



Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

Commission Chair
Councilmember At-Large,
Rebecca Kaplan, City of Oakland

Commission Vice Chair
Supervisor Richard Valle, District 2

AC Transit
Director Elsa Ortiz

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

BART
Director Rebecca Saltzman

City of Alameda
Mayor Trish Spencer

City of Albany
Councilmember Peter Maass

City of Berkeley
Councilmember Kriss Worthington

City of Dublin
Mayor David Haubert

City of Emeryville
Vice Mayor John Bauters

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Mayor Lily Mei

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Mayor Barbara Halliday

City of Livermore
Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Councilmember Dan Kalb

City of Piedmont
Mayor Bob McBain

City of Pleasanton
Mayor Jerry Thorne

City of San Leandro
Mayor Pauline Cutter

City of Union City
Mayor Carol DuTra-Vernaci

Executive Director
Arthur L. Dao

Finance and Administration Committee

Monday, November 13, 2017, 10:30 a.m.

**1111 Broadway, Suite 800
Oakland, CA 94607**

Mission Statement

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

Public Comments

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

Recording of Public Meetings

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

Reminder

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

Glossary of Acronyms

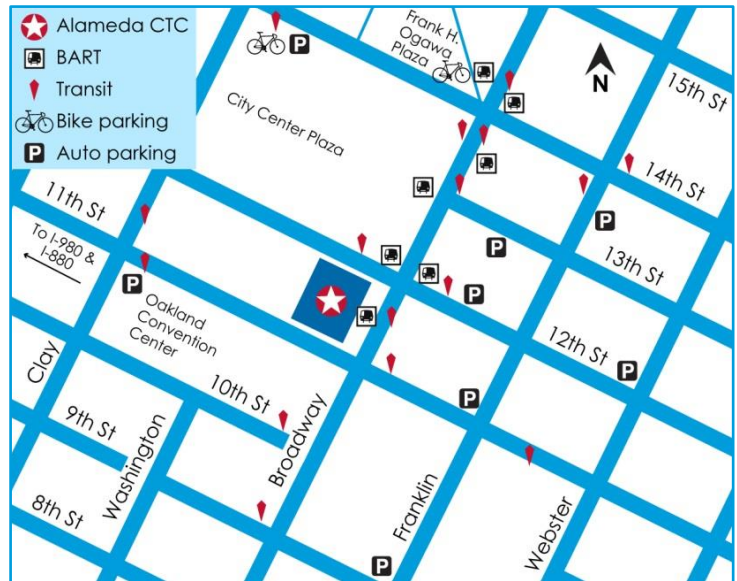
A glossary that includes frequently used acronyms is available on the Alameda CTC website at www.AlamedaCTC.org/app_pages/view/8081.

Location Map

Alameda CTC

1111 Broadway, Suite 800
Oakland, CA 94607

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



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

Accessibility

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



Meeting Schedule

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

Paperless Policy

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

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Finance and Administration Committee Meeting Agenda

Monday, November 13, 2017, 10:30 a.m.

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

Chair: Mayor David Haubert, City of Dublin
Vice Chair: Supervisor Keith Carson, Alameda County, District 5
Commissioners: Scott Haggerty, Bob McBain, Elsa Ortiz, Trish Spencer, Jerry Thorne
Ex-Officio Members: Rebecca Kaplan, Richard Valle
Staff Liaison: Patricia Reavey
Executive Director: Arthur L. Dao
Clerk: Vanessa Lee

1. Pledge of Allegiance

2. Roll Call

3. Public Comment

4. Consent Calendar

	Page	A/I
4.1. Approve the September 11, 2017 FAC meeting minutes.	1	A
4.2. Approve the Alameda CTC FY2017-18 First Quarter Consolidated Financial Report.	5	A
4.3. Receive the FY2017-18 First Quarter Report of Claims Acted Upon Under the Government Claims Act	11	I
4.4. Receive the Annual Local Business Contract Equity Program Utilization Report for payments processed between July 1, 2016 and June 30, 2017.	15	I

5. Regular Matters

5.1. Approve the Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2017.	27	A
5.2. Approve the Alameda CTC FY2017-18 First Quarter Investment Report.	31	A
5.3. Approve Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and Salary Ranges for FY2018-19 and adopt Resolution No. 17-006 Calendar Year 2018 Benefits for Staff Members.	51	A
5.4. Approve Administrative Updates to Local Business Contract Equity Program.	67	A
5.5. Approve the Professional Services Contracts Plan.	93	A

6. Committee Member Reports

7. Staff Reports

8. Adjournment

Next Meeting: January 8, 2018

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

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Finance and Administration Committee Meeting Minutes

Monday, September 11, 2017, 10:30 a.m. **4.1**

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1. Pledge of Allegiance

2. Roll Call

A roll call was conducted. All members were present with the exception of Commissioner Carson and Commissioner McBain.

Commissioner Narum was present as an alternate for Commissioner Throne.

Subsequent to the roll call

Commissioner Carson arrived during Item 5.2.

3. Public Comment

There were no public comments.

4. Consent Calendar

4.1. Approve the June 12, 2017 FAC meeting minutes.

4.2. FY2016-17 Fourth Quarter Report of Claims Acted Upon Under the Government Claims Act.

4.3. Approve Commissioner Travel to the Self-Help Counties Coalition Focus on the Future Conference.

Commissioner Haggerty moved to approve the Consent Calendar. Commissioner Narum seconded the motion. The motion passed with the following votes:

Yes: Haubert, Ortiz, Spencer, Narum, Haggerty, Kaplan, Valle
No: None
Abstain: None
Absent: Carson, McBain

5. Regular Matters

5.1. Approval of Alameda CTC FY16-17 Year-End Investment Report.

Lily Balinton recommended that the Commission approve the FY16-17 Year-End Unaudited Investment Report. Ms. Balinton stated that investments were in compliance with the investment policy, and the various portfolios have met their maturity benchmarks on a yield to maturity basis for the last quarter. She also provided information on balances in the various portfolios held by Alameda CTC as of June 30, 2017. Ms. Balinton concluded her report by noting that the agency has sufficient cash flow to meet all expenditure requirements over the next six months.

Commissioner Haggerty moved to approve this item. Commissioner Narum seconded the motion. The motion passed with the following votes:

Yes: *Haubert, Ortiz, Spencer, Narum, Haggerty, Kaplan, Valle*
No: *None*
Abstain: *None*
Absent: *Carson, McBain*

5.2. Discussion of Socially Responsible Investments.

Patricia Reavey stated that the FAC requested information on Socially Responsible Investments (SRI) at its meeting in May 2017. Ms. Reavey provided a theoretical definition of SRI's and discussed how this has actually been implemented in practice. She noted that staff surveyed 23 governmental agencies to see if SRI had been implemented, and if so, how this was accomplished. Ms. Reavey reviewed research the agency had done regarding state mandated requirements and the associated risks and effects on the agency of implementing a SRI strategy in the agency's investment policy. She discussed the lack of guidance and accountability governing SRI and the controversial aspects of implementing such a policy. She then recommended that the Commission not incorporate SRI into the investment strategy of the Alameda CTC.

Commissioner Spencer noted that there have been jurisdictions that have implemented SRI policies.

Commissioner Kaplan stated that while it is understood that applying a SRI policy to all investments would be hard to do, the Commission could take action and have a policy implemented on very specific types of industries like the Dakota pipeline, for profit prisons, and assault weapons.

Commissioner Ortiz wanted clarification on how the PUC Act's requirement to maximize the return on investments would affect transportation agencies who want to implement SRI investments. Mr. Dao stated that Self-help counties operate under a very specific portion of the Act with a single purpose per the PUC code. Neal Parish, legal counsel of Wendel, Rosen, Black & Dean, stated that there is no direct prohibition that would be violated.

Commissioner Ortiz asked if the suggested action to limit specific industries would require the Commission's vote on each individual item that the Commission would like to divest investments from. Mr. Dao affirmed that should the Commission decide to limit specific industries, a vote would be needed on each individual item. Ms. Reavey noted that it would be less costly to the agency if Commissioners list corporations or companies as oppose to industries from which they would like to divest. This would be a cost savings because research would not be required by the investment advisor on

each corporation in which they recommend we invest to discover if the corporation holds interests in specific industries.

Commissioner Valle pointed out that the investments in Alameda CTC's portfolio as of June 30, 2017, are all very highly rated securities.

Commissioner Narum then moved to continue the item for a later FAC meeting, allowing Commissioners to research a recommended list of corporations or companies that would be considered for review.

Commissioner Valle made a substitute motion to move the discussion to the full Commission to hear the whole issue and provide direction to the FAC on whether or not to pursue the SRI issue. Commissioner Haggerty seconded Commissioner Valle's motion. The motion passed with the following vote:

Yes: *Haubert, Ortiz, Spencer, Narum, Haggerty, Carson, Kaplan, Valle*
No: *None*
Abstain: *None*
Absent: *McBain*

6. Closed Session

6.1. Closed Session – Pursuant to Government Code Section 54957: Public Employee Performance Evaluation: Executive Director.

The Commission went to closed session as listed on the agenda. Commissioner Haubert reported that there was no action taken in Closed Session.

Commissioner Haubert motioned to accept the goals and objective of the Executive Director and reaffirm the salary increase. Commissioner Ortiz seconded the motion. The motion passed with the following votes:

Yes: *Haubert, Ortiz, Spencer, Narum, Haggerty, Kaplan, Valle, Carson*
No: *None*
Abstain: *None*
Absent: *McBain*

7. Committee Member Reports

There were no committee reports.

8. Staff Reports

There were no staff reports.

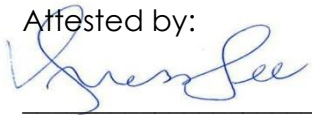
9. Adjournment/ Next Meeting

The next meeting is:

Date/Time: Monday, October 9, 2017 at 10:30a.m.

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

Attested by:



Vanessa Lee,
Clerk of the Commission



Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 6, 2017

SUBJECT: Alameda CTC FY2017-18 First Quarter Consolidated Financial Report

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

Summary

Alameda CTC's expenditures through September 30, 2017 are within year-to-date budget authority per the currently adopted budget. The agency remains in a strong financial position as compared to budget through the first quarter of FY2017-18.

The attached FY2017-18 First Quarter Financial Report has been prepared on a consolidated basis and is compared to the year-to-date currently adopted budget. This report provides a summary of FY2017-18 actual revenues and expenditures through September 30, 2017. Variances from the year-to-date budget are demonstrated as a percentage of the budget used by line item as well as stating either a favorable or unfavorable variance in dollars. Percentages over 100 percent indicate that actual revenue or expenditure items are over 25 percent of the total annual budget through the first quarter of the fiscal year, and percentages under 100 percent indicate that actual revenue or expenditure items are under 25 percent of the total annual budget through the first quarter of the fiscal year. As of September 30, 2017, Alameda CTC activity for the fiscal year results in a net increase in fund balance in the amount of \$36.7 million mostly due to sales tax revenues received but not yet spent, primarily in the 2000 Measure B and Measure BB Capital Projects and Special Revenue Funds.

Activity

The following are highlights of actual revenues and expenditures compared to budget as of September 30, 2017 by expenditure category:

Revenues

Sales tax revenues are over budget by \$5.6 million, or 7.95 percent, and investment income is over budget by \$0.5 million or 77.33 percent as interest rates have slowly begun to rise. Toll revenues are over budget by \$1.1 million which can help to fund the targeted operational reserve, and grant revenues are under budget by \$8.9 million mostly related to capital projects. Grant revenues are recognized on a reimbursement basis, therefore

correlated with directly related expenditures, so capital and other project expenditures also will be under budget.

Salaries and Benefits

Salaries and benefits in all categories are slightly under budget by \$0.1 million, or 7.4 percent, as of September 30, 2017.

Administration

Costs for overall administration is under budget by \$4.6 million, or 54.4 percent, due to debt service costs which incurred costs for one interest payment, but no principal payment, by September 30, 2017. Principal payments are made annually on March 1. Actual expenditures in the debt service fund will equal 100% of the budget by the end of the fiscal year once all required principal and interest payments have been made.

I-580 Express Lanes Operations

The I-580 Express Lanes Operations expenditures are under budget by \$1.0 million, or 51.2 percent, mostly related to operations and maintenance costs which has two components; one for consistent monthly expenditures throughout the year, and another for on call services for which staff is in the process of negotiating a contract for work that will occur during this fiscal year.

Planning

Planning expenditures are under budget by \$0.5 million, or 68.71 percent mostly related a delay in the kick off of a few transportation planning activities due to staffing turnover and partner agency coordination.

Programs

Program expenditures are under budget by \$5.7 million, or 11.9 percent, mostly related to grants and other programming awards. Many agreements for discretionary projects were recently finalized and it is expected that activity will ramp up soon and expenditure will approach budget by the end of the fiscal year.

Capital Projects

Capital Projects expenditures are under budget by 43.6 million, or 90.7 percent. This variance is related to timing issues on certain capital projects. Many agreements for construction projects have recently been finalized, and construction activity is expected to ramp up soon. Therefore significant invoices are expected to be paid in the third quarter of the fiscal year. There are currently no real budget issues on capital projects.

Limitations Calculations

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

Fiscal Impact: There is no fiscal impact.

Attachment

- A. Alameda CTC Consolidated Revenues/Expenditures Actual vs. Budget as of September 30, 2017

Staff Contacts

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

[Yoana Navarro](#), Accounting Manager

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
Consolidated Revenues/Expenditures
September 30, 2017

	<u>Total Consolidated</u>			<u>Favorable</u>
	<u>YTD</u>	<u>YTD</u>	<u>% Used</u>	<u>(Unfavorable)</u>
	<u>Actuals</u>	<u>Budget</u>		<u>Variance</u>
REVENUES				
Sales Tax Revenue	\$ 76,101,624	\$ 70,500,000	107.95	\$ 5,601,624
Investment Income	1,210,305	682,500	177.33	527,805
Member Agency Fees	348,705	348,705	100.00	-
VRF Funds	3,259,786	3,000,000	108.66	259,786
Toll Revenues	3,080,036	2,000,000	154.00	1,080,036
Toll Violation Revenues	1,070,519	-	-	1,070,519
Other Revenues	3,041	-	-	3,041
Regional/State/Federal Grants	1,077,154	2,768,944	38.90	(1,691,790)
Local and Other Grants	2,048,582	9,253,280	22.14	(7,204,698)
Total Revenues	\$ 88,199,752	\$ 88,553,428		\$ (353,676)
EXPENDITURES				
Administration				
Salaries and Benefits	567,176	524,251	108.19	(42,925)
General Office Expenses	329,517	416,303	79.15	86,786
Travel Expense	5,594	11,250	49.72	5,656
Debt Service ⁽¹⁾	2,539,125	6,618,313	38.37	4,079,188
Other Administration	320,018	714,063	44.82	394,045
Commission and Community Support	66,847	63,188	105.79	(3,660)
Contingency	-	50,000	-	50,000
Subtotal	3,828,277	8,397,366		4,569,089
I-580 Operations				
Salaries and Benefits	55,912	48,574	115.11	(7,338)
Project Management/Controls	59,508	72,500	82.08	12,992
Other Operating Expenditures	811,435	1,778,750	45.62	967,315
Subtotal	926,855	1,899,824		972,969
Planning				
Salaries and Benefits	169,764	186,817	90.87	17,053
Transportation Planning	71,930	448,704	16.03	376,774
Congestion Management Program	2,213	143,861	1.54	141,648
Subtotal	243,907	779,381		535,474
Programs				
Salaries and Benefits	356,252	367,059	97.06	10,807
Programs Management and Support	198,158	452,250	43.82	254,092
Safe Routes to School Program	30,582	446,150	6.85	415,568
VRF Programming	1,895,605	3,513,500	53.95	1,617,895
Measure B/BB Direct Local Distribution	39,326,430	36,428,827	107.95	(2,897,603)
Grant Awards	131,246	4,406,957	2.98	4,275,711
TFCA Programming	53,808	421,946	12.75	368,138
CMA TIP Programming	61,500	1,701,599	3.61	1,640,099
Subtotal	42,053,581	47,738,289		5,684,708
Capital Projects				
Salaries and Benefits	109,519	232,645	47.08	123,126
Capital Project Expenditures	4,383,536	47,813,349	9.17	43,429,813
Subtotal	4,493,055	48,045,994		43,552,939
Total Expenditures	\$ 51,545,675	\$ 106,860,854		\$ 55,315,179
Net revenue over / (under) expenditures	\$ 36,654,077	\$ (18,307,426)		

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

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Memorandum

4.3

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

DATE: November 6, 2017

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

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

Summary

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

California Government Code section 935.4 states:

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

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

Background

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

Fiscal Impact: There is no fiscal impact.

Attachment

- A. Report on Claims Acted Upon by Staff under the Government Claims Act July 1, 2017 – September 30, 2017

Staff Contact

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

**Claims Acted Upon by Staff Under the Government Claim Act
July 1, 2017 - September 30, 2017**

Claimant	Submitted By	Received Date	Amount	Action Taken	Date	Notes
Allison F. Walton	Jenny & Jenny, LLP	July 13, 2017	\$9,986.90	Claim Rejected due to insufficient information and not being presented within the time limits required by law.	July 20, 2017	Claim failed to identify a specific date of the occurrence giving rise to the claim or to identify a place of the occurrence as required by the Government Claims Act. In addition, claim was not file within the time limits required by law. Caltrans is carrying out this project, not Alameda CTC.

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Memorandum

4.4

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

DATE:	November 6, 2017
SUBJECT:	Alameda CTC Annual Local Business Contract Equity Program Utilization Report for Fiscal Year 2016-17
RECOMMENDATION:	Receive the Annual Local Business Contract Equity Program Utilization Report for payments processed between July 1, 2016 and June 30, 2017

Summary

This report provides an update of business utilization on active professional services and construction contracts with payments processed in Fiscal Year (FY) 2016-17. Business utilization is reported for Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), and Very Small Local Business Enterprise (VSLBE) firm participation on locally-funded contracts subject to the Local Business Contract Equity (LBCE) Program that were awarded and administered by Alameda CTC. Utilization data is also included for locally-funded contracts that are exempt from the LBCE Program due to having additional state, regional, or non-local funds, or being less than \$50,000 in contract value. Additionally, an update on the LBCE Program certification activities within the same timeframe is presented for informational purposes only.

LBCE Program Summary

For contracts subject to the LBCE Program, historical data over the past nine years reveals that a total of \$72.2 million or 87% of contract payments went to certified LBE firms, while \$32.8 million or 39% of contract payments went to certified SLBE firms, substantially exceeding LBCE Program goals (see Attachment B - Local Business Contract Equity Program Goals Attainment Summary for Contracts with LBCE Program Goals – FY2008-09 to FY2016-17). In the current reporting period there were a total of 36 active professional services contracts with LBCE Program goals. On these contracts, 88% of payments (\$11.7 million) went to certified LBE firms and 25% of payments (\$3.3 million) went to certified SLBE firms. There were no active construction contracts funded with local funds in FY2016-17. While the LBCE Program goal of 30% SLBE was nearly met (short by 5%) during this reporting period, the LBE goal of 70% was exceeded by 19%. This information is shown in the following Table 1.

TABLE 1 – Contracts with LBCE Program Goals (70% for LBE; 30% for SLBE)					
Contract Type	Number of Contracts	Payments in FY2016-17 (July 1, 2016 through June 30, 2017)			
		Payment Amount	LBE	SLBE	VSLBE
Professional Services	36	\$13,348,171	88%	25%	2%
Construction	0	\$0	n/a	n/a	n/a
All Industries	36	\$13,348,171	88%	25%	2%

There were 22 active contracts exempt from the LBCE Program in this reporting period, of which 20 were in the professional services category and 2 were in the construction category. For contracts exempt from LBCE Program goals approximately 77% of payments (\$9.3 million) went to LBE certified firms and 6% of payments (\$0.7 million) went to SLBE certified firms. This information is shown in Table 2 below.

TABLE 2 – Contracts Exempt from LBCE Program Goals					
Contract Type	Number of Contracts	Payments in FY2016-17 (July 1, 2016 through June 30, 2017)			
		Payment Amount	LBE	SLBE	VSLBE
Professional Services	20	\$11,666,191	80%	6%	0%
Construction	2	\$516,390	0%	0%	0%
All Industries	22	\$12,182,580	77%	6%	0%

Background

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

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

As a result of the passage of Proposition 209 in 1996 and the United States Department of Transportation's issuance of the final ruling on the Disadvantaged Business Enterprise (DBE) program in 2000, the MBE/WBE program and goal requirements were suspended. In lieu of the suspended MBE/WBE program, two new programs were adopted: the LBE/SLBE Program for contracts funded with local dollars and the DBE program for contracts funded with federal dollars. In January 2008, a Revised LBE/SLBE Program was adopted and renamed as the LBCE Program.

Revisions to the LBCE Program were aimed at increasing SLBE participation in all areas of agency contracting opportunities, particularly in construction contracting. The revised

program became effective for eligible Alameda CTC-led contracts as of February 2008 and for all eligible sponsor-led projects awarded after July 2008.

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

- Professional Services – includes both administrative contracts to assist in the administration of Alameda CTC's projects and programs, as well as engineering services contracts to assist Alameda CTC in the development and delivery of its Capital Program.
- Construction – contracts in this group are specific to construction contracts awarded to builders of transportation facilities such as roadway and transit improvements.

Reporting Process

Data collection on all active and open contracts began on July 1, 2017, by surveying prime contractors and subcontractors for verification of payment amounts and other invoice details. For the current reporting period, 136 payment verification survey forms were sent to prime and subcontractors. Approximately 73% of the prime and subcontractors responded by completing and submitting survey forms.

Staff utilized a method of reporting similar to the prior period, which included an automated summary report of processed payments by vendor and LBCE Program utilization report generated from an in-house database.

The participation data and statistics, which serve as a basis for this report, have been independently reviewed and verified by L. Luster & Associates, Inc. (LL&A). As stated in the attached memorandum from LL&A, this report was found to be materially accurate and complete. (See Attachment C – Letter of Independent Review of Alameda CTC's Contract Equity Annual Utilization Report for the Period of July 1, 2016 through June 30, 2017).

Certification Update

TABLE 3 – Certified Firms by Contract Types				
Contract Type	LBE¹	SLBE²	VSLBE	# of Firms Certified this Reporting Period
Professional Services	42	26	16	42
Commodities/Vendors	104	63	47	104
Construction	10	3	2	10
Total	156	92	65	156
¹ Includes SLBE and VSLBE certified firms				
² Includes VSLBE certified firms				

Fiscal Impact: There is no fiscal impact.

