



## Citizens Watchdog Committee Meeting Agenda

**Monday, March 11, 2013, 6:30 to 8:30 p.m.**  
**1333 Broadway, Suite 300, Oakland, CA 94612**

### Meeting Outcomes:

- Review and provide feedback on the executive summary of the Program Compliance Summary Report
- Establish a subcommittee to draft the CWC Annual Report
- Receive a mid-year budget update
- Receive an update on the fiscal year 2012-2013 (FY 12-13) quarterly investment report
- Receive responses from staff to the CWC's information requests
- Receive an update on the projects and programs watchlist process, the One Bay Area Grant Program and Commission actions

6:30 – 6:35 p.m.	<b>1. Welcome and Introductions</b>	
6:35 – 6:40 p.m.	<b>2. Public Comment</b>	I
6:40 – 6:45 p.m.	<b>3. Approval of January 14, 2013 Minutes</b> <u><a href="#">03 CWC Meeting Minutes 011413.pdf</a></u> – Page 1	A
6:45 – 7:20 p.m.	<b>4. Compliance Summary Report to CWC</b> <u><a href="#">04 Compliance Executive Summary.pdf</a></u> – Handout at meeting <u><a href="#">04A CWC and Staff Compliance Report Comments and Responses.pdf</a></u> – Page 33	I
7:20 – 7:25 p.m.	<b>5. Establishment of CWC Annual Report Subcommittee</b>	A
7:25 – 7:40 p.m.	<b>6. Mid-year Budget Update</b> <u><a href="#">06 AlamedaCTC Mid-Year Budget Report.pdf</a></u> – Page 197	I
7:40 – 7:55 p.m.	<b>7. Quarterly Investment Report: FY 12-13 First Quarter Report</b> <u><a href="#">07 FY12-13 Quarterly Investment Report.pdf</a></u> – Page 209	I
7:55 – 8:00 p.m.	<b>8. CWC Member Reports/Issues Identification</b> <u><a href="#">08 CWC Issues Identification Process and Form.pdf</a></u> – Page 221	I
8:00 – 8:20 p.m.	<b>9. Staff Responses to CWC Requests for Information</b> <u><a href="#">09 Response to CWC Inquiry on EBP Costs.pdf</a></u> – Page 225	I

- 8:20 – 8:30 p.m.      **10. Staff Reports/Board Actions** |
- A. Projects and Programs Watchlist Update**  
*[10A Projects and Programs Watchlist.pdf](#) – Page 229*
  - B. One Bay Area Grant Program Update**
  - C. General Items**  
*[10C Alameda CTC Action Items.pdf](#) – Page 231*  
*[10C1 CWC Calendar FY12-13.pdf](#) – Page 237*  
*[10C2 CWC Roster.pdf](#) – Page 239*
- 8:30 p.m.              **11. Adjournment**

*Key: A – Action Item; I – Information/Discussion Item; full packet available at [www.alamedactc.org](http://www.alamedactc.org)*

**Next Meeting:**

Date: June 10, 2013

Time: 6:30 to 8:30 p.m.

Location: Alameda CTC Offices, 1333 Broadway, Suite 300, Oakland, CA 94612

**Staff Liaisons**

Tess Lengyel, Deputy Director of Policy, Public Affairs and Legislation, (510) 208-7428, [tlengyel@alamedactc.org](mailto:tlengyel@alamedactc.org)

Patricia Reavey, Director of Finance, (510) 208-7422, [preavey@alamedactc.org](mailto:preavey@alamedactc.org)

Angie Ayers, Public Meeting Coordinator, (510) 208-7450, [aayers@alamedactc.org](mailto:aayers@alamedactc.org)

**Location Information:** Alameda CTC is located in Downtown Oakland at the intersection of 14<sup>th</sup> Street and Broadway. The office is just a few steps away from the City Center/12<sup>th</sup> Street BART station. Bicycle parking is available inside the building, and in electronic lockers at 14<sup>th</sup> and Broadway near Frank Ogawa Plaza (requires purchase of key card from [bikelink.org](http://bikelink.org)). There is garage parking for autos and bicycles in the City Center Garage (enter on 14<sup>th</sup> Street between Broadway and Clay). Visit the Alameda CTC website for more information on how to get to the Alameda CTC: <http://www.alamedactc.com/directions.html>.

**Public Comment:** Members of the public may address the committee regarding any item, including an item not on the agenda. All items on the agenda are subject to action and/or change by the committee. The chair may change the order of items.

**Accommodations/Accessibility:** Meetings are wheelchair accessible. Please do not wear scented products so that individuals with environmental sensitivities may attend. Call (510) 893-3347 (Voice) or (510) 834-6754 (TTD) five days in advance to request a sign-language interpreter.



**Alameda CTC Citizens Watchdog Committee Meeting Minutes**  
**Monday, January 14, 2013, 5:30 p.m., 1333 Broadway, Suite 300, Oakland**

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Attendance Key (A = Absent, P = Present)

Members:

<u>P</u> James Paxson, Chair	<u>P</u> Petra Brady	<u>P</u> Steve Jones
<u>A</u> Harriette Saunders, Vice Chair	<u>P</u> Mike Dubinsky	<u>P</u> Jo Ann Lew
<u>A</u> Pamela Belchamber	<u>A</u> Arthur Geen	<u>A</u> Raj Salwan
	<u>P</u> James Haussener	<u>P</u> Hale Zukas

Staff:

<u>P</u> Arthur L. Dao, Executive Director	<u>A</u> Patricia Reavey, Director of Finance
<u>P</u> John Hemiup, Senior Transportation Engineer	<u>P</u> Matt Todd, Manager of Programming
<u>P</u> Tess Lengyel, Deputy Director of Policy, Public Affairs and Legislation	<u>P</u> Angie Ayers, Acumen Building Enterprise, Inc.
<u>P</u> Stewart Ng, Deputy Director of Programming and Projects	<u>P</u> John Nguyen, Hatch Mott MacDonald

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### 1. Audit and Compliance Report Review

The CWC members received an orientation on the compliance report review process from staff from 5:30 to 5:45 p.m. The members reviewed the Alameda CTC annual program year-end audit and compliance reports from 5:45 to 6:30 p.m. Members will review the audits and reports in further detail on their own and submit comments to Alameda CTC via e-mail by January 28, 2013.

Overall, the CWC is pleased with the new compliance policies that require the agencies to spend the Measure B funds in a timely manner, define in advance the programs they will use reserve funds on, and adopt a complete streets policy. The members were very pleased with the new rescission of funds policy, which allows the Commission to return unspent funds and interest earned to Alameda CTC.

*Questions/feedback from the members:*

- Is the Excel spreadsheet for Table 2 a “smart” program that will detect errors? Staff stated that a formula is in place and will detect if calculations in one cell do not match the calculations in another cell. This precaution will not stop users from completing the form; however, it will alert them of a discrepancy and also allow Alameda CTC to easily verify the information.
- Regarding fund balance, how will last year’s explanations from the agencies on how they will use the reserves be tied to this year’s explanations? Staff reminded the committee that this is a new policy, and last year’s explanations will not address the

policy. Going forward, Alameda CTC will have the ability to track the information in conjunction with the reserve fund policy.

- Was there push back from the agencies regarding the new rescission of funds policy? Staff stated that some of the agencies complained; however, the agencies understand that they must comply with the new policy to continue to receive Measure B funds.

Staff reviewed the sample audit and compliance report for the City of Dublin Bicycle and Pedestrian Program with the CWC. This review served as a training tool for new members and was a refresher for existing members. Staff agreed to email the CWC the compliance review tracking and comment form to allow members to record their comments. During the presentation, staff requested comments by January 28, 2013.

## **2. Welcome and Introductions**

James Paxson, CWC Chair, called the meeting to order at 6:35 p.m. The meeting began with introductions and meeting outcomes. James welcomed to the committee the new member Steve Jones.

**Guests present:** Brian Geysher; Ahmad Gharaibeh, Vavrinek, Trine, Day & Co., LLP (VTD); Raj Murthy, Alameda CTC Program Management and Project Control Team; James O'Brien, Alameda CTC Program Management and Project Control Team

## **3. Public Comment**

There were no public comments.

## **4. Approval of November 19, 2012 Minutes**

*Mike Dubinsky moved to approve the minutes as written. Petra Brady seconded the motion. The motion carried 6-0, with one abstention, Steve Jones.*

## **5. Update on Projects and Programs**

Stewart Ng gave an overview on the status of capital projects (Attachment A). The presentation covered the 43 Alameda CTC active capital projects, including projects funded by Measure B and non-Measure B funding sources. The current estimated cost is \$3.8 billion for the 43 active capital projects. Stewart's overview included a summary of capital projects by:

- Type of project – The 43 active capital projects include seven mass transit, 27 highway, seven local streets and roads, and two bicycle and pedestrian projects.
- Fund type and implementing agency – Eight projects are funded by Proposition 1B, the Transportation Bond Project; 28 projects are Measure B-funded; seven projects are non-Measure B funded.
- Phase – Staff presented the number of projects by phase and costs.
- Planning area – Eight projects are in North County; 12 projects are in Central County; eight project are in South County; 16 projects are in East County.
- Milestone updates
- Project photographs



Questions/feedback from the members:

- Why is the CWC being informed about projects funded by bonds and non-Measure B funds? Staff provided an update on all of Alameda CTC capital projects. The bond funds are only available for the construction phase of the projects. Funds from the 2000 Measure B have been allocated for preconstruction and construction support phases for some of the bond-funded projects. Staff noted that the Alameda CTC Board approved utilization of Measure B funds for these projects. Staff informed the committee that the Measure B Expenditure Plan lists a Congestion Relief Emergency Fund, which is an emergency contingency fund to help relieve congestion in a major corridor. The Commission approved a portion of these funds for the bond projects.
- Will bond-funded projects appear in the compliance report? No. The compliance report is only for Measure B pass-through funds.
- What is the status of projects that missed their deadlines and were granted extensions? The two projects in that category are:
  - Dumbarton Rail Corridor – The Expenditure Plan required full funding of plans and environmental clearance. The project sponsor completed the environmental document; however, the project lacks significant funding, and the Federal Transit Administration has not approved the document. The project team will request an extension from the Commission in March.
  - Bus Rapid Transit (BRT) project – The BRT achieved environmental clearance. This project had a request for funding in the Measure B1 Transportation Expenditure Plan. Since the measure did not pass, the agency has refined the scope of the project to balance the total estimated costs with total available funding.
- If Alameda CTC seeks additional financing, what are the projects that will drive that effort? Staff stated that Alameda CTC will do an assessment to determine how much funding is needed. The projects driving this effort are:
  - BART to Warm Springs
  - Oakland Airport Connector
  - Route 84 Expressway

Staff told the committee that a table exists that will clarify the information in the presentation. Staff agreed to email the members the table, which summarizes the 2000 Measure capital projects.

A CWC member wanted to know why the CWC hadn't known about the Measure B funds being used for bond projects. Staff provided information on the relationship between the budget, the financial statement, and the strategic plan. The 2000 Measure B funding for the Congestion Relief Emergency Funds (CREF) is included in the 2000 Measure B Expenditure Plan. The breakdown of the CREF is approved by the Commission and has been included in previous project update presentations. Measure B funds were used as leverage to obtain additional funds. Staff informed the committee that the construction capital expenditures funded by the I-Bond funding for these projects will not appear on the Alameda CTC's financial statements because Caltrans is incurring the costs for these projects and drawing

down the I-Bond funding directly (with the exception of four of the sub-projects under the I-80 Integrated Corridor Management umbrella).

John Hemiup reviewed the presentation on the pass-through fund program and grant program (Attachment B). The presentation included the breakdown of the 60 percent of Measure B funds allocated to programs and background information on each funding source. John highlighted certain grant-funded projects to demonstrate the array of services, projects, programs, and plans implemented throughout the county.

The program fund distribution is as follows:

- Local Streets and Roads – 22.34 (percent pass-through funds)
- Mass Transit – 21.92 percent (pass-through funds and grants)
- Paratransit – 10.45 percent (pass-through funds and grants)
- Bicycle and Pedestrian Safety – 5 percent (pass-through funds and grants)
- Transit Center Development – 0.19 percent (pass-through funds and grants)

*Questions/feedback from members:*

- A member stated that the *Measure B Makes a Difference* slide (#5) is a good depiction of pass-through funds and suggested that Alameda CTC create a similar slide for grant funds.
- A member discussed the frequency of updating the Countywide Bicycle and Pedestrian Plans and suggested Alameda CTC consider using the funds to make other improvements and consider creating best practices for going forward.
- *The Paratransit Gap Grant Programs* slide (#13) states that paratransit programs handle approximately one million rides annually. Where does the money come from? Staff stated these rides are funded with 2000 Measure B, fares and other funding through services such as East Bay Paratransit. The funds are monitored through both the Compliance Report and Program Plan Review processes.
- A member suggested that Alameda CTC look at congestion relief and greenhouse gas reduction as part of the grant program.

#### **6. Alameda CTC Audited Annual Financial Report, June 30, 2012**

Ahmad Gharaibeh with VTD presented Alameda CTC audited annual financial report for June 30, 2012 and the limitation worksheet for the fiscal year that ended June 30, 2012 (Attachment C). He noted that this is the first consolidated Alameda CTC audit since the merger of the Alameda County Congested Management Agency and the Alameda County Transportation Improvement Authority.

Ahmad stated that the VTD auditors found no material weaknesses or items of administrative concern, and VTD issued a “clean” or “unqualified” opinion, meaning that the information stated in the financial statements is accurate in all material respects.

Ahmad acknowledged that at the December 6, 2012 Joint Commission/CWC Audit Committee meeting, there was agreement by Alameda CTC on modifications to the

limitations worksheet to assist members in understanding the financial report on the ACTIA Measure B figures.

*Questions/feedback from members:*

- A member stated the project revenue in the general fund on page 106 was \$4,531,006 versus the actual project revenue of \$4,894,950 on page 129. Why are the numbers different when the fund ending balances are the same? Ahmad stated that one difference is the “operating transfer in” for \$363,944 on page 106. From an audit gap perspective, “operating transfer in” is shown as a separate line item as stated on page 106. From a budgeted perspective, it’s all rolled into one number as stated on page 129, which is the amount rolled into the \$4,894,950.
- Why does the administrative percentage double when both agencies are combined? Ahmad stated that the actual amount for both ACTIA and ACCMA is close; however, the denominator used makes the difference. He stated that page 134 of the agenda packet shows the administrative costs for ACTIA and ACCMA separately.

**7. CWC Member Reports/Issues Identification**

None

**8. Staff Responses to CWC Requests for Information**

James Paxson stated that staff responses to CWC requests for information are a new agenda item. The purpose of this section is to create a formal way of getting responses from staff. He mentioned that if items are identified in the meeting, staff will bring a response back to the committee and place the items under this agenda item.

James requested staff to review and discuss the table that summarizes the 2000 Measure capital projects at the March 11, 2013 meeting. This item was discussed in agenda item 5 above.

At the November 19, 2012 meeting, James Haussener submitted an Issues Identification Form requesting information on how the Alameda CTC plans to spend down the ACTIA General Fund balance. Art Dao reviewed and discussed the memo in the agenda packet.

At the November 19, 2012 meeting, James Paxson requested staff create a cost benefit analysis to assist in determining if the CWC is receiving a good return on its investment when the 10<sup>th</sup> *Annual Report to the Public* was published. Tess Lengyel reviewed and discussed the memo and cost benefit analysis in the agenda packet.

The CWC members suggested that the committee begin to address the creation of annual report to the public earlier. The members also stated that the goal of the CWC is to make sure the outreach efforts are effective and further discussion will take place to ensure the CWC 11<sup>th</sup> *Annual Report to the Public* reaches more people in Alameda County. CWC members agreed to submit ideas to staff with various options on how to make the annual report more effective. One consideration mentioned in the meeting is to possibly change the annual report to a quarterly report similar to the Alameda CTC E-newsletter. The

members requested that discussion of these ideas take place in the March 11, 2013 meeting.

A CWC member requested by email that Alameda CTC staff provide additional information to help CWC members understand the funding for development and placement of the 2012 Alameda County Transportation Expenditure Plan on the November 2012 ballot. Staff discussed the memo in the agenda packet. Staff noted that the Commission will form a subcommittee to discuss lessons learned during the Measure B1 ballot initiative.

## **9. Staff Reports/Board Actions**

### **A. General Items**

Staff stated that the Alameda CTC Commission action items are listed in the agenda packet.

Art Dao gave the committee an update on the One Bay Area Grant program. He informed the committee that OBAG will move forward with a call for projects.

## **10. Adjournment/Next Meeting**

The meeting adjourned at 8:30 p.m. The next meeting is scheduled for March 11, 2013 at the Alameda CTC offices.

### **Attachments**

- Attachment A: Semi-annual Capital Projects Update Presentation
- Attachment B: Pass-through Fund and Grant Programs Update Presentation
- Attachment C: Annual Financial Report for the Fiscal Year Ended June 30, 2012 Presentation



## Overview

### ACTIVE CAPITAL PROJECTS SUMMARY

- By Type of Project
- By Fund Type and Implementing Agency
- By Phase
- By Planning Area
- Milestone Updates
- Project Photographs

## Capital Projects by Type

Number of Projects	Project Type	Total Cost (\$ x Million)
7	Mass Transit	\$2,300
27	Highway	\$1,200
7	Local Streets & Roads	\$338
2	Bicycle & Pedestrian	\$26
<b>43</b>	<b>Active Projects</b>	<b>\$3,840</b>

Semi-Annual Capital Projects Update (October 2012)

Presented to the CWC on January 14, 2013



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## Capital Projects by Fund Source

Number of Projects	Fund Source	Implemented by Alameda CTC	Implemented by Others
8	I-BOND	8	0
28	MEASURE B	12	16
7	OTHER*	7	0
<b>43</b>	<b>ALL</b>	<b>27</b>	<b>16</b>

\*Other = Non Measure B or I-Bond Funding

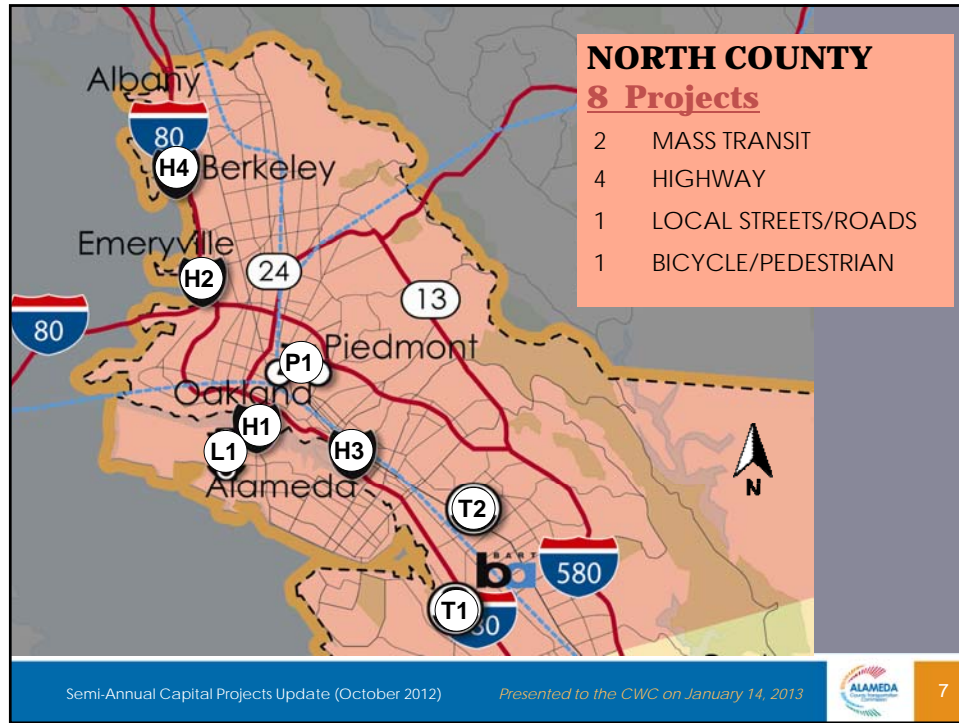
Semi-Annual Capital Projects Update (October 2012)

Presented to the CWC on January 14, 2013



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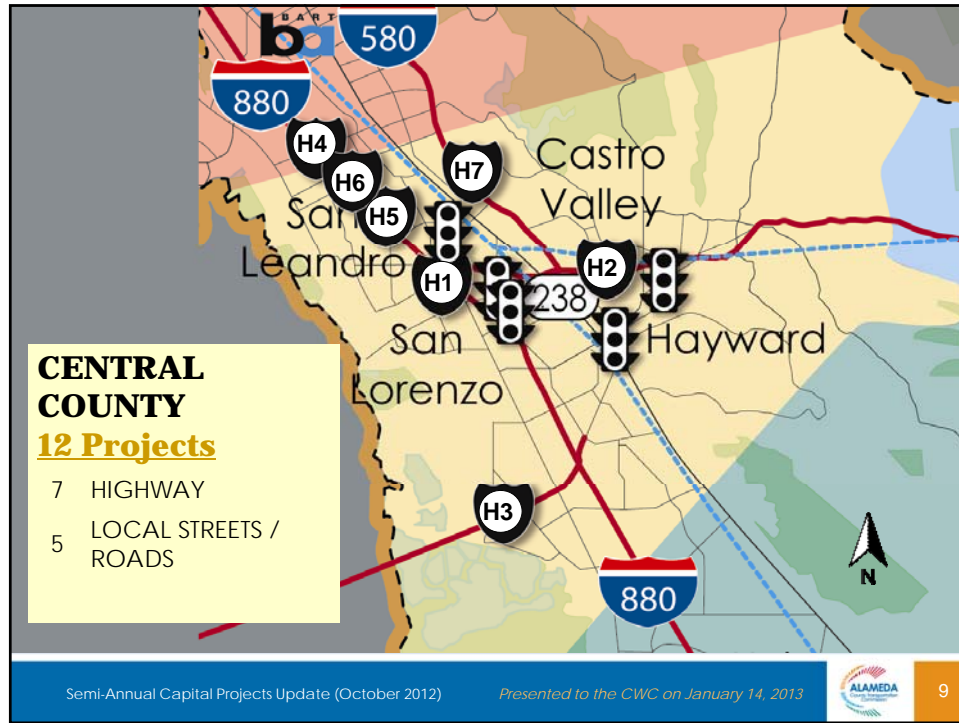
North County – Active Project Status Update					
Map ID	APN#	Project Title	Current Phase	Construction Start	Construction End
T1	603.0	BART Oakland Airport Connector	CONST	Sep 2010	Dec 2013
T2	607.0	Telegraph Avenue Corridor Bus Rapid Transit	ENV/DESIGN	Jan 2014	Apr 2016
H1	610.0	I-880/Broadway-Jackson I/C Improvement (Study Only)	SCOPING	N/A	N/A
H2	791.0	I-80 Integrated Corridor Mobility	CONST	Jun 2011	Sep 2014
H3	717.0	I-880 North Safety and Operational Improvements	DESIGN / ROW	May 2013	May 2017
H4	765.0	I-80 Gilman (Study Only)	SCOPING	N/A	N/A
L1	740.0	Webster Street SMART Corridors	CONST	Sep 2012	Feb 2013
P1	604.0	Downtown Oakland Streetscape Improvement – 4C/4A/4B2	CONST	Sep 2007	Jun 2015

Semi-Annual Capital Projects Update (October 2012) Presented to the CWC on January 14, 2013

ALAMEDA

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Central County – Active Project Status Update						
Map ID	APN#	Project Title	Current Phase	Construction Start	Construction End	
H1	507.0	Central Alameda County Freeway System Operational Analysis (Study Only)	SCOPING	N/A	N/A	
H2	612.0	I-580 Castro Valley Interchange Improvements	PLANT EST.	Jun 2008	Jun 2011	
H3	615.0	Route 92/Clawiter – Whitesell Interchange and Reliever Route	DESIGN/ROW	Jul 2013	Jul 2015	
H4	730.0	I-880 Southbound HOV Lane – North Segment	CONST	Nov 2012	Jan 2015	
H5	730.0	I-880 Southbound HOV Lane – South Segment	CONST	Sep 2012	Jan 2016	
H6	730.0	I-880 Southbound HOV Lane – Landscaping / Hardscaping	DESIGN	TBD	TBD	
H7	764.0	San Leandro Landscaping	CONST	Jul 2012	Feb 2013	

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ALAMEDA COUNTY

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## Central County continued

Map ID	APN#	Project Title	Current Phase	Construction Start	Construction End
L1	506.0	Route 238/Mission-Foothill -Jackson Corridor Improvement	CONST	Apr 2010	Jul 2013
L2	509.0	Castro Valley Local Area Traffic Circulation Improvement	SCOPING	TBD	TBD
L3	613.0	Lewelling/East Lewelling Boulevard Widening	CONST	Jul 2009	Aug 2012
L4	617.1	Hesperian Boulevard/Lewelling Boulevard I/C Improvements	CONST	Jan 2010	Aug 2012
L5	619.0	E 14th St./Hesperian Blvd./150th St. I/C Improvements	DESIGN	Sep 2013	May 2015

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## SOUTH COUNTY 8 Projects

- 3 MASS TRANSIT
- 4 HIGHWAY
- 1 LOCAL STREETS / ROADS



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### South County – Active Project Status Update

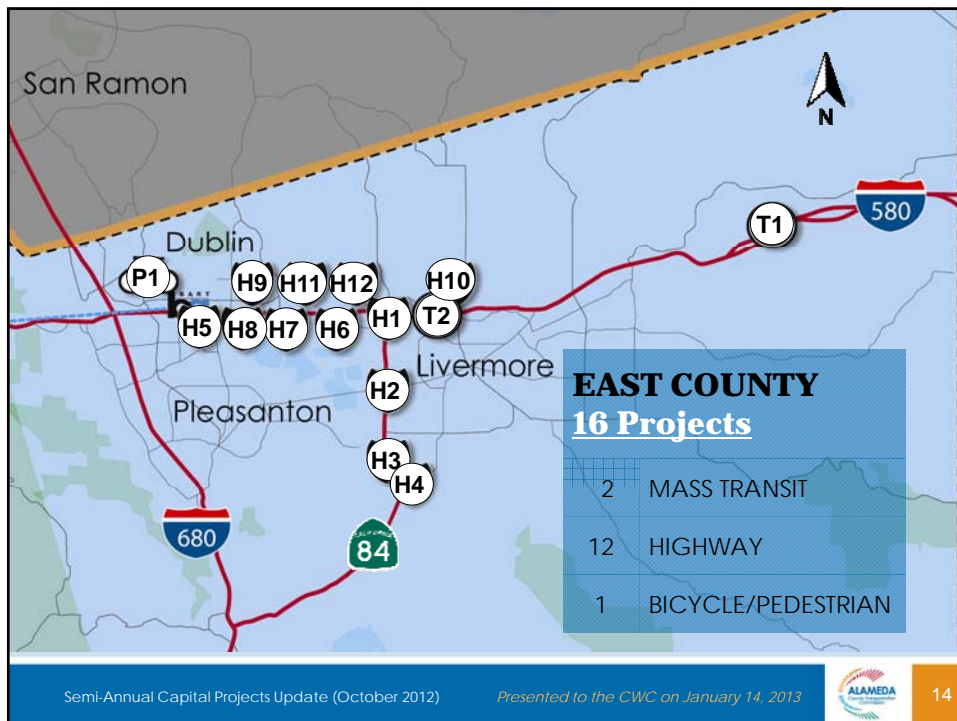
Map ID	APN#	Project Title	Current Phase	Construction Start	Construction End
T1	602.0	BART Warm Springs Extension – Stage 1 & Stage 2	CONST	Sep 2009	Dec 2015
T2	606.0	Union City Intermodal Station	CLOSEOUT	Jun 2007	Mar 2012
T3	625.0	Dumbarton Rail Corridor	ENV	TBD	TBD
H1	501.0	I-880/ Mission Boulevard (Route 262) Interchange Completion	CONST	Jun 2012	Jan 2015
H2	710.4	I-680 Sunol Express Lanes – Southbound	CLOSEOUT	Oct 2008	Apr 2012
H3	721.0	I-680 Sunol Express Lanes – Northbound	SCOPING	TBD	TBD
H4	770.0	I-680/I-880 Cross Connector Studies (Study Only)	SCOPING	N/A	N/A
L1	505.0	I-880 to Mission Boulevard East-West Connector	DESIGN	Nov 2014	May 2017

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Semi-Annual Capital Projects Update (October 2012)

Presented to the CWC on January 14, 2013



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## East County – Active Project Status Update

Map ID	APN#	Project Title	Current Phase	Construction Start	Construction End
T1	601.0	Altamont Commuter Express Rail	CONST	Various	Various
T2	626.0	I-580 Corridor/BART to Livermore Studies (Study Only)	ENV	N/A	N/A
H1	623.0	Isabel Avenue - Route 84/I-580 Interchange	CLOSEOUT	Jan 2009	Mar 2012
H2	624.1	Route 84 Expressway – North Segment	CONST	Mar 2012	Mar 2014
H3	624.2	Route 84 Expressway – South Segment	DESIGN/ROW	Feb 2015	Dec 2016
H4	624.3	Route 84 Expressway – Landscape	DESIGN	Mar 2016	Sep 2019
H5	720.3	I-580 Corridor Environmental Mitigation	N/A	Various	Various

Semi-Annual Capital Projects Update (October 2012)

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## East County continued

Map ID	APN#	Project Title	Current Phase	Construction Start	Construction End
H6	720.4	I-580 Eastbound (HOT) Express Lane	DESIGN	Oct 2014	Nov 2015
H7	720.5	I-580 Eastbound HOV Lane – Segment 3 with Auxiliary (AUX) Lane	CONST	Oct 2012	Nov 2014
H8	723.0	I-580 Right of Way (ROW) Preservation	ROW	N/A	N/A
H9	724.0	I-580 Westbound HOV Lane – West Segment	CONST	Oct 2012	Nov 2014
H10	724.0	I-580 Westbound HOV Lane – East Segment	CONST	Oct 2012	Nov 2014
H11	724.0	I-580 Westbound HOV Lane – Landscaping	DESIGN	TBD	TBD
H12	724.1	I-580 Westbound Express (HOT) Lane	DESIGN	Nov 2014	Nov 2015
P1	609.0	Iron Horse Transit Route	DESIGN	Jun 2013	Jun 2014

Semi-Annual Capital Projects Update (October 2012)

Presented to the CWC on January 14, 2013



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## Milestone Update - CMIA BOND

*Contract Status Overview as of January 2013*

Project	Advertisement Date	Bid Opening	Award	Start of Construction Field Activities*
I-580 Eastbound HOV Segment 3 with AUX Lane	7/09/2012 (A)	10/05/2012 (A)	11/16/2012 (A)	APR 2013 (T)
I-580 Westbound HOV – East Segment	6/25/2012 (A)	9/19/2012 (A)	11/20/2012 (A)	APR 2013 (T)
I-580 Westbound HOV – West Segment	6/25/2012 (A)	8/29/2012 (A)	10/29/2012 (A)	MAR 2013 (T)
I-880 Southbound HOV – North Segment	6/25/2012 (A)	10/12/2012 (A)	11/08/2012 (A)	JAN 2013 (T)
I-880 Southbound HOV – South Segment	6/18/2012 (A)	8/22/2012 (A)	9/14/2012 (A)	JAN 2013 (T)
I-80 Integrated Corridor Mobility (ICM) #4 ARM	6/18/2012 (A)	8/24/2012 (A)	9/10/2012 (A)	DEC 2012 (A)
I-80 Integrated Corridor Mobility (ICM) #5 ATM	6/18/2012 (A)	9/21/2012 (A)	10/12/2012 (A)	JAN 2013 (T)

Note: The shaded cell signifies the current point of project along the path to award and start of construction activities

(A)=Actual (T)=Target

\*Construction start dates contingent upon winter weather conditions

Semi-Annual Capital Projects Update (October 2012)

Presented to the CWC on January 14, 2013



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## Milestone Update

*Recently achieved milestones (April 2012 - January 2013):*

- **I-880 Mission Boulevard (Route 262) Interchange Completion (APN 501.0)**
  - VTA awarded Mission/Warren/Freight Railroad Relocation Program (included Phase 1B improvements) in June 2012
  - Construction work began July 2012 and is scheduled for completion early 2015
- **Telegraph Avenue Bus Rapid Transit (APN 607.0)**
  - FTA Record of Decision - June 2012
- **Lewelling / East Lewelling Boulevard Widening (APN 613.0)**
  - Construction substantially completed August 2012
  - Ribbon cutting ceremony held October 31, 2012
- **Dumbarton Rail Corridor (APN 625.0)**
  - Expanded bus service in the corridor began in July 2012

Semi-Annual Capital Projects Update (October 2012)

Presented to the CWC on January 14, 2013



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### *Recently achieved milestones (continued)*

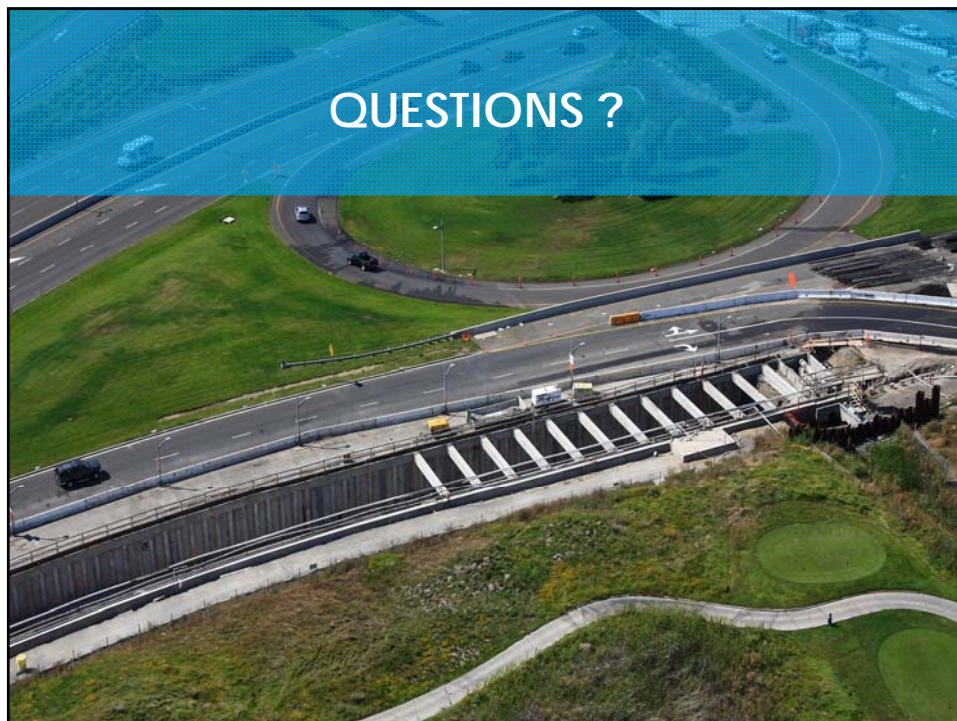
- [Webster Street SMART Corridors \(APN 740.2\)](#)
  - Construction contract awarded September 2012; construction activities began December 2012
- [San Leandro Landscaping \(764.0\)](#)
  - Construction contract advertised June 2012; awarded July 2012
- [I-80 Integrated Corridor Mobility Project \(ICM\) \(APN 791.0\)](#)
  - Groundbreaking ceremony held October 19, 2012
- [BART Warm Springs Extension \(APN 602.0\)](#)
  - BART held a Project Milestone Celebration on October 26, 2012, marking completion of the Stage1 Subway tunnel

Semi-Annual Capital Projects Update (October 2012)

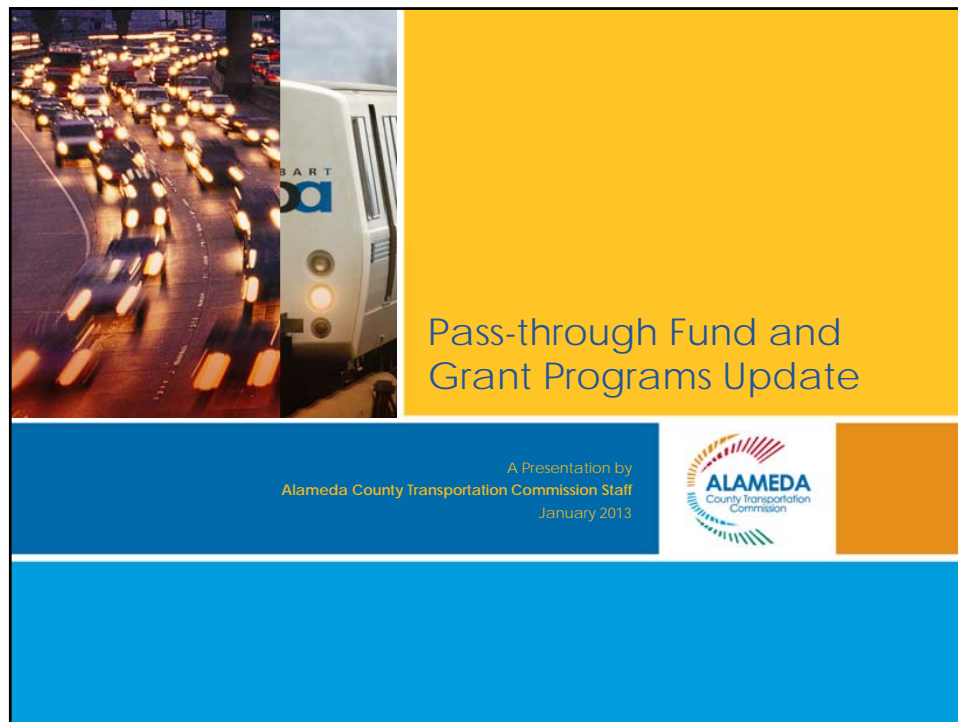
Presented to the CWC on January 14, 2013



