



# Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

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

**Executive Director**  
Arthur L. Dao

## Programs and Projects Committee

**Monday, June 9, 2014, 12:00 p.m.**  
**1111 Broadway, Suite 800**  
**Oakland, CA 94607**

### Mission Statement

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

### Public Comments

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

### Recording of Public Meetings

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

### Reminder

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

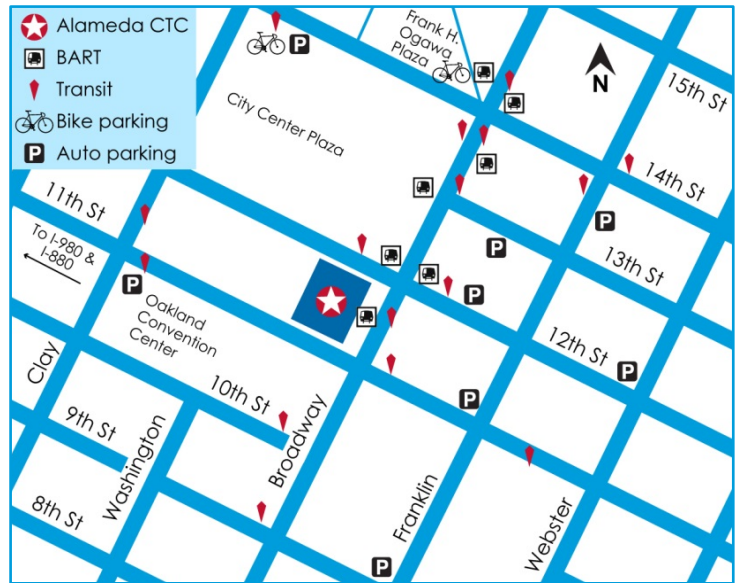
### Glossary of Acronyms

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

## Location Map

★ Alameda CTC  
1111 Broadway, Suite 800  
Oakland, CA 94607

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



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

## Accessibility

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



## Meeting Schedule

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

## Paperless Policy

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

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# Programs and Projects Committee Meeting Agenda Monday, June 9, 2014, 12 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607

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## 1. Pledge of Allegiance

## 2. Roll Call

## 3. Public Comment

**Chair:** Vice Mayor Larry Reid, City of Oakland

**Vice Chair:** Mayor Bill Harrison, City of Fremont

**Commissioners:** Ruth Atkin, Laurie Capitelli, Carol Dutra-Vernaci, Luis Freitas, Nate Miley

**Ex-Officio Members:** Scott Haggerty, Rebecca Kaplan

**Executive Director:** Arthur L. Dao

**Clerk:** Vanessa Lee

## 4. Consent Calendar

Page A/I

### 4.1. [May 12, 2014 PPC Meeting Minutes](#)

1 A

Recommendation: Approve the May 12, 2014 meeting minutes.

### 4.2. [California Transportation Commission May 2014 Meeting Summary](#)

5 I

## 5. Programs

### 5.1. [FY 2012-2013 Measure B and Vehicle Registration Fee Program Compliance Reports](#)

9 A

Recommendation: Approve FY 2012-2013 Measure B and Vehicle Registration Fee Program Compliance Reports and the exemption requests from the Timely Use of Funds Policy.

### 5.2. [FY 2014-15 Measure B Paratransit Program and Overview](#)

73 A

Recommendation: Approve FY 2014-15 Measure B Paratransit Program

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

95 A

Recommendation: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/ Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) At Risk monitoring reports dated May 31, 2014.

### 5.4. [Transportation Fund for Clean Air \(TFCA\) FY 2014-15 Program](#)

121 I

## 6. Projects

### 6.1. [State Route 84 Widening - Pigeon Pass to I-680 Project \(PN 780.0\): Preliminary Design and Environmental Studies](#)

125 A

Recommendation: 1) Authorize the release of a Request for Proposal (RFP) for Preliminary Design and Environmental Studies, and 2) Authorize the Executive Director, or a designee of the Executive Director, to negotiate and execute a Professional

Services Agreement for Preliminary Design and Environmental Studies

- 6.2. [I-680 Southbound Express Lane \(PN 950.0\) – Contract Amendments to the Professional Services Agreements with Novani LLC \(Agreement No. A09-028\), Electronic Transaction Consultants Corporation \(Agreement No. A08-001\) and CDM Smith \(Agreement No. A04-007\)](#) 127 A

Recommendation: Approve and authorize the Executive Director to execute amendments for the following Professional Services Agreements in support of the Operations and Maintenance of the I-680 Southbound Express Lane: 1) Amendment No. 5 to Agreement No. A09-028 with Novani, LLC for a not-to-exceed amount of \$75,000 and a one-year time extension; 2) Amendment No. 2 to Agreement No. A08-001 with Electronic Transaction Consultants Corporation for a not-to-exceed amount of \$800,000 and a one-year time extension, with the option to extend for one additional year for a not-to-exceed amount of \$1,000,000, subject to I-680 Sunol Smart Carpool Lane Joint Powers Authority approval of FY 2015-16 Operating Budget; and 3) Amendment No. 9 to Agreement No. A04-007 with CDM Smith for a one year time extension.

- 6.3. Transportation Expenditure Plan (TEP) Update (Verbal) I

**7. Closed Session**

- 7.1. Pursuant to California Government Code section 54956.9 (c) Conference with General Counsel regarding anticipated litigation related to proposed acquisition of real property interests necessary for Route 84 Expressway - South Segment Project (PN 624.2) – Six (6) Items

- 7.2. Report on Closed Session I

**8. Committee Member Reports (Verbal)** I

**9. Staff Reports (Verbal)**

**10. Adjournment**

**Next Meeting:** July 14, 2014

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





# Programs and Projects Committee Meeting Minutes Monday, May 12, 2014, 12 p.m.

4.1

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## 1. Pledge of Allegiance

## 2. Roll Call

The Clerk conducted a roll call. All members were present.

Commissioner Nate Miley arrived during item 6.5.

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

## 3. Public Comment

There were no public comments.

## 4. Consent Calendar

### 4.1. April 14, 2014 PPC Meeting Minutes

*Commissioner Kaplan moved to approve the Consent Calendar. Commissioner Freitas seconded the motion. The motion passed unanimously (Miley absent).*

## 5. Programs

### 5.1. AC Transit Bus Rapid Transit Funding

Matt Todd recommended that the Commission approve Resolution 14-007 regarding a revised funding plan for the project. He provided a revised staff report in the committee handout folder which stated that the total project cost is \$178 million. Matt stated that AC Transit has identified a funding need for \$26 million to complete the project. Alameda CTC staff worked with AC Transit and MTC staff to identify funding from RM2 funds, transit initiative funds and AB664 Net bridge toll funds to provide a full funding plan that allows AC Transit to deliver the EBBRT project. He concluded that the Resolution identifies the plan to provide funding for the substituted projects and specified that the Alameda CTC will receive reports on the EBBRT project and specifically for an evaluation of the funding package at the time of the construction contract award.

Commissioner Dutra-Vernaci wanted more detail on the scope of the project. David Armijjo, General Manager for AC Transit stated that the project will realign the street structure and improve the bus routes through San Leandro and Oakland.

Commissioner Capitelli moved to approve this item. Commissioner Dutra-Vernanci seconded the motion. The motion passed unanimously (*Miley absent*).

## 6. Projects

### 6.1. FY2014-15 Measure B Capital Program Strategic Plan Update

Raj Murthy recommended that the Commission (1) confirm the Measure B funding commitments and allocations to the specific individual capital projects included in the 1986 and 2000 Measure B Capital Programs, (2) confirm previously approved advances, exchanges and loans as presented herein, (3) approve the Allocation Plans for the 1986 and 2000 Measure B Capital Programs as presented herein and (4) confirm the debt service obligation from the 2000 Measure B Capital Fund related to the recent issuance of bonds. Raj stated that the FY14-15 Strategic Plan Update will provide a road map for proceeding with the delivery of the remainder of both Measure B funded capital programs with a focus on providing committed funding to the capital projects at the time they are needed to reimburse eligible project expenditures incurred by the implementing agencies.

*Commissioner Capitelli moved to approve this item. Commissioner Dutra-Vernaci seconded the motion. The motion passed unanimously (Miley absent).*

### 6.2. I-580 Eastbound and Westbound Express Lane Projects (PN:720.4/724.1):

#### **Amendment No. 3 to the Professional Services Agreements with URS Corporation (Agreement No A08-0018 and A11-0024)**

Gary Sidhu recommended that the Commission approve and authorize the Executive Director to execute amendments for the Professional Services Agreements (A08-0018 and A11-0024) with URS Corporation in the amount of \$40,000 and \$900,000, respectively, for the I-580 Eastbound and Westbound Express Lane Projects. He stated that both the east and westbound segments are going to construction but there have been significant changes to the project design which require the amendment. The amendment extends the contract to June 30, 2016.

*Commissioner Freitas moved to approve this item. Commissioner Capitelli seconded the motion. The motion passed unanimously (Miley absent).*

### 6.3. East Bay SMART Corridors Project (PN 945.0) – Amendment No. 2 to the contract with Aegis ITS, Inc. (Agreement No. A12-0028)

Raj recommended that the Commission approve and authorize the Executive Director to execute an amendment to the Agreement with Aegis ITS Inc. for 1) an additional not-to-exceed budget of \$350,000, 2) extend the contract term to September 30, 2015 and 3) include in the agreement an option to extend the contract term for one additional year with an agreement value not to exceed \$350,000 for the additional year. Raj stated that the amendment will extend the contract term to September 30, 2015 and provide additional funding for the balance of the term extension. It will also provide the option to extend the contract term for one additional year to continue to maintain the ATMS field elements and to provide the Alameda CTC Express Lane Program with

emergency on-call repair service.

*Commissioner Atkin moved to approve this item. Commissioner Dutra-Vernaci seconded the motion. The motion passed unanimously (Miley, Reid absent).*

**6.4. Webster Street SMART Corridor Project (PN 740.0): Amendment No. 4 to the Professional Services Agreement with TJKM Transportation Consultants, Inc. (Agreement No. A09-006)**

Connie Fremier recommended that the Commission approve and authorize the Executive Director to execute an amendment to the existing Professional Services Agreement A09-006 with TJKM Transportation Consultants, Inc. for an additional not-to-exceed budget of \$15,000 for design support and system integration services during construction and for a six month time extension. She stated that the amendment is for an additional amount of \$15,000 and a six month time extension which will allow TJKM Transportation Consultants, Inc. to provide continued design support and system integration services.

*Commissioner Freitas moved to approve this item. Commissioner Kaplan seconded the motion. The motion passed unanimously (Miley and Reid absent)*

**6.5. East Bay Greenway Project (PN 635.1): Agreements for Additional Project Funding and Increases to Contract Budgets as Required to Complete Construction of the Project.**

Connie Fremier recommended that the Commission approve and authorize the Executive Director to (1) execute the necessary amendments and/or agreements with East Bay Regional Park District to provide additional funding in the amount of \$300,000 and (2) execute amendments to the construction, construction management, and design support contracts up to the additional funding amount and for additional time as required by the project schedule. She stated that the increase of \$300,000 will be required to fund the construction capital and support costs.

Commissioner Haggerty wanted to know who owned the title to the land. Connie stated that the property is owned by BART and the city of Oakland.

*Commissioner Kaplan moved to approve this item. Commissioner Dutra-vernaci seconded the motion. The motion passed unanimously (Reid absent).*

**6.6. Transportation Expenditure Plan (TEP) Update**

Tess Lengyel provided an update on the Transportation Expenditure Plan (TEP). She stated that there were 12 approvals on the TEP at the city council level. Tess also presented the seven individual TEP outreach pieces and fact sheets that are

available for the public. She stated that each Commissioner will get a packet with speaking notes and a PowerPoint presentation specific to their jurisdiction at the full Commission meeting.

*This item was for information only.*

**7. Committee Member Reports**

There were no committee member reports.

**8. Staff Reports**

There were no staff reports.

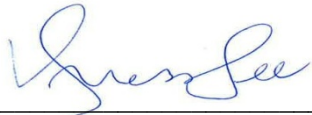
**9. Adjournment/ Next Meeting**

The next meeting is:

Date/Time: Monday, June 9, 2014 @12:00 p.m.

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

Attested by:

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

Vanessa Lee,  
Clerk of the Commission



# Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** June 2, 2014

**SUBJECT:** California Transportation Commission May 2014 Meeting Summary

**RECOMMENDATION:** Receive an update on the May 2014 CTC Meeting.

## Summary

The May 2014 California Transportation Commission (CTC) meeting was held in San Diego. Detailed below is a summary of the three (3) agenda items of significance pertaining to Projects/Programs within Alameda County that were considered at the May 2014 CTC meeting.

## Background

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

Detailed below is a summary of the three (3) agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the May 21, 2014 CTC meeting.

### 1. 2016 State Transportation Improvement Program (STIP)

The STIP process generally begins in January of the odd year with the fund estimate overview, including a timeline for adoption of the fund estimate and the amended guidelines. The draft fund estimate is usually presented in June, along with draft STIP guidelines amended to include specifics as identified in the draft fund estimate. Both the draft guidelines and the draft fund estimate are discussed in a noticed workshop in July, with both adopted by August 15 of the odd year.

To enhance transparency and accountability in the programming process, the 2016 STIP guidelines process will begin immediately, with staff working with stakeholders to identify key areas for revision. Staff intends that the 2016 STIP guidelines will continue to emphasize coordination and consistency with adopted Regional Transportation Plans, the

Interregional Transportation Strategic Plan, and investment strategies and decisions consistent with state and federal laws. Areas of focus for possible revision include, but are not limited to, methods to (1) determine, evaluate, and communicate cost effectiveness of Regional Transportation Improvement Programs (RTIPs) and the Interregional Transportation Improvement Program (ITIP); (2) promote greater public participation and enhanced transparency; and (3) evaluate and communicate the regional and statewide benefits of projects programmed in the adopted STIP.

*Outcome:* CTC Staff intends to present a first draft of the 2016 STIP guidelines at the October 8, 2014 Commission meeting.

## **2. 2014 Active Transportation Program**

The Commission adopted statewide guidelines for administering the 2014 Active Transportation Program (ATP) at its March meeting. While the statewide guidelines may be used for administering the Metropolitan Planning Organization (MPO) competitive component of the ATP, the nine MPOs charged with programming funds to projects in the MPO competitive component were also provided discretion in Senate Bill 99 to develop MPO guidelines with regard to project selection.

The CTC adopted amendments to the 2014 ATP Guidelines for purposes of administering the MPO competitive component of the 2014 ATP.

*Outcome:* The Metropolitan Transportation Commission (MTC) released a regional call for projects on May 21, 2014. Approximately \$30 Million will be available on a region wide competitive basis.

## **3. Proposition 1B State-Local Partnership Program (SLPP) / BART Warm Springs Extension Project**

CTC approved an 18-month time extension for the period of project completion to December 31, 2015, for the Warm Springs Extension project.

*Outcome:* Extension will allow project to fully expend the allocated SLPP funds.

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

### **Attachments**

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

### **Staff Contact**

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

[Vivek Bhat](#), Senior Transportation Engineer



May 2014 CTC Summary for Alameda County Projects/ Programs

| Sponsor  | Program / Project   | Item Description  | CTC Action / Discussion |
|----------|---|---|-------------------------|
| Caltrans | 2016 State Transportation Improvement Program (STIP)  | Preview of 2016 STIP process.   | Information Only        |
| Caltrans | 2014 Active Transportation Program (ATP)  | Approval of amendments to the 2014 ATP Guidelines for purposes of administering the MPO competitive component of the 2014 ATP | Approved                |
| BART     | Proposition 1B State-Local Partnership Program (SLPP) / BART Warm Springs Extension Project | Approval of 18-month time extension for the period of project completion to December 31, 2015,                                | Approved                |

[http://www.catc.ca.gov/meetings/agenda/2014Agenda/2014\\_05/000\\_ETAs.pdf](http://www.catc.ca.gov/meetings/agenda/2014Agenda/2014_05/000_ETAs.pdf)

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# Memorandum

5.1

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**DATE:** June 2, 2014

**SUBJECT:** FY 2012-2013 Measure B and Vehicle Registration Fee Program Compliance Reports

**RECOMMENDATION:** Approve FY 2012-2013 Measure B and Vehicle Registration Fee Program Compliance Reports and the exemption requests from the Timely Use of Funds Policy.

## Summary

The Master Programs Funding Agreement (MPFA) requires all recipients of Measure B and Vehicle Registration Fee (VRF) Direct Local Program Distribution funds to submit a compliance report and Audited Financial Statement to Alameda CTC annually. These reports document Measure B/VRF Direct Local Program Distribution revenues and expenditures of the \$64.8 million of Measure B funds and \$6.9 million of VRF funds for programs that fund locally prioritized bicycle and pedestrian, streets and roads, mass transit, and paratransit programs in Alameda.

The MPFA's Timely Use of Funds and Reserve Fund Policies strengthen the requirements for agencies to expend the available funds and will result in a lower balance of unexpended funds. In order to meet the requirements of the MPFA, an implementation plan detailing a plan to utilize unexpended balance consistent with the Timely Use of Funds Policy is required through the compliance reporting process. The Timely Use of Funds Policy dictates that Measure B/VRF funds must be spent expeditiously, and limits the unexpended funds allowed beyond those included in allowable reserves.

To guide the administration of the Direct Local Program Distribution funds program, the Commission approved the Measure B/VRF Compliance Reserve Policies and Monitoring Procedures in October 2013 that provided further detail regarding the approach towards implementing the MPFA's provisions. This document defines approval processes for unexpended annual balances of the Planned Projects and Capital Fund Reserves at the Timely Use of Fund milestones and any actions (administrative or formal) that may be required. The policy supports the expeditious expenditure of reserve balances, and defines the review process for recipients that may have unexpended fund balances.

For the Fiscal Year 2012-13 reporting year, all Measure B/VRF recipients submitted compliance reports and audited financial statements that complied with the MPFA

requirements. From this information, the Alameda CTC prepared Measure B and VRF Compliance Summary Reports that describe the FY 2012-13 Direct Local Program Distributions and year's expenditures on Alameda County's transportation system (Attachment A and B).

## **Background**

Since the 2000 Measure B sales tax collections began on April 1, 2002, Alameda CTC has distributed approximately \$640.0 million in Measure B Direct Local Program Distribution to twenty eligible jurisdictions in Alameda County through June 2013. In FY 2012-13 Measure B generated approximately \$115 million in net revenues, of which approximately 60 percent is provided directly to 20 jurisdictions as Direct Local Program Distribution funds for bicycle and pedestrian, local transportation (streets and roads), mass transit, and paratransit programs. Approximately \$64.8 million was distributed to eligible jurisdictions as Direct Local Program Distribution funds in FY 2012-13 to the following specific programs:

|  | Millions |
|--|----------|
| Local Transportation (Streets and Roads) Program | \$ 25.7  |
| Mass Transit Program                             | \$ 24.4  |
| Paratransit Programs                             | \$ 10.4  |
| Bicycle and Pedestrian Program                   | \$ 4.3   |

Since Vehicle Registration Fee collections began in May 2011, Alameda CTC has distributed approximately \$14.4 million in VRF Direct Local Program Distributions through June 2013. In FY 2012-13 VRF generated approximately \$11.0 million in net revenues, of which 60 percent is provided directly to 15 jurisdictions as Direct Local Program Distributions funds for their Local Road Repair and Improvement Programs. Approximately \$6.9 million was distributed in VRF Direct Local Program Distribution funds to recipients in FY 2012-13.

## **MPFA and Reporting Requirements**

In spring 2012, Measure B/VRF Direct Local Program Distribution recipients entered into a new MPFA with Alameda CTC. The MPFA and its associated Implementation Guidelines outlined the Direct Local Program Distributions, eligible expenditures, recipient reporting requirements, and policies on the timely use of funds and establishment of fund reserves. The Timely Use of Funds and Reserve Fund Policies strengthen the requirements for agencies to expeditiously expend the available funds and will result in a lower balance of unexpended funds.

Each year, Measure B/VRF recipients are required to submit audited financial statements and compliance reports to Alameda CTC. These reports describe the Measure B/VRF Direct Local Program Distribution fund revenues and expenditures for the four Measure B programs (bicycle/pedestrian, local transportation (streets and roads), mass transit, and paratransit), and the VRF Local Road Improvement and Repair Program. The compliance

reports also capture Measure B/VRF recipients' annual reporting deliverables including reports on:

- Number of road miles served within the agency's jurisdictions
- Publication of a newsletter article
- Website coverage of Measure B/VRF usage and benefits
- Documentation of project signage
- Current Pavement Condition Index for the agency's roadways
- Confirmation on Complete Streets Policy Adoption by June 2013
- Implementation plan using fund balance and projected annual revenue

For FY 2012-13, the Audited Financial Statements of the jurisdictions' revenues and expenditures, were due to Alameda CTC on December 27, 2013, and the compliance reports were due on December 31, 2013. Jurisdictions reported revenues and expenditures of Measure B grant funds, in addition to Measure B/VRF Direct Local Program Distributions funds, to provide a comprehensive picture of overall usage of funds.

In January 2014, Alameda CTC staff, in collaboration with the Citizens' Watchdog Committee (CWC) reviewed the audited financial statements and compliance reports submitted by the jurisdictions. From this review, Alameda CTC staff sent Request for Information letters to all the jurisdictions to confirm their compliance status, gather additional information on reported expenditures, and clarify fund reserve implementation plans. All 20 agencies/jurisdictions responded with additional information and updated their reports.

Alameda CTC staff prepared comprehensive Measure B and VRF compliance summary reports that describe Alameda CTC Direct Local Program Distribution and expenditures in FY 2012-13. The compliance summary reports also summarize the jurisdictions' planned expenditures and reserve designations for the unexpended Measure B/VRF funds. The Measure B report provides an overview of the revenues and expenditures for the bicycle/pedestrian, local transportation (local streets and roads), mass transit, and paratransit programs. Similarly, the VRF report depicts this information as it pertains to VRF Local Road Improvement and Repair Program.

The FY 2011-12 Compliance Report process was the first year of implementing the new MPFA and the Timely Use of Funds policy. The FY 2012-13 Compliance Report is the second year, which now includes monitoring the projects identified to be completed from the FY 2011-12 process. Overall the Measure B fund balance has been reduced by over 10% and further reductions are projected over the next few years. The Timely Use of Funds Policy also includes a Capital Reserve fund which involves a multi-year window for expenditure. Based on the structure of this reserve, we expect the balance of unexpended funds to continue to drop through FY 2015-16 (based on the 4 year "window" of expenditure requirement). FY 2011-12, the first year of the reserve

requirements, had an initial large balance (\$41.9 million) with the 2012-13 reports only including less than 50% of that amount (\$19.8 million).

The Alameda CTC uses the Measure B/VRF Reserve Policies and Monitoring Procedures (approved in October 2013) to guide administration and review of the Compliance Report process. Per the MPFA and the Reserve Policies and Monitoring Procedures, recipients are required to 1) identify specific projects and/or reserves with the funds identified to be available, and 2) meet an actual expenditure threshold of 70 percent or greater of the annual implementation plan (identified in the prior compliance report).

For the FY 2012-13 reporting year, Alameda CTC received seven Requests for Exemptions from jurisdictions who did not meet these requirements.

The San Joaquin Regional Rail Commission (SJRRRC) submitted a Request for Exemption Letter from the Timely Use of Funds and Reserve Policies. The MPFA permits a maximum of 50 percent of annual revenues be allocated to Operational Reserves. SJRRRC is requesting an exception to exceed the maximum Operational Fund Reserve by \$0.6 million. A funding agreement defines the amount of contributions from Alameda County required for the Altamont Corridor Service that is operated by SJRRRC. The funding is provided through the Measure B Local Distribution funds. This agreement defines an annual contribution that is based on 2002 operating costs that are escalated annually by a Consumer Price Index factor, and then split among the three participating counties (Alameda, San Joaquin and Santa Clara). The Alameda County share is 33% based on ridership from the four Alameda stations. In the initial years of operation, annual expenses were less than annual Measure B revenues, and a balance of funds has accumulated. The cost of the Alameda County portion of the annual operations for FY 2013-14 and forward exceed the annual Measure B revenue and the balance of unexpended funds are being reduced and expected to be exhausted over the next four to years. SJRRRC is requesting an exception to the reserve policy in order to allocate \$1.8 million to the operating reserve, a sum beyond the 50% of the annual revenue limit.

The Measure B/VRF Reserve Policies and Monitoring Procedures require jurisdictions to provide justifications of annual balances greater than 30 percent of the reported Planned Projects (cumulatively across all programmatic types) for Commission approval. There are six agencies that exceeded this threshold as noted in Attachment C. Each agency has provided a Request for Exemption Letter that explains their fund balances and anticipated expenditure plans in the following fiscal year (FY 2013-14). The jurisdiction's compliance reports further describe specific planned FY 2013-14 expenditures associated with the prior year's fund balance that will be consistent with the Timely Use of Funds goals.



The most common reasons for the fund balances and justifications include:

1. Project Delays
2. Revised Implementation Plan to implement other future projects
3. Expenditures incurred, but not accrued, in FY2012-13 and will be expensed in FY2013-14
4. Project Savings
5. Project scope reduced due to unforeseen issues i.e. funding issues, community concern, etc.

Staff recommends the Commission approve the seven Requests for Exemption from the Timely Use of Funds and Reserve Policies to allow exceeding the maximum operational fund reserve limit for FY 2013-14 (SJRRRC), and to permit annual balances greater than 30 percent threshold for planned projects (*as listed in Attachment C*) to carry over to FY 2013-14. The Request for Exemption Letters (*Attachment D*) and the jurisdictions' compliance report describe plans to utilize all the funds. Upon the approval of the exemption requests, the Measure B/VRF Direct Local Program Distribution recipients are found to be in compliance with the programs' requirements. Additional timely use of funds requirements will be evaluated in future years, such as the Capital Reserve projects, with the first review period ending in FY 2015-16.

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

### **Attachments**

- A. Measure B Program Compliance Report FY 2012-13
- B. Vehicle Registration Fee Program Compliance Report FY 2012-13
- C. Summary of Exemptions for Agencies with Balances of greater than 30 percent
- D. Timely Use of Funds and Reserve Policy Exemption Request Letters
- E. Reserve Policies and Monitoring Procedures

### **Staff Contact**

[Matt Todd](#), Principal Transportation Engineer

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## Measure B Program

### Direct Local Program Distributions Compliance Report



Fiscal Year 2012-2013

June 2014

Alameda County Transportation Commission  
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Oakland, CA 94607  
[www.AlamedaCTC.org](http://www.AlamedaCTC.org)

DRAFT May 7, 2014

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## Introduction

In 1986, Alameda County voters approved the Measure B Transportation Expenditure Plan, which authorized the collection of a half-cent transportation sales tax to finance transportation improvements throughout the county. With the revenue generated through the sales tax, Alameda County became one of the first “self-help” counties in California. As the 1986 expenditure plan neared expiration, in November 2000, approximately 81.5 percent of Alameda County voters reauthorized the Measure B Transportation Expenditure Plan to continue sales tax collections through 2022. Alameda CTC distributes approximately 60 percent of net Measure B revenues to local Alameda County jurisdictions on a monthly basis as Direct Local Program Distributions.



In FY 12-13, Alameda CTC distributed approximately \$64.8 million to the twenty local jurisdictions in Alameda County. Each fiscal year, Alameda CTC requires these recipients to report on their Measure B Direct Local Program Distribution fund expenditures.

Alameda County jurisdictions rely on Measure B funds for numerous types of projects including bikeways, bicycle parking facilities, pedestrian crossing improvements, intersection and signal improvements, guardrails, street resurfacing and maintenance, bus and ferry operations, rail services, shuttle and fixed transit operations, and programs for seniors and people with disabilities.

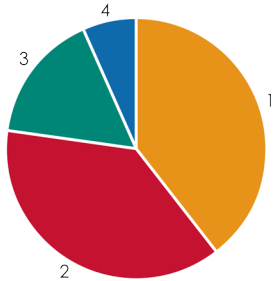
This Compliance Report provides a summary of FY 12-13 revenues and expenditures reported by Measure B recipients, as required by a Master Programs Funding Agreement (MPFA) that was executed between Alameda CTC and the local jurisdictions in 2012. The MPFA outlines the funding distribution to the recipients, eligible expenditures, and reporting requirements pertaining to the use of the transportation sales tax.

Measure B recipients are required to submit an audited financial statement and complete a compliance reporting process, including submitting the following deliverables annually to Alameda CTC:

- **Road miles:** The number of maintained road miles within the city's jurisdiction.
- **Population:** The number of people the jurisdiction's transportation program serves in the fiscal year.
- **Newsletter:** Documentation of a published article that highlights the Measure B funded improvements.
- **Website:** Documentation of program information on the agency's website including a link to Alameda CTC's website.
- **Signage:** Documentation of the public identification of the program improvements as a benefit of Measure B.
- **Pavement Condition Index:** Documentation of the agency's Pavement Condition Index (PCI) to provide a frame of reference for the condition of their local streets and roads as applicable to the Local Streets and Road Program.
- **Complete Streets Policy:** Confirmation that local jurisdictions have developed a Complete Streets policy by June 30, 2013.
- **Timely Use of Funds and Reserve Policy:** Provide an implementation plan using unexpended fund balances. Per the MPFA, local jurisdictions must expend Measure B funds in an expeditious manner, and no unexpended funds beyond those identified in specified reserve categories are permitted. If Measure B recipients do not meet the Timely Use of Funds requirements, unspent funds may be subject to rescission.



## Measure B Direct Local Program Distributions Revenues



**Measure B Direct Local Program Distributions**

Dollars in millions

|                            |                         |               |             |
|----------------------------|-------------------------|---------------|-------------|
| <b>1</b>                   | Local Streets and Roads | \$25.7        | 40%         |
| <b>2</b>                   | Mass Transit            | \$24.4        | 38%         |
| <b>3</b>                   | Paratransit             | \$10.4        | 16%         |
| <b>4</b>                   | Bicycle and Pedestrian  | \$4.3         | 6%          |
| <b>Total Distributions</b> |                         | <b>\$64.8</b> | <b>100%</b> |

The Alameda CTC disburses Measure B Direct Local Program Distribution funds on a monthly basis to local Alameda County jurisdictions for their transportation programs based on distribution formulas identified in the 2000 Measure B Transportation Expenditure Plan. This report summarizes the total Alameda CTC Measure B allocations and agency expenditures for fiscal year 2012-2013 (FY 12-13).

The data within this report is based on information included in compliance and audited financial statement reports that the jurisdictions submitted. The individual reports and audits are available for review online at [http://www.alamedactc.org/app\\_pages/view/4135](http://www.alamedactc.org/app_pages/view/4135).

### Measure B Direct Local Program Distributions

In FY 12-13, Alameda CTC provided approximately \$64.8 million in Measure B Direct Local Program Distributions to four transportation programs:

- 1) Local Streets and Roads (\$25.7 million)
- 2) Mass Transit Services (\$24.4 million)
- 3) Special Transportation Services for Seniors and People with Disabilities (paratransit) (\$10.4 million)
- 4) Bicycle and Pedestrian Safety (\$4.3 million)

The agencies reported the receipt of \$64.8 million in Direct Local Program Distributions, and leveraged these revenues for overall total project expenditures of \$435.6 million.





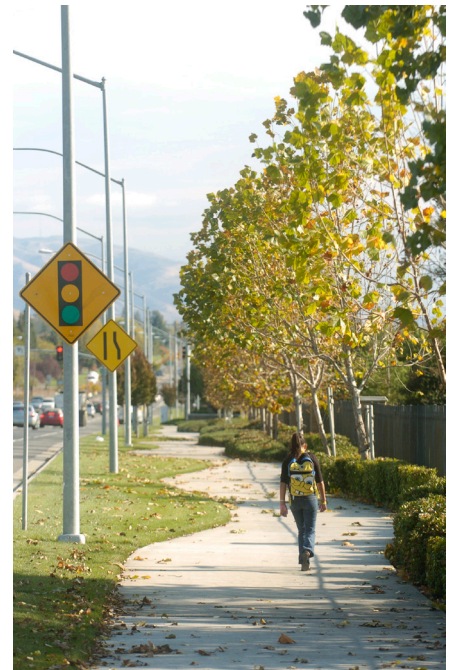
## Measure B

### Direct Local Program Distribution Expenditures

Each fiscal year, local jurisdictions utilize Direct Local Program Distribution revenue to implement their projects and programs. In FY 12-13, jurisdictions expended \$69.5 million on transportation improvements in Alameda County. That is approximately \$4.7 million more in expenditures than the FY 12-13 annual revenue received by the jurisdictions, indicating the use of prior balances to finance projects and programs.

The overall Measure B fund balance is decreasing relative to prior fiscal years as jurisdictions are expending their fund balances and implementing more transportation enhancements.

See the chart below for more information on Measure B Direct Local Program Distribution fund balances, annual revenue distribution, and expenditures in FY 12-13.



#### FY 12-13 Measure B Expenditures and Fund Balances

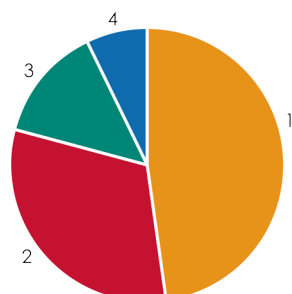
| Jurisdiction        | 11-12 MB<br>Balance | 12-13 MB<br>Revenue | 12-13 MB<br>Interest | 12-13 MB<br>Expended | Ending MB<br>Balance |
|---------------------|---------------------|---------------------|----------------------|----------------------|----------------------|
| AC Transit          |                     | \$0                 | \$24,656,883         | \$0                  | \$24,656,883         |
| BART                |                     | \$0                 | \$1,714,361          | \$0                  | \$1,714,361          |
| LAVTA               |                     | \$0                 | \$943,706            | \$0                  | \$943,706            |
| WETA                | \$2,502,463         | \$897,451           | \$1,743              | \$218,426            | \$3,183,231          |
| ACPPWA              | \$3,947,320         | \$2,927,165         | \$16,718             | \$6,141,952          | \$749,251            |
| ACE                 | \$2,649,530         | \$2,439,225         | \$3,228              | \$2,613,047          | \$2,478,936          |
| City of Alameda     | \$3,955,235         | \$1,963,870         | \$23,558             | \$2,934,633          | \$3,008,030          |
| City of Albany      | \$24,854            | \$462,127           | \$447                | \$58,615             | \$428,813            |
| City of Berkeley    | \$2,472,156         | \$3,248,860         | \$2,881              | \$4,175,224          | \$1,548,673          |
| City of Dublin      | \$1,211,812         | \$501,428           | \$7,984              | \$840,550            | \$880,674            |
| City of Emeryville  | \$419,025           | \$291,335           | \$1,210              | \$558,543            | \$153,027            |
| City of Fremont     | \$4,800,977         | \$3,454,400         | \$40,833             | \$4,102,207          | \$4,194,003          |
| City of Hayward     | \$1,904,997         | \$3,168,714         | \$1,281              | \$2,912,685          | \$2,162,307          |
| City of Livermore   | \$1,711,128         | \$1,136,673         | -\$6,023             | \$962,115            | \$1,879,663          |
| City of Newark      | \$558,235           | \$695,020           | \$166                | \$1,008,716          | \$244,705            |
| City of Oakland     | \$10,718,266        | \$11,585,004        | -\$10,124            | \$10,325,085         | \$11,968,061         |
| City of Piedmont    | \$418,160           | \$415,774           | \$702                | \$278,689            | \$555,947            |
| City of Pleasanton  | \$2,358,055         | \$1,009,922         | -\$7,776             | \$1,070,300          | \$2,289,901          |
| City of San Leandro | \$3,059,396         | \$1,770,488         | \$6,041              | \$1,363,699          | \$3,472,226          |
| City of Union City  | \$2,277,119         | \$1,529,641         | \$7,950              | \$2,613,437          | \$1,201,273          |
| <b>Total</b>        | <b>\$44,988,728</b> | <b>\$64,812,047</b> | <b>\$90,819</b>      | <b>\$69,492,873</b>  | <b>\$40,398,721</b>  |

#### Notes:

1. The table above reflects total Measure B revenue and expenditures reported by the jurisdictions.
2. Revenue and expenditure figures throughout this report may vary due to number rounding.
3. Negative interest are reflective of GASB 31 accounting adjustments.
4. The Ending MB Balance includes interest on Measure B funds.

