

29903754

SOUTHERN CALIFORNIA RAPID TRANSIT DISTRICT
METRO RAIL PROJECT
CA-03-0130-01

AMENDMENT REQUEST

SUBMITTED: MARCH 8, 1982
APPROVED: MAY 27, 1982



John A. Dyer
General Manager

FOBS. [Signature]

RECEIVED
SCRTD
MAR 11 1982
OFFICE OF
MGR/CHIEF ENGINEER
METRO RAIL PROJECT *mi*

March 8, 1982

Mr. Dee V. Jacobs
Regional Director
Urban Mass Transportation Administration
Two Embarcadero Center, Suite 620
San Francisco, California 94111

Dear Mr. Jacobs:

Amendment Request for Capital
Project No. CA-03-0130-1
Metro Rail Preliminary Engineering

DISTRIBUTION	A	I
Mgr/Chf. Engineer		
Administration		<input checked="" type="checkbox"/>
Program Control		
Systems Analysis		
Comm. Relations		
Ways & Structures		
Subsystems		
Stations/Planning		
Construction		

The District requests UMTA approval of an amendment in the total amount of \$12,287,500 for Project No. CA-03-0130.

This amendment will increase the total amount to \$27,287,500 and allow preliminary engineering to continue on the Metro Rail Project. This amendment request is based upon the \$9,830,000 recently appropriated by Congress and \$2,457,000 in local funding. The proposed changes are summarized (enclosed).

According to current projections of obligations of the remaining \$11.6 million needed to complete P.E., approximately \$5 million will be needed by May, 1982. The request for the remainder of P.E. funding will be submitted in a subsequent grant amendment request.

To assist you in processing the current amendment request, the following items are included:

- A. Updated Form 424
- B. Approved Project Budget No. 2
- C. Proposed Project Budget No. 3
- D. Summary of Changes
- E. Updated Opinion of Counsel
- F. Board Resolution authorizing filing of the amendment
- G. Copies of the Quarterly Progress Report and Financial Status Report for the last quarter.

All certifications and assurances transmitted in the original project application are herein incorporated as part of this

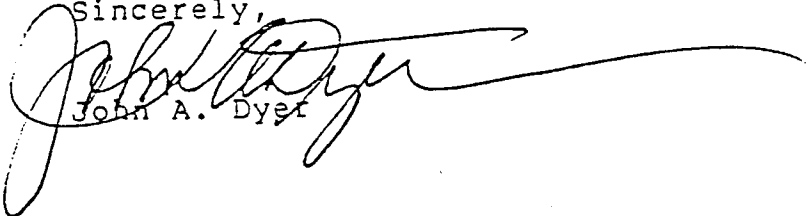
Mr. Dee V. Jacobs

-2-

March 8, 1982

amendment request. If you require additional information or have any further questions concerning this amendment request, please let us know.

Sincerely,



John A. Dyer

Enclosures

cc: R. Richmond, LACTC
G. Grainger, UMTA
M. Pisano, SCAG

bc: Jack Stubbs
Phil Meyers
Richard Gallagher
✓Alan Nishimura

FEDERAL ASSISTANCE	2. APPLI- CANT'S APPLI- CATION	a. NUMBER CA-03-0130 b. DATE 1980 ^{Year} 06 ^{Month} 04 ^{Day}	3. STATE APPLI- CATION IDENTI- FIER	e. NUMBER	b. DATE Year month day ASSIGNED 19
1. TYPE OF ACTION <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION <small>(Mark appropriate box)</small> <input type="checkbox"/> NOTIFICATION OF INTENT (OPI) <input type="checkbox"/> REPORT OF FEDERAL ACTION		Leave Blank			

4. LEGAL APPLICANT/RECIPIENT a. Applicant Name : Southern California Rapid Transit District b. Organization Unit : Grants Administration c. Street/P.O. Box : 425 South Main Street d. City : Los Angeles e. County : Los Angeles f. State : California g. ZIP Code: 90013 h. Contact Person (Name & telephone No.) : George Kagawa (213) 972-6628	5. FEDERAL EMPLOYER IDENTIFICATION NO. 95-1978576 6. PROGRAM (From Federal Catalog) e. NUMBER 2 0 0 5 0 0 b. TITLE Urban Mass Transportation Capital Improvement Grant
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7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT Preliminary Engineering of Southern California Rapid Transit District's Metro Rail Project	8. TYPE OF APPLICANT/RECIPIENT A-State B-Community Action Agency C-School District D-Higher Educational Institution E-City F-Indian Tribe G-Other (Specify): State Chartered Transit District Enter appropriate letter <input checked="" type="checkbox"/> K
9. TYPE OF ASSISTANCE A-Basic Grant B-Insurance C-Supplemental Grant D-Other E-Loan Enter appropriate letter(s) <input type="checkbox"/> B <input type="checkbox"/> -	

