



Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

Commission Chair
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Commission Vice Chair
Councilmember Rebecca Kaplan,
City of Oakland

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Alameda County
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Supervisor Nate Miley, District 4
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Mayor Jerry Thorne

City of San Leandro
Councilmember Michael Gregory

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

Alameda County Transportation Commission

Thursday, December 4, 2014, 2:00 p.m.

1111 Broadway, Suite 800
Oakland, CA 94607

Mission Statement

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

Public Comments

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

Recording of Public Meetings

The executive director or designee may designate one or more locations from which members of the public may broadcast, photograph, video record, or tape record open and public meetings without causing a distraction. If the Commission or any committee reasonably finds that noise, illumination, or obstruction of view related to these activities would persistently disrupt the proceedings, these activities must be discontinued or restricted as determined by the Commission or such committee (CA Government Code Sections 54953.5-54953.6).

Reminder

Please turn off your cell phones during the meeting. Please do not wear scented products so individuals with environmental sensitivities may attend the meeting.

Glossary of Acronyms

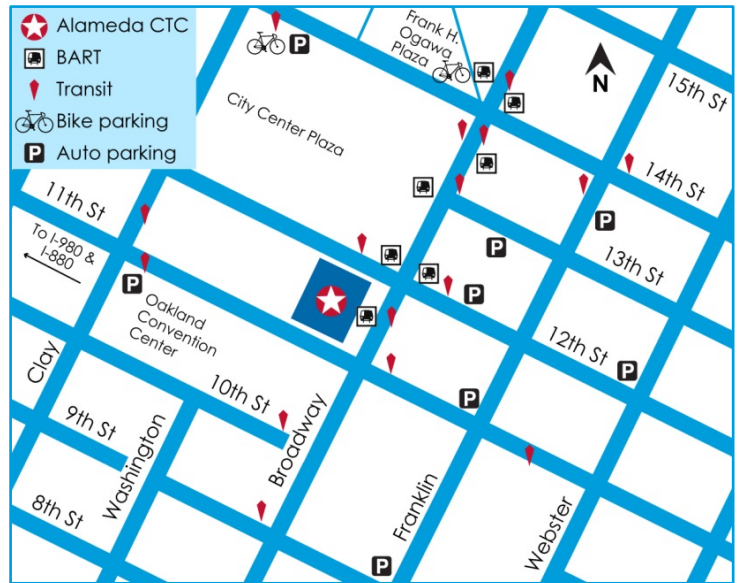
A glossary that includes frequently used acronyms is available on the Alameda CTC website at www.AlamedaCTC.org/app_pages/view/8081.

Location Map

★ Alameda CTC

1111 Broadway, Suite 800
Oakland, CA 94607

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



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

Accessibility

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



Meeting Schedule

The Alameda CTC meeting calendar lists all public meetings and is available at www.AlamedaCTC.org/events/upcoming/now.

Paperless Policy

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

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Commission Meeting Agenda

Thursday, December 4, 2014, 2 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

1. Pledge of Allegiance

2. Roll Call

3. Public Comment

4. Chair/Vice Chair Report

5. Executive Director Report

Chair: Supervisor Scott Haggerty,
Alameda County, District 1

Vice Chair: Councilmember Rebecca Kaplan,
City of Oakland

Executive Director: Arthur L. Dao

Clerk: Vanessa Lee

6. Approval of Consent Calendar

Page A/I*

On November 10, 2014 Alameda CTC standing committees approved all action items on the consent calendar, except Item 6.1.

6.1. [Approval of October 23, 2014 meeting minutes](#)

1

A

Recommendation: Approve the October 23, 2014 meeting minutes.

6.2. [I-580 Corridor High Occupancy Vehicle/Express Lane Projects \(PN 720.4/720.5/724.1/724.4/724.5\): Monthly Progress Report](#)

5

I

Recommendation: Receive a monthly status update on the I-580 Corridor High Occupancy Vehicle/Express Lane Projects.

6.3. [Congestion Management Program \(CMP\): Summary of Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments](#)

27

I

Recommendation: Receive an update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.

6.4. [Alameda CTC's Comprehensive Investment Plan Project Selection Methodology](#)

33

A

Recommendation: Approve Alameda CTC's Comprehensive Investment Plan Project Selection Methodology.

6.5. [California Transportation Commission October Meeting Summary](#)

57

I

Recommendation: Receive an update on the October 2014 CTC Meeting.

6.6. [Alameda CTC At Risk Monitoring Reports](#)

61

A

Recommendation: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/

Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) At Risk monitoring reports.

- | | | | |
|-------|--|-----|---|
| 6.7. | <u>CMA TIP Program: Vasco Road Project and ARRA Local Street and Road Project Exchange Agreements</u> | 87 | A |
| | Recommendation: Approve the CMA TIP Program project exchange amendments and authorize the Executive Director to execute associated agreements. | | |
| 6.8. | <u>East Bay Greenway Project: Corridor Planning and Coliseum BART to 85th Avenue Construction (PN 635.1)</u> | 97 | I |
| | Recommendation: Approve the programming actions and authorize the Executive Director to execute agreements required for the construction component of the project. | | |
| 6.9. | <u>I-680 Northbound Express Lane Project (PN 721.0): Contract Amendment to the Professional Services Agreement (Agreement No. A11-0034) with WMH Corporation</u> | 101 | A |
| | Recommendation: Approve and authorize the Executive Director, or his designee, to execute Amendment No. 2 to the Professional Services Agreement No. A11-0034 with WMH Corporation for an additional not-to-exceed amount of \$450,000 for a total not-to-exceed amount of \$6,611,366 and a contract time extension to June 30, 2016. | | |
| 6.10. | <u>I-880 Operational and Safety Improvements at 23rd and 29th Avenue Project (PN 717.0): Amendment No. 7 to the Professional Services Agreement with RBF Consulting (Agreement No. A10-013)</u> | 105 | A |
| | Recommendation: Approve and authorize the Executive Director, or his designee, to execute Amendment No. 7 to Agreement No. A10-013 with RBF Consulting for an additional not-to-exceed amount of \$437,500 for a total not-to-exceed amount of \$10,110,100 for continued design support services during construction. | | |
| 6.11. | <u>I-80 Gilman Interchange (PN 765.0): Contract Amendment to the Professional Services Agreement (Agreement No. A10-012) with PB Americas, Inc.</u> | 109 | A |
| | Recommendation: Approve and authorize the Executive Director, or his designee, to execute Amendment No. 3 to the Professional Services Agreement No. A10-012 with PB Americas, Inc. for an additional not-to-exceed amount of \$25,000 for a total not-to-exceed amount of \$679,028 and a contract time extension to December 31, 2014. | | |
| 6.12. | <u>I-880/Broadway-Jackson Interchange Improvement Project (PN 610.0): Project Approval and Environmental Document (PA&ED) Phase</u> | 113 | A |
| | Recommendation: Authorize the Executive Director, or his designee, to execute a Professional Services Agreement for a not-to-exceed | | |

amount of \$4,900,000 with HNTB Corporation for the PA&ED Phase.

- | | | |
|---|-----|---|
| 6.13. Alameda CTC Staff and Retiree Benefits for Calendar Year 2015 and Salaries for Fiscal Year 2015-2016 | 115 | A |
| Recommendation: Approve the Alameda CTC Staff and Retiree Benefits for Calendar Year 2015 and Salaries for Fiscal Year 2015-2016 and adopt Resolution No. 14-017 Fiscal Year 2015-2016 Salaries and Calendar Year 2015 Benefits for Staff Members | | |
| 6.14. Various Projects: Time Extension Only Amendments | 129 | A |
| Recommendation: Approve and authorize the Executive Director, to execute amendments for requested time extensions in support of the Alameda CTC's Capital Projects and Program delivery commitments. | | |
| 6.15. Alameda CTC FY2014-15 First Quarter Financial Report | 133 | A |
| Recommendation: Approve the Alameda CTC FY2014-15 First Quarter Financial Report. | | |
| 6.16. Alameda CTC FY2014-15 First Quarter Investment Report | 149 | A |
| Recommendation: Approve the Alameda CTC FY2014-15 First Quarter Investment Report. | | |
| 6.17. FY2013-14 Annual Contract Equity Utilization Report | 167 | A |
| Recommendation: Approve the FY2013-14 Annual Contract Equity Utilization Report. | | |
| 6.18. Community Advisory Appointments | 183 | A |
| Recommendation: Approve the Alameda CTC Community Advisory Appointments. | | |

7. Community Advisory Committee Reports

(Time limit: 3 minutes per speaker)

- | | | |
|---|-----|---|
| 7.1. Bicycle and Pedestrian Advisory Committee - Midori Tabata, Chair | 185 | I |
| 7.2. Citizens Watchdog Committee – James Paxson, Chair | 187 | I |
| 7.3. Paratransit Advisory and Planning Committee – Sylvia Stadmire, Chair | 193 | I |

8. Planning, Policy and Legislation Committee Action Items

On November 10, 2014, the Planning, Policy and Legislation Committee approved the following action items, unless otherwise noted in the recommendations.

- | | | |
|---|-----|-----|
| 8.1. Transportation Expenditure Plan Update (Verbal) | | I |
| 8.2. Legislative Program Update | 203 | A/I |
| Recommendation: Approve Draft 2015 Alameda CTC Legislative Program. | | |

9. Finance and Administration Committee Action Items

On November 10, 2014, the Finance and Administration Committee approved the following action items, unless otherwise noted in the recommendations.

9.1. [Approval of the Alameda CTC FY2013-14 Draft Audited Comprehensive Annual Financial Report](#)

219 A

Recommendation: Approve the Alameda CTC FY2013-14 Draft Audited Comprehensive Annual Financial Report.

10. Closed Session

10.1. Pursuant to Government Code Section 54957: Public Employee Performance Evaluation: Executive Director

A/I

10.2. Conference with Legal Counsel : Potential Litigation, initiation of litigation pursuant to Government Code section 54956.9(d)(4); one potential action.

A/I

10.3. Report on Closed Session

11. Member Reports

12. Adjournment

Next meeting: January 22, 2015

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



Alameda County Transportation Commission Commission Meeting Minutes Thursday, October 23, 2014, 2:00 p.m.

6.1

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

1. Pledge of Allegiance

2. Roll Call

The Clerk conducted a roll call. All members were present with the exception of: Commissioner John Marchand, Commissioner Richard Valle, Commissioner Scott Haggerty, Commissioner Rebecca Kaplan, Commissioner Nate Miley, Commissioner Thomas Blalock, Commissioner Keith Carson and Commissioner Laurie Capitelli.

Commissioner Pauline Cutter was present as the Alternate for Commissioner Wilma Chan. Commissioner Marvin Piexoto was present as an alternate for Commissioner Barbara Halliday.

Commissioner Dan Kalb was present as an alternate for Commissioner Larry Reid.

Subsequent to the roll call:

Commissioners Rebecca Kaplan, Commissioner Keith Carson, and Commissioner Laurie Capitelli arrived during item 4.

Commissioner Nate Miley arrived during Item 8.1.

Commissioner John Marchand and Commissioner Thomas Blalock arrived during item 8.2.

3. Public Comment

There were no public comments.

4. Chair/Vice Chair Report

There was no Chair or Vice Chair Report.

5. Executive Director Report

Art Dao stated that he attended MTC's Excellence in Motion Awards event where the Commission was given an award for management and delivery of the Caldecott Fourth Bore Project. He stated that Naomi Armenta also received an award for her work as an advocate for improved mobility for seniors and people with disabilities. Art also informed the Commission of upcoming ribbon cutting events for the East Bay Greenway Project, the Route 84 Expressway Project and the Mission Boulevard and Interstate 880 reconstruction project in Fremont.

6. Approval of Consent Calendar

- 6.1. Approval of September 25, 2014 Minutes
- 6.2. I-580 Express Lanes Education and Outreach Schedule
- 6.3. I-580 Corridor High Occupancy Vehicle/Express Lane Projects (PN 720.4/720.5/724.1/724.4/724.5): Monthly Progress Report
- 6.4. Congestion Management Program: Summary of Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments
- 6.5. Legislative Update
- 6.6. Congestion Management Program (CMP): Elements, Scope, and Schedule for the 2015 CMP Update and Implementation of Travel Demand Management and Annual Conformity Findings
- 6.7. Lifeline Transportation Program Cycle 4 Guidelines
- 6.8. Safe Routes to Schools Program Annual Report
- 6.9. East Bay Greenway Project - Coliseum BART to 85th Avenue (635.1): Amendment to the Memorandum of Understanding (MOU) A12-0029 with San Francisco Bay Area Rapid Transit District and the City of Oakland
- 6.10. I-880 Southbound HOV Lane Project (730.1/730.2): Hardscape Component
- 6.11. Various Projects: Time Extension Only Amendments
- 6.12. Alameda CTC's participation in the Special District Risk Management Authority (SDRMA) Risk Management Program
- 6.13. Community Advisory Appointments

Commissioner Atkin made a correction to Item 6.1 on the consent calendar stating that Emeryville Councilmember Kurt Brinkman's name was misspelled.

Commissioner Atkin moved to approve the Consent Calendar. Commissioner Dutra-Vernaci seconded the motion. Commissioner Tim Sbranti abstained from the vote. The motion passed with one abstention (Valle, Marchand, Haggerty, Miley, Blalock absent).

7. Community Advisory Committee Reports

7.1. Bicycle and Pedestrian Advisory Committee (BPAC)

Midori Tabata, BPAC Chair stated that the committee met on October 9, 2014. They reviewed the committee bylaws as well as the draft bicycle master plan guidelines and received an update on the bicycle and pedestrian plan implementation.

7.2. Citizens Watchdog Committee (CWC)

There was nobody present from CWC.

7.3. Paratransit Advisory and Planning Committee (PAPCO)

Sylvia Stadmire, Chair of PAPCO stated that the committee hosted its Annual Mobility Workshop on October 17, 2014. She stated that the committee will meet again on

October 27, 2014 to review the Gap Grant Cycle 5 progress reports and will meet jointly with ParaTAC to discuss service changes and receive a quarterly report from LAVTA. Sylvia concluded by reviewing vacancies on the committee.

8. Planning, Policy and Legislation Committee Action Items

8.1. Transportation Expenditure Plan Update

Tess Lengyel provided an update on the Transportation Expenditure Plan (TEP). She stated that the election date is November 4, 2014, and the TEP will be considered for approval. She also stated that the technical committee was presented with speaking points about the plan, and staff could provide the information to the commissioners as well. She concluded by thanking the Commission for its hard work crafting the plan.

8.2. Metropolitan Transportation Commission (MTC) I-880 Express Lane Project

Lisa Klein, Principal from MTC provided an update on the I-880 Express Lane Project and focused on the purpose and look of the express lane. She updated the committee on the intent and reason to have an express lane in the corridor and provided information on goals for the High Occupancy Vehicle (HOV) system. She also updated the committee on the Bay Area express lanes 5-mile network in regards to the regional approach. Lisa stated that there are four agencies working together to develop a seamless network for users including Alameda CTC. She covered the I-880 express lane limits, current challenges of the corridor and provided information on achieving mobility improvements and enforcement efforts. Lisa concluded by providing an overview of the project and outreach schedule.

Commissioner Kaplan wanted to know if the Hengenberger section of the project was only in the Southbound segment, and if so, was it appropriate timing to request that it extend to the Northbound direction. Lisa stated that the Hegenberger segment is currently only set to go in the southbound direction but staff is already considering adding the Northbound segment if funding is identified.

Commissioner Kaplan wanted to know what agency collects fines from toll violators. Lisa stated that the enforcement fees go to the express lane operator, so for the I- 880 corridor, it would be MTC.

Commissioner Kaplan wanted to know if hybrid or green vehicles use the lane for free. Lisa stated that state law allows operators to decide if they want to allow "green vehicles" to use the lane for free or charge a reduced toll.

This item was for information only.

8.3. Comprehensive Investment Plan

Tess Lengyel recommended that the Commission approve the Comprehensive Investment Plan (CIP) guiding principles, development process, and programming

fund estimate. She stated the CIP is carrying on policy framework that the Commission approved in 2013 and will be a programming plan that transitions long range plans into short-range implementation to create a continued pipeline of projects. Tess covered the CIP benefits and stated that the plan will include a 5 year fiscally constrained and a two-year allocation plan, all funding sources, capital projects, as well as programmatic capital plans and projects. She stated that the plan will be updated annually to coincide with the budget as well as biennially to enroll any new projects and programs. Tess covered the five policy principles and the CIP development process. Tess also stated that there will be a programming fund update and provided information on the programming fund estimate of \$1.5 billion. Tess concluded the report by covering next steps and providing an update on comments from ACTAC and both the PPLC and PPC Committees.

Commissioner Kaplan moved to approve this item. Commissioner Blalock seconded the motion. The motion passed unanimously (Valle absent).

9. Programs and Projects Committee Action Items

9.1. Alameda CTC Semi-Annual Programs and Projects Update

Matt Todd started off the Semi-Annual Programs and Projects Update by updating the committee on the programming portion of the update, providing information on major accomplishments and distributions of Measure B and VRF program funding. He updated the committee on program monitoring and provided information on Measure B/VRF pass through and grant funds administered through Alameda CTC. Raj Murthy provided information specifically on the Capital Projects Program. He covered active projects by phase and major transit investments. Raj also covered major highway accomplishments for the 1986 and 2000 Measure B projects as well as Prop 1B projects, and he concluded by providing information related to ongoing projects.

This item was for information only.

10. Member Reports

Commissioner Haggerty adjourned the meeting in memory of Bill McCammon, former Alameda County Fire Chief.

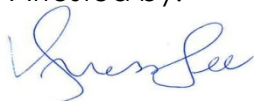
11. Adjournment

The next meeting is:

Date/Time: December 4, 2014 @ 2:00 p.m.

Location: Alameda CTC Offices, 1111 Broadway, Suite 800, Oakland, CA 94607

Attested by:





Memorandum

6.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: I-580 Corridor High Occupancy Vehicle/Express Lane Projects (PN 720.4/720.5/724.1/724.4/724.5): Monthly Progress Report

RECOMMENDATION: Receive a monthly status update on the I-580 Corridor High Occupancy Vehicle/Express Lane Projects.

Summary

The Alameda CTC is sponsoring the I-580 Corridor High Occupancy Vehicle (HOV)/Express Lane Projects along the I-580 corridor in the Tri-Valley. The Eastbound I-580 Express Lane Project will convert the newly constructed eastbound HOV lane, from Hacienda Drive to Greenville Road, to a double express lane facility. The I-580 Westbound Express Lane Project will convert the westbound HOV lane (currently under construction) to a single express lane facility from Greenville Road to San Ramon Road/Foothill Road.

The environmental and civil design work for the express lanes is complete for both eastbound and westbound. Civil construction is being implemented through multiple contract change orders (CCO's) on the on-going HOV Lane construction contracts. The I-580 Eastbound and Westbound Express Lane civil construction work 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. The System Integrator contractor will install the required communication equipment, toll hardware and integrate the toll subsystems, utilizing emerging technologies/software development. The express lane facility is scheduled to open for public use in November 2015.

For detailed information on project funding, schedule and status of each corridor project, including the Eastbound HOV Lane Project (Segment 3 Auxiliary Lanes), the Westbound HOV Lane Project (Segments 1 and 2), the Eastbound I-580 Express Lane Project, Westbound I-580 Express Lane Project and Toll System Integration activities, see Attachments A, B, C, D and E of this report. This item is for information only.

Background

The projects in the I-580 Corridor will provide increased capacity, safety and efficiency for commuters and freight along the primary corridor connecting the Bay Area with the Central Valley. In its role as project sponsor, the Alameda CTC has been working in

partnership with Caltrans, California Highway Patrol, the Metropolitan Transportation Commission (MTC), Alameda County, and the cities of Livermore, Dublin, and Pleasanton to deliver the projects.

The I-580 Corridor HOV Lane Projects will be completed with the construction of three final projects in the Livermore Valley (two westbound HOV segments and one eastbound auxiliary (AUX) lanes project). All of these projects are currently in construction and are being administered by Caltrans. Construction activity began in March 2013 and will be complete by late 2015 in parallel with completion of express lane infrastructure.

For efficiency purposes, the I-580 Eastbound and Westbound Express Lane Projects have been combined into one construction project. All the contract change orders (CCO's) for express lane-civil infrastructure construction have already been issued to the on-going construction contracts along I-580 (I-580 Westbound HOV, I-580 Eastbound Auxiliary Lane and Freeway Performance Project). The benefit of implementing CCO's is to avoid working in the environmentally sensitive areas, minimize additional traffic disruptions to the traveling public, reduce or eliminate re-work and potentially finish construction sooner. Specific items in CCO's include:

- Electrical Conduit – across and along I-580
- Service and controller cabinets
- Striping – stripe to final express lane configuration
- Install K-rail along median at sign locations
- Median concrete barrier
- Fiber Optics Cable
- Sign structures including tolling gantries, dynamic messaging signs, lighting standards and other sign structures.

The system integration for express lane implementation is currently in the design phase. Construction activities of express lane-system integration are expected to commence in March 2015 with electronic toll system fully operational in November 2015.

Fiscal Impact: There is no fiscal impact to the Alameda CTC budget due to this item. This is information only.

Attachments

- A. I-580 Eastbound HOV Lane Project Monthly Progress Report (PN 720.5)
- B. I-580 Westbound HOV Lane Projects Monthly Progress Report (PN 724.4/724.5)
- C. I-580 Eastbound Express Lane Project Monthly Progress Report (PN 720.4)

- D. I-580 Westbound Express Lane Project Monthly Progress Report (PN 724.1)
- E. I-580 Express Lanes System Integration Monthly Progress Report
- F. I-580 Corridor HOV Lane Projects – Location Map
- G. I-580 Corridor Express Lane Projects – Location Map

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Stefan Garcia](#), Project Controls Team

[Kanda Raj](#), Project Controls Team

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ATTACHMENT A
I-580 Eastbound HOV Lane Project (PN 720.5)
Monthly Progress Report
October 2014

PROJECT DESCRIPTION

The Eastbound I-580 HOV Lane Project is completing one final construction segment, Segment 3 Auxiliary (AUX) Lanes, between Hacienda Drive and Greenville Road. The Project scope includes:

- Construction of auxiliary lanes from Isabel Avenue to First Street;
- Pavement width necessary for a double express (high occupancy toll lane facility);
- Final lift of asphalt concrete (AC) pavement and striping for entire eastbound project limits from Hacienda Drive to Portola Avenue;
- The soundwall that was deleted from the I-580/Isabel Avenue Interchange Project; and
- The widening of two bridges at Arroyo Las Positas in the eastbound direction.

CONSTRUCTION STATUS**Traffic Handling & Night Work**

Construction activities include both day and night work. Significant work is involved in rehabilitating the existing pavement which requires closing traffic lanes; however, no complete freeway closures are anticipated. Due to heavy daytime traffic volumes, closing traffic lanes in the daytime is not feasible. For this reason, pavement rehabilitation work can only be done during nighttime hours. Night work will include setting lane closures and shifting traffic lanes (placement of safety barrier (k-rail) and striping work), existing pavement rehabilitation work (crack and seat, slab replacement and overlay) and electrical work. Caltrans lane closure charts permit the contractor to perform this work at night between 9pm and 4am. Work behind k-rail and all bridge work is expected to occur during daytime hours.

Construction Challenges

Alameda CTC staff is working in close coordination with Caltrans to implement the project within limited funding. Challenges and managed risks for this project include:

- Bird Nesting on structures and in adjacent field areas
- Installation of future express Lane components to facilitate express lane completion. Project staff is working to combine HOV and express lane construction work in a manner that will keep the single HOV lane open until the double lane HOT/HOV express facility is completed

Completed Activities – 74% of the contract work was completed as of 9/20/14

Construction activities began in April 2013. Work completed to date includes:

- Las Positas Creek (EB and WB) bridge widening
- Widening of major box culvert at Arroyo Seco and modification of drainage facilities. Creek diversion is removed and area restored.
- Most retaining walls on the outside of the freeway corridor.

Ongoing & Upcoming Activities

Caltrans maintains a project website

(<http://www.dot.ca.gov/dist4/projects/i580wbhov/>) and conducts public information and outreach efforts in cooperation with Alameda CTC. Ongoing and upcoming work activities include:

- Backfill two remaining retaining walls
- Install Lighting and Traffic Operation Systems
- Install infrastructure to support express lane operations
- Paving activities continuing between Hacienda Drive and Greenville Road through October 2014

FUNDING AND FINANCIAL STATUS

The I-580 Eastbound HOV Project is funded through federal, state and local funds.

Funding Plan – SEGMENT 3

Project Phase	Funding Source (\$ million)						Total
	CMIA	RM2	TVTC	FED	SHOPP	Meas. B	
PA&ED						0.02	0.02
PS&E		1.72	1.30	0.23			3.25
ROW		0.17	0.08			0.28	0.53
Construct	17.87	2.20	0.14		4.69	6.57	31.47
Cap							
Construct	2.53	1.12	0.10			0.71	4.46
Sup							
Total	20.40	5.21	1.62	0.23	4.69	7.58	39.73
Total Project Cost: \$39.7M							

SCHEDULE STATUS

The Eastbound AUX Lane project between Hacienda Drive and Greenville Road was advertised on July 9, 2012; bids were opened on October 5, 2012. Caltrans awarded the contract to OC Jones & Sons (with a bid 6.33 percent below the Engineer's Estimate) on November 16, 2012. With the inclusion of infrastructure to support express lane operations, construction is now planned to complete in late 2015.

Project Approval	December 2011 (A)
RTL	May 2012 (A)
CTC Vote	May 2012 (A)
Begin Construction (Award)	November 2012 (A)
End Construction	October 2015 (T)

ATTACHMENT B
I-580 Westbound HOV Lane Projects (PN 724.4/724.5)
Monthly Progress Report
October 2014

PROJECT DESCRIPTION

The Westbound I-580 HOV Lane Project includes three segments:

- **SEGMENT 1** – WB HOV Eastern Segment from Greenville Road to Isabel Avenue
- **SEGMENT 2** – WB HOV Western Segment from Isabel Avenue to San Ramon Road
- **SEGMENT 3** – Bridge widening at Arroyo Las Positas Creek. This work is included in the construction contract for the EB HOV Lane Project (see Attachment A).

CONSTRUCTION STATUS – SEGMENTS 1 & 2

Traffic Handling & Night Work

Construction activities include both day and night work. Significant work is involved in rehabilitating the existing pavement which requires closing traffic lanes; however, no complete freeway closures are anticipated. Due to heavy daytime traffic volumes, closing traffic lanes in the daytime is not feasible. For this reason, pavement rehabilitation work can only be done during nighttime hours. Night work will include setting lane closures and shifting traffic lanes (placement of safety barrier (k-rail) and striping work), existing pavement rehabilitation work (crack and seat, slab replacement and overlay) and electrical work. Caltrans lane closure charts permit the contractor to perform this work at night between 9pm and 4am. Work behind k-rail and all bridge work is expected to occur during daytime hours.

Construction Challenges

Alameda CTC staff is working in close coordination with Caltrans to implement the project within limited funding. Challenges and managed risks for the project include:

SEGMENT 1 (Eastern Segment)

- Installation of future express Lane components to facilitate express lane completion. Project staff is working to combine HOV and express lane construction work in a manner that will allow the HOV/express lane facility to be opened concurrently
- Additional widening of the North Livermore Avenue structure to accommodate express lane width requirements
- New retaining wall to account for recent, accelerated erosion within the Arroyo Seco Creek adjacent to the widening necessary for westbound lanes
- Coordination with concurrent Caltrans projects in the area to reduce cost
- Bird Nesting on structures and in adjacent field areas
- Revision of pavement slab replacements to prioritize in areas most in need

SEGMENT 2 (Western Segment)

- Installation of future express lane components to facilitate express lane completion. Project staff is working to combine HOV and express lane

construction work in a manner that will allow the HOV/express lane facility to be opened concurrently

- Elimination of a retaining wall to reduce project cost
- Changes to the pavement cross section to reduce project cost
- Bird Nesting on structures and in adjacent field areas
- Revision of pavement slab replacements to prioritize in areas most in need

Completed Activities

Construction activities began in March 2013. Work completed to date includes:

SEGMENT 1 (Eastern Segment) – 51% of the contract work was completed as of 9/20/14

- North Livermore Ave bridge widening
- Bridge widening at Arroyo Las Positas (2 locations)
- Arroyo Seco RCB culvert extension
- Construct major drainage facilities (e.g. double box culvert)
- Concrete pavement slab replacements
- Excavate and construct retaining walls and soil nail walls
- Paving of ramp and gore areas

SEGMENT 2 (Western Segment – 77% of the contract work was completed as of 9/20/14

- Median widening from Airway to Hacienda
- BART Barrier modifications
- Temporary striping, shift traffic lanes and placement of safety barrier (k-rail) to allow for Stage 2 outside widening
- Bridge widening at Dougherty Undercrossing near Dublin BART station
- Bridge widening at Tassajara Creek
- Precast slab pavement replacements
- Outside widening from Airway to Hacienda

Ongoing & Upcoming Activities

Caltrans maintains a project website

(<http://www.dot.ca.gov/dist4/projects/i580wbhov/>) and conducts public information and outreach efforts in cooperation with Alameda CTC. Ongoing and upcoming work activities include:

SEGMENT 1 (Eastern Segment)

- Soundwall construction at Vasco Road
- Install Lighting and Traffic Operation Systems
- Install infrastructure to support express lane operations
- Complete retaining walls
- Median widening and barrier reconfiguration
- Mainline paving will begin in spring 2015

SEGMENT 2 (Western Segment)

- Installation of drainage systems
- Median barrier reconfiguration
- Complete retaining walls
- Install Lighting and Traffic Operation Systems
- Install infrastructure to support express lane operations

- Final paving and striping between Airway Boulevard and Hacienda Drive will begin in spring 2015.

FUNDING AND FINANCIAL STATUS

The I-580 Westbound HOV Lane Project is funded through federal, state and local funds available for the I-580 Corridor. The total project cost is \$143.9M, comprised of programmed (committed) funding from federal, state and local sources.

Funding Plan – SEGMENT 1 (Eastern Segment)

Project Phase	Funding Source (\$ million)							Total
	CMIA	RM2	TCRP	FED	SHOPP	Meas. B	TVTC	
Scoping		0.53	0.04					0.57
PA&ED		4.38						4.38
PS&E		2.29	0.11	0.15		1.69	0.42	4.66
ROW		1.16				0.04		1.20
Utilities		0.32						0.32
Const Cap	35.34		5.92	6.19	13.54	1.60		62.59
Const. Sup	6.52		1.59			1.08		9.19
Total	41.86	8.68	7.66	6.34	13.54	4.41	0.42	82.91
Total Project Cost: \$82.9M								

Funding Plan – SEGMENT 2 (Western Segment)

Project Phase	Funding Source (\$ million)							Total
	CMIA	RM2	TCRP	FED	SHOPP	Meas. B	TVTC	
Scoping		0.36	0.02					0.38
PA&ED		2.92						2.92
PS&E		1.53	0.07	0.10		1.12	0.28	3.10
ROW		0.77				0.03		0.80
Utilities		0.21						0.21
Const Cap	33.73		2.49		9.61	0.10	0.30	46.23
Const. Sup	6.75					0.58		7.33
Total	40.48	5.79	2.58	0.10	9.61	1.83	0.58	60.97
Total Project Cost: \$61.0M								

SCHEDULE STATUS

SEGMENT 1 (Eastern Segment):

The Westbound HOV Eastern Segment from Greenville Road to Isabel Avenue was advertised on July 16, 2012 and bids were opened on September 19, 2012. Caltrans awarded the contract to Ghilotti Construction Company, Inc. (with a bid 16.33 percent below Engineer's Estimate) on November 20, 2012. With the inclusion of infrastructure to support express lane operations, construction is now planned to complete in early 2016.

Project Approval	January 2010 (A)
RTL	May 2012 (A)
CTC Vote	May 2012 (A)
Begin Construction (Award)	November 2012 (A)
End Construction	January 2016 (T)

SEGMENT 2 (Western Segment):

The Westbound HOV Western Segment from Isabel Avenue to San Ramon Road was advertised on June 25, 2012 and bids were opened on August 29, 2012. Caltrans awarded the contract to DeSilva Gates Construction (with a bid 23.32 percent below Engineer's Estimate) on October 29, 2012. With the inclusion of infrastructure to support express lane operations, construction is now planned to complete in mid 2015.

Project Approval	January 2010 (A)
RTL	April 2012 (A)
CTC Vote	April 2012 (A)
Begin Construction (Award)	October 2012 (A)
End Construction	July 2015 (T)

ATTACHMENT C
I-580 Eastbound Express Lane Project
Monthly Progress Report
October 2014

PROJECT DESCRIPTION

The I-580 Eastbound Express Lane Project will convert the newly constructed eastbound HOV lane, from Hacienda Drive in Dublin/Pleasanton to Greenville Road in Livermore, to a double express lane facility, a distance of approximately 11 miles.

PROJECT DELIVERY STATUS

- The environmental phase is complete
- Civil design is complete and combined with the westbound component as one contract package. The civil construction is being implemented through CCO's under the three I-580 HOV lane projects currently in construction (I-580 Westbound HOV Lane - West Segment, I-580 Westbound HOV Lane - East Segment and I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes). All the CCOs have been issued to the contractors
- Electronic toll system design is in progress

RECENT ACTIVITIES

- Construction activities are progressing see Attachment A for civil construction updates
- See Attachment E for toll system design updates

UPCOMING ACTIVITIES

- Coordinate civil construction activities for completion by March 2015, see Attachment A for civil construction updates
- See Attachment E for toll system design updates

POTENTIAL ISSUES/RISKS

The civil construction has to be completed by early March 2015 to allow ETCC to start the electronic toll system equipment so that express lanes can be opened by November 2015. This schedule is very aggressive. Staff will work closely with Caltrans and ETCC to monitor progress and take appropriate actions as necessary.

FUNDING AND FINANCIAL STATUS

The total project cost of the combined express lane project is \$55 million and is fully funded with a combination of federal, regional and local fund sources.

SCHEDULE STATUS

I-580 Eastbound Express Lane Project Schedule:

Project Approval	March 2014
Civil Design Completion	April 2014
Begin Construction	June 2014
End Construction (Civil and System Integration)	November 2015

ATTACHMENT D
I-580 Westbound Express Lane Project
Monthly Progress Report
October 2014

PROJECT DESCRIPTION

The I-580 Westbound Lane Project will convert the planned westbound HOV lane to a single express lane facility from Greenville Road in Livermore to San Ramon Road / Foothill Road in Dublin / Pleasanton, a distance of approximately 14 miles.

PROJECT DELIVERY STATUS

- The environmental phase is complete
- Civil design is complete and combined with the eastbound component as one contract package. The civil construction is being implemented through CCO's under the three I-580 HOV lane projects currently in construction (I-580 Westbound HOV Lane - West Segment, I-580 Westbound HOV Lane - East Segment and I-580 Eastbound HOV Lane - Segment 3 with Auxiliary Lanes). All the CCOs have been issued to the contractors
- Electronic toll system design is in progress

RECENT ACTIVITIES

- Construction activities are progressing, see Attachment B for civil construction updates
- See Attachment E for toll system design updates

UPCOMING ACTIVITIES

- Construction activities are progressing, see Attachment B for civil construction updates
- See Attachment E for toll system design updates

POTENTIAL ISSUES/RISKS

The civil construction has to be completed by early March 2015 to allow ETCC to start installation of the electronic toll system equipment so that express lanes can be opened by November 2015. This schedule is very aggressive. Staff will work closely with Caltrans and ETCC to monitor progress and take appropriate actions as necessary.

FUNDING AND FINANCIAL STATUS

The total project cost of the combined express lane project is \$55 million and is fully funded with a combination of federal, regional and local fund sources.

SCHEDULE STATUS

I-580 Westbound Express Lane Project Schedule:

Project Approval	August 2013
Civil Design Completion	April 2014
Begin Construction	June 2014
End Construction (Civil and System Integration)	November 2015

ATTACHMENT E

I-580 Express Lanes System Integration

Monthly Progress Report

October 2014

SYSTEM INTEGRATION SCOPE DESCRIPTION

The I-580 Express Lane-civil contract 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 pavement striping to accommodate express lanes. The System Integration will include communication and tolling hardware design, software development, factory testing of equipment/design, toll system equipment/hardware installation and toll system integration. It will also consist of field testing of the toll equipment and all subsystems including the interfaces to the Bay Area Toll Authority - Regional Customer Service Center and Caltrans prior to implementing the new express lanes.

Detailed Discussion

The system integration focuses on the most recent technologies including software, hardware and traffic detection that will be deployed to optimize the existing corridor capacity in order to effectively manage the current and forecasted traffic congestion in the corridor. The system integrator, however, will continue to own the software while the implementing agency will pay for a license to allow for the use of the toll integrator's software.

Electronic Transaction Consultants Corporation (ETCC), the project toll system integrator, has been updating the electronic toll system design to support the "near continuous" access configuration in both directions of I-580. As reported in the 2013 I-580 Workshops, the "near continuous" concept provides additional access opportunities while reducing the foot-print required for implementing a shared express/general purpose lane facility. In addition, it looks and feels similar to a High Occupancy Vehicle (HOV) facility and, therefore, is expected to provide driver familiarity.

Project Geometry and Electronic Toll System Design

The latest version of the express lanes concept proposes the following:

In the eastbound I-580 direction:

- Buffer separated single-lane HOV/Express Lane will be installed from Hacienda Drive to Fallon Road
- Continuous access dual-lane HOV/Express Lane will be installed from Fallon Road to west of Vasco Road
- Continuous access single-lane HOV/Express Lane will be installed from west of Vasco Road to Greenville Road

In the westbound I-580 direction:

- Continuous access single-lane HOV/Express Lane will be installed from Greenville Road to Hacienda Drive
- A buffer separated single-lane HOV/Express Lane will be installed from Hacienda Drive to the I-580/I-680 Interchange

PROJECT STATUS

Software and hardware design

The system integration is currently in the design phase. To support the near continuous access and curtail toll violation, the toll system design includes zone-based tolling and automated toll violation enforcement. Toll gantries will be placed at approximately $\frac{3}{4}$ mile intervals to support toll collection and violation enforcement. System design also includes tools to support the California Highway Patrol's efforts in curtailing vehicle occupancy violation.

System integrator consultant ETCC has been proceeding with software and hardware development, consistent with project concepts presented in 2013 I-580 Workshops. ETCC circulated system installation plan for review and comments. Based on comments received, ETCC finalized the installation plans. Subsequently, ETCC will perform a series of factory and field tests and work with Alameda CTC staff to validate its hardware and software design prior to opening the new express lanes facility. Construction activities of express lane-system integration are expected to commence in March 2015 with electronic toll system, fully operational in November 2015.

Agency staff is working to deploy a comprehensive public education and outreach program to support the implementation of the express lanes which will employ new and emerging technologies. Business rules have been developed for consistent driver experience within the Regional Bay Area Express Lane Network. In the October 2014 meeting, staff will outline the schedule activities associated with the public education and outreach plan.

RECENT ACTIVITIES

- ETCC circulated system installation plan and detailed drawings for review and comments. Based on comments received, ETCC finalized the system plans.
- Based on Commission's approval in September 2014, staff is working with ETCC to include license plate image capture and review system (ICRS) in ETCC's scope of services in its Agreement to enforce automated toll violation

UPCOMING ACTIVITIES

- Roll out the education and outreach campaign to the public in early 2015 to educate them about the benefits of express lanes, how to use the lanes, new technologies, including the use of switchable transponders, and how to gather additional information, etc.
- Conduct factory acceptance test in February 2015
- Continue to coordinate with BATA to complete a customer services agreement by January/February 2015 for collecting tolls and processing toll violation enforcement services

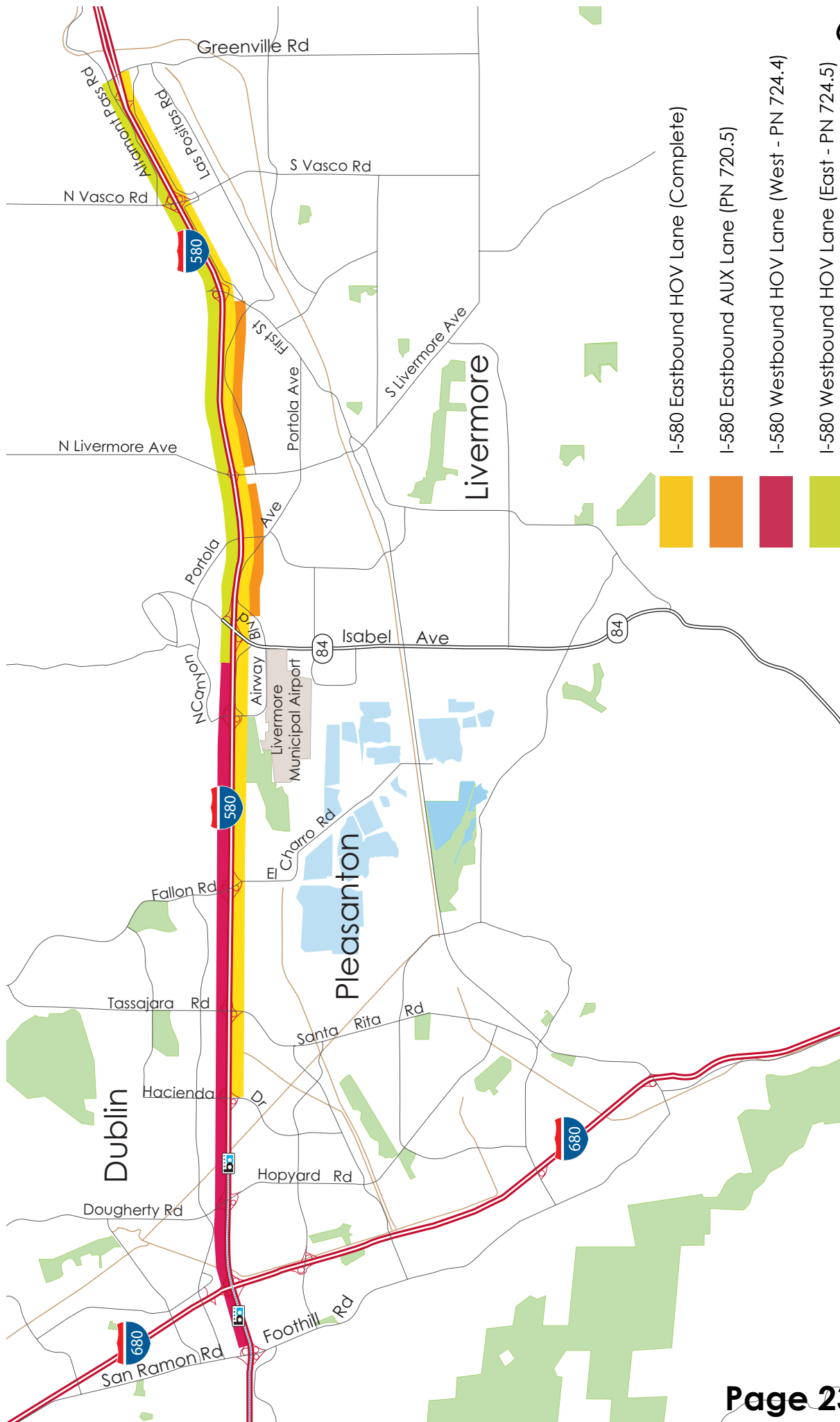
- Continue to work with Caltrans to complete an Operations and Maintenance (O&M) Agreement by spring 2015

FUNDING AND FINANCIAL STATUS

The total project cost of the combined Eastbound and Westbound I-580 Express lane project is \$55 million, and is fully funded with a combination of federal, regional and local fund sources.

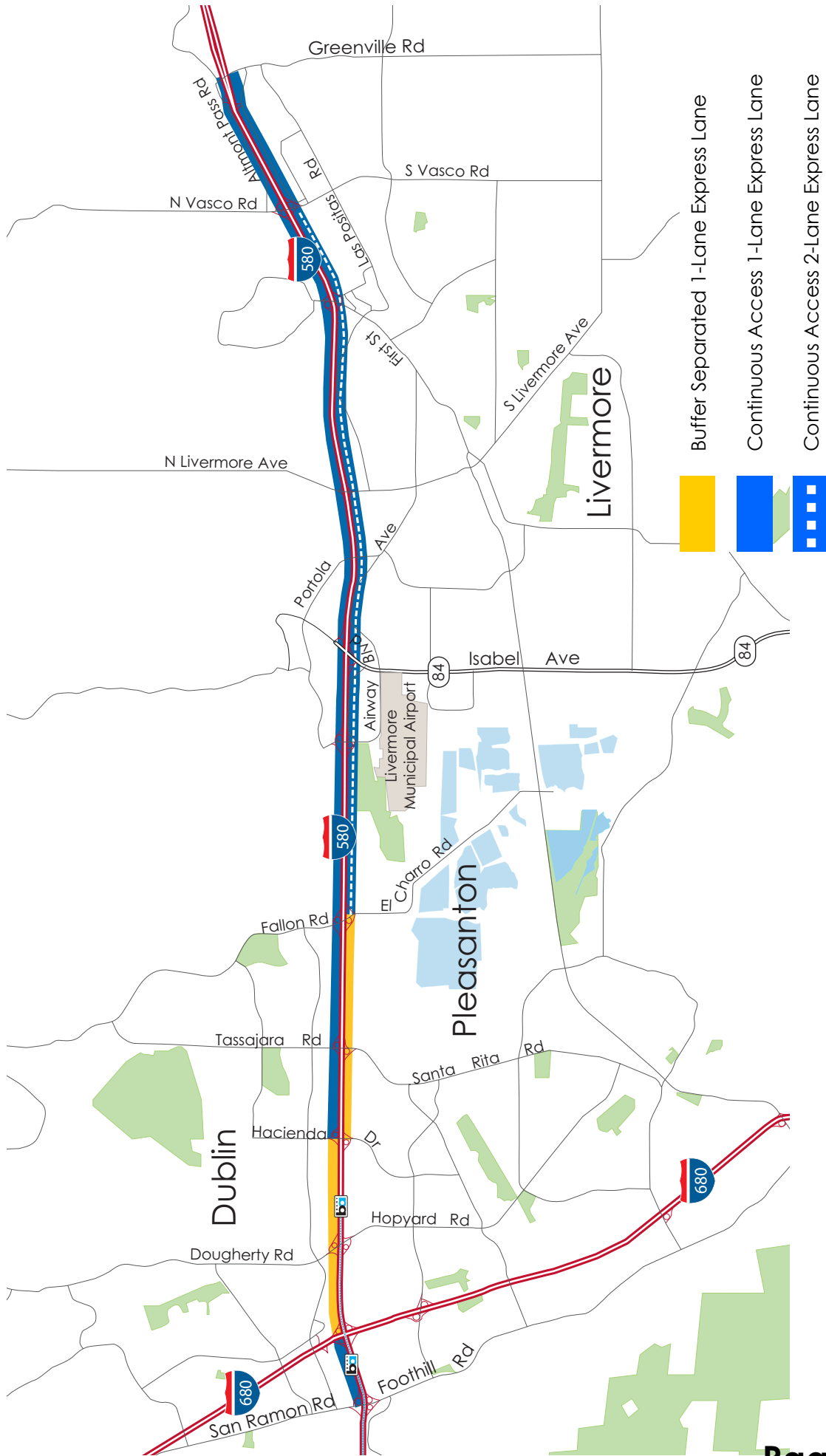
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I-580 Corridor HOV Lane Projects - Location map



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I-580 Express Lane Projects Location map



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Memorandum

6.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

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

RECOMMENDATION: Receive an update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.

