



# Meeting Notice

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**Commission Chair**  
Supervisor Richard Valle, District 2

**Commission Vice Chair**  
Mayor Pauline Cutter,  
City of San Leandro

**AC Transit**  
Board President Elsa Ortiz

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Supervisor Wilma Chan, District 3  
Supervisor Nate Miley, District 4  
Supervisor Keith Carson, District 5

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Mayor Trish Spencer

**City of Albany**  
Councilmember Peter Maass

**City of Berkeley**  
Councilmember Kriss Worthington

**City of Dublin**  
Mayor David Haubert

**City of Emeryville**  
Mayor John Bauters

**City of Fremont**  
Mayor Lily Mei

**City of Hayward**  
Mayor Barbara Halliday

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Mayor John Marchand

**City of Newark**  
Councilmember Luis Freitas

**City of Oakland**  
Councilmember At-Large  
Rebecca Kaplan  
Councilmember Dan Kalb

**City of Piedmont**  
Vice Mayor Teddy King

**City of Pleasanton**  
Mayor Jerry Thorne

**City of Union City**  
Mayor Carol Dutra-Vernaci

**Executive Director**  
Arthur L. Dao

## Alameda County Transportation Commission

Thursday, February 22, 2018, 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.

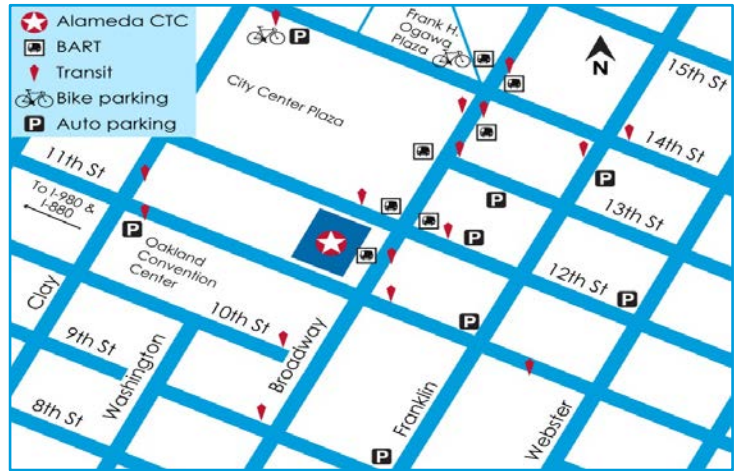
### Glossary of Acronyms

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

## Location Map

 Alameda CTC  
1111 Broadway, Suite 800  
Oakland, CA 94607

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



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

## Accessibility

Public meetings at Alameda CTC are wheelchair accessible under the Americans with Disabilities Act. Guide and assistance dogs are welcome. Call 510-208-7450 (Voice) or 1-800-855-7100 (TTY) five days in advance to request a sign-language interpreter.



## Meeting Schedule

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

## Paperless Policy

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



# Commission Meeting Agenda

## Thursday, February 22, 2018, 2 p.m.

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1. Pledge of Allegiance
2. Roll Call
3. Public Comment
4. Chair and Vice Chair Report
5. Executive Director Report

**Chair:** Supervisor Richard Valle, Alameda County Board of Supervisors

**Vice Chair:** Mayor Pauline Cutter, City of San Leandro

**Executive Director:** Arthur L. Dao

**Clerk:** Vanessa Lee

	Page	A/I*
<b>6. Approval of Consent Calendar</b>		
On February 12, 2018 Alameda CTC standing committees approved all action items on the consent calendar, except Item 6.1.		
6.1. <a href="#">Approve the February 1, 2018 Commission Minutes.</a>	1	A
6.2. <a href="#">I-580 Express Lanes: Monthly Operations Update.</a>	7	I
6.3. <a href="#">Receive the FY2017-18 Second Quarter Report of Claims Acted Upon Under the Government Claims Act.</a>	17	I
6.4. <a href="#">Approve an Update to Independent Watchdog Committee Bylaws.</a>	19	A
6.5. <a href="#">Approve the Alameda CTC FY2017-18 Second Quarter Investment Report.</a>	31	A
6.6. <a href="#">Approve the Alameda CTC FY2017-18 Second Quarter Consolidated Financial Report.</a>	51	A
6.7. <a href="#">Adopt a Resolution Declaring Commissioners Deemed Employees for Workers' Compensation Purposes.</a>	57	A
6.8. <a href="#">Approve the Alameda CTC Meeting Schedule for the 2018 Calendar Year.</a>	61	A
6.9. <a href="#">Update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.</a>	65	I
6.10. <a href="#">Approve the Cycle 5 Lifeline Transportation Program – Cycle 5 Guidelines and Programming Process.</a>	67	A
6.11. <a href="#">Approve the Transportation Fund for Clean Air (TFCA) FY2018-19 Policies and Expenditure Plan Application.</a>	97	A

\*(A = Action Item; I = Information Item)

- |  |  |     |     |
|--|--|-----|-----|
| 6.12.  | <a href="#"><u>State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project (PN 1386.000): Approval of Amendment No. 1 to Professional Services Agreement A14-0052 with AECOM Technical Services, Inc.</u></a>  | 117 | A   |
| <br>   |  |     |     |
| <b>7. Community Advisory Committee Reports</b>   |  |     |     |
| (Time limit: 3 minutes per speaker)  |  |     |     |
| 7.1.   | Bicycle and Pedestrian Advisory Committee – Matthew Turner, Chair  |     | I   |
| 7.2.   | Independent Watchdog Committee– Murphy McCalley, Chair   |     | I   |
| 7.3.   | Paratransit Advisory and Planning Committee– Sylvia Stadmire, Chair  |     | I   |
| <br>   |  |     |     |
| <b>8. Planning, Policy and Legislation Committee Action Items</b>  |  |     |     |
| On February 12, 2018, the Planning, Policy and Legislation Committee approved the following action items, unless otherwise noted in the recommendations: |  |     |     |
| 8.1.   | <a href="#"><u>Receive an update on federal, state, and local legislative activities and approve legislative positions.</u></a>  | 125 | I/A |
| 8.2.   | <a href="#"><u>Receive an update on Year Two of the Affordable Student Transit Pass Pilot Program; approve the sites and parameters for Year 3 of the Affordable Student Transit Pass Pilot; Authorize Alameda CTC staff to enter into all necessary agreements and contracts for program implementation, including consultant and administrative support for expansion.</u></a> | 131 | A   |
| <br>   |  |     |     |
| <b>9. Member Reports</b>   |  |     |     |
| <b>10. Adjournment</b>   |  |     |     |

**Next meeting:** March 22, 2018, 2:00 p.m.

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



Alameda County Transportation Commission  
Commission Meeting Minutes  
Thursday, February 1, 2018, 2 p.m.

6.1

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**1. Pledge of Allegiance**

**2. Roll Call**

A roll call was conducted. All members were present with the exception of Commissioner Chan, Commissioner Miley, Commissioner Mei, Commissioner Halliday, Commissioner Saltzman and Commissioner Kalb.

Commissioner McQuaid was present as an alternate for Commissioner Carson.

**Subsequent to the roll call**

Commissioner Mei, Commissioner Halliday and Commissioner Saltzman arrived during Item 3. Commissioner Kalb arrived during Item 5.

**3. Public Comment**

There were no public comments.

**4. Election of Chair and Vice Chair**

A motion was made by Commissioner Haggerty to nominate Commissioner Valle as Chair of the Commission. Commissioner Dutra-Vernaci seconded the motion. The motion passed with the following vote:

Yes: Kaplan, Valle, Ortiz, Haggerty, Miley, McQuaid, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Marchand, Freitas, King, Thorne, Cutter, Dutra-Vernaci

No: None

Abstain: None

Absent: Chan, Miley, Kalb

A motion was made by Commissioner Bauters to nominate Commissioner Cutter as Vice-Chair of the Commission. Commissioner Halliday seconded the motion. The motion passed with the following vote:

Yes: Kaplan, Valle, Ortiz, Haggerty, Miley, McQuaid, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Marchand, Freitas, King, Thorne, Cutter, Dutra-Vernaci

No: None

Abstain: None

Absent: Chan, Miley, Kalb

## 5. Chair/Vice-Chair Report

Commissioner Cutter thanked the Commission for her election as Vice-Chair of the Commission and stated that she looked forward to working with the Commission members and staff.

Chair Valle recognized outgoing Chair Kaplan for her leadership and collaboration as Chair of the Commission for the past two years. He presented her with a plaque of recognition and a formal resolution on behalf of the Commission. Commissioner Worthington also expressed his gratitude for outgoing Chair Kaplan on behalf of the City of Berkeley.

Chair Valle went on to thank the Commission for his election as Chair of the Commission and stated his priorities for upcoming year as Chair of the Agency.

## 6. Executive Director's Report

Art Dao stated that the Executive Directors Report can be found in the Commissioners' folders as well as on the Alameda CTC website. He went on to congratulate Commissioner Valle and Commissioner Cutter on their new appointments and expressed his appreciation for the outgoing Chair, Rebecca Kaplan. Mr. Dao then updated the Commission on major efforts regarding applications for SB1 funding and stated that he attended a community meeting in Livermore regarding significant safety and congestion impacts on rural roads. Mr. Dao also noted that he was one of several people who rode the new BART cars and he concluded his presentation by informing the Commission of potential legislation to modernize the current congestion management program and providing and update on Regional Measure 3 (RM3).

## 7. Consent Calendar

- 7.1. Approval of December 1, 2017 Commission Minutes
- 7.2. I-580 Express Lanes: Monthly Operations Update.
- 7.3. Update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.
- 7.4. Global Opportunities at the Port of Oakland Project (GoPort – PN 1442000) – Approval of necessary specific funding actions and authorization to initiate and execute various professional services and agency agreements to move specific project components into the Final Design and Plans, Specifications, and Estimate (PS&E) Phase.
- 7.5. I-880/Mission Boulevard (Route 262) Interchange Project (PN 1174000) – Approval and authorization to execute a Professional Services Agreement with Oberkamper & Associates to provide Right of Way services for the closeout phase.
- 7.6. Approval of Administrative Amendments to Project Funding Agreements to extend agreement expiration dates.
- 7.7. Approval of Community Advisory Committee Appointments.

Commissioner Spencer requested to pull item 7.1 from the Consent Calendar for further discussion. She requested that the minutes reflect that she requested to have

bike/ped access for last mile connections to transit and ferry service be added to the legislation program.

*Commissioner Cutter moved to approve the item. Commissioner Dutra-Vernaci seconded the motion. The motion passed with the following vote:*

Yes: Kaplan, Valle, Ortiz, Haggerty, Miley, McQuaid, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Marchand, Kalb, Freitas, King, Thorne, Cutter, Dutra-Vernaci  
No: None  
Abstain: None  
Absent: Chan, Miley

*Commissioner Halliday moved to approve the Consent Calendar. Commissioner Saltzman seconded the motion. The motion passed with the following vote:*

Yes: Kaplan, Valle, Ortiz, Haggerty, Miley, McQuaid, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Marchand, Kalb, Freitas, King, Thorne, Cutter, Dutra-Vernaci  
No: None  
Abstain: None  
Absent: Chan, Miley

## **8. Community Advisory Committee Reports**

### **8.1. Bicycle and Pedestrian Advisory Committee (BPAC)**

There was no one present from BPAC.

### **8.2 Independent Watchdog Committee (IWC)**

There was no one present from IWC.

### **8.3. Paratransit Advisory and Planning Committee (PAPCO)**

Sylvia Stadmire, PAPCO Chair, stated that PAPCO met on November 20, 2017. The committee approved the paratransit implementation guidelines and performance measures, had a review and discussion regarding the Access Alameda booklet and website update, and a presentation from the City of San Leandro Paratransit Program. She noted that the next meeting is scheduled for February 26, 2018.

## **9. Planning, Policy and Legislation Committee Action Items**

### **9.1. Receive an update on federal, state, and local legislative activities and approve legislative positions.**

Tess Lengyel presented an update on federal, state, and local legislative activities. She provided a brief update on the Presidents overall infrastructure package. On the state side, Ms. Lengyel noted that the new president per tempore will begin her term on March 21, 2018 and she also stated that the Governor gave his State of the State last week outlining the States priorities. The presentation highlighted SB 1 repeal efforts, cap and trade and an update on RM3. Ms. Lengyel concluded her report by

recommending that the Commission take a formal support position on RM3 as it is placed on the ballot.

Commissioner Spencer noted that she was unclear on the requested action that the Commission was being requested to take and stated that the City of Alameda City Council has not yet taken formal action on Regional Measure 3, so she will not be able to vote on the recommended action. She also noted that she requested that ferry be added to the multimodal transportation, land use and safety column of the legislative program. Ms. Lengyel noted that the recommendation is for the Commission to take a support position on BATA's vote to place RM3 on the ballot in June and Mr. Dao noted that the item was agendaized as an action item and is consistent with the approved legislative program.

Commissioner McQuaid provided comments on the multimodal transportation, land use and safety column of the legislative program and requested that the words "enhance and protect the economy, local community and environment" be added to the Goods movement column of the legislative program. Under direction of the Commission, Ms. Lengyel noted that staff will add the requested language to the legislative program.

Commissioner Haggerty asked how much funding for ferries was included in RM3. Mr. Dao stated that ferries will get \$35 million in operating funds for the ferry as well as \$300 million in capital funding.

Commissioner Cutter asked if the funding for ferries was only for established ferries. Ms. Lengyel stated that the funding is for current ferry operations as well as expansion.

*Commissioner Kaplan moved to approve the recommended action with the additional language added to the goods movement column of the legislative program. Commissioner Ortiz seconded the motion. Commissioner Spencer abstained from the item, and then rescinded her abstention and supported the motion. The motion passed with the following vote:*

Yes: Kaplan, Valle, Ortiz, Haggerty, Miley, McQuaid, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Marchand, Kalb, Freitas, King, Thorne, Cutter, Dutra-Vernaci  
No: None  
Abstain: None  
Absent: Chan, Miley

## **10. Projects and Programs Committee Action Items**

### **10.1. Senate Bill 1 Programs Update.**

Vivek Bhat presented an update on Senate Bill 1 (SB1) programs. He noted that in April 2017, the California Legislature approved SB 1, which represents the first significant increase in state transportation funding in more than two decades. Mr. Bhat said that the California Transportation Commission (CTC) is responsible for the



administration of SB 1 revenues and for the development of the policy framework and guidelines for programs funded through SB 1. He gave a brief overview of various funding programs included under SB 1 programs.

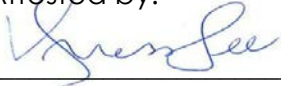
**11. Member Reports**

There were no member reports.

**12. Adjournment**

The next meeting is Thursday, February 22, 2018 at 2:00 p.m.

Attested by:



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Vanessa Lee,  
Clerk of the Commission

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**DATE:** February 15, 2018

**SUBJECT:** I-580 Express Lanes (PN 1373.002): Monthly Operation Update

**RECOMMENDATION:** Receive a status update on the operation of I-580 Express Lanes

## Summary

The Alameda CTC is the project sponsor of the I-580 Express Lanes, located in the Tri-Valley corridor through the cities of Dublin, Pleasanton, and Livermore, which opened to traffic on February 19<sup>th</sup> and 22<sup>nd</sup> of 2016. See Attachment A for express lane operation limits.

The December 2017 operations report indicates that the express lane facility continues to provide travel time savings and travel reliability throughout the day. Express lane users typically experienced higher speeds and lesser average lane densities than the general purpose lanes, resulting in a more comfortable drive and travel time savings for express lane users.

## Background

The I-580 Express Lanes, extending from Hacienda Drive to Greenville Road in the eastbound direction and from Greenville Road to San Ramon Road/Foothill Road in the westbound direction, were opened to traffic on February 19<sup>th</sup> and 22<sup>nd</sup> of 2016 in the eastbound and westbound directions, respectively. See Attachment A for express lane operation limits. Motorists using the I-580 Express Lanes facility benefit from travel time savings and travel reliability as the express lanes optimize the corridor capacity by providing a new choice to drivers. Single occupancy vehicles (SOVs) may choose to pay a toll and travel within the express lanes, while carpools, clean-air vehicles, motorcycles, and transit vehicles enjoy the benefits of toll-free travel in the express lanes.

An All Electronic Toll (AET) collection method has been employed to collect tolls. Toll rates are calculated based on real-time traffic conditions (speed and volume) in express and general purposes lanes and can change as frequently as every three minutes. California Highway Patrol (CHP) officers provide enforcement services and the California Department of Transportation (Caltrans) provides roadway maintenance services through reimbursable service agreements.

**December 2017 Operations Update:**

Over 660,000 express lane trips were recorded during operational hours in December, an average of approximately 33,000 daily trips. Table 1 presents the breakdown of trips based on toll classification and direction of travel; these percentages have remained consistent for the last eight months. Pursuant to the Commission-adopted “Ordinance for Administration of Tolls and Enforcement of Toll Violations for the I-580 Express Lanes,” if a vehicle uses the express lanes without a valid FasTrak® toll tag then the license plate read by the Electronic Tolling System is used to either assess a toll either by means of an existing FasTrak account to which the license plate is registered or by issuing a notice of toll evasion violation to the registered vehicle owner. Approximately half of all trips by users without a toll tag are assessed tolls via FasTrak account.

Table 1. Express Lane Trips by Type and Direction

Trip Classification		Percent of Trips <sup>1</sup>
		December
By Type	HOV-eligible with FasTrak flex tag	43%
	SOV with FasTrak standard or flex tag	37%
	No valid toll tag in vehicle	20%
By Direction	Westbound	45%
	Eastbound	55%

1. Excludes “trips” by users that had no toll tag and either no license plate or one that could not be read by the Electronic Tolling System with sufficient accuracy that a toll could be assessed.

Express lane users typically experience higher speeds and lesser lane densities than the general purpose lanes. Lane density is measured by the number of vehicles per mile per lane and reported as Level of Service (LOS). LOS is a measure of freeway performance based on vehicle maneuverability and driver comfort levels, graded on a scale of A (best) through F (worst). Table 2 summarizes the average speed differentials and LOS comparison between the express and general purpose lanes at four locations in each of the westbound and eastbound directions during respective commute hours for December. This table provides an overall snapshot of the express lane benefits for the month during commute hours.

Attachment B presents the speed and density heat maps for the I-580 corridor during revenue hours for the six-month period from July 2017 – December 2017. These heat maps are a graphical representation of the overall condition of the corridor, showing the average speeds and densities along the express lane corridor and throughout the day for both the express and general purpose lanes, and are used to evaluate whether the express lane is meeting both federal and state performance standards. During these six

months, the average speeds at each traffic sensor location in the westbound express lane ranged from 55 to 70 mph during the morning commute hours (5 am to 11 am) with the lower speeds occurring between Isabel Avenue and Hacienda Road. The express lane operated at LOS C or better at most times, with a short one-hour period of LOS D experienced near Fallon Road and Isabel Ave in the morning commutes. By comparison, the general purpose lanes experienced average speeds as low as 40 mph and LOS D throughout longer sections of the corridor. During the evening commute, the data reflects a small period of westbound reverse-commute congestion between Hacienda Road and San Ramon Road from 4 pm to 6 pm, though the express lane continued to operate at LOS B or better during this time. Outside of the commute hours, westbound express lane users experience average speeds of 70 mph or higher and average LOS A.

Table 2. Speed Differentials and Level of Service

	Direction	I-580 in the Vicinity of	Speed Differential Range (mph)	Average Speed Differential (mph)	Average Express Lane LOS	Average General Purpose Lane LOS
December	Westbound Morning Commute: 5 am – 11 am	North First Street	5 - 7	6	A	C
		North Livermore Ave	4 - 6	5	B	C
		Fallon Road	3 - 10	7	B	C
		Santa Rita Road	11 - 17	14	B	C
	Eastbound Evening Commute: 2 pm – 7 pm	Hacienda Drive	18 - 30	24	D	F
		Airway Blvd	9 – 12	10	B	D
		North Livermore Ave	5 – 10	8	B	D
		North First Street	8 - 18	13	B	E

In the eastbound direction, average express lane speeds from July 2017 through December 2017 ranged from 25 to 70 mph during the evening commute hours (2 pm – 7 pm) with the lowest speeds occurring at the eastern terminus of the express lanes, between Vasco Road and Greenville Road. Average express lane speeds throughout the rest of the day exceeded 70 mph. Most of the express lane corridor operates at LOS C or better during the evening commute hours, with limited sections of degraded LOS at the western end of the express lanes between 3 pm and 6 pm and at the eastern terminus between 4 pm and 7 pm. The express lanes averaged LOS B or better throughout the rest of the day in all locations. By comparison, the general purpose lanes experienced lower speeds and degraded levels of services for longer periods of time than the express lane during the evening commute hours.

Table 3 presents the maximum posted toll rates to travel the entire corridor in each direction, along with the average toll assessed to non-HOV users.

Table 3. Toll Rate Data

Month	Direction	Maximum Posted Toll (Travel Entire Corridor)	Average Assessed <sup>1</sup> Toll (All Toll Trips)
December	Westbound	\$11.00 (1 of 20 days)	\$2.16
	Eastbound	\$9.00 (15 of 20 days)	\$3.00

<sup>1</sup> Assessed toll is the toll rate applied to non-toll-free trips and reflects potential revenue generated by the trip. Not all potential revenue results in actual revenue received.

Compared with the prior six-month heat maps, the data suggests that the increased usage has the potential to decrease express lane benefits. To keep pace with this trend, effective January 15, 2017, the maximum toll to travel the entire length of the eastbound express lanes was increased from \$9.00 to \$9.50.

During Fiscal Year 2017-18, the I-580 Express Lanes have recorded nearly 4.07 million total trips. Total gross revenues received include \$5.96 million in toll revenues and \$1.87 million in violation fees and penalties.

Staff is coordinating education and outreach with partner agencies including CCTA, MTC, 511 Contra Costa as well as local CMAAs to promote consistent messaging and accessible information about the I-580, I-680 Sunol, and the I-680 Contra Costa County express lanes, which opened on October 9, 2017.

**Fiscal Impact:** There is no fiscal impact.

#### Attachments

- A. I-580 Corridor Express Lane Location Map
- B. I-580 Corridor Heat Maps July 2017 – December 2017

#### Staff Contact

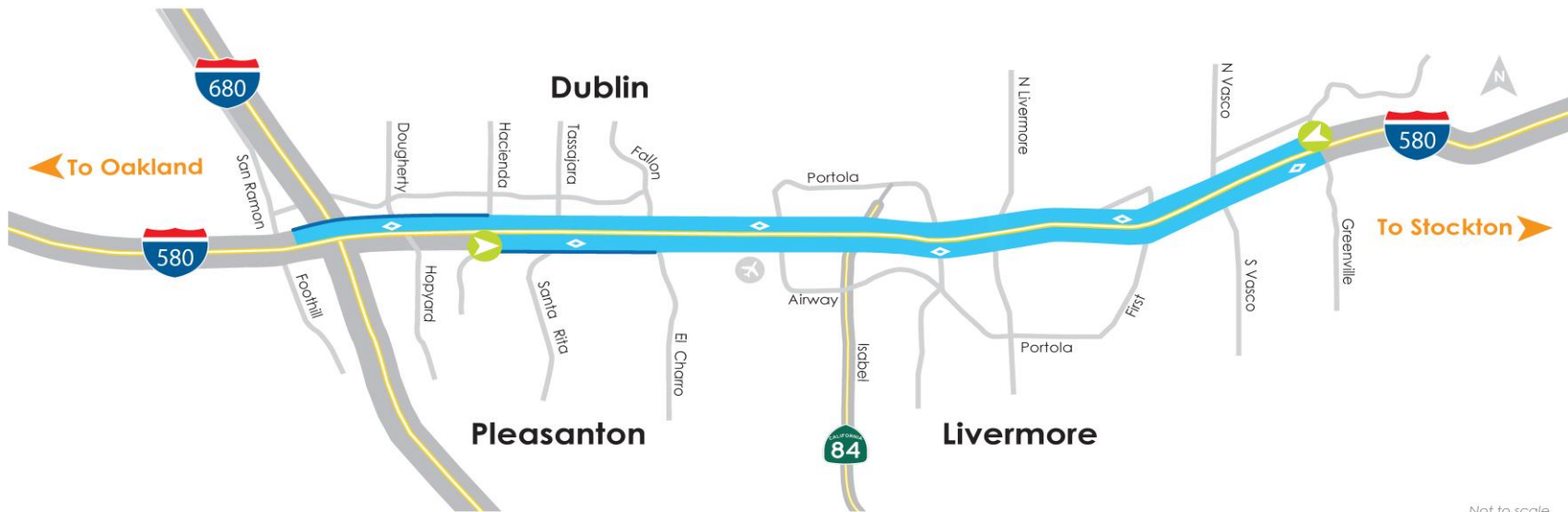
[Liz Rutman](#), Director of Express Lanes Implementation and Operations

[Ashley Tam](#), Assistant Transportation Engineer



# I-580 Express Lanes Project Location Map

6.2A



Not to scale



### Two Eastbound Express Lanes

#### Lanes begin at Hacienda

No entry/exit from eastbound express lanes from Hacienda to Fallon / El Charro.

**Please note:** For access to Santa Rita Road, do not enter express lanes.



### One Westbound Express Lane

#### Lane begins at Greenville

No entry/exit from westbound express lane from Hacienda to end.

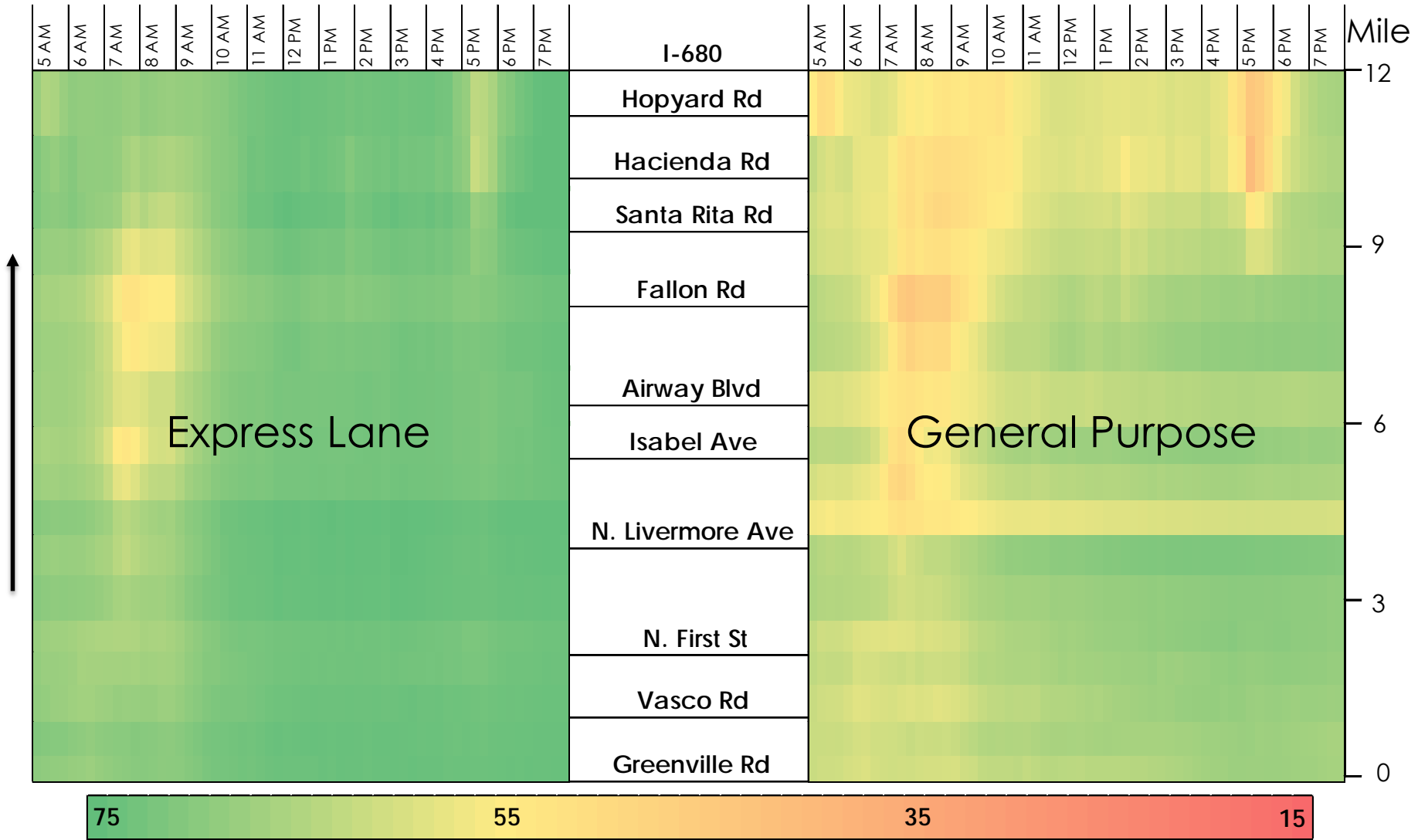
**Please note:** For access to I-680 or Dougherty, exit express lane before Hacienda.

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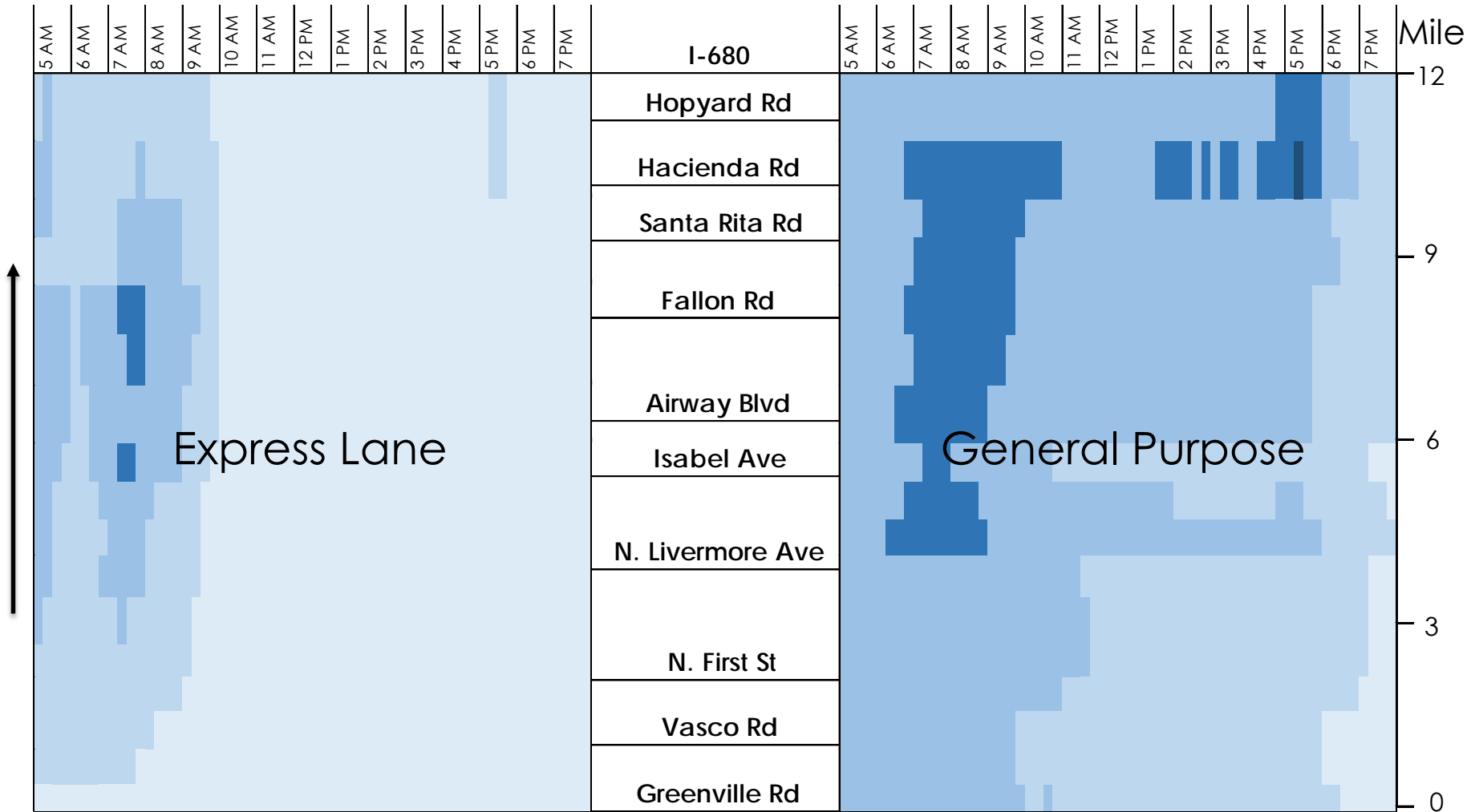
# Westbound I-580 Corridor Speed Heat Maps

Monday-Friday, July 2017 – December 2017



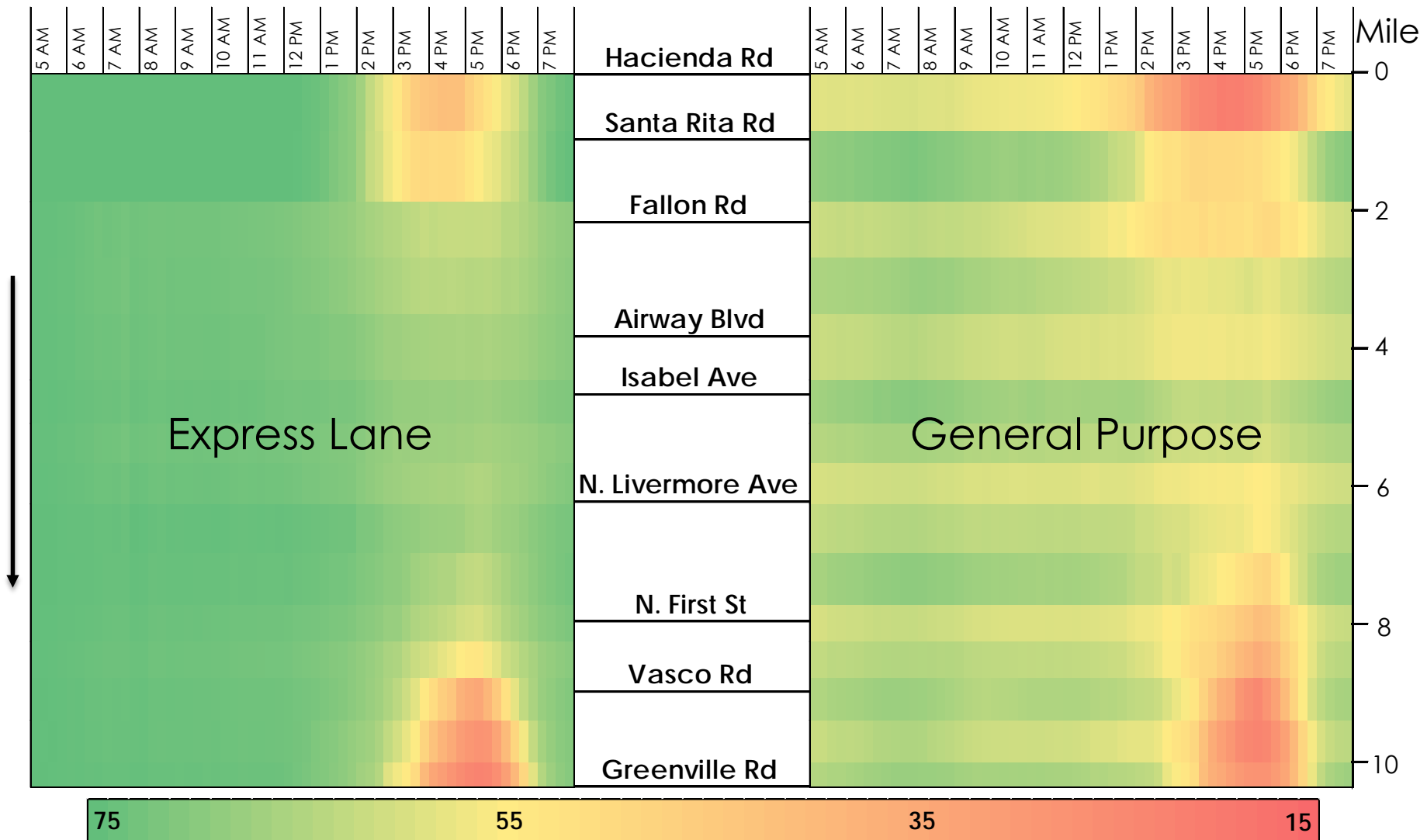
# Westbound I-580 Corridor Density Heat Maps

Monday-Friday, July 2017 – December 2017



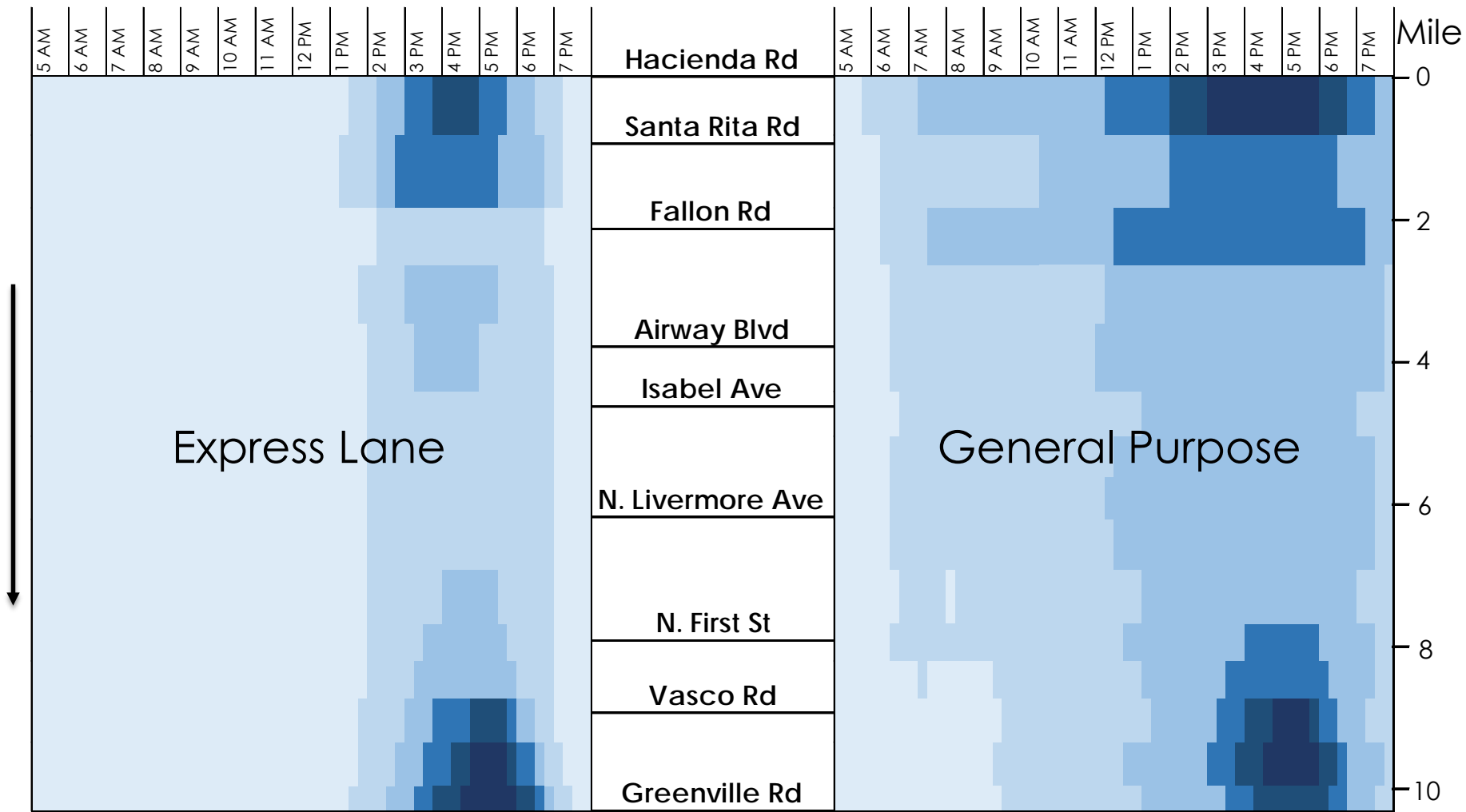
# Eastbound I-580 Corridor Speed Heat Maps

Monday-Friday, July 2017 – December 2017



# Eastbound I-580 Corridor Density Heat Maps

Monday-Friday, July 2017 – December 2017





# Memorandum

6.3

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**DATE:** February 15, 2018

**SUBJECT:** FY2017-18 Second Quarter Report of Claims Acted Upon Under the Government Claims Act

**RECOMMENDATION:** Receive the FY2017-18 Second Quarter Report of Claims Acted Upon Under the Government Claims Act

## Summary

There were no actions taken by staff under the Government Claims Act during the second quarter of FY2017-18.

