



# Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

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Arthur L. Dao

## Citizens Watchdog Committee

**Monday, October 27, 2014, 6:30 p.m.**

**1111 Broadway, Suite 800**

**Oakland, CA 94607**

### Mission Statement

The mission of the Alameda County Transportation Commission (Alameda CTC) is to plan, fund, and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County.

### Public Comments

Public comments are limited to 3 minutes. Items not on the agenda are covered during the Public Comment section of the meeting, and items specific to an agenda item are covered during that agenda item discussion. If you wish to make a comment, fill out a speaker card, hand it to the clerk of the Commission, and wait until the chair calls your name. When you are summoned, come to the microphone and give your name and comment.

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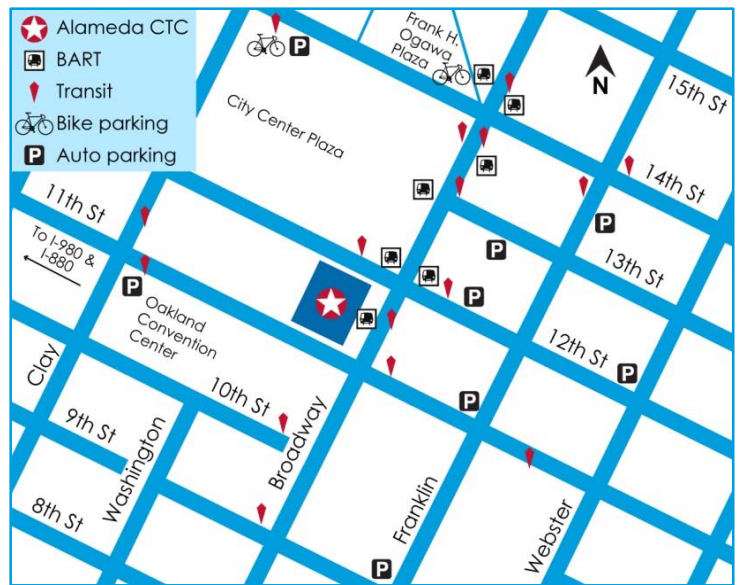
### Glossary of Acronyms

A glossary that includes frequently used acronyms is available on the Alameda CTC website at [www.AlamedaCTC.org/app\\_pages/view/8081](http://www.AlamedaCTC.org/app_pages/view/8081).

## Location Map

 Alameda CTC  
1111 Broadway, Suite 800  
Oakland, CA 94607

Alameda CTC is accessible by multiple transportation modes. The office is conveniently located near the 12th Street/City Center BART station and many AC Transit bus lines. Bicycle parking is available on the street and in the BART station as well as in electronic lockers at 14th Street and Broadway near Frank Ogawa Plaza (requires purchase of key card from [bikelink.org](http://bikelink.org)).



Garage parking is located beneath City Center, accessible via entrances on 14th Street between 1300 Clay Street and 505 14th Street buildings, or via 11th Street just past Clay Street. To plan your trip to Alameda CTC visit [www.511.org](http://www.511.org).

## Accessibility

Public meetings at Alameda CTC are wheelchair accessible under the Americans with Disabilities Act. Guide and assistance dogs are welcome. Call 510-893-3347 (Voice) or 510-834-6754 (TTD) five days in advance to request a sign-language interpreter.



## Meeting Schedule

The Alameda CTC meeting calendar lists all public meetings and is available at [www.AlamedaCTC.org/events/upcoming/now](http://www.AlamedaCTC.org/events/upcoming/now).

## Paperless Policy

On March 28, 2013, the Alameda CTC Commission approved the implementation of paperless meeting packet distribution. Hard copies are available by request only. Agendas and all accompanying staff reports are available electronically on the Alameda CTC website at [www.AlamedaCTC.org/events/month/now](http://www.AlamedaCTC.org/events/month/now).

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# Citizens Watchdog Committee Meeting Agenda Monday, October 27, 2014, 6:30 p.m.

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**Chair:** James Paxson  
**Vice Chair:** Deborah Taylor  
**Staff Liaisons:** Tess Lengyel,  
Patricia Reavey  
**Public Meeting Coordinator:** Angie Ayers

6:30 – 6:35 p.m. James Paxson	<b>1. Welcome and Call to Order</b>		
6:35 – 6:40 p.m. Public	<b>2. Public Comment</b>	<b>Page</b>	<b>A/I*</b>
6:40 – 6:45 p.m. James Paxson	<b>3. CWC Meeting Minutes</b>		
	3.1. Approval of July 14, 2014 CWC Meeting Minutes	1	A
6:45 – 6:55 p.m. Staff CWC Members	<b>4. CWC Annual Report Outreach Summary</b>		
	4.1. Update on Outreach and Costs	5	I
	4.2. CWC Report on Annual Report Outreach		I
6:55 – 7:10 p.m. Matt Todd	<b>5. Program Compliance Workshop Update</b>		
	5.1. Compliance Workshop Material	27	I
	Full Compliance Workshop Agenda Packet Available on the Website: <a href="http://www.alamedactc.org/files/managed/Document/14480/Agenda_Workshop_Packet_FY13-14_FINAL.pdf">http://www.alamedactc.org/files/managed/Document/14480/Agenda_Workshop_Packet_FY13-14_FINAL.pdf</a>		
	5.2. CWC Compliance Reporting Ad Hoc Subcommittee Meeting – Handout at meeting		I
7:10 – 7:30 p.m. James Paxson	<b>6. Report on the CWC Post-Audit Subcommittee Meeting</b>		
	6.1. CWC Post-Audit Subcommittee Meeting Minutes	69	I
7:30 – 8:05 p.m. Ahmad Gharaibeh, VTD	<b>7. Draft Audited Comprehensive Annual Financial Report FY 2013-14 – Handout at meeting</b>		I
8:05 – 8:10 p.m. Patricia Reavey	<b>8. Year-end Investment Report FY 2013-14</b>	73	I

	<b>9. Staff Responses to CWC Requests for Information</b>		I
8:10 – 8:20 p.m. CWC Members	<b>10. CWC Member Reports/Issues Identification (Verbal)</b>		
	<b>10.1.</b> CWC Issues Identification Process and Form	89	I
	<b>10.2.</b> Issues Discussion (Verbal)		I
8:20 – 8:30 p.m. Staff	<b>11. Staff Reports/Board Actions (Verbal)</b>		
	<b>11.1.</b> CWC Calendar FY14-15	93	I
	<b>11.2.</b> CWC Roster	95	I
	<b>11.3.</b> Alameda CTC Commission Action Items	97	I
8:30 p.m. James Paxson	<b>12. Adjournment</b>		

**Next meeting:** January 12, 2015

All items on the agenda are subject to action and/or change by the committee.



# Citizens Watchdog Committee Meeting Minutes Monday, July 14, 2014, 6:30 p.m.

3.1

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## 1. Welcome and Call to Order

CWC Chair James Paxson called the meeting to order at 6:30 p.m. The meeting began with introductions, and the chair confirmed a quorum. All CWC members were present, except the following: Arthur Geen, Miriam Hawley, William Klinke, and Brian Lester.

James Paxson acknowledged Mike Dubinsky, who tendered his resignation from the committee effective July 15, 2014. James thanked Mike for his service and dedication to seeking change for many of the Alameda CTC processes of interest to the CWC. Mike told the committee that he was thankful for the opportunity to work with the CWC. James welcomed new member Bob Tucknott to the committee.

## 2. Public Comment

There were no public comments.

## 3. Presentation of CWC Annual Report

James presented the *CWC 12th Annual Report to the Public* for review. He mentioned that a few comments came in from members after the June meeting. James said that the committee would discuss any last-minute comments in agenda item 7.

## 4. Open Public Hearing

James Paxson opened the public hearing for review of the report.

## 5. Public Comment on Hearing of CWC Annual Report

Charlie Cameron expressed concern over phase one of the Union City Intermodal BART Station project, which is complete. He noted that he provided staff with a list of issues and concerns. He stated that the \$47 million was ill-spent on the project, because it's not functional for people with disabilities and seniors.

## 6. Close Public Hearing on CWC Annual Report

James Paxson closed the public hearing.

## 7. Approval of CWC Annual Report

Committee members discussed the final draft of the CWC Annual Report and requested the following changes:

- On page 1, enlarge the "FY12-13 Project and Program Expenditures" chart and if possible, modify it as follows, and make these same changes to the "Alameda CTC FY12-13 Audited Expenditures" chart on page 2:
  - Change "Public Transit" to "Public Transportation."
  - Move the "Paratransit Grants" slice of the pie below "Direct Local Distributions Paratransit."
- On pages 3-4, make the following text changes to the "Citizens Watchdog Committee Activities":

- Under "Ongoing Areas of Interest," change "The CWC chair expressed the CWC's concern ..." to "The CWC expressed concern ..."; insert from page 4 the following bullet, "The AAA credit ratings issued by Fitch Ratings and Standard and Poor's for Alameda CTC's high-quality financial management of the Measure B sales tax, making Alameda CTC the first agency of its kind in California to receive AAA ratings from both ratings services"; and delete "a four-lane bridge overpass with sidewalks and a bicycle lane, which will support transit oriented development and improve safety."
- Under "Audit and Compliance Report Review (January 2013)," insert the word "agency" after "clarify" in the first sentence and change the last sentence from "The CWC found this information acceptable," to "The CWC was satisfied with this information."
- Under "Independent Financial Audits," delete "and the CWC accepted the audited financial report" at the end of sentence two. In sentence three, delete "(CAFR)," and at the end of sentence four, delete "and the CWC accepted the audited CAFR for which in April 2014, Alameda CTC was awarded a Certificate for Excellence in Financial Reporting from the Government Finance Officers Association."
- On page 5, in the first sentence, delete the extra character in "distributions" and under "Special transportation for seniors and people with disabilities" add "(paratransit)."
- On page 8, replace the previous year's photo with the new photo of the committee members.

*Deborah Taylor moved to approve the CWC Annual Report with the above changes. Bob Tucknott seconded the motion. The motion passed unanimously 9-0 (Arthur Geen, Miriam Hawley, William Klinke, and Brian Lester were absent).*

## **8. CWC Meeting Minutes**

### **8.1. Approval of June 9, 2014 CWC Meeting Minutes**

Members requested an additional sentence on page 10 under agenda item 4.2 before the second sentence from the bottom: "A member requested that the CWC receives a presentation on and review the Oakland Airport Connector project in detail."

*Harriette Saunders moved to approve the minutes with the above change. Cynthia Dorsey seconded the motion. The motion passed 9-0 (Arthur Geen, Miriam Hawley, William Klinke, and Brian Lester were absent).*

## **9. Report on the CWC Pre-Audit Subcommittee Meeting**

### **9.1. CWC Pre-Audit Subcommittee Meeting Minutes**

James Paxson stated that the CWC Audit Subcommittee minutes are a good representation of the discussion that took place at the meeting and demonstrate the concerns of the CWC. There were no comments from the committee, and this agenda item did not require an action.

### **9.2. Scheduling of Post-Audit Subcommittee Meeting**

Patricia Reavey informed the committee that the Comprehensive Annual Financial Report will be ready for review on October 15, 2014. Discussion took place on the best date for the CWC Audit Subcommittee to meet before the full committee



meeting on October 27, 2014. The subcommittee members suggested October 20 or October 21. Patricia stated that staff will send a meeting invitation for the upcoming meeting.

## **10. Approval of CWC Annual Report Publication Methods and Costs, and Press Release**

### **10.1. Proposed Publication Costs and Distribution**

Tess Lengyel presented the publications methods and costs, and CWC members requested these additions to the costs:

- Add design and placement of ads in the *Castro Valley Forum* and *San Leandro Times*.
- Add design and placement of a bus interior card for placement on AC Transit buses.

In addition, CWC members requested more information on the following:

- Costs for advertising on local billboards along highways
- Costs for producing a 1-3 minute video
- Information about placing free public service ads on cable television, such as through Comcast, and information about potential appearances on local cable television programs

Public comment: Ken Bukowski suggested that the CWC create a video and link it to his YouTube channel.

*James Haussener moved to approve the proposed publication costs along with the cost of placing ads in the Castro Valley Forum, San Leandro Times, and the Bus Interior Cards on AC Transit. Sandra Hamlat seconded the motion. The motion passed (8-0), with one abstention, Harriette Saunders (Arthur Geen, Miriam Hawley, William Klinke, and Brian Lester were absent).*

### **10.2. Draft CWC Annual Report Press Release**

The committee reviewed the press release in the agenda packet and requested the following changes:

- Delete the last paragraph that begins, "The role of the CWC as a taxpayer safeguard has been critically important over the life of Measure B."
- Enlarge the font size of the additional information under "About the Alameda County Transportation Commission" and under "About the Alameda CTC Citizens Watchdog Committee."

*Deborah Taylor moved to approve the draft press release with the above changes. Jim Haussener seconded the motion. The motion passed unanimously 9-0 (Arthur Geen, Miriam Hawley, William Klinke, and Brian Lester were absent).*

## **11. Staff Responses to CWC Requests for Information**

### **11.1. Follow-up Questions to the FY2014-15 Proposed Budget (Verbal)**

Patricia Reavey stated that staff received a list of questions via email from James Haussener. She read each question and provided a response to each that the members accepted. The committee requested a future agenda item for staff to discuss how the heading categories have changed over the last four years. For example, prior budgets had a heading of "general administration" for two years, it changed to "other administration," and now, it's no longer on the budget. Staff

stated that the Alameda CTC accounting infrastructure has changed over time, and the work changes every year. Every budget stands on its own merit based on the agency activity and needs for the upcoming year.

**11.2. Brown Act Public Noticing Requirements (Verbal)**

Arthur L. Dao informed the committee that staff referred the CWC's questions/concerns regarding the Brown Act public noticing requirements to Alameda CTC legal counsel. The committee asked if the meeting notice should appear in the atrium near the elevators on the 8th floor or downstairs outside of the building.

Art reviewed the language of the law with the committee. He stated that legal counsel informed staff that Alameda CTC is in compliance with the Brown Act. Legal counsel also said that the Alameda CTC practice has been in effect for 16 years without complaint, and Alameda CTC continues to be in compliance with the Brown Act. Legal counsel further noted that the attorney general's opinion has been treated more as an advisory and not binding in court as case law.

**12. CWC Member Reports/Issues Identification (Verbal)**

**12.1. CWC Issues Identification Process and Form**

There were no issues identified.

**12.2. Issues Discussion**

The members did not identify any issues.

**13. Staff Reports/Board Actions (Verbal)**

**13.1. Transportation Expenditure Plan Update (Verbal)**

Art Dao informed the committee that Alameda CTC received unanimous approval of the Transportation Expenditure Plan from all 14 cities in Alameda County and the Board of Supervisors. In addition, the Board of Supervisors approved placing the measure on the November 2014 ballot.

**13.2. CWC Calendar FY14-15**

The calendar is in the agenda packet for review purposes.

**13.3. CWC Roster**

The committee roster is in the agenda packet for review purposes.

**13.4. Alameda CTC Commission Action Items**

The Commission action items are listed in the agenda packet.

**14. Adjournment**

The meeting adjourned at 8:50 p.m. The next meeting is scheduled for October 27, 2014 at the Alameda CTC offices.





# Memorandum

4.1

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** October 20, 2014

**SUBJECT:** CWC Annual Report Outreach Update and Costs

**RECOMMENDATION:** Receive an update on outreach activities and costs for the CWC 12th Annual Report to the Public.

## Summary

In 2013, the Citizens Watchdog Committee (CWC) implemented a new process that encourages CWC members to perform outreach and assist in publication distribution efforts for the CWC *12th Annual Report to the Public*. In 2014, CWC members and Alameda CTC staff performed targeted outreach using multiple tactics to make the public aware of the report.

## Background

Annually, the CWC generates a report for the public to report its findings on Measure B sales tax activities. At the March 10, 2014 CWC meeting, the committee established a five-member subcommittee to develop the 2014 CWC *12th Annual Report to the Public* and to expand the outreach efforts. The subcommittee met twice in 2014 to develop the report and to discuss their outreach approach.

In 2014, the full CWC committee agreed to implement an overall outreach approach similar to the one in 2013 for design, printing, and distribution of the report and outreach to the public, and to add the following new elements to the development and outreach approach:

- Use a three-step process to notify the public of the report via email:
  1. Send an advance email to Alameda CTC's Constant Contact list notifying people of the public hearing on the report in July and the upcoming release of the final report.
  2. Email a message about the CWC Annual Report to Alameda CTC's full Constant Contact mailing list once the report is published.
  3. Send a follow-up email to request further distribution of the document and to offer hard copy versions if requested.
- Design and place ads in the *Castro Valley Forum* and *San Leandro Times*.
- Design and place a bus interior card advertisement on AC Transit buses.

- Set up Google Alerts to track when the CWC Annual Report and the CWC are in the news.
- Continue to create a two-page flyer summarizing the annual report in English and translate it into Spanish and Chinese.
  - Print 1,000 eight-page reports and 2,000 two-page flyers in English, and print the translated flyers in-house.
- Translate the 10.5 x 14-inch ad from English to Spanish and submit it to two publications.
- Include additional outreach by CWC members:
  - CWC members contacted their local jurisdictions to follow up and encouraged them to link to the report on their website.
  - CWC members agreed to do more outreach such as forwarding email, passing along information through social media, and handing out the flyer and/or the full report.

In addition, CWC members requested more information to be reported as a summary of estimated costs at their meeting in October on the following:

- Costs for advertising on local billboards
- Costs for producing a 1-3 minute video
- Information about placing free public service ads on cable television and information about potential appearances on local cable television programs

### **Additional Advertising Considerations**

CWC members may want to consider additional advertising, based on the additional information the CWC requested, which follows.

**Billboards in Alameda County:** The quotes below are for three different products throughout the area:

- **Bulletins** (large billboards: 14' H by 48' W) – These bulletins can be found on freeways and surface streets. Rates range from \$3,500 to \$20,000 per bulletin, per four-week period.
- **Posters** (small billboards: 12' H by 24' W) – These posters are mainly found on surface streets. Rates start at \$2,500 per poster (for one poster) and then decrease when additional posters are purchased.
- **Transit shelters** (approximate size: 68" H x 48" W) – These shelter advertisements are on surface streets (at bus stops) and are sold in packages for multiple locations. Packages start at \$2,500 per four-week period for five ads.

See Attachment 4.1A for informational sheets of the above products.

**Video advertisements:** The quotes below are for a 1-3 minute video that would primarily feature James Paxson the CWC Chair and would include filming five projects and five people to give testimonials about the projects. The rates below include production and post-production services.

- The cost of a 3-minute video is \$8,500.
- The cost of a 90-second video is \$8,000.

**Public service announcements on cable TV:** Most TV stations regularly provide air time to nonprofit community groups. In Alameda County, several cable TV channels incorporate free public service announcements (PSAs) into their programming, which varies greatly depending on a station's format. Review Attachment 4.1B for detailed information on how the CWC would go about placing local cable TV station PSAs.

### **Media Placement**

The CWC previously approved the media placement plan and budget (see Attachment 4.1C). Staff placed online ads in media with links to direct traffic to the CWC Annual Report page of the Alameda CTC website ([http://www.alamedactc.org/app\\_pages/view/4440](http://www.alamedactc.org/app_pages/view/4440)) and placed print advertisements that summarize the full report in 19 Bay Area publications (see Attachment 4.1C for a complete list). In addition, staff placed online banner advertisements that included a link to the 12th Annual Report to the Public (<http://www.alamedactc.org/CWC2014Report>).

### **AC Transit Bus Interior Cards**

Staff worked with Titan360 to place 225 posters on AC Transit buses. The posters were evenly distributed between three garages (approximately 75 posters per garage): San Pablo garage, Seminary garage, and Hayward garage for placement on buses that operate in Alameda County.

### **Print Publication**

The full eight page annual report was printed in a quantity of 1,000, and 2,000 of the English version flyer were printed. Alameda CTC printed in-house the Chinese and Spanish versions of the flyer. (Refer to Attachment 4.1C for design and print costs.)

### **Constant Contact E-Blasts**

- **First annual report update e-blast** on July 10, 2014 (letter from James Paxson) was sent to 4,507 addresses and opened by 1,012 recipients. The open rate was 25.5 percent, with 58 click-throughs.
- **Press release** on August 26, 2014 was sent to 257 addresses and opened by 68 recipients. The open rate was 26.6 percent with one click-through.
- **Second annual report e-blast** on August 26, 2014 (letter from James Paxson) was sent to 4,251 addresses and opened by 845 recipients. The open rate was 22 percent, with 62 click-throughs.

- **Third annual report E-blast** on October 9, 2014 (letter from James Paxson) was sent to 4,919 addresses and opened by 971 recipients. The open rate was 21.6 percent, with seven click-throughs.

## **Social Media**

Alameda CTC used Twitter and Facebook to inform the public about the CWC Annual Report.

- **Twitter:** Staff tweeted information about, and links to, the CWC Annual Report six times between August 27, 2014 and September 26, 2014 and reached 406 followers. Note that this number does not capture anyone who may have seen the tweets via a search or by looking at Alameda CTC's twitter feed, which is public.
- **Facebook:** Staff posted the CWC Annual Report to Facebook five times on the following dates: August 26, 2014 and September 18, 23, and 30. The page was liked by 105 people. The CWC Annual Report reached 430 people on September 23, 2014 and 95 people on August 26, 2014. These numbers reflect people who saw the post in their own Facebook newsfeed and do not capture anyone who may have viewed it directly on the Alameda CTC Facebook homepage, which is accessible to the public.

## **Website Page Views and Click-throughs**

Further statistics on website page views and click-throughs will be available from the media and Alameda CTC in the cost benefit analysis that CWC members will receive at their January CWC meeting. These statistics include the number of times a user visited a newspaper webpage that included a CWC ad banner and the number of times a user clicked on the media banner advertisement and was directed to the report on the Alameda CTC website.

## **Alameda CTC Google Analytics**

Alameda CTC uses Google Analytics to track website hits related to the CWC and its annual report. Attached are two analytical reports that show the number of hits the Alameda CTC website received when a user accessed the "What's New" page and the number of hits received on the annual report page of Alameda CTC website. Refer to Attachment 4.1D.

## **Targeted Outreach**

To further spread the word about the latest CWC annual report, staff expanded its outreach efforts as follows:

- Wrote and e-mailed a press release on August 26, 2014 with a link to the full report and flyers to Alameda CTC's media contact list that includes 265 media contacts for newspapers, blogs, ethnic media, radio, television.
- Used social media coverage for outreach via Twitter and Facebook.