Summary

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

Since the last update on October 6, 2014, the Alameda CTC reviewed one Draft Environmental Impact Report (DEIR). Comments were submitted on this document and the comment letter is included as attachment A.

Fiscal Impact: There is no fiscal impact.

Attachments:

- A. Comments on Coliseum City Specific Plan DEIR

Staff Contact

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

[Matthew Bomberg](#), Assistant Transportation Planner

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October 16, 2014

Devan Reiff
City of Oakland Strategic Planning Division
250 Frank H. Ogawa Plaza
Suite 3315
Oakland, CA 94612

SUBJECT: Response to Draft Environmental Impact Report for Coliseum City Specific Plan

Dear Mr. Reiff,

Thank you for the opportunity to comment on the Draft Environmental Impact Report (DEIR) for the Coliseum City Specific Plan. The Project area covers approximately 800 acres bounded by 66th Avenue to the north, San Leandro Street on the east, Hegenberger Road on the south, and San Leandro Bay and the Oakland International Airport to the west. The Specific Plan calls for up to three new sports venues (a new football stadium, baseball park, basketball arena and multi-purpose events center), an intermodal transit hub adjacent to the current Coliseum BART station, and an elevated pedestrian concourse that runs from the BART station to the sports-related entertainment district (with retail, restaurants, and hotels) and mixed-use residential neighborhood, residential transit-oriented development to the east of San Leandro Street, and extends to the west side of I-880 and the Oakland Airport Business Park area near the San Leandro Bay waterfront. The remainder of the Project Area is envisioned to be developed over the longer term and could include a residential mixed-use district; a science and technology district that includes developments ranging from office to research and development, to production and support, to logistics and airport-related uses; a possible new bay inlet along the waterfront; a potential link from the Coliseum BART station; and habitat restoration.

The Alameda County Transportation Commission (Alameda CTC) respectfully submits the following comments:

Comments on the Specific Plan:

- Event-based Transportation Demand Management (TDM) is critical to enabling the Coliseum City to develop at a much higher density. The Specific Plan proposes to encourage sports teams to provide ad hoc transit between the game venues and other transit stations (Policy 5-48). This policy should be strengthened beyond merely “encouraging” provision of such services. Further, many other TDM and parking strategies aside from shuttles/ad hoc transit should be considered in the context of events (e.g. setting aside parking for carpools, regional traveler information, operation/use of carpool lanes, valet bicycle parking, etc.). The Specific Plan mentions many such strategies elsewhere, but could be greatly strengthened by articulating which might be fruitful in an event context as well as what partners would be needed. The DEIR also offers some further details on event TDM (Mitigation Measure Trans-80), and this information should be reflected in the Specific Plan.

- The Specific Plan proposes a new streetcar line in the Coliseum City area. Any new proposals related to new transit lines and introduction of new transit technologies should be fully vetted with AC Transit and BART to ensure that services are complementary and to ensure that questions of who would fund and operate such services are addressed, as well as how intermodal connections are defined.
- The cost estimates included in Chapter 7 do not include any costs related to establishing the Transportation and Parking Management Agency. The cost of establishing and operating this entity should be reflected.
- The Specific Plan should define the strategy related to phasing of the build-out of the Coliseum City plan area and consider interim improvements or services that may be needed for a phased implementation. The Specific Plan notes that Sub-Area A should proceed first and that subsequent Sub-Areas should “allow for logical and cost-effective construction and extension of infrastructure.” One issue from a transportation perspective is that much of the Specific Plan area is on the west side of Interstate 880 while the Coliseum BART station is on the east side. While the Specific Plan calls for implementing improved bicycling and walking connections between the BART station and Sub-Areas B, C, D, and E, there may not be a sufficient level of development to support these significant infrastructure upgrades until the later stages of build-out. As such, the Specific Plan should consider whether strategies like shuttles or shorter-term improvements to existing connections across the freeway are needed, so that initial developments in Sub-Areas B, C, D, and E do not face a significant barrier to multi-modal access between the BART station and these Sub-Areas.

Comments on the DEIR:

- The DEIR assess impacts to operations on freeway and arterial segments of the Metropolitan Transportation System (MTS) network and notes that many such segments will operate at LOS F or see a decline in volume/capacity ratio of 0.03 or more in 2020 or 2035 (Impacts Trans-76 and Trans-78). The DEIR notes that the Specific Plan incorporates a number of measures to encourage walking, biking, and transit, including at TDM program, but claims that “the effectiveness of these policies and strategies on reducing the Project vehicle trip generation cannot be accurately estimated.” There is a wide ranging body of literature evaluating the effectiveness of different TDM measures under different circumstances (Note the 2013 Alameda County Congestion Management Program references many such studies in Appendix G1) that could be considered for this project. Further, because the Specific Plan will establish a TPMA which will monitor and adjust strategies over time, the DEIR should reconsider whether TDM measures provide sufficient mitigation for some segments, rather than dismissing congestion on arterials and freeways as significant and unavoidable.
- The DEIR assess transit travel time impacts for AC Transit routes 45, 73, and 98 which provide service within the Plan Area. The analysis shows that travel times for some routes would increase as much as 23 percent (e.g. 45 westbound in the PM peak). Such an increase is significant for passenger utility and will increase operating costs to provide bus transit service in the Plan area. As such, more specific ways to mitigate the increase should be identified. The DEIR discusses bus stop relocation and bus bulb outs very broadly; this analysis should be refined to identify specific intersections where such treatments are needed.
- The DEIR does not analyze impacts to transit travel time outside of the Plan area, despite the fact that the project will generate significant traffic coming to and from the Coliseum City area

(and declares dozens of traffic circulation impacts outside the Plan area). The DEIR should explain the rationale for selecting only certain segments of certain routes for analysis.

Thank you for the opportunity to comment on this DEIR. Please contact me at (510) 208-7405 or Matthew Bomberg of my staff at (510) 208-7444 if you have any questions.

Sincerely,



Tess Lengyel
Deputy Director of Planning and Policy

cc: Matthew Bomberg, Assistant Transportation Planner

file: CMP/Environmental Review Opinions/2014

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Memorandum

6.4

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Alameda CTC's Comprehensive Investment Plan Project Selection Methodology

RECOMMENDATION: Approve Alameda CTC's Comprehensive Investment Plan Project Selection Methodology.

Summary

In March 2013, Alameda CTC adopted a Strategic Planning and Programming Policy to consolidate existing planning and programming processes to improve the efficiency and effectiveness of future policy decisions on transportation investments in Alameda County. This policy would result in the integration of existing planning and programming practices performed by Alameda CTC into a single streamlined strategic planning and programming document that identifies short and long-term transportation solutions that meet the vision and goals established in the Countywide Transportation Plan (CTP). The vehicle document to implement this policy is the development of a Comprehensive Investment Plan (CIP) that translates long-range plans into short-range implementation by establishing a list of short-range (5-year period) priority transportation improvements to enhance and maintain Alameda County's transportation system.

In October 2014, the Commission adopted the CIP's policy principles, development process and five-year programming fund estimate of just over \$1.5 billion. As the next step of the CIP development process, this memorandum introduces the CIP's project selection methodology. An objective evaluation process will be used to formulate programming recommendations and financing decisions. The selection methodology will include a three phase approach of 1) Project/Program Identification and Screening, 2) Project and Program Evaluation, and 3) Countywide Prioritization Assessment.

This methodology enables decision makers to have a basis for choosing the most effective projects and programs to fund based on implementation readiness, needs/benefits, and countywide significance. Throughout the process, Alameda CTC will collaborate with local jurisdictions to identify and prioritize projects and programs from the Countywide Transportation Plan, countywide modal plans, and local plans.

Discussion

Alameda CTC's CIP integrates existing planning and programming practices performed by the agency into a single concerted planning and programming effort, where feasible and appropriate. The CIP is a programming document that strategically invests public funds under Alameda CTC's purview over a five-year period, fiscal year 2015/16 through 2019/20. It replaces multiple planning and programming efforts, at both the local and countywide level, to create a comprehensive near-term transportation planning and programming tool that local agencies and Alameda CTC can use to better direct their staffing and financial resources.

Additionally, a two-year allocation plan will be developed to allocate funds to project sponsors during the first-two years of the CIP. The allocation plan will tie directly into Alameda CTC's annual budgetary process to facilitate cash-flow distributions and financing strategies. The two-year allocation plan will also provide project sponsors with a definitive funding schedule to assist them in preparing their local capital program budgets. Attachment A provides an overview of the CIP development process from inventory development and screening, project and program evaluation, to adoption of the final prioritized programming document.

Over the five-year CIP, Alameda CTC will be responsible for just over \$1.5 billion for capital projects and programs investments, which includes Measure B/Vehicle Registration Fee Direct Local Distributions, allocations to 2000 Measure B Capital Projects, 2014 Transportation Expenditure Plan allocations, and other discretionary fund sources. Alameda CTC will fund three types of investments: 1) capital projects (results in a built infrastructure), 2) programs (operations, maintenance and education), and 3) plans/studies. In order to strategically program funds countywide, Alameda CTC will perform a multi-step selection analysis that will identify improvements that can be delivered to the public promptly and cost-effectively.

CIP PROJECT SELECTION METHODOLOGY

In order to implement a prioritization system, Alameda CTC will examine the constraints associated with project/program schedules (both in terms of development and synchronization to funding availability), project categories, and funding eligibilities. Attachment B diagrams the CIP Project Selection Methodology.

The CIP Project Selection process will include the following three phases:

1. Phase 1: Projects/Programs Inventory Identification/Eligibility Screening
 - a. Alameda CTC will identify projects and program inventories from the CTP, countywide modal plans, short- and long-range transportation plans, and local planning documents.

- b. The inventory will be screened for eligible projects and programs that are ready to be implemented within the five-year CIP window based on schedule, a credible funding plan, and local prioritization.
- c. Projects and programs will be separated into categories (see Attachment B).
- d. Projects and programs will be sorted by phases within their designated categories and their eligibility to receive different types of funding will be identified. Projects and programs will be assessed for eligible funding sources to ensure they meet funding requirements. Alameda CTC's funding recommendations will be with the goal of funding a project phase by phase so that the project can progress from development to construction/delivery.
- e. Projects and programs outside the five-year period will be considered for future implementation in subsequent CIP cycles.

For the first Alameda CTCs CIP, staff will work with agency sponsors to obtain additional information and verify project cost estimates, schedules, and funding plans for local priority projects and programs.

2. Phase 2: Project/Program Evaluation

Based upon the list developed in Phase 1, Alameda CTC will prioritize projects relative to each other in defined category types.

- a. Projects will be evaluated against the same category of projects (i.e. transit projects will be evaluated against transit projects, road projects against road projects, etc.). This approach will provide a balanced prioritization process that compares similar project types to one another. Attachment C includes a summary of CIP categories and their sample project types.
- b. Projects specifically named in expenditure plans will be separated from those seeking discretionary funding and will be evaluated separately with different sets of criteria approved by the Commission.
- c. Project selection criteria will be based on traditional programming principles, including but not limited to project readiness, needs/benefits, and matching funds. The project selection criteria will be presented to the Commission beginning in January 2015.
- d. Based on their scoring assessment, projects and programs will be evaluated and arranged into three tiers within their respective categories (high, medium and low priority). This sorted list will then move into the third phase of evaluation.

3. Phase 3: Countywide Prioritization Assessment

The final step in the project selection process will examine the top tiers of each category from the Phase 2 scoring to strategically program the available CIP funds to achieve countywide goals and priorities.

- a. Alameda CTC will perform a systematic examination across all of the categories to identify financial strategies, geographic and modal equity, and synergies (co-benefits) between proposed improvements.
- b. Alameda CTC will examine opportunities to promote the timely delivery of projects and programs, and leverage local funds.
- c. Programming recommendations will be constrained by the total available funds within the five-year CIP cycle and by the eligibility of projects and programs to receive different fund sources.

Projects and programs outside Alameda CTC's programming availability in the five-year CIP will be considered for inclusion in future CIP updates. In subsequent comprehensive biennially CIP updates, Alameda CTC will reassess the CIP development process, prioritization methodology and allocation process for consistency with any updated policies and goals. Alameda CTC will update and amend the CIP accordingly to account for project/program changes resulting from schedule modifications, changes in priorities, new policies, regulations or laws, and funding adjustments.

GENERAL FUNDING GUIDELINES

The CIP will develop a pipeline of transportation investments that are funded according to available revenues and project delivery schedules. To be eligible for inclusion in the CIP, projects and programs must develop and adhere to the following guidelines.

1. Projects and Programs Screening

- a. Project, program and plan proposals shall be consistent with the adopted countywide vision and goals and provide transportation benefits in Alameda County.
- b. The five-year delivery plan must contain a clearly defined scope, budget, and schedule that are consistent with the CIP timeframe for funding of specific phases.
- c. Funds will be allocated by phase, except for smaller projects as applicable, or unless an exception is granted by the Commission for projects where multi-phased implementation can demonstrate cost and time savings.
- d. Funds will be allocated separately for each project phase. Certain phases have prerequisite activities that must be complete before funds for the subsequent phase can be allocated. For example, funds will not be allocated for Right of Way Acquisition until the environmental clearance is complete (except under special circumstances). Other phases such as Final Design and Right of Way typically occur concurrently. The CIP will include allocations for the following phases:

1. Capital Project Phases:

- a. Planning/Scoping/Conceptual Engineering
- b. Preliminary Engineering/Environmental Studies
- c. PS&E/Final Design
- d. Right-of-Way Acquisition and Engineering
- e. Utility Relocation

- f. Construction Capital and Support
 - g. Equipment/Rolling Stock Acquisition
 - h. Startup Facility Operations
 - i. Project Close-out
- 2. Program Phases:
 - a. Feasibility
 - b. Implementation/Operations/Maintenance
 - c. Evaluation
 - d. Monitoring
- 3. Planning Phases:
 - a. Scoping/Feasibility
 - b. Plan Development
 - c. Detailed Plan Implementation Strategies
 - d. Plan Evaluation
- e. Certification of Commitment: This includes clearly defining external funding commitments and demonstrating the local agency's commitment to using those funds; demonstration of the agency's support for the project/program by its governing board; and demonstration of committed agency personnel to fulfill completion of project, program or plan as scheduled. Costs and schedules are important elements of project evaluation and selection for the CIP, Alameda CTC will hold fund recipients responsible for implementation as defined in the detailed scope and schedule submitted to the Commission. Monitoring and adjustments to allocations are described below.

2. Projects and Programs Evaluation

- a. Projects and programs will be evaluated through Alameda CTC approved selection criteria (to be brought to the Commission in January 2015) for each type of funding (capital project, program, plan), and by each category of funding.
- b. Alameda CTC's funding will support all phases of project and program development, but will not fund any phases retroactively or supplant other funds already identified for a particular phase.
- c. Funding decisions will be based upon criteria including, but not limited to, demonstrated readiness (committed Maintenance of Effort, credible funding plan, and schedule) to commence work within the established schedule.
- d. The ability of project sponsors to deliver committed projects and programs will be taken into consideration when examining programming and allocation, including the ability to deliver per Alameda CTC timely use of funds policies for projects and programs. Sponsors are expected to inform Alameda CTC of any issues affecting project or program delivery and costs.
- e. Project and program phases are expected to fulfill work products described in the scope of work within the stated schedule and budget. Project sponsors will be evaluated accordingly for their ability to implement the project or program as proposed.

- f. Alameda CTC will consider prioritizing projects and programs that have committed funds subject to timely use of funds provisions to ensure that such funds are retained in Alameda County.

3. Agreements and Reporting

- a. Within three months of CIP approval, all sponsors of projects included in the CIP must submit a Request for Project Funding Agreement. Recipients are responsible for fulfilling all requirements mandated by executed funding agreements.
- b. Specific project and program guidelines will be developed and included in Master and Project/Program-specific funding agreements.
- c. Semi-annual reporting on progress made toward implementation of the project, including deliverables, commitment status of supplemental funds identified in the funding agreement and adherence to the adopted project schedule.
- d. Once a project funding agreement is executed, project sponsors are required to report changes to the project scope, schedule, cost and funding as soon as the required changes are identified by the project sponsor for the Commission's consideration. Reports of changes such as budget increases, schedule delays, and other factors that may represent an impediment to successful project delivery in accordance with the agreed upon scope, schedule, cost and funding must be accompanied by a Corrective Plan detailing the project sponsor's strategy to deliver the project or program within the proposed new parameters. The Alameda CTC must accept the plan before future programming, allocations and reimbursements will be approved.
- e. Amendments to account for corrective plans, as described above, new revenue, or other policy and/or legislative requirements may be made by Alameda CTC.
- f. Timely use of funds requirements will be applied to all allocations and will be detailed in funding agreements.
- g. To the maximum extent possible, other fund sources committed in a funding plan will be expended prior to sales tax or Vehicle Registration Fee funds allocated to the project or program.
- h. Retroactive reimbursements and indirect costs are not allowed (for sales tax and Vehicle Registration Fee funds). Only expenses directly related to the delivery of the project or program as defined in the funding agreement are allowed.
- i. A final delivery report must be submitted within six months of the completed project (and required prior to final payment). The final report must describe the completed scope of work, the final budget, including spend down of all identified fund sources in the funding plan and any performance outcomes included in the funding agreement.
- j. Audits of expenditures and performance measures are required as detailed in specific funding agreements. Alameda CTC reserves the right to perform audits to confirm whether costs submitted for reimbursement are consistent with the provisions set forth in the applicable funding agreement(s). The audit may also

include review of deliverables and outcomes to determine if they are consistent with the project scope and schedule in the funding agreement.

4. CIP Development and Updates

- a. The CIP will be periodically updated to address changing transportation needs, revenue projections, available funding sources, and policy changes. Every year, the CIP will update financial projections and will be adopted in coordination with the Alameda CTC annual budget. Every two years, a comprehensive update of the CIP will be conducted to provide an opportunity to include new projects and programs. Alameda CTC will monitor CIP investments through performance feedback mechanisms built into the CIP and other countywide planning processes.

Next Steps

Alameda CTC will bring components of the CIP for consideration to the Commission over the coming months. Each approval step will feed into the development and finalization of the following components of the CIP as detailed in the schedule below.

Month	No.	Task
October 2014	1.	Approve DRAFT CIP guiding principles, development process, and programming fund estimate
Nov/Dec 2014	2.	Approve DRAFT Project Selection Methodology
January 2015	3.	Approve FINAL Project Selection Methodology
	4.	Approve DRAFT Selection Criteria
February 2015	5.	Approve FINAL Selection Criteria
March 2015	6.	Approve DRAFT Project/Programs Inventory Recommendations
April 2015	7.	Approve DRAFT CIP Document including prioritization recommendations and two-year allocation plan
May 2015	8.	Approve FINAL CIP Document including prioritization recommendations and two-year allocation plan

Fiscal Impact: There is no fiscal impact.

Attachments

- A. CIP Development Process Overview
- B. CIP Project Selection Methodology Flow Diagram
- C. CIP Project Categories
- D. CIP PowerPoint Presentation

Staff Contact

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

Comprehensive Investment Plan
Development Process Overview

PHASE 1

INVENTORY IDENTIFICATION / ELIGIBILITY SCREENING

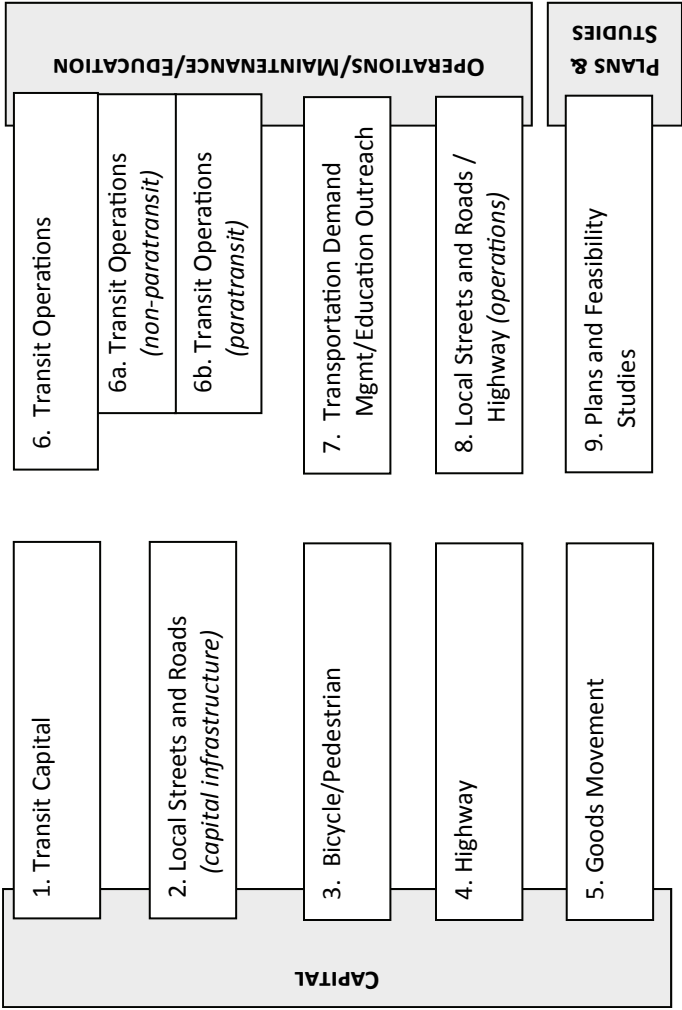
30-YEAR COUNTYWIDE NEEDS IDENTIFICATION

Projects and Programs Needs Identification

Countywide Transportation Plan
2000 Transportation Expenditure Plan
2014 Transportation Expenditure Plan
Modal Plans and Studies (*as available*)
Local agency input

ELIGIBILITY SCREENING

Sort Inventory into categories. Determine funding eligibility and screen projects/programs for the five-year CIP window.



PHASE 2

EVALUATION & PRIORITIZATION

PROJECT/PROGRAM EVALUATION

Apply Evaluation Criteria

Needs Benefits
Project Readiness
Operational Sustainability
Matching/Leveraging Funds
Other Funding Criteria

**Top Tier Priority
Projects and Programs
Inventory**
(by Category)

PHASE 3

COUNTYWIDE PRIORITIZATION ASSESSMENT

COMPREHENSIVE ASSESSMENT

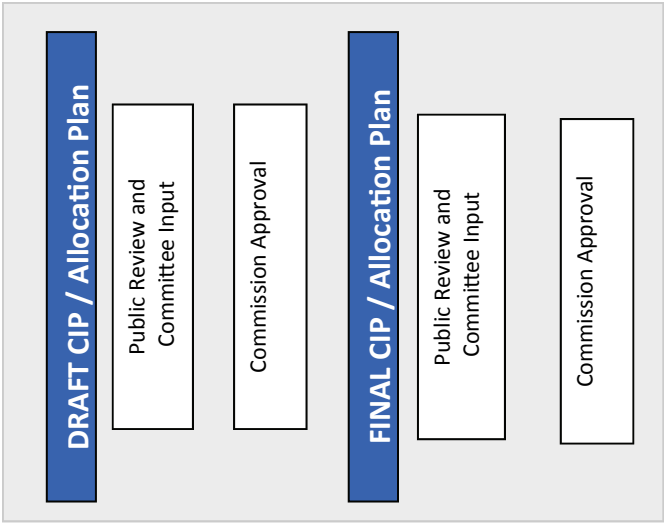
Develop a “pipeline” of projects/ programs to implement by phase

Examine modal and geographic equity

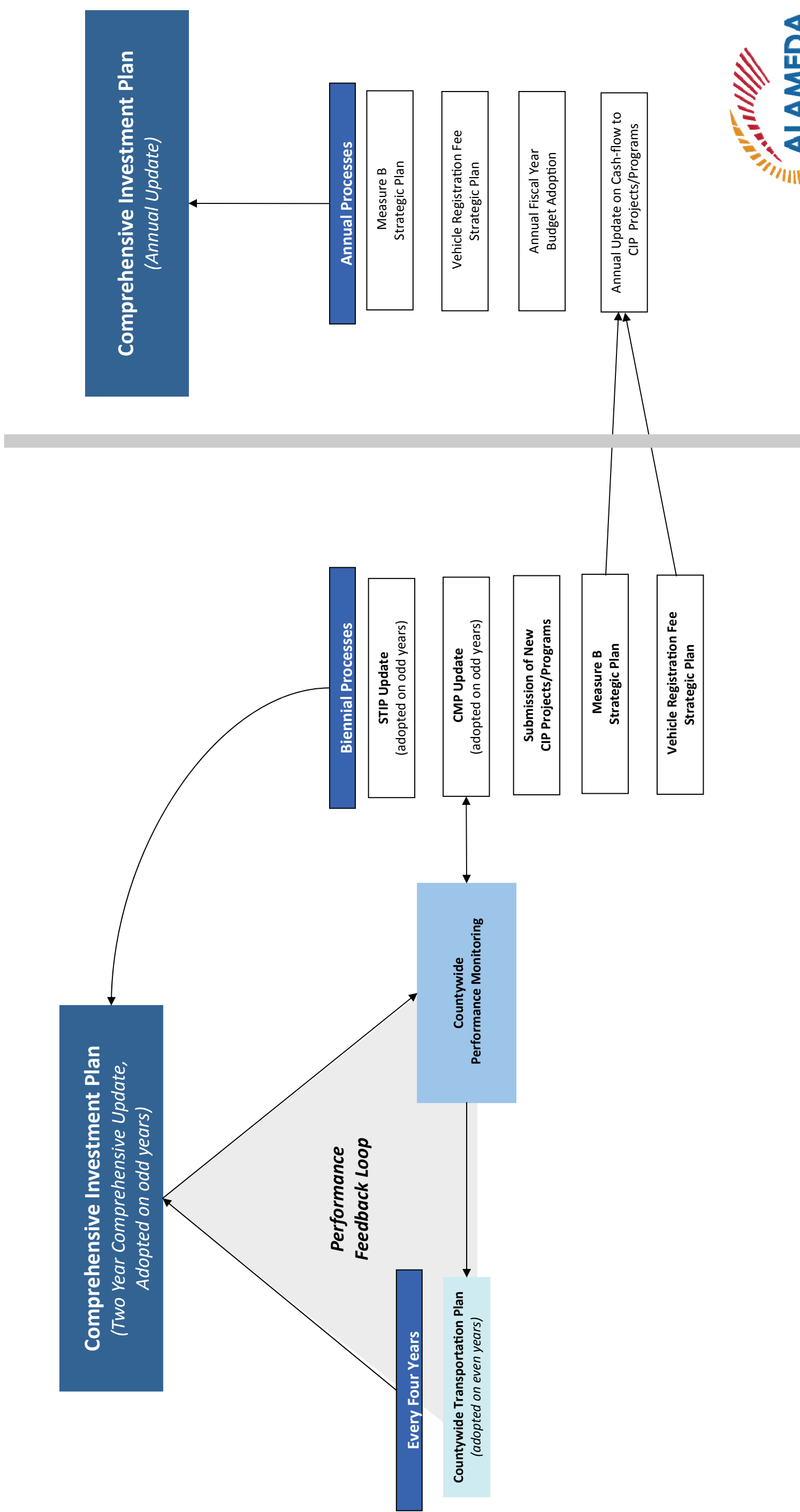
Consider synergy (co-benefit) between projects/programs

Maximize investments within available funding streams

ALLOCATION RECOMMENDATIONS



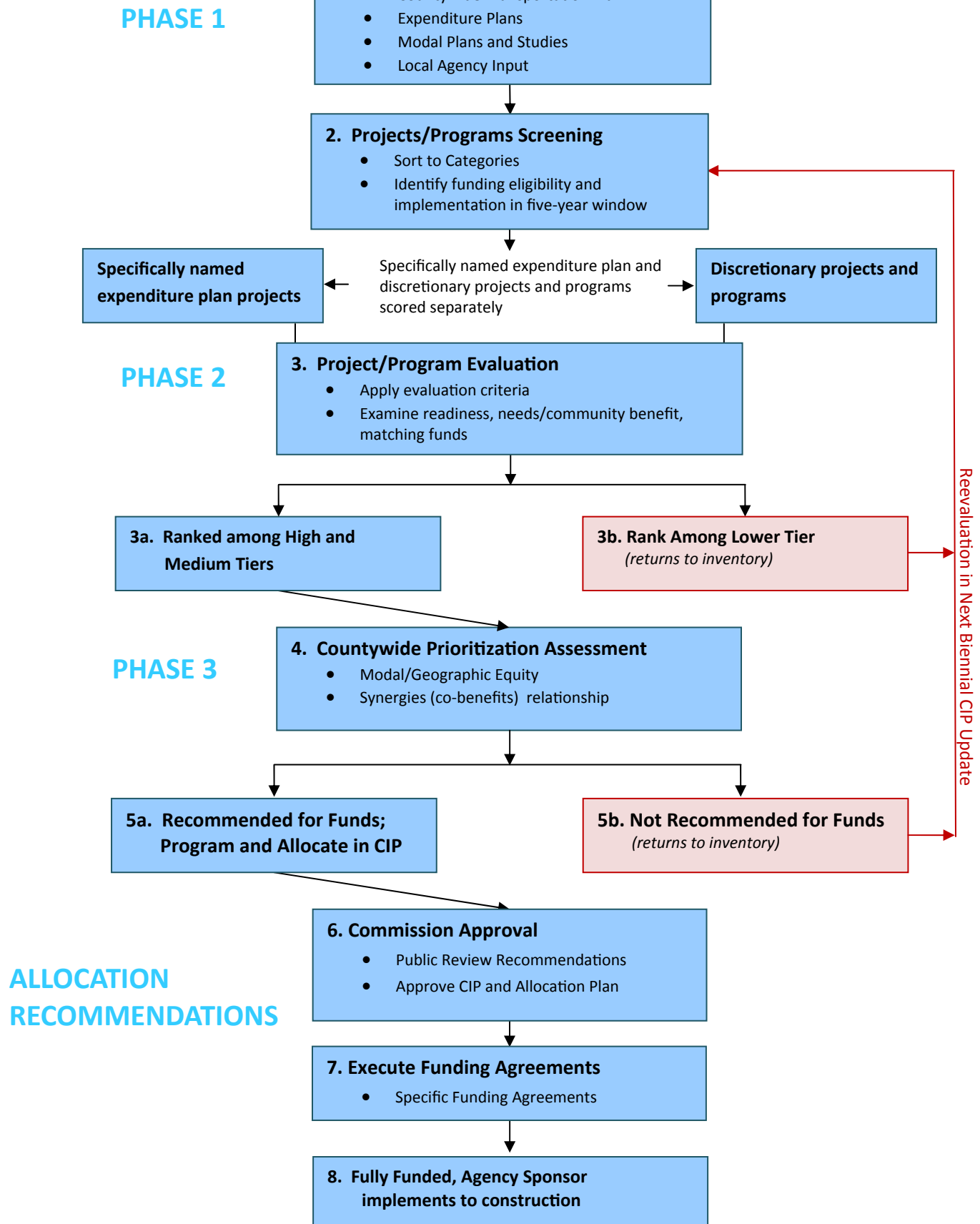
Comprehensive Investment Plan Integrated Planning and Programming Processes





COMPREHENSIVE INVESTMENT PLAN PRIORITIZATION IMPLEMENTATION PROCESS

6.4B



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Comprehensive Investment Plan Categories and Sample Project Types

Updated: October 17, 2014

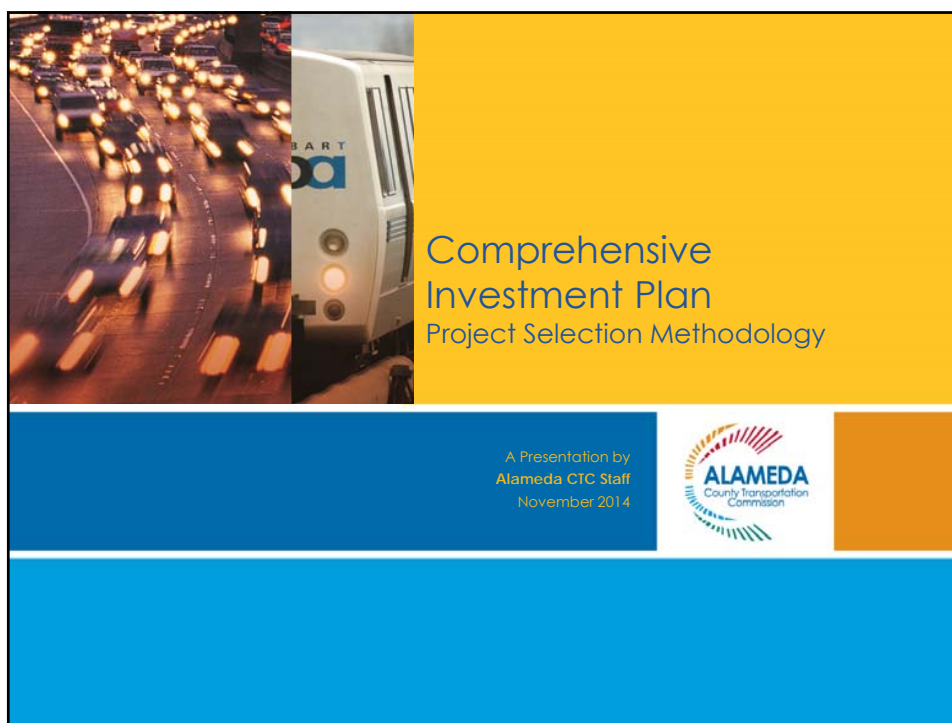
CAPITAL PROJECTS			
No.	Category	Example Project Types	Example Projects
1.	Transit	<ul style="list-style-type: none">Capital rehabilitationCapacity expansionCapital replacementSafetyStationsCommunicationsEnvironmental/Greening Capital Project	<ul style="list-style-type: none">AC Transit – EB Rapid Transit Bike/Ped ElementsBerkeley – Bart Plaza & Transit Area ImprovementsFremont – City Center Multimodal ImprovementsOakland – 7th W. Oakland Transit Village Phase IIUnion City - Station Improvements & RR XingSolar Panels, greening vehicles, waste disposal, etc.East Bay BRTIrvington BART StationVehicle Replacement
2.	Local Streets and Roads	<ul style="list-style-type: none">Major Arterial Performance Initiative ProgramRoadway Safety/Traffic CalmingGrade separationsTraffic SignalsITS/CCTV Installations and UpgradeComplete StreetsSignageCoordination with freeways (improving connections to ramps)Roadway/Pavement RehabilitationSlurry and Chip Seals	<ul style="list-style-type: none">Alameda County- Patterson Pass Road Safety ImprovementsAlameda County – Pavement RehabilitationAlameda County – Vasco Road Safety ImprovementsAlameda – Local Streets and Roads (O&M)Berkeley – Ashby/State Route 13 Disaster ResilienceBerkeley – Hearst Ave. Complete StreetsDublin – Iron Horse bicycle and pedestrian transit routeOakland – Non-Capacity Increasing Road RehabilitationOakland – Lakeside Green Street ProjectOakland – Peralta Green Street ProjectOakland – MLK Way ImprovementsSan Leandro – Traffic Signal Systems Upgrade
3.	Bicycle/Pedestrian	<ul style="list-style-type: none">Infrastructure support facilitiesMaintenance	<ul style="list-style-type: none">Albany – Buchanan/Marin BikewayAlameda – Cross Alameda TrailBerkeley – Shattuck Reconfiguration & Ped SafetyEBRPD – Gilman to Buchanan Bay TrailEmeryville – Christie Ave Bay Trail Gap ClosureHayward – Main St. Complete StreetsPleasanton - Microwave Ped & Bike DetectionOakland – Bike Lane Lake Merritt BART BikewaysSan Leandro – W. Juana Improvements

No. Category		Example Project Types	Example Projects
4.	Highway	<ul style="list-style-type: none"> Interchange improvements Ramp metering Sound walls Bridge improvements Environmental mitigation Express lanes 	<ul style="list-style-type: none"> Multiple – Interchange Improvements Multiple – Congestion Relief Multiple – Safety Improvements North - I-80 Aquatic Park Soundwall Central – Sound walls Central Alameda County Freeway Study Multiple – Soundwall
5.	Goods Movement	<ul style="list-style-type: none"> Improvements for goods movement by truck Truck-vehicle parking Truck/port/freight operations Airport Facilities Quiet Zone Improvements <p><i>Note: Road or highway access improvements are will be evaluated under local streets and roads or highway categories.</i></p>	<ul style="list-style-type: none"> Port of Oakland improvements Multiple - Truck Parking North Planning Area – Shore Power for ships at Port of Oakland Woodland – 81st Avenue Industrial Zone Street Reconstruction Oakland – Truck Facilities, Truck Route Rehabilitation North – Truck Services at Oakland Army Base
6a.	Transit Operations (non-paratransit)	<ul style="list-style-type: none"> Operations and Maintenance Service expansion Transit priority measures Congestion Relief Programs Fare incentives Shuttle Operations 	<ul style="list-style-type: none"> AC Transit – Line 51 Corridor GPS Transit Signal Priority Alameda – Estuary Crossing Shuttle Oakland – Broadway Shuttle LAVTA – Rapid Route Operations LAVTA – Route 12v, 20x and 70x Operations Lifeline Transit passes/incentives
6b.	Transit Operations (Paratransit)	<ul style="list-style-type: none"> ADA Mandated Services Paratransit Services <ul style="list-style-type: none"> Travel Training/ Mobility Management Volunteer Drivers Programs Shuttle Operations Same Day Taxi Services 	<ul style="list-style-type: none"> CIL – Mobility Matters Emeryville – Door-to-Door Shuttle Fremont – Travel Training & Mobility Management Hayward – Central County Taxi Program Oakland – Taxi-up and Go Pleasanton – Downtown Route Shuttle

PROGRAMS

No.	Category	Example Project Types	Example Projects
7.	Transportation Demand Management/ Education Outreach	<ul style="list-style-type: none">Fare incentives – student bus passesGuarantee Ride Home ProgramTechnical AssistanceGuaranteed Ride HomeSafe Routes to School (SR2S)Safe Routes to Transit (SR2T)Variable parking pricingParking management	<ul style="list-style-type: none">San Leandro – Downtown Parking ManagementBerkeley – Downtown Berkeley Transit Center ParkingEmeryville – Parking ManagementOakland – Parking ManagementPleasanton – Park and RideMultiple – Transit Card Programs or Eco-passCrossing Guard ProgramSafe Routes to School ImplementationNeighborhood Traffic Safety ProgramOutreach to schools/students
		<ul style="list-style-type: none">Traffic Signal OperationsITS Maintenance and OperationsMaintenance and OperationsBridge OperationsHighway Operations	<ul style="list-style-type: none">Alameda County – Estuary Bridge OperationsOakland – Traffic Signal OperationsOakland - ITS System and Signal OperationsAlameda CTC - Express Lane (I-680 O&M)
9.	Plans and Studies	<ul style="list-style-type: none">Planning studies and implementationFeasibility studiesBicycle and Pedestrian Master PlansModal Plans/StudiesSupports Transit Oriented Development (TOD) and Priority Development Areas (PDA) through multimodal improvements and CEQA mitigation	<ul style="list-style-type: none">Berkeley – San Pablo Avenue Public ImprovementsBerkeley – TOD Access InfrastructureEBRPD – Niles Canyon Regional Trail Feasibility StudyDublin – Iron Hour Trail/BART Feasibility StudyDublin – Amador Plaza Road Complete StreetsHayward – Bike/Ped Master Plan UpdateLivermore - Segment 1 of Iron Horse TrailLivermore – Regional Air Quality and Climate Protection StrategiesOakland – Coliseum BART CorridorOakland – Lake Merritt Chanel Bike/Ped BridgePleasanton – Bike/Ped Bridges Feasibility StudyPiedmont – Bike/Ped Master PlanPleasanton – I-580 Foothill Road InterchangeUnion City – Decoto Road and RR Xing
		PLANS AND STUDIES	

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CIP Building Blocks

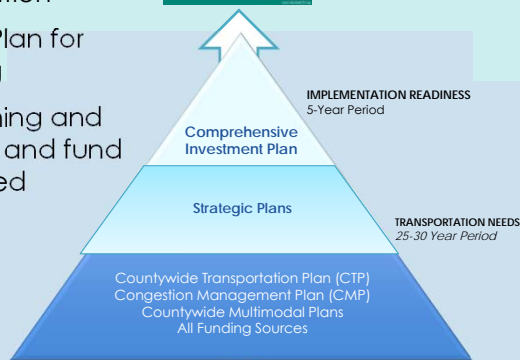
- In October 2014, the Commission approved the CIP's Guiding Principles, Development Process and Programming Fund Estimate
 - *Over \$1.5 billion available in from federal, state, regional and local funding sources under Alameda CTC's programming responsibility*
- Next step is to examine Project Selection Methodology



Comprehensive Investment Plan (CIP) Purpose

What is the purpose of the CIP?

1. Transitions long-range plans into short-range implementation
2. Serves as the Strategic Plan for voter-approved funding
3. Integrates existing planning and programming practices and fund sources into a streamlined strategic document



3

CIP Includes

- Fiscally constrained five-year period *(FY 15/16 through FY 19/20)*
- Two-year Allocation Plan *(FY 15/16 and FY 16/17)*
- All funding sources in one document
 - Defines Direct Local Distribution annual projections
- Prioritization of Capital Projects, Programmatic Capital Projects, and Programs



4

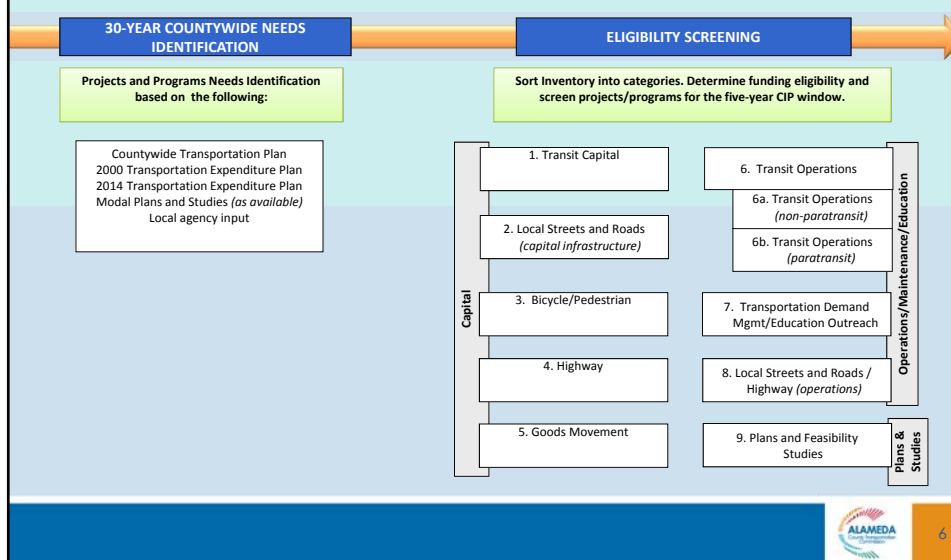
Project Selection Methodology

1. Project/Program Identification and Screening
2. Project and Program Evaluation
3. Countywide Prioritization Assessment



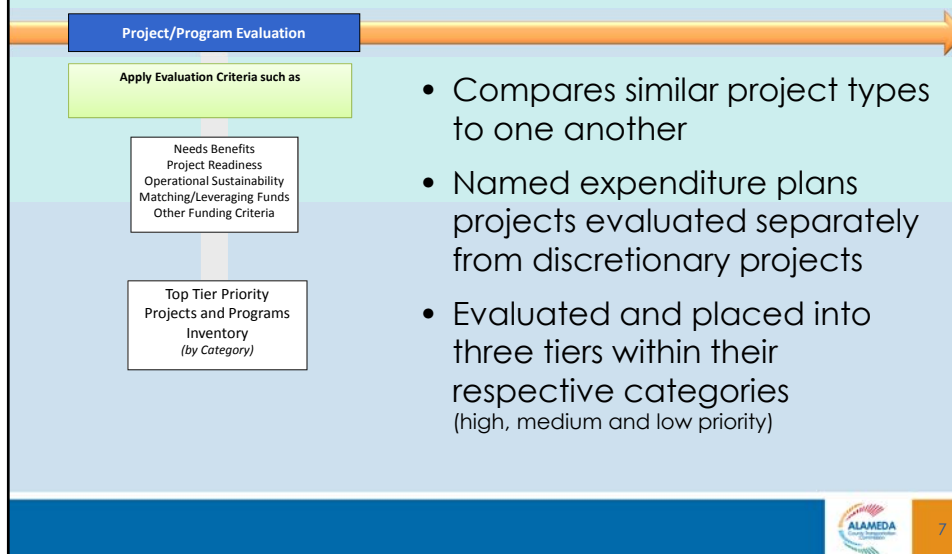
5

Phase 1: Inventory Identification & Eligibility Screening

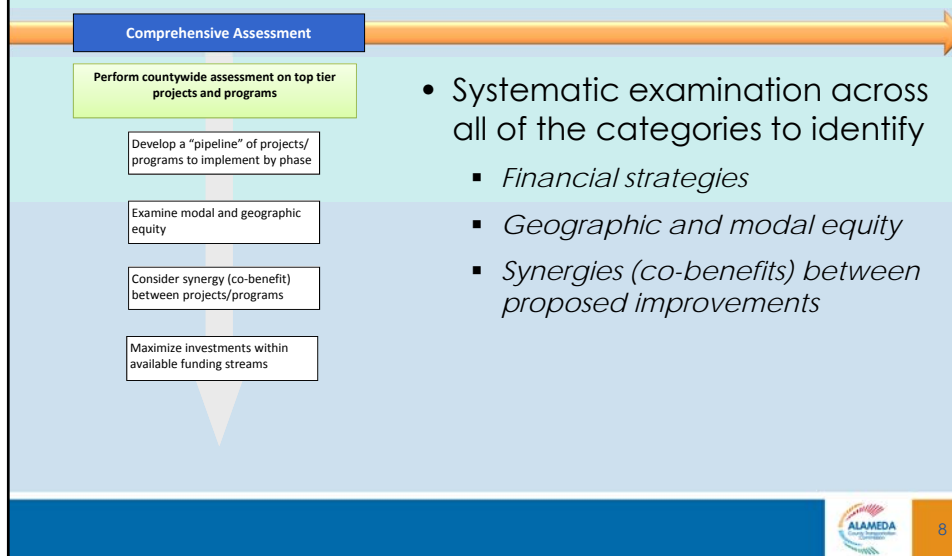


6

Phase 2: Project/Program Evaluation



Phase 3: Countywide Prioritization Assessment



CIP Programming and Allocations

- Fund recommendations will be constrained by
 - *Fund availability within the five-year CIP cycle*
 - *Fund source eligibility of projects and programs*
- Projects and programs not recommended for funding will be considered for inclusion in future CIP updates



9

General Funding Guidelines

1) Projects and Programs Screening

- *Clearly defined scope, budget, and schedule*
- *CIP will fund by phase*
- *Support all phases of project/program development*
- *No retroactive funding or replacement of other funds already identified for a particular phase*
- *Certification of Commitments*
 - *External funding commitments*
 - *Governing body support*
 - *Commitment of staff resources*



10

General Funding Guidelines (cont.)

