



**COMMISSION MEETING NOTICE**  
**Thursday, December 6, 2012, 2:30 P.M.**  
1333 Broadway, Suite 300  
Oakland, California 94612  
(see map on last page of agenda)

**Commission Chair**  
Mark Green, Mayor – Union City

**Commission Vice Chair**  
Scott Haggerty, Supervisor – District

Mark Green  
Scott Haggerty

Chair  
Vice Chair

**AC Transit**  
Greg Harper, Director

Arthur L. Dao  
Vanessa Lee

Executive Director  
Clerk of the Commission

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

**AGENDA**

*Copies of Individual Agenda Items are Available on the  
Alameda CTC Website -- [www.alamedactc.org](http://www.alamedactc.org)*

**BART**  
Thomas Blalock, Director

**City of Alameda**  
Rob Bonta, Vice Mayor

**City of Albany**  
Farid Javandel, Mayor

**City of Berkeley**  
Laurie Capitelli, Councilmember

**City of Dublin**  
Tim Sbranti, Mayor

**City of Emeryville**  
Ruth Atkin, Councilmember

**City of Fremont**  
Suzanne Chan, Councilmember

**City of Hayward**  
Marvin Peixoto, Councilmember

**City of Livermore**  
John Marchand, Mayor

**City of Newark**  
Luis Freitas, Councilmember

**City of Oakland**  
Councilmembers  
Larry Reid  
Rebecca Kaplan

**City of Piedmont**  
John Chiang, Mayor

**City of Pleasanton**  
Vacant

**City of San Leandro**  
Michael Gregory, Vice Mayor

**Executive Director**  
Arthur L. Dao

**1 Pledge of Allegiance**

**2 Roll Call**

**3 Public Comment**

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

**4 Chair/Vice Chair Report**

**5 Executive Director Report**

**6 Approval of Consent Calendar**

- 6A. Minutes of October 25, 2012 – **Page 1** **A**
- 6B. Congestion Management Program (CMP): Summary of the Alameda CTC’s Review and Comments on Environmental Documents and General Plan Amendments– **Page 7** **I**
- 6C. Approval of Congestion Management Program: Final 2012 Annual Conformity Requirements– **Page 15** **A**  
( 14 Affirmative Votes Required )
- 6D. Approval of Draft 2013 Alameda CTC Legislative Program – **Page 19** **A**
- 6E. Presentation from Contra Costa Transportation Authority (CCTA) on State Route 239 (TriLink) Study– **Page 31** **I**

- 6F. Approval of Issuance of a Request for Qualifications (RFQ) for a Sustainable Communities Technical Assistance Program (SC-TAP) – **Page 47** **A**
- 6G. Approval of the Alameda-Contra Costa Transit District's (AC Transit) Request to Extend the Agreement Expiration Date for the Measure B Paratransit Gap Grant Agreement No. A08-0026, New Freedom Fund Match Project - **Page 51** **A**
- 6H. Approval of the Reprogramming of Cycle 2 Lifeline Transportation Program Funding – **Page 59** **A**
- 6I. California Transportation Commission (CTC) October 2012 Meeting Summary– **Page 63** **I**
- 6J. Approval of Priority Conservation Area (PCA) Process and Schedule – **Page 67** **A**
- 6K. Report of Pavement Condition Of Bay Area Jurisdictions 2011 by the Metropolitan Transportation Commission (MTC) – **Page 103** **I**
- 6L. I-680 Northbound Express Lane Project (ACTIA 8B)– Allocation of 2000 Measure B Capital Funding and Approval to Amend the Professional Services Agreement with WMH Corporation for expanded scope of services – **Page 113** **A**
- 6M. Telegraph Avenue Corridor Transit Project (APN 607.0) - Approval of Allocation of Measure B Funding for the Plans, Specifications and Estimate (Design) Phase– **Page 121** **A**
- 6N. Approval of Authorization for Staff to negotiate and/or coordinate with California Department of Transportation (Caltrans) to negotiate for the sale of the Alameda CTC-owned property (APN 543-275-12-2) and Update on the Draft Disposal Plan for State-owned right-of-way that was purchased for the Former Route 84 Historic Parkway in Fremont and Union City - **Page 125** **A**
- 6O. Approval of the Executive Director's Salary for Fiscal Year for 2012-13– **Page 145** **A**
- 6P. Approval of the Alameda CTC FY2012-13 First Quarter Investment Report – **Page 149** **A**
- 6Q. Approval of the Alameda CTC FY2012-13 First Quarter Financial Report – **Page 161** **A**

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|-----------|---|----------|
| 6R.       | Approval of the ACCMA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012 – <b>Page 175</b> | <b>A</b> |
| 6S.       | Approval of the ACTIA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012 – <b>Page 237</b> | <b>A</b> |
| 6T.       | Approval of Advisory Committee Appointments– <b>Page 293</b>  | <b>A</b> |
| <b>7</b>  | <b>Community Advisory Committee Reports – (Time Limit: 3 minutes per speaker)</b>   |          |
| 7A.       | Bicycle and Pedestrian Advisory Committee- Midori Tabata, Chair – <b>Page 297</b>   | <b>I</b> |
| 7B.       | Citizens Advisory Committee – Berry Ferrier, Chair – <b>Page 307</b>  | <b>I</b> |
| 7C.       | Citizens Watchdog Committee – James Paxson, Chair – <b>Page 309</b>   | <b>I</b> |
| 7D.       | Paratransit Advisory and Planning Committee – Sylvia Stadmire, Chair – <b>Page 317</b>  | <b>I</b> |
| <b>8</b>  | <b>Planning, Policy and Legislation Committee Action Items</b>  |          |
| 8A.       | Review of Draft Priority Development Area (PDA) Readiness Classification – <b>Page 335</b>                                    | <b>A</b> |
| 8B.       | Review of Draft One Bay Area Grant (OBAG) Program Guidelines – <b>Page 359</b>  | <b>A</b> |
| <b>9</b>  | <b>Member Reports (Verbal)</b>  |          |
| <b>10</b> | <b>Adjournment-Next Meeting- January 24, 2013</b>   |          |

**Key: A- Action Item; I – Information Item**

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

(\*) Materials will be distributed at the meeting.

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

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

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

Alameda County Transportation Advisory Committee (ACTAC)	1:30 pm	January 8, 2013	1333 Broadway, Suite 300
I-580 Policy Advisory Committee (PAC)	10:15 am	January 14, 2013	1333 Broadway, Suite 300
I-680 Sunol Smart Carpool Lane Joint Powers Authority Committee (JPA)	10:00 am	January 14, 2013	1333 Broadway, Suite 300
Planning, Policy and Legislation Committee (PPLC)	11:00 am	January 14, 2013	1333 Broadway, Suite 300
Programs and Projects Committee (PPC)	12:15 pm	January 14, 2013	1333 Broadway, Suite 300
Finance and Administration Committee (FAC)	1:30 pm	January 14, 2013	1333 Broadway, Suite 300
Alameda CTC Commission Meeting	2:30 pm	January 24, 2013	1333 Broadway, Suite 300



## Glossary of Acronyms

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

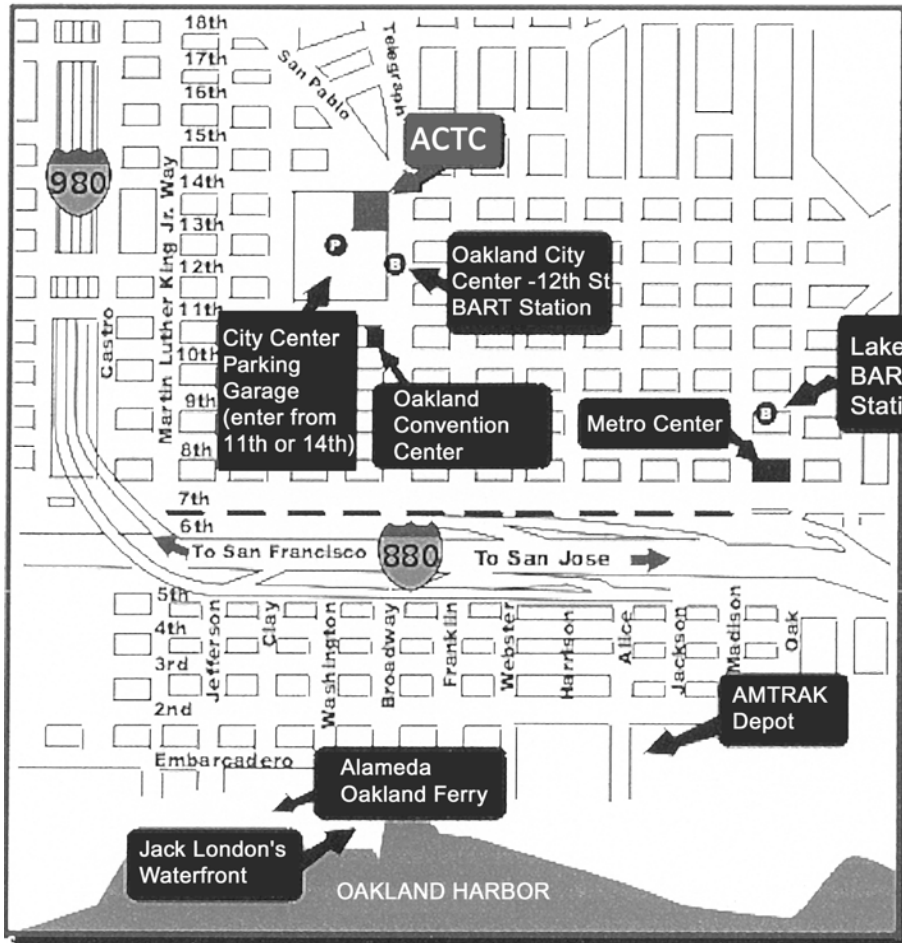


1333 Broadway, Suites 220 & 300

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**Directions to the Offices of the Alameda County Transportation Commission:**

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

**Public Transportation Access:**

**BART:** City Center / 12<sup>th</sup> Street Station

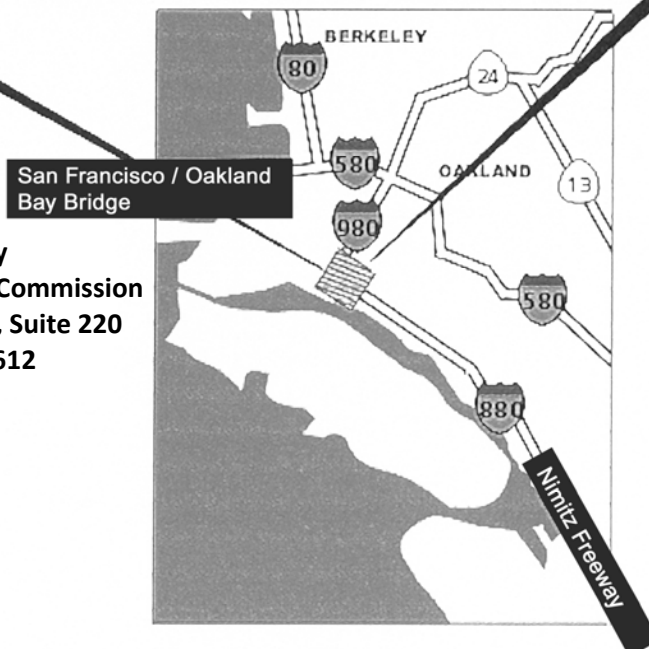
**AC Transit:**

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

**Auto Access:**

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

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





**ALAMEDA COUNTY TRANSPORTATION COMMISSION  
MINUTES OF OCTOBER 25, 2012  
OAKLAND, CALIFORNIA**

**1. Call to Order/Pledge of Allegiance**

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

**2. Roll Call**

Clerk Lee conducted the roll call to confirm quorum.

**3. Public Comment**

A public comment was heard by Dave Campbell.

**4. Chair/Vice-Chair's Report**

Chair Green informed the Commission that the Alameda CTC received an award from the Metropolitan Transportation Commission (MTC) for the completion of the HOT Lane.

Supervisor Haggerty stated that both he and Mayor Green attended the opening of the I-80 corridor in Emeryville.

**5. Executive Director Report**

Art Dao expressed his thanks to the Chair and Vice-Chair for getting additional PDA funding from MTC. He also stated that the quarterly investment report was included in the packet as well as a response letter from Urban Habitat.

**6. Approval of Consent Calendar**

**6A. Minutes of September 27, 2012**

**6B. Legislative Update**

**6C. Review of Congestion Management Plan (CMP): Draft 2012 Conformity Requirements**

**6D. Approval of Final Draft Countywide Bicycle and Pedestrian Plans**

**6E. Review of Safe Routes to Schools Program 2011-2012 Year-End Report and Update**

**6F. Approval of Final Draft Alameda CTC Complete Streets Elements**

**6G. Approval of State Transportation Improvement Program (STIP) At Risk Report Approval of Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ) Program At Risk Report**

**6H. Approval of CMA Exchange Program Quarterly Status Monitoring Report**

- 6I. Approval of Transportation Fund for Clean Air (TFCA) Program At Risk Report**
- 6J. Review of FY 11-12 Alameda CTC Program Status Update on Pass-through Fund and Grant Programs**
- 6K. Review of California Transportation Commission (CTC) September 2012 Meeting Summary East Bay Greenway – Authorization to Execute all Necessary Agreements for Construction Management of East Bay Greenway Segment 7A**
- 6L. Isabel Avenue/Route 84/I-580 Interchange Project (ACTC No. 623) – Approval of Reduction of 2000 Measure B Allocated Amount by \$1.5 million and of Amendments to Project Specific Funding Agreements A07-0058 and A08-0045 (Amendments No. 1 and 2, respectively) between the Alameda CTC and the City of Livermore to shift the Allocated Measure B funding between phases and to extend the termination dates**
- 6M. Dumbarton Corridor Project (ACTC No. 625) - Approval of Time Extension for Project Specific Funding Agreement No. A05-0007 (Amendment No. 5) between the Alameda CTC and San Mateo County Transportation Authority**
- 6N. Eastbound I-580 High Occupancy Toll (HOT) Project (ACTC No. 720.4) – Approval of Time Extension for Professional Service Agreement No. A08-030 (Amendment No. 2) between the Alameda CTC and Solem and Associates**
- 6O. Oakland Airport Connector Project (ACTC Project No. 603) - Approval of Time Extension for Project Specific Funding Agreement No. A06-0041 (Amendment No. 4) between the Alameda CTC and the San Francisco Bay Area Rapid Transit District (BART)**
- 6P. I-880 Operational and Safety Improvements at 23rd and 29th Avenues Project (ACTC Project No. 717.0) - Approval of the Initial Project Report to Request MTC Allocation of Regional Measure 2 Funds for Construction Support**
- 6Q. I-238 Widening Project (ACTC No. 621.0) - Approval of Reduction CMA TIP Programmed Amount for the I-Bond Project Development Closeout, Construction Phase Support and Project Closeout; and Adopt the I-238 Widening Project Closeout into the CMA TIP, and Authorize Related Amendments to Existing Agreements and Contracts**
- 6R. Alameda CTC Semi-Annual Capital Projects Status Update**
- 6S. Approval of Alameda County Technical Advisory Committee (ACTAC) Bylaws**
- 6T. Approval of Exchange Program Reimbursement Policy**
- 6U. Approval of Advisory Committee Appointments**

Item 6E was removed from the Consent Calendar for further consideration. Supervisor Miley wanted to know the baseline number of kids who were walking and biking to school. Arun Goel stated that there was an estimated 25,000 students used in the study. Out of that amount 29% were walking and 9% were biking.

Supervisor Miley motioned to approve this item. Vice Mayor Bonta seconded the motion. The motion passed 22-0.

Director Blalock motioned to approve the remainder of the Consent Calendar. Councilmember Worthington seconded the motion. The motion passed 22-0.

**7. Community Advisory Committee Reports**

**7A. Bicycle and Pedestrian Advisory Committee (BPAC)**

Ann Welsh, Vice Chair of BPAC, informed the Board that the BPAC had approved the bicycle and Pedestrian Plans, provided input to the Complete Streets policy and reviewed and provided input on the One Bay Area Grant (OBAG) program. Ms. Welsh concluded by stating that the all vacancies on BPAC were currently filled.

**7B. Citizens Advisory Committee (CAC)**

No one was present from the Citizens Advisory Committee.

**7C. Citizens Watchdog Committee (CWC)**

No one was present from the Citizens Watchdog Committee.

**7D. Paratransit Advisory and Planning Committee (PAPCO)**

No one was present from the Paratransit Advisory and Planning Committee.

**8. Programs and Projects Committee Action Items**

**8A. East Bay Greenway – Adoption of Initial Study/Mitigated Negative Declaration (IS/MND) for 12-Mile East Bay Greenway Project**

Victoria Eisen, Projects Control Team, recommended that the Commission authorize the Executive Director, or designee of the Executive Director, to negotiate and execute a professional services agreement for construction management services with a consultant firm selected via a request for proposals issued jointly with another Alameda CTC project entering the construction phase, i.e. the I-580 Landscaping Project. The authorized contract amount for the East Bay Greenway construction management shall not exceed \$175,800 to be funded by federal funding and required local match currently identified for the project; and authorize the Executive Director, or designee of the Executive Director, to negotiate and execute the necessary inter-agency agreements to secure project funding and to implement the construction phase of the segment of the East Bay Greenway funded by the Tiger II federal grant. Ms. Eisen stated that the general purpose of this approval was to position the project for more funding.

Director Blalock wanted clarification on who maintains the project and provides security and policing. Art Dao stated that it was negotiated with the City of Oakland and BART, for Alameda CTC to commit to 20 years of maintenance of the portion of the project that stretches approximately eight tenths of a mile through Oakland.

Councilmember Kaplan motioned to approve the Item. Councilmember Worthington seconded the motion. The motion passed 22-0.

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

**9A. Approval of Priority Development Area (PDA) Readiness Criteria**

**9B. Approval of Draft One Bay Area Grant (OBAG) Program Guidelines Elements**

Items 9A and 9B were combined for a joint presentation. Beth Walukas stated that there were approvals needed for the following: the proposed PDA readiness criteria to be used in the development of the PDA Investment and Growth Strategy/Strategic Plan; the Draft One Bay Area Grant (OBAG) Program Guideline element and the PDA criteria. Ms. Walukas reviewed the PDA investment and growth process, PDA readiness categories including active, near active and needing planning categories. She provided a definition of the planning and development support screens and a definition of the square footage in the pipeline. Ms. Walukas concluded by summarizing comments from the Planning, Policy and Legislative Committee (PPLC) and reviewing upcoming steps for November.

Councilmember Peixoto questioned if retail space would be considered in the commercial footage requirement. Ms. Walukas stated that the commercial footage requirement does include retail space.

Councilmember Capitelli wanted clarification on how the development screens were determined. Marissa Raya, from the Association of Bay Area Governments stated that the development screens were based on how boundaries were drawn in the individual PDA's.

Councilmember Worthington wanted to know if there was any weight placed on extremely low income PDA's. Ms. Walukas stated that income weighting was addressed in the program guidelines.

A motion was made to approve the proposed PDA readiness criteria to be used in the development of the PDA Investment and Growth Strategy/Strategic Plan by Councilmember Worthington. The motion was seconded by Director Blalock. The motion passed 22-0.

Matt Todd reviewed programming of sixty four million dollars in OBAG funds and the OBAG policy requirements. Mr. Todd outlined the four funding categories as well as the PDA guideline elements including the project selection criteria. He stated that details on selection weighting will be brought back to the Board in December and he concluded by briefly reviewing other OBAG programs and outlining next steps.

Mayor Sbranti questioned if there was any funding for Priority Conservation Areas (PCA). Art Dao stated that MTC has started discussions on PCA's but none of the aforementioned funding applies.

There were seven public comments heard on Item 9B:

Carlos Castellanos	Paul Campos
Vivian Huang	Lindsey Imai
Robbie Clark	Catherine Lyons
Marissa Raya	

Mayor Green recommended that staff add and additional category for a technical program since additional PDA funding was secured from MTC.

Supervisor Haggerty made a motion to approve the Draft One Bay Area Grant (OBAG) Program Guideline elements with the suggested addition by Mayor Green. Councilmember Chan seconded the motion. The motion passed 22-0.

A motion was made to approve the PDA criteria elements by Supervisor Haggerty. Councilmember Atkin seconded the motion. The motion passed 22-0.

**10. Member Reports**

Director Blalock stated that BART was celebrating its 40 year anniversary.

**12. Adjournment: Next Meeting – December 6, 2012**

The meeting ended at 4:30 pm. The next meeting will be held on December 6, 2012 at 2:30pm.

Attest by:

A handwritten signature in blue ink, appearing to read "Vanessa Lee", is written over a horizontal line.

Vanessa Lee  
Clerk of the Commission

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## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Planning, Policy and Legislation Committee

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

### **Recommendation**

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

### **Summary**

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

Since the last monthly update on September 10, 2012, staff reviewed and commented on one NOP and/or EIR. Comments were submitted for the one item. The comment letter is attached.

### **Attachments**

Attachment A: Comment letter for City of Dublin, Moller Ranch SDEIR

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October 29, 2012

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

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

Dear Mr. Porto:

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

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

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

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

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

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

Sincerely,



Beth Walukas  
Deputy Director of Planning

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

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



August 20, 2012

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

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

Dear Mr. Porto:

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

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

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

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

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

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

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

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

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

Sincerely,

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

Beth Walukas  
Deputy Director of Planning

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







## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Planning, Policy and Legislation Committee

**SUBJECT: Approval of Congestion Management Program: Final 2012 Annual Conformity Requirements**

### **Recommendation**

It is recommended that the Commission:

- 1) Find that all local jurisdictions are in conformance with the Congestion Management Program (CMP) annual conformity requirements, and
- 2) Approve the Deficiency Plan status reports regarding SR 260 Posey Tube eastbound to I-880 northbound freeway connection, SR 185 northbound between 46<sup>th</sup> and 42<sup>nd</sup> Avenues and Mowry Avenue eastbound from Peralta Boulevard to SR 238/Mission Boulevard.

### **Summary**

Local jurisdictions are required to comply with the CMP as follows:

- 1) (a) Tier 1 Land Use Analysis – submit to Alameda CTC all Notice of Preparations, EIRs and General Plan amendments;  
(b) Tier 2 Land Use Forecasts- review ABAG Projections by traffic analysis zones;
- 2) Traffic Demand Management (TDM) – Complete Site Design Checklist;
- 3) Payment of Fees; and
- 4) Deficiency Plans and Deficiency Plan Progress Reports, as needed in some jurisdictions.

All of the jurisdictions that are required to provide a Deficiency Plan status report have complied with the requirement. In addition, all jurisdictions have complied with the remaining three conformity requirements.

### **Discussion**

Letters were sent to the jurisdictions requesting 1a) Tier 1 Land Use Analysis Program, 2) TDM Site Design Checklist information, and 4) Deficiency Plan Progress Reports from the responsible jurisdictions by October 1, 2012. Responses were received from all of the jurisdictions.

Attachment A “2012 CMP Conformance Land Use Analysis, Site Design, Payment of Fees and Deficiency Plans” indicates that all jurisdictions have completed the annual requirements for the CMP conformance.

Regarding the requirement for some jurisdictions to submit Deficiency Plans or Deficiency Plan Progress Reports, no new CMP roadway segments were found to be deficient in 2012, based on

the 2012 LOS Monitoring data and the select link analysis from the Countywide Travel Demand Model and after applying all applicable exemptions. Therefore, the preparation and submission of Deficiency Plans for 2012 is not required. However, there are three ongoing Deficiency Plans for 2012, for which jurisdictions are required to send progress reports. All jurisdictions that are required to report on the three active deficiency plans are in conformance as follows:

- 1) SR 260 Posey Tube eastbound to I-880 northbound freeway connection  
Lead: City of Oakland  
Participation Jurisdictions: Cities of Berkeley and Alameda  
Progress Report and Letters of Concurrence: Received and progress is satisfactory. Additionally, the cities of Oakland and Alameda requested support from the regional agencies in securing funds for portion of the Phase II improvements for the Webster ITS project, which is one of the improvement measures in the Deficiency Plan. The Alameda CTC will work with the cities to determine funding availability.
- 2) SR 185 northbound between 46<sup>th</sup> and 42<sup>nd</sup> Avenues  
Lead: City of Oakland  
Participation Jurisdiction: City of Alameda  
Progress Report and Letters of Concurrence: Received and the progress is satisfactory.
- 3) Mowry Avenue eastbound from Peralta Boulevard to SR 238/Mission Boulevard  
Lead: City of Fremont  
Participation Jurisdictions: Newark  
Progress Report and Letters of Concurrence: Received and the progress is satisfactory.

### **Fiscal Impacts**

There are no fiscal impacts at this time.

### **Attachments**

Attachment A: 2012 CMP Conformance: Land Use Analysis, Site Design Guidelines, Payment of Fees, and Deficiency Plans

**Table 1**  
**2012 CMP CONFORMANCE**  
**Land Use Analysis, Site Design, Payment of Fees and Deficiency Plans**

	Land Use Analysis Program			Site Design	Payment of Fees	Deficiency Plans/LOS Standards	Meets All Requirements
Jurisdiction	Tier 1 - Ordinance Adoption	Tier 1: GPA & NOP Submittals	Tier 2- Land Use Forecasts*	Checklist Complete	Payments thru 4th Qts FY 11/12	Deficiency Plan Progress Reports and Concurrence	
Alameda County	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Alameda	Yes	Yes	Yes	Yes	Yes	Yes	Yes
City of Albany	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Berkeley	Yes	Yes	Yes	Yes	Yes	Yes	Yes
City of Dublin	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Emeryville	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Fremont	Yes	Yes	Yes	Yes	Yes	Yes	Yes
City of Hayward	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Livermore	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Newark	Yes	Yes	Yes	Yes	Yes	Yes	Yes
City of Oakland	Yes	Yes	Yes	Yes	Yes	Yes	Yes
City of Piedmont	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Pleasanton	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of San Leandro	Yes	Yes	Yes	Yes	Yes	N/A	Yes
City of Union City	Yes	Yes	Yes	Yes	Yes	N/A	Yes

N/A indicates that the city is not responsible for any deficiency plan in the past fiscal year.

\* This requirement has been met through the CWTP process to provide input on the development of the Sustainable Communities Strategy.

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## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Planning Policy and Legislation Committee

**SUBJECT:** **Approval of Draft 2013 Alameda CTC Legislative Program**

### **Recommendation**

Staff recommends approval of the Draft 2013 Alameda CTC Legislative Program.

### **Summary**

The Alameda CTC's Legislative Program will guide legislative actions and policy direction on legislative issues during the upcoming calendar year.

Some of the highest priorities in 2013 will be to participate in efforts regarding the new State Transportation Agency, MAP-21 implementation in California and any new reauthorization efforts, implementation of the region's Sustainable Communities Strategy, Cap and Trade funding for transportation, CEQA reform, and implementation of the 2012 TEP if it passes in November 2012. Staff will provide an update at the PPLC meeting regarding the outcomes of the November 6, 2012 elections.

### **Background**

Each year, the Alameda CTC adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the legislative program is to establish funding, regulatory and administrative principles to guide Alameda CTC's legislative advocacy in the coming year. 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 Sacramento and Washington, DC.

The draft 2013 Legislative Program is divided into five sections:

- Transportation Funding
- Project Delivery
- Multi-Modal Transportation and Land Use
- Climate Change
- Partnerships

Alameda CTC's state and federal lobbyists will be scheduling meetings in early spring with various legislators and agency staff in Sacramento and Washington, D.C. to discuss the Alameda CTC legislative needs in 2013. We invite Board members who are interested to participate in these meetings.

**Attachments**

Attachment A: 2013 Draft Legislative Program

Attachment B: Federal Legislative Update

**Attachment A**

**2013 Alameda CTC Legislative Program**

## **2013 LEGISLATIVE PROGRAM**

### **Introduction**

Each year, the Alameda County Transportation Commission (Alameda CTC) adopts a Legislative Program to provide direction for its legislative and policy activities for the year.

The purpose of the Legislative Program is to establish funding, regulatory and administrative principles to guide Alameda CTC's legislative advocacy in the coming year. The program is developed to be flexible, allowing opportunities to pursue legislative and administrative opportunities that may arise during the year, and to respond to the changing political processes at the regional level and in Sacramento and Washington, DC.

While Alameda CTC is required to fulfill the roles and responsibilities of voter mandated transportation expenditure plans and the roles of a congestion management agency, the current transportation climate with respect to the need for new and secure funding sources, implementation of recent legislative mandates (including MAP-21 through 2014, implementation of the State's Cap and Trade Program, and on-going implementation of SB 375), changes to the structure of transportation agencies in California, as well as efforts to streamline CEQA all affect the direction of state and federal advocacy efforts by the Alameda CTC. Further, Alameda CTC projects and programs can be advanced by additional funding and policy decisions supported through a legislative program, particularly if Measure B1 is approved by voters on November 6, 2012.

The draft 2013 Legislative Program is divided into five sections:

- Transportation Funding
- Project Delivery
- Multi-Modal Transportation and Land Use
- Climate Change
- Partnerships

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

### **Transportation Funding**

California represents the United States' largest economy, and the 9<sup>th</sup> largest in the world. Its diverse industries range from agriculture to mining to biotechnology to the internet - all of which serve as a source of the State's economic strength. Each of these industries relies on a backbone of transportation to move its people, goods and services. Over the past 20 years, the state and federal gas taxes have not been raised, and since that time, vehicle miles traveled in California have increased by 25%.

Fuel prices fluctuate significantly in California, but the gas tax remains flat with no index to inflation. The federal Highway Trust Fund has had to borrow almost \$50 billion since 2008 to meet federally authorized expenditures, and the recently approved MAP-21 federal transportation bill did not increase revenues for transportation, nor address a future funding mechanism to create a reliable funding stream. In addition, transportation funds have been redirected for general fund purposes. As a consequence, the purchasing power for transportation has diminished and infrastructure and



operations have been seriously compromised by reduced buying power. In the absence of state and federal funding increases for transportation, funding solutions have increasingly become reliant on voter approved measures, many of which have the highest voter threshold requirement for passage.

Over the past several years, additional local sales tax measures have surpassed the 2/3 voter hurdle, voters have supported statewide bond measures to fund transportation infrastructure throughout the state, and in November 2010, five out of seven counties in the Bay Area approved increasing the vehicle registration fees to fund transportation improvements. These advances in funding demonstrate the public's will to support essential infrastructure and transportation programs, and underscore the need for improving the quality of our transportation systems.

However, while voters are willing to support measures to increase funding, Alameda County, the state and country continue to face profound transportation funding challenges, which become increasingly exacerbated over time. The following are Alameda CTC legislative priorities for transportation funding:

***Increase transportation funding***

- Support efforts to lower the 2/3 voter requirement for voter-approved transportation measures, which will allow more counties the opportunity to become “self-help” counties, thereby increasing transportation funding overall in the State.
- Support legislation that increases and/or requires the gas tax to be adjusted regularly to support its “buying power”.
- Support efforts to increase transportation revenues through other funding mechanisms such as vehicle license fees, vehicle miles traveled, or other means that offer a reliable and fair-share funding stream for transportation.
- Support legislation that provides alternative methods of financing projects and programs such as high-occupancy toll lanes, including allowing funds collected through California Highway Patrol activities within the express lane corridor to be redirected into the express lane operations, public-private partnerships, and other user-based-type fees to continue critical investments in transportation infrastructure, provided they protect the public investment.

***Protect and enhance voter approved funding***

- Support legislation that protects and provides increased funding to Alameda County for operating, maintaining, rehabilitating, and improving transportation infrastructure and operations, including state highways, public transit and paratransit, local streets and roads, bicycle and pedestrian facilities, seismic safety upgrades, and goods movement, including making the use of these funds more flexible from different fund sources.
- Support legislation that protects against transportation funding diversions to the General Fund.
- Support increases in funding for Alameda CTC projects and programs from federal, state and regional funding sources to expedite Alameda CTC's project and program delivery.
- Support efforts that give priority funding to voter approved measures and oppose those that negatively affect the ability to implement voter approved measures.
- Support rewarding Self-Help Counties and states that provide significant funding into

transportation systems. California is considered a “Self-Help” state; one that raises funds both locally and statewide to fund local, state and federal transportation projects. Each year, \$3-\$4 billion is invested into the overall state system funded by voter approved measures. The 2006 voter approved state infrastructure bonds is on top of this amount, as well as the vehicle registration fees approved in five out of seven Bay Area counties in November 2010. Support policies that reward self-help efforts of California and Alameda County by providing priority funding for projects, bonus matching funds or simple increases in overall funding commensurate with the state’s and county’s investments.

- Support seeking, acquiring and implementing grants that advance Alameda CTC planning, funding and delivery of projects and programs.
- Support Alameda County as a recipient of funds to implement pilot programs that support innovative project implementation or transportation funding mechanisms.

### **Project Delivery**

Delivery of transportation infrastructure expeditiously is a critical for ensuring cost-effective mobility of people and goods while protecting air and environmental quality, jobs and a high quality of life. However, delivery of projects is often bogged down by the multiple stages and long time frames for current project delivery processes, including environmental clearance and mitigation, design, right of way and project financing. In response, Alameda CTC supports innovative ways to deliver projects quickly which reduce costs to taxpayers and provide essential transportation mobility options.

#### ***Advance Innovative Project Delivery***

- Support legislation and policies that improve environmental streamlining and project reviews, including requiring specific time frames for state and federal reviews and approvals, to expedite project delivery while ensuring appropriate design, environmental protection and mitigation.
- Support legislation that improves the ability to deliver Alameda CTC projects and programs in a timely and cost-effective manner and that makes the best use of contracting flexibility.
- Support innovative project delivery methods including the design-build and design-sequencing methods of contracting for transportation projects, and public/private partnerships.
- Support the expansion of HOT lane implementation opportunities in Alameda County and the Bay Area.
- Support policies that allow local agencies such as Alameda CTC to advertise, award and administer contracts on the state highway system when local funds are paying for the highway investment.

#### ***Ensure Cost Effective Project Delivery***

- Support legislation that reduces costs for Alameda CTC to implement projects and programs, including reducing or eliminating requirements to reimburse the state or other agencies for projects that Alameda CTC is paying for to implement on state or regional transportation systems, such as Project Initiation Documents.

- Support legislation and policies that accelerate funding for transportation infrastructure projects that create additional jobs and economic activity in Alameda County.

### **Multi-modal Transportation and Land Use**

Transportation in the Bay Area must serve the multiple needs of its populace. There is not one transportation type that serves all people, nor delivery of all goods. Further, legislation such as SB 375, which requires a reduction of greenhouse gas emissions from the transportation sector and the requirement to house all sectors of the population in the region, strengthen the link between transportation and land use planning, funding and implementation. During the same period that these legislative mandates have been implemented, redevelopment funding has disappeared and other funding mechanisms have not been created to adequately fund infrastructure to effectively link transportation, housing and jobs.

Alameda CTC supports efforts that encourage, fund and provide incentives and/or reduce barriers to integrating transportation, housing and jobs development around transportation centers or corridors.

### ***Reduce Barriers to the Implementation of Transportation and Land Use Investments***

- Support legislation that increases the flexibility and reduces both technical and funding barriers to implementation of transportation investments that support the linkage between transportation, housing and jobs.
- Support local flexibility and decision-making on land use components of transit oriented development (TOD) or priority development area (PDA) investments.
- Support legislation that increases opportunities to fund TODs or PDAs with the use of tax increment financing, benefit assessment districts, or other innovative financing that specifically supports implementation of TODs and PDAs for transportation, housing, utilities, enforcement and other resources needed to support TODs and PDAs that will be effective in helping to increase mobility, expand job opportunities and reduce greenhouse gas emissions.

All people rely on transportation to meet some basic needs, whether that is delivery of food, goods, or simply movement from one place to another. Transportation systems must serve all of society to meet the mobility needs of youth, seniors, disabled, working people, and people at all income levels in our communities with a variety of transportation modes. Creating a balanced system with multiple transportation options expands access for all transportation users.

### ***Expand Multi-Modal Systems and Flexibility***

- Support policies that ensure multi-modal transportation systems that provide multiple choices for transportation users, including disabled access, walking, biking, transit, motorists, and the delivery of goods and services.
- Support policies that provide increased flexibility for transportation service delivery that can address the varying needs of commuters, youth, seniors, disabled and low income people through innovative and flexible programs such as senior and commuter shuttles, travel training, volunteer transportation support services, transit pass programs, and flexible service delivery to meet high volume travel periods.

- Support policies to increase the flexibility to implement transportation projects and programs that address climate change, senior population increases, and transit maintenance and security, and that do not create unfunded mandates, or dramatically increase the costs for delivery of transportation services and projects.
- Support efforts that invest in transportation to serve transit-dependent communities that provide enhanced access to goods, services, jobs and education.
- Support parity in pre-tax fringe benefits for public transit and vanpooling that are allowed for parking.

### **Climate Change**

The enactment of AB32 and SB 375 to reduce the State's greenhouse emissions, link transportation and housing and to create a funding stream to pay for projects and programs that reduce GHG emissions (the State's cap-and-trade program) affect how transportation planning, funding and delivery are done in Alameda County and throughout the State. AB 1532 and its companion bill SB 535, both of which were signed by Governor Brown in late September 2012, define how cap-and-trade funds may be spent, including on transportation, and require that 25% of revenues be spent on disadvantaged communities. Alameda CTC's long-range countywide transportation plan and its 2012 Transportation Expenditure Plan both support the SB 375 mandates and the region's Sustainable Communities Strategy that is still under development and anticipated to be adopted in spring 2013.

- Support climate change legislation that provides funding for innovative infrastructure (i.e. hydrogen fuel cell vehicles, hydrogen fueling stations, electric charging stations, etc.), operations and programs that relieve congestion, improve air quality, reduce GHG emissions, support economic development, and support the planning and implementation efforts associated with this work.
- Support Alameda CTC's engagement in the development of the statewide cap-and-trade expenditure plan that is required to be developed by May 2013, and advocacy for increased transportation funding statewide and in Alameda County.
- Support climate change legislation that expands transit services and supports safe, efficient and clear connections to transit services, including walking and biking infrastructure and programs.
- To achieve necessary increases in public transit ridership to address GHG emissions from the transportation sources, support legislation that augments transit funding and does not replace it, does not create unfunded mandates, and has well thought out planning and implementation efforts.
- Support legislation and policies that support emerging technologies offering incentives for alternative fuels and fueling technology, as well as research for transportation opportunities to reduce GHG emissions.

### **Partnerships**

In the coming year, Alameda CTC seeks to expand its partnerships at the local, regional, state and federal levels for policy development, planning, funding and project and programs delivery opportunities. Already, the Alameda CTC has hosted a countywide forum on legislative issues for

cities, transit and business partners, and the County to discuss legislative platforms in Alameda County, share information and begin to create a stronger, more unified “voice” for conveying transportation needs in Alameda County at the regional, state and federal levels. Alameda CTC will host quarterly Alameda County legislative forums to enhance our local partnerships in the County. Alameda CTC is participating in a similar approach at the regional level in partnership with the Bay Area Congestion Management Agencies and MTC, as well as at the state level with the Self-Help Counties Coalition. Alameda CTC views these efforts as essential to having more impact at the policy and planning levels that can translate into more effective project and program delivery.

In addition, Alameda CTC would like to partner on many multi-county transportation efforts, such as transit planning, freight corridor planning, express lane implementation and other types of transportation projects or programs that need to be implemented in more than one county to provide a system of transportation infrastructure or services for the traveling public, and that can be developed so that the region is ready to receive federal, state or other grants as they become available. Finally, Alameda CTC supports efforts that expand job opportunities for contracting with local and small businesses in the delivery of transportation projects and programs.

- Support efforts that encourage regional cooperation and coordination to develop, promote and fund solutions to regional problems.
- Support legislation and policies that promote governmental efficiencies and cost savings.
- Support legislation that improves the ability of the Commission and its partners to deliver, enhance or augment Alameda CTC projects and programs that affect bordering counties or that invest in regional transportation networks.
- Support efforts to maintain and expand local, women, minority and small business participation in state and local contracting procedures.

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# Potential Transportation Impacts from Various Budget and Deficit Reduction Proposals

## BACKGROUND

MAP-21 authorizes highway and mass transit programs through September 30, 2014, and extends the gas tax through September 30, 2016. MAP-21 also authorizes \$10.6 billion in FY13 and \$10.7 billion in FY14 for Mass Transit. Funding authorized from the Mass Transit Account of the Highway Trust Fund amounts to \$8.478 billion in FY13 and \$8.595 billion in FY14, with \$2.1 billion authorized from the General Fund in each fiscal year, in order to provide level funding plus inflation for the life of MAP-21.\*

Sequestration is set to go into effect on January 2, 2013 unless Congress passes legislation to prevent it. Congress will likely look to components of several alternative policies proposed over the past several years including the President's FY13 Budget, which would involve a mix of spending cuts and new revenue; the Simpson Bowles Commission Recommendations from 2010, which also includes new revenue; and the House Republican Sequester Replacement Reconciliation Act of 2012, an alternative that

only includes cuts. As negotiations to replace or modify sequestration proceed it is important to note that all programs, even those specifically exempt from BCA sequestration, could ultimately end up on the negotiating table.

The chart below outlines potential transportation impacts from recent proposals that have been suggested as alternatives to sequestration.

Proposal	Gas Tax/Trust Fund Impact	Discretionary Spending	Transfers to Highway Fund	Treatment of Investment	Transit Benefit
<b>FY13 Proposed Obama Budget</b>	Maintains current gas tax receipts and provides additional resources through savings from ending war in Iraq and winding down operations in Afghanistan.	Proposed a six-year surface transportation plan totaling \$476 billion, a significant increase for all programs.	No specific proposal, but would use funds saved by ending combat operations in Iraq and Afghanistan.	Calls for limiting exclusion of tax exempt interest on municipal bonds to fewer people; and would reinstate and making permanent the Build America Bonds program	No provision.
<b>FY13 House-Passed Ryan Budget</b>	No additional spending. Maintains current gas tax receipts.	Reduces federal transportation spending by over 30% by returning to 2008 level outlays, affecting TIGER, New Starts and other discretionary programs.	No provision addressing General Fund transfer.	Exclusion of interest on state and local government qualified private activity bonds.	Eliminate employer provided transit benefit.
<b>Simpson-Bowles Budget</b>	Proposes a 15-cent per gallon increase in the gas tax. Once fully implemented, the tax would generate an additional \$24-\$27 billion per year, limits spending to match the revenue the Highway Trust Fund collects each year.	Discretionary programs such as New Starts and TIGER would be cut. Calls for discretionary spending caps in both security and non-security programs (much like Budget Control Act). Also calls for \$50 billion in immediate discretionary cuts.	No provision addressing General Fund transfer.	Interest would be taxed as income on state and municipal bonds.	Although not explicitly mentioned, the tax benefit would likely be eliminated with other current benefits.
<b>Sequestration</b>	No increase in gas tax. Highway Trust Fund is exempt.	Discretionary programs such as New Starts and TIGER would be cut by 8.2%. OMB estimates New Starts would be cut by \$156 million and TIGER would be reduced by \$44 million.	The \$188 billion in General Fund transfer to the Highway Trust Fund resulting from the enactment of MAP-21 would be cut by 7.6%. These potential cuts to the General Fund transfer amount to approximately \$471 million.	Sequestration would apply a 7.6% cut to "Direct Pay Subsidies" for interest on Build America Bonds.	No provision.

\* During Senate Finance Committee mark up of MAP-21, Senator Michael Enzi (R-WY) offered an amendment that would index the gas tax to inflation. Although he withdrew the amendment, we believe this is significant as it shows some in Congress are willing to increase the gas tax and this increase could be part of a larger tax reform package.

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## State Route (SR) 239 Planning Study

State Route (SR) 239 is defined in state statute as a corridor “from Route 580 west of Tracy to Route 4 near Brentwood,” and in federal earmark language as “from State Route 5 in Brentwood area to I-205 in Tracy area.” The precise location of any constructed facility within the corridor is yet-to-be determined, pending completion of a major study effort initiated by Contra Costa County in 2009.

Contra Costa County is the recipient of two federal appropriations through SAFETEA-LU totaling \$14 million for studies and construction of State Route 239. The County plans to use approximately \$3.6 million of this amount for the Corridor Study. The use of the remaining \$10+ million will be determined as part of the study.

In 2010, Contra Costa County released a Request for Qualifications/Request for Proposal (RFQ/RFP). That process led to the selection of Parsons Transportation Group, Inc. (Parsons) as the most qualified consultant team to conduct the study. Following an extensive negotiation process, the County entered into a consulting services agreement with Parsons on May 10, 2011. The County issued Notice to Proceed to Parsons on June 8, 2011.

Parsons is currently working on the early phases of corridor planning for Route 239. This includes developing the public participation program, formulation of stakeholder groups and committees, and visioning.

Due to staffing and resource constraints, the County wishes to transfer the Parsons consultant agreement over to the Contra Costa Transportation Authority, and have Authority staff take over the role of consultant manager. The Authority is well situated to manage the effort. As a key stakeholder, the County would continue to be involved with all technical and policy aspects of the study.

### THE PARSONS CONSULTANT TEAM

The consultant team is comprised of Parsons Transportation Group, Inc. as the prime consultant, with Steve Morton as the Project Manager providing day-to-day contact with the Authority. He is leading the overall direction of the Parsons Team and is responsible for project delivery. Subconsultants include:

- **Wilbur Smith Associates** to provide travel demand forecast modeling, tolling and revenue studies, and freight and goods movement analysis

## State Route (SR) 239 Planning Study

- **Smith, Watts & Company** for project implementation strategies, funding options, and advocacy assistance
- **Design, Community & Environment, Inc.** to assess land use alternatives and provide stakeholder outreach/consensus-building
- **Economic & Planning Systems** for the economic evaluation of SR 239 project alternatives
- **Fehr & Peers Associates** for operations analysis, localized traffic work, and SB 375 expertise
- **Godbe Research** for public opinion polling
- **ICF International (formerly Jones & Stokes)** for environmental analysis of alternatives and habitat conservation plan coordination
- **CirclePoint** for outreach facilitation, materials creation, website development, and social media
- **Judith Buehe Communications** for specific stakeholder outreach in San Joaquin County
- **CH2M Hill** for specialized expertise in context sensitive solutions
- **ENGEO** for geotechnical expertise
- **Kjeldsen, Sinnock, & Neudeck** for roadway engineering
- **WRECO** for hydrology/hydraulics
- **Beder Rosenthal, Inc.** for right-of-way requirements

### Scope of Services

Before construction can begin, planners and engineers must undertake an extensive three phase planning effort: 1) Planning, 2) Project Approval/Environmental Document; and 3) Project Development. The scope of services for the existing contract with Parsons is limited to Phase 1 – Planning. The Planning phase includes stakeholder identification and outreach, developing an interagency structure for the consensus-building process, extensive background research, technical analysis, development of various alternatives, production of a Feasibility Study that will examine those alternatives and result in consensus on a preferred alignment for SR 239, and the development of a Project Study Report (PSR) based on the preferred alignment identified in the Feasibility Study.

## State Route (SR) 239 Planning Study

### Schedule

The Phase 1 schedule allows approximately two years for the completion.

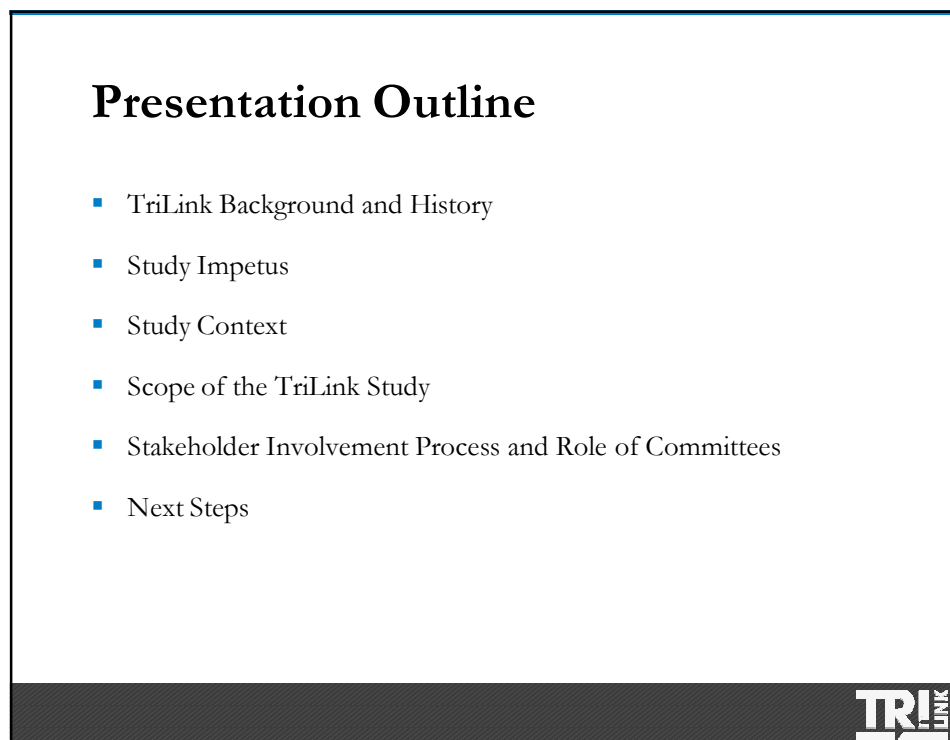
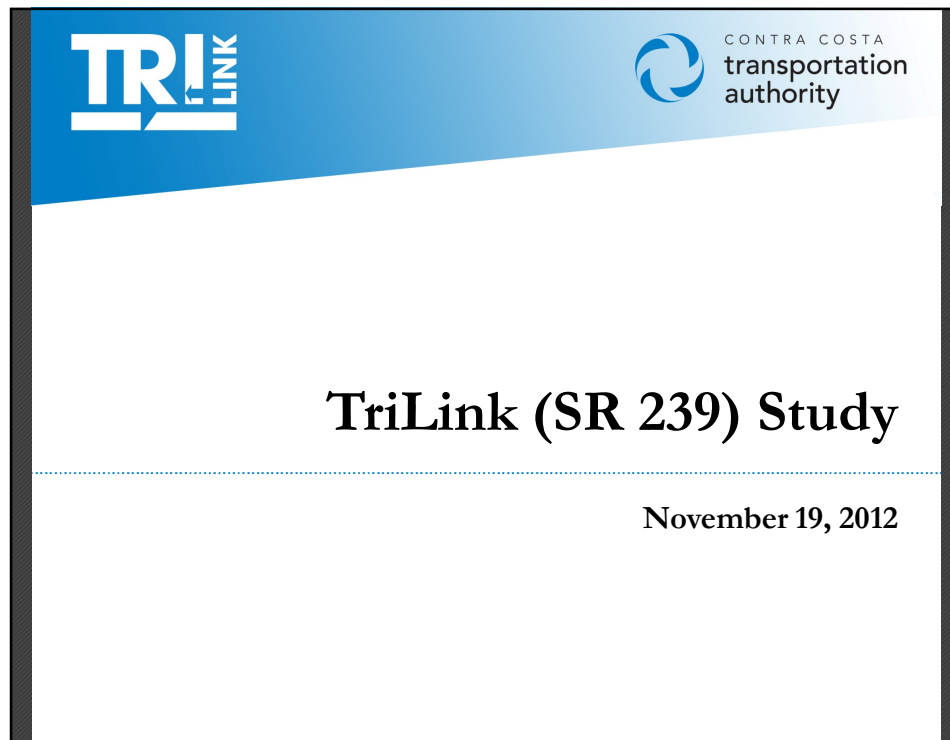
Task	Description	Months from Start (January 2012)
1	Refining the scope and performing stakeholder interviews	2
2	Conduct Feasibility Study	18
3	Prepare Project Study Report	24

### Cost

The cost of Phase 1 is estimated at \$2.4 million.

Attachment A:        TriLink (SR 239) Study Presentation

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## TriLink Background and History

- Legislatively-designated but unconstructed.
- Multimodal link from SR 4 near Brentwood to I-205 west of Tracy.
- Route has not been adopted by the California Transportation Commission (CTC).
- Contra Costa County awarded \$14 million for initial planning under SAFETEA-LU in 2005.
- Project administration transferred to CCTA in January 2012.



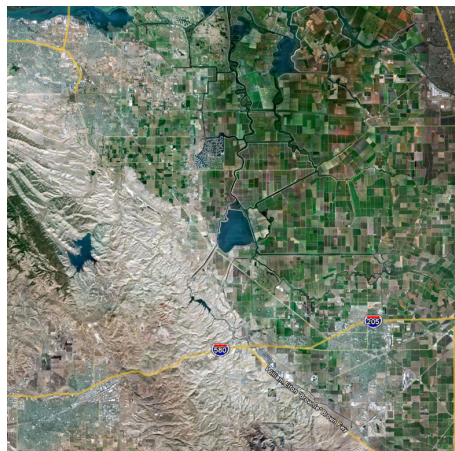
- Regional Connectivity
- Job Growth
- Goods Movement
- Congestion Relief
- Emergency Access and Safety



## Study Impetus

### Study Impetus – Regional Connectivity

- East County cul-de-sac
- Further connections east and south are lacking
- Constraints limit improvements on SR-4



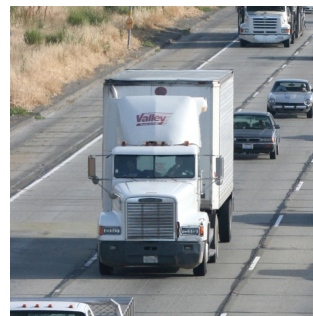
## Study Impetus – Job Growth

- Existing land use designations support job growth north of the corridor, in Mountain House, and in Tracy
- Tri-County Region can offer cheaper land values and congestion relief for central Bay Area businesses
- Improved jobs-housing balance depends on job growth
- TriLink connection to Central Valley would facilitate job growth



## Study Impetus – Goods Movement

- Truck traffic on Byron Highway currently accounts for 25% of trips
- TriLink would create a direct goods movement connection from I-5 to east Contra Costa County
- Would constitute a “third route” to the Bay Area (with I-580, SR-152)





## Study Impetus – Congestion Relief

- Altamont Corridor in need of increased capacity
- Multiple studies identify need to address congestion on I-580 and other roadways connecting the Bay Area with Stockton and Modesto
- MTC anticipates system-wide increase in truck traffic



TRI  
LINK

## Study Impetus – Emergency Access and Safety

- Emergency evacuation capacity in the event of natural disaster or terrorist attack
- Reverse access to bring supplies into East County
- Opportunity to improve roadway safety



TRI  
LINK

- Open space and agricultural land
- Undefined funding
- Implementing agency
- Disparate needs and concerns



## Study Context

### Study Context – Open Space

- Much of the study corridor is:
  - Prime agricultural land
  - Outside urban limit lines
  - Valuable habitat and open space
- Any corridor improvements must be sensitive to these considerations and limit growth to designated areas.



## Study Context – Funding

- Currently no committed funding sources beyond the existing SAFETEA-LU grant
- Future potential for State and federal funding is limited
- Potential funding options to be studied:
  - Tolling
  - Measure J reauthorization
  - Local or regional development fees
  - Specialized State and federal grants



## Study Context – Implementing Agency

- Study corridor runs through three counties and two Caltrans districts
- Who will build, operate and maintain?
- Potential solutions:
  - Separately administered facilities within each jurisdiction
  - Joint Powers Authority
  - Public Private Partnership
  - Alternative Project Delivery



## Study Context – Disparate Needs and Concerns

- Plan for both mobility and preservation
- Support planned development while avoiding growth inducement
- Consider a range of facility types
- Provide a range of modes



- Study Phases
- Study Corridors
- Preliminary Financial Feasibility Study
- Upcoming Studies



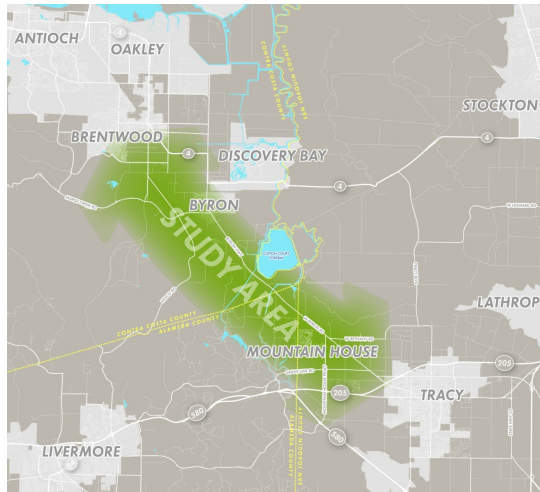
## TriLink Study Scope

## TriLink Scope – Planning Phase Scope of Work

- Visioning
  - Facility Function
  - Facility Type
- Feasibility
  - Cost
  - Schedule
  - Implementation
- Project Study Report or equivalent



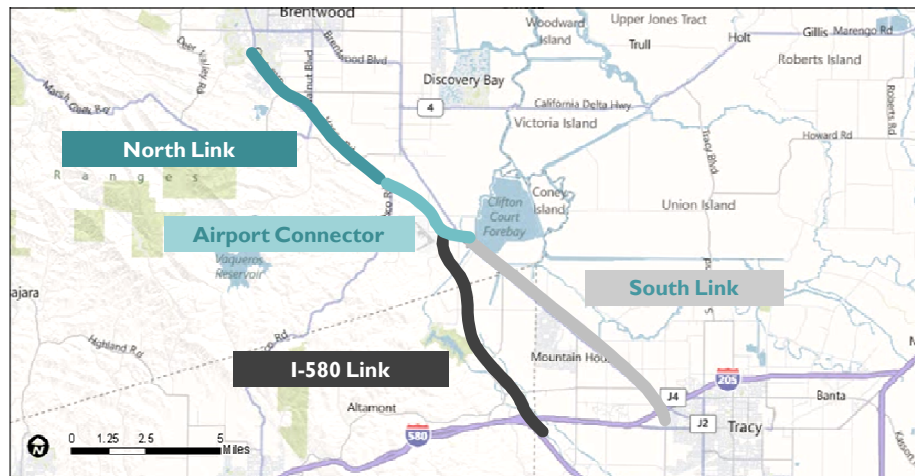
## TriLink Scope – Study Area



TriLink will explore the feasibility of multi-modal transportation improvements that could be constructed over the next 10 to 40 years.



## TriLink Scope – Refined Study Corridors



## TriLink Scope – Upcoming Studies

- Develop multi-county traffic model and forecast travel demand
- Analyze land use plans and forecast development
- Perform engineering analyses: cost/schedule estimates, type-selection, design criteria, operations feasibility
- Analysis of greenhouse gas (GHG) emissions and sustainability
- Funding and governance plan

- Project Partners
- Committee Structure
- TAC Role



## Stakeholder Involvement Process

### Stakeholder Involvement Process – Project Partners

#### Counties:

- Alameda
- Contra Costa
- San Joaquin

#### Cities and Communities:

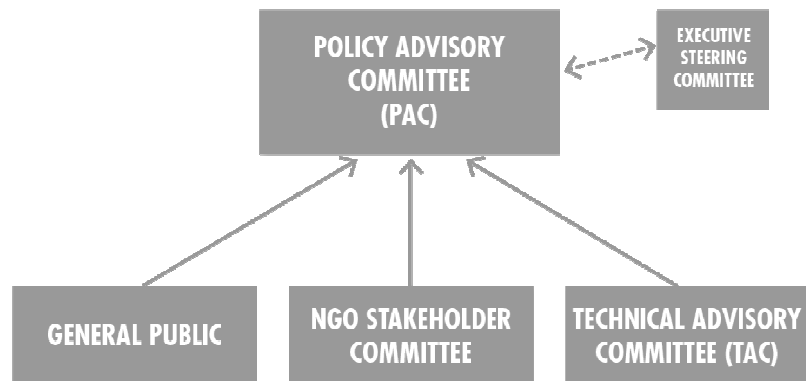
- City of Brentwood
- City of Livermore
- City of Oakley
- City of Tracy
- Byron MAC
- Discovery Bay CSD
- Mountain House CSD

#### Public Agencies:

- Alameda CTC
- BART
- Caltrans
- CCTA
- SJCOG
- TRANSPLAN
- TVTC



## Stakeholder Involvement Process – Committee Structure



Questions / Comments





## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Planning, Policy and Legislation Committee

**SUBJECT:** Approval of Issuance of a Request for Qualifications (RFQ) for a Sustainable Communities Technical Assistance Program (SC-TAP)

### Recommendation

It is recommended that the Commission authorize staff to issue a Request for Qualifications (RFQ) and proceed with the selection of qualified consultants to provide a range of services related to the Sustainable Communities Technical Assistance Program (SC-TAP). In January 2013, staff will seek Commission approval on the SC-TAP program guidelines and budget. Staff will also seek authorization to execute contracts with the consultants selected as a result of the RFQ process in accordance with the approved SC-TAP program guidelines and budget.

### Summary

Alameda CTC is creating an expanded technical assistance program to support a wide range of planning and project development activities in Alameda County's Priority Development Areas (PDAs) and Growth Opportunity Areas (GOAs) as well as to provide bicycle and pedestrian planning and engineering technical support either within or outside PDAs and GOAs and to support the implementation of complete streets in Alameda County. Staff currently is seeking feedback on a draft scope of work for a Request for Qualifications (RFQ) for the technical assistance program and will issue the RFQ in December 2012 following Alameda CTC Commission approval. In January 2012, staff will present the draft technical assistance program in more detail along with potential program funding amounts and sources.

### Discussion

The main objectives of the Sustainable Communities Technical Assistance Program (SC-TAP) are to:

- Provide technical and resource assistance to project sponsors to facilitate planning and project development activities for TODs, Priority Development Areas (PDAs), Growth Opportunity Areas (GOAs) and community based transportation plans; and
- Provide technical, resource, and design and engineering assistance and expertise for complex and/or innovative bicycle and pedestrian projects (focused on resolving small-scale bicycle and pedestrian safety, access, and convenience issues) and to implement complete streets in Alameda County.

Depending on the SC-TAP project, the selected consulting firms will work with the Alameda CTC, jurisdictions and/or transit operators to provide study or planning assistance. The SC-TAP assistance could include technical, engineering or education and outreach expertise to project sponsors. The SC-TAP program may also provide expert consulting staff to work in-house at a jurisdiction or agency for a fixed amount of time in order to complete a specific planning, environmental review or project development task. The SC-TAP Program is part of a county and region-wide effort to advance development in the vicinity of transit hubs, promote walking, bicycling and transit use, and ultimately to reduce traffic congestion and greenhouse gas emissions, and improve air quality.

## **Draft Scope of Work for SC-TAP RFQ**

### ***Part A: Technical and Resource Assistance for Projects Related to TODs, PDAs and GOAs***

The services to be performed by the selected consultant teams shall be developed with the Alameda CTC, jurisdictions and project sponsors to address technical issues and outreach needs at TODs, PDAs or GOAs. Consultants may also be required to provide expert staff to work in-house at a jurisdiction or agency for a fixed amount of time in order to complete a specific planning, environmental review or project development task. These needs may include but are not limited to multimodal access, design, parking, infrastructure, developing mitigation strategies for air emissions, addressing potential sea level rise, outreach and education, and economic analyses. Potential activities related to SC-TAP studies and plans for TODs, PDAs and GOAs include the following:

1. Prepare or provide assistance preparing planning documents (specific plans, area plans, general plan amendments, updates to community based transportation plans, etc.) and associated technical studies;
2. Develop design guidelines for residential, commercial and mixed-use development;
3. Study multimodal access needs, such as transit, bike, walk, automobile and goods movement, and develop design solutions;
4. Develop streetscape design plans, including wayfinding, landscaping, street furniture, etc.;
5. Develop alternative parking solutions to meet multiple needs and facilitate infill development;
6. Prepare and/or advise on zoning code amendments related to development in TODs, PDAs and GOAs;
7. Prepare and conduct community outreach and education regarding TODs, PDAs, GOAs and community based transportation plans;
8. Develop a Community Risk Reduction Plan that uses Bay Area Air Quality Management District guidelines to address air pollutant emissions;
9. Develop Adaptive Management plans or Risk Assessments that assess and identify ways to address potential sea level rise to protect TODs, PDAs and GOAs per San Francisco Bay Area Conservation and Development Commission (BCDC) guidelines;
10. Develop creative design solutions to address storm water or sewer needs at TOD sites, including green infrastructure and low-impact development approaches;
11. Perform economic analyses for various topics related to development in TODs, PDAs and GOAs, including but not limited to development feasibility and market analyses, financing strategies for infrastructure capital and maintenance costs, and construction and maintenance of affordable housing;
12. Complete CEQA/NEPA review activities, including the preparation of required CEQA/NEPA documents and technical studies; and
13. Others, as needed.

## ***Part B: Technical Assistance for Bicycle and Pedestrian Facility Design and Engineering and Complete Streets Implementation***

Consultant teams selected to provide technical assistance with bicycle and pedestrian facility design and engineering will work with the Alameda CTC and project sponsors to develop individual projects scopes. Tasks may include developing preliminary and conceptual designs and conducting feasibility studies. Final work products must be accepted by the public agency project sponsor who will be responsible for construction of any recommended improvements.

As part of the project wrap-up, the consultant may be required to develop and provide to Alameda CTC a “best practices” design guide and simple fact sheet to be shared with other local jurisdictions on the Alameda CTC website, as a way to share knowledge and experience and help build a local best practices resource for Alameda County jurisdictions. The consultant and the local agency may also be required to make a short presentation to the Ped/Bike Working Group on the design challenge addressed and the solution developed.

Technical assistance is also available for jurisdictions in developing and implementing complete streets within their local jurisdiction. These tasks may include assistance in the development of internal agency policy development and communications for complete streets implementation, technical assistance for developing performance measures for complete streets, or technical assistance with development of local design standards, or other technical assistance to facilitate the implementation of complete streets.

Examples of the types of consulting assistance needed include:

1. Preliminary design and engineering support/expertise for innovative designs. For bike projects, this likely would include expertise on new bikeway designs (such as those in the NACTO Urban Bikeway Design Guide (<http://nacto.org/cities-for-cycling/design-guide/>), like cycle tracks, bike boxes, and bike boulevard treatments;
2. Complete preliminary engineering and/or plans, specifications and estimates for simpler or smaller scale bicycle and pedestrian projects;
3. Design expertise on bike and/or pedestrian improvements for complex intersections or roadway crossings;
4. Design expertise on making room for bicyclists and pedestrians within limited rights-of-way (especially at intersections);
5. Design expertise on making interchanges safer and more convenient for bikes and pedestrians;
6. Design expertise on accommodating bicycle and transit facilities within the same right-of-way;
7. Design expertise on the intersection of trails and roadways;
8. Bike parking recommendations for transit stops/stations where rights-of-way are limited;
9. Assistance with setting up and meeting federal and state experimentation process requirements, in order to test innovative facility designs; and
10. Assistance with complete streets implementation, design standards, exception processes, and communications

### **Next Steps**

The next steps in the SC-TAP RFQ and program development process are as follows:

- Release the RFQ and create a consultant resource list, December 2012 -February 2013

- Develop and seek Commission approval on the SC-TAP program guidelines and schedule for the selection of projects, size of the grant awards, and other program details in January 2013
- Work with the project sponsors, including jurisdictions, BART and AC Transit, to identify project and resource needs and award funds in Spring 2013

**Fiscal Impacts**

There are no fiscal impacts at this time. The budget and fund sources for the Sustainable Communities Technical Assistance Program, along with detailed program guidelines, will be brought to the Commission for approval in January 2013.



## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** **Approval of the Alameda-Contra Costa Transit District's (AC Transit) Request to Extend the Agreement Expiration Date for the Measure B Paratransit Gap Grant Agreement No. A08-0026, New Freedom Fund Match Project**

### Recommendation

It is recommended the Commission approve the Alameda-Contra Costa Transit District's (AC Transit) request to extend the Agreement expiration date for the Paratransit Gap Grant funded New Freedom Fund Grant Match Project (Agreement No. A08-0026) to December 31, 2013, to allow for additional time to complete the project.

### Summary

AC Transit's New Freedom Fund Grant Match Project will lay the groundwork to determine the feasibility of establishing a mobility management structure (a coordinated transportation system) within its jurisdiction. The project will result in a detailed inventory of all available transportation resources, creation of a database, and identification of options to create a coordinated transportation system for seniors and people with disabilities.

To fund this project, in February 2008, AC Transit was awarded a Metropolitan Transportation Commission (MTC) New Freedom grant in the amount of \$144,000. In July 2008, AC Transit was awarded a \$36,000 Measure B Paratransit Gap Grant (Cycle 4) to serve as a match fund to fully finance the project cost.

### Discussion

The original Measure B Paratransit Gap Grant agreement was entered into on July 1, 2008 for a total project cost of \$36,000 and a completion date scheduled for October 31, 2010. AC Transit reported significant delays in completing this project due to several staffing changes, budget cuts, and New Freedom funding authorization delays. As such, there have been a total of three (3) approved amendment requests pertaining to this project to extend the original milestones and project completion dates as described in the bullets below.

1. On September 8, 2009, Alameda County Transportation Improvement Authority (ACTIA) administratively approved Amendment No.1 to extend the project completion date to December 31, 2010.

2. On February 25, 2010, ACTIA administratively approved Amendment No.2 to adjust the task deliverable dates due to New Freedom funding delays.
3. On February 24, 2011, Alameda CTC, as the successor entity to ACTIA, approved Amendment No.3 and extended the grant agreement expiration from December 31, 2010 to December 31, 2012 to accommodate staffing changes and the New Freedom funding authorization delay.

AC transit is requesting a one-year time extension to the agreement expiration date from December 31, 2012 to December 31, 2013 to bring the milestones of both funding sources into alignment and to provide additional time to implement the project.

<b>Project:</b> New Freedom Fund Grant Match		<b>Gap Grant</b> July 1, 2008 ( <i>Cycle</i>	
<b>Sponsor:</b> Project Alameda-Contra Costa Transit District		<b>Awarded:</b> 4) \$36,000 <b>Award Amount:</b>	
	<b>Original Grant Agreement</b>	<b>Approved Extensions</b>	<b>Requested New Deadlines</b>
<b>Project Completion</b>	June 30, 2010	June 30, 2012	September 30, 2013
<b>Agreement Expiration</b>	October 31, 2010	December 31, 2012	December 31, 2013

It is recommended the Commission approve the requested extension of the new project completion date of September 30, 2013, and a one-year grant expiration date extension from December 31, 2012 to December 31, 2013.

#### **Fiscal Impact**

This action will not change the Paratransit gap grant funding amount.

#### **Attachment(s)**

Attachment A: AC Transit's Extension Request for Agreement A08-0026



Alameda-Contra Costa Transit District

*August 24, 2012*

Mr. Matthew Todd, P.E.  
Alameda CTC Manager of Programming  
1333 Broadway, Suite 300  
Oakland, CA 94612

Subject: Request No. 4 for Administrative Change to  
Grant Agreement No. *A08-0026* for  
*New Freedom Fund Grant Match Project*

Dear Mr. Todd:

We are hereby requesting an administrative change to the grant agreement in the subject line as per Section IV Part 8 of said agreement. We have attached the appropriate exhibits to reflect our requested change(s) as follows:

Attached (Yes or No)	Documentation for Change Request	
Yes	Exhibit A	Written Explanation for Change Request ( <i>Required</i> )
Yes	Exhibit B	Revised Attachment A: Project Description and Task Breakdown
Yes	Exhibit C	Revised Attachment B: Task Deliverables and Deliverable Due Dates, including Project Milestone Schedule
No	Exhibit D	Revised Attachment C: Task Budgets and Other Funding
No	Exhibit E	Revised Attachment F-1: Project Performance Measures

We have signed each of the exhibits showing the requested changes and understand that Alameda CTC will review our requested changes and, if agreeable, will also sign the exhibits and return copies of the approved exhibits. The approved exhibits signed by both parties will become the current agreement information on file at Alameda CTC.

If you have any questions or need additional information please contact *Chris Andrichak* at telephone number *510-891-4855*.

Sincerely,

*John Haenfling*

*Director of Project Controls & Systems Analysis*

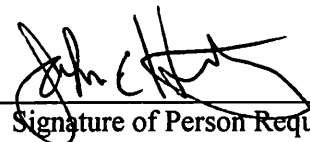
**WRITTEN EXPLANATION FOR CHANGE REQUEST**

**Project Sponsor:** AC Transit

**Project Title:** New Freedom Fund Grant Match Project

**Agreement Number:** A08-0026

**Reason for Change:** This project has encountered several delays. Though the Grant was awarded in June 2008, the Metropolitan Transportation Commission (MTC) did not give authorization to proceed until 2009. The Contra Costa County Transit Authority (CCCTA) Staff person assigned to this project retired in July 2010. In September 2010, CCCTA asked to be removed from the project. An extension was granted by the MTC in July 2012. This administrative amendment will bring the milestones of both funding sources into alignment.



Signature of Person Requesting Change

8/24/2012

Date

Alameda CTC Approval

Date



**REVISED ATTACHMENT A**

**PROJECT DESCRIPTION AND TASK BREAKDOWN**

**Project Sponsor:** AC Transit

**Project Title:** New Freedom Fund Grant Match Project

**Agreement Number:** A08-0026

**Grant Initiation Date:** July 1, 2007

**Initial ACTIA Grant Funds Awarded to Project:** \$36,000

**Additional Measure B Grant Funds Awarded to Project (if applicable):** \$0

**Total Measure B Grant Funds Awarded to Project:** \$36,000


**Total Project Sponsor Matching Funds:** \$144,000

<u>Amount</u>	<u>Source</u>
\$144000	FTA New Freedom

**Total Project Cost:** \$180,000

**Percentage - Total Measure B Grant Funds Awarded to Project/Total Project Cost:** 20%

**Project Description:** This grant/project provides the matching funds for a New Freedom grant awarded to AC Transit to provide a detailed inventory of all available transportation resources, creation of a database, and identification of options to create a coordinated transportation system for seniors and disabled people in Alameda and West Contra Costa Counties (Mobility Management Structure).

  
\_\_\_\_\_  
Signature of Person Requesting Change

8/24/2012  
\_\_\_\_\_  
Date

\_\_\_\_\_  
Alameda CTC Approval

\_\_\_\_\_  
Date

**REVISED ATTACHMENT B**  
**TASK DELIVERABLES AND PROJECT MILESTONE SCHEDULE**

**Project Sponsor:** AC Transit  
**Project Title:** New Freedom Fund Grant Match Project  
**Agreement Number:** A08-0026

**Project Task Deliverables and Due Dates:** The following Revised Table B-1 is intended to replace the current, approved Table B-1 in its entirety.

<b>Table B-1: Task Deliverables and Due Dates</b>			
<b>Task No. (from Table A-1)</b>	<b>Deliverable</b>	<b>Previously Approved Deliverable Due Date</b>	<b>Revised Deliverable Due Date to Alameda CTC</b>
1	Copy of executed agreement with AC Transit and the Metropolitan Transportation Commission	September 30, 2010	September 30, 2010
1	Documentation of Award of Contract (including a signed contract and a copy of the RFP) for consultant	December 31, 2011	November 30, 2012
2	Copy of detailed inventory and database	September 30, 2012	June 30, 2013
3	Copy of Summary of Coordination of Options Report	August 31, 2012	June 30, 2013
4	Presentation to the Alameda CTC Paratransit Advisory and Planning Committee (PAPCO)	September 30, 2012	July 31, 2013
4	Final Report/Final Invoice	September 30, 2012	September 30, 2013
<i>[Strike Tab key while in last cell to expand table.]</i>			
<p><b>Note:</b> Project Sponsor shall provide Alameda CTC with not less than 10 days advance notice of any public meetings or events related to implementation of this grant.</p>			

  
\_\_\_\_\_  
Signature of Person Requesting Change

8/24/2012  
\_\_\_\_\_  
Date

\_\_\_\_\_  
Alameda CTC Approval

\_\_\_\_\_  
Date

**Project Milestone Schedule:** The following Revised Table B-2 is intended to replace the current, approved Table B-2 in its entirety.

<b>Table B-2: Project Milestone Schedule</b>		
<b>Project Milestone</b>	<b>Previously Approved Date</b>	<b>Revised Date</b>
Award ACTIA Grant (Cycle 4)	July 1, 2007	N/A
Initiate Grant/Notice to Proceed Date	July 1, 2007	N/A
Execute Agreement with AC Transit and the Metropolitan Transportation Commission	September 30, 2010	September 30, 2010
Award Consultant Contract	December 31, 2011	November 30, 2012
Develop Detailed Inventory and Database	September 30, 2012	June 30, 2013
Develop Summary of Coordination Options Report	June 30, 2012	June 30, 2013
Close Out Project – Complete Final Report, Presentation to BPAC, Final Invoice	September 30, 2012, or Ninety (90) days after Project Completion, whichever is earlier	September 30, 2013
Complete Grant Funding Period	<i>June 30, 2012</i>	September 30, 2013
Grant Funding Agreement Expires	<i>December 31, 2012</i>	December 31, 2013

  
Signature of Person Requesting Change

8/24/2012  
Date

Alameda CTC Approval

Date

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## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** **Approval of the Reprogramming of Cycle 2 Lifeline Transportation Program Funding**

### **Recommendation**

It is recommended the Commission approve the reprogramming of \$300,000 from the Cycle 2 Lifeline Transportation Program to the BART MacArthur Station Plaza Improvements project.

### **Summary**

The Lifeline Transportation Program (Lifeline) is administered by MTC and is intended to fund projects that improve mobility for low-income residents. The Cycle 2 Lifeline program was adopted by the Alameda County CMA Board in April 2008 and included \$2 million for BART elevator improvements at Ashby Station associated with the Ed Roberts Campus. The elevator project was completed under budget leaving \$300,000 in unexpended Lifeline funds. The subject funds will expire unless they are reallocated by June 30, 2013. BART is requesting the Alameda CTC to reprogram the remaining Lifeline funding to the MacArthur Station Plaza Improvements project, which has a funding shortfall.

### **Discussion**

Lifeline is administered by MTC and is intended to fund projects that result in improved mobility for low-income residents. Eligible projects are to be consistent with: 1) strategies identified in a Community-based Transportation Plan (CBTP), 2) other relevant planning efforts, or 3) other documented assessment of need within the designated communities of concern. Alameda County has five areas with completed CBTPs: Alameda, South/West Berkeley, West Oakland, Central/ East Oakland, and Central Alameda County. Projects that apply findings from one or more CBTPs (or other relevant planning efforts) to other low-income areas or constituencies within the county are also eligible.

MTC funds the Lifeline program with multiple federal and state sources including State Transportation Account (STA), Job Access and Reverse Commute (JARC) and Proposition 1B Transit. STA and JARC can be used to fund transit operations or transit capital projects, Prop. 1B Transit is limited to transit capital projects. The Cycle 2

Lifeline Program was initially adopted by the Alameda County CMA Board in April 2008 and included \$2 million of Lifeline Prop. 1B Transit funding for elevator improvements at the Ashby Station associated with the Ed Roberts Campus. The elevator project was completed under budget, leaving a total of \$300,000 (\$271,000 in unexpended Lifeline Prop. 1B Transit funds and an additional \$29,000 in earned interest). BART is requesting the Alameda CTC reprogram the \$300,000 to the MacArthur Station Plaza Improvements (MacArthur Plaza) project, which has a funding shortfall.

Although the MacArthur Station is not located within one of Alameda County's five Community-based Transportation Plan (CBTP) study areas, the components proposed for Lifeline funding (detailed in Attachment A) are consistent with strategies identified in several of the Alameda County CBTPs. Additionally, the MacArthur Station is located within a Community of Concern, as defined by MTC.

The MacArthur Plaza project has a funding shortfall of approximately \$800,000 which is due to the need for BART to reallocate funding initially identified for the MacArthur Plaza to the associated parking garage project. This has put key components of the MacArthur Plaza scope at risk for removal if additional funds are not secured. Specifically, the \$300,000 of Lifeline funds will allow the bike rack, tactile path, wayfinding signage and station access components detailed in Attachment A to be retained in the project scope. The Lifeline Prop. 1B Transit funds have an allocation deadline of June 2013. BART's construction schedule meets the allocation and expenditure milestone requirements, with final design scheduled for completion in November 2012 and construction scheduled to begin February 2013.

Alameda CTC staff reviewed previously-approved, Cycle 2 (2008) and Cycle 3 (2012), Lifeline programs for other potential project candidates, but did not identify projects eligible for Prop. 1B Transit funding that would be a priority for Lifeline funding at this time.

#### Next Steps

If approved, the reprogramming request will go to MTC for consideration in December 2012. If approved by MTC, BART will revise its Prop. 1B Transit allocation in January 2013.

#### **Attachment**

Attachment A: MacArthur Station Plaza - Components Proposed for Lifeline Funds

**MacArthur BART Entry Plaza Renovation  
Components Proposed for Lifeline Funding  
September 27, 2012**

- Provide 200 space bicycle racks and related accessories for the MacArthur Bike Station. The need for secure bicycle parking was identified in the station area planning and bicycle access planning conducted by BART as well as the planning efforts of the City of Oakland. The proposed bicycle facilities will provide greater mobility for low income and minority riders of BART. The actual bike station structure is funded from other grants, but the bicycle racks are a critical component of the new and renovated facilities.
- Provide a tactile path and wayfinding project that will include a tactile paving strip from the bus loading and kiss/ride areas through the plaza to the station entrance and accessible fare gates. The tactile strip is a raised pathway detectable to blind and low-vision patrons, with color and texture that contrasts with the adjacent pavement. The path project is a desired improvement advocated by BART's Accessibility Task Force and other disability advocates.
- Remove physical barriers between station entrance, bus stops and the primary pedestrian intersection by replacing the raised landscape beds and other physical impediments with an assessable concrete surface and benches. The goal is to provide greater convenience and ease for disabled and elderly passengers who access the BART system by other modes other than the automobile.
- Provide wayfinding signage within the plaza and intermodal area. The signage would include transit center information and guides to the various transit services that serve the MacArthur Station.

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** California Transportation Commission (CTC) October 2012 Meeting Summary

### Recommendation

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

### Discussion

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

The October 2012 CTC meeting was held at Sacramento, CA. Detailed below is a summary of the three (3) agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the October 2012 CTC meeting (Attachment A).

**1. Proposition 1B Corridor Mobility Improvement Account (CMIA) /I-880 SB HOV Lane Extension-South Segment (Marina to Davis)**

The CTC approved de-allocation of \$5,754,000 in Proposition 1B CMIA Program funds from the I-880 SB HOV Lane Extension-South Segment (Marina to Davis) project, thereby reducing the original CMIA construction capital allocation of \$51,700,000 to \$45,946,000

**Outcome:** The de-allocation reflects contract award savings. Construction phase is scheduled to begin in in late fall 2012.

**2. Trade Corridor Improvement Fund (TCIF)/ I-580 EB Truck Climbing Lane project**

The CTC approved an amendment of the TCIF baseline agreement for the I-580 Eastbound Truck Climbing Lane project to update the project schedule and the funding plan. For construction purposes, this project is being combined with a SHOPP-funded emergency road

repair project. The traffic staging plans had to be modified before the two contracts could be combined.

**Outcome:** The construction duration has increased by ten months. Construction phase is scheduled to be complete by December 2015.

**3. Trade Corridor Improvement Fund (TCIF)/ Outer Harbor Intermodal Terminals (Segment 2)**

The CTC approved allocation of \$65.8 Million in TCIF funds for the Port of Oakland's Outer Harbor Intermodal Terminal Project.

**Outcome:** Allocation will allow Project to be advertised and proceed to construction.

**Attachment(s)**

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

**October 2012 CTC Summary for Alameda County Projects/ Programs**

<b>Sponsor</b>	<b>Program / Project</b>	<b>Item Description</b>	<b>CTC Action / Discussion</b>
Alameda CTC	Corridor Mobility Improvement Account (CMIA) Program /I-880 SB HOV Lane Extension-South Segment (Marina to Davis)	De-allocate \$5.7M, thereby reducing the original CMIA construction capital allocation of \$51,700,000 to \$45,946,000, to reflect contract award savings.	Approved
Caltrans	Trade Corridor Improvement Fund (TCIF)/ I-580 Eastbound Truck Climbing Lane project	Amend the TCIF baseline agreement for the I-580 Eastbound Truck Climbing Lane project to update the project schedule and the funding plan.	Approved
Port of Oakland	Trade Corridor Improvement Fund (TCIF)/ Outer Harbor Intermodal Terminals – Segment 2	Allocate \$65.8 Million in CON phase	Approved

[http://www.dot.ca.gov/hq/transprog/ctcbooks/2012/1012/00\\_Timed.pdf](http://www.dot.ca.gov/hq/transprog/ctcbooks/2012/1012/00_Timed.pdf)

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## **Memorandum**

**DATE:** November 27, 2012  
**TO:** Alameda County Transportation Commission  
**FROM:** Planning, Policy and Legislation Committee  
**SUBJECT:** **Approval of Priority Conservation Area (PCA) Process and Schedule**

### **Recommendation**

It is recommended that the Commission approve the proposed process and schedule for conducting a PCA inventory and developing a strategy for responding to MTC's anticipated regional PCA Pilot Program project solicitation.

### **Summary**

Under MTC Resolution 4035, \$10 million was set aside for Priority Conservation Areas (PCAs) as part of the Regional Program Cycle 2 funds. Half of these funds will be available to PCA projects outside of the North Bay and will be subject to a 3:1 match requirement. The primary funding source is federal Surface Transportation Program (STP) funds.

The Metropolitan Transportation Commission (MTC) and Association of Bay Area Governments (ABAG) are currently working with CMAs and other stakeholders to develop consensus on guiding goals and philosophy for this regional PCA Pilot Program. Once program goals, objectives and guidelines are established, MTC will issue a project solicitation (expected in February 2013).