- Handed out the full report and flyers to the following at their scheduled September and October meetings:
  - Alameda CTC Commission – 43 Commission members including the alternates
  - Alameda County Technical Advisory Committee – 45 committee members
  - Bicycle and Pedestrian Advisory Committee – 11 committee members
  - Paratransit Advisory and Planning Committee – 23 committee members
  - Paratransit Technical Advisory Committee – 27 committee members
- Included an update in the October 2014 *Executive Director's Report* submitted directly to 43 Commission members including alternates, and posted on the Alameda CTC website.
- Included an update in the October 2014 issue of the e-newsletter with a link back to the full report and the additional language versions, and emailed the e-newsletter to Alameda CTC's outreach database that includes 4,919 e-mail addresses.
- Brought the print version of the report to numerous outreach activities including:
  - September 14: Solano Avenue Stroll
  - September 19: Annual San Leandro Senior Resource Fair
  - October 1: City Center Fall Concert Series
  - October 12: Berkeley Sunday Streets
- Placed "What's New" information on the Alameda CTC website that links directly to the report.
- Mailed the full report and the Spanish and Chinese language flyers to:
  - 41 libraries in Alameda County
  - 17 chambers of commerce – the cities of Alameda, Albany, Berkeley, Castro Valley, Dublin, Emeryville, Fremont, Hayward, Livermore, Newark, Oakland, Pleasanton, San Leandro, and Union City; and three ethnic chambers including the Hispanic Chamber of Alameda County, the Oakland African American Chamber of Commerce, and the Chinatown Chamber of Commerce
  - CWC members and organizations – 14 CWC members, Alameda County Mayors' Conference, Alameda Labor Council AFL-CIO, Bike East Bay (formerly the East Bay Bicycle Coalition), Board of Supervisors (Districts, 1,2,3,4 and 5), East Bay Economic Development Alliance, League of Women Voters, and Sierra Club
  - Several members of the public who requested the report

**Fiscal Impact:** The fiscal impact of design and placement of the online and print advertisements, along with the printing and mailing of the hard copy report totaled \$36,311 to date.

In 2013, the total costs were \$31,830. The budget in 2014 for the *CWC 12th Annual Report to the Public* was \$50,000. The actual 2014 costs that have come in to date are \$4,481 more than for the prior year, approximately \$13,689 under budget. Alameda CTC will present final costs to the CWC in January.

## **Attachments**

- A. Billboard Advertising Costs
- B. Public Service Announcements on Cable TV
- C. CWC Annual Report Publication Cost Summary
- D. Google Analytics Results

## **Staff Contact**

[Tess Lengyel](#), Deputy Director of Planning and Policy





# Bulletins



ClearChannelOutdoor.com

## Benefits

- Bulletins deliver high frequency at each location.
- Builds reach over an extended period of time.
- Provides continuity of an advertising message throughout the year.
- Sustains name and image awareness.
- Assures dominance in selected areas.

## Distribution

- Positioned on highly visible, heavy traffic locations such as expressways, primary arteries and major intersections.

## Approximate Size\*

- Standard Bulletin Size: 14' h x 48' w
- Permanent Bulletin sizes may vary by location.

## Extensions

- Extensions break the boundary of a bulletin's standard rectangular dimension and improve viewer attention.
- They can extend 5<sup>1/2</sup>' on the top, 2' on the sides and 1' on the bottom.
- Some locations have unique extension requirements, consult with your account executive before producing artwork.

## Contract Term

- Typically purchased 16 weeks or longer.
- Purchased individually or by showing level.



# Posters

 **Clear Channel Outdoor**

ClearChannelOutdoor.com

## Benefits

- Builds reach within a market quickly and cost effectively.
- Ideal for localized targeting of demographic audiences and geographic areas.
- Stimulates sales near point-of-purchase locations.
- Highly effective for short term campaigns that require rapid consumer attention including product and service introductions or call to action messages.
- Enhanced visual integrity through new single-sheet, eco-friendly materials.

## Distribution

- Widely distributed throughout markets along major highways, surface streets and intersections.
- Community positioning around desirable neighborhoods and major commercial or retail centers.

## Approximate Size\*

- 10' 5" h x 22' 8" w

## Contract Term

- Purchased in 4-week periods.
- Purchased individually or by rating point level.



**Clear Channel Outdoor is only accepting Eco-Posters.**

Contact your Clear Channel representative for a list of approved vendors.



# Transit Shelters

 Clear Channel Outdoor

ClearChannelOutdoor.com

## Benefits

- Impacts consumers in desirable areas of the market near social spaces, retail centers, business districts and distinguished neighborhoods.
- High quality display showcase enhances brand and product image.
- Maintains high visual exposure throughout day and night using backlit illumination.
- Curbside positioning for heightened visibility amongst pedestrians as well as motorists.
- Stimulates sales near point-of-purchase locations.
- Effective for short term campaigns that require rapid consumer awareness.

## Distribution

- Concentrated in densely populated areas of a market where other Out of Home coverage is often limited or unavailable.
- Community positioning around desirable neighborhoods and major retail centers.

## Approximate Size\*

- 68" h x 48" w
- Sizes vary by market due to various structural designs; please contact your local representative before producing artwork.

## Contract Term

- Purchased in 4-week periods.
- Purchased individually or by rating point level.

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**Alameda County Transportation Commission**  
**Local Community TV Station Public Service Announcement Information**  
**August 4, 2014**

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The Alameda County Transportation Commission's (Alameda CTC's) Citizen's Watchdog Committee requested information about how to get public service announcements (PSAs) on local cable TV.

Most TV stations regularly provide air time to nonprofit community groups. A good story, realistic planning, and good presentation are crucial in getting air time. Most stations will not guarantee when they'll air the PSA. Each station is different; however, it typically takes about four weeks from receipt of a PSA for a station to air it.

Public service programming and news styles vary greatly depending on a station's format. Usually, digital downloads of broadcast-quality videos are preferred. Most stations prefer varying PSA length options to select from (:10, :15, :20, :30, :60, and 3 minutes in length).

For reporter interviews, it's best to contact the station directly and provide a compelling synopsis of the topic to cover. If it's a go, the station will work out the logistics for the interview.

The following table provides some specific information for cable broadcast stations that serve Alameda County.

## Local Community TV Station Public Service Announcement Information: Last updated - August 4, 2014

TV Station/Website	Channel/Schedule	Requirements and Contact Details
<p>Albany Community Access Programming, KALB</p> <p><a href="http://www.albanyca.org/index.aspx?page=53">http://www.albanyca.org/index.aspx?page=53</a></p> <p>KALB PSAs City of Albany, 1000 San Pablo Avenue Albany, CA 94706 510-559-4272</p>	<p>KALB Channel 33 on Comcast Lineup, Albany.</p> <p>Schedule varies based on programming</p>	<p>To submit your program or PSA: Send it two to three weeks before you would like your program to air*, bring the following to the KALB 33 office at the Albany Community Center. 1. Your correctly labeled DVD 2. A completed <a href="#">KALB Submissions Form</a> 3. Proof of residence (copy of driver's license, utility bill, etc.)</p>
<p>KTVU &amp; TV36</p> <p>KTVU FOX 2 2 Jack London Square Oakland, CA 94607 <a href="http://www.ktvu.com/">http://www.ktvu.com/</a></p>	<p>Channel 2</p> <p>Schedule varies based on programming</p>	<p>KTVU &amp; TV36 accept both written and video public service announcements (PSAs).</p> <p><b>Video PSAs</b> Pre-produced video PSAs are accepted via digital download. DIGITAL DOWNLOADS OF BROADCAST QUALITY VIDEO ARE PREFERRED. Video PSAs may be :10, :15, :20, :30 and :60 in length. If your message is about a dated community event, your Betacam or Beta sp cassettes must arrive at our station a minimum of 6 to 8 weeks prior to the date of your event. <b>Send PSAs to:</b> Public Service Announcements/Community Affairs KTVU FOX 2 2 Jack London Square Oakland, CA 94607 <b>FAX:</b> 510-874-0492 <b>Email:</b> <a href="mailto:community.affairs@ktvu.com">community.affairs@ktvu.com</a></p>





TV Station/Website	Channel/Schedule	Requirements and Contact Details
<p>Our TV</p> <p>7801 Edgewater Drive, Oakland, CA 94621 510.638.5100</p> <p><a href="http://www.ourtv78.com/">http://www.ourtv78.com/</a></p>	<p>Comcast channel 78 (Oakland, Piedmont, Emeryville) channel 26 (Berkeley)</p> <p>Schedule varies based on programming</p>	<p>OUR TV Channel 78 is a leased-access cable channel which is on the air from 9:00 am to midnight seven days a week and reaches over 700,000 homes predominately in the African American areas of Oakland, Berkeley, Piedmont, Emeryville, Richmond, El Cerrito, El Sobrante, San Pablo and surrounding communities.</p> <p>Not free, need to pay for PSA (low-cost rates) <a href="http://www.ourtv78.com/media-kit.html">http://www.ourtv78.com/media-kit.html</a></p> <p>For video PSA submission: The files can be sent via Dropbox or a downloadable link. MP4 or MPG2 format. Can convert files as needed.</p> <p>For questions contact: Walter Garcia Video Production Manager/FUSD 510 219-5435 cell Contact <a href="mailto:waltergarcia@fremont.k12.ca.us">waltergarcia@fremont.k12.ca.us</a></p>
<p>Fremont's Government Channel</p> <p>Fremont's Government Channel 3300 Capital Ave. Fremont, CA 94538 510-284-4000</p> <p><a href="https://www.fremont.gov/956/TV-Channel-27">https://www.fremont.gov/956/TV-Channel-27</a></p>	<p>Comcast channel 27 or webcasts</p> <p>Schedule varies</p>	
<p>Telemundo TV (SPANISH)</p> <p>Telemundo KSTS Bay Area 2450 North First Street San Jose, CA 95131 408-944-4841</p> <p><a href="http://www.telemundoareadelabaha.com/">http://www.telemundoareadelabaha.com/</a></p>	<p>Channel 48 (UHF) KSTS DTV: 49 Dish Network: 48 DirectTV: 48</p>	<p>Email: <a href="mailto:noticierot48@telemundo.com">noticierot48@telemundo.com</a></p> <p>Michelle Alban VP, Corporate Communications &amp; Public Affairs – Telemundo <a href="mailto:Michelle.Alban@nbcuni.com">Michelle.Alban@nbcuni.com</a> 305-889-7585</p>
<p>KDTV Channel 14 (SPANISH)</p> <p>2200 Palou Ave San Francisco, CA 94124 415-538-8000/ 415-641-1400</p> <p><a href="http://univision14.univision.com/">http://univision14.univision.com/</a></p>	<p>KDTV Channel 14, UHF Digital 51</p>	<p>For PSA contact: Carolina Eschezar 415.538.8076. Requirements for PSA: Less than 30 seconds, must be in Spanish, would prefer the video be uploaded to a site where Carolina can download. Also, she is willing to do an interview, must be with a contact who speaks Spanish.</p> <p>Website dedicated specifically to the Hispanic VOTE: <a href="http://corporate.univision.com/category/hispanic-research/hispanic-vote/">http://corporate.univision.com/category/hispanic-research/hispanic-vote/</a> Media kit: <a href="http://corporate.univision.com/wp-content/themes/univision/library/files/media_kit.pdf">http://corporate.univision.com/wp-content/themes/univision/library/files/media_kit.pdf</a></p>

TV Station/Website	Channel/Schedule	Requirements and Contact Details
<p>KQED-TV Channel 9</p> <p>KQED Main Headquarters 2601 Mariposa Street San Francisco, CA 94110 main desk telephone 9am-5pm: (415) 864-2000 <a href="http://www.kqed.org/news/bayareal">http://www.kqed.org/news/bayareal</a></p>	<p>Channel 9</p>	<p>Live Assistance: (415) 553-2135</p> <p>Program Director: Kevin Harris <b>Community Engagement</b> (800) 723-3566 PSA: <a href="mailto:psa@kqed.org">psa@kqed.org</a></p>
<p>Oakland, KTOP-TV 10</p> <p><a href="http://www2.oaklandnet.com/Government/o/CityAdministration/d/KTOP/DOWD005081">http://www2.oaklandnet.com/Government/o/CityAdministration/d/KTOP/DOWD005081</a></p> <p>250 Frank Ogawa Plaza, Suite 5354 Oakland, CA 94612 phone: (510) 238-3566 fax: (510) 238-6299</p> <p>San Leandro, Hayward, Castro Valley</p> <p>COMCAST CHABOT TV 27 <a href="http://www.chabotcollege.edu/tv/">http://www.chabotcollege.edu/tv/</a></p>	<p>Comcast channel 10 in Oakland and on AT&amp;T U-VERSE channel 99 live stream <a href="http://www2.oaklandnet.com/Government/o/CityCouncil/s/VideoArchive/index.htm">http://www2.oaklandnet.com/Government/o/CityCouncil/s/VideoArchive/index.htm</a></p> <p>Comcast channel 27</p>	<p>For video PSA submission: Will accept any length, either DVD or download link. Contact Michelle Morton for any questions. Email: <a href="mailto:mmorton@oakland.net">mmorton@oakland.net</a></p> <p>Contact email <a href="mailto:KTOP@oaklandnet.com">KTOP@oaklandnet.com</a> <a href="mailto:ssarkar@chabotcollege.edu">ssarkar@chabotcollege.edu</a></p> <p>Phone: 510-723-6760 &amp; 510-723-7604</p>
<p>Tri-Valley Community Television</p> <p>4663 Bernal Ave. Suite B Pleasanton, CA 94566 Phone: 925-462-3030</p> <p><a href="http://www.tri-valleytv.org/about.html">http://www.tri-valleytv.org/about.html</a> <a href="http://www.tri-valleytv.org/contact.html">http://www.tri-valleytv.org/contact.html</a></p>	<p>TV30 Comcast Cable System: channels 28, 29 &amp; 30. AT&amp;T U-Verse, channel 99 (Conversations with Scott Haggerty show, M, W, Thurs at 12pm)</p>	<p>*Your organization needs to be a non-profit 501c3 and located in Dublin, Livermore, Pleasanton or San Ramon <a href="http://www.tri-valleytv.org/about.html">http://www.tri-valleytv.org/about.html</a> <a href="http://www.tri-valleytv.org/contact.html">http://www.tri-valleytv.org/contact.html</a></p> <ul style="list-style-type: none"> <li>If you would like to be included graphically on our "What's Happening" public service announcements, e-mail a press release to <a href="mailto:pr@tri-valleytv.org">pr@tri-valleytv.org</a> or fax it to us at 925.462.1540</li> </ul> <p>Public Relations: Susan Astbury Email: <a href="mailto:susan@tv30.org">susan@tv30.org</a></p>

TV Station/Website	Channel/Schedule	Requirements and Contact Details
<p>Piedmont---KCOM-TV  <a href="http://www.ci.piedmont.ca.us/kco">http://www.ci.piedmont.ca.us/kco</a></p> <p>KCOM TV  120 Vista Ave.  Piedmont, CA 94611  (510) 420-3083</p>	<p>KCOM-TV, Channel 27</p>	<p>KCOM-TV, Channel 27, is a government/education access station located in City Hall. Our purpose is to educate and inform the residents of Piedmont about their local government and its services and to enhance community life by providing programs which focus on local, social, cultural and historic events.</p> <p>For video PSA submission: PSA can be from 30 seconds to 3minutes. Prefer DVD or download link. For questions contact: Kenya Davis. Email: <a href="mailto:kdavis@ci.piedmont.ca.us">kdavis@ci.piedmont.ca.us</a></p> <p>Contact <a href="mailto:kcom@ci.piedmont.ca.us">kcom@ci.piedmont.ca.us</a> or call (510) 420-3083.</p>

## 2014 CWC Annual Report Proposed Publications Costs

Affiliation	Newspaper	2013 Alameda CTC Page Views*	2013 Click-throughs** from Online Media Banners	2013 Cost (Print)	2013 Cost (Web)	Final 2013 Costs	2014 Newspaper Circulation***	2014 Alameda CTC Page Views	2014 Click-throughs** from Online Media Banners	Proposed 2014 Cost (Print)	Proposed 2014 Cost (Web)	Estimated 2014 Costs	Actual 2014 Costs
Alameda CTC	<a href="http://www.AlamedaCTC.org">www.AlamedaCTC.org</a>	292	13	\$0.00	\$0.00	\$0.00				\$0.00	\$0.00	\$0.00	\$0.00
AC Transit	Ad Cards above the windows along the length of the bus					\$0.00				\$0.00		\$0.00	\$0.00
Asianweek	<a href="http://www.asianweek.com">www.asianweek.com</a> - web banner only (linked to the English version)	42,972			\$336.00	\$336.00					\$336.00	\$336.00	\$336.00
Bay Area NewsGroup - East Bay	Alameda Times Star, Argus, Daily Review, Oakland Tribune (delivered to Oakland, Hayward, Alameda, and Fremont), Times Herald Weekly, Tri-Valley Herald <b>Online: insidebayarea.com</b>	324,555	115	\$7,077.00	\$3,000.00	\$10,077.00				\$6,949.00	\$3,000.00	\$9,949.00	\$9,949.00
Bay Area NewsGroup Hills Newspapers	Montclair, ElCerrito, Berkeley Voice, Piedmonter, Alameda Journal			\$1,134.00		\$1,134.00				\$1,512.00		\$1,512.00	\$1,512.00
Castro Valley Forum	Delivered to: Castro Valley residents and businesses in Alameda, Hayward, San Leandro									\$792.00		\$792.00	\$792.00
East Bay Express	East Bay Express (delivered to Alameda, Albany, Berkeley, Emeryville, Oakland, Piedmont, San Leandro) <b>Online: eastbayexpress.com</b>	60,000	30	\$1,800.00	\$300.00	\$2,100.00				\$1,890.00	\$315.00	\$2,205.00	\$2,205.00
The Independent	The Independent - Livermore, Pleasanton, Dublin, and Sunol			\$1,333.08		\$1,333.08				\$1,333.08		\$1,333.08	\$1,333.08

## 2014 CWC Annual Report Proposed Publications Costs

Affiliation	Newspaper	2013 Alameda CTC Page Views*	2013 Click-throughs** from Online Media Banners	2013 Cost (Print)	2013 Cost (Web)	Final 2013 Costs	2014 Newspaper Circulation***	2014 Alameda CTC Page Views	2014 Click-throughs** from Online Media Banners	Proposed 2014 Cost (Print)	Proposed 2014 Cost (Web)	Estimated 2014 Costs	Actual 2014 Costs
Patch News/AOL Publications in Alameda County	Alameda	115,000			\$112.08	\$112.08					\$112.08	\$112.08	\$123.50
	Albany	90,000			\$152.62	\$152.62					\$152.62	\$152.62	\$123.50
	Berkeley	65,000			\$151.92	\$151.92					\$151.92	\$151.92	\$123.50
	Castro Valley	70,000			\$96.00	\$96.00					\$96.00	\$96.00	\$123.50
	Dublin	65,000			\$112.08	\$112.08					\$112.08	\$112.08	\$123.50
	Fremont	80,000			\$115.92	\$115.92					\$115.92	\$115.92	\$123.50



## 2014 CWC Annual Report Proposed Publications Costs

Affiliation	Newspaper	2013 Alameda CTC Page Views*	2013 Click-throughs** from Online Media Banners	2013 Cost (Print)	2013 Cost (Web)	Final 2013 Costs	2014 Newspaper Circulation***	2014 Alameda CTC Page Views	2014 Click-throughs** from Online Media Banners	Proposed 2014 Cost (Print)	Proposed 2014 Cost (Web)	Estimated 2014 Costs	Actual 2014 Costs
Patch News/AOL Publications in Alameda County	Livermore	260,000			\$112.08	\$112.08					\$112.08	\$112.08	\$123.50
	Newark	85,000			\$115.92	\$115.92					\$115.92	\$115.92	\$123.50
	Piedmont	50,000			\$189.90	\$189.90					\$189.90	\$189.90	\$123.50
	Pleasanton	175,000			\$112.08	\$112.08					\$112.08	\$112.08	\$123.50
	San Leandro	75,000			\$96.00	\$96.00					\$96.00	\$96.00	\$123.50
	Union City	57,000			\$115.92	\$115.92					\$115.92	\$115.92	\$123.50
	Union City Daily Newsletter	3,481	1		\$49.98	\$49.98					\$49.98	\$49.98	\$0.00

## 2014 CWC Annual Report Proposed Publications Costs

Affiliation	Newspaper	2013 Alameda CTC Page Views*	2013 Click-throughs** from Online Media Banners	2013 Cost (Print)	2013 Cost (Web)	Final 2013 Costs	2014 Newspaper Circulation***	2014 Alameda CTC Page Views	2014 Click-throughs** from Online Media Banners	Proposed 2014 Cost (Print)	Proposed 2014 Cost (Web)	Estimated 2014 Costs	Actual 2014 Costs
Pleasanton Weekly	Pleasanton Weekly	58,478	61	\$959.10	\$200.00	\$1,159.10				\$978.00	\$200.00	\$1,178.00	\$1,178.00
Post Newsgroup	Oakland Post/El Mundo (San Francisco Post, Berkeley Post, Richmond Post, South County Post and Marin)		0	\$2,950.00		\$2,950.00				\$2,950.00		\$2,950.00	\$2,950.00
San Leandro Times	Delivered to: San Leandro residents and businesses in Alameda, Castro Valley, Hayward, Oakland									\$792.00		\$792.00	\$792.00
Titan360	AC Transit Bus Interior Cards									\$4,500.00		\$4,500.00	\$4,486.47
Tri-City Voice	Tri-City Voice - Fremont, Newark, Union City, Hayward, and Sunol		0	\$735.00		\$735.00				\$735.00		\$735.00	\$735.00
Vision Hispana	Vision Hispana		0	\$505.00		\$505.00				\$505.00		\$505.00	\$505.00
<b>Other Costs</b>													
	Legal Notice of Public Hearing			\$748.69		\$748.69				\$937.97		\$937.97	\$847.67
	Publications Design			\$4,000.00		\$4,000.00				\$4,000.00		\$2,500.00	\$2,500.00
	Language 411 (translation from English to Chinese and Spanish); added translation for Post Newsgroup and Vision Hispana ads			\$1,825.76		\$1,825.76				\$1,825.76		\$1,825.76	\$1,405.90
	Autumn Press Printing for 1,000 full report and 2,000 flyers in full color			\$3,095.89		\$3,095.89				\$3,095.89		\$3,095.89	\$3,129.04
	Outreach mailing			\$298.09		\$298.09				\$298.09		\$298.09	\$172.48
<b>TOTALS:</b>		<b>1,676,778</b>	<b>220</b>	<b>\$26,462</b>	<b>\$5,369</b>	<b>\$31,830</b>				<b>\$33,094</b>	<b>\$5,384</b>	<b>\$36,977</b>	<b>\$36,311</b>
												Difference between 2013 and 2014 Costs=	
													<b>\$4,481</b>

\*Page Views: The number of times a user visits a newspaper webpage.  
 \*\*Click-throughs: The ability to click on the Alameda CTC report from the media banner advertisement.  
 \*\*\*2014 Circulation figures will be available in January.