2) Projects and Programs Evaluation

- *Assess prioritization level within respective category types through Project Selection Criteria (to be presented in January 2015)*
 - Implementation readiness, credible funding plan, committed community support and resources
- *Examine sponsors ability to delivery projects in a timely manner*
- *Prioritize improvements that have committed funds subject to timely use of funds provisions*



11

General Funding Guidelines (cont.)

3) Agreement and Reporting

- *Semi-annual reporting on project status and deliverables*
- *Other fund sources committed in a funding plan will be expended prior to sales tax or Vehicle Registration Fee funds*
- *Final delivery report must be submitted within six months of the completed project (and required prior to final payment)*
- *Audits of expenditures and performance measures are required as detailed in specific funding agreements*



12

General Funding Guidelines (cont.)

4) CIP Development and Updates

- *Every year, the CIP will be updated in coordination with the Alameda CTC annual budget*
- *Every two years, the CIP will be updated comprehensively to enroll new projects and programs*
- *Alameda CTC will monitor CIP investments through performance feedback mechanisms built into the CIP and other countywide planning processes*



13

Next Steps

Month	Task Item
Nov./Dec. 2014	1. Approval DRAFT Project Selection Methodology
January 2015	2. Approve FINAL Project Selection Methodology
	3. Approve DRAFT Selection Criteria
February 2015	4. Approve FINAL Selection Criteria and FINAL Funding Levels
March 2015	5. Approve DRAFT Projects/Programs Inventory Recommendations
April 2015	6. Approve DRAFT CIP Document including prioritization recommendations and two-year allocation plan
May 2015	7. Approve FINAL CIP Document including prioritization recommendations and two-year allocation plan

** schedule subject to change*



14

Summary of ACTAC Comments

1. Support the Timely Use of Funds Requirements
 - *Consider timing issues related to expenditures and contract reimbursements*
2. Support fund exchanges on case-by-case to accelerate projects and to ensure external funds are maximized
3. Consider comprehensive examination of projects with Complete Streets elements spanning multiple categories
4. Process allows committees and public review of DRAFT recommendations in March/April



15

Recommendation

- Approve the Alameda CTC Comprehensive Investment Plan's Project Selection Methodology



16



Memorandum

6.5

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: California Transportation Commission Meeting Summary

RECOMMENDATION: Receive an update on the October 2014 CTC Meeting.

Summary

The October 2014 California Transportation Commission (CTC) meeting was held in Glendale. Detailed below is a summary of two (2) agenda items of significance pertaining to Projects/Programs within Alameda County that were considered at the October 2014 CTC meeting.

Background

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.

Detailed below is a summary of the two (2) agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the October 8, 2014 CTC meeting.

1. Local Bridge Seismic Retrofit Account (LBSRA) / Embarcadero Bridge over Lake Merritt Channel Project

CTC approved a 12-month time extension to the period of contract award for the Embarcadero Bridge over Lake Merritt Channel project. City of Oakland has experienced delays in awarding the project due to bidding issues.

Outcome: Time extension will allow City to re-advertise and award construction contract by early March 2015.

2. Local Bridge Seismic Retrofit Account (LBSRA) / Niles Boulevard over Bay Area Rapid Transit (BART) Project

CTC approved a 5-month time extension to the period of contract award for the Niles Boulevard over BART project. City of Fremont had not awarded a construction contract due to delays receiving approval to hire a construction management firm for the bidding process.

Outcome: Time extension will allow City to re-advertise and award construction contract by end 2014 / early 2015.

Fiscal Impact: There is no significant fiscal impact to the Alameda CTC budget due to this item. This is information only.

Attachments

- A. October 2014 CTC Meeting summary for Alameda County Project / Programs

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Vivek Bhat](#), Senior Transportation Engineer

October 2014 CTC Summary for Alameda County Projects/ Programs

Sponsor	Program / Project	Item Description	CTC Action / Discussion
City of Oakland	Local Bridge Seismic Retrofit Account (LBSRA) / Embarcadero Bridge over Lake Merritt Channel Project	Approval of 12-month time extension to the period of contract award for the Embarcadero Bridge over Lake Merritt Channel project.	Approved
City of Fremont	Local Bridge Seismic Retrofit Account (LBSRA) / Niles Boulevard over Bay Area Rapid Transit (BART) Project	Approval of 5-month time extension to the period of contract award for the Niles Boulevard over BART project.	Approved

http://www.catc.ca.gov/meetings/agenda/2014Agenda/2014_10/000_ETa.pdf

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Memorandum

6.6

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Alameda CTC At Risk Monitoring Reports

RECOMMENDATION: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation Fund for Clean Air (TFCA) monitoring reports.

Summary

The Alameda CTC monitors the projects programmed with State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) County Program Manager funds for compliance with the respective program requirements and provides periodic updates to the Commission. The attached At Risk reports are dated October 31, 2014.

Background

Project sponsors are responsible for meeting the milestone deadlines associated with each of the monitored fund sources. The At Risk reports assign projects to zones of risk based on the status of the monitored activities at the time of the report date. Red zone projects are considered at a relatively high risk of non-compliance with the requirements. Yellow zone projects are considered at moderate risk, and Green zone at low risk. The durations included in the criteria are intended to provide adequate time for project sponsors to perform the required activities to meet the deadline(s). If a project has multiple risk factors that indicate multiple zones, it is listed in the zone of higher risk.

Draft At Risk monitoring reports (Timely Use of Funds, or "TUF" reports) are provided to the Alameda County Technical Advisory Committee (ACTAC) one month ahead of the At Risk reports to allow project sponsors an opportunity to review and provide updates. The STIP and STP/CMAQ TUF reports are based on the information provided to the Alameda CTC's project monitoring team by project sponsors as well as information made available by other funding agencies such as the Metropolitan Transportation Commission (MTC) and Caltrans Local Assistance. For these reports, the Alameda CTC requests project sponsors provide copies of certain documents related to the required activities to verify that the deadlines have been met. The requested documentation may include copies of documents submitted by the sponsor to agencies such as MTC, Caltrans and the

California Transportation Commission (CTC). The TFCA TUF report is based on status information on file with the Alameda CTC.

October 2014 At Risk Monitoring Reports

STIP

The STIP At Risk report (Attachment A) includes projects monitored for compliance with the STIP "Timely Use of Funds" provisions. The criteria for determining the project zones are listed near the end of the report. The risk zone associated with each risk factor is indicated in the tables following the report. Note that for the STIP "Complete Expenditures" deadline, sponsors must provide documentation supported by their accounting department as proof that the Complete Expenditures deadline has been met. The 2014 STIP was approved by the CTC April 2014 and is reflected in the report.

STP/CMAQ

The Federal STP/CMAQ At Risk report (Attachment B) includes locally-sponsored, federally-funded projects monitored for compliance with the requirements set forth in MTC's Regional Project Delivery Policy (MTC Resolution 3606, revised January 2014). Appendix B of the report provides the Resolution 3606 deadlines associated with each of the required activities. Sponsors of STP/CMAQ projects are requested to note the following:

- Projects are to request a Field Review within one year of approval in the Federal Transportation Improvement Program (TIP), but no less than 12 months prior to the obligation deadline of construction funds.
- For funds approved prior to January 22, 2014 and programmed prior to Federal Fiscal Year (FFY) 2016/17, the deadline to submit a request for authorization (RFA) is February 1, 2015 and the deadline to obligate funding (receive E-76 or FTA transfer) is April 30, 2015.
- All other funds, including currently approved in FFY 2016/17 or later and funds approved after January 22, 2014, the RFA deadline is November 1st of the programmed year and the deadline to obligate funding is the following January 31st.
- Projects in the three local federal Safety Programs: Highway Safety Improvement Program (HSIP), High Risk Rural Roads Program (HR3), and Safe Routes to School Program (SRTS) are included in the STP/CMAQ report. As of November 2010, MTC has been applying the provisions of MTC Resolution 3606 to all local safety programs.
- The deadline for submitting the environmental package one year in advance of the obligation deadline for right of way or construction capital funding is tracked and reported, but is not affiliated with a zone of risk.

TFCA

The attached TFCA At Risk report (Attachment C) includes active and recently completed projects programmed with Alameda County TFCA Program Manager funds and monitored for TFCA program compliance. For this report, the 13 projects recently approved for the FY 2014/15 program have been added. Draft funding agreements for these projects are scheduled to be distributed to sponsors in November 2014. A total of 17 projects are in the Red zone with required activities due within four months of the report date. Additionally, there are 20 projects in the Green zone with required activities due in eight months or more.

Fiscal Impact: There is no significant fiscal impact to the Alameda CTC budget expected to result from the recommended action.

Attachments

- A. STIP At Risk Report, dated October 31, 2014
- B. Federal (STP/CMAQ) At Risk Report, dated October 31, 2014
- C. TFCA At Risk Report, dated October 31, 2014

Staff Contacts

[Vivek Bhat](#), Senior Transportation Engineer

[Jacki Taylor](#), Program Analyst

[James O'Brien](#), Project Controls Team

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STIP At Risk Report
STIP-RIP Locally-Sponsored Alameda County Projects
Status Date: October 31, 2014
Red Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
<i>No Red Zone Projects</i>									

End of Red Zone
Yellow Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
1	0081H RIP	Alameda CTC \$47,030	RT 84 Expressway Widening (Segment 2) Con	14/15	Allocate Funds	6/30/15	Y		G
2	0139F RIP-TE	Alameda CTC \$350	Rt 580, Landscaping, San Leandro Estudillo Ave - 141st Con	10/11	Accept Contract	7/26/15	Y	\$350K Allocated 10/27/11 3-Mo Ext for Awd 5/23/12 Contract Awarded 7/26/12	G

End of Yellow Zone
Green Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
3	2100F RIP-TE	Ala County \$1,150	Cherryland/Ashland/Castro Valley Sidewalk Imps. Con	10/11	Final Invoice/Report		NA	\$1,150 Allocated 5/12/11 Awarded Nov 2011 Contract Accepted 5/1/14	R
4	2009Z RIP	AC Transit \$7,995	East Bay Bus Rapid Transit Con	15/16	Allocate Funds	6/30/16	G		G
5	0044C RIP	Alameda CTC \$2,000	I-880 Reconstruction, 29th to 23rd PSE	10/11	Final Invoice/Report		NA		G
6	0081J RIP	Alameda CTC \$12,000	East-West Connector in Fremont Con	18/19	Allocate Funds	6/30/19	G		G

Page 1 of 4

STIP At Risk Report
STIP-RIP Locally-Sponsored Alameda County Projects

Status Date: October 31, 2014

Green Zone Projects (cont.)

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
7	2100K RIP-TE	Alameda CTC \$400	I-880 Landscape/Hardscape Improvements in San Leandro		PSE	09/10	Final Invoice/Report	NA \$400K Allocated 6/30/10 12-Mo Ext App'd April '12	G
8	2179	Alameda CTC	Planning, Programming and Monitoring (Note 2)						
	RIP	\$1,563	Con	12/13	Complete Expend	6/30/15	G	\$1,563 Allocated 6/28/12	G
	RIP	\$750	Con	13/14	Complete Expend	6/30/16	G	\$750K Allocated 8/6/13 effective 7/1/13 (SB184)	
	RIP	\$886	Con	16/17	Allocate Funds	6/30/17	G		
	RIP	\$750	Con	17/18	Allocate Funds	6/30/18	G		
	RIP	\$565	Con	18/19	Allocate Funds	6/30/19	G		
9	2010C	BART	BART Station Modernization Program						
	RIP	\$13,000	Con	18/19	Allocate Funds	6/30/19	G		NA
10	2103B	BART	Downtown Berkeley BART Plaza/Transit Area Improvements						
	RIP	\$3,726	Con	16/17	Allocate Funds	6/30/17	G		G
11	2103C	BART	Daly City BART Station Intermodal Improvements						
	RIP	\$200	Con	16/17	Allocate Funds	6/30/17	G	Alameda RIP exchange	G
12	9051A	BATA	Improved Bike/Ped Connectivity to East Span SFOBB						
	RIP	\$15,000	Con	16/17	Allocate Funds	6/30/17	G		G
13	2100G	Berkeley	Berkeley Bay Trail Project, Seg 1						
	RIP-TE	\$1,928	Con	10/11	Final Invoice/Report		NA	\$1,928 Allocated 12/15/11 Awarded 5/29/12	G
14	0057J	Caltrans	SR-24 Caldecott Tunnel 4th Bore Landscaping						
	RIP	\$400	PSE	12/13	Complete Expend	6/30/15	G	\$400K Allocated 6/11/13	R
	RIP	\$500	Con	13/14				\$500K Allocated 3/20/14	
	RIP	\$1,100	CE	13/14				\$1,100K Allocated 3/20/14	
15	2100H	Dublin	Alamo Canal Regional Trail, Rt 580 undercrossing						
	RIP-TE	\$1,021	Con	10/11	Final Invoice/Report		NA	\$1,021 Allocated 8/11/11 Contract Awd 2/7/12 Accepted 2/19/13	G
16	2014U	GGBHTD	SF Golden Gate Bridge Barrier						
	RIP	\$12,000	Con	11/12	Project Being Removed from Report Funds allocated for project outside of Alameda County				R
17	2140S	LAVTA	Rideo Bus Restoration Project						
	RIP-TE	\$200	Con	10/11	Project Being Removed from Report Project Closed Out				R

STIP At Risk Report**Status Date: October 31, 2014****STIP-RIP Locally-Sponsored Alameda County Projects****Green Zone Projects (cont.)**

Index	PP No.	Sponsor	Project Title							
		Source	Prog'd Amount	Phase	FY	Required Activity	Date	Zone	Notes	Prev
			(\$x 1,000)				Req'd By			Zone
18	2009K	LAVTA	Satellite Bus Operating Facility (Phases 1 & 2)							
	RIP		\$4,000	Con	11/12	Project Being Removed from Report				R
						Project Closed Out				
19	2100	MTC	Planning, Programming and Monitoring ²							
	RIP		\$118	Con	13/14	Complete Expend	6/30/16	G	\$118K Allocated 6/11/13 effective 7/1/13 (SB184)	G
	RIP		\$126	Con	15/16	Allocate Funds	6/30/16	G		
	RIP		\$122	Con	14/15	Complete Expend	6/30/17	G	\$122 Allocated 8/20/14	
	RIP		\$131	Con	16/17	Allocate Funds	6/30/17	G		
	RIP		\$135	Con	17/18	Allocate Funds	6/30/18	G		
	RIP		\$140	Con	18/19	Allocate Funds	6/30/19	G		
20	2103	BART	Oakland Airport Connector							
	RIP		\$20,000	Con	10/11	Project Being Removed from Report				R
						RIP Funds Expended (Contract continues beyond funding window)				
21	2103A	Oakland	Oakland Coliseum TOD							
	RIP-TE		\$885	Con	10/11	Final Invoice/Report		NA	\$885 Allocated 6/23/11 Contract Awd 11/10/11 Completed 3/13/13	Y

*End of Green Zone***Report Notes****Notes:**

- 1 The "Date Req'd By" for the required activity is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity and/or satisfy the requirement to preserve the funding and avoid future sanctions.
- 2 PPM funds programmed in the Con phase are not subject to the typical construction phase requirements. Once PPM funds are allocated, the next deadline is "Complete Expenditures."
- 3 Transit projects receiving State-only funds are subject to project specific requirements in agreements with Caltrans (Federal funds are typically transferred to FTA grant).

STIP At Risk Report
STIP-RIP Locally-Sponsored Alameda County Projects

Status Date: October 31, 2014

2014 STIP -Timely Use of Funds Provisions

The Timely Use of Funds and At Risk reports monitor the STIP Timely Use of Funds Provisions included in the current STIP Guidelines as adopted by the CTC. The current Timely Use of Funds Provisions are as follows:

Required Activity	Timely Use of Funds Provision
Allocation	For all phases, by the end (June 30th) of the fiscal year identified in the STIP.
Construction Contract Award ¹	Within six (6) months of allocation.
Accept Contract (Construction)	Within 36 months of contract award.
Complete Expenditures	For Env, PSE, & R/W funds, costs must be expended by the end of the second FY following the FY in which the funds were allocated.
Final Invoice/Project Completion (Final Report of Expenditures)	For Env, PSE, & R/W funds, within 180 days (6 months) after the end of the FY in which the final expenditure occurred. For Con funds, within 180 Days (6 months) of contract acceptance.

Zone Criteria

The Timely Use of Funds and At Risk reports utilize the deadlines associated with each required activity of the STIP Timely use of Funds Provisions to assign a zone of risk. The following zone criteria was developed for each of these risk zones (Red, Yellow, & Green). For the Final Invoice, this activity is tracked but no zone of risk is assigned.

Required Activity	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Allocation -Env Phase	within four months	within four to eight months	All conditions other than Red or Yellow Zones
Allocation -PS&E Phase	within six months	within six to ten months	All conditions other than Red or Yellow Zones
Allocation -Right of Way Phase	within six months	within six to twelve months	All conditions other than Red or Yellow Zones
Allocation -Construction Phase	within six months	within six to twelve months	All conditions other than Red or Yellow Zones
Construction Contract Award	within six months	within six to eight months	All conditions other than Red or Yellow Zones
Accept Contract	within six months	within six to twelve months	All conditions other than Red or Yellow Zones
Complete Expenditures	within six months	within six to twelve months	All conditions other than Red or Yellow Zones
Final Invoice/Project Completion (Final Report of Expenditures)	NA	NA	NA

Other Zone Criteria

Yellow Zone	STIP /TIP Amendment pending
Red Zone	Extension Request pending
Notes:	

1. Statute requires encumbrance by award of a contract for construction capital and equipment purchase within twelve months of allocation. CTC Policy is six months.

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Red Zone Projects**

Index	TIP ID	Sponsor	Project Title	Phase	FY	Required Activity	Date	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)					Req'd By			
1	ALA130022	Alameda	Alameda City Complete Streets							
	STP	\$505	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3		Y
					Obligate Funds	04/30/15	Y			
	STP	\$130	PE	13/14	Liquidate Funds	06/30/18	G	\$130 Obligated 1/30/14		
2	HSIP4-04-010	Alameda	Park Street Operations Improvements							
	HSIP	\$607	Con	13/14	Obligate Funds	Note 1	R	See Note 2		R
	HSIP	\$126	PE		Liquidate Funds	Note 1	R	\$126 Obligated 1/18/12		
3	ATP (Region)	Alameda	Cross Alameda Trail							
	ATP (Region St)	\$226	PS&E	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	App'd for Regional ATP		NA
					Allocate/Obligate Funds	03/31/15	Y	Mix of State & Fed Funds		
	ATP (Region Fed)	\$2,005	Con	15/16	Sub Req 4 Alloc/Auth	11/01/15	G			
					Allocate/Obligate Funds	01/31/16	G			
4	ALA050035	Ala County	Cherryland/Ashland/CastroValley/Fairview SidwIkImp							
	CMAQ	\$300	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3		Y
					Obligate Funds	04/30/15	Y			
	CMAQ	\$130	PE	13/14	Liquidate Funds	06/30/18	G	\$130 Obligated 4/9/14		
5	ALA130018	Ala County	Alameda Co-Various Streets and Roads Preservation							
	STP	\$1,565	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3		Y
					Obligate Funds	04/30/15	Y			
	STP	\$100	PE	13/14	Liquidate funds	06/30/18	G	\$100 Obligated 4/9/14		
6	H3R1-04-031	Ala County	Patterson Pass Road - PM6.4 Widen or Improve Shoulder							
	HRRR	\$717	Con	13/14	Obligate Funds	Note 1	R	See Note 2		R
	HRRR	\$101	PE	Prior	Liquidate Funds	06/30/15	Y	\$101 Obligated 12/19/08		
7	SRTS1-04-001	Ala County	Fairview Elementary School Vicinity Improvements							
	SRTS	\$508	Con	10/11	Complete Closeout	Note 1	R	See Note 2		R
								Obligated 9/19/12		
	SRTS	\$77	PE	Prior				Obligated 1/29/09		
8	ATP (Region)	Ala County	Be Oakland, Be Active: A Comprehensive Safe Routes to School Program							
	ATP (Region - St)	\$988	Con	14/15	Sub Req 4 Allocation	04/01/15	R	Approved for Regional ATP		NA
					Allocate Funds	06/30/15	G			
9	ATP (State)	Alameda CTC	East Bay Greenway							
	ATP (Statewide Fed)	\$2,656	PA&ED	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	Approved for Regional ATP		NA
					Allocate/Obligate Funds	03/31/15	Y			

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Red Zone Projects (cont.)**

Index	TIP ID	Sponsor	Project Title							
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone	
10	ATP (State)	Albany	Complete Streets Implementation for San Pablo Avenue and Buchanan Street							
	ATP (Statewide Fed)	\$18	PA&ED	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	App'd for Statewide ATP	NA	
					Allocate/Obligate	03/31/15	Y	3 Phases in same FY		
	ATP (Statewide Fed)	\$355	PS&E	14/15	Sub Req 4 Alloc/Auth	01/31/15	R			
					Allocate/Obligate	03/31/15	Y			
	ATP (Statewide Fed)	\$18	ROW	14/15	Sub Req 4 Alloc/Auth	01/31/15	R			
					Allocate/Obligate	03/31/15	Y			
11	ALA110007	Berkeley	City of Berkeley Transit Action Plan - TDM							
	CMAQ	\$10	Con	11/12	Obligate Funds	Note 1	R	Pending Req to add to PE	R	
	CMAQ	\$1,990	PE	10/11	Liquidate Funds	06/30/15	Y	\$1,990 Obligated 2/22/11		
12	ALA130026	Berkeley	Shattuck Complete Streets and De-couplet							
	STP	\$2,777	CON	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y			
13	ATP (Region)	Berkeley	Safe Routes to School Improvements for LeConte Elementary							
	ATP (Region Fed)	\$82	PS&E	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	Approved for Regional ATP	NA	
					Allocate/Obligate	03/31/15	Y			
	ATP (Region Fed)	\$600	Con	15/16	Sub Req 4 Alloc/Auth	11/01/15	G			
					Allocate/Obligate	01/31/16	G			
14	ALA110024	Dublin	Dublin Citywide Street Resurfacing							
	STP	\$547	Con	11/12	Award Contract	Note 1	R	\$547 Obligated 3/16/12	R	
					Liquidate Funds	03/16/18	G			
15	ALA130012	Dublin	Dublin Boulevard Preservation							
	STP	\$470	CON	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y			
16	ALA130021	Emeryville	Emeryville - Hollis Street Preservation							
	STP	\$100	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-04		
17	ALA110012	Fremont	Fremont CBD/Midtown Streetscape							
	CMAQ	\$1,114	Con	11/12	Award Contract	Note 1	R	\$1,114 Obligated 3/27/12	R	
					Liquidate Funds	03/27/18	G			
	CMAQ	\$432	Con	10/11	Project Complete	NA		\$432 Obligated 4/13/11		
	CMAQ	\$54	Con	10/11	Project Complete	NA		\$54 Obligated 6/13/11		

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Red Zone Projects (cont.)**

Index	TIP ID	Sponsor	Project Title							
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone	
18	ALA130020	Fremont	Fremont Various Streets and Roads Preservation							
	STP	\$2,105	Con	13/14	Award Contract	Note 1	R	\$2,105 Obligated 4/16/14	R	
19	ALA130025	Fremont	Fremont City Center Multi-Modal Improvements							
	STP	\$5,333	Con	13/14	Award Contract	Note 1	R	\$4,481 Obligated 3/21/14	R	
	STP	\$1,374	Con	14/15	Submit Req for Auth	02/01/15	R	FY13/14 Balance to 14/15		
					Obligate Funds	04/30/15	Y	See Note 3		
20	ALA110019	Hayward	Hayward Various Arterials Pavement Rehab							
	STP	\$1,336	Con	10/11	Award Contract	Note 1	R	\$1,336 Obligated 2/23/11	R	
					Liquidate Funds	06/30/15	Y			
21	ALA110035	Hayward	South Hayward BART Area/Dixon Street Streetscape							
	CMAQ	\$1,540	Con	11/12	Award Contract	Note 1	R	\$1,264 Obligated 4/4/12	R	
					Liquidate Funds	06/30/16	G	Amounts per Phase Adjusted		
	CMAQ	\$260	PE	10/11				\$536 Obligated 1/18/11		
22	ALA130013	Hayward	Hayward - Industrial Boulevard Preservation							
	STP	\$1,265	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y			
	STP	\$70	PE	13/14	Liquidate Funds	06/30/18	G	\$70 Obligated 1/23/14		
23	ALA130011	Livermore	Livermore Relocation and Restoration of R/R Depot							
	STP	\$2,500	CON	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-04		
24	ALA130027	Newark	Enterprise Drive Complete Streets and Road Diet							
	STP	\$454	CON	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-08		
25	ALA130015	Oakland	Lake Merritt BART Bikeways							
	STP	\$571	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-12		
26	ALA130016	Oakland	Oakland Complete Streets							
	CMAQ	\$3,384	Con	14/15	Submit Req for Auth	02/01/15	R	FY 14/15 in 2015 TIP	R	
					Obligate Funds	04/30/15	Y			
	CMAQ	\$467	PE	13/14	Liquidate Funds	06/30/18	G	\$467 Obligated 6/8/14		

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Red Zone Projects (cont.)**

Index	TIP ID	Sponsor	Project Title		Phase	FY	Required Activity	Date	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)						Req'd By			
27	ALA130017	Oakland	Oakland - Peralta and MLK Blvd Streetscape Phase I								
	CMAQ	\$5,452	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3		Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-04			
28	ALA130024	Oakland	Lakeside Complete Streets and Road Diet								
	STP	\$4,446	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3		Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-10			
	CMAQ	\$4,754	Con	14/15	Submit Req for Auth	02/01/15	R				
					Obligate Funds	04/30/15	Y				
29	SRTS1-04-014	Oakland	Intersection Improvements at Multiple School (5 Elem. + 1 Middle)								
	SRTS	\$613		Prior	Complete Closeout	Note 1	R	See Note 2		R	
								PE Obligated 3/2/08			
								Con Obligated 8/18/11			
30	SRTS2-04-007	Oakland	Multiple School (5 Schools) Improvements Along Major Routes								
	SRTS	\$753	Con	11/12	Complete Closeout	Note 1	R	See Note 2		R	
								\$753 Obligated 2/3/12			
	SRTS	\$118	PE	Prior				\$118 Obligated 1/26/10			
31	ATP (State)	Oakland	International Blvd Ped Lighting and Sidewalk Repair								
	ATP (Statewide Fed)	\$279	PS&E	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	App'd for Statewide ATP		NA	
					Allocate/Obligate Funds	03/31/15	Y				
	ATP (Statewide Fed)	\$2,202	Con	15/16	Sub Req 4 Alloc	11/01/15	G				
					Allocate Funds	01/31/16	G				
32	ATP (State)	Oakland	LAMMPS/Laurel, Mills, Maxwell Park and Seminary Active Transportation								
	ATP (Statewide Fed)	\$611	PA&ED	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	Approved for Regional ATP		NA	
					Allocate/Obligate Funds	03/31/15	Y	2 Phases in same FY			
	ATP (Statewide Fed)	\$84	ROW	14/15	Sub Req 4 Alloc/Auth	01/31/15	R	No PS&E Programmed			
					Allocate/Obligate Funds	03/31/15	Y				
	ATP (Statewide Fed)	\$2,903	Con	15/16	Sub Req 4 Alloc	11/01/15	G				
					Allocate Funds	01/31/16	G				
33	ALA130019	Piedmont	Piedmont Complete Streets (CS)								
	STP	\$129	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3		G	
					Obligate Funds	04/30/15	Y	Funds Moving to FY1415 in 2015 TIP			

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Red Zone Projects (cont.)**

Index	TIP ID	Sponsor	Project Title							
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone	
34	ALA110010	Port	Shore Power Initiative							
	CMAQ	\$3,000	Con	11/12	Award Contract	Note 1	R	\$3,000 Obligated 2/16/12	R	
					Liquidate Funds	06/30/16	G			
35	ALA130009	Pleasanton	Pleasanton Complete Streets							
	STP	\$832	CON	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-04		
36	ALA110027	San Leandro	San Leandro Downtown-BART Pedestrian Interface							
	CMAQ	\$4,298	Con	11/12	Award Contract	Note 1	R	\$4,298 Obligated 2/28/12	R	
					Liquidate Funds	06/30/16	G			
	CMAQ	\$312	PE	10/11				\$312 Obligated 12/21/10		
37	ALA130008	San Leandro	San Leandro Boulevard Preservation							
	STP	\$804	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y	TIP Amend 13-06		
38	HSIP4-04-015	San Leandro	Washington Ave / Monterey Blvd							
	HSIP	\$307	Con	12/13	Award Contract	Note 1	R	See Note 2	R	
					Liquidate Funds	06/30/16	G	\$307 Obligated 4/14/14		
		\$66	PE	11/12				\$66 Obligated 12/15/11		
39	ALA130023	Union City	Whipple Road Pavement Rehabilitation							
	STP	\$651	Con	14/15	Submit Req for Auth	02/01/15	R	See Note 3	Y	
					Obligate Funds	04/30/15	Y			
	STP	\$18	PE	13/14	Liquidate Funds	06/30/18	G	\$18 Obligated 11/27/13		

*End of Red Zone***Yellow Zone Projects**

Index	PP No.	Sponsor	Project Title							
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone	
40	ALA110025	Alameda	Alameda - Otis Drive Rehabilitation							
	STP	\$837	Con	10/11	Liquidate Funds	06/30/15	Y	\$837 Obligated 3/8/11	G	
41	HSIP2-04-024	Ala County	Castro Valley Blvd - Wisteria St Intersection and Frontage Improvements							
	HSIP	\$577	Con	11/12	Liquidate Funds	06/30/15	Y	See Note 2	R	
								Obligated 9/19/12		
	HSIP	\$59	PE	Prior				Obligated 8/14/09		
	HSIP	\$63	R/W	Prior				Obligated 2/15/11		

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Index	PP No.	Sponsor	Project Title							
	Source	Prog'd Amount	Phase	FY	Required Activity	Date	Zone	Notes	Prev	
		(\$x 1,000)				Req'd By			Zone	
42	SRTS1-04-002	Ala County	Marshall Elementary School Vicinity Improvements							
	SRTS	\$450	Con	12/13	Liquidate Funds	06/30/15	Y	See Note 2	Y	
								Obligated 9/19/12		
	SRTS	\$50	PE	Prior			G	Obligated 12/7/10		
43	ALA110009	Alameda CTC	Bikemobile - Bike Repair and Encouragement Vehicle							
	CMAQ	\$500	Con	10/11	Liquidate Funds	06/30/15	Y	\$500 Obligated 3/29/11	G	
								Obligated w/ALA110033		
44	ALA110033	Alameda CTC	Alameda County Safe Routes to School							
	CMAQ (RSRTS)	\$620	Con	10/11	Liquidate Funds	06/30/15	Y		G	
	CMAQ	\$1,669	Con	10/11	Liquidate Funds	06/30/15	Y	\$2,689 Obligated 3/29/11		
	STP	\$400	Con	10/11	Liquidate Funds	06/30/15	Y	Obligated w/ALA110009		
	CMAQ (OBAG)	\$2,000	Con	13/14	Liquidate Funds	06/30/18	G	TIP Amend 13-05		
	CMAQ (RSRTS)	\$2,673	Con	13/14	Liquidate Funds	06/30/18	G			
	STP (RSRTS)	\$1,000	Con	13/14	Liquidate Funds	06/30/18	G	\$5,673 Obligated 10/24/13		
45	HSIP1-04-005	Fremont	Install Median Barrier, Install Raised Median and Improve Delineation (Mowry)							
	HSIP	\$164	Con	12/13	Liquidate Funds	06/30/15	Y	See Note 2	R	
								\$164 Obligated 3/7/13		
	HSIP	\$35	PE	Prior				Obligated 11/28/07		
46	HSIP2-04-018	Fremont	Replace Concrete Poles with Aluminum in Median (Paseo Parkway)							
	HSIP	\$183		Prior	Liquidate Funds	06/30/15	Y	See Note 2	R	
								Con Obligated 4/19/11		
								PE Obligated 4/8/09		
47	HSIP3-04-005	Fremont	Paseo Padre Parkway - Walnut to Washington - Replace Poles							
	HSIP	\$120	Con	11/12	Liquidate Funds	06/30/15	Y	See Note 2	R	
								\$120 Obligated 2/16/12		
	HSIP	\$23	PE	Prior				\$23 Obligated 11/18/10		
48	HSIP3-04-006	Fremont	Paseo Padre Parkway - Walnut Ave and Argonaut Way							
	HSIP	\$458	Con	12/13	Liquidate Funds	06/30/15	Y	See Note 2	R	
								\$458 Obligated 4/11/13		
	HSIP	\$59	PE	Prior				\$59 Obligated 11/22/10		
49	ALA110015	Livermore	Livermore Downtown Lighting Retrofit							
	CMAQ	\$176	Con	10/11	Liquidate Funds	06/30/15	Y	\$176 Obligated 4/4/11	G	

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Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
50	ALA110023 STP	Livermore \$1,028	Livermore - 2011 Various Arterials Rehab Con	10/11	Liquidate Funds	06/30/15	Y	\$1,028 Obligated 3/21/11	G
51	ALA110014 CMAQ	Oakland \$1,700	Oakland - MacArthur Blvd Streetscape Con	10/11	Liquidate Funds	06/30/15	Y	\$1.7M Obligated 4/27/11	G
52	HSIP2-04-004 HSIP	Oakland \$223	West Grand at Market, Macarthur at Fruitvale & Market at 55th Improvements Con	11/12	Liquidate Funds	06/30/15	Y	See Note 2 Obligated 6/30/11	R
53	HSIP2-04-005 HSIP	Oakland \$81	Various Intersections Pedestrian Improvements Con	11/12	Liquidate Funds	06/30/15	Y	See Note 2 Obligated 7/8/11	R
54	ALA110021 STP	Pleasanton \$876	Pleasanton Various Streets Pavement Rehab Con	10/11	Liquidate Funds	06/30/15	Y	\$876 Obligated 4/14/11	G
55	ALA110017 STP	Union City \$861	Union City - Dyer Street Rehabilitation Con	10/11	Liquidate Funds	06/30/15	Y	\$861 Obligated 4/13/11	G

*End of Yellow Zone***Green Zone Projects**

Index	TIP ID Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
56	ALA110119 CMAQ	AC Transit \$1,803	AC Transit: Spectrum Ridership Growth Con	14/15	Liquidate Funds	06/30/18	G	See Note 3 \$1,803 Obligated 12/12/13	G
57	HSIP4-04-002 HSIP	Alameda \$348	Shoreline Dr - Westline Dr - Broadway Improvements Con	11/12	Liquidate Funds	06/30/16	G	See Note 2 \$348 Obligated 3/5/14	R
	HSIP	\$68	PE	11/12				\$68 Obligated 1/18/12	
58	ALA030002 STP	Ala County \$235	Vasco Road Safety Improvements Phase 1A ROW	15/16	Submit Req for Auth	02/01/16	G	See Note 3	Y
					Obligate Funds	04/30/16	G		
	STP	\$478	PE	12/13	Liquidate Funds	06/30/17	G	\$478 Obligated 4/17/13	

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Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Green Zone Projects (cont.)**

Index	PP No.	Sponsor	Project Title							
	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone	
59	ALA090069	Ala County	Alameda County: Rural Roads Pavement Rehab							
	STP	\$1,815	Con	11/12	Liquidate Funds	04/04/18	G	\$1,815 Obligated 4/4/12	R	
								Contract Accepted 12/26/13		
	STP	\$320	PE	10/11				\$320 Obligated 3/16/11		
60	ALA110026	Ala County	Alameda Co - Central Unincorporated Pavement Rehab							
	STP	\$1,071	Con	11/12	Liquidate Funds	04/04/18	G	\$1,071 Obligated 4/4/12	R	
								Contract Accepted 2/14/14		
	STP	\$50	PE	10/11				\$50 Obligated 3/23/11		
61	HSIP2-04-027	Ala County	Remove Permanent Obstacle along Shoulder (Foothill Road)							
	HSIP	\$427	Con	10/11	Liquidate funds	06/30/16	G	See Note 2	R	
								Con Obligated 8/11/13		
	HSIP	\$59	PE	Prior				PE Obligated 2/23/09		
62	ALA110122	Alameda CTC	Local PDA Planning - Alameda							
	STP	\$3,905	Con	15/16	Liquidate Funds	06/30/18	G	\$3,905 Obligated 10/29/13	G	
63	ALA110030	Albany	Albany - Buchanan Bicycle and Pedestrian Path							
	CMAQ	\$1,702	Con	11/12	Liquidate Funds	06/30/16	G	\$1,702 Obligated 6/1/12	G	
64	ALA110032	BART	Downtown Berkeley BART Plaza/Transit Area Imps.							
	CMAQ	\$340	Con	14/15	Project Being Removed from Report				Y	
	CMAQ	\$706	PE	10/11	Funds Transferred to FTA Grant					
	CMAQ	\$1,099	Con	10/11						
65	ALA110121	BART	BART Train Car Accident Repair Project							
	STP	\$1,493	CON	14/15	Project Being Removed from Report				Y	
					Funds Transferred to FTA Grant					
66	ALA130028	Berkeley	Hearst Avenue Complete Streets							
	STP	\$2,156	Con	15/16	Submit Req for Auth	02/01/16	G		G	
					Obligate Funds	04/30/16	G			
67	ALA130035	Berkeley	Bay Trail Shoreline Access Staging Area Project							
	STP	\$500	Con	15/16	Submit Req for Auth	02/01/16	G		G	
					Obligate Funds	04/30/16	G			
68	ALA110034	Dublin	West Dublin BART Golden Gate Drive Streetscape							
	CMAQ	\$580	Con	11/12	Liquidate Funds	06/30/16	G	\$580 Obligated 6/1/12	G	
	CMAQ	\$67	PE	10/11				\$67 Obligated 3/18/11		
69	SRTS3-04-007	Emeryville	San Pablo Avenue 43rd to 47th Pedestrian Safety							
	SRTS	\$696	Con	13/14	Liquidate Funds	06/30/18	G	\$566 Obligated 6/16/14	R	
	SRTS	\$52	PE	11/12	Liquidate Funds			\$52 Obligated 5/4/12		
70	HSIP4-04-020	Fremont	Fremont Blvd / Eggers Dr							
	HSIP	\$275	Con	13/14	Liquidate Funds	06/30/16	G	See Note 2	G	
								\$275 Obligated 1/24/14		
	HSIP	\$41	PE	11/12				\$41 Obligated 11/8/11		

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Green Zone Projects (cont.)**

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
71	HSIP4-04-022	Fremont	Fremont Blvd / Alder Ave	HSIP	\$349	Con	13/14	Liquidate Funds	06/30/16	G	See Note 2 \$348 Obligated 12/31/13	G
				HSIP	\$43	PE	11/12				\$43 Obligated 11/8/11	
72	HSIP5-04-007	Hayward	West "A" Street between Hathaway and Garden	HSIP	\$139	CON	15/16	Liquidate Funds	06/30/16	G	See Note 2 \$139 Obligated 6/8/14	G
				HSIP	\$22	PE	13/14				\$22 Obligated 2/18/14	
73	ALA110013	Livermore	Iron Horse Trail Extension in Downtown Livermore	CMAQ	\$1,566	Con	11/12	Liquidate Funds	06/30/16	G	\$1,241 Obligated 4/4/12	G
74	ALA130010	Livermore	Livermore Various Streets Preservation	STP	\$1,053	CON	13/14	Liquidate Funds	06/30/18	G	\$1,053 Obligated 3/4/14 Contract Awd 7/28/14	R
75	ATP (Region)	Livermore	Marilyn Avenue Elementary Safe Routes to School	ATP (Region State)	\$83	PS&E	15/16	Sub Req 4 Alloc/Auth Allocate/Obligate	11/01/15 01/31/16	G G	Approved for Regional ATP 2 Phases in same FY	NA
				ATP (Region State)	\$275	Con	15/16	Sub Req 4 Alloc/Auth Allocate/Obligate	11/01/15 01/31/16	G G	Mix of State and Fed Funds	
76	ALA110016	Newark	Newark - Cedar Blvd and Jarvis Ave Pavement Rehab	STP	\$682	Con	11/12	Liquidate Funds	06/30/16	G	\$682 Obligated 2/17/12	G
77	ALA110006	Oakland	Various Streets Resurfacing and Bikeway Facilities	STP	\$3,492	Con	11/12	Liquidate Funds	06/30/16	G	\$3,492 Obligated 2/16/12	G
				STP	\$560	PE	10/11				\$560 Obligated 2/22/11	
78	ALA130014	Oakland	7th Street West Oakland Transit Village, Phase II	CMAQ	\$3,288	Con	15/16	Submit Req for Auth Obligate Funds	02/01/16 04/30/16	G G		G
79	HSIP4-04-005	Oakland	San Pablo Ave - West St - W. Grand Ave Intersections	HSIP	\$345	Con	13/14	Liquidate Funds	06/30/16	G	See Note 2 \$345 Obligated 2/20/14	G
				HSIP	\$71	PE	Prior				\$71 Obligated 1/23/12	
80	HSIP4-04-011	Oakland	Bancroft Ave - 94th Ave Improvements	HSIP	\$398	Con	13/14	Liquidate Funds	06/30/16	G	See Note 2 \$398 Obligated 2/20/14	G
				HSIP	\$87	PE	Prior				Obligated 1/23/12	
81	HSIP4-04-012	Oakland	Hegenberger Rd Intersections	HSIP	\$738	Con	13/14	Liquidate Funds	06/30/16	G	See Note 2 \$738 Obligated 2/20/14	G
				HSIP	\$162	PE	Prior				Obligated 1/25/12	

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Green Zone Projects (cont.)**

Index	TIP ID	Sponsor		Project Title		Required Activity	Date Req'd By	Zone	Notes	Prev Zone
		Source	Prog'd Amount (\$x 1,000)	Phase	FY					
82	HSIP5-04-011	Oakland		W. MacArthur Blvd. between Market & Telegraph		Submit Req for Auth	08/23/15	G	See Note 2	R
		HSIP	\$574	CON	15/16	Obligate Funds	11/23/15	G		
		HSIP	\$125	PE	13/14	Liquidate Funds	06/30/16	G	\$125 Obligated 10/22/13	
83	HSIP5-04-012	Oakland		98th Avenue Corridor		Submit Req for Auth	08/23/15	G	See Note 2	R
		HSIP	\$558	CON	15/16	Obligate Funds	11/23/15	G		
		HSIP	\$99	PE	13/14	Liquidate Funds	06/30/16	G	\$99 Obligated 10/22/13	
84	HSIP5-04-013	Oakland		Market Street between 45th & Arlington		Submit Req for Auth	08/23/15	G	See Note 2	R
		HSIP	\$541	CON	15/16	Obligate Funds	11/23/15	G		
		HSIP	\$103	PE	13/14	Liquidate Funds	06/30/16	G	\$103 Obligated 10/22/13	
85	ATP (Region)	Oakland		Lake Merritt to Bay Trail Bicycle Pedestrian Gap		Sub Req 4 Alloc	11/01/15	G	Approved for Regional ATP	NA
		ATP (Region State)	\$2,885	PS&E	15/16	Allocate Funds	01/31/16	G	2 Phases in same FY	
		ATP (Region State)	\$325	ROW	15/16	Sub Req 4 Alloc	11/01/15	G	State Only Funds	
						Allocate Funds	01/31/16	G		
86	ALA110031	Pleasanton		Pleasanton - Foothill/I-580/IC Bike/Ped Facilities		Liquidate Funds	06/30/17	G	\$709 Obligated 5/1/13	G
87	ALA110020	San Leandro		San Leandro - Marina Blvd Rehabilitation		Project Being Removed from Report				G
		STP	\$807	Con	10/11	Federal Report of Expenditures/Final Invoice Submitted				
88	HSIP5-04-019	San Leandro		Bancroft Ave/ Sybil Ave		Submit Req for Auth	08/23/15	G	See Note 2	G
		HSIP	\$380	CON	15/16	Obligate Funds	11/23/15	G		
		HSIP	\$69	PE	12/13	Liquidate Funds	06/30/16	G	\$69 Obligated 7/16/13	
89	SRTS3-04-017	San Leandro		Multiple Schools Bicycle and Pedestrian Safety		Liquidate Funds	03/06/16	G	See Note 2	G
		SRTS	\$410	Con	11/12	Complete Closeout	09/06/16	G	\$410 Obligated 3/22/12	
90	ALA110028	Union City		Union City Blvd Corridor Bicycle Imp. Phase 1		Liquidate Funds	06/30/16	G	\$860 Obligated 3/22/12	G
91	HSIP5-04-030	Union City		Alvarado Road between Decoto & Mann		Submit Req for Auth	08/23/15	G	See Note 2	G
		HSIP	\$288	CON	15/16	Obligate Funds	11/23/15	G		
		HSIP	\$62	PE	13/14	Liquidate Funds	06/30/18	G	\$62 Obligated 11/27/13	

End of Green Zone

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Monitoring Report Notes**

- 1 The "Date Req'd By" for the required activity is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity and/or satisfy the requirement to preserve the funding and avoid future sanctions.
- 2 HSIP, SRTS and HRRR projects (aka "local safety projects") are subject to the provisions included in *Project Delivery Requirements for Local Safety Programs* adopted by Caltrans Division of Local Assistance. The most recent update of the requirements is dated November 6, 2013 and included the removal of the "Project Closeout" requirement which had been included in previous versions. The Caltrans requirements for local safety projects may be different than the timely use of funds provisions included in MTC Reso 3606. The values for "Date Req'd By" shown in this report are based on the earlier of a comparison of the date required by MTC Resolution 3606 and the Safety Program Delivery Status Reports available from Caltrans Local Programs at www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm. For the purposes of this monitoring report, the Submit Request for Authorization dates are set to three months prior to the date shown for authorization in the Safety Program Delivery Status Reports. The November 2013 update of the project delivery requirements replaced the Project Closeout requirement with the following provision, "Agencies should follow Office of Project Delivery and Accountability's guidance regarding inactive projects and close out safety projects on time." The guidance referenced, along with the November 2013 update of the project delivery requirements are available via links on the same web page as the delivery status reports. For the purposes of this monitoring report, the Liquidate Funds Date Req'd By for each phase obligated is set to the end of the second State fiscal year following the fiscal year during which the funds were obligated. The Liquidate Funds required activity is only shown for the most recent phase obligated.
- 3 Funds approved prior to January 22, 2014 and programmed in federal fiscal years prior to FFY 16/17 are not subject to the revised deadlines for Request For Authorization (RFA)/ FTA Transfer Submittal or Obligation/Authorization/Transfer to FTA approved with Resolution 3606 (Revised) on January 22, 2014. For these funds, the submittal deadline for RFA/FTA Transfer packages will remain February 1 of the FFY in which the funds are programmed, and the Obligation/Transfer deadline will remain April 30 of the FFY in which the funds are programmed. All other funds, including currently approved funds in FFY 16/17 or later and funds approved after January 22, 2014, are subject to all of the provisions of Resolution 3606 (Revised) approved on January 22, 2014.