In response, Alameda CTC has begun assessing Alameda County's PCAs to help determine needs and eligible projects and provide assistance to potential project sponsors; to provide input into the development of the regional PCA Pilot Program; and as part of the development of the PDA Investment and Growth Strategy for Alameda County. There are 18 PCAs in Alameda County which generally fall into three types: (1) large open space areas in East and South County; (2) hillside areas in North, Central and South County; and (3) major multi-use greenways or trails (e.g., the Eastbay Greenway, Bay Trail, and Bay Area Ridge Trail). Alameda County's PCAs are described in more detail in Attachment A.

Additional work is required to gather more detailed information on Alameda County's PCAs and develop a strategy for the upcoming regional PCA Pilot Program call for projects. To accomplish this, staff proposes to collect more detailed information about projects and funding needs as well as potential matching funds and project partners.

### **Discussion**

PCAs are areas of regional significance that provide important agricultural, natural resource, historical, scenic, cultural, recreational, and/or ecological values and ecosystem functions. They

have broad community support and an urgent need for protection. As part of the FOCUS Program in 2007, ABAG asked local governments, public agencies and non-profit organizations to nominate potential PCAs. Final PCA designations were made based on the following three criteria: level of consensus, regional significance (in terms of providing important agricultural, natural resource, historical, scenic, cultural, recreational, and/or ecological values and ecosystem functions) and urgency for protection.

The May 2012 *Plan Bay Area Jobs-Housing Connection Strategy* (see Attachment B) proposed the following implementation actions related to protecting the region's natural environment:

- 5.1. Initiate a PCA Pilot Program to fund PCAs and conservation in North Bay Counties initially.
- 5.2. Identify resources to preserve the Conservation Lands Network (CLN), a group of interconnected habitats critical to preserving the region's natural resources.
- 5.3. Complete the region's four major multi-use trails: the Coastal Trail, San Francisco Bay Trail, Bay Area Ridge Trail, and Bay Area Water Trail.
- 5.4. Extend the expiration dates for existing urban growth boundaries and other conservation lands policy protections.
- 5.5. Develop a regional agricultural and farmland protection plan.

Most recently, ABAG published a Regional Policy Background Paper in Fall 2012 that described the region's open space network and outlined three strategies to preserve and strengthen it (see Attachment C). These included:

1. Updating the PCA framework, including linking the identification, funding and preservation of PCAs to ongoing regional initiatives; revising the PCA framework to provide greater specificity about the qualities and functions of different types of PCAs; and gather and disseminate data on PCAs.
2. Developing a regional farmland protection plan.
3. Developing a Regional Advance Mitigation Program (RAMP) that bundles mitigation needs of multiple infrastructure projects and funds mitigation projects at a larger, more effective scale that is tied to regional conservation policies.

### ***One Bay Area Grant (OBAG) PCA Program***

Under MTC Resolution 4035, \$10 million was set aside for Priority Conservation Areas (PCAs) as part of the Regional Program for Cycle 2 funds. Half of this amount is devoted to PCAs in North Bay Area counties with a focus on helping these counties maintain their rural character. The remaining \$5 million will be available to projects outside of the North Bay and will be subject to a 3:1 match requirement. MTC staff will administer program solicitation and project selection.

MTC and ABAG are currently working with CMAs and other stakeholders to develop consensus on the guiding goals and philosophy of the PCA Pilot Program. Key issues to be resolved include:

- Funding eligibility – MTC has set aside STP funds in the Cycle 2 OBAG Program for PCAs. However, typical PCA project needs do not match STP funding eligibility requirements. Specifically, land/easement acquisition for recreational or conservation

purposes is not an allowable use of STP funds. MTC is investigating alternatives, including use of Transportation Alternatives (formerly TE) funds and funding exchanges.

- Program success and longevity – program guidelines and criteria will need to address the fact that there is limited funding for a broad and diverse array of project needs. MTC staff suggests that the success and continuation of the PCA program may depend on its ability to fund projects that are innovative and have broad public appeal.
- “Farm-to-market” projects – generally, these types of projects facilitate agricultural production activities thereby helping to ensure the profitability of agricultural activities and the continued use of lands for agricultural purposes. These projects may include roadway operational and safety improvements or rehabilitation. However, developing a specific definition for “farm-to-market” projects is critical in terms of ensuring that these projects directly and primarily benefit agricultural uses.

MTC currently is gathering information from stakeholders and anticipates drafting program guidelines in November/December 2012. MTC anticipates having the final program guidelines and evaluation criteria adopted in January 2013, and to issue a project solicitation in February 2013.

#### ***MAP-21 Changes in STP Project Eligibility***

STP project eligibility has been expanded under the federal transportation program, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21). Most relevant to potential PCA project needs, funds can be used on any federal-aid highway, on bridge projects on any public road, and on non-motorized paths. Bicycle facilities and pedestrian walkways are eligible expenses under STP, including recreational trails projects.<sup>1</sup> In general, STP funds are not eligible for projects on local streets or minor collectors. However, there are a number of exceptions to this requirement including bicycle and pedestrian walkways, Transportation Alternatives (formerly Transportation Enhancements under SAFETEA-LU), safety infrastructure, and recreational trails.<sup>2</sup>

MAP-21 has eliminated funding for transportation museums, scenic or historic highway programs, and acquisition of scenic or historic easements and sites that was available under the Transportation Enhancements Program in the previous federal transportation program. This may make it more difficult to use Transportation Alternative Program funds (a subset of STP funds) for the PCA Program, with open space acquisition or easements no longer eligible for STP funds.

#### ***Alameda County PCAs: Considerations and Need for an Inventory***

Attachment A lists Alameda County’s PCAs and provides a brief description of each. There are 18 designated PCAs in Alameda County, including the Bay Trail, Bay Area Ridge Trail, and other regional trail system gaps.

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<sup>1</sup> MAP-21 also amended the Surface Transportation Program (STP) to allow any projects eligible under the RTP to be eligible for STP funds. Recreational trail projects in highway rights-of-way must be treated as highway projects, but projects not in highway-rights-of-way may use "Common Rule" procedures under 49 CFR Part 18.

([http://www.fhwa.dot.gov/environment/recreational\\_trails/overview/map21.cfm](http://www.fhwa.dot.gov/environment/recreational_trails/overview/map21.cfm))

<sup>2</sup> <http://www.fhwa.dot.gov/map21/stp.cfm>

In general, Alameda County’s PCAs can be grouped into three main categories, as summarized in the following table.

<b>PCA Type</b>	<b>Project Needs</b>	<b>Potential STP Eligible Projects</b>
Large open space areas in East and South County	<ul style="list-style-type: none"> <li>• Land acquisition or easements to protect important habitat, watershed, recreational, and agricultural resources</li> <li>• Possible public access improvements</li> </ul>	<ul style="list-style-type: none"> <li>• Recreational trails</li> <li>• Possible access road construction or improvements</li> <li>• Potential “farm-to-market” transportation improvements (Livermore area)</li> </ul>
Hillside areas in North, Central and South Alameda County	<ul style="list-style-type: none"> <li>• Land acquisition or easements to protect important habitat, watershed, recreational, and agricultural resources</li> <li>• Possible public access improvements</li> </ul>	<ul style="list-style-type: none"> <li>• Recreational trails</li> <li>• Possible access road construction or improvements</li> </ul>
Major multi-use greenways/trails (Eastbay Greenway, Bay Trail)	<ul style="list-style-type: none"> <li>• Trail planning, design and construction</li> </ul>	<ul style="list-style-type: none"> <li>• Trail/pathway design and construction</li> <li>• Potential right-of-way acquisition</li> </ul>

MTC and ABAG have indicated that they will be consulting with CMAs and other stakeholders to gain a better understanding of the PCA project needs in their counties. The regional agencies will then use this information to develop an initial recommendation for the regional PCA Pilot Program’s overarching goals and philosophy as well as its more specific guidelines and project evaluation criteria.

Based on the information currently available, nearly all of the large open space areas in East and South County, as well as the hillside PCAs, include new recreational trails. It may also be possible that new roadways that provide access to newly acquired, publicly accessible open space may be eligible for STP funds, however more information is needed as to specific PCA project needs before this determination can be made, since projects on local streets and minor collectors are ineligible for STP funding.

Both the East Bay Greenway and the Bay Trail should be eligible for STP funds, and Alameda CTC should emphasize that the East Bay Greenway is a major multi-use trail within Alameda County that will provide an important recreation and transportation facility as well as open space in an increasingly urbanized area. Enabling completion of these major trail facilities as part of the PCA Pilot Program is consistent with Action Item 5.3 from the *Plan Bay Area Jobs-Housing Connection Strategy*. Additionally, completion of the East Bay Greenway and Bay Trail are included in the Alameda CTC’s Countywide Transportation Plan and Transportation Expenditure Plan.

There may also be PCA projects related to agricultural preservation in East County. More information is needed to determine if there is any need or opportunity for “farm-to-market” capital projects in Alameda County, most likely in the North and South Livermore Valley areas. These are transportation projects that would primarily facilitate agricultural production and transport of agricultural goods.



To better assess and identify Alameda County PCA projects and funding needs as well as potential project partners and sources of matching funds, a more detailed PCA inventory is needed. Alameda CTC will be surveying PCA project sponsors in November and December 2012 to assemble this more complete inventory. At a minimum, it is recommended that the Alameda CTC recommend that the regional PCA Pilot Program include major multi-use trails, and that the East Bay Greenway should be added to the list of major multi-use trails (as listed in the May 2012 *Plan Bay Area Jobs-Housing Connection Strategy*, Action Item 5.3; see Attachment B). Some questions to be considered when establishing a PCA funding strategy for Alameda County include:

- Should the focus be on the East Bay Greenway and other multi-use trails or on preservation of natural lands and open space areas?
- How might STP funds be used to support preservation of open space?
- What are the needs and/or opportunities for “farm-to-market” transportation projects in East County that will facilitate agricultural preservation?
- What projects might be most competitive for regional funds in terms of their innovative nature and broad appeal (as suggested by MTC)?

### **Schedule**

Following is the schedule for next steps in the development of Alameda County’s PCA strategy:

- Complete PCA inventory in November and December 2012
- Finalize PCA inventory and strategy for pursuing regional PCA funds in January and February 2013
- Regional PCA Pilot Program expected call for projects in February 2013

### **Attachments**

- Attachment A: Alameda County PCA List
- Attachment B: Implementing actions for “Action Area Five: Protect the Region’s Natural Environment” from *Plan Bay Area Jobs-Housing Connection Strategy*, May 16, 2012
- Attachment C: ABAG Regional Policy Background Paper on Conservation and Open Space, Fall 2012

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## Alameda County Priority Conservation Areas

<b>Name</b>	<b>Sponsor</b>	<b>Location</b>	<b>General Description</b>	<b>PCA Type</b>	<b>Potential Project Types</b>
Bethany Reservoir	EBRPD	East County Unincorporated Area	<ul style="list-style-type: none"> <li>• Located in the northeastern corner of Alameda County</li> <li>• Priority area for protection and potential acquisition for regional parkland and trails as identified in the 1997 East Bay Regional Park District Master Plan</li> <li>• Lands are considered vital for soil and water quality, plant and animal diversity, habitat for sensitive species, wildlife corridors, the regional trail system, and outdoor recreation</li> <li>• Area is important for protecting the water quality in the Bethany Reservoir which is a link in the California Aqueduct and feeds the South Bay Aqueduct</li> <li>• Important recreational resource</li> </ul>	1 – East County Open Space	Recreational trails, possible improvements to access roadways
Cedar Mountain	EBRPD	East County Unincorporated Area	<ul style="list-style-type: none"> <li>• Located on the eastern edge of Alameda County east of Del Valle Regional Park</li> <li>• Priority area for protection and potential acquisition for regional parkland and trails as identified in the 1997 East Bay Regional Park District Master Plan</li> <li>• Considered vital for soil and water quality, plant and animal diversity, habitat for sensitive species, wildlife corridors, the regional trail system, and outdoor recreation.</li> <li>• This privately-owned land is known to hold a rich diversity of rare and unusual plant species and is critical habitat for the Alameda Whipsnake, a federally threatened species</li> </ul>	1 – East County Open Space	Recreational trails, possible improvements to access roadways
Chain of Lakes	EBRPD	East County City of Pleasanton and Unincorporated Area	<ul style="list-style-type: none"> <li>• Located between the Cities of Pleasanton and Livermore</li> <li>• Priority for protection and potential acquisition for regional parkland and trails as identified in the 1997 East Bay Regional Park District Master Plan</li> <li>• Considered vital for soil and water quality (especially for protecting reservoir water quality), plant and animal diversity, habitat for sensitive species, wildlife corridors, the regional trail system, and outdoor recreation</li> </ul>	1 – East County Open Space	Recreational trails, possible improvements to access roadways

<b>Name</b>	<b>Sponsor</b>	<b>Location</b>	<b>General Description</b>	<b>PCA Type</b>	<b>Potential Project Types</b>
Duarte Canyon	EBRPD	East County Unincorporated Area	<ul style="list-style-type: none"> <li>• Located in the southeastern corner of Alameda County</li> <li>• Priority area for protection and potential acquisition for regional parkland and trails as identified in the 1997 East Bay Regional Park District Master Plan</li> <li>• Considered vital for soil and water quality, plant and animal diversity, habitat for sensitive species, wildlife corridors, the regional trail system, and outdoor recreation</li> </ul>	1 – East County Open Space	Recreational trails, possible improvements to access roadways
Potential Tesla Area	EBRPD	East County Unincorporated Area	<ul style="list-style-type: none"> <li>• Located in eastern Alameda County surrounding the Carnegie State Vehicular Recreation Area</li> <li>• Priority area for protection and potential acquisition for regional parkland and trails as identified in the 1997 East Bay Regional Park District Master Plan</li> <li>• Considered vital for soil and water quality, plant and animal diversity, habitat for sensitive species, wildlife corridors, the regional trail system, and outdoor recreation</li> <li>• Important cultural and biological resource: the Corral Hollow Valley is the northernmost point inhabited by a number of plant, reptile, amphibian, and bird species. It is also the location of the Tesla mine and the towns of Tesla and Carnegie and was an important source of coal from the 1850's through the early 1900's.</li> </ul>	1 – East County Open Space	Recreational trails, possible improvements to access roadways
North Livermore, South Livermore Valley	City of Livermore	East County City of Livermore and Unincorporated Area	<ul style="list-style-type: none"> <li>• Consists of undeveloped land outside of the City of Livermore's urban growth boundary</li> <li>• Lands serve as important wildlife habitat and corridors, buffers waterways and regional parks and protected areas</li> <li>• Provides an open space separation between the Cities of Livermore and Pleasanton</li> <li>• Supports an array of agricultural uses</li> </ul>	1 – East County Open Space	Recreational trails, possible improvements to access roadways, possible "farm-to-market" projects
Site 1 – Coyote Hills	City of Fremont	South County City of Fremont	<ul style="list-style-type: none"> <li>• Located in northern Fremont</li> <li>• Historically tidal marsh, grassland, and wetland</li> <li>• Conservation would allow for the restoration of various habitats, including tidal marsh, salt ponds, natural marsh uplands, seasonal wetlands, and willow grove habitat. These habitats all provide important foraging and nesting</li> </ul>	1 – South County Open Space	Not known

Name	Sponsor	Location	General Description	PCA Type	Potential Project Types
			<p>habitat for shorebirds, waterfowl, and migratory birds.</p> <ul style="list-style-type: none"> <li>Less than half of the Coyote Hills site is currently protected by a conservation easement, so additional land conservation efforts would permanently protect lands in this area.</li> </ul>		
Union City Hillside	City of Union City	South County City of Union City	<ul style="list-style-type: none"> <li>Located in the northeastern part of Union City adjacent to the Dry Creek Pioneer Regional Park and hillside areas in neighboring Fremont</li> <li>Area is an important link in the preferred alignment of the Bay Area Ridge Trail segment between the Vargas Plateau and Garin/Dry Creek Pioneer Regional Parks</li> <li>Consists of largely undeveloped ravines and open meadows on a series of steep slopes leading up to the Walpert Ridge</li> <li>Provides habitat for a number of threatened and endangered species; an important wildlife corridor and potential future connection between regional park facilities; and one of the few remaining pristine viewsheds in the area</li> <li>As redevelopment occurs in the PDA around the Intermodal Transit Station approximately two miles away, development pressure will increase in the hillside area, threatening the viability of this vital habitat and recreational corridor</li> </ul>	2 – Hillside Area Open Space	Recreational trails
South Hills, San Leandro Creek	City of Oakland	North County City of Oakland	<ul style="list-style-type: none"> <li>Adjacent to the 143-acre Dunsmuir Ridge Open Space and is connected through the Lake Chabot Municipal Golf Course to Anthony Chabot Regional Park</li> <li>Site consists of significant reaches of two tributaries to San Leandro Creek, both of which provide good riparian habitat connected to adjacent California bay forest habitat</li> <li>Preservation would protect headwater source areas and provide important habitat for wildlife; help to buffer existing open space areas from encroaching development; and provide opportunities for developing trails to connect several regional resources, making the area more accessible for visitors from throughout the region.</li> </ul>	2 – Hillside Area Open Space	Recreational trails

Name	Sponsor	Location	General Description	PCA Type	Potential Project Types
Leona Canyon Creek Tributaries	City of Oakland	North County City of Oakland	<ul style="list-style-type: none"> <li>• Located in the Oakland Hills just south of Skyline Boulevard and adjacent to the Leona Canyon Regional Open Space Preserve</li> <li>• Protection could provide opportunities for additional trail connections to the preserve, which would improve the accessibility and visibility of this regional resource</li> <li>• Represents a rare opportunity within the City of Oakland to protect the tributaries of the Rifle Range Branch stream and adjacent hillslopes, which would maintain the link between the Rifle Range Branch valley habitat and the hills and headwaters areas of the watershed at this site. Such linkages allow for movement between the hills and the valley for songbirds, deer, and other species that prefer dense riparian vegetation for nesting or resting habitat, but forage in open areas.</li> <li>• Would also protect downstream areas against sedimentation and would generally provide local water quality benefits</li> </ul>	2 – Hillside Area Open Space	Recreational trails
Ridgmont West	City of Oakland	North County City of Oakland	<ul style="list-style-type: none"> <li>• Located in the hills of the City of Oakland, on the southern edge of Leona Heights Park and adjacent to Merritt College</li> <li>• Site contains significant sections of mature, intact native oak woodlands and the dense understory, abundant berries, and patches of riparian woodland provide wildlife habitat for a variety of species. Habitat quality at this site is greatly enhanced by the extensive adjacent natural areas of Leona Heights Park, York Trail Park, and the nearby Leona Canyon Open Space Preserve.</li> <li>• Area is valued for its recreational opportunities: several pathways traverse the area and are popular among hikers, bikers, trail runners and dog walkers, and several trails link to the nearby parks and open space.</li> <li>• Area is also a headwaters within the Lion Creek Watershed, a watershed that covers approximately 2,677 acres. Land conservation in this area would protect downstream areas against sedimentation caused by</li> </ul>	2 – Hillside Area Open Space	Recreational trails

Name	Sponsor	Location	General Description	PCA Type	Potential Project Types
Butters Canyon – Peralta Creek	Butters Land Trust and City of Oakland	North County City of Oakland	<p>upstream erosion of hillslopes and unvegetated trails and would enhance open space connectivity and access.</p> <ul style="list-style-type: none"> <li>• Located in the hills of East Oakland above Highway 13, just off Joaquin Miller Road</li> <li>• Area provides habitat for two special status animals, as well as native plant communities</li> <li>• Butters Canyon is the headwaters of Peralta Creek and preservation would help to improve water quality and provide a critical connection in a wildlife corridor between large landholdings in the lower Peralta Creek area and the Oakland Hills.</li> <li>• Area also provides recreation for pedestrians, bicyclists, and equestrians. Trails through the canyon have the potential to offer connections to Joaquin Miller Park, Redwood Regional Park, and the Bay Area Ridge Trail.</li> </ul>	2 – Hillside Area Open Space	Recreational trails
Temescal Creek/North Oakland	City of Oakland	North County City of Oakland	<ul style="list-style-type: none"> <li>• Located in the hills of the City of Oakland, along the ridge above the Caldecott Tunnel and is adjacent to the Caldecott Corridor, a critical linkage between open spaces to the north and south of Highway 24</li> <li>• Preservation of this area will prevent development from encroaching on the use of the corridor by large mammals, such as mountain lions, coyotes, and gray fox that avoid human disturbance. In addition, both the north and south branches of the tributary within the site provide riparian habitat with dense vegetation dominated by native species adjacent to non-native forest, and contiguous with a large natural area extending north across the Caldecott Tunnel.</li> <li>• Conservation would protect downstream areas against sedimentation caused by upstream erosion of hillslopes and unvegetated trails</li> <li>• Opportunity for increasing trail linkages that would connect pedestrians and mountain bikers from the North Oakland Sports Field to Sibley Park and Grizzly Peak Open Space, with the potential for additional links to Lake Temescal and the Rockridge BART Station.</li> </ul>	2 – Hillside Area Open Space	Recreational trails, bicycle and pedestrian pathways

<b>Name</b>	<b>Sponsor</b>	<b>Location</b>	<b>General Description</b>	<b>PCA Type</b>	<b>Potential Project Types</b>
Albany Hill	City of Albany	North County City of Albany	<ul style="list-style-type: none"> <li>• Located on the northwestern corner of the City of Albany, rising above Interstate 80, and adjacent to the Cities of Richmond and El Cerrito</li> <li>• Site includes many native California grasses and wildflowers, oak woodlands, and stands of eucalyptus that serve as roosting sites for Monarch butterflies</li> <li>• Site is bordered by two year-round creeks, Cerrito and Middle, characteristic riparian flora and fauna including a willow marsh.</li> <li>• As infill development occurs nearby, Albany Hill represents a key opportunity for preserving passive open space for use by residents throughout the region while protecting a diversity of riparian and upland habitats</li> </ul>	2 – Hillside Area Open Space	Recreational trails
East Bay Greenway	City of Oakland	North, Central and South County  Oakland, San Leandro, Hayward, and unincorporated Alameda County	<ul style="list-style-type: none"> <li>• Planned bicycle and pedestrian pathway that extends from the City of Oakland to the City of Hayward underneath the elevated BART tracks</li> <li>• 13-mile greenway will run through four jurisdictions and connect five BART stations, as well as other regional destinations, such as the Oakland Coliseum and Bay Fair Center.</li> <li>• Parallels major transportation corridors that link homes, job centers, and schools in the East Bay</li> <li>• Adjacent neighborhoods are experiencing significant new growth, and already lack sufficient parks and opportunities for recreation. Once complete, the East Bay Greenway will be an amenity for these neighborhoods that increases connectivity, promotes health, and makes the surrounding areas more livable.</li> </ul>	3 – Urban Greenway	Multi-use, non-motorized pathway, urban open space



Name	Sponsor	Location	General Description	PCA Type	Potential Project Types
Potential Oakland Gateway Area	EBRPD	North County	<ul style="list-style-type: none"> <li>Area is located along the waterfront of the Oakland Estuary</li> <li>Identified in the 2007 East Bay Regional Park District Master Plan Map as a priority area for the future development of a regional shoreline</li> <li>A Regional Shoreline provides significant recreational, interpretive, natural, or scenic values on land, water, and tidal areas along the San Francisco Bay and the Sacramento/San Joaquin Delta</li> </ul>	3 – Urban Greenway Regional Shoreline	Multi-use, non-motorized pathway
Bay and Ridge Trails	SF Bay Trail Project and Bay Area Ridge Trail Council	No defined locations	<p>The San Francisco Bay Area has two significant and complementary long-distance trails: the San Francisco Bay Trail hugs the shoreline and the Bay Area Ridge Trail runs along the ridgelines overlooking the Bay. These trails connect people and communities to each other, to parks and open space, to home, work and recreation, and to countless areas of cultural and historic interest. They also provide opportunities for solitude and passive and active recreation, which fosters healthy lifestyles. Furthermore, both trails increase transportation options and offer untold opportunities to observe, learn about, and care for the environment. Lastly, the bay and ridge trails offer economic benefits, such as increased tourism and increased property values. The regional trail alignments are not yet completed. Continued coordination with local and regional entities to close existing gaps is needed. Completion of these regional trails will continue to enhance the quality of life for Bay Area residents and offer an alternate means for people to enjoy the outdoors and get to various destinations within a network of connected, permanently-protected open space corridors and urban centers.</p>	Trails	Multi-use, non-motorized pathway, recreational trails

Name	Sponsor	Location	General Description	PCA Type	Potential Project Types
Regional Trail System Gaps	EBRPD	No defined locations	Alameda County and Contra Costa County have miles of trails in urban and rural settings. These trails provide transportation choices and recreational opportunities for residents and visitors. However, opportunities exist to connect existing trails and to link to regional parks and other planned regional trail systems. Expanding the existing trail network will provide a comprehensive regional trail system that allows trail users to access a variety of opens spaces and urban centers through an alternative means of transportation.	Trails	Recreational trails

## Action Area Five: Protect the Region's Natural Environment

Preserving the region's ecologically, culturally, and economically valuable network of conservation lands can be addressed through near-term actions that expand upon ongoing programs as well as initiatives that provide the foundation for achieving the Strategy's open space goal, while also supporting the concentration of investment and future growth in PDAs. These actions include:

### 5.1: Initiate Priority Conservation Areas (PCAs) Pilot Program

The PCA Pilot Program included in the One Bay Area Grant provides an opportunity to accelerate the protection of key natural lands. The program will initially provide \$5 million to fund purchase of PCAs and conservation in North Bay Counties. Successful pilots can provide the basis for similar efforts elsewhere in the region and build momentum for protecting additional PCAs in the North Bay. Regional Agencies, local jurisdictions, and conservation organizations can begin immediately to identify partnerships to acquire and dedicate PCAs that begin to identify natural, agricultural, and open space assets for protection.

*Potential Partnerships: Local Jurisdictions, Non-Profits, ABAG*  
*Progress: Funded and Planned*

### 5.2: Identify Resources to Preserve the Conservation Lands Network (CLN)

The Conservation Lands Network is a group of interconnected habitats critical to preserving the region's natural resources and unique environmental qualities identified by a collaborative group of 125 scientists and resource managers. The CLN includes many PCAs, as well as other valuable lands throughout the region. Portions of the CLN are already protected by federal, state, and local regional policies or land trusts. For areas that are not yet protected, regional, state, and federal funds are needed to ensure long-term preservation. While urban growth boundaries and other policy mechanisms used by jurisdictions can help secure the network, long-term protection will require greater funding than is currently available. Regional agencies can help advance this process by bringing together interested parties, including the federal and state government, together to identify a clear strategy for obtaining the substantial amount of funding needed to secure the CLN.

*Potential Partnerships: Local Jurisdictions, ABAG, Non-Profits*

### **5.3: Complete the Region's Four Major Multi-use Trails** (Coastal Trail, San Francisco Bay Trail, Bay Area Ridge Trail, and Bay Area Water Trail)

The Bay Area's history of conservation and the popularity of outdoor recreation in the region have shaped planning for a trail network linking an array of natural habitats, landscapes, and communities. Significant progress has been made toward completing the region's three major multi-use trails—the region's portion of the Coastal Trail, the Bay Trail, and the Ridge Trail—and completing the planning for the Bay Area Water Trail, but additional funding and continued coordination between jurisdictions, the region's park districts, landowners and state and federal agencies is needed. ABAG currently leads the Bay Trail effort, providing grants for trail planning and construction in partnership with the San Francisco Bay Area Conservancy Program at the State Coastal Conservancy. The State Coastal Conservancy is also charged with implementing the Coastal Trail, Ridge Trail, and Water Trail and works with several partners, including ABAG, to plan and complete these trails. Regional agencies should facilitate an effort to identify planning and funding gaps that need to be addressed in order to complete the trails and help strengthen and solidify new partnerships to fill these gaps. This effort should also explore mechanisms for incorporating the completion of trail segments into permitting for development and infrastructure projects.

*Potential Partnerships: Local Jurisdictions, ABAG, Special Districts, Non-Profits*  
*Progress: Trails planned and partially completed*

### **5.4.: Extend the Expiration Dates of Existing Urban Growth Boundaries and Other Conservation Lands Policy Protections**

While many jurisdictions have mechanisms in place to protect open space, many of these protections are not permanent and over time can become vulnerable to development. To support implementation of the *Jobs Housing Connection* Scenario, regional agencies can work with jurisdictions to extend the expiration dates of existing policy protections. Where appropriate, this can include providing technical assistance for putting in place mechanisms such as agricultural zoning and other longer-term policy protections. This action can be coordinated with the dedication of PCAs and other conservation lands throughout the region.

*Potential Partnerships: Local Jurisdictions, Special Districts, ABAG*

### **5.5: Develop a Regional Agricultural and Farmland Protection Plan**

The Bay Area's agricultural sector is a defining feature that not only provides a ready source of fresh food, but also represents one of the region's economic drivers—supporting successful farms and

wineries and drawing tourists from around the world. Agriculture helps shape the region's communities by extending open space corridors and providing an edge to many cities and neighborhoods. In the face of a regional trend toward urbanization of farmland, the Bay Area can reinforce the strategic importance of the sector in the region's economy and in implementing the Jobs-Housing Connection Strategy by developing an Agricultural and Farmland Protection Plan. This would involve drawing upon existing partnerships to identify challenges and opportunities to securing the sector's future, and working with local jurisdictions to develop land use, economic development, and infrastructure policies, drawing upon the experience of cities throughout the region. In addition to employing proven strategies, cities can explore innovative approaches to support the creation of markets for the region's farms, such as zoning for non-traditional retail uses such as farm stands, farmers markets, and mobile markets, and to facilitate the expansion of small-scale and urban agriculture.

*Potential Partnerships: Relevant State Agencies, Special Districts, Local Jurisdictions, Non-Profits, ABAG*

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*Regional Policy Background Papers – Fall 2012*  
**Conservation and Open Space**

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## 1. The Open Space Qualities of the Bay Area

The Bay Area possesses a unique network of natural habitat and water resources, agricultural land, and park lands that promote a strong regional economy and support Bay Area residents' health and quality of life. Natural habitats—including forests, grasslands, and coastal areas—deliver clean and reliable drinking water, clean air, and protection from disasters such as flooding, landslides, and climate change. Working farms and ranches offer affordable local food and support a \$1.8 billion regional agriculture industry. Parks and recreational open spaces provide opportunities for outdoor activity, encouraging active, healthy lifestyles. This network contributes to the character of Bay Area rural communities, while also promoting a high quality of life in urban areas and adding to the region's economic competitiveness by attracting a talented workforce that encourages businesses to locate and stay here.

Over the past several decades, Bay Area local governments and regional agencies have succeeded in protecting many of these lands and waters through policies and partnerships that have drawn upon both public and private funds. Conservation receives strong support from the voters in the nine-county region: 93% agree that a clean, healthy, and vibrant San Francisco Bay is important for the region's economy; 72% regard the loss of open space as a concern.<sup>1</sup> Since 1988, Bay Area voters have approved more than \$1.5 billion to improve water quality, create new parks, protect farmland, and preserve critical habitat through bond measures and tax increases.<sup>2</sup>

When compared to many other metropolitan areas, the Bay Area has excelled in its efforts to protect the natural environment. Still, the region's base of agricultural and habitat land is at risk of decline. The supply of clean water for fish, wildlife and humans can be diminished as streams are constrained, polluted, and dewatered. Habitat and corridors vital for healthy wildlife populations can be degraded or lost. Financial pressures contribute to the conversion of land critical to conserving biodiversity and providing food to urban uses. Where the region's next two million new residents live, work, and recreate will play a crucial role in determining the viability of these natural resources.

Regional planning strategies can help protect and maintain our natural habitat, water resources, agricultural land, and open space. Since 2007, local jurisdictions and regional agencies have worked together to establish nearly 200 Priority Development Areas (PDAs) and more than 100 Priority Conservation Areas (PCAs). PDAs are places with access to quality transit identified by jurisdictions as locations for future housing and jobs. PCAs are locally-selected lands critical to preserving the vitality of the region's ecosystem and rural economy. A coordinated approach that focuses a significant amount of future growth in PDAs can help reduce development pressure on PCAs, supporting the region's rural economy and complex ecosystem while increasing transit use, walking, and bicycling.

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<sup>1</sup> Fairbank, Maslin, Maullin, Metz & Associates, "Support for Funding the Restoration of the San Francisco Bay: Key Findings from a Regional Voter Survey," August 2010.

<sup>2</sup> Trust for Public Land, Land Vote from <http://www.landvote.org> retrieved on 8/21/2012.



Developing a regional planning strategy provides an opportunity to expand upon initial efforts that led to the identification of more than 100 PCAs by strengthening collaboration between regional agencies, local jurisdictions, and the non-profit and business communities around a comprehensive strategy for conservation of our natural environment. This paper highlights the region's conservation and open space network, explores opportunities to leverage regional plans and investments to achieve greater integration with ongoing conservation efforts, and presents concrete specific strategies for achieving this objective.

### **Success Through Partnership: The Bay Trail**

The **San Francisco Bay Trail** is a visionary plan with wide public support for a bicycle and pedestrian trail allowing continuous travel around the shoreline of San Francisco Bay. In 1965, only four miles of bay shoreline were open to public access. Today, over 330 of the trail's 500 miles have been completed. When finished, the trail will link the shoreline of nine counties, passing through 47 cities and crossing seven toll bridges. It is a project of the Association of Bay Area Governments and funding for its administration is provided by the Metropolitan Transportation Commission.

The Bay Trail is a collaboration between elected officials, government agencies, private companies, non-profit organizations, advocacy groups and the public to increase access to the edge of the bay. It provides recreational opportunities for hikers, joggers and bicyclists; offers a setting for wildlife viewing and environmental education; attracts tourists to explore the region; and serves as a bicycle transportation corridor. The Trail provides access to points of historic, natural and cultural interest, and to numerous recreational areas, including over 130 parks.

The trail will not only encircle the Bay but will also provide access inland to open spaces and preserves, streams, and the Bay Area Ridge Trail, which forms the second of two concentric rings around the bay. Nearly 2.7 million people and 1.8 million jobs are within two miles of the trail, making it convenient not only for recreation but also for bicycling or walking to work – healthy, climate-friendly commute options that also relieve traffic.



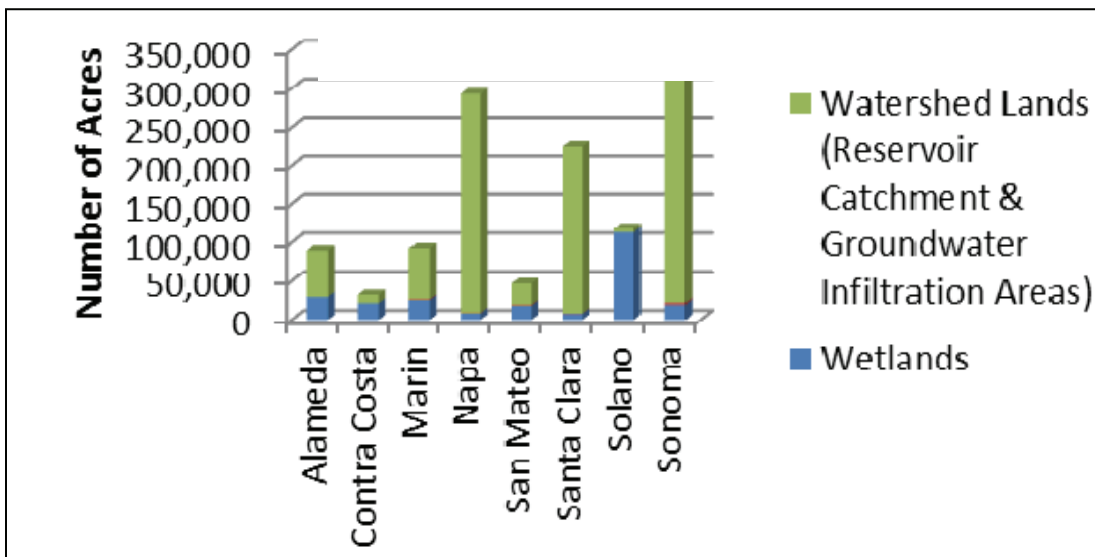
## 2. The Bay Area's Conservation and Open Space Network

The Bay Area's network of natural habitats, agricultural land, and open spaces is made up of a diversity of landscapes that act in concert to provide an array of ecological, economic, and social benefits. Collectively, these natural assets provide much of the region's food, sustain a clean and reliable water supply, store carbon in vegetation, improve community health, reduce damage from sea level rise and extreme weather events, and provide an array of other benefits.

### 2.1 Habitat and Water

The Bay Area's forests, grasslands, wetlands, and other natural habitats support 33% of the state's wildlife and plants and comprise a portion of the California Floristic Province, which is a globally recognized biodiversity hotspot.<sup>3</sup> Beyond their biological significance, natural habitats support necessary environmental functions on which residents and the regional economy depend.

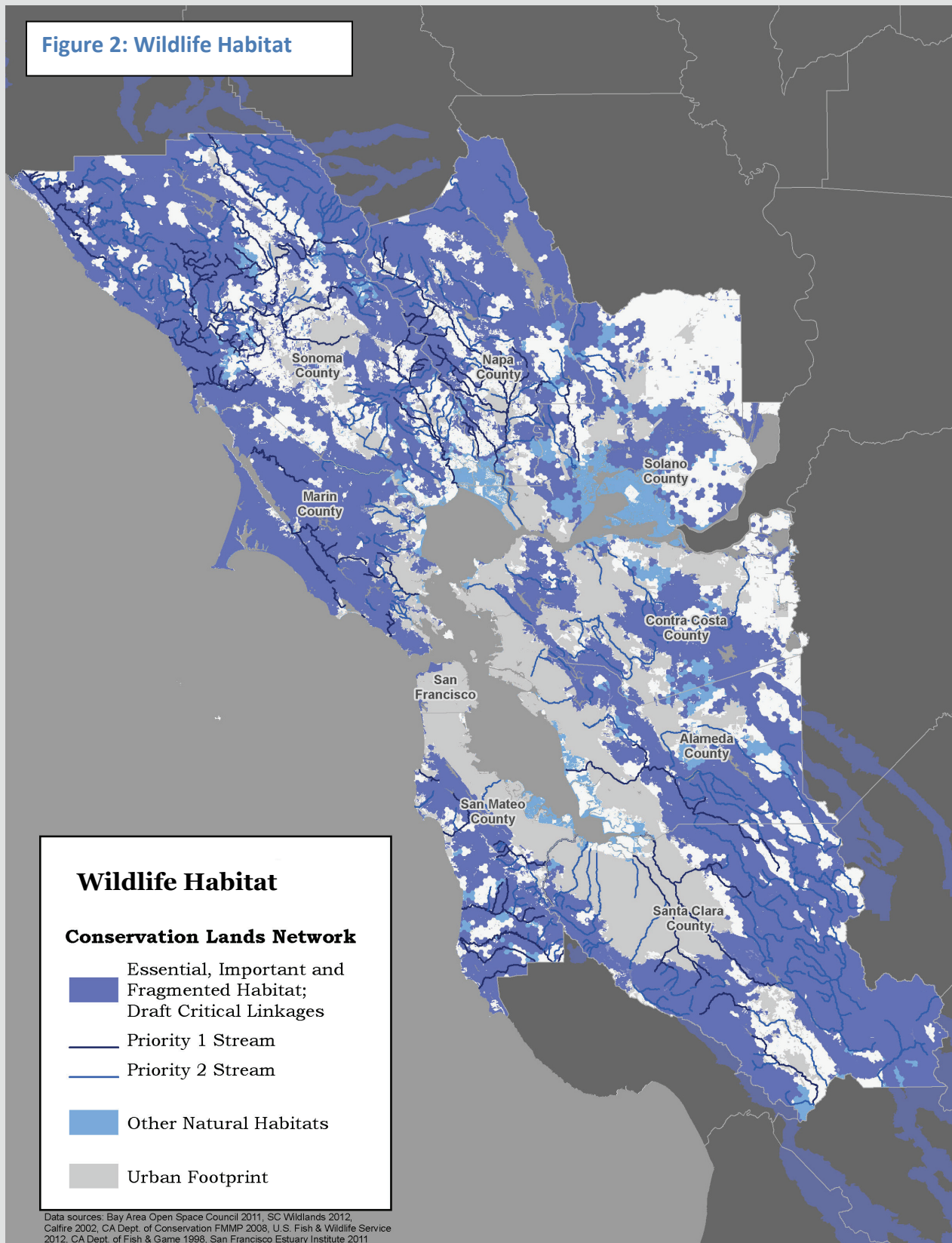
**Figure 1. Number of Acres of Water Resources by Bay Area County**



- Intact natural lands provide clean drinking water for Bay Area residents by catching rainfall, filtering pollutants from the water, and recharging groundwater supplies. They also help to ensure clean water for coastal and marine ecosystems that sustain fisheries. The economic value of ecosystem services provided by wetlands, for instance, is

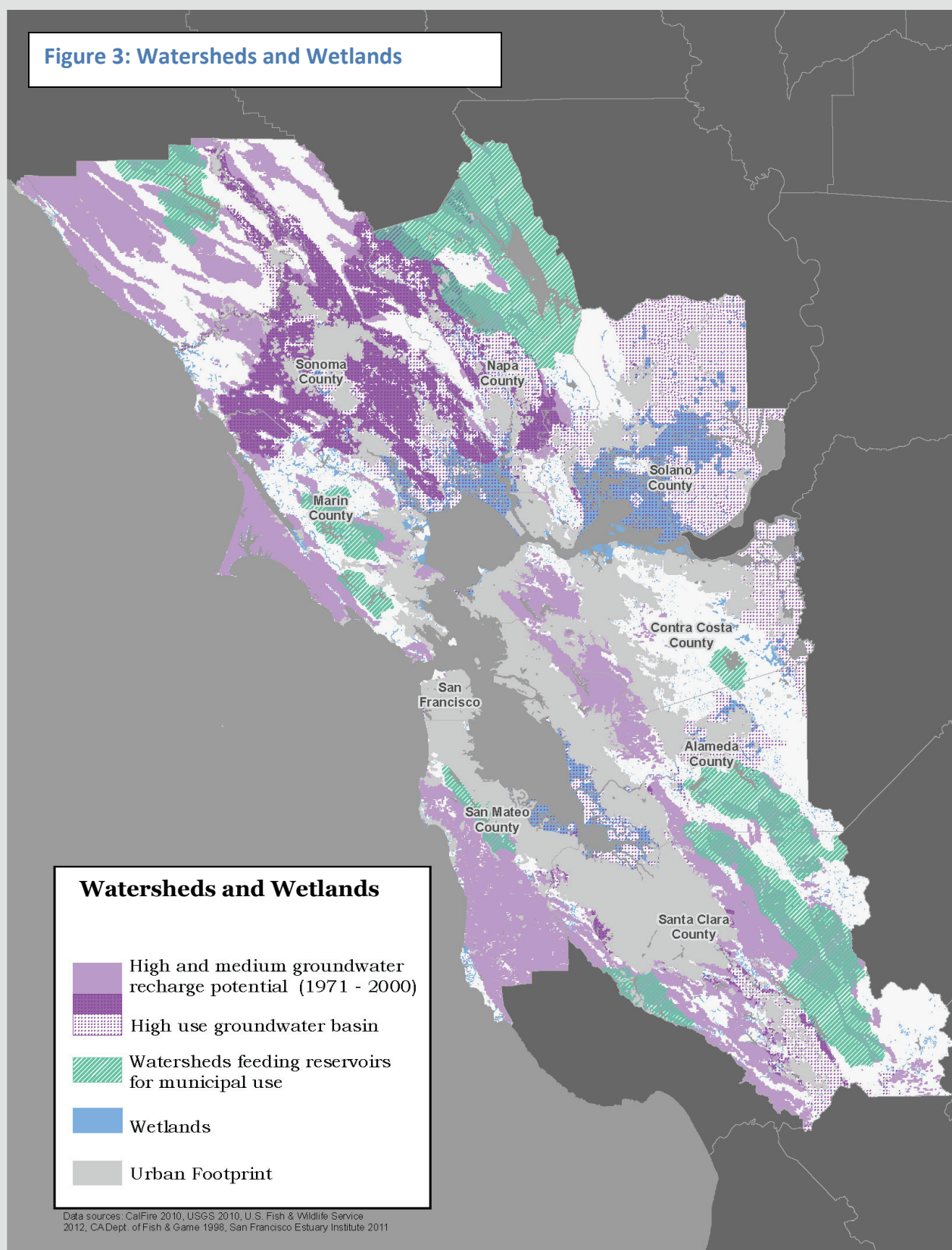
<sup>3</sup> Greenbelt Alliance, the Bay Area Open Space Council, and the Association of Bay Area Governments, "Golden Lands, Golden Opportunity: Preserving vital Bay Area lands for all Californians," 2009; Myers, N. et al. *Nature* 403 (2000): 853–858.

**Figure 2: Wildlife Habitat**

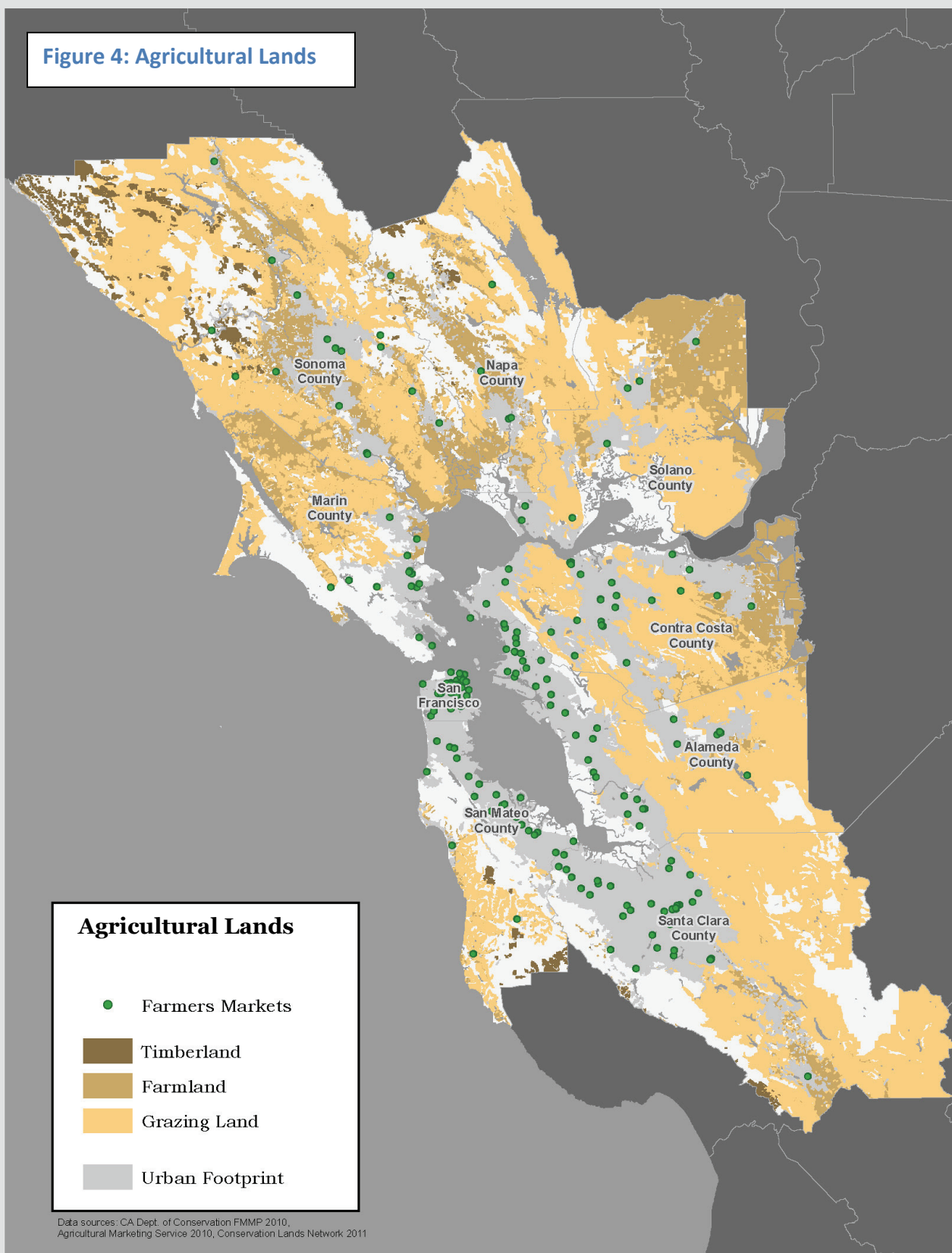




**Figure 3: Watersheds and Wetlands**



**Figure 4: Agricultural Lands**



significant. Scholars have estimated the annual value of tidal wetlands in Napa County to exceed \$8 million and the value of freshwater wetlands to exceed \$19 million. The Bay Area's natural habitats also help curb and mitigate the impacts of climate change. Natural habitats decrease and mitigate flooding events by distributing water to the landscape where it can be absorbed into the ground. Combined, conservation lands in the Bay Area store nearly 25 million metric tons of carbon aboveground tree and shrub biomass, the equivalent to avoiding the carbon dioxide emissions of over 17 million cars annually.

Natural habitats sustain an array of plant and animal life. Local organizations, in conjunction with scientists, have identified Bay Area lands that are most essential to maintaining biological diversity—the variation of life at all levels that is crucial for human health and wellbeing—with the goal of creating a Conservation Lands Network (CLN). If protected from development, this CLN can help to support a number of plant and animal species, as well as maintain migratory routes and provide buffers against anticipated climate change effects.

Natural habitats also function as “green infrastructure”—natural features that perform services typically accomplished with built infrastructure such as flood control, water filtration, and water storage, providing viable, cost-effective and resource-efficient alternatives to traditional “grey” infrastructure. The City of Martinez, in partnership with the East Bay Regional Park District and Caltrans, recently implemented an innovative green infrastructure project that involved enhancing the Martinez marsh in order to alleviate flooding in downtown Martinez. Although these watershed lands and wetlands are critical to maintaining a supply of clean water, many acres are unprotected, including a large number in Napa and Sonoma Counties.

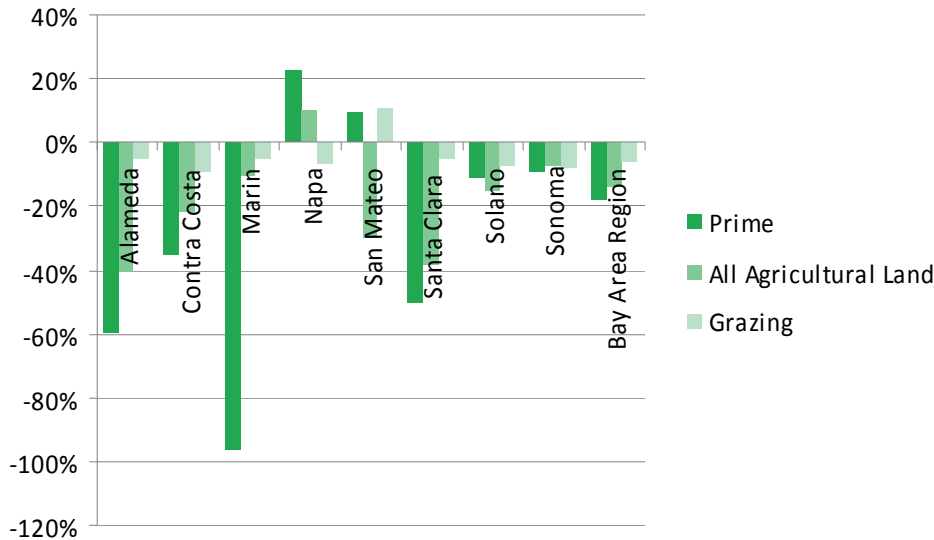
## 2.2 Agricultural Lands

Agricultural lands include farms that produce a variety of food and provide space for livestock to graze. The Bay Area's agricultural lands result in over \$1.8 billion of crop production value annually and generate nearly 25,000 jobs—including 8.2% of jobs in Napa County and 3.7% in Sonoma County.<sup>4</sup> These lands offer additional economic benefits through the activities that accompany agriculture, such as food processing and food-related tourism. Napa and Sonoma Counties attract business conventions to the Bay Area, as participants can complement their business travel with trips to the counties' premier vineyards. Taking into account these broader impacts, the estimated annual economic benefit of agriculture in the region is over \$5.5 billion.<sup>5</sup> Agricultural lands are an integral part of the region's infrastructure network, dependent on road and rail access to markets within the Bay Area's urban areas and outside of the region. In addition, working lands support the region's watershed by allowing water infiltration into the groundwater storage system, contribute to flood control, and absorb greenhouse gas emissions.

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<sup>4</sup> Crop Reports, Bay Area Counties, 2010 and 2011; US Census 2010

<sup>5</sup> Crop Reports, Alameda and Contra Costa Counties, 2010. These counties determined that the total economic impact of agricultural production is three times the gross production value.

**Figure 5: Change in Agricultural Land, Bay Area: 1984-2008**

Source: CA Department of Conservation, Farmland Mapping and Monitoring Program (FMMP), 2008.

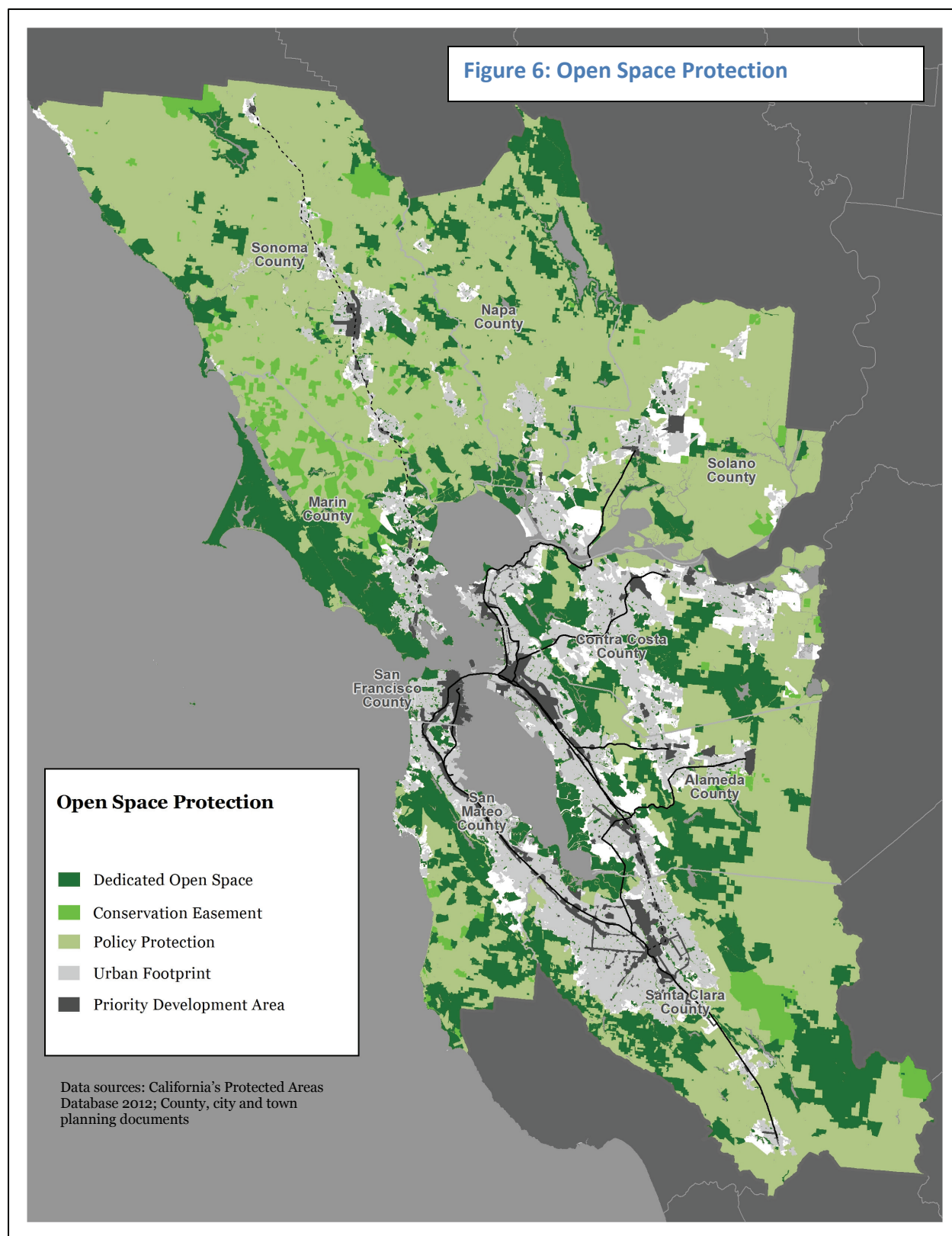
Despite its continued positive economic impact, the region's agricultural land base is declining. Between 1984 and 2008, acreage of prime farmland<sup>6</sup> fell by 18% and total acreage of agricultural land fell by 8%.<sup>7</sup> This trend was most pronounced in Alameda and Marin Counties, which saw reductions in prime farmland of 60% and 96% respectively. Sonoma County, which has the highest value of agricultural production, lost 9% of its prime farmland during this period and 8% of its total agricultural land. Napa, the county with the second highest value of agricultural production, is the only county in the Bay Area to gain prime farmland, which increased by 23% (total agricultural land fell by 2%). One positive trend across much of the region is the expansion of unique farmland, which is of lesser soil quality than prime farmland or farmland of statewide importance, but is used to produce many of the state's leading crops; acreage in this category increased in every county except Solano, and more than doubled in Alameda, Marin, Santa Clara and Sonoma Counties.

The region's loss of agricultural land is due primarily to conversion to urban uses, particularly residential development. Napa's success in preserving prime farmland—as well as less productive but important and unique farmland—was supported by voter adoption of the Agricultural Lands Preservation Initiative (Measures J and P), which prevented the re-

<sup>6</sup> Farmland with the best combination of physical and chemical features able to sustain long term agricultural production. [http://www.conservation.ca.gov/dlrp/fmmp/mccu/Pages/map\\_categories.aspx](http://www.conservation.ca.gov/dlrp/fmmp/mccu/Pages/map_categories.aspx) retrieved on 9/21/2012.

<sup>7</sup> California Department of Conservation, Farmland Mapping and Monitoring Program 2008.





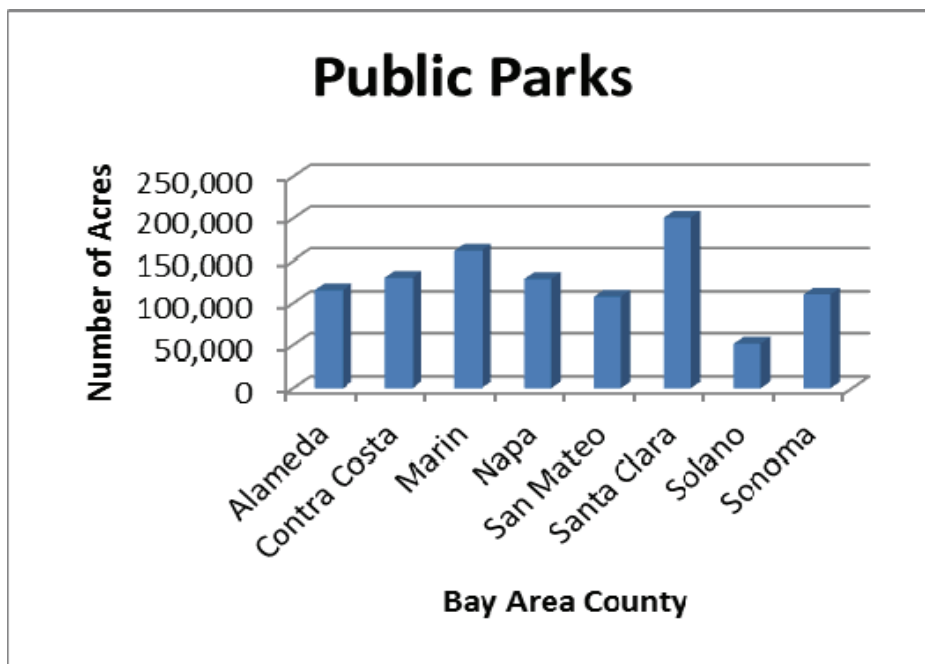


designation or subdivision of agricultural or watershed lands or subdividing them without voter approval.

### 2.3 Open Space and Parks

The Bay Area has an extensive network of regional parks, trails and open space, including 587,837 acres (an area the size of 578 Golden Gate Parks) of publicly accessible land.<sup>8</sup> This network has helped shape the region's identity as a place of natural beauty, active lifestyles and recreational opportunities. In addition to improving individual and community health, the region's parks and open spaces capture greenhouse gas emissions and yields regional and local economic benefits. State parks attract nearly 10 million visitors annually across the region, while the Golden Gate National Recreation Area attracts 14 million visitors—many of them tourists that help bolster the region's economy. Open spaces and parks run by regional park districts attract millions more and provide additional economic benefits. The East Bay Regional Park District estimates that park visitors spend \$254 million each year on durable and non-durable goods.<sup>9</sup>

Figure 7: Park Acreage by Bay Area County

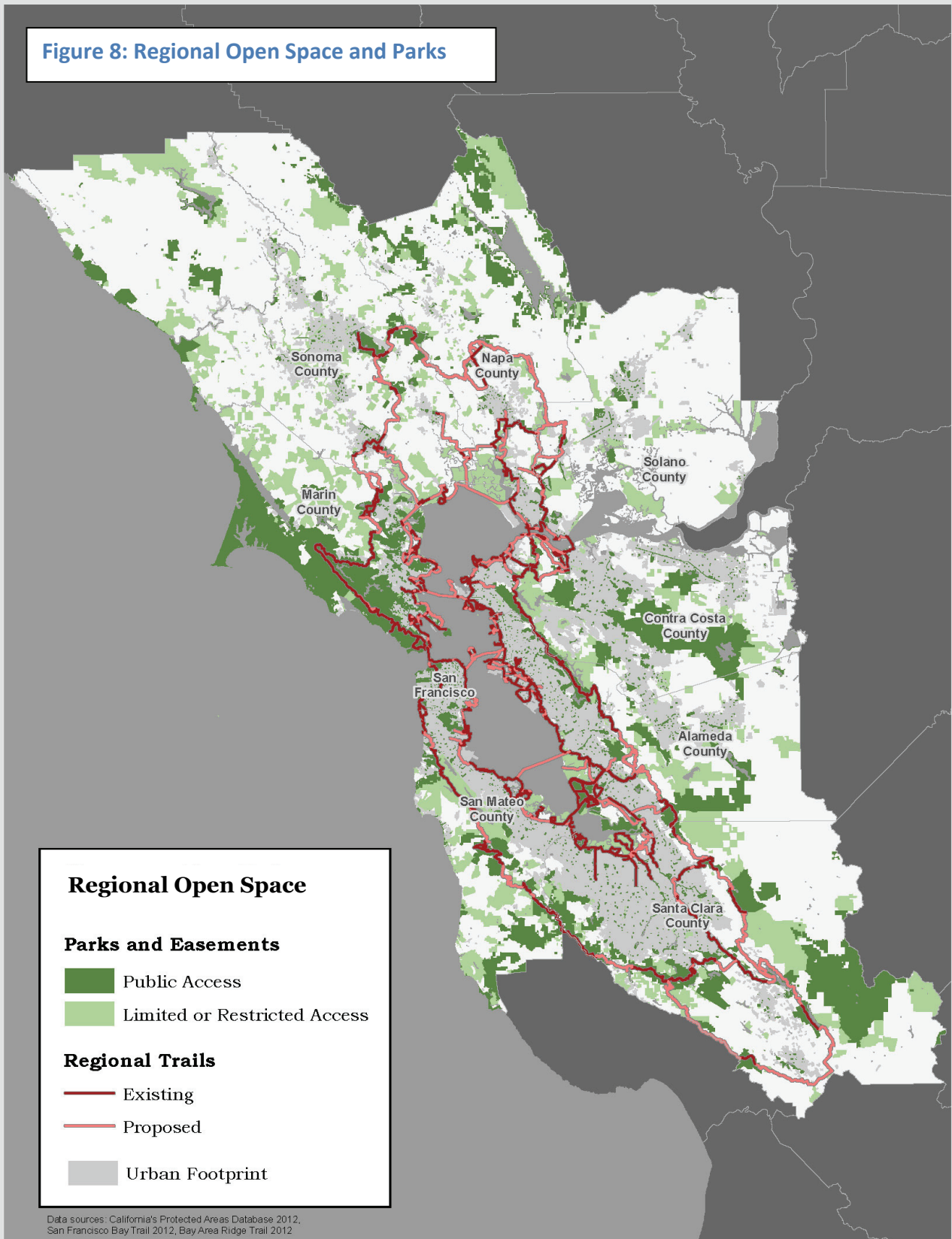


The expansion the Bay Area's park and open space network illustrates the potential for stakeholders and public agencies to work together to support voter initiatives and programs to

<sup>8</sup> California Protected Area Data Base, Jan 2012; US Census Block Level 2010.

<sup>9</sup> East Bay Regional Park District, "Quantifying our Quality of Life: An Economic Analysis of the East Bay's Unique Environment," 2000.

**Figure 8: Regional Open Space and Parks**



acquire land to complete regional park and open space networks. In addition to acquiring new parkland, the region also has made significant progress toward completion of the Bay Trail and the Ridge Trail. This tradition of collaboration can be leveraged to increase the amount of green space in communities that currently lack trees and neighborhood parks. Many low-income communities have significantly fewer acres of parkland per resident and dramatically fewer trees than wealthy neighboring communities. In some neighborhoods, residents have developed their own public and semi-public greenspaces. Innovative, grassroots efforts to expand the amount of greenspace in low-income neighborhoods have transformed vacant lots and other neglected areas into parks, community gardens, and playgrounds. Supporting these organic efforts and recent efforts by state and federal agencies to increase the urban tree canopy<sup>10</sup> could provide significant benefits at a relatively low cost.

This collaborative approach to parks and open space planning has helped shape new development as well. Coordination between stakeholders, local governments, and state and federal agencies led to an adopted plan for the Concord Naval Weapons station that focuses future homes and workplaces around convenient transit service, preserving 60% of the site for green spaces ranging from community gardens to a 2,500 acre addition to the East Bay Regional Park District. In addition, recent plans for development around transit stations and traditional downtowns have set aside land to fill in gaps in regional trail and open space networks.

### **3. Strategies to Preserve and Strengthen our Open Space Network**

Regional agencies have played an important role in supporting the preservation and expansion of the region's conservation and open space lands. The most successful examples of regional agency involvement have grown out of partnerships with non-profit organizations, other public agencies, and stakeholder groups with an ongoing involvement in conservation activities. In some cases, a regional agency has taken on a leadership role. Planning for the Bay Trail, for example, is led by ABAG with funding from MTC. Priority Conservation Areas, developed through the FOCUS program, are another example of a regionally-led program closely linked to a network of government, non-profit, and private sector partnerships. PCAs were selected by the region's jurisdictions based upon both local priorities and the wealth of research and planning conducted in the region to identify lands with the greatest ecological, recreational and economic value. Building upon the identification of PCAs over the past 5 years, the One Bay Area Grant (OBAG) directs \$10 million in competitive funds to support PCAs.

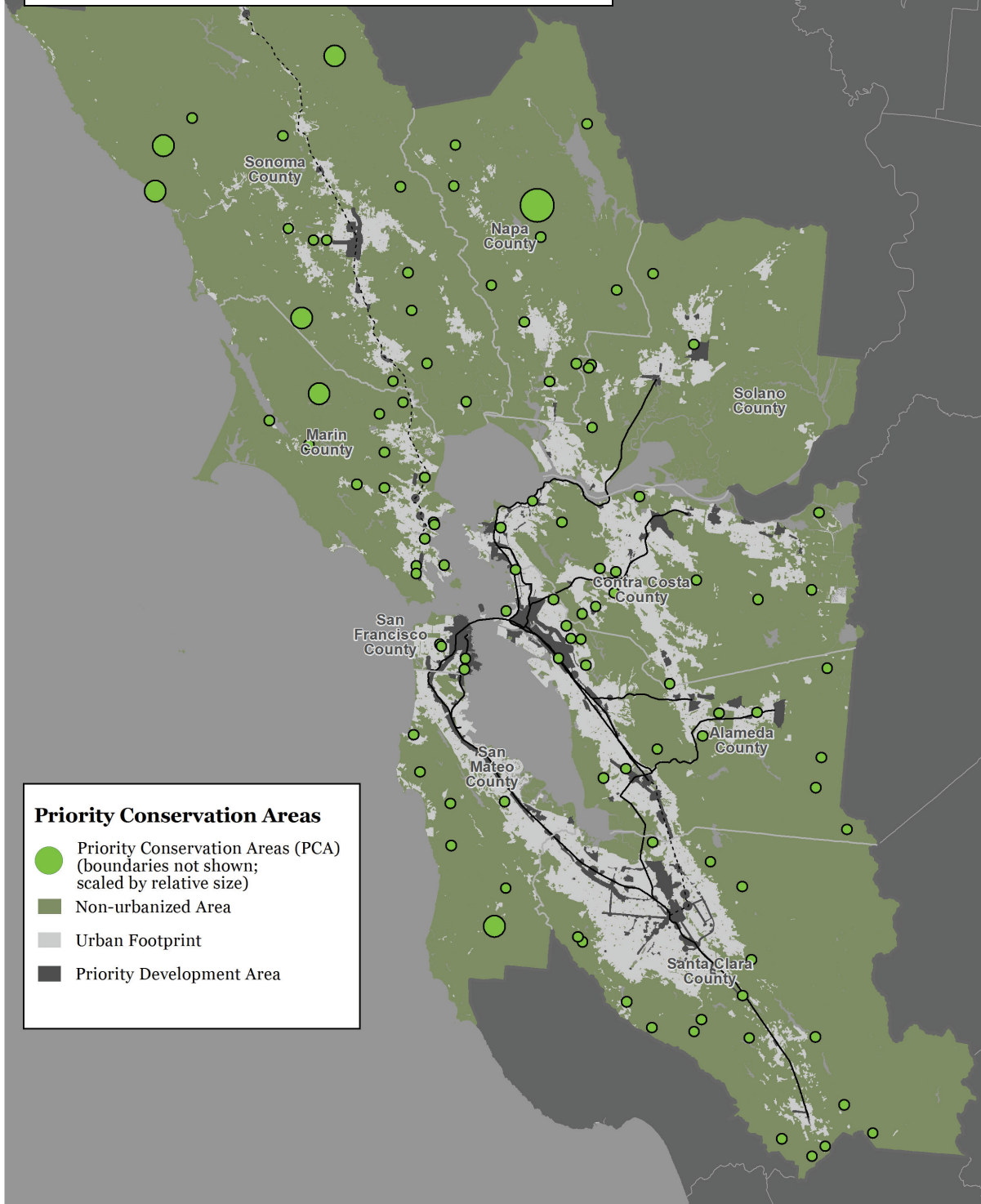
#### ***Strategy 1: Updated Priority Conservation Area (PCA) Framework***

Working in partnership with local jurisdictions, state agencies, special districts, and stakeholder groups, regional agencies will refine the definition of Priority Conservation Areas in supporting regional efforts to protect valuable agricultural, habitat, and open space lands, and to preserve and expand urban green spaces.

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<sup>10</sup> [http://www.marinij.com/ci\\_21505045/gauge-neighborhood-wealth-look-trees](http://www.marinij.com/ci_21505045/gauge-neighborhood-wealth-look-trees), accessed 9/21/2012

**Figure 9: Priority Conservation Areas (PCAs)**



The strategy could explore opportunities to:

- Link the identification, funding and preservation of PCAs to ongoing regional initiatives led by public agencies and non-profit organizations—including opportunities for joint funding of both acquisition and planning activities. The impact of regional funds for PCAs could be increased by partnering with existing state and non-profit efforts to acquire and preserve land; identifying these opportunities could set the stage for a more robust, coordinated long-range approach to regional open space planning.
- Revise the PCA framework to provide greater specificity about the qualities and function of different types of PCAs. Currently, only a single category exists for the region's 106 PCAs. The regional agencies and working group could investigate the development of a set of PCA Types that would play a similar role as PDAs by identifying the unique role of different kinds of PCAs in preserving and enhancing the region's natural habitat, agricultural, and open space. This would help communicate the quality of the PCAs to community members, and identify the interrelationships between different PCAs as well as the built environment. Combined with data about the specific benefits of each PCA, the Types would help prioritize planning and investment.
- Gather data and make it accessible. To support implementation of the PCA framework, ABAG can review and integrate into the regional spatial database the wealth of available data related to the habitat and water, agricultural land, and open space—including policies and other incentives applicable to these areas. In tandem with the Area Types, this expanded database would help inform local and regional decisions about the prioritization of different PCAs. The database could be available online and be updated as new information becomes available. Links could be provided to the data sources of different map layers to provide transparency. Ongoing efforts by state and regional scientists can provide the basis for identifying, compiling, and reviewing data to include in the database.

### ***Strategy 2: Regional Farmland Protection Plan***

A regionally coordinated plan to preserve the Bay Area's agricultural land and support farmers could strengthen the vitality of rural economies and communities, while also improving the long-term resilience of the region's food supply and helping to mitigate the impacts of climate change and sea level rise. This effort would complement the Regional Prosperity Plan currently underway by providing a greater level of analysis on the unique challenges and opportunities facing the region's rural communities.

This strategy could involve:

- Identifying the role of existing and potential PCAs in supporting preservation of valuable at-risk agricultural lands, and exploring opportunities to link these efforts.



- Developing and disseminating model zoning and regulatory elements for jurisdictions, such as agricultural enterprise zones, on-farm value added facilities (i.e. commercial kitchen), worker housing, and expanding ag-tourism by allowing visitors to interact and engage with farmlands more directly.
- Providing guide/policy on best practices for allowing groundwater recharge, carbon sequestration, and wildlife movement.
- Facilitating policies that allow delivery of local produce to local schools, hospitals and market stores.
- Exploring options for creating an entity to coordinate across the counties and subsectors of agriculture. This entity should be attentive to how the entire food system functions and be strategic in its engagement.

### ***Strategy 3: Regional Advance Mitigation Program (RAMP)***

A regional advance mitigation program is an emerging approach to infrastructure development that aims to expedite project delivery, reduce risk and create certainty for the infrastructure agency, as well as delivering more effective conservation of our natural resources by bundling mitigation needs of multiple projects and funding mitigation projects at a larger, more effective scale and tied to regional conservation priorities. This approach has been applied successfully by the San Diego Association of Governments and the Orange County Transportation Authority. State infrastructure (Caltrans and Department of Water Resources) and state and federal resource agencies (Department of Fish and Game, U.S. Fish and Wildlife Service, Army Corps of Engineers and U.S. Environmental Protection Agency) are engaged in developing a statewide RAMP framework. Developing a regional program in the Bay Area could involve:

- Analysis and integration of regional spatial data, planned projects, and analyses, including:
  - A list of transportation and potentially other projects expected to be developed over ten to twenty years, drawn initially from the 2035 RTP
  - An analysis that indicates the range of estimated mitigation needs of identified projects
  - A defined list of conservation priorities in a landscape that reflects the mitigation needs
  - Potential options for mitigation actions.
- Integration of the mitigation needs (or “mitigation demand”) with the conservation priorities (or “mitigation supply”) to determine the most effective mitigation actions to meet the goals. The mitigation demand can be drawn from RTP and additional projects identified by Congestion Management Agencies. The mitigation supply can be drawn

from existing data that incorporates conservation and working lands priorities (e.g., Conservation Lands Network).

- Identifying options for the scope and scale, governance framework of a RAMP, financial and funding structure, and involvement of regulatory agencies. Preliminarily, a list of partners in the RAMP framework could include: ABAG and MTC; infrastructure agencies (e.g. Caltrans, CMAs); resource agencies (e.g. Coastal Conservancy, US EPA); conservation agencies and organizations (e.g. special districts, Bay Area Open Space Council); scientific researchers; and non-profit organizations representing business, equity, conservation, and other stakeholder groups.

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** Report of Pavement Condition Of Bay Area Jurisdictions 2011 by the Metropolitan Transportation Commission (MTC)

### Recommendation

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

### Summary

MTC released the "Pavement Condition Of Bay Area Jurisdictions 2011" report on October 29, 2012. This report provides total lane miles and the Pavement Condition Index (PCI) scores for each city and county in the San Francisco Bay Area. The PCI score is a numerical index between 0 and 100, based on a three year running average, which indicates the average condition of the roadway pavement in a jurisdiction. In Alameda County, PCI scores ranged from Very Good to At-Risk for the 14 cities of Alameda, Albany, Berkeley, Dublin, Emeryville, Fremont, Hayward, Livermore, Newark, Oakland, Piedmont, Pleasanton, San Leandro, Union City and the County of Alameda.

### Discussion

The San Francisco Bay Area roadway network comprises of 42,659 total lane miles of which 7,953 miles (19%) is represented by the cities and County of Alameda.

Every year local jurisdictions analyze their pavement conditions by evaluating representative samples of roadways and entering this data into MTCs' online Pavement Management Program (PMP) called "Street Saver". The "Street Saver" program is a computer-assisted decision-making process designed to help cities and counties prevent pavement problems through judicious maintenance, and to diagnose which roadways to repair in a timely, cost-effective manner. In this report, MTC compiles the PCI scores for the jurisdictions in the nine counties of the Bay Area and ranks them by Condition Categories, ranging from Very Good-Excellent (PCI= 80-100) to Failed (PCI= 0-24):

The following table describes the average pavement conditions and possible roadway treatments recommended per each Condition Category:

<b>Condition Category</b>	<b>Description</b>
Very Good-Excellent (PCI= 80-100)	Pavements are newly constructed or resurfaced and have few if any signs of distress
Good (PCI= 70-79)	Pavements require mostly preventive maintenance and have only low levels of distress, such as minor cracks or spalling, which occurs when the top layer of asphalt begins to peel or flake off as a result of water permeation.
Fair (PCI= 60-69)	Pavements at the low end of this range have significant levels of distress and may require a combination of rehabilitation and preventive maintenance to keep them from deteriorating rapidly.
At Risk (PCI= 50-59)	Pavements are deteriorated and require immediate attention including rehabilitative work. Ride quality is significantly inferior to better pavement categories
Poor (PCI= 25-49)	Pavements have extensive amounts of distress and require major rehabilitation or reconstruction. Pavements in this category affect the speed and flow of traffic significantly.
Failed (PCI= 0-24)	Pavements need reconstruction and are extremely rough and difficult to drive.

The following table summarizes the lane miles, the running three year average PCI and the condition category of the 14 Alameda cities and the county of Alameda:

<b>Jurisdiction</b>	<b>Lane Miles</b>	<b>PCI 2011</b>	<b>Category</b>
Dublin	247	84	Very Good
Union City	331	79	Good
Livermore	670	78	Good
Emeryville	47	78	Good
Pleasanton	498	77	Good
Alameda County	995	73	Good
Piedmont	78	73	Good
Newark	250	71	Good
Hayward	629	69	Fair
City of Alameda	275	67	Fair
Fremont	1,065	63	Fair
Berkeley	453	59	At Risk
Albany	59	58	At Risk
Oakland	1,964	57	At Risk
San Leandro	392	56	At Risk

The PCI value provided in the “Pavement Condition Of Bay Area Jurisdictions 2011” report is an average of 3 years and each years’ PCI represents an average of all the various road conditions within a jurisdictions’ roadway network. MTC Staff provided the following summary of both Alameda County (including all jurisdictions) and the entire Bay Area for the single year of 2011, showing the percentage of Lane Miles that correlate to various Condition Categories.

**Alameda County**  
**(All Jurisdictions)**

	Lane Miles of Local Street & Road Pavement									
	Excellent PCI=90-100	Very Good PCI = 80-89	Good PCI = 70-79	Fair PCI = 60-69	At Risk PCI = 50-59	Poor PCI = 25-49	Failed PCI = 0-24	No Data	Totals	Wgt. PCI
Alameda County*	954.38	1690.91	1773.31	1122.09	848.97	1264.84	297.94	1.85	7952	70.09
Percent	12.00%	21.26%	22.30%	14.11%	10.68%	15.91%	3.75%	0.02%	100%	

**Bay Area**  
**(nine counties)**

	Lane Miles of Local Street & Road Pavement									
	Excellent PCI=90-100	Very Good PCI = 80-89	Good PCI = 70-79	Fair PCI = 60-69	At Risk PCI = 50-59	Poor PCI = 25-49	Failed PCI = 0-24	No Data	Totals	Weighted Avg PCI
Bay Area	3,734	9,502	8,950	5,977	4,607	6,772	3,060	144	42,745	66
Percent	9%	22%	21%	14%	11%	16%	7%	0%	100%	

Only 4 of the 9 counties can point to one city in their jurisdiction that made the top of the average Condition Category as Very Good and Dublin stands as second highest lane miles to enjoy this premium status. A majority of Alameda cities (6) and the County also enjoyed an average Condition Category of Good and could look towards applying preventive maintenance practices to keep this status. Though 3 cities are categorized as Fair, this does indicate that more roadways are becoming worn and thus will require rehabilitation along with preventive maintenance to improve their status.

If voters approve Measure B1 supporting the 2012 Transportation Expenditure Plan on November 6, 2012, additional resources would be available to assist local agencies to improve their roadway network through rehabilitative project and preventive maintenance practices.

**Attachment**

Attachment A: Pavement Condition Of Bay Area Jurisdictions 2011

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# **Pavement Condition Of Bay Area Jurisdictions 2011**

## Pavement Condition Index (PCI) for Bay Area Jurisdictions, 2011

			3-Year Moving Average				
Jurisdiction	County	Total Lane Miles	2006	2007	2009 <sup>1</sup>	2010	2011
<b>Very Good (PCI = 80–89)</b>							
Brentwood	Contra Costa	407	85	84	85	86	86*
Belvedere	Marin	24	81	79	82	84	85**
Dublin	Alameda	247	80	80	81	82	84
Foster City	San Mateo	121	82	83	82	81	81
Los Altos	Santa Clara	226	85	84	83	82	81
<b>Good (PCI = 70–79)</b>							
San Pablo	Contra Costa	102	67	72	76	80	79*
Atherton	San Mateo	106	68	69	73	77	79*
Union City	Alameda	331	76	75	76	78	79*
Livermore	Alameda	670	79	79	78	78	78
Dixon	Solano	126	81	77	76	76	78
Santa Clara	Santa Clara	592	83	82	82	80	78
Emeryville	Alameda	47	76	79	76	77	78*
Daly City	San Mateo	254	70	73	75	77	77
Los Altos Hills	Santa Clara	113	74	75	76	77	77*
Pleasanton	Alameda	498	74	75	76	77	77
Portola Valley	San Mateo	71	64	63	67	73	77**
Redwood City	San Mateo	354	74	76	77	78	77
Brisbane	San Mateo	57	70	73	76	77	77*
Morgan Hill	Santa Clara	256	71	75	76	77	77
San Ramon	Contra Costa	427	74	73	74	75	76
Sunnyvale	Santa Clara	636	80	77	74	75	76
Burlingame	San Mateo	162	68	72	75	77	76
Mountain View	Santa Clara	330	74	74	75	76	75*
Campbell	Santa Clara	218	78	76	75	75	75
Contra Costa County	Contra Costa	1,319	83	82	80	78	75
Oakley	Contra Costa	229	83	80	78	76	75*
Sonoma	Sonoma	68	80	79	79	77	74
Hercules	Contra Costa	122	75	74	73	73	74*
San Rafael	Marin	331	63	66	70	75	74

**Pavement Condition Index (PCI) for Bay Area Jurisdictions, 2011 (continued)**

			3-Year Moving Average				
<b>Jurisdiction</b>	<b>County</b>	<b>Total Lane Miles</b>	<b>2006</b>	<b>2007</b>	<b>2009<sup>1</sup></b>	<b>2010</b>	<b>2011</b>
Santa Clara County	Santa Clara	1,437	75	77	75	74	74
Clayton	Contra Costa	94	75	77	76	75	74*
Gilroy	Santa Clara	256	82	80	79	76	74***
Alameda County	Alameda	995	69	71	72	72	73
Fairfield	Solano	718	77	75	73	73	73*
Novato	Marin	317	65	67	71	73	73
Palo Alto	Santa Clara	383	N/A	N/A	72	73	73*
Vacaville	Solano	582	78	79	77	76	73
El Cerrito	Contra Costa	145	53	50	50	62	73*
Lafayette	Contra Costa	202	64	70	71	72	73*
Piedmont	Alameda	78	67	67	69	70	73*
San Mateo	San Mateo	412	61	67	70	73	72*
Concord	Contra Costa	713	78	78	78	76	72*
Danville	Contra Costa	315	74	73	72	73	72
Hillsborough	San Mateo	164	64	66	69	71	72*
Saratoga	Santa Clara	281	70	71	72	71	72
South San Francisco	San Mateo	296	67	71	72	73	72
Windsor	Sonoma	171	74	75	74	73	71
Corte Madera	Marin	71	73	73	73	72	71
Newark	Alameda	250	75	71	69	69	71
Walnut Creek	Contra Costa	435	72	74	73	73	71
American Canyon	Napa	107	76	76	75	74	71
Yountville	Napa	17	67	65	67	69	71
Cupertino	Santa Clara	303	69	70	70	70	70*
Tiburon	Marin	67	64	67	68	70	70*
<b>Fair (PCI= 60–69)</b>							
Antioch	Contra Costa	666	70	70	70	69	69
Monte Sereno	Santa Clara	27	65	70	68	69	69*
Pinole	Contra Costa	119	71	71	70	70	69*
Ross	Marin	22	64	65	69	67	69
San Mateo County	San Mateo	625	65	67	68	69	69
Hayward	Alameda	629	68	68	69	69	69

**Pavement Condition Index (PCI) for Bay Area Jurisdictions, 2011 (continued)**

			3-Year Moving Average				
<b>Jurisdiction</b>	<b>County</b>	<b>Total Lane Miles</b>	<b>2006</b>	<b>2007</b>	<b>2009<sup>1</sup></b>	<b>2010</b>	<b>2011</b>
Cloverdale	Sonoma	65	69	71	72	71	68
Fairfax	Marin	55	69	70	69	69	68*
Los Gatos	Santa Clara	222	72	73	72	69	68
Milpitas	Santa Clara	291	70	70	70	69	68
Rohnert Park	Sonoma	206	68	67	67	69	68*
Solano County	Solano	940	58	61	64	67	68
Colma	San Mateo	23	67	72	67	65	68*
Menlo Park	San Mateo	200	62	62	62	63	68
Suisun City	Solano	150	53	50	55	62	68*
Alameda	Alameda	275	63	63	62	66	67*
Pleasant Hill	Contra Costa	225	62	65	65	67	66
San Carlos	San Mateo	175	68	69	70	67	65*
Santa Rosa	Sonoma	1,097	64	64	65	65	65
Pittsburg	Contra Costa	334	65	64	64	64	64
San Francisco City/County	San Francisco	2,130	64	64	64	64	64
San Jose	Santa Clara	4,264	63	63	63	64	64
Sebastopol	Sonoma	47	67	67	66	65	64
Fremont	Alameda	1,065	70	68	66	64	63
Healdsburg	Sonoma	93	66	66	67	66	63*
San Bruno	San Mateo	178	62	64	63	63	63
Sausalito	Marin	52	69	68	65	63	63***
Mill Valley	Marin	117	64	62	60	61	62*
Millbrae	San Mateo	125	60	57	57	59	62
Benicia	Solano	190	70	68	66	63	61
Cotati	Sonoma	46	66	66	64	64	61
Calistoga	Napa	31	57	57	59	60	61*
Martinez	Contra Costa	230	57	57	59	59	60
Napa County	Napa	835	54	51	55	57	60*
Pacifica	San Mateo	188	64	60	59	59	60



**Pavement Condition Index (PCI) for Bay Area Jurisdictions, 2011 (continued)**

			3-Year Moving Average				
Jurisdiction	County	Total Lane Miles	2006	2007	2009 <sup>1</sup>	2010	2011
<b>At-Risk (PCI = 50–59)</b>							
Berkeley	Alameda	453	62	60	60	60	59
Half Moon Bay	San Mateo	54	55	59	61	62	59*
Napa	Napa	465	52	53	55	57	58
Albany	Alameda	59	62	63	63	60	58
Belmont	San Mateo	135	61	61	61	60	58*
Richmond	Contra Costa	568	46	50	53	55	58
Woodside	San Mateo	96	62	60	57	57	58*
Oakland	Alameda	1,964	56	57	59	56	57
San Anselmo	Marin	81	59	58	57	55	56
San Leandro	Alameda	392	62	60	58	57	56
Moraga	Contra Costa	110	61	60	59	58	56
East Palo Alto	San Mateo	80	60	56	52	53	53*
Marin County	Marin	846	48	49	50	52	52
Petaluma	Sonoma	390	60	57	55	55	52
Vallejo	Solano	706	54	54	53	53	51
<b>Poor (PCI = 25–49)</b>							
Orinda	Contra Costa	192	46	47	48	49	48*
Rio Vista	Solano	45	51	48	45	42	47
Sonoma County	Sonoma	2,713	44	44	44	45	45
St. Helena	Napa	51	58	53	48	46	44
Larkspur	Marin	64	51	48	47	45	44
<b>Regional</b>		<b>42,659</b>	<b>64</b>	<b>65</b>	<b>66</b>	<b>66</b>	<b>66</b>

**Notes:**

Where “N/A” is indicated, the jurisdiction used a pavement management software that does not use PCI scale.