## Measure B Expenditures

### Measure B Direct Local Program Distributions and Discretionary Fund Expenditures



Total Measure B Funds Expended

Dollars in millions

|                                  |               |             |
|----------------------------------|---------------|-------------|
| <b>1</b> Local Streets and Roads | \$28.7        | 40%         |
| <b>2</b> Mass Transit            | \$24.6        | 35%         |
| <b>3</b> Paratransit             | \$10.6        | 15%         |
| <b>4</b> Bicycle and Pedestrian  | \$7.4         | 10%         |
| <b>Total Expended</b>            | <b>\$71.3</b> | <b>100%</b> |

As part of the Annual Program Compliance Reporting process, agencies provided expenditure details on their Measure B expenses. This includes reporting on Measure B Direct Local Program Distribution expenses and project/program financing using "Other Measure B" funds such as Measure B discretionary grant awards.

In FY 12-13, agencies reported a total of \$71.3 million of Measure B expenditures. This includes \$69.5 million in Measure B Direct Local Program Distribution fund expenditures and \$1.8 million in "Other Measure B" funds. These expenditures financed infrastructure improvements on local roadways, bicycle and pedestrian routes, and provided support to paratransit and mass transit operations.

By program type, agencies spent 40 percent of total Measure B funds on local streets and roads, 35 percent on mass transit, 15 percent on paratransit, and 10 percent on bicycle and pedestrian projects.

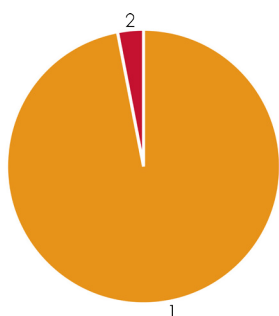
#### Measure B Direct Local Program Distribution Expenditures

Of the reported \$69.5 million of Measure B Direct Local Program Distribution expenditures, local jurisdictions used a portion of their previous year's fund balance (\$45.0 million) and their FY 12-13 Measure B Direct Local Program Distribution funds (\$64.8 million) to finance FY 12-13 improvements.

#### Other Measure B Discretionary Fund Expenditures

Discretionary Measure B funds that are awarded through Alameda CTC's grant programs are distributed to local jurisdictions on a reimbursement basis. In FY 12-13, agencies reported approximately \$1.8 million in Other Measure B expenditures, across the four discretionary grant programs:

- Express Bus Service Grant Program (\$0.7 million),
- Paratransit Gap Grant Program (\$0.7 million),
- Bicycle and Pedestrian Countywide Discretionary Fund Grant Program (\$0.3 million),
- Transit Center Development Grant Program (\$0.1 million).



Total Measure B Funds Expended by Type

Dollars in millions

|                                  |               |             |
|----------------------------------|---------------|-------------|
| <b>1</b> MB Direct Local Program | \$69.5        | 97%         |
| <b>2</b> MB Other Discretionary  | \$1.8         | 3%          |
| <b>Total Expended</b>            | <b>\$71.3</b> | <b>100%</b> |

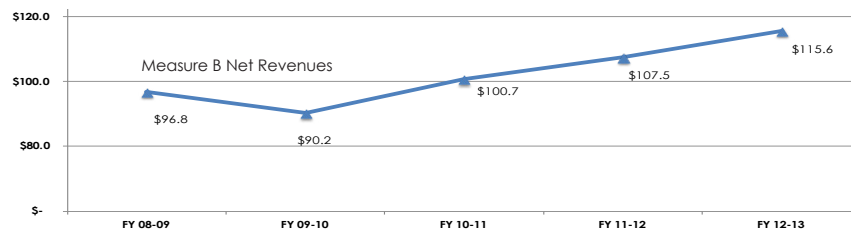
Measure B grant fund recipients receive payment after submitting a request for reimbursement for costs already incurred. As such, recipients reported their grant fund expenditures on an accrual basis, according to invoices submitted during FY 12-13.

## Measure B Revenues and Expenditure Trends

Each year, the state of the economy directly affects the amount of transportation sales tax revenue generated in Alameda County. Since the events in 2007 that precipitated an economic downturn, the annual net sales tax revenue has steadily increased, as shown in the chart below. The progressive growth in sales tax revenues has resulted in an increase of overall Measure B program distributions to the jurisdictions.

### Measure B Net Revenue Trends FY 08-09 through FY 12-13

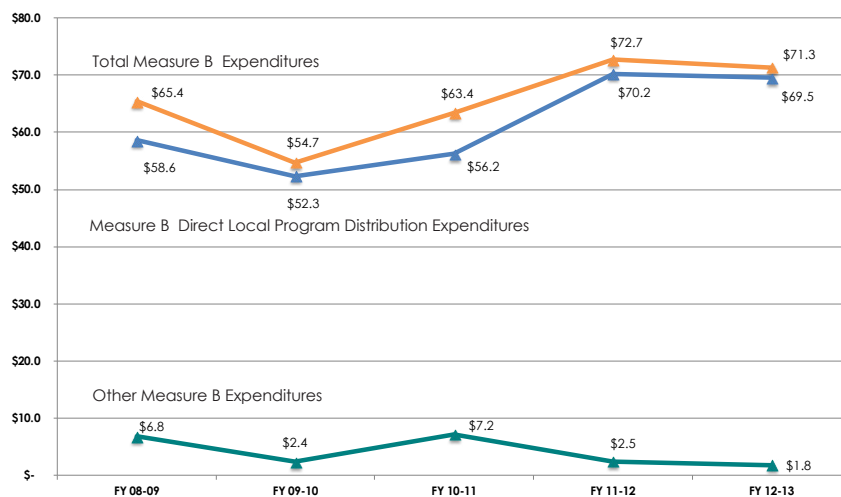
Dollar in millions



In FY 12-13, Measure B expenditure trends by the jurisdictions were consistent with the prior year's reported expense amounts. Expenditures were approximately \$4.7 million more than the annual revenue received for the fiscal year indicating use of prior year fund balances and the new annual revenue. The chart below details Measure B funds expended over the last five fiscal years.

### Measure B Expenditures Trends FY 08-09 through FY 12-13

Dollar in millions



**Note:** "Other Measure B" includes Measure B discretionary grants.



## Expenditures by Transportation Mode

### Transportation Modes: Transit, Local Streets, and Bicycle and Pedestrian



In FY 12-13, jurisdictions used \$71.3 million in Measure B funds to support the following transportation modes within each program:

- **Bicycle and pedestrian:** Of the \$7.4 million used, local agencies spent:
  - 48 percent on bicycle and pedestrian improvements;
  - 43 percent on direct pedestrian improvements; and
  - 9 percent on direct bicycle improvements.
- **Local streets and roads:** Of the \$28.7 million used, local agencies spent:
  - 91 percent on local road improvement projects;
  - 8 percent on bicycle and pedestrian projects; and
  - 1 percent on other projects including paratransit services, bus facilities improvements, general program administration, and traffic management.
- **Mass transit:** Of the \$24.7 million used, local agencies spent:
  - 88 percent on bus operations;
  - 11 percent on rail operations; and
  - 1 percent on ferry operations.
- **Paratransit:** Of the \$10.6 million used, local agencies spent
  - 63 percent on services for people with disabilities;
  - 36 percent on services for seniors and people with disabilities;
  - 1 percent on other senior transportation services.

#### Measure B Expenditures by Transportation Mode

|                               | Bicycle and Pedestrian Fund | Local Streets and Roads Fund | Mass Transit Fund   | Paratransit Fund    | Total Expenditures  |
|-------------------------------|-----------------------------|------------------------------|---------------------|---------------------|---------------------|
| Bicycle                       | \$662,766                   | \$0                          | \$0                 | \$0                 | \$662,766           |
| Bicycle and Pedestrian        | \$3,523,243                 | \$2,177,003                  | \$0                 | \$0                 | \$5,700,246         |
| Pedestrian                    | \$3,173,713                 | \$0                          | \$0                 | \$0                 | \$3,173,713         |
| Local Streets and Roads       | \$0                         | \$26,172,899                 | \$0                 | \$0                 | \$26,172,899        |
| Bus                           | \$0                         | \$27,115                     | \$21,820,136        | \$0                 | \$21,847,251        |
| Ferry                         | \$0                         | \$0                          | \$218,426           | \$0                 | \$218,426           |
| Rail                          | \$0                         | \$0                          | \$2,613,047         | \$0                 | \$2,613,047         |
| Disabled Services             | \$0                         | \$0                          | \$0                 | \$6,677,753         | \$6,677,753         |
| Meals on Wheels               | \$0                         | \$0                          | \$0                 | \$7,334             | \$7,334             |
| Seniors and Disabled Services | \$0                         | \$150,000                    | \$0                 | \$3,763,782         | \$3,913,782         |
| Senior Services               | \$0                         | \$0                          | \$0                 | \$151,837           | \$151,837           |
| Other                         | \$0                         | \$196,284                    | \$0                 | \$0                 | \$196,284           |
| <b>Total</b>                  | <b>\$7,359,722</b>          | <b>\$28,723,301</b>          | <b>\$24,651,609</b> | <b>\$10,600,706</b> | <b>\$71,335,338</b> |

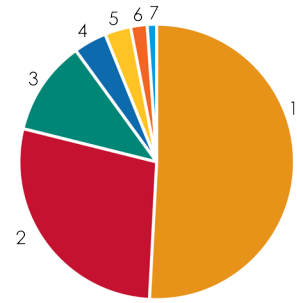
**Note:** Measure B expenditures by mode include both Direct Local Program Distributions and grant funds.

## Measure B Expenditures by Project Phase

Measure B funds are invested in a wide variety of projects across Alameda County to improve and maintain the transportation infrastructure. By project phase, the twenty Direct Local Program Distribution fund recipients reported expenditures of 51 percent of Measure B funds on operations. These dollars helped agencies to maintain roadways, bicycle trails, and transit operations to create greater access, safety and travel convenience to commuters and residents.

Other top expenditures by phase include:

- Construction (\$20.0 million)
- Maintenance (\$7.5 million)
- Project Completion / Closeout (\$3.1 million)
- Scoping, Feasibility and Planning (\$2.6 million)



**Total Measure B Expenditures by Phase**

Dollars in millions

|  |               |             |
|--|---------------|-------------|
| <b>1</b> Operations                        | \$36.2        | 51%         |
| <b>2</b> Construction                      | \$20.0        | 28%         |
| <b>3</b> Maintenance                       | \$7.5         | 11%         |
| <b>4</b> Project Completion / Closeout     | \$3.1         | 4%          |
| <b>5</b> Scoping, Feasibility and Planning | \$2.6         | 3%          |
| <b>6</b> PS&E                              | \$1.5         | 2%          |
| <b>7</b> Other                             | \$0.4         | 1%          |
| <b>Total Expenditures</b>                  | <b>\$71.3</b> | <b>100%</b> |

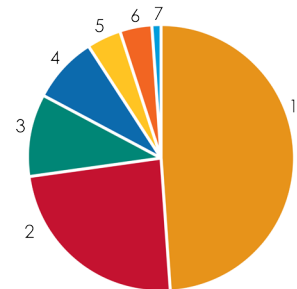
## Local Streets and Roads Expenditures by Project Phase

In FY 12-13, agencies reported \$28.7 million in Local Transportation Program expenditures. Of this amount, \$28.4 million were spent on projects that directly improved road and bicycle/pedestrian facilities, while the remaining \$0.3 million funded transit infrastructure and services.

By Project Phase, the majority of the expenses were reported in the Construction Phase in the amount of \$14.1 million (49%). Construction projects include street resurfacing, street reconstruction and overlay, drainage improvements, turn lanes, curb ramps, and stair repairs. An additional \$7.0 million (24%) was spent on the Maintenance Phase which includes pot hole repair, traffic signal repair services, and trail maintenance.

Other top local streets and roads expenditures by phase include:

- Project Completion / Closeout (\$3.0 million)
- Scoping, Feasibility and Planning (\$2.1 million)



**Local Streets & Roads Expenditures by Phase**

Dollars in millions

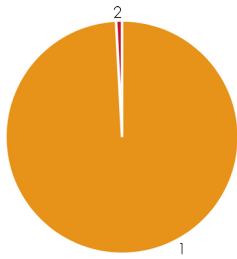
|  |               |             |
|--|---------------|-------------|
| <b>1</b> Construction                    | \$14.1        | 49%         |
| <b>2</b> Maintenance                     | \$7.0         | 24%         |
| <b>3</b> Project Completion/ Closeout    | \$3.0         | 10%         |
| <b>4</b> Scoping, Feasibility & Planning | \$2.1         | 8%          |
| <b>5</b> PS&E                            | \$1.1         | 4%          |
| <b>6</b> Operations                      | \$1.1         | 4%          |
| <b>7</b> Other                           | \$0.3         | 1%          |
| <b>Total Expenditures</b>                | <b>\$28.7</b> | <b>100%</b> |

### FY 12-13 Program Highlights:

- The City of Berkeley constructed over 700 linear feet of concrete path on West Street Boulevard - Ohlone Greenway to Delaware, and between University to Addison.
- The City of Hayward performed 1.3 million square feet of structural repairs on streets with deteriorating pavement.
- The City of Pleasanton resurfaced and maintained 2.3 million square feet of roadway with slurry seals and new layers of asphalt.



## Expenditures by Project Phase



**Mass Transit Expenditures by Phase**

Dollars in millions

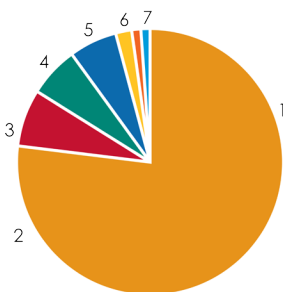
|                           |               |             |
|---------------------------|---------------|-------------|
| <b>1 Operations</b>       | <b>\$24.4</b> | <b>99%</b>  |
| <b>2 Other</b>            | <b>\$0.2</b>  | <b>1%</b>   |
| <b>Total Expenditures</b> | <b>\$24.6</b> | <b>100%</b> |



**Paratransit Expenditures by Phase**

Dollars in millions

|                           |               |             |
|---------------------------|---------------|-------------|
| <b>1 Operations</b>       | <b>\$10.6</b> | <b>100%</b> |
| <b>Total Expenditures</b> | <b>\$10.6</b> | <b>100%</b> |



**Bicycle and Pedestrian Expenditures by Phase**

Dollars in millions

|  |              |             |
|--|--------------|-------------|
| <b>1 Construction</b>                        | <b>\$5.7</b> | <b>77%</b>  |
| <b>2 Scoping, Feasibility &amp; Planning</b> | <b>\$0.5</b> | <b>7%</b>   |
| <b>3 PS&amp;E</b>                            | <b>\$0.4</b> | <b>6%</b>   |
| <b>4 Maintenance</b>                         | <b>\$0.4</b> | <b>6%</b>   |
| <b>5 Other</b>                               | <b>\$0.2</b> | <b>2%</b>   |
| <b>6 Operations</b>                          | <b>\$0.1</b> | <b>1%</b>   |
| <b>7 Project Completion/Closeout</b>         | <b>\$0.1</b> | <b>1%</b>   |
| <b>Total Expenditures</b>                    | <b>\$7.4</b> | <b>100%</b> |

### Mass Transit Expenditures by Project Phase

Transit agencies expended 99% of Measure B Mass Transit funds on service operations in the amount of \$24.4 million.

*FY 12-13 Program Highlights:*

- Measure B funds supported AC Transit's fixed route transit operations to provide over 46.6 million one-way trips.
- LAVTA used a combination of Measure B Direct Local Program Distributions and discretionary grant funds to provide 1.8 million one-way trips for Tri-Valley residents and commuters.

### Paratransit Expenditures by Project Phase

Agencies spent 100 percent of the \$10.6 million in Measure B paratransit funds on operations to provide convenient transportation options and community services to seniors and people with disabilities.

*FY 12-13 Program Highlights:*

- The City of Albany funded the Albany Senior Center Community Shuttle and provided over 4,000 group trips for recreational, fitness, and social excursions.
- The City of Fremont provided 15,280 trips through its Measure B funded door-to-door transportation services for seniors and persons with disabilities.

### Bicycle and Pedestrian Safety Expenditures by Project Phase

Agencies reported total expenditures of \$7.4 million on bicycle and pedestrian projects. The majority of these expenditures funded construction of capital projects such as lanes and pathways for bicyclists and pedestrians, sidewalk and ramp repair, and bicycle facilities. Many of the improvements from Measure B funding made intersections and walkways safer and more accessible for pedestrians and bicyclists.

*FY 12-13 Program Highlights:*

- Alameda County Public Works Agency performed pedestrian access improvements as part of the 163rd and 14th Street Traffic Signal Improvement Project.
- The City of Dublin completed the Alamo Canal Trail/I-580 Undercrossing Project using Measure B Direct Local Program Distributions and grant funds for 700 linear feet of new trail to close a gap in the regional bicycle/pedestrian network.



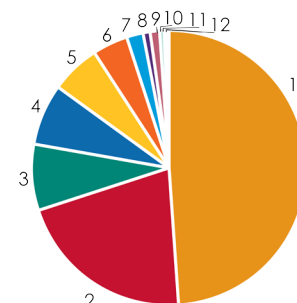
## Measure B Expenditures by Project Type

### Local Streets and Roads Expenditures by Project Type

Jurisdictions reported a total of \$28.7 million in local street and road expenditures for transportation improvements. By project type, approximately \$14.0 million went to street resurfacing and maintenance, \$6.2 million financed staffing program administration, and \$2.3 million were used for signal improvements. The other expenditures including financing a wide variety of improvements such as sidewalk and ramp repairs, equipment and field supplies for street projects, guardrails, and bicycle safety education training.

#### FY 12-13 Program Highlights:

- The City of Emeryville resurfaced 376,000 square feet of roadway and performed another 372,000 square feet of slurry seal on city streets.
- The City of Newark completed 1.1 million square feet of cape seal and slurry seals as part of their annual street maintenance program.
- The City of Union City reconfigured the Alvarado Blvd./Union City Blvd. intersection to improve vehicular and pedestrian safety.



**Local Streets & Roads Expenditures by Type**

Dollars in millions

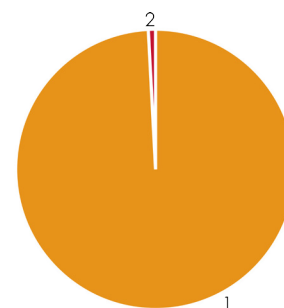
|                           |                                  |               |             |
|---------------------------|----------------------------------|---------------|-------------|
| <b>1</b>                  | Street Resurfacing & Maintenance | \$14.0        | 49%         |
| <b>2</b>                  | Staffing                         | \$6.2         | 21%         |
| <b>3</b>                  | Signals                          | \$2.3         | 8%          |
| <b>4</b>                  | Sidewalk and Ramps               | \$1.9         | 7%          |
| <b>5</b>                  | Bridges and Tunnels              | \$1.7         | 6%          |
| <b>6</b>                  | Other                            | \$1.1         | 4%          |
| <b>7</b>                  | Bikeways & Multiuse Paths        | \$0.7         | 2%          |
| <b>8</b>                  | Traffic Calming                  | \$0.4         | 1%          |
| <b>9</b>                  | Operations                       | \$0.3         | 1%          |
| <b>10</b>                 | Pedestrian Crossing Improvements | \$0.1         | 1%          |
| <b>11</b>                 | Education                        | \$-           | -%          |
| <b>12</b>                 | Bike Parking                     | \$-           | -%          |
| <b>Total Expenditures</b> |                                  | <b>\$28.7</b> | <b>100%</b> |

### Mass Transit Expenditures by Project Type

Of the \$24.6 million Mass Transit Program expenditures by transit agencies, by project type approximately 99% of funds went to operations and the remaining amount was used for equipment purchases and facilities maintenance.

#### FY 12-13 Program Highlights:

- Measure B discretionary grant funds financed LAVTA's WHEELS Express Bus Shuttle Routes 12v, 20x and 70x and provided over 450,000 one-way trips.
- The San Francisco Bay Area Water Emergency Transportation Authority completely refurbished the hull and passenger cabin of the Bay Breeze ferry using Measure B Direct Local Program Distributions.
- Union City Transit provided 496,000 one-way passenger trips in FY 12-13.

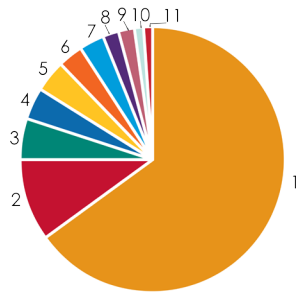


**Mass Transit Expenditures by Type**

Dollars in millions

|                           |            |               |             |
|---------------------------|------------|---------------|-------------|
| <b>1</b>                  | Operations | \$24.4        | 99%         |
| <b>2</b>                  | Other      | \$0.2         | 1%          |
| <b>Total Expenditures</b> |            | <b>\$24.6</b> | <b>100%</b> |

## Expenditures by Project Type



**Paratransit Expenditures by Type**

Dollars in millions

|                           |                                      |               |             |
|---------------------------|--------------------------------------|---------------|-------------|
| <b>1</b>                  | <b>ADA-mandated Services</b>         | <b>\$6.9</b>  | <b>65%</b>  |
| <b>2</b>                  | <b>City-Based Door to Door</b>       | <b>\$1.2</b>  | <b>10%</b>  |
| <b>3</b>                  | <b>Same Day/Taxi Program</b>         | <b>\$0.5</b>  | <b>5%</b>   |
| <b>4</b>                  | <b>Shuttle or Fixed Route Trips</b>  | <b>\$0.4</b>  | <b>4%</b>   |
| <b>5</b>                  | <b>Other</b>                         | <b>\$0.4</b>  | <b>4%</b>   |
| <b>6</b>                  | <b>Customer Service/Outreach</b>     | <b>\$0.3</b>  | <b>3%</b>   |
| <b>7</b>                  | <b>Management/Staffing</b>           | <b>\$0.3</b>  | <b>3%</b>   |
| <b>8</b>                  | <b>Group Trips</b>                   | <b>\$0.2</b>  | <b>2%</b>   |
| <b>9</b>                  | <b>Mobility Mgmt/Travel Training</b> | <b>\$0.2</b>  | <b>2%</b>   |
| <b>10</b>                 | <b>Meal Delivery</b>                 | <b>\$0.1</b>  | <b>1%</b>   |
| <b>11</b>                 | <b>Volunteer Drivers Program</b>     | <b>\$0.1</b>  | <b>1%</b>   |
| <b>Total Expenditures</b> |                                      | <b>\$10.6</b> | <b>100%</b> |

### Paratransit Expenditures by Project Type

By project type, agencies reported the majority of the \$10.6 million in Measure B Paratransit program expenditures for Americans with Disabilities Act (ADA) mandated service, which includes approximately \$6.4 million in AC Transit and BART ADA-mandated paratransit services provided through the East Bay Paratransit Consortium. Other paratransit expenditures by type include \$1.2 million for city-based door-to-door programs and \$500,000 for same-day taxi programs.

These expenditures also include a number of Paratransit Gap Grant projects that provide travel training, transportation services for people with dementia, volunteer drivers and escorts, on-demand shuttle, and scholarships.

#### *FY 12-13 Program Highlights:*

- The City of Alameda's Paratransit Shuttle provided over 5,000 one-way trips funded exclusively with Measure B funds.
- The City of Oakland's Taxi Scrip Program and Van Voucher Program provided over 30,000 one-way trips.
- The City of Pleasanton's Door-to-Door program provided 10,000 trips to areas within Pleasanton and to the surrounding unincorporated areas.

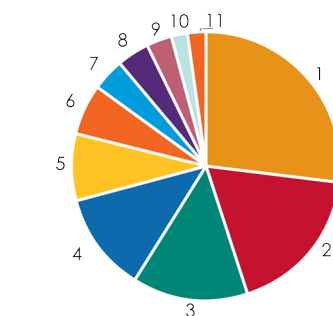


### Bicycle and Pedestrian Expenditures by Project Type

By project type, the majority of Measure B expenditures were for sidewalk and ramp projects (\$2.0 million), pedestrian crossing improvements (\$1.3 million) and safety improvements (\$1.0 million). These projects continue to be among the annual reoccurring expenditures financed through the Measure B Bicycle and Pedestrian Program.

#### FY 12-13 Program Highlights:

- The City of Albany matched Measure B dollars to the Safe Routes to School program to implement the Marin Sante Fe Intersection Improvements.
- The City of Dublin updated and developed the Bicycle and Pedestrian Master Plan to enhance safety and access for users.
- The City of Livermore constructed 1.5 miles of trail on the Livermore to Pleasanton Arroyo Trail segment from Jack London Blvd. to El Charro Road.
- Union City installed three stamped color concrete sidewalks and flashing pedestrian signs on Smith Street to facilitate pedestrian travel in this areas.



**Bicycle and Pedestrian Expenditures by Type**

Dollars in millions

|                                   |              |             |
|-----------------------------------|--------------|-------------|
| <b>1</b> Sidewalks and Ramps      | \$2.0        | 27%         |
| <b>2</b> Pedestrian Crossings     | \$1.3        | 18%         |
| <b>3</b> Safety Improvements      | \$1.0        | 14%         |
| <b>4</b> Bikeways (non-Class 1)   | \$0.9        | 12%         |
| <b>5</b> Multiuse Paths (Class 1) | \$0.6        | 8%          |
| <b>6</b> Staffing                 | \$0.4        | 6%          |
| <b>7</b> Signals                  | \$0.3        | 4%          |
| <b>8</b> Traffic Calming          | \$0.3        | 4%          |
| <b>9</b> Education and Promotion  | \$0.2        | 3%          |
| <b>10</b> Master Plan             | \$0.2        | 2%          |
| <b>11</b> Other                   | \$0.2        | 2%          |
| <b>Total Expenditures</b>         | <b>\$7.4</b> | <b>100%</b> |

### Measure B Program Administration

Per the Master Programs Funding Agreement, Measure B is eligible to fund activities that support the implementation and construction of transportation related improvements. Each year Measure B recipients expend funds not only on construction activities, but also on staffing activities associated with program administration and project development.

In FY 12-13, approximately 10 percent of Measure B expenditures supported the following program administration activities:

- Engineering development
- Transportation planning
- Street resurfacing and maintenance, traffic operations services, electrical services, pavement rehabilitation, pothole repair, and preventative maintenance
- Information technology services
- Customer service and outreach
- Bicycle/pedestrian planning
- Paratransit program management



### Timely Use of Funds and Reserve Policy



In order to ensure agencies are expending Measure B funds expeditiously on local transportation improvements, the MPFA's Timely Use of Funds Policy requires jurisdictions to report anticipated use of all Measure B funds for each of their programs. As part of the annual compliance reporting process, jurisdictions provide information on planned uses of Measure B funds and anticipated projects.

Per the MPFA's Fund Reserve Policy, jurisdictions can establish certain fund reserves to account for unexpended balances. The types of fund reserves and their eligibilities are noted in the following chart.

#### Fund Reserve Categories

| Reserve Category  | Maximum Funding Allotment  | Timely Use of Funds Requirement  |
|---|--|--|
| <b>Capital Fund Reserve</b><br>Recipients may establish a specific capital fund reserve to fund specific large capital project(s) that could otherwise not be funded with a single's year revenue of Measure B funds. | None.  | (1) Recipients shall expend all reserve funds by the end of three fiscal years following the fiscal year during which the reserve was established. |
| <b>Operations Fund Reserve</b><br>Recipients may establish and maintain a specific reserve to address operational issues, including fluctuations in revenues, and to help maintain transportation operations.         | 50 percent of anticipated annual Measure B Direct Local Program Distribution revenue | (1) Revolving fund<br>(2) Unexpended funds may be reassigned in the subsequent fiscal year.  |
| <b>Undesignated Fund Reserve</b><br>Recipients may establish and maintain a specific reserve for transportation needs over a fiscal year for grants, studies, contingency, etc.                                       | 10 percent of anticipated annual Measure B Direct Local Program Distribution revenue | (1) Unexpended funds may be reassigned in the subsequent fiscal year.  |

### Monitoring Timely Use of Funds and Reserves

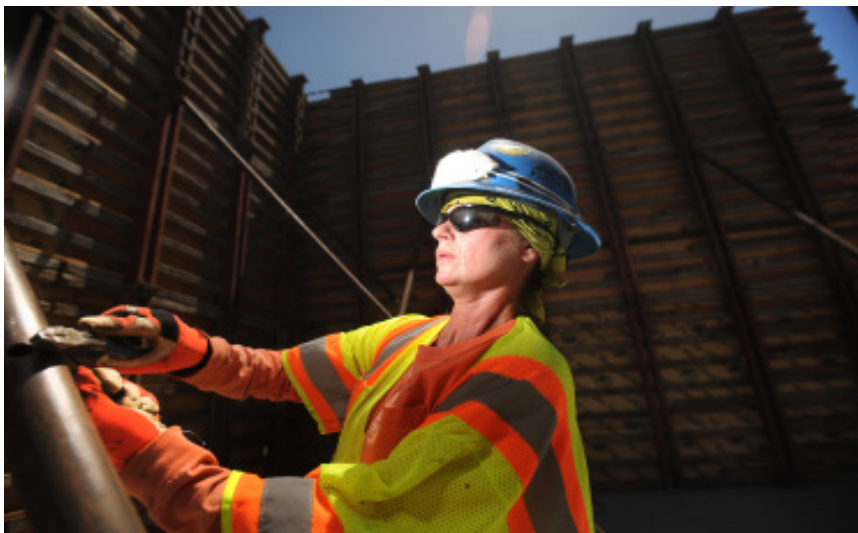
As part of the annual compliance report, Measure B recipients are required to provide an implementation plan using uncommitted fund balances and anticipated annual revenue. Over the subsequent annual compliance reports, Alameda CTC will utilize the reported information to track reported expenditures and to monitor the implementation plans for compliance with the MPFA's Timely Use of Funds Policy.

Last year, Alameda CTC implemented the first year of monitoring and tracking fund reserves as part of the FY 11-12 Annual Compliance Report. In that report, jurisdictions provided implementation plans.

In this year's compliance reporting evaluation, Alameda CTC will:

1. Monitor jurisdictions' implementation plans to ensure jurisdictions are actively expending Measure B funds and enhancing the local transportation system throughout Alameda County.
2. Review jurisdictions' updated implementation plans which include the identification of uncommitted fund balances and anticipated annual revenue for the FY 13-14 period.

The charts on the following pages provides a monitoring summary of Capital Fund Reserve balances and a review of the jurisdictions' Measure B Direct Local Program Distribution fund balances, and reported expenditures by reserve category.





### Measure B Capital Fund Reserve Monitoring Window Summary



As part of the FY 11-12 reporting, jurisdictions identified a plan to use all Measure B funds available in FY 12-13. Jurisdictions could establish a Capital Fund Reserve Plan that spans from FY 12-13 through FY 15-16. This is referred to as the FY 13-16 Capital Fund Reserve Window (FY 13-16 Window). In total, jurisdictions identified \$41.9 million in this window and have expended \$15.3 million as of the end of FY 12-13. Jurisdictions have until the end of FY 15-16 to expend the remaining \$26.6 million.

As part of the FY 12-13 reporting, jurisdictions identified a plan to use all Measure B funds (not already identified in a Capital Reserve) for FY 13-14. Jurisdictions were allowed to establish a Capital Fund Reserve Plan that spans from FY 13-14 through FY 16-17. This is referred to as the FY 14-17 Capital Fund Reserve Window (FY 14-17 Window). In total, jurisdictions identified \$19.8 million and must expend these funds by the end of FY 16-17.

#### Capital Reserve Window Summary

| Reserve Window  | FY 12-13   | FY 13-14   | FY 14-15 | FY 15-16 | FY 16-17 |
|-----------------|--|--|----------|----------|----------|
| FY 13-16 Window | \$41.9 million committed<br>\$26.6 million remaining |  |          |          |          |
| FY 14-17 Window |  | \$19.8 million committed<br>\$19.8 million remaining |          |          |          |

Alameda CTC will monitor the projects and funding plans identified in these reserve windows and the overall compliance status of the identified funds. Over the next three years of implementing the Timely Use of Funds and Reserve Policy, Alameda CTC anticipates a further reduction of overall Measure B fund balances. The anticipated expenditure of the Capital Fund Reserve balance is depicted below.

#### Anticipated Year End Capital Fund Reserve Balance

Dollars in millions



## Measure B Capital Fund Reserve Window Fund Balances

### FY 13-16 Capital Fund Reserve Window

In the first year of implementation of the MPFA's Timely Use of Funds Policy, jurisdictions identified \$41.9 million in the FY 13-16 Window. At the end of FY 12-13, jurisdictions' collective FY 13-16 Window balance is approximately \$26.6 million. The balance is required to be expended by the end of the reserve window (FY 15-16).

### FY 13-16 Capital Fund Reserve Window Balance

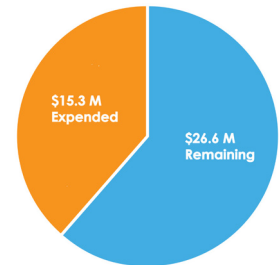
| Jurisdiction        | Committed Amount <sup>1</sup> | Expended Amount <sup>2</sup> | Remaining Balance <sup>3</sup> | Percent Remaining |
|---------------------|-------------------------------|------------------------------|--------------------------------|-------------------|
| AC Transit          | \$0                           | \$0                          | \$0                            | 0%                |
| BART                | \$0                           | \$0                          | \$0                            | 0%                |
| LAVTA               | \$0                           | \$0                          | \$0                            | 0%                |
| WETA                | \$2,502,463                   | \$0                          | \$2,502,463                    | 100%              |
| ACE                 | \$0                           | \$0                          | \$0                            | 0%                |
| ACPWA               | \$5,874,262                   | \$5,413,343                  | \$460,919                      | 8%                |
| City of Alameda     | \$4,848,000                   | \$2,494,374                  | \$2,353,626                    | 49%               |
| City of Albany      | \$0                           | \$0                          | \$0                            | 0%                |
| City of Berkeley    | \$713,370                     | \$3,478                      | \$709,892                      | 99%               |
| City of Dublin      | \$296,353                     | \$0                          | \$296,353                      | 100%              |
| City of Emeryville  | \$426,459                     | \$309,114                    | \$117,345                      | 28%               |
| City of Fremont     | \$5,285,131                   | \$2,915,254                  | \$2,369,877                    | 45%               |
| City of Hayward     | \$693,672                     | \$0                          | \$693,672                      | 100%              |
| City of Livermore   | \$1,560,382                   | \$45,550                     | \$1,514,832                    | 97%               |
| City of Newark      | \$1,024,214                   | \$838,384                    | \$185,830                      | 18%               |
| City of Oakland     | \$10,659,000                  | \$1,687,483                  | \$8,971,517                    | 84%               |
| City of Piedmont    | \$778,266                     | \$278,689                    | \$499,577                      | 64%               |
| City of Pleasanton  | \$1,664,943                   | \$10,532                     | \$1,654,411                    | 99%               |
| City of San Leandro | \$4,282,857                   | \$934,462                    | \$3,348,395                    | 78%               |
| City of Union City  | \$1,250,813                   | \$380,058                    | \$870,755                      | 70%               |
| <b>Total</b>        | <b>\$41,860,185</b>           | <b>\$15,310,721</b>          | <b>\$26,549,464</b>            | <b>63%</b>        |

#### Notes:

1. Committed Amount as identified by jurisdictions in the FY 11-12 Compliance Report.
2. Expended amount as reported in the FY 12-13 Compliance Report.
3. Remaining amount to be expended by the end of FY 15-16.
4. Figures may vary due to number rounding.

