



COMMISSION MEETING NOTICE
Thursday, January 24, 2013 2:30 P.M.
1333 Broadway, Suite 300
Oakland, California 94612
(see map on last page of agenda)

Commission Chair

TBD

Commission Vice Chair

Scott Haggerty, Supervisor – District 1

AC Transit

Greg Harper, Director

Alameda County

Supervisors

Richard Valle – District 2

Wilma Chan – District 3

Nate Miley – District 4

Keith Carson – District 5

BART

Thomas Blalock, Director

City of Alameda

Marilyn Ezzy Ashcraft, Vice Mayor

City of Albany

Peggy Thomsen, Mayor

City of Berkeley

Laurie Capitelli, Councilmember

City of Dublin

Tim Sbranti, Mayor

City of Emeryville

Ruth Atkin, Councilmember

City of Fremont

Suzanne Chan, Councilmember

City of Hayward

Marvin Peixoto, Councilmember

City of Livermore

John Marchand, Mayor

City of Newark

Luis Freitas, Councilmember

City of Oakland

Councilmembers

Larry Reid

Rebecca Kaplan

City of Piedmont

John Chiang, Mayor

City of Pleasanton

Jerry Thorne, Mayor

City of San Leandro

Michael Gregory, Vice Mayor

City Of Union City

Carol Dutra-Vernaci, Mayor

Executive Director

Arthur L. Dao

TBD

Scott Haggerty

Chair

Vice Chair

Arthur L. Dao

Vanessa Lee

Executive Director

Clerk of the Commission

AGENDA

*Copies of Individual Agenda Items are Available on the
Alameda CTC Website -- www.alamedactc.org*

1 Pledge of Allegiance

2 Roll Call

3 Public Comment

Members of the public may address the Commission during “Public Comment” on any item not on the agenda. Public comment on an agenda item will be heard as part of that specific agenda item. Only matters within the Commission’s jurisdictions may be addressed. If you wish to comment make your desire known by filling out a speaker card and handing it to the Clerk of the Commission. Please wait until the Chair calls your name. Walk to the microphone when called; give your name, and your comments. Please be brief and limit comments to the specific subject under discussion. Please limit your comment to three minutes.

4 Elections of Chair and Vice Chair

4A. Election of Chair – **Page 1**

4B. Election of Vice-Chair

5 Executive Director Report

6 Approval of Consent Calendar

6A. Minutes of December 6, 2012– **Page 5** **A**

6B. Congestion Management Program (CMP): Summary of the Alameda CTC’s Review and Comments on Environmental Documents and General Plan Amendments – **Page 9** **I**

6C. 2012 Level of Service (LOS) Monitoring Study Results – **Page 27** **I**

6D. Approval of the 2013 Countywide Travel Demand Model Update Process and Authorization to Execute a Contract with the Santa Clara Valley Transportation Authority – **Page 41** **A**

6E. Approval of Contract Amendment #1 for the Southbound I-680 Express Lane Evaluation “After” Study – **Page 45** **A**

- 6F. Approval of a Resolution of Local Support for Federal Funding for the Alameda CTC's Sustainable Communities Technical Assistance Program – **Page 51** A
- 6G. Measure B Paratransit Program -- Approval of the Measure B-funded Cycle 5 Gap Grant Program Gap Grant Cycle 5 Program – **Page 55** A
- 6H. Approval to Submit Investment Justifications and Project Applications for the State Proposition 1B Transit System Safety, Security & Disaster Response Account (TSSSDRA) Funds for FYs 2010-11, 2011-12 and 2012-13 – **Page 87** A
- 6I. Approval of Issuance of a Request for Proposal (RFP) for Professional Services, Authorization to Negotiate and Execute a Contract, and Approve Resolution for Federal Funding for Countywide Safe Routes to School (SR2S) Services– **Page 101** A
- 6J. California Transportation Commission (CTC) December 2012 Meeting Summary– **Page 117** I
- 6K. I-880/Marina Boulevard Interchange Improvements (APN 750.0) – Approval of Amendment No. 4 to the Professional Services Agreement with BKF Engineers (Agreement No. A08-016) – **Page 123** A
- 6L. I-580 Westbound Express (HOT) Lane Project (APN 724.1) – Approval of Amendment No. 2 to the Professional Services Agreements with URS Corporation (Agreement No. A11-0024) – **Page 125** A
- 6M. East Bay Greenway Project (ACTIA 28) – Approval of a Construction Contract for the Construction of the East Bay Greenway Project – Segment 7A – **Page 129** A
- 6N. Adoption of the Alameda CTC 2013 Regular Meeting Schedule– **Page 131** A
- 6O. Approval of the Alameda CTC Draft Audited Annual Financial Report and the ACTIA Limitations Worksheet for the Fiscal Year Ended June 30, 2012 – **Page 135** A
- 6P. Staff Salaries and Benefits Resolution for Fiscal Year 2013-14 – **Page 209** A
- 6Q. Update on Office Relocation– **Page 219** I
- 6R. Approval of Advisory Committee Appointments – **Page 221** A

7 Community Advisory Committee Reports – (Time Limit: 3 minutes per speaker)

- 7A. Bicycle and Pedestrian Advisory Committee- Midori Tabata, Chair **I**
– **Page 227**
- 7B. Citizens Advisory Committee – Barry Ferrier, Chair – **Page 229** **I**
- 7C. Citizens Watchdog Committee – James Paxson, Chair – **Page 231** **I**
- 7D. Paratransit Advisory and Planning Committee – Sylvia Stadmire, Chair **I**
– **Page 251**

8 Planning, Policy and Legislation Committee Action Items

- 8A. Legislative Update and Approval of Legislative Positions – **Page 253** **A**

9 Member Reports (Verbal)**10 Adjournment-Next Meeting- February 28, 2013**

Key: A- Action Item; I – Information Item

(#) All items on the agenda are subject to action and/or change by the Commission

(*) Materials will be distributed at the meeting.

*PLEASE DO NOT WEAR SCENTED PRODUCTS SO INDIVIDUALS WITH
ENVIRONMENTAL SENSITIVITIES MAY ATTEND*

*Alameda County Transportation Commission
1333 Broadway, Suites 220 & 300, Oakland, CA 94612
(510) 208-7400
(510) 836-2185 Fax (Suite 220)
(510) 893-6489 Fax (Suite 300)
www.alamedactc.org*

February 2013 Meeting Schedule:***Some dates are tentative.******Persons interested in attending should check dates with Alameda CTC staff.***

Alameda County Transportation Advisory Committee (ACTAC)	1:30 pm	February 5, 2013	1333 Broadway, Suite 300
I-580 Policy Advisory Committee (PAC)	10:15 am	February 11, 2013	1333 Broadway, Suite 300
I-680 Sunol Smart Carpool Lane Joint Powers Authority Committee (JPA)	10:00 am	February 11, 2013	1333 Broadway, Suite 300
Planning, Policy and Legislation Committee (PPLC)	11:00 am	February 11, 2013	1333 Broadway, Suite 300
Programs and Projects Committee (PPC)	12:15 pm	February 11, 2013	1333 Broadway, Suite 300
Finance and Administration Committee (FAC)	1:30 pm	February 11, 2013	1333 Broadway, Suite 300
Alameda CTC Board Retreat	9:00 am	February 22, 2013	TBD
Alameda CTC Commission Meeting	2:30 pm	February 28, 2013	1333 Broadway, Suite 300

Glossary of Acronyms

ABAG	Association of Bay Area Governments	MTC	Metropolitan Transportation Commission
ACCMA	Alameda County Congestion Management Agency	MTS	Metropolitan Transportation System
ACE	Altamont Commuter Express	NEPA	National Environmental Policy Act
ACTA	Alameda County Transportation Authority (1986 Measure B authority)	NOP	Notice of Preparation
ACTAC	Alameda County Technical Advisory Committee	PCI	Pavement Condition Index
ACTC	Alameda County Transportation Commission	PSR	Project Study Report
ACTIA	Alameda County Transportation Improvement Authority (2000 Measure B authority)	RM 2	Regional Measure 2 (Bridge toll)
ADA	Americans with Disabilities Act	RTIP	Regional Transportation Improvement Program
BAAQMD	Bay Area Air Quality Management District	RTP	Regional Transportation Plan (MTC's Transportation 2035)
BART	Bay Area Rapid Transit District	SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act
BRT	Bus Rapid Transit	SCS	Sustainable Community Strategy
Caltrans	California Department of Transportation	SR	State Route
CEQA	California Environmental Quality Act	SRS	Safe Routes to Schools
CIP	Capital Investment Program	STA	State Transit Assistance
CMAQ	Federal Congestion Mitigation and Air Quality	STIP	State Transportation Improvement Program
CMP	Congestion Management Program	STP	Federal Surface Transportation Program
CTC	California Transportation Commission	TCM	Transportation Control Measures
CWTP	Countywide Transportation Plan	TCRP	Transportation Congestion Relief Program
EIR	Environmental Impact Report	TDA	Transportation Development Act
FHWA	Federal Highway Administration	TDM	Travel-Demand Management
FTA	Federal Transit Administration	TEP	Transportation Expenditure Plan
GHG	Greenhouse Gas	TFCA	Transportation Fund for Clean Air
HOT	High occupancy toll	TIP	Federal Transportation Improvement Program
HOV	High occupancy vehicle	TLC	Transportation for Livable Communities
ITIP	State Interregional Transportation Improvement Program	TMP	Traffic Management Plan
LATIP	Local Area Transportation Improvement Program	TMS	Transportation Management System
LAVTA	Livermore-Amador Valley Transportation Authority	TOD	Transit-Oriented Development
LOS	Level of service	TOS	Transportation Operations Systems
		TVTC	Tri Valley Transportation Committee
		VHD	Vehicle Hours of Delay
		VMT	Vehicle miles traveled

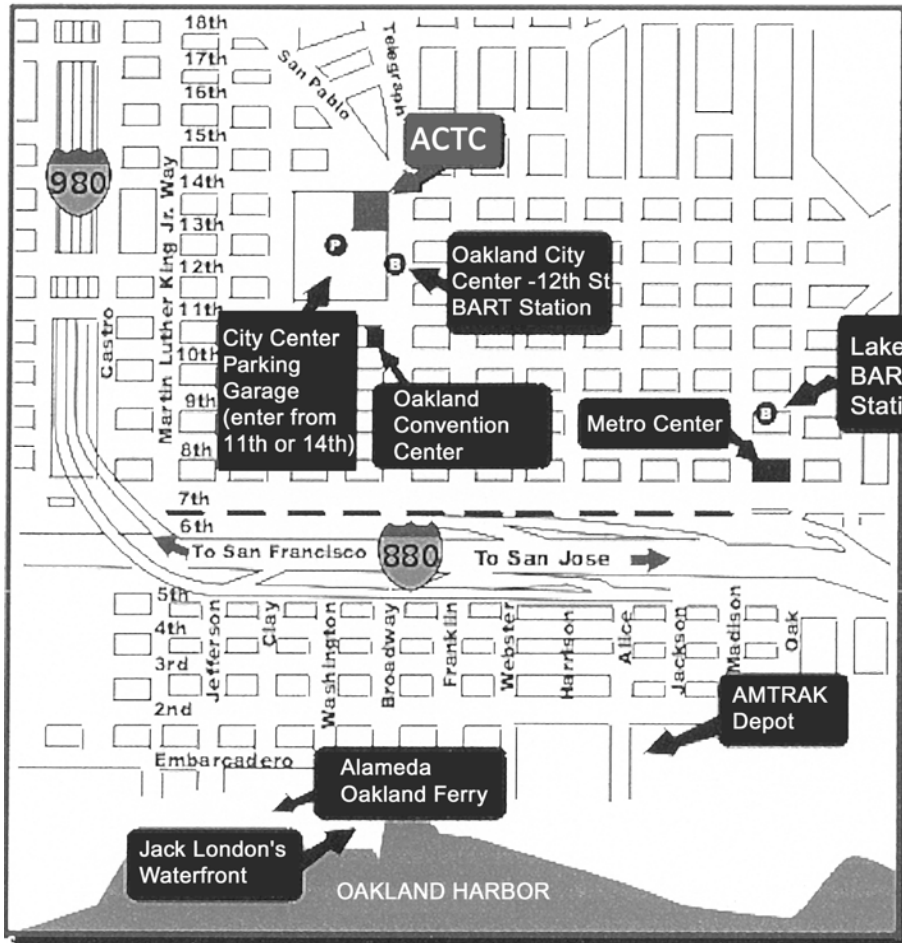


1333 Broadway, Suites 220 & 300

Oakland, CA 94612

PH: (510) 208-7400

www.AlamedaCTC.org



Directions to the Offices of the Alameda County Transportation Commission:

**1333 Broadway, Suite 220
Oakland, CA 94612**

Public Transportation Access:

BART: City Center / 12th Street Station

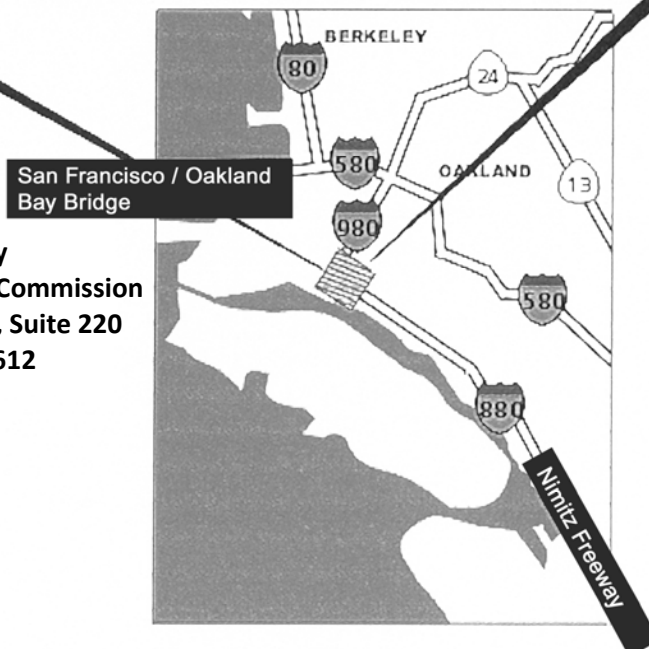
AC Transit:

Lines 1, 1R, 11, 12, 13, 14, 15, 18, 40, 51, 63, 72, 72M, 72R, 314, 800, 801, 802, 805, 840

Auto Access:

- Traveling South: Take 11th Street exit from I-980 to 11th Street
- Traveling North: Take 11th Street/Convention Center Exit from I-980 to 11th Street
- Parking: City Center Garage – Underground Parking, (Parking entrances located on 11th or 14th Street)

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





MEMORANDUM

DATE: January 17, 2013

TO: Alameda County Transportation Commissioners

FROM: Arthur L. Dao, Executive Director

SUBJECT: **Election of Chair and Vice-Chair of the Commission, Commission Standing Committee Assignments, and other Local and Regional Transportation Committee Assignments**

Recommendation

The Commission is requested to elect a Chair and Vice-Chair to serve during calendar year 2013. The remainder of this memorandum is for information only.

Summary and Discussion

The Administrative Code calls for the election of the Commission's Chair and Vice-Chair at the January Commission meeting, and states that such elections will be effective immediately at that same meeting. The Administrative Code also indicates that in selecting the Chair and Vice-Chair, members of the Commission should give reasonable consideration to rotating these positions among the geographic areas and the transit representatives, among other factors.

The elected Chair shall thereafter appoint all members of the Commission's three Standing Committees, including designating the chair and vice-chair of each Committee, as well as make appointments to other local and regional transportation committees, when these appointments are required from the Alameda County Transportation Commission. A roster showing the current members of the Standing Committees is attached. At the Commission meeting, staff will distribute a roster of local and regional transportation-related boards and committees which include one or more current Alameda County Transportation Commissioners, including boards and committees where Commissioners represent agencies other than Alameda CTC.

In a separate action the Commission will be requested to adopt the schedule of regular meetings of the Commission and the Standing Committees for calendar year 2013.

Fiscal Impact

There is no direct fiscal impact associated with this staff report.

Attachment(s):

Attachment A: Current roster of Standing Committees Assignments

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Alameda CTC Current Roster of Standing Committees Assignments

Prepared by Gladys V. Parmelee

January 2, 2013

	Planning, Policy & Legislation Committee (PPLC) ¹	Programs and Projects Committee (PPC) ²	Finance and Administration Committee (FAC) ³
Chair	Greg Harper	TBD	John Chiang
Vice Chair	Tim Sbranti	Scott Haggerty	Rebecca Kaplan
Members	Keith Carson	Ruth Atkin	Tom Blalock
	John Marchand	Suzanne Chan	Laurie Capitelli
	Tim Sbranti	Luis Freitas	Jerry Thorne
	Wilma Chan	Larry Reid	Richard Valle
	Micahel Gregory	Nate Miley	Alameda Representative
Ex Officio	TBD	TBD	TBD
	Scott Haggerty		Scott Haggerty

NOTE:

- 1 PPLC meets every 2nd Monday of the month from 11:00 AM to 12:15 PM
- 2 PPC meets every 2nd Monday of the month from 12:15 PM to 1:30 PM
- 3 FAC meets every 2nd Monday of the month from 1:30 PM to 2:45 PM

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION
MINUTES OF DECEMBER 6, 2012
OAKLAND, CALIFORNIA**

1. Call to Order/Pledge of Allegiance

Chair Green convened the meeting at 2:30 p.m.

2. Roll Call

Clerk Lee conducted the roll call to confirm quorum.

3. Public Comment

There were no public comments.

4. Chair/Vice-Chair's Report

Mayor Green recommended that the Commission place an urgency item on the agenda that will be discussed in a closed session, pursuant to Government Code Section 54956.8 regarding Conference with Real Property Negotiators. Neal Parish stated that the Closed Session is in regards to a lease at 1111 Broadway and the property owner is OCC Ventures LLC Delaware Limited Liability Company.

Supervisor Haggerty motioned to accept this recommendation. Councilmember Kaplan seconded the motion. A roll call was conducted. The motion passed 22-0. There were no public comments.

5. Executive Director Report

Art Dao stated that the Measure B1 partial recount process had been completed and the certificated election results had been accepted. He also stated that there would be a presentation for the Caldecott Fourth Bore Medallion Design Competition awardees and honorable mentions during the Member Reports portion of the agenda as well as a reception for departing Chair Mayor Green, departing Vice Mayor Bonta and departing Mayor Javandel.

6. Approval of Consent Calendar

6A. Minutes of October 25, 2012

6B. Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments

6C. Approval of Congestion Management Program: Final 2012 Annual Conformity Requirements (14 Affirmative Votes Required)

6D. Approval of Draft 2013 Alameda CTC Legislative Program

6E. Presentation from Contra Costa Transportation Authority (CCTA) on State Route 239 (TriLink) Study

- 6F. Approval of Issuance of a Request for Qualifications (RFQ) for a Sustainable Communities Technical Assistance Program (SC-TAP)**
- 6G. Approval of the Alameda-Contra Costa Transit District's (AC Transit) Request to Extend the Agreement Expiration Date for the Measure B Paratransit Gap Grant Agreement No. A08-0026, New Freedom Fund Match Project**
- 6H. Approval of the Reprogramming of Cycle 2 Lifeline Transportation Program Funding**
- 6I. California Transportation Commission (CTC) October 2012 Meeting Summary**
- 6J. Approval of Priority Conservation Area (PCA) Process and Schedule**
- 6K. Report of Pavement Condition Of Bay Area Jurisdictions 2011 by the Metropolitan Transportation Commission (MTC)**
- 6L. I-680 Northbound Express Lane Project (ACTIA 8B)– Allocation of 2000 Measure B Capital Funding and Approval to Amend the Professional Services Agreement with WMH Corporation for expanded scope of services**
- 6M. Telegraph Avenue Corridor Transit Project (APN 607.0) - Approval of Allocation of Measure B Funding for the Plans, Specifications and Estimate (Design) Phase**
- 6N. Approval of Authorization for Staff to negotiate and/or coordinate with California Department of Transportation (Caltrans) to negotiate for the sale of the Alameda CTC-owned property (APN 543-275-12-2) and Update on the Draft Disposal Plan for State-owned right-of-way that was purchased for the Former Route 84 Historic Parkway in Fremont and Union City**
- 6O. Approval of the Executive Director's Salary for Fiscal Year for 2012-13**
- 6P. Approval of the Alameda CTC FY2012-13 First Quarter Investment Report**
- 6Q. Approval of the Alameda CTC FY2012-13 First Quarter Financial Report**
- 6R. Approval of the ACCMA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012**
- 6S. Approval of the ACTIA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012**
- 6T. Approval of Advisory Committee Appointments**

Item 6D was pulled from the Consent Calendar for further consideration. Councilmember Atkin questioned language surrounding “quick” project delivery. Art Dao stated that the language reflects routine concepts and principals that are brought to the Commission on an annual basis. Councilmember Worthington motioned to approve Item 6D. Director Blalock seconded the motion. Councilmember Atkin opposed the

item. The motion passed with 24 ayes, 1 abstention by Mayor Thorne and 1 opposed vote by Councilmember Atkin.

Supervisor Haggerty motioned to approve the remainder of the Consent Calendar. Councilmember Worthington seconded the motion. The Commission in its entirety approved the Consent Calendar with abstentions from Mayor Thorne on Item 6A, Item 6O and Item 6D.

7. Community Advisory Committee Reports

7A. Bicycle and Pedestrian Advisory Committee (BPAC)

Midori Tabata, BPAC Chair stated that BPAC met on November 15, 2012. BPAC reviewed the One Bay Area Grant program, PDA & selection criteria and complete streets selection process. The next scheduled meeting in January.

7B. Citizens Advisory Committee (CAC)

Barry Ferrier, CAC Chair last met in July, 2012. He stated that there were vacancies on the CAC that needed to be filled.

7C. Citizens Watchdog Committee (CWC)

James Paxson, CWC Chair stated that the CWC met on November 19, 2012. The CWC discussed the upcoming compliance workshop, the presentation of the agency audit, and outreach efforts. The next meeting is scheduled for January 14, 2013.

7D. Paratransit Advisory and Planning Committee (PAPCO)

Sylvia Stadmire, PAPCO Chair stated that the Committee made changes to the bylaws, discussed issues related to gap grant funding, received an update on OBAG and reviewed the Paratransit implementation guidelines.

8. Planning, Policy and Legislation Committee Action Items

8A. Review of Draft Priority Development Area (PDA) Readiness Classification

8B Review of Draft One Bay Area Grant (OBAG) Program Guidelines

Items 8A and 8B were presented in a combined presentation. Beth Walukas reviewed the draft Priority Development Area (PDA) readiness classifications. Ms. Walukas defined the three PDA readiness classifications; active, non-active, and PDA's in need of planning support. She also reviewed the planning requirements and the development screens. Matt Todd reviewed the Draft One Bay Area Grant (OBAG) Program Guidelines. Mr. Todd outlined the OBAG Programming Categories, including PDA Supportive Transportation Investment, Local Streets and Roads, CMA Planning / Programming, and Countywide Safe Routes to Schools Program Augmentation.

A discussion was held surrounding project readiness definitions as it relates to MTC Resolution No. 4035. Councilmember Kaplan stated a requirement should be made that projects meet the deadline before being considered for the grant.

Public Comment was heard by the following:

Lindey Imai
Dave Campbell
Jane Krammer

Paul Campos
Vivian Huong

8C. Closed Session

Pursuant to Government Code Section 54956.8 regarding Conference with Real Property Negotiators, the Commission went to Closed Session. Zack Wasserman reported that Commission authorized staff and legal counsel to negotiate and execute any and all agreements for the relocation to 1111 Broadway subject to the financial parameters that were approved by the Commission, and directed staff to work with and receive direction from the office relocation subcommittee.

The Commission

9. Member Reports

Mayor Green honored Alameda County students who participated in the Caldecott Fourth Bore Medallion Design Competition.

10. Adjournment: Next Meeting – January 24, 2013

The meeting ended at 4:32 pm. The next meeting will be held on January 24, 2013 at 2:30pm.

Attest by:



Vanessa Lee
Clerk of the Commission



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Planning, Policy and Legislation Committee

SUBJECT: **Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments**

Recommendation

This item is for information only. No action is requested.

Summary

This item fulfills one of the requirements under the Land Use Analysis Program (LUAP) element of the Congestion Management Program (CMP). For the LUAP, Alameda CTC is required to review Notices of Preparations (NOPs), General Plan Amendments (GPAs), and Environmental Impact Reports (EIRs) prepared by local jurisdictions and comment on them regarding the potential impact of proposed land development on the regional transportation system.

Since the last monthly update on September 10, 2012, staff reviewed six NOPs and/or EIRs. Comments were submitted for three of them. The comment letters are attached.

Attachments

Attachment A:	Comment letter for City of Oakland West Oakland Specific Plan NOP
Attachment B:	Comment letter for City of Dublin Moller Ranch FSEIR
Attachment C:	Comment letter for City of Oakland Central Estuary Implementation Guide (CEIG) DSEIR

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November 8, 2012

Ulla-Britt Jonsson
Planner II
City of Oakland Strategic Planning Division
250 Frank Ogawa Plaza, Suite 3315
Oakland, CA 94612
ujonsson@oaklandnet.com

SUBJECT: Comments on the Notice of Preparation of a Draft Environmental Impact Report (DEIR) for West Oakland Specific Plan

Dear Ms. Jonsson,

Thank you for the opportunity to comment on the Notice of Preparation (NOP) for a Draft Environmental Impact Report (DEIR) for West Oakland Specific Plan. The project area is generally bounded by Interstate-580 to the north, Interstate-980 to the east, and the re-located Interstate-880 to the south and west. The Specific Plan outlines changes in land use types that would result in the following net changes, as compared to existing land use designations:

- Heavy Industrial: 740,000 sq. ft. reduction
- Business Mix/Light Industrial: 1,600,000 sq. ft. reduction
- Low Intensity Business Mix/Light Industrial: 1,175,000 sq. ft. increase
- High Intensity Campus: 4,680,000
- Retail: 515,000 sq. ft. increase
- Single Family and Townhome: 250 dwelling unit increase
- Multi-Family Residential: 4,840 dwelling unit increase

The Alameda County Transportation Commission (Alameda CTC), on behalf of the Alameda County Congestion Management Agency (ACCMA) through the powers delegated to Alameda CTC by the joint powers agreement which created Alameda CTC, respectfully submits the following comments:

- The City of Oakland adopted Resolution No. 69475 on November 19, 1992 establishing guidelines for reviewing the impacts of local land use decisions consistent with the Alameda County Congestion Management Program (CMP). It appears that the proposed project will generate at least 100 p.m. peak hour trips over existing conditions, and therefore the CMP Land Use Analysis Program requires the City to conduct a traffic analysis of the project using the Countywide Transportation Demand Model. The analysis should study conditions in years 2020 and 2035. Please note the following paragraph as it discusses the responsibility for modeling.
 - The CMP was amended on March 26th, 1998 so that local jurisdictions are responsible for conducting travel model runs themselves or through a consultant. The Alameda CTC has

a Countywide Travel Demand model that is available for this purpose. The City of Oakland and the Alameda CTC signed a Countywide Model Agreement on May 28, 2008. Before the model can be used for this project, a letter must be submitted to the Alameda CTC requesting use of the model and describing the project. A copy of a sample letter agreement is available upon request.

The most current version of the Alameda CTC Countywide Travel Demand Model is the August 2011 update, which incorporates the Association of Bay Area Government's Projections 2009 land use assumptions.

- The DEIR should address all potential impacts of the project on the Metropolitan Transportation System (MTS) roadway and transit systems. The MTS roadway network includes both the CMP roadway network and additional routes of local significance. The MTS roadway network is depicted in the attached map, and the MTS network in the proposed project study area is depicted in in 2011 CMP Figure 2. The MTS transit systems to consider are BART and AC Transit. The MTS roads in the City of Oakland in the project study area are Interstate 880; Interstate 580; Interstate 980; San Pablo Avenue (State Route 123); West Grand Avenue; 7th Street; 14th Street; Brush Street; Adeline Street; Martin Luther King Jr. Way.
 - Potential impacts of the project must be addressed for 2020 and 2035 conditions.
 - Please note that the Alameda CTC has *not* adopted any policy for determining a threshold of significance for Level of Service for the Land Use Analysis Program of the CMP. Professional judgment should be applied to determine the significance of project impacts (Please see chapter 6 of 2011 CMP for more information).
 - For the purposes of CMP Land Use Analysis, 2000 Highway Capacity Manual is used.
- The adequacy of any project mitigation measures should be discussed. On February 25, 1993, the ACCMA Board adopted three criteria for evaluating the adequacy of DEIR project mitigation measures:
 - Project mitigation measures must be adequate to sustain CMP service standards for roadways and transit;
 - Project mitigation measures must be fully funded to be considered adequate;
 - Project mitigation measures that rely on state or federal funds directed by or influenced by the CMA must be consistent with the project funding priorities established in the Capital Improvement Program (CIP) section of the CMP or the Regional Transportation Plan (RTP).

The DEIR should include a discussion of the adequacy of proposed mitigation measures relative to these criteria. In particular, the DEIR should detail when proposed roadway or transit route improvements are expected to be completed, how they will be funded, and what would be the effect on LOS if only the funded portions of these projects were assumed to be built prior to project completion.

- Potential impacts of the project on CMP transit levels of service must be analyzed. (See 2011 CMP, Chapter 4). Transit service standards are 15-30 minute headways for bus service and 3.75-15 minute headways for BART during peak hours. The DEIR should address the

issue of transit funding as a mitigation measure in the context of the Alameda CTC/ACCMA policies discussed above.

- The DEIR should also consider Travel Demand Management (TDM) related strategies that are designed to reduce the need for new roadway facilities over the long term and to make the most efficient use of existing facilities (see 2011 CMP, Chapter 5). The DEIR should consider the use of TDM measures, in conjunction with roadway and transit improvements, as a means of attaining acceptable levels of service. Whenever possible, mechanisms that encourage ridesharing, flextime, transit, bicycling, telecommuting and other means of reducing peak hour traffic trips should be considered. The Site Design Guidelines Checklist may be useful during the review of the development proposal. A copy of the checklist is enclosed.
- The EIR should consider opportunities to promote countywide bicycle and pedestrian routes identified in the Alameda Countywide Bicycle and Pedestrian Plans, which were approved in October 2012. The approved Countywide Bike Plan and Pedestrian Plan are available at http://www.alamedactc.org/app_pages/view/5275.
- For projects adjacent to state roadway facilities, the analysis should address noise impacts of the project. If the analysis finds an impact, then mitigation measures (i.e., soundwalls) should be incorporated as part of the conditions of approval of the proposed project. It should not be assumed that federal or state funding is available.
- Local jurisdictions are encouraged to consider a comprehensive Transit Oriented Development (TOD) Program, including environmentally clearing all access improvements necessary to support TOD development as part of the environmental documentation.

Thank you for the opportunity to comment on this Notice of Preparation. Please do not hesitate to contact me at 510.208.7405 if you require additional information.

Sincerely,



Beth Walukas
Deputy Director of Planning

Cc: Matthew Bomberg, Assistant Transportation Planner
File: CMP – Environmental Review Opinions – Responses - 2012

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November 26, 2012

Michael A. Porto
Consulting Planner
City of Dublin
Community Development Department
100 Civic Plaza
Dublin, CA 94568

SUBJECT: Comments on the Final Supplemental Environmental Impact Report (FSEIR) for the Moller Ranch Development and Moller Creek Culvert Replacement Project in the City of Dublin

Dear Mr. Porto:

Thank you for the opportunity to comment on the Final Supplemental Environmental Impact Report (FSEIR) being prepared by the City of Dublin. The project site is located on the east side of Tassajara Road, north of the Fallon Crossing property and south of the Alameda County Boudnary line. The proposed project would develop up to 382 single family detached dwelling units and would include neighborhood park and semi-public land uses. The project also includes replacement of an existing Tassajara Road culvert over Moller Creek, west of the Moller Ranch property.

We have reviewed the FSEIR which updates the DSEIR traffic impact analysis to:

- Utilize model volumes from the August 2012 version of the Alameda Countywide Travel Demand Model
- Update the near term horizon year from 2015 to 2020
- Use correct arterial classifications and capacities in arterial roadway operations analysis.

Based on our review of the FSEIR, the Congestion Management Program requirements were met. Alameda CTC has no further comment to make on this project.

Sincerely,

A handwritten signature in blue ink that reads "Beth Walukas". The signature is written in a cursive, flowing style.

Beth Walukas
Deputy Director of Planning

Cc: Matthew Bomberg, Assistant Transportation Planner
Obaid Khan, Senior Civil Engineer

File: CMP – Environmental Review Opinions – Responses - 2012



October 29, 2012

Michael A. Porto
Consulting Planner
City of Dublin
Community Development Department
100 Civic Plaza
Dublin, CA 94568

SUBJECT: Comments on the Draft Supplemental Environmental Impact Report (DSEIR) for the Moller Ranch Development and Moller Creek Culvert Replacement Project in the City of Dublin

Dear Mr. Porto:

Thank you for the opportunity to comment on the Draft Supplemental Environmental Impact Report (DSEIR) released by the City of Dublin for the Moller Ranch Development and Moller Creek Culvert Replacement Project. The project site is located on the east side of Tassajara Road, north of the Fallon Crossing property and south of the Alameda County boundary line. The proposed project would develop up to 382 single family detached dwelling units and would include neighborhood park and semi-public land uses. The project also includes replacement of an existing Tassajara Road culvert over Moller Creek, west of the Moller Ranch property.

The Alameda County Transportation Commission (Alameda CTC), on behalf of the Alameda County Congestion Management Agency (ACCMA) through the powers delegated to Alameda CTC by the joint powers agreement which created Alameda CTC, submitted comments on the Notice of Preparation (NOP) for this project (letter dated August 20, 2012 attached). While comments were addressed for the 2035 scenario, they were not addressed for the 2020 scenario. It appears that the DSEIR used 2015 as the mid-term analysis year. This calls into question whether the most up to date version of the Alameda Countywide Travel Demand Model was used for the analysis for either future scenario. As a result, we respectfully submit the following comments:

- The DSEIR appears to have not done a 2020 mid-year analysis of the environmental impacts on the MTS transit, roadway and bicycle and pedestrian networks. This analysis is required as part of the Congestion Management Plan's Land Use Analysis Program and should be included in the Final SEIR.
- Please verify that the August 2012 version of the Alameda Countywide Travel Demand Model was used to conduct the analysis and determine the impacts documented in DSEIR, including Appendix 8.3. Reference is made to use of the countywide model in the document,

but it does not appear that the most recent version was used. If the most recent version of the model was not used, please contact me to discuss options for correcting this.

- The environmental impacts and mitigations on the MTS transit and roadway network should be added to Table 1.0: Summary of Supplemental Environmental Impacts and Mitigations.

Thank you for the opportunity to comment on this DSEIR. Please do not hesitate to contact me at 510.208.7405 if you require additional information.

Sincerely,



Beth Walukas
Deputy Director of Planning

Attachment 1: Response to the NOP dated August 20, 2012

Cc: File: CMP – Environmental Review Opinions – Responses - 2012



August 20, 2012

Michael A. Porto
Consulting Planner
City of Dublin
Community Development Department
100 Civic Plaza
Dublin, CA 94568

SUBJECT: Comments on the Notice of Preparation of a Draft Supplemental Environmental Impact Report (DSEIR) for the Moller Ranch Development and Moller Creek Culvert Replacement Project in the City of Dublin

Dear Mr. Porto:

Thank you for the opportunity to comment on the Notice of Preparation of a Draft Supplemental Environmental Impact Report (DSEIR) being prepared by the City of Dublin for the Moller Ranch Development and Moller Creek Culvert Replacement Project. The project site is located on the east side of Tassajara Road, north of the Fallon Crossing property and south of the Alameda County boundary line. The proposed project would develop up to 382 single family detached dwelling units and would include neighborhood park and semi-public land uses. The project also includes replacement of an existing Tassajara Road culvert over Moller Creek, west of the Moller Ranch property.

The Alameda County Transportation Commission (Alameda CTC), on behalf of the Alameda County Congestion Management Agency (ACCMA) through the powers delegated to Alameda CTC by the joint powers agreement which created Alameda CTC, respectfully submits the following comments:

- The City of Dublin adopted Resolution No.120-92 on September 28, 1992 establishing guidelines for reviewing the impacts of local land use decisions consistent with the Alameda County Congestion Management Program (CMP). If the proposed project is expected to generate at least 100 p.m. peak hour trips over existing conditions, the CMP Land Use Analysis Program requires the City to conduct a traffic analysis of the project using the Countywide Transportation Demand Model for projection years 2020 and 2035 conditions. Please note the following paragraph as it discusses the responsibility for modeling.
 - The CMP was amended on March 26th, 1998 so that local jurisdictions are responsible for conducting the model runs themselves or through a consultant. The Alameda CTC has a Countywide model that is available for this purpose. The City of Dublin and the Alameda CTC signed a Countywide Model Agreement on July 17, 2008. Before the

model can be used for this project, a letter must be submitted to the Alameda CTC requesting use of the model and describing the project. A copy of a sample letter agreement is available upon request.

- The DSEIR should address all potential impacts of the project on the MTS roadway and transit systems. These include MTS roadways as shown in the attached map as well as BART and LAVTA. The MTS roads in the city of Dublin in the project study area are: I-580, Tassajara Road and Dublin Boulevard (see 2011 CMP Figure 5). Potential impacts of the project must be addressed for 2020 and 2035 conditions.
 - Please note that the Alameda CTC has *not* adopted any policy for determining a threshold of significance for Level of Service for the Land Use Analysis Program of the CMP. Professional judgment should be applied to determine the significance of project impacts (Please see chapter 6 of 2011 CMP for more information).
 - For the purposes of CMP Land Use Analysis, 2000 Highway Capacity Manual is used.
- The adequacy of any project mitigation measures should be discussed. On February 25, 1993, the Alameda CTC Board adopted three criteria for evaluating the adequacy of DSEIR project mitigation measures:
 - Project mitigation measures must be adequate to sustain CMP service standards for roadways and transit;
 - Project mitigation measures must be fully funded to be considered adequate;
 - Project mitigation measures that rely on state or federal funds directed by or influenced by the CMA must be consistent with the project funding priorities established in the Capital Improvement Program (CIP) section of the CMP or the Regional Transportation Plan (RTP).

The DSEIR should include a discussion on the adequacy of proposed mitigation measures relative to these criteria. In particular, the DSEIR should detail when proposed roadway or transit route improvements are expected to be completed, how they will be funded, and what would be the effect on LOS if only the funded portions of these projects were assumed to be built prior to project completion.

- Potential impacts of the project on CMP transit levels of service must be analyzed. (See 2011 CMP, Chapter 4). Transit service standards are 15-30 minute headways for bus service and 3.75-15 minute headways for BART during peak hours. The DSEIR should address the issue of transit funding as a mitigation measure in the context of the Alameda CTC policies discussed above.
- The DSEIR should also consider demand-related strategies that are designed to reduce the need for new roadway facilities over the long term and to make the most efficient use of existing facilities (see 2011 CMP, Chapter 5). The DSEIR should consider the use of TDM measures, in conjunction with roadway and transit improvements, as a means of attaining acceptable levels of service. Whenever possible, mechanisms that encourage ridesharing, flextime, transit, bicycling, telecommuting and other means of reducing peak hour traffic trips should be considered. The Site Design Guidelines Checklist may be useful during the review of the development proposal. A copy of the checklist is enclosed.

- The DSEIR should consider opportunities to promote countywide bicycle and pedestrian routes identified in the Alameda Countywide Bicycle and Pedestrian Plans, which were approved in October 2006. The approved Countywide Bike Plan and Pedestrian Plan are available at http://www.actia2022.com/app_pages/view/58
- For projects adjacent to state roadway facilities, the analysis should address noise impacts of the project. If the analysis finds an impact, then mitigation measures (i.e., soundwalls) should be incorporated as part of the conditions of approval of the proposed project. It should not be assumed that federal or state funding is available.
- Local jurisdictions are encouraged to consider a comprehensive Transit Oriented Development (TOD) Program, including environmentally clearing all access improvements necessary to support TOD development as part of the environmental documentation.

Thank you for the opportunity to comment on this Notice of Preparation. Please do not hesitate to contact me at 510.208.7405 if you require additional information.

Sincerely,

A handwritten signature in blue ink, appearing to read "Beth Walukas".

Beth Walukas
Deputy Director of Planning

Cc: File: CMP – Environmental Review Opinions – Responses - 2012



December 14, 2012

Alicia Parker
City of Oakland
Department of Planning, Building, and Neighborhood Preservation
Strategic Planning Division
250 Frank Ogawa Plaza
Suite 3315
Oakland, CA 94612

SUBJECT: Comments on the Draft Supplemental Environmental Impact Report (DSEIR) for the Central Estuary Implementation Guide (CEIG) Project (ER-11-0016/ZT12109/GP12110)

Dear Ms. Parker:

Thank you for the opportunity to comment on the Draft Supplemental Environmental Impact Report for the Central Estuary Implementation Guide Project. The Draft CEIG is a companion document to the City's 1999 Estuary Policy Plan that modifies and clarifies land uses and associated densities within the Central Estuary area. The project consists of 416 acres of land between 19th Ave, 54th Ave, Interstate 880, and the Oakland Estuary. The area is currently zoned for heavy industrial uses, and the project calls for maintaining industrial uses while allowing for an increment of new commercial, residential, and office development in appropriate locations. At full build out, the project would result in 1,679 p.m. peak hour trips in excess of existing land uses in the project area.

The Alameda County Transportation Commission (Alameda CTC), on behalf of the Alameda County Congestion Management Agency (ACMA) through the powers dedicated to Alameda CTC by the joint powers agreement which created the Alameda CTC, respectfully submits the following comments:

- Page 4.4-50 of the DSEIR states that the P07 model version generates more conservative traffic volumes. The traffic impact analysis should include tables that compare the AM and PM peak hour volumes from the P07 and P09 model versions on all CMP/MTS study segments to demonstrate that the most conservative traffic volumes are applied to determine impacts. This comparison table should confirm a general trend that P07 is more conservative within the study area than the most recent model, which was recommended for use in the Alameda CTC NOP response dated December 15, 2011.
- On page 4.4-92, the DSEIR states that project impacts on AC Transit travel times are not considered due to the lack of a clear quantitative methodology by which to study such impacts. However, on page 4.4-45, footnote 4, which describes the City of Oakland's AC Transit travel time threshold of significance, it is acknowledged that "The evaluation may require a qualitative and/or quantitative analysis depending upon these relevant

factors.” The DSEIR should consider qualitatively whether project traffic will significantly degrade AC Transit travel times and whether there are opportunities to mitigate this degradation through measures like moving nearside stops to farside, installing bus bulbs, etc.

Thank you for the opportunity to comment on this Draft SEIR. Please do not hesitate to contact me or Matthew Bomberg of my staff at (510) 208-7400 if you require additional information.

Sincerely,

A handwritten signature in black ink, appearing to read "Beth Walukas". The signature is fluid and cursive, with the first letter of each word being capitalized and prominent.

Beth Walukas
Deputy Director of Planning

Cc: Matthew Bomberg, Assistant Transportation Planner

File: CMP – Environmental Review Opinions – Responses - 2012



December 15, 2011

Alicia Parker
Planner II
Strategic Planning Division
City of Oakland Community and Economic Development Agency
250 Frank Ogawa Plaza, Suite 3315
Oakland, CA 94612
aparker@oaklandnet.com

SUBJECT: Comments on the Notice of Preparation of a Supplemental Environmental Impact Report (SEIR) for the Central Estuary Implementation Guide in the City of Oakland

Dear Ms. Parker:

Thank you for the opportunity to comment on the Notice of Preparation (NOP) of a Supplemental Environmental Impact Report (SEIR) for the Central Estuary Implementation Guide in the City of Oakland. The project area covers the Central Estuary and encompasses about 416 acres of land, including about 319 acres of individual parcels, and about 100 acres of public rights-of-way. The project area is bordered by Interstate 880 (I-880) to the northeast and the Oakland Estuary to the southwest.

The Draft Central Estuary Implementation Guide (CEIG) is a 20-year planning document that would, if approved, modify or clarify land uses and associated densities within the Central Estuary area. As a companion document to the City's 1999 Estuary Policy Plan (EPP), the Draft CEIG identifies steps to be undertaken to implement the recommendations of the EPP.

The majority of the area is currently zoned for heavy industrial uses, although given the evolution of residential, commercial, park, and office uses, simply perpetuating the heavy industrial designation is no longer appropriate or viable. The Draft CEIG proposes to maintain existing industrial uses while allowing for an increment of new commercial, residential, and office development in appropriate locations. Implementation of the CEIG required changes to general plan maps and the zoning code; the development of design guidelines to reconcile conflicting land use priorities, and the implementation of transportation improvements to address infrastructure deficiencies.

The Alameda County Transportation Commission (Alameda CTC), on behalf of the Alameda County Congestion Management Agency (ACCMA) through the powers delegated to Alameda CTC by the joint powers agreement which created Alameda CTC, respectfully submits the following comments:

- The City of Oakland adopted Resolution No. 69475 on November 19, 1992 establishing guidelines for reviewing the impacts of local land use decisions consistent with the Alameda County Congestion Management Program (CMP). It appears that the proposed project will generate at least 100 p.m. peak hour trips over existing conditions and therefore the CMP Land Use Analysis Program requires the City to conduct a traffic analysis of the project using the Countywide Transportation Demand Model for projection years 2020 and 2035 conditions. Please note the following paragraph as it discusses the responsibility for modeling.
 - The CMP was amended on March 26th, 1998 so that local jurisdictions are responsible for conducting the model runs themselves or through a consultant. The Alameda CTC has a Countywide model that is available for this purpose. The City of Oakland and the Alameda CTC signed a Countywide Model Agreement on May 28, 2009. Before the model can be used for this project, a letter must be submitted to the Alameda CTC requesting use of the model and describing the project. A copy of a sample letter agreement is available upon request.
- The SEIR should address all potential impacts of the project on the MTS roadway and transit systems. These include MTS roadways as shown in the attached map as well as BART and AC Transit. The MTS roads in the city of Oakland in the project study area are; I-880, International Boulevard, San Leandro, Fruitvale Avenue, Park Street, High Street and 42nd Avenue. (See 2011 CMP Figure 2). Potential impacts of the project must be addressed for 2020 and 2035 conditions.
 - Please note that the Alameda CTC has *not* adopted any policy for determining a threshold of significance for Level of Service for the Land Use Analysis Program of the CMP. Professional judgment should be applied to determine the significance of project impacts (Please see chapter 6 of 2011 CMP for more information).
 - For the purposes of CMP Land Use Analysis, 2000 Highway Capacity Manual is used.
- The adequacy of any project mitigation measures should be discussed. On February 25, 1993, the ACCMA Board adopted three criteria for evaluating the adequacy of DEIR project mitigation measures:
 - Project mitigation measures must be adequate to sustain CMP service standards for roadways and transit;
 - Project mitigation measures must be fully funded to be considered adequate;
 - Project mitigation measures that rely on state or federal funds directed by or influenced by the CMA must be consistent with the project funding priorities established in the Capital Improvement Program (CIP) section of the CMP or the Regional Transportation Plan (RTP).

The DEIR should include a discussion on the adequacy of proposed mitigation measures relative to these criteria. In particular, the DEIR should detail when proposed roadway or

transit route improvements are expected to be completed, how they will be funded, and what would be the effect on LOS if only the funded portions of these projects were assumed to be built prior to project completion.

- Potential impacts of the project on CMP transit levels of service must be analyzed. (See 2011 CMP, Chapter 4). Transit service standards are 15-30 minute headways for bus service and 3.75-15 minute headways for BART during peak hours. The DEIR should address the issue of transit funding as a mitigation measure in the context of the Alameda CTC/ACCMA policies discussed above.
- The DEIR should also consider demand-related strategies that are designed to reduce the need for new roadway facilities over the long term and to make the most efficient use of existing facilities (see 2011 CMP, Chapter 5). The DEIR should consider the use of TDM measures, in conjunction with roadway and transit improvements, as a means of attaining acceptable levels of service. Whenever possible, mechanisms that encourage ridesharing, flextime, transit, bicycling, telecommuting and other means of reducing peak hour traffic trips should be considered. The Site Design Guidelines Checklist may be useful during the review of the development proposal. A copy of the checklist is enclosed.
- The EIR should consider opportunities to promote countywide bicycle and pedestrian routes identified in the Alameda Countywide Bicycle and Pedestrian Plans, which were approved in October 2006. The approved Countywide Bike Plan and Pedestrian Plan are available at http://www.actia2022.com/app_pages/view/58.
- For projects adjacent to state roadway facilities, the analysis should address noise impacts of the project. If the analysis finds an impact, then mitigation measures (i.e., soundwalls) should be incorporated as part of the conditions of approval of the proposed project. It should not be assumed that federal or state funding is available.
- Local jurisdictions are encouraged to consider a comprehensive Transit Oriented Development (TOD) Program, including environmentally clearing all access improvements necessary to support TOD development as part of the environmental documentation.

Thank you for the opportunity to comment on this Notice of Preparation. Please do not hesitate to contact me at 510.208.7405 if you require additional information.

Sincerely,



Beth Walukas
Deputy Director of Planning

Cc: Laurel Poeton, Assistant Transportation Planner
File: CMP – Environmental Review Opinions – Responses - 2011

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Planning, Policy and Legislation Committee

SUBJECT: 2012 Level of Service (LOS) Monitoring Study Results

Recommendations

This is an information item only. No action is requested.

Summary

Alameda CTC, in its role as the Congestion Management Agency for Alameda County, is required to conduct a Level of Service (LOS) Monitoring Study on the Congestion Management Program roadway network. Travel time data has been collected on the CMP network since 1991. Since 1998, this LOS Monitoring Study has been conducted biennially, in even number years. For 2012, the travel time data was collected during the spring of 2012. For CMP Conformity purposes, and based on the data collected, deficiency determinations were made on the CMP segments that were found to perform at LOS F. For this Monitoring Study, no new deficiencies were identified. The complete 2012 LOS Monitoring Study report is posted on the website.