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## A Brief History: Measure B

- Measure B half-cent sales tax approved by voters in 1986
- Alameda County was one of the first California Self-Help Counties
  - Self-help Counties generate approximately \$4 billion per year for California transportation and mobility
- In 2000: Measure B was reauthorized with 81.5% voter approval rate
- In 2002: Tax collection and program allocations began
- In 2004: Grant allocations began



## Measure B-Funded Programs

### Pass-through Fund Program

- Allocates funds to 21 agencies/jurisdictions
- Funds four types of programs
  - *Local Street and Roads*
  - *Mass Transit*
  - *Special Transportation for Seniors & People with Disabilities (Paratransit)*
  - *Bicycle and Pedestrian Safety*
- Higher than anticipated tax revenues in FY 11-12
- Distributed \$60.5 million in FY 11-12

### Four Grant Programs

- Funds four types of programs
  - *Bicycle and Pedestrian Safety*
  - *Paratransit*
  - *Express Bus*
  - *Transit Center Development (TCD)*
- 121 projects awarded to date since 2004, totaling \$32.0 M
- \$32.0 M of Measure B funds leveraged \$87.4 M of other funds for a total investment of \$119.4 M
- Next Bicycle & Pedestrian, TCD and Express Bus Programs Call for Projects will be coordinated with the Federal One Bay Area Grant (OBAG)
- Next Paratransit Program Call for Projects anticipated in February 2013

Pass-through Fund and Grant Programs Update



3

## Measure B Pass-through Funds and Grants Distribution

60% of annual Measure B Revenues for five programs:

- Local Streets and Roads (22.34%)
- Mass Transit (21.92%)
  - Countywide Local and Feeder Bus Service (16.86%)
  - AC Transit Welfare to Work Program (1.46%)
  - Alameda/Oakland Ferry Service (0.78%)
  - Countywide Express Bus Service (0.70%)
  - Altamont Commuter Express (2.12%)
- Paratransit (10.45%)
- Bicycle and Pedestrian Safety (5%)
  - 25% regional planning and regional projects
  - 75% local jurisdictions
- Transit Center Development (0.19%)
  - Local Match
  - TOD-TAP

Pass-through Fund and Grant Programs Update



4



## Measure B Makes a Difference

Total Measure B Pass-through and Grant Funds  
Allocated from April 1, 2002 through June 30, 2012

Over \$602.8 million

121 Bicycle and Pedestrian,  
Express Bus, Paratransit and  
TOD Awards through  
June 30, 2012

Measure B Grants

\$32.0 million

Total with Other Funding  
Commitments to Grants

\$119.4 million

Pass-through Payments  
Distributed through June 30, 2012

FY 11-12 \$60,556,173

FY 10-11 \$56,857,026

FY 09-10 \$50,808,873

FY 08-09 \$54,501,184

FY 07-08 \$62,543,374

FY 06-07 \$61,176,456

FY 05-06 \$59,357,051

FY 04-05 \$54,404,793

FY 03-04 \$53,086,000

FY 02-03 \$49,455,451

FY 01-02 \$12,006,000

Pass-through Fund and Grant Programs Update



6

## Pass-through Funding Distributions

Fiscal Year 11-12  
Pass-through Distributions

Measure B Pass Through Distribution	Amount (in millions)
Local Streets and Roads	\$24.0
Mass Transit	\$22.8
Paratransit	\$9.7
Bicycle and Pedestrian Safety	\$4.0
<b>TOTAL</b>	<b>\$60.5</b>



Pass-through Fund and Grant Programs Update



6

## Pass-through Fund Compliance Reporting Requirements

- Road miles served (*not applicable to transit agencies*)
- Population numbers (*not applicable to all projects*)
- Complete Streets Policy by June 2013
- Article in Recipient's or Alameda CTC's newsletter
- Website coverage of the project
- Signage about Measure B/VRF funding
- End-of-year independent audit due 12/27/12
- End-of-year compliance report due 12/31/12
- Audits and compliance reports posted on Alameda CTC web page

Pass-through Fund and Grant Programs Update



7

## Grant Program Overview

- Competitive programs that improve transportation
  - 39 active projects
  - 82 complete projects
- Improve transportation access for the diverse population
- Provide improvements that encourage Alameda County residents to walk, bike, take public transportation and live in transit oriented developments



Pass-through Fund and Grant Programs Update



8

## Bicycle and Pedestrian Countywide Discretionary Fund (CDF) Grant Program

- Updates to Countywide Pedestrian and Bicycle Plans
- City and County bicycle and pedestrian plans
- Gap closures
- Education and safety programs
- Capital projects



Pass-through Fund and Grant Programs Update



9

## City of Fremont Irvington Area Pedestrian Improvement Project

- Fremont is constructing pedestrian improvements at six intersections along Fremont Boulevard, between Eugene Street and Washington Boulevard, in the Irvington District.
- Project elements include:
  - Installing ADA-compliant curb ramps
  - Constructing bulb-outs and expanded median islands to reduce crossing distance
  - Adjusting pedestrian push button heights and reach to improve accessibility for people using wheelchairs
- Project will improve pedestrian safety at signalized and non-signalized intersections



Pass-through Fund and Grant Programs Update



10

## Express Bus Service Grant Program

- Expansion and enhancement of operations
- Express bus services
  - Dynamic message signage
  - Real-time information systems
  - Accessibility improvements



Pass-through Fund and Grant Programs Update



11

## Livermore Amador Valley Transportation Authority Express Bus Operating Assistance

- Measure B supports the operation of LAVTA's only WHEELS Express Bus Service Routes:
  - Route 20X - Service between Pleasanton and Livermore
  - Route 70X - Service between Dublin and Walnut Creek
  - Route 12V - Service between Hacienda Road/I-580 and Airway Blvd/I-580
- Project increases transit connectivity to BART stations, transit centers, and local transit services
- Project expands and enhances express bus services countywide



Pass-through Fund and Grant Programs Update



12

## Paratransit Gap Grant Programs

- Largest paratransit allocation of any Bay Area sales tax measure
- Approximately 1 million rides annually
- Wheelchair and Scooter Breakdown Transportation Service
- Hospital Discharge Services
- One-stop shopping for mobility solutions
- On-going city and Americans with Disabilities Act (ADA) paratransit programs



Pass-through Fund and Grant Programs Update



13

## Senior Support Program of the Tri-Valley Volunteers Assisting Same Day Transportation and Escorts

- Provides volunteer escorts for seniors who cannot use public transportation independently.
- Volunteer drivers to use their personal vehicles to provide service to individuals in Alameda's East County
- Measure B funding helps the program
  - Develop policies and procedures
  - Recruit and train volunteers
  - Create outreach materials
  - Develop a volunteer database



Pass-through Fund and Grant Programs Update



14

## Transit Oriented Development Grant Program



- Focus on residential and retail development near transit centers
- Mode shift away from cars to encourage walking, biking, and using public transportation
- Accessibility improvements



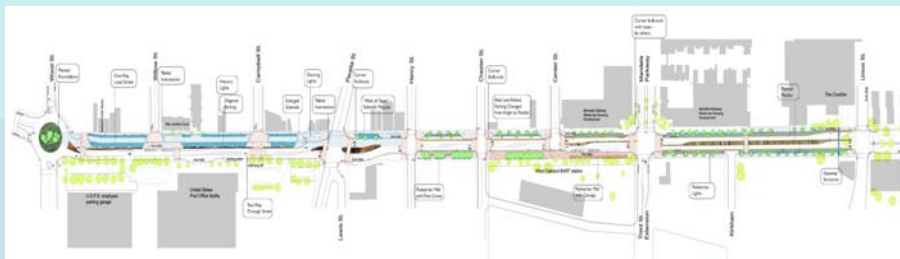
Pass-through Fund and Grant Programs Update



15

### City of Oakland West Oakland Seventh Street Transit Village Streetscape Project

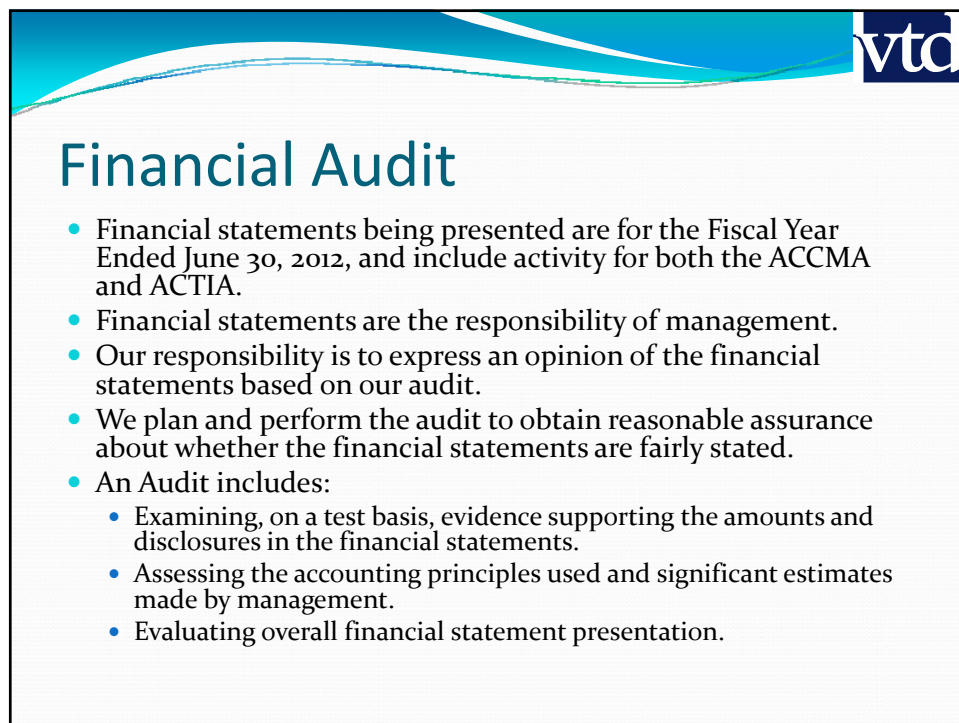
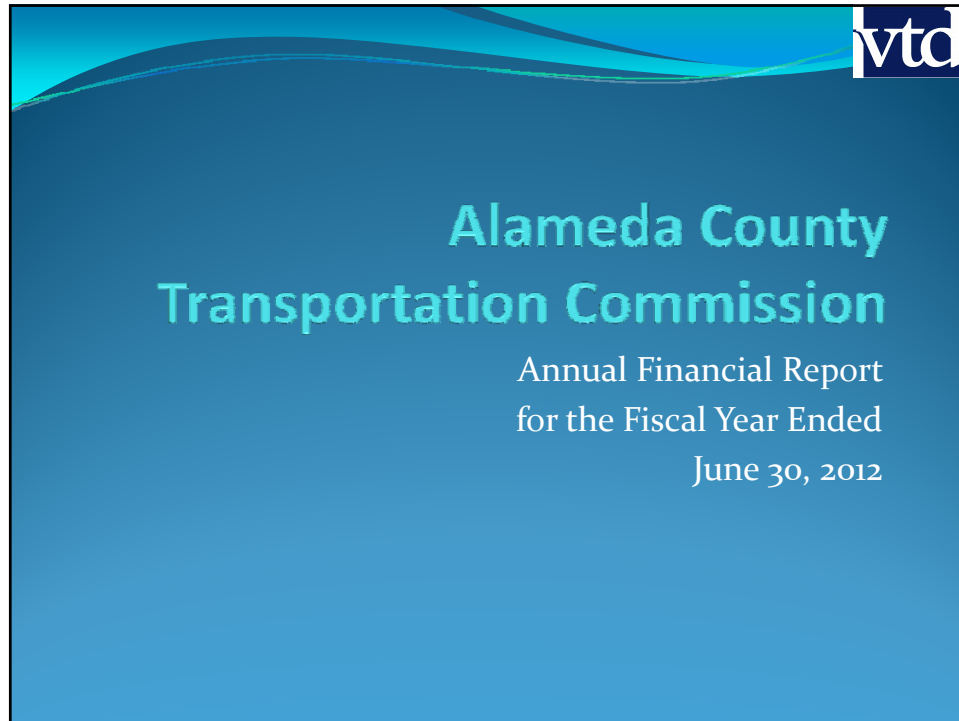
- Improves bicycle and pedestrian access to the West Oakland BART Station
- Area beautification
- Enhances sense of community and transit oriented transportation



Pass-through Fund and Grant Programs Update



16





## Financial Audit


Continued

- Audits are performed in conformance with Generally Accepted Auditing Standards (GAAS) which requires the auditor:
  - adequately plan the work and properly supervise assistants,
  - obtain a sufficient understanding of the entity and its environment, including its internal control, to assess the risk of material misstatement of the financial statements whether due to error or fraud, and to design the nature, timing, and extent of further audit procedures, and
  - obtain sufficient, appropriate audit evidence by performing audit procedures, on a test basis, to afford a reasonable assurance for an opinion regarding the financial statements under an audit.

## CWC Audit Concerns Addressed


- As part of the audit procedures VTD:
  - tested data from all areas of the Alameda CTC using a variety of testing strategies, including analytical procedures, confirmations of account balances and search for unrecorded liabilities,
  - consulted with prior audit firms, but did not learn of any concerns over Measure B funds,
  - confirmed that ACTIA transactions are accounted for separately from all other funds in the financial system,
  - confirmed the amounts that were reported on the limitation calculations for both the 4.5% administration and the 1% salary and benefit limitations and confirmed compliance with those requirements,
  - reviewed the methodology of accounting for hours on timecards, traced payroll charges back to specific timecards to verify the allocation of time in payroll from the timecards and confirmed supervisory approval (there were no unusual trends in the allocation of time detected), and
  - determined general fund charges to be higher risk and tested to ensure allocations of administrative expenses to the ACTIA general fund were calculated reasonably and accurately and were properly allocated.





## Required Communications

- We are required to communicate significant deficiencies or material weaknesses in internal control to the CWC.
  - We noted no significant deficiencies or material weaknesses in internal controls.
  - We had no adjustments to the financial statements.
- We encountered no difficulties in the performance of the audit.




## Alameda CTC Financial Highlights



Comparative information from the fiscal year ended June 30, 2011 was derived from the combined data of ACTIA and the ACCMA.

- Total net asset were \$241.2 million at June 30, 2012, a decrease of \$22.1 million or 8.4 percent from the prior fiscal year end primarily related to sales tax related capital project expenditures.
- Total assets decreased by \$34.0 million or 9.3 percent from \$365.7 million to \$331.7 million as of June 30, 2012 compared to June 30, 2011. Cash and investments comprised \$283.2 million or 85.4 percent of the total assets as of June 30, 2012.
- Revenues totaled \$170.4 million for the fiscal year ended June 30, 2012. This was an increase of \$7.6 million or 4.7 percent over the fiscal year ended June 30, 2011. Sales tax revenues comprised \$112.6 million or 66.1 percent of the total revenues for the year.
- Total liabilities decreased by \$11.9 million or 11.6 percent from \$102.4 million to \$90.5 million as of June 30, 2012 compared to June 30, 2011.
- Expenses totaled \$192.5 million for the fiscal year ended June 30, 2012. This was a decrease of \$19.0 million from the fiscal year ended June 30, 2011 mostly related to sales tax capital project expenditures.

Alameda CTC		
Statement of Net Asset		
June 30, 2012		
(in thousands of dollars)		
<b>Assets:</b>		
Cash and Investments	\$283,246	
Receivables	44,078	
Land Held for Resale	4,068	
Capital Assets, net	111	
Other assets	<u>213</u>	
Total Assets	331,716	
<b>Liabilities:</b>		
Payables	64,075	
Deferred Revenue	26,420	
Net OPEB Obligation	<u>28</u>	
Total Liabilities	90,523	
<b>Net Assets:</b>		
Investment in Capital Assets	111	
Restricted	218,026	
Unrestricted	<u>23,056</u>	
Total Net Asset	<u>\$241,193</u>	

ACTIA Funds				
Balance Sheet				
June 30, 2012				
(in thousands of dollars)				
		<b>General</b>	<b>Special</b>	<b>Total</b>
			<b>Revenue</b>	<b>Capital</b>
<b>Assets:</b>				
Cash and Investments	\$12,560	\$ 9,954	\$86,062	\$108,576
Receivables	826	10,528	7,390	18,744
Due from ACTA	5,018	0	0	5,018
Other assets	<u>162</u>	<u>0</u>	<u>0</u>	<u>162</u>
Total Assets	\$18,566	\$20,482	\$93,452	\$132,500
<b>Liabilities:</b>				
Payables	\$ 541	\$11,230	\$34,705	\$ 46,476
Total Liabilities	\$ 541	\$11,230	\$34,705	\$ 46,476
<b>Fund Balance:</b>				
Restricted	0	9,252	58,747	67,999
Unassigned	<u>18,025</u>	<u>0</u>	<u>0</u>	<u>18,025</u>
Total Fund Balance	\$18,025	\$ 9,252	\$58,747	\$ 86,024

<b>Alameda CTC</b>		
<b>Statement of Activities</b>		
<b>for the Fiscal Year Ended June 30, 2012</b> (in thousands of dollars)		
<b>Governmental Activities</b>		
Program Revenues		
Operating Revenues	\$22,635	
Capital Revenues	<u>32,521</u>	
Total Program Revenues	55,156	
Expenses		
Administration	11,339	
Transportation Improvements	135,068	
Congestion Management	<u>46,101</u>	
Total Expenses	<u>192,508</u>	
Total Governmental Activities	(137,352)	
General Revenues	115,252	
Change in Net Assets	(22,100)	
Net Assets - Beginning	<u>263,293</u>	
<b>Net Assets - Ending</b>	<u>\$241,193</u>	

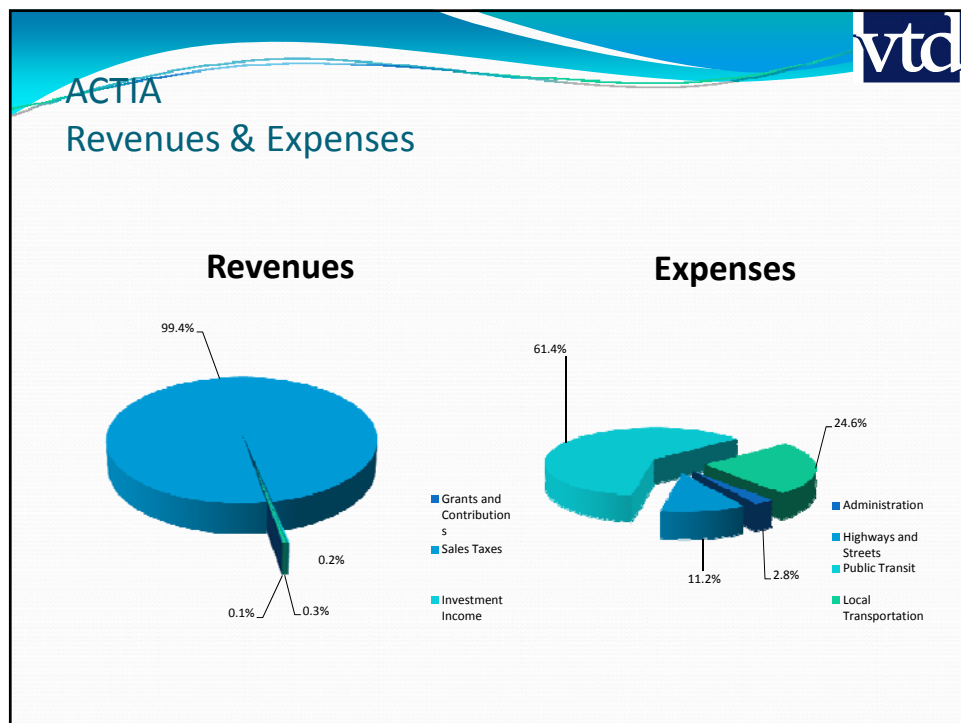
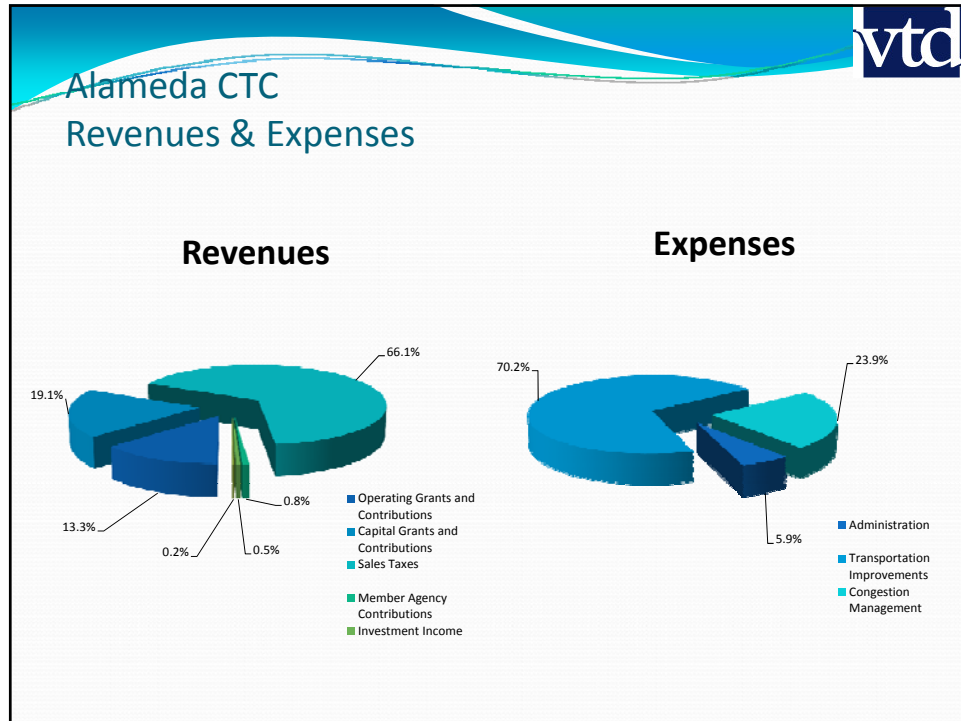



# Revenues, Expenditures & Change in Fund Balances


## June 30, 2012

(in thousands of dollars)

	General	Special Revenue	Capital	Total
<b>Revenues:</b>				
Sales Tax	\$ 5,065	\$64,394	\$43,109	\$112,568
Project Revenue	0	20	10,047	10,067
Investment Income	49	41	181	271
Other	<u>65</u>	<u>0</u>	<u>294</u>	<u>359</u>
Total Assets	\$ 5,179	\$64,455	\$53,631	\$123,265
<b>Expenditures:</b>				
Administrative	\$ 3,158	\$ 934	\$ 57	\$ 4,149
Highways and Streets	0	0	16,740	16,740
Public Transit	0	34,541	57,441	91,982
Local Transportation	<u>0</u>	<u>29,655</u>	<u>7,122</u>	<u>36,777</u>
Total Liabilities	<u>\$ 3,158</u>	<u>\$65,130</u>	<u>\$81,360</u>	<u>\$149,648</u>
Net Change in Fund Balance	2,021	(675)	(27,729)	(26,383)
Fund Balance - Beginning	<u>16,004</u>	<u>9,927</u>	<u>86,476</u>	<u>112,407</u>
Fund Balance - Ending	<u>\$18,025</u>	<u>\$ 9,252</u>	<u>\$58,747</u>	<u>\$ 86,024</u>








## Alameda CTC Auditor Opinion

Alameda CTC received what is referred to as unqualified or clean audit opinion for the Fiscal Year Ended June 30, 2012.


“In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Commission, as of June 30, 2012, and the respective changes in financial position, thereof and for the year then ended in conformity with accounting principles generally accepted in the United States of America.”



## Limitations Calculations

(in thousands of dollars)

Revenues:	
Net Sales Tax Proceeds	\$112,568
Investments & other Income	<u>10,697</u>
Total Funds Generated	\$123,265
Expenditures:	
Gross Salaries & Benefits	\$ 1,011
Other Admin Costs	<u>2,147</u>
Total Admin Costs	\$ 3,158
Salaries & Benefits to Sales Tax Ratio	0.899%
Total Admin Costs to Sales Tax Ratio	2.806%
Salaries & Benefits to Funds Generated	0.821%



Alameda CTC  
June 30, 2012

# Questions?



## **Memorandum**

**DATE:** February 26, 2013

**TO:** Citizens Watchdog Committee

**FROM:** Matt Todd, Principal Transportation Engineer  
John Hemiup, Senior Transportation Engineer

**SUBJECT: FY 11-12 Measure Financial Audit and Program Compliance Report Review  
and Jurisdictions' Response to Comments**

### **Recommendation**

This is an informational item only.

### **Summary**

Jurisdictions receiving Measure B Pass-through funds are required to submit Annual Independent Financial Audits and accompanying descriptive Program Compliance Reports at the end of each calendar year. For fiscal year 11-12 (FY 11-12), the audits and compliance reports were due to Alameda CTC at the end of December 2012.

In January 2013, Alameda CTC staff and members of the Citizens Watchdog Committee reviewed and commented on the submitted materials. Alameda CTC staff compiled the comments into a Request for Information (RFI) Letter and sent these letters to the jurisdictions on the February 6, 2013.

At the end of February, Alameda CTC received responses, revised compliance reports with signed signature pages, and other supporting materials from the twenty-one jurisdictions that address the comments composed in the RFI. Jurisdictions provided responses in a letter/email transmittal or revised their compliance reports with the additional information.

The revised reports are posted online: [http://www.alamedactc.org/app\\_pages/view/4135](http://www.alamedactc.org/app_pages/view/4135).

The following attachment details the jurisdictions' responses to the RFI, and Alameda CTC's review of the responses.

### **Attachments**

**Attachment A:** Jurisdiction's Responses to Request for Information Letter, and Alameda CTC's review of the submitted materials

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**AC TRANSIT**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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## John Nguyen

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**From:** Nina Rideout [nrideout@actransit.org]  
**Sent:** Wednesday, February 20, 2013 2:36 PM  
**To:** Alameda CTC 2022 Grants  
**Cc:** John Hemiup; John Nguyen  
**Attachments:** ACTREVISED\_COMPLIANCE\_REPORT.doc; Worksheet\_Revisedcompliancetables.xls; JOHN\_HEMIUP\_SIGNEDLETTER.pdf; MASSTRANSIT\_EMAIL.pdf; COVER SHEET\_SIGNATURES.pdf

Dear Mr. Hemiup:

In response to your letter of February 5, 2013 requesting additional information for AC Transit's Compliance submission for FY2011-2012, please see attached the revised Compliance report and worksheet.

### **Mass Transit:**

Financial Audit: As Patricia Reavey and the District's CFO discussed, AC Transit did not provide a balance sheet because the Measure B funds were used and expended during the fiscal year and there is no remaining fund balance.

Column H, I and J: Changes were made from platform hours to trips on table 2 of worksheet.

### **Paratransit:**

Financial Audit: Financial Audit: As Patricia Reavey and the District's CFO discussed, AC Transit did not provide a balance sheet because the Measure B funds were used and expended during the fiscal year and there is no remaining fund balance.

We are also including a letter addressing the other comments for Paratransit.

Best regards,

Nina Rideout  
AC Transit  
510-891-4718

---

## East Bay Paratransit

1722 Broadway  
Oakland, CA 94612

John Hemiup  
Senior Transportation Engineer  
Alameda County Transportation Commission  
1333 Broadway, Suite 300  
Oakland, CA 94612

February 11, 2013

Dear Mr. Hemiup:

Below are responses to your letter of February 5<sup>th</sup>, concerning the AC Transit year-end Report submission.

### **Item 2: History and Costs of East Bay Paratransit**

East Bay Paratransit is a joint project between AC Transit and BART and was organized through a JPA agreement signed by both operators in 1994, in order to meet their obligations under the Americans with Disabilities Act. Fully compliant ADA services have been provided to all parts of the two agencies' overlapping service area under this project since October 1996, a total of 16+ years.

East Bay Paratransit's service design, which has been approved by the Boards of both AC Transit and BART, is a contracted, centralized Broker with private service providers contracted to the Broker. This is a common structure for the delivery of ADA paratransit service and is more cost effective than providing the service in-house.

AC Transit and BART staff contracted with Veolia Transportation after a competitive procurement. The current three-way agreement expires in June of this year and an RFP for the next agreement will be released shortly. This upcoming procurement will be the fourth. The lead agency on the procurement is AC Transit, under a division of responsibilities between the two agencies, approved by both Boards of Directors.

East Bay Paratransit is one of the largest ADA operators both in the Region and in the Country and its annual costs are in line with other large programs. ADA service is more costly to operate than the local city paratransit programs. Although the city programs carry disabled riders, East Bay Paratransit's riders are strictly individuals with disabilities that prevent them from independently using

the accessible fixed routes systems of AC Transit and BART; hence the ADA population is by definition fragile. The ADA legislation puts in place certain requirements to safeguard riders which increase costs, such as:

- mandatory driver training
- mandatory drug testing for drivers and dispatchers
- area and hours of operation – service must be offered during the time and locations where AC Transit or BART is in operation in the service area
- requirement to meet all demand for service - no prioritization or refusal or trips for eligible riders is allowed during the required times and area of operation.

Other reasons that make ADA programs expensive

- dedicated vehicles
- high insurance levels
- extensive service area, unlike the City programs
- strict maintenance and vehicle inspection programs
- recurring audits by FTA, MTC, Bart's internal audit department
- ongoing retraining of Broker and provider staff

### **Item 3: Centralization**

AC Transit and BART cooperatively manage East Bay Paratransit and have elected not to create a CTA or other structure. As noted earlier, the two Boards have divided major roles between the agencies, in an effort to eliminate duplication of effort.

### **Item 4: Complaints**

As noted in 8c, complaints are categorized into major types and routinely reported. All complains are fully investigated. For at least the past five years, complaints have been no more than one-half of one percent of revenue paying passengers. The following information has been added to the revised Program Compliance Report. For FY 11/12, results are as follows:

<b>Complaint type:</b>	<b>Number</b>
Timeliness	934
Driver	1,230
Equipment/vehicle	72
Provider scheduling	144
Broker	212
Broker scheduling	255
Other	309
<b>Total Complaints</b>	<b>3,156</b>
Complaints as a % of revenue passengers	0.49%
Commendations received	1,745

Complaints against staff, such as Broker employees or drivers are reviewed with the staff person and made a part of their file, after re-training or counseling. The Broker's office and the service providers all have graduated disciplinary measure.

Complaints involving vehicles and equipment are addressed through inspections and maintenance of the faulty equipment.

Scheduling problems are investigated. Complaints concerning standing orders might result in changes to the pick up times or to the route the standing order is assigned to.

#### **Item 5: Contra Costa Measure J, Table 1**

East Bay Paratransit Riders with a residence in Contra Costa County make up 13% of the total service provided. As you noted, costs in FY12 totaled about \$33.8M for the ADA program. Assuming 13% of that total was for Contra Costa County riders, their costs would be approximately \$4.4M in FY12.

The Measure J contribution to both AC Transit and BART totaled \$164,513 or only 3.8 % of the estimated total cost to transport riders from Contra Costa County. It can be assumed that the total Measure J contribution was absorbed by riders from that county. A note was inserted into Table 1.

#### **Item 6: Changes to the Table 2 Spreadsheet**

Column C: While the red triangle in the column provides ADA Mandated Service as an option, when you click on the drop-down screen, it is not offered. The drop-down choices start with Capital Expenditures/Purchases. This requested change cannot be made either on the excel file previously submitted or to the file of the three tables currently on the ACTC website.

Columns H, I, and J. The number 753,896 is correct. The footnote was edited.

I hope these responses answer your questions.

Sincerely,



Malory Nestor-Brush  
AC Transit Accessible Services Manager

## AC Transit Compliance Report Review

MASS TRANSIT	COMMENTS	
<b>Financial Audit</b>	1) No balance sheet provided. Please confirm no fund balance. In the future, financial audits should include a notation to indicate no fund balance. Mass Transit should be identified as a separate column in the financial audit.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) <b>Column G:</b> See audit note above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>For the three projects, Column H, I, and J:</b> Please clarify and define platform hours. Preferably, If possible, replace platform hours and indicate quantity in the form of trips instead.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.



PARATRANSIT	COMMENTS	
<b>Financial Audit</b>	1) No balance sheet provided. Please confirm no fund balance. In the future, financial audits should include a notation to indicate no fund balance. Paratransit should be identified as a separate column in the financial audit.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	<p>2) Please describe the arrangement of Paratransit Services that are funded by AC Transit and BART. It appears they both work through the East Bay Paratransit Consortium (EBPC), and between them, they report that a coordinated transit for 753,896 passengers through a contract with Veolia Transportation which exceeds \$33.8Mil (BART &amp; ACT combined). The cost per trip is almost \$45.00. Since it appears the money is used for the contractor has the contractor been audited? Was the Contractor qualified through some vendor qualification?</p> <p>3) If Alameda CTC allocates Paratransit funds to BART and ACT and they then contract with EBPC (Veolia) is that an efficient way to do business? Why not centralize the contractual arrangements somehow and eliminate duplicative administrative effort and perhaps gain some economy of scale.</p> <p>4) Page 20 Question 8c. Please provide additional detail on common or reoccurring complaints i.e. type of complaints, frequency, and how the agency resolves these issues. Examples.</p>	Comments #2 and 4: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter transmittal.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	5) Please clarify that Contra Costa sales tax funds Measure J were used for operations in Alameda County.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	6) <b>East Bay Paratransit Consortium</b> <b>Column C:</b> Project type should be "ADA Mandated services" <b>Column H, I, and J:</b> indicate quantity in the form of trips instead of passengers transported.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.



**BART**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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**SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT**

300 Lakeside Drive, P.O. Box 12688  
Oakland, CA 94604-2688  
(510) 464-6000

**2013**

Tom Radulovich  
PRESIDENT

Joel Keller  
VICE PRESIDENT

Grace Crunican  
GENERAL MANAGER

John Hemiup  
Senior Transportation Engineer  
Alameda County Transportation Commission  
1333 Broadway, Suite 300  
Oakland, CA 94612

**DIRECTORS**

Gail Murray  
1ST DISTRICT

Joel Keller  
2ND DISTRICT

Rebecca Saltzman  
3RD DISTRICT

Robert Raburn  
4TH DISTRICT

John McPartland  
5TH DISTRICT

Thomas M. Blalock, P.E.  
6TH DISTRICT

Zakhary Mallett  
7TH DISTRICT

James Fang  
8TH DISTRICT

Tom Radulovich  
9TH DISTRICT

February 20, 2013

Dear Mr. Hemiup:

Below are responses to your letter of February 5<sup>th</sup>, concerning the BART year-end report submission. Also attached are the revised compliance reports and a signed submittal cover sheet.

**Item 1: Balance Sheet**

This is to confirm that all Measure B funds received in Fiscal 2012 were applied to pay qualified ADA paratransit expenses and there is no carried over fund balance as of the end of the fiscal year ended June 30, 2012. For fiscal 2013 BART will add a statement in the audit report indicating the status of the fund balance at the end of the fiscal year.

**Item 2: Learn BART! Expense reconciliation**

Our audit report reflects the amount expended and earned during the fiscal year 2012 using the accrual method of accounting. Differences between the invoice amounts and the amount reported in the compliance report are due to the fact that the expenditures and the receipt of payments for the invoices have occurred in different fiscal years. The total grant amount was for \$43,000 and the total of the invoices submitted are for the full amount. Please note that our records show that the first invoice was for \$12,637.50 not \$12,137.50.

**Item 3: Complaints**

As noted in 8c, complaints are categorized into major types and routinely reported. All complains are fully investigated. For at least the past five years, complaints have been no more than one-half of one percent of revenue paying passengers. The Program Compliance Report has been revised to include the data below.



For FY 11/12, results are as follows:

<b>Complaint type:</b>	<b>Number</b>
Timeliness	934
Driver	1,230
Equipment/vehicle	72
Provider scheduling	144
Broker	212
Broker scheduling	255
Other	309
<b>Total Complaints</b>	<b>3,156</b>
Complaints as a % of revenue passengers	0.49%
Commendations received	1,745

Complaints against staff, such as Broker employees or drivers are reviewed with the staff person and made a part of their file, after re-training or counseling. The Broker's office and the service providers all have graduated disciplinary measure.

