



## ISSUE MEMORANDUM

**TO:** CINDY McKIM, Chief Deputy Director  
California Department of Transportation

**FROM:** MARTIN TUTTLE, Deputy Director  
Planning and Modal Programs  
(916) 654-5368; Fax: (916) 654-6608; martin\_tuttle@dot.ca.gov

**PREPARED BY:** WILLIAM D. BRONTE, Chief  
Division of Rail  
(916) 654-6542; Fax: (916) 653-4572; bill\_bronte@dot.ca.gov

**DATE:** May 25, 2010

**SUBJECT:** **Certification Under Section 1511 of the American Recovery and Reinvestment Act of 2009**

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- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Request for Approval | <input type="checkbox"/> For Information          |
| <input type="checkbox"/> Request for Discussion          | <input checked="" type="checkbox"/> For Signature |

**TRACKING NUMBER:** DOTS #201011412

**TIME FACTOR:**

Pursuant to Section 1511 of the American Recovery and Reinvestment Act of 2009 (ARRA), the Governor, Mayor, or other chief executive, as appropriate, is required to certify projects funded by the ARRA have received the full review and vetting required by law and accepts responsibility that such investment is an appropriate use of taxpayer dollars.

A State or local agency may not receive ARRA funding unless required certification is made and posted to the United States Department of Transportation (USDOT) Web site. The Division of Rail cannot process requests for authorization of ARRA funded projects without the certification process; therefore, it is critical to complete the certification process in order to allow the Division of Rail to process requests for authorization of ARRA funded projects.

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**SUBJECT: Certification Under Section 1511 Of The American Recovery And Reinvestment Act**

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**BACKGROUND:**

Governor Arnold Schwarzenegger signed the first Section 1511 certification and in accordance with his letter to U.S. Department of Transportation (USDOT) Secretary Ray LaHood dated April 15, 2010, delegated the responsibility of approving future ARRA Section 1511 certifications to California State Department of Transportation (Department) Director position or the Chief Deputy Director, if the position has not been appointed.

**DISCUSSION/PRO-CON ARGUMENTS:**

This Department has worked closely with the Federal Railroad Administration to ensure Section 1511 certifications are processed expeditiously and efficiently, and the Chief Deputy Director of this Department would in turn sign the certifications on behalf of the Governor and forward them to the US DOT. Attached is the certification request and project description including budget.

**EFFECT ON EXISTING LAW:**

This certification is a legal requirement under Section 1511 of the Recovery Act.

**ESTIMATED COST:**

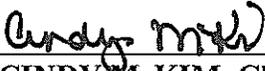
The cost of this certification is nominal.

**RECOMMENDATION:**

It is recommended that Chief Deputy Director Cindy McKim approve the certification letter and project list.

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**APPROVED:**

  
CINDY McKIM, Chief Deputy Director

5/24/10  
Date

Attachments

- (1) Letter to Honorable Raymond H. LaHood
- (2) Caltrain South Terminal Station Improvement Project Description of Work

**DEPARTMENT OF TRANSPORTATION**

OFFICE OF THE DIRECTOR  
P.O. Box 942873, MS-49  
SACRAMENTO, CA 94273-0001  
PHONE (916) 654-5266  
FAX (916) 654-6608  
TTY 711



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May 25, 2010

The Honorable Raymond H. LaHood  
Secretary of Transportation  
United States Department of Transportation  
1200 New Jersey Avenue, SE  
Washington, DC 20590

Dear Secretary LaHood:

**CERTIFICATION UNDER SECTION 1511 OF  
THE AMERICAN RECOVERY AND REINVESTMENT ACT:**

Pursuant to Title XV, Subtitle A, Section 1511 of the American Recovery and Reinvestment Act (ARRA), (Publication L. 111-5, [February 17, 2009]), I, Cindy McKim, Chief Deputy Director, California State Department of Transportation, hereby certify that the attached infrastructure investment funded by ARRA under the headings "Capital Assistance for High-Speed Rail Corridors and Intercity Passenger Rail Service, Federal Railroad Administration," has received the full review and vetting required by law and that I accept responsibility that each such investment is an appropriate use of taxpayer dollars. I further certify that the specific information required by Section 1511 concerning each such investment (a description of the investment, the estimated total cost, and the amount of ARRA funds to be used) is attached.

I understand that my State or local agency may not receive ARRA infrastructure investment funding unless this certification is made and posted.

Sincerely,

  
CINDY MCKIM  
Chief Deputy Director

Attachments

c: Richard Rice, Director, California Recovery Task Force, Office of the Governor  
Dale E. Bonner, Secretary, Business, Transportation and Housing Agency



GOVERNOR ARNOLD SCHWARZENEGGER

April 15, 2010

The Honorable Raymond H. LaHood  
Secretary of Transportation  
1200 New Jersey Avenue, SE  
Washington DC 20590

**Re: Certification under Section 1511 of the American Recovery and Reinvestment Act of 2009**

Dear Mr. Secretary,

I would like to notify you that Mr. Randell H. Iwasaki resigned from the position of Director of the California Department of Transportation (Caltrans), effective April 15, 2010. To ensure continuity and coverage of the American Recovery and Reinvestment Act of 2009 (ARRA) programs through the end of your administration, I would like the delegation of authority to be delegated to the Caltrans Director position or the Chief Deputy Director, if the Director position has not been appointed.