Discussion

For LOS Monitoring purposes, travel time data is collected on the Tier 1 (232 miles) and Tier 2 (90 miles) roadways. Tier 1 network consists of freeways, major arterials and ramps and special segments. Tier 2 network consists of arterials and major collectors. Until 2010, data had been collected during the P.M. and A.M. peak periods on the Tier 1 network. Data collection on the Tier 2 network during both P.M. and A.M. peak periods and on Tier 1 freeways during the weekend peak period were added in 2012. Only data collected on the Tier 1 network during the P.M. peak period is used for Conformity purposes. All other data collected is used informational purposes only.

The attached Executive Summary provides a summary of the system performance and an analysis of data collected on the Tier 1 and 2 networks for different time periods, including vehicle hours of delay on freeway segments operating at LOS F. The 2012 LOS Monitoring results show that speeds generally declined on county roadways with a few improvement areas in 2012 as compared to 2010. This is likely due to the economy beginning to recover combined with construction activities across the county.

In order to see how the CMP network has been performing over the years, a trend analysis was performed using average speeds on the network (reported since 1991) and the vehicle hours of delay on the LOS F freeways (reported since 2008). Specifically, average speeds on the network over the years were compared with levels of unemployment that could influence the volume of trips on the road and vehicle miles traveled.

Comments from Planning, Policy and Legislation Committee (PPLC)

The Planning, Policy and Legislation Committee accepted the results of the study at its meeting on January 14, 2013, and made the following comments:

The Committee strongly expressed that there is a need for studying the countywide arterial network to better understand its performance and to make informed investment decisions. They stated that arterials are critical to the success of transit-oriented development and for providing multimodal connections and transportation options. They also recommended that local jurisdiction arterial operational policies in the county be identified and studied, to determine how the transportation system can be improved.

Regarding the relationship between economy (unemployment) and average speeds, the committee suggested that the correlation between these variables be explored using statistical analysis. In this regard, a regression analysis was performed, and the following observations were made:

- There is a 95 percent probability that there is a relationship between the Bay Area average unemployment rate and afternoon average freeway speeds in Alameda County. This is within the threshold generally considered sufficient for a statistically significant relationship. In other words, when all other factors remain constant, a decrease in the unemployment rate of 1 percent reduces average freeway speeds by 0.44 mph.
- There is a 56 percent probability that there is a relationship between the Bay Area average unemployment rate and afternoon average arterial speeds in Alameda County. This is well below the threshold generally considered sufficient for a statistically significant relationship. This indicates that more information is needed about congestion on Alameda County arterials.

A question was raised regarding the reasons for the Committee to be concerned about the LOS results. The response was that the results from the LOS Monitoring Study provides information about trends in terms of congestion on the county roads and helps guide where transportation investments should be made or where additional study is needed. The Committee suggested that a Department of Transportation study on the cost of congestion be reviewed to better understand various aspects and impacts of congestion. Staff will review the study and consider its recommendations in future studies.

Fiscal Impact

None

Attachments

Attachment A: 2012 LOS Monitoring Report – Executive Summary

2012 LOS Monitoring Study

Executive Summary

CONGESTION MANAGEMENT PROGRAM LEGISLATION AND LOS MONITORING

The Congestion Management Program (Program) statute, passed by the California State Legislature in 1990, requires that all elements of the Program¹ be monitored at least biennially by the designated Congestion Management Agency (CMA)². The Alameda County Transportation Commission, as the designated CMA for Alameda County, is responsible for the development of the Alameda County Congestion Management Program (CMP) which requires that Level of Service (LOS) standards be established and monitored biennially during even-numbered years on the Alameda County CMP designated roadway system ("CMP network"). The CMP network (Figure 1) includes all of the major freeways, selected ramps and special segments, arterials, and major collector roadways in Alameda County.

This report provides the background for the Alameda County LOS Monitoring Program, followed by highlights of the results from the 2012 monitoring study and how they

compare with the 2010 monitoring results, and finally long-term trend analysis using data collected over the years.

The objectives of this LOS monitoring effort are:

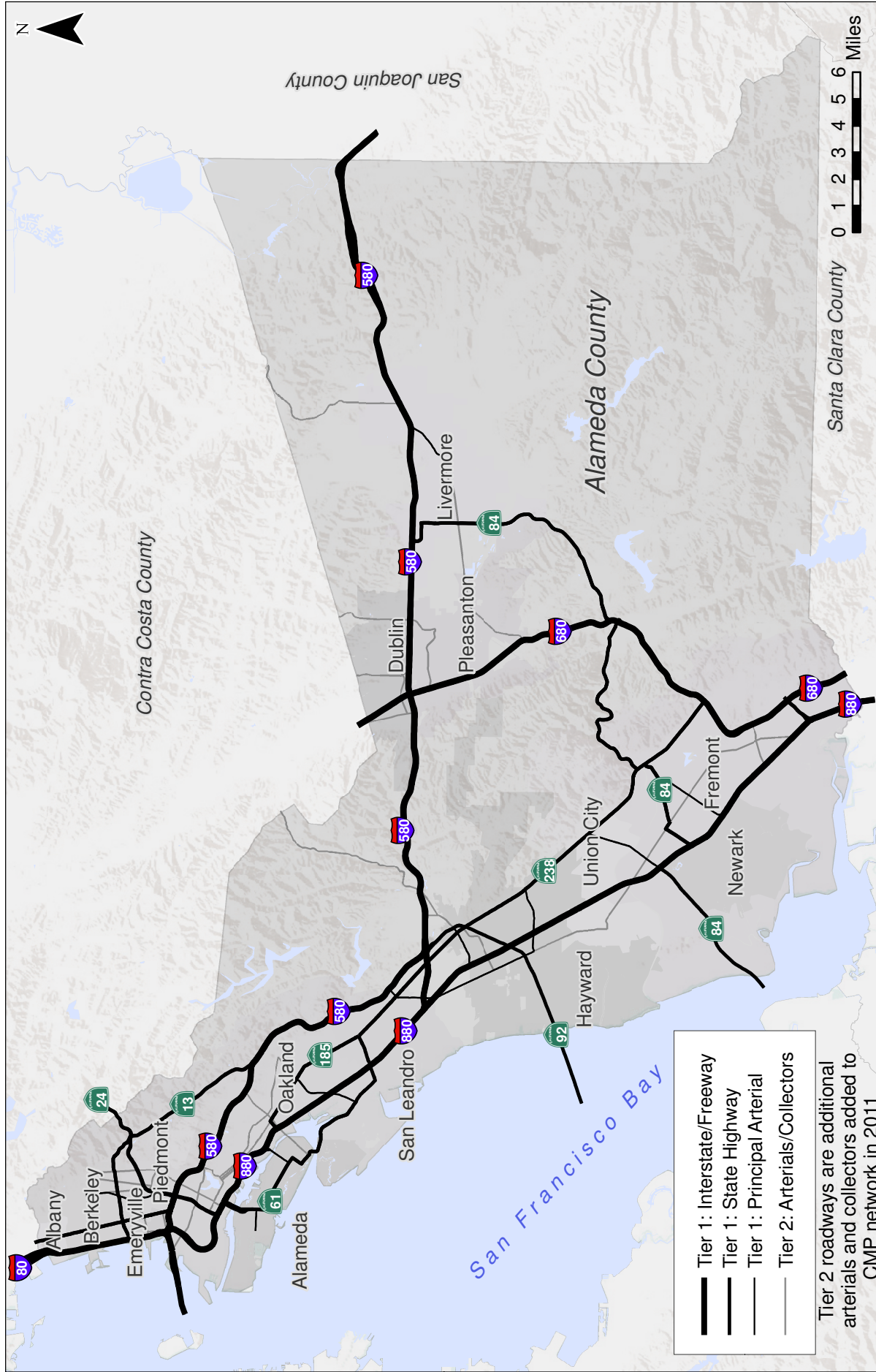
- to determine the average travel speeds and existing LOS throughout Alameda County;
- to identify those roadway segments in the County that are operating at LOS F; and
- to identify long-term trends in traffic congestion on the CMP network.

ALAMEDA COUNTY LOS MONITORING PROGRAM

Level of service on the Alameda County CMP network has been monitored since 1991. While the network was monitored every year initially, monitoring has been conducted biennially since 1998. Monitoring is done by collecting travel time data on the CMP network. This travel time data combined with the length of the roadways are used to estimate speeds on the respective roadways. The estimated speed is used to assess how well the roadways are performing.

¹ The five elements of the Congestion Management Program include: Level of Service Standards, Performance Element, Travel Demand Element, Land Use Analysis Program and Capital Improvement Program.

² The most recent Alameda County Congestion Management Program (CMP) was adopted by the Alameda County Transportation Commission on December 1, 2011. The original CMP was adopted on October 24, 1991.



Alameda County CMP System

Figure 1

The CMP Network

The CMP network consists of the Tier 1 and Tier 2 roadways as shown in Figure 1. The distinction is that only Tier 1 is used for CMP Conformity purposes as explained in the section below.

The Tier 1 network, adopted in 1991 (with an exception of a 2.5 mile segment of Hegenberger Road in Oakland), has years of data collected for this effort and includes the following:

- Approximately 232 miles of roadways and 22 freeway-to-freeway ramps and special segments (see Table 1, Appendix A).
 - Freeways – 134 miles
 - State highways – 71 miles
 - Principal arterials – 27 miles
 - Freeway-to-freeway ramps and special segments – 22

The Tier 2 network, in contrast, was added more recently to the 2011 update of the CMP network. It includes:

- Approximately 90³ miles of additional principal arterials and major collectors (see Table 2, Appendix A)

All CMP roadways are split into several segments each with uniform characteristics for the purposes of travel time data collection and speed estimation.

LOS Standards

The CMP statute requires that a level of service standard be established for the CMP network. The Alameda County LOS Monitoring Study follows the LOS speed standards based on the 1985 Highway Capacity Manual⁴. Based on these standards, the level of service is assigned ranging from A (the best or free-flow traffic)

³ In the 2011 CMP Update, the total length of the Tier 2 roadways was estimated to be 92 miles. However, as measured on the ground in 2012, the correct total length of the Tier 2 network is 89.8 miles.

⁴ As part of the 2013 CMP Update, the 2010 Highway Capacity Manual standards will be considered to be used for LOS Monitoring purposes.

to F (the poorest or stop-and-go traffic) for the roadways, using the estimated speeds from the travel time data collected as shown below:

LOS A:	Free traffic flow
LOS B:	Stable traffic flow
LOS C:	Stable traffic flow with restricted speed
LOS D:	Approaching unstable flow
LOS E:	Unstable traffic flow
LOS F:	Stop-and-go traffic

The required minimum level of service (i.e., the level of service standard) for the CMP roadways is LOS E. An exception to this LOS E standard is made for roadways that operated at LOS F during the original surveys when the 1991 “baseline” conditions were established. These roadways are “grandfathered” in at LOS F.

Except for grandfathered segments, when a CMP roadway is congested and fails to meet this standard, a deficiency plan is required to be prepared by the member agency that identifies:

- the cause of the deficiency;
- measures to improve the performance of the roadway; and
- a funding plan for the proposed improvements.

The conformance with the level of service standard is assessed biennially during the LOS monitoring years and conformance on the progress of the adopted deficiency plans is assessed annually. A member agency's State gas tax subventions may be withheld if said agency does not maintain the LOS standard or have an approved deficiency plan for roadways that fall below the LOS standard.

Monitoring for Conformance and Information

Until 2010, travel time data was collected during the P.M. (4:00 to 6:00) and A.M. (7:00 to 9:00) peak periods on the Tier 1 network. Beginning in 2012, data had also

been collected on the freeways during weekend peak period (1:00 to 3:00 P.M.) and on the Tier 2 network during both P.M. and A.M. peak periods. Only data collected on the Tier 1 network during the P.M. peak period are used for CMP Conformity purposes. All other data collected on the Tier 1 (A.M. and weekend peak periods) and on Tier 2 (P.M. and A.M.) networks are used for informational purposes only. Table 1 below shows the CMP roadways by data collection time period and the corresponding monitoring purpose.

Table 1: CMP Roadways Monitoring Periods and Purpose of Monitoring
Monitoring Purpose

		Conformity	Informational
Tier 1	Freeways P.M.	X	
	Arterials P.M.	X	
	Ramps and Special Segments P.M.	X	
	Freeways–Weekend 1-3 P.M.		X
	Freeways A.M.		X
	Arterials A.M.		X
Tier 2	Ramps and Special Segments A.M.		X
	Arterials P.M.		X
	Freeways A.M.		X

Other Travel Time Surveys

To evaluate the comparative performance of various transportation modes between selected Origin-Destination (O-D) pairs, travel time surveys are conducted for auto, transit, bicycle and HOV lane trips. These O-D pairs have been selected as either major employment centers or residential areas to simulate typical commute trips on County's major corridors. Ten O-D pairs are studied to simulate typical commute trips on the County's major travel corridors. The O-D pairs surveys began in 1996 with five pairs; over the years more locations were added. Since 2000, ten O-D pairs have been surveyed on an on-going basis.

Travel times on the three Bay bridge crossings (i.e., Bay Bridge, San Mateo Bridge and Dumbarton Bridge) that connect Alameda County to San Francisco and San Mateo Counties have been reported since 2002.

SUMMARY OF 2012 LOS MONITORING COMPARED TO 2010

Based on the 2012 monitoring results, overall speeds on county roadways have declined slightly since 2010 while speeds improved in a few areas.

The decline in overall speeds is likely due to the recovering economy combined with construction activities across the county (see below).

- Data from the Bureau of Labor Statistics (September 2012) show statewide employment improved, adding 500,000 jobs between January 2010 and July 2012.
- Notable construction activities on major roadways that likely created congestion:
 - Bay Bridge (east span construction)
 - I-880/5th Avenue (retrofit)
 - I-880/High Street (retrofit)
 - SR 238 / Foothill Boulevard (operational improvements)
 - Caldecott Tunnel (4th bore construction)
 - Hegenberger Road (Oakland Airport Connector)

Improvements observed appear to be the result of the completion of transportation projects since Spring 2010 when the CMP network was last monitored.

- Projects completed since Spring 2010:
 - I-880/SR 92 improvements
 - Eastbound I-580 HOV Lane construction in east county
 - Southbound I-680 Express Lane opening

Overall Average Speed

The overall system-wide speed for the county freeways and arterials are shown in

Table 2 below. Data were collected for the first time in 2012 for the Tier 2 arterials and freeways during the weekend peak period.

Table 2: Average Vehicle Speeds during Peak Periods on Alameda County CMP Roadways (in mph)

		2010 Results	2012 Results
Tier 1	Freeways P.M.	51.8	50.9
	Arterials P.M.	26.1	25.1
	Freeways A.M.	53.4	52.5
	Arterials A.M.	28.0	26.5
	Freeways–Weekend 1-3 P.M.	-	62.2
Tier 2	Arterials P.M.	-	25.1
	Freeways A.M.	-	24.9

Based on an average of the speeds on all CMP roads in the county, the overall average speeds decreased systemwide on freeways and arterials. This occurred during both P.M. and A.M. peak periods with decreases ranging between 0.9 to 1.5 mph. The highest decline of 1.5 mph occurred on arterials during the A.M. peak period.

LOS F Segments in 2012

The CMP roadway segments that performed at LOS F in 2012 are shown in Figure 2 (see Tables 3 and 4, Appendix A, for detail). An increased number of LOS F segments were observed between 2012 and 2010:

- Number of LOS F segments in the P.M. peak period – 39 in 2012 (35 in 2010)
- Number of LOS F segments in the A.M. peak period – 27 in 2012 (19 in 2010)

Improved LOS F Segments from the Prior Monitoring Cycle

The total number of improved segments from the previous monitoring cycle decreased from nineteen in 2010 to fifteen in 2012.

- Improved P.M. peak period segments – 11 in 2012 (10 in 2010)

- Improved A.M. peak period segments – 4 in 2012 (9 in 2010)

Table 5 in Appendix A lists the segments that performed at LOS F in 2010 and improved in 2012. These changes are discussed in more detail below.

CMP System and Corridor Performance Highlights

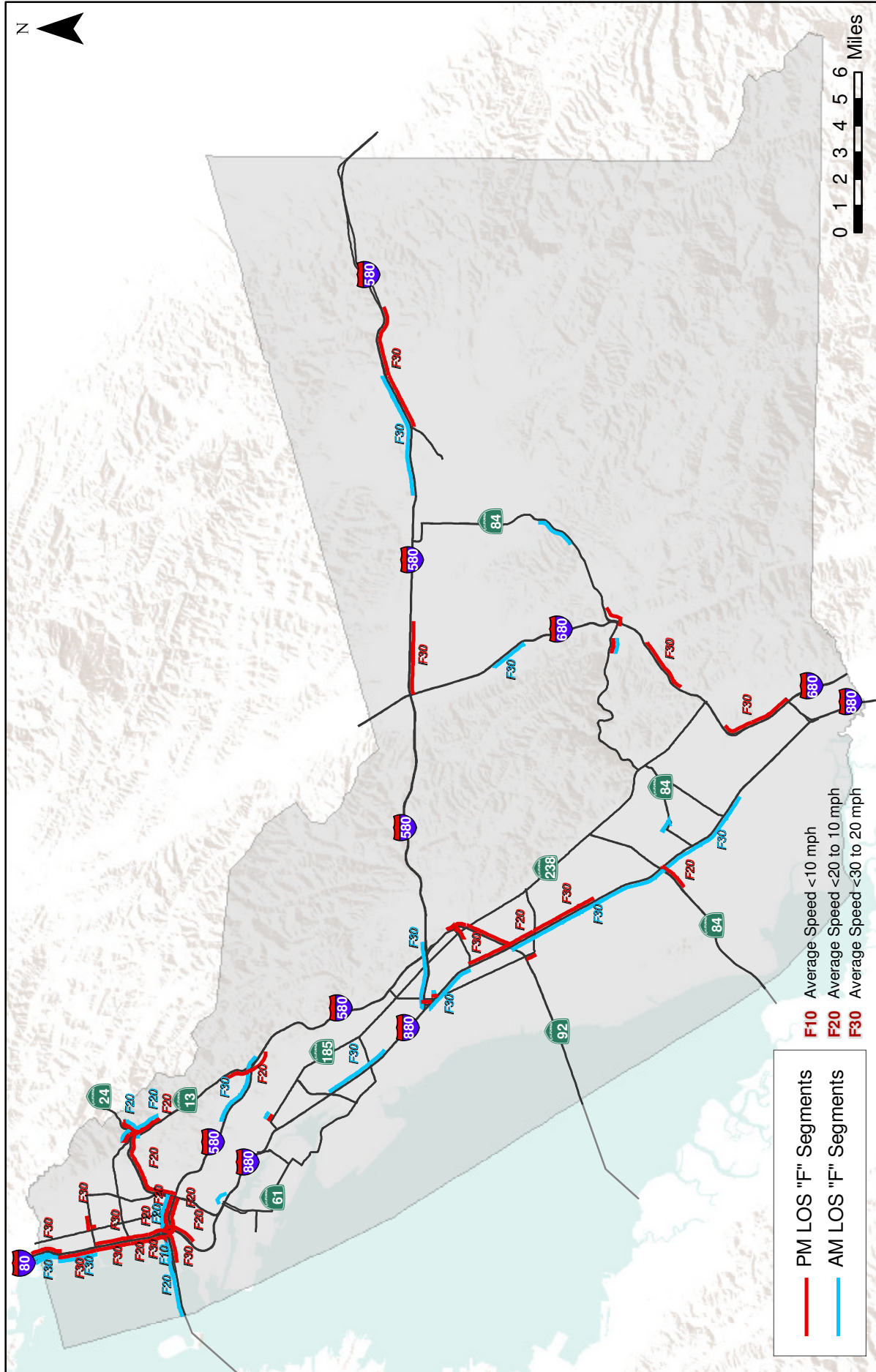
This section highlights observations about system performance and specific corridors in 2012 compared to 2010 for freeways, arterials, ramps and special segments, origin and destination pairs and the Bay bridge crossings. Figures 3 to 11 in Appendix B illustrate the level of service of the CMP network by Planning Areas for P.M., A.M. and weekend peak periods.

Freeways (Tier 1)

Weekday P.M. and A.M. periods (Figures 3 to 10 in Appendix B)

Completion of the I-880/ State Route (SR) 92 interchange improvements appeared to have improved eastbound SR 92 in the P.M. towards I-880 and a section of northbound I-880 in the South County between Decoto Road and Alvarado-Niles Road. However, it also appeared to have created an unintended secondary bottleneck on northbound I-880 in the P.M. The congested section of northbound I-880 in the P.M. (LOS F conditions in 2010) moved northward from between Decoto Road and Tennyson Road in 2010 to between Alvarado Niles and A Street past the SR 92 interchange in 2012. This could be due to the improved I-880/SR 92 interchange moving more traffic onto northbound I-880 during the peak period.

The opening of the eastbound I-580 HOV lanes in East County appeared to have lessened the intensity of congestion near the I-580/I-680 interchange. However, a new bottleneck has appeared near Greenville Road on I-580 where the HOV lane currently ends.



2012 AM and PM Peak Period Level of Service "F" Results
Countywide

Figure
2



On southbound I-680, a new congested segment was observed in 2012 in the A.M. between Bernal and Sunol Boulevards. Whether this is related to the opening of the southbound I-680 Express Lane in Fall 2010 will be known from the I-680 Express Lane Evaluation Study that is currently underway; it is expected to be completed in Spring 2012.

Reasons for these new bottlenecks are either being studied or will be investigated as described in Table 3 at the end of this summary.

Weekend Peak Period
(Figure 11 in Appendix B)

Data collection on the freeways during the weekend began in 2012, and trends will be compared with the next monitoring cycle onwards. An analysis of the speed data collected in 2012 is currently reported.

- A majority of the freeways were performing at higher speeds with mostly LOS A conditions.
- Congested segments with LOS F conditions were observed on I-80 in both directions and I-580 segments connecting to I-80, likely due to Bay Bridge construction.

Arterials (Tiers 1 and 2)

Tier 1 Arterials
(Figures 3 to 10 in Appendix B)

Many of the congested spots observed on Tier 1 Arterials in 2012 appeared to be related to construction activities occurring in Central and North County with the exception of two segments in East County.

- LOS F conditions were observed during the P.M. peak period on eastbound A Street, southbound Hesperian Boulevard, eastbound SR 92 from I-880 to Mission, and SR 238 (Foothill Boulevard). Congestion on these segments appears to be related to the SR 238 (Foothill) Improvements project.
- The LOS F condition on SR 185 (International Boulevard) near High

Street appears to be related to the High Street and 42nd Street Improvements project.

- A significant drop in speed was experienced in the A.M. peak period on westbound SR 84 for 1.6 miles from Ruby Hill Boulevard towards Vallecitos Nuclear Center. The reduction in speed was nearly 30 mph from 47.4 mph in 2010 to 18.1 mph in 2012.
- Eastbound SR 84 between Sunol Road to Pleasanton-Sunol Road experienced a decrease in speed of about 10 mph in the A.M. peak period, from 19.2 mph in 2010 to 9.3 mph in 2012. This segment has been functioning at LOS F in the P.M. peak period since 2010.

Tier 2 Arterials

Travel time data was collected for the first time in 2012 on the Tier 2 network; therefore, trends will be compared with the next monitoring cycle onwards. Only speeds were reported in 2012, instead of the typical LOS designations, because free-flow speed studies have not been done. Free-flow speed studies, which are required to determine the classification of the roads to assign a level of service designation, will be done in 2014. Upon completion of these studies, LOS designations will be assigned.

- North County had a higher number of Tier 2 arterial segments operating at the lower speed range of 10 to 20 mph compared to other areas of the county—reflective of its dense urban development.
- Westbound Broadway between 14th and 5th Streets during the P.M. peak period experienced a speed of 8.3 mph. This is the lowest speed of all of the Tier 2 Arterial segments in both time periods. This is consistent with traffic conditions in typical downtown areas that have multimodal characteristics.
- Roadways in East County that traverse the County line generally recorded higher speeds of over 40 mph. The highest speed of 56.4 mph was observed

on southbound Vasco Road crossing the County line in the P.M. peak period.

Ramps and Special Segments (Tier 1)

Twenty-two Freeway-to-Freeway ramps and special segments are monitored in 2012. These include ramps on all major freeway interchanges in the county (I-80/I-580, I-880/SR 238, SR 13/SR 24 and I-580/I-680) and the Posey and Webster tubes connections with I-880.

Based on the data collected in 2012, speeds generally declined on the ramps and special segments as compared to 2010. The one exception was in Central County on the I-880/I-238 interchange.

- Speeds increased on westbound I-238 to northbound I-880 in the P.M. by 19 mph from 2010 to 2012. Reasons for this improvement are not clear.

Origin and Destination Travel Times

For the Origin and Destination pairs and Bay bridge crossings, only travel time data instead of speed is reported as travel time is more easily compared between various modes of travel. Data are collected by more than one mode for the O-D pairs and from an external source for the bridges.

Origin and Destination Pairs

Data are reported for six O-D pairs in 2012. All pairs show a general increase in transit travel times and slight decrease in auto travel times except for travel times between Fremont and San Jose.

- Travel time between Fremont and San Jose by general purpose and HOV lanes either increased or stayed the same in 2012 as compared to 2010.

Bay Bridge Crossings

A comparison was made between the 2009⁵ and 2012 data for the three bridges using data from MTC's 511.org database. Travel

⁵ 2009 data was used consistent with data included in the 2010 LOS Monitoring Report.

time across the bridges in general has increased in both directions and during both peak periods with the exception of San Mateo Bridge.

- The San Mateo Bridge shows improvement in both directions during the P.M. peak period. The eastbound trip shows the highest travel time reduction of 19% (16.5 minutes in 2009 to 13.4 minutes in 2012), likely due to the completion of the I-880/SR 92 improvements.

OBSERVED GENERAL TRENDS

Based on the data collected since 1991 for the LOS Monitoring studies, trends in Alameda County roadway performance have been observed using two measures: vehicle hours of delay and average speeds on the CMP network. Vehicle hours of delay have been reported since 2008 while average speeds on the CMP network have been reported since 1991.

Vehicle Hours of Delay

Since 2008, vehicle hours of delay (VHD) for the LOS F freeway segments were reported to highlight the estimated delay due to the congestion on county freeways. This estimation captures the core delay occurring on the CMP freeways during the 2-hour peak period when the CMP network is monitored.

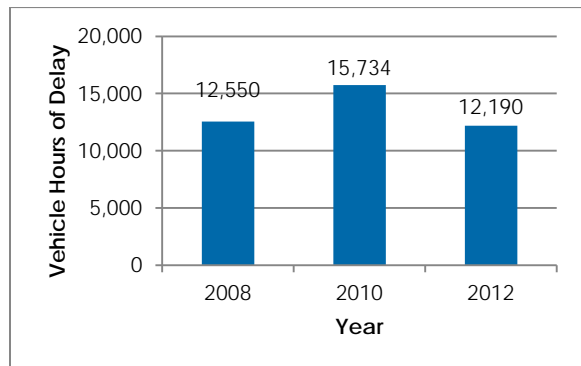
VHD During the P.M. Peak Period

Chart 1 shows the total VHD occurring during the P.M. peak period on the LOS F freeway segments since 2008.

The VHD for the P.M. peak period shows a reduction of 3,544 from 2010, with a delay of 12,190 in 2012 compared to 15,734 in 2010. Two projects likely contributed to this decrease: I-880/SR 92 improvements and eastbound I-580 HOV lanes. These projects were under construction in 2010 but were completed when 2012 monitoring was performed:

- Eastbound SR 92 near I-880 showed an estimated VHD of 1,980 in 2010, which was eliminated in 2012.
- Eastbound I-580 in the East County showed an estimated VHD of 969 in 2012 compared to 4,328 in 2010, a reduction of 3,359 VHD.

Chart 1: Vehicle Hours of Delay in LOS F Segments During the P.M. Peak Period



The combined VHD reduction from 2010 to 2012 between these two corridors is 5,339, which is considerably higher than the systemwide decrease in VHD of 3,544 experienced on the countywide CMP freeways in 2012 compared to 2010. Also, the reduced VHD during the P.M. peak period could be attributed to a greater number of improved segments reported during the P.M. peak commute direction, likely due to completed projects.

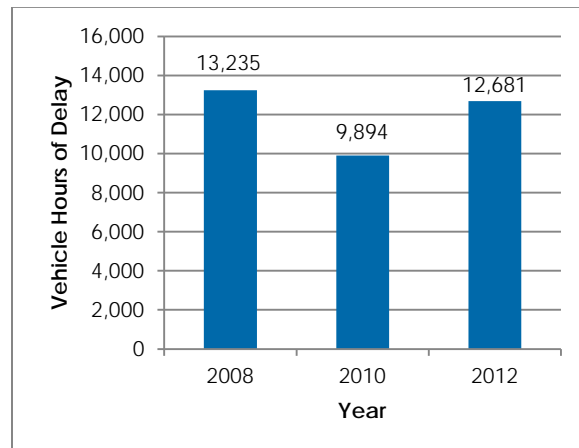
VHD During the A.M. Peak Period

Chart 2 illustrates the estimated total VHD on the LOS F freeway segments during the A.M. peak period since 2008.

Unlike the VHD reduction seen during the P.M. peak period LOS F segments, the estimated total VHD on the LOS F freeway segments during the A.M. peak period increased from 9,894 hours in 2010 to 12,681 hours in 2012. This trend is consistent with the general decreased speed experienced on the roadway system in 2012 compared with 2010. So while overall systemwide congestion has increased between 2012 and 2010, most of those

congestion increases seem to be attributable to the A.M. peak period.

Chart 2: Vehicle Hours of Delay in LOS F Segments During the A.M. Peak Period



Average Speeds on the CMP Network and Relationship to Jobs and Vehicle Miles Traveled

Average speeds during the P.M. peak period for the Tier 1 freeways and arterials have been reported since 1991. Comparative analyses were performed using the average speeds over time and other external factors such as unemployment (indicator for jobs) that would impact the volume of traffic on the roadways and vehicle miles traveled (VMT) (vehicle throughput). The intent of the analysis was to see how the roadways are performing during the fluctuations of the economy as well as to measure the effectiveness of the congestion management activities (projects and programs) implemented on the county roadways.

Chart 3 illustrates that a general correlation exists between the average speeds on the county freeways and the jobs in the Bay Area. When unemployment goes up (i.e., fewer jobs in the region), less traffic is expected to be on the road, thus average speed goes up. However, no correlation appears to exist between the average speeds on arterials and employment as shown in Chart 4. This also indicates the need to

study the county arterials to better understand their performance.

Chart 3: Average Freeway Speeds and Unemployment

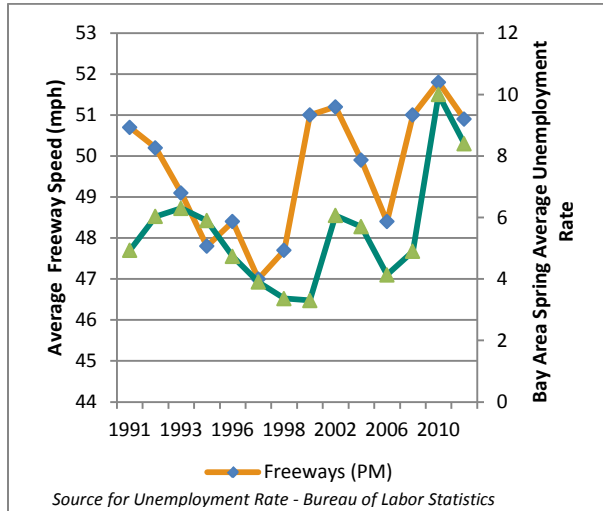
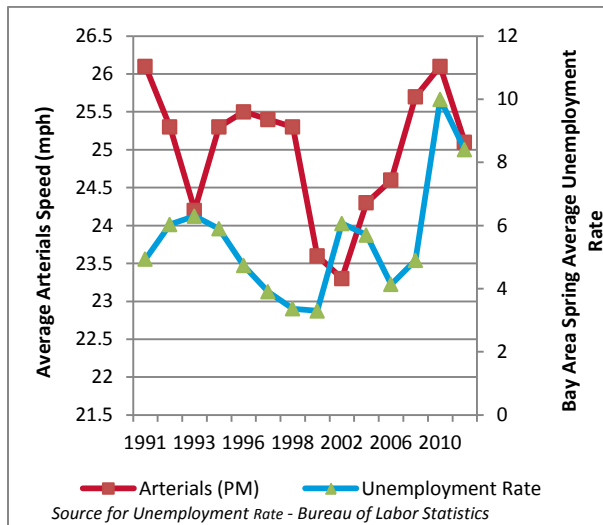


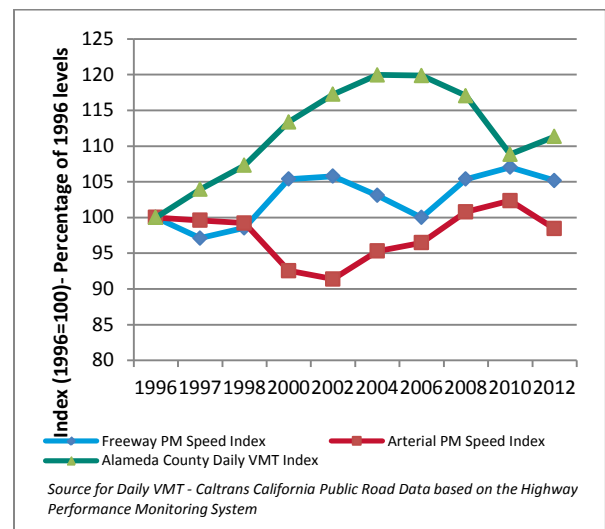
Chart 4: Average Arterial Speeds and Unemployment



Based on Caltrans' California Road Data, VMT on the Alameda County roadways increased from 32.8 million in 1996 to 36.5 million in 2011 (2011 data is the most recent estimation and is plotted for 2012 in the chart). The highest throughput of 39.4 million VMT was experienced in 2004.

Chart 5 illustrates that the speeds on the CMP roadways have been somewhat stable since 1996 fluctuating only within 10 percentage points despite the 20% increase experienced in VMT between 1996 and 2012. This could be the result of various congestion management activities undertaken in the county through planning and implementation of various programs and projects.

Chart 5: Average Speeds on the CMP Roadways in the P.M. and Increased Road Usage



PLANNED IMPROVEMENTS RELATED TO THE CONGESTED ROADWAYS AND NEXT STEPS

Table 3 lists the projects and improvements underway, planned, or being studied on identified congested roadways. For projects under construction, the level of improvement will be maintained in the next LOS monitoring cycle. Also identified are the segments that are currently operating at LOS F where additional study is needed to determine the cause.

Table 3: Impacted Segments with LOS F in 2012 and Options for Potential Improvements

<i>Construction Underway or Completed Recently</i>	
I-80 segments	Bay Bridge construction and recently started I-80 ICM project
SR 24 segments	Caldecott Tunnel 4 th Bore project
I-880 segments in the North and Central County	I-880/5 th Avenue Retrofit I-880/High Street Improvements SR 238 (Foothill) Improvements
<i>In Project Development Phase/Programmed/Planned/Being Studied</i>	
I-880 Segments	I-880 Integrated Corridor Management
Northbound I-680	HOV/HOT lane implementation
Eastbound and Westbound I-580 in East County	HOV to HOT lane conversion Eastbound truck climbers lane
-Southbound I-680 north of SR 84 -Eastbound SR 84 near Sunol	I-680 Express Lane Evaluation (After) Study
Eastbound SR 84 near Vallecitos Nuclear Center	Route 84 Express Way Safety Improvements by Caltrans (SHOPP) Truck Climbing Lanes on Pigeon Pass Improvements identified in the Triangle Study
<i>To be Investigated</i>	
Northbound I-880 congestion near SR 92 interchange	Central and South County LATIP projects
Eastbound I-580 congestion near Greenville Road	Eastbound truck climbing lane

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Planning, Policy and Legislation Committee

SUBJECT: **Approval of the 2013 Countywide Travel Demand Model Update Process and Authorization to Execute a Contract with the Santa Clara Valley Transportation Authority**

Recommendation

It is recommended that the Commission approve the 2013 Alameda Countywide Travel Demand Model Update work to be performed by the Santa Clara Valley Transportation Authority (VTA) and authorize the Executive Director of the Alameda CTC to execute a professional services agreement with the VTA in accordance with procurement procedures for a not to exceed contract amount of \$175,000.

Summary

The CMP legislation requires that the countywide travel demand model land use and socioeconomic database be consistent with the most recent database developed by the Regional Planning Agency, which is the Association of Bay Area Governments (ABAG). The last published land use and socioeconomic database from ABAG is Projections 2009, which is incorporated into the currently active countywide model. ABAG is in the process of finalizing the updated land use and socioeconomic database, now called the Sustainable Communities Strategy (SCS), developed in response to SB 375. The SCS is scheduled to be adopted by the Metropolitan Transportation Commission (MTC) and ABAG in June 2013. The countywide model is due for a comprehensive model update, incorporating the soon to be finalized SCS from ABAG and the 2010 census as well as updating the base year from 2000 to 2010 to be consistent with the 2010 census. The Alameda CTC is looking to VTA's modeling team to update the model in view of the potential benefits of interagency information sharing, partnership on projects and cost efficiencies. The cost for the update is estimated to be an amount not to exceed \$175,000. Upon completion of the model update, future maintenance and on-call modeling work related to the updated model will be done by a team of on-call consultants, who will be established through the procurement process by releasing a Request for Proposals.

Discussion

As the Congestion Management Agency (CMA) for Alameda County, Alameda CTC is responsible for carrying out the Congestion Management Program (CMP) responsibilities. The CMP legislation requires that a countywide travel demand model be developed and maintained by the CMA and that the model be consistent with the land use and socioeconomic database developed and the modeling methodology adopted by the Regional Planning Agency. In the Bay Area, MTC maintains the regional travel demand model for the nine county Bay Area region, while ABAG develops the land use and socioeconomic database for the region. The existing Alameda countywide model incorporates

Projections 2009, the last published land use and socioeconomic database by ABAG. As required by SB 375, ABAG has collaborated with the local jurisdictions and CMAs in the region to develop the next land use and socioeconomic database, the SCS, which will be adopted as part of the Regional Transportation Plan in June 2013.

In addition to the update incorporating the SCS land use and socioeconomic database, the existing model needs to be updated in the following key areas:

- incorporating the 2010 census data
- updating the base year of the model to correspond with the census year
- changing the long term forecast year from 2035 to 2040
- improving the model sensitivity to bicycling and walking
- updating roadway and transit network assumptions
- calibration and validation of the model

VTA's countywide travel demand model has the same model structure and uses the same model platform as that of Alameda CTC. It uses Cube software and was developed from the MTC's prior version (trip-based) model called BAYCAST, similar to Alameda CTC's current model. VTA has recently developed a model for the San Mateo County of Governments (C-CAG) by both using VTA's model structure and also sharing their data. In view of this precedence and other potential benefits such as information sharing, partnership on projects (BART extension to San Jose, I-680 and SR 237 Express Lanes), cost efficiencies and improved model sensitivity for the trips between Alameda County and Silicon Valley, the option of using VTA's in-house modeling team to perform the Alameda countywide model update was explored. It was found that the team has staff resource availability to perform the model update. The proposed schedule for the update is one year, from approximately March 2013 to March 2014. The cost for the update is estimated to be a maximum of \$175,000.

The Alameda CTC does not have an in-house staff to maintain the countywide travel demand model or to provide services using the model. Consultant services are used for this purpose. Currently, the Alameda countywide model maintenance and on-call modeling service has been awarded to Kittelson & Associates, Inc. Upon completion of the model update, future maintenance and on-call modeling work related to the updated model will be done by a team of on-call consultants, who will be established through the procurement process by releasing a Request for Proposals.

Comments from Planning, Policy and Legislation Committee (PPLC)

The Planning, Policy and Legislation Committee recommended approval of this item at its meeting on January 14, 2013, and made the following comments:

The selection of the on-call consultants for future maintenance and use of the model should be done concurrently with the selection of the model update consultant to create both a better understanding of the model features by the on-call consultant teams and a seamless transition into the maintenance and use of the model. Regarding the task on "improving sensitivity of the model to bicycling and walking", the difference between recreational and commute bicycle and walking trips, and how they compare to other modes should be considered in the model development. Also, travel demand between Alameda and San Joaquin Counties in future years should be reviewed more closely and validated for reasonableness.

Fiscal Impacts

The budget of \$175,000 to update the model is included in the Alameda CTC's consolidated fiscal year 2012-2013 budget.

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Planning, Policy and Legislation Committee
I-680 Sunol Smart Carpool Joint Powers Authority

SUBJECT: **Approval of Contract Amendment #1 for the Southbound I-680 Express Lane Evaluation “After” Study**

Recommendation

It is recommended that the Commission approve Amendment No. 1 to the current professional services agreement (#A12-0026) with Kittelson & Associates, Inc. to increase the contract amount by an amount not to exceed \$21,000. The amendment is needed to add tasks to the Southbound I-680 Express Lane Evaluation “After” Study scope of work to provide analysis to estimate corridor performance benefits resulting from any alternative corridor geometric improvements.

Summary

The Alameda CTC is required to comply with statutory project evaluation requirements as part of administration and operations of the southbound I-680 Express Lane, which opened to traffic in September 2010. The Alameda CTC collected the “Before” Study transportation data in the I-680 corridor during the Fall of 2008 before the construction and implementation of the southbound I-680 Express Lane occurred, and finalized the results in a report entitled: *Alameda I-680 Express Carpool Lane Project – Before Study and Existing Conditions*, dated April 2009. In order to meet the three-year requirement for an evaluation of operations and to report back to the Legislature on the demonstration project by June 30, 2013, “After” Study work on the Express Lane corridor began in Fall 2012. Based on the selection process, Kittelson Associates Inc. was awarded the contract to perform the “After” Study for an amount of \$178,966. The “After” Study work began in September 2012 and a study report is scheduled to be presented to the Commission and JPA in early 2013. The scope of work in the contract includes a task for a geometric operational improvement analysis. An enhancement to this task is needed to provide additional quantitative analysis to estimate corridor performance benefits resulting from alternative corridor geometric improvements. The cost for this additional work is estimated to be an amount not to exceed \$21,000.

Discussion

The Alameda I-680 Express Carpool Lane Project – “Before” Study and Existing Conditions Report, dated April 2009, presents the goals, objectives and evaluation results for the I-680 Express Carpool Lane project pre-construction and operation (“Before” Study) and establishes procedures for an “After” Study to be completed no later than three years after the southbound I-

680 Express Lane is open to traffic as required by AB 574 (Torrico). The southbound I-680 study corridor for the “Before” Study is from SR 84 in Alameda County to SR 237 in Santa Clara County and for the “After” Study the northern study limit is extended to cover from Stoneridge Drive to SR 237.

The goals of the before and after evaluation are to optimize the HOV/HOT lane usage to improve traffic throughput in the corridor, maintain a level of service C or better for all Express Lane users and improve highway and transit in the corridor with revenues generated. The Evaluation Plan identified in the “Before” Study describes data needed, performance measures and evaluation methods that were applied to the “Before” evaluation and will be applied to the “After” evaluation to determine how well the goals are met. A control corridor, northbound I-680 between Alcosta Boulevard in San Ramon to Livorna Road in Alamo, was also defined in addition to the study corridor to help determine if any changes in travel behavior are due to the Express Lane or to other travel trends in the San Francisco Bay Area.

The current scope of work for the “After” Study includes a task to perform a Geometric Operational Improvement Analysis. Under this task, the consultants will evaluate the Express Lane ingress/egress locations and whether they led to any localized decrease in performance of the study corridor. If the evaluation indicates that the Express Lane ingress and egress locations are resulting in unintended localized bottlenecks and/or illegal maneuvers, recommendations will be made for the geometric and operational improvements that would minimize those bottlenecks and illegal maneuvers. The potential effects of the recommended improvements will be qualitatively presented in the study report. An added task is proposed to develop a micro simulation model (CORSIM) that can respond to what-if scenarios and to quantify the benefits of any alternative geometric improvements. Two alternative ingress/egress scenarios will be analyzed under this added task. The additional deliverable from this task will be quantitative measures of effectiveness for the I-680 corridor without and with recommended geometric improvements. The cost for this added task is estimated to be an amount not to exceed \$21,000.

Work for the “After” Study began in September 2012. Field data collection was completed in October and data analysis is currently in progress. The evaluation will be completed by January 31, 2013. An Evaluation Report will be presented to this Committee in February or March 2013 for approval of the Commission and JPA so that a report can be prepared and sent to the Legislature by June 30, 2013.

Comments from Planning, Policy and Legislation Committee (PPLC)

The Planning, Policy and Legislation Committee recommended approval of this item at its meeting on January 14, 2013, and made the following comment:

The Southbound I-680 After Study report should include details about the existing lane performance and violations occurring on the Express Lane.

Fiscal Impacts

The budget of \$21,000 for the additional scope is included in the I-680 Southbound Express Lane Operating Budget for FY 2012-13.

Attachments

Attachment A: Scope of Work and Estimate for the Additional Task



MEMORANDUM

Date: December 14, 2012 Project #: 12797

To: Ms. Saravana Suthanthira
Alameda County Transportation Commission
1333 Broadway, Suite 220
Oakland, CA 94612

From: Allen Huang, Mike Aronson, Pratyush Bhatia,
Project: Overall Evaluation Services for I-680 Express Lane Project
Subject: Scope of Work for Optional Task

This memorandum provides the scope of work for one optional task to support the work for Overall Evaluation Services for the I-680 Express Lane project. This task includes additional quantitative evaluation to support the Geometric Operational Improvement Evaluation (Task 7) of the scope of work dated September 27, 2012 that has been approved by Alameda CTC.

The scope for optional tasks dated October 15, 2012 has been revised to include only one optional task, the quantitative analysis of recommended geometric improvements. The scope for that task has been modified to provide quantitative analysis of two alternative improvement recommendations rather than one.

OPTIONAL TASK O1: QUANTITATIVE ANALYSIS OF RECOMMENDED GEOMETRIC IMPROVEMENTS

Task 7: Geometric Operational Improvement Analysis in the Kittelson and Associates scope of work dated September 27, 2012 includes the following subtasks:

- 7.1: Meet to assess issues and concerns related to the express lane ingress/egress locations and localized decreases in performance.
- 7.2: Evaluate existing ingress/egress operations and violations, and recommend geometric and operational improvements that would minimize bottlenecks and illegal maneuvers. The potential effects of the recommended improvements will be discussed qualitatively.
- 7.3: Technical memorandum on observations and recommendations.
- 7.4: Meeting and final memorandum.

Optional Task 1 would supplement Task 7 in the September 27, 2012 scope of work. This optional task will include additional quantitative analysis to evaluate and document the potential benefits of the recommended geometric improvements or modifications to ingress/egress locations, if improvements are warranted based on the evaluation. The additional deliverable from this task will be quantitative measures of effectiveness for the I-680 corridor without and with recommended geometric improvements.

If a need for Express Lane revisions is identified by the evaluation of existing operations, KAI will use a combination of the CORSIM and FREQ software tools to help quantify the effects of recommended revisions. The FREQ model used for the I-680 Before and After corridor operations analysis is a macroscopic (vehicles and lanes are evaluated as groups) simulation model that does not specifically evaluate traffic operations based on individual driver behavior or individual freeway lanes. In FREQ, freeway segment capacities are specified by the user as assumed inputs. If a need for modifications to the ingress and egress locations is identified, these modifications would be expected to improve freeway operations by reducing the capacity impacts of weaving and merging operations. However, the FREQ model will not be able to independently determine the potential change in capacity associated with those ingress and egress modifications. Therefore, we propose to develop focused CORSIM microsimulation models to quantify the changes in capacity in selected critical freeway segments. The FREQ model can then use the modified segment capacities from the CORSIM simulations as input to provide measures of effectiveness for the entire corridor.

Since the peak commute in the southbound direction is in the AM peak, we propose to conduct this optional task for the AM peak period only. During the PM peak period, this corridor is mostly in free flow conditions, therefore, modifying capacity would not result in significant changes in traffic operations.

Task O1.1 CORSIM Simulation of Existing Conditions

KAI will develop focused CORSIM simulation models on two selected segments of southbound I-680:

1. I-680 southbound from a logical location north of the SR 84 merge to south of the Andrade off-ramp, to evaluate the effects of potential ingress modifications at the north end of the Express Lane.
2. I-680 southbound from a logical location north of the Auto Mall/Durham off-ramp to south of SR 262/Mission, to evaluate potential ingress/egress modifications.

Based on discussions with stakeholders, the analysis of these two segments should capture the critical locations for potential ingress/egress modifications. The information derived from these two segments can be used to provide modifications to the FREQ model of the full corridor and provide performance measures for the entire corridor.

This scope assumes that KAI will not conduct a comprehensive model calibration and validation. KAI will conduct a reasonableness check of the CORSIM model output in comparison with observed conditions and FREQ performance output for the existing ingress and egress configuration in terms of bottleneck locations, queues and throughput. The CORSIM model assumptions will be adjusted for up to 10 runs to improve the comparison of simulated to observed conditions. Up to 16 person-hours have been allocated for the reasonableness checking and adjustment.

Task O1.2 CORSIM Simulation of Recommended Improvements

KAI will modify the CORSIM model for recommended changes to ingress and egress configurations. We will compare model differences in terms of volume throughput, speed and density. We will compute the potential changes in corresponding freeway segment capacities based on CORSIM simulated results.

This scope includes CORSIM evaluation of two alternative configurations. These may include revised or additional controlled ingress/egress locations, and/or continuous access to the Express Lane.

The capacity adjustments will be reviewed by Alameda CTC and KAI will adjust the analysis assumptions once based on comments provided by Alameda CTC.