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Appendix A****Federal At Risk Report Zone Criteria****Required Activities per Resolution 3606 (Revised January 22, 2014)**

Required Activities Monitored by CMA ⁽¹⁾	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Request Project Field Review	Project in TIP for more than nine (9) months, or obligation deadline for Con funds within 15 months.	Project in TIP for less than nine (9) months, and obligation deadline for Con funds more than 15 months away.	All conditions other than Red or Yellow Zones
Submit Environmental Package	NA	NA	NA
Approved DBE Program and Methodology	NA	NA	NA
Submit Request for Authorization (PE)	within three (3) months	within three (3) to six (6) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (R/W)	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (Con)	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Obligation/ FTA Transfer	within two (2) months	within two (2) to six (6) months	All conditions other than Red or Yellow Zones
Advertise Construction Contract	within three (3) months	within three (3) to six (6) months	All conditions other than Red or Yellow Zones
Award Contract	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Award into FTA Grant	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Liquidate Funds	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones Move to Appendix D
Project Closeout	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Other Zone Criteria			
Red Zone	Projects with funds programmed in the same FY for both a project development phase (i.e. Env or PSE) and a capital phase (i.e. R/W or Con) without the project development phase(s) obligated.		
Yellow Zone	Projects with an Amendment to the TIP pending.		
Notes: ¹ See Appendix B for more information about the Required Activities and Resolution 3606.			

Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Appendix B****Definitions of the Required Activities per Resolution 3606 (As revised January 22, 2014)**

Index	MTC Resolution 3606 Requirement (as adopted January 22, 2014)
1	Request Project Field Review (Req Field Rev)
	Implementing agencies are required to submit a Request for Field Review from Caltrans Local Assistance within 12 months of approval of the project in the TIP (See Note 1), but no less than 12 months prior to the obligation deadline of construction funds. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable, such as FTA transfers, regional operations projects and planning activities. Completed field review forms must be submitted to Caltrans in accordance with Caltrans Local Assistance procedures.
2	Environmental Submittal Deadline (Sub ENV package) (See Note 2)
	Implementing agencies are required to submit a complete Preliminary Environmental Study (PES) form with attachments to Caltrans for all projects no later than twelve months prior to the obligation deadline for right of way or construction funds. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner.
3	Request For Authorization (RFA) or FTA Transfer Submittal Deadline (Sub Req for Auth) (See Note 3)
	Implementing agencies are required to submit a complete Request for Authorization (RFA), or Request for FTA Transfer, package to Caltrans Local Assistance by November 1 of the Federal Fiscal Year (FFY) in which the federal funds are programmed in the TIP.
4	Obligation/Authorization or Transfer to FTA Deadline (Obligate Funds) (See Note 3)
	Federal Regional Discretionary Funding must be obligated/authorized, or transferred to a FTA grant, by January 31 of the Federal Fiscal Year (FFY) in which the federal funds are programmed in the TIP.
5	Program Supplement Agreement (PSA) Deadline (See Note 2)
	Implementing agencies must execute and return the Program Supplement Agreement (PSA) to Caltrans within 60 days following receipt of the PSA from Caltrans. It is expected that Caltrans will initiate the PSA within 30 days of obligation. The implementing agency should contact Caltrans if the PSA is not received from Caltrans within 30 days of the obligation. The PSA must be fully executed within six months from the date of obligation. This requirement does not apply to FTA transfers.
6	Construction Advertisement/Award Deadline (Advertise Contract) and (Award Contract)
	Implementing agencies must advertise construction or equipment purchase contracts within 3 months of the obligation date, and award the construction or equipment purchase contract within 6 months of the obligation date (or allocation date for funds administered by the CTC). Agencies must submit the complete award package immediately after contract award and prior to submitting the first invoice to Caltrans in accordance with Caltrans Local Assistance procedures. For FTA projects, funds must be approved/awarded in an FTA Grant within one federal fiscal year following the federal fiscal year in which the funds were transferred to FTA.

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Federal At Risk Report**Status Date: October 31, 2014****Federally-Funded Locally-Sponsored Alameda County Projects****Appendix B (cont.)****Definitions of the Required Activities per Resolution 3606 (As revised January 22, 2014)**

Index	MTC Resolution 3606 Requirement (as adopted January 22, 2014)
7	Regional Invoicing and Reimbursement Deadlines - Inactive Projects (See Note 2)
	Implementing agencies are required to submit a request for reimbursement at least once every 6 months from the time of obligation (E-76 authorization). Projects that have not received a reimbursement of federal funds in the previous 12 months are considered inactive with the remaining un-reimbursed balance subject to de-obligation by the FHWA with no guarantee the funds will be available to the project sponsor.
8	State Liquidation Deadline (Liquidate Funds)
	Implementing agencies must liquidate obligated funds in accordance with California Government Codes 16304.1, 16304.3, and the Local Assistance Procedures Manual. Generally, federal funds must be liquidated (i.e. fully expended, invoiced and reimbursed) within 4 state fiscal years following the fiscal year in which the funds were appropriated. CTC-administered funds must be expended within 2 state fiscal years following the fiscal year in which the funds were allocated. This requirement does not apply to FTA transfers.
9	Project Completion / Closeout Deadline (Complete Project)
	Implementing agencies must fully expend federal funds on a phase one year prior to the estimated completion date for the phase provided to Caltrans in the Request for Authorization Package. Implementing agencies must submit a Federal Report of Expenditures/Final Invoice package within six months of project completion. Projects must proceed to right of way acquisition or construction within 10 years of federal authorization of the initial phase. Note that funds managed and allocated by the CTC may have different and more stringent funding deadlines. A CTC allocated-project must fully expend those funds within 36 months of the CTC funding allocation.

Notes:

- 1** Approval in the TIP: For administrative/ minor TIP Amendments, the approval date is the date of Caltrans approval. For formal TIP Amendments, the approval date is the date of FHWA approval.
- 2** This required activity is not monitored or tracked in the monitoring reports prepared by the Alameda CTC.
- 3** Funds approved prior to January 22, 2014 and programmed in federal fiscal years prior to FFY 15/16 are not subject to the revised deadlines for Request For Authorization (RFA)/ FTA Transfer Submittal or Obligation/Authorization/Transfer to FTA approved with Resolution 3606 (Revised) on January 22, 2014. For these funds, the submittal deadline for RFA/FTA Transfer packages will remain February 1 of the FFY in which the funds are programmed, and the Obligation/Transfer deadline will remain April 30 of the FFY in which the funds are programmed. All other funds, including currently approved funds in FFY 15/16 or later and funds approved after January 22, 2014, are subject to all of the provisions of Resolution 3606 (Revised) approved on January 22, 2014.

TFCA County Program Manager Fund

Timely Use of Funds Report

Report Date: October 31, 2014

6.6C

Project No.	Sponsor	Project Title	Balances	Required Activity	Date Due	Activity Completed (Date or Y/N)	Notes
RED ZONE (Milestone deadline within 4 months)							
08ALA01	Alameda CTC	Webster Street Corridor Enhancements Project	TFCA Award	Agreement Executed	1/8/09	12/16/08	3rd extension approved Sept '12 Expenditures complete Final Invoice paid Final Report due May '15
			\$ 420,000	Project Start	Jan-09	Jun-09	
			TFCA Expended	Expend Deadline Met?	12/22/13	Yes	
			\$ 420,000	Final Report	May-15		
				Final Reimbursement	12/31/14	Oct-14	
09ALA01	Alameda CTC	Webster St SMART Corridors	TFCA Award	Agreement Executed	1/7/10	7/7/09	2nd extension approved Sept '12 Expenditures complete Final Invoice paid Final Report due May '15
			\$ 400,000	Project Start	Oct-09	Jul-09	
			TFCA Expended	Expend Deadline Met?	12/22/13	Yes	
			\$ 400,000	Final Report	May-15		
				Final Reimbursement	12/31/14	Oct-14	
11ALA08	Hayward	Clawiter Road Arterial Management	TFCA Award	Agreement Executed	1/5/12	02/27/12	Expenditures complete Final Invoice to be paid Final Report received
			\$ 190,000.00	Project Start	Dec-12	Feb-12	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ -	Final Report	Feb-14	Jan-14	
				Final Reimbursement	12/31/14		
15ALA01	Alameda County	Chabot Road Class 2 Bike Lanes	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 74,000	Project Start	Dec '15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA02 (A)	Berkeley	Bay Area Bike Share Expansion to Berkeley (Berkeley scope)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed. 5-year expenditure period approved.
			\$ 317,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA02 (B)	MTC	Bay Area Bike Share Expansion to Berkeley (MTC scope)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed. 5-year expenditure period approved.
				Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA03	Dublin	Village Parkway Bike Lanes and Bicycle Detection	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 90,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA04	Fremont	Downtown Fremont Arterial Management	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 430,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA05	Hayward	West "A" Street Arterial Management - Video Detection	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed. (Additional scope for 14ALA05)
			\$ 50,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA06	Oakland	Oakland Broadway "B" Shuttle Peak Hour Operations (FY 14/15)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 41,500	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA07	Oakland	Oakland CityRacks Phase 11	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 88,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		

TFCA County Program Manager Fund

Timely Use of Funds Report

Report Date: October 31, 2014

Project No.	Sponsor	Project Title	Balances	Required Activity	Date Due	Activity Completed (Date or Y/N)	Notes
RED ZONE (Milestone deadline within 4 months), continued							
15ALA08 (A)	Oakland	Bay Area Bike Share Expansion to Oakland (Oakland scope)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed. 5-year expenditure period approved.
			\$ 900,616	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA08 (B)	MTC	Bay Area Bike Share Expansion to Oakland (MTC scope)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed. 5-year expenditure period approved.
				Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA09	AC Transit	East Bay Bus Rapid Transit (BRT)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed. 4-year expenditure period approved.
			\$ 925,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA10	CSU East Bay	Campus to Hayward BART - 2nd Shuttle, Peak Hour Operations (FY 14/15)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 145,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA11	LAVTA	Route 8 Peak Hour Operations (FYs 14/15 & 15/16)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 66,000	Project Start	12/31/15		
				Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA12	LAVTA	Route 12 Peak Hour Operations (FYs 14/15 & 15/16)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 112,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
15ALA13	LAVTA	Route 15 Peak Hour Operations (FYs 14/15 & 15/16)	TFCA Award	Agreement Executed	2/25/15		Funding agreement to be executed.
			\$ 109,000	Project Start	12/31/15		
			TFCA Expended	Expend Deadline Met?	TBD		
				Final Report	TBD		
				Final Reimbursement	TBD		
GREEN ZONE (Milestone deadline beyond 7 months)							
10ALA02	Alameda CTC	I-80 Corridor Arterial Management	TFCA Award	Agreement Executed	2/17/11	07/09/10	Expenditures complete Final invoice paid Final Report due Aug '15, after overall I-80 ICM project is operational.
			\$ 100,000	Project Start	Mar-11	Jul-10	
			TFCA Expended	Expend Deadline Met?	10/28/12	Yes	
			\$ 100,000	Final Report	Aug-15		
				Final Reimbursement	12/31/13	Oct-12	
10ALA04	Hayward	Traffic Signal Controller Upgrade and Synchronization	TFCA Award	Agreement Executed	2/17/11	01/26/11	1st extension approved 9/27/12 Expenditures complete Final Report due Sept '15 (2 years post-project)
			\$ 614,000	Project Start	Mar-11	Dec-10	
			TFCA Expended	Expend Deadline Met?	10/28/13	Yes	
			\$ 614,000	Final Report	Sep-15		
				Final Reimbursement	12/31/14	Jan-13	
11ALA01	Alameda	Park Street Corridor Operations Improvement	TFCA Award	Agreement Executed	1/5/12	06/13/12	2nd extension approved Oct '14 Expenditure deadline Nov '15 Expenditures not complete Final Report due Feb '16
			\$ 230,900	Project Start	Dec-12	Dec-12	
			TFCA Expended	Expend Deadline Met?	11/14/15		
			\$ -	Final Report	Feb-16		
				Final Reimbursement	12/31/16		
11ALA02	Alameda County	Mattox Road Bike Lanes	TFCA Award	Agreement Executed	1/5/12	01/24/12	2nd extension approved Oct '14 Expenditure deadline Nov '15 Expenditures not complete Final Report due Feb '16
			\$ 40,000	Project Start	Dec-12	Dec-12	
			TFCA Expended	Expend Deadline Met?	11/14/15		
			\$ 11,500	Final Report	Feb-16		
				Final Reimbursement	12/31/16		

TFCA County Program Manager Fund

Timely Use of Funds Report

Report Date: October 31, 2014

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
GREEN ZONE (Milestone deadline beyond 7 months), continued							
11ALA07	Hayward	Post-project Monitoring/Retiming activities for Arterial Mgmt project 10ALA04	TFCA Award	Agreement Executed	1/5/12	06/01/12	2nd extension approved Oct '14 Expenditure deadline Nov '15 Expenditures not complete Final Report due Sept '15 (coordinated with 10ALA04)
			\$ 50,300.00	Project Start	Dec-12	Feb-12	
			TFCA Expended	Expend Deadline Met?	11/14/15		
			\$ -	Final Report	Sep-15		
				Final Reimbursement	12/31/16		
11ALA09	Oakland	Traffic Signal Synchronization along Martin Luther King Jr. Way	TFCA Award	Agreement Executed	1/5/12	03/08/12	2nd extension approved Oct '14 Expenditure deadline Nov '15 Expenditures not complete Final Report due Feb '16 (2 years post-project)
			\$ 125,000	Project Start	Dec-12	May-12	
			TFCA Expended	Expend Deadline Met?	11/14/15		
			\$ 93,509	Final Report	Feb-16		
				Final Reimbursement	12/31/16		
14ALA01	Alameda County	Fairmont Rd Class II Bike Lanes	TFCA Award	Agreement Executed	Jan-14	4/23/14	Expenditure deadline Oct '16 3-year expenditure period approved Expenditures not complete Final Report due Jan '17
			\$ 90,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/16		
			\$ -	Final Report	Jan-17		
				Final Reimbursement	12/31/17		
14ALA02	Berkeley	Berkeley Citywide Bicycle Parking Project	TFCA Award	Agreement Executed	Jan-14	3/20/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 155,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA03	East Bay Regional Park District	Iron Horse Trail Dublin/Pleasanton BART Santa Rita Road	TFCA Award	Agreement Executed	Jan-14	11/8/13	Expenditure deadline Oct '15 Expenditures complete Final Report due Nov '14
			\$ 180,000	Project Start	Dec-14	Jul-13	
			TFCA Expended	Expend Deadline Met?	10/29/15	Yes	
			\$ 180,000	Final Report	11/31/14		
				Final Reimbursement	12/31/15		
14ALA04	Fremont	Arterial Management Stevenson Blvd	TFCA Award	Agreement Executed	Jan-14	2/4/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 76,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA05	Hayward	"A" Street Signal Upgrade and Coordination	TFCA Award	Agreement Executed	Jan-14	4/23/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 190,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA06	Oakland	Adeline St Bikeway Gap Closure	TFCA Award	Agreement Executed	Jan-14	3/20/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 51,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA07	Oakland	CityRacks Bicycle Parking Program Phase 10	TFCA Award	Agreement Executed	Jan-14	3/20/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 88,000	Project Start	Dec-14	Sep-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ 46,916	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA08	Alameda CTC	East Bay Greenway	TFCA Award	Agreement Executed	Jan-14	7/1/13	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 142,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA09	Pleasanton	Pleasanton Trip Reduction Program (FYs 13/14 and 14/15)	TFCA Award	Agreement Executed	Jan-14	3/20/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Sept '15
			\$ 118,000	Project Start	Dec-14	Sep-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

TFCA County Program Manager Fund

Timely Use of Funds Report

Report Date: October 31, 2014

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
GREEN ZONE (Milestone deadline beyond 7 months), continued							
14ALA10	San Leandro	San Leandro LINKS Shuttle (FYs 13/14 and 14/15)	TFCA Award	Agreement Executed	Jan-14	3/20/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Sept '15
			\$ 60,000	Project Start	Dec-14	Jul-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ 30,000	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA11	AC Transit	Route 51 Transit Signal Priority (TSP)	TFCA Award	Agreement Executed	Jan-14	4/23/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Jan '16
			\$ 123,821	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA12	Alameda CTC	Alameda County Guaranteed Ride Home and Transportation Demand Management Services Information (FYs 13/14 and 14/15)	TFCA Award	Agreement Executed	Jan-14	7/1/13	Expenditure deadline Oct '15 Expenditures not complete FMR due Jan '16
			\$ 270,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA13	Cal State - East Bay	Second BART to Campus Shuttle (FY 13/14)	TFCA Award	Agreement Executed	Jan-14	1/27/14	Expenditure deadline Oct '15 Expenditures complete Final Report due Nov '14
			\$ 130,000	Project Start	Dec-14	Sep-13	
			TFCA Expended	Expend Deadline Met?	10/29/15	Yes	
			\$ 130,000	Final Report	Nov-14		
				Final Reimbursement	12/31/16	10/29/2014	
14ALA14	LAVTA	Rte 53 Ace to BART Shuttle (FYs 13/14 and 14/15)	TFCA Award	Agreement Executed	Jan-14	1/21/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Sept '15
			\$ 120,000	Project Start	Dec-14	Jul-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA15	LAVTA	Rte 54 Ace to BART Shuttle (FYs 13/14 and 14/15)	TFCA Award	Agreement Executed	Jan-14	1/21/14	Expenditure deadline Oct '15 Expenditures not complete Final Report due Sept '15
			\$ 47,000	Project Start	Dec-14	Jul-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

Report Milestone Notes

Agreement Executed = Date TFCA Agreement executed by Alameda CTC

Project Start = Date of project initiation

Expend Deadline Met? = Expenditures were completed by established deadline (Yes/No)

Final Report = Date final project report received by Alameda CTC

Final Reimbursement = Date final invoice paid by Alameda CTC



Memorandum

6.7

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: CMA TIP Program: Vasco Road Project and ARRA Local Street and Road Project Exchange Agreements

RECOMMENDATION: Approve the CMA TIP Program project exchange amendments and authorize the Executive Director to execute associated agreements.

Summary

The CMA Transportation Improvement Program (CMA TIP) facilitates the exchange of federal/state funds for local funds, which in turn provides local funding for the projects programmed through the CMA TIP (Alameda County Transportation Commission (Alameda CTC) administered program). The CMA TIP Program allows the Alameda CTC to provide local funds to transportation 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. It is necessary for the Alameda CTC to receive the local funds provided through these Alameda CTC approved fund exchanges on a timely basis to provide the local funds for the Alameda CTC approved projects included in the CMA TIP program.

The Alameda CTC has approved 19 general CMA TIP exchanges that total \$78.8 million. These funds have been programmed by the Alameda CTC Board to implement specific projects. To date, 17 exchanges have been completed with a value of \$69.8 million.

The two remaining exchanges are for projects sponsored by the Alameda County Public Works Agency (ACPWA), the Vasco Road Project and the ARRA Local Street and Road Project, for \$9.0 million. Staff is recommending the Alameda CTC approve revisions to the terms of the CMA TIP exchanges initially approved in 2008-2010 period to reflect a reduction in the payment (by \$0.3 million to \$8.7 million) and to further define the payment sources, schedule and roles and responsibilities of each party through the completion of the exchange payments. The terms will be detailed in agreements between the ACPWA and the Alameda CTC. The Alameda County Board of Supervisors is scheduled to consider this item on December 2, 2014.

Background

The CMA TIP Program was created in 2000. Fund exchanges are approved when a project sponsor has the ability to accept grant funding for an eligible transportation project that also has local funds available for the project. The Alameda CTC programs the transportation grant funding and the project sponsor commits to use the grant funding and provides the Alameda CTC with a like amount of local funds that would have otherwise been used for the project. It is not a given that every project is a good candidate for a fund exchange.

The projects that exchange funds provide the revenue for the CMA TIP, a local transportation fund source administered by the Alameda CTC. The CMA TIP Program allows the Alameda CTC to provide local funds to transportation 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. It is necessary for the Alameda CTC to receive the local funds provided through these exchanges on a timely basis in order to meet the commitments for the projects approved in the CMA TIP Program.

The CMA TIP Program is one of multiple approaches the Alameda CTC uses to program funds and deliver projects in Alameda County. The CMA TIP Program has provided benefits such as allowing for efficient administration of large amounts of federal and state funds, as well as facilitation of the delivery for smaller projects, such as local street and road projects in smaller jurisdictions and project development work.

The Alameda CTC has approved 19 general CMA TIP exchanges that total \$78.8 million. These funds have been programmed by the Alameda CTC Board to implement specific projects. To date, 17 exchanges have been completed with a value of \$69.8 million.

The two remaining exchanges, both with ACPWA are as follows:

- A. Vasco Road Project - As approved by the Alameda County Congestion Management Agency (ACCMA) Board in January 2008, ACPWA agreed to an exchange of funds, with \$9.35 million in federal funds provided to ACPWA for the Vasco Road Safety Improvement project. ACPWA agreed to provide \$8.728 million in local funds (7% discount rate) in return. This exchange provided ACPWA federal funds for the Vasco Road Safety Improvement project and deferred the immediate need for ACPWA local funds that would have otherwise been needed for the project. In October 2010, pursuant to a request from ACPWA, ACCMA's successor agency, the Alameda County Transportation Commission (Alameda CTC), agreed to reduce the required payment amount to \$7.531 million (20% discount rate), providing a further benefit to ACPWA of \$1.2 million of funds that were used for the Stanley Boulevard Safety and Streetscape Project. The initial phases of the Vasco Road project are complete.

ACPWA staff has requested a further revision to the terms of the approved CMA TIP exchange. The revised terms include:

- Reduction of the overall exchange commitment of \$7.531 million, by \$0.303 million, to \$7.228 million. This reduction represents the financing costs associated with the loan component of the October 2010 Alameda CTC action, which allowed the ACPWA to defer certain payments.
- The payment of the \$7.228 million of exchange commitment to the Alameda CTC will occur as follows:
 - \$3.5 million of the exchange commitment will be paid in equal periodic installments starting in February 2015 with payments completed by March 2016.
 - \$3 million of the exchange commitment will be paid immediately upon receipt of \$3 million of funds from the East Contra Costa Regional Fee and Financing Authority (ECCRFFA) for the Vasco Road project.
 - The ACPWA will be required to actively pursue the receipt of these funds and provide progress reports. The Alameda CTC will support the effort of the ACPWA to secure the ECCRFFA funds.
- The remaining \$0.728 million represents unreimbursed federal funds assigned to future phases of the Vasco Road Corridor. ACPWA will be required to expend the federal grant funds and pay the Alameda CTC \$0.728 million immediately upon receipt of the grant funds for the remaining CMA TIP exchange commitment, which will occur no later than December 31, 2016. ACPWA will be required to provide progress reports to the Alameda CTC Board regarding the project status.
- An agreement, documenting the above terms is required to be completed prior to December 31, 2014.

B. ARRA Local Street and Road Project - As approved by the ACCMA Board in January 2009, ACPWA agreed to accept \$1.583 million in federal funds for the ARRA Local Street and Road Project and in return ACPWA agreed to provide \$1.503 million in local funds (5% discount rate) upon receipt of federal grant funds. The project is complete and the federal funds have been received by ACPWA. Based upon actual project delivery costs, the federal reimbursement was reduced by about 3%, and therefore the final payment is adjusted to \$1.456 million.

- The payment of the \$1.456 million exchange commitment to the Alameda CTC will occur as follows:
 - Approximately \$1.078 million of the exchange commitment will be paid from funds related to other program/project reimbursements due to ACPWA from Alameda CTC.
 - The \$0.378 million estimated balance of the exchange commitment will be paid in equal periodic installments starting in February 2015 with payments completed by March 2016, in coordination with the CMA TIP Exchange payments required for the Vasco Road Project Exchange Agreement.
- An agreement, documenting the above terms is required to be completed prior to December 31, 2014.

The details outlined above define the terms for ACPWA to pay the remaining \$8.684 million exchange payments due to the Alameda CTC CMA TIP Program.

Projects approved to receive CMA TIP Program funds cannot be reimbursed at this time without the receipt of the funds from ACPWA. The Alameda CTC has approved programming commitments and incurred costs against the CMA TIP Program, which are reliant on the funds due from ACPWA. The Alameda CTC incurs project costs and is reimbursed through grant sources such as federal grants or the CMA TIP Program and the ability for the Alameda CTC to cover day to day expenses (which rely on the timely grant reimbursements) as well as repayment of loans from Measure B (utilized to cover day to day agency cash needs) are at risk. Once payment is received from ACPWA, the Alameda CTC will also amend the FY 14/15 capital project budget (for projects including I-880, I-238 and I-680 corridor) to avoid delay to project delivery schedules. The payments due from ACPWA for the two exchanges detailed above are the final general CMA TIP receivables at this time.

The negotiated payment amounts and schedule will allow for the mitigation of budget impacts, and provides final clarification of the terms agreed upon for ACPWA to complete the CMA TIP exchange commitment. The reduced payment from the ACPWA to the CMA TIP Program is equivalent to the remaining CMA TIP Program uncommitted capacity and upon approval of this item, the CMA TIP Program remaining capacity to fund additional projects will be eliminated. The terms will be detailed in agreements between the ACPWA and the Alameda CTC. The Alameda County Board of Supervisors is scheduled to consider this item on December 2, 2014.

Staff is recommending the Commission approve the revisions to the terms of the CMA TIP exchange with the ACPWA as detailed above and authorize the Executive Director to execute the associated agreements. The CMA TIP Exchange Program Reimbursement Policy, approved by the Alameda CTC in September 2013, will be included in these agreements as well as future CMA TIP Exchange agreements, which stipulates that Measure B and/or VRF Direct Local Distribution payments may be withheld when payments related to a fund exchange have not been received in a timely manner.

Fiscal Impact: Based on this programming action, both revenues and expenditures for the CMA TIP Program and expenditures for the ACCMA capital program will be updated in the 2014-15 mid-year budget update process.

Attachments

- A. October 2010 Alameda CTC Staff Report-Approval of Funding Assistance for the ACPWA Stanley Blvd. Safety and Streetscape Project

Staff Contact

[Stewart Ng](#) Deputy Director of Programming and Projects

[Matt Todd](#), Principal Transportation Engineer

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Memorandum

DATE: October 19, 2010

TO: Alameda County Transportation Commission

FROM: Programs and Projects Committee

SUBJECT: **Approval of Funding Assistance for the Alameda County Public Works Agency Stanley Boulevard Safety and Streetscape Project**

Recommendations:

It is recommended that the Commission approve the proposed strategy to assist the County of Alameda Public Works Agency (County PWA) with an identified shortfall of \$3.582 million for the Stanley Boulevard Safety and Streetscape Project (Project). The strategy is a combination of new funding for the project and a loan with deferred payments.

Summary/Background:

The County PWA awarded the Project on July 27, 2010. The engineers estimate for the Project and the funds identified by the County PWA to fund the Project are \$11 million. The low bid received was \$14.532 million. A shortfall of \$3.582 million has been identified. The County PWA has requested assistance from the Alameda CTC to address the \$3.582 million shortfall.

The Project will construct roadway improvements on Stanley Boulevard between the Cities of Pleasanton and Livermore. The improvements will include items such as bike lanes, curbs and gutters, median reconstruction, traffic signal modifications, pathway construction, landscaping, streetscape, and underground utilities.

Staff proposes to assist the County PWA with the identified shortfall of \$3.582 million. The assistance would include:

Additional funding for Project	\$1.500 million
Loan	<u>\$2.082 million</u>
TOTAL	\$3.582 million

The County PWA staff also identified a need for \$1.453 million for contingency and possible supplemental work. The aforementioned funding plan addresses the funding shortfall for the base Project contract. The County PWA will be responsible for identifying any additional funding required for supplemental work and/or contingency needs for the project.

The County PWA has partnered with the ACCMA in the past in fund exchange arrangements as well as CMA TIP programming. The CMA Exchange (revenue side) and CMA TIP (project funding side) programs were established to provide local funding to projects, or phases of projects, which would be subject to delay and/or significant cost impacts if more restrictive regional, state or federal funds were used in lieu of local funding.

The County PWA committed to provide local funds in exchange for federal funds for the Vasco Road Improvements project(s). The exchange provided the County PWA with \$9.35 million of federal STP funds in return for \$8.728 million of local funds. Commitments have been made by the CMA Board, through the CMA TIP program, to other projects within Alameda County based on the receipt of these funds. The payment of the funds from the County PWA to the ACTC has not been initiated and an executed exchange agreement is pending. Attachment B provides additional information on the history of the initial exchange in 2008.

Based on the existing exchange commitment between the ACTC and the County PWA, staff proposes the following strategy to provide assistance to the County PWA with the identified shortfall of \$3.582 million.

STEP 1: Additional funding for Project: \$1.5 million

- The County PWA received \$9.35 million in federal funds as part of an exchange arrangement.
 - The County PWA agreed to pay the ACTC local funds in the amount of \$8.728 million through the exchange arrangement
- Staff recommends the County PWA receive \$1.5 million in relief from repayment of exchange funds to ACTC, resulting in the repayment being reduced from \$8.728 million to \$7.228 million and therefore providing the proposed additional funding to the County PWA.

STEP 2: Loan: \$2.082 million

- The remainder to the funding assistance is proposed through the deferment of exchange payments due to the ACTC.
 - The County PWA is required to pay the ACTC \$7.228 million (see STEP 1 above).
 - Staff recommends that repayment of \$2.082 million (of the \$7.228 million) be paid to the ACTC on a deferred basis as follows:
 - \$250K per year for 5 years
 - First payment due June 30, 2011 and last payment June 30, 2015
 - Assumed Present Value of \$1.128 million (at 3.5%)
 - \$1.135M with the final annual payment
 - Payment due June 30, 2015
 - Assumed Present Value of \$.954 million (at 3.5%)
 - The County PWA will be required to pay the remainder of the modified exchange commitment of \$5.146 M (\$7.228 million less \$2.082 million) based on the terms of a standard exchange agreement.

- The standard exchange agreement bases repayment on the timing of the reimbursement of the federal funds. In effect the repayment is based on project schedule.

The proposed strategy is contingent on the execution of all the Exchange Agreement(s) formalizing the above assumptions.

Fiscal Impacts:

The proposed funding arrangement would reduce the amount of funds anticipated from a CMA Exchange with County PWA, and effectively reduce the programming capacity by the amount of \$1.5 million. The proposed funding arrangement will also defer the receipt of funds by the ACTC used to fund CMA TIP commitments. The CMA TIP program can accommodate the proposed revisions to the program assumptions.

Attachments:

- Attachment A – Letter Requesting Funding Assistance from Alameda County Public Works Agency
- Attachment B - Alameda CTC - County PWA Vasco Road Project Fund Exchange Summary

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**COUNTY OF ALAMEDA
PUBLIC WORKS AGENCY**
399 Elmhurst Street • Hayward, CA 94544-1307
(510) 670-5480

August 31, 2010

Dennis Fay
Executive Director
Alameda County Congestion Management Agency
1333 Broadway, Suite 220
Oakland, CA 94612

Dear Mr. Fay:

Subject: Funding Request for the Stanley Boulevard Safety Project

This letter is to request the reallocation of \$5.73 million in CMA TIP funds to the Stanley Boulevard Safety Improvement Project. Specifically, I am requesting relief from repayment of the exchanged federal funds that were allocated for the Vasco Road Safety Improvement Project.

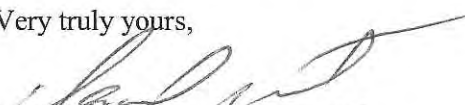
With the completion of Phase I of the Vasco Road Safety Improvement Project and the commitment made to deliver the Stanley Boulevard Safety Project, another regionally significant project in eastern Alameda County, the Public Works Agency had to reallocate the \$5.73 million of exchange funds to the Stanley Boulevard project. If required to reimburse the Alameda County Congestion Management Agency (ACCMA) \$5.73 million for the exchanged federal monies with the Metropolitan Transportation Commission (MTC), Stanley Boulevard would be underfunded. Therefore, I am requesting ACCMA to allocate the \$5.73 million to the Stanley Boulevard Project, a qualifying project for the funds.

Stanley Boulevard, carrying approximately 30,000 vpd, functions as a regionally significant arterial roadway which would qualify for both STP and STIP funding. The project will improve safety for all users, provide pedestrian, bicycle, and transit facilities, extend the life of the existing infrastructure, and include extensive landscaping treatments which will enhance air and water quality. The pedestrian and bicycle improvements along the portions of Stanley Boulevard within the Cities of Livermore and Pleasanton are discontinuous along the County's portion – the project will provide the needed continuity of facilities.

The timing and readiness of the Vasco Road project provided an opportunity to exchange federal funds for CMA TIP funds. The use of CMA TIP funding for Stanley Boulevard would be an ideal application of the ACCMA local funds, primarily to advance project delivery for locally sponsored projects.

I would appreciate your support for the reallocation of the \$5.73 million in CMA TIP monies to the Stanley Boulevard project. If you have any questions, please contact me at (510) 670-5455.

Very truly yours,



Daniel Woldesenbet, Ph.D., P.E.
Director of Public Works

AC:pr

Alameda County Transportation Commission (Alameda CTC)-Alameda County Public Works Agency (County PWA) Vasco Road Project Fund Exchange Summary

The exchange for the subject project was approved by the CMA Board in January 2008.

The County PWA committed to exchange local funds for federal funds for the Vasco Road Improvements project(s). The exchange provided the County PWA with \$9.35 million of federal STP funds in return for \$8.728 million of local funds to be paid to the ACTC by County PWA. Commitments have been made by the CMA Board, through the CMA TIP program, based on the receipt of these funds. The payment of the funds from the County PWA to the ACTC has not been initiated.

Key projects/factors/issues that played a role in the exchange included:

- The region (through MTC) had committed a sizable amount of federal CMAQ funds to Golden Gate Bridge related projects. The Golden Gate Bridge project scope was not eligible for federal CMAQ funds. MTC was pursuing fund exchange opportunities to convert the federal CMAQ funds to STIP funds.
- The CMA had a combination of federal STP funds and STIP funds programmed to CMIA projects on I-80, I-580 and I-880. Federal STP funds are eligible for more project types than federal CMAQ funds. These projects were also eligible to use federal CMAQ.
- The County PWA was the sponsor of the Vasco Road Safety project, with a funding package that included over \$9 million in local funds. The local funds included funding from the County PWA sources as well as local funding from partner agencies in Contra Costa County, which would not be available prior to the project's scheduled construction. This project was eligible for federal STP funds.
- The exchange allowed for the adjustment of funds between projects and better matching the project scopes to fund sources.
- As a result of the exchange:
 - The I-80, 580 HOV Lane, and I-880 HOV Lane Projects have advanced with federal CMAQ and local funds in place of federal STP or STIP funds
 - The Vasco Road Safety Project has advanced with federal STP funds in place of local funds
 - The County PWA has started project construction using federal funds, but not yet paid any local funds to the ACTC (through the exchange).
 - The federal STP funds have provided funding prior to all local funds being available from Contra Costa County.
 - The County PWA received more federal funds than they are required to pay back (through the exchange agreement).
 - The local funds provided through the subject exchange have been committed to advance other projects.
 - The Golden Gate Bridge project, which accepted \$12 million of STIP funds, has not received a CTC vote yet.



Memorandum

6.8

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: East Bay Greenway Project: Corridor Planning and Coliseum BART to 85th Avenue Construction (PN 635.1)

RECOMMENDATION: Approve the programming actions and authorize the Executive Director to execute agreements required for the construction component of the project.

This recommendation will:

- 1) Approve the programming of \$345,000 in Measure B Bicycle/Pedestrian Countywide Discretionary Funds as local match to Active Transportation Program grant for corridor planning,
- 2) Approve the programming of an additional \$350,000 of Measure B Bicycle/Pedestrian Countywide Discretionary Funds for the construction phase of the Coliseum BART to 85th Avenue segment, and
- 3) Authorize the Executive Director, or his designee, to execute amendments to the construction and construction management contracts up to the additional funding amount and for additional time as required by the project schedule.

Summary

The East Bay Greenway is a major trail project in the Countywide Bicycle and Pedestrian Plans that is ultimately envisioned to traverse North, Central, and South Alameda County from Contra Costa County to Santa Clara County, providing a critical walking and bicycling facility for transportation and recreation. Substantial portions of the trail are envisioned to be constructed along the Bay Area Rapid Transit (BART) alignment and the greenway will provide high quality connections to regional transit and other key destinations.

Alameda CTC applied for and received a \$2,656,000 Active Transportation Program grant (state program) for planning and project development work for the 15-mile portion of the East Bay Greenway from Fruitvale to South Hayward. This grant has an 11.47% local match requirement and staff recommends the programming of \$345,000 in Measure B Bicycle/Pedestrian Countywide Discretionary Funds to satisfy this requirement.

The Alameda CTC is also the sponsor of the construction of a half mile segment of the East Bay Greenway Project located between 75th and 85th Avenues, adjacent to San Leandro Street and beneath the aerial BART tracks, in the City of Oakland (Segment 7A). During the course of construction, several unforeseen issues arose that has caused a delay in the completion of the project. Issues include revisions to the lighting and signal plans which

delayed the procurement of lighting and signal material by several months, contaminated material that required special handling and disposal at a Class I facility, and buried man-made objects encountered during installation of signal foundations. As a result of the delays, the project completion date has been extended by 90 days and construction management services are needed for a longer period of time than originally anticipated. The costs associated with the required additional construction management exceeds the current construction support budget. In addition, the contractor has submitted a notice of potential claim for compensation for home office overhead due to the delays.

In order to complete the project, it is estimated that an additional \$350,000 will be required for construction capital and support costs. These funds will augment the initial \$1,662,000 of Measure B Bicycle/Pedestrian Countywide Discretionary Funds that have been committed to the East Bay Greenway Corridor to date, including initial corridor level study, preliminary engineering, design and construction.

Background

The East Bay Greenway is a major trail project in the Countywide Bicycle and Pedestrian Plans that is ultimately envisioned to traverse North, Central, and South Alameda County from Contra Costa County to Santa Clara County, providing a critical walking and bicycling facility for transportation and recreation. Substantial portions of the trail are envisioned to be constructed along the BART alignment and the greenway will provide high quality connections to regional transit and other key destinations.

The East Bay Greenway is a high priority project in Alameda CTC's plans and is included in the local bicycle/pedestrian plans of all jurisdictions that it connects and the East Bay Regional Park District Trails Master Plan. The East Bay Greenway is also supportive of BART's 2008 Strategic Plan and Station Area planning efforts completed or underway at all of the stations that it will serve.

Corridor Planning

Alameda CTC applied for and received a \$2,656,000 Active Transportation Program grant (state program) for planning and project development work for the 15-mile portion of the East Bay Greenway corridor from Fruitvale to South Hayward. Alameda CTC's successful application was part of a program of \$180 million in active transportation projects funded out of a statewide call for projects with over \$1 billion in requests. This grant has an 11.47% local match requirement and staff recommends the programming of \$345,000 in Measure B Bicycle/Pedestrian Countywide Discretionary Funds to satisfy this requirement. The total cost will be \$3,001,000.

Major corridor planning tasks will include development of a Project Study Report-equivalent, state and federal environmental clearance, and stakeholder and community coordination activities. Staff is finalizing a scope of work and will initiate procurement in Spring 2015.

Construction of Segment 7A

The East Bay Greenway – Segment 7A project is a half-mile segment of the East Bay Greenway Trail and is located between 75th and 85th Avenues, adjacent to San Leandro Street and beneath the aerial BART tracks in the City of Oakland. The project started construction in October 2013 and is anticipated to be completed by late 2014.

The project is currently under construction and is substantially complete. During the course of construction, various unforeseen issues have delayed completion of the project including: revisions to the lighting and signal plans which delayed the procurement of lighting and signal material by several months; contaminated material that required special handling and disposal at a Class I facility; and buried man-made objects encountered during installation of signal foundations. As a result of the delays, the project completion date has been extended 90 days. The delays have resulted in higher than anticipated construction management costs to complete the project. In addition, the contractor has filed a notice of potential claim for compensation for home office overhead for the delays.

In order to complete the project, it is estimated that an additional \$350,000 is needed to address the impacts associated with the delays including increased construction managed costs and anticipated settlement of potential claims with the contractor. The notice of potential claim with the contractor for home office overhead associated with the delays will be negotiated and settled at project close-out. Approval of this request will result in the agreement modifications outlined in Table A:

Table A: East Bay Greenway Project – Segment 7A Agreements Proposed Modifications				
Agreement No.	Firm (Services)	Time Request	Current Approved Not-to-exceed Budget	Proposed Additional Budget
A13-0020	Ghirardelli Associates, Inc. (Construction Management)	6 months	\$535,800	\$125,000
Total:				\$125,000

Bicycle/Pedestrian Countywide Discretionary Funds The Measure B half-cent transportation sales tax allocates approximately 60 percent of the net sales tax revenues to essential programs and services in Alameda County. A portion of these funds (1.25% of the net Measure B revenue) is earmarked for the Bicycle/Pedestrian Countywide Discretionary Funds. These funds have supported priority bicycle and pedestrian oriented projects and programs. The East Bay Greenway is a high priority project in Alameda CTC's plans Bicycle and Pedestrian Countywide plans. These funds will augment the initial \$1,662,000 of Measure

B Bicycle/Pedestrian Countywide Discretionary Funds that have been committed to the East Bay Greenway Corridor to date, including initial corridor level study, preliminary engineering, design and construction.

Fiscal Impact: The fiscal impact for approving this item is \$695,000; the action will authorize the programming and the encumbrance of additional project funding for subsequent expenditure and will be reflected in the mid-year budget update of the Alameda CTC FY 2014-2015 Operating and Capital Program Budget.

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Matt Todd](#), Principal Transportation Engineer

[Connie Fremier](#), Project Controls Team

[Matt Bomberg](#), Assistant Transportation Planner



Memorandum

6.9

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: I-680 Northbound Express Lane (721.0): Contract Amendment to the Professional Services Agreement (Agreement No. A11-0034) with WMH Corporation

RECOMMENDATION: Approve and authorize the Executive Director, or his designee, to execute Amendment No. 2 to the Professional Services Agreement No. A11-0034 with WMH Corporation for an additional not-to-exceed amount of \$450,000 for a total not-to-exceed amount of \$6,611,366 and a contract time extension to June 30, 2016.

Summary

The Alameda CTC is the implementing agency for the project development phase of the I-680 Northbound Express Lane project (721.0). This project proposes to widen I-680 to construct a Northbound HOV/Express Lane from SR 237 to SR 84 in Santa Clara and Alameda counties. The Southbound HOV/Express Lane from SR 84 to SR 237 has been operational since September 2010. The combined HOV/Express Lane facility will allow solo drivers to access the unused lane capacity for a fee while allowing carpool traffic to use the lane at no cost. The express lane optimizes capacity, reduces congestion and increases travel time reliability within the 14 mile corridor. The Alameda CTC retained WMH Corporation (WMH) to provide professional engineering services to clear the project approval and environmental document (PA&ED) phase of the project.

Since Amendment No. 1 was executed in July 2013, the project scope has been expanded (1) to develop the Phase 1 Modified alternative within financial constraints, (2) to include a Caltrans pavement rehabilitation project, and (3) to address the changes in technical report standards and environmental documentation requirements.

The requested Amendment No. 2 to Agreement No. A11-0034 for an additional amount of \$450,000 for a total not-to-exceed amount of \$6,611,366 and a contract time extension to June 30, 2016 will allow WMH to complete final PA&ED; develop construction phasing within financial constraints; address changes in environmental documentation standards; and update all technical reports and the environmental document to include the Caltrans pavement rehabilitation project.

Background

In July 2011, the Alameda CTC retained WMH to provide PA&ED services for converting an already approved I-680 NB HOV Lane project to a combined HOV/Express Lane facility, between SR 237 and SR 84. In August 2011, in response to a writ filed by a local city, Alameda County Superior Court directed Caltrans to vacate the environmental document prepared for the I-680 NB HOV Lane project in its entirety. Given the Court's direction and that 7 to 10 years had passed since the technical studies were conducted, Caltrans and the Alameda CTC decided to elevate the environmental document from the original Initial Study/Environmental Assessment (IS/EA) to the higher level Environmental Impact Report/Environmental Assessment (EIR/EA). As a result of this change, expanded preliminary engineering, traffic analysis, and technical studies were required.

Amendment No 1 (to Agreement No. A11-0034) executed in July 2013 reset WMH's base project scope, schedule, and budget to incorporate the above mentioned changes.

Since then, the scope was expanded to accommodate several additional elements (1) to include Phase 1 Modified alternative that can be built within the financial constraints, (2) to include a Caltrans pavement rehabilitation project, and (3) to update information to address changes in technical standards and environmental documentation requirements and to address an additional study requested at the scoping meeting. The following additional required work was either not included in the original scope of the contract or increased from the anticipated level of effort in the original scope:

- Update all 16 technical studies and DED to incorporate the pavement rehabilitation project
- Develop a construction phasing plan with a viable alternative that can be built in the near term within financial constraints. This Phase 1 Modified would be developed to minimize widening and environmental impacts using nonstandard lane and shoulder widths to the extent acceptable to Caltrans and FHWA
- Develop technical study limits of temporary and permanent disturbance for Phase 1; calculate impact areas for technical studies; update limits of disturbance and recalculate impact area quantities
- In addition to the Traffic Operation Analysis Report (TOAR), at the scoping meeting held in late 2012, the city of Pleasanton requested a separate traffic study to assess traffic impacts due to cut through traffic on citywide roadways. This study was instrumental in obtaining City concurrence that the project would not significantly impact citywide roadway.
- Update the Preliminary Foundation Report (PFR) to address new requirements for Surface Fault Rupture Displacement Hazard Analysis & Fault Rupture findings for the Advance Planning Study (APS)
- Update Life Cycle Cost Analysis (LCCA) to meet the new standard
- EIR/EA required a few more rounds of Caltrans review, including Caltrans HQ Environmental and Legal reviews

The schedule for the I-680 NB Express Lane project is as follows:

- DED Circulation in November 2014
- Public Hearing in January 2015
- Final PA&ED in August/September 2015

Table A shown below provides a summary of the existing and proposed contract actions to Agreement No. A11-0034.

Table A: Summary of Agreement No. A11-0034			
Contract Status	Work Description	Value	Total Contract Not-to-Exceed Value
Original Professional Services Agreement with WMH Corp. (A11-0034), executed August 2011	Project Approval and Environmental Clearance (PA&ED)- Provide Preliminary Engineering and environmental studies to complete a combined PSR/PR and ND/FONSI	\$3,661,366	\$3,661,366
Amendment No. 1 July 2013	Provide expanded preliminary engineering and environmental services to complete PSR/PR & an EIR/EA	\$2,500,000	\$6,161,366
Proposed Amendment No. 2	Provide additional preliminary engineering & traffic studies; develop Phase 1 modified; update technical studies, PR and ED (This Agenda Item) <ul style="list-style-type: none"> • \$450,000 • Time extension to June 30, 2016 (original contract expiration June 2015) 	\$450,000	\$6,611,366
Total Amended Contract Not-to-Exceed Amount			\$6,611,366

WMH and sub-consultant WRECO reported a conflict with the Levine Act regarding Alameda CTC Commissioner Tim Sbranti. However, the conflict will have no impact on the committees' consideration of this item, as Commissioner Sbranti is not on the PPC, which will consider this item.

Staff recommends the execution of Amendment No. 2 to the Professional Services Agreement No. A11-0034 with WMH for an additional not-to-exceed amount of \$450,000 for a total not-to-exceed amount of \$6,611,366 and a time extension to June 30, 2016 to allow WMH to complete the final PA&ED.