41D  
Sep 14, 2014 - Oct 14, 2014

## Pages

ALL » PAGE: /news\_items/view/14413



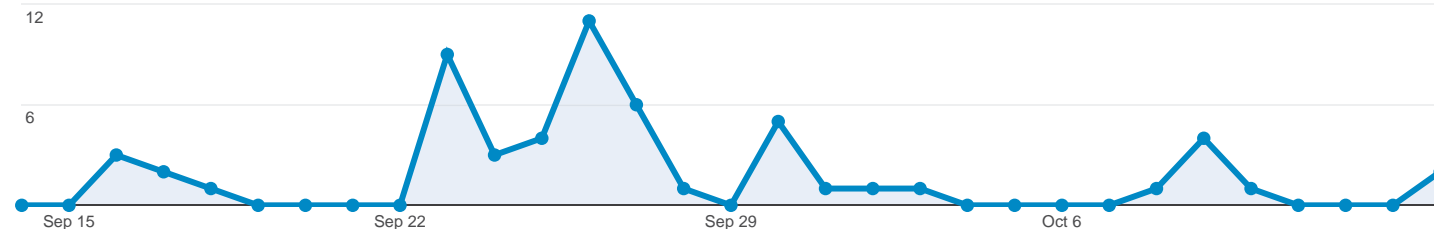
All Sessions  
0.30%



+ Add Segment

### Explorer

#### Pageviews



	Page	Pageviews	Unique Pageviews	Avg. Time on Page	Entrances	Bounce Rate	% Exit	Page Value
		56 % of Total: 0.30% (18,867)	38 % of Total: 0.29% (12,931)	00:05:37 Site Avg: 00:01:43 (225.43%)	24 % of Total: 0.41% (5,902)	58.33% Site Avg: 46.85% (24.51%)	44.64% Site Avg: 31.28% (42.71%)	\$0.00 % of Total: 0.00% (\$0.00)
1.	/news_items/view/14413	56(100.00%)	38(100.00%)	00:05:37	24(100.00%)	58.33%	44.64%	\$0.00 (0.00%)

Rows 1 - 1 of 1

## Pages

Aug 10, 2014 - Oct 14, 2014

[ALL](#) » PAGE: /app\_pages/view/4440



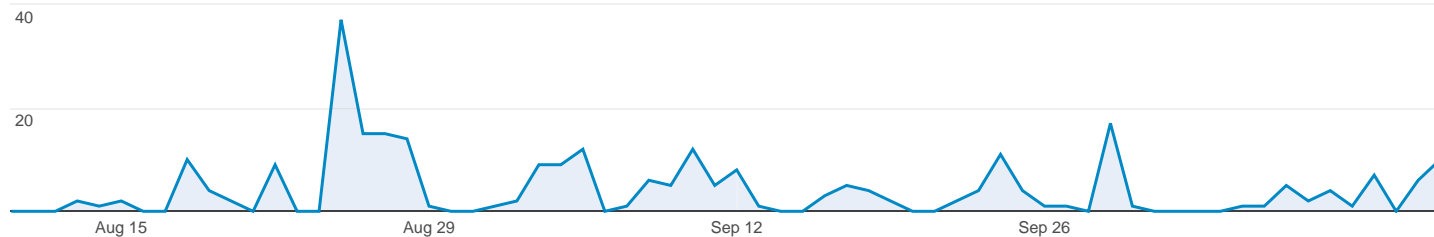
All Sessions  
0.73%



+ Add Segment

### Explorer

● Pageviews



	Page	Pageviews	Unique Pageviews	Avg. Time on Page	Entrances	Bounce Rate	% Exit	Page Value
		275 % of Total: 0.73% (37,696)	151 % of Total: 0.59% (25,501)	00:02:25 Site Avg: 00:01:38 (48.08%)	50 % of Total: 0.42% (11,842)	52.00% Site Avg: 48.08% (8.15%)	28.73% Site Avg: 31.41% (-8.55%)	\$0.00 % of Total: 0.00% (\$0.00)
1.	/app_pages/view/4440	275(100.00%)	151(100.00%)	00:02:25	50(100.00%)	52.00%	28.73%	\$0.00 (0.00%)

Rows 1 - 1 of 1



# Annual Compliance Workshop Meeting Agenda

5.1A

Wednesday, September 10, 2014, 10:00 a.m.

1111 Broadway, Suite 800, Oakland, CA 94607

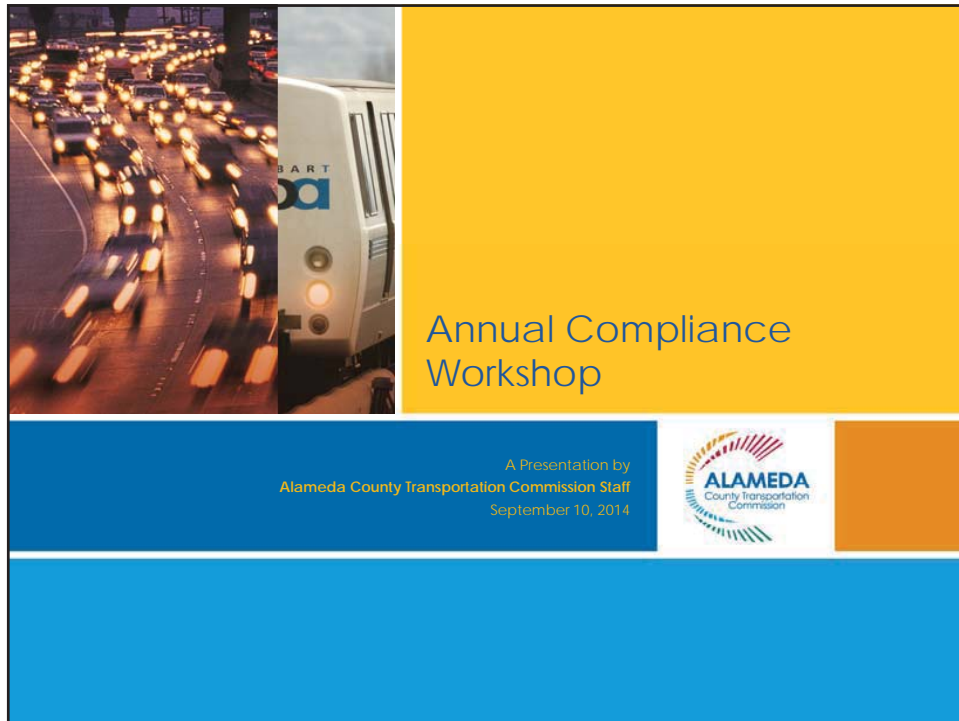
• PH: (510) 208-7400

• www.AlamedaCTC.org

<b>1. Administration</b>	<b>Page</b>
1.1. FY 13-14 Compliance Presentation	1
<b>2. Overview of Measure B/Vehicle Registration Fee</b>	
▪ History	
▪ Funding Distribution	
▪ Programmatic Requirements	
<b>3. Audited Financial Statement Requirements</b>	
3.1. Sample Audited Financial Statement Format	23
3.2. Audit Opinion Language	25
<b>4. Compliance Reporting Requirements</b>	
4.1. Compliance Reporting Requirements/Submittal Instructions	27
4.2. Alameda CTC Reserve Policies and Monitoring Procedures	33
<b>5. Member Reports</b>	
5.1. Compliance Reporting Forms (MS Word Form)	43
5.2. Compliance Reporting Tables (Ms Excel Form, example)	69
5.3. Compliance Submittal Checklist	77
<b>6. Questions and Answers</b>	

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## Today's Agenda

- 1. Welcome and Introductions**
- 2. Overview of Measure B/Vehicle Registration Fee**
  - *History*
  - *Fund Distributions*
  - *Programmatic Requirements*
- 3. Audited Financial Statements Requirements**
- 4. Compliance Reporting Requirements**
  - *Compliance Reporting Requirements/Submittal Instructions*
  - *Timely Use of Funds and Fund Reserve Policies*
  - *Reserve Policies and Monitoring Procedures Policy*
- 5. Walk-through Compliance Reporting Forms**
- 6. Questions and Answers**

## A Brief History



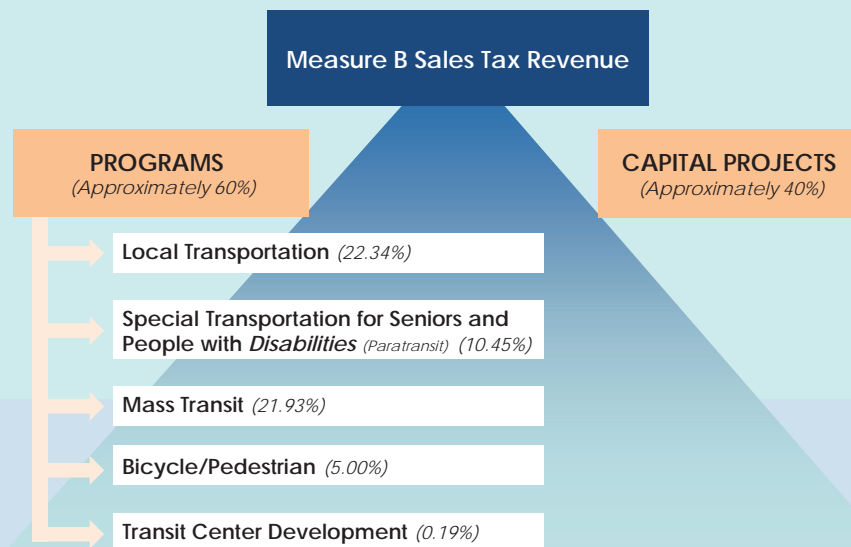
### Measure B

- In 1986, voters approved Measure B half-cent sales tax
- In 2000, Measure B reauthorized with 81.5% voter approval rate

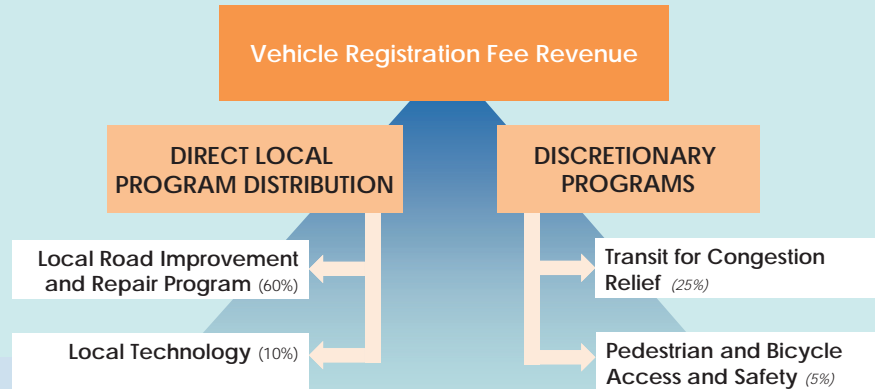
### Vehicle Registration Fee (VRF)

- In 2010, voters approved the Vehicle Registration Fee
- Authorized collection of an annual \$10 per vehicle registration fee starting in May, 2011
- Distributions began in Spring 2012

## Measure B Distributions



## VRF Distributions



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5

## Measure B/VRF Direct Local Distribution Program through FY13/14

Measure B Distributions		
FY 01/02	\$	12,006,000
FY 02/03	\$	49,455,451
FY 03/04	\$	53,086,000
FY 04/05	\$	54,404,793
FY 05/06	\$	59,357,051
FY 06/07	\$	61,176,456
FY 07/08	\$	62,543,374
FY 08/09	\$	54,501,184
FY 09/10	\$	50,808,873
FY 10/11	\$	56,693,936
FY 11/12	\$	60,556,173
FY 12/13	\$	64,812,051
FY 13/14	\$	66,662,145
<b>TOTAL</b>	<b>\$</b>	<b>706,063,487</b>

FY 14-15 MB Projection = \$66,874,096

VRF Distributions		
FY 10/11	\$	527,810
FY 11/12	\$	6,978,012
FY 12/13	\$	6,877,080
FY 13/14	\$	7,221,595
<b>TOTAL</b>	<b>\$</b>	<b>21,604,497</b>

FY 14-15 VRF Projection = \$6,840,000

### Measure B/VRF Program Objectives

- Improve Bike/Pedestrian Access and Safety
- Increase transit access for seniors and people with disabilities
- Support transit operations
- Improve local transportation infrastructure
- Repair and maintain local streets and roads

\* Projected amount

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6

## Programmatic Requirements

- In the Spring 2012, all 20 Measure B/VRF recipients entered into a Master Programs Funding Agreement (MPFA) with Alameda CTC
- Each year, recipients must report on the prior fiscal year expenditures and submit separate:
  1. Audited Financial Statements
  2. Compliance Reports

*The reporting period for this year is Fiscal Year 2013-14.*
- Alameda CTC and the Citizen's Watchdog Committee (CWC) reviews submitted materials for compliance with program requirements

Annual Compliance Workshop



7

## Citizens Watchdog Committee's Role

- Citizens Watchdog Committee (CWC)
  - 17 citizens from throughout Alameda County
- Reviews all 2000 Measure B expenditures
- Reports directly to the public annually
- May request additional information from recipients



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8

## Program Compliance Target Dates

Dates	Action
September 2014	Compliance Forms Available
September 10 <sup>th</sup>	Compliance Workshop
<b>December 29<sup>th</sup></b>	<b>Audited Financial Statements Due</b>
<b>December 31<sup>st</sup></b>	<b>Compliance Reporting Forms Due</b>
January 2015	CWC and Staff reviews Audited Financial Statements and Compliance Reports
February 2015	Jurisdictions receive Status Letters and Request for Information ( <i>as necessary</i> )
March 2015	CWC receives update on the Compliance Process
June 2015	Compliance Program Report Presented to Commission

Annual Compliance Workshop



9

## Today's Agenda

- ✓ Welcome and Introductions
- ✓ Overview of Measure B/Vehicle Registration Fee
  - ✓ History
  - ✓ Fund Distributions
  - ✓ Programmatic Requirements
- 3. Audited Financial Statement Requirements**
- 4. Compliance Reporting Requirements
  - Compliance Reporting Requirements/Submittal Instructions
  - Timely Use of Funds and Fund Reserve Policies
  - Reserve Policies and Monitoring Procedures Policy
- 5. Walk-through Compliance Reporting Forms
- 6. Questions and Answers

Annual Compliance Workshop



10

## Recipient's Obligations: Accounting

- Expend 2000 Measure B and VRF funds in compliance with 2000 Measure B/VRF MPFA requirements and PUC 180000
- Maintain Accounting systems
  - *Segregate 2000 Measure B funds and accrued interest*
  - *Segregate VRF funds and accrued interest*
  - *Adequate internal controls and audit trail to track usage of each fund type*
- Submit Audited Financial Statement to Alameda CTC
  - *Due no later than 180 days after the end of the fiscal year (December 29, 2014)*

## Audited Financial Statements Requirements

1. Each Program Fund Type must have separate Audited Financial Statements for Measure B and VRF that includes a:
  - *Balance Sheet: If there are no assets or liabilities and therefore a zero fund balance at end of 6/30/14 which requires no balance sheet, then explain this in a footnote to the Statement of Revenues, Expenditures and Change in Fund Balances.*
  - *Statement of Revenues, Expenditures, and Changes in Fund Balances*
  - *Audit opinion that demonstrates compliance*
2. Measure B Revenues should include:
  - *Direct Local Distribution Program funds and interest earned*
  - *Do not include Measure B Funds received through PSFAs, grant agreements, or fare revenues*
3. VRF Revenues should include:
  - *Direct Local Distribution Program funds and interest earned*
  - *Do not include funds received through grant agreements*

## Audited Financial Statements Requirements

4. Separate Measure B/VRF Direct Local Distribution Program funds from other funds.
5. Restatement of prior year financial statements is required if beginning fund balance does not match the ending fund balance in the financial statement submitted for FY 2012-13. All restatements of prior year financial statements should be clearly explained.
6. Audited Financial Statements must explain
  - Zero Fund Balances
  - Lack of Interest generation
  - GASB31 Adjustments
7. Transfer of Funds out of the Measure B/VRF funds is not allowed. All expenditures must appear on the Measure B/VRF Statement of Revenues, Expenditures, and Change in Fund Balances.

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13

## Audited Financial Statements Requirements

- **FY 12/13 Ending Fund Balances** = FY 13/14 Beginning Fund Balances
- **FY 13/14 Revenues** = Alameda CTC's Distributions
  - *Distinguish Measure B/VRF Direct Local Distribution Program Revenues from other revenue funds*
    - DO NOT INCLUDE: non-Measure B/VRF Revenues, Measure B/VRF grants, fare revenues, and PSFA funds.
  - *Report interest earned on Measure B/VRF funds*
  - *GASB31 Adjustments must be reported separately*
- **FY 13/14 Measure B/VRF Direct Local Distribution (DLD) receivable** = Direct Local Distribution Program Funds Received in July – August
- **FY 13/14 Expenditures:** Identify DLD expenditures
- **FY 13/14 Ending Fund Balances** = Fund Balances as of June 30, 2014

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14



## Audited Financial Statements Requirements

- 2000 MB/VRF Compliance Audit Opinion
  - *Two **separate sets** of financial statements and two separate audit opinions are required*
  - *Audit requirement per contract*
    - An independent compliance audit which should include a clear statement of compliance regarding funds received and used, including plans for and reports of expenditures.
- Recommended Audit Opinion Language
  - In our opinion, the City of \_\_\_\_\_ is in compliance with the laws and regulations, contracts, and grant requirements related to *2000 Measure B/VRF* funds as specified in the agreement between the City and the Alameda County Transportation Commission.

## Audited Financial Statements Sample Format

- Use the Recommended Sample Format

	State and Federal	Local State and Bonds	Meas. Transit	Paratransit	Totals
<b>REVENUES</b>					
Measure B Direct Local Distribution Program Revenue					
Direct Local Program Distribution Allocation	\$	\$	\$	\$	\$
Interest (Expense)					
GRS(1) Adjustments					
<b>Total Direct Local Distribution Program Revenues</b>	\$	\$	\$	\$	\$
<b>EXPENDITURES*</b>					
Measure B Direct Local Distribution Expenses					
General Government					
Planning and Engineering					
Construction					
Transportation and Operations					
<b>Total Direct Local Distribution Program Expenditures</b>	\$	\$	\$	\$	\$
<b>REVENUES OVER (UNDER) EXPENDITURES/ EXCESS NET CHANGE IN FUND BALANCE</b>	\$	\$	\$	\$	\$
<b>FUND BALANCES</b>					
Beginning Fund Balance	\$	\$	\$	\$	\$
Ending Fund Balance	\$	\$	\$	\$	\$

\* Add additional expenditure categories as necessary.

	State and Federal	Local State and Bonds	Meas. Transit	Paratransit	Totals
<b>ASSETS</b>					
Cash and equivalents	\$	\$	\$	\$	\$
Measure B Direct Local Distribution Program Receivables					
Measure B Direct Local Distribution Program Interest Receivables					
Other Assets (Specify)					
<b>Total Assets</b>	\$	\$	\$	\$	\$
<b>LIABILITIES</b>					
Accounts Payable	\$	\$	\$	\$	\$
Accrued Liabilities					
<b>Total Liabilities</b>	\$	\$	\$	\$	\$
<b>FUND BALANCES</b>					
Residual for Measure B Programs and Projects	\$	\$	\$	\$	\$
<b>Total Fund Balances</b>	\$	\$	\$	\$	\$
<b>Total Liabilities &amp; Fund Balances</b>	\$	\$	\$	\$	\$

See Item #3.1 for Sample Format

## Audited Financial Statements

- Non-compliance with requirements will require a restated Audited Financial Statement
  - *Fund balances that include non-Measure B/VRF revenues, PSFA funds, or grant funds will be asked to restate the financial statements*
- Contact Alameda CTC if you have any questions regarding the Audited Financial Statements' requirements.

## Today's Agenda

- ✓ Welcome and Introductions
- ✓ Overview of Measure B/Vehicle Registration Fee
  - ✓ *History*
  - ✓ *Fund Distributions*
  - ✓ *Programmatic Requirements*
- ✓ Audited Financial Statement Requirements
- 4. Compliance Reporting Requirements**
  - *Compliance Reporting Requirements/Submittal Instructions*
  - *Timely Use of Funds and Fund Reserve Policies*
  - *Reserve Policies and Monitoring Procedures Policy*
- 5. Walk-through Compliance Reporting Forms
- 6. Questions and Answers

## Recipient's Obligations: Compliance Reporting

- Measure B/VRF Program Compliance Report
  - *Due to Alameda CTC no later than the year's end (December 31, 2014)*
  - *Describes annual expenditures and benefits derived from funded programs/project*
  - *Certifies maintained road miles*
  - *Identifies expenditure plan using fund balances*
  - *Documents compliance with Bicycle/Pedestrian Master plan requirements*
    - Updated or in development by December 2015
  - *Documents evidence of completing reporting requirements (articles, signage, website)*

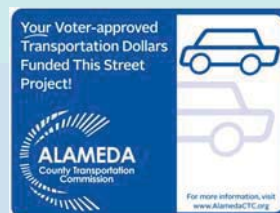
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19

## Recipient's Obligations: Compliance Reporting

1. **Article:** Published a Measure B/VRF article in Alameda CTC's or jurisdictions newsletter
2. **Website** Measure B/VRF information on jurisdiction's website including a link to Alameda CTC's website: [www.AlamedaCTC.org](http://www.AlamedaCTC.org)
3. **Signage:** Promote Measure B/VRF
  - *Sign templates available*  
[http://www.alamedactc.org/app\\_pages/view/5269](http://www.alamedactc.org/app_pages/view/5269)
  - *Magnets and stickers available*



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20

## Timely Use of Funds and Fund Reserve Policies

- **Timely Use of Funds Policy:** Article 3.A. of the Master Programs Funding Agreement (MPFA) requires all Measure B and VRF funds received to be spent expeditiously
- **Reserve Fund Policy:** Article 3.B. of the MPFA allows recipients to reserve funds in special reserve programs for up to four years
- **Rescission of Funds Policy:** Article 3.C. of the MPFA requires recipients to return unspent funds and all interest earned thereon to Alameda CTC

## Types of Reserve Funds

- **Capital Reserve:** Funds designated for Capital Projects that could not be funded by a single year's worth of Measure B/VRF funds.
  - *Time Limits*
    - 1<sup>st</sup> Reserve Window FY 12-13 through FY 15-16
    - 2<sup>nd</sup> Reserve Window FY 13-14 through FY 16-17
    - 3<sup>rd</sup> Reserve Window FY 14-15 through FY 17-18
- **Operations Reserve:** May not exceed 50 percent of anticipated annual Measure B/VRF revenues.
- **Undesignated Reserve:** May not exceed 10 percent of anticipated annual Measure B/VRF revenues.