Complaints involving vehicles and equipment are addressed through inspections and maintenance of the faulty equipment.

Scheduling problems are investigated. Complaints concerning standing orders might result in changes to the pick up times or to the route the standing order is assigned to.

**Item 4: Table 1, Column G** – As confirmed by John Nguyen - this was meant to say Column I and was regarding Gap Grant Learn BART. This amount matches our fiscal year audit and the explanation is the same as Item 2.

**Item 5: Table 1, Contra Costa Measure J**

East Bay Paratransit Riders with a residence in Contra Costa County make up 13% of the total service provided. As you noted, costs in FY12 totaled about \$33.8M for the ADA program. Assuming 13% of that total was for Contra Costs County riders, their costs would be approximately \$4.4M in FY12.

The Measure J contribution to both AC Transit and BART totaled \$164,513 or only 3.8 % of the estimated total cost to transport riders from Contra Costa County. It can be assumed that the total Measure J contribution was absorbed by riders from that county. A note was inserted into Table 1.

**Item 6: Changes to the Table 2 Spreadsheet**

Column C: While the red triangle in the column provides ADA Mandated Service as an option, when you click on the drop-down screen, it is not offered. The drop-down choices start with Capital Expenditures/Purchases. This requested change cannot be made either on the excel file previously submitted or to the file of the three tables currently on the ACTC website.

Columns H, I, and J. The number 753,896 is correct. The footnote was edited.

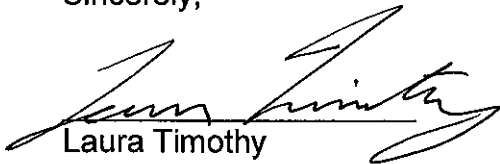
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**Item 7: Operations Line Item**

Data was entered in row 9 after using the expandable group function.

I hope these responses answer your questions. Please let me know if you need additional information or clarification. My phone number is 510-464-6446 and my email is ltimoth@bart.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "Laura Timothy", is written over a horizontal line.

Laura Timothy  
Manager of Access and Accessibility Services

## BART Compliance Report Review

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	<p>1) No balance sheet. Please confirm no fund balance, and please note this in future compliance reports going forward.</p> <p>2) Please confirm the Learn BART grant amount. This does not match our records which show three invoices in the amounts of \$12,137.50 (paid 11/2010), \$25,137.50 (paid 12/2012), and \$5,225.00 (paid 01/2013).</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>Compliance Report</b>	<p>3) Page 20 Question 8c. Please provide additional detail on common or reoccurring complaints i.e. type of complaints, frequency, and how the agency resolves these issues. Examples.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	<p>4) <b>Column G:</b> See audit note above.</p> <p>5) Please clarify that Contra Costa sales tax funds Measure J were used for operations in Alameda County.</p>	<p>Comments #4 and 5: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>6) <b>East Bay Paratransit Consortium</b> <b>Column C:</b> Project type should be "ADA Mandated services" <b>Column H, I, and J:</b> indicate quantity in the form of trips instead of passengers transported.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	<p>7) Please incorporate the line item for Operations into the Table Section 1. The line item appears to be manually entered outside of the section. Use the expandable group and enter in this line item.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.





**LAVTA**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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## John Nguyen

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**From:** Tamara Edwards [tedwards@lavta.org]  
**Sent:** Friday, February 08, 2013 10:33 AM  
**To:** John Nguyen  
**Subject:** Measure B compliance report corrections  
**Attachments:** FY11-12\_MB\_Program\_Compliance\_Report.doc; FY11-12\_MB\_Program\_Compliance\_Tables.xls

Hi John,

Thank you again for your help. Attached are the excel and word files with the necessary corrections.

For item 1 under Mass Transportation our Audit reported \$741,866 as the pass through amount, we acknowledge that this amount was a mistake and the correct amount should be \$741,767.46 a difference of \$98.54. We have changed the tables in the compliance report (Tables 1 and 2) to reflect the correct amount received in Measure B pass through of \$741,767.46

Thank you,

*Tamara Edwards*

Finance and Grants Manager

Livermore Amador Valley Transit Authority

1362 Rutan Dr Suite 100

Livermore, Ca 94551

925-455-7566



Please don't print this e-mail. Save the paper.



## LAVTA Compliance Report Review

MASS TRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) Fixed Route recurring allocations do not tie into Measure B, approximately \$100 off. Please explain.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	2) <b>Wheels Fixed Route Service</b> <b>Column C:</b> Project type should be "ADA Mandated services" <b>Column H, I, and J:</b> indicate quantity in the form of trips instead of passengers transported.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	3) Please incorporate the line item for Ongoing Fixed Routes Services into the Table 3, Section 1. The line item appears to be manually entered outside of the section. Use the expandable group and enter in this line item, and complete the form fields.  4) LAVTA is also allocating more than the FY 12/13 Revenue Projected. From the table calculations, anticipated FY 12/13 revenue is \$764,123. Please allocate that amount, and no amount beyond the Measure B remaining balance and anticipated FY 12/13 Pass-through Revenue.	Comments #3-4: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	
<b>Compliance Report</b>	1) <b>Question #7:</b> Please provide total value of operating expenses. 2) <b>Question #8:</b> Please indicate a zero in Cancel Trip Reservations, if the quantity is identified as such.	Comments #1-2: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>Wheels Dial A Ride Column C:</b> Project type should be "ADA Mandated services" <b>Column H, I, and J:</b> indicate quantity in the form of trips instead of passengers transported.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	4) Please complete Table 3 as was noted on Question #7, page 17 of the Compliance Report	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	5) Please incorporate the line item for ongoing service and scholarship gap program into the Table 3, Section 1. The line item appears to be manually entered outside of the section. Use the expandable group and enter in this line item, and complete the form fields. 6) \$143,481 is anticipated to be received as FY 12/13 revenue per the summary table of revenues. LAVTA currently only allocates \$137,886. Please identify the full amount in the reserves.	Comments #5-6: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

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**WETA**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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## John Nguyen

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**From:** Lynne Yu [yu@watertransit.org]  
**Sent:** Monday, February 11, 2013 1:12 PM  
**To:** Alameda CTC 2022 Grants  
**Subject:** RE: WETA - Measure B/VRF Compliance Info Request - Due Feb. 20th  
**Attachments:** FY2011 Basic Financial Statements.pdf; WETA-2012 BFS.pdf; FY11-12 \_MB\_Program\_Compliance\_Tables v2.xls; WETA's Response to Report Review.docx; Signed Submittal Cover Sheet - Measure B.pdf

Hi,

In response to your Request for Information, I have provided the following:

- 1) FY2010-11 Audited Financial Statements – including Measure B fund transfer information from the City of Alameda
- 2) FY2011-12 Audited Financial Statements – including Measure B revenue and expenditure detail
- 3) Revised Table 1-3 Attachment
- 4) WETA's response to Compliance Report Review Comments
- 5) A signed submittal cover sheet

Please don't hesitate to contact me if you have questions or require additional information.

Thanks,  
~Lynne

Lynne Yu  
Finance & Grants Manager  
Water Emergency Transportation Authority  
Pier 9, Suite 111  
San Francisco, CA 94111  
(415) 364-3193 – direct  
(415) 364-3388 – fax  
[yu@watertransit.org](mailto:yu@watertransit.org)

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**From:** John Nguyen [<mailto:JNguyen@alamedactc.org>]  
**Sent:** Thursday, February 07, 2013 6:08 PM  
**To:** Lynne Yu  
**Subject:** RE: WETA - Measure B/VRF Compliance Info Request - Due Feb. 20th

Hi Lynne,

Please see my response in **RED**.

Thanks,

John Nguyen  
Alameda County Transportation Commission  
1333 Broadway, Suite 220  
Oakland, CA 94612  
(510) 208-7419  
[www.alamedactc.org](http://www.alamedactc.org)

# WETA's Response

## FY 2011-12 Compliance Report Review

<b>MASS TRANSIT</b>	<b>RESPONSE</b>
<b>Financial Audit</b>	1) The audited FY2010-11 and FY2011-12 Basic Financial Statements (BFS) are attached. Information regarding fund transfer from the City of Alameda can be found on page 20 of the FY2010-11 BFS – see Note 6.
<b>Compliance Report</b>	2) Financial Statements provided.
<b>TABLE 1</b>	3) Financial Statements provided 4) Comments have been inserted to identify the sources of “other funds expended”.
<b>TABLE 2</b>	5) FY2011-12 Basic Financial Statements provided.
<b>TABLE 3</b>	6) Table 3 revised to allocate the FULL FY12/13 Revenue.
<b>Section 1: FY12-13</b>	7) Yes, only Measure B Pass-through funds were identified. 8) Information has been corrected. All projects are approved projects. They are either included in WETA's current budget or in the Short Range Transit Plan.

## WETA Compliance Report Review

MASS TRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) Financial Statements are missing. The opinion from the auditor was received with no financial statements included. Please provide this information, including Measure B revenue and expenditure detail and fund transfer information from the City of Alameda.	Agency provided a Financial Audit Balance Sheet.
<b>Compliance Report</b>	2) Question #7, page 17 notes that no article was publish. Question #10 provides some clarification on why this occurred. Alameda CTC monitoring reporting requirements for the next compliance report.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1: Revenues &amp; Expenditures</b>	3) Information cannot be verified until a complete Financial Audit is received. 4) Please provide additional information on other funds expended.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2: Summary of Expenditures and Accomplishments</b>	5) Information cannot be verified until a complete Financial Audit is received.	Agency provided a Financial Audit Balance Sheet.
<b>TABLE 3</b>	6) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue (FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$2,687,157 of \$3,336,138	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure Planned Projects</u>	7) Table 3 should only identify Measure B Pass-through funding. Please confirm that this is the case, and if not, please revise Table 3 as necessary to only identify Measure B Pass-through funding. 8) Please explain why the agency has not approved any of the projects. If the projects are not approved, please detail the anticipated approval date of the activities.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

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# **Altamont Commuter Express (ACE)**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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## John Nguyen

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**From:** Margaret Merin [Margaret@acerail.com]  
**Sent:** Wednesday, February 20, 2013 4:14 PM  
**To:** Alameda CTC 2022 Grants  
**Cc:** John Nguyen; Nila Cordova  
**Subject:** RE: ACE - Measure B/VRF Compliance Info Request - Due Feb. 20th  
**Attachments:** AUDIT with BS.pdf; FY11-12\_MB\_Program\_Compliance\_Report.doc; FY11-12\_MB\_Program\_Compliance\_Tables.xls; Revised submittals signatures.pdf; Full Resubmit 130220.pdf; 4 Sinage 1.pdf; 5 Sinage 2.pdf; 6 Web site MB funding.pdf; 7 AlamedaCTC\_Enewsletter\_Mar2012 7.pdf; ACTC Exemption request 130220.pdf

Please review the attached in response to the review requests via email and letter.

### Audit report

1. Attached to this email is the Balance Sheet as requested.

### Compliance Report

2. Item number four of the compliance report for Mass Transit Program on page 13 gives a brief explanation of the carryover. There is additional explanation within the attached letter of request for exemption.

### Table 1

3. Compliant

### Table 2

4. Please see additional comments added to Table 2, Column J for the administrative fees.
5. Please see additional comments added to Table 2, Column J for ACE Services Operations.

### Table 3

6. Attached is a letter of Request for Exemption due to Extraordinary Circumstances. In addition, some corrections were made in order to reserve what funds could be according to Master Programs Funding Agreement. In order to consume all projected funds, an additional amount is added to Table 3, "Measure B Operation Fund Reserve", along with a description for the amount that exceeds the 50% limitation.
7. Please see the updated description in section "FY 12-13 MEASURE B PLANNED PROJECTS (unreserved funds)" for Operation and Maintenance Expense of the ACE Trains.
8. Please see the updated description in section "FY 12-13 MEASURE B PLANNED PROJECTS (unreserved funds)" for ACTC Administrative Fees. There is an additional explanation in Table 2, Column J for the administrative fees.

### Attachments included are:

- Audit Balance Sheet
- Compliance Report (Word format)
- Tables 1-3 (Excel format)
- Signed resubmitted cover sheet
- Supporting documents for compliance
- "Request for Exemption due to Extraordinary Circumstances", letter.

Please let me know if you have any questions. Thank you.

**Margaret Merin**

Staff Accountant  
Direct (209)944-6246 / Fax (209)944-6238  
San Joaquin Regional Rail Commission/Altamont Commuter Express (ACE)

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SAN JOAQUIN  
REGIONAL  
RAIL COMMISSION

February 20, 2013

*Dedicated to  
passengers*

*Responsive  
to change*

*Committed  
to growth*

Arthur L. Dao, Executive Director  
Alameda County Transportation Commission  
1333 Broadway, Suite 220  
Oakland, CA 94612

RE: Request for exemption authorization from Timely Use of Funds, due to extraordinary circumstances.

**Commissioners**

**Bob Johnson**  
City of Lodi

**John W. Harris**  
City of Manteca

**Sonny Dhalawal**  
City of Lathrop

**Steve Bestolarides**  
San Joaquin County

**Brent H. Ives**  
City of Tracy

**Kathy Miller**  
City of Stockton

**Executive Director**  
**Stacey Mortensen**

In July 2008, the San Joaquin Regional Rail Commission (SJRRRC) entered into an agreement with the Alameda County Transportation Improvement Authority and the Alameda County Congestion Management Agency (Alameda County Transportation Commission - ACTC) to be the direct recipient of Measure B sales tax revenue pass-through allocations for operations of the Altamont Corridor Express (ACE) service. This agreement required the transfer of the Measure B ACE reserve fund balance into a SJRRRC designated restricted fund for ACE Operations. The amount of this transfer was \$1,691,991.35, providing the initial fund balance to be used for ACE operations as approved annually by the ACTC Board. The current balance is a combination of the initial deposit along with interest earned and subsequent deposits in excess of authorized contribution amounts.

As part of the ACE Cooperative Services Agreement executed in July 2003, between SJRRRC, ACTC and Santa Clara Valley Transportation Authority (SCVTA), an annual Baseline Service Plan is developed by SJRRRC inclusive of ACTC and SCVTA operating contributions for the next fiscal year. After the Baseline Service Plan is reviewed by ACTC and SCVTA staff the respective Boards take an action on approving the plan and setting their respective local contributions.

The Measure B funds are deposited each month by ACTC, directly to SJRRRC's designated restricted fund, Per sections 3.6, 3.8 and 6.3.5 of the Cooperative Services Agreement. SJRRRC may only draw ACTC's contribution from the Measure B funds based on an annually approved CPI increase. If amounts deposited by ACTC during the year exceed authorized amounts to draw, an increase in fund balance occurs.

Currently, the calculation for projected funds added to the fund balance exceeds the amounts allowed for retention in the Operations Fund Reserve (3.A.2) and Undesignated Fund Reserve (3.A.3). It is the intent of SJRRRC, upon ACTC Board approval of the annual Baseline Service Plan to use Measure B reserved funds to augment ACTC's Baseline contribution to the ACE service over the next five fiscal years and fully expend all funds carried forward by the end of FY16/17. The table below illustrates the expenditure plan for the fund reserves:



February 20, 2013  
 Arthur L. Dao, Executive Director  
 Alameda County Transportation Commission  
 Page 2

	FY 11/12	FY 12/13	FY 13/14	FY 14/15	FY 15/16	FY 16/17
Measure B Service Contribution		\$ 2,097,443	\$ 2,145,893	\$ 2,200,000	\$ 2,200,000	\$ 2,200,000
Administrative Fee		\$ 20,000	\$ 20,000	\$ 20,000	\$ 20,000	\$ 20,000
<b>Measure B from Reserve Balance</b>		<b>\$ 498,037</b>	<b>\$ 655,055</b>	<b>\$ 700,000</b>	<b>\$ 700,000</b>	<b>\$ 96,438</b>
<b>Total</b>		<b>\$ 2,615,480</b>	<b>\$ 2,820,948</b>	<b>\$ 2,920,000</b>	<b>\$ 2,920,000</b>	<b>\$ 2,316,438</b>
Remaining Reserve	\$ 2,649,530	\$ 2,151,493	\$ 1,496,438	\$ 796,438	\$ 96,438	\$ -

Since SJRRC will not expend the reserves in the timely manner defined and set by ACTC's "Master Programs Funding Agreement" Section 3 (FY15/16), SJRRC/ACE is requesting authorization for an exemption due to extraordinary circumstances.

Please do not hesitate to contact George Fink, Manager of Planning & Programming at 209-944-6235, email [George@acerail.com](mailto:George@acerail.com), or Margaret Merin, Staff Accountant at 209-944-6246, email [Margaret@acerail.com](mailto:Margaret@acerail.com) if you have any questions or comments.

Sincerely,



Stacey Mortensen, Executive Director

c: John Nguyen, ACTC  
 Matt Todd, ACTC  
 Vivek Bhat, ACTC  
 Brian Schmidt, SJRRC  
 Nila Cordova, SJRRC  
 George Fink, SJRRC

## ACE Compliance Report Review

MASS TRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) No Balance Sheet Provided. Please provide one.	Agency provided a Financial Audit Balance Sheet.
<b>Compliance Report</b>	2) ACE carries over \$2.0 Million in surplus each year. Please explain why. This year the audit shows that ACE started with \$2.4 Million in Measure B Funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) No Comments.	N/A
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>4) Please provide additional information on the reported Administration Fee in the amount of \$10,661 for Administrative Services provided by ACCMA (Alameda CTC). What is it used for and why is it a necessary expenditure?</p> <p>5) Ace Service Operations reports 787,000 people travel on ACE. Is that number derived from total boarding passengers or tickets sold? Can ACE provide the number of Boarding made at the 4 Alameda County Stations as well? This is to better understand how Measure B money is supporting Alameda County Residents.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 3</b>	<p>6) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue (<i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i>) to the appropriate Reserve Funds. Currently, only identifies \$2,615,480 of \$4,996,955.</p> <p>7) Also, ACE targets its funds to operations at almost twice the rate in the current year. It would be helpful to know if this is filling in or displacing existing operational funds (i.e. are funds being swapped or displaced, and if so, how will the displaced money be used.</p> <p>8) Is \$20K really needed for Measure B accounting? This is more than 25% of an accounting position and seems like too much for what is required.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached ACE Letter requesting an exemption of reserves.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>

<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See Above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	See Above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund Reserve</u>	See Above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	See Above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

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**Alameda County (ACPWA)**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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Public Works Agency  
Alameda County

Daniel Woldesenbet, Ph.D., P.E., Director

399 Elmhurst Street • Hayward, CA 94544 • (510) 670-5480 • [www.acgov.org/pwa](http://www.acgov.org/pwa)

February 20, 2013

Mr. John Nguyen  
Alameda County Transportation Commission  
1333 Broadway, Suite 220  
Oakland, CA 94612

Attn: Programs Management Team - Grants

Subject: ACTIA Annual Programs Compliance Report

Dear Mr. Nguyen:

Enclosed are the following documents as requested in your February 6, 2013 email:

- Summary of ACTC comments and our responses
- Revised signature pages for Measure B and VRF Compliance Reports
- Revised Measure B LS&R Table 2
- Revised Measure B B&P Table 3
- Revised Measure B LS&R Table 3
- Revised Measure B VRF Table 3

If you have any questions, please contact me at (510) 670-5566.

Very truly yours,

James Chu  
Supervising Civil Engineer

Enclosure

JC:dc

POO-RDES-Ltr - Annual Report Correction 2012.doc



RESPONSES for Alameda CTC comments.

BICYCLE AND PEDESTRIAN	COMMENTS	RESPONSE
<b>Financial Audit</b>	1) There is \$3 million of Other Measure B identified for Bike/Pedestrian activities on Table 2 (Stanley Blvd Improvement Project) that does not correspond to the Financial Audit. Please explain the source of these funds.	The \$3M is included in Financial Audit. See \$8,321,590 in Financial Audit Expenditures for Streets & Roads. See \$8,321,590 Compliance Reports Expenditures LSR Table 2 Column L (source of funds).
	2) What is "ACTA" with the reported \$117,309 of revenue and expenditures?	ACTA column in Audit report is not related to CTC/ACTIA Measure B pass through funds. The \$117K was a final accounting adjustment to reconcile a closed (inactive) ACTA negative program balance.
	3) In the Audit page 7, it is noted that on 6/12/12 almost \$4 million of Measure B funds were restricted by the Alameda CTC. What was the situation? Was this a penalty?	Note 4 informs that Measure B (and VRF) pass through funds must be spent in accordance with our MPFA with Alameda CTC.
<b>Compliance Report</b>	4) There are designated reserve funds for LS&R/B&P/and Paratransit the funds in reserve total over \$4Mil and the funds are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Please provide a detailed explanation.	It is not clear what this comment is referring to as there is not \$4M in B&P. \$2M in Capital Fund Reserve has been designated for projects under construction (\$1.7M) or planned construction (\$0.3M) this fiscal year.
	5) Question #10, is the Livermore Patch an ACPWA newsletter? Articles should be published in either an agency's newsletter or Alameda CTC's newsletter.	Livermore Patch is an online community newsletter.
<b>TABLE 1: Revenues &amp; Expenditures</b>	6) <b>Column I:</b> See audit note above.	See Audit response above.
<b>TABLE 2: Summary of Expenditures</b>	7) Stanley Blvd Improvement Project	See Audit response above.

<i>and Accomplishments</i>	<b>Column N:</b> See audit note above.	
<b>LOCAL STREETS AND ROADS</b>		
<b>Financial Audit</b>	1) There is \$1.75 million of Other Measure B identified for Bike/Pedestrian activities on Table 2 (Lewelling Blvd, 23289, 1926) that does not correspond to the Financial Audit. Please explain the source of these funds.	It is not clear what this question is referring to? Column M is labeled Other MB LSR expenditures. The \$1.75M shown in Column M is from a Measure B Capital Project Grant for Lewelling Blvd. If Column M was intended to report use of Bicycle/Pedestrian expenditures, the column description is misleading. Please clarify what should be reported and we can adjust reporting if necessary. The Financial Audit is limited to MB pass through activities.
	2) Bridge Funds need to be incorporated into Local Streets and Roads.	Bridge Funds have been incorporated into LS&R Table 2 of compliance report. Please note that bridges maintain no fund carryover balances. All revenue allocation to bridges is used within the fiscal period.
<b>Compliance Report</b>	3) There are designated reserve funds for LS&R/B&P/and Paratransit the funds in reserve total over \$4Mil and the funds are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Please provide a detailed explanation.	\$4M in Capital Fund Reserve has been designated for projects under construction (\$2.9M) or planned construction (\$1M) in the next two fiscal years.
<b>TABLE 1: Revenues &amp; Expenditures</b>	4) <b>Column G:</b> See audit note above. What is the source of the \$1.75 million of other funds?	See Audit response above.
<b>TABLE 2: Summary of Expenditures and Accomplishments</b>	5) All forms need to include bridge funds in this section of the compliance report.	Bridge information added in Row 22.
	6) Lewelling Blvd, 23289, 1926 <b>Column M:</b> See audit note above.	See Audit response above.
	8) High Street Bridge Deck REhab <b>Column H &amp; I:</b> Please indicate quantity for bridge i.e. 1.	Edited quantity, description as requested

	<p>9) <b>Castro Valley Blvd Traffic Signal</b>  <b>Column H &amp; I:</b> Please change unit to Traffic Signal, and indicate quantity if applicable.</p> <p>10) Slurry Seal Spec 2208, R23407  <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>11) Slurry Seal Spec 2135, R23386  <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>12) Slurry Seal Spec R23397, 2168  <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>13) Overlay R23393, 2153  <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>14) <b>D Street and Hathaway Overlay</b>  <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p>	
TABLE 3: Section 2: Capital Fund Reserve	15) Please complete agency approval section. If the project(s) is not approved, please indicate how and when approval will be obtained.	Completed
	16) Grove Way Project, please describe in the project status how the project is under construction with Measure B dollars currently in outer FY 13/14 and FY 14/15 years.	Project is under construction with other funds. We anticipate that Bike and Ped funds will be needed near the end of construction in later years of project as other funds are used first.
	17) Christensen Lane Sidewalk, please describe in the project status - how the project is under construction with Measure B dollars currently in FY 13/14 and FY 14/15 years.	We anticipate using Bike and Ped funds for construction of project starting in FY 13-14.

## Alameda County Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	<p>1) There is \$3 million of Other Measure B identified for Bike/Pedestrian activities on Table 2 (Stanley Blvd Improvement Project) that does not correspond to the Financial Audit. Please explain the source of these funds.</p> <p>2) What is "ACTA" with the reported \$117,309 of revenue and expenditures?</p> <p>3) In the Audit page 7, it is noted that on 6/12/12 almost \$4 million of Measure B funds were restricted by the Alameda CTC. What was the situation? Was this a penalty?</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>Compliance Report</b>	<p>4) There are designated reserve funds for LS&amp;R/B&amp;P/and Paratransit the funds in reserve total over \$4Mil and the funds are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Please provide a detailed explanation.</p> <p>5) Question #10, is the Livermore Patch an ACPWA newsletter? Articles should be published in either an agency's newsletter or Alameda CTC's newsletter.</p>	<p>This comment does not apply to this agency; comment included erroneously.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	6) <b>Column I:</b> See audit note above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	7) <b>Stanley Blvd Improvement Project</b> <b>Column N:</b> See audit note above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A

<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A

LOCAL STREETS AND ROADS	COMMENTS	
<b>Financial Audit</b>	<p>1) There is \$1.75 million of Other Measure B identified for Bike/Pedestrian activities on Table 2 (Lewelling Blvd, 23289, 1926) that does not correspond to the Financial Audit. Please explain the source of these funds.</p> <p>2) Bridge Funds need to be incorporated into Local Streets and Roads.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. The source of the funds is a non-pass-through (Measure B Capital fund).</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>Compliance Report</b>	<p>3) There are designated reserve funds for LS&amp;R/B&amp;P and Paratransit the funds in reserve total over \$4Mil and the funds are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Please provide a detailed explanation.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	<p>4) <b>Column G:</b> See audit note above. What is the source of the \$1.75 million of other funds?</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>5) All forms need to include bridge funds in this section of the compliance report.</p> <p>6) <b>Lewelling Blvd, 23289, 1926</b> <b>Column M:</b> See audit note above.</p> <p>8) <b>High Street Bridge Deck REhab</b> <b>Column H &amp; I:</b> Please indicate quantity for bridge i.e. 1.</p> <p>9) <b>Castro Valley Blvd Traffic Signal</b> <b>Column H &amp; I:</b> Please change unit to</p>	<p>Comments #5-14: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>

	<p>Traffic Signal, and indicate quantity if applicable.</p> <p>10) <b>Slurry Seal Spec 2208, R23407</b> <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>11) <b>Slurry Seal Spec 2135, R23386</b> <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>12) <b>Slurry Seal Spec R23397, 2168</b> <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>13) <b>Overlay R23393, 2153</b> <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p> <p>14) <b>D Street and Hathaway Overlay</b> <b>Column H &amp; I:</b> Please describe resurfacing projects in square feet.</p>	
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Planned Projects</u>	N/A. No Comments.	N/A
<u>Section 2: Capital Fund Reserve</u>	<p>15) Please complete agency approval section. If the project(s) is not approved, please indicate how and when approval will be obtained.</p> <p>16) Grove Way Project, please describe in the project status how the project is under construction with Measure B dollars currently in outer FY 13/14 and FY 14/15 years.</p> <p>17) Christensen Lane Sidewalk, please describe in the project status - how the project is under construction with Measure B dollars currently in FY 13/14 and FY 14/15 years.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p>
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A

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# **City of Alameda**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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February 21, 2013

John Hemiup, P.E.  
Senior Transportation Engineer  
Alameda CTC  
1333 Broadway Suite 220 and 300  
Oakland CA 94612

Re: Alameda CTC Program Compliance FY11-12 Status Report

Dear Mr. Hemiup:

Attached please find the tables and reports for the City of Alameda Compliance Reports for Measure B and the Vehicle Registration Fee. The responses to your Compliance Report Review are listed below. John Nguyen has clarified some of the review items by phone.

- Comments on all funds (Bike/Pedestrian, LS&R, Paratransit, VFR):
  - Financial Audit - Not included, as there were no comments.
  - Table 3 Timely Use of Funds – This comment was listed in all funds, but is most pertinent to LS&R. The City does have a large amount of Measure B that rolled forwards from the previous year. This is due to the City's policy of not budgeting funds until they are actually received, then not spending them until a year later, after the project has been designed and built. The City has also been hesitant to spend the fund down to zero, in the past few years, due to the uncertainty of the economy. The City intends to spend the funds more aggressively this fiscal year, in order to spend down the amount held.
  - Table 3 Section 1 – Projects in the Planned Projects section have been moved to the Capital Fund Reserve as directed by John Nguyen.
- Specific Comments:
  - B/P Questions 10 & 13 - The most recent article was included in the ACTIA on-line newsletter in July 2008. A copy is attached. An article was submitted on 9/14/10 for FY10-11, but it was not published. Copies of the unpublished article (on the Master Tree Plan) and the cover email are attached. Question 13 has been modified.
  - B/P Table 2 Quantities – Revised as directed.
  - LS&R Compliance Report Question 4 – This answer has been revised as directed.
  - LS&R Table 1 Revenues – The \$225,290 shown as “other Measure B” is actually the amount of Bike/Pedestrian Measure B that was used in this project. It was not clear from the instructions if this should be mentioned or not. It was explicitly asked for in the Bike/Pedestrian Table 1, but not the LS&R Table 1. The unused cells in this table were write-protected, so there was no place to put this clarification.

- LS&R Table 2 Quantities – These have been revised as directed.
- Paratransit Compliance Report Question 10 – The Mastick Bee is a newsletter of the Mastick Senior Center, a program of the City of Alameda Recreation and Parks Department. This was clarified in the Compliance Report.
- Paratransit Table 2 – All of the Paratransit and Senior Transportation program is tracked in one fund, including management, customer service, coupon purchases and distribution, advertising, and bus contracts. I have not been able to divide up what costs were devoted specifically to the paratransit shuttle, taxi coupons, and excursion bus trips. If this is essential, I will ask that Accounting set up separate accounts for each activity.

If you have any further questions or comments, please contact Laurie Kozisek at 510-747-7940.

Sincerely,

Barbara Hawkins  
City Engineer



Laurie Kozisek  
Associate Civil Engineer

LK:gc

Attachments:  
Revised FY11-12 MB Compliance Report  
Revised FY11-12 MB Tables  
Signature Page for Revised FY11-12 MB Report  
Revised FY11-12 VRF Tables  
Signature Page for Revised FY11-12 VRF Report  
Copy of ACTIA Electronic Newsletter July 2008  
Copy of email and attachment dated 9/14/10

## City of Alameda Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	1) <b>Question 10 &amp; 13</b> <ul style="list-style-type: none"> <li>No article published for sidewalks. City states they have in the past and it may be redundant. When was article last published in Alameda CTC's newsletter? Question #13 states two articles were produce recently; if so please provide the most recent newsletter.</li> </ul>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	2) <b>982012 Sidewalk Repair Program FY 11/12</b> <b>Column H &amp; I:</b> Please use linear feet to describe sidewalk improvements	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	3) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> <b>Agency needs to allocate FY 12/13 Revenue</b> <i>(FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue)</i> <b>to the appropriate Reserve Funds.</b>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
	4) While Alameda has designated reserve funds for LS&R/B&P and Paratransit the funds in reserve total over \$4Mil, these projects are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Why is this? Identify large projects that use these reserve funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see letter attachment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	5) Need to identify full FY 12/13 Revenue, \$475,491, into a funding reserve(s). Currently only allocates dollars in FY 12/13 and FY 13/14 of the Planned Section. FY 12/13 is the only year calculated from this section. The FY 13/14 amount \$202,936 should go into the Capital Reserve section to appropriately allocate and funds.	

<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	1) Response to Question #4 states Measure B balance earmarked for operating and CIP projects next year. Need to be reflective in Table 3 and provide a detailed response to Question #4.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) \$225,290 identified as "other Measure B" not shown on Financial Audit. Please Explain.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>5430821 Bicycle Program</b> <b>Column H, I &amp; J:</b> Indicate an estimated quantity of studies completed. 4) <b>5430923 Bike &amp; Pedestrian Facility Upgrade</b> <b>Column B:</b> Change Project phase for installing bike racks to "construction" or maintenance. 5) <b>5439434</b> <b>Column H, I &amp; J:</b> Indicate an estimated quantity of traffic signal controller units replaced. 6) <b>9044901 Traffic Striping/Sign Mtce</b> <b>Column H, I &amp; J:</b> Identify quantity of striping and signs maintained/installed. 7) <b>91107 Webster St. Smart Crosswalks</b> <b>Column H:</b> Identify number of intersections improved i.e. "1". 8) <b>91163 LED in pavement Replacement lights</b> <b>Column H, I &amp; J:</b> Identify quantity lights replaced. 9) <b>9820129 St. Resurfacing Ph 29</b> <b>Column J:</b> Identify previous report information in this section. 10) <b>9820212 Sidewalk Repair Program 11/12</b> <b>Column H, I &amp; J:</b> Identify quantity of sidewalk improvements in linear feet.	Comments #3-12: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

	<p>11) <b>9820211 Sidewalk Repair Program 10/11</b> <b>Column J:</b> Identify previous report information in this section.</p> <p>12) <b>90720 Estuary Crossing Feasibility Study</b> <b>Column J:</b> Identify previous report information in this section.</p>	
<b>TABLE 3</b>	<p>13) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> <b>Agency needs to allocate FULL FY 12/13 Revenue</b> (FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) <b>to the appropriate Reserve Funds.</b></p> <p>14) While Alameda has designated reserve funds for LS&amp;R/B&amp;P/and Paratransit the funds in reserve total over \$4Mil, these projects are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Why is this? Identify large projects that use these reserve funds.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter.</p>
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	15) Need to identify full FY 12/13 Revenue, \$5,130,659, into a funding reserve(s). Currently allocates dollars in FY 12/13, FY 13/14, and FY 14/15 of the Planned Section. FY 12/13 is the only year calculated from this section. The FY 13/14 and FY 14/15 amounts should go into the Capital Reserve section to appropriately allocate funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments	N/A.
<b>Compliance Report</b>	1) Question #10 is the Mastick Bee a City of Alameda newsletter?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter.
<b>TABLE 1: Revenues &amp; Expenditures</b>	No Comments.	N/A.

<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<b>2) Transportation Svcs - Paratransit</b>  <b>Column H, I and J:</b> This particular project outlines three different service types; shuttle (one-way), taxi and route trip bus trips. Please break this line item into three separate line items and describe three types of trips quantities. Example, one row taxi and one row for shuttle services.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter.
<b>TABLE 3</b>	<b>3)</b> While Alameda has designated reserve funds for LS&R/B&P/and Paratransit the funds in reserve total over \$4Mil, these projects are generally designated for year to year maintenance and Operations. I did not see large scale projects which required some accumulation of funds to pursue. Why is this? Identify large projects that use these reserve funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments	N/A.



**City of Albany**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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# City of Albany

1000 SAN PABLO AVENUE • ALBANY, CALIFORNIA 94706-2295

## **RESPONSE TO REVIEW END-OF-YEAR PROGRAM COMPLIANCE REPORT REVISED SUBMITTALS – DUE FEBRUARUY 20, 2013**

### Bicycle and Pedestrian - (Comment 1)

#### Financial Audit & Compliance Report

The City incurred expenses for the Bicycle and Pedestrian program that were shared by the Albany Unified School District. It is the City's accounting policy to record all reimbursement of shared costs as revenue for financial accounting and reporting. In terms of specific programs, this accounting yields the same net program cost as if the expenditure and revenue had not been charged to the program activity.

The audit report is based on the accounting records of the City, and therefore included both the expenditure and the reimbursement of cost shared with the Albany Unified School District. The audit report is in agreement with the summary of expenditures in Table 3.

Because there is no discrepancy in our reports, we request that the Financial Audit and the Compliance Report be accepted as submitted.

Charles Adams  
Finance & Administrative Services Director  
February 20, 2013



## City of Albany Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) There is \$2,148 in the financial statement being considered as Measure B, but it is a school district reimbursement and no longer Measure B. Therefore it should not be included in the Financial Statement.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	2) The School Reimbursement should not be included in your Financial Statement as it is no longer Measure B.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) The School Reimbursement should not be included in your Financial Statement as it is no longer Measure B. It is appropriately identified as non-measure B here.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	
<b>TABLE 3</b>	4) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$62,322 of \$64,471.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See above.	Completed per the above.
<u>Section 2: Capital Fund Reserve</u>	See above.	Completed per the above.
<u>Section 3: Operations Fund Reserve</u>	See above.	Completed per the above.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	Completed per the above.

