017 at noon.

Member Fearer requested to have the Staff Report e-mailed to members for easy distribution to others.

On order of Chairperson Hertan, and there being no objection, the Committee received the Committee Staff Report.

8. <u>Santa Clara County Staff Report</u>

Masoud Akbarzadeh, County Traffic Engineer, provided a handout on how to report issues on County Road Service Requests via a website or a phone app.

Member Goldstein requested to have the link for the County Roads & Airports Service reporting website sent to the Committee.

On order of Chairperson Hertan, and there being no objection, the Committee received the Santa Clara County Staff Report.

9. <u>Chairperson's Report</u>

Chairperson Hertan reported on the Leadership Meeting with Ms. Ledbetter, Vice Chairperson Peters, Stephen Flynn, Advisory Committee Coordinator, and Rob Swierk, Transportation Planner. Chairperson Hertan encouraged the Committee to send their ideas of what they want to see done to him and Vice Chairperson Peters.

Vice Chairperson Peters noted that covered topics were: 1) planning to improve equity in work done by the Cities, the County, and VTA; 2) ways to build capacity of individual BPAC's; 3) expanding Vision Zero to the whole county to make it more concrete; and 4) improving collision records, specifically Crossroads data.

Member Brinsfield requested that the topics be added to the work plan.

10. <u>Reports from BPAC Subcommittees</u>

Member Stallman reported that the Complete Streets workshop on January 17, 2017 was productive.

Chairperson Hertan reported the following from the Bike Travel Reimbursement Policy subcommittee: 1) spoke with VTA General Counsel; 2) VTA is open to the idea; and 3) Caltrans reimburses contractors on bicycles at \$.04/mile.

On order of Chairperson Hertan, and there being no objection, the Committee received the BPAC Subcommittees reports.

11. <u>Citizens Advisory Committee (CAC) and 2000 Measure A Citizens Watchdog</u> <u>Committee (CWC) Report</u>

There was no CAC/CWC report.

On order of Chairperson Hertan, and there being no objection, the Committee received the CAC/CWC Report.

12. <u>BPAC Work Plan</u>

Ms. Ledbetter provided an overview of the BPAC Work Plan, noting she is working to get a speaker to come to a future meeting to present the Pedestrian Safety Report from the Santa Clara County Department of Public Health.

On order of Chairperson Hertan, and there being no objection, the Committee reviewed the BPAC Work Plan.

13. ANNOUNCEMENTS

Ex-Officio Member Heyne announced that the Silicon Valley Bicycle Coalition distributed a survey to its supporters but noted there were some complaints on the survey.

Member Fearer announced the following: 1) the San Jose Pedestrian Safety Report will be released on February 17, 2017; and 2) the Safe Streets Act of 2017 was introduced, which will be a pilot program of speed cameras in the City of San José and the City and County of San Francisco.

Member Tuttle announced that Campbell will provide free bike valet parking for the farmer's market, May through October.

Member Brinsfield made the following announcements: 1) Los Altos has been meeting with the County to discuss changes on Foothill Expressway between Del Monte Avenue and San Antonio Road; 2) GreenTown will dedicate May as Bike Month with events throughout the month; and 3) a recent engineering and traffic survey recommends increasing speed limits to use radar.

Member Stallman provided an update on the Calvert Drive in Cupertino restriping project.

Member Unangst provided an update on the meeting of the BPAC's at the Silicon Valley Bikes Festival on May 7, 2017.

Vice Chairperson Peters provided an update on the San Tomas Aquino Creek Trail closure during large events. The City of Santa Clara BPAC recommended a three stage solution: an interim solution to have the Stadium Authority escort groups of bikes for the next five large events, medium solution is to provide a detour through a parking lot likely at Great America, and a long term solution of moving the security gates or other infrastructure solutions.

Chairperson Hertan announced that Los Gatos is almost done with the bicycle and pedestrian master plan.

Ms. Ledbetter spoke with Matt Morley, Town of Los Gatos Parks and Public Works Director, who said the Town will have a dedicated person to the bicycle and pedestrian issues. She also commended Vice Chairperson Peters for clearly noting when input was from the Santa Clara BPAC.

14. ADJOURNMENT

On order of Chairperson Hertan and there being no objection, the meeting was adjourned at 8:50 p.m.

