



# Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

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

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Supervisor Scott Haggerty, District 1

**Commission Vice Chair**  
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**Executive Director**  
Arthur L. Dao

## Finance and Administration Committee

**Monday, October 12, 2015, 1:30 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

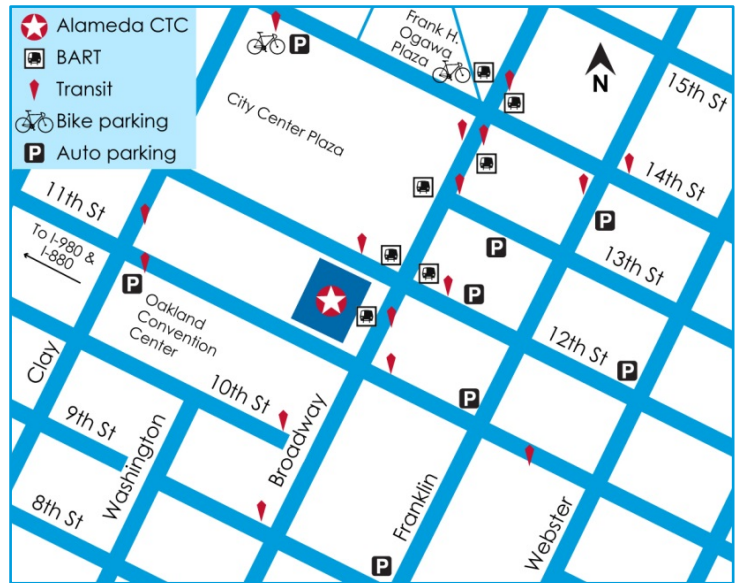
A glossary that includes frequently used acronyms is available on the Alameda CTC website at [www.AlamedaCTC.org/app\\_pages/view/8081](http://www.AlamedaCTC.org/app_pages/view/8081).

## 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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# Finance and Administration Committee Meeting Agenda

Monday, October 12, 2015, 1:30 p.m.\*

\*Or immediately following the Programs and Projects Committee meeting

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**Chair:** Supervisor Richard Valle, Alameda County BOS  
**Vice Chair:** Mayor Margaret Fujioka, City of Piedmont  
**Commissioners:** Thomas Blalock, Peter Maass, Trish Spencer, Dan Kalb  
**Ex-Officio Members:** Scott Haggerty, Rebecca Kaplan  
**Staff Liaison:** Patricia Reavey  
**Executive Director:** Arthur L. Dao  
**Clerk:** Vanessa Lee

1. Pledge of Allegiance

2. Roll Call

3. Public Comment

4. Consent Calendar

4.1. [Approve the September 14, 2015 FAC Meeting Minutes](#)

Recommendation: Approve the September 14, 2015 FAC meeting minutes.

Page A/I

1 A

5. Regular Matters

5.1. [Alameda CTC Annual Contract Equity Annual Utilization Report for FY2014-15 and LBCE Program Certification Update](#)

Recommendation: Approve the Annual Contract Equity Annual Utilization Report for payments processed between July 1, 2014 and June 30, 2015

5 A

5.2. Information on Commission Code of Ethics Training (*Verbal update*)

I

6. Committee Member Reports (Verbal)

7. Staff reports (Verbal)

8. Adjournment

**Next Meeting:** November 9, 2015

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

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Finance and Administration Committee  
Meeting Minutes  
Monday, September 14, 2015, 1:30 p.m.

3.1

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**1. Pledge of Allegiance**

**2. Roll Call**

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

**3. Public Comment**

There were no public comments.