<sup>1</sup> Increased utilization of online reporting options by many jurisdictions in 2009 allowed MTC to collect and tabulate 2009 pavement condition data, even as 2008 data was still being compiled. To simplify reporting, MTC decided not to separately report 2008 data, electing instead to bring all PCI data up to date as of 2009. The reported 2009 three-year moving average is computed from the individual-year scores for 2006, 2007 and 2009.

\* Three-year moving average score is an estimate based on inspections done in 2010.

\*\* Three-year moving average score is an estimate based on inspections done in 2009.

\*\*\* Three-year moving average score is an estimate based on inspections done in 2008.

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** **I-680 Northbound Express Lane Project (ACTIA 8B)– Allocation of 2000 Measure B Capital Funding and Approval to Amend the Professional Services Agreement with WMH Corporation for expanded scope of services**

### Recommendation

It is recommended the Commission approve the following actions related to the funding and implementation of the I-680 Northbound Express Lane Project (APN 721.0):

1. Authorize the shift of \$4.5 million from the 2000 Measure B Programmed Balance for the I-680 Northbound Express Lane Project (APN 721.0) to the 2000 Measure B Programmed Balance for the I-680 Southbound Express Lane Project (APN 710.4) and maintain the combined 2000 Measure B Total Commitment of \$35.197 million for both directions;
2. Allocate \$4.5 million from the 2000 Measure B Programmed Balance for the I-680 Northbound Express Lane Project for the Preliminary Engineering/Environmental Studies Phase of the Project; and
3. Authorize the Alameda CTC Executive Director, or designee of the Executive Director, to execute Amendment No.1 to the Professional Services Agreement with WMH Corporation (Alameda CTC Agmt. No. A11-0034) to extend the termination date of the Agreement from June 30, 2014 to June 30, 2015, and to increase the not to exceed compensation amount of the Agreement by \$2,500,000 to a revised total of \$6,161,366 to accommodate an expanded scope of services to complete the Project Initiation Document (PID) and Project Approval and Environmental Document (PA&ED) phases of project development for the I-680 Northbound Express Lane Project ("Project").

### Summary

The I-680 Sunol Express Lanes Project, including both the northbound and southbound lanes, is one of the 27 capital projects included in the 2000 Measure B Transportation Expenditure Plan. Initially, the total 2000 Measure B commitment for the project was allocated for the southbound project, including \$20 million to advance the share of certain State funds that were not available at the time needed for project delivery. The southbound Express Lane has been constructed and is being operated by the I-680 Sunol JPA. The \$20 million used to advance the State funding has been repaid

and was programmed to the northbound Express Lane project in the FY 2011/12 2000 Measure B Strategic Plan, leaving a total 2000 Measure B commitment for the southbound project of \$15.197 million. The first recommended action would adjust the two individual 2000 Measure B commitments to \$19.697 million and \$15.5 million for the southbound and northbound projects, respectively, while maintaining the total combined commitment of \$35.197 million.

In September 2012, the I-680 Sunol JPA reviewed a breakeven analysis presented for the I-680 Southbound Express Lane Operations. The adjustment to the southbound project is consistent with actions approved by the I-680 Sunol JPA. The previously allocated amount for the I-680 Northbound Express Lane Project is \$5.5 million. The recommended allocation of \$4.5 million is required for the additional consultant, Caltrans and agency staff costs.

In July, 2011 the Alameda CTC retained WMH Corporation (“Consultant”) to provide PA&ED services for converting an already approved I-680 Northbound High Occupancy Vehicle (HOV) Lane project to a combined HOV/Express Lane facility, between SR 237 and SR 84. However, in August 2011, in response to a writ filed by a local city the Alameda County Superior Court directed the Department (Caltrans) to vacate the environmental document prepared for the I-680 Northbound HOV Lane project in its entirety. Given the Court’s direction and that seven to ten years has passed since the environmental studies were conducted, Caltrans and Alameda CTC have determined that a completely new environmental document is required for the Project. In addition, expanded preliminary engineering, traffic analysis, technical studies and a higher level of environmental document will be needed to approve the Project.

Amendment No.1 to Agreement No.A11-0034 will reset the Consultant’s base project scope, schedule and budget to incorporate these changes.

## **Discussion**

The Project proposes to widen I-680 from SR 237 to SR 84 in Santa Clara and Alameda Counties to construct a northbound HOV/Express Lane to 1) reduce traffic congestion and thereby enhance mobility along this corridor, 2) reduce travel time and improve travel reliability, 3) reduce congestion related accidents, and thereby enhance safety, and 4) provide a complementary facility for commuters using the existing I-680 Southbound Express Lane. The combined HOV/Express Lane facility will allow solo drivers to access the unused lane capacity for a fee while allowing carpool traffic to use the lane at no cost.

When the Consultant was initially retained by the Alameda CTC, it was determined that a combined Project Study Report/Project Report (PSR/PR) and Initial Study/Environmental Assessment (IS/EA) would be the appropriate level of project approval and environmental clearance documentation required to complete the PA&ED phase. At that time, the scope assumed re-evaluating previously completed environmental technical studies and completing a Negative Declaration/Finding of No Significant Impact (ND/FONSI) to convert the HOV lane to a combined HOV/Express Lane. It was also assumed that exceptions to nonstandard design features approved under the 2005 PA&ED would not require re-approval for the Project.

In response to the Court’s direction, Caltrans has vacated the HOV Lane project which requires that the scope of services be revised to include both the PID and PA&ED phases of project development for a new combined HOV/Express Lane facility. Based on coordination between Caltrans and Alameda CTC, the design team will now prepare a concurrent Project Study Report-Project

Development Support (PSR-PDS, a PID document) in addition to completing a Project Report (PR) and a higher level environmental document – Environmental Impact Report/Environmental Assessment (EIR/EA) for the HOV/Express Lane project. These decisions resulted in overhauling the initial project delivery approach, warranting revisions to Consultant’s express lane scope of services, schedule and budget.

Major scope revisions that require resetting the project scope, schedule and budget for the Project are summarized below.

#### Traffic Studies

The base scope of services included traffic studies to analyze the effects of converting the HOV Lane to a combined HOV/Express Lane on I-680 northbound from SR 237 to SR 84. The Alameda Superior Court agreed with the writ filed by a local city that highlighted a lack of traffic data to determine the perceived effect of the HOV Lane project to their local streets. The local city maintained that adding capacity on I-680 northbound would result in increased cut-through traffic on its local streets. To address the court ruling, the project team will have to expand the traffic study area to encompass both the I-680 northbound corridor between SR 237 and Alcosta Boulevard, as well as the “Tri-Valley Triangle Area” bounded by I-680, I-580 and SR 84. The traffic studies will also include a more detailed analysis of traffic operations on I-680 northbound and at ramp termini/local street intersections. The project team has proactively engaged with local city traffic staff to reach consensus on the scope of the traffic studies and will continue to work with them to reach an equitable solution.

The additional cost to perform the augmented scope of traffic study services is estimated as \$371,000.

#### Preliminary Engineering

The base scope of services included data collection, planning activities, preparing base mapping, developing study alternatives, and preparing preliminary cost estimate, using information from the 2005 PA&ED studies. Since the 2005 HOV project was vacated, the approved PSR and Project Report for that project were no longer valid. Therefore, Caltrans communicated with Alameda CTC and determined that a PSR-PDS document together with the required supporting studies and documentation would be required to authorize the Project to proceed to the PA&ED phase.

The additional cost to perform the augmented scope of preliminary engineering services is estimated as \$267,000.

#### Environmental Technical Studies

The base scope of services primarily focused on the reevaluation of environmental technical reports prepared for the previous HOV Lane project and to address the incremental improvements associated with converting the HOV Lane to an HOV/Express Lane facility. To support preparation of an EIR/EA document, various technical analyses are required. To the extent feasible, data and technical information prepared by Caltrans under prior studies will be utilized. However, due to the prior project controversies, the fact that prior technical studies were published between seven and ten years ago, and significant updates in state and federal standards and guidelines having occurred since that time - new field investigations and environmental technical reports are required. In addition, environmental technical studies for special status species and the widening of Alameda Creek Bridge will also be included in this revised scope of services.

The additional cost to perform the augmented scope of services is estimated as \$663,000.

#### Environmental Document

The base scope assumed that the HOV component of the project was already approved and that the 2005 ND/FONSI will be revalidated to add the express lane. The scope was therefore focused on technical reports that addressed the incremental improvements associated with converting the HOV lane to an HOV/Express Lane, determining the northerly limits of the express lane, performing minor widening for express lane ingress/egress locations and CHP enforcement, and installing equipment to support operation of the express lane facility.

Based on the Court's ruling, the project team determined that for the State environmental clearance under the California Environmental Quality Act (CEQA), an EIR is the appropriate level of analysis for the project. For the Federal environmental clearance under the National Environmental Policy Act (NEPA), this project is expected to complete an EA. In addition, Caltrans under NEPA delegation determined that this will be a "complex EA," based on past controversies, potential for noise, visual effects and concern regarding environmental justice (associated with the express lane).

The additional documentation and review cycles required for EIR/EA approval are expected to extend the PA&ED schedule from the initial estimate of 21 months to 36 months.

The additional cost to perform the augmented environmental document scope of services is estimated as \$303,000.

#### Project Approval

The base scope of services included preparation of a combined PSR/PR and limited new technical studies to convert the HOV lane to an HOV/Express Lane facility, by making reference to and/or utilizing the approved technical studies prepared for the HOV Lane project. To address the court's ruling, a Project Report (PR) will be prepared to obtain project approval for the revised HOV/Express Lane Project. The project team also determined that all new technical reports would be required to support the PR including preparation of fact sheets to approve nonstandard design features approved under the 2005 PA&ED, and conceptual landscape plans. Geometric plans will be developed for both the full Build Alternative and an initial fundable phase of construction to support the EIR/EA documentation. Advance planning studies for five additional bridge structures and twelve special retaining walls are also required.

The additional cost to perform the augmented project approval scope of services is estimated as \$570,000.

#### Project Management

The project management effort has increased since the approval of base scope, based on the scope changes outlined above. Additional coordination and management efforts are required to support the revised traffic, environmental, and engineering processes, including extending the project schedule by 15 months.

The additional cost to perform the augmented project management scope of services is estimated as \$261,000.

Furthermore, additional traffic studies may be warranted to address project impacts, including expanding the study limits on various local street intersections. Therefore, the staff recommends including an additional \$65,000 as project contingency funds. These funds will not be authorized, unless deemed necessary in writing by the Executive Director.

Therefore, in summary an additional budget of \$2,500,000 is required to accommodate the expanded scope of services described above.

**Fiscal Impact**

Approval of the recommended actions will result in \$4.5 million of 2000 Measure B capital funds being allocated and made available for encumbrance and subsequent expenditure. The allocation is consistent with the approved FY 2012/13 2000 Measure B Allocation Plan, and the subsequent encumbrance and expenditures are reflected in the current 2000 Measure B Capital Program Financial Plan, which is used as the basis for the Alameda CTC's annual budgeting processes.

**Attachment (s)**

**Attachment A:**       Summary of Amendments

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Summary of Amendments  
I-680 Northbound Express Lane Project - Consulting Services Agreements

Agreement No.	Date	Original/ Amendment	Amount of Amendment	Total Contract Amount	Description
A11-0034	July 2011	Original		\$ 3,661,366	Provide preliminary engineering and environmental studies to complete a combined PSR/PR and ND/FONSI.
	November 2012	Proposed Amend. 1	\$ 2,500,000	\$ 6,161,366	Provide expanded preliminary engineering and environmental study scope of services to complete a concurrent PSR-PDR, PR and an EIR/EA for the project.

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** Telegraph Avenue Corridor Transit Project (APN 607.0) - Approval of Allocation of Measure B Funding for the Plans, Specifications and Estimate (Design) Phase

### Recommendations

It is recommended that the Commission approve the following actions related to the Telegraph Avenue Corridor Transit Project (ACTIA No. 07A):

1. Allocate \$1,328,000 of Measure B funding for the Plans, Specifications and Estimate (PS&E) Phase; and
2. Authorize the execution of Amendment No. 5 to the Project Specific Funding Agreement (PSFA) with AC Transit for the Preliminary Engineering / Environmental Studies (PE/Env) Phase (Agreement No. A05-0005) to add the PS&E Phase, encumber the allocated funds along with funds made available upon the closeout of the other sub-projects (ACTIA 07B and 07C), and to extend the termination date of the PSFA to September 30, 2014 to allow for completion and close out of the PE/Env and PS&E phases.

### Summary

The Telegraph Avenue Corridor Transit Project (ACTIA 07A) is a sub-project of one of the 27 capital projects included in the 2000 Measure B Expenditure Plan. The project is currently transitioning from the PE/Env phase to the PS&E phase and is being implemented by AC Transit. The other two sub-projects, the San Pablo Avenue Corridor Transit Improvement Project (ACTIA 07B) and the Telegraph Avenue Corridor Transit Project - Stage 2 (ACTIA 07C) are complete and have been closed out.

AC Transit has requested the recommended allocation and amendment to PSFA No. A05-0005. The current budget for the PE/Env phase of the project is \$18.3 million. The PE/Env phase budget includes \$9.1 million of Measure B funds (i.e. 49.7% of the total phase budget) and a mix of federal, state and regional funds. The current budget for the PS&E phase of the project is \$11.3 million. The PS&E phase budget includes \$2.411 million of Measure B funds (i.e. 21.3% of the total phase budget) and a mix of federal, state and regional funds. The amount of Measure B funds in the PS&E phase budget includes the amount recommended for allocation above plus \$1.083 million made available upon closeout of the San Pablo Avenue Corridor Transit

Improvement Project (ACTIA 07B) and the Telegraph Avenue Corridor Transit Project - Stage 2 (ACTIA 07C) projects. The \$1.083 million of rollover funds from ACTIA 07B and ACTIA 07C is included in the previously allocated amount based on the fact that the funding had been allocated for projects ACTIA 07B and 07C.

Table 1 below summarizes the total Measure B commitment to the project and the allocated amount.

<b>Table 1: Summary of Telegraph Avenue Corridor Transit Project (ACTIA No. 07A) 2000 Measure B Commitment and Allocations</b>		
<b>Description</b>	<b>Allocation Amount (\$ x 1,000)</b>	<b>Remaining 2000 MB Programmed Balance (\$ x 1,000)</b>
Total Measure B Commitment (FY12/13 Dollars)	NA	\$ 11,510
Previously Allocated Amount	\$ 10,182 <sup>1</sup>	\$ 1,328
Recommended Allocation (This Agenda Item)	\$ 1,328	\$ 0
<b>Remaining Measure B Programmed Balance</b>		<b>\$ 0</b>
<b>Notes:</b> 1. Previously allocated amount includes \$1.083M transferred from ACTIA 07B and ACITA 07C upon closeout of those sub-projects.		

The allocated 2000 Measure B capital funds summarized in Table 1 above are made available for expenditure through encumbrances such as Project Specific Funding Agreements with the project sponsor.

Including the PS&E phase in the same PSFA as the PE/Env phase will allow for the shift of any Measure B funds not used for the PE/Env phase to the PS&E phase without the need for a formal amendment to the PSFA when the cutover from PE/Env to PS&E occurs. Since the project is in the process of transitioning from the PE/Env phase to the PS&E phase, the ability to shift the funds between phases in the same agreement will reduce the administrative efforts related to delivering the Measure B funds to the project. The PSFA includes provisions for such a shift based on a written request submitted by the project sponsor and approved by Alameda CTC staff prior to any costs to be funded by the shift being incurred.

Table 2 below summarizes the encumbrances for PSFA A05-0005 and the amendments approved to date.

<b>Table 2: Summary of Project Specific Funding Agreement No. A05-0005</b>		
<b>Description</b>	<b>Amendment Amount (\$ x 1,000)</b>	<b>Total Amount Encumbered (\$ x 1,000)</b>
Original PSFA A05-0005 Dated 3/2/05	NA	\$ 4,025
Amendment No. 1 to A05-0005 Dated 6/26/08	\$ 946	\$ 4,971
Amendment No. 2 to A05-005 Dated 9/8/09	\$ 0 <sup>1</sup>	\$ 4,971
Amendment No. 3 to A05-0005 Dated 3/26/10	\$ 0 <sup>2</sup>	\$ 4,971
Amendment No. 4 to A05-0005 Dated 7/22/10	\$ 1,000	\$ 5,971
Recommended Amendment No. 5 to A05-0005 (This Agenda Item) \$3.128M for PE/Env \$2.411M for PS&E (Design)	\$ 5,539 <sup>3</sup>	\$ 11,510
<b>Total Amount Encumbered</b>		<b>\$ 11,510</b>
<b>Notes:</b> 1. Amendment No. 2 revised the amounts per fiscal year without adding new capacity. 2. Amendment No. 3 extended the termination date without adding new capacity. 3. Amendment No. 5 was approved for PE/Env amount in January 2012. The Design amount includes \$1.083M transferred from ACTIA 07B and ACITA 07C upon closeout of those sub-projects.		

## Discussion

The initial BRT project extended from the City of Berkeley to the north, through the City of Oakland, and south into the City of San Leandro. The environmental studies for the BRT project began in March 2003. The Draft Environmental Impact Statement/Environmental Impact Report (EIS/EIR) was published in May 2007, but work was delayed on the completion of the Final EIS/EIR due to concerns expressed by the local jurisdictions regarding the development of a locally acceptable project.

AC Transit worked with the cities of Berkeley, Oakland and San Leandro to identify a locally Preferred Alternative (LPA) for the project, which was adopted by the AC Transit Board in June 2010. In December 2011, AC Transit selected a consultant firm to perform both the preliminary engineering and final design phases of the project. In April 2012 the AC Transit Board certified the Final Environmental Impact Report (FEIR) and ultimately adopted the Downtown Oakland

to San Leandro (DOSL) alternative as the preferred. In June 2012, the Federal Transit Agency (FTA) granted the project a Record of Decision (ROD) and officially certified that all federal environmental guidelines have been satisfied. AC Transit recently submitted an updated FTA Small Starts application based on initial PE work with a project estimate of \$178 million.

AC Transit has been working with the Alameda CTC, the Metropolitan Transportation Commission (MTC), and the Federal Transit Administration (FTA) to finalize the project delivery and funding plan. The recommended action is consistent with the project delivery plan developed in conjunction with the agencies involved.

**Fiscal Impact**

Approval of the recommended actions will result in \$1.328 million of 2000 MB capital funds being allocated and made available for encumbrance and subsequent expenditure. The allocation is earlier than indicated in the approved FY 2012/13 2000 MB Allocation Plan, however the subsequent encumbrance and anticipated expenditures are consistent with the current 2000 MB Capital Program Financial Plan which is used as the basis for the Alameda CTC's annual budgeting processes.



## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Programs and Projects Committee

**SUBJECT:** **Approval of Authorization for Staff to negotiate and/or coordinate with California Department of Transportation (Caltrans) to negotiate for the sale of the Alameda CTC-owned property (APN 543-275-12-2) and Update on the Draft Disposal Plan for State-owned right-of-way that was purchased for the Former Route 84 Historic Parkway in Fremont and Union City**

### Recommendations

It is recommended that the Commission authorize Staff to negotiate and/or coordinate with Caltrans to negotiate with the Fremont Unified School District for the sale of an agency-owned property (Assessor Parcel Number 543-275-12-2) that was acquired from the former Measure B-funded Route 84 Historic Parkway Project in Fremont.

### Summary

Through the Letter of Intent (LOI) dated October 31, 2012, the Fremont Unified School District (FUSD) has expressed interest in purchasing a vacant property currently owned by the Alameda County Transportation Commission. This property is approximately 11.06 acres in size and is located in between Fremont Boulevard and Paseo Padre Parkway in Fremont.

This Alameda CTC-owned property is also located in between two large vacant Caltrans-owned properties. The FUSD has also expressed its interest directly to Caltrans in purchasing the state-owned land. It is the desire of the FUSD to use these properties together for the construction of a middle school as well as other improvements.

For several years, these properties (state-owned and agency-owned) have been planned for disposal because they are no longer needed for their originally intended purpose, which was for the construction of a sales tax-funded highway project. Therefore, as the FUSD has expressed interest in purchasing the property now, it is recommending that the Commission accelerate the land disposal process and authorize staff to enter negotiations and/or partner with Caltrans to negotiate for the sale of the agency-owned property. The revenue from the potential sale of the property will fund the construction of the 1986 Measure B-funded East-West Connector Project (Modified Route 84 Historic Parkway Project) in Fremont and Union City. This funding arrangement has been previously approved by the Commission and remains a long standing commitment to the project.

FUSD will need all three properties for its planned improvements. Staff coordination with Caltrans will be essential to this effort as well as achieving the aggressive acquisition timing desired in the LOI.

### **Background**

In 1990, the former Alameda County Transportation Authority (ACTA) acquired a property approximately 11.06 acres in size and located between Fremont Boulevard and Paseo Padre Parkway in Fremont. This ACTA-owned (now Alameda CTC) property is also located between two large State-owned properties. These properties were acquired for the construction of the 1986 Measure B-funded Route 84 Historic Parkway Project. In 2007, after a lengthy project development process that involved the preparation of two separate environmental documents, the final acceptable roadway alignment did not require the use of the originally acquired properties. In addition, through the adopted Expenditure Plan Amendment, a Memorandum of Understanding between the Cities of Fremont, Union City, ACTA, and Caltrans, and legislation (AB 1462), it is required that all the state-owned land that was purchased for the original Route 84 Historic Parkway Project, that would not be needed for the construction of the East-West Connector Project, would be disposed, and the generated revenue would go to fund a set of pre-determined projects in the Route 84 Local Area Transportation Improvement Program (Route 84 LATIP), as approved by the California Transportation Commission (CTC). Staff is working with Caltrans and CTC staff in the development of the Draft Disposal Plan for the state-owned land. This Draft Disposal Plan is included as Attachment 3 of this Memorandum.

### **Fiscal Impacts**

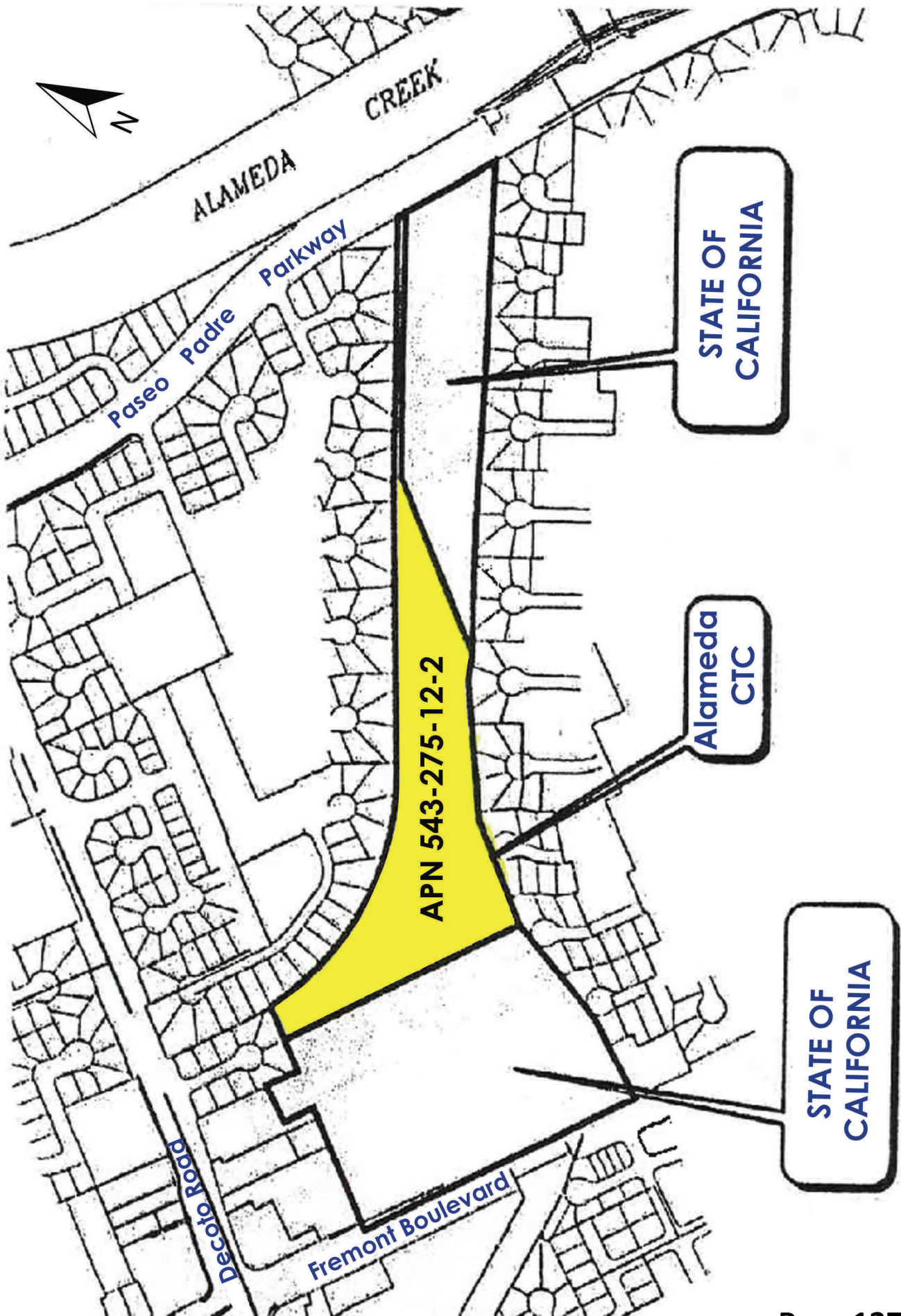
There is a potential substantial net positive fiscal impact with the approval of this item. In 1990, ACTA purchased the subject property for about \$4.1 million.

### **Attachments**

- Attachment A: Parcel Location Map
- Attachment B: Copy of the Letter of Intent from the Fremont Unified School District, dated October 31, 2012
- Attachment C: Draft Disposal Plan for the Route 84 LATIP



Attachment 1: Parcel Location Map



CITY OF FREMONT

This map is for illustrative purposes only, not to scale.

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## FREMONT UNIFIED SCHOOL DISTRICT

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Fremont, California  
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Art Dao, Executive Director  
Alameda County Transportation Commission  
1333 Broadway, Suite 300  
Oakland, CA 94612

This Letter Of Intent is being submitted by the Fremont Unified School District (“**Buyer**”) to the Alameda County Transportation Authority (“**Seller**”) for its review and consideration.

1. Property. The property (“**Property**”) is located adjacent to 35068 Fremont Blvd (APN: 543-275-12-2), being approximately 11.06 acres of land situated in the city of Fremont, Alameda County, Ca., 94536, together with all appurtenant and development rights. The precise boundaries of the Property will be subject to adjustment based on a final preferred configuration such as that shown in Exhibit “A”, attached hereto.
2. Purchase Price. The Parties shall negotiate the Purchase Price on the basis of two (2) appraisals performed by independent MAI appraisers, one selected by each Party. The Parties shall provide the appraisers with mutually agreed instructions, including that the Property is to be appraised in its “As Is” condition without vesting or entitlements. Each Party shall pay for the appraisal it commissions. In the event the two appraisals differ by more than ten percent (10%) and the Parties are unable to reach agreement on a Purchase Price, the Parties shall mutually select a third MAI appraiser, acceptable to both Parties, who will evaluate both prior appraisals and make a determination as to his or her opinion as to the Purchase Price. The cost of the third appraiser will be shared equally between the Parties, and shall not exceed seven thousand five hundred dollars (\$7,500). The Parties agree to negotiate in good faith, within the parameters specified by the above process, to arrive at an agreed Purchase Price within sixty (60) days after the full execution of the Purchase and Sale Agreement (“**Agreement**”). In the event that the Parties are unable to agree upon a mutually acceptable Purchase Price within said sixty (60) day period, either Party shall have the right, in its sole and absolute discretion, to terminate the Agreement which shall thereafter be null and void in its entirety. Buyer shall pay the Purchase Price in cash at Closing. The final Purchase Price will be subject to adjustment based upon the actual amount of Property Buyer acquires, computed on the basis of the per acre price to which the Parties agree, not to exceed the appraised value of the Property without entitlements.
3. Deposits. Within ten (10) days of the mutual execution of the Purchase and Sale Agreement (“**Agreement**”), Buyer and Seller shall open an escrow with First American Title Company (“**Escrow Holder**”). Immediately thereafter, Buyer will deposit the sum of **Twenty five Thousand Dollars (\$25,000)** (the “**Initial Deposit**”) with Escrow Holder. Escrow Holder shall place said deposit into an interest bearing account as an earnest money deposit with interest accruing to the benefit of Buyer.

4. Feasibility Period.

- a. The feasibility period shall begin on the date that Escrow Holder notifies both Parties in writing of Escrow Holder's receipt of a fully executed copy of the Agreement, and shall end on the date that is six (6) months thereafter (the "**Feasibility Period**").
- b. During the Feasibility Period, Buyer may approve or disapprove all matters and documents, at its sole and absolute discretion, affecting development of the Property.
- c. Seller shall deliver to Buyer, within five (5) calendar days after execution of the Agreement by all Parties, complete, accurate and legible (hard and electronic) copies of all documents concerning the Property that are in Seller's possession or control or are readily available to Seller including, but not limited to, title reports, specifications, maps, drawings, surveys, engineering, soils, environmental, and geotechnical studies and reports, leases, estoppels, topographic surveys, grading plans, feasibility, marketing or other studies, investigations or reports, permits, approvals, affordable housing agreements, right of way and easement agreements, zoning and master plans, bonds, specific plans, initial studies, mitigated negative declarations and/or environmental impact reports, Phase I and II environmental assessments, entitlement documents; property tax bills; estoppels from tenants; and notices of any violation of any federal, state or local statutes, ordinances, affordable housing or inclusionary housing agreements, rules or regulations.
- d. The Agreement and the escrow shall be cancelled and of no further force and effect if Buyer fails to notify Seller in writing ("**Approval Letter**") prior to the expiration of the Feasibility Period of its intention to move forward.
- e. If Buyer fails to notify Seller of its intention to move forward by timely issuance of the Approval Letter, all deposits held in escrow shall be returned to Buyer.
- f. In the event Buyer notifies Seller of its approval of the feasibility of development by issuance of the Approval Letter, at its sole and absolute discretion, within said six (6) month Feasibility Period, all deposits held in escrow will become non-refundable, and shall apply to the Purchase Price at Close of Escrow.
- g. However, Buyer's obligation to close escrow shall be specifically contingent upon the following:
  - i. Buyer obtaining approval of the use of the Property for a school site by the California Department of Toxic Substance Control ("**DTSC**"), including DTSC approval of a Phase I environmental assessment and, if necessary, a Preliminary Environmental Assessment ("**PEA**"), with conditions acceptable to Buyer and DTSC, and that any remediation and clean up can

be accomplished in a manner that is suitable to Buyer prior to the close of escrow.

- ii. California Department of Education (“CDE”) approval of the use of the Property as a school site.
- iii. Buyer’s Board of Education approval of the use of the Property as a school site after a public hearing concerning compliance with the requirements of California law and CDE regulations concerning location of school sites.
- iv. Determination by Buyer that the Property complies with all federal, state and local environmental requirements applicable for use of the Property as a school site including, without limitation, the California Environmental Quality Act (“CEQA”) and the expiration of any statutes of limitations applicable thereto, all applicable permits, mitigation and monitoring plans, geological and soil engineering investigations, hazardous waste and hazardous air emissions requirement, and completion of any applicable environmental site assessments in compliance with Education Code section 17213.1, et seq.
- v. Title to the Property being conveyed to Buyer at Close of Escrow free and clear of any and all liens, encumbrances and any other items affecting title other than the following exceptions:

A lien for non-delinquent taxes and assessments;

Any exceptions which the Title Report discloses that are accepted in writing by Buyer; and

The printed exceptions in the applicable Title Policy.

- vi. Seller’s representations and warranties that no defect or condition exists which would prevent Buyer’s intended use of the Property, including but not limited, to, the condition of the soil, the existence of geologic hazards or groundwater contamination on the Property, the existence of ecological or environmental impediments to the intended use of the Property, or the transfer of any water rights which are appurtenant to the Property.
- vii. In accordance with California Health and Safety Code Section 25359.7, Seller’s representations that no release of Hazardous Substances (as defined in Exhibit B hereto) has come to be located upon or under the Property.
- viii. Seller’s further confirmation that no underground storage tanks are located on the Property.



- ix. Acceptance and approval of the Property for school site purposes by appropriate state and local regulatory agencies, including, but not limited to, the City of Fremont, County of Alameda, DTSC, CDE, U.S. Army Corps of Engineers, U.S. Fish and Wildlife Department, California Department of Fish and Game, the Regional Water Quality Board, the State Allocation Board, and the Office of Public School Construction.
  - x. Buyer obtaining financing on terms satisfactory to it for acquisition of the Property and for the Project it intends to construct thereon.
  - xi. Buyer acquiring and closing escrow on sufficient adjacent property, including but not limited to Assessor's Parcel Number 543-275-4-4 to be able to proceed with its planned use of the Property.
5. Property Studies. Immediately upon the full execution of the LOI by all parties, Buyer will have the right to enter the Property to conduct, and have its engineers or other consultants conduct, physical inspections and studies of the Property including, but not limited to, soil studies, geotechnical studies and environmental assessments to determine the physical condition of the Property and to conduct economic feasibility and cost studies and any other studies considered appropriate by Buyer. Buyer shall not conduct any invasive testing without the prior, reasonable consent of Seller. Buyer will indemnify Seller for any claims arising out of Buyer's inspections.
  6. Close of Escrow. Close of Escrow shall occur sixty (60) days following the conclusion of the Feasibility Period ("Closing Date" or "Close of Escrow"). However, Buyer shall have two (2) options to extend the Closing Date for a period of ninety (90) days each ("**Closing Extension(s)**"), exercisable by providing written notice to Seller and delivering to the Escrow Holder in each instance the sum of Ten Thousand Dollars (\$10,000) ("**Closing Extension Payment(s)**") to Escrow Holder. Upon deposit with the Escrow Holder, the Closing Extension Payment(s) shall be applicable to the Purchase Price at the Close of Escrow, and be non-refundable to Buyer once made, except in the event of a Seller default or the failure of a condition to Buyer's obligation to purchase the Property.
  7. Escrow Holder. The Escrow Holder for the transaction shall be First American Title Insurance Company at 1850 Mount Diablo Blvd., Suite 300, Walnut Creek, California, 94596 with Liz Treangen being the escrow officer.
  8. Escrow/Closing Costs. Except with regard to the Title Policy (as defined in Section 16, below), Buyer and Seller shall pay closing costs, escrow fees and transfer taxes in accordance with the custom in Alameda County, as reasonably determined by Escrow Holder.
  9. Specific Contingency. Buyer's obligation to purchase the Property shall be contingent upon Buyer's right to re-sell all or a portion of the Property at any time at its sole and

absolute discretion. The deed conveyed to Buyer by Seller shall not contain any deed restriction.

10. Relocation of Tenants. Subject to Buyer's review and acceptance of the terms of the current leases to which any or all of the Property is subject, Buyer shall be responsible for the relocation of any and all current tenants of the Property including any and all costs associated therewith. If Seller is or becomes aware of any occupants of the Property other than current tenants with valid unexpired leases at or before Close of Escrow, Seller shall provide Buyer written notice of those occupants and shall be responsible for their removal from the Property upon Buyer's written request for removal of those occupants.
11. Purchase and Sale Agreement. The Agreement shall be in Buyer's standard form prepared by Buyer's counsel, with terms and conditions in accordance with this Letter of Intent and will be provided to Seller for its review and comment within twenty (20) business days of the full execution of this Letter of Intent. The Parties shall negotiate the PSA in good faith and attempt to reach agreement as expeditiously as possible. The Agreement shall also serve as lawfully binding escrow instructions to Escrow Holder.
12. Right to Terminate. Any time after its execution of this Letter of Intent or during the Feasibility Period, Buyer may terminate this Letter of Intent and the Agreement.
13. Challenges and Moratoriums. It shall be a condition to the Close of Escrow, in favor of Buyer and Seller, that no lawsuit, administrative appeal, judicial challenge, or filing of application for referendum, (collectively "**Challenges**"), shall have been initiated, be in effect, or be pending as of the Closing Date, and that no moratorium imposed or announced by any governmental entity or authority having jurisdiction over the Property or Buyer's development thereof, or by any utility provider that would result in restricting, delaying or denying permits or approvals necessary for the development, construction, use or occupancy of the Property (collectively, "**Moratoriums**") shall have been initiated, be in effect, or be pending as of the Closing Date. If there is a Moratorium or Challenge in effect or pending on the date of the scheduled Closing Date, the Closing Date shall be extended to the date that is ten (10) days after the Moratorium is terminated and any Challenge is fully and finally resolved in favor of Buyer or Seller respectively without further ability to appeal, as reasonably determined by the Party thereto, or if the Moratorium or Challenge extends ninety (90) or more days past the Closing Date, Buyer or Seller as applicable shall have the right, but not the obligation, to terminate the Agreement contingent upon Buyer receiving a full refund of all deposits paid to date.
14. Right to Assign. Buyer shall have the right to assign its rights under the Agreement to an entity affiliated with Buyer or to an unaffiliated third party in order to meet the requirements for a financing of the acquisition or development of the Property.
15. Structure of Transaction. Buyer and Seller agree to work together to determine a closing structure that is mutually satisfactory.

16. Title Insurance. Buyer will pay for Title Company to issue a standard coverage ALTA policy of title insurance in the amount of the Purchase Price. Buyer may obtain an extended coverage ALTA policy so long as Buyer pays any additional title premium or other costs associated with the issuance of the extended policy coverage including any survey required. The title insurance policy, whether it is a standard or extended ALTA Policy (the “**Title Policy**”), will be subject only to those matters approved by the Buyer during the Feasibility Period.
17. Broker’s Commission. Buyer represents that Buyer has entered into a written agreement with John A. Dutra and Tony F. Dutra of Dutra Land & Consulting Services, Inc., and no other agreement with any other broker or agent relating to this proposed transaction. Seller warrants that Seller has not entered into any agreement with any broker or agent relating to this proposed transaction. Each Party shall hold the other Party harmless as to broker’s commissions or fees or finder’s fees payable in connection with this transaction. The Agreement shall include standard mutual indemnifications for claims by other brokers.
18. Buyer’s Default. In the event of a default by Buyer under the Agreement, Seller will be entitled to the amount of nonrefundable deposits in escrow at time of default as liquidated damages and as Seller’s sole and exclusive remedy against Buyer.
19. Seller’s Default. In the event of a material default by Seller, the Agreement shall not be terminated automatically, but only upon delivery to Escrow Holder and Seller of written notice of termination from Buyer. Upon notice to Escrow Holder and Seller from Buyer, Buyer shall be entitled to pursue any and all legal remedies to which it is entitled at law and in equity, including but not limited to judicial action seeking specific performance and/or damages.
20. Condition of Property. Seller shall disclose, to the best of its knowledge, the existence of any hazardous substances or materials or lack of compliance with any laws or other representations and warranties as are customary in purchase agreements of this nature.
21. Standard Representations and Warranties. The Agreement will contain Seller representations and warranties, including but not limited to representations with respect to authority, brokers, completeness of documents disclosed to Buyer, hazardous substances, no litigation, and no violations of laws.
22. Confidentiality. The Parties acknowledge that to the extent allowed by law the transaction contemplated herein, including the terms of the transaction and the identity of the Parties, is confidential and shall not be disclosed to any person.

This Letter of Intent is not intended to constitute a binding agreement, but rather to serve as the basis for negotiating and drafting a definitive Purchase and Sale Agreement between the Parties containing the terms stated in this Letter of Intent as well as other terms and conditions to be determined. Neither Party will rely on this Letter of Intent as binding on the other; any such reliance would be imprudent and unreasonable. Neither party will be bound unless and until a



definitive Agreement has been (1) executed and delivered by both Parties; (2) approved by their respective attorneys; (3) as to Buyer, by the Board of Trustees of the Fremont Unified School District; and (4) as to Seller, approved by the governing board of the Alameda County Transportation Commission.

All parties expressly disclaim and waive any cause of action for breach of any express or implied duty to negotiate in good faith that may arise out of the matters described herein and acknowledge and agree that any transaction resulting from this Letter of Intent remains subject to the approval of each party's governing board/committee/authorized agent.

If acceptable, Seller is requested to execute this Letter of Intent in the space provided below and return it to the undersigned by **3:00 p.m. on a date that is thirty (30) calendar days after the date of this Letter of Intent**. In the event that Seller fails to execute this Letter of Intent within the time set forth, this LOI shall terminate and be of no further force or effect.

SELLER:

**Alameda County Transportation Commission**

By: \_\_\_\_\_

By: \_\_\_\_\_

Date: \_\_\_\_\_, 2012

BUYER:

**Fremont Unified School District**

By:  \_\_\_\_\_

**Dr. James Morris, Superintendent**

Date: 10/31, 2012

Exhibit A  
Diagram of Property Configuration

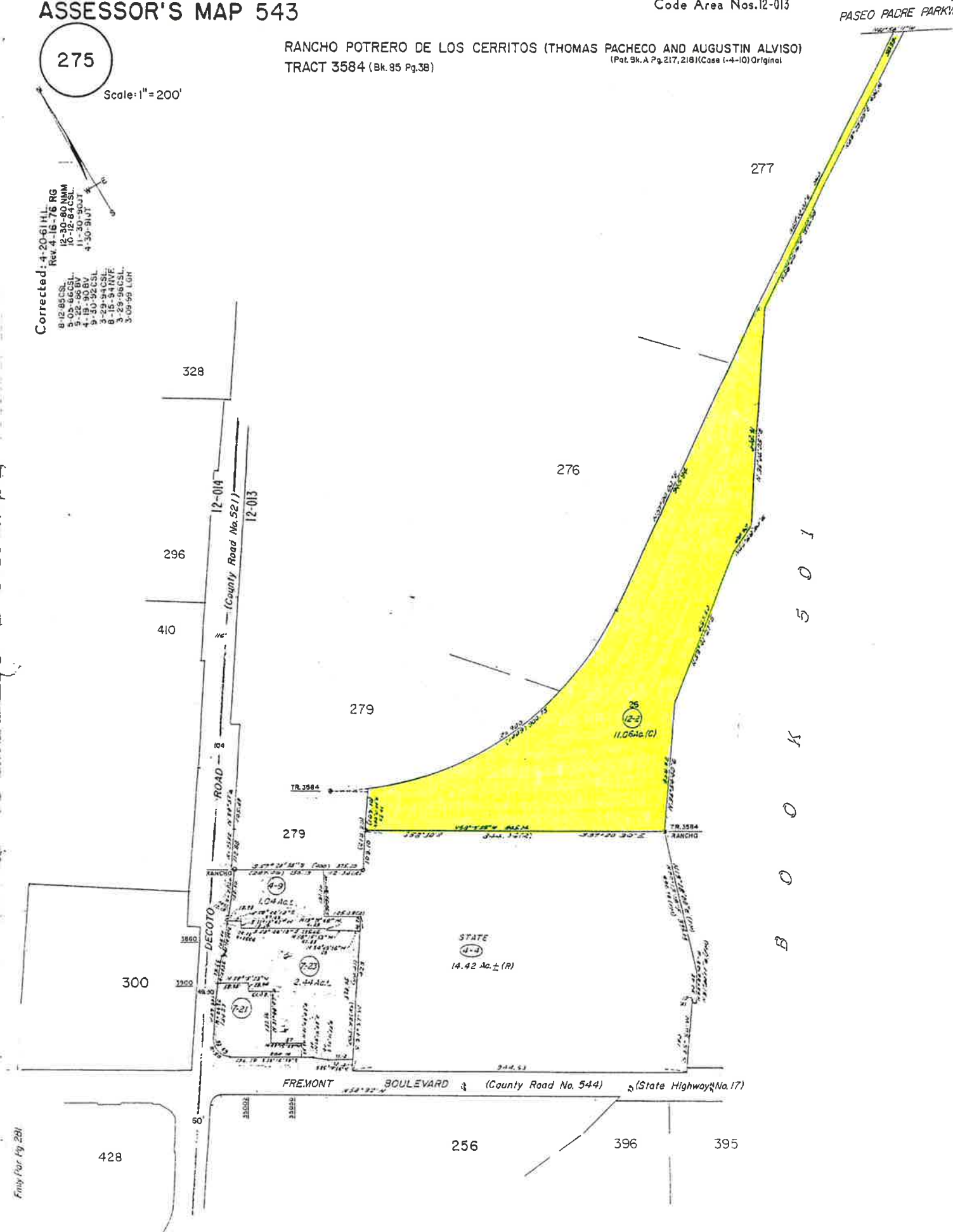
RANCHO POTRERO DE LOS CERRITOS (THOMAS PACHECO AND AUGUSTIN ALVISO)  
TRACT 3584 (Bk. 95 Pg. 38)

(Pat. 9k. A Pg. 217, 218) (Case 1-4-10) Original

275

Scale: 1" = 200'

Corrected: 4-20-61 HLL  
Rev 4-16-76 RG  
8-12-65 CS  
12-30-80 NMM  
12-30-80 NMM  
5-22-86 BV  
4-19-90 BV  
9-30-92 CSL  
8-29-94 CSL  
1-15-95 E  
3-29-98 CSL  
3-09-99 LGH



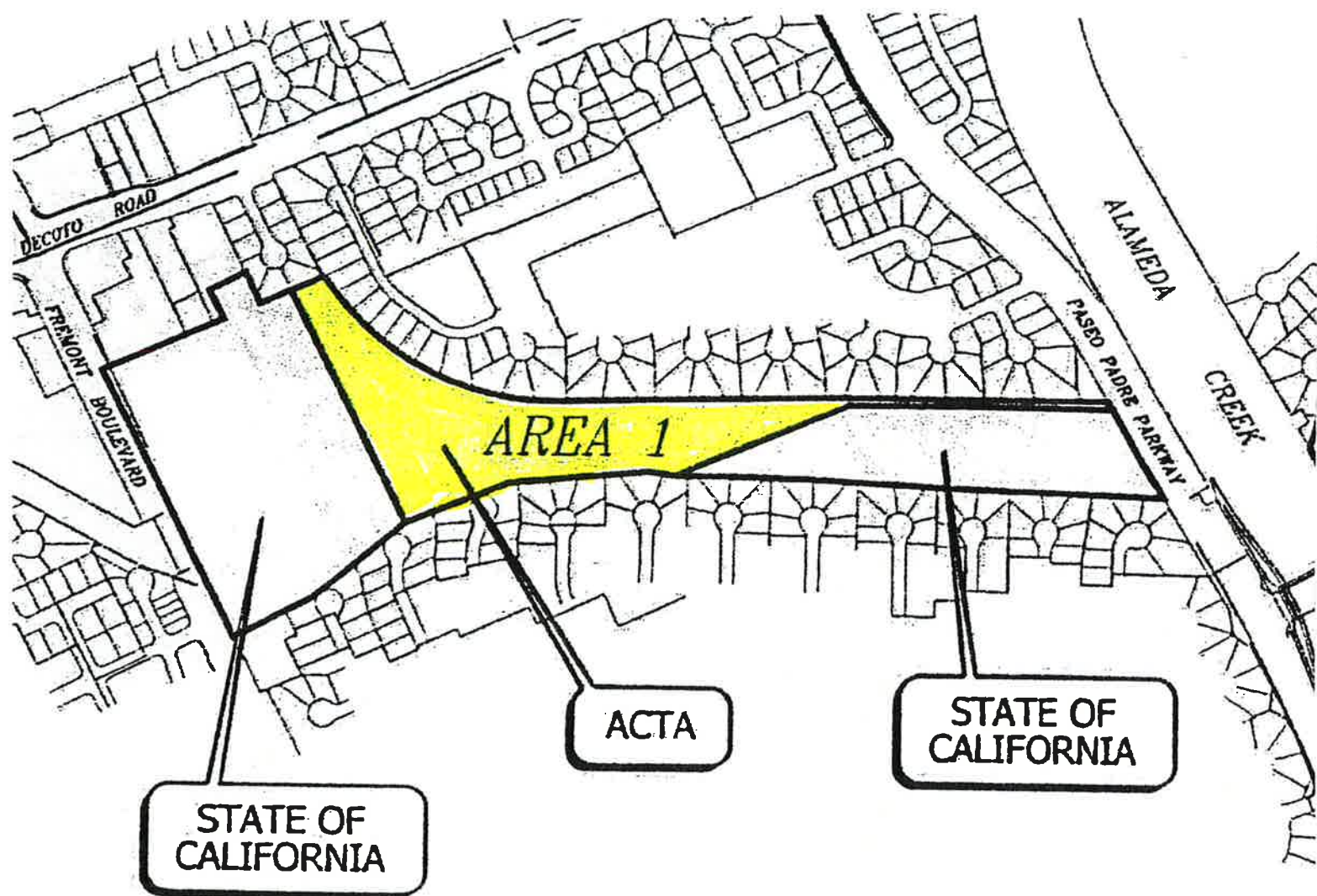


Exhibit B  
Definition of Hazardous Substances

"Hazardous Substances" includes without limitation:

(a) Those substances included within the definitions of "hazardous substance," "hazardous waste," "hazardous material," "toxic substance," "solid waste," or "pollutant or contaminant" in CERCLA, RCRA, TSCA, HMTA, or under any other Environmental Law;

(b) Those substances listed in the United States Department of Transportation (DOT) Table [49 CFR 172.101], or by the Environmental Protection Agency (EPA), or any successor agency, as hazardous substances [40 CFR Part 302];

(c) Other substances, materials, and wastes that are or become regulated or classified as hazardous or toxic under federal, state, or local laws or regulations; and

(d) Any material, waste, or substance that is:

(i) A petroleum or refined petroleum product,

(ii) Asbestos,

(iii) Polychlorinated biphenyl,

(iv) Designated as a hazardous substance pursuant to 33 U.S.C.A. §1321 or listed pursuant to 33 U.S.C.A. §1317,

(v) A flammable explosive, or

(vi) A radioactive material.

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**DRAFT**  
**Route 84 LATIP**  
**Excess Right of Way**  
**Disposal Plan**  
**October 2012**

The State of California, Department of Transportation (DEPARTMENT) purchased numerous properties prior to the route rescission, for the original Historic Parkway Project (on SR 84 between I-880 and SR 238 (Mission Boulevard). The original Historic Parkway Project alignment is no longer a viable option, the route has been rescinded and the remaining properties are excess to the DEPARTMENT's needs.

The proceeds from the sale of the properties will be transferred to a special DEPARTMENT Fund to fund transportation projects and actions intended to relieve congestion in southern Alameda County in the same corridors that would have been affected by the Historic Parkway.

The timing of the sales of the properties needs to be synchronized with the overall market for these types of properties. This is necessary in order to avoid flooding the market and realizing a lower sales price. At the present time, the residential development market for single family residences and for multiple-dwelling units is in an upswing.

Some of the properties are located adjacent to other publicly owned and privately owned land and an investigation into combining the various properties needs to be studied as part of this Disposal Plan. This could trigger the need for General Plan Amendments, Subdivision Map preparation and other activities needed to be in compliance with local ordinances and policies.

Properties of this nature are normally sold via Individual Sales Plans (the sale of individual parcels, or a few small parcels as a group), Request for Proposals (RFP – inviting a single developer or a group of developers to develop a plan for the properties) or a combination of the two. This plan recommends that a study of the development potential and current market opportunities be done for these parcels. If the study shows a high potential for development and developer interest which would result in a higher net

sales price than proceeding with Individual Sales Plans, then one or more RFP's should be developed and put out on the street.

The Steps in the Disposal Plan:

Development Potential and Current Market Opportunity Study

1. Property Identification – 1 to 2 months
  - a. Zoning
  - b. General Plan
  - c. General Plan 2030 Update
  - d. Current Use
  - e. Highest and Best Use
  - f. Size
  - g. Entitlements
  - h. Access
  - i. Infrastructure
  - j. Availability – Is it needed for a pending project?
2. Adjoining Property Identification – 1 to 2 months (at same time as #1)
  - a. Zoning
  - b. General Plan
  - c. General Plan 2030 Update
  - d. Highest and Best Use
  - e. Current Use
  - f. Size
  - g. Entitlements
  - h. Access
  - i. Infrastructure
  - j. Availability – Is it already committed for another project?
3. Development Opportunity Identification – 3 to 6 months
  - a. Work with City and County Staff
  - b. Work with local Developers
  - c. Work with local Real Estate Professionals
4. Current Market Opportunity Identification – 3 to 6 months (at same time as #3)
  - a. Work with local Developers
  - b. Work with local Real Estate Professionals
  - c. Appraisals



5. Request for Proposal (RFP) Development – 3 to 6 months
6. RFP on the Street – Market the properties for 3 to 6 months
  - Sell the properties

Total Time to sell the properties = 12 to 20 Months

Properties:

There are six (6) pieces of State-owned property, located in the Cities of Fremont (two properties) and Union City (four properties). The properties in Fremont are bounded by residential and commercial development and the properties in Union City are bounded by existing residential development and the Quarry Lakes Regional Recreation Area, an East Bay Regional Park District facility.

Fremont:

- APN: 543-0275-004-04; 14.35 acres; zoned Single Family Residential, Low Density
- APN: 501-1802-09 (verify); 7.47 acres; zoned Single Family Residential, Low Density

Union City:

- APN: 087-0011-016-06; 8.23 acres; zoned Open Space and Single Family Residential
- APN: 087-0011-017-07; 8.70 acres; zoned Open Space and Single Family Residential
- APN: 087-0011-015-14; 12.86 acres; zoned Private Institutional and Single Family Residential
- APN: 087-0011-015-15; 8.84 acres; zoned Single Family Residential

There is one piece of property that is owned by ACTC in the City of Fremont that is located between the two State-owned properties listed above.

- APN: 543-0275-012-02; 11.06 acres; zoned Single Family Residential, Low Density

Impact of:

- Time for developers to fully investigate:

- Zoning and local ordinances and policies
  - Arrange for Financing
  - Get a good read on environmental issues and permit requirements and mitigation
  - Get a good read on the hard costs of the project
  - Get a good read on General Plan Amendment requirements
- General Plan Amendment processes and time-lines need to be factored in – the more uncertainty there is, the lower the price realized
- Projections for the market demand for the project in relation to the project schedule



## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Arthur L. Dao, Executive Director

**SUBJECT:** **Approval of the Executive Director's Salary for Fiscal Year for 2012-13**

### **Recommendation**

It is recommended that the Commission approve a salary adjustment of 5% for fiscal year 2012-13, retroactive to September 1, 2012. The Commission had earlier, in September, reviewed the Executive Director's (ED) performance evaluation and agreed on next year's (FY 2012-13) objectives.

The full Commission reviewed and discussed the ED's performance at its meeting in a closed session in September. The Committee found the ED's performance over the last two years to be outstanding and expressed appreciations of his continuing hard work, dedication, and commitment in serving the Commission in the delivery critical transportation programs and projects, and advancing important transportation policies across Alameda County.

### **Summary**

The Alameda CTC's employment agreement with the Executive Director calls for an annual performance evaluation by the Finance and Administration Committee, which will then report to the full Commission. The evaluation is based on previously agreed upon objectives. The Commission and the Executive Director agreed on objectives for FY 2011-12 in September, 2011.

The employment agreement also states that the Commission will consider annual adjustments to salary and benefits and that the annual performance evaluation will provide a basis for these annual adjustments. The Executive Director did not request a salary adjustment last year. The employment agreement also calls for the Executive Director to provide the Committee with a self-evaluation as a first step in the evaluation process.

### **Discussion and Self Evaluation**

Since assuming the position two years ago, in September, 2010, the Executive Director has focused on forming the consolidated county-wide transportation organization from staff with very different functions, work cultures and values, and creating a transitioned environment to allow for the delivery of projects and programs to proceed without interruption. The following is a list of some key accomplishments over the last year:

## **Major Accomplishments**

### **Planning**

- Completed the Board-approved and ballot-ready 2012 Alameda County Transportation Expenditure Plan.
- Completed the Board-approved County-wide Transportation Plan which provides a basis for MTC to develop its first Regional Transportation Plan with a Sustainable Community Strategy component and is consistent with SB 375.
- Increased public outreach and community engagement opportunities -- The Commission hosted several public forums and hundreds of hours of discussion pertaining to issues around the regional planning for sustainable community strategies, climate change, and development of the County-wide Long Range Plan, the Regional Transportation Plan, and the Transportation Expenditure Plan for the reauthorization of the current sales tax program.
- Completed the County-wide Bicycle and Pedestrian Plans.

### **Capital Projects Delivery and Express Lane Operations**

- Salvaged and delivered eight major, challenging, and complex State Infrastructure Bond funded projects within one year, with a total cost of \$750 million, and eliminated a significant risk of funding loss.
- Advanced several key capital projects into construction including: the I-80 Integrated Corridor Management Project, the I-880 Southbound HOV Lane Project, the final phase of the BART Warm Springs Extension Project, the I-580 HOV Lane Project, and Phase 1 of the Livermore Route 84 Expressway Project. Several other projects have also completed significant project milestones.
- Addressed critical short-term funding shortfalls of specific major projects to allow for these projects to proceed.
- Assumed full managing responsibilities for the operations of the Southbound I-680 Express Lane.

### **Programming**

- Completed the programming of the 2014 State Transportation Improvement Program (STIP).
- Completed the allocation plan for the Vehicle Registration Fee funding program.
- Completed the negotiation and execution process for the new Master Funding Agreements with the cities, County, and transit operators in the County for Measure B and Vehicle Registration Fee programs.

### **Finance and Administration**

- Obtained an unqualified opinion on the FY2010-11 financial statements from the independent financial auditor.
- Completed the process to formally transition all employees of the former agencies to the Alameda CTC. The Commission approved the unified comprehensive benefits program for transitioning employees and new employees.
- Completed the formal process to terminate the Alameda County Transportation Improvement Authority and the Alameda County Congestion Management Agency and transition to the Alameda County Transportation Commission.

- Developed an approval-ready consolidated and sustainable operating budget for the merged agency.
- Completed the Alameda CTC Strategic Communication Plan.
- Organized and held the Commission Retreat on December 16, 2011.

### **On-going Services**

- Provide improved support to Standing Committees and the Commission
- Provide support to various Citizen and Technical Committees
- Develop various technical reports required by the Congestion Management Program (CMP)
- Manage and maintain CMP data collection
- Coordinate and facilitate planning activities among regional and local partnering agencies including: MTC, ABAG, Bay Area CMAs, cities, and transit operators
- Program and allocate funds to the County, cities, and transit operators from the TFCA, VRF, Lifeline Transportation, STIP, and Sales Tax Programs
- Monitor and report on the delivery of projects funded through federal, state, regional, and sales tax programs
- Perform direct management of specific capital projects
- Manage and implement sales tax and other federally funded programs such as paratransit, bicycle and pedestrian coordination, safe routes to schools, etc.
- Provide project delivery assistance to cities on an as-needed basis
- Conduct various business and community outreach activities
- Advocate for policies and legislation in support of transportation and funding for transportation in Alameda County
- Provide certification for local and small local businesses for contracting purposes

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Finance and Administration Committee

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

### Recommendation

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

### Summary

- Alameda CTC investments are in compliance with the adopted investment policies.
- Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.
- As of September 30, 2012, total cash and investments held by the Alameda CTC were \$265.8 million. This total is a decrease of \$16.5 million or 5.8% from the prior year-end balance of \$282.4 million.
- The ACTA investment balance decreased \$3.3 million or 2.3% due to capital project expenditures. The ACTIA investment balance decreased \$10.3 million or 9.1% mostly due to capital project expenditures. The ACCMA investment balance decreased \$2.9 million or 10.2% mostly related to CMA TIP project payments.
- Investment yields have declined with the return on investments for the Alameda CTC at 0.71% compared to the prior year's return of 0.99%. Return on investments were projected for the FY2012-13 budget year at varying rates ranging from 0 - 1.00% depending on investment type.
- Based on the most current cash flow projections updated in April, 2012, ACTIA will require external financing by the 2<sup>nd</sup> quarter of FY2013-14 to satisfy capital project obligations. The cash flow projection scenario assumes a short term loan from ACTA capital funds, which would be paid back as soon as financing is executed. If approved by the Commission, the loan from ACTA would allow staff an additional nine months to arrange a financing mechanism for ACTIA.

**Discussion**

As of September 30, 2012, the Alameda CTC portfolio managed by investment advisors consisted of approximately 25.0% US Treasury Securities, 3.1% FDIC insured Corporate Bonds, 59.2% Federal Agency Securities, 2.9% Corporate Notes, 6.8% Commercial Paper, 0.3% Negotiable CDs and 2.7% Money Market Funds (See Attachment B). The Alameda CTC portfolio is in compliance with both the adopted investment policy and the California Government Code.

The Employment Development Department reported an unemployment rate in Alameda County for September, 2012 of 8.5%, down 1.0% from the previous quarter end statement, and between that of California, at 10.2%, and the United States, at 7.8% (per the US Department of Labor). Alameda County increases in jobs were in the categories of education, construction, financial activities and leisure and hospitality. Unemployment rates are still very high when compared to historical national rates which ranged from 4.0 – 5.0% in the years 2001 – 2007.

The Federal Open Market Committee announced additional economic stimulus measures at its September meeting. The Federal Reserve plans to purchase additional agency mortgage-backed securities at a pace of \$40 billion monthly, for an open-ended period of time until employment conditions improve. The Federal Reserve also expects to keep the fed funds rate at an exceptionally low level through at least mid-2015 (vs. previous guidance of through late 2014). The Fed continues to reinvest principal payments from its holdings of agency debt and agency mortgage-backed securities, and said that they will continue with this plan through the end of this year. Overall, the Federal Reserves' actions are aimed at putting downward pressure on long-term interest rates and fueling stronger economic growth.

**Attachments**

Attachment A: Consolidated Investment Report as of September 30, 2012

Attachment B: Detail of Investment Holdings (managed by PFM and Chandler)



Alameda CTC									
Consolidated Investment Report									
As of September 30, 2012									
ACTA	Un-Audited		Interest Earned				FY 2012		
	Investment Balance		Interest earned		As of September 30, 2012		Investment Balance		Interest earned
					Approx. ROI	Budget			FY 2012
Checking Account	\$	44,000	\$	3	0.02%		\$	103,510	\$ 45
State Treas. Pool (LAIF)		11,230,274		11,722	0.42%			14,808,441	105,009
Investment Advisors (1)		115,722,552		361,284	1.25%			115,361,268	2,139,191
Loan to ACCMA		10,000,000						10,000,000	
ACTA Total		136,996,826	\$	373,008	1.09%	\$ 256,250	\$ 116,758		2,244,245
								Approx. ROI	1.60%
ACTIA	Un-Audited		Interest Earned				FY 2012		
	Investment Balance		Interest earned		As of September 30, 2012		Investment Balance		Interest earned
					Approx. ROI	Budget			FY 2012
Community Bank (OPEB)(2)	\$	910,600	\$	227	0.10%			\$ 910,373	\$ 865
Checking Account	\$	12,731,100	\$	56	0.00%			\$ 8,760,886	\$ 147
State Treas. Pool (LAIF)		26,696,567		31,687	0.47%			36,040,309	208,541
Investment Advisors (1)		63,778,652		36,094	0.23%			68,742,558	218,683
ACTIA Total		103,206,319	\$	67,837	0.26%	\$ 37,500	\$ 30,337	113,543,752	427,371
								Approx. ROI	0.38%
ACCMA	Un-Audited		Interest Earned				FY 2012		
	Investment Balance		Interest earned		As of September 30, 2012		Investment Balance		Interest earned
					Approx. ROI	Budget			FY 2012
Checking Account	\$	3,582,819			0.00%			\$ 2,911,113	\$ -
State Treas. Pool (LAIF)		13,952,326		14,177	0.41%			17,537,573	45,846
Project Deferred Revenue (3)		18,103,612		16,176	0.36%			18,088,066	66,302
Loan from ACTA		(10,000,000)						(10,000,000)	
ACCMA Total	\$	25,638,757	\$	30,352	0.47%	\$ -	\$ 30,352	\$ 28,536,752	112,148
								Approx. ROI	0.39%
ACTC TOTAL	\$	265,841,902	\$	471,198	0.71%	\$ 293,750	\$ 177,448	\$ 282,353,723	\$ 2,783,764

Notes:

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

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For the Month Ending September 30, 2012

## Managed Account Detail of Securities Held

ALAMEDA CNTY TRANSPORTATION AUTHORITY - 03068500

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
<b>U.S. Treasury Bond / Note</b>										
US TREASURY NOTES DTD 03/31/2011 0.750% 03/31/2013	912828QL7	AA+	Aaa	03/31/11	04/01/11	1,499,121.09	0.78	30.91	1,499,779.92	1,504,453.50
US TREASURY NOTES DTD 03/31/2011 0.750% 03/31/2013	912828QL7	AA+	Aaa	03/22/12	03/27/12	3,015,468.75	0.24	61.81	3,007,613.43	3,008,907.00
US TREASURY NOTES DTD 06/30/2008 3.375% 06/30/2013	912828JD3	AA+	Aaa	03/22/12	03/27/12	18,394,526.76	0.28	151,009.70	18,113,900.34	18,126,874.74
US TREASURY NOTES DTD 09/30/2008 3.125% 09/30/2013	912828JM3	AA+	Aaa	03/22/12	03/27/12	4,064,531.25	0.32	334.82	4,008,685.59	4,013,802.00
<b>Security Type Sub-Total</b>						<b>26,973,647.85</b>	<b>0.31</b>	<b>151,437.24</b>	<b>26,629,979.28</b>	<b>26,654,037.24</b>
<b>Federal Agency Bond / Note</b>										
FFCB BONDS DTD 10/15/2008 3.650% 10/15/2012	31331GDH9	AA+	Aaa	10/07/08	10/15/08	4,691,547.70	3.64	78,935.31	4,690,015.99	4,696,359.64
FANNIE MAE GLOBAL NOTES DTD 10/08/2010 0.500% 10/30/2012	31398A4T6	AA+	Aaa	10/25/10	10/26/10	4,580,124.00	0.44	9,594.79	4,575,205.92	4,576,253.55
FHLB GLOBAL BONDS DTD 10/15/2009 1.625% 11/21/2012	3133XVEN9	AA+	Aaa	05/03/11	05/06/11	10,178,600.00	0.46	58,680.56	10,016,129.30	10,020,050.00
FHLMC GLOBAL NOTES DTD 12/02/2009 1.375% 01/09/2013	3137EACG2	AA+	Aaa	02/11/11	02/14/11	2,400,634.60	0.91	7,454.03	2,382,971.86	2,387,865.90
FHLMC GLOBAL REFERENCE NOTES DTD 01/17/2003 4.500% 01/15/2013	3134A4SA3	AA+	Aaa	03/25/10	03/30/10	6,058,575.00	1.66	53,437.50	5,670,736.03	5,695,470.00
FHLB GLOBAL BONDS DTD 08/01/2008 4.000% 09/06/2013	3133YRX88	AA+	Aaa	03/22/12	03/27/12	4,629,680.00	0.37	12,222.22	4,548,387.23	4,555,667.60
FNMA NOTES DTD 11/01/2010 0.750% 12/18/2013	31398ASW8	AA+	Aaa	08/21/12	08/22/12	4,754,484.00	0.28	10,139.06	4,752,072.36	4,756,369.28
<b>Security Type Sub-Total</b>						<b>37,293,645.30</b>	<b>1.05</b>	<b>230,463.47</b>	<b>36,635,518.69</b>	<b>36,688,035.97</b>
<b>Corporate Note</b>										



PFM Asset Management LLC

Account 03068500 Page 4



For the Month Ending September 30, 2012

## Managed Account Detail of Securities Held

ALAMEDA CNTY TRANSPORTATION AUTHORITY - 03068500

Security Type/Description	Dated Date/Coupon/Maturity	CUSIP	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
<b>Corporate Note</b>											
GENERAL ELEC CAP CORP GLOBAL SR MTN DTD 10/19/2007 5.250% 10/19/2012		36962G3K8	AA+	A1	05/03/11	05/06/11	690,235.00	0.95	15,356.25	651,391.13	651,437.80
WELLS FARGO & COMPANY GLOBAL SR DTD 01/31/2008 4.375% 01/31/2013		949746NY3	A+	A2	08/26/08	08/29/08	959,600.00	5.41	7,413.19	996,655.69	1,013,290.00
<b>NOTES</b>											
WELLS FARGO & COMPANY GLOBAL SR DTD 01/31/2008 4.375% 01/31/2013		949746NY3	A+	A2	05/03/11	05/06/11	1,582,515.00	1.16	11,119.79	1,515,852.89	1,519,935.00
<b>NOTES</b>											
Security Type Sub-Total							3,232,350.00	2.47	33,889.23	3,163,899.71	3,184,662.80
Managed Account Sub-Total							67,499,643.15	0.82	415,789.94	66,429,397.68	66,526,736.01
Securities Sub-Total							\$67,499,643.15	0.82%	\$415,789.94	\$66,429,397.68	\$66,526,736.01
Accrued Interest											\$415,789.94
Total Investments											\$66,942,525.95





Alameda CTC- Alameda Cnty Trans Authority  
Account #470

Holdings Report  
As of 9/30/12

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
3137EAAZ2	FHLMC Note 4.625% Due 10/25/2012	2,500,000.00	07/09/2008 3.99 %	2,562,070.00 2,500,950.05	100.30 0.31 %	2,507,487.50 50,104.17	5.21 % 6,537.45	Aaa AA+	0.07 0.07
3137EABE8	FHLMC Note 4.125% Due 12/21/2012	2,100,000.00	05/05/2011 0.49 %	2,223,471.60 2,116,808.74	100.87 0.24 %	2,118,345.60 24,062.50	4.36 % 1,536.86	Aaa AA+	0.22 0.22
31398A6F4	FNMA Note 0.375% Due 12/28/2012	4,200,000.00	03/31/2011 0.70 %	4,176,438.00 4,196,744.97	100.07 0.09 %	4,202,889.60 4,068.75	8.57 % 6,144.63	Aaa AA+	0.24 0.24
3133XP2W3	FHLB Note 3.375% Due 2/27/2013	2,500,000.00	07/09/2008 4.02 %	2,432,425.00 2,494,052.76	101.29 0.20 %	2,532,385.00 7,988.75	5.17 % 38,312.24	Aaa AA+	0.41 0.41
880591CW0	Tennessee Valley Authority Note 6% Due 3/15/2013	4,000,000.00	Various 3.46 %	4,407,900.00 4,042,457.98	102.62 0.28 %	4,104,760.00 10,666.67	8.38 % 62,302.02	Aaa AA+	0.45 0.46
3133XXYX9	FHLB Note 1.875% Due 6/21/2013	2,480,000.00	06/18/2012 0.25 %	2,520,324.80 2,508,897.61	101.22 0.20 %	2,510,141.92 12,916.67	5.14 % 1,244.31	Aaa AA+	0.72 0.72
31331JPK3	FFCB Note 1.375% Due 6/25/2013	2,500,000.00	06/18/2012 0.25 %	2,528,575.00 2,520,564.76	100.91 0.13 %	2,522,805.00 9,166.67	5.16 % 2,240.24	Aaa AA+	0.73 0.73
31398ASD5	FNMA Note 3.875% Due 7/12/2013	1,700,000.00	04/09/2009 2.24 %	1,811,683.20 1,720,450.05	102.90 0.17 %	1,749,242.20 14,455.90	3.59 % 28,792.15	Aaa AA+	0.78 0.77
880591DW9	Tennessee Valley Authority Note 4.75% Due 8/1/2013	4,000,000.00	Various 2.35 %	4,411,330.00 4,075,329.83	103.78 0.22 %	4,151,128.00 31,666.67	8.52 % 75,798.17	Aaa AA+	0.84 0.82
31331KZJ2	FFCB Note 0.35% Due 9/23/2013	1,500,000.00	03/22/2012 0.38 %	1,499,430.00 1,499,629.34	100.13 0.22 %	1,501,929.00 116.67	3.06 % 2,299.66	Aaa AA+	0.98 0.98
31331GCS6	FFCB Note 3.875% Due 10/7/2013	2,300,000.00	02/04/2009 2.89 %	2,397,934.00 2,321,309.98	103.71 0.23 %	2,385,265.60 43,077.08	4.94 % 63,955.62	Aaa AA+	1.02 0.99
3133XSAE8	FHLB Note 3.625% Due 10/18/2013	2,000,000.00	03/03/2009 2.69 %	2,080,600.00 2,018,229.25	103.54 0.24 %	2,070,886.00 32,826.39	4.28 % 52,656.75	Aaa AA+	1.05 1.02
3134A4UK8	FHLMC Note 4.875% Due 11/15/2013	2,500,000.00	01/08/2009 2.44 %	2,776,632.50 2,564,042.53	105.28 0.17 %	2,632,017.50 46,041.67	5.45 % 67,974.97	Aaa AA+	1.13 1.09
31398A5W8	FNMA Note 0.75% Due 12/18/2013	2,600,000.00	05/23/2012 0.34 %	2,616,822.00 2,613,005.49	100.66 0.20 %	2,617,261.40 5,579.17	5.34 % 4,255.91	Aaa AA+	1.22 1.21
Total Agency		36,880,000.00	1.95 %	38,445,636.10 37,192,473.34	0.21 %	37,606,524.32 292,717.73	77.16 % 414,050.98	Aaa AA+	0.67 0.67

COMMERCIAL PAPER

89233GKB1	Toyota Motor Credit Discount CP 0.427% Due 10/11/2012	1,125,000.00	Various 0.46 %	1,122,128.75 1,122,128.75	99.83 0.46 %	1,122,128.75 2,731.32	2.29 % 0.00	P-1 A-1+	0.03 0.03
4662J0LL4	JP Morgan Discount CP 0.3% Due 11/20/2012	1,000,000.00	05/22/2012 0.30 %	998,483.33 998,483.33	99.85 0.30 %	998,483.33 1,100.00	2.04 % 0.00	P-1 A-1	0.14 0.14



CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
<b>COMMERCIAL PAPER</b>									
36959HQB6	General Electric Capital Corp Discount CP 0.28% Due 3/11/2013	1,000,000.00	09/12/2012 0.28 %	998,600.00 998,600.00	99.86 0.28 %	998,600.00 147.78	2.03 % 0.00	P-1 A-1+	0.44 0.44
Total Commercial Paper		3,125,000.00	0.35 %	3,119,212.08 3,119,212.08	0.35 %	3,119,212.08 3,979.10	6.36 % 0.00	P1 A-1	0.20 0.20
<b>FDIC INSURED US CORPORATE</b>									
36967HAV9	GE Capital Corp FDIC Guaranteed Note 2.125% Due 12/21/2012	2,180,000.00	06/03/2009 2.10 %	2,182,071.00 2,180,129.84	100.43 0.22 %	2,189,354.38 12,868.06	4.48 % 9,224.54	Aaa AA+	0.22 0.22
481247AM6	JP Morgan Chase FDIC Guaranteed Note 2.125% Due 12/26/2012	3,250,000.00	04/22/2009 2.04 %	3,260,075.00 3,250,647.09	100.49 0.09 %	3,265,788.50 18,224.83	6.69 % 15,141.41	Aaa AA+	0.24 0.24
Total FDIC Insured US Corporate		5,430,000.00	2.06 %	5,442,146.00 5,430,776.93	0.14 %	5,455,142.88 31,092.89	11.17 % 24,365.95	Aaa AA+	0.23 0.23
<b>MONEY MARKET FUND FI</b>									
431114701	Highmark Govt Money Market Fund	10,884.17	Various 0.04 %	10,884.17 10,884.17	1.00 0.04 %	10,884.17 0.00	0.02 % 0.00	Aaa AAA	0.00 0.00
Total Money Market Fund FI		10,884.17	0.04 %	10,884.17 10,884.17	0.04 %	10,884.17 0.00	0.02 % 0.00	Aaa AAA	0.00 0.00
<b>US CORPORATE</b>									
91159HGW4	US Bancorp Note 2% Due 6/14/2013	1,175,000.00	09/13/2012 0.31 %	1,189,628.75 1,188,921.78	101.16 0.35 %	1,188,685.22 6,984.72	2.43 % (236.56)	Aa3 A+	0.70 0.70
Total US Corporate		1,175,000.00	0.31 %	1,189,628.75 1,188,921.78	0.35 %	1,188,685.22 6,984.72	2.43 % (236.56)	Aa3 A+	0.70 0.70
<b>US TREASURY</b>									
912828HG8	US Treasury Note 3.875% Due 10/31/2012	1,225,000.00	08/27/2008 2.88 %	1,272,616.41 1,225,936.72	100.30 0.25 %	1,228,732.58 19,864.64	2.54 % 2,795.86	Aaa AA+	0.08 0.08
912828PL8	US Treasury Note 0.75% Due 12/15/2013	150,000.00	09/27/2012 0.22 %	150,955.58 150,949.11	100.64 0.22 %	150,966.75 331.97	0.31 % 17.64	Aaa AA+	1.21 1.20
Total US Treasury		1,375,000.00	2.59 %	1,423,571.99 1,376,885.83	0.25 %	1,379,699.33 20,196.61	2.85 % 2,813.50	Aaa AA+	0.21 0.20
TOTAL PORTFOLIO		47,995,884.17	1.84 %	49,631,079.09 48,319,154.13	0.21 %	48,760,148.00 354,971.05	100.00 % 440,993.87	Aaa AA+	0.58 0.57
TOTAL MARKET VALUE PLUS ACCRUED						49,115,119.05			





For the Month Ending September 30, 2012

## Managed Account Detail of Securities Held

ALAMEDA CNTY TRANSPORTATION IMPROV AUTH - 03068510

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
<b>U.S. Treasury Bond / Note</b>										
US TREASURY NOTES DTD 12/31/2010 0.625% 12/31/2012	912828PW4	AA+	Aaa	03/22/12	03/23/12	1,991,435.74	0.20	3,135.28	1,987,062.34	1,987,326.17
US TREASURY NOTES DTD 04/30/2008 3.125% 04/30/2013	912828HY9	AA+	Aaa	04/26/12	04/27/12	9,857,013.67	0.20	125,216.54	9,737,716.88	9,739,575.10
US TREASURY NOTES DTD 06/30/2008 3.375% 06/30/2013	912828JD3	AA+	Aaa	08/21/12	08/22/12	3,332,969.92	0.20	27,677.29	3,321,805.84	3,322,321.86
<b>Security Type Sub-Total</b>						<b>15,181,419.33</b>	<b>0.20</b>	<b>156,029.11</b>	<b>15,046,585.06</b>	<b>15,049,223.13</b>
<b>Federal Agency Bond / Note</b>										
FHLMC NOTES DTD 02/04/2011 0.750% 03/28/2013	3137EACS6	AA+	Aaa	08/21/12	08/22/12	3,511,725.00	0.19	218.75	3,509,609.74	3,509,817.50
FANNIE MAE GLOBAL NOTES DTD 08/06/2010 1.000% 09/23/2013	31398A2S0	AA+	Aaa	08/21/12	08/22/12	3,377,034.50	0.26	744.44	3,374,342.37	3,375,178.60
FNMA NOTES DTD 11/01/2010 0.750% 12/18/2013	31398A5W8	AA+	Aaa	08/21/12	08/22/12	3,421,216.00	0.28	7,295.83	3,419,480.64	3,422,572.60
<b>Security Type Sub-Total</b>						<b>10,309,975.50</b>	<b>0.24</b>	<b>8,259.02</b>	<b>10,303,432.75</b>	<b>10,307,568.70</b>
<b>Commercial Paper</b>										
JP MORGAN CHASE & CO COMM PAPER -- 0.000% 10/01/2012	46620K19	A-1	P-1	03/22/12	03/23/12	2,695,680.00	0.30	0.00	2,700,000.00	2,699,986.50
<b>Security Type Sub-Total</b>						<b>2,695,680.00</b>	<b>0.30</b>	<b>0.00</b>	<b>2,700,000.00</b>	<b>2,699,986.50</b>
<b>Managed Account Sub-Total</b>						<b>28,187,074.83</b>	<b>0.23</b>	<b>164,288.13</b>	<b>28,050,017.81</b>	<b>28,056,778.33</b>
<b>Securities Sub-Total</b>						<b>\$28,187,074.83</b>	<b>0.23%</b>	<b>\$164,288.13</b>	<b>\$28,050,017.81</b>	<b>\$28,056,778.33</b>
<b>Accrued Interest</b>										<b>\$164,288.13</b>
<b>Total Investments</b>										<b>\$28,221,066.46</b>



PFM Asset Management LLC

Account 03068510 Page 4



Alameda CTC- Alameda Cnty Trans Improv Authority  
Account #471

Holdings Report  
As of 9/30/12

CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
31331X3S9	FFCB Note 4.5% Due 10/17/2012	1,506,000.00	04/26/2012 0.16 %	1,536,850.41 1,508,853.22	100.19 0.41 %	1,508,902.06 30,873.00	4.96 % 48.84	Aaa AA+	0.05 0.05
31398A4T6	FNMA Note 0.5% Due 10/30/2012	1,700,000.00	Various 0.15 %	1,702,421.00 1,700,470.45	100.03 0.17 %	1,700,465.80 3,565.28	5.49 % (4.65)	Aaa AA+	0.08 0.08
313396M83	FHLMC Discount Note 0.155% Due 11/1/2012	1,500,000.00	04/26/2012 0.16 %	1,498,779.38 1,498,779.38	99.92 0.16 %	1,498,779.38 1,020.41	4.83 % 0.00	P-1 A-1+	0.09 0.09
3133MTZL5	FHLB Note 4.5% Due 11/15/2012	1,000,000.00	09/30/2011 0.26 %	1,047,586.00 1,005,197.50	100.52 0.35 %	1,005,175.00 17,000.00	3.29 % (22.50)	Aaa AA+	0.13 0.12
31331J2V4	FFCB Note 0.55% Due 11/19/2012	1,750,000.00	03/22/2012 0.20 %	1,754,019.75 1,750,817.29	100.05 0.17 %	1,750,908.25 3,529.17	5.65 % 90.96	Aaa AA+	0.14 0.14
31398AHZ8	FNMA Note 4.75% Due 11/19/2012	750,000.00	03/28/2012 0.18 %	771,854.25 754,556.84	100.61 0.25 %	754,586.25 13,062.50	2.47 % 29.41	Aaa AA+	0.14 0.14
31331G2R9	FFCB Note 1.875% Due 12/7/2012	1,750,000.00	Various 0.27 %	1,777,161.50 1,755,139.92	100.31 0.19 %	1,755,498.50 10,390.63	5.69 % 358.58	Aaa AA+	0.19 0.19
3137EABE8	FHLMC Note 4.125% Due 12/21/2012	1,750,000.00	03/22/2012 0.22 %	1,800,853.25 1,765,088.33	100.87 0.24 %	1,765,288.00 20,052.08	5.75 % 199.67	Aaa AA+	0.22 0.22
31398A6F4	FNMA Note 0.375% Due 12/28/2012	1,175,000.00	03/31/2011 0.70 %	1,168,408.25 1,174,089.37	100.07 0.09 %	1,175,808.40 1,138.28	3.79 % 1,719.03	Aaa AA+	0.24 0.24
3133XW7L7	FHLB Note 1.5% Due 1/16/2013	1,200,000.00	04/30/2012 0.19 %	1,211,133.60 1,204,564.35	100.38 0.21 %	1,204,545.60 3,750.00	3.89 % (18.75)	Aaa AA+	0.30 0.29
3133XX7F8	FHLB Note 1.625% Due 3/20/2013	1,770,000.00	12/16/2011 0.21 %	1,801,169.70 1,781,645.82	100.68 0.18 %	1,782,053.70 878.85	5.74 % 407.88	Aaa AA+	0.47 0.47
3137EABM0	FHLMC Note 3.75% Due 6/28/2013	1,750,000.00	12/27/2011 0.29 %	1,840,510.00 1,794,594.34	102.68 0.14 %	1,796,943.75 16,953.13	5.84 % 2,349.41	Aaa AA+	0.74 0.73
31398A250	FNMA Note 1% Due 9/23/2013	1,750,000.00	12/27/2011 0.35 %	1,769,600.00 1,761,019.21	100.75 0.23 %	1,763,153.00 388.89	5.68 % 2,133.79	Aaa AA+	0.98 0.98
313371UC8	FHLB Note 0.875% Due 12/27/2013	1,780,000.00	12/16/2011 0.39 %	1,797,461.80 1,790,709.27	100.80 0.23 %	1,794,202.62 4,066.81	5.79 % 3,493.35	Aaa AA+	1.24 1.23
Total Agency		21,131,000.00	0.26 %	21,477,808.89 21,245,525.29	0.21 %	21,256,310.31 126,669.03	68.89 % 10,785.02	Aaa AA+	0.39 0.39

COMMERCIAL PAPER

02665JK58	American Honda Corp Discount CP 0.13% Due 10/5/2012	1,000,000.00	09/05/2012 0.13 %	999,891.67 999,891.67	99.99 0.13 %	999,891.67 93.89	3.22 % 0.00	P-1 A-1	0.01 0.01
89233GKB1	Toyota Motor Credit Discount CP 0.4% Due 10/11/2012	600,000.00	Various 0.44 %	598,543.00 598,543.00	99.83 0.44 %	598,543.00 1,385.05	1.93 % 0.00	P-1 A-1+	0.03 0.03
89233GKP0	Toyota Motor Credit Discount CP 0.37% Due 10/23/2012	350,000.00	04/24/2012 0.38 %	349,345.30 349,345.30	99.81 0.38 %	349,345.30 575.56	1.13 % 0.00	P-1 A-1+	0.06 0.06
4662J0KP6	JP Morgan Discount CP 0.3% Due 10/23/2012	350,000.00	04/24/2012 0.30 %	349,469.17 349,469.17	99.85 0.30 %	349,469.17 466.66	1.13 % 0.00	P-1 A-1	0.06 0.06





CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
<b>COMMERCIAL PAPER</b>									
36959HKP1	General Electric Capital Corp Discount CP 0.33% Due 10/23/2012	350,000.00	04/24/2012 0.34 %	349,416.08 349,416.08	99.83 0.34 %	349,416.08 513.34	1.13 % 0.00	P-1 A-1+	0.06 0.06
40427RL82	HSBC USA Inc Discount CP 0.3% Due 11/8/2012	825,000.00	08/10/2012 0.30 %	824,381.25 824,381.25	99.93 0.30 %	824,381.25 357.50	2.66 % 0.00	P-1 A-1	0.11 0.11
69372ALK6	Paccar Financial Discount CP 0.17% Due 11/19/2012	650,000.00	08/15/2012 0.17 %	649,705.34 649,705.34	99.95 0.17 %	649,705.34 144.26	2.09 % 0.00	P-1 A-1	0.14 0.14
14912DM55	Caterpillar Finance Corp Discount CP 0.23% Due 12/5/2012	620,000.00	06/14/2012 0.23 %	619,314.73 619,314.73	99.89 0.23 %	619,314.73 427.80	2.00 % 0.00	P-1 A-1	0.18 0.18
36959HQB6	General Electric Capital Corp Discount CP 0.28% Due 3/11/2013	500,000.00	09/12/2012 0.28 %	499,300.00 499,300.00	99.86 0.28 %	499,300.00 73.89	1.61 % 0.00	P-1 A-1+	0.44 0.44
4662JQD7	JP Morgan Discount CP 0.3% Due 3/13/2013	500,000.00	09/12/2012 0.30 %	499,241.65 499,241.65	99.85 0.30 %	499,241.65 79.17	1.61 % 0.00	P-1 A-1	0.45 0.45
06416JQJ5	Bank of Nova Scotia Discount CP 0.26% Due 3/18/2013	620,000.00	09/19/2012 0.26 %	619,216.39 619,216.39	99.87 0.26 %	619,216.39 31.34	1.99 % 0.00	P-1 A-1+	0.46 0.46
<b>Total Commercial Paper</b>		<b>6,365,000.00</b>	<b>0.27 %</b>	<b>6,357,824.58</b> <b>6,357,824.58</b>	<b>0.27 %</b>	<b>6,357,824.58</b> <b>4,148.46</b>	<b>20.50 %</b> <b>0.00</b>	<b>P1</b> <b>A-1</b>	<b>0.18</b> <b>0.18</b>
<b>MONEY MARKET FUND FI</b>									
431114701	Highmark Govt Money Market Fund	100,794.67	Various 0.04 %	100,794.67 100,794.67	1.00 0.04 %	100,794.67 0.00	0.32 % 0.00	Aaa AAA	0.00 0.00
<b>Total Money Market Fund FI</b>		<b>100,794.67</b>	<b>0.04 %</b>	<b>100,794.67</b> <b>100,794.67</b>	<b>0.04 %</b>	<b>100,794.67</b> <b>0.00</b>	<b>0.32 %</b> <b>0.00</b>	<b>Aaa</b> <b>AAA</b>	<b>0.00</b> <b>0.00</b>
<b>NEGOTIABLE CD</b>									
89112X5J0	Toronto Dominion Bank Negotiable CD 0.27% Due 4/15/2013	650,000.00	09/17/2012 0.25 %	650,075.70 650,070.65	100.01 0.25 %	650,070.65 68.25	2.09 % 0.00	P-1 A-1+	0.54 0.54
<b>Total Negotiable CD</b>		<b>650,000.00</b>	<b>0.25 %</b>	<b>650,075.70</b> <b>650,070.65</b>	<b>0.25 %</b>	<b>650,070.65</b> <b>68.25</b>	<b>2.09 %</b> <b>0.00</b>	<b>Aaa</b> <b>AAA</b>	<b>0.54</b> <b>0.54</b>
<b>US CORPORATE</b>									
88579EAD7	3M Company Note 4.65% Due 12/15/2012	155,000.00	04/26/2012 0.32 %	159,237.70 156,369.95	100.92 0.21 %	156,432.05 2,122.21	0.51 % 62.10	Aa2 AA-	0.21 0.21
91159HGW4	US Bancorp Note 2% Due 6/14/2013	600,000.00	09/13/2012 0.31 %	607,470.00 607,109.00	101.16 0.35 %	606,988.20 3,566.67	1.97 % (120.80)	Aa3 A+	0.70 0.70
<b>Total US Corporate</b>		<b>755,000.00</b>	<b>0.31 %</b>	<b>766,707.70</b> <b>763,478.95</b>	<b>0.32 %</b>	<b>763,420.25</b> <b>5,688.88</b>	<b>2.48 %</b> <b>(58.70)</b>	<b>Aa3</b> <b>A+</b>	<b>0.60</b> <b>0.60</b>



CUSIP	Security Description	Par Value/Units	Purchase Date Book Yield	Cost Value Book Value	Mkt Price Mkt YTM	Market Value Accrued Int.	% of Port. Gain/Loss	Moody S&P	Maturity Duration
US TREASURY									
912828LR9	US Treasury Note 1.375% Due 10/15/2012	1,025,000.00	09/30/2011 0.18 %	1,037,775.90 1,025,469.46	100.05 0.23 %	1,025,480.73 6,507.77	3.32 % 11.27	Aaa AA+	0.04 0.04
912828MB3	US Treasury Note 1.125% Due 12/15/2012	740,000.00	05/24/2012 0.17 %	743,933.73 741,446.22	100.20 0.15 %	741,502.94 2,456.56	2.40 % 56.72	Aaa AA+	0.21 0.21
Total US Treasury		1,765,000.00	0.17 %	1,781,709.63 1,766,915.68	0.19 %	1,766,983.67 8,964.33	5.72 % 67.99	Aaa AA+	0.11 0.11
TOTAL PORTFOLIO									
		30,766,794.67	0.26 %	31,134,921.17 30,884,609.82	0.23 %	30,895,404.13 145,538.95	100.00 % 10,794.31	Aaa AA+	0.34 0.34
TOTAL MARKET VALUE PLUS ACCRUED						31,040,943.08			



## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Finance and Administration Committee

**SUBJECT:** **Approval of the Alameda CTC FY2012-13 First Quarter Financial Report**

### Recommendation

It is recommended that the Commission approve the attached Alameda County Transportation Commission (Alameda CTC) Consolidated FY2012-13 First Quarter Financial Report.