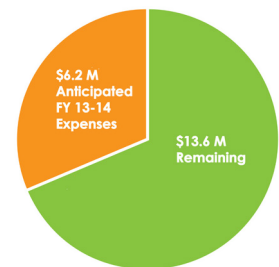
### FY 14-17 Capital Fund Reserve Window

In this year's compliance report, jurisdictions identified \$19.8 million in the FY 14-17 Window. Jurisdictions anticipate \$6.2 million in FY 13-14 expenditures. Alameda CTC will monitor the expenses in future compliance reports.



### FY 13-16 Capital Fund Reserve Window

|                          |                     |
|--------------------------|---------------------|
| Committed Amount         | \$41,869,185        |
| Expended Amount          | \$15,310,721        |
| <b>Balance Remaining</b> | <b>\$26,549,464</b> |



### FY 14-15 Capital Fund Reserve Window

|                               |                     |
|-------------------------------|---------------------|
| Committed Amount              | \$19,787,584        |
| Anticipated FY 13-14 Expenses | \$6,236,872         |
| <b>Anticipated Balance</b>    | <b>\$13,550,712</b> |



### Measure B Local Streets and Roads Program Capital Fund Reserve Monitoring Fund Balance



For the Measure B local streets and roads program (local transportation), jurisdictions identified \$26.3 million in FY 13-16 Capital Fund Reserve Window. Of that amount, \$11.4 million was expended as of the end of FY 12-13 on local transportation improvements throughout county. Jurisdictions are expected to expend all remaining reserve balances by the end of FY 15-16. Below is a summary of the Capital Reserve Window for the local street and road program and the balance at the end of FY 12-13.

#### Local Streets and Roads: FY 13-16 Window Fund Balance

| Jurisdiction        | Committed Amount <sup>1</sup> | Expended Amount <sup>2</sup> | Remaining Balance <sup>3</sup> | Percent Remaining |
|---------------------|-------------------------------|------------------------------|--------------------------------|-------------------|
| ACPWA               | \$3,857,380                   | \$3,857,380                  | \$0                            | 0%                |
| City of Alameda     | \$4,209,479                   | \$1,898,630                  | \$2,310,849                    | 55%               |
| City of Albany      | \$0                           | \$0                          | \$0                            | 0%                |
| City of Berkeley    | \$440,100                     | \$0                          | \$440,100                      | 100%              |
| City of Dublin      | \$296,353                     | \$0                          | \$296,353                      | 100%              |
| City of Emeryville  | \$299,292                     | \$299,292                    | \$0                            | 0%                |
| City of Fremont     | \$2,919,172                   | \$2,078,531                  | \$840,641                      | 29%               |
| City of Hayward     | \$533,215                     | \$0                          | \$533,215                      | 100%              |
| City of Livermore   | \$805,600                     | \$0                          | \$805,600                      | 100%              |
| City of Newark      | \$797,547                     | \$754,714                    | \$42,833                       | 5%                |
| City of Oakland     | \$7,135,000                   | \$1,385,746                  | \$5,749,254                    | 81%               |
| City of Piedmont    | \$622,020                     | \$268,079                    | \$353,941                      | 57%               |
| City of Pleasanton  | \$435,000                     | \$0                          | \$435,000                      | 100%              |
| City of San Leandro | \$3,091,233                   | \$628,897                    | \$2,462,336                    | 80%               |
| City of Union City  | \$818,481                     | \$178,481                    | \$640,000                      | 78%               |
| <b>Total</b>        | <b>\$26,259,872</b>           | <b>\$11,349,750</b>          | <b>\$14,910,122</b>            | <b>57%</b>        |

#### Notes:

1. Committed Amount as identified by jurisdictions in the FY 11-12 Compliance Report.
2. Expended amount as reported in the FY 12-13 Compliance Report.
3. Remaining amount to be expended by the end of FY 15-16.
4. Figures may vary due to number rounding.



## Measure B Bicycle and Pedestrian Program Capital Fund Reserve Monitoring Fund Balance

For the Measure B bicycle and pedestrian program, jurisdictions identified \$12.9 million in the FY 13-16 Capital Fund Reserve Window. Of that amount, \$3.8 million was expended as of the end of FY 12-13 on bicycle/pedestrian projects across Alameda County. Jurisdictions are expected to expend all remaining reserve balances by the end of FY 15-16. Below is a summary of the Capital Reserve Window for the bicycle and pedestrian program and the balance at the end of FY 12-13.

### Bicycle and Pedestrian: FY 13-16 Window Fund Balance

| Jurisdiction        | Committed Amount <sup>1</sup> | Expended Amount <sup>2</sup> | Remaining Balance <sup>3</sup> | Percent Remaining |
|---------------------|-------------------------------|------------------------------|--------------------------------|-------------------|
| ACPWA               | \$2,016,882                   | \$1,555,963                  | \$460,919                      | 23%               |
| City of Alameda     | \$475,491                     | \$440,443                    | \$35,048                       | 7%                |
| City of Albany      | \$0                           | \$0                          | \$0                            | 0%                |
| City of Berkeley    | \$273,270                     | \$3,478                      | \$269,792                      | 99%               |
| City of Dublin      | \$0                           | \$0                          | \$0                            | 0%                |
| City of Emeryville  | \$127,167                     | \$9,822                      | \$117,345                      | 92%               |
| City of Fremont     | \$2,365,959                   | \$836,723                    | \$1,529,236                    | 64%               |
| City of Hayward     | \$160,457                     | \$0                          | \$160,457                      | 100%              |
| City of Livermore   | \$754,782                     | \$45,550                     | \$709,232                      | 94%               |
| City of Newark      | \$226,667                     | \$83,670                     | \$142,997                      | 64%               |
| City of Oakland     | \$3,524,000                   | \$301,737                    | \$3,222,263                    | 91%               |
| City of Piedmont    | \$156,246                     | \$10,610                     | \$145,636                      | 93%               |
| City of Pleasanton  | \$1,229,943                   | \$10,532                     | \$1,219,411                    | 99%               |
| City of San Leandro | \$1,191,624                   | \$305,565                    | \$886,059                      | 74%               |
| City of Union City  | \$432,332                     | \$201,577                    | \$230,755                      | 53%               |
| <b>Total</b>        | <b>\$12,934,820</b>           | <b>\$3,805,670</b>           | <b>\$9,129,150</b>             | <b>71%</b>        |

#### Notes:

1. Committed Amount as identified by jurisdictions in the FY 11-12 Compliance Report.
2. Expended amount as reported in the FY 12-13 Compliance Report.
3. Remaining amount to be expended by the end of FY 15-16.
4. Figures may vary due to number rounding.



### Measure B Local Streets and Roads Program Fund Balance



For the Measure B local streets and roads program (local transportation), jurisdictions reported an ending FY 12-13 Measure B balance of \$22.7 million. After including FY 13-14 estimated revenue and accounting for anticipated FY 13-14 expenditures, the expected balance at the end of FY 13-14 is projected to be approximately \$20.1 million. This is about \$2.6 million less than the prior fiscal year and illustrates a decline in Measure B balances across the jurisdictions for the local streets and roads program.

#### FY 13-14 Ending Fund Balances

| Jurisdiction        | FY 12-13<br>Ending Balance | FY 13-14<br>Estimated<br>Revenue <sup>1</sup> | FY 13-14<br>Available<br>To Expend | FY 13-14<br>Anticipated<br>Expenditures <sup>2</sup> | Total<br>Anticipated<br>Balance <sup>3</sup> |
|---------------------|----------------------------|---|------------------------------------|--|--|
| Alameda County      | \$242,568                  | \$2,434,971                                   | \$2,677,539                        | \$1,757,980  | \$919,559                                    |
| City of Alameda     | \$2,871,537                | \$1,575,137                                   | \$4,446,675                        | \$2,712,814  | \$1,733,861                                  |
| City of Albany      | \$371,660                  | \$368,220                                     | \$739,880                          | \$739,880  | \$0  |
| City of Berkeley    | \$990,951                  | \$2,648,177                                   | \$3,639,129                        | \$3,249,029  | \$390,100                                    |
| City of Dublin      | \$874,161                  | \$370,976                                     | \$1,245,137                        | \$1,155,258  | \$89,879                                     |
| City of Emeryville  | \$18,866                   | \$238,868                                     | \$257,734                          | \$257,734  | \$0  |
| City of Fremont     | \$2,026,965                | \$2,044,741                                   | \$4,071,707                        | \$3,536,699  | \$535,008                                    |
| City of Hayward     | \$859,376                  | \$2,037,796                                   | \$2,897,172                        | \$2,496,525  | \$400,647                                    |
| City of Livermore   | \$1,139,361                | \$915,119                                     | \$2,054,480                        | \$742,847  | \$1,311,633                                  |
| City of Newark      | \$57,559                   | \$413,680                                     | \$471,239                          | \$300,000  | \$171,239                                    |
| City of Oakland     | \$8,504,010                | \$9,445,073                                   | \$17,949,083                       | \$7,704,580  | \$10,244,503                                 |
| City of Piedmont    | \$406,220                  | \$380,239                                     | \$786,459                          | \$509,590  | \$276,869                                    |
| City of Pleasanton  | \$929,963                  | \$703,279                                     | \$1,633,241                        | \$1,466,377  | \$166,864                                    |
| City of San Leandro | \$2,513,547                | \$1,248,832                                   | \$3,762,379                        | \$587,123  | \$3,175,256                                  |
| City of Union City  | \$838,441                  | \$648,523                                     | \$1,486,964                        | \$846,964  | \$640,000                                    |
| <b>Total</b>        | <b>\$22,645,186</b>        | <b>\$25,473,632</b>                           | <b>\$48,118,817</b>                | <b>\$28,063,401</b>                                  | <b>\$20,055,417</b>                          |

#### Notes:

1. FY 13-14 Estimated Revenue is based on May 2013 Measure B projections.
2. The FY 13-14 Planned Expenditures column consists of anticipated transportation related expenditures reported in the FY 12-13 Compliance Report.
3. The Anticipated Balance is the estimated FY 14-15 beginning balance.
4. Revenue and expenditure figures may vary due to number rounding.



## Measure B Bicycle and Pedestrian Program Fund Balance

For the Measure B bicycle and pedestrian program, jurisdictions reported an ending FY 12-13 Measure B balance of \$10.2 million. After including FY 13-14 estimated revenue, and accounting for anticipated FY 13-14 expenditures, the expected balance at the end of FY 13-14 is projected to be approximately \$6.9 million. This is approximately \$3.3 million less than the prior fiscal year and illustrates a decline in Measure B balances across the jurisdictions for the bicycle and pedestrian program.

### FY 13-14 Ending Fund Balances

| Jurisdiction        | FY 12-13<br>Ending Balance | FY 13-14<br>Estimated<br>Revenue <sup>1</sup> | FY 13-14<br>Available<br>To Expend | FY 13-14<br>Anticipated<br>Expenditures <sup>2</sup> | Total<br>Anticipated<br>Balance <sup>3</sup> |
|---------------------|----------------------------|---|------------------------------------|--|--|
| Alameda County      | \$506,683                  | \$398,627                                     | \$905,310                          | \$875,017  | \$30,293                                     |
| City of Alameda     | \$44,159                   | \$208,310                                     | \$252,469                          | \$200,000  | \$52,469                                     |
| City of Albany      | \$41,606                   | \$51,605                                      | \$93,211                           | \$93,211   | \$0  |
| City of Berkeley    | \$421,324                  | \$320,491                                     | \$741,814                          | \$419,241  | \$322,573                                    |
| City of Dublin      | \$6,513                    | \$130,582                                     | \$137,095                          | \$132,186  | \$4,909                                      |
| City of Emeryville  | \$118,679                  | \$28,464                                      | \$147,143                          | \$92,965   | \$54,178                                     |
| City of Fremont     | \$1,784,847                | \$607,560                                     | \$2,392,407                        | \$1,795,137  | \$597,271                                    |
| City of Hayward     | \$339,249                  | \$410,570                                     | \$749,819                          | \$588,591  | \$161,228                                    |
| City of Livermore   | \$740,302                  | \$229,964                                     | \$970,266                          | \$250,071  | \$720,195                                    |
| City of Newark      | \$147,284                  | \$120,120                                     | \$267,404                          | \$230,000  | \$37,404                                     |
| City of Oakland     | \$3,305,944                | \$1,103,341                                   | \$4,409,286                        | \$1,795,809  | \$2,613,477                                  |
| City of Piedmont    | \$149,727                  | \$30,161                                      | \$179,888                          | \$105,696  | \$74,192                                     |
| City of Pleasanton  | \$1,359,938                | \$198,898                                     | \$1,558,836                        | \$464,478  | \$1,094,358                                  |
| City of San Leandro | \$896,043                  | \$240,159                                     | \$1,136,202                        | \$430,171  | \$706,031                                    |
| City of Union City  | \$362,832                  | \$197,160                                     | \$559,992                          | \$168,182  | \$391,810                                    |
| <b>Total</b>        | <b>\$10,225,130</b>        | <b>\$4,276,013</b>                            | <b>\$14,501,143</b>                | <b>\$7,640,754</b>                                   | <b>\$6,860,389</b>                           |

#### Notes:

1. FY 13-14 Estimated Revenue is based on May 2013 Measure B projections.
2. The FY 13-14 Planned Expenditures column consists of anticipated transportation related expenditures reported in the FY 12-13 Compliance Report.
3. The Anticipated Balance is the estimated FY 14-15 beginning balance.
4. Revenue and expenditure figures may vary due to number rounding.



### Measure B Mass Transit Program Fund Balance



For the Measure B mass transit program, jurisdictions reported a total ending FY 12-13 Measure B balance of \$5.7 million. After including FY 13-14 estimated revenue and accounting for anticipated FY 13-14 expenditures, the expected balance at the end of FY 13-14 is projected to be approximately \$5.4 million. This is about \$0.3 million less than the prior fiscal year and illustrates a decline in Measure B balances across the jurisdictions for the mass transit program.

It is important to note that jurisdictions regularly using mass transit funds on operations in their entirety each year. The anticipated revenue balance of \$5.4 million is indicative of ACE's operating agreement structure which specifies the Alameda County share of service costs relative to the shares of other participating counties, and WETA's planned capital expenditures of Measure B funds on major ferry vessel upgrades in subsequent fiscal years.

#### FY 13-14 Ending Fund Balances

| Jurisdiction       | FY 12-13<br>Ending Balance | FY 13-14<br>Estimated<br>Revenue <sup>1</sup> | FY 13-14<br>Available<br>to Expend | FY 13-14<br>Anticipated<br>Expenditures <sup>2</sup> | Total<br>Anticipated<br>Balance <sup>3</sup> |
|--------------------|----------------------------|---|------------------------------------|--|--|
| AC Transit         | \$0                        | \$19,715,268                                  | \$19,715,268                       | \$19,715,268   | \$0  |
| ACE                | \$2,478,937                | \$2,417,372                                   | \$4,896,309                        | \$2,820,948  | \$2,075,361                                  |
| LAVTA              | \$0                        | \$786,786                                     | \$786,786                          | \$786,786  | \$0  |
| WETA               | \$3,183,230                | \$889,411                                     | \$4,072,641                        | \$801,581  | \$3,271,060                                  |
| Union City Transit | \$0                        | \$387,692                                     | \$387,692                          | \$387,692  | \$0  |
| <b>Total</b>       | <b>\$5,662,167</b>         | <b>\$23,196,529</b>                           | <b>\$28,648,391</b>                | <b>\$23,683,259</b>                                  | <b>\$5,346,421</b>                           |

#### Notes:

1. FY 13-14 Estimated Revenue is based on May 2013 Measure B projections.
2. The FY 13-14 Planned Expenditures column consists of anticipated transportation related expenditures reported in the FY 12-13 Compliance Report.
3. The Anticipated Balance is the estimated FY 14-15 beginning balance.
4. Revenue and expenditure figures may vary due to number rounding.



## Measure B Paratransit Program Fund Balance

For the Measure B paratransit program, jurisdictions reported a total ending FY 12-13 Measure B balance of \$1.9 million. After including FY 13-14 estimated revenue and accounting for anticipated FY 13-14 expenditures, the expected balance at the end of FY 13-14 is projected to be approximately \$0.4 million. This is about \$1.5 million less than the prior fiscal year and illustrates a significant decline in Measure B balances across the jurisdictions for the paratransit program.

### FY 13-14 Ending Fund Balances

| Jurisdiction        | FY 12-13<br>Ending Balance | FY 13-14<br>Estimated<br>Revenue <sup>1</sup> | FY 13-14<br>Available<br>to Expend | FY 13-14<br>Anticipated<br>Expenditures <sup>2</sup> | Total<br>Anticipated<br>Balance <sup>3</sup> |
|---------------------|----------------------------|---|------------------------------------|--|--|
| AC Transit          | \$0                        | \$4,720,718                                   | \$4,720,718                        | \$4,720,718  | \$0  |
| BART                | \$0                        | \$1,699,002                                   | \$1,699,002                        | \$1,699,002  | \$0  |
| LAVTA               | \$0                        | \$147,543                                     | \$147,543                          | \$147,543  | \$0  |
| City of Alameda     | \$92,331                   | \$160,095                                     | \$252,426                          | \$252,426  | \$0  |
| City of Albany      | \$15,548                   | \$31,033                                      | \$46,581                           | \$46,581   | \$0  |
| City of Berkeley    | \$136,398                  | \$252,178                                     | \$388,576                          | \$363,358  | \$25,218                                     |
| City of Emeryville  | \$15,472                   | \$23,148                                      | \$38,620                           | \$34,620   | \$4,000                                      |
| City of Fremont     | \$382,192                  | \$779,649                                     | \$1,161,841                        | \$1,083,876  | \$77,965                                     |
| City of Hayward     | \$963,681                  | \$723,835                                     | \$1,687,516                        | \$1,383,500  | \$304,016                                    |
| City of Newark      | \$39,862                   | \$157,057                                     | \$196,919                          | \$196,919  | \$0  |
| City of Oakland     | \$158,107                  | \$947,481                                     | \$1,105,588                        | \$1,105,588  | \$0  |
| City of Pleasanton  | \$0                        | \$91,914                                      | \$91,914                           | \$91,914   | \$0  |
| City of San Leandro | \$62,636                   | \$279,603                                     | \$342,239                          | \$342,239  | \$0  |
| City of Union City  | \$0                        | \$271,980                                     | \$271,980                          | \$271,980  | \$0  |
| <b>Total</b>        | <b>\$1,866,227</b>         | <b>\$10,285,235</b>                           | <b>\$12,151,463</b>                | <b>\$11,740,264</b>                                  | <b>\$411,199</b>                             |

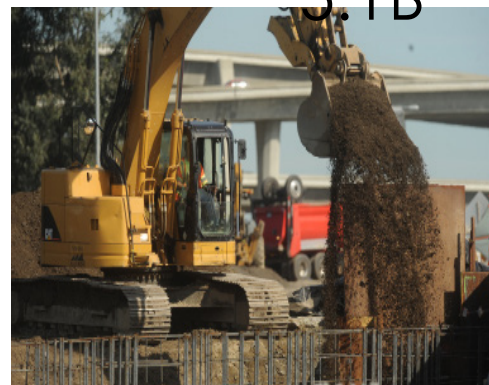
#### Notes:

1. FY 13-14 Estimated Revenue is based on May 2013 Measure B projections.
2. The FY 13-14 Planned Expenditures column consists of anticipated transportation related expenditures reported in the FY 12-13 Compliance Report.
3. The Anticipated Balance is the estimated FY 14-15 beginning balance.
4. Revenue and expenditure figures may vary due to number rounding.





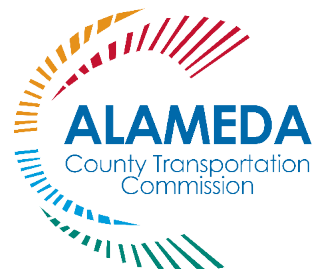




# Vehicle Registration Fee

## Direct Local Program Distributions

### Compliance Report



**Fiscal Year 2012-2013**

**June 2014**

**Alameda County Transportation Commission**  
 1111 Broadway, Suite 800  
 Oakland, CA 94607  
[www.AlamedaCTC.org](http://www.AlamedaCTC.org)

**DRAFT May 7, 2014**

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## Introduction



In November 2010, Alameda County voters approved the Measure F Vehicle Registration Fee to authorize the annual collection of a \$10 per vehicle registration fee (VRF). Vehicles subject to the VRF include all motorized vehicles (unless vehicles are expressly exempt). Six months after the Measure's approval, VRF fee collection began. In Spring 2012, the first VRF distributions were allocated to eligible recipients.

The VRF Program allocates 60 percent of net fund receipts to local road improvements and repairs in Alameda County. The goal of this program is to support transportation investments to sustain the County's transportation network and reduce traffic congestion and vehicle-related pollution. The VRF's Local Road

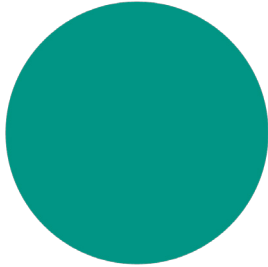
and Repair Program is part of an overall strategy to finance transportation capital improvements intended to maintain and improve local streets and roads as well as a broad range of facilities in Alameda County (from local to arterial facilities).

The Alameda County Transportation Commission (Alameda CTC) maintains Master Programs Funding Agreements (MPFA) with fifteen jurisdictions eligible to receive VRF funds known as "Direct Local Program Distribution funds". Through the MPFA, Alameda CTC outlines specific requirements tied to eligible usage of VRF funds, and reporting requirements. This Compliance Report provides a summary of FY 12-13 revenues and expenditures reported by VRF recipients.

VRF recipients are required to submit an audited financial statement and complete a compliance reporting process, including submitting the following deliverables annually to Alameda CTC:

- **Road miles:** The number of maintained road miles within the city's jurisdiction.
- **Population:** The number of people the jurisdiction's transportation program serves in the fiscal year.
- **Newsletter:** Documentation of a published article that highlights the VRF funded improvements.
- **Website:** Documentation of program information on a local agency website with a link to Alameda CTC's website.
- **Signage:** Documentation of public identification of program improvements as a benefit of using the VRF program.
- **Pavement Condition Index:** Documentation of the agency's Pavement Condition Index (PCI) to provide a frame of reference for the conditions of their local streets and roads.
- **Complete Streets Policy:** Confirmation that local jurisdictions adopted a Complete Streets Policy by June 30, 2013.
- **Timely Use of Funds and Reserve Policy:** Provide an implementation plan using unexpended fund balances. Per the MPFA, local jurisdictions must expend VRF funds in an expeditious manner, and no unexpended funds beyond those included in specified reserve categories may be permitted. If VRF recipients do not meet the timely use of funds requirements, unspent funds may be subject to rescission.

### VRF Direct Local Program Distributions Revenues



Alameda CTC VRF Program Distribution

Dollars in millions

|                                  |              |             |
|----------------------------------|--------------|-------------|
| <b>1</b> Local Streets and Roads | \$6.9        | 100%        |
| <b>Total Distributions</b>       | <b>\$6.9</b> | <b>100%</b> |

The Alameda CTC disburses VRF Direct Local Program Distribution funds on a monthly basis to the eligible jurisdictions for their local road improvement and repair programs. This report summarizes the total Alameda CTC VRF fund allocations and agency expenditures for fiscal year 2012-13 (FY 12-13).

The data within this report is based on information included in compliance and audited financial statements reports that the jurisdictions submitted at the end of the year. The individual reports and audits are available for review online at [http://www.alamedactc.org/app\\_pages/view/9863](http://www.alamedactc.org/app_pages/view/9863).

### VRF Direct Local Program Distributions

From the start of the VRF Program distributions in Spring 2012, program receipts and Alameda CTC's funding distributions have been consistent each year. Annually, Alameda CTC collects approximately \$11.0 million in VRF receipts each year. Approximately 60 percent of net VRF program funds are allocated to local jurisdictions as Direct Local Program Distributions.

In FY 12-13 Alameda CTC provided approximately \$6.9 million in VRF Direct Local Program Distributions to jurisdictions for their local streets and roads programs. In turn, the jurisdictions used the VRF funds in tandem with other revenue streams such as the Measure B half-cent sales tax to implement projects totalling approximately \$19.3 million in transportation improvements in FY 12-13.





## VRF Direct Local Program Distributions Expenditures

FY 12-13 is the second full fiscal year of VRF distributions to the fifteen eligible recipients in Alameda County and VRF funded improvements are now coming into fruition. In FY 12-13, jurisdictions expended approximately \$4.6 million on local road improvements and maintenance activities. This is \$4.5 million more in expenditures than in the prior fiscal year. Over the next three fiscal years jurisdictions anticipate an increase in VRF funded activities as jurisdictions incorporate VRF funding into their annual programs and budgeting processes.

See the chart below for more information on VRF Direct Local Program Distribution fund balances, new revenue, and expenditures in FY 12-13.



### FY 12-13 VRF Expenditures and Fund Balances

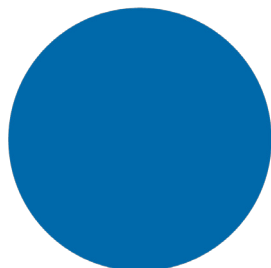
| Jurisdiction        | 11-12 VRF Balance  | 12-13 VRF Revenue  | 12-13 VRF Interest | 12-13 VRF Expended | Ending VRF Balance |
|---------------------|--------------------|--------------------|--------------------|--------------------|--------------------|
| Alameda County      | \$683,581          | \$681,786          | \$9,936            | \$1,375,303        | \$0                |
| City of Alameda     | \$331,303          | \$310,807          | \$3,309            | \$1,270            | \$644,149          |
| City of Albany      | \$74,674           | \$76,985           | \$112              | \$144,677          | \$7,094            |
| City of Berkeley    | \$474,334          | \$478,124          | \$0                | \$56,743           | \$895,715          |
| City of Dublin      | \$250,726          | \$225,031          | \$2,796            | \$196,965          | \$281,588          |
| City of Emeryville  | \$44,867           | \$42,474           | \$130              | \$87,471           | \$0                |
| City of Fremont     | \$1,067,554        | \$998,013          | \$13,744           | \$650,000          | \$1,429,311        |
| City of Hayward     | \$731,460          | \$701,802          | \$1,253            | \$944,854          | \$489,661          |
| City of Livermore   | \$437,264          | \$396,335          | \$0                | \$311,179          | \$522,420          |
| City of Newark      | \$217,184          | \$197,315          | \$709              | \$200,000          | \$215,208          |
| City of Oakland     | \$1,891,353        | \$1,646,231        | -\$3,210           | \$122,666          | \$3,411,708        |
| City of Piedmont    | \$49,408           | \$45,001           | \$0                | \$0                | \$94,409           |
| City of Pleasanton  | \$362,934          | \$342,796          | -\$1,512           | \$207,894          | \$496,324          |
| City of San Leandro | \$425,278          | \$410,515          | \$0                | \$6,135            | \$829,658          |
| City of Union City  | \$367,037          | \$323,866          | \$2,179            | \$242,258          | \$450,824          |
| <b>Total</b>        | <b>\$7,408,957</b> | <b>\$6,877,081</b> | <b>\$29,446</b>    | <b>\$4,547,415</b> | <b>\$9,768,069</b> |

#### Notes:

1. The table above reflects total VRF revenue and expenditures reported by the jurisdictions.
2. Revenue and expenditure figures throughout this report may vary due to number rounding.
3. Negative interest are reflective of GASB 31 accounting adjustments.
4. The Ending VRF Balance includes interest on VRF funds.



### VRF Direct Local Program Distribution Expenditures



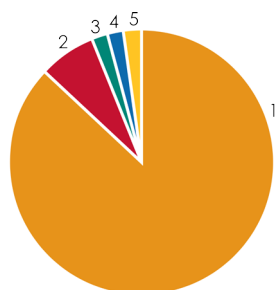
Total VRF Funds Expended

Dollars in millions

|                                  |              |             |
|----------------------------------|--------------|-------------|
| <b>1 Local Streets and Roads</b> | <b>\$4.6</b> | <b>100%</b> |
| <b>Total Expenditures</b>        | <b>\$4.6</b> | <b>100%</b> |

Per the MPFA's Local Streets and Roads Implementation Guidelines, the VRF Local Road Improvement and Repair Program funds are eligible for capital improvements for surface streets and arterial roads, including maintenance and upkeep efforts of local streets. VRF funding may be also used for improving, maintaining, and rehabilitating local roadways and traffic signals. Projects and activities designed to incorporate a Complete Streets practice that makes local roads safe for all modes, including bicyclists, pedestrians, and accommodation for transit are also eligible VRF expenses.

In FY 12-13, the jurisdictions reported \$4.6 million in VRF expenditures that supported local roadway and complete streets improvements. Of those total expenditures, \$4.5 million directly funded street and roads projects and the remaining \$0.1 million funded bicycle and pedestrian improvements related to streets and roads.



Total VRF Expenditures by Phase

Dollars in millions

|                           |              |             |
|---------------------------|--------------|-------------|
| <b>1 Construction</b>     | <b>\$4.0</b> | <b>87%</b>  |
| <b>2 Maintenance</b>      | <b>\$0.3</b> | <b>7%</b>   |
| <b>3 PS&amp;E</b>         | <b>\$0.1</b> | <b>2%</b>   |
| <b>4 Scoping/Planning</b> | <b>\$0.1</b> | <b>2%</b>   |
| <b>5 Other</b>            | <b>\$0.1</b> | <b>2%</b>   |
| <b>Total Expenditures</b> | <b>\$4.6</b> | <b>100%</b> |

### Total VRF Expenditures by Project Phase

VRF funds support local transportation improvements through various project phases. This includes initial planning/project scoping, environmental review, construction, maintenance and operational activities, and project close-out. The jurisdictions perform ongoing road maintenance and safety enhancements to provide residents with improved roadway conditions.

In FY 12-13, \$4.0 million financed construction projects throughout Alameda County. Jurisdictions combined VRF funds and Measure B funds to implement road rehabilitation projects, slurry seals, and other maintenance activities to maintain and improve local roadways. The other \$0.6 million in expenditures included general maintenance, initial planning/project scoping, and preliminary engineering activities in preparation for the following year's local street and road projects and infrastructure enhancement efforts. These expenditures help improve Alameda County's transportation infrastructure by improving, maintaining, and rehabilitating local roads.

### Total VRF Expenditures by Project Type

VRF Direct Local Program Distributions are eligible for local street and road improvements including improvements that meet the Complete Streets practice to make transportation safe and accessible to all modes, including bicycle, pedestrian and transit.

In FY 12-13, by Project Type jurisdictions expended the majority of the \$4.6 million in expenditures on street resurfacing and maintenance (\$3.9 million). The remaining \$0.7 million in expenditures included signal construction, bicycle safety enhancements, and pedestrian crossing improvements.

VRF Revenues and Expenditure Trends

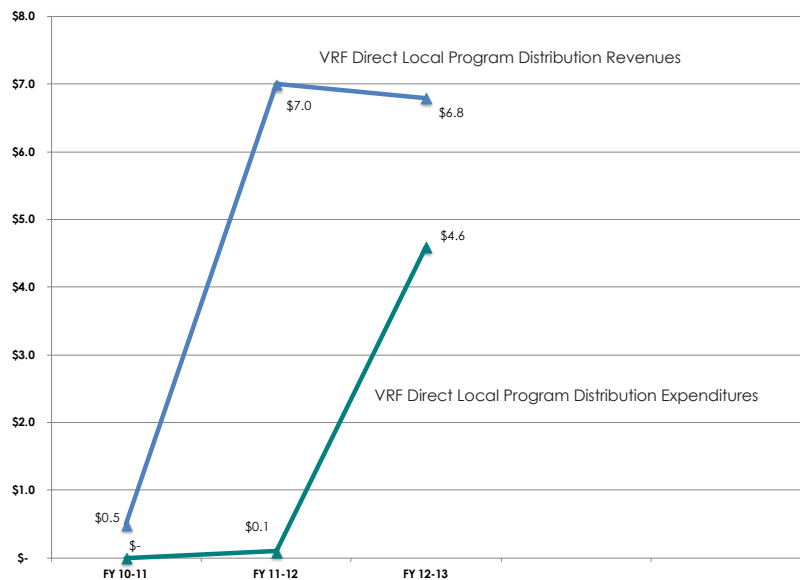
Since the start of the VRF program in 2011, the total receipts generated from vehicle registration fees have remained consistent. Each year, Alameda CTC receives approximately \$11.0 million in receipts, of which approximately \$7.0 million (60 percent) is allocated directly to the fifteen eligible VRF recipients via Direct Local Program Distributions. The VRF program currently contains only two full years of funding distributions and jurisdictions are beginning to expend more VRF funds as part of their annual program plans.

In FY 12-13, VRF expenditures have increased significantly from the prior year and are anticipated to continue along this expenditure trend. The chart below details the VRF program's annual revenues and expenditures since the start of the VRF program.



VRF Annual Revenues and Expenditures Trends  
FY 10-11 through FY 12-13

Dollar in millions





### Timely Use of Funds and Reserves Policy



In order to ensure agencies are expending VRF funds expeditiously on local road improvements, the MPFA's Timely Use of Funds Policy requires jurisdictions to report anticipated use of all VRF funds for their VRF local road improvement and repair program. As part of the annual compliance reporting process, jurisdictions provide detailed information regarding planned uses of VRF funds and preliminary information regarding anticipated project deliverables.

Per the MPFA's Fund Reserve Policy, jurisdictions can establish certain fund reserves to account for unexpended balances. The types of fund reserves and their eligibilities are noted in the following chart.

#### Fund Reserve Categories

| Reserve Category  | Maximum Funding Allotment   | Timely Use of Funds Requirement  |
|---|---|--|
| <b>Capital Fund Reserve</b><br>Recipients may establish a specific capital fund reserve to fund specific large capital project(s) that could otherwise not be funded with a single's year revenue of VRF funds. | None.   | (1) Recipients shall expend all reserve funds by the end of three fiscal years following the fiscal year during which the reserve was established. |
| <b>Operations Fund Reserve</b><br>Recipients may establish and maintain a specific reserve to address operational issues, including fluctuations in revenues, and to help maintain transportation operations.   | 50 percent of anticipated annual VRF Direct Local Program Distribution revenue  | (1) Revolving fund<br>(2) Unexpended funds may be reassigned in the subsequent fiscal year.  |
| <b>Undesignated Fund Reserve</b><br>Recipients may establish and maintain a specific reserve for transportation needs over a fiscal year for grants, studies, contingency, etc.                                 | 10 percent of anticipated annual VRF Direct Local Program Distribution revenues | (1) Unexpended funds may be reassigned in the subsequent fiscal year.  |

### Monitoring Timely Use of Funds and Reserves

As part of the annual compliance report, VRF recipients are required to provide an implementation plan using all available VRF funds. Over the subsequent annual compliance reports, Alameda CTC will utilize the reported information to track reported expenditures and to monitor the implementation plans for compliance with the MPFA's Timely Use of Funds Policy.

Last year, Alameda CTC implemented the first year of monitoring and tracking fund reserves as part of the FY 11-12 Annual Compliance Report. In that report, jurisdictions provided implementation plans.

In this year's compliance reporting evaluation, Alameda CTC will:

1. Monitor jurisdictions' implementation plans to ensure jurisdictions are actively expending VRF funds and enhancing the local transportation system throughout Alameda County.
2. Review jurisdictions' updated implementation plans which include the identification of uncommitted fund balances and anticipated annual revenue for the FY 13-14 period.

The charts on the following pages provides a monitoring summary of Capital Fund Reserve balances and a review of the jurisdictions' anticipated VRF Direct Local Program Distribution fund balances at the end of FY 13-14.