Task O1.3: FREQ Corridor Evaluation of Recommended Improvements

The FREQ corridor model will be modified to match the corresponding ingress and egress configurations. The modifications may include an extension of the FREQ model north of SR 84 to include the full effects of operational improvements at the north end of the Express Lane. The changes in capacity from the CORSIM analysis will be input into the FREQ model to evaluate corridor operational effects with modified ingress and egress locations. Performance measures (MOEs) will be extracted and reported from FREQ simulated results. These performance measures can be compared directly to the corridor performance measures used for the Before and After evaluation of the Express Lane. The FREQ analysis will be completed for two alternative configurations.

Task O1.4: Documentation of Quantitative Evaluation of Geometric Improvements

KAI will document the methodology and findings of the additional quantitative analysis in the Draft and Final technical memorandum that will be prepared under Task 7.3 of the overall scope of work. Additional data and FREQ and CORSIM input and output files will be provided to Alameda CTC in electronic format.

BUDGET

Table 1 shows the breakdown of hours and cost for the optional tasks. Optional Task 1 would require 148 person-hours and \$20,736.

Table 1: Optional Tasks Hours and Cost

Prime Consultant: Kittelson & Associates/Dowling																	Project Summary					
	Job Classifications (Individuals' names are optional)	DATA ENTRY SECTION					CALCULATION SECTION					CALCULATION SECTION										
		Technical Advisor/QA	Project Principal	Project Manager	Associate Engineer	Transportation Analyst	Hours	Escalated Direct Labor or NBR \$	Direct Expenses	TOTAL COST	Hours	Escalated Direct Labor or NBR \$	Direct Expenses	Total Cost	Cost + Profit	% of Total Non-Contingency Labor Costs						
Task #	Direct Salary Rate (Average, Actual, Max) for Current Year Annualized Direct Salary Rate (or enter Negotiated Billing Rate)	Mark Bowman	Mike Aronson	Allen Huang	Kevin Chen	Jorge Barrios																
		\$220.97	\$197.51	\$160.20	\$154.26	\$100.26																
		\$220.97	\$197.51	\$160.20	\$154.26	\$100.26																
		Fully Burdened Billing Rate	\$220.97	\$197.51	\$160.20	\$154.26	\$100.26															
NON-CONTINGENCY TASKS/DELIVERABLES																						
1	Analysis and Evaluation of Recommended Geometric Improvements	6	2	20	70	50	148	\$20,736	\$0	\$20,736	148	\$ 20,736	-	\$ 20,736	\$ 20,736	100.0%						
1.1	CORSIM Model of Existing Access/Ingress			4	28		32	\$4,960	\$0	\$4,960	32	\$ 4,960	-	\$ 4,960	\$ 4,960	23.9%						
1.2	CORSIM Model of Recommended Improvements	4		8	30	30	72	\$9,801	\$0	\$9,801	72	\$ 9,801	-	\$ 9,801	\$ 9,801	47.3%						
1.3	Run FREQ with revised capacity			4	8	16	28	\$3,479	\$0	\$3,479	28	\$ 3,479	-	\$ 3,479	\$ 3,479	16.8%						
1.4	Document Analysis Results	2	2	4	4	4	16	\$2,496	\$0	\$2,496	16	\$ 2,496	-	\$ 2,496	\$ 2,496	12.0%						
TOTAL Non-Contingency Tasks/Deliverables		6	2	20	70	50	148	\$20,736	\$0	\$20,736	148	\$ 20,736	-	\$ 20,736	\$ 20,736	100%						
CONTINGENCY TASKS/DELIVERABLES																						
TOTAL Contingency Tasks/Deliverables		0	0	0	0	0	0	\$0	\$0	\$0	0	\$ -	\$ -	\$ -	\$ -	-						
TOTAL Non-Contingency + Contingency Tasks/Deliverables		6	2	20	70	50	148	\$20,736	\$0	\$20,736	148	\$ 20,736	\$ 20,736	\$ 20,736	\$ 20,736	20,736						



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Planning, Policy and Legislation Committee

SUBJECT: **Approval of a Resolution of Local Support for Federal Funding for the Alameda CTC's Sustainable Communities Technical Assistance Program**

Recommendation

It is recommended that the Commission approve the attached Resolution of Local Support, as required by MTC for the federal STP funding provided by MTC Resolution 4035 for PDA planning and implementation.

Summary

Alameda CTC has approved the use of \$3.905 million of federal STP funding for PDA planning and implementation, made available through MTC Resolution 4035, for the implementation of the Alameda CTC's Sustainable Communities Technical Assistance Program (SC-TAP). An RFQ is scheduled to be released in January 2013 and a detailed scope of services and funding plan for the SC-TAP is to be presented to the Commission in February 2013. Prior to approving the programming of the federal funds, MTC requires a board-approved resolution of local support, which includes commitments to complete the project and provide the required minimum local match funding.

Discussion

The Alameda CTC will administer the \$3.905 million of federal funds for local PDA planning and implementation through its newly created Sustainable Communities Technical Assistance Program (SC-TAP). An initial task to implement the program will include issuing a Request for Qualifications (RFQ) in January 2013 for consultants or consultant teams to provide a wide range of planning, project development and other technical assistance activities to support PDA planning and implementation. As part of the program, jurisdictions will apply for consultant services for specific projects or for consultant in-house support for a fixed amount of time in order to complete a specific planning, environmental review or project development task. The services to be performed by the selected consultants or consultant teams will be developed with the Alameda CTC and project sponsors. Planning, project development and other technical support needs may include but are not limited to multimodal access, design, parking, infrastructure, developing mitigation strategies for air emissions, addressing potential sea level rise, outreach and education, and economic analyses. The consultants will perform work directly for project sponsors; however, the Alameda CTC will assume all contract administration and oversight responsibilities, thus reducing the administrative burden for local jurisdictions.

As part of the application for STP/CMAQ funding, MTC requires a resolution adopted by the implementing agency stating: (1) commitment of required matching funds (minimum 11.47% for federal funds, about \$505,934 for this program); (2) that funding is fixed at the programmed amount, and the project sponsor is responsible for funding cost increases; (3) that the project will comply with the procedures, delivery milestones and funding deadlines specified in the MTC project delivery policy (MTC Resolution No. 3606); (4) the assurance of the sponsor to complete the project as described in the application; and (5) that the project will comply with all project-specific requirements as set forth in the MTC Resolution 4035. To allow for MTC's advance approval of the PDA planning funds for the SC-TAP program, ahead of the approval of the overall OBAG program in the summer of 2013, an approved resolution is due to MTC by the end of January 2013.

Fiscal Impact

The programming of the \$3.905 million of federal STP funding is scheduled for approval by MTC in February 2013 followed by approval in the Federal Transportation Improvement Program (TIP) document and FHWA authorization. Upon MTC approval, the necessary budget for the associated professional services contracts and local matching funding will be included in the Alameda CTC's FY 2012-2013 budget. The \$505,934 of required local matching funds will be identified in the future and included in the program scope and funding plan scheduled for consideration by the Commission in February 2013.

Attachments

Attachment A: STP/CMAQ Resolution of Local Support

**Resolution of Local Support
MTC Discretionary Funding
Resolution No. 13-XXX**

**Authorizing the filing of an application for funding assigned to MTC and
committing any necessary matching funds and stating the assurance to complete the project**

WHEREAS, the Alameda County Transportation Commission (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for \$3.905 million in funding assigned to MTC for programming discretion, including but not limited to federal funding administered by the Federal Highway Administration (FHWA) such as Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding and/or Transportation Alternatives (TA) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the Sustainable Communities Technical Assistance Program (herein referred to as PROJECT) for the Regional Priority Development Activities (PDA) Planning (herein referred to as PROGRAM); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP 21) authorize various federal funding programs including, but not limited to the Surface Transportation Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives Program (TA) (23 U.S.C. § 213); and

WHEREAS, state statutes, including California Streets and Highways Code 182.6 and 182.7 provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal funds for a project shall submit an application first with the appropriate MPO for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of federal funds; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a resolution adopted by the responsible implementing agency stating the following:

1. the commitment of any required matching funds of at least 11.47%; and
2. that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
3. that the project will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
4. the assurance of the sponsor to complete the project as described in the application, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
5. that the project will comply with all project-specific requirements as set forth in the PROGRAM; and
6. that the project (transit only) will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 for continued funding; and be it further

RESOLVED that the APPLICANT by adopting this resolution does hereby state that:

1. APPLICANT will provide \$505,394 in matching funds; and
2. APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
3. APPLICANT understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation projects, and has assigned, and will maintain a single point of contact for all FHWA-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans and FHWA on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA-funded transportation projects implemented by APPLICANT; and
4. PROJECT will be implemented as described in the complete application and in this resolution and, if approved, for the amount approved by MTC and programmed in the federal TIP; and
5. APPLICANT and the PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and
6. APPLICANT (for a transit project only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866, revised; and therefore be it further

RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and be it further

RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED that APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC's federal TIP.



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: Measure B Paratransit Program -- Approval of the Measure B-funded Cycle 5 Gap Grant Program Gap Grant Cycle 5 Program

Recommendation

It is recommended the Commission approve the following actions relating to the establishment of the Measure B Special Transportation Program for Seniors and People with Disabilities (Paratransit) Gap Grant Cycle 5 Program:

- Approval of Paratransit Gap Grant Cycle 5 Program Guidelines;
- Approval of the Revised Implementation Guidelines for the Special Transportation Program for Seniors and People with Disabilities; and,
- Approval of \$140,000 of Measure B Paratransit Gap Grant Program funds for the FY 13/14 and FY 14/15 operations of the Hospital Discharge Transportation Service (HDTs) and Wheelchair & Scooter Breakdown Transportation Service (WSBTS) Program and to authorize the Executive Director or his designee to procure and execute all agreements and contracts required to continue the HDTs/WSBTS program.

Summary

The 2000 Transportation Expenditure Plan (TEP) provides funds for services mandated by the Americans with Disabilities Act (ADA), non-mandated services to improve transportation for individuals with special transportation needs, and discretionary grant funds to reduce differences that might occur based on the geographic residence of individuals needing services.

The proposed Paratransit Gap Grant Cycle 5 Program would provide approximately \$2 million in Measure B Paratransit discretionary funds to successful Gap Grant applicants through a Call for Projects. The proposed grant period is from July 1, 2013 to June 30, 2015. The Paratransit Advisory and Planning Committee (PAPCO) has reviewed the Paratransit Gap Grant Cycle Program Guidelines (Attachment A) at the November 26, 2012 Joint PAPCO and Paratransit Technical Advisory Committee (TAC) meeting, and is recommending the guidelines for Commission approval.

The Paratransit Gap Grant Cycle 5 Program Guidelines are consistent with the Implementation Guidelines that guide the use of Measure B funds. The Implementation Guidelines for the

Special Transportation Program for Seniors and People with Disabilities were originally adopted by the Commission on December 16, 2011 and incorporated into the Master Programs Funding Agreements (MPFA) to provide program eligibility, definitions and fund usage for both Measure B pass-through and grant funds. PAPCO and TAC discussed revisions to the Implementation Guidelines at the November 26, 2012 Joint meeting and PAPCO approved and recommended the revised Implementation Guidelines (Appendix D of Attachment A) for Commission approval. The revised guidelines include an option for Grandfathered eligibility for taxi and city-based door-to-door programs for registrants below 70 years old who have used the programs in the prior fiscal year. The revision also includes a new separate description of Wheelchair Van programs and made language about service area universal to all programs. The revised Implementation Guidelines for the Special Transportation Program for Seniors and People with Disabilities will be incorporated into Paratransit Gap Grant Cycle 5 Program Guidelines, assumed in the Cycle 5 Call-for-Projects and will replace the referenced Implementation Guidelines in the MPFA.

Alameda CTC also funds and administers the Hospital Discharge Transportation Service (HDTS) and Wheelchair & Scooter Breakdown Transportation Service (WSBTS) Program. The proposed action will allow the Alameda CTC to continue to provide services over the next two fiscal years. The HDTS provides same day, door-to-door transportation for individuals who have no other resources for transportation home, or to a nursing facility, following discharge from hospitals in Alameda County. The WSBTS provides transportation countywide to people in mechanical or motorized wheelchairs or scooters in the event of a mechanical breakdown. Both services are provided through a contracted transportation service provider.

Discussion

The 2000 TEP allocates 10.45% of net Measure B revenues for special transportation for seniors and peoples with disabilities. These revenues fund operations for ADA mandated services, city-based paratransit programs, and gap services or programs to reduce the difference in services based on the geographic residence of individuals needing special transportation services. From the 10.45% overall amount classified for special transportation services for seniors and people with disabilities, 1.43% of net Measure B revenues are designated as Gap funds for discretionary paratransit purposes i.e. competitive grants.

In the initial years of the Paratransit program, the Alameda County Transportation Improvement Authority (ACTIA) Board authorized pilot projects that were identified through outreach conducted in each planning area and funds were allocated according to the PAPCO funding formula, which fiscally constrained projects. Subsequent Calls for Projects moved away from the formula based distribution of funds and encouraged non-profit organizations to apply for grants along with local agencies. Due to the economic downturn in FY 10/11, and the elections in FY 11/12, Mid-Cycle renewals were approved by the Alameda CTC Commission to provide supplemental funding of existing Gap Grants and extended those Gap Grants through fiscal year 2012-2013. To date approximately \$12.4 million of paratransit Measure B Gap Grant funds have been awarded to sixty(60) transportation projects and programs for seniors and people with disabilities in Alameda County.

Paratransit Gap Grant Cycle 5 Program Guidelines

The proposed Cycle 5 will encourage local agencies and non-profits to apply for projects. Cycle 5 encourages proposals that support mobility management types of activities. Proposals that improve consumers' ability to access services and/or improve coordination between programs will be prioritized. Cycle 5 also encourages multi-jurisdictional approaches in scope such as volunteer driver and taxi programs. The Paratransit Gap Grant Cycle 5 Program Guidelines are included as Attachment A. The proposed timeline for the Paratransit Gap Grant Cycle 5 Call for Projects is as follows:

- February 1, 2013 Issue Paratransit Gap Grant Cycle 5 Call for Projects
- February 7, 2013 Mandatory Applicant Workshop
- March 4, 2013 Grant applications due to Alameda CTC
- March-April 2013 Grant applications reviewed by Alameda CTC staff & PAPCO
- April 22, 2013 PAPCO recommends Cycle 5 Gap Grants for Commission approval
- May 23, 2013 Commission approves Cycle 5 Gap Grants
- June 1, 2013 Recipients submit resolutions
- July 1, 2013 Cycle 5 Gap Grant funding commences

Implementation Guidelines

The Implementation Guidelines for the Special Transportation Program for Seniors and People with Disabilities (Appendix D of Attachment A) provide the eligibility requirements for services that can be funded, partially or in their entirety, with Alameda CTC pass-through and grant funds as part of the MPFA. The Paratransit Gap Grant Cycle 5 Program Guidelines are consistent with the proposed revisions to the Implementation Guidelines. All ADA mandated paratransit services, city-based non-mandated programs, and grant projects funded with Measure B revenues must be in full compliance with these guidelines by the end of fiscal year 2012-2013. Projects and programs awarded Paratransit Gap Grant Cycle 5 program funding will also need to comply with the Implementation Guidelines. The revised guidelines includes an option for Grandfathered eligibility for taxi and city-based door-to-door programs for registrants below 70 years old who have used those programs in the prior fiscal year. The revision also includes a new separate description of Wheelchair Van programs and made language about service area universal to all programs. Once approved, the Implementation Guidelines for the Special Transportation Program for Seniors and People with Disabilities will update the MPFA attached material.

HDTS and WSBTS Program

Alameda CTC has funded and administered the Hospital Discharge Transportation Service (HDTS) on a County-wide level with Measure B paratransit grant funds since 2006. Prior to that, the program was administered by Cities in South and Central County under Gap Cycle 1 and 2 Programs. The HDTS provides same day, door-to-door transportation for individuals who have no other resources for transportation home, or to a nursing facility, following discharge from hospitals in Alameda County. Alameda CTC currently provides service to eight (8) hospitals and is pursuing new Memorandum of Understandings (MOU) with Alta Bates Summit Medical Center and the City of Alameda Health Care District to include three (3) additional locations to the program. These new locations include Alta Bates Summit Campuses located in the City of Berkeley (Alta Bates) and the City of Oakland (Summit Hospital), and Alameda Hospital in the City of Alameda.

Alameda CTC has funded and administered the Wheelchair & Scooter Breakdown Transportation Service (WSBTS) Program with Measure B paratransit grant funds since 2003. The WSBTS provides transportation countywide to people in mechanical or motorized wheelchairs or scooters in the event of a mechanical breakdown. The program will also retrieve and deliver a wheelchair if an individual is taken to a hospital in an emergency. Both services are provided through a contracted transportation service provider.

It is recommended that the Commission approve the funding of the ongoing operations of the HDTS and WSBTS Program for FY 13/14 and 14/15 with \$140,000 from the Measure B Paratransit Gap Grant Program and to authorize the Executive Director or his designee to procure and execute all agreements and contracts required to continue the HDTS/WSBTS program.

Fiscal Impact

Approval of the Paratransit Gap Grant Cycle 5 Program Guidelines will encumber approximately \$2 million of Measure B Special Transportation Program for Seniors and People with Disabilities Grant funds for a new Call for Projects to be implemented from July 2013 to June 2015.

Approval of the Implementation Guidelines will supersede the current guidelines, which were adopted December 16, 2011, that are included in the Master Programs Funding Agreements (MPFA) and are not expected to impose a fiscal impact to the Alameda CTC.

Approval to continue the HDTS/WSBTS program will require \$140,000 of Measure B Paratransit Gap Grant funds will be required for operations in FY 13/14 and FY 14/15, which can be accommodated over the next two annual budgets.

Attachment(s)

Attachment A: Paratransit Gap Grant Cycle 5 Program Guidelines

GAP GRANT PROGRAM CYCLE 5:

MEASURE B SPECIAL TRANSPORTATION FOR SENIORS AND PEOPLE WITH DISABILITIES

PROGRAM GUIDELINES ADOPTED XXXXXX XX, 2013

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Section I: Overview of Gap Grant Program

Introduction to Measure B Special Transportation Program

Measure B, approved by Alameda County voters in 2000, is a half-cent transportation sales tax to finance projects and programs that will improve the County's transportation system. Collections began in April 2002 and will continue through March 2022.

Measure B allocates 10.45% of annual net revenues to fund special transportation for seniors and people with disabilities. These funds are broken into three funding categories:

1. Pass-through funding for East Bay Paratransit Consortium, Alameda County's primary Americans with Disabilities Act (ADA) mandated service provider (5.63%).
2. Pass-through funding for city-based programs to operate non-mandated transportation services and ADA-mandated services provided by Livermore Amador Valley Transit Authority (LAVTA) and Union City Transit (3.39%).
3. A competitive Gap Grant Program aimed at improving coordination, enhancing access to services across multiple geographic locations and filling other transportation/service gaps for seniors and persons with disabilities (1.43%).

These Program Guidelines address the "Gap Grant Program." The full *Expenditure Plan* language for the Gap Grant Fund is included as Appendix A.

Interaction between ADA Paratransit, City-Based Programs and Gap Grant-Funded Programs

The goal of the Alameda County Special Transportation for Seniors and People with Disabilities Program is to ensure that seniors and people with disabilities are able to meet their daily needs and maintain a high quality of life. The program accomplishes this by funding a range of specialized transportation services that provide pre-scheduled trips, same day trips and wheelchair-accessible trips as well as other services for uniquely vulnerable

populations. These programs will become ever more important as the senior population in Alameda County is expected to grow substantially over the next 20 years.

The Measure B Special Transportation for Seniors and People with Disabilities Program funds three program types that are intended to provide complementary services to meet a wide range of mobility needs. These program types are:

- ADA-mandated Paratransit, funded through pass-through allocations, provides the majority of trips for people with disabilities throughout the county.
- The city-based programs, also funded through pass-through allocations, are tasked with providing complementary trip-based services, such as taxi subsidy programs, shuttles, and city-based door-to-door programs to serve both seniors and people with disabilities.
- The Gap Grant program funds projects and programs through a competitive process to meet needs that are *not* being adequately met through ADA Paratransit and city-based programs. The Gap Grant program provides Alameda County with the opportunity to be innovative and explore alternative service delivery mechanisms. The program is intended to increase coordination and reduce barriers to accessing transportation services to ensure that people throughout the county have equal mobility options.

Overview of Gap Grant Cycle 5

Gap Grant Cycle 5 is a two-year funding cycle with approximately \$2 million in competitive funding available to local jurisdictions and community based organizations. These funds will be allocated as follows:

- The majority of gap grant funds, approximately \$1.7 million, will be allocated to two-year mobility management grants. These funds will be allocated through a competitive process in the Spring of 2013 (detailed schedule included below).
- Gap Grant Cycle 5 allocates the remaining \$300,000 in two equal annual allocations: \$150,000 available in FY 2013-14 and \$150,000 available in FY 2014-15, for the following purposes:

- \$50,000 available each year for Grant Matching purposes to support Measure B fund recipients or non-profits in acquiring non-Alameda CTC grants. Applicants will apply for these dollars in a separate ongoing application, and will be evaluated on an as-needed basis against appropriate evaluation criteria and any other submittals.
- \$50,000 available each year for Capital Purchases to assist Measure B fund recipients or non-profits in making a capital purchase. Applicants will apply for these dollars in a separate ongoing application, and will be evaluated on an as-needed basis against appropriate evaluation criteria and any other submittals.
- \$50,000 available each year for Implementation Guidelines Assistance. Applicants will apply for these dollars through the annual Program Plan Review.

Each of these categories is described in its own section below.

Section II: Two-Year Mobility Management Grants

Description and Goals

Gap Grant Cycle 5 is primarily focused on a two-year funding cycle to support mobility management types of activities that improve consumers' ability to access services and/or improve coordination between programs. Projects/programs that do not fit a traditional trip-provision model and that are multi-jurisdictional in scope (e.g. countywide, cross-planning area, or cross-city) will be prioritized in evaluating applications.

Mobility Management promotes the following:

- Improving coordination and partnerships to reduce duplication and fill gaps in service
- Enhancing people's travel options and access to services
- Promoting awareness and education, effectively communicating/disseminating information to the public
- Meeting needs cost effectively and efficiently

Mobility management projects are emphasized in Gap Grant Cycle 5 because they are well suited to fill service gaps in the transportation system, most of which exist for one of two reasons:

1. Consumers have unique needs that are not adequately met by the traditional transportation service models such as door-to-door service, shuttles or taxi service.
2. There are disparities in consumers' access to services based on geographic location.

For the first type of gap, alternative approaches are necessary by definition to meet the unique needs of these populations. Mobility management is specifically intended to improve coordination between existing programs and increase consumer awareness of options, both of which should expand the reach of existing programs, increase the number of consumers served, and lessen geographic disparities which addresses the second type of gap. Moreover, using alternative approaches to fill gaps is least likely to create redundancy with existing base programs.

Examples of programs include travel training, volunteer driver programs and information and outreach. Coordinating service provision at the planning area level or countywide can also be considered a form of mobility management.

All applicants must work in coordination with other service providers in their planning area. All applicants must describe how they are coordinating with local jurisdictions, transit agencies, and non-profit organizations to fill service gaps and complement existing services. Non-profit/community based organizations are required to provide a letter(s) of support from a local agency and/or transit provider to confirm service coordination and project support.

The Gap Grant program is not intended to fund city-based services that would traditionally be funded through a city's pass-through allocation. Sponsors are encouraged to submit programs that will benefit more than one city or otherwise illustrate advancement of coordination and mobility management principles.

If benefiting only one city, sponsors are encouraged to submit a funding plan that illustrates how the program could be absorbed into a base program or funded through alternative sources after the two-year gap grant period.

Available Funds and Grant Size

There is a total of approximately \$1.7 available to fund gap grants for this two-year cycle. The minimum individual grant award amount will be \$25,000 and the maximum individual grant award amount will be \$500,000; Exceptions may be allowed based on recommendations from the Paratransit Advisory and Planning Committee (PAPCO) and approval from the Alameda County Transportation Commission (Alameda CTC). .)

Schedule

Applicants for the two-year cycle will be evaluated in a one-time competitive process during the Spring of 2013. Gap Grant funds will be available starting July 1, 2013.

The full schedule is as follows:

February 1, 2013	Gap Grant Call for Projects issued
February 7, 2013	Mandatory Applicant Workshop: 10:00 a.m. to 12:00 p.m. at the Alameda CTC offices
<i>March 4, 2013</i>	Grant application due to Alameda CTC by 4:00 p.m.
March - April 2013	Application reviewed by PAPCO and Alameda CTC staff
April 22, 2013	PAPCO makes Gap Program funding recommendation for Commission approval
May 23, 2013	Alameda CTC Commission approves Cycle 5 Gap Grants
June 1, 2013	Resolutions due from recipients
July 1, 2013	Cycle 5 Gap Grant program funding commences

Evaluation Process and Criteria

Alameda CTC staff and PAPCO will evaluate and score each application based on seven evaluation criteria described below. The criteria are weighted and are listed in order of weighting below. Per the 2000 Measure B Expenditure Plan, the most heavily-weighted evaluation criterion will be Gap Closure.

Scoring guidance will be provided to evaluators for each criterion to ensure uniformity in how the criteria are applied to applications. Geographic equity will also be taken into consideration in the application evaluation process.

After the applications are scored and prioritized, PAPCO will recommend a set of projects/programs to be funded through Gap Grant Cycle 5 to the Alameda CTC Commission.

1) GAP CLOSURE: NEEDS AND BENEFITS (Maximum 20 points)

- Applicant must describe the unmet transportation need or gap that the proposed project seeks to address and how the proposed project/program removes a barrier to accessing services and/or improves transportation choices for seniors and/or people with disabilities.
- Project application should clearly state the overall program goals and objectives, and demonstrate how the project/program is consistent with the goals of the Gap Grant Program.
- Preference will be given to projects/programs that involve multiple cities and/or planning areas and that demonstrate coordination between public agencies and community-based transportation providers within the planning area.

2) COST EFFECTIVENESS/EFFICIENCY (Maximum 15 points)

- Applicant must demonstrate that the program/project is cost-effective, e.g. cost/trip is in line with “best practice” peer programs or, if significantly higher, provides an explanation with documentation.
 - Alameda CTC will use as references: average trip costs of existing programs in Alameda County as well as a report published in

March 2010 by the American Public Transportation Association (APTA), *Funding the Public Transportation Needs of an Aging Population*, which provides costs for model programs. Costs in Alameda County are expected to be 10-20% higher due to higher costs of living. The APTA “model program costs” are summarized in Appendix E; the full report can be found here:
http://www.apta.com/resources/reportsandpublications/Documents/TCRP_J11_Funding_Transit_Needs_of_Aging_Population.pdf

- Applicant must clearly identify performance measures to track the effectiveness in meeting the identified goals.
- Applicant must provide a plan for on-going monitoring and evaluation including actions to be taken if goals are not met.

3) APPLICANT EXPERIENCE/QUALIFICATIONS (Maximum 15 points)

- Applicant must demonstrate previous experience effectively providing specialized transportation to seniors and people with disabilities.
 - Documentation of experience should be provided including staff experience and institutional capability to operate a transportation program or project and carry out all aspects of the projects/programs described.

4) DEMAND (Maximum 15 points)

- Applicant must demonstrate that project/program will serve and render benefits to a high number or underserved seniors and/or people with disabilities.
 - Applicant must demonstrate that the estimated level of demand for service is realistic.
 - If program is designed to meet a unique need of a small subset of the population that is not being met, applicant must demonstrate how project/program will maximize its impact in this group, reaching a high portion of the eligible population.
- Applicant must demonstrate that the proposed level of service is relevant to the community, showing public support for this project/program, e.g. consumer outreach to local advisory committees,

senior and disabled commissions and/or the target community, letters of support.

- Applicant must document how this need was identified and provide relevant planning documents, surveys, etc.

5) IMPLEMENTATION READINESS (Maximum 15 points)

- Applicant must demonstrate that project/program can be realistically implemented in a timely manner, including proof that applicant has thoroughly considered feasibility issues and potential obstacles to implementation.
- Applicant must provide a realistic implementation plan including:
 - Project budget, indicating anticipated project expenditures and revenues
 - Full funding plan demonstrating that the budget is realistic for the length of the program and estimated demand
 - Implementation plan including project/program set-up and ongoing operation
 - Implementation timeline
 - Plan to promote public awareness of project/program
 - Estimated number of persons to be served
 - Estimated number of trips or service units provided
- Project budget should identify potential funding sources for sustaining the service beyond the grant period. Applicant should note if they intend to continue to request Gap Grant funding.

6) INNOVATION (Maximum 10 points)

- Projects will be evaluated on whether they provide unique or original service in Alameda County that can meet program goals effectively.

7) LEVERAGE OUTSIDE FUNDS (Maximum 10 points)

- At least 5% of outside funds must be secured relative to cost of project for non-Measure B pass-through recipients to demonstrate commitment.

- Applicants that leverage a higher percentage outside fund match (beyond the 5%) will be scored higher on this criterion.

Other Factors in Evaluation

After applications are scored, PAPCO will review the projects recommended for funding to ensure that Measure B Gap Grant Program funds are equitably distributed throughout the County. This will be taken into consideration in the evaluation process before PAPCO develops the final recommended list of projects to bring to the Alameda CTC Commission for approval.

Section III: Annual Funding for Implementation Guidelines Assistance

The Gap Grant Cycle 5 Program also allocates funding annually for Implementation Guidelines Assistance. The purpose of this category is to help city-based programs meet the Implementation Guidelines.

Only city-based programs are eligible for this category of funding. The total funding available each year is \$50,000 and there is no individual grant maximum. There will be \$50,000 available in FY 2013-14 and \$50,000 available in FY 2014-15.

Applicants will apply for these dollars through the annual Program Plan Application. More information on the application process, schedule and evaluation criteria for these funds will be released with the program plan application in early 2013.

Section IV: As-Needed Funding for Matching

The Gap Grant Cycle 5 Program also allocates funding annually for Grant Matching in two categories.

Grant Matching

The purpose of this category is to support Measure B providers or non-profits in acquiring non-Alameda CTC grants (e.g. New Freedom or Federal 5310) by providing funds for the required local match. This allows the

county to increase the impact of the local sales tax dollars by using limited local dollars to leverage external funding.

The total funding available each year for grant matching is \$50,000 with an individual award maximum of \$25,000. There will be \$50,000 available in FY 2013-14 and \$50,000 available in FY 2014-15.

Capital Purchase Matching

The purpose of this category is to allow Measure B providers or non-profits to obtain assistance in making a capital purchase (e.g. a vehicle or scheduling software). Access to high quality functioning vehicles is fundamental to the success of the services funded through Measure B and the necessary capital funds to purchase and maintain vehicles can be scarce and competitive to acquire. This funding fills this gap. This gap grant category is primarily intended to fund capital purchases that support other gap-funded projects or to improve base program performance.

The total funding available each year for capital purchase matching is \$50,000 with an individual award maximum of 80% of total capital cost. There will be \$50,000 available in FY 2013-14 and another \$50,000 available in FY 2014-15.

Evaluation Process, Schedule and Criteria

Applicants will apply for these dollars in a separate ongoing application, and will be evaluated on an as-needed basis against appropriate evaluation criteria and any other submittals. Alameda CTC staff and PAPCO will evaluate each application using criteria similar to that used for the two-year mobility management grant evaluation described above (p. 6-9). Over time, geographic equity will be taken into consideration to ensure matching funds are distributed equitably across the county.

After the applications are evaluated, PAPCO will make a recommendation on funding to the Alameda CTC Commission at their next scheduled meeting.

Section V: Applicant Guidelines

Eligible Applicants

- Any public agency that operates within Alameda County and provides special transportation services to seniors and people with disabilities may apply for funding. This includes (but is not limited to): cities in Alameda County, BART, AC Transit, LAVTA/Wheels, and Union City Transit.
- Community-based transportation providers and other non-profit organizations that meet Alameda CTC requirements for contracting with non-profits (see Appendix B) and have a proven, documented record of providing special transportation services for seniors and people with disabilities may also apply for funding. Non-profit organizations may apply through a current Measure B recipient or through Alameda CTC. (This category of applicants cannot apply for Implementation Guidelines Assistance.)
- Alameda CTC. (This category of applicants cannot apply for Implementation Guidelines Assistance.)

Applications may come from a single agency or multiple agencies.

Applicant Requirements

At a minimum every applicant and their proposed project/program must meet the following requirements.

- **Eligible Types of Service:** Project/program must abide by the Special Transportation Program Implementation Guidelines (included as Attachment D) which set forth service categories that are eligible to be funded through Measure B and the Vehicle Registration Fee. Eligible service types include:
 - Mobility Management/Travel Training
 - Volunteer Driver Programs
 - Group Trips
 - Customer Outreach
 - City-based Door-to-Door Services
 - Taxi Subsidy Programs

- Wheelchair Van Program
- Accessible Fixed-Route Shuttles
- Benefit Alameda County: Project/Program must be located in Alameda County and directly serve Alameda County residents.
 - If multi-county project/program is submitted, Measure B funding must directly benefit the Alameda County portion of the project and service delivery to Alameda County must be clearly reported and measured.
- Viability: Project/program must be viable and implementable. It must have sufficient existing or planned staffing and funding resources to accomplish the project.
- Required Match: A minimum local match of 5% of the total project budget (either in kind or actual funds) is required for non-profits or other non-Measure B pass-through fund recipients to demonstrate commitment. The local match can come from current Measure B recipients (*see Appendix C*).
- Governing Body Resolution: Project Sponsor must submit either:
 - A resolution adopted by their governing body authorizing acceptance of the Measure B grant, or
 - A resolution adopted by their governing body specifically supporting the project or program which does not refer to the Measure B grant application. (This could be a resolution authorizing the submittal of a grant application for the same project, but for a different grant source.)
- Number of Submittals per Agency: A limit of three (3) applications per agency is allowed.
- Timely Use of Funds: Project must begin within a year of Alameda CTC Commission approved funding is available (July 1, 2013), and must be completed within two years of this date (unless a longer period is approved in advance by PAPCO and the Alameda CTC). Grant funds may be rescinded if a project is not initiated within the first year. Rescinded funds will be returned to the Countywide Gap Fund to be distributed in a future grant cycle.

- **Funding Agreements:** Funding Agreements between Alameda CTC and the project sponsor will be developed for each approved grant and will include, among other items:
 - Detailed Project Description and Task Breakdown
 - Project Costs
 - Deliverables, Deliverable Due Dates, and Milestone Schedule
 - Performance Measures
 - Project Reporting Requirements
 - Audit Requirements
 - Requirement to adhere to all applicable regulations
 - Agreement to acknowledge Measure B funding on project signage
 - LBE/SLBE reporting-only requirements for projects over \$50,000 which have contracted out work
- **Eligible Costs:** Sponsors can only request reimbursement for eligible costs, these include:
 - Project Planning
 - Community Outreach
 - Feasibility and/or Design Studies
 - Technical Studies
 - Project Monitoring
 - Pre- and post-project travel counts
 - Planning Costs
 - Direct costs (labor, contractual services, materials)
 - Service delivery
 - Direct costs for operations (labor, contractual costs, materials)
- **Payments:** Payments to sponsors will be made on a reimbursement basis, after submittal of invoices. Requests for reimbursements are required, at a minimum, every six (6) months. However, sponsors may submit requests for reimbursement more frequently. Project sponsors may begin incurring project costs beginning July 1 after the Alameda CTC Commission approves the final allocation of funds. No

reimbursements will be made prior to the execution of the Funding Agreement.

- **Monitoring:** Reports will be required every six (6) months illustrating project progress and funds spent. A copy of the reports for another funding agency may be submitted, with prior approval. A final report, once project is completed, will also be required.
- **Loss or Withholding of Funding:** Failing to meet timely use of fund requirements, meet the project schedule without compelling reason, file required monitoring reports, or comply with applicable regulations could result in loss or withholding of funding.
- **Audits:** Recipients must maintain records that could be audited at the discretion of Alameda CTC. Records must be retained per the sponsors' record retention requirements, but no less than three years after grant completion.

Section VI: Application Instructions

All application materials can be downloaded from the Alameda CTC website here:

http://www.alamedactc.org/news_items/view/9716

Applications for the two-year Mobility Management Grants are due to the Alameda CTC by March 4, 2013 at 4:00 p.m.

Submit five (5) hardcopies of your application AND an electronic copy.

- **Five (5) Hardcopies:** Each application must be loose leaf (not bound) and easily reproducible in black and white. Hard copy applications may be hand-delivered or mailed. Faxed applications and late applications will not be accepted. Submit hard copies to:

Alameda County Transportation Commission
Attn: Naomi Armenta, Paratransit Coordinator
1333 Broadway, Suite 300
Oakland, CA 94612

- **Electronic Copy:** Submit an electronic version of all MS Word and MS Excel files. Maps and PDF files should also be submitted electronically. Clearly name each file.

Submit *electronic copy* to: narmenta@alamedactc.org

Section VII: For More Information

If you have any further questions about the Gap Grant funding program or a specific funding source, please contact:

Naomi Armenta, Paratransit Coordinator

Alameda County Transportation Commission
1333 Broadway, Suite 300
Oakland, CA 94612
(510) 208-7469

narmenta@alamedactc.org

Appendix A: Expenditure Plan Language

Excerpt from Alameda County Transportation Expenditure Plan, July 2000

“Special Transportation for Seniors and People with Disabilities (10.45 % overall)”

Program provides \$148,643,224 for services mandated by the Americans with Disabilities Act to fixed route public transit operators who are required to provide that service. Funds are also provided for non-mandated services, aimed at improving mobility for seniors and people with disabilities. These funds are provided to the cities in the County and to Alameda County based on a formula developed by PAPCO.

This program designates 1.43% of overall net sales tax receipts to be allocated by PAPCO to reduce differences that might occur based on the geographic residence of any individual needing services.

(The complete text can be found at

http://www.alamedactc.org/files/managed/Document/4897/2000_MeasureB_Expenditure_Plan_v14.pdf)

Appendix B: Contracting with Non-Profits

In order to protect Alameda CTC and ensure appropriate accountability of programs/services delivered by non-profits, any non-profits applying for grants must meet and demonstrate in their application the following four organizational requirements prior to receipt of a grant:

- **Formal IRS Recognition:** A non-profit must document itself as a formally recognized IRS organization for a minimum of three years.
- **Independent Audits:** A non-profit must engage independent auditors and receive an unqualified opinion on the annual financial statements. A sample of a previous audit is required.
- **Independent Board:** A non-profit must have a governance structure that independently oversees the management of the non-profit.
- **Insurance Requirements:** A non-profit must be able to provide adequate insurance to cover program/service activities, list Alameda CTC as an additional insured and indemnify Alameda CTC.

Appendix C: Contact Information for City-Based Programs

Contact Information for Measure B Pass-Through Fund Recipients of Special Transportation for Seniors and People with Disabilities Funds	
City of Alameda Paratransit 1155 Santa Clara Avenue Alameda, CA 94501 Phone: (510) 747-7506 Fax: (510) 523-0247 www.AlamedaParatransit.com	City of Hayward Paratransit 777 B Street Hayward, CA 94541 Phone: (510) 583-4230 Fax: (510) 583-3650 www.hayward-ca.gov
City of Albany Paratransit 846 Masonic Avenue Albany, CA 94706 Phone: (510) 524-9122 Fax: (510) 524-8940 www.albanyca.org	City of Newark Paratransit 35322 Cedar Boulevard Newark, CA 94560 Phone: (510) 791-7879 Fax: (510) 713-8384 www.ci.newark.ca.us
City of Berkeley Paratransit 1901 Hearst Avenue Berkeley, CA 94709 Phone: (510) 981-7269 Fax: (510) 981-5450 www.ci.berkeley.ca.us	City of Oakland Paratransit 150 Frank H. Ogawa Plaza #4353 Oakland, CA 94612 Phone: (510) 238-3036 Fax: (510) 238-7724 www.oaklandnet.com
City of Emeryville Paratransit 4321 Salem Street Emeryville, CA 94608 Phone: (510) 596-3730 Fax: (510) 652-0933 www.ci.emeryville.ca.us	City of Pleasanton Paratransit 5353 Sunol Boulevard Pleasanton, CA 94566 Phone: (925) 931-5376 Fax: (925) 485-3685 www.ci.pleasanton.ca.us
City of Fremont Paratransit 3300 Capitol Avenue, Building B Fremont, CA 94538 Phone: (510) 574-2053 Fax: (510) 574-2054 www.fremont.gov	City of San Leandro Paratransit 13909 E. 14 th Street San Leandro, CA 94578 (also City Hall South Offices and Marina Community Center) Phone: (510) 577- 7988 Fax: (510) 377-7989 www.ci.san-leandro.ca.us

Appendix D: Implementation Guidelines

Implementation Guidelines – Special Transportation Program for Seniors and People with Disabilities

These guidelines lay out the service types that are eligible to be funded with Alameda County Measure B and Vehicle Registration Fee (VRF) revenues under the Special Transportation Program for Seniors and People with Disabilities. All programs funded partially or in their entirety through Measure B or the VRF, including ADA-mandated paratransit services, city-based non-mandated programs, and grant-funded projects, must abide by the following requirements for each type of paratransit service. Programs must be in full compliance with these guidelines by the end of fiscal year 2012-2013.

Fund recipients are able to select which of these service types is most appropriate in their community to meet the needs of seniors and people with disabilities. Overall, all programs should be designed to enhance quality of life for seniors and people with disabilities by offering accessible, affordable, and convenient transportation options to reach major medical facilities, grocery stores and other important travel destinations to meet life needs.

The chart below summarizes the eligible service types and their basic customer experience parameters; this is followed by more detailed descriptions of each.

Service	Timing	Accessibility	Origins/ Destinations	Eligible Population
ADA Paratransit	Pre-scheduled	Accessible	Origin-to-Destination	People with disabilities unable to ride fixed route transit
Door-to-Door Service	Pre-scheduled	Accessible	Origin-to-Destination	People with disabilities unable to ride fixed route transit and seniors
Taxi Subsidy	Same Day	Varies	Origin-to-Destination	Seniors and people with disabilities
Wheelchair Van	Pre-scheduled & Same Day	Accessible	Origin-to-Destination	People with disabilities using mobility devices that require lift- or ramp-equipped vehicles
Accessible Shuttles	Fixed Schedule	Accessible	Fixed or Flexed Route	Seniors and people with disabilities
Group Trips	Pre-scheduled	Varies	Round Trip Origin-to-Destination	Seniors and people with disabilities
Volunteer Drivers	Pre-scheduled	Generally Not Accessible	Origin-to-Destination	Vulnerable populations with special needs, e.g. requiring door-through-door service or escort
Mobility Management and/or Travel Training	N/A	N/A	N/A	Seniors and people with disabilities
Scholarship/Subsidized Fare Programs	N/A	N/A	N/A	Seniors and people with disabilities

Note on ADA Mandated Paratransit: Programs mandated by the American's with Disabilities Act are implemented and administered according to federal guidelines that may supersede these guidelines; however all ADA-mandated programs funded through Measure B or the VRF are subject to the terms of the Master Programs Funding Agreement.

Interim Service for Consumers Awaiting ADA Certification: At the request of a health care provider, or ADA provider, city-based programs must provide interim service through the programs listed below to consumers awaiting ADA certification. Service must be provided within three business days of receipt of application.

City-based Door-to-Door Service Guidelines	
Service Description	<p>City-based door-to-door services provide pre-scheduled, accessible, door-to-door trips. Some programs allow same day reservations on a space-available basis. They provide a similar level of service to mandated ADA services. These services are designed to fill gaps that are not met by ADA-mandated providers and/or relieve ADA-mandated providers of some trips.</p> <p>This service type does not include taxi subsidies which are discussed below.</p>
Eligible Population	<p>People 18 and above with disabilities who are unable to use fixed route services or Seniors 80 years or older without proof of a disability.</p> <p>Cities may provide services to consumers who are younger than age 80, but not younger than 70 years old.</p> <p>Cities may offer “grandfathered” eligibility to program registrants below 70 years old who have used the program regularly in the prior fiscal year as long as it does not impinge on the City’s ability to meet the Implementation Guidelines.</p> <p>Program sponsors may use ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City Transit), as proof of disability.</p>
Time & Days of Service	<p>At a minimum, service must be available five days per week between the hours of 8 am and 5 pm (excluding holidays).</p> <p>At a minimum, programs should accept reservations between the hours of 8 am and 5 pm Monday – Friday.</p>
Fare (Cost to Customer)	<p>Fares for pre-scheduled service should not exceed local ADA paratransit fares, but can be lower, and can be equated to distance. Higher fares can be charged for “premium” same-day service.</p>
Other	<p>Door-to-Door programs must demonstrate that they are providing trips at an equal or lower cost than the ADA-mandated provider on a cost per trip and cost per hour basis.</p> <p>Programs cannot impose limitations based on trip purpose, but can impose per person trip limits to control program resources.</p>

Taxi Subsidy Service Guidelines	
Service Description	<p>Taxis provide curb-to-curb service that can be scheduled on a same-day basis. They charge riders on a distance/time basis using a meter. Taxi subsidy programs allow eligible consumers to use taxis at a reduced fare by reimbursing consumers a percentage of the fare or by providing some fare medium, e.g. scrip or vouchers, which can be used to cover a portion of the fare. These programs are intended for situations when consumers cannot make their trip on a pre-scheduled basis. This is meant to be a “premium” safety net service, not a routine service to be used on a daily basis.</p> <p>The availability of accessible taxi cabs varies by geographical area, but programs should expand availability of accessible taxi cabs where possible.</p>
Eligible Population	<p>People 18 and above with disabilities who are unable to use fixed route services or Seniors 80 years or older without proof of a disability.</p> <p>Cities may provide services to consumers who are younger than age 80, but not younger than 70 years old.</p> <p>Cities may offer “grandfathered” eligibility to program registrants below 70 years old who have used the program regularly in the prior fiscal year as long as it does not impinge on the City’s ability to meet the Implementation Guidelines.</p> <p>Program sponsors may use ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City Transit), as proof of disability.</p>
Time & Days of Service	24 hours per day/7 days per week
Fare (Cost to Customer)	<p>At a minimum, programs must subsidize 50% of the taxi fare.</p> <p>Programs can impose a cap on total subsidy per person. This can be accomplished through a maximum subsidy per trip, a limit on the number of vouchers/scrip (or other fare medium) per person, and/or a total subsidy per person per year.</p>

City-based Wheelchair Van Service	
Service Description	<p>Wheelchair van service provides accessible, door-to-door trips on a pre-scheduled or same-day basis. These services are generally implemented as a supplement to a taxi program to ensure some availability of accessible vehicles in cities that do not have door-to-door programs or have limited door-to-door programs.</p> <p>These programs make use of fare mediums such as scrip and vouchers to allow consumers to pay for rides. These trips are sometimes provided through a cab company, but riders are generally not charged using a meter (usually cities have different payment structures arranged with the company operating the vans).</p>
Eligible Population	<p>People 18 and above with disabilities who use mobility devices that require a lift- or ramp-equipped vehicle.</p> <p>Program sponsors may use ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City Transit), as proof of disability.</p>
Time & Days of Service	<p>At a minimum, service must be available five days per week between the hours of 8 am and 5 pm (excluding holidays) like a door-to-door program.</p> <p>At a minimum, programs should accept reservations between the hours of 8 am and 5 pm Monday – Friday.</p>
Fare (Cost to Customer)	<p>Fares for pre-scheduled or same-day service should not exceed local ADA paratransit fares, but can be lower, and can be equated to distance.</p> <p>Programs can impose a maximum subsidy per trip, a limit on the number of vouchers per person, and/or a total subsidy per person per year.</p>
Other	<p>Wheelchair van programs should provide trips at an equal or lower cost than the ADA-mandated provider on a cost per trip and cost per hour basis.</p>

City Accessible Shuttle Service Guidelines	
Service Description	<p>Shuttles are accessible vehicles that operate on a fixed, deviated, or flex-fixed route and schedule. They serve common trip origins and destinations visited by eligible consumers. Common trip origins and destinations are: senior centers, medical facilities, grocery stores, BART stations, other transit stations, community centers, commercial districts, and post offices.</p> <p>Shuttles should be designed to supplement existing fixed route transit services. Routes should not necessarily be designed for fast travel, but to get as close as possible to destinations of interest, often going into parking lots or up to the front entrance of a senior living facility. Shuttles allow for more flexibility than pre-scheduled paratransit service, and are more likely to serve active seniors who do not drive and are not ADA paratransit registrants.</p>
Eligible Population	Shuttles should be designed to appeal to older people, but can be made open to the general public.
Time and Days of Service	At discretion of program sponsor with local consumer input.
Fare (Cost to Customer)	Fares should not exceed local ADA paratransit fares, but can be lower, and can be equated to distance.
Cost of Service	By end of FY12/13, the cost per one-way person trip must be \$20 or lower, including transportation and direct administrative costs.
Other	<p>Shuttles are required to coordinate with the local fixed route transit provider.</p> <p>Shuttle routes and schedules should be designed with input from the senior and disabled communities and any new shuttle plan must be submitted to the Alameda CTC for review prior to requesting funding to ensure effective design.</p> <p>Deviations and flag stops are permitted at discretion of program sponsor.</p>

Group Trips Service Guidelines	
Service Description	<p>Group trips are round-trip rides for pre-planned outings or to attend specific events or go to specific destinations for fixed amounts of time, e.g. shopping trips, sporting events, or community health fairs. Trips usually originate from a senior center or housing facility and are generally provided in accessible vans and other vehicle types or combinations thereof. These trips are specifically designed to serve the needs of seniors and people with disabilities.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	Group trips must begin and end on the same day.
Fare (Cost to Customer)	At discretion of program sponsor.
Other	Programs can impose mileage limitations to control program costs.

Volunteer Driver Service Guidelines	
Service Description	<p>Volunteer driver services are pre-scheduled, door-through-door services that are generally not accessible. These programs rely on volunteers to drive eligible consumers for critical trip needs, such as medical trips. This service type meets a key mobility gap by serving door-through-door trips for more vulnerable populations. This is a complementary gap-filling service.</p> <p>Volunteer driver programs may also have an escort component where volunteers accompany consumers, who are unable to travel in a private vehicle, on ADA trips.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	At discretion of program sponsor.
Fare (Cost to Customer)	At discretion of program sponsor.
Other	Program sponsors can use Measure B funds to pay for volunteer mileage reimbursement purposes or an equivalent financial incentive for volunteers and/or administrative purposes.