Fiscal Impact: The fiscal impact of approving this item is \$450,000. The action will authorize the encumbrance of additional project funding for subsequent expenditure. This budget is included in the appropriate project funding plans and has been included in the Alameda CTC Adopted FY 2014-2015 Operating and Capital Program Budget.

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Susan Chang](#), Project Controls Team



Memorandum

6.10

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• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: I-880 Operational and Safety Improvements at 23rd and 29th Avenue Project (PN 717.0): Amendment No. 7 to the Professional Services Agreement with RBF Consulting (Agreement No. A10-013)

RECOMMENDATION: Approve and authorize the Executive Director, or his designee, to execute Amendment No. 7 to Agreement No. A10-013 with RBF Consulting for an additional not-to-exceed amount of \$437,500 for a total not-to-exceed amount of \$10,110,100 for continued design support services during construction.

Summary

The Alameda CTC is sponsoring the I-880 Operational and Safety Improvements at 23rd and 29th Avenue Project (PN 717.0) in the I-880 corridor in Oakland. The construction contract was awarded on April 30, 2014. As the project sponsor and development lead for the design phase, Alameda CTC is responsible for providing design support services during construction (DSDC) throughout the construction phase of the project to support Caltrans in completing the project.

Amendment No. 7 would provide budget to allow RBF Consulting, the design engineer of record, to provide continued DSDC for the project.

Discussion

The project will construct operational and safety improvements on I-880 at the existing overcrossings of 23rd Avenue and 29th Avenue in the City of Oakland. Improvements include replacement of the freeway overcrossing structures, improvements to the northbound on- and off-ramps as well as the freeway mainline. Caltrans is implementing the construction phase for the project. The construction contract was awarded on April 30, 2014 and is currently scheduled to complete construction in 2019.

As the project sponsor and development lead for the design phase, Alameda CTC is responsible for providing DSDC throughout the construction phase of the project to support Caltrans in completing the project. Staff is requesting additional contract authority to allow RBF Consulting, the engineer of record, to provide DSDC which includes activities such as: review of contractor submittals, response to requests for information, preparation of design changes and general design support services.

Table A provides a summary of the existing and proposed contract actions to Agreement A10-013.

Staff recommends the approval and execution of Amendment No. 7 for a new contract total not-to-exceed amount of \$10,110,100 to retain RBF Consulting to provide continued DSDC to ensure successful delivery of the project.

Sub-consultants WMH Corporation and AECOM reported a conflict with the Levine Act regarding Alameda CTC Commissioner Tim Sbranti. However, the conflict will have no impact on the committees' consideration of this item, as Commissioner Sbranti is not on the PPC, which will consider this item.

Table A: Summary of Agreement No. A10-013 with RBF Consulting			
Contract Status	Work Description	Value	Total Value
Professional Services Agreement (PSA) with RBF Consulting (A10-013)	35% Final Design and R/W Engineering and Acquisition Services	\$1,774,605	\$1,774,605
Amendment No. 1	Additional budget for 65% and 95% Final Design and R/W Engineering and Acquisition Services	\$5,021,280	\$6,795,885
Amendment No. 2	Additional budget for Final Design and R/W Engineering and Acquisition Services	\$926,516	\$7,722,400
Amendment No. 3	Additional budget for Final Design and R/W Engineering and Acquisition Services	\$385,000	\$8,107,400
Amendment No. 4	Additional budget for Final Design & R/W Engineering & Acquisition Services	\$1,227,600	\$9,335,000
Amendment No. 5	Time only extension	\$0	\$9,335,000
Amendment No. 6	Additional budget for Pre-Bid and Bid Support Services and Design Support During Construction	\$337,500	\$9,672,500
Proposed Amendment No. 7	Additional budget to provide continued Design Support During Construction	\$437,500	\$10,110,100
Total Amended Contract Not to Exceed Amount			\$10,110,100

Fiscal Impact: The fiscal impact of approving this item is \$437,500. The action will authorize the encumbrance of additional project funding for subsequent expenditure. This budget is

included in the appropriate project funding plans and has been included in the Alameda CTC Adopted FY 2014-2015 Operating and Capital Program Budget.

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Stefan Garcia](#), Project Controls Team

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Memorandum

6.11

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: I-80 Gilman Interchange (PN 765.0): Contract Amendment to the Professional Services Agreement (Agreement No. A10-012) with PB Americas, Inc.

RECOMMENDATION: Approve and authorize the Executive Director, or his designee, to execute Amendment No. 3 to the Professional Services Agreement No. A10-012 with PB Americas, Inc. for an additional not-to-exceed amount of \$25,000 for a total not-to-exceed amount of \$679,028 and a contract time extension to December 31, 2014.

Summary

The Alameda CTC is the implementing agency for the scoping phase of the I-80 Gilman Interchange project (PN 765.0). This project proposes to reconfigure the Interstate 80 / Gilman interchange, located in northwest Berkeley near its boundary with the City of Albany. The Alameda CTC retained PB Americas, Inc. (PB) to develop a Project Initiation Document (PID) to explore alternatives and determine a preferred solution to improve the Gilman Street interchange.

The requested Amendment No. 3 to Agreement No. A10-012 for an additional amount of \$25,000 for a total not-to-exceed amount of \$679,018 and a contract time extension to December 31, 2014 will allow PB to perform the remaining scoping phase closeout activities.

Background

The Alameda CTC is the implementing agency for the scoping phase of the I-80 Gilman Interchange project located in northwest Berkeley near its boundary with the City of Albany. The purpose of the project is to improve navigation and traffic operations on Gilman Street between West Frontage Road and 2nd Street through the I-80 interchange so that congestion is reduced, queues are shortened and merging and turn conflicts are minimized. The PID document will explore alternatives and determine a preferred solution to improve the Gilman Street interchange with I-80 in the City of Berkeley.

On January 5, 2011, PB was contracted to prepare the PID for the project. Based upon the five alternatives being evaluated for the project, two documents were required to support the PID as follows:

- Project Study Report/Project Development Support-(PSR/PDS)
- Roundabout Report of Conceptual Approval (RRCA)

On May 30, 2014, both documents were submitted to Caltrans. Due to the number of alternatives being examined and the associated technical complexity with the roundabout alternative, the review and approval process took longer than originally estimated. The PID was recently approved by Caltrans on October 2, 2014. An extension until December 31, 2014 and an additional \$25,000 will allow PB to complete all documentation requirements necessary for the scoping phase closeout.

Table A shown below provides a summary of the existing and proposed contract actions to Agreement No. A10-012. PB did not report a conflict with the Levine Act.

Table A: Summary of Agreement No. A10-012			
Contract Status	Work Description	Value	Total Contract Not-to-Exceed Value
Original Professional Services Agreement with PB Americas, Inc. (A10-012), executed January 2011	Prepare Project Study Report (PSR) for the I-80/Gilman Street Interchange Improvements Project	\$654,028	\$654,028
Amendment No. 1 July 2012	Modified scope to develop a Project Study Report – Project Development Support (PSR-PDS)Time only extension	\$0	\$654,028
Amendment No. 2 October 2013	Time only extension	\$0	\$654,028
Proposed Amendment No. 3	Provide additional budget and time to complete PSR-PDS (This Agenda Item) <ul style="list-style-type: none"> • \$25,000 • Time extension to December 31, 2014 	\$25,000	\$679,028
Total Amended Contract Not-to-Exceed Amount			\$679,028

Staff recommends the execution of Amendment No. 3 to the Professional Services Agreement No. A10-012, with PB, for an additional not-to-exceed amount of \$25,000 for a total not-to-exceed amount of \$679,028 and a contract time extension to December 31, 2014 to allow PB to perform the remaining scoping phase closeout activities.

Fiscal Impact: The fiscal impact of approving this item is \$25,000. The action will authorize the encumbrance of additional project funding for subsequent expenditure. This budget is included in the appropriate project funding plans and has been included in the Alameda CTC Adopted FY 2014-2015 Operating and Capital Program Budget.

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Raj Murthy](#), Project Controls Team

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Memorandum

6.12

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: I-880/Broadway-Jackson Interchange Improvement Project (PN 610.0): Project Approval and Environmental Document (PA&ED) Phase

RECOMMENDATION: Authorize the Executive Director, or his designee, to execute a Professional Services Agreement for a not-to-exceed amount of \$4,900,000 with HNTB Corporation for the PA&ED Phase.

Summary

Alameda CTC is the sponsor of the I-880/Broadway-Jackson Interchange Improvement Project, which proposes to identify access and operational improvements between I-880, I-980 and local Oakland streets; including access to and from the Posey/Webster Tubes which connect Oakland and the City of Alameda. The improvements are intended to enhance or replace access to and from the freeway in the area of the existing Broadway and Jackson Street interchanges.

At its meeting on September 25, 2014, the Commission authorized staff to negotiate and finalize the terms and conditions of the agreement with HNTB Corporation (HNTB), the top-ranked firm. Staff has reached agreement with HNTB on the major items and it is anticipated that a contract will be ready for execution by December 2014. The contract value of \$4,900,000 will be funded from previously allocated Measure B funds.

Background

The I-880/Broadway-Jackson Interchange Improvement Project is a 2000 Measure B capital project (ACTIA 10). Alameda CTC is the sponsor of the Project, which proposes to identify access and operational improvements between I-880, I-980 and local Oakland streets; including access to and from the Posey/Webster Tubes which connect Oakland and the City of Alameda. The improvements are intended to enhance or replace access to and from the freeway in the area of the existing Broadway and Jackson Street interchanges.

On June 30, 2014, Alameda CTC issued RFP No. A14-0051 for the I-880/Broadway-Jackson Interchange Improvement Project PA&ED Phase and on September 25, 2014, the Commission authorized staff to proceed with negotiations with HNTB, the top-ranked firm.

Staff has met with HNTB and agreement has been reached on the major items. Based upon the negotiated scope, this contract is projected to achieve 93% Local Business Enterprise and 25% Small Local Business Enterprise utilization. It is anticipated that the contract will be ready for execution by December 2014.

Sub-consultant WRECO reported a conflict with the Levine Act regarding Alameda CTC Commissioner Tim Sbranti. However, the conflict will have no impact on the committees' consideration of this item, as Commissioner Sbranti is not on the PPC, which will consider this item.

Staff recommends authorization for the Executive Director, or a designee, to execute a Professional Services Agreement for a not-to-exceed amount of \$4,900,000 with HNTB to complete the PA&ED phase of the I-880/Broadway-Jackson Interchange Improvement Project.

Fiscal Impact: The fiscal impact for approving this item is \$4,900,000 of project funding encumbrance, against previously allocated funds, for subsequent expenditure. This amount is included in the appropriate project funding plans and sufficient budget has been included in the Alameda CTC Adopted FY 2014-2015 Operating and Capital Program Budget.

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Trinity Nguyen](#), Senior Transportation Engineer



Memorandum

6.13

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Alameda CTC Staff and Retiree Benefits for Calendar Year 2015 and Salaries for Fiscal Year 2015-2016

RECOMMENDATION: Approve the Alameda CTC Staff and Retiree Benefits for Calendar Year 2015 and Salaries for Fiscal Year 2015-2016 and adopt Resolution No. 14-017 Fiscal Year 2015-2016 Salaries and Calendar Year 2015 Benefits for Staff Members.

Summary

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 26 approved positions in 19 different job classifications filled by 21 employees, including the Executive Director. For 2015, it is anticipated that the number of Agency staffing positions will remain unchanged.

This memorandum seeks the Commission's approval of the Alameda CTC Staff and Retiree Benefits for Calendar Year 2015 and Salaries for FY 2015-16. The calendar year 2015 benefits outlined in Resolution 14-017 include holiday, vacation and sick leave policies, and health insurance and other benefits for staff members. The calendar year 2015 benefits remain generally unchanged from Resolution 13-013, which was approved by the Commission in December 2013. Changes in this calendar year's benefits include:

1. A reduction in the Cafeteria Plan benefit rate of 5.15% to \$2,045 for active employees; and,
2. An increase in The Public Employees' Medical and Hospital Care Act (PEMHCA) monthly minimum required contribution of 2.5% to \$122.

The FY 2015-16 salary structure also remains generally unchanged from December 2013, with the exception of the following:

1. A change in position classification of Director of Finance to Director of Finance and Administration, and a corresponding adjustment to the salary range;
2. An adjustment to the salary range for the Accounting Technician classification to be more in line with market conditions;

3. Elimination of the Receptionist classification due to a duplication in functional assignments; and,
4. Inclusion of the Executive Director classification and salary range per the requirements of the California Code of Regulations (CCR) 570.5 as contained in the California Public Employees' Retirement Law.

Background

The Alameda CTC has elected to show the pay rate for each position as a range and 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 attached Salaries and Benefits Resolution is also consistent with the Public Employees' Pension Reform Act of 2013 (AB 340), 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 hired on or after January 1, 2013.

For employees hired prior to January 1, 2013 (Classic Employees), the major features of the agency's pension plan includes a "2.5%@55" benefit and employer paid member contribution (EPMC) cost sharing of 5% by the agency and 3% by the employee. The CalPERS-required employer contribution rate for Classic Employees is projected to be 17.9% for FY2015-16. For employees hired on or after January 1, 2013 (New Employees), the major features of the agency's pension plan includes a "2%@62" benefit, but does not include cost sharing of the required employee contribution as it is not allowed per AB 340 which is effective for New Employees. The CalPERS-required employer contribution rate for New Employees is projected to be 6.25% for FY2015-16. The plan does not include any optional features, payout conversions or optional benefits that have been characterized as "spiking" of the pension benefit.

The Alameda CTC Retiree Health Benefit Amount for the 2015 calendar year is reimbursed to retirees through the Health Reimbursement Arrangement (HRA) Plan. The HRA Plan is a premium reimbursement plan for retiree health care premiums. The Alameda CTC will contribute only the required minimum contribution amount directly to CalPERS for retirees (\$122 per month in 2015). CalPERS requires that the remaining premium costs be deducted directly from the retiree's monthly retirement check under the CalPERS pension plan. Once CalPERS takes this deduction, the Alameda CTC's HRA will reimburse each retiree for the deduction, up to the annually determined amount. The HRA contribution amount recommended for 2015 is \$1,307 per retiree per month (\$1,428.90 Kaiser Bay Area Employee [Retiree] Plus One Rate, less \$122 PEMHCA-required minimum contribution). Similar to active employees, if a retiree's elected health coverage costs exceed the amount approved by

the Commission, the retiree will be required to pay for the additional amount from his or her own funds.

The California Code of Regulations (CCR) 570.5 as contained in the California Public Employees' Retirement Law requires a publicly available pay schedule for purposes of determining the amount of "compensation earnable" pursuant to Government Code (GC) sections 20630, 20636, and 20631.1. Pay rate shall be limited to the amount listed on a pay schedule that meets all of the following requirements:

1. Has been duly approved and adopted by the employer's governing body in accordance with requirements of applicable public meeting laws;
2. Identifies the position title for every employee position;
3. Shows the pay rate for each identified position, which may be stated as a single amount or as multiple amounts within a range;
4. Indicates the time base, including, but not limited to, whether the time base is hourly, daily, bi-weekly, monthly, bi-monthly, or annually;
5. Is posted at the office of the employer or immediately accessible and available for public review from the employer during normal business hours or posted on the employer's internet website;
6. Indicates an effective date and date of any revisions;
7. Is retained by the employer and available for public inspection for not less than five years; and
8. Does not reference another document in lieu of disclosing the pay rate."

Whenever an agency does not provide a publicly available pay schedule as defined in CCR 570.5, CalPERS will determine that the pay amount reported fails to meet the definition of pay rate as provided in GC sections 20636 (b)(1), 20636.1(b)(1) and 7522.34(a), and will therefore be excluded when calculating a member's retirement benefit.

Fiscal Impact

There is no fiscal impact.

Attachments

- A. Recommended FY 2015-16 Staff Classifications and Annual Salary Ranges for Alameda CTC Effective July 1, 2015
- B. Resolution No. 14-017 Fiscal Year 2015-2016 Salaries and Calendar Year 2015 Benefits for Staff Members

Staff Contact

Arthur L Dao, Executive Director

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**Recommended FY 2015-16 Staff Classifications
and Annual Salary Ranges for Alameda CTC
Effective July 1, 2015**

Position/Classification	Min	Med	Max
Executive Director	\$207,505	\$238,631	\$269,756
Deputy Director of Projects and Programming	\$153,876	\$176,957	\$200,039
Deputy Director of Planning and Policy	\$153,876	\$176,957	\$200,039
Director of Finance and Administration	\$153,876	\$176,957	\$200,039
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
Contracting, Administration and Fiscal Resource Manager	\$93,906	\$107,992	\$122,077
Senior Accountant	\$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
Accounting Technician	\$60,750	\$69,863	\$78,976
Executive Assistant	\$58,740	\$67,552	\$76,363
Administrative Assistant	\$53,216	\$61,199	\$69,181

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION****RESOLUTION 14-017****Fiscal Year 2015-2016 Salaries and
Calendar Year 2015 Benefits for Staff Members**

Commission Chair
Supervisor Scott Haggerty, District 1

Commission Vice Chair
Councilmember Rebecca Kaplan,
City of Oakland

AC Transit
Director Elsa Ortiz

Alameda County
Supervisor Richard Valle, District 2
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
Supervisor Keith Carson, District 5

BART
Director Thomas Blalock

City of Alameda
Mayor Marie Gilmore

City of Albany
Vice Mayor Peter Maass

City of Berkeley
Councilmember Laurie Capitelli

City of Dublin
Mayor Tim Sbranti

City of Emeryville
Vice Mayor Ruth Atkin

City of Fremont
Mayor Bill Harrison

City of Hayward
Mayor Barbara Halliday

City of Livermore
Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Vice Mayor Larry Reid

City of Piedmont
Mayor Margaret Fujioka

City of Pleasanton
Mayor Jerry Thorne

City of San Leandro
Councilmember Michael Gregory

City of Union City
Mayor Carol Dutra-Vernaci

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 13-013, thereby establishing a consistent set of benefits and leave policies, and this Resolution is intended to supersede and replace such Resolution 13-013; and

NOW, THEREFORE, BE IT RESOLVED that the salaries for fiscal year 2015-2016 and employment benefits for staff of the Alameda CTC for January 1, 2015 through December 31, 2015 are hereby adopted, and are herein set forth.

1. Salaries

1.1 The fiscal year 2014-2015 salary ranges approved by the Commission on December 5, 2013 are revised to include the following: (a) Director of Finance position/classification title change to Director of Finance and Administration with a corresponding adjustment to the salary range; (b) adjustment to the salary range for Accounting Technician; (c) elimination of the receptionist classification and (d) inclusion of the Executive Director

- position/classification and its approved salary. The revised salary ranges shall apply during the period from July 1, 2015 through June 30, 2016.
- 1.2 An employee shall be compensated at a rate set between or equal to the minimum (min) and maximum (max) of the range specified in Attachment A for their respective position classification.
 - 1.3 The duties and responsibilities of the position classification 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 classification identified in Paragraph 1.2.
- 2. Appointment 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 may meet with their supervisor to discuss performance to date. At the time of the discussion the supervisor may 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.
 - 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 may 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	-	January 1, 2015, Thursday
Martin Luther King Day	-	January 19, 2015, Monday
Presidents' Day	-	February 16, 2015, Monday
Memorial Day	-	May 25, 2015, Monday
Independence Day	-	July 3, 2015, Friday
Labor Day	-	September 7, 2015, Monday
Veterans Day	-	November 11, 2015, Wednesday
Thanksgiving Day	-	November 26, 2015, Thursday
Day after Thanksgiving	-	November 27, 2015, Friday
Christmas Eve	-	December 24, 2015, Thursday
Christmas Day	-	December 25, 2015, Friday

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 fiscal 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 prorated.

- 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 will 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. At the Executive Director's discretion, the Alameda CTC may allow an employee separating from service with the Agency for paid retirement to elect to take time off for vacation prior to the employee's date of retirement.
- 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 (prorated 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 CalPERS 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 time off in a 12-month period (whether paid or unpaid) 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 \$2,045 per month per employee. This amount is in addition to the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum required contribution of \$122. 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 prorated amount of the monthly contribution based on actual hours worked.

6. Additional Benefits Programs

6.1 **Transit Subsidy.** All regular full-time employees of the Agency 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.** The Agency 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 and 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, CalPERS 457 Supplemental Income Plan

8. **Administrative Procedure.** The Executive Director shall establish specific guidelines and procedures to implement all benefit policies.

9. **Retirement.** All employees of the Agency 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. The Agency shall contribute to CalPERS each pay period 5% of the 8% employee contribution on behalf of all "Classic" employees (Classic employees are those hired before January 1, 2013). Such contribution shall be reported to CalPERS as "employee contribution being made by the contracting agency" and shall not be deemed to be

"compensation" reportable to CalPERS. This same benefit is not provided for new employees hired on or after January 1, 2013 per the requirements of the Public Employees' Pension Reform Act of 2013 (AB340).

10. **Reimbursement of Expenses.** Alameda CTC will reimburse employees of the Agency 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 the 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 the 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 the Agency as of the date of hire of the employee, or January 1, 2015, 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 13-013 adopted by the Commission on December 5, 2013.

Duly passed and adopted by the Alameda County Transportation Commission at the regular meeting of the Commission held on Thursday, December 4, 2014 in Oakland, California by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

Scott Haggerty, Chairperson

ATTEST:

Vanessa Lee, Clerk of the Commission

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Memorandum

6.1(

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Time Extension Only Amendments

RECOMMENDATION: Approve and authorize the Executive Director to execute amendments for requested time extensions (as shown in Table A) in support of the Alameda CTC's Capital Projects and Program delivery commitments.

Summary

Alameda CTC enters into agreements with consultants and local, regional, state, and federal entities, as required, to provide the services necessary to meet the Capital Projects and Program delivery commitments. Agreements are entered into based upon estimated known project needs for scope, cost, and schedule.

Two agreements have been identified with justifiable needs for a time extension and are recommended for approval.

Background

Through the life of an agreement, situations may arise that warrant the need for a time extension. The most common and justifiable reasons include (1) project delays and (2) extended project closeout activities.

Staff recommends that the Commission authorize the Executive Director of Alameda CTC to amend the listed agreement as shown in Table A (Attachment A).

There is no Levine Act conflict.

Fiscal Impact: There is no significant fiscal impact to the Alameda CTC budget due to this item.

Attachments:

A. Contract Time Extension Summary

Staff Contact

[Stewart Ng](#), Deputy Director of Programming and Projects

[Trinity Nguyen](#), Sr. Transportation Engineer

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Index No.	Agreement No.	Firm/Agency	Project/Services	Contract Amendment History	Requested Extension	Reason Code	Fiscal Impact
1	04-2395	Caltrans	Conversion of I-580 Westbound Express (HOT) Lanes - APN 724.1/ Independent Quality Assurance	A1: Budget funding revision	12/31/2016	1	None
2	A10-0008	S&C Engineers	I-80 Integrated Corridor Mobility Project – APN 791.0 / Construction Management Services	A1: Time Extension	6/30/2015	1	None

(1) Project delays.

(2) Extended project closeout activities.

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Memorandum

6.15

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Alameda CTC FY2014-15 First Quarter Financial Report

RECOMMENDATION: Approve the Alameda CTC FY2014-15 First Quarter Financial Report.

Summary

The attached FY2014-15 First Quarter Financial Report has been prepared on a consolidated basis by governmental fund type including the General Fund, Special Revenue Funds, the Exchange Fund, the Debt Service Fund, and the Capital Projects Funds. This report provides a summary of FY2014-15 actual revenues and expenditures through September 30, 2014 with comparisons to the year-to-date currently adopted budget. Variances from the year-to-date budget are demonstrated as a percentage of the budget used by line item as well as stating either a favorable or unfavorable variance in dollars. Percentages over 100% indicate that the actual revenue or expense item is over 25% of the total annual budget, and percentages under 100% indicate that the actual revenue or expense item is under 25% of the total annual budget. At the end of the first quarter, the Alameda CTC is showing a net decrease in fund balance in the amount of \$11.4 million primarily due to disbursements for ACTIA-related capital project expenditures.

Activity

The following are highlights of actual revenues and expenditures compared to budget as of September 30, 2014 by fund type:

General Fund

In the General Fund, the Alameda CTC's revenues are less than budget by \$1.7 million or 35.9%, and expenditures are under budget by \$2.8 million or 68.5% (see attachment A). These variances are mainly due to the timing of costs for the Transportation Expenditure Plan and the Countywide Transportation Plan (CWTP). Expenditures for the CWTP planning activities in the General Fund correspond directly to the reimbursement revenue therefore as expenditures increase next quarter, the revenues also will increase. Measure BB ballot costs are expected to be incurred and paid in the second quarter which will bring year to date actual expenses more in line with the budget.

Special Revenue Funds

The Special Revenue Funds group is made up of Measure B Program funds including funds for express bus, paratransit service, bike and pedestrian, transit oriented development, and direct local distributions as well as Transportation for Clean Air (TFCA) funds and Vehicle Registration Fee (VRF) funds. In the Special Revenue Funds, revenues are more than budget by \$1.1 million or 5.0% mainly due to actual collections of both sales tax and VRF revenues which were higher than anticipated (see attachment B). Expenditures in the Special Revenue Funds are \$2.8 million or 11.9% less than budget mostly attributable to the timing of Measure B, TFCA and VRF discretionary programming which were lower than projected in the first quarter of the fiscal year.

Exchange Fund

As of September 30, 2014, Exchange Fund revenues were under budget by \$1.6 million and expenses were over budget by \$2.0 million (see attachment C). The Exchange Fund has commitments to various projects that are dependent on the collection of promised revenues based on historical exchange agreements. However, revenues related to some historical exchanges have not been collected causing the Exchange fund to be unable to honor its commitments. Payments of funds programmed to projects from the Exchange Fund have been put on hold until collections on historical exchanges are realized, however invoices for costs incurred but not yet paid have been accrued.

Debt Service Fund

The Debt Service Fund, held by Union Bank as the bond trustee, originally received \$20.3 million in bond proceeds from Alameda CTC's inaugural Sales Tax Revenue Bonds (Limited Tax Bonds), Series 2014 to pay interest costs. These funds were the premium amount, or the amount received over the par amount, of the bonds issued which is required to be used for debt service per our enabling legislation (see attachment D). Expenditures appear to be over budget by 98.3%, however, the year to date budget amount represents 25% of the annual total, whereas, the Government Accounting Standards Board requires bond interest to be recorded when paid. Per the bond documents, interest payments are required to be made to bondholders on a semi-annual basis on September 1 and March 1 of each year. Therefore actual interest expense should equal the budget total by March 1 and through the end of the fiscal year.

Capital Projects Funds

The Capital Projects Funds incorporate all Alameda CTC capital projects whether they were originally projects of the Alameda County Transportation Improvement Authority (ACTIA), the Alameda County Transportation Authority (ACTA) or the Alameda County Congestion Management Agency (ACCMA). In fiscal year 2011-2012, Alameda CTC implemented a rolling capital budget system in which any unused approved budget is available to pay for costs in subsequent fiscal years. Additional budget authority is requested by project only as needed in accordance with the budget process. The year to date budget amount used for comparisons is a straight line amortization of the total approved project budget including unspent funds rolled over from the prior year.

Expenditures planned through September 30, 2014 in the budget process generally will differ from the straight line budgeted amount used for the comparison. However, presenting the information with this comparison helps financial report users, project managers and the project control team to review year-to-date expenditures to give them an idea of how the project is progressing as compared to the approved budget.

In the Capital Projects Funds, the Alameda CTC's revenues are less than budget by \$16.0 million or 59.9%, and expenditures are less than budget by \$50.0 million or 71.3% (see attachment E). Grant revenue corresponds directly to expenditures for capital projects that receive outside funding.

ACTA

ACTA's East/West Connector project remains on hold due to a funding shortfall as a result of the outcome of Measure B1; however, right of way expenditures may restart later in the fiscal year if Measure BB passes. Expenses for ACTA's I-580/Redwood Road Interchange project are winding down as the project is nearing completion; an adjustment was made in this first quarter to reverse a prior year overstated accrual.

ACTIA

ACTIA related capital projects were below budget partially attributable to the timing of BART's invoicing for the BART Warm Springs Extension project. In addition, expenditures originally charged to Measure B for the I-680 Express Lane have been shifted or reclassified to another funding source to exhaust outside funding sources; expenditures are expected to increase throughout the year because all other funding sources have now been depleted. Expenses for the Route 84 Expressway project, however, are over budget this quarter as work on both the northbound portion is wrapping up and right of way on the southbound portion of the project is also ramping up. Expenses on this project should fall more in line with the budget as the fiscal year progresses.

ACCMA

Both the ACCMA I-580 Eastbound HOV/HOT/AUX Lane project and the I-580 Westbound HOV/HOT Lane project have been affected by a delay in billing due to project change orders. The change orders have recently been executed, and the billing relating to the work performed under the change orders are anticipated to be received in the second quarter of the fiscal year which should bring the expenses for this project more in line with the budget. A lag in billing by the construction contractors for the I-80 Integrated Corridor Mobility project also contributed to actual expenditures falling below budget for the first quarter.

ACTIA Limitations Calculations

Staff has made the calculations required per ACTIA's Transportation Expenditure Plan related to salary and benefits and administration costs. The Salary and Benefits Limitation ratio of 0.59% and Administrative Cost Limitation ratio of 1.79% were calculated based on actual expenditures and were found to be in compliance with the requirements of 1.0% and 4.5%, respectively (see attachment F).

Fiscal Impact

There is no fiscal impact.

Attachments

- A. Alameda CTC General Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2014
- B. Alameda CTC Special Revenue Funds Revenues/Expenditures Actual vs. Budget as of September 30, 2014
- C. Alameda CTC Exchange Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2014
- D. Alameda CTC Debt Service Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2014
- E. Alameda CTC Capital Projects Funds Revenues/Expenditures Actual vs. Budget as of September 30, 2014
- F. ACTIA Fiscal Year 2013-2014 Budget Limitations Calculations as of September 30, 2014

Staff Contact

[Patricia Reavey](#), Director of Finance

[Lily Balinton](#), Accounting Manager

**Alameda CTC General Fund
Revenues/Expenditures
Actual vs Budget
as of September 30, 2014**

6.15A

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
Revenues:				
Sales Tax Revenues	\$ 1,492,815	\$ 1,434,375	104.07%	\$ 58,440
Investment Income	20,386	-	-	20,386
Member Agency Fees	348,705	348,705	100.00%	-
Other Revenues	3,338	3,200	104.29%	137
Grants	1,161,469	2,931,970	39.61%	(1,770,501)
Total Revenues	\$ 3,026,711	\$ 4,718,250		\$ (1,691,539)
Expenditures:				
<u>Administration</u>				
Salaries and Benefits	347,621	390,010	89.13%	42,389
General Office Expenses	270,844	371,013	73.00%	100,169
Other Administration	238,657	414,324	57.60%	175,667
Commission and Community Support	38,051	70,625	53.88%	32,574
Contingency	-	43,750	0.00%	43,750
<u>Planning</u>				
Salaries and Benefits	192,541	172,104	111.87%	(20,437)
Planning Management and Support	62,298	129,466	48.12%	67,168
Transportation Expenditure Plan / CWTP	22,889	1,916,501	1.19%	1,893,611
Congestion Management Program	104,594	143,750	72.76%	39,156
<u>Programs</u>				
Salaries and Benefits	56,573	82,140	68.87%	25,567
Safe Routes to School Programs	110,666	407,125	27.18%	296,459
Other Programming	24,577	136,593	17.99%	112,016
<u>Indirect Cost Recovery/Allocation</u>				
Indirect Cost Recovery from Capital, Spec Rev & Exch Funds	(168,683)	(147,142)	114.64%	21,541
Total Expenditures	\$ 1,300,628	\$ 4,130,259		\$ 2,829,631
Net revenue over / (under) expenditures	\$ 1,726,084	\$ 587,992		

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Alameda CTC Special Revenue Funds
Revenues/Expenditures
Actual vs Budget
as of September 30, 2014

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
Revenues:				
Sales Tax Revenues	\$ 18,976,826	\$ 18,233,935	104.07%	\$ 742,892
Investment Income	11,806	-	-	11,806
VRF Funds	3,221,988	3,000,000	107.40%	221,988
Other Revenues	-	21,563	0.00%	(21,563)
Grants	874,527	739,007	118.34%	135,520
Total Revenues	\$ 23,085,147	\$ 21,994,504		\$ 1,090,643
Expenditures:				
<u>Administration</u>				
Salaries and Benefits	99,807	101,187	98.64%	1,379
General Office Expenses	426	11,313	3.77%	10,887
Other Administration	-	7,250	0.00%	7,250
Commission and Community Support	2,450	8,250	29.70%	5,800
<u>Programs</u>				
Salaries and Benefits	51,834	58,017	89.34%	6,182
Programs Management	48,138	232,111	20.74%	183,973
VRF Programming and Other Costs	2,196,758	3,041,027	72.24%	844,269
Measure B Direct Local Distribution	17,399,674	16,718,524	104.07%	(681,150)
Grant Awards	419,017	1,591,155	26.33%	1,172,138
Other Programming	196,470	1,405,937	13.97%	1,209,467
Total Expenditures	\$ 20,414,576	\$ 23,174,770		\$ 2,760,194
Net revenue over / (under) expenditures	\$ 2,670,572	\$ (1,180,266)		

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Alameda CTC Exchange Fund
Revenues/Expenditures
Actual vs Budget
as of September 30, 2014

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
Revenues:				
Exchange Program Funds	\$ -	\$ 1,603,842	0.00%	\$ (1,603,842)
VRF Funds	-	16,419	0.00%	\$ (16,419)
Interest Revenue	190	-	-	190
Other Revenue	27,027	-	-	27,027
Total Revenues	\$ 27,217	\$ 1,620,261		\$ (1,593,044)
Expenditures:				
Salaries	13,938	17,479	79.74%	3,541
Programs Management and Support	-	750	0.00%	750
Programming Funds	3,610,527	1,585,613	227.71%	(2,024,914)
Total Expenditures	\$ 3,624,465	\$ 1,603,842		\$ (2,020,623)
Net revenue over / (under) expenditures	\$ (3,597,248)	\$ 16,419		

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Alameda CTC Debt Service Fund
Revenues/Expenditures
Actual vs Budget
as of September 30, 2014

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
Revenues:				
Investment Income	\$ 25,911	\$ -	-	\$ 25,911
Total Revenues	<u>\$ 25,911</u>	<u>\$ -</u>		<u>\$ 25,911</u>
Expenditures:				
Bond Interest Expense	\$ 2,803,164	\$ 1,413,460	198.32%	(1,389,704)
Bank Fees	1,089	-	-	(1,089)
Total Expenditures	<u>\$ 2,804,253</u>	<u>\$ 1,413,460</u>		<u>\$ (1,390,793)</u>
Net revenue over / (under) expenditures	<u><u>\$ (2,778,342)</u></u>	<u><u>\$ (1,413,460)</u></u>		

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Alameda CTC Capital Projects Funds
Revenues/Expenditures
Actual vs Budget
as of September 30, 2014

6.15E

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
REVENUES				
Sales Tax Revenues	\$ 12,704,019	\$ 12,206,691	104.07%	\$ 497,328
Investment Income	168,437	216,250	77.89%	(47,813)
VRF Funds	(765)	106,250	-0.72%	(107,015)
Other Revenues	477	500,457	0.10%	(499,980)
Grants	(2,162,620)	13,643,139	-15.85%	(15,805,759)
Total Revenues	\$ 10,709,548	\$ 26,672,787		\$ (15,963,239)
EXPENDITURES				
Administration				
Salaries and Benefits	47,903	46,638	102.71%	(1,266)
General Office Expenses	38,920	54,202	71.80%	15,282
Other Administration	70,512	114,397	61.64%	43,884
Commission and Community Support	1,284	5,000	25.69%	3,716
Contingency	-	6,250	0.00%	6,250
Capital Projects				
ACTA				
Salaries and Benefits	20,945	25,367	82.57%	4,422
Capital Expenditures	900	61,399	1.47%	60,499
I-800 Mod. Rte. 262-Mission Blvd	851	120,354	0.71%	119,502
E/W Connector Project in N. Fremont	5,000	5,602,599	0.09%	5,597,599
Rte. 238 Corridor Improvement	-	1,783,068	0.00%	1,783,068
I-580/Redwood Road Interchange	(10,040,652)	935,759	-1073.00%	10,976,411
I-580, 238 and 880 Corridor Study	819	274,923	0.30%	274,104
Central Alameda County Freeway	-	520,056	0.00%	520,056
ACTIA				
Salaries and Benefits	58,064	64,190	90.46%	6,126
Project Management/Close Out	59,296	577,433	10.27%	518,138
ACE Capital Improvements	-	1,133,723	0.00%	1,133,723
BART Warm Springs Extension	9,701,335	12,519,922	77.49%	2,818,588
BART Oakland Airport Connector	7	1,224,740	0.00%	1,224,732
Downtown Oakland Streetscape	-	945,675	0.00%	945,675
Telegraph Avenue Bus Rapid Transit	291,038	265,748	109.52%	(25,290)
I-680 Express Lane	(1,958,449)	1,598,274	-122.54%	3,556,723
Iron Horse Trail	-	250,000	0.00%	250,000
I-880/Broadway-Jackson Interchange	7,009	563,752	1.24%	556,743
I-580/Castro Vally Interchange Improvement	133,313	862,282	15.46%	728,969
Lewelling/East Lewelling Blvd Widening	368	154,306	0.24%	153,938
I-580 Auxiliary Lanes	211,944	590,137	35.91%	378,193
Rte 92/Clawiter -Whitesell Interchange	-	1,766,374	0.00%	1,766,374
Hesperian Blvd/Lewelling Blvd Widening	-	149,906	0.00%	149,906
Westgate Parkway Extension	-	80,545	0.00%	80,545
E. 14th/Hesperian/150th Improvements	136,418	547,968	24.90%	411,550
I-238 Widening	-	73,541	0.00%	73,541
I-680/I-880 Cross Connector Study	-	87,943	0.00%	87,943
Isabel Avenue - 84/I-580 Interchange	733,729	2,633,894	27.86%	1,900,165
Route 84 Expressway	7,579,909	5,538,725	136.85%	(2,041,185)
Dumbarton Corridor Improvement	-	745,687	0.00%	745,687
I-580 Corridor/BART to Livermore Study	5,160,599	6,616,958	77.99%	1,456,359
I-80 Integrated Corridor Mobility	738	83,750	0.88%	83,012
I-880 Corridor Improvements	168,620	733,276	23.00%	564,655
CWTP/TEP Development	-	12,000	0.00%	12,000
Studies at Congested Seg/Loc on CMP	-	86,724	0.00%	86,724

Alameda CTC Capital Projects Funds
Revenues/Expenditures
Actual vs Budget
as of September 30, 2014

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
ACCMA				
Salaries and Benefits	190,284	123,115	154.56%	(67,170)
Grand MacArthur	-	5,500	0.00%	5,500
I-680 Sunol Express Lanes-Southbound	(44,336)	77,771	-57.01%	122,107
Route 24 Caldecott Tunnel Settlement	379,359	320,133	118.50%	(59,226)
I-880 North Safety & Oper Impr @ 23rd/29th	1,270,221	1,476,673	86.02%	206,452
I-580 EB HOV/HOT/AUX Lane	2,807,452	5,093,630	55.12%	2,286,177
I-680 Sunol Express Lanes-Northbound	129,369	366,941	35.26%	237,572
I-580 Corridor ROW Preservation	248	-	-	(248)
I-580 Westbound HOV/HOT Lane	1,195,998	5,649,089	21.17%	4,453,091
Altamont Commuter Express-Operations	725	401,306	0.18%	400,581
I-880 Southbound HOV Lane	109,351	1,015,600	10.77%	906,249
Webster Street SMART Corridor	3,096	31,677	9.77%	28,581
Marina Boulevard/I-880 PSR	-	23,396	0.00%	23,396
I-80 Gilman Interchange Improvements	107	154,975	0.07%	154,868
I-680/I-880 Cross Connector PSR	-	85,608	0.00%	85,608
I-680 SB HOV Lane	-	846,438	0.00%	846,438
I-580 Soundwall Design	14,594	3,348	435.88%	(11,246)
Route 84 Widening-Pigeon Pass to I-680	2,800	408,955	0.68%	406,155
I-80 Integrated Corridor Mobility	1,646,041	4,224,391	38.97%	2,578,349
SMART Corridors Operations and Management	(17,610)	320,169	-5.50%	337,778
Total Expenditures	\$ 20,118,122	\$ 70,086,195		\$ 49,968,073
Net revenue over / (under) expenditures	\$ (9,408,574)	\$ (43,413,408)		

Alameda County Transportation Improvement Authority
Fiscal Year 2013-2014
Budget Limitations Calculations
As of September 30, 2014

Net Sales Tax	\$ 33,173,659.57	A
Investments & Other Income	<u>(9,391,803.95)</u>	B
Funds Generated	23,781,855.62	C
Salaries & Benefits	196,864.74	D
Other Admin Costs	<u>395,687.57</u>	E
Total Admin Costs	\$ 592,552.31	F

Gross Admin Salaries & Benefits to Net Sales Tax	0.5934% = D/A
Gross Admin Salaries & Benefits to Funds Generated	0.8278% = D/C
Total Admin Costs to Net Sales Tax	1.7862% = F/A

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Memorandum

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1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Alameda CTC FY2014-15 First Quarter Investment Report

RECOMMENDATION: Approve the Alameda CTC FY2014-15 First Quarter Investment Report.

Summary

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

Activity

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

- As of September 30, 2014, total cash and investments held by the Alameda CTC was \$381.9 million with bond proceeds accounting for 23.8% of the total.
- The ACTA investment balance decreased \$0.2 million or 0.2% from the prior year-end balance due to capital projects expenditures. The ACTIA investment balance decreased \$7.3 million or 3.2% also due to capital project expenditures in addition to the semi-annual bond interest payment to bondholders. The ACCMA investment balance decreased \$2.6 million or 7.1% primarily due to an increase in capital expenditures which had not yet been reimbursed as of September 30, 2014.
- Investment yields have grown slightly with the return on investments for the first quarter at 0.25% compared to the prior year's return of 0.24%. Return on

investments were projected for the FY2014-15 budget year at varying rates ranging from 0.3% - 0.5% depending on investment type.

Fiscal Impact

There is no fiscal impact.

Attachments

- A. Consolidated Investment Report as of September 30, 2014
- B. Portfolio Review for Quarter Ending September 30, 2014 (provided by GenSpring Family Offices)
- C. Fixed Income Portfolio and CDARS Investment Statements (Fremont Bank) as of September 30, 2014

Staff Contact

[Patricia Reavey](#), Director of Finance

[Lily Balinton](#), Accounting Manager

Alameda CTC Consolidated Investment Report As of September 30, 2014							
ACTA	Un-Audited	Interest Earned			FY 2013-2014		
	Investment Balance	Interest earned	As of September 30, 2014 Approx. ROI	Budget	Difference	Investment Balance June 30, 2014	Interest earned FY 2013-2014
Checking Account	\$ 185,532	\$ -	0.00%			\$ 454,248	6
State Treasurer Pool (LAIF)	41,375,447	23,049	0.22%			38,053,968	105,048
Investment Advisor ⁽¹⁾	72,807,184	73,950	0.41%			76,075,126	329,264
Loan to ACCMA	10,000,000	-	-			10,000,000	-
ACTA Total	\$ 124,368,164	\$ 96,999	0.31%	\$ 108,750	\$ (11,751)	\$ 124,583,342	\$ 434,317
						Approx. ROI	0.35%
ACTIA	Un-Audited	Interest Earned			FY 2013-2014		
	Investment Balance	Interest earned	As of September 30, 2014 Approx. ROI	Budget	Difference	Investment Balance June 30, 2014	Interest earned FY 2013-2014
Checking Account	\$ 14,422,226	\$ -	0.00%			\$ 6,352,690	175
State Treasurer Pool (LAIF)	44,860,095	23,712	0.21%			49,937,806	97,936
Investment Advisor ⁽¹⁾	67,909,198	31,214	0.18%			57,357,303	84,785
2014 Series A Bond Project Fund	73,315,855	30,277	0.17%			96,414,733	45,733
2014 Series A Bond Interest Fund	17,562,238	25,911	0.59%			20,283,310	32,586
Project Deferred Revenue ⁽²⁾	5,001,031	3,046	0.24%			-	-
ACTIA Total	\$ 223,070,643	\$ 114,160	0.20%	\$ 107,500	\$ 6,660	\$ 230,345,842	\$ 261,215
						Approx. ROI	0.18%
ACCMA	Un-Audited	Interest Earned			FY 2013-2014		
	Investment Balance	Interest earned	As of September 30, 2014 Approx. ROI	Budget	Difference	Investment Balance June 30, 2014	Interest earned FY 2013-2014
Checking Account	\$ 4,942,635	\$ -	0.00%			\$ 2,582,126	-
State Treasurer Pool (LAIF)	22,127,670	15,569	0.28%			29,059,283	45,312
Project Deferred Revenue ⁽³⁾	17,390,792	10,759	0.25%			15,439,924	35,606
Loan from ACTA	(10,000,000)	-	-			(10,000,000)	-
ACCMA Total	\$ 34,461,098	\$ 26,328	0.31%	\$ -	\$ 26,328	\$ 37,081,333	\$ 80,918
						Approx. ROI	0.22%
Alameda CTC TOTAL	\$ 381,899,904	\$ 237,487	0.25%	\$ 216,250	\$ 21,237	\$ 392,010,517	\$ 776,450

Notes:

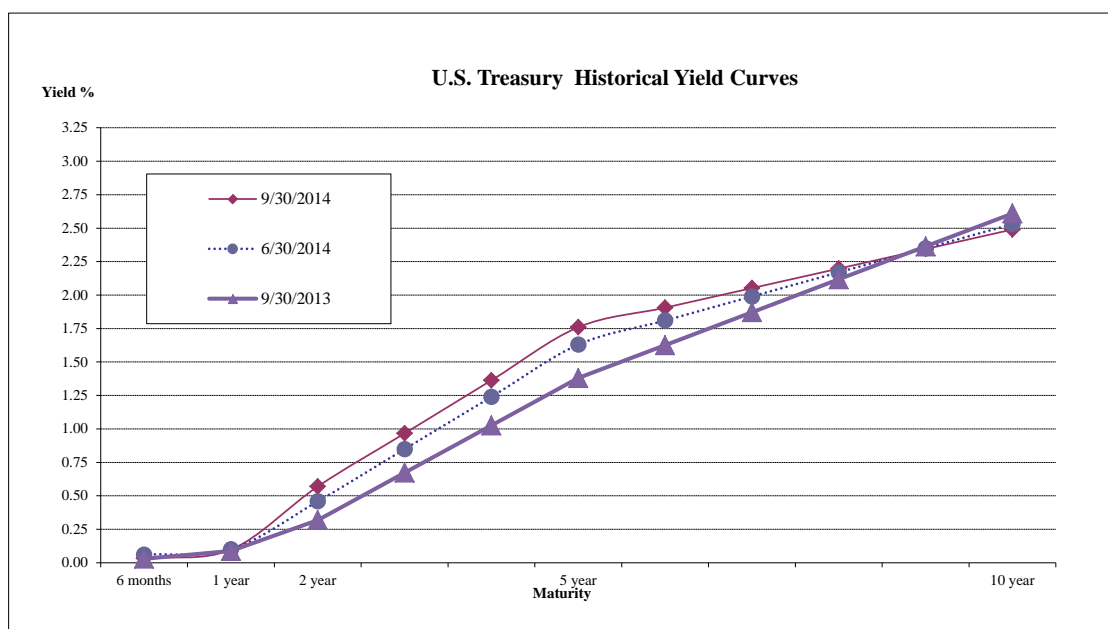
- (1) See attachments for detail of investment holdings managed by Investment Advisor.
- (2) Project funds in deferred revenue are invested in LAIF with interest accruing back to the respective fund which includes TVTC funds.
- (3) Project funds in deferred revenue are invested in LAIF with interest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

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Alameda County Transportation Commission Portfolio Review for the Quarter Ending September 30, 2014

Fixed Income Market Review and Outlook

Interest rates were mixed during the third quarter of the year as short-term rates rose and long-term rates fell. As we enter the last quarter of the year, the bond market continues to be driven by the cross currents of continued inflows from investors fleeing less favorable environments, the fundamentals of continuing improvements in the economy and labor markets and the anticipated actions of the Federal Reserve Board (FED). As we move closer to the time when the Fed ultimately begins to increase short-term rates, speculation surrounding the timing and pace of monetary policy will undoubtedly increase. This will give added significance to economic releases and comments by the various members of the Federal Reserve. It is also likely to increase the volatility of the short-term bond market.