## VRF Capital Fund Reserve Monitoring



As part of the FY 11-12 reporting, jurisdictions identified a plan to use all VRF funds available in FY 12-13. Jurisdictions could establish a Capital Fund Reserve Plan that spans from FY 12-13 through FY 15-16. This is referred to as the FY 13-16 Capital Reserve Window (FY 13-16 Window). In total, jurisdictions identified \$10.8 million and have expended \$2.6 million as of the end of FY 12-13. Jurisdictions have until the end of FY 15-16 to expend the remaining \$8.2 million.

As part of the FY 12-13 reporting, jurisdictions identified a plan to use all VRF funds (not already identified in a Capital Reserve) for FY 13-14. Jurisdictions were allowed to establish a Capital Fund Reserve Plan that spans from FY 13-14 through FY 16-17. This is referred to as the FY 14-17 Capital Fund Reserve Window (FY 14-17). In total, jurisdictions identified \$4.9 million and must expend these funds by the end of FY 16-17.

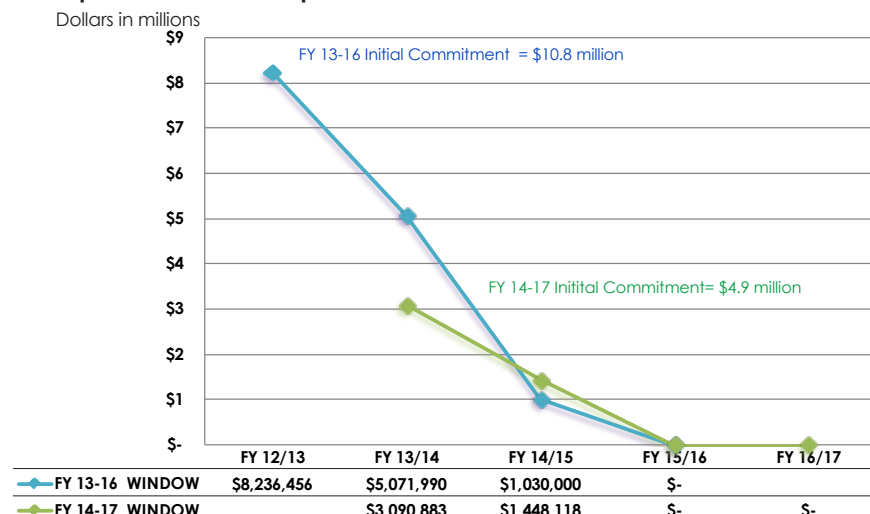
The Capital Fund Reserve Windows are illustrated below.

### Capital Reserve Window Summary

| Capital Fund Reserve | FY 12-13  | FY 13-14   | FY 14-15 | FY 15-16 | FY 16-17 |
|----------------------|---|--|----------|----------|----------|
| FY 13-16 Window      | \$10.8 million committed<br>\$8.2 million remaining |  |          |          |          |
| FY 14-17 Window      |   | \$4.9 million committed<br>\$4.9 million remaining |          |          |          |

Alameda CTC will monitor the projects and funding plans identified in these reserve windows and the overall compliance status of the identified Capital Fund Reserves. Over the next three years of implementing the Timely Use of Funds and Reserve Policy, Alameda CTC anticipates a further reduction of overall VRF fund balances. The anticipated expenditure of the Capital Fund Reserve balance is depicted below.

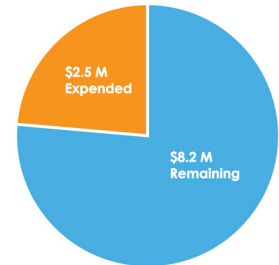
### Anticipated Year End Capital Fund Reserve Balance



## VRF Capital Fund Reserve Window Fund Balances

### FY 13-16 Capital Fund Reserve Window

In the first year of implementing in the MPFA's Timely Use of Funds Policy, jurisdictions identified \$10.8 million in the FY 13-16 Window. At the end of FY 12-13, jurisdictions' collective FY 13-16 Window Balance is approximately \$8.2 million. The balance is required to be expended by the end of the reserve window (FY 15-16).



#### FY 13-16 Capital Fund Reserve Window Balance

| Jurisdiction        | Committed Amount <sup>1</sup> | Expended Amount <sup>2</sup> | Remaining Balance <sup>3</sup> | Percent Remaining |
|---------------------|-------------------------------|------------------------------|--------------------------------|-------------------|
| Alameda County      | \$1,379,214                   | \$1,375,303                  | \$3,911                        | 1%                |
| City of Alameda     | \$635,006                     | \$1,270                      | \$633,736                      | 99%               |
| City of Albany      | \$145,485                     | \$144,677                    | \$808                          | 1%                |
| City of Berkeley    | \$819,132                     | \$0                          | \$819,132                      | 100%              |
| City of Dublin      | \$0                           | \$0                          | \$0                            | 0%                |
| City of Emeryville  | \$44,867                      | \$44,867                     | \$0                            | 0%                |
| City of Fremont     | \$1,502,773                   | \$650,000                    | \$852,773                      | 57%               |
| City of Hayward     | \$424,724                     | \$0                          | \$424,724                      | 100%              |
| City of Livermore   | \$493,272                     | \$0                          | \$493,272                      | 100%              |
| City of Newark      | \$438,557                     | \$200,000                    | \$238,557                      | 54%               |
| City of Oakland     | \$3,539,000                   | \$122,666                    | \$3,416,334                    | 97%               |
| City of Piedmont    | \$91,575                      | \$0                          | \$91,575                       | 100%              |
| City of Pleasanton  | \$150,000                     | \$0                          | \$150,000                      | 100%              |
| City of San Leandro | \$859,062                     | \$6,135                      | \$852,927                      | 99%               |
| City of Union City  | \$258,707                     | \$0                          | \$258,707                      | 100%              |
| <b>Total</b>        | <b>\$10,781,374</b>           | <b>\$2,544,918</b>           | <b>\$8,236,456</b>             | <b>76%</b>        |

#### FY 13-16 Capital Fund Reserve Window

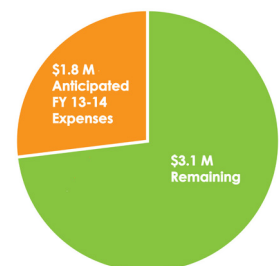
|                          |                    |
|--------------------------|--------------------|
| Committed Amount         | \$10,781,374       |
| Expended Amount          | \$2,544,918        |
| <b>Balance Remaining</b> | <b>\$8,236,456</b> |

#### Notes:

1. Committed Amount as identified by jurisdictions in the FY 11-12 Compliance Report.
2. Expended amount as reported in the FY 12-13 Compliance Report.
3. Remaining amount to be expended by the end of FY 15-16.
4. Figures may vary due to number rounding.

### FY 14-17 Capital Fund Reserve Window

In this year's compliance report, jurisdictions identified \$4.9 million in the FY 14-17 Capital Fund Reserve Window. Jurisdictions anticipate \$1.8 million in FY 13-14 expenditures. Alameda CTC will monitor the expenses in future compliance reports.



#### FY 14-17 Capital Fund Reserve Window

|                               |                    |
|-------------------------------|--------------------|
| Committed Amount              | \$4,914,292        |
| Anticipated FY 13-14 Expenses | \$1,823,409        |
| <b>Anticipated Balance</b>    | <b>\$3,090,883</b> |

### VRF Local Road Improvement and Repair Program Fund Balance



For the VRF Local Road Improvement and Repair Program, jurisdictions reported an ending FY 12-13 VRF balance of approximately \$9.8 million. After including FY 13-14 estimated revenue and accounting for anticipated FY 13-14 expenditures, the expected balance at the end of FY 13-14 is projected to be approximately \$9.2 million. This is a \$0.6 million estimated decrease in fund balances from the prior fiscal year, which indicates local jurisdictions are incorporating more VRF funds into their budget and project implementation process. Over the next three fiscal years, jurisdictions anticipate delivering more improvement projects to enhance Alameda County's transportation system using VRF revenues.

#### FY 13-14 Ending Fund Balances

| Jurisdiction        | FY 12-13 Ending Balance | FY 13-14 Estimated Revenue <sup>1</sup> | FY 13-14 Available to Expend | FY 13-14 Planned Expenditures <sup>2</sup> | FY 13-14 Ending Balance <sup>3</sup> |
|---------------------|-------------------------|---|------------------------------|--|--------------------------------------|
| Alameda County      | \$0                     | \$649,854                               | \$649,854                    | \$649,854                                  | \$0                                  |
| City of Alameda     | \$644,149               | \$296,246                               | \$940,395                    | \$633,736                                  | \$306,659                            |
| City of Albany      | \$70,94                 | \$73,390                                | \$80,484                     | \$80,484                                   | \$0                                  |
| City of Berkeley    | \$895,715               | \$455,783                               | \$1,351,497                  | \$832,737                                  | \$518,760                            |
| City of Dublin      | \$281,589               | \$214,510                               | \$496,098                    | \$474,647                                  | \$21,451                             |
| City of Emeryville  | \$0                     | \$40,480                                | \$40,480                     | \$40,480                                   | \$0                                  |
| City of Fremont     | \$1,429,311             | \$951,260                               | \$2,380,571                  | \$1,509,874                                | \$870,697                            |
| City of Hayward     | \$489,661               | \$668,930                               | \$1,158,591                  | \$1,158,591                                | \$0                                  |
| City of Livermore   | \$522,419               | \$377,766                               | \$900,185                    | \$765,272                                  | \$134,913                            |
| City of Newark      | \$215,208               | \$188,072                               | \$403,280                    | \$160,000                                  | \$243,380                            |
| City of Oakland     | \$3,411,707             | \$1,569,106                             | \$4,980,813                  | \$350,000                                  | \$4,630,813                          |
| City of Piedmont    | \$94,409                | \$42,893                                | \$137,302                    | \$131,000                                  | \$6,302                              |
| City of Pleasanton  | \$496,658               | \$326,733                               | \$823,057                    | \$765,461                                  | \$57,596                             |
| City of San Leandro | \$829,658               | \$391,283                               | \$1,220,941                  | \$10,000                                   | \$1,210,941                          |
| City of Union City  | \$450,823               | \$308,695                               | \$759,518                    | \$249,621                                  | \$509,987                            |
| <b>Total</b>        | <b>\$9,768,066</b>      | <b>\$6,555,000</b>                      | <b>\$16,323,066</b>          | <b>\$7,811,757</b>                         | <b>\$9,145,046</b>                   |

#### Notes:

1. FY 13-14 Estimated Revenue is based on May 2013 VRF projections.
2. The FY 13-14 Planned Expenditures column consists of anticipated transportation related expenditures reported in the FY 12-13 Compliance Report.
3. The Anticipated Ending Balance is the estimated FY 13-14 beginning balance.
4. Revenue and expenditure figures may vary due to number rounding.



## VRF Local Road Improvement and Repair Program FY 12-13 Program Highlights

In FY 12-13, jurisdictions implemented approximately \$4.6 million in local road improvements and repairs to make Alameda County's transportation system safer, accessible, and maintained.

The following includes agency highlights of VRF funded improvements.

- **Alameda County:** Resurfaced 2.4 million square feet of asphalt to extend pavement life and improve reliability on roads including Grant Line, Bryon, Beth, and Crow Canyon.
- **City of Alameda:** Initiated PS&E studies to implement a street repair and maintenance program.
- **City of Albany:** Constructed bicycle path and a traffic signal at Buchanan and Pierce intersection to enhance safety and to encourage travel on the Ohlone Greenway and the Bay Trail.
- **City of Berkeley:** Completed 3,845 pot holes and 124 street patch repairs.
- **City of Dublin:** Upgraded the Traffic Operations Center communication network that will improve traffic circulation and safety monitoring.
- **City of Emeryville:** Performed 372,000 square feet of slurry seals.
- **City of Fremont:** Treated 850,000 square feet of roadway as part of the 2012 Cap & Slurry Seal Project.
- **City of Hayward:** Rehabilitated 3.3 million square feet of streets.
- **City of Livermore:** Repaired, overlaid and rehabilitated 1.3 million square feet of roadway.
- **City of Newark:** Restored 600,000 square feet of worn out pavement.
- **City of Oakland:** Performed PS&E studies in preparation for street resurfacing projects in 2014.
- **City of Piedmont:** Incorporated VRF funds into a 2014 pavement plan.
- **City of Pleasanton:** Completed slurry sealing of 1.7 million square feet of city streets and roadways.
- **City of San Leandro:** Initiated PS&E studies for future street resurfacing and maintenance projects.
- **City of Union City:** Realigned 2,600 feet of roadway and reconfigured the Alvarado Blvd and Union City Blvd intersection to improve pedestrian safety and traffic circulation.







# Summary of Exemptions for Agencies with Balances of Greater than 30 percent

5.1C

(Cumulatively Across the Programs)

## MEASURE B

### WETA

| Program        | Planned Expenditures<br>FY 12-13 | Actual Expenditures<br>FY 12-13 | Unspent Amount<br>FY 12-13 | Unspent<br>Percentage | Reason Code    |
|----------------|----------------------------------|---------------------------------|----------------------------|-----------------------|----------------|
| Mass Transit   | \$ 782,481                       | \$ 218,426                      | \$ 564,055                 | 72%                   |                |
| <b>Totals:</b> | <b>\$ 782,481</b>                | <b>\$ 218,426</b>               | <b>\$ 564,055</b>          | <b>72%</b>            | <b>1 and 2</b> |

### City of Albany

| Program                 | Planned Expenditures<br>FY 12-13 | Actual Expenditures<br>FY 12-13 | Unspent Amount<br>FY 12-13 | Unspent<br>Percentage | Reason Code    |
|-------------------------|----------------------------------|---------------------------------|----------------------------|-----------------------|----------------|
| Bicycle and Pedestrian  | \$ 59,471                        | \$ 18,425                       | \$ 41,046                  | 69%                   |                |
| Local Streets and Roads | \$ 368,779                       | \$ 8,508                        | \$ 360,271                 | 98%                   |                |
| Paratransit             | \$ 28,490                        | \$ -                            | \$ 28,490                  | 100%                  |                |
| <b>Total:</b>           | <b>\$ 456,740</b>                | <b>\$ 26,933</b>                | <b>\$ 429,807</b>          | <b>94%</b>            | <b>2 and 4</b> |

### City of Dublin

| Program                 | Planned Expenditures<br>FY 12-13 | Actual Expenditures<br>FY 12-13 | Unspent Amount<br>FY 12-13 | Unspent<br>Percentage | Reason Code |
|-------------------------|----------------------------------|---------------------------------|----------------------------|-----------------------|-------------|
| Bicycle and Pedestrian  | \$ 492,812                       | \$ 494,037                      | \$ (1,225)                 | 0%                    |             |
| Local Streets and Roads | \$ 903,389                       | \$ 346,513                      | \$ 556,876                 | 62%                   |             |
| <b>Total:</b>           | <b>\$ 1,396,201</b>              | <b>\$ 840,550</b>               | <b>\$ 555,651</b>          | <b>40%</b>            | <b>3</b>    |

## Vehicle Registration Fee

### City of Berkeley

| Program                 | Planned Expenditures<br>FY 12-13 | Actual Expenditures<br>FY 12-13 | Unspent Amount<br>FY 12-13 | Unspent<br>Percentage | Reason Code |
|-------------------------|----------------------------------|---------------------------------|----------------------------|-----------------------|-------------|
| Local Streets and Roads | \$ 102,500                       | \$ 56,743                       | \$ 45,757                  | 45%                   |             |
| <b>Total:</b>           | <b>\$ 102,500</b>                | <b>\$ 56,743</b>                | <b>\$ 45,757</b>           | <b>45%</b>            | <b>5</b>    |

### City of Dublin

| Program                 | Planned Expenditures<br>FY 12-13 | Actual Expenditures<br>FY 12-13 | Unspent Amount<br>FY 12-13 | Unspent<br>Percentage | Reason Code |
|-------------------------|----------------------------------|---------------------------------|----------------------------|-----------------------|-------------|
| Local Streets and Roads | \$ 370,000                       | \$ 196,965                      | \$ 173,035                 | 47%                   |             |
| <b>Total:</b>           | <b>\$ 370,000</b>                | <b>\$ 196,965</b>               | <b>\$ 173,035</b>          | <b>47%</b>            | <b>3</b>    |

### City of Pleasanton

| Program                 | Planned Expenditures<br>FY 12-13 | Actual Expenditures<br>FY 12-13 | Unspent Amount<br>FY 12-13 | Unspent<br>Percentage | Reason Code |
|-------------------------|----------------------------------|---------------------------------|----------------------------|-----------------------|-------------|
| Local Streets and Roads | \$ 556,614                       | \$ 207,894                      | \$ 348,720                 | 63%                   |             |
| <b>Total:</b>           | <b>\$ 556,614</b>                | <b>\$ 207,894</b>               | <b>\$ 348,720</b>          | <b>63%</b>            | <b>4</b>    |

#### Reason/Justification Code

- (1) Project Delays
- (2) Revised Implementation Plan to implement other future projects
- (3) Expenditures not realized in current fiscal year/Expenses accrued in subsequent fiscal year.
- (4) Project Savings
- (5) Project scope reduced due to unforeseen issues i.e. funding issues, staffing shortages, community concern, etc.

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December 20, 2013

*Dedicated to  
passengers*

*Responsive  
to change*

*Committed  
to growth*

Arthur L. Dao, Executive Director  
Alameda County Transportation Commission  
1111 Broadway, Suite 800  
Oakland, CA 94607

RE: Request for exemption authorization from Timely Use of Funds FY12/13, due to extraordinary circumstances.

Commissioners

Bob Johnson  
City of Lodi

John W. Harris  
City of Manteca

Steve Bestolarides  
San Joaquin County

Brent H. Ives  
City of Tracy

Kathy Miller  
City of Stockton

Omar Ornelas  
City of Lathrop

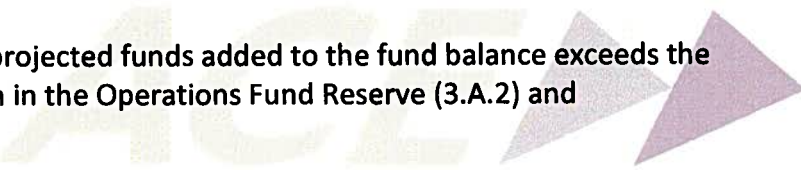
Executive Director  
Stacey Mortensen

In July 2008, the San Joaquin Regional Rail Commission (SJRRRC) entered into an agreement with the Alameda County Transportation Improvement Authority and the Alameda County Congestion Management Agency (Alameda County Transportation Commission - ACTC) to be the direct recipient of Measure B sales tax revenue pass-through allocations for operations of the Altamont Corridor Express (ACE) service. This agreement required the transfer of the Measure B ACE reserve fund balance into a SJRRRC designated restricted fund for ACE Operations. The amount of this transfer was \$1,691,991.35, providing the initial fund balance to be used for ACE operations as approved annually by the ACTC Board. The current balance is a combination of the initial deposit along with interest earned and subsequent deposits in excess of authorized contribution amounts.

As part of the ACE Cooperative Services Agreement executed in July 2003, between SJRRRC, ACTC and Santa Clara Valley Transportation Authority (SCVTA), an annual Baseline Service Plan is developed by SJRRRC inclusive of ACTC and SCVTA operating contributions for the next fiscal year. After ACTC and SCVTA staff reviews the Baseline Service Plan, the respective Boards take an action on approving the plan and setting their respective local contributions.

The Measure B funds are deposited each month by ACTC, directly to SJRRRC's designated restricted fund, per sections 3.6, 3.8 and 6.3.5 of the Cooperative Services Agreement. SJRRRC may only draw ACTC's contribution from the Measure B funds based on an annually approved CPI increase. If amounts deposited by ACTC during the year exceed authorized amounts to draw, an increase in fund balance occurs.

Currently, the calculation for projected funds added to the fund balance exceeds the amounts allowed for retention in the Operations Fund Reserve (3.A.2) and



December 20, 2013  
Arthur L. Dao, Executive Director  
Alameda County Transportation Commission  
Page 2

Undesignated Fund Reserve (3.A.3). It is the intent of SJRRC, upon ACTC Board approval of the annual Baseline Service Plan to use Measure B reserved funds to augment ACTC's Baseline contribution to the ACE service over the next five fiscal years and fully expend all funds carried forward by the end of FY16/17. The table below illustrates the expenditure plan for the fund reserves:

|                                | FY 12/13     | FY 13/14     | FY 14/15     | FY 15/16     | FY 16/17     |
|--------------------------------|--------------|--------------|--------------|--------------|--------------|
| Measure B service Contribution |              | \$ 2,145,893 | \$ 2,200,000 | \$ 2,200,000 | \$ 2,200,000 |
| Administrative Fee             |              | \$ 20,000    | \$ 20,000    | \$ 20,000    | \$ 20,000    |
| Measure B from Reserve Balance |              | \$ 655,055   | \$ 700,000   | \$ 700,000   | \$ 20,306    |
| Total                          |              | \$ 2,820,948 | \$ 2,920,000 | \$ 2,920,000 | \$ 2,240,306 |
| Remaining Reserve              | \$ 2,075,361 | \$ 1,420,306 | \$ 720,306   | \$ 20,306    | \$ -         |

As per the Cooperative Services Agreement and Baseline Service Plan approved annually by the ACTC Board, SJRRC has been unable to expend any Measure B funds received in excess of the approved budget. This has resulted in a reserve of Measure B funds which is not consistent with use of timely funds as defined and set by ACTC's "Master Programs Funding Agreement" Section 3 (FY15/16). SJRRC/ACE is requesting authorization for an exemption due to extraordinary circumstances.

Please do not hesitate to contact George Fink, Manager of Planning & Programming at (209)944-6235, email [george@acerail.com](mailto:george@acerail.com), or Margaret Merin, at (209)944-6246, email [margaret@acerail.com](mailto:margaret@acerail.com) if you have any questions or comments.

Sincerely,



Stacey Mortensen  
Executive Director

cc: John Nguyen, ACTC  
Matt Todd, ACTC  
Vivek Bhat, ACTC  
Brian Schmidt, SJRRC  
Nila Cordova, SJRRC  
George Fink, SJRRC

*file*

# ALBANY CALIFORNIA



CITY OF ALBANY  
1000 SAN PABLO AVENUE  
ALBANY, CA 94706  
[www.AlbanyCA.org](http://www.AlbanyCA.org)

March 3, 2014

Mr. Scott Haggerty, Chair  
Alameda County Transportation Commission (ACTC)  
1111 Broadway, Suite 800  
Oakland, California 94607

RE: City of Albany Request For Extension For Expenditure of Fiscal Year 2012-2013 Measure B Balances

Dear Chairman Haggerty:

In accordance with the Timely Use of Funds policy adopted by ACTC, a formal written extension request must be submitted when an agency has carry-over Measure B Funds. In Fiscal Year 2012-2013 the City of Albany had Measure B Fund balances totaling \$430,076. This matter was presented to our City Council on March 3, 2014 and the City formally requests that the Commission grant an extension. (A copy of the City Staff Report is attached for your reference and background information).

In Fiscal Year 2012-2013 the City of Albany hired a new Public Works Director. Although in previous years Measure B Local Streets funds were used in Albany primarily for eligible general street maintenance, plans are now underway to invest Measure B funds along with other local funding sources in a Citywide Pavement Rehabilitation Project. In order to implement this shift in the programming of the funds there were Local Streets and Roads funds in the amount of \$371,660, remaining at June 30, 2013. On February 3, 2014 the City Council awarded an agreement for a contract engineering firm to undertake the design and specification for street rehabilitation that will utilize over \$400,000 in Measure B funds by the end of Fiscal Year 2013-2014. In addition the City has additional planned projects and assigned reserves that were submitted as part of the Measure B compliance report, and will bring the cumulative balance within the ACTC expenditure limits.

We look forward the action by the Commission to approve this change in planned spending. The result will be visible improvements throughout our City. Further, the use of the funds on a larger project should provide economies of scale and a more efficient use of Measure B taxes. If additional information is needed from the City, please contact Ray Chan, Public Works Director.

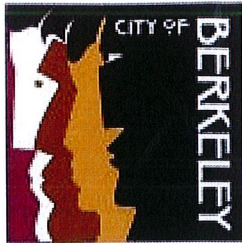
Sincerely,

Peggy Thomsen  
Mayor

Attachment: City of Albany City Council Staff Report Dated March 3, 2014

Cc: Penelope Leach, City Manager  
Ray Chan, Public Works Director  
Arthur Dao, ACTC Executive Director  
John Hemiup, Senior Transportation Engineer





Public Works Department  
Administrative & Fiscal Services

February 26, 2014

Arthur L. Dao, Executive Director  
Alameda County Transportation Commission  
1111 Broadway, Suite 800  
Oakland, CA 94607-4006

RE: Request for exemption from the Vehicle Registration Fee (VRF) Timely Use of Funds policy

Mr. Arthur Dao:

Per the Master Programs Funding Agreement (MPFA) between the Alameda County Transportation Commission (Alameda CTC) and the City of Berkeley, Article 3-Timely Use of Funds Policy, the City requests an extension to expend the planned projects balance of FY 12-13 VRF receipts. The \$45,757 programmed balance required additional funding for the planned purchase of a crack sealer machine for street repair. The balance has been reallocated to FY 13-14 to be spent in addition to the annual allocation of VRF supplemental funding for the City's Street Preventative Maintenance program. The crack sealer machine has been purchased and 85% of the adjusted programmed FY 13-14 allocation has been spent to date.

Please feel free to contact me at (510) 981-6306 if you have any questions.

Sincerely,

Sydney Oam  
Administrative & Fiscal Services Manager



## CITY OF DUBLIN

100 Civic Plaza  
Dublin, California 94568  
Phone: (925) 833-6650  
Fax: (925) 833-6651

City Council  
(925) 833-6650  
City Manager  
(925) 833-6650  
Community Development  
(925) 833-6610  
Economic Development  
(925) 833-6650  
Finance/Admin Services  
(925) 833-6640  
Fire Prevention  
(925) 833-6606  
Human Resources  
(925) 833-6605  
Parks & Community Services  
(925) 556-4500  
Police  
(925) 833-6670  
Public Works/Engineering  
(925) 833-6630



[www.dublin.ca.gov](http://www.dublin.ca.gov)

February 25, 2014

Alameda County Transportation Commission  
John Hemiup, Senior Transportation Engineer  
John Nguyen  
1111 Broadway Suite 800  
Oakland, CA 94607

RE: Exemption Request for Timely Use of Funds Policy

Mr. Hemiup:

Please accept this letter as City of Dublin's request for an exemption from the Timely Use of Funds Policy for your Commission's consideration.

### Measure B Funds

In FY 2012-2013, the planned expenditures were \$903,389 and the actual expenditures through June 30, 2013, were \$346,513. The unspent amount in FY 2012-2013 is \$556,876. The primary reason for the unspent amount is the construction schedule for the planned Annual Street Overlay project. The overlay project improvements/construction took place in early FY 2013-2014, and therefore, Measure B funds expenditure took place in FY 2013-2014. To date, a total of \$479,046 in actual expenditures have been expended as part of the Annual Street Overlay Program (Project ID# ST5013). The remaining balance of \$77,830 will be utilized as part of the FY 2013-2014 Annual Street Overlay Program (Project ID# ST5014).

### VRF Funds

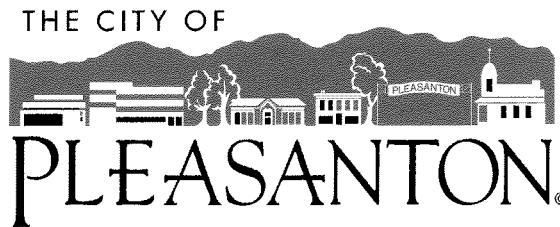
In FY 2012-2013, the planned expenditures were \$370,000 and the actual expenditures through June 30, 2013, were \$196,965. The unspent amount in planned expenditures was \$173,035, which is above the 30% threshold for unspent funds. The reason for this unspent amount at the close of the FY 2012-2013 is the processing of project invoices after the June 30, 2013. The City was able to expend the planned expenditures at the beginning of FY 2013-2014.

If you have any questions regarding this request, please contact me at (925) 833-6640 or [vivian.gong@dublin.ca.gov](mailto:vivian.gong@dublin.ca.gov).

Thank you for your time and consideration.

Sincerely,

Vivian Gong  
Finance Manager



February 21, 2014

Alameda County Transportation Commission  
1111 Broadway, Suite 800  
Oakland, CA 94607

RE: Vehicle Registration FY '12-'13 Request for Exemption from Timely Use of Funds Policy

Dear Alameda CTC:

The City of Pleasanton is requesting an exemption from the Timely Use of Funds Policy for the planned expenditure for CIP 125003 identified in the VRF FY '12-'13 compliance report, Index 3. The City allocated \$438,562 toward the City's 'Annual Resurfacing of Various Streets' project, Capital Improvement Project (CIP) 125003, which was anticipated to be completed in FY '12-'13. The project scope was greatly reduced due to removal of a road from the project so that an unanticipated water main project could be completed before resurfacing that roadway. In addition to the reduced scope, the project bids came in lower than expected, requiring less funding. The City reallocated the VRF funds to active CIP projects and created a new capital project in an attempt to meet the planned expenditure levels. The City reallocated \$80,742 to the 'West Las Positas Boulevard at Tassajara Creek Repairs' project, CIP 115014, to cover additional scope increases to the project and subsequently expended this reallocated VRF funding. Funds totaling \$9,100 were reallocated to the 'Annual Slurry Seal' project, CIP 125004, and were also successfully expended. The City also reallocated \$271,980 to the 'Stoneridge Drive and Vineyard Avenue Overlay' project, CIP 125024, to resurface the street removed from CIP 125003, but was unfortunately unable to expend the VRF funds before the end of FY '12-'13. Construction of CIP 125024 has since been completed, utilizing the full \$271,980. If the re-allocated \$271,980 were billed under FY '12-'13, the City would have reached 86% of the planned expenditure. The City is requesting an exemption from the Timely Use of Funds Policy for the Index 3 project CIP 125003 so the funds can be applied in FY '13-'14 toward CIP 125024.

Sincerely,

Adam Nelkie  
Sr. Civil Engineer

**COMMUNITY DEVELOPMENT**

**P. O. BOX 520, Pleasanton, CA 94566-0802**

**Planning**

200 Old Bernal Ave.  
(925) 931-5600  
Fax: 931-5483

**Building & Safety**

200 Old Bernal Ave.  
(925) 931-5300  
Fax: 931-5478

**Engineering**

200 Old Bernal Ave.  
(925) 931-5650  
Fax: 931-5479

**Traffic**

200 Old Bernal Ave.  
(925) 931-5650  
Fax: 931-5479

**Inspection**

157 Main Street  
(925) 931-5680  
Fax: 931-5484

February 14, 2014

John Hemiup, P.E.  
Senior Transportation Engineer  
Alameda County Transportation Commission  
1111 Broadway, Suite 800  
Oakland, CA 94607

**RE: Measure B Funds - Time Extension Request**

Dear Mr. Hemiup:

Pursuant to Article 3.A of the Master Program Funding Agreement, please accept this letter as the San Francisco Bay Area Water Emergency Transportation Authority's ("WETA") request for a time extension to spend the remaining Measure B balance for the FY2012/13 Planned Projects.

As part of the FY2011/12 Measure B Compliance Report, WETA staff estimated \$782,481 would be spent in FY2012/13 to support two projects including: 1) *Mid-Life Refurbishment of the Bay Breeze Vessel*, and 2) *Purchase of Inflatable Buoyant Apparatus*. Due to project delays and funding and program changes, the actual amount spent in FY2012/13 was \$218,426 or 28% of the total planned expenditures.

**Mid-Life Refurbishment of the Bay Breeze Vessel**


The development of the initial Request for Proposal (RFP) and scope of work for this project took longer than anticipated, causing an overall project delay. However, vessel refurbishment work has been underway since March 2013 and the vessel is scheduled for return to the Bay Area and final Coast Guard approvals this Spring. All remaining Measure B funds planned for this project, \$676,581, will be spent in FY2013/14.

**Purchase of Inflatable Buoyant Apparatus (IBA)**

Funds were originally planned to be used to support a project to purchase and install IBAs on vessels serving WETA's Alameda and Oakland to San Francisco routes. However, we have developed an alternative means and funding plan to address this vessel safety project. As a result, WETA is requesting that Measure B funds planned for this project be reallocated to support our East Bay Passenger Terminal Improvements project. This project includes a variety of float, pier, gangway and access improvements to be made at the Main Street and Harbor Bay terminals in Alameda and at the Clay Street terminal in Oakland. The terminal improvements project is underway and Measure B funds proposed for the project, \$125,000, could be spent in FY2013/14.

If you have any questions or require additional information, please contact Lynne Yu at (415) 364-3193 or [yu@watertransit.org](mailto:yu@watertransit.org).

Sincerely,



Nina Rannells  
Executive Director

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## **Measure B/Vehicle Registration Fee Compliance Report Reserve Policies and Monitoring Procedures**

*Commission Approval Date - October 24, 2013*

### **Background**

In April 2012, all jurisdictions receiving Measure B and Vehicle Registration Fee (VRF) funds entered into a Master Programs Funding Agreement (MPFA) with Alameda County Transportation Commission (Alameda CTC). The MPFA and its associated Implementation Guidelines outlined the direct local program distributions (pass-through), eligible expenditures, recipient reporting requirements, policies on the timely use of funds and establishment of reserve funds. Recipients of Measure B and VRF funds are required to submit to Alameda CTC an Audited Financial Statement within 180 days following the close of each fiscal year and an Annual Program Compliance Report due by December 31<sup>st</sup> of each calendar year.

Per Article 3 of the MPFA, jurisdictions receiving Measure B and VRF funds are required to use the direct local program distributions in a timely manner. As such Alameda CTC requires jurisdictions to report in their Annual Program Compliance Report an implementation plan using Measure B/VRF funds. Information reported in the prior year's Annual Program Compliance Report(s) will be evaluated against the subsequent year's reported expenditure information to determine compliance with the MPFA's Timely Use of Funds policy. This process ensures the expeditious expenditure of voter-approved transportation dollars on projects and programs throughout Alameda County.

### **Timely Use of Funds and Reserve Fund Policies**

Per the MPFA, jurisdictions must specify the annual Measure B and VRF funding expenditures, and identify a funding plan of proposed projects/programs to be funded using any remaining Measure B/VRF funds. The applicable policies are captured below:

#### Article 3.A. Timely Use of Funds Policy

The Timely Use of Funds Policy requires all Measure B and VRF recipients to spend funds expeditiously or place funds into a reserve fund. Any funds not spent within the allotted time, including funds placed into reserve funds, will be subject to rescission, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

#### Article 3.B. Reserve Fund Policy

The Reserve Fund Policy enables Measure B and VRF recipients to establish a reserve fund for specified periods of time. This allows jurisdictions to place unexpended funds into an applicable reserve fund to demonstrate a reasonable plan to expend Measure B and VRF funds. The types of reserve funds and their eligibilities are noted in the Exhibit A: Fund Categories

#### Article 3.C. Rescission of Funds Policy

If the recipient does not meet the timeliness requirements, Alameda CTC may rescind any unspent funds and interest earned, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

## Tracking and Monitoring Measure B/VRF Expenditures and Reserve Plans

As part of the Compliance Reporting process, jurisdictions are required to report annual planned expenditures using their fund balances into the four available fund categories listed in Exhibit A. Alameda CTC's tracking and monitoring policies is also further disseminated in the sections below.