## Background

Tort claims against Alameda CTC and other California government entities are governed by the Government Claims Act (Act). The Act allows the Commission to delegate authority to an agency employee to review, reject, allow, settle, or compromise tort claims pursuant to a resolution adopted by the Commission. If the authority is delegated to an employee, that employee can only reject claims or allow, settle, or compromise claims \$50,000 or less. The decision to allow, settle, or compromise claims over \$50,000 must go before the Commission for review and approval.

California Government Code section 935.4 states:

“A charter provision, or a local public entity by ordinance or resolution, may authorize an employee of the local public entity to perform those functions of the governing body of the public entity under this part that are prescribed by the local public entity, but only a charter provision may authorize that employee to allow, compromise, or settle a claim against the local public entity if the amount to be paid pursuant to the allowance, compromise or settlement exceeds fifty thousand dollars (\$50,000). A Charter provision, ordinance, or resolution may provide that, upon the written order of that employee, the auditor or other fiscal officer of the local public entity shall cause a warrant to be issued upon the treasury of the local public entity in the amount for which a claim has been allowed, compromised, or settled.”

On June 30, 2016, the Commission adopted a resolution which authorized the Executive Director to reject claims or allow, settle, or compromise claims up to and including \$50,000.

There have only been a handful of small claims filed against Alameda CTC and its predecessors over the years, and many of these claims were erroneously filed, and should have been filed with other agencies (such as Alameda County, AC Transit, and Caltrans). As staff moves forward with the implementation of Measure BB, Alameda CTC may experience an increase in claims against the agency as Alameda CTC puts more projects on the streets and highways of Alameda County and as Alameda CTC's name is recognized as a funding agency on these projects. Staff works directly with the agency's insurance provider, the Special District Risk Management Authority (SDRMA), when claims are received so that responsibility may be determined promptly and they might be resolved expediently or referred to the appropriate agency. This saves Alameda CTC money because when working with the SDRMA directly, much of the legal costs to address these claims are covered by insurance.

**Fiscal Impact:** There is no fiscal impact.

#### **Staff Contact**

[Patricia Reavey](#), Deputy Executive Director of Finance and Administration



# Memorandum

6.4

1111 Broadway, Suite 800, Oakland, CA 94607 • 510.208.7400 • www.AlamedaCTC.org

**DATE:** February 15, 2018

**SUBJECT:** Independent Watchdog Committee Bylaws

**RECOMMENDATION:** Approve an Update to Independent Watchdog Committee Bylaws.

## Summary

The Alameda County Transportation Commission (Alameda CTC) Independent Watchdog Committee (IWC) reviewed the bylaws of their committee during their November 13 meeting and have proposed some minor edits. Staff has modified the currently adopted IWC bylaws in the attached red lined version to incorporate the edits suggested by the IWC.

Per Article 5.1 of the Commission's Administrative Code, the Commission is responsible for adopting and amending the bylaws for the IWC, as deemed necessary. Staff does not foresee any issues with the edits proposed by the IWC and recommends approval by the Commission of the updates to the IWC bylaws as outlined in Attachment A.

## Background

IWC is the same committee as the Citizens Watchdog Committee, as defined in the 2000 Transportation Expenditure Plan (TEP). The required composition of the IWC is defined in the 2000 and 2014 TEPs. The IWC, is a 17-member committee that reports directly to the public and is charged with reviewing all Measure B expenditures and reviewing Measure BB expenditures and performance measures, as appropriate. The members are Alameda County residents who are not elected officials at any level of government, nor individuals in a position to benefit personally in any way from the sales taxes.

**Fiscal Impact:** There is no fiscal impact.

## Attachment

- A. Independent Watchdog Committee Bylaws (redlined)

## Staff Contact

[Patricia Reavey](#), Deputy Executive Director of Finance and Administration

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## Independent Watchdog Committee Bylaws

### Article 1: Definitions

**1.1 2000 Transportation Expenditure Plan.** The plan for expending transportation sales tax (Measure B) funds, presented to the voters in 2000, and implemented in 2002.

**1.2 2014 Transportation Expenditure Plan.** The plan for expending transportation sales tax (Measure BB) funds, presented to the voters in 2014, and implemented in 2015.

**1.3 Agency.** A business or government organization established to provide a particular service.

**1.4 Alameda County Transportation Commission (Alameda CTC).** Alameda CTC is a joint powers authority resulting from the merger of the Alameda County Congestion Management Agency ("ACCMA") and the Alameda County Transportation Improvement Authority ("ACTIA"). The 22-member Alameda CTC Commission ("Commission") is comprised of the following representatives:

**1.4.1** All five Alameda County Supervisors.

**1.4.2** Two City of Oakland representatives.

**1.4.3** One representative from each of the other 13 incorporated cities in Alameda County.

**1.4.4** A representative from Alameda-Contra Costa Transit District ("AC Transit").

**1.4.5** A representative from San Francisco Bay Area Rapid Transit District ("BART").

**1.5 Alameda County Transportation Improvement Authority (ACTIA).** The governmental agency previously responsible for the implementation of the Measure B half-cent transportation sales tax in Alameda County, as approved by voters in 2000 and implemented in 2002. Alameda CTC has now assumed responsibility for administration of the sales tax.

**1.6 Appointing Party.** A person or group designated to appoint committee members.

**1.7 At-Large Member.** One of the 10 Independent Watchdog Committee (IWC) members representing supervisorial districts as described in Section 3.1.1 below.

**1.8 Bicycle and Pedestrian Advisory Committee (BPAC).** The Alameda CTC Committee that involves interested community members in the Alameda CTC's policy, planning, and implementation efforts related to bicycling and walking.

**1.9 Brown Act.** California's open meeting law, the Ralph M. Brown Act, California Government Code, Sections 54950 *et seq.*

**1.10 Expenditures.** Costs incurred and paid for with funds generated from the Measure B and Measure BB sales taxes.

**1.11 Fiscal Year.** July 1 through June 30.

**1.12 Independent Watchdog Committee (IWC or "Committee").** The Alameda CTC Committee of individuals created by the Commission as required by Measure BB. This Committee was originally created by the ACTIA Board and called the Citizens Watchdog Committee as required by Measure B, and was continued by the Commission subsequent to the passage of Measure BB as the Independent Watchdog Committee. The Committee has the same composition as the Citizens Watchdog Committee required by Measure B. The Committee reports directly to the public and has the responsibility of reviewing all Measure B expenditures and reviewing and overseeing all Measure BB expenditures and performance measures of the agency, as appropriate. IWC members are Alameda County residents who are not elected officials at any level of government, nor individuals in a position to benefit personally in any way from the sales tax.

**1.13 Local Newspapers.** Periodical publications typically published weekly or daily that serves a city, cities or unincorporated communities within Alameda County, whereby the contents are reasonably accessible to the public. On-line publications of these periodicals are included in this definition.

**1.14 Measure B.** The measure approved by the voters authorizing the half-cent sales tax for transportation services now collected and administered by the Alameda CTC and governed by the 2000 Transportation Expenditure Plan. Collections for the sales tax authorized by Measure B began on April 1, 2002 and extends through March 31, 2022.

**1.15 Measure BB.** The measure approved by the voters authorizing the sales tax for transportation services collected and administered by the Alameda CTC and governed by the 2014 Transportation Expenditure Plan. Measure BB augments the half-cent Measure B sales tax by a half cent, beginning April 1, 2015 through March 31, 2022. The full one-cent sales tax authorized by Measure BB will begin April 1, 2022 and will extend through March 31, 2045.

**1.16 Measure B Program.** Transportation or transportation-related program specified in the 2000 Transportation Expenditure Plan for funding transportation programs and projects on a percentage-of-revenues or grant allocation basis.

**1.17 Measure BB Program.** Transportation or transportation-related program specified in the 2014 Transportation Expenditure Plan for funding transportation programs and projects on a percentage-of-revenues or grant allocation basis.

**1.18 Measure B Project.** Transportation and transportation-related capital projects specified in the 2000 Transportation Expenditure Plan for funding in the amounts allocated in the 2000 Transportation Expenditure Plan.

**1.19 Measure BB Project.** Transportation and transportation-related capital projects specified in the 2014 Transportation Expenditure Plan for funding in the amounts allocated in the 2014 Transportation Expenditure Plan.

**1.20 Monitor.** To observe, track, or keep a ~~continuous~~ record of Measure projects, programs, and expenditures~~a process to support committee activities.~~

**1.21 Organizational Meeting.** An organizational meeting of the IWC will be held in July to elect officers and adopt the annual calendar/work plan and review the Alameda CTC budget related to IWC.

**1.22 Organizational Member.** One of the seven IWC members representing organizations as described in Section 3.1.2 below.

**1.23 Oversee.** To watch over Measure BB expenditures and performance measures ~~to support committee activities.~~

**1.24 Paratransit Advisory and Planning Committee (PAPCO).** The Alameda CTC Committee that meets to address funding, planning, and coordination issues regarding paratransit services in Alameda County. Members must be Alameda County residents and eligible users of any transportation service available to seniors and people with disabilities in Alameda County. PAPCO is supported by a Paratransit Technical Advisory Committee comprised of Measure B and Measure BB-funded paratransit providers in Alameda County.

**1.25 Performance Measures.** Quantifiable methods used to assess how well the Alameda CTC is achieving its adopted objectives for Measure BB projects and programs.

**1.26 Planning Area.** Geographic groupings of cities and Alameda County for planning and funding purposes. North County: Alameda, Albany, Berkeley, Emeryville, Oakland, Piedmont; Central County: Hayward, San Leandro, unincorporated county (near Hayward); South County: Fremont, Newark, Union City; East County: Dublin, Livermore, Pleasanton, the unincorporated area of Sunol.

**1.27 Subcommittee.** A subset of the IWC, less than a quorum, usually organized for a certain purpose.

## **Article 2: Purpose and Responsibilities**

**2.1 Committee Purpose.** The Committee is appointed pursuant to Measure B and Measure BB: 1) To review all expenditures of the Measure B transportation sales tax; and 2) to review and oversee all expenditures and performance measures, as appropriate, of the Measure BB transportation sales tax, to monitor projects and programs and to report directly to the public.

**2.2 Committee Roles and Responsibilities from Expenditure Plan.** As defined by the Measure B and Measure BB Transportation Expenditure Plans, the roles and responsibilities of the Committee include:

**2.2.1** Hold public hearings and issue reports, on at least an annual basis, to inform Alameda County residents about how the sales tax funds are being spent. The hearings will be open to the public and must be held in compliance with the Brown Act, California's open meeting law, with information announcing the hearings well-publicized and posted in advance.

**2.2.2** Have full access to Alameda CTC's independent auditor and have the authority to request and review specific information regarding use of the sales tax funds and to comment on the auditor's reports.

**2.2.3** Publish an independent annual report, including any concerns the committee has about audits it reviews. The report will be published in local newspapers and will be made available to the public in a variety of forums to ensure access to this information.

**2.2.4** Provide a balance of viewpoints, geography, age, gender, ethnicity and income status, to represent the different perspectives of the residents of the county.

**2.3 Additional Responsibilities.** Additional IWC member responsibilities are to:

**2.3.1** Communicate from time to time to the Alameda CTC by resolution suggestions and concerns pertinent to the administration and expenditure of Measure B and Measure BB funds.

**2.3.2** Communicate as necessary to recommend that an appointing party appoint a new member when there is a vacancy or upcoming end of term.

### **Article 3: Members**

**3.1 Number of Members.** The IWC will consist of 17 members.

**3.1.1** Ten members shall be at-large, two each representing the five supervisorial districts in Alameda County, one of the two nominated by a member of the Board of Supervisors and one of the two selected by the Alameda County Mayors' Conference.

**3.1.2** Seven of the members shall be nominated by the seven organizations specified in the 2014 Transportation Expenditure Plan: East Bay Economic Development Alliance; Alameda County Labor Council; Alameda County Taxpayers' Association; Alameda County Paratransit Advisory and Planning Committee; Bike East Bay, formerly known as East Bay Bicycle Coalition; League of Women Voters; and Sierra Club.

**3.2 Appointment.** The Commission will make appointments in the following manner:

**3.2.1** Each member of the Alameda County Board of Supervisors shall select one At-Large Member to represent his or her supervisorial district.

**3.2.2** The Alameda County Mayors' Conference shall select one At-Large Member to represent each of the five supervisorial districts.

**3.2.3** Each organization listed in Section 3.1.2 above shall, subject to approval by the Commission, select one organizational member.

**3.3 Membership Qualification.** Each IWC member shall be an Alameda County resident. An IWC member shall not be an elected official at any level of government; or be a public employee of any agency that oversees or benefits from the proceeds of Measure B and Measure BB transportation sales taxes; or have any economic interest in any project or program.

**3.4 Membership Term.** Appointments for at-large members shall be for two-year terms. There is no maximum number of terms a member may serve. Members may serve until the Commission appoints their successor.

**3.5 Attendance.** Members will regularly attend meetings. Accordingly, more than three consecutive absences is cause for removal from the Committee.

**3.6 Termination.** A member's term shall terminate on the occurrence of any of the following:

**3.6.1** The member voluntarily resigns by written notice to the chair or Alameda CTC staff.

**3.6.2** The member fails to continue to meet the qualifications for membership, including attendance requirements.

**3.6.3** The member becomes incapable of continuing to serve.

**3.6.4** The appointing party or the Commission removes the member from the Committee.

**3.7 Vacancies.** An appointing party shall have the right to appoint (subject to approval by the Commission) a person to fill the vacant member position. Alameda CTC shall be responsible for notifying an appointing party of such vacancy and for urging expeditious appointment of a new member, as appropriate.

#### **Article 4: Officers**

**4.1 Officers.** The IWC shall annually elect a chair and vice chair. Each officer must be a duly appointed member of the IWC.

**4.1.1 Duties.** The chair shall preside at all meetings and will represent the IWC before the Commission to report on IWC activities. The chair shall serve as a voting ex-officio

member of all subcommittees except a nominating subcommittee (when the IWC discusses the chair position). The vice chair shall assume all duties of the chair in the absence of, or on the request of the chair.

**4.2 Office Elections.** Officers shall be elected by the members annually at the Organizational Meeting or as necessary to fill a vacancy. An individual receiving a majority of votes by a quorum shall be deemed to have been elected and will assume office at the meeting following the election. In the event of multiple nominations, the vote shall be by ballot. Officers shall be eligible for re-election indefinitely.

## **Article 5: Meetings**

**5.1 Open and Public Meetings.** All IWC meetings shall be open and public and governed by the Brown Act. Public comment shall be allowed at all IWC meetings. The time allotted for comments by a member of the public in the general public comment period or on any agenda item shall be up to 3 minutes per speaker at the discretion of the chair. Written comments may be submitted prior to the meeting. The number of IWC meetings, including regular meetings, sub-committee meetings, special meetings and public hearings, will be limited to the number of meetings approved in Alameda CTC's annual overall work program and budget, as approved by the Commission.

**5.2 Regular Meetings.** The IWC shall have a regular meeting at least once per quarter. Prior to each Organizational Meeting, the outgoing chair shall cause all members to be canvassed as to their available meeting times and shall recommend the day and time that best accommodates the schedules of all members, giving due regard to accommodating the schedule of any continuing member who has missed meetings due to a conflict in the prior year. Annually, at the Organizational Meeting, IWC shall establish the schedule of regular meetings for the ensuing year. Meeting dates and times may be changed and additional regular meetings scheduled during the year by action of the IWC.

**5.3 Quorum.** For purposes of decision making, a quorum shall consist of at least half (50 percent) plus one of the total number of members appointed at the time a decision is made. Members will not take actions at meetings with less than 50 percent plus one members present. Items may be discussed and information may be distributed on any item even if a quorum is not present; however, no action can be taken, until the Committee achieves a quorum.

**5.4 Special Meetings.** Special meetings may be called by the chair or by a majority of the members requesting the same in writing given to the chair, with copies to the vice chair and the Executive Director, specifying the matters to be considered at the special meeting. The chair or vice chair shall cause notice of a special meeting stating the matters to be considered to be given to all IWC members and posted and published in accordance with the Brown Act.

**5.5 Public Hearing.** At least annually, prior to publication of IWC's annual report, IWC shall conduct a public hearing on a draft of the IWC annual report. Each public hearing shall be conducted as part of a regular meeting.

**5.6 Agenda.** All meetings shall have a published agenda. Items for a regular meeting agenda may be submitted by any member to the chair and Alameda CTC staff. The Commission and/or Alameda CTC staff may also submit items for the agenda. Agenda planning meetings are held approximately three weeks prior to each IWC meeting. Alameda CTC staff will notify all IWC members when this meeting is established and remind members to submit any agenda item requests to the chair at least one day prior to the agenda planning meeting date. At the agenda planning meeting, the chair and Alameda CTC staff will discuss any agenda items submitted to the chair. Every agenda shall include a provision for members of the public to address the Committee. The chair and the vice chair shall review the agenda in advance of distribution. Copies of the agenda, with supporting material and the past meeting minutes, shall be mailed to members and any other interested parties who request it. The agenda shall be posted on the Alameda CTC website and in the Alameda CTC office and provided at the meeting, all in accordance with the Brown Act.

**5.7 Roberts Rules of Order.** The rules contained in the latest edition of "Roberts Rules of Order Newly Revised" shall govern the proceedings of the IWC and any subcommittees thereof to the extent that the person presiding over the proceeding determines that such formality is required to maintain order and make process, and to the extent that these actions are consistent with these bylaws.

**5.8 Place of Meetings.** IWC meetings shall be held at the Alameda CTC offices, unless otherwise designated by the Committee. Meeting locations shall be within Alameda County, accessible in compliance with the Americans with Disabilities Act of 1990 (41 U.S.C., Section 12132) or regulations promulgated thereunder, shall be accessible by public transportation, and shall not be in any facility that prohibits the admittance of any person, or persons, on the base of race, religious creed, color, national origin, ancestry, or sex, or where members of the public may not be present without making a payment or purchase.

**5.9 Meeting Conduct.** IWC members shall conduct themselves during meetings in a manner that encourages respectful behavior and provides a welcoming and safe environment for each member and staff member characterized by an atmosphere of mutual trust and respect. Members shall work with each other and staff to respectfully, fairly, and courteously deal with conflicts if they arise.

## **Article 6: Subcommittees**

**6.1 Establishment.** The IWC may establish subcommittees when advisable and as necessary subject to the approved Alameda CTC overall work program and budget as approved by the Commission to conduct an investigation or to draft a report or other document within the authority of the IWC or for other purposes within the IWC's authority.

**6.2 Membership.** IWC members will be appointed to subcommittees by the IWC or by the chair. No subcommittee shall have fewer than three members, nor will a subcommittee have sufficient members to constitute a quorum of the IWC.

## Article 7: Records and Notices

**7.1 Minutes.** Minutes of all meetings, including actions and the time and place of holding each meeting, shall be kept on file at the Alameda CTC office. Alameda CTC staff will prepare and include full minutes in meeting packets prior to each regular IWC meeting.

**7.2 Attendance Roster.** A member roster and a record of member attendance shall be kept on file at the Alameda CTC office.

**7.3 Brown Act.** All meetings of the IWC will comply with the requirements of the Brown Act. Notice of meetings and agendas will be given to all members and any member of the public requesting such notice in writing and shall be posted at the Alameda CTC office at least 72 hours prior to each meeting. Members of the public may address the IWC on any matter not on the agenda and on each matter listed on the agenda, in compliance with the Brown Act and time limits, up to three minutes per speaker, set at the discretion of the chair.

**7.4 Meeting Notices.** Meeting notices shall be in writing and shall be issued via U.S. Postal Service, Alameda CTC website, personal delivery, and/or email. Any other notice required or permitted to be given under these bylaws may be given by any of these means.

## Article 8: General Matters

**8.1 Per Diems.** Committee members shall be entitled to a per diem stipend for meetings attended in amounts and in accordance with policies established by the Alameda CTC.

**8.2 Conflicts of Interest.** A conflict of interest exists when any Committee member has, or represents, a financial interest in the matter before the Committee. Such direct interest must be significant or personal. In the event of a conflict of interest, the Committee member shall declare the conflict, recuse himself or herself from the discussion, and shall not vote on that item. Failure to comply with these provisions shall be grounds for removal from the Committee.

**8.3 Amendments to Bylaws.** These bylaws will be reviewed annually, and may be amended, repealed, or altered, in whole or in part, by a vote taken at a duly constituted Committee meeting at which a quorum is present, as a recommendation to the Commission for approval.

**8.4 Public Statements.** No member of the Committee may make public statements on behalf of the Committee without authorization by affirmative vote of the Committee, except the chair, or in his or her place the vice chair, when making a regular report of the Committee activities and concerns to the Alameda CTC. This does not include presentations about the Committee to city councils, which all Committee members have a responsibility to make.

**8.5 Conflict with Governing Documents.** In the event of any conflict between these bylaws and the July 2000 Transportation Expenditure Plan, the January 2014 Transportation Expenditure Plan, California state law, or any action lawfully taken by ACTIA or the Alameda CTC, the Transportation Expenditure Plans, state law or the lawful action of ACTIA or the Alameda CTC shall prevail.



**8.6 Staffing.** Alameda CTC will provide staffing to the Committee including preparation and distribution of meeting agendas, packets, and minutes; tracking of attendance; and stipend administration.

**8.7 Economic Interest.** Each Committee member shall, no later than March 15 of every year, prepare and file with Alameda CTC a statement of economic interest in the form required by law, currently Form 700 which can be found on the California Fair Political Practices Commission website, <http://www.fppc.ca.gov/index.php?id=500>.

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# Memorandum

6.5

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

**DATE:** February 15, 2018

**SUBJECT:** Alameda CTC FY2017-18 Second Quarter Investment Report

**RECOMMENDATION:** Approve the Alameda CTC FY2017-18 Second Quarter Investment Report

## Summary

Alameda CTC's investments are in compliance with the Agency's investment policy and the portfolios have met the benchmark goals on a yield to maturity basis for the quarter. Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.

The second quarter Consolidated Investment Report (Attachment A) provides balance and average return on investment information for all cash and investments held by Alameda CTC as of December 31, 2017. The report also shows balances as of June 30, 2017 for comparison purposes. The *Portfolio Review for Quarter Ending December 31, 2017* (Attachment B), prepared by GenSpring, 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 portfolios.

## Portfolio Highlights

The following are key highlights of cash and investment information as of December 31, 2017:

- As of December 31, 2017, total cash and investments held by the Alameda CTC was \$522.5 million, an increase of \$61.6 million or 13.4 percent over June 30, 2017 mostly related to Measure BB sales tax collections and receipt of non-sales tax project reimbursements which outpaced expenditures as the activities on non-sales tax related capital projects continue to wind down.
- During the first quarter of this fiscal year, the non-sales tax fund repaid 1986 Measure B \$10.0 million for loans originally incurred to bridge the cash flow delay from when project expenditures were paid and when funding grant reimbursements were received. As the capital projects in these funds wind down,

grant reimbursement funds are catching up to the funds expended which allowed for the payback of the loan to the 1986 Measure B Fund.

- Compared to prior year-end balances:
  - The 1986 Measure B investment balance decreased \$0.1 million or 0.1 percent due to capital projects expenditures.
  - The 2000 Measure B investment balance increased \$15.1 million or 9.3 percent mainly due to the accumulation of sales tax revenues in the debt service fund which have been set aside to pay the principal and interest payments due on outstanding bonds in March 2018.
  - The 2014 Measure BB investment balance increased \$26.2 million or 26.6 percent mostly due to the accumulation of sales tax revenue. Many contracts for construction projects as well as agreements for discretionary projects were recently finalized, and it is expected that activity will ramp up soon and invoices will be paid in the third quarter of this fiscal year.
  - The Non-Sales Tax investment balance increased \$20.4 million or 31.2 percent primarily due to the reimbursement of grant funds which outpaced expenditures as non-sales tax capital projects continue wind down.

Investment yields have increased at the end of the second quarter with the approximate average return on investments through December 31, 2017 at 1.04 percent compared to the prior year's average return of 0.72 percent. Return on investments were projected for the FY2017-18 budget year at varying rates ranging from 0.2 - 0.7 percent depending on investment type.

**Fiscal Impact:** There is no fiscal impact.

#### **Attachments**

- A. Consolidated Investment Report as of December 31, 2017
- B. Portfolio Review for Quarter Ending December 31, 2017 (provided by GenSpring)
- C. Fixed Income Portfolio as of December 31, 2017

#### **Staff Contacts**

[Patricia Reavey](#), Deputy Executive Director of Finance and Administration

[Lily Balinton](#), Director of Finance

[Yoana Navarro](#), Accounting Manager

Alameda CTC Consolidated Investment Report As of December 31, 2017							
1986 Measure B	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of December 31, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 659,179	\$ 836	0.25%			\$ 1,408,153	3,139
State Treasurer Pool (LAIF) <sup>(1)</sup>	8,923,986	51,178	1.15%			8,879,453	77,688
Investment Advisor <sup>(1)(2)</sup>	125,769,219	677,645	1.08%			115,203,638	985,723
Loan to Non-Sales Tax General Fund	-	-	-			10,000,000	-
<b>1986 Measure B Total</b>	<b>\$ 135,352,385</b>	<b>\$ 729,659</b>	<b>1.08%</b>	<b>\$ 450,000</b>	<b>\$ 279,659</b>	<b>\$ 135,491,244</b>	<b>\$ 1,066,550</b>
						<i>Approx. ROI</i>	<i>0.79%</i>
2000 Measure B	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of December 31, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 7,588,566	\$ 8,522	0.22%			\$ 10,111,276	\$ 6,716
State Treasurer Pool (LAIF) <sup>(1)</sup>	13,972,737	139,475	2.00%			30,112,605	205,571
Investment Advisor <sup>(1)(2)</sup>	130,877,761	646,915	0.99%			105,422,594	829,679
2014 Series A Bond Project Fund <sup>(1)</sup>	7,029	8,000	0.08%			1,157	2,294
2014 Series A Bond Interest Fund <sup>(1)</sup>	1,975,368	11,364	1.15%			3,523,762	54,637
2014 Series A Bond Principal Fund <sup>(1)</sup>	17,882,826	69,144	0.77%			7,158,485	42,523
Project Deferred Revenue <sup>(1)(3)</sup>	4,194,177	26,465	1.26%			5,090,072	51,415
<b>2000 Measure B Total</b>	<b>\$ 176,498,463</b>	<b>\$ 909,887</b>	<b>1.03%</b>	<b>\$ 605,000</b>	<b>\$ 304,887</b>	<b>\$ 161,419,952</b>	<b>\$ 1,192,835</b>
						<i>Approx. ROI</i>	<i>0.74%</i>
2014 Measure BB	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of December 31, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 7,872,813	\$ 6,959	0.18%			\$ 7,207,912	\$ 10,950
State Treasurer Pool (LAIF) <sup>(1)</sup>	36,784,775	356,009	1.94%			61,191,321	415,322
Investment Advisor <sup>(1)(2)</sup>	80,047,016	256,963	0.64%			30,064,935	147,966
<b>2014 Measure BB Total</b>	<b>\$ 124,704,603</b>	<b>\$ 619,931</b>	<b>0.99%</b>	<b>\$ 267,500</b>	<b>\$ 352,431</b>	<b>\$ 98,464,167</b>	<b>\$ 574,238</b>
						<i>Approx. ROI</i>	<i>0.58%</i>
Non-Sales Tax	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of December 31, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 11,389,678	\$ 16,641	0.29%			\$ 7,411,637	\$ 17,508
State Treasurer Pool (LAIF) <sup>(1)</sup>	24,287,460	201,101	1.66%			46,505,800	374,559
California Asset Management Program (CAMP)	42,203,384	188,701	0.89%			14,014,683	14,683
Project Deferred Revenue <sup>(1)(4)</sup>	8,063,145	43,489	1.08%			7,594,944	67,802
Loan from 1986 Measure B	-	-	-			(10,000,000)	-
<b>Non-Sales Tax Total</b>	<b>\$ 85,943,667</b>	<b>\$ 449,931</b>	<b>1.05%</b>	<b>\$ 42,500</b>	<b>\$ 407,431</b>	<b>\$ 65,527,065</b>	<b>\$ 474,553</b>
						<i>Approx. ROI</i>	<i>0.72%</i>
<b>Alameda CTC TOTAL</b>	<b>\$ 522,499,117</b>	<b>\$ 2,709,408</b>	<b>1.04%</b>	<b>\$ 1,365,000</b>	<b>\$ 1,344,408</b>	<b>\$ 460,902,428</b>	<b>\$ 3,308,176</b>

## Notes:

- (1) All investments are marked to market on the financial statements at the end of the fiscal year per GASB 31 requirements.  
(2) See attachments for detail of investment holdings managed by Investment Advisor.  
(3) Project funds in deferred revenue are invested in LAIF with interest accruing back to the respective fund which includes TVTC funds.  
(4) 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 OES.

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***Alameda County Transportation Commission  
Portfolio Review for the Quarter Ending  
December 31, 2017***

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

Congress passed the long-anticipated tax reform legislation, which is largely pro-growth. The package is tilted towards businesses, making corporate tax rates more competitive globally and should promote business investment.

The Federal Reserve (Fed) raised interest rates by a quarter point to a range of 1.25% to 1.50%. In the wake of the move, several central banks scrambled to increase key rates in their respective markets, including Mexico, China and Turkey. However, Russia unexpectedly cut its key rate by 0.50% to 7.75%. Meanwhile, global economic indicators—from the US and Europe to Asia—seemed to strengthen, particularly within manufacturing.

With the Fed raising rates, shorter duration bond yields stepped up. In December, the yield on the 10-year US Treasury neared 2.5% for the first time since March. It ended 2017 at 2.40%, a few ticks below where it started the year.

Despite yields rising for bonds within 10 years, most bond indices rose for December. Accordingly, US core bonds achieved gains for the fourth quarter and climbed for a fourth consecutive year. Corporate bonds, including high yield, and longer-dated bond sectors were among the stars of 2017, as well as non-US bonds.

***Portfolio Allocation***

As of the end of the quarter, the consolidated Alameda CTC portfolio consisted of 36.2% US Government Agency securities, 38.8% US Treasury securities, 24.5% High Grade Corporate Bonds and 0.5% of cash and cash equivalents.

***Compliance with Investment Policy Statement***

For the quarter ending December 31, 2017 the Alameda CTC portfolio was in compliance with the adopted investment policy statement.