Interest rates remain below the level that would be considered normal given the current outlook for economic growth and inflation. Indeed, as we approached the end of the quarter, interest rates on some very short-term Treasury Bills actually fell into negative territory and interest rates on Treasury Notes out to 2020 remain below the anticipated pace of inflation. For a time, interest rates were held down by the actions of the FED

through a program of buying longer-term Treasuries and Mortgage Backed Securities. These actions are winding down and by the end of October are anticipated to be reduced to the ongoing reinvestment of maturing securities and interest. More recent declines in interest rates were likely driven by continued inflows into the U.S. bond market as a result of geopolitical turmoil, weakness in the Euro (strength in the U.S. Dollar) and a lack of attractive options among the other substantial bond markets of developed nations. We view these latter influences as more transitory in nature and expect their influence to wane as they are resolved.

Sometime around the middle of next year it is widely anticipated that the Fed will begin to raise the Federal Funds rate which serves as the benchmark for all short-term rates in this country. Even the anticipation of an increase in the Fed Funds rate can have an immediate impact on short-term interest rates going out several years. For example, two-year Treasury Notes today will reflect the average of the anticipated Federal Funds rate over the next two years. As we draw closer to the time when the Fed begins to raise rates, the average rate over the next two years should rise and so too will two-year Treasury Note rates.

Key to the degree to which interest rates rise are both the timing and the pace of any rate hikes by the Fed. We know from their own statements that these decisions will be heavily influenced by the pace of economic growth, improvements in the labor markets and the anticipated level of inflation. While the pace of inflation remains well contained at present, both the pace of economic growth and the improvements in the labor market appear to be solid.

Recently, the members of the Federal Reserve published their forecasts of where they individually felt the Federal Funds rate would be at the end of 2015, 2016 and 2017. While the range of expectations is quite wide, the chart below shows the mean levels for each year as well as the corresponding expectations currently priced into the bond market at year's end. As can be clearly seen, the bond market has priced in levels significantly lower than those anticipated by the members of the Federal Reserve.

Year End	Federal Reserve Member's Mean Estimate	Market Implied (from Federal Funds and Euro Dollar Futures Markets)
2015	1.375	0.75 - 0.85
2016	2.75	1.85 - 1.95
2017	3.75	2.60 - 2.75

While it is not uncommon for the Market to ignore the Fed's forecasts, (they are particularly bad at forecasting), it may also be the case that the market is ignoring the Fed's willingness to raise rates at a faster pace than what is currently in the markets. If nothing else, this points to a significant risk of rates rising faster than what is currently anticipated by the market. At today's exceptionally low levels of rates this could result in poor rates of return (over the short run), much like what we saw from May to July of 2013.

We remain quite positive on the outlook for the economy, particularly here in the United States. We believe strong economic growth will soon lead to a lower unemployment rate, higher interest rates and possibly rising inflation. We anticipate being able to invest at higher interest rates within a year.

Strategy

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

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

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

As of the end of the quarter, the consolidated Alameda CTC portfolio consisted of 49.7% US Government Agency securities, 20.4% US Treasury securities, 20.8% High Grade Corporate Bonds, 0% Certificates of Deposit, 8.8% Commercial Paper and 0.3% of cash and cash equivalents.

Compliance with Investment Policy Statement

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

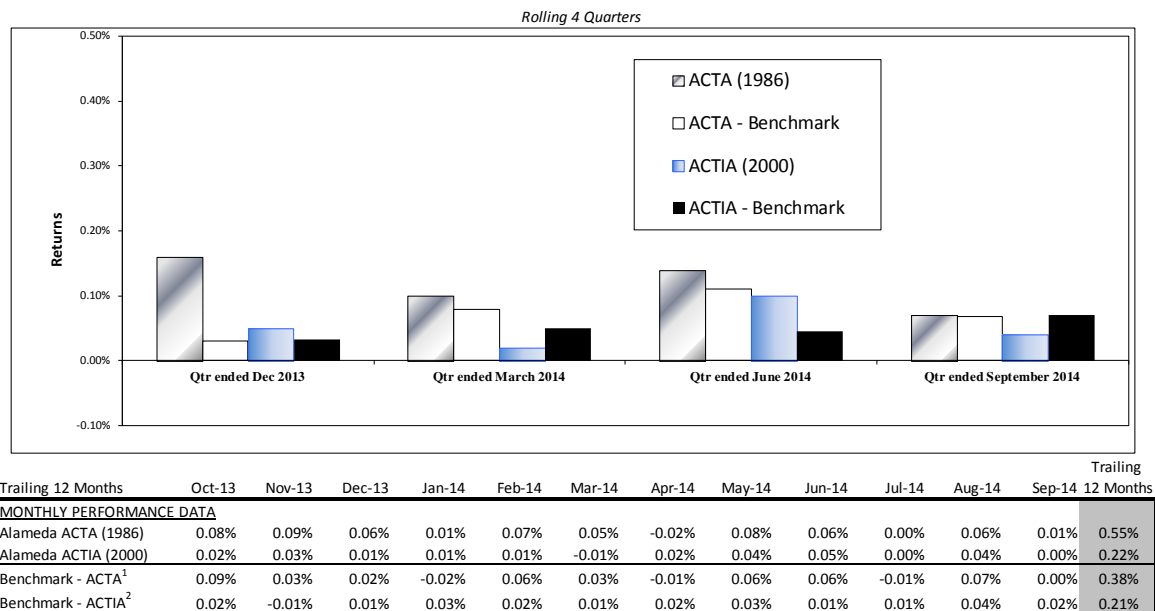
Budget Impact

The portfolio's performance is reported on a total economic return basis. This method includes the coupon interest, amortization of discounts and premiums, capital gains and losses and price changes (i.e., unrealized gains and losses) but does not include the deduction of management fees. For the quarter ending September 30, the ACTA (1986 Measure B) portfolio returned **0.07%**. This compares to the benchmark return of **0.06%**. For the quarter ending September 30, the ACTIA (2000 Measure B) portfolio returned **0.04%**. This compares to the benchmark return of **0.07%**. The exhibit below shows the performance of the Alameda CTC's portfolios relative to their respective benchmarks.

The portfolio's yield to maturity, the return the portfolio will earn in the future if all securities are held to maturity is also reported. This calculation is based on the current market value of the portfolio including unrealized gains and losses. For the quarter ending September 30, the ACTA (1986 Measure B) portfolio's yield to maturity or call was **0.28%**. The benchmark's yield to maturity was **0.17%**. For the quarter ending September 30, the ACTIA (2000 Measure B) portfolio's yield to maturity or call was **0.20%**. The benchmark's yield to maturity was **0.06%**.

Alameda CTC

Quarterly Review - Account vs. Benchmark



Note: This data contains performance prior to July 1, 2014 which was generated by SunTrust Bank. From July 1, 2014 performance was generated by GenSpring Family Offices. Past performance is not an indication of future results. Performance is presented prior to the deduction of investment management fees.

¹ ACTA Benchmark is a customized benchmark comprised of 25% ML 1 -3 year Tsy index, 25% ML 6mo. Tsy index and 50% ML 1 year Tsy index

² ACTIA Benchmark is currently a customized benchmark comprised of 50% ML 6mo. Tsy index and 50% ML 1 year Tsy index. Prior to March 1, 2014 the Benchmark was comprised of 100% ML 6mo. Tsy index

Bond Proceeds Portfolios

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

As of September 30, 2014, \$35,526,414.99 had been distributed from the Project Fund and \$2,803,163.75 had been distributed from the Interest Fund. The quarter end values of the Interest and Project Funds, including unrealized gains and losses, were \$17,577,819.30 and \$73,512,858.40, respectively.

The portfolios were invested by buying allowable high grade fixed income securities whose maturities matched the anticipated cash outlays. As of September 30, 2014 the average life of the cash flows for the Interest Fund was roughly 1.7 years while the average life of the cash flows of the Project Fund was anticipated to be approximately 4.0 months.

One way to measure the anticipated return of the portfolios is their *yield to maturity*. This is the return the portfolio will earn in the future if all securities are held to maturity. This calculation is based on the current market value of the portfolio. For the quarter ending September 30, the Interest Fund portfolio's yield to maturity was **0.61%** and the Project Fund portfolio's yield to maturity was **0.11%**. By comparison, an investment in a U.S. Treasury note of comparable average maturity at the end of the quarter would yield **0.40%** and **0.02%** respectively.

Another method of measuring the portfolio's yield to maturity is the yield of the portfolio at cost. This calculation is based on the value of the portfolio at cost and does not include any unrealized gains or losses as part of its computation. As of the end of the quarter the Interest Fund portfolio's rate of return on investments, at cost, was **0.58%** and the Project Fund portfolio's rate of return on investments, at cost, was **0.15%**. Over time, as the shorter-term securities roll off and the higher yielding longer-term securities remain, the yield of the portfolio at original cost should rise.

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

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FIXED INCOME HOLDINGS
Alameda County Transportation Commission Cust
ACTA 1986 Measure B
Account # N001
September 30, 2014

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur-ation
CASH	61747c70s	MORGAN STANLEY GOVERNMENT INST				65,450.20		65,450.20		65,450.20	0.09		0.0
CORPORATE BONDS													
3,000,000.0000	589331ap2	MERCK & CO INC 4.000% Due 06-30-15	A1	AA	104.21	3,126,180.00	102.70	3,081,060.00	30,333.33	3,111,393.33	4.35	0.39	0.7
3,500,000.0000	94974bfe5	WELLS FARGO CO MTN BE 1.500% Due 07-01-15	A2	A+	101.28	3,544,660.00	100.81	3,528,493.50	13,125.00	3,541,618.50	4.98	0.42	0.7
3,500,000.0000	46623ejr1	J P MORGAN CHASE & CO MTN BE 1.100% Due 10-15-15	A3	A	100.03	3,500,875.00	100.42	3,514,556.50	17,752.78	3,532,309.28	4.96	0.70	1.0
3,500,000.0000	36962g4t8	GENERAL ELEC CAP CORP MTN BE 2.250% Due 11-09-15	A1	AA+	102.62	3,591,700.00	101.76	3,561,603.50	31,062.50	3,592,666.00	5.02	0.65	1.1
1,600,000.0000	06406hcg2	BANK NEW YORK MTN BK ENT 0.700% Due 03-04-16	A1	A+	99.83	1,597,200.00	100.04	1,600,628.80	840.00	1,601,468.80	2.26	0.67	1.4
900,000.0000	064159bv7	BANK OF NOVA SCOTIA 0.950% Due 03-15-16	AA2	A+	100.21	901,854.00	100.38	903,436.20	380.00	903,816.20	1.27	0.69	1.4
						16,262,469.00		16,189,778.50	93,493.61	16,283,272.11	22.84	0.56	1.0
COMMERCIAL PAPER													
3,500,000.000	89233hkq6	TOYOTA MOTOR CREDIT CORP COM1 PAPER 0.000% Due 10-24-14	P-1	A-1+	99.96	3,498,727.33	99.99	3,499,650.00	0.00	3,499,650.00	4.94	0.15	0.1
3,500,000.000	36959ljq4	GENERAL ELEC CAP CORP COM1 PAPER 0.000% Due 11-24-14	P-1	A-1+	99.93	3,497,713.33	99.98	3,499,300.00	0.00	3,499,300.00	4.94	0.13	0.2
						6,996,440.66		6,998,950.00	0.00	6,998,950.00	9.87	0.14	0.1
GOVERNMENT BONDS													
1,500,000.0000	313385f79	FEDL HOME LOAN BK CONS DISC NT 0.000% Due 10-24-14	AAA	AA+	99.97	1,499,603.33	100.00	1,499,988.00	0.00	1,499,988.00	2.12	0.01	0.1
2,500,000.0000	3135g0dw0	FEDERAL NATL MTG ASSN 0.625% Due 10-30-14	AAA	AA+	100.59	2,514,650.00	100.04	2,501,107.50	6,553.82	2,507,661.32	3.53	0.09	0.1
5,000,000.0000	313385r24	FEDL HOME LOAN BK CONS DISC NT 0.000% Due 11-28-14	AAA	AA+	99.98	4,998,879.50	100.00	4,999,895.00	0.00	4,999,895.00	7.05	0.01	0.2
1,775,000.0000	3134g3h78	FEDERAL HOME LN MTG CORP 0.350% Due 12-05-14	AAA	AA+	100.15	1,777,593.28	100.05	1,775,891.05	2,001.81	1,777,892.86	2.51	0.07	0.2
3,500,000.0000	313385f30	FEDL HOME LOAN BK CONS DISC NT 0.000% Due 12-15-14	AAA	AA+	99.99	3,499,475.00	100.00	3,499,891.50	0.00	3,499,891.50	4.94	0.01	0.2
5,000,000.0000	313397u25	FEDL HOME LN MTG CORP DISC NT 0.000% Due 12-22-14	AAA	AA+	99.96	4,997,775.00	100.00	4,999,830.00	0.00	4,999,830.00	7.05	0.01	0.2
5,000,000.0000	912828ud0	UNITED STATES TREAS NTS 0.125% Due 12-31-14	AAA	AA+	100.00	500,000.00	100.02	500,078.00	157.95	500,235.95	0.71	0.06	0.2
2,000,000.0000	313588bw5	FEDERAL NATL MTG ASSN DISC NT 0.000% Due 02-09-15	AAA	AA+	99.99	1,999,728.46	99.99	1,999,854.00	0.00	1,999,854.00	2.82	0.02	0.4
2,500,000.0000	313384ca5	FEDL HOME LOAN BK CONS DISC NT 0.000% Due 02-18-15	AAA	AA+	99.97	2,499,187.50	99.99	2,499,804.69	0.00	2,499,804.69	3.53	0.02	0.4
700,000.0000	3135g0nv1	FEDERAL NATL MTG ASSN 0.500% Due 09-28-15	AAA	AA+	100.40	702,814.00	100.30	702,086.70	29.17	702,115.87	0.99	0.20	1.0
3,000,000.0000	912828k41	UNITED STATES TREAS NTS 0.375% Due 01-31-16	AAA	AAA	100.15	3,004,570.32	100.14	3,004,335.00	1,895.38	3,006,230.38	4.24	0.27	1.3

FIXED INCOME HOLDINGS
Alameda County Transportation Commission Cust
ACTA 1986 Measure B
Account # N001
September 30, 2014

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur- ation
11,000,000.0000	912828uw8	UNITED STATES TREAS NTS 0.250% Due 04-15-16	AAA	AA+	99.56	10,951,875.00	99.80	10,978,088.00	12,698.09	10,990,786.09	15.49	0.38	1.5
3,000,000.0000	912828vc1	UNITED STATES TREAS NTS 0.250% Due 05-15-16	AAA	AA+	99.70	2,990,859.36	99.73	2,991,798.00	2,832.88	2,994,630.88	4.22	0.42	1.6
5,000,000.0000	3135g0xh1	FEDERAL NATL MTG ASSN 0.500% Due 05-20-16	AAA	AA+	99.54	4,977,000.00	100.03	5,001,535.00	9,097.22	5,010,632.22	7.06	0.48	1.6
675,000.0000	3133834+9	FEDERAL HOME LOAN BANKS 0.375% Due 06-24-16	AAA	AA+	99.69	672,934.50	99.80	673,617.60	682.03	674,299.63	0.95	0.49	1.7
						47,586,945.25		47,627,800.04	35,948.34	47,663,748.38	67.19	0.21	0.9
TOTAL PORTFOLIO						70,911,305.11		70,881,978.74	129,441.95	71,011,420.69	100.00	0.28	0.8

FIXED INCOME HOLDINGS
Alameda County Transportation Commission Cust
ACTIA 2000 Measure B
Account # N001UNBI
September 30, 2014

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur-ation
CASH	61747c70s	MORGAN STANLEY GOVERNMENT INST				321,903.01		321,903.01		321,903.01	0.49		0.0
CORPORATE BONDS													
2,000,000.0000	91159hgu8	U S BANCORP MTNS BK ENT 3.150% Due 03-04-15	A1	A+	102.70	2,053,980.00	101.19	2,023,826.00	4,725.00	2,028,551.00	3.07	0.36	0.4
2,500,000.0000	58933lap2	MERCK & CO INC 4.000% Due 06-30-15	A1	AA	102.87	2,571,775.00	102.70	2,567,550.00	25,277.78	2,592,827.78	3.90	0.39	0.7
2,500,000.0000	94974bfe5	WELLS FARGO CO MTN BE 1.500% Due 07-01-15	A2	A+	101.27	2,531,750.00	100.81	2,520,352.50	9,375.00	2,529,727.50	3.82	0.42	0.7
2,400,000.0000	36962g5z3	GENERAL ELEC CAP CORP MTN BE 1.625% Due 07-02-15	A1	AA+	101.44	2,434,488.00	100.95	2,422,824.00	9,641.67	2,432,465.67	3.68	0.36	0.8
2,500,000.0000	46625hnx1	JPMORGAN CHASE & CO 3.450% Due 03-01-16	AA3		103.73	2,593,300.00	103.56	2,589,077.50	7,187.50	2,596,265.00	3.93	0.92	1.4
						12,185,293.00		12,123,630.00	56,206.94	12,179,836.94	18.39	0.50	0.8
COMMERCIAL PAPER													
2,500,000.0000	36959ljq4	GENERAL ELEC CAP CORP COM1 PAPER 0.000% Due 11-24-14	P-1	A-1+	99.93	2,498,366.67	99.98	2,499,500.00	0.00	2,499,500.00	3.79	0.13	0.2
2,500,000.0000	89233hns9	TOYOTA MOTOR CREDIT CORP COM1 PAPER 0.000% Due 01-26-15	P-1	A-1+	99.89	2,497,337.50	99.95	2,498,625.00	0.00	2,498,625.00	3.79	0.17	0.3
						4,995,704.17		4,998,125.00	0.00	4,998,125.00	7.58	0.15	0.2
GOVERNMENT BONDS													
5,000,000.0000	313397l41	FEDL HOME LN MTG CORP DISC NT 0.000% Due 10-21-14	AAA	AA+	99.94	4,997,150.00	100.00	4,999,965.00	0.00	4,999,965.00	7.59	0.01	0.1
2,500,000.0000	313385q33	FEDL HOME LOAN BK CONS DISC NT 0.000% Due 11-21-14	AAA	AA+	99.97	2,499,332.99	100.00	2,499,955.00	0.00	2,499,955.00	3.79	0.01	0.1
2,500,000.0000	313397u25	FEDL HOME LN MTG CORP DISC NT 0.000% Due 12-22-14	AAA	AA+	99.96	2,498,887.50	100.00	2,499,915.00	0.00	2,499,915.00	3.79	0.01	0.2
8,500,000.0000	313384ch0	FEDL HOME LOAN BK CONS DISC NT 0.000% Due 02-25-15	AAA	AA+	99.95	8,495,940.07	99.99	8,499,303.00	0.00	8,499,303.00	12.89	0.02	0.4
5,000,000.0000	3135g0hg1	FEDERAL NATL MTG ASSN 0.375% Due 03-16-15	AAA	AA+	100.22	5,010,850.00	100.11	5,005,310.00	781.25	5,006,091.25	7.59	0.14	0.5
1,500,000.0000	3134g36g0	FEDERAL HOME LN MTG CORP 0.350% Due 03-18-15	AAA	AA+	100.19	1,502,806.50	100.14	1,502,038.50	189.58	1,502,228.08	2.28	0.06	0.5
1,000,000.0000	313588ej0	FEDERAL NATL MTG ASSN DISC NT 0.000% Due 04-15-15	AAA	AA+	99.92	999,211.67	99.98	999,782.00	0.00	999,782.00	1.52	0.04	0.5
1,000,000.0000	3137eadd8	FEDERAL HOME LN MTG CORP 0.500% Due 04-17-15	AAA	AA+	100.36	1,003,600.00	100.22	1,002,169.00	2,277.78	1,004,446.78	1.52	0.10	0.5
5,500,000.0000	313588jy2	FEDERAL NATL MTG ASSN DISC NT 0.000% Due 08-03-15	AAA	AA+	99.93	5,496,186.69	99.91	5,494,857.50	0.00	5,494,857.50	8.34	0.11	0.8
5,500,000.0000	313396lp6	FEDL HOME LN MTG CORP DISC NT 0.000% Due 09-11-15	AAA	AA+	99.87	5,492,760.63	99.86	5,492,091.00	0.00	5,492,091.00	8.33	0.15	0.9
10,000,000.0000	91282uw8	UNITED STATES TREAS NTS 0.250% Due 04-15-16	AAA	AA+	99.57	9,957,048.00	99.80	9,980,080.00	11,543.72	9,991,623.72	15.14	0.38	1.5
						47,953,774.05		47,975,466.00	14,792.33	47,990,258.33	72.78	0.14	0.7

FIXED INCOME HOLDINGS
Alameda County Transportation Commission Cust
ACTIA 2000 Measure B
Account # N001UNBI
 September 30, 2014

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur- ation
TREASURY BILLS													
500.000	912796ew.5	UNITED STATES TREAS BILLS 0.0000% Due 02-26-15	AAA	AA+	99.98	499,884.99	99.99	499,959.00	0.00	499,959.00	0.76	0.02	0.4
TOTAL PORTFOLIO						65,956,559.22		65,919,083.01	70,999.27	65,990,082.28	100.00	0.20	0.7

FIXED INCOME HOLDINGS
Alameda County Transportation Commission Cust
Project Fund
Account # N001UNB3
September 30, 2014

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur-ation
CASH	61747c70s	MORGAN STANLEY GOVERNMENT INST				15,177,815.19		15,177,815.19		15,177,815.19	20.70		0.0
CORPORATE BONDS													
4,000,000.0000	459200gz8	INTERNATIONAL BUSINESS MACHS 0.875% Due 10-31-14	AA3	AA-	100.45	4,017,840.00	100.05	4,002,144.00	14,680.56	4,016,824.56	5.46	0.23	0.1
4,000,000.0000	46625hhp8	JPMORGAN CHASE & CO 3.700% Due 01-20-15	A3	A	102.83	4,113,080.00	100.99	4,039,480.00	29,188.89	4,068,668.89	5.51	0.46	0.3
4,000,000.0000	94974beu0	WELLS FARGO CO MTN BE 3.625% Due 04-15-15	A2	A+	103.58	4,143,280.00	101.77	4,070,800.00	66,861.11	4,137,661.11	5.55	0.35	0.5
3,900,000.0000	58933lap2	MERCK & CO INC 4.000% Due 06-30-15	A1	AA	104.59	4,079,127.00	102.70	4,005,378.00	39,433.33	4,044,811.33	5.46	0.39	0.7
						16,353,327.00		16,117,802.00	150,163.89	16,267,965.89	21.98	0.36	0.4
GOVERNMENT BONDS													
12,000,000.0000	313397141	FEDL HOME LN MTG CORP DISC NT 0.000% Due 10-21-14	AAA	AA+	99.94	11,993,160.00	100.00	11,999,916.00	0.00	11,999,916.00	16.36	0.01	0.1
10,000,000.0000	912828rz5	UNITED STATES TREAS NTS 0.250% Due 01-15-15	AAA	AA+	100.11	10,010,742.19	100.06	10,005,900.00	5,298.91	10,011,198.91	13.64	0.05	0.3
12,000,000.0000	912828sp6	UNITED STATES TREAS NTS 0.375% Due 04-15-15	AAA	AA+	100.24	12,028,593.75	100.17	12,020,160.00	20,778.69	12,040,938.69	16.39	0.06	0.5
8,000,000.0000	912828vn7	UNITED STATES TREAS NTS 0.250% Due 07-31-15	AAA	AA+	100.08	8,006,562.50	100.14	8,011,248.00	3,369.57	8,014,617.57	10.92	0.08	0.8
						42,039,058.44		42,037,224.00	29,447.17	42,066,671.17	57.32	0.05	0.4
TOTAL PORTFOLIO						73,570,200.63		73,332,841.19	179,611.06	73,512,452.25	100.00	0.11	0.3

FIXED INCOME HOLDINGS
Alameda County Transportation Commission Cust
Interest Fund
Account # N001UNB2
September 30, 2014

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur-ation
CASH	61747c70s	MORGAN STANLEY GOVERNMENT INST				199,924.26		199,924.26		199,924.26	1.14		0.0
CORPORATE BONDS													
1,000,000.0000	46625hhp8	JPMORGAN CHASE & CO 3.700% Due 01-20-15	A3	A	102.83	1,028,270.00	100.99	1,009,870.00	7,297.22	1,017,167.22	5.75	0.46	0.3
1,000,000.0000	713448ca4	PEPSICO INC 0.700% Due 08-13-15	A1	A-	100.48	1,004,800.00	100.34	1,003,366.00	933.33	1,004,299.33	5.72	0.31	0.9
950,000.0000	17275rac6	CISCO SYS INC 5.500% Due 02-22-16	A1	AA-	109.62	1,041,409.00	106.49	1,011,652.15	5,660.42	1,017,312.57	5.76	0.81	1.4
1,000,000.0000	084664bx8	BERKSHIRE HATHAWAY FIN CORP 0.950% Due 08-15-16	AA2	AA	100.76	1,007,570.00	100.36	1,003,648.00	1,213.89	1,004,861.89	5.72	0.75	1.9
1,000,000.0000	69353reg1	PNC BK N A PITTSBURGH PA 1.125% Due 01-27-17	A2	A	100.06	1,000,550.00	99.71	997,064.00	2,000.00	999,064.00	5.68	1.25	2.3
950,000.0000	478160aq7	JOHNSON & JOHNSON 5.550% Due 08-15-17	AAA	AAA	115.02	1,092,709.00	112.42	1,067,990.95	6,737.08	1,074,728.03	6.09	1.15	2.7
						6,175,308.00		6,093,591.10	23,841.94	6,117,433.04	34.72	0.79	1.6
GOVERNMENT BONDS													
1,800,000.0000	912828se1	UNITED STATES TREAS NTS 0.250% Due 02-15-15	AAA	AA+	100.10	1,801,804.69	100.08	1,801,404.00	574.73	1,801,978.73	10.27	0.04	0.4
1,800,000.0000	912828vu1	UNITED STATES TREAS NTS 0.375% Due 08-31-15	AAA	AA+	100.21	1,803,796.88	100.25	1,804,570.20	578.04	1,805,148.24	10.28	0.10	0.9
1,800,000.0000	912828h82	UNITED STATES TREAS NTS 0.250% Due 02-29-16	AAA	AA+	99.82	1,796,695.31	99.92	1,798,524.00	385.36	1,798,909.36	10.25	0.31	1.4
1,800,000.0000	912828vr8	UNITED STATES TREAS NTS 0.625% Due 08-15-16	AAA	AA+	100.15	1,802,671.88	100.14	1,802,601.00	1,436.82	1,804,037.82	10.27	0.55	1.9
1,800,000.0000	912828h74	UNITED STATES TREAS NTS 0.625% Due 02-15-17	AAA	AA+	99.75	1,795,429.67	99.57	1,792,265.40	1,436.82	1,793,702.22	10.21	0.81	2.3
1,540,000.0000	912828tm2	UNITED STATES TREAS NTS 0.625% Due 08-31-17	AAA	AA+	98.58	1,518,163.28	98.68	1,519,667.19	824.24	1,520,491.43	8.66	1.09	2.9
750,000.0000	912828ur9	UNITED STATES TREAS NTS 0.750% Due 02-28-18	AAA	AA+	98.00	734,970.70	98.09	735,703.50	481.70	736,185.20	4.19	1.32	3.4
						11,253,532.41		11,254,735.29	5,717.71	11,260,452.99	64.14	0.52	1.7
TOTAL PORTFOLIO						17,628,764.67		17,548,250.65	29,559.65	17,577,810.30	100.00	0.61	1.6

ALAMEDA COUNTY TRANSPORTATION COMMISSION
1986 MEASURE B
ATTN: LILY BALINTON
1111 BROADWAY, SUITE 800
OAKLAND, CA 94607

Subject: CDARS® Customer Statement

Legal Account Title: ALAMEDA COUNTY TRANSPORTATION COMMISSION
1986 MEASURE B

Below is a summary of your certificate(s) of deposit, which we are holding for you as your custodian. These certificate(s) of deposit have been issued through CDARS by one or more FDIC-insured depository institutions. Should you have any questions, please contact us at **510-723-5855**, send an email to privatebanking@fremontbank.com, or visit our website at <http://www.fremontbank.com/>.

Summary of Accounts Reflecting Placements Through CDARS

Account ID	Effective Date	Maturity Date	Interest Rate	Opening Balance	Ending Balance
1016779551	06/26/14	06/23/16	0.55%	\$2,000,000.00	\$2,000,000.00
TOTAL				\$2,000,000.00	\$2,000,000.00

ALAMEDA COUNTY TRANSPORTATION COMMISSION
2000 MEASURE B
ATTN: LILY BALINTON
1111 BROADWAY, SUITE 800
OAKLAND, CA 94607

Subject: CDARS® Customer Statement

Legal Account Title: ALAMEDA COUNTY TRANSPORTATION COMMISSION
2000 MEASURE B

Below is a summary of your certificate(s) of deposit, which we are holding for you as your custodian. These certificate(s) of deposit have been issued through CDARS by one or more FDIC-insured depository institutions. Should you have any questions, please contact us at **510-723-5855**, send an email to privatebanking@fremontbank.com, or visit our website at <http://www.fremontbank.com/>.

Summary of Accounts Reflecting Placements Through CDARS

Account ID	Effective Date	Maturity Date	Interest Rate	Opening Balance	Ending Balance
1016779683	06/26/14	06/25/15	0.55%	\$2,000,000.00	\$2,000,000.00
TOTAL				\$2,000,000.00	\$2,000,000.00



Memorandum

6.17

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: FY2013-14 Annual Contract Equity Utilization Report

RECOMMENDATION: Approve the FY2013-14 Annual Contract Equity Utilization Report.

Summary

This annual report provides an update on the utilization of Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), and Disadvantaged Business Enterprise (DBE) participation on active contracts awarded and administered by the Commission and Sponsoring agencies. This report also includes utilization of LBE, SLBE, or DBE certified firms on contracts awarded and administered by the Commission exempted from either contract equity programs.

Local Business Contract Equity (LBCE) Program Summary

In the current reporting period there were a total of 26 active contracts with LBCE Program goals. Of these contracts, approximately 79% of payments (\$3.0 million) went to administrative and engineering firms certified as LBE and 45% of payments (\$1.7 million) went to administrative and engineering firms certified as SLBE. The LBCE Program goals of 70% for LBE and 30% for SLBE were exceeded. For the construction category, there was one active construction contract funded with local funds; however, the contract was awarded in 2011 with Good Faith Efforts (GFE) and no payments were anticipated to be made on this contract to LBE and/or SLBE certified firms. This information is shown in Tables 1 and 2.

Additional information collected for contracts with LBCE Program goals include:

- Very Small Local Business Enterprise (VSLBE) – 24% of payments (\$0.9 million)
- Disadvantaged Business Enterprise (DBE) – 14% of payments (\$0.5 million)
- Minority-Owned Business Enterprise (MBE) – 4% of payments (\$0.1 million)
- Woman-Owned Business Enterprise (WBE) – 10% of payments (\$0.4 million)

TABLE 1 – Contracts with LBCE Program Goals Goals = 70% for LBE; 30% for SLBE								
Contract Type	Number of Contracts	Payments in FY2012-13 (July 1, 2012 through June 30, 2013)						
		Payment Amount	LBE %	SLBE %	VSLBE %	DBE %	MBE %	WBE %
Administrative	16	\$1,133,978	79%	57%	42%	34%	12%	28%
Engineering	9	\$2,646,263	79%	39%	16%	5%	0%	2%
Professional Services	25	\$3,780,242	79%	45%	24%	14%	4%	10%

TABLE 2 – Contracts with LBCE Program Goals Goals = 60% for LBE; Contract Specific for SLBE								
Contract Type	Number of Contracts	Payments in FY2012-13 (July 1, 2012 through June 30, 2013)						
		Payment Amount	LBE %	SLBE %	VSLBE %	DBE %	MBE %	WBE %
Construction ^{1,2}	1	\$90,526	0%	0%	0%	0%	0%	0%
Construction	1	\$90,526	0%	0%	0%	0%	0%	0%

There were 19 active contracts exempt from LBCE Program goals in this reporting period, of which 14 were in the administrative and engineering services categories and 5 were in the construction category. Approximately, 86% of payments (\$11.6 million) were made to Caltrans for project engineering and construction phase activities. For contracts exempt from LBCE Program goals, in aggregate, approximately 4% of payments (\$0.5 million) went to LBE certified firms and 1% of payments (\$0.2 million) went to administrative and engineering firms certified as Minority-Owned Business Enterprise (MBE) firms.

TABLE 3 – Contracts Exempt from LBCE Program Goals								
Contract Type	Number of Contracts	Payments in FY2012-13 (July 1, 2012 through June 30, 2013)						
		Payment Amount	LBE %	SLBE %	VSLBE %	DBE %	MBE %	WBE %
Administrative	4	\$145,868	0%	0%	0%	0%	0%	0%
Engineering	10	\$1,781,166	31%	0%	0%	0%	10%	0%
Construction	5	\$11,590,393	0%	0%	0%	0%	0%	0%
All Industries	19	\$13,517,428	4%	0%	0%	0%	1%	0%

Disadvantaged Business Enterprise (DBE) Program Goals Summary

There were 33 active federally funded contracts with DBE Program contract specific goals in this reporting period. Of these contracts, 30 contracts were in the administrative and engineering categories and 3 were in the construction category. Approximately 24% of payments (\$3.4 million) went to DBE certified firms.

Additional information collected for federally funded contracts with DBE Program goals include:

- Local Business Enterprise (LBE) – 58% of payments (\$8.1 million)
- Small Local Business Enterprise (SLBE) – 16% of payments (\$2.2 million)
- Very Small Local Business Enterprise (VSLBE) – 4% of payments (\$0.6 million)
- Minority-Owned Business Enterprise (MBE) – 9% of payments (\$1.3 million)
- Woman-Owned Business Enterprise (WBE) – 1% of payments (\$0.1 million)

TABLE 4 – Contracts with DBE Program Goals Goals = Contract Specific								
Contract Type	Number of Contracts	Payments in FY2012-13 (July 1, 2012 through June 30, 2013)						
		Payment Amount	LBE %	SLBE %	VSLBE %	DBE %	MBE %	WBE %
Administrative	9	\$5,529,984	72%	24%	4%	45%	24%	1%
Engineering	21	\$7,580,747	54%	12%	5%	8%	0%	1%
Construction	3	\$910,256	3%	0%	0%	36%	0%	2%
All Industries	33	\$14,020,988	58%	16%	4%	24%	9%	1%

Background

In 1989, a contract equity program for the procurement of professional services was established which set goals of 70% for LBE, 25% for MBE, and 5% for WBE.

In 1995, a program for construction contracts that set overall participation goals of 60% for LBE, 33% for MBE, and 9% for WBE was approved. Those goals were based on a disparity study in addition to extensive public input from both the prime and minority contracting communities. Specific goals were set for each construction contract, based on biddable items and the availability of LBE/MBE/WBE firms.

As a result of the passage of Proposition 209 in 1996, and the United States Department of Transportation's issuance of the final ruling on the Disadvantaged Business Enterprise program in 2000, the MBE/WBE program and goal requirements were suspended. In lieu of the suspended MBE/WBE program, two new programs were adopted: the LBE/SLBE Program for contracts funded with local dollars and the DBE program for contracts funded with

federal dollars. In January 2008, a Revised LBE/SLBE Program was adopted and renamed as the Local Business Contract Equity Program.

Revisions to the LBCE Program were aimed at increasing SLBE participation in all areas of the Agency contracting opportunities, particularly in construction contracting. The revised program became effective for eligible Agency-led contracts as of February 2008 and for all eligible Sponsor-led projects awarded after July 2008.

Utilization of local dollars is determined annually by collecting and analyzing financial data relative to the amounts awarded and paid to LBE, SLBE, VSLBE, DBE, MBE, and WBE prime and subcontractors in three contract categories:

- Administrative Services – many of the contracts in this group are annually renewed, administrative professional services contracts to assist in the administration of the Alameda CTC's projects, programs and programming, financial, and planning efforts. These services include, but are not limited to, contract equity program support, general counsel, federal and state legislative advocacy, auditors, financial advisors, information technology and computer services, and project management and program support teams.
- Engineering Services – contracts in this group are primarily engineering services contracts to assist the Alameda CTC in the development and delivery of its capital program.
- Construction – contracts in this group are specific to construction contracts awarded to builders of transportation facilities such as roadway and transit improvements.

Key information monitored and reported includes LBE, SLBE, VSLBE, DBE, MBE, and WBE utilization on all active contracts as of June 30, 2014.

Reporting Process

Data collection on all active and open contracts began on July 1, 2013, by surveying prime contractors and subcontractors for verification of payment amounts and other invoice details. For the current reporting period, 120 payment verification survey forms were sent to prime and subcontractors. Approximately 83% of the prime and subcontractors responded during the allotted time.

Staff utilized the same method of reporting from prior years, which included an automated summary report of payments processed between July 1, 2013 and June 30, 2014 by vendor and an automated utilization report generated from an in-house database (see Attachment A – Contract Equity Utilization Report).

Regarding billing and timely receipt of payments, approximately 89% of the respondents indicated that they had not experienced any billing-related issues and 88% of the respondents indicated they had received timely payments from the project sponsors and/or

prime contractors. All of the billing and payment-related issues reported to the Alameda CTC have been investigated and resolved by the Contract Equity consultant, L. Luster & Associates, Inc., prior to the development of this report.

The participation, data, and statistics, which serve as a basis for this report, have been independently reviewed and verified by L. Luster & Associates, Inc. As stated in the attached letter from L. Luster and Associates, Inc. (see Attachment C – Letter of Independent Review of Alameda CTC's Contract Equity Annual Utilization Report for the Period of July 1, 2013 through June 30, 2014), this report was found to be materially accurate and complete.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Contract Equity Utilization Report
- B. Local Business Contract Equity Program Goals Attainment Summary – FY2009-10 to FY2013-14
- C. Letter of Independent Review of Alameda CTC's Contract Equity Annual Utilization Report for the Period of July 1, 2013 through June 30, 2014

Staff Contact

[Patricia Reavey](#), Director of Finance

[Seung Cho](#), Contracting, Administration, and Fiscal Resource Manager

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Contract Equity Utilization Report

Fiscal Year: FY13-14

ATTACHMENT A

Current Reporting Period Start Date: 7/1/2013 End Date: 6/30/2014

Contract Number/Company Name		Contract Amount	Total Payment to Date	Payment Current Period	Goal Attainment (Current Period)					Goal Attainment (Cumulative)						
					LBE	SLBE	VSLBE	DBE	MBE	WBE	LBE	SLBE	VSLBE	DBE	MBE	WBE
Contract Type: Administrative																
Goal Requirements for DBE (Contract Specific)																
A12-0002 - Wendel, Rosen, Black & Dean, LLP		\$805,000.00	\$791,306.63	\$97,153.37	94.89%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0015 - Novani, LLC		\$242,900.00	\$146,276.70	\$7,575.00	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	100.00%	0.00%
A12-0017 - Moore Iacofano Goltsman, Inc.		\$561,180.00	\$411,556.16	\$43,741.03	100.00%	6.08%	0.00%	0.00%	0.00%	0.00%	19.85%	12.94%	0.00%	0.00%	0.00%	0.00%
A12-0031 - Hatch Mott MacDonald		\$10,602,180.00	\$6,485,062.88	\$3,821,277.63	68.65%	18.31%	13.80%	26.67%	26.67%	3.14%	14.66%	27.63%	27.92%	4.09%	0.00%	0.00%
A13-0007 - Acumen Building Enterprise, Inc.		\$719,530.00	\$548,442.03	\$548,442.03	100.00%	89.06%	0.58%	88.48%	88.48%	0.58%	89.06%	89.06%	88.48%	0.58%	0.00%	0.00%
A13-0010 - Moore Iacofano Goltsman, Inc.		\$336,409.00	\$131,040.28	\$121,009.74	100.00%	16.22%	0.00%	0.00%	0.00%	0.00%	18.66%	2.65%	0.00%	0.00%	0.00%	0.00%
A13-0012 - Novani, LLC		\$139,100.00	\$139,097.82	\$114,993.06	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%
A13-0013 - Wendel, Rosen, Black & Dean, LLP		\$780,058.00	\$621,077.95	\$390,792.09	92.97%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0088 - Acumen Building Enterprise, Inc.		\$2,120,948.00	\$707,358.05	\$385,000.00	88.70%	87.61%	1.09%	0.00%	87.61%	1.09%	85.26%	85.26%	0.00%	0.00%	0.77%	0.77%
Summary for Administrative with Goal Requirements for DBE (Contract Specific)		\$16,307,305.00	\$9,981,218.50	\$5,529,983.95	71.69%	24.14%	4.20%	45.13%	23.91%	0.53%	25.80%	46.39%	24.04%	6.05%	0.60%	0.60%

Goal Requirements of 70% for LBE and 30% for SLBE

A11-0001 - Nelson/Nygaard Consulting Associates		\$773,639.00	\$705,501.03	\$36,851.70	100.00%	25.04%	1.68%	23.35%	0.00%	74.96%	0.00%	0.00%	31.98%	0.71%	31.28%	0.00%	68.02%
A11-0058 - Vavrinek, Trine, Day & Co., LLP		\$220,500.00	\$177,500.00	\$70,000.00	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0001 - St. Mini Cab Corporation		\$316,526.00	\$304,090.00	\$154,472.00	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	0.00%	0.00%	0.00%
A12-0003 - Rochelle Wheeler		\$355,640.00	\$327,352.67	\$143,710.92	64.69%	64.69%	64.69%	0.00%	70.96%	70.96%	0.00%	0.00%	70.96%	0.00%	0.00%	0.00%	0.00%
A12-0004 - St. Mini Cab Corporation		\$125,000.00	\$109,268.00	\$44,816.00	100.00%	100.00%	100.00%	0.00%	93.81%	93.81%	0.00%	0.00%	93.81%	0.00%	0.00%	0.00%	0.00%
A12-0006 - Koff & Associates Inc		\$66,210.00	\$66,210.00	\$2,982.10	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	0.00%	100.00%	100.00%
A12-0007 - PFM ASSET MANAGEMENT, LLC		\$105,000.00	\$85,164.14	\$6,965.82	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0008 - CHANDLER ASSET MANAGEMENT		\$85,000.00	\$54,534.00	\$3,077.00	100.00%	100.00%	0.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	0.00%	0.00%	0.00%
A12-0009 - L. Luster & Associates		\$93,622.00	\$93,621.99	\$13,810.52	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	100.00%	100.00%
A12-0010 - MV Transportation, Inc.		\$70,000.00	\$61,778.80	\$14,503.80	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0011 - Acumen Building Enterprise, Inc.		\$1,561,845.00	\$1,143,659.12	\$175,819.99	100.00%	91.87%	3.59%	90.97%	100.00%	91.17%	0.59%	90.99%	100.00%	0.59%	90.99%	90.57%	0.41%
A12-0013 - Platinum Advisors, LLC		\$60,000.00	\$60,000.00	\$5,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0004 - SunTrust Bank		\$170,000.00	\$38,123.34	\$23,398.62	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0008 - Koff & Associates Inc		\$38,050.00	\$28,013.95	\$24,915.35	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%
A13-0009 - L. Luster & Associates		\$93,622.00	\$93,621.98	\$89,098.00	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	0.00%	0.00%
A13-0011 - Nelson/Nygaard Consulting Associates		\$363,771.00	\$363,771.00	\$324,556.65	99.15%	29.39%	0.00%	29.39%	99.05%	29.89%	0.00%	29.89%	0.00%	29.89%	0.00%	0.00%	69.16%

Summary for Administrative with Goal Requirements of 70% for LBE and 30% for SLBE

	\$4,498,425.00	\$3,712,210.02	\$1,133,978.47	78.99%	56.94%	41.87%	33.98%	11.77%	78.99%	57.36%	41.63%	34.51%	11.91%	41.63%	34.51%	11.91%	27.35%
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Exempt from Goal Requirements

A12-0005 - CJ Lake, LLC		\$63,000.00	\$60,016.94	\$5,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0020 - Alliant Insurance Services		\$466,897.16	\$295,149.40	\$30,868.16	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0016 - Platinum Advisors, LLC		\$120,000.00	\$75,000.00	\$55,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0017 - CJ Lake, LLC		\$126,000.00	\$75,000.00	\$55,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Summary for Administrative with Exempt from Goal Requirements

	\$775,897.16	\$505,166.34	\$145,868.16	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
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Summary for Administrative with and without Goal Requirements

	\$21,581,627.16	\$14,198,594.86	\$6,809,830.58	65.83%	38.91%	24.40%	32.76%	13.91%	65.79%	39.65%	24.85%	33.44%	14.03%	24.85%	33.44%	14.03%	15.28%
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Contract Type: PSA (Professional Services Agreement)

Goal Requirements for DBE (Contract Specific)

A04-007 - Wilbur Smith Associates		\$2,257,821.00	\$2,178,768.05	\$149,005.62	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A07-007.PH3 - Kimley-Horn and Associates, Inc.		\$10,807,923.00	\$10,507,541.85	\$342,745.11	100.00%	0.16%	0.00%	0.16%	99.42%	1.24%	0.00%	1.79%	0.00%	1.24%	0.00%	0.69%	0.00%