**EXHIBIT A: FUND CATEGORIES**

| FUND CATEGORY  | MAXIMUM FUNDING ALLOTMENT                                       | TIMELY USE OF FUNDS REQUIREMENT  |
|--|---|--|
| 1. <u>Annual Planned Projects (unreserved)</u><br>Recipients may report an annual implementation plan using Measure B or VRF direct local program distributions.   | None.   | <ul style="list-style-type: none"> <li>To ensure expeditious use of funds, Alameda CTC expects recipients to expend funds identified as annual planned projects.</li> </ul>  |
| 2. <u>Capital Fund Reserve</u><br>Recipients may establish a specific capital fund reserve to fund specific large capital project(s) that could otherwise not be funded with a single's year worth of Measure B or VRF direct local program distributions. | None.   | <ul style="list-style-type: none"> <li>Recipients shall expend all reserve funds by the end of three fiscal years following the fiscal year during which the reserve was established. <ul style="list-style-type: none"> <li><i>In the FY 11-12 Compliance Report the established Capital Fund Reserve Window is FY 12/13 through FY 15/16.</i></li> </ul> </li> <li>To ensure expeditious use of funds, Alameda CTC expects recipients to expend funds identified in the first FY of the reserve fund.</li> </ul> |
| 3. <u>Operations Fund Reserve</u><br>Recipients may establish and maintain a specific reserve to address operational issues, including fluctuations in revenues, and to help maintain transportation operations  | 50 percent of anticipated annual direct local program revenues. | <ul style="list-style-type: none"> <li>This is a revolving fund; therefore, unexpended funds may be reassigned in the subsequent fiscal year, but must be expended within the subsequent expenditure period. The next reserve window is FY 13/14 through FY 16/17.</li> </ul>  |
| 4. <u>Undesignated Fund Reserve</u><br>Recipients may establish and maintain a specific reserve for transportation needs over a fiscal year for grants, studies, contingency, etc.   | 10 percent of anticipated annual direct local program revenues. | This is a revolving fund; therefore, unexpended funds may be reassigned in the subsequent fiscal year, but must be expended within the subsequent expenditure period. The next reserve window is FY 13/14 through FY 16/17.  |

## Annual Expenditure Threshold Guideline

Alameda CTC recognizes recipients are providing an estimate of planned expenditures when reporting their implementation plan as part of the Annual Compliance Report. As a result there may be unexpected funds balances from these planned budgets due to project bid savings, contingencies, or supplemental savings. Thus, Alameda CTC will monitor and evaluate the total summation of the planned annual expenditures across all programmatic types (*Bike/Pedestrian, Local Transportation, Mass Transit, and Paratransit*).

## SECTION 1: Measure B/VRF Annual Planned Projects

### **Purpose of Annual Planned Projects**

Through the Annual Program Compliance Report, jurisdictions may report annual planned projects using Measure B/VRF funds in the compliance reporting forms, *Table 3 Section 1 Planned Projects*.

#### Project Types include:

- One-year Capital Projects
- Traffic Operations
- Traffic Signal Coordination
- Slurry Seal/Pavement Rehabilitation
- Program Management

### **Timely Use of Funds Policy Implementation**

- Alameda CTC will monitor the recipient's planned versus actual expenditures in the Annual Program Compliance Report.
- Alameda CTC expects recipients to expend funds identified as annual planned projects.
  - Recipient's annual reported expenditures collectively across the planned sections for all applicable programmatic types must be at least 70 percent expended to demonstrate expeditious use of Measure B/VRF funds.
    - 70 percent expenditure threshold is derived from:
      - Jurisdictions planned annual expenditures are reported in December, which is mid-way through the relevant fiscal year.
      - Permits an allowance for contingencies or unexpected cost savings.
  - Any unspent funds greater than 30 percent of the reported planned expenditures across the planned sections for all applicable programmatic categories must be justified and may be subject for rescission, unless a written time extension request is submitted by the recipient and approved by Alameda CTC (*MPFA, Article 3*).

*Program Compliance Report Table 3*

#### **Section 1: Planned Projects (unreserved)**

| RESERVE TYPE DESCRIPTION   | RECIPIENT'S RESPONSIBILITY   | ALAMEDA CTC'S RESPONSIBILITY  |
|--|--|---|
| <p>Projects included in this section are required to be implemented and funded as planned during the specified fiscal year.</p> <p><u>Project Types include:</u></p> <ul style="list-style-type: none"> <li>- One-year Capital Projects</li> <li>- Traffic Operations</li> <li>- Traffic Signal Coordination</li> <li>- Slurry Seal/Pavement Rehabilitation</li> <li>- Program Management</li> </ul>   | <p>Recipients are allowed to outline specific projects that are planned to be implemented during the specified fiscal year.</p> <p>Recipients will report these same projects/expenditures in subsequent Annual Compliance Reports and identify their delivery status.</p> | <p>Alameda CTC will review projects listed in this section through the Annual Program Compliance Report process and ensure the Recipient is adhering to the Timely Use of Funds Policy.</p> <p>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports. Alameda CTC will evaluate unexpended fund balances.</p> |
| <p><u>What happens to unexpended balances?</u></p> <ol style="list-style-type: none"> <li>1. All funds specified in this section must be no less than 70 percent expended collectively across the planned sections for all applicable programmatic categories. A written justification is required for unexpended balances for administrative or Commission approval. Annual balances less than 30 percent are subject to administrative approval, and balances greater than 30 percent are subject to Commission approval.</li> <li>2. Any funds not expended may be subject to rescission, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.</li> </ol> |  |   |

## SECTION 2: Measure B/VRF Capital Fund Reserve

### **Purpose of Capital Fund Reserve**

Through the Annual Program Compliance Report, jurisdictions may report planned uses of Measure B/VRF fund reserves for Capital Projects in *Table 3 Section 2 Capital Fund Reserve* of the compliance reporting forms.

The Capital Fund Reserve is for anticipated Capital Projects planned over four fiscal years. Recipients cannot reserve funds past the end of the third fiscal year immediately following the fiscal year during which the reserve was established.

#### **Project Types include:**

- Multi-year Capital Projects
- Roadway Projects
- Drainage/Facilities Projects
- Slurry Seal/Pavement Rehabilitation
- Bike/Pedestrian Projects

### **Timely Use of Funds Implementation Policy**

- Alameda CTC will track each project's proposed budget in the Capital Fund Reserve by phase and year through the Annual Program Compliance Report process.
- Alameda CTC will monitor the recipient's reported Capital Fund Reserve planned versus actual expenditures.
- Recipient's annual reported planned expenditures for the overall reserve section must demonstrate expeditious use of Measure B/VRF funds.
- Recipient may request fund adjustments from year to year within the reserve period as part of the Annual Compliance Report. However, Alameda CTC will monitor each individual project to ensure that the reported expenditures for each fiscal year are being expended within the Timely Use of Funds requirements.
  - Any unspent funds for individual projects and/or Capital Fund Reserve section must have a justification for the unexpended funds.
    - Recipient may reallocate funds to an outer year in the reserve window to the same project or to an alternative project.
    - Unexpended funds must be reallocated in the same Capital Fund Reserve window in which the reserve was established.
    - Any funds not expended by the end of third fiscal year immediately following the fiscal year during which the reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC (*MPFA, Article 3*).

**Program Compliance Report Table 3****Section 2: Capital Fund Reserve**

| <b>RESERVE TYPE DESCRIPTION</b>   | <b>RECIPIENT'S RESPONSIBILITY</b>  | <b>ALAMEDA CTC'S RESPONSIBILITY</b>  |
|---|--|--|
| <p>Projects included in this section are designated with Capital Fund Reserves during a reserve window over four fiscal years.</p> <p><i>Reserve Window: All funds must be expended prior to the end of the third fiscal year immediately follow the fiscal year during which the reserve was established.</i></p> <p><u>No.1 Initial Reserve Window</u><br/>- FY 12-13 through FY 15-16</p> <p><u>No.2 Second Reserve Window</u><br/>- FY 13-14 through FY 16-17</p> <p>The Capital Fund Reserve is for large capital project(s) that could otherwise not be funded with a year's worth of Measure B/VRF direct local program distributions. All programmed funds must be expended by the end their respective fiscal year window.</p> <p><u>Project Types include:</u></p> <ul style="list-style-type: none"> <li>- Multi-year Capital Projects</li> <li>- Roadway Projects</li> <li>- Drainage/Facilities Projects</li> <li>- Slurry Seal/Pavement Rehabilitation</li> <li>- Bike/Pedestrian Projects</li> </ul> | <p>Recipients are expected to report large capital projects funded with Measure B/VRF revenue over a four fiscal year reserve window.</p> <p>Any projects that require additional Measure B/VRF funding beyond the total anticipated fiscal year's revenue that is allocated in this reserve must state in the project status notes:</p> <ol style="list-style-type: none"> <li>1. The total project cost using Measure B/VRF funding;</li> <li>2. The outstanding Measure B/VRF balance that is required to complete the project; and</li> <li>3. Specify anticipated future funding using additional Measure B/VRF revenue for the project in subsequent years.</li> </ol> <p>Recipients will report these same projects/expenditures in subsequent Annual Compliance Reports and identify their delivery status (i.e. continuing or close-out).</p> | <p>Alameda CTC will track each project proposed in the Capital Fund Reserve through the Annual Program Compliance Report process to ensure the Recipient is adhering to the Timely Use of Funds Policy of the MPFA.</p> <p>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports.</p> <p>Alameda CTC will evaluate unexpended fund balances.</p> |
| <p><u>What happens to unexpended balances?</u></p> <ol style="list-style-type: none"> <li>1. Recipients must expend the funds identified for projects as reported within their respective reserve window. <ol style="list-style-type: none"> <li>a. Capital Fund Reserve balances may be forwarded to an outer year of the original reserve window.</li> <li>b. As part of the Program Compliance Report, a written justification is required for unexpended balances.</li> </ol> </li> <li>2. Any funds not expended by the end of third fiscal year immediately following the fiscal year during which the reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.</li> </ol>   |  |  |



### SECTION 3: Measure B/VRF Operations Fund Reserve

#### **Purpose of Operations Fund Reserve**

As part of the Annual Program Compliance Report, jurisdictions may establish an operational reserve of up to 50 percent of annual Measure B/VRF fund revenues in *Table 3 Section 3 Operations Fund Reserve* of the compliance reporting forms.

The Operations Fund Reserve allowed to accounts for fluctuations in revenues, and operational adjustments.

#### **Project Types include:**

- Transit Operations
- Traffic Signal Coordination
- Street Lights Maintenance
- Roadway/Traffic Studies
- Facilities Maintenance
- General Studies

#### **Timely Use of Funds Implementation Policy**

- Alameda CTC will monitor recipient's annual Operations Fund Reserve to ensure it does not exceed 50 percent of the annual Measure B/VRF revenue.
- There are no expenditure requirements for the immediate fiscal year that the reserve was established for. However, in the following fiscal year, recipients must reallocate the reserve balance to a planned project or Capital Fund Reserve project.
  - Once reallocated, any funds not expended by the end of third fiscal year immediately following the fiscal year during which the initial operating reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

| <b>Program Compliance Report Table 3</b><br><b>Section 3: Operations Fund Reserve</b>  |   |  |
|--|---|--|
| <b>RESERVE TYPE DESCRIPTION</b>  | <b>RECIPIENT'S RESPONSIBILITY</b>   | <b>ALAMEDA CTC'S RESPONSIBILITY</b>  |
| Projects and activities included in this section are designed to address operational issues, such as fluctuations in revenues, and to help maintain transportation operations.<br><br>The total amount identified may not exceed 50 percent of anticipated annual revenue.<br><br><u>Project Types include:</u> <ul style="list-style-type: none"> <li>- Transit Operations</li> <li>- Traffic Signal Coordination</li> <li>- Street Lights Maintenance</li> <li>- Roadway/Traffic Studies</li> <li>- Facilities Maintenance</li> <li>- General Studies</li> </ul> | Recipients are allowed to program up to 50 percent of anticipated annual revenue for operational projects/programs such as transit operations, traffic operations, streetlight maintenance, etc.<br><br>Recipients may also create a reserve item for general operations. Recipients cannot program more than 50 percent of anticipated annual revenue.<br><br>Recipients will report these same projects/expenditures in subsequent Annual Compliance Reports and identify their delivery status (i.e. continuing or close-out). | Alameda CTC will review the project list to determine eligibility in the operational reserve.<br><br>Alameda CTC will ensure the programmed amount does not exceed 50 percent of anticipated annual revenue.<br><br>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports. |
| <u>What happens to unexpended balances?</u><br>Unexpended Operational Fund Reserve balance may be reassigned as part of the subsequent Annual Program Compliance Reporting process.  |   |  |

## SECTION 4: Measure B/VRF Undesignated Fund Reserve

### **Purpose of Undesignated Fund Reserve**

As part of the Annual Program Compliance Report, jurisdictions may establish an undesignated reserve of up to 10 percent of annual Measure B/VRF fund revenues in *Table 3 Section 4 Undesignated Fund Reserve* of the compliance reporting forms.

The Undesignated Fund Reserve accounts for project contingencies or unexpected circumstances.

### **Timely Use of Funds Implementation Policy**

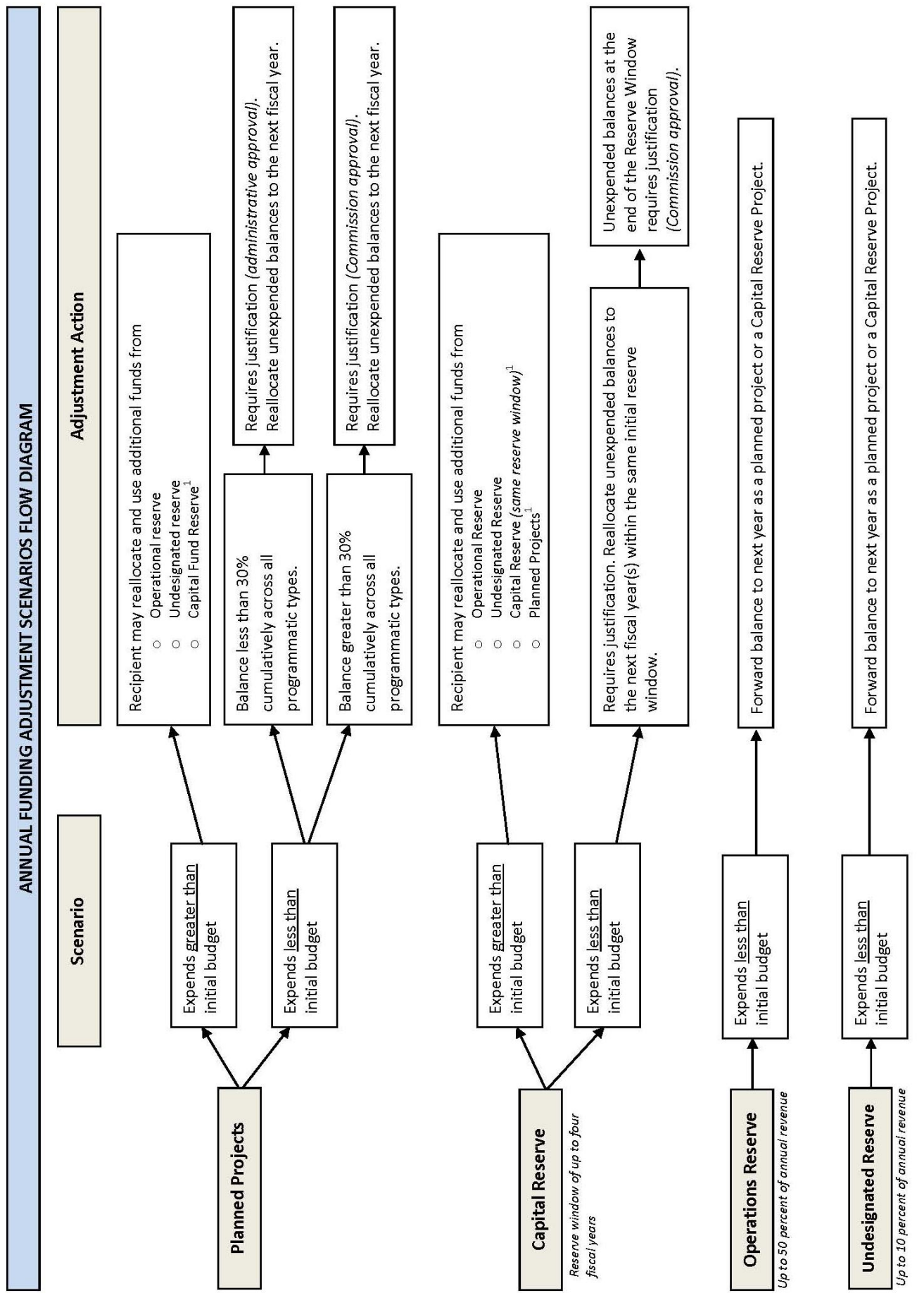
- Alameda CTC will monitor recipient's annual Undesignated Fund Reserve to ensure it does not exceed 10 percent of the annual Measure B/VRF revenues.
- There are no expenditure requirements for the immediate fiscal year that the reserve was established for. However, in the following fiscal year, recipients must reallocate the reserve balance to a planned project or Capital Fund Reserve project.
  - Once reallocated, any funds not expended by the end of third fiscal year immediately following the fiscal year during which the initial undesignated fund reserve was established will be rescinded, unless a written time extension request is submitted by the recipient and approved by Alameda CTC.

| <b>Program Compliance Report Table 3</b><br><b>Section 4: Undesignated Fund Reserve</b>   |   |   |
|---|---|---|
| <b>RESERVE TYPE DESCRIPTION</b>   | <b>RECIPIENT'S RESPONSIBILITY</b>   | <b>ALAMEDA CTC'S RESPONSIBILITY</b>   |
| Projects included in this section are for unspecified/as-needed transportation activities such as matching funds for grants, project development work, studies for transportation purposes, or contingency funds for a project or program.<br><br>This fund may not contain more than 10 percent of annual direct local program revenues. | Recipients may establish an undesignated reserve fund for yet to be defined transportation funding needs of up to 10 percent of anticipated annual revenue.<br><br>Recipients may propose potential uses of undesignated fund reserves in the additional information or status section. | Alameda CTC will ensure the programmed amount does not exceed 10 percent of anticipated annual revenue.<br><br>Alameda CTC will monitor Recipient's reported planned expenditures and actual expenditures reported in the past and present Annual Program Compliance Reports. |
| <b>What happens to unexpended balances?</b>   |   |   |
| 1. Unexpended annual undesignated Fund Reserve balance may be reassigned as part of the subsequent Annual Program Compliance Reporting process.   |   |   |

## Exhibit B: Annual Funding Adjustment Scenarios

| FUND CAT.                 | SCENARIO  | ADJUSTMENT   |
|---------------------------|---|--|
| PLANNED PROJECTS          | <b>1. Recipient expends <u>greater than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects required additional funds</li> <li>Implemented more projects than expected</li> </ol>                    | <ul style="list-style-type: none"> <li>Recipient may reallocate and use funds from               <ul style="list-style-type: none"> <li>Operational Reserve</li> <li>Undesignated Reserve</li> <li>Capital Fund Reserve<sup>1</sup></li> </ul> </li> </ul>   |
|                           | <b>2. Recipient expends <u>less than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects contained project savings or other funding sources acquired</li> <li>Projects were not delivered</li> </ol> | <p><u>Unexpended balance less than 30%</u></p> <ul style="list-style-type: none"> <li>Recipient may reallocate unexpended balances less than 30 percent of overall planned allocation (<i>cumulatively across all programmatic types</i>) to the next fiscal year. Justification is required and reallocation subject to Alameda CTC administrative approval.</li> </ul> <p><u>Unexpended balance greater than 30%</u></p> <ul style="list-style-type: none"> <li>If unexpended amount is greater than 30 percent of overall planned allocation (<i>cumulatively across all programmatic types</i>). Recipient may propose to reallocate balances to the following fiscal year. Justification is required and reallocation is subject to Alameda CTC's Commission approval.</li> </ul> |
| CAPITAL FUND RESERVE      | <b>3. Recipient expends <u>greater than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects required additional funds</li> <li>Implemented more projects than expected</li> </ol>                    | <ul style="list-style-type: none"> <li>Recipient may reallocate and use funds from               <ul style="list-style-type: none"> <li>Operational Reserve</li> <li>Undesignated Reserve</li> <li>Capital Reserve (<i>same reserve window</i>)<sup>1</sup></li> <li>Planned Projects<sup>1</sup></li> </ul> </li> </ul>   |
|                           | <b>4. Recipient expends <u>less than</u> initial budget</b> <ol style="list-style-type: none"> <li>Projects contained project savings or other funding sources acquired</li> <li>Projects were not delivered</li> </ol> | <p><u>Unexpended balances</u></p> <ul style="list-style-type: none"> <li>Recipient may reallocate unexpended balances per project and/or overall planned Capital Fund Reserve allocation to the next fiscal year(s) within the same reserve window.               <ul style="list-style-type: none"> <li>Justification statements are required for fund balances and proposed reallocations.</li> </ul> </li> <li>Funds must remain within the same initial Capital Fund Reserve window.</li> <li>Unexpended balances at the end of the four fiscal year reserve window may be subject to rescission.</li> </ul>   |
| OPERATIONS FUND RESERVE   | <b>5. Recipient expends <u>less than</u> initial budget</b>   | <ul style="list-style-type: none"> <li>Operations Reserve balance to be forwarded to following fiscal year as a planned project or a Capital Reserve Project.</li> </ul>   |
| UNDESIGNATED FUND RESERVE | <b>6. Recipient expends <u>less than</u> initial budget</b>   | <ul style="list-style-type: none"> <li>Undesignated Fund Reserve balance to be forwarded to following fiscal year as a planned project or a Capital Reserve Project.</li> </ul>  |

Notes: 1. Drawing funds from the "Planned" or "Capital Fund" fund sources should be considered after exhausting other Fund Reserves. If drawing funds from the "Planned Projects" or "Capital Fund Reserve" project(s), recipient must disclose the impact of removing funds for the project(s), and alternative funding to fulfill the original project funding plan.



**Notes:** 1. Drawing funds from the "Planned" or "Capital Fund" fund sources should be considered after exhausting other Fund Reserves. If drawing funds from the "Planned Projects" or "Capital Fund Reserve" project(s), recipient must disclose the impact of removing funds for the project(s), and alternative funding to fulfill the original project funding plan.

## **“BASELINE” IMPLEMENTATION PLANS AND FUND RESERVES**

The Timely Use of Funds policy dictates that Measure B and VRF funds must be expended expeditiously and within specified time periods as outlined for each of the reserve categories.

As such, recipients are required to submit an Annual Program Compliance Report on December 31<sup>st</sup>. This submitted report will be reviewed by Alameda CTC staff, the Citizens Watchdog Committee, and posted on the Alameda CTC’s website. Recipients may be requested to clarify reporting data and project implementation plans. Thus, recipients may be asked to modify their Annual Program Compliance Report submittal. By mid-March, recipients’ may submit revisions to the Annual Program Compliance Reports, if necessary. Revision must include information on the delivery status of planned projects and programs, and reasons for changes. These reports establish a baseline implementation plan used for evaluation to subsequent compliance reports.

The finalized (*executed*) reported information provided in the Annual Program Compliance Report’s Table 3 will be used to evaluate the recipient’s adherence to the Timely Use of Funds policy as described in the MPFA. Information reported in the Annual Program Compliance Report’s Table 3 will be evaluated against the subsequent year’s reported expenditure information to determine compliance with the Timely Use of Funds policy.

## **AMENDMENT REQUESTS**

**Alameda CTC will consider the following amendment requests:**

1. Reallocation of unexpended annual balances of Planned Projects or Capital Fund Reserve at the Timely Use of Funds milestone.
  - a. Annual balances less than 30 percent (*cumulatively across all programmatic types*) are subject to administrative approval, and
  - b. Annual balances greater than 30 percent (*cumulatively across all programmatic types*) are subject to Commission approval.
2. Revision to projects identified in the Capital Fund Reserve including scope, project lists, and dollars.

### Administrative Amendment Procedure

1. Recipients must justify and propose balance reallocations within the Annual Compliance Report for balances less than 30 percent of overall planned project sections (*cumulatively across all programmatic types*) or for amendments within the Capital Fund Reserve.
2. Alameda CTC will review the requests through the compliance reporting process and may request additional information, if required, prior to its determination of the request.

### Formal Amendment Procedure

1. Recipients must submit a written request for a time extension and reallocation of balances greater than 30 percent of overall planned project sections (*cumulatively across all programmatic types*) to Alameda CTC or unexpended funds at the end of the Capital Fund Reserve period.
2. Alameda CTC staff will evaluate the eligibility of time extension request and will prepare the staff report to Alameda CTC Commission.
3. Alameda CTC Commission approval is required for a formal amendment.
4. Alameda CTC staff will notify recipient of the Commission’s action in writing.





# Memorandum

5.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

**DATE:** June 2, 2014

**SUBJECT:** FY 2014-15 Measure B Paratransit Program and Overview

**RECOMMENDATION:** (1) Receive an update on Measure B Paratransit Program, and  
(2) Approve FY 2014-15 Measure B Paratransit Funding and Program Plans

## Summary

The 2000 Transportation Expenditure Plan (TEP) allocates 10.45 percent of net revenues to special transportation for seniors and people with disabilities. These revenues fund operations for Americans with Disabilities Act (ADA)-mandated services and city-based paratransit programs. The revenues also fund gap services which are programs designed to reduce the difference in special transportation services available to individuals in different geographic areas of Alameda County. Each year, agencies that receive Measure B direct local program distribution (pass-through) funds for paratransit programs are required to submit a program plan and budget of the services to be provided for the forthcoming fiscal year. The Alameda CTC's Paratransit Advisory and Planning Committee (PAPCO) reviews these plans and provides a recommendation to the Commission. PAPCO encourages coordinated and cost-effective services and consumer input. In January 2014, Measure B funding for paratransit services was estimated to be \$10.3 million for FY 2014-15. A summary of the PAPCO-recommended program plans is provided as Attachment A.

## Background

The Measure B half-cent transportation sales tax was initially approved by Alameda County voters in 1986 and was reauthorized in 2000. Collections of the reauthorized sales tax began in April 2002 and will continue through March 2022. Each year, the Alameda CTC allocates approximately 60 percent of the net sales tax revenues to fund programs, services and projects in Alameda County to improve local streets and roads, bicycle and pedestrian access, mass transit and special transportation services for seniors and people with disabilities (i.e. Paratransit). On a monthly basis, the Alameda CTC distributes most of these revenues directly to 20 local agencies/jurisdictions per the 2000 Transportation Expenditure Plan (TEP).

The 2000 TEP allocates 10.45 percent of net revenues to special transportation services for seniors and people with disabilities. The goal of this program is to ensure that seniors and people with disabilities in Alameda County are able to meet their daily needs and maintain a

high quality of life through accessible transportation options. The program accomplishes this by funding operations for ADA-mandated Paratransit services and for city-based paratransit programs which provide a range of services including pre-scheduled trips, same-day trips, wheelchair-accessible trips, travel training, and other services for uniquely vulnerable populations. These revenues also fund gap services. Programs such as these are an increasingly important component of the transportation system as the senior population in Alameda County continues to grow.

PAPCO is responsible for providing recommendations to the Commission related to funding for special transportation for seniors and people with disabilities. PAPCO does not dictate individual paratransit programs, but rather encourages the best overall service in the County through coordination among operators, focusing on cost effectiveness, ensuring consumer involvement, and offering their own experiences for making programs more responsive to consumer needs. Each year, agencies that receive Measure B direct local program distribution (pass-through) funds for paratransit programs are provided with an estimate of annual Measure B revenue and are required to submit a program plan and budget for consideration for the forthcoming fiscal year.

As of January 2014, the Measure B revenue for paratransit was estimated to be \$10.3 million for FY 2014-15. The services that are provided through the recommended programs include ADA-mandated paratransit and city-based programs. A summary of the PAPCO-recommended program is provided in Attachment A.

### **ADA-Mandated Service**

ADA-mandated programs exist due to the 1990 federal Americans with Disabilities Act, which mandates that all public transit systems make their services fully accessible to all people, including those who, due to a disability, cannot board and/or ride regular buses and trains. Individuals who wish to use ADA-mandated paratransit in their area are required to complete an application and, in some cases, an interview to determine their eligibility. Public transit systems are required by federal law to provide ADA-mandated services that are comparable to regular bus and transit services. Paratransit services must be provided to individuals who travel within a 3/4 mile radius of a regular bus or rail route during the days and hours that those regular services are offered. Other requirements of the ADA-mandated services are:

- Next-day service must be provided;
- Fares cannot be more than twice the standard adult fixed route fare;
- The provider must accept requests for all types of trips (e.g., medical, errands, recreational) without prioritization;
- Service must be provided during the same hours as regular transit services; and
- The provider cannot show a pattern or practice of denials.

The provision of ADA Paratransit service is, by nature, more complex than fixed route transit as ADA providers cannot rely on fixed schedules or routes. Each day, ADA providers have to

develop new route maps and schedules to meet the demand for door-to-door trips. While it is a priority for ADA providers to minimize customer delays and maximize productivity, it is difficult to avoid consumer waits and some circuitous routing.

### ***ADA-Mandated Service in Alameda County***

In Alameda County, there are three ADA-mandated programs provided by East Bay Paratransit (EBP), LAVTA and Union City Transit. For the Measure B ADA-mandated paratransit program, 5.63 percent of annual net Measure B revenues are distributed, as prescribed in the 2000 TEP, to AC Transit and BART. These two agencies have partnered to form the East Bay Paratransit Consortium (EBPC), one of the larger ADA operators in the region, to more efficiently provide federally-mandated ADA service in their overlapping service areas.

ADA service is more costly to operate than the local city-based paratransit programs because it is bound by requirements that increase the costs, such as:

- ADA-mandated providers must meet all demand for service – a trip cannot be prioritized over another trip nor can it be refused for any eligible rider during the hours and areas of operation;
- ADA-mandated service must be offered during the same time and locations that standard transit service is in operation within the ADA service area; and
- ADA drivers must receive federally-mandated driver training to ensure they follow all policies and procedures and are able to proficiently use accessibility equipment (ADA operators undergo periodic review by the FTA; if deficiencies are found, it can have serious legal consequences for the provider).

### ***Service Design***

The EBPC works to deliver service in a cost-efficient manner and employs scheduling software and vehicle GPS to facilitate efficiencies. AC Transit and BART report that there are no duplicative efforts or costs, with regards to administration. The two agencies cooperatively manage EBPC, and the Boards of each have divided major roles between the agencies. AC Transit and BART are ultimately responsible for compliance with the law. The Boards are regularly updated on performance of EBPC and make all policy decisions.

The EBP service design has been approved by the Boards of both AC Transit and BART and utilizes a “brokerage model” through which the prime contractor provides centralized scheduling and dispatch services and sub-contracts the vehicle and trip provision. The brokerage model is a common structure for the delivery of ADA paratransit service, and EBPC has determined that it is a cost effective delivery method. The current prime contractor for EBP services is Veolia Transportation, selected through a competitive procurement process in 2013.

In January 2014, AC Transit and BART received an estimate of a total of \$6.4 million of Measure B funds in FY 2014-15 to support ADA-mandated service. This is approximately 18 percent of the total FY 2014-15 EBP budget of \$36.5 million. Less than 1 percent of this total is budgeted for EBPC management and overhead. EBP's plan projects a total of 710,000 trips during this period, which would result in a cost of about \$51 per trip. For reference, Attachment B shows the total costs, total Measure B contribution, number of planned trips and average cost per trip for the various ADA-mandated and non-mandated trip provision services included in Measure B paratransit programs for FY 2014-15.

#### Performance Indicators and Service Review

EBP currently has 18,000 registered clients and averages approximately 1,945 trips per day. EBP operates the same days and hours and in the same areas as AC Transit and BART service with an on-time performance currently at 91 percent. EBP has high productivity compared to its peers (e.g. Los Angeles, Seattle, Dallas) - the current average number of passengers per revenue vehicle hour is 1.74 with an average trip duration of 40 minutes and average trip length of over 10 miles. For FY 2014-15, in addition to trip provision, service highlights will include the completion of EBP's office move which will provide an improved location and facility for in-person client interviews, completion of a new and improved Emergency Operations Plan and the implementation of a new Interactive Voice Response (IVR) system, providing clients with an automated courtesy call five minutes prior to the arrival of their paratransit ride that will support more efficient service.

The EBPC structure includes two service review committees: (1) the Service Review Advisory Committee (SRAC), to advise the AC Transit and BART Boards and staff on EBPC services, composed of EBPC consumers, representatives from city-based paratransit programs and social services/non-profit representatives, and (2) the Service Review Committee (SRC), composed of the General Managers (or designees) of both AC Transit and BART. EBPC also conducts an annual passenger survey and in 2013, 88% rated their surveyed trip as excellent or good.

#### ***Non-mandated Services in Alameda County***

Ten cities in Alameda County have city-based paratransit programs. Each city with a paratransit program has designed their program to meet the needs of consumers in their local jurisdiction. The major differences between the city-based non-mandated and ADA-mandated programs, aside from the absence of federally-regulated service requirements, is that they also provide transportation services to seniors rather than exclusively to those with disabilities. Also, they are able to offer a range of different types of services, including accessible door-to-door, shuttles and group trips, taxi, and volunteer driver services. Through efforts such as standardized Measure B Implementation Guidelines and the 2011 Coordination and Mobility Management Planning (CMMP) efforts these eligible program components are designed to expand and enhance available services, rather than duplicate existing ADA services.

Most city-based programs have incorporated mobility management concepts and practices into their services to improve efficiency and customers' ability to access services. Mobility management is a comprehensive approach to transportation that is focused on individual customer travel needs rather than a "one size fits all" solution. Mobility Management improves awareness of transportation options and reduces customer confusion, expands travel options and access for consumers, and provides more cost-effective and efficient services through improved coordination and partnerships. Examples of mobility management strategies include travel training and individualized transportation information and trip planning services.

### Funding Formula

For the Measure B non-mandated city-based paratransit programs, 3.39 percent of annual net Measure B revenues are distributed through a Commission-approved funding formula (Attachment C) to 12 programs, two of which, Union City Transit and Livermore-Amador Valley Transit Authority (LAVTA), provide ADA-mandated service. Per the 2000 TEP, the 3.39 percent of net revenue is distributed to the planning areas as follows:

- North County = 1.24%
- Central County = 0.88%
- South County = 1.06%
- East County = 0.21%

Funds from each planning area may not be transferred into another area. In the 2000 TEP, PAPCO is tasked with development of the funding formula to distribute Measure B direct local distribution funds for non-mandated paratransit services to the cities within each planning area. PAPCO reviews the funding formula annually and any recommended revisions are forwarded to the Commission for approval. The funding formula was last approved by the Commission in 2012 and includes the following factors:

- Seniors age 70-79 (*Census 2010*)
- Seniors age 80+ weighted at 1.5 (*Census 2010*)
- Low-income households earning less than or equal to 30 percent of Area Median Income (*American Community Survey*)

Based on the unavailability of reliable data relating to disability, the age-based statistics are weighted to act as a proxy for disability.

### **Competitive Gap Grant Program**

The 2000 Measure B TEP also designates 1.43 percent of net revenues for "Coordination/Gaps in Service" and the distribution of these funds is recommended by PAPCO. These discretionary grant funds are available to both public agencies and eligible non-profits to improve coordination, fill gaps and reduce differences in services that might exist based on



geographic residence of individuals needing services. The next Gap Grant call for projects is scheduled for spring 2015. To date approximately \$14 million of paratransit Measure B Gap Grant funds have been awarded to over 70 transportation projects and programs for seniors and people with disabilities in Alameda County. Priority projects and programs for Gap funding include implementing a range of services (e.g. shuttles and volunteer driver programs), filling 'emergency' gaps (e.g., Wheelchair Scooter Breakdown Transportation Service and Hospital Discharge Transportation Service), maximizing the use of accessible fixed-route transit (e.g. travel training), and expanding community education and information (e.g. the Access Alameda guide, Paratransit Hotline, "one call/one click" resources for consumers such as 211, and outreach events).

### ***Implementation Guidelines***

The Implementation Guidelines for the Special Transportation Program for Seniors and People with Disabilities (Attachment D) provide the eligibility requirements for services that can be funded with Measure B paratransit funds. For most types of service, the Guidelines include both cost per trip and fare limitations to ensure programs remain cost-effective and affordable to the consumer. The Guidelines are part of the Alameda CTC's Master Program Funding Agreement (MPFA). All ADA-mandated paratransit services, city-based non-mandated programs, and gap grant projects funded with Measure B revenues must be in compliance with these guidelines. The guidelines are reviewed annually by PAPCO and the Paratransit Technical Advisory Committee (ParaTAC), and any proposed amendments are forwarded to the Commission for consideration.