**4. Consent Calendar**

**4.1. June 8, 2015 FAC Meeting Minutes**

**4.2. Alameda CTC 2014 Annual Report**

*Commissioner Blalock moved to approve the Consent Calendar. Commissioner Spencer seconded the motion. The motion passed unanimously (Kaplan and Kalb absent).*

**5. Regular Matters**

**5.1 FY2014-15 Year-End Investment Report**

Patricia Reavey recommended that the Commission approve the FY2014-15 year-end investment report. She stated that the audit is underway so these figures are unaudited. However, the agency is in compliance with the adopted investment policy and has sufficient cash-flow to meet expenditure requirements over the next six months. Patricia stated that as of June 30, 2015, total cash and investments held by the Alameda CTC was \$359.1 million. The 1986 Measure B investment balance decreased \$0.6 million or 0.4% from the prior year-end balance due to capital projects expenditures. The 2000 Measure B investment balance decreased \$41.8 million or 18.1% also due to capital project expenditures. The 2014 Measure BB investment balance increased \$3.4 million as the first sales tax funds for Measure BB were received in late June. The ACCMA investment balance increased \$5.8 million or 15.6% primarily due to funds received from Measure B for an internal CMA TIP exchange agreement. Patricia concluded by stating that all investments are marked to market value per GASB 31 requirements and investment yields have increased slightly in fiscal year 2014-15 over the prior fiscal year.

Commissioner Spencer asked how the fact that returns in FY2014-15 averaged only 0.29% when returns were budgeted at 0.30%-0.5% will affect the projected moving forward. Patricia stated that returns were budgeted in a similar range for FY2015-16. Returns are on the rise slightly and the anticipation is that the investment return will be able to be reached in the current fiscal year.

*Commissioner Spencer moved to approve this item. Commissioner Maass seconded the motion. The motion passed unanimously (Kaplan and Kalb absent).*

## **5.2. FY2015-16 Community Advisory Committee Bylaws**

Tess Lengyel recommended that the Commission approve the Alameda CTC FY2015-16 Community Advisory Committee Bylaws (ACTAC, BPAC, IWC, and PAPCO). She stated that approval of the bylaws formalizes the roles, structure, function and procedures for committee operations.

There was significant discussion amongst the committee regarding the IWC bylaws. Tess stated that the IWC requested and met four separate times to review the bylaws. Tess stated that the IWC recommended changes to 28 items in the bylaws and staff is recommending approval of 22 of their 28 changes. Tess then reviewed six suggested changes to Articles 2.1, Article 2.3.3, Article 4.2, Article 5.1, Article 6.1 and Article 8.3 in the IWC bylaws. She directed the committee members to an attachment to the staff report that contained detailed information on the proposed modifications and reasoning for either accepting or rejecting the changes.

There were two public comments on the item:

Ken Bukowski  
Murphy McCalley

Commissioner Fujioka asked for consistency in language regarding the Brown Act to ensure the government code is cited when the Brown Act is mentioned. Art Dao stated staff would make that clarification.

Commissioner Spencer asked for clarification regarding each committee's term limits and requested that consistent language regarding term limits be incorporated across all four committee's bylaws. Tess stated that there are no limits on the committee terms and staff would clarify that information in the bylaws.

Commission Chair Haggerty suggested that the FAC committee pass the item as recommended. He stated that he would meet with the IWC Chair as well as IWC committee member, Murphy McCalley, to address any additional issues that were brought up regarding the IWC bylaws.

*Commissioner Blalock moved to approve the item with the direction for the Chair to meet with the IWC Chair and member Murphy McCalley. Commissioner Fujioka seconded the motion. The motion passed unanimously (Kaplan and Kalb absent).*

## **5.3. Socially Responsible Investments**

Patricia Reavey stated that the Finance and Administration Committee expressed the desire to be informed about the concept of socially responsible investment (SRI)

and to receive staff's opinion on whether SRI should be incorporated in future Investment Policy of the Commission. She stated that staff reviewed the investment policies of the 14 incorporated cities in Alameda County as well as the investment policies of Alameda County, the Alameda Contra-Costa Transit District, the Bay Area Rapid Transit District, and the Metropolitan Transportation Commission. None of the 18 policies reviewed include language which requires an SRI screen for investments and only two of the investment policies reviewed include language which disallows specific investment types from their allowable investment categories. Patricia concluded by stating that this item is for information only and staff recommends that the Commission does not establish social screens in the investment policy.