Contract Equity Utilization Report

Fiscal Year: FY13-14

ATTACHMENT A

Current Reporting Period Start Date: 7/1/2013 End Date: 6/30/2014

Contract Number/Company Name		Contract Amount	Total Payment to Date	Payment Current Period	LBE	SLBE	VSLBE	DBE	MBE	WBE	LBE	SLBE	VSLBE	DBE	MBE	WBE
A07-011.BKF.PH2 - BKF		\$15,000,780.00	\$14,690,402.44	\$942,938.06	100.00%	36.29%	0.00%	13.05%	0.00%	0.00%	99.68%	24.89%	0.00%	9.05%	0.00%	0.00%
A07-011.TY.PH1 - T.Y. Lin International CCS		\$1,965,154.00	\$1,965,080.10	\$156,339.77	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A08-001 - ETC - Electronic Transaction Consultants		\$9,364,219.00	\$7,666,487.12	\$665,343.21	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A08-017.RM(NS) - Rajappan & Meyer Consulting Engineers		\$4,797,924.44	\$4,594,568.89	\$257,218.12	99.18%	6.12%	0.00%	6.12%	0.00%	0.00%	79.28%	7.21%	0.00%	7.21%	0.00%	0.00%
A08-017.TYLIN - T.Y. Lin International CCS		\$3,508,972.00	\$3,407,444.25	\$182,764.78	100.00%	15.90%	0.00%	10.81%	0.00%	5.09%	93.65%	20.11%	0.00%	19.18%	0.00%	13.64%
A08-017.WMH - WMH Corporation		\$6,777,319.00	\$6,743,011.89	\$324,826.75	89.59%	83.45%	82.43%	7.21%	0.00%	0.00%	97.55%	96.97%	96.58%	1.19%	0.00%	0.00%
A08-030 - Solem & Associates		\$149,160.00	\$149,031.07	\$40,927.50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A09-007 - ETC - Electronic Transaction Consultants		\$11,158,632.00	\$2,871,048.06	\$920,926.30	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A10-012 - PB Americas, Inc.		\$654,028.00	\$509,996.69	\$274,503.46	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A10-013 - RBF Consulting		\$9,672,499.50	\$9,503,441.28	\$115,257.89	1.39%	1.39%	1.39%	0.00%	0.00%	0.00%	42.32%	26.78%	26.78%	4.35%	0.00%	0.00%
A10-024 - Kittelson & Associates, Inc.		\$250,328.00	\$195,327.88	\$25,783.30	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	99.18%	0.00%	0.00%	2.15%	0.00%	0.00%
A11-0019 - Alta Planning + Design		\$2,257,813.97	\$2,252,806.21	\$594,612.24	21.26%	0.00%	0.00%	0.00%	0.00%	0.00%	20.21%	1.52%	1.52%	1.52%	0.00%	0.00%
A11-0024 - URS Corporation		\$2,918,942.00	\$1,985,868.28	\$1,368,531.70	94.60%	0.72%	0.00%	1.27%	0.00%	0.00%	95.39%	0.60%	0.00%	0.98%	0.00%	0.00%
A11-0033 - CDM Smith		\$1,433,934.00	\$710,075.36	\$347,200.29	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A11-0042 - Cycles of Change		\$461,000.00	\$287,109.15	\$86,141.11	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0034 - WMH Corporation		\$154,647.00	\$152,666.05	\$147,159.60	100.00%	100.00%	23.76%	23.76%	0.00%	15.28%	100.00%	100.00%	23.57%	23.57%	0.00%	14.73%
A13-0001 - Alta Planning + Design		\$4,441,096.17	\$902,215.31	\$400,379.77	28.88%	2.28%	2.28%	2.78%	0.00%	0.00%	25.36%	2.25%	2.25%	3.06%	0.00%	0.00%
A13-0020 - Ghirardelli		\$535,800.00	\$484,798.28	\$209,177.78	100.00%	0.00%	0.00%	100.00%	0.00%	0.00%	83.65%	0.00%	0.00%	83.65%	0.00%	0.00%
A13-0095 - Iteris, Inc.		\$199,983.00	\$59,337.69	\$28,964.96	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	89.42%	0.00%	0.00%	10.58%	0.00%	0.00%
Summary for PSA (Professional Services Agreement) with Goal Requirements for DBE (Contract Specific)																
		\$88,767,976.08	\$71,817,025.91	\$7,580,747.32	54.04%	11.73%	5.23%	7.86%	0.00%	0.97%	53.58%	13.41%	7.18%	8.01%	0.03%	1.35%
Goal Requirements of 70% for LBE and 30% for SLBE																
A05-0004 - URS Corporation		\$13,750,000.00	\$13,122,937.01	\$370,191.29	89.27%	8.05%	0.00%	0.00%	0.00%	0.00%	85.48%	28.53%	0.00%	0.00%	0.00%	0.00%
A07-0037 - S&C Engineers		\$2,860,000.00	\$2,809,878.24	\$13,373.62	100.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	92.29%	0.09%	0.00%	0.00%	0.00%
A10-0007 - EMC Research, Inc.		\$100,000.00	\$100,000.00	\$21,560.88	100.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	100.00%	0.00%	0.00%	0.00%	0.00%
A10-0026 - HOE, Inc.		\$1,012,659.00	\$1,006,828.44	\$37,780.37	100.00%	37.46%	37.46%	37.46%	0.00%	0.00%	100.00%	62.08%	61.17%	62.08%	0.00%	0.00%
A11-0034 - WMH Corporation		\$6,161,366.00	\$5,879,318.25	\$1,929,775.08	98.24%	59.48%	54.15%	8.65%	0.00%	21.05%	96.38%	58.77%	54.44%	5.50%	0.00%	19.68%
A12-0026 - Kittelson & Associates, Inc.		\$199,966.00	\$199,966.00	\$40,211.87	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	66.39%	11.03%	11.03%	11.03%	0.00%	0.00%
A13-0024 - Community Design Plus Architecture, Inc.		\$144,983.00	\$138,363.12	\$101,140.90	100.00%	49.26%	49.26%	0.00%	0.00%	0.00%	100.00%	56.78%	56.78%	0.00%	0.00%	0.00%
A13-0094 - Bay Area Council Economic Institute		\$142,470.00	\$142,470.00	\$46,300.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A99-0003 - Parsons Brinckerhoff Quade & Douglas, In		\$8,090,000.00	\$7,909,707.72	\$85,929.10	26.74%	0.00%	0.00%	0.00%	0.00%	0.00%	83.15%	17.02%	0.02%	0.00%	0.00%	0.00%
Summary for PSA (Professional Services Agreement) with Goal Requirements of 70% for LBE and 30% for SLBE																
		\$32,461,444.00	\$31,309,468.78	\$2,646,263.11	79.36%	39.36%	15.65%	5.12%	0.00%	2.34%	81.27%	47.39%	20.39%	8.73%	0.00%	2.19%
Exempt from Goal Requirements																
A06-003 - Mark Thomas & Company, Inc.		\$1,657,309.00	\$1,657,265.33	\$52,901.58	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	100.61%	0.00%	0.00%	0.00%	100.61%	0.00%
A10-0008 - S&C Engineers		\$1,890,750.00	\$1,732,940.83	\$202,336.82	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A10-010 - Harris & Associates		\$197,000.00	\$164,682.75	\$99,610.00	100.00%	0.45%	0.00%	0.45%	0.00%	0.00%	100.00%	0.81%	0.00%	0.81%	0.00%	0.00%
A11-0038 - Delcan Corporation		\$7,375,523.00	\$1,967,837.14	\$1,085,263.56	16.98%	0.00%	0.00%	0.00%	0.00%	0.00%	12.19%	0.00%	0.00%	0.00%	0.00%	0.00%
A11-0063 - R.L. Banks & Associates, Inc.		\$288,576.00	\$232,833.01	\$5,855.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0027 - Nelson/Nygaard Consulting Associates		\$218,930.00	\$182,977.25	\$101,788.81	93.16%	0.00%	0.00%	0.00%	0.00%	0.00%	94.06%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0028 - Aegis ITS, Inc.		\$350,000.00	\$256,102.37	\$170,165.38	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0003 - Charles M. Salter Associates, Inc.		\$49,000.00	\$48,273.06	\$48,273.06	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0085 - National Data and Surveying Services		\$14,000.00	\$13,300.00	\$13,300.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0092 - ETC - Electronic Transaction Consultants		\$2,764,405.00	\$107,489.84	\$1,672.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for PSA (Professional Services Agreement) with Exempt from Goal Requirements																
		\$14,805,493.00	\$6,363,701.58	\$1,781,166.21	31.01%	0.05%	0.00%	0.05%	10.00%	0.00%	30.69%	0.08%	0.00%	0.08%	10.06%	0.00%
Summary for PSA (Professional Services Agreement) with and without Goal Requirements																
		\$136,034,913.08	\$109,490,196.27	\$12,008,176.64	53.98%	15.03%	6.27%	5.29%	2.50%	1.04%	54.08%	17.72%	8.36%	6.19%	2.53%	1.20%



Contract Equity Utilization Report

Fiscal Year: FY13-14

ATTACHMENT A

Current Reporting Period Start Date: 7/1/2013 End Date: 6/30/2014

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Period	LBE	SLBE	VSLBE	DBE	MBE	WBE	LBE	SLBE	VSLBE	DBE	MBE	WBE
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Contract Type: CC (Construction Contract)

Goal Requirements for DBE (Contract Specific)

A11-0030 - Bortolussi & Watkin, Inc.	\$222,917.00	\$219,593.27	\$6,195.71	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	1.48%	0.00%	0.83%
A11-0062 - Amland Corp.	\$652,226.00	\$609,048.64	\$462,609.00	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%
A12-0023 - GradeTech, Inc.	\$1,879,093.91	\$1,152,195.59	\$441,451.54	8.05%	0.91%	0.00%	7.29%	0.00%	7.29%	34.77%	23.76%	0.00%	2.79%	0.00%	2.79%
Summary for CC (Construction Contract) with Goal Requirements for DBE (Contract Specific)	\$2,754,236.91	\$1,980,837.50	\$910,256.25	2.68%	0.30%	0.00%	35.76%	0.00%	2.43%	11.59%	7.92%	0.00%	34.76%	0.00%	1.21%

Goal Requirements of 60% for LBE and Contract Specific for SLBE

A11-0036 - Forster and Kroeger, Inc.	\$231,820.00	\$191,919.00	\$90,525.90	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for CC (Construction Contract) with Goal Requirements of 60% for LBE and Contract Specific for SLBE	\$231,820.00	\$191,919.00	\$90,525.90	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for CC (Construction Contract) with and without Goal Requirements	\$2,986,056.91	\$2,172,756.50	\$1,000,782.15	2.01%	0.23%	0.00%	26.82%	0.00%	1.82%	8.69%	5.94%	0.00%	26.07%	0.00%	0.91%

Contract Type: Coop (Cooperative Agreement)

Exempt from Goal Requirements

04-2355 - Caltrans	\$16,412,000.00	\$12,702,417.58	\$5,624,996.53	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
04-2440 - Caltrans	\$14,740,000.00	\$7,341,661.41	\$4,682,530.75	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
04-2445 - Caltrans	\$920,000.00	\$517,594.79	\$381,043.88	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
4-1925 - Caltrans	\$74,266,583.31	\$74,266,583.31	\$941,274.96	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	11.44%	0.00%	0.00%	0.00%	0.00%	0.00%
4-2071 - Caltrans	\$600,000.00	\$93,418.94	(\$39,452.85)	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for Coop (Cooperative Agreement) with Exempt from Goal Requirements	\$106,938,583.31	\$94,921,676.03	\$11,590,393.27	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	2.29%	0.00%	0.00%	0.00%	0.00%	0.00%

Summary for Coop (Cooperative Agreement) with and without Goal Requirements

Summary for Coop (Cooperative Agreement) with and without Goal Requirements	\$106,938,583.31	\$94,921,676.03	\$11,590,393.27	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	2.29%	0.00%	0.00%	0.00%	0.00%	0.00%
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Contract Type: FA (Funding Agreement)

Exempt from Goal Requirements

A13-0005 - Santa Clara Valley Transportation Author	\$168,982.00	\$53,713.26	\$6,137.36	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for FA (Funding Agreement) with Exempt from Goal Requirements	\$168,982.00	\$53,713.26	\$6,137.36	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for FA (Funding Agreement) with and without Goal Requirements	\$168,982.00	\$53,713.26	\$6,137.36	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Contract Type: GFA (Grant Funding Agreement)

Exempt from Goal Requirements

09ALA07 - A C Transit District	\$350,000.00	\$335,702.54	\$99,167.37	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
11ALA02 - Alameda County	\$40,000.00	\$11,500.00	\$11,500.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
11ALA03 - City of Albany	\$100,000.00	\$100,000.00	\$34,446.35	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
11ALA06 - City of Fremont	\$256,000.00	\$171,829.67	\$171,829.67	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
11ALA09 - City of Oakland	\$125,000.00	\$93,509.18	\$93,509.18	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
12ALA01 - City of Oakland	\$35,300.00	\$35,300.00	\$17,650.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
12ALA02 - City of Pleasanton	\$57,507.00	\$57,507.00	\$57,507.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%



Contract Equity Utilization Report

Fiscal Year: FY13-14

ATTACHMENT A

Current Reporting Period Start Date: 7/1/2013 End Date: 6/30/2014

Contract Number/Company Name		Contract Amount	Total Payment to Date	Payment Current Period	LBE	SLBE	VSLBE	DBE	MBE	WBE	LBE	SLBE	VSLBE	DBE	MBE	WBE
12ALA03 - California State University, East Bay		\$56,350.00	\$56,350.00	\$56,350.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
12ALA04 - Livermore Amador Valley Transportation A		\$144,346.00	\$144,346.00	\$35,305.53	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
12ALA05 - Livermore Amador Valley Transportation A		\$34,180.00	\$34,180.00	\$10,478.96	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
12ALA06 - Livermore Amador Valley Transportation A		\$30,700.00	\$30,700.00	\$5,354.46	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0045 - City of Oakland		\$25,000.00	\$25,000.00	\$25,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0041 - Alzheimer's Svc. Of the East Bay		\$200,000.00	\$108,333.37	\$83,333.30	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0042 - Bay Area Outreach and Recreation Program		\$272,000.00	\$126,918.73	\$92,265.67	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0043 - Center for Independent Living		\$350,000.00	\$175,000.00	\$117,321.88	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0044 - City of Emeryville		\$106,000.00	\$62,895.60	\$28,330.88	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0049 - City of Oakland		\$185,000.00	\$91,282.51	\$70,022.94	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0050 - City of Pleasanton		\$85,544.00	\$40,007.54	\$19,650.28	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0051 - Senior Helpline Services		\$150,000.00	\$90,649.10	\$63,760.60	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0066 - City of Piedmont		\$102,000.00	\$58,321.68	\$23,377.12	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%
A13-0068 - City of Alameda		\$200,000.00	\$82,652.65	\$45,177.06	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0069 - City of Oakland		\$352,000.00	\$461,386.27	\$127,600.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0070 - Livermore Amador Valley Transportation A		\$1,000,000.00	\$500,000.00	\$475,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0071 - Livermore Amador Valley Transportation A		\$1,000,000.00	\$474,999.99	\$392,641.45	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0082 - California State University, East Bay		\$130,000.00	\$81,200.55	\$81,200.55	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0083 - Livermore Amador Valley Transportation A		\$120,000.00	\$63,800.51	\$47,467.55	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0084 - Livermore Amador Valley Transportation A		\$47,000.00	\$27,437.16	\$20,413.23	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for GFA (Grant Funding Agreement) with Exempt from Goal Requirements		\$5,553,927.00	\$3,540,810.05	\$2,305,661.03	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%
Summary for GFA (Grant Funding Agreement) with and without Goal Requirements		\$5,553,927.00	\$3,540,810.05	\$2,305,661.03	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%	3.70%
Contract Type: LA (Letter Agreement)																
Exempt from Goal Requirements																
A13-0018 - East Bay Bicycle Coalition		\$24,900.00	\$24,900.00	\$24,900.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0035 - EMC Research, Inc.		\$50,000.00	\$49,999.33	\$49,999.33	25.57%	25.57%	0.00%	0.00%	0.00%	0.00%	25.57%	25.57%	0.00%	0.00%	0.00%	0.00%
L12-0006 - Metropolitan Transportation Commission		\$15,500.00	\$14,114.00	(\$66.00)	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0003 - Nicolay Consulting Group		\$4,900.00	\$4,900.00	\$4,900.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0004 - Value Mgmt. Strategies, Inc.		\$34,891.18	\$24,773.20	\$24,773.20	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0006 - Packet Fusion		\$1,500.00	\$1,000.00	\$1,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0008 - Clifford Moss LLC		\$50,000.00	\$50,000.00	\$49,110.00	100.00%	100.00%	100.00%	0.00%	0.00%	0.00%	100.00%	100.00%	100.00%	0.00%	0.00%	0.00%
L13-0009 - Accounting Principals		\$44,918.00	\$40,107.12	\$32,398.68	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0009-1 - SwitchPoint Planning		\$4,400.00	\$3,795.00	\$2,200.00	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%
Summary for LA (Letter Agreement) with Exempt from Goal Requirements		\$231,009.18	\$213,588.65	\$189,215.21	13.95%	13.95%	11.11%	0.00%	0.00%	11.11%	13.95%	13.95%	11.11%	0.00%	0.00%	11.11%
Summary for LA (Letter Agreement) with and without Goal Requirements		\$231,009.18	\$213,588.65	\$189,215.21	13.95%	13.95%	11.11%	0.00%	0.00%	11.11%	13.95%	13.95%	11.11%	0.00%	0.00%	11.11%

Contract Type: PSFA (Project Specific Funding Agreement)

Goal Requirements of 70% for LBE and 30% for SLBE

A12-0050 - City of Hayward		\$11,500,000.00	\$6,324,347.48	\$6,324,347.48	20.86%	3.13%	0.95%	0.00%	0.00%	0.00%	20.86%	3.13%	0.95%	0.00%	0.00%	0.00%
Summary for PSFA (Project Specific Funding Agreement) with Goal Requirements of 70% for LBE and 30% for SLBE		\$11,500,000.00	\$6,324,347.48	\$6,324,347.48	20.86%	3.13%	0.95%	0.00%	0.00%	0.00%	20.86%	3.13%	0.95%	0.00%	0.00%	0.00%

Exempt from Goal Requirements



Contract Equity Utilization Report

Fiscal Year: FY13-14

ATTACHMENT A

Current Reporting Period Start Date: 7/1/2013 End Date: 6/30/2014

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Period	Goal Attainment (Current Period)					Goal Attainment (Cumulative)						
				LBE	SLBE	VSLBE	DBE	MBE	WBE	LBE	SLBE	VSLBE	DBE	MBE	WBE
A05-0005 - A C Transit District	\$11,509,964.00	\$9,715,834.01	\$2,813,819.81	63.37%	0.00%	0.00%	0.00%	0.00%	0.00%	75.75%	5.27%	2.80%	6.05%	0.00%	2.62%
A06-0041 - Bay Area Rapid Transit	\$78,140,000.00	\$77,895,888.97	\$23,640,000.27	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.89%	0.08%	0.00%	0.03%	0.00%	0.00%
A07-0058 - City of Livermore	\$8,413,000.00	\$5,631,425.35	\$152,445.11	45.18%	0.00%	0.00%	0.33%	0.00%	0.33%	30.79%	1.42%	0.00%	1.47%	0.00%	0.05%
A09-0013 - Bay Area Rapid Transit	\$62,009,000.00	\$55,955,233.99	\$4,150,936.64	9.33%	1.05%	0.00%	0.00%	0.00%	0.00%	5.83%	1.86%	0.02%	0.00%	0.00%	0.00%
A10-0027 - Bay Area Rapid Transit	\$123,226,000.00	\$38,876,942.53	\$10,481,944.51	12.11%	0.00%	0.00%	2.06%	0.00%	0.00%	19.55%	1.32%	0.66%	9.49%	0.00%	4.36%
AA07-0002 - Alameda County	\$350,000.00	\$179,871.54	\$93,241.06	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for PSFA (Project Specific Funding Agreement) with Exempt from Goal Requirements															
	\$283,647,964.00	\$188,255,196.39	\$41,332,387.40	21.67%	0.18%	0.00%	0.40%	0.00%	0.06%	22.14%	1.66%	0.58%	2.84%	0.00%	1.17%
Summary for PSFA (Project Specific Funding Agreement) with and without Goal Requirements															
	\$295,147,964.00	\$194,579,543.87	\$47,656,734.88	21.55%	0.60%	0.14%	0.34%	0.00%	0.05%	21.95%	1.87%	0.63%	2.43%	0.00%	1.00%

Contract Type: PO (Purchase Order)

Exempt from Goal Requirements

PO 2013-3 - Western Pacific Signal, LLC															
Summary for PO (Purchase Order) with Exempt from Goal Requirements				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for PO (Purchase Order) with and without Goal Requirements				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Contract Type: Others

Exempt from Goal Requirements

0131-618467-END (MC) - First American Title Company 10R390000 - California Highway Patrol I-680 BATA/JPA - Bay Area Toll Authority (BATA) R13-0009 - North American Title Company	\$384,030.04	\$384,030.04	\$150.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	\$1,225,000.00	\$766,114.30	\$187,523.66	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	\$1,647,091.68	\$1,392,880.50	\$244,956.97	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	\$6,400.00	\$6,400.00	\$6,400.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for Others with Exempt from Goal Requirements				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for Others with and without Goal Requirements				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
				0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Summary for All Contracts with and without Goal Requirements				35.06%	15.43%	9.13%	10.80%	4.75%	5.52%	35.41%	16.70%	9.91%	11.33%	4.79%	5.53%



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Local Business Contract Equity (LBCE) Program Goals Attainment Summary for
Contracts with LBCE Program Goals
FY2009-10 to FY2013-14

Contract Type	Reporting Period	Number of Contracts	Total \$	LBE \$	LBE %	SLBE \$	SLBE %
Administrative	FY 2009-10	48	4,159,357	3,723,508	90%	2,981,064	72%
	FY 2010-11	49	4,279,167	3,626,122	85%	2,840,179	66%
	FY 2011-12	29	1,492,997	1,167,795	78%	743,826	50%
	FY 2012-13	23	2,346,513	1,687,847	72%	1,310,762	56%
	FY 2013-14	16	1,133,978	895,730	79%	645,687	57%
Subtotal for Administrative Contracts			\$ 13,412,012	\$ 11,101,000	83%	\$ 8,521,518	64%
Engineering	FY 2009-10	26	10,401,749	9,670,210	93%	4,794,776	46%
	FY 2010-11	31	9,086,170	8,222,340	90%	2,770,903	30%
	FY 2011-12	26	4,045,451	2,978,356	74%	1,396,032	35%
	FY 2012-13	10	4,647,838	3,364,570	72%	1,564,462	34%
	FY 2013-14	9	2,646,263	2,100,074	79%	1,041,569	39%
Subtotal for Engineering Contracts			\$ 30,827,471	\$ 26,335,550	85%	\$ 11,567,742	38%
Construction	FY 2009-10	0	-	-	0%	-	0%
	FY 2010-11	0	-	-	0%	-	0%
	FY 2011-12	2	43,173	-	0%	-	0%
	FY 2012-13	1	58,220	-	0%	-	0%
	FY 2013-14	1	90,526	-	0%	-	0%
Subtotal for Construction Contracts			\$ 191,919	\$ -	0%	\$ -	0%
Total (All Contracts)			\$ 44,431,403	\$ 37,436,551	84%	\$ 20,089,260	45%

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To: Seung Cho, Contracting, Administration, and Fiscal Resource Manager, Alameda CTC

From: Joan Fisher, L. Luster & Associates 
Brooklyn Moore-Green, L. Luster & Associates 

CC: Patricia Reavey, Director of Finance, Alameda CTC
Dr. Laura Luster, L. Luster & Associates

Date: October 27, 2014

RE: Independent Review of Alameda County Transportation Commission's Contract Equity Annual Utilization Report for the period July 1, 2013 through June 30, 2014

L. Luster & Associates (LLA) has reviewed Alameda CTC payment and vendor data provided by Alameda CTC staff for the period July 1, 2013 through June 30, 2014.

LLA staff was given full access to the Invoice Cost Tracking System (ICTS) database, as well as contract/agreement files, payment invoices, and responses to vendor questionnaires. LLA utilized these resources in conducting a thorough review to provide quality control and data integrity for all payments made to vendors on contracts with Local Business Contract Equity goals within the above referenced period.

LLA met with staff and presented its findings. Staff satisfactorily responded to all issues identified and presented.

Having completed the review process, L. Luster & Associates finds no material defects in the Alameda CTC Contract Equity Annual Utilization Report for the period July 1, 2013 through June 30, 2014.

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Application for the Alameda CTC Bicycle and Pedestrian Advisory Committee (BPAC)



RECEIVED

Alameda CTC app for Alameda County residents who are interested in the Bicycle and Pedestrian Advisory Committee, which meets quarterly on the second Thursday of the month from NOV 17 2014. Each member is appointed for one year term.

ALAMEDA CTC

Name: Kristi Marleau
Home Address: _____
Mailing Address (if different): Same
Phone: (home) _____ (work) _____ (fax) _____
Email: _____

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 BPAC 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. **Specific Bicycle and/or Pedestrian Experience:** List any specific interest, involvement or expertise you have related to bicycle and/or pedestrian issues.

Members may not be public agency employees responsible for bicycle and pedestrian projects and/or programs, and work for an agency that is eligible and likely to submit an application for the Countywide Discretionary Fund.

Certification: I certify that the above information is true and complete to the best of my knowledge.

Signature [Signature] Date 10/8/14

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 ACMC
Nancy Osterlund
11/13/14

Bicycle and Pedestrian Advisory Committee (BPAC) Citizens Advisory Committee (CAC) Citizens Watchdog Committee (CWC) Paratransit Advisory and Planning Committee (PAPCO)

Alameda CTC 1111 Broadway, Suite 800 Oakland, CA 94607 www.AlamedaCTC.org Phone 510.208.7400

Kristi Marleau
BPAC application

I. I do not have any previous or current experience serving on a public agency commission or committee.

II. I am interested in serving on BPAC because safe biking and walking are important to me. My family and I live a very car-lite life in Dublin and get around the Tri-Valley most often by bicycle. My husband commutes by bike to Livermore and my children have gotten to school by bike or walking every day for the last three school years.

III. I am self-employed as an evaluation consultant, working with clients to develop data collection instruments and databases, as well as providing data analysis and reporting services. My clients include a number of county health departments working in the areas of tobacco control, drug prevention, and education.

My interest in improving biking and walking in my area led me to volunteer to be the Parent Champion for my children's school's Safe Routes to Schools program in coordination with Alameda County Safe Routes to Schools in October 2012. I have been involved since then in helping to coordinate events at Kolb Elementary School like Walk and Roll to School Day and the Golden Sneaker contest. Last winter I helped to develop the school's Walking School Bus program to reduce car traffic around campus and promote walking to school.

I have been an active member and volunteer with Bike East Bay since May 2012 and I began serving on the Bike East Bay Board of Directors in January 2014. I have been involved in public workshops to provide feedback about the City of Dublin's new Bicycle and Pedestrian Master Plan which was adopted by City Council on October 7, 2014.

IV. My specific interest is in improving conditions for active transportation in Dublin and the wider Tri-Valley area because that is how my family chooses to get around on a daily basis.

**Alameda County Transportation Commission
Bicycle and Pedestrian Advisory Committee
Roster and Attendance Fiscal Year 2014-2015**

	Suffix	Last Name	First Name	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since Jul '14*
1	Ms.	Tabata, Chair	Midori	Oakland	Alameda County Mayors' Conference, D-4	Jul-06	Sep-13	Sep-15	0
2	Ms.	Zimmerman, Vice-Chair	Sara	Berkeley	Alameda County Mayors' Conference, D-5	Apr-14		Apr-16	0
3	Mr.	Bucci	Mike	Newark	Alameda County Supervisor Richard Valle, District 2	Sep-12		Sep-14	2
4	Mr.	Fishbaugh	David	Fremont	Alameda County Supervisor Scott Haggerty, District 1	Jan-14		Jan-16	0
5	Ms.	Gigli	Lucy	Alameda	Alameda County Supervisor Wilma Chan, District 3	Jan-07	Oct-12	Oct-14	1
6	Mr.	Johansen	Jeremy	San Leandro	Alameda County Mayors' Conference, D-3	Sep-10	Sep-13	Sep-15	0
7	Mr.	Jordan	Preston	Albany	Alameda County Supervisor Keith Carson, District 5	Oct-08	Sep-12	Sep-14	2
8	Mr.	Schweng	Ben	Alameda	Alameda County Mayors' Conference, D-2	Jun-13		Jun-15	1
9	Ms.	Shaw	Diane	Fremont	Transit Agency (Alameda CTC)	Apr-14		Apr-16	0
10	Mr.	Turner	Matt	Castro Valley	Alameda County Supervisor Nate Miley, District 4	Apr-14		Apr-16	1
11		Vacancy			Alameda County Mayors' Conference, D-1				

7.1

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

1111 Broadway, Suite 800, Oakland, CA 94607

510.208.7400

www.AlamedaCTC.org

1. Welcome and Call to Order

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

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

2. Public Comment

There were no public comments.

3. Presentation of CWC Annual Report

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

4. Open Public Hearing

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

5. Public Comment on Hearing of CWC Annual Report

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

6. Close Public Hearing on CWC Annual Report

James Paxson closed the public hearing.

7. Approval of CWC Annual Report

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

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

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

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

8. CWC Meeting Minutes

8.1. Approval of June 9, 2014 CWC Meeting Minutes

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

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

9. Report on the CWC Pre-Audit Subcommittee Meeting

9.1. CWC Pre-Audit Subcommittee Meeting Minutes

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

9.2. Scheduling of Post-Audit Subcommittee Meeting

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

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

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

10.1. Proposed Publication Costs and Distribution

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

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

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

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

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

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

10.2. Draft CWC Annual Report Press Release

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

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

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

11. Staff Responses to CWC Requests for Information

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

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

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

11.2. Brown Act Public Noticing Requirements (Verbal)

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

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

12. CWC Member Reports/Issues Identification (Verbal)

12.1. CWC Issues Identification Process and Form

There were no issues identified.

12.2. Issues Discussion

The members did not identify any issues.

13. Staff Reports/Board Actions (Verbal)

13.1. Transportation Expenditure Plan Update (Verbal)

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

13.2. CWC Calendar FY14-15

The calendar is in the agenda packet for review purposes.

13.3. CWC Roster

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

13.4. Alameda CTC Commission Action Items

The Commission action items are listed in the agenda packet.

14. Adjournment

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

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

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

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Paratransit Advisory and Planning Committee
Meeting Minutes
Monday, September 22, 2014, 1:00 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607

510.208.7400

www.AlamedaCTC.org

MEETING ATTENDEES

Attendance Key (A = Absent, P = Present)

Members:

P Sylvia Stadmire,
Chair

P Will Scott,
Vice-Chair

A Larry Bunn

P Shawn Costello

P Herb Hastings

P Joyce
Jacobson

P Sandra
Johnson-Simon

P Jonah Markowitz

A Rev. Carolyn Orr

P Suzanne Ort

P Thomas Perez

P Sharon Powers

A Vanessa Proee

A Carmen Rivera-
Hendrickson

P Michelle Rousey

P Harriette
Saunders

A Margaret Walker

P Esther Waltz

P Hale Zukas

Staff:

P Jacki Taylor, Program Analyst

P Naomi Armenta, Paratransit Coordinator

P Krystle Pasco, Paratransit Coordination Team

P Richard Weiner, Paratransit Coordination Team

P Christina Ramos, Alameda CTC Projects/Programs Team

Guests:

Lee Conway, Public Advocate; Jennifer Cullen, Senior Support Program of the Tri-Valley

MEETING MINUTES

1. Welcome and Introductions

Sylvia Stadmire, PAPCO Chair, called the meeting to order at 1:10 p.m. and confirmed a quorum. The meeting began with introductions and a review of the meeting outcomes.

2. Public Comment

There were no public comments.

3. Administration

3.1. July 28, 2014 PAPCO Meeting Minutes

Michelle Rousey moved to approve the July 28, 2014 PAPCO Meeting minutes as written. Esther Waltz seconded the motion. The motion passed (13-0-0). Members Shawn Costello, Herb Hastings, Joyce Jacobson, Sandra Johnson-Simon, Jonah Markowitz, Thomas Perez, Sharon Powers, Michelle Rousey, Harriette Saunders, Will Scott, Sylvia Stadmire, Esther Waltz and Hale Zukas were present.

3.2. Meeting Process Changes

Naomi Armenta reviewed the changes to the meeting process.

Questions and feedback from PAPCO members:

- A member of the Committee noted that other Committee members may have hurt feelings as a result of a transparent election process.
- A member of the public suggested that a link to the video of the meeting be documented in the meeting's minutes.
- If there is no quorum at the meeting, the Committee members are not able to vote on agenda items, correct? Staff confirmed, the Committee must establish a quorum before any actions are taken.
- Will the Committee members who are present be reflected in the meeting minutes for every action item? Staff confirmed and noted that this will be separate from the attendance section of the meeting minutes.

3.3. FY 14-15 PAPCO Work Plan

Naomi Armenta reviewed the FY 14-15 PAPCO Work Plan. PAPCO members discussed and finalized the Work Plan.

Questions and feedback from PAPCO members:

- Does this Work Plan include when the Gap Grant Cycle 5 program recipients report to our Committee on their progress? Staff confirmed that information is included under the "Fiduciary Oversight" goal of the Work Plan.

- Will we have a Gap Grant Cycle 6 whether or not Measure BB passes? Staff has yet to determine when the Gap Grant Cycle 6 call will be released.
- When will the current Measure B funds end? Staff stated the current Measure B funds will expire in 2022.
- Where do East Bay Paratransit and the release of their customer satisfaction survey fit into the Work Plan? Staff responded that East Bay Paratransit has its own advisory committee, the Service Review Advisory Committee (SRAC). Their staff requests that Alameda CTC staff distribute the survey to all PAPCO members on a yearly basis. Many of the PAPCO members use East Bay Paratransit's services but their committee is separate from ours.

Jonah Markowitz moved to approve the FY 14-15 PAPCO Work Plan as written. Harriette Saunders seconded the motion. The motion passed (13-0-1; Member Shawn Costello abstained). Members Shawn Costello, Herb Hastings, Joyce Jacobson, Sandra Johnson-Simon, Jonah Markowitz, Suzanne Ortt, Thomas Perez, Sharon Powers, Michelle Rousey, Harriette Saunders, Will Scott, Sylvia Stadmire, Esther Waltz and Hale Zukas were present.

4. Gap Grant Cycle 5 Program Report: Volunteer Assisted Senior Transportation Program

Jennifer Cullen with the Senior Support Program of the Tri-Valley gave a Gap Grant Cycle 5 program report on the Volunteer Assisted Senior Transportation Program. She gave an overview of the program and services.

Questions and feedback from PAPCO members:

- Do you serve disabled consumers? Our mission is to serve the 60 year and older population. Unfortunately, we are unable to work with the disabled community through this service; however, we refer disabled consumers to Dial-A-Ride and CRIL.
- Do any of your program participants call you after hours? No, I try to keep work separate from my personal life. I will tell participants to call me during business hours.

- I like the way that you conduct your surveys and how you incorporate them into your program.
- This is a fantastic program and it is amazing how you are able to run it with such limited budget. Also, is anyone assisting you with drafting some legislation to protect volunteer drivers? I would appreciate any help.
- Is your volunteer driver program only for medical needs? Yes, it is. We cater to medical and follow up appointments; however, we have taken consumers to the Social Security office and the DMV.
- Do you provide same day service? Yes, we provide same day service but it is not always guaranteed.
- I noticed that you have nine staff drivers, how big is your staff? We have a 20 member staff.
- I really liked your presentation.
- How do consumers make reservations? Consumers call me to make reservations.
- There is a legitimate reason to work on legislation to protect volunteer drivers throughout Alameda County and not just with this one program.
- Do you profile your typical volunteer and subjectively select them? Most of the volunteers are recently retired and they are looking to give back to the community through this program. They are generally from 55-75 years of age, altruistic and are looking to help people around them.

Additionally, both the Chair and member Tom Perez offered to help Jennifer draft legislation to support volunteer drivers.

5. Member Reports on PAPCO Mission, Roles, and Responsibilities Implementation

Jonah Markowitz noted that Easy Does It is going to have a 20th Anniversary celebration on November 6th at the Ed Roberts Campus. Donations are being accepted and donation letters are available upon request.

Shawn Costello noted that he recently interviewed for the Independent and was asked questions regarding his stance on Measure BB.

Joyce Jacobson did a presentation in September to the City of Emeryville Commission on Aging about Measure BB. She also provided information to the Ashby Village.

6. Committee Reports (Verbal)

6.1. East Bay Paratransit Service Review Advisory Committee (SRAC)

Sharon Powers reported that at the last meeting members discussed the customer satisfaction survey as well as emergency preparedness as a result of the recent Napa earthquakes.

6.2. Citizens Watchdog Committee (CWC)

Herb Hastings reported that the next CWC meeting will take place on October 27, 2014. This will be his first meeting as the PAPCO representative. Harriette Saunders added that the CWC Annual Report to the Public is now available for distribution.

7. ADA Mandated Program and Policy Reports

PAPCO members were asked to review these items in their packets.

8. Information Items

8.1. Mobility Management – ESPA Taxicab Info Brief

Naomi Armenta reviewed the mobility management attachment in the packet. She noted that this is a great resource for best practices with regards to accessible taxi programs.

Naomi also noted that the updated Access Alameda guides are now ready for distribution. Staff provided all PAPCO members with a grocery bag of Access Alameda guides and TEP postcards. The translated versions will also be available soon.

8.2. Outreach Update

Krystle Pasco gave an update on the following outreach events:

- 9/19/14 – Senior Resource Fair, San Leandro Senior Community Center from 10:00 a.m. to 1:00 p.m.

- 10/4/14 – Senior Info Fair, Dublin Senior Center from 10:00 a.m. to 2:00 p.m.
- 10/7/14 – Newark Senior Center Senior Health Fair, Silliman Activity Center from 9:00 a.m. to 12:00 p.m.
- 10/17/14 – Mobility Workshop, Ed Roberts Campus from 9:30 a.m. to 3:30 p.m.

8.3. Transportation Expenditure Plan Update

Laurel Poeton gave an update on the Transportation Expenditure Plan (TEP). She noted that staff has continued to attend events and distribute postcards all throughout Alameda County. She also noted that a recent study done by the Bay Area Council of Economic Institute was released and is available for distribution. Copies of the report are available on the information table. Lastly, if members would like the Alameda CTC to be at any of the meetings or events that their affiliated organizations are hosting, please contact staff with more information.

8.4. 2014 Annual Mobility Workshop Update

Richard Weiner gave a brief update on the 2014 Annual Mobility Workshop and reminded members that the Workshop is scheduled for 9:30 a.m. to 3:30 p.m. on October 17, 2014 at the Ed Roberts Campus. Richard reviewed the program for the Workshop and noted that topics include Transportation Access to Healthcare and Social Services as well as On-Demand Transportation Services and Accessibility. There will also be a resource fair for attendees to gather information as well as raffle prizes.

8.5. Other Staff Updates

Naomi Armenta gave an update on the upcoming Section 5310 funding cycle. She noted that it will be a different process from previous years and will include funding for capital purchases as well as mobility management efforts. MTC will be releasing the call for projects on October 1, 2014. More information will be provided next month.

9. Draft Agenda Items for October 27, 2014 PAPCO Meeting

9.1. Gap Grant Cycle 5 Progress Reports

9.2. Convene 5310 Review Subcommittee

10. Adjournment

The meeting adjourned at 3:30 p.m. The next PAPCO meeting is scheduled for October 27, 2014 at Alameda CTC's offices located at 1111 Broadway, Suite 800, in Oakland.

**Alameda County Transportation Commission
Paratransit Advisory and Planning Committee
Roster - Fiscal Year 2014-2015**

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July '14
1	Ms. Stadtmire, Chair	Sylvia J.		Oakland	Alameda County Supervisor Wilma Chan, D-3	Sep-07	Jan-13	Jan-15	0
2	Mr. Scott, Vice Chair	Will		Oakland	Alameda County Supervisor Keith Carson, D-5	Mar-10	May-14	May-16	0
3	Mr. Bunn	Larry		Union City	Union City Transit Wilson Lee, Transit Manager	Jun-06	Dec-13	Dec-15	3
4	Mr. Costello	Shawn		Dublin	City of Dublin Mayor Tim Sabraniti	Sep-08	May-14	May-16	0
5	Mr. Hastings	Herb		Dublin	Alameda County Supervisor Scott Haggerty, D-1	Mar-07	Jan-14	Jan-16	0
6	Ms. Jacobson	Joyce		Emeryville	City of Emeryville Councilmember Ruth Atkin	Mar-07	Jan-14	Jan-16	0
7	Ms. Johnson-Simon	Sandra		San Leandro	Alameda County Supervisor Nate Miley, D-4	Sep-10	Dec-13	Dec-15	0
8	Mr. Markowitz	Jonah		Berkeley	City of Albany Vacant	Dec-04	Oct-12	Oct-14	0
9	Rev. Orr	Carolyn M.		Oakland	City of Oakland Councilmember Rebecca Kaplan	Oct-05	Jan-14	Jan-16	2
10	Ms. Ortt	Suzanne		Union City	City of Union City Mayor Carol Dutra-Vernaci	Sep-12		Sep-14	0
11	Mr. Perez	Thomas M.		Fremont	Alameda County Supervisor Richard Valle, D-2	Feb-14		Feb-16	0
12	Ms. Powers	Sharon		Fremont	City of Fremont Mayor William Harrison	Dec-07	Jan-14	Jan-16	0

**Alameda County Transportation Commission
Paratransit Advisory and Planning Committee
Roster - Fiscal Year 2014-2015**

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July '14
13	Ms. Proee		Vanessa	Hayward	City of Hayward Councilmember Marvin Peixoto	Mar-10	Jan-14	Jan-16	2
14	Ms. Rivera-Hendrickson		Carmen	Pleasanton	City of Pleasanton Mayor Jerry Thorne	Sep-09	Feb-14	Feb-16	2
15	Ms. Rousey		Michelle	Oakland	BART Director Tom Blalock	May-10	Jan-14	Jan-16	0
16	Ms. Saunders		Harriette	Alameda	City of Alameda Mayor Marie Gilmore	Jun-08	Oct-12	Oct-14	0
17	Ms. Walker		Margaret	San Leandro	City of San Leandro Vice Mayor Michael Gregory	Jul-13		Jul-15	2
18	Ms. Walitz		Esther Ann	Livermore	LAVTA Executive Director Michael Tree	Feb-11	May-14	May-16	0
19	Mr. Zukas		Hale	Berkeley	A. C. Transit Director Elsa Ortiz	Aug-02	Jan-14	Jan-16	0
20	Vacancy				City of Berkeley Councilmember Laurie Capitelli				
21	Vacancy				City of Livermore Mayor John Marchand				
22	Vacancy				City of Newark Councilmember Luis Freitas				
23	Vacancy				City of Piedmont Mayor Margaret Fujioka				

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Memorandum

8.2

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 27, 2014

SUBJECT: Draft 2015 Alameda CTC Legislative Program

RECOMMENDATION: Approve Draft 2015 Alameda CTC Legislative Program.

Summary

Alameda CTC's 2015 Legislative Program will guide legislative actions and policy direction on legislative issues during the upcoming calendar year. Some of the highest priorities in 2015 will be to partner at the regional and state level in efforts regarding reauthorization of the federal surface transportation bill, the Road User Charge program, implementation of the Alameda County 2014 Transportation Expenditure Plan, monitoring of California Transportation Infrastructure Priorities and Statewide Transportation Improvement Program reform, implementation of Senate Bill 743 that will affect Alameda County's transportation and land use activities to support the region's Sustainable Communities Strategy, implementation of the state Cap-and-Trade Program for transportation funding that will help address climate change, as well as development and advocacy of policies that support goods movement, efficient multimodal arterial roadways, and reliable, accessible transit. Advocacy policies may emerge as part of the development of Alameda CTC's three multimodal plans currently underway: Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan. Legislative and policy partnerships throughout the Bay Area and California will be key to the success of the 2015 Legislative Program.

Background

Each year, Alameda CTC adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the legislative program is to establish funding, regulatory, and administrative principles to guide Alameda CTC's legislative advocacy. The program is designed to be broad and flexible, allowing Alameda CTC to pursue legislative and administrative opportunities that may arise during the year, and to respond to political processes in the region as well as in Sacramento and Washington, DC.

The Draft 2015 Alameda CTC Legislative Program is divided into six sections and retains many of the 2014 priorities:

1. Transportation Funding
2. Project Delivery
3. Multimodal Transportation and Land Use
4. Climate Change
5. Goods Movement
6. Partnerships

Attachment A provides background on each of the legislative categories. Attachment B summarizes the proposed legislative platform. Alameda CTC's state and federal lobbyists will schedule meetings in the coming year with various legislators and agency staff in Sacramento and Washington, D.C. to address Alameda CTC's legislative needs in 2015.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Draft 2015 Alameda County Legislative Program
- B. Summary Table of Proposed 2015 Alameda County Legislative Program

Staff Contact

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

DRAFT 2015 Alameda CTC Legislative Program

Introduction

Each year, the Alameda County Transportation Commission (Alameda CTC) adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the 2015 Alameda CTC Legislative Program is to establish funding, regulatory, and administrative principles to guide Alameda CTC's legislative advocacy in the coming year. The program is developed to be broad and flexible, allowing Alameda CTC to pursue legislative and administrative opportunities that may arise during the year, and to respond to the changing political processes in the region, as well as in Sacramento and Washington, DC.

The legislative program supports Alameda CTC in its required role as manager of the county's voter-mandated transportation expenditure plans and as the county's congestion management agency. Alameda CTC relies on its legislative program to advance transportation programs and projects that will maintain and improve Alameda County's multimodal transportation system. Some of the main factors that will influence the 2015 Alameda CTC Legislative Program include:

- The need for new, secure funding sources;
- Implementation of federal legislative mandates, including reauthorization of the federal transportation bill Moving Ahead for Progress in the 21st Century (MAP-21), which was extended this year through May 2015;
- Implementation of the state Road User Charge program;
- Implementation of the Alameda County 2014 Transportation Expenditure Plan that voters approved in November 2014;
- Monitoring of California Transportation Infrastructure Priorities and Statewide Transportation Improvement Program reform;
- Implementation of state legislation including Senate Bill 743 that will affect Alameda County's transportation and land use activities to support the region's Sustainable Communities Strategy;
- Implementation of a Cap-and-Trade Program for transportation funding that will help address climate change;
- Goods movement planning and advocacy, as well as policy development as a result of multimodal arterial planning and countywide transit planning efforts; and
- Expansion of legislative and policy partnerships throughout the Bay Area and California.

Funding and policy decisions supported through a legislative program will advance Alameda CTC projects and programs. The draft 2015 Legislative Program is divided into six sections and retains many of the 2014 priorities:

1. Transportation Funding
2. Project Delivery
3. Multimodal Transportation and Land Use
4. Climate Change
5. Goods Movement
6. Partnerships

The following legislative areas are related to federal, state, and regional policy and legislative efforts as applicable.

1. Transportation Funding

California represents the largest economy in the U.S., and is the eight largest in the world. Its diverse industries range from agriculture to mining to biotechnology to the Internet—all of which serve as a source of the state's economic strength. Each of these industries relies on a backbone of transportation to move people, goods, and services. Over the past 20 years, the state and federal gas taxes have not been raised, and since that time, the costs to deliver transportation projects and programs, operate transit, and perform system maintenance continue to rise.