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

PAPCO comprises 23 members appointed by Alameda CTC Commissioners and also serves as the Paratransit Coordinating Council for Alameda County. PAPCO allows for a distinct consumer forum for paratransit issues because all members are consumers of paratransit or accessible transportation and county Paratransit Coordinating Councils are typically composed of both consumers and providers. PAPCO meets the 4th Monday of most months and is an active committee, having reached quorum for every meeting since 2008. PAPCO makes recommendations to the Commission on the funding formula for city-based ADA-mandated and non-mandated programs, and Gap Grant funding. PAPCO maintains a number of standing and ad hoc subcommittees to help complete this work, including Fiduciary Training and Finance, Funding Formula, Program Plan Review, Gap Grant Review, 5310 Scoring and Bylaws. The Committee has also placed a large emphasis on outreach and, per its Bylaws, requires every member to participate in at least one outreach activity annually.

PAPCO is also supported by the Paratransit TAC, which is composed of staff representatives from the cities and transit agencies that receive Measure B paratransit funds. ParaTAC meets periodically through the year and also meets jointly with PAPCO on a quarterly basis.

## ***Information and Outreach***

PAPCO's annual work plan includes an emphasis on information and outreach, to inform County residents of the different options in transportation for seniors and people with disabilities. The primary publication and reference is the Access Alameda guide, a transportation services resource for seniors and people with disabilities in Alameda County, which provides detailed service and contact information for the ADA and city-based programs. An online version of the current Access Alameda guide can be found at [www.accessalameda.org](http://www.accessalameda.org). This publication is the most popular information item at outreach events, with 4,000 estimated to be distributed during FY 2014-15. Both the print and online versions of the guide are currently being updated to reflect up-to-date information, including volunteer driver programs, 211 and other mobility management/travel training resources. The Alameda CTC also maintains a Paratransit Hotline: 1 (866) 901-PARA (7272) to answer questions about the variety of options.

In addition to ongoing community outreach efforts, PAPCO and the Alameda CTC sponsor an annual "Senior and Disabled Mobility Workshop". The Workshop has become a regional event, with local and national speakers sharing ideas and approaches related to key issues, trends and needs. Attendees include consumers, advocates, public agency and non-profit staff, and elected officials. The next Mobility Workshop is scheduled for October 17, 2014.

**Fiscal Impact:** There is no fiscal impact. This item provides further definition of the services to be provided with Measure B Paratransit direct local program distribution funding, which is included in the budget for FY 2014-15.

### **Attachments:**

- A. FY 2014-15 Paratransit Funding and Program Plans Summary
- B. FY 2014-15 Summary by Service Type
- C. Paratransit Funding Formula
- D. Paratransit Implementation Guidelines

### **Staff Contacts**

[Jacki Taylor](#), Program Analyst

[Matt Todd](#), Principal Transportation Engineer

[Naomi Armenta](#), Paratransit Coordinator

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| Summary of FY 2014-15 Paratransit Program Plans and PAPCO Recommendations |  |                            |                              |               |  |                      |
|---|--|----------------------------|------------------------------|---------------|--|----------------------|
| Program   | Estimated Measure B Paratransit Funding <sup>1</sup> | Other Funding <sup>2</sup> | Estimated Total Program Cost | Planned Trips | Program Components   | PAPCO Recommendation |
| Alameda   | \$158,549  | \$84,330                   | \$242,879                    | 9,300         | Taxi, Shuttle, Group Trips, Scholarship  | Approval             |
| Albany  | \$31,710   | \$21,800                   | \$53,510                     | 4,500         | Taxi, Group Trips  | Approval             |
| Berkeley  | \$257,395  | \$316,500                  | \$595,800                    | 19,210        | Taxi, Specialized Van, Group Trips, Door-to-Door, Scholarship                        | Approval             |
| Emeryville  | \$23,073   | \$378,435                  | \$401,508                    | 10,650        | Taxi, Door-to-Door, Group Trips, Scholarship, Meal Delivery                          | Approval             |
| Fremont   | \$780,003  | \$532,128                  | \$1,312,131                  | 24,775        | Door-to-Door, Group Trips, Taxi, MM/Travel Training, Volunteer Driver, Meal Delivery | Approval             |
| Hayward   | \$722,046  | \$135,000                  | \$907,500                    | 27,200        | Door-to-Door, Group Trips, Taxi, MM/Travel Training, Specialized Van, Meal Delivery  | Approval             |
| Newark  | \$155,346  | \$8,000                    | \$152,000                    | 4,200         | See Fremont  | Approval             |
| Oakland   | \$942,497  | \$161,647                  | \$1,104,144                  | 29,500        | Taxi, Specialized Van, Door-to-Door  | Approval             |
| Pleasanton  | \$93,402   | \$507,796                  | \$601,198                    | 12,500        | Door-to-Door, Shuttle  | Approval             |

| Summary of FY 2014-15 Paratransit Program Plans and PAPCO Recommendations |  |                            |                              |               |   |   |
|---|--|----------------------------|------------------------------|---------------|---|---|
| Program   | Estimated Measure B Paratransit Funding <sup>1</sup> | Other Funding <sup>2</sup> | Estimated Total Program Cost | Planned Trips | Program Components  | PAPCO Recommendation                    |
| San Leandro   | \$280,887  | \$28,130                   | \$309,007                    | 18,440        | Shuttle, Taxi   | Approval                                |
| LAVTA   | \$145,934  | \$1,419,573                | \$1,565,507                  | 45,800        | ADA Paratransit, Taxi                                       | Conditional Approval: quarterly reports |
| Union City  | \$272,721  | \$609,948                  | \$882,669                    | 21,000        | ADA Paratransit, Taxi, MM/Travel Training, Volunteer Driver | Approval                                |
| EBP-AC Transit  | \$4,718,346  | \$20,328,607               | \$25,046,953                 | 710,000       | ADA Paratransit   | Approval                                |
| EBP-BART  | \$1,698,149  | \$9,763,025                | \$11,461,174                 |               |   |   |
| TOTAL   | \$10,280,058   | \$34,294,919               | \$44,635,980                 | 937,075       |   |   |

**Notes:**

1. Amount based on FY 2014-15 revenue estimate as of January 2014.
2. Other funding includes Measure B reserves and Gap grants, fare revenue, general fund, etc.



| Summary of FY 2014-15 Paratransit Program Plans by Program Component/Service   |                     |                              |                |               |
|--|---------------------|------------------------------|----------------|---------------|
| Service Type and Description   | Total Cost          | Total Measure B <sup>1</sup> | Total Trips    | Cost per Trip |
| <b>ADA-mandated Paratransit Service (East Bay Paratransit, LAVTA and Union City)</b>   |                     |                              |                |               |
| <ul style="list-style-type: none"> <li>- Federally-mandated curb-to-curb service</li> <li>- Pre-scheduled</li> <li>- For people with disabilities who are unable to ride fixed-route transit</li> </ul>  | \$38,932,969        | \$6,835,150                  | 775,300        | \$50.22       |
| <b>City-based Door-to-Door Service</b>   |                     |                              |                |               |
| <ul style="list-style-type: none"> <li>- Non-mandated door-to-door service</li> <li>- Pre-scheduled</li> <li>- For people with disabilities who are unable to ride fixed-route transit and seniors.</li> </ul>   | \$2,093,894         | \$1,069,502                  | 49,900         | \$41.96       |
| <b>City-based Taxi Service</b>   |                     |                              |                |               |
| <ul style="list-style-type: none"> <li>- Non-mandated taxi service</li> <li>- Same day</li> <li>- Some programs provide accessible vehicles</li> <li>- For people with disabilities and seniors</li> </ul>   | \$1,196,732         | \$780,800                    | 33,715         | \$35.50       |
| <b>City-based Group Trips</b>  |                     |                              |                |               |
| <ul style="list-style-type: none"> <li>- Non-mandated group trips to a common destination</li> <li>- Pre-scheduled round trips</li> <li>- Some programs use accessible vehicles</li> <li>- For people with disabilities and seniors</li> </ul>   | \$875,151           | \$206,657                    | 24,460         | \$35.78       |
| <b>City-based Specialized Van Service</b>  |                     |                              |                |               |
| <ul style="list-style-type: none"> <li>- Non-mandated accessible vehicle service (lift- or ramp-equipped)</li> <li>- Pre-scheduled and same day service</li> <li>- Fills special need unmet by other programs (e.g. taxi programs without ramp taxis)</li> <li>- For people with disabilities and seniors</li> </ul> | \$885,093           | \$555,300                    | 27,700         | \$31.95       |
| <b>City-based Shuttle Service</b>  |                     |                              |                |               |
| <ul style="list-style-type: none"> <li>- Non-mandated fixed schedule shuttle service</li> <li>- May include flexible routes</li> <li>- For seniors and people with disabilities</li> </ul>   | \$553,047           | \$375,472                    | 26,000         | \$21.27       |
| <b>Total</b>   | <b>\$44,536,886</b> | <b>\$9,822,881</b>           | <b>937,075</b> |               |

## Notes:

1. Total Measure B includes both FY 2014-15 Paratransit Direct Local Distribution funds, Measure B Reserves, and awarded Paratransit Gap Grant funds.

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**PARATRANSIT FUNDING FORMULA, FY 2014-15**

| Planning Area        | % of Planning Area<br>Total |
|----------------------|-----------------------------|
| Alameda              | 11.22%                      |
| Albany               | 2.24%                       |
| Berkeley             | 18.21%                      |
| Emeryville           | 1.63%                       |
| <i>Oakland</i>       |                             |
| <i>Piedmont</i>      |                             |
| Oakland TOTAL        | 66.69%                      |
| NORTH COUNTY         | 100%                        |
| <i>Hayward</i>       |                             |
| <i>Ashland</i>       |                             |
| <i>Cherryland</i>    |                             |
| <i>Castro Valley</i> |                             |
| <i>Fairview</i>      |                             |
| <i>San Lorenzo</i>   |                             |
| Hayward TOTAL        | 71.99%                      |
| San Leandro          | 28.01%                      |
| CENTRAL COUNTY       | 100%                        |
| Fremont              | 64.57%                      |
| Newark               | 12.86%                      |
| Union City           | 22.58%                      |
| SOUTH COUNTY         | 100%                        |
| <i>Sunol</i>         |                             |
| <i>Pleasanton</i>    |                             |
| Pleasanton TOTAL     | 39.03%                      |
| <i>Dublin</i>        |                             |
| <i>Livermore</i>     |                             |
| LAVTA TOTAL          | 60.97%                      |
| EAST COUNTY          | 100%                        |

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

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

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

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

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

|  |     |     |     |                                      |
|--|-----|-----|-----|--------------------------------------|
| Mobility Management and/or Travel Training | N/A | N/A | N/A | Seniors and people with disabilities |
| Scholarship/Subsidized Fare Programs       | N/A | N/A | N/A | Seniors and people with disabilities |

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

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



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

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

| City-based Specialized Van Service |   |
|------------------------------------|---|
| Service Description                | <p>Specialized van service provides accessible, door-to-door trips on a pre-scheduled or same-day basis. These services are generally implemented as a supplement to a program that does not meet critical needs for particular trips in accessible vehicles in certain communities. Examples of unmet needs might be a taxi program without accessible vehicles or medical trips for riders too frail to take a shuttle, or outside of the ADA-mandated service area.</p> <p>These programs make use of fare mediums such as scrip and vouchers to allow consumers to pay for rides.</p> |
| Eligible Population                | At discretion of program sponsor with local consumer input.   |
| Time & Days of Service             | At discretion of program sponsor with local consumer input.   |
| Fare (Cost to Customer)            | At discretion of program sponsor with local consumer input.   |
| Other                              | Specialized van programs should provide trips at an equal or lower cost than the ADA-mandated provider on a cost per trip and cost per hour basis.  |

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

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

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

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

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

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





# Memorandum

5.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

**DATE:** June 2, 2014

**SUBJECT:** Alameda CTC At Risk Monitoring Reports

**RECOMMENDATION:** Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation Fund for Clean Air (TFCA) At Risk monitoring reports, dated May 31, 2014.

## Summary

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

## Background

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

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

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

## **May 2014 At Risk Monitoring Reports**

### ***STIP Report***

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

### ***Federal STP/CMAQ Report***

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

- Projects are to request a Field Review within one year of approval in the Federal Transportation Improvement Program (TIP), but no less than 12 months prior to the obligation deadline of construction funds.
- For projects programmed in Federal FY 2013/14, the deadline to submit a request for authorization (RFA) was February 1, 2014 and the deadline to obligate funding (receive E-76 or FTA transfer) was April 30, 2014.
- For projects in the three local federal Safety Programs: Highway Safety Improvement Program (HSIP), High Risk Rural Roads Program (HR3), and Safe Routes to School Program (SRTS) are included in the STP/CMAQ report. As of November 2010, MTC has been applying the provisions of MTC Resolution 3606 to all local safety programs.
- The following deadlines are included in Resolution 3606, but are not tracked or reported in the monitoring reports: Environmental submittal, Program Supplement Agreement (PSA), and regional invoicing and reimbursement.

### ***TFCA At Risk Report***

The attached TFCA At Risk report (Attachment C) includes active and recently completed projects programmed with Alameda County TFCA Program Manager funds and monitored for TFCA program compliance. In this report, no projects are in the red or yellow zones. There are 24 projects in the green zone with no required activities due for at least eight months. The five projects reported as complete have met the TFCA

requirements monitored through the At Risk report and will be removed from future reports.

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

### **Attachments**

- A. STIP At Risk Report
- B. Federal (STP/CMAQ) At Risk Report
- C. TFCA County Program Manager Fund At Risk Report

### **Staff Contacts**

[Vivek Bhat](#), Senior Transportation Engineer

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

[Jacki Taylor](#), Program Analyst

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

| Index | PP No.<br>Source           | Sponsor<br>Prog'd Amount<br>(\$x 1,000) | Project Title<br>Phase  | FY                      | Required Activity                     | Date Req'd<br>By       | Zone       | Notes  | Prev<br>Zone |
|-------|----------------------------|---|---|-------------------------|---------------------------------------|------------------------|------------|--|--------------|
| 1     | 2100F<br>RIP-TE            | Alameda Co.<br>\$1,150                  | Cherryland/Ashland/Castro Valley Sidewalk Imps.<br>Con          | 10/11                   | Accept Contract                       | 11/1/14                | R          | \$1,150 Allocated 5/12/11<br>Awarded Nov 2011                                      | G            |
| 2     | 2103<br>RIP                | BART<br>\$20,000                        | Oakland Airport Connector<br>Con                                | 10/11                   | Accept Contract                       | 9/1/14                 | R          | App'd into STIP and<br>allocated 9/23/10<br>Awarded Oct 2010                       | G            |
| 3     | 0057J<br>RIP<br>RIP<br>RIP | Caltrans<br>\$500<br>\$1,100<br>\$400   | SR-24 Caldecott Tunnel 4th Bore Landscaping<br>Con<br>CE<br>PSE | 13/14<br>13/14<br>12/13 | Award Contract<br><br>Complete Expend | 9/20/14<br><br>6/30/15 | R<br><br>G | \$500K Allocated 3/20/14<br>\$1,100K Allocated 3/20/14<br>\$400K Allocated 6/11/13 | R            |
| 4     | 2014U<br>RIP               | GGBHTD<br>\$12,000                      | SF Golden Gate Bridge Barrier<br>Con                            | 11/12                   | Award Contract                        | 6/11/14                | R          | \$12M Allocated 12/11/13<br>18-Mo Ext App'd May 12<br>\$20M Total RIP - \$12M Ala  | R            |
| 5     | 2140S<br>RIP-TE            | LAVTA<br>\$200                          | Rideo Bus Restoration Project<br>Con                            | 10/11                   | Accept Contract                       | 8/10/14                | R          | \$200 Allocated 5/12/11 from<br>SM County Reserve<br>Contract Awd 8/10/11          | G            |
| 6     | 2009K<br>RIP               | LAVTA<br>\$4,000                        | Satellite Bus Operating Facility (Phases 1 & 2)<br>Con          | 11/12                   | Accept Contract                       | 11/7/14                | R          | Note 3<br>\$4M Alloc'd 6/23/11 PTA<br>Contract Awd 11/7/11                         | G            |

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

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

*End of Yellow Zone*

# STIP At Risk Report

Status Date: May 31, 2014

## STIP-RIP Locally-Sponsored Alameda County Projects

### Green Zone Projects

| Index | PP No. | Sponsor     | Project Title  |       |       |                      |          |      |   |      |
|-------|--------|-------------|--|-------|-------|----------------------|----------|------|---|------|
|       |        | Source      | Prog'd Amount  | Phase | FY    | Required Activity    | Date     | Zone | Notes   | Prev |
|       |        |             | (\$x 1,000)  |       |       |                      | Req'd By |      |   | Zone |
| 7     | 2009Z  | AC Transit  | East Bay Bus Rapid Transit                             |       |       |                      |          |      |   |      |
|       |        | RIP         | \$7,995  | Con   | 15/16 | Allocate Funds       | 6/30/16  | G    | New Project in 2014 STIP  | NA   |
| 8     | 2103C  | BART        | Daly City BART Station Intermodal Improvements         |       |       |                      |          |      |   |      |
|       |        | RIP         | \$200  | Con   | 16/17 | Allocate Funds       | 6/30/17  | G    | New Project in 2014 STIP  | NA   |
| 9     | 2103B  | BART        | Downtown Berkeley BART Plaza/Transit Area Improvements |       |       |                      |          |      |   |      |
|       |        | RIP         | \$3,726  | Con   | 16/17 | Allocate Funds       | 6/30/17  | G    | New Project in 2014 STIP  | NA   |
| 10    | 0044C  | Alameda CTC | I-880 Reconstruction, 29th to 23rd                     |       |       |                      |          |      |   |      |
|       |        | RIP         | \$2,000  | PSE   | 10/11 | Final Invoice/Report |          | NA   |   | R    |
| 11    | 0081H  | Alameda CTC | RT 84 Expressway Widening (Segment 2)                  |       |       |                      |          |      |   |      |
|       |        | RIP         | \$47,030   | Con   | 14/15 | Allocate Funds       | 6/30/15  | G    |   | G    |
| 12    | 0081J  | Alameda CTC | East-West Connector in Fremont                         |       |       |                      |          |      |   |      |
|       |        | RIP         | \$12,000   | Con   | 18/19 | Allocate Funds       | 6/30/19  | G    | New Project in 2014 STIP  | NA   |
| 13    | 0139F  | Alameda CTC | Rt 580, Landscaping, San Leandro Estudillo Ave - 141st |       |       |                      |          |      |   |      |
|       |        | RIP-TE      | \$350  | Con   | 10/11 | Accept Contract      | 7/26/15  | G    | \$350K Allocated 10/27/11<br>3-Mo Ext for Awd 5/23/12<br>Contract Awarded 7/26/12 | G    |
| 14    | 2100K  | Alameda CTC | I-880 Landscape/Hardscape Improvements in San Leandro  |       |       |                      |          |      |   |      |
|       |        | RIP-TE      | \$400  | PSE   | 09/10 | Final Invoice/Report |          | NA   | \$400K Allocated 6/30/10<br>12-Mo Ext App'd April '12                             | R    |
| 15    | 2179   | Alameda CTC | Planning, Programming and Monitoring (Note 2)          |       |       |                      |          |      |   |      |
|       |        | RIP         | \$1,563  | Con   | 12/13 | Complete Expend      | 6/30/15  | G    | \$1,563 Allocated 6/28/12   | G    |
|       |        | RIP         | \$750  | Con   | 13/14 | Complete Expend      | 6/30/16  | G    | \$750K Allocated 8/6/13<br>effective 7/1/13 (SB184)                               |      |
|       |        | RIP         | \$886  | Con   | 16/17 | Allocate Funds       | 6/30/17  | G    |   |      |
|       |        | RIP         | \$750  | Con   | 17/18 | Allocate Funds       | 6/30/18  | G    |   |      |
|       |        | RIP         | \$565  | Con   | 18/19 | Allocate Funds       | 6/30/19  | G    |   |      |
| 16    | 9051A  | BATA        | Improved Bike/Ped Connectivity to East Span SFOBB      |       |       |                      |          |      |   |      |
|       |        | RIP-TE      | \$3,063  | Con   | 16/17 | Allocate Funds       | 6/30/17  | G    | Added in 2012 STIP  | G    |
| 17    | 2100G  | Berkeley    | Berkeley Bay Trail Project, Seg 1                      |       |       |                      |          |      |   |      |
|       |        | RIP-TE      | \$1,928  | Con   | 10/11 | Final Invoice/Report |          | NA   | \$1,928 Allocated 12/15/11<br>Awarded 5/29/12                                     | G    |
| 18    | 2100H  | Dublin      | Alamo Canal Regional Trail, Rt 580 undercrossing       |       |       |                      |          |      |   |      |
|       |        | RIP-TE      | \$1,021  | Con   | 10/11 | Final Invoice/Report |          | NA   | \$1,021 Allocated 8/11/11<br>Contract Awd 2/7/12<br>Accepted 2/19/13              | G    |

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

| Index | PP No. | Sponsor | Project Title                                     |       |       |                   | Date                 | Zone | Notes   | Prev |
|-------|--------|---------|---|-------|-------|-------------------|----------------------|------|---|------|
|       |        | Source  | Prog'd Amount                                     | Phase | FY    | Required Activity | Req'd By             |      |   | Zone |
|       |        |         | (\$x 1,000)                                       |       |       |                   |                      |      |   |      |
| 19    | 2100   | MTC     | Planning, Programming and Monitoring <sup>2</sup> |       |       |                   |                      |      |   |      |
|       |        | RIP     | \$114   | Con   | 12/13 | Complete Expend   | 6/30/15              | G    | \$114 Allocated 6/27/12 effective 7/1/12 (SB184)                | G    |
|       |        | RIP     | \$122   | Con   | 14/15 | Allocate Funds    | 6/30/15              | G    |   |      |
|       |        | RIP     | \$118   | Con   | 13/14 | Complete Expend   | 6/30/16              | G    | \$118K Allocated 6/11/13 effective 7/1/13 (SB184)               |      |
|       |        | RIP     | \$126   | Con   | 15/16 | Allocate Funds    | 6/30/16              | G    |   |      |
|       |        | RIP     | \$131   | Con   | 16/17 | Allocate Funds    | 6/30/17              | G    |   |      |
|       |        | RIP     | \$135   | Con   | 17/18 | Allocate Funds    | 6/30/18              | G    |   |      |
|       |        | RIP     | \$140   | Con   | 18/19 | Allocate Funds    | 6/30/19              | G    |   |      |
| 20    | 2103A  | Oakland | Oakland Coliseum TOD                              |       |       |                   |                      |      |   |      |
|       |        |         | RIP-TE  | \$885 | Con   | 10/11             | Final Invoice/Report | NA   | \$885 Allocated 6/23/11 Contract Awd 11/10/11 Completed 3/13/13 | Y    |

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

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



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

**Status Date: May 31, 2014**

**2014 STIP -Timely Use of Funds Provisions**

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

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

**Zone Criteria**

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

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

**Other Zone Criteria**

|                    |                             |
|--------------------|-----------------------------|
| <b>Yellow Zone</b> | STIP /TIP Amendment pending |
| <b>Red Zone</b>    | Extension Request pending   |
| <b>Notes:</b>      |                             |

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

## Federal At Risk Report

Status Date: May 31, 2014

## Federally-Funded Locally-Sponsored Alameda County Projects

**Red Zone Projects**

| Index    | TIP ID              | Sponsor           | Project Title  | Source | Prog'd Amount<br>(\$x 1,000) | Phase | FY    | Required Activity | Date<br>Req'd By | Zone | Notes   | Prev<br>Zone |
|----------|---------------------|-------------------|--|--------|------------------------------|-------|-------|-------------------|------------------|------|---|--------------|
| <b>1</b> |                     | <b>AC Transit</b> | <b>Enhanced Bus - Telegraph/Intl/East 14th</b>                                 | CMAQ   | \$2,155                      | Con   | 13/14 | Transfer to FTA   | Note 1           | R    | TIP Amend 13-12<br>Req for Transfer submitted | NA           |
| <b>2</b> | <b>HSIP4-04-002</b> | <b>Alameda</b>    | <b>Shoreline Dr - Westline Dr - Broadway Improvements</b>                      | HSIP   | \$68                         | PE    | 11/12 | Liquidate Funds   | 06/30/14         | R    | \$68 Obligated 1/18/12                        | R            |
|          |                     |                   |  | HSIP   | \$348                        | Con   | 11/12 | Liquidate Funds   | 06/30/16         | G    | See Note 2<br>\$348 Obligated 3/5/14          |              |
| <b>3</b> | <b>HSIP4-04-010</b> | <b>Alameda</b>    | <b>Park Street Operations Improvements</b>                                     | HSIP   | \$607                        | Con   | 11/12 | Obligate Funds    | Note 1           | R    | See Note 2                                    | R            |
|          |                     |                   |  | HSIP   | \$126                        | PE    |       | Liquidate Funds   | 06/30/14         | R    | \$126 Obligated 1/18/12                       |              |
| <b>4</b> | <b>ALA090069</b>    | <b>Ala County</b> | <b>Alameda County: Rural Roads Pavement Rehab</b>                              | STP    | \$1,815                      | Con   | 11/12 | Award Contract    | Note 1           | R    | \$1,815 Obligated 4/4/12                      | R            |
|          |                     |                   |  |        |                              |       |       | Liquidate Funds   | 04/04/18         | G    |   |              |
|          |                     |                   |  | STP    | \$320                        | PE    | 10/11 | Liquidate Funds   | 03/16/17         | G    | \$320 Obligated 3/16/11                       |              |
| <b>5</b> | <b>ALA110026</b>    | <b>Ala County</b> | <b>Alameda Co - Central Unincorporated Pavement Rehab</b>                      | STP    | \$1,071                      | Con   | 11/12 | Award Contract    | Note 1           | R    | \$1,071 Obligated 4/4/12                      | R            |
|          |                     |                   |  |        |                              |       |       | Liquidate Funds   | 04/04/18         | G    |   |              |
|          |                     |                   |  | STP    | \$50                         | PE    | 10/11 | Liquidate Funds   | 03/23/17         | G    | \$50 Obligated 3/23/11                        |              |
| <b>6</b> | <b>H3R1-04-031</b>  | <b>Ala County</b> | <b>Patterson Pass Road - PM6.4 Widen or Improve Shoulder</b>                   | HRRR   | \$717                        | Con   | 12/13 | Obligate Funds    | Note 1           | R    | See Note 2                                    | R            |
|          |                     |                   |  | HRRR   | \$101                        | PE    | Prior | Liquidate Funds   | 06/30/15         | G    | \$101 Obligated 12/19/08                      |              |
| <b>7</b> | <b>HSIP2-04-024</b> | <b>Ala County</b> | <b>Castro Valley Blvd - Wisteria St Intersection and Frontage Improvements</b> | HSIP   | \$577                        | Con   | 11/12 | Liquidate Funds   | Note 1           | R    | See Note 2<br>Obligated 9/19/12               | R            |
|          |                     |                   |  | HSIP   | \$59                         | PE    | Prior |                   |                  |      | Obligated 8/14/09                             |              |
|          |                     |                   |  | HSIP   | \$63                         | R/W   | Prior |                   |                  |      | Obligated 2/15/11                             |              |
| <b>8</b> | <b>HSIP2-04-027</b> | <b>Ala County</b> | <b>Remove Permanent Obstacle along Shoulder (Foothill Road)</b>                | HSIP   | \$427                        | Con   | 10/11 | Complete Closeout | 09/30/14         | R    | See Note 2<br>Con Obligated 8/11/13           | R            |
|          |                     |                   |  | HSIP   | \$59                         | PE    | Prior |                   |                  |      | PE Obligated 2/23/09                          |              |
| <b>9</b> | <b>SRTS1-04-001</b> | <b>Ala County</b> | <b>Fairview Elementary School Vicinity Improvements</b>                        | SRTS   | \$508                        | Con   | 10/11 | Complete Closeout | Note 1           | R    | See Note 2<br>Obligated 9/19/12               | R            |
|          |                     |                   |  | SRTS   | \$77                         | PE    | Prior |                   |                  |      | Obligated 1/29/09                             |              |

## Federally-Funded Locally-Sponsored Alameda County Projects

**Red Zone Projects (cont.)**

| Index | TIP ID       | Sponsor                   | Project Title   |       |                     |               |      |  |           |  |
|-------|--------------|---------------------------|---|-------|---------------------|---------------|------|--|-----------|--|
|       | Source       | Prog'd Amount (\$x 1,000) | Phase   | FY    | Required Activity   | Date Req'd By | Zone | Notes  | Prev Zone |  |
| 10    | ALA130032    | BART                      | Metro Priority Track Elements   |       |                     |               |      |  |           |  |
|       | STP          | \$1,539                   | PE  | 13/14 | Transfer to FTA     | Note 1        | R    | TIP Amend 13-14  | NA        |  |
|       | STP          | \$1,920                   | Con   | 13/14 | Transfer to FTA     | Note 1        | R    | Proj Dev & Con Same FY                                     |           |  |
| 11    | ALA110007    | Berkeley                  | City of Berkeley Transit Action Plan - TDM                                    |       |                     |               |      |  |           |  |
|       | CMAQ         | \$10                      | Con   | 11/12 | Obligate Funds      | Note 1        | R    | Working with Caltrans and MTC to add to PE See Note 3      | R         |  |
|       | CMAQ         | \$1,990                   | PE  | 10/11 | Liquidate Funds     | 02/22/17      | G    | \$1,990 Obligated 2/22/11                                  |           |  |
| 12    | ALA110024    | Dublin                    | Dublin Citywide Street Resurfacing  |       |                     |               |      |  |           |  |
|       | STP          | \$547                     | Con   | 11/12 | Award Contract      | Note 1        | R    | \$547 Obligated 3/16/12                                    | R         |  |
|       |              |                           |   |       | Liquidate Funds     | 03/16/18      | G    |  |           |  |
| 13    | SRTS3-04-007 | Emeryville                | San Pablo Avenue 43rd to 47th Pedestrian Safety                               |       |                     |               |      |  |           |  |
|       | SRTS         | \$696                     | Con   | 13/14 | Obligate Funds      | 06/17/14      | R    | See Note 2   | R         |  |
|       | SRTS         | \$52                      | PE  | 11/12 |                     |               | G    | \$52 Obligated 5/4/12                                      |           |  |
| 14    | ALA110012    | Fremont                   | Fremont CBD/Midtown Streetscape   |       |                     |               |      |  |           |  |
|       | CMAQ         | \$1,114                   | Con   | 11/12 | Award Contract      | Note 1        | R    | \$1,114 Obligated 3/27/12                                  | R         |  |
|       |              |                           |   |       | Liquidate Funds     | 03/27/18      | G    |  |           |  |
|       | CMAQ         | \$432                     | Con   | 10/11 | Project Complete    | NA            |      | \$432 Obligated 4/13/11                                    |           |  |
|       | CMAQ         | \$54                      | Con   | 10/11 | Project Complete    | NA            |      | \$54 Obligated 6/13/11                                     |           |  |
| 15    | ALA130020    | Fremont                   | Fremont Various Streets and Roads Preservation                                |       |                     |               |      |  |           |  |
|       | STP          | \$2,105                   | Con   | 13/14 | Advertise Contract  | 07/16/14      | R    | \$2,105 Obligated 4/16/14                                  | R         |  |
|       |              |                           |   |       | Award Contract      | 10/16/14      | R    |  |           |  |
| 16    | ALA130025    | Fremont                   | Fremont City Center Multi-Modal Improvements                                  |       |                     |               |      |  |           |  |
|       | STP          | \$5,333                   | Con   | 13/14 | Advertise Contract  | 06/21/14      | R    | TIP Amend 13-04  | R         |  |
|       |              |                           |   |       | Award Contract      | 09/21/14      | R    | \$4,481 Obligated 3/21/14                                  |           |  |
|       | STP          | \$1,374                   | Con   | 14/15 | Submit Req for Auth | 02/01/15      | Y    | FY13/14 Balance added to FY 14/15                          |           |  |
|       |              |                           |   |       | Obligate Funds      | 04/30/15      | G    | See Note 3   |           |  |
| 17    | HSIP1-04-005 | Fremont                   | Install Median Barrier, Install Raised Median and Improve Delineation (Mowry) |       |                     |               |      |  |           |  |
|       | HSIP         | \$164                     | Con   | 11/12 | Complete Closeout   | Note 1        | R    | See Note 2 \$164 Obligated 3/7/13                          | R         |  |
|       | HSIP         | \$35                      | PE  | Prior |                     |               |      | Obligated 11/28/07   |           |  |
| 18    | HSIP2-04-018 | Fremont                   | Replace Concrete Poles with Aluminum in Median (Paseo Parkway)                |       |                     |               |      |  |           |  |
|       | HSIP         | \$183                     |   | Prior | Complete Closeout   | Note 1        | R    | See Note 2<br>Con Obligated 4/19/11<br>PE Obligated 4/8/09 | R         |  |

## Federally-Funded Locally-Sponsored Alameda County Projects

**Red Zone Projects (cont.)**

| Index | TIP ID       | Sponsor   | Project Title  | Source | Prog'd Amount<br>(\$x 1,000) | Phase | FY    | Required Activity   | Date<br>Req'd By | Zone | Notes                                 | Prev<br>Zone |
|-------|--------------|-----------|--|--------|------------------------------|-------|-------|---------------------|------------------|------|---------------------------------------|--------------|
| 19    | HSIP3-04-005 | Fremont   | Paseo Padre Parkway - Walnut to Washington - Replace Poles                 | HSIP   | \$120                        | Con   | 12/13 | Liquidate Funds     | 06/02/14         | R    | See Note 2<br>Con Obligated 2/16/12   | Y            |
|       |              |           |  | HSIP   | \$23                         | PE    | Prior |                     |                  |      | PE Obligated 11/18/10                 |              |
| 20    | HSIP3-04-006 | Fremont   | Paseo Padre Parkway - Walnut Ave and Argonaut Way                          | HSIP   | \$458                        | Con   | 12/13 | Liquidate Funds     | 06/02/14         | R    | See Note 2<br>\$458 Obligated 4/11/13 | Y            |
|       |              |           |  | HSIP   | \$59                         | PE    | Prior |                     |                  |      | Obligated 11/22/10                    |              |
| 21    | ALA110019    | Hayward   | Hayward Various Arterials Pavement Rehab                                   | STP    | \$1,336                      | Con   | 10/11 | Award Contract      | Note 1           | R    | \$1,336 Obligated 2/23/11             | R            |
|       |              |           |  |        |                              |       |       | Liquidate Funds     | 02/23/17         | G    |                                       |              |
| 22    | ALA110035    | Hayward   | South Hayward BART Area/Dixon Street Streetscape                           | CMAQ   | \$1,540                      | Con   | 11/12 | Award Contract      | Note 1           | R    | \$1,264 Obligated 4/4/12              | R            |
|       |              |           |  |        |                              |       |       | Liquidate Funds     | 04/04/18         | G    | Amounts per Phase Adjusted            |              |
|       |              |           |  | CMAQ   | \$260                        | PE    | 10/11 | Liquidate Funds     | 01/18/17         | G    | \$536 Obligated 1/18/11               |              |
| 23    | ALA130010    | Livermore | Livermore Various Streets Preservation                                     | STP    | \$1,053                      | CON   | 13/14 | Advertise Contract  | 06/04/14         | R    | TIP Amend 13-04                       | R            |
|       |              |           |  |        |                              |       |       | Award Contract      | 09/04/14         | R    | \$1,053 Obligated 3/4/14              |              |
|       |              |           |  |        |                              |       |       | Liquidate Funds     | 06/30/18         | G    |                                       |              |
| 24    | ALA130016    | Oakland   | Oakland Complete Streets   | CMAQ   | \$467                        | PE    | 13/14 | Obligate Funds      | Note 1           | R    | TIP Amend 13-04<br>RFA Pkg Submitted  | R            |
|       |              |           |  | CMAQ   | \$3,384                      | Con   | 15/16 | Submit Req for Auth | 11/01/15         | G    |                                       |              |
|       |              |           |  |        |                              |       |       | Obligate Funds      | 01/31/16         | G    |                                       |              |
| 25    | HSIP2-04-004 | Oakland   | West Grand at Market, Macarthur at Fruitvale & Market at 55th Improvements | HSIP   | \$223                        | Con   | 11/12 | Liquidate Funds     | Note 1           | R    | See Note 2                            | R            |
|       |              |           |  |        |                              |       |       | Complete Closeout   | 09/30/14         | Y    | Obligated 6/30/11                     |              |
| 26    | HSIP2-04-005 | Oakland   | Various Intersections Pedestrian Improvements                              | HSIP   | \$81                         | Con   | 11/12 | Liquidate Funds     | Note 1           | R    | See Note 2                            | R            |
|       |              |           |  |        |                              |       |       | Complete Closeout   | 09/30/14         | Y    | Obligated 7/8/11                      |              |
| 27    | HSIP5-04-011 | Oakland   | W. MacArthur Blvd. between Market & Telegraph                              | HSIP   | \$125                        | PE    | 12/13 | Obligate Funds      | Note 1           | R    | See Note 2                            | R            |
|       |              |           |  | HSIP   | \$574                        | CON   | 13/14 | Submit Req for Auth | 08/23/15         | G    |                                       |              |
|       |              |           |  |        |                              |       |       | Obligate Funds      | 11/23/15         | G    |                                       |              |