Respectfully submitted,

Thalia Young, Board Assistant VTA Office of the Board Secretary



POLICY ADVISORY COMMITTEE

Thursday, February 9, 2017

MINUTES

CALL TO ORDER

The Regular Meeting of the Policy Advisory Committee (PAC) was called to order at 4:03 p.m. by Chairperson Miller in Conference Room B-106, Valley Transportation Authority (VTA), 3331 North First Street, San Jose, California.

1. ROLL CALL

Attendee Name	Title	Status
Rich Waterman	City of Campbell	Present
Cristina, Jeff (Alternate)	City of Campbell	NA
Sinks, Rod	City of Cupertino	Present
Barry Chang (Alternate)	City of Cupertino	NA
Harney, Daniel	City of Gilroy	Present
Tucker, Cat (Alternate)	City of Gilroy	NA
Lee Eng, Lynette	City of Los Altos	Present
Mordo, Jean (Alternate)	City of Los Altos	NA
Wu, Michelle	Town of Los Altos Hills	Present
Gary Waldeck (Alternate)	Town of Los Altos Hills	NA
Rob Rennie	Town of Los Gatos	Present
Marico Sayoc (Alternate)	Town of Los Gatos	NA
Nuñez, Bob	City of Milpitas	Present
Garry Barbadillo (Alternate)	City of Milpitas	NA
Rowena Turner	City of Monte Sereno	Present
Curtis Rogers (Alternate)	City of Monte Sereno	NA
Larry Carr	City of Morgan Hill	NA
Rich Constantine (Alternate)	City of Morgan Hill	Present
John McAlister	City of Mountain View	Present
Abe-Koga, Margaret (Alternate)	City of Mountain View	NA
Liz Kniss	City of Palo Alto	Present
Cory Wolbach (Alternate)	City of Palo Alto	NA
Carrasco, Magdalena	City of San Jose	Absent
Vacant (Alternate)	City of San Jose	-
Kathy Watanabe	City of Santa Clara	Absent
Patrick Kolstad(Alternate)	City of Santa Clara	Absent
Howard Miller	City of Saratoga	Present
Rishi Kumar (Alternate)	City of Saratoga	NA
Gustav Larsson	City of Sunnyvale	А
Nancy Smith (Alternate)	City of Sunnyvale	Present
Mike Wasserman	SCC Board of Supervisors	Present

A quorum was present.

2. ORDERS OF THE DAY

There were no Orders of the Day.

3. PUBLIC PRESENTATIONS

Roland Lebrun, Interested Citizen, expressed frustration about funds being programmed without the PAC being consulted and providing a recommendation to the Board.

4. <u>Committee Staff Report</u>

Jim Lawson, Director of Public Affairs and Executive Policy Advisor and Staff Liaison, provided a report, highlighting the following: 1) the VTA Board of Directors (Board) unanimously approved the contract with MV Transportation to be the paratransit serviceprovider : at its February 2, 2017 meeting; 2) VTA began the new ad campaign to promote public transit to seniors; 3) a survey is being conducted through the VTA system to receive feedback on how to improve transit; and 4) Allied Barton Security Services changed their uniform to solid black and will display a patch that shows VTA's new logo.

Members of the Committee made the following comments: 1) noted the importance of receiving feedback from the public through the surveys; 2) inquired about the other options for the public to provide feedback; and 3) provided suggestions on how staff could reach out to those individuals who choose not to take transit when it is an option.

Mr. Lawson informed the Committee about the various options to provide feedback to VTA, specifically one of two customer service locations, sending an email through the VTA website, and/or calling VTA's customer service number. Mr. Lawson noted that the surveys were an option staff was utilizing to reach out to riders, but riders can always contact VTA to provide input.

5. <u>Chairperson's Report</u>

Member Miller discussed the purpose of the Policy Advisory Committee and the expectations from Members of the Committee.

CONSENT AGENDA

6. <u>Regular Meeting Minutes of January 12, 2017</u>

M/S/C (**Wasserman/Harney**) to approve the Regular Meeting Minutes of January 12, 2017.

7. VTP Highway Program Semi-Annual Report Ending October 31, 2016

M/S/C (Wasserman/Harney) to receive the Valley Transportation Plan (VTP) Highway Program Semi-Annual Report Ending October 31, 2016.

8.4.b

NOTE: M/S/C MEANS MOTION SECONDED AND CARRIED AND, UNLESS OTHERWISE INDICATED, THE MOTION PASSED UNANIMOUSLY.

8. <u>Legislative Update Matrix</u>

M/S/C (Wasserman/Harney) to review the Legislative Update Matrix.