10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.) Countywide in Los Angeles	11. ESTIMATED NUMBER OF PERSONS BENEFITING 7,000,000	12. TYPE OF APPLICATION A-New B-Revision C-Augmentation D-Renewal E-Continuation Enter appropriate letter <input type="checkbox"/> E
13. PROPOSED FUNDING		15. TYPE OF CHANGE (For 12c or 12e) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Combination Enter appropriate letter(s) <input type="checkbox"/> - <input type="checkbox"/> A <input type="checkbox"/> -
1. FEDERAL : 21,830,000 .00	a. APPLICANT : 20-35	
3. APPLICANT : 5,457,500 .00	b. PROJECT Same as Applicant	
4. STATE : .00	16. PROJECT START DATE Year month day 19	
5. LOCAL : .00	17. PROJECT DURATION Months	
6. OTHER : .00	18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY Year month day 19 81 03 05	19. EXISTING FEDERAL IDENTIFICATION NUMBER CA-03-0130
7. TOTAL : 27,287,500 .00		

22. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code) Urban Mass Transportation Administration, Washington, DC	22. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No
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22. THE APPLICANT CERTIFIES THAT	a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.	b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: (1) Southern Calif. Association of Governments <input checked="" type="checkbox"/> <input type="checkbox"/> (2) California State Clearinghouse <input checked="" type="checkbox"/> <input type="checkbox"/> (3) <input type="checkbox"/> <input type="checkbox"/>
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23. CERTIFYING REPRESENTATIVE	a. TYPED NAME AND TITLE John Dyer General Manager	b. SIGNATURE 	c. DATE SIGNED Year month day 1982/3/8
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24. AGENCY NAME	25. APPLICANT ACTION RECEIVED Year month day 19
25. ORGANIZATIONAL UNIT	27. ADMINISTRATIVE OFFICE
29. ADDRESS	28. FEDERAL APPLICATION IDENTIFICATION
31. ACTION TAKEN	30. FEDERAL GRANT IDENTIFICATION

31. ACTION TAKEN <input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN	32. FUNDING Year month day a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00	33. ACTION DATE Year month day 19 35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)	34. STARTING DATE Year month day 19 36. ENDING DATE Year month day 19 37. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No
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32. FEDERAL AGENCY a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.	b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)
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SECTION I - APPLICANT/RECIPIENT DATA

SECTION II - CERTIFICATION

AGENCY ACTION

SECTION II

APPROVED PROJECT BUDGET No. 2

Capital Grant Project No. CA-03-0130
Southern California Rapid Transit District

September 1981

Project budget items and corresponding cost estimates are as follows:

<u>Project Budget Line Item Code</u>	<u>Description</u>	<u>Estimated Cost</u>
15.02.01	Purchase of Five Support Vehicles	\$ 40,000
15.02.02	Purchase/Installation of Support Equipment	620,000
	1 Electronic Copier Word Processing Equipment 3 Typewriters - Audio Visual Equipment - Miscellaneous Equipment	
15.08.01	Professional Services Contracts for Engineering and Design	11,500,000
15.15.02	Project Sponsor Force Account Work	2,000,000
15.16.00	Cost Allocation Plan - G&A	105,000
15.16.90	Other Supporting Services	235,000
32.00.00	Contingencies	500,000
	ESTIMATED GROSS PROJECT COST	<u>\$15,000,000</u>
	Revenue Financing	<u>-0-</u>
	ESTIMATED NET PROJECT COST	\$15,000,000

Proposed Financing

Federal Share (80%)	\$12,000,000
Local Share (20%)	\$ 3,000,000

<u>Program Code</u>	<u>Year</u>	<u>Description</u>	<u>Amount</u>
31.10.30	FY-81	Urban Discretionary	\$12,000,000

PROPOSED PROJECT BUDGET No. 3

Capital Grant Project No. CA-03-0130-01
Southern California Rapid Transit District

March 1982

Project budget items and corresponding cost estimates are as follows:

<u>Project Budget Line Item Code</u>	<u>Description</u>	<u>Estimated Cost</u>
15.02.01	Purchase of Five Support Vehicles	\$ 40,000
15.02.02	Purchase/Installation of Support Equipment	587,000
	1 Electronic Copier	
	Word Processing Equipment	
	3 Typewriters	
	- Audio Visual Equipment	
	- Miscellaneous Equipment	
15.08.01	Professional Services Contracts for Engineering and Design	16,655,500
15.15.02	Project Sponsor Force Account Work	7,900,000
15.16.00	Cost Allocation Plan - G&A	105,000
15.16.90	Other Supporting Services	400,000
32.00.00	Contingencies	1,600,000
	ESTIMATED GROSS PROJECT COST	<u>\$27,287,500</u>
	Revenue Financing	-0-
	ESTIMATED NET PROJECT COST	<u>\$27,287,500</u>