## Timely Use of Funds Monitoring Procedure

### Planned Projects (unreserved) Fund *(Table 3, Section 1)*

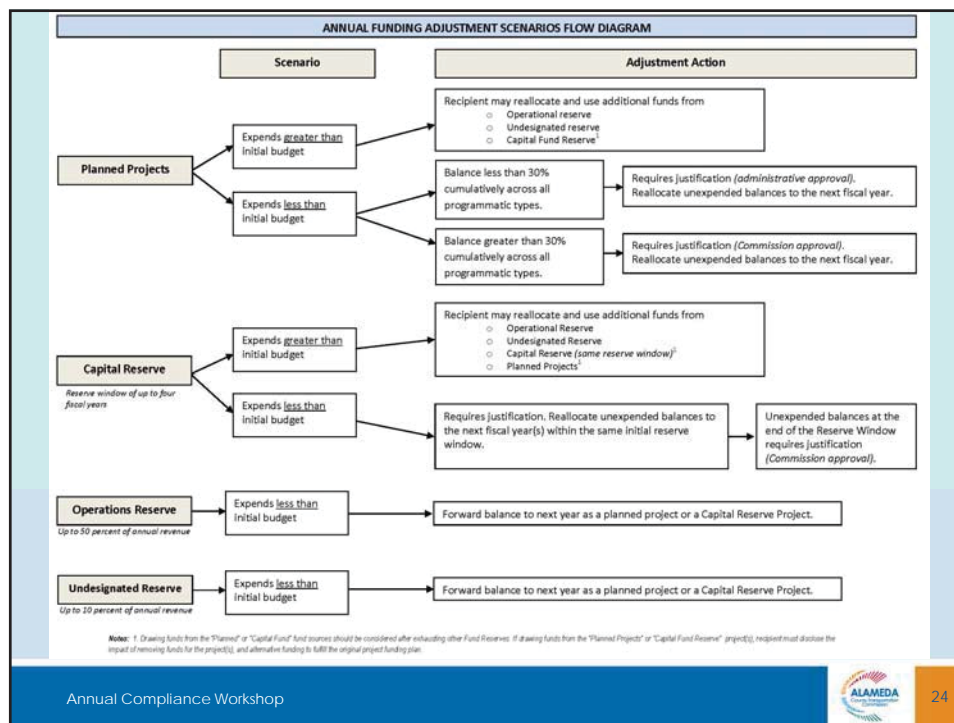
- In FY 12/13 Compliance Report, recipients identified an expenditure plan for FY 13/14
- Per the Commission approved Reserve Policies and Monitoring Procedures, Recipients must expend at least 70 percent of annual planned expenditures collectively across the four programs
- Now with FY 13/14 actual expenditures, Alameda CTC will monitor the total summation of Planned vs. Actual across the four programs to determine compliance with 70 percent expenditure requirement

### Capital Fund Reserve

- Funds identified in a Capital Fund Reserve window **MUST** be expended by the end of the respective window

### Operations and Undesignated Fund Reserve

- Any remaining balance may be forwarded to next year's projects



# Today's Agenda

- ✓ Welcome and Introductions
- ✓ Overview of Measure B/Vehicle Registration Fee
  - ✓ History
  - ✓ Fund Distributions
  - ✓ Programmatic Requirements
- ✓ Audited Financial Statement Requirements
- ✓ Compliance Reporting Requirements
  - ✓ Compliance Reporting Requirements/Submittal Instructions
  - ✓ Timely Use of Funds and Fund Reserve Policies
  - ✓ Reserve Policies and Monitoring Procedures Policy

## 5. Walk-through Compliance Reporting Forms

### 6. Questions and Answers

# Alameda CTC Program Compliance Annual Report

## Submittal Instructions and Guidance

- Submittal Instructions, forms and Guidance are available on the website:  
[http://www.alamedactc.org/app\\_pages/view/4136](http://www.alamedactc.org/app_pages/view/4136)
- Complete Measure B and VRF Forms
  1. MS WORD Form
  2. MS Excel Tables 1-3
- (1) Hardcopy and (1) Electronic Copy
  1. Audited Financial Statement (Due December 29, 2014)
  2. Program Compliance Reporting Form (MS Word) and the Tables 1-3 Excel worksheet (Due December 31, 2014)

**SUBMITTAL GUIDANCE AND REPORTING REQUIREMENTS**

**MEASURE B / VEHICLE REGISTRATION FEE**

**PROGRAM COMPLIANCE REPORT**

*Fiscal Year 2013-2014*

*Reporting Period July 1, 2013 through June 30, 2014*

**SECTION**

3.1 End-of-Year Program Compliance Reporting Requirements	1
Program Compliance Required Enclosures	1
Audited Financial Statements Required Enclosures	2
3.2 Submittal Instructions	3
3.3 Policy on Timely Use of Funds and Reserve Funds	4
3.4 Units of Quantity Standardization for Reporting	5

**KEY DUE DATES**

Submittal	Due Dates
Audited Financial Statements	Monday, December 29, 2014 • Electronic version by email by 5 p.m. • Hard copy must be marked by due date
Compliance Reports	Wednesday, December 31, 2014 • Electronic version by email by 5 p.m. • Hard copy with original signatures and attachments, post-marked by due date

Alameda County Transportation Commission  
End of the Year Program Compliance Report FY 13-14

## PART 1: Compliance Report *(MS Word Form)*

- Complete the Compliance Report Signature Cover Sheet
- Complete the forms for applicable programs
  - *Bike/Pedestrian*
  - *Local Streets and Roads*
  - *Mass Transit*
  - *Paratransit*

## Compliance Report Form Narrative Questions *(MS Word Form)*

## Compliance Report Form Narrative Questions (continued)

7. Alameda CTC uses the data from Table 2 to monitor compliance with the Master Program Funding Agreement requirements (Section 5.1.6). Did projects and programs that use Measure B Bicycle and Pedestrian Safety pass through funds must receive governing board approval prior to the jurisdiction expanding the pass through funding on the project/program?

If your agency expended funds on any projects not approved by your governing board in advance (as indicated in Column 3 of Table 2: Governing Board Approval), list them below and explain why your agency expended funds without agency approval.

8. Describe the governing board approval for future planned projects and/or programs. List the document type, time period, and resolution approval date. Examples include a bicycle and pedestrian plan, capital improvement plan, prioritized project list, etc.

Document Type	Time Period	Resolution Date

9a. Verify Bicycle/Pedestrian Master Plan Adoption. Per Section 7 of the Master Programs Fund Agreement Bicycle/Pedestrian Safety Program Implementation Guidelines, Alameda CTC requires local jurisdictions to have a current individual or combined Bicycle and Pedestrian Master Plan (updated every five years) or demonstrate the plans are being adopted by December 31, 2015.

Does your agency have a current Bicycle and Pedestrian Master Plan, and if so, when was it last updated? If not, describe your agency's plan to develop and adopt a Bicycle and Pedestrian Master Plan by the December 31, 2015 deadline.

9b. Identify the core elements (A-K) from the Bicycle/Pedestrian Checklist included in your bike/pedestrian plan. [http://www.alameda-ctc.org/programs/bike/pedestrian/2015/2015\\_Bike\\_Pedestrian\\_Checklist.pdf](http://www.alameda-ctc.org/programs/bike/pedestrian/2015/2015_Bike_Pedestrian_Checklist.pdf)

Alameda County Transportation Commission  
End of the Year Program Compliance Report FY 13-14 Page 5

10. Did your agency publish an article(s) that highlight Bicycle/Pedestrian projects and programs funded by Measure B in an agency or Alameda CTC newsletter?

☐ Yes. If yes, complete the table below and include a copy of the article(s) in [Attachment 6: Public Communication Program Attachments](#).

Publication	Date Published (Month/Year)	Confirm Copy Attached? (Yes/No)

☐ No. If no, explain in the box below.

11. Did your agency include a description of the Bicycle/Pedestrian projects and programs funded by Measure B on its website?

☐ Yes. If yes, include a printout of the website or [Attachment 6](#) and provide the URL below that contains updated and current project information.

Website Address	Confirm Printout Copy Attached? (Yes/No)

☐ No. If no, explain in the box below.

12. Did your agency use signage that indicates use of Measure B funds for its Bicycle/Pedestrian projects and programs?

☐ Yes. If yes, include photos of the printed signage in [Attachment 6](#) and describe the signage below.

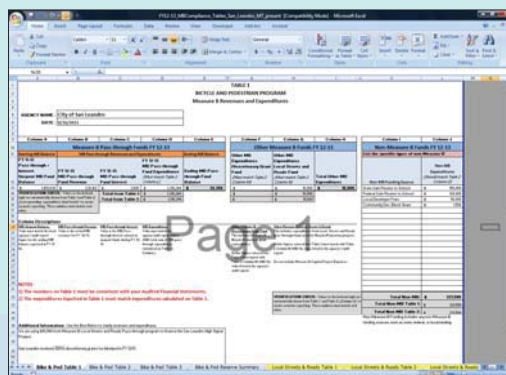
Signage Location / Project	Confirm Photo Attached? (Yes/No)

☐ No. If no, explain in the box below.

Alameda County Transportation Commission  
End of the Year Program Compliance Report FY 13-14 Page 6

## Tables 1- 3 Attachment

- Complete Tables 1-3 for each Program
  - Table 1: Summary of Revenues and Expenditures
  - Table 2: Summary of Expenditures and Accomplishments
  - Table 3: Summary of Planned Projects and Reserve Funds
- Each Program Tables 1-3 are grouped in color tables in the Excel File.
- Each agency will have a customized Excel Form with a pre-populated Table 3.







# Table 3: Planned Projects/Reserves

Alameda City Programs Annual Compliance Report 2024-2025 Reporting Year

**TABLE 3**  
BICYCLE AND PEDESTRIAN PROGRAM  
Measures & Planned Projects and Fund Reserves

City of Alameda (Example Form)  
City of Alameda

**UNABRIDGED SUMMARY - AUTO-CALCULATED REFERENCE TABLE**

Total Measures & Reserves by FY 2024-25		Total Measures & Reserves by FY 2024-25 (Planned vs. Actual Expenditures)		Total Measures & Reserves by FY 2024-25 (Reserve Allocation Summary)	
Measure	Reserve	Measure	Reserve	Measure	Reserve
1. Measure 1: [Project Name]	100,000	1. Measure 1: [Project Name]	100,000	1. Measure 1: [Project Name]	100,000
2. Measure 2: [Project Name]	200,000	2. Measure 2: [Project Name]	200,000	2. Measure 2: [Project Name]	200,000
3. Measure 3: [Project Name]	300,000	3. Measure 3: [Project Name]	300,000	3. Measure 3: [Project Name]	300,000
4. Measure 4: [Project Name]	400,000	4. Measure 4: [Project Name]	400,000	4. Measure 4: [Project Name]	400,000
5. Measure 5: [Project Name]	500,000	5. Measure 5: [Project Name]	500,000	5. Measure 5: [Project Name]	500,000
6. Measure 6: [Project Name]	600,000	6. Measure 6: [Project Name]	600,000	6. Measure 6: [Project Name]	600,000
7. Measure 7: [Project Name]	700,000	7. Measure 7: [Project Name]	700,000	7. Measure 7: [Project Name]	700,000
8. Measure 8: [Project Name]	800,000	8. Measure 8: [Project Name]	800,000	8. Measure 8: [Project Name]	800,000
9. Measure 9: [Project Name]	900,000	9. Measure 9: [Project Name]	900,000	9. Measure 9: [Project Name]	900,000
10. Measure 10: [Project Name]	1,000,000	10. Measure 10: [Project Name]	1,000,000	10. Measure 10: [Project Name]	1,000,000
<b>TOTAL</b>	<b>5,000,000</b>	<b>TOTAL</b>	<b>5,000,000</b>	<b>TOTAL</b>	<b>5,000,000</b>

**SECTION 1: Measure & Planned Projects (Continued Table)**

BOX 4 MEASURE & PLANNED PROJECTS (Continued Table) FY 23-24 PLANNED VS. ACTUAL EXPENDITURES				BOX 5 FY 24-25 MEASURE & PLANNED PROJECTS (Continued Table)			
Measure No.	Project Name	Phase	Planned FY 23-24	Actual FY 23-24	Measure No.	Project Name	Phase
1	Measure 1: [Project Name]	Phase 1	100,000	100,000	1	Measure 1: [Project Name]	Phase 1
2	Measure 2: [Project Name]	Phase 1	200,000	200,000	2	Measure 2: [Project Name]	Phase 1
3	Measure 3: [Project Name]	Phase 1	300,000	300,000	3	Measure 3: [Project Name]	Phase 1
4	Measure 4: [Project Name]	Phase 1	400,000	400,000	4	Measure 4: [Project Name]	Phase 1
5	Measure 5: [Project Name]	Phase 1	500,000	500,000	5	Measure 5: [Project Name]	Phase 1
6	Measure 6: [Project Name]	Phase 1	600,000	600,000	6	Measure 6: [Project Name]	Phase 1
7	Measure 7: [Project Name]	Phase 1	700,000	700,000	7	Measure 7: [Project Name]	Phase 1
8	Measure 8: [Project Name]	Phase 1	800,000	800,000	8	Measure 8: [Project Name]	Phase 1
9	Measure 9: [Project Name]	Phase 1	900,000	900,000	9	Measure 9: [Project Name]	Phase 1
10	Measure 10: [Project Name]	Phase 1	1,000,000	1,000,000	10	Measure 10: [Project Name]	Phase 1
<b>TOTAL</b>			<b>5,000,000</b>	<b>5,000,000</b>	<b>TOTAL</b>		

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33

# Table 3: Planned Projects/Reserves (continued)

SECTION 2: Measure & Capital Fund Reserve

BOX 6 CAPITAL FUND RESERVE FY 23-24 PLANNED VS. ACTUAL EXPENDITURES										BOX 7 CAPITAL FUND RESERVE FY 24-25 THROUGH FY 27-28										BOX 8 CAPITAL FUND RESERVE FY 24-25 THROUGH FY 27-28										BOX 9 CAPITAL FUND RESERVE FY 24-25 THROUGH FY 27-28									
Measure No.	Project Name	Phase	Planned FY 23-24	Actual FY 23-24	Measure No.	Project Name	Phase	Planned FY 24-25	Actual FY 24-25	Measure No.	Project Name	Phase	Planned FY 24-25	Actual FY 24-25	Measure No.	Project Name	Phase	Planned FY 24-25	Actual FY 24-25																				
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Capital project FY 23-24 and Measure No. 1

Capital project FY 24-25 and Measure No. 1

Capital project FY 26-27 and Measure No. 1

Capital project FY 27-28 and Measure No. 1

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34

(continued)

## 36

# Table 3: Planned Projects/Reserves (continued)

## SECTION 3: Measure B Operation Fund Reserve

The Operation Fund Reserve may be established to address operational fluctuations. Maximum 30% of annual revenue.

**Directions:** For previously identified Operation Fund Reserves, funds should be used only after balances in the Planned Projects (Box 4) have been exhausted. If the agency needs to use this reserve, then report expenses in Box 8 and in Box 6.

To establish a new annual reserve, complete Box 5.

BOX 8 MEASURE B OPERATION FUND RESERVE FY 13-14 PLANNED VS ACTUAL EXPENDITURES				
	Planned FY 13-14	Actual FY 13-14	Unexpended Balance FY 13-14	Describe reason for fund balance & any funds reallocated to projects in Box 4.
FY 13-14 Operation Fund Reserve	0	10,000	0	10,000
TOTAL FY 13-14 OPERATION FUND RESERVE	0	10,000	0	10,000

BOX 9 FY 14-15 MEASURE B OPERATION FUND RESERVE	
FY 14-15 Operation Fund Reserve	0
TOTAL FY 14-15 OPERATION FUND RESERVE	0

## SECTION 4: Measure B Undesignated Fund Reserve

The Undesignated Fund Reserve may be established to address transportation needs. Maximum 10% of annual revenue.

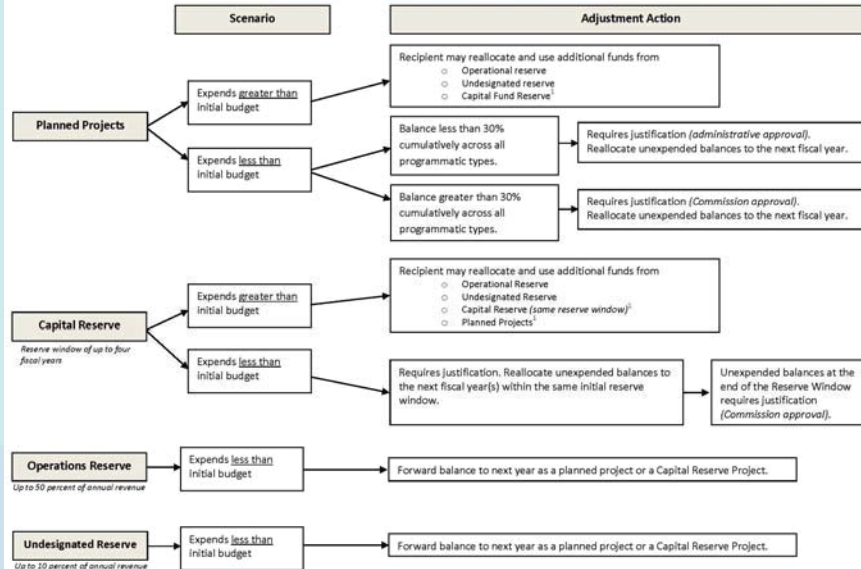
**Directions:** For previously identified Undesignated Fund Reserves, funds should be used only after balances in the Planned Projects (Box 4) have been exhausted. Therefore, if the agency needs to use this reserve, then report expenses in Box 8 and in Box 6.

To establish a new annual reserve, complete Box 11.

BOX 10 MEASURE B UNDESIGNATED FUND RESERVE FY 13-14 PLANNED VS ACTUAL EXPENDITURES				
	Planned FY 13-14	Actual FY 13-14	Unexpended Balance FY 13-14	Describe reason for fund balance & any funds reallocated to projects in Box 4.
FY 13-14 Undesignated Fund Reserve	0	10,000	0	10,000
TOTAL FY 13-14 UNDESIGNATED FUND RESERVE	0	10,000	0	10,000

BOX 11 FY 14-15 MEASURE B UNDESIGNATED FUND RESERVE	
FY 14-15 Undesignated Fund Reserve	0
TOTAL FY 14-15 UNDESIGNATED FUND RESERVE	0

## ANNUAL FUNDING ADJUSTMENT SCENARIOS FLOW DIAGRAM



**Notes:** 1. Drawing funds from the "Planned" or "Capital Fund" fund sources should be considered after exhausting other Fund Reserves. If drawing funds from the "Planned Projects" or "Capital Fund Reserve" project(s), recipient must disclose the impact of removing funds for the project(s), and alternative funding to fulfill the original project funding plan.

## Table 3 Scenarios/Examples

- **In FY 13-14, implemented project(s) not previously reported**
  - Identify Project in Table 3 Planned Section 1 and report expenditures
  - Note funding reallocation i.e. moved used funds from existing planned project balance in X amount. If no remaining planned project funds, then indicate use of reserve funds
- **Capital Fund Reserve Balance at end of FY 13/14**
  - Reallocate Capital Fund Balances to outer year (within same window)
  - May redirect funds to a new or existing project within the Capital Fund Reserve
  - Describe impact on fund reallocation from an existing project

## Table 3 Scenarios/Examples (cont.)

- **Capital Fund Reserve Project Requires More Funds**
  - Two Options:
    - Reallocate capital fund balances or shift existing funds to the project (stay in same reserve time window)
    - Add FY 14-15 available revenues to existing project (FY 14-17 window, orange line)
- **Operations/Undesignated Fund Reserves Required Use in FY 13/14**
  - Use Operations/Undesignated Fund Reserves only AFTER expending all planned project balances (Table 3, Section 1)
  - To use operations/undesignated fund reserves
    - On Table 3, Section 1 Planned (unreserved) Projects, add funds to an existing project line or add a new project. Describe the amount used from the operations/undesignated fund reserves.
    - On Table 3, Section 3 or 4, operations/undesignated fund reserve, identified the amount of funds withdrawn to cover the additional expenses above.

## Submission Requirements

- Electronic Submission guidance

1. *Submit the, Audit, WORD form and Tables 1-3 Attachment via email to [grants@AlamedaCTC.org](mailto:grants@AlamedaCTC.org)*
2. *DO NOT PDF the WORD form or the Excel Tables*
3. *Submit other attachments such as articles and website documentation in a PDF*
4. *Submit JPEG/GIFS of photos*

Audited Financial Statement	Program Compliance Report
Submit one electronic and one hard copy	Submit one electronic and one hard copy
Due Monday December 29, 2014 by 5 p.m.	Due Wednesday December 31, 2014 by 5 p.m.

## Questions?

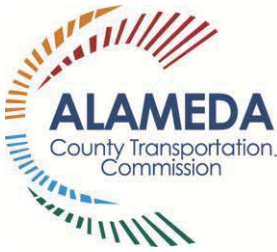
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**Annual Compliance Workshop  
Agenda Packet Available Online**

The complete Annual Compliance Workshop Agenda Packet is available online on Alameda CTC's website linked below.

