



# San Gabriel Valley Council of Governments

## AGENDA AND NOTICE OF THE MEETING OF THE SGVCOG EXECUTIVE COMMITTEE

**August 6, 2018 – 12 Noon**

**SGVCOG Office**

**1000 S. Fremont Ave., Building 10, Suite 10210, Alhambra, California 91803**

Thank you for participating in today's meeting. The Executive Committee encourages public participation and invites you to share your views on agenda items.

President  
**Cynthia Sternquist**

1<sup>st</sup> Vice President  
**Margaret Clark**

2<sup>nd</sup> Vice President  
**Becky Shevlin**

3<sup>rd</sup> Vice President  
**Tim Hepburn**

Past President  
**Barbara Messina**

Transportation Chair  
**John Fasana**

Homelessness Chair  
**Joseph Lyons**

EENR Chair  
**Denis Bertone**

Water Resources Chair  
**Judy Nelson**

ACE Chair  
**Juli Costanzo**

**MEETINGS:** *Regular Meetings of the Executive Committee are held the first Monday of every month at 12:00 p.m. at the SGVCOG Office (1000 S. Fremont Ave., Building 10, Suite 10210, Alhambra, California 91803).* The Executive Committee agenda packet is available at the San Gabriel Valley Council of Government's (SGVCOG) Office, 1000 South Fremont Avenue, Suite 10210, Alhambra, CA, and on the website, [www.sgvkog.org](http://www.sgvkog.org). Copies are available via email upon request ([sgv@sgvcog.org](mailto:sgv@sgvcog.org)). Documents distributed to a majority of the Board after the posting will be available for review in the SGVCOG office and on the SGVCOG website. Your attendance at this public meeting may result in the recording of your voice.

**CITIZEN PARTICIPATION:** Your participation is welcomed and invited at all Executive Committee meetings. Time is reserved at each regular meeting for those who wish to address the Board. SGVCOG requests that persons addressing the Executive Committee refrain from making personal, slanderous, profane or disruptive remarks.

**TO ADDRESS THE EXECUTIVE COMMITTEE:** At a regular meeting, the public may comment on any matter within the jurisdiction of the Board during the public comment period and may also comment on any agenda item at the time it is discussed. At a special meeting, the public may only comment on items that are on the agenda. Members of the public wishing to speak are asked to complete a comment card or simply rise to be recognized when the Chair asks for public comments to speak. We ask that members of the public state their name for the record and keep their remarks brief. If several persons wish to address the Board on a single item, the Chair may impose a time limit on individual remarks at the beginning of discussion. **The Executive Committee may not discuss or vote on items not on the agenda.**

**AGENDA ITEMS:** The Agenda contains the regular order of business of the Executive Committee. Items on the Agenda have generally been reviewed and investigated by the staff in advance of the meeting so that the Executive Committee can be fully informed about a matter before making its decision.

**CONSENT CALENDAR:** Items listed on the Consent Calendar are considered to be routine and will be acted upon by one motion. There will be no separate discussion on these items unless a Board member or citizen so requests. In this event, the item will be removed from the Consent Calendar and considered after the Consent Calendar. If you would like an item on the Consent Calendar discussed, simply tell Staff or a member of the Executive Committee.



In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please contact the SGVCOG office at (626) 457-1800. Notification 48 hours prior to the meeting will enable the SGVCOG to make reasonable arrangement to ensure accessibility to this meeting.



**PRELIMINARY BUSINESS**

1. Call to Order
2. Roll Call
3. Public Comment (*If necessary, the President may place reasonable time limits on all comments*)
4. Changes to Agenda Order: Identify emergency items arising after agenda posting and requiring action prior to next regular meeting (*It is anticipated that the Executive Committee may take action on these matters*)

**CONSENT CALENDAR** (*It is anticipated that the Executive Committee may take action on the following matters*)

5. Executive Committee Meeting Minutes – Page 1  
*Recommended Action: Approve Executive Committee minutes.*

**UPDATE ITEMS**

- 4th Quarter Financial Report – Page 3
- Retirement Benefit Study Contract – Page 27
- Legal RFP – Page 41
- Legislative Update – Page 43

**DISCUSSION ITEMS**

- Consideration of the SGV Water Districts as Individual Voting Members

**PRESIDENT'S REPORT**

**EXECUTIVE DIRECTOR'S REPORT**

**GENERAL COUNSEL'S REPORT**

**ACTION ITEMS** (*It is anticipated that the Executive Committee may take action on the following matters*)

6. State Route 57-60 Confluence Chokepoint Relief Project Agreement – Page 49  
*Recommended Action: Authorization to execute a Project Baseline Agreement and other agreements needed to implement the State Route 57-60 Confluence Chokepoint Relief Project.*
7. Draft Governing Board Agenda – Page 103  
*Recommended Action: Approve draft Governing Board agenda.*

**CLOSED SESSION**

8. CONFERENCE WITH LEGAL COUNSEL – ANTICIPATED LITIGATION – Significant exposure to litigation pursuant to paragraph (2) of subdivision (d) of Section 54956.9: (Two cases)  
*Recommended Action: Discuss and provide direction.*

**ANNOUNCEMENTS**

**ADJOURN**



**SGVCOG**  
**Executive Committee Minutes**  
**July 2, 2018**  
**12:00 PM**  
**SGVCOG Offices, Alhambra**

**PRELIMINARY BUSINESS**

1. Call to Order

The meeting was called to order at 12:01 P.M.

2. Roll Call

**Members Present**

M. Clark, 1st Vice President  
 B. Shevlin, 3<sup>rd</sup> Vice President  
 J. Costanzo, ACE Chair  
 D. Bertone, EENR Chair  
 B. Messina, Past President  
 J. Nelson, Water Policy Chair

**Staff/Guests:**

M. Creter, Executive Director  
 M. Christoffels, Staff  
 K. Ward, Staff  
 C. Cruz, Staff

**Members Absent**

C. Sternquist, President  
 T. Hepburn, 2<sup>nd</sup> Vice President  
 J. Lyons, Homelessness Chair  
 J. Fasana, Transportation Chair

J. Cicco, Staff  
 K. Barlow, Jones & Mayer  
 D. Lazzaretto, City of Arcadia

3. Public Comment

There were no comments from the public.

4. Changes to Agenda Order:

There were no changes to the agenda.

**CONSENT CALENDAR**

5. Executive Committee Meeting Minutes

**There was a motion to approve the consent calendar (M/S: D. Bertone/B. Messina).**

**[MOTION PASSES]**

<b>AYES:</b>	M. Clark, D. Bertone, J. Costanzo, B. Messina,
<b>NOES:</b>	
<b>ABSTAIN:</b>	J. Nelson
<b>ABSENT:</b>	T. Hepburn, J. Lyons, J. Fasana, C. Sternquist, B. Shevlin

**UPDATE ITEMS**

• Homelessness Position Paper/Guiding Principle

J. Cicco reported on this item. There was a request to add language to the paper that recommends LA County examine available vacant building stock as a potential to use as temporary housing options. Staff will use existing language from Metro, as similar action was taken and incorporated. The Committee requested that the revised paper be sent to Homelessness Committee members for information.

• Benefits Study Update

M. Creter reported on this item. As a follow-up from last month's report, staff is working with two identified firms courtesy of the City of La Verne to request proposals on the benefit retirement study. Staff is anticipating to bring a draft contract to either the July or August Governing Board meeting.

- Resolutions Related to CalPERS Contract  
M. Creter reported on this item.
- Measure M Subregional Administrative Funds Contract  
M. Creter reported on this item.
- Legislative Update  
C. Cruz reported on this item.
  - The Fair Sentencing and Public Safety Act  
C. Cruz reported on this item.

#### **PRESIDENT'S REPORT**

- No report given.

#### **EXECUTIVE DIRECTOR'S REPORT**

- M. Creter reported on this item.

#### **GENERAL COUNSEL'S REPORT**

- No report given.

#### **DISCUSSION ITEMS**

- SGVCOG General Assembly 2019 Dates  
The Committee discussed that Wednesday, April 10<sup>th</sup>, 2019 would work as a potential date to hold the General Assembly.

#### **ACTION ITEMS**

6. Draft Governing Board Agenda  
There was direction to distribute Governing Board draft agenda to the Governing Board Delegates and Alternates for information once approved by the Executive Committee.  
**There was a motion to approve the Governing Board agenda as amended (M/S: D. Bertone/B. Messina).**

**[MOTION PASSES]**

<b>AYES:</b>	M. Clark, D. Bertone, B. Shevlin, J. Costanzo, B. Messina, J. Nelson
<b>NOES:</b>	
<b>ABSTAIN:</b>	
<b>ABSENT:</b>	T. Hepburn, J. Lyons, J. Fasana, C. Sternquist

#### **CLOSED SESSION**

7. CONFERENCE WITH LABOR NEGOTIATORS: Agency designated representatives: Marisa Creter, Kimberly Hall Barlow, Richard D. Jones, Dominic Lazzaretto, Bob Russi, and Brian Saeki; Unrepresented employees: All unrepresented employees pursuant to California Government Code section 54957.6.  
No action or report given.

#### **ANNOUNCEMENTS**

#### **ADJOURN**

The meeting adjourned at 1:11 PM.

# REPORT

---

DATE: August 6, 2018

TO: Executive Committee  
City Managers' Steering Committee

FROM: Marisa Creter, Executive Director

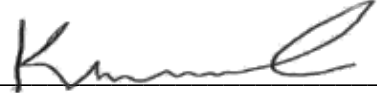
RE: **4TH QUARTER FINANCIAL REPORT**

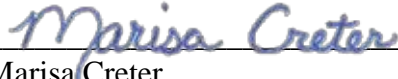
## **RECOMMENDED ACTION**

Recommend the Governing Board receive and file the 4th Quarter Financial Report.

## **BACKGROUND**

Staff is recommending to receive and file the 4<sup>th</sup> Quarter Financial Report. Attachment A contains the full report. This report contains information on both the SGVCOG and the ACE Project. The quarterly report was prepared by the Finance Department. Maritza Ramos, SGVCOG Director of Finance, will present on this item.

Prepared by:   
Katie Ward  
Senior Management Analyst

Approved by:   
Marisa Creter  
Executive Director

## **ATTACHMENTS**

Attachment A – FY 2017-18 4th Quarter Financial Report



# SGVCOG

San Gabriel Valley Council of Governments

2018 4<sup>th</sup> Quarter Reports

June 30, 2018

**SAN GABRIEL VALLEY COUNCIL OF GOVERNMENTS**

FY 2018 Fourth Quarter Report

As of June 30, 2018

	General Fund	Measure M Admn / Transportatn	SGVEWP SCE/Gas Co.	SGVEWP Strategic Plan SCE/Gas Co.	LAC Pace	Homeless Project	Metro Open Streets	FY 2017/18 Actual	FY 2018 Revised Budget	% of Budget
1 General Operating Income										
2 Member Dues	\$ 713,187	\$ 41,210	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 754,397	\$ 752,587	100%
3 Sponsorships	56,676	-	-	-	-	-	-	56,676	56,676	100%
4 Hero Revenue	14,374	-	-	-	-	-	-	14,374	12,000	120%
5 Miscellaneous Revenue	6,401	-	-	-	-	-	-	6,401	6,320	101%
6 Interest	2,298	-	-	-	-	-	-	2,298	1,409	163%
7 Total General Operating Income	792,936	41,210	-	-	-	-	-	834,146	828,992	101%
8 Grants & Special Project Income										
9 MTA Consultant	-	93,569	-	-	-	-	-	93,569	93,797	100%
11 Measure H Homeless Planning Funding	-	-	-	-	-	118,500	-	118,500	118,500	100%
12 City Homeless Planning Funding	-	-	-	-	-	513,900	-	513,900	627,000	82%
13 Energy Wise (SGVEWP) - Gas	-	-	131,206	-	-	-	-	131,206	150,000	87%
14 Energy Wise (SGVEWP) - Edison	-	-	132,293	-	-	-	-	132,293	100,000	132%
15 Strategic Plan Grant - SGVEWP	-	-	-	26,273	-	-	-	26,273	26,273	100%
16 LA County Commercial PACE Grant	-	-	-	-	37,022	-	-	37,022	37,800	98%
17 Metro Open Streets Grant	-	-	-	-	-	-	548,705	548,705	596,000	92%
18 Total Grants & Special Project Income	-	93,569	263,499	26,273	37,022	632,400	548,705	1,601,468	1,749,370	92%
19 Total Income	792,936	134,779	263,499	26,273	37,022	632,400	548,705	2,435,614	2,578,362	94%
20 General Operating Expenses										
21 <u>Ongoing Operational Contracts</u>										
22 Legal Services	69,412	-	-	-	-	-	-	69,412	76,000	91%
23 Financial Audit Services	13,712	-	4,567	464	-	1,658	-	20,400	20,400	100%
24 Treasurer	5,901	-	1,965	200	-	713	-	8,779	12,000	73%
25 Financial/Accounting Services (ACE)	8,164	-	2,719	276	-	987	-	12,146	28,000	43%
26 <u>Personnel</u>										
27 Salaries & Deferred Compensation	235,360	11,832	100,365	10,277	2,057	100,159	21,744	481,793	529,844	91%
28 Internship Program	-	-	68,576	7,422	80	-	-	76,077	90,000	85%
29 Benefits	73,962	-	24,633	2,502	-	8,943	-	110,039	110,638	99%
30 Staff Training and Professional Development	2,514	-	837	85	-	304	-	3,740	12,000	31%

**SAN GABRIEL VALLEY COUNCIL OF GOVERNMENTS**

FY 2018 Fourth Quarter Report

As of June 30, 2018

	General Fund	Measure M Admn / Transportatn	SGVEWP SCE/Gas Co.	SGVEWP Strategic Plan SCE/Gas Co.	LAC Pace	Homeless Project	Metro Open Streets	FY 2017/18 Actual	FY 2018 Revised Budget	% of Budget
31 <u>General &amp; Administrative</u>										
32 Rent & Parking	47,762	-	15,908	1,615	-	5,775	-	71,060	74,806	95%
33 Utilities	3,345	-	1,114	113	-	404	-	4,977	8,265	60%
34 Postage	381	-	127	13	-	46	-	567	2,000	28%
35 Equipment & Software Acquisition	6,365	-	2,120	215	-	770	-	9,469	10,000	95%
36 Storage	1,733	-	577	59	-	209	-	2,578	2,751	94%
37 Office Supplies	2,926	-	974	99	-	354	-	4,353	5,000	87%
38 Miscellaneous maint/ops expense	3,344	-	1,114	113	-	591	-	5,163	5,000	103%
39 Meeting/Travel	19,821	-	6,601	670	-	2,397	-	29,489	40,000	74%
40 Dues & Subscriptions	3,195	-	1,064	108	-	386	-	4,754	5,000	95%
41 Administrative Fees	2,844	-	947	96	-	344	-	4,231	3,500	121%
42 Insurance	4,503	-	1,500	152	-	544	-	6,699	8,000	84%
43 General Assembly	38,057	-	-	-	-	-	-	38,057	38,057	100%
44 <u>Consultant Services</u>										
45 City Homeless Plan Consultant	-	-	-	-	-	501,463	-	501,463	600,000	84%
46 Management Consultant Services	34,077	-	11,349	1,153	-	4,120	-	50,699	81,000	63%
47 MTA Board Support	-	122,947	-	-	-	-	-	122,947	123,212	100%
48 Transportation Technical Support (ACE)	5,466	-	1,820	185	-	661	-	8,132	25,000	33%
49 Administrative Support (ACE)	5,510	-	1,835	186	-	666	-	8,198	20,000	41%
50 ACE/SGVCOG Integration (ACE)	-	-	-	-	-	-	-	-	45,000	0%
51 Media/Public Relations	-	-	-	-	-	-	-	-	2,000	0%
52 Information Technology	1,712	-	570	58	-	207	-	2,547	2,000	127%
53 Grant Writing Services	43,080	-	-	-	-	-	-	43,080	60,000	72%
54 <u>Direct Expenses</u>										
55 Board Stipends & Taxes	14,150	-	-	-	-	-	-	14,150	16,500	86%
56 Printing / Publication	5,775	-	1,924	195	-	698	-	8,593	12,000	72%
57 <u>Direct Grant Expenses</u>										
58 LA County PACE Contract with SGVEP	-	-	-	-	34,885	-	-	34,885	34,885	100%
59 Metro Open Streets Expense	-	-	-	-	-	-	526,961	526,961	575,000	92%
60 SGVEWP Edison & Gas Expenses	-	-	10,293	17	-	-	-	10,309	40,000	26%
63 <i>Total Grant &amp; Special Project Expenses</i>	-	-	10,293	17	34,885	-	526,961	572,155	649,885	88%
64 <b>Total Expenditures</b>	<b>653,069</b>	<b>134,779</b>	<b>263,500</b>	<b>26,273</b>	<b>37,022</b>	<b>632,400</b>	<b>548,705</b>	<b>2,295,747</b>	<b>2,717,858</b>	<b>84%</b>
65 <b>Net income (Loss)</b>	<b>\$ 139,867</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 139,867</b>	<b>\$ (139,496)</b>	<b>N/A</b>

# Grants Receivable Aging Detail

## As of June 30, 2018

Month	So. California Edison - Energy Wise	So. California Gas - Energy Wise	MTA	LA County - PACE	LA County - Homelessness Planing Grant	Various Cities - Homlessness Planning Grant	Totals	Notes
Feb-18	9,144.37	-	-	-	-	27,000.00	\$ 36,144.37	\$13,000.00 San Dimas HPG recv'd 7/19/18
Mar-18	12,382.97	11,836.92	-	-	-	-	\$ 24,219.89	\$12,382.97 SCE Edison recv'd 7/17/18
Apr-18	11,637.77	8,666.03		-	-	43,400.00	\$ 63,703.80	\$19,000 Baldwin Park HPG recv'd 7/2/18
								\$7,816.42 MTA recv'd 7/9/18,
	16,736.58	11,444.84	7,816.42	-	13,166.66	123,900.00	\$ 173,064.50	\$12,500.00 Calremont HPG recv'd 7/2/18,
								\$17,500.00 Baldwin Park HPG recv'd 7/2/18,
May-18								\$12,500.00 La Puente HPG recv'd 7/5/18
Jun-18	16,698.18	10,103.80	7,816.42		13,166.66		\$ 47,785.06	
	<u>\$ 66,599.87</u>	<u>\$ 42,051.59</u>	<u>\$ 15,632.84</u>	<u>\$ -</u>	<u>\$ 26,333.32</u>	<u>\$ 194,300.00</u>	<u>\$ 344,917.62</u>	

## Comparative Summary Balance Sheet As of June 30, 2018

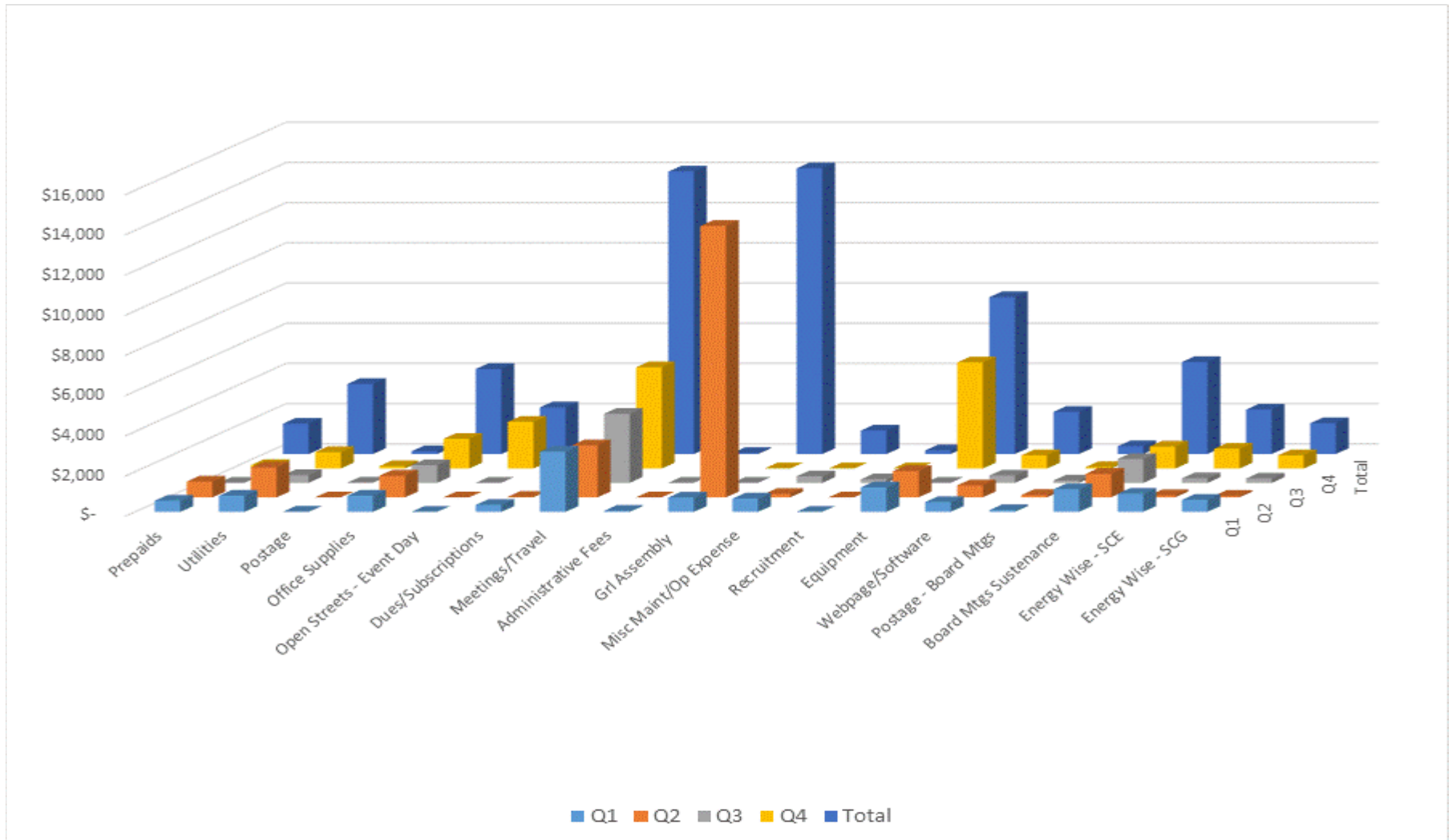
	Preliminary 06.30.2018	Change	03.31.2018
CBB - Checking	\$ 1,003,297	\$ 373,993	\$ 629,304
CBB- 242-034-325 CD	55,618	14	55,604
CBB - 2766 Savings	1,589	0	1,589
CBB -242-034-953 CD	54,851	14	54,837
Petty Cash	400	-	400
LAIF	232,550	862	231,688
LAIF Maket Value	86	-	86
Cash and equivalents	<u>1,348,390</u>	<u>\$ 374,883</u>	<u>973,507</u>
Grants/Contracts Receivable	344,918	48,163	296,754
Sponsorships Receivable	25	-	25
Rental Deposit Receivable	215	-	215
Receivable Other	2,226	2,226	-
Receivables	<u>347,383</u>	<u>50,389</u>	<u>296,994</u>
Prepays and deferrals	<u>159,046</u>	<u>5,993</u>	<u>153,053</u>
Total assets	<u>1,854,819</u>	<u>431,265</u>	<u>1,423,554</u>
Accounts Payable	341,135	258,185	82,950
Citi Bank Card	3,309	-	-
Payroll Payable	10,923	10,888	34
Accrued Vacation	27,374	1,361	26,013
Unearned Revenues - Member Cities Dues	-	(189,678)	189,678
Accruals, deferrals and other payables	516,532	368,763	147,769
Total liabilities	<u>899,273</u>	<u>449,519</u>	<u>446,445</u>
Net Position, beginning of period	815,679	-	815,679
Change in net position	139,867	(21,563)	161,430
Net Position, end of period	<u>\$ 955,546</u>	<u>\$ (21,563)</u>	<u>\$ 977,109</u>

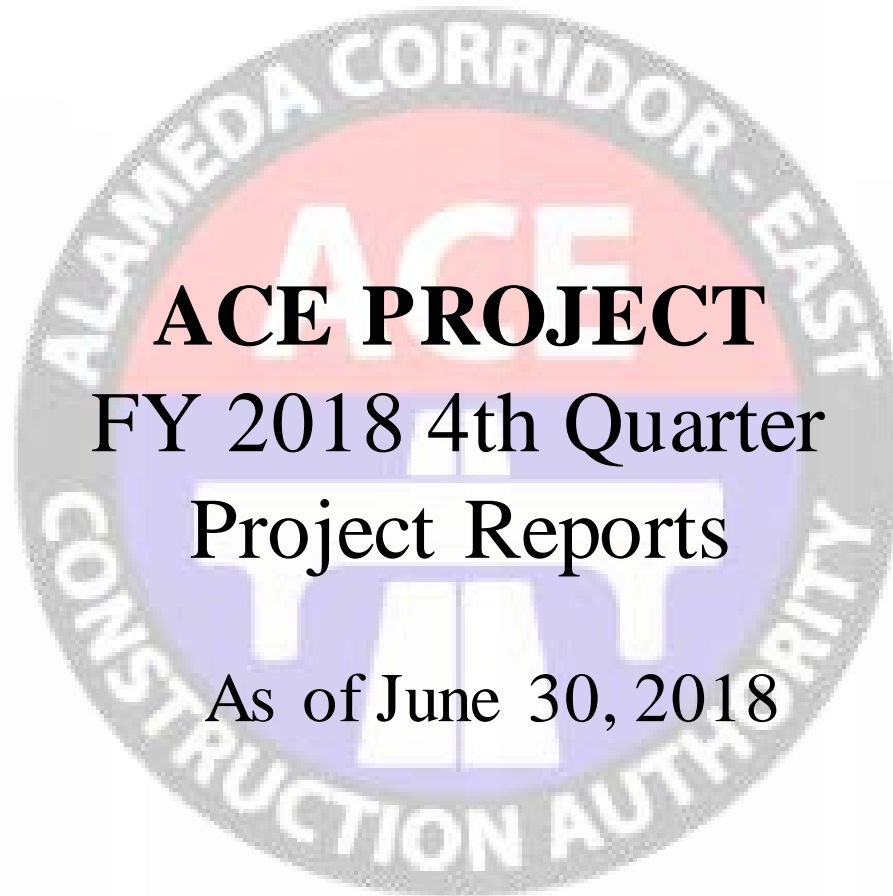
# AP Detail Aging Report

## As of June 30, 2018

Vendor Name	Vendor ID	Invoice Number	TRX Date	Amount	Check Date	Check Number
Alameda Corridor East	101	PE 0612/2018, PE13/2018	6/28/18	\$ 3,856.72	7/5/2018	9741
SGV City Manager's	201	SGVCMA-WORKSHOP18	6/28/18	170.00	7/5/2018	9742
Jake Stotz	437	JS-MILE-MAY-JUN-18	6/28/18	105.99	7/5/2018	9743
CicLAvia	491	1297	6/28/18	235,521.18	7/5/2018	9744
City of San Dimas	154	18-001-ROW-18	6/28/18	98,226.50	7/5/2018	9745
City of San Dimas	154	SD-MUSIC-18	6/28/18	50.00	7/5/2018	9746
Michael E. Powers & Associates	266	12840	6/27/18	1,408.53	7/27/2018	9763
Michael E. Powers & Associates	266	CHAIRS-18	6/29/18	1,795.80	7/27/2018	9763
<b>Grand Total</b>				<b><u>\$ 341,134.72</u></b>		