Fuel prices fluctuate significantly in California, but the gas tax remains flat with no index to inflation. In July, the House and Senate approved the Highway and Transportation Act of 2014 (H.R. 5021), which authorizes \$9.8 billion in General Fund transfers and \$1.0 billion from the Leaking Underground Storage Tank Trust Fund to move to the Highway Trust Fund. The legislation will keep the Highway Trust Fund solvent and extend the authorization of the federal transportation bill MAP-21 through May 2015. However, the bill does not address a future funding mechanism to create a reliable funding stream. In September 2014, Senator Boxer delivered a letter to the House Committee on Ways & Means leadership asking that they identify potential long-term funding sources for the Highway Trust Fund. She sent another letter to the committee in October 2014, but has yet to receive any responses. The House and Senate are not anticipated to turn their attention to the reauthorization until next year prior to the May deadline.

Road User Charge Pilot Program

The approval of Senate Bill 1077 (DeSaulnier) this year was a major step forward in California's effort to address the declining value of the state's fuel excise tax. SB 1077 directs the chair of the California Transportation Commission (CTC) in consultation with the Secretary of the California State Transportation Agency (CalSTA) to create a Road Usage Charge Technical Advisory Committee.

The Advisory Committee will consist of 15 members selected by the CTC chair in consultation with the CalSTA secretary. The legislation suggests that the members of the Advisory Committee consist of representatives ranging from security and privacy groups to legislators and regional transportation agencies. The legislation also allows the

appointment of “other relevant stakeholders as determined by the CTC chair.” The purpose of the Advisory Committee is to study alternatives to the existing excise tax. Based on the findings of the Advisory Committee, CalSTA will implement a pilot program by January 1, 2017 to evaluate the potential implementation of a road user charge in California, and then submit a report on the pilot program to the Advisory Committee by June 30, 2018.

Voter-approved Funding Sources

In the absence of state and federal funding increases for transportation, funding solutions have increasingly become reliant on voter-approved measures, many of which have the highest voter threshold requirement for passage. Over the past several years, voters have supported statewide bond measures to fund transportation infrastructure throughout the state. One such measure, California's Proposition 1B has contributed just under \$1 billion for transportation improvements in Alameda County for projects including I-80 Integrated Corridor Mobility, I-580 Eastbound High-Occupancy Vehicle (HOV) Lane, I-580 Westbound HOV Lane, I-580 Isabel Interchange, I-880 North Safety and Operational Improvements at 23rd and 29th Avenues, I-880 Southbound HOV Lane, and Route 84 Expressway North Segment.

In November 2010, five out of seven counties in the Bay Area approved increasing the vehicle registration fees to fund transportation improvements. These advances in funding demonstrate the public's understanding that supporting essential infrastructure, transportation programs, and maintenance are critical to support the economy and vitality of local communities.

In August 2013, Assembly Bill 210, was signed by the governor, extending the authority of Alameda CTC and authorizing the County of Contra Costa to impose the transactions and use tax for countywide transportation programs until December 31, 2020 that may exceed the 2 percent sales tax threshold in both counties by one-half cent. This allowed placement of an Alameda County Transportation Expenditure Plan on the ballot in 2014 that will fund \$8 billion in transportation investments. Alameda CTC is in the process of developing an implementation plan for the Transportation Expenditure Plan that recognizes the county's needs and prioritizes projects that are ready to begin. Many counties are interested in a similar bill to AB 210 to allow for placement of new sales tax measures that would exceed the 2 percent cap. It is likely that this type of legislation will be introduced in the coming session.

However, while voters are willing to support measures to increase funding and some local sales tax measures have surpassed the two-thirds voter hurdle, Alameda County, the state, and country continue to face transportation funding challenges, which worsen over time. As a consequence, much-needed funding for transportation infrastructure and operations has been seriously compromised. Alameda CTC's legislative priorities for transportation funding include the following:

Increase transportation funding

- Support efforts to lower the two-thirds threshold for voter-approved transportation measures.
- Support increasing the buying power of the gas tax and/or increasing transportation revenues through vehicle license fees, vehicle miles traveled, or other reliable means.
- Support efforts that protect against transportation funding diversions.

Protect and enhance voter-approved funding

- Support legislation that protects and provides increased funding to Alameda County for operating, maintaining, rehabilitating, and improving transportation infrastructure and operations, including state highways, public transit and paratransit, local streets and roads, bicycle and pedestrian facilities, seismic safety upgrades, and goods movement, including making the use of these funds more flexible from different fund sources.
- 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 that are locally funded and locally managed.
- Support efforts that streamline financing and delivery of transportation projects and programs.
- 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.

2. Project Delivery

Delivery of transportation infrastructure expeditiously is critical for ensuring cost-effective mobility of people and goods, while protecting air and environmental quality, creating jobs, and improving local communities. However, delivery of projects is often bogged down by the multiple stages and long time frames for current project delivery processes, including environmental clearance and mitigation, design, right of way, and project financing. Furthermore, Alameda County's population is expected to grow by 30 percent by 2044, which will affect congestion and the demand on the transportation system. Alameda CTC will continue to expedite project delivery through partnerships and best management practices and will also continue to monitor efforts through the California Transportation Infrastructure Priorities and Statewide Transportation Improvement Program reform activities.

California Transportation Infrastructure Priorities

The California State Transportation Agency released the initial recommendation from the California Transportation Infrastructure Priorities workgroup earlier this year. The

document outlines several near- and long-term recommendations that received consensus support from the workgroup on issues needed to address the state's transportation needs. Many of the recommendations listed in the report were accomplished in 2014. These include:

- Implementation of the Cap-and-Trade Expenditure Plan will allocate funds for rail modernization, sustainable communities implementation, and low-carbon vehicles and transit operations.
- Repayment of funds owed to transportation programs will keep projects moving. The budget provides a \$351 million payment to the State Highway Account that will fund maintenance projects at the state and local level as well provides funding for the Active Transportation Program and environmental mitigation.
- The 2014-15 budget appropriates remaining Proposition 1B bond funds.
- AB 1193 (Ting) enacts one of the reforms identified in the State Smart Transportation Initiative report to allow cities and counties greater design authority for bicycle facilities.
- SB 1077 (DeSaulnier) allows CalSTA and the CTC to review and implement a pilot program examining the viability of a road user fee.
- SB 628 (Beall) authorizes local officials to create Enhanced Infrastructure Financing Districts and issue bonds to finance capital improvement projects and other specified projects of communitywide significance.

However, the more controversial recommendations did not arise in 2014. There was an effort to expand the CTC's authority to approve the construction of express lanes, including granting the California Department of Transportation (Caltrans) the authority to build and operate these toll facilities. This is an issue that could potentially be reintroduced next year. There were also discussions and suggested amendments that would insert Caltrans into the development of local transportation expenditure plans.

Several constitutional amendments introduced last session would reduce the voter threshold for approval from two-thirds to 55 percent for local transportation sales tax proposals; however, none of them were able to move through the full legislative process. Constitutional amendments may be introduced in the legislature next year to address reducing the voter threshold. .

Statewide Transportation Improvement Program

Statewide Transportation Improvement Program (STIP) reform is still an issue. The California Transportation Infrastructure Priorities workgroup does not make any specific recommendations, but it does hint about the need for Caltrans to play a greater role in the planning process. The rise of local sales tax measures and the direction of 75 percent of transportation funds to the regions has affected Caltrans' decision-making role. STIP reform will be an ongoing discussion effort in 2015, and Alameda CTC will continue to monitor and address policy issues as necessary.

Advance innovative project delivery

Innovative projects such as the implementation of express lanes and intelligent transportation systems can mitigate congestion, improve traffic flow and safety, and enhance cross-county connections. Looking at capital projects from a regional perspective and closely partnering with other implementation agencies can improve the region's ability to mitigate congestion challenges, offer travelers an array of choices and enhance the economic, community, and environmental health of Alameda County.

- Support environmental streamlining and expedited project delivery.
- Support contracting flexibility and innovative project delivery methods.
- Support high-occupancy vehicle/toll lane expansion in Alameda County and the Bay Area, implementation of AB 1811, and efforts that promote effective and streamlined implementation.
- Support efforts to allow local agencies to advertise, award, and administer state highway system contracts largely funded by local agencies.

Ensure cost-effective project delivery

- Support efforts that reduce 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 accelerating funding and policies to implement transportation projects that create jobs and economic growth.

3. Multimodal Transportation and Land Use

Transportation in the Bay Area must serve multiple needs. It must efficiently deliver food and goods, and move people from one place to another. Multimodal options offer the traveling public choices, manage traffic, reduce greenhouse gas emissions, and improve the transportation system efficiency. To that end, Alameda CTC is developing three multimodal plans—Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan. Effective implementation of multimodal transportation systems relies on how local development supports these types of investments. Linking land use and transportation decisions can result in economic growth and expanded mobility for local residents and businesses.

Further, legislation such as Senate Bill 375, which requires a reduction of greenhouse gas emissions from the transportation sector and requires housing all sectors of the population in the region, strengthens the link between transportation and land use planning, funding, and implementation.

New California Environmental Quality Act Guidelines

In September 2013, Senate Bill 743 instituted key changes to the Congestion Management Program statute that will support infill development, including lifting the sunset date on designating infill opportunity zones and directing the governor's Office of Planning and Research to develop new metrics for assessment of transportation impacts to replace the level of service measure.

Based on the California Environmental Quality Act reform efforts and SB 743, in collaboration with local jurisdictions and regional agencies, Alameda CTC is actively participating in the process of addressing how SB 743 will be implemented and how Alameda CTC can support local jurisdictions in implementing the law.

Sustainable Communities Strategy

As part of the regional Plan Bay Area's requirement to develop a Sustainable Communities Strategy (SCS) to accommodate future population growth and reduce greenhouse gas emissions from cars and light trucks, Alameda CTC has created and updated a Priority Development Area Investment and Growth Strategy that emphasizes the link between transportation and land use and supports and encourages residential and commercial development in the region's PDAs. Alameda CTC is helping local jurisdictions to meet their SCS requirement and is supporting local PDA investments.

In addition, as part of its Congestion Management Program, Alameda CTC has comprehensively reviewed and reorganized the Alameda County Land Use Analysis Program to better document the various related efforts of the agency and incorporate regional Plan Bay Area goals. Alameda CTC has also developed a 2013 Performance Report on the multimodal performance of Alameda County's transportation system and will produce a report in spring of 2015 on the 2014 performance.

Alameda CTC supports efforts that encourage, fund, and provide incentives and/or reduce barriers to integrating transportation, housing, and jobs development in areas that foster effective transportation use. In addition, since transportation systems must serve all of society to meet the mobility needs of youth, seniors, people with disabilities, working people, and people at all income levels in our communities, Alameda CTC supports a balanced, flexible system with multiple transportation options that expand access for all transportation users.

Reduce barriers to the implementation of transportation and land use investments

- 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 (TOD) and priority development areas (PDAs).
- Support innovative financing opportunities to fund TOD and PDA implementation.

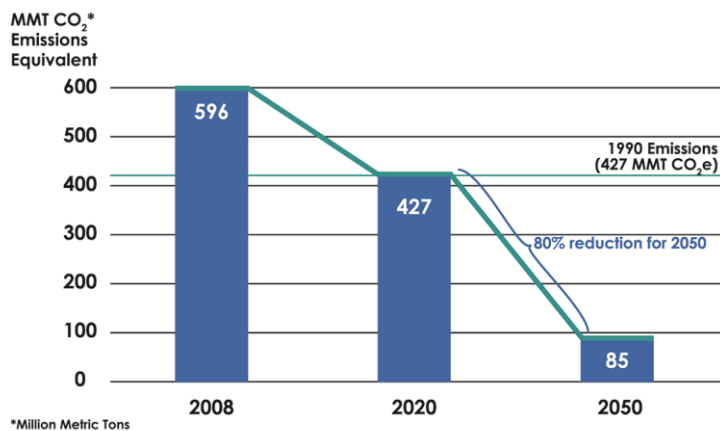
Expand multimodal systems and flexibility

- 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 and do not create unfunded mandates.
- 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.

4. Climate Change

The enactment of Assembly Bill 32 and SB 375 to reduce the state's greenhouse gas (GHG) emissions, link transportation and housing, and create a funding stream to pay

AB 32 Emission Reduction Goals: 80 percent reduction for 2050



for projects and programs that reduce GHG emissions (the state's Cap-and-Trade Program) affect transportation planning, funding, and delivery in Alameda County and throughout the state.

Assembly Bill 1532 and its companion bill Senate Bill 535, both signed by Governor Brown in late September 2012, define how cap-and-trade funds may be spent, including on transportation, and require that 25 percent of revenues be spent to benefit disadvantaged communities and 10 percent be spent directly

within these communities (as defined by the California Air Resources Board [ARB]).

Cap-and-Trade Program Implementation

The 2014-15 budget appropriated \$872 million of cap-and-trade auction revenue to specific GHG reduction programs. In addition, the budget trailer bill directs future allocations to specific programs based on specified percentages. These expenditure plan programs include the Affordable Housing and Sustainable Communities Program (20 percent), the Low Carbon Transit Operations Program (5 percent), the Transit and Intercity Rail Capital Program (10 percent), and the High Speed Rail Program (25 percent). In future fiscal years, 60 percent of auction revenue will be allocated to these specific programs, and 40 percent will be subject to annual appropriations through the budget act. In the near term, no changes are expected to the percentage amounts allocated to each programs; however, these percentage allocations can be changed by the legislature.

The guidelines for 2014-15 fiscal year allocation for the expenditure plan programs are currently being drafted. Since this is the initial allocation, the agencies administering these programs may revise the guidelines in 2015 to address any unforeseen issues, or legislative changes.

In the coming legislative session, activity regarding the allocation of cap-and-trade auction revenue will focus on the 40 percent of funds subject to the annual budget act. Legislation clarifying the types of projects eligible for funding, along the lines of Assembly Bill 1447 that clarified traffic signal synchronization projects as an eligible expense, is expected. In addition, legislative efforts attempting to alter or clarify the expenditure programs are also expected.

The most significant threat to the cap-and-trade funding programs will be renewed attempts to exempt fuels from the cap-and-trade auction. This past year included legislative efforts to exempt fuels until 2018, and legislators sent letters to ARB, urging them to delay including fuels in the auction. There is also a concerted public relations effort underway expressing concern that including fuels in the auction will significantly increase fuel prices. If this effort gains traction, it would impact the amount of auction revenue available in the coming years.

Alameda CTC and the other Bay Area Congestion Management Agencies supported the First Update to the Climate Change Scoping Plan and actively support investments in sustainable communities and clean transportation, sustainable freight investments, and clean fuels. In 2013, Alameda CTC supported the use of cap-and-trade funds derived from motor vehicle fuels for transportation purposes. This concept was supported in Assembly Bill 574, which did not make it through the first year of the 2012-2014 Legislative session. This bill memorialized the advocacy principles of the Transportation Coalition for Livable Communities efforts regarding cap-and-trade eligible uses. In addition, Alameda CTC has supported investments from new revenue streams for transportation, while supporting legislative options to increase funding for housing. Alameda CTC has participated in commenting on the development of cap-and-trade guidelines and will continue to work with the region on the implementation of the Cap-and-Trade Program, continuing to advocate for significant funding in the Bay Area.

Support climate change legislation to reduce GHG emissions

- Support funding for innovative infrastructure, operations, and programs that relieve congestion, improve air quality, reduce emissions, and support economic development.
- Support cap-and-trade funds to implement the Bay Area's Sustainable Communities Strategy.
- Support rewarding Self-Help Counties with cap-and-trade funds for projects and programs that are partially locally funded and reduce GHG emissions.

- Support emerging technologies such as alternative fuels and fueling technology to reduce GHG emissions.

5. Goods Movement

Efficient goods movement expands job opportunities, supports local communities, and undergirds the economy of Alameda County, the Bay Area, and the nation. The House Transportation and Infrastructure Committee and the Senate Environment and Public Works Committee are both taking action in support of freight and goods movement.

U.S. House Transportation and Infrastructure Committee Legislation

The House Transportation and Infrastructure Committee (T&I) Special Panel on 21st Century Freight Transportation released its recommendations in October 2013. The panel held a variety of hearings on potential improvements to our national infrastructure of highways, railways, waterways, and port facilities, to improve the movement of freight goods throughout the U.S. and the world. The report made several recommendations designed to encourage a more cohesive and efficient network that incorporates all modes, including directing the secretary to recommend sustainable revenue sources. The House T&I Committee is expected to incorporate some of these recommendations into legislative text when it drafts the MAP-21 reauthorization bill next year. The recommendations are below:

- Direct the Secretary of Transportation, in coordination with the Secretary of the Army and the Commandant of the U.S. Coast Guard, to establish a comprehensive national freight transportation policy and designate a national, multimodal freight network;
- Ensure robust public investment in all modes of transportation on which freight movement relies and incentivize additional private investment in freight transportation facilities, to maintain and improve the condition and performance of the freight transportation network;
- Promote and expedite the development and delivery of projects and activities that improve and facilitate the efficient movement of goods;
- Authorize dedicated, sustainable funding for multimodal freight Projects of National and Regional Significance through a grant process and establish clear benchmarks for project selection. Projects eligible for such funding would have a regional or national impact on the overall performance of the multimodal freight network identified by the Secretary of Transportation;
- Direct the Secretary of Transportation, in coordination with the Secretary of the Treasury and the Secretary of the Army, to identify and recommend sustainable sources of revenue across all modes of transportation that would provide the necessary investment in the nation's multimodal freight network and align contributions with use of, and expected benefit of increased investment in, such network; and
- Review, working through the T&I Committee and the Committee on Ways and Means, the Secretary's freight funding and revenue recommendations and develop

specific funding and revenue options for freight transportation projects prior to Congressional consideration of the surface transportation reauthorization bill in 2015.

U.S. Senate Environment and Public Works Committee Legislation

The Senate Environment and Public Works Committee passed the bipartisan MAP-21 Reauthorization Act in May 2014. The legislation was a six-year bill that reauthorized the program at current levels plus inflation. The legislation has a focus on freight and goods movement:

- The bill would establish a formula-based freight program, based on the program included in the Senate-passed MAP-21, which would provide funds to all states to improve goods movement on key corridors.
- It would expand flexibility for both rural and urban areas to designate key freight corridors that match regional goods movement on roads beyond the Primary Freight Highway Network.
- The legislation would improve efforts to identify projects with a high return on investment through state freight plans and advisory committees established under MAP-21.

Provisions in this bill will likely be considered as part of the overall discussions in 2015 of MAP-21 reauthorization.

Alameda CTC supports legislation that makes freight and goods movement more efficient and better for the environment. Alameda CTC is spearheading a Goods Movement Collaborative in Northern California that brings together partners and stakeholders in a unified effort to support and advocate for freight and goods movement. Alameda CTC is also developing a Countywide Goods Movement Plan to identify and plan for goods movement projects and programs in Alameda County and the region. A series of technical studies that will inform the plan and identify needs and priorities and advocacy principles are expected to be developed in collaboration with goods movement stakeholders in 2015. Alameda CTC has initiated work on the plan and is coordinating it with regional, state, and federal freight planning efforts.

Expand goods movement funding and policy development

- Support a multimodal goods movement system and efforts that enhance the economy, local communities, and the environment, and reduce impacts.
- Support a designated funding stream for goods movement.
- Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy.
- Ensure that Bay Area transportation systems are included in and prioritized in state and federal planning and funding processes.

6. Partnerships

In the coming year, Alameda CTC seeks to expand and strengthen its partnerships at the local, regional, state, and federal levels for policy development, planning, funding,

and project and programs delivery opportunities.

On a regional level, Alameda CTC is facilitating coordination with a number of agencies to leverage funding and efficiently partner on transportation projects and programs. Alameda CTC is also participating in partnerships with the Bay Area congestion management agencies and regional agencies: Metropolitan Transportation Commission, Association of Bay Area Governments, Bay Area Air Quality Management District, and Bay Conservation and Development Commission, as applicable. In addition, Alameda CTC is coordinating at the state level with the Self-Help Counties Coalition and the California Association of Councils of Government. Alameda CTC views these efforts as essential to having more impact at the policy and planning levels, and unifying efforts to help ensure common policies and practices that can translate into more effective transportation project and program advocacy and implementation.

In addition, Alameda CTC will continue to partner on the development of its three multimodal plans—Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan—and the policies that will arise from the plans that will provide more transportation choices and improve efficiencies throughout the county and beyond. Alameda CTC will continue its many multi-county transportation efforts, such as transit planning, express lane implementation, and other types of transportation projects or programs implemented in more than one county to provide a system of transportation infrastructure or services for the traveling public that can be developed so that the region is ready to receive federal, state, or other grants as they become available. Alameda CTC will work closely with local jurisdictions in development of the aforementioned Comprehensive Investment Plan that will establish investment priorities and provide much-needed local funding. Finally, Alameda CTC supports efforts that expand job opportunities for contracting with local and small businesses in the delivery of transportation projects and programs.

Expand partnerships at the local, regional, state, and federal levels.

- Support efforts that encourage regional cooperation and coordination to develop, promote, and fund solutions to regional transportation problems and support governmental efficiencies and cost savings in transportation.
- Support policy development to influence transportation planning, policy, and funding at the county, regional, state, and federal levels.
- Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for contracts.



Draft 2015 Alameda County Transportation Commission Legislative Program

The legislative program herein supports Alameda CTC's transportation vision below adopted in the 2012 Countywide Transportation Plan:

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“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.”

(Alameda CTC will adopt a final legislative platform in December 2015.)

Issue	Priority	Strategy Concepts
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 increasing the buying power of the gas tax and/or increasing transportation revenues through vehicle license fees, vehicle miles traveled, or other reliable means.• Support efforts that protect against transportation funding diversions.
	Protect and enhance voter-approved funding	<ul style="list-style-type: none">• Support legislation and increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring, and improving transportation infrastructure and operations.• 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 efforts that streamline financing and delivery of transportation projects and programs.• 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.
Project Delivery	Advance innovative project delivery	<ul style="list-style-type: none">• Support environmental streamlining and expedited project delivery.• Support contracting flexibility and innovative project delivery methods.• Support high-occupancy vehicle/toll lane expansion in Alameda County and the Bay Area, implementation of AB 1811, and efforts that promote effective implementation.• Support efforts to allow local agencies to advertise, award, and administer state highway system contracts largely funded by local agencies.
	Ensure cost-effective project delivery	<ul style="list-style-type: none">• Support efforts that reduce project and program implementation costs.• Support accelerating funding and policies to implement transportation projects that create jobs and economic growth.
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 (TOD) and priority development areas (PDAs).• Support innovative financing opportunities to fund TOD and PDA implementation.
	Expand multimodal systems and flexibility	<ul style="list-style-type: none">• 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 and do not create unfunded mandates.• 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.

Issue	Priority	Strategy Concepts
Climate Change	Support climate change legislation to reduce greenhouse gas (GHG) emissions	<ul style="list-style-type: none"> • Support funding for innovative infrastructure, operations, and programs that relieve congestion, improve air quality, reduce emissions, and support economic development. • Support cap-and-trade funds to implement the Bay Area's Sustainable Communities Strategy. • Support rewarding Self-Help Counties with cap-and-trade funds for projects and programs that are partially locally funded and reduce GHG emissions. • Support emerging technologies such as alternative fuels and fueling technology to reduce GHG emissions.
Goods Movement	Expand goods movement funding and policy development	<ul style="list-style-type: none"> • Support goods movement efforts that enhance the economy, local communities, and the environment, and reduce impacts. • Support a designated funding stream for goods movement. • Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy. • Ensure that Bay Area transportation systems are included in and prioritized in state and federal planning and funding processes.
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 and support governmental efficiencies and cost savings in transportation. • Support policy development to influence transportation planning, policy, and funding at the county, regional, state, and federal levels. • Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for contracts.



Memorandum

9.1

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DATE: November 27, 2014

SUBJECT: Alameda CTC Draft Audited Comprehensive Annual Financial Report and the ACTIA Limitations Worksheet for the Year Ended June 30, 2014

RECOMMENDATION: Approve the Alameda CTC draft audited Comprehensive Annual Financial Report and the Limitations Worksheet for the year ended June 30, 2014.

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, 2014 by Vavrinek, Trine, Day & Co., LLP. 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 three (3) of the Draft Audited Comprehensive Annual Financial Report (Draft Audited CAFR), the Alameda CTC's auditors have reported what is considered to be an unmodified 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 Alameda CTC, as of June 30, 2014, and the respective changes in financial position for the year then ended in accordance with accounting principles generally accepted in the United States of America."

As demonstrated in the Independent Auditor's Report on page two (2) of the Draft Limitations Worksheet, the Alameda CTC's auditors also have reported what is considered to be an unmodified or clean audit.

"In our opinion, the worksheet referred to above, presents fairly, in all material respects, the administrative cost and related percentages of the Alameda CTC for the year ended June 30, 2014, in accordance with accounting principles generally accepted in the United States of America."

The Alameda CTC Draft Audited CAFR and the ACTIA Limitations Worksheet for the year

ended June 30, 2014 were reviewed in detail and approved by the Alameda CTC's audit committee on October 30, 2014.

Financial Highlights:

- Total net position was \$183.1 million at June 30, 2014, a decrease of \$36.2 million or 16.5 percent from the prior fiscal year end primarily related to capital project expenditures in the Measure B capital project funds.
- Total assets increased by \$146.3 million or 50.5 percent from \$289.8 million to \$436.1 million as of June 30, 2014 compared to June 30, 2013 related to the proceeds received from the issuance of Sales Tax Revenue Bonds (Limited Tax Bonds), Series 2014 in March 2014. Cash and investments comprised \$392.2 million or 89.9 percent of the total assets as of June 30, 2014.
- Revenues totaled \$177.9 million for the fiscal year ended June 30, 2014. This was an increase of \$18.9 million or 11.9 percent from the fiscal year ended June 30, 2013 mostly related to an increase in sales tax revenues and exchange fund revenues.
- Total liabilities increased by \$182.5 million or 258.7 percent from \$70.5 million to \$253.0 million as of June 30, 2014 compared to June 30, 2013. This increase is primarily related to noncurrent liabilities for debt service on the Sales Tax Revenue Bonds (Limited Tax Bonds), Series 2014 issued in March 2014. Many projects approved in the Measure B Transportation Expenditure Plan (TEP) have entered phases of the projects to which Measure B funds have been assigned. The anticipation of this impending draw on Measure B funds played a large part in the Alameda CTC's decision to issue debt in 2014.
- Expenses totaled \$214.1 million for the fiscal year ended June 30, 2014. This was an increase of \$33.1 million or 18.3 percent from the fiscal year ended June 30, 2013 mostly related to Measure B capital project expenditures.

Background

As part of the audit process, Vavrinek, Trine, Day & Co., LLP considered Alameda CTC's internal control over financial reporting to determine the audit procedures that are appropriate in order to express their opinions on the financial statements. 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 control 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, 2014 are 0.67 percent for salaries and benefits as a percent of sales tax revenues and 2.69 percent for total administration costs as a percent of sales tax revenues which are in compliance with the requirements set forth in the TEP. 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 CAFR.

Vavrinek, Trine, Day & Co., LLP also performed a Single Audit for the fiscal year ended June 30, 2014. 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 approximately \$5.3 million during the fiscal year ended June 30, 2014 therefore a Single Audit was required. As demonstrated in the Independent Auditor's Report on page 89 of the Draft audited CAFR, the Alameda CTC's auditors have reported the following:

"In our opinion, Alameda CTC complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on its major Federal programs for the year ended June 30, 2014."

The Alameda CTC's Comprehensive Annual Financial Report (CAFR) has been drafted to meet all Government Finance Officers Association (GFOA) requirements for an award for excellence in financial reporting and will be submitted to the GFOA in December with the hope of receiving this award once the CAFR is approved by the Commission. The Alameda CTC won the GFOA Certificate of Achievement for its CAFR dated June 30, 2013, and a copy of the award has been included in the CAFR dated June 30, 2014 on page x as required by the GFOA.

Similar to Alameda CTC's first CAFR prepared last year; this CAFR was designed to provide detailed financial information by function so that interested parties can review agency financials 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, ACTIA funds have been broken out in a separate column whenever possible in the fund financial statements beginning on page 20 of the Draft audited CAFR except the General Fund and the Debt Service 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 financial information for the general fund has been provided as supplemental information beginning on page 53 of the Draft audited CAFR, and a breakout of financial information for the nonmajor governmental funds, which are generally those funds that contain less than ten (10) percent of the total governmental funds' assets, liabilities, revenues or expenditures and includes the Debt Service Fund, also has been provided as supplemental information beginning on page 55.

In addition, in the supplemental information section, we have provided a breakout of the ACTIA Special Revenue Fund financial information by sub-fund including Programming and Programs, Express Bus, Bike and Pedestrian, Direct Local Distribution, Transit Oriented Development and Paratransit beginning on page 64 of the Draft audited CAFR.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. [Alameda County Transportation Commission Draft Audited Comprehensive Annual Financial Report for the Fiscal Year Ended June 30, 2014](#)- *Hyperlinked to website*
- B. ACTIA Limitations Worksheet for the Fiscal Year Ended June 30, 2014
- C. Citizens Watchdog Committee (CWC) Audit Subcommittee meeting minutes

Staff Contact

[Patricia Reavey](#), Director of Finance



INDEPENDENT AUDITOR'S REPORT

Governing Board
Alameda County Transportation Commission
Oakland, California

We have audited the accompanying Alameda County Transportation Commission (Alameda CTC) Limitation Worksheet (Worksheet) for the year ended June 30, 2014, and the related notes.

Management's Responsibility for the Schedules

Management is responsible for the preparation and fair presentation of the Worksheet in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of the Worksheet that is free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on the Worksheet based on our audit. We conducted our audit 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 from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the Worksheet. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the Worksheet, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of Worksheet in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of Worksheet.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

Opinion

In our opinion, the Worksheet referred to above presents fairly, in all material respects, the administrative cost and related percentages of the Alameda CTC for the year ended June 30, 2014, in accordance with accounting principles generally accepted in the United States of America.

Other Matter

We have audited, in accordance with auditing standards generally accepted in the United States of America, the financial statements of Alameda CTC as of and for the year ended June 30, 2014, and our report thereon, dated December X, 2014, expressed an unmodified opinion on those financial statements.

Restriction on Use

Our report is intended solely for the information and use of Alameda CTC's management and Governing Board and is not intended to be and should not be used by anyone other than these specified parties.

Date of report

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 ended June 30, 2014
<u>Revenues</u>		
Net Sales Tax Proceeds	Note 1	\$ 127,095,900
Investments & Other Income - Net of Related Costs	Note 2	13,332,146
Funds Generated		<u>\$ 140,428,046</u>
<u>Expenditures</u>		
Gross Salaries and Benefits		\$ 855,843
Other Administration Costs		2,563,987
Total Administration Costs	Note 3	<u>\$ 3,419,830</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		0.6734%
<i>Compliance on Administration Costs Limitation (Maximum Allowed is 4.5%)</i>		
Ratio of Total Administration Costs to Net Sales Tax Proceeds		2.6907%
<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		0.6095%

1: Amount was derived from sales tax revenue reported on page 24.

2: Amount was derived from the following:

Project revenues on the ACTIA Special Revenue Fund on page 23.	\$ 1,359,459
Investment income on the ACTIA Special Revenue Fund on page 23.	15,455
Project revenues on the ACTIA Capital Projects Fund on page 23.	11,690,259
Investment income on the ACTIA Capital Projects Fund on page 23.	161,404
Investment income on the ACTIA subfund of General Fund on page 54.	48,794
Other income on the ACTIA subfund of General Fund on page 54.	56,775
	<u>\$ 13,332,146</u>

3: Amount was derived from the total expenditures reported on the ACTIA subfund of the General Fund on page 54.

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Citizens Watchdog Committee Pre-Audit Subcommittee Meeting Minutes Monday, June 16, 2014, 4:00 p.m.

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At the June 9, 2014 Citizens Watchdog Committee (CWC) meeting, committee members established an audit subcommittee to meet with Alameda CTC's independent auditor and discuss financial issues related to the Alameda County Transportation Commission and Measure B, and the Vavrinek, Trine, Day & Co., LLP (VTD) audit and testing methodology.

On June 16, 2014, the following CWC members and staff met with Alameda CTC's independent auditor, VTD, to discuss these issues.

Attendees:

- Alameda CTC staff: Patricia Reavey, Director of Finance (stayed for introductions only)
- CWC members: Cynthia Dorsey, Miriam Hawley, James Haussener, James Paxson, Harriette Saunders, and Hale Zukas
- VTD: Nathan Edelman, Ahmad Gharaibeh, and Waheed Sadat

Patricia Reavey began the meeting and informed the committee that the meeting would be between the CWC Audit Subcommittee and VTD only. Ahmad Gharaibeh stated that VTD began compliance testing on June 16, 2014. He noted that VTD will conduct the final phase of the audit in the September timeframe. Ahmad informed the committee that the purpose of the meeting is to receive feedback from the CWC, including if they want VTD to go beyond the standard procedures of the audit.

Ahmad described how VTD is performing the audit in three phases: 1) an interim phase, which allows VTD to understand Alameda CTC's internal controls and to perform a small amount of compliance testing; 2) a final phase, which will allow VTD to provide the final numbers within the trial balance and financial statements and will allow VTD to perform the bulk of the compliance testing; 3) an exit meeting to report the findings and conclusions as to whether the expenses are in compliance with the measure language.

Ahmad noted that even though the Alameda County Congestion Management Agency (ACCMA) and the Alameda County Transportation Improvement Authority (ACTIA) merged, the accounting function, accounting structure, and the display of the financial statements of the general ledger system continue to segregate the former two agencies. The general ledger continues to track the administration-related expenses in a separate general fund and continues to track the capital projects, pass-through monies, and special revenue in the different funds within the general ledger system.

Ahmad stated that VTD gets a detailed description of the invoices and expenses charged to the measure from the general ledger. The auditor selects a high number of items as representative samples of the entire general ledger population. Ahmad highlighted the following tests: Timesheets, vendor-related invoices (including consultant

invoices), rent, and capital project invoices. He noted that the CWC had questions and concerns from the prior audits regarding the tests performed for timesheets and vendor-related invoices. Ahmad stated that as a result of the CWC concerns, VTD is providing more detail.

Questions and comments from the members:

1. Your sample size is based on risk, and Alameda CTC is considered "low risk." How does VTD translate the risk to the sample size used for testing?

Ahmad said that VTD uses American Institute of CPAs (AICPA) guidelines on sampling. He said that the general fund administration-related charges have been evaluated as "high risk" to ensure the audit catches everything. VTD places an emphasis on these types of charges, because of the number of questions in the past. He stated that VTD tests approximately 60 percent of expenses charged to the general fund, based on the AICPA guidelines.

2. What will VTD do differently, since the agencies merged?

Ahmad stated that the detailed accounting of the different funds of ACCMA and ACTIA continues to be the same before the merger occurred. On the financial statement, all items are consolidated under the Alameda CTC; however, on the general ledger, the detail continues to be segregated.

3. Are you doing anything differently this year based on anything you encountered last year?

Ahmad said yes. When the audit was presented to the full CWC, a question was asked about the allocation of time to the payroll. VTD is addressing this now.

4. How long is each phase of the audit?

Ahmad answered as follows:

- The interim phase is for two weeks in June.
- The final phase is for three weeks in late August through mid-September, when the financial statement and trial balance are closed. The agency does due diligence.
- The exit meeting will occur in the December timeframe

5. Are any of the VTD staff performing the actual audit new?

Ahmad answered as follows:

- Nathan Edelman is in charge of the audit for the Golden Gate Bridge, Highway and Transportation District.
- The team has been with Alameda CTC since its inception.
- Waheed Sadat has been with VTD for three years and is familiar with agencies dealing with tax measures, such as Santa Clara Valley Transportation Authority (VTA) and Solano Transportation Authority.

6. Has VTD done internal control procedures or policies on risk assessment?

Ahmad stated that this is VTD's second year subsequent to the Alameda CTC merger. In meeting with management, Alameda CTC has not made significant changes on how things are processed. VTD will repeat what has been done and verify that proper segregation of functions and duties continue to be in effect.

7. When does VTD do risk assessment? Could you please clarify this?

Ahmad stated that if industry-related changes occur, VTD will assess these changes prior to coming onsite. VTD must speak with Alameda CTC management and perform the interim audit to assess the risk.

8. Is there any change to VTD criteria for materiality?

Ahmad said not necessarily. He stated that VTD will look at the materiality for the bonds, because they are Measure B. The bonds are an additional funding source, and he said Measure B will pay the annual principal. Therefore, VTD will place an emphasis on this item, because much more funding is available.

9. The bonds are of interest, because the revenue stream from the Board of Equalization (BOE) goes to a third party. The CWC wants to make sure that the funds from the third party flow accurately and timely. Will VTD audit the third-party controls?

Ahmad said that while the BOE funds go to a third party, they get deposited into a bank. Alameda CTC is tracking the revenue. VTD will confirm with the state the amount of the total sales tax revenue and will confirm the trustee account shows this revenue.

10. When the trustee receives the money, does the interest go into a different account?

VTD will confirm that the sales tax is recorded and accounted for. VTD will look at the agreements between Alameda CTC and the bank for the interest requirements and rate. VTD will test the interest revenue and ensure it is calculated properly.

11. Will VTD look at the internal controls with the accounting department to ensure Alameda CTC is tracking the trustee? What is Alameda CTC's internal control for the trustee?

Ahmad said yes, the audit will review the internal controls. Ahmad said that the VTA has the same arrangement as Alameda CTC in terms of the trustee.

12. Does the trustee have proper internal controls?

Ahmad said that testing what the state is providing the trustee and reviewing Alameda CTC's tracking method is the best way to determine if 100 percent of the funds are accounted for.

13. Is there any difference of the audit scope for this year versus for the last three years?

Ahmad said VTD places an emphasis on something new every year. In some years, VTD will emphasize investments or cash. This year, VTD has not considered where to place the emphasis. Ahmad stated that VTD will place significant emphasis on Measure B compliance.

14. Last year, the CWC Audit Subcommittee talked about personnel, including timesheets, etc.; this year the subcommittee is interested in contracts.
15. The categories on the budget changed substantially. This year, the categories are smaller. Is management appropriately charging the correct account? The CWC requests that VTD place an emphasis on this during the audit.
16. Is management's approach in dividing charges correct for rent, payroll, and legal services? The CWC subcommittee requests VTD place an emphasis on this during the audit.
17. Is VTD anticipating any problems?

Ahmad said no. Management has been very cooperative in providing information to VTD for the audit.

18. What testing does VTD do with the agencies regarding the Master Programs Funding Agreements with the timely and appropriate use of money?

Ahmad mentioned that the fund recipients are auditing their funds. The recipients are not required to submit invoices. Nathan Edelman said that VTD looks at the money in terms of the agreement and confirms that the calculation is correct.

19. Regarding the amount of interest that the agencies are collecting, are the agencies appropriately providing the correct amount of interest back? The subcommittee stated that they want VTD to test the compliance with the MPFAs.

Next steps:

Ahmad recapped the following requests that the CWC Audit Subcommittee wants VTD to address at the next meeting:

- MPFAs:
 - Ensure that the interest is properly calculated and allocated to the reserve funds that represent Measure B funds.
 - Ensure the MPFA agreements stipulate language in compliance with Measure B requirements.
 - Look at audit reports submitted by the agencies to ensure the audit reports do not note exceptions.
 - Ensure the agencies meet requirements for timely use of funds and include detail on the process for timely use of funds and the spend-down plan.
- Review/test the allocation of charges between the general fund and other funds.

- Ensure that charges on the budget go to the proper category. The categories on the budget are smaller than usual.
- Ensure that contracts and invoices are in compliance with Measure B.
- Ensure that interest is properly accounted for in the trustee statements.
- Confirm deposits of sales tax revenue from the BOE into the trustee account.

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

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

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

Attendees:

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

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

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

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

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

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

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

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

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

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

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

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

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

Ahmad said the audit reports did not indicate any exceptions.

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

Ahmad said the cities submitted an outline, and one item was a table that shows the carry-over balances. VTD said the auditors reviewed the final

reports on the Alameda CTC website and ensured staff followed up with the cities in regards to the carry-over fund balances. Ahmad will speak with staff regarding the spend-down requirements and percentages the agencies must spend over a three-year period. VTD will research further detail on the carry-over balances and bring back a response to the committee.

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

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

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

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

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

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

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

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

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

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

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

Additional questions and comments:

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

Next Steps:

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



Citizens Watchdog Committee Audit Subcommittee Meeting Minutes Monday, October 20, 2014, 3:30 p.m.

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On October 20, 2014, the following CWC members and staff met with Alameda CTC's independent auditor, Vavrinek, Trine, Day & Co. (VTD), to discuss the Draft Comprehensive Annual Financial Report (CAFR) for the year ending June 30, 2014.

Attendees:

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

James Paxson requested VTD Auditor Ahmad Gharaibeh provide a more in-depth walk through of the CAFR this year because of the proceeds from the bonds. Ahmad reviewed the draft CAFR and noted that the report consists of multiple components as required by the Governmental Accounting Standard Board and from the Government Finance Officers Association. From a financial and CWC perspective Ahmad reviewed the following:

- The basic financial statement, which shows cash coming in, revenue, sales tax, and the division between the former Alameda County Transportation Improvement Authority (ACTIA), former Alameda County Congestion Management Agency (ACCMA), and former Alameda County Transportation Authority (ACTA). He also reviewed the limitations worksheet.
- The structure and components of the CAFR
- Measure B compliance including the cap of 4.5 percent to administer the sales tax program

Ahmad stated that VTD verified that the bond proceeds were properly deposited in appropriate Measure B fund accounts.

Questions from the members and responses from the auditor and staff:

1. Is the bond interest fund designed to pay for interest on the bonds in the first four years of issuance? Patricia Reavey stated that the \$20 million in the Debt Service Fund within the "Non-major Governmental Funds" category is required to be spent on debt service only per our enabling legislation, these funds came from the premium received on the sale of the bonds; however, due to the structure of these bonds the funds will be spent on almost four years of interest only on the bonds before it is depleted..
2. Did VTD test the allocations between the different agencies (ACTIA, ACTA, and ACCMA) and are the allocations to administration correct? Ahmad stated that

VTD performed testing on a large majority of "Admin Expenses" (details on page 54).

3. The committee requested VTD confirm the difference between the Public Utilities Commission (PUC) 180109 requirement and the Measure B requirement. VTD confirmed that the Measure B requirements are that administration costs can't be more than 4.5 percent of net sales tax proceeds and administrative salaries and benefits can't be more than percent of the net sales tax proceeds, and the PUC requirement is that salaries and benefits can't be more than 1 percent of total revenues or funds generated including investment income.
4. The committee inquired if the debt service fund on page 56 has its own bank account. Staff and VTD stated yes. Staff said that within the trustee accounts separate accounts exist for project funds, interest, and principal. All debt service funds are accumulated separately.
5. Is Alameda CTC is required to spend down the debt service monies first? Staff stated that for we are required to spend down at least 85 percent of bond proceeds within three years. Alameda CTC will use the premium funds deposited into the interest fund to pay interest for over three years until it is used up and then will use sales tax revenue to pay the debt service and will use bond proceeds deposited in the projects fund to fund the projects.
6. Are there projects to complete whether or not Measure BB passes? Staff stated yes.
7. Does the CAFR show the spend-down amount of the bond proceeds? Staff said that information is not available in the CAFR; however, finance tracks the spend-down amount and reconciles that against the cashflow projected when the bonds were issued.
8. Where on the financial statement are the spend-down amounts from bond proceeds? How do you determine which are bond dollars versus sales tax dollars? Staff said that you can't see the amount spent from bond proceeds on the financial statements. Bond funds are spent on the eligible project as incurred and must be spent in the first three years.
9. The committee confirmed that the Special Revenue Fund consists of direct local distributions and discretionary funds.
10. Why is ACTA not in the General Fund? Patricia stated that ACTA charges are included in Capital Projects. Is administration included in ACTA Capital Projects? See the response to item 11 below.
11. What does the General Fund include? Patricia stated that the General Fund includes rent, moving expenses, consultant fees, legal fees, etc. She provided the breakdown of the administration expense for shared administration costs: 50 percent is charged to ACCMA; 37.5 percent is charged to ACTIA; and 12.5 percent is charged to ACTA Capital Projects.

For ACTA, salary and expenses for professional services are considered project management costs. ACTIA sets aside 4.5 percent for administrative expenses.

12. When ACTA goes away completely, where will administrative costs allocation go? Patricia said Alameda CTC will reassess the allocation at that time.
13. When Measure BB passes, will you have another column on the financial statements? Yes.
14. What are the active ACTA Capital Projects? Staff will provide this to the committee. Will ACTIA sunset completely by 2022? The current projection is to complete the projects by 2022; however, if cash remains, the Commission will have the task of allocating the funds.
15. At the June 16, 2014 CWC Pre-Audit Committee meeting, CWC requested that VTD test the compliance reports submitted by the Direct Local Distribution recipients of Measure B funds to ensure the timely use of funds policy requirements were met, and staff followed up with recipients who had issues in this area.

Ahmad stated that VTD reviewed the Master Program Funding Agreement Timely Use of Funds Policy, which requires the agencies to spend the funds within four years. The agencies are also required to spend their operating reserves within one year after the funds are awarded. VTD noticed that three agencies did not spend the funds on time, and Alameda CTC requested the Commission extend the timeline for those agencies. Staff will track and ensure the funds are spent within the extended period.

16. The 4.5 percent of sales tax revenues designated for administration goes into the general fund and is allocated based on the monthly sales tax revenue collections. What happens with the unspent surplus? Patricia said that the remaining fund balance accumulates as a fund balance reserve based on the fund balance reserve policy approved by the Commission. What is the policy for using the General Fund balance? Patricia said there is guidance in the Transportation Expenditure Plan that specifies what to do with funds available once Measure B expires and all Measure B projects have been completed.
17. Does the Commission intend to set a policy on how to spend the excess General Fund balance? The Commission has adopted a fund balance reserve policy which has fund balance goals designed to mitigate risk which the agency has not yet met. If the agency surpasses the fund balance reserve policy goals, the Commission may want to start thinking about a plan for excess fund balance. We are not at that point yet.
18. Is the 4.5 percent administrative cap cumulative or annual? Ahmad said it goes back to Measure B language. The committee requested VTD look up the language.

19. Does the sales tax revenue go to ACCMA projects? Patricia said no. She stated that there is Measure B funding in some ACCMA projects; however, ACCMA receives funding on a reimbursement basis and bills ACTIA for expenditures just like any other Measure B project authorized in the Transportation Expenditure Plan.
20. The capital assets furniture expenses went up as well as the lease hold improvements. The committee requested an explanation. Patricia said Alameda CTC purchased new furniture and built out the new floor before moving in September 2013.
21. The committee knows VTD verified that the sales tax revenues are properly deposited into the trustee accounts by the Board of Equalization (BOE), and the trustee deducts the funds required to pay debt-service from the total and passes the balance through to the Alameda CTC's regular account on the same day; however, how does Alameda CTC know if the amount received by the trustee is correct and if the amount deposited in Alameda CTC's account is also correct? Patricia informed the committee that staff accesses the BOE website to confirm the expected sales tax revenue amount that goes to the trustee. Monthly, the trustee is required to takes off the top one-twelfth of the annual principle payment and one-sixth of the semi-annual interest payment to bond holders if the funds are not already available in the account. Alameda CTC has been working closely with the trustee to ensure the correct amount is deposited into ACTIA's regular account on the same day funds are received from the BOE.

Next steps:

- VTD will refer to the Transportation Expenditure Plan and follow up on if the calculation of the administration percentage is cumulative or on an annual basis.
- Alameda CTC will provide CWC members with a list of active ACTA capital projects.