Commissioner Valle wanted to ensure that research was conducted on both sides of an issue when designing and developing staff reports.

Commissioner Fujioka mentioned that it would be helpful to have best guesses for the fiscal impact of this item should the Commission decide to establish social screens.

*This item was for information only.*

#### **5.4. Revised Alameda CTC Organizational Structure for FY2015-16**

Seung Cho recommended that the Commission approve the revised Alameda CTC organizational structure for FY2015-16. He stated that the proposed revised organizational structure includes increases in staffing capacity from the currently approved 26 full-time equivalent (FTE) positions to 30 FTE positions, a net increase of four FTE positions, and an increase in the number of classifications from the currently approved 19 staff classifications to 30 staff classifications. Seung stated that the fiscal impact for approving the revised organizational structure and associated annual salary ranges for new positions is approximately \$0.8 million. The final expense will be included in the Alameda CTC's consolidated FY2015-16 proposed mid-year budget update.

Commissioner Haggerty asked why there are so many new staff classifications. Art stated that the classifications are not representative of the agency head count. The new classifications are intended to attract candidates and incentivize current staff productivity by providing opportunities for upward mobility within the agency.

Commissioner Valle asked if more staff would be hired. Art stated that the Commission originally approved a head count of 26 employees and currently only 22 positions are filled. If this item is approved by the Commission, the intention is to hire up to the maximum staffing capacity of 30 full-time staff.

*Commissioner Blalock moved to approve this item. Commissioner Spencer seconded the motion. The motion passed unanimously (Kaplan and Kalb absent).*

**6. Closed Session**

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

The Commission went to closed session pursuant to Government Code Section 54957.

**6.2. Report on Closed Session**

Pamela Shock-Mintzer reported the committee went into closed session pursuant to Government Code section 54957 for the Public Employee Performance Evaluation of Art Dao. The Committee reviewed Mr. Dao's performance and directed Chair Valle and Chair Haggerty to negotiate an appropriate salary increase with Mr. Dao, and to recommend that increase to the Commission for approval at the September meeting.

**7. Committee Member Reports (Verbal)**

There were no committee reports.

**8. Staff Reports**

There were no staff reports.

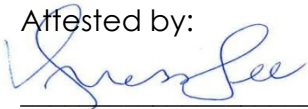
**9. Adjournment/ Next Meeting**

The next meeting is:

Date/Time: Monday, October 12, 2015 @1:30 p.m.

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

Attested by:



\_\_\_\_\_  
Vanessa Lee,  
Clerk of the Commission





# Memorandum

5.1

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

**DATE:** October 5, 2015

**SUBJECT:** Alameda CTC Annual Contract Equity Annual Utilization Report for FY2014-15 and LBCE Program Certification Update

**RECOMMENDATION:** Approve the Annual Contract Equity Annual Utilization Report for payments processed between July 1, 2014 and June 30, 2015

## Summary

This report provides an update of business utilization in FY2014-15 on active professional services and construction contracts awarded and administered by the Commission and sponsoring agencies. Business utilization is reported for Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), Very Small Local Business Enterprise (VSLBE), and Disadvantaged Business Enterprise (DBE) firm participation on locally-funded contracts subject to the Local Business Contract Equity (LBCE) Program that were awarded and administered by the Commission. Utilization data is also included for locally-funded contracts that are exempt from the LBCE Program due to having additional state, regional, or non-local funds, or being less than \$50,000 in contract value. Additionally, an update on LBCE Program certification activities within the same timeframe is presented.