RESULT:	APPROVED – Consent Agenda
MOVER:	Mike Wasserman, Member
SECONDER:	Daniel Harney, Member
AYES:	Constantine, Harney, Kniss, Lee Eng, McAlister, Miller, Nunez, Rennie,
	Sinks, Smith, Turner, Wasserman, Waterman, Wu
NOES:	None
ABSENT:	Carrasco, Watanabe

REGULAR AGENDA

9. <u>Next Network Outreach Status Update</u>

Adam Burger, Senior Transportation Planner, provided an overview of the staff report, noting the history of events leading up to the status regarding Next Network.

Members of the Committee made the following comments: 1) requested survey location and schedule; 2) inquired about the eliminated routes in the Almaden Valley area; 3) noted the importance of being equitable when it comes to restoring service in the county; 4) commented about the benefits of having data to support staffs actions when it comes to service changes; 5) asked about alternatives for bus routes that are proposed to be eliminated; 6) requested VTA staff provide the cost per mile for the various types of buses; and 7) supports the Board's decision in proceeding with the Next Network draft.

Members of the Committee suggested VTA staff do the following: 1) find alternatives for the school trips in the Almaden Valley and Palo Alto area; 2) study the areas where the community is saying they need transit service; 3) look into shared services; 4) use 2016 Measure B funds to help with the first and last mile gap; and 4) reduce bus routes to trips with the highest ridership times instead of completely eliminating a bus route.

Chairperson Miller announced that many of the comments raised by the Committee were addressed early on in the process/planning of the Next Network. He requested staff provide the Next Network placemat to the Committee, noting it might be helpful for some of the new members.

Mr. Burger noted that staff is looking to restore service in certain Almaden Valley and West Valley areas. VTA staff is currently working with Palo Alto City staff in finding alternatives for bus route 88. Mr. Burger reported that it is the practice of VTA staff to study areas and receive the data to support it before making recommendations.

8.4.b

Mr. Lawson reported that the VTA Planning staff is sensitive and consciously looking at the bus routes that produce the highest ridership and the lowest ridership. He assured the Committee that the planning staff is thoroughly reviewing data and feedback from the community while creating the draft plan.

Public Comment

Jim Stallman, Interested Citizen, requested VTA pursue the 80/20 plan instead of 85/15, noting the 85/15 draft plan is taking away and eliminating service in some areas.

Mr. Lebrun commented about transfers impacting ridership. Mr. Lebrun further commented that in order to connect at a transfer point, buses need to be on time. The slightest delay could make someone miss their connecting bus.

On order of Chairperson Miller and there being no objection, the Committee received a summary of community feedback collected to date on the draft Next Network transit service plan.

10. <u>Draft 2016 Measure B Program Areas - Caltrain Corridor Capacity & Caltrain</u> <u>Grade Separation</u>

Scott Haywood, Transportation Planning Manager, provided an overview of the staff report.

Discussion ensued about the following: 1) Caltrain increased services to South County; 2) Caltrain operating costs per year to increase service to south county; 3) the possibility of delays to the Caltrain Electrification Project; 4) the benefits of Caltrain Electrification; 5) West Valley cities dependence on Caltrain; and 6) local funding for grade separation.

Mr. Haywood made the following comments: 1) Members would have more information and answers to their questions as they finalize the details and bring the report back in April 2017; 2) noted that VTA will start receiving 2016 Measure B funds around June 2017; and 3) reported VTA staff will reevaluate if there are any delays to the Caltrain Electrification Project. Mr. Haywood assured the Committee that VTA staff would be providing constant updates so that the Committee is well informed.

Public Comment

Corrine Winter, Consultant for the Altamont Corridor Express (ACE), recommended VTA collaborate with other transit agencies to find ways to expand service.

Mr. Lebrun made the following comments: 1) expressed opposition to the Caltrain Electrification Project, noting it will not increase capacity since they are losing seats per train; 2) commented about misappropriated funds; and 3) referenced a letter he sent to the Board.

Member Wasserman read into record the following meeting highlights from the Technical Advisory Committee (TAC):

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8.4.b

- 1. Corridor Capacity Program With the risk of losing of federal funding for the electrification project, several TAC members requested that VTA not delay funding for planning and design of the station improvements for increasing Caltrain capacity (e.g., longer trains) until electrification is complete. Certain improvements are needed regardless of the electrification project.
- 2. Corridor Capacity Program Regarding increasing service to South County, VTA staff clarified their intent to start work on planning this immediately. It is not dependent on the electrification and other modernization work.
- 3. Caltrain Grade Separation Program The three cities (Palo Alto, Mountain View, Sunnyvale) are jockeying for priority funding. Overall, VTA's first step of developing an Implementation Plan is a good one.