[http://www.alamedactc.org/files/managed/Document/14480/Agenda\\_Workshop\\_Packet\\_FY13-14\\_FINAL.pdf](http://www.alamedactc.org/files/managed/Document/14480/Agenda_Workshop_Packet_FY13-14_FINAL.pdf)



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## **Measure B/Vehicle Registration Fee Compliance Report Reserve Policies and Monitoring Procedures**

*Commission Approval Date - October 24, 2013*

### **Background**

In April 2012, all jurisdictions receiving Measure B and Vehicle Registration Fee (VRF) funds entered into a Master Programs Funding Agreement (MPFA) with Alameda County Transportation Commission (Alameda CTC). The MPFA and its associated Implementation Guidelines outlined the direct local program distributions (pass-through), eligible expenditures, recipient reporting requirements, policies on the timely use of funds and establishment of reserve funds. Recipients of Measure B and VRF funds are required to submit to Alameda CTC an Audited Financial Statement within 180 days following the close of each fiscal year and an Annual Program Compliance Report due by December 31<sup>st</sup> of each calendar year.

Per Article 3 of the MPFA, jurisdictions receiving Measure B and VRF funds are required to use the direct local program distributions in a timely manner. As such Alameda CTC requires jurisdictions to report in their Annual Program Compliance Report an implementation plan using Measure B/VRF funds. Information reported in the prior year's Annual Program Compliance Report(s) will be evaluated against the subsequent year's reported expenditure information to determine compliance with the MPFA's Timely Use of Funds policy. This process ensures the expeditious expenditure of voter-approved transportation dollars on projects and programs throughout Alameda County.

### **Timely Use of Funds and Reserve Fund Policies**

Per the MPFA, jurisdictions must specify the annual Measure B and VRF funding expenditures, and identify a funding plan of proposed projects/programs to be funded using any remaining Measure B/VRF funds. The applicable policies are captured below:

#### Article 3.A. Timely Use of Funds Policy

The Timely Use of Funds Policy requires all Measure B and VRF recipients to spend funds expeditiously or place funds into a reserve fund. Any funds not spent within the allotted time, including funds placed into reserve funds, will be subject to rescission, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

#### Article 3.B. Reserve Fund Policy

The Reserve Fund Policy enables Measure B and VRF recipients to establish a reserve fund for specified periods of time. This allows jurisdictions to place unexpended funds into an applicable reserve fund to demonstrate a reasonable plan to expend Measure B and VRF funds. The types of reserve funds and their eligibilities are noted in the Exhibit A: Fund Categories

#### Article 3.C. Rescission of Funds Policy

If the recipient does not meet the timeliness requirements, Alameda CTC may rescind any unspent funds and interest earned, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

### Tracking and Monitoring Measure B/VRF Expenditures and Reserve Plans

As part of the Compliance Reporting process, jurisdictions are required to report annual planned expenditures using their fund balances into the four available fund categories listed in Exhibit A. Alameda CTC's tracking and monitoring policies is also further disseminated in the sections below.

**EXHIBIT A: FUND CATEGORIES**

FUND CATEGORY	MAXIMUM FUNDING ALLOTMENT	TIMELY USE OF FUNDS REQUIREMENT
1. <u>Annual Planned Projects (unreserved)</u> Recipients may report an annual implementation plan using Measure B or VRF direct local program distributions.	None.	<ul style="list-style-type: none"> <li>To ensure expeditious use of funds, Alameda CTC expects recipients to expend funds identified as annual planned projects.</li> </ul>
2. <u>Capital Fund Reserve</u> Recipients may establish a specific capital fund reserve to fund specific large capital project(s) that could otherwise not be funded with a single's year worth of Measure B or VRF direct local program distributions.	None.	<ul style="list-style-type: none"> <li>Recipients shall expend all reserve funds by the end of three fiscal years following the fiscal year during which the reserve was established. <ul style="list-style-type: none"> <li><i>In the FY 11-12 Compliance Report the established Capital Fund Reserve Window is FY 12/13 through FY 15/16.</i></li> </ul> </li> <li>To ensure expeditious use of funds, Alameda CTC expects recipients to expend funds identified in the first FY of the reserve fund.</li> </ul>
3. <u>Operations Fund Reserve</u> Recipients may establish and maintain a specific reserve to address operational issues, including fluctuations in revenues, and to help maintain transportation operations	50 percent of anticipated annual direct local program revenues.	<ul style="list-style-type: none"> <li>This is a revolving fund; therefore, unexpended funds may be reassigned in the subsequent fiscal year, but must be expended within the subsequent expenditure period. The next reserve window is FY 13/14 through FY 16/17.</li> </ul>
4. <u>Undesignated Fund Reserve</u> Recipients may establish and maintain a specific reserve for transportation needs over a fiscal year for grants, studies, contingency, etc.	10 percent of anticipated annual direct local program revenues.	This is a revolving fund; therefore, unexpended funds may be reassigned in the subsequent fiscal year, but must be expended within the subsequent expenditure period. The next reserve window is FY 13/14 through FY 16/17.

### Annual Expenditure Threshold Guideline

Alameda CTC recognizes recipients are providing an estimate of planned expenditures when reporting their implementation plan as part of the Annual Compliance Report. As a result there may be unexpected funds balances from these planned budgets due to project bid savings, contingencies, or supplemental savings. Thus, Alameda CTC will monitor and evaluate the total summation of the planned annual expenditures across all programmatic types (*Bike/Pedestrian, Local Transportation, Mass Transit, and Paratransit*).

## SECTION 1: Measure B/VRF Annual Planned Projects

### **Purpose of Annual Planned Projects**

Through the Annual Program Compliance Report, jurisdictions may report annual planned projects using Measure B/VRF funds in the compliance reporting forms, *Table 3 Section 1 Planned Projects*.

#### Project Types include:

- One-year Capital Projects
- Traffic Operations
- Traffic Signal Coordination
- Slurry Seal/Pavement Rehabilitation
- Program Management

### **Timely Use of Funds Policy Implementation**

- Alameda CTC will monitor the recipient's planned versus actual expenditures in the Annual Program Compliance Report.
- Alameda CTC expects recipients to expend funds identified as annual planned projects.
  - Recipient's annual reported expenditures collectively across the planned sections for all applicable programmatic types must be at least 70 percent expended to demonstrate expeditious use of Measure B/VRF funds.
    - 70 percent expenditure threshold is derived from:
      - Jurisdictions planned annual expenditures are reported in December, which is mid-way through the relevant fiscal year.
      - Permits an allowance for contingencies or unexpected cost savings.
  - Any unspent funds greater than 30 percent of the reported planned expenditures across the planned sections for all applicable programmatic categories must be justified and may be subject for rescission, unless a written time extension request is submitted by the recipient and approved by Alameda CTC (*MPFA, Article 3*).

*Program Compliance Report Table 3*

### **Section 1: Planned Projects (unreserved)**

RESERVE TYPE DESCRIPTION	RECIPIENT'S RESPONSIBILITY	ALAMEDA CTC'S RESPONSIBILITY
<p>Projects included in this section are required to be implemented and funded as planned during the specified fiscal year.</p> <p><u>Project Types include:</u></p> <ul style="list-style-type: none"> <li>- One-year Capital Projects</li> <li>- Traffic Operations</li> <li>- Traffic Signal Coordination</li> <li>- Slurry Seal/Pavement Rehabilitation</li> <li>- Program Management</li> </ul>	<p>Recipients are allowed to outline specific projects that are planned to be implemented during the specified fiscal year.</p> <p>Recipients will report these same projects/expenditures in subsequent Annual Compliance Reports and identify their delivery status.</p>	<p>Alameda CTC will review projects listed in this section through the Annual Program Compliance Report process and ensure the Recipient is adhering to the Timely Use of Funds Policy.</p> <p>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports. Alameda CTC will evaluate unexpended fund balances.</p>
<p><u>What happens to unexpended balances?</u></p> <ol style="list-style-type: none"> <li>1. All funds specified in this section must be no less than 70 percent expended collectively across the planned sections for all applicable programmatic categories. A written justification is required for unexpended balances for administrative or Commission approval. Annual balances less than 30 percent are subject to administrative approval, and balances greater than 30 percent are subject to Commission approval.</li> <li>2. Any funds not expended may be subject to rescission, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.</li> </ol>		

## SECTION 2: Measure B/VRF Capital Fund Reserve

### **Purpose of Capital Fund Reserve**

Through the Annual Program Compliance Report, jurisdictions may report planned uses of Measure B/VRF fund reserves for Capital Projects in *Table 3 Section 2 Capital Fund Reserve* of the compliance reporting forms.

The Capital Fund Reserve is for anticipated Capital Projects planned over four fiscal years. Recipients cannot reserve funds past the end of the third fiscal year immediately following the fiscal year during which the reserve was established.

#### **Project Types include:**

- Multi-year Capital Projects
- Roadway Projects
- Drainage/Facilities Projects
- Slurry Seal/Pavement Rehabilitation
- Bike/Pedestrian Projects

### **Timely Use of Funds Implementation Policy**

- Alameda CTC will track each project's proposed budget in the Capital Fund Reserve by phase and year through the Annual Program Compliance Report process.
- Alameda CTC will monitor the recipient's reported Capital Fund Reserve planned versus actual expenditures.
- Recipient's annual reported planned expenditures for the overall reserve section must demonstrate expeditious use of Measure B/VRF funds.
- Recipient may request fund adjustments from year to year within the reserve period as part of the Annual Compliance Report. However, Alameda CTC will monitor each individual project to ensure that the reported expenditures for each fiscal year are being expended within the Timely Use of Funds requirements.
  - Any unspent funds for individual projects and/or Capital Fund Reserve section must have a justification for the unexpended funds.
    - Recipient may reallocate funds to an outer year in the reserve window to the same project or to an alternative project.
    - Unexpended funds must be reallocated in the same Capital Fund Reserve window in which the reserve was established.
    - Any funds not expended by the end of third fiscal year immediately following the fiscal year during which the reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC (*MPFA, Article 3*).

**Program Compliance Report Table 3****Section 2: Capital Fund Reserve**

<b>RESERVE TYPE DESCRIPTION</b>	<b>RECIPIENT'S RESPONSIBILITY</b>	<b>ALAMEDA CTC'S RESPONSIBILITY</b>
<p>Projects included in this section are designated with Capital Fund Reserves during a reserve window over four fiscal years.</p> <p><i>Reserve Window: All funds must be expended prior to the end of the third fiscal year immediately follow the fiscal year during which the reserve was established.</i></p> <p><u>No.1 Initial Reserve Window</u> - FY 12-13 through FY 15-16</p> <p><u>No.2 Second Reserve Window</u> - FY 13-14 through FY 16-17</p> <p>The Capital Fund Reserve is for large capital project(s) that could otherwise not be funded with a year's worth of Measure B/VRF direct local program distributions. All programmed funds must be expended by the end their respective fiscal year window.</p> <p><u>Project Types include:</u></p> <ul style="list-style-type: none"> <li>- Multi-year Capital Projects</li> <li>- Roadway Projects</li> <li>- Drainage/Facilities Projects</li> <li>- Slurry Seal/Pavement Rehabilitation</li> <li>- Bike/Pedestrian Projects</li> </ul>	<p>Recipients are expected to report large capital projects funded with Measure B/VRF revenue over a four fiscal year reserve window.</p> <p>Any projects that require additional Measure B/VRF funding beyond the total anticipated fiscal year's revenue that is allocated in this reserve must state in the project status notes:</p> <ol style="list-style-type: none"> <li>1. The total project cost using Measure B/VRF funding;</li> <li>2. The outstanding Measure B/VRF balance that is required to complete the project; and</li> <li>3. Specify anticipated future funding using additional Measure B/VRF revenue for the project in subsequent years.</li> </ol> <p>Recipients will report these same projects/expenditures in subsequent Annual Compliance Reports and identify their delivery status (i.e. continuing or close-out).</p>	<p>Alameda CTC will track each project proposed in the Capital Fund Reserve through the Annual Program Compliance Report process to ensure the Recipient is adhering to the Timely Use of Funds Policy of the MPFA.</p> <p>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports.</p> <p>Alameda CTC will evaluate unexpended fund balances.</p>
<p><u>What happens to unexpended balances?</u></p> <ol style="list-style-type: none"> <li>1. Recipients must expend the funds identified for projects as reported within their respective reserve window. <ol style="list-style-type: none"> <li>a. Capital Fund Reserve balances may be forwarded to an outer year of the original reserve window.</li> <li>b. As part of the Program Compliance Report, a written justification is required for unexpended balances.</li> </ol> </li> <li>2. Any funds not expended by the end of third fiscal year immediately following the fiscal year during which the reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.</li> </ol>		

### SECTION 3: Measure B/VRF Operations Fund Reserve

#### **Purpose of Operations Fund Reserve**

As part of the Annual Program Compliance Report, jurisdictions may establish an operational reserve of up to 50 percent of annual Measure B/VRF fund revenues in *Table 3 Section 3 Operations Fund Reserve* of the compliance reporting forms.

The Operations Fund Reserve allowed to accounts for fluctuations in revenues, and operational adjustments.

#### **Project Types include:**

- Transit Operations
- Traffic Signal Coordination
- Street Lights Maintenance
- Roadway/Traffic Studies
- Facilities Maintenance
- General Studies

#### **Timely Use of Funds Implementation Policy**

- Alameda CTC will monitor recipient's annual Operations Fund Reserve to ensure it does not exceed 50 percent of the annual Measure B/VRF revenue.
- There are no expenditure requirements for the immediate fiscal year that the reserve was established for. However, in the following fiscal year, recipients must reallocate the reserve balance to a planned project or Capital Fund Reserve project.
  - Once reallocated, any funds not expended by the end of third fiscal year immediately following the fiscal year during which the initial operating reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

<b>Program Compliance Report Table 3</b> <b>Section 3: Operations Fund Reserve</b>		
<b>RESERVE TYPE DESCRIPTION</b>	<b>RECIPIENT'S RESPONSIBILITY</b>	<b>ALAMEDA CTC'S RESPONSIBILITY</b>
Projects and activities included in this section are designed to address operational issues, such as fluctuations in revenues, and to help maintain transportation operations.  The total amount identified may not exceed 50 percent of anticipated annual revenue.  <u>Project Types include:</u> <ul style="list-style-type: none"> <li>- Transit Operations</li> <li>- Traffic Signal Coordination</li> <li>- Street Lights Maintenance</li> <li>- Roadway/Traffic Studies</li> <li>- Facilities Maintenance</li> <li>- General Studies</li> </ul>	Recipients are allowed to program up to 50 percent of anticipated annual revenue for operational projects/programs such as transit operations, traffic operations, streetlight maintenance, etc.  Recipients may also create a reserve item for general operations. Recipients cannot program more than 50 percent of anticipated annual revenue.  Recipients will report these same projects/expenditures in subsequent Annual Compliance Reports and identify their delivery status (i.e. continuing or close-out).	Alameda CTC will review the project list to determine eligibility in the operational reserve.  Alameda CTC will ensure the programmed amount does not exceed 50 percent of anticipated annual revenue.  Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports.
<u>What happens to unexpended balances?</u> Unexpended Operational Fund Reserve balance may be reassigned as part of the subsequent Annual Program Compliance Reporting process.		

**SECTION 4: Measure B/VRF Undesignated Fund Reserve****Purpose of Undesignated Fund Reserve**

As part of the Annual Program Compliance Report, jurisdictions may establish an undesignated reserve of up to 10 percent of annual Measure B/VRF fund revenues in *Table 3 Section 4 Undesignated Fund Reserve* of the compliance reporting forms.

The Undesignated Fund Reserve accounts for project contingencies or unexpected circumstances.

**Timely Use of Funds Implementation Policy**

- Alameda CTC will monitor recipient's annual Undesignated Fund Reserve to ensure it does not exceed 10 percent of the annual Measure B/VRF revenues.
- There are no expenditure requirements for the immediate fiscal year that the reserve was established for. However, in the following fiscal year, recipients must reallocate the reserve balance to a planned project or Capital Fund Reserve project.
  - Once reallocated, any funds not expended by the end of third fiscal year immediately following the fiscal year during which the initial undesignated fund reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

*Program Compliance Report Table 3*

**Section 4: Undesignated Fund Reserve**

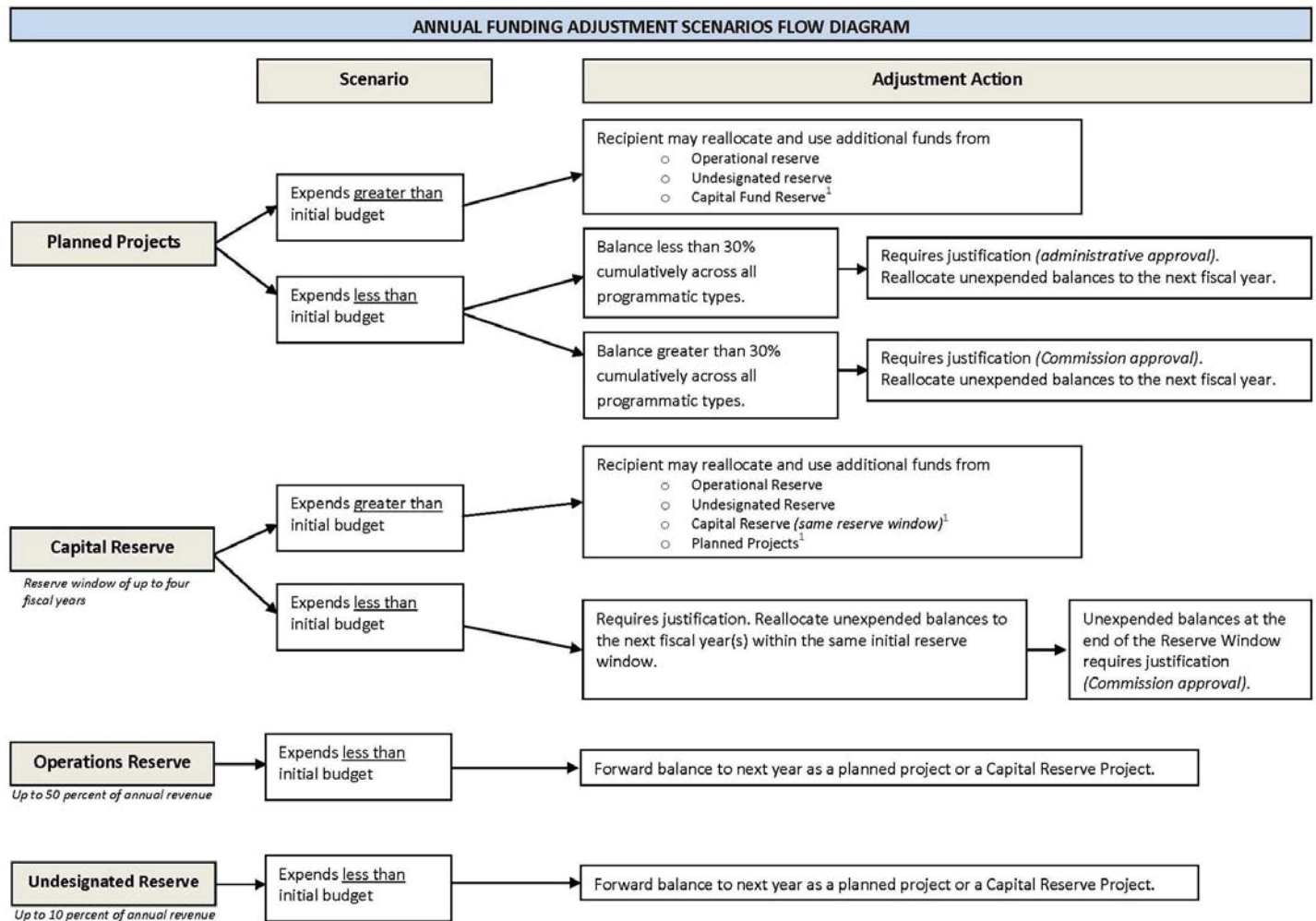
<b>RESERVE TYPE DESCRIPTION</b>	<b>RECIPIENT'S RESPONSIBILITY</b>	<b>ALAMEDA CTC'S RESPONSIBILITY</b>
<p>Projects included in this section are for unspecified/as-needed transportation activities such as matching funds for grants, project development work, studies for transportation purposes, or contingency funds for a project or program.</p> <p>This fund may not contain more than 10 percent of annual direct local program revenues.</p>	<p>Recipients may establish an undesignated reserve fund for yet to be defined transportation funding needs of up to 10 percent of anticipated annual revenue.</p> <p>Recipients may propose potential uses of undesignated fund reserves in the additional information or status section.</p>	<p>Alameda CTC will ensure the programmed amount does not exceed 10 percent of anticipated annual revenue.</p> <p>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports.</p>
<p><u>What happens to unexpended balances?</u></p> <ol style="list-style-type: none"> <li>1. Unexpended annual undesignated Fund Reserve balance may be reassigned as part of the subsequent Annual Program Compliance Reporting process.</li> </ol>		



## Exhibit B: Annual Funding Adjustment Scenarios

FUND CAT.	SCENARIO	ADJUSTMENT
PLANNED PROJECTS	<b>1. Recipient expends <u>greater than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects required additional funds</li> <li>Implemented more projects than expected</li> </ol>	<ul style="list-style-type: none"> <li>Recipient may reallocate and use funds from               <ul style="list-style-type: none"> <li>Operational Reserve</li> <li>Undesignated Reserve</li> <li>Capital Fund Reserve<sup>1</sup></li> </ul> </li> </ul>
	<b>2. Recipient expends <u>less than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects contained project savings or other funding sources acquired</li> <li>Projects were not delivered</li> </ol>	<p><u>Unexpended balance less than 30%</u></p> <ul style="list-style-type: none"> <li>Recipient may reallocate unexpended balances less than 30 percent of overall planned allocation (<i>cumulatively across all programmatic types</i>) to the next fiscal year. Justification is required and reallocation subject to Alameda CTC administrative approval.</li> </ul> <p><u>Unexpended balance greater than 30%</u></p> <ul style="list-style-type: none"> <li>If unexpended amount is greater than 30 percent of overall planned allocation (<i>cumulatively across all programmatic types</i>). Recipient may propose to reallocate balances to the following fiscal year. Justification is required and reallocation is subject to Alameda CTC's Commission approval.</li> </ul>
CAPITAL FUND RESERVE	<b>3. Recipient expends <u>greater than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects required additional funds</li> <li>Implemented more projects than expected</li> </ol>	<ul style="list-style-type: none"> <li>Recipient may reallocate and use funds from               <ul style="list-style-type: none"> <li>Operational Reserve</li> <li>Undesignated Reserve</li> <li>Capital Reserve (<i>same reserve window</i>)<sup>1</sup></li> <li>Planned Projects<sup>1</sup></li> </ul> </li> </ul>
	<b>4. Recipient expends <u>less than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects contained project savings or other funding sources acquired</li> <li>Projects were not delivered</li> </ol>	<p><u>Unexpended balances</u></p> <ul style="list-style-type: none"> <li>Recipient may reallocate unexpended balances per project and/or overall planned Capital Fund Reserve allocation to the next fiscal year(s) within the same reserve window.               <ul style="list-style-type: none"> <li>Justification statements are required for fund balances and proposed reallocations.</li> </ul> </li> <li>Funds must remain within the same initial Capital Fund Reserve window.</li> <li>Unexpended balances at the end of the four fiscal year reserve window may be subject to rescission.</li> </ul>
OPERATIONS FUND RESERVE	<b>5. Recipient expends <u>less than</u> initial budget</b>	<ul style="list-style-type: none"> <li>Operations Reserve balance to be forwarded to following fiscal year as a planned project or a Capital Reserve Project.</li> </ul>
UNDESIGNATED FUND RESERVE	<b>6. Recipient expends <u>less than</u> initial budget</b>	<ul style="list-style-type: none"> <li>Undesignated Fund Reserve balance to be forwarded to following fiscal year as a planned project or a Capital Reserve Project.</li> </ul>

Notes: 1. Drawing funds from the "Planned" or "Capital Fund" fund sources should be considered after exhausting other Fund Reserves. If drawing funds from the "Planned Projects" or "Capital Fund Reserve" project(s), recipient must disclose the impact of removing funds for the project(s), and alternative funding to fulfill the original project funding plan.