### *Local Business Contract Equity (LBCE) Program Summary*

For contracts subject to the LBCE Program, historical data over the past seven years reveals that a total of \$55,175,182 or 86% of contract payments went to certified LBE firms, while \$28,145,701 or 44% of contract payments went to certified SLBE firms, substantially exceeding LBCE Program goals (see Attachment B - Local Business Contract Equity Program Goals Attainment Summary for Contracts with LBCE Program Goals – FY2008-09 to FY2014-15). In the current reporting period there were a total of 24 active professional services contracts with LBCE Program goals. There were no active construction contracts funded with local funds in FY2014-15. Of these contracts, approximately 92% of payments (\$4.4 million) went to certified LBE firms and 26% of payments (\$1.3 million) went to certified SLBE firms. The LBCE Program goal of 70% LBE was exceeded during this reporting period; however, slightly less robust SLBE participation was reached in FY2014-15, mainly due to the lifecycle of certain contracts. This information is shown in Table 1 that follows.

<b>TABLE 1 – Contracts with LBCE Program Goals</b> Goals = 70% for LBE; 30% for SLBE					
<b>Contract Type</b>	<b>Number of Contracts</b>	<b>Payments in FY2014-15</b> <b>(July 1, 2014 through June 30, 2015)</b>			
		<b>Payment Amount</b>	<b>LBE %</b>	<b>SLBE %</b>	<b>VSLBE %</b>
Professional Services	24	\$4,729,816	92%	26%	20%
Construction	0	\$0	n/a	n/a	n/a
<b>All Industries</b>	<b>24</b>	<b>\$4,729,816</b>	<b>92%</b>	<b>26%</b>	<b>20%</b>

There were 23 active contracts exempt from the LBCE Program in this reporting period, of which 21 were in the professional services category and 2 were in the construction category. For contracts exempt from LBCE Program goals, in aggregate, approximately 13% of payments (\$0.9 million) went to LBE certified firms and 3% of payments (\$0.2 million) went to SLBE certified firms. This information is shown in Table 2 below.

<b>TABLE 2 – Contracts Exempt from LBCE Program Goals</b>					
<b>Contract Type</b>	<b>Number of Contracts</b>	<b>Payments in FY2014-15</b> <b>(July 1, 2014 through June 30, 2015)</b>			
		<b>Payment Amount</b>	<b>LBE %</b>	<b>SLBE %</b>	<b>VSLBE %</b>
Professional Services	21	\$4,492,158	20%	4%	0.2%
Construction	2	\$2,375,485	0%	0%	0%
<b>All Industries</b>	<b>23</b>	<b>\$6,867,644</b>	<b>13%</b>	<b>3%</b>	<b>0.1%</b>

## Background

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

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

As a result of the passage of Proposition 209 in 1996, and the United States Department of Transportation's issuance of the final ruling on the Disadvantaged Business Enterprise program in 2000, the MBE/WBE program and goal requirements were suspended. In lieu of

the suspended MBE/WBE program, two new programs were adopted: the LBE/SLBE Program for contracts funded with local dollars and the DBE program for contracts funded with federal dollars. In January 2008, a Revised LBE/SLBE Program was adopted and renamed as the Local Business Contract Equity Program.

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

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

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

#### *Reporting Process*

Data collection on all active and open contracts began on July 1, 2015, by surveying prime contractors and subcontractors for verification of payment amounts and other invoice details. For the current reporting period, 123 payment verification survey forms were sent to prime and subcontractors. Approximately 89% of the prime and subcontractors responded by completing and submitting survey forms.

Staff utilized a method of reporting similar to the prior period, July 1, 2013 through June 30, 2014, which included an automated summary report of processed payments by vendor and an automated utilization report generated from the in-house database. A change was made to the reporting format. The 'Professional Services' category, shown in the current report, now includes both administrative and engineering categories from prior reports.

Regarding billing and timely receipt of payments, approximately 87% of the respondents indicated that they had not experienced any billing-related issues and 81% of the respondents indicated they had received timely payments from the project sponsors and/or prime contractors. All of the billing and payment-related issues included in this report were researched, investigated and resolved by the Contract Equity consultant, L. Luster & Associates, Inc.