Proposed Financing

Federal Share (80%)	\$21,830,000
Local Share (20%)	5,457,500

<u>Program Code</u>	<u>Year</u>	<u>Description</u>	<u>Amount</u>
31.10.30	FY-82	Urban Discretionary	\$ 9,830,000

Summary of Line Item Changes
CA-03-0130, SCRTD

<u>MACS Code</u>	<u>Description</u>	<u>Approved Budget</u>	<u>Change</u>	<u>Proposed Budget</u>
15.02.01	Purchase of five Support Vehicles	40,000	-0-	40,000
15.02.02	Purchase/Installation of Support Equipment	620,000	(33,000)	587,000
15.08.01	Professional Services Contracts for Engineering and Design	11,500,000	5,155,500	16,655,500
15.15.02	Project Sponsor Force Acct. Work	2,000,000	5,900,000	7,900,000
15.16.00	Cost Allocation Plan G & A	105,000	-0-	105,000
15.16.10	Other Supporting Services	235,000	165,000	400,000
32.00.00	Contingencies	<u>500,000</u>	<u>1,100,000</u>	<u>1,600,000</u>
	TOTAL	\$15,000,000	\$12,287,500	\$27,287,500

March 5, 1982 .

PL/le



March 1, 1982

TO: John A. Dyer, General Manager
FROM: Richard T. Powers, General Counsel
SUBJECT: Amendment to UMTA Capital Grant Project No. CA-03-0130

This opinion is written by the undersigned in his capacity as General Counsel of the Southern California Rapid Transit District. This opinion is based upon an examination of the California Constitution, California Codes, the Southern California Rapid Transit District Act, the Minute Book of the District and other laws and regulations deemed appropriate to consider in regard to the matter at hand.

Based upon this review and examination and, in particular, upon the California Constitution, Article IV, Section 1, and the Southern California Rapid Transit District Act, Part 3 of Division 10 (commencing with Section 30000) of the Public Utilities Code of the State of California, as amended, it is my opinion that the Southern California Rapid Transit District is a public agency duly authorized by law to plan for, design, construct and operate public transportation in the Southern California Area and, in particular, the County of Los Angeles.

Specifically, Section 30101 of the District Act, states that it is "a public corporation". The powers of the District to plan, finance and operate a public transportation system are codified as follows: to plan in Section 30636; to finance in Section 30700-30706, 30800-30824, and 30900-30982; to operate public transportation in Sections 30630-30636; and to acquire property by eminent domain in Section 30503, all of the Public Utilities Code of the State of California.

The District is authorized by Sections 30531 and 30701-30706 of the District law to contract with any department or agency of the United States of America or of the State of California or with any public or private corporation upon such terms and conditions as are found to be for the best interests of the District in developing, establishing, constructing and maintaining the transit system. Specifically, such sections authorize and direct the District to enter into and do all things necessary in order to avail itself of any aid, assistance or cooperation under any federal, state or local law now or hereafter enacted that will be helpful to the District in regard to its present or proposed transit facilities.

Section 30701 of the California Public Utilities Code states in part as follows:

"The District may accept contributions or loans from the United States, or any department, instrumentality, or agency thereof, in the acquisition, construction, maintenance, and operation of any such transit facilities in accordance with any legislation which Congress may have heretofore adopted or may hereafter adopt, under which aid, assistance, and cooperation may be furnished by the United States in the acquisition, construction, maintenance and operation or in financing the acquisition, construction, maintenance, and operation of any such transit facilities."

In view of the above cited constitutional and statutory authority, the Southern California Rapid Transit District is legally empowered and authorized to prepare and file with the Department of Transportation applications or other documents deemed necessary for the planning, improvement, or operation of its transit facilities.

There is no pending or threatened litigation which might in any way adversely affect any proposed capital improvement or planning programs.



Richard T. Powers
General Counsel

RESOLUTION No. R-81-048

Resolution authorizing the filing of an amended application (CA-03-0130-02) with the Department of Transportation, United States of America, for a grant under the Urban Mass Transportation Act of 1964, as Amended.

WHEREAS, the Secretary of Transportation is authorized to make grants for mass transportation projects;

WHEREAS, the contract for financial assistance will impose certain obligations upon the applicant, including the provision by it of the local share of project costs;

WHEREAS, it is required by the U. S. Department of Transportation in accord with the provisions of Title VI of the Civil Rights Act of 1964, that in connection with the filing of an application for assistance under the Urban Mass Transportation Act of 1964, as Amended, the applicant give an assurance that it will comply with Title VI of the Civil Rights Act of 1964 and the U. S. Department of Transportation requirements thereunder;

WHEREAS, it is the goal of the applicant that minority business enterprise be utilized to the fullest extent possible in connection with this project, and that definitive procedures shall be established and administered to ensure that minority businesses shall have the maximum feasible opportunity to compete for contracts when procuring construction contracts, supplies, equipment contracts, or consultant and other services; and

WHEREAS, the Los Angeles County Transportation Commission has committed funding equal to 5% of the project cost.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Southern California Rapid Transit District:

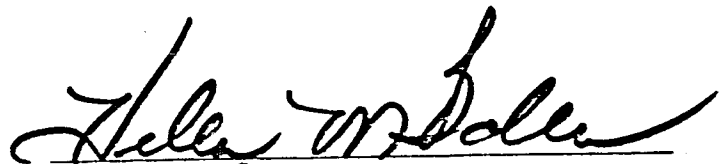
1. That the General Manager is authorized to execute and file an amendment to UMTA Capital Grant No. CA-03-0130-02 on behalf of the Southern California Rapid Transit District with the U. S. Department of Transportation and the State of California for funding of engineering and design at an estimated amount of \$15,000,000 for Preliminary Engineering of a Rapid Transit Starter Line in the Los Angeles Regional Core.
2. That the General Manager is authorized to file an application or amended application with the State of California Department of Transportation for funding equal to 15% of the estimated project cost pursuant to State Article XIX funds.

3. That the General Manager is authorized to execute and file with such application an assurance or any other document required by the U. S. Department of Transportation or State of California effectuating the purposes of Title VI of the Civil Rights Act of 1964.
4. That the General Manager is authorized to furnish such additional information as the U. S. Department of Transportation or State of California may require in connection with the application or the project.
5. That the General Manager is authorized to set forth and execute affirmative minority business policies in connection with the project's procurement needs.
6. That the General Manager is authorized to execute all other necessary documents and contracts in connection with said application filed with the U. S. Department of Transportation, Urban Mass Transportation Administration and the State of California Department of Transportation
7. That the Board of Directors of the District certify a finding of exemption from the California Environmental Quality Act as provided for in Section 15073 of the California Administrative Code.

CERTIFICATION

The undersigned duly qualified and acting as Secretary of the Southern California Rapid Transit District certifies that the foregoing is a true and correct copy of Resolution No. R-81-048 adopted at a legally convened meeting of the Board of Directors of the Southern California Rapid Transit District held on January 28, 1981.

The undersigned further certifies that this resolution is in full force and effect and has not been rescinded or modified in any respect.


Secretary

DATED: February 4, 1981

(SEAL)

Southern California Rapid Transit District
Executive Summary
Quarterly Progress Report
October 1, 1981 to December 31, 1981

CA-03-0130 -- Metro Rail

See attached report.

December 31, 19

PROJECT STATUS SHEET

FOR QUARTER ENDING December 28, 1981

Alan B. Nishinura
Prepared by

6060
Phone No.

Rapid Transit
Dept.

Metro Rail Project Preliminary Engineering
Project Title

CA-03-0130-1
CA Grant No.

Metro Rail Preliminary Engineering
Grant Title

538,893,000 021
Project Budget AFB #

MATTERS AWAITING UMTA ACTION

Formal approval of second grant increment, in amount of \$9,330,000.

OTHER UNRESOLVED ISSUES

GAO determination on award of stations design contract to Harry Weese & Associates.

SUMMARY OF ACCOMPLISHMENTS FOR QUARTER

Administration Section

- o All Three General Consultant contracts were executed. Notices to proceed were issued to Kaiser Engineers and DMJM/PBQ&D, and they commenced work and relocation of necessary personnel. The Harry Weese and Associates contract was executed as of December 24, 1981, and they were asked to present a "Start-up" work program of not to exceed \$75,000 to cover their services between contract approval and the GAO decisions.
- o A contract was executed with Waters Consultants for special consultant services in the area of Corrosion Control.

- o A draft of an amendment to the current CalTrans Article XIX funding agreement was prepared. Execution of this agreement will allow for an accelerated expenditure of state funds, so that statutory disbursement time limitations can be met.
- o A draft of a second CalTrans funding agreement was submitted by CalTrans and reviewed by District staff who requested that changes be made to permit accelerated expenditures of the funds in order to meet statutory disbursement time limitations.
- o Following the Board of Directors decision to award Passenger Vehicles and Fire Protection consulting work to Kaiser Engineers, an amendment to the subsystems general consultant contract was prepared.
- o Following Board of Directors award of Fare Collection consulting work to Booz-Allen and Hamilton, an amendment to the Systems Engineering Analysis Contract was prepared.
- o UMTA Administrator Teele, while visiting Los Angeles, was given a briefing on the status of the Metro Rail Project.
- o Current Federal appropriations, as passed by Congress and signed by the President, include a \$9.83 million line item for Metro Rail preliminary engineering. This amount will raise the Federal contributions to \$21.83 million, and with local shares allows obligation of up to \$27,287,500 out of the estimated preliminary engineering budget of \$38,893,000.

Program Control Section

- o A Metro Rail Project Master Schedule was prepared. This schedule, while based upon the Work Breakdown Structure, contains twelve milestones which represent Board of Directors major policy decision points.
- o The Consultants presented their preliminary Activity Network Diagrams to the Program Control Section. The results indicate that the Second Tier Environmental Impact Statement is the critical path.