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	1) Question #10: Please be specific on the PCI number reported. 2) Question #11: No article reported and justification provided in Question #14. Alameda CTC will monitor reporting requirements in next compliance report to ensure requirements are met.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>Citywide Maintenance Projects</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded through Measure B i.e. number of signs, quantity of square feet of street maintained, etc. Currently, all activities are lumped together with no quantity. Perhaps separate into individual rows for the maintenance activities. For example, separate into different rows the maintenance activities (restriping, signage, etc.). <b>Column B:</b> Change project type to Maintenance.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	4) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	5) Need to identify full FY 12/13 Revenue, \$5,130,659, into a funding reserve(s). Currently allocates dollars in FY 12/13, FY 13/14, and FY 14/15 of the Planned Section. FY 12/13 is the only year calculated from this section. The FY 13/14 and FY 14/15 amounts should go into the Capital Reserve section to appropriately allocate funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	See above.	Completed per the above.
<u>Section 3: Operations Fund Reserve</u>	See above.	Completed per the above.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	Completed per the above.

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	1) <b>Column H &amp; I:</b> Other Measure B revenue – grant and expenditure don't match. Financial Audit reflects smaller number \$4,091 in Measure B revenue and \$12,285 in "non-contract" expenditures. Please Explain or correct.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. The \$4,091 was reimbursed in FY11-12 with the remaining approximately \$8,000 yet to be invoiced to Alameda CTC. Therefore there is no revenue to report to amount to the \$12,285, but there are expenditures tied to the project until they are reimbursed.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	N/A.
<b>TABLE 3</b>	2) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$10,011 of \$38,236.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure Planned Projects</u>	See above.	Completed per the above.
<u>Section 2: Capital Fund Reserve</u>	See above.	Completed per the above.
<u>Section 3: Operations Fund Reserve</u>	See above.	Completed per the above.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	Completed per the above.

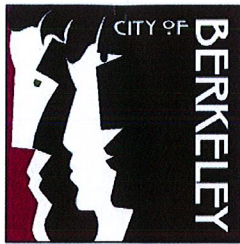


## **City of Berkeley**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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**PUBLIC WORKS DEPARTMENT**  
Administrative & Fiscal Services Division

February 18, 2013

John Hemiup  
Senior Transportation Engineer  
Alameda CTC  
1333 Broadway, Suite 300  
Oakland, CA 94612

Dear Mr. Hemiup,

Berkeley's response to your February 15, 2013 letter requesting additional information related to the FY 2012 year end compliance report is attached. The updated compliance reports and tables have been submitted as well.

Please feel free to contact me if you have any questions at (510) 981-6317 or [dhabr@cityofberkeley.info](mailto:dhabr@cityofberkeley.info).

Sincerely,

Danielle K. Habr  
Public Works Department  
Acting Administrative & Fiscal Services Manager



## City of Berkeley Response To Outstanding Items For FY 2012 Year End Compliance Report

### Measure B

#### **Bicycle and Pedestrian**

##### Outstanding issue per Alameda CTC

Compliance Report – Please clarify question 4 re increase of enrollment of 100%, question 9 looks more like 10%.

##### Response

Although listed under Bicycle and Pedestrian, the question is regarding the Paratransit Program. The language was edited to read “This shift has resulted in increased enrollment this year. From July through December of FY13, 86 new participants have enrolled, which exceeds the enrollment for the entire previous fiscal year (81).”

##### Outstanding issue per Alameda CTC

Table 1 – Column I Table 2 identifies \$2,951 in Other Measure B LSR Funds, but this not accounted for on Table 1. Please explain/correct.

##### Response

This was an oversight. \$2,951 has been added to Table 1.

##### Outstanding issue per Alameda CTC

Table 2 – Safe Routes to Transit Solano/Colusa & Shattuck/Vine Column H, I & J Please provide quantity of the activities constructed i.e. length of sidewalks (in linear feet) if completed in FY 11/12. Otherwise, quantity can be reported in FY 12/13 compliance report.

##### Response

As described in Column J, project completion was in September 2012 (FY 2013). The sidewalk length will be reported in FY 2013 Compliance Report and Tables.

##### Outstanding issue per Alameda CTC

Table 3 – Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocated FULL FY 12/13 Revenue FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$427,790 of \$737,314.

##### Response

We didn't realize the expenditures for the FY 2013 revenue estimate were to be included with the FY 2012 balance. Table 3 now reflects the plan for the full \$737,314.

**City of Berkeley Response To Outstanding Items For FY 2012 Year End  
Compliance Report**

**Local Streets and Roads**

Outstanding issue per Alameda CTC

Table 2 – Bicycle Rack Installation Column H, I & J: Please provide quantity of the activities funded i.e. number of bikes installed.

Response

The expenditure was for staff time on the project.

Outstanding issue per Alameda CTC

Table 2 – Street Rehabilitation FY 2010 Column H, I & J: Please provide quantity of the activities funded in lane miles.

Response

Updated – 1 lane mile (0.62 lane miles, but only whole number allowed)

Outstanding issue per Alameda CTC

Table 2 – Street Rehabilitation FY 2011 Column H, I & J: Please provide quantity of the activities funded in lane miles.

Response

Updated – 4 lane miles (4.24 but only whole number allowed)

Outstanding issue per Alameda CTC

Table 2 – Street Rehabilitation FY 2011 Phase 2 – Column H, I & J: Please provide quantity of the activities funded in lane miles. Column L: There appears to be no Measure B dollars reported for this project. Please confirm, and identify why it is being reported if no Measure B used in FY 11/12. Please remove if no Measure B funds tied to the activity in FY 11/12.

Response

Deleted project

Outstanding issue per Alameda CTC

Table 2 – Sacramento Street Overlay – Column H, I & J: Please provide quantity of the activities funded in square feet.

Response

Updated – 182,382 sf

## **City of Berkeley Response To Outstanding Items For FY 2012 Year End Compliance Report**

### Outstanding issue per Alameda CTC

Table 2 – Sacramento Street Rehabilitation – Column H, I & J: Please provide quantity of the activities funded in square feet.

### Response

Measure B funds paid for 1 out of 12 in-pavement street lights, not paving. The unit has been changed to each.

### Outstanding issue per Alameda CTC

Table 2 – Street Rehabilitation FY 2012 – Column H, I & J: Please provide quantity of the activities funded in square feet.

### Response

Quantity remains 0. No paving had been completed as of 6/30/12. The expenditure was for concrete work.

### Outstanding issue per Alameda CTC

Table 2 – FY 2011 Emergency Sidewalk – Column H, I & J: Please provide quantity of the activities funded in square feet.

### Response

Quantity provided was already in square feet. No change made.

### Outstanding issue per Alameda CTC

Table 3 – Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocated FULL FY 12/13 Revenue FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$1,890,611 of \$4,458,562.

### Response

We didn't realize the expenditures for the FY 2013 revenue estimate were to be included with the FY 2012 balance. Table 3 now reflects the plan for the full \$4,458,562.

## **Paratransit**

### Outstanding issue per Alameda CTC

Compliance Report – Please clarify question 4 re increase of enrollment of 100%, question 9 looks more like 10%.

### Response

Although listed under Bicycle and Pedestrian, the question is regarding the Paratransit Program. The language was edited to read "This shift has resulted in increased



## **City of Berkeley Response To Outstanding Items For FY 2012 Year End Compliance Report**

enrollment this year. From July through December of FY13, 86 new participants have enrolled, which exceeds the enrollment for the entire previous fiscal year (81)."

### Outstanding issue per Alameda CTC

Table 2 – Column L: Rows 2, 3, 4, 5 & 8 no MB expenditures, pass through or grant, are reported? Please confirm and identify why it's being reported if no Measure B used in FY 11/12. Please remove if no Measure B funds tied to the activity in FY 11/12.

### Response

Rows 2, 3 and 4 have been added into the first row and the description, number of rides, costs and average cost per ticket have been updated accordingly.

Row 5 was deleted as we don't purchase any EBP with Measure B.

Row 8 was deleted. The row was being used to explain the \$19,317 grant revenue received in FY 2012 (included on Table 1) for FY 2011 expenditures.

### Outstanding issue per Alameda CTC

Table 3 – Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocated FULL FY 12/13 Revenue FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$58,938 of \$247,862.

### Response

We didn't realize the expenditures for the FY 2013 revenue estimate were to be included with the FY 2012 balance. Table 3 now reflects the plan for the full \$247,862.

## **Vehicle Registration Fee**

### **Local Streets and Roads**

### Outstanding issue per Alameda CTC

Table 2 – No VRF Expenditures. This table can be cleared.

### Response

Table cleared

### Outstanding issue per Alameda CTC

Table 3 – Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocated FULL FY 12/13 Revenue FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$474,334 of \$924,132.

## City of Berkeley Response To Outstanding Items For FY 2012 Year End Compliance Report

### Response

We didn't realize the expenditures for the FY 2013 revenue estimate were to be included with the FY 2012 balance. Table 3 now reflects the plan for the full \$924,132.

### Outstanding issue per Alameda CTC

Table 3 – Please indicate a unique project identifier for each project. i.e. CIP #XYZ

### Response

Project numbers assigned

### Outstanding issue per Alameda CTC

Table 3 – Section 1: FY12-13 VRF Planned Projects – See above pertaining to identify all FY 12/13 revenues. Please indicate when agency will approve project in the project status section.

### Response

Added all FY 12/13 revenues and provided the estimated agency approval dates

### Outstanding issue per Alameda CTC

Table 3 – Section 2: Capital Fund Reserve – See above pertaining to identify all FY 12/13 revenues. Please further describe how the proposed 9<sup>th</sup> Street Pathway & Bicycle Boulevard Phase 3 projects meet the requirement of the Section 5-2-b (eligible uses) of the MPFA. Please indicate when agency will approve project in the project status section.

### Response

Added all FY 12/13 revenues. Since the report was submitted, the 9<sup>th</sup> Street Pathway and Bicycle Boulevard Phase 3 projects were removed from the department's current VRF funding plan. Provided the estimated agency approval dates for the remaining projects.

### Outstanding issue per Alameda CTC

Table 3 – Section 3: Operations Fund Reserve – See above pertaining to identify all FY 12/13 revenues. Please indicate when agency will approve project in the project status section.

### Response

We were confused by the Operations Reserve and incorrectly included the operations programs to the section in the original report. We have shifted the programs to the Planned Projects section as we do not intend to build a reserve. Provided the estimated agency approval dates for the programs.

**City of Berkeley Response To Outstanding Items For FY 2012 Year End  
Compliance Report**

Outstanding issue per Alameda CTC

Table 3 – Section 4: Undesignated Fund Reserve – See above pertaining to identify all  
FY 12/13 revenues.

Response

We do not have an Undesignated Fund Reserve

## City of Berkeley Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	1) Please clarify question 4 re: increase in enrollment of 100%, question 9 looks more like 10%	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Question applies to Paratransit.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) <b>Column I:</b> Table 2 identifies \$2,951 in Other Measure B LSR Funds, but this is not accounted for on Table 1. Please explain/correct.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>Safe Routes to Transit: Solano/Colusa &amp; Shattuck/Vine</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities constructed i.e. length of sidewalks (in linear feet) if completed in FY 11/12. Otherwise quantity can be reported in FY 12/13 compliance report.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	4) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$427,790 of \$737,314.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Rev. &amp; Expend.</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>1) <b>Bicycle Rack Installation</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded i.e. number of bikes installed.</p> <p>2) <b>Street Rehabilitation FY 2010</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in lane miles.</p> <p>3) <b>Street Rehabilitation FY 2011</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in lane miles.</p> <p>4) <b>Street Rehabilitation FY 2011 Phase 2</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in lane miles. <b>Column L:</b> There appears to be no Measure B dollars reported for this project. Please confirm, and identify why it is being reported if no Measure B used in FY 11/12. Please remove if no Measure B funds tied to the activity in FY 11/12.</p> <p>5) <b>Sacramento Street Overlay</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in square feet.</p> <p>6) <b>Sacramento Street Rehabilitation</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in square feet.</p> <p>7) <b>Street Rehabilitation FY 2012</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in square feet.</p> <p>8) <b>FY 2011 Emergency Sidewalk</b> <b>Column H, I &amp; J:</b> Please provide quantity of the activities funded in square feet.</p>	Comments #1-8: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	<p>9) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue to the appropriate Reserve Funds. Currently, only identifies \$1,890,611 of \$4,458,562.</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.



PARATRANSIT	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>1) <b>Column L:</b> Rows 2, 3, 4, 5 &amp; 8 no MB expenditures, pass through or grant, are reported? Please confirm, and identify why it's being reported if no Measure B used in FY 11/12. Please remove if no Measure B funds tied to the activity in FY 11/12.</p> <p>2) <b>Column H and I:</b> Row 5, EBP Tickets – Please report quantity in tickets, not trips.</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	<p>3) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue (<i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i>) to the appropriate Reserve Funds. Currently, only identifies \$58,938 of \$247,862.</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	N/A. No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.



## **City of Dublin**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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100 Civic Plaza  
Dublin, California 94568  
Phone: (925) 833-6650  
Fax: (925) 833-6651

**City Council**  
(925) 833-6650

**City Manager**  
(925) 833-6650

**Community Development**  
(925) 833-6610

**Economic Development**  
(925) 833-6650

**Finance/Admin Services**  
(925) 833-6640

**Fire Prevention**  
(925) 833-6606

**Human Resources**  
(925) 833-6605

**Parks & Community Services**  
(925) 556-4500

**Police**  
(925) 833-6670

**Public Works/Engineering**  
(925) 833-6630



#### **Bicycle and Pedestrian Financial Audit comment explanation:**

The \$4,571.49 reimbursement we received from invoice #2 was for fiscal year 2010-2011 expenses. We had A/R setup in FY10-11 to account for these revenues, so they were not part of the FY11-12 expenditures or revenues on our books.

\$153,733.20 was the total of all Measure B bike & ped funding *expended* in fiscal year 2011-2012.

The reason we only billed ACTC \$150,286.16 was because there was a 5% retention withheld for the construction portion of the project. So of the \$68,941.01 we expensed of Measure B bike & ped funds, only \$65,493.97 was actually paid to the contractor as of 6/30/2012. The remaining funds are held in a retention account until satisfactory completion and acceptance of the work occurs. That remaining portion, \$3,447.04, is the difference between our invoice amount, \$150,286.16, and the total expenses, \$153,733.20.

Upon payment of the retention to the contractor, we will finally bill ACTC for that amount last. And more than likely, since \$3,447.04 was expensed in FY11-12 and A/R was set up for the retention on the revenue side, there will be another question next year why the expenses and funding released differ since the retention will have been released FY12-13.

#### **Local Streets and Roads Financial Audit comment explanation:**

The reason that FY10-11 VRF funds were not included in the fund balance given in Table 1 is because these funds were not FY11-12 funding, and as such, we did not want them to throw off our FY11-12 totals – we wanted them to tie to the FY11-12 VRF funding report ACTC provided. So the auditors recommended they be placed in the deferred revenue account.

## City of Dublin Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) \$153,733 for the Alamo Canal Trail does not match our records, which show a total of \$154,858 being paid to Dublin (Invoice #2 \$4,571.49 + Invoice #3 \$150,286.16). Please correct and explain.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) <b>Column G:</b> See audit note above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>Alamo Canal Trail under I-580</b> <b>Column M:</b> See audit note above.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	N/A.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	1) <b>2017-2017 Capital Improvement Program – Annual Street Overlay</b> Please provide additional details of the project status and be more specific in the type of Capital street projects that the City anticipates funded through the capital reserve including additional information on where the overlay projects will be taking place.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund Reserve</u>	N/A. No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

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**City of Emeryville**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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## John Nguyen

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**From:** Michelle Strawson O'Hara [mstrawsonohara@ci.emeryville.ca.us]  
**Sent:** Thursday, February 14, 2013 3:04 PM  
**To:** Alameda CTC 2022 Grants  
**Cc:** Debra Auker; Kevin Laven; Michael Roberts; Peter Schultze-Allen  
**Subject:** FW: Emeryville - Measure B/VRF Compliance Info Request - Due Feb. 20th  
**Attachments:** City\_of\_Emeryville\_Status\_Letter\_020513.pdf; Paratransit-Financial Audit-Q1-Explanation for Gap grant amount difference-email string.docx; Paratransit-Financial Audit-Q1-FY11-12 Reconciliation of Gap Grant.xlsx; FY11-12\_MB\_Program\_Compliance\_Report - Consolidated.doc; FY11-12\_MB\_Program\_Compliance\_Tables-Consolidated.xls; FY11-12\_VRF\_Program\_Compliance\_Tables.xls; Paratransit Compliance Report Review Responses.docx

In response to your Status Letter dated 2/5/13, here are our responses, updated reports and signed submittal cover sheets (for both VRF & MB).

### Additional Comments/Responses:

#### Local Streets and Roads -Table 2: Summary of Expenditures and Accomplishments

Question: On Question #10 of the Compliance Report, Emeryville identifies 19.1 road miles, however on the "Purchase Street Maintenance Materials" Project line, Column H indicates 47 lane miles were improved. Please clarify.

Response: 19.1 represents the number of centerline miles in Emeryville, while the 47 figure represents lane miles. While a four lane roadway and a two lane roadway are measured to have the same centerline miles, the four lane roadway will have twice as many lane miles. The dropdown list only offered units of lane miles.

#### Paratransit – Financial Audit

Question: The grant amounts do not match our records. Please provide additional details that tabulate to the reported grant amounts.

Response: We are attaching a reconciliation of the Gap Grant which includes an additional \$8,276 in revenue carried over from FY2010-11. Because we are on a modified accrual basis, and we did not have this final revenue information at the time we prepared FY2010-11, we relied on an estimate. I have attached the email string between myself and ACTC from last year when this was discussed and agreed that we would record the additional revenue in FY2011-12. Furthermore, we did not have the June 2012 revenue data available by the time our financial audit was conducted.

Question: Please explain why the Gap grant fund is gaining interest.

Response: Fund balances of all Measure B funds are held in an interest-bearing account. This interest earned is allocated amongst all the Measure B programs, including the Gap grant program. If the City should discontinue this practice in the future, please let us know.

Please let me know if you have any other questions.

Michelle

Michelle Strawson O'Hara  
Accounting Supervisor  
Administrative Services Department  
City of Emeryville  
1333 Park Avenue  
Emeryville, CA 94608  
Tel: 510 596-4328  
[mstrawsonohara@emeryville.org](mailto:mstrawsonohara@emeryville.org)

*"We provide high quality support and services."*

## City of Emeryville Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	1) <b>Column H:</b> Please enter a quantity in empty rows (as applicable).	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	2) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$0 of \$140,973.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See Above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	See Above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See Above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See Above.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	1) On Question #10 of the Compliance Report, Emeryville identifies 19.1 road miles, however on the "Purchase Street Maintenance Materials" Project line, Column H indicates 47 lane miles were improved. Please clarify.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	2) Please provide additional information on the slurry seal projects identified under the 2012 Annual Slurry Seal Program.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

<b>PARATRANSIT</b>	<b>COMMENTS</b>	
<b>Financial Audit</b>	1) The grant amounts do not match our records. Please provide additional details that tabulate to the reported grant amounts. 2) Please explain why the gap grant fund is gaining interest.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	3) Please complete Question #9.	
<b>TABLE 1: Revenues &amp; Expenditures</b>	4) <b>Column I &amp; J:</b> Reported Revenues and expenditures are inconsistent. Please explain why expending more grants than what is identified as revenue. 5) <b>Column P, Q, &amp; R:</b> Non-Measure B Revenues are not reported correctly. Please report funding sources and revenue sources, and not expenses.	Comments #4 and 5: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2: Summary of Expenditures and Accomplishments</b>	6) <b>EBP Discount Program</b> Column I: This should be "scholarships" and not other.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	7) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$0 of \$31,477.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See Above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	See Above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See Above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See Above.	N/A.

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## **City of Fremont**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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City of Fremont  
ACTC Compliance Report Review Comments and City Response  
February 15, 2013

BICYCLE AND PEDESTRIAN	COMMENTS	CITY OF FREMONT RESPONSE
<b>Financial Audit</b>	1) Measure B Grants does not tie into our records. Please clarify the invoice reimbursements that make up the \$155,859 in bike/pedestrian grants.	Worked with Patricia Reavey and John Nguyen, Patricia Reavey responded via email on 2/19/13 and is comfortable with the explanation (email attached). Also attached is the detail of our General Ledger and the explanation next to each balance. The reason for the differences is due to timing of invoicing and reversal of accrual from previous fiscal year.
<b>Compliance Report</b>	No Comments.	
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	
<b>TABLE 3</b>	2) Please provide additional information on why there is Measure B being allocated to staffing activities and to projects that are unfunded i.e. is there another revenue source that could be used instead of Measure B?	I spoke to John Nguyen on 2/8/13 requesting clarification of the question. He stated this is a general question generated by their office. He stated that the Emilia Lane Sidewalk Improvement project would apply to this question. I explained that the Emilia Lane sidewalk project over a 5 year Capital Improvement Program cycle is funded for the first two years and years 3 to 5 are unfunded and programmed for planning purposes only. Emilia Lane Project was appropriated \$82,000 for years 1 & 2 to conduct preliminary engineering and apply for grants. If the project does not receive outside grant award within the first two years additional funds are appropriated to complete the project during the next Capital Improvement Program cycle.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	3) Please denote only those funds to be spent in FY 12/13 in FY12/13 Planned Projects (non-reserve) table and transfer outer year funds to Capital Reserve or other Reserve funds. If projects are identified in the Capital Fund Reserve, do not go over the anticipated revenues of \$2.7M. Considering these projects are outlined for information purposes, and not funded at this time, these projects can be removed from the table all together.	Done, as per suggestion, removed all projects under the Planned section in the out years as suggested by ACTC.



City of Fremont  
ACTC Compliance Report Review Comments and City Response  
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<b>BICYCLE AND PEDESTRIAN</b>	<b>COMMENTS</b>	<b>CITY OF FREMONT RESPONSE</b>
<u>Section 2: Capital Fund Reserve</u>	No Comments.	
<u>Section 3: Operations Fund Reserve</u>	4) There are three projects in the Operational Reserve Section that appear to be Capital Projects related. These are PWC8617 UPRR Corridor Trail Feasibility Study, PWC9707 Bay Trail Alternative Study, and PWC8761 Pedestrian Master Plan Update. Please justify placing these projects in this reserve or move them to the Capital Reserve Fund or FY 12/13 Planned Projects.	These projects are planning and feasibility study projects that are unfunded for construction. The City would prefer to keep the projects in the Operation Fund Reserve category until the project is approved and funded for design and construction.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	Same as response above.

City of Fremont  
ACTC Compliance Report Review Comments and City Response  
February 15, 2013

LOCAL STREETS AND ROADS	COMMENTS	CITY OF FREMONT RESPONSE
<b>Financial Audit</b>	No Comments.	
<b>Compliance Report</b>	<p>1) Fremont's staff amount seems much higher than others, e.g. for LS&amp;R for 2011-2012 Fremont reported staffing fees of over \$510k for staffing. Also the reserve funds set aside for LS&amp;R indicated considerable commitment to staff time. Please provide a detailed explanation of these identified activities using Measure B funds.</p> <p>2) Total MB reserve funds for the 3 program areas for Fremont amounts to \$4,800.977. Despite the fact that is designated for reserve funds they are for the most part scattered over the next 3 FYs and Fremont will continue to receive MB funds during that time. How will Fremont expend down funds?</p>	<p>I spoke to John Nguyen on 2/14/13 to obtain clarification of these questions. He stated that these questions were generated by the CWC.</p> <p>Responses:</p> <ol style="list-style-type: none"> <li>1) City staff time expenses are Measure B eligible as they contribute to the operation and maintenance of the City street network and traffic signal system. For example, City staff conducts the Measure B eligible Congestion Management Program, Signal Coordination Program and Traffic Service Operations as opposed to contracting for these services. Additionally, City staff time is used for Measure B eligible planning and feasibility study projects such as the Dumbarton Rail Project. And finally, Measure B eligible City staff time is used for design and construction engineering for CIP approved pavement rehabilitation and maintenance projects, again, as opposed to contracting with consultants for these services as other City may do for these services. This may give the impression that staff fees are high.</li> <li>2) Fremont will comply with the Timely Use of Funds Policy. Fremont is in the process of preparing the FY 2013/14 – 2017/18 Capital Improvement Program and will make any adjustments as necessary to the appropriations of the Measure B funds to ensure compliance. For example, although staff time is Measure B eligible, funding for staff time will be shifted as necessary to other revenue sources to enable the Measure B funds to be committed to the large dollar amount pavement maintenance and rehabilitation projects that are contracted annually.</li> </ol>
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	

City of Fremont  
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LOCAL STREETS AND ROADS	COMMENTS	CITY OF FREMONT RESPONSE
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) Column Q: In the whole column, for each applicable project, enter Contract amount if \$50,000 or more of this project was for an individual contract.	3) The applicable project contract amounts have been added in Column Q.
<b>TABLE 3</b>	4) Please provide additional information on why there is Measure B being allocated to staffing activities and to projects that are unfunded i.e. is there another revenue source that could be used instead of Measure B?	4) As noted above under items 1 and 2, Measure B funds for staff time are appropriated to various operation and maintenance activities as well as to planning and feasibility studies. The new CIP will adjust the revenue sources for staff time as necessary to ensure compliance with the Timely Use of Funds Policy and commit Measure B funds more directly to capital projects.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	5) Please denote only those funds to be spent in FY 12/13 in FY12/13 Planned Projects (non-reserve) table and transfer outer year funds to Capital Reserve or other Reserve funds. If projects are identified in the Capital Fund Reserve, do not go over the anticipated revenues of \$2.7M. Considering these projects are outlined for information purposes, and not funded at this time, these projects can be removed from the table all together.	5) Done, as per suggestion, removed all projects under the Planned section in the out years as suggested by ACTC.

City of Fremont  
ACTC Compliance Report Review Comments and City Response  
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LOCAL STREETS AND ROADS	COMMENTS	CITY OF FREMONT RESPONSE
<u>Section 2: Capital Fund Reserve</u>	6) There are a few projects in the Capital Fund Reserve section that appear to be Operational Operations related. These are PWC8678 CMP, PWC8619 Signal Coordination, and PWC8240 Slurry Sealing. The Capital Reserve is for Capital Projects. Please justify placing these projects in this reserve or move them to the Operational Reserve or FY 12/13 Planned Projects.	6) Slurry Sealing would fall under the Capital Reserve section, so left it there, however, did move the CMP PWC8678 and Signal Coordination PWC8619 out of this area to the Operations and the Planned Projects areas.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	
<u>Section 4: Undesignated</u>	No Comments.	

City of Fremont  
ACTC Compliance Report Review Comments and City Response  
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PARATRANSIT	ALAMEDA CTC COMMENTS	CITY OF FREMONT RESPONSE
<b>Compliance Report</b>	1) Question #7: Please explain how the \$568,635 in Operation Expenses correlate to Table 1 and Table 2 reported expenditures of \$612,140?	1) The \$568,635 in Operation Expenses noted in Question #7 does not correlate with the Table 1 and Table 2 reported expenditures of \$612,140 because there is no category for meal delivery expenses in Question 7. Meal delivery expenses were \$43,505; this amount accounts for the difference between the amount in Question #7 and Table 1 and Table 2.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) See note above regarding expenditures.	2) See note above.
<b>TABLE 2:</b> <i>Summary of Expenditures</i>	3) For the Fremont Paratransit program, line 4, please indicate a quantity of contacts made while using \$100,000 to maintain an outreach program. 4) <b>Column A:</b> please complete this column for all line items.	3) In the past, Alameda CTC has not asked Cities to report quantitative data for the customer service and outreach activities associated with their paratransit programs in the required mid-year, year-end or compliance reports. Previously, CTC had provided Measure B reporting instructions for mid-year, year-end reports and annual applications that included a specific definition for customer service and outreach activities. The current program plan application defines this activity as: Activities associated with educating consumers about services that are available to them, answering questions from consumers and taking, tracking and responding to complaints and commendations.  The City of Fremont provides customer service and outreach activities that are even more far reaching in scope than CTC's guidelines and trying to quantify this data would be quite labor intensive and costly. The City's customer service and outreach activities include: providing paratransit program information in-person or over the phone to individual clients, caregivers/support persons and service providers, assisting clients/caregivers with applications, sending out enrollment packets and additional correspondence for riders that facilitate their ongoing use of the service, providing follow-up counseling and education to riders, caregivers and service providers, problem solving difficult transportation scenarios, assistance with trip planning and scheduling, and handling customer complaints and commendations. The costs related to these activities are reflective of the intensive client, caregiver and service provider contacts the City provides to maintain its high-quality paratransit service for seniors and persons with disabilities.
		4) Corrected.

City of Fremont  
ACTC Compliance Report Review Comments and City Response  
February 15, 2013

PARATRANSIT	ALAMEDA CTC COMMENTS	CITY OF FREMONT RESPONSE
<b>TABLE 3</b> <u>Section 1: FY 12-13</u> <u>Measure B Planned</u> <u>Projects</u>	5) Please provide project details in the Table Section 1 expandable group area. The line item appears to be manually entered outside of the section. Use the expandable group and enter the projects that make up the \$537,237.	5) Corrected.
<b>TABLE 3</b> <u>Section 3: Operations</u> <u>Fund Reserve</u>	6) Please provide project details in the Table Section 3 expandable group area. The line item appears to be manually entered outside of the section. Use the expandable group and enter the projects that make up the \$363,000.	6) Corrected.

City of Fremont  
ACTC Compliance Report Review Comments and City Response  
February 15, 2013

LOCAL STREETS AND ROADS - VRF Report	COMMENTS	CITY OF FREMONT RESPONSE
<u>Financial Audit</u>	No Comments.	
<u>Compliance Report</u>	No Comments.	
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 VRF Planned Projects</u>	1) Designate project names & project number, if possible, instead of lump sum value in the Capital Reserve Fund. Please revise Table 3 so the sum of projects costs equals FY12/13 Revenue Total of \$2.155M.	The project name has been revised to be PWC 8234, a City approved CIP annual project for rehabilitation treatment of pavement on selected streets. The street list is determined annually based on the Pavement Condition Index (PCI) computed from the MTC database of pavement inspection surveys. The street list for the FY 13-14 contract has not been finalized as of 2/13. The City of Fremont annual contract for pavement rehabilitation has been running in the range of \$3M to \$6M. The Table 3 VRF Summary correctly indicates that the sum of the FY 12-13 Planned Projects, the Capital Fund Reserve, the Operational Fund Reserve and the Undesignated Fund Reserve totals the \$2.155M of FY12-13 VRF Revenue.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	
<u>Section 3: Operations Fund Reserve</u>	No Comments.	
<u>Section 4: Undesignated</u>	No Comments.	

## City of Fremont Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	
<b>Financial Audit</b>	1) Measure B Grants does not tie into our records. Please clarify the invoice reimbursements that make up the \$155,859 in bike/pedestrian grants.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	N/A.
<b>TABLE 3</b>	2) Please provide additional information on why there is Measure B being allocated to staffing activities and to projects that are unfunded i.e. is there another revenue source that could be used instead of Measure B?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	3) Please denote only those funds to be spent in FY 12/13 in FY12/13 Planned Projects (non-reserve) table and transfer out year funds to Capital Reserve or other Reserve funds. If projects are identified in the Capital Fund Reserve, do not go over the anticipated revenues of \$2.7M. Considering these projects are outlined for information purposes, and not funded at this time, these projects can be removed from the table all together.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	4) There are three projects in the Operational Reserve Section that appear to be Capital Projects related. These are PWC8617 UPRR Corridor Trail Feasibility Study, PWC9707 Bay Trail Alternative Study, and PWC8761 Pedestrian Master Plan Update. Please justify placing these projects in this reserve or move them to the Capital Reserve Fund or FY 12/13 Planned Projects.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	See Above.	N/A.



LOCAL STREETS AND ROADS	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	<p>1) Fremont's staff amount seems much higher than others. E.g. for LS&amp;R for 2011-2012 Fremont reported staffing fees of over \$510k for staffing. Also the reserve funds set aside for LS&amp;R indicated considerable commitment to staff time. Please provide a detailed explanation of these identified activities using Measure B funds.</p> <p>2) Total MB reserve funds for the 3 program areas for Fremont amounts to \$4,800,977. Despite the fact that is designated for reserve funds they are for the most part scattered over the next 3 FYs and Fremont will continue to receive MB funds during that time. How will Fremont expend down funds?</p>	Comments #1 and 2: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) Column Q: In the whole column, for each applicable project, enter Contract amount if \$50,000 or more of this project was for an individual contract.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	4) Please provide additional information on why there is Measure B being allocated to staffing activities and to projects that are unfunded i.e. is there another revenue source that could be used instead of Measure B?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	5) Please denote only those funds to be spent in FY 12/13 in FY12/13 Planned Projects (non-reserve) table and transfer out year funds to Capital Reserve or other Reserve funds. If projects are identified in the Capital Fund Reserve, do not go over the anticipated revenues of \$2.7M. Considering these projects are outlined for information purposes, and not funded at this time, these projects can be removed from the table all together.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	6) There are a few projects in the Capital Fund Reserve section that appears to be Operational Operations related. These are PWC8678 CMP, PWC8619 Signal Coordination, and PWC8240 Slurry Sealing. The Capital Reserve is for Capital Projects. Please justify placing these projects in this reserve or move them to the Operational Reserve or FY 12/13 Planned Projects.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated</u>	No Comments.	N/A.

PARATRANSIT	COMMENTS	
<b>Financial Audit</b>	No Comments	N/A.
<b>Compliance Report</b>	1) Question #7: Please explain how the \$568,635 in Operation Expenses correlate to Table 1 and Table 2 reported expenditures of \$612,140?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) See note above regarding expenditures.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures</i>	3) For the Fremont Paratransit program, line 4, please indicate a quantity of contacts made while using \$100,000 to maintain an outreach program. 4) <b>Column A:</b> please complete this column for all line items.	Comments #3 and 4: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	5) Please provide project details in the Table Section 1 expandable group area. The line item appears to be manually entered outside of the section. Use the expandable group and enter the projects that make up the \$537,237.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Reserve</u>	N/A. No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	6) Please provide project details in the Table Section 3 expandable group area. The line item appears to be manually entered outside of the section. Use the expandable group and enter the projects that make up the \$363,000.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	N/A. No Comments.	N/A.

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**City of Hayward**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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February 15, 2013

John Hemiup, P.E.  
Alameda County Transportation Commission  
1333 Broadway, Suites 220 & 300  
Oakland, CA 94612

**Subject: Responses to a Request for Additional Information Pertaining to the FY 2012 Measure B/VRF Compliance Reports & Audits for the City of Hayward**

Dear John,

Per Alameda County Transportation Commission's letter to the City of Hayward dated 2/5/13, which noted items related to the City of Hayward's Measure B/VRF Compliance Reports and audits for Fiscal Year 2012 that needed further explanation, I have supplied responses below to the issues that were raised in the attachment:

**Request for Information: Bicycle and Pedestrian Funds**

**Financial Audit:**

- 1) Comment: It appears Measure B Interest is being charged on the Bicycle and Pedestrian. This does not seem appropriate unless it is a GASB 31 adjustment. Please explain the interest value, and why it is negative.

Answer: The negative interest was due to a GASB 31 adjustment; the fund earned \$1,711 in interest, but incurred a GASB 31 adjustment of \$1,922, which resulted in a negative interest amount of \$211.

- 2) Comment: B&P expenses on table 1 do not tie to the financial statements nor does the fund balance. Please explain.

Answer: Due to the nature of the form (Table 1), it did not allow for a totaling of additional expenditures or the determination of a final fund balance. In other words, revenues/ expenditures from Column L could not be added to either Column D (expenditures) or Column E (Ending Fund Balance). In this case, the expenditures noted in Column D (\$594,537) were to be added to Column L (\$1,386) to arrive at the grand total of \$595,923 (as noted on the financial statement). Likewise, Column L (\$1,386) should have been added to Column E (\$317,037) to arrive at the fund balance of \$315,651, which is the amount noted in the financial statement.

Table 1 (Revenues and Expenditures):

**DEPARTMENT OF PUBLIC WORKS  
ENGINEERING AND TRANSPORTATION**

- 3) Comment: Column M&N: Please indicate the SR2S revenue that corresponds with the reported expenditure in these columns.

Answer: The amount of \$1,386 associated with this project is a “negative revenue” from a project which was completed in a prior fiscal year. However, this amount was included as an expenditure in the audited financial. The “negative revenue” was the reversal entry of an accrual booked in Fiscal Year 2011 in error. Since Fiscal Year 2011 was closed, the reversal was booked in Fiscal Year 2012. This amount has since been moved to Column M (non-Measure B Revenue) on the revised, attached version of Table 1 for this section. Furthermore, this amount, as well as the project itself, was removed from the revised attached version of Table 2 for this section.

Table 2 (Summary of Expenditures and Accomplishments):

- 4) Comment: Project 5109, D Street Sidewalks – Column H and I: Please use linear feet to describe sidewalk improvements.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 5) Comment: For all sidewalk improvement projects – Column H and I: Please enter the quantity of bike lane delivered in lane miles.

Answer: Noted and changed in the revised, attached version of Table 2 for this section. Please note that this change applies to all sidewalk-related projects except for the Fiscal Year 2013 New Sidewalk project, which is under design.