### Summary

At the end of the first quarter, the Alameda CTC is showing a net increase in the overall fund balance in the amount of \$4.4 million primarily related to sales tax and Vehicle Registration Fee (VRF) revenues exceeding expenditures. The Exchange Fund showed a decrease in fund balance related to programming fund expenditures exceeding revenues.

The attached financial report has been prepared on a consolidated basis by governmental fund type including the General Funds, Special Revenue Funds, the Exchange Fund and the Capital Projects Funds to give an overview of the Alameda CTC's revenues and expenditures in comparison to the adopted budget.

### *General Fund*

In the General Fund, the Alameda CTC's revenues are less than budget by \$1.2 million or 35.6% and expenditures are under budget by \$1.7 million or 45.2% (see attachment A). Both of these variances can be attributed to the winding down of the Countywide Transportation Plan and Transportation Expenditure Plan efforts and a lower than projected cost for the Safe Routes to School program in the first quarter of the fiscal year.

### *Special Revenue Funds*

The Special Revenue Funds group is made up of Measure B Program funds including funds for express bus, paratransit service, bike and pedestrian, transit oriented development and pass through funds as well as Transportation for Clean Air (TFCA) funds and Vehicle Registration Fee (VRF) funds. In the Special Revenue Funds, the Alameda CTC's revenues are more than budget by \$1.2 million or 6.3% mostly due to actual sales tax and VRF revenues which were higher than projected for the first quarter (see attachment B). Expenditures in the Special Revenue Funds are \$1.5 million or 8.0% less than budget mostly due to a delay in the flow of funding on the SMART Corridor Operations and Maintenance project as a result of a contractor delay in obtaining an encroachment permit from Caltrans to enter State ROW. In addition, the release of a RFP to obtain System Integration services for "SMART" was deferred.

### *Exchange Fund*

As of September 30, 2012, Exchange Fund revenues and expenditures were under budget by \$1.2 million and \$127,000 respectively (see attachment C). Budget in this fund is only utilized on an as needed basis as exchanges are established to accommodate other governmental agencies' needs.

### *Capital Projects Funds*

The Capital Projects Funds incorporate all Alameda CTC capital projects whether they were originally projects of the Alameda County Transportation Improvement Authority (ACTIA), the Alameda County Transportation Authority (ACTA) or the Alameda County Congestion Management Agency (ACCMA). In the Capital Projects Funds, the Alameda CTC's revenues are less than budget by \$9.7 million or 38.0% and expenditures are less than budget by \$55.0 million or 79.2% (see attachment D). It is not uncommon for capital project expenditures to start off slowly at the beginning of a fiscal year as sponsors and consultants concentrate on closing out prior year activities. This tendency explains a large part of the variance on ACTIA capital projects as work has been completed on projects, but invoices have not been received to date. Some ACTIA projects also have experienced deferred project schedules during the first quarter of the fiscal year due to various project delivery issues including project scoping and community engagement. Revenues and expenditures for the ACCMA related capital projects are both under budget due in part to the I-580 East Bound HOV Lane project which has experienced a delay in the start date of its construction contract and the I-80 Integrated Corridor Mobility project which moved slower than originally planned in the first quarter due to contract issues. Capital project expenditures are expected to more closely approach budget as the year progresses. Since we implemented a rolling capital budget system last fiscal year, any unused approved budget will be available to pay for costs in the next fiscal year. Additional budget authority will be requested by project only as needed.

### *ACTIA Limitations Calculations*

Staff has made the calculations required in ACTIA's Transportation Expenditure Plan related to salary and benefits and administration. The Salary and Benefits Limitation ratio of 0.69% and Administrative Cost Limitation ratio of 2.42% were calculated based on actual expenditures and were found to be in compliance with the requirements of 1.0% and 4.5%, respectively (see attachment E).

### **Discussion**

The Alameda CTC is in a strong position compared to budget after the first quarter of the fiscal year and remains sustainable. Sales tax revenues for FY2012-13 were projected with a conservative increase over the FY2011-12 budget because final receipts had not been received. Actual sales tax revenues for FY2011-12 were \$112.6 million which turns out to be higher than the FY2012-13 budget projection of \$112.0 million. In the first quarter of the fiscal year, sales tax revenues were already over the budget by approximately 11%. However, quarterly true up adjustments by the Board of Equalization have not yet occurred on this amount so it can and will change. Staff is not anticipating an adjustment to sales tax revenue projections at this time until more actual receipt data becomes available.

### **Attachments**

- Attachment A: Alameda CTC General Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2012
- Attachment B : Alameda CTC Special Revenue Funds Revenues/Expenditures Actual vs. Budget as of September 30, 2012

Attachment C : Alameda CTC Exchange Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2012

Attachment D : Alameda CTC Capital Project Funds Revenues/Expenditures Actual vs. Budget as of September 30, 2012

Attachment E : ACTIA Limitations Calculations as of September 30, 2012

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**Alameda CTC General Fund  
Revenues/Expenditures  
Actual vs Budget  
as of September 30, 2012**

**Attachment A**

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
<b>Revenues:</b>				
Sales Tax Revenues	\$ 1,329,943	\$ 1,260,000	105.55%	\$ 69,943
Investment Income	4,750	-	0.00%	4,750
Member Agency Fees	348,705	348,705	100.00%	(0)
Measure B Interagency Funds	(49,723)	587,810	-8.46%	(637,533)
VRF Funding	37,961	-	0.00%	37,961
TFCA Funding	22,152	27,500	80.55%	(5,348)
CMA TIP Funds	31,263	-	0.00%	31,263
Rental Income	11,001	18,000	61.12%	(6,999)
Other Income	25	-	0.00%	25
<b>Grants</b>				
MTC Planning Funds	4,472	254,986	1.75%	(250,514)
PPM Funds	394,784	430,728	91.65%	(35,945)
CMAQ Funding	9,229	351,118	2.63%	(341,889)
Other Project Grants	-	50,000	0.00%	(50,000)
<b>Total Revenues</b>	<b>\$ 2,144,562</b>	<b>\$ 3,328,847</b>		<b>\$ (1,184,285)</b>
<b>Expenditures:</b>				
<b>Administration</b>				
Salaries and Benefits	668,904	692,161	96.64%	23,257
Office Expenses and Supplies	12,534	14,219	88.15%	1,685
General Administration	575,864	980,180	58.75%	404,316
Building Relocation Reserve	-	171,875	0.00%	171,875
Commission Meeting Per Diems	10,566	43,216	24.45%	32,650
Contingency	196	43,750	0.45%	43,554
<b>Planning</b>				
MTC Planning	37	-	0.00%	(37)
County Wide Transportation Plan (CWTP)	169,835	637,240	26.65%	467,405
County Wide Bicycle and Pedestrian Plan	-	12,558	0.00%	12,558
Congestion Management Program	37,591	229,615	16.37%	192,024
Transportation and Land Use	769	156,250	0.49%	155,481
Travel Model Support	-	73,750	0.00%	73,750
Bike to Work Day Assessment	-	15,388	0.00%	15,388
<b>Programs</b>				
Programs Management	73,961	189,963	38.93%	116,002
Guaranteed Ride Home Program	9,511	27,500	0.00%	17,989
Monitoring of Fed, State & Other Grants	-	1,000	0.00%	1,000
Life Line Transportation	-	60,250	0.00%	60,250
Safe Routes to School	179,084	637,548	28.09%	458,464
Bike Mobile Program	-	79,433	0.00%	79,433
<b>Indirect Cost Recovery/Allocation</b>				
Indirect Cost Recovery from Capital, Spec Rev & Exch Funds	(197,954)	(227,849)	86.88%	(29,894)
<b>Total Expenditures</b>	<b>\$ 1,540,896</b>	<b>\$ 3,838,046</b>		<b>\$ 1,657,907</b>
<b>Net revenue over / (under) expenditures</b>	<b>\$ 603,667</b>	<b>\$ (509,199)</b>		

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**Alameda CTC Special Revenue Funds**  
**Revenue/Expenditures**  
**Actual vs Budget**  
**as of September 30, 2012**

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<b>Revenues:</b>				
Sales Tax Revenues	\$ 16,906,384	\$ 16,017,260	105.55%	\$ 889,124
Investment Income	10,410	-	0.00%	10,410
TFCA Funds	450,000	461,964	97.41%	(11,964)
VRF Funds	3,019,143	2,682,375	112.55%	336,768
Other Project Grants	-	11,250	0.00%	(11,250)
<b>Total Revenues</b>	<b>\$ 20,385,937</b>	<b>\$ 19,172,849</b>		<b>\$ 1,213,088</b>
<b>Expenditures:</b>				
Salaries	45,791	168,862	27.12%	123,070
Office Expenses and Supplies	-	5,000	0.00%	5,000
General Administration	-	1,125	0.00%	1,125
VRF Ballot Costs	27,027	27,027	100.00%	-
VRF Pass Through Programming	584,108	1,530,000	38.18%	945,892
Programming Funds	145,556	981,270	14.83%	835,713
Measure B Programs Management	115,233	247,004	46.65%	131,771
Transportation Planning	0	-	0.00%	(0)
Measure B Grant Awards	755,160	1,039,370	72.66%	284,210
Measure B Passthrough	15,819,281	15,023,211	105.30%	(796,070)
<b>Total Expenditures</b>	<b>\$ 17,492,157</b>	<b>\$ 19,022,868</b>		<b>\$ 1,530,711</b>
<b>Net revenue over / (under) expenditures</b>	<b>\$ 2,893,780</b>	<b>\$ 149,981</b>		

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**ACCMA Exchange Fund  
Revenue/Expenditures  
Actual vs Budget  
as of September 30, 2012**

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
<b><u>REVENUE</u></b>				
Exchange Program Funds	\$ -	\$ 1,237,500	0.00%	\$ (1,237,500)
Interest Revenue	5,234	-	100.00%	5,234
<b>TOTAL REVENUE</b>	<b>\$ 5,234</b>	<b>\$ 1,237,500</b>		<b>\$ (1,232,266)</b>
<b><u>EXPENDITURES</u></b>				
Salaries	-	12,837	0.00%	12,837
Programming Funds	542,991	657,450	82.59%	114,459
<b>TOTAL EXPENDITURES</b>	<b>542,991</b>	<b>\$ 670,287</b>		<b>\$ 127,296</b>
Net revenue over / (under) expenditures	<b>\$ (537,757)</b>	<b>\$ 567,214</b>		

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**Alameda CTC Capital Fund  
Revenues/Expenditures  
Actual vs Budget  
as of September 30, 2012**

**Attachment D**

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
<b>REVENUE</b>				
Sales Tax Revenues	\$ 11,317,963	\$ 10,722,740	105.55%	\$ 595,223
Investment Income	434,628	293,750	147.96%	140,878
Rental Income	1,572	-	0.00%	1,572
Other Income	12,820	-	0.00%	12,820
TFCA Funds	30,541	31,250	97.73%	(709)
VRF Funds	47,791	94,845	50.39%	(47,054)
Exchange Program Funds	-	133,750	0.00%	(133,750)
ACTIA Measure B	695,822	4,730,455	14.71%	(4,034,633)
ACTA Measure B	-	75,000	0.00%	(75,000)
CMAQ Funds	19,825	62,500	31.72%	(42,675)
Other Capital Project Grants	3,288,791	9,417,544	34.92%	(6,128,753)
<b>Total Revenues</b>	<b>\$ 15,849,753</b>	<b>\$ 25,561,834</b>		<b>\$ (9,712,081)</b>
<b>EXPENDITURES</b>				
<b>Administration</b>				
Salaries and Benefits	93,849	98,171	95.60%	4,322
Office Expenses and Supplies	1,676	2,031	82.51%	355
General Administration	99,833	144,749	68.97%	44,917
Building Relocation Reserve	-	15,625	0.00%	15,625
Commission Mtg. Per Diems	1,509	6,174	24.45%	4,664
Project Management Services	265,540	439,814	60.38%	174,274
Other Expenses	718	6,250	11.49%	5,532
<b>Capital Projects</b>				
<b>ACTA</b>				
Capital Expenditures	5,833	50,000	11.67%	44,168
I-800 Mod. Rte. 262-Mission Bl	-	161,000	0.00%	161,000
E/W Connector Proj. In N. Frem	55,138	5,000,000	1.10%	4,944,862
Rte. 238 Corridor Improvement	4,368,442	3,250,000	134.41%	(1,118,442)
I-580/Redwood Road Interchange	-	75,000	0.00%	75,000
I-580, 238 and 880 Corr Stdy	-	243,750	0.00%	243,750
Central Alameda County Freeway	-	437,500	0.00%	437,500
<b>ACTIA</b>				
Altamont Cmtr Expr (ACE) Rail	777,543	1,612,750	48.21%	835,207
BART Extension to Warm Springs	2,662,351	7,750,000	34.35%	5,087,649
BART Oakland-Airport Connector	-	12,000,000	0.00%	12,000,000
Union City Intermodal Station	-	945,675	0.00%	945,675
A.C. Transit-San Pablo, Tgph C	-	750,000	0.00%	750,000
I-680 Expr. Ln. Impr. Rte. 84	730,897	2,295,000	31.85%	1,564,103
Iron Horse Trail	-	125,000	0.00%	125,000
I-880/Brdwy-Jcksn St.	-	625,000	0.00%	625,000
I-580 Interchange Improvements	91,110	75,000	121.48%	(16,110)
Lwllng Ave./E Lwllng Ave. Wide	-	412,750	0.00%	412,750
I-580 Aux. Lane (Sta Rita Rd)	-	469,527	0.00%	469,527
I-880/State Rte. 92 Rlv. Rte.	184,503	937,500	19.68%	752,997
Westgate Pkwy exit - Stg 1	-	537,409	0.00%	537,409
E. 14th St./Hesp. Blvd./150 St.	174,129	471,500	36.93%	297,371
I-238 widng-Sn Lndro & Uinc.	2,633	9,861	26.70%	7,228
I-680/I-880 cross conn studies	-	110,629	0.00%	110,629
Isabel-Route 84/I-580 I/C	725,000	1,789,118	40.52%	1,064,118
Route 84 Expressway	43,918	2,750,102	1.60%	2,706,184

**Alameda CTC Capital Fund  
Revenues/Expenditures  
Actual vs Budget  
as of September 30, 2012**

	YTD Actuals	YTD Budget	% Used	Favorable (Unfavorable) Variance
Dumbarton Corridor Improvement	35,653	855,191	4.17%	819,538
I-580 Cordr/BART Livermore Stu	-	500,000	0.00%	500,000
I-80 Integrated Corridor Mobility	-	185,477	0.00%	185,477
I-880 Corridor Improvements	-	155,964	0.00%	155,964
CWTP/TEP Development	-	12,500	0.00%	12,500
Studies at Congested Seg/Loc on CMP	-	200,000	0.00%	200,000
<b>ACCMA</b>				
I-680 HOT Lane	127,816	2,251,695	5.68%	2,123,878
Center to Center	17,996	59,226	0.00%	41,230
I-880 North Safety Improvement	686,150	2,221,448	30.89%	1,535,298
I-580 East Bound HOV Lane	776,864	4,605,425	16.87%	3,828,560
I-680 NB HOV/Express Lane	292,648	1,526,420	19.17%	1,233,772
I-580 ROW Preservation	1,531	159,776	0.96%	158,245
I-580 WB HOV/HOT Design	190,768	2,584,186	7.38%	2,393,418
Altamont Commuter Express	94,387	1,768,560	5.34%	1,674,173
I-880 Southbound HOV Lane	96,971	1,673,099	5.80%	1,576,128
I-580 PSR at 106th EB Off-Ramp	-	38,849		
Webster St. SMART Corridor	32,303	561,760	5.75%	529,457
I-880 Marina Blvd. Interc	764	-	0.00%	(764)
I-580 Landscaping	-	197,691	0.00%	197,691
I-80 Gilman Interchange Improvements	28,114	464,126	6.06%	436,012
I-680/I-880 Cross Connector PSR	2,078	89,000	0.00%	86,922
I-80 Integrated Corridor Mobility	1,496,530	5,119,446	29.23%	3,622,916
Caldecott Tunnel	183,304	376,108	48.74%	192,804
Smart Corridors Operation and Management	54,546	235,355	23.18%	180,809
<b>Total Expenditures</b>	<b>\$ 14,403,044</b>	<b>\$ 69,438,184</b>		<b>\$ 54,996,291</b>
<b>Net revenue over / (under) expenditures</b>	<b>\$ 1,446,709</b>	<b>\$ (43,876,351)</b>		

**Alameda County Transportation Improvement Authority**  
**Fiscal Year 2012-2013**  
**Budget Limitations Calculations**  
**As of September 30, 2012**

Net Sales Tax	\$ 29,554,290.27	A
Investments & Other Income	<u>70,887.79</u>	B
Funds Generated	29,625,178.06	C
Salaries & Benefits	205,017.19	D
Other Admin Costs	<u>511,537.77</u>	E
Total Admin Costs	\$ 716,554.96	F
Gross Admin Sal & Ben to Net Sales Tax	0.6937% = D/A	
Gross Admin Sal & Ben to Funds Generated	0.6920% = D/C	
Total Admin Costs to Net Sales Tax	2.4245% = F/A	

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Finance and Administration Committee

**SUBJECT:** **Approval of the ACCMA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012**

### Recommendation

It is recommended that the Commission approve and enter into the record the ACCMA's draft Audited Basic Financial Statements for the period July 1, 2011 through February 29, 2012 as audited by the certified public accounting firm of Vavrinek, Trine, Day & Co., LLP and all required reports.

The ACCMA audited financial statements for the period ended February 29, 2012 and support documents were reviewed in detail by the Alameda County Transportation Commission's (Alameda CTC) audit committee on October 29, 2012.

### Summary

Pursuant to the Joint Powers Agreement Alameda County Congestion Management Program and the California Government Code Section 6505, and due to the termination of the ACCMA as of February 29, 2012, an independent audit was conducted for the period July 1, 2011 through February 29, 2012 by Vavrinek, Trine, Day & Co., LLP. While all financial statements are the responsibility of management, the auditor's responsibility is to express an opinion on the financial statements based on their audit. As demonstrated in the Independent Auditor's Report on page 2 of the Draft Audited Basic Financial Statements, the ACCMA's auditors have reported what is considered to be an unqualified or clean audit through the period February 29, 2012.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the nonmajor fund of the Agency, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America."

### Financial Highlights:

- Total net assets were \$17.5 million, an increase of \$7.5 million or 75.8% over the prior fiscal year. This increase is due to collections beginning on the new Measure F Vehicle Registration Fee (VRF), passed by the voters in November 2010.
- Total revenues decreased by 33.4% from \$44.1 million for fiscal year 2010-11 to \$29.4 million for the period July 1, 2011 through February 29, 2012. Similarly, the ACCMA's

expenditures decreased by 49.7% from \$43.5 million in fiscal year 2010-11 to \$21.8 million for the period July 1, 2011 through February 29, 2012. These decreases can be attributed to the abbreviated reporting period for the period July 1, 2011 through February 29, 2012, the official termination date of the agency.

- Cash and investments (restricted and unrestricted) totaled \$30.7 million, an increase of \$6.7 million or 27.7% over the prior fiscal year. This increase also is due to collections beginning on the new Measure F VRF.
- The General Fund reported a net decrease in fund balance at February 29, 2012 of \$34 thousand or 13.6% from the fund balance at June 30, 2011.

### **Discussion**

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

Vavrinek, Trine, Day & Co., LLP also performed a Single Audit for the period July 1, 2011 through February 29, 2012. Per the Office of Management and Budget (OMB) Circular A-133, a single audit is required when a grantee spends \$500,000 or more in Federal funds in the fiscal year (in this case the eight month reporting period) to provide assurance to the federal government as to the management and use of these funds. ACCMA's federal expenditures were well over the threshold at \$2.2 million during the period July 1, 2011 through February 29, 2012 therefore a Single Audit was required. As demonstrated in the Independent Auditor's Report on page 44 of the Draft Audited Basic Financial Statements, the ACCMA's auditors have reported the following:

“In our opinion, the Agency complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the eight months ended February 29, 2012.

The Audit Committee met on October 29 to review the Draft Audited Basic Financial Statements and related reports for the eight months ended February 29, 2012.

### **Attachments**

Attachment A: ACCMA Basic Financial Statements for the Eight Months Ended February 29, 2012, Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards*, and Independent Auditors Report on Compliance with Requirements that Could Have a Direct and Material Effect on Each Major Program and on Internal Control Over Compliance in Accordance with *OMB Circular A-133*

Attachment B: Alameda County Congestion Management Agency (ACCMA) And Alameda County Transportation Improvement Authority (ACTIA) Audited Financial Statements Presentation

**ALAMEDA COUNTY CONGESTION  
MANAGEMENT AGENCY**

**ANNUAL FINANCIAL REPORT  
FEBRUARY 29, 2012**

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***FINANCIAL SECTION***

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## INDEPENDENT AUDITOR'S REPORT

Governing Board  
Alameda County Congestion Management Agency  
Oakland, California

We have audited the accompanying financial statements of the governmental activities, each major fund, and the nonmajor fund of the Alameda County Congestion Management Agency (the Agency) as of and for the eight months ended February 29, 2012, which collectively comprise the Agency's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the Agency's management. Our responsibility is to express opinions on these financial statements based on our audit.

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

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the nonmajor fund of the Agency, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America.

As explained in Note 1, the Alameda County Congestion Management Agency ceased operations on February 29, 2012 and has merged with the Alameda County Transportation Commission.

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

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

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

Palo Alto, California

, 2012

# **ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

## **MANAGEMENT'S DISCUSSION AND ANALYSIS**

**February 29, 2012**

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This section of the Alameda County Congestion Management Agency (the Agency) financial report presents a discussion and analysis of the Agency's financial performance for the period July 1, 2011 through February 29, 2012, the official termination date. Please read it in conjunction with the basic financial statements and related notes to those statements. The notes provide additional information that is essential for a full understanding of the data provided in the government-wide and fund financial statements.

### **Financial Highlights**

Financial highlights for the eight months ended February 29, 2012, include the following:

- Total net assets were \$17.5 million, an increase of \$7.5 million or 75.8% over the prior fiscal year. This increase is due to collections beginning on the new Measure F Vehicle Registration Fee (VRF), passed by the voters in November 2010.
- Total revenues decreased by 33.4% from \$44.1 million for fiscal year 2010-11 to \$29.4 million for the period July 1, 2011 through February 29, 2012. Similarly, the Agency's expenditures decreased by 49.7% from \$43.5 million in fiscal year 2010-11 to \$21.8 million for the period July 1, 2011 through February 29, 2012. These decreases can be attributed to the shortened reporting period for the period July 1, 2011 through February 29, 2012, the official termination date of the Agency.
- Cash and investments (restricted and unrestricted) totaled \$30.7 million, an increase of \$6.7 million or 27.7% over the prior fiscal year. This increase also is due to collections beginning on the new Measure F VRF.
- The General Fund reported a net decrease in fund balance at February 29, 2012 of \$34 thousand or 13.6% from the fund balance at June 30, 2011.

### **Overview of the Financial Statements**

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

- A Statement of Net Assets (presenting Government-wide assets and liabilities)
- A Statement of Activities (presenting Government-wide revenues and expenses)
- A Balance Sheet (presenting assets and liabilities for the General Fund, Capital Projects Fund, Exchange Fund and the Special Revenue Funds, which include the Vehicle Registration Fee (VRF) Fund and the Transportation for Clean Air (TFCA) Fund.
- A Statement of Revenues, Expenditures and Changes in Fund Balances - Governmental Funds (presenting revenues and expenditures by fund)
- A Schedule of Revenues, Expenditures and Changes in Fund Balance - Budget and Actual for the General Fund (presenting budget versus actual revenues and expenditures)
- A Schedule of Revenues, Expenditures and Changes in Fund Balance - Budget and Actual for the Vehicle Registration Fee Special Revenue Fund (presenting budget versus actual revenues and expenditures)



# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

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

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

The *fund financial statements* provide more detailed information by fund. A fund is a set of accounts used to control resources segregated for specific activities or purposes. The Agency has established funds to ensure resources are utilized for the purposes intended. Funds classified as major are required to be reported individually on the financial statements and funds classified as nonmajor can be grouped and reported in a single column. The Agency has only one fund which is not considered major, the TFCA Fund, therefore it also is presented separately on the fund financial statements.

The Agency has five funds: the General Fund, Capital Projects Fund, Exchange Fund, and two Special Revenue Funds, including the VRF Fund and the TFCA Fund.

*General Fund* – The Agency uses the General Fund as its chief operating fund. This fund is used for administering and preparing the Congestion Management Plan and for programming federal, state, and local funds to implement the Congestion Management Plan. Historically this fund was also used to implement projects in the Congestion Management Plan which were sponsored by the Agency; however, effective July 1, 2010, the Agency established the Capital Projects Fund for this purpose. The fund balance in the General Fund decreased by \$34 thousand leaving an ending fund balance of \$0.2 million at February 29, 2012.

*Capital Projects Fund* – This fund is used to account for capital projects designed to implement the Congestion Management Plan for Alameda County. The amount of capital project revenues and expenditures for the period July 1, 2011 through February 29, 2012 were \$16.9 million and \$16.4 million, respectively, with the difference transferred to the General Fund to help cover administration costs.

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

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The Agency has entered into the following exchange agreements through February 29, 2012:

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

These exchanges were recognized as deferred revenue in the government-wide financial statements at the time the Agency entered into exchange agreements, and are being recognized as revenue when qualifying expenses are incurred. \$63.8 million of these exchanged funds have been collected and \$59.1 million has been expended as of February 29, 2012.

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

The VRF funds are required to be used to implement transportation related programs and projects. 60% of net VRF collections are designated for local road improvements and repairs and will be allocated to the cities and County of Alameda automatically on a pass through basis by planning area based on a formula which was approved by the voters of Alameda County in Measure F on the November 2010 ballot. The remaining 40% designated for transit for congestion relief programs, local transportation technology programs, pedestrian, bicyclist access, and safety programs will be distributed on a discretionary basis by planning area. Subsequent to February 29, 2012, Master Program Funding Agreements were executed with the cities and County of Alameda to govern the flow of VRF funds. Pass through funding for local road improvements and repairs began flowing to the cities and County of Alameda in June 2012.

The TFCA funds are required to be used to implement projects aimed at reducing air pollution from motor vehicles. During the period July 1, 2011 through February 29, 2012, the Agency has provided funding to various sponsors for projects including, but not limited to, Livermore Amador Valley Transit Authority for the 111 Broadway shuttle, California State University East Bay for their second campus shuttle to Bay Area Rapid Transit (BART), various sponsors for the Route 9 Hacienda transit and the City of Berkeley and the Agency for the Webster Street SMART Corridor project.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

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### Government-wide Financial Analysis

#### *Net Assets*

As of February 29, 2012, total assets were \$61.9 million, an increase of \$2.9 million or 4.9% over June 30, 2011 with cash and investments accounting for \$30.7 million or 49.5% of this amount.

Total liabilities were \$44.4 million as of February 29, 2012, a decrease of \$4.6 million, or 9.4% from June 30, 2011. Similarly, accounts receivable were \$31.1 million as of February 29, 2012, a decrease of \$3.6 million, or 10.5%.

Net assets were \$17.5 million at February 29, 2012, an increase of \$7.5 million, or 75.8% over June 30, 2011. Of the total \$17.5 million in net assets at February 29, 2012, \$17.1 million is restricted for transportation planning and construction.

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

#### **Net Assets As of February 29, 2012 and June 30, 2011**

	<b>Governmental Activities</b>	
	<b>Feb. 29, 2012</b>	<b>2011</b>
Cash and investments	\$ 30,664,728	\$ 24,011,003
Receivables		
Accounts Receivable	31,082,285	34,715,297
Interest	20,116	22,606
Prepaid Items	-	24,149
Capital assets net of Depreciation		
Furniture and equipment	83,792	135,714
Building Improvements	47,582	85,646
Automobile	-	-
<b>Total assets</b>	<b>\$ 61,898,503</b>	<b>\$ 58,994,415</b>
Accounts payable & other liabilities	\$ 15,256,521	\$ 17,590,653
Deferred Revenue	29,157,022	31,455,871
<b>Total liabilities</b>	<b>44,413,543</b>	<b>49,046,524</b>
Invested in Capital Assets	131,374	221,360
Transportation Planning and Construction	17,138,020	9,476,992
Unrestricted	215,566	249,539
<b>Total net assets</b>	<b>17,484,960</b>	<b>9,947,891</b>
<b>Total liabilities and net assets</b>	<b>\$ 61,898,503</b>	<b>\$ 58,994,415</b>

## ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

### MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

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#### *Change in Net Assets*

Total revenues for the period July 1, 2011 through February 29, 2012 were \$29.4 million, a decrease of \$14.8 million or 33.4% from fiscal year 2010-11. Total revenues in fiscal year 2010-11 were \$44.1 million, a decrease of \$11.3 million or 20.3% from fiscal year 2009-10. Total expenses for the period July 1, 2011 through February 29, 2012 were \$21.8 million, a decrease of \$21.6 million or 49.7% from fiscal year 2010-11 and total expenses in fiscal year 2010-11 were \$43.5 million, a decrease of \$11.4 million or 20.8% from fiscal year 2009-10. The decreases in the period July 1, 2011 through February 29, 2012 can be attributed to the shortened reporting period.

The following are changes in the key activities that, for the most part, also have reported decreases for the period from the prior fiscal year due to the abbreviated reporting period:

- Capital grants and contributions during the period July 1, 2011 through February 29, 2012 were \$15.2 million, a decrease of \$13.9 million or 47.9% from fiscal year 2010-11.
- Operating grants and contributions for the period July 1, 2011 through February 29, 2012 were \$13.2 million, a decrease of \$0.6 million or 4.1% from fiscal year 2010-11.
- Administration expenses for the period July 1, 2011 through February 29, 2012 were \$3.7 million, a decrease of \$1.6 million or 30.7% from fiscal year 2010-11.
- Capital project expenses for the period July 1, 2011 through February 29, 2012 were \$14.8 million, a decrease of \$13.4 million or 47.6% from fiscal year 2010-11.
- Exchange Fund expenses for the period July 1, 2011 through February 29, 2012 were \$1.7 million, a decrease of \$5.3 million or 75.5% from fiscal year 2010-11 due to a reassessment of the program by management.
- Vehicle Registration Fee Fund expenses for the period July 1, 2011 through February 29, 2012 were \$0.3 million, a decrease of \$0.5 million or 66.6% from fiscal year 2010-11. Pass through distributions were not made from this fund until Master Program Funding Agreements had been executed by all participating agencies.
- Transportation for Clean Air Fund expenses for the period July 1, 2011 through February 29, 2012 were \$1.4 million, a decrease of \$0.7 million or 33.5% from fiscal year 2010-11.

In the period July 1, 2011 through February 29, 2012, revenues exceeded expenses by \$7.5 million, resulting in an increase to net assets, which were \$17.5 million at February 29, 2012. In fiscal year 2010-11, revenues exceeded expenses by \$0.7 million, resulting in an increase to net asset, which were \$9.9 million at June 30, 2011.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

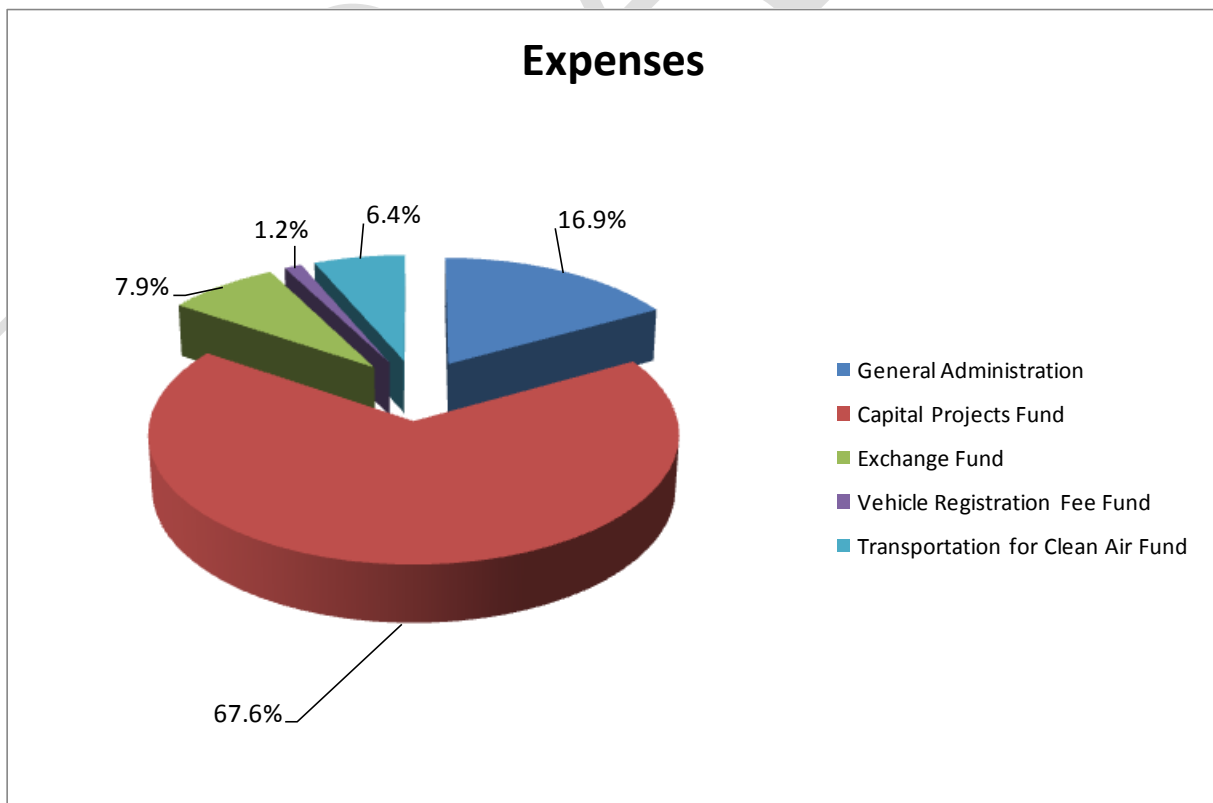
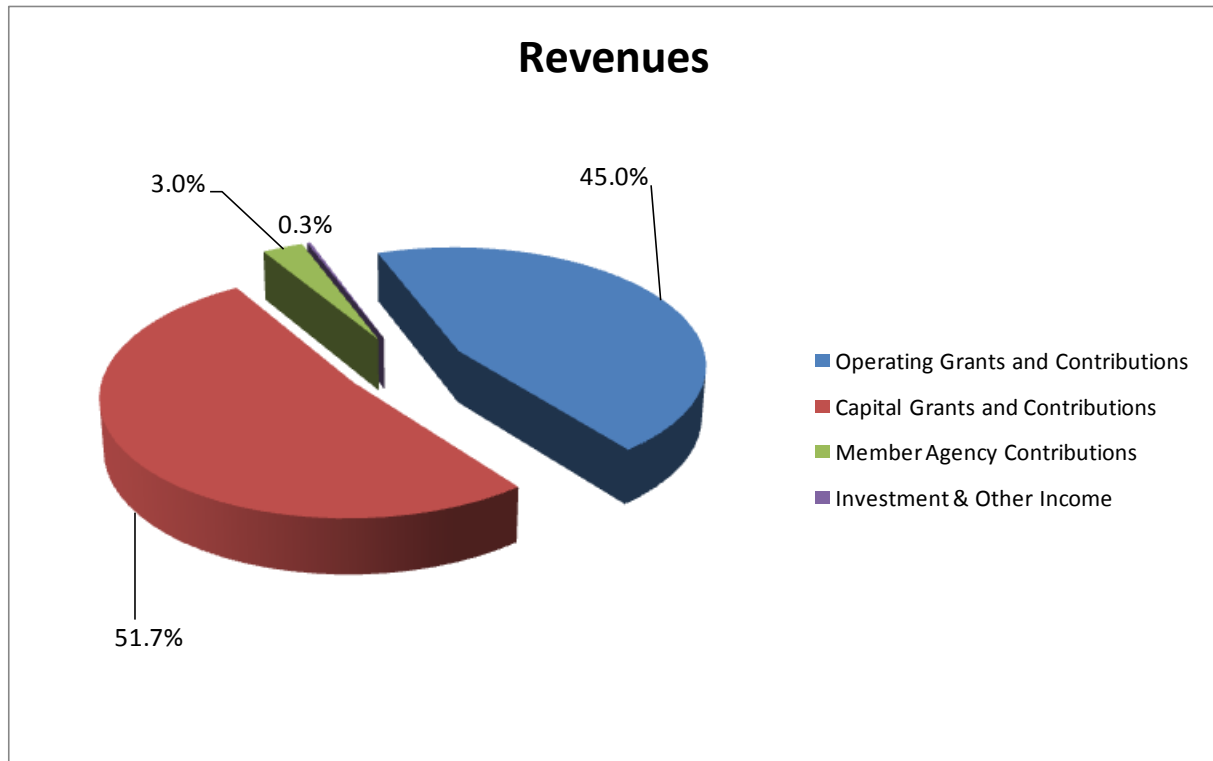
### Changes in Net Assets For the period ended February 29, 2012 and fiscal year ended June 30, 2011

	Governmental Activities	
	Feb. 29, 2012	2011
<b>Revenues</b>		
Program revenues:		
Operating grants and contributions	\$ 13,210,644	\$ 13,776,147
Capital grants and contributions	15,193,554	29,135,906
General revenues:		
Member Agency Contributions	877,245	1,095,338
Investment Income	78,887	119,194
Other Income	24,466	15,251
<b>Total revenues</b>	<b>29,384,796</b>	<b>44,141,836</b>
<b>Expenses</b>		
General Fund	3,693,354	5,332,963
Capital Projects Fund	14,757,293	28,172,961
Exchange Fund	1,719,972	7,032,662
Vehicle Registration Fee Fund	269,930	807,290
Transportation for Clean Air Fund	1,407,178	2,116,693
<b>Total expenses</b>	<b>21,847,727</b>	<b>43,462,569</b>
Change in net assets	7,537,069	679,267
Net assets, beginning of year	9,947,891	9,268,624
<b>Net assets, end of year</b>	<b>\$ 17,484,960</b>	<b>\$ 9,947,891</b>

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012



# **ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

## **MANAGEMENT'S DISCUSSION AND ANALYSIS**

**February 29, 2012**

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### **Governmental Funds Financial Analysis**

As of February 29, 2012, the Agency had \$17.4 million of fund balance in the governmental funds: \$0.2 million in the General Fund, \$4.6 million in the Exchange Fund, \$8.8 million in the VRF Fund, and \$3.7 million in the TFCA. This is an increase from June 30, 2011 of \$7.6 million or 78.4%. The increase is due to collections for the new VRF Special Revenue Fund.

The excess of revenues over expenditures in the capital projects fund of \$0.5 million during the period July 1, 2011 through February 29, 2012 is generated due to the reimbursement of overhead costs, which are billed to funding agencies as a percentage of salaries based on an Indirect Cost Allocation Rate audited and approved by Caltrans on an annual basis. This balance is transferred to the General Fund at the end of the period to cover costs incurred by the Agency to administer capital projects.

As of February 29, 2012, the Agency had \$29.4 million of revenues in the governmental funds: \$3.4 million in the General Fund, \$16.9 million in the Capital Projects Fund, \$1.7 million in the Exchange Fund, \$8.1 million in the VRF Fund, \$1.2 million in the TFCA Fund less \$2.0 million of inter-fund revenues which have been eliminated on a consolidated basis. This is a decrease from June 30, 2011 of \$14.8 million or 33.4%. This decrease is primarily due to the shortened reporting period.

As of February 29, 2012, the Agency had \$21.8 million of expenditures in the governmental funds: \$3.9 million in the General Fund, \$16.4 million in the Capital Projects Fund, \$1.7 million in the Exchange Fund, \$0.3 million in the VRF Fund, \$1.4 million in the TFCA Fund less \$2.0 million of inter-fund expenditures which have been eliminated on a consolidated basis. This is a decrease from June 30, 2011 of \$21.6 million or 49.8%. This decrease is primarily due to the abbreviated reporting period.

As of February 29, 2012, the Agency had \$54.1 million of assets in the governmental funds: \$8.2 million in the General Fund, \$34.7 million in the Capital Projects Fund, \$11.5 million in the Exchange Fund, \$9.1 million in the VRF Fund, \$4.9 million in the TFCA Fund less \$14.3 million of inter-fund receivables which have been eliminated on a consolidated basis. This is an increase over June 30, 2011 of \$3.0 million or 5.9% mostly due to collections for of the new VRF.

As of February 29, 2012, the Agency had \$36.8 million of liabilities in the governmental funds: \$8.0 million in the General Fund, \$34.7 million in the Capital Projects Fund, \$6.9 million in the Exchange Fund, \$0.3 million in the VRF Fund, \$1.2 million in the TFCA Fund less \$14.3 million of inter-fund payables which have been eliminated on a consolidated basis. This is a decrease from June 30, 2011 of \$4.6 million or 11.2%.

### **Capital Assets**

As of February 29, 2012, the Agency had \$131,374 invested in capital assets, including furniture, equipment and leasehold improvements. There were no capital asset additions or dispositions during the period July 1, 2011 through February 29, 2012.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

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**Table A-3**  
**The Alameda County Congestion Management Agency**  
**Capital Assets**  
**(net of accumulated depreciation)**  
**As of February 29, 2012 and June 30, 2011**

	<b>Feb. 29, 2012</b>	<b>2011</b>
Furniture and Equipment	\$ 83,793	\$ 135,714
Leasehold improvements	47,581	85,646
Total	<u>\$ 131,374</u>	<u>\$ 221,360</u>

### Comparison of Budget to Actual

General Fund - As shown on the Statement of Revenues, Expenditures, and Changes in Fund Balance - Budget (GAAP Basis) and Actual for the General Fund on page 36, the Agency began the period with a revenue budget of \$4.6 million less an expenditure budget of \$4.1 million. Throughout the period, the revenue budget was adjusted to \$5.4 million and the expenditure budget was adjusted to \$5.1 million. These changes were mostly due to a planned increase in efforts to complete the required Countywide Transportation Plan.

Actual revenues in the General Fund were under the final revenue budget by \$1.5 million or 28.4% and expenditures were under the final expenditure budget by \$1.2 million or 23.1% for the period. These variances are mostly related to planning and programming activities in the General Fund which are billed to funding agencies on a reimbursement basis. Since expenditures were below budget, consequently so were revenues. The disparity in the budgetary difference, with the revenues variance more than the expenditure variance, is because overhead recovery amounts are included as General Fund revenues in the budget. These amounts are invoiced to billing agencies at an indirect cost allocation rate audited and approved on an annual basis by Caltrans as a percentage of salaries and benefits costs. This methodology helps to reimburse the Agency for the cost of administering planning and programming activities.

### Summary of Known Facts, Decisions, or Conditions

Alameda County Transportation Commission - The Agency, along with the Alameda County Transportation Improvement Authority (ACTIA), formally became members of the Alameda County Transportation Commission (Alameda CTC), a Joint Powers Agency, on July 22, 2010. For a variety of reasons, including issues related to contracting with CalPERS and other required administrative tasks, the Agency and ACTIA continued to exist through February 29, 2012 when the former agencies were legally dissolved and the Alameda CTC became the successor agency. As part of the Joint Powers Agreement, the Agency and ACTIA delegated their authority to the Alameda CTC including all activities and responsibilities. The Alameda CTC approved the first consolidated Alameda CTC budget for fiscal year 2011-12 at its June 2011 Commission meeting, and the financial databases for the Agency and ACTIA were consolidated as of July 2011 in time for the new fiscal year.

Sunol Smart Carpool Lane - A Joint Powers Agreement (Agreement) between the Agency, ACTIA, and the Santa Clara Valley Transportation Authority established the Sunol Smart Carpool Lane (Lane), which created



# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## MANAGEMENT'S DISCUSSION AND ANALYSIS

February 29, 2012

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

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

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

*Countywide Transportation Plan* - A key Agency project during the period July 1, 2011 through February 29, 2012 has been working in conjunction with ACTIA towards developing a Countywide Transportation Plan (CWTP) for Alameda County. The CWTP is a long-range policy document that guides decisions and articulates the vision for the County's transportation system over a 25-year planning horizon. It lays the groundwork for an investment program that is efficient and productive as well as a strategy for meeting transportation needs for all users in Alameda County. It includes projects and other improvements for new and existing freeways, local streets and roads, public transit (paratransit, buses, trains, ferries), as well as facilities and programs to support bicycling and walking. The CWTP will serve as Alameda County's input into the Metropolitan Transportation Commission's Regional Transportation Plan (RTP) from which much of Alameda County's transportation funding is derived. The Agency and ACTIA staff engaged the community to provide input into the process to help prioritize transportation improvements. For the first time, the CWTP and RTP for the Bay Area will require Alameda County to meet greenhouse gas (GHG) emission reduction targets set by the State of California under SB 375. The target is a 7% GHG reduction by 2020, and a 15% GHG reduction by 2035. To address SB 375 requirements and other needs, the CWTP will address transit-oriented development and priority development areas; parking management; transportation systems management and goods movement; as well as transit connectivity, maintenance and operations.

### Requests for Information

This financial report is designed to provide a general overview of the Agency's finances for all those interested in government finances. Questions concerning any of the information provided in this report or requests for additional financial information should be addressed to Art Dao, Executive Director, or Patricia Reavey, Director of Finance, at 1333 Broadway, Suite 220, Oakland, CA 94612.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## STATEMENT OF NET ASSETS FEBRUARY 29, 2012

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### ASSETS

Cash and investments	\$ 5,430,749
Restricted cash and investments	25,233,979
Accounts receivable	31,082,285
Interest receivable	20,116
Capital assets, net of accumulated depreciation	131,374
<b>Total Assets</b>	<u>61,898,503</u>

### LIABILITIES

Account payable	944,054
Accrued liabilities	9,312,467
Deferred revenue	29,157,022
Loan payable	5,000,000
<b>Total Liabilities</b>	<u>44,413,543</u>

### NET ASSETS

Investment in capital assets	131,374
Restricted for planning and construction	17,138,020
Unrestricted	215,566
<b>Total Net Assets</b>	<u>\$ 17,484,960</u>

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## STATEMENT OF ACTIVITIES FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

Functions/Programs	Expenses	Program Revenues		Net (Expenses) Revenues and Changes in Net Assets
		Operating Grants and Contributions	Capital Grants and Contributions	Total Governmental Activities
<b>Governmental Activities:</b>				
Administration	\$ 2,813,012	\$ -	\$ -	\$ (2,813,012)
Congestion Management	19,034,715	13,210,644	15,193,554	9,369,483
<b>Total Governmental Activities</b>	<b>\$21,847,727</b>	<b>\$ 13,210,644</b>	<b>\$ 15,193,554</b>	<b>6,556,471</b>
General revenues and subventions:				
Member agency fees				877,245
Interest and investment earnings				78,887
Other revenues				24,466
<b>Subtotal, General Revenues</b>				<b>980,598</b>
<b>Change in Net Assets</b>				<b>7,537,069</b>
Net Assets - Beginning				9,947,891
Net Assets - Ending				<b>\$ 17,484,960</b>

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## GOVERNMENTAL FUNDS

### BALANCE SHEET

FEBRUARY 29, 2012

	General Fund	Capital Projects Fund	Exchange Fund	Vehicle Registration Fund	Nonmajor Transportation For Clean Air Fund	Interfund Eliminations	Total Governmental Funds
<b>ASSETS</b>							
Cash and investments	\$ 5,430,749	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,430,749
Restricted cash and investments	-	14,549,067	1,112,941	5,939,464	3,632,507	-	25,233,979
Accounts receivable	2,756,062	20,153,232	-	1,936,263	1,287,766	(2,704,340)	23,428,983
Interest receivable	1,618	11,387	1,493	3,258	2,360	-	20,116
Due from other funds	-	-	10,385,900	1,175,888	-	(11,561,788)	-
<b>Total Assets</b>	<b>\$ 8,188,429</b>	<b>\$ 34,713,686</b>	<b>\$ 11,500,334</b>	<b>\$ 9,054,873</b>	<b>\$ 4,922,633</b>	<b>\$ (14,266,128)</b>	<b>\$ 54,113,827</b>
<b>LIABILITIES AND FUND BALANCES</b>							
<b>Liabilities</b>							
Accounts payable	\$ 95,911	\$ 848,143	\$ -	\$ -	\$ -	\$ -	\$ 944,054
Accrued liabilities	666,662	7,763,634	2,105,495	304,595	1,176,421	(2,704,340)	9,312,467
Due to other funds	2,000,283	9,561,505	-	-	-	(11,561,788)	-
Deferred revenue	210,007	16,540,404	4,753,309	-	-	-	21,503,720
Loan payable	5,000,000	-	-	-	-	-	5,000,000
<b>Total Liabilities</b>	<b>7,972,863</b>	<b>34,713,686</b>	<b>6,858,804</b>	<b>304,595</b>	<b>1,176,421</b>	<b>(14,266,128)</b>	<b>36,760,241</b>
<b>Fund Balances</b>							
Restricted							
Transportation Fund for Clean Air	-	-	-	-	3,746,212	-	3,746,212
Vehicle registration	-	-	-	8,750,278	-	-	8,750,278
Assigned	-	-	4,641,530	-	-	-	4,641,530
Unassigned	215,566	-	-	-	-	-	215,566
<b>Total Fund Balances</b>	<b>215,566</b>	<b>-</b>	<b>4,641,530</b>	<b>8,750,278</b>	<b>3,746,212</b>	<b>-</b>	<b>17,353,586</b>
<b>Total Liabilities and Fund Balances</b>	<b>\$ 8,188,429</b>	<b>\$ 34,713,686</b>	<b>\$ 11,500,334</b>	<b>\$ 9,054,873</b>	<b>\$ 4,922,633</b>	<b>\$ (14,266,128)</b>	<b>\$ 54,113,827</b>

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## RECONCILIATION OF THE GOVERNMENTAL FUNDS BALANCE SHEET TO THE STATEMENT OF NET ASSETS FEBRUARY 29, 2012

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

Fund Balances on governmental funds Balance Sheet	\$ 17,353,586
Capital assets used in governmental activities are not financial resources and therefore are not reported as assets in the governmental funds.	131,374
Certain long-term receivables are recognized on the Statement of Net Assets, but because these receivables are not available as current resources, they are not recognized on the governmental funds' balance sheet.	7,653,302
Certain deferrals of revenue are recognized on the Statement of Net Assets, but because these deferrals of revenues are not available as current resources, they are not recognized on the governmental funds' balance sheet.	(7,653,302)
Net Assets on Statement of Net Assets	<u><u>\$ 17,484,960</u></u>

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## GOVERNMENTAL FUNDS

### STATEMENT OF REVENUES, EXPENDITURES

### AND CHANGE IN FUND BALANCES

FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

	General Fund	Capital Projects Fund	Exchange Fund	Vehicle Registration Fund	Nonmajor Transportation For Clean Air Fund	Interfund Eliminations	Total Governmental Funds
<b>REVENUES</b>							
Grant revenue							
MTC	\$ 1,180,107	\$ 3,817,878	\$ -	\$ -	\$ -	\$ -	\$ 4,997,985
CalTrans	453,895	15,887,893	-	-	-	-	16,341,788
TFCA	206,893	144,968	-	-	1,227,674	(351,861)	1,227,674
ACTIA	201,916	(5,936,394)	-	-	-	-	(5,734,478)
Other	353,559	1,424,177	1,719,972	-	-	-	3,497,708
Member agency fees	877,245	-	-	-	-	-	877,245
Exchange program funds	34,960	1,321,098	-	-	-	(1,356,058)	-
Vehicle registration fees	59,777	210,153	-	8,073,521	-	(269,930)	8,073,521
Investment income	(20,399)	62,345	8,812	14,706	13,423	-	78,887
Other	24,466	-	-	-	-	-	24,466
<b>Total Revenues</b>	<b>3,372,419</b>	<b>16,932,118</b>	<b>1,728,784</b>	<b>8,088,227</b>	<b>1,241,097</b>	<b>(1,977,849)</b>	<b>29,384,796</b>
<b>EXPENDITURES</b>							
Administration							
Salaries and benefits	1,801,900	182,394	-	-	-	-	1,984,294
Board operations	45,075	-	-	-	-	-	45,075
Travel and transportation	2,753	-	-	-	-	-	2,753
Office space	304,862	-	-	-	-	-	304,862
Office and related costs	174,678	-	-	-	-	-	174,678
Legal counsel	105,322	-	-	-	-	-	105,322
Annual audit	15,149	-	-	-	-	-	15,149
Professional services	53,305	-	-	-	-	-	53,305
Legislative advocacy	37,588	-	-	-	-	-	37,588
Congestion Management							-
Contractors	1,364,366	16,251,118	1,685,012	-	-	(1,321,098)	17,979,398
Administration	-	-	34,960	59,777	71,223	(165,960)	-
TFCA grant program	-	-	-	-	1,335,955	(280,638)	1,055,317
VRF grant program	-	-	-	210,153	-	(210,153)	-
<b>Total Expenditures</b>	<b>3,904,998</b>	<b>16,433,512</b>	<b>1,719,972</b>	<b>269,930</b>	<b>1,407,178</b>	<b>(1,977,849)</b>	<b>21,757,741</b>
<b>Excess (Deficiency) of Revenues Over Expenditures</b>	<b>(532,579)</b>	<b>498,606</b>	<b>8,812</b>	<b>7,818,297</b>	<b>(166,081)</b>	<b>-</b>	<b>7,627,055</b>
<b>Other Financing Uses</b>							
Operating Transfers In	498,606	-	-	-	-	-	498,606
Operating Transfer Out	-	(498,606)	-	-	-	-	(498,606)
<b>NET CHANGE IN FUND BALANCES</b>	<b>(33,973)</b>	<b>-</b>	<b>8,812</b>	<b>7,818,297</b>	<b>(166,081)</b>	<b>-</b>	<b>7,627,055</b>
<b>Fund Balances - Beginning</b>	<b>249,539</b>	<b>-</b>	<b>4,632,718</b>	<b>931,981</b>	<b>3,912,293</b>	<b>-</b>	<b>9,726,531</b>
<b>Fund Balances - Ending</b>	<b>\$ 215,566</b>	<b>\$ -</b>	<b>\$ 4,641,530</b>	<b>\$ 8,750,278</b>	<b>\$ 3,746,212</b>	<b>\$ -</b>	<b>\$ 17,353,586</b>

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## RECONCILIATION OF THE GOVERNMENTAL FUNDS STATEMENT OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES TO THE STATEMENT OF ACTIVITIES FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

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

Net Change in Fund Balances on governmental funds Statement of Revenues, Expenditures and Changes in Fund Balances	\$ 7,627,055
Capital outlays to purchase or build capital assets are reported in the governmental funds as expenditures, however for governmental activities those costs are capitalized in the Statement of Net Assets and allocated over the estimated useful life of the asset as depreciation.	(89,986)
Change in Net Assets on Statement of Activities	<u>\$ 7,537,069</u>

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

# **ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

## **NOTES TO FINANCIAL STATEMENTS**

**FEBRUARY 29, 2012**

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### **NOTE 1 - REPORTING ENTITY**

In June 1990, California voters approved a fuel tax increase as part of Propositions 111 and 108. To receive a share of the fuel tax revenues, local governments must conform to a congestion management program (CMP). The Alameda County Congestion Management Agency (the Agency) was created by a joint powers agreement dated February 20, 1991 between Alameda County, all fourteen cities in the County and four transit operators (the Member Agencies). The Agency is responsible for preparing, adopting, revising, amending, administering, and implementing the CMP and the countywide transportation plan (CWTP) for Alameda County pursuant to Section 65088 et seq. of the Government Code, and providing other transportation planning and programming functions. The agreement provides for the sharing of the costs among the member agencies.

As an extension of its legislatively mandated activities, the Agency also initiates a variety of studies, programs, and projects that serve to implement the CMP and CWTP. Current and future studies include:

- PDA Investment and Growth Strategy
- Complete Streets Policy
- Countywide Transit Plan
- Countywide Goods Movement Plan
- Countywide Transportation Demand Management/Parking Management Plan
- Automobile Trips Generated Feasibility Study, and
- Countywide Travel Demand Model Update

In addition, the Agency works closely with the California Department of Transportation, the Alameda County Transportation Improvement Authority (ACTIA), and other Federal, state and local agencies to implement projects and programs aimed at reducing congestion and improving mobility and air quality in Alameda County. Examples of projects currently being sponsored by the Agency include the following:

- I-80 Integrated Corridor Mobility Project
- I-880 North Safety & Operations Improvements
- I-880 Southbound High Occupancy Vehicle (HOV) Lane
- I-580 Eastbound Express and Auxiliary Lanes
- I-580 East & Westbound HOV Lanes
- I-680 Northbound Express Lane & HOV Project

Each of the projects and programs sponsored by the Agency is funded through one or more federal, state or local grants. The Agency is reimbursed from the grants as eligible program or project implementation costs are incurred. Administrative and staff costs associated with implementing the legislatively mandated activities, such as the CMP and CWTP, as well as the programming of federal and state transportation funds through the Metropolitan Transportation Commission (MTC) and the California Transportation Commission are met through planning, programming and monitoring grants, Member Agency annual dues, and other local funding sources.

The board is composed of one representative from each of the four transit operators, two representatives from the County of Alameda, one representative per hundred-thousand populations from each city in the County, and one representative from the Bay Area Air Quality Management District. Each city's representation is adjusted following each national census.



# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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On March 25, 2010, the Agency, ACTIA, the County of Alameda, the fourteen cities within Alameda County, the Bay Area Rapid Transit District and the Alameda-Contra Costa Transit District entered into a Joint Powers Agreement (JPA). On June 24, 2010, the Boards of ACTIA and the Agency gave the final approval that created a joint powers agency, pursuant to the California Joint Exercise of Powers Act, known as the Alameda County Transportation Commission (Alameda CTC). On July 22, 2010, the Agency along with ACTIA joined the Alameda CTC joint powers authority.

On February 29, 2012, the Agency's and ACTIA's Boards of Directors at a joint meeting adopted a resolution to transfer all of the Agency's and ACTIA's assets, responsibilities, functions, and liabilities to Alameda CTC effective March 1, 2012. Therefore, these financial statements purport the financial activities and the financial position of the Agency as of and for the eight months ended February 29, 2012.

Alameda CTC's mission is to plan, fund and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County. The Alameda CTC has all of the powers, functions, and responsibilities of both agencies along with certain additional powers as described in the JPA.

### NOTE 2 – SIGNIFICANT ACCOUNTING POLICIES

#### Government-wide and Fund Financial Statements

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

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

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

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

The Agency uses the following major funds:

**General Fund** - The General Fund is the general operating fund of the Agency. Its purpose is to account for all financial resources and transactions not accounted for in another fund.

**Capital Projects Fund** - The Capital Projects Fund accounts for the proceeds and expenditures related to the construction of capital improvement projects implemented to reduce congestion or improve mobility in Alameda County. The Agency does not retain ownership of these improvements. They are transferred to the sponsor or managing jurisdiction upon completion.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS

FEBRUARY 29, 2012

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

**Vehicle Registration Fee Fund** - The Vehicle Registration Fee Fund accounts for the Measure F Vehicle Registration Fee (VRF) Program approved by the voters in November 2010. Collection of the \$10 per year per vehicle registration fee started with vehicle registrations due to the Department of Motor Vehicles in the first week of May 2011. The goal of the VRF program is to sustain the County's transportation network and reduce traffic congestion and vehicle related pollution.

The Agency uses the following nonmajor fund:

**Transportation for Clean Air Fund** - The Transportation for Clean Air (TFCA) Fund accounts for a four-dollar fee imposed in Alameda County per vehicle registration to support projects of the Bay Area Air Quality Management District (BAAQMD). Of the total collections, BAAQMD passes 40% of the proceeds to the Agency who is tasked with "programming" those revenues for various projects. The Transportation for Clean Air Fund accounts for this activity.

### Measurement Focus and Basis of Accounting

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

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

### Net Assets

Net assets are reported in the following categories:

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

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

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### Fund Balances

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

The fund balances are classified in accordance with Governmental Accounting Standards Board Statement Number 54 (GASB 54), *Fund Balance Reporting and Governmental Fund Type Definitions*, which requires the classification of fund balances based on spending constraints imposed on the use of resources. For programs with multiple funding sources, the Agency prioritizes and expends funds in the following order: Restricted, Assigned, and Unassigned. Each category in the following hierarchy is ranked according to the degree of spending constraint. The classifications are discussed in more detail below:

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

**Assigned** – The assigned fund balance classification reflects amounts that the Agency intends to be used for specific purposes. Assignments may be established either by the governing body or by a designee of the governing body, and are subject to neither the restricted nor the committed levels of constraint.

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

In circumstances where an expenditure is made for a purpose for which amounts are available in multiple fund balance classifications, fund balance is usually depleted in the order of restricted, committed, assigned, then unassigned.

All of the restricted and assigned funds are required to be used for projects and programs designed to reduce congestion or improve mobility in Alameda County.

### Use of Estimates

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

### Investments

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

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### Employee Benefits

Agency policy permits employees to carry up to ten weeks of accrued vacation from year to year depending on the number of years they have been employed by the agency. The accrual for compensated absence as of February 29, 2012 is \$119,333. Sick leave benefits do not vest.

### Budget

The Agency annually adopts a budget for its General Fund using the modified accrual basis of accounting. Expenditures that exceed the total approved budget are not permitted without Board approval.

The Executive Director is authorized to approve expenditures in excess of budgeted line items within the three primary expenditure categories (personnel, consultants/contractors, and other operating costs) in any amount as long as the total budget within each of the three expenditure categories is not overspent. Appropriation authority lapses at the end of the fiscal year.

### NOTE 3 - CASH AND INVESTMENTS

As of February 29, 2012, the Agency's cash and investments were as follows:

Cash in banks	\$ 1,198,948
Investment in State Treasurer's Investment Pool	29,465,780
Total cash and investments	<u>\$ 30,664,728</u>

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

The Agency mitigates the risk of investment loss as follows:

**Credit Risk** — Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. The Agency's investment policy allows investing only in investments carrying minimum credit ratings from A to AA from one or two nationally recognized rating agencies, depending on the investment, and requires diversification in the investment portfolio. The investments in the LAIF are not rated as of February 29, 2012.

**Custodial Credit Risk, Deposits** — Custodial credit risk for deposits is the risk that in the event of a bank failure, deposits may not be returned to the Agency. The Agency was not exposed to custodial credit risk because its deposits are in accounts fully insured by the Federal Deposit Insurance Corporation.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS

FEBRUARY 29, 2012

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**Custodial Credit Risk, Investments** — Custodial credit risk for investments is the risk that, in the event of the failure of the counterparty, the Agency will not be able to recover the value of its investments or collateral securities that are in possession of an outside party. The Agency has a custodial credit risk exposure of \$29,465,780 because the related securities are uninsured, unregistered and held by the State's LAIF which is also the counterparty for these securities.

**Concentration of Credit Risk** — Concentration of credit risk is the risk attributable to the magnitude of investment with any single issuer. The Agency's investment policy limits investments in any one issuer to 5% of the portfolio except for government agency obligations which is limited to 35%, repurchase agreements which is limited to 25-50% depending on the length of maturity, and LAIF for which the policy allows up to the maximum amount permitted by law. There were no investments in any single issuer exceeding 5% of the Agency's portfolio.

**Interest Rate Risk** — Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity is of an investment, the greater its sensitivity will be to fair value adjustments due to changes in market interest rates. The Agency manages its exposure to interest rate risk by investing in the state pool LAIF. As reported by the State Treasurer, the weighted average maturity of the LAIF was 239 days on February 29, 2012.

**Agency's Investment Policy** — The Agency's investment policy limits investments in any one issuer to 5% of the portfolio except for government agency obligations (35%), repurchase agreements (25% to 50% depending on the length of time until maturity), and LAIF which policy allows up to the maximum amount permitted by law. Investments authorized by the Agency's investment policy include:

- United States Treasury Bills and Notes
- Federal Agency Obligations
- State of California and Local Agency Debt Securities
- Bankers' Acceptance
- Commercial Paper
- Repurchase Agreements
- Medium Term Corporate Notes
- Savings/Money Market Accounts
- Mortgage & Asset-Backed Obligations
- Certificates of Deposit
- Mutual Funds
- California Local Agency Investment Fund

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### NOTE 4 – CAPITAL ASSETS

Property and equipment costing \$5,000 or more is capitalized on the Statement of Net Assets at historical cost. Capital assets are depreciated using the straight-line method over the following estimated useful lives: office furniture and equipment, five years; building improvements, remaining term of lease agreement; and automobile, five years.

Capital asset balances at February 29, 2012, and activity during the eight months were as follows:

	<u>July 1, 2011</u>	<u>Additions</u>	<u>February 29, 2012</u>
Capital assets being depreciated			
Office furniture and equipment	\$ 540,566	\$ -	\$ 540,566
Building improvement	322,529	-	322,529
Depreciable capital assets	<u>863,095</u>	<u>-</u>	<u>863,095</u>
Less Accumulated Depreciation			
Office furniture and equipment	404,852	51,921	456,773
Building improvement	236,883	38,065	274,948
Total Accumulated Depreciation	<u>641,735</u>	<u>89,986</u>	<u>731,721</u>
Capital Assets, Net	<u>\$ 221,360</u>	<u>\$ (89,986)</u>	<u>\$ 131,374</u>

### NOTE 5 – EXCHANGE PROGRAM

In May 2000, the Board adopted a Local Funds Exchange Program to provide local funds to agencies for use in projects that either do not have the ability to make use of state or federal funds or would face unacceptable delays, cost increases, or undue hardships if state or federal funds were utilized. The member agencies include Alameda County, all fourteen cities in the County and four transit operators.

The Agency has entered into agreements with several local agencies to exchange State Transportation Improvement Program funds with the other government's local funding for various transportation projects. The revenues received due to the exchange are treated for financial reporting purposes as deferred revenue. These deferred revenues are recognized as revenues at the time qualifying expenditures are incurred.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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The following is a list of the funds exchanged from other governments through February 29, 2012:

Alameda County Transportation Improvement Authority	\$ 2,300,000
Alameda-Contra Costa Transit	35,060,514
Bay Area Rapid Transit	8,100,000
City of Berkeley	259,560
City of Dublin	4,230,000
City of Fremont	5,983,256
City of Livermore	4,580,000
City of Union City	9,314,000
Metropolitan Transportation Commission	675,000
San Joaquin Regional Rail Commission	432,445
Santa Clara Valley Transportation Authority	558,000
Total Exchanged Funds	<u>71,492,775</u>
Total expenditures incurred:	
Period ended February 29, 2012	(1,719,972)
Previous years	<u>(57,366,192)</u>
Total deferred revenue - accrual basis	12,406,611
Less amount not yet collected	<u>(7,653,302)</u>
Total deferred revenue- modified accrual	<u><u>\$ 4,753,309</u></u>

### NOTE 6 - EMPLOYEE RETIREMENT PLAN

All employees are eligible to participate in the California Public Employees Retirement System (CalPERS), a cost-sharing multiple-employer defined benefit pension plan which acts as a common investment and administrative agent for its participating member employers. CalPERS provides retirement, disability and death benefits to plan members based on the participant's age, years of service and final compensation. Employees vest after five years of service and can receive the maximum benefit of 2.5% of annual salary at age 55. Employees participate in the Miscellaneous Employee Plan risk pool. Benefit provisions under the plan are established by State statute and Agency resolution.

The Agency is required to contribute the funding requirement amounts for the plan which are determined as of each June 30 on an actuarial basis by CalPERS. Employees have an obligation to contribute eight percent of their salary to the plan; however, the Agency contributed seven percent of this contribution on the employee's behalf through January 31 and five percent through February 29.

CalPERS determines contribution requirements using a modification of the Entry Age Normal Method. Under this method, the Agency's total normal benefit cost for each employee from date of hire to date of retirement is expressed as a level percentage of the related total payroll cost. Normal benefit cost under this method is the level amount the Agency must pay annually to fund an employee's projected retirement benefit. The actuarial assumptions used to compute contribution requirements are also used to compute the pension benefit obligation.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS

**FEBRUARY 29, 2012**

CalPERS uses the fifteen-year smoothed market method of valuing the plan's assets. An investment rate of return of 7.75% is assumed, a projected salary increase ranging from 3.25% to 14.45%, inflation of 3.0% and payroll growth of 3.25%. Annual salary increases are assumed to vary by duration of service. The Agency's unfunded actuarial accrued liability is being amortized as a level percentage of payroll over a closed 20-year period.

The following table shows the Agency's required contributions and percentage contributed for the current year and each of the preceding two years.

Fiscal Period Ended	Annual Pension Cost (APC)	Percentage of APC Contributions	Net Pension Obligation
February 29, 2012	\$ 286,550	100%	\$ -
June 30, 2011	491,163	100%	-
June 30, 2010	559,040	100%	-

Audited annual financial statements are available from CalPERS at P.O. Box 942709, Sacramento, CA 94229-2709 or online at <http://www.calpers.ca.gov/>.

### NOTE 7 – COMMITMENTS AND CONTINGENCIES

#### Operating Lease

The Agency has entered into an operating lease agreement with CIM/Oakland 1333 Broadway LP through November 30, 2013. This agreement does not contain a purchase option. Future minimum lease payments under these agreements are as follows:

Year Ending June 30,	Lease Payment
2013	\$ 475,198
2014	121,656
Total	<u>\$ 596,854</u>

#### Grants

The Agency receives financial assistance from federal and state agencies in the form of grants. The disbursement of funds received under these programs generally requires compliance with terms and conditions specified in the grant agreements and are subject to audit by the grantor agencies. Any disallowed claims resulting from such audits could become a liability of the General Fund or other applicable funds. However, in the opinion of management, any such disallowed claims will not have a material adverse effect on the overall financial position of the Agency at February 29, 2012.

#### Litigation

The Agency is involved in various litigation arising from the normal course of business. In the opinion of management and legal counsel, the disposition of all litigation pending is not expected to have a material adverse effect on the overall financial position of the Agency at February 29, 2012.



# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### Construction

The Agency has entered into contracts with various contractors for the construction phase of capital projects. As of February 29, 2012, the total outstanding commitments (not paid or accrued) are \$8.8 million. The terms range from February 29, 2012 through June 30, 2013 (or acceptance of the work, whichever is earlier).

### Funding Agreements

**Exchange Fund** - The Agency has entered into Exchange agreements with several local governments to provide funding for transportation projects. As of February 29, 2012, the remaining project costs to be paid by the Agency totaled approximately \$32.0 million.

**Capital Projects Fund** - The Sunol Smart Carpool Lane Joint Powers Authority (Sunol JPA) is a joint powers authority, organized in February 2006 pursuant to a Joint Exercise of Powers Resolution (Resolution) among the Agency, ACTIA, and the Santa Clara Valley Transportation Authority. The Resolution was entered into pursuant to the Government Code of the State of California, commencing with Section 6500. The Sunol JPA was formed to plan, design, construct, and administer the operation of a value pricing high-occupancy vehicle program on the Sunol Grade segment of southbound Interstate-680 in Alameda and Santa Clara Counties.

The Sunol JPA was formed as a result of a planning study completed by the Agency and evolved into a capital project. The lane went into operations on September 20, 2010. The Agency was designated the managing agency for the Sunol JPA and has provided administrative, accounting and other support since its inception. The Agency has agreed to cover the costs of operations for the Sunol JPA during the ramp up and warranty period of operations as part of its original capital project through June 30, 2012. During the period of July 1, 2011 through February 29, 2012, the Agency incurred administrative and operating expenses on behalf of the Authority as follows:

Bay Area Toll Authority transaction fees	\$ 84,415
California Highway Patrol enforcement	80,632
Insurance	18,760
ACCMA staff time	32,543
Legal fees	21,240
Utilities	4,396
Financial Audit	8,915
Other	9,073
	<u>\$ 259,975</u>

### Insurance

The District is exposed to various risks of loss related to torts; theft of, damage to and destruction of assets; errors and omissions; injuries to employees and natural disasters.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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The following is a summary the Agency's insurance coverage:

Type of Coverage	Deductable	Coverage up to
General liability	\$ 250	\$ 2,000,000 aggregate
General liability - Fire	250	300,000 aggregate
General liability - Medical	250	10,000 aggregate
General liability - Automobile	250	1,000,000 aggregate
Property	250	513,700 per occurrence
Workers' compensation	-	1,000,000 aggregate
Employment practices	35,000	2,000,000 per occurrence
Director & officers	25,000	2,000,000 per occurrence
Crime	10,000	1,000,000 aggregate
Umbrella/excess	10,000	2,000,000 aggregate

There were no claims in excess of insured amounts during the past three years.

### NOTE 8 – INTERFUND ACTIVITY

As of February 29, 2012, the General Fund's interfund liability due to the Exchange Fund for \$824,395 and the Capital Projects Fund interfund liability due to the Exchange Fund for \$9,561,505 resulted from cash advances for project expenditures. This arrangement is necessary because project funding is received on a reimbursement basis. These amounts will be repaid from revenue received from funding agencies as the Agency is reimbursed for project expenditures.

The Agency also experiences interfund activity when one of the special revenue funds or the Exchange Fund provides funding for a project or program. As of February 29, 2012, the General Fund and the Capital Projects Fund had revenues of \$206,893 and \$144,968, respectively, from the TFCA Fund, \$34,960 and \$1,321,098, respectively, from the Exchange Fund and \$59,777 and \$210,153, respectively, from the VRF Fund. As of February 29, 2012, \$2,704,340 of revenues had not yet been paid by the TFCA, Exchange and VRF Funds to the General and Capital Projects Funds. Since the TFCA, Exchange and VRF Funds have already recorded all funds received as revenues and all funding requirements as expenditures, these interfund revenues and related expenditures in the General Fund and the Capital Projects Fund are included in the elimination column of the fund financial statements and are eliminated from the government-wide financial statements.

### NOTE 9 – LOAN

The Agency entered into a loan agreement with ACTIA dated March 24, 2011, whereby ACTIA agreed to loan up to \$25 million from its Alameda County Transportation Authority (ACTA) Capital Projects Fund, if needed. The outstanding loan payable to ACTIA at February 29, 2012, was \$5 million. The loan carries no interest and is repayable to ACTIA when the Agency is in a position to do so, which is expected to be during the fiscal year 2014-15 when current capital projects are through the construction phase. The Agency may repay the loan, in whole or in part, at anytime without penalty.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

### NOTE 10 – POST EMPLOYMENT BENEFITS OTHER THAN PENSIONS

The Agency participates in the California Employers' Retirement Benefit Trust (CERBT), an agent multiple-employer defined benefit postemployment healthcare plan administered by CalPERS. The CERBT provides lifetime healthcare benefits to retired employees and their eligible family members. These benefit provisions were established and may be amended by the Agency. Agency contributions for retirees will never exceed the amount contributed on behalf of active employees. As of February 29, 2012, the Agency had four eligible retirees.

As of February 1, 2012, the Agency offers retiree health benefits under a Retiree Health Reimbursement Arrangement. Retirees are eligible for benefits if they retire from the Agency under CalPERS within 120 days of employment and have ten years of credited service with CalPERS including at least five years with the Agency. Agency contributions are based on years of public service and the following formula: 50% after ten years with an additional 5% for each additional year of service reaching a maximum of 100% after twenty years of service.

The Agency's annual OPEB cost (expense) is calculated based on the annual required contribution (ARC) of the employer, an amount actuarially determined in accordance with the parameters of GASB Statement No. 45. The ARC represents a level of funding that, if paid on an ongoing basis, is projected to cover normal cost each year and amortize any unfunded actuarial accrued liabilities (UAAL) (or funding excess) over a period not to exceed thirty years. The funding policy established by the Agency is to annually contribute the entire ARC amount. The following table shows the components of the Agency's annual OPEB cost for the year, the amount actually contributed to the Plan, and changes in the Agency's net OPEB obligation to the Plan:

Normal Cost at February 29, 2012	\$ 65,510
Amortization of UAAL	15,516
Annual Required Contribution (ARC)	81,026
Interest on Prior Year Net OPEB Obligation	-
Adjustment to ARC	-
Annual OPEB Cost (expense)	81,026
Contributions made	(81,026)
Change in Net OPEB Obligation	-
Net OPEB Obligation - Beginning of Fiscal Year	-
Net OPEB Obligation - February 29, 2012	\$ -

Trend information for the annual OPEB cost, the percentage of annual OPEB cost contributed to the Plan, and the net OPEB obligation is as follows:

Fiscal Year or Period Ended	Annual OPEB Cost	Actual Contribution	Percentage Contributed	Net OPEB Asset/Obligation
2/29/2012	\$ 81,026	\$ 81,026	100%	\$ -
6/30/2011	142,759	142,759	100%	-
6/30/2010	136,217	136,217	100%	-

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

Projections of benefits for financial reporting purposes are based on the substantive plan (the plan as understood by the employer and plan members) and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefit costs between the employer and plan members to that point. The actuarial methods and assumptions used include techniques that are designed to reduce short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

In the actuarial valuation as of July 1, 2011, the entry age normal cost method was used. The actuarial assumptions included a 7.61% investment rate of return; an annual healthcare cost trend rate varying between 7.3% in calendar year 2013 to 5.5% in 2019 and thereafter; and a 3.25% annual increase in projected payroll. The UAAL is being amortized on a level dollar approach on a closed basis over 30 years beginning in fiscal year 2007-08. The remaining amortization period is 26 years.