**Notes:** 1. Drawing funds from the "Planned" or "Capital Fund" fund sources should be considered after exhausting other Fund Reserves. If drawing funds from the "Planned Projects" or "Capital Fund Reserve" project(s), recipient must disclose the impact of removing funds for the project(s), and alternative funding to fulfill the original project funding plan.

## **“BASELINE” IMPLEMENTATION PLANS AND FUND RESERVES**

The Timely Use of Funds policy dictates that Measure B and VRF funds must be expended expeditiously and within specified time periods as outlined for each of the reserve categories.

As such, recipients are required to submit an Annual Program Compliance Report on December 31<sup>st</sup>. This submitted report will be reviewed by Alameda CTC staff, the Citizens Watchdog Committee, and posted on the Alameda CTC’s website. Recipients may be requested to clarify reporting data and project implementation plans. Thus, recipients may be asked to modify their Annual Program Compliance Report submittal. By mid-March, recipients’ may submit revisions to the Annual Program Compliance Reports, if necessary. Revision must include information on the delivery status of planned projects and programs, and reasons for changes. These reports establish a baseline implementation plan used for evaluation to subsequent compliance reports.

The finalized (*executed*) reported information provided in the Annual Program Compliance Report’s Table 3 will be used to evaluate the recipient’s adherence to the Timely Use of Funds policy as described in the MPFA. Information reported in the Annual Program Compliance Report’s Table 3 will be evaluated against the subsequent year’s reported expenditure information to determine compliance with the Timely Use of Funds policy.

## **AMENDMENT REQUESTS**

**Alameda CTC will consider the following amendment requests:**


1. Reallocation of unexpended annual balances of Planned Projects or Capital Fund Reserve at the Timely Use of Funds milestone.
  - a. Annual balances less than 30 percent (*cumulatively across all programmatic types*) are subject to administrative approval, and
  - b. Annual balances greater than 30 percent (*cumulatively across all programmatic types*) are subject to Commission approval.
2. Revision to projects identified in the Capital Fund Reserve including scope, project lists, and dollars.

### Administrative Amendment Procedure

1. Recipients must justify and propose balance reallocations within the Annual Compliance Report for balances less than 30 percent of overall planned project sections (*cumulatively across all programmatic types*) or for amendments within the Capital Fund Reserve.
2. Alameda CTC will review the requests through the compliance reporting process and may request additional information, if required, prior to its determination of the request.


### Formal Amendment Procedure

1. Recipients must submit a written request for a time extension and reallocation of balances greater than 30 percent of overall planned project sections (*cumulatively across all programmatic types*) to Alameda CTC or unexpended funds at the end of the Capital Fund Reserve period.
2. Alameda CTC staff will evaluate the eligibility of time extension request and will prepare the staff report to Alameda CTC Commission.
3. Alameda CTC Commission approval is required for a formal amendment.
4. Alameda CTC staff will notify recipient of the Commission’s action in writing.



Fiscal Year 2013-14  
Annual Compliance Report  
CWC Review Orientation

A Presentation by  
Alameda County Transportation Commission Staff  
October 2014



## Citizens Watch Dog Committee Role



- Reviews all 2000 Measure B expenditures for the four programmatic areas:
  1. *Bicycle and Pedestrian Safety*
  2. *Local Transportation (Local Streets and Roads)*
  3. *Mass Transit*
  4. *Special Transportation for Seniors with Disabilities (Paratransit)*
- Reports directly to the public annually
- May request additional information from recipients to determine program compliance

## Recipient Obligations: Reporting Requirements

- 20 Measure B Direct Local Distribution (DLD) Program funds recipients
- Annually required to submit to the Alameda CTC:
  - 1. Audited Financial Statement**
  - 2. Program Compliance Report**
- This year's Compliance Reporting period covers Fiscal Year 2013-14 expenditures

CWC Review Orientation for Annual Compliance Report



3

## Recipient Obligations: Reporting Requirements



- Measure B Program Compliance Report
  - Describes annual expenditures and benefits derived from funded programs/project
  - Certifies maintained road miles
  - Identifies expenditure plan using fund balances
  - Documents compliance with Bicycle/Pedestrian Master Plan updated requirements
    - Updated or in development by December 2015
  - Documents evidence of completing reporting requirements (articles, signage, and website)

CWC Review Orientation for Annual Compliance Report



4

## Timely Use of Funds and Reserve Policies

- **Timely Use of Funds Policy:** The Master Programs Funding Agreement (MPFA) requires all Measure B funds received to be spent expeditiously.
- **Reserve Fund Policy:** The MPFA allows recipients to reserve funds in special reserve programs for up to four years.
- **Rescission of Funds Policy:** The MPFA requires recipients to return unspent funds and all interest earned thereon to Alameda CTC.

## Types of Reserve Funds

- **Capital Reserve:** Funds designated for Capital Projects that could not be funded by a single year's worth of Measure B funds.
  - *Time Limits*
    - 1<sup>st</sup> Reserve Window FY 12-13 through FY 15-16
    - 2<sup>nd</sup> Reserve Window FY 13-14 through FY 16-17
    - 3<sup>rd</sup> Reserve Window FY 14-15 through FY 17-18
- **Operations Reserve:** May not exceed 50 percent of anticipated annual Measure B revenues.
- **Undesignated Reserve:** May not exceed 10 percent of anticipated annual Measure B revenues.

# Timely Use of Funds Monitoring Procedure

## Annual Planned Projects (unreserved)

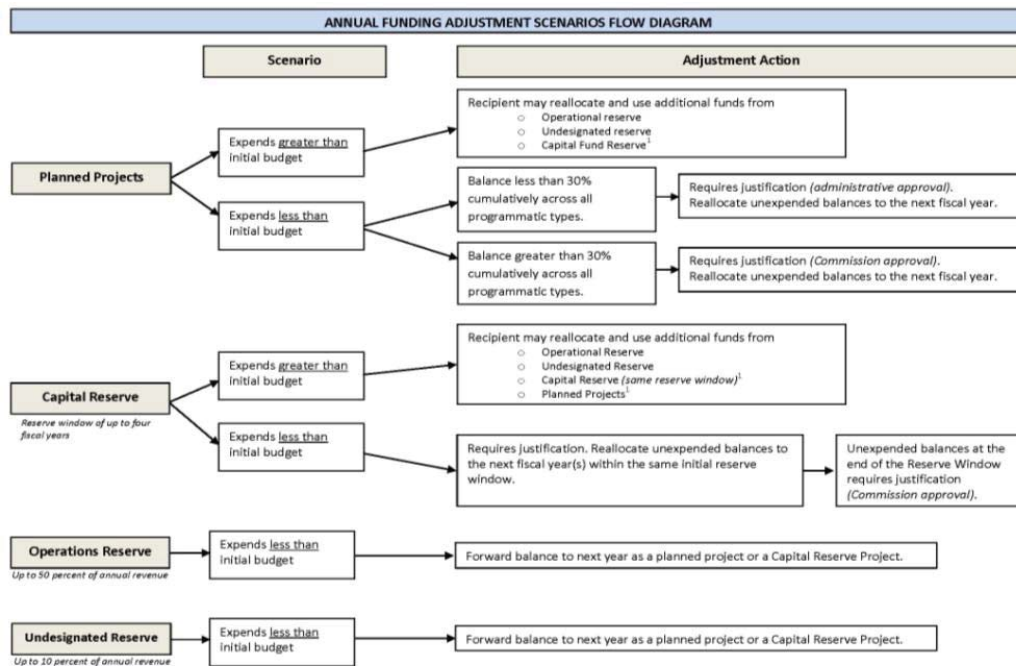
- In FY 12/13 compliance report, recipients identified a FY 13/14 expenditure plan.
- This year, recipients will report on FY 13/14 actual expenditures.
  - *Per the Commission approved Reserve Policies and Monitoring Procedures, recipients must expend at least 70 percent of annual planned expenditures collectively across the four programs (bike/pedestrian, local streets and roads, transit, and paratransit)*
  - *Alameda CTC will monitor Planned vs. Actual expenditures to determine compliance with the 70 percent expenditure requirement*

## Capital Fund Reserve

- Funds identified in a Capital Fund Reserve window MUST be expended by the end of the respective window.

## Operations and Undesignated Fund Reserve

- Any remaining balance may be forwarded to next year's projects.



## CWC Compliance Review Dates

Dates	Action
September 10 <sup>th</sup>	Annual Compliance Workshop
<b>December 29<sup>th</sup></b>	<b>Audited Financial Statement Due</b>
<b>December 31<sup>st</sup></b>	<b>Programs Compliance Reports Due</b>
January 9, 2015	Staff posts Compliance Reports to website
January 12, 2015 (CWC Meeting)	<ul style="list-style-type: none"> <li>CWC receives binders with the submitted reports to review</li> <li>Staff provides Compliance Review Guidance</li> </ul>
January 31, 2015	Finalize audit and compliance report review
February 2015	Measure B Recipients receive Compliance Status Letters and Request for Information Letters <i>(as necessary)</i>
March 9, 2015 (CWC Meeting)	CWC receives update on the Compliance Process
June 8, 2015 (CWC Meeting)	CWC and Commission receive Summary Report



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# Citizens Watchdog Committee Post-Audit Subcommittee Meeting Minutes Monday, September 22, 2014, 3:30 p.m.

6.1

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

On June 16, 2014, the Citizens Watchdog Committee (CWC) Audit Subcommittee met with the Alameda County Transportation Commission (Alameda CTC) independent auditor, Vavrinek, Trine, Day & Co., LLP (VTD), to discuss financial issues related to the Alameda CTC and Measure B, and VTD's audit and testing methodology.

On September 22, 2014, the following CWC members and staff met with Alameda CTC's independent auditor, VTD, to follow up on concerns expressed in the June meeting.

## **Attendees:**

- Alameda CTC staff: Arthur L. Dao, Alameda CTC Executive Director; Patricia Reavey, Director of Finance
- CWC members: James Paxson and Harriette Saunders
- VTD: Ahmad Gharaibeh

The meeting began with the VTD Auditor, Ahmad Gharaibeh, providing an update on the scope of the audit performed. He mentioned that testing occurred on invoice-related expenses, General Fund-related expenses, payroll-related expenses, and \$10s of millions of vouching was performed in order to answer CWC concerns. Ahmad noted that testing was in compliance, and the allocations were proper.

Ahmad clarified the definition of high risk and low risk in an audit. He stated that whether the risk is high or low, the risk determines the percentage of coverage of the charges for a particular area that the committee asked VTD to test. The term "high risk" emphasizes that the CWC audit subcommittee requested VTD to place an emphasis on a particular area of the audit.

The committee inquired who at Alameda CTC has the ability to make and post journal entries in the accounting software. Staff stated that the director of finance, accounting manager, and senior accountant have the ability to post entries. The director of finance approves the accounting manager's entries, and the accounting manager approves the senior accountant's entries. Ahmad stated that as part of the financial audit, VTD tested 60 journal entries and made sure every entry sampled was supported by proper documentation, and two signatures were on each.

Staff informed the subcommittee that the discussion would center on the items listed under next steps from the June 16, 2014 Pre-Audit Subcommittee meeting notes:

1. Master Programs Funding Agreements (MPFAs):  
The items that follow are related to questions 18 and 19 from the members.
  - a. Ensure that the interest is properly calculated and allocated to the reserve funds that represent Measure B funds.

Ahmad stated that 20 agencies submitted audited financial statements to Alameda CTC. He noted that all agencies tracked their expenses using fund accounting, which is an accounting system emphasizing accountability rather than profitability and used by nonprofit organizations and governments. The agencies submitted financial statements to Alameda CTC that included the carry-over balances, which were calculated properly.

Going forward, Alameda CTC will tie the subsequent financial balance for beginning fund balances with the prior year. Ahmad informed the committee that some agencies aggregated the interest revenue into one line item on the financial statements; therefore, the information is difficult to audit. VTD followed up with staff regarding this problem and was informed that the agencies were notified at the September 10, 2014 Compliance Workshop to make sure that their interest revenue and the Governmental Accounting Standard Board (GASB) 31 adjustments appear in separate line items on the financial statements going forward.

Ahmad concluded that for the agencies that aggregated the interest revenue, VTD could not verify the proper calculation, and for the agencies that reported the interest revenues in a separate line item, the information looked to be reasonable and properly calculated. Staff stated that Alameda CTC is requiring the agencies to fix the issues going forward and to ensure interest revenue appears on a separate line item from GASB 31 adjustments, so the agencies' auditors will be able to audit the information.

The committee asked how Alameda CTC will tie the carry-over balances for this year if the interest amount is unknown. Staff stated that the agencies tell us the interest; however, we do not have the ability to verify this information.

- b. Ensure MPFA agreements stipulate language in compliance with Measure B requirements.

Ahmad said that one of the questions for compliance is to determine if the agencies' expenditures of Measure B funds are in compliance with their funding agreement. VTD reviewed 20 MPFAs, and Alameda CTC has a memorandum of understanding with the cities that specifies what the cities must spend the money on. The agreements must be in compliance with Measure B. VTD looked at the agreements and compared them to the Measure B 2000 Transportation Expenditure Plan language and noted that the language was in agreement with Measure B.

- c. Look at audit reports submitted by agencies to ensure the audit reports do not note exceptions.

Ahmad said the audit reports did not indicate any exceptions.

- d. Ensure the agencies meet requirements for timely use of funds and include detail on the process for timely use of funds and the spend-down plan.

Ahmad said the cities submitted an outline, and one item was a table that shows the carry-over balances. VTD said the auditors reviewed the final reports on the Alameda CTC website and ensured staff followed up with the cities in regards to the carry-over fund balances. Ahmad will speak with staff regarding the spend-down requirements and percentages the agencies must spend over a three-year period. VTD will research further detail on the carry-over balances and bring back a response to the committee.

2. Review/test the allocation of charges between the general fund and other funds.

Ahmad stated that VTD performs this standard test every year. VTD tested 70 to 80 percent of general fund expenses and \$40 to \$50 million of Measure B capital expenses. VTD confirmed legal, rent, media consultant, and payroll expenditures; reviewed the allocations; and confirmed the allocations were proper between Alameda County Congestion Management Agency, Alameda County Transportation Authority, and Alameda County Transportation Improvement Authority. VTD looked at the reasonableness of signed timesheets and invoices charged to different funds to ensure allocations were proper. VTD reviewed the capital projects invoices and compared them to the Measure B ballot language to confirm compliance.

3. Ensure that charges on the budget go to the proper category. The categories on the budget are smaller than usual.

Ahmad said that the auditors tested actual cash payments and cash receipts, things that already occurred. Budgets inform expectations and management decisions. This item is outside of the scope of the audit.

4. Ensure that contracts and invoices are in compliance with Measure B. The response to this item is covered above in 2.

The below follow-up items are related to questions 9, 10, 11, and 12 from the members.

5. Ensure that interest is properly accounted for in the trustee statements.

Ahmad stated that the proceeds from the bonds is \$157 million. Alameda CTC opened new bond trustee accounts with Union Bank and deposited the money into this account. The accounts are accumulating interest and investment income. The auditors traced back the income to Measure B funds. All interest earned related to the proceeds and the cash generated from the proceeds is being properly deposited into the Measure B fund. The auditor confirmed with Union Bank and traced the amount to the Measure B fund financial statements to verify the amount was properly deposited and recorded.

The trustee, Union Bank, is responsible for maintaining custody of securities in the bond fund accounts. VTD requested that Union Bank provide a Statement on Standards for Attestation Engagements (SSAE) 16 Service Organization Control (SOC) 1 and 2 Report which they promptly did provide. These reports provide information relevant to internal control over financial reporting and enable VTD to

perform risk-assessment procedures. VTD confirmed that the interest was properly accounted for in the trustee statements.

6. Confirm deposits of sales tax revenue from the California Board of Equalization (BOE) into the trustee account.

Ahmad explained that the Alameda CTC's share of sales tax revenue goes directly from the BOE to Union Bank, and the trustee deducts the funds required to pay debt-service (if any) from the total and passes the balance through to the Alameda CTC's regular Union Bank account on the same day. The funds withheld by the bank go into Alameda CTC's bond principal or interest fund accounts until it is time to make the debt service payments. VTD accessed the BOE website to confirm the sales tax revenue in aggregate was properly deposited into the escrow accounts and properly rolled forward/back into the Alameda CTC account. In aggregate, the sales tax revenue was correct, and the distribution between the trustee and the general funds or actual funds of Alameda CTC was correct.

Additional questions and comments:

- Did VTD go back to the issues raised by the CWC in prior years on allocation of time to the payroll? This inquiry is related to question 3 in the June 16, 2014 Pre-Audit Subcommittee meeting notes. Ahmad said yes VTD did tests regarding timesheets/payroll this year.
- Are there new discoveries on issues regarding internal controls? Were the recommendations related to internal controls made by the auditors last year implemented and resolved? Ahmad said that no new discoveries were found, and the issues found last year were resolved immediately.
- Were new management issues identified this year? No.
- Do you have any new management recommendations? Ahmad said there were no findings this year.
- On the risk assessment, are there any industry-related changes that Alameda CTC needs to address? Ahmad said that VTD will address GASB changes for pension reporting in 2015. Patricia Reavey stated that the Comprehensive Annual Financial Report for the year ended June 30, 2014 will include new GASB pronouncements.
- Regarding bonds, since they are a significant new source of income, will additional testing be performed? Ahmad said that from an audit perspective, the interest earned on the \$157 million has been deposited properly for Measure B.

**Next Steps:**

- Regarding MPFA's timely use of funds requirement, VTD will follow up with staff to gain a better understanding of the spend-down requirements and percentages the agencies must spend over a three-year period and bring back a response to the committee at a later date regarding more detail on the process and if the agencies met the requirements.



# Memorandum

8.0

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• www.AlamedaCTC.org

**DATE:** October 20, 2014

**SUBJECT:** Alameda CTC FY2013-14 Year-End Investment Report

**RECOMMENDATION:** Approve the Alameda CTC FY2013-14 Year-End Investment Report

## Summary

The Quarterly Investment Report (Attachment A) provides market balance and average return on investment information including unrealized gains and losses in accordance with GASB 31 requirements for all cash and investments held by the Alameda CTC as of June 30, 2014. The report also shows market balances as of June 30, 2013 for comparison purposes. The *Portfolio Review for Quarter Ending June 30, 2014* (Attachment B) prepared by SunTrust Bank provides a review and outlook of current market conditions, an investment strategy to maximize return without compromising safety and liquidity and an overview of the strategy used to develop the bond proceeds portfolio. Alameda CTC investments are in compliance with the adopted investment policy as of June 30, 2014. Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.

## Activity

The following are key highlights of cash and investment information as of June 30, 2014:

- As of June 30, 2014, total cash and investments held by the Alameda CTC were \$392.2 million. Bond proceeds account for 29.8% of the total balance.
- The ACTA cash and investment balance decreased \$1.8 million or 1.4% from the prior year-end balance due to capital project expenditures. The ACTIA cash and investment balance increased \$143.0 million or 163.7% mostly due to the receipt of bond proceeds. The ACCMA cash and investment balance increased \$13.5 million or 57.3% primarily due to the timing between VRF collections and VRF program expenditures along with additional project related deferred revenue funds received.
- In June 2014, \$4.0 million was invested in the Certificate of Deposit Account Registry Service (CDARS) program through Fremont Bank, \$2.0 million each from the ACTA

and ACTIA fund portfolios. These investments are in addition to those listed in the Fixed Income Portfolio as of June 30, 2014 (Attachment C).

- Investment yields have improved slightly with the return on investments for the Alameda CTC at 0.27% compared to the prior year's return of 0.23%. Return on investments were projected for the FY2013-14 budget year at varying rates ranging from 0.3% - 0.5% depending on investment type and did not account for a return on bond proceeds.

### **Fiscal Impact**

There is no fiscal impact.