Attachments

- A. FY2016-17 Contract Equity Utilization Report
- B. LBCE Program Goals Attainment Summary for Contracts with LBCE Program Goals – FY2008-09 to FY2016-17
- C. Letter of Independent Review of Alameda CTC's Contract Equity Annual Utilization Report for the Period of July 1, 2016 through June 30, 2017

Staff Contact

[Seung Cho](#), Director of Budgets and Administration



Contract Equity Utilization Report

Fiscal Year: 2017

4.4A

Current Reporting Period Start Date: 7/1/2016

End Date: 6/30/2017

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)			
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE

Contract Type: PSA (Professional Services Agreement)

Goal Requirements for LBCE (70% for LBE and 30% for SLBE)

A05-0004 - URS Corporation	\$15,750,000.00	\$15,641,845.04	\$854,298.86	97.45%	19.97%	11.58%	19.97%	91.50%	29.29%	6.30%	17.81%
A10-0026 - HQE, Inc.	\$1,055,659.00	\$1,050,026.22	\$16,670.38	100.00%	40.95%	40.95%	40.95%	100.00%	61.79%	60.91%	61.79%
A11-0058 - Vavrinek, Trine, Day & Co., LLP	\$539,500.00	\$347,500.00	\$51,000.00	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A12-0035 - The PFM Group	\$300,000.00	\$25,831.08	\$21,431.08	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0004 - GenSpring Family Offices	\$470,000.00	\$313,689.01	\$87,373.31	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0026 - Cambridge Systematics	\$1,449,833.64	\$1,449,833.64	\$15,878.06	100.00%	0.00%	0.00%	0.00%	100.00%	2.06%	2.06%	2.06%
A13-0089 - Parsons Brinckerhoff	\$1,500,000.00	\$1,477,999.03	\$712,627.70	94.64%	12.16%	12.16%	5.86%	92.81%	14.44%	14.44%	9.36%
A14-0002 - MV Transportation, Inc.	\$140,000.00	\$54,163.03	\$7,863.96	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A14-0011 - Fehr & Peers Associates	\$799,999.00	\$799,976.95	\$277,344.71	100.00%	30.79%	30.79%	21.81%	100.00%	22.02%	22.02%	8.47%
A14-0018 - L. Luster & Associates	\$300,000.00	\$282,385.00	\$27,970.00	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%
A14-0023 - Nelson/Nygaard Consulting Associates	\$760,500.00	\$696,775.29	\$101,701.56	100.00%	20.99%	0.00%	20.99%	99.62%	30.98%	0.00%	30.98%
A14-0051 - HNTB	\$4,900,000.00	\$2,004,806.97	\$477,385.35	97.81%	3.80%	3.28%	3.48%	96.84%	23.76%	10.05%	24.61%
A14-0052 - AECOM Technical Services, Inc.	\$4,640,624.00	\$3,889,991.69	\$2,992,688.41	99.82%	27.72%	0.00%	7.69%	99.86%	24.36%	0.00%	6.49%
A15-0009 - Koff & Associates Inc	\$75,000.00	\$47,801.64	\$160.00	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
A15-0044 - Novani, LLC	\$70,500.00	\$19,500.00	\$4,875.00	0.00%	0.00%	0.00%	76.92%	0.00%	0.00%	0.00%	76.92%
A16-0027 - Nelson/Nygaard Consulting Associates	\$2,000,000.00	\$754,680.55	\$443,592.37	97.28%	18.14%	0.00%	18.14%	98.40%	14.89%	0.00%	14.89%
A16-0075 - HNTB	\$1,000,000.00	\$230,721.66	\$150,544.49	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A17-0003 - CirclePoint	\$224,933.00	\$164,335.96	\$101,398.33	100.00%	0.00%	0.00%	0.00%	100.00%	20.43%	0.00%	17.21%
A17-0004 - Jacobs Engineering Group, Inc.	\$13,000,000.00	\$4,851,054.04	\$3,277,195.93	99.95%	22.95%	0.00%	15.64%	99.74%	26.15%	0.00%	18.29%
A17-0005 - Nelson/Nygaard Consulting Associates	\$596,254.00	\$272,454.01	\$151,685.02	98.02%	0.00%	0.00%	0.00%	94.73%	0.00%	0.00%	0.00%
A17-0006 - L. Luster & Associates, Inc.	\$492,615.00	\$262,947.10	\$201,307.10	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
A17-0007 - Koff & Associates Inc	\$75,000.00	\$23,948.55	\$22,868.50	100.00%	100.00%	0.00%	0.00%	100.00%	100.00%	0.00%	0.00%
A17-0010 - H.T. Harvey & Associates Ecological Cons	\$66,317.00	\$29,215.08	\$2,866.02	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A17-0021 - Novani, LLC	\$573,200.00	\$279,711.34	\$177,150.00	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%
A17-0035 - VSCE, Inc.	\$1,315,988.00	\$558,397.04	\$401,167.94	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
A17-0036 - DMR Management Consultants, Inc.	\$735,375.00	\$345,150.00	\$253,237.50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A17-0037 - Sidhu Consulting, LLC	\$732,375.00	\$390,600.00	\$273,600.00	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
A17-0038 - Axis Consulting Engineers	\$724,500.00	\$375,750.00	\$266,850.00	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%
A17-0039 - Chwen Siripocanont	\$727,900.00	\$379,800.00	\$280,800.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A17-0042 - Associated Right of Way Services, Inc	\$124,594.00	\$43,334.08	\$25,467.28	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A17-0052 - Malik Transportation and Management Solutions, Inc.	\$262,200.00	\$194,994.00	\$130,134.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%



Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016

End Date: 6/30/2017

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)			
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE
A17-0057 - VSCE, Inc.	\$525,000.00	\$191,894.24	\$116,907.54	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
A17-0071 - VSCE, Inc.	\$530,400.00	\$175,312.50	\$85,297.50	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
AA07-0001 - TY Lin International/CCS	\$19,684,919.00	\$17,135,074.33	\$1,191,851.40	94.98%	8.80%	0.00%	6.25%	82.84%	20.98%	0.00%	10.93%
Total PSA (Professional Services Agreement) - Goal Requirements for LBCE (70% for LBE and 30% for SLBE)				89.38%	24.88%	2.43%	20.98%	88.14%	25.99%	4.62%	5.06%
Exempt from Goal Requirements											
A07-011.BKF.PH2 - BKF	\$15,350,780.00	\$15,340,541.16	\$20,520.98	100.00%	21.85%	0.00%	21.85%	98.16%	24.20%	0.00%	8.99%
A10-0008 - S&C Engineers	\$2,025,750.00	\$2,013,177.83	\$73,408.18	100.00%	100.00%	0.00%	0.00%	86.46%	86.06%	0.00%	0.00%
A11-0038 - Delcan Corporation	\$7,375,523.00	\$6,730,776.31	\$1,955,880.00	0.00%	0.00%	0.00%	0.00%	4.14%	0.00%	0.00%	0.00%
A11-0039 - Kimley-Horn and Associates, Inc.	\$2,896,870.00	\$2,557,216.74	\$727,497.84	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A12-0027 - Nelson/Nygaard Consulting Associates	\$350,970.00	\$312,822.71	\$37,308.79	100.00%	0.00%	0.00%	0.00%	96.53%	0.00%	0.00%	0.00%
A12-0028 - Aegis ITS, Inc.	\$1,050,000.00	\$428,901.39	\$27,704.95	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0016 - Platinum Advisors, LLC	\$300,000.00	\$250,000.00	\$65,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0017 - CJ Lake, LLC	\$315,000.00	\$248,742.34	\$60,957.72	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0092 - ETC - Electronic Transaction Consultants	\$4,137,500.00	\$3,947,459.08	\$926,466.60	100.00%	0.00%	0.00%	0.00%	86.91%	0.00%	0.00%	0.00%
A14-0001 - Wilson, Sparling & Associates, Inc.	\$999,519.00	\$657,964.10	\$114,055.69	12.20%	0.00%	0.00%	0.00%	14.38%	0.00%	0.00%	0.42%
A15-0035 - WMH Corporation	\$10,225,405.00	\$10,119,244.69	\$6,685,276.52	100.00%	9.50%	0.00%	7.71%	100.00%	8.54%	0.00%	6.87%
A15-0043 - ETC - Electronic Transaction Consultants	\$3,000,000.00	\$1,619,748.50	\$826,833.50	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A16-0070 - East Bay Bicycle Coalition	\$25,000.00	\$25,000.00	\$25,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A17-0009 - S&C Engineers	\$24,820.00	\$8,454.76	\$8,454.76	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A17-0011 - Moore Iacofano Goltsman, Inc.	\$25,000.00	\$12,602.22	\$6,292.65	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A17-0072 - RHA, LLC	\$28,605.00	\$21,503.35	\$21,503.35	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	100.00%
A99-0003 - WSP USA, Inc.	\$8,340,000.00	\$8,043,190.62	\$46,887.04	1.31%	0.00%	0.00%	0.00%	82.20%	16.74%	0.02%	3.44%
Total PSA (Professional Services Agreement) - Exempt from Goal Requirements				80.20%	6.13%	0.00%	4.66%	79.93%	14.63%	0.00%	1.03%
Total PSA (Professional Services Agreement)				85.08%	16.10%	1.29%	13.33%	84.13%	20.44%	2.36%	3.09%

Contract Type: CC (Construction Contract)

Exempt from Goal Requirements

A11-0026 - Steiny & Company, Inc.	\$11,259,616.36	\$10,832,530.18	\$291,820.93	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0019 - Telegra, Inc.	\$4,540,542.82	\$4,500,479.66	\$224,568.75	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%



Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016

End Date: 6/30/2017

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)			
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE
Total CC (Construction Contract) - Exempt from Goal Requirements											
	\$15,800,159.18	\$15,333,009.84	\$516,389.68	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total CC (Construction Contract)											
	\$15,800,159.18	\$15,333,009.84	\$516,389.68	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Contract Type: LA (Letter Agreement)

Goal Requirements for LBCE (for LBE and for SLBE)

L16-0002 - Renne Sloan Holtzman Sakai	\$75,000.00	\$73,213.81	\$40,934.76	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L17-0034 - Mott MacDonald, Inc.	\$80,000.00	\$71,768.15	\$71,768.15	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%

Total LA (Letter Agreement) - Goal Requirements for LBCE (for LBE and for SLBE)

	\$155,000.00	\$144,981.96	\$112,702.91	63.68%	0.00%	0.00%	0.00%	49.50%	0.00%	0.00%	0.00%
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Exempt from Goal Requirements

L17-0012 - Bay Area Council Economic Institute	\$20,000.00	\$20,000.00	\$20,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L17-0013 - Vali Cooper & Associates, Inc.	\$24,830.84	\$11,096.87	\$11,096.87	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
L17-0014 - City of San Pablo	\$6,100.00	\$6,045.11	\$6,045.11	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Total LA (Letter Agreement) - Exempt from Goal Requirements

	\$50,930.84	\$37,141.98	\$37,141.98	29.88%	0.00%	0.00%	0.00%	29.88%	0.00%	0.00%	0.00%
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Total LA (Letter Agreement)

	\$205,930.84	\$182,123.94	\$149,844.89	55.30%	0.00%	0.00%	0.00%	45.50%	0.00%	0.00%	0.00%
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Contract Type: PSFA (Project Specific Funding Agreement)

Exempt from Goal Requirements

2003-02 - City of Oakland	\$6,358,000.00	\$4,476,831.04	\$1,791,242.00	69.94%	0.42%	0.00%	0.00%	78.49%	8.15%	0.00%	0.00%
A08-0048 - Bay Area Rapid Transit	\$6,316,531.60	\$6,316,449.83	\$654,622.67	12.37%	0.00%	0.00%	0.00%	24.77%	2.50%	0.00%	0.00%
A12-0050 - City of Hayward	\$26,437,000.00	\$26,436,999.99	\$5,028,962.53	0.00%	0.00%	0.00%	0.00%	9.17%	1.67%	0.87%	0.80%
A14-0049 - Alameda County Public Works Agency	\$100,000.00	\$93,790.12	\$48,090.31	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A16-0003 - Bay Area Rapid Transit	\$100,000.00	\$84,552.77	\$84,552.77	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A16-0004 - City of Fremont	\$100,000.00	\$86,771.08	\$86,771.08	86.42%	0.00%	0.00%	0.00%	86.42%	0.00%	0.00%	0.00%
A16-0010 - City of Union City	\$100,000.00	\$50,533.72	\$50,533.72	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
ACTC_A10-013 - Alameda County Public Works Agency	\$215,000.00	\$211,945.47	\$918.89	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%



Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016

End Date: 6/30/2017



Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)			
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE
Total PSFA (Project Specific Funding Agreement) - Exempt from Goal Requirements											
	\$39,726,531.60	\$37,757,874.02	\$7,745,693.97	18.19%	0.10%	0.00%	0.00%	20.07%	2.55%	0.61%	0.00%
Total PSFA (Project Specific Funding Agreement)											
	\$39,726,531.60	\$37,757,874.02	\$7,745,693.97	18.19%	0.10%	0.00%	0.00%	20.07%	2.55%	0.61%	0.00%
Total for All Contracts											
	\$188,346,549.26	\$160,371,852.67	\$33,244,166.41	68.04%	12.05%	0.97%	9.96%	60.96%	14.25%	1.72%	2.06%

Local Business Contract Equity (LBCE) Program Goals Attainment Summary
for Contracts with LBCE Program Goals
FY2008-09 to FY2016-17

Contract Type	Reporting Period	Number of Contracts	Total \$	LBE \$	LBE %	SLBE \$	SLBE %
Professional Services	FY 2008-09	84	\$14,671,927	\$12,954,839	88%	\$6,531,596	45%
	FY 2009-10	74	\$14,561,106	\$13,393,718	92%	\$7,775,840	53%
	FY 2010-11	80	\$13,365,337	\$11,848,462	89%	\$5,611,082	42%
	FY 2011-12	55	\$5,538,448	\$4,146,151	75%	\$2,139,857	39%
	FY 2012-13	33	\$6,994,351	\$5,052,417	72%	\$2,875,224	41%
	FY 2013-14	25	\$3,780,242	\$2,995,804	79%	\$1,687,257	45%
	FY 2014-15	24	\$4,729,816	\$4,369,404	92%	\$1,246,779	26%
	FY 2015-16	22	\$6,219,416	\$5,691,388	92%	\$1,688,572	27%
	FY 2016-17	36	\$13,348,171	\$11,746,390	88%	\$3,284,985	25%
Subtotal for Professional Services Contracts			83,208,814	72,198,571	87%	32,841,192	39%
Construction	FY 2008-09	7	479,672	414,389	86%	278,066	58%
	FY 2009-10	0	-	-	0%	-	0%
	FY 2010-11	0	-	-	0%	-	0%
	FY 2011-12	2	43,173	-	0%	-	0%
	FY 2012-13	1	58,220	-	0%	-	0%
	FY 2013-14	1	90,526	-	0%	-	0%
	FY 2014-15	0	-	-	0%	-	0%
	FY 2015-16	0	-	-	0%	-	0%
	FY 2016-17	0	-	-	0%	-	0%
Subtotal for Construction Contracts			671,591	414,389	62%	278,066	41%
Total (All Industries)			\$83,880,405	\$72,612,960	87%	\$33,119,257	39%

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To: Seung Cho, Director of Budgets & Administration, Alameda CTC

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

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

Date: September 22, 2017

RE: Independent Review of Alameda County Transportation Commission's Contract Equity Annual Utilization Report for the period July 1, 2016 through June 30, 2017

L. Luster & Associates (LLA) has reviewed Alameda CTC payment and vendor data provided by Alameda CTC staff for the period July 1, 2016 through June 30, 2017.

LLA staff was given full access to the Project Control System (PCS) database, as well as contract/agreement files, payment invoices, and responses to vendor survey. LLA utilized these resources in conducting a thorough review to provide quality control and to assure data integrity for all payments made to vendors on contracts with Local Business Contract Equity goals within the above referenced period. Additionally, LLA followed up with respondent vendors to ensure that all vendor concerns were addressed and issues resolved.

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

Having completed the review process, L. Luster & Associates finds no material defects in the Alameda CTC Contract Equity Annual Utilization Report for the period July 1, 2016 through June 30, 2017.

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Memorandum

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

DATE: November 6, 2017

SUBJECT: Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2017

RECOMMENDATION: Approve the Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2017

Summary

Pursuant to the Joint Powers Agreement of the Alameda County Transportation Commission, California Public Utilities Code Section 180105, the Joint Powers Agreement of the Alameda County Congestion Management Program and the California Government Code Section 6505, an independent audit was conducted for the fiscal year ended June 30, 2017 by Vavrinek, Trine, Day & Co., LLP. Financial statements are the responsibility of management. The auditor's responsibility is to express an opinion on the financial statements based on their audit. As demonstrated in the Independent Auditor's Report on page two of the Draft Audited Comprehensive Annual Financial Report (Draft Audited CAFR), the Alameda CTC's auditors have reported what is considered to be an unmodified opinion or clean audit.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Alameda CTC, as of June 30, 2017, and the respective changes in financial position for the year then ended in accordance with accounting principles generally accepted in the United States of America."

The Alameda CTC Draft Audited CAFR and the Limitations Worksheets for the year ended June 30, 2017 were reviewed in detail and approved by the Alameda CTC's audit committee on October 26, 2017.

Financial Highlights:

- The assets and deferred outflows of resources of Alameda CTC exceeded its liabilities and deferred inflows of resources at the end of fiscal year 2016-17 by \$360.0 million (*net position*). Of this amount, \$50.9 million represents unrestricted net position, which may be used to meet the government's ongoing obligations.
- Alameda CTC's total net position increased \$76.8 million or 27.1 percent over the prior fiscal year-end primarily due to an increase in cash and investments related to sales tax

collections and a reduction in long term liabilities as the first principal payment on the outstanding 2014 Sales Tax Revenue Bonds was made in March 2017.

- As of June 30, 2017, the Alameda CTC governmental funds reported combined fund balances of \$437.5 million, an increase of \$46.9 million compared to June 30, 2016. Of the total combined fund balances, \$48.7 million or 11.1 percent is available for spending at Alameda CTC's discretion (*unassigned fund balance*).
- Total assets and deferred outflows of resources of the Alameda CTC increased by \$43.7 million from \$534.7 million to \$578.4 million as of June 30, 2017 compared to June 30, 2016 mainly related to an increased cash and investment balance due to sales tax collections and toll and toll violation revenue collections and capital asset additions on the I-580 Express Lanes. Cash and investments comprised \$460.1 million or 79.5 percent of the total assets and deferred outflows of resources as of June 30, 2017.
- Revenues totaled \$352.5 million for the fiscal year ended June 30, 2017. This was a decrease of \$32.7 million or 8.5 percent from the fiscal year ended June 30, 2016 related to the recognition of capital assets on the I-580 Express Lanes which occurred in the prior fiscal year.
- Total liabilities and deferred inflows of resources decreased by \$33.1 million or 13.2 percent from \$251.6 million to \$218.4 million as of June 30, 2017 compared to June 30, 2016. This decrease is mostly due to the payment of debt service on the outstanding 2000 Measure B 2014 Sales Tax Revenues Bonds.
- Expenses totaled \$275.6 million for the fiscal year ended June 30, 2017. This was an increase of \$30.2 million or 12.3 percent over the fiscal year ended June 30, 2016 mostly related to a ramp up of expenditures in the 2014 Measure BB Capital Projects Fund as projects funded by Measure BB got underway.

Background

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

In addition, Vavrinek, Trine, Day & Co., LLP audited the calculation of the limitations ratios required by the 2000 and 2014 Transportation Expenditure Plans (TEP) which require that the total Measure B and Measure BB salaries and benefits costs for administrative employees not exceed 1.00 percent of sales tax revenues and expenditures for administration, do not exceed 4.5 percent of sales tax revenues for Measure B and 4.0 percent of sales tax revenues for Measure BB. The Measure B and Measure BB ratios for the fiscal year ended June 30, 2017 are 0.26 percent and 0.46 percent, respectively, for salaries and benefits as a percent of sales tax revenues and 1.26 percent and 1.85 percent, respectively, for total administration

costs as a percent of sales tax revenues which are in compliance with the requirements set forth in the TEPs.

Vavrinek, Trine, Day & Co., LLP also performed a Single Audit for the fiscal year ended June 30, 2017. Per the *Office of Management and Budget (OMB) Compliance Supplement*, a single audit is required when a grantee spends \$750,000 or more in Federal funds in the fiscal year to provide assurance to the federal government as to the management and use of these funds. Alameda CTC's federal expenditures were well over the threshold at \$5.8 million during the fiscal year ended June 30, 2017 therefore a Single Audit was required. As demonstrated in the Independent Auditor's Report beginning on page 102 of the Draft Audited CAFR, Alameda CTC's auditors have reported the following:

"In our opinion, Alameda CTC complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on its major Federal programs for the year ended June 30, 2017."

The Alameda CTC's Comprehensive Annual Financial Report (CAFR) has been drafted to meet all Government Finance Officers Association (GFOA) requirements for an award for excellence in financial reporting and will be submitted to the GFOA in December with the hope of receiving this award once the CAFR is approved by the Commission. The Alameda CTC has won the GFOA Certificate of Achievement for its CAFRs dated June 30, 2013, June 30, 2014, June 30, 2015 and June 30, 2016. A copy of the June 30, 2016 award has been included in the CAFR dated June 30, 2017 on page xi as required by the GFOA.

Similar to Alameda CTC's previous CAFRs, this CAFR was designed to provide detailed financial information by function so that interested parties can review agency financials as a whole or at a more detailed functional level. For example, for the benefit of the Independent Watchdog Committee whose purview consists of 2000 Measure B and 2014 Measure BB activity only, these funds have been broken out in separate columns whenever possible in the fund financial statements beginning on page 16 of the Draft Audited CAFR except in the General Fund and the Debt Service Fund. There can only be one General Fund; however Alameda CTC's financial system was designed to distinguish costs related to the administration of congestion management projects and programs from that of each of the individual sales tax measures. Therefore, a breakout of financial information for the General Fund has been provided as supplemental information beginning on page 60 of the Draft Audited CAFR, and a breakout of financial information for the Nonmajor Governmental Funds, which are generally those funds that contain less than 10 percent of the total governmental funds' assets, liabilities, revenues or expenditures, and includes the Debt Service Fund, which also has been provided as supplemental information beginning on page 62.

In addition, within the supplemental information section, we have provided a breakout of the 2000 Measure B and the 2014 Measure BB Special Revenue Funds' financial information by sub-fund beginning on pages 72 and 76, respectively, of the Draft Audited CAFR.

Fiscal Impact: There is no fiscal impact.