# CITICARD Charges: \$62,890 2018Q1 – 2018Q4





**ACE PROJECT**  
**FY 2018 4th Quarter**  
**Project Reports**

As of June 30, 2018

**EXHIBIT I - ACE REVENUE BY SOURCE**  
**As of June 30, 2018**

Grant		Authorized	Adjustments	Note	Net Authorized	Allocated To Projects	Surplus	Allocated Inc/(Decr)
<b>Federal</b>								
TEA - 21	Sect 0491	4,655,048	(402,000)	a	4,253,048	4,253,048	-	
TEA - 21	Sect 1017	2,205,000	(141,317)	b	2,063,683	2,063,683	-	
TEA - 21	Sect 1138	17,250,000	-		17,250,000	17,250,000	-	
TEA - 21	Sect 1533	100,000,000	-		100,000,000	100,000,000	-	
TEA - 21	Sect 198	9,562,500	(572,760)	b	8,989,740	8,989,740	-	
Hiway Fund FY 01		1,500,000	(3,300)	b	1,496,700	1,496,700	-	
NCPD FY 2000		1,240,000	-		1,240,000	1,240,000	-	
NCPD FY 2001		2,400,000	(2,565)	b	2,397,435	2,397,435	-	
NCPD FY 2002		4,000,000	(116,000)	b	3,884,000	3,884,000	-	
NCPD FY 2003		1,495,000	(10,000)	b	1,485,000	1,485,000	-	
NCPD FY 2004		2,000,000	(119,163)	b	1,880,837	1,880,837	-	
STP FY 2006		4,200,000	(42,000)	b	4,158,000	4,158,000	-	
STP FY 2009		570,000	-		570,000	570,000	-	
STP FY 2010		500,000	(85)	b	499,915	499,915	-	
AAA FY 2010		1,349,000	(230)	b	1,348,770	1,348,770	-	
SAFETEA-LU FY 05	Sect 1701	2,528,000	(255,185)	c	2,272,815	2,272,815	-	
SAFETEA-LU FY 06	Sect 1701	2,528,000	(254,883)	c	2,273,117	2,273,117	-	
SAFETEA-LU FY 07	Sect 1701	2,528,000	(252,029)	c	2,275,971	2,275,971	-	
SAFETEA-LU FY 08	Sect 1701	2,528,000	(252,029)	c	2,275,971	2,275,971	-	
SAFETEA-LU FY 09	Sect 1701	2,528,000	(251,136)	c	2,276,864	2,276,864	-	
SAFETEA-LU FY 05	Sect 1934	3,000,000	(280,077)	c	2,719,923	2,719,923	-	
SAFETEA-LU FY 06	Sect 1934	6,000,000	(560,154)	c	5,439,846	5,439,846	-	
SAFETEA-LU FY 07	Sect 1934	7,500,000	(700,192)	c	6,799,808	6,799,808	-	
SAFETEA-LU FY 08	Sect 1934	7,500,000	(700,192)	c	6,799,808	6,799,808	-	
SAFETEA-LU FY 09	Sect 1934	6,000,000	(564,181)	c	5,435,819	5,435,819	-	
SAFETEA-LU FY 05	Sect 1301	3,125,000	(247,763)	c	2,877,237	2,877,237	-	
SAFETEA-LU FY 06	Sect 1301	6,250,000	(495,526)	c	5,754,474	5,754,474	-	
SAFETEA-LU FY 07	Sect 1301	7,812,500	(619,407)	c	7,193,093	7,193,093	-	
SAFETEA-LU FY 08	Sect 1301	7,812,500	(619,407)	c	7,193,093	7,193,093	-	
SAFETEA-LU FY 09	Sect 1301	6,250,000	(951,578)	c	5,298,422	5,298,422	-	
FRA		2,544,100	-		2,544,100	2,544,100	-	
PUC (Section 130)		10,000,000	-		10,000,000	10,000,000	-	
ISTEA (Nogales-LA)		6,936,147	-		6,936,147	6,936,147	-	
CMAQ (Nogales-LA)		6,347,000	-		6,347,000	6,347,000	-	
	<b>Subtotal</b>	<b>252,643,795</b>	<b>(8,413,159)</b>		<b>244,230,636</b>	<b>244,230,636</b>	<b>-</b>	
<b>State</b>								
ITIP		39,000,000	(18,426)	d	38,981,574	38,981,574	-	
PUC (Section 190)		10,000,000	-		10,000,000	10,000,000	-	
TCRP		150,000,000	(19,700,000)	e	130,300,000	130,300,000	-	
Prop 1B-HRCSA (Nogales-LA/Fullerton/Durfee)		46,612,000	-		46,612,000	46,612,000	-	
TCIF (SGT/Baldwin/Fairway/Puente/Durfee)		422,196,000	-		422,196,000	422,196,000	-	
	<b>Subtotal</b>	<b>667,808,000</b>	<b>(19,718,426)</b>		<b>648,089,574</b>	<b>648,089,574</b>	<b>-</b>	
<b>Local</b>								
MTA 1 (FY 98-02)	C 25%	37,500,000	(23,360,000)	f	14,140,000	14,140,000	-	
MTA 2 (FY 03-05)	C 10%	1,857,000	-		1,857,000	1,857,000	-	
MTA 2 (FY 03-05)	C 25%	13,178,000	-		13,178,000	13,178,000	-	
MTA 2 (FY 03-05)	AB 3090	9,308,000	-		9,308,000	9,308,000	-	
MTA 2 (FY 03-05)	STIP-RIP	5,496,000	-		5,496,000	5,496,000	-	
MTA 3 (FY 06-09)	C 25%	85,000,000	-		85,000,000	85,000,000	-	
MTA 4 (FY 09-15)	C 25%-Remaining	28,566,800	-		28,566,800	28,566,800	-	
MTA 5 (FY 09-15)	C 25%-Supplemental	112,324,000	-		112,324,000	112,324,000	-	
MTA 6 (Nogales-LA)	C 25%	28,849,000	-		28,849,000	28,849,000	-	
MTA 7 (Phase II)	Measure R	400,000,000	-	g	400,000,000	400,000,000	-	
	<b>Subtotal</b>	<b>722,078,800</b>	<b>(23,360,000)</b>		<b>698,718,800</b>	<b>698,718,800</b>	<b>-</b>	
<b>Other Sources</b>								
Railroad (UPRR/Metrolink)		40,551,669	(4,183,500)	h	36,368,169	24,858,433	11,509,736	
Cities/LA County (Nogales-LA)		9,915,303	-		9,915,303	9,915,303	-	
Betterments (Cities/Metrolink)		54,527,807	-		54,527,807	54,527,807	-	
MWD (Brea Canyon)		2,207,402	-		2,207,402	2,207,402	-	
Property Sale		7,186,277	(4,184,700)	i	3,001,577	3,001,577	-	
	<b>Subtotal</b>	<b>114,388,458</b>	<b>(8,368,200)</b>		<b>106,020,258</b>	<b>94,510,522</b>	<b>11,509,736</b>	
<b>TOTAL GRANTS</b>		<b>1,756,919,053</b>	<b>(59,859,785)</b>		<b>1,697,059,268</b>	<b>1,685,549,532</b>	<b>11,509,736</b>	
<b>Other Income</b>								
Property Rental Income		139,316	-		139,316	-	139,316	
Recovered Costs		142,288	-	j	142,288	-	142,288	
	<b>Subtotal</b>	<b>281,604</b>	<b>-</b>		<b>281,604</b>	<b>-</b>	<b>281,604</b>	
<b>TOTAL ACE Construction</b>		<b>1,757,200,657</b>	<b>(59,859,785)</b>		<b>1,697,340,872</b>	<b>1,685,549,532</b>	<b>11,791,340</b>	<b>-</b>

**Notes:**

- a) Transferred by LA County to ACE for the Nogales-LA project.
- b) Federal budgetary reduction.
- c) Based on Caltrans updated OA, appropriations reduced by 10% instead of 15%.
- d) \$18K for Ramona lapsed in June 2008 prior to project closeout.
- e) \$19.7 million programmed to other entities (yet to be allocated by State).
- f) Allocated to City of LA.
- g) Of the \$400M Measure R funds, \$135M has executed MOU.
- h) Based on individual projects, UPRR paid 1/2 before and 1/2 after construction phase.
- Due to phasing of construction, only \$27.753M has been received. \$4.184M adjustment is for Temple project.
- i) Sale of Nogales(Ah) property used to reduce expenditures billed to Caltrans.
- j) Costs recovered after a project had been closed.

**EXHIBIT II - ACE PROJECTS FUNDING BY SOURCE**  
As of June 30, 2018  
(\$ 000's)

Project	Task	Fed #	Total	TEA-21	NCPD/SIP	SAFETEA	ITIP	ISTEA/CMAQ	FRA/PUC	TCRP	Prop 1B	MTA 1	MTA 2	MTA 3	MTA 4	MTA 5	MTA 6	MTA 7	Railroad	Prop Sale	Cities/Bentl
212 At-Grade Crossing	Design	n/a	4,463	-	-	-	-	-	-	-	-	-	-	-	-	100	-	-	-	-	-
	ROW	n/a	1,075	-	-	-	-	-	-	-	-	-	-	-	-	1,075	-	-	-	-	-
	Constr	n/a	17,378	-	-	-	-	-	-	-	-	-	-	-	-	-	-	17,378	-	-	-
At-Grade Crossing Total			22,916	-	-	-	-	-	-	-	-	-	-	-	-	1,175	-	-	21,741	-	-
102 Baldwin	Design	(017)	5,390	3,013	-	-	753	-	-	-	-	-	-	495	696	432	-	-	-	-	-
	ROW	(028)	37,237	-	-	21,008	-	-	-	-	27,738	-	-	9,382	2,500	4,347	-	-	-	-	-
	Constr	(017)	27,738	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Baldwin Total			70,365	3,013	-	21,008	753	-	-	-	27,738	-	-	9,877	3,196	4,779	-	-	-	-	-
208 Durfee	Design	(039)	9,740	-	-	6,984	-	-	-	-	-	-	-	-	-	2,756	-	-	-	-	-
	ROW	n/a	27,365	-	1,349	3,556	n/a	-	-	-	5,326	-	-	-	-	10,847	-	8,719	-	2,894	-
	Constr	n/a	54,038	-	-	6,697	-	-	-	-	-	-	-	-	-	-	-	40,997	-	1,017	-
Durfee Total			91,142	-	1,349	17,237	-	-	-	-	5,326	-	-	-	-	13,603	-	49,716	-	3,911	-
204 Fairway-LA	Design	(036)	8,231	-	-	-	-	-	-	-	-	-	-	-	60	8,171	-	-	-	-	-
	ROW	n/a	31,603	-	-	-	-	-	-	-	-	-	-	-	-	657	-	30,946	-	-	-
	Constr	n/a	99,523	-	-	-	-	-	-	-	71,000	-	-	-	-	-	-	18,607	-	-	-
Fairway-LA Total			158,357	-	-	-	-	-	-	-	71,000	-	-	-	60	8,828	-	49,553	-	-	19,000
207 Fullerton	Design	n/a	10,698	-	-	-	-	-	-	-	-	-	-	-	-	1,970	-	8,728	-	-	-
	ROW	n/a	27,061	-	-	-	-	-	-	-	-	-	-	-	-	17,739	-	9,322	-	-	-
	Constr	n/a	114,625	-	-	-	-	-	-	-	53,366	-	-	-	-	8,001	-	40,912	-	4,508	7,838
Fullerton Total			152,383	-	-	-	-	-	-	-	53,366	-	-	-	-	27,709	-	58,962	-	4,508	7,838
205 Hamilton	Design	n/a	1,767	-	-	-	-	-	-	-	-	-	-	-	-	1,242	-	525	-	-	-
	ROW	n/a	22	-	-	-	-	-	-	-	-	-	-	-	-	22	-	-	-	-	-
	Constr	n/a	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Hamilton Total			1,789	-	-	-	-	-	-	-	-	-	-	-	-	1,264	-	525	-	-	-
209 Montebello	Design	n/a	13,530	-	-	-	-	-	-	-	-	-	-	-	-	5,530	-	8,000	-	-	-
	ROW	n/a	29,660	-	-	-	-	-	-	-	-	-	-	-	-	911	-	28,749	-	-	-
	Constr	n/a	103,213	-	-	-	-	-	-	-	-	-	-	-	-	-	-	103,213	-	-	-
Montebello Total			146,403	-	-	-	-	-	-	-	-	-	-	-	-	6,441	-	139,961	-	-	-
250 Nogales-LA	Design	(032)	4,706	932	-	-	-	-	-	-	-	-	-	-	-	-	1,766	-	-	2,008	-
	ROW	(035)	51,624	-	-	-	-	6,936	1,109	-	-	-	-	-	-	6,877	27,083	-	2,883	1,329	5,407
	Constr	(032)	64,759	3,321	570	9,535	-	6,347	16,435	-	25,600	-	-	-	-	-	-	40,912	4,508	1,946	1,004
Nogales-LA Total			121,088	4,253	570	9,535	-	13,283	17,544	-	25,600	-	-	-	-	6,877	28,849	-	2,883	3,275	8,419
202 Puente	Design	(034)	9,413	-	-	-	(0)	-	-	-	-	-	-	-	84	9,329	-	-	-	-	-
	ROW	n/a	30,768	-	-	-	-	-	-	-	-	-	-	-	-	9,683	-	21,085	-	-	-
	Constr	(040)	57,196	-	-	-	-	-	-	-	48,000	-	-	-	84	984	-	8,212	-	-	-
Puente Total			97,377	-	-	-	(0)	-	-	-	48,000	-	-	-	84	19,996	-	29,297	-	-	-
201 SG Trench	Design	(030)	33,458	120	1,881	11,913	-	-	-	-	-	3	27	3,006	1,365	-	-	15,144	-	-	-
	ROW	n/a	33,273	-	500	-	-	-	-	-	-	-	-	-	-	3,732	-	26,856	-	-	2,185
	Constr	(037)(038)	246,026	-	-	-	-	-	-	-	237,778	-	-	-	-	5,323	-	-	-	-	2,925
SG Trench Total			312,758	120	2,381	11,913	-	-	-	-	237,778	3	27	3,006	1,365	9,055	-	42,000	-	-	5,110
109 Temple	Design	(009)	7,267	4,680	-	-	-	-	-	-	-	1,168	151	978	288	-	-	-	-	2	-
	ROW	(009)	12,941	7,768	-	-	-	-	-	-	-	969	1,370	2,260	-	-	-	-	574	-	-
	Constr	(009)	75,425	32,932	3,884	-	-	-	1,387	-	-	33	7,589	13,505	3,950	5,764	-	-	6,382	-	-
Temple Total			95,633	45,380	3,884	-	-	-	1,387	-	-	2,169	9,110	16,743	4,238	5,764	-	-	6,958	-	-
210 Turnbull Cyn	Design	n/a	10,000	-	-	-	-	-	-	-	-	-	-	-	-	1,755	-	8,245	-	-	-
	ROW	n/a	106	-	-	-	-	-	-	-	-	-	-	-	-	106	-	-	-	-	-
	Constr	n/a	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Turnbull Cyn Total			10,106	-	-	-	-	-	-	-	-	-	-	-	-	1,861	-	8,245	-	-	-

Page 13 of 106

**EXHIBIT II - ACE PROJECTS FUNDING BY SOURCE**  
As of June 30, 2018  
(\$ 000's)

Project	Task	Fed #	AM																	Railroad	Prop Sale	Cities/Beats
			Total	TEA-21	NCPD/STP	SAFETEA	ITP	ISTEA/CMQ	FRA/PUC	TCRP	Prop 1B	MTA 1	MTA 2	MTA 3	MTA 4	MTA 5	MTA 6	MTA 7				
101 Ramona	Design	(002)	4,355	3,560	-	-	-	-	-	-	-	795	-	-	-	-	-	-	-	-		
	ROW	(002)	8,156	2,400	-	-	-	-	-	-	-	215	5,494	48	-	-	-	-	-	-		
	Constr	(002)	40,580	16,684	4,158	-	5,533	-	-	-	-	8,083	2,324	1,680	-	-	-	-	-	-		
	Ramona Total		53,091	22,644	4,158	-	5,533	-	-	-	-	1,010	13,577	2,372	1,680	-	-	-	-	-		
105 Nogales-AH	Design	(005)	4,034	2,560	-	-	-	1,473	-	-	-	-	1	-	-	-	-	-	-	-		
	ROW	(005)	17,231	12,970	2,397	-	-	3,407	-	-	-	700	1,940	-	-	-	-	-	-	-		
	Constr	(005)	28,534	1,841	-	-	-	21,580	-	-	4,406	382	225	-	-	-	-	-	-	-		
	Nogales-AH Total		49,798	17,372	2,397	-	-	26,460	-	-	4,406	1,082	2,166	-	-	-	-	-	-	-		
106 Sunset	Design	(020)	4,739	-	-	-	-	-	-	4,400	-	-	-	339	-	-	-	-	-	-		
	ROW	(026)	3,326	100	-	1,673	-	-	-	100	-	-	-	555	-	-	-	-	-	-		
	Constr	TCRP	85,797	-	-	-	-	-	-	47,720	-	-	-	14,607	16,691	345	-	-	-	-		
	Sunset Total		93,862	100	-	1,673	-	-	-	52,220	-	-	-	15,511	16,691	1,232	-	-	-	-		
110 East End	Design	(003)	4,295	1,952	1,240	-	-	952	-	-	-	-	97	54	-	-	-	-	-	-		
	ROW	(003)	4,478	3,131	-	-	-	1,347	-	-	-	-	-	-	-	-	-	-	-	-		
	Design	(010)	3,620	2,896	-	-	-	600	-	-	-	122	2	-	-	-	-	-	-	-		
104 Reservoir	ROW	(010)	9,431	5,718	-	-	-	2,255	-	-	-	-	286	919	253	-	-	-	-	-		
	Constr	TCRP	57,176	-	-	-	-	407	-	-	46,780	433	9,557	-	-	-	-	-	-	-		
	EE/Reservoir Total		79,000	13,697	1,240	-	-	5,561	-	-	46,780	122	818	10,530	253	-	-	-	-	-		
111 Brea Canyon	Design	(019)	4,556	1,191	-	-	-	410	-	-	2,500	-	-	455	-	-	-	-	-	-		
	ROW	(027)	12,881	-	1,485	5,521	-	-	-	2,000	-	-	-	3,875	-	-	-	-	-	-		
	Constr	TCRP	56,466	-	-	-	-	-	-	21,007	-	-	-	21,745	-	-	-	-	-	-		
	Brea Canyon Total		73,903	1,191	1,485	5,521	410	-	-	25,507	-	-	-	26,075	-	-	-	-	-	-		
309 JS - Phase 3	Design	(001)	8,057	6,072	-	-	-	265	-	-	-	1,541	-	179	-	-	-	-	-	-		
	ROW	(001)	-	-	-	-	-	-	-	-	-	612	239	(134)	-	-	-	-	-	-		
	Constr	(001)	3,582	2,866	-	-	-	-	-	-	-	2,153	239	45	-	-	-	-	-	-		
	JS - Phase 3 Sub-Total		11,639	8,938	-	-	-	265	-	-	-	2,153	239	45	-	-	-	-	-	-		
312 JS - Mission	Design	(006)	242	240	-	-	-	-	-	-	-	2	(2)	-	-	-	-	-	-	-		
	ROW	(006)	158	160	-	-	-	-	-	-	-	515	96	81	-	-	-	-	-	-		
	Constr	(015)	2,270	1,578	-	-	-	-	-	-	-	517	94	81	-	-	-	-	-	-		
	JS - Mission Sub-Total		2,670	1,978	-	-	-	-	-	-	-	517	94	81	-	-	-	-	-	-		
315 JS - Quad Gates	Constr	(016)	4,832	3,863	-	-	-	-	-	-	-	888	38	43	-	-	-	-	-	-		
320 IRRIS - Train	Constr	(007)	2,936	2,164	-	-	-	-	-	-	-	374	167	231	-	-	-	-	-	-		
321 JS - Phase 1	Constr	(008)	3,553	2,845	-	-	-	-	-	-	-	96	615	(2)	-	-	-	-	-	-		
322 JS - Phase 2	Constr	(014)	4,991	3,992	-	-	-	-	-	-	-	1,000	(1)	-	-	-	-	-	-	-		
325 IRRIS - Traffic JS/Safety/IRIS Total	Constr	(021)	3,520	2,502	-	-	-	-	-	-	-	727	290	-	-	-	-	-	-	-		
			34,141	26,282	-	-	-	265	-	-	-	4,028	2,880	686	-	-	-	-	-	-		
Total Projects			1,664,113	134,053	17,464	66,886	38,982	13,283	22,544	130,300	468,808	8,414	28,578	84,800	27,567	108,585	28,849	400,000	15,349	3,002		
Start-up/Misc	MTA	n/a	21,436	-	-	-	-	-	-	-	-	5,776	1,261	200	1,000	3,739	-	-	9,510	-		
Total ACE			1,685,550	134,053	17,464	66,886	38,982	13,283	22,544	130,300	468,808	14,140	29,839	85,000	28,567	112,324	28,849	400,000	24,858	3,002		
Net Authorized Allocated to Projects			1,697,060	134,053	17,464	66,886	38,982	13,283	22,544	130,300	468,808	14,140	29,839	85,000	28,567	112,324	28,849	400,000	36,368	3,002		
Surplus / (Shortfall)			1,685,550	134,053	17,464	66,886	38,982	13,283	22,544	130,300	468,808	14,140	29,839	85,000	28,567	112,324	28,849	400,000	24,858	3,002		
Other Income			282	(0)	0	(0)	0	(0)	(0)	-	-	-	-	-	0	-	-	-	-	0		
Total Surplus / (Shortfall)			11,792	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		

MTA 1 : MCO P0004367  
MTA 2 : MCOU 8002  
MTA 3 : AMENDMENTS TO MCOU  
MTA 6 : MCOU P000F159 (Nogales-1A)  
MTA 7 : MCOU 8002R (Measure R-Phase II)

Page 14 of 100

MTA 1: MOU P0004367  
MTA 2: MOU 8002  
MTA 3-5: AMENDMENTS TO MOU  
MTA 6: MOU P000F159 (Nogales-LA)  
MTA 7: MOU 8002R (Measure R-Phase II)

# Exhibit III

## ACE Projects Allocation vs. Actual Summary

As of June 30, 2018

(\$ 000's)							
Project	Cost Estimate (1997)	Cost Estimate (2006)	(Exhibit II) Total Allocated to Projects	ITD Expenditures (Exhibit V)	Estimate at ** Completion Exhibit IV	Variance (Allocated vs. Estimate at Completion)	Status
Start-up/Misc			\$ 21,436	\$ 19,904			
ACE Projects							
1 At-Grade Crossing Safety Improvements	N/A	N/A	\$ 22,916	\$ 2,091	\$ 22,916	\$ -	Active
2 Durfee Road	N/A	N/A	91,143	27,383	91,143	-	Active
3 Fairway Drive (LA)	N/A	N/A	158,357	95,155	178,916	(20,559)	Active
4 Fullerton Road	N/A	N/A	152,383	57,555	152,384	(1)	Active
5 Montebello Corridor	N/A	N/A	146,403	6,389	160,045	(13,642)	Active
6 Nogales South (LA)	24,307	N/A	121,088	117,587	120,772	316	Active
7 Puente Avenue	N/A	N/A	97,377	81,051	97,377	-	Active
8 San Gabriel Trench	198,205	N/A	312,758	271,733	293,671	19,087	Active
9 Temple Avenue	35,985	80,272	95,633	94,681	94,825	808	Active
10 Turnbull Canyon Road	N/A	N/A	10,106	1,105	10,000	106	Preliminary
11 Baldwin Avenue	23,994	64,765	70,365	70,365	70,365	-	Closed
12 Brea Canyon	26,571	64,401	73,903	73,459	73,903	-	Closed
13 Crossing Safety/RRIS	61,000	35,200	34,141	34,343	34,141	-	Closed
14 East End/Reservoir	56,571	69,180	79,000	78,960	79,000	-	Closed
15 Hamilton Blvd	N/A	N/A	1,789	1,789	1,789	-	Closed
16 Nogales North (Alh)	39,636	54,599	49,798	49,797	49,798	-	Closed
17 Ramona Blvd	14,489	47,102	53,091	53,091	53,091	-	Closed
18 Sunset Avenue	22,259	70,502	93,862	93,794	93,862	-	Closed
Subtotal	\$ 503,017	\$ 486,021	1,685,550	\$ 1,230,231	\$ 1,677,998	\$ (13,885)	
Estimated Total Project Cost	\$ 950,000	\$ 1,400,000					

\*\* Excludes Start-up/Misc of \$21,436M to agree with Exhibit-IV EAC.

# **Exhibit IV** **Expenditure Forecast** **(Active Projects)**

As of June 30, 2018  
(\$ millions)

	ITD	Budget	Estimate <sup>A</sup>	Forecast					EAC <sup>C</sup>	
	2017	2018	2019	2020	2021	2022 <sup>B</sup>	Q3 FY18	Change	Q4 FY18	
<b>Active Projects</b>										
At-Grade Crossing Safety	1.5	1.8	0.8	1.4	9.9	9.0	0.3	22.9	22.9	
Durfee Road	23.5	16.3	4.4	14.0	26.4	21.5	1.3	91.1	91.1	
Fairway Drive (LA)	77.4	45.8	28.3	28.8	21.4	20.0	8.6	178.9	184.5	5.6 <sup>B</sup>
Fullerton Road	50.7	25.8	11.8	33.9	30.2	25.8		152.4	152.4	
Montebello Corridor	4.6	5.8	2.7	23.3	29.9	30.3	69.2	160.0	160.0	
Nogales (LA)	117.0	1.7	0.8	3.0				120.8	120.8	
Puente Ave	70.1	21.1	14.1	13.2				97.4	97.4	
San Gabriel Trench	256.3	22.9	18.6	18.8				293.7	293.7	
Temple	94.0	0.9	0.7	0.1				94.8	94.8	
Turnbull Canyon Rd	0.7	1.8	1.0	4.0	4.3			10.0	10.0	
<b>Completed Projects</b>										
Baldwin	70.4							70.4	70.4	
Brea Cyn	73.4							73.9	73.9	
Crossing Safety/IRIS	34.2							34.2	34.2	
East End/Reservoir	79.0							79.0	79.0	
Hamilton Blvd.	1.8							1.8	1.8	
Nogales (Alh)	49.6							49.8	49.8	
Ramona	53.1							53.1	53.1	
Sunset	93.8							93.8	93.8	
<b>Total</b>	<b>1,151.1</b>	<b>143.9</b>	<b>83.2</b>	<b>140.5</b>	<b>122.1</b>	<b>106.6</b>	<b>79.4</b>	<b>1,678.0</b>	<b>5.6</b>	<b>1,683.6</b>

Note: Project forecasts include indirect cost.