**Red Zone Projects (cont.)**

| Index     | TIP ID              | Sponsor            | Project Title  | Source  | Prog'd Amount<br>(\$x 1,000) | Phase | FY | Required Activity   | Date<br>Req'd By | Zone | Notes  | Prev<br>Zone |
|-----------|---------------------|--------------------|--|---------|------------------------------|-------|----|---------------------|------------------|------|--|--------------|
| <b>28</b> | <b>HSIP5-04-012</b> | <b>Oakland</b>     | <b>98th Avenue Corridor</b>  |         |                              |       |    |                     |                  |      |  |              |
|           |                     | HSIP               |  | \$99    | PE                           | 12/13 |    | Obligate Funds      | Note 1           | R    | See Note 2   | R            |
|           |                     | HSIP               |  | \$558   | CON                          | 13/14 |    | Submit Req for Auth | 08/23/15         | G    |  |              |
|           |                     |                    |  |         |                              |       |    | Obligate Funds      | 11/23/15         | G    |  |              |
| <b>29</b> | <b>HSIP5-04-013</b> | <b>Oakland</b>     | <b>Market Street between 45th &amp; Arlington</b>                        |         |                              |       |    |                     |                  |      |  |              |
|           |                     | HSIP               |  | \$103   | PE                           | 12/13 |    | Obligate Funds      | Note 1           | R    | See Note 2   | R            |
|           |                     | HSIP               |  | \$541   | CON                          | 13/14 |    | Submit Req for Auth | 08/23/15         | G    |  |              |
|           |                     |                    |  |         |                              |       |    | Obligate Funds      | 11/23/15         | G    |  |              |
| <b>30</b> | <b>SRTS1-04-014</b> | <b>Oakland</b>     | <b>Intersection Improvements at Multiple School (5 Elem. + 1 Middle)</b> |         |                              |       |    |                     |                  |      |  |              |
|           |                     | SRTS               |  | \$613   |                              | Prior |    | Complete Closeout   | Note 1           | R    | See Note 2<br>PE Obligated 3/2/08<br>Con Obligated 8/18/11 | R            |
| <b>31</b> | <b>SRTS2-04-007</b> | <b>Oakland</b>     | <b>Multiple School (5 Schools) Improvements Along Major Routes</b>       |         |                              |       |    |                     |                  |      |  |              |
|           |                     | SRTS               |  | \$753   | Con                          | 11/12 |    | Complete Closeout   | Note 1           | R    | See Note 2<br>Con Obligated 2/3/12                         | R            |
|           |                     | SRTS               |  | \$118   | PE                           | Prior |    |                     |                  |      | PE Obligated 1/26/10                                       |              |
| <b>32</b> | <b>ALA110010</b>    | <b>Port</b>        | <b>Shore Power Initiative</b>  |         |                              |       |    |                     |                  |      |  |              |
|           |                     | CMAQ               |  | \$3,000 | Con                          | 11/12 |    | Award Contract      | Note 1           | R    | \$3,000 Obligated 2/16/12                                  | R            |
|           |                     |                    |  |         |                              |       |    | Liquidate Funds     | 02/16/18         | G    |  |              |
| <b>33</b> | <b>ALA110027</b>    | <b>San Leandro</b> | <b>San Leandro Downtown-BART Pedestrian Interface</b>                    |         |                              |       |    |                     |                  |      |  |              |
|           |                     | CMAQ               |  | \$4,298 | Con                          | 11/12 |    | Award Contract      | Note 1           | R    | \$4,298 Obligated 2/28/12                                  | R            |
|           |                     | CMAQ               |  | \$312   | PE                           | 10/11 |    | Liquidate Funds     | 12/21/16         | G    | \$312 Obligated 12/21/10                                   |              |
| <b>34</b> | <b>HSIP4-04-015</b> | <b>San Leandro</b> | <b>Washington Ave / Monterey Blvd</b>                                    |         |                              |       |    |                     |                  |      |  |              |
|           |                     | HSIP               |  | \$307   | Con                          | 13/14 |    | Obligate Funds      | Note 1           | R    | See Note 2   | R            |
|           |                     |                    |  | \$66    | PE                           | Prior |    |                     |                  |      | Obligated 12/15/11   |              |
| <b>35</b> | <b>ALA090015</b>    | <b>Union City</b>  | <b>Union City Intermodal Station Infrastructure</b>                      |         |                              |       |    |                     |                  |      |  |              |
|           |                     | CMAQ               |  | \$8,692 | CON                          | 13/14 |    | Advertise Contract  | Note 1           | R    | \$8,692 Obligated 12/12/13                                 | R            |
|           |                     |                    |  |         |                              |       |    | Award Contract      | 06/12/14         | R    |  |              |
|           |                     |                    |  |         |                              |       |    | Liquidate Funds     | 06/30/18         | G    |  |              |

*End of Red Zone*

## Federally-Funded Locally-Sponsored Alameda County Projects

**Yellow Zone Projects**

| Index     | PP No.              | Sponsor           | Project Title   | Source | Prog'd Amount<br>(\$x 1,000) | Phase | FY    | Required Activity   | Date<br>Req'd By | Zone | Notes   | Prev<br>Zone |
|-----------|---------------------|-------------------|---|--------|------------------------------|-------|-------|---------------------|------------------|------|---|--------------|
| <b>36</b> | <b>ALA130022</b>    | <b>Alameda</b>    | <b>Alameda City Complete Streets</b>                      |        |                              |       |       |                     |                  |      |   |              |
|           |                     | STP               |   |        | \$505                        | Con   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | R            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    |   |              |
|           |                     | STP               |   |        | \$130                        | PE    | 13/14 | Liquidate Funds     | 06/30/18         | G    | \$130 Obligated 1/30/14                               |              |
| <b>37</b> | <b>ALA030002</b>    | <b>Ala County</b> | <b>Vasco Road Safety Improvements Phase 1A</b>            |        |                              |       |       |                     |                  |      |   |              |
|           |                     | STP               |   |        | \$235                        | ROW   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | G            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    |   |              |
|           |                     | STP               |   |        | \$1,785                      | Con   | 09/10 | Liquidate Funds     | 08/31/16         | G    | \$1,785 Obligated 8/31/10<br>Contract awarded 6/7/11  |              |
|           |                     | STP               |   |        | \$478                        | PE    | 12/13 | Liquidate Funds     | 04/17/19         | G    | \$478 Obligated 4/17/13                               |              |
| <b>38</b> | <b>ALA050035</b>    | <b>Ala County</b> | <b>Cherryland/Ashland/CastroValley/Fairview SidwIkImp</b> |        |                              |       |       |                     |                  |      |   |              |
|           |                     | CMAQ              |   |        | \$300                        | Con   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | R            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-03                                       |              |
|           |                     | CMAQ              |   |        | \$130                        | PE    | 13/14 | Liquidate Funds     | 06/30/18         | G    | \$130 Obligated 4/9/14                                |              |
| <b>39</b> | <b>SRTS1-04-002</b> | <b>Ala County</b> | <b>Marshall Elementary School Vicinity Improvements</b>   |        |                              |       |       |                     |                  |      |   |              |
|           |                     | SRTS              |   |        | \$450                        | Con   | 12/13 | Liquidate Funds     | 11/01/14         | Y    | See Note 2<br>Obligated 9/19/12                       | G            |
|           |                     | SRTS              |   |        | \$50                         | PE    | Prior |                     |                  | G    | Obligated 12/7/10                                     |              |
| <b>40</b> | <b>ALA110032</b>    | <b>BART</b>       | <b>Downtown Berkeley BART Plaza/Transit Area Imps.</b>    |        |                              |       |       |                     |                  |      |   |              |
|           |                     | CMAQ              |   |        | \$340                        | Con   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | G            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04                                       |              |
|           |                     | CMAQ              |   |        | \$706                        | PE    | 10/11 |                     |                  |      | \$706 Obligated 3/16/11                               |              |
|           |                     | CMAQ              |   |        | \$1,099                      | Con   | 10/11 |                     |                  |      | \$1,099 Obligated 3/16/11<br>Transferred to FTA Grant |              |
| <b>41</b> | <b>ALA110121</b>    | <b>BART</b>       | <b>BART Train Car Accident Repair Project</b>             |        |                              |       |       |                     |                  |      |   |              |
|           |                     | STP               |   |        | \$1,493                      | CON   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | G            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04                                       |              |
| <b>42</b> | <b>ALA130026</b>    | <b>Berkeley</b>   | <b>Shattuck Complete Streets and De-couplet</b>           |        |                              |       |       |                     |                  |      |   |              |
|           |                     | STP               |   |        | \$2,777                      | CON   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | G            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-08                                       |              |
| <b>43</b> | <b>ALA130012</b>    | <b>Dublin</b>     | <b>Dublin Boulevard Preservation</b>                      |        |                              |       |       |                     |                  |      |   |              |
|           |                     | STP               |   |        | \$470                        | CON   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3  | G            |
|           |                     |                   |   |        |                              |       |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04                                       |              |

## Federally-Funded Locally-Sponsored Alameda County Projects

**Yellow Zone Projects (cont.)**

| Index | PP No.    | Sponsor                      | Project Title                                      |       |                     |                  |      |                        |              |  |
|-------|-----------|------------------------------|--|-------|---------------------|------------------|------|------------------------|--------------|--|
|       | Source    | Prog'd Amount<br>(\$x 1,000) | Phase  | FY    | Required Activity   | Date<br>Req'd By | Zone | Notes                  | Prev<br>Zone |  |
| 44    | ALA130021 | Emeryville                   | Emeryville - Hollis Street Preservation            |       |                     |                  |      |                        |              |  |
|       | STP       | \$100                        | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04        |              |  |
| 45    | ALA130018 | Ala County                   | Alameda Co-Various Streets and Roads Preservation  |       |                     |                  |      |                        |              |  |
|       | STP       | \$1,565                      | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | R            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04        |              |  |
|       | STP       | \$100                        | PE   | 13/14 | Liquidate funds     | 06/30/18         | G    | \$100 Obligated 4/9/14 |              |  |
| 46    | ALA130013 | Hayward                      | Hayward - Industrial Boulevard Preservation        |       |                     |                  |      |                        |              |  |
|       | STP       | \$1,265                      | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | R            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    |                        |              |  |
|       | STP       | \$70                         | PE   | 13/14 | Liquidate Funds     | 06/30/18         | G    | \$70 Obligated 1/23/14 |              |  |
| 47    | ALA130011 | Livermore                    | Livermore Relocation and Restoration of R/R Depot  |       |                     |                  |      |                        |              |  |
|       | STP       | \$2,500                      | CON  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04        |              |  |
| 48    | ALA130027 | Newark                       | Enterprise Drive Complete Streets and Road Diet    |       |                     |                  |      |                        |              |  |
|       | STP       | \$454                        | CON  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-08        |              |  |
| 49    | ALA130015 | Oakland                      | Lake Merritt BART Bikeways                         |       |                     |                  |      |                        |              |  |
|       | STP       | \$571                        | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-12        |              |  |
| 50    | ALA130017 | Oakland                      | Oakland - Peralta and MLK Blvd Streetscape Phase I |       |                     |                  |      |                        |              |  |
|       | CMAQ      | \$5,452                      | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04        |              |  |
| 51    | ALA130024 | Oakland                      | Lakeside Complete Streets and Road Diet            |       |                     |                  |      |                        |              |  |
|       | STP       | \$4,446                      | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-10        |              |  |
|       | CMAQ      | \$4,754                      | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    |                        |              |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    |                        |              |  |
| 52    | ALA130009 | Pleasanton                   | Pleasanton Complete Streets                        |       |                     |                  |      |                        |              |  |
|       | STP       | \$832                        | CON  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-04        |              |  |
| 53    | ALA130008 | San Leandro                  | San Leandro Boulevard Preservation                 |       |                     |                  |      |                        |              |  |
|       | STP       | \$804                        | Con  | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3             | G            |  |
|       |           |                              |  |       | Obligate Funds      | 04/30/15         | G    | TIP Amend 13-06        |              |  |



## Federally-Funded Locally-Sponsored Alameda County Projects

**Yellow Zone Projects (cont.)**

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|-----------|------------------|------------------------------|---|-------|---------------------|------------------|------|-------------------------|--------------|---|
|           | Source           | Prog'd Amount<br>(\$x 1,000) | Phase                                       | FY    | Required Activity   | Date<br>Req'd By | Zone | Notes                   | Prev<br>Zone |   |
| <b>54</b> | <b>ALA130023</b> | <b>Union City</b>            | <b>Whipple Road Pavement Rehabilitation</b> |       |                     |                  |      |                         |              |   |
|           | STP              | \$651                        | Con   | 14/15 | Submit Req for Auth | 02/01/15         | Y    | See Note 3              |              | R |
|           |                  |                              |   |       | Obligate Funds      | 04/30/15         | G    |                         |              |   |
|           | STP              | \$18                         | PE  | 13/14 | Liquidate Funds     | 06/30/18         | G    | \$18 Obligated 11/27/13 |              |   |

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

| Index     | TIP ID           | Sponsor                      | Project Title   |       |                   |                  |      |   |              |   |
|-----------|------------------|------------------------------|---|-------|-------------------|------------------|------|---|--------------|---|
|           | Source           | Prog'd Amount<br>(\$x 1,000) | Phase   | FY    | Required Activity | Date<br>Req'd By | Zone | Notes   | Prev<br>Zone |   |
| <b>55</b> | <b>ALA110119</b> | <b>AC Transit</b>            | <b>AC Transit: Spectrum Ridership Growth</b>              |       |                   |                  |      |   |              |   |
|           | CMAQ             | \$1,803                      | Con   | 14/15 | Liquidate Funds   | 06/30/18         | G    | See Note 3<br>\$1,803 Obligated 12/12/13  |              | G |
| <b>56</b> | <b>ALA110025</b> | <b>Alameda</b>               | <b>Alameda - Otis Drive Rehabilitation</b>                |       |                   |                  |      |   |              |   |
|           | STP              | \$837                        | Con   | 10/11 | Liquidate Funds   | 06/30/15         | G    | \$837 Obligated 3/8/11<br>Awarded 5/17/11   |              | G |
| <b>57</b> | <b>ALA110009</b> | <b>Alameda CTC</b>           | <b>Bikemobile - Bike Repair and Encouragement Vehicle</b> |       |                   |                  |      |   |              |   |
|           | CMAQ             | \$500                        | Con   | 10/11 | Liquidate Funds   | 06/30/15         | G    | \$500 Obligated 3/29/11<br>Obligated w/ALA110033  |              | G |
| <b>58</b> | <b>ALA110033</b> | <b>Alameda CTC</b>           | <b>Alameda County Safe Routes to School</b>               |       |                   |                  |      |   |              |   |
|           | CMAQ (OBAG)      | \$2,000                      | Con   | 13/14 | Liquidate Funds   | 06/30/18         | G    | TIP Amend 13-05   |              | G |
|           | CMAQ (RSRTS)     | \$2,673                      | Con   | 13/14 | Liquidate Funds   | 06/30/18         | G    |   |              |   |
|           | STP (RSRTS)      | \$1,000                      | Con   | 13/14 | Liquidate Funds   | 06/30/18         | G    | \$5,673 Obligated 10/24/13  |              |   |
|           | CMAQ (RSRTS)     | \$620                        | Con   | 10/11 | Liquidate Funds   | 06/30/15         | G    |   |              |   |
|           | CMAQ             | \$1,669                      | Con   | 10/11 | Liquidate Funds   | 06/30/15         | G    | \$2,689 Obligated 3/29/11   |              |   |
|           | STP              | \$400                        | Con   | 10/11 | Liquidate Funds   | 06/30/15         | G    | Obligated w/ALA110009   |              |   |
| <b>59</b> | <b>ALA110122</b> | <b>Alameda CTC</b>           | <b>Local PDA Planning - Alameda</b>                       |       |                   |                  |      |   |              |   |
|           | STP              | \$3,905                      | Con   | 15/16 | Liquidate Funds   | 06/30/18         | G    | \$3,905 Obligated 10/29/13<br>TIP Amend 13-06   |              | G |
| <b>60</b> | <b>ALA110030</b> | <b>Albany</b>                | <b>Albany - Buchanan Bicycle and Pedestrian Path</b>      |       |                   |                  |      |   |              |   |
|           | CMAQ             | \$1,702                      | Con   | 11/12 | Liquidate Funds   | 06/01/18         | G    | \$1,702 Obligated 6/1/12<br>Contract Awd 10/15/12<br>1st Invoice dated 5/14/13<br>Fed-Aid No. 5178(012) |              | G |

**Green Zone Projects (cont.)**

| Index | TIP ID       | Source | Sponsor<br>Prog'd Amount<br>(\$x 1,000) | Project Title<br>Phase                                  | FY    | Required Activity   | Date<br>Req'd By     | Zone   | Notes   | Prev<br>Zone |
|-------|--------------|--------|---|---|-------|---|----------------------|--------|---|--------------|
| 61    | ALA110039    | STP    | Albany<br>\$117                         | Albany - Pierce Street Pavement Rehabilitation<br>Con   | 10/11 | <b>Project Being Removed from Report</b><br>Final Invoice/ROE dated June 2012 |                      |        | Contract Awd 7/12/11<br>\$117 Obligated 5/2/11      | G            |
| 62    | ALA090068    | CMAQ   | BART<br>\$626                           | MacArthur BART Plaza Remodel<br>Con                     | 10/11 |   |                      |        | \$626 Obligated 3/16/11<br>Transferred to FTA Grant | G            |
| 63    | ALA110038    | CMAQ   | BART<br>\$21                            | BART - West Dublin BART Station Ped Access Imps<br>PE   | 10/11 |   |                      |        | \$21 Obligated 2/2/11                               | G            |
|       |              | CMAQ   | \$839                                   | Con   | 10/11 |   |                      |        | \$839 Obligated 2/2/11<br>Transferred to FTA Grant  |              |
| 64    | ALA110022    | STP    | Berkeley<br>\$955                       | Berkeley - Sacramento St Rehab - Dwight to Ashby<br>Con | 10/11 | <b>Project Being Removed from Report</b><br>Final Invoice/ROE dated Aug 2012  |                      |        | \$955 Obligated 3/18/11<br>Contract Awd 7/19/11     | G            |
| 65    | ALA130028    | STP    | Berkeley<br>\$2,156                     | Hearst Avenue Complete Streets<br>Con                   | 15/16 | Submit Req for Auth<br>Obligate Funds   | 11/01/15<br>01/31/16 | G<br>G | TIP Amend 13-12                                     | R            |
| 66    | ALA130035    | STP    | Berkeley<br>\$500                       | Bay Trail Shoreline Access Staging Area Project<br>Con  | 15/16 | Submit Req for Auth<br>Obligate Funds   | 11/01/15<br>01/31/16 | G<br>G | TIP Amend 13-16                                     | R            |
| 67    | ALA110034    | CMAQ   | Dublin<br>\$580                         | West Dublin BART Golden Gate Drive Streetscape<br>Con   | 11/12 | Liquidate Funds   | 06/01/18             | G      | \$580 Obligated 6/1/12<br>Contract Awd 9/18/12      | R            |
|       |              | CMAQ   | \$67                                    | PE  | 10/11 | Liquidate Funds   | 03/18/17             | G      | \$67 Obligated 3/18/11                              |              |
| 68    | HSIP4-04-020 | HSIP   | Fremont<br>\$275                        | Fremont Blvd / Eggers Dr<br>Con                         | 13/14 | Liquidate Funds   | 06/30/16             | G      | See Note 2<br>\$275 Obligated 1/24/14               | R            |
|       |              |        | \$41                                    | PE  | Prior |   |                      |        | Obligated 11/8/11                                   |              |
| 69    | HSIP4-04-022 | HSIP   | Fremont<br>\$348                        | Fremont Blvd / Alder Ave<br>Con                         | 13/14 | Liquidate Funds   | 06/30/16             | G      | See Note 2<br>\$348 Obligated 12/31/13              | R            |
|       |              |        | \$43                                    | PE  | Prior |   |                      |        | Obligated 11/8/11                                   |              |
| 70    | HSIP5-04-007 | HSIP   | Hayward<br>\$139                        | West "A" Street between Hathaway and Garden<br>CON      | 13/14 | Submit Req for Auth<br>Obligate Funds   | 08/23/15<br>11/23/15 | G<br>G | See Note 2  |              |
|       |              | HSIP   | \$22                                    | PE  | 12/13 | Liquidate Funds   | 06/30/18             | G      | \$22 Obligated 2/18/14                              | R            |

**Green Zone Projects (cont.)**

| Index | TIP ID       | Source | Sponsor<br>Prog'd Amount<br>(\$x 1,000) | Project Title<br>Phase                                      | FY    | Required Activity  | Date<br>Req'd By | Zone | Notes   | Prev<br>Zone |
|-------|--------------|--------|---|---|-------|--|------------------|------|---|--------------|
| 71    | ALA110013    | CMAQ   | Livermore<br>\$1,566                    | Iron Horse Trail Extension in Downtown Livermore<br>Con     | 11/12 | Liquidate Funds  | 04/04/18         | G    | \$1,241 Obligated 4/4/12<br>Contract Awd 7/23/12<br>First Invoice Dated 2/8/13<br>TLC Project Fed Aid (025) | G            |
| 72    | ALA110015    | CMAQ   | Livermore<br>\$176                      | Livermore Downtown Lighting Retrofit<br>Con                 | 10/11 | Liquidate Funds  | 04/04/17         | G    | \$176 Obligated 4/4/11<br>Billing 1 dated 2/22/12<br>Fed Aid (024)  | G            |
| 73    | ALA110023    | STP    | Livermore<br>\$1,028                    | Livermore - 2011 Various Arterials Rehab<br>Con             | 10/11 | Liquidate Funds  | 03/21/17         | G    | \$1,028 Obligated 3/21/11<br>Billing 1 dated 2/22/12<br>Fed Aid (023)                                       | G            |
| 74    | ALA110016    | STP    | Newark<br>\$682                         | Newark - Cedar Blvd and Jarvis Ave Pavement Rehab<br>Con    | 11/12 | Liquidate Funds  | 02/17/18         | G    | \$682 Obligated 2/17/12<br>1st Invoice 11/28/12   | G            |
| 75    | ALA110006    | STP    | Oakland<br>\$3,492                      | Various Streets Resurfacing and Bikeway Facilities<br>Con   | 11/12 | Liquidate Funds  | 02/16/18         | G    | \$3,492 Obligated 2/16/12<br>Awd 12/4/12  | G            |
|       |              | STP    | \$560                                   | PE  | 10/11 | Liquidate Funds  | 02/22/17         | G    | \$560 Obligated 2/22/11   |              |
| 76    | ALA110029    | CMAQ   | Oakland<br>\$2,200                      | Oakland Foothill Blvd Streetscape<br>Con                    | 11/12 | <b>Project Being Removed from Report</b><br>Funds transferred to ALA130024 |                  |      |   | R            |
| 77    | ALA110014    | CMAQ   | Oakland<br>\$1,700                      | Oakland - MacArthur Blvd Streetscape<br>Con                 | 10/11 | Liquidate Funds  | 04/27/17         | G    | \$1.7M Obligated 4/27/11<br>Contract Dated 8/19/11  | G            |
| 78    | ALA130014    | CMAQ   | Oakland<br>\$3,288                      | 7th Street West Oakland Transit Village, Phase II<br>Con    | 15/16 | Submit Req for Auth  | 11/01/15         | G    | TIP Amend 13-04   | G            |
|       |              |        |   | Obligate Funds  |       |  | 01/31/16         | G    |   |              |
| 79    | HSIP4-04-005 | HSIP   | Oakland<br>\$345                        | San Pablo Ave - West St - W. Grand Ave Intersections<br>Con | 13/14 | Liquidate Funds  | 06/30/16         | G    | See Note 2<br>\$345 Obligated 2/20/14   | R            |
|       |              |        | \$71                                    | PE  | Prior |  |                  |      | Obligated 1/23/12   |              |
| 80    | HSIP4-04-011 | HSIP   | Oakland<br>\$398                        | Bancroft Ave - 94th Ave Improvements<br>Con                 | 13/14 | Liquidate Funds  | 06/30/16         | G    | See Note 2<br>\$398 Obligated 2/20/14   | R            |
|       |              |        | \$87                                    | PE  | Prior |  |                  |      | Obligated 1/23/12   |              |
| 81    | HSIP4-04-012 | HSIP   | Oakland<br>\$738                        | Hegenberger Rd Intersections<br>Con                         | 13/14 | Liquidate Funds  | 06/30/16         | G    | See Note 2<br>\$738 Obligated 2/20/14   | R            |
|       |              |        | \$162                                   | PE  | Prior |  |                  |      | Obligated 1/25/12   |              |

## Federally-Funded Locally-Sponsored Alameda County Projects

**Green Zone Projects (cont.)**

| Index | TIP ID       | Source | Sponsor<br>Prog'd Amount<br>(\$x 1,000) | Project Title<br>Phase                                    | FY    | Required Activity   | Date<br>Req'd By                             | Zone             | Notes   | Prev<br>Zone |
|-------|--------------|--------|---|---|-------|---|--|------------------|---|--------------|
| 82    | ALA130019    | STP    | Piedmont<br>\$129                       | Piedmont Complete Streets (CS)<br>Con                     | 14/15 | Submit Req for Auth<br>Obligate Funds   | 02/01/15<br>04/30/15                         | G<br>G           | See Note 3<br>TIP Amend 13-04<br>Funds Moving to FY1415<br>in 2015 TIP                                | R            |
| 83    | ALA110021    | STP    | Pleasanton<br>\$876                     | Pleasanton Various Streets Pavement Rehab<br>Con          | 10/11 | Liquidate Funds   | 04/14/17                                     | G                | \$876 Obligated 4/14/11<br>Final Inv/Rep 10/30/12<br>Final Rep returned<br>Prog Billing Dated 4/30/13 | G            |
| 84    | ALA110031    | CMAQ   | Pleasanton<br>\$709                     | Pleasanton - Foothill/I-580/IC Bike/Ped Facilities<br>Con | 12/13 | Liquidate Funds   | 05/01/19                                     | G                | \$709 Obligated 5/1/13<br>Contract Awd 8/20/13  | R            |
| 85    | ALA110020    | STP    | San Leandro<br>\$807                    | San Leandro - Marina Blvd Rehabilitation<br>Con           | 10/11 | Liquidate Funds   | 03/29/17                                     | G                | \$807 Obligated 3/29/11<br>Contract Awd 5/5/11  | G            |
| 86    | HSIP5-04-019 | HSIP   | San Leandro<br>\$380                    | Bancroft Ave/ Sybil Ave<br>Con                            | 15/16 | Submit Req for Auth<br>Obligate Funds<br>Liquidate Funds<br>Complete Closeout | 08/23/15<br>11/23/15<br>05/23/17<br>11/23/17 | G<br>G<br>G<br>G | See Note 2<br>See Note 3<br><br>\$69 Obligated 7/16/13  | G            |
| 87    | SRTS3-04-017 | SRTS   | San Leandro<br>\$410                    | Multiple Schools Bicycle and Pedestrian Safety<br>Con     | 11/12 | Liquidate Funds<br>Complete Closeout  | 03/06/16<br>09/06/16                         | G<br>G           | See Note 2<br>\$410 Obligated 3/22/12   | G            |
| 88    | ALA110017    | STP    | Union City<br>\$861                     | Union City - Dyer Street Rehabilitation<br>Con            | 10/11 | Liquidate Funds   | 04/13/17                                     | G                | \$861 Obligated 4/13/11<br>Contract Awd 6/14/11   | G            |
| 89    | ALA110028    | CMAQ   | Union City<br>\$860                     | Union City Blvd Corridor Bicycle Imp. Phase 1<br>Con      | 11/12 | Liquidate Funds   | 03/22/18                                     | G                | \$860 Obligated 3/22/12<br>Contract Awd 6/12/12   | G            |
| 90    | ALA110036    | CMAQ   | Union City<br>\$4,450                   | Union City BART East Plaza Enhancements<br>Con            | 10/11 | Liquidate Funds   | 02/02/17                                     | G                | \$4,450 Obligated 2/2/11<br>Contract Awd 6/28/11<br>FTA CA-95-X157                                    | G            |

**Green Zone Projects (cont.)**

| Index | TIP ID       | Sponsor    | Project Title                       |       |       |                     | Date<br>Req'd By | Zone | Notes                   | Prev<br>Zone |
|-------|--------------|------------|-------------------------------------|-------|-------|---------------------|------------------|------|-------------------------|--------------|
|       |              | Source     | Prog'd Amount<br>(\$x 1,000)        | Phase | FY    | Required Activity   |                  |      |                         |              |
| 91    | HSIP5-04-030 | Union City | Alvarado Road between Decoto & Mann |       |       |                     |                  |      |                         |              |
|       |              | HSIP       | \$288                               | CON   | 13/14 | Submit Req for Auth | 08/23/15         | G    | See Note 2              | R            |
|       |              |            |                                     |       |       | Obligate Funds      | 11/23/15         | G    |                         |              |
|       |              | HSIP       | \$62                                | PE    | 12/13 | Liquidate Funds     | 06/30/16         | G    | \$62 Obligated 11/27/13 |              |
|       |              |            |                                     |       |       |                     |                  |      |                         |              |

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

- 1 MTC Reso 3606 deadline or the Safety Program Monitoring date is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity.
- 2 HSIP, SRTS and HRRR projects (aka "local safety projects") are subject to the provisions included in *Project Delivery Requirements for Local Safety Programs* adopted by Caltrans Division of Local Assistance. The most recent update of the requirements is dated November 6, 2013 and included the removal of the "Project Closeout" requirement which had been included in previous versions. The Local Assistance requirements for local safety projects may be different than the timely use of funds provisions included in MTC Reso 3606. The values for "Date Req'd By" shown in this report are based on the Safety Program Delivery Status Reports - Complete Project Listing available from Caltrans Local Programs at [www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery\\_status.htm](http://www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm). For the purposes of this monitoring report, the Submit Request for Authorization dates are set to three months prior to the date shown for authorization in the Safety Program Delivery Status Reports. The November 2013 update of the project delivery requirements replaced the Project Closeout requirement with the following provision, "Agencies should following Office of Project Delivery and Accountability's guidance regarding inactive projects and close out safety projects on time." The guidance referenced, along with the November 2013 update of the project delivery requirements are available via links on the same web page as the delivery status reports. For the purposes of this monitoring report, the Liquidate Funds date is set to two State fiscal years following the fiscal year during which the funds were obligated.
- 3 Funds approved prior to January 22, 2014 and programmed in federal fiscal years prior to FFY 15/16 are not subject to the revised deadlines for Request For Authorization (RFA)/ FTA Transfer Submittal or Obligation/Authorization/Transfer to FTA approved with Resolution 3606 (Revised) on January 22, 2014. For these funds, the submittal deadline for RFA/FTA Transfer packages will remain February 1 of the FFY in which the funds are programmed, and the Obligation/Transfer deadline will remain April 30 of the FFY in which the funds are programmed. All other funds, including currently approved funds in FFY 15/16 or later and funds approved after January 22, 2014, are subject to all of the provisions of Resolution 3606 (Revised) approved on January 22, 2014.

| Appendix A<br>Federal At Risk Report Zone Criteria<br>Required Activities per Resolution 3606 (Revised January 22, 2014) |  |   |   |
|--|--|---|---|
| Required Activities<br>Monitored by CMA <sup>(1)</sup>   | Criteria Timeframes for Required Activities  |   |   |
|  | Red Zone   | Yellow Zone   | Green Zone  |
| Request Project Field Review   | Project in TIP for more than nine (9) months, or obligation deadline for Con funds within 15 months.   | Project in TIP for less than nine (9) months, and obligation deadline for Con funds more than 15 months away. | All conditions other than Red or Yellow Zones                       |
| Submit Environmental Package   | NA   | NA  | NA  |
| Approved DBE Program and Methodology   | NA   | NA  | NA  |
| Submit Request for Authorization (PE)  | within three (3) months  | within three (3) to six (6) months  | All conditions other than Red or Yellow Zones                       |
| Submit Request for Authorization (R/W)   | within four (4) months   | within four (4) to nine (9) months  | All conditions other than Red or Yellow Zones                       |
| Submit Request for Authorization (Con)   | within six (6) months  | within six (6) to nine (9) months   | All conditions other than Red or Yellow Zones                       |
| Obligation/ FTA Transfer   | within two (2) months  | within two (2) to six (6) months  | All conditions other than Red or Yellow Zones                       |
| Advertise Construction Contract  | within three (3) months  | within three (3) to six (6) months  | All conditions other than Red or Yellow Zones                       |
| Award Contract   | within six (6) months  | within six (6) to nine (9) months   | All conditions other than Red or Yellow Zones                       |
| Award into FTA Grant   | within two (2) months  | within two (2) to four (4) months   | All conditions other than Red or Yellow Zones                       |
| Liquidate Funds  | within four (4) months   | within four (4) to nine (9) months  | All conditions other than Red or Yellow Zones<br>Move to Appendix D |
| Project Closeout   | within four (4) months   | within four (4) to nine (9) months  | All conditions other than Red or Yellow Zones                       |
| Other Zone Criteria  |  |   |   |
| Red Zone   | Projects with funds programmed in the same FY for both a project development phase (i.e. Env or PSE) and a capital phase (i.e. R/W or Con) without the project development phase(s) obligated. |   |   |
| Yellow Zone  | Projects with an Amendment to the TIP pending.   |   |   |
| Notes: <sup>1</sup> See Appendix B for more information about the Required Activities and Resolution 3606.               |  |   |   |