Attachment

- A. [Alameda County Transportation Commission Draft Audited Comprehensive Annual Financial Report for the Fiscal Year Ended June 30, 2017](#) *(Hyperlinked to website)*

Staff Contact

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



Memorandum

5.2

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

DATE: November 6, 2017

SUBJECT: Alameda CTC FY2017-18 First Quarter Investment Report

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

Summary

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

The first quarter Consolidated Investment Report (Attachment A) provides balance and average return on investment information for all cash and investments held by Alameda CTC as of September 30, 2017. The report also shows balances as of June 30, 2017 for comparison purposes. The *Portfolio Review for Quarter Ending September 30, 2017* (Attachment B), prepared by GenSpring, provides a review and outlook of current market conditions, an investment strategy to maximize return without compromising safety and liquidity, and an overview of the strategy used to develop the bond portfolios.

Portfolio Highlights

The following are key highlights of cash and investment information as of September 30, 2017:

- As of September 30, 2017, total cash and investments held by the Alameda CTC was \$493.4 million, an increase of \$32.5 million or 7.1 percent over June 30, 2017 mostly related to Measure BB sales tax collections and receipt of non-sales tax project reimbursements which outpaced expenditures for the quarter as the activities on non-sales tax related capital projects wind down.
- In this first quarter of FY2018, the non-sales tax fund repaid 1986 Measure B \$10.0 million for loans originally incurred to bridge the cash flow delay from when project expenditures were paid and when funding grant reimbursements were received. As the capital projects in these funds wind down, grant reimbursement funds are

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

- Compared to prior year-end balances:
 - The 1986 Measure B investment balance decreased \$0.4 million or 0.3 percent due to capital projects expenditures.
 - The 2000 Measure B investment balance increased \$5.4 million or 3.3 percent in large part due to the accumulation of sales tax revenues in the debt service fund which have been set aside to pay the principal and interest payments due on outstanding bonds in March 2018.
 - The 2014 Measure BB investment balance increased \$13.4 million or 13.6 percent mostly due to the accumulation of sales tax revenue. Many contracts for construction projects as well as agreements for discretionary projects were recently finalized, and it is expected that activity will ramp up soon and invoices will be paid in the third quarter of this fiscal year.
 - The Non-Sales Tax investment balance increased \$14.1 million or 21.4 percent primarily due to the reimbursement of grant funds which outpaced expenditures during the first quarter as non-sales tax capital projects wind down.

Investment yields have increased slightly with the approximate average return on investments through the first quarter at 1.01 percent compared to the prior year's average return of 0.72 percent. Return on investments were projected for the FY2017-18 budget year at varying rates ranging from 0.2 - 0.7 percent depending on investment type.

Fiscal Impact

There is no fiscal impact.

Attachments

- A. Consolidated Investment Report as of September 30, 2017
- B. Portfolio Review for Quarter Ending September 30, 2017 (provided by GenSpring)
- C. Fixed Income Portfolio as of September 30, 2017

Staff Contacts

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

[Lily Balinton](#), Director of Finance

[Yoana Navarro](#), Accounting Manager

Alameda CTC Consolidated Investment Report As of September 30, 2017							
1986 Measure B	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of September 30, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 898,411	\$ 607	0.27%			\$ 1,408,153	3,139
State Treasurer Pool (LAIF) ⁽¹⁾	8,899,897	24,273	1.09%			8,879,453	77,688
Investment Advisor ⁽¹⁾⁽²⁾	125,342,097	316,861	1.01%			115,203,638	985,723
Loan to Non-Sales Tax General Fund	-	-	-			10,000,000	-
1986 Measure B Total	\$ 135,140,405	\$ 341,741	1.01%	\$ 225,000	\$ 116,741	\$ 135,491,244	\$ 1,066,550
						<i>Approx. ROI</i>	<i>0.79%</i>
2000 Measure B	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of September 30, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 6,038,302	\$ 5,925	0.39%			\$ 10,111,276	\$ 6,716
State Treasurer Pool (LAIF) ⁽¹⁾	24,612,505	70,535	1.15%			30,112,605	205,571
Investment Advisor ⁽¹⁾⁽²⁾	115,593,665	290,531	1.01%			105,422,594	829,679
2014 Series A Bond Project Fund ⁽¹⁾	2,540,285	1,892	0.08%			1,157	2,294
2014 Series A Bond Interest Fund ⁽¹⁾	1,020,906	7,328	2.87%			3,523,762	54,637
2014 Series A Bond Principal Fund ⁽¹⁾	12,534,506	26,329	0.84%			7,158,485	42,523
Project Deferred Revenue ⁽¹⁾⁽³⁾	4,471,238	13,405	1.20%			5,090,072	51,415
2000 Measure B Total	\$ 166,811,407	\$ 415,945	1.00%	\$ 302,500	\$ 113,445	\$ 161,419,952	\$ 1,192,835
						<i>Approx. ROI</i>	<i>0.74%</i>
2014 Measure BB	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of September 30, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 4,193,204	\$ 4,229	0.40%			\$ 7,207,912	\$ 10,950
State Treasurer Pool (LAIF) ⁽¹⁾	67,615,488	170,652	1.01%			61,191,321	415,322
Investment Advisor ⁽¹⁾⁽²⁾	40,081,760	89,184	0.89%			30,064,935	147,966
2014 Measure BB Total	\$ 111,890,451	\$ 264,065	0.94%	\$ 133,750	\$ 130,315	\$ 98,464,167	\$ 574,238
						<i>Approx. ROI</i>	<i>0.58%</i>
Non-Sales Tax	Un-Audited		Interest Earned			FY 2016-2017	
	Investment Balance	Interest earned	As of September 30, 2017			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2017	FY 2016-2017
Bank Accounts	\$ 9,766,171	\$ 8,528	0.35%			\$ 7,411,637	\$ 17,508
State Treasurer Pool (LAIF) ⁽¹⁾	24,406,288	126,961	2.08%			46,505,800	374,559
California Asset Management Program (CAMP)	37,581,153	66,470	0.71%			14,014,683	14,683
Project Deferred Revenue ⁽¹⁾⁽⁴⁾	7,828,608	20,305	1.04%			7,594,944	67,802
Loan from 1986 Measure B	-	-	-			(10,000,000)	-
Non-Sales Tax Total	\$ 79,582,219	\$ 222,263	1.12%	\$ 21,250	\$ 201,013	\$ 65,527,065	\$ 474,553
						<i>Approx. ROI</i>	<i>0.72%</i>
Alameda CTC TOTAL	\$ 493,424,482	\$ 1,244,015	1.01%	\$ 682,500	\$ 561,515	\$ 460,902,428	\$ 3,308,176

Notes:

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

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***Alameda County Transportation Commission
Portfolio Review for the Quarter Ending
September 30, 2017***

Fixed Income Market Review and Outlook

Third quarter data continued to firm, especially manufacturing, which expanded in September at its fastest pace since 2004. Yet, a series of large hurricanes battered the US and Caribbean in the third quarter, and the effects of these storms has already begun to seep into the data, including weekly jobless claims.

Markets are also adjusting to upcoming policy shifts. The Federal Reserve announced it will begin gradually shrinking its balance sheet in October. Additionally, a tax reform outline from the Republican leadership was heavy on pro-growth tax cuts, but light on specifics. Accordingly, the US Dollar Index rose in September, snapping a six consecutive month losing streak.

The yield rollercoaster returned, spiking to start the third quarter, then sank to 2.05% in early September as investors worried about North Korea. When the threat dissipated, the 10-year US Treasury yield jumped to 2.33%, its highest level since July, by the end of September.

Most bond indices fell in September, though high yield corporate bonds were an exception. However, most bond indices were able to post gains for the third quarter. Similarly, non-US bonds suffered in September, but were able to notch gains for the quarter.

Portfolio Allocation

As of the end of the quarter, the consolidated Alameda CTC portfolio consisted of 35.3% US Government Agency securities, 38.4% US Treasury securities, 23.4% High Grade Corporate Bonds and 2.9% of cash and cash equivalents.

Compliance with Investment Policy Statement

For the quarter ending September 30, 2017 the Alameda CTC portfolio was in compliance with the adopted investment policy statement.

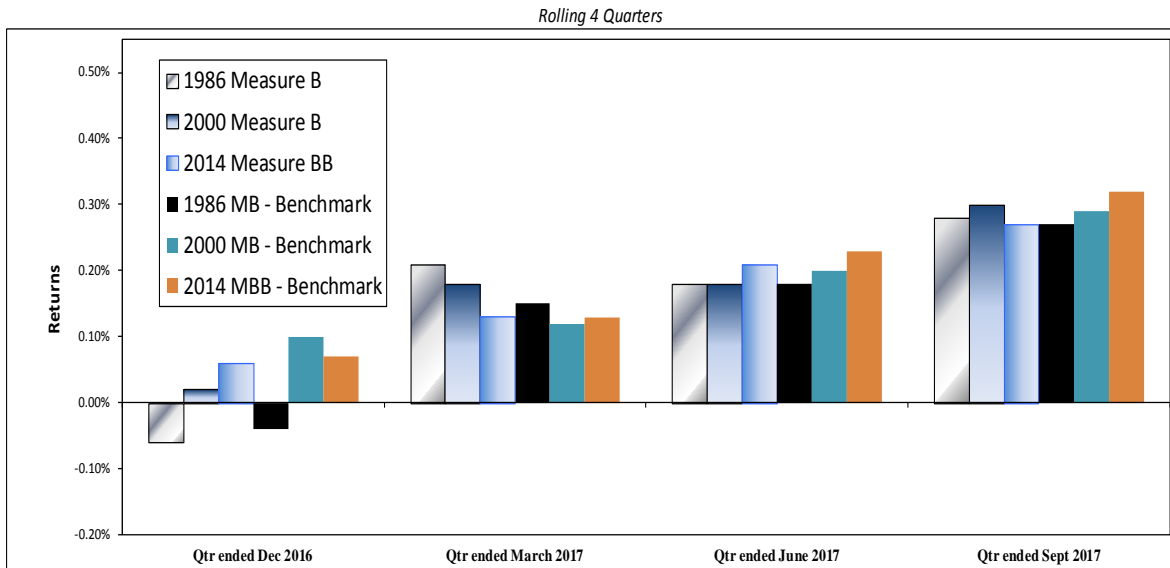
Budget Impact

The portfolio's performance is reported on a total return basis. This method includes the coupon interest, amortization of discounts and premiums, capital gains and losses and price changes (i.e., unrealized gains and losses) but does not include the deduction of management fees. For the quarter ending September 30, 2017, the 1986 Measure B portfolio returned **0.28%**. This compares to the benchmark return of **0.27%**. For the quarter ending September 30, 2017, the 2000 Measure B portfolio returned **0.30%**. This compares to the benchmark return of **0.29%**. For the quarter ending September 30, 2017, the 2014 Measure BB portfolio returned **0.27%**. This compares to the benchmark return of **0.32%**. The exhibit on the following page shows the performance of the Alameda CTC's portfolios relative to their respective benchmarks.

The portfolio's yield to maturity, the return the portfolio will earn in the future if all securities are held to maturity, is also reported. This calculation is based on the current market value of the portfolio including unrealized gains and losses. For the quarter ending September 30, 2017, the 1986 Measure B portfolio's yield to maturity or call was **1.39%**. The benchmark's yield to maturity was **1.30%**. For the quarter ending September 30, 2017, the 2000 Measure B portfolio's yield to maturity or call was **1.31%**. The benchmark's yield to maturity was **1.21%**. For the quarter ending September 30, 2017, the 2014 Measure BB portfolio's yield to maturity or call was **1.20%**. The benchmark's yield to maturity was **1.11%**.

Alameda CTC

Quarterly Review - Account vs. Benchmark



Trailing 12 Months	Oct-16	Nov-16	Dec-16	Jan-17	Feb-17	Mar-17	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Trailing 12 Months
MONTHLY PERFORMANCE DATA													
1986 Measure B	0.03%	-0.15%	0.06%	0.12%	0.08%	0.01%	0.09%	0.08%	0.01%	0.15%	0.12%	0.01%	0.61%
2000 Measure B	0.04%	-0.08%	0.06%	0.10%	0.07%	0.01%	0.08%	0.06%	0.04%	0.15%	0.11%	0.04%	0.68%
2014 Measure BB		0.00%	0.06%	0.09%	0.04%	0.00%	0.07%	0.07%	0.07%	0.11%	0.09%	0.07%	0.67%
Benchmark - 1986 MB ¹	0.01%	-0.10%	0.05%	0.11%	0.07%	-0.03%	0.09%	0.06%	0.03%	0.15%	0.14%	-0.02%	0.56%
Benchmark - 2000 MB ²	0.04%	0.01%	0.05%	0.10%	0.06%	-0.04%	0.08%	0.04%	0.08%	0.12%	0.13%	0.04%	0.71%
Benchmark - 2014 MBB ³		0.02%	0.05%	0.07%	0.06%	0.00%	0.08%	0.06%	0.09%	0.11%	0.14%	0.07%	0.75%

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

¹ (1986 Measure B) Benchmark is a customized benchmark comprised of 25% ML 1-3 year Tsy index, 25% ML 6mo. Tsy index and 50% ML 1 year Tsy index

² (2000 Measure B) Benchmark is currently a customized benchmark comprised of 50% ML 6mo. Tsy index and 50% ML 1 year Tsy index.

³ (2014 Measure BB) Benchmark is the ML 6mo. Tsy index

Bond Portfolios

The Bond portfolios, including the Interest, Project and Principal Funds, were invested beginning in 2014 by buying high grade fixed income securities. As of September 30, 2017 the average life of the cash flows for the Interest Fund was roughly **0.30** years, the average life of the cash flows of the Project Fund was anticipated to be approximately 1 week, and the average life of the cash flows of the Principal Fund was **0.40** years.

One way to measure the anticipated return of the portfolios is their *yield to maturity*. This is the return the portfolio will earn in the future if all securities are held to maturity. This calculation is based on the current market value of the portfolio. As of the end of the quarter

the Interest Fund portfolio's yield to maturity was **1.13%**, the Project Fund portfolio's yield to maturity was **0.91%** (the current money market fund yield), and the Principal Fund portfolio's yield to maturity was **1.20%**. By comparison, an investment in a U.S. Treasury note of comparable average maturity at the end of the month would yield approximately **1.08%**, **0.93%**, and **1.12%** respectively.

For the quarter ending September 30, 2017, the Alameda CTC Series 2014 Bonds Interest Fund, Project Fund, and Principal Fund portfolios were invested in compliance with Section 5.11 of the Bond Indenture dated February 1, 2014.

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

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTA 1986 Measure B
Account # N001
 September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				322,813.50		322,813.50		322,813.50	0.26		0.0
	pendingcash	PENDING SETTLEMENT				115,192.83		115,192.83		115,192.83	0.09		0.0
						438,006.33		438,006.33		438,006.33	0.35		0.0
CORPORATE BONDS													
1,000,000.0000	911312ap1	UNITED PARCEL SERVICE INC	A1	A+	100.33	1,003,320.00	100.00	1,000,000.00	5,625.00	1,005,625.00	0.80	1.12	0.0
		1.125% Due 10-01-17											
2,500,000.0000	713448db1	PEPSICO INC	A1	A+	100.05	2,501,250.00	99.99	2,499,860.00	11,666.67	2,511,526.67	2.00	1.15	0.0
		1.000% Due 10-13-17											
2,500,000.0000	458140a4	INTEL CORP	A1	A+	100.55	2,513,750.00	100.01	2,500,350.00	9,937.50	2,510,287.50	2.00	1.28	0.2
		1.350% Due 12-15-17											
1,700,000.0000	05531fam5	BB&T CORPORATION	A2	A-	99.52	1,691,806.00	99.95	1,699,184.00	5,409.31	1,704,593.31	1.36	1.62	0.3
		1.450% Due 01-12-18											
1,000,000.0000	166764av2	CHEVRON CORP NEW	AA2	AA-	99.72	997,200.00	99.99	999,890.00	1,099.58	1,000,989.58	0.80	1.39	0.4
		1.365% Due 03-02-18											
2,500,000.0000	594918as3	MICROSOFT CORP	AAA	AAA	99.70	2,492,500.00	99.79	2,494,700.00	10,416.67	2,505,116.67	1.99	1.36	0.6
		1.000% Due 05-01-18											
2,000,000.0000	037833aj9	APPLE INC	AA1	AA+	99.75	1,994,940.00	99.77	1,995,320.00	8,222.22	2,003,542.22	1.59	1.40	0.6
		1.000% Due 05-03-18											
1,000,000.0000	58933yag0	MERCK & CO INC	A1	AA	100.05	1,000,510.00	99.94	999,434.00	4,802.78	1,004,236.78	0.80	1.39	0.6
		1.300% Due 05-18-18											
2,000,000.0000	717081dw0	PFIZER INC	A1	AA	99.92	1,998,360.00	99.88	1,997,584.00	8,000.00	2,005,584.00	1.60	1.38	0.7
		1.200% Due 06-01-18											
1,000,000.0000	89236tcp8	TOYOTA MOTOR CREDIT CORP	AA3	AA-	100.08	1,000,807.00	100.06	1,000,564.00	3,358.33	1,003,922.33	0.80	1.48	0.8
		1.550% Due 07-13-18											
1,000,000.0000	478160br4	JOHNSON & JOHNSON	AAA	AAA	99.64	996,390.00	99.29	992,865.00	937.50	993,802.50	0.79	1.64	1.4
		1.125% Due 03-01-19											
1,000,000.0000	06406hcr8	BANK NEW YORK MTN BK ENT	A1	A	100.85	1,008,470.00	100.53	1,005,335.00	1,650.00	1,006,985.00	0.80	1.82	1.4
		2.200% Due 03-04-19											
2,000,000.0000	084664cg4	BERKSHIRE HATHAWAY FIN CORP	AA2	AA	100.29	2,005,840.00	100.19	2,003,872.00	1,511.11	2,005,383.11	1.60	1.57	1.4
		1.700% Due 03-15-19											
2,000,000.0000	459200je2	INTERNATIONAL BUSINESS MACHS	A1	A+	100.49	2,009,800.00	100.36	2,007,126.00	13,400.00	2,020,526.00	1.60	1.58	1.6
		1.800% Due 05-17-19											
2,000,000.0000	191216bv1	COCA COLA CO	AA3	AA-	99.85	1,997,040.00	99.68	1,993,520.00	9,243.06	2,002,763.06	1.59	1.57	1.6
		1.375% Due 05-30-19											
1,000,000.0000	06406hcw7	BANK NEW YORK MTN BK ENT	A1	A	101.23	1,012,340.00	100.78	1,007,758.00	1,277.78	1,009,035.78	0.81	1.89	1.9
		2.300% Due 09-11-19											
1,000,000.0000	17275rbg6	CISCO SYS INC	A1	AA-	99.60	995,950.00	99.50	994,984.00	427.78	995,411.78	0.80	1.66	1.9
		1.400% Due 09-20-19											
2,000,000.0000	90331hml4	US BANK ASSN CINCINNATI OH MTN	A1	AA-	100.82	2,016,400.00	100.70	2,013,920.00	18,062.50	2,031,982.50	1.61	1.78	2.0
		2.125% Due 10-28-19											
						29,236,673.00		29,206,266.00	115,047.78	29,321,313.78	23.34	1.48	0.9
GOVERNMENT BONDS													
2,000,000.0000	3130a6sw8	FEDERAL HOME LOAN BANKS	AAA	AA+	99.97	1,999,340.00	99.98	1,999,658.00	5,666.67	2,005,324.67	1.60	1.08	0.2
		1.000% Due 12-19-17											
3,000,000.0000	912828hr4	UNITED STATES TREAS NTS	AAA	AA+	105.50	3,164,882.82	100.85	3,025,551.00	13,416.67	3,038,967.67	2.42	1.21	0.4
		3.500% Due 02-15-18											

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTA 1986 Measure B
Account # N001
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
2,000,000.0000	3137eadp1	FEDERAL HOME LN MTG CORP 0.875% Due 03-07-18	AAA	AA+	99.52	1,990,460.00	99.86	1,997,156.00	1,166.67	1,998,322.67	1.60	1.20	0.4
3,000,000.0000	912828qb9	UNITED STATES TREAS NTS 2.875% Due 03-31-18	AAA	AA+	104.16	3,124,921.89	100.80	3,024,135.00	239.58	3,024,374.58	2.42	1.26	0.5
2,500,000.0000	3130a4gj5	FEDERAL HOME LOAN BANKS 1.125% Due 04-25-18	AAA	AA+	100.02	2,500,500.00	99.92	2,498,105.00	12,187.50	2,510,292.50	2.00	1.26	0.6
6,000,000.0000	912828xa3	UNITED STATES TREAS NTS 1.000% Due 05-15-18	AAA	AA+	100.48	6,029,062.50	99.85	5,991,096.00	22,663.04	6,013,759.04	4.79	1.24	0.6
5,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	100.20	5,010,000.00	99.74	4,987,200.00	15,798.61	5,002,998.61	3.99	1.28	0.6
2,500,000.0000	912828qq6	UNITED STATES TREAS NTS 2.375% Due 05-31-18	AAA	AA+	103.19	2,579,687.50	100.71	2,517,675.00	19,956.60	2,537,631.60	2.01	1.31	0.7
5,000,000.0000	3137eabp3	FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18	AAA	AA+	106.92	5,346,000.00	102.45	5,122,590.00	73,125.00	5,195,715.00	4.09	1.35	0.7
5,000,000.0000	3135g0e33	FEDERAL NATL MTG ASSN 1.125% Due 07-20-18	AAA	AA+	100.57	5,028,500.00	99.81	4,990,350.00	11,093.75	5,001,443.75	3.99	1.37	0.8
3,000,000.0000	3130a8pk3	FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18	AAA	AA+	99.65	2,989,500.00	99.41	2,982,339.00	2,812.50	2,985,151.50	2.38	1.32	0.8
2,500,000.0000	912828re2	UNITED STATES TREAS NTS 1.500% Due 08-31-18	AAA	AA+	101.40	2,535,066.98	100.12	2,503,027.50	3,211.33	2,506,238.83	2.00	1.37	0.9
5,000,000.0000	3135g0ym9	FEDERAL NATL MTG ASSN 1.875% Due 09-18-18	AAA	AA+	102.08	5,104,000.00	100.48	5,024,240.00	3,385.42	5,027,625.42	4.01	1.37	1.0
5,000,000.0000	912828rh5	UNITED STATES TREAS NTS 1.375% Due 09-30-18	AAA	AA+	101.18	5,059,001.10	100.00	4,999,805.00	188.87	4,999,993.87	4.00	1.38	1.0
3,000,000.0000	3137eaed7	FEDERAL HOME LN MTG CORP 0.875% Due 10-12-18	AAA	AA+	99.85	2,995,620.00	99.50	2,985,099.00	12,322.92	2,997,421.92	2.39	1.36	1.0
3,000,000.0000	3136g0x22	FEDERAL NATL MTG ASSN 1.000% Due 10-29-18	AAA	AA+	100.06	3,001,740.00	99.51	2,985,336.00	12,666.67	2,998,002.67	2.39	1.46	1.1
4,000,000.0000	912828rp7	UNITED STATES TREAS NTS 1.750% Due 10-31-18	AAA	AA+	101.77	4,070,625.00	100.38	4,015,312.00	29,293.48	4,044,605.48	3.21	1.39	1.1
1,970,000.0000	313376br5	FEDERAL HOME LOAN BANKS 1.750% Due 12-14-18	AAA	AA+	100.85	1,986,745.00	100.36	1,977,093.97	10,246.74	1,987,340.71	1.58	1.45	1.2
1,300,000.0000	912828n22	UNITED STATES TREAS NTS 1.250% Due 12-15-18	AAA	AA+	100.00	1,300,000.00	99.82	1,297,714.60	4,795.08	1,302,509.68	1.04	1.40	1.2
1,590,000.0000	912828b33	UNITED STATES TREAS NTS 1.500% Due 01-31-19	AAA	AA+	100.38	1,596,024.61	100.11	1,591,677.45	4,041.25	1,595,718.70	1.27	1.42	1.3
1,950,000.0000	912828c24	UNITED STATES TREAS NTS 1.500% Due 02-28-19	AAA	AA+	100.66	1,962,796.88	100.09	1,951,829.10	2,504.83	1,954,333.93	1.56	1.43	1.4
1,500,000.0000	912828sh4	UNITED STATES TREAS NTS 1.375% Due 02-28-19	AAA	AA+	100.13	1,501,933.59	99.93	1,499,004.00	1,766.23	1,500,770.23	1.20	1.42	1.4
5,000,000.0000	912828sn1	UNITED STATES TREAS NTS 1.500% Due 03-31-19	AAA	AA+	100.29	5,014,453.15	100.12	5,005,860.00	206.04	5,006,066.04	4.00	1.42	1.5
3,500,000.0000	912828st8	UNITED STATES TREAS NTS 1.250% Due 04-30-19	AAA	AA+	99.89	3,496,308.59	99.71	3,489,885.00	18,350.69	3,508,235.69	2.79	1.44	1.6
4,000,000.0000	3130abf92	FEDERAL HOME LOAN BANKS 1.375% Due 05-28-19	AAA	AA+	99.96	3,998,360.00	99.84	3,993,660.00	21,236.11	4,014,896.11	3.19	1.47	1.6
4,000,000.0000	912828xv7	UNITED STATES TREAS NTS 1.250% Due 06-30-19	AAA	AA+	99.82	3,992,656.24	99.65	3,985,936.00	12,635.87	3,998,571.87	3.19	1.45	1.7
2,000,000.0000	3137eabeb1	FEDERAL HOME LN MTG CORP 0.875% Due 07-19-19	AAA	AA+	98.91	1,978,200.00	98.84	1,976,846.00	3,500.00	1,980,346.00	1.58	1.53	1.8