Mobility Management and/or Travel Training Service Guidelines	
Service Description	<p>Mobility management and/or travel training play an important role in ensuring that people use the "right" service for each trip, e.g. using EBP from Fremont to Berkeley for an event, using a taxi voucher for a same-day semi-emergency doctor visit, and requesting help from a volunteer driver or group trips service for grocery shopping. Mobility management covers a wide range of activities, such as travel training, escorted companion services, coordinated services, trip planning, and brokerage.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	At discretion of program sponsor.
Fare (Cost to Customer)	N/A
Other	<p>Programs must specify a well-defined set of activities that will be undertaken in a mobility management or travel training program.</p> <p>The mobility management plan or travel training program must be submitted to the Alameda CTC for review prior to requesting funding to ensure effective design.</p>

Scholarship/Subsidized Fare Program Guidelines	
Service Description	Scholarship or Subsidized Fare Programs can subsidize any service for customers who are low-income and can demonstrate financial need.
Eligible Population	Subsidies can be offered to low-income consumers with demonstrated financial need; these consumers must also meet the eligibility requirements of the service for which the subsidy is being offered. Low income should be considered 30% AMI (area median income) or lower.
Time and Days of Service	N/A
Fare (Cost to Customer)	N/A
Other	Program sponsors must describe how financial means testing will be undertaken. If program sponsors include subsidized East Bay Paratransit (EBP) tickets in this program, no more than 3% of their pass-through funds may be used for these tickets.

Meal Delivery Service Guidelines	
Service Description	Meal Delivery Programs deliver meals to the homes of individuals who are transportation disadvantaged. Although this provides access to life sustaining needs for seniors and people with disabilities, it is not a direct transportation expense.
Eligible Population	For currently operating programs, at discretion of program sponsor.
Time and Days of Service	For currently operating programs, at discretion of program sponsor.
Fare (Cost to Customer)	For currently operating programs, at discretion of program sponsor.
Other	Currently operating programs can continue to use Measure B funds for these service costs, but new meal delivery services cannot be established.

Appendix E: Best Practice Service Costs

Service Type	APTA* Funding Report Cost per Trip
ADA Paratransit	\$35
Door-to-Door/ Dial-a-Ride	\$25
Volunteer driver program	\$14
Subsidized Taxis	\$13
Shuttle/ Community Buses	\$9
Group Trips	NA

Costs in Alameda County may be slightly higher based on a higher cost of living.

Source:

http://www.apta.com/resources/reportsandpublications/Documents/TCRP_J11_Funding_Transit_Needs_of_Aging_Population.pdf

* (APTA)- American Public Transportation Association



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: **Approval to Submit Investment Justifications and Project Applications for the State Proposition 1B Transit System Safety, Security & Disaster Response Account (TSSSDRA) Funds for FYs 2010-11, 2011-12 and 2012-13**

Recommendation

It is recommended that the Commission take the following actions related to the Proposition 1B Transit System Safety, Security & Disaster Response (TSSSDRA) Program:

1. Adopt Resolutions 13-001, 13-002 and 13-003 which authorizes the execution of Grant Assurances documents for the TSSSDRA Program and appoints the Executive Director or designee as the Alameda CTC's authorized agent to execute the Grant Assurances, grant applications, funding agreements, reports or any other documents necessary for project funding and TSSSDRA program compliance.
2. Authorize the Executive Director, or his designee, to submit project applications requesting allocations for FYs 2010-11, 2011-12 and 2012-13 TSSSDRA funds

Summary

Section 8879.23 of the California Government Code creates the Highway Safety, Traffic Reduction, Air Quality and Port Security Fund of 2006 (Proposition 1B) in the State Treasury. Section 8879.23(h) directs that \$1 billion be deposited in the Transit System Safety, Security and Disaster Response Account (TSSSDRA). The State Controller's Office has recently released a list of allocations for eligible agencies for the Proposition 1B TSSSDRA program. The Alameda CTC's FYs 2010-11, 2011-12 and 2012-13 allocation from this program totals \$116,478, and will be allocated for the Altamont Commuter Express (ACE) service within Alameda County. The allocations for ACE are made available through the Alameda CTC whereas AC Transit and BART have received their respective allocations directly.

Discussion

Proposition 1B approved by the voters on November 7, 2006, includes a program of funding in the amount of \$1 billion to be deposited in the Transit System Safety, Security and Disaster Response Account (TSSSDRA). The State Controller's Office has recently released a list of allocations for eligible agencies for the Proposition 1B TSSSDRA program administered by the California Emergency Management Agency (Cal EMA). The Alameda CTC's FYs 2010/11, 2011/12 and 2012/13 allocation from this program totals \$116,478, and will be allocated for the

Altamont Commuter Express (ACE) service within Alameda County. The allocations for ACE are made available through the Alameda CTC whereas AC Transit and BART have received their respective allocations directly.

Eligible project types include transit capital projects that provide increased protection against a security or safety threat and projects that increase the capacity of transit operators to prepare for disaster response transportation systems that can move people, goods, emergency personnel and equipment in the aftermath of a disaster.

The program guidelines released by Cal EMA state “Applications to Cal EMA for projects seeking funds pursuant to GC Section 8879.58(a)(2) and 8879.58(a)(3) must be submitted through and approved by the appropriate County transportation commission”. Projects submitted for funding will be reviewed and approved in two phases.

Phase I

Eligible applicants are required to submit Investment Justifications (IJ) to Cal EMA.

Phase II

Cal EMA shall review the information submitted by project sponsors to determine if projects are compliant with the program requirements. Upon final project approval, sponsors shall be issued a Notice of Project Eligibility (NOPE) letter. The NOPE will include project milestones, audit requirements, program monitoring requirements, reporting requirements and directions to complete the Cal EMA Financial Management Forms Workbook (FMFW). Upon receipt of the NOPE the agency has up to 6 weeks to complete and submit all supporting application documents. The supporting documents include the FMFW, certified copy of the Governing Body Resolution (Attachment A) and signed original Grant Assurances (Attachment B).

San Joaquin Regional Rail Commission staff has proposed FYs 2010/11 and 2011/12 funds (\$77,652) be assigned to the ACE Station Security Cameras project and the FY 2012/13 funds(\$38,826) for the ACE Electronic Fare Collection (eTicketing) project. The eTicketing will require registered users and provide a real-time passenger manifest for active trains able to be accessed remotely, in real-time, by both SJRRC staff, law enforcement, and first responders.

It is recommended the Commission Authorize the Executive Director, or his designee, to submit Investment Justifications and project applications requesting allocations for FY 2010/11, 2011/12 and 2012/13 TSSSDRA funds

Next Steps

Upon Commission approval, Alameda CTC staff will submit Investment Justifications for the ACE Station Security Cameras project (FYs 2010/11 and 2011/12) and ACE Electronic Fare Collection project (FY 2012/13) to Cal EMA.

Attachments

Attachment A1: Draft Alameda CTC Resolution #13-001
Attachment A2: Draft Alameda CTC Resolution #13-002
Attachment A3: Draft Alameda CTC Resolution #13-003
Attachment B: Grant Assurances



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City of Dublin
Tim Sbranti, Mayor

City of Emeryville
Ruth Atkin, Councilmember

City of Fremont
Suzanne Chan, Councilmember

City of Hayward
Marvin Peixoto, Councilmember

City of Livermore
John Marchand, Mayor

City of Newark
Luis Freitas, Councilmember

City of Oakland
Councilmembers
Larry Reid
Rebecca Kaplan

City of Piedmont
John Chiang, Mayor

City of Pleasanton
Jerry Thorne, Mayor

City of San Leandro
Michael Gregory, Vice Mayor

City of Union City
Carol Dutra-Vernaci, Mayor

Executive Director
Arthur L. Dao

ALAMEDA COUNTY TRANSPORTATION COMMISSION RESOLUTION # 13-001

Authorization for Execution of the Grant Assurances Documents for the Transit System Safety, Security & Disaster Response Account Bond Program (FY2010/11 – ACE Station Security Cameras Project)

WHEREAS, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 authorizes the issuance of general obligation bonds for specified purposes, including, but not limited to, funding made available for capital projects that provide increased protection against security and safety threats, and for capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems; and

WHEREAS, the California Emergency Management Agency (Cal EMA) administers such funds deposited in the Transit System Safety, Security, and Disaster Response Account under the California Transit Security Grant Program (CTSGP); and

WHEREAS, the **Alameda County Transportation Commission** (“Alameda CTC”) is eligible to receive CTSGP funds; and

WHEREAS, the Alameda CTC will apply for FY 2010/11 CTSGP funds in an amount up to \$38,826 for the purchase and installation of security camera equipment and related, supporting infrastructure at Altamont Commuter Express stations in Alameda County; and

WHEREAS, Alameda CTC recognizes that it is responsible for compliance with all Cal EMA CTSGP grant assurances, and state and federal laws, including, but not limited to, laws governing the use of bond funds; and

WHEREAS, Cal EMA requires Alameda CTC to complete and submit a Governing Body Resolution for the purposes of identifying agent(s) authorized to act on behalf of Alameda CTC to execute actions necessary to obtain CTSGP funds from Cal EMA and ensure continued compliance with Cal EMA CTSGP assurances, and state and federal laws.

NOW, THEREFORE, BE IT RESOLVED by the Board of the Alameda CTC that the Executive Director, and/or his Designee, is hereby authorized to execute for and on behalf of Alameda CTC, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining

financial assistance provided by the California Emergency Management Agency under the CTSGP.

DULY PASSED AND ADOPTED by the Alameda County Transportation Commission at the regular meeting of the Board held on Thursday, January 24, 2013 in Oakland, California, by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

XXXXXXXXX

Chair

Vanessa Lee

Clerk of the Commission



Commission Chair
TBD

Commission Vice Chair
Scott Haggerty, Supervisor – District 1

AC Transit
Greg Harper, Director

Alameda County
Supervisors
Richard Valle – District 2
Wilma Chan – District 3
Nate Miley – District 4
Keith Carson – District 5

BART
Thomas Blalock, Director

City of Alameda
Vacant

City of Albany
Peggy Thomsen, Mayor

City of Berkeley
Laurie Capitelli, Councilmember

City of Dublin
Tim Sbranti, Mayor

City of Emeryville
Ruth Atkin, Councilmember

City of Fremont
Suzanne Chan, Councilmember

City of Hayward
Marvin Peixoto, Councilmember

City of Livermore
John Marchand, Mayor

City of Newark
Luis Freitas, Councilmember

City of Oakland
Councilmembers
Larry Reid
Rebecca Kaplan

City of Piedmont
John Chiang, Mayor

City of Pleasanton
Jerry Thorne, Mayor

City of San Leandro
Michael Gregory, Vice Mayor

City of Union City
Carol Dutra-Vernaci, Mayor

Executive Director
Arthur L. Dao

ALAMEDA COUNTY TRANSPORTATION COMMISSION RESOLUTION # 13-002

Authorization for Execution of the Grant Assurances Documents for the Transit System Safety, Security & Disaster Response Account Bond Program (FY2011/12 – ACE Station Security Cameras Project)

WHEREAS, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 authorizes the issuance of general obligation bonds for specified purposes, including, but not limited to, funding made available for capital projects that provide increased protection against security and safety threats, and for capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems; and

WHEREAS, the California Emergency Management Agency (Cal EMA) administers such funds deposited in the Transit System Safety, Security, and Disaster Response Account under the California Transit Security Grant Program (CTSGP); and

WHEREAS, the **Alameda County Transportation Commission** (“Alameda CTC”) is eligible to receive CTSGP funds; and

WHEREAS, the Alameda CTC will apply for FY 2011/12 CTSGP funds in an amount up to \$38,826 for the purchase and installation of security camera equipment and related, supporting infrastructure at Altamont Commuter Express stations in Alameda County; and

WHEREAS, Alameda CTC recognizes that it is responsible for compliance with all Cal EMA CTSGP grant assurances, and state and federal laws, including, but not limited to, laws governing the use of bond funds; and

WHEREAS, Cal EMA requires Alameda CTC to complete and submit a Governing Body Resolution for the purposes of identifying agent(s) authorized to act on behalf of Alameda CTC to execute actions necessary to obtain CTSGP funds from Cal EMA and ensure continued compliance with Cal EMA CTSGP assurances, and state and federal laws.

NOW, THEREFORE, BE IT RESOLVED by the Board of the Alameda CTC that the Executive Director, and/or his Designee, is hereby authorized to execute for and on behalf of Alameda CTC, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining financial assistance provided by the California Emergency Management Agency under the CTSGP.

DULY PASSED AND ADOPTED by the Alameda County Transportation Commission at the regular meeting of the Board held on Thursday, January 24, 2013 in Oakland, California, by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

XXXXXXXXX

Chair

Vanessa Lee

Clerk of the Commission



Commission Chair
TBD

Commission Vice Chair
Scott Haggerty, Supervisor – District 1

AC Transit
Greg Harper, Director

Alameda County
Supervisors
Richard Valle – District 2
Wilma Chan – District 3
Nate Miley – District 4
Keith Carson – District 5

BART
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City of Oakland
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John Chiang, Mayor

City of Pleasanton
Jerry Thorne, Mayor

City of San Leandro
Michael Gregory, Vice Mayor

City of Union City
Carol Dutra-Vernaci, Mayor

Executive Director
Arthur L. Dao

ALAMEDA COUNTY TRANSPORTATION COMMISSION RESOLUTION # 13-003

Authorization for Execution of the Grant Assurances Documents for the Transit System Safety, Security & Disaster Response Account Bond Program (FY2012/13 – ACE Electronic Fare Collection Project)

WHEREAS, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 authorizes the issuance of general obligation bonds for specified purposes, including, but not limited to, funding made available for capital projects that provide increased protection against security and safety threats, and for capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems; and

WHEREAS, the California Emergency Management Agency (Cal EMA) administers such funds deposited in the Transit System Safety, Security, and Disaster Response Account under the California Transit Security Grant Program (CTSGP); and

WHEREAS, the **Alameda County Transportation Commission** (“Alameda CTC”) is eligible to receive CTSGP funds; and

WHEREAS, the Alameda CTC will apply for FY 2012/13 CTSGP funds in an amount up to \$38,826 for the Electronic Fare Collection Project to enhance and expand the functionality and reliability of the San Joaquin Regional Rail Commission’s fare collection system; and

WHEREAS, Alameda CTC recognizes that it is responsible for compliance with all Cal EMA CTSGP grant assurances, and state and federal laws, including, but not limited to, laws governing the use of bond funds; and

WHEREAS, Cal EMA requires Alameda CTC to complete and submit a Governing Body Resolution for the purposes of identifying agent(s) authorized to act on behalf of Alameda CTC to execute actions necessary to obtain CTSGP funds from Cal EMA and ensure continued compliance with Cal EMA CTSGP assurances, and state and federal laws.

NOW, THEREFORE, BE IT RESOLVED by the Board of the Alameda CTC that the Executive Director, and/or his Designee, is hereby authorized to execute for and on behalf of Alameda CTC, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining financial assistance provided by the California Emergency Management Agency under the CTSGP.

DULY PASSED AND ADOPTED by the Alameda County Transportation Commission at the regular meeting of the Board held on Thursday, January 24, 2013 in Oakland, California, by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

XXXXXXXXX

Chair

Vanessa Lee

Clerk of the Commission

Grant Assurances

**Transit System Safety, Security and
Disaster Response Account Program**Name of Applicant: Alameda CTCAddress: 1333 Broadway, Suite 220 & 300City: Oakland State: CA Zip Code: 94612Telephone Number: (510) 208-7400E-Mail Address: contact@alamedactc.org

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for Transit System Safety, Security, and Disaster Response Account funds, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the State of California and administered by the California Emergency Management Agency (Cal EMA).
2. Will assure that grant funds are only used for allowable, fair, and reasonable costs.
3. Will give the State of California generally and Cal EMA in particular, through any authorized representative, access to and the right to examine all paper or electronic records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or Cal EMA directives.
4. Will provide progress reports and other information as may be required by Cal EMA.
5. Will initiate and complete the work within the applicable timeframe after receipt of Cal EMA approval.
6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply with all California and federal statutes relating to nondiscrimination. These include but are not limited to:

- a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;
 - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
 - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§ 794) which prohibits discrimination on the basis of handicaps;
 - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
 - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
 - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - g. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290dd-2), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
 - i. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made; and
 - j. The requirements on any other nondiscrimination statute(s) which may apply to the application.
8. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
 9. Will comply with applicable environmental standards which may be prescribed pursuant to California or federal law. These may include, but are not limited to, the following:
 - a. California Environmental Quality Act. California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Sections 15000-15007;
 - b. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - c. Notification of violating facilities pursuant to EO 11738;
 - d. Protection of wetlands pursuant to EO 11990;
 - e. Evaluation of flood hazards in floodplains in accordance with EO 11988;
 - f. Assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - g. Conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
 - h. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and

- i. Protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
10. Will comply, if applicable, with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et. seq.) related to protecting components or potential components of the national wild and scenic rivers system.
11. Will assist Cal EMA, as appropriate, in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §§ 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq).
12. Will comply with Standardized Emergency Management System requirements as stated in the California Emergency Services Act, Gov Code §§ 8607 et seq. and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
13. Will:
 - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by Cal EMA;
 - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California; and
 - c. CTSGP-CTAF funds must be kept in a separate interest bearing account. Any interest that is accrued must be accounted for and used towards the approved Prop1B project approved by Cal EMA.
14. Will comply, if applicable, with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
15. Agrees that equipment acquired or obtained with grant funds:
 - a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant;
 - b. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
16. Will comply, if applicable, with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.

17. Will comply with all applicable requirements, and all other California and federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.
18. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.
 - a. The applicant certifies that it and its principals:
 1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency;
 2. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) have not within a three-year period preceding this application had one or more public transactions (federal, state, or local) terminated for cause or default; and where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.
19. Will retain records for thirty-five years after notification of grant closeout by the State.
20. Will comply with the audit requirements set forth in the Office of Management and Budget (OMB) Circular A-133, "Audit of States, Local Governments and Non-Profit Organizations."
21. Grantees and subgrantees will use their own procurement procedures which reflect applicable state and local laws and regulations.
22. Grantees and subgrantees will comply with their own contracting procedures or with the California Public Contract Code, whichever is more restrictive.
23. Grantees and subgrantees will maintain procedures to minimize the time elapsing between the award of funds and the disbursement of funds.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent: _____

Printed Name of Authorized Agent: _____ **Arthur L. Dao** _____

Title: _____ **Executive Director** _____ Date: _____

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: **Approval of Issuance of a Request for Proposal (RFP) for Professional Services, Authorization to Negotiate and Execute a Contract, and Approve Resolution for Federal Funding for Countywide Safe Routes to School (SR2S) Services**

Recommendation

It is recommended that the Commission take the following actions related to the Countywide Safe Routes to School Program (SR2S):

1. Approve the Issuance of a Request for Proposal (RFP) and provide authorization to negotiate and execute a contract for Professional Services for the Safe Routes to School Program for the period of FY 13-14 through FY 15-16; and,
2. Approve a Resolution of Local Support as required by MTC Resolution 4035 for federal funding for the SR2S Program.

Summary

Alameda CTC has approved federal funding through MTC Resolution 4035 and the One Bay Area Grant (OBAG) program for the implementation of a countywide SR2S program. A draft scope of services is attached, which will be the basis for an RFP Scope of Work for the programmatic elements of the Alameda County SR2S Program, to be released in late January or early February. Prior to the completing the programming of the federal funds, MTC also requires a resolution of local support, committing to complete the project and provide the minimum local match requirements for the federal funds.

Discussion

Alameda CTC has approved federal funding for the SR2S program, included in MTC Resolution 4035 that was approved by MTC on May 17, 2012. MTC Resolution 4035 provides funds for a Regional Safe Routes to Schools (SR2S) program. Similar to Cycle 1 federal funding in the MTC region that has funded the last two years of operations, the SR2S program remains a regionally funded program with direct county distributions. MTC has identified about \$4.3 million for Alameda County for SR2S efforts that will be available for the SR2S program from FY 13/14 to FY 15/16. The OBAG program allows for the option to contribute additional funding to augment SR2S activities and the Alameda CTC approved \$2 million of OBAG funding to augment the \$4.3 million of regional SR2S funding, for a total of \$6.3 million. The federal funds that will be used to support

the SR2S program will include a combination of Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) program funds.

As part of the application for STP/CMAQ funding, MTC requires a resolution adopted by the implementing agency stating: (1) commitment of required matching funds(minimum 11.47% for federal funds, about \$800,000 for this program); (2) that funding is fixed at the programmed amount, and the project sponsor is responsible for funding cost increases; (3) that the project will comply with the procedures, delivery milestones and funding deadlines specified in the MTC project delivery policy (MTC Resolution No. 3606); (4) the assurance of the sponsor to complete the project as described in the application; and (5) that the project will comply with all project-specific requirements as set forth in the MTC Resolution 4035. Attachment B is the Countywide Safe Routes to School Program's Resolution of Local Support for \$6.293 million of STP/CMAQ funding (\$4.293 million of Regional SR2S and \$2 million of OBAG). To allow for MTC's advance approval of the RSR2S and OBAG funds for the SR2S program, ahead of the approval of the overall OBAG program in the summer of 2013, an approved resolution is due to MTC by the end of January 2013.

There are four elements in the countywide program, all of which will operate in tandem to form a coordinated effort:

- K-8 Program to operate comprehensive SR2S programs in a minimum of 110 schools
- High School program, to operate in a minimum of 10 schools
- Commute Alternatives program to reduce faculty and staff drive-alone trips in approximately 1-2 school districts
- Ability to extend the BikeMobile after pilot program expiration in November 2013

Requirements of the RFP

The Consultant teams responding to the SR2S RFP will be required to identify how their proposed approach will address the overall countywide SR2S program goals, which are to:

- Establish one cohesive countywide program that is implemented equitably throughout the County, with all elements integrated and coordinated efficiently, even if implemented by different entities;
- Build upon lessons learned and continue successes, including the current K-8 SR2S program which will be operating in more than 100 schools by June 2013;
- Build upon lessons learned and continue successes for two programs (high school and commute alternatives) established during the 2011-2013 SR2S Program;
- Provide the ability to continue the BikeMobile Pilot program that will sunset in November 2013
- Effectively coordinate with partner agencies to implement and expand the program;
- Address traditional SR2S 5 E's (Education, Encouragement, Engineering, Enforcement, Evaluation), as well as a 6th E, Emission Reductions.

In addition to the above, the consultant must address how it will meet performance measures it proposes as part of the scope of work.

As a part of the responses to each task in the scope of services (Attachment A), the consultant is expected to address the integration of the following items for the continuation and expansion of an Alameda County SR2S Program:

- Identify opportunities and activities that can support long-term achievement of sustained mode shift and emissions reductions, and include examples of experiences and the proposed approach to achieving mode shift.
- Define and rationalize realistic mode shift goals and targets through the use of proposed performance measures.
- Describe how multiple partners will be engaged in the SR2S program to establish successful partnerships, including strategies for low-income communities.
- Describe how the proposed approach will tailor the SR2S program to each unique community and how the program will aim to expand participation at each school site, including identifying and reaching out to students and families within a half-mile radius of each school where a SR2S program will be implemented.
- Describe past experiences in flexibly responding to cuts in city and school resources, and how those experiences influence the proposed SR2S program approach.
- Describe the consultant staff composition and how the proposed approach will identify the needs of and support the multi-cultural and different incomes level of communities throughout Alameda County.
- Describe effective engagement experiences with parents, educators, city staff and others that have expanded involvement in the SR2S Program and how the proposed approach will implement multi-faceted engagement in the Alameda County program.
- Describe the proposed approach to address barriers to involvement in a SR2S program for parents and staff at schools.
- Describe how the proposed approach will address public health issues and benefits related to walking and biking.
- Describe how the consultant will engender and support school champions and volunteer leaders with the aim of achieving support for the program from school administrators.

Alameda CTC staff proposes to release one RFP for the SR2S program elements in February 2013. A team would be hired to operate and provide coordination among the three elements for a three-year period, beginning July 2013. The team will also be responsible for integrating bicycle safety education classes for children. The new BikeMobile project, recently funded through a competitive regional SR2S grant, will also be administered in concert with this contract. The new SR2S team will also be requested to carry on the BikeMobile component in SR2S program with the funding of the initial pilot program expiring in the fall of 2013.

Proposed SR2S RFP Timeline

Date	Activity
Jan 2013	Request approval from Alameda CTC to release RFP
Jan-Feb 2013	Release RFP SR2S Professional Services
May 2013	Select Consultant
June 30, 2013	End of currently funded SR2S K-8 and HS Program
July 1, 2013	Start of new countywide SR2S Program Contract
June 30, 2016	Completion of SR2S Program Contract

Fiscal Impact

Award of the proposed contract is subject to the MTC Resolution 4035 funds approval in the MTC Transportation Improvement Program (TIP) document and the subsequent authorization of the

federal funding. Upon approval, the necessary budget for the Professional Services contract will be included in the FY 2013-2014 Budget.

Attachments

Attachment A: Alameda County SR2S Program RFP Scope of Services

Attachment B: Resolution No.13-004 of Local Support

**ALAMEDA COUNTYWIDE SAFE ROUTES TO SCHOOLS PROGRAM
REQUEST FOR PROPOSALS (RFP)
SCOPE OF SERVICES**

The Alameda CTC seeks consultant assistance to administer the continuation and expansion of the Alameda Countywide Safe Routes to Schools (SR2S) programs. The Alameda CTC has funded the Alameda Countywide SR2S Program since 2007 using local sales tax funds (Measure B). The initial program was focused on North and Central Alameda County. Since 2009 the program serves the entire county. In 2010, MTC created and funded a the SR2S grant program under the Climate Initiatives category of the Regional Transportation Plan. The focus of the MTC program was to reduce greenhouse gases by promoting walking, biking, transit, and carpooling to school. Continued funding for the program will come from the MTC Resolution 4035, which was approved by MTC in May 2012.

A consultant will be selected to operate and provide coordination among the four programmatic elements for a three-year period, beginning July 2013. The team will also be responsible for integrating bicycle safety education classes for children and at the option of the Agency, to continue the BikeMobile, currently a Pilot Project set to expire in November 2013.

There are four elements in the countywide program, all of which will operate in tandem to form a coordinated effort:

- Four programmatic elements that are part of this RFP include:
 - K-8 Program to operate comprehensive SR2S programs in a minimum of 110 schools
 - High School program, to operate in a minimum of 10 schools
 - Commute Alternatives program to reduce faculty and staff drive-alone trips in approximately 1-2 school districts
 - Ability to extend the BikeMobile after pilot program expiration in November 2013

The consultant is required to identify how its proposed approach will address the overall countywide SR2S program goals, which are:

- Establish one cohesive countywide program that is implemented equitably throughout the County, with all elements integrated and coordinated efficiently, even if implemented by different entities;
- Build upon lessons learned and continue successes, including the current K-8 SR2S program which will be operating in more than 100 schools by June 2013;
- Build upon lessons learned and continue successes for two programs (high school and commute alternatives) established during the 2011-2013 SR2S Program;
- Provide the ability to continue the BikeMobile Pilot program that will sunset in November 2013
- Effectively coordinate with partner agencies to implement and expand the program;
- Address traditional SR2S 5 E's (Education, Encouragement, Engineering, Enforcement, Evaluation), as well as a 6th E, Emission Reductions.

In addition to the above, the consultant must address how it will meet performance measures it proposes as part of the scope of work (a draft list is included in Task 1).

As a part of the responses to each task below, the consultant is expected to address the integration of the following items for the continuation and expansion of an Alameda Countywide SR2S Program:

- Identify opportunities and activities that can support long-term achievement of sustained mode shift and emissions reductions, and include examples of experiences and the proposed approach to achieving mode shift.
- Define and rationalize realistic mode shift goals and targets through the use of proposed performance measures.
- Describe how multiple partners will be engaged in the SR2S program to establish successful partnerships, including strategies for low-income communities.
- Describe how the proposed approach will tailor the SR2S program to each unique community and how the program will aim to expand participation at each school site, including identifying and reaching out to students and families within a half-mile radius of each school where a SR2S program will be implemented.
- Describe past experiences in flexibly responding to cuts in city and school resources, and how those experiences influence the proposed SR2S program approach.
- Describe the consultant staff composition and how the proposed approach will identify the needs of and support the multi-cultural and different income level of communities throughout Alameda County.
- Describe effective engagement experiences with parents, educators, city staff and others that have expanded involvement in the SR2S Program and how the proposed approach will implement multi-faceted engagement in the Alameda Countywide program.
- Describe the proposed approach to address barriers to involvement in a SR2S program for parents and staff at schools.
- Describe how the proposed approach will address public health issues and benefits related to walking and biking.
- Describe how the consultant will engender and support school champions and volunteer leaders with the aim of achieving support for the program from school administrators.

TASK 1 – PROJECT INITIATION, MANAGEMENT AND COORDINATION

The consultant will oversee the implementation of all SR2S Program elements throughout the life of the project, ensuring that all program elements are integrated and implemented as a unified countywide program, and that it is delivered equitably throughout Alameda County. The work for this task includes managing the program funding, grant compliance and providing regular progress updates to Alameda CTC. The consultant will complete all funding requirements in accordance with federal funding and Alameda CTC reporting requirements for Measure B funds.

The consultant will prioritize developing expertise among its locally-based program partners, as appropriate, to ensure a sustainable program. In addition, the Consultant will ensure that the

PAGE 2

program is fully integrated with school-related bicycling and walking programs and activities not funded through this contract, including efforts being carried out by local jurisdictions. The consultant will provide necessary services at the option of the Agency to ensure continuation of the BikeMobile program upon pilot program expiration in November 2013, per Task 6. Upon request, the consultant may be requested to provide input on potential capital project benefits for access improvements to school facilities.

As a part of this task, the consultant will further develop the program elements and define the work products and performance measures (sample measures are included below) in greater detail, as well as develop and maintain a detailed overall project schedule, including deliverable due dates. All program evaluation activities will be coordinated, and summary reports will be prepared. Program evaluation must be coordinated with evaluation efforts being developed by MTC and its consultants. One project manager will be designated to serve as a single point of contact for Alameda CTC, and will oversee and lead the Alameda Countywide Safe Routes to Schools program.

Additional coordination under this task includes working with MTC and its consultants on MTC's Regional School and Youth Outreach Program (RSYOP). These efforts will include serving on a regional Technical Advisory Committee (TAC), which will develop a work plan for this effort, provide input on and share technologies, test new program elements developed out of this process, and potentially implement programs that are outcomes of MTC's RSYOP. It is anticipated that serving on the TAC and providing input and testing programs is covered as part of this contract.

Sample project performance measures and program goals may include, but are not limited to, the following:

Overall Program

- percent or lbs. of emissions reduced (criteria pollutants and greenhouse gas emissions)
- percentage and number of SOV trips reduced
- vehicle miles traveled reduced
- # of new partners
- others

K-8 Program

- # of elementary schools with comprehensive SR2S program
- # of middle schools with comprehensive SR2S program
- # of students attending these schools
- mode shift by families/students as a result of the project
- # of students receiving in-class presentations
- # of students attending assembly programs
- # of students participating in after-school activities
- # of biking and walking school-wide events
- # of students receiving in-class bike safety education and training

- # of teachers who received training
- # of after-school providers who received training
- # of schools provided with resources/assistance (not part of comprehensive program)
- # of parents, volunteers and community members involved
- increase in bus ridership
- # of bike rodeos
- # of family cycling workshops

High School Program

- # of high schools with comprehensive SR2S program
- mode shift by students as a result of the program
- Trips (and/or vehicle miles) reduced due to program
- # of students involved in implementing the program
- # of students participating (attendees at events, signup on web site, etc.)
- # of training events
- reduction in # of cars parked in school lot
- increase in bus ridership

Ridesharing/carpool program

- % reduction in total vehicle trips (or vehicle miles travelled) to schools
- mode shift by participants as a result of the project
- # of staff and faculty contacted through presentations, emails or other contacts
- % of faculty and staff participating in program
- # of parents participating, if applicable
- # of students participating, if applicable
- reduction in # of cars parked in school lot
- increase in bus ridership

BikeMobile

- Trips (and/or vehicle miles) reduced due to bike repairs made
- Trips (and/or vehicle miles) reduced due to person-contacts made
- # of school visits
- # of other site visits
- # of bike repairs made
- # of kids reached with promotions
- # of students who report bicycling to school as a result of the program

Proposed project measures and goals will need to respond to any MTC program requirements, which are still being developed.

Task 1 Deliverables:

- Kick-off meeting notes, with follow-up tasks*
- Refined schedule, task budgets, deliverables, and performance measures*

- c) *Participation on MTC's Technical Advisory Committee for its Regional School and Youth Outreach Program, and coordination with MTC on performance measure development and project evaluation*
- d) *Monthly progress reports detailing project activities, coordination efforts and goal achievement*
- e) *Meetings with Alameda CTC staff, including preparation of summary notes*
- f) *Meetings with team partners to ensure adherence to project schedule and deliverables*
- g) *Summary evaluation of all program elements, submitted once per year*
- h) *Annual summaries showing distribution of program activities throughout the county.*

TASK 2 – COMMUNICATIONS AND OUTREACH STRATEGY

The Program will require extensive coordination between local jurisdictions, school districts, community organizations, and the general public. The consultant will develop a branding strategy for the coordinated program, as well as an approach to effectively make information about the various program elements easily accessible to all stakeholder groups, including in multiple languages as necessary. Strategies will include a program web site, newsletters, and printed materials, at a minimum. As required by the Metropolitan Transportation Commission (MTC) and to maximize the efficient use of resources, the consultant will coordinate these efforts with MTC's regional SR2S activities.

Task 2 Deliverables:

- a) *Memo outlining draft communications and outreach strategy, including descriptions, schedule, and budget for each item. Coordinate with MTC and its consultants on regional strategies and document how implementation will occur in Alameda County between the county and regional strategies.*
- b) *An Alameda County SR2S web site to provide access to information about all program elements, including listing of major activities, contact information, and resources for local program participants to utilize.*
- c) *Regular newsletters.*
- d) *Maintain updated and effective print materials, including in multiple languages, as necessary.*

TASK 3 – SAFE ROUTES TO SCHOOLS GRADES K-8 PROGRAM

This task provides for the continuation of the existing Alameda Countywide Safe Routes to Schools program in grades K-8, which is scheduled to be implementing comprehensive programs in over 100 schools by June 2013. The specific 100 schools may change over time, but the total number of participating schools with comprehensive programs will remain or increase if additional funding can be secured. It is anticipated that the need for schools receiving the comprehensive elements of the program will increase by 10% per year.

Each school will have a comprehensive program designed to meet the specific needs of that school, but will at a minimum include regular contact with the consultant, the provision of resources to maintain an ongoing SR2S program throughout the year, and program evaluation at the schools site. Program evaluation will need to be coordinated with MTC's evaluation efforts.

Comprehensive programs will be designed to be the most effective for each school site and to be within the overall budget. They may include bicycle safety education, general assemblies, puppet shows, walk audits, trainings for students, staff, and parents; technical and programmatic support regarding the implementation of activities such as walking school buses, assemblies, monthly Walk to School Days, and collaboration with law enforcement.

The program will also continue to offer web-based resources and provide technical assistance to schools that do not have comprehensive programs. Local task forces made of up key community stakeholders, which may include parents, teachers, elected officials and others, will be utilized and/or developed to assist in defining the reach of the program around the school site, the program needs, determining the program components, and assisting with program delivery. The curriculum and educational materials will be regularly revised to follow the current best practices.

The consultant will integrate family cycling clinics and bicycle rodeos – both of which have previously been funded and implemented as stand-alone projects – into the K-8 program, along with the BikeMobile program (described in Task 6). School site visits made by the BikeMobile must be integrated into programs at schools both with and without comprehensive SR2S programs, as appropriate.

Task 3 Deliverables:

- a) *Building on the current K-8 program, develop a revised work plan to maximize program effectiveness. Include performance measures, schedule, and detailed task budgets.*
- b) *Maintain and revise curriculum and educational and promotional materials to keep them up-to-date and in line with current best practices.*
- c) *Marketing materials, including press releases and handouts.*
- d) *Program evaluation approach memo and coordination with MTC on evaluations.*
- e) *Program evaluation final report at the end of each school year.*
- f) *Program integration approach memo*

TASK 4 – SAFE ROUTES TO SCHOOLS HIGH SCHOOL PROGRAM

Continuation of the new program element for the Alameda Countywide Safe Routes to School program established in 2011. The consultant will research effective strategies for use in encouraging high school students to reduce emissions from school-based trips by using transportation modes such as bicycling, walking, transit, or ridesharing. Based on an assessment of best practices, the consultant will develop recommended program elements, and a proposed project schedule and detailed task budgets.

The consultant will tailor the program to the unique needs of high school students, and may include elements such as social marketing tools, student involvement in program design, and parking management strategies. The program will be implemented in 10 high schools in Year 1, with 5-8 more high schools to be added by Year 3. High schools selected should represent schools of various types and sizes within Alameda County and continue to build on the successes of the program established in 2011 to 2013. Similar to Task 3, the consultant will integrate the BikeMobile program (described in Task 6) into the high school program.

Task 4 Deliverables:

- a) *Summary memo on best practices for high school Safe Routes to School programs, or other programs successful in increasing bicycle, pedestrian, or rideshare trips among high school students.*
- b) *Final recommendation on program approach, enhancements to the current program, elements and schools to target over the three years.*
- c) *Develop detailed schedule, budget and performance measures.*
- d) *Program evaluation approach memo, including survey instrument and summary of current demographics and commute patterns among students at targeted schools.*
- e) *Program evaluation final report at the end of each school year.*

TASK 5 – SAFE ROUTES TO SCHOOLS COMMUTE ALTERNATIVES PROGRAM

This Task focuses primarily on reducing the percentage of single occupant vehicle (SOV) trips made by school staff and teachers, and to encourage ridesharing, carpooling and transportation options that support clean air by reducing or eliminating greenhouse gas and other pollutant emissions.

The program will target 4 to 5 school districts for implementation. Based on an assessment of best practices for Transportation Demand Management (TDM) strategies, as well as resources currently available in Alameda County, the consultant will assess how these populations can take advantage of, and coordinate with, new and existing TDM programs, such as the 511.org School Pool program. As appropriate, customized approaches will be developed to further address the needs of staff and teachers in the targeted school districts. The consultant will recommend appropriate technology to utilize, including consideration of traditional methods and innovative approaches such as dynamic ridesharing.

The consultant will also investigate the feasibility of including parents and eligible students as carpool participants or drivers, as well as participation in the program by school district office staff.

Task 5 Deliverables:

- a) *Work with Regional Rideshare Program to survey origins and destinations and current commuting patterns of school staff and teachers.*
- b) *Research memo summarizing the targeted populations' needs and constraints.*
- c) *Best practices memo to determine most effective strategies for addressing the target populations. Memo should include assessment of feasibility for including school district staff in the program and the potential inclusion of high school students as either drivers or passengers.*
- d) *Work plan, budget and schedule to implement program, with a strategy, time frame, and estimated budget for potential expansion throughout Alameda County.*
- e) *Program evaluation results at the end of each school year.*

TASK 6 – INTEGRATION AND CONTINUATION OF BIKEMOBILE PROGRAM INTO ALAMEDA COUNTYWIDE SR2S PROGRAM

The BikeMobile program currently provides bicycle repair, maintenance lessons, and also promote bicycling at sites around the county, including schools. The program is currently set to expire on November 2013 and at the option of the Agency, this contract will provide all services and staffing necessary to continue the BikeMobile program.

The consultant will have full responsibility for fully integrating, monitoring and reporting for the BikeMobile program, including ensuring that it is implemented as one element in the overall Alameda Countywide SR2S program till program expiration in November 2013. This includes consultant staff time for work to coordinate with BikeMobile staff on BikeMobile visits that coincide with other SR2S programming, and to assist with school-site logistics for the BikeMobile visits. After BikeMobile expiration, the current contract is anticipated, at Agency option, to continue the BikeMobile program (i.e. staffing, graphics, marketing, operating, parts, vehicle, etc).

Task 6 Deliverables:

- a) *Memo summarizing the strategy and specific steps to integrate the BikeMobile program into the Alameda Countywide SR2S program.*
- b) *Memo defining the deliverables, performance measures, task budgets, and schedule for the final selected approach for implementing the BikeMobile program.*
- c) *All activities of the BikeMobile Program will be reported on a monthly basis under Task 1.*
- d) *BikeMobile operations to commence after expiration of the current BikeMobile program in November 2013.*



Commission Chair
TBD

Commission Vice Chair
Scott Haggerty, Supervisor – District 1

AC Transit
Greg Harper, Director

Alameda County
Supervisors
Richard Valle – District 2
Wilma Chan – District 3
Nate Miley – District 4
Keith Carson – District 5

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Executive Director
Arthur L. Dao

Alameda County Transportation Commission Resolution 13-004

Resolution of Local Support MTC Discretionary Funding . Authorizing the filing of an application for funding assigned to MTC and committing any necessary matching funds and stating the assurance to complete the project

WHEREAS, the Alameda County Transportation Commission (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for \$6.293 million in funding assigned to MTC for programming discretion, including but not limited to federal funding administered by the Federal Highway Administration (FHWA) such as Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding and/or Transportation Alternatives (TA) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the Alameda Countywide Safe Routes to School Program (herein referred to as PROJECT) for the Regional Safe Routes to School (RSR2S) and One Bay Area Grant (OBAG) (herein referred to as PROGRAM); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP 21) authorize various federal funding programs including, but not limited to the Surface Transportation Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives Program (TA) (23 U.S.C. § 213); and

WHEREAS, state statutes, including California Streets and Highways Code 182.6 and 182.7 provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal funds for a project shall submit an application first with the appropriate MPO for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of federal funds; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING,

MTC requires a resolution adopted by the responsible implementing agency stating the following:

1. the commitment of any required matching funds of at least 11.47%; and
2. that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
3. that the project will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
4. the assurance of the sponsor to complete the project as described in the application, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
5. that the project will comply with all project-specific requirements as set forth in the PROGRAM; and
6. that the project (transit only) will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 for continued funding; and be it further

RESOLVED that the APPLICANT by adopting this resolution does hereby state that:

1. APPLICANT will provide \$815,235 in matching funds; and
2. APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
3. APPLICANT understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation projects, and has assigned, and will maintain a single point of contact for all FHWA-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans and FHWA on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA-funded transportation projects implemented by APPLICANT; and
4. PROJECT will be implemented as described in the complete application and in this resolution and, if approved, for the amount approved by MTC and programmed in the federal TIP; and
5. APPLICANT and the PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and
6. APPLICANT (for a transit project only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866, revised; and therefore be it further

RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and be it further

RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED that APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC's federal TIP.

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

XXXXXXXXX

Chair

Vanessa Lee

Clerk of the Commission

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: California Transportation Commission (CTC) December 2012 Meeting Summary

Recommendation

This item is for information only. No action is requested.

Discussion

The California Transportation Commission is responsible for programming and allocating funds for the construction of highway, passenger rail, and transit improvements throughout California. The CTC consists of eleven voting members and two non-voting ex-officio members. The San Francisco Bay Area has three (3) CTC members residing in its geographic area: Bob Alvarado, Jim Ghielmetti, and Carl Guardino.

The December 2012 CTC meeting was held at Riverside, CA. Detailed below is a summary of the nine (9) agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the December 2012 CTC meeting (Attachment A).

1. **Proposition 1B Corridor Mobility Improvement Account (CMIA) / Freeway Performance Initiative (FPI) - Traffic Operation Systems (TOS) and Ramp Metering Project**

The CTC approved an amendment of the CMIA base line agreement of the FPI - Traffic TOS and Ramp Metering project to update the funding plan.

Outcome: The revised project funding plan will reflect previously incurred SHOPP expenditures for pre-construction activities for Contract 3 which was omitted from the original baseline agreement.

2. **Proposition 1B CMIA / Freeway Performance Initiative (FPI) - Traffic Operation Systems (TOS) and Ramp Metering Project - Contract 2,3,4 and 5**

The CTC approved de-allocation of \$6,900,000 in Proposition 1B CMIA Program funds from the FPI - TOS and Ramp Metering project, thereby reducing the original CMIA construction capital allocation of \$31,152,000 to \$24,252,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

3. Proposition 1B CMIA / Freeway Performance Initiative - Traffic Operation Systems (TOS) and Ramp Metering on I-680 between AutoMall and Mission

The CTC approved de-allocation of \$ 327,000 in Proposition 1B CMIA Program funds from the I-680 FPI - TOS and Ramp Metering project, thereby reducing the original CMIA construction capital allocation of \$6,000,000 to \$5,673,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

4. Proposition 1B CMIA / I-80 ICM Adaptive Ramp Metering Project

The CTC approved de-allocation of \$1,539,000 in Proposition 1B CMIA Program funds from the I-80 ICM Adaptive Ramp Metering project, thereby reducing the original CMIA construction capital allocation of \$9,426,000 to \$7,887,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

5. Proposition 1B CMIA / I-80 ICM Active Traffic Management Project

The CTC approved de-allocation of \$6,713,000 in Proposition 1B CMIA Program funds from the I-80 ICM Active Traffic Management project, thereby reducing the original CMIA construction capital allocation of \$25,294,000 to \$18,581,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

6. Proposition 1B CMIA / I-880 SB HOV Lane Extension-North Segment (Davis to Hegenberger)

The CTC approved de-allocation of \$6,235,000 in Proposition 1B CMIA Program funds from the I-880 SB HOV Lane Extension-North Segment (Davis to Hegenberger) project, thereby reducing the original CMIA construction capital allocation of \$32,000,000 to \$25,765,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

7. Proposition 1B CMIA / I-580 Eastbound HOV Lane Project (Segment 3) - Aux Lanes from Isabel to N. Livermore and from N. Livermore to First Street

The CTC approved de-allocation of \$1,163,000 in Proposition 1B CMIA Program funds from the I-580 Eastbound HOV Lane Project (Segment 3) - Aux Lanes from Isabel to N. Livermore and from N. Livermore to First Street project, thereby reducing the original CMIA construction capital allocation of \$19,028,000 to \$17,865,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

8. Proposition 1B CMIA / I-580 Westbound HOV Lane Project (Segment 1) - Greenville Rd. to Isabel Ave.

The CTC approved de-allocation of \$7,476,000 in Proposition 1B CMIA Program funds from the I-580 Westbound HOV Lane Project (Segment 1) - Greenville Rd. to Isabel Ave. project, thereby reducing the original CMIA construction capital allocation of \$42,821,000 to \$34,345,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

9. Proposition 1B CMIA / I-580 Westbound HOV Lane Project (Segment 2) -Isabel Ave. to Foothill Blvd.

The CTC approved de-allocation of \$11,883,000 in Proposition 1B CMIA Program funds from the I-580 Westbound HOV Lane Project (Segment 2) -Isabel Ave. to Foothill Blvd. project, thereby reducing the original CMIA construction capital allocation of \$45,614,000 to \$33,731,000.

Outcome: The de-allocation reflects contract award savings. Construction phase is initiated and construction activities are scheduled to begin in early 2013.

Attachment (s)

Attachment A: December 2012 CTC Meeting Summary for Alameda County Projects /Programs

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Sponsor	Program / Project	Item Description	CTC Action / Discussion
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / Freeway Performance Initiative (FPI) - Traffic Operation Systems (TOS) and Ramp Metering Project	Amend the CMIA baseline agreement for the FPI TOS and Ramp Metering project to update the funding plan.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / Freeway Performance Initiative (FPI) - Traffic Operation Systems (TOS) and Ramp Metering Project - Contract 2, 3, 4 and 5	De-allocate \$6.9M thereby reducing the original CMIA construction capital allocation of \$31.2M to \$24.3M, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / Freeway Performance Initiative - Traffic Operation Systems (TOS) and Ramp Metering on I-680 between AutoMall and Mission	De-allocate \$327,000 thereby reducing the original CMIA construction capital allocation of \$6,000,000 to \$5,673,000, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / I-80 ICM Adaptive Ramp Metering Project	De-allocate \$1,539,000 thereby reducing the original CMIA construction capital allocation of \$9,426,000 to \$7,887,000, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / I-80 ICM Active Traffic Management Project	De-allocate \$6,713,000 thereby reducing the original CMIA construction capital allocation of \$25,294,000 to \$18,581,000, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / I-880 SB HOV Lane Extension-North Segment (Davis to Hegenberger)	De-allocate \$6,235,000, thereby reducing the original CMIA construction capital allocation of \$32,000,000 to \$25,765,000, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / I-580 Eastbound HOV Lane Project (Segment 3) - Aux Lanes from Isabel to N. Livermore and from N. Livermore to First Street.	De-allocate \$1,163,000, thereby reducing the original CMIA construction capital allocation of \$19,028,000 to \$17,865,000, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / I-580 Westbound HOV Lane Project (Segment 1) - Greenville Rd. to Isabel Ave.	De-allocate \$7,476,000, thereby reducing the original CMIA construction capital allocation of \$42,821,000 to \$35,345,000, to reflect contract award savings.	Approved
Caltrans	Corridor Mobility Improvement Account (CMIA) Program / I-580 Westbound HOV Lane Project (Segment 2) - Isabel Ave. to Foothill Blvd.	De-allocate \$11,883,000, thereby reducing the original CMIA construction capital allocation of \$45,614,000 to \$33,731,000, to reflect contract award savings.	Approved

http://www.dot.ca.gov/hq/transprog/ctcbooks/2012/12/12/000_Timed.pdf

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: **I-880/Marina Boulevard Interchange Improvements (APN 750.0) – Approval of Amendment No. 4 to the Professional Services Agreement with BKF Engineers (Agreement No. A08-016)**

Recommendation

It is recommended that the Commission approve Amendment No. 4 to the professional services agreement with BKF Engineers (Agreement No. A08-016) to modify the scope of design services for an additional contract amount not to exceed \$120,000.