- 6) Comment: Whitman Street Bike Lane – Column H and I: Please enter the quantity of bike lane delivered in lane miles.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 7) Comment: Pedestrian Crossing Improvements – Column B: Change “Other” to PS&E or Scoping if not in construction.

Answer: This is an annual, ongoing project pertaining to the installation or repair of countdown timers, ADA-compliant push buttons, and audible traffic signals; therefore, PS&E or Scoping would not be appropriate choices in Column B to accurately reflect the nature of this project.

Table 3 (includes Sections 1-4):

- 8) Comment: Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocate FULL FY 12/13 Revenue (FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$553,000 of \$713,457.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

#### **Request for Information: Local Streets and Roads Funds**

Financial Audit:

- 1) Comment: It appears Measure B Interest is being charged on the LSR. This does not seem appropriate unless it is a GASB 31 adjustment. Please explain the interest value, and why it is negative.

Answer: The negative interest was due to both a GASB 31 adjustment as well as negative fund balance levels for most of Fiscal Year 2012. Interest is deposited into each fund on a quarterly basis. During a majority of the time when interest was calculated in Fiscal Year 2012, large payments to contractors occurred just prior to the calculation, thereby temporarily driving the fund negative. For Fiscal Year 2012, the fund earned -\$1,279 in interest and also incurred a GASB 31 adjustment of \$4,600, which resulted in a negative interest amount of \$5,879. When added to the negative fund adjustment of \$5,000, which will be explained in item 3 below, the total amount (\$10,879) equals the amount noted in the "Use of Money and Property" section of the audit.

Compliance Report:

- 2) Comment: Question #7: In regards to the Whitman Project, is this a bike/pedestrian fund project? It is indicated that this project received Board approval in the bike/pedestrian compliance section.

Answer: This section was inadvertently placed in the Local Streets and Roads portion of the Compliance Report. The narrative has since been moved to the Bicycle and Pedestrian section as noted in the revised, attached version of the Report. Furthermore, Table 2 for this item was revised by changing the answer for "Did the Governing Board Approve this Project" from "Yes" to "No".

Table 1 (Revenues and Expenditures):

- 3) Comment: Please explain the negative value entered in Column K & L: Non-Measure B, and how it corresponds to Table 2 Expenditures.

Answer: The negative revenue amount of \$4,700 (which is a composite of sales of plans and specifications in the amount of \$300 subtracted from a negative fund adjustment of \$5,000) has no direct correlation to expenditures out of this fund, which are balanced and accounted for between Tables 1 and 2. The fund adjustment of \$5,000 reflects a deposit into Measure B that was booked in error during Fiscal Year 2010. The negative revenue is the reversal entry of this revenue amount.

Table 2 (Summary of Expenditures and Accomplishments):

- 4) Comment: Pavement Reconstruction FY 2012 (Project 5127) – Column H, I, and J: Please describe the quantity delivered.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 5) Comment: Pavement Rehabilitation FY 2012 (Project 5129) – Column H, I, and J: Please describe the quantity delivered.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

Table 3 (includes Sections 1-4):



- 6) Comment: Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocate FULL FY 12/13 Revenue (FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$2,217,000 of \$2,750,215.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

- 7) Comment: The City has identified \$1.3 million for the PS&E Phase for Pavement Rehab FY14 – Danforth Lane, Grasmere Place, Harvest Ct, Linfield Lane, Peterman Ave, Seabreeze Ct, Thornwall Lane, and Victory Dr. Is this an accurate funding plan or should this be identified as a construction project.

Answer: Both the Fiscal Year 2014 pavement rehabilitation project and the Fiscal Year 2014 pavement rehabilitation project were sub-divided into two phases (PS&E and construction).

### **Request for Information: Paratransit Funds**

#### **Financial Audit:**

- 1) Comment: Please explain the Transfer to City in the audit.

Answer: The transfer of \$14,270 from the Paratransit Program was comprised of the following: a transfer of \$3,138 to the City's Liability Insurance Fund, which covered the program's share of general liability insurance expense for Fiscal Year 2012; and \$11,132, which was the Paratransit program's Fiscal Year 2012 share of cost allocation for administrative support for Accounting, Human Resources, Legal, and Information Technology. This cost is distributed proportionately across all programs.

#### **Compliance Report:**

- 2) Comment: Hayward does not list the number of times they travel seniors and disabled residents as part of their paratransit and other related transportation services. They report almost \$500k in expenditures. Knowing the cost/trip would be useful. Please provide this detail – see Table 2 notes below.

Answer: Noted and changed in the attached, revised version of Table 2 for this section.

#### **Table 1 (Revenues and Expenditures):**

- 3) Comment: On Table 1 are there no fare revenues from door-to-door or group trips?

Answer: Noted and changed in the revised, attached version of Table 1 for this section.

#### **Table 2 (Summary of Expenditures and Accomplishments):**

- 4) Comment: Please list the number of passengers traveled using the various types of services. Absent that information, a full analysis cannot be made of the paratransit commitment of Funds.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 5) Comment: Hayward Door to Door Service – Column H: Please enter a quantity of trips provided.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 6) Comment: Hayward Paratransit Group Trip Program – Column H: Please enter a quantity of trips provided.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 7) Comment: ASEB – Column H: Please enter a quantity of trips provided.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

- 8) Comment: SOS Meals on Wheels – Column H: Please enter a quantity of meals provided.

Answer: Noted and changed in the revised, attached version of Table 2 for this section.

Table 3 (includes Sections 1-4):

- 9) Comment: Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocate FULL FY 12/13 Revenue (FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$882,500 of \$1,485,423.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

#### **Request for Information: Vehicle Registration Fee Funds**

Financial Audit:

- 1) Comment: Financial statements include \$125 on non-VRF revenue. Ending balance does not match Table 1.

Answer: Due to the nature of the form (Table 1), it did not allow for a totaling of a final fund balance. In other words, revenues from Column K could not be added to Column E (Ending Fund Balance). In this case, the revenues noted in Column K (\$125) were to be added to Column E (\$731,460) to arrive at the grand total of \$731,585 (as noted on the financial statement, allowing for a rounding difference of \$1).

Table 1 (Revenues and Expenditures):

- 2) Comment: \$125 included as non-VRF revenue, but listed on the financial statement. Is this tied to any VRF funded project reported in FY 11/12? What is it used for?

Answer: The amount of \$125 is associated with the sale of plans and specifications for Project 5195, which is the Pavement Rehabilitation Fiscal Year 2013 - Districts 4 & 5 project.

- 3) Comment: Financial statement ending balance does not match Table 1.

Answer: Please refer to answer provided in item #1 above.

Table 3 (includes Sections 1-4):

- 4) Comment: Not in compliance with Timely Use of Funds/Reserve Policy. Agency needs to allocate FULL FY 12/13 Revenue (FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue) to the appropriate Reserve Funds. Currently, only identifies \$1,049,000 of \$1,473,724.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

- 5) Comment: Please include a project identifier for each project i.e. CIP #123 to enable tracking.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

- 6) Comment: See note above. Please transfer FY13/14 to FY15/16 planned projects from FY12/13 Planned Projects (unreserved funds) to reserve funds. Please revise Table 3 so the sum of projects cost equals FY12/13 Revenue total of \$1.473M.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

- 7) Comment: Please also complete the agency approval column and explain as applicable, why a particular activity is not approved and when approval can be expected.

Answer: Noted and changed in the revised, attached version of Table 3 for this section.

If you have any questions or need additional information, please contact me at (510) 583-4733.

Sincerely,



Todd Strojny  
Administrative Analyst II  
Public Works – Engineering and Transportation Department

Attachments: Revised Fiscal Year 2012 Measure B & VRF Compliance Reports for the City of Hayward  
Revised Tables 1-3 (Bicycle and Pedestrian)  
Revised Tables 1-3 (Local Streets and Roads)  
Revised Tables 1-3 (Paratransit)  
Revised Tables 1 & 3 (Vehicle Registration Fee)

## City of Hayward Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) It appears Measure B interest is being charged on the Bicycle and Pedestrian. This does not seem appropriate unless it is a GASB 31 adjustment. Please explain the interest value, and why it is negative. 2) B&P expenses on table 1 do not tie to the financial statements nor does the fund balance. Please explain.	1) Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. 2) Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Rpt</b>	No Comments.	Not Applicable.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) <b>Column M &amp; N:</b> Please indicate the SR2S revenue that corresponds with the reported expenditure in these columns.	3) Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	4) <b>Project 5109, D Street Sidewalks</b> <b>Column H and I:</b> Please use linear feet to describe sidewalk improvements. 5) <b>For all sidewalk improvement projects,</b> <b>Column H and I:</b> Please enter the quantity of sidewalks delivered. 6) <b>Whitman Street Bike Lane</b> <b>Column H and I:</b> Please enter the quantity of bike lane delivered in lane miles. 7) <b>Pedestrian Crossing Improvements</b> <b>Column B:</b> Change "Other" to PS&E or Scoping if not in Construction	4) Comments #4-7: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	8) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$553,000 of \$713,457.	8) Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See Above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	See Above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See Above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See Above.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) It appears Measure B interest is being charged on the LSR. This does not seem appropriate unless it is a GASB 31 adjustment. Please explain the interest value, and why it is negative.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	2) Question #7: In regards to the Whitman Project, is this a bike/pedestrian funded projects? It is indicated that this project received Board approval in the bike/pedestrian compliance section.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) Please explain the negative value entered in Column K & L: Non-Measure B, and how it corresponds to Table 2 Expenditures.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	4) <b>Pavement Reconstruction FY 2012 (Project 5127)</b> Column H, I & J: Please describe the quantity delivered.  5) <b>Pavement Rehabilitation FY 2012 (Project 5129)</b> Column H, I & J: Please describe the quantity delivered.	Comments #4 and 5: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	6) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$2,217,000 of \$2,750,215.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	7) The City has identified \$1.3 million for the PS&E Phase for Pavement Rehab FY14 - Danforth Lane, Grasmere Place, Harvest Ct, Linfield Lane, Peterman Ave, Seabreeze Ct, Thornwall Lane, & Victory Dr. Is this an accurate funding plan or should this be identified as a construction phase?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A.

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) Please explain the Transfer to City in the audit.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	2) Hayward does not list the number of times they travel seniors and disabled residents as part of their paratransit and other related transportation services. They report almost \$500k expenditures. Knowing the cost / trip would be useful. Please provide this detail see Table 2 notes below.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) On Table 1 are there no fare revenues from door-to-door or group trips?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>4) Please list the number of passengers traveled using the various types of services. Absent that information a full analysis cannot be made of the paratransit commitment of funds.</p> <p>5) <b>Hayward Door to Door Service</b> <b>Column H:</b> Please enter a quantity of trips provided.</p> <p>6) <b>Hayward Paratransit Group Trip Program</b> <b>Column H:</b> Please enter a quantity of trips provided.</p> <p>7) <b>ASEB</b> <b>Column H:</b> Please enter a quantity of trips provided.</p> <p>8) <b>SOS Meals on Wheels</b> <b>Column H:</b> Please enter a quantity of meals provided.</p>	Comments #4-8: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	<p><b>Not in compliance with Timely Use of Funds/Reserve Policy.</b></p> <p>Agency needs to allocate FULL FY 12/13 Revenue (<i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i>) to the appropriate Reserve Funds.</p> <p>Currently, only identifies \$882,500 of \$1,485,423.</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See Above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	See Above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See Above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See Above.	N/A.

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**City of Livermore**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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**City of Livermore Measure B Audit Report and Compliance Report for Fiscal Year 2011-2012**

**Request for Additional Information Dated February 5, 2012**

**RESPONSES TO INQUIRIES:**

**Bike and Pedestrian – Financial Audit - Comment 1**

Column G shows \$461 expenditures which represent FY 2008-2009 project staff costs charged to CIP 580001 Railroad Depot Relocation Fund 686 ACTIA Pedestrian Downtown Transit Center grant fund. The costs were not requested for reimbursement under the grant. The City will use Measure B pass through funds to cover the charges in Fiscal Year 2012-2013.

**Bike and Pedestrian - Compliance Report - Comment 2**

Acknowledged

**Bike and Pedestrian - Compliance Report - Table 1 - Comment 3**

See Comment 1 above

**Bike and Pedestrian – Compliance Report - Table 2 - Comment 4**

The project status was incorrectly noted as “planning/scoping” phase. Project construction commenced in Fiscal Year 2011-2012. Construction was completed in Fiscal Year 2012-2013. Status of the project at the end of Fiscal Year 2011-2012 was “on going”. Table 2 has been amended to show correct project status. Quantity is correct as shown.

**Bike and Pedestrian - Compliance Report – Table 2 - Comment 5**

See Comment 1 above. Note that the correct amount is \$461.

**Bike and Pedestrian - Compliance Report – Table 3 - Comment 1**

The Transfer to the General Fund is used to cover direct costs associated with Bike and Pedestrian Capital Projects. Eligible uses for Measure B funds include all phases of projects including feasibility studies, planning and environmental work. The Transfer to the General Fund is used to cover staff efforts related to these activities for new bike and pedestrian facilities.

### **LSR - Financial Audit - Comment 1**

The \$2.88 million is comprised of three reimbursement requests as follows:

Actia project #24, Agreement A070053, Request No. 4 Des&ROW	\$41,572.26
Actia project #23, Agreement A080045, Request No. 8 Con Cap	\$1,780,156.89
Actia project #23, Agreement A070053, Request No. 9 Con Cap	\$1,063,372.38
<b>Total</b>	<b>\$2,885,101.53</b>

The \$96,306 in Column M includes \$41,572 reimbursement received from ACTC, and \$54,734 of expenses in our books that were not claimed for reimbursement by June 30, 2012.

### **LSR - Financial Audit - Comment 2**

The financial statements reconcile to Table 1 and Table 2 as follows:

#### Financial Statement:

Total Expenditures:	\$920,663
Transfers Out:	\$2,888,529
Total Per Financial Statement:	\$3,809,192

#### Compliance Report Table 1:

Column D:	\$869,357
Column G:	\$2,939,835
Total Per Compliance Report:	\$3,809,192

#### Compliance Report Table 2:

Column L:	\$869,357
Column M:	\$2,939,835
Total Per Compliance Report:	\$3,809,192

**LSR - Compliance Report – Table 1 - Comment 3**

See LSR Comment 2 above.

**LSR - Compliance Report – Table 2 - Comment 4**

Sidewalks in the City of Livermore vary in width from 4 to 12 feet wide. The Sidewalk Repair Program tracks quantities of repaired sidewalk in square feet. To comply with the request to report the quantities in linear feet, we have assumed an average width of 5 feet and calculated the estimated quantity of linear feet repaired. Table 2 has been amended to include the estimated linear feet for CIP 201102 at 2,488 linear feet.

**LSR - Compliance Report – Table 2 - Comment 5**

Attached is a copy of the slurry seal quantities spreadsheet identified as Exhibit 1. The total quantity per the spreadsheet was 3,850,447 square feet. The quantity determined in the design process (using AutoCAD) was a little less at 3,755,128 square feet.

**LSR - Compliance Report – Table 2 - Comment 6**

Attached is a copy of the Street Resurfacing quantities spreadsheet identified as Exhibit 2. The length, width and area of all overlay streets is indicated with the sum total of all street area indicated at the bottom. The total is 1,433,438 square feet.

**LSR - Compliance Report – Table 2 - Comment 7**

Sidewalks in the City of Livermore vary in width from 4 to 12 feet wide. The Sidewalk Repair Program tracks quantities of repaired sidewalk in square feet. To comply with the request to report the quantities in linear feet, we have assumed an average width of 5 feet and calculated the estimated quantity of linear feet repaired. Table 2 has been amended to include the estimated linear feet for CIP 201202 at 3,000 linear feet.

**LSR - Compliance Report - Table 3 - Comment 8**

Eligible uses for Measure B funds include all phases of projects including feasibility studies, planning and environmental work (Section 5-1-b-1a). The Transfer to the General Fund was used to cover staff efforts related to these activities in Fiscal Year 2011-2012. Activities included the pavement management program, traffic control planning and interconnection (Section 5-3), fiscal tracking and compliance reporting (Section 5-5), coordination with the local bus service provider (LAVTA) and the commuter rail service (ACE) - Section 5-4.

**VRF - Local Streets and Roads – Table 3 – Comment 9**

We have moved the funds indicated for CIP 201404 for Fiscal Year 2014-2015 (\$73,273) under FY 12-13 VFR Planned Projects into the VFR Capital Fund Reserve.

**VRF Local Streets and Roads – Table 3 – Comment 10**

We have moved the funds indicated for CIP 201404 for Fiscal Year 2014-2015 (\$73,273) under FY 12-13 VFR Planned Projects into the VFR Capital Fund Reserve.

**VRF Local Streets and Roads – Table 3 – Comment 11**

Eligible uses for Measure B funds include upgrades and improvements to bike routes and multi-use pathways and maintenance of same as outlined in 5-2-B-1 items J and K. The work on this project (CIP 200248) includes pavement resurfacing, reconstruction of damaged bike routes and trails and minor alterations necessary to comply with the City's Complete Streets Policy which was adopted by the City Council on January 28, 2013.

**VRF Local Streets and Roads – Table 3 – Comment 12**

Acknowledged.

## City of Livermore Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) Grant on Table 1: Column G does not tie to financial statement and does match our records. Please provide details on the reimbursed invoice amounts that make up this grant.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	2) On the cover/signature page of the whole compliance report, do not need to check Mass Transit or Paratransit boxes on cover sheet; Livermore not submitting those programs.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) See audit note.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>4) <b>Livermore to Pleasanton Arroyo Trail</b> Column H and I: Since this project is in the scoping phase, no quantity should be indicated as completed.</p> <p>5) <b>Railroad Depot Relocation</b> <b>Column M:</b> Please explain where the \$491 other Measure B comes from. See audit note above.</p>	Comment #4 and 5: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	1) Please further define and demonstrate how the "Transfer to General Fund" scope meets the requirement of the Section 5-2-b (eligible uses) of the Master Programs Funding Agreement.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) The reported other Measure B Table 2: Column M does not match our grant records. What is the fund source of the Isabel Transfer (approximately \$2.88 million)? 2) Table 1 & Table 2 for LSR expenses do not match financial statements.	Comment # 1 and 2: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) <b>Column D &amp; G:</b> See Audit note regarding expenditures. Please explain or correct expenditures to match the financial audit.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	4) <b>2011 Sidewalk Repair Program</b> <b>Column H, I &amp; J:</b> Please describe the quantity in linear feet. 5) <b>2011 Slurry Seal Project</b> <b>Column H, I &amp; J:</b> Please confirm accuracy of 3,750,000 square feet quantity. 6) <b>2011 Street Resurfacing Project</b> <b>Column H, I &amp; J:</b> Please confirm accuracy of 1,400,000 square feet quantity. 7) <b>2012 Sidewalk Repair Program</b> <b>Column H, I &amp; J:</b> Please describe the quantity in linear feet.	Comment # 4 and 7: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	8) Please further define and demonstrate how the "Transfer to General Fund" scope meets the requirement of the Section 5-2-b (eligible uses) of the Master Programs Funding Agreement.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A.
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.



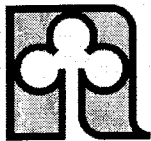
**City of Newark**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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**CITY OF NEWARK, CALIFORNIA**

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37101 Newark Boulevard • Newark, California, 94560-3976 • (510)578-4310

February 14, 2013

John Hemiup  
Alameda County Transportation Commission  
1333 Broadway, Suites 220  
Oakland, CA 94612

Dear Mr. Hemiup:

In regards to your compliance report review dated February 5, 2013, here are the City's responses:

- 1) The \$60,000 expenditure (for Project 1002-2012 Curb, Gutter, and Sidewalk Replacement) is correctly reflected in both the compliance report and financial audit report under Local Streets and Roads – there was no transfer to the Bike and Pedestrian fund.
- 2) We acknowledge that the FY11/12 financial audit report includes \$13,265 of Paratransit ticket revenue paid by senior citizens and \$1,980 of non-Measure B reimbursement revenue – for future financial audit reports, we will exclude such non-Measure B revenue.
- 3) We have made the requested adjustments to Tables 2 and 3 to address the items noted in the Request for Information Letter (i.e. updating unit quantities, noting city project approval, identifying the FY 12-13 reserve revenues fittingly to the anticipated projections, etc.).

Thank you,

Susie Woodstock  
Administrative Services Director

cc: John Nguyen, Alameda CTC

## City of Newark Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) The use of LSR funds of \$60,000 on bike/pedestrian activities is not shown in the financial statement. Please clarify the use.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	2) <b>Project 1002</b> Column H and I: Please use linear feet to describe sidewalk quantity.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	Please indicate City Approval next to each identified project. Enter yes or no in the column.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	3) The transfer to B&P from LSR fund of \$60K is not shown on the financial statement. 4) Financial Statement includes \$1,980 of revenue from AT&T, not MB revenue.	Comments #3 and 4: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Rpt</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	5) Rows 1 and 6 enter an appropriate Project phase in Column (B) i.e. sidewalks are in construction, right-of-way, etc. Please use	Comments #5 and 6: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

	the pull down menu options.	
	6) Rows 1, 3 and 6 enter quantities Column (H) and units Column (I)	
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure Planned Projects</u>	No Comments.	N/A.
<u>Section 2: Capital Fund Reserve</u>	7) The City allocates more than the estimated FY 12/13 Revenue. Please revise the reserves to allocate only the amount identified as your FY 12/13 Revenue, which is \$797,547.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund</u>	No Comments.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) Paratransit financial statement includes \$13,265 for charges for services which is not MB revenue. 2) Fund balance on Paratransit Table 1 does not tie to financial statements due to fares being included in financial statement.	Comments #1 and 2: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1: Revenues &amp; Expenditures</b>	3) <b>Column E:</b> Ending Pass-through Balance does not match the financial audit due to inclusion of non-Measure B revenue. See audit notes.	
<b>TABLE 2: Expenditures and Accomplishments</b>	No Comments.	N/A.
<b>TABLE 3</b>	<b>4) Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$66,497 of \$211,305.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure Planned Projects</u>	See note above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	See note above.	N/A.
<u>Section 3: Operations Fund</u>	See note above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See note above.	N/A.

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**City of Oakland**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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# CITY OF OAKLAND



DALZIEL BUILDING . 250 FRANK H. OGAWA PLAZA . SUITE 4344 . OAKLAND . CALIFORNIA . 94612  
Public Works Agency TEL: (510) 238-3466  
Transportation Planning & Funding Division FAX: (510) 238-7415

## **Response to Comments Alameda County Transportation Commission Compliance Report, Fiscal Year FY 2012/13 February 20, 2013**

### **Bicycle and Pedestrian Questions**

#### Financial Audit

- 1) Other Measure B Local Streets and Roads used on this program is not indicated in the Financial Statement. Please provide an explanation of how these funds appear on the financial statement. **\$1,049,501 of Measure B Local Streets and Roads Funds used for Bike and Ped purposes are accounted for on the financial statement under the LS&R program.**
- 2) Please explain how and where the Other Measure B discretionary grant funds are being accounted for in the financial statement. **The City recognizes that \$414,468 in other Measure B fund (Bike and Ped Discretionary Grant funds) are not accounted for in the audit. In the future, Other Measure B dollars will be separated from pass-through and included in subsequent Financial Audits.**

#### Compliance Report

##### Table 1:

- 3) Question #13; please provide additional information on the \$100,000 reimbursement? Why is this being reimbursed? How is this accounted for in the financial audit? **The 8<sup>th</sup> Street Gap Closure Project, closed out in FY 10/11, was initially budgeted to be funded with both Measure B and \$100,000 of Redevelopment Agency Funds, but all project expenses through FY 10/11 were paid with Measure B funds. In FY 11/12 a reimbursement was made from Redevelopment funds, and is reflected as a negative expenditure (credit) on Table 1 and Table 2, reducing net expenditures from \$747,309 to \$647,309. This is also accounted for in the financial audit.**



- 4) Column C: includes other funds. This should only include interest. **The table is corrected to include interest of \$7,590 only. The entry previously included \$1,185 in “other” funds, representing two PG&E refund checks related to Measure B funded traffic signal projects. Table 1, Column D and Table 2, Column L (Measure B Expenditures) have been amended to reflect this other income as a negative expenditure (credit) in the Ped Safety Improvement Project.**

**The total amount was included in the financial audit as “interest and other income” following the format of previous audits, and therefore the audited Measure B Pass Through Expenditures are \$1,185 higher than the expenditures detailed in Table 1 and 2. Future audits will be corrected to include only interest income and correct this discrepancy.**

- 5) How is the \$100,000 reimbursement (noted above) accounted for in Table 1? **(see answer #3)**

Table 2:

- 6) City Sidewalk Repairs: Please use linear feet to describe sidewalk quantity. **The table is revised accordingly.**
- 7) Bikeways Implementation and Improvement – **entry unchanged, comment n/a according to ACTC staff (per John Nguyen)**
- 8) Line 1; please provide additional information on the \$100,000 reimbursement? How is this accounted for in the financial audit? **(see answer #3)**

Table 3:

- 9) The amount identified in Table 3, exceed the anticipated FY 12/13 Revenue Total. Currently identifies \$4,372,230 of \$4,379,000, which is approximately \$7,000 over. Please revise and allocate only the amount anticipated for FY 12/13 revenue. **Revised as requested**
- 10) Despite identifying reserve funds and plans for projects Oakland still has a MB reserve of approximately \$3.3 – bicycle pedestrian, \$7.4 million Local Streets and Roads, and \$.06 million – paratransit (\$10.7 million across all programs). Please provide an explanation on why this occurs and any plans to spend down the reserves. **In the Bicycle and Pedestrian fund, Oakland had an ending fund balance of \$3.3 million, or approximately three years of funding. The City acknowledges this reserve amount and is taking steps to quickly but responsibly expend these funds on projects activities. The City has experienced project delays proceeding with a few large projects and programs, including sidewalk repair, bicycle facility design and construction, and pedestrian/bike safety (ped signals) projects. For each of these major categories, we expect projects to be fully encumbered in FY 12/13, with construction occurring in FY 12/13 and FY 13/14.**

## Section 1: FY 12/13 Measure Planned Projects

- 11) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. **Revised as requested. Projects and Programs are approved in the biannual budget (currently FY11/12-12/13) and Capital Improvement Plan.**

## Section 2: Capital Fund Reserve

- 12) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. **Revised as requested. Projects and Programs are approved in the biannual budget (currently FY11/12-12/13) and Capital Improvement Plan. Some projects are projected to be approved in the FY 13/14-14/15 Budget currently under development.**

## Section 3: Operations Fund Reserve

- 13) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. **Revised as requested, an operating fund reserve is projected to be approved in the FY 13/14-14/15 Budget**

## Local Streets and Roads Questions

### Financial Audit

- 1) **N/A according to ACTC Staff (per John Nguyen)**
- 2) **N/A according to ACTC Staff (per John Nguyen)**

### Table 1: Revenues and Expenditures

- 3) Column C includes other funds. This should only include interest. **Revised as requested; the table is corrected to include interest of \$20,269 only.**

**An additional \$25,294 in "other" funds was previously included in this category, representing credits and reimbursements received for Measure B projects. The majority (\$18,767) represents a credit from a contractor for equipment provided by Oakland for a Measure B funded project (Transportation Management Center Installation), and \$6,527 represents a reimbursement for Citywide Sidewalk Repairs. This has adjusted in Table 1 Column D and Table 2 Column L (Measure B Expenditures) as a negative expenditure (credit) for those projects.**

**The total amount was included in the financial audit as "interest and other income" following the format of previous audits, and therefore the audited Measure B Pass**

**Through Expenditures are \$25,294 higher than the expenditures detailed in Table 1 and 2. Future audits will be corrected to include only interest income and correct this discrepancy.**

Table 2: Summary of Expenditures and Accomplishments

- 4) Traffic Signal Controller: Column H & I: is the quantity listed 701 or 4 as noted in the description? please revise to be consistent. **Revised to be more specific; 701 individual items were purchased (item totals from purchase orders) for the traffic signal controller program.**
- 5) Citywide Stair/Path project: Please use linear feet to describe quantity. **Revised as requested; approximately 114 linear feet of stairways were constructed**
- 6) LED Traffic Signal Replacement: What does 729 represent? **The number represents the number of individual items that were purchased (item totals from purchase orders) for the LED Traffic Signal Replacement program)**
- 7) Citywide Program to upgrade curb ramps: Please indicate the number of square feet constructed, and place 238 curb ramps quantity in Column J. **Revised as requested; the square footage totals approximately 35,700.**
- 8) City Program to Repair Sidewalks: Please use linear feet to describe sidewalk quantity. **Revised as requested; approximately 17,118 linear feet of sidewalk were repaired.**
- 9) Traffic Signal Capital Replacement: Please indicated # of intersections in Column H and Change Column I. **Not revised as requested; this project was in the design phase during FY 11/12, so 0 was entered as a quantity completed. In Column L we indicated that there are 13 intersections that are being designed, and will be reported on in FY 12/13.**
- 10) Citywide Program to Maintain signals: What does 262 represent? **The number represents the number of individual items that were purchased (item totals from purchase orders) for the Traffic Signal Capital Replacement program)**

Table 3

- 11) The City allocates more than the estimated FY 12/13 Revenue. Please revise the reserves to allocate only the amount identified as your FY 12/13 revenue, which is \$16,513,444. Currently allocates \$16,823,000, which is approximately \$300,000 over. **Revised as requested**
- 12) Despite identifying reserve funds and plans for projects Oakland still has a MB reserve of approximately \$3.3 – bicycle pedestrian, \$7.4 million Local Streets and Roads, and \$.06 million – paratransit (\$10.7 million across all programs). Please provide an explanation on why this occurs and any plans to spend down the

reserves. **In the Local Streets and Roads fund, Oakland had an ending fund balance of \$7.36 million, or less than one year of funding. The City has spent down our reserve funds significantly in recent years and continued this positive trend in FY 11/12, spending \$9.6 million while receiving \$8.8 million in pass-through funds. Funds in this category are fully encumbered to projects and programs. The City expects the fund balance to continue to decline in FY 12/13.**

- 13) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. **Revised as requested. Projects and Programs are approved in the biannual budget (currently FY11/12-12/13) and Capital Improvement Plan.**

#### Section 2: Capital Fund Reserve

- 14) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. **Revised as requested. Projects and Programs are approved in the biannual budget (currently FY11/12-12/13) and Capital Improvement Plan. Some projects are projected to be approved in the FY 13/14-14/15 Budget currently under development.**

#### Section 3: Operations Fund Reserve

- 15) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. **Revised as requested, an operating fund reserve is projected to be approved in the FY 13/14-14/15 Budget**

#### Section 4: Undesignated Fund Reserve

- 1) In the Unreserved funds, Oakland lists over \$1.6 million as being used for non-project specific expenses. What are these? Staffing? Please provide additional detail. **In Measure B Planned Projects (unreserved fund) for FY 12/13, the City lists a budget of \$1.5 million (revised) for Non-project specific expenses in traffic engineering, design, and construction. These costs are primarily project staff costs for transportation projects and programs that are not otherwise billed directly to individual Measure B projects. These include such activities as planning, scoping, preliminary development, community engagement, and other programmatic transportation tasks. This corresponds to line 2 of Table 2 (Non-Project Expenses – Engineering and Planning).**

## Paratransit Questions

### Financial Audit

- 1) Paratransit financial statement does not include \$25,000 in MSL Grant identified in Table 1 and 2. – **This will be singularly identified in future audits; however it is identified in the attached spreadsheet.**
- 2) Please provide additional detail on the Other Measure B Gap Fund in the amount of \$193,619. Include reference to related invoices and reimbursements. – **This total is representative of Gap Grants, Grocery Return Improvement Program Plus and Taxi Up & Go, of which are itemized with invoice numbers as requested in the attached spreadsheet.**
- 3) How is the MSL grant accounted for in the financial statement? **It is included in item Measure B GAP/Minimum Service Level Grant in the amount of \$218,619. This is comprised of \$193,619 in Gap Grants plus \$25,000 in MSL.**
- 4) Paratransit fund includes fare and other non Measure B revenue on the financial statement. – **Yes; however, we will adjust this in future audits. Other non Measure B revenue is identified as “Fares” as well as “Other”. “Other” is comprised majority of fares that were a late budget adjustment, plus a few other minor items that are outlined in Columns Q & R of Table 1.**

### TABLE 1: Revenues & Expenditures

- 5) Column D: Paratransit expenditures on Table 1 netted with other revenue. Pass-through expenditures appear to be mixed with non-Pass-through expenditures i.e. grants. This should only reflect pass-through expenditures; other expenditure amounts should be reported in the appropriate fields on Table 1. – **The Pass-through expenditures are separated from the mix of expenditures reported in the audit. The total amount is reflected in Table 1 & Table 2. The Measure B Pass-through expenditures total \$817,977.**
- 6) Column Q & R: Value of \$5,233- Is the \$5,241 noted in the Audit from the Sidewalk Repair reimbursement? – **No, the figure is not for Sidewalk Repair reimbursement. It is actually the mathematical result of processing Columns Q12 through Q14 (penalties, interest and unrealized gain loss) and an additional fare amount of \$5,232 that is not included in the audited fare amount of \$121,025.**

**In the revised Paratransit Table 1, the \$5,232 is added to the fare total in Column Q11.**

**which brings the fare total to \$126,257. Please note that this adjustment is also made in Columns Q & R on Table 2. The remaining revenue adjustment balance of \$9 is included in Table 2 Column Q and \$5,232 is added to the fare total in Column R, which comprises the \$5,241.**

TABLE 2: Summary of Expenditures and Accomplishments

- 7) Column D: please label different programs more descriptively. – **Item addressed in revised Table.**
- 8) Column H & I: Row 2, Customer Service and Outreach, please provide a quantity for “consumers trained”. – **Item addressed revised in Table.**

TABLE 3:

- 9) **Not in compliance with Timely Use of Funds/Reserve Policy.**  
Agency needs to allocate FULL FY 12/13 Revenue (FY11/12 Pass-through Balance + FY 12 /13 Estimated Pass-through Revenue) to the appropriate Reserve Funds.  
Currently, only identifies \$968,125 of \$1,028,437. – **Item addressed in revised Table. \$60,311 in Operations Fund Reserve was not included in the original submittal. Please note that adjustments have been made to all Tables to align the figures with the audit. This is attributed to mathematical functions in the spreadsheets that led to a \$1.00 discrepancy.**
- 10) Despite identifying reserve funds and plans for projects Oakland still have a MB reserve of approximately \$3.3 bicycle/pedestrian, \$7.4 million Local Streets and Roads, and \$.06 million paratransit (\$10.7 million across all programs). Please provide an explanation on why this occurs and any plans to spend down the reserves. - **Item addressed in revised Table. \$60,311 in Operations Fund Reserve was not included in the original submittal. It is now corrected to reflect an allocation towards base program operations.**

Section 1: FY 12-13 – Measure Planned Projects

- 11) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved. – **Approval status is “Yes” as outlined in the revised Table.**
- 12) Also provide additional detail on the project status. – **Item addressed in revised Table.**

Section 2: Capital Fund Reserve

- 13) See note above. – **N/A**

Section 3: Operations Fund Reserve

- 14) See note above. – **Item addressed in revised Table. \$60,311 in Operations Fund Reserve was not included in the original submittal.**

#### Section 4: Undesignated Fund Reserve

- 15) See note above. For the outstanding revenue balance, the undesignated fund can be used to account for that amount. – **The amount is allocated in Section 3 in the revised Table.**

## Vehicle Registration Fee Questions

### Table 3

Over allocates FY 12/13 Revenue. Currently, identifies \$3,718,166 of \$3,689,012 available of FY 12/13 Revenue. Please revise to allocate only the FY 12/13 projected revenue. **Revised as requested**

## City of Oakland Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	
<b>Financial Audit</b>	1) Other Measure B Local Streets and Roads used on this program is not indicated in the Financial Statement. Please provide an explanation on how these funds appear on the financial statement.  2) Please explain how and where the Other Measure B discretionary grant funds are being accounted for in the financial statement.	Comments # 1 and 2: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	3) Question #13; please provide additional information on the \$100,000 reimbursement? Why is this being reimbursed? How is this accounted for in the financial audit?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	4) <b>Column C:</b> includes other funds. This should only include interest. 5) How is the \$100,000 reimbursement (noted above) be accounted for in Table 1?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	6) <b>City Sidewalk Repairs</b> Column H and I: Please use linear feet to describe sidewalk quantity.  7) <b>Bikeways Implementation and Improvement</b> Column H and I: Please use linear feet to describe sidewalk quantity.  8) Line 1; please provide additional information on the \$100,000 reimbursement? How is this accounted for in the financial audit?	Comments #6-7: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	9) The amount identified in Table 3, exceed the anticipated FY 12/13 Revenue Total. Currently identifies \$4,372,230 of \$4,379,000, which is approximately \$7,000 over. Please revise and allocate only the amount anticipated for FY 12/13 Revenue (balance + projected revenue).  10) Despite identifying reserve funds and plans for projects Oakland still have a MB reserve of approximately \$3.3 – bicycle/pedestrian, \$7.4 million Local Streets and Roads, and \$.06 million – paratransit (\$10.7 million across all programs). Please provide an explanation on why this occurs and any plans to spend down the reserves.	Comments #9-10: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.