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTA 1986 Measure B
Account # N001
 September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
3,000,000.0000	912828lj7	UNITED STATES TREAS NTS 3.625% Due 08-15-19	AAA	AA+	104.61	3,138,398.43	103.99	3,119,649.00	13,889.27	3,133,538.27	2.49	1.46	1.8
4,000,000.0000	3130a9ep2	FEDERAL HOME LOAN BANKS 1.000% Due 09-26-19	AAA	AA+	99.13	3,965,240.00	98.96	3,958,448.00	555.56	3,959,003.56	3.16	1.53	2.0
						96,460,024.28		95,496,277.62	332,922.94	95,829,200.56	76.31	1.37	1.1
TOTAL PORTFOLIO						126,134,703.61		125,140,549.95	447,970.71	125,588,520.66	100.00	1.39	1.0

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTIA 2000 Measure B
Account # N001UNBI
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				5,491,066.06		5,491,066.06		5,491,066.06	4.75		0.0
	pendingcash	PENDING SETTLEMENT				117,550.89		117,550.89		117,550.89	0.10		0.0
						5,608,616.95		5,608,616.95		5,608,616.95	4.86		0.0
CORPORATE BONDS													
1,500,000.0000	06406hce7	BANK NEW YORK MTN BK ENT	A1	A	100.29	1,504,380.00	99.91	1,498,668.00	3,575.00	1,502,243.00	1.30	1.58	0.3
		1.300% Due 01-25-18											
1,500,000.0000	459200hk0	INTERNATIONAL BUSINESS MACHS	A1	A+	100.03	1,500,390.00	99.89	1,498,351.50	2,760.42	1,501,111.92	1.30	1.56	0.4
		1.250% Due 02-08-18											
1,500,000.0000	36962g6w9	GENERAL ELEC CAP CORP MTN BE	A1	AA-	100.35	1,505,235.00	100.07	1,501,107.00	12,119.79	1,513,226.79	1.30	1.48	0.5
		1.625% Due 04-02-18											
2,000,000.0000	68389xac9	ORACLE CORP	A1	AA-	104.21	2,084,120.00	102.22	2,044,422.00	53,027.78	2,097,449.78	1.77	1.61	0.5
		5.750% Due 04-15-18											
3,000,000.0000	037833aj9	APPLE INC	AA1	AA+	99.75	2,992,410.00	99.77	2,992,980.00	12,333.33	3,005,313.33	2.59	1.40	0.6
		1.000% Due 05-03-18											
2,000,000.0000	89236tcp8	TOYOTA MOTOR CREDIT CORP	AA3	AA-	100.15	2,002,900.00	100.06	2,001,128.00	6,716.67	2,007,844.67	1.73	1.48	0.8
		1.550% Due 07-13-18											
1,000,000.0000	084664by6	BERKSHIRE HATHAWAY FIN CORP	AA2	AA	101.50	1,015,000.00	100.49	1,004,931.00	2,555.56	1,007,486.56	0.87	1.43	0.9
		2.000% Due 08-15-18											
1,000,000.0000	25468pdd5	DISNEY WALT CO MTNS BE	A2	A+	100.67	1,006,670.00	100.04	1,000,382.00	583.33	1,000,965.33	0.87	1.46	1.0
		1.500% Due 09-17-18											
1,000,000.0000	07330nad7	BB&T BRH BKG & TR CO GLOBAL BK	A1	A	101.67	1,016,700.00	100.55	1,005,539.00	10,605.56	1,016,144.56	0.87	1.76	1.0
		2.300% Due 10-15-18											
1,000,000.0000	291011ax2	EMERSON ELEC CO	A2	A	108.13	1,081,300.00	103.66	1,036,628.00	24,208.33	1,060,836.33	0.90	1.69	1.0
		5.250% Due 10-15-18											
2,000,000.0000	191216bfb6	COCA COLA CO	AA3	AA-	100.58	2,011,540.00	100.22	2,004,452.00	13,750.00	2,018,202.00	1.74	1.44	1.1
		1.650% Due 11-01-18											
1,000,000.0000	594918bfb0	MICROSOFT CORP	AAA	AAA	99.93	999,280.00	99.84	998,388.00	5,344.44	1,003,732.44	0.86	1.45	1.1
		1.300% Due 11-03-18											
1,000,000.0000	69353ret1	PNC BK N A PITTSBURGH PA	A2	A	100.31	1,003,120.00	100.10	1,000,974.00	7,300.00	1,008,274.00	0.87	1.71	1.1
		1.800% Due 11-05-18											
3,000,000.0000	478160bg8	JOHNSON & JOHNSON	AAA	AAA	100.55	3,016,590.00	100.18	3,005,277.00	15,950.00	3,021,227.00	2.60	1.50	1.2
		1.650% Due 12-05-18											
2,000,000.0000	69353rch9	PNC BK N A PITTSBURGH PA	A2	A	100.72	2,014,360.00	100.58	2,011,524.00	7,700.00	2,019,224.00	1.74	1.76	1.3
		2.200% Due 01-28-19											
1,500,000.0000	713448de5	PEPSICO INC	A1	A+	100.15	1,502,295.00	99.87	1,497,982.50	2,437.50	1,500,420.00	1.30	1.60	1.4
		1.500% Due 02-22-19											
						26,256,290.00		26,102,734.00	180,967.71	26,283,701.71	22.60	1.54	0.9
GOVERNMENT BONDS													
5,000,000.0000	912828m72	UNITED STATES TREAS NTS	AAA	AA+	99.99	4,999,414.05	99.96	4,998,150.00	14,702.87	5,012,852.87	4.33	1.09	0.2
		0.875% Due 11-30-17											
2,000,000.0000	3137eadx4	FEDERAL HOME LN MTG CORP	AAA	AA+	100.35	2,007,000.00	99.98	1,999,648.00	5,888.89	2,005,536.89	1.73	1.08	0.2
		1.000% Due 12-15-17											
5,000,000.0000	912828ue8	UNITED STATES TREAS NTS	AAA	AA+	99.84	4,992,187.50	99.90	4,995,095.00	9,479.17	5,004,574.17	4.33	1.14	0.2
		0.750% Due 12-31-17											
2,500,000.0000	912828pt1	UNITED STATES TREAS NTS	AAA	AA+	100.95	2,523,632.83	100.47	2,511,872.50	11,056.39	2,522,928.89	2.17	1.19	0.3
		2.625% Due 01-31-18											

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTIA 2000 Measure B
Account # N001UNBI
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
3,000,000.0000	3135g0tg8	FEDERAL NATL MTG ASSN 0.875% Due 02-08-18	AAA	AA+	99.80	2,993,970.00	99.87	2,996,022.00	3,864.58	2,999,886.58	2.59	1.25	0.4
1,200,000.0000	912828hr4	UNITED STATES TREAS NTS 3.500% Due 02-15-18	AAA	AA+	105.50	1,265,953.13	100.85	1,210,220.40	5,366.67	1,215,587.07	1.05	1.21	0.4
3,000,000.0000	313378a43	FEDERAL HOME LOAN BANKS 1.375% Due 03-09-18	AAA	AA+	100.35	3,010,350.00	100.09	3,002,619.00	2,520.83	3,005,139.83	2.60	1.18	0.4
2,000,000.0000	912828q45	UNITED STATES TREAS NTS 0.875% Due 03-31-18	AAA	AA+	100.20	2,003,984.38	99.82	1,996,400.00	48.08	1,996,448.08	1.73	1.24	0.5
4,900,000.0000	912828qb9	UNITED STATES TREAS NTS 2.875% Due 03-31-18	AAA	AA+	101.95	4,995,320.34	100.80	4,939,420.50	391.32	4,939,811.82	4.28	1.26	0.5
1,525,000.0000	912828qg8	UNITED STATES TREAS NTS 2.625% Due 04-30-18	AAA	AA+	101.66	1,550,376.96	100.79	1,536,974.30	16,752.21	1,553,726.51	1.33	1.27	0.6
4,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	99.90	3,996,036.00	99.74	3,989,760.00	12,638.89	4,002,398.89	3.45	1.28	0.6
2,000,000.0000	3137eabp3	FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18	AAA	AA+	106.92	2,138,400.00	102.45	2,049,036.00	29,250.00	2,078,286.00	1.77	1.35	0.7
2,000,000.0000	3130a8pk3	FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18	AAA	AA+	99.65	1,993,000.00	99.41	1,988,226.00	1,875.00	1,990,101.00	1.72	1.32	0.8
4,000,000.0000	912828re2	UNITED STATES TREAS NTS 1.500% Due 08-31-18	AAA	AA+	100.83	4,033,209.84	100.12	4,004,844.00	5,138.12	4,009,982.12	3.47	1.37	0.9
3,000,000.0000	313375k48	FEDERAL HOME LOAN BANKS 2.000% Due 09-14-18	AAA	AA+	101.15	3,034,449.00	100.56	3,016,752.00	2,833.33	3,019,585.33	2.61	1.41	0.9
2,000,000.0000	3135g0ym9	FEDERAL NATL MTG ASSN 1.875% Due 09-18-18	AAA	AA+	102.08	2,041,600.00	100.48	2,009,696.00	1,354.17	2,011,050.17	1.74	1.37	1.0
3,000,000.0000	912828rh5	UNITED STATES TREAS NTS 1.375% Due 09-30-18	AAA	AA+	101.18	3,035,400.66	100.00	2,999,883.00	113.32	2,999,996.32	2.60	1.38	1.0
4,000,000.0000	3135g0e58	FEDERAL NATL MTG ASSN 1.125% Due 10-19-18	AAA	AA+	99.79	3,991,720.00	99.69	3,987,480.00	20,250.00	4,007,730.00	3.45	1.43	1.0
3,000,000.0000	912828rp7	UNITED STATES TREAS NTS 1.750% Due 10-31-18	AAA	AA+	102.00	3,059,892.87	100.38	3,011,484.00	21,970.11	3,033,454.11	2.61	1.39	1.1
3,750,000.0000	912828wd8	UNITED STATES TREAS NTS 1.250% Due 10-31-18	AAA	AA+	100.32	3,762,031.26	99.85	3,744,288.75	19,616.17	3,763,904.92	3.24	1.39	1.1
3,000,000.0000	3135g0yt4	FEDERAL NATL MTG ASSN 1.625% Due 11-27-18	AAA	AA+	100.46	3,013,740.00	100.13	3,003,900.00	16,791.67	3,020,691.67	2.60	1.51	1.1
2,000,000.0000	3135g0g72	FEDERAL NATL MTG ASSN 1.125% Due 12-14-18	AAA	AA+	99.67	1,993,380.00	99.65	1,993,050.00	6,687.50	1,999,737.50	1.73	1.42	1.2
3,500,000.0000	912828n22	UNITED STATES TREAS NTS 1.250% Due 12-15-18	AAA	AA+	100.00	3,500,000.00	99.82	3,493,847.00	12,909.84	3,506,756.84	3.03	1.40	1.2
3,000,000.0000	912828n63	UNITED STATES TREAS NTS 1.125% Due 01-15-19	AAA	AA+	99.81	2,994,257.82	99.63	2,988,984.00	7,153.53	2,996,137.53	2.59	1.41	1.3
3,000,000.0000	3135g0h63	FEDERAL NATL MTG ASSN 1.375% Due 01-28-19	AAA	AA+	100.23	3,006,858.00	99.90	2,996,994.00	7,218.75	3,004,212.75	2.60	1.45	1.3
2,250,000.0000	3135g0za4	FEDERAL NATL MTG ASSN 1.875% Due 02-19-19	AAA	AA+	101.36	2,280,559.50	100.56	2,262,516.75	4,921.88	2,267,438.63	1.96	1.47	1.4
3,000,000.0000	313378qk0	FEDERAL HOME LOAN BANKS 1.875% Due 03-08-19	AAA	AA+	100.89	3,026,550.00	100.58	3,017,298.00	3,593.75	3,020,891.75	2.61	1.47	1.4
2,000,000.0000	912828c65	UNITED STATES TREAS NTS 1.625% Due 03-31-19	AAA	AA+	100.36	2,007,109.38	100.29	2,005,860.00	89.29	2,005,949.29	1.74	1.43	1.5

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTIA 2000 Measure B
Account # N001UNBI
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
1,000,000.0000	912828kq2	UNITED STATES TREAS NTS 3.125% Due 05-15-19	AAA	AA+	102.77	1,027,734.38	102.70	1,027,031.00	11,805.56	1,038,836.56	0.89	1.44	1.6
						84,278,117.90		83,777,352.20	256,281.86	84,033,634.06	72.54	1.32	0.8
TOTAL PORTFOLIO						116,143,024.85		115,488,703.15	437,249.57	115,925,952.72	100.00	1.31	0.8

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
2014 Measure BB
Account # N001UNB4
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				14,191.31		14,191.31		14,191.31	0.04		0.0
	pendingcash	PENDING SETTLEMENT				2,015,870.52		2,015,870.52		2,015,870.52	5.03		0.0
						2,030,061.83		2,030,061.83		2,030,061.83	5.07		0.0
CORPORATE BONDS													
600,000.0000	89233p6s0	TOYOTA MTR CRD CORP MTN BE	AA3	AA-	100.14	600,864.00	100.00	599,994.00	3,666.67	603,660.67	1.50	1.31	0.0
		1.250% Due 10-05-17											
600,000.0000	68389xan5	ORACLE CORP	A1	AA-	100.14	600,852.00	99.99	599,928.00	3,320.00	603,248.00	1.50	1.48	0.0
		1.200% Due 10-15-17											
600,000.0000	594918ap9	MICROSOFT CORP	AAA	AAA	99.99	599,952.00	99.94	599,661.60	1,983.33	601,644.93	1.50	1.32	0.1
		0.875% Due 11-15-17											
600,000.0000	478160b17	JOHNSON & JOHNSON	AAA	AAA	100.17	601,008.00	99.98	599,859.60	2,437.50	602,297.10	1.50	1.29	0.1
		1.125% Due 11-21-17											
600,000.0000	458140a14	INTEL CORP	A1	A+	100.18	601,074.00	100.01	600,084.00	2,385.00	602,469.00	1.50	1.28	0.2
		1.350% Due 12-15-17											
1,000,000.0000	90331hmu4	US BANK ASSN CINCINNATI OH MTN	A1	AA-	100.09	1,000,860.00	100.01	1,000,092.00	2,497.22	1,002,589.22	2.50	1.42	0.3
		1.450% Due 01-29-18											
600,000.0000	037833bn9	APPLE INC	AA1	AA+	100.10	600,594.00	99.97	599,832.00	823.33	600,655.33	1.50	1.37	0.4
		1.300% Due 02-23-18											
1,000,000.0000	532457bk3	LILLY ELI & CO	A2	AA-	100.00	999,970.00	99.94	999,354.00	1,041.67	1,000,395.67	2.49	1.40	0.4
		1.250% Due 03-01-18											
600,000.0000	084664ce9	BERKSHIRE HATHAWAY FIN CORP	AA2	AA	100.21	601,230.00	100.03	600,197.40	580.00	600,777.40	1.50	1.37	0.4
		1.450% Due 03-07-18											
600,000.0000	191216ba7	COCA COLA CO	AA3	AA-	99.92	599,532.00	99.87	599,191.20	3,450.00	602,641.20	1.50	1.42	0.5
		1.150% Due 04-01-18											
300,000.0000	89236tcx1	TOYOTA MOTOR CREDIT CORP	AA3	AA-	99.89	299,655.00	99.87	299,610.90	1,750.00	301,360.90	0.75	1.45	0.5
		1.200% Due 04-06-18											
300,000.0000	68389xac9	ORACLE CORP	A1	AA-	104.21	312,618.00	102.22	306,663.30	7,954.17	314,617.47	0.77	1.61	0.5
		5.750% Due 04-15-18											
600,000.0000	36962g3u6	GENERAL ELEC CAP CORP MTN BE	A1	AA-	103.08	618,480.00	102.36	614,158.20	14,062.50	628,220.70	1.53	1.56	0.6
		5.625% Due 05-01-18											
600,000.0000	69353rem6	PNC BK N A PITTSBURGH PA	A2	A	100.10	600,612.00	100.06	600,363.00	3,200.00	603,563.00	1.50	1.51	0.7
		1.600% Due 06-01-18											
1,100,000.0000	17275rau6	CISCO SYS INC	A1	AA-	100.25	1,102,709.00	100.12	1,101,369.50	5,344.17	1,106,713.67	2.75	1.47	0.7
		1.650% Due 06-15-18											
500,000.0000	478160au8	JOHNSON & JOHNSON	AAA	AAA	103.49	517,470.00	102.82	514,099.50	5,436.11	519,535.61	1.28	1.55	0.8
		5.150% Due 07-15-18											
						10,257,480.00		10,234,458.20	59,931.67	10,294,389.87	25.54	1.42	0.4
GOVERNMENT BONDS													
800,000.0000	3133edxa5	FEDERAL FARM CR BKS	AAA	AA+	100.40	803,176.20	100.00	800,020.00	4,370.00	804,390.00	2.00	1.05	0.0
		1.150% Due 10-10-17											
1,500,000.0000	912828f54	UNITED STATES TREAS NTS	AAA	AA+	100.18	1,502,636.72	99.99	1,499,914.50	6,052.08	1,505,966.58	3.74	1.01	0.0
		0.875% Due 10-15-17											
1,500,000.0000	3130a6lz8	FEDERAL HOME LOAN BANKS	AAA	AA+	99.92	1,498,731.00	99.97	1,499,599.50	4,036.46	1,503,635.96	3.74	0.99	0.1
		0.625% Due 10-26-17											
700,000.0000	3135g0pq0	FEDERAL NATL MTG ASSN	AAA	AA+	100.16	701,127.00	99.99	699,920.90	2,637.15	702,558.05	1.75	1.03	0.1
		0.875% Due 10-26-17											

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
2014 Measure BB
Account # N001UNB4
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
1,000,000.0000	912828pf1	UNITED STATES TREAS NTS 1.875% Due 10-31-17	AAA	AA+	101.18	1,011,796.88	100.06	1,000,635.00	7,846.47	1,008,481.47	2.50	1.11	0.1
1,250,000.0000	912828m72	UNITED STATES TREAS NTS 0.875% Due 11-30-17	AAA	AA+	100.08	1,250,976.56	99.96	1,249,537.50	3,675.72	1,253,213.22	3.12	1.09	0.2
1,250,000.0000	3130a3hf4	FEDERAL HOME LOAN BANKS 1.125% Due 12-08-17	AAA	AA+	100.31	1,253,875.00	100.01	1,250,127.50	4,414.06	1,254,541.56	3.12	1.07	0.2
1,150,000.0000	3137eadx4	FEDERAL HOME LN MTG CORP 1.000% Due 12-15-17	AAA	AA+	100.16	1,151,828.50	99.98	1,149,797.60	3,386.11	1,153,183.71	2.87	1.08	0.2
1,250,000.0000	912828n55	UNITED STATES TREAS NTS 1.000% Due 12-31-17	AAA	AA+	100.15	1,251,855.48	99.96	1,249,533.75	3,158.97	1,252,692.72	3.12	1.15	0.2
2,000,000.0000	313313rx8	FEDL FARM CRED BK CONS DISC NT 0.000% Due 01-17-18	AAA	AA+	99.53	1,990,553.34	99.68	1,993,580.00	0.00	1,993,580.00	4.97	1.06	0.3
1,000,000.0000	912828pt1	UNITED STATES TREAS NTS 2.625% Due 01-31-18	AAA	AA+	101.36	1,013,632.81	100.47	1,004,749.00	4,422.55	1,009,171.55	2.51	1.19	0.3
1,000,000.0000	912828h94	UNITED STATES TREAS NTS 1.000% Due 02-15-18	AAA	AA+	99.96	999,609.38	99.93	999,332.00	1,277.17	1,000,609.17	2.49	1.18	0.4
1,000,000.0000	3137eadp1	FEDERAL HOME LN MTG CORP 0.875% Due 03-07-18	AAA	AA+	99.77	997,745.00	99.86	998,578.00	583.33	999,161.33	2.49	1.20	0.4
2,000,000.0000	912828q45	UNITED STATES TREAS NTS 0.875% Due 03-31-18	AAA	AA+	99.82	1,996,406.26	99.82	1,996,400.00	48.08	1,996,448.08	4.98	1.24	0.5
1,500,000.0000	912828uz1	UNITED STATES TREAS NTS 0.625% Due 04-30-18	AAA	AA+	99.50	1,492,441.40	99.63	1,494,496.50	3,923.23	1,498,419.73	3.73	1.26	0.6
2,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	99.66	1,993,232.00	99.74	1,994,880.00	6,319.44	2,001,199.44	4.98	1.28	0.6
1,000,000.0000	313373uu4	FEDERAL HOME LOAN BANKS 2.750% Due 06-08-18	AAA	AA+	101.24	1,012,400.00	100.99	1,009,874.00	8,631.94	1,018,505.94	2.52	1.30	0.7
1,000,000.0000	912828vk3	UNITED STATES TREAS NTS 1.375% Due 06-30-18	AAA	AA+	100.12	1,001,210.94	100.06	1,000,590.00	3,474.86	1,004,064.86	2.50	1.29	0.7
1,000,000.0000	3134g92h9	FEDERAL HOME LN MTG CORP 0.850% Due 07-27-18	AAA	AA+	99.60	996,044.00	99.61	996,084.00	1,511.11	997,595.11	2.49	1.33	0.8
1,000,000.0000	912828qy9	UNITED STATES TREAS NTS 2.250% Due 07-31-18	AAA	AA+	100.96	1,009,648.44	100.73	1,007,344.00	3,790.76	1,011,134.76	2.51	1.36	0.8
1,000,000.0000	912828vq0	UNITED STATES TREAS NTS 1.375% Due 07-31-18	AAA	AA+	100.14	1,001,445.31	100.03	1,000,310.00	2,316.58	1,002,626.58	2.50	1.34	0.8
900,000.0000	912828jh4	UNITED STATES TREAS NTS 4.000% Due 08-15-18	AAA	AA+	102.42	921,796.88	102.27	920,460.60	4,600.00	925,060.60	2.30	1.38	0.9
1,000,000.0000	3130acfa7	FEDERAL HOME LOAN BANKS 1.250% Due 09-17-18	AAA	AA+	99.96	999,620.00	99.89	998,901.00	555.56	999,456.56	2.49	1.36	1.0
						27,851,789.10		27,814,665.35	81,031.65	27,895,697.00	69.40	1.18	0.4
TOTAL PORTFOLIO						40,139,330.93		40,079,185.38	140,963.32	40,220,148.70	100.00	1.18	0.4