<sup>A</sup> 2018 estimate includes mid-year adjustments

<sup>B</sup> Includes costs beyond FY 2022

<sup>C</sup> EAC includes 2018 estimate

<sup>B</sup> Change in revenue accounting

# Exhibit V

## ACE Expenditures vs. Reimbursements

As of June 30 , 2018

Reimbursement Status (\$ 000)						
Projects	RTD		Current / 30 Days or less	Aged Receivable	To Be Billed	MTA Retention
	Expenditures	Received				
At Grade Crossing	\$ 2,328	\$ 2,187	\$ -	\$ -	139	\$ 3
Durfee	28,196	27,704	-	-	431	61
Fairway Drive	87,421	79,776	-	1,743	5,775	128
Fairway-Lemon Bettemment	18,409	13,852	5,149	-	(591)	-
Fullerton	61,566	58,336	-	423	2,438	368
Montebello	7,238	6,125	-	-	1,104	10
Maple Ave.	2	-	-	-	2	-
Nogales (LA)	117,980	111,472	-	1,732	4,317	460
Puente Ave.	85,331	80,271	-	2,405	2,588	67
SG Trench	279,035	271,648	3,382	3,592	400	13
Temple	94,682	94,456	-	-	7	219
Turnbull Cyn.	1,434	988	-	-	408	38
Baldwin	70,365	70,363	-	-	-	2
Brea Canyon	73,459	73,459	-	-	-	-
Crossing Safety / IRRIS	34,343	34,343	-	-	-	-
EE/Reservoir	78,960	78,960	-	-	-	-
Hamilton	1,789	1,789	-	-	-	-
Nogales (AH)	49,797	49,797	-	-	-	-
Ramona	53,091	53,091	-	-	-	-
Sunset	93,794	93,794	-	-	-	-
Sub-total Projects	1,239,220	1,202,408	8,531	9,896	17,017	1,367
Project Administration	19,979	19,854	-	-	125	-
Total ACE	1,259,199	1,222,262	8,531	9,896	17,142	1,367
Non-Grade Separation						
Rio Honda	3	-	-	-	3	-
	1,259,202	1,222,262	8,531	9,896	17,145	1,367

# **Exhibit VI** **Project Schedules** As of 06/30/18

Activity Name	FY2018				FY2019				FY2020				FY2021				FY2022			
	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4
<b>ACTIVE PROJECTS</b>																				
<b>At-Grade Crossing Safety (Pomona)</b>																				
Design																				
Construction																				
Caltrans Closeout																				
<b>Durfee Avenue</b>																				
ROW Acquisition																				
Design																				
Construction																				
Caltrans Closeout (Extends beyond reporting period)																				
<b>Fairway Drive (LA)</b>																				
ROW Acquisition (Completed)																				
Design (Completed)																				
Construction																				
Caltrans Closeout (Extends beyond reporting period)																				
<b>Fulleton Road</b>																				
ROW Acquisition (Completed)																				
Design (Completed)																				
Construction																				
Caltrans Closeout (Extends beyond reporting period)																				
<b>Montebello Corridor</b>																				
Design																				
ROW Acquisition																				
Construction (Extends beyond reporting period)																				
Caltrans Closeout (Occurs after reporting period)																				
<b>Puente Avenue</b>																				
ROW Acquisition (Completed)																				
Design (Completed)																				
Construction																				
Caltrans Closeout																				
<b>San Gabriel Trench</b>																				
Design (Completed)																				
ROW Acquisition (Completed)																				
Construction																				
Caltrans Closeout																				

# **Exhibit VI** **Project Schedules** As of 06/30/18

Activity Name	FY2018				FY2019				FY2020				FY2021				FY2022			
	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4	FQ1	FQ2	FQ3	FQ4
<b>Turnbull Canyon</b>																				
Design																				
ROW Acquisition																				
Construction (Extends beyond reporting period)																				
Caltrans Closeout (Occurs after reporting period)																				
<b>COMPLETED AND CLOSED</b>																				
<b>No Program</b>																				
Nogales Street (A/R)																				
Ramona Blvd																				
Brea Canyon Blvd																				
Crossing Safety/IRIS																				
East End/Reservoir																				
Sunset Avenue																				
Temple Ave																				
Hamilton Blvd																				
Baldwin Ave																				
Nogales Street (LA)																				

 Previous Report
 Remaining Work
 Actual Work
 Critical Remaining Work

# Exhibit VII

## Treasury / Banking Investments

As of June 30, 2018

	Preliminary 06.30.2018	Change	03.31.2018
<b>Cash on hand</b>			
Operating Account	\$ 2,860,919	\$ (114,664)	\$ 2,975,584
Money Market Account (2)	3,834,836	(6,305,334)	10,140,171
Money Market (UPRR Contributions)	7,722,010	6,734	7,715,275
<b>Total cash on hand</b>	<b>14,417,765</b>	<b>(6,413,264)</b>	<b>20,831,030</b>
<b>Investments</b>			
LAIF	1,612,328	5,977	1,606,352
CBT - Fixed Income at cost	26,448,540	1,794	26,446,746
<b>Total investments</b>	<b>28,060,868</b>	<b>7,770</b>	<b>28,053,098</b>
<b>Current - 30 days or less</b>			
<b>Aged Receivable</b>	<b>8,531,161</b>	<b>3,734,855</b>	<b>4,796,307</b>
<b>To Be Billed</b>	<b>9,895,649</b>	<b>3,386,374</b>	<b>6,509,275</b>
<b>MTA Retention</b>	<b>17,145,160</b>	<b>4,401,684</b>	<b>12,743,477</b>
<b>Total Exhibit V</b>	<b>1,367,157</b>	<b>100,841</b>	<b>1,266,316</b>
	<b>36,939,128</b>	<b>11,623,754</b>	<b>25,315,374</b>
Other receivables, prepaids and deferred costs			
<b>Total Cash, Cash Equivalents &amp; Receivables</b>	<b>4,741,197</b>	<b>938,650</b>	<b>3,802,547</b>
	<b>84,158,958</b>	<b>6,156,910</b>	<b>78,002,048</b>
<b>Liabilities</b>			
Payables & other Accruals	5,446,325	4,244,744	1,201,581
Unearned revenues	20,180,316	1,494,746	18,685,570
MTA Working Capital Loan	45,000,000	-	45,000,000
<b>Total liabilities</b>	<b>70,626,642</b>	<b>5,739,490</b>	<b>64,887,151</b>
<b>Fund balance</b>			
Resources net of actual liabilities	13,532,316	417,419	13,114,897
Less estimated:			
CalPERS - Hypothetical termination liability	6,347,036	-	6,347,036
<b>Resources net of estimated liabilities</b>	<b>\$ 7,185,280</b>	<b>\$ 417,419</b>	<b>\$ 6,767,861</b>

- Represents surplus property appraised value, net proceeds from sale of ROW surplus properties, advanced UPRR funding, disallowed retention, and Betterment funds billed in advance to City of Industry for Fairway Drive and Fullerton projects.
- Updated based on CalPERS's annual valuation report as of June 30, 2016.
- Increase represents final UPRR contribution received for Puente Ave project, offset by Temple 4th track current fiscal year expenditures applied to UPRR contribution received in prior year, and unrealized decrease in market value of fixed cost portfolio securities.

## Exhibit VII

# Treasury / Banking Investments

As of June 30, 2018

Deposit/ Investment Amount 06.30.18	% of Invest- ments	Bank Deposits	Maximum Maturity	Maximum Percent of Portfolio	Maximum Investment in One Issuer
		Ace deposits are held by Citizens Business Bank (CBB) under a deposit agreement in amounts not to exceed \$50 million. Under the agreement, CBB maintains collateral deposits of at least 110% of the value of all ACE deposits at Bank of New York Mellon in eligible securities. The CBB deposits accounts are:			
\$ 2,860,919		Checking Account			
\$ 11,556,846		Money Market Accounts (3) *			
14,417,765		Total Deposits			
		Permitted Investments **			
11,998,787	42.76%	Government Securities (3.74 - 5.00 years)	5 years	50%	15%<=
7,508,157	26.76%	Corporate Bonds (4.21 - 4.99 years)	5 years	30%	10%<=
1,284,398	4.58%	Gov't Mortgages (4.13 - 4.80 years)	5 years	15%	None stated
1,357,405	4.84%	Municipals (1.42 - 5.03 years)	None stated	None stated	None stated
3,532,980	12.59%	CDs (2.95 - 5.01 years)	5 years	30%	10%<=
766,813	2.73%	Cash and Cash Equivalents	None stated	None stated	None stated
26,448,540	94.25%	Subtotal Investments - Book value *			
1,612,328	5.75%	State's Local Agency Investment Fund	None stated	None stated	None stated
28,060,868	100.00%	Total Investments			
\$ 42,478,634		Total			

# Fixed Income Investments Portfolio

## June30, 2018

Cusip	Name	Coupon	Yield to Maturity	Purchase Date	Maturity Date	Current Price	Par Value	Market Value	Current Book Value
3130A8E19	Federal Home Loan Bank	1.64	2.291	6/14/2016	6/14/2021	96.338	100.000	96.938	100.000
3130A8N16	Federal Home Loan Bank	1.48	2.265	7/28/2016	7/13/2021	96.337	200.000	192.674	200.000
3130A8G54	Federal Home Loan Bank	1.70	2.463	10/12/2016	10/12/2021	96.430	600.000	578.580	600.000
3130A8A26	Federal Home Loan Bank	1.80	2.533	11/30/2016	11/26/2021	96.585	300.000	289.727	299.727
3130A8D28	Federal Home Loan Bank	3.00	3.097	4/17/2018	4/17/2023	99.553	200.000	199.106	200.000
3130E7291	Federal Farm Credit Bank	1.62	2.286	4/12/2016	4/12/2021	96.868	500.000	484.340	499.545
3134G9308	Freddie Mac	1.68	2.689	8/25/2016	8/25/2021	95.308	400.000	381.232	400.000
3134G9317	Freddie Mac	1.60	2.332	8/25/2016	8/25/2021	96.561	700.000	675.927	700.000
3134GAE10	Freddie Mac	1.50	2.306	9/30/2016	3/30/2021	96.575	1,000.000	965.750	999.480
3134GAH32	Freddie Mac	1.60	2.471	9/30/2016	9/30/2021	96.927	800.000	767.416	799.480
3134GAH22	Freddie Mac	1.60	2.595	10/27/2016	10/27/2021	96.362	300.000	286.086	300.000
3134GAZ18	Freddie Mac	2.05	2.645	12/30/2016	12/30/2021	97.216	200.000	194.432	200.000
3134GBU19	Freddie Mac	2.15	2.847	6/29/2017	6/29/2022	97.735	500.000	483.860	500.000
3134GB302	Freddie Mac	2.20	2.740	11/29/2017	11/29/2022	97.735	400.000	483.860	400.000
3134GB733	Freddie Mac	2.50	2.917	12/29/2017	12/29/2022	98.070	300.000	392.280	399.175
3134GSE04	Freddie Mac	3.00	3.062	4/23/2018	3/15/2022	96.773	170.000	299.157	299.175
3134GBF56	Freddie Mac	3.13	3.134	5/31/2018	5/16/2023	99.957	800.000	799.656	799.656
3134GSPD1	Freddie Mac	3.13	3.317	6/14/2018	6/14/2023	100.015	100.000	100.015	100.000
3135G0N66	Fannie Mae	1.40	2.274	8/25/2016	8/25/2021	95.891	400.000	383.564	400.000
3136G1C98	Fannie Mae	1.42	2.274	5/11/2016	2/5/2020	98.285	150.000	147.443	150.899
3136G3G56	Fannie Mae	1.55	2.354	9/23/2016	9/23/2021	96.227	1,000.000	962.270	999.720
3136G37G4	Fannie Mae	1.60	2.438	9/30/2016	9/30/2021	96.074	900.000	864.666	899.487
3136G4GF4	Fannie Mae	1.55	2.313	10/31/2016	10/28/2021	96.419	200.000	192.838	200.000
3136G3X23	Fannie Mae	1.50	2.308	7/28/2016	7/28/2021	96.201	300.000	288.603	300.000
3136G4EV1	Fannie Mae	1.63	2.589	10/28/2016	10/28/2021	95.502	250.000	238.755	249.898
3136G3C78	Fannie Mae	1.55	2.397	7/28/2016	7/28/2021	96.030	200.000	192.060	200.000
880591EL2	Tenn Valley Authority DTD	3.88	3.150	9/19/2016	2/15/2021	102.963	500.000	514.815	537.647
<b>42.76% Government Securities (3.74 - 5.00 years)</b>									
06740K1U9	Barclays Bank/Delaware	1.60	1.516	7/18/2014	7/23/2018	99.937	100.000	99.937	100.000
06764YML5	BNM Bank North America	1.55	2.393	6/29/2016	6/29/2021	98.117	250.000	240.122	249.463
05580AF77	BNM Bank North America	1.20	1.859	9/13/2016	8/26/2019	98.117	250.000	245.292	250.000
0200R1M2	BNM Bank North America	1.30	1.938	9/15/2016	9/15/2021	98.149	250.000	245.371	250.000
140420OF0	Capital One Bank USA	2.15	2.358	7/7/2015	10/16/2019	99.156	170.000	161.625	170.000
02587DWM0	American Expr Confution	2.20	2.404	7/7/2015	11/29/2019	99.152	250.000	168.558	170.470
05580AC25	BNM BK North America DTD	2.20	2.507	10/8/2016	9/30/2020	96.570	250.000	246.425	249.950
140420F21	Capital One Bank	1.65	2.490	9/14/2016	9/14/2021	96.071	250.000	240.177	250.000
140420V53	Capital One Bank Medium	1.30	2.362	5/4/2016	5/4/2021	96.424	250.000	241.060	250.355
949763AV6	Wells Fargo Bank	1.60	1.940	9/14/2016	9/15/2019	98.141	250.000	245.364	250.000
619765GX3	Morton Community Bank	2.319	2.505	12/16/2016	6/16/2020	97.554	200.000	195.188	199.230
14042R2R2	Capital One NA Medium	2.20	2.498	10/8/2016	10/7/2020	97.548	200.000	197.149	200.000
254672W20	Discover Bank DTD	1.85	2.465	12/14/2016	12/14/2020	97.548	200.000	194.096	200.000
949764SV3	Wells Fargo Bank CD	1.75	2.465	6/17/2016	6/17/2021	96.653	250.000	241.632	251.440
949763A29	Wells Fargo Bank	1.65	2.494	9/14/2016	9/14/2021	96.052	250.000	240.130	250.000
36157QTF4	GE Capital Retail Bank	2.00	2.041	11/22/2013	11/23/2018	99.805	250.000	249.513	248.725
<b>12.59% CDs (2.95 - 5.01 years)</b>									
437076B87	Home Depot	2.25	2.256	11/7/2013	9/10/2018	99.974	1,000.000	999.740	1,002.195
40428HPU5	HSBC USA INC	2.63	2.623	12/4/2013	9/24/2018	100.070	1,000.000	1,000.100	1,002.929
713448BN7	PepsiCo Inc	4.50	3.851	1/29/2015	1/15/2020	102.908	100.000	102.908	105.104
911312AM8	United Parcel Service DTD	3.13	3.008	6/10/2016	1/15/2021	100.498	185.000	185.921	185.921
440452A00	Hormel Foods Corp	4.13	3.444	1/31/2017	4/15/2021	102.646	500.000	513.230	525.813
1491216U0	Caterpillar Financial Serv Corp	4.13	2.621	9/9/2016	8/9/2021	95.776	1,745.000	1,672.249	1,745.000
02655WBG5	American Honda Finance	1.70	2.602	9/15/2016	9/9/2021	95.806	1,400.000	1,341.264	1,392.034
06406RAA5	Bank of NY Mellon Corp	2.60	3.114	10/18/2017	2/7/2022	97.943	1,011.000	990.204	1,022.303
165764A17	Chevron	2.60	3.173	7/26/2017	3/7/2022	97.584	370.000	360.987	373.320
244199BE4	Deere & Co	2.60	3.165	7/26/2017	6/8/2022	97.458	150.000	146.202	152.472
<b>26.76% Corporate Bonds (4.21 - 4.99 years)</b>									
31381NM83	Federal Natl Mtge Assn-FN465783	3.84	3.815	12/10/2015	9/1/2020	100.102	7,462.000	7,312.825	7,508.157
31407RTL8	Fannie Mae Pool #638653	5.00	4.545	4/29/2016	10/1/2020	101.866	151.316	151.470	151.104
3137ABP7	Freddie Mac	4.33	3.608	9/7/2016	10/25/2020	102.752	155.458	159.751	171.733
3137ABP7	Freddie Mac	4.19	3.495	9/7/2016	12/25/2020	102.739	321.608	330.415	355.226
3137ABP7	Freddie Mac	3.99	3.406	9/7/2016	6/25/2021	102.560	496.000	508.696	547.013
<b>4.58% Govt Mortgage (4.13 - 4.80 years)</b>									
010831BM6	Alameda County JPA	5.00	4.656	11/21/2013	12/1/2018	101.527	1,170.831	1,197.650	1,264.968
758148GY0	Reed Calif Union School District	4.00	3.948	11/18/2013	8/1/2018	100.220	440.000	445.719	447.968
91412GS71	Univ of California	1.61	2.168	12/13/2017	5/16/2019	99.224	250.000	250.560	253.656
13065Y122	California State Dept of Water Resources PV	2.00	2.994	1/22/2018	5/1/2022	96.041	310.000	307.594	309.084
13063DF26	California State Dept of Water Resources PV	2.75	2.765	4/26/2018	4/1/2020	99.709	150.000	144.062	146.550
13063DGA0	California State Dept of Water Resources PV	2.80	2.885	4/26/2018	4/1/2021	99.762	100.000	99.762	100.143
<b>4.84% Municipals (1.42 - 5.03 years)</b>									
31607A208	Fidelity Prime Mon Marins	1.00		10/7/2015		99.881	1,350.000	1,348.386	1,357.405
<b>2.73% Cash and Cash Equivalents</b>									
<b>TOTAL (Dollars)</b>							<b>\$ 26,252,644</b>	<b>\$ 25,703,689</b>	<b>\$ 26,448,540</b>

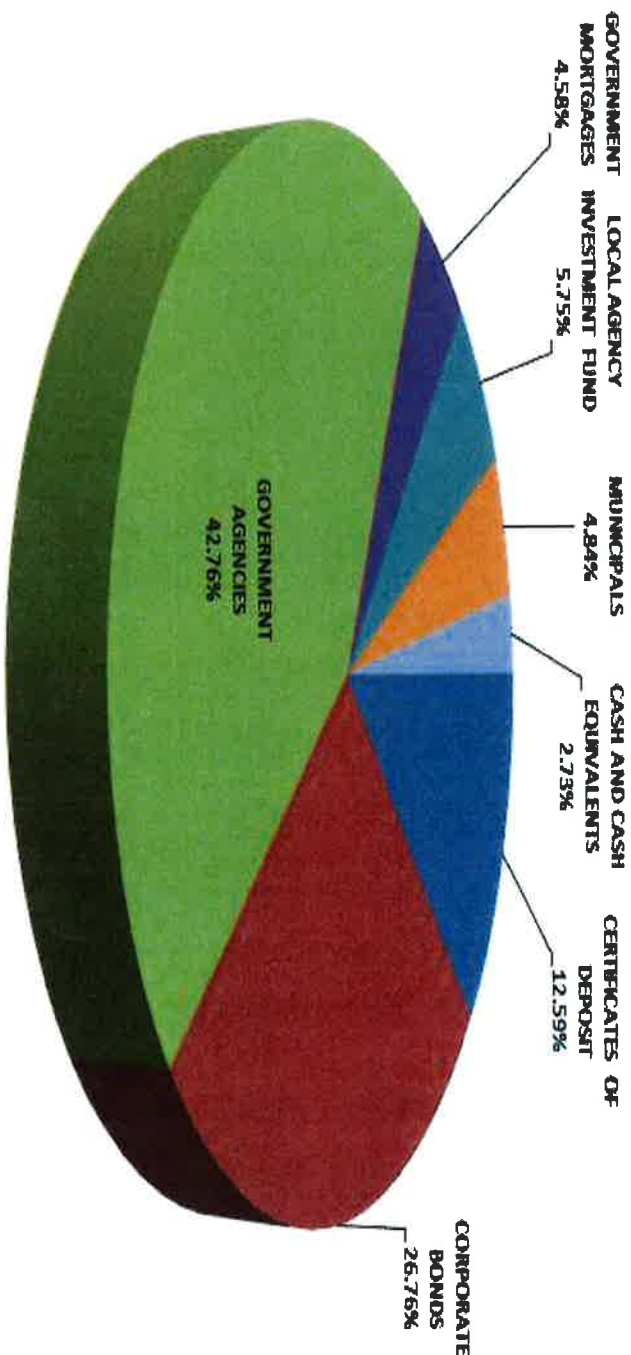
# Fixed Income Investments at 06-30-2018 - Summary

Alameda Corridor - East Construction Authority  
Office of ACE Construction Authority Finance Director/Treasurer



## ASSET ALLOCATION

Assets (Dollars)	Current Par Value	Current Book Value	Market Value	Mkt/Book
CERTIFICATES OF DEPOSIT	3,533,000	3,532,980	3,452,629	97.73%
CORPORATE BONDS	7,462,000	7,508,157	7,312,825	97.40%
GOVERNMENT AGENCIES	11,970,000	11,998,787	11,625,407	96.89%
GOVERNMENT MORTGAGES	1,170,831	1,284,398	1,197,620	93.24%
LOCAL AGENCY INVESTMENT FUND	1,612,328	1,612,328	1,612,328	100.00%
MUNICIPALS	1,350,000	1,357,405	1,348,396	99.34%
CASH AND CASH EQUIVALENTS	766,813	766,813	766,813	100.00%
<b>Totals (Dollars)</b>	<b>27,864,972</b>	<b>28,060,858</b>	<b>27,316,017</b>	<b>97.35%</b>



## Fixed Income Composition by Book Value

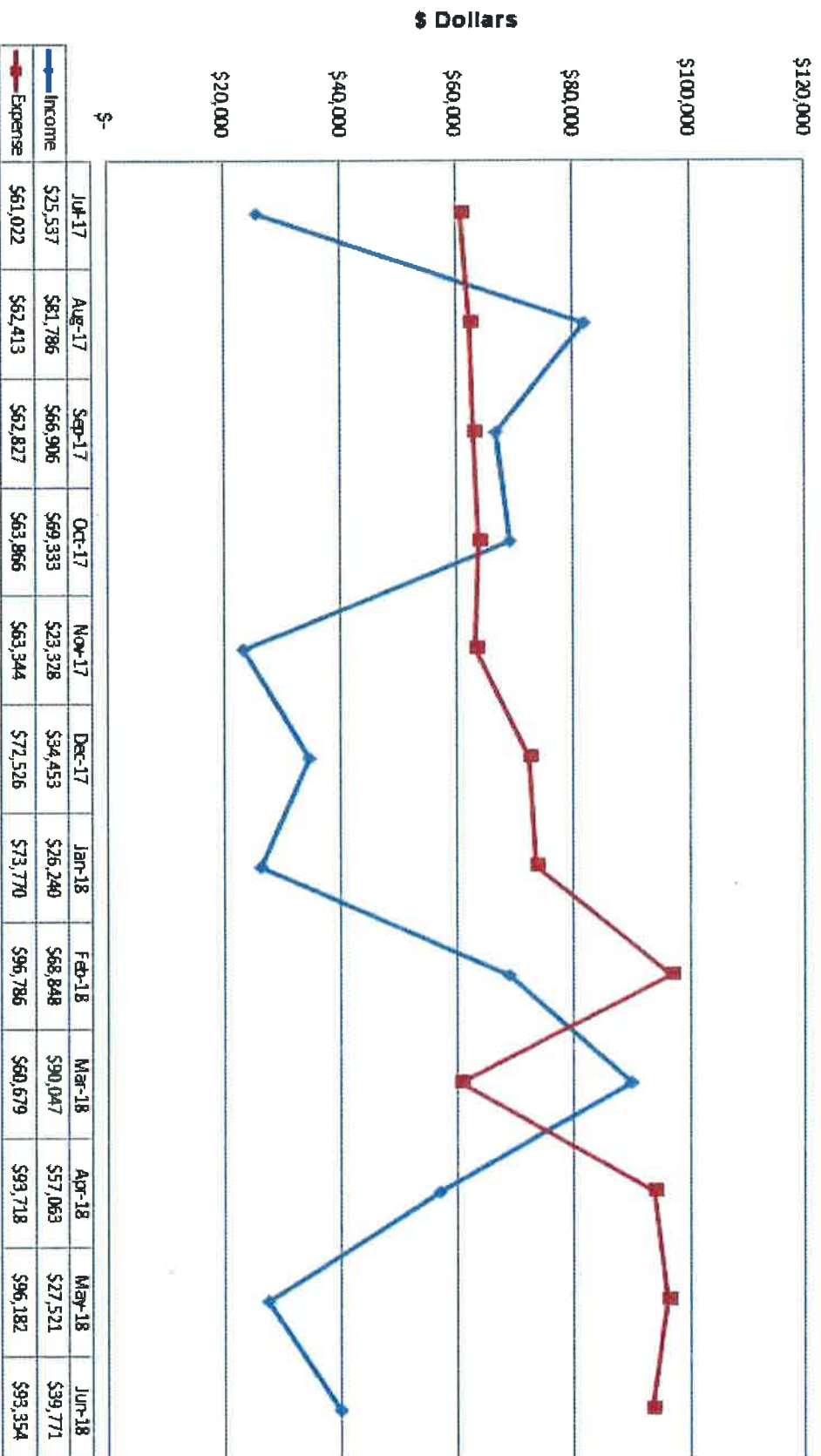
**Par Value:** Or face value is the amount of money redeemed to the bondholder once the bonds matures

**Book Value :** Is the par value or face value plus any unamortized premiums or less any unamortized discounts.

**Market Value:** Is the current price at which the bond is trading

**Mkt/Book:** Measures the market value over the book value of a bond.

# ACE Construction Authority Cost of Borrowing



# Contract Audit Status Report (4/1/18 to 6/30/18)

Contract Audits Completed This Quarter

Contractor	Project	Audit Period	Value	Questioned Costs
HNTB Corporation	Turnbull Canyon	Post-award	\$1,818,209	\$0
Jacobs Engineering	San Gabriel Trench	1/1/16-12/31/16	\$3,991,688	\$0
Moffatt & Nichol	Puente	12/27/15-12/30/17	\$555,190	\$0
Paragon Partners	Various	7/1/15-6/30/16	\$553,039	\$14,908
Total				\$14,908

# Contract Audit Status Report (Through 6/30/18)

Auditor	Completed Audits Quarter/Total	Amount Recovered This Qtr	Amount Recovered Total	Audits To Be Done
MTA (5/01-6/06)	0 / 130	\$0	\$427,520	0
ACE (4/08-Present)	4 / 193	\$14,908	\$4,455,338	19*
Total	4 / 323	\$14,908	\$4,882,858	19

	Previous Quarter	Add/(Deduct) This Quarter	Less: Completed	To Be Done *
Audits needed to get through 2017 costs	11	0	3	8
For Close-out	5	0	0	5
New contracts subject to audit	5	0	1	4
Internal Audit	2	0	0	2
Total (ACE)	23	0	4	19

DATE: August 6, 2018

TO: City Managers' Steering Committee  
Executive Committee

FROM: Marisa Creter, Executive Director

RE: **STUDY TO REVIEW RETIREMENT BENEFIT OPTIONS PROPOSAL**

## **RECOMMENDED ACTION**

Recommend the Governing Board approve a contract with Urban Futures, Inc for an amount not to exceed \$35,000 to conduct a review of retirement benefit options for the SGVCOG.

## **BACKGROUND**

In April, the Governing Board authorized the release of a request for proposal (RFP) for a consultant to review and conduct a study of the retirement benefit options for the SGVCOG. This study was initiated as a component of the integration of the Alameda Corridor-East Construction Authority (ACE) and SGVCOG under a single personnel system. The 2018-19 budget allocates funding to complete this study as a component of the integration. The study is anticipated to be completed by the end of October, in congruence with the completion of the current classification and compensation study.

The scope of work for the consulting services related to this retirement benefit study includes the following:

- Analysis of comparable agencies' non-CalPERS retirement benefits including description of benefits, vesting requirements, employee/employer contributions, any unfunded liability, and total annual cost and percentage cost per employee annual salary. Consultant will utilize comparable agencies from Compensation/Classification study and identify 3-4 additional non-CalPERS agencies.
- Calculation of termination cost of existing CalPERS contract based on a 3-year termination timeline (i.e. 2021).
- Evaluation of impact of potential changes on employee recruitment/ retention (including interviews and/or surveys of existing employees and outside agency non-CalPERS HR specialists).
- Develop financial models of alternative retirement benefit systems, including CalPERS termination cost. Additionally, develop scenario that retains CalPERS and presents strategies to mitigate CalPERS liability cost.
  - At a minimum, develop models based on three scenarios (baseline, 25% reduction in staffing levels, and 50% reduction in staffing levels).

## **RECOMMENDED FIRM**

The RFP was sent to 18 firms and posted on the SGVCOG website. Initially, no proposals were

received for the original timeline of the RFP. Additional follow-up was conducted by staff to selected firms deemed qualified to participate in the analysis. Through this directed outreach, staff received two proposals from the following firms:

- Kelly Associates Management Group LLC
- Urban Futures, Inc (UFI)


After evaluating the proposals, staff is recommending proceeding with the proposal submitted by UFI (Attachment A) for an amount not to exceed \$35,000 to conduct the review of retirement benefit options. Urban Futures proposed budget is within the range of the adopted FY 18-19 budget for this task (\$40,000). The scope of work proposed by UFI includes the following:

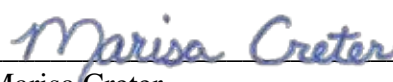
- Developing a comparative matrix of the non-CalPERS benefits provided by comparable agencies identified in the current classification and compensation study and the addition of several other non-CalPERS organization similar in function to the SGVCOG.
- Modeling, calculating and assessing the options for effectuating a CalPERS plan termination over a three-year timeline, as well as evaluating an alternative solution or “synthetic termination” that would allow the SGVCOG to exit CalPERS.
- Developing a baseline model for SGVCOG’s current retirement benefits including the predicted financial impacts assuming no changes to current retirement benefits, structure, organization and general employment as well as customizing the model to comparatively evaluate the various options requested outlined in the original RFP (baseline, 25% reduction in staffing levels and 50% reduction in staffing levels).

Additionally, UFI is proposing that the evaluation and impact of potential changes to SGVCOG’s retirement benefits on employee recruitment/retention be considered as an optional service. Once the core analysis is completed, UFI will assist SGVCOG in understanding the options and evaluating the costs of alternative retirement benefits, if SGVCOG remains interested in evaluating the potential impacts on employee recruitment and retention, then we propose UFI and SGVCOG discuss the scope of the work and whether such work is best accomplished through UFI or through an agreed upon subconsultant.

### **NEXT STEPS**

The proposal was recommended by the City Managers’ Steering Committee for considered by the Governing Board at the August 16 meeting for approval. The analysis is expected to be completed by November 2018.