<u>Section 1: FY 12-13 Measure Planned Projects</u>	11) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	12) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund Reserve</u>	13) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A.

<b>LOCAL STREETS AND ROADS</b>	<b>COMMENTS</b>	
<b>Financial Audit</b>	1) The transfer to B&P from LSR fund of \$60K is not shown on the financial statement. 2) Financial Statement includes \$1,980 of revenue from AT&T, not MB revenue. Please explain or correct this.	Disregard Comments #1 and 2: These comments do not apply to Oakland.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1: Revenues &amp; Expenditures</b>	3) <b>Column C:</b> includes other funds. This should only include interest.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2: Summary of Expenditures and Accomplishments</b>	4) <b>Traffic Signal Controller</b> (line3) <b>Column H and I:</b> Is the quantity listed 701 or 4 as noted in the description. Please revise to be consistent.  5) <b>Citywide Stair/Path Project</b> (line 5) <b>Column H and I:</b> Please use linear feet to describe quantity in Column H and I.  6) <b>LED Traffic Signal Replacement</b> (line 11) <b>Column H and I:</b> What does the 729 represent?  7) <b>Citywide Program to upgrade curb Ramps</b> (line 24) <b>Column H and I:</b> Please indicate the number of square feet constructed, and place 238 curb ramps quantity in Column J.  8) <b>City Program to Repair Sidewalks</b> (line 25) <b>Column H and I:</b> Please use linear feet to describe sidewalk quantity.	Comments #4-10: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

	<p>9) <b>Traffic Signal Capital Replacement</b> (line 29) <b>Column H and I:</b> Please indicate # of intersections in Column H and Change Column I.</p> <p>10) <b>Citywide Program to maintain signals</b> (line 32) <b>Column H and I:</b> What does the 262 represent?</p>	
<b>TABLE 3</b>	<p>11) The City allocates more than the estimated FY 12/13 Revenue. Please revise the reserves to allocate only the amount identified as your FY 12/13 Revenue, which is \$16,513,444. Currently allocates \$16,823,000, which is approximately \$300,000 over.</p> <p>12) Despite identifying reserve funds and plans for projects Oakland still have a MB reserve of approximately \$3.3 – bicycle/pedestrian, \$7.4 million Local Streets and Roads, and \$.06 million – paratransit (\$10.7 million across all programs). Please provide an explanation on why this occurs and any plans to spend down the reserves.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter of responses.</p>
<u>Section 1: FY 12-13 Measure Planned Projects</u>	13) See above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	14) See above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	15) See above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	16) In the Unreserved funds, Oakland lists over \$1.6Mil as being used for non-project specific expenses (NPSE)? What are NPSE? Staffing? Please provide additional detail.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter of responses.

PARATRANSIT	COMMENTS	
<b>Financial Audit</b>	<p>1) Paratransit financial statement does not include \$25,000 in MSL Grant identified in Table 1 and 2.</p> <p>2) Please provide additional detail on the Other Measure B Gap Fund in the amount of \$193,619. Include reference to related invoices and reimbursements.</p> <p>3) How is the MSL grant accounted for in the financial statement?</p> <p>4) Paratransit fund includes fare and other non</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached letter of responses.

	Measure B revenue on the financial statement.	
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	<p>5) <b>Column D:</b> Paratransit expenditures on Table 1 netted with other revenue. Pass-through expenditures appear to be mixed with non-Pass-through expenditures i.e. grants. This should only reflect pass-through expenditures; other expenditure amounts should be reported in the appropriate fields on Table 1.</p> <p>6) <b>Column Q &amp; R:</b> Value of \$5,323 - Is the \$5,241 noted in the Audit from the Sidewalk Repair reimbursement?</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>7) Column D: please label different programs more descriptively.</p> <p>8) Column H &amp; I: Row 2, Customer Service and Outreach, please provide a quantity for "consumers trained".</p>	Comments #7 and 8. Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	<p>9) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue (<i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i>) to the appropriate Reserve Funds. Currently, only identifies \$968,125 of \$1,028,437.</p> <p>10) Despite identifying reserve funds and plans for projects Oakland still have a MB reserve of approximately \$3.3 – bicycle/pedestrian, \$7.4 million Local Streets and Roads, and \$.06 million – paratransit (\$10.7 million across all programs). Please provide an explanation on why this occurs and any plans to spend down the reserves.</p>	<p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.</p> <p>Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment. Please see attached response letter.</p>
<u>Section 1: FY 12-13 Measure Planned Projects</u>	<p>11) Please indicate Agency Approval status, and explain if applicable, when approval is expected for projects not approved.</p> <p>12) Also provide additional detail on the project status.</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	13) See note above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	14) See note above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	15) See note above. For the outstanding revenue balance, the undesignated fund can be used to account for that amount.	N/A.



**City of Piedmont**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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## John Nguyen

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**From:** Chester Nakahara [cnakahara@ci.piedmont.ca.us]  
**Sent:** Tuesday, February 26, 2013 9:13 AM  
**To:** John Nguyen  
**Cc:** mbichsel@ci.piedmont.ca.us; John Hemiup; 'JOHN WANGER'  
**Subject:** RE: Piedmont - Measure B Compliance Rpt

John,

Thank you for your quick response, and thank you for making the changes for us. John Wanger and I will be on this report well in advance next year. Please let me know if you have any questions.

Chester Nakahara  
Public Works Director  
City of Piedmont  
(510) 420-3050

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**From:** John Nguyen [mailto:JNguyen@alamedactc.org]  
**Sent:** Monday, February 25, 2013 3:40 PM  
**To:** Chester Nakahara  
**Cc:** mbichsel@ci.piedmont.ca.us; John Hemiup; JOHN WANGER  
**Subject:** RE: Piedmont - Measure B Compliance Rpt

Chester,

Thanks for the submittal. After reviewing the documents, the following changes are required.

### MB Local Streets and Roads

1. Table 1 (Cell B11): The MB Pass-through revenue reported - \$370,793, does not match the reported value in the audit - \$359,993. Cell B11 should be changed to match the audit's value of \$359,993. I have made this change for your review and approval.
2. Table 3: With the change to Table 1 above, it will change your FY 12/13 Projected Revenue and the amount allocated. After the change, the amount to identify is \$659,100, which is the amount you just happened to identify in the Capital and Undesignated Fund Reserve, probably because you're going off the comment recommendations. Therefore, no changes are required on your part. Please note there is a formula error in Cell C479 which adds the 3% inflated rate incorrectly (.103 verse the corrected 1.03). I have corrected this in the attached version.

For your convenience, I've already made the two changes to the attached document. I just need your concurrence to the changes. The other documents look satisfactory.

Thanks,

John Nguyen  
Alameda County Transportation Commission  
1333 Broadway, Suite 220  
Oakland, CA 94612  
(510) 208-7419  
[www.alamedactc.org](http://www.alamedactc.org)



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**From:** Chester Nakahara [mailto:cnakahara@ci.piedmont.ca.us]  
**Sent:** Monday, February 25, 2013 3:00 PM  
**To:** John Nguyen  
**Cc:** mbichsel@ci.piedmont.ca.us; John Hemiup; JOHN WANGER  
**Subject:** RE: Piedmont - Measure B Compliance Rpt

Mr. Nguyen,  
Attached please find our revised Measure B and Measure F Compliance Reports and spreadsheets as requested. I have also attached a PDF copy of the Revised Submittal Cover Sheet as requested. Please let me know if you have any questions regarding this matter. Thank you for your patience.

Chester Nakahara  
Public Works Director  
City of Piedmont  
(510) 420-3050

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**From:** John Nguyen [mailto:JNguyen@alamedactc.org]  
**Sent:** Thursday, February 21, 2013 8:58 AM  
**To:** Chester Nakahara  
**Cc:** mbichsel@ci.piedmont.ca.us; John Hemiup  
**Subject:** RE: Piedmont - Measure B Compliance Rpt

Hello Chester,

Per your request, we can allow a time extension for the revisions.

Please send us the FINAL Revised Compliance Reporting Forms, Signature pages(s), and response memo at your earliest convenience by **COB Monday February 25<sup>th</sup>**.

If you would like us to review the documents before your final transmittal, please feel free to send the DRAFTS to us for a quick review anytime between now and then.

Thanks,

John Nguyen  
Alameda County Transportation Commission  
1333 Broadway, Suite 220  
Oakland, CA 94612  
(510) 208-7419  
[www.alamedactc.org](http://www.alamedactc.org)

## City of Piedmont Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	No Comments.	N/A.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	N/A.
<b>TABLE 3</b>	1) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$129,852 of \$159,179.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See above.	N/A.
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A.



LOCAL STREETS AND ROADS	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A.
<b>Compliance Report</b>	<p>1) Question 11 &amp; 12: Piedmont notes there were no articles or website published during FY 11/12 due to no related expenditures. Please note Alameda CTC will monitor these publishing requirements in the next Compliance Report to ensure Piedmont is meeting the reporting requirements. Articles/Website information need to be published as an informational reference despite no expenditures</p> <p>2) Question #14: Response does not coincide with projects listed in Table 2. Please verify and explain.</p>	
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>3) <b>2012 Damaged Curb, Gutter, sidewalk and ramp replacement</b></p> <p><b>Column H:</b> Please describe sidewalk quantities in linear feet. You may include the current information in Column J, but we request sidewalk construction to be identified.</p>	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	<p>4) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue (<i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i>) to the appropriate Reserve Funds.</p> <p>5) Currently, only identifies \$288,307 of \$659,100. Please note the amount formulated in the FY 12-13 Revenue summary for the FY 12-13 Estimated Pass-through Revenue is incorrect. The value should be inflated by 3% or (Table 1 Column B value x 1.03). This equates to 370,793.</p>	Comments #4 and 5: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	6) Please add titles to all projects listed in Table 3.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A.
<u>Section 3: Operations Fund Reserve</u>	See above.	N/A.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A.

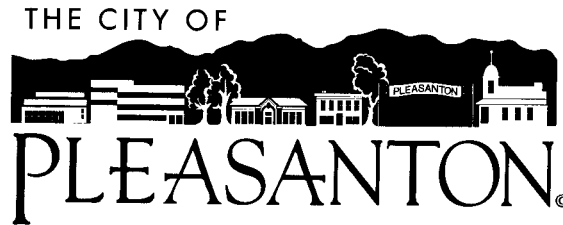


**City of Pleasanton**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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February 20, 2013

John Nguyen  
Alameda County Transportation Commission  
1333 Broadway, Suite 220  
Oakland, CA 94612

Dear Mr. Nguyen:

The City of Pleasanton is providing additional information and clarification below regarding the Measure B and VRF programs. Alameda CTC has requested this information in its status report letter dated February 5, 2013. In most cases we have updated the Compliance Report and Tables 1-3; however clarification or additional information has been provided in this response letter.

**Measure B-Bicycle and Pedestrian**

Compliance Report Question 1 – Credit was given for the bikeways map in Question 13 of the Compliance report and also in the newsletter titled “Your Measure B funding at Work.” The City of Pleasanton website also states that Measure B funding was used to prepare the Bikeways Map.  
<http://www.ci.pleasanton.ca.us/services/traffic/bike-ped.html>

Table 1 Revenue and Expenditures Question 2- The amount in column C is correct therefore no adjustment is needed.

Table 2 Summary of Expenditure and Accomplishments Question 3- The information in Table 2 has been updated to clearly reflect that only one ramp was installed.

Table 3 Section 3 Operations Fund Reserve – Table 3 has been updated to reflect that this project was agency approved and the date approval occurred.

**Measure B-Local Streets and Roads**

Table 2 Summary of Expenditure and Accomplishments Question 1- Table 2 has been updated to describe sidewalk quantities in linear feet.

Table 2 Summary of Expenditure and Accomplishments Question 2- Table 2 has been updated to reference Alameda CTC and not ACCMA.

**P. O. Box 520, Pleasanton, CA 94566-0802**

**Finance**  
(925) 931-5400  
Fax: 461-6855

**Human Resources**  
(925) 931-5048  
Fax: 931-5488

**123 Main Street**  
**Information Services**  
(925) 931-5083  
Fax: 931-5476

## **Measure B-Paratransit**

Financial Audit- For Fiscal Year 2012 the Measure B audit for Pass-through Paratransit Funds was combined with other Paratransit Funding. The audits have been completed this way since the City of Pleasanton began receiving Measure B funding for Paratransit. We have been informed by Alameda CTC that Measure B Pass-through and discretionary funds for both revenues and expenditures should be kept separate; therefore for Fiscal Year 2013 the City will create a separate fund for Pass-through funds which will clearly identify revenues and expenditures.

Table 1 Revenue and Expenditures Question 1- Measure B Pass-through revenues can be clearly identified in the Audit and the Compliance Report. Expenditures cannot be clearly identified due to the combining with discretionary funds, however for Fiscal Year 2013 and subsequent years, both revenues and expenditures will clearly be identified for Measure B Pass-through funds.

Table 3 FY12-13 Measure B Planned Projects Question 3- Table 3 has been updated to reflect agency approval of project.

## **Vehicle Registration Fee Report-Local Streets and Roads**

Table 3 Summary of Planned Projects and Reserves Question 1- Table 3 has been updated to identify the full FY12/13 revenues to the appropriate reserve funds.

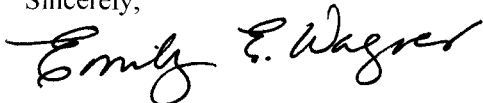
Table 3 Section 1: VRF FY12/13 Planned Projects Question 2- This section has been updated in Table 3 showing the expenditure of \$150,000 in FY12/13 as anticipated by the City of Pleasanton.

Table 3 Section 1: VRF FY12/13 Planned Projects Question 3- This section in Table 3 has been updated to describe the eligibility of the expenditures for the ACE Train Station Improvements.

Table 3 Section 3: Operations Fund Reserve Question 5- This section in Table 3 has been updated to reflect the reclassification of the Annual Resurfacing Project CIP XX5003 from the Operations Fund Reserve to the Capital Fund Reserve.

If you have any additional questions, please contact myself or Juan Gomez @ [jgomez@cityofpleasantonca.gov](mailto:jgomez@cityofpleasantonca.gov) or (925) 931-5409.

Sincerely,



Emily E. Wagner  
Director of Finance  
City of Pleasanton  
[ewagner@cityofpleasantonca.gov](mailto:ewagner@cityofpleasantonca.gov)  
(925) 931-5402

## City of Pleasanton Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A
<b>Compliance Report</b>	1) <b>Question 12 and 13:</b> Need to include credit for bikeways map.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) <b>Column C:</b> Value in Measure B Pass-through interest represents a mix of funds.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	3) <b>West Las Positas at Payne Road</b> <b>Column H and I:</b> Please indicate number of ramps improved. Was it just one?	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See above.	N/A
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A
<u>Section 3: Operations Fund Reserve</u>	4) Please indicate project is agency approved. If not please describe when it will be approved.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A

<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	<p>1) <b>Annual Curb and Gutter Replacement Project, CIP No. 115009</b> <b>Column H:</b> Please describe sidewalk quantities in linear feet.</p> <p>2) <b>Annual Fee Paid to Alameda CTC</b> <b>Column E and I:</b> ACCMA does not exist anymore. Please modify to reference Alameda CTC.</p>	Comments #1 and 2: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	No Comments.	N/A
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A
<b>PARATRANSIT</b>	<b>COMMENTS</b>	
<b>Financial Audit</b>	The Measure B Paratransit Funds are not kept in a separate fund from other paratransit revenues and expenditures per the requirements. Please explain why and how these are reported as such in the financial statement.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	1) Table 1 values cannot be referenced to the Financial Statement due to no clear separate Paratransit Program Fund. The beginning balance looks correct.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	2) <b>Flex Paratransit Program</b> <b>Column M:</b> Please verify this expenditure amount because of the discrepancy noted above regarding reported revenues and expenditures.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	3) Please indicate project is agency approved. If not please describe when it will be approved.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A



**City of San Leandro**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**



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## John Nguyen

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**From:** CRodriguez@sanleandro.org  
**Sent:** Wednesday, February 20, 2013 4:15 PM  
**To:** John Nguyen  
**Cc:** DBaum@sanleandro.org; NThom@sanleandro.org; AOsakwe@sanleandro.org; HHafer@sanleandro.org; CKnudtson@sanleandro.org  
**Subject:** City of San Leandro - Resubmit  
**Attachments:** FY11-12\_VRF\_Program\_Compliance\_Tables-redo.xls; FY11-12\_MB\_Program\_Compliance\_Tables-redo.xls; FY11-12\_MB\_Program\_Compliance\_Report-redo.doc; DOC022013.pdf

Hi John,

Here are the revised documents for the City of San Leandro. Let me know if you have questions or changes to the report.

Thank you for all your help.

---

Carla P.E. Rodriguez  
Deputy Finance Director  
510-577-3360 | 510-577-3312 (Fax)  
835 E. 14th St., San Leandro Ca. 94577  
[crodriguez@sanleandro.org](mailto:crodriguez@sanleandro.org) | [www.sanleandro.org](http://www.sanleandro.org)



## City of San Leandro Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	1) <b>Column C:</b> Value in Measure B Pass-through interest represents a mix of funds. This should only reflect pass-through dollars.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	2) <b>Annual Sidewalk Repair Program FY 2011-12</b> <b>Column H and I:</b> Please use linear feet to describe sidewalk quantity.  3) <b>ADA Ramp Project 2011-12</b> <b>Column H and I:</b> Please indicate # of ramps replaced.  4) <b>Marina Blvd Rehabilitation</b> <b>Column M:</b> This expenditure doesn't appear to be related to Measure B grants on our records. Please provide an explanation or correct. Also, note how this is being accounted for in the financial statement.	Comments #2 and 4: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	5) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$1,226,424 of \$1,380,863.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See above.	N/A
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A
<u>Section 3: Operations Fund Reserve</u>	See above.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A

LOCAL STREETS AND ROADS	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	The Financial Statements does not tie into the reported values in the Compliance Report Table 1.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	1) <b>Column B:</b> This value is not consistent with what's reported in the Financial Statement. Should reflect \$1,168,567. 2) <b>Column C:</b> This value mixes pass-through revenue and other funding. Only include pass-through interest. 3) <b>Column I:</b> Please clarify the sources of \$188,111 of other Measure B and how it ties into the financial statement.	Comments #1-3: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	4) <b>Annual Sidewalk Program 2011-12</b> <b>Column H:</b> Please describe sidewalk quantities in linear feet. You may include the current information in Column J, but we request sidewalk construction to be identified in linear feet.  5) <b>Column M:</b> Please clarify the sources of \$188,111 of other Measure B and how it ties into the financial statement.	Comments #4 - 5: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	6) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$2,454,500 of \$3,208,557. Please identify the full amount.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See above.	N/A
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A
<u>Section 3: Operations Fund Reserve</u>	See above.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A

PARATRANSIT	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	1) The Financial Statements does not tie into the reported values in the Compliance Report Table 1 i.e. does not identify funding, or mixes other Measure B funding sources in pass-through. Paratransit funds should be kept separate from other Paratransit revenues and expenditures per the requirement.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Rpt</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	2) <b>Column C:</b> This value mixes pass-through revenue and other funding. Only include pass-through interest. 3) <b>Column F-G:</b> Please clarify the sources of \$71,293 of other Measure B and how it ties into the financial statement. Why is the reported expenditure more than the revenue? 4) <b>Column Q &amp; R:</b> \$6,240, Annual Registration, is reported but these amounts are not shown in Table 2. What project are these expenditures tied to?	Comments #2-3: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	5) <b>Flex Paratransit Program Medical Transportation Services.</b> <b>Column M:</b> Please verify this expenditure amount because of the discrepancy noted above regarding reported revenues and expenditures. 6) <b>Column B:</b> Please select and change for the two projects listed here to Operations instead of other. 7) <b>Column H &amp; J:</b> The trip quantity in Column H and the quantity in Column J are different. Please note only the actual number of trips provided in FY 11/12. 8) There are no non-MB funds contributing to the two programs, is this correct? See #4 above.	Comments #5-8: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	9) <b>Not in compliance with Timely Use of Funds/Reserve Policy.</b> Agency needs to allocate FULL FY 12/13 Revenue ( <i>FY11/12 Pass-through Balance + FY 12/13 Estimated Pass-through Revenue</i> ) to the appropriate Reserve Funds. Currently, only identifies \$68,533 of \$339,517. Please identify the full amount.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	See above.	N/A
<u>Section 2: Capital Fund Reserve</u>	See above.	N/A
<u>Section 3: Operations Fund Reserve</u>	See above.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	See above.	N/A



## **City of Union City / Union City Transit**

**RESPONSE TO**

**REQUEST FOR INFORMATION LETTER**

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## John Nguyen

---

**From:** Farooq Azim [FarooqA@ci.union-city.ca.us]  
**Sent:** Thursday, February 14, 2013 2:57 PM  
**To:** Alameda CTC 2022 Grants  
**Cc:** John Nguyen; Gayle Okada; Wilson Lee; Thomas Ruark  
**Subject:** Revised submission - MB and VRF compliance tables - FY 11-12- Union City  
**Attachments:** Union City - MB- Revised Submittals Signature Page.pdf; Union City - 02-14-2013 - FINAL resubmission-FY11-12\_MB\_Program\_Compliance\_Tables (All Programs)\_JN.xls; Union City - VRF- Revised Submittals Signature Page.pdf; Union City - 02-14-2013- FINAL resubmission- FY11-12\_VRF\_Program\_Compliance\_Tables\_JN.xls

**Importance:** High

Please see revised compliance tables and signature sheets. Let me know if there are any questions.

Farooq Azim  
City of Union City  
(510) 675-5368



## Union City Compliance Report Review

BICYCLE AND PEDESTRIAN	COMMENTS	ALAMEDA CTC'S REVIEW OF RESPONSES
<b>Financial Audit</b>	No Comments.	N/A
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	1) <b>Column H and I:</b> There are no reported values in this fields that tie into the Table 2 expenditures of \$1,877,722. Please complete this portion.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	2) <b>Please indicate sidewalk, curb, and gutter improvements in linear feet quantities.</b>  3) <b>#90713 Bike/Pedestrian Accessibility Improvements</b> <b>Column H and I:</b> Please indicate the quantity in linear feet.  4) <b>#91012 Citywide Trail System</b> <b>Column H and I:</b> Please indicate the quantity in linear feet.  5) <b>#91103 Citywide Pavement Repair</b> <b>Column H and I:</b> Please indicate the quantity in square feet.  6) <b>#91201 Citywide Overlay Project</b> <b>Column H and I:</b> Please indicate the quantity in square feet.	Comments #2-6: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>	7) For the reserve funds from MB the City says they are within the 10% allowance and do not list any specific projects. Please provide additional details on potential usage of all reserve funds. It totals over \$1.1Mil for B&P and \$1.9Mil for LS&R.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	8) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	9) Please identify project details in the detail area of this section. There is a collapsible	Agency provided sufficient explanation in their Response transmittal and/or revised

	menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	their Compliance Forms to address this comment.
<u>Section 3:</u> <u>Operations Fund Reserve</u>	10) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4:</u> <u>Undesignated Fund Reserve</u>	11) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

LOCAL STREETS AND ROADS	COMMENTS	
<b>Financial Audit</b>	1) Where does the \$5,000 of Other Measure B come from? 2) LSR final balance in audit does not match table 1. Please explain or correct.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	3) <b>Column G:</b> Where does the \$5,000 of Other Measure B come from? 4) LSR final balance in audit does not match table 1. Please explain or correct.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	5) <b>#91202 2012 Slurry Seal Project</b> <b>Column H and I:</b> Please indicate the quantity in square feet.  6) <b>#91023 Dyer St Pavement Rehabilitation</b> <b>Column C and H:</b> If Column C is correct in reporting only staffing costs, then Column H should not represent a delivery of 6,000 linear feet. This value can be "1" instead, with the description in Column J stating that staff managed 6,000 lf in rehabilitation.  7) <b>#91201 Citywide Overlay Project</b> <b>Column H and I:</b> Please indicate the quantity in square feet.	Comments #4-9: Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

	<p>8) <b>#91202 – 2012 Slurry Seal Project</b>  <b>Column H and I:</b> Please indicate the quantity in square feet.</p> <p>9) <b>#91106 – 2010-11 Wheelchair Ramp Project</b>  This project doesn't appear to be LSR related. Please verify/correct as needed. If it is, please verify the \$5,000 fund source.</p>	
<b>TABLE 3</b>	10) For the reserve funds from MB the City says they are within the 10% allowance and do not list any specific projects. Please provide additional details on potential usage of all reserve funds. It totals over \$1.1Mil for B&P and \$1.9Mil for LS&R.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	11) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	12) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund Reserve</u>	13) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	14) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

MASSTRANSIT	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	No Comments.	N/A
<b>TABLE 3</b>	1) For the reserve funds from MB the City says they are within the 10% allowance and do not list any specific projects. Please provide additional details on potential usage of all reserve funds. It totals over \$1.1Mil for B&P and \$1.9Mil for LS&R.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	2) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	3) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 3: Operations Fund Reserve</u>	4) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 4: Undesignated Fund Reserve</u>	5) Please identify project details in the detail area of this section. There is a collapsible menu adjacent to each section. Please refer to the Table 3 Directions. All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.

PARATRANSIT	COMMENTS	
<b>Financial Audit</b>	No Comments.	N/A
<b>Compliance Report</b>	No Comments.	N/A
<b>TABLE 1:</b> <i>Revenues &amp; Expenditures</i>	No Comments.	N/A
<b>TABLE 2:</b> <i>Summary of Expenditures and Accomplishments</i>	1) <b>Column C:</b> This does not appear to be an "other" category. Please use ADA Mandated Services from the pull down.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<b>TABLE 3</b>		
<u>Section 1: FY 12-13 Measure B Planned Projects</u>	2) All projects should include a unique project identifier/project number with the project title.	Agency provided sufficient explanation in their Response transmittal and/or revised their Compliance Forms to address this comment.
<u>Section 2: Capital Fund Reserve</u>	No Comments.	N/A
<u>Section 3: Operations Fund Reserve</u>	No Comments.	N/A
<u>Section 4: Undesignated Fund Reserve</u>	No Comments.	N/A



## **Memorandum**

**DATE:** February 21, 2013

**TO:** Citizen Watchdog Committee

**FROM:** Arthur L. Dao, Executive Director  
Patricia Reavey, Director of Finance

**SUBJECT: Fiscal Year 2012-2013 Proposed Budget Update for the Alameda County Transportation Improvement Authority**

### **Recommendations**

This is an informational item and no action is requested from the Citizens Watchdog Committee. The Alameda County Transportation Commission (Alameda CTC) will be requested to approve the Proposed Budget Update for fiscal year 2012-13 this month, which included the Proposed Budget Update for the Alameda County Transportation Improvement Authority (ACTIA).

### **Summary**

The proposed update to the FY2012-13 ACTIA budget was developed as a part of the overall Alameda CTC FY2012-13 proposed budget update to reflect changes in projects and programs since the original budget was developed, as well as to reflect how actual revenues and expenditures are being realized as the year progresses. Similarly to the originally adopted budget, this update has been segregated by fund type and includes an adjustment column to eliminate interagency revenues and expenditures on a consolidated basis. The fund types are comprised of General Funds, various Special Revenue Funds and Capital Project Funds.

The proposed budget update contains revenues totaling \$113.8 million of which sales tax revenues comprise \$112.0 million, or 98 percent. The proposed budget also includes an update to actual audited FY2011-12 fund balances rolled forward by fund into FY2012-13 of \$227.5 million for total available resources of \$341.3 million. The total revenue amount proposed is an increase of \$0.3 million over the currently adopted budget. The revenues are offset in the budget update by \$256.4 million in total expenditures of which \$184.2 million, or 72 percent, are allocated for capital project expenditures. The total expenditure amount is an increase of \$86.3 million over the currently adopted budget. This significant increase is due to the correction of the capital roll forward balance from FY2011-12 which was included in the approved FY2012-13 budget on the capital spreadsheets, but not pulled forward to the consolidated Alameda CTC budget spreadsheet. These revenue and expenditure totals constitute a net reduction in fund balance of \$142.5 million and a projected consolidated ending fund balance of \$85.0 million. The reduction in fund balance is primarily related to the capital program and will be funded through accumulated Measure B sales tax revenues.

The budget update includes revenues and expenditures necessary to implement and produce the following vital programs and planning projects in Alameda County:

- Countywide Transportation Plan/Transportation Expenditure Plan
- Transportation and Land Use Program
- Countywide Bicycle and Pedestrian Plan
- Safe Routes to School Programs
- Pass-Through Funding Programs

In addition to the planning projects and programs listed above, the budget also contains revenues and expenditures necessary to fund and deliver significant capital projects that can expand access and improve mobility in Alameda County consistent with the FY2012-13 Measure B Capital Program Strategic Plan approved by the Commission in June 2012. Some of the key projects included in the proposed budget update are as follows:

- BART Warm Springs Extension Project
- BART Oakland Airport Connector Project
- I-680 Sunol Express Lanes Project
- Route 84 Expressway Project in Livermore
- Isabel Avenue – Route 84/I-580 Interchange
- Altamont Commuter Express Rail

Similarly to the originally adopted budget for FY2012-13, the proposed budget update assumes an inter-fund loan of \$35.4 million from the ACTA Capital Fund to the ACTIA Capital Fund, which would delay the need for external financing to the second quarter of FY2014-15 based on the most recent cash flow projections.

### **Discussion/ Background**

Development of the FY2012-13 budget and this proposed budget update were centered on the mission and core functions as defined in the Agency Strategic Business Plan which was endorsed by the Commission. The objective was to develop a budget that would enable the Alameda CTC to plan, fund and deliver transportation programs and projects that expand access and improve mobility in Alameda County. This was accomplished by devoting available resources to identify transportation needs and opportunities in the County and formulate strategies and solutions; by providing the funding necessary to evaluate, prioritize, and fund programs and projects, and by funding the delivery of quality programs and projects so they could be completed on schedule and within budget.

### **Significant Budget Adjustment Detail**

#### *General Fund*

- **Expenditures** have decreased \$0.8 million related to a decrease in Transportation Expenditure Plan costs.

#### *Special Revenue Funds*

- **Revenues** have increased \$70.6 thousand due to the availability of additional grant revenues, as well as the redistribution of revenues from the Measure B 4.5 percent administration

funding to cover the Programs administrative costs such as the Paratransit Advisory and Planning Committee and Bicycle and Pedestrian Advisory Committee meeting fees.

- **Expenditures** have increased \$3.3 million primarily to reflect updated Measure B grant awards.

#### *Capital Projects Funds*

##### **ACTIA**

- **I-580 Castro Valley Interchange** increased \$0.1 million for required follow-up on plant maintenance contract.
- **Lewelling/East Lewelling** increased \$0.9 million to reflect final project need through this fiscal year for project closeout.
- **I-580 Auxiliary Lanes – Eastbound El Charro to Airway** decreased \$46.0 thousand to reflect final project need through this fiscal year for project closeout.
- **I-238 Widening** increased \$0.5 million for final claim resolution.

#### **Fiscal Impacts**

The proposed update to the approve FY2012-13 ACTIA Budget would provide additional resources of \$0.3 million and authorize additional expenditures of \$86.3 million, reflecting an overall decrease in fund balance of \$142.5 million for a projected ending fund balance of \$85.0 million.