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
Interest Fund
Account # N001UNB2
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				272,494.74		272,494.74		272,494.74	26.68		0.0
	pendingcash	PENDING SETTLEMENT				202.76		202.76		202.76	0.02		0.0
						272,697.50		272,697.50		272,697.50	26.70		0.0
GOVERNMENT BONDS													
750,000.0000	912828ur9	UNITED STATES TREAS NTS	AAA	AA+	98.00	734,970.70	99.81	748,597.50	481.70	749,079.20	73.30	1.20	0.4
		0.750% Due 02-28-18											
TOTAL PORTFOLIO						1,007,668.20		1,021,295.00	481.70	1,021,776.70	100.00	0.88	0.3

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
Project Fund
Account # N001UNB3
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				2,540,285.07		2,540,285.07		2,540,285.07	99.93		0.0
	pendingcash	PENDING SETTLEMENT				1,890.16		1,890.16		1,890.16	0.07		0.0
						2,542,175.23		2,542,175.23		2,542,175.23	100.00		0.0
TOTAL PORTFOLIO						2,542,175.23		2,542,175.23	0.00	2,542,175.23	100.00	0.00	0.0

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
Alameda CTC 2014 Principal
Account # N001UNB5
September 30, 2017

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Dur-ation
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				8,391.46		8,391.46		8,391.46	0.07		0.0
	pendingcash	PENDING SETTLEMENT				273.22		273.22		273.22	0.00		0.0
						8,664.68		8,664.68		8,664.68	0.07		0.0
GOVERNMENT BONDS													
1,000,000.0000	313397ss1	FEDL HOME LN MTG CORP DISC NT	AAA	AA+	99.61	996,136.11	99.61	996,115.00	0.00	996,115.00	7.95	1.12	0.3
		0.000% Due 02-05-18											
4,900,000.0000	3135g0tg8	FEDERAL NATL MTG ASSN	AAA	AA+	99.83	4,891,904.00	99.87	4,893,502.60	6,312.15	4,899,814.75	39.05	1.25	0.4
		0.875% Due 02-08-18											
6,637,000.0000	912828h94	UNITED STATES TREAS NTS	AAA	AA+	99.94	6,633,324.97	99.93	6,632,566.48	8,476.60	6,641,043.09	52.93	1.18	0.4
		1.000% Due 02-15-18											
						12,521,365.08		12,522,184.08	14,788.76	12,536,972.84	99.93	1.20	0.4
TOTAL PORTFOLIO						12,530,029.76		12,530,848.76	14,788.76	12,545,637.52	100.00	1.20	0.4

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Memorandum

5.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 6, 2017

SUBJECT: Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and Salary Ranges for Fiscal Year 2018-19

RECOMMENDATION: Approve Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and Salary Ranges for FY2018-19 and adopt Resolution No. 17-006 Calendar Year 2018 Benefits for Staff Members.

Summary

The Administrative Code calls for the Executive Director to submit an annual salaries and benefits plan to the Commission for approval. This memorandum seeks the Commission's approval of Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and staff salary ranges for FY2018-19. The calendar year 2018 benefits outlined in Resolution 17-006 includes holidays, vacation and sick leave policies, health insurance, and other benefits for staff members. The calendar year 2018 benefits generally remain unchanged from Resolution 16-009, which was approved by the Commission in December 2016.

The few changes to benefits for next calendar year include:

1. The Cafeteria Plan monthly benefit allowance of \$2,431 for active employees, an increase of \$334 over 2017;
2. The Public Employees' Medical and Hospital Care Act (PEMHCA) monthly minimum required contribution of \$133, an increase of \$5 over 2017;
3. The Health Reimbursement Arrangement (HRA) monthly benefit of \$1,594 for retirees, an increase of \$255 over 2017; and
4. A 3% adjustment to salary ranges based on the change in the Consumer Price Index for all Urban Consumers (CPI-U) for San Francisco-Oakland-San Jose, CA during calendar year 2016 (the last full year of data available from the Bureau of Labor Statistics) as approved by the Commission in March 2017.

The Alameda CTC does not provide automatic pay increases or pay grade step increases, nor do the recommendations approved by the Commission constitute automatic pay increases. Alameda CTC displays the pay scale for each position in the form of an allowable range. Salary adjustments for employees within the ranges are based on job performance,

expansion of duties and/or responsibilities and other economic factors. While salary ranges are not included in Alameda CTC's annual operating budget, the projected salaries and benefits (by functional area) for the entire agency are included in the budget based on the projected number of actual employees. Therefore, approval of the salary ranges do not have a direct fiscal impact on the budget. However, it will allow for actual salaries to be adjusted within the approved ranges at the discretion of the Executive Director.

The Agency has 37 approved full-time equivalent (FTE) positions in 32 classifications. Currently, there are 29 employees at the Alameda CTC, and the agency is actively working to fill the remaining positions to perform work within the 32 authorized classifications. No changes are proposed to the Agency's staffing plan at this time.

Background

The attached Resolution No. 17-006 (Attachment A) is consistent with the Public Employees' Pension Reform Act of 2013 (AB 340), as it pertains to the agency. The details of the agency's retirement system are contained in the agency's pension plan. The most significant changes from AB 340 apply to new employees hired on or after January 1, 2013. For employees hired prior to January 1, 2013 (Classic Employees), the major features of the agency's pension plan includes a "2.5%@55" benefit and employer paid member contribution (EPMC) cost sharing of 5% by the agency and 3% by the employee. For employees hired on or after January 1, 2013 (New Employees), the major features of the agency's pension plan includes a "2%@62" benefit, but does not include cost sharing of the required employee contribution as it is not allowed per AB 340 which is effective for New Employees. The plan does not include any optional features, payout conversions or optional benefits that have been characterized as "spiking" of the pension benefit.

Alameda CTC Retiree Health Benefit Amount for the 2018 calendar year is reimbursed to retirees through the HRA Plan. The HRA Plan is a premium reimbursement plan for retiree health care premiums. Alameda CTC will contribute only the required minimum contribution amount directly to CalPERS for retirees (\$133 per month in 2018). CalPERS requires that the remaining premium costs be deducted directly from the retiree's monthly retirement check under the CalPERS pension plan. Once CalPERS takes this deduction, Alameda CTC's HRA will reimburse each retiree for the deduction, up to the annually determined amount. The HRA contribution amount recommended for 2018 is \$1,594 per retiree per month (\$1,727 HealthNet SmartCare (the CalPERS' median rated HMO plan for 2018) Employee +1 Rate, less \$133 PEMHCA-required minimum contribution). Similar to active employees, if a retiree's elected health coverage costs exceed the amount approved by the Commission, the retiree will be required to pay for the additional amount from his or her own funds.

Fiscal Impact: Approval of staff's recommendation will not have a significant fiscal impact on the budget. Total Salaries and benefits for all functions generally accounts for about 1% of overall operating and capital budgeted expenditures for the agency in a fiscal year.

Attachments

- A. FY2018-19 Staff Classifications and Annual Salary Ranges for Alameda CTC Effective July 1, 2018
- B. Resolution No. 17-006 Fiscal Year 2018-2019 Salaries and Calendar Year 2018 Benefits for Staff Members

Staff Contact

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

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**Alameda County Transportation Commission
Job Classifications**

5.3A

Job Classification	FLSA¹	Grade
Executive Director	E	68
<u>Programming and Projects Team</u>		
Deputy Executive Director of Projects and Programming	E	63
<u>Projects Section</u>		
Director of Project Delivery	E	55
Senior Transportation Engineer	E	39
Associate Transportation Engineer	E	33
Assistant Transportation Engineer	N	29
<u>Programming Section</u>		
Director of Programming and Project Controls	E	51
Senior Program Analyst	E	32
Associate Program Analyst	E	26
Assistant Program Analyst	N	22
<u>Express Lane Operations Section</u>		
Director of Express Lane Operations	E	51
Senior Transportation Engineer	E	39
Associate Transportation Engineer	E	33
Assistant Transportation Engineer	N	29
<u>Planning and Policy Team</u>		
Deputy Executive Director of Planning and Policy	E	63
Director of Planning	E	51
<u>Planning Section</u>		
Principal Transportation Planner	E	40
Senior Transportation Planner	E	34
Associate Transportation Planner	E	28
Assistant Transportation Planner	N	24
<u>Programs Section</u>		
Senior Program Analyst	E	32
Associate Program Analyst	E	26
Assistant Program Analyst	N	22
<u>Policy Section</u>		
Director of Government Affairs and Communications	E	46
Senior Administrative Analyst	E	32
Associate Administrative Analyst	E	26
Assistant Administrative Analyst	N	22
<u>Finance and Administration Team</u>		
Deputy Executive Director of Finance and Administration	E	63
<u>Accounting Section</u>		
Director of Finance	E	48
Accounting Manager	E	40
Senior Accountant	E	28
Accountant	N	22
Accounting Technician	N	15
Director of Budgets and Administration	E	48
<u>Contracting and Budgets Section</u>		
Senior Administrative Analyst	E	32
Associate Administrative Analyst	E	26
Assistant Administrative Analyst	N	22
<u>Administration Section</u>		
Clerk of the Board/Commission	N	32
Executive Assistant	N	20
Senior Administrative Assistant	N	16
Administrative Assistant	N	12

¹ Fair Labor Standards Act (E-Exempt; N-Non-exempt)

**Alameda County Transportation Commission
Monthly Salary Range Schedule
Effective July 1, 2018**

Salary Range	Monthly Salary Range		
	Min	Mid	Max
1	\$ 3,657	\$ 4,206	\$ 4,755
2	3,749	4,311	4,874
3	3,843	4,419	4,995
4	3,939	4,530	5,120
5	4,037	4,643	5,248
6	4,138	4,759	5,380
7	4,242	4,878	5,514
8	4,348	5,000	5,652
9	4,456	5,125	5,793
10	4,568	5,253	5,938
11	4,682	5,384	6,086
12	4,799	5,519	6,239
13	4,919	5,657	6,395
14	5,042	5,798	6,554
15	5,168	5,943	6,718
16	5,297	6,092	6,886
17	5,430	6,244	7,058
18	5,565	6,400	7,235
19	5,704	6,560	7,416
20	5,847	6,724	7,601
21	5,993	6,892	7,791
22	6,143	7,064	7,986
23	6,297	7,241	8,186
24	6,454	7,422	8,390
25	6,615	7,608	8,600
26	6,781	7,798	8,815
27	6,950	7,993	9,035
28	7,124	8,193	9,261
29	7,302	8,397	9,493
30	7,485	8,607	9,730
31	7,672	8,823	9,973
32	7,864	9,043	10,223
33	8,060	9,269	10,478
34	8,262	9,501	10,740
35	8,468	9,738	11,009

Salary Range	Monthly Salary Range		
	Min	Mid	Max
36	\$ 8,680	\$ 9,982	\$ 11,284
37	8,897	10,231	11,566
38	9,119	10,487	11,855
39	9,347	10,749	12,152
40	9,581	11,018	12,455
41	9,821	11,294	12,767
42	10,066	11,576	13,086
43	10,318	11,865	13,413
44	10,576	12,162	13,748
45	10,840	12,466	14,092
46	11,111	12,778	14,444
47	11,389	13,097	14,805
48	11,674	13,425	15,176
49	11,965	13,760	15,555
50	12,265	14,104	15,944
51	12,571	14,457	16,342
52	12,885	14,818	16,751
53	13,208	15,189	17,170
54	13,538	15,568	17,599
55	13,876	15,958	18,039
56	14,223	16,357	18,490
57	14,579	16,765	18,952
58	14,943	17,185	19,426
59	15,317	17,614	19,912
60	15,700	18,055	20,410
61	16,092	18,506	20,920
62	16,494	18,969	21,443
63	16,907	19,443	21,979
64	17,329	19,929	22,528
65	17,763	20,427	23,092
66	18,207	20,938	23,669
67	18,662	21,461	24,261
68	19,128	21,998	24,867
69	19,607	22,548	25,489
70	20,097	23,111	26,126

**Alameda County Transportation Commission
Annual Salary Range Schedule
Effective July 1, 2018**

Salary Range	Annual Salary Range		
	Min	Mid	Max
1	\$ 43,890	\$ 50,473	\$ 57,057
2	44,987	51,735	58,483
3	46,112	53,028	59,945
4	47,264	54,354	61,444
5	48,446	55,713	62,980
6	49,657	57,106	64,554
7	50,899	58,533	66,168
8	52,171	59,997	67,822
9	53,475	61,497	69,518
10	54,812	63,034	71,256
11	56,183	64,610	73,037
12	57,587	66,225	74,863
13	59,027	67,881	76,735
14	60,502	69,578	78,653
15	62,015	71,317	80,620
16	63,565	73,100	82,635
17	65,155	74,928	84,701
18	66,783	76,801	86,818
19	68,453	78,721	88,989
20	70,164	80,689	91,214
21	71,918	82,706	93,494
22	73,716	84,774	95,831
23	75,559	86,893	98,227
24	77,448	89,066	100,683
25	79,385	91,292	103,200
26	81,369	93,574	105,780
27	83,403	95,914	108,424
28	85,488	98,312	111,135
29	87,626	100,769	113,913
30	89,816	103,289	116,761
31	92,062	105,871	119,680
32	94,363	108,518	122,672
33	96,722	111,231	125,739
34	99,140	114,011	128,882
35	101,619	116,862	132,105

Salary Range	Annual Salary Range		
	Min	Mid	Max
36	\$ 104,159	\$ 119,783	\$ 135,407
37	106,763	122,778	138,792
38	109,432	125,847	142,262
39	112,168	128,993	145,819
40	114,972	132,218	149,464
41	117,847	135,524	153,201
42	120,793	138,912	157,031
43	123,813	142,385	160,957
44	126,908	145,944	164,980
45	130,081	149,593	169,105
46	133,333	153,333	173,333
47	136,666	157,166	177,666
48	140,083	161,095	182,108
49	143,585	165,123	186,660
50	147,174	169,251	191,327
51	150,854	173,482	196,110
52	154,625	177,819	201,013
53	158,491	182,264	206,038
54	162,453	186,821	211,189
55	166,514	191,492	216,469
56	170,677	196,279	221,880
57	174,944	201,186	227,427
58	179,318	206,215	233,113
59	183,801	211,371	238,941
60	188,396	216,655	244,914
61	193,106	222,071	251,037
62	197,933	227,623	257,313
63	202,882	233,314	263,746
64	207,954	239,147	270,340
65	213,152	245,125	277,098
66	218,481	251,253	284,026
67	223,943	257,535	291,126
68	229,542	263,973	298,404
69	235,280	270,573	305,865
70	241,162	277,337	313,511

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ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION 17-006

**Fiscal Year 2018-2019 Salaries and
Calendar Year 2018 Benefits for Staff Members**

Commission Chair
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Commission Vice Chair
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Alameda County
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Mayor Jerry Thome

City of San Leandro
Mayor Pauline Cutter

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

WHEREAS, Alameda County Transportation Commission, hereinafter referred to as Alameda CTC, was created pursuant to a joint powers agreement ("Joint Powers Agreement") entered into among the 14 cities in Alameda County, the County of Alameda, the Bay Area Rapid Transportation District, the Alameda-Contra Costa Transit District, the Alameda County Transportation Improvement Authority ("ACTIA"), and the Alameda County Congestion Management Agency ("ACCMA");

WHEREAS, Alameda CTC is empowered by the Joint Powers Agreement to carry out numerous transportation planning, programming and construction functions and responsibilities, including all functions and powers of ACTIA and ACCMA;

WHEREAS, Alameda CTC is authorized under Sections 11 and 13 of the Joint Powers Agreement to appoint and retain staff as necessary to fulfill its powers, duties and responsibilities;

WHEREAS, Alameda CTC previously adopted Resolution 16-009, thereby establishing a consistent set of benefits and leave policies, and this Resolution is intended to supersede and replace such Resolution 16-009; and

NOW, THEREFORE, BE IT RESOLVED that Alameda CTC staff salaries ranges for July 1, 2018 through June 30, 2019 and employment benefits for January 1, 2018 through December 31, 2018, are hereby adopted, and are herein set forth.

1. Salaries

- 1.1 The fiscal year 2018-2019 salary ranges have increased by 3.00 percent over the salary ranges approved for the prior fiscal year to reflect the change in the Consumer Price Index for all Urban Consumers (CPI-U) for San Francisco-Oakland-San Jose, CA during calendar year 2016 (the last full year of data available from the Bureau of Labor Statistics) as approved by the Commission in March 2017.
- 1.2 An employee shall be compensated at a rate set between or equal to the minimum (min) and maximum (max) of the range specified in Attachment A for their respective position classification.

- 1.3 The duties and responsibilities of the position classification identified in Paragraph 1.2 above shall be described in an Alameda CTC job specification approved by the Executive Director.
- 1.4 The salary ranges for the employees described in Paragraph 1.2 shall not include steps and/or provision for any automatic or tenure-based increases.
- 1.5 Starting compensation, including salary, for new employees shall be set by the Executive Director consistent with the prescribed salary ranges for the position classification identified in Paragraph 1.2.

2. Appointment and Performance Management

- 2.1 Original appointments of new employees shall be tentative and subject to a probationary period of one (1) year of actual service.
 - 2.1.1 Every six (6) months during the probationary period new employees may meet with their supervisor to discuss performance to date. At the time of the discussion the supervisor may complete a written evaluation for the employee's personnel records.
 - 2.1.2 Upon completion of the probationary period, the employee shall be given a written evaluation. If this evaluation shows that the employee has satisfactorily demonstrated the qualifications for the position, the employee shall gain regular status, and shall be so informed.
 - 2.1.3 At any time during the probationary period, a probationary employee may be terminated with or without cause and with or without notice. Employee shall be notified in writing by the Executive Director of such termination.
 - 2.1.4 The probationary period may be extended once by the Executive Director at his/her sole discretion in order to further evaluate the performance of the probationary employee.
 - 2.1.5 The probationary period is automatically extended by a period of time equal to the time the employee is absent due to any type of leave, including time absent while receiving workers' compensation.
- 2.2 Following successful completion of the probationary period, written performance reviews for employees shall be conducted at least once a year by the employee's supervisor and reviewed and approved by the Executive Director or his/her designee. In addition, a review of an employee's progress in meeting annual goals and objectives may be conducted at the end of six months by the employee and his or her supervisor.
- 2.3 On the basis of the performance reviews, increases or decreases in compensation may be granted at that time by the Executive Director at his/her sole discretion consistent with the Board approved annual budget.

3. Holidays

- 3.1 The following eleven (11) paid holidays shall be observed by Alameda CTC:
 - New Year's Day - January 1, 2018, Monday
 - Martin Luther King Day - January 15, 2018, Monday
 - Presidents' Day - February 19, 2018, Monday
 - Memorial Day - May 28, 2018, Monday
 - Independence Day - July 4, 2018, Wednesday
 - Labor Day - September 3, 2018, Monday
 - Veterans Day - November 12, 2018, Monday

- Thanksgiving Day - November 22, 2018, Thursday
- Day after Thanksgiving - November 23, 2018, Friday
- Day before Christmas Day - December 24, 2018, Monday
- Christmas Day - December 25, 2018, Tuesday

- 3.2 **Holiday Policy.** When a holiday falls on a Sunday, the following Monday shall be observed as the holiday date. When a holiday falls on a Saturday, the preceding Friday shall be observed.
- 3.3 **Floating Holidays.** Regular full-time employees are entitled to two (2) floating holidays per fiscal year. Employees shall be granted such holidays at the beginning of each fiscal year (i.e., effective on July 1 of each year). Floating Holidays are not accruable and those unused at the end of the fiscal year will be eliminated from the employee's available leave bank.
- 3.4 **Holiday Time.** Regular full-time employees shall receive eight (8) hours of holiday pay for each of the above holidays at their regular base rate. Regular part-time employees shall receive paid holiday time prorated based on actual hours worked should their regular work schedule fall on one of the above listed holidays.
- 3.5 **Administrative Procedure.** The Executive Director shall establish holiday procedures governing employees of Alameda CTC.

4. Leaves of Absence

4.1 Vacation

- 4.1.1 **Accrual Rates.** Alameda CTC shall provide vacation leave with pay for regular employees (including probationary employees) based on accrual guidelines shown in the table below. Vacation leave earned shall accrue upon completion of each pay period beginning upon completion of the pay period following that in which the employee commences service.