Community Relations Section

- o John Hennessey Motion Pictures completed work on the rapid transit film. Release awaits final review and approval by the General Manager and Board of Directors.

- o Metro Rail Staff reviewed and commented upon the rapid transit brochure being prepared by N.W. Ayers.
- o A Community Participation Program for the Metro Rail Project was approved by the Board of Directors.

Systems Engineering & Analysis Section

- o Bocz-Allen and Hamilton submitted the following reports:
 - Interim Report on Energy Management Alternatives, which recommended that a combination of vertical profiling and regenerative braking be used to minimize energy consumption. Their draft report is undergoing rework.
 - Preliminary Engineering Design Control Plan.
 - Project Definition and Objectives.
 - System Specification Table of Contents with Supporting Rationale.
- o Dr. David Ashley submitted a draft report on owner-controlled insurance for rapid transit construction. Report findings indicated that the use of the owner-controlled insurance concept could save many million of dollars.
- o Stanford Research Institute delivered a preliminary version of the train performance simulator and it is being used to analyze the pros and cons of varying the vertical profile.

Subsystems

- o The Mechanical/Electrical Design Criteria volumes were issued during the quarter.

Ways and Structures

- o Ways and Structures Design Criteria were sent to the General Consultant for review and comment.
- o Converse Ward Davis Dixon delivered its Final Report on the Geotechnical Investigation of the Metro Rail corridor.
- o The City of Los Angeles completed the establishment of nearly all ground control surveys along the corridor by the end of the quarter.

- o Converse Ward Davis Dixon submitted a draft of Volume I of its report on Seismological Investigation and Design Criteria, and it is being reviewed by our staff and by our Board of Special Geotechnical Consultants (Lindvall Richter & Associates).
- o Wilson Ihrig and Associates completed its gathering and analysis of field survey data on noise and vibration and is in process of preparing their preliminary report and recommendations.
- o Negotiations were underway with fourteen public and private entities to achieve master agreements on underground utilities affected by Metro Rail construction.

Stations and Planning

- o Station Design Criteria were revised.
- o The City of Los Angeles (Planning Department) completed inventory of existing land use, update of socio-economic data, and submitted a report on plan area boundaries.
- o The City Transportation Department worked on establishment of existing street conditions and capacities.
- o Barton-Aschman Associates completed all technical work on the Phase II patronage study, and at the end of the quarter was preparing its Final Report.
- o Environmental Impact Statement scoping meetings were held in mid-Wilshire and Hollywood.

General Status of the P. E. Work Program

Milestone Reports Scheduled for the Quarter 0.

Milestone Reports completed 0.

Due to the problems in the award of the contracts for General Consultants for Station Designs, we have had a four-month delay in start-up of the Ways and Structures and Subsystems consultants, and are still awaiting final GAO decision on the station design contract. We therefore have considerably accelerated the design and community participation work schedules, so as to make up for the delay. Any further delays are likely to result in serious schedule slippage.

GOALS FOR NEXT QUARTER

Administration Section

- o A contract with CalTrans will be executed to provide for Article XIX funding to match the second UMTA grant increment.
- o A formal application to UMTA for Grant Amendment will be prepared for additional preliminary engineering funding (Note: this refers to the \$9.83 million appropriated by Congress).

Program Control Section

- o The Project Control Systems (including cost accounting and activity networks) will be fully activated, and based upon consultant input, a completely integrated database will be developed for all consultant contracts.

Community Relations Section

- o The Community Participation Program will commence. This program will result in the development of a formal structure through which members of the community can provide input to the preliminary engineering process and evaluate milestones.

Systems Analysis Section

- o Initial drafts of reports on Milestone's 1 and 2 (Preliminary System Definition and Operating Plan, and System Design Criteria) will be prepared.
- o Other deliverables anticipated during the quarter will be -
 - Preliminary System Operating Plan Report
 - Train Performance and Operation Simulation Model
 - Yards and Shops Operating Criteria

Subsystems Division

- o An update of Subsystem Design Criteria will be completed.
- o A report on codes and regulations pertaining to subsystems will be issued.
- o Work will commence on development of subsystem alternative layouts and designs.
- o Kaiser Engineers will review Subsystems design criteria and provide their comments to Metro Rail staff.

Ways and Structures Division

- o DMJM/PBQAD will commence studies of route alignment alternatives and yards and shops functional plans.
- o DMJM/PBQAD will review Ways and Structures design criteria and provide their comments to Metro Rail Staff.
- o Converse Ward Davis Dixon will submit their Final Report on Seismological Investigations.
- o Teledyne Geotronics will complete and furnish 1" to 40" scale maps from Union Station to Sunset and Fairfax.