### **Budget Impact**

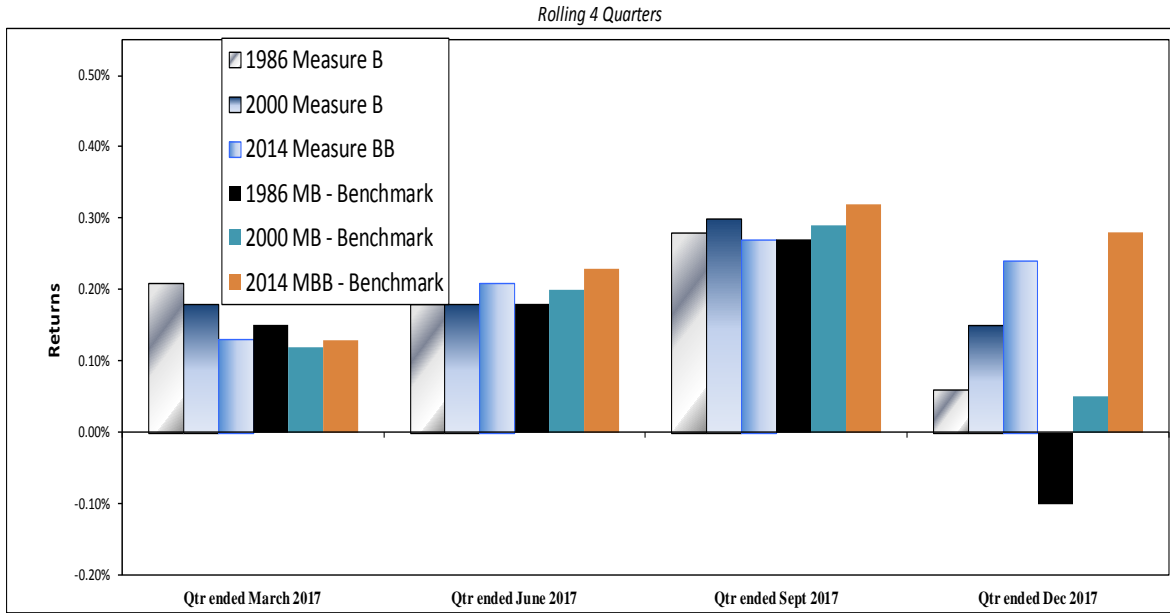
The portfolio's performance is reported on a total return basis. This method includes the coupon interest, amortization of discounts and premiums, capital gains and losses and price changes (i.e., unrealized gains and losses) but does not include the deduction of management fees. For the quarter ending December 31, 2017, the 1986 Measure B portfolio returned **0.06%**. This compares to the benchmark return of **-0.10%**. For the quarter ending December 31, 2017, the 2000 Measure B portfolio returned **0.15%**. This compares to the benchmark return of **0.05%**. For the quarter ending December 31, 2017, the 2014 Measure BB portfolio returned **0.24%**. This compares to the benchmark return of **0.28%**. 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 December 31, 2017, the 1986 Measure B portfolio's yield to maturity or call was **1.75%**. The benchmark's yield to maturity was **1.78%**. For the quarter ending December 31, 2017, the 2000 Measure B portfolio's yield to maturity or call was **1.72%**. The benchmark's yield to maturity was **1.72%**. For the quarter ending December 31, 2017, the 2014 Measure BB portfolio's yield to maturity or call was **1.73%**. The benchmark's yield to maturity was **1.53%**.



# Alameda CTC

## Quarterly Review - Account vs. Benchmark



Trailing 12 Months	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Trailing 12 Months
<b>MONTHLY PERFORMANCE DATA</b>													
1986 Measure B	0.12%	0.08%	0.01%	0.09%	0.08%	0.01%	0.15%	0.12%	0.01%	0.04%	-0.05%	0.07%	0.73%
2000 Measure B	0.10%	0.07%	0.01%	0.08%	0.06%	0.04%	0.15%	0.11%	0.04%	0.09%	0.00%	0.06%	0.81%
2014 Measure BB	0.09%	0.04%	0.00%	0.07%	0.07%	0.07%	0.11%	0.09%	0.07%	0.16%	0.04%	0.04%	0.85%
Benchmark - 1986 MB <sup>1</sup>	0.11%	0.07%	-0.03%	0.09%	0.06%	0.03%	0.15%	0.14%	-0.02%	-0.02%	-0.12%	0.04%	0.50%
Benchmark - 2000 MB <sup>2</sup>	0.10%	0.06%	-0.04%	0.08%	0.04%	0.08%	0.12%	0.13%	0.04%	0.07%	-0.04%	0.02%	0.66%
Benchmark - 2014 MBB <sup>3</sup>	0.07%	0.06%	0.00%	0.08%	0.06%	0.09%	0.11%	0.14%	0.07%	0.09%	0.08%	0.11%	0.96%

Note: Past performance is not an indication of future results. Performance is presented prior to the deduction of investment management fees.

<sup>1</sup> (1986 Measure B) Benchmark is the BofAML 0-3 Year US Treasury Index. Previously the Benchmark was a customized benchmark comprised of 25% ML 1 -3 year Tsy index, 25% ML 6mo. Tsy index and 50% ML 1 year Tsy index

<sup>2</sup> (2000 Measure B) Benchmark is the BofAML 1-Year US Treasury Index. Previously the Benchmark was a customized benchmark comprised of 50% ML 6mo. Tsy index and 50% ML 1 year Tsy index.

<sup>3</sup> (2014 Measure BB) Benchmark is the ML 6mo. Treasury index

## **Bond Portfolios**

The Bond portfolios, including the Interest, Project and Principal Funds, were originally invested by buying allowable high grade fixed income securities. As of December 31, 2017 the average life of the cash flows for the Interest Fund was roughly **0.10** years, the average life of the cash flows of the Project Fund was anticipated to be approximately 1 week, and the average life of the cash flows of the Principal Fund was **0.10** years.

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. As of the end of the quarter the Interest Fund portfolio's yield to maturity was **1.24%**, the Project Fund portfolio's yield to maturity was **1.20%** (the current money market fund yield), and the Principal Fund portfolio's yield to maturity was **1.29%**. By comparison, an investment in a U.S. Treasury note of comparable average maturity at the end of the month would yield approximately **1.23%**, **1.23%**, and **1.30%** respectively.

For the quarter ending December 31, 2017, the Alameda CTC Series 2014 Bonds Interest Fund, Project Fund, and Principal Fund portfolios were invested in compliance with Section 5.11 of the Bond Indenture dated February 1, 2014.

*GenSpring has prepared this customized report regarding your portfolio based on sources we believe to be reliable and accurate. We have relied upon and assumed without independent verification, the accuracy and completeness of all information from public sources. This report is not intended to replace your custodial statements, which should be considered your official record for all pertinent account information. While this report is provided in a different format from your custodian, and may vary in content and scope, you should compare the asset information to that of your custody statement. The data herein is unaudited. Views and opinions are current as of the date of the report and are subject to change. Past performance is not indicative of future results.*

**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
**ACTA 1986 Measure B**  
**Account # N001**  
**December 31, 2017**

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
<b>CASH</b>													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				79,744.04		79,744.04		79,744.04	0.06		0.0
	pendingcash	PENDING SETTLEMENT				26,753.09		26,753.09		26,753.09	0.02		0.0
						106,497.13		106,497.13		106,497.13	0.09		0.0
<b>CORPORATE BONDS</b>													
1,000,000.0000	166764av2	CHEVRON CORP NEW 1.365% Due 03-02-18	AA2	AA-	99.72	997,200.00	99.93	999,330.00	4,512.08	1,003,842.08	0.80	1.73	0.2
2,500,000.0000	594918as3	MICROSOFT CORP 1.000% Due 05-01-18	AAA	AAA	99.70	2,492,500.00	99.83	2,495,837.50	4,166.67	2,500,004.17	1.99	1.49	0.3
2,000,000.0000	037833aj9	APPLE INC 1.000% Due 05-03-18	AA1	AA+	99.75	1,994,940.00	99.75	1,995,056.00	3,222.22	1,998,278.22	1.59	1.72	0.3
1,000,000.0000	58933yag0	MERCK & CO INC 1.300% Due 05-18-18	A1	AA	100.05	1,000,510.00	99.82	998,175.00	1,552.78	999,727.78	0.80	1.77	0.4
2,000,000.0000	717081dw0	PFIZER INC 1.200% Due 06-01-18	A1	AA	99.92	1,998,360.00	99.78	1,995,622.00	2,000.00	1,997,622.00	1.59	1.72	0.4
1,000,000.0000	89236tcp8	TOYOTA MOTOR CREDIT CORP 1.550% Due 07-13-18	AA3	AA-	100.08	1,000,807.00	99.83	998,317.00	7,233.33	1,005,550.33	0.80	1.86	0.5
1,000,000.0000	478160br4	JOHNSON & JOHNSON 1.125% Due 03-01-19	AAA	AAA	99.64	996,390.00	99.00	989,960.00	3,750.00	993,710.00	0.79	1.99	1.1
1,000,000.0000	06406hcr8	BANK NEW YORK MTN BK ENT 2.200% Due 03-04-19	A1	A	100.85	1,008,470.00	100.28	1,002,831.00	7,150.00	1,009,981.00	0.80	1.95	1.2
2,000,000.0000	084664cg4	BERKSHIRE HATHAWAY FIN CORP 1.700% Due 03-15-19	AA2	AA	100.29	2,005,840.00	99.68	1,993,532.00	10,011.11	2,003,543.11	1.59	1.97	1.2
2,000,000.0000	459200je2	INTERNATIONAL BUSINESS MACHS 1.800% Due 05-17-19	A1	A+	100.49	2,009,800.00	99.74	1,994,808.00	4,400.00	1,999,208.00	1.59	1.99	1.4
2,000,000.0000	191216bv1	COCA COLA CO 1.375% Due 05-30-19	AA3	AA-	99.85	1,997,040.00	99.16	1,983,240.00	2,368.06	1,985,608.06	1.58	1.98	1.4
1,000,000.0000	06406hcw7	BANK NEW YORK MTN BK ENT 2.300% Due 09-11-19	A1	A	101.23	1,012,340.00	100.26	1,002,607.00	7,027.78	1,009,634.78	0.80	2.14	1.6
1,000,000.0000	17275rbg6	CISCO SYS INC 1.400% Due 09-20-19	A1	AA-	99.60	995,950.00	98.96	989,568.00	3,927.78	993,495.78	0.79	2.02	1.7
2,000,000.0000	90331hml4	US BANK ASSN CINCINNATI OH MTN 2.125% Due 10-28-19	A1	AA-	100.82	2,016,400.00	100.04	2,000,728.00	7,437.50	2,008,165.50	1.60	2.10	1.8
2,000,000.0000	037833ck4	APPLE INC 1.900% Due 02-07-20	AA1	AA+	99.66	1,993,200.00	99.70	1,993,984.00	15,200.00	2,009,184.00	1.59	2.04	2.0
1,000,000.0000	857477as2	STATE STR CORP 2.550% Due 08-18-20	A1	A	100.88	1,008,800.00	100.66	1,006,633.00	9,420.83	1,016,053.83	0.80	2.29	2.5
2,000,000.0000	713448dc9	PEPSICO INC 2.150% Due 10-14-20	A1	A+	99.88	1,997,540.00	99.85	1,997,030.00	9,197.22	2,006,227.22	1.60	2.20	2.7
1,000,000.0000	594918bg8	MICROSOFT CORP 2.000% Due 11-03-20	AAA	AAA	99.67	996,730.00	99.61	996,110.00	3,222.22	999,332.22	0.80	2.14	2.7
						27,522,817.00		27,433,368.50	105,799.58	27,539,168.08	21.91	1.93	1.3
<b>GOVERNMENT BONDS</b>													
3,000,000.0000	912828hr4	UNITED STATES TREAS NTS 3.500% Due 02-15-18	AAA	AA+	105.50	3,164,882.82	100.26	3,007,818.00	39,666.67	3,047,484.67	2.40	1.32	0.1
2,000,000.0000	3137eadp1	FEDERAL HOME LN MTG CORP 0.875% Due 03-07-18	AAA	AA+	99.52	1,990,460.00	99.91	1,998,270.00	5,541.67	2,003,811.67	1.60	1.32	0.2

**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
**ACTA 1986 Measure B**  
**Account # N001**  
**December 31, 2017**

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
3,000,000.0000	912828qb9	UNITED STATES TREAS NTS 2.875% Due 03-31-18	AAA	AA+	104.16	3,124,921.89	100.36	3,010,659.00	21,802.08	3,032,461.08	2.40	1.44	0.2
2,500,000.0000	3130a4gj5	FEDERAL HOME LOAN BANKS 1.125% Due 04-25-18	AAA	AA+	100.02	2,500,500.00	99.89	2,497,332.50	5,156.25	2,502,488.75	1.99	1.45	0.3
6,000,000.0000	912828xa3	UNITED STATES TREAS NTS 1.000% Due 05-15-18	AAA	AA+	100.48	6,029,062.50	99.86	5,991,564.00	7,790.06	5,999,354.06	4.79	1.38	0.4
5,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	100.20	5,010,000.00	99.74	4,986,900.00	4,861.11	4,991,761.11	3.98	1.54	0.4
2,500,000.0000	912828qq6	UNITED STATES TREAS NTS 2.375% Due 05-31-18	AAA	AA+	103.19	2,579,687.50	100.38	2,509,375.00	5,112.85	2,514,487.85	2.00	1.47	0.4
5,000,000.0000	3137eabp3	FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18	AAA	AA+	106.92	5,346,000.00	101.45	5,072,535.00	12,187.50	5,084,722.50	4.05	1.61	0.4
5,000,000.0000	3135g0e33	FEDERAL NATL MTG ASSN 1.125% Due 07-20-18	AAA	AA+	100.57	5,028,500.00	99.71	4,985,700.00	25,156.25	5,010,856.25	3.98	1.64	0.5
3,000,000.0000	3130a8pk3	FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18	AAA	AA+	99.65	2,989,500.00	99.38	2,981,463.00	7,500.00	2,988,963.00	2.38	1.66	0.6
2,500,000.0000	912828re2	UNITED STATES TREAS NTS 1.500% Due 08-31-18	AAA	AA+	101.40	2,535,066.98	99.88	2,496,875.00	12,741.71	2,509,616.71	1.99	1.69	0.7
5,000,000.0000	3135g0ym9	FEDERAL NATL MTG ASSN 1.875% Due 09-18-18	AAA	AA+	102.08	5,104,000.00	100.09	5,004,370.00	26,822.92	5,031,192.92	4.00	1.74	0.7
5,000,000.0000	912828rh5	UNITED STATES TREAS NTS 1.375% Due 09-30-18	AAA	AA+	101.18	5,059,001.10	99.73	4,986,720.00	17,565.25	5,004,285.25	3.98	1.73	0.7
3,000,000.0000	3137eaed7	FEDERAL HOME LN MTG CORP 0.875% Due 10-12-18	AAA	AA+	99.85	2,995,620.00	99.31	2,979,225.00	5,760.42	2,984,985.42	2.38	1.77	0.8
3,000,000.0000	3136g0x22	FEDERAL NATL MTG ASSN 1.000% Due 10-29-18	AAA	AA+	100.06	3,001,740.00	99.36	2,980,803.00	5,166.67	2,985,969.67	2.38	1.78	0.8
4,000,000.0000	912828rp7	UNITED STATES TREAS NTS 1.750% Due 10-31-18	AAA	AA+	101.77	4,070,625.00	100.00	3,999,844.00	11,988.95	4,011,832.95	3.20	1.75	0.8
1,970,000.0000	313376br5	FEDERAL HOME LOAN BANKS 1.750% Due 12-14-18	AAA	AA+	100.85	1,986,745.00	99.89	1,967,848.76	1,627.99	1,969,476.75	1.57	1.86	0.9
1,300,000.0000	912828n22	UNITED STATES TREAS NTS 1.250% Due 12-15-18	AAA	AA+	100.00	1,300,000.00	99.48	1,293,195.80	758.93	1,293,954.73	1.03	1.80	0.9
1,590,000.0000	912828b33	UNITED STATES TREAS NTS 1.500% Due 01-31-19	AAA	AA+	100.38	1,596,024.61	99.63	1,584,161.52	10,003.75	1,594,165.27	1.27	1.84	1.1
1,950,000.0000	912828c24	UNITED STATES TREAS NTS 1.500% Due 02-28-19	AAA	AA+	100.66	1,962,796.88	99.60	1,942,231.20	9,938.54	1,952,169.74	1.55	1.85	1.1
1,500,000.0000	912828sh4	UNITED STATES TREAS NTS 1.375% Due 02-28-19	AAA	AA+	100.13	1,501,933.59	99.46	1,491,855.00	7,007.94	1,498,862.94	1.19	1.85	1.1
5,000,000.0000	912828sn1	UNITED STATES TREAS NTS 1.500% Due 03-31-19	AAA	AA+	100.29	5,014,453.15	99.58	4,979,100.00	19,162.09	4,998,262.09	3.98	1.84	1.2
3,500,000.0000	912828st8	UNITED STATES TREAS NTS 1.250% Due 04-30-19	AAA	AA+	99.89	3,496,308.59	99.21	3,472,245.00	7,413.19	3,479,658.19	2.77	1.85	1.3
4,000,000.0000	3130abf92	FEDERAL HOME LOAN BANKS 1.375% Due 05-28-19	AAA	AA+	99.96	3,998,360.00	99.32	3,972,792.00	5,041.67	3,977,833.67	3.17	1.86	1.4
4,000,000.0000	912828xv7	UNITED STATES TREAS NTS 1.250% Due 06-30-19	AAA	AA+	99.82	3,992,656.24	99.11	3,964,532.00	138.12	3,964,670.12	3.17	1.85	1.5
2,000,000.0000	3137eab1	FEDERAL HOME LN MTG CORP 0.875% Due 07-19-19	AAA	AA+	98.91	1,978,200.00	98.44	1,968,728.00	7,875.00	1,976,603.00	1.57	1.90	1.5
3,000,000.0000	912828lj7	UNITED STATES TREAS NTS 3.625% Due 08-15-19	AAA	AA+	104.61	3,138,398.43	102.78	3,083,436.00	41,076.77	3,124,512.77	2.46	1.88	1.6

**FIXED INCOME PORTFOLIO**  
*Alameda County Transportation Commission*  
**ACTA 1986 Measure B**  
**Account # N001**  
*December 31, 2017*

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
4,000,000.0000	3130a9ep2	FEDERAL HOME LOAN BANKS 1.000% Due 09-26-19	AAA	AA+	99.13	3,965,240.00	98.47	3,938,720.00	10,555.56	3,949,275.56	3.15	1.90	1.7
1,500,000.0000	912828nt3	UNITED STATES TREAS NTS 2.625% Due 08-15-20	AAA	AA+	102.64	1,539,667.97	101.75	1,526,191.50	14,872.62	1,541,064.12	1.22	1.94	2.5
2,000,000.0000	3137eaej4	FEDERAL HOME LN MTG CORP 1.625% Due 09-29-20	AAA	AA+	99.66	1,993,156.00	98.86	1,977,152.00	8,305.56	1,985,457.56	1.58	2.05	2.7
1,000,000.0000	3135g0h55	FEDERAL NATL MTG ASSN 1.875% Due 12-28-20	AAA	AA+	99.57	995,700.00	99.46	994,621.00	156.25	994,777.25	0.79	2.06	2.9
						98,989,208.25		97,646,263.28	358,754.30	98,005,017.58	78.00	1.70	0.9
<b>TOTAL PORTFOLIO</b>						<b>126,618,522.38</b>		<b>125,186,128.91</b>	<b>464,553.89</b>	<b>125,650,682.80</b>	<b>100.00</b>	<b>1.75</b>	<b>1.0</b>

**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
**ACTIA 2000 Measure B**  
**Account # N001UNBI**  
December 31, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
<b>CASH</b>													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				277,783.97		277,783.97		277,783.97	0.21		0.0
	pendingcash	PENDING SETTLEMENT				5,051,629.32		5,051,629.32		5,051,629.32	3.87		0.0
						5,329,413.29		5,329,413.29		5,329,413.29	4.08		0.0
<b>CORPORATE BONDS</b>													
1,500,000.0000	06406hce7	BANK NEW YORK MTN BK ENT	A1	A	100.29	1,504,380.00	99.96	1,499,422.50	8,450.00	1,507,872.50	1.15	1.79	0.1
		1.300% Due 01-25-18											
1,500,000.0000	459200hk0	INTERNATIONAL BUSINESS MACHS	A1	A+	100.03	1,500,390.00	99.94	1,499,094.00	7,447.92	1,506,541.92	1.15	1.78	0.1
		1.250% Due 02-08-18											
1,500,000.0000	36962g6w9	GENERAL ELEC CAP CORP MTN BE	A2	A	100.35	1,505,235.00	99.95	1,499,277.00	6,026.04	1,505,303.04	1.15	1.79	0.3
		1.625% Due 04-02-18											
2,000,000.0000	68389xac9	ORACLE CORP	A1	AA-	104.21	2,084,120.00	101.15	2,022,920.00	24,277.78	2,047,197.78	1.55	1.73	0.3
		5.750% Due 04-15-18											
3,000,000.0000	037833aj9	APPLE INC	AA1	AA+	99.75	2,992,410.00	99.75	2,992,584.00	4,833.33	2,997,417.33	2.29	1.72	0.3
		1.000% Due 05-03-18											
2,000,000.0000	89236tcp8	TOYOTA MOTOR CREDIT CORP	AA3	AA-	100.15	2,002,900.00	99.83	1,996,634.00	14,466.67	2,011,100.67	1.53	1.86	0.5
		1.550% Due 07-13-18											
1,000,000.0000	084664by6	BERKSHIRE HATHAWAY FIN CORP	AA2	AA	101.50	1,015,000.00	100.06	1,000,645.00	7,555.56	1,008,200.56	0.77	1.89	0.6
		2.000% Due 08-15-18											
1,000,000.0000	25468pdd5	DISNEY WALT CO MTNS BE	A2	A+	100.67	1,006,670.00	99.74	997,404.00	4,333.33	1,001,737.33	0.76	1.86	0.7
		1.500% Due 09-17-18											
1,000,000.0000	07330nad7	BB&T BRH BKG & TR CO GLOBAL BK	A1	A	101.67	1,016,700.00	100.18	1,001,849.00	4,855.56	1,006,704.56	0.77	2.05	0.8
		2.300% Due 10-15-18											
1,000,000.0000	291011ax2	EMERSON ELEC CO	A2	A	108.13	1,081,300.00	102.66	1,026,594.00	11,083.33	1,037,677.33	0.79	1.83	0.8
		5.250% Due 10-15-18											
2,000,000.0000	191216bfb6	COCA COLA CO	AA3	AA-	100.58	2,011,540.00	99.93	1,998,534.00	5,500.00	2,004,034.00	1.53	1.73	0.8
		1.650% Due 11-01-18											
1,000,000.0000	594918bfb0	MICROSOFT CORP	AAA	AAA	99.93	999,280.00	99.64	996,436.00	2,094.44	998,530.44	0.76	1.72	0.8
		1.300% Due 11-03-18											
1,000,000.0000	69353ret1	PNC BK N A PITTSBURGH PA	A2	A	100.31	1,003,120.00	99.91	999,117.00	2,800.00	1,001,917.00	0.77	1.90	0.8
		1.800% Due 11-05-18											
3,000,000.0000	478160bg8	JOHNSON & JOHNSON	AAA	AAA	100.55	3,016,590.00	99.78	2,993,334.00	3,575.00	2,996,909.00	2.29	1.89	0.9
		1.650% Due 12-05-18											
2,000,000.0000	69353rch9	PNC BK N A PITTSBURGH PA	A2	A	100.72	2,014,360.00	100.03	2,000,608.00	18,700.00	2,019,308.00	1.53	2.16	1.1
		2.200% Due 01-28-19											
1,500,000.0000	713448de5	PEPSICO INC	A1	A+	100.15	1,502,295.00	99.54	1,493,143.50	8,062.50	1,501,206.00	1.14	1.90	1.1
		1.500% Due 02-22-19											
2,000,000.0000	17275rbg6	CISCO SYS INC	A1	AA-	99.03	1,980,500.00	98.96	1,979,136.00	7,855.56	1,986,991.56	1.52	2.02	1.7
		1.400% Due 09-20-19											
2,000,000.0000	68389xax3	ORACLE CORP	A1	AA-	100.52	2,010,320.00	100.45	2,009,042.00	10,375.00	2,019,417.00	1.54	1.98	1.7
		2.250% Due 10-08-19											
2,500,000.0000	07330nan5	BB&T CO GLOBAL BK MTN	A1	A	99.78	2,494,450.00	99.77	2,494,372.50	24,208.33	2,518,580.83	1.91	2.21	2.0
		2.100% Due 01-15-20											
2,000,000.0000	713448bn7	PEPSICO INC	A1	A+	105.16	2,103,180.00	104.57	2,091,388.00	41,500.00	2,132,888.00	1.60	2.19	1.9
		4.500% Due 01-15-20											
						34,844,740.00		34,591,534.50	218,000.35	34,809,534.85	26.51	1.91	0.9

**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
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December 31, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
<b>GOVERNMENT BONDS</b>													
2,500,000.0000	912828pt1	UNITED STATES TREAS NTS 2.625% Due 01-31-18	AAA	AA+	100.95	2,523,632.83	100.11	2,502,720.00	27,462.64	2,530,182.64	1.92	1.32	0.1
3,000,000.0000	3135g0tg8	FEDERAL NATL MTG ASSN 0.875% Due 02-08-18	AAA	AA+	99.80	2,993,970.00	99.95	2,998,554.00	10,427.08	3,008,981.08	2.30	1.30	0.1
1,200,000.0000	912828hr4	UNITED STATES TREAS NTS 3.500% Due 02-15-18	AAA	AA+	105.50	1,265,953.13	100.26	1,203,127.20	15,866.67	1,218,993.87	0.92	1.32	0.1
3,000,000.0000	313378a43	FEDERAL HOME LOAN BANKS 1.375% Due 03-09-18	AAA	AA+	100.35	3,010,350.00	100.01	3,000,216.00	12,833.33	3,013,049.33	2.30	1.31	0.2
2,000,000.0000	912828q45	UNITED STATES TREAS NTS 0.875% Due 03-31-18	AAA	AA+	100.20	2,003,984.38	99.88	1,997,500.00	4,471.15	2,001,971.15	1.53	1.38	0.2
4,900,000.0000	912828qb9	UNITED STATES TREAS NTS 2.875% Due 03-31-18	AAA	AA+	101.95	4,995,320.34	100.36	4,917,409.70	35,610.07	4,953,019.77	3.77	1.44	0.2
1,525,000.0000	912828qg8	UNITED STATES TREAS NTS 2.625% Due 04-30-18	AAA	AA+	101.66	1,550,376.96	100.39	1,530,949.03	6,856.18	1,537,805.21	1.17	1.44	0.3
4,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	99.90	3,996,036.00	99.74	3,989,520.00	3,888.89	3,993,408.89	3.06	1.54	0.4
2,000,000.0000	3137eabp3	FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18	AAA	AA+	106.92	2,138,400.00	101.45	2,029,014.00	4,875.00	2,033,889.00	1.55	1.61	0.4
2,000,000.0000	3130a8pk3	FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18	AAA	AA+	99.65	1,993,000.00	99.38	1,987,642.00	5,000.00	1,992,642.00	1.52	1.66	0.6
4,000,000.0000	912828re2	UNITED STATES TREAS NTS 1.500% Due 08-31-18	AAA	AA+	100.83	4,033,209.84	99.88	3,995,000.00	20,386.74	4,015,386.74	3.06	1.69	0.7
3,000,000.0000	313375k48	FEDERAL HOME LOAN BANKS 2.000% Due 09-14-18	AAA	AA+	101.15	3,034,449.00	100.17	3,005,013.00	17,833.33	3,022,846.33	2.30	1.75	0.7
2,000,000.0000	3135g0ym9	FEDERAL NATL MTG ASSN 1.875% Due 09-18-18	AAA	AA+	102.08	2,041,600.00	100.09	2,001,748.00	10,729.17	2,012,477.17	1.53	1.74	0.7
3,000,000.0000	912828rh5	UNITED STATES TREAS NTS 1.375% Due 09-30-18	AAA	AA+	101.18	3,035,400.66	99.73	2,992,032.00	10,539.15	3,002,571.15	2.29	1.73	0.7
4,000,000.0000	3135g0e58	FEDERAL NATL MTG ASSN 1.125% Due 10-19-18	AAA	AA+	99.79	3,991,720.00	99.50	3,979,920.00	9,000.00	3,988,920.00	3.05	1.75	0.8
3,000,000.0000	912828rp7	UNITED STATES TREAS NTS 1.750% Due 10-31-18	AAA	AA+	102.00	3,059,892.87	100.00	2,999,883.00	8,991.71	3,008,874.71	2.30	1.75	0.8
3,750,000.0000	912828wd8	UNITED STATES TREAS NTS 1.250% Due 10-31-18	AAA	AA+	100.32	3,762,031.26	99.60	3,735,060.00	8,028.31	3,743,088.31	2.86	1.73	0.8
3,000,000.0000	3135g0yt4	FEDERAL NATL MTG ASSN 1.625% Due 11-27-18	AAA	AA+	100.46	3,013,740.00	99.84	2,995,260.00	4,604.17	2,999,864.17	2.30	1.80	0.9
2,000,000.0000	3135g0g72	FEDERAL NATL MTG ASSN 1.125% Due 12-14-18	AAA	AA+	99.67	1,993,380.00	99.34	1,986,706.00	1,062.50	1,987,768.50	1.52	1.83	0.9
3,500,000.0000	912828n22	UNITED STATES TREAS NTS 1.250% Due 12-15-18	AAA	AA+	100.00	3,500,000.00	99.48	3,481,681.00	2,043.27	3,483,724.27	2.67	1.80	0.9
3,000,000.0000	912828n63	UNITED STATES TREAS NTS 1.125% Due 01-15-19	AAA	AA+	99.81	2,994,257.82	99.27	2,978,202.00	15,591.03	2,993,793.03	2.28	1.83	1.0
3,000,000.0000	3135g0h63	FEDERAL NATL MTG ASSN 1.375% Due 01-28-19	AAA	AA+	100.23	3,006,858.00	99.55	2,986,584.00	17,531.25	3,004,115.25	2.29	1.79	1.1
2,250,000.0000	3135g0za4	FEDERAL NATL MTG ASSN 1.875% Due 02-19-19	AAA	AA+	101.36	2,280,559.50	100.03	2,250,582.75	15,468.75	2,266,051.50	1.72	1.85	1.1
3,000,000.0000	313378qk0	FEDERAL HOME LOAN BANKS 1.875% Due 03-08-19	AAA	AA+	100.89	3,026,550.00	100.01	3,000,282.00	17,656.25	3,017,938.25	2.30	1.86	1.2

**FIXED INCOME PORTFOLIO**  
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Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
2,000,000.0000	912828c65	UNITED STATES TREAS NTS 1.625% Due 03-31-19	AAA	AA+	100.36	2,007,109.38	99.71	1,994,140.00	8,303.57	2,002,443.57	1.53	1.86	1.2
1,000,000.0000	912828kq2	UNITED STATES TREAS NTS 3.125% Due 05-15-19	AAA	AA+	102.77	1,027,734.38	101.71	1,017,109.00	3,993.06	1,021,102.06	0.78	1.85	1.3
2,000,000.0000	912828lj7	UNITED STATES TREAS NTS 3.625% Due 08-15-19	AAA	AA+	103.78	2,075,546.88	102.78	2,055,624.00	27,384.51	2,083,008.51	1.58	1.88	1.6
3,000,000.0000	3135g0zg1	FEDERAL NATL MTG ASSN 1.750% Due 09-12-19	AAA	AA+	100.32	3,009,648.00	99.72	2,991,504.00	15,895.83	3,007,399.83	2.29	1.92	1.7
3,500,000.0000	3133eh2s1	FEDERAL FARM CR BKS 1.875% Due 12-12-19	AAA	AA+	99.97	3,498,950.00	99.79	3,492,601.00	3,463.54	3,496,064.54	2.68	1.98	1.9
3,500,000.0000	3130a0jr2	FEDERAL HOME LOAN BANKS 2.375% Due 12-13-19	AAA	AA+	100.94	3,533,005.00	100.81	3,528,269.50	4,156.25	3,532,425.75	2.70	1.95	1.9
3,500,000.0000	912828u73	UNITED STATES TREAS NTS 1.375% Due 12-15-19	AAA	AA+	99.13	3,469,511.71	99.02	3,465,546.00	2,247.60	3,467,793.60	2.66	1.89	1.9
3,500,000.0000	912828g95	UNITED STATES TREAS NTS 1.625% Due 12-31-19	AAA	AA+	99.59	3,485,781.25	99.48	3,481,681.00	157.11	3,481,838.11	2.67	1.89	2.0
						91,351,959.19		90,571,080.18	352,358.12	90,923,438.29	69.41	1.71	0.9
<b>TOTAL PORTFOLIO</b>						<b>131,526,112.48</b>		<b>130,492,027.97</b>	<b>570,358.47</b>	<b>131,062,386.43</b>	<b>100.00</b>	<b>1.69</b>	<b>0.9</b>



**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
**2014 Measure BB**  
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December 31, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
<b>CASH</b>													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				436,864.60		436,864.60		436,864.60	0.55		0.0
	pendingcash	PENDING SETTLEMENT				2,349,519.26		2,349,519.26		2,349,519.26	2.94		0.0
						2,786,383.86		2,786,383.86		2,786,383.86	3.48		0.0
<b>CORPORATE BONDS</b>													
600,000.0000	037833bn9	APPLE INC	AA1	AA+	100.10	600,594.00	99.95	599,700.00	2,773.33	602,473.33	0.75	1.61	0.1
		1.300% Due 02-23-18											
1,000,000.0000	532457bk3	LILLY ELI & CO	A2	AA-	100.00	999,970.00	99.92	999,241.00	4,166.67	1,003,407.67	1.25	1.67	0.2
		1.250% Due 03-01-18											
600,000.0000	084664ce9	BERKSHIRE HATHAWAY FIN CORP	AA2	AA	100.21	601,230.00	99.93	599,601.00	2,755.00	602,356.00	0.75	1.78	0.2
		1.450% Due 03-07-18											
600,000.0000	191216ba7	COCA COLA CO	AA3	AA-	99.92	599,532.00	99.87	599,200.20	1,725.00	600,925.20	0.75	1.66	0.3
		1.150% Due 04-01-18											
300,000.0000	89236tcx1	TOYOTA MOTOR CREDIT CORP	AA3	AA-	99.89	299,655.00	99.85	299,550.60	850.00	300,400.60	0.37	1.75	0.3
		1.200% Due 04-06-18											
300,000.0000	68389xac9	ORACLE CORP	A1	AA-	104.21	312,618.00	101.15	303,438.00	3,641.67	307,079.67	0.38	1.73	0.3
		5.750% Due 04-15-18											
600,000.0000	36962g3u6	GENERAL ELEC CAP CORP MTN BE	A2	A	103.08	618,480.00	101.19	607,158.60	5,625.00	612,783.60	0.76	1.99	0.3
		5.625% Due 05-01-18											
600,000.0000	69353rem6	PNC BK N A PITTSBURGH PA	A2	A	100.10	600,612.00	99.87	599,232.00	800.00	600,032.00	0.75	1.89	0.4
		1.600% Due 06-01-18											
1,100,000.0000	17275rau6	CISCO SYS INC	A1	AA-	100.25	1,102,709.00	99.91	1,099,059.50	806.67	1,099,866.17	1.37	1.83	0.5
		1.650% Due 06-15-18											
500,000.0000	478160au8	JOHNSON & JOHNSON	AAA	AAA	103.49	517,470.00	101.86	509,283.00	11,873.61	521,156.61	0.64	1.66	0.5
		5.150% Due 07-15-18											
700,000.0000	07330nad7	BB&T BRH BKG & TR CO GLOBAL BK	A1	A	100.62	704,368.00	100.18	701,294.30	3,398.89	704,693.19	0.88	2.05	0.8
		2.300% Due 10-15-18											
2,000,000.0000	478160bg8	JOHNSON & JOHNSON	AAA	AAA	99.94	1,998,800.00	99.78	1,995,556.00	2,383.33	1,997,939.33	2.49	1.89	0.9
		1.650% Due 12-05-18											
2,000,000.0000	110122av0	BRISTOL MYERS SQUIBB CO	A2	A+	99.83	1,996,580.00	99.66	1,993,276.00	11,666.67	2,004,942.67	2.49	2.04	1.1
		1.750% Due 03-01-19											
2,000,000.0000	717081du4	PFIZER INC	A1	AA	99.42	1,988,360.00	99.21	1,984,218.00	2,255.56	1,986,473.56	2.48	2.01	1.4
		1.450% Due 06-03-19											
2,000,000.0000	87612ebb1	TARGET CORP	A2	A	100.69	2,013,820.00	100.48	2,009,606.00	638.89	2,010,244.89	2.51	1.97	1.5
		2.300% Due 06-26-19											
2,000,000.0000	713448bn7	PEPSICO INC	A1	A+	105.16	2,103,180.00	104.57	2,091,388.00	41,500.00	2,132,888.00	2.61	2.19	1.9
		4.500% Due 01-15-20											
3,000,000.0000	037833ck4	APPLE INC	AA1	AA+	99.66	2,989,800.00	99.70	2,990,976.00	22,800.00	3,013,776.00	3.74	2.04	2.0
		1.900% Due 02-07-20											
						20,047,778.00		19,981,778.20	119,660.28	20,101,438.48	24.97	1.94	1.1
<b>GOVERNMENT BONDS</b>													
2,000,000.0000	313313rx8	FEDL FARM CRED BK CONS DISC NT	AAA	AA+	99.53	1,990,553.34	99.95	1,998,924.00	0.00	1,998,924.00	2.50	1.14	0.0
		0.000% Due 01-17-18											
1,000,000.0000	912828pt1	UNITED STATES TREAS NTS	AAA	AA+	101.36	1,013,632.81	100.11	1,001,088.00	10,985.05	1,012,073.05	1.25	1.32	0.1
		2.625% Due 01-31-18											
1,000,000.0000	912828h94	UNITED STATES TREAS NTS	AAA	AA+	99.96	999,609.38	99.96	999,636.00	3,777.17	1,003,413.17	1.25	1.29	0.1
		1.000% Due 02-15-18											