The participation data and statistics, which serve as a basis for this report, have been independently reviewed and verified by L. Luster & Associates, Inc. As stated in the attached

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memorandum from L. Luster and Associates, Inc., this report was found to be materially accurate and complete. (See Attachment C – Letter of Independent Review of Alameda CTC’s Contract Equity Annual Utilization Report for the Period of July 1, 2014 through June 30, 2015).

**Certification Update**

<b>Table 3 – Certified Firms by Contract Types</b>				
<b>Contract Type</b>	<b>LBE<sup>1</sup></b>	<b>SLBE<sup>2</sup></b>	<b>VSLBE</b>	<b># of Firms Certified this Reporting Period</b>
Professional Services	113	72	57	113
Commodities/Vendors	6	2	2	6
Construction	38	28	15	38
<b>Total</b>	<b>157</b>	<b>102</b>	<b>74</b>	<b>157</b>

<sup>1</sup> Includes SLBE and VSLBE certified firms

<sup>2</sup> Includes VSLBE certified firms

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

**Attachments**

- A. FY2014-15 Contract Equity Utilization Report
- B. Local Business Contract Equity Program Goals Attainment Summary for Contracts with LBCE Program Goals – FY2008-09 to FY2014-15
- C. Letter of Independent Review of Alameda CTC’s Contract Equity Annual Utilization Report for the Period of July 1, 2014 through June 30, 2015