Summary

The I-880/Marina Boulevard Interchange Improvement project proposes to construct traffic signals at the I-880/Marina Boulevard ramp termini, a left-turn lane from westbound Marina Boulevard to Kaiser Permanente facility and pedestrian/bike access along Marina Boulevard. The I-880/Marina Boulevard Interchange Improvements project is funded by the Kaiser Permanente San Leandro Medical Foundation. An existing Memorandum of Understanding (MOU) between the City of San Leandro and the Alameda County Transportation Commission (Alameda CTC) covers transfer of funds. The estimated cost for this project is \$4,000,000.

Discussion

The scope of the existing professional services contract with BKF Engineers was to complete a Project Study Report (PSR). BKF Engineers and their sub-consultants performed preliminary engineering and traffic analysis work as part of the PSR development. Based on the scope, complexity and anticipated capital construction cost estimate of the project, it has been determined that this project can be processed as an Encroachment Permit project using the Caltrans Permit Engineering Evaluation Review (PEER) process. Alameda CTC and Caltrans have discussed these findings, and determined that a PSR is not required for projects which are eligible for approval through an Encroachment Permit process. Therefore, no further effort will be spent on PSR development. The remaining \$131,000 budget from the PSR development will be transferred to the design services task resulting in a total of \$251,000 toward design task services.

Table 1 below summarizes the contract actions related to Agreement No. A08-016.

Table 1: Summary of Agreement No. A08-016 with BKF Engineers		
Description	Amendment Amount	Total Contract Not to Exceed Amount
Professional Services Agreement (PSA) with BKF Engineers for Project Study Report development, dated September 16, 2008	N/A	\$345,588
Amendments No.1, 2 & 3 for time extension only, dated June 14, 2010, June 20, 2011 and April 9, 2012	N/A	\$345,588
Recommended Amendment No. 4 for Design Services (This Agenda Item)	\$120,000	\$465,588

These improvements are within the limits of the Alameda CTC sponsored I-880 Southbound High Occupancy Vehicle (HOV) Lane Project (Southern Segment). The construction contract for the Southern Segment of the I-880 HOV project was awarded on September 14, 2012. Construction activities are expected to begin by the end of January 2013.

Though the I-880/Marina Boulevard Project is being developed as a separate project from the freeway widening project, staff is pursuing the integration of the construction of these two projects aimed at creating cost savings where possible. It is expected that I-880/Marina Boulevard improvements will be constructed as part of the larger HOV project through a contract change order; in coordination with the timing of the reconstruction of the Marina Boulevard interchange which will be built under the HOV lane project.

Fiscal Impact

Approval of this item will require the encumbrance of \$4,000,000 which is reimbursable from the funding sources cited in this staff report. The encumbrance amount has been included in the Alameda CTC Adopted FY 2012-13 Operating and Capital Program Budget.



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: **I-580 Westbound Express (HOT) Lane Project (APN 724.1) –
Approval of Amendment No. 2 to the Professional Services Agreements
with URS Corporation (Agreement No. A11-0024)**

Recommendation

It is recommended that the Commission approve Amendment No. 2 to the professional services agreement with the URS Corporation (Agreement No. A11-0024), to provide final plans, specifications and estimate (PS&), perform additional traffic engineering for open access configuration, and for design services during construction (DSDC), for an additional contract amount not-to-exceed \$1,500,000, and to extend contract time to December 31, 2015.

Summary

The Alameda CTC is the implementing agency for the project development phase of the I-580 Westbound Express (HOT) Lanes Project. The Alameda CTC retained a consultant team led by the URS Corporation to provide the necessary project development services to secure environmental approval for the project. On July 1, 2011, Agreement No. A11-0024 was executed with the URS Corporation for an amount not to exceed \$686,502.

An administrative Amendment No. 1 dated November 8, 2012 was issued to extend the contract time for 3 months (until March 31, 2013).

The requested Amendment No. 2 to Agreement No. A11-0024 is needed to provide final plans, specifications and estimate for the project, to refine traffic studies needed for an open access configuration, for design services during construction, and to extend contract time to December 31, 2015.

Table 1 below summarizes the contract actions related to Agreement No. A11-0024.

Table 1: Summary of Agreement No. A11-0024 with URS Corporation		
Description	Amendment Amount	Total Contract Not to Exceed Amount
Professional Services Agreement (PSA) with URS Corporation (A11-0024) to prepare the Project Approval and Environmental Clearance Documents (PA&ED) dated July 1, 2011	NA	\$ 686,502
Amendment No. 1 to A11-0024 to extend contract time 3 months (Until March 31, 2012) dated November 8, 2012.	\$ N/A	\$ 686,502
Recommended Amendment No. 2 to A08-018 (This Agenda Item)	\$ 1,500,000	\$ 1,936,502
Total Amended Contract Not to Exceed Amount \$ 1,936,502		

Funding for this amendment will be provided from the I-580 Corridor Improvement funds approved for the project.

Discussion

The I-580 Westbound Express (HOT) Lane Project proposes to convert the westbound high occupancy vehicle (HOV) lane (currently under construction) to an express lane facility. The project limits are from just west of the Greenfield Road Undercrossing in Livermore to west of the San Ramon Road/ Foothill Road Overcrossing in Dublin/Pleasanton a distance of approximately 13.1 miles.

The project is scheduled to start construction immediately after the west segments of the I-580 Westbound HOV lane projects are completed in 2014. The I-580 Westbound Express Lane Project will construct the necessary infrastructure such as signing, sign gantries for dynamic messaging and toll reading, electrical conduit for connecting power and communication sources, and striping to accommodate the express lanes.

URS Corporation has a contract to perform environmental services for the I-580 Westbound Express (HOT) Lane project. There is no contract in place for design. In order to deliver the Westbound Express Lane project by 2014, Alameda CTC needs to contract for the design services. The most efficient and cost effective way to deliver these services is to use the existing firm and contract that is already in place for the Westbound Express (HOT) Lane project. URS Corporation is already familiar with the corridor and the associated project issues and would require no learning curve. Staff proposes to amend the existing URS contract (Contract No. A11-0024) for the I-580 Westbound Express (HOT) project to provide final plans, specifications and estimate, perform additional traffic engineering for open access configuration, and for design

services during construction for an additional contract amount of \$1,500,000 and to extend contract time to December 31, 2015.

Staff recommends that the Commission authorize the execution of Amendment No. 2 to the professional services agreement with URS Corporation (Agreement No. A11-0024) to provide final plans, specifications and estimate, perform additional traffic engineering for open access configuration, and for design services during construction for an additional contract amount of \$1,500,000 and to extend contract time to December 31, 2015.

Fiscal Impact

The recommended action will authorize the encumbrance of additional project funding for subsequent expenditure. The required additional project funding is included in the current project funding plan.

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: **East Bay Greenway Project (ACTIA 28) – Approval of a Construction Contract for the Construction of the East Bay Greenway Project – Segment 7A**

Recommendation

It is recommended that the Commission approve a construction contract with the lowest, responsive, and responsible bidder for the construction of the East Bay Greenway Project – Segment 7A.

Summary

The Alameda CTC is the sponsor of the East Bay Greenway Project – Segment 7A. The Alameda CTC is also responsible for the advertisement, award and administration (AAA) of the construction contract for the project. The detailed design plans, specifications, and estimates (PS&E) documents for the project have been completed. This project is funded with a combination of federal stimulus TIGER funds (\$1,078,400), with an East Bay Regional Park District (EBRPD) Measure WW bond match (\$269,400).

The project is expected to be advertised in February 2013 with bids to open and the contract awarded to the lowest responsible bidder in March 2013, and construction to start in April 2013.

Discussion

The Alameda CTC is the sponsor of the East Bay Greenway Project. The East Bay Greenway is a planned 12-mile bicycle and pedestrian facility that will travel through Oakland, San Leandro, Hayward and unincorporated Alameda County. The alignment generally runs under the BART tracks and the Greenway will ultimately connect five BART stations. A federal stimulus TIGER II grant has been obtained to build a one half-mile segment of the project (Segment 7A, between Coliseum BART and 85th Avenue in Oakland). Caltrans issued a NEPA Categorical Exclusion for that segment in February 2012, and Alameda CTC filed a CEQA Categorical Exemption for that segment in March 2012. FHWA has authorized the project and Caltrans issued an E-76 Authorization to Proceed with Construction on September 17, 2012. Construction of this segment is planned to begin in April 2013.

In order to position the East Bay Greenway (beyond Segment 7A) for outside funding, Alameda CTC has used discretionary bicycle/pedestrian Measure B funds for preliminary engineering and

CEQA analysis of the full 12-mile project which the Commission adopted at the October 25, 2012 Commission meeting. The final CEQA analysis has been posted on the Alameda CTC website at www.alamedactc.org/news_items/view/7903, and is also available to members of the public at the Alameda CTC's offices.

The construction phase of the project will be funded with a combination of federal Tiger II funds (\$1,078,400) with an EBRPD WW bond match (\$269,400). The project is subject to federal contracting requirements.

The Alameda CTC is also responsible for the AAA construction component of the project. The project is expected to be advertised in February 2013, with bid opening and contract award to the lowest responsible bidder in March 2013, and construction scheduled to begin April 2013.

The Commission will be informed of the bid opening outcome, i.e. bids received and the successful bidder, at their April 25, 2013 meeting.

Fiscal Impact

Approval of the recommended actions will encumber \$1,347,800 for the project which will be reimbursed by Federal and EBRPD funding sources.



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Finance & Administration Committee

SUBJECT: Adoption of the Alameda CTC 2013 Regular Meeting Schedule

Recommendation

It is recommended that the Commission adopt the Alameda CTC 2013 Regular Meeting Schedule.

Summary

Pursuant to Section 4.2.10 of the Alameda CTC Administrative Code, the Commission shall adopt the schedule of regular meetings of the Commission and the Standing Committees for the upcoming year at its January organizational meeting. The Commission and each Standing Committee may change the date for a regular meeting of such body to another business day if the regular date is a holiday or as otherwise determined by the Commission or such Standing Committee.

Fiscal Impact

There is no fiscal impact at this time.

Attachment

Attachment A: Alameda CTC 2013 Meeting Schedule

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**Alameda County Transportation Commission
Board and Standing Committees Meeting Schedule
Calendar Year 2013**

I-680 JPA I-580 PAC* PPLC PPC FAC	ACTC Commission
January 14, 2013	January 24, 2013
February 11, 2013	Annual Board Retreat -- February 22, 2013
	February 28, 2013
March 11, 2013	March 28, 2013
April 8, 2013	April 25, 2013
May 13, 2013	May 23, 2013
June 10, 2013	June 27, 2013
July 8, 2013	July 25, 2013
September 10, 2013	September 26, 2013
October 14, 2013	October 24, 2013
November 18, 2013**	No November Board Meeting**
No Committee Meetings**	December 5, 2013**

Meeting Acronyms:

		Meeting Time
I-680 JPA Board	I-680 Sunol Smart Carpool Lane Joint Powers Authority Board	9:00 AM
I-580 PAC*	I-580 Policy Advisory Committee	9:15 AM
PPLC	Planning, Policy & Legislation Committee	10:30 AM
PPC	Programs and Projects Committee	12:00 PM
FAC	Finance and Administration Committee	1:30 PM
ACTC Commission	Alameda County Transportation Commission Meeting	2:00 PM

Note : * -- I-580 Policy Advisory Committee is an ad-hoc committee and not a Standing Committee

Note : ** -- Meeting dates have been updated due to observance of agency holidays.

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Finance and Administration Committee

SUBJECT: **Approval of the Alameda CTC Draft Audited Annual Financial Report and the ACTIA Limitations Worksheet for the Fiscal Year Ended June 30, 2012**

Recommendation

It is recommended that the Commission approve the attached Alameda County Transportation Commission's (Alameda CTC) first consolidated draft Audited Annual Financial Report and the ACTIA Limitations Worksheet for the fiscal year ended June 30, 2012, as audited by the certified public accounting firm of Vavrinek, Trine, Day & Co., LLP, and all additional required reports.

Summary

Pursuant to the Joint Powers Agreement of the Alameda County Transportation Commission, California Public Utilities Code Section 180105, the Joint Powers Agreement of the Alameda County Congestion Management Program and the California Government Code Section 6505, an independent audit was conducted for the fiscal year ended June 30, 2012 by Vavrinek, Trine, Day & Co., LLP. While all financial statements are the responsibility of management, the auditor's responsibility is to express an opinion on the financial statements based on their audit. As demonstrated in the Independent Auditor's Report on page two (2) of the Draft Audited Annual Financial Report, the Alameda CTC's auditors have reported what is considered to be an unqualified or clean audit.

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

Financial Highlights:

In the following financial highlights, the comparative information from the fiscal year ended June 30, 2011 was derived from the combined audited financial data of ACTIA and the ACCMA.

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

Discussion

As part of the audit process, Vavrinek, Trine, Day & Co., LLP considered Alameda CTC's internal controls over financial reporting in order to design their audit procedures. They have not expressed an opinion on the effectiveness of the Alameda CTC's internal controls; however Vavrinek, Trine, Day & Co., LLP's Report on Internal Control over Financial Reporting and on Compliance and other Matters states that they did not identify any deficiencies in internal controls over financial reporting that they consider to be a material weakness.

In addition, Vavrinek, Trine, Day & Co., LLP audited the calculation of the limitation ratios required by the Transportation Expenditure Plan which requires that the total cost for salaries and benefits for administrative employees not exceed 1.00 percent of sales tax revenues and expenditures for administration, in total, do not exceed 4.50 percent of sales tax revenues. The ratios for the fiscal year ended June 30, 2012 are 0.90 percent for salaries and benefits as a percent of sales tax revenues and 2.81 percent for total administration costs as a percent of sales tax revenues which are in compliance with the requirements set forth in the Transportation Expenditure Plan. In order to make this report more user-friendly, references have been included to show where all of the amounts included in the limitation calculations can be cross referenced with the audited financial data in the Draft Audited Annual Financial Report.

Vavrinek, Trine, Day & Co., LLP also performed a Single Audit for the fiscal year ended June 30, 2012. Per the Office of Management and Budget (OMB) Circular A-133, a single audit is required when a grantee spends \$500,000 or more in Federal funds in the fiscal year to provide assurance to the federal government as to the management and use of these funds. Alameda CTC's federal expenditures were well over the threshold at \$3.2 million during the fiscal year ended June 30, 2012 therefore a Single Audit was required. As demonstrated in the Independent Auditor's Report on page 59 of the Draft Audited Annual Financial Report, the Alameda CTC's auditors have reported the following:

“In our opinion, the Commission complied, in all material respects, with the compliance

requirements referred to above that could have a direct and material effect on its major federal program for the year ended June 30, 2012.”

The Alameda CTC’s first consolidated annual report has been designed to provide all required consolidated financial information as well as detailed financial information by function so that interested parties can look at the agency as a whole or at a more detailed functional level. For example, for the benefit of the Citizen’s Watchdog Committee whose purview consists of ACTIA activity only, all ACTIA funds have been broken out in a separate column in the fund financial statements beginning on page 19 of the Draft Audited Annual Financial Report except the General Fund. There can only be one general fund; however the Alameda CTC’s financial system was designed to distinguish costs related to the administration of ACCMA projects and programs from that of ACTIA or even Alameda County Transportation Authority projects. Therefore a breakout of general fund financial information also has been provided as supplemental information beginning on page 49 of the Draft Audited Annual Financial Report. Also in the supplemental information section, we have provided a breakout of the ACTIA Special Revenue Fund financial information by sub-fund including Express Bus, Bike and Pedestrian, Passthrough, Transit Oriented Development and Paratransit. For the benefit of those interested in the non-major governmental funds which generally are funds that have less than 10 percent of the total governmental funds’ assets, liabilities, revenues or expenditures, we have provided a breakout of this column also as supplemental information beginning on page 51 which includes the financial information related to the Exchange Fund, Transportation for Clean Air Fund and the Vehicle Registration Fee Fund.

Staff has worked closely with the audit team to develop a user friendly and informative consolidated annual financial report that can clearly portray the financial information of the agency as a whole. It took a significant effort to consolidate and create this new report from scratch in this first year. Staff plans to consistently improve on the financial information that is provided. For fiscal year 2012-13, staff is planning to present the annual financial results in the form of a Comprehensive Annual Financial Report (CAFR), which will require additional sections such as a transmittal letter and a statistical section, and submit the CAFR to the Government Finance Officers Association (GFOA) for review and hopefully an award for excellence in financial reporting.

Attachments

- | | |
|---------------|--|
| Attachment A: | Alameda County Transportation Commission Draft Audited Annual Financial Report for the Fiscal Year Ended June 30, 2012 |
| Attachment B: | ACTIA Limitations Worksheet for the Fiscal Year Ended June 30, 2012 |

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**ALAMEDA COUNTY
TRANSPORTATION COMMISSION**

**ANNUAL FINANCIAL REPORT
JUNE 30, 2012**

ALAMEDA COUNTY TRANSPORTATION COMMISSION

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June 30, 2012

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FINANCIAL SECTION



INDEPENDENT AUDITOR'S REPORT

Governing Board
Alameda County Transportation Commission
Oakland, California

We have audited the accompanying financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of the Alameda County Transportation Commission (the Commission) as of and for the year ended June 30, 2012, which collectively comprise the Commission's basic financial statements as listed in the table of contents. These financial statements are the responsibility of management. Our responsibility is to express opinions on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinions.

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

As explained in Note 1, the Commission is the successor agency of the Alameda County Transportation Improvement Authority and Alameda County Congestion Management Agency. These financial statements present the financial position of the Commission and not the predecessor agencies.

In accordance with *Government Auditing Standards*, we have also issued our report dated [REDACTED], 2012, on our consideration of the Commission's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* and should be considered in conjunction with this report in considering the results of our audit.

Accounting principles generally accepted in the United States of America requires that the management's discussion and analysis and budgetary comparison schedules as listed in the table of contents be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying Schedule of Expenditures of Federal Awards, as required by U.S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-profit Organizations*, and the other supplementary information as listed in the table of contents are presented for purposes of additional analysis and are not a required part of the financial statements. Such information is the responsibility of management and was derived from, and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Palo Alto, California

, 2012

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

The following discussion and analysis of the Alameda County Transportation Commission (the Commission) financial report addresses the financial position, activities and performance of the Commission for the fiscal year ended June 30, 2012. Management encourages readers to consider information presented in this section in conjunction with the Commission's financial statements and related notes contained in the Basic Financial Statements section.

This report for the fiscal year ended June 30, 2012 is the first financial annual report of the Commission. In March 2010, the Alameda County Transportation Improvement Authority (ACTIA), the Alameda County Congestion Management Agency (ACCMA), the County of Alameda, the 14 cities within Alameda County, the Bay Area Rapid Transit District and the Alameda-Contra Costa Transit District entered into a Joint Powers Agreement. In June 2010, the Boards of ACTIA and ACCMA created a joint powers agency known as the Alameda County Transportation Commission pursuant to the California Joint Exercise of Powers Act in which ACTIA and ACCMA delegated all of their assets, liabilities, powers, functions and responsibilities to the Commission effective July 1, 2010. The Commission held its first joint meeting on July 22, 2010 and approved its first consolidated budget for fiscal year ended June 30, 2012 at its June 2011 meeting. For various reasons, including issues related to contracting with CalPERS and other required administrative tasks, the former agencies continued to exist through February 29, 2012 when they were legally dissolved and the Commission became the successor agency.

The Commission strives to plan, fund and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County.

Financial Highlights

Comparative information for fiscal year 2011 was derived from the financial information of ACCMA and ACTIA.

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

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

Overview of the Financial Statements

As required by the Governmental Accounting Standards Board, the Authority's principal financial statements include the following:

- A Statement of Net Assets (presenting Government-wide assets and liabilities)
- A Statement of Activities (presenting Government-wide revenues and expenses)
- A Balance Sheet (presenting assets and liabilities for the governmental funds including the General Fund, ACTIA Special Revenue Fund, ACTIA Capital Projects Fund, ACTA Capital Projects Fund, ACCMA Capital Projects Fund, and the Nonmajor Governmental Funds)
- A Statement of Revenues, Expenditures and Change in Fund Balances - Governmental Funds (presenting revenues and expenditures by fund)
- A Schedule of Revenues, Expenditures and Change in Fund Balances - Budget and Actual for the General Fund (presenting budget versus actual revenues and expenditures)
- A Schedule of Revenues, Expenditures and Change in Fund Balances - Budget and Actual for the ACTIA Special Revenue Fund (presenting budget versus actual revenues and expenditures)

The Statement of Net Assets and the Statement of Activities, together, make up the *government-wide financial statements*. The Balance Sheet and the Statement of Revenues, Expenditures and Change in Fund Balances constitute the *fund financial statements*.

The *government-wide financial statements* report information using the economic resources measurement focus and the accrual basis of accounting. The *Statement of Net Assets* includes total assets and total liabilities with the difference between them reported as net assets. Total revenues, total expenditures, and changes in net assets are accounted for in the *Statement of Activities*, regardless of the timing of related cash flows.

The *fund financial statements* provide more detailed information by fund. A fund is a set of accounts used to control resources segregated for specific activities or purposes. The Commission has established funds to ensure resources are utilized for the purposes intended. Funds classified as major are required to be reported individually on the financial statements and funds classified as nonmajor can be grouped and reported in a single column.

The Commission has five major funds: the General Fund, ACTIA Special Revenue Fund, ACTIA Capital Projects Fund, ACTA Capital Projects Fund and ACCMA Capital Projects Fund.

General Fund – The General Fund is the chief operating fund. The General Fund receives 4.5 percent of all sales tax revenues to fund the administration of Measure B sales tax funds. Administrative costs are limited to 4.5 percent of sales tax revenues collected by the Transportation Expenditure Plan (TEP). Administrative salaries and benefits are limited to 1 percent of sales tax revenues collected by the TEP and the Public Utilities Code (PUC). This fund is also used for administering and preparing the Congestion Management Plan and for programming federal, state, and local funds to implement the Congestion Management Plan.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2012

ACTIA Special Revenue Fund – The ACTIA Special Revenue Fund is made up of five subfunds designed to account for sales tax revenues and expenditures related to the implementation of all programs authorized in the 2000 Measure B TEP. These subfunds include the Express Bus Subfund, Paratransit (Service Gap) Subfund, Regional Bicycle and Pedestrian Subfund, Transit-Oriented Development Subfund and the Programs Distribution Subfund.

- Express Bus Subfund – The Commission uses the Express Bus Subfund to provide funding to transit operators in Alameda County for maintenance of transit services, restoration of service cuts, expansion of transit services, and passenger safety and security.
- Paratransit (Service Gap) Subfund - The Commission uses the Paratransit (Service Gap) Subfund to provide funding in Alameda County for special transportation for seniors and people with disabilities.
- Regional Bicycle and Pedestrian Subfund – The Commission uses the Regional Bicycle and Pedestrian Subfund to provide funding to the cities and County of Alameda to be spent on planning and construction of bicycle and pedestrian projects.
- Transit-Oriented Development Subfund – The Commission uses the Transit-Oriented Development Subfund to provide funding to the cities and County of Alameda to encourage development near transit centers.
- Programs Distribution Subfund – The Commission uses the Programs Distribution Subfund to account for local streets and roads and other sales tax revenues that are immediately passed through to the cities and County of Alameda to fund transportation needs based on local priorities.

ACTIA Capital Projects Fund – The ACTIA Capital Projects Fund is used to account for sales tax and other revenues and expenditures related to the implementation of capital projects designated to be funded in the 2000 Measure B TEP approved by the voters in November 2000.

ACTA Capital Projects Fund – The ACTA Capital Projects Fund is used to account for sales tax and other revenues and expenditures related to the implementation of capital projects designated to be funded in the 1986 Measure B TEP approved by the voters in November 1986.

ACCMA Capital Projects Fund – The ACCMA Capital Projects Fund is used to account for capital projects designed to implement the Congestion Management Plan for Alameda County. The amount of capital project revenues and expenditures for the fiscal year ended June 30, 2012 were \$32.6 million and \$32.2 million, respectively, with the difference transferred to the General Fund to help cover costs incurred to administer the congestion management program.

The Commission has three nonmajor funds: the Exchange Fund, the Transportation for Clean Air Fund, and the Vehicle Registration Fee Fund.

Exchange Fund – The Exchange Fund is used to account for all activity related to the Exchange Program. Under the Exchange Program, the Commission entered into agreements with several local agencies to exchange state or federal funds with local funding from other governments for various transportation projects. This program is used to expedite projects by giving project sponsors the flexibility of using local funds rather than more restrictive state or federal funds. The Commission programs federal or state funds to “exchange” projects, which are able to use these funds, and in return receives local funds into the Exchange Fund from the “exchange” projects sponsors. These local funds can be used for projects that either do not have the ability to make use of state or federal funds or projects that would face unacceptable delays if state or federal funds were used.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

The Commission has entered into the following exchange agreements through June 30, 2012:

Alameda County Transportation Improvement Authority	\$ 2,300,000
Alameda-Contra Costa Transit District	35,060,514
Bay Area Rapid Transit	8,100,000
City of Berkeley	259,560
City of Dublin	4,230,000
City of Fremont	5,983,256
City of Livermore	4,580,000
City of Union City	9,314,000
Metropolitan Transportation Commission	675,000
San Joaquin Regional Rail Commission	432,445
Santa Clara Valley Transportation Authority	558,000
Total Exchanged Funds	<u>\$ 71,492,775</u>

These exchanges were recognized as deferred revenue in the government-wide financial statements at the time the Commission entered into exchange agreements, and are being recognized as revenue when qualifying expenses are incurred. \$71.3 million of these exchanged funds have been collected and \$62.1 million has been expended as of June 30, 2012.

ACCMA Special Revenue Funds – The Commission has two ACCMA Special Revenue Funds, the *Vehicle Registration Fee (VRF) Fund* and the *Transportation for Clean Air (TFCA) Fund*. Both are related to fees imposed on vehicle registrations in Alameda County for which the Commission is required to administer funds. These two special revenue funds have been established to administer and account for these funding sources separately from other funding sources of the Commission to ensure that they are spent on the specific purpose intended.

The VRF funds are required to be used to implement transportation related programs and projects. 60 percent of net VRF collections are designated for local road improvements and repairs and will be allocated to the cities and County of Alameda automatically on a pass through basis by planning area based on a formula which was approved by the voters of Alameda County in Measure F on the November 2010 ballot. The remaining 40 percent designated for transit for congestion relief programs, local transportation technology programs, pedestrian, bicyclist access, and safety programs will be distributed on a discretionary basis by planning area. Master Program Funding Agreements have been executed with the cities and County of Alameda to govern the flow of VRF funds. Pass through funding for local road improvements and repairs began flowing to the cities and County of Alameda in June 2012.

TFCA funds are required to be used to implement projects aimed at reducing air pollution through the reduction of motor vehicle emissions. During the fiscal year ended June 30, 2012, the Commission provided funding to various sponsors including, but not limited to, Livermore Amador Valley Transit Authority for BRT Route 10 and Routes 53 and 54 shuttles to ACE, California State University East Bay for a second campus shuttle to Bay Area Rapid Transit and a pilot Transportation Demand Management Program, City of Oakland for the Free Broadway shuttle and the Cities of Alameda and Hayward for signal timing improvements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

The Commission also has one Fiduciary Fund.

Fiduciary Fund – The Fiduciary Fund is used to account for a trust set up to accumulate funds for post-employment benefits other than pensions for retirees. Fiduciary Fund activity is reported in separate financial statements because a fiduciary fund is not considered an available resource of the Commission.

The *notes to the financial statements* provide additional information that is vital to the understanding of the financial statements. These notes can be found directly following the financial statements in this financial report.

Government-wide Financial Analysis

Net Assets

As of June 30, 2012, total assets were \$331.7 million, a decrease of \$34.0 million or 9.3 percent from June 30, 2011 with cash and investments accounting for \$283.2 million or 85.4 percent of this amount.

Total liabilities were \$90.5 million as of June 30, 2012, a decrease of \$11.9 million or 11.6 percent from June 30, 2011. The significant disparity of cash over liabilities demonstrates that the Commission is well able to meet its obligations as they become due. As of June 30, 2012, the Commission had commitments for \$13.9 million towards engineering contracts, \$6.1 million towards construction contracts and \$352.5 million towards project sponsor contracts with terms ranging up to 7 years.

Net assets were \$241.2 million at June 30, 2012, a decrease of \$22.1 million or 8.4 percent from June 30, 2011. Of the total \$241.2 million in net assets at June 30, 2012, \$0.1 million or 0.05 percent is invested in capital assets, \$23.1 million or 9.56 percent is unrestricted and the balance of \$218.0 million or 90.39 percent is restricted for use towards programs and projects authorized in the Measure B 1986 and 2000 TEPs and congestion management projects.

The Commission does not record capital assets created by the projects it finances on its own financial statements since these assets are of value only to the local government in which they are located.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

Statement of Net Assets June 30, 2012 and 2011

	Governmental Activities	
	2012	2011
Cash and investments	\$ 283,246,488	\$ 298,170,661
Receivables		
Sales tax receivables	18,367,599	17,546,201
Interest	90,270	110,889
Other	25,619,435	45,242,786
Land held for resale	4,068,000	4,243,000
Prepaid and other assets	213,093	103,193
Capital assets		
Furniture and equipment (net of accumulated depreciation)	110,699	264,436
Total assets	\$ 331,715,584	\$ 365,681,166
Accounts payable & accrued liabilities	\$ 64,074,400	\$ 70,856,307
Deferred revenue	26,420,220	31,455,871
Net OPEB obligation	27,915	75,863
Total liabilities	90,522,535	102,388,041
Net assets:		
Invested in capital assets	110,699	264,436
Restricted for:		
Transportation projects/programs	218,026,143	246,774,719
Unrestricted	23,056,207	16,253,970
Total net assets	241,193,049	263,293,125
Total liabilities and net assets	\$ 331,715,584	\$ 365,681,166

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

Change in Net Assets

Total revenues during fiscal year 2012 were \$170.4 million, an increase of \$7.6 million or 4.7 percent over fiscal year 2011. This increase can be attributed to an increase in sales tax revenue collections. Total revenues in fiscal year 2011 were \$162.8 million, a decrease from fiscal year 2010 of \$4.5 million or 2.7 percent. This decrease is mostly related to a delay in some projects activity due to the availability of funds. Total Expenses during fiscal year 2012 were \$192.5 million, a decrease of \$19.0 million or 9.0 percent from fiscal year 2011. This decrease is related to a change in the methodology used for capital project accruals during fiscal year 2011. Total expenses in fiscal year 2011 were \$211.5 million, an increase of \$3.2 million over fiscal year 2010.

The following are changes in key activities during fiscal year 2012:

- Operating grants and contributions for fiscal year 2012 are \$22.6 million, an increase of \$8.8 million or 63.3 percent over fiscal year 2011. This change is primarily related to collections beginning on the new VRF Fund.
- Capital grants and contributions for fiscal year 2012 are \$32.5 million, a decrease of \$6.6 million or 16.9 percent from fiscal year 2011. This change is due to the changing phases and schedule of congestion management capital projects.
- Sales tax revenues for fiscal year 2012 are \$112.6 million, an increase of \$7.2 million or 6.8 percent over fiscal year 2011.
- Administration expenses for fiscal year 2012 are \$11.3 million, a decrease of \$0.4 million or 3.2 percent from fiscal year 2011.
- Transportation improvement costs for fiscal year 2012 are \$135.1 million, a decrease of \$26.6 million or 16.5 percent. This decrease is due to a change in methodology used to accrue transportation improvement expenses in fiscal year 2011.
- Congestion management expenses for fiscal year 2012 are \$46.1 million, an increase of \$8.0 million or 20.9 percent over fiscal year 2011. This increase is attributable to the implementation of pass through funding to the cities and the County of Alameda for the VRF program in fiscal year 2012.

During fiscal year 2012, expenses exceeded revenues by \$22.1 million resulting in a decrease to net assets which were \$241.2 million as of June 30, 2012. In fiscal year 2011, expenses exceeded revenues by \$48.7 million, resulting in a decrease to net assets which were \$263.3 million as of June 30, 2011.

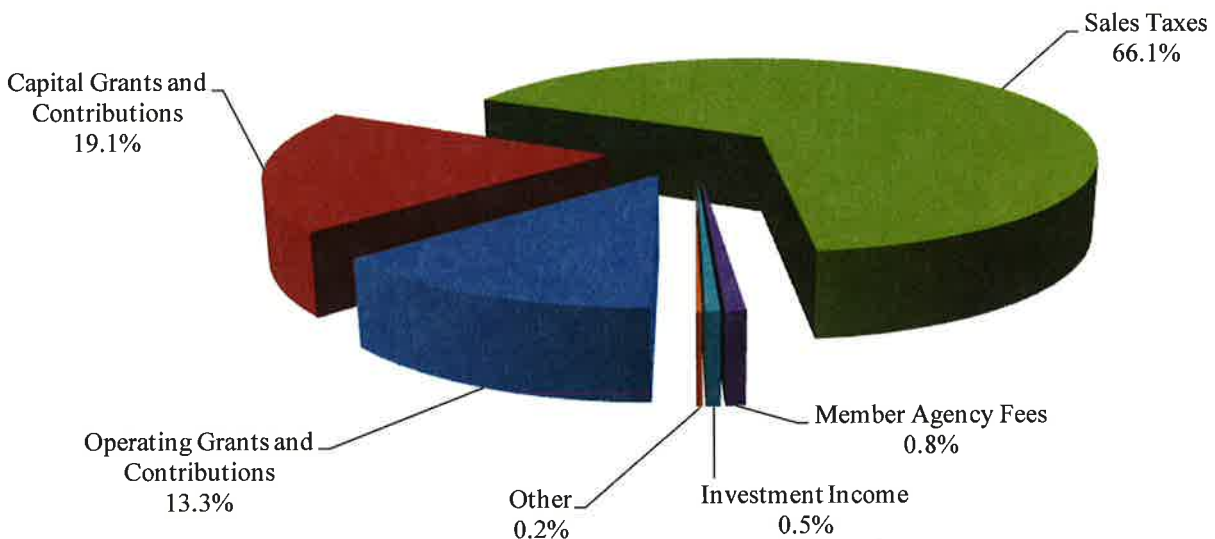
ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

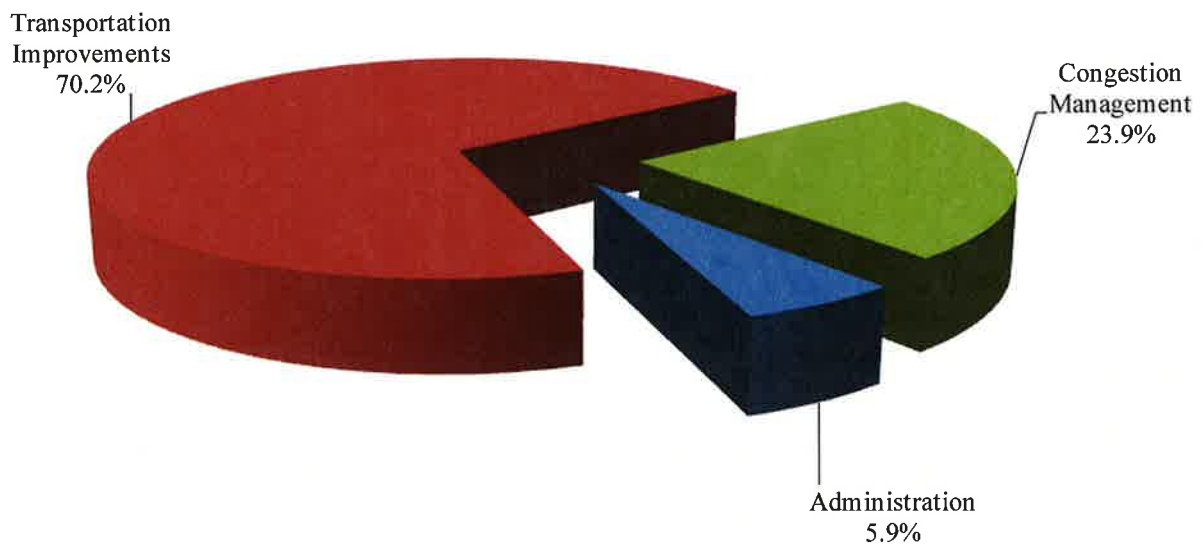
Changes in Net Assets June 30, 2012 and 2011

	Governmental Activities	
	2012	2011
Revenues		
Program revenues:		
Operating grants and contributions	\$ 22,634,296	\$ 13,857,159
Capital grants and contributions	32,521,003	39,150,777
General revenues:		
Sales taxes	112,568,093	105,393,811
Member agency fees	1,315,867	1,095,338
Investment income	956,225	3,313,241
Other	412,178	15,251
Total revenues	<u>170,407,662</u>	<u>162,825,577</u>
Expenses		
Administration	11,338,750	11,708,432
Transportation improvements	135,067,898	161,682,802
Congestion management	46,101,090	38,129,606
Total expenses	<u>192,507,738</u>	<u>211,520,840</u>
Change in net assets	(22,100,076)	(48,695,263)
Net assets, beginning of year	263,293,125	311,988,388
Net assets, end of year	<u>\$ 241,193,049</u>	<u>\$ 263,293,125</u>

Revenues



Expenses



ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

Governmental Funds Financial Analysis

The Commission uses fund accounting to ensure compliance with finance-related legal requirements. Governmental funds include the General Fund, ACTIA Special Revenue Fund, ACTIA Capital Projects Fund, ACTA Capital Projects Fund, ACCMA Capital Projects Fund and the nonmajor funds including: the Exchange Fund, Transportation for Clean Air Fund, and Vehicle Registration Fee Fund.

As of June 30, 2012, the Commission had \$241.1 million of fund balance in the governmental funds: \$18.3 million in the General Fund, \$9.3 million in the ACTIA Special Revenue Fund, \$58.7 million in the ACTIA Capital Projects Fund, \$141.5 million in the ACTA Capital Projects Fund and \$13.3 million in the nonmajor governmental funds. This is a decrease from June 30, 2011 of \$45.6 million or 15.9 percent. This decrease is due to public transit and highways and streets related expenditures in the ACTIA and ACTA Capital Projects Funds. Construction on ACTA capital projects will continue until projects are completed. However, as of March 31, 2002 when the 1986 Measure B expired, this fund is no longer eligible to receive sales tax revenues.

For the period July 1, 2011 through June 30, 2012, the Commission had \$180.4 million of revenues in the governmental funds: \$11.0 million in the General Fund, \$64.5 million in the ACTIA Special Revenue Fund, \$53.6 million in the ACTIA Capital Projects Fund, \$0.6 million in the ACTA Capital Projects Fund, \$32.6 million in the ACCMA Capital Projects Fund, \$18.9 million in the nonmajor governmental funds less \$0.8 million of inter-fund revenues which have been eliminated on a consolidated basis. This is an increase over June 30, 2011 of \$37.7 million or 26.4 percent. This increase is mostly due to collections beginning on the Vehicle Registration Fee Fund and an increase in Sales Tax Revenues.

For the period July 1, 2011 through June 30, 2012, the Commission had \$226.0 million of expenditures in the governmental funds: \$9.3 million in the General Fund, \$65.1 million in the ACTIA Special Revenue Fund, \$81.4 million in the ACTIA Capital Projects Fund, \$23.7 million in the ACTA Capital Projects Fund, \$32.2 million in the ACCMA Capital Projects Fund, \$15.1 million in the nonmajor governmental funds less \$0.8 million of inter-fund expenditures which have been eliminated on a consolidated basis. This is an increase of \$48.1 million or 27.0 percent over June 30, 2011. This increase is primarily due to ACTIA Capital Projects Fund expenditures for public transit projects.

As of June 30, 2012, the Commission had \$331.5 million of assets in the governmental funds: \$30.4 million in the General Fund, \$20.5 million in the ACTIA Special Revenue Fund, \$93.5 million in the ACTIA Capital Projects Fund, \$150.2 million in the ACTA Capital Projects Fund, \$36.2 million in the ACCMA Capital Projects Fund, \$29.4 million in the nonmajor governmental funds less \$28.8 million of assets which have been eliminated on a consolidated basis. This is a decrease of \$23.3 million or 6.6 percent from June 30, 2011. This decrease is mostly attributed to a decrease of cash and investments in the ACTA Capital Projects Fund as it continues to fund projects while no longer collecting sales tax revenues.

As of June 30, 2012, the Commission had \$90.3 million of liabilities in the governmental funds: \$12.1 million in the General Fund, \$11.2 million in the ACTIA Special Revenue Fund, \$34.7 million in the ACTIA Capital Projects Fund, \$8.7 million in the ACTA Capital Projects Fund, \$36.2 million in the ACCMA Capital Projects Fund, \$16.1 million in the nonmajor governmental funds less \$28.8 million of liabilities which have been eliminated on a consolidated basis. This is an increase of \$22.2 million or 32.6 percent over June 30, 2011. This increase is mostly related to a change in methodology used to accrue ACTIA Capital Project expenditures in fiscal year 2011.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

Fiduciary Fund

The Commission has a fiduciary fund which is a trust designed to accumulate assets to fund post-employment benefits other than pension for retirees. These funds are excluded from the government-wide financial statements because they do not represent resources of the Commission. As of June 30, 2012, net assets in the trust were \$0.9 million.

Capital Assets

As of June 30, 2012, the Commission had \$110,699 invested in capital assets, including furniture and equipment and leasehold improvements. There were no capital asset additions or dispositions during the period July 1, 2011 through June 30, 2012.

Capital Assets
(net of accumulated depreciation and amortization)
As of June 30, 2012 and 2011

	2012	2011
Furniture and equipment (net of accumulated depreciation)	\$ 66,464	\$ 154,137
Leasehold improvements (net of accumulated amortization)	44,235	110,299
Total	<u>\$ 110,699</u>	<u>\$ 264,436</u>

Comparison of Budget to Actual

General Fund - The Commission began the fiscal year with an adopted revenue budget of \$11.6 million and an expenditures budget of \$9.7 million resulting in a surplus in the General Fund balance of \$1.9 million. In the final adopted budget, the revenue budget was revised to \$13.1 million and the expenditure budget was revised to \$11.7 million resulting in a surplus in the General Fund of \$1.4 million. The adjustments were mostly related to an increase in sales tax revenues and an increase in planned efforts to complete the Countywide Transportation Plan.

Actual revenues from sales tax, project revenues, member agency fees, investment income and other were \$11.4 million which is less than final budget by \$1.7 million or 12.7 percent and actual administrative expenditures were \$9.3 million which is less than final budget by \$2.3 million or 19.9 percent. These variances are mostly related to planning and programming activities in the General Fund which are billed to funding agencies on a reimbursement basis. Since expenditures were below budget, consequently so were revenues. The disparity in the budgetary difference, with the revenues variance more than the expenditure variance, is because overhead recovery amounts are included as General Fund revenues in the budget. These amounts are invoiced to billing agencies at an indirect cost allocation rate audited and approved on an annual basis by Caltrans as a percentage of salaries and benefits costs. This methodology helps to reimburse the Commission for the cost of administering planning and programming activities.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS

JUNE 30, 2012

ACTIA Special Revenue Fund – The Commission began the fiscal year with an adopted revenue budget of \$59.5 million and an expenditure budget of \$60.8 million resulting in a reduction in the ACTIA Special Revenue Fund balance of \$1.3 million. In the final adopted budget, the revenue budget was revised to \$62.9 million and the expenditure budget was revised to \$66.7 million resulting in a reduction in the ACTIA Special Revenue Fund balance of \$3.8 million. The adjustments were mostly related to an increase in sales tax revenues and the related pass through expenditures.

Actual revenues from sales tax, project revenues and investment income were \$64.5 million which is more than final budget by \$1.5 million or 2.4 percent and actual expenditures were \$65.1 million which is less than final budget by \$1.6 million or 2.3 percent. These variances are correlated because the bulk of the expenditures in this fund are directly passed through to the cities and County of Alameda at a predetermined calculation based on the Transportation Expenditure Plan.

Other Significant Matters

2012 Transportation Expenditure Plan – On November 6, 2012, the Commission placed Measure B1 on the ballot for Alameda County. Measure B1, a sales tax measure that would augment and extend the county's existing half-cent transportation sales tax, is supported by the 2012 Transportation Expenditure Plan (2012 TEP). Because it was a special tax, Measure B1 required two-thirds or 66.67 percent voter approval to pass. Alameda County voters came out in strong support of Measure B1. However when all the votes were counted the measure received 66.53 percent approval of the Alameda County voters, just 0.14 percent short of passing. Since the margin is so slight, the Commission has engaged the county registrar's office in the recounting process. The Commission is hoping that it still may have the opportunity to provide Alameda County with \$7.8 billion in funding over the next 30 years to increase mobility, create jobs, reduce congestion and protect the environment. The 2012 TEP responds to the many transportation needs in Alameda County by providing details of how the funds would be used to restore and expand transit services, fix potholes and reduce highway congestion, expand bicycle and pedestrian access and connect transit with housing and jobs.

Sunol Smart Carpool Lane - A Joint Powers Agreement (Agreement) between the Commission's former agencies, ACTIA and ACCMA, and the Santa Clara Valley Transportation Authority established the Sunol Smart Carpool Lane (Lane), which created the Sunol Smart Carpool Lane Joint Powers Authority (Authority). The Agreement named the Commission as the managing agency for the project on behalf of the Authority. The Lane began operations on September 20, 2010 gaining its authority to operate in California through State law amended by 2004 legislation, AB 2032. During the transition/warranty period from construction to full operations, the Commission agreed to cover the cost of operations on behalf of the Authority via its capital project program funded by various federal, state and local sources through June 30, 2012. Since inception, the Lane has continued to show growth in revenues and riders from week to week and is expected to be independently sustainable in the near future.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

MANAGEMENT'S DISCUSSION AND ANALYSIS JUNE 30, 2012

Vehicle Registration Fee - In November 2010, a majority (62.8 percent) of Alameda County voters approved Measure F to fund transportation related programs and projects. Measure F added \$10 to all motor vehicle registration fees collected by the Department of Motor Vehicles in Alameda County. The Expenditure Plan approved with the measure allocates revenue from the VRF to transportation-related programs and projects that must have a relationship or benefit to the persons who pay the fee and also must sustain the County's transportation network and reduce traffic congestion and vehicle-related pollution. The measure is expected to generate approximately \$11 million annually which will be distributed net of administrative costs based on the approved Expenditure Plan in the following manner:

- Local Road Improvement and Repair Program (60 percent)
- Transit for Congestion Relief Program (25 percent)
- Local Transportation Technology Program (10 percent)
- Pedestrian and Bicyclist Safety Program (5 percent)

Countywide Transportation Plan - One key project for the Commission during the fiscal year has been developing a Countywide Transportation Plan (CWTP) for Alameda County. The CWTP is a long-range policy document that guides decisions and articulates the vision for the County's transportation system over a 25-year planning horizon. It lays the groundwork for an investment program that is efficient and productive as well as a strategy for meeting transportation needs for all users in Alameda County. It includes projects and other improvements for new and existing freeways, local streets and roads, public transit (paratransit, buses, trains, ferries), as well as facilities and programs to support bicycling and walking. The CWTP will serve as Alameda County's input into the Metropolitan Transportation Commission's Regional Transportation Plan (RTP) from which much of Alameda County's transportation funding is derived. The Commission engaged the community to provide input into the process to help prioritize transportation improvements. For the first time, the CWTP and RTP for the Bay Area will require Alameda County to meet greenhouse gas (GHG) emission reduction targets set by the State of California under SB 375. The target is a 7 percent GHG reduction by 2020, and a 15 percent GHG reduction by 2035. To address SB 375 requirements and other needs, the CWTP will address transit-oriented development and priority development areas; parking management; transportation systems management and goods movement; as well as transit connectivity, maintenance and operations.

Requests for Information

This financial report is designed to provide a general overview of the Alameda CTC's finances for all those interested in government finances. Questions concerning any of the information provided in this report or requests for additional financial information should be addressed to the Office of Accounting at 1333 Broadway, Suite 220, Oakland, CA 94612.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

STATEMENT OF NET ASSETS JUNE 30, 2012

ASSETS

Cash and investments	\$ 283,246,488
Sales tax receivable	18,367,599
Interest receivable	90,270
Other receivable	25,619,435
Land held for resale	4,068,000
Prepays and other assets	213,093
Capital assets, net of accumulated depreciation	110,699
Total Assets	<u>331,715,584</u>

LIABILITIES

Accounts payable and accrued liabilities	64,074,400
Deferred revenue	26,420,220
Net OPEB obligation - due in more than one year	27,915
Total Liabilities	<u>90,522,535</u>

NET ASSETS

Invested in capital assets	110,699
Restricted	218,026,143
Unrestricted	23,056,207
Total Net Assets	<u>\$ 241,193,049</u>

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

STATEMENT OF ACTIVITIES FOR THE YEAR ENDED JUNE 30, 2012

Functions/Programs	Expenses	Program Revenues		Net (Expenses) Revenues and Changes in Net Assets
		Operating Grants and Contributions	Capital Grants and Contributions	Total Governmental Activities
Governmental Activities:				
Administration	\$ 11,338,750	\$ -	\$ -	\$ (11,338,750)
Transportation improvement	135,067,898	20,343	81,048	(134,966,507)
Congestion management	46,101,090	22,613,953	32,439,955	8,952,818
Total Governmental Activities	\$ 192,507,738	\$ 22,634,296	\$ 32,521,003	(137,352,439)
General revenues and subventions				
Sales tax				112,568,093
Member agency fees				1,315,867
Interest and investment earnings				956,225
Other revenues				412,178
Subtotal, general revenues				115,252,363
Change in Net Assets				(22,100,076)
Net Assets - Beginning				263,293,125
Net Assets - Ending				\$ 241,193,049

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

GOVERNMENTAL FUNDS BALANCE SHEET JUNE 30, 2012

	General Fund	ACTIA Special Revenue Fund	ACTIA Capital Projects Fund
ASSETS			
Cash and investments	\$ 21,244,974	\$ 9,954,086	\$ 86,061,917
Sales tax receivable	826,542	10,507,093	7,033,964
Interest receivable	1,104	-	43,517
Other receivable	3,138,968	21,218	312,516
Due from other funds	5,018,122	-	-
Land held for sale	-	-	-
Prepays and other assets	202,801	-	-
Total Assets	\$ 30,432,511	\$ 20,482,397	\$ 93,451,914
LIABILITIES AND FUND BALANCES			
Liabilities			
Accounts payable and accrued liabilities	\$ 1,286,715	\$ 11,230,141	\$ 34,705,001
Due to other funds	10,824,395	-	-
Deferred revenue	-	-	-
Total Liabilities	12,111,110	11,230,141	34,705,001
Fund Balances			
Restricted			
ACTIA special revenue	-	9,252,256	-
Capital projects	-	-	58,746,913
Transportation for clean air	-	-	-
Vehicle registration fee	-	-	-
Assigned	-	-	-
Unassigned	18,321,401	-	-
Total Fund Balances	18,321,401	9,252,256	58,746,913
Total Liabilities and Fund Balances	\$ 30,432,511	\$ 20,482,397	\$ 93,451,914

The accompanying notes are an integral part of these financial statements.