### **Attachments**

- A. Consolidated Investment Report as of June 30, 2014
- B. Portfolio Review for Quarter Ending June 30, 2014 (provided by SunTrust Bank)
- C. Fixed Income Portfolio as of June 30, 2014

### **Staff Contact**

[Patricia Reavey](#), Director of Finance

[Lily Balinton](#), Accounting Manager

Alameda CTC Consolidated Investment Report As of June 30, 2014									
ACTA	Un-Audited		Interest Earned				FY 2012-2013		
	Investment Balance		As of June 30, 2014		Difference	Budget	Investment Balance		Interest earned FY 2012-2013
			Interest earned	Approx. ROI			June 30, 2013		
Checking Account	\$	454,248	\$ 6	0.00%			\$ 967,484	\$	35
State Treasurer Pool (LAIF) <sup>(3)</sup>		38,065,337	109,227	0.29%			26,320,036		20,600
Investment Advisor <sup>(1) (3)</sup>		76,167,922	361,564	0.47%			89,195,725		279,439
Loan to ACCMA		10,000,000	-	-			10,000,000		-
ACTA Total	\$	124,687,507	\$ 470,798	0.38%	\$	430,000	\$ 40,798	\$	300,074
							Approx. ROI		0.24%
ACTIA	Un-Audited		Interest Earned				FY 2012-2013		
	Investment Balance		As of June 30, 2014		Difference	Budget	Investment Balance		Interest earned FY 2012-2013
			Interest earned	Approx. ROI			June 30, 2013		
Checking Account	\$	6,352,690	\$ 175	0.00%			\$ 10,988,648	\$	235
State Treasurer Pool (LAIF) <sup>(3)</sup>		49,952,725	104,001	0.21%			32,414,238		43,022
Investment Advisor <sup>(1) (3)</sup>		57,375,116	94,181	0.16%			43,984,652		151,283
2014 Series A Bond Project Fund		96,425,107	56,107	0.17%			-		-
2014 Series A Bond Interest Fund		20,294,121	43,396	0.64%			-		-
ACTIA Total	\$	230,399,758	\$ 297,861	0.22%	\$	42,000	\$ 87,387,538	\$	194,540
							Approx. ROI		0.22%
ACCMA	Un-Audited		Interest Earned				FY 2012-2013		
	Investment Balance		As of June 30, 2014		Difference	Budget	Investment Balance		Interest earned FY 2012-2013
			Interest earned	Approx. ROI			June 30, 2013		
Checking Account	\$	2,582,126	\$ -	0.00%			\$ 3,695,522	\$	-
State Treasurer Pool (LAIF) <sup>(3)</sup>		29,067,965	49,920	0.17%			14,912,919		27,130
Project Deferred Revenue <sup>(2) (3)</sup>		15,444,536	36,129	0.23%			14,974,235		34,190
Loan from ACTA		(10,000,000)	-	-			(10,000,000)		-
ACCMA Total	\$	37,094,627	\$ 86,049	0.23%	\$	-	\$ 86,049	\$	61,320
							Approx. ROI		0.26%
ACTC TOTAL	\$	392,181,892	\$ 854,707	0.27%	\$	472,000	\$ 382,707	\$	555,933

Notes:

- (1) See attachments for detail of investment holdings managed by Investment Advisor.
- (2) Project funds in deferred revenue are invested in LAIF with interest accruing back to the respective fund which include TVTC, San Leandro Marina, TCRP, PTMISEA and Cal EMA.
- (3) All investments are marked to market on the financial statements at the end of the fiscal year per GASB 31 requirements.
- (4) Alameda CTC investments are in compliance with the currently adopted investment policies.
- (5) Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.



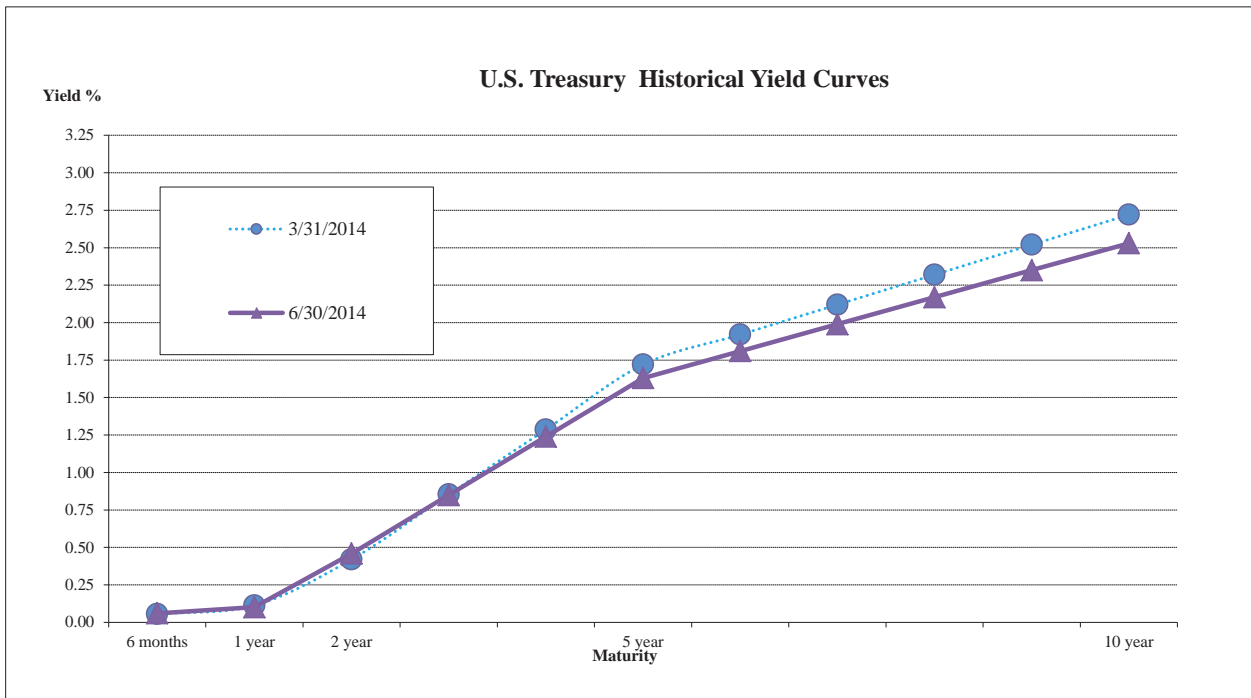
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## ***Alameda County Transportation Commission***

### ***Portfolio Review for the Quarter Ending June 30, 2014***

#### **Fixed Income Market Review and Outlook**

Interest rates were unchanged to modestly lower over the second quarter as the U.S. economy showed clear signs of rebounding from the weather induced slowdown earlier in the year. For the quarter as a whole, interest rates fell between 0 and 20 basis points with all of the declines concentrated in longer maturity securities.



Data Source: Bloomberg

From the perspective of an investor in the bond market, the quarter was notable more for the questions it raised than for those it answered. During the quarter the unemployment rate fell from 6.7% to 6.3%, inflationary indicators began to firm and confidence, both for business and individuals, rose. We also learned that the decline in the first quarter GDP figures was revised to a minus 2.9%, an unprecedented decline for an economy that is not in a recession. The decline in first quarter GDP was unusual in that it was accompanied by neither a drop in employment nor a large increase in unsold inventories. Indeed, the largest difference from expectations in the GDP data was the decline in health care spending after the implementation of the Affordable Care Act. Perhaps the biggest surprise for the market, however, was that interest rates didn't rise as expected given the improvement in the labor markets, the apparent rebound in the economy and the continued reduction in the pace of long-term bond buying by the Federal Reserve.

Markets are typically driven by one of two primary forces, flows and fundamentals. Flows refer to money flowing in and out of markets as the ever changing balance between buyers and sellers drive prices higher or lower. Fundamentals refer to the underlying conditions in a particular market that influence pricing. From a fundamental perspective a strengthening economy (expected to grow near 3.0% for the next 18 months), a declining employment rate (currently at 6.3% and expected to fall below 6.0% by the end of the year), and firming inflationary indicators would indicate that interest rates should be on the rise. From a flow perspective, events in Russia and the Ukraine, concerns of growth in China and Europe, fears of a decline in the Euro and the Yen and a declining federal budget deficit overwhelmed the impact of the Federal Reserve buying fewer bonds and resulted in an overall increase in the demand for bonds over the quarter.

SunTrust has long believed that ultimately the fundamental drivers of interest rates will take precedence over the short run influence of money flows. While the quarter witnessed strong money flows into the fixed income markets resulting in lower interest rates, the fundamentals of a stronger economy and improved labor markets were moving in the opposite direction.

We remain quite positive on the outlook for the economy, particularly here in the United States. There are several reasons for this including high profit margins, dwindling spare capacity, increased global competitiveness, the desire to upgrade equipment, modest inventory levels, loosening lending standards, excess cash on balance sheets, low interest rates and a lack of political obstructions. We believe strong economic growth will soon lead to a lower unemployment rate, higher interest rates and quite possibly rising inflation.

### **Strategy**

Over the foreseeable future SunTrust expects interest rates to move gradually higher. Currently the portfolio's sensitivity to a change in interest rates is in line with that of the benchmark. The current low rate environment leaves the bond market without much of a yield cushion to avoid negative rates of returns should interest rates begin to rise more than already anticipated by the market.

Given our outlook and the current level of uncertainty in the markets, we are comfortable keeping the portfolio's exposure to a change in interest rates near that of the benchmark.

For the time being, we are recommending any surplus cash flows from maturing issues be rolled over into LAIF. As opportunities present themselves we will be strategically placing investments where we believe they can provide a higher return than LAIF.

As of the end of the quarter, the consolidated Alameda CTC portfolio consisted of 48.3% US Government Agency securities, 21.1% US Treasury securities, 20.3% High Grade Corporate Bonds, 9.2% Commercial Paper and 1.1% cash and cash equivalents.

### **Compliance with Investment Policy Statement**

For the quarter ending June 30, 2014, the Alameda CTC portfolio was in compliance with the adopted investment policy statement.

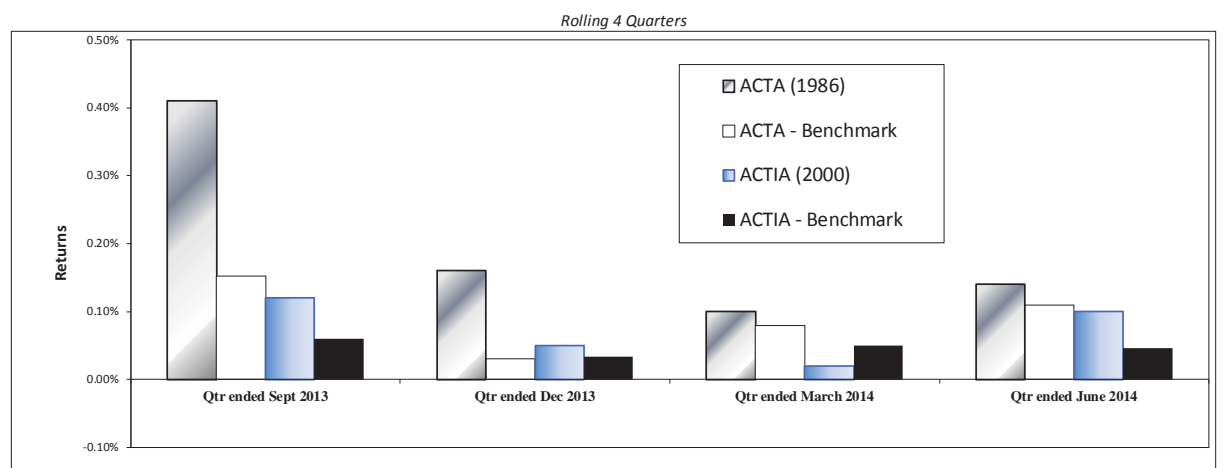
### **Budget Impact**

The portfolio's performance is reported on a total economic return basis. This method includes the coupon interest, amortization of discounts and premiums, capital gains and losses and price changes (i.e., unrealized gains and losses). For the quarter ending June 30, the ACTA (1986 Measure B) portfolio returned **0.14%**. This compares to the benchmark return of **0.11%**. For the quarter ending June 30, the ACTIA (2000 Measure B) portfolio returned **0.10%**. This compares to the benchmark return of **0.04%**. The exhibit below shows the performance of the Alameda CTC's portfolios relative to their respective benchmarks.

The portfolio's yield to maturity, the return the portfolio will earn in the future if all securities are held to maturity is also reported. This calculation is based on the current market value of the portfolio including unrealized gains and losses. For the quarter ending June 30, the ACTA (1986 Measure B) portfolio's yield to maturity or call was **0.30%**. The benchmark's yield to maturity was **0.15%**. For the quarter ending June 30, the ACTIA (2000 Measure B) portfolio's yield to maturity or call was **0.19%**. The benchmark's yield to maturity was **0.09%**.

### **Alameda CTC**

#### **Quarterly Review - Account vs. Benchmark**



Trailing 12 Months	Jul-13	Aug-13	Sep-13	Oct-13	Nov-13	Dec-13	Jan-14	Feb-14	Mar-14	Apr-14	May-14	Jun-14	Inception to Date
<b>MONTHLY PERFORMANCE DATA</b>													
Alameda ACTA (1986)	0.34%	-0.01%	0.08%	0.09%	0.06%	0.01%	0.07%	0.05%	-0.02%	0.08%	0.06%	0.00%	0.81%
Alameda ACTIA (2000)	0.10%	0.00%	0.02%	0.03%	0.01%	0.01%	0.01%	-0.01%	0.02%	0.04%	0.05%	0.01%	0.29%
Benchmark - ACTA	0.08%	-0.01%	0.09%	0.03%	0.02%	-0.02%	0.06%	0.03%	-0.01%	0.06%	0.06%	-0.01%	0.37%
Benchmark - ACTIA	0.02%	0.02%	0.02%	-0.01%	0.01%	0.03%	0.02%	0.01%	0.02%	0.03%	0.01%	0.00%	0.18%

## **Bond Proceeds Portfolios**

On March 4, 2014, in conjunction with the issuance of the Alameda County Transportation Commission Sales Tax Revenue Bonds, Series 2014, (the Series 2014 Bonds), Alameda CTC established both an **Interest Fund** and **Project Fund** at Union Bank of California, the Series 2014 Bond trustee. These portfolios were initially funded with \$20,335,886 in the Interest Fund and \$108,944,688 in the Project Fund, which was an amount net of the initial drawdown for bond related project costs incurred prior to closing.

As of June 30, 2014, \$12,414,529.46 had been distributed from the Project Fund. The quarter end values of the Interest and Project Funds, including unrealized gains and losses, were \$20,379,333.80 and \$96,586,094.44 respectively.

The portfolios were invested by buying allowable high grade fixed income securities whose maturities matched the anticipated cash outlays. As of June 30, 2014 the average life of the cash flows for the Interest Fund was roughly 1.7 years while the average life of the cash flows of the Project Fund was anticipated to be approximately 5 months.

One way to measure the anticipated return of the portfolios is their *yield to maturity*. This is the return the portfolio will earn in the future if all securities are held to maturity. This calculation is based on the current market value of the portfolio. For the quarter ending June 30, the Interest Fund portfolio's yield to maturity was **0.51%** and the Project Fund portfolio's yield to maturity was **0.15%**. By comparison, an investment in a U.S Treasury note of comparable average maturity at the end of the quarter would yield **0.35%** and **0.05%** respectively.

Another method of measuring the portfolio's yield to maturity is the yield of the portfolio at cost. This calculation is based on the value of the portfolio at cost and does not include any unrealized gains or losses as part of its computation. As of the end of the quarter the Interest Fund portfolio's rate of return on investments, at cost, was **0.51%** and the Project Fund portfolio's rate of return on investments, at cost, was **0.14%**. By comparison, an investment in a U.S Treasury note of comparable average maturity at time of initial investment would have yielded **0.33%** and **0.07%** respectively. Over time, as the shorter-term securities roll off and the higher yielding longer-term securities remain, the yield of the portfolio at original cost will rise.

For the quarter ending June 30, 2014, the Alameda CTC Series 2014 Bonds Interest Fund and Project Fund portfolios were invested in compliance with the Bond Indenture dated February 1, 2014.

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
**ACTA 1986 Measure B**  
*June 30, 2014*

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Duration
<b>CORPORATE BONDS</b>													
3,000,000	589331ap2	Merck & Co Inc 4.000% Due 06-30-15	A1	AA	104.21	3,126,180.00	103.64	3,109,230.00	0.00	3,109,230.00	4.2	0.35	1.0
3,500,000	94974bfe5	Wells Fargo 1.500% Due 07-01-15	A2	A+	101.28	3,544,660.00	101.13	3,539,473.00	26,104.17	3,565,577.17	4.8	0.37	1.0
3,500,000	46623ejr1	JPMorgan Chase & Co MTN BE 1.100% Due 10-15-15	A3	A	100.02	3,500,875.00	100.42	3,514,546.00	8,020.83	3,522,566.83	4.7	0.78	1.3
3,500,000	36962g4t8	GE Capital Corp MTN BE 2.250% Due 11-09-15	A1	AA+	102.62	3,591,700.00	102.29	3,580,097.50	11,156.25	3,591,253.75	4.8	0.56	1.3
1,600,000	06406heg2	Bank New York MTN BE 0.700% Due 03-04-16	A1	A+	99.82	1,597,200.00	100.20	1,603,168.00	3,608.89	1,606,776.89	2.2	0.58	1.7
900,000	064159bv7	Bank of Nova Scotia 0.950% Due 03-15-16	Aa2	A+	100.21	901,854.00	100.60	905,412.60	2,493.75	907,906.35	1.2	0.60	1.7
CORPORATE BONDS Total								16,251,927.10	51,383.89	16,303,310.99	22.0	0.53	1.2
<b>GOVERNMENT AGENCY ISSUES</b>													
3,319,000	31398a3g5	Federal Natl Mtg Assn 1.500% Due 09-08-14	Aaa	AA+	101.68	3,374,626.44	100.26	3,327,566.34	15,488.67	3,343,055.01	4.5	0.13	0.2
2,500,000	3135g0dw0	Federal Natl Mtg Assn 0.625% Due 10-30-14	Aaa	AA+	100.59	2,514,650.00	100.18	2,504,587.50	2,604.17	2,507,191.67	3.4	0.07	0.3
1,775,000	3134g3h78	Federal Home Loan Mtg Corp 0.350% Due 12-05-14	Aaa	AA+	100.15	1,777,593.28	100.10	1,776,831.80	431.42	1,777,263.22	2.4	0.11	0.4
5,000,000	3134g4er5	Federal Home Loan Mtg Corp 0.500% Due 08-19-15	Aaa	AA+	100.01	5,000,550.00	100.04	5,002,060.00	9,097.22	5,011,157.22	6.7	0.46	1.1
700,000	3135g0nv1	Federal Natl Mtg Assn 0.500% Due 09-28-15	Aaa	AA+	100.40	702,814.00	100.33	702,335.90	894.44	703,230.34	0.9	0.23	1.2
5,000,000	3135g0xh1	Federal Natl Mtg Assn 0.500% Due 05-20-16	Aaa	AA+	99.54	4,977,000.00	99.95	4,997,655.00	2,777.78	5,000,432.78	6.7	0.52	1.9
675,000	3133834r9	Federal Home Loan Banks 0.375% Due 06-24-16	Aaa	AA+	99.69	672,934.50	99.72	673,117.42	42.19	673,159.61	0.9	0.52	2.0
GOVERNMENT AGENCY ISSU Total								18,984,153.96	31,335.89	19,015,489.85	25.6	0.33	1.0
<b>GOVERNMENT BONDS</b>													
500,000	912828ud0	United States Treas Nts 0.125% Due 12-31-14	Aaa	AA+	100.00	500,000.00	100.02	500,097.50	0.00	500,097.50	0.7	0.09	0.5
11,000,000	912828uw8	United States Treas Nts 0.250% Due 04-15-16	Aaa	AA+	99.56	10,951,875.00	99.77	10,974,645.00	5,710.38	10,980,355.38	14.8	0.38	1.8
3,000,000	912828vc1	United States Treas Nts 0.250% Due 05-15-16	Aaa	AA+	99.70	2,990,859.36	99.72	2,991,564.00	937.50	2,992,501.50	4.0	0.40	1.9
GOVERNMENT BONDS Total								14,466,306.50	6,647.88	14,472,954.38	19.5	0.37	1.8

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
**ACTA 1986 Measure B**  
*June 30, 2014*

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Dura- tion
<b>GOVERNMENT BONDS - ZERO COUPON</b>													
3,200,000	313385zz2	Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	99.99	3,199,724.44	100.00	3,199,923.20	0.00	3,199,923.20	4.3	0.03	0.1
		0.000% Due 07-30-14											
1,500,000	313385a30	Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	99.96	1,499,422.50	100.00	1,499,961.00	0.00	1,499,961.00	2.0	0.03	0.1
		0.000% Due 08-01-14											
3,000,000	313385a89	Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	99.96	2,998,807.50	100.00	2,999,910.00	0.00	2,999,910.00	4.0	0.03	0.1
		0.000% Due 08-06-14											
1,000,000	313389g23	Federal Natl Mtg Assn Disc Nt	Aaa	AA+	99.95	999,550.00	99.99	999,913.00	0.00	999,913.00	1.3	0.04	0.2
		0.000% Due 09-17-14											
1,500,000	313385I79	Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	99.97	1,499,603.33	99.98	1,499,760.00	0.00	1,499,760.00	2.0	0.05	0.3
		0.000% Due 10-24-14											
1,500,000	313385r24	Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	99.96	1,499,454.58	99.97	1,499,625.00	0.00	1,499,625.00	2.0	0.06	0.4
		0.000% Due 11-28-14											
5,000,000	313397u25	Federal Home Loan Mtg Corp Disc Nt	Aaa	AA+	99.96	4,997,775.00	99.97	4,998,310.00	0.00	4,998,310.00	6.7	0.07	0.5
		0.000% Due 12-22-14											
<b>GOVERNMENT BONDS - ZER Total</b>													
						16,694,337.35		16,697,402.20	0.00	16,697,402.20	22.5	0.05	0.3
<b>COMMERCIAL PAPER</b>													
3,500,000	89233hkq6	Toyota Motor Credit Corp 0.000% Due 10-24-14	P-1	A-1+	99.96	3,498,727.33	99.96	3,498,600.00	0.00	3,498,600.00	4.7	0.13	0.3
3,500,000	36959jlq4	GE Capital Corp 0.000% Due 11-24-14	P-1	A-1+	99.93	3,497,713.33	99.93	3,497,725.00	0.00	3,497,725.00	4.7	0.16	0.4
		<b>COMMERCIAL PAPER Total</b>				6,996,440.66		6,996,325.00	0.00	6,996,325.00	9.4	0.14	0.4
<b>CASH AND EQUIVALENTS</b>													
	61747c70s	Morgan Stanley Government Inst				773,962.65		773,962.65		773,962.65	1.0		
	cash	Cash Account Balance				133.53		133.53		133.53	0.0		
		<b>CASH AND EQUIVALENTS Total</b>				774,096.18		774,096.18		774,096.18	1.0		
<b>TOTAL PORTFOLIO</b>													
						74,190,245.77		74,170,210.94	89,367.66	74,259,578.60	100.0	0.30	1.0