**Appendix B**  
**Definitions of the Required Activities per Resolution 3606 (As revised January 22, 2014)**

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



**Appendix B (cont.)**  
**Definitions of the Required Activities per Resolution 3606 (As revised January 22, 2014)**

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

**Notes:**

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

## TFCA County Program Manager Fund

## At Risk Report

Report Date: May 31, 2014

| Project No.  | Sponsor        | Project Title   | Balances      | Required Activity    | Date Due | Activity Completed (Date or Y/N) | Notes   |
|--|----------------|---|---------------|----------------------|----------|----------------------------------|---|
| <b>GREEN ZONE (Milestone deadline beyond 7 months)</b> |                |   |               |                      |          |                                  |   |
| 08ALA01  | Alameda CTC    | Webster Street Corridor Enhancements Project                                  | TFCA Award    | Agreement Executed   | 1/8/09   | 12/16/08                         | 3rd extension approved Sept '12<br>Expenditures complete<br>Final Invoice to be received<br>Final Report due Jun '14                                |
|  |                |   | \$ 420,000    | Project Start        | Jan-09   | Jun-09                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 12/22/13 | Yes                              |   |
|  |                |   | \$ 236,372    | Final Report         | Dec-14   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/14 |                                  |   |
| 09ALA01  | Alameda CTC    | Webster St SMART Corridors  | TFCA Award    | Agreement Executed   | 1/7/10   | 7/7/09                           | 2nd extension approved Sept '12<br>Expenditures complete<br>Final Invoice to be received<br>Final Report due Jun '14                                |
|  |                |   | \$ 400,000    | Project Start        | Oct-09   | Jul-09                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 12/22/13 | Yes                              |   |
|  |                |   | \$ 327,145    | Final Report         | Dec-14   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/14 |                                  |   |
| 10ALA02  | Alameda CTC    | I-80 Corridor Arterial Management   | TFCA Award    | Agreement Executed   | 2/17/11  | 07/09/10                         | Expenditures complete<br>Final invoice paid<br>Final Report due July '15, after overall I-80 ICM project is operational.                            |
|  |                |   | \$ 100,000    | Project Start        | Mar-11   | Jul-10                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 10/28/12 | Yes                              |   |
|  |                |   | \$ 100,000    | Final Report         | Jul-15   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/13 | Oct-12                           |   |
| 10ALA04  | Hayward        | Traffic Signal Controller Upgrade and Synchronization                         | TFCA Award    | Agreement Executed   | 2/17/11  | 01/26/11                         | 1st extension approved 9/27/12<br>Expenditures complete<br>Final Report due Sept '15 (2 years post-project)   |
|  |                |   | \$ 614,000    | Project Start        | Mar-11   | Dec-10                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 10/28/13 | Yes                              |   |
|  |                |   | \$ 614,000    | Final Report         | Sep-15   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/14 | Jan-13                           |   |
| 11ALA01  | Alameda        | Park Street Corridor Operations Improvement                                   | TFCA Award    | Agreement Executed   | 1/5/12   | 06/13/12                         | 1st extension approved Oct '13<br>Expenditure deadline Nov '14<br>Expenditures not complete<br>Final Report due Feb '15                             |
|  |                |   | \$ 230,900    | Project Start        | Dec-12   | Dec-12                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 11/14/14 |                                  |   |
|  |                |   | \$ -          | Final Report         | Feb-15   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/15 |                                  |   |
| 11ALA02  | Alameda County | Mattox Road Bike Lanes  | TFCA Award    | Agreement Executed   | 1/5/12   | 01/24/12                         | 1st extension approved Oct '13<br>Expenditure deadline Nov '14<br>Expenditures not complete<br>Final Report due Feb '15                             |
|  |                |   | \$ 40,000     | Project Start        | Dec-12   | Dec-12                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 11/14/14 |                                  |   |
|  |                |   | \$ 11,500     | Final Report         | Feb-15   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/15 |                                  |   |
| 11ALA07  | Hayward        | Post-project Monitoring/Retiming activities for Arterial Mgmt project 10ALA04 | TFCA Award    | Agreement Executed   | 1/5/12   | 06/01/12                         | 1st extension approved Oct '13<br>Expenditure deadline Nov '14<br>Expenditures not complete<br>Final Report due Sept '15                            |
|  |                |   | \$ 50,300.00  | Project Start        | Dec-12   | Feb-12                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 11/14/14 |                                  |   |
|  |                |   | \$ -          | Final Report         | Sep-15   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/15 |                                  |   |
| 11ALA08  | Hayward        | Clawiter Road Arterial Management   | TFCA Award    | Agreement Executed   | 1/5/12   | 02/27/12                         | Expenditures complete<br>Final Invoice to be received<br>Final Report received  |
|  |                |   | \$ 190,000.00 | Project Start        | Dec-12   | Feb-12                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 11/14/13 | Yes                              |   |
|  |                |   | \$ -          | Final Report         | Feb-14   | Jan-14                           |   |
|  |                |   |               | Final Reimbursement  | 12/31/14 |                                  |   |
| 11ALA09  | Oakland        | Traffic Signal Synchronization along Martin Luther King Jr. Way               | TFCA Award    | Agreement Executed   | 1/5/12   | 03/08/12                         | 1st extension approved Oct '13<br>Expenditure deadline Nov '14<br>Expenditures not complete<br>Final Report due date Feb '16 (2 years post-project) |
|  |                |   | \$ 125,000    | Project Start        | Dec-12   | May-12                           |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 11/14/14 |                                  |   |
|  |                |   | \$ 36,489     | Final Report         | Feb-16   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/15 |                                  |   |
| 14ALA01  | Alameda County | Fairmont Rd Class II Bike Lanes   | TFCA Award    | Agreement Executed   | Jan-14   | 4/23/14                          | Expenditure deadline Oct '16<br>3-year expenditure period approved<br>Expenditures not complete<br>Final Report due Jan '17                         |
|  |                |   | \$ 90,000     | Project Start        | Dec-14   |                                  |   |
|  |                |   | TFCA Expended | Expend Deadline Met? | 10/29/16 |                                  |   |
|  |                |   | \$ -          | Final Report         | Jan-17   |                                  |   |
|  |                |   |               | Final Reimbursement  | 12/31/17 |                                  |   |

# TFCA County Program Manager Fund

## At Risk Report

Report Date: May 31, 2014

| Project No.   | Sponsor                         | Project Title   | Balances      | Required Activity    | Date Due | Activity Completed (Date or Y/N) | Notes  |
|---|---------------------------------|---|---------------|----------------------|----------|----------------------------------|--|
| <b>GREEN ZONE (Milestone deadline beyond 7 months), continued</b> |                                 |   |               |                      |          |                                  |  |
| 14ALA02   | Berkeley                        | Berkeley Citywide Bicycle Parking Project               | TFCA Award    | Agreement Executed   | Jan-14   | 3/20/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 155,000    | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA03   | East Bay Regional Park District | Iron Horse Trail Dublin/Pleasanton BART Santa Rita Road | TFCA Award    | Agreement Executed   | Jan-14   | 11/8/13                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 180,000    | Project Start        | Dec-14   | Jul-13                           |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA04   | Fremont                         | Arterial Management Stevenson Blvd                      | TFCA Award    | Agreement Executed   | Jan-14   | 2/4/14                           | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 76,000     | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA05   | Hayward                         | "A" Street Signal Upgrade and Coordination              | TFCA Award    | Agreement Executed   | Jan-14   | 4/23/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 190,000    | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA06   | Oakland                         | Adeline St Bikeway Gap Closure                          | TFCA Award    | Agreement Executed   | Jan-14   | 3/20/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 51,000     | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA07   | Oakland                         | CityRacks Bicycle Parking Program Phase 10              | TFCA Award    | Agreement Executed   | Jan-14   | 3/20/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 88,000     | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA08   | Alameda CTC                     | East Bay Greenway                                       | TFCA Award    | Agreement Executed   | Jan-14   | 7/1/13                           | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 142,000    | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA09   | Pleasanton                      | Pleasanton Trip Reduction Program (FYs 13/14 and 14/15) | TFCA Award    | Agreement Executed   | Jan-14   | 3/20/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Sept '15 |
|   |                                 |   | \$ 118,000    | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA10   | San Leandro                     | San Leandro LINKS Shuttle (FYs 13/14 and 14/15)         | TFCA Award    | Agreement Executed   | Jan-14   | 3/20/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Sept '15 |
|   |                                 |   | \$ 60,000     | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |
| 14ALA11   | AC Transit                      | Route 51 Transit Signal Priority (TSP)                  | TFCA Award    | Agreement Executed   | Jan-14   | 4/23/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Jan '16  |
|   |                                 |   | \$ 123,821    | Project Start        | Dec-14   |                                  |  |
|   |                                 |   | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |  |
|   |                                 |   | \$ -          | Final Report         | Jan-16   |                                  |  |
|   |                                 |   |               | Final Reimbursement  | 12/31/16 |                                  |  |

# TFCA County Program Manager Fund

## At Risk Report

Report Date: May 31, 2014

| Project No.  | Sponsor                 | Project Title  | Balances      | Required Activity    | Date Due | Activity Completed (Date or Y/N) | Notes   |
|--|-------------------------|--|---------------|----------------------|----------|----------------------------------|---|
| GREEN ZONE (Milestone deadline beyond 7 months), continued           |                         |  |               |                      |          |                                  |   |
| 14ALA12  | Alameda CTC             | Alameda County<br>Guaranteed Ride Home<br>and Transportation<br>Demand Management<br>Services Information<br>(FYs 13/14 and 14/15) | TFCA Award    | Agreement Executed   | Jan-14   | 7/1/13                           | Expenditure deadline Oct '15<br>Expenditures not complete<br>FMR due Jan '16  |
|  |                         |  | \$ 270,000    | Project Start        | Dec-14   |                                  |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |   |
|  |                         |  | \$ -          | Final Report         | Jan-16   |                                  |   |
|  |                         |  |               | Final Reimbursement  | 12/31/16 |                                  |   |
| 14ALA13  | Cal State -<br>East Bay | Second BART to<br>Campus Shuttle<br>(FY 13/14)   | TFCA Award    | Agreement Executed   | Jan-14   | 1/27/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Sept '14  |
|  |                         |  | \$ 130,000    | Project Start        | Dec-14   |                                  |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |   |
|  |                         |  | \$ -          | Final Report         | Jan-16   |                                  |   |
|  |                         |  |               | Final Reimbursement  | 12/31/16 |                                  |   |
| 14ALA14  | LAVTA                   | Rte 53 Ace to BART<br>Shuttle<br>(FYs 13/14 and 14/15)   | TFCA Award    | Agreement Executed   | Jan-14   | 1/21/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Sept '15  |
|  |                         |  | \$ 120,000    | Project Start        | Dec-14   |                                  |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |   |
|  |                         |  | \$ -          | Final Report         | Jan-16   |                                  |   |
|  |                         |  |               | Final Reimbursement  | 12/31/16 |                                  |   |
| 14ALA15  | LAVTA                   | Rte 54 Ace to BART<br>Shuttle<br>(FYs 13/14 and 14/15)   | TFCA Award    | Agreement Executed   | Jan-14   | 1/21/14                          | Expenditure deadline Oct '15<br>Expenditures not complete<br>Final Report due Sept '15  |
|  |                         |  | \$ 47,000     | Project Start        | Dec-14   |                                  |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 10/29/15 |                                  |   |
|  |                         |  | \$ -          | Final Report         | Jan-16   |                                  |   |
|  |                         |  |               | Final Reimbursement  | 12/31/16 |                                  |   |
| Completed Projects (will be removed from the next monitoring report) |                         |  |               |                      |          |                                  |   |
| 09ALA07  | AC Transit              | Easy Pass Transit<br>Incentive Program   | TFCA Award    | Agreement Executed   | 1/7/10   | 12/03/09                         | 1st extension approved Oct '11<br>Expenditures complete<br>Final Invoice paid<br>\$14,297 relinquished<br>Final Report received |
|  |                         |  | \$ 350,000    | Project Start        | Sep-09   | Nov-09                           |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 01/13/13 | Yes                              |   |
|  |                         |  | \$ 335,703    | Final Report         | Apr-13   | Apr-13                           |   |
|  |                         |  |               | Final Reimbursement  | 01/31/14 | Mar-14                           |   |
| 11ALA06  | Fremont                 | North Fremont Arterial<br>Management   | TFCA Award    | Agreement Executed   | 1/5/12   | 01/04/12                         | Expenditures complete<br>Final Invoice paid<br>\$84,170 relinquished<br>Final Report received                                   |
|  |                         |  | \$ 256,000    | Project Start        | Dec-12   | Nov-12                           |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 11/14/13 | Yes                              |   |
|  |                         |  | \$ 171,830    | Final Report         | Feb-14   | Feb-14                           |   |
|  |                         |  |               | Final Reimbursement  | 12/31/14 | Mar-14                           |   |
| 11ALA03  | Albany                  | Buchanan Bike Path   | TFCA Award    | Agreement Executed   | 1/5/12   | 06/01/12                         | Expenditures complete<br>Final Invoice paid<br>Final Report received  |
|  |                         |  | \$ 100,000    | Project Start        | Dec-12   | Oct-12                           |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 11/14/13 | Yes                              |   |
|  |                         |  | \$ 100,000    | Final Report         | Feb-14   | Mar-14                           |   |
|  |                         |  |               | Final Reimbursement  | 12/31/14 | 04/30/14                         |   |
| 11ALA13  | Alameda CTC             | Alameda County<br>Guaranteed Ride Home<br>(GRH) Program<br>(FYs 11/12 & 12/13)   | TFCA Award    | Agreement Executed   | 1/5/12   | 07/05/11                         | Expenditures complete<br>Final Invoice paid<br>\$10,904.12 relinquished<br>Final Report received                                |
|  |                         |  | \$ 245,000    | Project Start        | Dec-12   | Jan-12                           |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 11/14/13 | Yes                              |   |
|  |                         |  | \$ 234,096    | Final Report         | Feb-14   | Feb-14                           |   |
|  |                         |  |               | Final Reimbursement  | 12/31/14 | May-14                           |   |
| 12ALA02  | Pleasanton              | Pleasanton Trip<br>Reduction Program<br>(FY 12/13)   | TFCA Award    | Agreement Executed   | 2/1/13   | 2/6/13                           | Expenditures complete<br>Final Invoice paid<br>Final Report received  |
|  |                         |  | \$ 57,507     | Project Start        | Dec-13   | Jul-12                           |   |
|  |                         |  | TFCA Expended | Expend Deadline Met? | 10/17/14 | Yes                              |   |
|  |                         |  | \$ 57,507     | Final Report         | Jan-14   | Feb-14                           |   |
|  |                         |  |               | Final Reimbursement  | 12/31/15 | Apr-14                           |   |

### Report Milestone Notes

Agreement Executed = Date TFCA Agreement executed by Alameda CTC  
 Project Start = Date of project initiation  
 Expend Deadline Met? = Expenditures were completed by established deadline (Yes/No)  
 Final Report = Date final project report received by Alameda CTC  
 Final Reimbursement = Date final invoice paid by Alameda CTC

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# Memorandum

5.4

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** June 2, 2014

**SUBJECT:** Transportation Fund for Clean Air (TFCA) FY 2014-15 Program

**RECOMMENDATION:** Receive an update on the TFCA FY 2014-15 Applications received.

## Summary

Applications for FY 2014-15 Transportation Fund for Clean Air (TFCA) County Program Manager funding were due on May 12, 2014. Attachment A provides a summary of the applications received to date. Of the approximately \$3.35 million of TFCA funding available for projects this year, \$2.32 million has been requested leaving an unrequested balance of \$1.03 million. Staff is currently evaluating the applications received and a FY 2014-15 program recommendation is scheduled to be brought to the Commission in July 2014.

## Background

TFCA funding is generated by a four dollar vehicle registration fee collected by the Bay Area Air Quality Management District (Air District). Projects that result in the reduction of motor vehicle emissions are eligible for TFCA. Eligible projects are to achieve "surplus" emission reductions beyond what is currently required through regulations, ordinances, contracts, or other legally binding obligations. Projects typically funded with TFCA include shuttles, bicycle lanes and lockers, signal timing and trip reduction programs. As the TFCA Program Manager for Alameda County, the Alameda CTC is responsible for annually programming 40 percent of the four dollar vehicle registration fee that is collected in Alameda County for this program. Five percent of new revenue is set aside for the Alameda CTC's administration of the TFCA program. Per the Alameda CTC TFCA Guidelines, 70 percent of the available funds are to be allocated to the cities/county based on population, with a minimum of \$10,000 to each jurisdiction. The remaining 30 percent of funds are to be allocated to transit-related projects on a discretionary basis.

A jurisdiction may borrow against its projected future share in order to receive more funds in the current year, which can help facilitate the required annual programming of all available funds. Projects proposed for TFCA funding are required to meet the eligibility and cost-effectiveness requirements of the TFCA program.

### **Next Steps**

The TFCA Expenditure Plans for FY 2014-15 are scheduled to be approved by the Air District Board in late May 2014. Subsequently, the Alameda CTC will enter into a funding agreement with the Air District and will have six months to submit a Commission-approved program of eligible projects. After this six-month period, any funds that remain un-programmed may be programmed directly by the Air District. An initial FY 2014-15 program is scheduled for consideration by the Commission in July 2014. Staff will continue to work with ACTAC Representatives to identify potential projects and evaluate requests for funding until all available funds are programmed.

**Fiscal Impact:** TFCA funding is made available by the Air District and costs associated with projects and the Alameda CTC's administration of the TFCA program are included in the Alameda CTC's 2014-15 budget.

### **Attachments**

- A. FY 2014-15 TFCA Application Summary

### **Staff Contacts**

[Jacki Taylor](#), Program Analyst

[Matt Todd](#), Principal Transportation Engineer

## TFCA County Program Manager Fund, FY 2014-15 Application Summary

| Sponsor                                       | Project Name                                      | Project Description  | Total Project Cost | Amount Requested    | TFCA Share | Notes   |
|---|---|--|--------------------|---------------------|------------|---|
| <b>70% Cities/County Share</b>                |   |  |                    |                     |            |   |
| Berkeley                                      | Bay Area Bike Share Expansion to Berkeley         | Expand the regional Bay Area Bike Share program to the City of Berkeley. Berkeley's Bike Share service area will consist of 400 bicycles circulating among 34 stations in an area including Downtown Berkeley, UC Berkeley, Upper Shattuck Avenue, North Berkeley, West Berkeley, Lower Adeline Avenue, Telegraph Avenue Corridor, College Avenue Corridor and will be contiguous with Oakland's planned service area. | \$ 3,574,000       | \$ 317,000          | \$ 263,708 | Requires Air District approval of an exception to TFCA CPM Policy #7, due to request for 5-year operations period.  |
| Dublin  | Village Parkway Bike Lanes and Bicycle Detection  | Install Class 2 bike lanes on Village Parkway from Dublin Boulevard to Amador Valley Boulevard, including enhanced bicycle detection at Amador Valley Boulevard and Dublin Boulevard intersections and a protected left-turn phase on Village Parkway at Brighton Drive.   | \$ 120,000         | \$ 100,000          | \$ 240,249 |   |
| Fremont                                       | Downtown Fremont Arterial Management              | Signal timing and coordination of the three busiest corridors in the City of Fremont. The three corridors consist of Mowry Avenue, Stevenson Boulevard, and Fremont Boulevard from downtown Fremont to I-880. Project will upgrade existing traffic signal equipment and add new equipment to enhance the operation of traffic signal coordination and traffic monitoring system.                                      | \$ 440,000         | \$ 440,000          | \$ 534,614 |   |
| Oakland                                       | Oakland Broadway "B" Shuttle Peak Hour Operations | The Free Broadway Shuttle (the "B") operates between the Jack London Oakland Amtrak Station and Grand Avenue at 11-16 minute frequencies. The TFCA request is for the eligible peak hour service for FY 2014-15.   | \$ 769,441         | \$ 41,487           |            |   |
| Oakland                                       | Bay Area Bike Share Expansion to Oakland          | Expand the regional Bay Area Bike Share program to the City of Oakland. Oakland's Bike Share service area will consist of 700 bicycles circulating among 70 stations in an area including Downtown Oakland, Lake Merritt neighborhoods, Telegraph Ave corridor, Broadway corridor, West Oakland, Jack London Square, and Fruitvale and will be contiguous with Berkeley's planned service area.                        | \$ 6,963,000       | \$ 579,600          | \$ 746,565 | Requires Air District approval for an exception to TFCA CPM Policy #7, due to request for 5-year operations period. |
| <b>Subtotal Cities/County (70%) Requested</b> |   |  |                    | <b>\$ 1,478,087</b> |            |   |
| TFCA 70% Available                            |   |  |                    | \$ 2,643,536        |            |   |
| Difference                                    |   |  |                    | \$ 1,165,449        |            |   |

| Sponsor   | Project Name  | Project Description   | Total Project Cost | Amount Requested  | TFCA Share | Notes |
|---|---|---|--------------------|-------------------|------------|-------|
| <b>30% Transit Discretionary Share</b>                |   |   |                    |                   |            |       |
| AC Transit  | Zero-Emission Bus Purchase for Broadway Shuttle       | Purchase of six zero-emissions buses to replace the fleet for the Oakland Broadway Shuttle service. The TFCA funds will provide local match to FTA funds that are covering the incremental cost of the zero-emissions buses over hybrid-electric buses. | \$ 8,200,000       | \$ 405,000        | N/A        |       |
| CSU East Bay  | CSUEB/Hayward BART - 2nd Shuttle Peak Hour Operations | FY 14/15 operations for second shuttle between California State University East Bay and the Hayward BART Station, 10am - 7 pm, M-F.   | \$ 536,000         | \$ 159,000        | N/A        |       |
| LAVTA   | Route 8 Peak Hour Operations                          | Route 8 serves the Pleasanton area, connecting BART, ACE, educational, residential and commercial destinations (TFCA request is for two FYs, 2014-15 & 2015-16).  | \$ 114,000         | \$ 84,000         | N/A        |       |
| LAVTA   | Route 12 Peak Hour Operations                         | Route 12 serves the Cities of Dublin, Livermore and Pleasanton, spanning the Tri-Valley East to West, and connecting BART, ACE, educational, residential and commercial destinations (TFCA request is for two FYs, 2014-15 & 2015-16).                  | \$ 210,000         | \$ 128,000        | N/A        |       |
| LAVTA   | Route 15 Peak Hour Operations                         | Route 15 serves the City of Livermore, providing a vital connection between residential, commercial and regional transit destinations (TFCA request is for two FYs, 2014-15 & 2015-16).   | \$ 120,000         | \$ 66,000         | N/A        |       |
| <b>Subtotal Transit Discretionary (30%) Requested</b> |   |   |                    | <b>\$ 842,000</b> |            |       |
| TFCA 30% Available                                    |   |   |                    | \$ 704,580        |            |       |
| Difference  |   |   |                    | \$ (137,420)      |            |       |

| TFCA Category                             | Amount Available    | Amount Requested    | Difference          |
|---|---------------------|---------------------|---------------------|
| <b>Subtotal 70% Cities/County</b>         | \$ 2,643,536        | \$ 1,478,087        | \$ 1,165,449        |
| <b>Subtotal 30% Transit Discretionary</b> | \$ 704,580          | \$ 842,000          | \$ (137,420)        |
| <b>Totals</b>                             | <b>\$ 3,348,116</b> | <b>\$ 2,320,087</b> | <b>\$ 1,028,029</b> |



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# Memorandum

6.1

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** June 2, 2014

**SUBJECT:** State Route 84 Widening - Pigeon Pass to I-680 Project (PN 780.0): Preliminary Design and Environmental Studies

**RECOMMENDATION:** 1) Authorize the release of a Request for Proposal (RFP) for Preliminary Design and Environmental Studies, and 2) Authorize the Executive Director, or a designee of the Executive Director, to negotiate and execute a Professional Services Agreement for Preliminary Design and Environmental Studies

## Summary

The City of Livermore is the sponsor of the State Route 84 Widening – Pigeon Pass to I-680 Project (PN 780.0) which proposes to widen State Route 84 (SR 84) between Pigeon Pass and I-680. The Tri-Valley Transportation Council (TVTC) allocated \$2.94 million Tri-Valley Transportation Development Fee (TVTDF) funds at their July 2013 meeting for the Project Approval and Environmental Document (PA&ED) phase of the project. Alameda CTC will be the implementing agency for the PA&ED phase and will retain a qualified firm to provide Preliminary Design and Environmental Studies for obtaining Project Approval and the approval of Environmental Document. A Cooperative Agreement, approved by the Commission on January 23, 2014, between the City of Livermore and Alameda CTC will transfer \$2.94 million TVTDF funds to Alameda CTC for implementing the PA&ED phase.

## Background

In 2003, a Project Study Report (Project Development Support) PSR (PDS) sponsored by TVTC identified several improvement projects along SR 84 to widen the corridor to expressway standards between I-680 and I-580 that could be constructed in stages as funding became available. Several of these projects have already been completed including:

- Construction of the Isabel Avenue – 84/I-580 Interchange – completed in 2012.
- Widening of SR 84 between Airway Boulevard and Jack London Boulevard – completed in 2012.
- Re-alignment of the Isabel/Vallecitos intersection – completed in 2009.
- Construction of the northbound and southbound Pigeon Pass climbing lanes – completed in 2008.

The following three projects have yet to be completed:

- Widening of SR 84 from Jack London Boulevard to north of Concannon Boulevard – currently in construction with estimated completion in 2014.
- Widening of SR 84 from north of Concannon Boulevard to Ruby Hills Drive – currently in the design and right of way acquisition phases with estimated construction completion in 2017.
- Widening of SR 84 between Pigeon Pass and I-680 – Authorization to begin project development work is sought under this action.

The TVTC allocated \$2.94 million TVTDF funds at their July 2013 meeting for PA&ED work. A Cooperative Agreement between the City of Livermore and Alameda CTC to transfer \$2.94 million TVTDF funds to the Alameda CTC has been executed. Upon Commission approval, a Request For Proposals (RFP) for professional services to perform PA&ED phase is expected to be issued in July 2014, and subsequent contract execution in September 2014. The estimated duration to complete the PA&ED phase is two years.

**Fiscal Impact:** This action will authorize the encumbrance of project funding for subsequent expenditure. Funding is included in the FY 14-15 budget and in the project funding plan and the necessary funding agreements are executed.

#### **Staff Contact**

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

[Gary Sidhu](#), Project Controls Team



# Memorandum

6.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

|                        |  |
|------------------------|--|
| <b>DATE:</b>           | June 2, 2014   |
| <b>SUBJECT:</b>        | I-680 Southbound Express Lane (PN 950.0) – Contract Amendments to the Professional Services Agreements with Novani LLC (Agreement No. A09-028), Electronic Transaction Consultants Corporation (Agreement No. A08-001) and CDM Smith (Agreement No. A04-007)   |
| <b>RECOMMENDATION:</b> | <p>Approve and authorize the Executive Director to execute amendments for the following Professional Services Agreements in support of the Operations and Maintenance of the I-680 Southbound Express Lane:</p> <ol style="list-style-type: none"><li>1) Amendment No. 5 to Agreement No. A09-028 with Novani, LLC for a not-to-exceed amount of \$75,000 and a one-year time extension;</li><li>2) Amendment No. 2 to Agreement No. A08-001 with Electronic Transaction Consultants Corporation for a not-to-exceed amount of \$800,000 and a one-year time extension, with the option to extend for one additional year for a not-to-exceed amount of \$1,000,000, subject to I-680 Sunol Smart Carpool Lane Joint Powers Authority approval of FY 2015-16 Operating Budget; and</li><li>3) Amendment No. 9 to Agreement No. A04-007 with CDM Smith for a one-year time extension.</li></ol> |

## Summary

The Southbound I-680 Express Lane Project opened to traffic in September 2010 and accepted the final systems from the System Integrator on April 30, 2012. The Alameda CTC, acting as the managing agency of the I-680 Sunol Smart Carpool Lane Joint Powers Authority (Sunol JPA), has since moved the project into the operation and maintenance phase. The FY 2014-15 will be the third year when the toll funds will support a significant portion of the Project's operating expenses, while part of the expenses will be subsidized by Project grant funds.

## Background

Novani, LLC has been assisting the agency with IT technical, hardware and communication support and hosting the servers for the Toll Data Center (TDC), where all

traffic data from the Project are sent and processed through the dynamic pricing algorithm application. The TDC also hosts the servers for the East Bay Smart Corridor where all traffic data is sent and processed before it is sent back to the cities. The servers are placed in a secured, environmentally controlled and structurally sound building with 24 hour power supply and communication redundancy.

As agency's toll operator since the I-680 Southbound Express lane facility opened to traffic in September 2010, Electronic Transaction Consultants Corporation (ETCC) has been providing field operations and maintenance (O&M) support services that include field preventive and routine maintenance services for the electronic equipment, back office technical support for hardware and software, and software licensing to operate the express lane.

The agency has been utilizing consultant services for the specialized system management and operations services. CDM Smith (previously known as Wilbur Smith Associates) staff has been retained to provide these specialized services through an on-call contract for specialized analysis of toll/revenue data and presenting Project and Industry trends to the Sunol JPA.

*Action 1:*

Novani, LLC has been providing services since 2009 and their staff services are necessary for continuing the toll operations. Amendment No. 5 to the Agreement (A09-028) with Novani, LLC will: 1) extend the term of the Agreement for one year, from July 1, 2014 to June 30, 2015, and, 2) include additional compensation for its continued services in FY 2014-15, in the amount of \$75,000, for a total not to exceed amount of \$294,100 (Attachment A, Table A). The time extension and additional compensation are needed to provide IT technical, video camera support, hardware and communication support, in addition to host the computer servers for the Project's Toll Data Center at the Server Center.

*Action 2:*

ETCC has been providing services since 2008 and their staff services are necessary for field maintenance, back office, and remote support for the dynamic pricing application. Amendment No.2 will include time extension and additional compensation needed for the 4<sup>th</sup> and 5<sup>th</sup> Year O&M services. Compensation for the 4<sup>th</sup> Year O&M services is included in the Sunol JPA's Fiscal Year 2014-15 Operating Budget. Compensation for the 5<sup>th</sup> Year O&M services (\$1,000,000) and additional one year time extension are subject to the approval of the Fiscal Year 2015-16 Sunol JPA Operating Budget.

Amendment No. 2 to the Agreement (A08-001) with ETCC will: 1) extend the term of the Agreement for two years, from July 1, 2014 to June 30, 2016, and, 2) include additional compensation for its continued services in FY 2014-15, in the amount of \$800,000 and

\$1,000,000 for an optional FY 2015-16 O&M services, for a total not to exceed amount of \$9,364,219 (Attachment A, Table B).

*Action 3:*

CDM Smith (Wilbur Smith) previous tasks included validation of the System Integrator dynamic pricing algorithm for its capability to meet the contract's requirements and the development of the Express Lane Operations Manual needed to document all policies, procedures, parameters, functional requirements of how the express lane operates, along with industry best practices. The time extension will provide on-call services for specialized analysis of toll/revenue data and presenting Project and Industry trends to the Sunol JPA. Amendment No. 9 to Consultant Services Agreement (A04-007) with CDM Smith (Wilbur Smith Associates) will: 1) extend the term of the Agreement for one year, from July 1, 2014 to June 30, 2015 (Attachment A, Table C). The time extension will be utilized to provide on-call services for specialized analysis of toll/revenue data and presenting Project and Industry trends to the Sunol JPA.

A summary of amendments is provided as Attachment A to this item.

**Fiscal Impact:**

- 1) Amendment No. 5 to the Agreement No. A09-028 with Novani, LLC will authorize the encumbrance of \$75,000 of Measure B funds. This encumbrance amount has been included in the Alameda CTC Adopted FY 2013-2014 Operating and Capital Program Budget.
- 2) Amendment No. 2 to the Agreement No. A08-001 with ETCC will authorize the encumbrance of \$800,000 of toll revenue funds included in the Sunol JPA's FY2014-15 Operating Budget, and additional \$1,000,000 is subject to FY2015-16 Budget approval by Sunol JPA.
- 3) There is no fiscal impact to Amendment No. 9 to Consultant Services Agreement No. A04-007 with CDM Smith (Wilbur Smith Associates).

**Attachments**

- A. Summary of Amendments

**Staff Contact**

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

[Arun Goel](#), Express Lane Operations

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**Attachment A: Summary of Amendments**

| <b>Table A: Summary of Agreement #A09-028<br/>Novani LLC</b> |  |              |                     |
|--|--|--------------|---------------------|
| <b>Contract Status</b>                                       | <b>Work Description</b>  | <b>Value</b> | <b>Total Value</b>  |
| Original Contract<br>January 2010                            | Provide technical assistance<br>with Project systems   | \$23,800.00  | \$23,800.00         |
| Amendment No. 1<br>April 2010                                | Extend the term of the original<br>agreement by 15 months, no<br>additional compensation.  | \$0          | \$23,800.00         |
| Amendment No. 2<br>June 2011                                 | Host computer server<br>(collocation) for Project<br>traffic/revenue data<br>management  | \$57,300.00  | \$81,100.00         |
| Amendment No. 3<br>June 2012                                 | Host computer server<br>(collocation) for Project<br>traffic/revenue data<br>management & dashboard<br>reporting upgrades          | \$67,000.00  | \$148,100.00        |
| Amendment No. 4<br>May 2013                                  | Host computer server<br>(collocation) for Project<br>traffic/revenue data<br>management & dashboard<br>reporting upgrades          | \$71,000.00  | \$219,100.00        |
| Proposed<br>Amendment No. 5<br>June 2014                     | Host computer server<br>(collocation) for Project<br>traffic/revenue data<br>management, cameras &<br>dashboard reporting upgrades | \$75,000.00  | \$294,100.00        |
| <b>Total Amended Contract Not to Exceed Amount</b>           |  |              | <b>\$294,100.00</b> |



| <b>Table B: Summary of Agreement #A08-001<br/>Electronic Transaction Consultants Corporation</b> |   |                |                       |
|--|---|----------------|-----------------------|
| <b>Contract Status</b>   | <b>Work Description</b>   | <b>Value</b>   | <b>Total Value</b>    |
| Original Contract<br>December 2008   | Provide system integrator phase services, including development of the toll system and installation of toll equipment | \$7,364,219.00 | \$7,364,219.00        |
| Amendment No. 1<br>May 2013  | Provide 3rd year of maintenance and operation   | \$200,000.00   | \$7,564,219.00        |
| Proposed<br>Amendment No. 2<br>June 2014   | Provide 4th year of maintenance and operation   | \$1,800,000.00 | \$9,364,219.00        |
| <b>Total Amended Contract Not to Exceed Amount</b>   |   |                | <b>\$9,364,219.00</b> |

| <b>Table C: Summary of Agreement #A04-007<br/>CDM Smith (Wilbur Smith)</b> |  |              |                       |
|--|--|--------------|-----------------------|
| <b>Contract Status</b>   | <b>Work Description</b>  | <b>Value</b> | <b>Total Value</b>    |
| Original Contract<br>December 2004   | Provide advice on toll systems and facilitate civil design   | \$647,365.00 | \$647,365.00          |
| Amendment No. 1<br>July 2007   | Provide additional toll system management services   | \$193,836.00 | \$ 841,201.00         |
| Amendment No. 2<br>September 2008  | Provide system integrator phase services, including selection of an completing detail design documentation     | \$45,000.00  | \$ 886,201.00         |
| Amendment No. 3<br>August 2009   | Provide system management oversight services, pre-operational field testing conducted by the system integrator | \$249,620.00 | \$1,135,821.00        |
| Amendment No. 4<br>May 2010  | Provide revenue forecasting and continued system management oversight services                                 | \$350,000.00 | \$1,485,821.00        |
| Amendment No. 5<br>April 2011  | Provide systems operations and performance monitoring, testing for system acceptance                           | \$400,000.00 | \$1,885,821.00        |
| Amendment No. 6<br>January 2012  | Provide systems oversight, final system acceptance and maintenance/operation monitoring services               | \$178,000.00 | \$2,063,821.00        |
| Amendment No. 7<br>June 2012   | Provide oversight on system maintenance and operation data manipulation  | \$144,000.00 | \$2,207,821.00        |
| Amendment No. 8<br>May 2013  | Provide oversight on system maintenance and operation data manipulation  | \$50,000.00  | \$2,257,821.00        |
| Proposed<br>Amendment No. 9<br>June 2014                                   | On Call Services/Time Extension - Provide oversight on system maintenance and operation data manipulation      | \$0.00       | \$2,257,821.00        |
| <b>Total Amended Contract Not to Exceed Amount</b>                         |  |              | <b>\$2,257,821.00</b> |

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