ACTA Capital Projects Fund	ACCMA Capital Projects Fund	Nonmajor Governmental Funds	Inter-Fund Eliminations	Total Governmental Funds
\$ 136,090,694	\$ 14,028,344	\$ 15,866,473	\$ -	\$ 283,246,488
-	-	-	-	18,367,599
16,454	16,343	12,852	-	90,270
33,953	22,180,266	3,141,771	(3,361,655)	25,467,037
10,000,000	-	10,385,900	(25,404,022)	-
4,068,000	-	-	-	4,068,000
10,292	-	-	-	213,093
<u>\$ 150,219,393</u>	<u>\$ 36,224,953</u>	<u>\$ 29,406,996</u>	<u>\$ (28,765,677)</u>	<u>\$ 331,452,487</u>

\$ 3,718,959	\$ 9,676,945	\$ 6,818,294	\$ (3,361,655)	\$ 64,074,400
5,018,122	9,561,505	-	(25,404,022)	-
-	16,986,503	9,281,319	-	26,267,822
<u>8,737,081</u>	<u>36,224,953</u>	<u>16,099,613</u>	<u>(28,765,677)</u>	<u>90,342,222</u>

-	-	-	-	9,252,256
141,482,312	-	-	-	200,229,225
-	-	3,387,914	-	3,387,914
-	-	5,156,748	-	5,156,748
-	-	4,762,721	-	4,762,721
-	-	-	-	18,321,401
<u>141,482,312</u>	<u>-</u>	<u>13,307,383</u>	<u>-</u>	<u>241,110,265</u>
<u>\$ 150,219,393</u>	<u>\$ 36,224,953</u>	<u>\$ 29,406,996</u>	<u>\$ (28,765,677)</u>	<u>\$ 331,452,487</u>

ALAMEDA COUNTY TRANSPORTATION COMMISSION

RECONCILIATION OF THE GOVERNMENTAL FUNDS BALANCE SHEET TO THE STATEMENT OF NET ASSETS JUNE 30, 2012

Reconciliation of Fund Balance of Governmental Funds to Net Assets on the Statement of Net Assets:

Fund Balances on governmental funds Balance Sheet	\$ 241,110,265
Certain long-term receivables are recognized on the Statement of Net Assets, but because these receivables are not available as current resources, they are not recognized on the governmental funds' balance sheet.	152,398
Certain deferrals of revenue are recognized on the Statement of Net Assets, but because these deferrals of revenues are not available as current resources, they are not recognized on the governmental funds' balance sheet.	(152,398)
Capital assets used in governmental activities are not financial resources and therefore are not reported as assets in the governmental funds.	110,699
Long-term liabilities are not due and payable in the current period and therefore are not reported as liabilities in the governmental funds. Long-term liabilities at year end consist of the Net OPEB Obligation.	(27,915)
Net Assets on Statement of Net Assets	<u><u>\$ 241,193,049</u></u>

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

GOVERNMENTAL FUNDS

STATEMENT OF REVENUES, EXPENDITURES, AND CHANGES IN FUND BALANCES

FOR THE YEAR ENDED JUNE 30, 2012

	General Fund	ACTIA Special Revenue Fund	ACTIA Capital Projects Fund
REVENUES			
Sales tax	\$ 5,065,564	\$ 64,394,013	\$ 43,108,516
Project revenue	4,531,006	20,343	10,047,094
Member agency fees	1,315,867	-	-
Vehicle registration fees	-	-	-
Investment income	31,640	41,226	180,943
Other income	96,334	-	294,291
Total Revenues	<u>11,040,411</u>	<u>64,455,582</u>	<u>53,630,844</u>
EXPENDITURES			
Administrative			
Salaries and benefits	3,539,438	91,689	54,470
Office rent	798,776	-	-
Professional services	1,558,181	842,386	-
Planning and programming	2,484,552	-	-
Other	955,977	342	2,791
Transportation improvements			
Highways and streets	-	-	16,740,345
Public transit	-	34,540,732	57,440,503
Local transportation	-	29,654,819	7,122,315
Congestion management	-	-	-
Total Expenditures	<u>9,336,924</u>	<u>65,129,968</u>	<u>81,360,424</u>
OTHER FINANCING SOURCES (USES)			
Operating Transfer In	363,944	-	-
Operating Transfer Out	-	-	-
Total Other Financing Sources (uses)	<u>363,944</u>	<u>-</u>	<u>-</u>
NET CHANGE IN FUND BALANCES	<u>2,067,431</u>	<u>(674,386)</u>	<u>(27,729,580)</u>
Fund Balances - Beginning	<u>16,253,970</u>	<u>9,926,642</u>	<u>86,476,493</u>
Fund Balances - Ending	<u>\$ 18,321,401</u>	<u>\$ 9,252,256</u>	<u>\$ 58,746,913</u>

The accompanying notes are an integral part of these financial statements.

ACTA Capital Projects Fund	ACCMA Capital Projects Fund	Nonmajor Governmental Funds	Inter-Fund Eliminations	Total Governmental Funds
\$ -	\$ -	\$ -	\$ -	\$ 112,568,093
33,954	32,501,104	6,628,590	(848,918)	52,913,173
-	-	-	-	1,315,867
-	-	12,242,126	-	12,242,126
594,342	55,457	52,617	-	956,225
21,553	-	-	-	412,178
649,849	32,556,561	18,923,333	(848,918)	180,407,662
278,619	227,102	-	-	4,191,318
114,112	-	-	-	912,888
128,039	-	-	-	2,528,606
-	-	-	-	2,484,552
117,308	-	108,449	-	1,184,867
23,060,693	-	-	-	39,801,038
-	-	-	-	91,981,235
-	-	-	-	36,777,134
-	31,965,515	14,984,493	(848,918)	46,101,090
23,698,771	32,192,617	15,092,942	(848,918)	225,962,728
-	-	-	(363,944)	-
-	(363,944)	-	363,944	-
-	(363,944)	-	-	-
(23,048,922)	-	3,830,391	-	(45,555,066)
164,531,234	-	9,476,992	-	286,665,331
\$ 141,482,312	\$ -	\$ 13,307,383	\$ -	\$ 241,110,265

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

RECONCILIATION OF THE GOVERNMENTAL FUNDS STATEMENT OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES TO THE STATEMENT OF ACTIVITIES FOR THE YEAR ENDED JUNE 30, 2012

Reconciliation of Net Change in Fund Balances of Governmental Funds to Change in Net Assets on Statement of Activities:

Net Change in Fund Balances on governmental funds Statement of
Revenues, Expenditures and Changes in Fund Balances \$ (45,555,066)

Governmental fund financial statements are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Revenues are recognized when they are both measureable and available. On the government-wide financial statements, revenues are recorded when earned, regardless of the timing of related cash flows. The government-wide financial statements recognized this revenue in the previous fiscal year. (10,000,000)

Governmental fund financial statements are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. The Statement of Activities recognized this expense in the previous fiscal year. 33,560,779

Capital outlays to purchase or build capital assets are reported in the governmental funds as expenditures, however for governmental activities those costs are capitalized in the Statement of Net Assets and allocated over the estimated useful life of the asset as depreciation. (153,737)

In the Statement of Activities, other postemployment benefits are measured by the annual required contribution of the employer. In the governmental funds, expenditures for postemployment benefits are measured by the amount actually contributed. The difference between the annual required contribution and the amount contributed is reported in the Statement of Activities. 47,948

Change in Net Assets on Statement of Activities \$ (22,100,076)

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

**FIDUCIARY FUND
STATEMENT OF NET ASSETS
JUNE 30, 2012**

	Retiree Benefits Trust Fund
ASSETS	
Deposits and investments	<u>\$ 910,372</u>
NET ASSETS	
Held in trust for OPEB benefits	<u><u>\$ 910,372</u></u>

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

FIDUCIARY FUND

**STATEMENT OF CHANGES IN FIDUCIARY NET ASSETS
FOR THE YEAR ENDED JUNE 30, 2012**

	Retiree Benefits Trust Fund
ADDITIONS:	
Investments earnings	\$ 865
Contributions	14,724
Total Additions	15,589
Net Assets- Beginning	894,783
Net Assets- Ending	\$ 910,372

The accompanying notes are an integral part of these financial statements.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

NOTE 1 - REPORTING ENTITY

The Alameda County Transportation Authority (ACTA) was created by the approval of Measure B in November 1986. Measure B authorized the imposition of a one-half of one percent sales and use tax in the County. The proceeds are principally reserved for highway improvements, local transportation improvements, and transit funding in the County. The sales tax commenced April 1, 1987 and expired on March 31, 2002. ACTA was responsible for completing all of the projects in the expenditure plan adopted by voters, or to delegate this responsibility. Revenues from interest on the fund balance are estimated to cover all future administrative costs. ACTA was the sole independent Authority responsible for receiving and allocating funds from the 1986 Measure B necessary to complete the program.

The Alameda County Board of Supervisors created the Alameda County Transportation Improvement Authority (ACTIA) in 1998, to place a ballot measure to authorize the imposition of a one-half of one percent sales and use tax (the sales tax) in Alameda County before Alameda County voters in June 1998. This measure did not receive two-thirds voter support. A subsequent ballot measure was placed on the November 2000 ballot, and was approved by over two-thirds of the voters. The proceeds from the sales tax are principally reserved for highway infrastructure, mass transit, local transportation, and administrative costs. The sales tax commenced April 1, 2002 and will expire on March 31, 2022.

In June 1990, California voters approved a fuel tax increase as part of Propositions 111 and 108. To receive a share of the fuel tax revenues, local governments must conform to a Congestion Management Program (CMP). A Joint Powers Agreement dated February 20, 1991 between Alameda County, all fourteen cities in the County, and four transit operators (the Member Agencies) created the Alameda County Congestion Management Agency (ACCMA). The ACCMA was responsible for preparing, adopting, revising, amending, administering, and implementing the CMP and the Countywide Transportation Plan (CWTP) for Alameda County pursuant to §65088 at seq. of the Government Code, and providing other transportation planning and programming functions.

On March 25, 2010, ACTIA, ACCMA, the County of Alameda, the fourteen cities within Alameda County, the Bay Area Rapid Transit District, and the Alameda-Contra Costa Transit District entered into a Joint Powers Agreement. On June 24, 2010, the Boards of ACTIA and ACCMA created a joint powers agency, pursuant to the California Joint Exercise of Powers Act, known as the Alameda County Transportation Commission (the Commission). The Commission is the successor agency of ACCMA and ACTIA. On June 24, 2010, the ACTA Board adopted a resolution to transfer all of ACTA's assets, responsibilities, functions, and liabilities to ACTIA, effective on July 1, 2010. ACTA was dissolved and extinguished effective July 1, 2010, following the transfer.

On February 29, 2012, at a joint meeting, the ACTIA and the ACCMA Boards of Directors adopted a resolution to transfer all of ACTIA's and ACCMA's assets, responsibilities, functions, and liabilities to the Commission effective March 1, 2012.

The Commission's mission is to plan, fund and deliver a broad spectrum of transportation projects and programs to enhance mobility throughout Alameda County. Each of the projects and programs sponsored by the Commission is funded through one or more federal, state, or local sources. The Commission is reimbursed from grants as eligible program or project implementation costs are incurred. Administrative and staff costs associated with implementing the legislatively mandated activities, such as the Congestion Management Program and the Countywide Transportation Plan, as well as the programming of federal and state transportation funds through the California Department of Transportation (Caltrans) and the California Transportation Commission are met through planning and programming grants from the Metropolitan Transportation Commission and Caltrans, member agency annual dues and other local funding sources.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

The Commission is governed by a twenty-two member Board of Directors made up of five members of the Alameda County Board of Supervisors, two members representing the City of Oakland, one member representing the City of Fremont, one member representing the City of Hayward, 11 members each representing one of the other 11 cities in Alameda County, one member representing the Bay Area Rapid Transit District and one member representing Alameda-Contra Costa Transit District. Four community advisory committees including the Bicycle and Pedestrian Advisory Committee, Citizens Advisory Committee, Citizens Watchdog Committee and Paratransit Advisory and Planning Committee extend the Commission's work and the Alameda County Technical Advisory Committee will continue to provide technical feedback to the Commission.

These financial statements present the results of financial operations of the Commission as of June 30, 2012 and for the fiscal year then ended. The financial statements consider transactions of ACTIA and ACCMA through February 29, 2012, the official termination date of those agencies, as if they were the Commission's financial transactions in compliance with Accounting Principles Board (APB) Opinion No. 16.

NOTE 2 – SIGNIFICANT ACCOUNTING POLICIES

Government-wide and Fund Financial Statements

The government-wide financial statements report information on all activities of the Commission. The effect of inter-fund activity is eliminated from these statements.

The Statement of Net Assets and the Statement of Activities are prepared using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. Sales tax revenues are recorded when the tax is due from the State Board of Equalization. Grants are recognized as revenue as soon as all eligibility requirements imposed by the provider have been met.

The Statement of Activities demonstrates the degree to which the direct expenses are offset by program revenues. Direct expenses are those that are clearly identifiable with the Commission's primary functions. Program revenues consist of grants and contributions that are restricted to meeting operational or capital requirements. Interest and other revenues not included in program revenues are reported as general revenues.

The Governmental Funds Balance Sheet and Statement of Revenues, Expenditures and Change in Fund Balances, are reported in separate columns in the fund financial statements. Nonmajor funds are summarized and presented in one column of the fund financial statements.

The Commission uses the following funds:

General Fund—The General Fund is the general operating fund of the Commission. Its purpose is to account for all financial resources and transactions not accounted for in another fund. Included in the General Fund is a subfund that accounts for the administration costs related to the 2000 Measure B Sales Tax Program (Measure B), which is limited to 4.5 percent of net revenues. Administration costs include salaries, benefits, professional fees, rent expense, office supplies and equipment, utilities, and other costs that cannot be specifically identified with another fund. Administrative salaries and benefits in support of the 2000 Transportation Expenditure Plan are limited by Measure B to one percent of sales tax revenues. Revenues in excess of administrative expenditures in any one year are reserved for future administrative costs.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

Special Revenue Fund - Special Revenue Funds are established to account for the proceeds from specific revenue sources (other than trusts, major capital projects, or debt service) that are restricted or committed to the financing of particular activities and that compose a substantial portion of the inflows of the fund. Additional resources that are restricted, committed, or assigned to the purpose of the fund may also be reported in the fund.

ACTIA Special Revenue Fund—The ACTIA Special Revenue Fund accounts for resources accumulated as required by Measure B for restricted allocation to local cities and the County for local transportation improvements, streets and roads, and to transit agencies for operations and maintenance.

Nonmajor Vehicle Registration Fee Fund—The Vehicle Registration Fee Fund accounts for the November 2010, Measure F Vehicle Registration Fee (VRF) Program. Collection of the \$10 per year, per vehicle registration fee started in the first week of May 2011. The goal of the VRF program is to sustain the County's transportation network and reduce traffic congestion and vehicle related pollution.

Nonmajor Transportation for Clean Air Fund—Alameda County has a four-dollar per vehicle registration fee to support projects of the Bay Area Air Quality Management District (BAAQMD). Of the total collections, BAAQMD passes 40 percent of the proceeds to the Commission which is tasked with programming those revenues for various projects within Alameda County. The Transportation for Clean Air Fund accounts for this activity.

Capital Project Funds

Capital Project funds are used to account for and report financial resources that are restricted, committed, or assigned to the acquisition, or construction of major capital construction and other capital assets. The Commission uses the following capital projects funds:

ACTIA Capital Projects Fund—The ACTIA Capital Projects Fund accounts for resources accumulated and payments made for the acquisition or construction of major capital improvements in accordance with the Alameda County 2000 Measure B 20-Year Transportation Expenditure Plan.

ACTA Capital Projects Fund—The ACTA Capital Projects Fund accounts for the construction of major capital improvements in accordance with the 1986 Measure B Transportation Expenditure Plan.

ACCMA Capital Projects Funds—The ACCMA Capital Projects Fund accounts for the proceeds and expenditures related to the construction of capital improvement projects. These projects are implemented to reduce congestion or improve mobility in Alameda County.

Nonmajor Exchange Fund—The Exchange Fund is a capital projects fund accounting for the proceeds and expenditures of the Commission's Exchange Program, which is described in more detail in Note 5.

The Commission does not retain ownership of the assets produced in relation to capital improvements to which it provides funding through its Capital Project Funds. The assets are transferred to the sponsor or managing jurisdiction upon completion.

Fiduciary Fund

Fiduciary Funds are trust funds used to account for the assets held by the Commission under a trust agreement for individuals, private organizations, or other governments and are therefore not available to support the Commission's programs. The Commission's Fiduciary Fund is a trust fund which accounts for retiree medical

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

benefits and allocated resources to provide medical benefits for retirees. The Fiduciary Fund reporting focuses on net assets and changes in net assets.

Measurement Focus and Basis of Accounting

The Commission's governmental fund financial statements are presented on a modified accrual basis of accounting. The modified accrual basis of accounting recognizes revenues when they are both measurable and available. Measurable means the amount can be determined. Available means that they are collectible within the current period or soon thereafter to pay current liabilities. The Commission considers revenues available if they are collected within six months after fiscal year end. Expenditures are recorded when the related fund liability is incurred.

The modified accrual basis of accounting uses the current financial resources measurement focus whereby the Balance Sheet generally presents only current assets and current liabilities and the Statement of Revenues, Expenditures, and Change in Fund Balances presents sources and uses of available resources during a given period. Sales tax revenue, grant revenues, local matching revenue, and investment income, including the change in the fair value of investments, associated with the current fiscal period are all considered to be subject to accrual and have been recognized as revenues in the current reporting period using the modified accrual basis of accounting.

Fiduciary funds are accounted for using the flow of economic resources measurement focus and the accrual basis of accounting. Fiduciary funds are excluded from the government-wide financial statements because they do not represent resources of the Commission.

Net Assets

Net assets are reported on the government-wide statement of net assets in the following categories:

Invested in capital assets-- This category includes all capital assets net of accumulated depreciation. The Commission has no capital related debt.

Restricted net assets-- This category represents assets with external restrictions imposed by creditors, grantors, contributors, or laws and regulations of other governments, and restrictions imposed by law through constitutional provisions or enabling legislation. When both restricted and unrestricted net assets are available, unrestricted resources are used only after the restricted resources are depleted.

Unrestricted net assets-- This category represents net assets of the Commission that are not restricted for any project or other purpose.

Fund Balances

Governmental fund balances represent the net current assets of each fund. Net current assets generally represent a fund's cash and receivables, less its liabilities.

The fund balances are classified in accordance with Governmental Accounting Standards Board Statement Number 54 (GASB 54), *Fund Balance Reporting and Governmental Fund Type Definitions*, which requires the classification of fund balances based on spending constraints imposed on the use of resources. For programs with multiple funding sources, the Commission prioritizes and expends funds in the following order: Restricted,

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

Assigned and Unassigned. Each category in the following hierarchy is ranked according to the degree of spending constraint. The three classifications are discussed in more detail below:

Restricted – The restricted fund balance classification reflects amounts subject to externally imposed and legally enforceable constraints. Such constraints may be imposed by creditors, grantors, contributors, or laws or regulations of other governments, or may be imposed by law through constitutional provisions or enabling legislation.

Assigned – The assigned fund balance classification reflects amounts that the Commission intends to be used for specific purposes. Assignments may be established either by the governing body or by a designee of the governing body, and are not subject to the restricted or the committed levels of constraint.

Unassigned – In the general fund only, the unassigned fund balance classification reflects the residual balance that has not been assigned to other funds and that is not restricted, committed, or assigned to specific purposes.

Restricted and assigned fund balances are required to be used for transportation related projects and programs designed to reduce congestion or improve mobility in Alameda County.

Spending Order Policy

When an expenditure is incurred for purposes for which both restricted and unrestricted fund balance is available, the Commission considers restricted funds to have been spent first. When an expenditure is incurred for which assigned or unassigned fund balances are available, the Commission considers amounts to have been spent first out of assigned funds and then unassigned funds, as needed, unless the governing board has directed otherwise in its commitment or assignment actions.

Use of Estimates

The preparation of basic financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenditures during the reporting period. Actual results could differ from those estimates.

Investments

Investments are stated at fair value. Included in interest income is the net change in the fair value of investments that consists of the realized gains or losses and the unrealized appreciation or depreciation of those investments. Measurement of the fair value of investments is based upon quoted market prices, if available. The estimated fair value of investments that have no quoted market price is determined based on equivalent yields for such securities or for securities of comparable maturity, quality, and type as obtained from market makers.

Budget

Annual budgets are adopted on a basis consistent with generally accepted accounting principles. The Commission annually adopts a budget for all of its governmental funds using the modified accrual basis of accounting for the following fiscal year. The Commission may approve budget modifications during the year as needed. Expenditures that exceed the total approved budget by fund are not permitted without Board approval.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

The Executive Director is authorized to approve expenditures in excess of budgeted line items as long as the total expenditure budget within each of the governmental funds is not overspent. Appropriation authority lapses at the end of the fiscal year on the General, Special Revenue and the Exchange Funds.

Beginning with the FY2011-12 budget, the Commission adopts a rolling Capital Projects Fund budget. Any unutilized capital project budget authority on a specific project is rolled to the next fiscal year. The Commission adopts increases as requested to the capital budget by individual project with the annual budget and may approve modifications during the year as needed. The Executive Director or his designee approves reimbursements to project sponsors, and reimbursements are not to exceed contract and strategic plan limits.

Compensated Absences

The Commission's policy permits employees to accumulate up to 10 weeks of accrued vacation from year to year depending on the number of years they have been employed by the Commission or its predecessor agencies. The accrual for compensated absences as of June 30, 2012 is \$208,664. The Commission is not obligated to pay for unused sick leave if an employee terminates employment prior to retirement or prior to when the Commission ceases operations.

NOTE 3 - CASH AND INVESTMENTS

Deposits and investments at June 30, 2012 consist of the following:

Governmental Activities	\$ 283,246,488
Fiduciary Funds	910,372
Total Deposits	<u>\$ 284,156,860</u>

Investment in the State Investment Pool— The Commission is a voluntary participant in the Local Agency Investment Fund (LAIF) which is regulated by California government code §16429 under the oversight of the Treasurer of the State of California. The fair value of the Commission's investments in the pool is reported in the accompanying financial statement at amounts based upon the Commission's pro-rata share of the fair value provided by LAIF for the entire portfolio (in relation to the amortized cost of that portfolio). The balance available for withdrawal is based on the accounting records maintained by LAIF, which is recorded on the amortized cost basis.

The Commission mitigates the risk of investment loss as follows:

Credit Risk— Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. The Commission's investments in the LAIF are not rated as of June 30, 2012. Investment ratings as determined by S&P are as follows:

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

Investment Type	AAA	AA+	AA-	A-1+
U.S. Agency Securities	\$ -	\$ 93,720,095	\$ -	\$ 1,499,206
U.S. Treasury Bonds	-	41,715,733	-	-
Commercial Paper	-	-	-	13,418,295
Corporate Notes	-	6,146,888	158,430	-
Money Market Mutual Funds	15,794,564	-	-	-
Certificates of Deposits	-	-	-	1,351,446
LAIF	-	-	-	-
Total Investments	<u>\$ 15,794,564</u>	<u>\$ 141,582,716</u>	<u>\$ 158,430</u>	<u>\$ 16,268,947</u>

	A1	A+	Not Rated	Total
U.S. Agency Securities	\$ -	\$ -	\$ -	\$ 95,219,301
U.S. Treasury Bonds	-	-	-	41,715,733
Commercial Paper	9,389,770	-	-	22,808,065
Corporate Notes	-	2,600,697	-	8,906,015
Money Market Mutual Funds	-	-	-	15,794,564
Certificates of Deposits	-	-	-	1,351,446
LAIF	-	-	91,604,098	91,604,098
Total Investments	<u>\$ 9,389,770</u>	<u>\$ 2,600,697</u>	<u>91,604,098</u>	<u>277,399,222</u>
Cash in Bank			6,757,638	6,757,638
Total Cash and Investments			<u>\$ 98,361,736</u>	<u>\$ 284,156,860</u>

Custodial Credit Risk, Deposits— Custodial credit risk for deposits is the risk that, in the event of a bank failure, deposits may not be returned to the Commission. The California Government Code requires that a financial institution secure deposits made by State or local governmental units by pledging securities in an undivided collateral pool held by a depository regulated under state law (unless so waived by the governmental unit). The market value of the pledged securities in the collateral pool must equal at least 110 percent of the total amount deposited by the public agency. California law also allows financial institutions to secure public deposits by pledging first trust deed mortgage notes having a value of 150 percent of the secured public deposits and letters of credit issued by the Federal Home Loan Bank of San Francisco having a value of 105 percent of the secured deposits. As of June 30, 2012, a portion of the Commission's bank balance, \$2,885,252, was exposed to custodial credit risk because it was uninsured. However, it was collateralized with securities held by the pledging financial institution's trust department or agent, but not in the name of the Commission.

Custodial Credit Risk, Investments— Custodial credit risk for investments is the risk that, in the event of the failure of the counterparty, the Commission will not be able to recover the value of its investments or collateral securities that are in possession of an outside party. Custodial credit risk exposure is limited to \$107,398,662 because the related securities are uninsured, unregistered and held by the brokerage firm which is also the counterparty for these securities.

Concentration of Credit Risk— Concentration of credit risk is the risk attributable to the magnitude of investments with any single issuer. The investment policy of the Commission, along with the California Government Code, contains no limitations on the amount that can be invested in any one issuer of a Federal agency security. The Commission has the following investments exceeding five percent of the total investments in each single issuer:

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

Issuer	Investment Type	Reported Amount
Federal Home Loan Bank	Federal Agency Securities	\$ 31,766,749
Federal Home Loan Mortgage Corp	Federal Agency Securities	20,745,820
Federal National Mortgage Association	Federal Agency Securities	17,916,584
Federal Farm Credit Bank	Federal Agency Securities	16,284,262

Interest Rate Risk— Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment, the greater the sensitivity of its fair value to changes in market interest rates. The Commission manages its exposure to interest rate risk by purchasing a combination of shorter term and longer term investments and by timing cash flows from maturities so that a portion of the portfolio is maturing or coming close to maturity evenly over time as necessary to provide the cash flow and liquidity needed for operations.

Information about the sensitivity of the fair values of the Commission's investments to market interest rate fluctuation is provided by the following schedule that shows the distribution of investments by maturity.

Investment Type	12 Months or less	13 to 24 Months	Total
U.S. Agency Securities	\$ 69,623,438	\$ 25,595,863	\$ 95,219,301
U.S. Treasury Bonds	37,647,381	4,068,352	41,715,733
Commercial Paper	22,808,065	-	22,808,065
Corporate Notes	8,906,015	-	8,906,015
Certificates of Deposits	1,351,446	-	1,351,446
Money Market Mutual Funds	15,794,564	-	15,794,564
State Investment Pool	91,604,098	-	91,604,098
Total Investments	247,735,007	29,664,215	277,399,222
Cash in Bank	6,757,638	-	6,757,638
Total Cash and Investments	\$ 254,492,645	\$ 29,664,215	\$ 284,156,860

As reported by the State Treasurer, the weighted average maturity of the LAIF was 270 days on June 30, 2012.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

General Authorizations— Limitations as they relate to interest rate risk and concentration of credit risk are indicated in the schedule below:

Authorized Investment Type	Maximum Remaining Maturity	Maximum Percentage of Portfolio	Maximum Investment in One Issuer
Local Agency Bonds, Notes, Warrants	5 years	10%	5%
Registered State Bonds, Notes, Warrants	5 years	10%	5%
U.S. Treasury Obligations	5 years	None	None
U.S. Agency Securities	5 years	None	35%
Banker's Acceptance	180 days	40%	5%
Commercial Paper	270 days	25%	5%
Negotiable Certificates of Deposit	3 years	30%	5%
Repurchase Agreements	90 days	20%	None
Medium-Term Corporate Notes	5 years	30%	5%
Money Market Mutual Funds	N/A	20%	5%
County Pooled Investment Funds	N/A	None	None
Local Agency Investment Fund (LAIF)	N/A	None	None

NOTE 4 – CAPITAL ASSETS

Property and equipment costing \$5,000 or more is capitalized on the Statement of Net Assets at historical cost. Capital assets are depreciated using the straight-line method over the following estimated useful lives: office furniture and equipment, five years; computer equipment, three years; and building improvements, remaining term of lease agreement.

Capital asset balances at June 30, 2012, and activity during the fiscal year were as follows:

	July 1, 2011	Additions	June 30, 2012
Capital assets being depreciated:			
Furniture, equipment and leasehold improvements	\$ 1,062,102	\$ -	\$ 1,062,102
Less accumulated depreciation for:			
Furniture, equipment and leasehold improvements	(797,666)	(153,737)	(951,403)
Capital assets, net of accumulated depreciation	\$ 264,436	\$ (153,737)	\$ 110,699

NOTE 5 – EXCHANGE PROGRAM

The Commission participates in a Local Funds Exchange Program for providing local funds to agencies for use in projects that either do not have the ability to make use of state or federal funds or would face unacceptable delays, cost increases, or undue hardships if state or federal funds were utilized.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

The Commission has entered into agreements with several local agencies to exchange State Transportation Improvement Program funds with the other government's local funding for various transportation projects. The revenues received as a result of the exchange are treated for financial reporting purposes as deferred revenue. These deferred revenues are recognized as revenues at the time qualifying expenditures are incurred.

The following is a list of the funds exchanged from other governments through June 30, 2012:

Alameda County Transportation Improvement Authority	\$ 2,300,000
Alameda-Contra Costa Transit District	35,060,514
Bay Area Rapid Transit	8,100,000
City of Berkeley	259,560
City of Dublin	4,230,000
City of Fremont	5,983,256
City of Livermore	4,580,000
City of Union City	9,314,000
Metropolitan Transportation Commission	675,000
San Joaquin Regional Rail Commission	432,445
Santa Clara Valley Transportation Authority	558,000
Total Exchanged Funds	<u>71,492,775</u>
Total expenditures incurred	
Period ended June 30, 2012	(4,692,866)
Previous years	<u>(57,366,192)</u>
Total deferred revenue - accrual basis	9,433,717
Less amount not yet collected	<u>(152,398)</u>
Total deferred revenue- modified accrual	<u>\$ 9,281,319</u>

NOTE 6 - EMPLOYEE RETIREMENT PLAN

Plan Description

The Commission participates in the Public Employees' Retirement Fund (the Fund) of the California Public Employees' Retirement System (CalPERS) miscellaneous 2.5 percent at 55 risk pool. All employees are eligible to participate in the fund. The Fund is an agent multiple-employer defined benefit retirement plan that acts as a common investment and administrative agent for various local and state governmental agencies within the State of California. The Fund provides retirement, disability, and death benefits based on the employee's years of service, age, and final compensation. Employees vest after five years of service and may receive retirement benefits at age 50. Benefit provisions and all other requirements are established by state statute and Commission resolution. CalPERS issues a publicly available Comprehensive Annual Financial Report (CAFR). The CalPERS CAFR may be obtained by written request to the State of California's Public Employees' Retirement System at PO Box 942709, Sacramento, California 94229-2709 or <http://www.calpers.ca.gov>.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

Funding Policy

The total payroll for the year ended June 30, 2012 was \$2,818,425, which is the approximate covered payroll for employees participating in the Fund. Employees have an obligation to contribute eight percent of their salary to the plan; however, the Commission contributed seven percent of this contribution on the employee's behalf through January 31 and five percent thereafter. The Commission is required to contribute the employer portion at an actuarially determined rate. The average rate for the year ended June 30, 2012 was 13.16 percent of covered payroll.

Annual Pension Cost

The annual pension cost was equal to the required contribution, which was determined as part of an actuarial valuation performed as of June 30, 2010 by CalPERS, using the entry age normal cost method. The significant actuarial assumptions used in the valuation were an assumed rate of return on investment assets of 7.75 percent, projected salary increases ranging from 3.25 percent to 14.45 percent, annual payroll growth of 3.25 percent and inflation of three percent. The actuarial value of assets was determined using techniques that smooth the effects of short-term market value fluctuations over a fifteen-year period.

Three-year Trend Information

The following table shows required contributions and percentage contributed for the current reporting period and each of the preceding two years.

Fiscal Period Ended	(APC) Annual Pension Cost	Percentage of APC Contributions	Net Pension Obligation
June 30, 2012	\$ 511,783	100%	\$ -
June 30, 2011	655,105	100%	-
June 30, 2010	735,883	100%	-

NOTE 7 – COMMITMENTS AND CONTINGENCIES

Operating Lease

The Commission has entered into operating lease agreements with CIM/Oakland 1333 Broadway LP through March 2014. These agreements do not contain purchase options. Future minimum lease payments under these agreements are as follows:

Year Ending June 30,	Lease Payments
2013	\$ 861,242
2014	417,642
Total	<u>\$ 1,278,884</u>

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

The Commission has entered into sublease agreements for rental of facilities with Moffatt & Nichol (\$3,500 per month), Acumen Building Enterprise, Inc. (\$1,070 per month), Nelson\Nygaard Consulting Associates (\$745 per month), Rochelle Wheeler (\$417 per month), and L. Luster and Associates (\$274 per month) effective from July 1, 2011. These sublease agreements are month-to-month tenancy and are terminable for any reason whatsoever with 30 days written notice given at any time by either party.

Agreements with Engineering Firms

The Commission has entered into contracts with various private engineering firms to provide scoping/planning, engineering, environmental, design, right-of-way engineering and acquisition, and construction management services. As of June 30, 2012, the total outstanding commitments (not paid or accrued) are \$13.9 million. The terms range from June 30, 2012, to up to five years (or acceptance of the phase of work, whichever is earlier).

Agreements with Project Sponsors

The Commission has entered into agreements with various project sponsors to provide scoping/planning, engineering, environmental, design, right-of-way engineering and acquisition, construction management and equipment purchase services. As of June 30, 2012, the total outstanding commitments (not paid or accrued) are \$352.5 million. The terms range from June 30, 2012, to up to seven years (or acceptance of the phase of work, whichever is earlier).

Grants

The Commission receives financial assistance from Federal and State agencies in the form of grants. The disbursement of funds received under these programs generally requires compliance with terms and conditions specified in the grant agreements and are subject to audit by the grantor agencies. Any disallowed claims resulting from such audits could become a liability of the General Fund or other applicable funds. However, in the opinion of management, any such disallowed claims will not have a material adverse effect on the overall financial position at June 30, 2012.

Construction

The Commission has entered into contracts with various contractors for the construction phase of capital projects. As of June 30, 2012, the total outstanding commitments (not paid or accrued) are \$6.1 million. The terms range from June 30, 2012, through June 30, 2013 (or acceptance of the work, whichever is earlier).

Funding Agreements

Exchange Fund – The Commission has entered into Exchange agreements with several local governments to provide funding for transportation projects. As of June 30, 2012, the remaining project costs to be paid by the Commission totaled approximately \$34.2 million.

Capital Projects Fund - The Sunol Smart Carpool Lane Joint Powers Authority (Sunol JPA) is a joint powers authority, organized in February 2006 pursuant to a Joint Powers Agreement (Agreement) among the Commission (formerly the ACCMA and ACTIA) and the Santa Clara Valley Transportation Authority. The Agreement was entered into pursuant to the Government Code of the State of California, commencing with Section 6500. The Sunol JPA was formed to plan, design, construct, and administer the operation of a value pricing high-occupancy vehicle program on the Sunol Grade segment of southbound Interstate-680 in Alameda and Santa Clara Counties.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

The Sunol JPA was formed as a result of a planning study completed by the Commission and evolved into a capital project. The lane went into operations on September 20, 2010. The Commission was designated the managing agency for the Sunol JPA and has provided administrative, accounting and other support since its inception. The Commission has agreed to cover the costs of operations for the Sunol JPA during the ramp up and warranty period of operations as part of its original capital project through June 30, 2012. During the period of July 1, 2011 through June 30, 2012, the Commission incurred administrative and operating expenses on behalf of the Sunol JPA as follows:

Bay Area Toll Authority transaction fees	\$ 184,277
California Highway Patrol enforcement	80,632
Insurance	50,318
Alameda CTC staff time	38,996
Legal fees	30,323
Utilities	8,923
Financial Audit	8,915
Other	13,568
Total	<u>\$ 415,952</u>

Insurance

The Commission is exposed to various risks of loss related to torts; theft of, damage to, and destruction of assets; errors and omissions; injuries to employees and natural disasters.

The following is a summary the Commission's insurance coverage:

Type of Coverage	Deductible	Coverage up to
Property liability	\$ 1,000	\$ 964,000 per occurrence
General liability	2,500	1,000,000 per occurrence
Fire legal liability	2,500	500,000 per occurrence
Medical legal liability	2,500	100,000 per occurrence
Workers' compensation	-	1,000,000 aggregate
Employment practices	35,000	2,000,000 per occurrence
Director & officers	25,000	2,000,000 per occurrence
Crime	75,000	10,000,000 per occurrence
Excess liability	-	4,000,000 aggregate

There were no claims in excess of insured amounts during the past three years.

Litigation

The Commission is involved in various litigation arising from the normal course of business. In the opinion of management and legal counsel, the disposition of all litigation pending is not expected to have a material adverse effect on the overall financial position of the Commission at June 30, 2012.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

NOTE 8 – INTERFUND ACTIVITY

As of June 30, 2012, the General Fund's inter-fund liability due to the Exchange Fund of \$824,395 and the ACCMA Capital Projects Fund inter-fund liability due to the Exchange Fund of \$9,561,505 were the result of cash advances for capital project expenditures. This arrangement is necessary because ACCMA capital project funding is received on a reimbursement basis. These amounts will be repaid from revenue received from funding agencies as reimbursement is received for capital project expenditures.

In March 2011, the ACTA Capital Projects Fund agreed to loan the ACCMA General Fund up to \$25 million, if needed. The loan carries no interest and is repayable when the ACCMA General Fund is in a position to do so, which is expected to be during the fiscal year 2014-15. As of June 30, 2012, the ACCMA General Fund owed the ACTA Capital Projects Fund \$10 million.

As of June 30, 2012, the ACTA Capital Projects Fund owes the ACTIA General Fund \$5,018,122. This is due to the timing of transfers to the Alameda CTC consolidated cash account from which almost all invoices are currently disbursed. Initially the ACTIA General Fund transfers funds to cover all ACTIA related costs and receives reimbursement from the other ACTIA related funds.

The Commission also experiences inter-fund activity when one of the tax measures or congestion management fee programs managed by the Commission provides funding for a Commission sponsored congestion management project or program. As of June 30, 2012, the ACCMA General Fund, the ACCMA Capital Projects Fund and the Exchange Fund combined had revenues receivable totaling \$3,361,655 due and net revenues reported of \$848,918 from the various Commission managed tax measures or congestion management fee programs. The various Funds providing the funding have recorded all receipts as revenues, and receivables if not yet received, and all funding requirements as expenditures, and payables if not yet paid.

All inter-fund activity has been included in the elimination column of the fund financial statements and eliminated from the government-wide financial statements.

NOTE 9 – POSTEMPLOYMENT BENEFITS OTHER THAN PENSIONS (OPEB)

Plan Description

The Commission offers retiree health benefits under a Retiree Health Reimbursement Arrangement. Retirees are eligible for benefits if they retire from the Commission under CalPERS within 120 days of employment and have 10 years of credited service with CalPERS including at least five years with the Commission or its predecessor agencies. The Commission's contributions are based on years of public service and the following formula: 50 percent after 10 years with an additional five percent for each additional year of service reaching a maximum of 100 percent after 20 years of service. The contribution maximum is based on the Kaiser Bay Area two-Party Basic Premium rate available through the CalPERS medical program. These benefit provisions were established and may be amended by the Commission. Contributions for retirees will never exceed the amount contributed on behalf of active employees. As of June 30, 2012, membership in the plan consisted of the following:

Retirees receiving benefits	10
Active plan members	23
Total	<u>33</u>

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

As part of the merger of the ACCMA and ACTIA, the Commission plans to consolidate the trusts of the two agencies which have been established to accumulate funds to provide lifetime healthcare benefits to retired employees and their eligible family members. However, as of June 30, 2012, these two trusts had not yet been consolidated. The ACCMA participated in the California Employers' Retirement Benefit Trust (CERBT), an agent multiple-employer defined benefit postemployment healthcare plan administered by CalPERS. The CERBT issues a publicly available financial report for this trust annually which may be obtained from CalPERS, Lincoln Plaza North, 400 Q Street, Sacramento, CA 93811. The ACTIA established an OPEB trust fund which was authorized under the Board Resolution 04-0054. The Commission reports the financial activity of the trust as a fiduciary fund within this financial report. A separate financial report is not prepared.

Annual Post Retirement Benefits Costs and Net Post Retirement Benefit

The annual OPEB cost (expense) is calculated based on the annual required contribution (ARC) of the employer, an amount actuarially determined in accordance with the parameters of GASB Statement No. 45. The ARC represents a level of funding that, if paid on an ongoing basis, is projected to cover normal cost each year and amortize any unfunded actuarial accrued liabilities (UAAL) (or funding excess) over a period not to exceed 30 years. The funding policy of the Commission is to contribute the entire ARC on an annual basis. The following table shows the components of the annual OPEB cost for the year, the amount actually contributed to the plan and changes in the Commission's net OPEB obligation:

Normal cost at year end	\$ 110,069
Amortization of UAAL	5,064
Annual required contribution (ARC)	115,133
Interest on prior year Net OPEB Obligation	6,449
Adjustment to ARC	(5,733)
Annual OPEB cost	115,849
Contributions made	(163,797)
Change in Net OPEB Obligation	(47,948)
Net OPEB Obligation - Beginning of Year	75,863
Net OPEB Obligation - End of Year	\$ 27,915

Trend information for the annual OPEB cost, the percentage of annual OPEB cost contributed to the Plan and the net OPEB obligation is as follows:

Fiscal Year Ended	Annual OPEB Cost	Actual Contribution	Percentage Contributed	Net OPEB Obligation
June 30, 2012	\$ 115,849	\$ 163,797	141%	\$ 27,915
June 30, 2011	163,418	142,759	87%	75,863
June 30, 2010	154,070	136,217	88%	55,204
June 30, 2009	109,342	90,000	82%	37,351
June 30, 2008	103,574	642,212	620%	17,779

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS JUNE 30, 2012

Actuarial Methods and Assumptions

Projections of benefits for financial reporting purposes are based on the substantive plan (the plan as understood by the employer and plan members) and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefit costs between the employer and plan members to that point. The actuarial methods and assumptions used include techniques that are designed to reduce short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

In the actuarial valuation as of June 30, 2012, the entry age normal cost method is used. The actuarial assumptions included a 7.61 percent investment rate of return; an annual healthcare cost trend rate varying from 7.0 percent in 2013 to 5.5 percent in 2019 and thereafter; and a 3.25 percent annual increase in projected payroll. The Unfunded Actuarially Accrued Liability (UAAL) is being amortized on a level dollar approach on a closed basis over 30 years beginning in fiscal year 2007-08. The remaining amortization period is 25 years.

Actuarial valuations of an ongoing plan involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. Examples include assumptions about future employment, investment returns, mortality, and the healthcare cost trend. Amounts determined regarding the funded status of the Plan and the annual required contributions of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. The schedule of funding progress presents multiyear trend information about whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

Funded Status and Funding Progress

Actuarial Valuation Date	Actuarial Accrued Liability (AAL) (a)	Actuarial Value of Assets (b)	Unfunded AAL (UAAL) (a)-(b)	Funded Status (b)/(a)	Annual Covered Payroll (c)	UAAL As a Percentage of Covered Payroll (a-b)/c
June 30, 2011	\$ 2,372,751	\$ 1,983,445	\$ 389,306	84%	\$ 3,800,930	10%
June 30, 2010	1,861,490	1,681,183	180,307	90%	3,781,605	5%
June 30, 2009	1,637,713	1,479,630	158,083	90%	3,943,624	4%
June 30, 2008	1,387,849	1,605,162	(217,313)	116%	3,727,116	-6%

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTES TO FINANCIAL STATEMENTS

JUNE 30, 2012

NOTE 11 – PUBLIC TRANSPORTATION MODERNIZATION IMPROVEMENT AND SERVICE ENHANCEMENT ACCOUNT

In November 2006, California voters passed a bond measure enacting the Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006. Of the \$19.9 billion of state general obligation bonds authorized, \$4 billion was set aside by the state as instructed by the statute as the Public Transportation Modernization Improvement and Service Enhancement Account (PTMISEA). These funds are available to the California Department of Transportation for intercity rail projects and to transit operators in California for rehabilitation, safety or modernization improvements, capital enhancements or expansions, new capital projects, bus rapid transits improvements or for rolling stock procurement, rehabilitation, or replacement.