The schedule of funding progress presents multiyear trend information that shows whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liabilities for benefits. As of July 1, 2011, the most recent actuarial valuation date, the Plan was one-hundred percent funded. The actuarial accrued liability for benefits was \$1,425,632 and the actuarial value of assets was \$1,073,937, resulting in an UAAL of \$351,695. The covered payroll (annual payroll of active employees covered by the Plan) was \$2,832,511 and the ratio of the UAAL to the covered payroll was twelve percent.

Actuarial valuations of an ongoing plan involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. Examples include assumptions about future employment, investment returns, mortality, and the healthcare cost trend. Amounts determined regarding the funded status of the Plan and the annual required contributions of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. The schedule of funding progress, presents multiyear trend information about whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

Actuarial Valuation Date	Actuarial Value of Assets (a)	Actuarial Accrued Liability (AAL) - Unprojected Unit Credit (b)	Unfunded AAL (UAAL) (b - a)	Funded Ratio (a / b)	Covered Payroll (c)	UAAL as a Percentage of Covered Payroll ([b - a] / c)
June 30, 2011	\$ 1,073,937	\$ 1,425,632	\$ 351,695	75%	\$ 2,832,511	12%
June 30, 2010	727,326	1,143,281	415,955	64%	2,813,500	15%
June 30, 2009	556,291	972,130	415,839	57%	2,907,338	14%

The CERBT issues a publicly available financial report that may be obtained from CalPERS, Lincoln Plaza North, 400 Q Street, Sacramento, CA 93811.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### NOTE 11 – PUBLIC TRANSPORTATION MODERNIZATION IMPROVEMENT AND SERVICE ENHANCEMENT ACCOUNT

In November 2006, California voters passed a bond measure enacting the Highway Safety, Traffic Reduction, Air Quality and Port Security Bond Act of 2006. Of the \$19.9 billion of state general obligation bonds authorized, \$4 billion was set aside by the state as instructed by the statute as the Public Transportation Modernization Improvement and Service Enhancement Account (PTMISEA). These funds are available to the California Department of Transportation for intercity rail projects and to transit operators in California for rehabilitation, safety or modernization improvements, capital enhancements or expansions, new capital projects, bus rapid transits improvements or for rolling stock procurement, rehabilitation, or replacement.

During the current reporting period, the Agency received \$319,726 and expended \$159,509. The proceeds available for obligation at February 29, 2012 are \$243,973. The following table summarizes the activity during the year:

Prior year available proceeds	\$ 80,716
Additional grants received	319,726
Interest earned	<u>3,040</u>
Total revenues	403,482
Total expenditures	<u>(159,509)</u>
Total proceeds available	<u><u>\$ 243,973</u></u>

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***REQUIRED SUPPLEMENTARY INFORMATION***

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# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## SCHEDULE OF REVENUES, EXPENDITURES, AND CHANGE IN FUND BALANCE- BUDGET AND ACTUAL- GENERAL FUND FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

	Budgeted Amounts		Actual	Variance- Final Budget to Actual Favorable (Unfavorable)
	Original	Final		
<b>Revenues</b>				
Grant revenues	\$ 3,694,673	\$ 4,528,889	\$ 2,989,713	\$ (1,539,176)
Member agency fees	877,245	877,245	877,245	-
Investment income	-	-	(20,399)	(20,399)
Other	53,469	-	24,466	24,466
Total revenues	4,625,387	5,406,134	3,871,025	(1,535,109)
<b>Expenditures</b>				
Administration				
Salaries and benefits	1,432,281	1,514,270	1,801,900	(287,630)
Office space	292,667	305,000	304,862	138
Office and related costs	381,400	320,701	174,678	146,023
Legal counsel	105,000	101,667	105,322	(3,655)
Annual audit	21,333	21,333	15,149	6,184
Other professional services	96,340	116,278	53,305	62,973
Legislative advocacy	41,000	41,000	37,588	3,412
Other	79,187	79,187	47,828	31,359
Congestion Management	1,670,355	2,581,605	1,364,366	1,217,239
Total Expenditures	4,119,563	5,081,041	3,904,998	1,176,043
<b>Net change in fund balance</b>	505,823	325,093	(33,973)	(359,066)
Fund Balance - Beginning	-	249,539	249,539	-
Fund Balance - Ending	\$ 505,823	\$ 574,632	\$ 215,566	\$ (359,066)

**ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

**SCHEDULE OF REVENUES, EXPENDITURES, AND CHANGE IN FUND BALANCE -  
BUDGET & ACTUAL - VEHICLE REGISTRATION FEE SPECIAL REVENUE FUND  
FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012**

	Budgeted Amounts		Actual	Variance- Final Budget to Actual Favorable (Unfavorable)
	Original	Final		
<b>Revenues</b>				
Vehicle registration fees	\$ 7,153,000	\$ 7,153,000	\$ 8,073,521	\$ 920,521
Investment income	-	-	14,706	14,706
Total revenues	7,153,000	7,153,000	8,088,227	935,227
<b>Expenditures</b>				
Administration	657,487	140,820	59,777	81,043
VRF grant program	4,286,267	5,362,417	210,153	5,152,264
Total Expenditures	4,943,753	5,503,237	269,930	5,233,307
<b>Net change in fund balance</b>	2,209,247	1,649,763	7,818,297	6,168,534
Fund Balance - Beginning	931,981	931,981	931,981	-
Fund Balance - Ending	\$ 3,141,228	\$ 2,581,744	\$ 8,750,278	\$ 6,168,534



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***SUPPLEMENTARY INFORMATION***

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# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

Federal Grantor/Pass-Through Grantor/Program or Cluster Title	Federal CFDA Number	Pass-Through Entity Identifying Number	Federal Expenditures
U.S. Department of Transportation			
Passed Through California Department of Transportation			
Highway Planning and Construction <sup>[1]</sup>	20.205	Not available	
I-580 EB HOT Lane			\$ 85,393
ARRA I-580 EB HOT Lane			248,879
Center to Center			225,193
Congestion Management Program			202,544
Countywide Bicycle Plan			4,223
I-580 WB HOT Lane			65,092
ARRA I-580 WB HOT Lane			11,320
I-680 SMART Carpool Lane			75,261
I-80 Glilman Interchange			84,993
I-80 Integrated Corridor Mobility			(183,609)
I-880 Southbound HOV Lane			490,346
I-880 North Safety Improvements			(432,439)
Life Line Transportation			516
MTC Partnership			1,457
MTC Planning			81,788
Countywide Transportation Plan			779,101
Programming Funding			348
Safe Routes to School			314,804
Transportation and Land Use			104,885
Travel Model Support			6,111
Total expenditures of Federal awards			<u>\$ 2,166,206</u>

[1] Includes funding from the American Reinvestment and Recovery Act (ARRA)

See accompanying note to supplementary information.

# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## NOTE TO SUPPLEMENTARY INFORMATION FEBRUARY 29, 2012

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### NOTE 1 - PURPOSE OF SCHEDULES

#### **Schedule of Expenditures of Federal Awards**

The accompanying Schedule of Expenditures of Federal Awards includes the Federal grant activity of the Agency and is presented on the modified accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of the United States Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*.

DRAFT

***INDEPENDENT AUDITOR'S REPORTS***



**INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER  
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS  
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN  
ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

Governing Board  
Alameda County Congestion Management Agency  
Oakland, California

We have audited the financial statements of the governmental activities, each major fund, and the aggregate remaining fund information of the Alameda County Congestion Management Agency as of and for the eight months ended February 29, 2012, which collectively comprise the Agency's basic financial statements and have issued our report thereon dated [REDACTED], 2012. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

**Internal Control Over Financial Reporting**

Management of the Agency is responsible for establishing and maintaining effective internal control over financial reporting. In planning and performing our audit, we considered internal controls over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Agency's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Agency's internal control over financial reporting.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined previously.

As part of obtaining reasonable assurance about whether the Agency’s financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

Palo Alto, California  
\_\_\_\_\_, 2012



**INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE WITH  
REQUIREMENTS THAT COULD HAVE A DIRECT AND MATERIAL  
EFFECT ON EACH MAJOR PROGRAM AND ON INTERNAL  
CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133**

Governing Board  
Alameda County Congestion Management Agency  
Oakland, California

**Compliance**

We have audited the Alameda County Congestion Management Agency's (the Agency) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Circular A-133 Compliance Supplement* that could have a direct and material effect on the Alameda County Congestion Management Agency's major federal program for the eight months ended February 29, 2012. The Agency's major federal program is identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts, and grants applicable to major federal programs is the responsibility of the Agency's management. Our responsibility is to express an opinion on the Agency's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Alameda County Congestion Management Agency's compliance with those requirements and performing such other procedures, as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination of the Agency's compliance with those requirements.

In our opinion, the Agency complied, in all material respects, with the compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the eight months ended February 29, 2012.

## Internal Control Over Compliance

The management of the Agency is responsible for establishing and maintaining effective internal control over compliance with the requirements of laws, regulations, contracts, and grants applicable to federal programs. In planning and performing our audit, we considered Agency's internal control over compliance with the requirements that could have a direct and material effect on a major federal program to determine the auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Agency's internal control over compliance.

*A deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

This report is intended solely for the information and use of the governing board, management, federal awarding agencies, and pass-through entities, and is not intended to be and should not be used by anyone other than these specified parties.

Palo Alto, California

, 2012



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***SCHEDULE OF FINDINGS AND QUESTIONED COSTS***

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# ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY

## SUMMARY OF AUDITOR'S RESULTS FOR THE PERIOD ENDED FEBRUARY 29, 2012

### FINANCIAL STATEMENTS

Type of auditor's report issued:	Unqualified
Internal control over financial reporting:	
Material weaknesses identified?	None
Significant deficiencies identified?	None reported
Noncompliance material to the financial statements noted?	No

### FEDERAL AWARDS

Internal control over major programs:	
Material weaknesses identified?	None
Significant deficiencies identified?	None reported
Type of auditors' report issued on compliance for major programs:	Unqualified
Any audit findings disclosed that are required to be reported in accordance with Section .510(a) of OMB Circular A-133?	None

Identification of major programs:

<u>CFDA Number</u>	<u>Name of Federal Program or Cluster</u>
20.205 (Includes ARRA)	Highway Planning and Construction (Includes ARRA)

Dollar threshold used to distinguish between Type A and Type B programs:	\$ 300,000
Auditee qualified as low-risk auditee?	No

**ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

**FINANCIAL STATEMENT FINDINGS**

**FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012**

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None reported.

DRAFT

**ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

**FEDERAL AWARDS FINDINGS AND QUESTIONED COSTS  
FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012**

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None reported.

DRAFT

## **ALAMEDA COUNTY CONGESTION MANAGEMENT AGENCY**

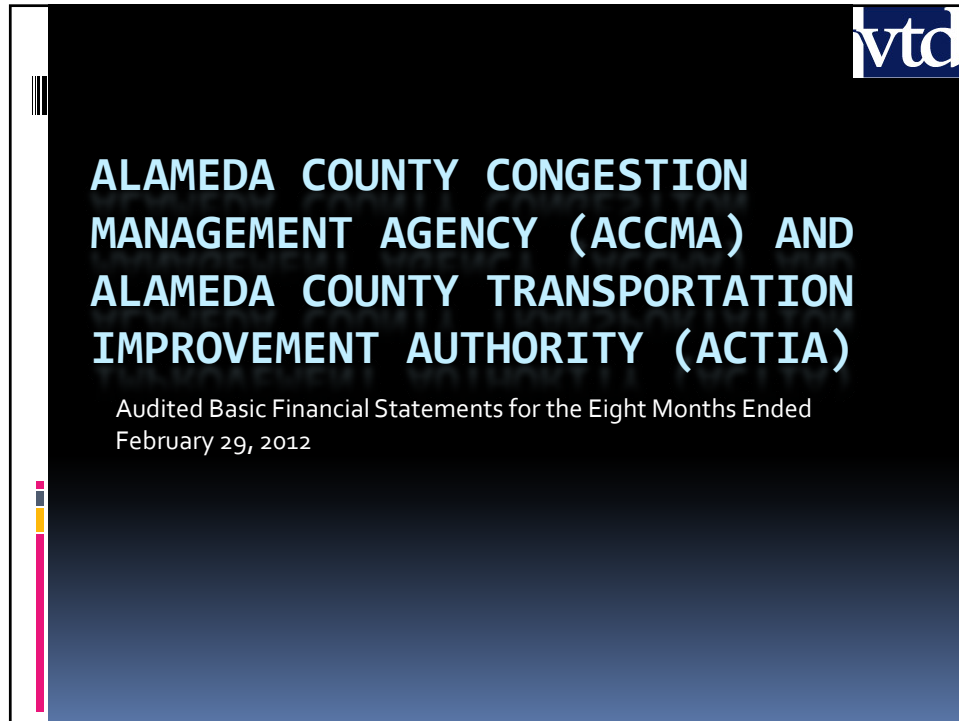
### **SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012**

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There were no audit findings reported in the prior year's schedule of financial statement finding or federal award findings.

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## Required Communications

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

## ACCMA Financial Highlights

- Total net assets were \$17.5 million, an increase of \$7.5 million or 75.8% over the prior fiscal year. This increase is due to collections beginning on the new Measure F Vehicle Registration Fee (VRF), passed by the voters in November 2010.
- Total revenues decreased by 33.4% from \$44.1 million for fiscal year 2010-11 to \$29.4 million for the period July 1, 2011 through February 29, 2012. Similarly, the ACCMA's expenditures decreased by 49.7% from \$43.5 million in fiscal year 2010-11 to \$21.8 million for the period July 1, 2011 through February 29, 2012. These decreases can be attributed to the abbreviated reporting period for the period July 1, 2011 through February 29, 2012, the official termination date of the agency.
- Cash and investments (restricted and unrestricted) totaled \$30.7 million, an increase of \$6.7 million or 27.7% over the prior fiscal year. This increase also is due to collections beginning on the new Measure F VRF.
- The General Fund reported a net decrease in fund balance at February 29, 2012 of \$34 thousand or 13.6% from the fund balance at June 30, 2011.



## ACCMA - Statement of Net Asset February 29, 2012(in thousands of dollars)

### Assets:

Cash and Investments	\$30,665
Receivables	31,103
Capital Assets, net	<u>131</u>
Total Assets	61,899

### Liabilities:

Payables	15,257
Deferred Revenue	<u>29,157</u>
Total Liabilities	44,414

### Net Assets:

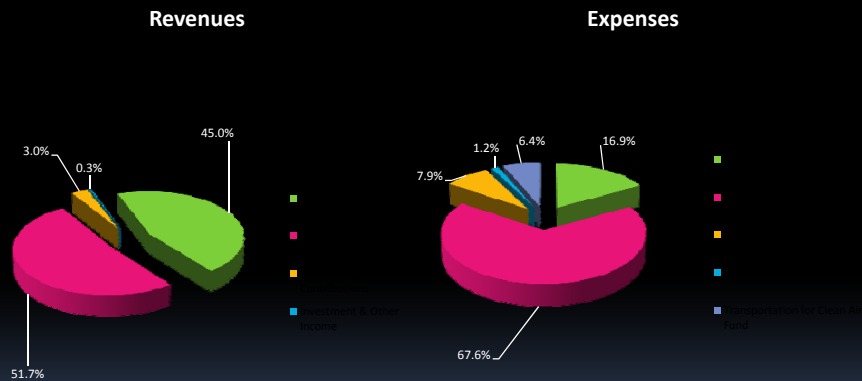
Investment in Capital Assets	131
Restricted for Planning & Construction	17,138
Unrestricted	<u>216</u>
Total Net Asset	<u>\$17,485</u>

## ACCMA Statement of Activities for the Eight Months Ended February 29, 2012 (in thousands of dollars)

### Governmental Activities

Program Revenues	
Operating Revenues	\$13,211
Capital Revenues	<u>15,193</u>
Total Program Revenues	28,404
Expenses	
Administration	2,813
Congestion Management	<u>19,035</u>
Total Expenses	<u>21,848</u>
Total Governmental Activities	6,556
General Revenues	981
Change in Net Assets	7,537
Net Assets – Beginning	<u>9,948</u>
Net Assets – Ending	<u>\$17,485</u>

## ACCMA Revenues & Expenses



## ACCMA Auditor Opinion

ACCMA received what is referred to as unqualified or clean audit opinion for the Eight Months Ended February 29, 2012.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Agency, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America. "

## ACTIA Financial Highlights

- Total Assets decreased by \$22.6 million or 7.3% from \$311.7 million to \$289.1 million as of February 29, 2012 compared to June 30, 2011. Cash and investments comprised \$262.0 million or 90.6% of the total assets as of February 29, 2012.
- Sales tax revenue for all funds was \$74.0 million during the period July 1, 2011 through February 29, 2012, a decrease of \$31.4 million or 29.8% from fiscal year 2011 due to the abbreviated reporting period.
- Total expenses were \$70.2 million during the period July 1, 2011 through February 29, 2012, a decrease of \$97.9 million or 58.3% from fiscal year 2011. This amount included \$2.9 million for administration, \$19.9 million for highways and streets, \$23.8 million for public transit and \$23.5 million for local transportation.
- Total liabilities decreased \$27.6 million or 47.2% from \$58.3 million to \$30.8 million as of February 29, 2012 compared to June 30, 2011 due to a change in methodology used for capital project accruals during fiscal year 2011.
- Total net asset increased by \$4.9 million or 2.0% to \$258.3 million as of February 29, 2012 compared to June 30, 2011.

## ACTIA Statement of Net Asset February 29, 2012 (in thousands of dollars)

### Assets:

Cash and Investments	\$262,025
Receivables	22,900
Land Held for Resale	4,068
Other Assets	57
Capital Assets, net	<u>28</u>
Total Assets	289,078

### Liabilities:

Payables and Accrued Liabilities	30,710
Deferred Revenue	<u>76</u>
Total Liabilities	30,786

### Net Assets:

Investment in Capital Assets	28
Restricted for Transp. Projects/Programs	240,823
Unrestricted	<u>17,441</u>
Total Net Asset	<u>\$258,292</u>

## ACTIA

### Statement of Activities

#### for the Eight Months Ended

February 29, 2012 (in thousands of dollars)

#### Governmental Activities

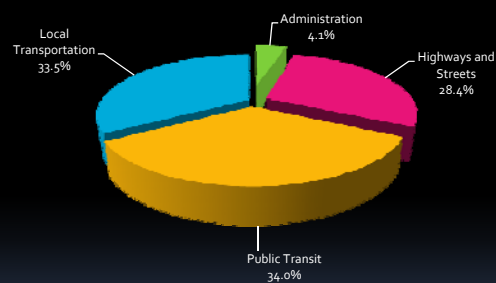
Program Revenues	
Capital Revenues	\$ 64
Expenses	
Administration	2,948
Transportation Improvements	<u>67,211</u>
Total Expenses	<u>70,159</u>
Total Governmental Activities	(70,095)
General Revenues	75,042
Change in Net Assets	4,947
Net Assets – Beginning	<u>253,345</u>
Net Assets – Ending	<u>\$258,292</u>

## ACTIA Revenues & Expenses

Revenues



Expenses






## ACTIA Auditor Opinion

ACTIA received what is referred to as unqualified or clean audit opinion for the Eight Months Ended February 29, 2012.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities and each major fund of the Alameda County Transportation Improvement Authority, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America."



ACCMA & ACTIA  
February 29, 2012

# Questions?

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## Memorandum

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Finance and Administration Committee

**SUBJECT:** **Approval of the ACTIA Draft Audited Basic Financial Statements for the Eight Months Ended February 29, 2012**

### Recommendation

It is recommended that the Commission approve and enter into the record the ACTIA's draft Audited Basic Financial Statements for the period July 1, 2011 through February 29, 2012 as audited by the certified public accounting firm of Vavrinek, Trine, Day & Co., LLP and all required reports.

The audited financial statements for the period ended February 29, 2012 and support documents were reviewed in detail by the Alameda County Transportation Commission's (Alameda CTC) audit committee on October 29, 2012 and the Finance and Administration Committee (FAC) on November 19, 2012.

### Summary

Pursuant to California Public Utilities Code Section 180105 and due to the termination of ACTIA as of February 29, 2012, an independent audit was conducted for the eight months ended February 29, 2012 by Vavrinek, Trine, Day & Co., LLP. While all financial statements are the responsibility of management, the auditor's responsibility is to express an opinion on the financial statements based on their audit. As demonstrated in the Independent Auditor's Report on page 2 of the Draft Audited Basic Financial Statements, ACTIA's auditors have reported what is considered to be an unqualified or clean audit.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities and each major fund of the Alameda County Transportation Improvement Authority, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America."

### Financial Highlights:

- Total Assets decreased by \$22.6 million or 7.3% from \$311.7 million to \$289.1 million as of February 29, 2012 compared to June 30, 2011. Cash and investments comprised \$262.0 million or 90.6% of the total assets as of February 29, 2012.
- Sales tax revenue for all funds was \$74.0 million during the period July 1, 2011 through

February 29, 2012, a decrease of \$31.4 million or 29.8% from fiscal year 2011 due to the abbreviated reporting period.

- Total expenses were \$70.2 million during the period July 1, 2011 through February 29, 2012, a decrease of \$97.9 million or 58.3% from fiscal year 2011. This amount included \$2.9 million for administration, \$19.9 million for highways and streets, \$23.8 million for public transit and \$23.5 million for local transportation.
- Total liabilities decreased \$27.6 million or 47.2% from \$58.3 million to \$30.8 million as of February 29, 2012 compared to June 30, 2011 due to a change in methodology used for capital project accruals during fiscal year 2011.
- Total net asset increased by \$4.9 million or 2.0% to \$258.3 million as of February 29, 2012 compared to June 30, 2011.

### **Discussion**

As part of the audit process, Vavrinek, Trine, Day & Co., LLP considered ACTIA's internal controls over financial reporting in order to design audit procedures. They have not expressed an opinion on the effectiveness of ACTIA's internal controls; however Vavrinek, Trine, Day & Co., LLP did not identify any deficiencies in internal controls that would be considered a material weakness.

In addition, Vavrinek, Trine, Day & Co., LLP audited the calculation of the limitation ratios required by the Transportation Expenditure Plan which requires that the total cost for salaries and benefits for administrative employees not exceed 1% of sales tax revenues and expenditures for administration, in total, do not exceed 4.5% of sales tax revenues. The ratios for the eight months ended February 29, 2012 are 0.88% for salaries and benefits as a percent of sales tax revenues and 2.63% for total administration costs as a percent of sales tax revenues which are in compliance with the requirements set forth in the Transportation Expenditure Plan.

Vavrinek, Trine, Day & Co., LLP did not perform a Single Audit for the eight months ended February 29, 2012. Per the Office of Management and Budget (OMB) Circular A-133, a single audit is required when a grantee spends \$500,000 or more in Federal funds in the fiscal year to provide assurance to the federal government as to the management and use of these funds. ACTIA's federal expenditures were less than the \$500,000 threshold during the period July 1, 2011 through February 29, 2012 therefore a Single Audit was not required.

The Audit Committee met on October 29 to review the Draft Audited Basic Financial Statements and the Limitations Worksheet.

### **Attachment(s)**

- Attachment A: ACTIA Basic Financial Statements for the Eight Months Ended February 29, 2012
- Attachment B: ACTIA Limitations Worksheet for the Eight Months Ended February 29, 2012



**ALAMEDA COUNTY  
TRANSPORTATION IMPROVEMENT  
AUTHORITY**

**BASIC FINANCIAL STATEMENTS  
FEBRUARY 29, 2012**

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

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February 29, 2012

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    Statement of Activities  
    Governmental Funds Balance Sheet  
    Reconciliation of the Governmental Funds Balance Sheet to the Statement of Net Assets  
    Governmental Funds Statement of Revenues, Expenditures, and Change in Fund Balances  
    Reconciliation of the Statement of Revenues, Expenditures, and  
        Change in Fund Balances to the Statement of Activities  
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    the Special Revenue Fund by Project and Program  
Note to Supplementary Information

***FINANCIAL SECTION***



## INDEPENDENT AUDITOR'S REPORT

Governing Board  
Alameda County Transportation Improvement Authority  
Oakland, California

We have audited the accompanying financial statements of the governmental activities and each major fund of the Alameda County Transportation Improvement Authority (the Authority) as of and for the eight months ended February 29, 2012, which collectively comprise the Authority's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the Authority's management. Our responsibility is to express an opinion on these financial statements based on our audit.

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

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities and each major fund of the Alameda County Transportation Improvement Authority, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America.

As explained in Note 1, the Alameda County Transportation Improvement Authority ceased operations on February 29, 2012 and has merged with the Alameda County Transportation Commission.

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

Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The combining schedules of the special revenue fund by project or program balance sheet and revenues, expenditures, and change in fund balances are presented for purposes of additional analysis and are not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

Palo Alto, California  
\_\_\_\_\_, 2012

## MANAGEMENT'S DISCUSSION AND ANALYSIS

The following discussion and analysis of the Alameda County Transportation Improvement Authority's (the Authority) financial position addresses activities for the period July 1, 2011 through February 29, 2012 with comparisons to the two prior fiscal years. Fiscal year 2010 has been restated to include financial information for the Alameda County Transportation Authority (ACTA) for which the Authority assumed all responsibility of functions, assets, and liabilities effective July 1, 2010. We encourage readers to consider the information presented here in conjunction with the Authority's financial statements and related notes contained in the Basic Financial Statement section.

The voters of Alameda County, pursuant to the provisions of the Bay Area County Traffic and Transportation Funding Act, Public Utilities Code Section 131000, et seq., approved Measure B at the General Election held in November 1986, authorizing the collection of a one-half cent transaction and use tax over a 15 year period to address major transportation needs and congestion in Alameda County and giving ACTA the responsibility for the administration of the proceeds of the tax. Although the 1986 tax expired in 2002, a few capital projects are still active and are expected to be completed in the next few years.

The voters of Alameda County, pursuant to the provisions of the Local Transportation Authority and Improvement Act, Public Utilities Code Section 180000, et seq., approved the reauthorization of Measure B at the General Election held on November 7, 2000, authorizing the collection of a one-half cent transaction and use tax to be collected for 20 years which began April 1, 2002 and giving the Authority responsibility for the administration of the proceeds of the tax.

### FINANCIAL HIGHLIGHTS

- Total Assets decreased by \$22.6 million or 7.3% from \$311.7 million to \$289.1 million as of February 29, 2012 compared to June 30, 2011. Cash and investments comprised \$262.0 million or 90.6% of the total assets as of February 29, 2012.
- Sales tax revenue for all funds was \$74.0 million during the period July 1, 2011 through February 29, 2012, a decrease of \$31.4 million or 29.8% from fiscal year 2011 due to the shortened reporting period.
- Total expenses were \$70.2 million during the period July 1, 2011 through February 29, 2012, a decrease of \$97.9 million or 58.3% from fiscal year 2011. This amount included \$2.9 million for administration, \$19.9 million for highways and streets, \$23.8 million for public transit and \$23.5 million for local transportation.
- Total liabilities decreased \$27.6 million or 47.2% from \$58.3 million to \$30.8 million as of February 29, 2012 compared to June 30, 2011 due to a change in methodology used for capital project accruals during fiscal year 2011.
- Total net asset increased by \$4.9 million or 2.0% to \$258.3 million as of February 29, 2012 compared to June 30, 2011.

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## OVERVIEW OF THE FINANCIAL STATEMENTS

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

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

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

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

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

The Authority has five major funds: the General Fund, ACTIA Capital Projects Fund, ACTA Capital Projects Fund, Special Revenue Fund, and a Fiduciary Fund.

*General Fund* – The General Fund is the chief operating fund. The General Fund receives 4.5% of all sales tax revenues to fund the administration of Measure B sales tax funds. Administrative costs are limited to 4.5% of sales tax revenues collected by the Transportation Expenditure Plan (TEP). Administrative salaries and benefits are limited to 1% of sales tax revenues collected by the TEP and the Public Utilities Commission (PUC).

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

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

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

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

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

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

## GOVERNMENT-WIDE FINANCIAL ANALYSIS

As of February 29, 2012, total assets were \$289.1 million, a decrease of \$22.6 million or 7.3% from June 30, 2011 with cash and investments accounting for \$262.0 million or 90.6% of this amount. As of June 30, 2011, total assets were \$311.7 million, a decrease of \$19.2 million or 5.8% from June 30, 2010. Decreases in asset can frequently indicate deterioration in an agency's financial position, however the goal and intent of the Authority is to spend sales tax revenues towards the purpose of improving transportation programs and infrastructure in Alameda County throughout the life of the 2000 Measure B. These decreases also reflect the continued effort to wind down the original 1986 Measure B by completing the projects in the 1986 TEP.

Total liabilities were \$30.8 million as of February 29, 2012, a decrease of \$27.6 million or 47.2% from June 30, 2011. As of June 30, 2011, total liabilities were \$58.3 million, an increase of \$30.2 million or 107.4% over June 30, 2010 due to a change in the methodology used for capital project accruals. The significant disparity of cash over liabilities demonstrates that the Authority is well able to meet its obligations as they become due. As of February 29, 2012, the Authority had commitments for \$16.0 million towards engineering contracts and \$374.8 million towards project sponsor contracts with terms ranging up to seven years.

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

Net assets were \$258.3 million at February 29, 2012, an increase of \$4.9 million or 2.0% from June 30, 2011. Of the total \$258.3 million in net assets at February 29, 2012, \$0.003 million or 0.01% is invested in capital assets, \$17.4 million or 6.7% is unrestricted and the balance of \$240.8 million or 93.2% is restricted for use towards programs and projects authorized in the Measure B 1986 and 2000 TEPs. As of June 30, 2011, net assets were \$253.3 million, a decrease of \$49.4 million or 16.3% from June 30, 2010.



**The Alameda County Transportation Improvement Authority**  
**Net Assets**  
**February 29, 2012, June 30, 2011, and 2010**

	<b>Governmental Activities</b>		
	<b>February 29, 2012</b>	<b>2011</b>	<b>2010</b>
Cash and investments	\$ 262,024,613	\$ 274,159,658	\$ 301,110,321
Receivables			
Sales tax receivables	17,333,642	17,546,201	15,131,509
Interest	57,835	88,283	96,890
Other	508,768	10,527,489	3,285,810
Capital assets			
Furniture and equipment (net of accumulated depreciation)	28,499	43,076	53,426
Land held for resale	4,068,000	4,243,000	4,068,000
Advances to other governments	5,000,000	5,000,000	7,040,370
Other assets	56,984	79,044	64,264
<b>Total assets</b>	<b>\$ 289,078,341</b>	<b>\$ 311,686,751</b>	<b>\$ 330,850,590</b>
Accounts payable	\$ 30,709,936	\$ 58,265,654	\$ 26,773,181
Due to other governments			1,302,441
Net OPEB Obligation	76,418	75,863	55,204
<b>Total liabilities</b>	<b>30,786,354</b>	<b>58,341,517</b>	<b>28,130,826</b>
Net assets:			
Invested in capital assets	28,499	43,076	53,426
Restricted for:			
Transportation Projects/Programs	240,822,268	237,297,727	288,043,800
Unrestricted	17,441,220	16,004,431	14,622,538
<b>Total net assets</b>	<b>258,291,987</b>	<b>253,345,234</b>	<b>302,719,764</b>
<b>Total liabilities and net assets</b>	<b>\$ 289,078,341</b>	<b>\$ 311,686,751</b>	<b>\$ 330,850,590</b>

Total revenues during the period July 1, 2011 through February 29, 2012 were \$75.1 million, a decrease of \$43.6 million or 36.7% from fiscal year 2011, with sales tax accounting for \$74.0 million or 98.5% of this amount. Total revenues in fiscal year 2011 were \$118.7 million, an increase of \$6.7 million or 6.0% over fiscal year 2010. Total expenses during the period July 1, 2011 through February 29, 2012 were \$70.2 million, a decrease of \$97.9 million or 58.3% from fiscal year 2011 and total expenses in fiscal year 2011 were \$168.1 million, an increase of \$14.6 million or 9.5% over fiscal year 2010. The decreases during the period July 1, 2011 through February 29, 2012 are primarily attributed to the shortened reporting period. The following are changes in key activities:

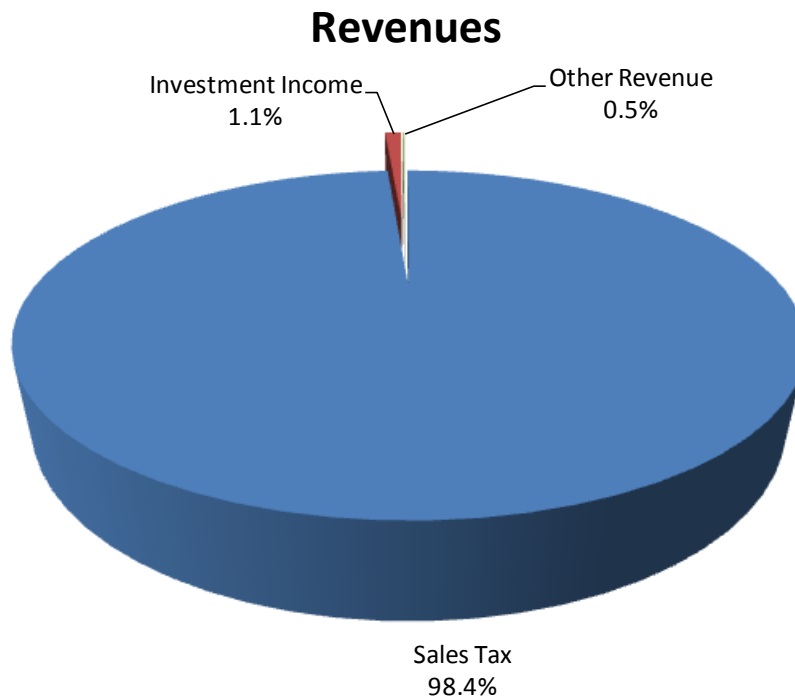
- 
- Sales tax revenues for the period July 1, 2011 through February 29, 2012 were \$74.0 million, a decrease of \$31.4 million or 29.8% from fiscal year 2011. Sales tax revenues in fiscal year 2011 were \$105.4 million, an increase of \$10.9 million or 11.6% over fiscal year 2010. The decrease for the period July 1, 2011 through February 29, 2012 was due to the shortened reporting period.
  - Capital grants and contributions for the period July 1, 2011 through February 29, 2012 were \$0.1 million, a decrease of \$10.0 million or 99.4% from fiscal year 2011. Capital grants and contributions in fiscal year 2011 were \$10.0 million, an increase of \$0.8 million or 8.7% over fiscal year 2010. The Authority does not generally receive many capital grants or contributions from outside sources. However, a couple of projects that were active during the last couple of fiscal years did have some federal and state funding which accounts for the significant decrease we see for the period July 1, 2011 through February 29, 2012.
  - Investment income for the period July 1, 2011 through February 29, 2012 was \$0.8 million, a decrease of \$2.4 million or 76.0% from fiscal year 2011, and investment income in fiscal year 2011 was \$3.2 million, a decrease of \$4.9 million or 60.6% from fiscal year 2010. These decreases in investment income are due not only to interest rates in the market remaining very low over the last year, but also to shortening of investment terms to accommodate cash flow requirements.
  - Operating grants and contributions for the period July 1, 2011 through February 29, 2012 were \$0.02 million, a decrease of \$0.1 million or 77.4% from fiscal year 2011, and operating grants and contributions in fiscal year 2011 were \$0.1 million, a decrease of \$0.1 million or 55.4% from fiscal year 2010.
  - Administration expenses for the period July 1, 2011 through February 29, 2012 were \$2.9 million, a decrease of \$3.4 million or 53.8% from fiscal year 2011, and administration expense in fiscal year 2011 were \$6.4 million, a decrease of \$0.3 million or 4.3% from fiscal year 2010. The decrease for the period July 1, 2011 through February 29, 2012 was primarily due to the shortened reporting period.
  - Highways and streets expenses for the period July 1, 2011 through February 29, 2012 were \$19.9 million, a decrease of \$58.7 million or 74.7% from fiscal year 2011, and highways and streets expenses in fiscal year 2011 were \$78.6 million, an increase of \$21.0 million or 36.6 over fiscal year 2010. The increase in fiscal year 2011 and the decrease in the period July 1, 2011 through February 29, 2012 are due to a change in the methodology used for capital project accruals in fiscal year 2011.
  - Public transit expenses for the period July 1, 2011 through February 29, 2012 were \$23.8 million, a decrease of \$30.6 million or 56.2% from fiscal year 2011, and public transit expenses in fiscal year 2011 were \$54.4 million, a decrease of \$8.8 million or 13.9% from fiscal year 2010.
  - Local transportation expenses for the period July 1, 2011 through February 29, 2012 were \$23.5 million, a decrease of \$5.2 million or 18.0% from fiscal year 2011, and local transportation expenses in fiscal year 2011 were \$28.7 million, an increase of \$2.6 million or 10.0% over fiscal year 2010.
  - During the period July 1, 2011 through February 29, 2012, revenues exceeded expenses by \$4.9 million, resulting in an increase to net assets which were \$258.3 million at February 29, 2012. In fiscal year 2011, expenses exceeded revenues by \$49.4 million, resulting in a decrease to net assets which were \$253.3 million at year-end. In fiscal year 2010, expenses exceeded revenues by \$41.5 million, resulting in a decrease to net assets which were \$302.7 million at year-end.

**The Alameda County Transportation Improvement Authority**  
**Changes in Net Assets**  
**February 29, 2012, June 30, 2011 and 2010**

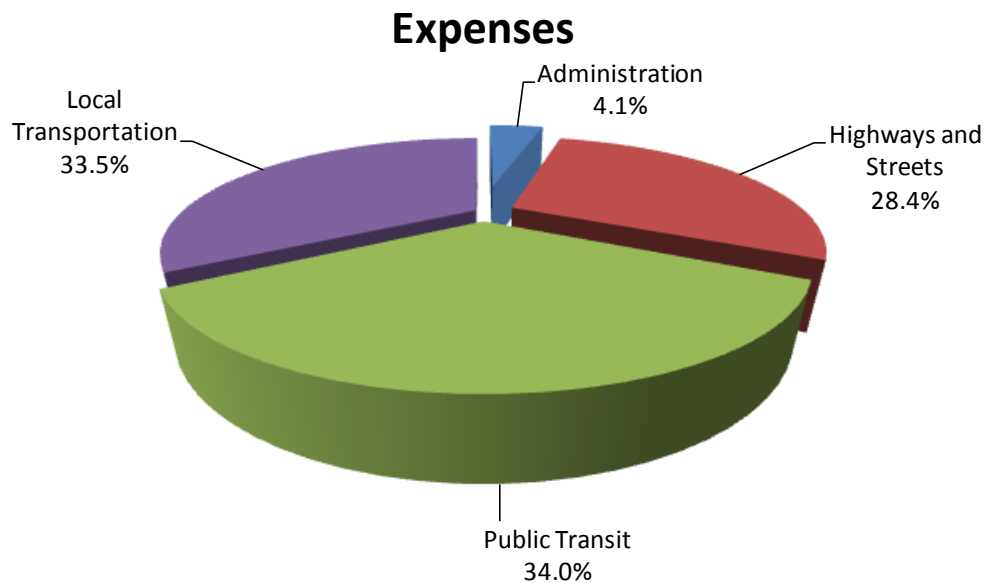
	<b>Governmental Activities</b>		
	<b>February 29, 2012</b>	<b>2011</b>	<b>2010</b>
<b>Revenues</b>			
Program revenues:			
Operating grants and contributions	\$ 18,333	\$ 81,012	\$ 181,784
Capital grants and contributions	64,112	10,014,871	9,212,246
General revenues:			
Sales taxes	73,957,481	105,393,811	94,453,574
Investment Income	765,828	3,194,047	8,102,075
Other	300,403	-	-
<b>Total revenues</b>	<b>75,106,157</b>	<b>118,683,741</b>	<b>111,949,679</b>
<b>Expenses</b>			
Administration	2,948,209	6,375,469	6,661,460
Highways and streets	19,857,336	78,582,326	57,533,049
Public transit	23,820,251	54,389,095	63,176,467
Local transportation	23,533,608	28,711,381	26,101,744
<b>Total expenses</b>	<b>70,159,404</b>	<b>168,058,271</b>	<b>153,472,720</b>
Change in net assets	4,946,753	(49,374,530)	(41,523,041)
Net assets, beginning of year	253,345,234	302,719,764	344,242,805
<b>Net assets, end of year</b>	<b>\$ 258,291,987</b>	<b>\$ 253,345,234</b>	<b>\$ 302,719,764</b>

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**Alameda County Transportation Improvement Authority  
Sources of Revenue  
for the Period July 1, 2011 through February 29, 2012**



**Alameda County Transportation Improvement Authority  
Functional Expenses  
for the Period July 1, 2011 through February 29, 2012**



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## Financial Analysis of the Authority's Funds

### Governmental Funds

The Authority uses fund accounting to ensure compliance with finance-related legal requirements. Governmental funds include the General Fund, ACTIA Capital Projects Fund, ACTA Capital Projects Fund and Special Revenue Funds.

The Authority works with project sponsors to deliver highways and streets projects, public transit, and various other programs including paratransit programs. Local transportation sales tax funds are passed directly through to the cities and County of Alameda to implement transportation related projects of their choosing. The Authority's activities also include the administration of sales tax revenues which consists of projects and programs management, financial oversight and other administrative functions.

As of February 29, 2012, the Authority had \$258.3 million of fund balance in the governmental funds: \$17.4 million in the General Fund, \$80.9 million in the ACTIA Capital Projects Fund, \$149.9 million in the ACTA Capital Projects Fund and \$10.0 million in the Special Revenue Funds. This is a decrease from June 30, 2011 of \$18.6 million or 6.7%. The decrease is mostly due to the activities of highways and streets projects in the ACTA Capital Projects Fund. Construction on ACTA capital projects will continue until projects are completed however, as of March 31, 2002 when the 1986 Measure B expired, this fund no longer receives sales tax revenues.

For the period July 1, 2012 through February 29, 2012, the Authority had \$85.1 million of revenues in the governmental funds: \$3.4 million in the General Fund, \$38.8 million in the ACTIA Capital Projects Fund, \$0.6 million in the ACTA Capital Projects Fund and \$42.3 million in the Special Revenue Fund. This is a decrease from June 30, 2011 of \$23.5 million or 21.7%. This decrease is due to the shortened reporting period.

For the period July 1, 2012 through February 29, 2012, the Authority had \$103.7 million of expenditures in the governmental funds: \$1.9 million in the General Fund, \$44.4 million in the ACTIA Capital Projects Fund, \$15.2 million in the ACTA Capital Projects Fund and \$42.2 million in the Special Revenue Funds. This is a decrease from June 30, 2011 of \$30.8 million or 23.1%.

As of February 29, 2012, the Authority had \$289.0 million of assets in the governmental funds: \$17.7 million in the General Fund, \$96.1 million in the ACTIA Capital Projects Fund, \$155.3 million in the ACTA Capital Projects Fund and \$20.0 million in the Special Revenue Fund. This is a decrease from June 30, 2011 of \$19.6 million or 6.4%.

As of February 29, 2012, the Authority had \$30.7 million of liabilities in the governmental funds: \$0.3 million in the General Fund, \$15.1 million in the ACTIA Capital Projects Fund, \$5.4 million in the ACTA Capital Projects Fund and \$9.9 million in the Special Revenue Fund. This is a decrease from June 30, 2011 of \$1.0 million or 3.2%.

### Fiduciary Fund

The Authority has a fiduciary fund which is a trust designed to accumulate assets to fund post-employment benefits other than pension for retirees. These funds are excluded from the government-wide financial statements because they do not represent resources of the Authority. As of February 29, 2012, net assets in the trust were \$0.9 million, as they were at June 30, 2011 showing no material change.

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## CAPITAL ASSET AND DEBT ADMINISTRATION

### Capital Assets

As of February 29, 2012, The Authority had invested \$28,499 in capital assets, including furniture and equipment and leasehold improvements. There were no capital asset additions or dispositions during the period July 1, 2011 through February 29, 2012.

**Alameda County Transportation Improvement Authority**  
**Capital Assets**  
**(net of accumulated depreciation and amortization)**  
**February 29, 2012, June 30, 2011 and 2010**

	February 29, 2012	2011	2010
Furniture and equipment (net of accumulated depreciation)	\$ 9,822	\$ 18,423	\$ 30,987
Leasehold improvements (net of accumulated amortization)	18,677	24,653	22,439
Total	<u>\$ 28,499</u>	<u>\$ 43,075</u>	<u>\$ 53,426</u>

### Long-Term Debt

As of February 29, 2012, June 30, 2011 and 2010, The Authority had no outstanding debt.

## COMPARISON OF BUDGETED TO ACTUAL

Prior to each fiscal year, The Authority adopts a budget for the year. This budget may be modified throughout the year resulting in subsequent legally adopted budgets. These modifications are made primarily to adjust revenues when projections change due to changes in the economic climate and to adjust expenses to reflect changes in capital project costs.

In the General Fund, the Authority began the period of July 1, 2011 through February 29, 2012 with an adopted revenue budget of \$3.1 million and expenditures budget of \$2.4 million resulting in a surplus in the general fund balance of \$0.8 million. In the final adopted budget, the revenue budget was revised to \$3.3 million and expenditure budget was revised to \$2.7 million resulting in a surplus in the general fund of \$0.6 million. Actual revenues from the sales tax and other revenues were \$3.4 million and actual indirect administrative costs totaled \$1.9 million, resulting in a surplus in the general fund of \$1.4 million. The improvement to budgeted and actual revenues was due to a projected and actual increase in sales tax revenues.

In the Special Revenue Fund, the Authority began the period of July 1, 2011 through February 29, 2012 with an adopted revenue budget of \$39.7 million and expenditure budget of \$40.5 million resulting in a decrease to the Special Revenue Fund balance of \$0.9 million. In the final adopted budget, the revenue budget was revised to \$42.3 million and the expenditure budget was revised to \$44.5 million resulting in the reduction of the Special Revenue fund balance of \$2.1 million. Actual revenues were \$42.3 million and actual expenditures were \$42.2 million, with \$22.7 million for Public Transit, \$18.9 million for Local Transportation and \$0.6 million for Administration, resulting in an increase to fund balance of \$0.1 million. Additional details of the Special Revenue Funds are provided under supplemental information.

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## OTHER SIGNIFICANT MATTERS

On July 22, 2010, the Authority officially became a part of the Alameda County Transportation Commission (Alameda CTC), a Joint Powers Agency (JPA), along with the County of Alameda, the 14 cities of Alameda County, AC Transit, BART and the Alameda County Congestion Management Agency (ACCMA). This new JPA has all of the powers of the Authority and the ACCMA. For a variety of reasons, including issues related to contracting with CalPERS and other required administrative tasks, the Authority and the ACCMA continued to exist through February 29, 2012 when the former agencies were legally dissolved and the Alameda CTC became the successor agency. As part of the Joint Powers Agreement, the Authority and the ACCMA delegated their authority to Alameda CTC including all activities and responsibilities. The Alameda CTC's Commission in June 2011 approved the first consolidated Alameda CTC budget for fiscal year 2011-12, and the financial databases for the Authority and the ACCMA were consolidated as of July 2011 in time for the new fiscal year.

## REQUESTS FOR INFORMATION

This financial report is designed to provide a general overview of the Authority's finances to the tax payers of Alameda County and to demonstrate accountability for sales tax revenues received. Questions concerning information provided in this report or requests for additional financial information should be addressed to Arthur Dao or Patricia Reavey of the Alameda County Transportation Commission at 1333 Broadway, Suite 220, Oakland, California 94612.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## STATEMENT OF NET ASSETS FEBRUARY 29, 2012

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### ASSETS

Cash and investments	\$ 262,024,613
Sales tax receivable	17,333,642
Interest receivable	57,835
Loans receivable	5,000,000
Other receivable	508,768
Land held for resale	4,068,000
Other assets	56,984
Capital assets, net of accumulated depreciation	28,499
<b>Total Assets</b>	<u>289,078,341</u>

### LIABILITIES

Accounts payable and accrued liabilities	30,709,936
Net OPEB obligation - due in more than one year	76,418
<b>Total Liabilities</b>	<u>30,786,354</u>

### NET ASSETS

Invested in capital assets	28,499
Restricted for Transportation Projects/Programs	240,822,268
Unrestricted	17,441,220
<b>Total net assets</b>	<u>\$ 258,291,987</u>

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



# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## STATEMENT OF ACTIVITIES FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

Functions/Programs	Expenses	Program Revenues Capital Grants and Contributions	Net (Expenses) Revenues and Changes in Net Assets
			Total Governmental Activities
<b>Governmental Activities:</b>			
Administration	\$ 2,948,209	\$ -	\$ (2,948,209)
Transportation Improvement			
Highways and streets	19,857,336	64,112	(19,793,224)
Public transit	23,820,251	-	(23,820,251)
Local transportation	23,533,608	-	(23,533,608)
<b>Total Governmental Activities</b>	<u>\$ 70,159,404</u>	<u>\$ 64,112</u>	<u>(70,095,292)</u>
General revenues and subventions			
Sales tax			73,957,481
Interest and investment earnings			765,828
Other revenues			318,736
Subtotal, General Revenues			<u>75,042,045</u>
<b>Change in Net Assets</b>			4,946,753
Net Assets - Beginning			253,345,234
Net Assets - Ending			<u>\$ 258,291,987</u>

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

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## GOVERNMENTAL FUNDS BALANCE SHEET FEBRUARY 29, 2012

	General Fund	ACTIA Capital Projects Fund	ACTA Capital Projects Fund	Special Revenue Fund	Total Governmental Funds
<b>ASSETS</b>					
Cash and investments	\$ 16,851,523	\$ 88,933,647	\$ 146,200,905	\$ 10,038,538	\$ 262,024,613
Sales tax receivable	780,014	6,638,005	-	9,915,623	17,333,642
Interest receivable	-	37,808	20,027	-	57,835
Loans receivable	-	-	5,000,000	-	5,000,000
Other receivable	21,733	465,866	20,694	475	508,768
Land held for sale	-	-	4,068,000	-	4,068,000
Other assets	49,860	-	7,124	-	56,984
<b>Total Assets</b>	<u>\$ 17,703,130</u>	<u>\$ 96,075,326</u>	<u>\$ 155,316,750</u>	<u>\$ 19,954,636</u>	<u>\$ 289,049,842</u>
<b>LIABILITIES AND FUND BALANCES</b>					
<b>Liabilities</b>					
Accounts payable	\$ 261,910	\$ 15,137,566	\$ 5,394,801	\$ 9,915,659	\$ 30,709,936
<b>Total Liabilities</b>	<u>261,910</u>	<u>15,137,566</u>	<u>5,394,801</u>	<u>9,915,659</u>	<u>30,709,936</u>
<b>Fund Balances:</b>					
Restricted	-	80,937,760	149,921,949	10,038,977	240,898,686
Unassigned	17,441,220	-	-	-	17,441,220
<b>Total Fund Balances</b>	<u>17,441,220</u>	<u>80,937,760</u>	<u>149,921,949</u>	<u>10,038,977</u>	<u>258,339,906</u>
<b>Total Liabilities and Fund Balances</b>	<u>\$ 17,703,130</u>	<u>\$ 96,075,326</u>	<u>\$ 155,316,750</u>	<u>\$ 19,954,636</u>	<u>\$ 289,049,842</u>

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## RECONCILIATION OF THE OF GOVERNMENTAL FUNDS BALANCE SHEET TO THE STATEMENT OF NET ASSETS FEBRUARY 29, 2012

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Amounts reported for governmental activities in the Governmental Funds Balance Sheet are different from the Statement of Net Assets because of the following items:

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

Fund Balances on the Governmental Funds Balance Sheet	\$ 258,339,906
Capital assets used in governmental activities are not financial resources and therefore are not reported as assets in the Governmental Funds.	28,499
Net OPEB Obligation, due in more than one year	(76,418)
Net Assets on Statement of Net Assets	<u>\$ 258,291,987</u>

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

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## STATEMENT OF REVENUES, EXPENDITURES AND CHANGE IN FUND BALANCES FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

	General Fund	ACTIA Capital Projects Fund	ACTA Capital Projects Fund	Special Revenue Fund	Total Governmental Funds
<b>REVENUES</b>					
Sales tax	\$ 3,328,087	\$ 28,322,389	\$ -	\$ 42,307,005	\$ 73,957,481
Project revenue	-	10,047,094	17,018	-	10,064,112
Investment income	38,426	149,510	547,972	29,920	765,828
Other income	18,333	294,291	6,112	-	318,736
<b>Total Revenues</b>	<u>3,384,846</u>	<u>38,813,284</u>	<u>571,102</u>	<u>42,336,925</u>	<u>85,106,157</u>
<b>EXPENDITURES</b>					
Administrative	1,948,057	4,470	417,622	632,198	3,002,347
Transportation improvement					
Highways and streets	-	14,554,522	14,762,765	-	29,317,287
Public transit	-	24,150,333	-	22,724,889	46,875,222
Local transportation	-	5,642,692	-	18,867,503	24,510,195
<b>Total Expenditures</b>	<u>1,948,057</u>	<u>44,352,017</u>	<u>15,180,387</u>	<u>42,224,590</u>	<u>103,705,051</u>
<b>NET CHANGE IN FUND BALANCES</b>	<u>1,436,789</u>	<u>(5,538,733)</u>	<u>(14,609,285)</u>	<u>112,335</u>	<u>(18,598,894)</u>
<b>Fund Balances - Beginning</b>	<u>16,004,431</u>	<u>86,476,493</u>	<u>164,531,234</u>	<u>9,926,642</u>	<u>276,938,800</u>
<b>Fund Balances - Ending</b>	<u>\$ 17,441,220</u>	<u>\$ 80,937,760</u>	<u>\$ 149,921,949</u>	<u>\$ 10,038,977</u>	<u>\$ 258,339,906</u>

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

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## RECONCILIATION OF THE OF GOVERNMENTAL FUNDS STATEMENT OF REVENUES, EXPENDITURES, AND CHANGE IN FUND BALANCES TO THE STATEMENT OF ACTIVITIES FOR THE PERIOD ENDED FEBRUARY 29, 2012

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Amounts reported for governmental activities in the Governmental Funds Statement of Revenues, Expenditures, and Changes in Fund Balance are different from the Statement of Activities because of the following items:

Net Change in Fund Balances on Governmental Funds Statement of Revenues, Expenditures and Change in Fund Balances	\$ (18,598,894)
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Governmental fund financial statements are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Revenues are recognized when they are both measureable and available. On the government-wide financial statements, revenues are recorded when earned, regardless of the timing of related cash flows. The government-wide financial statements recognized this revenue in the previous fiscal year.	(10,000,000)
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Governmental fund financial statements are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. The Statement of Activities recognized this expense in the previous fiscal year.	33,491,509
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Capital outlays to purchase or build capital assets are reported in the governmental funds as expenditures, however for governmental activities those costs are capitalized in the Statement of Net Assets and allocated over the estimated useful life of the asset as depreciation.	(14,577)
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In the Statement of Activities, compensated absence are measured by the amounts earned during the year. In the governmental funds however, expenditures for these items are measured by the amount of financial resources used (essentially, the amounts actually paid). Change in compensated absences.	69,270
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In the Statement of Activities, the unfunded portion of the Net OPEB Obligation is recognized as an expense but does not impact the Statement of Revenue, Expenditures and Change in Fund Balances.	(555)
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Change in Net Assets on the Statement of Activities	<u><u>\$ 4,946,753</u></u>
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The accompanying notes are an integral part of these financial statements.

**ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY**

**FIDUCIARY FUNDS  
STATEMENT OF FUND NET ASSETS  
FEBRUARY 29, 2012**

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	<b>Retiree Benefits Trust Fund</b>
<b>ASSETS</b>	
Deposits and Investments	<u>\$ 910,071</u>
<b>LIABILITIES</b>	
Due to the Authority's General Fund	<u>8,969</u>
<b>NET ASSETS</b>	
Held in trust for OPEB benefits	<u><u>\$ 901,102</u></u>

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

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## FIDUCIARY FUNDS

### STATEMENT OF CHANGES IN FUND NET ASSETS

FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

	<u>Retiree Benefits Trust Fund</u>
<b>ADDITIONS:</b>	
Investments earnings	\$ 564
Contributions from other funds	<u>5,755</u>
Total Additions	<u>6,319</u>
<b>CHANGE IN NET ASSET</b>	
Net Assets- Beginning	<u>894,783</u>
Net Assets- Ending	<u>\$ 901,102</u>

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

# **ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY**

## **NOTES TO FINANCIAL STATEMENTS**

**FEBRUARY 29, 2012**

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### **NOTE 1 – REPORTING ENTITY**

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

The basic financial statements of the Authority include all of its financial activities. The Authority is the sole independent agency responsible for receiving and allocating funds necessary to complete the programs and was governed by an eleven-member board of elected officials from the County and local cities.

On March 25, 2010, the Authority, the Alameda County Congestion Management Agency (ACCMA), the County of Alameda, the fourteen cities within Alameda County, the Bay Area Rapid Transit District, and the Alameda-Contra Costa Transit District entered into a joint powers agreement. On June 24, 2010, the Boards of the Authority and ACCMA gave the final approval that created a joint powers agency, pursuant to the California Joint Exercise of Powers Act, known as the Alameda County Transportation Commission (Alameda CTC). On July 22, 2010, the Authority along with ACCMA joined the Alameda CTC joint powers authority.

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

On June 24, 2010, the ACTA Board adopted the resolution to transfer all of ACTA's assets, responsibilities, functions, and liabilities to the Authority, effective July 1, 2010. The ACTA Board also adopted the resolution that ACTA be dissolved, terminated, and extinguished effective July 1, 2010, following the transfer.

On February 29, 2012, at a joint meeting, the ACCMA's and the Authority's Boards of Directors adopted a resolution to transfer all of ACCMA's and the Authority's assets, responsibilities, functions, and liabilities to Alameda CTC effective March 1, 2012. Therefore, these financial statements purport the financial activities and the financial position of the Authority as of and for the eight months ending February 29, 2012.

Alameda CTC's mission is to plan, fund and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County. The Alameda CTC has all of the powers, functions, and responsibilities of both agencies along with certain additional powers as described in the JPA.



# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS

FEBRUARY 29, 2012

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### NOTE 2 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

#### Measurement Focus, Basis of Accounting, and Financial Statement Presentation

The government-wide financial statements are reported using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded when a liability is incurred, regardless of the timing of related cash flows. Sales tax revenues are recorded when the tax is due from the State Board of Equalization. Grants and similar items are recognized as revenue as soon as all eligibility requirements have been met.

Governmental fund financial statements are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Revenues are recognized as soon as they are both measurable and available. Revenues are considered to be available when they are collectable within the current period or soon enough thereafter to pay liabilities of the current period. For this purpose, the Authority considers revenues to be available if they are collected within sixty days of the end of the current fiscal period. Expenditures generally are recorded when a liability is incurred, as under accrual basis of accounting.

Sales taxes, investment income (including the change in the fair value of investments) and other income associated with the current fiscal period are all considered to be susceptible to accrual and so have been recognized as revenues of the current fiscal period using the modified accrual basis of accounting as described above.

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

The Authority reports the following major governmental funds:

**General Fund** - The general fund is Authority's primary operating fund. It accounts for all financial resources, except those required to be accounted for in another fund. A total of 4.5% of net sales tax revenues, by year end, will be allocated for administration of the Measure B sales tax program. Administration costs include salaries, benefits, professional fees, rent expense, office supplies and equipment, utilities and other costs that cannot be specifically identified with another fund. Measure B limits the salaries and benefits of the Authority's staff to 1% of sales tax revenues. Revenues in excess of administrative expenditures in any one year are reserved for future administrative costs.

**ACTIA Capital Projects Fund** - The ACTIA capital projects fund accounts for resources accumulated and payments made for the acquisition or construction of major capital improvements in accordance with the Alameda County 20-Year Transportation Expenditure Plan. The Authority does not retain ownership of these improvements as they are transferred to the sponsor or managing jurisdiction after completion.

**ACTA Capital Projects Fund** - The ACTA capital projects fund accounts for the construction of major capital improvements in accordance with the November 1986 Measure B program. The Authority does not retain ownership of these improvements as they are transferred to the sponsor or managing jurisdiction after completion.

**Transportation Programs Special Revenue Fund** - The special revenue fund accounts for resources accumulated as required by Measure B for restricted allocation to local cities and the County for local transportation improvements, including streets and roads, and to transit agencies for operations and maintenance.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS

FEBRUARY 29, 2012

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**Fiduciary Fund** - The fiduciary fund reporting focuses on net assets and changes in net assets. Trust funds are used to account for the assets held by the Authority under a trust agreement for individuals, private organizations, or other governments and are therefore not available to support the Authority's own programs. The Authority's fiduciary fund is a trust fund which accounts for retiree medical benefits and allocated sources to provide medical benefits for retirees.

### Use of Estimates

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

### Investments

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

### Budgetary Data

Following a public meeting, the Authority adopts an annual budget for all governmental fund types to be effective July 1 for the ensuing fiscal year. From the effective date of the budget, which is adopted and controlled at the program level, the amounts stated therein as proposed expenditures become appropriations to the various programs. The Authority approves all transfers between expenditure objects and overall budget modifications during the year as needed. For the capital projects fund, the Authority adopted a rolling budget methodology in fiscal year 2011-12 whereby any unutilized budget authority on a project is rolled to the next fiscal year. The Authority adopts increases requested to the budget by individual project with the annual budget. The Executive Director or designee approves reimbursements to the project sponsors, and reimbursements are not to exceed contract and strategic plan limits. Annual budgets are adopted on a basis consistent with generally accepted accounting principles. If expenditures or funding sources change throughout the year, the Authority may adopt updates to the budget.

### Capital Assets

Capital assets, which include leasehold improvements and office furniture and equipment, are reported in the government-wide financial statements. The Authority defines capital assets as assets with an initial individual cost of \$5,000 or more and an estimated useful life in excess of one year. Such assets are recorded at historical cost or estimated historical cost if purchased or constructed. Donated capital assets are recorded at the estimated fair market value at the date of donation. The costs of normal maintenance and repairs that do not add to the value of the asset or materially extend assets lives are not capitalized.

Capital assets of the Authority are depreciated using the straight-line method over the following estimated useful lives: office furniture and equipment, five years; computer equipment, three years; leasehold improvements, seven years.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### Land Held for Resale

Land held for resale is stated at the lower of historical cost or net realizable value.

### Compensated Absences

The Authority's policy permits employees to accumulate earned but unused vacation and sick pay benefits. Unused vacation and sick leave may be accumulated up to a specific maximum. The Authority is not obligated to pay for unused sick leave if an employee terminates employment prior to retirement or prior to when the Authority ceases operations.

### Interfund Transfers

Interfund transfers are generally recorded as transfers in/out except for reimbursements for services performed, which are recorded as a reduction of expenditures in the performing fund and an expenditure of the receiving fund.

## NOTE 3 - CASH AND INVESTMENTS

### Summary of Deposits and Investments

As of February 29, 2012, the Authority's cash and investments were as follows:

Governmental Funds	
Cash on hand and in banks	\$ (81,196)
Investments	262,105,809
Fiduciary Fund	910,071
Total cash and investments	<u>\$ 262,934,684</u>

### Policies and Practices

The Authority is authorized under California Government Code or its investment policy, when more restrictive, to make direct investments in local agency bonds, notes or warrants within the state, U.S. Treasury instruments, registered state warrants or treasury notes, securities of the U.S. Government, or its agencies, bankers acceptances, commercial paper, certificates of deposit placed with commercial banks and/or savings and loan companies, repurchase or reverse repurchase agreements, medium term corporate notes, shares of beneficial interest issued by diversified management companies, certificates of participation, obligations with first priority security, and collateralized mortgage obligations.

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

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

**Credit Risk** - Credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. Investment ratings as determined by S&P are as follows:

Investment Type	AAA	AA+	A-1+	A-1	A+	Not Rated	Total
US Agency Securities	\$ -	\$ 90,319,980	\$ -	\$ -	\$ -	\$ -	\$ 90,319,980
US Treasury Bonds	-	17,749,625	-	-	-	-	17,749,625
Corporate Notes	-	26,636,388	7,198,224	2,397,948	2,597,128	-	38,829,689
Money Market							
Mutual Funds	18,734,216	-	-	-	-	-	18,734,216
Local Agency							
Investment Fund	-	-	-	-	-	97,382,370	97,382,370
Total Investments	<u>\$ 18,734,216</u>	<u>\$ 134,705,993</u>	<u>\$ 7,198,224</u>	<u>\$ 2,397,948</u>	<u>\$ 2,597,128</u>	<u>97,382,370</u>	<u>263,015,880</u>
Cash in Bank						(81,196)	(81,196)
Total Cash and Investments						<u>\$ 97,301,174</u>	<u>\$ 262,934,684</u>

**Custodial Credit Risk, Deposits** - Custodial credit risk for deposits is the risk that in the event of a bank failure, deposits may not be returned to the Authority. The California Government Code requires that a financial institution secure deposits made by state or local governmental units by pledging securities in an undivided collateral pool held by a depository regulated under state law (unless so waived by the governmental unit). The market value of the pledged securities in the collateral pool must equal at least 110% of the total amount deposited by the public agency. California law also allows financial institutions to secure public deposits by pledging first trust deed mortgage notes having a value of 150% of the secured public deposits and letters of credit issued by the Federal Home Loan Bank of San Francisco having a value of 105% of the secured deposits. As of February 29, 2012, the Authority's bank balance of \$3,003,390 was exposed to custodial credit risk because it was not insured. However, it was collateralized with securities held by the pledging financial institution's trust department or agent, but not in the name of the Agency.

**Custodial Credit Risk, Investments** - Custodial credit risk for investments is the risk that, in the event of the failure of the counterparty, the Authority will not be able to recover the value of its investments or collateral securities that are in possession of an outside party. The Authority has a custodial credit risk exposure of \$116,116,586 because the related securities are uninsured, unregistered and held by the California Local Agency Investment Fund or other mutual funds which are also the counterparties for these securities.

**Concentration of Credit Risk**—On February 29, 2012 the Authority had the following investments exceeding 5% of the total investments in each single issuer:

Issuer	Investment Type	Reported Amount
Federal Home Loan Bank	Federal Agency Security	\$ 31,035,828
Federal Home Loan Mortgage Corporation	Federal Agency Security	20,875,391
Federal National Mortgage Association	Federal Agency Security	19,269,313

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

### Interest Rate Risk

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

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

Investment Type	12 Months or less	13 to 24 Months	Total
US Agencies Securities	\$ 65,362,820	\$ 24,957,160	\$ 90,319,980
US Treasury Bonds	16,236,192	1,513,433	17,749,625
Corporate Notes	38,829,689	-	38,829,689
Money Market Mutual Funds	18,734,216	-	18,734,216
California Local Agency Investment Fund	97,382,370	-	97,382,370
Total Investments	236,545,287	26,470,593	263,015,880
Cash in Bank	(81,196)	-	(81,196)
Total Cash and Investments	\$ 236,464,091	\$ 26,470,593	\$ 262,934,684

**General Authorizations**— Limitations as they relate to interest rate risk and concentration of credit risk are indicated in the schedules below:

Authorized Investment Type	Maximum Remaining Maturity	Maximum Percentage of Portfolio	Maximum Investment In One Issuer	Minimum Credit Quality
Local Agency Bonds, Notes, Warrants	5 years	10%	5%	Aa
Registered State Bonds, Notes, Warrants	5 years	10%	5%	Aa
U.S. Treasury Obligations	5 years	None	None	None
U.S. Agency Securities	5 years	None	35%	Aaa
Banker's Acceptance	180 days	40%	5%	Al
Commercial Paper	270 days	25%	5%	Al
Negotiable Certificates of Deposit	3 years	30%	5%	Aa
Repurchase Agreements	90 days	20%	None	None
Medium-Term Notes	5 years	30%	5%	Aa
Money Markets	N/A	20%	5%	Aaa
County Pooled Investment Funds	N/A	None	None	None
Local Agency Investment Fund	N/A	None	None	None

Policy also dictates that a maximum of 5% of total portfolio can be deposited with the California Asset Management Program (CAMP).

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### NOTE 4 – CAPITAL ASSETS

#### Capital Assets – Governmental Activities

Capital asset activity for the eight months ended February 29, 2012, was as follows:

	<u>July 1, 2011</u>	<u>Additions</u>	<u>February 29, 2012</u>
Capital assets being depreciated:			
Furniture, equipment and leasehold improvements	\$ 199,007	\$ -	\$ 199,007
Less accumulated depreciation for:			
Furniture, equipment and leasehold improvements	(155,931)	(14,577)	(170,508)
Governmental activities capital assets, net	<u>\$ 43,076</u>	<u>\$ (14,577)</u>	<u>\$ 28,499</u>

### NOTE 5 – COMMITMENTS AND CONTINGENT LIABILITIES

#### Agreements with Engineering Firms

The Authority has entered into contracts with various private engineering firms to provide scoping/planning, engineering, environmental, design, right-of-way engineering and acquisition, and construction management services. As of February 29, 2012, the total outstanding commitments (not paid or accrued) are \$16.0 million. The terms range from February 29, 2012, for up to five years (or acceptance of the phase of work, whichever is earlier).

#### Agreements with Project Sponsors

The Authority has entered into agreements with various project sponsors to provide scoping/planning, engineering, environmental, design, right-of-way engineering and acquisition, construction management and equipment purchase services. As of February 29, 2012, the total outstanding commitments (not paid or accrued) are \$374.8 million. The terms range from February 29, 2012, for up to seven years (or acceptance of the phase of work, whichever is earlier).

#### Operating Lease Commitments

The Authority has entered into an operating lease agreement with CIM/Oakland 1333 Broadway LP for rental of facilities with commitments through November 2013. Future minimum rental payments are as follows:

<u>Year Ending June 30</u>	<u>Lease Payments</u>
2013	\$ 382,593
2014	161,370
Total	<u>\$ 543,963</u>

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS

**FEBRUARY 29, 2012**

The Authority has entered into sublease agreements for rental of facilities with Moffatt & Nichol (\$3,500.00 per month), Acumen Building Enterprise, Inc. (\$1,070.00 per month), Nelson\Nygaard Consulting Associates (\$745.00 per month), Rochelle Wheeler (\$417.00 per month), and L. Luster and Associates (\$274.00 per month) effective from July 1, 2011. These sublease agreements are month-to-month tenancy and are terminable for any reason whatsoever with 30 days written notice given at any time by either party.

### Insurance, Claims and Litigation

The Authority is exposed to various risks of loss related to torts: thereof, damage to, and destruction of assets; errors and omissions; and natural disasters. The Authority has purchased commercial insurance coverage for general liability, worker's compensation, directors and officers liability, automobile liability, and property coverage. The amounts of settlements for the past three fiscal years have not exceeded insurance coverage.

Type of Coverage	Deductible	Coverage up to
Property liability	\$ 1,000	\$ 200,000 per occurrence
General liability	1,000	1,000,000 per occurrence
Workers' compensation	-	1,000,000 aggregate
Employment practices	35,000	2,000,000 per occurrence
Director & officers	25,000	2,000,000 per occurrence
Crime	75,000	10,000,000 per occurrence
Umbrella/excess	10,000	4,000,000 aggregate

### NOTE 6 – RETIREMENT PLAN

#### Plan Description

The Authority is part of the miscellaneous 2.5% at 55 risk pool, a cost-sharing multiple-employer defined benefit plan. All employees are eligible to participate in the Public Employees' Retirement Fund (the Fund) of the California Public Employees' Retirement System (CalPERS). The Fund is an agent multiple-employer defined benefit retirement plan that acts as a common investment and administrative agent for various local and state governmental agencies within the State of California. The Fund provides retirement, disability and death benefits based on the employee's years of service, age and final compensation. Employees vest after five years of service and may receive retirement benefits at age fifty. These benefit provisions and all other requirements are established by state statute. CalPERS issue a publicly available Comprehensive Annual Financial Report (CAFR). The CalPERS CAFR may be obtained by written request to the State of California's Public Employees' Retirement System at PO Box 942709, Sacramento, California 94229-2709.

#### Funding Policy

The total payroll for the period ended February 29, 2012 was \$659,701, which is the approximate covered payroll for employees participating in the Fund. Employees have an obligation to contribute 8% of their salary to the plan; however, the Authority contributed 7% of this contribution on the employee's behalf through January 31 and 5% for the month of February. The Authority is required to contribute the employer portion at an actuarially determined rate. The average rate for the period ended February 29, 2012 was 13.4% of covered payroll.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

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### Annual Pension Cost

The annual pension costs was equal to the required contribution, which was determined as part of an actuarial valuation performed as of June 30, 2010, using the entry age normal cost method. The significant actuarial assumptions used in the valuation were an assumed rate of return on investment assets of 7.75%, projected salary increases ranging from 3.25% to 14.45%, annual payroll growth of 3.25% and inflation of 3%. The actuarial value of assets was determined using techniques that smooth the effects of short-term market value fluctuations over a fifteen-year period.

### Three-Year Trend Information

The following table shows required contributions and percentage contributed for the current year and each of the preceding two years.

Eight Months Ended	Annual Pension Cost (APC)	Percentage of APC Contributions	Net Pension Obligation
February 29, 2012	\$ 157,544	100%	\$ -
Fiscal Year Ended			
June 30, 2011	163,942	100%	-
June 30, 2010	176,843	100%	-

### NOTE 7 – OTHER POSTEMPLOYMENT BENEFITS (OPEB)

#### Plan Description

The Authority accumulates funds to pay for other postemployment benefits through a trust. The trust was established to provide lifetime healthcare benefits to retired employees and their eligible family members. These benefit provisions were established and may be amended by the Authority. Contributions for retirees will never exceed the amount contributed on behalf of active employees.

Effective February 1, 2012, the Authority offers retiree health benefits under a Retiree Health Reimbursement Arrangement. Retirees are eligible for benefits if they retire from the Authority under CalPERS within 120 days of employment and have ten years of credited service with CalPERS including at least five years with the Authority. Authority contributions are based on years of public service and the following formula: 50% after ten years with an additional 5% for each additional year of service reaching a maximum of 100% after twenty years of service.

The plan is authorized under the Board Resolution 04-0054. The Authority reports the financial activity of the Plan as a trust/agency fund, and no separate financial report is prepared. Membership of the plan consisted of the following:



# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

Retirees receiving benefits	5
Active plan members	6
Total	<u>11</u>

### Funding Policy

Contribution requirements and the plan members are established and may be amended by the Governing Board. The contribution maximum is based on the Kaiser premium for the retired employee plus one available through the CalPERS medical program. During the period ended February 29, 2012, the Authority contributed \$24,154.

### Annual Post Retirement Benefit Costs and Net Post Retirement Benefit Obligations

The annual OPEB cost (expense) is calculated based on the annual required contribution (ARC) of the employer, an amount actuarially determined in accordance with the parameters of GASB Statement No. 45. The ARC represents a level of funding that, if paid on an ongoing basis, is projected to cover normal cost each year and amortize any unfunded actuarial accrued liabilities (UAAL) (or funding excess) over a period not to exceed thirty years. The following table shows the components of the Authority's annual OPEB cost for the eight months ended February 29, 2012, the amount actually contributed to the plan, and changes in the Authority's net OPEB obligation:

Normal Cost at February 29, 2012	\$ 22,495
Amortization of UAAL	<u>1,659</u>
Annual required contribution (ARC)	24,154
Interest on prior year Net OPEB Obligation	4,257
Adjustment to ARC	<u>(3,702)</u>
Annual OPEB Cost	24,709
Contributions made	<u>(24,154)</u>
Change in Net OPEB Obligation	555
Net OPEB Obligation- Beginning of Year	<u>75,863</u>
Net OPEB Obligation- February 29, 2012	<u>\$ 76,418</u>

Trend information for annual OPEB cost, the percentage of annual OPEB cost contributed to the Plan, and the net OPEB obligation is as follows:

Period End	Annual OPEB Cost	Actual Contribution	Percentage Contributed	Net OPEB Obligation
February 29, 2012	\$ 24,709	\$ 24,154	98%	\$ 76,418
June 30, 2011	20,659	-	0%	75,863
June 30, 2010	17,853	-	0%	55,204
June 30, 2009	19,572	-	0%	37,351
June 30, 2008	17,119	-	0%	17,119

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

### Funded Status and Funding Progress

Actuarial valuations of an ongoing plan involve estimates of the value of reported amounts and assumptions about the profitability of occurrence of events far into the future. Examples include assumptions about future employment, mortality and the healthcare cost trend. Amounts determined regarding the funded status of the plan and the ARCs of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. The schedule of funding progress presents information on the actuarial value of plan assets relative to the actuarial accrued liabilities for benefits.

### OPEB Schedule of Funding Progress

The table below presents multi-year trend information about whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liability for benefits.

Actuarial Valuation Date	Actuarial Liability (AAL) (a)	Actuarial Value of Assets (b)	Unfunded AAL (UAAL) (a)-(b)	Funded Status (b)/(a)	Annual Covered Payroll (c)	UAAL As a Percentage of Covered Payroll [(a)-(b)/(c)]
July 1, 2011	\$ 947,119	\$ 909,508	\$ 37,611	96%	\$ 968,105	4%
June 30, 2010	718,209	953,857	(235,648)	133%	1,036,286	-23%
June 30, 2009	665,583	923,339	(257,756)	139%	1,037,158	-25%

### Actuarial Method and Assumptions

Projections of benefits for financial reporting purposes are based on the substantive plan (the plan as understood by the employer and plan members) and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefits costs between the employer and the plan members to that point. The actuarial methods and assumptions used included techniques that are designed to reduce the effects of short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

The actuarial cost method used for determining the benefit obligations is the Projected Unit Credit (PUC) Actuarial Cost Method. Under the PUC cost method the actuarial present value of projected benefits is allocated ratably over the service of individuals between entry age and the assumed exit age(s). In this valuation, each individual's attribution period extends from hire date to estimated retirement date. The actuarial assumptions included a 7.61% discount rate and 7.61% investment rate of return. The retirement, mortality, and termination rates used in this valuation are used in CalPERS pension valuations. The actuarial valuation assumed that the annual health care cost trend rates will decrease gradually from the relatively high rate of annual increase in the past, depending on the age of the employee and the year being projected. The health care cost long-term annual rate is expected to increase by 7.3% in 2013. The increase is expected to gradually decline to an increase rate of 5.5% as of 2019 and thereafter.

The UAAL is being amortized as a level dollar method on a closed basis over 30 years with 26 years remaining at February 29, 2012. Any administrative fees other than those included in the monthly premium rates are not included in the actuarial valuation. The actuarial valuation also does not include any liability estimates for future hires.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS

FEBRUARY 29, 2012

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### NOTE 8 – RELATED PARTY LOAN RECEIVABLE

The Authority entered into a loan agreement with the Alameda County Congestion Management Agency (ACCMA) dated March 24, 2011, whereby the Authority agreed to loan up to \$25 million from its Alameda County Transportation Authority (ACTA) Capital Projects Fund, if needed. The outstanding loan receivable from ACCMA at February 29, 2012, was \$5 million. The loan carries no interest and is repayable to the Authority when the ACCMA is in a position to do so, which is expected to be during the fiscal year 2014-15. The ACCMA may repay the loan, in whole or in part, at any time without penalty.

### NOTE 9 – NET ASSETS AND FUND BALANCES

#### Net Assets

Net assets are the excess of all assets over all liabilities, regardless of fund. Net assets are divided into three categories and are applicable only at the government-wide level. The categories are the following:

**Invested in Capital Assets** – Invested in capital assets describes the portion of net assets, which is represented by the current net book value of capital assets.

**Restricted Net Assets** – Restricted net assets describe the portion of net assets which is restricted as to use by the terms and conditions of agreements with outside parties, governmental regulations, laws, or other restrictions which the Authority cannot unilaterally alter. When both restricted and unrestricted net assets are available, unrestricted resources are used only after the restricted resources are depleted.

**Unrestricted Net Assets** – Unrestricted net assets describe the portion of net assets that is not restricted as to use.

#### Fund Balances

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

The fund balances are classified in accordance with Governmental Accounting Standards Board Statement Number 54 (GASB 54), *Fund Balance Reporting and Governmental Fund Type Definitions*, which requires the classification of fund balances based on spending constraints imposed on the use of resources. For programs with multiple funding sources, the Authority prioritizes and expends funds in the following order: Restricted, Committed, Assigned, and Unassigned. Each category in the following hierarchy is ranked according to the degree of spending constraint. The classifications are discussed in more detail below:

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

**Unassigned** – In the general fund only, the unassigned fund balance classification reflects the residual balance that has not been assigned to other funds and that is not restricted, committed, or assigned to specific purposes. The following table provides detailed classifications of the Authority's fund balances, on February 29, 2012.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTES TO FINANCIAL STATEMENTS FEBRUARY 29, 2012

Fund balances	General Fund	ACTIA Capital Projects Fund	ACTA Capital Projects Fund	Special Revenue Fund	Total
Restricted					
ACTIA Capital Projects	\$ -	\$ 80,937,760	\$ -	\$ -	\$ 80,937,760
ACTA Capital Projects	-	-	149,921,949	-	149,921,949
Express Bus	-	-	-	2,181,026	2,181,026
Regional Bike and Pedestrian	-	-	-	4,522,724	4,522,724
Transit Oriented Development	-	-	-	958,214	958,214
Passthrough	-	-	-	2,362	2,362
Paratransit	-	-	-	2,374,651	2,374,651
Unassigned	17,441,220	-	-	-	17,441,220
Total fund balances	<u>\$ 17,441,220</u>	<u>\$ 80,937,760</u>	<u>\$ 149,921,949</u>	<u>\$ 10,038,977</u>	<u>\$ 258,339,906</u>

***REQUIRED SUPPLEMENTARY INFORMATION***

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## SCHEDULE OF REVENUES, EXPENDITURES, AND CHANGE IN FUND BALANCES- BUDGET AND ACTUAL- GENERAL FUND FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012

	Budgeted Amounts		Actual	Variance- Final Budget to Actual Favorable (Unfavorable)
	Original	Final		
Revenues				
Sales tax	\$ 3,120,000	\$ 3,328,087	\$ 3,328,087	\$ -
Investment income	2,467	2,467	38,426	35,959
Other	-	-	18,333	18,333
Total revenues	<u>3,122,467</u>	<u>3,330,554</u>	<u>3,384,846</u>	<u>54,292</u>
Expenditures				
Administration	<u>2,352,304</u>	<u>2,690,827</u>	<u>1,948,057</u>	<u>742,770</u>
Net change in fund balances	770,163	639,726	1,436,789	797,063
Fund Balances - Beginning	<u>16,004,431</u>	<u>16,004,431</u>	<u>16,004,431</u>	<u>-</u>
Fund Balances - Ending	<u>\$ 16,774,594</u>	<u>\$ 16,644,157</u>	<u>\$ 17,441,220</u>	<u>\$ 797,063</u>

**ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY**

**SCHEDULE OF REVENUES, EXPENDITURES, AND CHANGE  
IN FUND BALANCES- BUDGET AND ACTUAL- SPECIAL REVENUE FUND  
FOR THE EIGHT MONTHS ENDED FEBRUARY 29, 2012**

	Budgeted Amounts		Actual	Variance- Final Budget to Actual Favorable (Unfavorable)
	Original	Final		
Revenues				
Sales tax	\$ 39,661,753	\$ 42,307,005	\$ 42,307,005	\$ -
Investment income	1,833	1,833	29,920	28,087
Total revenues	39,663,587	42,308,838	42,336,925	28,087
Expenditures				
Transportation improvement	40,539,383	44,457,558	42,224,590	2,232,968
Net change in fund balances	(875,796)	(2,148,720)	112,335	2,261,055
Fund Balances - Beginning	9,926,642	9,926,642	9,926,642	-
Fund Balances - Ending	\$ 9,050,846	\$ 7,777,922	\$ 10,038,977	\$ 2,261,055

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***SUPPLEMENTARY INFORMATION***

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**ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY**

**COMBINING SCHEDULE OF THE BALANCE SHEET OF THE SPECIAL REVENUE  
FUND BY PROJECT OR PROGRAM  
FEBRUARY 29, 2012**

	<b>Express Bus</b>	<b>Regional Bike and Pedestrian</b>	<b>Programs Distribution</b>	<b>Transit- Oriented Development</b>	<b>Paratransit</b>	<b>Total</b>
<b>ASSETS</b>						
Cash and investments	\$ 2,067,648	\$ 4,545,809	\$ 2,362	\$ 1,051,678	\$ 2,371,041	\$ 10,038,538
Sales tax receivables	115,875	206,920	9,324,659	31,452	236,717	9,915,623
Other receivables	-	-	-	-	475	475
<b>Total Assets</b>	<b>\$ 2,183,523</b>	<b>\$ 4,752,729</b>	<b>\$ 9,327,021</b>	<b>\$ 1,083,130</b>	<b>\$ 2,608,233</b>	<b>\$ 19,954,636</b>
<b>LIABILITIES AND FUND BALANCES</b>						
<b>Liabilities</b>						
Accounts payable	\$ 2,497	\$ 230,005	\$ 9,324,659	\$ 124,916	\$ 233,582	\$ 9,915,659
<b>Fund Balances</b>						
Restricted	2,181,026	4,522,724	2,362	958,214	2,374,651	10,038,977
<b>Total Liabilities and Fund Balances</b>	<b>\$ 2,183,523</b>	<b>\$ 4,752,729</b>	<b>\$ 9,327,021</b>	<b>\$ 1,083,130</b>	<b>\$ 2,608,233</b>	<b>\$ 19,954,636</b>

See accompanying note to supplementary information.

**ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY**

**COMBINING SCHEDULE OF THE STATEMENT OF REVENUES, EXPENDITURES  
AND CHANGES IN FUND BALANCE OF THE SPECIAL REVENUE FUND BY  
PROJECT OR PROGRAM  
FOR THE PERIOD ENDED FEBRUARY 29, 2012**

	<b>Express Bus</b>	<b>Regional Bike and Pedestrian</b>	<b>Programs Distribution</b>	<b>Transit- Oriented Development</b>	<b>Paratransit</b>	<b>Total</b>
<b>REVENUES:</b>						
Sales tax	\$ 494,406	\$ 882,867	\$ 39,785,538	\$ 134,194	\$ 1,010,000	\$ 42,307,005
Investment income	6,145	13,646	-	3,268	6,861	29,920
<b>Total Revenues</b>	<u>500,551</u>	<u>896,513</u>	<u>39,785,538</u>	<u>137,462</u>	<u>1,016,861</u>	<u>42,336,925</u>
<b>EXPENDITURES:</b>						
Transportation improvement						
Administration	25,018	323,460	(2,097)	15,880	269,937	632,198
Public transit	255,336	-	21,358,329	396,820	714,404	22,724,889
Local transportation	-	440,295	18,427,208	-	-	18,867,503
<b>Total expenditures</b>	<u>280,354</u>	<u>763,755</u>	<u>39,783,440</u>	<u>412,700</u>	<u>984,341</u>	<u>42,224,590</u>
<b>Net change in fund balances</b>	220,197	132,758	2,098	(275,238)	32,520	112,335
<b>Fund balances, beginning</b>	1,960,829	4,389,966	264	1,233,452	2,342,131	9,926,642
<b>Fund balances, ending</b>	<u>\$ 2,181,026</u>	<u>\$ 4,522,724</u>	<u>\$ 2,362</u>	<u>\$ 958,214</u>	<u>\$ 2,374,651</u>	<u>\$ 10,038,977</u>

See accompanying note to supplementary information.

# ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

## NOTE TO SUPPLEMENTARY INFORMATION FOR THE PERIOD ENDED FEBRUARY 29, 2012

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### NOTE 1 – PURPOSE OF SCHEDULES

#### **Nonmajor Governmental Fund Balance Sheet and Statement of Revenues, Expenditures and Change in Fund Balances**

The Combining Schedule of the Special Revenue Fund Project or Program Balance Sheet and the Schedule of Revenues, Expenditures and Change in Fund Balances, is included to provide information regarding the individual subfunds included in the Special Revenue Fund column on the Governmental Funds Balance Sheet and Statement of Revenues, Expenditures, and Change in Fund Balances.

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**Vavrinek, Trine, Day & Co., LLP**  
Certified Public Accountants & Consultants

VALUE THE DIFFERENCE

## INDEPENDENT ACCOUNTANT'S REPORT

Board of Directors  
Alameda County Transportation Commission  
Oakland, California

We have audited the basic financial statements of the Alameda County Transportation Improvement Authority (the Authority) as of and for the eight months ended February 29, 2012, and have issued our report thereon dated **November 00, 2012**. We have also audited the accompanying Alameda County Transportation Improvement Authority Limitations Worksheet (the Worksheet) for the eight months ended February 29, 2012. The Worksheet is the responsibility of the Authority's management. Our responsibility is to express an opinion on the Worksheet based on our audit.

We conducted our audit of the Worksheet in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the Worksheet is free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the Worksheet. An audit also includes assessing the accounting principles used and the significant estimates made by management, as well as evaluating the overall worksheet presentation. We believe that our audit provides a reasonable basis for our opinion.

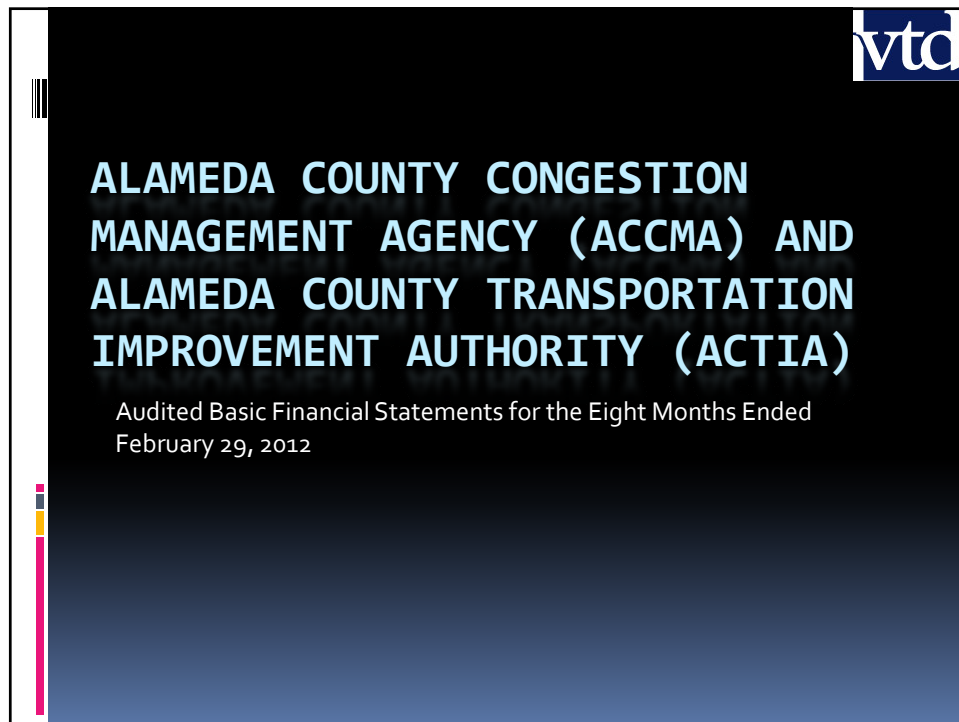
In our opinion, the Worksheet referred to above, presents fairly, in all material respects, the administrative cost and related percentages of the Authority for the eight months ended June 30, 2012, in conformity with the accounting principles generally accepted in the United States of America.

Palo Alto, California  
**November 00, 2012**

**Alameda County Transportation Improvement Authority  
Limitations Worksheet**

Basis for Salary and Benefits Limitation and the Administrative Cost Limitation

	<b>Eight Months Ended February 29, 2012</b>
<b><u>Revenues</u></b>	
Net Sales Tax Proceeds	\$ 73,957,481
Investments & Other Income - Net of Related Costs	10,577,575
Funds Generated	<u>\$ 84,535,056</u>
<b><u>Expenditures</u></b>	
Gross Salaries and Benefits	\$ 652,742
Other Administration Costs	1,295,315
Total Administration Costs	<u>\$ 1,948,057</u>
<b><u>Transportation Expenditure Plan Requirements</u></b>	
<i>Compliance on Salary and Benefits Cost Limitation (Maximum Allowed is 1%)</i>	
Ratio of Gross Salaries and Benefits to Net Sales Tax Revenues	0.8826%
<i>Compliance on Administration Costs Limitation (Maximum Allowed is 4.5%)</i>	
Ratio of Total Administration Costs to Net Sales Tax Proceeds	2.6340%
<b><u>Public Utilities Commission 180109 Requirement</u></b>	
<i>Compliance on Salary and Benefits Cost Limitation (Maximum Allowed is 1%)</i>	
Ratio of Gross Salaries and Benefits to Funds Generated	0.7722%



## Required Communications

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

## ACCMA Financial Highlights

- Total net assets were \$17.5 million, an increase of \$7.5 million or 75.8% over the prior fiscal year. This increase is due to collections beginning on the new Measure F Vehicle Registration Fee (VRF), passed by the voters in November 2010.
- Total revenues decreased by 33.4% from \$44.1 million for fiscal year 2010-11 to \$29.4 million for the period July 1, 2011 through February 29, 2012. Similarly, the ACCMA's expenditures decreased by 49.7% from \$43.5 million in fiscal year 2010-11 to \$21.8 million for the period July 1, 2011 through February 29, 2012. These decreases can be attributed to the abbreviated reporting period for the period July 1, 2011 through February 29, 2012, the official termination date of the agency.
- Cash and investments (restricted and unrestricted) totaled \$30.7 million, an increase of \$6.7 million or 27.7% over the prior fiscal year. This increase also is due to collections beginning on the new Measure F VRF.
- The General Fund reported a net decrease in fund balance at February 29, 2012 of \$34 thousand or 13.6% from the fund balance at June 30, 2011.



## ACCMA - Statement of Net Asset

### February 29, 2012 (in thousands of dollars)

#### Assets:

Cash and Investments	\$30,665
Receivables	31,103
Capital Assets, net	<u>131</u>
Total Assets	61,899

#### Liabilities:

Payables	15,257
Deferred Revenue	<u>29,157</u>
Total Liabilities	44,414

#### Net Assets:

Investment in Capital Assets	131
Restricted for Planning & Construction	17,138
Unrestricted	<u>216</u>
Total Net Asset	<u>\$17,485</u>

## ACCMA

### Statement of Activities

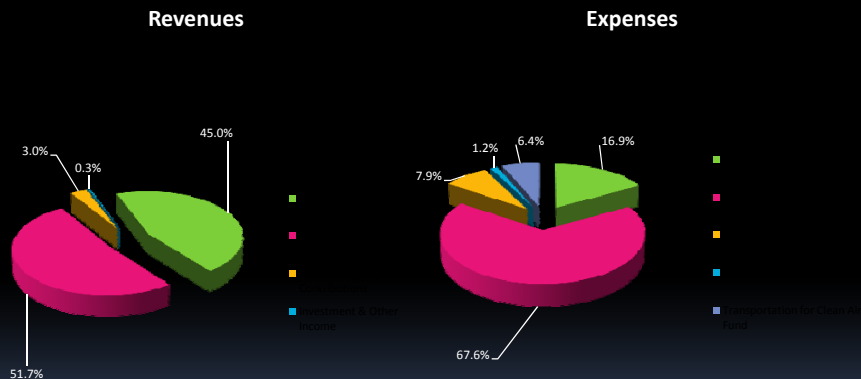
### for the Eight Months Ended February 29, 2012

(in thousands of dollars)

#### Governmental Activities

Program Revenues	
Operating Revenues	\$13,211
Capital Revenues	<u>15,193</u>
Total Program Revenues	28,404
Expenses	
Administration	2,813
Congestion Management	<u>19,035</u>
Total Expenses	<u>21,848</u>
Total Governmental Activities	6,556
General Revenues	981
Change in Net Assets	7,537
Net Assets – Beginning	<u>9,948</u>
Net Assets – Ending	<u>\$17,485</u>

## ACCMA Revenues & Expenses



## ACCMA Auditor Opinion

ACCMA received what is referred to as unqualified or clean audit opinion for the Eight Months Ended February 29, 2012.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Agency, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America. "

## ACTIA Financial Highlights

- Total Assets decreased by \$22.6 million or 7.3% from \$311.7 million to \$289.1 million as of February 29, 2012 compared to June 30, 2011. Cash and investments comprised \$262.0 million or 90.6% of the total assets as of February 29, 2012.
- Sales tax revenue for all funds was \$74.0 million during the period July 1, 2011 through February 29, 2012, a decrease of \$31.4 million or 29.8% from fiscal year 2011 due to the abbreviated reporting period.
- Total expenses were \$70.2 million during the period July 1, 2011 through February 29, 2012, a decrease of \$97.9 million or 58.3% from fiscal year 2011. This amount included \$2.9 million for administration, \$19.9 million for highways and streets, \$23.8 million for public transit and \$23.5 million for local transportation.
- Total liabilities decreased \$27.6 million or 47.2% from \$58.3 million to \$30.8 million as of February 29, 2012 compared to June 30, 2011 due to a change in methodology used for capital project accruals during fiscal year 2011.
- Total net asset increased by \$4.9 million or 2.0% to \$258.3 million as of February 29, 2012 compared to June 30, 2011.

## ACTIA Statement of Net Asset February 29, 2012 (in thousands of dollars)

### Assets:

Cash and Investments	\$262,025
Receivables	22,900
Land Held for Resale	4,068
Other Assets	57
Capital Assets, net	<u>28</u>
Total Assets	289,078

### Liabilities:

Payables and Accrued Liabilities	30,710
Deferred Revenue	<u>76</u>
Total Liabilities	30,786

### Net Assets:

Investment in Capital Assets	28
Restricted for Transp. Projects/Programs	240,823
Unrestricted	<u>17,441</u>
Total Net Asset	<u>\$258,292</u>

## ACTIA

### Statement of Activities

### for the Eight Months Ended

February 29, 2012 (in thousands of dollars)

#### Governmental Activities

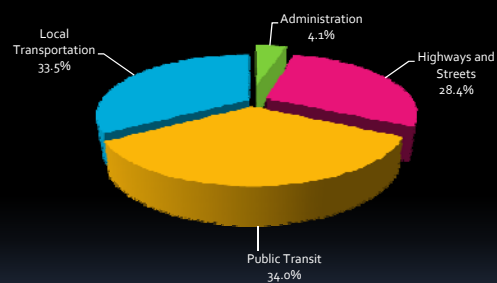
Program Revenues	
Capital Revenues	\$ 64
Expenses	
Administration	2,948
Transportation Improvements	<u>67,211</u>
Total Expenses	<u>70,159</u>
Total Governmental Activities	(70,095)
General Revenues	75,042
Change in Net Assets	4,947
Net Assets – Beginning	<u>253,345</u>
Net Assets – Ending	<u>\$258,292</u>

## ACTIA Revenues & Expenses

Revenues



Expenses






## ACTIA Auditor Opinion

ACTIA received what is referred to as unqualified or clean audit opinion for the Eight Months Ended February 29, 2012.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities and each major fund of the Alameda County Transportation Improvement Authority, as of February 29, 2012, and the respective changes in financial position for the eight months then ended in conformity with accounting principles generally accepted in the United States of America."



ACCMA & ACTIA  
February 29, 2012

# Questions?

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Immediate Past President  
TIM SBRANTI  
Mayor of Dublin

President  
STEPHEN H. CASSIDY  
Mayor of San Leandro

Vice President  
JOHN MARCHAND  
Mayor of Livermore

## *Alameda County Mayors' Conference*

Alameda  
Marie Gilmore

Albany  
Farid Javandel

Berkeley  
Tom Bates

Dublin  
Tim Sbranti

Emeryville  
Jennifer West

Fremont  
Gus Morrison

Hayward  
Mike Sweeney

Livermore  
John Marchand

Newark  
Al Nagy

Oakland  
Jean Quan

Piedmont  
John Chiang

Pleasanton  
Jennifer Hosterman

San Leandro  
Stephen H. Cassidy

Union City  
Mark Green

Executive Director  
Nancy Ortenblad



November 15, 2012

Alameda County Transportation Commission  
Attn: Angie Ayers  
1333 Broadway, Suite 300  
Oakland, CA 94612

Dear Ms. Ayers:

At its regular meeting of November 14, 2012 the Alameda County Mayors' Conference appointed Steve Jones (District 1) to serve a two-year term on the Watchdog Committee.

Attached is his application.

Sincerely,

Nancy Ortenblad  
Executive Director

ALAMEDA COUNTY TRANSPORTATION IMPROVEMENT AUTHORITY

NOMINATION

CITIZENS WATCHDOG COMMITTEE

TO: ACTIA's Governing Board  
FROM: Alameda County Mayors' Conference  
DATE: November 2, 2012



I HEREBY NOMINATE Steve Jones

to serve on the Alameda County Transportation Improvement Authority's Citizens Watchdog Committee.

Home Address 7762 TAMARACK City Dublin Zip 94568

Business Address <sup>21425</sup> INTERNATIONAL BLVD City OAKLAND Zip 94601

Occupation SALES / Warehouse MGT

Phone: Office: (510) 533-3333 Home: (925) 828-3574

Comments and Special Qualifications:

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Please indicate yes or no:

Individual is a resident of Alameda County

✓ yes

Individual is an elected official

NO

Individual is a public employee from an agency  
that benefits from or oversees the tax

NO

List the organizations to which the individual is an active member:

Dublin LIONS CLUB  
Dublin HISTORICAL PRESERVATION ASSOCIATION

Attachments:

Bio or Resume

RECEIVED

NOV 13 2012

CITY OF DUBLIN  
CITY MANAGER'S OFFICE



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Steven A Jones  
7762 Tamarack Drive  
Dublin Ca 94568  
[Steve6gd@yahoo.com](mailto:Steve6gd@yahoo.com)  
Home Phone: 925-828-3514  
Work Cell: 510-867-0099

**Work**  
**Experience**

General Auto and Truck Parts  
Outside Sales for Government Contracts  
1995 to Present

- City of Oakland for the Automotive and Heavy Equipment Yards
- County of Alameda GSA division
- Make calls and take inventory for the Automotive Departments of various companies.

**Community Service and Clubs**

- Parks & Community Services Commissioner for the City of Dublin for 10 years
- Dublin Historical Preservation Association for 3 years
- Dublin Lions Club for 25 years
- Dublin Soccer and Dublin Little League executive boards from 1985 to 1990
- Dublin High School Athletic Booster Club Pres. from 1992 to 1995

I have lived in Dublin since 1968



## Alameda CTC Bicycle and Pedestrian Advisory Committee Meeting Minutes Thursday, October 4, 2012, 5:30 p.m., 1333 Broadway, Suite 300, Oakland

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Attendance Key (A = Absent, P = Present)

Members:

P Midori Tabata, Chair  
P Ann Welsh, Vice Chair  
P Mike Ansell  
P Mike Bucci  
P Alex Chen  
P Lucy Gigli

P Jeremy Johansen  
P Preston Jordan  
A Diana Rohini LaVigne  
P Heath Maddox  
P Sara Zimmerman (via phone, as a non-voting member)

Staff:

P Beth Walukas, Deputy Director of Planning  
P Rochelle Wheeler, Bicycle and Pedestrian Coordinator

P Vivek Bhat, Senior Transportation Engineer  
P Angie Ayers, Acumen Building Enterprise, Inc.

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### 1. Welcome and Introductions

Midori Tabata, BPAC Chair, called the meeting to order at 5:30 p.m. The meeting began with introductions and a review of the meeting outcomes. Midori welcomed to the committee the new members: Mike Ansell, Mike Bucci, and Heath Maddox.

**Guests Present:** Jennifer Anderson; Dave Campbell, East Bay Bicycle Coalition (EBBC)

### 2. Public Comment

There were no public comments.

### 3. Approval of July 12, 2012 and September 6, 2012 Minutes

The members requested the following corrections to the July 12, 2012 minutes:

- Public Comment – Change the first sentence of Lynne Bosche comment to read "... Piedmont is the only city in Alameda County to not have one."
- Public Comment – Change the last sentence of Mike Ansell's comment to read "Approximately 8,000 people attend Las Positas College, and potentially 2,000 people could use the pathway from Dublin."

*Jeremy Johansen moved to approve the July 12, 2012 minutes with the above corrections and the September 6, 2012 minutes. Ann Welsh seconded the motion. The motion carried (8-0), with one abstention, Mike Bucci.*

#### 4. Recommend Approval of the Final Countywide Pedestrian and Bicycle Plans

Rochelle Wheeler gave a presentation on the final draft Countywide Pedestrian and Bicycle Plans. She stated that staff is requesting the BPAC to recommend to the Commission to approve the plans. The presentation covered the following:

- Overview of the plans
- Summary of input on the draft plans
- Overview of the changes in the final plans
- Next steps

Rochelle mentioned that all of the individual comments on the plans, with a response for each, are posted on the website, and that the BPAC also has a handout of the comments and responses.

Public comment:

- *Dave Campbell, Program Director of EBBC* stated that his comments are focused on the Bicycle Plan only. He recommended that BPAC recommend approval of the Pedestrian and Bicycle Plans to the Commission. He said that since the “Next Steps” Chapter was added, which details the implementation actions needed over the next several years, the plan is much better. He suggested that BPAC should request an update on the 63 action steps in the Bicycle Plan at every meeting to keep implementation on track. Dave requested BPAC to look at Alameda CTC’s reporting requirements for grant-funded projects as a template. He suggested that BPAC consider two things that need work: 1) Performance Measures – He’s pleased that developing them is a next step, and feels performance measures are very important and should drive decisions and project selection. 2) Innovative Bikeway Design – He stated that the new language is good on this; however, it’s important that Alameda CTC ensure that best practices are followed to create innovative bikeway designs to make the busy streets safe for biking.

*Questions/feedback from members:*

- In the Bicycle Plan, how could construction costs go down in the same amount that maintenance costs go up, since construction is so much more costly than maintenance? Staff stated that the plans include maintenance costs over a 28 year period, which adds up to high costs.
- Having performance measures for bicycle lane construction or educating people makes sense; however, it doesn’t make sense to have a metric for mode share. To measure mode share, we should compare Alameda County to another similar county that doesn’t invest in biking and walking, to serve as a “control.” Staff said that numeric goals have not been set. Alameda CTC will report annually on the performance measures in the plan and will work with the jurisdictions and BPAC on setting targets.
- What portion of the 400 miles reduction in the pedestrian network was based on simply making the mileage total it more accurate? Staff stated that it was almost all due to improving the geographic information system (GIS) mileage calculations and removing the overlap.

- A member thanked EBBC for their letter and stated that “better bikeways,” which move beyond the standard Class I, II and III bikeway types, are needed. Innovative ideas are needed to get people to bike.

*Preston Jordan moved to recommend that the Commission adopt the Final Countywide Bicycle and Pedestrian Plans. Lucy Gigli, Jeremy Johansen, and Ann Welsh seconded the motion. The motion passed unanimously (9-0).*

## **5. Input on Final Alameda CTC Complete Streets Policy Elements**

Beth Walukas gave a brief introduction to the One Bay Area Grant (OBAG) Program funding requirements. She mentioned that OBAG is a short funding cycle using both Federal Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds. Beth stated that OBAG funding includes specific policy objectives and implementation requirements that Alameda County jurisdictions must meet before they can receive funds. One of these requirements is for Alameda County jurisdictions to adopt a Complete Streets policy by January 2013.

Rochelle presented the final Alameda CTC Complete Streets policy elements. She reviewed the memo and the attachments. Rochelle said that overall, the Complete Streets policy is very similar to the last version the BPAC reviewed. She mentioned that the Alameda County Technical Advisory Committee (ACTAC) provided input at its September meeting, and staff revised the policy elements to reflect this input.

Rochelle stated that Alameda CTC’s Master Program Funding Agreement requires the adoption of the Complete Streets policy by June 2013. MTC requires the adoption of the Complete Streets policy by January 2013. She stated that the Alameda CTC Commission is making the request to MTC to extend the deadline beyond January. Alameda CTC is providing local agencies with resources to support the adoption of the policies, including a sample resolution, a sample staff report and a complete streets resources web page.

### *Questions/feedback from members:*

- Include the ChangeLab Solutions “Model Complete Streets Resolution for Bay Area Cities and Counties, Compliant with MTC Requirements” in the resources for local jurisdictions. This is a much stronger version of the policy than MTC adopted, which some jurisdictions may wish to adopt (or use some sections of). Staff stated that they would review this resource and consider adding it to the agency’s complete streets resources web page.
- The following comments were made on specific complete streets policy elements:
  - Exceptions:
    - This is one of the most important pieces of a complete streets policy. The draft policy is okay as is, but could be stronger. Recommends looking at exceptions language in ChangeLab policy (see above).
    - One of biggest concerns is this element – it could be abused.
    - Several members expressed a desire for a public process/review *before* the exceptions are approved.

- Makes sense to have public input – many complete streets policies around the country have no public input requirement.
- Design:
  - One of biggest concerns is this element – Weak language now. Should be coupled with resources. Glad Alameda CTC will be providing them – this is very important.
- Context Sensitivity:
  - Concern that this could become an excuse for an exception. It's vague as is. Member sees better language in resources (on Alameda CTC website), like “use an inter-disciplinary team to determine context sensitivity” or “must address all modes of travel.”
- Staff stated that all of these comments will be considered by staff, and also added that the proposed policy does require public input on projects, and that jurisdictions must prepare a process for approving exceptions.
- Must the policy apply to all projects, even locally-funded ones? Staff stated that this was under discussion and being determined.
- Member wants to see how jurisdictions comply with their own complete streets policies. Suggests an annual report on the number of exceptions issued by jurisdiction. Staff will be developing methods to monitor complete streets implementation, and reporting on exceptions will be considered. All local complete streets policies will be posted to the agency's website.

## 6. Update on One Bay Area Grant (OBAG) Program

Beth Walukas gave a presentation on the OBAG Program implementation, focusing on PDA (Priority Development Area) planning. Beth stated that Alameda County has 43 PDAs and they are all in different stages of planning and/or readiness. She presented the PDA readiness criteria to the committee, which will be used in the development of the PDA Investment and Growth Strategy and a PDA Strategic Plan. During the presentation, she covered how Alameda CTC will use planning and development screens to categorize each PDA as “active,” “borderline active,” or “needing planning support.”

Beth mentioned that Alameda CTC will look at the Countywide Bicycle and Pedestrian Plans and make sure that applicable projects in the plans are included in the PDA Investment and Growth Strategy. BPAC members inquired when the list categorizing the PDAs will be available for the committee to review. Staff stated that the list will be available in November.

Vivek Bhat gave a presentation on the draft OBAG Program Guidelines Elements. He covered the following during the presentation:

- There is \$63 million in available OBAG funding over the next 4 years.
- The recommended OBAG programming categories are:
  - Planning
  - Local streets and roads (LSR)
  - PDA supportive transportation investments

- Safe Routes to School (SR2S); he noted that the regional SR2S program will receive \$4.3 million, and Alameda CTC is considering leveraging that to bring the amount up to \$6.3 million for this program.
- The OBAG eligibility and screening selection includes agency eligibility criteria, project screening criteria, and project selection criteria.
- The programming will be coordinated with other fund sources that complement the OBAG programming process, including the Measure B Bicycle/Pedestrian Countywide Discretionary Fund (CDF).
- Other OBAG programs outside of the \$63 million include: PDA Planning Assistance and Priority Conservation Areas (PCAs) program. Beth mentioned that Alameda County has 17 PCAs. She stated that the PCA is a \$10 million, competitive program, and Alameda County projects can compete for up to \$5 million.

*Questions/feedback from the members:*

- Are these funds for transportation projects only? Staff stated that yes, the funds can only be used for transportation projects that link to land use.
- When will local jurisdictions apply for the OBAG grant funds? Staff stated this process is still being determined and more information will be available in November. Alameda CTC must submit the list of transportation projects to MTC by June 2013.
- If the Bicycle and Pedestrian Plans are being adopted now, will the bicycle and pedestrian projects be considered for the OBAG funding? Staff stated that even though the plans are being adopted now, the local jurisdictions are developing projects that are consistent with the plans.
- Is this OBAG call for projects taking the place of a CDF Cycle 5 call for projects? There was concern that not having a CDF Cycle 5 would be a hardship on local jurisdictions which have anticipated it. Staff stated that this is still being determined. The timelines of the CDF, Vehicle Registration Fee (VRF), and OBAG funding cycles will be synchronized, and Alameda CTC will bring the information and the requirements back to the BPAC in November.
- Are the Measure B and VRF funds only available to match the OBAG funds? Staff stated that no, these funds could be used to fully fund a project, which could be outside of a PDA.
- A member asked if funds can be used for transit operations. Staff stated that transit capital projects that support access to stations are eligible, however, except for pilot projects, the funding cannot be used for transit operations.
- Concerns were expressed about how programs, such as education and outreach, would be funded, since these have typically been funded by the CDF program. There was also concern that the CDF funds would need to be directed only to PDAs. Staff heard these concerns, and will bring back the draft program guidelines in November.
- Will Alameda CTC be able to swap the federal funds for local funds, to decrease the burden of federal guidelines on small agencies? Staff stated that exchanges for local funds would be considered, if the right exchange partner is found.

Public comment:

*Dave Campbell, Program Director of EBBC* stated that, regarding the OBAG programming category percentages, assigning percentages of funds is premature before knowing the needs and demands for each category. Dave said that he would like to see the readiness of the PDAs and the inventory of transportation projects in those PDAs. He said it helps to know the needs first before programming. Staff stated that it is known the \$63 million will be oversubscribed, and there are needs to keep up with the planning and programming to meet the OBAG requirements. The local streets and roads category is also oversubscribed. Dave asked if the total local streets and roads funding need is known. Staff said that they can provide the spreadsheet with the shortfall numbers.

Dave asked if, in the project selection criteria, one be able to see the number of jobs and housing that each project will generate? Staff stated that it is not the role of a specific project to create jobs and housing, the goal is to connect houses and jobs. The PDA Strategic Plan will include a monitoring program to determine how well this is being done.

Dave expressed concern about using CDF and VRF funds as matching funds.

Staff said that Alameda CTC will consider all of the BPAC and public comments, and will bring the draft program guidelines to the next meeting.

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

### **A. General**

Rochelle explained that Alameda CTC provided the blue bags to BPAC containing Transportation Expenditure Plan (TEP) outreach materials including 200 copies of the TEP flyer and the Citizen Watchdog Committee's 10<sup>th</sup> Annual Report to the Public. She stated that on the November ballot, Alameda County voters will have the opportunity to vote on the TEP, Measure B1. Alameda CTC would like BPAC members to perform outreach about the TEP.

Rochelle informed the committee that Alameda CTC will table at the October 14 Berkeley Sunday Streets event, and that any members interested in helping to staff the table should contact Krystle Pasco.

Rochelle invited the members to the October 25, 2012 North County Transportation Forum. She mentioned that the Open House will be held outside of the 12th Street BART Station to reach out to the BART patrons.

## **8. BPAC Members Reports**

### **A. BPAC Renaming Subcommittee Update**

Midori mentioned that the Subcommittee met, along with Rochelle and Beth, on Thursday, October 4, prior to the BPAC meeting. She mentioned that the goals were discussed at the first meeting, and possible names were discussed at the meeting held



that day. The members suggested that the Subcommittee reach outside of the committee and ask others not involved in transportation for comments on possible new names.

Preston Jordan mentioned that the Ohlone Greenway has re-opened, and that Albany Strollers & Rollers advocated for changing the striping on the widened path from two lanes to three lanes, which will include two bike lanes and one walking lane. This striping is being implemented in Albany, but not El Cerrito, which will stripe only two lanes.

#### **9. Meeting Adjournment**

The meeting adjourned at 8:00 p.m.

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**Alameda County Transportation Commission  
Bicycle and Pedestrian Advisory Committee  
Roster and Attendance Fiscal Year 2012/2013**

	<b>Suffix</b>	<b>Last Name</b>	<b>First Name</b>	<b>City</b>	<b>Appointed By</b>	<b>Term Began</b>	<b>Re- apptmt.</b>	<b>Term Expires</b>	<b>Mtgs Missed Since Jul '12*</b>
1	Ms.	Tabata, Chair	Midori	Oakland	Alameda County Mayors' Conference, D-4	Jul-06	Oct-11	Oct-13	0
2	Ms.	Welsh, Vice-Chair	Ann	Pleasanton	Alameda County Supervisor Nate Miley, District 4	Oct-09	Jan-12	Jan-14	1
3	Mr.	Ansell	Mike	Livermore	Alameda County Mayors' Conference, D-1	Sep-12		Sep-14	0
4	Mr.	Bucci	Mike	Newark	Alameda County Supervisor Richard Valle, District 2	Sep-12		Sep-14	0
5	Mr.	Chen	Alexander	Fremont	Alameda County Supervisor Scott Haggerty, District 1	Oct-09	Jan-12	Jan-14	2
6	Ms.	Gigli	Lucy	Alameda	Alameda County Supervisor Wilma Chan, District 3	Jan-07	Oct-12	Oct-14	1
7	Mr.	Johansen	Jeremy	San Leandro	Alameda County Mayors' Conference, D-3	Sep-10	Oct-11	Oct-13	0
8	Mr.	Jordan	Preston	Albany	Alameda County Supervisor Keith Carson, District 5	Oct-08	Sep-12	Sep-14	2
9	Ms.	LaVigne	Diana Rohini	Fremont	Alameda County Mayors' Conference, D-2	Jan-12		Jan-14	3
10	Mr.	Maddox	Heath	Berkeley	Transit Agency (Alameda CTC)	Sep-12		Sep-14	0
11	Ms.	Zimmerman	Sara	Berkeley	Alameda County Mayors' Conference, D-5	Feb-12		Feb-14	1

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**Alameda County Transportation Commission**  
**Citizen Advisory Committee**  
**Roster - Fiscal Year 2012/2013**

	<b>Title</b>	<b>Last Name</b>	<b>First Name</b>	<b>City</b>	<b>Appointed By</b>	<b>Term Began</b>	<b>Re-apptmt.</b>	<b>Term Expires</b>	<b>Mtgs Missed Since July '12*</b>
1	Mr.	Ferrier, Chair	Barry	Union City	City of Union City Mayor Mark Green	Jan-04	Apr-12	Apr-14	0
2	Ms.	Dorsey, Vice-Chair	Cynthia	Oakland	Alameda County Supervisor Keith Carson, D-5	Feb-02	Apr-12	Apr-14	0
3	Ms.	Chinn	Val	Hayward	City of Livermore Mayor John Marchand	Dec-99	Jan-12	Jan-14	0
4	Mr.	Collier	Joseph	San Leandro	City of San Leandro Vice Mayor Michael Gregory	Dec-09	Jan-12	Jan-14	0
5	Ms.	Hilliard	Frances	Oakland	City of Oakland Councilmember Larry Ried	Jun-02	Feb-10	Feb-12	0
6	Mr.	Jefferson	Alton	San Leandro	Alameda County Supervisor Wilma Chan, D-3	Sep-08	Sep-10	Sep-12	1
7	Dr.	Jindal	Roop	Hayward	Alameda County Supervisor Scott Haggerty, D-1	Oct-03	Jan-12	Jan-14	0
8	Mr.	Jones	Dennis	Fremont	BART Director Tom Blalock	Apr-12		Apr-14	1
9	Ms.	LePell	Audrey	Hayward	City of Hayward Councilmember Marvin Peixoto	May-04	Jan-12	Jan-14	0
10	Mr.	Mann	Harpal	Union City	Alameda County Supervisor Richard Valle, D-2	Mar-11		Mar-13	0
11	Mr.	Murray	Al G.	Berkeley	City of Berkeley Councilmember Laurie Capitelli	Oct-12		Oct-14	0
12	Mr.	Posson	Mark	Pleasanton	City of Pleasanton Mayor Jennifer Hosterman	Jan-12		Jan-14	0
13	Ms.	Powell	Michelle	Fremont	City of Fremont Councilmember Suzanne Chan	Jan-12		Jan-14	0

**Alameda County Transportation Commission**  
**Citizen Advisory Committee**  
**Roster - Fiscal Year 2012/2013**

	<b>Title</b>	<b>Last Name</b>	<b>First Name</b>	<b>City</b>	<b>Appointed By</b>	<b>Term Began</b>	<b>Re-apptmt.</b>	<b>Term Expires</b>	<b>Mtgs Missed Since July '12*</b>
14	Mr.	Scheuerman	John	Emeryville	City of Emeryville Councilmember Ruth Atkin	Sep-12		Sep-14	0
15	Ms.	Diane	Shaw	Fremont	AC Transit Director Greg Harper	Jul-12		Jul-14	0
16		Vacancy			Alameda County Supervisor Nate Miley, D-4				
17		Vacancy			City of Alameda Vice Mayor Rob Bonta				
18		Vacancy			City of Albany Mayor Farid Javandel				
19		Vacancy			City of Dublin Mayor Tim Sbranti				
20		Vacancy			City of Newark Councilmember Luis Freitas				
21		Vacancy			City of Oakland Councilmember Rebecca Kaplan				
22		Vacancy			City of Piedmont Mayor John Chiang				



**Alameda CTC Citizens Watchdog Committee Meeting Minutes**  
**Monday, July 9, 2012, 6:30 p.m., 1333 Broadway, Suite 300, Oakland**

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Attendance Key (A = Absent, P = Present)

**Members:**

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

**Staff:**

<u>P</u> Arthur L. Dao, Executive Director	<u>P</u> Patricia Reavey, Director of Finance
<u>P</u> Tess Lengyel, Deputy Director of Policy Public Affairs and Legislation	<u>P</u> Angie Ayers, Acumen Building Enterprise, Inc.

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**Public Hearing**

**1. Welcome and Call to Order**

CWC Chair James Paxson called the regular meeting to order at 6 p.m.

**2. Report from Chair/Review of Draft CWC Annual Report**

James informed the committee that the CWC Annual Report Subcommittee met on July 2, 2012, and Attachment 2 in the agenda packet is the outcome of that meeting. Tess Lengyel mentioned that the Alameda CTC provided a handout this evening of the layout version of the report for the members' review. She reminded the committee that at the last CWC meeting, the members requested that staff modify the report to only contain content that applies to the purpose of the CWC, the CWC activities, and the oversight function of the CWC. Refer to agenda item 6 for additional feedback from the members.

*Questions/feedback from the members:*

- A member requested to put the "Measure B Pass-through Fund Totals for All Programs" table back in the report and to add a column to the table to show the fund balance for the agencies/jurisdictions.
- A member inquired if the complete projects finished early in the measure were completed either under or on budget shown on the Project Status table. Staff said the CWC has not previously provided that information in the report.
- Staff clarified the fields on the Project Status table as follows: The column "2000 Expenditure Plan Measure B Commitment" is the dollar amount listed in the 2000 Expenditure Plan. The column labeled "Measure B Commitment as of FY 11-12" is the current commitment.

**3. Public Comment**

There were no public comments since no public were present.

**4. Close Public Hearing on CWC Annual Report**

Chair Paxson closed the public hearing at 6:15 p.m.

**Regular Meeting****5. Welcome and Introductions**

Chair Paxson called the regular meeting to order at 6:15 p.m.

**6. Approval of June 11, 2012 Minutes**

Jo Ann Lew requested an update to the minutes to reflect a suggestion she made to add a column to the "Measure B Pass-through Fund Totals for All Programs" table to show the fund balance for agencies/jurisdictions.

*Jo Ann Lew moved to approve the minutes with the above change. Harriette Saunders seconded the motion. The motion carried unanimously (6-0).*

The CWC members also discussed their expectations for the summary minutes. At the June CWC meeting, the members had requested staff to distribute a summary of the meeting minutes within three weeks after each meeting to allow the CWC members the chance to provide agenda item suggestions to the chair for upcoming CWC meetings.

At the July meeting, the members stated that the summary minutes are not complete enough and recommended staff draft the full minutes and distribute them to CWC members for comment. Staff will incorporate the comments, if applicable, from the members in the final minutes. A member inquired if ad-hoc committee minutes will follow the same process. Staff stated that it will generally follow this process for regular CWC and ad-hoc committee meeting minutes, however, sometimes the timing of the ad-hoc meetings may not allow for the same completion timeframe.

The following is a recap of the process the CWC members agreed on by consensus for the minutes and the agenda review.

- Three weeks after the meeting, Alameda CTC will distribute the draft CWC meeting minutes to CWC members via email.
- Members will notify Chair James Paxson and staff of updates to the meeting minutes. Staff will incorporate any modifications and distribute the final minutes in the CWC agenda packet.
- Members will notify Chair James Paxson and Vice Chair Harriette Saunders of agenda item suggestions for the upcoming CWC meeting. The CWC members will copy Tess Lengyel and Angie Ayers on the email as well.
- Three weeks prior to each CWC meeting the CWC chair, vice chair, and staff will hold an agenda review meeting and discuss the suggestions from the members. Once the



agenda review meeting date is set, CWC members will receive a reminder to submit any proposed agenda items for consideration to the chair by a set deadline.

- Staff will mail the full agenda packet containing the minutes to CWC members one week before the meeting.

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

### **CWC Annual Report:**

In the June meeting, CWC members requested staff to ensure that the figures in the report are accurate, can be verified, and relate to one another. As a result of this request, Patricia Reavey presented and reviewed the Fund Balance and Statement of Revenues FY2010 – 2011 handout in conjunction with the pie chart showing Measure B sales tax activities on the first page of the CWC Annual Report. She showed the direct relationship between the expenditures/expenses on the handout to the sales tax activities on the first page of the report. The numbers also correlate to the “Financial At-a-Glance” figures, even though they are presented differently. Tess reviewed pages 2 through 8 of the CWC Annual Report with the committee.

### *Questions/feedback from members:*

- What will happen to the adjustments in the next fiscal year? Trish said that it will be a negative adjustment. We need to encourage the vendors to be more timely in submitting their invoices. The \$33 million adjustment is due to large invoices coming in late, such as the BART to Warm Springs project. It takes time to review and go through complicated invoices such as BART invoices. The Alameda CTC project manager works very closely with project sponsors to ensure the invoices are correct and paid on time.
- The members agreed by consensus to put the “Measure B Pass-through Fund Totals for All Programs” table should be included in the report and to add a column to the table to show the fund balance.
- Members wanted to know who will proofread the report and ensure that the report is consistent throughout and speaks with one voice. Staff assured the committee that someone who hasn’t worked on the report will proofread it and ensure that the report speaks with one voice.
- The Independent Audits bullet on page 3 needs to reflect the action taken, and the word “received” is fine.
- It was noted that the \$61.1 million expended in Measure B funds on programs references “minus administrative costs,” and projects should be treated the same.
- Ensure that the pie charts have labels to explain them and that the table on page 2 ties in with the chart.
- For the CWC Activities, the report has a good description of what CWC did; however, the outcomes are missing. For example, the descriptions of the ad-hoc committee meetings for reviewing the fund balances and the master programs funding agreement review do not show what the CWC contributions produced. If additional space is needed, the TEP discussion can be reduced.
- Present the percent allocations on page 5 in another way to make it less confusing.

- Project 17A on the Project Status table is missing information in the columns, and the word “Hesperian” only has one quotation mark.
- Modify footnote number 2 on the Project Status page to reflect the current status.
- Ensure that all of the columns on the Project Status table are filled in.
- Ensure that all of the numbers are added correctly on the Project Status table.
- Be clear on the use of acronyms throughout the report.

James Paxson stated that staff will incorporate these comments into the annual report. An outside consultant will review the report to make it consistent and speak in one voice. Staff requested and the committee agreed that the chair review and finalize the report before publication.

#### Publication Methods and Costs:

Tess reviewed the annual report publication methods and costs with the committee. She informed the committee that the AOL Patch Network is included, and the legal notice of the public hearing is also included in the costs. Staff added a footnote to provide a definition for page views and click-throughs. Tess reminded the committee members that they agreed last year to translate the 10.5x14-inch advertisement into Spanish and Chinese to reach the Asian and Latino communities and that cost is included again this year. The cost now is under \$40,000, and the budget is \$50,000 to publish the report. Tess provided a summary of additional outreach that will not have a cost associated with it, such as emails to the chambers of commerce and CWC organizations, a [Twitter feed](#), and a [Facebook page](#). The members requested to expand the social media to include YouTube.

#### Press Release:

Tess reviewed the press release with the committee. The members were satisfied with the content.

*James Haussener moved to approve the publication costs, the press release, and to have the chair review and finalize the annual report for publication. Mike Dubinsky seconded the motion. The motion carried unanimously (6-0).*

### **8. Establish a CWC Audit Subcommittee**

At the June meeting, the committee members expressed concern about the independent auditor report. In light of that comment, it was determined that the CWC will establish an audit subcommittee that will meet directly with the auditors to discuss specific financial issues. The subcommittee will have pre-audit and post-audit meetings during this fiscal year. The following CWC members volunteered to serve on the audit subcommittee:

- James Haussener
- James Paxson
- Harriette Saunders
- Hale Zukas

As shown on the calendar on page 23 in the packet, the Audit Subcommittee will have an opportunity to meet with the independent auditor before the audit commences and once the audit is complete.

*James Haussener made a motion to form an audit subcommittee that will meet with the independent auditor, Vavrinek, Trine, Day & Company LLP. Jo Ann Lew seconded the motion. The motion carried unanimously (6-0).*

## **9. Approval of CWC FY 12-13 Calendar and Bylaws**

Calendar:

Tess led the discussion on the CWC FY 12-13 Calendar. To determine which financial updates should appear on the calendar, the committee inquired about the schedule for the financial reports. Staff responded that the quarterly investment report is prepared during June and July and will be distributed to the Commission as a handout at the July 26, 2012 Board meeting. Staff will present the quarterly investment report to the CWC in November 2012.

The members wanted to know when staff generates the quarterly financial statement. Staff mentioned that the quarterly financial statement contains information for all of Alameda CTC, and it has more information than the CWC would review. Art Dao stated that the key financial information that is part of CWC's review role is the mid-year budget update and the operating budget for the following year. He also mentioned that the Strategic Plan is also significant, because it is a roadmap on how Alameda CTC invests in capital projects. The quarterly investment report is also important to assure the public that Alameda CTC is not making bad investments.

Staff mentioned that the Commission adopts the mid-year budget in February. Alameda CTC agreed to email the CWC members the mid-year budget update the same time the report goes to the Commissioners.

Bylaws:

Staff will change "summary notes" to "draft minutes" on page 31 of the bylaws as discussed under agenda item 6.

*James Haussener moved to approve the CWC calendar and bylaws. Harriette Saunders seconded the motion. The motion carried unanimously (6-0).*

## **10. Approval of CWC Watch List for FY 12-13**

James Paxson informed the members to review the current "Watch List" for both projects and programs. He requested the members to notify Angie Ayers of any changes/updates if they differ from last year. Staff will notify the project sponsors that CWC members are watching their projects and programs.

## **11. CWC Member Reports/Issues Identification**

Harriette Saunders stated that she attended the Alameda County Fair and performed outreach for Measure B.

Jo Ann Lew informed the committee that she provided input to the Association of Bay Area Governments (ABAG) for Union City to receive the ABAG award for the Union City Intermodal Station promenade project in April 2012. She mentioned that this project is a great community effort with Measure B and ABAG.

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

### **A. Revised Sales Tax Projection Update for FY 11-12**

Patricia Reavey reviewed the revised sales tax projection on page 39 in the agenda packet. She mentioned that the sales tax revenues increased by \$6 million, totaling the net sales tax revenues at \$110 million for FY 11-12.

### **B. Update on Final Budget for FY 12-13**

Patricia Reavey reviewed and led the discussion of the ACTIA budget on page 41 in the agenda packet. She noted that the Board approved the final budget on June 26.

### **C. Update on Measure B 1998 Revenue Projections**

At the June CWC meeting, a member requested that Alameda CTC present a document showing the 1998 revenue projections for the 2000 Measure B original sales tax revenue projection. As a result of that comment, Art informed the committee that two memos are in the agenda packet containing the requested information.

### **D. Final Strategic Plan Review**

James O'Brien reviewed the final strategic plan that the Commission adopted on June 26, 2012. He reviewed first the 2000 Measure B capital project commitment summary, and he discussed the total Measure B commitment for each capital project included in the 1986 and 2000 Measure B capital programs. James mentioned that the final FY 12-13 Strategic Plan will provide the roadmap for proceeding with delivery of the remainder of capital projects, which will require financing in the near-term.

### **E. Countywide Transportation Plan and Transportation Expenditure Plan Update**

Tess gave an update on the Countywide Transportation Plan (CWTP) and Transportation Expenditure Plan (TEP). She stated that the Commission adopted both plans in May 2012. Tess stated that at the regional level, the environmental process is occurring for the various alternatives for the Regional Transportation Plan (RTP). When the RTP is approved, Alameda CTC will align the CWTP with it, if needed.

### **F. General Items**

None

## **13. Adjournment/Next Meeting**

The meeting adjourned at 8:40 p.m. The next meeting is scheduled for November 12, 2012 at the Alameda CTC offices.

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

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

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## Paratransit Advisory and Planning Committee Meeting Minutes Monday, September 24, 2012, at 1:00 p.m., 1333 Broadway, Suite 300, Oakland

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Attendance Key (A = Absent, P = Present)

### Members:

<u>P</u> Sylvia Stadmire, Chair	<u>P</u> Joyce Jacobson <u>A</u> Sandra Johnson-Simon	<u>P</u> Carmen Rivera-Hendrickson
<u>P</u> Will Scott, Vice-Chair	<u>P</u> Gaye Lenahan	<u>P</u> Michelle Rousey
<u>P</u> Aydan Aysoy	<u>P</u> Jane Lewis	<u>A</u> Harriette Saunders
<u>A</u> Larry Bunn	<u>P</u> Jonah Markowitz	<u>P</u> Esther Waltz
<u>A</u> Herb Clayton	<u>P</u> Rev. Carolyn Orr	<u>P</u> Hale Zukas
<u>P</u> Shawn Costello	<u>P</u> Sharon Powers	
<u>P</u> Herb Hastings	<u>P</u> Vanessa Proee	

### Staff:

<u>P</u> Matt Todd, Manager of Programming	<u>P</u> John Hemiup, Senior Transportation Engineer
<u>A</u> Cathleen Sullivan, Nelson/Nygaard	<u>P</u> John Nguyen, Acumen Building Enterprise, Inc.
<u>P</u> Richard Weiner, Nelson/Nygaard	<u>P</u> Krystle Pasco, Paratransit Coordination Team
<u>P</u> Naomi Armenta, Paratransit Coordinator	<u>P</u> Claudia Leyva, PAPCO Secretary

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### 1. Welcome and Introductions

Sylvia Stadmire called the meeting to order at 1:05 p.m. The meeting began with introductions and a review of the meeting outcomes.

**Guests Present:** Kim Huffman, AC Transit; Mallory Nestor-Brush, AC Transit; Dana Bailey, City of Hayward; Chris Mullin; Leslie Simon, Center for Independent Living; Ben McMullan, Center for Independent Living.

## **2. Public Comments**

There were no public comments.

## **3. Approval of June 25, 2012 Minutes**

A member suggested correcting the minutes as follows:

- On page 3, Rochelle Wheeler gave a presentation on the Countywide Bicycle and Pedestrian Plans, and was not listed as present as a guest. Staff responded she will be added to the attendance list.

A member noted that on page 4, it mentions that data about collisions that take place between individuals and mobility devices was not reported. The member wanted to know why. Naomi Armenta responded that she will forward the question to Rochelle Wheeler for more information regarding the issue and report on it at a later date.

Michelle Rousey moved that PAPCO approve the minutes with the above corrections. Esther Waltz seconded the motion. The motion carried unanimously (16-0).

## **4. Recommendation on Extension of AC Transit Grant**

Naomi provided an overview of the AC Transit Grant Extension Request for PAPCO's approval and recommendation to the Commission. Jonah Markowitz moved that PAPCO approve the recommendation on the AC Transit Grant Extension Request; Esther Waltz seconded the motion. The motion carried unanimously (16-0).

## **5. Information and Input on One Bay Area Grant Program**

Matt Todd presented information regarding the One Bay Area Grant Program.

Questions/Feedback from the members:

- Will there be housing with no steps, and low income housing? Matt responded that there may be housing that is ADA accessible within a Priority Development Area (PDA). Matt suggested contacting local city staff pertaining to specific housing developments.
- Are the PDAs in Dublin included in the program? Matt stated Alameda CTC performed a PDA inventory with each jurisdiction, and Dublin submitted a range of project priorities.
- The Uptown Project in Oakland covered the full spectrum for all housing.



- Is Fremont building homes along BART towards San Jose? Matt stated he does not know Fremont's specific housing plans in that area. He recommended contacting Fremont staff for additional information.
- How can we address vacant housing issues? Matt responded that investments in PDAs will bring greater transportation access to homes and work, and potentially draw new residents to live in these vacant homes.
- Will vacant houses be replaced with new homes? Matt stated there is a possibility that vacant and empty lots will be redeveloped. Matt suggested contacting local city staff pertaining to specific local development.
- If there are empty houses, the homeless will start living in them, and will create problems for the neighborhood.
- Who should we contact within our cities to determine our city's PDAs and project details? Matt recommended contacting local Planning and Public Works staff.
- Are there requirements for citizen input on the project? Matt responded citizens will have opportunities to comment on projects and suggested contacting city staff regarding local projects.

## **6. Workshop Outcomes Report**

Naomi Armenta gave a brief review of the Alameda CTC Annual Mobility Workshop. She provided highlights on the workshop activities including respondent profiles, interactive lunch session, the resource fair, and key presentations. Naomi reported the workshop received largely positive responses, and is accepting suggestions for topics and resources for the next workshop.

Questions/Feedback from the members:

- The presentations were good and the Bingo game was interactive.
- There wasn't enough time to eat lunch and attend the vehicle show and tell during the lunch period.
- Non-corporate sponsors may be great additions to the resource fair and to the bingo game.
- The accessible vehicles at the workshop would be great if they were applied to the paratransit system more expeditiously.

- Karen Hoesch's presentation was outstanding. Karen's city (Pittsburg) seems like an ideal paratransit-friendly city to model.

## **7. Develop and Approve PAPCO work plan for FY 12-13**

Naomi Armenta reviewed the FY 11-12 work plan and proposed the FY 12-13 work plan.

Questions/feedback from the members:

- Are there any wheelchair accessible taxi cabs in the new Central County program? Naomi answered the taxi-provider does have some wheelchair accessible vans in their fleet.

*Jonah Markowitz moved to accept the FY 12-13 work plan as stated. Shawn Costello seconded the motion. The motion passed unanimously (16-0).*

## **8. Member Reports and PAPCO Mission, Roles, and Responsibilities Implementation**

Shawn Costello reported he was in an accident on BART a month ago where a bicyclist collided with him and injured his leg. He stated he is protesting against bicycles being allowed on the train.

Jonah Markowitz attended the Solano Stroll and felt it was a successful outreach with several people interested in their brochures.

Carmen Rivera-Hendrickson stated Nate Miley created a Pleasanton Committee Workshop to discuss transportation and housing issues, and she will be serving on that committee. She also reported there will be the Pleasanton Mayor's Dinner on September 28<sup>th</sup> for the rewarding of certificates.

Vanessa Proee reported that there is a lunch-in for the Catholic Charities tomorrow at noon.

Michelle Rousey reported that she attended the Health Fair at Eastmont Mall, and also attended the California Homestake Committee on the 29<sup>th</sup> of August.

Joyce Jacobson reported that Sylvia Stadmire attended the Commission for Aging in Emeryville recently and gave a very nice presentation. She stated

Senior Helpline Services also presented their operational goals for the Emeryville/Oakland area, and she has posted flyers from the meeting in the complex she lives. She also advised them on how to improve their flyer.

Sylvia Stadmire reported she chairs the candidates' forum for AC Transit and BART. There are three candidates from AC Transit and five from BART who are waiting for the outcome.

Sylvia also reported attending the Car Convention in Burlingame about the propositions on the ballot, the Aging in Emeryville, and the Mobility Fair. She asked for the CWC dates so that she can be sure to attend.

Will Scott reported that he will be celebrating his birthday on Wednesday.

## **9. Committee Reports**

- A. East Bay Paratransit Service Review Advisory Committee (SRAC) – Rev. Orr reported that the Advisory Committee under the Alameda County Public Health Department is conducting an assessment study. The study assesses the impact of cuts in AC Transit and the effect of the Community Health. One goal of the study is to improve funding and offers citizens with an opportunity provide input.

## **10. Mandated Program and Policy Reports**

- A. Hayward Monthly Report – Richard Weiner provided an overview of the Monthly Report from the City of Hayward. This report includes number of registrants to their program, group trips, and information on their Taxi program.

## **11. Information Items**

- A. Mobility Management  
Naomi Armenta directed the committee to the MAP-21 Fact Sheet on page 45 of the packet. She encouraged the committee to review the information.
- B. Transportation Expenditure Plan Update  
No updates this month.
- C. Outreach Update  
Krystle Pasco gave an update on past and future outreach events:
  - 09/09/12 – Solano Avenue Stroll in Berkeley

- 09/12/12 – Developmental Disabilities Planning and Advisory Council Meeting Presentation in Oakland
- 09/14/12 – San Leandro Senior Fair in San Leandro
- 09/15/12 – 9<sup>th</sup> Annual Ethiopian New Year Celebration in Oakland
- 09/15/12 – Health and Wellness Fair at Eastmont Mall in Oakland
- 09/22/12 – St. Paul Senior Informational Workshop in Oakland
- 10/06/12 – Dublin Senior Info Fair in Dublin
- 10/14/12 – Berkeley Sunday Streets Event in Berkeley
- 10/20/12 - Wheels for Meals Ride
- 10/23/12 – Newark Senior Health Fair at the Newark Senior Center
- 10/23/12 – Older Adult transportation Resource Fair in Oakland
- 10/28/12 – Dia de los Muertos in Oakland

**D. Other Staff Updates**

Naomi Armenta provided a status update on the PAPCO Bylaws and noted one recommended change in reference to removing the language for when a “member passes away”. The bylaws will be brought back next month for approval.

**12. Draft Agenda Items for October 22, 2012 PAPCO**

- A. Summary Report of Gap Grants
- B. Paratransit Coordination Team Evaluation
- C. Quarterly report from LAVTA
- D. Report from EBP
- E. TAC report
- F. Discuss Funding Formula
- G. Quarterly Education and Training

**13. Adjournment**

The meeting adjourned at 3:05 p.m.



## Paratransit Advisory and Planning Committee Meeting Minutes

### Monday, October 22, 2012, at 1:00 p.m., 1333 Broadway, Suite 300, Oakland

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Attendance Key (A = Absent, P = Present)

#### Members:

<u>A</u> Sylvia Stadmire, Chair	<u>P</u> Joyce Jacobson	<u>P</u> Vanessa Proee
<u>P</u> Will Scott, Vice-Chair	<u>P</u> Sandra Johnson-Simon	<u>A</u> Carmen Rivera-Hendrickson
<u>A</u> Aydan Aysoy	<u>P</u> Gaye Lenahan	<u>P</u> Michelle Rousey
<u>P</u> Larry Bunn	<u>P</u> Jane Lewis	<u>P</u> Harriette Saunders
<u>A</u> Shawn Costello	<u>A</u> Rev. Carolyn Orr	<u>P</u> Esther Waltz
<u>P</u> Herb Hastings	<u>P</u> Sharon Powers	<u>P</u> Hale Zukas

#### Staff:

<u>P</u> Matt Todd, Manager of Programming	<u>P</u> John Nguyen, Acumen Building Enterprise, Inc.
<u>P</u> John Hemiup, Senior Transportation Engineer	<u>P</u> Krystle Pasco, Paratransit Coordination Team
<u>P</u> Naomi Armenta, Paratransit Coordinator	<u>P</u> Claudia Leyva, PAPCO Secretary
<u>P</u> Cathleen Sullivan, Nelson/Nygaard	

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#### 1. Welcome and Introductions

Will Scott called the meeting to order at 1:05 p.m. The meeting began with introductions and a review of the meeting outcomes.

**Guests Present:** Steven Beard, Chairperson for City of Oakland Mayor Commission of People with Disabilities; Jennifer Cullen, Senior Support Program of the Tri-Valley; Laura Timothy, BART; Mark Weinstein, Veolia Transportation; John Hayes, American Logistics Company; Kim Huffman, AC Transit; Kadri Klm, LAVTA; Sylvia Cox, LAVTA; Andrew Balmat, Alzheimers Services of the East Bay.

**2. Public Comments**

There were no public comments.

**3. Approval of September 24, 2012 Minutes**

*Jonah Markowitz moved that PAPCO approved the minutes as written. Michelle Rousey seconded the motion. The motion passed (13-0-1).*

**4. Recommendation on PAPCO Bylaws**

Naomi Armenta read the recommended changes made to the PAPCO Bylaws and requested PAPCO's approval and recommendation to the Commission.

*Jonah Markowitz moved that PAPCO approve the recommendation on the PAPCO Bylaws. Sandra Johnson-Simon seconded the motion. The motion carried unanimously (14-0).*

Staff recommended moving to Agenda Item 9, Committee Reports. The Committee agreed.

**5. Report from East Bay Paratransit (EBP)**

East Bay Paratransit Service Review Advisory Committee (SRAC) – Mark Weinstein provided PAPCO with an update on the East Bay Paratransit report and went through the statistics collected during fiscal year 2011-12.

Questions/feedback from Members

- Even though I was the first person on the bus, why do bus drivers pick other people up and drop them off earlier than me? Mark Weinstein answered that the system will automatically give priority to people with appointment before yours or people without appointment times.
- A member commented she feels it is unfair to passengers to wait for passengers who are not ready at the pick-up time because it delays everyone on the bus. Mark Weinstein answered there are several reasons why passengers may be delayed, and it is up to the driver to decide how long the bus should wait.
- In what timeframe will the automated (IVR) system call a passenger for notification of arrival or trip delays? Mark Weinstein answered that there is no exact time, but it should be

practical so there is enough time for the person to get out to the pick-up location and into the vehicle.

- How long is the resolution process for complaints? Mark Weinstein answered there are several ways to receive complaints including calling customer service, leaving a message on the comment line, and through e-mail. Complaints classified as “urgent” receive a response within 48 hours, while “non-urgent” receive a response within a week.
- Are there any benefits from the new technology improvements such as Mobile Data Terminals (MDTs) on vehicles? Mark Weinstein answered they are definitely seeing benefits, especially with on-time performance and productivity.
- Has the navigational system improved on-time performance for pickups and drops off? Mark Weinstein responded on-time performance has significantly increased.
- Has it helped drivers find locations in unfamiliar areas? Mark Weinstein reported the navigational systems better assist the drivers in locating their destinations.

#### **6. Paratransit Coordination Team Evaluation**

John Hemiup requested that PAPCO evaluate the performance of the Nelson\Nygaard Paratransit Coordination Team for Fiscal Year 2011-2012 using the form included in the packet.

The entire committee scored each question from a scale of 1-5; 1 being poor and 5 being outstanding. Overall, the committee gave the Paratransit Coordination Team high scores and is pleased with the work performance. There was no scoring of poor (1) for any category.

#### **7. Quarterly report from Livermore Amador Valley Transit Authority (LAVTA)**

Kadri Klm, Paratransit Planning Coordinator of the Livermore Amador Valley Transit Authority (LAVTA), gave a presentation on American Logistics Company (ALC) who provides Dial-A-Ride service for their agency.

Kadri reported on performance issues and stated the main areas of concern are booking problems and on-time performance. She stated that to address those issues, ALC has assigned a dedicated team for LAVTA calls and tried out few different call-center organizational strategies, before

settling on a hybrid model. ALC also hired John Hayes, as LAVTA's local account manager who trains and hires drivers, serves as a flex driver, and provides customer relation support.

Kadri reported LAVTA added a monetary incentive and penalty system for ALC based on the number of valid customer complaints. LAVTA has updated their Dial-A-Ride greeting to encourage riders to report any issues to customer service by phone, in addition to providing consumers with access to customer surveys and a comment card pilot program.

Questions/feedback from the members:

- When you added the local manager, did it increase the cost to LAVTA? Kadri answered no, the costs remained the same.
- How many people were surveyed? Kadri stated the phone survey random selected approximately 100 individuals. A smaller amount participated via written comments due to time constraints of the comment card pilot program.
- What tools do you use to identify the "care" gene in potential drivers? John Hayes answered he subjectively evaluates applicants to determine their motivations and desires to help the community.
- What is total annual cost for LAVTA? Kadri stated actual total cost are hard to determine until more time has passed, but the cost is billed per trip, and is approximately \$25.50 per trip.

## **8. Member Reports on PAPCO Mission, Roles, and Responsibilities Implementation**

Vanessa Proee reported that Hayward mailed the vouchers for the Taxi program and the program started today.

Michelle Rousey stated there is a Halloween Party on October 29 at the Ed Roberts Campus.

Steven Beard reported Contra Costa is having their annual Transition Fair on Friday October 26 at 9 a.m. at the Willow Pass Center.

Herb Hastings reported there will be a Ribbon Cutting Ceremony at the Pleasanton ACE Train Station on October 29, 2012 at 11 a.m.



Joyce Jacobson expressed her thanks to LAVTA for their report and their commitment to improving and dealing with the problems they had in their program.

## **9. Committee Reports**

- A. East Bay Paratransit Service Review Advisory Committee (SRAC) – No update this month.
- B. Citizens Watchdog Committee (CWC) - Harriette Saunders stated the CWC is reviewing the Measure B and Vehicle Registration Fee Audit/End of the Year Compliance Reporting process at the next meeting in November.

## **10. Mandated Program and Policy Reports**

Will Scott asked members to review the attachments in their packets for more information.

## **11. Informational Items**

- A. Mobility Management  
Naomi informed members that Easter Seals Project Action (ESPA) released its newsletter and it is available for review in the packet.
- B. Summary Report of Gap Grants  
Naomi stated the Summary Report of Gap Grants is provided for informational purposes in the packet.
- C. Outreach Update  
Krystle Pasco gave an update on past and future outreach events:
  - 10/20/12 – Wheels for Meals, Pleasanton Shadow Cliffs Park
  - 10/23/12 – Newark Senior Health Fair at the Newark Senior Center
  - 10/23/12 – Older Adult transportation Resource Fair in Oakland
  - 10/28/12 – Dia de los Muertos , Fruitvale, Oakland
- D. Other Staff Updates  
Krystle Pasco provided members with a CWC Annual Report.

Krystle also informed PAPCO that today is the last day to register to vote in the State of California.

Naomi informed PAPCO the Access Alameda Guide was recently updated to contain more accurate program and contact information.

**12. Draft Agenda Items for November 26, 2012 PAPCO Meeting**

- A. Discuss TEP election outcome
- B. Discuss amendments to Implementation Guidelines
- C. Discuss Funding Formula for potential new funding
- D. Discuss Gap Guidelines

**13. Adjournment**

The meeting was adjourned in Memory of Betty Mulholland. The meeting adjourned at 3:00 p.m.



**Alameda CTC Joint Paratransit Advisory and Planning  
Committee and Paratransit Technical Advisory Committee  
Meeting Minutes  
Monday, October 22, 2012 at 3:00 p.m., 1333 Broadway, Suite 300,  
Oakland**

Attendance Key (A = Absent, P = Present)

TAC Members:

<u>  A  </u> Beverly Bolden	<u>  A  </u> Drew King	<u>  A  </u> Joann Oliver
<u>  A  </u> Dana Bailey	<u>  A  </u> Jackie Krause	<u>  A  </u> Gail Payne
<u>  P  </u> Pam Deaton	<u>  P  </u> Kadri Klm	<u>  A  </u> Mary Rowlands
<u>  A  </u> Louie Despeaux	<u>  P  </u> Kevin Laven	<u>  A  </u> Tammy Siu
<u>  A  </u> Shawn Fong	<u>  A  </u> Isabelle Leduc	<u>  A  </u> Mia Thibeaux
<u>  A  </u> Brad Helfenberger	<u>  A  </u> Wilson Lee	<u>  P  </u> Laura Timothy
<u>  A  </u> Karen Hemphill	<u>  P  </u> Hakeim McGee	<u>  A  </u> Leah Talley
<u>  P  </u> Kim Huffman	<u>  A  </u> Cindy Montero	<u>  A  </u> Mark Weinstein
	<u>  A  </u> Mallory Nestor	<u>  P  </u> David Zehnder

PAPCO Members:

<u>  A  </u> Sylvia Stadmire, Chair	<u>  P  </u> Sandra Johnson- Simon	<u>  A  </u> Carmen Rivera- Hendrickson
<u>  P  </u> Will Scott, Vice-Chair	<u>  P  </u> Gaye Lenahan	<u>  P  </u> Michelle Rousey
<u>  A  </u> Aydan Aysoy	<u>  P  </u> Jane Lewis	<u>  P  </u> Harriette Saunders
<u>  P  </u> Larry Bunn	<u>  P  </u> Jonah Markowitz	<u>  P  </u> Esther Waltz
<u>  A  </u> Shawn Costello	<u>  A  </u> Rev. Carolyn Orr	<u>  P  </u> Hale Zukas
<u>  P  </u> Herb Hastings	<u>  A  </u> Suzanne Ortt	
<u>  P  </u> Joyce Jacobson	<u>  P  </u> Sharon Powers	
	<u>  P  </u> Vanessa Proee	

Staff:

<u>  P  </u> Matt Todd, Manager of Programming	<u>  P  </u> Krystle Pasco, Acumen Building Enterprise, Inc.
<u>  P  </u> John Hemiup, Senior Transportation Engineer	<u>  P  </u> John Nguyen, Acumen Building Enterprise, Inc.
<u>  P  </u> Naomi Armenta, Paratransit Coordinator	<u>  P  </u> Claudia Leyva, Administrative Assistant
<u>  P  </u> Cathleen Sullivan, Nelson/Nygaard	

### **1. Welcome and Introductions**

Paratransit Coordinator Naomi Armenta called the meeting to order at 3:05 p.m. The meeting began with introductions, memories of Betty Mulholland, and a review of the meeting outcomes.

Also during the break attendees were invited to get cake to celebrate PAPCO's 10<sup>th</sup> Anniversary.

**Guests Present:** Saulo Villatoro, City of Berkeley; Jennifer Cullen, Senior Support Program of the Tri-Valley

### **2. Public Comment**

There were no public comments.

### **3. TAC Report**

Kim Huffman provided a summary update of the past two TAC meetings since the last Joint meeting.

At the September 11, 2012 meeting:

- TAC received information on the Alameda CTC County Forum scheduled for Tuesday, October 25, 2012.
- Krystle Pasco gave an update on Hospital Discharge Transportation Service; Wheelchair Scooter Breakdown Transportation Service; Same Day Taxi Program and the Paratransit Waiting Areas which focus on high volume facilities like hospitals and dialysis centers.
- Cathleen Sullivan gave a report on Measure B funding which included timeline and reiterated that the formula factors are effective until June 30, 2017.
- Louie Despeaux from the City of San Leandro reported that she will be retiring at the end of this year.

At the October 9, 2012 meeting, TAC discussed:

- Potential uses of existing and new funding.
- Gap Grant criteria and the funding formula for new funds.

### **4. Discuss Policies for Current and Potential New Funding**

Cathleen Sullivan presented Measure B funding background, Gap Criteria, and Funding Formula information. The interactive discussion consisted of

reviewing PAPCO's responsibilities for funding allocations, Gap Grant Cycle 5 criteria and schedule, funding formula allocations, changes to the Program Plan Review process, and the possibility of new funds.

Questions/Feedback from the members:

- A member stated that having a one year pilot is not enough time to run a program and could be a waste of money. Naomi responded that the emphasis will be on the two-year programs in the next call for projects.
- A member stated that a base program should be able to absorb a pilot program once grant funding is expended. Smaller cities may have a more difficult time compared to big communities with larger base program funding. Cathleen noted the concern for consideration. Naomi stated there will be an evaluation of geographic equity when analyzing projects in the Program Plan Review and Call for Projects.
- Can we get the Hayward Shuttle back into operation? Naomi stated the City of Hayward can look at funding a shuttle through their base program or through a grant. Alameda CTC is currently conversing with the City of Hayward regarding potential transportation options.
- A member stated concern over the potential for grant applicants to over embellish in their applications to meet the criteria, and as a result may receive an undeserving high score. Naomi answered grant evaluators will receive guidelines and instructions to reduce this tendency.
- A member stated that the criteria for Sustainability and Leveraging Outside Funding are more important and should be ranked higher in the criteria.
- A member suggested the Sustainability criteria should be incorporated into the Cost Effective criteria.
- Can an agency score higher in their application if they provide a higher financial outside commitment or local match? Naomi answered projects that commit other sources of funding could score additional points.
- A member suggested a 20 percent match instead of five percent for everyone. An attendee commented that it might be difficult for non-profits to qualify if the minimum was raised to 20 percent. A member suggested 15 percent may be more reasonable. Another member suggested using an incentive point system to reward grant applicants with more application points if they apply more than the minimum match requirement.

**5. Draft Agenda Items for the November 13, 2012 TAC Meeting**

- A. Discuss TEP election outcome
- B. Discuss amendments to Implementation Guidelines
- C. Discuss Funding Formula for potential new funding
- D. Discuss Gap Guidelines
- E. Update on HDTS/WSBTS
- F. Technical Exchange

**6. Adjournment**

The meeting adjourned at 4:20 p.m.

**Alameda County Transportation Commission  
Paratransit Advisory and Planning Committee  
Roster - Fiscal Year 2012/2013**

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July-12
1	Ms. Stadmire, Chair		Sylvia J.	Oakland	Alameda County Supervisor Wilma Chan, D-3	Sep-07	Feb-10	Feb-12	1
2	Mr. Scott, Vice Chair		Will	Berkeley	Alameda County Supervisor Keith Carson, D-5	Mar-10	Apr-12	Apr-14	1
3	Ms. Aysoy		Aydan	Berkeley	City of Berkeley Councilmember Laurie Capitelli	Jul-09	Jan-12	Jan-14	1
4	Mr. Bunn		Larry	Union City	Union City Transit Wilson Lee, Transit Manager	Jun-06	Jan-12	Jan-14	1
5	Mr. Costello		Shawn	Dublin	City of Dublin Mayor Tim Sabranti	Sep-08	Apr-12	Apr-14	1
6	Mr. Hastings		Herb	Dublin	Alameda County Supervisor Scott Haggerty, D-1	Mar-07	Jan-12	Jan-14	1
7	Ms. Jacobson		Joyce	Emeryville	City of Emeryville Councilmember Ruth Atkin	Mar-07	Jan-12	Jan-14	0
8	Ms. Johnson-Simon		Sandra	San Leandro	BART Director Tom Blalock	Sep-10	Jan-12	Jan-14	1
9	Ms. Lenahan		Gaye	Piedmont	City of Piedmont Mayor John Chiang	May-11	Jan-12	Jan-14	0
10	Ms. Lewis		Jane	Dublin	City of Livermore Mayor John Marchand	Sep-09	Jan-12	Jan-14	0
11	Mr. Markowitz		Jonah	Berkeley	City of Albany Mayor Farid Javandel	Dec-04	Oct-12	Oct-14	0
12	Rev. Orr		Carolyn M.	Oakland	City of Oakland Councilmember Rebecca Kaplan	Oct-05	Jan-12	Jan-14	2
13	Ms. Ortt		Suzanne	Union City	City of Union City Mayor Mark Green	Sep-12		Sep-14	1

**Alameda County Transportation Commission  
Paratransit Advisory and Planning Committee  
Roster - Fiscal Year 2012/2013**

	<b>Title</b>	<b>Last</b>	<b>First</b>	<b>City</b>	<b>Appointed By</b>	<b>Term Began</b>	<b>Re-apptmt.</b>	<b>Term Expires</b>	<b>Mtgs Missed Since July-12</b>
14	Ms.	Powers	Sharon	Fremont	City of Fremont Councilmember Suzanne Chan	Dec-07	Jan-12	Jan-14	1
15	Ms.	Proee	Vanessa	Hayward	City of Hayward Councilmember Marvin Peixoto	Mar-10	Jan-12	Jan-14	1
16	Ms.	Rivera-Hendrickson	Carmen	Pleasanton	City of Pleasanton Mayor Jennifer Hosterman	Sep-09	Jan-12	Jan-14	2
17	Ms.	Rousey	Michelle	Oakland	Alameda County Supervisor Richard Valle, D-2	May-10		May-12	0
18	Ms.	Saunders	Harriette	Alameda	City of Alameda Vice Mayor Rob Bonta	Jun-08	Oct-12	Oct-14	2
19	Ms.	Waltz	Esther Ann	Livermore	LAVTA Executive Director Paul Matsuoka	Feb-11	Jan-12	Jan-14	0
20	Mr.	Zukas	Hale	Berkeley	A. C. Transit Director Greg Harper	Aug-02	Jan-12	Jan-14	0
21		<b>Vacancy</b>			<b>Alameda County Supervisor Nate Miley, D-4</b>				
22		<b>Vacancy</b>			<b>City of Newark Councilmember Luis Freitas</b>				
23		<b>Vacancy</b>			<b>City of San Leandro Vice Mayor Michael Gregory</b>				





## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Planning, Policy and Legislation Committee

**SUBJECT: Review of Draft Priority Development Area (PDA) Readiness Classification**

### **Recommendation**

This item is for information only. No action is requested. This item was reviewed and discussed by the Planning, Policy and Legislation Committee (PPLC) at its November 19, 2012 meeting and by the Alameda County Technical Advisory Committee (ACTAC) at its November 6, 2012 meeting. Comments and staff responses are summarized in Attachment A.

### **Summary**

MTC's One Bay Area Grant (OBAG) program requires that, in large counties such as Alameda County, 70% of OBAG funds be programmed to transportation projects that support PDAs. Approximately \$38.7 million (of the \$63 million OBAG total for Alameda County) will be available for PDA-supportive transportation investments over the four-year funding cycle.

The OBAG program requires that planning and capital investment support for PDAs be demonstrated so that PDAs can complete planning, regulatory and infrastructure improvements that will facilitate future housing and job growth in these areas. By May 1, 2013, Alameda CTC must adopt and submit a PDA Investment and Growth Strategy that provides an approach to PDA planning and investment for both current and future funding cycles. A key component of the Investment and Growth Strategy is a PDA Strategic Plan that describes how the Alameda CTC will prioritize capital transportation investments for this funding cycle and prepare developing PDAs for future capital investments. (See Attachment B for an outline of the complete PDA Investment and Growth Strategy).

For the current four-year funding cycle, the Alameda CTC proposes to allocate transportation capital funds for PDA-supportive transportation investments to those PDAs that have completed planning and other regulatory activities necessary to facilitate PDA development and that have active development markets. Additional funds are anticipated to be available for technical assistance related to a broad range of planning and project development activities for PDAs that have not yet completed planning, zoning or other regulatory updates necessary to facilitate development in PDAs and in which housing and job growth is more likely to occur in the longer term.

This memo presents the draft PDA readiness classification to identify PDAs that should be prioritized for this cycle of OBAG funds for PDA-supportive transportation investments. The PDA readiness classification will be incorporated into the PDA Strategic Plan and the overall

PDA Investment and Growth Strategy, a draft of which will be presented to the Commission in February 2013.

After the presentation of the draft PDA readiness classification to ACTAC on November 6, 2012, jurisdictions provided comments and additional information which was incorporated into the development inventory and the draft PDA readiness classification table. At the November 19, 2012 PPLC meeting, a draft PDA readiness classification with the revised development inventory information and alternative breakpoints was presented and committee members expressed their endorsement of the recommended revisions. The revised draft PDA readiness classification is shown in Figure 3.

### **Discussion**

The current OBAG funding cycle provides a relatively low level of funding and a short time horizon in which to obligate funds. Additionally, one of the key objectives of the newly created OBAG program is to make strategic transportation investments that support the region's land use strategy of locating future growth and development in PDAs. Consequently, the Alameda CTC's strategy for this four-year funding cycle is to use the OBAG program to invest in PDAs with a mature real estate market and completed advance planning activities. In these PDAs, transportation projects are most likely to support occupancy of recently completed development projects and serve as a "tipping point" for additional development, thereby demonstrating success in using transportation investment to leverage targeted land use development. Additionally, it is more likely that the phasing of development and infrastructure investments has been determined in these PDAs which minimizes the possibility that transportation improvements might later need to be demolished or altered to accommodate new development.

Requiring a PDA to have Active status as a screen for Cycle 2 OBAG funding eligibility supports the policy objective of concentrating short-term transportation capital funds in those PDAs that are most likely to benefit (in terms of supporting near-term, transit-oriented growth and development) from transportation investments within the next four years. It also recognizes that there is a limited amount of OBAG funding available (\$38.7 million) in a relatively short funding cycle, and that projects must be ready to begin construction by January 2017. It is important to note that other capital funds which may become available in the near-term would *not* be restricted to Active PDAs. These funds could be used to support capital investments and planning in PDAs with less active development markets.

The PDA Strategic Plan will provide a long-term road map for moving other PDAs forward in terms of "readiness" for transportation investments in future funding cycles. Additionally, Alameda CTC staff currently is creating an expanded technical assistance program to support a wide range of planning and project development activities in PDAs as well as to provide bicycle and pedestrian planning and engineering and complete streets technical support either within or outside PDAs. Staff currently is seeking approval to release a Request for Qualifications (RFQ) for an expanded technical assistance program and anticipates issuing the RFQ in December. In January, staff will present the draft technical assistance program to the Committee in more detail along with potential project funding amounts.

### PDA Selection Criteria and Classification

In October 2012, the Commission approved the PDA readiness categories and criteria. These have been refined based on comments from Commission and ACTAC members, and as a result of their application in classifying the PDAs. Breakpoints were identified and used to determine whether or not a PDA has a more active development market, and the planning screen was refined to more accurately reflect whether or not a PDA had completed the necessary planning and regulatory activities to facilitate future development. It was determined that three specific criteria (as opposed to simply three out of five planning screen criteria) must be met in order for a PDA to be classified as active. The refined PDA readiness categories and criteria are shown in Figure 1.

**Figure 1: PDA Readiness Criteria**

Classification	Description	Screens
<b>Active</b>	<ul style="list-style-type: none"><li>• Completion of planning, environmental and regulatory activities needed to facilitate development</li><li>• History of development</li><li>• Strong development activity underway</li></ul>	<ul style="list-style-type: none"><li>• Completion of:<ul style="list-style-type: none"><li>– Detailed planning with council or board approval;</li><li>– Necessary environmental review; and</li><li>– Consistent general plan and zoning</li></ul></li><li>• At least 3 of 4 development screens<ul style="list-style-type: none"><li>– Housing and commercial development; projects in pipeline and built</li></ul></li></ul>
<b>Near Active</b>	<ul style="list-style-type: none"><li>• Some planning complete or in progress</li><li>• Moderate development history</li><li>• Moderate development activity underway</li></ul>	<ul style="list-style-type: none"><li>• Planning and/or regulatory updates are completed or in progress</li><li>• At least 2 of 4 development screens</li></ul>
<b>Needing Planning Support</b>	<ul style="list-style-type: none"><li>• Need planning support/ zoning updates</li><li>• Little to no development activity</li></ul>	<ul style="list-style-type: none"><li>• PDA-specific planning not yet initiated</li><li>• 1 or fewer development screens</li></ul>

The readiness criteria were designed to identify PDAs where transportation investments will build on existing development activity. In general, PDAs for which planning activities have been completed and in which both residential and commercial development has occurred and is in the pipeline are most likely to generate additional development activity as the result of transportation investments within the next four years. The three PDA readiness classifications are summarized below:

- **Active PDAs** have completed necessary planning and regulatory updates to facilitate future housing and/or job growth and have a recent history of development activity as well as development activity currently underway. OBAG funds will play a pivotal role in continuing the development momentum in these PDAs.
- **Near-Active PDAs** either have not yet completed planning and regulatory updates, or have seen less development activity to date than active PDAs. Near-Active PDAs whose planning activities are in progress may need support to complete particular planning or

technical studies, environmental review and/or zoning updates. For near-active PDAs with completed planning but less development activity, OBAG transportation capital funds potentially could be used as a catalyst to spur interest from the private sector. A public investment in one of these PDAs could signal to the private market that the area is ready for development. In these cases, use of public funds must be carefully evaluated to ensure that these public funds are leveraging new private investments and not merely replacing already committed private funds.

- **PDAs In Need of Planning Support** have just begun or have not yet started the necessary planning and regulatory updates to facilitate future housing and job growth. These PDAs would be identified to receive additional resources for planning and preparation while the development market matures, especially if they play an important role in supporting regional goals for infill development or are otherwise a high priority in the County.

### ***Planning Screens***

For a PDA to be considered active, its sponsoring jurisdiction must have completed the following:

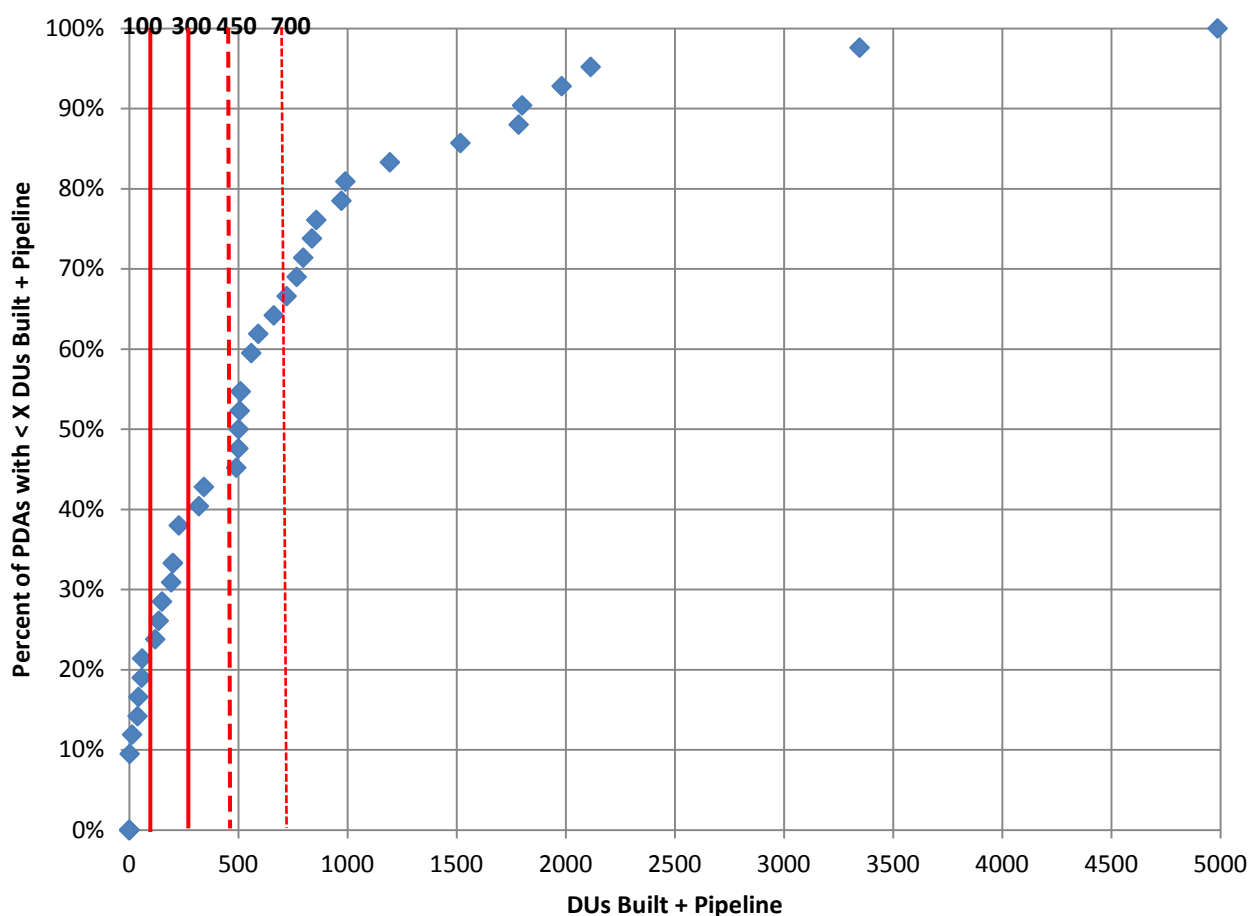
- A detailed plan for the entire PDA (i.e., a specific plan, area plan, master plan, redevelopment plan, or more detailed section of the general plan) that has been adopted by the city council or board of supervisors;
- Necessary zoning and general plan updates so that all planning documents and development regulations are consistent; and
- Necessary CEQA review and, ideally, a programmatic or master EIR that may facilitate environmental review for subsequent development projects.