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1,000,000.0000	3137eadp1	FEDERAL HOME LN MTG CORP 0.875% Due 03-07-18	AAA	AA+	99.77	997,745.00	99.91	999,135.00	2,770.83	1,001,905.83	1.25	1.32	0.2
2,000,000.0000	912828q45	UNITED STATES TREAS NTS 0.875% Due 03-31-18	AAA	AA+	99.82	1,996,406.26	99.88	1,997,500.00	4,471.15	2,001,971.15	2.50	1.38	0.2
1,500,000.0000	912828uz1	UNITED STATES TREAS NTS 0.625% Due 04-30-18	AAA	AA+	99.50	1,492,441.40	99.74	1,496,124.00	1,605.66	1,497,729.66	1.87	1.41	0.3
2,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	99.66	1,993,232.00	99.74	1,994,760.00	1,944.44	1,996,704.44	2.49	1.54	0.4
1,000,000.0000	313373uu4	FEDERAL HOME LOAN BANKS 2.750% Due 06-08-18	AAA	AA+	101.24	1,012,400.00	100.51	1,005,106.00	1,756.94	1,006,862.94	1.26	1.56	0.4
1,000,000.0000	912828vk3	UNITED STATES TREAS NTS 1.375% Due 06-30-18	AAA	AA+	100.12	1,001,210.94	99.94	999,380.00	37.98	999,417.98	1.25	1.50	0.5
1,000,000.0000	3134g92h9	FEDERAL HOME LN MTG CORP 0.850% Due 07-27-18	AAA	AA+	99.60	996,044.00	99.55	995,519.00	3,636.11	999,155.11	1.24	1.63	0.6
1,000,000.0000	912828qy9	UNITED STATES TREAS NTS 2.250% Due 07-31-18	AAA	AA+	100.96	1,009,648.44	100.37	1,003,711.00	9,415.76	1,013,126.76	1.25	1.61	0.6
1,000,000.0000	912828vq0	UNITED STATES TREAS NTS 1.375% Due 07-31-18	AAA	AA+	100.14	1,001,445.31	99.87	998,670.00	5,754.08	1,004,424.08	1.25	1.60	0.6
900,000.0000	912828jh4	UNITED STATES TREAS NTS 4.000% Due 08-15-18	AAA	AA+	102.42	921,796.88	101.44	912,972.60	13,600.00	926,572.60	1.14	1.65	0.6
1,000,000.0000	3130acfa7	FEDERAL HOME LOAN BANKS 1.250% Due 09-17-18	AAA	AA+	99.96	999,620.00	99.69	996,948.00	3,680.56	1,000,628.56	1.25	1.68	0.7
2,000,000.0000	3137eacd7	FEDERAL HOME LN MTG CORP 0.875% Due 10-12-18	AAA	AA+	99.46	1,989,200.00	99.31	1,986,150.00	3,840.28	1,989,990.28	2.48	1.77	0.8
2,000,000.0000	912828181	UNITED STATES TREAS NTS 0.875% Due 10-15-18	AAA	AA+	99.45	1,988,906.26	99.35	1,987,032.00	3,750.00	1,990,782.00	2.48	1.71	0.8
2,000,000.0000	912828t83	UNITED STATES TREAS NTS 0.750% Due 10-31-18	AAA	AA+	99.29	1,985,859.38	99.18	1,983,520.00	2,569.06	1,986,089.06	2.48	1.75	0.8
3,000,000.0000	3135g0yt4	FEDERAL NATL MTG ASSN 1.625% Due 11-27-18	AAA	AA+	99.97	2,999,140.00	99.84	2,995,260.00	4,604.17	2,999,864.17	3.74	1.80	0.9
1,000,000.0000	912828rt9	UNITED STATES TREAS NTS 1.375% Due 11-30-18	AAA	AA+	99.93	999,257.81	99.63	996,289.00	1,208.79	997,497.79	1.24	1.79	0.9
2,000,000.0000	3135g0g72	FEDERAL NATL MTG ASSN 1.125% Due 12-14-18	AAA	AA+	99.41	1,988,160.00	99.34	1,986,706.00	1,062.50	1,987,768.50	2.48	1.83	0.9
2,000,000.0000	912828n22	UNITED STATES TREAS NTS 1.250% Due 12-15-18	AAA	AA+	99.54	1,990,703.12	99.48	1,989,532.00	1,167.58	1,990,699.58	2.49	1.80	0.9
2,000,000.0000	912828a75	UNITED STATES TREAS NTS 1.500% Due 12-31-18	AAA	AA+	99.77	1,995,468.76	99.68	1,993,672.00	82.87	1,993,754.87	2.49	1.82	1.0
2,000,000.0000	912828ry8	UNITED STATES TREAS NTS 1.375% Due 12-31-18	AAA	AA+	99.65	1,993,046.88	99.56	1,991,180.00	75.97	1,991,255.97	2.49	1.82	1.0
2,000,000.0000	3130aae46	FEDERAL HOME LOAN BANKS 1.250% Due 01-16-19	AAA	AA+	99.42	1,988,320.00	99.37	1,987,434.00	11,458.33	1,998,892.33	2.48	1.86	1.0
2,000,000.0000	912828p95	UNITED STATES TREAS NTS 1.000% Due 03-15-19	AAA	AA+	99.06	1,981,171.88	99.00	1,979,922.00	5,966.85	1,985,888.85	2.47	1.85	1.2
2,000,000.0000	3130aaxx1	FEDERAL HOME LOAN BANKS 1.375% Due 03-18-19	AAA	AA+	99.50	1,990,040.00	99.42	1,988,432.00	7,868.06	1,996,300.06	2.48	1.85	1.2
2,000,000.0000	3137eaca5	FEDERAL HOME LN MTG CORP 3.750% Due 03-27-19	AAA	AA+	102.54	2,050,798.00	102.34	2,046,760.00	19,583.33	2,066,343.33	2.56	1.83	1.2
2,000,000.0000	912828w97	UNITED STATES TREAS NTS 1.250% Due 03-31-19	AAA	AA+	99.35	1,986,953.12	99.26	1,985,234.00	6,387.36	1,991,621.36	2.48	1.85	1.2

**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
**2014 Measure BB**  
**Account # N001UNB4**  
 December 31, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
2,000,000.0000	3135g0ze6	FEDERAL NATL MTG ASSN 1.750% Due 06-20-19	AAA	AA+	99.95	1,998,900.00	99.83	1,996,682.00	1,069.44	1,997,751.44	2.49	1.86	1.4
2,000,000.0000	912828ws5	UNITED STATES TREAS NTS 1.625% Due 06-30-19	AAA	AA+	99.77	1,995,312.50	99.65	1,993,046.00	89.78	1,993,135.78	2.49	1.86	1.5
2,000,000.0000	912828xv7	UNITED STATES TREAS NTS 1.250% Due 06-30-19	AAA	AA+	99.20	1,983,984.38	99.11	1,982,266.00	69.06	1,982,335.06	2.48	1.85	1.5
2,000,000.0000	3133eh2s1	FEDERAL FARM CR BKS 1.875% Due 12-12-19	AAA	AA+	99.97	1,999,400.00	99.79	1,995,772.00	1,979.17	1,997,751.17	2.49	1.98	1.9
2,000,000.0000	3130a0jr2	FEDERAL HOME LOAN BANKS 2.375% Due 12-13-19	AAA	AA+	100.94	2,018,860.00	100.81	2,016,154.00	2,375.00	2,018,529.00	2.52	1.95	1.9
2,000,000.0000	912828g95	UNITED STATES TREAS NTS 1.625% Due 12-31-19	AAA	AA+	99.59	1,991,875.00	99.48	1,989,532.00	89.78	1,989,621.78	2.49	1.89	2.0
						57,341,142.85		57,270,048.60	138,733.14	57,408,781.74	71.55	1.72	0.9
<b>TOTAL PORTFOLIO</b>						<b>80,175,304.71</b>		<b>80,038,210.66</b>	<b>258,393.42</b>	<b>80,296,604.08</b>	<b>100.00</b>	<b>1.72</b>	<b>1.0</b>

**FIXED INCOME PORTFOLIO**  
*Alameda County Transportation Commission*  
*Interest Fund*  
**Account # N001UNB2**  
 December 31, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
<b>CASH</b>													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				1,225,983.55		1,225,983.55		1,225,983.55	62.04		0.0
	pendingcash	PENDING SETTLEMENT				889.40		889.40		889.40	0.05		0.0
						1,226,872.95		1,226,872.95		1,226,872.95	62.08		0.0
<b>GOVERNMENT BONDS</b>													
750,000.0000	912828ur9	UNITED STATES TREAS NTS 0.750% Due 02-28-18	AAA	AA+	98.00	734,970.70	99.91	749,295.00	1,911.26	751,206.26	37.92	1.32	0.2
<b>TOTAL PORTFOLIO</b>						<b>1,961,843.65</b>		<b>1,976,167.95</b>	<b>1,911.26</b>	<b>1,978,079.21</b>	<b>100.00</b>	<b>0.50</b>	<b>0.1</b>

**FIXED INCOME PORTFOLIO**  
*Alameda County Transportation Commission*  
*Project Fund*  
**Account # N001UNB3**  
*December 31, 2017*

<u>Quantity</u>	<u>Security Symbol</u>	<u>Security</u>	<u>Moody</u>	<u>S &amp; P</u>	<u>Unit Cost</u>	<u>Total Cost</u>	<u>Price</u>	<u>Market Value</u>	<u>Accrued Interest</u>	<u>Total Market Value</u>	<u>Pct Assets</u>	<u>Yield To Mat</u>	<u>Dur-ation</u>
<b>CASH</b>													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				7,029.20		7,029.20		7,029.20	76.75		0.0
	pendingcash	PENDING SETTLEMENT				2,128.90		2,128.90		2,128.90	23.25		0.0
						9,158.10		9,158.10		9,158.10	100.00		0.0
<b>TOTAL PORTFOLIO</b>						<b>9,158.10</b>		<b>9,158.10</b>	<b>0.00</b>	<b>9,158.10</b>	<b>100.00</b>	<b>0.00</b>	<b>0.0</b>

**FIXED INCOME PORTFOLIO**  
**Alameda County Transportation Commission**  
**Alameda CTC 2014 Principal**  
**Account # N001UNB5**  
*December 31, 2017*

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
<b>CASH</b>													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				27,777.94		27,777.94		27,777.94	0.16		0.0
	pendingcash	PENDING SETTLEMENT				372.62		372.62		372.62	0.00		0.0
						28,150.56		28,150.56		28,150.56	0.16		0.0
<b>GOVERNMENT BONDS</b>													
2,000,000.0000	313397ss1	FEDL HOME LN MTG CORP DISC NT 0.000% Due 02-05-18	AAA	AA+	99.68	1,993,552.78	99.88	1,997,506.00	0.00	1,997,506.00	11.17	1.28	0.1
7,544,000.0000	3135g0tg8	FEDERAL NATL MTG ASSN 0.875% Due 02-08-18	AAA	AA+	99.87	7,534,148.85	99.95	7,540,363.79	26,220.64	7,566,584.43	42.17	1.30	0.1
8,317,000.0000	912828h94	UNITED STATES TREAS NTS 1.000% Due 02-15-18	AAA	AA+	99.95	8,312,474.19	99.96	8,313,972.61	31,414.76	8,345,387.37	46.50	1.29	0.1
						17,840,175.82		17,851,842.40	57,635.39	17,909,477.80	99.84	1.29	0.1
<b>TOTAL PORTFOLIO</b>						<b>17,868,326.38</b>		<b>17,879,992.96</b>	<b>57,635.39</b>	<b>17,937,628.36</b>	<b>100.00</b>	<b>1.29</b>	<b>0.1</b>



# Memorandum

6.6

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

**DATE:** February 15, 2018

**SUBJECT:** Alameda CTC FY2017-18 Second Quarter Consolidated Financial Report

**RECOMMENDATION:** Approve the Alameda CTC FY2017-18 Second Quarter Consolidated Financial Report

## Summary

Alameda CTC's expenditures through December 31, 2017 are within year-to-date budget authority per the currently adopted budget. The agency remains in a strong financial position as compared to budget through the second quarter of FY2017-18.

The attached FY2017-18 Second Quarter Financial Report has been prepared on a consolidated basis and is compared to the year-to-date currently adopted budget. This report provides a summary of FY2017-18 actual revenues and expenditures through December 31, 2017. 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 percent indicate that actual revenue or expenditure items are over 50 percent of the total annual budget through the second quarter of the fiscal year, and percentages under 100 percent indicate that actual revenue or expenditure items are under 50 percent of the total annual budget through the second quarter of the fiscal year. As of December 31, 2017, Alameda CTC activity for the fiscal year results in a net increase in fund balance in the amount of \$71.5 million mostly due to sales tax revenues received but not yet spent, primarily in the 2000 Measure B and Measure BB Capital Projects and Special Revenue Funds.

The following information regarding agency reserves is provided in response to a discussion and question raised at the Finance and Administration Committee. Alameda CTC included \$34,318,702 of reserves which were set aside from fund balance in the budget to mitigate overall risk for the agency; \$30,519,054 was set aside in the General Fund and \$3,799,648 was set aside in the I-580 Express Lanes Fund. The General Fund reserve is calculated per the General Fund Balance Reserve Policy adopted by the Commission in January 2014 as two months' of budgeted expenditures in the General Fund and one months' worth of budgeted expenditures in all other funds totaling \$30,519,054 based on the budget adopted by the Commission for FY2017-18. The I-580

Express Lanes Fund reserve is calculated as half of the budgeted annual expenditures in that fund totaling \$3,799,648, for an overall reserve of \$34,318,702. Reserves are not an actual agency expenditure, and therefore, do not appear in this financial report. However, it is evident based on the audited Comprehensive Annual Financial Report for the year ended June 30, 2017, which is available on the agency's website at the following link [https://www.alamedactc.org/files/managed/Document/22103/Alameda\\_CTC\\_2016-17\\_CAFR.pdf](https://www.alamedactc.org/files/managed/Document/22103/Alameda_CTC_2016-17_CAFR.pdf), that there are ample funds in both the General Fund and the I-580 Express Lanes Fund to cover the reserves designated in the adopted budget.

## **Activity**

The following are highlights of actual revenues and expenditures compared to budget as of December 31, 2017 by expenditure category:

### *Revenues*

Sales tax revenues are over budget by \$14.0 million, or 9.9 percent, and investment income is over budget by \$1.3 million or 93.4 percent as interest rates have slowly risen. Toll and toll violation revenues are over budget by \$3.8 million which can help to fund the targeted operational reserve, and grant revenues are under budget by \$6.5 million mostly related to capital projects. Grant revenues are recognized on a reimbursement basis, therefore correlated with directly related expenditures, so capital and other project expenditures also will be under budget.

### *Salaries and Benefits*

Salaries and benefits are slightly under budget by \$0.2 million, or 7.6 percent, as of December 31, 2017.

### *Administration*

Costs for overall administration is under budget by \$11.3 million, or 67.0 percent, due to debt service costs which incurred costs for one interest payment, but no principal payment yet, as of December 31, 2017. Principal payments are made annually on March 1. Actual expenditures in the debt service fund will equal 100% of the budget by the end of the fiscal year once all required principal and interest payments have been made.

### *I-580 Express Lanes Operations*

The I-580 Express Lanes Operations expenditures are under budget by \$1.8 million, or 47.0 percent, mostly related to operations and maintenance costs which has two components; one for consistent monthly expenditures throughout the year, and another for on call services for which staff is in the process of negotiating a contract for work that is expected to occur during this fiscal year.

### *Planning*

Planning expenditures are under budget by \$0.8 million, or 50.2 percent mostly related to a delay in the kick off of a few transportation planning activities due to staffing turnover and partner agency coordination.



### *Programs*

Program expenditures are under budget by \$9.4 million, or 9.9 percent, mostly related to grants and other programming awards. Many agreements for discretionary projects were recently finalized, and it is expected that activity will ramp up in the next few months with expenditures approaching budget by the end of the fiscal year.

### *Capital Projects*

Capital Projects expenditures are under budget by \$82.1 million, or 85.4 percent. This variance is related to timing issues on certain capital projects. Many agreements for construction projects have recently been finalized. Project construction activity is expected to increase significantly in the third quarter and actual expenditures will be closer to budget by the end of the fiscal year. There are currently no real budget issues on capital projects.

### *Limitations Calculations*

Staff has completed the limitations calculations required for both 2000 Measure B and 2014 Measure BB related to salary and benefits and administration costs, and Alameda CTC is in compliance with all limitation requirements.

**Fiscal Impact:** There is no fiscal impact.

### **Attachment**

- A. Alameda CTC Consolidated Revenues/Expenditures Actual vs. Budget as of December 31, 2017

### **Staff Contact**

[Patricia Reavey](#), Deputy Executive Director of Finance and Administration

[Yoana Navarro](#), Accounting Manager

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION**  
**Consolidated Revenues/Expenditures**  
**December 31, 2017**

	Total Consolidated		% Used	Favorable (Unfavorable) Variance
	YTD Actuals	YTD Budget		
<b>REVENUES</b>				
Sales Tax Revenue	\$ 155,001,157	\$ 141,000,002	109.93	\$ 14,001,155
Investment Income	2,639,453	1,365,000	193.37	1,274,453
Member Agency Fees	697,410	697,410	100.00	-
VRF Funds	6,407,315	6,000,000	106.79	407,315
Toll Revenues	5,957,291	4,000,000	148.93	1,957,291
Toll Violation Revenues	1,867,031	-	-	1,867,031
Other Revenues	3,041	-	-	3,041
Regional/State/Federal Grants	2,752,455	5,537,889	49.70	(2,785,434)
Local and Other Grants	4,574,045	8,254,978	55.41	(3,680,933)
<b>Total Revenues</b>	<b>\$ 179,899,198</b>	<b>\$ 166,855,279</b>		<b>\$ 13,043,919</b>
<b>EXPENDITURES</b>				
<b>Administration</b>				
Salaries and Benefits	1,170,115	1,048,502	111.60	(121,613)
General Office Expenses	685,534	832,606	82.34	147,072
Travel Expense	8,992	22,500	39.96	13,508
Debt Service <sup>(1)</sup>	2,539,125	13,236,625	19.18	10,697,500
Other Administration	1,044,006	1,428,125	73.10	384,119
Commission and Community Support	93,042	126,375	73.62	33,333
Contingency	-	100,000	-	100,000
Subtotal	5,540,814	16,794,733		11,253,919
<b>I-580 Operations</b>				
Salaries and Benefits	109,009	97,148	112.21	(11,861)
Project Management/Controls	117,764	145,000	81.22	27,236
Other Operating Expenditures	1,789,059	3,557,500	50.29	1,768,441
Subtotal	2,015,832	3,799,648		1,783,816
<b>Planning</b>				
Salaries and Benefits	315,223	373,633	84.37	58,410
Transportation Planning	451,903	897,407	50.36	445,504
Congestion Management Program	9,279	287,723	3.22	278,444
Subtotal	776,405	1,558,763		782,358
<b>Programs</b>				
Salaries and Benefits	645,798	734,120	87.97	88,322
Programs Management and Support	416,481	904,500	46.05	488,019
Safe Routes to School Program	6,169	892,301	0.69	886,132
VRF Programming	3,988,711	7,027,000	56.76	3,038,289
Measure B/BB Direct Local Distribution	80,097,056	72,857,655	109.94	(7,239,401)
Grant Awards	751,820	8,813,914	8.53	8,062,094
TFCA Programming	84,699	843,893	10.04	759,194
CMA TIP Programming	74,775	3,403,199	2.20	3,328,424
Subtotal	86,065,509	95,476,582		9,411,073
<b>Capital Projects</b>				
Salaries and Benefits	271,619	465,290	58.38	193,671
Capital Project Expenditures	13,745,250	95,626,703	14.37	81,881,453
Subtotal	14,016,869	96,091,993		82,075,124
<b>Total Expenditures</b>	<b>\$ 108,415,429</b>	<b>\$ 213,721,719</b>		<b>\$ 105,306,290</b>
<b>Net revenue over / (under) expenditures</b>	<b>\$ 71,483,769</b>	<b>\$ (46,866,440)</b>		

(1) Debt service cost are required to be recorded when incurred per government accounting standards and will equal budget by year end.

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# Memorandum

6.7

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 15, 2018

**SUBJECT:** Commissioner Workers' Compensation Coverage

**RECOMMENDATION:** Adopt a Resolution Declaring Commissioners Deemed Employees for Workers' Compensation Purposes.

## Summary

Per California Labor Code, the governing body of the Alameda County Transportation Commission (Alameda CTC) is required to adopt a resolution declaring Commissioners be deemed employees for purposes of Workers' Compensation in order for Commissioners to be covered by the Alameda CTC's policy while performing service for the Agency. Section 3363.5 of the California Labor Code reads as follows:

- (a) Notwithstanding Sections 3351, 3352, and 3357, a person who performs voluntary service without pay for a public agency, as designated and authorized by the governing body of the agency or its designee, shall, upon adoption of a resolution by the governing body of the agency so declaring, be deemed to be an employee of the agency for purposes of this division while performing such service.
- (b) For purposes of this section, "voluntary service without pay" shall include services performed by any person, who receives no remuneration other than meals, transportation, lodging, or reimbursement for incidental expenses.

## Background

Alameda CTC contracts for Workers' Compensation insurance coverage through the Special District Risk Management Authority (SDRMA) who was recently notified by their excess carrier that members of their Workers' Compensation program need to pass a new resolution if they would like to continue covering Governing Body members. The new resolution declares that the Commission wishes to extend Workers' Compensation coverage as provided by State law to all members of the Governing Body of the Alameda CTC as presently or hereafter constituted while performing service for the Alameda CTC.

**Fiscal Impact:** There is no fiscal impact.

## Attachment

- A. Resolution of the Governing Body of the Alameda County Transportation Commission Declaring that Governing Body Members Shall Be Deemed To Be Employees of the District for the Purpose of Providing Workers' Compensation Coverage for Said Certain Individuals While Providing Their Service

## Staff Contact

[Patricia Reavey](#), Deputy Executive Director of Finance and Administration



RESOLUTION 18-003

RESOLUTION OF THE GOVERNING BODY OF THE ALAMEDA COUNTY TRANSPORTATION COMMISSION, DECLARING THAT GOVERNING BODY MEMBERS SHALL BE DEEMED TO BE EMPLOYEES OF ALAMEDA CTC FOR THE PURPOSE OF PROVIDING WORKERS' COMPENSATION COVERAGE FOR SAID CERTAIN INDIVIDUALS WHILE PROVIDING THEIR SERVICES

Commission Chair
Supervisor Richard Valle, District 2

Commission Vice Chair
Mayor Pauline Cutter,
City of San Leandro

AC Transit
Board President Elsa Ortiz

Alameda County
Supervisor Scott Haggerty, District 1
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
Supervisor Keith Carson, District 5

BART
Director Rebecca Saltzman

City of Alameda
Mayor Trish Spencer

City of Albany
Councilmember Peter Maass

City of Berkeley
Councilmember Kriss Worthington

City of Dublin
Mayor David Haubert

City of Emeryville
Mayor John Bauters

City of Fremont
Mayor Lily Mei

City of Hayward
Mayor Barbara Halliday

City of Livermore
Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Councilmember At-Large
Rebecca Kaplan
Councilmember Dan Kalb

City of Piedmont
Vice Mayor Teddy Gray King

City of Pleasanton
Mayor Jerry Thorne

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

WHEREAS, the Alameda County Transportation Commission utilizes the services of Governing Body Members and Volunteers; and

WHEREAS, Section 3363.5 of the California Labor Code provides that a person who performs voluntary service for a public agency as designated and authorized by the Governing Body of the agency or its designee, shall, upon adoption of a resolution by the Governing Body of the agency so declaring, be deemed to be an employee of the agency for the purpose of Division 4 of said Labor Code while performing such services; and

WHEREAS, the Governing Body wishes to extend Workers' Compensation coverage as provided by State law to the following designated categories of persons as indicated by a checkmark in the box to the left of the descriptions:

- ☑ All Members of the Governing Body of the Alameda County Transportation Commission as presently or hereafter constituted and/or
☐ All persons performing voluntary services without pay other than meals, transportation, lodging or reimbursement for incidental expenses
☐ Individuals on Work-study programs
☐ Interns
☐ Other Volunteers
☐ \_\_\_\_\_ [designate]

NOW, THEREFORE, BE IT RESOLVED, that such persons coming within the categories specified above, including the duly elected or appointed replacements of any Governing Body Member and other designated individuals be deemed to be employees of the Alameda County Transportation Commission for the purpose of Workers' Compensation

coverage as provided in Division 4 of the Labor Code while performing such service. However, said Governing Body Members and other designated individuals will not be considered an employee of the Alameda County Transportation Commission for any purpose other than for such Workers' Compensation coverage, nor grant nor enlarge upon any other right, duty, or responsibility of such Governing Body Members or other designated individuals, nor allow such persons to claim any other benefits or rights given to paid employees of the Alameda County Transportation Commission.

**PASSED, APPROVED AND ADOPTED** this FEBRUARY 22, 2018 by the following vote:

AYES:

NOES:

ABSENT:

---

Richard Valle, Chairperson  
Alameda County Transportation Commission

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APPROVED AS TO FORM:





# Memorandum

6.8

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 15, 2018

**SUBJECT:** Alameda CTC 2018 Meeting Schedule

**RECOMMENDATION:** Approve the Alameda CTC meeting schedule for the 2018 calendar year

## Summary

Per the Alameda County Transportation Commission (Alameda CTC) administrative code, the Alameda CTC annually adopts a schedule of regular meetings. The schedule outlines the meetings in a calendar format for the full Commission in addition to standing committee meetings including: I-680 Joint Powers Authority (I-680 JPA); I-580 Express Lane Policy Committee (I-580 PC); Finance and Administration Committee (FAC); Planning, Policy and Legislation Committee (PPLC); and Programs and Projects Committee (PPC). The Goods Movement Planning Committee (GMPC), Transit Planning Committee (TPC) and any Ad-hoc or steering committee meeting schedules are developed at the discretion of the Commission and are noticed in accordance with any applicable California Government Codes.

At its meeting on February 8, 2018, the FAC agreed to move its meeting time from 10:30 a.m. to 8:30 a.m. to avoid potential scheduling conflicts. The attached schedule outlines this change and is recommended for Commission approval.

## Background

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

**Fiscal Impact:** There is no fiscal impact.

## Attachment

- A. Alameda CTC 2018 Meeting Schedule

## Staff Contact

[Patricia Reavey](#), Deputy Executive Director of Finance and Administration

[Vanessa Lee](#), Clerk of the Commission

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## Alameda County Transportation Commission 2018 Meeting Calendar\*

All meetings dates and materials are available on the [Alameda CTC website](#).

Meetings	Meeting Start Time	Meeting Dates
Finance and Administration Committee (FAC) I-680 Sunol Smart Carpool Lane JPA (I-680 JPA) I-580 Policy Committee (I-580 PC) Planning, Policy & Legislation Committee (PPLC) Programs and Projects Committee (PPC)	8:30 a.m. 9:30 a.m. 10:00 a.m. 10:30 a.m. 12:00 p.m.	January 8, 2018** February 12, 2018 March 12, 2018 April 9, 2018 May 14, 2018 June 11, 2018 July 9, 2018 September 10, 2018 October 8, 2018 November 19, 2018**
Alameda County Transportation Commission	2:00 p.m.	February 1, 2018** February 22, 2018 March 22, 2018 April 26, 2018 May 24, 2018 June 28, 2018 July 26, 2018 September 27, 2018 October 25, 2018 December 6, 2018

\*Standing Committees meet on the second Monday of the month. The full Commission meets on the fourth Thursday of the month. The Alameda CTC Commission is on recess in the month of August. There is no Commission meeting in the month of November. The Goods Movement Planning Committee (GMPC) and the Transit Planning Committee (TPC) meeting schedules are developed at the discretion of the Commission and usually occur immediately following the last standing committee meeting.

\*\* This date has been adjusted due to an agency holiday or based on a pre-existing scheduling conflict.

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# Memorandum

6.9

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

**DATE:** February 15, 2018

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

**RECOMMENDATION:** 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 January 9, 2018, the Alameda CTC has not reviewed any environmental documents.

**Fiscal Impact:** There is no fiscal impact.

## Staff Contacts

[Saravana Suthanthira](#), Principal Transportation Planner

[Chris G. Marks](#), Associate Transportation Planner

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# Memorandum

6.10

1111 Broadway, Suite 800, Oakland, CA 94607 • 510.208.7400 • www.AlamedaCTC.org

**DATE:** February 15, 2018

**TO:** Alameda County Transportation Commission Board Members

**FROM:** Vivek Bhat, Director of Programming and Project Controls  
Jacki Taylor, Senior Program Analyst

**SUBJECT:** Cycle 5 Lifeline Transportation Program

## Recommendation

Approve the proposed programming process for the Cycle 5 Lifeline Transportation Program, including the release of a call for projects and approval of the project evaluation criteria and weighting for project selection.

## Summary

The Metropolitan Transportation Commission (MTC) Lifeline Transportation Program (LTP) funds projects that improve mobility for the region's low-income communities. In January 2018, MTC released the Cycle 5 LTP Guidelines (Attachment A) and the Lifeline Cycle 5 Fund Estimate (Attachment B), which identifies \$4.8 million for Alameda County from a mix of State Transit Assistance (STA) and Federal Transit Administration (FTA) Section 5307 funding. As with prior cycles, the Cycle 5 Lifeline program is to be administered by the region's Congestion Management Agencies (CMAs).

## Background

MTC established the Lifeline Transportation Program to address the mobility needs of low-income residents of the San Francisco Bay Area. The Lifeline Program is intended to support community-based transportation projects that:

- Are developed through a collaborative and inclusive planning process that engages a broad range of stakeholders such as public agencies, transit operators, community-based organizations and residents, and outreach to underrepresented communities.

- Improve a range of transportation choices by adding new or expanded services including but not limited to: enhanced fixed route transit services, first-and last-mile shuttles, taxi voucher programs, and other eligible projects.
- Address transportation gaps and/or barriers identified in Community-Based Transportation Plans (CBTP) or other substantive local planning efforts involving focused outreach to low-income populations, such as countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable.

Lifeline projects are selected at the county level based on locally-identified needs. Common transportation gaps/ barriers identified through the local and regional planning efforts are spacial and temporal gaps in fixed route transit, safety and access to transit, and transit affordability. Projects typically funded through the Lifeline program include fixed-route transit, transit stop improvements, youth and senior transportation, community shuttles and mobility management activities.

### **Cycle 5 Program**

As with prior cycles, the region's CMAs continue to serve as the Lifeline Program Administrators for the funding distribution and project selection process within their respective counties. Overall, the Cycle 5 guidelines are very similar to the Cycle 4 guidelines, with the program goals, administration, and local match essentially unchanged. Some key features and additions for this cycle are:

- Fund Estimate - For Cycle 5, MTC estimates a total of approximately \$20 million in funding will be available for the region, \$14 million in STA and \$6.5 million in FTA Section 5307. MTC's Cycle 5 Fund Estimate (Attachment B) shows the fund distribution by county, with approximately \$4.8 million identified for Alameda County. The Cycle 5 fund estimate contains just two-years of revenue, FYs 2016-17 and 2017-18, and comprises fewer fund sources (no State Proposition 1B or federal STP), which is why the total amount of funding is substantially lower than prior Lifeline cycles.
- Eligible fund recipients – Consistent with Cycle 4, the eligibility for the fund sources available for Cycle 5 continues to be restricted to transit agencies. Non-profits and local government agencies are only eligible as sub-recipients of STA and Section 5307 funds, and would need to partner with an entity that is an eligible direct recipient (i.e., transit agency) that is willing to sponsor the project and pass-through the funds, which includes the review and payment of sub-recipient requests for reimbursement.



- Regional efforts - MTC has reserved \$1 million off of the top of the Cycle 5 fund estimate to pilot with a few CMAs to include a participatory budgeting process within a CBTP. The pilot will enable residents in Communities of Concern to develop and vote on project priorities as part of the development of a CBTP.

Appendix 1 of MTC's Cycle 5 Guidelines (Attachment A) provides detailed information for the two available fund sources, including sponsor and project eligibility, local match, timing of funds, and reporting requirements. The key eligibility and minimum local match requirements are included below:

Key Requirement	STA	Federal 5307
<b>Eligible Direct Recipients</b>	<b>Transit Operators</b> <ul style="list-style-type: none"> <li>• Funds may be passed through to sub-recipients (cities, County, and non-profit agencies)</li> </ul>	<b>Transit Operators that are FTA grantees</b> <ul style="list-style-type: none"> <li>• Funds may be passed through to sub-recipients (cities, County, and non-profit agencies)</li> </ul>
<b>Minimum Local Match</b>	<ul style="list-style-type: none"> <li>• 20%</li> </ul>	<ul style="list-style-type: none"> <li>• 50% operations projects (may use STA funds for up to 30% of match)</li> <li>• 20% capital projects</li> </ul>
<b>Eligible Projects</b>	<b>Transit operations and capital</b> , including: Fixed-route and shuttle operations, vehicle purchase, technology, capital improvements, mobility management.	<b>Operations and capital</b> , including late night, weekend and expansion of fixed route services, shuttles, ridesharing, ITS, demand response, mobility management.

MTC's Lifeline Cycle 5 Guidelines also identify a variety of planning resources to assist with the identification of candidate projects. Key resources for Alameda County projects include:

- [Alameda County CBTPs](#)
- [Map of MTC Communities of Concern \(CoC\)](#)
- [MTC's Draft 2017 Coordinated Public Transit-Human Services Transportation Plan](#)

### **Project Selection Process**

Applications will be solicited through a discretionary call for projects and the applications received will be scored by an evaluation panel in accordance with MTC's LTP Guidelines. MTC has established standard evaluation criteria to be used to assess and select LTP projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority, (3) implementation plan and project

management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability. CMAs are to establish a weight to be assigned for each criterion. Additional criteria may be added to a county program, but should not replace or supplant the regional criteria. Attachment C details the proposed criteria and weighting for Cycle 5 which is unchanged from what the Alameda CTC approved for use in prior cycles.