Accrual Rates Based on Years of Service:

Years of Service	Vacation Days Accrued Per Year	Maximum Hours Accrued Per Year
0-3 Years	10 Days	120 Hours
3.1-10 Years	15 Days	240 Hours
10.1-15 Years	20 Days	320 Hours
15.1+ Years	25 Days	400 Hours

Part-time employees shall earn vacation leave on a pro rata basis based on actual hours worked. The maximum accrual will also be prorated.

- 3.1.2 **Maximum Vacation Benefits.** Once an employee reaches the maximum accrual, the employee will cease accruing any additional vacation leave until such time as vacation leave hours fall below the maximum.
- 3.1.3 **Payment of Vacation upon Separation.** Accrued vacation pay that has not been used will be paid at the time of resignation or termination. An employee terminating employment with Alameda CTC for reasons other than paid retirement from Alameda CTC shall be paid at such employee's current rate of pay for all unused accrued vacation up to the maximum amount of permissible accumulated vacation time as set forth above, in one (1) lump sum less applicable taxes. An employee separating from

service with Alameda CTC for paid retirement will be paid at the employee's current rate of pay for vacation up to the ceiling amount as set forth above, in one lump sum less applicable taxes. At the Executive Director's discretion, Alameda CTC may allow an employee separating from service with Alameda CTC for paid retirement to elect to take time off for vacation prior to the employee's date of retirement.

3.2 **Management Leave.** Regular full-time exempt employees may receive paid management leave of up to 80 hours per year at the sole discretion of the Executive Director. The leave is intended to compensate exempt employees who are required to attend work-related meetings outside of normal working hours. The amount of leave will be determined by the Executive Director based on each employee's function and the number of off hour meetings he/she is required to attend. No employee shall be eligible to accrue more than the amount of their annual Management Leave. Use of Management Leave shall be at the discretion of the Executive Director.

3.3 **Sick Leave.** Regular employees (including probationary employees) shall receive sick leave, accumulating at the rate of one day per calendar month up to four hundred eighty (480) hours (prorated for part-time employees based on actual hours worked). Up to sixty (60) days of accrued but unused sick leave may be used toward service credit for CalPERS retirement benefits. Sick leave is available only for the actual illness or injury of an employee or the employee's spouse, registered domestic partner, children, parents, or other dependents.

In compliance with the City of Oakland's Measure FF, temporary employees are eligible to utilize accrued sick leave 90 days after their first day of employment. Sick leave will accumulate at the rate of one hour for every 30 hours worked up to 72 hours and can be used for actual illness, injury, preventive care and other purposes as defined in Measure FF of an employee or covered family member.

3.4 **Family and Medical Leave.** Alameda CTC may grant regular employees (including probationary employees) up to twelve (12) workweeks of time off in a 12-month period (whether paid or unpaid) for the employee's own serious health condition or that of the employee's immediate family member, i.e., child, parent, spouse, or registered domestic partner, or for baby/child bonding after the birth, adoption, or foster care placement of an employee's child.

Employees may exhaust any accrued vacation time and/or sick leave (if the leave is due to the employee's own serious health condition or to care for the serious health condition of an immediate family member as described above) while on unpaid leave. Employees taking family/medical leave due to the birth of a child to that employee's spouse or registered domestic partner, or the adoption or foster placement of a child, or to care for such child, may utilize accrued sick leave and/or vacation time during such leave. Such use of accrued vacation time and/or sick leave is the only pay such employee will receive from Alameda CTC while on family/medical leave.

4.5 **Leave Due to Pregnancy, Child Birth or Related Conditions.** Alameda CTC shall comply with California's Pregnancy Disability Leave Law. Employees may, but are not required to, utilize accrued vacation and sick leave during any pregnancy leave so as to receive pay during some or all such leave.

- 4.6 **Military Leave.** Military leave shall be granted in accordance with federal and state law.
- 4.7 **Bereavement Leave.** In the event of a death in the immediate family of a regular full-time employee, paid leave not chargeable to sick or vacation leave will be granted for a period up to three (3) consecutive scheduled work days for the purpose of making arrangements for, or to attend, the funeral. Employees shall receive one (1) day to attend a funeral for a friend or relative outside their immediate family. Immediate family is defined as spouse, registered domestic partner, child, sister, brother, mother, father, legal guardian, any other person sharing the relationship of in loco parentis, legal dependent, current mother- or father-in-law, grandparents, or grandchildren.
- 4.8 **Jury and Witness Duty Leave.** All regular full-time employees will be granted a leave of absence with pay for all or any part of the time required for jury duty in the manner prescribed by law. The employee must return to work on the same day he or she is excused from service. The employee shall be paid the difference between his/her full salary and any payment received for such duty, except travel pay. All regular full-time employees will be granted a leave of absence with pay for their appearance as a witness in a civil or criminal proceeding (other than as an accused) for any appearance that is solely attributable to the employee's work for Alameda CTC.
- 4.9 **Administrative Procedure.** The Executive Director shall establish specific guidelines and procedures to implement all of the leave policies.

5. **Health Insurance and Other Benefits**

- 5.1 **Cafeteria Plan.** Alameda CTC provides a Cafeteria Plan for its eligible employees, into which Alameda CTC will pay \$2,431 per month per employee. This amount is in addition to the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum required contribution of \$133. With these funds, each participating employee is able to choose the following coverage:
- Health Insurance (through the State of California's Public Employees' Retirement System (CalPERS));
 - Dental Insurance;
 - Vision Care Insurance;
 - Life Insurance;
 - Dependent Life Insurance;
 - Accidental Death and Dismemberment Insurance;
 - Long-term Disability Insurance; and
 - Short-term Disability Insurance.

When an employee is required to work on a less than full-time basis due to medical or other valid reasons, the accrual for the cafeteria plan contribution amount may be prorated by dividing the actual hours worked plus any accrued sick/vacation hours used during the pay period, by the fulltime equivalent hours in the same pay period.

Regular full-time employees who elect not to use the CalPERS health care benefit and can prove alternate coverage shall receive \$400 per month which will be

paid with each paycheck (\$200 per pay-period) and is subject to all applicable payroll taxes.

Regular part-time employees will receive a prorated amount of the monthly contribution based on actual hours worked.

6. Additional Benefits Programs

6.1 **Transit Subsidy.** All regular full-time employees of Alameda CTC are eligible for the federally approved transit benefit for 2018 (elected to be received by the employee).

6.2 **Tuition Assistance.** Following completion of their probationary period, regular full-time employees are eligible for reimbursement of 90% of tuition fees for job-related courses, subject to budget availability up to \$500 per academic year at an accredited institution each fiscal year, at the sole discretion of the Executive Director.

6. **Other benefits.** Alameda CTC will also provide: (1) A Flexible Spending Account (FSA) program which will be administered through the cafeteria plan for both dependent care expense up to \$5,000 per calendar year and medical expenses up to \$2,650 per calendar year consistent with the new IRS limit for 2018. To participate in and receive benefits in the form of reimbursements for dependent and/or medical care expenses from the FSA, an employee can elect to pay his or her contribution for FSA benefits on a pre-tax salary reduction basis; and, (2) an optional deferred compensation program, CalPERS 457 Supplemental Income Plan.

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

8. **Retirement.** All employees of Alameda CTC shall be entitled to membership with the California Public Employees' Retirement System (CalPERS) according to the guidelines established in the CalPERS Retirement Benefits Policy and the applicable contract with CalPERS. Alameda CTC shall contribute to CalPERS each pay period 5% of the 8% employee contribution on behalf of all "Classic" employees (Classic employees are those hired before January 1, 2013). Such contribution shall be reported to CalPERS as "employee contribution being made by the contracting agency" and shall not be deemed to be "compensation" reportable to CalPERS. This same benefit is not provided for new employees hired on or after January 1, 2013 per the requirements of the Public Employees' Pension Reform Act of 2013 (AB340).

9. **Reimbursement of Expenses.** Alameda CTC will reimburse employees of the Agency for reasonable and normal expenses associated with Alameda CTC business approved by the Executive Director or his designee. An employee may be offered a fixed taxable monthly allowance in lieu of actual expenses, which may be adjusted annually by the Executive Director.

10. **Office Hours.** The offices of Alameda CTC shall be open to the public between 8:00 a.m. and 5:00 p.m. each weekday, except on Alameda CTC holidays as defined in Paragraph 2.1. Employees are required to be at Alameda CTC's offices during business hours Monday through Friday.
11. All provisions of this Resolution shall be effective and pertain to all employees of Alameda CTC as of the date of hire of the employee, or January 1, 2018, whichever is later, unless otherwise provided.
12. The Executive Director is authorized to execute the necessary contracts for the benefits and insurance coverage described herein.
13. This resolution is intended to and shall replace and supersede in its entirety that certain Resolution 16-009 adopted by the Commission on December 1, 2016.

Duly passed and adopted by the Alameda CTC at the regular meeting of the Commission held on Thursday, December 7, 2017, in Oakland, California by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

Rebecca Kaplan, Chairperson

Vanessa Lee, Clerk of the Commission

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Memorandum

5.4

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

DATE: November 6, 2017

SUBJECT: Alameda CTC Local Business Contract Equity (LBCE) Program

RECOMMENDATION: Approve Administrative Updates to the Alameda CTC Local Business Contract Equity Program

Summary

The recommended administrative updates to the Local Business Contract Equity (LBCE) Program (Program) are intended to strengthen the program and expand local and small-local business participation by streamlining and enhancing processes, conforming to best practices, aligning the LBCE Program with the standards of partners and other public agencies, and ensuring compliance with applicable federal, state and local statutes and Alameda CTC policies.

Background

The LBCE Program, which originally began in 1995 during the time of the 1986 Measure B program had a goal of ensuring participation by local firms as well as minority- and women-owned businesses. It was modified over the years to reflect changes in statutes and court rulings associated with contract equity issues at both the state and federal levels. The current version of the LBCE Program was first adopted in January 2008, after an extensive public process addressing the concerns of the public and the Alameda County Transportation Authority (ACTA) and Alameda County Transportation Improvement Authority (ACTIA) boards at the time. After the merger of the predecessor agencies and formation of Alameda CTC, the current version of the program was adopted again formally by the Commission in October 2013, with the same purpose and goals of encouraging businesses of all sizes to locate and remain in Alameda County and to spend their funds for goods and services within Alameda County.

Proposed Updates

Approval of the LBCE Program administrative updates shall accomplish the following objectives:

- **Update LBCE Program Language to incorporate Alameda CTC and additional Funding Sources:** The LBCE Program language is developed nearly ten years ago

and requires clean-up and clarifying modifications, such as: removing references to ACTA and ACTIA; ensuring consistency with the Alameda CTC Procurement Policy adopted in October 2013; and incorporating LBCE Program applicability to 2010 Measure F Vehicle Registration Fees (VRF) and 2014 Measure BB sales tax funds.

- **Maintain Collaborative Partner Agency Process and Standards:** As a member of the East Bay Interagency Alliance (EBIA), Alameda CTC works in cooperation with Alameda County, the City of Oakland, and the Port of Oakland in certifying Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), and Very Small Local Business Enterprise (VLSBE) firms. This administrative update will allow Alameda CTC to be better aligned with partner agency programs, as well as with Small Business programs at public agencies within California which will make the certification process less confusing and streamlined for interested firms.
- **Support Small Local and Very Small Local Businesses:** Alameda CTC contracts subject to the LBCE Program will be maintained and enhanced by implementing U.S. Small Business Administration (SBA) size standards for SLBEs and adding a specific goal for VSLBEs. This update continues the strong commitment to contract with businesses in Alameda County, to attract and retain local businesses, employ residents of Alameda County, and spend funds on goods and services within Alameda County.

To accomplish the stated objectives, Alameda CTC surveyed and reviewed a number of small and local business programs currently in place at EBIA partners and other public agencies within California, as well as consulted with legal counsel. Key recommended changes to the LBCE Program include:

- **Policy Enhancements**

- Replace references to ACTA and ACTIA with Alameda CTC;
- Include references to current VRF and Measure BB Transportation Expenditure Plans;
- Enhance the applicability of the program by including VRF- and Measure BB-funded contracts;
- Ensure the LBCE Program is applicable to all contracts administered by Alameda CTC and Sponsor Agency-administered capital projects; and
- Exclude contracts with state and/or federal funding in order to comply with state and federal contracting requirements.

- **Program Implementation Adjustments**

- Add a 30% VSLBE goal on professional services contracts, consistent with the Federal Highway Administration and California Department of Transportation

guidelines for Commercially Useful Function (CUF), the California Department of General Services microbusiness standard, and the City of Oakland's VSLBE requirement;

- Allow a Sponsor Agency to use its board adopted local business program;
- Adjust minimum residency requirement for certification from one year to six months, consistent with certification standards of Alameda County, the City of Oakland, and San Francisco County Transportation Authority;
- Adjust business income thresholds for SLBE certification based on SBA size standards for principle business activity code, in alignment with Alameda County, the Port of Oakland, and the State of California;
- Adjust business income thresholds for VSLBE certification from \$2 million to \$3.5 million in alignment with Very Small Business Enterprise certification with the Port of Oakland and microbusiness certification with the State of California; and
- Include a simplified Recertification Process consistent across all EBIA partners.

Fiscal Impact: There is no fiscal impact.

Attachment

- A. Alameda CTC Local Business Contract Equity Program Policy

Staff Contact

[Seung Cho](#), Director of Budgets and Administration

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ALAMEDA COUNTY TRANSPORTATION COMMISSION

LOCAL BUSINESS CONTRACT EQUITY PROGRAM

Adopted **Month DD, YYYY**

DRAFT

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SECTION I. POLICY

A. Policy Statement

The Alameda County Transportation Commission (Alameda CTC) has established this Local Business Contract Equity (LBCE) Program to create economic growth and jobs within Alameda County by requiring local contracting that supports residents and businesses in Alameda County. The LBCE Program helps to identify and engage the participation of Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE) and Very Small Local Business Enterprise (VSLBE) firms located in Alameda County on applicable contracts as specified in **Section I.C** (Applicability).

Further, the LBCE Program contributes to the overall economic vitality of the County by:

1. Encouraging businesses to locate and remain in Alameda County;
2. Providing employment opportunities for residents of Alameda County; and
3. Generating economic activity and stimulating the local economy.

B. Background

The Alameda County Transportation Authority (ACTA) adopted a Local Business and Minority/Woman-Owned Business Enterprise Construction Program in 1995 as part of the first Measure B program. The initial goal of the program was to ensure participation of local firms as well as minority- and women-owned businesses. Over the years, the program evolved to reflect changes in statutes and court rulings associated with contract equity issues at both the state and federal levels.

In 2000 and 2001, ACTA formally adopted an LBE/SLBE Program with the specific purpose of encouraging businesses of all sizes to locate and remain in Alameda County, employ County residents, and spend Measure B funds for goods and services within Alameda County.

In 2007, ACTA and the Alameda County Transportation Improvement Authority (ACTIA), the agency created to administer the 2000 Measure B sales tax, jointly adopted a Local Business Contract Equity Program as a replacement for the earlier LBE/SLBE Program, extending its application to VSLBE firms and incorporating other policy changes designed to improve and facilitate implementation of the program.

In July 2010, Alameda CTC was created by the merger of the Alameda County Congestion Management Agency (ACCMA) and ACTIA, to streamline operations, eliminate redundancies, and save taxpayers' dollars. Alameda CTC is responsible for administering the sales tax Expenditure Plans, including contract oversight, policy direction, financing, investment management, and coordination of projects with regional transit and transportation agencies and other project sponsors, as required.

In November 2010, Alameda County voters approved the Measure F Alameda County Vehicle Registration Fee (VRF) program. The goal of the VRF program is to sustain the county's transportation network and reduce traffic congestion and vehicle-related pollution.

In November 2014, Alameda County voters approved Measure BB, augmenting and extending the existing transportation sales tax to fund implementation of a 30-year Transportation Expenditure Plan through 2045.

The funds produced by Measure B, Measure BB and the VRF provide significant dollars in transportation-related contracts for Alameda County-based firms. It is Alameda CTC's objective to identify and include qualified Alameda County-based businesses in the purchases of goods and

services required by the Alameda CTC and its Sponsor Agencies for area-wide transportation capital projects, local streets and roads, mass transit projects, bicycle and pedestrian safety, special transportation for seniors and people with disabilities, and other programs included in the Transportation Expenditure Plans.

C. Applicability

This LBCE Program applies to contracts in excess of \$25,000, in accordance with both **Paragraphs 1 and 2** below:

1. **Fund Source.** This LBCE Program applies to contracts which are funded either:
 - a. Solely by VRF, Measure B and/or Measure BB funds, or
 - b. In part by VRF, Measure B, and/or Measure BB funds in combination with other local funds.

The LBCE Program does not apply to contracts that include state and/or federal funds.

2. **Contract Type.** This LBCE Program applies to contracts which are either:
 - a. Administered by Alameda CTC, or
 - b. Related to, or in support of, a Sponsor Agency-administered capital project.

The applicable goals are specified in **Section II.A** (LBE, SLBE and VSLBE Goals and Participation).

This LBCE Program is intended to be consistent with the Alameda CTC's Procurement Policy, which may be updated and approved by the Commission as necessary.

This LBCE Program is neutral as to race, religion, color, ethnicity, national origin, age, sex, physical handicap, sexual orientation, and any other characteristic protected by law.

SECTION II. PROGRAM IMPLEMENTATION

A. LBE, SLBE and VSLBE Goals and Participation

An LBE, SLBE or VSLBE contract goal is a percentage of the total contract amount that is expected to be performed by the firms with the corresponding certification. LBE, SLBE, and VSLBE firms must be certified prior to submission of any bid or proposal to be counted towards meeting the applicable LBE, SLBE, and/or VSLBE goals.

1. Summary of Goals

TABLE 1: SUMMARY OF GOALS

Type of Contract	LBE	SLBE ¹	VSLBE ²
Contract over \$75,000			
Construction	60.0%	20.0%	N/A
Professional Services	70.0%	30.0%	N/A
Contract between \$25,000 and \$75,000			
Construction	N/A	N/A	N/A
Professional Services	N/A	N/A	30.0%
1. <i>SLBE participation also counts toward fulfilling the LBE goal.</i>			
2. <i>VSLBE participation also counts toward fulfilling the LBE and SLBE goals.</i>			

2. Applicable Credits for Contract Award

During the selection process for contract award of professional services contracts, the ability to meet or exceed LBE, SLBE and/or VSLBE goals shall yield applicable credits as follows:

- LBE and SLBE Goals: Five percent (5.0%) of the total evaluation points for each goal, for a total of ten percent (10.0%).
- VSLBE Goal: Twenty percent (20.0%) of the total evaluation points.

3. LBE Goals

The LBE goals for contracts over \$75,000 are as follows:

- Sixty percent (60.0%) on construction contracts, and
- Seventy percent (70.0%) on professional services contracts.

Participation of businesses that are certified as LBE, SLBE, or VSLBE count toward fulfilling a LBE contract goal.

The LBE goal for construction contracts can be met through the participation of certified prime and/or subcontractor(s). A bidder that fails to meet the LBE goal on a construction contract shall not be awarded the contract unless the Good Faith Efforts (GFE) requirements are met (see **Appendix C**).

The LBE goal for professional services contracts can be met through the participation of certified prime and/or subcontractor(s). A proposer that fails to meet the LBE goal shall not receive the applicable credit of five percent (5.0%) of the total evaluation points during the selection process.

4. SLBE Goals

The SLBE goals for contracts over \$75,000 are as follows:

- Twenty percent (20.0%) on all construction contracts, and
- Thirty percent (30.0%) on all professional services contracts.

Participation of businesses that are certified as SLBE or VSLBE count toward fulfilling a SLBE contract goal.

The SLBE goal for construction contracts can be met through the participation of certified prime and/or subcontractor(s). A bidder that fails to meet the SLBE goal on a construction contract shall not be awarded the contract unless the GFE requirements are met (see **Appendix C**).

The SLBE goal for professional services contracts can be met through the participation of certified prime and/or subcontractor(s). A proposer that fails to meet the SLBE goal shall not receive the applicable credit of five percent (5.0%) of the total evaluation points during the selection process.

5. VSLBE Goal

The VSLBE goal of thirty percent (30.0%) applies to professional services contracts between \$25,000 and \$75,000.

The VSLBE goal can be met through the participation of certified prime and/or subcontractor(s). A proposer that fails to meet the VSLBE goal shall not receive the applicable credit of twenty percent (20.0%) of the total evaluation points during the selection process.

B. Waiver of Goals

In some cases, a request may be made to waive the LBE and/or SLBE goals due to extremely limited subcontracting opportunities for LBE and/or SLBE firms, lack of interested LBE and/or SLBE firms in the geographic area in which work is to be performed, or other reasons. Alameda CTC or the Sponsor Agency may recommend that a contract be advertised without LBE and/or SLBE goals, and such recommendation must be reviewed and approved by the Commission. Before making a recommendation to waive the goals, the following due-diligence steps must be completed:

1. Define the draft scope of work, items of work and estimated value of work items.
2. Review Alameda CTC certification database, and the certification database of partner certifying agencies, for certified businesses that are willing and able to perform the listed items of work.
3. Conduct focused outreach to identify Alameda County businesses, whether certified or eligible for certification, that are willing and able to perform the listed items of work.
4. Post the “Intent to Waive Goals” notice and the description of the draft scope of work and items of work on Alameda CTC’s website at least forty-five (45) calendar days before advertising the contract to allow any LBE, SLBE and/or VSLBE firms to notify Alameda CTC of their interest and ability to perform such work.

If Alameda CTC determines that, after completing the steps listed above, there is an insufficient number of LBE and/or SLBE firms willing and able to perform the items of work, a recommendation shall be submitted to the Commission for permission to advertise without one or both goals. Alameda CTC’s report to the Commission shall contain a detailed description of the steps taken to identify any LBE, SLBE and/or VSLBE firms to perform the items of work.

C. Use of Sponsor Agency Local Business Preference Program

A Sponsor Agency may request to use its own local business preference program in lieu of this LBCE Program if such program has been formally adopted by the Sponsor Agency’s governing body. A Sponsor Agency’s request to use its own local business program must include a copy of the program and evidence of the governing body’s adoption of such program. Substitution of the LBCE Program must be approved in writing by the LBCE Liaison Officer prior to advertisement of the contract.