#### **Attachments**

Attachment A:	ACTIA FY2012-13 Proposed Budget Update
Attachment B:	ACTIA FY2012-13 Proposed Capital Projects Budget
Attachment C:	ACTIA FY2012-13 Proposed Budget Limitation Calculations



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Alameda County Transportation Improvement Authority  
Fiscal Year 2012-2013 Proposed Budget Update

	Projected Beginning Fund Balance					
	General	Special Revenue	ACTIA Capital Project	ACTA Capital Project	Inter-Agency Adjustments/ Eliminations	Total
	Fund Proposed	Fund Proposed	Fund Proposed	Fund Proposed	Proposed	Proposed
	\$ 18,025,142	\$ 9,252,256	\$ 58,746,913	\$ 141,482,312	- \$	\$ 227,506,623
<b>Revenues:</b>						
Sales Tax Revenues	5,040,000	64,069,040	42,890,960	-	-	112,000,000
Investment Income	-	-	180,000	1,025,000	-	1,205,000
Member Agency Fees	-	-	-	-	-	-
VRF Funds	-	-	-	-	-	-
Other Revenues	36,000	40,600	-	-	(40,600)	36,000
Grants	-	74,981	2,091,098	-	(1,571,098)	594,981
Total Revenues	5,076,000	64,184,621	45,162,058	1,025,000	(1,611,698)	113,835,981
<b>Expenditures:</b>						
<u>Administration</u>						
Salaries and Benefits	905,384	197,889	157,185	235,499	-	1,495,958
General Office Expenses	1,160,538	6,100	-	308,179	(6,100)	1,468,717
Other Administration	1,029,075	9,990	1,298,909	265,312	-	2,603,287
Commission and Community Support	169,584	34,500	-	24,695	(34,500)	194,279
Contingency	75,000	-	-	25,000	-	100,000
<u>Planning</u>						
CWTP/Transportation Expenditure Plan	1,116,127	-	-	-	-	1,116,127
Congestion Management Program	-	-	-	-	-	-
Other Planning Projects	-	76,420	-	-	-	76,420
<u>Programs</u>						
Programs Management	561,000	1,054,345	-	-	-	1,615,345
Safe Routes to School Programs	-	-	-	-	-	-
VRF Programming and Other Costs	-	-	-	-	-	-
Measure B Pass-Through	-	60,092,844	-	-	-	60,092,844
Grant Awards	-	7,238,429	-	-	-	7,238,429
Other Programming	-	-	-	-	-	-
<u>Capital Projects</u>						
Capital Project Expenditures	-	-	137,854,951	44,069,577	(1,571,098)	180,353,430
Indirect Cost Recovery/Allocation	-	-	-	-	-	-
Indirect Cost Recovery from Capital, Spec Rev & Exch Funds	-	-	-	-	-	-
Total Expenditures	5,016,709	68,710,517	139,311,045	44,928,262	(1,611,698)	256,354,836
Net Change in Fund Balance	59,291	(4,525,896)	(94,148,987)	(43,903,262)	-	(142,518,855)
Projected Ending Fund Balance	\$ 18,084,433	\$ 4,726,360	\$ (35,402,074)	\$ 97,579,050	- \$	\$ 84,987,768

Alameda County Transportation Improvement Authority  
Fiscal Year 2012-2013 Currently Adopted Budget

	Projected Beginning Fund Balance					General Fund	Special Revenue Fund	ACTIA Capital Project Fund	ACTA Capital Project Fund	Total
	\$	16,651,890	\$	7,347,688	\$	(4,396,157)	\$	125,045,465	\$	144,648,886
Revenues:										
Sales Tax Revenues	5,040,000		64,069,040	42,890,960	-		112,000,000			
Investment Income										
Member Agency Fees	-		-	150,000		1,025,000	1,175,000			
VRF Funds							-			
Other Revenues	36,000		-	-	-	-	-	36,000		
Grants	-		45,000	300,000	-	-	345,000			
Total Revenues	5,076,000	64,114,040	43,340,960	1,025,000			113,556,000			
Expenditures:										
Administration										
Salaries and Benefits	905,384	197,889	157,185	235,499			1,495,958			
General Office Expenses	1,153,413	-	-	305,804			1,459,217			
Other Administration	1,027,625	-	1,434,995	668,077			3,130,697			
Commission and Community Support	169,584	-	-	24,695			194,279			
Contingency	75,000	-	-	25,000			100,000			
Planning										
CWTP/Transportation Expenditure Plan	2,000,362	-	-	-			2,000,362			
Congestion Management Program	-	-	-	-			-			
Other Planning Projects	111,783	-	-	-			111,783			
Programs										
Programs Management	379,925	988,016	-	-			1,367,941			
Safe Routes to School Programs	-	-	-	-			-			
VRF Programming and Other Costs	-	-	-	-			-			
Measure B Pass-Through	-	60,092,844					60,092,844			
Grant Awards	-	4,157,479	-	-			4,157,479			
Other Programming	-	-	-	-			-			
Capital Projects										
Capital Project Expenditures	-	-	84,082,327	11,861,501			95,943,828			
Indirect Cost Recovery/Allocation										
Indirect Cost Recovery from Capital, Spec Rev & Exch Funds		-	-	-			-			
Total Expenditures	5,823,076	65,436,228	85,674,507	13,120,576			170,054,388			
Net Change in Fund Balance	(747,076)	(1,322,188)	(42,333,547)	(12,095,576)			(56,498,388)			
Projected Ending Fund Balance	\$ 15,904,814	\$ 6,025,500	\$ (46,729,704)	\$ 112,949,889	\$		88,150,498			

Alameda County Transportation Improvement Authority  
Fiscal Year 2012-2013 Proposed Budget Adjustments

	Projected Beginning Fund Balance									
	General	Special	ACTIA	ACTA	Inter-Agency	Total Adjustment	Fund Adjustment	Fund Adjustment	Fund Adjustment	Total Adjustment
	Fund Adjustment	Fund Adjustment	Capital Project	Capital Project	Adjustments/ Eliminations					
	\$ 1,373,252	\$ 1,904,568	\$ 63,143,070	\$ 16,436,847	\$ -	\$ 82,857,737				
Revenues:										
Sales Tax Revenues	-	-	-	-	-	-				
Investment Income	-	-	30,000	-	-	30,000				
Member Agency Fees						-				
VRF Funds						-				
Other Revenues	-	40,600	-	-	(40,600)	-				
Grants	-	29,981	1,791,098	-	(1,571,098)	249,981				
Total Revenues	-	70,581	1,821,098	-	(1,611,698)	279,981				
Expenditures:										
Administration										
Salaries and Benefits	-			-		-				
General Office Expenses	7,125	6,100	-	2,375	(6,100)	9,500				
Other Administration	1,451	9,990	(136,086)	(402,765)	-	(527,410)				
Commission and Community Support	-	34,500	-	-	(34,500)	-				
Contingency	-			-		-				
Planning										
CWTP/Transportation Expenditure Plan	(884,235)					(884,235)				
Congestion Management Program	-					-				
Other Planning Projects	(111,783)	76,420	-	-	-	(35,363)				
Programs										
Programs Management	181,075	66,329				247,403				
Safe Routes to School Programs	-	-	-	-	-	-				
VRF Programming and Other Costs						-				
Measure B Pass-Through	-					-				
Grant Awards	-	3,080,950			-	3,080,950				
Other Programming	-	-	-	-	-	-				
Capital Projects										
Capital Project Expenditures	-		53,772,624	32,208,076	(1,571,098)	84,409,602				
Indirect Cost Recovery/Allocation										
Indirect Cost Recovery from Capital, Spec Rev & Exch Funds										
Total Expenditures	(806,367)	3,274,289	53,636,538	31,807,686	(1,611,698)	86,300,448				
Net Change in Fund Balance	806,367	(3,203,708)	(51,815,440)	(31,807,686)	-	(86,020,467)				
Projected Ending Fund Balance	\$ 2,179,619	\$ (1,299,140)	\$ 11,327,630	\$ (15,370,839)	\$ -	\$ (3,162,730)				

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Alameda County Transportation Improvement Authority  
Fiscal Year 2012-2013  
Proposed Capital Projects Budget Update

Project Name	Project #	(A) - (B) = (C)		(D)	(E)	(C) + (D) + (E) = (F)	Funding Sources													
		FY 2011-12	FY 2012-13				2000	1986	CMA TIP	Regional	State	State	Federal	Federal						
		Rollover to	Adopted				Measure B	Measure B	Exchange	RM2	TCRP	STIP RIP	Demo	STP						
		FY 2012-13	FY 2012-13	FY 2012-13	FY 2012-13	FY 2012-13														
ACE Capital Improvements	601.0	\$ 593,318	\$ 6,137,347	\$ -	\$ 6,730,665	\$ 6,730,665	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
BART Warm Springs Extension	602.0	9,563,626	21,984,571	-	31,548,197	31,548,197	-	-	-	-	-	-	-	-	-	-	-	-	-	-
BART Oakland Airport Connector	603.0	783,069	30,000,000	-	30,783,069	30,783,069	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Downtown Oakland Streetscape	604.0	3,782,700	-	-	3,782,700	3,782,700	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Union City Intermodal Station	606.0	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Telegraph Avenue Bus Rapid Transit	607.1	1,354,813	2,166,654	-	3,521,467	3,521,467	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-680 Express Lane	608.0	2,090,240	7,551,338	-	9,641,578	9,641,578	-	-	-	1,340,000	-	-	-	-	-	-	-	-	-	-
Iron Horse Trail	609.0	-	500,000	-	500,000	500,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-880/Broadway-Jackson Interchange	610.0	477,404	2,051,036	-	2,528,440	2,528,440	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-580/Castro Valley Interchanges Improvements	612.0	1,362,040	300,000	130,996	1,793,036	1,793,036	-	1,571,098	-	-	-	-	-	-	-	-	-	-	-	-
Lewelling/East Lewelling	613.0	(1,886,402)	1,651,000	885,402	650,000	650,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-580 Auxiliary Lanes - Westbound Fallon to Tassajara	614.1	10,000	702,000	-	712,000	712,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-580 Auxiliary Lanes - Westbound Airway to Fallon	614.2	1,388,729	786,000	-	2,174,729	2,174,729	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-580 Auxiliary Lanes - E/B El Charro to Airway	614.3	(986)	-	45,986	45,000	45,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Rte 92/Clawiter-Whitesell Interchange	615.0	2,689,503	1,560,497	-	4,250,000	4,250,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Hesperian/Lewelling Widening	617.1	599,622	-	-	599,622	599,622	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Westgate Extension	618.1	3,636,850	(1,463,000)	-	2,173,850	2,173,850	-	-	-	-	-	-	-	-	-	-	-	-	-	-
E. 14th/Hesperian/150th Improvements	619.0	480,000	1,886,000	-	2,366,000	2,366,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-238 Widening	621.0	204,658	-	520,000	724,658	724,658	-	-	-	520,000	-	-	-	-	-	-	-	-	-	-
I-680/I-880 Cross Connector Study	622.0	492,517	-	-	492,517	492,517	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Isabel - Route 84/I-580 Interchange	623.0	10,813,906	-	-	10,813,906	10,813,906	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Route 84 Expressway	624.0	10,936,982	1,571,000	-	12,507,982	12,507,982	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Dumbarton Corridor	625.0	190,334	3,090,764	-	3,281,098	3,281,098	-	-	-	150,000	-	-	-	-	-	-	-	-	-	-
I-580 Corridor/BART to Livermore	626.0	1,396,704	1,869,305	-	3,266,009	3,266,009	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Congestion Relief Emergency Fund - Unallocated	627.0	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-80 Integrated Corridor Mobility	627.2	745,844	595,000	-	1,340,844	1,340,844	-	-	-	-	-	-	-	-	-	-	-	-	-	-
I-880 Corridor Improvements in Oakland and San Leandro	627.3	434,769	500,000	-	934,769	934,769	-	-	-	-	-	-	-	-	-	-	-	-	-	-
CWTP/TEP Development	627.4	50,000	-	-	50,000	50,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Studies at Congested Segments/Locations on CMP	627.5	-	800,000	-	800,000	800,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-
		\$ 52,190,240	\$ 84,239,512	\$ 1,582,384	\$ 138,012,136	\$ 134,209,100	\$ 1,571,098	\$ 520,000	\$ 150,000	\$ 1,340,000	\$ 150,000	\$ 34,195	\$ 37,743							

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**Alameda County Transportation Improvement Authority  
Fiscal Year 2012-2013  
Budget Update Limitation Calculations**

Net Sales Tax	112,000,000.00	A
Investments & Other Income	<u>2,122,679.00</u>	B
Funds Generated	114,122,679.00	C
Salaries & Benefits	905,384.01	D
Other Admin Costs	<u>3,259,946.77</u>	E
Total Admin Costs	4,165,330.78	F
Gross Sal & Ben to Net Sales Tax	0.8084% = D/A	
Gross Sal & Ben to Funds Generated	0.7933% = D/C	
Total Admin Costs to Net Sales Tax	3.7190% = F/A	

*\* Sales tax reauthorization ballot costs budgeted in the amount of \$851,377.80 are not included in other administrative costs. They will be paid from prior year excess administrative costs limitation calculation balances.*



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## Memorandum

**DATE:** January 31, 2013

**TO:** Finance and Administration Committee

**FROM:** Patricia M. Reavey, Director of Finance  
Lily Balinton, Accounting Manager

**SUBJECT:** **Alameda CTC Fiscal Year 2012-2013 First Quarter Consolidated Investment Report**

### Recommendation

It is recommended that the Commission accept the attached Alameda CTC Fiscal Year 2012-13 first quarter Consolidated Investment Report (Attachment A).

### Summary

- Alameda CTC investments are in compliance with the adopted investment policies.
- Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.
- As of December 31, 2012, total cash and investments held by the Alameda CTC were \$242.3 million. This total is a decrease of \$40.1 million or 14.2% from the prior year-end balance of \$282.4 million.
- The ACTA investment balance decreased \$11.3 million or 8.0% due to capital project expenditures. The ACTIA investment balance decreased \$24.5 million or 21.6% mostly due to capital project expenditures. The ACCMA investment balance decreased \$4.3 million or 15.1% mostly related to CMA TIP project payments.
- Investment yields have declined with the return on investments for the Alameda CTC at 0.71% compared to the prior year's return of 0.99%. Return on investments were projected for the FY2012-13 budget year at varying rates ranging from 0 - 1.00% depending on investment type.
- Based on the most current cash flow projections updated in April, 2012, ACTIA will require external financing by the 2<sup>nd</sup> quarter of FY2013-14 to satisfy capital project obligations. The cash flow projection scenario assumes a short term loan from ACTA capital funds, which would be paid back as soon as financing is executed. If approved by the Commission, the loan from ACTA would allow staff an additional nine months to arrange a financing mechanism for ACTIA.

**Discussion**

As of December 31, 2012, the Alameda CTC portfolio managed by investment advisors consisted of approximately 21.4% US Treasury Securities, 53.7% Federal Agency Securities, 3.3% Corporate Notes, 11.9% Commercial Paper, 3.0% Negotiable CDs and 6.7% Money Market Funds (See Attachment B). The Alameda CTC portfolio is in compliance with both the adopted investment policy and the California Government Code.

The Employment Development Department reported an unemployment rate in Alameda County for December, 2012 of 8.2%, down 0.3% from the previous quarter end statement, and between that of California, at 9.7%, and the United States, at 7.8% (per the US Department of Labor). Alameda County increases in jobs were in the categories of transportation, warehousing, utilities, professional and business services, financial services, and leisure and hospitality. Unemployment rates are still very high when compared to historical national rates which ranged from 4.0 – 5.0% in the years 2001 – 2007.

The Federal Open Market Committee agreed at its December meeting to continue monthly purchases of \$40 billion in Agency mortgage-backed securities, in addition to an open-ended program to buy \$45 billion in Treasuries each month to support the still fragile economic recovery. The Federal Reserve tied the continuation of these programs to goals for unemployment (below 6.5%) and inflation (no more than 2.5%). Corporate bonds outperformed government bonds as the Fed's bond purchase programs crowded investors out of Treasury bonds and Agency mortgages.

**Attachments**

Attachment A:	Consolidated Investment Report as of December 31, 2012
Attachment B:	Detail of Investment Holdings (managed by PFM and Chandler)

Alameda CTC									
Consolidated Investment Report									
As of December 31, 2012									
ACTA	Un-Audited		Interest Earned				FY 2011-2012		
	Investment Balance		Interest earned		As of December 31, 2012		Investment Balance		Interest earned
					Approx. ROI	Budget		June 30, 2012	FY 2011-2012
Checking Account	\$	53,374	\$	8	0.03%			\$ 103,510	\$ 45
State Treas. Pool (LAIF)		7,207,953		19,330	0.54%			14,808,441	105,009
Investment Advisors (1)		111,740,575		659,306	1.18%			115,361,268	2,139,191
Loan to ACCMA		10,000,000						10,000,000	
ACTA Total		129,001,901	\$	678,645	1.05%	\$ 512,500	\$ 166,145	140,273,219	2,244,245
								Approx. ROI	1.60%
ACTIA	Un-Audited		Interest Earned				FY 2011-2012		
	Investment Balance		Interest earned		As of December 31, 2012		Investment Balance		Interest earned
					Approx. ROI	Budget		June 30, 2012	FY 2011-2012
Community Bank (OPEB)(2)	\$	910,834	\$	462	0.10%			\$ 910,373	\$ 865
Checking Account	\$	3,945,593	\$	117	0.01%			\$ 8,760,886	\$ 147
State Treas. Pool (LAIF)		21,262,298		50,022	0.47%			36,040,309	208,541
Investment Advisors (1)		63,819,264		76,706	0.24%			68,742,558	218,683
ACTIA Total		89,027,155	\$	126,846	0.28%	\$ 75,000	\$ 51,846	113,543,752	427,371
								Approx. ROI	0.38%
ACCMA	Un-Audited		Interest Earned				FY 2011-2012		
	Investment Balance		Interest earned		As of December 31, 2012		Investment Balance		Interest earned
					Approx. ROI	Budget		June 30, 2012	FY 2011-2012
Checking Account	\$	2,146,468			0.00%			\$ 2,911,113	\$ -
State Treas. Pool (LAIF)		14,419,409		25,976	0.36%			17,537,573	45,846
Project Deferred Revenue (3)		17,666,881		30,414	0.34%			18,088,066	66,302
Loan from ACTA		(10,000,000)						(10,000,000)	
ACCMA Total	\$	24,232,758	\$	56,390	0.47%	\$ -	\$ 56,390	28,536,752	112,148
								Approx. ROI	0.39%
ACTC TOTAL	\$	242,261,815	\$	861,881	0.71%	\$ 587,500	\$ 274,381	\$ 282,353,723	\$ 2,783,764

Notes:

- (1) See attachments for detail of investment holdings managed by Investment Advisors.
- (2) The OPEB/Health Retirement account and related interest income is held in a irrevocable trust and does not appear on ACTIA's balance sheet.
- (3) Project funds in deferred revenue are invested in LAIF with interest accruing back to the respective project fund which include TVTC, San Leandro Marina, TCRP and PTMISEA funds.
- (4) All investments are marked to market on the financial statements at the end of the fiscal year per GASB 31 requirements.
- (5) Alameda CTC investments are in compliance with the currently adopted investment policies.
- (6) Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.

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For the Month Ending December 31, 2012

## Managed Account Detail of Securities Held

### ALAMEDA CNTY TRANSPORTATION AUTHORITY

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
<b>U.S. Treasury Bond / Note</b>										
US TREASURY NOTES DTD 03/31/2011 0.750% 03/31/2013	9128280L7	AA+	Aaa	03/31/11	04/01/11	1,499,121.09	0.78	2,874.31	1,499,891.79	1,502,403.00
US TREASURY NOTES DTD 03/31/2011 0.750% 03/31/2013	9128280L7	AA+	Aaa	03/22/12	03/27/12	3,015,468.75	0.24	5,748.63	3,003,743.61	3,004,806.00
US TREASURY NOTES DTD 06/30/2008 3.375% 06/30/2013	9128281D3	AA+	Aaa	03/22/12	03/27/12	14,368,613.67	0.28	1,289.40	14,042,629.06	14,051,501.28
US TREASURY NOTES DTD 09/30/2008 3.125% 09/30/2013	9128281M3	AA+	Aaa	03/22/12	03/27/12	4,064,531.25	0.32	31,138.39	3,981,162.28	3,985,160.16

**Security Type Sub-Total** 22,230,000.00 22,947,734.76 0.31 41,050.73 22,527,426.74 22,543,870.44

<b>Federal Agency Bond / Note</b>										
FHLMC GLOBAL NOTES DTD 12/02/2009 1.375% 01/09/2013	3137EACG2	AA+	Aaa	02/11/11	02/14/11	2,400,634.60	0.91	15,635.28	2,380,242.59	2,380,580.72
FHLMC GLOBAL REFERENCE NOTES DTD 01/17/2003 4.500% 01/15/2013	3134A4SA3	AA+	Aaa	03/25/10	03/30/10	6,058,575.00	1.66	116,718.75	5,631,156.79	5,633,893.13
FEDERAL HOME LOAN BANK GLOBAL NOTES DTD 02/03/2012 0.220% 08/08/2013	313376UV5	AA+	Aaa	11/27/12	11/28/12	5,001,135.00	0.19	4,369.44	5,000,985.45	5,001,200.00
FHLB NOTES DTD 02/13/2012 0.280% 08/13/2013	313376WB7	AA+	Aaa	11/27/12	11/28/12	9,706,372.90	0.19	10,411.33	9,705,549.08	9,705,946.10
FHLB GLOBAL BONDS DTD 08/01/2008 4.000% 09/06/2013	3133XRX88	AA+	Aaa	03/22/12	03/27/12	4,629,680.00	0.37	56,222.22	4,508,561.20	4,514,096.40
FNMA NOTES DTD 11/01/2010 0.750% 12/18/2013	31398A5W8	AA+	Aaa	08/21/12	08/22/12	4,754,484.00	0.28	1,279.69	4,746,505.79	4,752,216.00

**Security Type Sub-Total** 31,830,000.00 32,550,881.50 0.54 204,636.71 31,973,000.90 31,987,932.35

<b>Corporate Note</b>										
WELLS FARGO & COMPANY GLOBAL SR NOTES DTD 01/31/2008 4.375% 01/31/2013	949746NY3	A+	A2	08/26/08	08/29/08	959,600.00	5.41	18,350.69	999,185.00	1,002,972.00



PFM Asset Management LLC



For the Month Ending December 31, 2012

## Managed Account Detail of Securities Held

### ALAMEDA CNTY TRANSPORTATION AUTHORITY -

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
<b>Corporate Note</b>											
WELLS FARGO & COMPANY GLOBAL SR NOTES DTD 01/31/2008 4.375% 01/31/2013	949746WY3	1,500,000.00	A+	A2	05/03/11	05/06/11	1,582,515.00	1.16	27,526.04	1,503,863.31	1,504,458.00
<b>Security Type Sub-Total</b>		<b>2,500,000.00</b>					<b>2,542,115.00</b>	<b>2.86</b>	<b>45,876.73</b>	<b>2,503,048.31</b>	<b>2,507,430.00</b>
<b>Commercial Paper</b>											
NORDEA NORTH AMERICA INC COMM PAPER -- 0.000% 01/14/2013	6555PONE5	900,000.00	A-1+	P-1	10/19/12	10/19/12	899,521.50	0.22	0.00	899,928.50	899,951.40
BANK OF TOKYO MITSUBISHI COMM PAPER -- 0.000% 02/12/2013	06538BPC1	2,590,000.00	A-1	P-1	10/12/12	10/15/12	2,587,669.00	0.27	0.00	2,589,184.15	2,589,380.99
RABOBANK USA FIN CORP COMM PAPER -- 0.000% 03/07/2013	74977KO77	2,100,000.00	A-1+	P-1	10/12/12	10/15/12	2,097,497.50	0.30	0.00	2,098,862.49	2,099,376.30
NORDEA NORTH AMERICA INC COMM PAPER -- 0.000% 05/30/2013	6555POSOW0	4,000,000.00	A-1+	P-1	12/03/12	12/04/12	3,994,296.67	0.29	0.00	3,995,198.88	3,995,332.00
<b>Security Type Sub-Total</b>		<b>9,590,000.00</b>					<b>9,578,984.67</b>	<b>0.28</b>	<b>0.00</b>	<b>9,583,174.02</b>	<b>9,584,040.69</b>
<b>Managed Account Sub-Total</b>		<b>66,150,000.00</b>					<b>67,619,715.93</b>	<b>0.51</b>	<b>291,564.17</b>	<b>66,586,649.97</b>	<b>66,623,273.48</b>
<b>Securities Sub-Total</b>		<b>\$66,150,000.00</b>					<b>\$67,619,715.93</b>	<b>0.51%</b>	<b>\$291,564.17</b>	<b>\$66,586,649.97</b>	<b>\$66,623,273.48</b>
<b>Accrued Interest</b>											<b>\$291,564.17</b>
<b>Total Investments</b>											<b>\$66,914,837.65</b>





Alameda CTC- Alameda Cnty Trans Authority  
Account #470

Holdings Report  
As of 12/31/12

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
AGENCY									
3133XP2W3	FHLB Note 3.375% Due 2/27/2013	2,500,000.00	07/09/2008 4.02 %	2,432,425.00 2,497,724.88	100.50 0.18 %	2,512,425.00 29,062.50	5.66 % 14,700.12	Aaa AA+	0.16 0.16
880591CW0	Tennessee Valley Authority Note 6% Due 3/15/2013	4,000,000.00	Various 3.46 %	4,407,900.00 4,018,784.44	101.17 0.30 %	4,046,780.00 70,666.67	9.18 % 27,995.56	Aaa AA+	0.20 0.21
3133XXYX9	FHLB Note 1.875% Due 6/21/2013	2,480,000.00	06/18/2012 0.25 %	2,520,324.80 2,498,788.94	100.82 0.14 %	2,500,308.72 1,291.67	5.58 % 1,519.78	Aaa AA+	0.47 0.47
31331JPK3	FFCB Note 1.375% Due 6/25/2013	2,500,000.00	06/18/2012 0.25 %	2,528,575.00 2,513,478.77	100.63 0.07 %	2,515,752.50 572.92	5.61 % 2,273.73	Aaa AA+	0.48 0.48
31398ASD5	FNMA Note 3.875% Due 7/12/2013	1,700,000.00	04/09/2009 2.24 %	1,811,683.20 1,713,825.39	101.99 0.13 %	1,733,758.60 30,924.65	3.93 % 19,933.21	Aaa AA+	0.53 0.52
880591DW9	Tennessee Valley Authority Note 4.75% Due 8/1/2013	4,000,000.00	Various 2.35 %	4,411,330.00 4,052,532.65	102.64 0.22 %	4,105,556.00 79,166.67	9.33 % 53,023.35	Aaa AA+	0.58 0.57
31331KZJ2	FFCB Note 0.35% Due 9/23/2013	1,500,000.00	03/22/2012 0.38 %	1,499,430.00 1,499,724.86	100.12 0.18 %	1,501,846.50 1,429.17	3.35 % 2,121.64	Aaa AA+	0.73 0.73
31331GCS6	FFCB Note 3.875% Due 10/7/2013	2,300,000.00	02/04/2009 2.89 %	2,397,934.00 2,316,025.56	102.82 0.19 %	2,364,839.30 20,795.83	5.32 % 48,813.74	Aaa AA+	0.77 0.76
3133XSAE8	FHLB Note 3.625% Due 10/18/2013	2,000,000.00	03/03/2009 2.69 %	2,080,600.00 2,013,838.96	102.72 0.21 %	2,054,344.00 14,701.39	4.61 % 40,505.04	Aaa AA+	0.80 0.79
3134A4UK8	FHLMC Note 4.875% Due 11/15/2013	2,500,000.00	01/08/2009 2.44 %	2,776,632.50 2,549,672.01	104.13 0.13 %	2,603,267.50 15,572.92	5.84 % 53,595.49	Aaa AA+	0.87 0.86
3137EACZ0	FHLMC Note 0.375% Due 11/27/2013	2,600,000.00	10/25/2012 0.24 %	2,603,848.00 2,603,198.59	100.18 0.18 %	2,604,570.80 920.83	5.81 % 1,372.21	Aaa AA+	0.91 0.90
31398A5W8	FNMA Note 0.75% Due 12/18/2013	2,600,000.00	05/23/2012 0.34 %	2,616,822.00 2,610,304.58	100.58 0.15 %	2,614,976.00 704.17	5.83 % 4,671.42	Aaa AA+	0.96 0.96
Total Agency		30,680,000.00	1.91 %	32,087,504.50 30,887,899.63	0.18 %	31,158,424.92 265,809.39	70.04 % 270,525.29	Aaa AA+	0.60 0.59
COMMERCIAL PAPER									
36959HQB6	General Electric Capital Corp Discount CP 0.28% Due 3/11/2013	1,000,000.00	09/12/2012 0.28 %	998,600.00 998,600.00	99.86 0.28 %	998,600.00 863.33	2.23 % 0.00	P-1 A-1+	0.19 0.19
4662J0SM5	JP Morgan Discount CP 0.28% Due 5/21/2013	1,060,000.00	11/20/2012 0.28 %	1,058,499.51 1,058,499.51	99.86 0.28 %	1,058,499.51 346.27	2.36 % 0.00	P-1 A-1	0.39 0.39
369233GTC0	Toyota Motor Credit Discount CP 0.31% Due 6/12/2013	1,150,000.00	10/11/2012 0.31 %	1,147,583.72 1,147,583.72	99.79 0.31 %	1,147,583.72 812.03	2.56 % 0.00	P-1 A-1+	0.45 0.45
Total Commercial Paper		3,210,000.00	0.30 %	3,204,683.23 3,204,683.23	0.30 %	3,204,683.23 2,021.63	7.15 % 0.00	P1 A-1	0.35 0.35
MONEY MARKET FUND FI									
431114701	Highmark Govt Money Market Fund	7,640,271.15	Various 0.00 %	7,640,271.15 7,640,271.15	1.00 0.00 %	7,640,271.15 0.00	17.03 % 0.00	Aaa AAA	0.00 0.00





## Holdings Report

As of 12/31/12

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
<b>Total Money Market Fund FI</b>									
		7,640,271.15	0.00 %	7,640,271.15	0.00 %	7,640,271.15	17.03 %	Aaa	0.00
		7,640,271.15		7,640,271.15		0.00	0.00	AAA	0.00
<b>US CORPORATE</b>									
91159HGW4	US Bancorp Note 2% Due 6/14/2013	1,175,000.00	09/13/2012 0.31 %	1,189,628.75 1,183,918.64	100.72 0.40 %	1,183,476.45 1,109.72	2.64 % (442.19)	A1 A+	0.45 0.45
<b>Total US Corporate</b>		<b>1,175,000.00</b>	<b>0.31 %</b>	<b>1,189,628.75</b> <b>1,183,918.64</b>	<b>0.40 %</b>	<b>1,183,476.45</b> <b>1,109.72</b>	<b>2.64 %</b> <b>(442.19)</b>	<b>A1</b> <b>A+</b>	<b>0.45</b> <b>0.45</b>
<b>US TREASURY</b>									
912828PL8	US Treasury Note 0.75% Due 12/15/2013	1,400,000.00	Various 0.23 %	1,408,283.99 1,406,986.08	100.53 0.19 %	1,407,436.80 490.38	3.14 % 450.72	Aaa AA+	0.96 0.95
<b>Total US Treasury</b>		<b>1,400,000.00</b>	<b>0.23 %</b>	<b>1,408,283.99</b> <b>1,406,986.08</b>	<b>0.19 %</b>	<b>1,407,436.80</b> <b>490.38</b>	<b>3.14 %</b> <b>450.72</b>	<b>Aaa</b> <b>AA+</b>	<b>0.96</b> <b>0.95</b>
<b>TOTAL PORTFOLIO</b>		<b>44,105,271.15</b>	<b>1.37 %</b>	<b>45,530,371.62</b> <b>44,323,758.73</b>	<b>0.17 %</b>	<b>44,594,292.55</b> <b>269,431.12</b>	<b>100.00 %</b> <b>270,533.82</b>	<b>Aaa</b> <b>AA+</b>	<b>0.48</b> <b>0.48</b>
<b>TOTAL MARKET VALUE PLUS ACCRUED</b>						<b>44,863,723.67</b>			



# Managed Account Detail of Securities Held

For the Month Ending December 31, 2012

## ALAMEDA CNTY TRANSPORTATION IMPROV AUTH

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
<b>U.S. Treasury Bond / Note</b>											
US TREASURY NOTES DTD 04/30/2008 3.125% 04/30/2013	912828HY9	9,575,000.00	AA+	Aaa	04/26/12	04/27/12	9,857,013.67	0.20	51,247.41	9,666,995.26	9,669,629.73
US TREASURY NOTES DTD 06/30/2008 3.375% 06/30/2013	912828JD3	3,245,000.00	AA+	Aaa	08/21/12	08/22/12	3,332,969.92	0.20	302.54	3,296,123.51	3,296,971.92
<b>Security Type Sub-Total</b>		<b>12,820,000.00</b>					<b>13,189,983.59</b>	<b>0.20</b>	<b>51,549.95</b>	<b>12,963,118.77</b>	<b>12,966,601.65</b>
<b>Federal Agency Bond / Note</b>											
FHLMC NOTES DTD 02/04/2011 0.750% 03/28/2013	3137EACS6	3,500,000.00	AA+	Aaa	08/21/12	08/22/12	3,511,725.00	0.19	6,781.25	3,504,723.43	3,505,264.00
FANNIE MAE GLOBAL NOTES DTD 08/06/2010 1.000% 09/23/2013	31398A2S0	3,350,000.00	AA+	Aaa	08/21/12	08/22/12	3,377,034.50	0.26	9,119.44	3,368,122.53	3,369,403.20
FNMA NOTES DTD 11/01/2010 0.750% 12/18/2013	31398A5W8	3,400,000.00	AA+	Aaa	08/21/12	08/22/12	3,421,216.00	0.28	920.83	3,415,475.07	3,419,584.00
<b>Security Type Sub-Total</b>		<b>10,250,000.00</b>					<b>10,309,975.50</b>	<b>0.24</b>	<b>16,821.52</b>	<b>10,288,321.03</b>	<b>10,294,251.20</b>
<b>Commercial Paper</b>											
RABOBANK USA FIN CORP COMM PAPER -- 0.000% 03/07/2013	74977KO77	2,730,000.00	A-1+	P-1	10/11/12	10/12/12	2,726,678.50	0.30	0.00	2,728,521.24	2,729,189.19
<b>Security Type Sub-Total</b>		<b>2,730,000.00</b>					<b>2,726,678.50</b>	<b>0.30</b>	<b>0.00</b>	<b>2,728,521.24</b>	<b>2,729,189.19</b>
<b>Certificate of Deposit</b>											
STANDARD CHARTERED BANK NY FLOATING CD DTD 10/12/2012 0.590% 04/12/2013	85325BRR7	4,500,000.00	A-1+	P-1	10/11/12	10/12/12	4,500,000.00	1.17	5,973.75	4,500,000.00	4,517,114.40
<b>Security Type Sub-Total</b>		<b>4,500,000.00</b>					<b>4,500,000.00</b>	<b>1.17</b>	<b>5,973.75</b>	<b>4,500,000.00</b>	<b>4,517,114.40</b>
<b>Managed Account Sub-Total</b>		<b>30,300,000.00</b>					<b>30,726,637.59</b>	<b>0.37</b>	<b>74,345.22</b>	<b>30,479,961.04</b>	<b>30,507,156.44</b>



**Managed Account Detail of Securities Held** For the Month Ending **December 31, 2012**

ALAMEDA CNTY TRANSPORTATION IMPROV AUTH				
Securities Sub-Total	\$30,300,000.00	\$30,726,637.59	0.37%	\$74,345.22
Accrued Interest				\$74,345.22
Total Investments				\$30,581,501.66





Alameda CTC- Alameda Cnty Trans Improv Authority  
Account #471

Holdings Report  
As of 12/31/12

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
AGENCY									
3133XW7L7	FHLB Note 1.5% Due 1/16/2013	1,200,000.00	04/30/2012 0.19 %	1,211,133.60 1,200,639.86	100.05 0.21 %	1,200,643.20 8,250.00	3.89 % 3.34	Aaa AA+	0.04 0.04
3133XX7F8	FHLB Note 1.625% Due 3/20/2013	1,770,000.00	12/16/2011 0.21 %	1,801,169.70 1,775,343.38	100.33 0.14 %	1,775,768.43 8,069.48	5.74 % 425.05	Aaa AA+	0.22 0.22
3137EABM0	FHLMC Note 3.75% Due 6/28/2013	1,750,000.00	12/27/2011 0.29 %	1,840,510.00 1,779,399.23	101.80 0.09 %	1,781,505.25 546.88	5.74 % 2,106.02	Aaa AA+	0.49 0.49
313376J55	FHLB Note 0.375% Due 7/9/2013	1,750,000.00	12/05/2012 0.18 %	1,752,047.50 1,751,808.31	100.11 0.16 %	1,751,977.50 3,135.42	5.65 % 169.19	Aaa AA+	0.52 0.52
880591DW9	Tennessee Valley Authority Note 4.75% Due 8/1/2013	1,000,000.00	10/18/2012 0.22 %	1,035,533.00 1,026,247.37	102.64 0.22 %	1,026,389.00 19,791.67	3.37 % 141.63	Aaa AA+	0.58 0.57
3135G0BR3	FNMA Note 0.5% Due 8/9/2013	1,500,000.00	10/31/2012 0.20 %	1,503,450.00 1,502,701.07	100.19 0.18 %	1,502,890.50 2,958.33	4.85 % 189.43	Aaa AA+	0.61 0.60
313379R76	FHLB Note 0.25% Due 9/6/2013	1,250,000.00	11/16/2012 0.21 %	1,250,425.00 1,250,362.20	100.05 0.18 %	1,250,592.50 208.33	4.03 % 230.30	Aaa AA+	0.68 0.68
31398A3L4	FNMA Callable Note 1X 3/17/11 1.125% Due 9/17/2013	1,225,000.00	11/16/2012 0.22 %	1,234,187.50 1,232,879.35	100.67 0.18 %	1,233,190.35 3,981.25	3.98 % 311.00	Aaa AA+	0.71 0.71
31398A2S0	FNMA Note 1% Due 9/23/2013	1,750,000.00	12/27/2011 0.35 %	1,769,600.00 1,758,179.53	100.58 0.20 %	1,760,136.00 4,763.89	5.68 % 1,956.47	Aaa AA+	0.73 0.72
31331GCS6	FFCB Note 3.875% Due 10/7/2013	1,000,000.00	11/15/2012 0.21 %	1,032,610.00 1,027,994.43	102.82 0.19 %	1,028,191.00 9,041.67	3.34 % 196.57	Aaa AA+	0.77 0.76
31398A4H2	FNMA Callable Note 1X 4/8/11 1.125% Due 10/8/2013	1,535,000.00	10/18/2012 0.21 %	1,548,584.75 1,545,714.73	100.72 0.18 %	1,546,107.26 3,981.41	4.99 % 392.53	Aaa AA+	0.77 0.77
3134G23H3	FHLMC Note 0.5% Due 10/15/2013	1,650,000.00	10/31/2012 0.22 %	1,654,372.50 1,653,606.06	100.25 0.18 %	1,654,144.80 1,741.67	5.33 % 538.74	Aaa AA+	0.79 0.79
313371UC8	FHLB Note 0.875% Due 12/27/2013	1,780,000.00	12/16/2011 0.39 %	1,797,461.80 1,788,529.51	100.68 0.18 %	1,792,182.32 173.06	5.77 % 3,652.81	Aaa AA+	0.99 0.99
Total Agency		19,160,000.00	0.24 %	19,431,085.35 19,293,405.03	0.17 %	19,303,718.11 66,643.06	62.37 % 10,313.08	Aaa AA+	0.61 0.61

COMMERCIAL PAPER

69372APK2	Paccar Financial Discount CP 0.17% Due 2/19/2013	675,000.00	11/19/2012 0.17 %	674,706.75 674,706.75	99.96 0.17 %	674,706.75 137.06	2.17 % 0.00	P-1 A-1	0.14 0.14
00427RQ53	HSBC USA Inc Discount CP 0.26% Due 3/5/2013	850,000.00	11/08/2012 0.26 %	849,281.75 849,281.75	99.92 0.26 %	849,281.75 331.50	2.74 % 0.00	P-1 A-1	0.18 0.18
36959HQB6	General Electric Capital Corp Discount CP 0.28% Due 3/1/2013	500,000.00	09/12/2012 0.28 %	499,300.00 499,300.00	99.86 0.28 %	499,300.00 431.67	1.61 % 0.00	P-1 A-1+	0.19 0.19
662J0QD7	JP Morgan Discount CP 0.3% Due 3/13/2013	500,000.00	09/12/2012 0.30 %	499,241.65 499,241.65	99.85 0.30 %	499,241.65 462.51	1.61 % 0.00	P-1 A-1	0.20 0.20
06416JQJ5	Bank of Nova Scotia Discount CP 0.26% Due 3/18/2013	620,000.00	09/19/2012 0.26 %	619,216.39 619,216.39	99.87 0.26 %	619,216.39 443.30	2.00 % 0.00	P-1 A-1	0.21 0.21



CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
<b>COMMERCIAL PAPER</b>									
9033E0R40	US Bancorp Discount CP 0.22% Due 4/4/2013	300,000.00	10/04/2012 0.22 %	299,668.17 299,668.17	99.89 0.22 %	299,668.17 161.33	0.97 % 0.00	P-1 A-1+	0.26 0.26
36959HRP4	General Electric Capital Corp Discount CP 0.23% Due 4/23/2013	350,000.00	10/23/2012 0.23 %	349,593.03 349,593.03	99.88 0.23 %	349,593.03 156.53	1.13 % 0.00	P-1 A-1+	0.31 0.31
4662JOS11	JP Morgan Discount CP 0.3% Due 5/1/2013	350,000.00	10/23/2012 0.30 %	349,445.83 349,445.83	99.84 0.30 %	349,445.83 204.17	1.13 % 0.00	P-1 A-1	0.33 0.33
89233GTC0	Toyota Motor Credit Discount CP 0.31% Due 6/12/2013	600,000.00	10/11/2012 0.31 %	598,739.33 598,739.33	99.79 0.31 %	598,739.33 423.67	1.93 % 0.00	P-1 A-1+	0.45 0.45
89233GTL0	Toyota Motor Credit Discount CP 0.3% Due 6/20/2013	350,000.00	10/23/2012 0.30 %	349,300.00 349,300.00	99.80 0.30 %	349,300.00 204.17	1.13 % 0.00	P-1 A-1+	0.47 0.47
<b>Total Commercial Paper</b>		<b>5,095,000.00</b>	<b>0.26 %</b>	<b>5,088,492.90</b> <b>5,088,492.90</b>	<b>0.26 %</b>	<b>5,088,492.90</b> <b>2,955.91</b>	<b>16.39 %</b> <b>0.00</b>	<b>P1</b> <b>A-1</b>	<b>0.26</b> <b>0.25</b>
<b>MONEY MARKET FUND FI</b>									
431114701	Highmark Govt Money Market Fund	3,917,524.42	Various 0.00 %	3,917,524.42 3,917,524.42	1.00 0.00 %	3,917,524.42 0.00	12.61 % 0.00	Aaa AAA	0.00 0.00
<b>Total Money Market Fund FI</b>		<b>3,917,524.42</b>	<b>0.00 %</b>	<b>3,917,524.42</b> <b>3,917,524.42</b>	<b>0.00 %</b>	<b>3,917,524.42</b> <b>0.00</b>	<b>12.61 %</b> <b>0.00</b>	<b>Aaa</b> <b>AAA</b>	<b>0.00</b> <b>0.00</b>
<b>NEGOTIABLE CD</b>									
89112X5J0	Toronto Dominion Bank Yankee CD 0.27% Due 4/15/2013	650,000.00	09/17/2012 0.25 %	650,075.70 650,037.49	100.01 0.25 %	650,037.49 516.75	2.09 % 0.00	P-1 A-1+	0.29 0.29
<b>Total Negotiable CD</b>		<b>650,000.00</b>	<b>0.25 %</b>	<b>650,075.70</b> <b>650,037.49</b>	<b>0.25 %</b>	<b>650,037.49</b> <b>516.75</b>	<b>2.09 %</b> <b>0.00</b>	<b>Aaa</b> <b>AAA</b>	<b>0.29</b> <b>0.29</b>
<b>US CORPORATE</b>									
931142AS2	Wal-Mart Stores Note 7.25% Due 6/1/2013	725,000.00	10/04/2012 0.21 %	757,704.75 746,104.35	102.74 0.65 %	744,880.23 4,380.21	2.41 % (1,224.12)	Aa2 AA	0.42 0.42
91159HGW4	US Bancorp Note 2% Due 6/14/2013	600,000.00	09/13/2012 0.31 %	607,470.00 604,554.20	100.72 0.40 %	604,328.40 566.67	1.95 % (225.80)	A1 A+	0.45 0.45
594918AF1	Microsoft Note 0.875% Due 9/27/2013	670,000.00	12/07/2012 0.23 %	673,396.90 673,161.82	100.43 0.29 %	672,913.16 1,530.76	2.17 % (248.66)	Aaa AAA	0.74 0.74
<b>Total US Corporate</b>		<b>1,995,000.00</b>	<b>0.25 %</b>	<b>2,038,571.65</b> <b>2,023,820.37</b>	<b>0.45 %</b>	<b>2,022,121.79</b> <b>6,477.64</b>	<b>6.53 %</b> <b>(1,698.58)</b>	<b>Aa2</b> <b>AA</b>	<b>0.53</b> <b>0.53</b>
<b>TOTAL PORTFOLIO</b>		<b>30,817,524.42</b>	<b>0.22 %</b>	<b>31,125,750.02</b> <b>30,973,280.21</b>	<b>0.19 %</b>	<b>30,981,894.71</b> <b>76,593.36</b>	<b>100.00 %</b> <b>8,614.50</b>	<b>Aaa</b> <b>AA+</b>	<b>0.46</b> <b>0.46</b>
<b>TOTAL MARKET VALUE PLUS ACCRUED</b>						<b>31,058,488.07</b>			



## **Citizens Watchdog Committee Issues Identification Process**

### **Summary**

This issues identification process outlines the responsibilities of the Citizens Watchdog Committee (CWC) and the process to bring and address issues of concern to the CWC.