Near-active PDAs may have begun but not yet completed planning, environmental and regulatory activities needed to facilitate development within them. PDAs that are in need of planning support have not yet initiated a more detailed planning process focused on accommodating additional growth and development.

### ***Development Screens***

The breakpoints for determining whether or not a PDA has an active development market are based on the natural breakpoints in the development data collected for all PDAs in Alameda County and are illustrated by the red lines in Figure 2, which shows the distribution of PDAs according to the number of dwelling units (DUs) that have been built since 2007 or are in the pipeline (entitled, have building permits, or have completed environmental review). The breakpoints fall at approximately 700, 450, 300 and 100 units.

**Figure 2: Breakpoints for Dwelling Unit Data**



*Note: Specific data for each PDA are shown in Figures 3.*

Just over half of all PDAs have more than 450 dwelling units built or in the pipeline. Approximately 60% have 300 or more units built or in the pipeline, and nearly 80% have 100 or more units built or in the pipeline. The initial PDA classification applied the higher thresholds to determine the number of active and near active PDAs (700 units for active and 450 units for near active). Based on comments received from PPLC, ACTAC and others, use of the higher thresholds was deemed to be too stringent and produced too narrow a number of active PDAs. This may have resulted in too few eligible transportation projects from which to choose. The revised draft PDA readiness classification shown in Figure 3 applies the lower thresholds (300 units for active, 100 units for near active) in response to the comments received. Attachment A lists all comments received as of November 27, 2012 as well as staff responses.

### ***PDA Readiness Classification***

Based on the Commission's direction to focus this funding cycle's transportation capital investments in a limited number of PDAs (in order to increase the likelihood of successfully linking transportation investments and land use development) and in response to comments as described above, development screens were set so as to select those PDAs most likely to experience housing and jobs growth within the next four years. For a PDA to be considered active, 100 or more units must have been constructed since 2007 (including units that are

currently under construction and will be complete by June 2013), 300 or more units must be built and/or in the pipeline (entitled or possessing a building permit), and some commercial development must have either been built since 2007 or is in the pipeline. Near-active PDAs are defined as those that have 100 or more units built or in the pipeline and have some commercial development either built since 2007 or in the pipeline.

Using these criteria, 17 PDAs were identified as active, 13 were identified as near active, and 13 were identified as needing planning support or having low or no development activity. Creating a somewhat larger pool of active PDAs will help ensure that there are enough eligible capital transportation projects while still focusing capital transportation investments in those PDAs that are most likely to experience housing and job growth within this four-year funding cycle. The recommended draft PDA readiness classification is shown in Figure 3.

**Figure 3: Revised DRAFT PDA Readiness Classification**

**Active:**

- 300 units or more built or in the pipeline
- 100 units built since 2007
- Any amount of commercial built since 2007 or in the pipeline
- Planning, zoning, etc. complete

**Near Active:**

- 100 units or more built or in the pipeline
- Any amount of commercial built or in the pipeline
- Planning, zoning, etc. partially complete or in progress

PDA	Development Screens					Planning Readiness	Overall Readiness Classification
	# Units Built	# Units Built + Pipeline	Commercial Sq. ft. Built	Commercial Sq. ft. Pipeline	Development Readiness		
Oakland: TOD Corridors	533	4,986	87,792	285,750	Active	Active	Active
Oakland: Downtown and Jack London Square	2,106	3,346	220,820	3,007,885	Active	Active	Active
Dublin: Town Center	953	2,114	125,670	0	Active	Active	Active
Oakland: West Oakland	1,019	1,981	72,848	38,500	Active	Active	Active
Dublin: Transit Center/Dublin Crossing	674	1,800	15,000	1,700,000	Active	Active	Active
Union City: Intermodal Station District	811	1,784	9,000	43,700	Active	Active	Active
Emeryville: Mixed Use Core	739	1,517	522,780	200,000	Active	Active	Active
Dublin: Downtown Specific Plan Area	300	990	24,580	0	Active	Active	Active
Livermore: Downtown	116	837	19,911	7,500	Active	Active	Active
Hayward: The Cannery	427	767	80,000	4,000	Active	Active	Active
Fremont: Irvington District	447	721	9,200	6,830	Active	Active	Active
Berkeley: Downtown	240	662	60,000	26,600	Active	Active	Active
Oakland: Fruitvale & Dimond Areas	123	591	29,020	15,000	Active	Active	Active
Fremont: Centerville	311	559	61,000	58,000	Active	Active	Active
Berkeley: University Avenue	400	510	20,000	5,000	Active	Active	Active
Oakland: Coliseum BART Station Area	373	501	55,120	5,451	Active	Active	Active
Fremont: City Center	330	342	15,000	115,900	Active	Active	Active

*Continued on the following page.*

**Figure 3: Revised DRAFT PDA Readiness Classification, Continued**

PDA	Development Screens					Planning Readiness	Overall Readiness Classification
	# Units Built	# Units Built + Pipeline	Commercial Sq. ft. Built	Commercial Sq. ft. Pipeline	Development Readiness		
Oakland: MacArthur Transit Village	56	1,194	165,000	1,452,500	Near Active	Active	Near Active
Livermore: Isabel Avenue/BART Station Planning Area	406	972	470,845	190,000	Active	Near Active	Near Active
Hayward: South Hayward BART Urban Neighborhood	0	857	0	78,484	Near Active	Active	Near Active
Pleasanton: Hacienda	0	506	680,580	117,700	Near Active	Active	Near Active
Alameda: Alameda Naval Air Station	200	500	0	140,000	Active	Near Active	Near Active
Fremont: South Fremont/Warm Springs	455	490	0	9,700	Active	Near Active	Near Active
Berkeley: San Pablo Avenue	81	319	14,000	33,500	Near Active	Active	Near Active
Albany: San Pablo Avenue/Solano Avenue Mixed Use Neighborhood	25	200	0	85,000	Near Active	Near Active	Near Active
San Leandro: Downtown TOD	0	200	82,000	0	Near Active	Active	Near Active
Hayward: Downtown	60	192	78,277	9,158	Near Active	Active	Near Active
Berkeley: South Shattuck	0	150	0	23,000	Near Active	Active	Near Active
Alameda County: East 14th Street and Mission Boulevard Mixed Use Corridor	135	135	31,500	0	Near Active	Active	Near Active
San Leandro: East 14th Street	119	119	144,000	28,000	Near Active	Active	Near Active
Newark: Dumbarton TOD	0	797	0	0	Needs Support	Active	Needs Support
Livermore: East Side PDA	0	510	67,364	187,537	Near Active	Needs Support	Needs Support
Alameda County: Castro Valley BART	19	59	36,280	0	Needs Support	Active	Needs Support
Oakland: Eastmont Town Center	24	57	0	99,000	Needs Support	Active	Needs Support
Alameda: Northern Waterfront	45	227	25,000	30,000	Needs Support	Active	Needs Support
Berkeley: Adeline Street	0	42	0	1,900	Needs Support	Needs Support	Needs Support
Berkeley: Telegraph Avenue	0	38	0	4,000	Needs Support	Active	Needs Support
Alameda County: Hesperian Boulevard	13	13	0	0	Needs Support	Active	Needs Support
Newark: Old Town Mixed Use Area	0	2	0	0	Needs Support	Needs Support	Needs Support
Alameda County: Meekland Avenue Corridor	0	0	0	0	Needs Support	Active	Needs Support
Hayward: Mission Corridor	0	0	0	0	Needs Support	Near Active	Needs Support
Hayward: South Hayward BART Station Mixed Use Corridor	0	0	0	75,350	Needs Support	Active	Needs Support
San Leandro: Bay Fair BART Transit Village	0	0	0	1,391	Needs Support	Needs Support	Needs Support
	0	0	0	0	Needs Support	Needs Support	Needs Support



## **Next Steps**

Following are the next steps in the development of the PDA Investment and Growth Strategy:

- Release the RFQ for the Sustainable Communities Technical Assistance Program in December 2012 and present draft program details to the Commission in January 2013
- Present the draft PDA classifications to the Commission for approval in January 2013
- Present the complete Draft PDA Investment and Growth Strategy (including the PDA Strategic Plan) to the Commission in February 2013
- Present the Final PDA Investment and Growth Strategy to the Commission for adoption and submission to MTC in March/April 2013

## **Attachments**

- |               |   |
|---------------|---|
| Attachment A: | Comments and Responses on PDA Readiness Criteria and Classification           |
| Attachment B: | PDA Investment and Growth Strategy Draft Outline                              |
| Attachment C: | PDA Inventory Data Used in Readiness Classification                           |
| Attachment D: | Letter to the Commission from Alameda County regarding PDA readiness criteria |

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## Attachment A: Comments and Responses on PDA Readiness Criteria and Classification

#		Commenter	Comment	Response
		Comments on Planning Screens		
1	ACTAC		Requiring the completion of an area plan or specific plan penalizes those PDAs in which the existing general plan and zoning enable construction of enough units to meet the development screen threshold (or meet Regional Housing Needs Assessment allocations).	In some cases, jurisdictions are currently undertaking specific or area planning processes in PDAs to accommodate future transit-oriented development. While existing general plan designations and zoning may enable future housing and commercial growth in these areas, these PDAs have not yet completed the necessary planning and zoning changes that will enable them to increase their development potential. Additionally, these areas may not yet be served by higher-frequency transit. These areas are thus considered near active or in need of additional planning support for this funding cycle.
2	ACTAC		The boundaries of some PDAs were recently expanded, and planning may have been completed in just a portion of the PDA. These PDAs may be unfairly penalized by requiring planning to be complete for the entire PDA.	For this funding cycle, PDAs for which all planning and zoning has been completed are considered active. There are 34 PDAs for which planning and regulatory activities have been completed.
3	ACTAC		Does an area or specific plan need to be completed, particularly if an area was already planned and zoned for higher intensity, transit-oriented development prior to its designation as a PDA?	No; in these cases planning and zoning activities are considered complete.
		Comments on Development Screens		
4	ACTAC, PPLC		700 or more units is too high of a threshold, and excludes those PDAs that do in fact have active development markets. The screen should be no more than 500 units built or in the pipeline.	Staff agrees that 700 units may be too high of a threshold. We propose lowering the threshold to 300 units built or in the pipeline, which is consistent with the breakpoints established through the analysis of the development inventory data. This will enable a greater number of jurisdictions to submit transportation projects within their PDAs for OBAG funding and broaden the pool of eligible projects. Maintaining a threshold of 300 units built or in the pipeline plus 100 units built within the past five years ensures that transportation investments are made in areas most likely to experience housing and job growth within this four-year funding cycle.

#	Commenter	Comment	Response
5	ACTAC	<p>Because the development market is currently on the upswing, PDA readiness should be determined using the most relevant and timely data. Development screening data should not be finalized now, but instead should be finalized and verified (or certified as correct by the jurisdiction) at the time of submittal of OBAG grant applications or immediately prior to the award of OBAG funds.</p>	<p>Because of the timing of the call for projects, if additional units or commercial square footage will be entitled by the end of the 2012 calendar year, they will be incorporated into the PDA classification.</p>
6	<p>ACTAC, Alameda County Community Development Agency, Equitable TOD Coalition</p>	<p>Targeting funds to PDAs that already have a strong development market provides no assistance to jurisdictions that may need additional public investment to become more attractive to developers. In many cases, these areas also have significant portions of the population that are low-income and transit-dependent. Under the current approach, these areas are likely to lose transportation funding that they have relied on to improve their communities.</p>	<p>One of the key objectives of the OBAG program is to make transportation investments that support focused development in the region's PDAs. PDAs in which some housing has been built recently and which have a significant number of units in the pipeline are most likely to experience jobs and housing growth within this four-year funding cycle. By focusing transportation capital investments in these PDAs for this funding cycle, the Alameda CTC can build on existing development momentum to strengthen multimodal connections between new housing, jobs, commercial activity and transit. Many of the active PDAs also have significant portions of the population that are low-income and transit-dependent. The PDA Strategic Plan will include recommendations for assisting those PDAs that do not have active development markets or that may need additional planning support.</p>
7	<p>ACTAC, Alameda County Community Development Agency</p>	<p>There are a number of PDAs that have completed all necessary planning activities, but have had much lower levels of or no private development due to either a weak development market or the need for broader infrastructure improvements. These PDAs could potentially benefit the most from public investments that might help catalyze the private development market. The Alameda CTC should consider establishing a pilot program to fund transportation capital projects in PDAs with inactive development markets.</p>	<p>As part of the PDA Investment and Growth Strategy, Alameda CTC will develop recommendations for assisting those PDAs that do not have active development markets or that may need additional planning support. The draft PDA Investment and Growth Strategy is anticipated to be presented for Committee and public review in February 2013.</p>

#	Commenter	Comment	Response
8	ACTAC, BPAC, Alameda County Community Development Agency	The Alameda CTC should prioritize projects within PDAs that have been identified as a "Community of Concern" or are located within or in proximity to Air District Communities Air Risk Evaluation (CARE) communities. This would facilitate equitable distribution of program funds and is consistent with MTC's OBAG program guidelines.	Projects located within Communities of Concern, CARE communities, or freight corridors will be awarded additional points under the Draft OBAG Project Selection/Scoring Criteria. Additionally, many of the active PDAs have significant portions of the population that are low-income and transit-dependent and are identified as Communities of Concern.
9	ACTAC, PPLC	By imposing too high of a development screen, there will not be enough "active" PDAs and eligible projects. The emphasis should be on identifying good projects that will help incentivize development within PDAs.	Staff recommends modifying the development screen as described in the response to comment #4, which will address this issue.
10	ACTAC	Using the number of dwelling units or amount of commercial square footage instead of development density penalizes PDAs that are smaller in area.	The number of units or commercial square footage is important because it indicates the potential for near-term growth in each of the PDAs. Additionally, Alameda County's 43 PDAs represent a range of place types, from regional centers to suburban centers and transit neighborhoods. The development densities and forms appropriate for these different place types vary greatly. Using development density as a criterion would exclude certain place types completely, even though a significant number of new dwelling units and jobs may be locating in such PDAs in the near term.
11	BPAC	Why focus on recent and pipeline construction? If the goal is to link housing, jobs and transit, why not consider the total amount of development within a PDA? Higher priority should be given to a PDA for which build-out is completed vs. one that is just starting to develop.	Appendix A-6 of MTC Resolution 4035 states that the purpose of a PDA Investment & Growth Strategy (of which the PDA readiness classification is a component) is to ensure that congestion management agencies have a transportation project priority-setting process for OBAG funding that supports and encourages development in the region's PDAs. It is important to note that the focus is on future development. Consequently, the PDA readiness criteria are focused on identifying PDAs with active development markets where new housing and jobs are most likely to locate during this four-year funding cycle.

#	Commenter	Comment	Response
12	ACTAC	The construction of units or commercial square footage in the last five years should <u>not</u> be used as a screen. Only pipeline development should be used.	A threshold for units constructed within the last five years was established in order to identify those PDAs that currently have active development markets. The threshold was set at a low level (100 units) in recognition of the recent economic recession. Twenty-two out of the 43 PDAs had 100 or more units built during the last five years, and 29 out of 43 PDAs had 10 or more units built.
13	ACTAC	How is "pipeline" defined?	Pipeline dwelling units or commercial square footage are those for which a development application has been submitted and has completed the entitlement process, received it building permits, and/or completed any necessary environmental review. Measuring pipeline dwelling units and commercial square footage provides an indication of the number of new housing units and jobs likely to locate within a PDA within this four-year funding cycle.
<b>General Comments</b>			
14	ACTAC	PDAs classified as "near active" or "needing planning support" do not receive any benefit under the current approach. Many of the PDAs classified as such have already completed all planning activities and will not benefit from additional planning funds.	As part of the PDA Investment and Growth Strategy, Alameda CTC will develop recommendations for assisting those PDAs that do not have active development markets or that may need additional planning support.
15	ACTAC, BPAC	If funds are spent in a potential PDA, will they count toward the requirement that 70% of OBAG funds be spent within PDAs?	Yes. MTC Resolution 4035 does not make a distinction between planned and potential PDAs.
16	Equitable TOD Coalition (10/1/12 comment letter)	To have the greatest impact, OBAG funds should be spent in jurisdictions with a demonstrated commitment and track record of creating affordable homes and preventing displacement. To be eligible for funding, jurisdictions should demonstrate both past commitments to affordable housing and inclusion as well as efforts to ensure that future TOD development promotes mixed-income communities. <ul style="list-style-type: none"> <li>Establish a regional goal that the target income mix in each PDA should provide affordable housing for low-income and workforce households in at least the same proportions as those populations represent for</li> </ul>	In accordance with the PDA Investment and Growth Strategy criteria outlined in Appendix A-6 of MTC Resolution 4035, the Draft OBAG Project Selection/Scoring Criteria include a category for affordable housing preservation and creation strategies. This means that a proposed project located within a PDA that has affordable housing creation and preservation strategies will be awarded additional points.

#	Commenter	Comment	Response
		<p>the region as a whole.</p> <ul style="list-style-type: none"> <li>• Jurisdictions must have an adopted housing element and must have submitted a housing element progress report for the most recent year.</li> <li>• Jurisdictions must demonstrate that they have produced and/or facilitated the creation of affordable housing or must demonstrate plans to create significant affordable housing.</li> </ul>	
17	Equitable TOD Coalition (10/1/12 comment letter)	<p>Additional competitive criteria should include:</p> <ul style="list-style-type: none"> <li>• Demonstrated record of producing deeply affordable housing, service-enriched, supportive or transitional affordable housing and /or housing for people with special needs.</li> <li>• Within the PDA, plans for higher proportions of affordable housing for extremely low, very-low and low-income residents than required by the Regional Housing Needs Assessment regional allocation.</li> <li>• Citywide or within the PDA, the existence of jurisdiction-supported programs to reduce combined transportation and housing costs of low-income residents.</li> </ul>	<p>In accordance with the PDA Investment and Growth Strategy criteria outlined in Appendix A-6 of MTC Resolution 4035, the Alameda CTC is required to develop a monitoring plan that will track and assess local jurisdictions' efforts in approving sufficient housing for all income levels through the Regional Housing Needs Assessment (RHNA) process and, where appropriate, assist local jurisdictions in implementing local policy changes to facilitate achievement of RHNA goals. This will enable refinement of the PDA readiness and project selection and scoring criteria in future funding cycles. Given the limited timeframe, the Alameda CTC was unable to compile and assess this information for this funding cycle.</p>
18	Bay Area Business Coalition	<p>Because a fundamental purpose of the OBAG program is to create incentives for the private sector to create the housing and jobs envisioned in the PDAs, OBAG funding guidelines should support projects in jurisdictions that have adopted effective incentives and removed or mitigated regulatory constraints within their control (as provided by state housing element law) and not be applied in a manner that directly or indirectly incentivizes local jurisdictions to adopt or expand policies that increase the cost or regulatory burden on the private sector's provision of housing and jobs.</p>	<p>Jurisdictions must have a certified housing element to be eligible for OBAG funds. Additionally, the PDA readiness screens select those PDAs that have built some housing in the past five years and have significant amounts of housing development in the pipeline.</p>

#	Commenter	Comment	Response
19	Bay Area Business Coalition	Priority should be given to jurisdictions that implement their certified housing element conditions within three years. Alameda CTC should gather and assess housing element progress reports and incorporate the results into the grant decision making process.	As part of the PDA Investment and Growth Strategy, the Alameda CTC will develop a monitoring plan that will track and assess jurisdictions' particular efforts to implement their housing elements. This will enable refinement of the PDA readiness and project selection and scoring criteria in future funding cycles.
20	Alameda County City Managers' Association	It is proposed that funds will be allocated to projects that "successfully" implement transportation projects for transit-oriented development (TOD) in PDAs. A better definition of the specific criteria for "successful" projects is recommended, including the value of job creation as well as residential units.	The Draft OBAG Project Selection/Scoring Criteria include criteria for jobs and housing growth, as well as the other funding priorities outlined in Appendix A-6 of MTC Resolution 4035: PDA Investment and Growth Strategy. The details of how these criteria will be defined and applied will be presented in January 2013.
21	Alameda County City Managers' Association	There should be greater flexibility in using transportation funds. This could be accomplished in part through a broader definition of projects that provide "proximate access" to PDAs, or by achieving the 70% on a countywide, rather than a jurisdiction-specific basis.	The requirement that 70% of OBAG funds be spent within PDAs is being applied on a countywide basis. Projects that provide "proximate access" to active PDAs, namely those that link job centers to PDAs and major transit facilities, will be eligible for funding.
22	Alameda County City Managers' Association	Can current PDAs be altered and/or deleted?	Yes, current PDAs can be altered or deleted, and jurisdictions may apply for new PDAs through ABAG (see <a href="http://www.bayareavision.org/pdaapplication/">http://www.bayareavision.org/pdaapplication/</a> for more information). However, newly created PDA will not be eligible for OBAG funds from the current funding cycle.



## Attachment B: PDA Investment and Growth Strategy Draft Outline

1. Introduction/Overview
  - a. Introduction to OBAG
  - b. What are PDAs?

*SIDEBAR: FOCUS Program*  
*SIDEBAR: SB 375 and Sustainable Communities Strategy*
  - c. Overview of PDA Growth and Investment Strategy
2. The PDA Inventory: Understanding Alameda County's PDAs
  - a. PDAs: A complex, long-term process
    - i. PDA Development Factors/Challenges
  - b. Overview of PDA Inventory & survey
  - c. Describe Alameda County's PDAs
    - i. Description of PDAs (projected housing units and jobs, map of PDAs in Alameda County, summary charts describing PDAs in Alameda County, etc.)
  - d. Growth Opportunity Areas (GOAs)
    - i. What are GOAs?
    - ii. Describe GOAs in Alameda County
3. PDA Strategic Plan
  - a. Introduction
  - b. Evaluation criteria/factors provided by MTC in Resolution 4035
  - c. PDA Readiness Criteria
  - d. Supporting PDA "readiness"
  - e. Alameda County PDA Classification
4. OBAG Investment Strategy
  - a. List of projects proposed for funding
5. Alameda County Inventory of PCAs
  - a. What are PCAs?
  - b. Describe PCAs in Alameda County
  - c. Criteria for funding
  - d. Eligible projects for funding in PCAs
6. Monitoring
  - a. Describe ongoing strategies to monitor PDA development over time
7. Summary/Next Steps

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## Attachment C: PDA Inventory Data Used in Readiness Classification

Jurisdiction	PDA	Constructed since 2007		Building Permits		Total Pipeline (including Building Permits)	
		DUs	Comm. Sq. Ft.	DUs	Comm. Sq. Ft.	DUs	Comm. Sq. Ft.
<b>Alameda County Unincorporated</b>	Castro Valley BART	19	36,280	40	0	40	0
	East 14th Street and Mission Street	13	0	0	0	0	0
	Hesperian Boulevard	135	31,500	0	0	0	0
	Meekland Avenue Corridor	0	0	0	0	0	0
<b>City of Alameda</b>	Naval Air Station	200	0	0	0	300	140,000
	Northern Waterfront	45	25,000	0	0	182	30,000
<b>City of Albany</b>	San Pablo Avenue & Solano Avenue	25	0	0	0	175	85,000
<b>City of Berkeley</b>	Adeline Street	0	0	0	0	42	1,900
	Downtown	240	60,000	15	3,000	422	26,600
	San Pablo Avenue	81	14,000	27	3,500	238	33,500
	South Shattuck	0	0	0	0	150	23,000
	Telegraph Avenue	0	0	38	4,000	38	4,000
	University Avenue	400	20,000	0	0	110	5,000
<b>City of Dublin</b>	Downtown Specific Plan Area	300	24,580	0	0	690	0
	Town Center	953	125,670	165	0	1,161	0
	Transit Center	674	15,000	505	0	1,126	1,700,000
<b>City of Emeryville</b>	Mixed-Use Core	739	522,780	74	0	778	200,000
<b>City of Fremont</b>	Centerville	311	61,000	0	0	248	58,000
	City Center	330	15,000	0	51,000	12	115,900
	Irvington District	447	9,200	228	6,830	274	6,830
	South Fremont/Warm Springs	455	0	0	0	35	9,700
<b>City of Hayward</b>	Mission Corridor	0	0	0	2,305	0	75,350
	Downtown	60	78,277	21	7,158	132	9,158
	South Hayward BART (MUC)	0	0	0	0	0	1,391
	South Hayward BART (UN)	0	0	0	0	857	78,484
	The Cannery	427	80,000	107	0	340	4,000
<b>City of Livermore</b>	Downtown	116	19,911	11	0	721	7,500
	East Side	0	67,364	0	0	510	187,537
	Isabel Avenue/BART Station Planning Area	406	470,845	0	0	566	190,000
<b>City of Newark</b>	Dumbarton Transit Oriented Development	0	0	0	0	797	0
	Old Town Mixed Use Area	0	0	0	0	2	0
<b>City of Oakland</b>	Coliseum BART Station Area	373	55,120	0	0	128	5,451
	Downtown & Jack London Square	2,106	220,820	0	0	1,240	3,007,885
	Eastmont Town Center	24	0	0	72,000	33	99,000
	Fruitvale & Dimond Areas	123	29,020	0	0	468	15,000
	MacArthur Transit Village	56	165,000	0	0	1,138	1,452,500
	Transit Oriented Development Corridors	533	87,792	37	0	4,453	285,750
	West Oakland	1,019	72,848	119	0	962	38,500
<b>City of Pleasanton</b>	Hacienda	0	680,580	0	0	506	117,700
<b>City of San Leandro</b>	Bay Fair BART Transit Village	0	0	0	0	0	0
	Downtown Transit Oriented Development	0	82,000	0	0	200	0
	East 14th Street	119	274,000	0	0	0	28,000
<b>City of Union City</b>	Intermodal Station District	811	9,000	0	0	973	43,700

Jurisdiction	PDA	Status of Planning Document				
		Detailed Plan for PDA	Redevelopment Plan for PDA	Recent EIR covering PDA plan	Zoning consistent w/ PDA plan	General Plan consistent w/ PDA plan
Alameda County Unincorporated	Castro Valley BART	Adopted	Adopted	Adopted	Adopted	Adopted
	East 14th Street and Mission Street	Adopted	Adopted	Adopted	Adopted	Adopted
	Hesperian Boulevard	Adopted	Adopted	Adopted	Adopted	Adopted
	Meekland Avenue Corridor	Adopted	Adopted	Adopted	Adopted	Adopted
City of Alameda	Naval Air Station	Adopted	Not Applicable	Adopted	In Progress	Adopted
	Northern Waterfront	Adopted	Not Applicable	Adopted	Adopted	Adopted
City of Albany	San Pablo Avenue & Solano Avenue	Not Applicable	Not Applicable	Not started	Not started	In Progress
	Adeline Street	Adopted	Not Applicable	Not started	Not started	Adopted
City of Berkeley	Downtown	Adopted	Not Applicable	Adopted	Adopted	Adopted
	San Pablo Avenue	Adopted	Not Applicable	Adopted	Adopted	Adopted
	South Shattuck	Adopted	Not Applicable	Adopted	Adopted	Adopted
	Telegraph Avenue	Adopted	Not Applicable	Adopted	Adopted	Adopted
City of Dublin	University Avenue	Adopted	Adopted	Adopted	Adopted	Adopted
	Downtown Specific Plan Area	Adopted	Not Applicable	Adopted	Adopted	Adopted
	Town Center	Adopted	Not Applicable	Adopted	Adopted	Adopted
	Transit Center	Adopted	Not Applicable	Adopted	Adopted	Adopted
City of Emeryville	Mixed-Use Core	Adopted	Adopted	Adopted	Adopted	Adopted
City of Fremont	Centerville	Adopted	Adopted	Adopted	Adopted	Adopted
	City Center	Adopted	Not Applicable	Adopted	Adopted	Adopted
	Irvington District	Adopted	Adopted	Adopted	Adopted	Adopted
	South Fremont/Warm Springs	In Progress	Not Applicable	Not started	In Progress	Adopted
City of Hayward	Mission Corridor	In Progress	Adopted	In Progress	In Progress	In Progress
	Downtown	Adopted	Not Applicable	Adopted	Adopted	Adopted
	South Hayward BART (MUC)	Adopted	Not Applicable	Adopted	Adopted	Adopted
	South Hayward BART (UN)	Adopted	Not Applicable	Adopted	Adopted	Adopted
City of Livermore	The Cannery	Adopted	Not Applicable	Adopted	Adopted	Adopted
	Downtown	Adopted	Adopted	Adopted	Adopted	Adopted
	East Side	Not started	Not Applicable	Not started	Adopted	Adopted
	Isabel Avenue/BART Station Planning Area	In Progress	Not Applicable	Not started	Not Started	Not Started
City of Newark	Dumbarton Transit Oriented Development	Adopted	Adopted	Adopted	Adopted	Adopted
	Old Town Mixed Use Area	Not started	Not Applicable	Not started	Adopted	In Progress
City of Oakland	Coliseum BART Station Area	Adopted	Adopted	Adopted	Adopted	Adopted
	Downtown & Jack London Square	Adopted	Adopted	Adopted	Adopted	Adopted
	Eastmont Town Center	Adopted	Adopted	Adopted	Adopted	Adopted
	Fruitvale & Dimond Areas	Adopted	Adopted	Adopted	Adopted	Adopted
	MacArthur Transit Village	Adopted	Adopted	Adopted	Adopted	Adopted
	Transit Oriented Development Corridors	Adopted	Adopted	Adopted	Adopted	Adopted
	West Oakland	Adopted	Adopted	Adopted	Adopted	Adopted

Jurisdiction	PDA	Status of Planning Document				
		Detailed Plan for PDA	Redevelopment Plan for PDA	Recent EIR covering PDA plan	Zoning consistent w/ PDA plan	General Plan consistent w/ PDA plan
City of Pleasanton	Hacienda	Adopted	Not Applicable	Adopted	Adopted	Adopted
City of San Leandro	Bay Fair BART Transit Village	Adopted	Adopted	Not started	Not started	Not started
	Downtown Transit Oriented Development	Adopted	Adopted	Adopted	In Progress	Adopted
	East 14th Street	Adopted	Adopted	Adopted	Adopted	Adopted
City of Union City	Intermodal Station District	Adopted	Adopted	Adopted	Adopted	Adopted

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ALAMEDA COUNTY COMMUNITY DEVELOPMENT AGENCY

PLANNING DEPARTMENT

Chris Bazar  
Agency Director

October 23, 2012

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Planning Director

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Alameda County Transportation Commission  
1333 Broadway, Suite 300  
Oakland, CA 94612

Dear Commissioners:

The Alameda County Community Development Agency (CDA) and Public Works Agency (PWA) would like to take this opportunity to express our concern about the screening criteria being considered to determine PDA "readiness" to be used in the allocation of Cycle 2 Federal Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds for the next four fiscal years.

The proposed approach would focus funding in PDAs where a strong development market already exists rather than providing assistance to those jurisdictions that may need some additional help to become more attractive to developers. Under this approach, jurisdictions like ours with areas where a significant percentage of the population is low-income and transit-dependent, stand to lose transportation funding that we have relied on to improve our communities.

The recent recession was particularly hard on the unincorporated area, bringing both residential and commercial development to a stand-still. At the same time, there has been significant public investment in our PDAs, including streetscape improvements on Castro Valley Boulevard and the East 14<sup>th</sup> Street Corridor, the new Castro Valley Library, and the nearly completed Ashland Youth Center. We believe that, given time, these improvements will serve as catalysts for development in our PDAs, but the building momentum will be lost without continued funding to improve and maintain our transportation infrastructure. This momentum is likely to be difficult to recreate in years to come during future funding cycles.

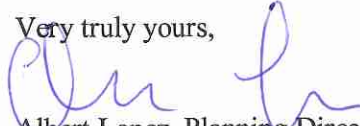
In our designated PDAs, our recently adopted Eden Area and Castro Valley General Plans call for pedestrian and bike-friendly high-density mixed-use development that will improve access to alternative modes of transportation and improve housing options for existing residents, and attract new residents and businesses to create vibrant communities.

While we recognize the desire of the Alameda CTC to keep the screening criteria as simple and measurable as possible, and that the easiest way to be successful is to focus on promoting development in communities that are already successfully attracting development, this approach will have a negative impact on the communities in our jurisdiction.

Alameda County acknowledges that the PDA Readiness Classification is but one component of the PDA Investment and Growth Strategy/Strategic Plan; however, the County believes that the Alameda CTC should also prioritize projects within PDAs that have been identified as a

"Community of Concern" as identified by MTC or are located in or in proximity to Air District Communities Air Risk Evaluation (CARE) communities. Alameda County's four Planned PDAs (Castro Valley BART, Hesperian Blvd., East 14<sup>th</sup> Street/Mission Blvd., and the Meekland Ave. Corridor) have one or both of those designations. Adding those criteria not only would facilitate the equitable distribution of program funds, but is also consistent with MTC's OBAG program guidelines.

Very truly yours,



Albert Lopez, Planning Director  
Community Development Agency





## **Memorandum**

**DATE:** November 27, 2012

**TO:** Alameda County Transportation Commission

**FROM:** Planning Policy and Legislation Committee

**SUBJECT:** Review of Draft One Bay Area Grant (OBAG) Program Guidelines

### **Recommendation**

This is an information item. No action is requested.

### **Summary**

The OBAG program is funded with the Metropolitan Transportation Commission's (MTC) Cycle 2 Federal Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) federal funding sources for the next four fiscal years (FY 2012-13 through FY 2015-16) addressed in MTC Resolution 4035. The OBAG program supports California's climate law, SB 375, which requires a Sustainable Communities Strategy to integrate land use and transportation to reduce greenhouse gas emissions. Per the OBAG requirements 70 percent of the funds must be used towards transportation projects within Priority Development Areas (PDAs).

The OBAG Programming Guideline elements were approved by the Commission at their October meeting. The guideline elements included programming categories, program eligibility, screening and selection criteria for the OBAG projects. The action also provided that additional fund sources allocated by the Alameda CTC be considered in coordination with the OBAG programming process, with a focus on the PDA Supportive Transportation Investment and Safe Routes to School (SR2S) Categories.

The coordinated programming is intended to reduce the number of applications required from project sponsors and to consider multiple county level programming efforts for various funding sources under a unified programming and evaluation schedule. The coordinated programming effort is also intended to provide funding for projects in the context of all programming commitments of the Alameda CTC.

### **Discussion**

The OBAG program is funded with the Metropolitan Transportation Commission's (MTC) Cycle 2 Federal Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) federal funding sources for the next four fiscal years (FY 2012-13 through FY 2015-16) addressed in MTC Resolution 4035. The OBAG program supports California's climate law, SB 375, which requires a Sustainable Communities Strategy to integrate land use and

transportation to reduce greenhouse gas emissions. Per the OBAG requirements 70 percent of the funds must be used towards transportation projects within Priority Development Areas (PDAs).

MTC has requested the Alameda CTC provide an OBAG program recommendation by June 30, 2013, that meets the OBAG program requirements in the allocation of funding to local transportation priorities. The Alameda CTC has been provided with an OBAG programming target of \$63 million in STP and CMAQ funds. In addition to the OBAG funds, the Alameda CTC has been provided \$4.3 Million Regional SR2S funds and approximately \$3.8 Million of Priority Development Activities funds for PDA Planning and Implementation Technical Assistance Program (P&I TAP).

At the October meeting the Commission adopted guideline elements that approved OBAG funding categories listed in Table 1. The Non-OBAG fund categories are listed in Table 2.

**Table 1: OBAG Programming Categories**

<b>Program / Category</b>	<b>Total</b>	<b>% Share</b>
<b>PDA Supportive Transportation Investment</b>	<i>38,702,000</i>	<i>61.4%</i>
<b>Local Streets and Roads</b>	<i>15,257,000</i>	<i>24.2%</i>
<b>CMA Planning / Programming</b>	<i>7,106,000</i>	<i>11.3%</i>
<b>Countywide SR2S Program Augmentation</b>	<i>2,000,000</i>	<i>3.2%</i>
<b><i>Total</i></b>	<b><i>63,065,000</i></b>	<b><i>100%</i></b>

**Table 2: Other MTC Resolution 4035 Programming Categories**

<b>Program / Category</b>	<b>Total</b>
<b>Priority Development Activities funds for PDA Planning and Implementation Technical Assistance Program (P&amp;I TAP)</b>	<i>3,800,000</i>
<b>Regional SR2S</b>	<i>4,293,000</i>
<b><i>Total</i></b>	<b><i>8,093,000</i></b>

The Draft OBAG Guidelines (Attachment C) details the requirements of the programming categories listed in Table1. The guidelines also list the screening and scoring criteria for the OBAG programming categories approved by the Commission.

#### **PDA Supportive Transportation Investments**

Under the OBAG Program, Alameda CTC will program approximately \$38.7 million of federal funds for eligible PDA Supportive Transportation Investment projects. PDA supportive projects include bicycle, pedestrian, Station Improvements such as plazas, station access pocket parks, bicycle parking, Complete Streets improvements that encourage bicycle and pedestrian access, Transportation Demand Management projects and streetscape projects focusing on high-impact, multi-modal improvements.

#### **Local Streets and Roads (LSR)**

Under the OBAG Program, Alameda CTC will program approximately \$15.2 million of STP funds for eligible LSR projects. This programming will support the “fix it first” strategy as well as address the LSR maintenance shortfall in Alameda County. This category of projects is not eligible for CMAQ funding. The LSR funding will be sub-allocated to the cities and County based on a 50% Population and 50% Lane Miles formula (Attachment D). The target numbers generated as a result of this formula will be the maximum LSR funds that may be received by a jurisdiction. The minimum LSR funds a jurisdiction may receive is \$100,000.

#### **CMA Planning/Programming**

Under the OBAG program, Alameda CTC will program approximately \$7.1 million of STP funds for CMA Planning/ Programming related activities. The ongoing planning and programming functions provided by the Alameda CTC maintains compliance with existing MTC mandated requirements as well as new requirements included in the MTC OBAG policy.

#### **Safe Routes to School (SR2S)**

MTC Resolution 4035 identifies about \$4.3 million of Regional SR2S funding over and above the OBAG funds. The OBAG programming categories includes \$500,000 per year (\$2 million total) of funds for the Countywide SR2S program, to augment the Regional SR2S funding to sustain and provide strategic expansion opportunities. Staff is proposing Measure B Countywide Discretionary Funds (CDF)/ Vehicle Registration Fee (VRF) Bicycle and Pedestrian funds be used as local match for the \$6.3 million of federal funding for the SR2S Program. The Regional SR2S program is proposed to be operated under a similar model to the existing Countywide SR2S program with the Alameda CTC administering the program.

#### **PDA Planning and Implementation Technical Assistance Program (P&I TAP)**

MTC has recently identified \$20 Million of Priority Development Activity Funds that can be used for PDA planning. These funds can be used to provide assistance to local agencies to further PDA developments. Alameda County’s share is anticipated to be \$3.8 Million. These funds are proposed from sources above and beyond the \$63 million of OBAG identified for transportation investments. Additional information on these funds is anticipated to be available in the near future.

The Commission's action related to the OBAG Programming guideline elements also provided that additional fund sources allocated by the Alameda CTC be considered in coordination with the OBAG programming process, with a focus on the PDA Supportive Transportation Investment and SR2S Categories.

The coordinated programming is intended to reduce the number of applications required from project sponsors and to consider multiple county level programming efforts for various funding sources under a unified programming and evaluation schedule. The coordinated programming effort is also intended to provide funding for projects in the context of all programming commitments of the Alameda CTC. The additional fund sources would add about \$10 Million of capacity to programming available.

The following funding sources are proposed to be coordinated with a unified call for projects:

1. One Bay Area Grant (OBAG)
2. Measure B Bicycle/Pedestrian Countywide Discretionary Fund
3. Vehicle Registration Fee (VRF) Pedestrian and Bicyclist Access and Safety Program
4. Vehicle Registration Fee (VRF) Transit for Congestion Relief Program
5. Measure B Countywide Express Bus Service Fund

Programming guidelines that will incorporate all the coordinated program individual fund sources will be presented to the Committees and Commission at the January 2013 meetings.

### **Next Steps**

The Draft Programming Guidelines information will be presented to the Commission at the December 6<sup>th</sup> meeting for review. The Final Programming Guidelines that include a coordinated programming approach for all the fund sources, will be presented to the Committees and Commission at the January 2013 meetings for approval. A detailed implementation and outreach schedule is included as Attachment E.

### **Fiscal Impact**

Approximately \$63 million will be available for Alameda County through the OBAG program as well as funding from regional programs that are part of the Cycle 2 programming approved under MTC Resolution 4035 including \$4.3 million of SR2S funding and \$3.8 million of Priority Development Activity funds.

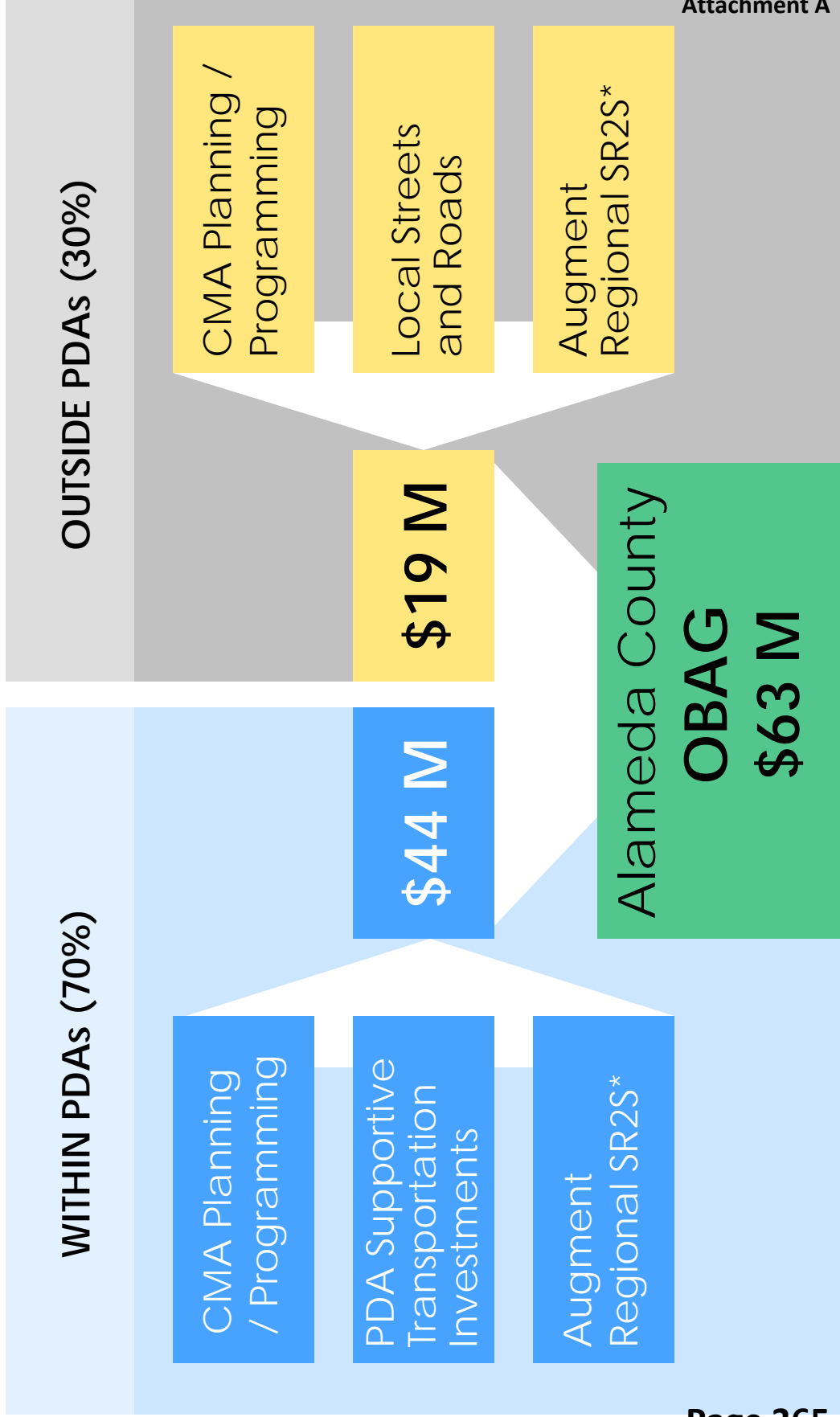
### **Attachments**

Attachment A:	OBAG Program Category Summary (Table)
Attachment B:	OBAG Programming Principles
Attachment C:	Draft OBAG Programming Guidelines
Attachment D:	Local Streets and Roads Targets (50% Population +50% Lane Miles Formula)
Attachment E:	OBAG Implementation Schedule
Attachment F:	MTC Resolution 4035

- Attachment G: Maps displaying the Communities of Concern, Community Air Risk Evaluation communities and Major Highway Freight Routes in Alameda County
- Attachment H: Summary of Comments Received on Draft OBAG Programming Guidelines

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# OBAG Fund Category Summary



\*Regional SR2S (Non-OBAG) Alameda County Share = \$4.3M  
PDA Planning and Implementation Technical Assistance Program; Alameda County Share = \$3.8M

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## **DRAFT OBAG PROGRAMMING PRINCIPLES**

**GOAL:** Programming funds to projects consistent with OBAG policy, and successfully delivering the program of projects that will expand access and improve mobility

- Local agency must be an eligible public agency qualified to receive federal funds per MTC's OBAG guidelines.
- The local agency should no later than January 31, 2013
  - Adopt a Complete Streets policy resolution, or
  - Adopt a General Plan Circulation Element that is compliant with the Complete Streets Act of 2008 and
  - Obtain Certification of housing element by the California Department of Housing and Community Development
- Project must be eligible for funding from one or more of the fund programs incorporated into OBAG:
  - PDA Supportive Transportation Investments
    - The transportation project must be in a PDA, or meet the minimum definition of "Proximate Access" to a PDA
  - Local Streets and Roads Preservation
    - Sub-allocated to cities and County based on 50% Population and 50% Lane Miles formula. The target numbers generated as a result of this formula will represent the maximum LSR funds that may be received by a jurisdiction.
    - The minimum LSR funds a jurisdiction may receive is \$100,000.
    - Sponsors may submit LSR projects that are located either inside and/or outside the PDAs.
  - Safe Routes to School
- Delivery Timeline
  - OBAG funding may be programmed in Federal Fiscal Years (FFY) 12-13, 13-14, 14-15 and 15-16.
  - MTC has advised that 50 percent of the OBAG funds should be programmed in FFY 12-13, 13-14 & 14-15 and 50 percent in FFY 15-16.
    - Half of OBAG funds must be obligated (federal authorization / E-76) by March 31, 2015
    - All remaining OBAG funds to be obligated by March 31, 2016
  - Funds must be obligated by FHWA or transferred to Federal Transit Administration (FTA) within the federal fiscal year that the funds are programmed in the TIP.
- Projects will be required to meet Regional Project Delivery Guidelines (MTC Reso. 3606). Agencies that do not meet funding deadlines risk the loss of federal funds to the project and the region

- For the Construction (CON) phase, the construction/equipment purchase contract must be advertised within 6 months of obligation and awarded within 9 months of obligation
  - Funds must be liquidated (fully expended, invoiced and reimbursed) within six years of obligation
  - Projects must proceed to construction within 10 years of federal authorization of the initial phase
- Minimum grant amount is \$500,000. Requests for less than this amount will be considered on a case by case basis.
  - Projects are required to be consistent with the adopted Regional Transportation Plan and the Alameda Countywide Transportation Plan.
  - Projects must have the required 11.47% minimum local match in committed funds.
  - Project sponsor is required to provide the expertise and staff resources necessary to deliver the federal aid project within the funding timeframe.
  - Projects are required to complete MTC's Routine Accommodation Checklist to comply with MTC's Complete Streets Policy.
  - Projects will be selected for the program based on project eligibility, merit, and deliverability within established deadlines. The OBAG program is project specific and the funds programmed to projects are for those projects alone. The recommended OBAG Program funding is fixed and; therefore, any cost increase will not be covered by additional OBAG funds. Project sponsors are responsible for securing the necessary match, and for cost increases or additional funding needed to complete the project, including contingencies.
  - Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.), and the National Environmental Protection Act (42 USC Section 4-1 et seq.) standards and procedures for all projects with federal funds.
  - Sponsors of approved projects must submit a completed TIP project application for each project proposed for funding through MTC's Funding Management System (FMS).
  - Sponsors of approved projects must submit a Resolution of Local Support approved by the project sponsor's governing board or council

## **OBAG Programming Guidelines**

### **INTRODUCTION**

Resolution 4035, approved by MTC on May 17, 2012, provides guidance for the programming and allocation of the Cycle 2 Federal Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds for the next four fiscal years (FY 2012-13 through FY 2015-16). Resolution 4035 also includes specific policy objectives and implementation requirements of the OBAG Program that Bay Area congestion management agencies (Alameda CTC in Alameda County) must meet as a condition for the receipt of the federal funds. The OBAG program supports California's climate law, SB 375, which requires a Sustainable Communities Strategy to integrate land use and transportation to reduce greenhouse gas emissions.

#### **Overall OBAG Program Goals**

- Support the Sustainable Communities Strategy by linking transportation dollars to land use decisions.
- Target transportation investments to support PDAs.
- Select transportation projects for OBAG funding based on an approved PDA Investment and Growth Strategy to be developed and adopted by the Alameda CTC.

Alameda County's share of the OBAG funding is \$63 million of STP/CMAQ spread over four fiscal years (FY 2012-13 through FY 2015-16). In large counties, such as Alameda County, 70 percent of the OBAG funding must be programmed to transportation projects that support Priority Development Areas (PDAs) and 30 percent of the OBAG funds may be programmed for transportation projects anywhere else in the county.

### **Programming Categories**

The OBAG funds will be programmed to the following categories: PDA Supportive Transportation Investments, Local Streets and Roads, CMA Planning/Programming Support and Safe Routes to School (SR2S). The limitations of the eligibility of STP and CMAQ and the status of the development of the 43 PDAs in Alameda County will play a primary role in the programming of the funds.

**MTC Resolution 4035 OBAG Programming Categories**

<b>Program / Category</b>	<b>Total</b>
<b>PDA Supportive Transportation Investment</b>	<i>38,702,000</i>
<b>Local Streets and Roads</b>	<i>15,257,000</i>
<b>CMA Planning / Programming</b>	<i>7,106,000</i>
<b>Countywide SR2S Program Augmentation</b>	<i>2,000,000</i>
<i>Total</i>	<b><i>63,065,000</i></b>

**MTC Resolution 4035 Other Programming Categories**

<b>Program / Category</b>	<b>Total</b>
<b>Priority Development Activities funds for PDA Planning and Implementation Technical Assistance Program (P&amp;I TAP)</b>	<i>3,800,000</i>
<b>Regional SR2S</b>	<i>4,293,000</i>
<i>Total</i>	<b><i>8,093,000</i></b>

### **PDA Supportive Transportation Investment**

Under the OBAG Program, Alameda CTC will program approximately \$38.7 million of federal funds for eligible PDA Supportive Transportation Investment projects. PDA supportive projects include bicycle, pedestrian, Station Improvements such as plazas, station access pocket parks, bicycle parking, Complete Streets improvements that encourage bicycle and pedestrian access, Transportation Demand Management projects and streetscape projects focusing on high-impact, multi-modal improvements.

This category may fund a wide range of bicycle and pedestrian improvements including Class I, II and III bicycle facilities, bicycle education, outreach, sharing and parking, sidewalks, ramps, pathways and pedestrian bridges, user safety and supporting facilities, and traffic signal actuation. According to CMAQ eligibility requirements, bicycle and pedestrian facilities must not be exclusively recreational and must reduce vehicle trips resulting in air pollution reductions. To meet the needs of users, hours of operation need to be reasonable and support bicycle / pedestrian needs particularly during commute periods. For example the policy that a trail be closed to users before sunrise or after sunset limits users from using the facility during the peak commute hours, particularly during times of the year with shorter days.

The purpose of PDA Supportive Transportation Investments is to support community based transportation projects that promote new vibrancy to downtown areas, commercial cores, high density neighborhoods, and transit corridors, enhancing their amenities and ambiance and making them places where people want to live, work and visit. This category supports the RTP/SCS by investing in improvements and facilities that promote alternative transportation modes rather than the single-occupant automobile. General project categories:

- Station Improvements such as plazas, station access pocket parks, bicycle parking
- Complete streets improvements that encourage bicycle and pedestrian access
- Transportation Demand Management projects including car sharing, vanpooling traveler coordination and information or Clipper®-related projects
- Connectivity projects connecting high density housing/jobs/mixed use to transit, such as bicycle/pedestrian paths and bridges and safe routes to transit.
- Streetscape projects focusing on high-impact, multi-modal improvements or associated with high density housing/mixed use and transit (bulb outs, sidewalk widening , cross walk enhancements, audible signal modification, mid-block crossing and signal, new striping for bicycle lanes and road diets, pedestrian street lighting, medians, pedestrian refugees, way finding signage, pedestrian scaled street furniture including bus shelters, tree grates, benches, bollards, magazine racks, garbage and recycling bins, permanent bicycle racks, signal modification for bicycle detection, street trees, planters, costs associated with on- site storm water management, permeable paving)

This category will include projects within the geographic boundaries of a PDA as well as projects considered in “proximate access” to a PDA.

### **Proximate Access**

If the project is not physically located within the boundaries of a PDA, sponsor will need to describe and document the benefit of the proposed transportation improvement for travel to or from a PDA or between the PDA and a job center or other important community services.

### **Local Streets and Roads (LSR)**

Under the OBAG Program, Alameda CTC will program approximately \$15.2 million of STP funds for eligible LSR projects. This programming will support the “fix it first” strategy as well as address the LSR maintenance shortfall in Alameda County. This category of projects is not eligible for CMAQ funding. The LSR funding will be sub-allocated to the cities and County based on a 50% Population and 50% Lane Miles formula. The target numbers generated as a result of this formula will be the maximum LSR funds that may be received by a jurisdiction. The minimum LSR funds a jurisdiction may receive is \$100,000.

To be eligible for funding for LSR preservation project(s), the jurisdiction must have an MTC certified Pavement Management Program (StreetSaver® or equivalent). Pavement projects will be based on the needs analysis resulting from the established Pavement Management Program (PMP) for the jurisdiction. PMP certification status can be found at [www.mtcpms.org/ptap/cert.html](http://www.mtcpms.org/ptap/cert.html). Other project specific eligibility requirements for LSR projects include:

#### **Pavement Rehabilitation:**

Pavement rehabilitation projects (pavement segments with a PCI below 70) should be consistent with segments recommended for treatment within the programming cycle by the jurisdiction’s PMP.

**Federal-Aid Eligible Facilities:** Federal-aid highways as defined in 23 U.S.C. 101(a)(5) are eligible for local streets and roads preservation funding. A federal-aid highway is a public road that is not classified as a rural minor collector or local road or lower. Project sponsors will be required to confirm the eligibility of their roadway through the Highway Performance Monitoring System (HPMS) as a part of the application for funding.

#### **Non-Pavement:**

Eligible non-pavement activities and projects include rehabilitation or replacement of existing features on the roadway facility, such as storm drains, National Pollutant Discharge Elimination System (NPDES), curbs, gutters, culverts, medians, guardrails, safety features, signals, signage, sidewalks, ramps and features that bring the facility to current standards. The jurisdiction must still have a certified PMP to be eligible for improvements to non-pavement features.

Activities that are not eligible for funding include: Air quality non-exempt projects (unless granted an exception by MTC staff), capacity expansion, new roadways, roadway extensions, right of way acquisition (for future expansion), operations, routine maintenance, spot application, enhancements that are above and beyond repair or replacement of existing assets (other than bringing roadway to current standards), and any pavement application not recommended by the Pavement Management Program unless otherwise allowed above.

**Federal Aid Secondary (FAS) Program Set-Aside:** While passage of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 dissolved the Federal Aid Secondary (FAS) program, California statutes provide the continuation of minimum funding to counties, guaranteeing their prior FAS shares. The first three years of Cycle 2 FAS were programmed under the Cycle 1 FAS program (covering a total 6-year period from 2008/09 to 2014/15). Cycle 2 of the OBAG federal funding includes four years of funding through FY 2015/16.

Funding provided to the County under OBAG will apply towards the FAS program requirement.

Preventive Maintenance: Only projects where pavement segments have a Pavement Condition Index (PCI) of 70 or above are eligible for preventive maintenance. In such cases local agency's Pavement Management Program (PMP) must demonstrate that the preventive maintenance strategy is a cost effective method of extending the service life of the pavement.

Caltrans maintains a database of the functional classifications for a majority of the roadways in California. For a general description of the functional classification system, please see [http://www.dot.ca.gov/hq/tsip/hseb/func\\_clas.html](http://www.dot.ca.gov/hq/tsip/hseb/func_clas.html). The California Road System (CRS) maps are accessible online at [http://dot.ca.gov/hq/tsip/hseb/crs\\_maps/index.php](http://dot.ca.gov/hq/tsip/hseb/crs_maps/index.php).

LSR projects may be included in the PDA Supportive category based on the location of the project.

#### **Local Streets and Roads Targets**

<b>Jurisdiction in Alameda County</b>	<b>LSR Target Share</b>
County of Alameda	\$1,664,840
Alameda	\$635,374
Albany	\$ 148,711
Berkeley	\$1,005,702
Dublin	\$469,932
Emeryville	\$100,000
Fremont	\$2,104,615
Hayward	\$1,335,550
Livermore	\$1,052,780
Newark	\$454,076
Oakland	\$3,851,136
Piedmont	\$128,963
Pleasanton	\$831,849
San Leandro	\$804,507
Union City	\$668,965
<b>COUNTY TOTAL</b>	<b>\$15,257,000</b>

## **Other Programming**

### **Safe Routes to School (SR2S)**

MTC Resolution 4035 also provides funds for a Regional Safe Routes to Schools (SR2S) program. MTC has identified about \$4.3 million of Regional SR2S funding for Alameda County over and above the OBAG funds. The current Alameda Countywide SR2S program has an annual budget of about \$1.2 million. The Regional SR2S program provides about \$1.1 million per year. The Regional SR2S funding will be augmented with \$2 Million (\$500,000 per year) of OBAG funds, to augment the Regional SR2S funding to sustain and provide strategic expansion opportunities. The Regional SR2S program is proposed to be operated under a similar model to the existing Countywide SR2S program with the Alameda CTC administering the countywide program.

### **PDA Planning and Implementation Technical Assistance Program (P&I TAP)**

MTC has identified \$20 Million of Regional Priority Development Activity Funds that can be used for PDA planning. Alameda County's share is about \$3.8 Million. These funds can be used to provide assistance to local agencies to further PDA developments and are proposed from sources above and beyond the \$63 million of OBAG identified for transportation investments. The programming of these funds will be addressed in a separate call for projects.

### **CMA Planning/Programming**

Under the OBAG program, Alameda CTC will program approximately \$7.1 million of STP funds for CMA Planning/ Programming related activities. The ongoing planning and programming functions provided by the Alameda CTC maintains compliance with existing MTC mandated requirements as well as new requirements included in the MTC OBAG policy.



## **OBAG Eligibility, Screening and Selection Criteria**

Projects will be first screened for eligibility and will then be prioritized based on project selection criteria for the OBAG program as a whole, as well as for individual OBAG programs (Local Streets and Roads Preservation and PDA Supportive Transportation Investments). The project selection criteria will include traditional criteria that have been used in past funding cycles as well as MTC mandated OBAG specific requirements that have not traditionally been applied to the evaluation of transportation projects.

### **OBAG Eligibility Criteria**

A local agency must be an eligible public agency qualified to receive federal funds. In addition, there are two major requirements that must be met for local jurisdictions to be eligible to receive federal funds through the OBAG Program:

1. Adoption of Complete Streets Resolutions by January 31, 2013 (or compliant General Plan),
2. Certification of housing element by the California Department of Housing and Community Development by January 31, 2013.

The local jurisdiction will need to complete the Local Agency OBAG Checklist that certifies the requirements have been met.

### **OBAG Screening Criteria**

Projects must meet all screening criteria in order to be considered further for OBAG funding. The screening criteria focus on meeting the eligibility requirements for OBAG funds and include the following factors:

- Project must be eligible for funding from one or more of the fund programs incorporated into OBAG:
  - PDA Supportive Transportation Investments
  - Local Streets and Roads Preservation
- The project must be in a PDA, or meet the minimum definition of “Proximate Access” to a PDA
  - Project must be in an “Active” PDA as identified in the Alameda County PDA Strategic Plan
  - If the project is not physically located within the boundaries of a PDA, sponsor needs to describe and document the benefit of the proposed transportation improvement for travel to or from a PDA or between the PDA and a job center or other important community services or areas or between PDAs
  - Applies to the 70% portion of the funds
  - Sponsors may submit LSR projects that are located either inside and/or outside the PDAs.
- Minimum grant request is \$500,000. Requests for less than this amount will be considered on a case by case basis.
- Project is consistent with the adopted Regional Transportation Plan and the Alameda Countywide Transportation Plan.
- Project must have the required 11.47% local match in committed or programmed funds.

### **OBAG Selection Criteria**

The project selection criteria will include deliverability criteria used in past Alameda CTC funding cycles as well as new requirements that are mandated by the OBAG program. Projects that meet all of the OBAG screening criteria will be prioritized for OBAG funding based on the factors listed below.

<b>Index</b>	<b>Draft OBAG Selection / Scoring Criteria</b>		<b>Proposed Weight</b>
1	Transportation Project Readiness <ul style="list-style-type: none"><li>• Funding plan, budget and schedule</li><li>• Implementation issues</li><li>• Agency governing body approvals</li><li>• Local community support</li><li>• Coordination with partners</li><li>• Identified stakeholders</li></ul>		25
2	Transportation Project is well-defined and results in a usable segment <ul style="list-style-type: none"><li>• Defined scope</li><li>• Useable segment.</li><li>• Project study report / equivalent scoping document</li></ul>		10
3	Transportation project need / benefit / effectiveness (includes Safety) <ul style="list-style-type: none"><li>• Defined project need</li><li>• Defined benefit</li><li>• Defined safety and/or security benefits</li></ul>		15
4	PDA Supportive Investments (Includes Proximate Access) <ul style="list-style-type: none"><li>• Transportation Project supports connectivity to Jobs/ Transit centers / Activity Centers for a PDA</li><li>• Transportation Project provides multi modal travel options</li></ul>		10
5	Transportation Investment addressing / implementing planned vision of PDA <ul style="list-style-type: none"><li>• PDA transportation facility will be X% complete with project</li></ul>		5
6	Sustainability (Ownership / Lifecycle / Maintenance) <ul style="list-style-type: none"><li>• Identify funding and responsible agency for maintaining the transportation project</li><li>• Transportation Project identified in a long term development plan</li></ul>		5
7	Matching Funds <ul style="list-style-type: none"><li>• Direct Project Matching above Minimum required Local Match</li></ul>		5
8	High Impact project areas.		
	a	Housing Growth <ul style="list-style-type: none"><li>• Projected growth of Housing Units in PDA</li></ul>	3
	b	Jobs Growth <ul style="list-style-type: none"><li>• Projected growth of Jobs in PDA</li></ul>	3

	c	Improved transportation choices for all income levels ( <ul style="list-style-type: none"> <li>Proximity of alternative transportation mode project to a major transit or high quality transit corridor stop</li> </ul>	3
	d	PDA parking management and pricing policies <ul style="list-style-type: none"> <li>Parking Policies</li> <li>Other TDM strategies</li> </ul>	3
	e	PDA affordable housing preservation and creation strategies <ul style="list-style-type: none"> <li>Inclusionary zoning ordinance or in-lieu fee</li> <li>Land banking</li> <li>Housing trust fund</li> <li>Fast-track permitting for affordable housing</li> <li>Reduced, deferred or waived fees for affordable housing</li> <li>Condo conversion ordinance regulating the conversion of apartments to condos</li> <li>SRO conversion ordinance</li> <li>Demolition of residential structures ordinance</li> <li>Rent control</li> <li>Just cause eviction ordinance</li> <li>Others</li> </ul>	3
9		Communities of Concern (C.O.C.) <ul style="list-style-type: none"> <li>Transportation project mitigates the transportation need of the C.O.C.</li> <li>Relevant planning effort documentation*</li> </ul>	5
10		Freight and Emissions <ul style="list-style-type: none"> <li>Project in PDA that overlaps or is collocated with populations exposed to outdoor toxic air contaminants as identified in the Air District's Community Air Risk Evaluation (CARE) Program or is in the vicinity of a major freight corridor*</li> </ul>	5
<b>Total</b>			100

\* See Attachment G for additional information regarding C.O.C. and CARE areas

## **Other OBAG Programming Policies**

### **Federal Project Eligibility**

STP eligible project categories include federal-aid highway and bridge improvements (construction, reconstruction, rehabilitation, resurfacing, restoration, and operational), mitigation related to an STP project, public transit capital improvements, pedestrian, and bicycle facilities, and transportation system management, transportation demand management, transportation control measures, surface transportation planning activities, and safety. More detailed eligibility requirements can be found in Section 133 of Title 23 of the United States Code.

CMAQ funding applies to new or expanded transportation projects, programs, and operations that help reduce emissions. Eligible project categories that meet this basic criteria include: Transportation activities in approved State Implementation Plan (SIP), Transportation Control Measures (TCMs), alternative fuels, traffic flow improvements, transit expansion projects, bicycle and pedestrian facilities and programs, travel demand management, outreach and rideshare activities, telecommuting programs, intermodal freight, planning and project development activities, Inspection and maintenance programs, magnetic levitation transportation technology deployment program, and experimental pilot projects. For more detailed guidance see the *CMAQ Program Guidance* (FHWA, November 2008).

### **Regional Transportation Plan (RTP) and Countywide Transportation Plan (CWTP) Consistency**

Projects included in the OBAG Program must be consistent with the adopted RTP (T-2035) and the Alameda CWTP, according to federal planning regulations. Each project included in the OBAG Program must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number or reference.

### **Complete Streets (MTC Routine Accommodations of Pedestrians and Bicyclists) Policy)**

Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. MTC's Complete Streets policy (Resolution No. 3765) created a checklist that is intended for use on projects to ensure that the accommodation of non-motorized travelers are considered at the earliest conception or design phase. Project applicants will be required to complete the checklist before projects are considered for OBAG funds. The completed checklists will be made available to the Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to the OBAG project selection actions.

### **Project Delivery and Monitoring**

OBAG funding may be programmed in FFYs 2012-13, 2013-14, 2014-15 and 2015-16. Funds must be obligated in the fiscal year programmed in the TIP, with all OBAG funds required to be obligated no later than March 31, 2016. Specifically, the funds must be obligated by FHWA or transferred to Federal Transit Administration (FTA) within the federal fiscal year that the funds are programmed in the TIP.

All OBAG funding is subject to MTC's Regional Project Funding Delivery Policy and any subsequent revisions (MTC Resolution No. 3606 at [http://www.mtc.ca.gov/funding/delivery/MTC\\_Res\\_3606.pdf](http://www.mtc.ca.gov/funding/delivery/MTC_Res_3606.pdf)). Obligation deadlines, project

substitutions and redirection of project savings will continue to be governed by the MTC Regional Project Funding Delivery Policy. All funds are subject to obligation, award, invoicing, reimbursement and project close out requirements. The failure to meet these deadlines may result in the de-programming and redirection to other projects. To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations and deadlines, every recipient of OBAG funding will need to identify a staff position that serves as the single point of contact for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out. The agency is required to identify the contact information for this position at the time of programming of funds in the federal TIP. This person will be expected to work closely with FHWA, Caltrans, MTC and the Alameda CTC on all issues related to federal funding for all FHWA-funded projects implemented by the recipient agency.

Project sponsors that continue to miss delivery milestones and funding deadlines for any federal funds are required to prepare and update a delivery status report on all projects with FHWA-administered funds they manage, and participate if requested in a consultation meeting with the Alameda CTC, MTC and Caltrans prior to MTC approving future State or Federal programming or including any funding revisions for the agency in the federal TIP. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery strategy that takes into consideration the requirements and lead-time of the federal-aid process.

By applying for and accepting OBAG funding, the project sponsor is acknowledging that it has and will maintain the expertise and staff resources necessary to deliver the federal aid project within the schedule milestones.

### **Local Match**

Projects funded with STP or CMAQ funding requires a non-federal local match. Based on California's share of the nation's federal lands, the minimum local match for STP and CMAQ is currently 11.47% of the total project cost. The FHWA will reimburse up to 88.53% of the total project cost.

### **Fixed Program and Specific Project Selection**

Projects are chosen for the program based on eligibility, project merit, and deliverability within established deadlines. The OBAG program is project specific and the funds programmed to projects are for those projects alone. The OBAG Program funding is fixed at the programmed amount; therefore, any cost increase may not be covered by additional OBAG funds. Project sponsors are responsible for securing the necessary match, and for cost increases or additional funding needed to complete the project including contingencies.

### **Transportation Improvement Program (TIP)**

Projects approved as part of the OBAG Program must be amended into the federal TIP. The federally required TIP is a comprehensive listing of all San Francisco Bay Area surface transportation projects that receive federal funds, and/or are subject to a federally required action, such as federal environmental clearance, and/or are regionally significant for air quality

conformity or modeling purposes. It is the project sponsor's responsibility to ensure their project is properly programmed in the TIP in a timely manner.

### **Minimum Grant Size**

The objective of a grant minimum requirement is to maximize the efficient use of federal funds and minimize the number of federal-aid projects which place administrative burdens on project sponsors, CMAs, MTC, Caltrans, and Federal Highway Administration (FHWA) staff. Funding grants per project must therefore be a minimum of \$500,000. Requests for less than this amount will be considered on a case by case basis.

The Alameda CTC may program grant amounts no less than \$100,000 for any project, provided that the overall average of all grant amounts within their OBAG program meets the county minimum grant amount threshold.

### **Air Quality Conformity**

In the Bay Area, it is the responsibility of MTC to make an air quality conformity determination for the TIP in accordance with federal Clean Air Act requirements and Environmental Protection Agency (EPA) conformity regulations. MTC evaluates the impact of the TIP on regional air quality during the biennial update of the TIP. Since the 2011 air quality conformity finding has been completed for the 2011 TIP, no non-exempt projects that were not incorporated in the finding will be considered for funding in the OBAG Program until the development of the 2013 TIP during spring 2013. Additionally, the U.S. Environmental Protection Agency has designated the Bay Area as a non-attainment area for PM 2.5. Therefore, based on consultation with the MTC Air Quality Conformity Task Force, projects deemed "Projects of Air Quality Concern" must complete a hot-spot analysis required by the Transportation Conformity Rule. Generally Projects of Air Quality Concern (POAQC) are those projects that result in significant increases in the number of or emissions from diesel vehicles.

### **Environmental Clearance**

Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.), and the National Environmental Protection Act (42 USC Section 4-1 et seq.) standards and procedures for all projects with federal funds.

### **Application, Resolution of Local Support**

Sponsors of approved projects must submit a completed TIP project application for each project proposed for funding through MTC's Funding Management System (FMS). The project application consists of two parts: 1) TIP application submittal and/or TIP revision request, and 2) Resolution of Local Support approved by the project sponsor's governing board or council. A template for the resolution of local support can be downloaded from the MTC website using the following link: [http://www.mtc.ca.gov/funding/STPCMAQ/STP\\_CMAQ\\_LocalSupportReso.doc](http://www.mtc.ca.gov/funding/STPCMAQ/STP_CMAQ_LocalSupportReso.doc)

## Programming Schedule

DEADLINES	ACTIONS
January 2013	Final Program Guidelines to Committees and Commission
February 2013	Release call for projects
April 2013	Application Summary to Committees and Commission
May 2013	Draft Program to Committees and Commission
June 2013	Final Program to Committees and Commission
June 2013	Submittal of the OBAG program to MTC
July 2013	MTC Approves OBAG Program of Projects
Fall 2013	Projects entered in MTC's Transportation Improvement Program (TIP)

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**OBAG - Local Streets and Roads Targets**  
**(50% Population + 50% Lane Miles Formula)**

Jurisdiction in Alameda County	Population	% Population	Lane Mileage	% Lane Mileage	50 % Population + 50% Lane Miles	LSR Target Share
County of Alameda**	142,833	9.32%	995	12.51%	10.91%	\$ 1,664,840
Alameda	74,640	4.87%	275	3.46%	4.17%	\$ 635,374
Albany	18,488	1.21%	59	0.74%	0.97%	\$ 148,711
Berkeley	114,821	7.49%	453	5.69%	6.59%	\$ 1,005,702
Dublin	46,785	3.05%	247	3.11%	3.08%	\$ 469,932
Emeryville	10,200	0.67%	47	0.59%	0.63%	\$ 100,000
Fremont	217,700	14.21%	1,065	13.39%	13.80%	\$ 2,104,615
Hayward	147,113	9.60%	629	7.91%	8.76%	\$ 1,335,550
Livermore	82,400	5.38%	670	8.43%	6.90%	\$ 1,052,780
Newark	43,041	2.81%	250	3.14%	2.98%	\$ 454,076
Oakland	395,341	25.80%	1,964	24.69%	25.25%	\$ 3,851,136
Piedmont	10,807	0.71%	78	0.99%	0.85%	\$ 128,963
Pleasanton	71,269	4.65%	498	6.26%	5.45%	\$ 831,849
San Leandro	86,053	5.62%	392	4.93%	5.27%	\$ 804,507
Union City	70,646	4.61%	331	4.16%	4.39%	\$ 668,965
<b>COUNTY TOTAL</b>	<b>1,532,137</b>	<b>100.00%</b>	<b>7,954</b>	<b>100.00%</b>	<b>100.00%</b>	<b>\$ 15,257,000</b>

\*\* County of Alameda information includes Planning Area 2 and 4

Population Source - Department of Finance 01/01/2012

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Attachment E: Alameda CTC One Bay Area Grant Program Outreach and Implementation Schedule

Date	Outreach Audience <sup>1</sup>	Subject	Public Meeting(s)	Website	Publication	Media	Event	Email Outreach
June 2012	<ul style="list-style-type: none"><li>Alameda County Technical Advisory Committee</li><li>Alameda CTC PPLC, PPC, and Commission</li><li>Partner agencies and stakeholders</li></ul>	Overall agency workplan for policy, planning and programming, including OBAG	✓	✓	✓			
July 2012	<ul style="list-style-type: none"><li>Specific webpage for OBAG Grant Program</li><li>ED Report</li><li>Alameda CTC E-newsletter</li></ul>	Complete streets workshop Publication of OBAG implementation schedule Initial development of PDA inventory and survey		✓	✓			
August 2012	<ul style="list-style-type: none"><li>Notifications to technical and public outreach stakeholders of OBAG schedule and upcoming actions</li><li>Fact sheet development</li></ul>	Fact sheet, webpage update, email communications Develop draft PDA Inventory		✓	✓			✓
September 2012	<ul style="list-style-type: none"><li>Alameda County Technical Advisory Committee</li><li>Alameda CTC PPLC, PPC, and Commission</li><li>BPAC, CAC, CWC, PAPCO</li><li>E-newsletter publication</li><li>ED Report publication</li><li>Press release on OBAG</li><li>Outreach events</li></ul>	Overall OBAG approach, policy discussion and feedback from Commission and Committees. Complete streets draft policy	✓	✓	✓	✓	✓	✓
October 2012	<ul style="list-style-type: none"><li>Alameda County Technical Advisory Committee</li><li>Alameda CTC PPLC, PPC, and Commission</li><li>BPAC, PAPCO</li><li>ED Report publication</li><li>Outreach events</li></ul>	Initial Draft OBAG Program Guidelines Draft PDA Strategic Plan Final Complete Streets Policy	✓	✓	✓		✓	✓
November /December 2012	<ul style="list-style-type: none"><li>Alameda County Technical Advisory Committee</li><li>Alameda CTC PPLC, PPC, and Commission</li><li>BPAC, PAPCO</li><li>ED Report publication</li></ul>	Draft OBAG Program guidelines and project and program selection criteria and process Draft Final PDA Strategic Plan	✓	✓	✓		✓	✓

<sup>1</sup> Acronyms Defined: ED: Executive Director Report; OBAG: One Bay Area Grant; PDA: Priority Development Area; PPLC: Policy, Planning and Legislation Committee; PPC: Projects and Programming Committee; BPAC: Bicycle and Pedestrian Advisory Committee; CAC: Community Advisory Committee; CWC: Citizens Watchdog Committee; PAPCO: Paratransit Advisory and Planning Committee;



**ABSTRACT**

Resolution No. 4035

This resolution adopts the Project Selection Policies and Programming for federal Surface Transportation Authorization Act following the Safe, Accountable, Flexible and Efficient Transportation Equity Act (SAFETEA), and any extensions of SAFETEA in the interim. The Project Selection Policies contain the project categories that are to be funded with various fund sources including federal surface transportation act funding available to MTC for its programming discretion to be included in the federal Transportation Improvement Program (TIP).

The resolution includes the following attachments:

- Attachment A – Project Selection Policies
- Attachment B-1 – Regional Program Project List
- Attachment B-2 – OneBayArea Grant (OBAG) Project List

Further discussion of the Project Selection Criteria and Programming Policies is contained in the memorandum to the Joint Planning Committee dated May 11, 2012.

Date: May 17, 2012  
W.I.: 1512  
Referred By: Planning

RE: Federal Cycle 2 Program covering FY 2012-13, FY 2013-14, FY 2014-15 and FY 2015-16:  
Project Selection Policies and Programming

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4035

WHEREAS, the Metropolitan Transportation Commission (MTC) is the Regional Transportation Planning Agency (RTPA) for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area region and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes federal funds; and

WHEREAS, MTC is the designated recipient for federal funding administered by the Federal Highway Administration (FHWA) assigned to the MPO/RTPA of the San Francisco Bay Area for the programming of projects (regional federal funds); and

WHEREAS, the federal funds assigned to the MPOs/RTPAs for their discretion are subject to availability and must be used within prescribed funding deadlines regardless of project readiness; and

WHEREAS, MTC, in cooperation with the Association of Bay Area Governments, (ABAG), the Bay Area Air Quality Management District (BAAQMD), the Bay Conservation and Development Commission (BCDC), California Department of Transportation (Caltrans), Congestion Management Agencies (CMAs), transit operators, counties, cities, and interested stakeholders, has developed criteria, policies and procedures to be used in the selection of projects to be funded with various funding including regional federal funds as set forth in Attachments A, B-1 and B-2 of this Resolution, incorporated herein as though set forth at length; and

WHEREAS, using the policies set forth in Attachment A of this Resolution, MTC, in cooperation with the Bay Area Partnership and interested stakeholders, has or will develop a program of projects to be funded with these funds for inclusion in the federal Transportation Improvement Program (TIP), as set forth in Attachments B-1 and B-2 of this Resolution, incorporated herein as though set forth at length; and

WHEREAS the federal TIP and subsequent TIP amendments and updates are subject to public review and comment; now therefore be it

RESOLVED that MTC approves the "Project Selection Policies and Programming" for projects to be funded with Cycle 2 Program funds as set forth in Attachments A, B-1 and B-2 of this Resolution; and be it further

RESOLVED that the federal funding shall be pooled and redistributed on a regional basis for implementation of Project Selection Criteria, Policies, Procedures and Programming, consistent with the Regional Transportation Plan (RTP); and be it further

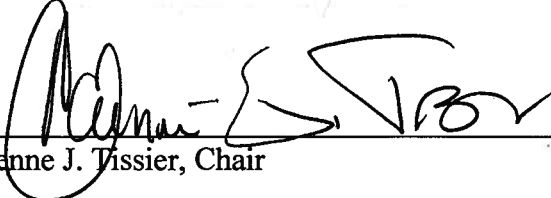
RESOLVED that the projects will be included in the federal TIP subject to final federal approval; and be it further

RESOLVED that the Executive Director or his designee can make technical adjustments and other non-substantial revisions, including updates to fund distributions to reflect final 2014-2022 FHWA figures; and be it further

RESOLVED that the Executive Director or designee is authorized to revise Attachments B-1 and B-2 as necessary to reflect the programming of projects as the projects are selected and included in the federal TIP; and be it further

RESOLVED that the Executive Director shall make available a copy of this resolution, and such other information as may be required, to the Governor, Caltrans, and to other such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on May 17, 2012

Date: May 17, 2012  
W.I.: 1512  
Referred by: Planning

Attachment A  
Resolution No. 4035

# **Cycle 2 Program Project Selection Criteria and Programming Policy**

**For  
FY 2012-13, FY 2013-14,  
FY 2014-15 and FY 2015-16**



# **Cycle 2 Program Policy and Programming**

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## BACKGROUND

Anticipating the end of the federal Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA) on September 30, 2009, MTC approved Cycle 1 commitments (Resolution 3925) along with an overall framework to guide upcoming programming decisions for Cycle 2 to address the new six-year surface transportation authorization act funding. However, the successor to SAFETEA has not yet been enacted, and SAFETEA has been extended through continuing resolutions. Without the new federal surface transportation act, MTC may program funds forward based on reasonable estimates of revenues. It is estimated that roughly \$795 million is available for programming over the upcoming four-year Cycle 2 period.

Cycle 2 covers the four years from FY 2012-13 to FY 2015-2016 pending the enactment of the new authorization and/or continuation of SAFETEA.

This attachment outlines how the region will use Cycle 2 funds for transportation needs in the MTC region. Funding decisions continue to implement the strategies and objectives of the Regional Transportation Plan (RTP), Transportation 2035, which is the Bay Area's comprehensive roadmap to guide transportation investments in surface transportation including mass transit, highway, local road, bicycle and pedestrian projects over the long term. The program investments recommended for funding in Cycle 2 are an outgrowth of the transportation needs identified by the RTP and also take into consideration the preferred transportation investment strategy of the Sustainable Communities Strategy (SCS).

Appendix A-1 provides an overview of the Cycle 2 Program commitments which contain a regional program component managed by MTC and a county program component to be managed by the counties.

## CYCLE 2 REVENUE ESTIMATES AND FEDERAL PROGRAM ARCHITECTURE

MTC receives federal funding for local programming from the State for local programming in the MTC region. Among the various transportation programs established by SAFETEA, this includes regional Surface Transportation Program (STP) Congestion Mitigation and Air Quality Improvement (CMAQ) Program and to a lesser extent, Regional Transportation Improvement Program (RTIP) and Transportation Enhancement (TE) funds. The STP/CMAQ/RTIP/TE programming capacity in Cycle 2 amounts to \$795 million. The Commission programs the STP/CMAQ funds while the California Transportation Commission programs the RTIP and TE Funds. Furthermore, the Bay Area Air Quality Management District (BAAQMD) is contributing Transportation Fund for Clean Air (TFCA) funding to Cycle 2. Below are issues to be addressed as the region implements Cycle 2 programming, particularly in light that approval of Cycle 2 will precede approval of the new federal transportation act.

**Revenues:** A revenue growth rate of 3% over prior federal apportionments is assumed for the first year – FY 2012-13. Due to continued uncertainties with federal funding, the estimated revenues for the later years of the program, FY 2013-14 through FY 2015-16, have not been escalated, but held steady at the estimated FY 2012-13 apportionment amount. If there are significant reductions in federal apportionments over the Cycle 2 time period, as in the past, MTC will reconcile the revenue levels following enactment of the New Act by making adjustments later if needed, by postponement of projects or adjustments to subsequent programming cycles.

**Fund Sources:** Development of the new federal surface transportation authorization will need to be closely monitored. New federal programs, their eligibility rules, and how funding is distributed to the states and regions could potentially impact the implementation of the Cycle 2 Regional and One Bay Area Grant (OBAG) Programs. It is anticipated that any changes to the federal programs would likely overlap to a large extent with projects that are currently eligible for funding under Title 23 of the United States Code, though the actual fund sources will likely no longer be referred to as STP/CMAQ/TE in the manner we have grown accustomed. Therefore, reference to specific fund sources in the Cycle 2 programming is a proxy for replacement fund sources for which MTC has programming authority.

## **NEW FUNDING APPROACH FOR CYCLE 2—THE ONEBAYAREA GRANT**

For Cycle 2, the OneBayArea Grant (OBAG) is a new funding approach that better integrates the region's federal transportation program with California's climate law (Senate Bill 375, Steinberg, 2008) and the Sustainable Communities Strategy. Funding distribution to the counties will encourage land-use and housing policies that support the production of housing with supportive transportation investments. This is accomplished through the following policies:

- Using transportation dollars to reward jurisdictions that accept housing allocations through the Regional Housing Need Allocation (RHNA) process and produce housing.
- Supporting the Sustainable Communities Strategy for the Bay Area by promoting transportation investments in Priority Development Areas (PDAs) and by initiating a pilot program in the North Bay counties that will support open space preservation in Priority Conservation Areas (PCA).
- Providing a higher proportion of funding to local agencies and additional investment flexibility by eliminating required program targets. A significant amount of funding that was used for regional programs in Cycle 1 is shifted to local programs (the OneBayArea Grant). The OBAG program allows investments in transportation categories such as Transportation for Livable Communities, bicycle and pedestrian improvements, local streets and roads preservation, and planning and outreach activities, while also providing targeted funding opportunities for Safe Routes to School (SR2S) and Priority Conservation Areas.