In developing a Cycle 5 program, CMAs are to only program up to 95% of their county's STA fund estimate. A contingency project is to be identified to receive the additional 5%, after the actual STA revenue amounts are known.

### **Next Steps**

The Alameda CTC's proposed programming schedule for Cycle 5 (Attachment D) proposes a call for projects be released in late February 2018. As proposed, applications would be due to Alameda CTC in late March 2018, project evaluations would take place during April and a draft program would be presented to the Commission in May. Approved Cycle 5 programs are due to MTC by May 31, 2018.

MTC requires a resolution of local support from all project sponsors that are awarded Cycle 5 funding. These would be due to Alameda CTC by the end of May 2018. For projects sponsored by a pass-through agency, a resolution is also required from the sub-recipient.

**Fiscal Impact:** There is no fiscal impact to the Alameda CTC budget.

### **Attachments**

- A. MTC Cycle 5 Lifeline Transportation Program Guidelines
- B. MTC Cycle 5 Fund Estimate
- C. Alameda CTC Cycle 5 Evaluation Criteria
- D. Alameda CTC Cycle 5 Programming Schedule

6.10A

Date: January 24, 2018  
W.I.: 1310  
Referred by: PAC

Attachment A  
MTC Resolution No. 4309  
Page 1 of 19



METROPOLITAN  
TRANSPORTATION  
COMMISSION

# **Lifeline Transportation Program Cycle 5 Guidelines**

January 2018

**METROPOLITAN TRANSPORTATION COMMISSION**

**LIFELINE TRANSPORTATION PROGRAM CYCLE 5 GUIDELINES**  
**FY 2017 AND FY 2018**

January 2018

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Appendix 1. Funding Source Information

Appendix 2. Standard Evaluation Criteria

**METROPOLITAN TRANSPORTATION COMMISSION  
LIFELINE TRANSPORTATION PROGRAM CYCLE 5 GUIDELINES  
FY 2017 AND FY 2018**

January 2018

1. **PROGRAM GOAL.** The Lifeline Transportation Program is intended to fund projects that result in improved mobility for low-income residents of the nine San Francisco Bay Area counties.

The Lifeline Program supports community-based transportation projects that:

- Are developed through a collaborative and inclusive planning process that engages a broad range of stakeholders such as public agencies, transit operators, community-based organizations and residents, and outreach to underrepresented communities.
- Improve a range of transportation choices by adding new or expanded services including but not limited to: enhanced fixed route transit services, first-and last-mile shuttles, taxi voucher programs, and other eligible projects.
- Address transportation gaps and/or barriers identified in Community-Based Transportation Plans (CBTP) or other substantive local planning efforts involving focused outreach to low-income populations such as countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. A map of communities of concern (CoC) is included in the Equity Analysis Report for Plan Bay Area 2040, which is available at [http://2040.planbayarea.org/sites/default/files/2017-07/Equity\\_Report\\_PBA%202040%20\\_7-2017.pdf](http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%20_7-2017.pdf)

2. **PROGRAM ADMINISTRATION.** The Lifeline Program will be administered by county congestion management agencies (CMAs) or other designated county-wide agencies as follows:

<b>County</b>	<b>Lifeline Program Administrator</b>
Alameda	Alameda County Transportation Commission
Contra Costa	Contra Costa Transportation Authority
Marin	Transportation Authority of Marin
Napa	Napa Valley Transportation Authority
San Francisco	San Francisco County Transportation Authority
San Mateo	City/County Association of Governments
Santa Clara	Santa Clara Valley Transportation Authority and Santa Clara County
Solano	Solano Transportation Authority
Sonoma	Sonoma County Transportation Authority

3. **FUNDING APPORTIONMENT AND AVAILABILITY.** Fund sources for the Cycle 5 Lifeline Transportation Program include State Transit Assistance (STA), and Federal Transit Administration (FTA) Section 5307 Urbanized Area Formula<sup>1</sup> funds. Cycle 5 will cover a two-year programming cycle, FY2016-17 to FY2017-18.

- a. **STA and FTA Section 5307.** Funding for STA and FTA Section 5307 will be assigned to counties by each fund source, based on the county’s share of the regional low-income population (see Figure 1).<sup>2</sup> Lifeline Program Administrators will assign funds to eligible projects in their counties. See Section 5 for details about the STA and FTA Section 5307 programming process and Appendix 1 for detailed eligibility requirements by fund source.

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<sup>1</sup> The Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) federal transportation authorizing legislation eliminated the FTA Job Access and Reverse Commute (JARC) program (Section 5316) and combined JARC functions and funding with the Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were made eligible for 5307 funding, and, consistent with MTC’s Transit Capital Priorities (TCP) Process and Criteria (MTC Resolution Nos. 4242), in the and FY2016-17 and FY2017-18 Section 5307 programs, a portion of the Bay Area’s urbanized area funds have been set aside for the Lifeline program.

<sup>2</sup> FTA Section 5307 funds are apportioned by urbanized area (UA), so the distribution of 5307 funds will also need to take UA boundaries into consideration.

**Figure 1. County and Share of Regional Poverty Population**

<i>County</i>	<i>Share of Regional Low Income (&lt;200% Poverty) Population</i>
Alameda	23.1%
Contra Costa	14.7%
Marin	2.7%
Napa	2.1%
San Francisco	12.2%
San Mateo	8.4%
Santa Clara	22.5%
Solano	6.6%
Sonoma	7.7%
Total	100.0%

Source: American Community Survey, 2011-2015, 5-Year Estimate

- b. Participatory Budgeting. Subject to funding available from a proposed 2018 Caltrans Planning Grant, MTC will pilot a voluntary participatory budgeting (PB) process. The participatory budgeting process enables residents in Communities of Concern to develop and vote on project priorities working through their CMA’s Community-Based Transportation Planning process. Selected projects are then funded as part of an available/dedicated budget. MTC will set aside up to \$1 million off the top from the Lifeline Transportation Program for projects identified through this pilot. Projects identified through the PB process will be presented to the Commission at a future date. CMA’s that want to participate in this pilot should contact MTC staff by January 30, 2018.
- c. Local Fund Exchanges. Consistent with MTC Resolution No. 3331, MTC will allow County Lifeline Program Administrators to use local fund exchanges to fund projects that are not otherwise eligible for the state and federal funds in Cycle 5. Lifeline Program Administrators must notify MTC about their intent to exchange funds, and MTC staff will review and approve the exchanges on a case-by-case basis. MTC staff is supportive of these fund exchanges to the extent that the exchange projects meet the spirit of the Lifeline Transportation Program.

**4. ELIGIBLE RECIPIENTS/SUBRECIPIENTS**

- a. STA. There are three categories of eligible recipients of STA funds: a) transit operators; b) Consolidated Transportation Service Agencies (CTSAs); and, c) Cities and Counties that are eligible to claim Transportation Development Act (TDA) Article 4, 4.5 or 8 funds.

Non-profit organizations and Cities/Counties that are not eligible TDA Article 4, 4.5 or 8 claimants are only eligible for STA funds if they partner with an eligible STA recipient

(e.g., a transit operator) that is willing to serve as the recipient of the funds and pass through the funds to the non-profit or City/County, and if they have an eligible project.

- b. FTA Section 5307. Transit operators that are FTA grantees are the only eligible recipients of FTA Section 5307 funds.

Non-profit organizations and public agencies that are not FTA grantees are only eligible for Section 5307 funds if they partner with an FTA grantee (transit operator) that is willing to serve as the direct recipient of the Section 5307 funds and pass through the funds to the sub recipient non-profit or public agency.

Section 5307 recipients/sub recipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.<sup>3</sup> A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (<http://fedgov.dnb.com/webform>).

5. STA AND FTA SECTION 5307 PROGRAMMING PROCESS. For STA and FTA Section 5307 funds, Lifeline Program Administrators are responsible for soliciting applications for the Lifeline Transportation Program.

Consistent with MTC's Public Participation Plan and FTA's Title VI Circular (FTA C 4702.1B), MTC encourages Lifeline Program Administrators to conduct a broad, inclusive public involvement process, and use multiple methods of public outreach. Funds in the Cycle 5 program are predominantly restricted to transit operators (see Section 4 for recipient eligibility restrictions). Therefore, MTC also acknowledges that each Lifeline Program Administrator's public outreach strategy will be tailored accordingly.

Methods of public outreach may include, but are not limited to, highlighting the program and application solicitation on the CMA website, and sending targeted postcards and e-mails to all prospective applicants, including those that serve predominantly minority and low-income populations.

Further guidance for public involvement is contained in MTC's Public Participation Plan. Additionally, a list of Caltrans best practices for community engagement can be accessed through the Caltrans Final Sustainable Communities Grant Guide at:

[http://www.dot.ca.gov/hq/tpp/grants/1718/1\\_14SEP17\\_FinalSustainableCommunitiesGrantGuideFY2017-18.pdf](http://www.dot.ca.gov/hq/tpp/grants/1718/1_14SEP17_FinalSustainableCommunitiesGrantGuideFY2017-18.pdf)

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<sup>3</sup> A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct sub-recipients.



CMAs are required to document the outreach effort undertaken for the local call for projects and provide MTC with a description of how the public was involved in the process for nominating and/or commenting on projects selected for Lifeline Transportation Program funding.

- a. Competitive Process. STA and FTA Section 5307 projects must be selected through an open, competitive process, with the following exception: In an effort to address the sustainability of fixed-route transit operations, Lifeline Program Administrators may elect to allocate some or all of their STA and/or Section 5307 funds directly to transit operators for Lifeline transit operations within the county. Projects must be identified as Lifeline projects before transit operators can claim funds, and will be subject to Lifeline Transportation Program reporting requirements.
- b. STA Contingency Programming. Due to the uncertainty of forecasting STA revenues, the Lifeline Program Administrators will program 95 percent of their county's estimated STA amount, and develop a contingency plan for the remaining five percent should it be available. Contingency project(s) are to be identified and separately listed should the contingency funds become available. Contingency funds are not to be dispersed throughout all Lifeline projects.

## 6. ELIGIBLE ACTIVITIES

- a. Eligible operating projects. Eligible operating projects, consistent with requirements of funding sources, may include (but are not limited to) new or enhanced fixed route transit services, restoration of Lifeline-related transit services eliminated due to budget shortfalls, shuttles, taxi voucher programs, auto loan programs, etc. See Appendix 1 for additional details about eligibility by funding source.
- b. Eligible capital projects. Eligible capital projects, consistent with requirements of funding sources, may include (but are not limited to) purchase of vehicles; bus stop enhancements; rehabilitation, safety or modernization improvements; or other enhancements to improve transportation access for residents of low-income communities. See Appendix 1 for additional details about eligibility by funding source.
- c. FTA Section 5307 restrictions
  - (1) Job Access and Reverse Commute requirement. For the Lifeline Transportation Program, the use of FTA Section 5307 funds is restricted solely to Job Access and Reverse Commute (JARC) -type projects. For details regarding eligible FTA Section 5307 JARC-type projects, see the FTA Section 5307 Circular (FTA C 9030.1E), Chapter IV, Section 5 available at [https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL\\_FTA\\_circular9030.1E.pdf](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf) Also see Appendix 1 for detailed eligibility requirements by fund source.

- (2) New and existing services. Consistent with the FTA Section 5307 circular (FTA C 9030.1E), Chapter IV, Section 5.a, eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or “maintenance project” as follows:
- i. Development Projects. “Development of transportation services” means new projects that meet the statutory definition and were not in service as of the date Fixing America’s Surface Transportation (FAST) Act, became effective December 4, 2015. This includes projects that expand the service area or hours of operation for an existing service.
  - ii. Maintenance Projects. “Maintenance of transportation services” means projects that continue and maintain job access and reverse commute projects and services that received funding under the former Section 5316 Job Access and Reverse Commute program.
7. LOCAL MATCHING REQUIREMENTS. The Lifeline Transportation Program requires a minimum local match of 20% of the total project cost. Lifeline Transportation Program funds may cover a maximum of 80% of the total project cost.
- a. Exceptions to 20% requirement. There are two exceptions to the 20% local match requirement:
    - (1) FTA Section 5307 operating projects require a 50% match. However, consistent with MTC’s approach in previous funding cycles, Lifeline Program Administrators may use STA funds to cover the 30% difference for projects that are eligible for *both* 5307 and STA funds.
    - (2) All auto-related projects require a 50% match.
  - b. Sources of local match. Project sponsors may use certain federal, state or local funding sources (Transportation Development Act, operator controlled State Transit Assistance, local sales tax revenue, etc.) to meet the match requirement. In-kind contributions such as the market value of in-kind contributions integral to the project may be counted as a contribution toward local share.

For FTA Section 5307 projects, the local match can be *non*-Department of Transportation (DOT) federal funds. Eligible sources of non-DOT federal funds include: Temporary

Assistance to Needy Families (TANF), Community Services Block Grants (CSBG) and Social Services Block Grants (SSBG) administered by the US Department of Health and Human Services or Community Development Block grants (CDBG) and HOPE VI grants administered by the US Department of Housing and Urban Development (HUD). Grant funds from private foundations may also be used to meet the match requirement.

Transportation Development Credits (“Toll Credits”) are not an eligible source of local match for the Lifeline Transportation Program.

8. COORDINATED PLANNING. Under FAST Act, projects funded with Section 5307 funds are no longer required by FTA to be derived from a locally developed, coordinated public transit-human services transportation plan (“Coordinated Plan”); however, in the Bay Area’s Coordinated Plan, MTC continues to identify the transportation needs of individuals with disabilities, older adults, *and* people with low incomes, and to provide strategies for meeting those local needs. Therefore, projects funded with Lifeline Transportation Program funds should be consistent with the transportation needs, proposed solutions, and enhanced coordination strategies presented in the Coordinated Plan to the extent practicable considering any other funding source restrictions.

The Bay Area’s Coordinated Plan is being updated in early 2018. The previous version approved in March 2013 is available at:

[https://mtc.ca.gov/sites/default/files/Coord\\_Plan\\_Update.pdf](https://mtc.ca.gov/sites/default/files/Coord_Plan_Update.pdf) , and the draft update to the plan is available at: <https://mtc.ca.gov/our-work/plans-projects/other-plans/coordinated-public-transit-human-services-transportation-plan>

Mobility management was a key coordination strategy recommended in the 2013 plan update and in the draft 2018 plan. The designation of lead mobility managers or Consolidated Transportation Service Agencies (CTSAs) at the County or sub regional level is an essential component of that strategy. Consistent with those recommendations, the Lifeline Program Administrators may, at their discretion, choose to award extra points to—or otherwise give priority to—projects sponsored by or coordinated with County or sub regional Mobility Managers or CTSAs.

Transportation needs specific to senior and disabled residents of low-income communities may also be considered when funding Lifeline projects.

9. GRANT APPLICATION. To ensure a streamlined application process for project sponsors, a universal application form will be used, but, with review and approval from MTC, may be modified as appropriate by the Lifeline Program Administrator for inclusion of county-specific grant requirements.

Applicants with multi-county projects must notify the relevant Lifeline Program Administrators and MTC about their intent to submit a multi-county project, and submit copies of their application to all of the relevant counties. If the counties have different application forms, the applicant can submit the same form to all counties, but should contact the Lifeline Program Administrators to determine the appropriate form. If the counties have

different application deadlines, the applicant should adhere to the earliest deadline. The Lifeline Program Administrators will work together to score and rank the multi-county projects, and, if selected, to determine appropriate funding. (Note: Multi-county operators with projects that are located in a single county need only apply to the county where the project is located.)

#### 10. APPLICATION EVALUATION

- a. Evaluation criteria. Standard evaluation criteria will be used to assess and select projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority, (3) implementation plan and project management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability. Lifeline Program Administrators will establish the weight to be assigned for each criterion in the assessment process.

Additional criteria may be added to a county program but should not replace or supplant the regional criteria. MTC staff will review the proposed county program criteria to ensure consistency and to facilitate coordination among county programs.

See Appendix 2 for the detailed standard evaluation criteria.

- b. Evaluation panel. Each county will appoint a local evaluation panel of CMA staff, the local low-income or minority representative from MTC's Policy Advisory Council (if available), and representatives of local stakeholders, such as transit operators, other transportation providers, community-based organizations, social service agencies, and local jurisdictions, to score and select projects. Counties are strongly encouraged to appoint a diverse group of stakeholders for their local evaluation panel. Each county will assign local priorities for project selection by establishing the weight for each criterion and, at the CMA's discretion, adding local criteria to the standard regional criteria.

11. COUNTYWIDE PROGRAM OF PROJECTS. A full program of projects is due to MTC from each Lifeline Program Administrator based on the timeline outlined in Section 18. While FY2017 FTA funds have been appropriated by Congress and can be considered secured, full FY2018 funds have yet to be appropriated. Given state and federal funding uncertainties, sponsors with projects selected for FY2018 Section 5307 funds and FY2018 STA funds should plan to defer the start of those projects until the funding is appropriated and secured. Lifeline Program Administrators, at their discretion, may opt to allot unused prior year funds to high scoring projects so they can be started quickly. MTC staff will work with Lifeline Program Administrators on this sequencing; MTC staff expects that more will be known about the FY2018 FTA Section 5307 funds and the FY2018 STA funds in calendar year 2018.

#### 12. POLICY BOARD ADOPTION

- a. Project sponsor resolution of local support. Prior to MTC's programming of Lifeline Cycle 5 funds (STA and FTA Section 5307) to any project, MTC requires that the project sponsor adopt and submit a resolution of local support. The resolution shall state that approved projects not only exemplify Lifeline Program goals, but that the local project sponsors understand and agree to meeting all project delivery, funding match and eligibility requirements, and obligation and reporting deadlines and requirements. MTC will provide a resolution of local support template. The County Lifeline Program Administrators have the option of collecting the resolutions of local support from project sponsors along with the project applications, or after the project is selected by the County for funding.
- b. Lifeline Program Administrator/CMA Board Resolution and Concurrence
  - (1) STA and FTA Section 5307. Projects recommended for STA and FTA Section 5307 funding must be submitted to and approved by the respective governing board of the Lifeline Program Administrator.

13. PROJECT DELIVERY. All projects funded under the county programs are subject to the following MTC project delivery requirements:

- a. FTA Section 5307. Project sponsors must expend the Lifeline Transportation Program Section 5307 funds within three years of the FTA grant award or execution of agreement with pass-through agency, whichever is applicable. To prevent the Section 5307 funds from lapsing on the federal obligation deadline, MTC reserves the right to reprogram funds if direct recipients fail to submit their FTA grant by the following dates:
  - August 2021 for FY2017 funds
  - August 2022 for FY2018 funds

Project sponsor are encouraged to submit grant applications at least 90 days prior to the close of FTA's Transit Award Management System (TrAMS) due to the time need for application review by USDOT and the US Department of Labor prior to any grants being awarded. Any FTA Section 5307 funds not obligated in a grant by the end of five years from the year of appropriation by Congress will lapse and return to FTA for reallocation in future years. (i.e. funds appropriated by Congress in FY2017 will lapse at the end of Federal Fiscal Year 2022.) Direct recipients are responsible for carrying out the terms of their grants.

- b. STA. Project sponsors must expend the Lifeline Transportation Program STA funds within three years of the date that the funds are programmed by MTC or the date that the agreement with pass-through agency is executed, whichever is applicable.

14. PROJECT OVERSIGHT. For Lifeline projects funded by STA and FTA Section 5307, Lifeline Program Administrators are responsible for programmatic and fiscal oversight, and for monitoring project sponsors in meeting the MTC obligation deadlines and project

delivery requirements. In addition, Lifeline Program Administrators will ensure that projects substantially carry out the scope described in the grant applications for the period of performance. All project budget and scope of work changes must be approved by the MTC Commission; however the Lifeline Program Administrators are responsible for approving budget and scope of work changes prior to MTC's authorization. All scope changes must be fully explained and must demonstrate consistency with Lifeline Transportation Program goals.

See Appendix 1 for detailed accountability and reporting requirements by funding source.

15. PERFORMANCE MEASURES. As part of the Call for Projects, applicants will be asked to establish project goals, and to identify basic performance indicators to be collected in order to measure the effectiveness of the Lifeline projects. At a minimum, performance measures for service-related projects would include: documentation of new "units" of service provided with the funding (e.g., number of trips, service hours, workshops held, car loans provided), cost per unit of service, and a qualitative summary of service delivery procedures employed for the project. For capital projects, project sponsors are responsible for establishing milestones and reporting on the status of project delivery. Project sponsors are responsible for satisfying all reporting requirements, as referenced in Appendix 1. Lifeline Program Administrators will forward all reports containing performance measures to MTC for review and overall monitoring of the Lifeline Transportation Program.

#### 16. FUND ADMINISTRATION

- a. FTA Section 5307. Project sponsors are responsible for entering projects into MTC's Fund Management System for inclusion in the Transportation Improvement Program (TIP). Transit operators that are FTA grantees are the only eligible recipients of Section 5307 funds. FTA grantees will act as direct recipients, and will submit grant applications directly to FTA.

For projects funded with FTA Section 5307 funds that are sponsored by non-FTA grantees (e.g., nonprofits or other local government entities), the FTA grantee who was identified as the partner agency at the time of the application will submit the grant application to FTA directly and, following FTA approval of the grant, will enter into funding agreements with the sub recipient project sponsor.

FTA recipients are responsible for following all applicable federal requirements and for ensuring that their sub recipients comply with all federal requirements. See Section 18 for federal compliance requirements.

- b. STA. For transit operators receiving STA funds, MTC will allocate funds directly through the annual STA claims process. For other STA eligible projects administered by sponsors who are not STA eligible recipients, the project sponsor is responsible for identifying a local transit operator who will act as a pass-through for the STA funds, and

will likely enter into a funding agreement directly with the project sponsor. Project sponsors are responsible for entering their own STA projects into the TIP.

17. COMPLIANCE WITH FEDERAL REQUIREMENTS.

- a. Lifeline Program Administrator Responsibilities. For the selection of projects to be funded with FTA Section 5307 funds, in accordance with federal Title VI requirements, Lifeline Program Administrators must distribute the FTA funds without regard to race, color, and national origin, and must assure that minority populations are not being denied the benefits of or excluded from participation in the program. Lifeline Program Administrators shall develop the program of projects or competitive selection process to ensure the equitable distribution of FTA Section 5307 funds to project sponsors that serve predominantly minority populations. Equitable distribution can be achieved by engaging in outreach to diverse stakeholders regarding the availability of funds, and ensuring the competitive process is not itself a barrier to selection of applicants that serve predominantly minority populations.
- b. Project Sponsor Responsibilities. FTA Section 5307 applicants should be prepared to abide by all applicable federal requirements as specified in 49 U.S.C. Section 5307; FTA Circulars C 9030.1E, 4702.1B and 4703.1; the most current FTA Master Agreement; and the most current Certifications and Assurances for FTA Assistance Programs.

FTA Section 5307 direct recipients will be responsible for adhering to FTA requirements through their agreements and grants with FTA directly and for ensuring that all sub recipients and third-party contractors comply with FTA requirements.

18. TIMELINE. The anticipated timeline for Cycle 5 is as follows:

<b>Program</b>	<b>Action</b>	<b>Anticipated Date*</b>
All	Commission approves Cycle 5 Program Guidelines	January 24, 2018
All	MTC issues guidelines to counties	January 31, 2018
5307 & STA	CMA Board-approved** programs due to MTC from CMAs	May 31, 2018
5307	Project sponsors submit TIP amendments	June 2018***
<b>All</b>	<b>MTC Commission approval of Program of Projects</b>	<b>July 2018</b>
STA	Operators can file claims for Lifeline Cycle 5 STA funds	After July Commission Approval
5307	Deadline for transit operators (FTA grantees) to submit FTA grants for FY17 and FY18 funds	Submit grants once TIP Amendment is federally approved

\* Dates subject to change depending on State and Federal deadlines and availability of funds.

\*\* CMA Board approval and concurrence may be pending at the time of deadline.

\*\*\* Due date for final 2017 TIP amendment tentatively scheduled for mid-June 2018, subject to change. If projects are not included in final 2017 TIP amendment, the projects can be submitted via FMS for initial 2019 TIP in late 2018.



**Appendix 1  
Lifeline Transportation Program Cycle 5  
Funding Source Information**

	State Transit Assistance (STA)	FTA Section 5307
Purpose of Fund Source	<b>To improve existing public transportation services and encourage regional transportation coordination</b>	<b>To support the continuation and expansion of public transportation services in the United States</b>
Detailed Guidelines	<a href="http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf">http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf</a>	<a href="https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf">https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf</a>
Use of Funds	For public transportation purposes including community transit services	For the Lifeline Transportation Program, the use of FTA Section 5307 funds is restricted solely to Job Access and Reverse Commute-type projects that support the development and maintenance of transportation services designed to transport welfare recipients and eligible low income individuals to and from jobs and activities related to their employment
Eligible Recipients	<ul style="list-style-type: none"> <li>▪ Transit operators</li> <li>▪ Consolidated Transportation Service Agencies (CTSAs)</li> <li>▪ Cities and Counties if eligible to claim TDA Article 4, 4.5 or 8 funds</li> </ul>	<ul style="list-style-type: none"> <li>▪ Transit operators that are FTA grantees</li> </ul>
Eligible Sub recipients ( <b>must partner with an eligible recipient that will serve as a pass-through agency</b> )	<ul style="list-style-type: none"> <li>▪ Private non-profit organizations</li> <li>▪ Cities and counties that are not eligible to claim TDA Article 4, 4.5 or 8 funds</li> </ul>	<ul style="list-style-type: none"> <li>▪ Private non-profit organizations</li> <li>▪ Public agencies that are not FTA grantees (e.g., cities, counties)</li> </ul>

	State Transit Assistance (STA)	FTA Section 5307
Eligible Projects	<p><b><u>Transit Capital and Operations, including:</u></b></p> <ul style="list-style-type: none"> <li>▪ New, continued or expanded fixed-route service</li> <li>▪ Purchase of vehicles</li> <li>▪ Shuttle service if available for use by the general public</li> <li>▪ Purchase of technology (e.g., GPS, other ITS applications)</li> <li>▪ Capital projects such as bus stop improvements, including bus benches, shelters, etc.</li> <li>▪ Various elements of mobility management, if consistent with STA program purpose and allowable use. These may include planning, coordinating, capital or operating activities.</li> </ul>	<p><u>New and existing services.</u> Eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or a “maintenance project” (see Section 7.c.(2) of these guidelines for details regarding “development” and “maintenance” projects).</p> <p><u>Capital and Operating projects.</u> Projects that comply with the requirements above may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>▪ Late-night &amp; weekend service;</li> <li>▪ Guaranteed ride home service;</li> <li>▪ Shuttle service;</li> <li>▪ Expanding fixed route public transit routes, including hours of service or coverage;</li> <li>▪ Demand-responsive van service;</li> <li>▪ Ridesharing and carpooling activities;</li> <li>▪ Transit-related aspects of bicycling;</li> <li>▪ Administration and expenses for voucher programs;</li> <li>▪ Local car loan programs;</li> <li>▪ Intelligent Transportation Systems (ITS);</li> <li>▪ Marketing; and</li> <li>▪ Mobility management.</li> </ul> <p>See FTA C 9030.1E, Chapter IV, Section 5307 for details regarding eligible projects.</p>

	State Transit Assistance (STA)	FTA Section 5307
Lifeline Program Local Match	20%	<ul style="list-style-type: none"> <li>▪ 50% for operating projects (may use STA funds to cover up to 30% if project is eligible for <b>both</b> JARC and STA)</li> <li>▪ 50% for auto projects</li> <li>▪ 20% for planning and capital projects</li> </ul>
Estimated timing for availability of funds to project sponsor	<p>Transit operators, CTSA's and eligible cities and counties can initiate claims for FY17 and FY18 funds immediately following MTC approval of program of projects.</p> <p>For sub recipients, the eligible recipient acting as fiscal agent will likely initiate a funding agreement following MTC approval of program of projects. Funds will be available on a reimbursement basis after execution of the agreement.</p>	<p>Following MTC approval of the program of projects, project sponsor will submit project in FMS for inclusion in the TIP. Following Federal TIP approval, FTA grantees must submit FTA grants.</p> <p>FTA grantees can begin their projects after the funds are obligated in an FTA grant. For sub recipients, the FTA grantee acting as fiscal agent will likely initiate a funding agreement following FTA grant award. Funds will be available on a reimbursement basis after execution of the agreement.</p>
Accountability & Reporting Requirements	<p>Transit operators and eligible cities and counties must submit annual performance (i.e., ridership) statistics for the project, first to Lifeline Program Administrators for review, and then to MTC along with annual claim.</p> <p>Depending on the arrangement with the pass-through agency, sub recipients will likely submit quarterly performance reports with invoices, first to the pass-through agency for reimbursement, and then to Lifeline Program Administrators for review.</p>	<p>FTA grantees are responsible for following all applicable federal requirements for preparing and maintaining their Section 5307 grants. MTC and/or the Lifeline Program Administrators may request copies of FTA grantees' quarterly Section 5307 grant reports to FTA.</p> <p>Depending on the arrangement with the pass-through agency, sub recipients will likely submit quarterly performance reports with invoices, first to Lifeline Program Administrators for review, and then to the pass-through agency for reimbursement. Sub recipients will also submit Title VI reports annually to the pass-through agency.</p>

**Note:** Information on this chart is accurate as of January 2018. MTC will strive to make Lifeline Program Administrators aware of any changes to fund source guidelines that may be enacted by the appropriating agencies (i.e. State of California, Federal Transit Administration).

## **Appendix 2 Lifeline Transportation Program Cycle 5 Standard Evaluation Criteria**

The following standard evaluation criteria are intended to provide consistent guidance to each county in prioritizing and selecting projects to receive Lifeline Transportation Program funds. Each county, in consultation with other stakeholder representatives on the selection committee, will consider these criteria when selecting projects, and establish the weight to be assigned to each of the criterion. Additional criteria may be added to a county program but should not replace or supplant the regional criteria. MTC staff will review the proposed county program criteria to ensure consistency and to facilitate coordination among county programs.

- a. Project Need/Goals and Objectives:** Applicants should describe the unmet transportation need or gap that the proposed project seeks to address and the relevant planning effort that documents the need. Describe how project activities will mitigate the transportation need. Capital or operations projects (sponsored by public transit operators or in partnership with non-profits or cities) that support and augment but are not traditional fixed route projects may be given extra points under this criteria. Project application should clearly state the overall program goals and objectives, and demonstrate how the project is consistent with the goals of the Lifeline Transportation Program.
  
- b. Community-Identified Priority:** Priority should be given to projects that directly address transportation gaps and/or barriers identified through a Community-Based Transportation Plan (CBTP) or other substantive local planning effort involving focused inclusive engagement to low-income populations. Applicants should identify the CBTP or other substantive local planning effort, as well as the priority given to the project in the plan.

Other projects may also be considered, such as those that address transportation needs identified in countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan, or other documented assessment of needs within designated communities of concern. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. A map of communities of concern (CoC) is included in the Equity Analysis Report for Plan Bay Area 2040, is available at: [http://2040.planbayarea.org/sites/default/files/2017-07/Equity\\_Report\\_PBA%202040%20\\_7-2017.pdf](http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%20_7-2017.pdf)

- c. Implementation Plan and Project Management Capacity:** For projects seeking funds to support program operations, applicants must provide a well-defined service operations plan, and describe implementation steps and timelines for carrying out the plan.

For projects seeking funds for capital purposes, applicants must provide an implementation plan, milestones and timelines for completing the project.

Priority should be given to projects that are ready to be implemented in the timeframe that the funding is available.

Project sponsors should describe and provide evidence of their organization's ability to provide and manage the proposed project, including experience providing services for low-income persons, and experience as a recipient of state or federal transportation funds. For continuation projects that have previously received Lifeline funding, project sponsor should describe project progress and outcomes.

- d. Coordination and Program Outreach:** Proposed projects will be evaluated based on their ability to coordinate with other community transportation and/or social service resources. Applicants should clearly identify project stakeholders, and how they will keep stakeholders involved and informed throughout the project. Applicants should also describe how the project will be marketed and promoted to the public.
- e. Cost-Effectiveness and Performance Indicators:** The project will be evaluated based on the applicant's ability to demonstrate that the project is the most appropriate way in which to address the identified transportation need, and is a cost-effective approach. Applicants must also identify clear, measurable outcome-based performance measures to track the effectiveness of the service in meeting the identified goals. A plan should be provided for ongoing monitoring and evaluation of the service, as well as steps to be taken if original goals are not achieved.
- f. Project Budget/Sustainability:** Applicants must submit a clearly defined project budget, indicating anticipated project expenditures and revenues, including documentation of matching funds. Proposals should address long-term efforts and identify potential funding sources for sustaining the project beyond the grant period.

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**Attachment A – Lifeline Transportation Program  
Cycle 5 Funding  
FY2016-17 through FY2017-18**

<b>Fund Source</b>	<b>FY2017</b>	<b>FY2018</b>	<b>Total</b>
STA <sup>1</sup>	\$ 7,293,727	\$ 8,260,121	\$ 15,553,848
5307 <sup>2</sup>	\$ 3,368,200	\$ 3,437,064	\$ 6,805,264
<b>Total</b>	<b>\$ 10,661,927</b>	<b>\$ 11,697,185</b>	<b>\$ 22,359,112</b>

Notes:

(1) FY2017 & FY2018 total STA revenue generation amounts are consistent with those in the most recent MTC Fund Estimate (MTC Resolution No. 4268 - 11/15/2017). Due to lower than expected revenue in Lifeline Cycle 4 FY 2016, funds in FY 2017 are being used to complete Cycle 4. The remaining FY 2017 funds and all FY 2018 funds are available for Lifeline Cycle 5.

(2) The FY2017 FTA Section 5307 amount is based on programming in the Transit Capital Priorities Program (Res. 4272). The FY2018 Section 5307 amount is preliminary, based on proposed programming being presented in January 2018.