Stations and Planning Division

- o Work will be completed by Los Angeles City Department of Transportation on analysis of existing street capacities and traffic conditions.
- o Forecasting will commence for Second Tier EIS on environmental conditions surrounding the "No Build" Alternative.
- o The Los Angeles City Planning Department will complete a land use inventory.
- o The Los Angeles City Planning Department will commence development of specific plan alternatives.
- o Metro Rail Staff and the Los Angeles City Planning Department will complete the socioeconomic database.
- o Harry Keese and Associates will commence limited work on studies of station locations and layouts.

Approved:



Richard Gallacher
Manager/Chief Engineer
Metro Rail Project

FINANCIAL STATUS REPORT		UNITA		AFF 021-023		CA-03-0130	
1. Name and Address of Grantee Organization S.C.R.T.D. 425 So. Main Street Los Angeles, CA 90013		2. Federal Agency and Organization of Donor UNITA		3. Grantee Account No. or Identifying No. AFF 021-023		4. Federal Grant No. or Identifying No. CA-03-0130	
5. Status of Funds		6. Reporting Period (Month, Day, Year) 1968 6 1 80		7. Reporting Period (Month, Day, Year) 1968 12 31 83		8. Basis of Report <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual Accounting	
9. Status of Funds		10. Reporting Period (Month, Day, Year) 1968 6 1 80		11. Reporting Period (Month, Day, Year) 1968 12 31 83		12. Reporting Period (Month, Day, Year) 1968 9 27 81	
		PROGRAMS - FUNCTIONS - ACTIVITIES					
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CA-03-0130

INDIRECT EXPENSES

<u>SOURCE</u>	<u>BASE</u>	<u>RATE</u>	<u>TOTAL</u>	<u>FED. SHARE</u>
Rapid Transit Department	\$243,408.54	90%	\$219,067.69	\$175,254.15



U.S. Department
of Transportation

Urban Mass
Transportation
Administration

yes

Region IX
Arizona, California,
Nevada
Hawaii

Two Embarcadero Center,
Suite 620
San Francisco, CA 94111

Des Morgan

CH ✓

*cc Metro Rail
Purch
Hamilton
budget*

RECEIVED

JUN 18 1982

JUN 10 1982

action

GENERAL MANAGER

OK - May for G.C.R.T.D.

PL - Distrib for engineering

Mr. John Dyer, General Manager
Southern California Rapid
Transit District
425 South Main Street
Los Angeles, CA 90013

Re: Project No. CA-03-0130
Amendment No. 1

Dear Mr. Dyer:

I am pleased to advise you that we have approved a grant amendment under Section 3 of the Urban Mass Transportation Act of 1964, as amended, in the maximum amount of \$9,800,000. These funds and our previous commitment of \$12,000,000 provide a total of \$21,800,000 for rapid transit preliminary engineering.

Enclosed are two (2) copies of the approved project budget, four (4) counterparts of the Administration's offer of contractual assistance, and instructions which you should follow in executing these counterparts.

We look forward to working with you in carrying out this worthwhile project. Should you have any questions or need assistance, please feel free to contact Mr. Alan P. Steiner or Mr. Isaac R. Showell, the Transportation Representative for this project, at (415) 556-9364.

Sincerely,

for *Dee V. Jacobs*
Dee V. Jacobs
Regional Administrator

Enclosures

Obligation Date: MAY 27 1982

Fund Code: CH2

*cc Jeff
- DDC*

APPROVED PROJECT BUDGET NO. 1

MAY 27 1982

Capital Grant Project No.: CA-03-0130 Amendment No. 1
 Grantee: Southern California Rapid Transit District

Project budget items and corresponding cost estimates are as follows:

<u>Project Budget Line Item Code</u>	<u>Description</u>	<u>Amount</u>
20.02.01	Purchase of five support vehicles	\$ 40,000
20.02.02	Purchase and install support equipment	800,000
20.08.01	Professional services contracts for engineering and design	18,343,000
20.15.02	Project sponsor force account work	7,000,000
20.16.00	Cost allocation plan - G & A	105,000
20.16.90	Office space lease	500,000
32.00.00	Contingencies	<u>462,000</u>
<u>APPROVED FINANCING</u>		
	ESTIMATED GROSS PROJECT COST	\$27,250,000
41.00.00	Revenue Financing	<u>-0-</u>
	ESTIMATED NET PROJECT COST	\$27,250,000
	Federal Share (80%)	\$21,800,000
	Local Share (20%)	5,450,000

<u>Program Code</u>	<u>Year</u>	<u>Fund Code</u>	<u>Description</u>	<u>Amount</u>
31.10.30	FY 80	BHA	Urban Discretionary, New Starts	\$12,000,000
31.10.30	FY 82	CH2	Urban Discretionary, New Starts	9,800,000

Maximum UMTA grant funds committed to this project: \$21,800,000

URBAN MASS TRANSPORTATION
SECTION 3 CAPITAL GRANT AGREEMENT
(49 U.S.C. 1602)

NOTIFICATION OF APPROVAL OF GRANT AMENDMENT

Project No. CA-03-0130
Amendment No. 1

The parties hereto agree that the Urban Mass Transportation Capital Grant Contract for the project identified above entered into on June 4, 1980 is amended as set forth below.