**Staff Contact**

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

[Joan Fisher](#), Contract Equity Team



# Contract Equity Utilization Report

Fiscal Year: FY14-15

# 5.1A

Current Reporting Period Start Date: 7/1/2014

End Date: 6/30/2015

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)			DBE	LBE	Goal Attainment (Cumulative)			
				LBE	SLBE	VSLBE			DBE	LBE	SLBE	VSLBE
<b>Contract Type: PSA (Professional Services Agreement)</b>												
<b>Goal Requirements for LCBE (70% for LBE and 30% for SLBE)</b>												
A05-0004 - URS Corporation	\$14,750,000.00	\$14,486,101.51	\$1,564,526.33	92.61%	15.89%	5.21%	0.00%	91.13%	30.37%	6.07%	0.00%	
A07-0037 - S&C Engineers	\$2,860,000.00	\$2,809,878.24	\$8,011.79	100.00%	100.00%	0.00%	0.00%	100.00%	92.29%	0.09%	0.00%	
A10-0026 - HQE, Inc.	\$1,055,659.00	\$1,033,355.84	\$17,316.80	100.00%	44.43%	44.43%	44.43%	100.00%	62.12%	61.23%	62.12%	
A11-0034 - WMH Corporation	\$7,061,365.54	\$7,034,380.17	\$920,637.14	98.90%	54.64%	53.80%	0.83%	96.26%	60.13%	56.40%	3.73%	
A11-0058 - Vavrinek, Trine, Day & Co., LLP	\$377,500.00	\$250,500.00	\$73,000.00	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	
A12-0001 - St. Mini Cab Corporation	\$316,526.00	\$316,526.00	\$111,337.00	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	
A12-0010 - MV Transportation, Inc.	\$70,000.00	\$61,778.80	\$16,226.70	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	
A12-0035 - The PFM Group	\$300,000.00	\$72,309.62	\$2,200.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A13-0004 - GenSpring Family Offices	\$170,000.00	\$139,752.53	\$95,796.34	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A13-0008 - Koff & Associates Inc	\$38,050.00	\$28,013.95	\$3,098.60	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	
A13-0009 - L. Luster & Associates	\$93,622.00	\$93,621.98	\$4,523.98	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	
A13-0011 - Nelson/Nygaard Consulting Associates	\$363,771.00	\$363,771.00	\$39,214.35	98.04%	34.54%	0.00%	34.54%	99.03%	29.94%	0.00%	29.94%	
A13-0024 - Community Design Plus Architecture, Inc.	\$144,983.00	\$144,983.00	\$43,842.10	100.00%	73.12%	73.12%	0.00%	100.00%	56.48%	56.48%	0.00%	
A13-0026 - Cambridge Systematics	\$1,400,000.00	\$1,010,133.64	\$812,449.24	100.00%	1.57%	1.57%	0.00%	100.00%	1.90%	1.90%	0.00%	
A13-0089 - Parsons Brinckerhoff	\$1,500,000.00	\$296,265.01	\$224,411.20	98.81%	13.25%	13.25%	5.84%	99.10%	12.21%	12.21%	5.64%	
A13-0094 - Bay Area Council Economic Institute	\$142,470.00	\$142,470.00	\$96,170.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A14-0002 - MV Transportation, Inc.	\$70,000.00	\$25,750.69	\$18,752.09	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	
A14-0011 - Fehr & Peers Associates	\$799,999.00	\$351,049.07	\$189,170.34	100.00%	24.42%	24.42%	3.86%	100.00%	16.56%	16.56%	2.08%	
A14-0018 - L. Luster & Associates	\$300,000.00	\$74,952.50	\$66,997.50	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	
A14-0020 - EMC Research, Inc.	\$56,000.00	\$55,998.60	\$55,998.60	55.90%	55.90%	0.00%	0.00%	55.90%	55.90%	0.00%	0.00%	
A14-0021 - Kittelson & Associates, Inc.	\$75,000.00	\$40,258.43	\$32,201.12	100.00%	20.59%	20.59%	0.00%	100.00%	16.47%	16.47%	0.00%	
A14-0023 - Nelson/Nygaard Consulting Associates	\$360,500.00	\$344,480.69	\$293,585.95	99.10%	30.86%	0.00%	0.00%	99.24%	31.82%	0.00%	0.00%	
A14-0024 - Koff & Associates Inc	\$60,000.00	\$31,733.55	\$30,798.55	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	
A14-0077 - ComputerWorks NFP Solutions	\$73,000.00	\$42,146.52	\$9,550.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Total PSA (Professional Services Agreement) - Goal Requirements for LCBE (70% for LBE and 30% for SLBE)</b>												
	<b>\$32,438,445.54</b>	<b>\$29,250,211.34</b>	<b>\$4,729,815.72</b>	<b>92.38%</b>	<b>26.36%</b>	<b>19.64%</b>	<b>2.62%</b>	<b>93.23%</b>	<b>43.97%</b>	<b>21.30%</b>	<b>0.42%</b>	

### Exempt from Goal Requirements

A06-003 - Mark Thomas & Company, Inc.	\$1,657,309.00	\$1,657,265.33	\$7,054.75	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A08-018 - URS Corporation	\$2,606,286.00	\$2,471,517.50	\$51,914.87	100.00%	0.00%	0.00%	0.00%	86.47%	2.18%	2.18%	0.00%
A09-006 - TJKM Transportation Consultants	\$438,196.50	\$406,328.52	\$41,653.40	34.28%	34.28%	0.00%	100.00%	93.26%	93.26%	0.00%	100.00%
A09-028 - Novani, LLC	\$293,900.00	\$292,955.00	\$72,417.00	0.00%	0.00%	0.00%	96.89%	0.00%	0.00%	0.00%	96.93%
A10-0008 - S&C Engineers	\$1,990,750.00	\$1,866,976.33	\$170,215.49	100.00%	100.00%	0.00%	0.00%	85.39%	84.97%	0.00%	0.00%