**Attachment B – Estimated STA & 5307 Funding Targets by County**

County & Share of Regional Low Income Population <sup>(1)</sup>	FY2017		FY2018		Total <i>Estimate</i>	Two-Year Total by Fund Source		
	STA <sup>(2)</sup>	5307	STA	5307		STA <sup>(3)</sup>	5307 <sup>(4)</sup>	
	<i>Actual</i>	<i>Actual</i>	<i>Estimate</i>	<i>Estimate</i>		<i>Estimate</i>	<i>Estimate</i>	
Alameda	23.1%	1,682,720	749,748	1,674,967	765,077	4,872,512	3,357,687	1,514,825
Contra Costa	14.7%	1,075,640	479,259	1,070,684	489,057	3,114,639	2,146,323	968,316
Marin	2.7%	193,466	86,200	192,575	87,963	560,204	386,041	174,163
Napa	2.1%	152,057	74,438	151,356	75,960	453,811	303,413	150,398
San Francisco	12.2%	890,405	396,726	886,302	404,837	2,578,270	1,776,707	801,563
San Mateo	8.4%	612,417	272,866	609,595	278,445	1,773,323	1,222,012	551,311
Santa Clara	22.5%	1,640,147	782,739	1,632,590	798,743	4,854,220	3,272,738	1,581,482
Solano	6.6%	484,079	316,785	481,849	323,261	1,605,975	965,929	640,046
Sonoma	7.7%	562,796	209,439	560,203	213,721	1,546,159	1,122,999	423,160
Participatory Budgeting Pilot		-	-	1,000,000	-	1,000,000	1,000,000	-
<b>Total</b>	<b>100.0%</b>	<b>7,293,727</b>	<b>3,368,200</b>	<b>8,260,121</b>	<b>3,437,064</b>	<b>22,359,112</b>	<b>15,553,848</b>	<b>6,805,264</b>

County & Share of Regional Low Income Population <sup>1</sup>	95% STA Programming Targets <sup>(5)</sup>			
	FY 2017 (100%)	FY 2018 (95%)	Total	
	Actual	Estimate	Estimate	
Alameda	23.1%	1,682,720	1,591,218	3,273,938
Contra Costa	14.7%	1,075,640	1,017,149	2,092,789
Marin	2.7%	193,466	182,946	376,412
Napa	2.1%	152,057	143,789	295,846
San Francisco	12.2%	890,405	841,987	1,732,392
San Mateo	8.4%	612,417	579,115	1,191,532
Santa Clara	22.5%	1,640,147	1,550,961	3,191,108
Solano	6.6%	484,079	457,757	941,836
Sonoma	7.7%	562,796	532,193	1,094,989
Participatory Budgeting Pilot		0	1,000,000	1,000,000
<b>Total</b>	<b>100.0%</b>	<b>7,293,727</b>	<b>7,897,115</b>	<b>15,190,842</b>

- (1) Note that the “Share of Regional Low Income Population” percentages reflect the most recent population data from the 2015 American Community Survey, as is proposed in the Lifeline Cycle 5 program guidelines.
- (2) State Transit Assistance FY 15-16 revenues were lower than anticipated (based on the LTP Cycle 4 STA program, the 5% contingency programming remains unfunded), resulting in a funding shortfall in Cycle 4. To keep the cycle 4 program whole, the shortfall amount (funding gap) is being filled from FY 16-17 STA revenues. The amount listed in FY 16-17 is the amount available after accounting for the shortfall.
- (3) State Transit Assistance revenue generation amounts are consistent with those in the most recent Fund Estimate (MTC Resolution No. 4268, 11/15/2017).
- (4) The FY2017 FTA Section 5307 amount based on programming in the Transit Capital Priorities Program (Res. 4272). The FY2018 Section 5307 amount is preliminary, based on proposed programming being presented in January 2018.
- (5) Only FY2018 is subject to the 5% Lifeline Transportation Program contingency policy since it is an estimate. The FY2017 STA funding represents actual revenues and will be distributed at 100%. The \$1 million set aside for the Participatory Budgeting Pilot projects is not subject to the 95% contingency rule.



### Cycle 5 Lifeline Program: Proposed Evaluation Criteria and Weighting

<b>Lifeline Cycle 5 Evaluation Criteria and Weighting <sup>1</sup></b>	
<b>MTC Standard Criteria:</b>	<b>Alameda CTC Weight</b>
Project need/goals and objectives	30%
Community-identified priority	10%
Implementation plan and project management capacity	10%
Project budget/sustainability	10%
Cost-effectiveness and performance indicators	10%
Coordination and program outreach	5%
<b>Sub-total MTC Criteria</b>	<b>75%</b>
<b>Alameda CTC Additional Criteria:</b>	<b>Alameda CTC Weight</b>
Project Demand	10%
Project Readiness	10%
Matching funds above minimum required	5%
<b>Sub-total Alameda CTC Criteria</b>	<b>25%</b>
<b>Grand Total</b>	<b>100%</b>

**Notes:**

1. The proposed Cycle 5 criteria and weighting are unchanged from Cycle 4.

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**Proposed Alameda CTC Schedule for Cycle 5 Lifeline Program**

<b>Programming Activities</b>	<b>Date</b>
MTC approves Lifeline Cycle 5 Guidelines and Fund Estimate	January 24, 2018
MTC Lifeline Cycle 5 to Alameda CTC Committees and Commission <i>(Guidelines, fund estimate, schedule, scoring criteria and weighting)</i>	February 8, 12 & 22, 2018
<b>Alameda CTC to release Lifeline Cycle 5 call for projects</b>	<b>February 23, 2018</b>
<b>Applications due to Alameda CTC</b>	<b>March 23, 2018</b>
Summary of applications received to ACTAC	April 5, 2018
Project Evaluation/Scoring	April 5 – 30, 2018
<b>Cycle 5 program recommendation to ACTAC, PPC and Commission</b> <i>(To be incorporated into 2018 CIP Update item)</i>	<b>May 10, 14 &amp; 24, 2018</b>
<b>Project resolutions of local support due to Alameda CTC</b>	<b>May 31, 2018</b>
<b>Alameda CTC approved program of projects due to MTC</b>	<b>May 31, 2018</b>
MTC's approval of regional Cycle 5 Program	July 25, 2018

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# Memorandum

6.11

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PH: (510) 208-7400

www.AlamedaCTC.org

**DATE:** February 15, 2018

**TO:** Alameda County Transportation Commission Board Members

**FROM:** Vivek Bhat, Director of Programming and Project Controls  
Jacki Taylor, Senior Program Analyst

**SUBJECT:** Transportation Fund for Clean Air (TFCA) FY 2018-19 Policies and Expenditure Plan Application

## Recommendation

Approve Resolution 18-002 regarding the TFCA County Program Manager (CPM) FY 2018-19 Expenditure Plan Application, due to the Air District by March 5, 2018.

## Summary

As the TFCA County Program Manager (CPM) for Alameda County, the Alameda CTC is required to program the TFCA revenue received from the Bay Area Air Quality Management District (Air District) and annually review the Air District's TFCA CPM policies and revenue at a public meeting. It is recommended the Commission approve Resolution 18-002 (Attachment A), regarding the fiscal year (FY) 2018-19 TFCA CPM Expenditure Plan Application (Attachment B) and its submittal to the Air District. The FY 2018-19 TFCA Expenditure Plan Application identifies approximately \$2.28 million of funding available for projects and is due to the Air District by March 5, 2018, prior to a detailed program of projects.

## Background

TFCA funding is generated by a four dollar vehicle registration fee collected by the Air District. Projects eligible for TFCA funding are to result in the reduction of motor vehicle emissions and achieve "surplus" emission reductions beyond what is currently required through regulations, ordinances, contracts, or other legally binding obligations. Projects typically funded with TFCA include shuttles, bicycle lanes and lockers, transit signal priority, signal timing and travel demand management (TDM) programs. As the TFCA County Program Manager (CPM) for Alameda County, the Alameda CTC is responsible for programming 40 percent of the four dollar vehicle registration fee that is collected in Alameda County for this program. A total of 6.25% percent of new revenue is set aside for the Alameda CTC's administration of the program. Per the distribution formula for

Alameda County's TFCA funding, 70 percent of the available funds are to be allocated to the cities/county based on population, with a minimum of \$10,000 to each jurisdiction. The remaining 30 percent of funds are to be allocated to transit-related projects on a discretionary basis. A jurisdiction's projected future share may be borrowed against in order for a project to receive more funds in the current year, which can help facilitate the required annual programming of all available funds.

For reference, a draft FY 2018-19 TFCA fund estimate, which reflects the funding identified in the FY 2018-19 Expenditure Plan Application, is included as Attachment C. Projects proposed for TFCA funding are to be consistent with the Air District's FY 2018-19 TFCA CPM Fund Policies (Attachment D) and cost-effectiveness requirements. For FY 2018-19, no substantive changes were made to the CPM Fund Policies and the TFCA eligibility and cost-effectiveness thresholds remain unchanged from last year.

**FY 2018-19 Revenue**

The FY 2018-19 TFCA Expenditure Plan Application establishes the amount of TFCA funds available for programming to projects and program administration and is based on the Air District's Department of Motor Vehicles (DMV) revenue estimates for the same period. Additionally, previously programmed TFCA funds remaining from closed (i.e., cancelled or completed) projects are returned to the Alameda CTC's fund estimate for reprogramming. These are detailed on the second page of the Expenditure Plan Application. Returned funds that were initially programmed from the 70 percent cities/county portion of the fund estimate are credited back to the project sponsor's share. As summarized below, the estimated total amount available for projects is the sum of the new allocation (projected revenue), returned funds to reprogram, and earned interest, less 6.25 percent of the new allocation, which is reserved for the Alameda CTC's administration of the TFCA program.

Estimated new allocation for FY 2018-19:	\$1,955,286
Earned interest for calendar year 2017:	\$45,333
<u>Funds to reprogram, as of 10/31/17:</u>	<u>\$400,426</u>
Total FY 2018-19 TFCA funding available:	\$2,401,045
Less 6.25% of new allocation for TFCA administration:	- \$112,205
<b>Total FY 2018-19 TFCA funding for projects:</b>	<b>\$2,278,840</b>

**FY 2018-19 Program Development**

The Air District's TFCA CPM Policies requires the revenue received annually from the Air District to be fully programmed on an annual basis. Any unprogrammed balance remaining after the Air District's annual programming deadline may be redirected by the Air District to other projects in the region. The programming of TFCA funding has been incorporated into the Alameda CTC's biennial Comprehensive Investment Plan (CIP)

process. The 2018 CIP Fund Estimate included \$4 million from TFCA which represented 2 years of TFCA revenue. Through the 2018 CIP evaluation process only one year's worth of projects eligible for TFCA funding could be identified. Staff is currently working with the Alameda County Technical Advisory Committee (ACTAC) to identify candidate projects for the FY 2018-19 funding. The draft FY 2018-19 TFCA fund estimate has been distributed to ACTAC representatives along with a request to propose candidate projects and provide project information by the end of March 2018. Staff will evaluate the proposed projects for TFCA cost-effectiveness and include a recommended FY 2018-19 TFCA program in the 2018 CIP Update, scheduled for consideration by the Commission in May 2018.

The Air District requires an approved program of TFCA projects to be submitted no later than 6 months from the date the Air District Board approves the annual county expenditure plan applications. The Air District's approval of the FY 2018-19 expenditure plans is tentatively scheduled for May 2018 which means a complete FY 2018-19 program of projects is estimated to be due no later than November 2018.

### **Next Steps**

The Alameda CTC FY 2018-19 TFCA Expenditure Plan Application is to be signed by the Executive Director and is due to the Air District by March 5, 2018. Updated TFCA program guidelines, including the attached Air District FY 2018-19 TFCA Policies, will be incorporated into the Alameda CTC's 2018 CIP Update, along with the FY 2018-19 fund estimate and funding recommendations.

**Fiscal Impact:** This recommended action has no significant fiscal impact. TFCA funding is made available by the Air District and will be included in the Alameda CTC's FY 2018-19 budget.

### **Attachments**

- A. Alameda CTC Resolution 18-002
- B. Alameda CTC FY 2018-19 TFCA Expenditure Plan Application
- C. Alameda CTC Draft FY 2018-19 TFCA Fund Estimate
- D. Air District's FY 2018-19 TFCA County Program Manager Fund Policies

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ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION 18-002

Commission Chair
Supervisor Richard Valle, District 2

Commission Vice Chair
Mayor Pauline Cutter,
City of San Leandro

AC Transit
Board President Elsa Ortiz

Alameda County
Supervisor Scott Haggerty, District 1
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Supervisor Keith Carson, District 5

BART
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City of Dublin
Mayor David Haubert

City of Emeryville
Mayor John Bauters

City of Fremont
Mayor Lily Mei

City of Hayward
Mayor Barbara Halliday

City of Livermore
Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Councilmember At-Large
Rebecca Kaplan
Councilmember Dan Kalb

City of Piedmont
Acting Mayor Jeff Wieler

City of Pleasanton
Mayor Jerry Thorne

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

WHEREAS, as of July 2010, the Alameda County Transportation Commission ("Alameda CTC") was designated as the overall Program Manager for the Transportation Fund for Clean Air ("TFCA") County Program Manager Fund for Alameda County;

WHEREAS, the TFCA Program requires the Program Manager to submit an Expenditure Plan Application for FY 2018-19 TFCA funding to the Bay Area Air Quality Management District ("Air District") by March 5, 2018.

NOW, THEREFORE BE IT RESOLVED, that the Alameda CTC Commission will program an estimated \$2,278,840 to projects, consistent with the attached FY 2018-19 TFCA County Program Manager Fund Expenditure Plan Application;

BE IT FURTHER RESOLVED, the Alameda CTC Commission will approve a program of projects within six months of the Air District's approval of the FY2018-19 Expenditure Plan Application; and

BE IT FURTHER RESOLVED, the Alameda CTC Commission authorizes the Executive Director to execute any necessary fund transfer agreements related to this funding with the Air District and project sponsors.

DULY PASSED AND ADOPTED by the Alameda CTC at the regular Commission meeting held on Thursday, February 22, 2018 in Oakland, California, by the following vote:

AYES: NOES: ABSTAIN: ABSENT:

SIGNED:

ATTEST:

\_\_\_\_\_

\_\_\_\_\_

Richard Valle
Chair, Alameda CTC

Vanessa Lee
Clerk of the Commission

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## SUMMARY INFORMATION

County Program Manager Agency Name: Alameda County Transportation Commission

Address: 1111 Broadway, Suite 800, Oakland, CA 94607

### PART A: NEW TFCA FUNDS

- |   |                |                           |
|---|----------------|---------------------------|
| 1. Estimated FYE 2019 DMV revenues (based on projected CY2017 revenues):            | Line 1:        | <u>\$1,971,100</u>        |
| 2. Difference between prior-year estimate and actual revenue:                       | Line 2:        | <u>-\$15,814</u>          |
| a. Actual FYE 2017 DMV revenues (based on CY2016):                                  |                | <u>\$1,962,803.08</u>     |
| b. Estimated FYE 2017 DMV revenues:   |                | <u>\$1,978,617.00</u>     |
| <i>('a' minus 'b' equals Line 2.)</i>   |                |                           |
| 3. Estimated New Allocation for projects and administration (Sum of Lines 1 and 2): | <b>Line 3:</b> | <u><b>\$1,955,286</b></u> |

### PART B: INTEREST FOR PROGRAMMING AND TFCA FUNDS AVAILABLE FOR REPROGRAMMING

- |  |                |                         |
|--|----------------|-------------------------|
| 4. Total available for programming/reprogramming to other projects.  | <b>Line 4:</b> | <u><b>\$445,759</b></u> |
| a. Amount available from previously funded projects:   |                | <u>\$400,426.06</u>     |
| <i>(Note: Reprogrammed funds originating from pre-2006 projects are not subject to the six-month allocation deadline.)</i> |                |                         |
| b. Interest income earned on TFCA funds in CY 2017:  |                | <u>\$45,333.26</u>      |
| <i>('a' plus 'b' equals Line 4.)</i>   |                |                         |

### PART C: TOTAL AVAILABLE TFCA FUNDS

- |   |                |                           |
|---|----------------|---------------------------|
| 5. Total Available TFCA Funds (Sum of Lines 3 and 4)              | <b>Line 5:</b> | <u><b>\$2,401,045</b></u> |
| a. Estimated TFCA funds budgeted for administration: <sup>1</sup> |                | <u>\$122,205.38</u>       |
| <i>(Note: This amount may not exceed 6.25% of Line 3.)</i>        |                |                           |
| b. Estimated Total TFCA funds available for projects              |                | <u>\$2,278,839.95</u>     |
| <i>(Line 5 minus Line 5.a.)</i>                                   |                |                           |

I certify that, to the best of my knowledge, the information contained in this application is complete and accurate.

Executive Director Signature: \_\_\_\_\_

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

<sup>1</sup> The "Estimated TFCA funds budgeted for administration" amount is listed for informational purposes only. Per California Health and Safety Code Section 44233, County Program Managers must limit their administrative costs to no more than 6.25% of the actual total revenue received from the Air District.



Alameda CTC TFCA County Program Manager Fund: FY 2018-19 Draft Fund Estimate

Agency	Population (Estimate <sup>1</sup> )	% Population	Total % of Funding	TFCA Funds Available (new this FY)	Balance from Previous FY	Programmed Last Cycle	Returned Funds from Closed Projects	Rollover (Debits/Credits)	TFCA Balance (New + Rollover)
Alameda	79,928	4.86%	4.85%	\$ 63,950	\$ (126,259)	\$ -	\$ 5,046	\$ (121,213)	\$ (57,263)
Alameda County	150,892	9.17%	9.16%	\$ 120,727	\$ 467,626	\$ -	\$ 9,666	\$ 477,291	\$ 598,019
Albany	18,988	1.15%	1.15%	\$ 15,192	\$ (174,637)	\$ -	\$ 124,222	\$ (50,414)	\$ (35,222)
Berkeley	121,238	7.37%	7.36%	\$ 97,001	\$ 91,063	\$ 180,000	\$ 7,821	\$ (81,116)	\$ 15,886
Dublin	59,686	3.63%	3.62%	\$ 47,754	\$ 129,221	\$ -	\$ 3,677	\$ 132,898	\$ 180,652
Emeryville	11,854	0.72%	0.76%	\$ 10,000	\$ 76,316	\$ 180,000	\$ 696	\$ (102,988)	\$ (92,988)
Fremont	231,664	14.08%	14.06%	\$ 185,352	\$ 295,261	\$ 646,000	\$ 14,918	\$ (335,821)	\$ (150,469)
Hayward	161,040	9.79%	9.78%	\$ 128,847	\$ (134,689)	\$ -	\$ 10,068	\$ (124,622)	\$ 4,225
Livermore	89,648	5.45%	5.44%	\$ 71,727	\$ 650,681	\$ 193,000	\$ 5,662	\$ 463,343	\$ 535,069
Newark	45,422	2.76%	2.76%	\$ 36,342	\$ 405,367	\$ -	\$ 2,911	\$ 408,278	\$ 444,620
Oakland	426,074	25.90%	25.87%	\$ 340,898	\$ (51,824)	\$ 100,000	\$ 47,391	\$ (104,434)	\$ 236,464
Piedmont	11,283	0.69%	0.76%	\$ 10,000	\$ 93,509	\$ -	\$ 732	\$ 94,241	\$ 104,241
Pleasanton	75,916	4.61%	4.61%	\$ 60,740	\$ (92,454)	\$ 65,000	\$ 4,929	\$ (152,526)	\$ (91,786)
San Leandro	88,274	5.37%	5.36%	\$ 70,627	\$ 239,452	\$ 130,000	\$ 109,824	\$ 219,276	\$ 289,903
Union City	73,452	4.46%	4.46%	\$ 58,768	\$ 409,130	\$ 136,000	\$ 4,790	\$ 277,920	\$ 336,689
<b>TOTAL 70% Cities/County:</b>	<b>1,645,359</b>	<b>100%</b>	<b>100%</b>	<b>\$ 1,317,925</b>	<b>\$ 2,277,761</b>	<b>\$ 1,630,000</b>	<b>\$ 352,353</b>	<b>\$ 1,000,115</b>	<b>\$ 2,318,040</b>

FY 2018-19 TFCA New Revenue	\$ 1,955,286	(from FY 2018-19 Expenditure Plan)
Less 6.25% for Program Administration	\$ (122,205)	
Subtotal New Programming Capacity	\$ 1,833,081	
FY 2015/16 Program Administration Balance	\$ 4,337	
Calendar Year 2017 Interest Earned	\$ 45,333	
<b>Total New Programming Capacity</b>	<b>\$ 1,882,750</b>	

	Totals	Cities/County (Shares) 70%	Transit (Discretionary) 30%
Total New Programming Capacity	\$ 1,882,750	\$ 1,317,925	\$ 564,825
Returned Funds from Closed Projects Adjustment	\$ 352,353	\$ 352,353	\$ -
FY 2017-18 Rollover (debit/credit) Adjustment	\$ 43,736	\$ 647,762	\$ (604,025)
Total Adjustments <sup>2</sup>	\$ 396,090	\$ 1,000,115	\$ (604,025)
<b>Adjusted Total Available to Program</b>	<b>\$ 2,278,840</b>	<b>\$ 2,318,040</b>	<b>\$ (39,200)</b>

Notes:

1. Dept. of Finance (www.dof.ca.gov) population estimates as of 1/01/2017 (released May 2017).
2. Includes TFCA programming actions and returned funds from closed projects as of 10/31/17.

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*Appendix D: Board-Adopted TFCA County Program Manager Fund Policies for FYE 2019*

**Adopted November 1, 2017**

The following Policies apply to the Bay Area Air Quality Management District’s (Air District) Transportation Fund for Clean Air (TFCA) County Program Manager Fund for fiscal year ending (FYE) 2019.

**BASIC ELIGIBILITY**

1. **Reduction of Emissions:** Only projects that result in the reduction of motor vehicle emissions within the Air District’s jurisdiction are eligible.

Projects must conform to the provisions of the California Health and Safety Code (HSC) sections 44220 et seq. and these Air District Board of Directors adopted TFCA County Program Manager Fund Policies for FYE 2019.

Projects must achieve surplus emission reductions, i.e., reductions that are beyond what is required through regulations, ordinances, contracts, and other legally binding obligations at the time of the execution of a grant agreement between the County Program Manager and the grantee. Projects must also achieve surplus emission reductions at the time of an amendment to a grant agreement if the amendment modifies the project scope or extends the project completion deadline.

2. **TFCA Cost-Effectiveness:** Projects must not exceed the maximum cost-effectiveness (C-E) limit noted in Table 1. Cost-effectiveness (\$/weighted ton) is based on the ratio of TFCA funds awarded divided by the sum of surplus emissions reduced of reactive organic gases (ROG), nitrogen oxides (NOx), and weighted PM10 (particulate matter 10 microns in diameter and smaller) over a project’s useful life. All TFCA-generated funds (e.g., reprogrammed TFCA funds) that are awarded or applied to a project must be included in the evaluation. For projects that involve more than one independent component (e.g., more than one vehicle purchased, more than one shuttle route), each component must achieve this cost-effectiveness requirement.

County Program Manager administrative costs are excluded from the calculation of a project’s TFCA cost-effectiveness.

**Table 1: Maximum Cost-Effectiveness for FYE 2019**

Policy No.	Project Category	Maximum C-E (\$/weighted ton)
22	Alternative Fuel Light-Duty Vehicles	250,000
23	Reserved	Reserved
24	Alternative Fuel Heavy-Duty Vehicles and Buses	250,000
25	On-Road Goods Movement Truck Replacements	90,000
26	Alternative Fuel Infrastructure	250,000
27	Ridesharing Projects	150,000
28.a.-h.	Shuttle/Feeder Bus Service – Existing	200,000; 250,000 for services in CARE Areas or PDAs
29	Shuttle/Feeder Bus Service - Pilot	Year 1 - 250,000 Year 2 - see Policy #28.a.-h.
29	Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs	Years 1 & 2 - 500,000 Year 3 - see Policy #28.a.-h.

30	Bicycle Projects	250,000
31	Bike Share	500,000
32	Arterial Management	175,000
33	Smart Growth/Traffic Calming	175,000

3. **Eligible Projects and Case-by-Case Approval:** Eligible projects are those that conform to the provisions of the HSC section 44241, Air District Board-adopted policies, and Air District guidance. On a case-by-case basis, County Program Managers must receive approval by the Air District for projects that are authorized by the HSC section 44241 and achieve Board-adopted TFCA cost-effectiveness but do not fully meet other Board-adopted Policies.
4. **Consistent with Existing Plans and Programs:** All projects must comply with the Transportation Control and Mobile Source Control measures included in the Air District's most recently approved strategies for achieving and maintaining State and national ozone standards, those plans and programs established pursuant to HSC sections 40233, 40717, and 40919; and, when specified, other adopted federal, State, regional, and local plans and programs.
5. **Eligible Recipients:** Grant recipients must be responsible for the implementation of the project, have the authority and capability to complete the project, and be an applicant in good standing with the Air District (Policies #8-10).
  - a. **Public agencies** are eligible to apply for all project categories.
  - b. **Non-public entities** are only eligible to apply for new alternative-fuel (light, medium, and heavy-duty) vehicle and infrastructure projects, and advanced technology demonstrations that are permitted pursuant to HSC section 44241(b)(7).
6. **Readiness:** Projects must commence by the end of calendar year 2019. For purposes of this policy, “commence” means a tangible action taken in connection with the project’s operation or implementation, for which the grantee can provide documentation of the commencement date and action performed. “Commence” can mean the issuance of a purchase order to secure project vehicles and equipment, commencement of shuttle/feeder bus and ridesharing service, or the delivery of the award letter for a construction contract.
7. **Maximum Two Years Operating Costs:** Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may be used to support up to two years of operating costs for service-based projects (e.g., ridesharing, shuttle and feeder bus service). Grant applicants that seek TFCA funds for additional years must reapply for funding in the subsequent funding cycles.

**APPLICANT IN GOOD STANDING**

8. **Independent Air District Audit Findings and Determinations:** Grantees who have failed either the fiscal audit or the performance audit for a prior TFCA-funded project awarded by either County Program Managers or the Air District are excluded from receiving an award of any TFCA funds for three (3) years from the date of the Air District’s final audit determination in accordance with HSC section 44242 or for a duration determined by the Air District Air Pollution Control Officer (APCO). Existing TFCA funds already awarded to the project sponsor will not be released until all audit recommendations and remedies have been satisfactorily implemented. A failed fiscal audit means a final audit report that includes an uncorrected audit finding that confirms an ineligible expenditure of TFCA funds. A failed performance audit means that the program or project was not implemented in accordance with the applicable Funding Agreement or grant agreement.

A failed fiscal or performance audit of the County Program Manager or its grantee may subject the County Program Manager to a reduction of future revenue in an amount equal to the amount which was inappropriately expended pursuant to the provisions of HSC section 44242(c)(3).



9. **Authorization for County Program Manager to Proceed:** Only a fully executed Funding Agreement (i.e., signed by both the Air District and the County Program Manager) constitutes the Air District's award of County Program Manager Funds. County Program Managers may incur costs (i.e., contractually obligate itself to allocate County Program Manager Funds) only after the Funding Agreement with the Air District has been executed.
10. **Maintain Appropriate Insurance:** Both the County Program Manager and each grantee must obtain and maintain general liability insurance, workers compensation insurance, and additional insurance as appropriate for specific projects, with required coverage amounts provided in Air District guidance and final amounts specified in the respective grant agreements.

#### INELIGIBLE PROJECTS

11. **Duplication:** Duplicative projects are not eligible. Projects that propose to expand and achieve additional emission reductions of existing projects are eligible (e.g., shuttle service or route expansion, previously-funded project that has completed its Project Useful Life).
12. **Planning Activities:** A grantee may not use any TFCA funds for planning related activities unless they are directly related to the implementation of a project or program that result in emission reductions.
13. **Employee Subsidies:** Projects that provide a direct or indirect financial transit or rideshare subsidy or shuttle/feeder bus service exclusively to the grantee's employees are not eligible.
14. **Cost of Developing Proposals:** Grantees may not use any TFCA funds to cover the costs of developing grant applications.

#### USE OF TFCA FUNDS

15. **Combined Funds:** Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may not be combined with TFCA Regional Funds to fund a County Program Manager Fund project. Projects that are funded by the TFCA County Program Manager Fund are not eligible for additional funding from other funding sources that claim emissions reduction credits. For example, County Program Manager-funded projects may be combined with Congestion Mitigation and Air Quality (CMAQ) funds because CMAQ does not require emissions reductions for funding eligibility.
16. **Administrative Costs:** The County Program Manager may not expend more than 6.25 percent of its County Program Manager Funds for its administrative costs. The County Program Manager's costs to prepare and execute its Funding Agreement with the Air District are eligible administrative costs. Interest earned on County Program Manager Funds shall not be included in the calculation of the administrative costs. To be eligible for reimbursement, administrative costs must be clearly identified in the expenditure plan application and in the Funding Agreement, and must be reported to the Air District.
17. **Expend Funds within Two Years:** County Program Manager Funds must be expended within two (2) years of receipt of the first transfer of funds from the Air District to the County Program Manager in the applicable fiscal year, unless a County Program Manager has made the determination based on an application for funding that the eligible project will take longer than two years to implement. Additionally, a County Program Manager may, if it finds that significant progress has been made on a project, approve no more than two one-year schedule extensions for a project. Any subsequent schedule extensions for projects can only be given on a case-by-case basis, if the Air District finds that significant progress has been made on a project, and the Funding Agreement is amended to reflect the revised schedule.
18. **Unallocated Funds:** Pursuant to HSC 44241(f), any County Program Manager Funds that are not allocated to a project within six months of the Air District Board of Directors approval of the County Program Manager's Expenditure Plan may be allocated to eligible projects by the Air District. The Air

District shall make reasonable effort to award these funds to eligible projects in the Air District within the same county from which the funds originated.

19. Reserved.

20. Reserved.

21. Reserved.

**ELIGIBLE PROJECT CATEGORIES**

**22. Alternative Fuel Light-Duty Vehicles:**

These projects are intended to accelerate the deployment of qualifying alternative fuel vehicles that operate within the Air District's jurisdiction. All of the following conditions must be met for a project to be eligible for TFCA funds:

- a. Vehicles purchased and/or leased have a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter.
- b. Vehicles are 2018 model year or newer
  - i. hybrid-electric, electric, fuel cell, and CNG/LNG vehicles that are certified by the California Air Resources Board (CARB) as meeting established super ultra-low emission vehicle (SULEV), partial zero emission vehicle (PZEV), advanced technology-partial zero emission vehicle (AT-PZEV), or zero emission vehicle (ZEV) standards; or
  - ii. electric neighborhood vehicles (NEV) as defined in the California Vehicle Code.
- c. Vehicles must be maintained and operated within the Air District's jurisdiction.
- d. The amount of TFCA funds awarded may not exceed 90% of the vehicle's cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.

Gasoline and diesel (non-hybrid) vehicles are not eligible for TFCA funds. Funds are not available for non-fuel system upgrades, such as transmission and exhaust systems, and should not be included in the cost of the project.

Grantees may request authorization of up to 50% of the TFCA Funds awarded for each vehicle to be used to pay for costs directly related to the purchase and installation of alternative fueling infrastructure and/or equipment used to power the new vehicle.

23. **Reserved.**

**24. Alternative Fuel Heavy-Duty Vehicles and Buses:**

These projects are intended to accelerate the deployment of qualifying alternative fuel vehicles that operate within the Air District's jurisdiction. All of the following conditions must be met for a project to be eligible for TFCA Funds:

- a. Vehicles purchased and/or leased either have a GVWR greater than 14,000 lbs or are classified as urban buses.
- b. Vehicles are 2018 model year or newer hybrid-electric, electric, CNG/LNG, and hydrogen fuel cell vehicles approved by the CARB.
- c. Vehicles must be maintained and operated within the Air District's jurisdiction.

- d. The amount of TFCA funds awarded may not exceed 90% of the vehicle's cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.
- e. **Scrapping Requirements:** Grantees with a fleet that includes model year 1998 or older heavy-duty diesel vehicles must scrap one model year 1998 or older heavy-duty diesel vehicle for each new vehicle purchased or leased under this grant. Costs related to the scrapping of heavy-duty vehicles are not eligible for reimbursement with TFCA funds.

TFCA funds may not be used to pay for non-fuel system upgrades such as transmission and exhaust systems.

Grantees may request authorization of up to 50% of the TFCA Funds awarded for each vehicle to be used to pay for costs directly related to the purchase and installation of alternative fueling infrastructure and/or equipment used to power the new vehicle.

Projects that seek to replace a vehicle in the same weight-class as the proposed new vehicle, may qualify for additional TFCA funding. Costs related to the scrapping and/or dismantling of the existing vehicle are not eligible for reimbursement with TFCA funds.

25. **On-Road Goods Movement Truck Replacements:** The project will replace Class 6, Class 7, or Class 8 diesel-powered trucks that have a gross vehicle weight rating (GVWR) of 19,501 lbs. or greater (per vehicle weight classification definition used by Federal Highway Administration (FHWA) with new or used trucks that have an engine certified to the 2010 CARB emissions standards or cleaner. Eligible vehicles are those that are used for goods movement as defined by CARB. The existing trucks must be registered with the California Department of Motor Vehicles (DMV) to an address within the Air District's jurisdiction, and must be scrapped after replacement.

26. **Alternative Fuel Infrastructure:**

**Eligibility:** Eligible refueling infrastructure projects include new dispensing and charging facilities, or additional equipment or upgrades and improvements that expand access to existing alternative fuel fueling/charging sites (e.g., electric vehicle, CNG, hydrogen). This includes upgrading or modifying private fueling/charging sites or stations to allow public and/or shared fleet access. TFCA funds may be used to cover the cost of equipment and installation. TFCA funds may also be used to upgrade infrastructure projects previously funded with TFCA funds as long as the equipment was maintained and has exceeded the duration of its useful life after being placed into service.

TFCA-funded infrastructure projects must be available to and accessible by the public. Equipment and infrastructure must be designed, installed, and maintained as required by the existing recognized codes and standards and as approved by the local/state authority.

TFCA funds may not be used to pay for fuel, electricity, operation, and maintenance costs.

27. **Ridesharing Projects:** Eligible ridesharing projects provide carpool, vanpool or other rideshare services. Projects that provide a direct or indirect financial transit or rideshare subsidy are also eligible under this category.

28. **Shuttle/Feeder Bus Service:**

These projects are intended to reduce single-occupancy vehicle trips by providing short-distance connections. All of the following conditions must be met for a project to be eligible for TFCA funds:

- a. The service must provide direct connections between a mass transit hub (e.g., a rail or Bus Rapid Transit (BRT) station, ferry or bus terminal or airport) and a distinct commercial or employment location.
- b. The service's schedule must be coordinated to have a timely connection with corresponding mass transit service.
- c. The service must be available for use by all members of the public.
- d. TFCA funds may be used to fund only shuttle services to locations that are under-served and lack other comparable service. For the purposes of this policy, "comparable service" means that there exists, either currently or within the last three years, a direct, timed, and publicly accessible service that brings passengers to within one-third (1/3) mile of the proposed commercial or employment location from a mass transit hub. A proposed service will not be deemed "comparable" to an existing service if the passengers' proposed travel time will be at least 15 minutes shorter and at least 33% shorter than the existing service's travel time to the proposed destination.
- e. Reserved.
- f. Grantees must be either: 1) a public transit agency or transit district that directly operates the shuttle/feeder bus service; or (2) a city, county, or any other public agency.
- g. Applicants must submit a letter of concurrence from the transit district or transit agency that provides service in the area of the proposed route, certifying that the service does not conflict with existing service.
- h. Each route must meet the cost-effectiveness requirement in Policy #2. Projects that would operate in Highly Impacted Communities or Episodic Areas as defined in the Air District Community Air Risk Evaluation (CARE) Program, or in Priority Development Areas (PDAs), may qualify for funding at a higher cost-effectiveness limit (see Policy #2).

**29. Pilot Shuttle/Feeder Bus Service Projects:**

These projects are new shuttle/feeder bus service routes that are at least 70% unique and where no other service was provided within the past three years. In addition to meeting the conditions listed in Policy #28.a.-h. for shuttle/feeder bus service, project applicants must also comply with the following application criteria and agree to comply with the project implementation requirements:

- a. Provide data and other evidence demonstrating the public's need for the service, including a demand assessment survey and letters of support from potential users. Project applicants must agree to conduct a passenger survey for each year of operation.
- b. Provide written documentation of plans for financing the service in the future;
- c. Provide a letter from the local transit agency denying service to the project's proposed service area, which includes the basis for denial of service to the proposed areas. The applicant must demonstrate that the project applicant has attempted to coordinate service with the local service provider and has provided the results of the demand assessment survey to the local transit agency. The applicant must provide the transit service provider's evaluation of the need for the shuttle service to the proposed area.
- d. Pilot projects located in Highly Impacted Communities as defined in the Air District CARE Program and/or a Planned or Potential PDA may receive a maximum of three years of TFCA Funds under the Pilot designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:

- i. During the first year and by the end of the second year of operation, projects must not exceed a cost-effectiveness of \$500,000/ton, and
  - ii. By the end of the third year of operation, projects must meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).
- e. Projects located outside of CARE areas and PDAs may receive a maximum of two years of TFCA Funds under this designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:
  - i. By the end of the first year of operation, projects shall meet a cost-effectiveness of \$250,000/ton, and
  - ii. By the end of the second year of operation, projects shall meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).

**30. Bicycle Projects:**

New bicycle facility projects or upgrades to an existing bicycle facility that are included in an adopted countywide bicycle plan, Congestion Management Program (CMP), countywide transportation plan (CTP), city plan, or the Metropolitan Transportation Commission's (MTC) Regional Bicycle Plan are eligible to receive TFCA funds. Projects that are included in an adopted city general plan or area-specific plan must specify that the purpose of the bicycle facility is to reduce motor vehicle emissions or traffic congestion. A project that proposes to upgrade an existing bicycle facility is eligible only if that project involves converting an existing Class-2 or Class-3 facility to a Class-1 or Class-4 facility.