PURPOSE OF THIS AMENDMENT: To revise the existing Grant Contract to include the current standard terms & conditions and to provide an additional \$9,800,000 for rapid transit preliminary engineering

GRANTEE: Southern California Rapid Transit District

MASS TRANSPORTATION SYSTEM: Southern California Rapid Transit District

ESTIMATED NET PROJECT COST AFTER THIS AMENDMENT: TWENTY-SEVEN MILLION, TWO HUNDRED FIFTY THOUSAND DOLLARS (\$27,250,000)

MAXIMUM FEDERAL SHARE AFTER THIS AMENDMENT: TWENTY-ONE MILLION, EIGHT HUNDRED THOUSAND DOLLARS (\$21,800,000)

IDENTIFICATION OF FEDERAL FINANCIAL ASSISTANCE:

<u>Program Code</u>	<u>Year</u>	<u>Fund Code</u>	<u>Description</u>	<u>Amount</u>
31.10.30.00	FY 80	BHA	Urban Discretionary, New Starts	\$12,000,000
31.10.30.00	FY 82	CH2	Urban Discretionary, New Starts	9,800,000

DATE OF SECTION 13(c) CERTIFICATION LETTER FROM THE DEPARTMENT OF LABOR:

Original: May 16, 1980
Amendment(s) June 2, 1981.

PROJECT DESCRIPTION AFTER THIS AMENDMENT:

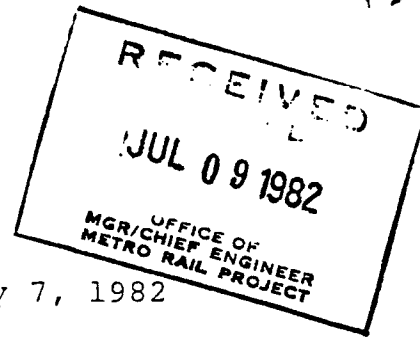
- a. Support vehicles and equipment;
Professional services;
Force account; and
- u. Support services.

MAY 27 1982

Yvonne Folsa



John A. Dyer
General Manager



July 7, 1982

Mr. Dee V. Jacobs, Regional Director
Urban Mass Transportation Administration
Two Embarcadero Center, Suite 620
San Francisco, California 94111

Dear Mr. Jacobs:

Grant Contract
Capital Grant Project No. CA-03-0130-01

Enclosed are two executed counterparts of the contract and two certified copies of the authorizing resolution for Project No. CA-03-0130-01.

These contracts have been executed in accordance with the Southern California Rapid Transit District's Board of Directors' action of February 4, 1981. Additionally, pursuant to instructions received with UMTA's grant award letter dated June 10, 1982, the District's General Counsel has signed the Certificate of the Public Body's Attorney.

Upon reviewing approved project budget No. 1 it was noted that line item code 20.16.90 - Office Space Lease - should read - Other Supporting Services. A line description budget revision will be submitted in the near future.

Upon execution of these contracts, additional funding in the amount of \$9,800,000 (federal) will be allocated to the District. This allocation, in addition to that which has previously been committed by UMTA, will provide a total of \$21,800,000 for Rapid Transit Preliminary Engineering.

If you have any questions, please let me know.

Sincerely,

A handwritten signature in cursive script, appearing to read "John A. Dyer".

John A. Dyer

Enclosures

URBAN MASS TRANSPORTATION
SECTION 3 CAPITAL GRANT AGREEMENT
(49 U.S.C. 1602)

NOTIFICATION OF APPROVAL OF GRANT AMENDMENT

Project No. CA-03-0130
Amendment No. 1

The parties hereto agree that the Urban Mass Transportation Capital Grant Contract for the project identified above entered into on June 4, 1980 is amended as set forth below.

PURPOSE OF THIS AMENDMENT: To revise the existing Grant Contract to include the current standard terms & conditions and to provide an additional \$9,800,000 for rapid transit preliminary engineering

GRANTEE: Southern California Rapid Transit District

MASS TRANSPORTATION SYSTEM: Southern California Rapid Transit District

ESTIMATED NET PROJECT COST AFTER THIS AMENDMENT: TWENTY-SEVEN MILLION, TWO HUNDRED FIFTY THOUSAND DOLLARS (\$27,250,000)

MAXIMUM FEDERAL SHARE AFTER THIS AMENDMENT: TWENTY-ONE MILLION, EIGHT HUNDRED THOUSAND DOLLARS (\$21,800,000)

IDENTIFICATION OF FEDERAL FINANCIAL ASSISTANCE:

<u>Program Code</u>	<u>Year</u>	<u>Fund Code</u>	<u>Description</u>	<u>Amount</u>
31.10.30.00	FY 80	BHA	Urban Discretionary, New Starts	\$12,000,000
31.10.30.00	FY 82	CH2	Urban Discretionary, New Starts	9,800,000

DATE OF SECTION 13(c) CERTIFICATION LETTER FROM THE DEPARTMENT OF LABOR:

Original: May 16, 1980
Amendment(s) June 2, 1981.