### **CWC Responsibilities**

The Citizen Watchdog Committee is charged with the following as written in the Expenditure Plan approved by voters in November 2000:

“This committee will report directly to the public and will be charged with reviewing all expenditures of the Agency [Alameda County Transportation Commission (Alameda CTC)].” The responsibilities of the committee are to:

- Hold public hearings and issue reports, on at least an annual basis, to inform Alameda County residents how the funds are being spent. The hearings are open to the public and must be held in compliance with the Brown Act, California’s open meeting law, with well-publicized information announcing the hearings posted in advance.
- Have full access to the Commission’s independent auditor and authority to request and review specific information and to comment on the auditor’s reports.
- Publish an annual report and any comments concerning the Commission’s audit in the local newspapers. In addition, copies of these documents must be made available to the public at large.

The Commission also allows the CWC to fulfill its mission by requesting information directly from Measure B fund recipients.

### **Review Process**

The goals for any review of projects and programs by the CWC are to report to the public and make recommendations to the Alameda CTC staff and Board. To this end, the tasks for the CWC to focus on: 1) proper expenditure of Measure B funds; 2) the timely delivery of projects per contract agreements and the Expenditure Plan; and 3) adherence to the projects or programs as defined in the voter-approved Expenditure Plan.

## **CWC Issues Identification Process**

During the review process, CWC members will use the following procedures:

1. Issues that are raised by CWC members regarding financial and contract compliance issues may be legitimate topics to pursue through the request of a project or program sponsor to appear before the CWC.
2. Before calling on a sponsor to appear, CWC members must submit a “CWC Issues Form” (attached) to the CWC chair or vice-chair for placement on the agenda at the next CWC meeting.
3. CWC members may also submit CWC Issues Forms during a meeting, which the chair will take into consideration, and at his or her discretion, address at that particular meeting.
4. The full CWC must approve issues identified in a CWC Issues Form to address in further detail by an affirmative vote.
5. CWC members may form an ad-hoc subcommittee to draft CWC questions that need answers from the project/program sponsors and to receive a presentation from a project or program sponsor specifically addressing the issues, questions, or concerns raised by the CWC.
6. The subcommittee should consider the resources listed below, either in preparation for the review meeting, or for examination during the meeting.

The reviews are expected to be organized, thorough and efficient, and may result in a clear recommendation for further action, if needed.

### **Resources for CWC (not inclusive)**

- Adopted Measure B Expenditure Plan (blue book)
- Up-to-date list of project/program sponsors contacts
- Alameda CTC staff responsible for oversight of the project/program
- Information about public hearings, recent discussions, or news clippings provided by Alameda CTC staff to the CWC by mail or at meetings
- Other Alameda CTC community advisory committees (for example, the Citizens Advisory Committee, Paratransit Advisory and Planning Committee, or Bicycle and Pedestrian Advisory Committee chair-persons may be called on to address an issue.)
- Alameda CTC Auditor (for example, to request, “Are these figures reasonable/reliable?”)
- Alameda CTC Executive Director (for example, to request “Is this the intention of the Expenditure Plan?”)
- Alameda CTC Attorney (for example, to determine, “Is this a legal issue?”)

**CITIZENS WATCHDOG COMMITTEE ISSUES FORM**

**Alameda County Transportation Commission (Alameda CTC)**  
**1333 Broadway, Suite 300**  
**Oakland, California 94612**  
**Voice: 510-893-3347 Fax: 510-893-6489**

The CWC is required to review all Measure B expenditures. This form allows formal documentation of potential issues of concern regarding expenditure of Measure B funds. A concern should only be submitted to the CWC if an issue is directly related to the potential misuse of Measure B funds or non-compliance with Alameda CTC agreements or the Expenditure Plan approved by voters. This form may be used only by acting CWC members.

**Date:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_

**Governmental Agency of Concern** (Include name of agency and all individuals)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Agency's Phone Number:** \_\_\_\_\_

**Agency's Address:** \_\_\_\_\_

**City** \_\_\_\_\_ **Zip Code:** \_\_\_\_\_

**Which one of the following Measure B expenditures is this concern related to:**

(Please check one)

☐ Capital Project    ☐ Program    ☐ Program Grant    ☐ Administration

**Please explain the nature of your concern and how you became aware of it providing as much detail as you can, including the name of the project or program, dates, times, and places where the issues you are raising took place.** (Use additional sheets of paper if necessary)

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**PROCESS -**

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**PROTECTION -**

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**Action Taken -** Please list other parties or agencies you have contacted in an attempt to more fully understand this issue and any actions you yourself have taken.

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Prepared by P Mike Dubinsky 29 Jan 2012

An analysis of Paratransit funding in Alameda County, CA. based on a review of public information available on the Alameda County Transportation Commission (ACTC) webpage.

Background

Under a 2000 voter proposition titled Measure B Alameda County collects and distributes tax money for use by local jurisdictions and transit agencies in several program areas including paratransit. The two largest mass transit agencies- BART and AC Transit (ACT) contract with the East Bay Paratransit Consortium to provide rides for senior and disabled residents who cannot efficiently use the bus or train. The rides provided are supposed to be comparable with the bus and train routes. Local jurisdictions then coordinate programs for door to door service for the same population (seniors & disabled residents) for trips which would not be compatible with the bus or train routes.

Points drawn from the review of the Paratransit sections of Jurisdictional Compliance review submissions-2011-2012

The following points/comments/questions are drawn from a review of reports submitted annually by the jurisdictions relative to the manner in which they spent the tax dollars.

1. Both BART & ACT work through the East Bay Paratransit Consortium (EBPC) and between them report that in the 2011-2012 fiscal year they coordinated transit for 753,896 passengers through a contract with Veolia Transportation which exceeds \$33.8Mil (BART & ACT combined). The cost per trip is almost \$45.00. Since it appears the money is used primarily to pay for the contractor has the contractor been audited? Was the Contractor qualified through some vendor qualification?
2. If ACTC allocates Paratransit funds to BART and ACT and they then contract with EBPC (Veolia) is that an efficient way to do business? Between BART & AC Transit over \$300k is spent managing a program they appear to essentially turn over to EBPC. Why not centralize the contractual arrangements somehow and eliminate duplicative administrative effort and perhaps gain some economy of scale. The ACTC may also wish to ask for the EBPT to submit an audit report!
3. In checking the webpages for ACT and BART they refer riders who cannot use the bus or train to contact EBPC. In checking the EBPC webpage they serve not only BART and ACT but also 11 of the Jurisdictions in Alameda County who receive and use Paratransit funds under Measure B. Is there a clear line of demarcation between the services EBPC provides and what the 11 jurisdictions are providing via their door to door services?
4. In reviewing the paratransit sections of the 2011-2012 compliance submissions made by the 11 Alameda County jurisdictions that are served by the EBPC information was analyzed to estimate the cost per trip of door to door services and the % of allocated funds spent on managing the program coordinated by the jurisdiction. Both of those data points show some significant differences which may be worthy of more in depth review to determine if they indicate that some reassessment is appropriate. It is useful to mention that the source documents for the information used to populate the table are the Compliance reports made to the ACTC and not the actual program records of the jurisdiction.

Table comparing the Paratransit funding schemes based on available MB 2011-2012 Compliance information  
Prepared by PMD Dubinsky 1/28/2013

<b>Jurisdiction</b>	<b>Is a single rider program provided?</b>	<b># of registered riders (Seniors /disabled)</b>	<b># trips reported</b>	<b>Cost / trip</b>	<b>% of overall Paratransit Program funds spent on Management</b>
AC Transit	outsourced	18,586*	520188	\$45.00	**
BART	outsourced	18,586*	233708	\$45.00	***
Hayward	Yes	1783	Not reported	?	>5%
Alameda	Yes	601	7575	\$23.00	14%
Albany	Yes	250	439	\$12.00	14%
Berkeley	Yes(4 versions)	725	8283	\$16-\$38	>9%
Emeryville	Yes	N/A	140	\$22.00	0%
Fremont	Yes	2089	N/A	?	10%
Newark	Yes	424	4728	\$32.00	0%
Oakland	Yes	1325	31,149	\$16-\$29	26%
Pleasanton	Yes	332	11696	\$40.00	7.5%
San Leandro	Yes	280	11,055	\$23	15%
Union City	Yes	1075	20,837	\$39.00	10%
LAVTA	Yes	NA	44,596	\$26.00	14%

\*ACT & BART report the same # of registered Riders.

\*\*ACTransit reports over \$132k spent on management of Paratransit.

\*\*\*Bart reports over \$200k spent on management and coordination of Paratransit

Some Questions that might be useful to ask & answer based on the table data

- Do the programs provided by the jurisdictions differ in ways that result in the cost / trip differing from \$12 to \$40 each? Or should there be a better correlation?
- Should we expect the cost of managing each jurisdictions program as a % of the overall funds spent to be more consistent? (Note- The % management cost is calculated based on the total amount spent on paratransit which for some jurisdictions exceeds the Measure B allocation)
- Does the EBPC per trip fee of \$45.00 raise questions about the efficiency of the operation?
- While there is no indication that program service in any of the jurisdictions or that provided by EBPC is problematic is there any survey or other data indicating that program performance is satisfactory?

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**From:** John Hemiup [<mailto:jhemiup@alamedactc.org>]  
**Sent:** Wednesday, February 13, 2013 6:21 PM  
**To:** Mike Dubinsky ([foxrun9@comcast.net](mailto:foxrun9@comcast.net))  
**Cc:** James Paxson ([james@hacienda.org](mailto:james@hacienda.org)); Tess Lengyel  
**Subject:** Response to CWC Comments

Dear Mr. Dubinsky,

I received a copy of your email, and as the Alameda CTC Project Manager for the Measure B Program Compliance Reporting effort for Fiscal Year 2011/12, I have been requested to research your inquiries and respond to your attached email. You have brought forth very interesting questions in this email regarding the management, and cost per trip, of East Bay Paratransit operations. Staff has arranged for a meeting next week with both AC Transit and BART representatives, Ms. Mallory Nestor and Ms. Laura Timothy, to research the answers to your inquiries.

In addition, Staff has included all CWC members' requested compliance report questions in the Request For Information (RFI) letters that were sent to local agencies on February 4, 2013 (CWC members will be copied under a separate cover). Ms. Nestor and Ms. Timothy have almost completed their responses to those CWC questions and we will discuss the outcome of those inquiries also. We anticipate responses to the RFIs for additional information, clarification and corrections to the FY11/12 Program Compliance Reports in late February.

In regard to the use of Measure B funds for the East Bay Paratransit program, staff has confirmed that the providers of East Bay Paratransit, AC Transit & BART, have utilized Measure B funds per the requirements and are consistent with the Master Program Funding Agreement (MPFA).

As you may be aware, the East Bay Paratransit program provides the federal American with Disability Act (ADA) mandated transportation services for the AC Transit and BART services to registered/qualified individuals for trips within 0.75 miles of a fixed route bus or rail corridor. Measure B funds a portion of the East Bay Paratransit service that is provided in Alameda County (about 15%). The ADA mandates equal access to transportation for disabled individuals. The East Bay Paratransit service provided 753,896 trips in FY11/12. Given the geographic size of the service area of Alameda County, and the ADA mandate to honor all trip requests, the operation of this service has inherent inefficiencies.

Local Agencies also work in partnership with AC Transit & BART to fill gaps in transportation services by providing a suite of local paratransit services. These services may include individuals who do not qualify for East Bay Paratransit services (i.e. trips not within the 0.75 mile ADA mandated service area or seniors that do not meet ADA mandated eligibility criteria or individuals that require more than curb to curb service). These local services often benefit from smaller service areas (i.e. shorter trips) and greater trip flexibility for a non ADA mandated service.

Regards,  
John

John Hemiup, P.E.  
Project Manager  
Alameda County Transportation Commission  
1333 Broadway, Ste. 220  
Oakland, CA 94612

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# CWC Member Capital Projects Monitoring Responsibilities

The projects marked with an "X" above are those I am interested in monitoring.

Signature

Alameda CTC Programs  
FY 2012-2013

CWC Member Program  
Monitoring Responsibilities

CWC Member Program Monitoring Responsibilities		Appointed By																															
		Member's Name		Alameda (BP,LSR)	Albany (BP, LSR, P)	Berkeley (BP, LSR, P)	Dublin (BP, LSR)	Emeryville (BP, P)	Fremont (BP, LSR, P)	Hayward (BP, LSR, P)	Livermore (BP, LSR, P)	Newark (BP, LSR, P)	Oakland (BP, LSR, P)	Piedmont (BP, LSR, P)	Pleasanton (BP, LSR)	San Leandro (BP, LSR, P)	Union City (BP, LSR, P)	Ala. County North (LSR)	Ala. County Central (LSR)	Ala. County East (LSR)	Ala. County South (LSR)	25 % Countywide Bike & Ped	Paratransit (City Programs)	Paratransit - BART	AC Transit - AC Transit	AC Transit - Transit Operations	Alameda (Ferry Services)	Altamont Commuter Express	Union City Transit Operations	LAVTA Transit Operations	Countywide Express Bus	Transit-oriented Development	
	Brady, Petra		Alameda County Mayors' Conference, D-4																														
	Dubinsky, Mike		Supervisor Richard Valle, D-2				X																					X	X				
	Geen, Arthur B.		Alameda County Taxpayers Association									X															X						
	Haussener, James		Supervisor Nate Miley, D-4					X										X															
	Jones, Steven		Alameda County Mayors' Conference, D-1																														
	Klinke, William		Alameda Labor Council AFL-CIO																														
	Lew, Jo Ann		Alameda County Mayors' Conference, D-2		X									X														X	X			X	
	Paxson, James		East Bay Economic Development Alliance																							X							
	Saunders, Harriette		Paratransit Advisory and Planning Committee																														
	Taylor, Deborah		Supervisor Wilma Chan, D-3																														
	Zukas, Hale		Supervisor Keith Carson, D-5																														
	Vacancy		Alameda County Mayors' Conference, D-3																														
	Vacancy		Alameda County Mayors' Conference, D-5																														
	Vacancy		East Bay Bicycle Coalition																														
	Vacancy		League of Women Voters																														
	Vacancy		Sierra Club																														
	Vacancy		Supervisor Scott Haggerty, D-1																														

BP = Bicycle and Pedestrian  
LSR = Local Streets and Roads  
M = Mass Transit  
P = Paratransit (special transportation for seniors and people with disabilities)

Signature

**Alameda CTC Board Action Items  
Fiscal Year 2012 - 2013**

Commission Meeting Date	Item Title	Item #	Item Description / Staff Recommendation	Motion	2nd	Vote
26-Jul-12	<b>Approval of Consent Calendar</b>	6A	Minutes of June 26, 2012			
		6B	Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments Prepared by Local Jurisdictions	Haggerty	Atkin	18-0
		6C	Approval of Issuance of a Request for Proposals (RFP) for Southbound I-680 Express Lane			
		6D	Approval of Amendment No. 3 to the 2012 Level of Service (LOS) Monitoring Study Contract			
		6E	Review of Plan Bay Area Notice of Preparation (NOP) for a Draft Environmental Impact Report (EIR)			
		6F	Approval of Resolutions of Local Support for Approved Lifeline Funding for Community-based Transportation Plan Updates			
		6G	Review of Vehicle Registration Fee (VRF) Transportation Technology Program			
		6H	Review of California Transportation Commission (CTC) June 2012 Meeting Summary			
		6I	Approval of I-Bond Project Funding Plan Revisions and Amendments to Professional Service Agreements - Recommendation 1 in Staff Report	Harper	Haggerty	18-0
			Remaining Recommendations in Staff Report			
		6J	Safe Routes to School Program - Approval of Amendment No. 1 to the Alta Consulting Professional Services Agreement (Agreement #A11-0019)	Kaplan Haggerty	Chan Atkin	17-1 18-0
		6K	I-80 Gilman Interchange Project - Approval of Amendment No. 1 to Extend the PB Americas Inc. Professional Services Contract			
			Expiration Date and Revise the Scope			
		6L	I-580 off-ramp at 106th Project - Approval of Amendment No. 1 to Extend the URS Corporation Professional Services Contract			
			Expiration Date			
		6M	I-80 Integrated Corridor Mobility Project (ICM) Project - Approval to Execute a Contract for Project No. 2 to Provide Specialty Material and Equipment			
		6N	I-580 San Leandro Soundwall Landscape Project - Approval to Execute a Contract for the Construction Contract			
		6O	Central County Same Day Transportation Services - Award of Contract to St. Mini Cab Corporation			
		6P	Approval of Amendment No. 1 to the Acumen Contract for Transportation Planning Services			
		6Q	Approval of Issuance of a Request for Proposals (RFP) for Project Controls Services and Authorization to Negotiate and Execute a Contract			
		6R	Approval of Appointments for the Community Advisory Committees			



**Alameda CTC Board Action Items**  
**Fiscal Year 2012 - 2013**

27-Sep-12	Approval of Programs and Projects Committee Action Items	Approval of Consent Calendar	Approval of Altamont Commuter Express (ACE) FY 2012/13 Baseline Service Plan Amendment			18-0
			9A	Haggerty	Miley	
27-Sep-12	Approval of Programs and Projects Committee Action Items	Approval of Consent Calendar	9B	Approval of Transportation Fund for Clean Air (TFCA) Final FY 2012/13 Program		18-0
			6A	Minutes of July 27, 2012		
			6B	Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments	Atkin	Haggerty
			6C	Review of California Transportation Commission (CTC) August 2012 Meeting Summary	Atkin	Kaplan
			6D	Approval of City of Newark's Request to Extend Expiration Date for Measure B Bicycle and Pedestrian Countywide Discretionary Fund Grant Agreement No. A09-0022, Newark Pedestrian and Bicycle Master Plan		
			6E	Approval of the City of Oakland's Request to Extend the Agreement Expiration Date for Measure B Transit Center Development Grant Agreement No. A07-0019, 7th Street, West Oakland Transit Village Project		
			6F	Approval of Transportation Fund for Clean Air (TFCA) Program Expenditure Deadline Extension Request for City of Hayward TFCA Project 10ALA04, Traffic Signal Controller Upgrade and Signalization		
			6G	Approval of TFCA Program Expenditure Deadline Extension Request for Alameda CTC TFCA Projects 08ALA01 and 09ALA01, Webster Street Corridor Enhancements		
			6H	Altamont Commuter Express Rail Project (ACTIA No. 01) Approval of Allocation of 2000 Measure B Capital Program Funding		
			6I	Eastbound I-580 HOV Lane Project (RM2 Subproject 32.1d) - Approval of the Initial Project Report to Request MTC Allocation of Regional Measure 2 Funds for Construction of I-580 Eastbound Auxiliary Lane (Segment 3), Project No. 420.5		
6J	Webster St. SMART Corridor Project - Approval to Award a Construction Contract					
6K	Approval of Issuance of a Request for Proposals (RFP) for Design Services and Authorization to Negotiate and Execute a Contract for Landscape and Hardscape Enhancements at I-880/Marina Boulevard and Davis Street Interchanges in the City of San Leandro					
6L	Approval of Alameda CTC Fiscal Year End 2011-12 Consolidated Year-End Investment Report					
6M	Approval of the Semi-Annual Contract Equity Utilization Report and Contract Award Report for January 1, 2012 through June 30, 2012					
6N	Approval of Issuance of a Request for Proposals for Financial Advisory Services and Authorization to Negotiate and Execute a Contract					

# **Alameda CTC Board Action Items** **Fiscal Year 2012 - 2013**

25-Oct-12	<b>Approval of Consent Calendar</b>	6O Approval of Appointments for the Community Advisory Committees			
		6A Minutes of September 27, 2012	Blalock	Worthington	22-0
		6B Legislative Update			
		6C Review of Congestion Management Plan (CMP): Draft 2012 Conformity Requirements			
		6D Approval of Final Draft Countywide Bicycle and Pedestrian Plans			
		6E Review of Safe Routes to Schools Program 2011-2012 Year-End Report and Update	Miley	Kaplan	22-0
		6F Approval of Final Draft Alameda CTC Complete Streets Elements			
		6G Approval of State Transportation Improvement Program (STIP) At Risk Report	Blalock	Worthington	22-0
		6H Approval of Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAW) Program At Risk Report			
		6I Approval of CMA Exchange Program Quarterly Status Monitoring Report			
		6J Approval of Transportation Fund for Clean Air (TFCA) Program At Risk Report			
		6K Review of FY 11-12 Alameda CTC Program Status Update on Pass-through Fund and Grant Programs			
		6L Review of California Transportation Commission (CTC) September 2012 Meeting Summary			
		6M East Bay Greenway - Authorization to Execute all Necessary Agreements for Construction Management of East Bay Greenway Segment			
		6N Isabel Avenue/Route 84/I-580 Interchange Project (ACTC No. 623) - Approval of Reduction of 2000 Measure B Allocated Amount by \$1.5 million and of Amendments to Project Specific Funding Agreements A07-0058 and A08-0045 (Amendments No. 1 and 2, respectively) between the Alameda CTC and the City of Livermore to shift the Allocated Measure B Funding Between Phases and to Extend the Termination Dates			
		6O Dumbarton Corridor Project (ACTC No. 625) - Approval of Time Extension for Project Specific Funding Agreement No. A05-0007 (Amendment No. 5) Between the Alameda CTC and San Mateo County Transportation Authority			
		6P Eastbound I-580 High Occupancy Toll (HOT) Project (ACTC No. 720.4) - Approval of Time Extension for Professional Service Agreement No. A08-030 (Amendment No. 2) Between the Alameda CTC and Solem and Associates			
		6Q Oakland Airport Connector Project (ACTC Project No. 603) - Approval of Time Extension for Project Specific Funding Agreement No. A06-0041 (Amendment No. 4) Between the Alameda CTC and the San Francisco Bay Area Rapid Transit District (BART)			

**Alameda CTC Board Action Items**  
**Fiscal Year 2012 - 2013**

6R	I-880 Operational and Safety Improvements at 23rd and 29th Avenues Project (ACTC Project No. 717.0) - Approval of the Initial Project Report to Request MTC Allocation of Regional Measure 2 Funds for Construction Support				
6S	I-238 Widening Project (ACTC No. 621.0) - Approval of Reduction CMA TIP Programmed Amount for the I-Bond Project Development Closeout, Construction Phase Support and Project Closeout; and Adopt the I-238 Widening Project Closeout into the CMA TIP, and Authorize Related Amendments to Existing Agreements and Contracts				
6T	Alameda CTC Semi-Annual Capital Projects Status Update				
6U	Approval of Alameda County Technical Advisory Committee (ACTAC) Bylaws				
6V	Approval of Exchange Program Reimbursement Policy				
6W	Approval of Advisory Committee Appointments				
8A	East Bay Greenway - Adoption of Initial Study/Mitigated Negative Declaration (IS/MND) for 12-Mile East Bay Greenway Project	Kaplan	Worthington		22-0
9A	Approval of Priority Development Area (PDA) Readiness Criteria Recommendation 1	Worthington	Blalock		22-0
	Recommendation 2	Haggerty	Chan		22-0
9B	Approval of Draft One Bay Area Grant (OBAG) Program Guidelines Elements	Haggerty	Atkin		22-0
6A	Minutes of October 25, 2012	Haggerty	Worthington		20-0 (1 abstained, Thorne)
6B	Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments				21-0
6C	Approval of Congestion Management Program: Final 2012 Annual Conformity Requirements				
6D	Approval of Draft 2013 Alameda CTC Legislative Program				20-0 (1 abstained, Thorne)
6E	Presentation from Contra Costa Transportation Authority (CCTA) on State Route 239 (TriLink) Study				21-0
6F	Approval of Issuance of a Request for Qualifications (RFQ) for a Sustainable Communities Technical Assistance Program (SC-TAP)				
6G	Approval of the Alameda-Contra Costa Transit District's (AC Transit) Request to Extend the Agreement Expiration Date for the Measure B Paratransit Gap Grant Agreement No. A08-0026, New Freedom Fund Match Project				
6H	Approval of the Reprogramming of Cycle 2 Lifeline Transportation Program Funding				
6I	California Transportation Commission (CTC) October 2012 Meeting Summary				

**Approval of Programs and Projects Committee Action Items**  
**Approval of Planning, Policy and Legislation Committee Action Items**

**6-Dec-12 Approval of Consent Calendar**

**Alameda CTC Board Action Items**  
**Fiscal Year 2012 - 2013**

6J	Approval of Priority Conservation Area (PCA) Process and Schedule			
6K	Report of Pavement Condition of Bay Area Jurisdictions 2011 by the Metropolitan Transportation Commission (MTC)			
6L	I-680 Northbound Express Lane Project (ACTIA 8B) - Allocation of 2000 Measure B Capital Funding and Approval of Amend the Professional Services Agreement with WMH Corporation for Expanded Scope of Services			
6M	Telegraph Avenue Corridor Transit Project (APN 607.0) - Approval of Allocation of Measure B Funding for the Plans, Specifications and Estimate (Design) Phase			
6N	Approval of Authorization for Staff to negotiate and/or coordinate with California Department of Transportation (Caltrans) to negotiate for the sale of the Alameda CTC-owned Property (APN 543-275-12-2) and Update on the Draft Disposal Plan for State-owned Right-of-way that was Purchased for the Former Route 84 Historic Parkway in Fremont and Union City			20-0 (1 abstained, Thorne) 21-0
6O	Approval of the Executive Director's Salary for Fiscal Year for 2012-13			
6P	Approval of the Alameda CTC FY 2012-13 First Quarter Investment Report			
6Q	Approval of the Alameda CTC FY 2012-13 First Quarter Financial Report			
6R	Approval of the ACCMA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012			
6S	Approval of the ACTIA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012			
6T	Approval of Advisory Committee Appointments			
8A	Review of Draft Priority Development Area (PDA) Readiness Classification	Haggerty	Sabranti	26-0
8B	Review of Draft One Bay Area Grant Program Guidelines	Javandel	Atkin	26-0
4A	Election of Chair	Reid	Marchand	25-0
4B	Election of Vice Chair	Capitelli	Reid	25-0
6A	Minutes of December 6, 2012	Blalock	Carson	26-0
6B	Congestion Management Program: Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments			
6C	2012 level of Service Monitoring Study Results			
6D	Approval of the 2013 Countywide Travel Demand Model Update Process and Authorization to Execute a Contract with the Santa Clara Valley Transportation			
6E	Approval of Contract Amendment #1 for the Southbound I-680 Express Lane Evaluation "After" Study			

**Approval of Planning, Policy and Legislation Committee**

**Action Items**

**Election of Chair and Vice**

**Chair**

**Approval of Consent**

**Calendar**

24-Jan-13

**Alameda CTC Board Action Items**  
**Fiscal Year 2012 - 2013**

6F	Approval of a Resolution of Local Support for Federal Funding for the Alameda CTC's Sustainable Communities Technical Assistance Program			
6G	Measure B Paratransit Program - Approval of the Measure B-funded Cycle 5 Gap Grant Program Gap Cycle 5 Program			
6H	Approval to Submit Investment Justifications and Project Applications for the State Proposition 1B Transit System Safety, Security & Disaster Response Account (TSSSDRA) Funds for Fys 2010-11, 2011-12 and 2012-13			
6I	Approval of Issuance of a Request for Proposal for Professional Services, Authorization to Negotiate and Execute a Contract, and Approve Resolution for Federal Funding for Countywide Safe Routes to School Services			
6J	California Transportation Commission December 2012 Meeting Summary			
6K	I-880/Marina Boulevard Interchange Improvements (APN 750.0) - Approval of Amendment No. 4 to the Professional Services Agreement with BKF Engineers (Agreement No. A08-016)			
6L	I-580 Westbound Express (HOT) Lane Project (APN 724.1) - Approval of Amendment No. 2 to the Professional Services Agreements with URS Corporation (Agreement No. A11-0024)			
6M	East Bay Greenway Project (ACTIA 28) - Approval of a Construction Contract for the Construction of the East Bay Greenway Project - Segment 7A			
6N	Adoption of the Alameda CTC 2013 Regular Meeting Schedule			
6O	Approval of the Alameda CTC Draft Audited Annual Financial Report and the ACTIA Limitations Worksheet for the Fiscal Year Ended June 30, 2012			
6P	Staff Salaries and Benefits Resolution for Fiscal Year 2013-14			
6Q	Update on Office Relocation			
6R	Approval of Advisory Committee Appointment			
8A	Legislative Update and Approval of Legislative Positions	Reid	Sbranti	27-0

**Approval of Planning, Policy  
and Legislation Committee  
Action Items**

## **Fiscal Year 2012-2013 Calendar of CWC Meetings and Activities**

*CWC meets quarterly on the second Monday from 6:30 to 8:30 p.m.  
at the Alameda CTC offices*

### **July 9, 2012 CWC Meeting**

- Public Hearing on CWC Annual Report
- Addressing Public Comments
- Finalizing Annual Report and Publications
- Approval of FY 2012-2013 Annual Calendar
- Financial Update: Final Budget for Fiscal Year 12-13
- CWC Watch List for FY 2012-2013 (send letter to Jurisdictions reminding them of keeping CWC informed on projects/programs)

### **October 2012**

- CWC Post-Audit Subcommittee Meeting

### **November 19, 2012 CWC Meeting**

- Audited Financials for Prior Fiscal Year End
- Quarterly Investment Report
- CWC Annual Report Outreach Summary and Publication Costs Update
- Update on Program Compliance Workshop
- Quarterly Alameda CTC Commission Action Items

### **January 14, 2013 CWC Meeting**

- Sponsor Compliance Audits and Reports – Forwarded to CWC without Staff Analysis
- Projects and Programs Overview/Update
- Project Sponsor Presentations – if requested
- Quarterly Alameda CTC Commission Action Items

### **February 2013**

- Email to CWC members the mid-year budget update the same time it goes to the Finance and Administration Committee (FAC)

### **March 11, 2013 CWC Meeting**

- Summary of Sponsor Audits/Programs – Report Card to CWC
- Establishment of CWC Annual Report Subcommittee
- Draft Compliance Summary and Audit Report
- Mid Year Budget Update
- Quarterly Investment Report
- Quarterly Alameda CTC Commission Action Items
- Project Sponsor Presentations – if requested

### **April 2013 CWC Annual Report Subcommittee Meeting**

- Prepare Draft Annual Report

Note: Quarterly investment reports are sent via email to all CWC members as soon as they are available

## **Fiscal Year 2012-2013 Calendar of CWC Meetings and Activities**

*CWC meets quarterly on the second Monday from 6:30 to 8:30 p.m.  
at the Alameda CTC offices*

### **June 10, 2013 CWC Meeting**

- Finalize Draft Annual Report
- Election of Officers
- Approval of Bylaws
- Final Strategic Plan
- Financial Update: Final Budget Update for Fiscal Year 12-13
- Proposed Budget for the Next Fiscal Year
- Quarterly Investment Report
- Quarterly Alameda CTC Commission Action Items
- Project Sponsor Presentations – if requested

### **July 2013**

- CWC Pre-Audit Subcommittee Meeting

**Alameda County Transportation Commission  
Citizens Watchdog Committee  
Roster - Fiscal Year 2012-2013**

CWC Meeting 03/11/13

Attachment 10C2

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July '12*
1	Mr.	Paxson, Chair	James	Pleasanton	East Bay Economic Development Alliance	Apr-01		N/A	0
2	Ms.	Saunders, Vice-Chair	Harriette	Alameda	Paratransit Advisory and Planning Committee	Jul-09		N/A	0
3	Ms.	Brady	Petra Olivia	Oakland	Alameda County Mayors' Conference, D-4	Oct-11		Oct-13	2
4	Mr.	Dubinsky	Peter "Mike"	Fremont	Alameda County Supervisor Richard Valle, D-2	Oct-10		Oct-12	0
5	Mr.	Geen	Arthur B.	Oakland	Alameda County Taxpayers Association	Jan-01		N/A	3
6	Mr.	Haussener	James	Castro Valley	Alameda County Supervisor Nate Miley, D-4	Feb-10	Sep-12	Sep-14	0
7	Mr.	Jones	Steven	Dublin	Alameda County Mayors' Conference, D-1	Dec-12		Dec-14	0
8	Mr.	Klinke	William	Berkeley	Alameda Labor Council AFL-CIO	Feb-13		Feb-15	0
9	Ms.	Lew	Jo Ann	Union City	Alameda County Mayors' Conference, D-2	Oct-07	Oct-11	Oct-13	0
10	Ms.	Taylor	Deborah	Oakland	Alameda County Supervisor Wilma Chan, D-3	Jan-13		Jan-15	0
11	Mr.	Zukas	Hale	Berkeley	Alameda County Supervisor Keith Carson, D-5	Jun-09	Apr-12	Apr-14	0
12		Vacancy			Alameda County Mayors' Conference, D-3				
13		Vacancy			Alameda County Mayors' Conference, D-5				
14		Vacancy			Alameda County Supervisor Scott Haggerty, D-1				
15		Vacancy			East Bay Bicycle Coalition				
16		Vacancy			League of Women Voters				
17		Vacancy			Sierra Club				



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