During the current reporting period, the Commission received \$1,027,613 and expended \$319,726. The proceeds available for obligation at June 30, 2012 are \$791,867. The following table summarizes the activity during the year:

Prior year available proceeds	\$ 80,716
Additional grant received	1,027,613
Interest earned	3,264
Total revenues	<u>1,111,593</u>
Total expenditures	<u>(319,726)</u>
Total proceeds available	<u><u>\$ 791,867</u></u>

REQUIRED SUPPLEMENTARY INFORMATION

ALAMEDA COUNTY TRANSPORTATION COMMISSION

SCHEDULE OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES- BUDGET AND ACTUAL- GENERAL FUND FOR THE YEAR ENDED JUNE 30, 2012

	Budgeted Amounts		Actual Amounts	Variance With Final Budget- Favorable (Unfavorable)
	Original	Final		
Revenues				
Sales tax	\$ 4,680,000	\$ 4,950,000	\$ 5,065,564	\$ 115,564
Project revenue	5,542,010	6,627,833	4,894,950	(1,732,883)
Member agency fees	1,315,867	1,315,867	1,315,867	-
Investment income	3,700	3,700	31,640	27,940
Other	80,203	165,500	96,334	(69,166)
Total revenues	11,621,780	13,062,900	11,404,355	(1,658,545)
Expenditures				
Administrative				
Salaries and benefits	3,133,077	3,179,560	3,539,438	(359,878)
Office rent	674,050	800,625	798,776	1,849
Professional services	959,603	1,180,373	1,558,181	(377,808)
Planning and programming	3,529,843	5,030,974	2,484,552	2,546,422
Other	1,411,230	1,466,270	955,977	510,293
Total Expenditures	9,707,802	11,657,802	9,336,924	2,320,878
Net change in fund balance	1,913,978	1,405,098	2,067,431	662,333
Fund Balance - Beginning	16,253,970	16,253,970	16,253,970	-
Fund Balance - Ending	\$ 18,167,948	\$ 17,659,068	\$ 18,321,401	\$ 662,333

ALAMEDA COUNTY TRANSPORTATION COMMISSION

SCHEDULE OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES- BUDGET AND ACTUAL- ACTIA SPECIAL REVENUE FUND FOR THE YEAR ENDED JUNE 30, 2012

	Budgeted Amounts		Actual Amounts	Variance With Final Budget- Favorable (Unfavorable)
	Original	Final		
Revenues				
Sales tax	\$ 59,492,630	\$ 62,924,949	\$ 64,394,013	\$ 1,469,064
Project revenue	-	-	20,343	20,343
Investment income	2,750	2,750	41,226	38,476
Total revenues	59,492,630	62,924,949	64,455,582	1,527,883
Expenditures				
Administrative				
Salaries and benefits	-	130,251	91,689	38,562
Professional services	1,304,672	1,042,598	842,386	200,212
Other	11,772	11,772	342	11,430
Transportation improvements	59,492,630	65,501,716	64,195,551	1,306,165
Total Expenditures	60,809,074	66,686,337	65,129,968	1,556,369
Net change in fund balance	(1,316,444)	(3,761,388)	(674,386)	(28,486)
Fund Balance - Beginning	9,926,642	9,926,642	9,926,642	-
Fund Balance - Ending	\$ 8,610,198	\$ 6,165,254	\$ 9,252,256	\$ (28,486)

SUPPLEMENTARY INFORMATION

ALAMEDA COUNTY TRANSPORTATION COMMISSION

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE YEAR ENDED JUNE 30, 2012

Federal Grantor/Pass-Through Grantor/Program or Cluster Title	CFDA Number	Pass-through Entity Identifying Number	Federal Expenditures
U.S. Department of Transportation			
Passed Through California Department of Transportation			
Highway Planning and Construction	20.205	Not available	
Center to Center			\$ 211,340
Congestion Management Program			202,544
Countywide Bicycle Plan			4,223
I-580 East Bound HOT Lane			101,155
ARRA - I-580 East Bound HOT Lane			470,034
I-580 West Bound HOT Lane			136,407
I-580 Interchange Improvements			13,309
I-680 South Bound SMART Carpool Lane			76,159
I-80 Gilman Interchange			87,464
I-80 Integrated Corridor Mobility			(182,746)
I-880 South Bound HOV Lane			611,742
I-880 North Safety Improvements			(432,439)
Grand MacArthur Corridor			(95)
Life Line Transportation			516
Programming Funding			348
Planning Funding			868,369
Safe Routes to School			850,269
Transportation and Land Use			177,347
Total Expenditures of Federal awards			<u>\$ 3,195,946</u>

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

GENERAL FUND COMBINING SCHEDULE OF BALANCE SHEETS JUNE 30, 2012

	ACTIA	ACCMA	Total General Fund
ASSETS			
Cash and investments	\$ 12,559,587	\$ 8,685,387	\$ 21,244,974
Sales tax receivable	826,542	-	826,542
Interest receivable	-	1,104	1,104
Other receivable	274	3,138,694	3,138,968
Due from other funds	5,018,122	-	5,018,122
Prepays and other assets	161,632	41,169	202,801
Total Assets	\$ 18,566,157	\$ 11,866,354	\$ 30,432,511
LIABILITIES AND FUND BALANCES			
Liabilities			
Accounts payable and accrued liabilities	\$ 541,015	\$ 745,700	\$ 1,286,715
Loan payable	-	10,824,395	10,824,395
Total Liabilities	541,015	11,570,095	12,111,110
Fund Balances			
Unassigned	18,025,142	296,259	18,321,401
Total Liabilities and Fund Balances	\$ 18,566,157	\$ 11,866,354	\$ 30,432,511

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

GENERAL FUND COMBINING SCHEDULE OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES FOR THE YEAR ENDED JUNE 30, 2012

	ACTIA	ACCMA	Total General Fund
REVENUES			
Sales tax	\$ 5,065,564	\$ -	\$ 5,065,564
Project revenue	-	4,531,006	4,531,006
Member agency fees	-	1,315,867	1,315,867
Investment income	48,851	(17,211)	31,640
Other income	64,659	31,675	96,334
Total Revenues	<u>5,179,074</u>	<u>5,861,337</u>	<u>11,040,411</u>
EXPENDITURES			
Administrative			
Salaries and benefits	1,011,475	2,527,963	3,539,438
Office rent	342,335	456,441	798,776
Professional services	1,274,284	283,897	1,558,181
Planning and programming	-	2,484,552	2,484,552
Other	530,269	425,708	955,977
Total Expenditures	<u>3,158,363</u>	<u>6,178,561</u>	<u>9,336,924</u>
OTHER FINANCING SOURCES			
Operating Transfer In	-	363,944	363,944
NET CHANGE IN FUND BALANCES	<u>2,020,711</u>	<u>46,720</u>	<u>2,067,431</u>
Fund Balances - Beginning	<u>16,004,431</u>	<u>249,539</u>	<u>16,253,970</u>
Fund Balances - Ending	<u>\$ 18,025,142</u>	<u>\$ 296,259</u>	<u>\$ 18,321,401</u>

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NONMAJOR GOVERNMENTAL FUNDS COMBINING BALANCE SHEET JUNE 30, 2012

	Exchange Fund	Transportation for Clean Air Fund	Vehicle Registration Fee Fund	Nonmajor Governmental Funds
ASSETS				
Cash and investments	\$ 7,424,677	\$ 3,644,871	\$ 4,796,925	\$ 15,866,473
Interest receivable	6,114	2,831	3,907	12,852
Other receivable	108,108	900,000	2,133,663	3,141,771
Due from other funds	10,385,900	-	-	10,385,900
Total Assets	\$ 17,924,799	\$ 4,547,702	\$ 6,934,495	\$ 29,406,996
LIABILITIES AND FUND BALANCES				
Liabilities				
Accounts payable and accrued liabilities	\$ 3,880,759	\$ 1,159,788	\$ 1,777,747	\$ 6,818,294
Deferred revenue	9,281,319	-	-	9,281,319
Total Liabilities	13,162,078	1,159,788	1,777,747	16,099,613
Fund Balances				
Transportation for Clean Air	-	3,387,914	-	3,387,914
Vehicle Registration Fee	-	-	5,156,748	5,156,748
Assigned	4,762,721	-	-	4,762,721
Total Fund Balances	4,762,721	3,387,914	5,156,748	13,307,383
Total Liabilities and Fund Balances	\$ 17,924,799	\$ 4,547,702	\$ 6,934,495	\$ 29,406,996

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NONMAJOR GOVERNMENTAL FUNDS COMBINING STATEMENT OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES FOR THE YEAR ENDED JUNE 30, 2012

	Exchange Fund	Transportation for Clean Air Fund	Vehicle Registration Fee Fund	Nonmajor Governmental Funds
REVENUES				
Project revenue	\$ 4,800,916	\$ 1,827,674	\$ -	\$ 6,628,590
Vehicle registration fees	-	-	12,242,126	12,242,126
Investment income	21,953	15,168	15,496	52,617
Total Revenues	<u>4,822,869</u>	<u>1,842,842</u>	<u>12,257,622</u>	<u>18,923,333</u>
EXPENDITURES				
Other administrative	104	97	108,248	108,449
Congestion management	4,692,762	2,367,124	7,924,607	14,984,493
Total Expenditures	<u>4,692,866</u>	<u>2,367,221</u>	<u>8,032,855</u>	<u>15,092,942</u>
NET CHANGE IN FUND BALANCES	130,003	(524,379)	4,224,767	3,830,391
Fund Balances - Beginning	4,632,718	3,912,293	931,981	9,476,992
Fund Balances - Ending	<u>\$ 4,762,721</u>	<u>\$ 3,387,914</u>	<u>\$ 5,156,748</u>	<u>\$ 13,307,383</u>

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

ACTIA COMBINING SCHEDULE OF BALANCE SHEETS OF THE SPECIAL REVENUE FUND BY PROGRAM JUNE 30, 2012

	Express Bus	Bike and Pedestrian	Passthrough	Transit Oriented Development	Paratransit	Total Special Revenue Subfunds
ASSETS						
Cash and investments	\$ 2,050,720	\$ 4,526,216	\$ 265	\$ 986,827	\$ 2,390,058	\$ 9,954,086
Sales tax receivable	122,787	219,263	9,880,878	33,328	250,837	10,507,093
Other receivable	-	-	-	-	21,218	21,218
Total Assets	\$ 2,173,507	\$ 4,745,479	\$ 9,881,143	\$ 1,020,155	\$ 2,662,113	\$ 20,482,397
LIABILITIES AND FUND BALANCES						
Liabilities						
Accounts payable and accrued liabilities	\$ 235,571	\$ 529,065	\$ 9,880,878	\$ 97,022	\$ 487,605	\$ 11,230,141
Fund Balances						
Restricted	1,937,936	4,216,414	265	923,133	2,174,508	9,252,256
Total Liabilities and Fund Balances	\$ 2,173,507	\$ 4,745,479	\$ 9,881,143	\$ 1,020,155	\$ 2,662,113	\$ 20,482,397

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

ACTIA COMBINING SCHEDULE OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES OF THE SPECIAL REVENUE FUND BY PROGRAM FOR THE YEAR ENDED JUNE 30, 2012

	Express Bus	Bike and Pedestrian	Passthrough	Transit Oriented Development	Paratransit	Total Special Revenue Subunds
REVENUES						
Sales tax	\$ 752,518	\$ 1,343,779	\$ 60,556,175	\$ 204,255	\$ 1,537,286	\$ 64,394,013
Project revenue	-	-	-	-	20,343	20,343
Investment income	8,474	18,777	-	4,421	9,554	41,226
Total Revenues	<u>760,992</u>	<u>1,362,556</u>	<u>60,556,175</u>	<u>208,676</u>	<u>1,567,183</u>	<u>64,455,582</u>
EXPENDITURES						
Administrative:						
Salaries and benefits	5,515	31,554	-	3,837	50,783	91,689
Professional services	33,779	389,085	-	22,925	396,597	842,386
Other	-	290	-	-	52	342
Transportation improvements:						
Public transit	744,593	-	32,508,765	-	1,287,374	34,540,732
Local transportation	-	1,115,179	28,047,409	492,231	-	29,654,819
Total Expenditures	<u>783,887</u>	<u>1,536,108</u>	<u>60,556,174</u>	<u>518,993</u>	<u>1,734,806</u>	<u>65,129,968</u>
NET CHANGE IN FUND BALANCES	(22,895)	(173,552)	1	(310,317)	(167,623)	(674,386)
Fund Balances - Beginning	<u>1,960,831</u>	<u>4,389,966</u>	<u>264</u>	<u>1,233,450</u>	<u>2,342,131</u>	<u>9,926,642</u>
Fund Balances - Ending	<u>\$ 1,937,936</u>	<u>\$ 4,216,414</u>	<u>\$ 265</u>	<u>\$ 923,133</u>	<u>\$ 2,174,508</u>	<u>\$ 9,252,256</u>

See accompanying note to supplementary information.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

NOTE TO SUPPLEMENTARY INFORMATION JUNE 30, 2012

NOTE 1 - PURPOSE OF SCHEDULES

Schedule of Expenditures of Federal Awards

The accompanying Schedule of Expenditures of Federal Awards includes the Federal grant activity of the Commission and is presented on the modified accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of the United States Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*.

Schedule of the General Fund Combining Balance Sheets and Combining Schedule of Revenues, Expenditures, and Change in Fund Balances

The Schedule of the General Fund Combining Balance Sheet and Combining Schedule of Revenues, Expenditures, and Change in Fund Balances is included to provide information regarding the breakout of activity between the former ACTIA and ACCMA general funds.

Nonmajor Governmental Funds Balance Sheet and Statement of Revenues, Expenditures, and Change in Fund Balances

The Nonmajor Funds Combining Balance Sheets and the Nonmajor Funds Combining Statement of Revenues, Expenditures and Change in Fund Balances are included to provide information regarding the individual funds that have been included in the Nonmajor Governmental Funds column on the Governmental Funds Balance Sheet and Statement of Revenues, Expenditures, and Change in Fund Balances which include the Exchange Fund, the Transportation for Clean Air Fund and the Vehicle Registration Fee Fund.

ACTIA Combining Schedule of the Balance Sheets and the Combining Schedule of Revenues, Expenditures, and Change in Fund Balances of the Special Revenue Fund by Project or Program

The Combining Schedule of the Balance Sheets and the Combining Schedule of Revenues, Expenditures, and Change in Fund Balances of the ACTIA Special Revenue Fund by Program, is included to provide information regarding the individual subfunds that have been included in the ACTIA Special Revenue Fund column on the Governmental Funds Balance Sheet and Statement of Revenues, Expenditures, and Change in Fund Balances.

INDEPENDENT AUDITOR'S REPORTS



**INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN
ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

Governing Board
Alameda County Transportation Commission
Oakland, California

We have audited the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of the Alameda County Transportation Commission (the Commission) as of and for the year ended June 30, 2012, which collectively comprise the Commission's basic financial statements and have issued our report thereon dated [REDACTED], 2012. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Internal Control Over Financial Reporting

Management is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered internal controls over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Commission's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies, or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider material weaknesses, as defined previously.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Commission's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

This report is intended solely for the information and use of the governing board, management, Federal awarding agencies, and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Palo Alto, California

, 2012



**INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE WITH
REQUIREMENTS THAT COULD HAVE A DIRECT AND MATERIAL
EFFECT ON EACH MAJOR PROGRAM AND ON INTERNAL
CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133**

Governing Board
Alameda County Transportation Commission
Oakland, California

Compliance

We have audited the Alameda County Transportation Commission's (the Commission) compliance with the types of compliance requirements described in the US Office of Management and Budget (OMB) *Circular A-133 Compliance Supplement* that could have a direct and material effect on the Commission's major federal program for the year ended June 30, 2012. The Commission's major federal program is identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to major federal programs is the responsibility of the management. Our responsibility is to express an opinion on the Commission's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about compliance with those requirements and performing such other procedures, as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the Commission's compliance with those requirements.

In our opinion, the Commission complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on its major federal program for the year ended June 30, 2012.

Internal Control Over Compliance

Management of the Commission is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered the Commission's internal control over compliance, with the requirements that could have a direct and material effect on the major federal program to determine the auditing procedures for the purpose of expressing our opinion on compliance, and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Commission's internal control over compliance.

A *deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider material weaknesses, as defined above.

This report is intended solely for the information and use of the governing board, management, federal awarding agencies, and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Palo Alto, California

, 2012

SCHEDULE OF FINDINGS AND QUESTIONED COSTS

ALAMEDA COUNTY TRANSPORTATION COMMISSION

SUMMARY OF AUDITOR'S RESULTS FOR THE YEAR ENDED JUNE 30, 2012

FINANCIAL STATEMENTS

Type of auditor's report issued:	<u>Unqualified</u>
Internal control over financial reporting:	
Material weaknesses identified?	<u>None</u>
Significant deficiencies identified?	<u>None reported</u>
Noncompliance material to financial statements noted?	<u>No</u>

FEDERAL AWARDS

Internal control over major programs:	
Material weaknesses identified?	<u>None</u>
Significant deficiencies identified?	<u>None reported</u>
Type of auditors' report issued on compliance for major programs:	<u>Unqualified</u>
Any audit findings disclosed that are required to be reported in accordance with Section .510(a) of OMB Circular A-133?	<u>None</u>

Identification of major programs:

<u>CFDA Number</u>	<u>Name of Federal Program or Cluster</u>
<u>20.205 (Includes ARRA)</u>	<u>Highway Planning and Construction (Includes ARRA)</u>

Dollar threshold used to distinguish between Type A and Type B programs:	<u>\$ 300,000</u>
Auditee qualified as low-risk auditee?	<u>No</u>

ALAMEDA COUNTY TRANSPORTATION COMMISSION

**FINANCIAL STATEMENT FINDINGS
FOR THE YEAR ENDED JUNE 30, 2012**

None reported.

DRAFT

ALAMEDA COUNTY TRANSPORTATION COMMISSION

**FEDERAL AWARDS FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2012**

None reported.

DRAFT

ALAMEDA COUNTY TRANSPORTATION COMMISSION

SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS FOR THE YEAR ENDED JUNE 30, 2012

The prior year Schedule of Financial Statement Findings of the predecessor agencies contains no federal award findings and no financial statement findings.

DRAFT

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Vavrinek, Trine, Day & Co., LLP,
Certified Public Accountants & Consultants

VALUE THE DIFFERENCE

INDEPENDENT AUDITOR'S REPORT

Board of Directors
Alameda County Transportation Commission
Oakland, California

We have audited the basic financial statements of the Alameda County Transportation Commission (the Commission) as of and for year ended June 30, 2012, and have issued our report thereon dated December XX, 2012. We have also audited the accompanying Commission's Limitations Worksheet (the Worksheet) for the year ended June 30, 2012. The Worksheet is the responsibility of the Commission's management. Our responsibility is to express an opinion on the Worksheet based on our audit.

We conducted our audit of the Worksheet in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the Worksheet is free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the Worksheet. An audit also includes assessing the accounting principles used and the significant estimates made by management, as well as evaluating the overall worksheet presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the Worksheet referred to above, presents fairly, in all material respects, the administrative cost and related percentages of the Commission for the year ended June 30, 2012, in conformity with the accounting principles generally accepted in the United States of America.

Palo Alto, California
December XX, 2011

Alameda County Transportation Improvement Authority Limitations Worksheet Basis for Salary and Benefits Limitation and the Administrative Cost Limitation		
	Reference to the Financial Statements	For the year ending June 30, 2012
<u>Revenues</u>		
Net Sales Tax Proceeds	Note 1	\$ 112,568,093
Investments & Other Income - Net of Related Costs	Note 2	10,697,407
Funds Generated		<u>\$ 123,265,500</u>
<u>Expenditures</u>		
Gross Salaries and Benefits		\$ 1,011,475
Other Administration Costs		2,146,888
Total Administration Costs	Note 3	<u>\$ 3,158,363</u>
<u>Transportation Expenditure Plan Requirements</u>		
<i>Compliance on Salary and Benefits Cost Limitation (Maximum Allowed is 1%)</i>		
Ratio of Gross Salaries and Benefits to Net Sales Tax Revenues		0.8985%
<i>Compliance on Administration Costs Limitation (Maximum Allowed is 4.5%)</i>		
Ratio of Total Administration Costs to Net Sales Tax Proceeds		2.8057%
<u>Public Utilities Commission 180109 Requirement</u>		
<i>Compliance on Salary and Benefits Cost Limitation (Maximum Allowed is 1%)</i>		
Ratio of Gross Salaries and Benefits to Funds Generated		0.8206%

1: Amount was derived from sales tax revenue reported on page 23.

2: Amount was derived from the following:

Project revenue on the ACTIA Special Revenue Fund on page 22.	\$ 20,343
Investment income on the ACTIA Special Revenue Fund on page 22.	41,226
Project revenue on the ACTIA Capital Projects Fund on page 22.	10,047,094
Investment income on the ACTIA Capital Projects Fund on page 22.	180,943
Other income on the ACTIA Capital Projects Fund on page 22.	294,291
Investment income on the ACTIA subfund of General Fund on page 50.	48,851
Other income on the ACTIA subfund of General Fund on page 50.	64,659
	<u>\$ 10,697,407</u>

3: Amount was derived from the total expenditures reported on the ACTIA subfund of the General Fund on page 50.



MEMORANDUM

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Finance and Administration Committee

SUBJECT: Staff Salaries and Benefits Resolution for Fiscal Year 2013-14

Recommendation

It is recommended that the Commission approve and adopt the attached Alameda County Transportation Commission (Alameda CTC) Salaries and Benefits Resolution for the 2013-14 fiscal year.

This item was approved unanimously by the Finance and Administration Committee at its meeting earlier this month.

Discussion

The Administrative Code calls for the Executive Director to annually submit for the Commission's approval a resolution establishing the agency staffing positions, salary ranges, and benefits for the calendar year. The agency currently has 27 approved positions filled by 26 employees, including the Executive Director. For 2013, it is anticipated that these agency staffing positions will remain unchanged.

The Commission has delegated to the Executive Director the administrative authority to adjust salaries for agency employees within the ranges authorized by the resolution. Factors taken into account include job performance, job expansion, added responsibilities and economic context. There are no automatic pay increases or pay grade step increases. The current salary structure which was adopted 18 months ago included substantially reduced salary ranges compared to those of the former Alameda County Congestion Management Agency. For fiscal year 2013-14, it is recommended that the salary structure be adjusted based on the percent change in the Consumer Price Index (CPI) for the San Francisco-Oakland-San Jose Region over a 12-month period. This practice helps the Commission to retain the relatively small but dedicated and valuable staff, and to keep in step with inflation and market conditions. The percent change for October 2012 (over October 2011) was 3.2%. The revised ranges are included in the attached Salaries and Benefits Resolution.

The attached Salaries and Benefits Resolution is also consistent with the Public Employees' Pension Reform Act of 2013 (AB 340) for current employees, as it pertains to the agency. The details of the agency's retirement system are contained in the agency's pension plan. The most

significant changes from AB 340 apply to new employees. For those changes to current employees related to AB 340, the agency is consistent with the PERS rules. Different standards will apply to new employees based on standards proscribed by AB 340 and related subsequent legislation. The resolution will be amended to account for new employees and compliance with AB 340. Because PERS is issuing new guidance, we expect to have a verbal report for this committee meeting and the final language for the next Commission meeting.

For current employees, the major features of the agency's pension plan include the "2.5%@55" benefit based on the "three highest years" of regular salary. The plan does not include any optional features, payout conversions or optional benefits that have been characterized as "spiking" of the pension benefit. The plan provides retirement employer paid member contribution (EPMC) cost sharing of 5% by the agency and 3% by employee. The CalPERS-required employer contribution rate is 14.5%. In comparison, the agency's pension benefit is on par with the more conservative plans in the market area. Moreover, according to a 2010 Koff study, 6 of the 15 agencies surveyed provide a greater pension benefit than ACTIA, 5 were approximately the same, and 4 were slightly less.

Fiscal Impact

The recommended labor market inflation adjustments in the salary ranges included in the Resolution will be included in the salaries and benefits projections for FY 2013-14 Operating Budget.

Attachments:

Attachment A:	Recommended Fiscal Year 2013-14 Salary Ranges for Alameda CTC
Attachment B:	Salaries and Benefits Resolution for the 2013-14 Fiscal Year



Attachment A -- Recommended FY 2013-14 Annual Salary Ranges for Alameda CTC

Position/Classification	Min	Med	Max
Deputy Director of Projects and Programming	\$153,876	\$176,957	\$200,039
Deputy Director of Planning	\$139,404	\$160,315	\$181,225
Director of Finance	\$136,004	\$156,405	\$176,805
Deputy Director of Policy, Legislation, and Public Affairs	\$132,686	\$152,589	\$172,493
Principal Transportation Engineer	\$120,207	\$138,238	\$156,270
Principal Transportation Planner	\$108,902	\$125,228	\$141,573
Senior Transportation Engineer	\$103,655	\$119,203	\$134,751
Project Controls Engineer	\$98,660	\$113,459	\$128,258
Senior Transportation Planner	\$93,906	\$107,992	\$122,077
Accounting Manager	\$93,906	\$107,992	\$122,077
Senior Accountant	\$80,975	\$93,121	\$105,267
Contract Procurement Analyst	\$80,975	\$93,121	\$105,267
Contract Compliance and Outreach Analyst	\$80,975	\$93,121	\$105,267
Assistant Transportation Planner/Programming Analyst I	\$73,360	\$84,363	\$95,367
Office Supervisor	\$73,360	\$84,363	\$95,367
Accountant	\$69,824	\$80,298	\$90,772
Clerk of the Board/Commission	\$69,824	\$80,298	\$90,772
Executive Assistant	\$58,740	\$67,552	\$76,363
Administrative Assistant	\$53,216	\$61,199	\$69,181
Receptionist	\$41,572	\$47,808	\$54,044
Executive Director	\$215,250* -- Under a separate contract. This amount was approved by the Commission on December 6, 2012		

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ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION 13-005

**FISCAL YEAR 2013-2014 SALARIES AND
CALENDAR YEAR 2013 BENEFITS FOR STAFF MEMBERS**

Commission Chair
TBD

Commission Vice Chair
Scott Haggerty, Supervisor – District 1

AC Transit
Greg Harper, Director

Alameda County
Supervisors
Richard Valle – District 2
Wilma Chan – District 3
Nate Miley – District 4
Keith Carson – District 5

BART
Thomas Blalock, Director

City of Alameda
Marilyn Ezzy Ashcraft, Vice Mayor

City of Albany
Peggy Thomsen, Mayor

City of Berkeley
Laurie Capitelli, Councilmember

City of Dublin
Tim Sbranti, Mayor

City of Emeryville
Ruth Atkin, Councilmember

City of Fremont
Suzanne Chan, Councilmember

City of Hayward
Marvin Peixoto, Councilmember

City of Livermore
John Marchand, Mayor

City of Newark
Luis Freitas, Councilmember

City of Oakland
Councilmembers
Larry Reid
Rebecca Kaplan

City of Piedmont
John Chiang, Mayor

City of Pleasanton
Jerry Thorne, Mayor

City of San Leandro
Michael Gregory, Vice Mayor

City of Union City
Carol Dutra-Vernaci, Mayor

Executive Director
Arthur L. Dao

WHEREAS, the Alameda County Transportation Commission, hereinafter referred to as Alameda CTC, was created pursuant to a joint powers agreement (“Joint Powers Agreement”) entered into among the 14 cities in Alameda County, the County of Alameda, the Bay Area Rapid Transportation District, the Alameda Contra Costa Transit District, the Alameda County Transportation Improvement Authority (“ACTIA”), and the Alameda County Congestion Management Agency (“ACCMA”);

WHEREAS, Alameda CTC is empowered by the Joint Powers Agreement to carry out numerous transportation planning, programming and construction functions and responsibilities, including all functions and powers of ACTIA and ACCMA;

WHEREAS, Alameda CTC is authorized under Section 11 and 13 of the Joint Powers Agreement to appoint and retain staff as necessary to fulfill its powers, duties and responsibilities;

WHEREAS, Alameda CTC previously adopted Resolution 12-002, thereby establishing a consistent set of benefits and leave policies, and this Resolution is intended to supersede and replace such Resolution 12-002, except as provided herein; and

NOW, THEREFORE, BE IT RESOLVED that the salaries for fiscal year 2013-2014 and employment benefits for members of the independent staff of the Alameda CTC for January 1, 2013 through December 31, 2013 are hereby adopted, and are herein set forth.

1. Salaries

- 1.1 The calendar year 2012 salary ranges established pursuant to Resolution 12-002 shall apply during the period from January 1, 2013, through June 30, 2013.
- 1.2 An employee shall be compensated at a rate set between the minimum (min) and maximum (max) of the range specified in Attachment 1 for their respective position classification.
- 1.3 The duties and responsibilities of the position classifications identified in Paragraph 1.2 shall be described by an Alameda CTC job specification approved by the Executive Director.
- 1.4 The salary ranges for the employees described in Paragraph 1.2 shall not include steps and/or provision for any automatic or tenure-based increases.
- 1.5 Starting compensation, including salary, for each employee shall be set by the Executive Director consistent with the prescribed ranges for the position classifications identified in Paragraph 1.2.

2. Appointments and Performance Management

- 2.1 Original appointments of new employees shall be tentative and subject to a probationary period of one (1) year of actual service.
- 2.1.1 Every six (6) months during the probationary period new employees will meet with their supervisor to discuss the employee's performance to date. At the time of the discussion the supervisor will complete a written evaluation for the employee's personnel records.
- 2.1.2 Upon completion of the probationary period, the employee shall be given a written evaluation. If this evaluation shows that the employee has satisfactorily demonstrated the qualifications for the position, the employee shall gain regular status, and shall be so informed in writing.
- 2.1.3 At any time during the probationary period, a probationary employee may be terminated with or without cause and with or without notice. Employee shall be notified in writing by the Executive Director of such termination.
- 2.1.4 The probationary period may be extended once by the Executive Director at his/her sole discretion in order to further evaluate the performance of the probationary employee.
- 2.1.5 The probationary period is automatically extended by a period of time equal to the time the employee is absent due to any type of leave, including time absent while receiving workers' compensation.
- 2.2 Following successful completion of the probationary period, written performance reviews for employees shall be conducted at least once a year by the employee's supervisor and reviewed and approved by the Executive Director or his/her designee. In addition, a review of an employee's progress in meeting annual goals and objectives will be conducted at the end of six months by the employee and his or her supervisor.
- 2.3 On the basis of the performance reviews, increases or decreases in compensation may be granted at that time by the Executive Director at his/her sole discretion consistent with the Board approved annual budget.

3. Holidays

- 3.1 The following eleven (11) paid holidays shall be observed by the Agency:
- | | |
|-----------------------------------|-------------------------|
| New Year's Day | Veterans Day (Observed) |
| Martin Luther King Jr.'s Birthday | Thanksgiving Day |
| Presidents' Day | Day after Thanksgiving |
| Memorial Day | Christmas Eve |
| Independence Day | Christmas Day |
| Labor Day | |
- 3.2 **Holiday Policy.** When a holiday falls on a Sunday, the following Monday shall be observed as the holiday date. When a holiday falls on a Saturday, the preceding Friday shall be observed.
- 3.3 **Floating Holidays.** Regular full-time employees are entitled to two (2) floating holidays per year. Employees shall be granted such holidays at the beginning of each fiscal year (i.e., effective on July 1 of each year). Floating Holidays are not accruable and those unused at the end of the fiscal year will be eliminated from the employee's available leave bank.
- 3.4 **Holiday Time.** Regular full-time employees shall receive eight (8) hours of holiday pay for each of the above holidays at their regular base rate. Regular part-time employees shall receive paid holiday time prorated based on actual hours worked should their regular work schedule fall on one of the above listed holidays.
- 3.5 **Administrative Procedure.** The Executive Director shall establish holiday procedures governing employees of the Agency.

4. Leaves of Absence

4.1 Vacation

- 4.1.1 **Accrual Rates.** The Agency shall provide vacation leave with pay for regular employees (including probationary employees) based on accrual guidelines shown in the table below. Vacation leave earned shall accrue upon completion of each pay period beginning upon completion of the pay period following that in which the employee commences service.

Accrual Rates Based on Years of Service:

Years of Service	Vacation Days Accrued Per Year	Maximum Hours Accrued Per Year
0-3 Years	10 Days	120 Hours
3.1-10 Years	15 Days	240 Hours
10.1-15 Years	20 Days	320 Hours
15.1+ Years	25 Days	400 Hours

Part-time employees shall earn vacation leave on a pro rata basis based on actual hours worked. The maximum accrual will also be pro rated.

- 4.1.2 **Maximum Vacation Benefits.** Once an employee reaches the maximum accrual, the employee will cease accruing any additional vacation leave until such time as vacation leave hours fall below the maximum.
- 4.1.3 **Payment of Vacation upon Separation.** Accrued vacation pay that has not been used will be paid at time of resignation or termination. An employee terminating employment with the Agency for reasons other than paid retirement from the Agency employment shall be paid at such employee's current rate of pay for all unused accrued vacation up to the maximum amount of permissible accumulated vacation time as set forth above, in one (1) lump sum less applicable taxes. An employee separating from service with the Agency for paid retirement may elect either to take time off for vacation prior to the employee's date of retirement, or to be paid at the employee's current rate of pay for vacation up to the ceiling amount as set forth above, in one lump sum.
- 4.2 **Management Leave.** Regular full-time exempt employees may receive paid management leave of up to 80 hours per year at the sole discretion of the Executive Director. The leave is intended to compensate exempt employees who are required to attend work-related meetings outside of normal working hours. The amount of leave will be determined by the Executive Director based on each employee's function and the number of off hour meetings he/she is required to attend. No employee shall be eligible to accrue more than the amount of their annual Management Leave. Use of Management Leave shall be at the discretion of the Executive Director.
- 4.3 **Sick Leave.** Regular employees (including probationary employees) shall receive sick leave, accumulating at the rate of one day per calendar month up to four hundred eighty (480) hours (pro rated for part-time employees based on actual hours worked). Up to sixty (60) days of accrued but unused sick leave may be used toward service credit for PERS retirement benefits. Sick leave is available only for the actual illness or injury of an employee or the employee's spouse, registered domestic partner, children, parents, or other dependents.
- 4.4 **Family and Medical Leave.** The Agency may grant regular employees (including probationary employees) up to twelve (12) workweeks of unpaid time off in a 12-month period for the employee's own serious health condition or that of the employee's immediate family member, i.e., child, parent, spouse, or registered domestic partner, or for baby/child bonding after the birth, adoption, or foster care placement of an employee's child.
Employees may exhaust any accrued vacation time and/or sick leave (if the leave is due to the employee's own serious health condition or to care for the serious health condition of an immediate family member as described above) while on unpaid leave. Employees taking family/medical leave due to the birth of a child to that employee's spouse or registered domestic partner, or the adoption or foster placement of a child, or to care for such child, may utilize accrued sick leave and/or vacation time during such leave. Such use of accrued vacation time and/or sick leave is the only pay such employee will receive from the Agency while on family/medical leave.
- 4.5 **Leave Due to Pregnancy, Child Birth or Related Conditions.** The Agency shall comply with California's Pregnancy Disability Leave Law. Employees may, but are not required to, utilize accrued vacation and sick leave during any pregnancy leave so as to receive pay during some or all such leave.
- 4.6 **Military Leave.** Military leave shall be granted in accordance with federal and state law.
- 4.7 **Bereavement Leave.** In the event of a death in the immediate family of a regular full-time employee, paid leave not chargeable to sick or vacation leave will be granted for a period up to three (3) consecutive scheduled work days for the purpose of making arrangements for, or to attend, the funeral. Employees shall

receive one (1) day to attend a funeral for a friend or relative outside their immediate family. Immediate family is defined as spouse, registered domestic partner, child, sister, brother, mother, father, legal guardian, any other person sharing the relationship of in loco parentis, legal dependent, current mother- or father-in-law, grandparents, or grandchildren.

- 4.8 **Jury and Witness Duty Leave.** All regular full-time employees will be granted a leave of absence with pay for all or any part of the time required for jury duty in the manner prescribed by law. The employee must return to work on the same day he or she is excused from service. The employee shall be paid the difference between his/her full salary and any payment received for such duty, except travel pay. All regular full-time employees will be granted a leave of absence with pay for their appearance as a witness in a civil or criminal proceeding (other than as an accused) for any appearance that is solely attributable to the employee's work for the Agency.

- 4.9 **Administrative Procedure.** The Executive Director shall establish specific guidelines and procedures to implement all of the leave policies.

5. Health Insurance and Other Benefits

- 5.1 **Cafeteria Plan.** Alameda CTC provides a Cafeteria Plan for its eligible employees, into which Alameda CTC will pay \$1,940 per month per employee. This amount is in addition to the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum required contribution of \$115. With these funds, each participating employee is able to choose the following coverage:

- Health Insurance (through the State of California's Public Employees' Retirement System (CalPERS);
- Dental Insurance;
- Vision Care Insurance;
- Life Insurance;
- Dependent Life Insurance;
- Accidental Death and Dismemberment Insurance;
- Long-term Disability Insurance; and
- Short-term Disability Insurance.

When an employee is required to work on a less than full-time basis due to medical or other valid reasons, the accrual for the cafeteria plan contribution amount will be prorated by dividing the actual hours worked plus any accrued sick/vacation hours used during the pay period, by the fulltime equivalent hours in the same pay period.

Regular full-time employees who elect not to use the CalPERS health care benefit shall receive \$400 per month which will be paid with each paycheck (\$200 per pay-period) and is subject to all applicable payroll taxes.

Regular part-time employees will receive a pro-rated amount of the monthly contribution based on actual hours worked.

6. Additional Benefits Programs

- 6.1 **Transit Subsidy.** All regular full-time employees of Alameda CTC are eligible for \$230 per month in commuter checks (elected to be received by the employee) as a transit subsidy benefit.

- 6.2 **Tuition Assistance.** Following completion of their probationary period, regular full-time employees are eligible for reimbursement of 90% of tuition fees for job-related courses, subject to budget availability up to \$500 per academic year at an accredited institution each fiscal year, at the sole discretion of the Executive Director.

7. **Other benefits.** At no cost to Alameda CTC, Alameda CTC will also provide: (1) A Flexible Spending Account (FSA) program which will be administered through the cafeteria plan for both dependent care expense up to \$5,000 per calendar year and medical expenses up to \$2,500 per calendar year. To participate in the FSA to receive benefits in the form of reimbursements for dependent and/or medical care expenses from the FSA, an employee can elect to pay his or her contribution for FSA benefits on a pre-tax salary reduction basis; and, (2) An optional deferred compensation program.

8. **Administrative Procedure.** The Executive Director shall establish specific guidelines and procedures to implement all of the benefit policies.

9. **Retirement.** All employees of Alameda CTC shall be entitled to membership with the California Public Employees' Retirement System (CalPERS) according to the guidelines established in the CalPERS Retirement Benefits Policy and the applicable contract with CalPERS. Alameda CTC shall contribute to CalPERS each pay period 5% of the 8% employee contribution on behalf of all employees. Such contribution shall be reported to PERS as "employee contribution being made by the contracting agency" and shall not be deemed to be "compensation" reportable to PERS.
10. **Reimbursement of Expenses.** Alameda CTC will reimburse Alameda CTC employees for reasonable and normal expenses associated with Alameda CTC business approved by the Executive Director or his designee. An employee may be offered a fixed taxable monthly allowance in lieu of actual expenses, which may be adjusted annually by the Executive Director.
11. **Office Hours.** The offices of Alameda CTC shall be open for the public between 8:30 a.m. and 5:00 p.m. each weekday, except on Alameda CTC holidays as defined in Paragraph 3.1. Employees are required to be at Alameda CTC's offices during business hours from Monday through Friday.
12. All provisions of this Resolution shall be effective and pertain to all employees of Alameda CTC as of the date of hire of the employee, or January 1, 2013, whichever is later, unless otherwise provided.
13. The Executive Director is authorized to execute the necessary contracts for the benefits and insurance coverage described herein.
14. This Resolution is intended to and shall replace and supersede in its entirety that certain Resolution 12-002 adopted by the Commission on January 26, 2012.

Duly passed and adopted by the Alameda County Transportation Commission at the regular meeting of the Commission held on Thursday, January 24, 2013 in Oakland, California by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

Scott Haggerty, Vice-Chair of the Commission

ATTEST: _____
Vanessa Lee, Commission Secretary

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Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Finance and Administration Committee

SUBJECT: Update on Office Relocation

Recommendation

This is an information item only. No action is requested.

Summary

At the Alameda CTC meeting held on December 6, 2012, staff presented the proposed office relocation schedule. Staff informed the Commission that on November 14 and 28, 2012, the Requests for Economic Information (REI) were sent to four (4) Class A buildings in Oakland. The REIs were reviewed by staff and a comparison of the different office locations and a financial analysis was presented to the Office Relocation Subcommittee on December 6, 2012.

At the December 6th Subcommittee and Commission meetings, staff recommended a location and discussed Alameda CTC's suggested counter proposal to the recommended location. After some discussion, the Commission directed staff, in coordination with the Office Relocation Subcommittee, to proceed with finalizing and sending the Letter of Intent (LOI) to the approved location. Staff was also directed to negotiate a lease not to exceed the amount approved by the Commission.

Staff also informed the Subcommittee and the Commission that meetings with various consultants (e.g. audio visual/data, furniture, IT, movers, and liquidators) were conducted by Alameda CTC office relocation team in order to develop a project budget, review viability and to explore options. An office relocation budget based on these meetings was developed and was presented to the Office Relocation Subcommittee and to the Commission at the December 6 meeting. The budget was approved with the terms of lease by the Commission.

As directed by the Commission, the LOI was sent on December 17, 2012. A lease agreement is expected to be finalized in early January 2013.

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Attachment A
Alameda CTC Community Advisory Committee Appointment Detail for
Supervisor Wilma Chan, Alameda County, District 3

Check the box(es) and date and sign this form to approve reappointment of members whose terms are expiring or to appoint new members.

Bicycle and Pedestrian Advisory Planning Committee (BPAC)

Current Appointment: Lucy Gigli
(no action required) 849 Laurel Street
Alameda, CA 94501
Email: lucy@bikealameda.org
Home Phone: (510) 522-3252
Term Began: October 2012
Term Expires: October 2014

Citizen Advisory Committee (CAC)

☒ **Reappoint** Alton Jefferson
(action required) 256 Lexington Avenue
San Leandro, CA 94577
Email: altjefferson@aol.com
Home Phone: (510) 367-7148
Term Began: September 2010
Term Expires: September 2012

Citizens Watchdog Committee (CWC)

☐ **Appoint** Vacant
(action required)

Paratransit Advisory and Planning Committee (PAPCO)

☒ **Reappoint** Sylvia J. Stadmire
(action required) 2358 E. 22nd Street
Oakland, CA 94601
Email: sjstadmire@gmail.com
Home Phone: (510) 534-7038
Term Began: February 2010
Term Expires: February 2012

11/30/2012
Date



Supervisor Wilma Chan, Alameda County

(over)

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Application for the Alameda CTC Citizens Watchdog Committee (CWC)



The Alameda CTC invites Alameda County residents to serve on its **Citizens Watchdog Committee**, which meets on the second Monday of the month quarterly, from 6:30 to 8:30 p.m. Each member is appointed for a two-year term.

Membership qualifications:

Each CWC member must be a resident of Alameda County and must not be an elected official at any level of government or be a public employee of any agency that oversees or benefits from the proceeds of the Measure B sales tax or have any economic interest in any Measure B-funded projects or programs.

Name: DEBORAH TAYLOR
Home Address: 2503 WALLACE STREET, OAKLAND 94606
Mailing Address (if different): _____
Phone: (home) 510 535 1020 (work) 510 852 9152 (fax) _____
Email: dtm9@yahoo.com

Please respond to the following sections on a separate attachment:

- I. **Commission/Committee Experience:** What is your previous experience on a public agency commission or committee? Please also note if you are currently a member of any commissions or committees.
- II. **Statement of Qualifications:** Provide a brief statement indicating why you are interested in serving on the CWC and why you are qualified for this appointment.
- III. **Relevant Work or Volunteer Experience:** Please list your current employer or relevant volunteer experience including organization, address, position and dates.
- IV. **Bio or Resume**

Certification: I certify that the above information is true and complete to the best of my knowledge.

Signature

Date

12-5-2012

Return the application to your appointing party for signature (see www.alamedactc.org/app_pages/view/8), or fax (510.893.6489) or mail it to Alameda CTC.

Appointing Party:

Signature:

Date:

12/10/2012

**SUPPLEMENT TO APPLICATION FOR ALAMEDA COUNTY TRANSPORTATION COMMISSION
CITIZENS WATCHDOG COMMITTEE (CWC)**

Submitted by: Deborah Taylor

I. Commission/Committee Experience

I have served on the following public agency Commissions

1. Vice-Chair, City of Oakland Community Policing Advisory Board (2008-2012)
2. Vice-Chair, City of Oakland Rental Housing & Residential Relocation Board (2004-2007)
3. Commissioner, City of Oakland Limited Charter Review Committee (2003)
4. Commissioner, Los Angeles County Child Support Advisory Board (1994-1996)

II. Statement of Qualifications

First and foremost, I am a fan and occasionally user of public transportation. I have a strong interest in improving mobility and effectiveness of the transportation system to increase usage and cut down on the environmental pollution from autos. I have attended meetings and submitted comments on the impact of cuts to AC Transit and have attended public meetings to give input on the BRT system. My work at a non-profit housing organization included securing funding for transit orientated housing development.

As a property owner and parcel tax payer, I want to ensure that our tax dollars are used as designated by Measure B.

III. Relevant Volunteer Experience

From 1991 to 1995, I served on the San Fernando Valley Mobility Action Committee as an appointee of Los Angeles Mayor Tom Bradley. The committee was made up of community representatives, transportation officials and public agency staff to develop short term solutions to traffic problems. As a member of the committee, I was instrumental in securing a left-turn traffic signal at a major intersection to facilitate the safe and orderly movement of traffic (see attached).

IV. Bio

See Attached.

CITY OF LOS ANGELES
INTER-DEPARTMENTAL CORRESPONDENCE
February 25, 1992

TRAFFIC
CONTROL
REPORT

7-E. Valley #118, #221
Chase St. & Van Nuys Bl.

Left-Turn Traffic Signal

DETERMINATION

That left-turn traffic signal phasing be authorized for both north- and southbound traffic on Van Nuys Boulevard at Chase Street. (Section 80.08 L.A.M.C.)


DISCUSSION

A request was received from the East Valley Mobility Action Committee on behalf of Ms. Deborah Taylor, 15916 Plummer Street, North Hills, CA 91343 for a southbound left-turn phase on Van Nuys Boulevard at Chase Street. LADOT's Signal Systems Section also received a request from Southern California Rapid Transit District for a northbound left-turn phase at this intersection.

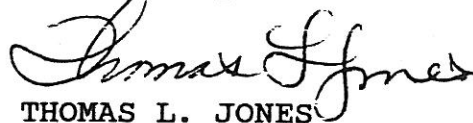
A comprehensive traffic engineering study, including counts of left turning vehicles, a review of records of reported accidents and several surveys of traffic delays and other conditions during peak and non-peak hours has been completed.


Results of the study revealed left-turn phasing warrants are met at the intersection. Protected left-turn phasing is recommended for both north- and southbound traffic on Van Nuys Boulevard at Chase Street. This installation, as described in the Determination, will facilitate the safe and orderly movement of traffic, and is therefore justified.

Recommended by:


A. A. ALBAISA
Transportation Engineer
East Valley District

Approved by:


THOMAS L. JONES
Senior Transportation Engineer
Northwest District Operations

 EV:dr
a:5tcr118

c: Deborah Taylor
Southern California Rapid Transit District, Stops & Zones
Section Attention Ken Walpert
Glenn Ogura
Brian Gallagher
Signal Design Section

BIOGRAPHY OF DEBORAH TAYLOR

Deborah Taylor is the owner and Chief Consultant of **DEVONSHIRE MANAGEMENT GROUP**, a fundraising and event management firm. She has over 25 years experience as a fundraising consultant for non-profit organizations, community groups and campaigns and as Finance Director for federal, state and local candidates.

Since moving to the Bay Area in 1999, Ms. Taylor has served in the position of Director of Fund Development for an Oakland non-profit housing organization and Major Gifts Manager for a San Francisco international environmental organization. In addition to fundraising, Ms. Taylor has worked as a Director of Field Operations for state and local campaigns.

Prior to moving to Oakland, Ms. Taylor worked in state and local government as District Representative for California State Senator Diane Watson and Legislative Deputy for Los Angeles County Supervisor Gloria Molina.

Ms. Taylor has been an active member of the Oakland community. She served as Chair of 18Y Neighborhood Crime Prevention Council, Vice Chair of the City of Oakland Community Policing Advisory Board, Vice Chair of Oakland Rental Housing Commission and Mayor Brown appointee to the Oakland Measure X Limited Charter Review Committee. She has also served on the Board of the CSUH Alumni Association, Oakland Military Institute and the League of Conservation Voters of the East Bay.

Deborah Taylor is a homeowner in the San Antonio District of Oakland and is an avid golfer and a member of Sistas on the Links Golf Club.

	Suffix	Last Name	First Name	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since Jul '12*
1	Ms.	Tabata, Chair	Midori	Oakland	Alameda County Mayors' Conference, D-4	Jul-06	Oct-11	Oct-13	0
2	Ms.	Welsh, Vice-Chair	Ann	Pleasanton	Alameda County Supervisor Nate Miley, District 4	Oct-09	Jan-12	Jan-14	1
3	Mr.	Ansell	Mike	Livermore	Alameda County Mayors' Conference, D-1	Sep-12		Sep-14	0
4	Mr.	Bucci	Mike	Newark	Alameda County Supervisor Richard Valle, District 2	Sep-12		Sep-14	0
5	Mr.	Chen	Alexander	Fremont	Alameda County Supervisor Scott Haggerty, District 1	Oct-09	Jan-12	Jan-14	2
6	Ms.	Gigli	Lucy	Alameda	Alameda County Supervisor Wilma Chan, District 3	Jan-07	Oct-12	Oct-14	1
7	Mr.	Johansen	Jeremy	San Leandro	Alameda County Mayors' Conference, D-3	Sep-10	Oct-11	Oct-13	0
8	Mr.	Jordan	Preston	Albany	Alameda County Supervisor Keith Carson, District 5	Oct-08	Sep-12	Sep-14	2
9	Mr.	Maddox	Heath	Berkeley	Transit Agency (Alameda CTC)	Sep-12		Sep-14	0
10	Ms.	Zimmerman	Sara	Berkeley	Alameda County Mayors' Conference, D-5	Feb-12		Feb-14	1
11		Vacancy			Alameda County Mayors' Conference, D-2				

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Alameda County Transportation Commission
Citizen Advisory Committee
Roster - Fiscal Year 2012/2013

	Title	Last Name	First Name	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July '12*
1	Mr.	Ferrier, Chair	Barry	Union City	City of Union City Mayor Carol Dutra-Vernaci	Jan-04	Apr-12	Apr-14	0
2	Ms.	Dorsey, Vice-Chair	Cynthia	Oakland	Alameda County Supervisor Keith Carson, D-5	Feb-02	Apr-12	Apr-14	0
3	Ms.	Chinn	Val	Hayward	City of Livermore Mayor John Marchand	Dec-99	Jan-12	Jan-14	0
4	Mr.	Collier	Joseph	San Leandro	City of San Leandro Vice Mayor Michael Gregory	Dec-09	Jan-12	Jan-14	0
5	Ms.	Hilliard	Frances	Oakland	City of Oakland Councilmember Larry Ried	Jun-02	Feb-10	Feb-12	0
6	Mr.	Jefferson	Alton	San Leandro	Alameda County Supervisor Wilma Chan, D-3	Sep-08	Sep-10	Sep-12	1
7	Dr.	Jindal	Roop	Hayward	Alameda County Supervisor Scott Haggerty, D-1	Oct-03	Jan-12	Jan-14	0
8	Mr.	Jones	Dennis	Fremont	BART Director Tom Blalock	Apr-12		Apr-14	1
9	Ms.	LePell	Audrey	Hayward	City of Hayward Councilmember Marvin Peixoto	May-04	Jan-12	Jan-14	0
10	Mr.	Mann	Harpal	Union City	Alameda County Supervisor Richard Valle, D-2	Mar-11		Mar-13	0
11	Mr.	Murray	Al G.	Berkeley	City of Berkeley Councilmember Laurie Capitelli	Oct-12		Oct-14	0
12	Mr.	Posson	Mark	Pleasanton	City of Pleasanton Mayor Jerry Thorne	Jan-12		Jan-14	0
13	Ms.	Powell	Michelle	Fremont	City of Fremont Councilmember Suzanne Chan	Jan-12		Jan-14	0

Alameda County Transportation Commission
Citizen Advisory Committee
Roster - Fiscal Year 2012/2013

	Title	Last Name	First Name	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July '12*
14	Mr.	Scheuerman	John	Emeryville	City of Emeryville Councilmember Ruth Atkin	Sep-12		Sep-14	0
15	Ms.	Diane	Shaw	Fremont	AC Transit Director Greg Harper	Jul-12		Jul-14	0
16		Vacancy			Alameda County Supervisor Nate Miley, D-4				
17		Vacancy			City of Alameda Vacant				
18		Vacancy			City of Albany Mayor Peggy Thomsen				
19		Vacancy			City of Dublin Mayor Tim Sbranti				
20		Vacancy			City of Newark Councilmember Luis Freitas				
21		Vacancy			City of Oakland Councilmember Rebecca Kaplan				
22		Vacancy			City of Piedmont Mayor John Chiang				



Alameda CTC Citizens Watchdog Committee Meeting Minutes
Monday, November 19, 2012, 6:30 p.m., 1333 Broadway, Suite 300, Oakland

Attendance Key (A = Absent, P = Present)

Members:

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

Staff:

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

1. Welcome and Introductions

James Paxson, CWC Chair, called the meeting to order at 6:35 p.m. The meeting began with introductions and meeting outcomes. James welcomed to the committee the new members Raj Salwan and Aaron Welch.