Prepared by:   
Katie Ward  
Senior Management Analyst

Approved by:   
Marisa Creter  
Executive Director

## **ATTACHMENTS**

Attachment A – Urban Futures Retirement Benefit Options Proposal



**URBAN FUTURES, INC.**  
Public Finance Group  
Public Management Group

**Southern California Office**

*17821 E. 17<sup>th</sup> Street, Suite 245  
Tustin, CA 92780  
Bus: (714) 283-9334  
Fax: (714) 283-5465*

**Northern California Offices**

*455 Hickey Blvd, Suite 515  
Daly City, CA 94015  
Bus: (650) 503-1500*

*1470 Maria Lane, Suite 315  
Walnut Creek, CA 94596  
Bus: (925) 478-7450  
Fax: (925) 478-7697*

## **San Gabriel Valley Council of Governments**

### **Request for Proposals for Retirement Benefit Options**



**July 30, 2018**

## Proposal Contents

<b>Cover Letter</b> .....	1
<b>1. Firm Information</b> (Questions 1-3) .....	2
<b>2. Assigned Team</b> (Questions 4-6) .....	2
<b>3. Proposed Scope of Work</b> (Questions 7-10) .....	3
<b>4. Proposed Timeline, Rates and Estimated Fees</b> (Questions 11-12) .....	4
<b>5. References</b> (Question 13) .....	4

July 30, 2018

Katie Ward  
Senior Management Analyst  
San Gabriel Valley Council of Governments  
1000 S. Fremont Avenue, Unit #42  
Bldg. A10-N, Suite 10-210  
Alhambra, California 91803

**Re: Proposal for Retirement Benefit Options – Urban Futures, Inc.**

Dear Ms. Ward:

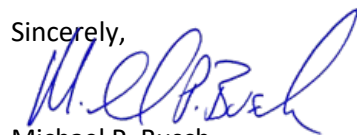
Urban Futures, Inc. (UFI) is pleased to submit this proposal to provide professional financial and consulting services to help the San Gabriel Valley Council of Governments (SGVCOG) evaluate its retirement benefit options. We believe our unique combination of qualifications, resources, and experience will ensure value-added service at a reasonable cost. Since 1972, UFI has provided financial advisory and consulting services to California cities, counties, special districts, schools, community colleges, and non-profits. Through our two divisions—the Public Finance Group and the Public Management Group—we offer solutions to financial opportunities and challenges our clients encounter.

With the economic recovery in full swing many public agencies are facing the consequences of deferred decision-making during the Great Recession. Many of UFI's clients are moving quickly to assess the considerable current and forecasted financial impacts from increased CalPERS and OPEB costs. SGVCOG is stepping out in front of its peers by contemplating alternative solutions. UFI has been at the forefront of helping agencies model, assess and evaluate their pension-related finances and issues.

We have assigned the three most senior staff in our firm on your project. Collectively, they have 75 years of combined executive-level government and public finance experience, including numerous pension obligations bonds, fresh start financings, financial forecast models and fiscal sustainability strategies. We have negotiated with labor unions, explained complex financial concepts to elected officials, and gained the trust and respect of numerous councils and boards. More importantly, all our work, findings and recommendations will be tailored to your agency's needs and context.

We are enthusiastic about the opportunity to work with you and the SGVCOG staff. If you have any questions, please do not hesitate to contact me at (714) 283-9334 or [michaelb@urbanfuturesinc.com](mailto:michaelb@urbanfuturesinc.com).

Sincerely,



Michael P. Busch  
CEO/President

## **1. Firm Information** (Questions 1-3)

NAME: Urban Futures, Inc.  
ADDRESS: 17821 E. 17<sup>th</sup> Street, Suite 245, Tustin, CA 92780  
TELEPHONE: (714) 283-9334  
BUSINESS TYPE: California Corporation, established in 1972, under the ownership of Michael P. Busch

## **2. Assigned Team** (Questions 4-6)

Below are the biographies and relevant experience of the proposed members of the consulting team for this project based out of our Tustin office. This team will be available to serve SGVCOG and meet with agency staff as often as requested.

**Michael P. Busch, *CEO/President***  
**17821 East 17<sup>th</sup> Street, Suite 245, Tustin, CA 92780**  
**(714) 316-6150; [michaelb@urbanfuturesinc.com](mailto:michaelb@urbanfuturesinc.com)**



Michael will have overall responsibility for delivery of all our services to the City, including project oversight and coordination of services to the City. Michael Busch is the firm owner and serves as the Chief Executive Officer managing day-to-day operations. Michael's background consists primarily of Assistant and Deputy City Manager, Chief Financial Officer and Project Manager positions with various cities throughout California. He is a registered financial advisor with over \$1 billion in tax-exempt debt transactions for municipalities and local governments. Michael utilizes his experience in the areas of municipal finance and management to assist client agencies with the successful development and implementation of fiscal restructuring, forecasting, capital planning and debt management. Michael earned a Bachelor of Arts Degree from California State Polytechnic University Pomona in Urban and Regional Planning. In addition, he holds a Master of Arts Degree in Public Administration from California State University Long Beach with an emphasis in public finance and public works.

**James P. Morris, *Managing Director***  
**17821 East 17<sup>th</sup> Street, Suite 245, Tustin, CA 92780**  
**(909) 648-3176; [jamesm@urbanfuturesinc.com](mailto:jamesm@urbanfuturesinc.com)**



Jim will have primary responsibility for the performance of our Public Management Group team, ensuring comprehensive data collection, thorough analytics, and actionable recommendations. He has twenty years of experience working in the fields of public policy, financial analysis, municipal law and public agency governance. Jim utilizes his diverse background and expertise in local government to assist cities and special districts in the areas of long-term forecasting, fiscal stabilization and financial sustainability. His recent engagements include preparing fiscal forecasts for Pomona, Beaumont and various municipal utilities, conducting

program evaluation services in Pasadena, and developing general fund reimbursement models in Azusa, Needles and Pomona. Jim began his professional career as a public law attorney with the County of San Bernardino and Best Best & Krieger LLP, where for over a decade he helped government agencies successfully navigate legal complexities affecting their organizations and operations. Jim is a graduate of Dartmouth College, and received both his Juris Doctorate and Master's in Urban Planning from UCLA.

**Julio F. Morales, Director**

**17821 East 17<sup>th</sup> Street, Suite 245, Tustin, CA 92780**

**(714) 283-9334; [juliom@urbanfuturesinc.com](mailto:juliom@urbanfuturesinc.com)**



Julio has over twenty-five years of working in the areas of public and corporate finance, city management, municipal budgeting and financial leadership. He served as the City Manager for the City of Huntington Park; having also served at its Finance Director and Treasurer. In both roles Julio helped implement changes and improvements that led to the elimination of a \$4.0 million (15%) structural deficit. He also served as the Finance Director and Treasurer for the City of El Monte. Most recently, Julio worked for the Department of the Treasury's Office of Technical Assistance (OTA), providing financial advice to the Treasurer of Paraguay and helping to streamline and automate their operations. Julio began his career in public and corporate finance as a financial advisor at PFM, an investment banker with Bank of America, derivative/ investment provider for Transamerica, and debt manager for the City of Oakland. Julio earned his undergraduate degree from the University of Michigan, a Master of Public Policy (MPP) from the Harvard Kennedy School of Government, and an MBA from UCLA, where he was a Dean's Fellowship Recipient.

*Use of Subcontractor(s)* - UFI anticipates the proposed scope of work will be performed by the above-identified UFI staff. If the work, however, should necessitate expert legal advice in the area of public pensions or actuarial services, UFI would reserve the option to subcontract with an expert in their respective field, based upon recommendation of UFI and approval of SGVCOG staff approval.

### **3. Proposed Scope of Work (Questions 7-10)**

Our proposed work, including the approach and process for such work, is based on the information provided in the RFP. For purposes of clarity and evaluation, we have organized our proposed Scope of Work into the component pieces set forth in page 4 of the RFP (*represented in the italics text below*).

- A. *Analysis of Comparable Agencies non-CalPERS retirement benefits including description of benefits, vesting requirements, employee/employer contributions, any unfunded liability, and total annual cost and percentage cost per employee annual salary. Consultant will utilize comparable agencies from Compensation/Classification Study (Attachment A) and identify 3-4 additional non-CalPERS agencies.*

We will develop a comparative matrix of the non-CalPERS benefits provided by the agencies identified in Attachment A with the addition of several other non-CalPERS organization similar in function in SGVCOG. The survey will provide a picture of SGVCOG's competitive position and serve as the foundation for potential benefit alternatives SGVCOG could consider. In developing this comparative matrix, we are aware each agency has a different financial footprint created by their retirement benefits. Such financial footprint may or may not include a significant unfunded

pension liability in addition to the agency's required annual contribution ("normal cost"). To provide a true "apples-to-apples" comparison, we will focus the comparative matrix on aggregating each agency's on-going normal cost. We believe the survey will also help the staff to determine which parameters and options to include in our scenario analysis model.

*B. Calculation of Termination Cost of existing CalPERS contract based on 3-year termination timeline (i.e., 2021).*

The CalPERS Actuarial Valuation Study provides a calculation of estimated of the Termination Liability based on different market interest rate scenarios. The Termination Liability or Termination Payment required to exit CalPERS is much greater than SGVCOG's current Unfunded Liability. The estimated Unfunded Accrued Liability (UAL) for the Miscellaneous Plan was \$1,250,938 as of June 30, 2016, which was determined using a 7.35% discount or investment rate.

However, the calculated Termination Payment uses a much lower discount or investment rate. CalPERS places the assets into a Termination Pool and invests the assets in lower risk securities such as fixed-rate Treasuries and Agency Securities, which have considerably lower yields (between 1.75% and 3.00%). Using these discount rates, the estimated Termination Payment ranges from \$6,347,000 to \$8,854,000.

Given the significant upfront cost created by the CalPERS termination policy (all plan assets are transferred into the lowest investment risk pool), the question for SGVCOG is whether there is a reasonable timeline over which such a termination could be effectuated, and whether such strategy make financial sense when compared with alternative retirement benefit cost mitigation strategies. Based on our experience in evaluating CalPERS options and alternatives, we believe CalPERS' plan termination provisions are designed to make termination cost-prohibitive for almost all CalPERS' agencies. Nonetheless, we will endeavor to model, calculate and assess the options for effectuating a CalPERS plan termination over a three-year timeline, and if beneficial a slightly longer timeline. Finally, we will evaluate if there is an alternative solution or "synthetic termination" that would allow the SGVCOG to exit CalPERS.

*C. Develop financial models of alternative retirement benefit systems, including CalPERS termination cost. Additionally, develop scenario that retains CalPERS and presents strategies to mitigate CalPERS liability cost. At a minimum, develop models based on three scenarios (baseline, 25% reduction in staffing levels, and 50% reduction in staffing levels).*

Developing financial models in one of UFI's core expertise. We regularly develop customized 10-year financial forecast models that help public agencies evaluate the true impact of their decisions on their future pension and benefit costs. In conjunction with our modeling work, we are often requested to give presentations to public agencies explaining the CalPERS retirement system and the impacts associated with the agency's current and projected pension costs.

Over the last decade, UFI has worked with many public agencies to create user-friendly 10-year financial forecasting models which include modules that project the agency's pension costs. The model we develop for SGVCOG will be custom-tailored to this project and your needs – we do not use canned software or a standard model. The model will be designed to run in the MS Excel environment with a user interface and graphical outputs that facilitate understanding,

quantitatively-supported discussions and consensus building.

We will begin with developing the baseline model for SGVCOG's current retirement benefits – the predicted financial impacts assuming no changes to your current retirement benefits, structure, organization and general employment. The baseline model will make explicit the variables and drivers that impact SGVCOG's current and future retirement benefit costs. Next, we will further customize the model to comparatively evaluate the various options requested by SGVCOG, including changes to assumptions, variable and drivers in the model. In adding this capacity, we are careful to ensure proposed options, strategies and changes are isolated from the baseline model (the predicted financial future based on current facts and informed assumptions) so the impact can be measured – baseline vs. proposal. This fully customized model will be more than capable of evaluating the three basic scenarios set-forth in the RFP (baseline, 25% reduction in staffing levels and 50% reduction in staffing levels), as well as the other retirement benefit alternatives, ideas and options that will be developed during the work, including how changes in assumptions or variables impact these options.

*D. Evaluation of impact of potential changes on employee recruitment/retention (including interviews and/or survey of existing employees and outside agency non-CalPERS HR specialists).*

The impact of potential changes to SGVCOG's retirement benefits on employee recruitment/retention depends on a number of factors:

- the type retirement benefits provided (e.g., defined benefit vs. defined contribution);
- the level of retirement benefits provided (e.g., comparable to existing SGVCOG benefits or reduced);
- the extent to which the offered retirement benefits are similar or different from employers competing for similar types of employees;
- other non-retirement benefits or forms of compensation offered by SGVCOG (e.g., higher salaries, better health care benefits, longer leave, work hour flexibility, etc.);
- the employee's work history (0-5 years vs. 20-25 years in the workforce, and public vs. private employment work history);
- whether the employee has an existing CalPERS retirement, including the number of service year credits; and
- whether the type of job/skill sets/position make it likely the employee will change employers or alternate between public and private employment.

The challenge of assessing the impact of the above factors is made difficult by the largely homogenous nature of public retirement plans in California. The vast majority of local government employers in California (city/county/special districts) participate in defined benefit programs. In addition, for decades public agencies have largely only compared their retirement benefits to other public agencies, most of whom are in CalPERS, resulting in retirement benefit levels that are very similar. Thus, the more innovative (or greater deviation from the norm) of alternatives contemplated by SGVCOG for its retirement plan and benefits, the more difficult it will be to find public agencies with comparable retirement offerings for purposes of assessing potential impacts to employee recruitment and retention. In fact, it may be necessary to look outside the state to find suitable data and information.

As such, we propose to make this component of the work program optional through UFI and

subject to a separately agreed upon price. UFI is not a human resource consulting firm. Our core expertise is in public finance, financial solutions, and financial modeling, which by necessity involves the integration of public agency retirement and benefit costs.

Once we complete the core analysis, and we assist SGVCOG in understanding the options and evaluating the costs of alternative retirement benefits, if SGVCOG remains interested in evaluating the potential impacts on employee recruitment and retention, then we propose UFI and SGVCOG discuss the scope of the work and whether such work is best accomplished through UFI or through an agreed upon subconsultant.

#### **4. Proposed Timeline, Rates & Fees (Questions 11-12)**

Due to variables in every engagement and to ensure SGVCOG maintains flexibility to tailor the work to fit within the agency's time and fiscal constraints, UFI typically proposes to carry out its work on an actual time and materials basis with the overall costs of such services being governed by the financial limits defined by SGVCOG, utilizing the following professional service rate schedule:

<b><u>UFI Professional Staff</u></b>	<b><u>Hourly Rates</u></b>
<i>President &amp; CEO</i>	\$255
<i>Managing Director</i>	\$240
<i>Director</i>	\$225

These rates will remain constant through June 30, 2019 and are subject to change thereafter. Costs for telephone, e-mail and facsimile expenses, postage and incidental photocopying are included within the above noted rate schedule. The rate schedule does not include out-of-pocket expenses that may be incurred during the work. Out of pocket expenses include, but are not limited to, necessary materials, supplies, services, printing, electronic data files, out of area travel, etc. All out-of-pocket expenses will be charged on an actual cost basis, plus 10%.

The exact scope of work is defined before each engagement to ensure our services are designed to achieve the agency's specific objectives. UFI is willing and prepared to refine, modify and tailor our tasks and work product to meet SGVCOG's needs and financial parameters. For purposes generally estimating costs associated with the work product described herein, the following are rough not-to-exceed estimates based on work completed in recent engagements:

- Development and Assessment of Retirement Benefit Options – Modeling, Analysis and Review of Comparable Agencies (*Sections 3A, 3B and 3C in Scope of Work*) \$30,000 to \$35,000
- Impact of Proposed Retirement Benefit Options on Employee Recruitment/Retention – Development of Data, Comparison Matrix and Report (*Section 3D in Scope of Work*) \$10,000 to \$15,000
- Additional Assistance on Retirement Benefits and Financial Matters Hourly Rates

## 5. References (Question 13)

We encourage you to contact any of our recent clients listed below to discuss their experience and satisfaction with UFI. Below are three references for cities where UFI's recent work involved substantial analysis, modeling and evaluation of the city's pension liabilities and costs.

<b>City of Pomona</b>
<b>Onyx Jones, Finance Director</b>
<b>909-620-2353, <a href="mailto:Onyx_Jones@ci.pomona.ca.us">Onyx_Jones@ci.pomona.ca.us</a></b>
<b>505 South Garey Avenue, Pomona, CA 91766</b>

Precipitated by a quickly growing pension liability and the need for fiscal restructuring of interfund transfers and reimbursements, UFI was engaged by the City of Pomona to prepare a ten-year financial forecast for its general fund and review the structure of its reimbursements between the City's enterprise funds and general fund. The engagement involved a two-step process of an initial baseline ten-year forecast, including the City's pension liabilities and future costs. Based on the financial forecast, UFI provided the City a comprehensive fiscal health analysis, recommendations for immediately addressing the City's growing insolvency and pension costs, and long-term recommendations for cost-containment and financial sustainability.

<b>City of San Bernardino</b>
<b>Brent Mason, Finance Director</b>
<b>909-384-5242, <a href="mailto:Mason_Br@sbcity.org">Mason_Br@sbcity.org</a></b>
<b>290 N. D Street, San Bernardino, CA 92401</b>

Just months prior to San Bernardino's declaration of municipal bankruptcy in 2012, UFI was engaged to provide a comprehensive assessment of the City's financial condition and make recommendations for immediate action to avoid insolvency. While insolvency was avoided, the City still required municipal reorganization under the protection of the bankruptcy court. UFI was asked to take a leadership role with the City's bankruptcy team, during which it worked with special counsel and other advisors to negotiate with creditors and develop the fiscal restructuring plan approved by the court in 2017 when the City successfully exited bankruptcy. This work included extensive and protracted discussions and negotiations with CalPERS concerning the City's pension liabilities and rising costs, including evaluation of CalPERS alternatives.

<b>City of Desert Hot Springs</b>
<b>Linda Kelly, Finance Manager</b>
<b>760-329-6411, <a href="mailto:lkelly@cityofdhs.org">lkelly@cityofdhs.org</a></b>
<b>65950 Pierson Blvd., Desert Hot Springs, CA 92240</b>

UFI prepared a long-term financial forecast for the City in 2017, which included an analysis of the City's pensions liabilities and costs. The City also requested UFI present to the City a special report explaining the CalPERS retirement system to the City Council and the impacts associated with the City's current and projected pension costs.



## ATTACHMENT B

### PROPOSAL FOR CLASSIFICATION AND COMPENSATION STUDY


#### CONSULTING FIRM SUBMITTAL FORM

Urban Futures, Inc. (Consulting Firm) agrees to provide the SGVCOG with professional consulting services and we will provide the following:

**Total Project** \$ est. 30,000 to 50,000 (with options)

Along with this proposal we have included the information listed in sections of Scope of Work and Specifications for Proposals of this Request for Proposal.

By submitting a proposal, and if awarded the RFP, the firm agrees to enter into a Professional Services Agreement (Attachment D) which the content shall be agreed upon by both parties. The firm's proposal shall not be revocable for 90 days following the response deadline indicated in the RFP.

  
Signature

07/30/2018  
Date

Michael P. Busch  
Printed Name

CEO/President  
Title

#### Individual Authorized to Commit Respondent

Name: James P. Morris Title: Managing Director

Telephone Number: 909-648-3176

Email Address: jamesm@urbanfuturesinc.com

Consulting Firm's Mailing Address: 17821 E. 17th Street, Suite 245  
Tustin, CA 92780

Telephone Number: 714-283-9334

Website: www.urbanfuturesinc.com

#### Official Contact(s) Regarding All Matters Concerning Proposal

Name: James P. Morris Title: Managing Director

Telephone Number: 909-648-3176

Email Address: jamesm@urbanfuturesinc.com



# REPORT

DATE: August 6, 2018

TO: Executive Committee  
Governing Board

FROM: Marisa Creter, Executive Director

RE: **LEGAL SERVICES RFP**

## **RECOMMENDED ACTION**

Authorize the Executive Director to release a Request for Proposal (RFP) for legal services.

## **BACKGROUND**

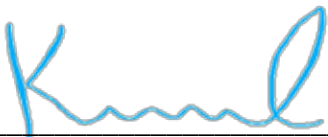
As a component of the ACE/SGVCOG integration, staff was directed to release a Request for Proposal (RFP) to secure joint legal services for the newly integrated organization. In order to mitigate disruption of current tasks undergoing legal review, staff is proposing a timeline for completion of these tasks before a formal contract for joint legal services is completed. The following is a list of tasks currently undergoing legal review:


- **Agreements and contracts:** ACE legal counsel is assisting with the review of active agreements and contracts to determine whether a simple notice of ACE's organizational change is sufficient or formal amendments will be required.
- **Personnel system:** The SGVCOG and ACE are currently undergoing a classification and compensation study to review the existing job descriptions and compensation system for both divisions. As the results of the study are presented, legal counsel will be integral in assisting with using the information obtained from the study to develop a uniform human resource system for the integrated organization. This uniform human resource system will address positions, compensation, benefits, and other terms and conditions of employment.

These tasks are anticipated to be near completion in October/November. As a result, staff is proposing the following procurement timeline for the joint legal services RFP:

### **Legal Services RFP Timeline/Schedule**

<b>Activity</b>	<b>Date</b>
Request Authorization from Governing Board to Release RFP	August 16, 2018
RFP Finalized and Issued	September/October, 2018
Due date for Proposals	November, 2018
Award contract	January, 2019

Prepared by:   
Katie Ward  
Senior Management Analyst

Approved by:   
Marisa Creter  
Executive Director

# REPORT

DATE: August 6, 2018

TO: Executive Committee

FROM: Marisa Creter, Executive Director

RE: **LEGISLATIVE UPDATE**

## **RECOMMENDED ACTION**

For information only.

## **BACKGROUND**

In October 2017, the Governing Board directed staff to monitor and report to the Executive Committee on legislative items that the Governing Board has taken a formal position on. Thus, over the last few months, staff has provided legislative updates to the Executive Committee. Staff has also provided updates on upcoming deadlines that would impact the standing of monitored legislation.

August 17<sup>th</sup>, will be the last day for fiscal committee to meet and report bills. Additionally, August 31<sup>st</sup>, will be the last day for each house to pass bills. Table 1 provides an overview of all of the pieces of legislation that SGVCOG staff has monitored during this cycle, and status of each item.

<b>Legislative Update</b>			
<b>Bill</b>	<b>Title</b>	<b>Status</b>	<b>COG Position</b>
SB 168 (Wieckowski)	Recycling: beverage containers.	Active	Track
AB 1795 (Gipson)	Emergency medical services: behavioral health facilities and sobering centers.	Died	Support
AB 827 (Wiener)	Planning and zoning: transit-rich housing bonus.	Died	Oppose
AB 444 (Ting)	Medical waste: home-generated medical waste.	Died	Track
SB 623 (Monning)	Water quality: Safe and Affordable Drinking Water Fund.	Approved	Oppose
SB 633 (Portantino)	Water quality objectives: stormwater.	Died	Track
SB 1133 (Portantino)	California regional water quality control board: water quality control plans: funding.	Active	Track
AB 2538 (Rubio)	Municipal separate storm sewer systems: financial capability analysis.	Active	Support
AB 1912 (Rodriguez)	Public employees' retirement: joint powers agreements: liability.	Active	<i>Oppose<sup>i</sup></i>
SB 681 (Moorlach)	Public employees' retirement: contracting agencies: termination.	Died	Track


## REPORT

SB 1032 (Moorlach)	California Public Employees' Retirement System: contract members: termination.	Died	Track
Prop 69	ACA 5: Transportation Taxes and Fees.	Approved	Support
AB 1971 (Santiago)	Mental health services: involuntary detention: gravely disabled.	Active	Support
AB 2417 (Rodriguez)	Metro Gold Line Foothill Extension Construction Authority.	Died	<i>Oppose<sup>i</sup></i>
AB 2681 (Nazarian)	Seismic safety: potentially vulnerable buildings.	Active	<i>Support<sup>i</sup></i>
AB 1857 (Nazarian)	Building codes: earthquake safety: immediate occupancy standard.	Active	<i>Support<sup>i</sup></i>

***Table 1.***

Staff will continue to monitor all active bills for the duration of the legislative cycle.

Prepared by:   
Christian Cruz  
Management Analyst

Approved by:   
Marisa Creter  
Executive Director

Bill Number/Title	Summary	Committee/Location	COG Position	Updated	Status
<b>SB 168 (Wieckowski)</b> add Sections 14514.2 and 14548 to, and to add and repeal Section 14549.7 of, the Public Resources Code, relating to recycling.. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB168">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB168</a>	Would do the following: <ul style="list-style-type: none"> <li>Require CalRecycle, on or before January 1, 2023, to establish the minimum percentage of a material type that a beverage container is constructed of, including, but not limited to, recycled materials, and</li> <li>Require Calrecycle, on or before January 1, 2020, to provide to the Legislature a report on the establishment and implementation of an Extended Producer Responsibility (EPR) program to replace the current California beverage container recycling program.</li> </ul>	<b>State:</b> Assembly  <b>COG:</b> EENR	Tracking	6/26/2018	Referred to Asm. Appropriations
<b>AB 1795 (Gipson)</b> An act to amend Sections 1797.52, 1797.172, and 1797.218 of, and to add Sections 1797.98 and 1797.260 to, the Health and Safety Code, relating to emergency medical services. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1795">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1795</a>	Would authorize local emergency medical service agencies to allow paramedics to transport people to a community care facility, such as a mental health urgent care center or sobering facility.	<b>State:</b> Assembly  <b>COG:</b> Homelessness	Support	4/19/2018	Died
<b>SB 827 (Wiener)</b> An act to add Section 65917.7 to the Government Code, relating to land use. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB827">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB827</a>	This bill would exempt certain housing projects from locally developed and adopted height limitations, densities, parking requirements, and design review standards. This would undermine locally adopted General Plans and Housing Elements	<b>State:</b> Senate  <b>COG:</b> Planners TAC	Oppose	4/9/2018	Died
<b>AB 444 (Ting)</b> An act to add Section 117906 to the Health and Safety Code, relating to public health. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB444">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB444</a>	Would authorize the California Environmental Protection Agency (Cal/EPA) to develop a statewide program for the collection, transportation, and disposal of home-generated medical waste, including sharps waste and pharmaceutical waste.	<b>State:</b> Senate  <b>COG:</b> EENR	Tracking	4/18/2018	Died
<b>SB 623 (Monning)</b> add Article 6.5 (commencing with Section 14615) to Chapter 5 of Division 7 of, to add Article 14.5 (commencing with Section 62215) to Chapter 2 of Part 3 of Division 21 of, and to repeal Sections 14616 and 62216 of, the Food and Agricultural Code <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB623">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB623</a>	This bill would establish the Safe and Affordable Drinking Water Fund in the State Treasury and would provide that moneys in the fund are continuously appropriated to the state water board for the purpose of securing access to safe drinking water for all Californians.	<b>State:</b> Assembly Appropriations. 2-yr bill. <b>COG:</b> Water	Oppose unless amended	9/1/2017	Active: Trailer Bill Part of Gov. Browns Budget, which was signed June 27th

<b>SB 633 (Portantino)</b> A regional board shall consider opportunities to convey stormwater to a regional site within the watershed <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB633">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB633</a>	This bill would require a regional board preparing a water quality control plan for a region having a population in excess of 10 million residents to additionally consider opportunities to convey stormwater to a regional site within the watershed in which the stormwater originated for capture and infiltration and to consider and balance the opportunity for stormwater capture when determining past and probable future beneficial uses of water, as specified.	<b>State:</b> Senate  <b>COG:</b> Water	Tracking	2/1/2018	Died
<b>SB 1133 (Portantino)</b> add Section 13249 to the Water Code, relating to water quality, and making an appropriation therefor. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB1133">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB1133</a>	This bill would authorize a regional board to accept and spend donations of moneys from a permittee for the purpose of updating a water quality control plan, thereby making an appropriation. The bill would authorize the California regional water quality control board, Los Angeles region, to accept and spend certain funds from the Los Angeles County Flood Control District to prepare a major revision to the water quality control plan for the Los Angeles region, as prescribed.	<b>State:</b> Senate  <b>COG:</b> Water	Tracking	6/26/2018	Referred to Asm. Appropriations
<b>AB 2538 (Rubio)</b> Municipal separate storm sewer systems: financial capability analysis: pilot project. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB2538">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB2538</a>	This bill would require the state board, by an unspecified date, to establish financial capability assessment guidelines for municipal separate storm sewer system permittees that are adequate and consistent when considering the costs to local jurisdictions. The bill would require the California Regional Water Quality Control Board, Los Angeles region, to use the guidelines in a pilot project conducted to assess if a financial capability analysis can be effectively used to help municipalities to implement a municipal separate storm sewer system permit. The bill would require the state board to oversee the use of the guidelines and, upon the completion of the pilot project, to make statewide recommendations or site-specific recommendations based on feasibility and the need to address the most prominent pollutants.	<b>State:</b> Assembly  <b>COG:</b> Water	Support 04/19/2018	6/21/2018	Referred to Sen. Appropriations
<b>AB 1912 (Rodriguez)</b> add Sections 6508.2, 20461.1, 20574.1, and 20575.1 to, and to repeal and add Section 20577.5 of, the Government Code, and to amend Section 366.2 of the Public Utilities Code, relating to public agencies, and making an appropriation therefor. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1912">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1912</a>	The Joint Exercise of Powers Act generally authorizes 2 or more public agencies, by agreement, to jointly exercise any common power. Under the act, if the agency is not one or more of the parties to the agreement but is a public entity, commission, or board constituted pursuant to the agreement, the debts, liabilities, and obligations of the agency are the debts, liabilities, and obligations of the parties to the agreement, unless the agreement specifies otherwise. This bill would eliminate the above provisions within the Joint Exercise of Powers Act and those related provisions for community choice aggregators that permit an agreement between one or more parties to specify otherwise as to their debts, liabilities, and obligations and that permit a party to separately contract for those debts, liabilities, or obligations.	<b>State:</b> Assembly  <b>COG:</b> Executive	Oppose	6/26/2017	Referred to Sen. Appropriations