Eligible projects are limited to the following types of bicycle facilities for public use that result in motor vehicle emission reductions:

- a. New Class-1 bicycle paths;
- b. New Class-2 bicycle lanes;
- c. New Class-3 bicycle routes;
- d. New Class-4 cycle tracks or separated bikeways;
- e. Upgraded Class-1 or Class-4 bicycle facilities;
- f. Bicycle racks, including bicycle racks on transit buses, trains, shuttle vehicles, and ferry vessels;
- g. Electronic bicycle lockers;
- h. Capital costs for attended bicycle storage facilities; and
- i. Purchase of two-wheeled or three-wheeled vehicles (self-propelled or electric), plus mounted equipment required for the intended service and helmets.
- j. Reserved.

All bicycle facility projects must, where applicable, be consistent with design standards published in the California Highway Design Manual, or conform to the provisions of the Protected Bikeway Act of 2014.

**31. Bike Share:**

Projects that make bicycles available to individuals for shared use for completing first- and last-mile trips in conjunction with regional transit and stand-alone short distance trips are eligible for TFCA funds, subject to all of the following conditions:

- a. Projects must either increase the fleet size of existing service areas or expand existing service areas to include new Bay Area communities.
- b. Projects must have a completed and approved environmental plan and a suitability study demonstrating the viability of bicycle sharing.
- c. Projects must have shared membership and/or be interoperable with the Bay Area Bike Share (BABS) project when they are placed into service, in order to streamline transit for end users by reducing the number of separate operators that would comprise bike trips. Projects that meet one or more of the following conditions are exempt from this requirement:
  - i. Projects that do not require membership or any fees for use, or
  - ii. Projects that were provided funding under MTC's Bike Share Capital Program to start a new or expand an existing bike share program; or
  - iii. Projects that attempted to coordinate with, but were refused by, the current BABS operator to have shared membership or be interoperable with BABS. Applicants must provide documentation showing proof of refusal.

Projects may be awarded FYE 2019 TFCA funds to pay for up to five years of operations.

### **32. Arterial Management:**

Arterial management grant applications must identify a specific arterial segment and define what improvement(s) will be made to affect traffic flow on the identified arterial segment. Projects that provide routine maintenance (e.g., responding to citizen complaints about malfunctioning signal equipment) are not eligible to receive TFCA funds. Incident management projects on arterials are eligible to receive TFCA funds. Transit improvement projects include, but are not limited to, bus rapid transit and transit priority projects. Signal timing projects are eligible to receive TFCA funds. Each arterial segment must meet the cost-effectiveness requirement in Policy #2.

### **33. Smart Growth/Traffic Calming:**

Physical improvements that support development projects and/or calm traffic, resulting in motor vehicle emission reductions, are eligible for TFCA funds, subject to the following conditions:

- a. The development project and the physical improvements must be identified in an approved area-specific plan, redevelopment plan, general plan, bicycle plan, pedestrian plan, traffic-calming plan, or other similar plan.
- b. The project must implement one or more transportation control measures (TCMs) in the most recently adopted Air District plan for State and national ambient air quality standards. Pedestrian projects are eligible to receive TFCA funds.
- c. The project must have a completed and approved environmental plan. If a project is exempt from preparing an environmental plan as determined by the public agency or lead agency, then that project has met this requirement.

Traffic calming projects are limited to physical improvements that reduce vehicular speed by designing and improving safety conditions for pedestrians, bicyclists or transit riders in residential retail, and employment areas.

## *Appendix E: Glossary of Terms*

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The following is a glossary of terms found in the TFCA County Program Policies:

**Environmental plan** - A completed and approved plan to mitigate environmental impacts as required by the result of the review process of all applicable local, state, and federal environmental reviews (e.g., CEQA, NEPA). For the purpose of the County Program Manager Fund, projects requiring a completed and approved environmental plan must complete all required environmental review processes. Any project that is exempt from preparing an environmental plan, as determined by an environmental review process, has met the requirement of having a completed and approved environmental plan.

**Final audit determination** - The determination by the Air District of a County Program Manager or grantee's TFCA program or project, following completion of all procedural steps set forth in HSC section 44242(a) – (c).

**Funding Agreement** - The agreement executed by and between the Air District and the County Program Manager for the allocation of TFCA County Program Manager Funds for the respective fiscal year.

**Grant Agreement** - The agreement executed by and between the County Program Manager and a grantee.

**Grantee** - Recipient of an award of TFCA Funds from the County Program Manager to carry out a TFCA project and who executes a grant agreement with the County Program Manager to implement that project. A grantee is also known as a project sponsor.

**Project Useful Life** (see *Years Effectiveness*)

**TFCA funds** - Grantee's allocation of funds, or grant, pursuant to an executed grant agreement awarded pursuant to the County Program Manager Fund Funding Agreement.

**TFCA-generated funds** - The Transportation Fund for Clean Air (TFCA) program funds generated by the \$4 surcharge on motor vehicle registration fees that are allocated through the Regional Fund and the County Program Manager Fund.

**Weighted PM10** - Weighted particulate matter less than 10 microns in diameter (PM10) is calculated by multiplying the tailpipe PM emissions by a factor of 20, which is consistent with CARB methodology for estimating PM10 emissions for the Carl Moyer Program.

**Years Effectiveness** - Equivalent to the administrative period of the grant and used in calculating a project's Cost Effectiveness. This is different than how long the project will physically last.

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# Memorandum

6.12

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

**DATE:** February 15, 2018

**TO:** Alameda County Transportation Commission Board Members

**FROM:** Trinity Nguyen, Director of Project Delivery

**SUBJECT:** State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project (PN 1386.000): Approval of Amendment No. 1 to Professional Services Agreement A14-0052 with AECOM Technical Services, Inc.

## Recommendation

Approve and authorize the Executive Director to execute Amendment No. 1 to Professional Services Agreement No. A14-0052 with AECOM Technical Services, Inc. (AECOM) for an additional amount of \$500,000 for a total not-to-exceed amount of \$5,140,624 to provide additional preliminary engineering services.

## Summary

The Alameda County Transportation Commission (Alameda CTC) is the project sponsor for the State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project (SR 84 Project) (PN 1386.000). The SR 84 Project is included in the 2014 Transportation Expenditure Plan (TEP No. 031) with a commitment of \$122.0 million.

The SR 84 Project proposes to widen SR 84 from two lanes to four lanes from south of Ruby Hill Drive in Livermore to I-680 in Sunol and make ramp modifications and other operational improvements to the SR 84/I-680 interchange. The improvements also include extending the I-680 Southbound Express Lane by approximately two miles to the north. Full project details are included as Attachment A. In December 2014, AECOM was selected by Alameda CTC to provide Project Approval and Environmental Document (PA&ED) Phase, including Preliminary Engineering services.

The SR 84 Project draft environmental document was released in November 2017 and approval is anticipated to be obtained by June 2018. To ensure a seamless transition into the Final Design Plans, Specifications and Estimate (PS&E) phase, Alameda CTC initiated the selection process to procure consultant services for PS&E phase services and released the request for proposals (RFP) #18-0008 in November 2017. One proposal was received and

evaluated. The proposal was determined to be both responsive and qualified to perform the required services and as a result, negotiations were initiated. Upon review of the cost proposal, there is a significant difference between Alameda CTC's independent estimate and the proposal received. It is anticipated that negotiations, if successful, will be lengthy and likely result in a significant delay in starting the PS&E phase work. To ensure the project delivery schedule commitment that was made in the Senate Bill 1 2018 Trade Corridor Enhancement Program funding application recommended by the Metropolitan Transportation Commission; and subsequently submitted to the California Transportation Commission on January 30, 2017, staff has identified discrete work products that could begin under the existing contract with AECOM on long lead right-of way items. The estimated cost is \$500,000 and would be completed within ten months.

Staff recommends that the Commission approve and authorize the Executive Director to execute Amendment No. 1 to Professional Services Agreement No. A14-0052 with AECOM for an additional amount of \$500,000 for a total not-to-exceed amount of \$5,140,624 to provide additional preliminary engineering services and to extend the agreement expiration to December 31, 2018.

## **Background**

Beginning with Alameda County's first local transportation sales tax measure authorized in 1986, and through the current measure passed in 2014, Alameda County voters have supported funding to bring SR 84 to expressway standards from I-580 to I-680. The SR 84 Project is the final piece of this corridor plan and within the 2014 TEP (TEP No. 031), has a commitment of \$122.0 million.

The SR 84 Project scope includes widening SR 84 from a two-lane conventional highway to a four-lane expressway between south of Ruby Hill Drive and I-680, the implementation of operational improvements at the SR 84/I-680 interchange, and the extension of the existing I-680 southbound High Occupancy Vehicle (HOV)/express lane by approximately two miles to the north from its current terminus at SR 84. These improvements will eliminate a weaving conflict between traffic entering northbound I-680 from Calaveras Road and exiting northbound I-680 to northbound SR 84, which causes a peak period bottleneck on northbound I-680. The weaving conflict and existing single-lane ramp from northbound I-680 to northbound SR 84 result in higher-than-statewide average collision rates at the interchange.

The SR 84 Project is currently in the PA&ED phase. The Draft Environmental Impact Report / Environmental Assessment (DEIR/EA) was released for public review and comments in October 2017. Public meetings to discuss the DEIR/EA were held in November 2017. Approval of the Final EIR/EA is expected in June 2018.

In anticipation of the approval of the environmental document and to ensure a seamless transition into the PS&E phase, Alameda CTC initiated the selection process to procure consultant services for PS&E phase services and released RFP# 18-0008 in November 2017. One proposal was received and an independent selection panel composed of representatives from the City of Pleasanton and Alameda CTC evaluated the proposal. The

panel determined that the lone proposer, was responsive and qualified to perform the required services. Upon review of the cost proposal, there is a significant difference between Alameda CTC's independent estimate and the proposal received. It is anticipated that negotiations, if successful, will be lengthy and could result in a significant delay in starting the PS&E phase work.

On January 30, 2018, Alameda CTC's SR 84 Project Funding Application seeking \$70.9 million in construction funding from the 2018 Trade Corridor Enhancement Program authorized by Senate Bill 1 was submitted to the California Transportation Commission. Projects under consideration must identify and commit to a project delivery schedule that will meet the construction funding allocation deadline of FY 2019/2020. As a schedule risk mitigation strategy, staff has identified discrete work products that could begin on long lead right-of way items including base maps and right-of-way mapping for key parcels. This effort is anticipated to take ten months.

AECOM is a well-established local firm and its team is comprised of several Alameda CTC certified local, small local, and very small local firms. The amended work is anticipated to increase the Small Local Business Enterprise (SLBE) utilization. Table A below summarizes the contract actions related to Agreement No. A14-0052.

<b>Table A: Summary of Agreement No. A14-0052</b>			
<b>Contract Status</b>	<b>Work Description</b>	<b>Value</b>	<b>Total Contract Not-to-Exceed Value</b>
Original Professional Services Agreement with AECOM (A14-0052) May 2015	Environmental phase services	NA	\$ 4,640,624
<i>Proposed Amendment No. 1 February 2018 (This Agenda Item)</i>	Provide budget for additional preliminary engineering services and a 6-month time extension to December 30, 2018	\$ 500,000	\$ 5,140,624
<b>Total Amended Contract Not-to-Exceed Amount</b>			<b>\$ 5,140,624</b>

The proposed contract Amendment No. 1 to Professional Services Agreement No. A14-0052 with AECOM for an additional amount of \$500,000 for a total not-to-exceed amount of \$5,140,624 and a 6-month time extension to December 31, 2018 would provide additional preliminary engineering services and keep the SR 84 Project on schedule. The SR 84 Project funding plan includes sufficient budget from previously allocated Measure BB funds for this work.

**Levine Act Statement:** The AECOM Team did not report a conflict in accordance with the Levine Act.

**Fiscal Impact:** The action will authorize the encumbrance of \$500,000 in previously allocated project 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 2017-18 Capital Program Budget.

### **Attachments**

- A. State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project Fact Sheet
- B. State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project Conceptual Plan



# SR-84 Widening From South of Ruby Hill Drive to I-680 and SR-84/I-680 Interchange Improvements

## 6.12A

JANUARY 2018

### PROJECT OVERVIEW

Alameda CTC, in cooperation with the California Department of Transportation (Caltrans) and the Federal Highway Administration (FHWA), proposes to conform State Route 84 (SR-84) to expressway standards between south of Ruby Hill Drive and the Interstate 680 (I-680) interchange in southern Alameda County by:

- Widening SR-84 to accommodate one additional lane in each direction.
- Implementing additional improvements to reduce weaving/merging conflicts and help address the additional traffic demand between I-680 and SR-84.

The project would also improve SR-84/I-680 interchange operations by:

- Modifying ramps.
- Extending the existing southbound I-680 High Occupancy Vehicle/Express Lane northward by ~2 miles. Currently, the southbound express lanes extend from SR-84 south of Pleasanton to SR-237 in Milpitas.

Upon completion, this project will be the final segment in a series of improvements to widen SR-84 to expressway standards from I-680 in Sunol to I-580 in Livermore.

### PROJECT NEED

- SR-84 is congested during peak commute times.
- Congestion at the interchange affects operations of both SR-84 and I-680; projected to worsen in the future.
- Collision rates on SR-84 and the interchange are higher than the state average, and access to SR-84 from driveways and local roads is difficult.
- Undivided roadway and uncontrolled access on SR-84 do not meet expressway standards.



### PROJECT BENEFITS

- Improves regional connectivity
- Improves interregional connectivity
- Relieves congestion
- Improves safety



I-680/SR-84 interchange.



SR-84 looking eastbound near Ruby Hill Road.



SR-84 looking westbound near Ruby Hill Road.

### COST ESTIMATE BY PHASE (\$ X 1,000)

PE/Environmental	\$	7,680
Final Design	\$	16,500
Right-of-Way	\$	30,500
Construction	\$	165,320
<b>Total Expenditures</b>	<b>\$</b>	<b>220,000</b>

Note: Estimate basis in 2022 dollars.

### FUNDING SOURCES (\$ X 1,000)

Measure BB	\$	122,000
Measure B	\$	1,000
Local (TVTC) <sup>1</sup>	\$	14,940
TBD	\$	82,060
<b>Total Revenues</b>	<b>\$</b>	<b>220,000</b>

<sup>1</sup> Local funding includes the Tri-Valley Transportation Council (TVTC).

## STATUS

**Implementing Agency:** Alameda CTC

**Current Phase:** Environmental

- Preliminary environmental and engineering studies are underway.
- Environmental clearance for California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) is anticipated in June 2018. The project is pursuing an Environmental Impact Report (EIR) as part of the CEQA clearance and an Environmental Assessment (EA) document as part of the NEPA clearance.

## PARTNERS AND STAKEHOLDERS

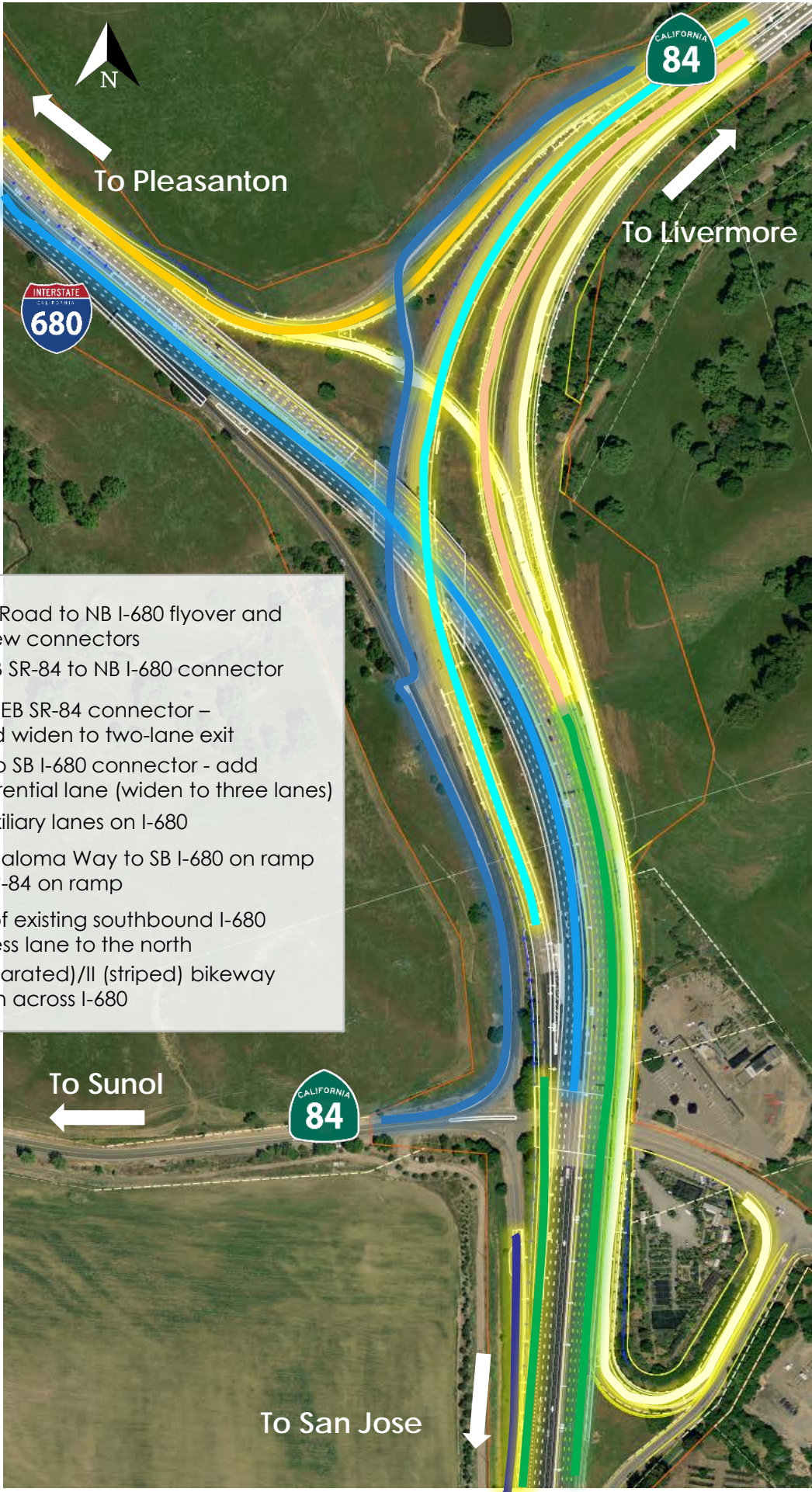
Alameda CTC, Alameda County, Caltrans, FHWA and the cities of Livermore, Pleasanton and Sunol

### SCHEDULE BY PHASE

	Begin	End
Environmental	Spring 2015	Summer 2018
Public Meetings/ Stakeholder Engagement	Spring 2015	Fall 2017
CEQA Clearance	Spring 2015	Summer 2018
NEPA Clearance	Spring 2015	Summer 2018
Final Design	Summer 2018	Summer 2020
Right-of-Way	Fall 2018	Summer 2020
Construction <sup>2</sup>	Winter 2021	Winter 2023

<sup>2</sup> Schedule subject to funding availability.

Note: Information on this fact sheet is subject to periodic updates.



- Calaveras Road to NB I-680 flyover and EB SR-84 new connectors
- Realign WB SR-84 to NB I-680 connector
- NB I-680 to EB SR-84 connector – realign and widen to two-lane exit
- WB SR-84 to SB I-680 connector - add HOV preferential lane (widen to three lanes)
- Longer auxiliary lanes on I-680
- Separate Paloma Way to SB I-680 on ramp from WB SR-84 on ramp
- Extension of existing southbound I-680 HOV/express lane to the north
- Class I (separated)/II (striped) bikeway connection across I-680

(For Discussion Purposes Only)

### State Route 84 Expressway Widening and

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# Memorandum

8.1

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• 510.208.7400

• www.AlamedaCTC.org

**DATE:** February 15, 2018

**SUBJECT:** February Legislative Update

**RECOMMENDATION:** Receive an update on federal, state, and local legislative activities and approve legislative positions.

## Summary

The February 2018 legislative update provides information on federal and state legislative activities, an update on the state budget, and recommendations on current legislation.

## Background

The Commission approved the 2018 Legislative Program in December 2017. The purpose of the legislative program is to establish funding, regulatory, and administrative principles to guide Alameda CTC's legislative advocacy. The final 2018 Legislative Program is divided into six sections: Transportation Funding; Project Delivery and Operations; Multimodal Transportation, Land Use, and Safety; Climate Change and Technology; Goods Movement; and Partnership. The program is designed to be broad and flexible to allow Alameda CTC the opportunity to pursue legislative and administrative opportunities that may arise during the year, and to respond to political processes in the region as well as in Sacramento and Washington, DC.

Each month, staff brings updates to the Commission on legislative issues related to the adopted legislative program, including recommended positions on bills as well as legislative updates.

## Federal Update

The Trump administration released its \$1.5 Trillion infrastructure plan on February 12<sup>th</sup> which would provide \$200 billion in federal dollars to leverage \$1.3 trillion in local and private funding. A summary of the proposal is listed below and staff will provide a more detailed update at the Alameda CTC's Commission meeting.

**Infrastructure Incentives Initiative** provides incentives in the form of grants and applies to surface transportation, airports, passenger rail, maritime and inland waterway ports, and other projects .

- **Transformative Projects Program** makes available federal funding and technical assistance for innovative and transformative infrastructure projects on a competitive basis to projects unable to secure private-sector financing due to program uniqueness; applies to transportation, clean water, drinking water, energy, commercial space, and telecommunications sectors.
- **Rural Infrastructure Program** is designed to encourage investment to enable rural economies to facilitate freight movement, improve access to reliable and affordable transportation, etc. States are incentivized to partner with local and private investment for completion and operation of projects.
- **Federal Credit Programs** designed to increase federal lending programs' capacity to increase investment would establish the Transportation Infrastructure Finance and Innovation Act and Railroad Rehabilitation and Improvement Financing as well as other lending programs.

A link to the proposal can be found here: <https://www.whitehouse.gov/wp-content/uploads/2018/02/INFRASTRUCTURE-211.pdf> .

## State Update

Platinum Advisors, Alameda CTC's state lobbying firm, provided the following summary of state activities.

**Leadership transition:** On January 9th, the Senate Democratic Caucus unanimously voted Toni Atkins – San Diego, as the next President pro Tempore, succeeding Senator Kevin de León. She is scheduled to officially take on the leadership role in late March.

**Governor's State of the State Address:** January 25th Governor Jerry Brown delivered a final State of the State Address to report on the condition of the State and outline his priorities for 2018. The governor articulated bipartisan efforts to pass pension reform, workers' compensation reform, the water bond, Rainy Day Fund, and Cap and Trade amongst his and the Legislature's successes. On the SB 1 repeal initiative, he promised to "do everything in my power to defeat any repeal effort that may make it to the ballot." He cited high-speed rail and water as remaining long-term priorities, and offered little in the way of advice for his successor.

**LAO budget overview:** The Legislative Analyst's Office (LAO) released a quick [overview](#) of the governor's 2017-18 budget proposal, to be followed by additional in-depth recommendations as budget subcommittees begin meeting—likely in

February. This first pass at the budget doesn't contain any major revelations, but is generally approving of the Administration's recommendations. Their advice to the Legislature is that remaining conservative in spending is likely wise, and they should evaluate their specific priorities before moving forward.

- In building reserves, the Legislature needs to determine whether to approve the governor's proposal to bring the Rainy Day Fund to its constitutional maximum, or choose a different amount in preparation for an anticipated recession.
- The LAO believes that revenues are likely to be higher when the May Revision is released, but notes that the federal tax legislation introduces additional uncertainty. In November, the LAO's revenue estimates for 2017-18 and 2018-19 combined were \$3.4 billion higher than the Administration's January budget proposal.
- The infrastructure spending proposed by the Administration contains some ongoing costs resulting from debt service on lease revenue bonds. \$343 million in lease revenue bonds for the construction of trial courts and \$1.3 billion for state office buildings could be paid for in a different manner.
- The LAO recommends examining the governor's infrastructure proposals to determine whether those chosen are of the highest priority compared to the Legislature's priorities.

**Senate Bill 1 repeal:** The repeal of SB 1 by a proposed Constitutional amendment initiative may be heading toward the November 6th ballot. In December the Secretary of State's Office announced that the campaign to repeal SB 1 has already reached the 25 percent threshold of required signatures. Officials heading the signature drive campaign have stated they are now closing in on the 585,407 signatures needed to qualify this initiative. Carl DeMaio, a former San Diego City Councilmember and current conservative talk radio host, has been hosting signature gathering events and broadcasting live from those locations throughout Southern California. Governor Jerry Brown will oppose the repeal. The deadline to submit signatures is May 21, 2018.

The other initiative effort spearheaded by Assemblyman Travis Allen that proposed to simply repeal the SB 1 statute is dead. The legal battle over the initiative's title and summary delayed signature gathering past the deadline for submission of January 8, 2018. Assemblyman Allen, who is also running for governor, has now thrown his support behind the constitutional amendment effort, which is backed by another gubernatorial candidate, John Cox.

**High speed rail:** Current California State Transportation Agency Secretary, Brian Kelly, was announced as the new CEO of the High-Speed Rail Authority (HSRA) beginning

February 1, 2018. The acting Transportation Agency Secretary is Brian Annis, who previously served as the Deputy Secretary for Transportation, and oversaw the transportation budget when he worked for the Senate Budget Committee.

**RM3 update:** On January 24, 2018, the Bay Area Toll Authority (BATA) approved placing Regional Measure 3 (RM 3) on the June ballot to finance a \$4.5 billion suite of projects to improve mobility in the bridge corridors and their approaches. The measure would raise tolls by \$1 in 2019 on the region's state-owned bridges, followed by two additional \$1 increases spread out over six years, and will appear on ballots across the nine Bay Area counties on June 5, 2018. An MTC opinion poll conducted in late 2017 showed strong support among Bay Area voters for raising tolls to improve BART, reduce freeway bottlenecks, and make enhancements to bus, ferries, and commuter rail service.

In Alameda County, the Board of Supervisors' action to place RM 3 on the June 5, 2018 ballot in Alameda County will likely be at its meeting on February 27, 2018.

## Legislation

This month, staff recommends the following position on a constitutional amendment.

Bill Number	Bill Information	Recommendation
Propositions 69 as authorized by <a href="#">ACA 5 (Frazier)</a> . Motor vehicle fees and taxes: restriction on expenditures: appropriations limit.	SB 1 was passed in conjunction with ACA 5, which 1) exempts appropriations of revenues generated as part of the proposed Road Repair and Accountability Act of 2017 (Act) (SB 1 (Beall) from counting toward the state appropriation limit); 2) requires diesel fuel sales tax revenues to be deposited into the Public Transportation Account and prohibit the Legislature from diverting or appropriating those funds for purposes other than transportation planning and mass transportation; and 3) requires revenues derived from a proposed Transportation Improvement Fee to be used solely for transportation purposes, prohibits those revenues from being used to pay for previously authorized transportation bond debt service, and prohibits the Legislature from borrowing or using those revenues for unauthorized purposes.	Alameda CTC's 2018 legislative program supports legislation that increases transportation funding. The agency took a support position on ACA 5 in 2017 and now recommends a support position on Proposition 69; for this constitutional amendment to protect SB1 funds.

**Fiscal Impact:** There is no fiscal impact.

### Staff Contact

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

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# Memorandum

8.2

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**DATE:** February 15, 2018

**SUBJECT:** Update on Year 2 of the Affordable Student Transit Pass Pilot and Recommendations for Year Three of the Pilot

**RECOMMENDATION:** Receive an update on Year Two of the Affordable Student Transit Pass Pilot Program.

Approve the sites and parameters for Year 3 of the Affordable Student Transit Pass Pilot.

Authorize Alameda CTC staff to enter into all necessary agreements and contracts for program implementation, including consultant and administrative support for expansion.

## Summary

The cost of transportation to school is often cited as a barrier to school attendance and participation in afterschool activities by middle and high school students. In recognition of this issue, the 2014 Transportation Expenditure Plan (TEP) included implementation of an affordable student transit pass pilot program. Its purpose is to test and evaluate different pilot designs of an affordable transit pass program over a three-year horizon to identify successful model programs that could be expanded and sustained with additional funding sources after the pilot program period. Available funding for this initial three-year pilot program as defined in the TEP is \$15 million, including all costs related to transit passes, administration, staffing, direct costs, education and outreach to schools, and student travel training.

In March 2016, the Commission approved a framework to select pilot program schools. In May 2016, the Commission approved the design for Year One of the pilot program, as well as a shortlist of 36 schools as the candidate pool for potential expansion to additional schools in the second and third years of the program. Year one of the program tested four pilot program models at nine middle and high schools in four unified school districts (USD) across Alameda County. Following the successful launch of Year One, the Commission approved the design for Year Two in March 2017. During Year Two the Alameda CTC narrowed the number of models to two based on lessons learned from Year One: a free and universal model and a means-based (income tested) model. These two models are currently being implemented at fifteen middle and high schools in five school districts across Alameda County. The Commission also received a full Evaluation Report of Year One of the program in October 2017.

This memorandum provides an informational update on Year Two implementation and recommends schools and parameters for Year Three of the program (2018-2019 school year), in line with the approved site selection framework and lessons learned from Years One and Two. Once the Year Three schools and parameters are approved, Alameda CTC staff will enter into and/or adjust agreements and contracts, as necessary, with the applicable transit agencies, schools, and school districts to implement the program and will begin preparing each of the schools for Year Three implementation in August 2018.

## **Background**

The Alameda CTC has undertaken the development, implementation, and evaluation of an Affordable Student Transit Pass Program (Affordable STPP) which began during the 2016-2017 school year in middle schools and high schools in Alameda County. This pilot program provides a vital opportunity to assess student transportation needs in the county and develop an approach to meet those needs through implementation of a sustainable pass program.

The program provides transit passes to students in selected schools for use on the various public transit providers that serve Alameda County. This pilot program is identified in the 2014 Transportation Expenditure Plan (TEP) and is funded by Measure BB. The TEP specifies that the funds are to be used to implement “successful models aimed at increasing the use of transit among junior high and high school students, including a transit pass program for students in Alameda County.”<sup>1</sup>

The Affordable STPP aims to do the following:

- Reduce barriers to transportation access to and from schools
- Improve transportation options for Alameda County middle and high school students
- Build support for transit in Alameda County
- Develop effective three-year pilot programs
- Create a basis for a countywide student transit pass program (funding permitting)

## **Year Two Update**

In March 2017, the Commission approved 11 schools to receive a “free and universal” program where transit passes are distributed for free to any students enrolled at the school and four schools to receive a “free and means-based” program where transit passes are distributed for free to any student whose household income qualifies them for free and reduced price meals (FRPM). Nine of these schools also participated in Year One; however, the implemented pilot models changed between Year One and Year Two. Year Two included two new schools added in Oakland USD (North County), two new schools added in Hayward USD (Central County), and two new schools added in Livermore Valley JUSD (East County). Three program model changes were also made

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<sup>1</sup> Measure BB Transportation Expenditure Plan, 2014



between Years One and Two: 1) the model at New Haven USD (South County) changed from a discounted and grade-limited program to a free means-based program, 2) the model at San Leandro USD (Central County) changed from a free grade-limited program to a free and universal program, and 3) the model at Livermore Valley JUSD changed from a two-tiered discounted/means-based program to a free and universal program. All bus passes were distributed on Clipper cards in Year Two, which will yield more consistent data across the county for the Year Two Evaluation Report.

Finally, BART tickets were also added to the program, distributed at every high school within BART's service area. Due to limitations of the Clipper system, BART tickets could not be integrated with the Clipper cards; BART Orange Youth Tickets are being used. Year Two was launched in August 2017. Figure 1 below summarizes Year Two Pilot parameters.

**Figure 1: Affordable STPP Year Two Pilot Parameters**

Parameters	Options Tested	North	Central	South	East
Pass Format	Clipper	X	X	X	X
Pilot Model	Universal (all students)	X	X		X
	Means-Based (income-qualified)		X	X	
Pass Cost	Free	X	X	X	X
Transit Service	AC Transit	X	X	X	
	Union City Transit			X	
	LAVTA				X
	BART	X	X	X	

***Bus Pass Usage in Year Two***

Below are some key findings from data collected on bus pass usage in the first semester of Year Two. Key findings on BART usage and program administration are shown in subsequent sections.

- Overall participation is higher in Year Two than it was in Year One; not only because new schools were added, but also because the elimination of less effective pilot models between Years One and Two has increased student participation (Figure 2).
  - More than twice as many students are participating, representing 44% of total eligible students (compared to 36% in Year One).
  - There is no clear trend in high school or middle school students participating at a higher rate.
- However, some areas of the county still show lower participation than other areas regardless of Pilot model, likely based on land use and urban form, coverage and frequency of transit service, family incomes and access to automobiles.
- The bus usage data suggests that high school participants use the bus more often than middle school participants.

**Figure 2A: STPP Year Two Bus Pass Distribution (as of November 2017)**

Planning Area and District	Total # of Students Eligible	Number of Participants			Participation Rate	Year One (for comparison)	
		AC Transit	Union City Transit	LAVTA/Wheels		Number of Participants	Participation Rate
North: OUSD	2,706	2,416	--	--	89%	1,823	99%
Central: SLUSD	3,603	1,758	--	--	49%	821	51%
Central: HUSD	1,598	441	--	--	28%	N/A	N/A
South: NHUSD	2,597	671	671	--	26%	196	9%
East: LVJUSD	3,396	--	--	769	23%	82	3%
<b>Totals</b>	<b>13,899</b>	<b>5,286</b>	<b>671</b>	<b>769</b>	<b>44%</b>	<b>2,922</b>	<b>36%</b>
		<b>6,055</b>					

**Figure 2B: STPP Year Two Bus Pass Participation by School**

Note: An asterisk indicates schools new to the STPP in Year Two.

Planning Area	Participating Schools	Year Two Participation (November 2017)	
North County	McClymonds High*	317	79%
	Fremont High	713	89%
	Castlemont High	860	97%
	Westlake Middle*	300	81%
	Frick Middle	226	94%
Central County	San Leandro High	1,425	55%
	John Muir Middle	333	33%
	Hayward High*	325	28%
	Bret Harte Middle*	116	27%
South County	James Logan High	439	23%
	Cesar Chavez Middle	232	34%
East County	Livermore High	317	17%
	Del Valle High*	63	52%
	East Avenue Middle	219	31%
	Christensen Middle*	170	26%

**Figure 3: Year Two Bus Transit Usage and Cost (November 2017)**

	Total Monthly Bus Boardings by Participants	Average Boardings per Participant in November <sup>2</sup>			Percent of Issued Clipper Cards used in November <sup>3</sup>
		Overall	High School Participants	Middle School Participants	
North: OUSD	50,049	20.7	21.2	19.1	72%
Central: SLUSD	12,877	7.3	7.7	5.6	43%
Central: HUSD	3,214	7.3	8.1	5.3	51%
South: NHUSD	6,758	10.1	12.2	6.0	--
AC Transit	4,113	6.1	7.3	3.9	51%
Union City Transit	2,645	3.9	4.9	2.1	42%
East: LVJUSD	5,015	6.5	8.2	4.9	55%
<b>Countywide</b>	<b>77,940</b>	<b>12.9</b>	<b>13.9</b>	<b>9.9</b>	<b>62%</b>

***BART Implementation and Usage***

BART Tickets were implemented in the Year Two of the STPP at participating high schools within BART's service area. Due to limitations of the Clipper system, BART passes cannot be loaded onto STPP Clipper cards, so Alameda CTC has entered into an agreement with BART to have access to youth Orange tickets.