# Contract Equity Utilization Report

Fiscal Year: FY14-15

Current Reporting Period Start Date: 7/1/2014

End Date: 6/30/2015

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)			DBE	LBE	Goal Attainment (Cumulative)			
				LBE	SLBE	VSLBE			SLBE	VSLBE	DBE	
A10-010 - Harris & Associates	\$197,000.00	\$187,082.75	\$22,000.00	0.00%	0.00%	0.00%	0.00%	0.72%	0.72%	0.00%	0.72%	
A11-0038 - Delcan Corporation	\$7,375,523.00	\$3,751,250.58	\$2,198,831.26	4.29%	0.00%	0.00%	0.00%	7.43%	0.00%	0.00%	0.00%	
A11-0039 - Kimley-Horn and Associates, Inc.	\$1,996,870.00	\$1,363,863.22	\$451,606.41	100.00%	0.00%	0.00%	0.00%	100.55%	0.00%	0.00%	0.00%	
A12-0020 - Alliant Insurance Services	\$466,897.16	\$291,922.40	\$12,693.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A12-0027 - Nelson/Nygaard Consulting Associates	\$278,353.00	\$231,428.72	\$64,900.60	100.00%	0.00%	0.00%	0.00%	95.31%	0.00%	0.00%	0.00%	
A12-0028 - Aegis ITS, Inc.	\$1,050,000.00	\$256,102.37	\$85,456.63	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A13-0016 - Platinum Advisors, LLC	\$300,000.00	\$125,000.00	\$60,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A13-0017 - CJ Lake, LLC	\$315,000.00	\$131,161.03	\$55,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A13-0092 - ETC - Electronic Transaction Consultants	\$3,297,500.00	\$1,932,468.84	\$934,846.40	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A13-0100 - East Bay Bicycle Coalition	\$24,999.00	\$24,999.00	\$24,999.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A14-0001 - Wilson, Sparling & Associates, Inc.	\$999,519.00	\$236,046.16	\$156,412.85	13.90%	0.00%	0.00%	0.64%	12.42%	0.00%	0.00%	0.42%	
A14-0005 - Sterling Environmental Corporation	\$15,000.00	\$9,719.37	\$9,719.37	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A14-0056 - National Data and Surveying Services	\$13,110.00	\$13,110.00	\$13,110.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A14-0059 - Convey Marketing & Communications	\$25,000.00	\$9,984.06	\$9,984.06	97.05%	97.05%	97.05%	97.05%	97.05%	97.05%	97.05%	97.05%	
A99-0003 - Parsons Brinckerhoff	\$8,340,000.00	\$7,948,917.08	\$45,642.96	10.56%	0.00%	0.00%	0.00%	82.76%	16.93%	0.02%	0.00%	
ACTC_A10-013 - Alameda County Public Works Agency	\$215,000.00	\$207,683.48	\$3,700.05	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Total PSA (Professional Services Agreement) - Exempt from Goal Requirements</b>												
	<b>\$31,896,212.66</b>	<b>\$23,415,781.73</b>	<b>\$4,492,158.10</b>	<b>19.83%</b>	<b>4.32%</b>	<b>0.22%</b>	<b>2.73%</b>	<b>60.89%</b>	<b>14.42%</b>	<b>0.28%</b>	<b>0.52%</b>	
<b>Total PSA (Professional Services Agreement)</b>												
	<b>\$64,334,658.20</b>	<b>\$52,665,993.07</b>	<b>\$9,221,973.82</b>	<b>57.04%</b>	<b>15.63%</b>	<b>10.18%</b>	<b>2.67%</b>	<b>78.85%</b>	<b>30.83%</b>	<b>11.95%</b>	<b>0.47%</b>	
<b>Contract Type: CC (Construction Contract)</b>												
<b>Exempt from Goal Requirements</b>												
A11-0026 - Steiny & Company, Inc.	\$10,903,429.44	\$10,111,714.77	\$327,934.83	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A12-0019 - Telegra, Inc.	\$4,540,542.82	\$3,356,921.25	\$2,047,550.61	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
<b>Total CC (Construction Contract) - Exempt from Goal Requirements</b>												
	<b>\$15,443,972.26</b>	<b>\$13,468,636.02</b>	<b>\$2,375,485.44</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	
<b>Total CC (Construction Contract)</b>												
	<b>\$15,443,972.26</b>	<b>\$13,468,636.02</b>	<b>\$2,375,485.44</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	
<b>Contract Type: LA (Letter Agreement)</b>												
<b>Exempt from Goal Requirements</b>												