On order of Chairperson Miller and there being no objection, the Committee reviewed and discussed the Draft 2016 Measure B Caltrain Corridor Capacity and Caltrain Grade Separation Program Areas.

11. Draft 2016 Measure B Program Area - Bicycle & Pedestrian

Mr. Haywood provided an overview of the staff report.

Members of the Committee made the following comments: 1) referenced a letter sent by Santa Clara County Health Officer Dr. Sara Cody, noting the importance of education programs; 2) inquired about pursuing projects not on the Call for Projects list; 3) commented about voter expectations to complete projects that were on the Call for Projects list; 4) inquired about how VTA will provide support to the smaller cities in order get projects on the list; and 5) recommended VTA staff prioritize the projects on the current list before adding new projects.

Mr. Haywood reported the 2016 Measure B language has built in flexibility that allows modifications upon approval of the Board. The goal is to find the most effective way to get more projects done as quickly as possible. Mr. Haywood stated that VTA staff will be actively pursuing local contributions, partnerships, and looking at ways to invest. Mr. Haywood also mentioned that utilizing the cities TAC representative is a great way to work with VTA staff in order to see if a project has potential to move forward.

Chairperson Miller commented about the success of Saratoga receiving smaller grants and getting projects on different program lists. He noted that one of the key elements for their City Council to succeed is allocating money to match funds and doing the design work up front. Chairperson Miller announced that if any city staff would like to meet with Saratoga City staff, he would be happy to arrange it.

Member Wasserman requested the following meeting highlights from the TAC be added to the PAC meeting minutes:

1. County Public Health submitted a comment letter listing 3 requests for the education and encouragement program:

8.4.b

- a. Countywide coordination efforts should be eligible. I voiced support for this and had VTA staff confirm these would be eligible projects.
- b. Avoid a funding gap when substituting Measure B local funds for the federal funds (known as VERBS). The substitution is a good idea and even Public Health agrees it will be far better to not have to deal with federal funding. VTA staff will have a handout demonstrating that the use of Measure B funds will not change the timeline of funding availability.
- c. Have someone knowledgeable about education and encouragement on the scoring committee. I supported this request.
- 2. Some of the cities wanted some of the \$250 million provided as formula funds back to the cities for local bicycle and pedestrian projects. VTA staff provided an excellent response as to why this is not recommended and I concurred with VTA's response on the importance of keeping this funding for projects of countywide significance. I did suggest and received some support that local bicycle/pedestrian projects that directly feed into a countywide significant project should be eligible because the success of these countywide projects depends on good access.

Member Kniss left the meeting at 5:28 p.m. Member McAlister arrived and took his seat at 5:31p.m. Member Wasserman left the meeting at 5:35 p.m.

On order of Chairperson Miller and there being no objection, the Committee reviewed and discuss the Draft 2016 Measure B - Bicycle & Pedestrian Program Area.

12. <u>SR 85 Noise Reduction Program (Phase 1)</u>

Gene Gonzalo, Engineering Group Manager Capital Programs, provided an overview of the staff report.

Discussion ensued about the following: 1) types of asphalt; 2) barrier caps versus asphalt overlays; 3) estimated costs; 4) the estimated noise reduction; and 5) how the increased traffic congestion will affect the asphalt overlay.

Public Comment

Mr. Lebrun expressed opposition to staff's recommendation, noting asphalt will require maintenance and eventually create potholes. He suggested diamond grinding for noise reduction.

Member Waterman left his seat at 5:50 p.m.

On order of Chairperson Miller and there being no objection, the Committee received a report on the "State Route 85 Noise Reduction Study Final Phase 1 Report" dated September 2016.

OTHER

13. <u>Committee Work Plan</u>

On order of Chairperson Miller and there being no objection, the Committee reviewed the Committee Work Plan.

14. <u>ANNOUNCEMENTS</u>

There were no Announcements.

15. <u>ADJOURNMENT</u>

On order of Chairperson Miller and there being no objection, the Committee meeting was adjourned at 5:51 p.m.

Respectfully submitted,

Theadora Abraham Board Assistant VTA Office of the Board Secretary

February 16, 2017

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