D. Certification

1. Eligibility

For a business (e.g., non-profit, sole proprietorship, partnership, corporation, or joint venture) to be eligible for certification under this LBCE Program, it must meet or exceed all applicable criteria set forth below:

- **LBE Criteria**

- a. Hold a valid business license issued by Alameda County or a city within Alameda County for at least six (6) months prior to certification date;
- b. Be located and fully operational at a fixed place of business within Alameda County where administrative, clerical, professional, and other productive work is continuously performed relative to its commercial contracts for at least six (6) months prior to the certification date, with two types of evidence of maintaining a working office at such

business address: (1) proof of a prior or current fully executed contract containing such business address, and (2) a lease agreement or proof of ownership of real property for the fixed place of business (a temporary, mobile or virtual office, project work station, telephone answering and/or mail service in an office suite, post office box or address, etc., do not constitute a fixed place of business location);

- c. Have a minimum of one full-time equivalent employee staffing the Alameda County office, if the business has one or more offices located outside of Alameda County;
 - d. Be bona fide with real and continuing business activities and ownership interests which are not created merely for the purpose of meeting the objectives of the LBCE Program; and
 - e. Be economically independent, perform commercially useful functions, and have a customer base (a business acting as a passive conduit rather than contributing a value added or actual portion of the work performed does not qualify for certification).
- **SLBE Criteria**
 - a. Meet all LBE Criteria; and
 - b. Have annual gross revenue, averaged over the most recent three (3) tax years, that does not exceed the current small business size standard for its principal business activity code as established by the U.S. Small Business Administration (SBA) and available on the SBA website.
 - **VSLBE Criteria**
 - a. Meet all SLBE Criteria; and
 - b. Have annual gross revenue, averaged over the most recent three (3) tax years, that does not exceed \$3,500,000.

2. Certification Process

Businesses must submit a valid and complete application, with all required forms and documentation, in accordance with application instructions. Alameda CTC may conduct a site visit before certifying the firm, and at any time during the term of the certification as it may be extended. The application processing period is approximately thirty (30) calendar days from the date a valid and complete application is received by Alameda CTC. Alameda CTC certifications shall be valid for up to two (2) years from the last day of the month in which the certification was granted.

3. Recertification Process

Certifications must be renewed biennially by submitting a valid and complete recertification application, with all required forms and documentation, in accordance with application instructions. If a firm's certification lapses, that firm must follow the Certification Process to again be certified under this LBCE Program.

4. Certification Denial Appeals

A firm that is found to be ineligible for certification under the LBCE Program may make a written appeal within ten (10) calendar days of the notice of determination. Written appeals must be addressed to the LBCE Liaison Officer, and must include any evidence that might refute the original finding. The LBCE Liaison Officer will conduct an investigation, and review all records

used in making the determination, along with the written appeal. The LBCE Liaison Officer will present findings and make a recommendation to the Executive Director for action. The Executive Director will render a final determination within thirty (30) calendar days of receiving the appeal, and such determination shall be final.

5. Status Changes

A firm that no longer meets the certification requirements will be subject to decertification. Changes to eligibility criteria may result in status changes from one certification category to another. Alameda CTC shall inform such firms of any such changes to status or decertification. A certified firm shall promptly notify Alameda CTC in writing of any change in circumstances affecting such firm's ability to meet size, certification status, ownership, or control requirements or any material change in the information provided in its application form.

6. Investigations of Any Challenges to LBE, SLBE, or VSLBE Status

Alameda CTC may investigate any written communications challenging the validity of a certification status of a business. The communication must clearly outline the reason(s), and include any evidence, on which the validity of a certification is questioned. If an investigation determines that a firm was properly certified but is no longer eligible, Alameda CTC will adjust or cancel the certification pursuant to the Status Changes provisions above. Any firm determined to have knowingly made, used, or caused to be made or used a false record, information or statement to secure its status as an LBE, SLBE or VSLBE will be decertified and sanctions will be imposed. Sanctions may include, but are not limited to:

- a. Banning of the business from bidding, working or providing goods and services on all Alameda CTC contracts for a period of three (3) years;
- b. Ineligibility, if applicable, as an LBE, SLBE, and VSLBE for the purposes of all contracts projects, and programs, including subcontracting and joint ventures, under this LBCE Program for a period of three (3) years;
- c. Referral of the matter to legal counsel for determination as to refer complaint to the District Attorney for criminal prosecution; and
- d. Any other penalty available by law or in equity.

Any violations found after awarding a contract will be considered a material breach of contract and Alameda CTC may, at its option, consider the contract null and void; recover any and all damages; and immediately implement penalties. Alameda CTC shall inform such firms, and may advise partner certifying agencies of any status changes, including decertification and debarment.

7. Decertification Appeals

If a firm disputes a certification status change or decertification following an investigation, that firm may appeal the finding by submitting a written appeal within ten (10) calendar days after Alameda CTC's issuance of the notice of the results of the investigation. Written appeals must be addressed to the LBCE Liaison Officer, and must include any evidence that might refute the original finding. The LBCE Liaison Officer will review all records used in making the determination, along with the written appeal. The LBCE Liaison Officer will present findings and make a recommendation to the Executive Director for action. If the Executive Director finds that the status change or decertification was valid, the matter will be presented to the Commission for a final determination, and such determination shall be final. If, however, the Executive Director

finds that the appeal is valid, the Executive Director shall rescind the certification status change or decertification.

E. Status Monitoring and Reporting

1. Measurement

Only the value of the work actually performed by LBE, SLBE and/or VSLBE firms will be counted towards the applicable goals. Alameda CTC will count expenditures to LBE, SLBE and/or VSLBE firms when the firm is performing a Commercially Useful Function on that contract. The entire amount of that portion of a contract that is performed by the LBE, SLBE, and/or VSLBE firm's own workforce will be counted. This includes the cost of equipment, supplies, and materials obtained by the LBE, SLBE and/or VSLBE firms for work on the contract.

Alameda CTC or its Sponsor Agency will evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing, as well as the credit claimed for its performance of the work, and other relevant factors in determining whether a business is performing a Commercially Useful Function.

When a business is presumed to not be performing a Commercially Useful Function, the business may present evidence to rebut this presumption. Alameda CTC or the Sponsor Agency will make the final determination whether the firm is performing a Commercially Useful Function given the type of work involved, normal industry practices, and the evidence presented.

2. Participation Requirements

When a firm loses or changes its certification status after contract award, the participation of such firm shall continue to count toward the goal(s) based on its certification status as reported at the time of the contract award. However, any additional work given to a firm through a contract amendment after it has lost its certification, shall not count towards the applicable goal.

3. Joint Ventures

For joint ventures, Alameda CTC will count the total participation dollar value (participation ratio times the total project cost) of the LBE, SLBE, and/or VSLBE contract(s) equal to the distinct, clearly defined portion of the work of the contract that the LBE, SLBE, and/or VSLBE performs toward the goals. The participation ratio will be based on the average of LBE, SLBE, and/or VSLBE revenue share and the profit share, if different, attributed to the LBE, SLBE, and/or VSLBE. When a joint venture subcontracts part of the work on its contract to another firm, the value of the subcontracted work may be counted toward the LBE, SLBE, and/or VSLBE goal if the subcontractor(s) are certified as such. Work on subcontracts to non-certified firms do not count toward the LBE, SLBE, and/or VSLBE goals.

The dollar amount of the joint venture to be counted towards the goals for LBE, SLBE and/or VSLBE participation, is calculated using the following formula:

$$\begin{array}{l} \text{Dollar value of} \\ \text{joint venture} \\ \text{contract} \end{array} \quad \mathbf{X} \quad \begin{array}{l} \text{Percent of LBE/SLBE/VSLBE joint} \\ \text{venture financial participation in the} \\ \text{contract} \end{array} \quad = \quad \begin{array}{l} \text{Dollar value of joint} \\ \text{venture contract} \\ \text{applicable to goals} \end{array}$$

Whenever a joint venture involves LBE, SLBE, and/or VSLBE firms, the prime contractor shall provide Alameda CTC with the basis for creation of the joint venture, the responsibilities of each of the parties, and a full account of the LBE, SLBE, and/or VSLBE participation of each of the parties. Such joint venture shall ensure that the participating LBE, SLBE, and/or VSLBE have a commensurate share of the profit or loss to be realized from the joint venture. The agreement establishing the joint venture shall be in writing. Alameda CTC shall have the right to review the joint venture agreement and determine if such arrangement is within the requirements and intent of this LBCE Program.

F. Program Compliance

All prime contractors shall take all necessary and reasonable measures to achieve the LBE, SLBE, and/or VSLBE participation commitment established in the contract by the completion of the contract. Any modification to the original participation level shall be approved by Alameda CTC.

Any substitution of LBE, SLBE, and/or VSLBE subcontractor(s) must be approved in writing beforehand by Alameda CTC, or by the Sponsor Agency with written consent from Alameda CTC. If an LBE, SLBE, and/or VSLBE subcontractor is unable to perform successfully, such subcontractor shall be replaced and the Sponsor Agency, or the prime contractor, shall notify Alameda CTC and respectively seek written consent or approval to substitute such subcontractor. Alameda CTC may investigate the circumstances surrounding the request for substitution. The prime contractor shall make its best effort to replace the original LBE, SLBE, or VSLBE with another firm that shall count toward the same participation (e.g., an LBE firm may be substituted by an LBE, SLBE or VSLBE).

Alameda CTC and its Sponsor Agencies shall monitor compliance with the requirements of this LBCE Program during the term of the contract. If Alameda CTC or its Sponsor Agency determines that a prime contractor or subcontractor has failed to comply with the LBCE Program, Alameda CTC or its Sponsor Agency shall notify the contractor to remedy any such failure(s). Alameda CTC may require reports, information, and documentation from prime contractors, subcontractors, bidders, and the Sponsor Agency, as reasonably necessary, to determine compliance with this LBCE Program. Alameda CTC may hold a hearing to evaluate potential non-compliance issues. While the evaluation points for meeting the LBE, SLBE and/or VSLBE goals are applied during the selection process, there is no requirement that any particular goal be met on non-construction contracts. Similarly, participation falling short of the overall goal on construction contracts shall not be considered non-compliant if the bidder made Good Faith Efforts to meet the goals.

G. Program Outreach

Alameda CTC will use the following means to increase LBE, SLBE, and VSLBE participation:

1. Hold periodic workshops to inform businesses of upcoming contract and business networking opportunities.
2. Provide information on contracting processes and specific contract opportunities (e.g., make an effort to ensure: inclusion of LBE, SLBE, and/or VSLBE firms on contracting opportunity mailing lists; dissemination of the list of potential subcontractors to bidders regarding prime contracts; and make information available in languages other than English, as appropriate).
3. To the extent practicable, unbundle large contracts to make them more accessible to small businesses.

4. Encourage prime contractors to subcontract portions of work that they might otherwise perform with their own workforce.
5. Provide assistance to Sponsor Agencies during bid evaluations and with ways to achieve LBCE Program goals.
6. Employ robust contract compliance measures to ensure that prime contractor commitments to LBE, SLBE, and/or VSLBE firms are met.

SECTION III. REPORTING AND OTHER REQUIREMENTS

A. Reporting Requirements

Alameda CTC shall submit an LBCE Utilization Report to the Commission on an annual basis. The report shall include expenditures made by Alameda CTC and its Sponsor Agencies to LBE, SLBE, and VSLBE firms during the reporting period. The expenditures will show award amount and payments to the prime contractors and their respective subcontractors by contract type (e.g., construction contract or professional services contract) and certification status.

The Sponsor Agencies shall provide this information on a semi-annual basis or when requesting reimbursement from Alameda CTC, whichever occurs first, regardless of whether or not such contracts are subject to the LBCE Program goal requirements. The information shall list the total payments made on each active contract during the reporting period, in addition to awards, modifications, and payments to all LBE, SLBE, VSLBE prime and subcontractors at all tiers of the contract.

B. Records Maintenance

The awarding agency (Alameda CTC or its Sponsor Agency) shall maintain accurate records for each contract awarded. The records shall include dollar values, the nature of the goods or services to be provided, the name of the prime contractor to which the contract was awarded, and the effort the prime contractor employed to solicit bids from LBE, SLBE and/or VSLBE firms. In addition, the information shall include all subcontracts awarded by the prime contractor identifying for each subcontractor the dollar value, the nature of the goods or services provided, and the name of the subcontractor.

All prime contractors are required to maintain certain records and documents for a period of five (5) years after Alameda CTC's payment of the final invoice. These records will be made available for inspection upon request by an authorized representative of Alameda CTC and shall include the following:

1. The name and address of each first-tier subcontractor;
2. The name and business address, regardless of tier, of every LBE, SLBE and/or VSLBE subcontractor;
3. The date of payment and the total dollar amount paid to each subcontractor; and
4. The date of work performed by their own workforce along with the corresponding dollar value of the work claimed toward the applicable LBCE goal.

C. Prompt Payment

The prime contractor shall be paid within thirty (30) calendar days of submitting a valid and complete invoice with all required supporting documentation. Accompanying the request for payment, a prime contractor will submit a Payment Request Form summarizing payments due. When paying the prime contractor, Alameda CTC or its Sponsor Agency will include a Payment Request Form that reflects all approved items. Prime contractors shall include an exact copy of this Payment Request Form with each payment to subcontractors.

The prime contractor shall submit acceptable subcontractors' invoices with each Payment Request Form no later than thirty (30) calendar days after receipt of such invoices from its subcontractors.

Alameda CTC or its Sponsor Agency shall ensure that the clause(s) regarding prompt payment will be included in each contract subject to this LBCE Program, per Alameda CTC's Sample Contract Language requirements.

D. Penalties and Sanctions

When a contract subject to this LBCE Program is awarded and Alameda CTC and/or Sponsor Agency has cause to believe that any bidder, prime contractor, or subcontractor has willfully failed to comply with any of the provisions of this LBCE Program, either Alameda CTC or the Sponsor Agency may conduct an investigation. In order to complete its investigation, Alameda CTC or Sponsor Agency may require reports, information and documentation from bidders, prime contractors, subcontractors, and/or the Sponsor Agency, as are reasonably necessary to determine compliance with the requirements of this LBCE Program.

Based on this investigation, if Alameda CTC, or the Sponsor Agency with the advice and consent of Alameda CTC, finds non-compliance, the investigating entity will provide the bidder or prime contractor with written notice that a determination of non-compliance has been made. The recipient of such written notice shall reply within thirty (30) calendar days concerning whether it wishes to file a protest of the determination. Alameda CTC or the Sponsor Agency shall review the protest for at least thirty (30) calendar days, but not more than one hundred twenty (120) calendar days from the date the protest is received. Alameda CTC or the Sponsor Agency may extend the review period for up to thirty (30) calendar days for good cause, consistent with applicable statutes.

The sanctions that may be imposed for each violation of this LBCE Program are as follows:

1. Imposing a fine;
2. Suspending the contract until violation is remedied;
3. Terminating the contract; and
4. Disqualifying the bidder, contractor, subcontractor or other business from eligibility for providing goods or services to Alameda CTC for a period of up to three (3) years.

The Alameda CTC or the Sponsor Agency shall monitor the recipient's implementation of the agreement terms to ensure compliance.

If a bidder, prime contractor or subcontractor disputes a determination of non-compliance or any sanction imposed as a result of such a determination, the bidder, prime contractor or subcontractor may appeal Alameda CTC's or the Sponsor Agency's determination to the Commission. To be considered by the Commission, any such appeal must be submitted in writing to the LBCE Liaison

Officer and must be received within thirty (30) calendar days after issuance of the determination of non-compliance by Alameda CTC or the Sponsor Agency.

E. Program Review

This LBCE Program will be reviewed periodically by Alameda CTC. Alameda CTC may make changes to the LBCE Program as needed to implement the goals and objectives of the LBCE Program. Changes to the LBCE Program shall be submitted to the Commission for approval.

F. Severability

The provisions of this LBCE Program are declared to be separate and severable. The invalidity of any clause, sentence, paragraph, subdivision, section or portion of this LBCE Program, or the invalidity of the application thereof to any person or circumstances shall not affect the validity of the remainder of this LBCE Program, or the validity of its application to other persons or circumstances.

G. Confidentiality

Alameda CTC and its consultants shall safeguard from disclosure to third parties information that may reasonably be regarded as confidential business information, consistent with federal, state, and local law.

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APPENDIX A. DEFINITIONS

The terms used in this LBCE Program are defined in the list below, in alphabetical order.

Alameda County Transportation Commission (Alameda CTC). Alameda CTC is a joint powers agency which plans, funds and delivers a broad spectrum of transportation projects and programs to enhance mobility throughout Alameda County, as the successor to three previous agencies: Alameda County Transportation Authority (ACTA), Alameda County Transportation Improvement Authority (ACTIA), and Alameda County Congestion Management Agency (ACCMA). Alameda CTC is responsible for the administration of voter-approved Measure B and Measure BB sales taxes and other local funds for transportation improvements and the Congestion Management Program in Alameda County.

Awarding Agency. Alameda CTC or a Sponsor Agency responsible for advertising, awarding and administering a contract.

Bid. A quote, proposal, or offer by a contractor to provide labor, material, goods and/or services to Alameda CTC or a Sponsor Agency for a specified price.

Capital Project. A capital project (as differentiated from a program) specifically listed in the Measure B or Measure BB Transportation Expenditure Plans, or an individual project to which the Commission uses its discretion to allocate Measure B, Measure BB or VRF funds to fund any portion of the development or construction of that project. Projects funded through Sponsor Agency's direct local distribution funds are not included.

Certification. The process of granting a status to firms qualified in the LBCE Program through the submission of a completed application. A firm may qualify as an LBE, SLBE, or a VSLBE, which are further defined herein.

Certification List. List of certified LBE, SLBE, and VSLBE firms maintained by Alameda CTC and available to the public on Alameda CTC's website.

Commercially Useful Function. A responsibility of a business for carrying out a piece of contract work by actually performing, managing, and supervising the work involved or providing the materials, equipment, or supplies to Alameda CTC or a Sponsor Agency as required by bid solicitation. To perform a Commercially Useful Function, a business must perform or exercise responsibility for at least thirty percent (30%) of the total cost of its contract with its own workforce, or the business must not subcontract a greater portion of the work than would be expected on the basis of normal industry practice for the type of work involved.

Commission. The governing body of Alameda CTC. The Commission is comprised of 22 members, with the following representation: All five Alameda County Supervisors, two representatives from the City of Oakland, one representative from each of the other 13 incorporated cities in Alameda County, one representative from the Alameda-Contra Costa Transit District, and one representative from the Bay Area Rapid Transit District.

Construction Contract. A legally binding agreement between Alameda CTC or a Sponsor Agency and a duly licensed person or firm to provide labor, materials, and/or equipment for Construction work.

Construction Work. Services performed by a duly licensed person or firm to build or construct structures, roadways, or roadway appurtenances for Alameda CTC or a Sponsor Agency.

Contract. A legally binding agreement obligating a seller to furnish goods or services (including, but not limited to, construction and professional services) and a buyer to pay for the goods or services.

Contractor/Consultant. A person or business entity with a current business license issued by a city or county that undertakes a contract to provide materials or labor to perform services or complete a job.

Fixed Place of Business. A fixed office, place, site, structure, or other similar facility, through which an individual or firm engages in a trade or business. For this purpose a fixed place of business shall include, but not be limited to, a designated office space; a factory; a store or sales outlet; or a workshop. A firm shall not be considered to have a fixed place of business merely because such individual or firm uses another person's office or fixed place of business, if such trade or business activities are relatively sporadic or infrequent, taking into account what is normal industry practice for that trade or business.

Good Faith Efforts (GFE). The steps set forth in Appendix C of this LBCE Program undertaken to comply with the goals and requirements imposed by Alameda CTC for participation of LBE and SLBE firms as a subcontractor on construction contracts.

GFE Points. The evaluation methodology employed on a construction bid to determine if a business meets the LBE or SLBE goals or made an acceptable effort towards attaining the goals established.

Joint Venture. An association of two or more individuals or entities for the purpose of engaging in a specific business enterprise for profit.

Local Business Contract Equity (LBCE) Liaison Officer. Alameda CTC's LBCE Liaison Officer is the agency representative primarily responsible for implementing all aspects of the LBCE Program.

Local Business Enterprise (LBE). An Alameda County business that meets LBE Criteria and is certified by the Alameda CTC.

LBE Goal. The targeted percentage of participation by LBE firms, as established by Alameda CTC, for contracts which are awarded by Alameda CTC and/or its Sponsor Agencies which are subject to this LBCE Program.

Measure B. The local initiatives approved by the voters of Alameda County in 1986 and 2000 to levy a one-half (1/2) cent sales and use tax on purchases within the County in order to finance certain transportation-related projects and programs as set forth in the Transportation Expenditure Plans that supported the measures which are incorporated by reference into this LBCE Program. The measures authorized the creation of Alameda CTC's predecessor agencies to administer the

implementation of Measure B. A copy of both Measure B documents, including the Transportation Expenditure Plans, are available at Alameda CTC's office and on its website.

Measure BB. The local initiative approved by Alameda County voters on November 4, 2014, to levy a one-half (1/2) cent sales and use tax through March 31, 2022 and thereafter a one cent sales and use tax through March 31, 2045 on purchases within the County to finance certain capital transportation projects and programs as set forth in the 2014 Transportation Expenditure Plan which outlines essential transportation improvements in every city throughout Alameda County and is incorporated by reference into this LBCE Program. A copy of Measure BB documents, including the Transportation Expenditure Plan, are available at Alameda CTC's office and on its website.

North American Industry Classification System (NAICS). The standardized system that classifies business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. economy. The NAICS industry codes define establishments based on the activities in which they are primarily engaged.

Participation. Instance in which a prime contractor utilizes one or more LBE, SLBE, and/or VSLBE firms to meet Alameda CTC's LBE and SLBE subcontracting requirements. Prime contractors may count towards its subcontracting goals only those expenditures to LBE, SLBE, and VSLBE firms that perform a Commercially Useful Function.

Partner Certifying Agencies. Alameda County certifying agencies which work cooperatively with Alameda CTC in its efforts to certify Alameda County businesses under the LBCE Program.

Prime Contractor/Prime Consultant. Any person(s), firm, partnership, corporation, or joint venture who submits a bid or proposal and/or enters into a contract with Alameda CTC or a Sponsor Agency to provide goods and/or perform construction or professional services. Prime contractors shall perform at least thirty percent (30.0%) of construction work or professional services on a contract.

Principal Business Activity Code. A code designed to classify an enterprise by the type of activity in which it is engaged to facilitate the administration of the Internal Revenue Code. The principal business activity codes are based on the North American Industry Classification System.

Professional Services. Labor, materials, or equipment for professional services including, but not limited to, architects, engineering and construction-related services.

Small Local Business Enterprise (SLBE). An LBE with annual gross revenues, averaged over the most recent three (3) tax years, that does not exceed the U.S. Small Business Administration (SBA) small business size standard for its principal business activity.

SLBE Goal. The targeted percentage of participation by SLBE firms, as established by Alameda CTC, for contracts awarded by Alameda CTC and/or its Sponsor Agencies which are subject to this LBCE Program.

Sponsor Agency. Any public entity receiving Measure B, Measure BB, VRF, and/or other local funds from Alameda CTC to implement projects. Please refer to Appendix B for Responsibilities of Sponsor Agencies.

Subcontractor/Subconsultant. Any individual, partnership, corporation, firm, or other legal entity entering into a contract with a prime contractor to perform a portion of the construction work or professional services under a contract with Alameda CTC or a Sponsor Agency, including but not limited to truckers, manufacturers, suppliers of goods and/or services, and owner-operators of equipment.