### Project List

Attachment B of Resolution 4035 contains the list of projects to be programmed under the Cycle 2 Program. Attachments B-1 and B-2 are listings of projects receiving Cycle 2 funding, and reflects the programs and projects included in the regional and OBAG programs respectively. The listing is subject to project selection actions (conducted by MTC for most of the regional programs and by the CMAs for funds distributed to them). MTC staff will update Attachments B-1 and B-2 as projects are selected by the Commission and CMAs and are included in the federal TIP.

### OneBayArea Grant Fund Distribution Formula

The formula used to distribute OneBayArea Grant funding to the counties takes into consideration the following factors: population, past housing production, future housing commitments as determined by the Association of Bay Area Governments (ABAG) Regional Housing Needs

Assessment (RHNA) and added weighting to acknowledge very low and low income housing. The formula breakdown is as follows with distributions derived from each jurisdiction's proportionate share of the regional total for each factor:

### OBAG Fund Distribution Factors

Factor Weighting	Percentage
Population	50%
RHNA* (total housing units)	12.5%
RHNA (low/very low income housing units)	12.5%
Housing Production** (total housing units)	12.5%
Housing Production (low/very low income housing units)	12.5%

\* RHNA 2014-2022

\*\*Housing Production Report 1999-2006

The objective of this formula is to provide housing incentives to complement the region's Sustainable Community Strategy (SCS) which together with a Priority Development Area (PDA) focused investment strategy will lead to transportation investments that support focused development. The proposed One Bay Area Grant formula also uses actual housing production data from 1999-2006, which has been capped such that each jurisdiction receives credit for housing up to its RHNA allocation. Subsequent funding cycles will be based on housing production from ABAG's next housing report to be published in 2013. The formula also recognizes jurisdictions' RHNA and past housing production (uncapped) contributions to very low and low income housing units. The resulting OBAG fund distribution for each county is presented in Appendix A-4. Funding guarantees are also incorporated in the fund distribution to ensure that all counties receive as much funding under the new funding model as compared to what they would have received under the Cycle 1 framework.

The Commission, working with ABAG, will revisit the funding distribution formula for the next cycle (post FY2015-16) to further evaluate how to best incentivize housing production across all income levels and other Plan Bay Area performance objectives.

## CYCLE 2 GENERAL PROGRAMMING POLICIES

The following programming policies apply to all projects funded in Cycle 2:

1. **Public Involvement.** MTC is committed to a public involvement process that is proactive and provides comprehensive information, timely public notice, full public access to key decisions, and opportunities for continuing involvement. MTC provides many methods to fulfill this commitment, as outlined in the *MTC Public Participation Plan*, Resolution No. 3821. The Commission's adoption of the Cycle 2 program, including policy and procedures meet the provisions of the *MTC Public Participation Plan*. MTC's advisory committees and the Bay

Area Partnership have been consulted in the development of funding commitments and policies for this program; and opportunities to comment have been provided to other stakeholders and members of the public.

Furthermore, investments made in the Cycle 2 program must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. Additionally, when CMAs select projects for funding at the county level, they must consider equitable solicitation and selection of project candidates in accordance with federal Title VI requirements (as set forth in Appendix A-5).

2. **Commission Approval of Programs and Projects and the Transportation Improvement Program (TIP).** Projects approved as part of the Cycle 2 Program must be amended into the federal TIP. The federally required TIP is a comprehensive listing of all San Francisco Bay Area surface transportation projects that receive federal funds, and/or are subject to a federally required action, such as federal environmental clearance, and/or are regionally significant for air quality conformity or modeling purposes. It is the project sponsor's responsibility to ensure their project is properly programmed in the TIP in a timely manner. Where CMAs are responsible for project selection the Commission will revise the TIP to include the resulting projects and Attachment B to this Resolution may be amended by MTC staff to reflect these revisions. Where responsibility for project selection in the framework of a Cycle 2 funding program is assigned to MTC, TIP amendments and a revision to Attachment B will be reviewed and approved by the Commission.
3. **Minimum Grant Size.** The objective of a grant minimum requirement is to maximize the efficient use of federal funds and minimize the number of federal-aid projects which place administrative burdens on project sponsors, CMAs, MTC, Caltrans, and Federal Highway Administration (FHWA) staff. Funding grants per project must therefore be a minimum of \$500,000 for counties with a population over 1 million (Alameda, Contra Costa, and Santa Clara counties) and \$250,000 for counties with a population under one million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma counties).

To provide flexibility, alternatively an averaging approach may be used. A CMA may program grant amounts no less than \$100,000 for any project, provided that the overall average of all grant amounts within their OBAG program meets the county minimum grant amount threshold.

Given the typical smaller scale of projects for the Safe Routes to School (SRTS) program, a lower threshold applies to the regional Safe Routes to School Program projects which have a minimum grant size of \$100,000.

4. **Air Quality Conformity.** In the Bay Area, it is the responsibility of MTC to make an air quality conformity determination for the TIP in accordance with federal Clean Air Act requirements and Environmental Protection Agency (EPA) conformity regulations. MTC evaluates the impact of the TIP on regional air quality during the biennial update of the TIP. Since the 2011 air quality conformity finding has been completed for the 2011 TIP, no non-exempt projects that were not incorporated in the finding will be considered for funding in the Cycle 2 Program until

the development of the 2013 TIP during spring 2013. Additionally, the U.S. Environmental Protection Agency has designated the Bay Area as a non-attainment area for PM 2.5. Therefore, based on consultation with the MTC Air Quality Conformity Task Force, projects deemed “Projects of Air Quality Concern” must complete a hot-spot analysis required by the Transportation Conformity Rule. Generally Projects of Air Quality Concern (POAQC) are those projects that result in significant increases in the number of or emissions from diesel vehicles.

5. **Environmental Clearance.** Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.), and the National Environmental Protection Act (42 USC Section 4-1 et seq.) standards and procedures for all projects with federal funds.
6. **Application, Resolution of Local Support.** Project sponsors must submit a completed project application for each project proposed for funding through MTC’s Funding Management System (FMS). The project application consists of two parts: 1) an application submittal and/or TIP revision request to MTC staff, and 2) Resolution of Local Support approved by the project sponsor’s governing board or council. A template for the resolution of local support can be downloaded from the MTC website using the following link:  
[http://www.mtc.ca.gov/funding/STPCMAQ/STP\\_CMAQ\\_LocalSupportReso.doc](http://www.mtc.ca.gov/funding/STPCMAQ/STP_CMAQ_LocalSupportReso.doc)
7. **Project Screening and Compliance with Regional and Federal Requirements.** MTC staff will perform a review of projects proposed for the Cycle 2 Program to ensure 1) eligibility; 2) consistency with the RTP; and 3) project readiness. In addition, project sponsors must adhere to directives such as “Complete Streets” (MTC Routine Accommodations for Bicyclists and Pedestrians); and the Regional Project Funding Delivery Policy as outlined below; and provide the required matching funds. Project sponsors should note that fund source programs, eligibility criteria, and regulations may change as a result of the passage of new surface transportation authorization legislation. In this situation, MTC staff will work to realign new fund sources with the funding commitments approved by the Commission.

► **Federal Project Eligibility:** STP has a wide range of projects that are eligible for consideration in the TIP. Eligible projects include, federal-aid highway and bridge improvements (construction, reconstruction, rehabilitation, resurfacing, restoration, and operational), mitigation related to an STP project, public transit capital improvements, pedestrian, and bicycle facilities, and transportation system management, transportation demand management, transportation control measures, surface transportation planning activities, and safety. More detailed eligibility requirements can be found in Section 133 of Title 23 of the United States Code.

CMAQ funding applies to new or expanded transportation projects, programs, and operations that help reduce emissions. Eligible project categories that meet this basic criteria include: Transportation activities in approved State Implementation Plan (SIP), Transportation Control Measures (TCMs), alternative fuels, traffic flow improvements, transit expansion projects, bicycle and pedestrian facilities and programs, travel demand management, outreach and rideshare activities, telecommuting programs, intermodal freight, planning and project development activities, Inspection and maintenance

programs, magnetic levitation transportation technology deployment program, and experimental pilot projects. For more detailed guidance see the *CMAQ Program Guidance* (FHWA, November 2008).

In the event that the next surface transportation authorization materially alters these programs, MTC staff will work with project sponsors to match projects with appropriate federal fund programs. MTC reserves the right to assign specific fund sources based on availability and eligibility requirements.

- **RTP Consistency:** Projects included in the Cycle 2 Program must be consistent with the adopted Regional Transportation Plan (RTP), according to federal planning regulations. Each project included in the Cycle 2 Program must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number or reference.
- **Complete Streets (MTC Routine Accommodations of Pedestrians and Bicyclists) Policy:** Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. MTC's Complete Streets policy (Resolution No. 3765) created a checklist that is intended for use on projects to ensure that the accommodation of non-motorized travelers are considered at the earliest conception or design phase. The county Congestion Management Agencies (CMAs) ensure that project sponsors complete the checklist before projects are considered by the county for funds and submitted to MTC. CMAs are required to make completed checklists available to their Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to CMAs' project selection actions for Cycle 2.

Other state policies include, Caltrans Complete Streets Policy Deputy Directive 64 R1 which stipulates: pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products and SB 1358 California Complete Streets Act, which requires local agency general plan circulation elements to address all travel modes.

- **Project Delivery and Monitoring.** Cycle 2 funding is available in the following four federal fiscal years: FY 2012-13, 2013-14, 2014-15, and FY 2015-16. Funds may be programmed in any one of these years, conditioned upon the availability of federal apportionment and obligation authority (OA). This will be determined through the development of an annual obligation plan, which is developed in coordination with the Partnership and project sponsors. However, funds **MUST** be obligated in the fiscal year programmed in the TIP, with all Cycle 2 funds to be obligated no later than March 31, 2016. Specifically, the funds must be obligated by FHWA or transferred to Federal Transit Administration (FTA) within the federal fiscal year that the funds are programmed in the TIP.

All Cycle 2 funding is subject to the Regional Project Funding Delivery Policy and any subsequent revisions (MTC Resolution No. 3606 at [http://www.mtc.ca.gov/funding/delivery/MTC\\_Res\\_3606.pdf](http://www.mtc.ca.gov/funding/delivery/MTC_Res_3606.pdf)) . Obligation deadlines, project substitutions and redirection of project savings will continue to be governed by

the MTC Regional Project Funding Delivery Policy. All funds are subject to obligation, award, invoicing, reimbursement and project close out requirements. The failure to meet these deadlines may result in the de-programming and redirection to other projects.

To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations and deadlines, every recipient of Cycle 2 funding will need to identify a staff position that serves as the single point of contact for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out. The agency is required to identify the contact information for this position at the time of programming of funds in the federal TIP. This person will be expected to work closely with FHWA, Caltrans, MTC and the respective CMA on all issues related to federal funding for all FHWA-funded projects implemented by the recipient.

Project sponsors that continue to miss delivery milestones and funding deadlines for any federal funds are required to prepare and update a delivery status report on all projects with FHWA-administered funds they manage, and participate if requested in a consultation meeting with the county CMA, MTC and Caltrans prior to MTC approving future Cycle programming or including any funding revisions for the agency in the federal TIP. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery timeline that takes into consideration the requirements and lead-time of the federal-aid process within available resources.

By applying for and accepting Cycle 2 funding, the project sponsor is acknowledging that it has and will maintain the expertise and staff resources necessary to deliver the federal-aid project within the funding timeframe.

- Local Match. Projects funded with STP or CMAQ funding requires a non-federal local match. Based on California's share of the nation's federal lands, the local match for STP and CMAQ is currently 11.47% of the total project cost. The FHWA will reimburse up to 88.53% of the total project cost. Project sponsors are required to provide the required match, which is subject to change.
- Fixed Program and Specific Project Selection. Projects are chosen for the program based on eligibility, project merit, and deliverability within established deadlines. The Cycle 2 program is project specific and the funds programmed to projects are for those projects alone. The Cycle 2 Program funding is fixed at the programmed amount; therefore, any cost increase may not be covered by additional Cycle 2 funds. Project sponsors are responsible for securing the necessary match, and for cost increases or additional funding needed to complete the project including contingencies.



## **REGIONAL PROGRAMS**

The programs below comprise the Regional Program of Cycle 2, administered by the Commission. Funding amounts for each program are included in Attachment A-1. Individual projects will be added to Attachment B as they are selected and included in the federal TIP.

### ***1. Regional Planning Activities***

This program provides funding to the Association of Bay Area Governments (ABAG), the San Francisco Bay Area Conservation and Development Commission (BCDC), and MTC to support regional planning activities. (Note that in the past this funding category included planning funding for the CMAs. Starting with Cycle 2, CMAs will access their OneBayArea Grant to fund their planning activities rather than from this regional program category). Appendix A-2 details the fund distribution.

### ***2. Regional Operations***

This program includes projects which are administered at the regional level by MTC, and includes funding to continue regional operations programs for Clipper®, 511 Traveler information (including 511 Rideshare, 511 Bicycle, 511 Traffic, 511 Real-Time Transit and 511 transit), Freeway Service Patrol / SAFE and Incident Management. Information on these programs is available at <http://www.mtc.ca.gov/services/>.

### ***3. Freeway Performance Initiative***

This program builds on the proven success of recent ramp metering projects that have achieved significant delay reduction on Bay Area freeways and arterials at a fraction of the cost of traditional highway widening projects. Several corridors are proposed for metering projects, targeting high congestion corridors. These projects also include Traffic Operations System elements to better manage the system as well as implementing the express lane network. This category also includes funding for performance monitoring activities, regional performance initiatives implementation, Regional Signal Timing Program, Program for Arterial System Synchronization (PASS), freeway and arterial performance initiative projects and express lanes.

### ***4. Pavement Management Program***

This continues the region's Pavement Management Program (PMP) and related activities including the Pavement Technical Assistance Program (PTAP). MTC provides grants to local jurisdictions to perform regular inspections of their local streets and roads networks and to update their pavement management systems which is a requirement to receive certain funding. MTC also assists local jurisdictions in conducting associated data collection and analysis efforts including local roads needs assessments and inventory surveys and asset management analysis that feed into regional planning efforts. MTC provides, training, research and development of pavement and non-pavement preservation management techniques, and participates in the state-wide local streets and roads needs assessment effort.

### ***5. Priority Development Area (PDA) Activities***

Funding in this regional program implements the following three regional programs:

***Affordable TOD fund:*** This is a continuation of MTC's successful Transit Oriented Development (TOD) fund into Cycle 2 which successfully has leveraged a significant amount of outside funding. The TOD fund provides financing for the development of affordable housing and other vital

community services near transit lines throughout the Bay Area. Through the Fund, developers can access flexible, affordable capital to purchase or improve available property near transit lines for the development of affordable housing, retail space and other critical services, such as child care centers, fresh food outlets and health clinics.

***PDA Planning Grants:*** MTC and ABAG's PDA Planning Grant Program will place an emphasis on affordable housing production and preservation in funding agreements with grantees. Grants will be made to jurisdictions to provide support in planning for PDAs in areas such as providing housing, jobs, intensified land use, promoting alternative modes of travel to the single occupancy vehicle, and parking management. These studies will place a special focus on selected PDAs with a greater potential for residential displacement and develop and implement community risk reduction plans. Also program funds will establish a new local planning assistance program to provide staff resources directly to jurisdictions to support local land-use planning for PDAs.

MTC will commence work with state and federal government to create private sector economic incentives to increase housing production.

***PDA Planning Assistance:*** Grants will be made to local jurisdictions to provide planning support as needed to meet regional housing goals.

## ***6. Climate Change Initiatives***

The proposed funding for the Cycle 2 Climate Initiative Program is to support the implementation of strategies identified in Plan Bay Area to achieve the required CO<sub>2</sub> emissions reductions per SB375 and federal criteria pollutant reductions. Staff will work with the Bay Area Air Quality Management District to implement this program.

## ***7. Safe Routes to Schools***

Within the Safe Routes to School Program (SR2S program) funding is distributed among the nine Bay Area counties based on K-12 total enrollment for private and public schools as reported by the California Department of Education for FY 2010-11. Appendix A-3 details the county fund distribution. Before programming projects into the TIP the CMAs shall provide the SR2S recommended county program scope, budget, schedule, agency roles, and federal funding recipient. CMAs may choose to augment this program with their own Cycle 2 OBAG funding.

## ***8. Transit Capital Rehabilitation***

The program objective is to assist transit operators to fund major fleet replacements, fixed guideway rehabilitation and other high-scoring capital needs, consistent with the FTA Transit Capital Priorities program. This includes a set-aside of \$1 million to support the consolidation and transition of Vallejo and Benicia bus services to Soltrans

***9. Transit Performance Initiative:*** This new pilot program implements transit supportive investments in major transit corridors that can be carried out within two years. The focus is on making cost-effective operational improvements on significant trunk lines which carry the largest number of passengers in the Bay Area including transit signal prioritization, passenger circulation improvements at major hubs, and boarding/stop improvements. Specific projects are included in Attachment B.

***10. Priority Conservation Area:*** This \$10 million program is regionally competitive. The first \$5 million would be dedicated to the North Bay counties of Marin, Napa, Solano, and Sonoma.

Eligible projects would include planning, land/easement acquisition, open space access projects, and farm-to-market capital projects. Priority would be given to projects that can partner with state agencies, regional districts and private foundations to leverage outside funds, particularly for land acquisition and open space access. An additional \$5 million will be available outside of the North Bay counties for sponsors that can provide a 3:1 match. Program guidelines will be developed over the next several months. Prior to the call for projects, a meeting will be held with stakeholders to discuss the program framework and project eligibility. The program guidelines will be approved by the Commission following those discussions. Note that tribal consultation for Plan Bay Area highlighted the need for CMAs in Sonoma and Contra Costa counties to involve tribes in PCA planning and project delivery.

## ONEBAYAREA GRANT PROGRAMMING POLICIES

The policies below apply to the OneBayArea Grant Program, administered by the county Congestion Management Agencies (CMAs) or substitute agency:

- ▶ Program Eligibility: The congestion management agency may program funds from its One Bay Area Grant fund distribution to projects that meet the eligibility requirements for any of the following transportation improvement types:
  - Local Streets and Roads Preservation
  - Bicycle and Pedestrian Improvements
  - Transportation for Livable Communities
  - Safe Routes To School/Transit
  - Priority Conservation Area
  - Planning and Outreach Activities
  
- ▶ Fund Source Distribution: OBAG is funded primarily from three federal fund sources: STP, CMAQ and TE. Although the new federal surface transportation authorization act now under consideration may alter the actual fund sources available for MTC's programming discretion it is anticipated that any new federal programs would overlap to a large extent with existing programs. The CMAs will be provided a breakdown of specific OBAG fund sources, with the understanding that actual fund sources may change as a result of the new federal surface transportation act. In this situation, MTC staff will work with the CMAs to realign new fund sources with the funding commitments approved by the Commission. Furthermore, due to strict funding availability and eligibility requirements, the CMAs must adhere to the fund source limitations provided. Exceptions may be granted by MTC staff based on actual fund sources available and final apportionment levels.

In determining the fund source distribution to the counties, each county was first guaranteed at least what they would otherwise received in Cycle 2 under the original Cycles 1 & 2 framework as compared to the original July 8, 2011 OBAG proposal. This resulted in the county of Marin receiving an additional \$1.1 million, county of Napa receiving \$1.3 million each, and the county of Solano receiving \$1.4 million, for a total of \$3.8 million (in CMAQ funds) off the top to hold these counties harmless. The Transportation Enhancement (TE) funds were then distributed based on the county TE shares available for OBAG as approved in the 2012 Regional Transportation Improvement Program (RTIP). STP funds were then assigned to the CMA planning and outreach activities. The remaining STP funds assigned to OBAG were then distributed to each county based on the OBAG distribution formula. The remaining funds were distributed as CMAQ per the OBAG distribution formula. The hold harmless clause resulted in a slight deviation in the OBAG formula distribution for the overall funding amounts for each county.

- ▶ Priority Development Area (PDA) Policies
  - PDA minimum: CMAs in larger counties (Alameda, Contra Costa, San Mateo, San Francisco, and Santa Clara) shall direct at least 70% of their OBAG

investments to the PDAs. For North Bay counties (Marin, Napa, Solano, and Sonoma) this minimum target is 50% to reflect the more rural nature of these counties. A project lying outside the limits of a PDA may count towards the minimum provided that it directly connects to or provides proximate access to a PDA. Depending on the county, CMA planning costs would partially count towards PDA targets (70% or 50%) in line with its PDA funding target. At MTC staff discretion, consideration may be given to counties that provided higher investments in PDAs in Cycle 1 as part of an overall Cycle 1 and 2 investment package. Priority Conservation Area (PCA) investments do not count towards PDA targets and must use “anywhere” funds. The PDA/’anywhere’ funding split is shown in Appendix A-4.

- PDA Boundary Delineation: Refer to <http://geocommons.com/maps/141979> which provides a GIS overlay of the PDAs in the Bay Area to exact map boundaries including transportation facilities. As ABAG considers and approves new PDA designations this map will be updated.
  - Defining “proximate access to PDAs”: The CMAs make the determination for projects to count toward the PDA minimum that are not otherwise geographically located within a PDA. For projects not geographically within a PDA, CMAs are required to map projects and designate which projects are considered to support a PDA along with policy justifications. This analysis would be subject to public review when the CMA board acts on OBAG programming decisions. This should allow decision makers, stakeholders, and the public to understand how an investment outside of a PDA is to be considered to support a PDA and to be credited towards the PDA investment minimum target. MTC staff will evaluate and report to the Commission on how well this approach achieves the OBAG objectives prior to the next programming cycle.
  - PDA Investment & Growth Strategy: By May 1, 2013, CMAs shall prepare and adopt a PDA Investment & Growth Strategy to guide transportation investments that are supportive of PDAs. An existing Investment and Growth Strategy adopted by the County will be considered as meeting this requirement if it satisfies the general terms in Appendix A-6. See Appendix A-6 for details.
- Performance and Accountability Policies: Jurisdictions need to comply with the following policies in order to be eligible recipients of OBAG funds.
- To be eligible for OBAG funds, a jurisdiction will need to address complete streets policies at the local level through the adoption of a complete streets policy resolution no later than January 31, 2013. A jurisdiction can also meet this requirement through a general plan that complies with the Complete Streets Act of 2008. Staff will provide minimum requirements based on best practices for the resolution. As discussed below, jurisdictions will be expected to have a general plan that complies within the Complete Streets Act of 2008 to be eligible for the next round of funding.

- A jurisdiction is required to have its general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for 2007-14 RHNA prior to January 31, 2013. If a jurisdiction submits its housing element to the state on a timely basis for review, but the State's comment letter identifies deficiencies that the local jurisdictions must address in order to receive HCD certification, then the local jurisdiction may submit a request to the Joint MTC Planning / ABAG Administrative Committee for a time extension to address the deficiencies and resubmit its revised draft housing element to HCD for re-consideration and certification.
- For the OBAG cycle subsequent to FY 2015-16, jurisdictions must adopt housing elements by October 31, 2014 (based on an April 2013 SCS adoption date); therefore, jurisdictions will be required to have General Plans with approved housing elements and that comply with the Complete Streets Act of 2008 by that time to be eligible for funding. This schedule allows jurisdictions to meet the housing and complete streets policies through one general plan amendment.
- OBAG funds may not be programmed to any jurisdiction out of compliance with OBAG policies and other requirements specified in this attachment. The CMA will be responsible for tracking progress towards these requirements and affirming to MTC that a jurisdiction is in compliance prior to MTC programming OBAG funds to its projects in the TIP.
- For a transit agency project sponsor under a JPA or district (not under the governance of a local jurisdiction), the jurisdiction where the project (such as station/stop improvements) is located will need to comply with these policies before funds may be programmed to the transit agency project sponsor. However, this is not required if the project is transit/rail agency property such as, track, rolling stock or transit maintenance facility.
- CMAs will provide documentation for the following prior to programming projects in the TIP:
  - The approach used to select OBAG projects including outreach and a board adopted list of projects
  - Compliance with MTC's complete streets policy
  - A map delineating projects selected outside of PDAs indicating those that are considered to provide proximate access to a PDA including their justifications as outlined on the previous page. CMA staff is expected to use this exhibit when it presents its program of projects to explain the how "proximate access" is defined to their board and the public.
- MTC staff will report on the outcome of the CMA project selection process in late 2013. This information will include, but not be limited to, the following:
  - Mix of project types selected;
  - Projects funded within PDAs and outside of PDAs and how proximity and direct connections were used and justified through the county process;
  - Complete streets elements that were funded;
  - Adherence to the performance and accountability requirements;

- Amount of funding to various jurisdictions and how this related to the distribution formula that includes population, RHNA housing allocations and housing production, as well as low-income housing factors.
    - Public participation process.
  - The CMAs will also be required to present their PDA Growth Strategy to the Joint MTC Planning / ABAG Administrative Committee.
- **Project Selection:** County congestion management agencies or substitute agencies are given the responsibility to develop a project selection process along with evaluation criteria, issue a call for projects, conduct outreach, and select projects
- **Public Involvement:** The decision making authority to select projects for federal funding accompanies responsibilities to ensure that the process complies with federal statutes and regulations. In order to ensure that the CMA process for administering OBAG is in compliance, CMAs are required to lead a public outreach process as directed by Appendix A-5.
  - **Unified Call for Projects:** CMAs are requested to issue one unified call for projects for their One Bay Area grant, with a final project list due to MTC by June 30, 2013. CMA staff need to ensure that all projects are submitted using the Fund Management System (FMS) no later than July 30, 2013. The goal of this process is to reduce staff time, coordinate all programs to respond to larger multi-modal projects, and provide project sponsors the maximum time to deliver projects.
  - **Project Programming Targets and Delivery Deadlines:** CMAs must program their block grant funds over the four-year period of Cycle 2 (FY 2012-13 through FY 2015-16). The expectation is that the CMA planning activities \ project would use capacity of the first year to provide more time for delivery as contrasted to other programs which tend to have more complex environmental and design challenges, but this is not a requirement. The funding is subject to the provisions of the Regional Project Delivery Policy (MTC Resolution 3606 or its successor) including the Request for Authorization (RFA) submittal deadline and federal authorization/obligation deadline. Furthermore the following funding deadlines apply for each county, with earlier delivery strongly encouraged:
    - Half of the OBAG funds, including all funds programmed for the PE phase, must be obligated (federal authorization/E-76) by March 31, 2015.
    - All remaining OBAG funds must be obligated by March 31, 2016.

## **CYCLE 2 COUNTY ONE BAY AREA GRANT PROJECT GUIDANCE**

The categories below comprise the Cycle 2 County One Bay Area Grant Program, administered by the county congestion management agencies. Project selection should ensure that all of the eligibility requirements below are met. MTC staff will work with CMAs and project sponsors to resolve any eligibility issues which may arise, including air quality conformity exceptions and requirements.

### ***1. CMA Planning and Outreach***

This category provides funding to the nine county Congestion Management Agencies (CMAs) to support regional planning, programming and outreach activities. Such efforts include: county-based planning efforts for development of the RTP/SCS; development of PDA growth strategies; development and implementation of a complete streets compliance protocol; establishing land use and travel forecasting process and procedures consistent with ABAG/MTC; ensuring the efficient and effective delivery of federal-aid local projects; and undertaking the programming of assigned funding and solicitation of projects. The base funding level reflects continuing the Transportation 2035 commitment level by escalating at 3% per year from the base amount in FY 2011-12. In addition, the CMAs may request additional funding from their share of OBAG to enhance or augment additional activities at their discretion. All funding and activities will be administered through an interagency agreement between MTC and the respective CMA. Actual amounts for each CMA as augmented, are shown in Appendix A-2

### ***2. Local Streets and Roads Preservation***

This category is for the preservation of local streets and roads on the federally-eligible system. To be eligible for funding of any Local Streets and Roads (LSR) preservation project, the jurisdiction must have a certified Pavement Management Program (StreetSaver® or equivalent). The needs analysis ensures that streets recommended for treatment are cost effective. Pavement projects should be based on the needs analysis resulting from the established Pavement Management Program (PMP) for the jurisdiction. MTC is responsible for verifying the certification status. The certification status can be found at [www.mtcpms.org/ptap/cert.html](http://www.mtcpms.org/ptap/cert.html). Specific eligibility requirements are included below:

#### **Pavement Rehabilitation:**

Pavement rehabilitation projects including pavement segments with a PCI below 70 should be consistent with segments recommended for treatment within the programming cycle by the jurisdiction's PMP.

**Preventive Maintenance:** Only projects where pavement segments have a Pavement Condition Index (PCI) of 70 or above are eligible for preventive maintenance. Furthermore, the local agency's Pavement Management Program (PMP) must demonstrate that the preventive maintenance strategy is a cost effective method of extending the service life of the pavement.

#### **Non-Pavement:**

Eligible non-pavement activities and projects include rehabilitation or replacement of existing features on the roadway facility, such as storm drains, National Pollutant Discharge Elimination System (NPDES), curbs, gutters, culverts, medians, guardrails, safety features, signals, signage, sidewalks, ramps and features that bring the facility to current standards. The jurisdiction must still have a certified PMP to be eligible for improvements to non-pavement features.

Activities that are not eligible for funding include: Air quality non-exempt projects (unless granted an exception by MTC staff), capacity expansion, new roadways, roadway extensions, right of way acquisition (for future expansion), operations, routine maintenance, spot application, enhancements that are above and beyond repair or replacement of existing assets (other than bringing roadway to



current standards), and any pavement application not recommended by the Pavement Management Program unless otherwise allowed above.

Federal-Aid Eligible Facilities: Federal-aid highways as defined in 23 U.S.C. 101(a)(5) are eligible for local streets and roads preservation funding. A federal-aid highway is a public road that is not classified as a rural minor collector or local road or lower. Project sponsors must confirm the eligibility of their roadway through the Highway Performance Monitoring System (HPMS) prior to the application for funding.

Federal Aid Secondary (FAS) Program Set-Aside: While passage of the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 dissolved the Federal Aid Secondary (FAS) program, California statutes provide the continuation of minimum funding to counties, guaranteeing their prior FAS shares. The first three years of Cycle 2 were covered up-front under the Cycle 1 FAS program (covering a total 6-year period). The fourth year of Cycle 2 will be covered under the OBAG. Funding provided to the counties by the CMAs under OBAG will count toward the continuation of the FAS program requirement.

### ***3. Bicycle and Pedestrian Improvements***

The Bicycle and Pedestrian program may fund a wide range of bicycle and pedestrian improvements including Class I, II and III bicycle facilities, bicycle education, outreach, sharing and parking, sidewalks, ramps, pathways and pedestrian bridges, user safety and supporting facilities, and traffic signal actuation.

According to CMAQ eligibility requirements, bicycle and pedestrian facilities must not be exclusively recreational and reduce vehicle trips resulting in air pollution reductions. Also to meet the needs of users, hours of operation need to be reasonable and support bicycle / pedestrian needs particularly during commute periods. For example the policy that a trail be closed to users before sunrise or after sunset limits users from using the facility during the peak commute hours, particularly during times of the year with shorter days. These user restrictions indicate that the facility is recreational rather than commute oriented. Also, as contrasted with roadway projects, bicycle and pedestrian projects may be located on or off the federal-aid highway system.

### ***4. Transportation for Livable Communities***

The purpose of Transportation for Livable Communities (TLC) projects is to support community-based transportation projects that bring new vibrancy to downtown areas, commercial cores, high-density neighborhoods, and transit corridors, enhancing their amenities and ambiance and making them places where people want to live, work and visit. The TLC program supports the RTP/SCS by investing in improvements and facilities that promote alternative transportation modes rather than the single-occupant automobile.

General project categories include the following:

- Station Improvements such as plazas, station access pocket parks, bicycle parking
- Complete streets improvements that encourage bicycle and pedestrian access
- Transportation Demand Management projects including carsharing, vanpooling traveler coordination and information or Clipper®-related projects

- Connectivity projects connecting high density housing/jobs/mixed use to transit, such as bicycle/pedestrian paths and bridges and safe routes to transit.
- Density Incentives projects and non-transportation infrastructure improvements that include density bonuses, sewer upgrade, land banking or site assembly (these projects require funding exchanges to address federal funding eligibility limitations)
- Streetscape projects focusing on high-impact, multi-modal improvements or associated with high density housing/mixed use and transit (bulb outs, sidewalk widening , cross walk enhancements, audible signal modification, mid block crossing and signal, new striping for bicycle lanes and road diets, pedestrian street lighting, medians, pedestrian refugees, way finding signage, pedestrian scaled street furniture including bus shelters, tree grates, benches, bollards, magazine racks, garbage and recycling bins, permanent bicycle racks, signal modification for bicycle detection, street trees, raised planters, planters, costs associated with on- site storm water management, permeable paving)
- Funding for TLC projects that incentivize local PDA Transit Oriented Development Housing

### ***5. Safe Routes to School***

The county Safe Routes to School Program continues to be a regional program. The funding is distributed directly to the CMAs by formula through the Cycle 2 regional program (see Appendix A-3). However, a CMA may use OBAG funding to augment this amount. Eligible projects include infrastructure and non-infrastructure projects that facilitate reduction in vehicular travel to and from schools. It is important to note that CMAQ is used to fund this program which is targeted towards air quality improvement rather than children's health or safety. Nevertheless CMAQ eligibility overlaps with Safe Routes to School Program projects that are eligible under the federal and state programs with few exceptions which are noted below. Refer to the following link for detailed examples of eligible projects which is followed by CMAQ funding eligibility parameters:

[http://mtc.ca.gov/funding/STPCMAQ/7\\_SR2S\\_Eligibility\\_Matrix.pdf](http://mtc.ca.gov/funding/STPCMAQ/7_SR2S_Eligibility_Matrix.pdf)

### **Non-Infrastructure Projects**

#### **Public Education and Outreach Activities**

- Public education and outreach can help communities reduce emissions and congestion by inducing drivers to change their transportation choices.
- Activities that promote new or existing transportation services, developing messages and advertising materials (including market research, focus groups, and creative), placing messages and materials, evaluating message and material dissemination and public awareness, technical assistance, programs that promote the Tax Code provision related to commute benefits, and any other activities that help forward less-polluting transportation options.
- Air quality public education messages: Long-term public education and outreach can be effective in raising awareness that can lead to changes in travel behavior and ongoing emissions reductions; therefore, these activities may be funded indefinitely.
- Non-construction outreach related to safe bicycle use
- Travel Demand Management Activities including traveler information services, shuttle services, carpools, vanpools, parking pricing, etc.

### **Infrastructure Projects**

#### **Bicycle/Pedestrian Use:**

- Constructing bicycle and pedestrian facilities (paths, bike racks, support facilities, etc.) that are not exclusively recreational and reduce vehicle trips
- Programs for secure bicycle storage facilities and other facilities, including bicycle lanes, for the convenience and protection of bicyclists, in both public and private areas new construction and major reconstructions of paths, tracks, or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest
- Traffic calming measures

Exclusions found to be ineligible uses of CMAQ funds:

- Walking audits and other planning activities (STP based on availability will be provided for these purposes upon CMA's request)
- Crossing guards and vehicle speed feedback devices, traffic control that is primarily oriented to vehicular traffic rather than bicyclists and pedestrians
- Material incentives that lack an educational message or exceeding a nominal cost.

**6. *Priority Conservation Areas***

This is an outgrowth of the new regional program pilot for the development of Priority Conservation Area (PCA) plans and projects to assist counties to ameliorate outward development expansion and maintain their rural character. A CMA may use OBAG funding to augment grants received from the regionally competitive program or develop its own county PCA program. Generally, eligible projects will include planning, land / easement acquisition, open space access projects, and farm-to-market capital projects.

**PROGRAM SCHEDULE**

Cycle 2 spans apportionments over four fiscal years: FY 20012-13, FY 2013-14, FY 2014-15 and FY 2015-16. Programming in the first year will generally be for the on-going regional operations and regional planning activities which can be delivered immediately, allowing the region to meet the obligation deadlines for use of FY 2012-13 funds. This strategy, at the same time, provides several months during FY 2012-13 for program managers to select projects and for MTC to program projects into the TIP to be obligated during the remaining second, third and fourth years of the Cycle 2 period. If CMAs wish to program any OBAG funds in the first year, MTC will try to accommodate requests depending on available federal apportionments and obligation limitations, as long as the recipient has meet the OBAG requirements.

## Appendix A-1

### Cycle 2

### Regional and County Programs

FY 2012-13 through FY 2015-16

May 2012

### Proposed Cycle 2 Funding Commitments

Regional Program (millions \$ - rounded)		4-Year Total
Regional Categories		
1	Regional Planning Activities	\$7
2	Regional Operations	\$95
3	Freeway Performance Initiative	\$96
4	Pavement Management Program	\$7
5	Priority Development Activities	\$40
6	Climate Initiatives	\$20
7	Safe Routes To School	\$20
8	Transit Capital Rehabilitation	\$150
9	Transit Performance Initiative	\$30
10	Priority Conservation Area	\$10
Regional Program Total:*		\$475
		60%

One Bay Area Grant (OBAG) (millions \$ - rounded)		4-Year Total
Counties		
1	Alameda	\$63
2	Contra Costa	\$44
3	Marin	\$10
4	Napa	\$6
5	San Francisco	\$38
6	San Mateo	\$26
7	Santa Clara	\$87
8	Solano	\$18
9	Sonoma	\$23
OBAG Total:*		\$320
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Cycle 2 Total Total:*	\$795
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\* Amounts may not total due to rounding

\* OBAG amounts are draft estimates until final adoption of RHNA, expected July 2012.

## Appendix A-2

### Cycle 2 Planning & Outreach FY 2012-13 through FY 2015-16 May 2012

#### OBAG - County CMA Planning

		Cycle 2 OBAG County CMA Planning				STP
County	Agency	2012-13	2013-14	2014-15	2015-16	Total
Alameda	ACTC	\$916,000	\$944,000	\$973,000	\$1,003,000	\$3,836,000
Contra Costa	CCTA	\$725,000	\$747,000	\$770,000	\$794,000	\$3,036,000
Marin	TAM	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
Napa	NCTPA	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
San Francisco	SFCTA	\$667,000	\$688,000	\$709,000	\$731,000	\$2,795,000
San Mateo	SMCCAG	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
Santa Clara	VTA	\$1,014,000	\$1,045,000	\$1,077,000	\$1,110,000	\$4,246,000
Solano	STA	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
Sonoma	SCTA	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
County CMAs Total:		\$6,512,000	\$6,714,000	\$6,919,000	\$7,133,000	\$27,278,000

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#### Regional Agency Planning

		Cycle 2 Regional Agency Planning				STP Total
Regional Agency		2012-13	2013-14	2014-15	2015-16	
ABAG	ABAG	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
BCDC	BCDC	\$320,000	\$330,000	\$340,000	\$351,000	\$1,341,000
MTC	MTC	\$638,000	\$658,000	\$678,000	\$699,000	\$2,673,000
Regional Agencies Total:		\$1,596,000	\$1,646,000	\$1,696,000	\$1,749,000	\$6,687,000

**\$33,965,000**

## Appendix A-3

### Cycle 2

### Safe Routes to School County Distribution

FY 2012-13 through FY 2015-16

May 2012

#### Safe Routes To School County Distribution

County	Public School Enrollment (K-12) *	Private School Enrollment (K-12) *	Total School Enrollment (K-12) *	Percentage	Total Funding
					<b>\$20,000,000</b>
<b>Alameda</b>	214,626	24,537	239,163	21%	<b>\$4,293,000</b>
<b>Contra Costa</b>	166,956	16,274	183,230	16%	<b>\$3,289,000</b>
<b>Marin</b>	29,615	5,645	35,260	3%	<b>\$633,000</b>
<b>Napa</b>	20,370	3,036	23,406	2%	<b>\$420,000</b>
<b>San Francisco</b>	56,454	23,723	80,177	7%	<b>\$1,439,000</b>
<b>San Mateo</b>	89,971	16,189	106,160	10%	<b>\$1,905,000</b>
<b>Santa Clara</b>	261,945	38,119	300,064	27%	<b>\$5,386,000</b>
<b>Solano</b>	67,117	2,855	69,972	6%	<b>\$1,256,000</b>
<b>Sonoma</b>	71,049	5,787	76,836	7%	<b>\$1,379,000</b>
<b>Total:</b>	<b>978,103</b>	<b>136,165</b>	<b>1,114,268</b>	<b>100%</b>	<b>\$20,000,000</b>

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\* From California Department of Education for FY 2010-11

## Appendix A-4

### Cycle 2 OBAG County Fund Distribution FY 2012-13 through FY 2015-16 May 2012

#### OBAG Geographic Funding Distribution

County	OBAG Funds	PDA/Anywhere Split	PDA	Anywhere
Alameda	\$63,732,000	70/30	\$44,612,000	\$19,120,000
Contra Costa	\$44,787,000	70/30	\$31,351,000	\$13,436,000
Marin	\$10,047,000	50/50	\$5,024,000	\$5,023,000
Napa	\$6,653,000	50/50	\$3,327,000	\$3,326,000
San Francisco	\$38,837,000	70/30	\$27,186,000	\$11,651,000
San Mateo	\$26,246,000	70/30	\$18,372,000	\$7,874,000
Santa Clara	\$87,284,000	70/30	\$61,099,000	\$26,185,000
Solano	\$18,801,000	50/50	\$9,401,000	\$9,400,000
Sonoma	\$23,613,000	50/50	\$11,807,000	\$11,806,000
<b>Total:</b>			<b>\$212,179,000</b>	<b>\$107,821,000</b>

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OBAG amounts are draft estimates until final adoption of RHNA, expected July 2012.

## Appendix A-5: One Bay Area Grant Call for Projects Guidance

The Metropolitan Transportation Commission (MTC) has delegated OBAG project selection to the nine Bay Area Congestion Management Agencies (CMAs) as they are best suited for this role because of their existing relationships with local jurisdictions, elected officials, transit agencies, community organizations and stakeholders, and members of the public within their respective counties. In order to meet federal requirements that accompany the decision-making process regarding federal transportation funding, MTC expects the CMAs to plan and execute an effective public outreach and local engagement process to solicit candidate projects to be submitted to MTC for consideration for inclusion in the Cycle 2 One Bay Area Grant Program. CMAs will also serve as the main point of contact for local sponsoring agencies and members of the public submitting projects for consideration for inclusion in the 2013 Transportation Improvement Program.

CMAs will conduct a transparent process for the Call for Projects while complying with federal regulations by carrying out the following activities:

### 1. Public Involvement and Outreach

- ***Conduct countywide outreach to stakeholders and the public to solicit project ideas.*** CMAs will be expected to implement their public outreach efforts in a manner consistent with MTC's Public Participation Plan (MTC Resolution No. 3821), which can be found at [http://www.mtc.ca.gov/get\\_involved/participation\\_plan.htm](http://www.mtc.ca.gov/get_involved/participation_plan.htm). CMAs are expected at a minimum to:
  - Execute effective and meaningful local engagement efforts during the call for projects by working closely with local jurisdictions, elected officials, transit agencies, community-based organizations, and the public through the project solicitation process.
  - Explain the local Call for Projects process, informing stakeholders and the public about the opportunities for public comments on project ideas and when decisions are to be made on the list of projects to be submitted to MTC;
  - Hold public meetings and/or workshops at times which are conducive to public participation to solicit public input on project ideas to submit;
  - Post notices of public meetings and hearing(s) on their agency website; include information on how to request language translation for individuals with limited English proficiency. If agency protocol has not been established, please refer to MTC's Plan for Assisting Limited English Proficient Populations at [http://www.mtc.ca.gov/get\\_involved/lep.htm](http://www.mtc.ca.gov/get_involved/lep.htm)
  - Hold public meetings in central locations that are accessible for people with disabilities and by public transit;
  - Offer language translations and accommodations for people with disabilities, if requested at least three days in advance of the meeting.
- ***Document the outreach effort undertaken for the local call for projects.*** CMAs are to provide MTC with:



- A description of how the public was involved in the process for nominating and/or commenting on projects selected for OBAG funding. Specify whether public input was gathered at forums held specifically for the OBAG project solicitation or as part of a separate planning or programming outreach effort;
- A description of how the public engagement process met the outreach requirements of MTC's Public Participation Plan, including how the CMA ensured full and fair participation by all potentially affected communities in the project submittal process.
- A summary of comments received from the public and a description of how public comments informed the recommended list of projects submitted by the CMA.

## 2. Agency Coordination

- ***Work closely with local jurisdictions, transit agencies, MTC, Caltrans, federally recognized tribal governments, and stakeholders to identify projects for consideration in the OBAG Program.*** CMAs will assist with agency coordination by:
  - Communicating this Call for Projects guidance to local jurisdictions, transit agencies, federally recognized tribal governments, and other stakeholders

## 3. Title VI Responsibilities

- ***Ensure the public involvement process provides underserved communities access to the project submittal process as in compliance with Title VI of the Civil Rights Act of 1964.***
  - Assist community-based organizations, communities of concern, and any other underserved community interested in having projects submitted for funding;
  - Remove barriers for persons with limited-English proficiency to have access to the project submittal process;
  - For Title IV outreach strategies, please refer to MTC's Public Participation Plan found at: [http://www.onebayarea.org/get\\_involved.htm](http://www.onebayarea.org/get_involved.htm)
  - Additional resources are available at
    - i. <http://www.fhwa.dot.gov/civilrights/programs/tvi.htm>
    - ii. [http://www.dot.ca.gov/hq/LocalPrograms/DBE\\_CRLC.html#TitleVI](http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC.html#TitleVI)
    - iii. [http://www.mtc.ca.gov/get\\_involved/rights/index.htm](http://www.mtc.ca.gov/get_involved/rights/index.htm)

## Appendix A-6: PDA Investment & Growth Strategy

~~MTC shall consult with the CMAs and amend the scope of activities identified below, as necessary, to minimize administrative workload and to avoid duplication of effort. This consultation may result in specific work elements shifting to MTC and/or ABAG. Such changes will be formalized through a future amendment to this appendix.~~

The purpose of a PDA Investment & Growth Strategy is to ensure that CMAs have a transportation project priority-setting process for OBAG funding that supports and encourages development in the region's PDAs, recognizing that the diversity of PDAs will require different strategies. Some of the planning activities noted below may be appropriate for CMAs to consider for jurisdictions or areas not currently designated as PDAs if those areas are still considering future housing and job growth. Regional agencies will provide support, as needed, for the PDA Investment & Growth Strategies. From time to time, MTC shall consult with the CMAs to evaluate progress on the PDA Investment and Growth Strategy. This consultation may result in specific work elements shifting among MTC, ABAG and the CMAs. Significant modifications to the scope of activities may be formalized through future revisions to this resolution. The following are activities CMAs need to undertake in order to develop a project priority-setting process:

### (1) Engaging Regional/Local Agencies

- Develop or continue a process to regularly engage local planners and public works staff. Encourage community participation throughout the planning process and in determining project priorities
- Participate as a TAC member in local jurisdiction planning processes funded through the regional PDA Planning Program or as requested by jurisdictions. Partner with MTC and ABAG staff to ensure that regional policies are addressed in PDA plans.
- ~~• Help develop protocols with MTC, ABAG and Air District staff to assess toxic air contaminants and particulate matter, as well as related mitigation strategies, as part of regional PDA Planning Program.~~

### (2) Planning Objectives – to Inform Project Priorities

- Keep apprised of ongoing transportation and land-use planning efforts throughout the county
- Encourage local agencies to quantify transportation infrastructure needs and costs as part of their planning processes
- Encourage and support local jurisdictions in meeting their housing objectives established through their adopted Housing Elements and RHNA.
  - *Short-term:* By May 1, 2013, ~~analyze receive and review information submitted to the CMA by~~ ABAG on the progress of local jurisdictions in implementing their housing element objectives and identify current local housing policies that encourage affordable housing production and/or community stabilization.
  - *Long-term:* Starting in May 2014 and ~~for in all~~ subsequent updates, PDA Investment & Growth Strategies will assess ~~performancee local -jurisdiction efforts in producing approving~~ sufficient housing for all income levels through the RHNA process and, where appropriate, assist local jurisdictions in implementing local policy changes to facilitate achieving these goals<sup>1</sup>. The locally crafted policies should be targeted to the specific circumstances of each PDA. For example, if the PDA currently does not provide for a mix of income-levels, any recommend policy changes should be aimed at promoting affordable housing. If the PDA currently is mostly low-income housing, any needed policy changes should be aimed at community stabilization. This analysis will be coordinated with related work

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<sup>1</sup> Such as inclusionary housing requirements, city-sponsored land-banking for affordable housing production, “just cause eviction” policies, policies or investments that preserve existing deed-restricted or “naturally” affordable housing, condo conversion ordinances that support stability and preserve affordable housing, etc.

conducted through the Housing and Urban Development (HUD) grant awarded to the region in fall 2011.

**(3) Establishing Local Funding Priorities** - Develop funding guidelines for evaluating OBAG projects that support multi-modal transportation priorities based on connections to housing, jobs and commercial activity. Emphasis should be placed on the following factors when developing project evaluation criteria:

- **Projects located in high impact project areas.** Key factors defining high impact areas include:
  - a. Housing – PDAs taking on significant housing growth in the SCS (total number of units and percentage change), including RHNA allocations, as well as housing production
  - b. Jobs in proximity to housing and transit (both current levels and those included in the SCS),
  - c. Improved transportation choices for all income levels (reduces VMT), proximity to quality transit access, with an emphasis on connectivity (including safety, lighting, etc.)
  - d. Consistency with regional TLC design guidelines or design that encourages multi-modal access: [http://www.mtc.ca.gov/planning/smart\\_growth/tlc/2009\\_TLC\\_Design\\_Guidelines.pdf](http://www.mtc.ca.gov/planning/smart_growth/tlc/2009_TLC_Design_Guidelines.pdf)
  - e. Project areas with parking management and pricing policies
- **Projects located in Communities of Concern (COC)** – favorably consider projects located in a COC as defined by MTC (-see: <http://geocommons.com/maps/110983> ) or as defined by CMAs according to local priorities
- **PDAs with affordable housing preservation and creation strategies** – favorably consider projects in jurisdictions with affordable housing preservation and creation strategies or policies
- **PDAs that overlap or are colocated with: 1) populations exposed to outdoor toxic air contaminants as identified in the with-Air District's Community Air Risk Evaluation (CARE) Communities Program and/or are in proximity to 2) freight transport infrastructure** –Favorably consider projects in these areas where local jurisdictions employ best management practices to mitigate PM and toxic air contaminants exposure. projects located in PDAs with highest exposure to particulate matter and toxic air contaminants where jurisdictions employ best management practices to mitigate exposure.

#### Process/Timeline

CMAs develop PDA Investment & Growth Strategy	June 2012 – May 2013
PDA Investment & Growth Strategy Presentations by CMAs to Joint MTC Planning and ABAG Administrative Committee	Summer/Fall 2013
CMAs amend PDA Investment & Growth Strategy to incorporate follow-up to local housing production and policies	May 2014
CMAs submit annual progress reports related to PDA Growth Strategies, including status of jurisdiction progress on development/adoption of housing elements and complete streets ordinances.	May 2014, Ongoing

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Cycle 2  
Regional Programs Project List  
FY 2012-13 through FY 2015-16  
May 2012

Regional Programs Project List

Project Category and Title	County	Implementing Agency	Total STP/CMAQ	Total Other RTIP/TE/TFCA	Total Cycle 2
CYCLE 2 PROGRAMMING			\$435,187,000	\$40,000,000	\$475,187,000
1. REGIONAL PLANNING ACTIVITIES (PL)					
ABAG Planning	Region-Wide	ABAG	\$2,673,000	\$0	\$2,673,000
BCDC Planning	Region-Wide	BCDC	\$1,341,000	\$0	\$1,341,000
MTC Planning	Region-Wide	MTC	\$2,673,000	\$0	\$2,673,000
1. REGIONAL PLANNING ACTIVITIES (PL)			TOTAL: \$6,687,000	\$0	\$6,687,000
2. REGIONAL OPERATIONS (RO)					
Clipper® Fare Media Collection	Region-Wide	MTC	\$21,400,000	\$0	\$21,400,000
511 - Traveler Information	Region-Wide	MTC	\$48,770,000	\$0	\$48,770,000
SUBTOTAL			\$70,170,000	\$0	\$70,170,000
FSP/Incident Management	Region-Wide	MTC/SAFE	\$25,130,000	\$0	\$25,130,000
SUBTOTAL			\$25,130,000	\$0	\$25,130,000
2. REGIONAL OPERATIONS (RO)			TOTAL: \$95,300,000	\$0	\$95,300,000
3. FREEWAY PERFORMANCE INITIATIVE (FPI)					
Regional Performance Initiatives Implementation	Region-Wide	MTC	\$5,750,000	\$0	\$5,750,000
Regional Performance Initiatives Corridor Implementation	Region-Wide	MTC	\$8,000,000	\$0	\$8,000,000
Program for Arterial System Synchronization (PASS)	Region-Wide	MTC	\$5,000,000	\$0	\$5,000,000
SUBTOTAL			\$18,750,000	\$0	\$18,750,000
Ramp Metering and TOS Elements					
FPI - Specific projects TBD by Commission	TBD	TBD	\$43,250,000	\$34,000,000	\$77,250,000
SUBTOTAL			\$43,250,000	\$34,000,000	\$77,250,000
3. FREEWAY PERFORMANCE INITIATIVE (FPI)			TOTAL: \$62,000,000	\$34,000,000	\$96,000,000
4. PAVEMENT MANAGEMENT PROGRAM (PMP)					
Pavement Technical Advisory Program (PTAP)	Region-Wide	MTC	\$6,000,000	\$0	\$6,000,000
Pavement Management Program (PMP)	Region-Wide	MTC	\$1,200,000	\$0	\$1,200,000
4. PAVEMENT MANAGEMENT PROGRAM (PMP)			TOTAL: \$7,200,000	\$0	\$7,200,000
5. PRIORTY DEVELOPMENT ACTIVITIES (PDA)					
PDA Planning					
Specific projects TBD by Commission	TBD	TBD	\$25,000,000	\$0	\$25,000,000
SUBTOTAL			\$25,000,000	\$0	\$25,000,000
Transit Oriented Affordable Development (TOD)					
Specific projects TBD by Commission	Region-Wide	MTC	\$15,000,000	\$0	\$15,000,000
SUBTOTAL			\$15,000,000	\$0	\$15,000,000
5. PRIORTY DEVELOPMENT ACTIVITIES (PDA)			TOTAL: \$40,000,000	\$0	\$40,000,000
6. CLIMATE CHANGE INITIATIVES (CCI)					
Climate Strategies	TBD	TBD	\$14,000,000	\$6,000,000	\$20,000,000
6. CLIMATE CHANGE INITIATIVES (CCI)			TOTAL: \$14,000,000	\$6,000,000	\$20,000,000
7. SAFE ROUTES TO SCHOOL (SR2S)					
Specific projects TBD by CMAs					
SR2S - Alameda	Alameda	ACTC	\$4,293,000	\$0	\$4,293,000
SR2S - Contra Costa	Contra Costa	CCTA	\$3,289,000	\$0	\$3,289,000
SR2S - Marin	Marin	TAM	\$633,000	\$0	\$633,000
SR2S - Napa	Napa	NCTPA	\$420,000	\$0	\$420,000
SR2S - San Francisco	San Francisco	SFCTA	\$1,439,000	\$0	\$1,439,000
SR2S - San Mateo	San Mateo	SMCCAG	\$1,905,000	\$0	\$1,905,000
SR2S - Santa Clara	Santa Clara	SCVTA	\$5,386,000	\$0	\$5,386,000
SR2S - Solano	Solano	STA	\$1,256,000	\$0	\$1,256,000
SR2S - Sonoma	Sonoma	SCTA	\$1,379,000	\$0	\$1,379,000
7. SAFE ROUTES TO SCHOOL (SR2S)			TOTAL: \$20,000,000	\$0	\$20,000,000
8. TRANSIT CAPITAL PROGRAM (TCP)					
Specific projects TBD by Transit Operators					
SolTrans - Preventive Maintenance	Solano	SolTrans	\$149,000,000	\$0	\$149,000,000
8. TRANSIT CAPITAL PROGRAM (TCP)			TOTAL: \$150,000,000	\$0	\$150,000,000
9. TRANSIT PERFORMANCE INITIATIVE (TPI)					
AC Transit - Line 51 Corridor Speed Protection and Restoration	Alameda	AC Transit	\$10,515,624	\$0	\$10,515,624
SFMTA - Mission Mobility Maximization	San Francisco	SFMTA	\$7,016,395	\$0	\$7,016,395
SFMTA - N-Judah Mobility Maximization	San Francisco	SFMTA	\$3,750,574	\$0	\$3,750,574
SFMTA - Bus Stop Consolidation and Roadway Modifications	San Francisco	SFMTA	\$4,133,031	\$0	\$4,133,031
SCVTA - Light Rail Transit Signal Priority	Santa Clara	SCVTA	\$1,587,176	\$0	\$1,587,176
SCVTA - Steven Creek - Limited 323 Transit Signal Priority	Santa Clara	SCVTA	\$712,888	\$0	\$712,888
Unprogrammed Transit Performance Initiative Reserve	TBD	TBD	\$2,284,312	\$0	\$2,284,312
9. TRANSIT PERFORMANCE INITIATIVE (TPI)			TOTAL: \$30,000,000	\$0	\$30,000,000
10. PRIORITY CONSERVATION AREA (PCA)					
Specific projects TBD by Commission	TBD	TBD	\$10,000,000	\$0	\$10,000,000
10. PRIORITY CONSERVATION AREA (PCA)			TOTAL: \$10,000,000	\$0	\$10,000,000
Cycle 2 Total			TOTAL: \$435,187,000	\$40,000,000	\$475,187,000

# Attachment B-2

MTC Resolution No. 4035, Attachment B-2  
 Adopted: 05/17/12-C  
 Revised:

## Cycle 2 OBAG Project List FY 2012-13 through FY 2015-16 May 2012

### OBAG Program Project List

Project Category and Title	Implementing Agency	Total STP/CMAQ	Total Other RTIP-TE	Total Cycle 2
<b>CYCLE 2 COUNTY OBAG PROGRAMMING</b>		<b>\$301,964,000</b>	<b>\$18,036,000</b>	<b>\$320,000,000</b>
<b>ALAMEDA COUNTY</b>				
<i>Specific projects TBD by Alameda CMA</i>	TBD	\$56,170,000	\$3,726,000	\$59,896,000
CMA Planning Activities - Alameda	ACTC	\$3,836,000	\$0	\$3,836,000
<b>ALAMEDA COUNTY</b>	<b>TOTAL:</b>	<b>\$60,006,000</b>	<b>\$3,726,000</b>	<b>\$63,732,000</b>
<b>CONTRA COSTA COUNTY</b>				
<i>Specific projects TBD by Contra Costa CMA</i>	TBD	\$39,367,000	\$2,384,000	\$41,751,000
CMA Planning Activities - Contra Costa	CCTA	\$3,036,000	\$0	\$3,036,000
<b>CONTRA COSTA COUNTY</b>	<b>TOTAL:</b>	<b>\$42,403,000</b>	<b>\$2,384,000</b>	<b>\$44,787,000</b>
<b>MARIN COUNTY</b>				
<i>Specific projects TBD by Marin CMA</i>	TBD	\$6,667,000	\$707,000	\$7,374,000
CMA Planning Activities - Marin	TAM	\$2,673,000	\$0	\$2,673,000
<b>MARIN COUNTY</b>	<b>TOTAL:</b>	<b>\$9,340,000</b>	<b>\$707,000</b>	<b>\$10,047,000</b>
<b>NAPA COUNTY</b>				
<i>Specific projects TBD by Napa</i>	TBD	\$3,549,000	\$431,000	\$3,980,000
CMA Planning Activities - Napa	NCTPA	\$2,673,000	\$0	\$2,673,000
<b>NAPA COUNTY</b>	<b>TOTAL:</b>	<b>\$6,222,000</b>	<b>\$431,000</b>	<b>\$6,653,000</b>
<b>SAN FRANCISCO COUNTY</b>				
<i>Specific projects TBD by San Francisco CMA</i>	TBD	\$34,132,000	\$1,910,000	\$36,042,000
CMA Planning Activities - San Francisco	SFCTA	\$2,795,000	\$0	\$2,795,000
<b>SAN FRANCISCO COUNTY</b>	<b>TOTAL:</b>	<b>\$36,927,000</b>	<b>\$1,910,000</b>	<b>\$38,837,000</b>
<b>SAN MATEO COUNTY</b>				
<i>Specific projects TBD by San Mateo CMA</i>	TBD	\$21,582,000	\$1,991,000	\$23,573,000
CMA Planning Activities - San Mateo	SMCCAG	\$2,673,000	\$0	\$2,673,000
<b>SAN MATEO COUNTY</b>	<b>TOTAL:</b>	<b>\$24,255,000</b>	<b>\$1,991,000</b>	<b>\$26,246,000</b>
<b>SANTA CLARA COUNTY</b>				
<i>Specific projects TBD by Santa Clara CMA</i>	TBD	\$78,688,000	\$4,350,000	\$83,038,000
CMA Planning Activities - Santa Clara	SCVTA	\$4,246,000	\$0	\$4,246,000
<b>SANTA CLARA COUNTY</b>	<b>TOTAL:</b>	<b>\$82,934,000</b>	<b>\$4,350,000</b>	<b>\$87,284,000</b>
<b>SOLANO COUNTY</b>				
<i>Specific projects TBD by Solano CMA</i>	TBD	\$14,987,000	\$1,141,000	\$16,128,000
CMA Planning Activities - Solano	STA	\$2,673,000	\$0	\$2,673,000
<b>SOLANO COUNTY</b>	<b>TOTAL:</b>	<b>\$17,660,000</b>	<b>\$1,141,000</b>	<b>\$18,801,000</b>
<b>SONOMA COUNTY</b>				
<i>Specific projects TBD by Sonoma CMA</i>	TBD	\$19,544,000	\$1,396,000	\$20,940,000
CMA Planning Activities - Sonoma	SCTA	\$2,673,000	\$0	\$2,673,000
<b>SONOMA COUNTY</b>	<b>TOTAL:</b>	<b>\$22,217,000</b>	<b>\$1,396,000</b>	<b>\$23,613,000</b>
<b>Cycle 2 Total</b>	<b>TOTAL:</b>	<b>\$301,964,000</b>	<b>\$18,036,000</b>	<b>\$320,000,000</b>

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# Community Air Risk Evaluation (CARE)/ Community of Concern (COC) Designation and One Bay Area Grant (OBAG) Implementation

Prepared by ACTC Staff

11/27/12

# What are CARE communities and COCs?

- Community Air Risk Evaluation (CARE):
  - Areas designated by BAAQMD
  - Combination of high atmospheric air toxic/particulate matter concentrations *and* high density of sensitive populations (seniors, children, and low income)
  - In Alameda County: along I-880 corridor
- Community of Concern:
  - Areas designated by MTC
  - Census tracts with high percentage of:
    - Minorities, low income households, low English proficiency residents, no car households, seniors, persons with a disability, female heads of household with children, or cost-burdened renters

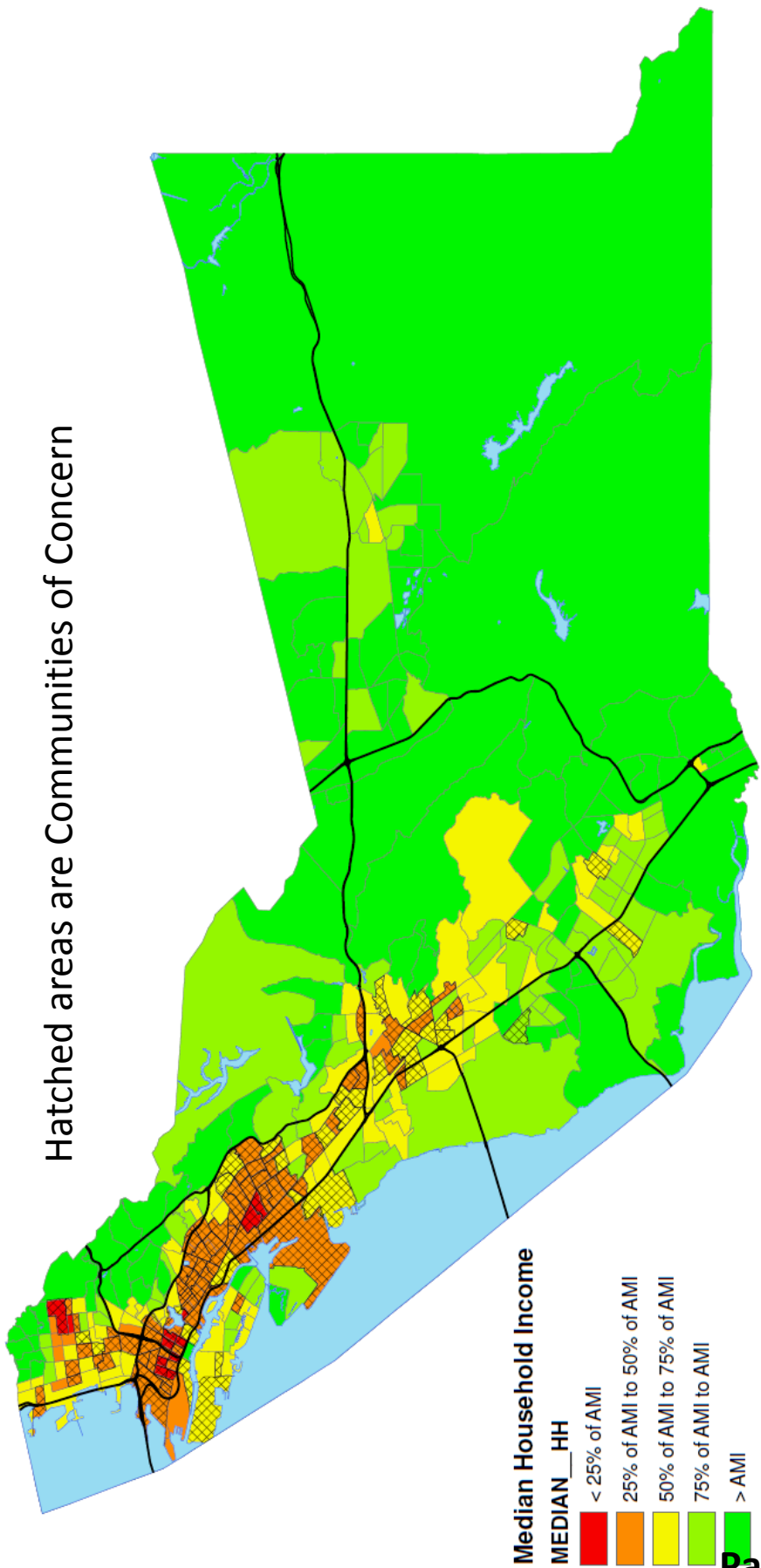
## Sources:

BAAQMD (2010) "Applied Method for Developing Polygon Boundaries for CARE Impacted Communities". Technical Memorandum. <http://www.baaqmd.gov/~media/Files/Planning%20and%20Research/CARE%20Program/Documents/ImpactedCommunitiesMethodsMemo.aspx>

MTC (2011) "Plan Bay Area Equity Analysis." Memorandum from October 7, 2011.



Alameda County Communities of Concern and Census Tracts by Median Household Income



Median Household Income

MEDIAN\_HH

< 25% of AMI

25% of AMI to 50% of AMI

50% of AMI to 75% of AMI

75% of AMI to AMI

> AMI

AlamedaCo\_COCS

cocflag

Not COC

COC

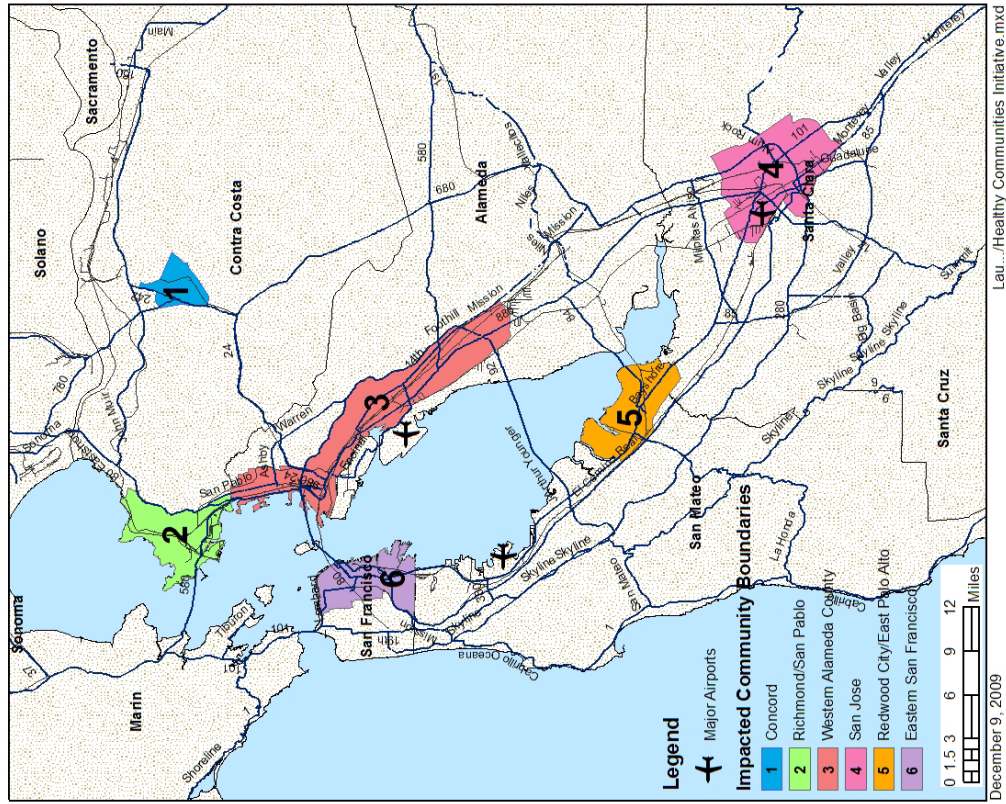
Notes:

AMI = Area Median Income for San Francisco-Oakland-Fremont MSA = \$96,700

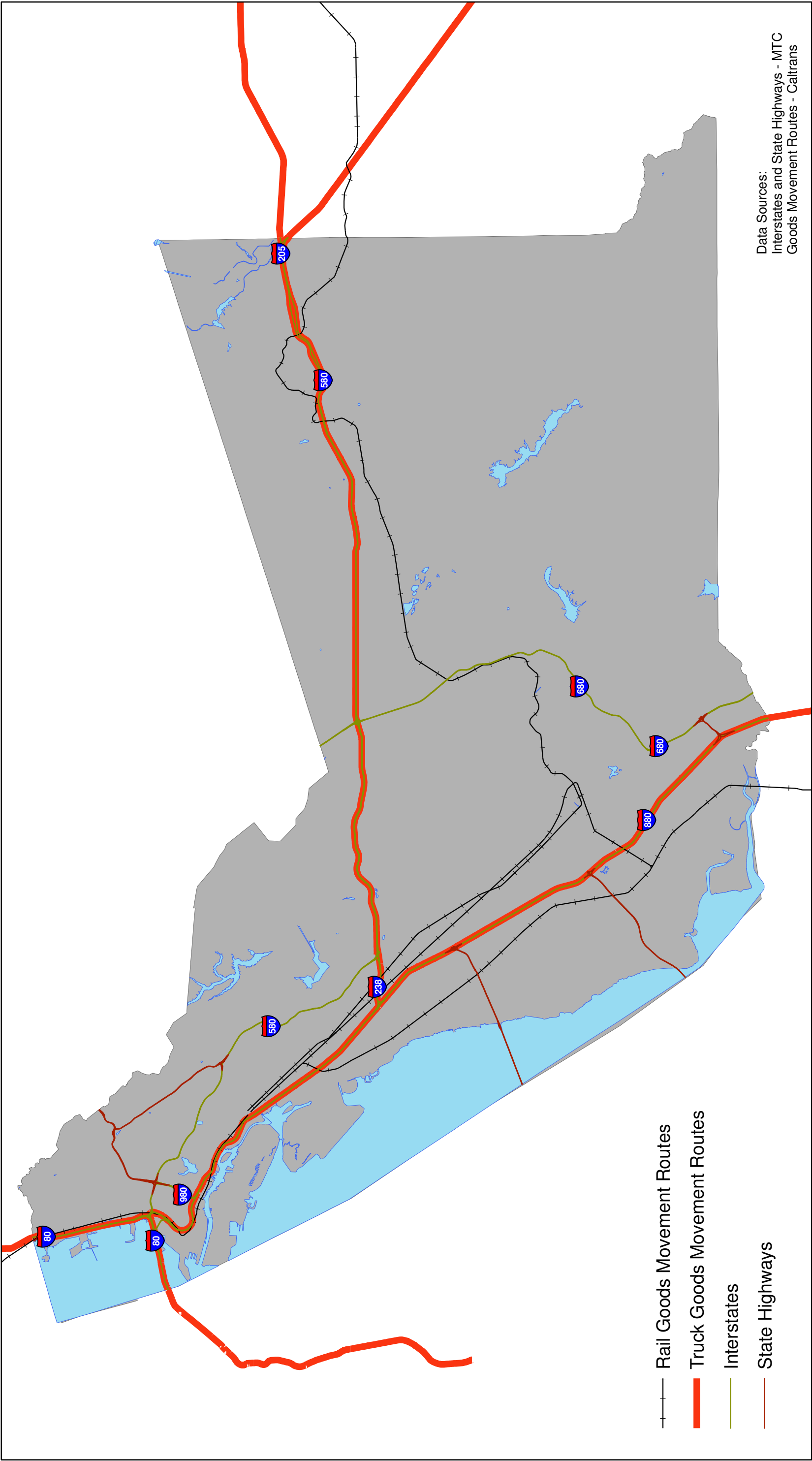
Communities of Concern based on MTC analysis of 2010 Census data

Median household income from 2010 American Community Survey

# Community Air Risk Evaluation impacted communities



# Alameda County Major Freight Infrastructure



# Use in OBAG implementation

- MTC Resolution 4035 directs:
  - “favorably consider projects located in a COC as defined by MTC or as defined by CMAs according to local priorities.”
  - “PDAs that overlap or are colocated with: 1) populations exposed to outdoor toxic air contaminants as identified in the Air District’s Community Air Risk Evaluation Program and/or 2) freight transportation infrastructure - favorably consider projects in these areas where local jurisdictions employ best management practices to mitigate PM and toxic air contaminant exposure.”

# Use in OBAG implementation

- Both COC and CARE/freight infrastructure are selection evaluation criteria
  - Will not be used to screen out projects
- Recommendation to consider CARE areas or proximity to major freight infrastructure in evaluation of an OBAG project proposal

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**Comments Received on Draft OBAG Programming Guidelines  
November 27, 2012**

<b>Commenter Comment</b>		<b>Response</b>
1	Equitable TOD Coalition / Asian Pacific Environmental Network	There are a number of criteria that are used to evaluate certain characteristics and land use policies in the project location. Of these, whether or not a project is located within an area with supportive affordable housing policy is one criterion. Increasing the weight of this criterion requires reducing the weight of another criterion. This necessitates a broader discussion of all criteria related to project location.
2	Business Industry Association, Bay area Business Coalition	Second dwelling units and state density bonus law are included in the potential types of affordable housing policies for which a project could receive points. Fast tracking/streamlining of all housing permitting requirements does not specifically target the creation or preservation of affordable housing, which is the objective of this criterion.
3	PPLC	“Proximate Access” projects are recommended to be included in the OBAG program. These applications will need to justify how the project will benefit a PDA and compete with all projects on the that basis. This will allow the Commission to consider and select from a full range of potential projects.
4	PPLC	COC areas are identified by MTC. The criteria used includes income and socio-economic factors such as household makeup, car ownership, age and ethnicity. If a project is located within a PDA and COC area, the project would be awarded points in the scoring criteria.

#	Commenter	Comment	Response
5	PPLC	How are parking policies evaluated?	Parking policies will be evaluated based on the extent to which they facilitate multi-modal access and potentially work to reduce VMT. Project applicants will be required to provide documentation of such policies, including zoning code citations, ordinances, or city/county resolutions.
6	PPLC	<p>Discussion regarding the distribution of the scoring across the various categories. Comments made included:</p> <ul style="list-style-type: none"> <li>• More weight on Affordable housing</li> <li>• Maintain weight on Deliverability criteria</li> <li>• More weight to housing growth (and affordable housing criteria)</li> <li>• More emphasis on reducing VMT</li> <li>• Support for Freight and Emissions category</li> </ul>	There are a number of criteria that are used to evaluate a project for the OBAG program. Any revisions to weighting of a criteria requires reducing the weight of another criterion. This necessitates a broader discussion of all criteria related to project evaluation.
7	PPLC	Discussion on the project "Readiness" deliverability criteria.	Delivery of the transportation projects will be a primary measurement of a successful program along with how the PDAs, where the projects are constructed, develop. Based on this measure, the weighted scoring criteria include 60% of the points for project deliverability. The MTC-ABAG mandated criteria make up the remaining 40 points. This is a significant shift toward linking Transportation and Land use. Any reduction in the deliverability criteria score may jeopardize the deliverability of these federal projects. Project readiness will be measured by project work already completed to date, including items such as preliminary engineering, environmental review, funding plan and schedule.
8	PPLC	Concern that Tri-valley is not a Community of Concern.	Comment noted. Additional information on the Community of Concern (COC) will be provided.
9	ACTAC / BPAC	Will Alameda CTC be using a tiered scoring system or a "All" or "Nothing" scoring system	Each criterion will have an evaluation method. Staff will provide additional detail on how scores will be awarded for each criterion with the final program guidelines in January.



#	Commenter	Comment	Response
10	ACTAC	How will the Application process / form look like?	The Application form will have different modules to enable the collection of relevant data for different types of projects.
11	ACTAC	How will the Local Streets and Roads Category be evaluated.	The LSR program is a target based program. Local agencies will be required to submit projects that are eligible for federal funding. These funds will not be subject to the OBAG scoring criteria and PDA requirements. The Local Agency however must fulfill checklist / housing certification requirements to receive OBAG-LSR funds. If the LSR funded project is within or will provide proximate access to a PDA, additional project information may be required.
12	ACTAC	Can LSR funds be used for a Bike/Ped project	If the Bike/Ped improvement is a part of the Rehab work (i.e. complete streets), LSR funds may be used. If it is a stand-alone Bike/ Ped Project, LSR funds are not eligible.
13	ACTAC	The fund breakdown shows "Augment SR2S" both within and outside PDAs.	The SR2S program funding will support the operation of the Countywide SR2S program administered by the Alameda CTC. It is conservatively estimated that approximately 25% of the "Augment SR2S" funds will apply within PDAs.
14	ACTAC	Will LSR targets be affected if an agency receives PDA supportive funds?	No.

#	Commenter	Comment	Response
15	ACTAC	Is there a contingency plan for re-allocation funds if an agency receiving funding does not deliver the project?	The project evaluation criteria emphasize deliverability and readiness. Staff will continue to monitor federally funded projects and identify projects delivery risk (i.e. Red/Yellow/Green zone). This process provides notice for a project sponsor in advance of the delivery milestone. The programming of contingency projects is not allowed. The Alameda CTC "Double Jeopardy" policy applies to sponsors that lose funding to the County.
16	ACTAC	When does Alameda CTC intend to initiate the PDA Planning and Implementation Technical Assistance Program (P&I TAP) Funds?	MTC is working on guidance related to the implementation of these funds.
17	ACTAC	Can these funds be used to complete the design phase of a project which is currently under 65% PS&E.	Design phase is eligible for federal funds.
18	ACTAC	Would MTC consider a federal – local fund exchanges?	Yes- MTC is open to fund exchanges. Alameda CTC has not yet identified an exchange proposal.
19	ACTAC	Have we defined "need" and "benefit" in a way that we get the supportive investments that were originally intended by this program.	The project application will need to clearly demonstrate the transportation project need, benefit and effectiveness and will be evaluated within this context.
20	ACTAC	How does this process potentially change if B1 passes? There may be projects identified to be fully funded by B1.	No project will be "double" funded

#	Commenter	Comment	Response
21	ACTAC	Assuming B1 passes, will the PDA discretionary funds(B1) be available for projects before the OBAG cycle	Measure B-1 funds, if approved, would be collected starting April 2013. Upon approval of B-1, the process to program B-1 funds, and how to incorporate the PDA Strategic Plan into that process, would be further discussed.
22	ACTAC	Does the OBAG process address equity?	Alameda CTC's goal is to achieve equity across all Alameda CTC fund sources.
23	BPAC	Clarify the difference in the threshold of \$100K (LSR) vs. \$500K (PDA Supportive) for the minimum grant size	The \$500K limit is set by MTC. Fewer large projects that reduce the administrative burden on Local jurisdictions as well as Caltrans Local Assistance is desired. Exceptions will be granted on a case by case basis. For example, we are identifying local agencies receiving LSR targets below this amount as an exception.
24	BPAC	Are projects close to the boundaries or serving PDAs eligible for OBAG.	Such projects could fall under the "Proximate Access" scenario and be considered a 70% PDA Supportive projects. These projects will be evaluated on a case by case basis.
25	BPAC	How many years of funding does OBAG represent?	The funds are based on a 4 year period of federal funds(FFY 2012/13 to FFY 2015/16)
26	BPAC	How do the Measure B and other local funds fit in this OBAG process	The coordinated program includes approximately \$10 Million of local funds as a part of the coordinated programming effort. The local funds include Measure B and VRF. The Program Guidelines that will be brought to the Commission in January will provide further information on the coordination of the programming.
27	BPAC	How will the Routine Accommodation process work for the OBAG program?	BPAC will review the Routine Accommodation checklists. The Routine Accommodation checklists will be collected with a project application proposal.

#	Commenter	Comment	Response
28	BPAC	Which parts of the scoring criteria reward projects that address Complete streets and PDA supportive projects?	The overall nature of the OBAG program and the federal funding supporting OBAG focus on these types of projects. The scoring criteria that will be used to measure how well a project achieves this purpose include: Need and Benefit, PDA Supportive Investment, Vision of the PDA, and proximity of project to alternative transportation modes. All jurisdictions are on track to meet the Complete Streets certification requirements.
29	BPAC	What is the status of the Complete Streets Eligibility of all local jurisdictions within Alameda County?	These funds can be used as matching funds. Other uses such as project development work, studies and programs will also be considered.
30	BPAC	In the coordinated funding, will all of the Measure B Countywide Discretionary Bike/ Ped funds be used as "matching funds"	No, local funds are not required to meet all OBAG requirements.
31	BPAC	Do the OBAG requirements apply to local funds?	Certain portions of the Bay trail and the Eastbay Greenway may be eligible for PDA Supportive or the Regional Priority Conservation Area Funds with each individual project required to be evaluated on a case by case basis. Projects not eligible for OBAG funds could apply for the Local funds component of the coordinated programming (such as Measure B).
32	BPAC	Will the Bay Trail and programs such as the Bike Safety Education be eligible for OBAG funds?	There are a number of criteria that are used to evaluate certain characteristics and land use policies in the project location. Of these, whether or not a project is located within a COC is one criterion. Increasing the weight of this criterion requires reducing the weight of another criterion. This necessitates a broader discussion of all criteria related to project location.
33	BPAC	Support the overall screening and scoring criteria. Propose more priority on areas that are Communities of Concern and also areas that have had fewer resources.	The planning efforts will support a projects need and benefit justification. Staff is also reviewing the Countywide
34	BPAC	Where do the Countywide Bike and Ped Plans come into play in any of these transportation projects	

# Commenter		Comment	Response
			Bike and Ped plans to identify projects that are within active PDAs.
35	BPAC	Does the project need to be in the Countywide Bike and Ped Plan to receive funds	Yes. The Countywide Bike and Ped plans detail the projects that are included in the Countywide Transportation Plan and Regional Transportation Plan (RTP). In order for a project to receive federal funds, it is required to be in the RTP.
36	PAPCO	What is the relationship of the LSR Category and the PDA Supportive Category and OBAG?	The LSR Program category and the PDA Supportive category are both funded with the OBAG program.
37	PAPCO	Are OBAG funds eligible to repair the existing Iron Horse Trail?	OBAG funds may be eligible for the Iron Horse Trail, but not for trail rehabilitation.
38	PAPCO	Are OBAG funds eligible to install charging stations for Mobility devices?	OBAG funds may be eligible. A project sponsor (Local jurisdiction) would be required to include that scope in the project application.
39	PAPCO	Can PDAs be amended?	The 43 identified PDAs were nominated by local jurisdictions. Local jurisdictions can request PDA amendments, but any amendments will not be approved for consideration with this cycle of OBAG funding.
40	PAPCO	Can these funds be used to purchase Paratransit vehicles	These funds may not be used to purchase vehicles but can be used to make non-vehicle capital improvements.
41	PAPCO	Under the delivery criteria it states if the local agency fails to deliver the project the funds will be lost. What does this mean?	If a local agency does not deliver the project, the funds will be lost for use by Alameda County.
42	PAPCO	Are there any PDAs in more than one County?	The PDAs were nominated by Cities as a part of the ABAG FOCUS program. All of the PDAs are within an individual City.
43	PAPCO	Are transit agencies eligible to apply for these funds	Yes, transit agencies can apply for OBAG funds
44	PAPCO	Are the PDAs only in low income communities?	No, however the scoring criterion awards points for PDAs that overlap with COCs.
45	PAPCO	Are MTC's TDA funds being programmed as a part of the OBAG program?	No, TDA funds are not included in the OBAG program.

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