<b>SB 681 (Moorlach)</b> to add Section 20570.1 to the Government Code, relating to public employees' retirement. <a href="http://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB681">http://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB681</a>	This bill provides an alternative procedure for a public agency seeking to terminate its retirement benefits contract with California Public Employees' Retirement System (CalPERS) that would prevent CalPERS from collecting an actuarial determined amount sufficient to ensure payment of future retirement benefits for members from the agency.	<b>State:</b> Senate  <b>COG:</b> Executive	Tracking	2/1/2018	Died
<b>SB 1032 (Moorlach)</b> An act to amend Section 20577, to repeal Sections 20570, 20571, 20571.5, 20573, 20574, 20575, 20577.5, 20579, 20580, 20581, 20582, 20583, 20584, 20585, 20586, 20587, 20588, 20589, 20590, 20591, 20592, and 20593, and to repeal and add Section 20578, of the Government Code, relating to retirement. <a href="http://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB1032">http://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180SB1032</a>	Existing law requires the terminating contracting agency to contribute to the terminated agency pool the difference between the accumulated contributions and the board's pension liability for the contracting agency's members, as provided. This bill would authorize a contracting agency to terminate its contract with the board at the agency's will and would not require the contracting agency to fully fund the board's pension liability upon termination of the contract. The bill would authorize the board to reduce the member's benefits in the terminated agency pool by the percentage of liability unfunded. The bill would also authorize a contracting agency who terminates its contract with the board to transfer the assets accumulated in the system to a pension provider designated by the contracting agency.	<b>State:</b> Senate  <b>COG:</b> Executive	Tracking	3/15/2018	Died
<b>Prop 69 ( aka ACA 5)</b> an amendment to the Constitution of the State, by amending Section 1 of Article XIX A thereof, by adding Section 15 to Article XIII B thereof, and by adding Article XIX D thereto, relating to transportation. <a href="http://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180ACA5">http://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180ACA5</a>	This measure would add Article XIX D to the California Constitution to require revenues derived from vehicle fees imposed under a specified chapter of the Vehicle License Fee Law to be used solely for transportation purposes, as defined. The measure would prohibit these revenues from being used for the payment of principal and interest on state transportation general obligation bonds that were authorized by the voters on or before November 8, 2016. The measure would prohibit the revenues from being used for the payment of principal and interest on state transportation general obligation bonds issued after that date unless the bond act submitted to the voters expressly authorizes that use. The measure would also prohibit the Legislature from borrowing these revenues, except as specified, or using them for purposes other than transportation purposes.	<b>State:</b> Secretary of State  <b>COG:</b> Transportation	Support 04/19/2018	4/17/2017	Passed on June 5th with 81% of the vote
<b>AB 1971 (Santiago)</b> An act to amend Section 1799.111 of the Health and Safety Code, and to amend Sections 5008, 5250, and 5350 of the Welfare and Institutions Code, relating to mental health. <a href="https://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1971">https://leginfo.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1971</a>	This bill would expand the definition of "gravely disabled" for these purposes to also include a condition in which a person, as a result of a mental health disorder or chronic alcoholism, as applicable, is unable to provide for his or her medical treatment, as specified.	<b>State:</b> Assembly  <b>COG:</b> Homelessness	Support 04/19/2018	6/21/2018	Referred to Sen. Appropriations

<b>AB 2417 (Rodriguez)</b> An act to amend Section 132415 of the Public Utilities Code, relating to transportation.	This bill would increase to 6 the voting members of the board by adding one voting member appointed by the City of Montclair. Because this bill would require a local authority to assume additional responsibilities, it would create a state-mandated local program.	<b>State:</b> Assembly <b>COG:</b> Transportation	Oppose	5/31/2018	Died
<b>AB 2681 (Nazarian)</b> An act to add Chapter 12.2.5 (commencing with Section 8875.100) to Division 1 of Title 2 of the Government Code, relating to seismic safety. <a href="https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB2681">https://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB2681</a>	This bill would, upon the identification of funding by the Office of Emergency Services, require each building department of a city or county to create an inventory of potentially vulnerable buildings, as defined, within its jurisdiction, based on age and other publicly available information, and submit that inventory to the Office of Emergency Services, office, as specified.	<b>State:</b> Assembly <b>COG:</b> Executive	Support	6/20/2018	Referred to Sen. Appropriations
<b>AB 1857 (Nazarian)</b> An act to add Section 18941.11 to the Health and Safety Code, relating to building standards. <a href="http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1857">http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201720180AB1857</a>	This bill would require the commission to assemble a functional recovery working group comprised of certain state entities and members of the construction and insurance industries, as specified. The bill would require the group, by July 1, 2020, to investigate and determine criteria for a “functional recovery” standard following a seismic event,	<b>State:</b> Assembly <b>COG:</b> Executive	Support	6/26/2018	Referred to Sen. Appropriations

# REPORT

---

DATE: August 6, 2018

TO: Executive Committee

FROM: Marisa Creter, Executive Director

**RE: STATE ROUTE 57-60 CONFLUENCE CHOKEPOINT RELIEF PROJECT**

## **RECOMMENDED ACTION**

Authorization to execute a Project Baseline Agreement and other agreements needed to implement the State Route 57-60 Confluence Chokepoint Relief Project.

## **BACKGROUND**

The Los Angeles County Metropolitan Transportation Authority (LA Metro) is serving as the implementing agency for the design phase of the State Route 57-60 Confluence Chokepoint Relief Project to add lanes and make improvements to the freeway confluence area in the east San Gabriel Valley to reduce traffic congestion and improve traffic operations and safety. The SR 57-60 improvements are a longstanding regional highway improvement priority project for the San Gabriel Valley Council of Governments. The proposed project will fix the congested and hazardous confluence of State Routes 57 and 60, ranked no. 1 in California for freight delays and truck accidents and the no. 5 freight bottleneck in the nation. More than 700 accidents occur each year at the confluence, with one-third resulting in injury or fatality.

Earlier this year, LA Metro and Caltrans submitted an application for funding for the \$288.6 million project which was awarded \$22 million from the state SB 1 Trade Corridor Enhancement Program (TCEP) for the design and right-of-way phases. The balance of estimated costs for the two phases will be funded through Measure M and other LA Metro funds. LA Metro, as noted above is overseeing the design phase, and has requested that the SGVCOG serve as the implementing agency for the right-of-way and construction phases of the project. This LA Metro request is supported by the Cities of Diamond Bar and Industry and Caltrans as a means of expediting project delivery, and a draft cooperative agreement is under development. SGVCOG Board approval is needed to assign the project to the work plan of the Capital Projects and Construction Committee.

In addition, Board approval is required to authorize the Chief Engineer to execute the project baseline agreement concerning project schedule, cost and scope among other TCEP requirements. Staff notes that the baseline agreement obligates LA Metro, and not SGVCOG, to secure funds for any additional costs of the project. The current financial plan calls for the construction phases of the project to be funded from future TCEP application rounds with the balance of costs funded from Measure M and other Metro funds.

See Attachment A for the complete Baseline Agreement for the project.

## REPORT

---

Metro staff have indicated that the agreement must be authorized by August 10, which necessitates action to authorize execution of the agreement immediately by the SGVCOG's Board officers. The agreement, as well as the assignment of the project to the Capital Projects and Construction Committee will be affirmed at the August 16 Governing Board meeting.

Prepared by: Paul R. Hubler  
Paul Hubler  
Director of Government and Community Relations

Approved by: Marisa Creter  
Marisa Creter  
Executive Director

### **ATTACHMENT**

Attachment A - State Route 57-60 Confluence Chokepoint Relief Project Agreement



**Metro**

Los Angeles County  
Metropolitan Transportation Authority

One Gateway Plaza  
Los Angeles, CA 90012-2952

213.922.2000 Tel  
metro.net

July 25, 2018

Susan Bransen  
Executive Director  
California Transportation Commission  
1120 N Street, MS 52  
Sacramento, CA 95814

Attention Matt Bailey:

**Route 57/60 Confluence: Chokepoint Relief Program Baseline Agreement**

Dear Ms. Bransen:

On behalf of the Los Angeles County Metropolitan Transportation Authority, please accept this transmittal letter as the formal submittal of the Baseline Agreement and its Exhibits for the Route 57/60 Confluence: Chokepoint Relief Project (Project), located in the Diamond Bar and Industry, California. The Project Baseline Agreement has been signed by Phillip A. Washington, CEO, and is consistent with the approved Project Application submitted on January 16, 2018 (enclosed); the adopted TCEP Resolution TCEP-P-1718-01 approved by the California Transportation Commission on May 16, 2018; the Project Report approved on September 26, 2013; and the California Environmental Quality Act, Final EIR FONSI, SCH# 2009081062 approved on December 11, 2013.

Please contact me at 213-922-2822 or starkco@metro.net with any questions that you may have. Thank you.

Sincerely,

COSETTE STARK  
Deputy Executive Officer  
Grants Management & Oversight

Enclosures

ROAD REPAIR AND ACCOUNTABILITY ACT OF 2017  
PROJECT BASELINE AGREEMENT

Route 57/60 Confluence: Chokepoint Relief Program

Resolution \_\_\_\_\_

(will be completed by CTC)

**1. FUNDING PROGRAM**

- ☐ Active Transportation Program
- ☐ Local Partnership Program (Competitive)
- ☐ Solutions for Congested Corridors Program
- ☐ State Highway Operation and Protection Program
- ☒ Trade Corridor Enhancement Program

**2. PARTIES AND DATE**

2.1 This Project Baseline Agreement (Agreement) for the *Route 57/60 Confluence: Chokepoint Relief Program*, effective on, \_\_\_\_\_ (will be completed by CTC), is made by and between the California Transportation Commission (Commission), the California Department of Transportation (Caltrans), the Project Applicant, *Los Angeles County Metropolitan Transportation Authority (LA Metro)*, *Caltrans*, and the Implementing Agency, *LA Metro, San Gabriel Valley Council of Governments*, sometimes collectively referred to as the “Parties”.

**3. RECITAL**

- 3.2 Whereas at its May 16, 2018 meeting the Commission approved the and included in this program of projects the *Route 57/60 Confluence: Chokepoint Relief Program*, the parties are entering into this Project Baseline Agreement to document the project cost, schedule, scope and benefits, as detailed on the Project Programming Request Form attached hereto as Exhibit A and the Project Report attached hereto as Exhibit B, as the baseline for project monitoring by the Commission.
- 3.3 The undersigned Project Applicant certifies that the funding sources cited are committed and expected to be available; the estimated costs represent full project funding; and the scope and description of benefits is the best estimate possible.

**4. GENERAL PROVISIONS**

The Project Applicant, Implementing Agency, and Caltrans agree to abide by the following provisions:

- 4.1 To meet the requirements of the Road Repair and Accountability Act of 2017 (Senate Bill [SB] 1, Chapter 5, Statutes of 2017) which provides the first significant, stable, and on-going increase in state transportation funding in more than two decades.
- 4.2 To adhere, as applicable, to the provisions of the Commission:
- ☐ Resolution *Insert Number*, “Adoption of Program of Projects for the Active Transportation Program”, dated \_\_\_\_\_
  - ☐ Resolution *Insert Number*, “Adoption of Program of Projects for the Local Partnership Program”, dated \_\_\_\_\_
  - ☐ Resolution *Insert Number*, “Adoption of Program of Projects for the Solutions for Congested Corridors Program”, dated \_\_\_\_\_
  - ☐ Resolution *Insert Number*, “Adoption of Program of Projects for the State Highway Operation and Protection Program”, dated \_\_\_\_\_
  - ☒ Resolution TCEP-P-1718-01, “Adoption of Program of Projects for the Trade Corridor Enhancement Program”, dated May 16, 2018

- 4.3 All signatories agree to adhere to the Commission's Guidelines. Any conflict between the programs will be resolved at the discretion of the Commission.
- 4.4 All signatories agree to adhere to the Commission's SB 1 Accountability and Transparency Guidelines and policies, and program and project amendment processes.
- 4.5 The Los Angeles County Metropolitan Transportation Authority agrees to secure funds for any additional costs of the project.
- 4.6 The Los Angeles County Metropolitan Transportation Authority agrees to report to Caltrans on a quarterly basis; after July 2019, reports will be on a semi-annual basis on the progress made toward the implementation of the project, including scope, cost, schedule, outcomes, and anticipated benefits.
- 4.7 Caltrans agrees to prepare program progress reports on a quarterly basis; after July 2019, reports will be on a semi-annual basis and include information appropriate to assess the current state of the overall program and the current status of each project identified in the program report.
- 4.8 The Los Angeles County Metropolitan Transportation Authority agrees to submit a timely Completion Report and Final Delivery Report as specified in the Commission's SB 1 Accountability and Transparency Guidelines.
- 4.9 All signatories agree to maintain and make available to the Commission and/or its designated representative, all work related documents, including without limitation engineering, financial and other data, and methodologies and assumptions used in the determination of project benefits during the course of the project, and retain those records for four years from the date of the final closeout of the project. Financial records will be maintained in accordance with Generally Accepted Accounting Principles.
- 4.10 The Transportation Inspector General of the Independent Office of Audits and Investigations has the right to audit the project records, including technical and financial data, of the Department of Transportation, the Project Applicant, the Implementing Agency, and any consultant or sub-consultants at any time during the course of the project and for four years from the date of the final closeout of the project, therefore all project records shall be maintained and made available at the time of request. Audits will be conducted in accordance with Generally Accepted Government Auditing Standards.

## **5. SPECIFIC PROVISIONS AND CONDITIONS**

### **5.1 Project Schedule and Cost**

See Project Programming Request Form, attached as Exhibit A.

### **5.2 Project Scope**

See Project Report or equivalent, attached as Exhibit B. At a minimum, the attachment shall include the cover page, evidence of approval, executive summary, and a link to or electronic copy of the full document.

### **5.3 Other Project Specific Provisions and Conditions**

## **Attachments:**

Exhibit A: Project Programming Request Form

Exhibit B: Project Report

SIGNATURE PAGE  
TO  
PROJECT BASELINE AGREEMENT

Route 57/60 Confluence: Chokepoint Relief Program

Resolution \_\_\_\_\_

\_\_\_\_\_  
Syed Huq  
Project Manager  
Project Applicant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Phillip A. Washington  
Chief Executive Officer  
Los Angeles County Metropolitan Transportation Authority (LA Metro)  
Project Applicant / Implementing Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Shirley Choate  
Interim District Director, California Department of Transportation, District 7

\_\_\_\_\_  
Date

\_\_\_\_\_  
Laurie Berman  
Director, California Department of Transportation

\_\_\_\_\_  
Date

\_\_\_\_\_  
Susan Bransen  
Executive Director, California Transportation Commission

\_\_\_\_\_  
Date

SIGNATURE PAGE  
TO  
PROJECT BASELINE AGREEMENT

Route 57/60 Confluence: Chokepoint Relief Program

Resolution \_\_\_\_\_

\_\_\_\_\_  
Mark Christoffels  
Chief Engineer  
San Gabriel Valley Council of Governments  
Implementing Agency

\_\_\_\_\_  
Date

ROAD REPAIR AND ACCOUNTBILITY ACT OF 2017  
TRADE CORRIDOR ENHANCEMENT PROGRAM  
PROJECT BASELINE AGREEMENT  
SR57/60 Confluence: Chokepoint Relief Project

Exhibit A:  
Project Programming Request

Amendment (Existing Project) No					Date:	7/26/18	
District	EA	Project ID		PPNO	MPO ID		Alt Proj. ID
07	27912	0715000076		5394			
County	Route/Corridor	PM Bk	PM Ahd	Project Sponsor/Lead Agency			
LA	57	4.3	4.8	Metro/Caltrans			
LA	60	23.3	26.5	MPO		Element	
				SCAG		Capital Outlay	
Project Manager/Contact		Phone		E-mail Address			
Syed Huq		213-897-6714		<a href="mailto:Syed_Huq@dot.ca.gov">Syed_Huq@dot.ca.gov</a>			
<b>Project Title</b>							
SR 57/60 Confluence Chokepoint Relief Project							
<b>Location (Project Limits), Description ( Scope of Work)</b>							
In Los Angeles County, in Diamond Bar and the City of Industry, on State Route (SR) 60 from eastbound SR-60 to southbound SR-57 connector overcrossing to near Golden Springs Drive Undercrossing and SR-57 from northbound SR-57 to westbound SR-60 Connector overcrossing to South 57/60 Separation.							
<b>Component</b>							
PA&ED		City of Industry					
PS&E		LACMTA					
Right of Way		ACE (Alameda Corridor East)					
Construction		ACE (Alameda Corridor East)					
<b>Legislative Districts</b>							
Assembly:	55	Senate:	29	Congressional:	39		
<b>Project Benefits</b>							
The primary purpose of the proposed project is to improve traffic operations and safety on SR-57 and SR-60 Confluence.							
<b>Purpose and Need</b>							
The purpose of the project is to: reduce congestion and delays on Grand Avenue from Golden Springs Drive to the interchange at SR-60. Reduce congestion and delays at the Grand Avenue interchange. Reduce congestion and delays on the SR-57/SR-60 freeway mainline. Reduce weaving within the SR-57/SR-60 Confluence. Improve safety by reducing weaving movements and increasing weaving distances along the SR-57/SR-60 Confluence. Continue on page 2.							
Category		Outputs/Outcomes			Unit	Total	
State Highway Road Construction		Modified / Improved Interchanges			each	1	
		Auxiliary Lane miles constructed			Miles	1.5	
		New bridges			each	3	
ADA Improvements Y/N		Bike/Ped Improvements Y/N			Reversible Lane analysis Y/N		
Includes Sustainable Communities Strategy Goals Y/N				Reduces Greenhouse Gas Emissions Y/N			
<b>Project Milestone</b>					Existing	Proposed	
Project Study Report Approved					03/30/09		
Begin Environmental (PA&ED) Phase						12/22/04	
Circulate Draft Environmental Document				Document Type			
Draft Project Report							
End Environmental Phase (PA&ED Milestone)						12/01/13	
Begin Design (PS&E) Phase						06/01/18	
End Design Phase (Ready to List for Advertisement Milestone)						04/15/20	
Begin Right of Way Phase						09/30/18	
End Right of Way Phase (Right of Way Certification Milestone)						04/15/20	
Begin Construction Phase (Contract Award Milestone)						01/03/21	
End Construction Phase (Construction Contract Acceptance Milestone)						12/01/24	
Begin Closeout Phase							
End Closeout Phase (Closeout Report)							

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento,

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

Date: 7/26/18

**Additional Information****Need:**

Improvements to the SR-57/SR-60 Confluence are needed to improve safety and operational deficiencies at the Grand Avenue interchange. Regional population and employment growth between 2008 and 2035 are expected to result in more traffic. According to the traffic forecast from the Southern California Association of Governments (SCAG) model, traffic volumes are projected to increase 10 to 25 percent over existing volumes along the SR-60 mainline and in the recently constructed High-Occupancy Vehicle (HOV) lanes.

Forecast traffic in 2037 would result in further deterioration of freeway operations and an estimated Level of Service (LOS) of F on the mainline of the SR-57/SR-60 Confluence in both the westbound and eastbound direction. Therefore, improvements are proposed at the SR-57/SR-60 Confluence to accommodate expected traffic volumes.

Schedule delivery of April 2020 is based on aggressive scheduling on a traditional Design-Bid- Build (DBB) model. If project changes to Design-Build (DB), the award of a contract may be adjusted earlier.

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

Date: 7/27/18

District	County	Route	EA	Project ID	PPNO	Alt Proj. ID
07	LA, LA	57, 60	27912	0715000076	5394	
<b>Project Title:</b> SR 57/60 Confluence Chokepoint Relief Project						

Existing Total Project Cost (\$1,000s)									Implementing Agency
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	
E&P (PA&ED)									City of Industry
PS&E									LACMTA
R/W SUP (CT)									ACE (Alameda Corridor East)
CON SUP (CT)									ACE (Alameda Corridor East)
R/W									ACE (Alameda Corridor East)
CON									ACE (Alameda Corridor East)
TOTAL									
Proposed Total Project Cost (\$1,000s)									Notes
E&P (PA&ED)	1,600							1,600	
PS&E		25,000						25,000	
R/W SUP (CT)									
CON SUP (CT)									
R/W		36,200						36,200	
CON			225,800					225,800	
TOTAL	1,600	61,200	225,800					288,600	

Fund No. 1:	Local funding								Program Code
Existing Funding (\$1,000s)									
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	Funding Agency
E&P (PA&ED)									City of Industry-local
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)	1,600							1,600	Funded thru City of Industry and Metro for the Project Report and Environmental Document for both Segments.
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL	1,600							1,600	

Fund No. 2:	Trade Corridor (TCEP)(State Share )								Program Code
Existing Funding (\$1,000s)									
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	Funding Agency
E&P (PA&ED)									CALTRANS
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)									Proposed Funding for the Design-Bid-Build implemented by Metro / Caltrans. Recommended by CTC staff 4/25/2018
PS&E		15,000						15,000	
R/W SUP (CT)									
CON SUP (CT)									
R/W		5,000						5,000	
CON									
TOTAL		20,000						20,000	

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

Date: 7/27/18

District	County	Route	EA	Project ID	PPNO	Alt Proj. ID
07	LA, LA	57, 60	27912	0715000076	5394	
<b>Project Title:</b> SR 57/60 Confluence Chokepoint Relief Project						

Fund No. 3: Local Funding									Program Code
Existing Funding (\$1,000s)									Funding Agency
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	
E&P (PA&ED)									LA Metro
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)									Metro funding with Measure M funding possible RSTP. Metro will fund additional RW (capital) adjustments but not included in the PPR until final estimate
PS&E		8,000						8,000	
R/W SUP (CT)									
CON SUP (CT)									
R/W		31,200						31,200	
CON			65,800					65,800	
TOTAL		39,200	65,800					105,000	

Fund No. 4: Trade Corridor (TCEP) (regional share)									Program Code
Existing Funding (\$1,000s)									Funding Agency
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)									Proposed funding from Trade Corridor regional share. Recommended by CTC staff 4/25/2018
PS&E		2,000						2,000	
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL		2,000						2,000	

Fund No. 5: Local Funding									Program Code
Existing Funding (\$1,000s)									Funding Agency
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)									Additional funding not funded with the original TCEP request to be funded either thru future application or local funding.
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON			160,000					160,000	
TOTAL			160,000					160,000	

ROAD REPAIR AND ACCOUNTBILITY ACT OF 2017  
TRADE CORRIDOR ENHANCEMENT PROGRAM  
PROJECT BASELINE AGREEMENT  
SR57/60 Confluence: Chokepoint Relief Project

Exhibit B:  
Project Report

To view the entire Project Report documents go to:  
[https://www.dropbox.com/s/qt5ugvslxavqhl/SR-57\\_60%20Final%20Project%20Report.pdf?dl=0](https://www.dropbox.com/s/qt5ugvslxavqhl/SR-57_60%20Final%20Project%20Report.pdf?dl=0)



This Project Report has been prepared under the direction of the following registered engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

  
REGISTERED CIVIL ENGINEER

  
DATE



## **1. INTRODUCTION**

The City of Industry and the city of Diamond Bar (Diamond Bar), in cooperation with the California Department of Transportation (Caltrans), propose freeway improvements to the State Route (SR) 57/SR-60 confluence at the Grand Avenue interchange in Los Angeles County. The primary purpose of the proposed project is to improve traffic operations and safety on SR-57 and SR-60 at the Grand Avenue interchange. Portions of the proposed project are located within City of Industry and Diamond Bar (the City), with the project limits on SR-60 from 0.4 miles east of Brea Canyon Rd to 0.5 miles east of Diamond Bar Blvd, and on SR-57 from 0.8 miles south of Sunset Blvd to 1.2 miles north of Pathfinder Road.

This Project Report (PR) is prepared to address the need for improvements on SR-60 and SR-57, herein referred to as “the Confluence Project”. The preferred alternative (Alternative 3) proposes constructing a new eastbound SR-60 bypass off-ramp to Grand Avenue, a new eastbound bypass connector to SR-60, widening Grand Avenue from Golden Springs Drive to the westbound SR-60 on and off-ramps, reconstructing the Grand Avenue Overcrossing, and reconfiguring the eastbound and westbound ramps at Grand Avenue, including adding a southbound Grand Avenue to eastbound SR-60 loop on-ramp. The project would accommodate the projected traffic volume in the 2008 regional Southern California Association of Governments (SCAG) model for the future year 2037.

The project cost is estimated at \$233.5 million (in 2013), which includes \$38.8 million (in 2017) for right-of-way and utility relocation, and \$38.9 million (in 2013) in support costs. The project is proposed to be funded by a mixture of local, state, and Federal funds in fiscal years 2013/2014 to 2017/2018. This project has been assigned a Project Development Category 4A because it requires substantial right-of-way with no amendment to the existing freeway agreement.

## **2. RECOMMENDATION**

It is recommended that the project be approved using the preferred alternative and the project proceed to the design phase. The affected local agencies (Diamond Bar and City of Industry) have been consulted with respect to the recommended plan, their views have been considered, and they are in general accord with the plan as presented.

## **3. BACKGROUND**

### **A. Project History**

A Project Study Report (PSR) was approved on March 27, 2009 for the conceptual interchange modification of SR-60 between the SR-57/SR-60 West Junction and the SR-57/SR-60 East Junction. The PSR identified the westbound SR-60 slip on-ramp from Grand Avenue as the first phase of the project as it was common to all the build alternatives in the PSR, and has independent utility. A Project Report for the westbound SR-60 slip on-ramp (EA255100) was prepared by the City and approved by Caltrans on September 12, 2011. The PSR also identified three build alternatives and recommended they be studied further. Though the PSR identified the

beginning of the project on SR-60 as postmile R23.7, to more accurately reflect the construction limits of the build alternatives evaluated in this Project Report, the beginning of the project has been changed to postmile R23.3.

## **B. Community Interaction**

The Notice of Preparation of a Draft Environmental Impact Report/Environmental Assessment (DEIR/EA) for the project was advertised to the public on August 4, 2009. A public scoping meeting was held by Caltrans at the Diamond Bar Community center on September 2, 2009. The scoping meeting provided the public with an opportunity to review the three alternatives in the PSR, and allow the public to ask questions and provide comments on the project.

The most common public concerns included the following:

- Concerns about noise, air quality and traffic during construction
- The project does not address the potential deficiency on NB SR-57
- Lack of a HOV off-ramp to Diamond Bar Boulevard
- Concern of the State using eminent domain to acquire the necessary right-of-way
- Cumulative impacts of traffic generated by other projects

The DEIR/EA disclosed the analysis of project impacts on the natural and human environment resulting from construction and project operation. Where applicable, mitigation measures were proposed to offset those impacts. The above concerns were considered during the project initiation document phase. Both build alternatives studied in the DEIR/EA minimize the impact to existing properties along SR-60 with no new right-of-way acquired from private residences.

The DEIR/EA was circulated to the public from February 19, 2013 to April 5, 2013. A public hearing was held on March 6, 2013. Notification of the public hearing was provided via newspaper and direct mailings.

## **C. Local Agency Coordination**

Diamond Bar and City of Industry participated in the Project Development Team (PDT) meetings. Both cities were given the opportunity to review the traffic report and provide input on the proposed improvements. The two build alternatives were presented by the city staff to the Diamond Bar city council on April 3<sup>rd</sup>, 2012 .