Each eligible high school student may receive one BART Orange Ticket with \$50 value if he/she has registered for the STPP and submitted a BART Ticket Request Form. BART Orange Tickets cannot be deactivated remotely; they are non-replaceable if lost or stolen. This Orange Ticket format and \$50 monetary value were chosen to test use of BART and demand for BART in the Pilot. BART tickets are not intended to provide unlimited travel, but rather to enable students to use BART for essential trips while providing baseline information to understand the extent of future BART inclusion in a Student Transit Pass Program.

The program team aimed to balance the value on one BART ticket that is subject to loss by a student with the budgetary implications and administrative burden on school staff required for ticket distribution. Below are some key findings from data collected on BART ticket distribution, student surveys related to BART, and ticket usage in the first semester of Year Two.

- Compared to bus passes, there appears to be much lower demand for BART tickets. Fewer students have requested a BART ticket and of those that have been requested, many have not been used (see Figure 4).

<sup>2</sup> The number of participants fluctuates by month, the participation numbers in Figure 2

<sup>3</sup> This number is calculated by dividing the total number of Clipper cards tagged at least once by the total number of participants.

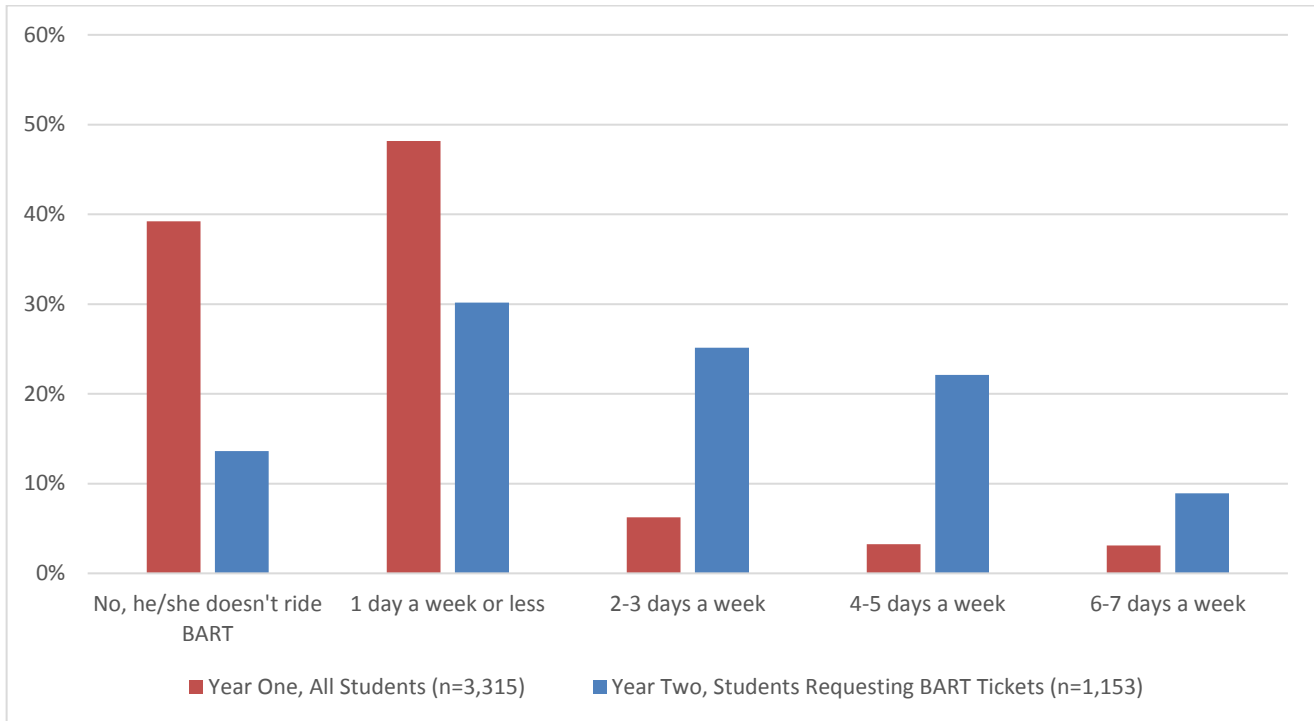
- No clear correlation exists between STPP bus pass participation and BART ticket participation. Even among the schools with consistently high bus pass participation (i.e., OUSD high schools), BART ticket demand varies widely.
  - A high number of McClymonds High (OUSD) students have requested BART tickets (89%), whereas the BART ticket request rates in the other OUSD high schools are far lower (23% and 34%).
- There is no clear correlation between BART ticket participation and proximity to BART stations. Schools that are closer to BART stations have rates of ticket requests that are comparable to schools that are farther away.
  - James Logan High (NHUSD) is less than one mile from a BART station and only 18% of eligible students have requested BART tickets. The three OUSD high schools are more than one mile from BART, but have more eligible students requesting BART tickets.
- Students who request BART tickets indicate they ride BART more frequently than the average student reported last year (see Figure 5).
- Upon requesting a BART ticket, students were asked to indicate how they intended to use it. Three-quarters (76%) indicated “to get to and from school.” Just under two-thirds (64%) indicated “for afterschool activities.” School administrators confirmed this anecdotally, saying that tickets are very useful for students who come from neighboring cities for school and/or who work elsewhere (see Figure 6).
- Approximately 64% of STPP BART trips occurred within Alameda County, with 27% of trips between Alameda and San Francisco counties and the remainder to/from other counties (see Figure 7). This is generally consistent across all participating high schools.
- Around 80% of STPP BART trips occur on weekdays, with 20% taking place on the weekend.
- School administrators generally characterized administration of the BART tickets at a medium-level of difficulty, specifying that managing two different pass formats and the ticket request form submission increased the complexity of the program.

Starting on January 1, 2018, BART will begin charging a paper ticket surcharge of \$0.50 on each ride. For STPP students, the surcharge will be \$0.25 because youth receive a 50% discounted fare.

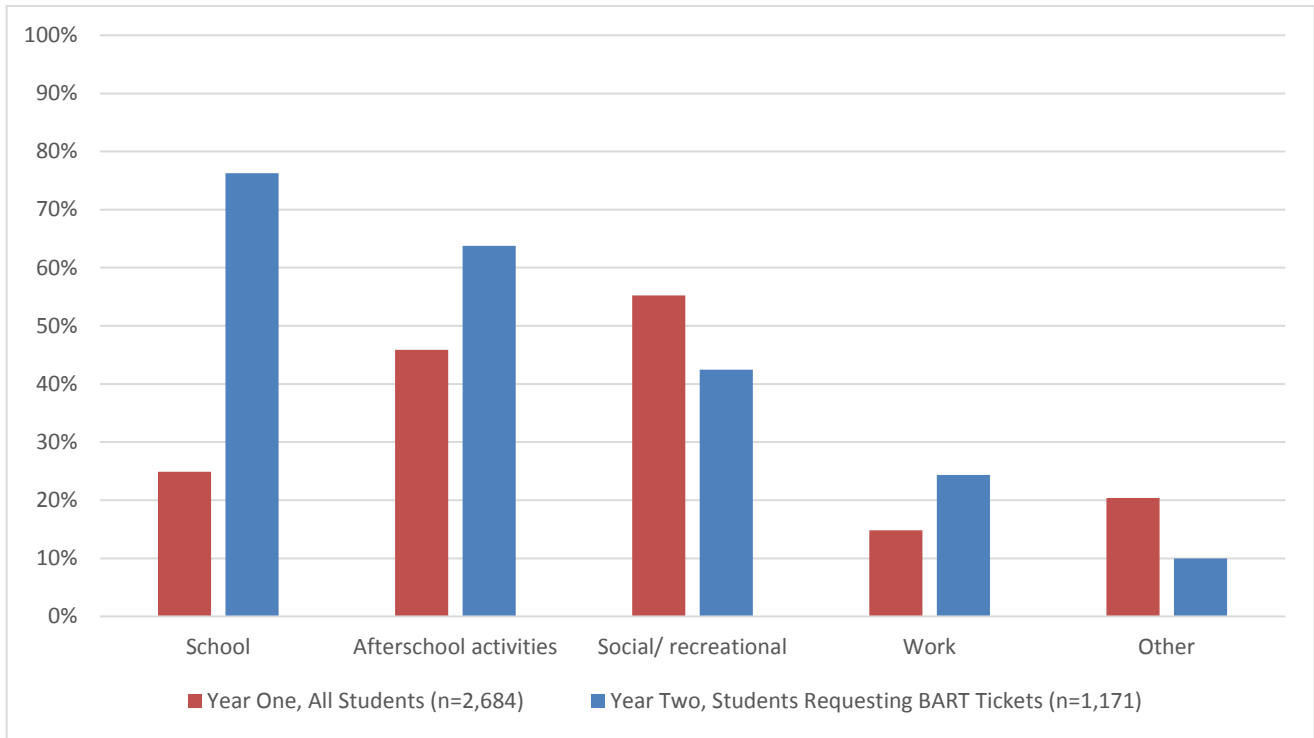
**Figure 4: BART Ticket Distribution and Usage (Aug. – Nov. 2017)**

	Eligible Students	Tickets Requested	% Eligible Students Requested BART Tickets	Tickets Used	Percentage of Tickets Requested that Have Been Used
North: OUSD Castlemont HS Fremont HS McClymonds HS	2,094	842	40%	240	29%
Central: SLUSD San Leandro HS	2,612	972	37%	274	28%
Central: HUSD Hayward HS	1,175	306	26%	16	5%
South: NHUSD James Logan HS	1,891	347	18%	112	32%
<b>All High Schools</b>	<b>7,772</b>	<b>2,467</b>	<b>32%</b>	<b>642</b>	<b>26%</b>

**Figure 5: BART Ticket Usage as Indicated by Student Responses**



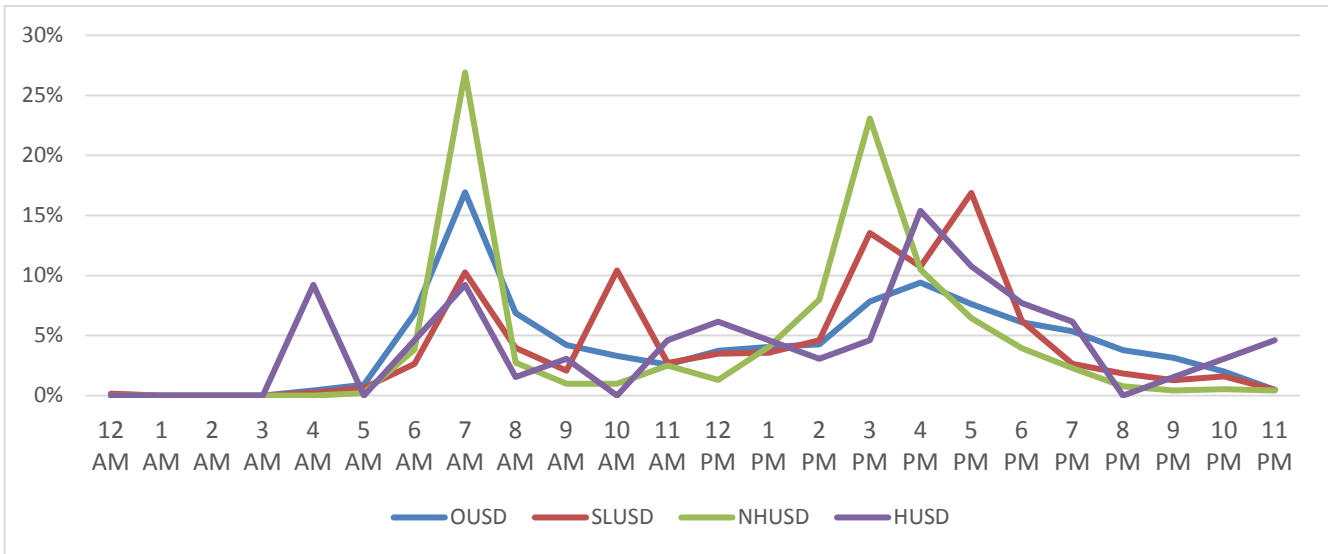
**Figure 6: BART Trip Purpose as Indicated by Student Responses**



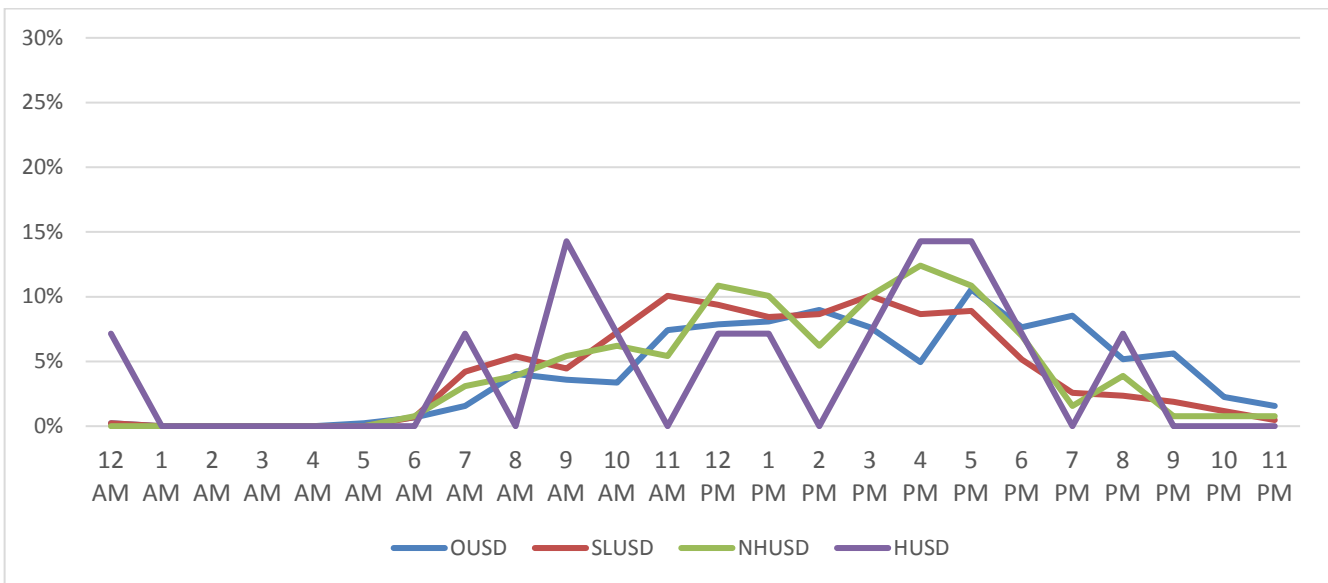
**Figure 7: BART Ticket Usage by County Origins and Destinations (Aug. – Nov. 2017)**

County-Entry:	County-Exit			
	Alameda	Contra Costa	San Francisco	San Mateo
Alameda	64%	4%	15%	1%
Contra Costa	3%	0%	0%	0%
San Francisco	12%	0%	1%	0%
San Mateo	1%	0%	0%	0%

**Figure 8A: Weekday BART Ticket Usage by Time of Day (Aug. – Nov. 2017)<sup>4</sup>**



**Figure 8B: Weekend BART Ticket Usage by Time of Day (Aug. – Nov. 2017)**



**Administrative Findings**

- School administrators have reported positive improvements in the administration process by reducing the complexity of the pass formats, eliminating money handling, and moving all student forms and transactions to online management.

<sup>4</sup> The SLUSD increase in trips beginning at 10 AM was due to a school field trip in early October where students used their BART Tickets.

## Year Three Program Development and Recommendations

The recommendations for STPP Year Three are based on lessons learned from implementation and administration of Years One and Two, feedback from schools, students, and families, the Year One Evaluation Report, and an analysis of budget resources available. Some key lessons supporting Year Three recommendations are:

- The pilot models being tested during Year Two (Free & Universal and Free & Means-Based) both show significant promise; the elimination of unsuccessful models from Year One (Discounted and Grade-Limited) has improved program effectiveness.
  - Currently both viable models are being (or have been) tested in East County and Central County.
  - Only a means-based model has been tested in South County, indicating an opportunity to test a free and universal model at schools with high need.
  - In North County, the STPP has tested a free and universal model, which is appropriate given the very high need in this area (over 80% of students in nearly all schools in Oakland Unified qualify for free/reduced-price meals).
- Administration of the program for all parties has become easier based on simplifying the models being tested, streamlining and improving management processes and forms, and simplifying the pass formats.
  - However, programs with passes for multiple transit agencies within a school site continue to entail higher administrative complexity and higher administrative costs. Specifically, despite integration onto one Clipper Card, Union City and AC Transit passes continue to entail additional consultant and transit agency time for card administration to get both passes loaded on the Clipper card; schools with BART and bus passes at the same school site require more time from school administrators.
- Testing some of the same models across different areas of the county has allowed for a more robust assessment of the different pilot models. Continuing to test different models across different areas of the county is valuable to continue to ascertain how enrollment differences are attributable to pilot model versus geographic location.
- School-based models improve ease of student participation. The Year One evaluation report stated, "School-based program was accessible for students due to familiarity... students said that the program being school-based made it easy for them; they found it easy to access because they are already familiar with their school staff and did not have to approach a stranger or submit an application to an unknown entity."
- Special consideration should be given to the different pass and payment structures for each transit operator to assess the most cost-effective and easy-to-administer payment structures for the STPP long term.



- Higher bus ridership among high school students than middle school students participating in the STPP seems to suggest older students derive greater benefits from the program because they travel to more destinations than middle school students.
- Expansion of the pilot program within the initial three-year pilot period per the Commission-approved performance evaluation metrics and the shortlist of schools fulfills the adopted Commission pilot program intent.

Given that Alameda CTC is currently six months into Year Two, the full cost implications of the programs are still being assessed as data on direct costs from transit pass usage are billed based on actual uses to Alameda CTC. Therefore, the recommended expansion for Year Three is modest and allows testing of Commission-approved program parameters with expanded populations while ensuring sufficient resources will be available for the full third year of the pilot.

The Commission-approved site selection framework and shortlisted schools serve as the foundation of recommendations for Year Three of the Affordable STPP.<sup>5</sup> As previously approved, the site selection process draws upon data related to school needs and transit service availability as well as qualitative information on school site administration readiness. In expanding the program for Year Three, staff reviewed and updated statistical data on the shortlisted schools including: enrollment, student population eligible for free and reduced-price meals (FRPM), and transit service access.

### **Peer Research**

To inform Year Three and respond to Commissioner requests, Alameda CTC and the consultant team conducted additional peer research, including interviews with all other Bay Area Student Transit Pass programs: SFMTA Free Muni for Youth, West Contra Costa Student Bus Pass Program, and Marin Transit Youth Pass Program. Key lessons learned include:

- All three programs are free only for low-income students.
  - Marin Transit started with a free and universal program, but switched to means-based program due to overcrowding.
- All three programs include bus or local rail (i.e. SF Muni) systems only, no regional rail systems participate (e.g. BART or SMART).
- Regardless of program format, all programs include heavy involvement by the schools and school districts as the best avenue of access to students.
  - Marin Transit relies on school coordinators to enroll students in online system; they emphasized that they strongly encourage distribution through the school as this is most efficient and effective.

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<sup>5</sup> Additional information about the site selection process is provided in the memo to the Commission dated May 19, 2016 – should this be the March or May memo?.

- o SFMTA includes only one school district and relied heavily on coordination with the School District and schools for program enrollment during the initial years of the program.
- o West Contra Costa program is administered by the school districts.
- o Dedicated staff are funded to administer each program.

### **Recommended Year Three Pilot Parameters**

The summary of recommended Year 3 program parameters are shown below.

- Several new schools are recommended for addition to the program based on available budget. The schools were selected from the short list based on student need, and the desire to test a free and universal model in each area of the county and to balance the number of eligible students in each area of the county.
- The program will begin to integrate the transit/travel training elements with the Safe Routes to Schools (SR2S) Program. Alameda CTC STPP and SR2S staff and consultants, in coordination with transit agency staff, will provide information and travel training for students on using transit and the applicable passes will be provided. This training will be coordinated with bicycling and walking training as possible.
- All passes will continue to be valid year round and not be limited by day or time.
- A designated on-site administrator will continue to be assigned at each school who will continue to receive training associated with the applicable pilot program.
- All bus passes will be provided on Clipper except BART passes which will continue to be provided in paper format due to limitations of the Clipper system.
- Alameda CTC will work with transit agencies to advertise and, if possible, distribute youth Clipper cards at schools where free passes are limited to low-income students.

**North County** – Program will continue to test utilization of free and universal passes and the sustained impact of passes during transition from middle to high school. Staff recommends adding two additional schools in North County.

- **Format:** Free and universal AC Transit pass on Clipper to be provided to seven schools and BART Orange tickets provided at high schools.
- **Changes:** Two new schools would be added in North County under a free and universal model.
- **Rationale:** Two additional schools are proposed under a free and universal model in North County due to high need in the student population. The recommendation seeks to ensure relative balance between the number of students eligible in each Planning Area relative to need and participation rates. North County has the largest number of schools participating, and the participation rates at each school are high, but the enrollment at these schools is very low compared to other areas of the county as shown in Figure 9.

- **Current Participating Schools - Free and Universal:**
  - Castlemont High, Oakland
  - Fremont High, Oakland
  - McClymonds High, Oakland
  - Frick Middle School, Oakland
  - Westlake Middle, Oakland
- **NEW Participating Schools – Free and Universal**
  - Oakland High, Oakland
    - 1,562 students (88% FRPM eligible)
    - Transit access: 15 AC Transit routes
  - Roosevelt Middle, Oakland
    - 524 students (93% FRPM eligible)
    - Transit access: 3 AC Transit routes

**Central County** – *NO CHANGES* – Program will continue to test utilization of free and universal passes at two schools and a free pass for low-income eligible students at two schools.

- **Format:** Free and universal at two schools and a free pass for low-income students at two schools. AC Transit passes will be provided on Clipper and BART Orange tickets provided at high schools.
- **Participating schools - Free and Universal:**
  - San Leandro High, San Leandro
  - John Muir Middle, San Leandro
- **Participating schools - Free and Means-Based:**
  - Hayward High, Hayward
  - Bret Harte Middle, Hayward

**South County** – Programs will continue to test a free pass for low-income eligible students at two schools and use of two transit agencies at these schools. Staff recommends adding four additional schools in South County – two under a means-based model and two under a free and universal model.

- **Format:** Free pass for low-income students at four schools and a free and universal pilot model at two schools. AC Transit passes will be provided on Clipper and BART Orange tickets provided at high schools.
- **Changes:** Two new schools would be added in South County at the schools from the shortlist with the highest need to enable testing a free and universal model in every area of the county. Two new schools will be added under a means-based model to even out the number of eligible students between planning areas and test a model for low-income students in a wealthy school.

- **Rationale:** It has been effective to test each pilot model in different areas of the county to be able to ascertain how differences in program enrollment are due to geography versus pilot model. Commissioners have also requested more models where low-income students in more affluent schools have access to bus passes. The two schools in Fremont are affluent and low-income students will have access to the pass.
- **Existing Participating schools - Free and Means-Based:**
  - James Logan High, Union City
  - Cesar Chavez Middle, Union City
- **NEW Participating schools - Free and Means-Based:**
  - William Hopkins Junior High, Fremont
    - 1,119 students (5% FRPM eligible)
    - Transit access: 2 AC Transit routes
  - American High, Fremont
    - 2,200 students (17% FRPM eligible)
    - Transit access: 5 AC Transit routes
    - Participates in Safe Routes to Schools program
- **NEW Participating schools - Free and Universal:**
  - Newark Junior High, Newark
    - 901 students (51% FRPM eligible)
    - Transit access: 4 AC Transit routes
  - Newark Memorial High, Newark
    - 1,703 students (45% FRPM eligible)
    - Transit access: 8 AC Transit routes

**East County** – NO CHANGES – Program will test utilization of free and universal passes and the impact of an “eco-pass” payment model with the transit agency.

- **Format:** All students will have access to a free LAVTA/Wheels transit pass on Clipper.
- **Participating schools – Free and Universal/Eco-Pass:**
  - Del Valle Continuation High, Livermore
  - Livermore High, Livermore
  - Andrew N. Christensen Middle, Livermore
  - East Avenue Middle, Livermore

**Figure 9: Pilot Program Student Eligibility and Participation Comparison**

School Information			Year Two				Year 3 (recommended)	
Planning Area	School District	Level of Need	Students Eligible	% of Total	Participating Students	% of Total	Students Eligible	% of Total
North County	Oakland USD	High	2,706	19%	2,416	40%	4,792	25%
Central County	San Leandro USD	Moderate-High	3,609	37%	1,758	36%	3,609	27%
	Hayward USD		1,598		441		1,598	
South County	New Haven USD	Moderate	2,581	19%	671	11%	2,581	30%
	Fremont USD	Low	--		--		421	
	Newark USD	Moderate	--		--		2,604	
East County	LVJUSD	Low	3,396	24%	769	13%	3,396	18%
Totals			13,889		6,055		19,000	

**Pilot Program Budget Update**

The three-year Affordable Student Transit Pass Program has a maximum budget of \$15 million to cover all costs associated with the program, including all costs related to transit passes, administration, staffing, direct costs, education and outreach to schools, and student travel training. An update on the budget is shown in Figure 10.

With the proposed expansion, additional funds are required for administration and management of the passes; in Year Three over twice as many schools will be participating compared to Year One. In addition, these funds will be used to manage the transition between the Pilot and a long-term program, for development of the long-term program model, to apply for grants and other funding sources, and agency coordination.

**Figure 10: ASTPP Budget**

	Start-up and Year 1 (actuals)	Year 2 (projected)	Year 3 (projected)	Projected Totals
Transit Agency contract costs (pass purchase)	\$800,000	\$4,000,000	\$7,000,000	\$11,800,000
Direct costs	\$60,000	\$300,000	\$400,000	\$760,000
Staff/Consultant Costs	\$580,000	\$500,000	\$650,000	\$1,730,000
Totals	<b>\$1,440,000</b>	<b>\$4,800,000</b>	<b>\$8,050,000</b>	<b>\$14,290,000</b>

Alameda CTC will continue to work to improve efficiency of pilot administration to ensure the available budget is maximized for providing transit passes to students. As part of this work, Alameda CTC will explore the possibility of an eco-pass model with other transit agencies.

### **Additional Opportunities for Exploration**

The intent of the initial pilot program included in the 2014 TEP was to implement and evaluate different models of affordable pass programs in different areas of the county to identify successful models that could be implemented more broadly after the initial three-year pilot period. During the remainder of Year Two and Year Three of the pilot program, staff will continue to research and evaluate the feasibility of the following types of programs for Year 3 and beyond the pilot timeframe:

- **Eco-pass:** This type of program allows an institution to purchase unlimited ride passes on transit for its employees, residents, or students (in the case of many colleges) during specific time periods, guaranteeing funding to transit operators and offering transit access to all eligible pass recipients. These programs assume that while all eligible students, residents, or employees can receive and use a pass, not all of them do, or that some participants use the passes much less frequently than others.
  - An eco-pass program would eliminate the need for programs with means-based eligibility requirements since all students would receive the pass. If broad institutional participation in an eco-pass program is achieved, this type of program would “follow the child” rather than be based on participation in a pass program by a public vs. private school, as expressed by Commissioners past board meetings.
  - We are testing LAVTA/Wheels eco-pass program currently and will continue to test this model during Year 3.
  - AC Transit has an existing EasyPass program for use by colleges, businesses, and residential developments that could potentially serve as the basis for implementing a middle and/or high school eco-pass program in the AC Transit service area. Alameda CTC will begin discussions with AC Transit

during Spring 2018 to assess the feasibility of a middle/high school eco-pass program.

- **Additional models for low-income students:** Based on lessons learned to date and peer program research, it is important to maintain school-based administration of the pass program, especially during the initial years of the program. Further, during the pilot period, participation is limited to the short listed schools. Alameda CTC will assess and evaluate countywide program models that allow any low-income students to get a free transit pass for implementation after the pilot period.
- **Integration with Safe Routes to Schools:** Expand travel training to more middle schools to prepare students to use transit and to support parent/student comfort with riding transit. The goal is a long-term school transportation program for middle and high school students that encourages transportation modes that reduce congestion and emissions around school sites, increases safety, and teaches sustainable habits early to Alameda County's youth.
- **Expand Funding:** Seek grant opportunities and funding partnerships to expand the program and create a stronger link with the countywide Safe Routes to Schools program.
- **Assess long-term administrative models and cost structures for post-Pilot:** There are several key longer term questions that the pilot raises that must be addressed during Year Three, including questions of long-term governance and administration, ridership demand and capacity considerations for our transit operators, cost structure and fiscal sustainability. Staff will be exploring these questions with our transit operators in the coming year. Our goal is to design a long-term program structure that is sustainable.

## Next Steps

After Commission approval, Alameda CTC will work with the schools currently participating to incorporate any recommended changes and refine processes for greater efficiency and effectiveness for Year Three. Staff will also begin work with the new schools to integrate them into the program and address any unique needs of each school. Finally, staff will continue to work closely with each of our transit agencies to incorporate new schools and changed parameters for the pass products offered.

The Year Three program at schools will be launched in August 2018. Leading up to Year Three of the Affordable STPP, actions will include but not be limited to:

- Finalize pass pricing and administrative costs with the transit operators
- Adjust financial agreements with applicable agencies if necessary
- Enter into MOUs with the new school sites to obtain necessary statistical information, establish any administrative costs, and establish payment mechanisms (applicable

only for schools provided with discounted passes); adjust existing MOUs with current school sites if necessary

- Identify and train on-site school administrators at the new school sites
- Develop informational materials for students, including language translation, and distribute to all schools
- Print and distribute passes at all schools
- Gather baseline data at all school sites

**Fiscal Impact:** There is no fiscal impact. The full \$15 million for the Affordable Student Transit Pass Program has already been programmed by the Commission and any approved program expansions/modifications will be implemented within the approved program overall budget.

### **Attachment**

- A. Adopted Short List of STPP School Sites

### **Staff Contacts**

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

[Cathleen Sullivan](#), Principal Transportation Planner



ATTACHMENT A – Shortlisted Schools Approved by the Commission, May 2016 (data updated January 2018)

Planning Area		School District	School Name	School Type	Charter	School Level	Grades	Enrollment (2016-2017)	SR2S	Traditional/Continuation School Day	Existing Bus Stop within 1/4 mile of School	Income Opportunity (percent of FRPM eligible students)	# of Bus Routes
North	1	Berkeley Unified	REALM Charter High	Traditional	Charter	High	9 - 12	347	No	Yes	Yes	66%	9
	2	Berkeley Unified	REALM Charter Middle	Traditional	Charter	Middle	6 - 8	249	No	Yes	Yes	70%	9
	3	Oakland Unified	Castlemont High*	Traditional	Non-charter	High	9 - 12	759	No	Yes	Yes	83%	10
	4	Oakland Unified	Fremont High*	Traditional	Non-charter	High	9 - 12	764	No	Yes	Yes	86%	6
	5	Oakland Unified	McClymonds High	Traditional	Non-charter	High	9 - 12	372	No	Yes	Yes	89%	6
	6	Oakland Unified	Oakland High	Traditional	Non-charter	High	9 - 12	1,562	No	Yes	Yes	88%	15
	7	Oakland Unified	Roosevelt Middle	Traditional	Non-charter	Middle	6 - 8	524	No	Yes	Yes	93%	3
	8	Oakland Unified	Westlake Middle	Traditional	Non-charter	Middle	6 - 8	383	Yes	Yes	Yes	86%	6
	9	Oakland Unified	Bret Harte Middle	Traditional	Non-charter	Middle	6 - 8	500	No	Yes	Yes	81%	10
	10	Oakland Unified	Aspire Berkley Maynard Academy	Traditional	Charter	Middle	K - 8	519	No	Yes	Yes	80%	4
	11	Oakland Unified	Oakland Military Institute	Traditional	Charter	Middle/High	6 - 12	683	No	Yes	Yes	73%	10
	12	Oakland Unified	Alliance Academy	Traditional	Non-charter	Middle	6 - 8	328	No	Yes	Yes	87%	1
	13	Oakland Unified	Elmhurst Community Prep	Traditional	Non-charter	Middle	6 - 8	383	No	Yes	Yes	93%	1
	14	Oakland Unified	Frick Middle*	Traditional	Non-charter	Middle	6 - 8	227	No	Yes	Yes	94%	5
	15	Oakland Unified	Urban Promise Academy	Traditional	Non-charter	Middle	6 - 8	370	No	Yes	Yes	95%	6
Central	16	San Leandro Unified	San Leandro High*	Traditional	Non-charter	High	9 - 12	2,608	Yes	Yes	Yes	58%	5
	17	San Leandro Unified	John Muir Middle*	Traditional	Non-charter	Middle	6 - 8	970	Yes	Yes	Yes	60%	1
	18	Hayward Unified	Cesar Chavez Middle	Traditional	Non-charter	Middle	6 - 8	567	Yes	Yes	Yes	82%	5
	19	Hayward Unified	Bret Harte Middle	Traditional	Non-charter	Middle	7 - 8	637	Yes	Yes	Yes	59%	8
	20	Hayward Unified	Hayward High	Traditional	Non-charter	High	9 - 12	1,576	No	Yes	Yes	66%	3
	21	San Lorenzo Unified	Bohannon Middle	Traditional	Non-charter	Middle	6 - 8	854	Yes	Yes	Yes	68%	4
	22	San Lorenzo Unified	San Lorenzo High	Traditional	Non-charter	High	9 - 12	1,394	Yes	Yes	Yes	76%	2
South	23	New Haven Unified	Cesar Chavez Middle*	Traditional	Non-charter	Middle	6 - 8	1,255	Yes	Yes	Yes	62%	1 ACT 4 UCT
	24	New Haven Unified	James Logan High*	Traditional	Non-charter	High	9 - 12	3,750	No	Yes	Yes	45%	9 ACT 6 UCT
	25	Newark Unified	Newark Junior High	Traditional	Non-charter	Middle	7 - 8	901	No	Yes	Yes	51%	4
	26	Newark Unified	Newark Memorial High	Traditional	Non-charter	High	9 - 12	1,703	No	Yes	Yes	45%	8
	27	Fremont Unified	William Hopkins Junior High	Traditional	Non-charter	Middle	7 - 8	1,119	No	Yes	Yes	5%	2
	28	Fremont Unified	American High	Traditional	Non-charter	High	9 - 12	2,200	Yes	Yes	Yes	17%	5
East	29	Dublin Unified	Wells Middle	Traditional	Non-charter	Middle	6 - 8	920	Yes	Yes	Yes	15%	2

Planning Area		School District	School Name	School Type	Charter	School Level	Grades	Enrollment (2016-2017)	SR2S	Traditional/Continuation School Day	Existing Bus Stop within 1/4 mile of School	Income Opportunity (percent of FRPM eligible students)	# of Bus Routes
	30	Dublin Unified	Dublin High	Traditional	Non-charter	High	9 - 12	2,499	Yes	Yes	Yes	8%	5
	31	Livermore Valley Joint Unified	Del Valle Continuation High	Continuation	Non-charter	High	7 - 12	121	No	Yes	Yes	54%	1
	32	Livermore Valley Joint Unified	East Avenue Middle*	Traditional	Non-charter	Middle	6 - 8	618	Yes	Yes	Yes	31%	1
	33	Livermore Valley Joint Unified	Livermore High*	Traditional	Non-charter	High	9 - 12	1,810	No	Yes	Yes	21%	4
	34	Livermore Valley Joint Unified	Andrew N. Christensen Middle	Traditional	Non-charter	Middle	6 - 8	625	No	Yes	Yes	17%	1
	35	Pleasanton Unified	Thomas S. Hart Middle	Traditional	Non-charter	Middle	6 - 8	1,243	Yes	Yes	Yes	6%	6
	36	Pleasanton Unified	Foothill High	Traditional	Non-charter	High	9 - 12	2,148	Yes	Yes	Yes	6%	3

\*Schools in Year 1 Pilot Program

Schools in Year 2 of the Pilot Program