U.S. Small Business Administration (SBA) Small Business Size Standard. A small business size standard determined by the U.S. SBA that represents the largest the gross revenues of a business (including its subsidiaries and affiliates) may be and still remain classified as a small business. SBA has established a Table of Small Business Size Standards which is matched to the North American Industry Classification System (NAICS) for industries.

Vehicle Registration Fee (VRF). Alameda County VRF Program that was approved by the voters in November 2010. The fee generates revenues through a \$10 per year vehicle registration fee.

Very Small Business Local Enterprise (VSLBE). An SLBE with annual gross revenue, averaged over the most recent three (3) tax years, which does not exceed \$3,500,000.

VSLBE Goal. The targeted percentage of participation by VSLBE firms, as established by Alameda CTC, for contracts awarded by Alameda CTC and/or its Sponsor Agencies which are subject to this LBCE Program.

APPENDIX B. RESPONSIBILITIES OF SPONSOR AGENCIES

Sponsor Agencies' responsibilities for contracts that are subject to the LBCE Program are as follows:

1. Advertise, award and administer any professional services or construction contract on capital projects not performed by the Sponsor Agency's own forces.
2. Include required provisions verbatim in the procurement document and subsequent contract for professional service and construction contracts (see Alameda CTC's Sample Contract Language for sample language and requirements).
3. Invite Alameda CTC staff and/or consultants to participate as a voting member in the selection of professional consultants and furnish copies of the procurement documents (e.g., Request for Proposals and Invitation for Bids) and contracts to Alameda CTC for review prior to approval by the Sponsor Agency on contracts utilizing Alameda CTC funds.
4. Advertise, award, and administer the construction and utility relocation contracts for Capital Projects in accordance with the applicable requirements of the Local Agency Public Construction Act and the California Labor Code, including its prevailing wage provisions. The Sponsor Agency shall obtain applicable wage rates from the California Department of Industrial Relations and shall adhere to the applicable provisions of the California Labor Code. Violations shall be reported to the California Department of Industrial Relations.
5. Comply with Alameda CTC's LBCE Program when selecting all professional consultants and construction contractors, unless the Sponsor Agency has received approval from Alameda CTC for the Waiver of Goals provisions or for the use of the Sponsor Agency's own local business program.
6. Utilize applicable credits for evaluation when selecting all vendors on phases of the Capital Projects for non-construction contracts. In the event that LBE or SLBE goals are not met on construction projects, Sponsor Agency will require contractors and vendors to make GFE using the process set forth in this LBCE Program. In the event that LBE or SLBE goals are not met on professional services contracts, Sponsor Agency will ensure that evaluation criteria will be applied as set forth in this LBCE Program.
7. Work with Alameda CTC to achieve Alameda CTC's objectives and clarify the required participation goals in the specific agreement in the event that the Sponsor Agency is bound by other mandated contract participation requirements.
8. On capital projects where the Sponsor Agency hires a consultant to administer a phase of the work funded by Alameda CTC, the Sponsor Agency will provide Alameda CTC with a list of prime contractors and subcontractors showing tasks and dollar values, and Progress Reports by project phase, when requesting reimbursement or on a semi-annual basis, whichever comes first. These reports shall describe the following: current status of the capital project; actions and eligible costs expended or incurred since the last report; actions expected to be taken during the next month; an updated schedule with estimated completion timeframe; scope changes; capital project related issues; any unexpected legal, environmental, engineering or construction difficulties; notices of potential claim; business enterprise participation from prime contractors and first-tier subcontractors; and any additional relevant information requested by Alameda CTC.

APPENDIX C. GOOD FAITH EFFORTS FOR CONSTRUCTION CONTRACTS

It is Alameda CTC's intent and policy to fulfill its goals for LBE and SLBE participation. If a bidder fails to meet the LBE or SLBE goals, Alameda CTC must determine whether the bidder made GFE to meet the LBE and SLBE goals. Efforts that are merely pro forma shall not be deemed GFE. Documentation of the contractor's GFE shall be submitted within four (4) calendar days of bid opening if the bidder does not meet the LBE and/or SLBE goals.

A. Good Faith Efforts Criteria

The prime contractor's GFE to reach out to LBE, SLBE and VSLBE firms shall be determined by the level of effort put into achieving the eight (8) measures outlined below. Failure to meet LBE and SLBE goals will not by itself be the basis for disqualification or determination of non-compliance with the LBCE Program. However, failure to include supporting documentation of a GFE and failure to achieve 70 out of 100 GFE evaluation points will render the bid non-responsive and will result in its rejection. A prime contractor shall certify, in its bid documents, which of the following actions it took in order to establish that it made a reasonable GFE to meet Alameda CTC's LBE and SLBE goals:

1. Attend pre-bid meetings scheduled by Alameda CTC or its Sponsor Agency to inform all bidders of the LBCE Program requirements for the project for which the contract will be awarded. Alameda CTC must have a record of the prime contractor's signature on the attendance sheet. **GFE Points = 5**
2. Identify specific items of work to be performed by LBE, SLBE and VSLBE firms in order to increase the likelihood of meeting the LBE and SLBE Goals. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate LBE and SLBE participation. **GFE Points = 15**
3. Advertise, not less than ten (10) business days before the date the bids are opened, in one or more local daily or weekly newspapers, trade association publications, trade oriented publications, trade journals, or other appropriate media to solicit LBE, SLBE, and/or VSLBE firms that are interested in participating in the project. **GFE Points = 10**
4. Provide written notice of interest in bidding LBE, SLBE and VSLBE firms. Written notice shall specify which items of work the prime contractor has identified pursuant to Item 2 above. This notice shall be provided to LBE, SLBE and VSLBE firms within five (5) calendar days after the pre-bid meeting. **GFE Points = 15**
5. Follow-up on the written notice of interest by contacting the owner or other manager of the LBE, SLBE and VSLBE firms to determine whether the enterprises were interested in performing specific items of the project. The prime contractor is required to document the follow-up activities and provide written documentation (including copies of all communications) stating the date and method of contact and the reason for not using the subcontractor. **GFE Points = 20**
6. Make the project plans, specifications, and requirements for the selected work items available for review by interested LBE, SLBE and VSLBE firms. The prime contractor is required to provide a list of all LBE, SLBE and VSLBE firms to whom the project information was made available, method of contact, and copies of notifications. **GFE Points = 5**

7. Where needed, advise and make an effort to assist interested LBE, SLBE, and/or VSLBE firms in obtaining lines of credit, or required insurance. **GFE Points = 5**
8. Negotiate in good faith with LBE, SLBE, and/or VSLBE subcontractors. The prime contractor shall provide evidence that negotiations with LBE, SLBE and/or VSLBE firms were completed in good faith by documenting and providing names, addresses, telephone numbers, and email addresses of LBE, SLBE and VSLBE firms that were considered. To the extent that the prime contractor negotiated with the LBE, SLBE and VSLBE firms and did not select them for the work, the prime contractor shall provide written documentation for rejecting LBE, SLBE, and/or VSLBE bids. **GFE Points = 25**

B. Good Faith Efforts Review

The GFE Evaluation Process consists of a two-tiered review process:

1. **Interdisciplinary Review Team:** The initial review/analysis of the GFE documents will be performed by Alameda CTC staff. This initial report will be presented to the Interdisciplinary Review Team (IRT), nominated by the Executive Director, which determines if a GFE was demonstrated. A written evaluation report will be submitted to all bidders, stating whether the apparent low bidder has complied with the GFE requirements. To protest the IRT decision, a bidder has five (5) business days from the date of the written evaluation report to file a written objection. In the event a hearing is deemed appropriate by the Executive Director, all bidders shall be given at least five (5) business days' notice of the hearing. The IRT shall make its findings within ten (10) business days after the hearing. The IRT's decision may be appealed by the bidder or other interested parties, as defined in the bid document.
2. **GFE Review Committee:** Review of a decision of the IRT that is appealed will be conducted by a GFE Review Committee (Committee), which will be comprised of two (2) Commission members and an outside independent appointee. The two (2) Commission members will be appointed by the Chair of the Commission. The outside independent appointee will be retained by the Alameda CTC's Executive Director. The Committee shall hold a hearing in Alameda County. All subcontractors listed on the Good Faith Efforts Report and all bidders and their subcontractors that participated in the bidding process will be given at least ten (10) business days' notice of the hearing. The Committee will review evidence at the hearing and other factors relevant to the case to determine whether the apparent low bidder made GFE to meet the LBE and SLBE goals. The Committee shall review and keep confidential any information revealing a prime contractor's proprietary interests and shall exclude the public from the hearing for that limited purpose. The Committee shall give all bidders and all subcontractors participating in bids on the project an opportunity to present evidence relating to the apparent low bidder's GFE to meet the LBE and SLBE goals. The Committee makes a final determination as to whether a GFE was demonstrated. Alameda CTC or Sponsor Agency will rely on the decision of the Committee, and Alameda CTC will hold the Sponsor Agency harmless for implementing the decision of the Committee.

**APPENDIX D.
RESPONSIBILITIES OF LBCE LIAISON OFFICER**

Alameda CTC's LBCE Liaison Officer is responsible for implementing all aspects of the LBCE Program. The LBCE Liaison Officer has direct, independent access to the Executive Director of Alameda CTC concerning LBCE Program matters. The LBCE Liaison Officer may be assisted by staff and Alameda CTC consultants as necessary.

The specific duties and responsibilities of the LBCE Liaison Officer under this LBCE Program shall include, but not be limited to, the following:

1. Analyze and assess the available resources and evidence to establish and achieve overall annual program goals each year;
2. Develop, monitor and evaluate the LBCE Program, and prepare supplemental written procedures and guidelines to implement the LBCE Program;
3. Maintain and update the LBCE Program Certification List;
4. Oversee measures to facilitate the participation of local and small business concerns through outreach and other community programs, training and business development programs, restructuring contracting opportunities, and simplifying bonding, surety and insurance requirements;
5. Oversee the contract bid and award process, review contract specifications, ensure the staffing of pre-bid conferences to provide LBCE Program information and participate in the process of evaluating bids for contractor responsiveness, responsibility and GFE;
6. Monitor specific contract performance, payments, and actual participation;
7. Monitor overall participation, adjust the overall goals and means of achievement, assess areas of over-concentration of participation, identify ways to improve progress and reporting to Alameda CTC, as needed;
8. Refer LBE, SLBE and VSLBE firms to resources that provide technical assistance;
9. Oversee outreach to LBE, SLBE and VSLBE firms and community organizations to advise them of opportunities; and
10. Maintain all appropriate records and documentation of the LBCE Program, including gathering and reporting statistical data.



Memorandum

5.5

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DATE: November 6, 2017

SUBJECT: Professional Services Contracts Plan – Annual Update

RECOMMENDATION: Approve the Professional Services Contracts Plan.

Summary

Alameda CTC contracts for certain professional services in areas where factors such as cost, work volume, or the degree of specialization required would not justify the use of permanent in-house staff, including, but not limited to, services such as general and special counsel, planning development support, media and public relations, technical outreach and support, projects and programs management, and administrative support services. Involvement of the private sector continues to be critical to the success of Alameda CTC and its work in delivering high quality transportation programs and projects in Alameda County.

Approval of the staff recommendation will:

- A. Authorize the Executive Director to exercise the optional years included in the original contract and/or extend a contract, enter into negotiations and execute professional services contract amendments with existing consultant firms for the following services:
 1. Contract Equity Support Services;
 2. Financial Advisory Services;
 3. General Counsel Services;
 4. Information Technology Services;
 5. Media and Public Relations Services;
 6. Operations Management and Support Services;
 7. Paratransit Coordination Services; and
 8. Project Control and Funding/Financial Management Services.

- B. Authorize the Executive Director to issue Requests for Qualifications (RFQs) and/or Requests for Proposals (RFPs), enter into negotiations, and execute professional services contracts with the top-ranked firms for the following types of services:
 1. Administration Support and Creative Services;
 2. Investment Advisory Services;
 3. State and Federal Legislative Advocacy Services.

Background

Alameda CTC contracts with a number of consultant firms to support and supplement staff resources to administer and deliver its projects and programs. Each year, staff outlines the proposed action plan for the following fiscal year and seeks authorization from the Commission to continue and/or modify existing contracts or initiate a competitive bid process to consider new firms to provide specific services. The initial term of these professional services contracts are typically one to three years in length, with the option to renew for additional years of services for a term totaling five years. This practice of seeking the Commission's approval of its fiscal year professional services contracts plan is intended to ensure high performance from quality consultants and continued accountability from Alameda CTC staff.

The background and recommendations for each of the professional services contracts are discussed below and summarized in Table 1 (Attachment 5.5A).

A. Contract Execution

1. **Contract Equity Support Services** – L. Luster & Associates, Inc. (LLA)

Contract equity support services include coordination and administration of Alameda CTC's Local Business Contract Equity (LBCE) Program, including: processing of Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), and Very Small Local Business Enterprise (VSLBE) certifications; assistance with determining contract-specific contract equity goals; providing independent review of contract payment data for compliance with the LBCE Program; contract outreach and monitoring services; and as-needed technical support. LLA, an Alameda CTC-certified VSLBE firm with offices in Oakland, California, was awarded a contract in 2016 through a competitive bid process to provide these services. The current fiscal year budget for this contract is \$250,000.

Staff recommends authorization to exercise the three-year option in the contract through June 30, 2021, enter into negotiations and execute a professional services contract amendment with L. Luster & Associates, Inc. for contract equity support services.

2. **Financial Advisory Services** – The PFM Group (PFM)

Financial advisory services include analysis, consultation and support of financial and other related matters associated with advancing projects and programs as outlined in the Comprehensive Investment Plan (CIP), as well as assistance in obtaining ratings from various rating agencies such as Standard and Poor's and Fitch. On April 3, 2017, Fitch Ratings affirmed the 'AAA' rating of the Alameda County Transportation Commission's Series 2014 sales tax revenue bonds (limited tax bonds) of approximately \$137.1 million, which were sold in March 2014 to fund voter-approved transportation projects. The bonds have a scheduled final maturity date of March 1, 2022. Arbitrage calculations required on these sales tax revenue bonds have been calculated under this financial advisory services contract annually since inception. The current financial advisor, PFM, was awarded a contract in 2012 through a competitive bid process to provide these services. Under the Alameda CTC Procurement Policy, contracts, excluding construction-related contracts, are generally limited to a maximum period of five years. However, to ensure continuity of arbitrage calculation providers throughout the life of the bonds, staff is requesting authorization to extend the term by five years from January 1, 2018 to January 1, 2023. The current fiscal year budget for this contract is \$50,000.

Staff recommends authorization to enter into negotiations and execute a professional services contract amendment with PFM for financial advisory services for up to five additional years through January 1, 2023.

3. **Legal Counsel Services** – Wendel, Rosen, Black & Dean, LLP (Wendel Rosen) and Meyers Nave Riback Silver & Wilson, PLC (Meyers Nave)

Legal counsel services for Alameda CTC include representation at Committee and Commission meetings, review of contracts and agreements, as well as other general legal matters. It also includes highly specialized legal services such as counseling on personnel-related matters and providing legal representation on ongoing condemnation and eminent domain proceedings, right-of-way activities and other project-related matters. Wendel Rosen and Meyers Nave are Alameda CTC-certified LBE firms with offices in Oakland, California, and were awarded contracts in 2017 through a competitive bid process to provide these services. The current fiscal year budgets for Wendel Rosen and Meyers Nave are \$550,000 and \$300,000, respectively.

Staff recommends authorization to exercise the four-year option in the contracts through June 30, 2022, enter into negotiations and execute professional services contract amendments with Wendel Rosen and Meyers Nave for legal counsel services.

4. Information Technology Services – Novani, LLC (Novani)

Information technology (IT) services include remote network hosting and management of the local area network, upgrade and maintenance of the central servers, workstations/virtual desktops and phone systems, implementation of the agency's remote disaster recovery plan, helpdesk support, and on-call IT support services. Novani was awarded a contract in 2016 through a competitive bid process to provide these services. The current fiscal year budget for this contract is \$256,750.

Staff recommends authorization to exercise the three-year option in the contract through June 30, 2021, enter into negotiations and execute a professional services contract amendment with Novani for IT services.

5. Media and Public Relations Services – Circlepoint

Media and public relations services include communications and public relations, preparation of press and other public materials, assistance at public meetings and events, web development and support, and support for agency communications and outreach needs. Circlepoint, an Alameda CTC-certified LBE firm with offices in Oakland, California, was awarded a contract in 2016 through a competitive bid process to provide these services. The current fiscal year budget for this contract is \$370,576.

Staff recommends authorization to exercise the first one-year option in the contract through June 30, 2019, enter into negotiations and execute a professional services contract amendment with Circlepoint for media and public relations services.

6. Operations Management and Support Services – VSCE, Inc. (VSCE)

Operations management and support services include activities related to supporting the operations and maintenance of Alameda CTC's express lanes program, such as incident management, maintenance monitoring, and analytic and technical transportation reporting for the I-580 Express Lanes and Sunol I-680 Southbound Express Lane during all hours of revenue operations. VSCE, an Alameda CTC-certified SLBE firm with offices in Oakland, California, was awarded a contract in 2016 through a competitive bid process to provide these services. The current fiscal year budget for this contract is \$350,000.

Staff recommends authorization to exercise the three-year option in the contract through June 30, 2021, enter into negotiations and execute a professional services contract amendment with VSCE for operations management and support services.

7. **Paratransit Coordination Services** – Nelson\Nygaard Consulting Associates, Inc. (Nelson\Nygaard)

Paratransit coordination services include meeting facilitation and coordination; coordination of local, regional, state and federal grant funding; coordination of Alameda CTC's Mobility Management Planning Program; outreach services; and technical support. Nelson\Nygaard was awarded a contract in 2016 through a competitive bid process to provide these services. The current fiscal year budget for this contract is \$292,910.

Staff recommends authorization to exercise the three-year option in the contract through June 30, 2021, enter into negotiations and execute a professional services contract amendment with Nelson/Nygaard Consulting Associates for paratransit coordination services.

8. **Project Control and Funding/Financial Management Services** – VSCE

Project control and funding/financial management services include, but are not limited to, project controls and monitoring of all projects, project risk assessment and reporting, strategic planning and implementation of the sales tax programs, programming and grant management, and other related project support activities. VSCE was awarded a contract in 2016 through a competitive bid process to provide these services. The current fiscal year budget for this contract is \$829,500.

Staff recommends authorization to exercise the first one-year option in the contract through June 30, 2019, enter into negotiations and execute a professional services contract amendment with VSCE for project control and funding/financial management services.

B. Contract Procurement and Execution

1. **Administration and Creative Support Services**

Alameda CTC intends to retain a professional services consultant firm or firms to provide support services for administrative related activities for Alameda CTC's planning, programming, and project delivery efforts, which include public meeting and facility coordination assistance, and general administrative support services covering accounting, graphic design and production, and document controls services. Acumen Building Enterprise, Inc., an Alameda CTC-certified SLBE firm with offices in Oakland, California, was awarded a contract in 2013 through a competitive bid process.

Staff recommends issuance of RFQ/RFPs for administration and creative support services and authorization to enter into negotiations and execute professional services contracts with the top-ranked firm(s) for services commencing as early as spring 2018.

2. Investment Advisory Services

Alameda CTC's current investment advisor manages the agency's portfolio in excess of \$280 million including bond funds in compliance with Alameda CTC's adopted investment policy and the California Government Code or the bond indenture when applicable. The balance of the agency's portfolio is managed internally in more liquid investment types to address the liquidity needs of the agency including the Local Agency Investment Fund (LAIF), California Asset Management Program (CAMP), or are held in the bank. Investment advisor fees are generally charged incrementally based on the balance of funds managed in the portfolio which currently range from three to six basis points. SunTrust Bank (SunTrust) was awarded a contract in 2013 through a competitive bid process; in 2014, this contract was subsequently assigned to GenSpring Family Offices, LLC, a registered investment adviser and SunTrust affiliate.

Staff recommends issuance of an RFP for investment advisory services and authorization to enter into negotiations and execute a professional services contract with the top-ranked firm(s) for services commencing July 1, 2018.

3. State and Federal Legislative Advocacy Services

State and federal legislative advocacy services include providing monthly updates to the Commission and staff on policy and legislative actions at the state and federal level and access to legislators and their staff when necessary to support implementation efforts for Alameda CTC's capital projects and programs. Platinum Advisors, LLC and CJ Lake, LLC were awarded contracts in 2013 through competitive bid processes to provide state legislative advocacy services and federal legislative advocacy services, respectively.

Staff recommends issuance of RFPs for state and federal legislative advisory services and authorization to enter into negotiations and execute professional services contracts with the top-ranked firm(s) for services commencing July 1, 2018.

Fiscal Impact: The fiscal impact for contracts that are executed or procured as a result of approving this item will be included in the FY 2017-18 mid-year budget update and draft FY 2018-19 budget, which are scheduled to go to the Commission for approval, respectively, in March 2018 and May 2018.

Attachment

A. Table 1 – Summary of Professional Services Contracts Plan

Staff Contacts

[Seung Cho](#), Director of Budgets and Administration

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

Attachment A: TABLE 1 – SUMMARY OF PROFESSIONAL SERVICES CONTRACTS PLAN

Services	Current Firm	Approved Budget FY2017-18	Last RFP Issuance	Recommended Action
Contract Equity Support Services	L. Luster & Associates, Inc.	\$250,000	2016	Exercise 3-Year Option
Financial Advisory Services	The PFM Group	\$50,000	2012	5-Year Renewal
Legal Counsel Services	Wendel, Rosen, Black & Dean, LLP	\$550,000	2017	Exercise 4-Year Option
Legal Counsel Services	Meyers, Nave, Riback, Silver & Wilson, PLC	\$300,000	2017	Exercise 4-Year Option
Information Technology Services	Novani, LLC	\$256,750	2016	Exercise 3-Year Option
Media and Public Relations Services	Circlepoint	\$370,576	2016	Exercise 1-Year Option
Operations Management and Support Services	VSCE, Inc.	\$350,000	2016	Exercise 3-Year Option
Paratransit Coordination Services	Nelson\Nygaard Consulting Associates	\$292,910	2016	Exercise 3-Year Option
Project Control and Funding/Financial Management Services	VSCE, Inc.	\$829,500	2016	Exercise 1-Year Option
Administration Support and Creative Services	Acumen Building Enterprise, Inc.	\$1,700,000	2013	Issue RFQ/RFP
Investment Advisory Services	GenSpring Family Offices	\$111,000	2013	Issue RFP
Legislative Advocacy Services - Federal	CJ Lake, LLC	\$63,000	2013	Issue RFP
Legislative Advocacy Services - State	Platinum Advisors, LLC	\$60,000	2013	Issue RFP

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