The proposed improvements of Grand Avenue Interchange on SR-60 have been coordinated with City of Industry, who is planning a large industrial and commercial development north of SR-60 adjacent to Grand Avenue. As a result of the coordination, Old Brea Canyon Road will be relocated to align with the proposed westbound on and off-ramps on SR-60 at Grand Avenue.

Caltrans has held several coordination meetings with City of Industry and Los Angeles County Department of Parks and Recreation (County). A list of meetings conducted so far with local elected officials and public agency staff members is provided below.

## **4. NEED AND PURPOSE**

### **A. Problem, Deficiencies, Justification**

The existing SR57/SR60 Confluence and the Grand Avenue interchange currently exhibit operational deficiencies in the morning (AM) and afternoon (PM) peak periods. The SCAG travel forecasting model estimates regional population and employment growth between the years 2008 and 2035 to result in traffic growth approximately 10% to 25% higher than the existing volumes for the SR-60 mainline and the recently constructed HOV lanes.

The existing AM and PM peak period Level of Service (LOS) for the eastbound SR-60 are D and F respectively. The existing AM and PM peak period LOS for the westbound SR-60 are F and D respectively. Forecast traffic in 2037 would result in further deterioration of freeway operations to an estimated LOS of F for both AM and PM peak periods on the mainline of the SR-57/SR-60 confluence in both the westbound and eastbound direction. Similarly, the LOS of the Grand Avenue interchanges range from B at the eastbound on and off-ramp to D at the westbound on and off-ramps. The 2037 future LOS are projected to be F. Therefore, improvements are needed at the SR-57/SR-60 confluence and Grand Avenue interchanges to accommodate expected traffic growth.

The purpose of the project is:

- Reduce congestion and delays on Grand Avenue from Golden Springs Drive to the interchange at SR-60.
- Reduce congestion and delays at the Grand Avenue interchange.
- Reduce congestion and delays on the SR-57/SR-60 freeway mainline.
- Reduce weaving within the SR-57/SR-60 confluence.
- Improve safety by reducing weaving movements and increasing weaving distances along the SR-57/SR-60 confluence.

### **B. Regional & System Planning**

SR-60 is part of the National Highway System (NHS) and the State Freeway and Expressway (F&E) System.

#### **i. State Planning**

The SR-60 Ultimate Transportation Corridor (UTC) for 2025 as identified in the SR-60 Transportation Concept Report (TCR) was approved in July 2005. The TCR identified seven distinct segments for improvements on SR-60. The Grand Avenue interchange is within Segment 5 of the approved TCR report. The UTC for Segment 5 recommends six mixed-flow lanes, plus two HOV lanes, and two truck lanes. The existing SR-60 contains the six mixed-flow and two HOV lanes suggested in the UTC. It is anticipated that truck lanes, if required, would follow a separate corridor alignment outside the existing or proposed Caltrans right-of-way. However, space under Grand Avenue OC should provide adequate clearance for 8 lanes plus two HOV lanes in each direction with standard left and right shoulders.

## **ii. Regional and System Planning**

The proposed project is identified in the 2012 Transportation Plan (RTP) prepared by the Southern California Association of Governments (SCAG).

In 2005, the Los Angeles County Metropolitan Transportation Authority (Metro), in conjunction with Caltrans, City of Industry and Diamond Bar, prepared a Project Feasibility Study (PFS). The PFS presented concepts to improve the SR-57 and SR-60 freeways. Specifically, the purpose of the PFS was to develop a long-range plan by evaluating concepts for improving the SR-57/SR-60 confluence. The study concluded that the primary issue was not a shortage of through lanes, but a high volume of weaving traffic within the interchange. The two sources of weaving are from vehicles exiting and entering Grand Avenue, and from missing the HOV connectors to SR-57 on the east end of the confluence. A subset of the study identified opportunities to improve interchange operations at Grand Avenue and reduce weaving between the mainline and the on- and off-ramps. The study also evaluated a concept for completing the missing connectors between the two freeway-to-freeway interchanges, from westbound SR-60 to northbound SR-57 and the reverse move from southbound SR-57 to eastbound SR-60, and the HOV connectors from northbound SR-57 to westbound SR-60 and the reverse move from eastbound SR-60 to southbound SR-57. Metro completed and approved the report in August 2010. The Grand Avenue interchange improvement alternatives have been coordinated with the concepts developed in the PFS.

## **iii. Local Planning**

A new interchange on SR-60 at Lemon Avenue is planned. The interchange is located approximately two miles west of the Grand Avenue interchange in Diamond Bar. A Project Report for interchange improvements was approved by Caltrans District 7 on October 12, 2010. The Lemon Avenue project would not have a direct impact on the proposed Grand Avenue project.

A new slip on-ramp from Grand Avenue to westbound SR-60 is planned. A Project Report was approved by Caltrans District 7 on September 12, 2011. This planned Grand Avenue slip on-ramp has been incorporated into the proposed project build alternatives. The location and design of the new on-ramp retaining walls have been coordinated with the alternatives presented herein to minimize potential reconstruction.

In the vicinity of the project, the Industry Urban Development Agency is in the process of developing the 592-acre Industry Business Center (IBC). The project is consistent with the Environmental Impact Statement/ Environmental Impact (EIS/EIR) approved in 2004 and the supplemental EIS/EIR of 2008 covering the IBC. The project will continue to be coordinated with the IBC which plans to realign the Old Brea Canyon Rd and rename it Grand Crossing. Forecast traffic volumes from the planned IBC have been incorporated into all alternatives of the traffic report.

The alternatives evaluated in this project report adhere to City of Industry's long range plan to improve traffic circulation along Grand Avenue.

The preferred alternative is Alternative 3. Alternative 3 provides greater traffic operation improvements for the Grand Avenue Interchange to a greater extent than Alternatives 1 and 2. The additional impact to the golf course due to constructing Alternative 3 over Alternative 2 was not a concern expressed by the public, who did express support of Alternative 3 over Alternative 2. Further the County agrees to the mitigation features proposed by the project to minimize harm to the golf course. Alternative 3 was also selected as the preferred alternative because it provided a much greater improvement in operational traffic flow at a marginal increase in cost compared to Alternative 2. Although the No-Build Alternative would not result in the impacts that would occur under the build alternatives, this alternative would not achieve the identified objective of the project. The project study area would continue to experience unacceptable levels of service in the peak hours, which would only worsen over time because of projected local and regional growth. No changes to the project design or mitigation features were made as a result of the public comments.

#### **i. Common Proposed Engineering Features**

The two build alternatives, 2 and 3, have the following improvements in common:

For the two build alternatives, a new bypass off-ramp is proposed for eastbound SR-60 west of the southern/western SR-57/SR-60 interchange. The bypass off-ramp contains a single ramp lane that is barrier separated from the mainline freeway traffic until passing the exit gore of the Grand Avenue off-ramp from SR-57. Traffic from northbound SR-57 would have an optional exit to Grand Avenue. The SR-57 off-ramp lane would join the one lane bypass off-ramp to form a two lane off-ramp to Grand Avenue. The off-ramp would widen to three lanes at the final approach to the intersection at Grand Avenue. All three lanes that originated from northbound SR-57 would continue through the Grand Avenue Interchange.

The eastbound on-ramp from Grand Avenue would be built as an auxiliary lane that would exit to a new two-lane connector to eastbound SR-60 which would bypass the northbound 57 connector. The eastbound bypass connector would require a new overcrossing structure at Prospector Road and Diamond Bar Boulevard off-ramp and Diamond Bar Boulevard. The Diamond Bar Blvd on-ramp would be realigned to accommodate the new bypass connector.

In the westbound direction of SR-60, all three lanes of SR-57 would be maintained by extending the existing dropped lane on SR-57 for approximately 2,500 feet to the Grand Avenue off-ramp. This lane would exit to the Grand Avenue off-ramp. The adjacent right lane would be an optional exit to Grand Avenue, creating a two-lane exit ramp at Grand Avenue. The off-ramp would transition to five lanes at the Grand Avenue intersection. The interchange configuration for the westbound SR\_60 at Grand Avenue would remain as a combination of partial cloverleaf. Widening of Grand Avenue to the east requires reconstruction of the loop on-ramp and corresponding relocation northward of the intersection with Grand Avenue.

Grand Avenue would be widened to four through lanes in each direction. Grand Avenue centerline would be shifted to the east as it crosses SR-60 in order to avoid a right-of-way acquisition from a vacant automobile dealership. The centerline shift would require realigning the eastbound loop on-ramp approximately 100 feet north of the existing intersection. The

intersection relocation would also require realigning westbound off-ramp and the Old Brea Canyon Road (to be renamed Grand Crossing Parkway) by the same distance.

The existing Grand Avenue Overcrossing (Br. No. 53-1864) does not have sufficient length to accommodate the proposed widening of SR-60. A new overcrossing would be required with longer span and higher vertical clearance that meets the design standard. Because of the longer span, the new overcrossing bridge would be deeper than the existing structure. This would require Grand Avenue profile be raised by 9 feet over the existing bridge, and transitioned back to the existing profile at the westbound off-ramp intersection to the north, and the Golden Springs Drive intersection to the south.

The widening of Grand Avenue would continue south to Golden Springs Drive. Golden Springs Drive would be widened to allow additional through lanes, double left-turn lanes, and one right-turn lane on three legs of the intersection of Grand Avenue and Golden Springs Drive. One right-turn lane would be provided on Grand Avenue on the northbound approach to Golden Springs Drive. Approximately 600 feet of Grand Avenue in the northbound direction south of the intersection at Golden Springs Drive would be reconfigured to accommodate three lanes in each direction.

A continuous pedestrian walkway is currently provided on the west side of Grand Avenue between Golden Springs Drive and Old Brea Canyon Road. Eight feet wide sidewalks would be provided on both sides of Grand Avenue, constructed from Golden Springs Drive to the new westbound ramp intersection.

## **ii. Alternative 3 Proposed Engineering Features**

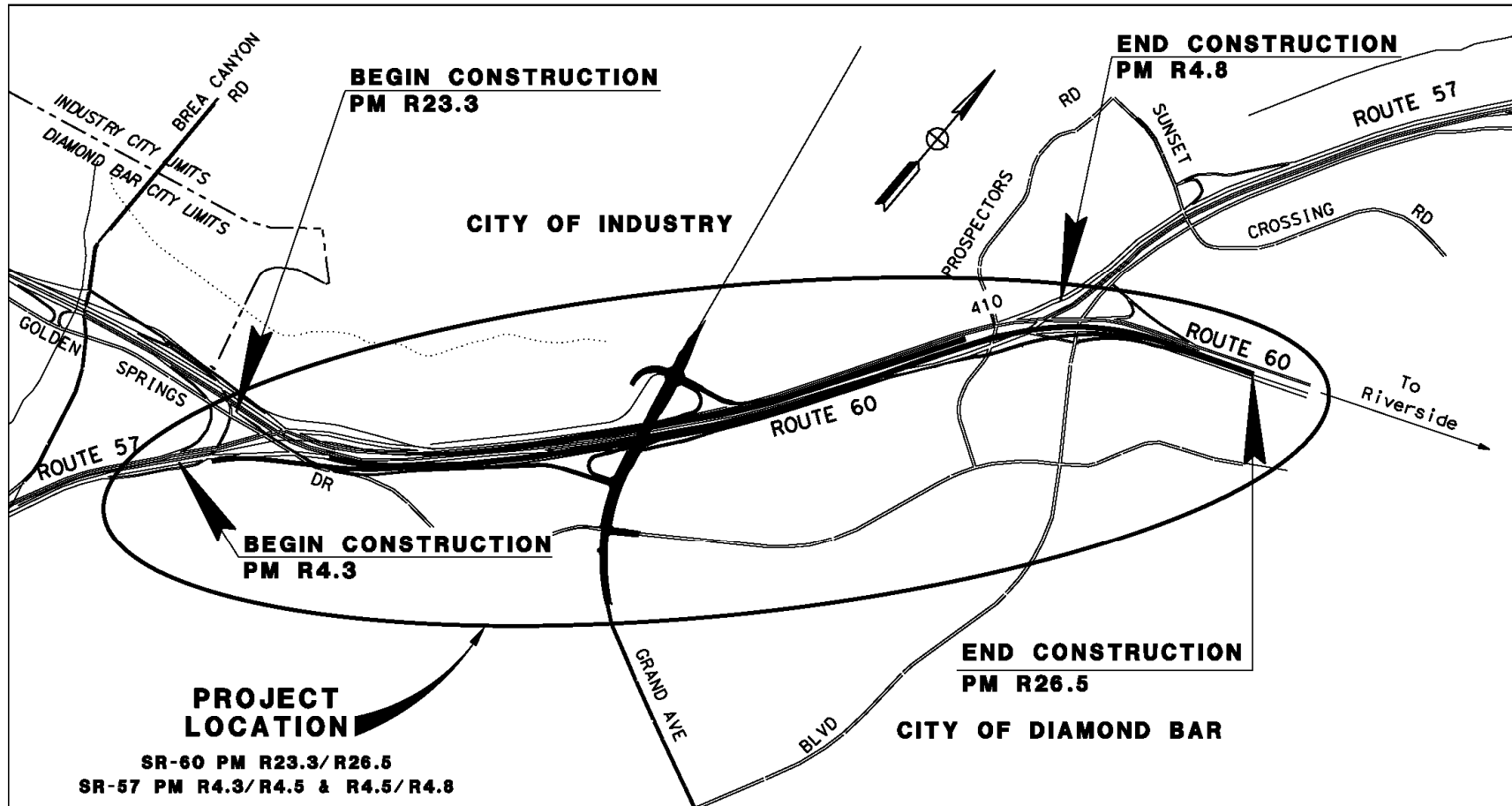
In addition to the above features, Alternative 3 would change the eastbound on and off-ramp configuration from a tight diamond to a partial cloverleaf interchange that includes a new eastbound loop on-ramp serving southbound Grand Avenue traffic. The partial cloverleaf on and off-ramps would eliminate the need for the existing southbound left turn lanes on Grand Avenue Overcrossing. In order to provide space for the new loop on-ramp, the off-ramp intersection with Grand Avenue would be shifted approximately 500 feet south of the existing intersection.. The new eastbound loop on-ramp would join SR-60 as a new eastbound auxiliary lane. The existing eastbound slip on-ramp would be realigned to accommodate the widened Grand Avenue and the additional freeway lanes, and would merge into the eastbound auxiliary lane on SR-60.

The existing Grand Avenue Overcrossing would be replaced with a new overcrossing structure over SR-60, 136 feet-wide accommodating eight through lanes, a median and two eight-foot sidewalks.

## **iii. Alternative 2 Proposed Engineering Features**

The main difference of Alternative 2 when compared to Alternative 3 is the eastbound SR-60 interchange at Grand Avenue. Alternative 2 would maintain the existing interchange configuration (compact-diamond) for the eastbound on and off-ramps on SR-60. The ramps would be relocated to provide room for the additional SR-60 through lane. A third lane would be added to the eastbound on-ramp. An auxiliary lane would be added connecting the relocated

## Vicinity Map



ON SR-60

Between SR-57/SR60 West Junction and SR-57/SR60 East Junction

**RIGHT OF WAY DATA SHEET**

(Form #)

EXHIBIT

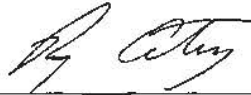
4-EX-1 (REV 3/2004)

Page 4 of 4

Evaluation Prepared By:

Right of Way

Name

Date May 22, 2013Ray Armstrong, SR/WA  
Overland, Pacific & Cutler, Inc.

Utilities

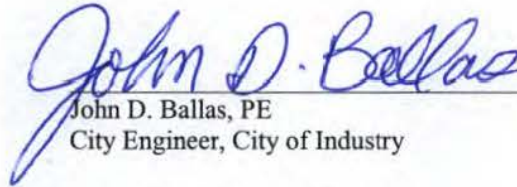
Name

Date 5-22-13Marie Marston, PE  
Civil Works Engineers

Recommended for Approval:

Date 5-22-13Daniel S. Weddell, PE  
WKE, Inc.

I have personally reviewed this Right of Way Data Sheet and all supporting information. I certify that the probable Highest and Best Use, estimated values, escalation rates, and assumptions are reasonable and proper subject to the limiting conditions set forth, and I find this Data Sheet complete and current.

John D. Ballas, PE  
City Engineer, City of Industry

Date

5-24-2013



# **SB 1 Program Application Transmittal Sheet**

**Project Name:** Route 57/60 Confluence: Chokepoint Relief Program

**Nominating Agency/Agencies:** California Department of Transportation (Caltrans)

**Implementing Agency/Agencies:** California Department of Transportation (Caltrans)

Los Angeles County Metropolitan Transportation Authority (Metro)

**Total Project Cost:** \$288,600,000

**Requesting Cost:**

**State:** \$92,000,000 **Local:** \$88,000,000 **Request Total:** \$180,000,000

**Project Location:** In Los Angeles County, in Diamond Bar and the City of Industry, on State Route (SR) 60 from eastbound SR-60 to southbound SR-57 connector overcrossing to near Golden Springs Drive Undercrossing and SR-57 from northbound SR-57 to westbound SR-60 Connector overcrossing to South 57/60 Separation

**City/Cities:** City of Industry and City of Diamond Bar

**County/Counties:** Los Angeles County

**Post Miles:** LA 57 R4.3/R4.8 and LA 60 23.5/25.5

**Legislative Districts:**

**Assembly Districts:** Assembly District 55

**Senate Districts:** Senate District 29

**Program(s) Applying for:**

- ☐ **Local Partnership Program (LPP@catc.ca.gov)**
- ☐ **Solutions to Congested Corridors Program (SCCP@catc.ca.gov)**
- ☒ **Trade Corridor Enhancement Program (TCEP@catc.ca.gov)**

For Agencies with Multiple Project Submissions:  
Priority # 10 of 12 projects



**DEPARTMENT OF TRANSPORTATION**

OFFICE OF THE DIRECTOR  
P.O. BOX 942873, MS-49  
SACRAMENTO, CA 94273-0001  
PHONE (916) 654-6130  
FAX (916) 653-5776  
TTY 711  
www.dot.ca.gov



*Making Conservation  
a California Way of Life.*

January 16, 2018

Susan Bransen  
Executive Director  
California Transportation Commission  
1120 N Street, MS-52  
Sacramento, CA 95814

Dear Ms. Bransen:

The California Department of Transportation (Caltrans) and Los Angeles County Metropolitan Transportation Authority (Metro) are pleased to submit this application for the SR 57/60 Confluence: Chokepoint Relief Program under the Senate Bill 1 (SB 1) Trade Corridor Enhancement Program (TCEP). The request is for \$180 million in TCEP funding for the Project with \$92 million being requested from the State share and \$88 million from the regional share. Total estimated cost of the project is \$288.6 million.

Caltrans will be the lead agency, in coordination with Los Angeles County Metropolitan Transportation Authority. Any cost overruns above the allocated amounts for the Project will be shared by the identified agencies at the proposed funding ratios, the Caltrans portion will be deducted from future TCEP program shares and the Los Angeles County Metropolitan Transportation Authority share will be from Measure M.

The Project addresses severe safety and operational challenges along a two mile segment where SR 57 and SR 60 merge. Currently, there are 662 hours of peak period delay for trucks each day. The interchange was ranked the 5<sup>th</sup> worst freight chokepoint in the nation in 2018.

The Project is the third phase of improvements at the confluence of these two freeways. Caltrans and Metro along with the Cities of Industry and Diamond Bar have coordinated work on all three phases. A Needs Assessment was completed by the Southern California Association of Governments (SCAG) in 2017 to identify future needs.

We greatly appreciate the California Transportation Commission's consideration of the requested investment in this Project, as it is a critical component of the transportation infrastructure for California. We believe the Project is a strong candidate for SB 1 TCEP funding.

Ms. Susan Bransen  
January 16, 2018  
Page 2

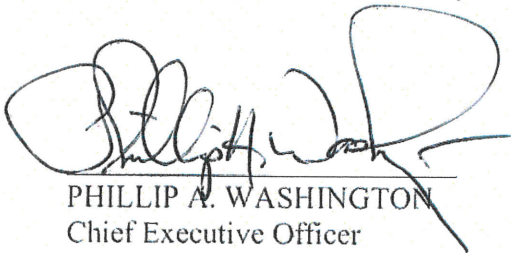
The signatures below confirm support from Caltrans and Metro and that all of the information within the application and the Project Programming Request form is accurate, including the Project description, funding profile, and the completion dates.

Sincerely,



CARRIE BOWEN  
District 7 Director  
California Department of Transportation

\_\_\_\_\_  
Date



PHILLIP A. WASHINGTON  
Chief Executive Officer  
Los Angeles County Metropolitan Transportation Authority

\_\_\_\_\_  
Date



MALCOLM DOUGHERTY  
Director  
California Department of Transportation

1-29-18  
Date

**2018 TRADE CORRIDOR ENHANCEMENT PROGRAM  
Caltrans Project Nomination Application**

**Part 1 - Applicant Information**

**Applicant Agency Name:**

Caltrans
----------

**Primary Applicant Contact:**

**Title:**

Syed Huq	Project Manager
----------	-----------------

**Applicant Phone No.:**

**Applicant Email Address:**

213-897-6714	Syed.Huq@dot.ca.gov
--------------	---------------------

**Applicant Street Address:**

**City:**

**ZIP Code:**

100 S. Main Street	Los Angeles	CA	90012
--------------------	-------------	----	-------

**Implementing Agency Name:** (If different from the above)

Caltrans and Metro
--------------------

**Agency Primary Contact:**

**Title:**

--	--

**Agency Contact Phone No.:**

**Agency Contact Email Address:**

--	--

**Agency Address:**

**City:**

**ZIP Code:**

		CA	
--	--	----	--

**Project Location Information:**

**Caltrans District:**

**Assembly District:**

**Senate District:**

7	55	29
---	----	----

**County**

**Route**

**Post Mile (to)**

**Post Mile (from)**

**-or-**

**Latitude**

**Longitude**

LA	57/ 60	R4.3 23.5	R4.8 25.5			
----	-----------	--------------	--------------	--	--	--

**Part 2 - Project Application**  
(Refer to Guidelines Section 17)

- A. Confirm that any new terminal project will not have significant environmental impacts, as described in related environmental documents as a result of the storage, handling, or transport of coal in bulk pursuant to Government Code Section 14525.3. In evaluating each new terminal, if related environmental documents are not yet complete, provide written confirmation as appropriate:

Yes

- B. Confirm that any capacity-increasing project or a major street or highway lane realignment project was considered for reversible lanes pursuant to Streets and Highways Code Section 100.15:

Not Applicable

**1. Project title:**

SR 57/60 Confluence: Chokepoint Relief Program

**2. Project priority:**

10 of 12

**3. Project background and a purpose and need statement:**

Due to their strategic connections to seaports, warehousing clusters, intermodal facilities, and the National Highway Freight network, State Route (SR) 57 and SR 60 rank among the most heavily-traveled freight corridors in Southern California. For a two-mile segment in eastern Los Angeles County, they merge and share an alignment, creating unsafe weaving conflicts between heavy truck traffic and passenger vehicles. This shared alignment, known as the SR 57/60 Confluence, is the second-highest truck accident location in Southern California. It is ranked the 5<sup>th</sup> most congested freight chokepoint in the nation and is the #1 freight chokepoint in California according to the American Transportation Research Institute. Trucks experience an average of 662 hours of peak-period travel delay each day in the eastbound (EB) direction.

**Purpose:**

The purpose of the project is to:

- Reduce congestion and delays on the SR 57/SR 60 freeway mainline.
- Reduce weaving within the SR 57/SR 60 Confluence.
- Improve safety by reducing weaving movements and increasing weaving distances along the SR 57/SR 60 Confluence.
- Reduce congestion and delays on Grand Avenue from Golden Springs Drive to the interchange at SR-60.

- Reduce congestion and delays at the Grand Avenue interchange.

**Need:**

Improvements to the SR 57/SR 60 Confluence are needed to improve safety and operational deficiencies on the SR 57/SR 60 mainline and at the Grand Avenue interchange. Regional population and employment growth between 2008 and 2035 are expected to result in more traffic. According to the traffic forecast from the Southern California Association of Governments (SCAG) model, traffic volumes are projected to increase 10 to 25 percent over existing volumes along the SR-60 mainline and in the recently constructed High-Occupancy Vehicle (HOV) lanes. Forecast traffic in 2035 would result in further deterioration of freeway operations and an estimated Level of Service (LOS) of F on the mainline of the SR 57/SR 60 Confluence in both the westbound and eastbound direction. Therefore, improvements are proposed at the SR 57/SR 60 Confluence to accommodate expected traffic volumes.

**4. Concisely describe the project scope and anticipated benefits (outcomes and outputs) proposed for funding:**

The construction of critical bypass improvements to unlock a bottleneck on SR-57 where SR-60 shares the same alignment. The purpose of the project is congestion relief, accident reduction, and increase supply chain optimization (operational improvements).

**The Project's benefits include:**

- Eliminating the bottleneck on SR 57/SR 60, which is on the National Highway Freight Network, and will bring congestion relief on a major east-west freight corridor link between the coastal cities in Southern California and Inland Empire and beyond.
- Improving safety by separating traffic at a local interchange with bypass connectors that would reduce the weaving conflict with SR-57 and SR-60 traffic in the EB direction.
- Saves \$1.0 billion in driver delay time over next 20 years.
- Promoting efficient freight operational development by allowing for quicker and easier movement of goods from the Ports of Los Angeles and Long Beach to new warehousing. For example, 25% of trucks passing through this bottleneck originate from the Ports of Los Angeles and Long Beach. Specifically, on SR-60, the truck volume will continue to grow from 13,600 eastbound trucks to 22,800 trucks a day in 2042.
- The three-and-a-half mile section of SR-60, a major freight corridor, was identified in the Comprehensive Regional Goods Movement Plan and Implementation Strategy study as the second most dangerous truck corridor in Southern California, with 27 accidents per mile per year that involved trucks. Over the three-year period from 2008 to 2011, there were 95 accidents in the eastbound direction. The Project will improve safety by reducing congestion, eliminating non-standard design features, reducing weaving movements, and reducing lane density within weaving sections.
- Providing significant incentives to accelerate private investment and construction of large warehousing on adjacent developable lands slated for industrial/commercial usage which will

result in significant job creation. Fifty percent of Southern California region's warehouses square footage is located within 5 miles of SR-60.

- Easing the daily drives of workers commuting between the four counties in Southern California, thus promoting quality of life by improving access to all employment centers in the region.
- Easing the commute of college workers and students by improving access to the nearby campuses of California State University, Fullerton (CSU Fullerton), and California State Polytechnic University, Pomona (Cal Poly Pomona).

**5. Describe how the project furthers the goals of the California Freight Mobility Plan and the guiding principles of the California Sustainable Freight Action Plan:**

The project furthers the Goals of the California Freight Mobility Plan by:

**Economic Competitiveness** - Improve the contribution of the California freight transportation system to economic efficiency, productivity, and competitiveness by improving travel time in the SR-57/SR-60 confluence which is rank among the most heavily-traveled freight corridors in Southern California.

**Safety & Security** - Improve the safety, security, and resilience of the freight transportation system Freight System Infrastructure by reducing the hazard/conflict weaving between cars which will lead to improve safety.

**Preservation** - Improve the state of good repair of the freight transportation system by extending the third NB SR-57 that currently drops at Grand Ave through the confluence, a new EB SR-60 bypass off-ramp to Grand Ave, a new bypass connector from Grand Ave to EB SR-60, reconstruct Grand Ave overcrossing, and reconfiguring the EB ramps at Grand Ave, including adding a SB Grand Ave to EB SR-60 loop ramp.

**Environmental Stewardship** - Avoid and reduce adverse environmental and community impacts of the freight transportation system by improving the efficient movement of freight traffic through the confluence area by reducing hazardous accidents between vehicles and trucks that carry flammable material; Improving air quality by reducing GHG and criteria pollutants.

**Congestion Relief** - Reduce costs to users by minimizing congestion on the freight transportation system.

**Innovative Technology & Practices** – While there are not specific innovative technologies built into the SR 57/SR 60 Confluence Project, Caltrans and Metro are partnering on the deployment of innovative Active Transportation Management (ATM) technologies in Los Angeles County and will be evaluating these deployments for effectiveness with an eye toward expanding application to as many corridors as possible. These technologies include dynamic lane management and queue warnings, both of which could play a future role in optimizing the operation performance of the SR 57/SR60 confluence improvements. The design for the SR 57/SR 60 confluence does not preclude the installation of these technologies upon further evaluation. When these innovative technologies are deployed, they will allow the system to be operated and maintained in such a way that optimal efficiency will be achieved, thus reducing the freight transportation system's impact on the environmental and the community.