PROJECT DESCRIPTION AFTER THIS AMENDMENT:

- Support vehicles and equipment;
- Professional services;
- Force account; and
- Support services.

MAY 27 1982

ORIGINATION DATE

William F. Baker
REGIONAL ADMINISTRATOR

UNITED STATES OF AMERICA
DEPARTMENT OF TRANSPORTATION
URBAN MASS TRANSPORTATION ADMINISTRATION
GRANT

49 U.S.C. § 1602
(SECTION 3)

PART I

THIS GRANT, effective on the date specified in the Notification of Grant Approval is entered into by and between the United States of America ("Government") and the Grantee named in the Notification of Grant Approval.

In consideration of the mutual covenants, promises, and representations herein, the parties hereto agree as follows:

Sec. 1. Purpose of Grant - The purpose of this Grant is to provide for the undertaking of an urban mass transportation capital improvement project ("Project") with Government financial assistance to the Grantee in the form of a capital grant ("Grant"), under Section 3 of the Urban Mass Transportation Act of 1964, as amended, ("Act"), and to state the terms and conditions upon which such assistance will be provided and the manner in which the Project will be undertaken and completed and the Project facilities/equipment used.

Sec. 2. The Project - The Grantee agrees to undertake and complete the Project, and to provide for the use of the Project facilities/equipment, substantially as described in its Application, incorporated herein by reference, filed with and approved by the Government, and in accordance with the terms and conditions of this Grant. The "Project Description" on the Notification of Grant Approval describes the Project to be funded under this Grant.

Sec. 3. The Grant - In order to assist the Grantee in financing that portion of the total cost of the Project which the Department of Transportation (DOT) has determined cannot reasonably be financed from revenues of the public transportation system in which the Project facilities/equipment are to be used ("Net Project Cost"), such Net Project Cost being estimated to be that amount stated in the Notification of Grant Approval, the Government will make a Grant in an amount equal to eighty percent (80%) of the

The Grantee shall keep satisfactory records with regard to the use of the property and submit to the Government upon request such information as is required in order to assure compliance with this Section and shall immediately notify UMTA in all cases where Project facilities/equipment are used in a manner substantially different from that described in the Project Description. The Grantee shall maintain in amount and form satisfactory to the Government such insurance or self-insurance as will be adequate to protect Project facilities/equipment throughout the period of required use. The cost of such insurance shall not be an item of allowable cost. The Grantee shall also submit to the Government at the beginning of each calendar year during such period, a certification that the Project facilities/equipment are still being used in accordance with the terms of this Section and that no part of the local contribution to the cost of the Project has been refunded or reduced.

Sec. 5. Labor Protection - The Grantee agrees to undertake, carry out, and complete the Project under the terms and conditions determined by the Secretary of Labor to be fair and equitable to protect the interests of employees affected by the Project and meeting the requirements of Section 13(c) of the Act, 49 U.S.C. § 1609(c), and Department of Labor regulations at 29 C.F.R. Part 215.

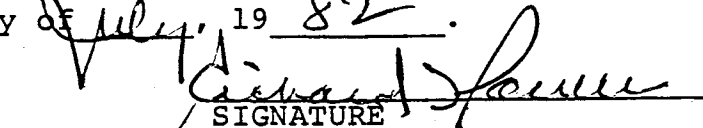
These terms and conditions are identified in the letter of certification to the Government from the Department of Labor on the date set forth in the Notification of Grant Approval, which letter and any documents cited in that letter are incorporated into this Grant by reference. The Grant is subject to the conditions stated in the Department of Labor letter.

Sec. 6. Procurement of Rolling Stock and Buses - In accordance with any guidelines issued by UMTA the Grantee shall make third party contract awards for the acquisition of rolling stock, including buses, only after consideration of performance, standardization, and life-cycle costs, in addition to the consideration of initial capital costs. Where necessary, the Secretary will assist the Grantee in making such evaluations.

Certificate of Grantee's Attorney

I, Richard T. Powers, acting as Attorney for the Grantee do hereby certify that I have examined this Grant and have ascertained that execution of the Grant was authorized on the date of 2/4/81. A copy of this authorization is attached or has previously been submitted to UMTA. The execution of this Grant and the proceedings taken by the Grantee are in all respects due and proper and in accordance with applicable State and local law. I further certify that, in my opinion, said Grant constitutes a legal and binding obligation of the Grantee in accordance with the terms thereof and certify that to the best of my knowledge there is no legislation or litigation pending or threatened which might affect the performance of the Project in accordance with the terms of this Grant.

Dated this 6 day of July, 19 82.


SIGNATURE
General Counsel
Southern California
Rapid Transit District
TITLE AND ORGANIZATION