Pursuant to the authority vested in me by Title XV, Subtitle A, Section 1511 of the ARRA (Pub. L. 111-5, February 17, 2009), I, Arnold Schwarzenegger, Governor of the State of California, hereby delegate and designate the Director of Caltrans position or the Chief Deputy Director, to certify to the Secretary of the U.S. Department of Transportation that the infrastructure projects selected for funding in California under ARRA have received the full review and vetting required by law. This designation shall take effect immediately and will remain in effect until further notice.

Sincerely,

A handwritten signature in black ink, appearing to read "Arnold Schwarzenegger".

Arnold Schwarzenegger

cc: The Honorable Dale E. Bonner, Secretary, Business, Transportation and Housing Agency  
Mr. Randell H. Iwasaki, Director, Caltrans



## **CALTRAIN SOUTH TERMINAL STATION IMPROVEMENT PROJECT**

### ***DESCRIPTION OF WORK***

The South Terminal Station Improvement project ("Project") is located at the Diridon Station in San Jose, California on the Caltrain corridor. This portion of the corridor is very busy as it is used by five separate operators that includes Caltrain, Union Pacific, Altamont Commuter Express (ACE), Capitol Corridor Joint Powers Authority (CCJPA), and Amtrak. The Project includes construction of two new platforms at the Diridon Station with stairs and ADA ramps to access the existing pedestrian underpass. The platform will have all of the standard amenities such as lighting, canopies, benches, trash cans, signage, striping, and mini-highs. The Project will also provide for the installation of visual messaging signs (VMS), public address systems (PA), and closed-circuit TVs (CCTVs). The Project will include removal of the maintenance facilities currently located in the terminal, removal of tracks 7 through 12, construction of new tracks 7 through 9, installation of new turnouts, fencing, and drainage. The Project will replace two major control points at the north and south end of the terminal and install rebuilt high-speed switch machines.

### ***PROJECT LIMITS:***

The Grantee shall ensure the completed construction of station platforms and trackwork at the San Jose Diridon Station in San Jose, California on the Peninsula Corridor Joint Powers Board's Caltrain corridor at MP 47.5. This station is the south terminal of the Caltrain corridor.

## **PROJECT COST DETAILS**

Task 1: Final Design (complete)	\$ 6,000,000
Task 2: Site Preparation (complete)	\$ 2,500,000
Task 3: Construction*	
1. Site Preparation	\$ 600,000
2. Utility Installation	\$ 1,300,000#
3. Platform "D" Installation	\$ 4,600,000#
4. Platform "E" Installation	\$ 5,000,000#
5. Trackwork on Tracks "7, 8, & 9"	\$ 2,100,000#
6. Trackwork on Track "6"	\$ 700,000#
7. Switch Machine Installation	\$ 2,900,000
8. Signal Equipment Installation	\$ 7,000,000#
9. Cutovers	\$ 1,000,000
10. Closeout **	<u>\$ 1,300,000</u>
<b>Construction Total</b>	<b>\$26,500,000</b>

**Total Project Cost: \$35,000,000**

\* Construction costs for each component (items 1 through 10) represent the fully-loaded cost which includes project management, construction management, program management, project controls, watchmen and flagmen, and legal costs.

\*\* Closeout activities include but not limited to the following: completion of safety and security certification; conduct operational turn-over and complete punchlist items; receive manuals, spare parts, tools, etc, and all other submissions such as as-builts, conformed drawings, inspection, laboratory, and field test reports.

# denotes elements in Task 3 which are proposed to be funded 100% by ARRA-HSIPR Track 1a funds. Of the \$18,000,000 of FRA ARRA-HSIPR Track 1a funding, no more than \$1,300,000 shall be used to fund activities categorized as "Utility Installation," no more than \$4,600,000 shall be used to fund "Platform 'D' Installation," no more than \$5,000,000 shall be used to fund "Platform 'E' Installation," no more than \$2,100,000 shall be used to fund "Trackwork on Tracks '7, 8, & 9,'" no more than \$700,000 shall be used to fund "Trackwork on Track '6,'" and the balance of the remaining funding; approximately \$4,300,000, shall be used to fund "Signal Equipment Installation" activities. To the extent the elements of utility installation, platform installation, trackwork, and signal equipment installation can be completed for less than the amounts listed above, the excess funds can be used to complete other project elements described as "potentially eligible" which are listed above in Task 3 without the # denotation.

## **FUNDING PLAN**

### **Task 1**

1. FTA Section 5307/9 Formula Grants	\$ 4,800,000
2. JPB Local Match	\$ 1,200,000

### **Task 2**

1. FTA Section 5307/9 Formula Grants	\$ 2,000,000
2. JPB Local Match	\$ 500,000

### **Task 3**

1. Federal FRA HSIPR	\$18,000,000
2. Federal FTA Section 5307/9 Formula Grants	\$ 6,800,000
3. Regional Bridge Tolls	\$ 700,000
4. Other matching funds to the FTA Formula Grants	<u>\$ 1,000,000</u>

**Total Funding: \$ 35,000,000**