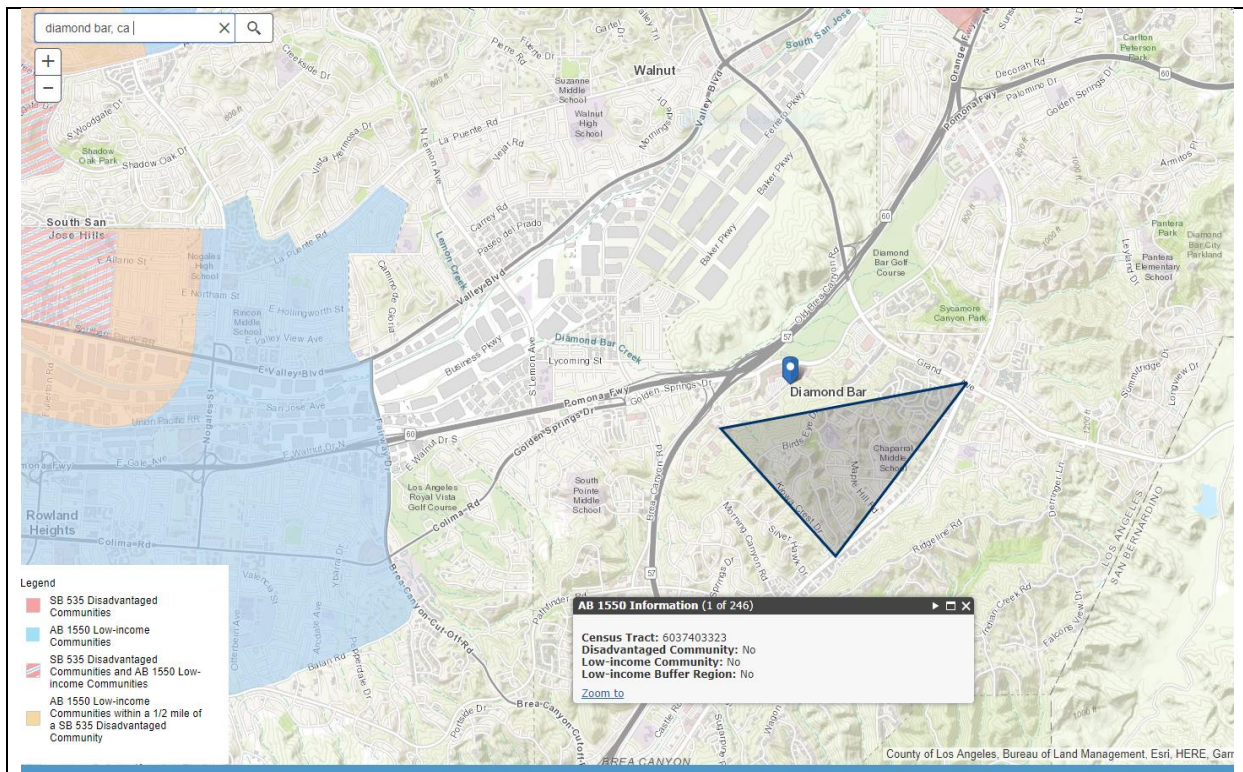
The project The Project furthers the Guiding Principles in the California Sustainable Freight Action Plan because the Project helps:

- Support efforts by the City of Diamond Bar and City of Industry, Metro, SCAG and Caltrans to improve the SR 57/SR 60 Confluence to reduce delays and improve safety important freight corridor.
- Grow the economic competitiveness of California by improving freight travel time from the Ports of Los Angeles and Long Beach through the region.
- Reduce freight related death and injuries by eliminating cross weaving movements through the confluence.
- Reduce quality of life impacts on the local community by efficiently moving freight traffic through the confluence thus decreasing GHG and criteria pollutants.
- Improve the state of good repair by creating extending the third NB SR-57 that currently drops at Grand Ave through the confluence, a new EB SR-60 bypass off-ramp to Grand Ave, a new bypass connector from Grand Ave to EB SR-60, reconstruct Grand Ave overcrossing, and reconfiguring the EB ramps at Grand Ave, including adding a SB Grand Ave to EB SR-60 loop ramp.
- Invest strategically to improve travel time reliability in the confluence area by eliminating inefficient weaving which leads to improve LOS.
- Caltrans and Metro are partnering on the deployment of innovative Active Transportation Management (ATM) technologies in Los Angeles County and will be evaluating these deployments for effectiveness with an eye toward expanding application to as many corridors as possible. These technologies include dynamic lane management and queue warnings, both of which could play a future role in optimizing the operation performance of the SR 57/SR 60 confluence improvements. The design for the SR 57/SR 60 confluence does not preclude the installation of these technologies upon further evaluation.
- Invest strategically in infrastructure such as the SR 57/SR 60 confluence that support improved travel for all zero and new-zero emission vehicles.
- Improve system resilience by constructing new structures that are better able to withstand natural disasters.
- Site freight projects to avoid greenfield development as much as possible by improving the existing freight corridor.

**6. Describe how local residents and community-based organizations were engaged in developing the project:**

Local residents and community-based organization were engaged through the environment review process (Draft EIR/EA). Public Meetings/Hearings were held. Participants throughout the process include City of Industry, City Diamond Bar, County of Los Angeles Department of Parks and Recreation, County Sanitation District of Los Angeles County, Native American Heritage Commission, California Transportation Commission, South Coast Air Quality Management District, Metro, San Gabriel Valley Council of Governments.

**7. Describe how the final project will address community-identified needs along with a description and quantification of the benefits the project will provide for disadvantaged and low-income communities within the specified defined area:**



Based upon California Air Resources Board data, there are no Disadvantage and Low Income communities along the SR 57/SR 60 confluence.

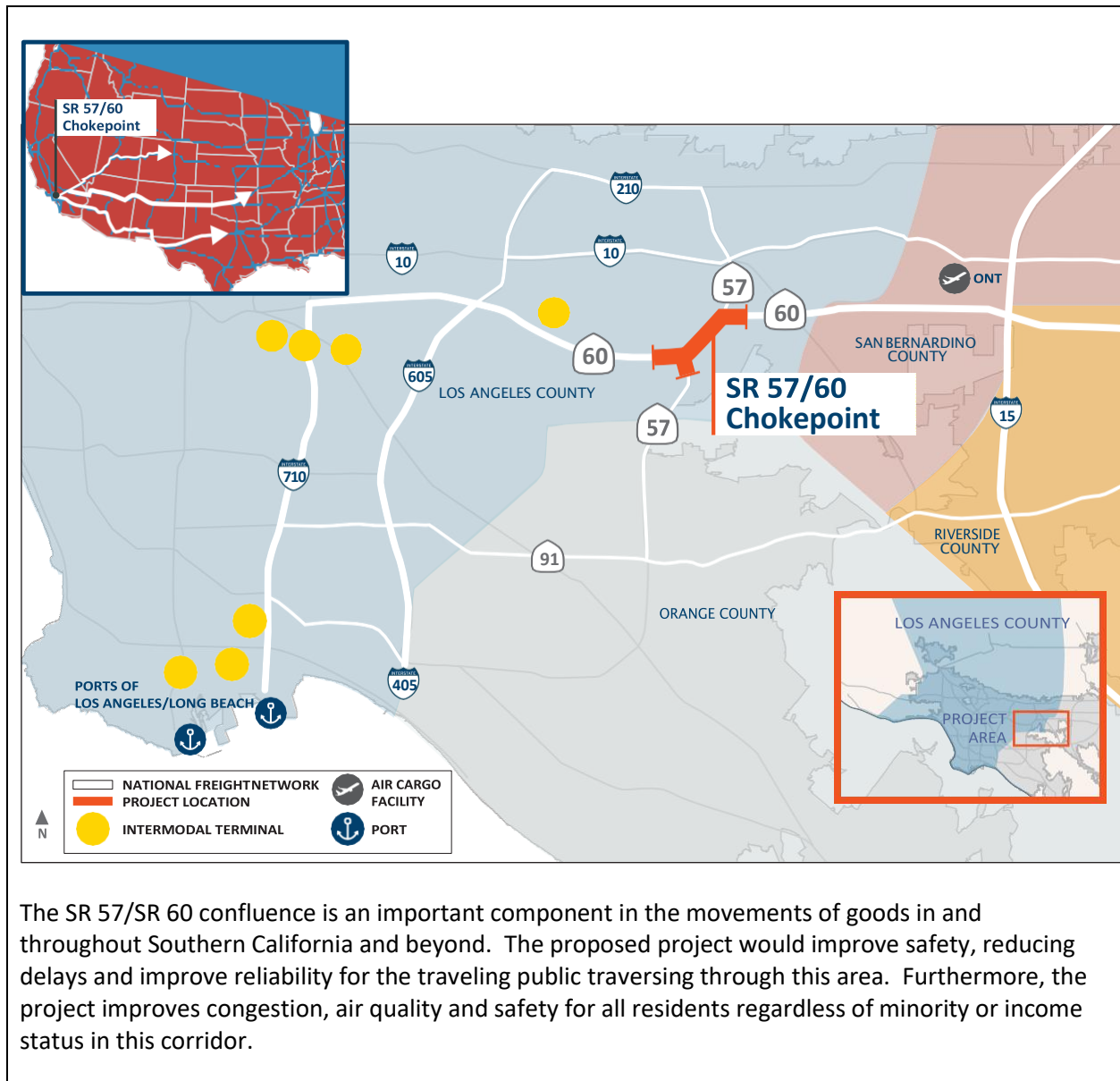
<https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/communityinvestments.htm>

The SR 57/SR 60 corridor is congested in certain areas, highly developed and the land use varies from residential, to commercial, to industrial. The many significant trip generators along this corridor include:

- Brea Mall
- California State University, Fullerton
- Diamond Bar High School
- Diamond Bar Gateway Center
- Industry Business Center
- Lanterman Development Center
- DeVry University Pomona Campus
- California State University, Pomona
- Bonelli Regional Park
- Raging Waters San Dimas
- Ontario International Airport
- Puente Hills Mall
- Diamond Bar Golf Course
- Diamond Ranch High School
- Mount San Antonio College
- Whittier Narrows Recreation Area
- Industry Hills Recreation Center

Significant growth in housing, population, and employment are generally projected throughout the SR 57/SR 60 corridor area. This growth is expected to occur through in fill and recycling of existing land uses.

8. Provide a description and map (or maps) of how the final project will address community-identified needs along with a description and quantification of the benefits the project will provide for other communities not falling under the above definitions:



9. Provide a project cost estimate which includes the amount and source of all funds committed to the project and the basis for concluding that the funding is expected to be available (Box A). If uncommitted funding is identified, the requirements as outlined in Section 21 of the Guidelines

must be included. Cost estimates should be escalated to the year of proposed implementation and be approved by the District Director (Box B):

**Box A**

See attached PPR - Estimated cost is \$288,600.

**10. When proposing to fund only preconstruction project components, demonstrate the means by which the construction of a useable segment will be funded, consistent with the Regional Transportation Plan or the Interregional Transportation Strategic Plan for projects implemented by Caltrans:**

The Project is consistent with RTP/SCS and ITSP but will be implemented by Caltrans and Metro through a Cooperative Agreement with the Alameda Corridor East (ACE) Construction Authority. ACE will handle Right of Way and Construction.

**11. Provide a description that demonstrates the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program, except as noted in Section 9 of the Guidelines:**

A contingency of 25% is included in the cost estimate for unforeseen costs. In January 2015, Metro adopted a unified cost management process and policy to address unanticipated cost increases beyond the allocated contingency internal to each project's budget. Measure R and Measure M, two half-cent sales tax increases approved by County voters in 2008 and 2016 respectively, both established a Highway Subfund Contingency-Escalation Allowance to cover construction cost escalation based on the anticipated delivery timeframe for capital projects.

**12. Provide a description of the project delivery plan, including a description of the known risks that could impact the successful implementation of the project and the response plan of the known risks. The risks considered should include, but not be limited to, risks associated with deliverability and engineering issues, community involvement, and funding commitments:**

Risk	Mitigation Strategy
Delays in Environmental Approvals	Environmental clearances are not a risk to this Project since the FONSI has already been approved.
Right of Way Acquisition	The Park Preservation Act prohibits local and state agencies from acquiring any property that is in use as a public park at the time of acquisition unless the acquiring agency provides land to enable the operator of the park to replace the parkland and any park facilities on that land. Reconstruction of the adjacent County-owned golf course must occur prior to the start of construction. Any delays in acquiring replacement parkland and reconstructing the golf course could therefore have downstream effects on the schedule and cost of the 57/60 Project. To mitigate this risk, float has been added to the right-of-way schedule and Metro is setting an aggressive goal for procurement of a final design contract to enable advanced ROW engineering as early as possible.

<b>Capital Cost Overruns</b>	Bridge Advanced Planning Studies have been developed for each special structure, such as bridge replacements and non-standard retaining walls, to ensure accurate cost estimates. Further, utility companies have been contacted and conflict maps developed to accurately capture the required utility relocation costs. Lastly, independent Real Estate appraisers have been utilized to assess the right-of-way costs for the Project.
<b>Additional or Extended Freeway Shutdowns During Construction</b>	Local road, ramp, and freeway closures during construction would intermittently affect traffic in the Project area over a period of approximately 39 months. A comprehensive multi-agency traffic management plan (TMP) will be implemented to coordinate closures and delays and minimize any potential construction-related traffic disruptions. Emergency responders will be notified of any potential lane closures/access restrictions during construction, to ensure that response times are unaffected and that access for emergency vehicles is maintained at all times. The TMP also includes coordination with public transit providers so that they are able to make any changes to existing routes and stops, if necessary.

**13. Provide a description of the transportation corridor and the function of the proposed project within the corridor:**

The corridor is situated close to the converging borders of four counties in Southern California: Los Angeles, Orange, San Bernardino and Riverside. SR-57 is a major north-south freeway connecting Los Angeles and Orange County while SR-60 is a major east-west freeway connecting Los Angeles and Riverside Counties. Both SR-57 and SR-60 are part of the National Freight Highway Network and Primary Highway Freight System. SR-60 is a critical freight corridor for the transportation of goods between Southern California and the rest of the nation. Heavy congestion occurs at this confluence each day, delaying freight traveling from the Ports of Los Angeles and Long Beach. Orange County and Inland Empire commuters who pass through this area are severely impacted. High rates of truck involved accidents further reduce system reliability. The proposed project will alleviate congestion and improve safety at SR 57/SR 60 confluence.

**14. Provide a description of the projected quantification and qualitative measures of the proposed improvements:**

The projected quantification and qualitative measures of the proposed improvements are: 1) **Throughput** - The project provides for increased volume of freight traffic through capacity expansion. Within the project areas, construct an additional SR-57 travel lane, a new eastbound SR-60 bypass off-ramp to Grand Avenue and reconstruct Grand Avenue overcrossing with a new bridge over R-60 and a new SR-60 loop on-ramp. 2) **Velocity** - The project increases the speed of freight and automobile traffic on the two freeway systems. The project is anticipated to increase average peak travel speeds from 39 to 60mph. 3) **Reliability** - The SR 57/SR 60 confluence creates a regional chokepoint with reverberations beyond Los Angeles County. Orange County and Inland Empire commuters are also severely impacted. The congestion lasts for over 4 hours each day, delaying freight traveling from the Ports of Los Angeles and Long Beach. The high rates of accidents further reduce system reliability. The project will improve speeds and improve safety, thereby increasing the over reliability of this critical freight corridor. 4) **Safety** - This location has the second highest truck accident rate in

Southern California. One major contributor to the high accident rate is the numerous lane changes required to move between SR-60 and the local Grand Avenue interchange, which creates conflicts with the large volume of trucks merging from SR-57 to SR-60. The project provides bypass on- and off-ramps to eliminate these two conflicting movements. **5) Congestion Reduction** - The project drastically reduces congestion on the sixth-most congested freight bottleneck in the nation. The project improvements are projected to increase the average speed through the interchange from 39 mph to 60 mph. The freeway LOS will improve from F to C, saving freight traffic and commuters thousands of hours of peak-period delay per day. **6) Key Transportation Bottleneck Relief** - Freight volume growth on SR-60 is forecast to between 70 and 100% over the next 20 years. The SR-57/SR-60 confluence project will relieve the bottleneck from the expected future growth in automobile and freight traffic through capacity and operational improvements. **7) Multi-Modal Strategy** - The project supports multi-modal strategies that will result in reduced truck vehicle hour traveled and truck idling times traversing through this corridor. **8) Interregional Benefits** - The Project would make a significant improvement not on to this area but to the region as a whole. As the primary east-west freight route out of the Los Angeles Basin, SR-60 plays a critical role in supporting regional and national freight flows. Nearly 40% of the nation's containerized imports pass through Southern California ports. 75% of these imports are destined for final consumption outside the region. Movements of these goods to points east and north often involves an initial truck trip segment on SR-60 and SR-57. The latter is a key gateway to major interstates I-10 and I-40. **9) Advance Technology** - The design phase of the Project will consider the inclusion of advanced and innovative technology (construction materials, ITS and supporting infrastructure) to improve the flow of traffic and the safety of motorists, bicyclist and pedestrians. **10) Air Quality Impacts** - The proposed project will reduced congestion which will improve air quality benefits, with reduced PM 10 and PM2.5, CO, ROG and SOx emissions. It is estimated the Project will eliminate 547,845 tons of Greenhouse Gas Emissions (CO<sub>2</sub>) over 20 years (from the CAL-B/C results). **11) Community Impact Mitigation** - The project would reduce negative community impacts related to safety, noise and pollution at the SR 57/SR 60 confluence: by reducing accidents and weaving, and thus reducing delays not only in the confluence area but the region as a whole.

15. Provide a description and quantification of the local and corridor effects of the project on diesel particulate (PM 10 and PM 2.5), nitrogen oxides, greenhouse gases and other pollutant emissions using the Caltrans' Life-Cycle Benefit-Cost Analysis Model 6.0, the SB 1 Intermodal Tool, or the SB 1 Other Projects Tool. Report emissions saved in both tons and dollars (Box A). If another model is more applicable the application should describe why and provide the analysis based on the alternate model in addition to one of the tools identified above (Box B):

**Box A**

## INVESTMENT ANALYSIS SUMMARY RESULTS

EMISSIONS REDUCTION	Short Tons		Value (mil. \$)	
	Total Over 20 Years	Average Annual	Total Over 20 Years	Average Annual
CO Emissions Saved	1,265	63	\$ 0.1	\$ 0.0
CO <sub>2</sub> Emissions Saved	547,845	27,392	\$ 16.5	\$ 0.8
NO <sub>x</sub> Emissions Saved	77	4	\$ (0.1)	\$ (0.0)
PM <sub>10</sub> Emissions Saved	5	0	\$ 1.7	\$ 0.1
PM <sub>2.5</sub> Emissions Saved	5	0		
SO <sub>x</sub> Emissions Saved	0	0	\$ (0.2)	\$ (0.0)
VOC Emissions Saved	141	7	\$ 0.4	\$ 0.0

**16. Provide a description of how the project furthers the goals, performance measures, and targets of the region's Regional Transportation Plan, and if applicable, it's associated Sustainable Communities Strategy and freight plan:**

The Project supports the following goals from the 2016 RTP/SCS Goals:

- Aligns the plan investments and policies with improving regional economic development and competitiveness through travel time savings.
- Maximizes mobility and accessibility for all people and goods in the region by improving the flow of traffic.
- Preserves and ensures a sustainable regional transportation system by improving an existing facility to a state of good repair.

Furthermore, the Project's importance is recognized throughout the state and region to enhance goods movement within the state. The Project is included in the SCAG regional conformity transportation model and is listed as Project LA0D450 in the 2015 FTIP approved by FHWA on December 15, 2014. SCAG has also included the project on the 2016 RTP/SCS, adopted April 7, 2016. California has included the Project in the State Freight Plan, the California Freight Mobility Plan (CFMP). The Project is also in the Metro Long Range Transportation Plan for implementation by 2029.

**17. Provide a description of the corridor plan or other coordinated management strategy being implemented by the nominator and other jurisdictions within the corridor to preserve corridor mobility:**

This is a unique project where the local cities are providing funding needed to plan and begin design on a regionally significant project in anticipation of future planned funding by Metro. Detailed engineering and environmental analysis have been completed to develop and refine the current project scope, schedule and cost. A Project Study Report was prepared in 2009, which included development of the Projects need and purpose, preliminary concepts, traffic modeling, preliminary cost estimates, and scoping for the environmental process. Caltrans reviewed and provided

concurrence on the engineering assumptions and conclusions. A Supplemental Project Report and Environmental Revalidation was prepared in February 2015 to split the westbound project and eastbound project into separate construction phases. A value analysis was performed at this stage as well to identify the most cost-effective solutions and develop an implementation strategy.

**18. Provide a description of how the project uses advanced, clean, or innovated technologies to support the freight transportation system. Also include a description of any associated supporting infrastructure that is included in the project:**

Caltrans and Metro are partnering on the deployment of innovative Active Transportation Management (ATM) technologies in Los Angeles County and will be evaluating these deployments for effectiveness with an eye toward expanding application to as many corridors as possible. These technologies include dynamic lane management and queue warnings, both of which could play a future role in optimizing the operation performance of the SR 57/SR 60 confluence improvements. The design for the SR 57/SR 60 confluence does not preclude the installation of these technologies upon further evaluation.

**19. Provide documentation that the expected benefits of the proposed project justify its costs, recognizing that some costs and benefits can be difficult to quantify. Each application should include analysis utilizing Caltrans' Life-Cycle Benefit-Cost Analysis Model 6.0. If another model is more applicable then describe why and provide the analysis based on the alternate model:**

Benefit Name	Value over Project Analysis Period (2025-2045)	
	Constant Undiscounted Dollars	Discounted @7%
Travel Time Savings to Existing/No-Build Traffic	\$1,400.7	\$434.8
Travel Time Savings to Induced Traffic	\$185.3	\$47.9
Safety Benefits	\$193.7	\$60.9
Vehicle Operating Costs Impacts*	-\$176.4	-\$52.8
Emissions Impacts*	\$0.1	\$0.00
Noise Impacts*	-\$1.8	-\$0.5
<b>Total Benefits</b>	<b>\$1,601.5</b>	<b>\$490.3</b>

Project Evaluation Metric	Discounted at 7%	Discounted at 3%
Total Discounted Benefits	\$490.3	\$936.4
Total Discounted Costs	\$153.0	\$193.6
Capital/Construction Costs	\$148.2	\$184.8
Incremental O&M Costs	\$4.8	\$9.3
Net Present Value	\$337.3	\$742.2
Benefit-Cost Ratio (Ratio)	3.3	5.0
Internal Rate of Return (Percent)	22.3%	
Payback Period (Years from Project Opening)	4.7	4.0

\*Vehicle operating costs impacts, emissions impacts and noise impacts due to the induced traffic on the facility following project implementation provide some off-set to the above benefits. However, they are relatively small.

- 20. Where investment of Trade Corridor Enhancement Program funding is proposed to improve private infrastructure, include an assessment of public and private benefits to show that the share of public benefit is commensurate with the share of public funding:**

N/A

- 21. For rail investments acknowledge and describe how the private railroads, regional agencies and appropriate state agencies will come to agreement on public and private investment levels and resulting benefits:**

N/A

- 22. If necessary provide any additional project detail supporting the Guideline requirements:**

**ATTACHMENT – PROJECT PROGRAMMING REQUEST FORM  
(NEXT PAGE)**



## PROJECT PROGRAMMING REQUEST

DTP-0001 (Revised July 2017)

General Instructions

Amendment (Existing Project) No					Date:	1/25/18
District	EA	Project ID	PPNO	MPO ID	Alt Proj. ID	
07	27912	0715000076	5394			
County	Route/Corridor	PM Bk	PM Ahd	Project Sponsor/Lead Agency		
LA	57	4.3	4.8	Metro/Caltrans		
LA	60	23.3	26.5	MPO	Element	
				SCAG	Capital Outlay	
Project Manager/Contact		Phone		E-mail Address		
Syed Huq		213-897-6714		<a href="mailto:Syed_Huq@dot.ca.gov">Syed_Huq@dot.ca.gov</a>		
<b>Project Title</b>						
SR 57/60 Confluence Chokepoint Relief Project						
<b>Location (Project Limits), Description ( Scope of Work)</b>						
In Los Angeles County, in Diamond Bar and the City of Industry, on State Route (SR) 60 from eastbound SR-60 to southbound SR-57 connector overcrossing to near Golden Springs Drive Undercrossing and SR-57 from northbound SR-57 to westbound SR-60 Connector overcrossing to South 57/60 Separation.						
<b>Component</b>						
PA&ED		City of Industry				
PS&E		LACMTA				
Right of Way		ACE (Alameda Corridor East)				
Construction		ACE (Alameda Corridor East)				
<b>Legislative Districts</b>						
Assembly:	55	Senate:	29	Congressional:	39	
<b>Project Benefits</b>						
The primary purpose of the proposed project is to improve traffic operations and safety on SR-57 and SR-60 Confluence.						
<b>Purpose and Need</b>						
The purpose of the project is to: reduce congestion and delays on Grand Avenue from Golden Springs Drive to the interchange at SR-60. Reduce congestion and delays at the Grand Avenue interchange. Reduce congestion and delays on the SR-57/SR-60 freeway mainline. Reduce weaving within the SR-57/SR-60 Confluence. Improve safety by reducing weaving movements and increasing weaving distances along the SR-57/SR-60 Confluence. Continue on page 2.						
<b>Category</b>		<b>Outputs/Outcomes</b>		<b>Unit</b>	<b>Total</b>	
State Highway Road Construction		Modified / Improved Interchanges		each	1	
		Auxiliary Lane miles constructed		Miles	1.5	
		New bridges		each	3	
ADA Improvements Y/N		Bike/Ped Improvements Y/N		Reversible Lane analysis Y/N		
Includes Sustainable Communities Strategy Goals Y/N				Reduces Greenhouse Gas Emissions Y/N		
<b>Project Milestone</b>				<b>Existing</b>	<b>Proposed</b>	
Project Study Report Approved				03/30/09		
Begin Environmental (PA&ED) Phase					12/22/04	
Circulate Draft Environmental Document				<b>Document Type</b>		
Draft Project Report						
End Environmental Phase (PA&ED Milestone)					12/01/13	
Begin Design (PS&E) Phase					06/01/18	
End Design Phase (Ready to List for Advertisement Milestone)					04/15/20	
Begin Right of Way Phase					09/30/18	
End Right of Way Phase (Right of Way Certification Milestone)					04/15/20	
Begin Construction Phase (Contract Award Milestone)					01/03/21	
End Construction Phase (Construction Contract Acceptance Milestone)					12/01/24	
Begin Closeout Phase						
End Closeout Phase (Closeout Report)						

## ADA Notice

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento,

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

Date: 1/25/18

**Additional Information****Need:**

Improvements to the SR-57/SR-60 Confluence are needed to improve safety and operational deficiencies at the Grand Avenue interchange. Regional population and employment growth between 2008 and 2035 are expected to result in more traffic. According to the traffic forecast from the Southern California Association of Governments (SCAG) model, traffic volumes are projected to increase 10 to 25 percent over existing volumes along the SR-60 mainline and in the recently constructed High-Occupancy Vehicle (HOV) lanes.

Forecast traffic in 2037 would result in further deterioration of freeway operations and an estimated Level of Service (LOS) of F on the mainline of the SR-57/SR-60 Confluence in both the westbound and eastbound direction. Therefore, improvements are proposed at the SR-57/SR-60 Confluence to accommodate expected traffic volumes.

Schedule delivery of April 2020 is based on aggressive scheduling on a traditional Design-Bid- Build (DBB) model. If project changes to Design-Build (DB), the award of a contract may be adjusted earlier.

**ADA Notice**

For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-89, Sacramento, CA 95814.