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
**ACTIA 2000 Measure B**  
*June 30, 2014*

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Duration
<b>CORPORATE BONDS</b>													
3,000,000	035234b11	Anheuser-Busch InBev Worldwide	A2	A	100.44	3,013,080.00	100.05	3,001,368.00	20,750.00	3,022,118.00	5.4	0.33	0.0
2,000,000	91159hg8	1.500% Due 07-14-14 US Bancorp MTNS BE	A1	A+	102.70	2,053,980.00	101.93	2,038,636.00	20,300.00	2,058,936.00	3.7	0.29	0.7
2,500,000	94974bfc5	3.150% Due 03-04-15 Wells Fargo	A2	A+	101.27	2,531,750.00	101.13	2,528,195.00	18,645.83	2,546,840.83	4.6	0.37	1.0
2,400,000	36962g5z3	1.500% Due 07-01-15 GE Capital Corp MTN BE	A1	AA+	101.44	2,434,488.00	101.27	2,430,525.60	19,283.33	2,449,808.93	4.4	0.36	1.0
		1.625% Due 07-02-15 CORPORATE BONDS Total				10,033,298.00		9,998,724.60	78,979.17	10,077,703.77	18.2	0.34	0.6
<b>GOVERNMENT AGENCY ISSUES</b>													
5,000,000	3135g0hg1	Federal Natl Mtg Assn	Aaa	AA+	100.22	5,010,850.00	100.17	5,008,545.00	5,416.67	5,013,961.67	9.0	0.13	0.7
1,500,000	3134g36g0	0.375% Due 03-16-15 Federal Home Loan Mtg Corp	Aaa	AA+	100.19	1,502,806.50	100.16	1,502,437.50	1,487.50	1,503,925.00	2.7	0.12	0.7
1,000,000	3137eadd8	0.350% Due 03-18-15 Federal Home Loan Mtg Corp	Aaa	AA+	100.36	1,003,600.00	100.29	1,002,882.00	1,013.89	1,003,895.89	1.8	0.14	0.8
		0.500% Due 04-17-15 GOVERNMENT AGENCY ISSU Total				7,517,256.50		7,513,864.50	7,918.06	7,521,782.56	13.6	0.13	0.7
<b>GOVERNMENT BONDS</b>													
2,870,000	912828d7	United States Treas Nts	Aaa	AA+	100.02	2,870,560.55	100.00	2,870,000.00	1,486.53	2,871,486.53	5.2	0.12	0.1
10,000,000	912828uw8	0.125% Due 07-31-14 United States Treas Nts	Aaa	AA+	99.57	9,957,048.00	99.77	9,976,950.00	5,191.26	9,982,141.26	18.0	0.38	1.8
		0.250% Due 04-15-16 GOVERNMENT BONDS Total				12,827,608.55		12,846,950.00	6,677.79	12,853,627.79	23.2	0.32	1.4
<b>GOVERNMENT BONDS - ZERO COUPON</b>													
2,130,000	31385z22	Federal Home Loan Bank	Aaa	AA+	99.97	2,129,313.67	100.00	2,129,948.88	0.00	2,129,948.88	3.8	0.03	0.1
4,800,000	31385d52	Cons Disc Nt 0.000% Due 07-30-14 Federal Home Loan Bank	Aaa	AA+	99.99	4,799,340.00	100.00	4,799,769.60	0.00	4,799,769.60	8.7	0.03	0.2
5,000,000	313589g23	Cons Disc Nt 0.000% Due 08-27-14 Federal Natl Mtg Assn Disc	Aaa	AA+	99.95	4,997,750.00	99.99	4,999,565.00	0.00	4,999,565.00	9.0	0.04	0.2
5,000,000	313397141	Nt 0.000% Due 09-17-14 Federal Home Loan Mtg Corp Disc Nt	Aaa	AA+	99.94	4,997,150.00	99.98	4,999,220.00	0.00	4,999,220.00	9.0	0.05	0.3
		0.000% Due 10-21-14											



SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
**ACTIA 2000 Measure B**  
June 30, 2014

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Duration
2,500,000	313397u25	Federal Home Loan Mtg Corp Disc Nt 0.000% Due 12-22-14	Aaa	AA+	99.96	2,498,887.50	99.97	2,499,155.00	0.00	2,499,155.00	4.5	0.07	0.5
GOVERNMENT BONDS - ZER Total													
						19,422,441.17		19,427,658.48	0.00	19,427,658.48	35.0	0.04	0.2
<b>COMMERCIAL PAPER</b>													
2,500,000	36959jlq4	GE Capital Corp 0.000% Due 11-24-14	P-1	A-1+	99.93	2,498,366.67	99.93	2,498,375.00	0.00	2,498,375.00	4.5	0.16	0.4
2,500,000	89233hns9	Toyota Motor Credit Corp 0.000% Due 01-26-15	P-1	A-1+	99.89	2,497,337.50	99.89	2,497,250.00	0.00	2,497,250.00	4.5	0.19	0.6
COMMERCIAL PAPER Total													
						4,995,704.17		4,995,625.00	0.00	4,995,625.00	9.0	0.18	0.5
<b>CASH AND EQUIVALENTS</b>													
	61747c70s	Morgan Stanley Government Inst				594,475.45		594,475.45		594,475.45	1.1		
	cash	Cash Account Balance				102.04		102.04		102.04	0.0		
		CASH AND EQUIVALENTS Total				594,577.49		594,577.49		594,577.49	1.1		
<b>TOTAL PORTFOLIO</b>													
						55,390,885.88		55,377,400.07	93,575.01	55,470,975.08	100.0	0.19	0.7

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
*Interest Fund*  
June 30, 2014

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Duration
<b>CORPORATE BONDS</b>													
1,000,000	46625hhp8	JPMorgan Chase & Co 3.700% Due 01-20-15	A3	A	102.83	1,028,270.00	101.77	1,017,713.00	16,444.44	1,034,157.44	5.1	0.50	0.5
1,000,000	713448ca4	PepsiCo Inc 0.700% Due 08-13-15	A1	A-	100.48	1,004,800.00	100.28	1,002,803.00	2,663.89	1,005,466.89	4.9	0.45	1.1
950,000	17275rac6	Cisco Systems Inc 5.500% Due 02-22-16	A1	AA-	109.62	1,041,409.00	108.07	1,026,702.05	18,577.78	1,045,279.83	5.1	0.56	1.6
1,000,000	084664bx8	Berkshire Hathaway Fin Corp	Aa2	AA	100.76	1,007,570.00	100.54	1,005,367.00	3,562.50	1,008,929.50	5.0	0.70	2.1
1,000,000	69353rcg1	0.950% Due 08-15-16 PNC Bank NA Pitt PA	A2	A	100.05	1,000,550.00	100.28	1,002,778.00	4,750.00	1,007,528.00	4.9	1.02	2.5
950,000	478160aq7	1.125% Due 01-27-17 Johnson & Johnson	Aaa	AAA	115.02	1,092,709.00	113.92	1,082,259.95	19,771.87	1,102,031.82	5.4	1.01	2.9
		5.550% Due 08-15-17 CORPORATE BONDS Total				6,175,308.00		6,137,623.00	65,770.49	6,203,393.49	30.4	0.71	1.8
<b>GOVERNMENT BONDS</b>													
600,000	912828t4	United States Treas Nts 0.250% Due 08-31-14	Aaa	AA+	100.08	600,468.75	100.03	600,163.80	497.28	600,661.08	2.9	0.09	0.2
1,800,000	912828se1	United States Treas Nts 0.250% Due 02-15-15	Aaa	AA+	100.10	1,801,804.69	100.11	1,801,969.20	1,678.18	1,803,647.38	8.9	0.08	0.6
1,800,000	912828vu1	United States Treas Nts 0.375% Due 08-31-15	Aaa	AA+	100.21	1,803,796.88	100.25	1,804,500.00	2,237.77	1,806,737.77	8.9	0.16	1.2
1,800,000	912828b82	United States Treas Nts 0.250% Due 02-29-16	Aaa	AA+	99.82	1,796,695.31	99.90	1,798,241.40	1,491.85	1,799,733.25	8.8	0.31	1.7
1,800,000	912828vr8	United States Treas Nts 0.625% Due 08-15-16	Aaa	AA+	100.15	1,802,671.88	100.24	1,804,359.37	4,195.44	1,808,554.82	8.9	0.51	2.1
1,800,000	912828b74	United States Treas Nts 0.625% Due 02-15-17	Aaa	AA+	99.75	1,795,429.67	99.75	1,795,500.00	4,195.44	1,799,695.44	8.8	0.72	2.6
1,540,000	912828tm2	United States Treas Nts 0.625% Due 08-31-17	Aaa	AA+	98.58	1,518,163.28	98.91	1,523,155.48	3,190.90	1,526,346.38	7.5	0.98	3.1
750,000	912828ur9	United States Treas Nts 0.750% Due 02-28-18	Aaa	AA+	98.00	734,970.70	98.43	738,222.66	1,864.81	740,087.47	3.6	1.19	3.6
		GOVERNMENT BONDS Total				11,854,001.16		11,866,111.91	19,351.67	11,885,463.58	58.3	0.47	1.9
<b>GOVERNMENT BONDS - ZERO COUPON</b>													
1,000,000	313385d52	Federal Home Loan Bank Cons Disc Nt 0.000% Due 08-27-14	Aaa	AA+	99.96	999,619.86	100.00	999,952.00	0.00	999,952.00	4.9	0.03	0.2
		GOVERNMENT BONDS - ZER Total				999,619.86		999,952.00	0.00	999,952.00	4.9	0.03	0.2
<b>COMMERCIAL PAPER</b>													
1,000,000	19121bhu6	Coca-Cola Co 0.000% Due 08-28-14	P-1	A-1+	99.94	999,370.00	99.98	999,800.00	0.00	999,800.00	4.9	0.12	0.2
		COMMERCIAL PAPER Total				999,370.00		999,800.00	0.00	999,800.00	4.9	0.12	0.2

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
*Interest Fund*  
June 30, 2014

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Dura- tion
<b>CASH AND EQUIVALENTS</b>													
	61747c70s	Morgan Stanley Government Inst				290,715.13		290,715.13		290,715.13	1.4		
	cash	Cash Account Balance				9.60		9.60		9.60	0.0		
		CASH AND EQUIVALENTS Total				290,724.73		290,724.73		290,724.73	1.4		
<b>TOTAL PORTFOLIO</b>													
						20,319,023.75		20,294,211.64	85,122.16	20,379,333.80	100.0	0.51	1.7

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
*Project Fund*  
*June 30, 2014*

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Duration
<b>CORPORATE BONDS</b>													
4,000,000	035234b11	Anheuser-Busch InBev Worldwide	A2	A	100.44	4,017,440.00	100.05	4,001,824.00	27,666.67	4,029,490.67	4.2	0.33	0.0
4,000,000	459200gz8	1.500% Due 07-14-14 Intl Business Machines	Aa3	AA-	100.45	4,017,840.00	100.20	4,007,932.00	5,833.33	4,013,765.33	4.2	0.28	0.3
4,000,000	46625hhp8	0.875% Due 10-31-14 JPMorgan Chase & Co	A3	A	102.83	4,113,080.00	101.77	4,070,852.00	65,777.78	4,136,629.78	4.3	0.50	0.5
4,000,000	94974beu0	3.700% Due 01-20-15 Wells Fargo Co MTN BE	A2	A+	103.58	4,143,280.00	102.58	4,103,340.00	30,208.33	4,133,548.33	4.3	0.35	0.8
3,900,000	589331ap2	3.625% Due 04-15-15 Merck & Co Inc	A1	AA	104.59	4,079,127.00	103.64	4,041,999.00	0.00	4,041,999.00	4.2	0.35	1.0
		4.000% Due 06-30-15 CORPORATE BONDS Total				20,370,767.00		20,225,947.00	129,486.11	20,355,433.11	21.1	0.36	0.5
<b>GOVERNMENT BONDS</b>													
4,000,000	912828tf7	United States Treas Nts	Aaa	AA+	100.02	4,000,781.25	100.00	4,000,000.00	2,071.82	4,002,071.82	4.1	0.12	0.1
10,000,000	912828rz5	0.125% Due 07-31-14 United States Treas Nts	Aaa	AA+	100.11	10,010,742.19	100.09	10,009,380.00	11,464.09	10,020,844.09	10.4	0.08	0.5
12,000,000	912828sp6	0.250% Due 01-15-15 United States Treas Nts	Aaa	AA+	100.24	12,028,593.75	100.22	12,026,256.00	9,344.26	12,035,600.26	12.5	0.10	0.8
8,000,000	912828vn7	0.375% Due 04-15-15 United States Treas Nts	Aaa	AA+	100.08	8,006,562.50	100.11	8,008,440.00	8,287.29	8,016,727.29	8.3	0.15	1.1
		0.250% Due 07-31-15 GOVERNMENT BONDS Total				34,046,679.69		34,044,076.00	31,167.47	34,075,243.47	35.3	0.11	0.7
<b>GOVERNMENT BONDS - ZERO COUPON</b>													
11,000,000	313589yw7	Federal Natl Mtg Assn Disc Nt	Aaa	AA+	100.00	10,999,990.83	100.00	10,999,978.00	0.00	10,999,978.00	11.4	0.02	0.0
5,000,000	313385zz2	0.000% Due 07-03-14 Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	99.97	4,998,388.90	100.00	4,999,880.00	0.00	4,999,880.00	5.2	0.03	0.1
5,000,000	313385c46	0.000% Due 07-30-14 Federal Home Loan Bank Cons Disc Nt	Aaa	AA+	100.00	4,999,829.86	100.00	4,999,800.00	0.00	4,999,800.00	5.2	0.03	0.1
12,000,000	313397141	0.000% Due 08-18-14 Federal Home Loan Mtg Corp Disc Nt	Aaa	AA+	99.94	11,993,160.00	99.98	11,998,128.00	0.00	11,998,128.00	12.4	0.05	0.3
		0.000% Due 10-21-14 GOVERNMENT BONDS - ZER Total				32,991,369.59		32,997,786.00	0.00	32,997,786.00	34.2	0.03	0.2
<b>COMMERCIAL PAPER</b>													
3,000,000	89233hg81	Toyota Motor Credit Corp 0.000% Due 07-08-14	P-1	A-1+	99.96	2,998,770.00	99.99	2,999,700.00	0.00	2,999,700.00	3.1	0.45	0.0
		COMMERCIAL PAPER Total				2,998,770.00		2,999,700.00	0.00	2,999,700.00	3.1	0.45	0.0

SunTrust Bank  
**FIXED INCOME PORTFOLIO**  
*Alameda CTC*  
**Project Fund**  
*June 30, 2014*

Par Value	Symbol	Security	Moody Rating	S&P Rating	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Market Value +Accr.Int.	Pct. Assets	Yield To Mat.	Dura- tion
<b>CASH AND EQUIVALENTS</b>													
	61747c70s	Morgan Stanley Government Inst				1,157,417.76		1,157,417.76		1,157,417.76	1.2		
	cash	Cash Account Balance				5,000,514.10		5,000,514.10		5,000,514.10	5.2		
		CASH AND EQUIVALENTS Total				6,157,931.86		6,157,931.86		6,157,931.86	6.4		
<b>TOTAL PORTFOLIO</b>													
						96,565,518.14		96,425,440.86	160,653.58	96,586,094.44	100.0	0.15	0.4

## **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)**  
**1111 Broadway, Suite 800**  
**Oakland, California 94607**  
**Voice: 510-208-7400 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)

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**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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**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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## **Fiscal Year 2014-2015 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 14, 2014 CWC Meeting**

- Public Hearing on CWC Annual Report
- Address Public Comments
- Finalize Annual Report and Publications
- CWC Watch List for FY 2014-2015 (send letter to Jurisdictions reminding them of keeping CWC informed on projects/programs)

### **September 2014**

- Email CWC members the FY2013-14 Year End Investment Report the same day it goes to the Finance and Administration Committee (FAC)

### **October 2014**

- CWC Post-Audit Subcommittee Meeting

### **October 27, 2014 CWC Meeting (formerly held in November)**

- FY2013-14 Comprehensive Audited Financial Report
- FY2013-14 Year End Investment Report
- CWC Annual Report Outreach Summary and Publication Costs Update
- Update on Program Compliance Workshop
- Update on FY2013-14 Local Business Contract Equity and Contract Utilization Reports
- Quarterly Alameda CTC Commission Action Items

### **November 2014**

- Email CWC members the FY2014-15 First Quarter Investment Report the same day it goes to the Finance and Administration Committee (FAC)

### **January 12, 2015 CWC Meeting**

- Measure B Audit and Compliance Reports – Forwarded to CWC without Staff Analysis
- Measure B Projects and Programs Overview/Update
- CWC Annual Report Outreach Summary and Cost Benefit Analysis
- Quarterly Alameda CTC Commission Action Items
- FY2014-15 First Quarter Investment Report
- FY2015-16 Administrative Support Professional Services Contracts Plan

### **February 2015**

- Email to CWC members the FY2014-15 Second Quarter Investment Report the same day it goes to the FAC

### **March 9, 2015 CWC Meeting**

- Summary of Sponsor Audits/Programs – Report Card to CWC
- Establish CWC Annual Report Subcommittee

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

## **Fiscal Year 2014-2015 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*

- Establish CWC Audit Subcommittee
- FY2014-15 Mid-Year Budget Update
- FY2014-15 Second Quarter Investment Report
- Quarterly Alameda CTC Commission Action Items

### **April 2015 CWC Annual Report Subcommittee Meeting**

- Prepare Draft Annual Report

### **May 2015**

- Email to CWC members the FY2014-15 Third Quarter Investment Report the same day it goes to the FAC

### **June 8, 2015 CWC Meeting**

- Finalize Draft Annual Report
- Draft Compliance Summary and Audit Report
- Election of Officers
- Approval of Bylaws
- Approval of FY 2015-2016 Annual Calendar
- Final Strategic Plan
- FY2014-15 Final Sales Tax Budget Update
- Proposed Budget for FY2015-16
- FY2014-15 Third Quarter Investment Report
- Quarterly Alameda CTC Commission Action Items

### **June 2014**

- Draft Compliance Summary and Audit Report (link to report is emailed to members)
- CWC Pre-Audit Subcommittee Meeting

Note: A link to the Draft CWC Compliance Summary and Audit Report is sent via email as soon as the report is available

**Alameda County Transportation Commission  
Citizens Watchdog Committee  
Roster - Fiscal Year 2014-2015**

11.2

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

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**Alameda CTC Commission  
Action Items Log  
FY 2014-15**

Commission Meeting Date	Item #	Item Description / Staff Recommendation	Ayes	Nays	Count
July 24, 2014	6.1	Approval of June 26, 2014 Minutes	26	0	26.0
	6.2	I-580 Corridor High Occupancy Vehicle Lane Projects (PN 720.5 /724.4/724.5): Monthly Progress Report			
	6.3	I-580 Express Lane Projects (PN 720.4/724.1): Monthly Progress Report			
	6.4	I-580 Express Lanes Education and Outreach Update			
	6.5	Congestion Management Program (CMP): Summary of Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments			
	6.6	Countywide Goods Movement Plan Performance Measures			
	6.7	Resolution of Support for Regional Active Transportation Program Grant application for East Bay Greenway Project			
	6.8	California Transportation Commission June 2014 Meeting Summary			
	6.9	Public Transportation Modernization, Improvement, and Service Enhancement Account FY2014-15 Allocation Request			
	6.10	I-680 Sunol Express Lane – Northbound Project (PN 721.0): Allocation of \$1 million in Measure B funding to ACTIA 08B			
	6.11	I-880/Mission Blvd. (Route 262) Interchange Completion Project (PN 501.0): Contract with Alameda County Public Works Agency			
	6.12	Webster Street SMART Corridor Project (PN 740.0): Contract Amendments to the Professional Services Agreements with TJKM Transportation Consultants, Inc. and Harris and Associates			
	6.13	I-880 North Safety and Operational Improvements at 23rd and 29th Avenues Project (PN 717.0): Reallocation of Measure B Funds and Authorization to Encumber Right of Way Phase Funds			
	9.3	Resolution of Necessity Hearing- Consideration of Adoption of Resolutions of Necessity Authorizing Filing of Eminent Domain Action to Acquire Real Property Interests for the State Route 84 Expressway	18	0	18-0

**Alameda CTC Commission  
Action Items Log  
FY 2014-15**

Commission Meeting Date	Item #	Item Description / Staff Recommendation	Ayes	Nays	Count
<b>September 25, 2014</b>	6.1	Approval of July 24, 2014 Minutes	21	0	21-0
	6.2	I-580 Corridor High Occupancy Vehicle/Express Lane Projects (PN 720.4/720.5/724.1/724.4/724.5): Monthly Progress Report			
	6.3	Congestion Management Program: Summary of Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments			
	6.4	2014 Update to the Alameda County Priority Development Area (PDA) Investment and Growth Strategy			
	6.5	Alameda CTC Annual Report Including the Vehicle Registration Fee Program			
	6.6	California Transportation Commission August 2014 Meeting Summary			
	6.7	FY 2014-15 Transportation Fund For Clean Air (TFCA) Program			
	6.8	Measure B Special Transportation for Seniors and People with Disabilities (Paratransit) Gap Grant Cycle 5 Funding			
	6.9	Regional Measure 2 Program Update			
	6.10	I-580 Express Lanes Project (PN 720.4/724.1): Contract Amendments to Professional Services Agreements with Electronic Transaction Consultants Corporation (Agreement No. A09-007 and Agreement No. A13-0092)			
	6.11	Route 84 - Expressway Widening (624.1/624.2): Contract Amendment to the Professional Services Agreement (Agreement No. A05-004) with URS Corporation			
	6.12	I-880/Broadway - Jackson Interchange Improvements Project(610.0): Professional Services Contract for the Project Approval and Environmental Document (PA/ED) Phase			
	6.13	Time Extension Only Amendments			
	6.14	Alameda CTC FY13-14 Year-End Investment Report			
	6.15	Update on Banking Services Analysis and Activities - Local Banks			
	6.16	Community Advisory Appointments			
	6.17	Legislative Update			
	9.2	Multimodal Plans Update	20	0	20-0