Guest Present: Ekaterina Bertin

2. Public Comment

There were no public comments.

3. Approval of July 9, 2012 Minutes

A request was made at the July 9, 2012 meeting for staff to provide the 2000 Measure B ballot. Staff informed the committee that the Transportation Expenditure Plan and ballot are available on the Alameda CTC website under the publications/media tab. The URL is http://www.alamedactc.org/app_pages/view/8083.

Jim Haussener moved to approve the minutes as written. Harriette Saunders seconded the motion. The motion carried 6-0, with one abstention, Raj Salwan.

4. Program Compliance Workshop Update

Matt Todd gave a presentation on the Alameda CTC annual compliance reporting process that documents 2000 Measure B expenditures for four program areas. The CWC reviews the expenditures related to the programs.

Matt discussed the annual audit and compliance reporting requirements, new compliance policies, and the CWC compliance review process dates. He mentioned that in the past, the CWC was concerned about recipients not spending their pass-through funds in a timely manner and maintaining high reserves. Matt informed the committee that the new Master Programs Funding Agreements (MPFAs) have now include policies that address:

- Timely use of funds
- Reserve funds
- Rescission of funds
- Complete Streets

Matt informed the committee that 57 people attended the September compliance workshop, and staff has been fielding many calls from the jurisdictions and agencies over the last two months. (See Attachment A to review the presentation.)

Questions/feedback from members:

- Did all of the jurisdictions sign off on the new compliance policies and MPFAs? Yes, the jurisdictions all signed the new agreements.
- Can the jurisdictions ask for a waiver if the funds are unspent? Yes, an option exists on a case-by-case basis, and Alameda CTC may grant a waiver.
- What will happen to the unspent funds? The funds will remain with the particular fund source category and be redistributed if necessary. For example, if the funds were for local streets and roads (LSR), the unspent funds would return to the LSR category.
- At an earlier CWC meeting, staff agreed that the term “reserves” would change to “balances.” Staff stated that the definition for reserves was written in the MPFAs. Staff also mentioned that the terminology for reserves and balances may be interchangeable. Since the implementation of the Governmental Accounting Standards Board (GASB) 54, using the terminology reserves versus balances is not a conflict.
- What expectations did Alameda CTC lay out at the September workshop for jurisdictions/agencies regarding the list of projects identified for the pass-through funds? How will the Alameda CTC maintain the list of projects so the jurisdictions/agencies can monitor projects proposed to be funded? To track the timely use of funds requirement, we have expanded the information collected for future projects and will require the jurisdictions/agencies to uniquely identify a given project. Next year, the Alameda CTC will track the projects implementation and compliance with the reserve policy requirements.
- Can the CWC expect staff to provide a comment to the jurisdiction/agency stating that the project list does not match the list from last year, and the Alameda CTC would like to know why? Yes.

- The CWC requested a copy of the letters that will go to the jurisdictions in February.
- A member noted that the amended compliance report from the Alameda County Public Works Agency, which the CWC Ad-hoc Subcommittee received, did not have a signature. What is the process for jurisdictions/agencies to amend the compliance report with appropriate signatures? Staff said that Alameda CTC will incorporate into new instructions for changes to program compliance that the same signatories who signed the original also sign any final amended report.

5. Report on the CWC Pre- and Post-Audit Subcommittee Meetings

James Paxson informed the committee that staff would provide an overview under agenda item 6 of the audit process and the CWC Pre-and Post-audit Subcommittee meetings with the independent auditing firm Vavrinek, Trine, Day & Co., LLP (VTD). He informed the committee that the minutes from the pre- and post-audit subcommittee meetings are in the agenda packet.

6. ACTIA Independent Audit Presentation through February 29, 2012 Termination

Ahmad Gharaibeh with VTD presented ACTIA's audit report through the closure of ACTIA on February 29, 2012. Ahmad reviewed basic financial statements, CWC audit concerns, required communications, internal controls, and the limitations worksheet.

Highlights of the presentation include the following:

- Regarding the report of the financial statements, the auditor found no material weaknesses or items of administrative concern, and VTD issued a "clean" or "unqualified" opinion, meaning that the information stated in the financial statements through February 29, 2012 is accurate in all material respects.
- Regarding the CWC audit concerns, Ahmad provided information that showed the audit testing performed and other procedures used to address the concerns discussed at the CWC pre- and post-audit subcommittee meetings. See Attachment B for more details.
- Regarding internal controls, Ahmad discussed and provided information on the suggestions VTD made during interim fieldwork to Alameda CTC of three minor adjustments to internal control procedures. Alameda CTC implemented the suggestions prior to VTD's final audit. See Attachment B for more details.

Questions/feedback from the members:

- Explain the process the auditor used to review purchase orders. Ahmad reviewed the process using a purchase order with a significant dollar amount as follows:
 - The auditor views the check register to review the disbursements for the current year.
 - The auditor will view the invoices, because they contain the back-up information.
 - The auditor visits the purchasing department and requests the purchase order that authorizes payment for a particular vendor.
 - For a construction contract, the auditor will ensure the amount of the purchase is approved by the Commission.

- The primary goal of the auditor is to confirm that the authorization occurred in compliance with agency policy, and the people that pay the check are independent from the purchasing function.
- A request was made for VTD to define the terms “government fund financial statement” and “government wide financial statement” and which pieces of the audit fall under the two terms. To set the stage for the definition, Ahmad stated that full accrual financial statements are on pages 54 and 55 of the packet, and the fund financial statement breaks down the individual funds in separate, self-balancing columns. The emphasis on page 54 is a short-term outlook and on page 55 is the long-term outlook.
- Will the \$10 million debit and the \$33 million credit on page 59 show up next year? Ahmad said this is a one-time event. The difference between the full accrual and modified accrual will be insignificant in the upcoming year.
- How many checks above and below \$50,000 are issued over a year? Patricia Reavey stated that a significant number of checks over \$50,000 are issued. The exact number is not known, and staff will need to look up this information if the CWC truly wants the exact numbers. There was no follow up from CWC requesting this information.
- Why did VTD recommend two signatures on checks? Having two signatures will serve as an internal control and dissuade fraud by one party. Patricia stated that the recommendation was made by VTD to require two signatures on pre-printed checks, which are only Alameda County Congestion Management Agency checks.
- How much revenue does the Alameda County Transportation Authority (ACTA) have? Patricia said that ACTA revenue is interest on its investments. ACTA no longer receive sales tax revenues.
- Since this audit is for eight months, will VTD perform an audit on the remainder of year? No. VTD will not audit the sales tax collection again for this fiscal year. The remaining four months will be consolidated with the Alameda CTC financial statement. However, the Measure B financial activity will be reported as separate funds within the Alameda CTC audit results.
- A CWC member noted that the date is incorrect on page 51. Instead of July 1, 2012, it should be July 1, 2011.
- Who prepares the financial statement for Alameda CTC? It’s a joint effort between VTD and Alameda CTC. VTD prepares the first draft of the financial statement, staff modifies the data, and VTD audits that statement.
- Who verifies the information that Alameda CTC prepares, and is the agency accounting system automated? Staff stated that ultimately the auditor verifies the financial statements generated by Alameda CTC. A CWC member implied that the Alameda CTC review process is inadequate. Staff informed the committee that the production of the financial statement is a manual process. However, staff uses an automated system for the trial balance and the general ledger.
- Who audits the timely distribution of the Measure B dollars? VTD verifies the amount received from the Board of Equalization (BOE). VTD also confirms the disbursement of the funds. If the Alameda CTC were ever late on disbursements, the

cities would know about it and contact the agency. The BOE places the date of disbursement of the sales tax funds on its website.

- The committee questioned the variance of the administrative costs for the \$3 million shown on page 58 versus the mid-year budget update total administrative cost of \$5.2 million. Ahmad stated that there are many one-time charges that do not make the administrative costs linear.

At the post-audit subcommittee meeting on November 2, 2012, Patricia informed the group that she will provide information on the following:

- The calculation of full-time equivalents charged to ACTIA funds for fiscal year 11-12.
- Information to show the CWC where the savings occurred for the merger.

Patricia discussed and provided handouts to the committee to address the CWC concerns. She stated that the next steps for the independent audit are:

- The Finance and Administration Committee approved the independent audit on November 19, 2012.
- The full Commission will review and approve the audit on December 6, 2012. Also, on December 6, the Commission Audit Committee will review the June 30, 2012 audit.
- A joint meeting will take place with the Commission Audit Committee and the CWC Audit Subcommittee on December 6, 2012 at 11 a.m. at Alameda CTC offices.

7. Quarterly Investment Report: FY 12-13 First Quarter Report

Patricia reviewed the Alameda CTC Consolidated FY 12-13 First Quarter Investment Report with the committee. A member inquired why the agency seeks external financing when ACTIA has many investments that provide additional income at various times. Does the agency reserve the funds from the investments for this purpose? Patricia stated that based on the cash flow, the report shows that many capital projects will have a need for those funds. A member requested staff to include FY 12-13 vs. FY2013 on the consolidated investment report for clarity.

A member requested staff to email the investment report to the CWC members in advance. Art Dao stated that the CA Government Code requires that, if the Agency chooses to produce a quarterly investment report, it must be provided within 30 days of the end of the quarter to the Commission members. Staff agreed to email the investment report to the CWC at the same time the agency gives the report to the Commission.

8. CWC Annual Report Outreach Summary

A. Summary of Outreach and Costs

Tess Lengyel gave an update on the publishing and outreach for the 10th CWC *Annual Report to the Public*. She summarized the work Alameda CTC did, which was based on the direction of the CWC, to produce and distribute the report, as well as to place print and online banner advertisements in the media. Placing the report in Bay Area publications and the banner advertisements on various websites required creating many different layouts to fulfill the space requirements.

The outreach efforts included the following:

- Converting the advertisement to Chinese and Spanish and e-mailing the condensed versions to 51 Asian community organizations and 23 Hispanic community organizations
- E-mailing a press release with a link to the full report to all media in Alameda County
- Placing an update in the September issue of the Alameda CTC e-newsletter with a link back to the full report and the additional language versions
- Placing information on the Alameda CTC website under the *What's New* section that links directly to the full report
- Handing out the print version of the report to the Alameda CTC Commission and the community advisory committees
- Bringing the print version of the report to numerous outreach activities

The budget for the Annual Report was \$50,000 and the actual cost was \$42,713, which included the cost of design and placement of the online and print advertisements and the printing and mailing of the hard copy report.

James Paxson requested staff create a cost benefit analysis to assist in determining if the CWC is receiving a good return on its investment.

B. Summary of Feedback

The summary of feedback was discussed under agenda item 8A.

9. CWC Member Reports/Issues Identification

Jim Haussener submitted an Issues Identification Form to be reviewed at the January 14, 2013 CWC meeting.

10. Staff Reports/Board Actions

A. One Bay Area Grant Program

Art Dao gave an overview on the One Bay Area Grant (OBAG) program. He noted that OBAG funding is not connected to ACTIA Measure B; however, Alameda CTC is sharing the information as part of the agency's outreach efforts, even though it's not under the CWC purview. The OBAG program is a new way for the Metropolitan Transportation Commission (MTC) to distribute Federal Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds. Historically, the STP and CMAQ funds were distributed by formula and used on LSR repair, bicycle and pedestrian improvements and to support Transportation for Living Communities. Two years ago, the region embarked on a new way of distributing federal funds that includes tying land use with transportation. The old formula for the STP and CMAQ funds was derived using population and road miles. The new formula for OBAG is related to housing production data and population.

Alameda County's estimated share of the OBAG funding is \$63 million of STP/CMAQ over four fiscal years. For Alameda County, 70 percent of the OBAG funding must be

used for transportation projects that support Priority Development Areas and 30 percent of the OBAG funds may be programmed for transportation projects anywhere else in the county.

The projects will need to comply with OBAG and federal funding requirements as well as local criteria that Alameda CTC will use to evaluate projects in Alameda County. A member stated that Castro Valley is looking at doing a form of housing near transit. Will any of the OBAG funds go to communities to address noise issues? Will the funds be used to make up for the redevelopment agency short falls? The active projects don't seem to fall out in the sub-regions.

Staff stated that geographic equity does not apply for these funds. Alameda CTC's job is to ensure that funding is provided to areas that are most likely to produce housing that will absorb growth to reduce greenhouse gas emissions. Alameda County jurisdictions must also show historically and the future ability to build housing. In terms of Castro Valley, if the area needs planning assistance to get things ready, there will be grant-based funds to help it get there.

B. General Items

Art gave an update on the November 6 election outcome for Measure B1, which is currently at 66.53 percent. He said the Registrar of Voters would certify the results in the next two days. The Planning, Policy and Legislation Committee directed Alameda CTC staff to seek a recount of the ballots, if feasible, based upon a meeting with the Registrar's office.

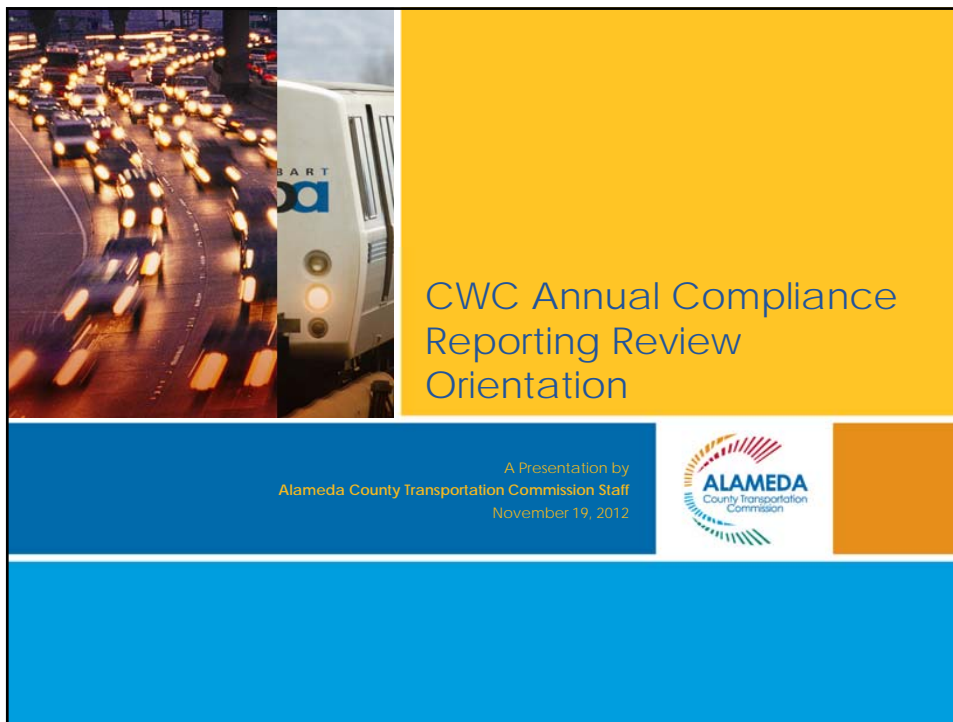
11. Adjournment/Next Meeting

The meeting adjourned at 8:35 p.m. The next meeting is scheduled for January 14, 2013 at the Alameda CTC offices.

Attachments

Attachment A: CWC Annual Compliance Reporting Review Orientation
Attachment B: Independent Audit Report Presentation on ACTIA

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CWC Annual Compliance Reporting Review Orientation

A Presentation by
Alameda County Transportation Commission Staff
November 19, 2012

ALAMEDA
County Transportation
Commission

Citizens Watch Dog Committee Role



- Reviews all 2000 Measure B expenditures for the four program areas:
 1. *Bicycle and Pedestrian Safety*
 2. *Local Streets and Roads*
 3. *Mass Transit*
 4. *Special Transportation for Seniors with Disabilities (Paratransit)*
- Reports directly to the public annually
- May request that recipients present a project progress report to the CWC

ALAMEDA
County Transportation
Commission

Annual Compliance Report Requirements

- Measure B or VRF Pass-through funds recipients are required to submit to the Alameda CTC:

1. Independent Financial Audit Report

- Electronic and hardcopy due on December 27, 2012

2. Program Compliance Report

- Electronic and hardcopy due on December 31, 2012

- Financial Audit and Compliance Report captures recipients' FY 2011-12 expenditures



3

Reporting Requirements

- Recipients required to expend Measure B and VRF dollars expeditiously
- Recipients must show they are meeting specific reporting requirements outlined in the MPFA
 - *Publish an annual article in Alameda CTC newsletter or jurisdiction newsletter*
 - *Post information on the jurisdiction's website*
 - *Link to www.AlamedaCTC.org*
 - *Post Signage*



4

New Compliance Policies

- **Timely Use of Funds Policy:** The MPFA requires all Measure B and VRF funds received to be spent expeditiously.
- **Reserve Fund Policy:** The MPFA allows recipients to reserve funds in defined reserve programs.
- **Rescission of Funds Policy:** The MPFA requires recipients to return unspent funds and all interest earned thereon to Alameda CTC.
- **Complete Streets Policy:** Implementation Guidelines require recipients to have an adopted complete streets policy, or demonstrate that a policy is being developed and will be adopted by June 30, 2013.



5

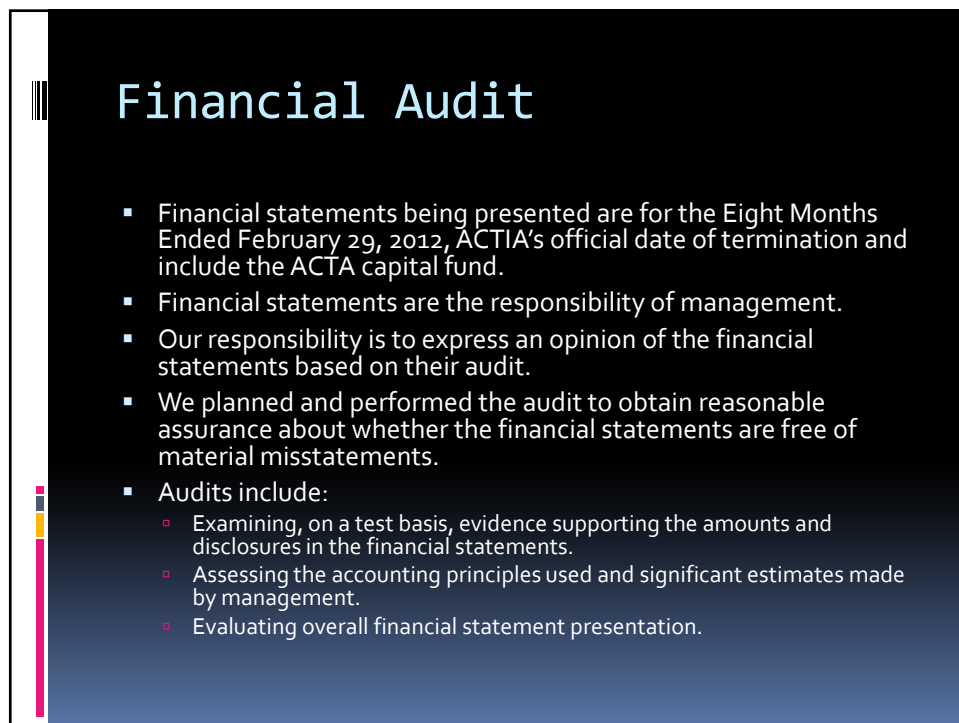
CWC Compliance Review Dates

Dates	Action
September 20	Annual Compliance Workshop
December 27	Independent Financial Audit Due
December 31	Programs Compliance Reports Due
January 7, 2013	Staff posts Compliance Reports to website
January 14, 2013 (CWC Meeting)	<ul style="list-style-type: none"> ▪ CWC receives binders and reviews audit reports ▪ Staff provides Compliance Review Guidance
January 31, 2013	Finalize audit and compliance report review
February 2013	Measure B/VRF Recipients receive Compliance Status Letters and Request for Information Letters
March 11, 2013 (CWC Meeting)	CWC receives Draft Executive Summary of Compliance Report
April 2013	Draft Executive Summary to Committees
May 2013	Draft Compliance Report
June 2013	Final Compliance Report to Commission



6

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Financial Audit

Continued

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

CWC Audit Concerns Addressed

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

Required Communications

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

Internal Controls

- At interim, we noted three internal control recommendations for staff which were incorporated into procedures before the final audit which included:
 - Changing the requirement on ACCMA special revenue fund bank accounts with preprinted check stock to require 2 signatures on all checks, not just checks over \$50,000.
 - The signature cards were changed with the bank requiring 2 signatures on all checks and the statement "Two authorized signatures required" is now printed below the first signature line on all preprinted checks.
 - Requiring 2 employees to authorize a new hire in the payroll system.
 - The payroll system used by the agency only required one authorized employee to set up a newly hired employee. Staff worked with ADP to implement the requirement for 2 authorizations before allowing a new employee to be set up in the payroll system.
 - Restricting financial system access for the accounting staff person who runs checks to make sure that employee does not have access to vendor setup or changes.
 - Staff has limited access to the financial database for all employees to what they need to access to do their jobs only and has ensured that the accountant that runs checks does not have access to vendor setup or change.

ACTIA Financial Highlights

- Total assets decreased by \$22.6 million or 7.3% from \$311.7 million to \$289.1 million as of February 29, 2012 compared to June 30, 2011. Cash and investments comprised \$262.0 million or 90.6% of the total assets as of February 29, 2012.
- Sales tax revenue for all funds was \$74.0 million during the period July 1, 2011 through February 29, 2012, a decrease of \$31.4 million or 29.8% from fiscal year 2011 due to the abbreviated reporting period.
- Total expenses were \$70.2 million during the period July 1, 2011 through February 29, 2012, a decrease of \$97.9 million or 58.3% from fiscal year 2011. This amount included \$2.9 million for administration, \$19.9 million for highways and streets, \$23.8 million for public transit and \$23.5 million for local transportation.
- Total liabilities decreased \$27.6 million or 47.2% from \$58.3 million to \$30.8 million as of February 29, 2012 compared to June 30, 2011 due to a change in methodology used for capital project accruals during fiscal year 2011.
- Total net asset increased by \$4.9 million or 2.0% to \$258.3 million as of February 29, 2012 compared to June 30, 2011.

ACTIA - Statement of Net Asset February 29, 2012 (in thousands of dollars)

Assets:

Cash and Investments	\$262,025
Receivables	22,900
Land Held for Resale	4,068
Other Assets	57
Capital Assets, net	<u>28</u>
Total Assets	289,078

Liabilities:

Payables and Accrued Liabilities	30,710
Deferred Revenue	<u>76</u>
Total Liabilities	30,786

Net Assets:

Investment in Capital Assets	28
Restricted for Transp. Projects/Programs	240,823
Unrestricted	<u>17,441</u>
Total Net Asset	<u>\$258,292</u>

ACTIA Statement of Activities for the Eight Months Ended February 29, 2012 (in thousands of dollars)

Governmental Activities

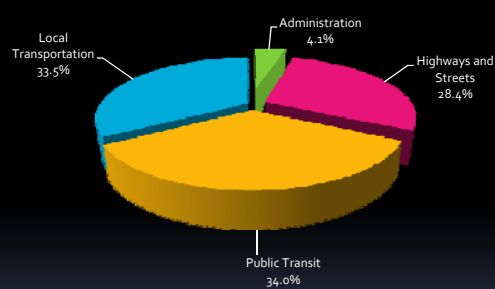
Program Revenues	
Capital Revenues	\$ 64
Expenses	
Administration	2,948
Transportation Improvements	<u>67,211</u>
Total Expenses	<u>70,159</u>
Total Governmental Activities	(70,095)
General Revenues	<u>75,042</u>
Change in Net Assets	4,947
Net Assets – Beginning	<u>253,345</u>
Net Assets – Ending	<u>\$258,292</u>

ACTIA Revenues & Expenses

Revenues



Expenses



ACTIA Auditor Opinion

ACTIA received what is referred to as unqualified or clean audit opinion for the Eight Months Ended February 29, 2012.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities and each major fund of the Alameda County Transportation Improvement Authority, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America."

ACTIA
February 29, 2012

Questions?

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

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

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**Alameda County Transportation Commission
Paratransit Advisory and Planning Committee
Roster - Fiscal Year 2012/2013**

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July-12
1	Ms.	Stadmire, Chair	Sylvia J.	Oakland	Alameda County Supervisor Wilma Chan, D-3	Sep-07	Feb-10	Feb-12	1
2	Mr.	Scott, Vice Chair	Will	Berkeley	Alameda County Supervisor Keith Carson, D-5	Mar-10	Apr-12	Apr-14	1
3	Ms.	Aysoy	Aydan	Berkeley	City of Berkeley Councilmember Laurie Capitelli	Jul-09	Jan-12	Jan-14	1
4	Mr.	Bunn	Larry	Union City	Union City Transit Wilson Lee, Transit Manager	Jun-06	Jan-12	Jan-14	1
5	Mr.	Costello	Shawn	Dublin	City of Dublin Mayor Tim Sabranti	Sep-08	Apr-12	Apr-14	1
6	Mr.	Hastings	Herb	Dublin	Alameda County Supervisor Scott Haggerty, D-1	Mar-07	Jan-12	Jan-14	1
7	Ms.	Jacobson	Joyce	Emeryville	City of Emeryville Councilmember Ruth Atkin	Mar-07	Jan-12	Jan-14	0
8	Ms.	Johnson-Simon	Sandra	San Leandro	BART Director Tom Blalock	Sep-10	Jan-12	Jan-14	1
9	Ms.	Lenahan	Gaye	Piedmont	City of Piedmont Mayor John Chiang	May-11	Jan-12	Jan-14	0
10	Ms.	Lewis	Jane	Dublin	City of Livermore Mayor John Marchand	Sep-09	Jan-12	Jan-14	0
11	Mr.	Markowitz	Jonah	Berkeley	City of Albany Mayor Peggy Thomsen	Dec-04	Oct-12	Oct-14	0
12	Rev.	Orr	Carolyn M.	Oakland	City of Oakland Councilmember Rebecca Kaplan	Oct-05	Jan-12	Jan-14	2
13	Ms.	Ortt	Suzanne	Union City	City of Union City Mayor Carol Dutra-Vernaci	Sep-12		Sep-14	1

**Alameda County Transportation Commission
Paratransit Advisory and Planning Committee
Roster - Fiscal Year 2012/2013**

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July-12
14	Ms.	Powers	Sharon	Fremont	City of Fremont Councilmember Suzanne Chan	Dec-07	Jan-12	Jan-14	1
15	Ms.	Proee	Vanessa	Hayward	City of Hayward Councilmember Marvin Peixoto	Mar-10	Jan-12	Jan-14	1
16	Ms.	Rivera-Hendrickson	Carmen	Pleasanton	City of Pleasanton Mayor Jerry Thorne	Sep-09	Jan-12	Jan-14	2
17	Ms.	Rousey	Michelle	Oakland	Alameda County Supervisor Richard Valle, D-2	May-10		May-12	0
18	Ms.	Saunders	Harriette	Alameda	City of Alameda Vacant	Jun-08	Oct-12	Oct-14	2
19	Ms.	Waltz	Esther Ann	Livermore	LAVTA Executive Director Paul Matsuoka	Feb-11	Jan-12	Jan-14	0
20	Mr.	Zukas	Hale	Berkeley	A. C. Transit Director Greg Harper	Aug-02	Jan-12	Jan-14	0
21		Vacancy			Alameda County Supervisor Nate Miley, D-4				
22		Vacancy			City of Newark Councilmember Luis Freitas				
23		Vacancy			City of San Leandro Vice Mayor Michael Gregory				



Memorandum

DATE: January 17, 2013

TO: Alameda County Transportation Commission

FROM: Planning, Policy and Legislation Committee

SUBJECT: **Legislative Update and Approval of Legislative Positions**

Recommendations

Staff recommends approval of positions on state bills as described below. The Planning, Policy and Legislation Committee approved the recommendations at their meeting on January 14, 2013.

Summary

This memo provides an update on federal, state and local legislative activities including an update on federal fiscal cliff issues, new federal and state members and their committee appointments (as related to transportation), the state budget, recommended positions on state bills and an update on local legislative activities.

Alameda CTC's legislative program was approved in December 2013 establishing legislative priorities for 2013 and is included in summary format in Attachment A. The 2013 Legislative Program is divided into five sections: Transportation Funding, Project Delivery, Multi-Modal Transportation and Land Use, Climate Change, and Partnerships. The program was designed to be broad and flexible to allow Alameda CTC the opportunity to pursue legislative and administrative opportunities that may arise during the year, and to respond to political processes in Sacramento and Washington, DC. Each month, staff brings updates to the Commission on legislative issues germane to the adopted legislative program, including recommended positions on bills as well as legislative updates.

Background

The following summarizes legislative information and activities at the federal, state and local levels.

Federal Update

The following updates provide information on activities and issues at the federal level and include information contributed from Alameda CTC's lobbyist team (CJ Lake/Len Simon).

Fiscal Cliff Challenges

The fiscal cliff challenges are made of up several components, including tax extenders and tax rates, sequestration and the statutory limit on the debt ceiling. On January 1, Congress reached a deal to address the tax rates and extenders, and postponed the other two, which will bring on-

going serious debates in the coming months. The implementation of sequestration, which was shifted out two months to March, is the result of the 2011 negotiations on increasing the debt limit. How Congress will handle sequestration will also include new negotiations on raising the debt ceiling, which has essentially been reached. In addition, to these debates, Congress will need to finalize the current FY13 Federal Budget, which remains unresolved and is authorized at FY12-levels under a continuing resolution (CR), and expires on March 27.

These complicated negotiations present difficulties for local governments in their own budgeting processes because of the uncertainty of how any deals will affect domestic programs.

Because of all the uncertainties around these outstanding fiscal cliff issues, President Obama's budget for FY14 is anticipated to be released in March, rather than in February. By law, the President is required to submit a budget in the first week of February, but with all the fiscal uncertainties awaiting Congressional action, the Administration will like await some resolution on pending budget issues prior to releasing the FY 2014 budget.

MAP-21 Implementation and New Transportation Bill Discussions

Passage of the new federal transportation bill, MAP-21, in July 2012 included elimination of certain programs and modifications to distribution formulas for others. MAP-21 officially took effect in October 2012, and the actual implementation of new policy elements in the bill will be guided by new rulemaking that is expected to be developed during the course of the two-year bill. Federal funding for surface transportation has been continued over the 2-year program at about the 2012 levels with some program modifications.

For California, discussions on implementation of MAP-21 have supported a "status quo" approach to the implementation of MAP-21 during the first year (2013) to ensure that projects currently in the pipeline can proceed under existing funding levels. This includes maintaining the current split of the total estimated federal funds for California in FY 2013 of \$3.5 billion at 62% for the state (\$2.2 billion) and 38% for regions/locals (\$1.3 billion). This method allows for a transition period recognizing that both the state and regions/locals have many projects programmed under the existing rules. While the Safe Routes to Schools program was eliminated in MAP-21, the state proposes to continue to fund and administer the program from other federal funds in FY 2013 at the same level as in 2012. Caltrans has convened a statewide MAP-21 working group to address legislative to be introduced in 2013 for MAP-21 implementation in FY 2014. Alameda CTC has participated in conference calls for this statewide effort and more work is underway to define how the 2014 MAP-21 implementation will be done in California. These actions will require legislative efforts in 2013 to implement the second year of the bill.

While the federal government and states are working on how to implement MAP-21, some discussions are underway on what the new surface transportation bill will look like. Although early now, Congress will need to begin working on a new surface transportation program in late 2013 or early 2014 to create a new bill, unless it chooses to extend the current one. Major challenges will include addressing the federal revenue stream for transportation in this country, which is primarily financed through the 18.4 cent excise tax and was last increased in 1993. According to the Department of Labor's statistics inflations calculator, its buying power in 2012 is equivalent to 29 cents, an almost 37% decline in its buying power. Higher fuel efficiency

vehicles, increases in electric vehicle use (which do not pay any gas tax) and changes in vehicle use patterns all affect the current revenue stream as well as future funding possibilities for the country's transportation infrastructure. While many of the policy changes in MAP-21 have yet to be implemented and evaluated, it is not clear what additional policy changes will be included in the MAP-21 successor, it is certain that significant debates will be centered on revenue enhancement options.

New Transportation Revenues

At the end of 2012, the General Accounting Office released a report to Congress on a potential pilot program for a Vehicle Miles Traveled pilot for electric vehicles and commercial trucks. The recommendation focuses on these two types of vehicles rather than all vehicles since electric vehicles do not pay into the transportation system through the federal fuel tax and the impact on roads caused by commercial vehicles is not commensurate with what they pay. The Highway Trust Fund (HTF) has not been able to keep pace with demands and over the last decade more than \$50 billion has been transferred into the HTF to pay authorized spending levels. The GOA report analyzed pilot programs throughout the United States as well as similar programs internationally and found that mileage-based user fee initiatives can be a more equitable method of charging drivers since it is based on their actual road use. In addition, incentives can be put in place to reduce road use and by providing pricing incentives to reduce road use. The report recognized the challenges with collection of fees on a national level, as well as privacy issues. Congress has not acted on the report.

Appointments: ACTC and the 113th Congress

Alameda County has three Members in the 113th Congress: Representative Barbara Lee (CA-13) and two new Members in the Delegation including, Representative Mike Honda (CA-17) and Representative Eric Swalwell (CA-15). None of our Members will serve on the T&I Committee. Their committee assignments are as follows:

- Barbara Lee – Appropriations and Budget
- Mike Honda – Appropriations and Budget
- Eric Swalwell – Science & Technology and Homeland Security. Congressman Swalwell was also recently selected as the Democratic Assistant Whip.

Representative Garamendi (CA-3), who was on the committee until 2011, will return to the T&I Committee in the 113th Congress. He is the only northern California Member on the Committee.

Key Committee Chairs and Ranking Members in the 113th Congress related to Transportation

- House Transportation and Infrastructure (T&I) Chair will be Bill Shuster (R-PA)
- House T&I Ranking will remain Nick Rahall (D-WV)
- Senate Environment and Public Works (EPW) Chair will remain Barbara Boxer (D-CA)
- Senate EPW Ranking Member will be David Vitter (R-LA)
- Senate Banking Chair will remain Tim Johnson (D-SD)
- Senate Banking Ranking Member will be Mike Crapo (R-ID)

Appropriators

- House Appropriations Chair will remain Hal Rogers (R-KY)
- House Appropriations Ranking will be Nita Lowey (D-NY)
- House Appropriations Committee on Transportation Housing and Urban Development (THUD) Chair will remain Tom Latham (R-IA)
- House THUD Ranking has not been announced.
- Senate Appropriations Chair will be Barbara Mikulski (D-MD)
- Senate Ranking Member will be Richard Shelby (R-AL)
- Senate Appropriations THUD Committee Chair will remain Patty Murray (D-WA)
- Senate THUD Ranking has not been announced.

State Update

The following update provides information on activities and issues at the state level and includes information contributed from Alameda CTC's state lobbyist, Platinum Advisors.

Budget

On Thursday, January 10, 2013, Governor Brown released his spending plan for 2013-14. The proposed 2013-14 Budget outlines a \$98 billion spending plan that contains no deficit, provides a \$1 billion reserve and ends the fiscal year with a \$785 million surplus. Previously, the Legislative Analyst's Office predicted a \$1.9 billion deficit.

The Governor's proposed budget differs from the LAO prediction as a result of the following:

First, the proposed budget is frugal in repaying prior year loans from special funds. In the current fiscal year about \$1.6 billion in loans from various special funds that were scheduled to be repaid in 2013-14. The Governor repays those funds that are needed, but delays repayment of \$1.3 billion until the following year.

Second, while the Governor's budget reduces the amount of revenue realized by the dissolution of RDAs, the Administration's numbers continue to be much higher than the LAO's estimates. The Governor's numbers are based on Finance's recently completed review process. The budget assumes the Prop 98 General Fund contribution will be reduced by \$2.1 billion in 2012-13, and by \$1.1 billion in 2013-14 due to the increase in property tax revenues allocated to schools by the RDA dissolution process. The LAO estimated a \$1.4 billion benefit in 2012-13.

Finally, the Budget dedicates all Prop 39 revenue to schools. This action not only allocates funds for energy efficiency projects statewide, it also counts toward the Prop 98 obligation, which reduces the general fund contribution to schools. In addition to modest growth in all of the main revenue sources (income tax, sales tax, and corporation tax), these three items address the bulk of the disparity between the LAO's and Department of Finance's estimates.

While the budget may end the year with a surplus, the Governor cautioned that there are many unknowns ahead. Foremost is the potential impact if the federal sequestration cuts are not resolved, and there are numerous lawsuits pending, including over 40 RDA related lawsuits.

Transportation Agency and Leadership at the California Transportation Commission

July 1, 2013 marks the official start of the Transportation Agency, which will oversee everything all transportation agencies in the State, as well as the Board of Pilot Commissioners. The new Agency will oversee a budget of \$21.1 billion – all but \$200 million is from special funds.

The California Transportation Commission has elected a new Chair and Vice-Chair, both from the Bay Area: Commissioner Ghielmetti, based out of Pleasanton, will serve as Chair, and Carl Guardino, based out of San Jose, will serve as Vice-Chair.

Cap & Trade Revenue

The budget summary points out that the details of how the cap and trade auction revenue will be spent is still being developed, but the summary outlines the Governor's three priorities. First, with transportation being the largest contributor of GHG, reducing transportation emissions would be the top priority. This includes funding mass transit, high speed rail, electrification of heavy duty vehicles, sustainable communities, and energy projects that complement high speed rail. Second would be funding to reduce GHG used for commercial and residential energy needs, and then funding to reduce GHG emissions from the electricity used to convey water in California.

The budget slashes the prior estimate on the amount of cap and trade auction revenue that will be generated in the current fiscal year and in the 2013-14 budget year. The current year revenue estimate has been reduced from \$500 million to \$200 million, and the amount estimated for the 2013-14 is \$400 million, for a two year total of \$600 million. These revised amounts reflect the lower than expected sales generated at the November auction. The November auction resulted in revenues of \$288 million. Of this amount \$55 million was available for these programs, and the remaining \$233 million generated was earmarked investor owned utilities. Another auction is currently set for February 19, and another one in May. After the February auction, we will have a clearer picture of whether the state will hit its revenue estimate of \$400 million.

Infrastructure Needs Assessment

This spring the Agency will create a working group comprised of representatives from state, local, and regional entities. This group will be tasked with examining the CTC's transportation needs assessment and explore funding options, such as pay as you go, and evaluate the most appropriate level of government to deliver high priority projects.

MAP-21 Implementation

The budget summary does not contain a specific proposal for implementing changes enacted in the federal MAP-21 Act. However, it is the Administration's position to maintain the status quo on splitting funds between the state and locals, while continuing to work with the Legislature on any implementation measures.

Active Transportation Program

Somewhat tied to the changes in MAP-21, the Governor is proposing to create the Active Transportation Program by consolidating various bicycle and pedestrian funding programs. . The proposal would consolidate the federal Transportation Alternatives Program, Safe Routes to School programs (state & federal), Environmental Enhancement & Mitigation funds, and the

Bicycle Transportation Account. Since many entities submit the same project for several of these funding programs, the hope is that a consolidated account will streamline the process and focus on high priority projects that meet SB 375 goals.

Caltrans Local Assistance

As a result of the zero-based budgeting review the budget proposes to cut \$1.5 million and 20 positions, and to establish staffing levels that are consistent across the district offices. In addition, \$13.4 million in state funds will be shifted to local federal funds in order to offset state costs on local projects.

Planning Programs

The budget proposes to streamline and standardize Caltrans planning documents, reduce administrative costs for existing grant programs, and add positions to complete necessary project initiation documents.

State Transit Assistance

The budget estimates STA funds will be \$391 million in 2013-14, and the estimate for the current year is now at \$415 million. The original estimate for 2012-13 was \$469 million. However, regardless of the estimate the amount of funds allocated through STA will depend on the amount collected each quarter. Based on diesel prices and consumption the amounts can vary from quarter to quarter.

State Policy Highlights

Deadlines

The start of session brings with it the “hurry-up and wait” flow of deadlines. The first upon us is the deadline to submit new bills proposals to Legislative Counsel for drafting on January 25, which is followed by the introduction deadline on February 22. The next round of panic does not hit until May 3, which is the deadline for policy committees to hear fiscal bills.

Committee Assignments

With the start of each session, leadership in both houses reorganize committee memberships and shuffle committee chairs. The following are the committee assignments for Alameda County’s delegation.

- Senator Ellen Corbett -- *Majority Leader*, Member of Banking & Finance, Business Professions & Economic Development, Energy Utilities & Communications, Environmental Quality, Insurance, Judiciary,
- Senator Mark DeSaulnier – *Chair-Transportation & Housing*, Member of Budget & Fiscal Review, Energy Utilities & Communications, Governance & Finance, Health,
- Senator Loni Hancock – *Chair –Public Safety*, Member of Budget & Fiscal Review, Education, Elections & Constitutional Amendments, Environmental Quality
- Assemblywoman Susan Bonilla – Member of Budget, Insurance, Utilities & Commerce,
- Assemblyman Rob Bonta – *Chair-Public Employees & Retirement*, Member of Banking & Finance, Elections & Redistricting, Transportation

- Assemblywoman Joan Buchanan – *Chair-Education*, Member of Accountability & Administrative Review, Transportation, Utilities & Commerce,
- Assemblyman Bill Quirk – Member of Agriculture, Appropriations, Public Safety, Rules, Utilities & Commerce,
- Assemblywoman Nancy Skinner – *Chair-Rules Committee*, Member of Business Professions & Consumer Protection, Natural Resources, Public Safety, Utilities & Commerce,
- Assemblyman Bob Wieckowski – *Chair-Judiciary*, Member of Health, Insurance, Public Employees & Retirement,

Recommended Legislative Positions:

Sales Tax Cap

Assemblyman Wieckowski has submitted language to Legislative Counsel on behalf of the Alameda County Transportation Commission to once again allow a ½ cent sales for transportation to be enacted in Alameda County. This proposed language would allow the County to place a sales tax either of the November general election ballots between January 1, 2014 and January 1, 2017. These provisions would sunset on January 1, 2017 if a tax measure is not enacted.

Constitutional Amendments

With the supermajority that the Democrats obtained in both the Assembly and Senate, there have been numerous measures introduced to reduce the voter threshold for local taxes from 2/3 to 55% for specified purposes. So far five Constitutional Amendments have been introduced in the Senate that would reduce the vote requirement for parcel taxes or sales taxes for schools, libraries, local economic development, and transportation. While no measures have been introduced in the Assembly, we expect that similar measures will be introduced soon. With a wide variety of proposals seeking the same goal, there will be a need to reconcile these measures since many amend the same sections of the Constitution. In addition, a decision will need to be made to either prioritize which types of taxes will move forward and which ballot they will be placed on; or determine if a measure lowering the vote threshold for any local tax to 55% is likely to pass.

Staff recommends the following positions on legislation:

SCA 8 (Corbett) and SCA 4 (Liu) Transportation projects: special taxes: voter approval.

These bills are essentially the same and would allow for the imposition, extension, or increase of a special tax by a local government for funding for transportation projects and would reduce the current voter threshold from 66.67% to 55% voter approval. This legislative issue is one of the highest priorities for Alameda CTC and for the Self-Help Counties Coalition. Staff recommends **SUPPORT** positions on these bills.

Legislative Coordination and Partnership Activities

Legislative working group

Alameda CTC has established a local legislative working group that will meet on a quarterly

basis to share legislative information, ensure coordination on legislative efforts and share information about grant and other opportunities for collaboration to support Alameda County transportation improvements. The meetings are being held on a quarterly basis at Alameda CTC and include all agency partners from the cities, Alameda County, transit operators, MTC, the Port of Oakland and others interested in the efforts of these legislative working groups

Legislative coordination efforts

In addition to the local legislative coordination activities, Alameda CTC is leading an effort to develop and provide statewide information on the benefits of Self-Help Counties and is also coordinating the legislative platform and priorities with the Bay Area Congestion Management Agencies.

Fiscal Impact

No direct fiscal impact

Attachments

Attachment A: Alameda CTC Legislative Program and Actions Summary



2013 Alameda County Legislative Priorities

This legislative program supports Alameda CTC’s transportation vision adopted in the 2012 Countywide Transportation Plan described below:

“Alameda County will be served by a premier transportation system that supports a vibrant and livable Alameda County through a connected and integrated multimodal transportation system promoting sustainability, access, transit operations, public health and economic opportunities.

Our vision recognizes the need to maintain and operate our existing transportation infrastructure and services while developing new investments that are targeted, effective, financially sound and supported by appropriate land uses. Mobility in Alameda County will be guided by transparent decision-making and measurable performance indicators. Our transportation system will be: Multimodal; Accessible, Affordable and Equitable for people of all ages, incomes, abilities and geographies; Integrated with land use patterns and local decision-making; Connected across the county, within and across the network of streets, highways and transit, bicycle and pedestrian routes; Reliable and Efficient; Cost Effective; Well Maintained; Safe; Supportive of a Healthy and Clean Environment”

[This legislative program table will be updated on a monthly basis]

Issue	Priority	Strategy	Actions	Legislation	Status
Transportation Funding	Increase transportation funding	<ul style="list-style-type: none">Support efforts to lower the two-thirds-voter threshold for voter-approved transportation measures.Support legislation that increases the buying power of the gas taxSupport efforts to increase transportation revenues through vehicle license fees, vehicle miles traveled or other reliable means.Support legislation for alternative financing methods such as high-occupancy toll lanes, and allow funds collected on the HOT lanes by the California Highway Patrol to be reinvested within that corridor.	<ul style="list-style-type: none">Leading a portion of Self-Help Counties Coalition (SHCC) efforts to reduce voter-threshold requirements	<ul style="list-style-type: none">SCA 8 (Corbett), SCA 4 (Liu)	<ul style="list-style-type: none">
	Protect and enhance voter-approved funding	<ul style="list-style-type: none">Support legislation that provides increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring and improving transportation infrastructure and operations.Support legislation that protects against transportation funding diversions to the General Fund.Support increases in federal, state and regional funding to expedite delivery of Alameda CTC projects and programs.Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures.Support rewarding Self-Help Counties and states that provide significant transportation funding into transportation systems.Seek, acquire and implement grants to advance project and program delivery.Support Alameda County as the recipient of funds to implement pilot programs with innovative project implementation or transportation-funding mechanisms.	<ul style="list-style-type: none">		<ul style="list-style-type: none">
Project Delivery	Advance innovative project delivery	<ul style="list-style-type: none">Support legislation and policies that improve environmental streamlining and project reviews to expedite project delivery.Support legislation that improves the ability to deliver projects and programs in a timely, cost effective manner using contracting flexibility.Support innovative project delivery methods.Support HOT lane expansion in Alameda County and the Bay Area.Support policies that allow local agencies to advertise, award and administer state highway system contracts largely funded by locals	<ul style="list-style-type: none">	<ul style="list-style-type: none">	<ul style="list-style-type: none">
	Ensure cost-effective project delivery	<ul style="list-style-type: none">Support legislation that reduces project and program implementation costs by reducing or eliminating the requirements for state or other agency reimbursements to implement projects on state/regional systems.Support legislation that accelerates funding for transportation infrastructure projects that create jobs and economic growth in Alameda County.	<ul style="list-style-type: none">	<ul style="list-style-type: none">	<ul style="list-style-type: none">

Issue	Priority	Strategy	Actions	Legislation	Status
Multimodal Transportation and Land Use	Reduce barriers to the implementation of transportation and land use investments	<ul style="list-style-type: none"> Support legislation that increases flexibility and reduces technical and funding barriers to investments linking transportation, housing and jobs. Support local flexibility and decision-making on land-use for transit oriented development and priority development areas. Support innovative financing opportunities to fund TOD and PDA implementation that will increase mobility and jobs and reduce GHGs. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	Expand multimodal systems and flexibility	<ul style="list-style-type: none"> Support policies that provide multimodal transportation systems with multiple choices and better access for all kinds of transportation users. Support policies that provide increased flexibility for transportation service delivery through innovative, flexible programs that address the needs of commuters, youth, seniors, people with disabilities and low-income people. Support flexibility in transportation delivery to address climate change, senior population growth and transit maintenance and security, without creating unfunded mandates or dramatically increasing costs. Support investments in transportation for transit-dependent communities that provide enhanced access to goods, services, jobs and education. Support parity in pre-tax fringe benefits for public transit/vanpooling and parking. 	<ul style="list-style-type: none"> On-going work with agency coordination, grant development and legislative advocacy 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	Support climate change legislation	<ul style="list-style-type: none"> Support climate change legislation that provides funding for innovative infrastructure, operations, programs that relieve congestion, improve air quality, reduce emissions and support economic development. Support climate change legislation that expands transit services and supports safe, efficient, clear connections to transit services, including bike/ped infrastructure. To achieve necessary increases in public transit ridership to address GHG emissions from transportation sources, support legislation that augments but does not replace transit funding, nor create unfunded mandates. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
Climate Change	Support cap-and-trade expenditure plan	<ul style="list-style-type: none"> Engage in development of the statewide cap-and-trade expenditure plan and advocate increased transportation funding statewide and in Alameda County. 	<ul style="list-style-type: none"> Working with the SHCC on this effort 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
	Support legislation and policies that support emerging technologies	<ul style="list-style-type: none"> Support legislation that offers incentives for emerging technologies, such as alternative fuels and fueling technology, and research for transportation opportunities to reduce GHG emissions. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">
Partnerships	Expand partnerships at the local, regional, state and federal levels	<ul style="list-style-type: none"> Support efforts that encourage regional cooperation and coordination to develop, promote and fund solutions to regional transportation problems. Support legislation and policies that promote governmental efficiencies and cost savings in transportation. Support legislation that improves the ability to enhance or augment Alameda CTC projects and programs that affect bordering counties or regional networks. Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for state and local contracts. 	<ul style="list-style-type: none"> On-going coordination at the SHCC, the Bay Area Congestion Management Agencies, and with Alameda CTC's local partners legislative roundtable. An updated Alameda CTC procurement policy will support business participation efforts. 	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">