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

Date: 1/25/18

District	County	Route	EA	Project ID	PPNO	Alt Proj. ID
07	LA, LA	57, 60	27912	0715000076	5394	
<b>Project Title:</b> SR 57/60 Confluence Chokepoint Relief Project						

Existing Total Project Cost (\$1,000s)									Implementing Agency
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	
E&P (PA&ED)									City of Industry
PS&E									LACMTA
R/W SUP (CT)									ACE (Alameda Corridor East)
CON SUP (CT)									ACE (Alameda Corridor East)
R/W									ACE (Alameda Corridor East)
CON									ACE (Alameda Corridor East)
TOTAL									
Proposed Total Project Cost (\$1,000s)									Notes
E&P (PA&ED)	1,600							1,600	
PS&E		2,000		15,000				17,000	
R/W SUP (CT)		7,000						7,000	
CON SUP (CT)				40,000				40,000	
R/W		39,200						39,200	
CON				183,800				183,800	
TOTAL	1,600	48,200		238,800				288,600	

Fund No. 1:	Local funding								Program Code
Existing Funding (\$1,000s)									
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	Funding Agency
E&P (PA&ED)									City of Industry-local
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)	1,600							1,600	Funded thru City of Industry and Metro for the Project Report and Environmental Document for both Segments.
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL	1,600							1,600	

Fund No. 2:	Trade Corridor (State)								Program Code
Existing Funding (\$1,000s)									
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	Funding Agency
E&P (PA&ED)									CALTRANS
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
Proposed Funding (\$1,000s)									Notes
E&P (PA&ED)									Proposed Funding for the Design-Bid-Build implemented by Metro/Caltrans
PS&E		15,000						15,000	
R/W SUP (CT)		5,000						5,000	
CON SUP (CT)				40,000				40,000	
R/W									
CON				32,000				32,000	
TOTAL		5,000		87,000				92,000	

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

Date: 1/25/18

District	County	Route	EA	Project ID	PPNO	Alt Proj. ID
07	LA, LA	57, 60	27912	0715000076	5394	
<b>Project Title:</b> SR 57/60 Confluence Chokepoint Relief Project						

Fund No. 3:		Local Funding							Program Code
		Existing Funding (\$1,000s)							
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	Funding Agency
E&P (PA&ED)									LA Metro
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
		Proposed Funding (\$1,000s)							Notes
E&P (PA&ED)									Metro funding with Measure M funding possible RSTP. Metro will fund additional RW (capital) adjustments but not included in the PPR unitl final estimate
PS&E									
R/W SUP (CT)		2,000						2,000	
CON SUP (CT)									
R/W		39,200						39,200	
CON				65,800				65,800	
TOTAL		41,200		65,800				107,000	

Fund No. 4:		Trade Corridor (regional share)							Program Code
		Existing Funding (\$1,000s)							
Component	Prior	18/19	19/20	20/21	21/22	22/23	23/24+	Total	Funding Agency
E&P (PA&ED)									
PS&E									
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON									
TOTAL									
		Proposed Funding (\$1,000s)							Notes
E&P (PA&ED)									Proposed funding from Trade Corridor regional share.
PS&E		2,000						2,000	
R/W SUP (CT)									
CON SUP (CT)									
R/W									
CON				86,000				86,000	
TOTAL		2,000		86,000				88,000	

**PROJECT PROGRAMMING REQUEST**

DTP-0001 (Revised July 2017)

**Complete this page for amendments only****Date:** 1/25/18

District	County	Route	EA	Project ID	PPNO	Alt Proj.
07	LA LA	57 60	27912	0715000076	5394	

**SECTION 1 - All Projects****Project Background**

SR-60 (Pomona freeway) is a major east-west freeway connecting Los Angeles County and Riverside County, while SR-57 (Orange freeway) is a major freeway connecting Orange County and Los Angeles County. In the City of Diamond Bar, SR-57 has a break in the route with the southerly segment terminating at SR-60 and the northerly segment terminating about 2 miles further west of this location. Grand Avenue intersection is located approximately at the mid-point of this 2-mile segment called the confluence. Current demand on SR-57 and SR-60 that carries much of the traffic for both routes through Grand Ave interchange, is over-capacity during peak periods, causing delays with a Level of Service (LOS) 'F' for many hours of the day. The project will be implemented in two phases. Phase 1 is currently under construction. Phase 2 will be implemented under this project EA 07-27912.

**Programming Change Requested**

Phase 2 includes the following major improvements:

Reconstruct Grand Avenue Overcrossing. Reconstruct northbound SR-57 connector to eastbound SR-60. Construct eastbound SR-60 bypass off-ramp to Grand Avenue. Construct southbound Grand Avenue loop entrance ramp to eastbound SR-60. Construct Grand Avenue to eastbound SR-60 entrance ramp. Reconstruct the Diamond Bar Golf Course tunnel and golf course. Reconstruct Diamond Bar Boulevard entrance ramp to eastbound SR-60.

**Reason for Proposed Change**

This is original application for phase 2 of the SR-57/SR-60 Confluence project, phase 1 (EA 07-27911) is currently under construction.

**If proposed change will delay one or more components, clearly explain 1) reason the delay, 2) cost increase related to the delay, and 3) how cost increase will be funded**

Not applicable.

**Other Significant Information**

Project may be build this segment under a Design-Build contract administered by Alameda Corridor East (ACE). This project will complete implementation of traffic deficiencies stated in the supplemental Project Report. Trade Corridor Enhancement Program funding request split into \$ 92 Million State share and \$ 88 million local share, in addition to \$107 Million local funding match that includes \$1.6 Million previously used for PAED.

Schedule is based on Design-Bid-Build model. If project changed to Design-Build, contract award date may be earlier.

**SECTION 3 - All Projects****Approvals**

I hereby certify that the above information is complete and accurate and all approvals have been obtained for the processing of this amendment request.\*

Name (Print or Type)	Signature	Title	Date
Syed Huq		Project Manager	

**Attachments**

- 1) Concurrence from Implementing Agency and/or Regional Transportation Planning Agency
- 2) Project Location Map

**DEPARTMENT OF TRANSPORTATION**

OFFICE OF THE DIRECTOR

P.O. BOX 942873, MS-49

SACRAMENTO, CA 94273-0001

PHONE (916) 654-6130

FAX (916) 653-5776

TTY 711

www.dot.ca.gov

*Making Conservation  
a California Way of Life.*

January 30, 2018

Ms Susan Bransen  
Executive Director  
California Transportation Commission  
1120 N Street, MS-52  
Sacramento, CA 95814

Dear Ms. Bransen:

On behalf of the California Department of Transportation (Caltrans), we are excited for the opportunity to participate in the new Trade Corridor Enhancement Program (TCEP), which receives funding from Senate Bill 1 (SB 1), the Road Repair and Accountability Act of 2017, and the National Highway Freight Program. This cycle will program over \$1.3 billion for projects related to the routes and transportation infrastructure vital to California's trade and freight economy. As specified in Section 2192 of the Streets and Highways Code, and outlined in California Transportation Commission (CTC) guidelines, 40 percent of the funding totaling \$536 million, is designated as the Caltrans share of the program. This letter is the official TCEP project submittal for Caltrans.

The proposed projects have been carefully selected to not only meet the intent and requirements of the program and the CTC guidelines, but also meet the needs of multiple local, regional, and state partners. Our focus was selecting projects that are shovel ready. Caltrans has diligently worked with our co-applicants and other partners to create the best possible projects to support freight within California. The Administration continues to see this program as vital for completing freight projects on the border with Mexico, and for completing rail safety grade separation projects—several of the nominated projects invest in these areas. The projects also help the State support the goals and policies identified in the California Freight Mobility Plan, California Sustainable Freight Action Plan, and the National Highway Freight Program.

Enclosed is the Caltrans prioritized list of projects, which includes Caltrans and partner agency submittals. The list also identifies the SB1 funding distribution between Caltrans share and the regional share. The Caltrans TCEP funding request is for \$556 million which is slightly more than the \$536 million programming target identified in the guidelines; however, as projects may receive funding from multiple sources, and some adjustments to funding shares may be made, Caltrans believes all the nominated projects could be programmed.

Ms. Susan Bransen  
January 30, 2018  
Page 2

In two weeks we will be submitting Caltrans project nomination request for the Solutions for Congested Corridor Program, which will show a balanced investment strategy for the State of California. Some projects nominated here for TCEP may also be nominated for the Solutions for Congested Corridor Program.

We greatly appreciate the CTC's consideration of nominated projects, as they are a critical components of the transportation infrastructure for the entire State of California and individual regions. We believe this is a strong list of projects for this first round of SB 1 TCEP funding.

If you require any additional information, please contact Coco Briseno at (916) 654-5368 or by email sent to [coco.briseno@dot.ca.gov](mailto:coco.briseno@dot.ca.gov).

Sincerely,

A handwritten signature in black ink, appearing to read "Malcolm Dougherty", with a stylized flourish at the end.

MALCOLM DOUGHERTY  
Director

Enclosure

### Trade Corridor Enhancement Program – Caltrans Project Application List

Priority	County	Route	Project Name	State TCEP Request	Partner TCEP Request	Total TCEP Request	Application Submitted By:
1	LA	005	LA 5 North Corridor, HOV-Truck	\$80,000	\$167,000	\$247,000	LA METRO
2	SD IMP	VAR	Border System Network Improvements	\$70,489	\$45,000	\$115,489	Caltrans
3	VEN	034	Rice Avenue Rail Safety Grade Separation	\$68,606	\$0	\$68,606	Caltrans
4	SBD	Off System	Etiwanda Ave Rail Safety Grade Separation	\$60,000	\$0	\$60,000	Caltrans
5	ORA	057	Route 57/Lambert Road Interchange Improvement	\$38,650	\$27,055	\$65,705	Caltrans
6	SB	101	US 101 Santa Barbara South Coast Multi-Modal Corridor	\$0	\$16,000	\$16,000	SBCTC
7	ALA	Off System	Go Port 7th St Grade Separation (East segment)	\$70,000	\$105,000	\$175,000	Caltrans
8	SBD	010	I-10 Corridor Contract 1 (Express Lanes)	\$19,000	\$45,000	\$64,000	SBCTA
9	SHA	005	Redding to Anderson 6 Lane (Big and Little Easy)	\$41,700	\$24,000	\$65,700	Caltrans
10	LA	057	Route 57/60 Confluence: Chokepoint Relief Project	\$92,000	\$88,000	\$180,000	Caltrans
11	SBD	395	US-395 Widening Phase 1	\$1,000	\$23,292	\$24,292	SBCTA
12	MER	099	Livingston Widening (N/B)	\$15,000	\$14,047	\$29,047	Caltrans
<b>Totals:</b>				\$556,445	\$554,394	\$1,110,839	



SOUTHERN CALIFORNIA  
ASSOCIATION OF GOVERNMENTS  
900 Wilshire Blvd., Ste. 1700  
Los Angeles, CA 90017  
T: (213) 236-1800  
www.scag.ca.gov

REGIONAL COUNCIL OFFICERS

President  
Margaret E. Finlay, Duarte  
First Vice President  
Alan D. Wapner, Ontario  
Second Vice President  
Bill Jahn, Big Bear Lake  
Immediate Past President  
Michele Martinez, Santa Ana

COMMITTEE CHAIRS

Executive/Administration  
Margaret E. Finlay, Duarte  
Community, Economic &  
Human Development  
Rex Richardson, Long Beach  
Energy & Environment  
Carmen Ramirez, Oxnard  
Transportation  
Curt Hagman, San Bernardino County

January 30, 2018

Susan Bransen, Executive Director  
California Transportation Commission  
1120 N Street, Mail Station 52  
Sacramento, CA 95814

**Subject: TCEP Applications from the SCAG Region and Consistency with  
2016 RTP/SCS and Regional Freight Plan**

Dear Ms. Bransen:

On behalf of the Southern California Association of Governments (SCAG), I offer this letter compiling project nominations from agencies located within the SCAG region seeking Trade Corridor Enhancement Program (TCEP) funding and to confirm consistency of the project nominations with SCAG's 2016-2040 Regional Transportation Plan / Sustainable Communities Strategy (2016 RTP/SCS) and Regional Freight Plan. The tables on the following pages provide additional details on the consistency determination.

As the Metropolitan Planning Organization (MPO) for the six county (Imperial, Los Angeles, Orange, Riverside, San Bernardino, and Ventura counties) Southern California area, SCAG is responsible for developing the Sustainable Communities Strategy as part of the Regional Transportation Plan. The 2016 RTP/SCS is the adopted long-range regional plan that integrates the transportation system with land use planning to balance the region's future mobility and housing needs with economic, environmental, and public health goals. The 2016 RTP/SCS was adopted by the SCAG Regional Council in April 2016, and subsequently approved and accepted by the U.S. Department of Transportation and the California Air Resources Board, respectively.

If you have any questions or need clarifications regarding this correspondence, please contact Ms. Annie Nam, Manager of Goods Movement and Transportation Finance, at (213) 236-1827 or [nam@scag.ca.gov](mailto:nam@scag.ca.gov).

Sincerely,

HASAN IKHRATA  
Executive Director

Subject: TCEP Applications from the SCAG Region and Consistency with 2016 RTP/SCS and Regional Freight Plan

### Regional Agency-Led Project Nominations

County	Project Lead	Project Title	Listed in / Consistent with <a href="#">2016 RTP/SCS</a> ?	Listed in / Consistent with <a href="#">Regional Freight Plan</a> ? <sup>1</sup>
Los Angeles	Metro <sup>2</sup> (in partnership with Port of Los Angeles, Port of Long Beach, and Alameda Corridor-East Construction Authority)	America's Global Freight Gateway: Southern California Rail Project	Yes (RTP ID 1120015 and 1120018, pg. 142; RTP ID <sup>3</sup> 100706LA01 and 100706LA03, pg. 11; RTP ID LA0G172 and LA0C8094, pg. 12; RTP ID LA0G1047, pg. 17; Pier G/J Double Track—RTP ID 100710, pg. 143)	Yes (pg. 52; Rail Access Improvements to Port of Long Beach & Port of Los Angeles, pg. 72; Rail Package—Grade Separations, pg. 73.)
Los Angeles	Port of Los Angeles	Port of Los Angeles National Highway Freight Network Improvement Program: State Route 47-Vincent Thomas Bridge & Harbor Boulevard-Front Street Interchange Improvement Project	Yes (RTP ID 1120007, pg. 140)	Yes (Map ID A.15, pg. 63)
Los Angeles	Metro (in partnership with Caltrans District 7)	Interstate 5 (I-5) Golden State Chokepoint Relief Project	Yes (RTP ID <sup>4</sup> LA0G440 and 1162S010, pg. 11)	Yes (Map ID A.2, pg. 62)
Los Angeles	Metro (in partnership with Caltrans District 7)	Interstate 605 (I-605)/State Route 91 (SR-91) Interchange Improvement: Gateway Cities Freight Crossroads Project	Yes (RTP ID <sup>5</sup> 1M1004, pg. 36)	Yes (Map ID A.12, pg. 63)

<sup>1</sup> SCAG's Regional Freight Plan is incorporated in the California Freight Mobility Plan (CFMP).

<sup>2</sup> Los Angeles County Metropolitan Transportation Authority (Metro)

<sup>3</sup> Project listed in [2016 RTP/SCS Amendment #2](#).

<sup>4</sup> Project listed in [2016 RTP/SCS Amendment #2](#).

<sup>5</sup> Project listed in [2016 RTP/SCS Amendment #1](#).

Subject: TCEP Applications from the SCAG Region and Consistency with 2016 RTP/SCS and Regional Freight Plan

County	Project Lead	Project Title	Listed in / Consistent with <a href="#">2016 RTP/SCS?</a>	Listed in / Consistent with <a href="#">Regional Freight Plan?</a> <sup>1</sup>
Los Angeles	Metro	SR-71 Freeway Conversion Project	Yes (RTP ID 1M1001, pg. 148)	Not listed but consistent (e.g., Map ID J. [Freight Arterial O&M], pg. 73)
Riverside	City of Moreno Valley	SoCal Freight Gateway: SR 60 Truck Safety and Efficiency Project – Phase 1A (SR-60 / Moreno Beach Drive Interchange)	Yes (RTP ID RIV041052- RIV041052, pg. 238)	Yes (Map ID I. [Goods Movement—Bottleneck Relief Strategy, pg. 73])
Riverside	City of Coachella	State Route 86 / Avenue 50 New Interchange Project	Yes (RTP ID RIV110825, pg. 191 and RTP ID RIV061159- RIV061159, pg. 239)	Yes (Map ID A.48, pg. 67)
Riverside	City of Beaumont	Pennsylvania Avenue Grade Separation Project	Yes, (RTP ID S3120023, pg. 386)	Yes, (Table 18, pg. 55)
Riverside	City of Beaumont	SR-60 / Potrero Boulevard Interchange Project Phase 2	Yes (RTP ID RIV050535- RIV050535, pg. 236)	Yes (Map ID A.40, pg. 66)
Riverside	City of Beaumont	Oak Valley Parkway Interchange Improvement (I-10 / Oak Valley Parkway Interchange)	Yes (RTP ID RIV060115- RIV060115, pg. 229)	Yes (Map ID A.38, pg. 66)
Riverside	City of Beaumont	California Avenue Grade Separation Project	Yes (RTP ID 3G01G26, pg. 185)	Yes (Table 17, pg. 53)
Riverside	City of Calimesa	I-10 / County Line Road Interchange	Yes (RTP ID RIV131201- RIV131201, pg. 230)	Yes (Map ID A.38, pg. 66)

Subject: TCEP Applications from the SCAG Region and Consistency with 2016 RTP/SCS and Regional Freight Plan

County	Project Lead	Project Title	Listed in / Consistent with <a href="#">2016 RTP/SCS</a> ?	Listed in / Consistent with <a href="#">Regional Freight Plan</a> ? <sup>1</sup>
San Bernardino	SBCTA <sup>6</sup> (in partnership with Caltrans District 8)	I-10 Corridor Contract I (Express Lanes) (between Los Angeles / San Bernardino county line and I-15)	Yes (RTP ID 4122004-20159902, pg. 298)	Yes, I-10 corridor is identified as High Priority Bottleneck/ Congested Areas on pg. 26
San Bernardino	SBCTA (in partnership with Caltrans District 8)	US-395 Widening from SR-18 to Chamberlaine Way	Yes (RTP ID 4M0802, pg. 307)	Not listed but consistent (e.g., Map ID J. [Freight Arterial O&M], pg. 73)
San Bernardino	City of Hesperia	I-15 / Muscatel Street New Interchange	Yes (RTP ID 4160007, pg. 300)	Not listed but consistent (e.g., Map ID J. [Freight Arterial O&M], pg. 73)
Ventura	Port of Hueneme	Structure for Transfer of Automobiles Creating Key Economic Development Project (STACKED Project)	Yes (included in RTP ID 7160001, pg. 312)	Yes, Port of Hueneme Access Projects included on pg. 37 and ITS (e.g., Map ID J. [Goods Movement—ITS Strategy], pg. 73)

<sup>6</sup> San Bernardino County Transportation Authority (SBCTA)

Subject: TCEP Applications from the SCAG Region and Consistency with 2016 RTP/SCS and Regional Freight Plan

**Caltrans-Led Project Nominations**

County	Project Lead	Project Title	Listed in / Consistent with <a href="#">2016 RTP/SCS?</a>	Listed in / Consistent with <a href="#">Regional Freight Plan?</a> <sup>7</sup>
Los Angeles	Caltrans District 7 (in partnership with Metro, City of Diamond Bar, and City of Industry)	SR-57/60 Confluence: Chokepoint Relief Program	Yes (RTP ID <sup>8</sup> 1M0104, pg. 11)	Yes (Map ID A.11, pg. 63)
Los Angeles	Caltrans HQ (in partnership with BNSF Railway and Metrolink <sup>9</sup> )	Hobart Yard New Lead Tracks	Yes (RTP ID RRC0701, pg. 313)	Yes (Map ID E.1-A to E.1-N, pg. 70)
Orange	Caltrans District 12 (in partnership with OCTA <sup>10</sup> and City of Brea)	State Route 57 (SR- 57) Truck Climbing Lane Phase I— Lambert Road Interchange Improvement Project	Yes (RTP ID ORA120320, pg. 175)	Yes (e.g., Map ID A.25, pg. 65)
Ventura	Caltrans District 7 (in partnership with City of Oxnard, VCTC <sup>11</sup> , and Ventura County)	Rice Avenue/State Route 34 (SR-34) Grade Separation Project	Yes (RTP ID VEN040401, pg. 319)	Yes (Table 17, pg. 54)
San Bernardino	Caltrans HQ (in partnership with City of Rancho Cucamonga)	Etiwanda Grade Separation	Yes (RTP ID #4GL04-201134, pg. 276)	Not listed but consistent (e.g., Map ID H. Rail-Highway Grade Separation, pg. 73)
Imperial (and San Diego)	Caltrans District 11 (in partnership with SANDAG <sup>12</sup> and ICTC <sup>13</sup> )	The California-Mexico Border System Project <sup>14</sup>	Yes (RTP ID 6160002 and 6120003 on pg. 104; Component 4 – RTP ID 7160001, pg. 312)	Yes (Map ID A.67 and A.68, pg. 68; Map ID J. [Goods Movement—ITS Strategy], pg. 73)

<sup>7</sup> SCAG's Regional Freight Plan is incorporated in the California Freight Mobility Plan (CFMP).

<sup>8</sup> Project listed in [2016 RTP/SCS Amendment #2](#).

<sup>9</sup> Southern California Regional Rail Authority (Metrolink)

<sup>10</sup> Orange County Transportation Authority (OCTA)

<sup>11</sup> Ventura County Transportation Commission (VCTC)

<sup>12</sup> San Diego Association of Governments (SANDAG)

<sup>13</sup> Imperial County Transportation Commission (ICTC)

<sup>14</sup> Project components 5 (SR-98 Improvements) and 6 (Calexico East POE Truck Crossing Improvement) and portions of component 4 (ITS Technology / Advanced Technology Corridors at Border Ports of Entry Pilot Project) are located within the SCAG region.



**SGVCOG Officers**

President  
**Cynthia Sternquist**

1<sup>st</sup> Vice President  
**Margaret Clark**

2<sup>nd</sup> Vice President  
**Becky Shevlin**

3<sup>rd</sup> Vice President  
**Tim Hepburn**

**Members**

*Alhambra*

*Arcadia*

*Azusa*

*Baldwin Park*

*Bradbury*

*Claremont*

*Covina*

*Diamond Bar*

*Duarte*

*El Monte*

*Glendora*

*Industry*

*Irwindale*

*La Cañada Flintridge*

*La Puente*

*La Verne*

*Monrovia*

*Montebello*

*Monterey Park*

*Pomona*

*Rosemead*

*San Dimas*

*San Gabriel*

*San Marino*

*Sierra Madre*

*South El Monte*

*South Pasadena*

*Temple City*

*Walnut*

*West Covina*

*First District, LA County  
Unincorporated Communities*

*Fourth District, LA County  
Unincorporated Communities*

*Fifth District, LA County  
Unincorporated Communities*

*SGV Water Districts*

AGENDA AND NOTICE OF THE REGULAR MEETING OF THE  
SAN GABRIEL VALLEY COUNCIL OF GOVERNMENTS GOVERNING BOARD  
**AUGUST 16, 2018 - 6:00 P.M.**

**Upper San Gabriel Valley Municipal Water District Office  
602 E. Huntington Drive, Suite B, Monrovia, California 91016**

Thank you for participating in tonight's meeting. The Governing Board encourages public participation and invites you to share your views on agenda items.

**MEETINGS:** *Regular Meetings of the Governing Board are held on the third Thursday of each month at 6:00 PM at the Upper San Gabriel Valley Municipal Water District Office (602 E. Huntington Drive, Suite B, Monrovia, California 91016).* The Governing Board agenda packet is available at the San Gabriel Valley Council of Government's (SGVCOG) Office, 1000 South Fremont Avenue, Suite 10210, Alhambra, CA, and on the website, [www.sgvkog.org](http://www.sgvkog.org). Copies are available via email upon request ([sgv@sgvcog.org](mailto:sgv@sgvcog.org)). Documents distributed to a majority of the Board after the posting will be available for review in the SGVCOG office and on the SGVCOG website. Your attendance at this public meeting may result in the recording of your voice.

**CITIZEN PARTICIPATION:** Your participation is welcomed and invited at all Governing Board meetings. Time is reserved at each regular meeting for those who wish to address the Board. SGVCOG requests that persons addressing the meeting refrain from making personal, slanderous, profane or disruptive remarks.

**TO ADDRESS THE GOVERNING BOARD:** At a regular meeting, the public may comment on any matter within the jurisdiction of the Board during the public comment period and may also comment on any agenda item at the time it is discussed. At a special meeting, the public may only comment on items that are on the agenda. Members of the public wishing to speak are asked to complete a comment card or simply rise to be recognized when the Chair asks for public comments to speak. We ask that members of the public state their name for the record and keep their remarks brief. There is a three minute limit on all public comments. Proxies are not permitted and individuals may not cede their comment time to other members of the public. **The Governing Board may not discuss or vote on items not on the agenda.**

**AGENDA ITEMS:** The Agenda contains the regular order of business of the Governing Board. Items on the Agenda have generally been reviewed and investigated by the staff in advance of the meeting so that the Governing Board can be fully informed about a matter before making its decision.

**CONSENT CALENDAR:** Items listed on the Consent Calendar are considered to be routine and will be acted upon by one motion. There will be no separate discussion on these items unless a Board member or citizen so requests. In this event, the item will be removed from the Consent Calendar and considered after the Consent Calendar. If you would like an item on the Consent Calendar discussed, simply tell Staff or a member of the Governing Board.



In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please contact the SGVCOG office at (626) 457-1800. Notification 48 hours prior to the meeting will enable the SGVCOG to make reasonable arrangement to ensure accessibility to this meeting.



**PRELIMINARY BUSINESS**

**5 MINUTES**

1. Call to Order
2. Pledge of Allegiance
3. Roll Call
4. Public Comment (*If necessary, the President may place reasonable time limits on all comments*)
5. Changes to Agenda Order: Identify emergency items arising after agenda posting and requiring action prior to next regular meeting

**CONSENT CALENDAR**

**5 MINUTES**

*(It is anticipated that the SGVCOG Governing Board may take action on the following matters)*

6. Governing Board Meeting Minutes  
*Recommended Action: Adopt Governing Board minutes.*
7. Monthly Cash Disbursements/Balances/Transfers  
*Recommended Action: Approve Monthly Cash Disbursements/Balances/Transfers.*
8. Capital Projects Committee Minutes  
*Recommended Action: Receive and file.*
9. Committee Attendance  
*Recommended Action: Receive and file.*
10. Committee Meeting Dates/Times  
*Recommended Action: Adopt Resolution 18-xx updating committee meeting dates/times.*
11. State Route 57-60 Confluence Chokepoint Relief Project  
*Recommended Actions:*
  - 1) *Assign the State Route 57-60 Confluence Chokepoint Relief Project (right-of-way and construction phases) to the Work Program of the Capital Projects and Construction Committee.*
  - 2) *Affirm authorization for the Chief Engineer to execute a Project Baseline Agreement and other agreements needed to implement the State Route 57-60 Confluence Chokepoint Relief Project.*
12. Draft Memorandums of Agreement (MOA) with SGV Cities for Service Delivery Study  
*Recommended Action: Authorize the Executive Director to execute MOAs with participating cities related to the joint service delivery study.*
13. 4<sup>th</sup> Quarter Financial Report  
*Recommended Action: Receive and file the 4th Quarter Financial Report.*
14. Cancel September Governing Board Meeting  
*Recommended Action: Adopt Resolution 18-xx, taking the following actions:*
  - 1) *Cancel the SGVCOG September 2018 Governing Board meeting.*
  - 2) *Authorize the President, in consultation with the other officers, to act on the Governing Board's behalf by undertaking all actions that are necessary for the proper administration and operation of the SGVCOG and that cannot be delayed until the next Regular Meeting of the Governing Board.*
15. Legal Services Request for Proposal (RFP)  
*Recommended Action: Authorize the Executive Director to release a RFP for legal services.*
16. Coordinated Integrated Monitoring Program Adaptive Management Plan  
*Recommended Action: Approve draft contract with xxx for preparation of the Upper Los Angeles River Watershead Management Area Adaptive Management plan.*

**LIAISON REPORTS**

**10 MINUTES**

17. Gold Line Foothill Extension Construction Authority
18. Foothill Transit
19. Los Angeles County Metropolitan Transportation Authority
20. San Gabriel and Lower Los Angeles Rivers and Mountains Conservancy
21. San Gabriel Valley Mosquito & Vector Control District
22. Southern California Association of Governments
23. League of California Cities
24. San Gabriel Valley Economic Partnership
25. South Coast Air Quality Management District

**ACTION ITEMS**

**20 MINUTES**

26. Safe Clean Water Program  
*Recommended Action: Adopt Resolution 18-xx to support the Safe Clean Water Program.*

**PRESIDENT'S REPORT**

**5 MINUTES**

**EXECUTIVE DIRECTOR'S REPORT**

**5 MINUTES**

**GENERAL COUNSEL'S REPORT**

**5 MINUTES**

**COMMITTEE REPORTS**

**10 MINUTES**

27. Transportation Committee
28. Homelessness Committee
29. Energy, Environment and Natural Resources Committee
30. Water Committee
31. Capital Projects and Construction Committee

**PROJECT REPORTS**

**5 MINUTES**

32. Homeless Coordination Efforts
33. San Gabriel Valley Energy Wise Partnership

**ANNOUNCEMENTS**

**ADJOURN**