# Contract Equity Utilization Report

Fiscal Year: FY14-15

Current Reporting Period Start Date: 7/1/2014

End Date: 6/30/2015

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)				
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE	
A14-0045 - Accountemps	\$47,500.00	\$46,346.28	\$46,346.28	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A14-0053 - RockBridge Productions	\$15,000.00	\$15,000.00	\$15,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L09-010 - Union Pacific Railroad Company	\$15,000.00	\$8,425.62	\$227.75	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0009 - Accounting Principals	\$44,918.00	\$40,107.12	\$4,864.72	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L13-0009-1 - SwitchPoint Planning	\$4,400.00	\$3,795.00	\$1,595.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
L14-0002 - EverGreen LandCare, Inc.	\$5,000.00	\$5,000.00	\$5,000.00	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	100.00%	0.00%
L14-0003 - EverGreen LandCare, Inc.	\$4,100.00	\$4,100.00	\$4,100.00	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	100.00%	0.00%
L14-0004 - ION Translations, LLC	\$18,649.00	\$15,461.00	\$15,461.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total LA (Letter Agreement) - Exempt from Goal Requirements</b>												
	<b>\$154,567.00</b>	<b>\$138,235.02</b>	<b>\$92,594.75</b>	<b>9.83%</b>	<b>9.83%</b>	<b>9.83%</b>	<b>0.00%</b>	<b>6.58%</b>	<b>6.58%</b>	<b>6.58%</b>	<b>0.00%</b>	<b>0.00%</b>
<b>Total LA (Letter Agreement)</b>												
	<b>\$154,567.00</b>	<b>\$138,235.02</b>	<b>\$92,594.75</b>	<b>9.83%</b>	<b>9.83%</b>	<b>9.83%</b>	<b>0.00%</b>	<b>6.58%</b>	<b>6.58%</b>	<b>6.58%</b>	<b>0.00%</b>	<b>0.00%</b>

## Contract Type: PSFA (Project Specific Funding Agreement)

### Exempt from Goal Requirements

A05-0005 - A C Transit District	\$11,509,964.00	\$11,159,227.55	\$2,202,715.02	67.67%	20.56%	16.12%	21.74%	75.60%	7.29%	4.59%	8.02%	
A05-0011 - ACCMA	\$4,000,000.00	\$1,802,115.79	\$249,140.80	0.00%	0.00%	0.00%	0.00%	61.89%	22.06%	1.11%	0.00%	
A06-0022 - Alameda County	\$6,848,286.00	\$6,745,285.97	\$238,689.63	100.00%	8.98%	0.00%	0.00%	81.26%	16.39%	0.00%	0.00%	
A06-0041 - Bay Area Rapid Transit	\$78,140,000.00	\$78,140,000.00	\$244,111.54	36.27%	10.59%	0.00%	0.00%	1.00%	0.13%	0.00%	0.03%	
A07-0058 - City of Livermore	\$8,413,000.00	\$6,681,544.82	\$1,695,908.71	16.06%	9.31%	0.00%	0.14%	27.18%	22.17%	0.00%	1.30%	
A08-0045 - City of Livermore	\$13,050,000.00	\$12,975,622.49	\$252,630.79	39.09%	0.00%	0.00%	0.00%	30.95%	0.00%	0.00%	0.00%	
A08-0048 - Bay Area Rapid Transit	\$6,316,531.60	\$5,661,827.16	\$582,364.13	36.38%	0.00%	0.00%	0.00%	26.20%	2.79%	0.00%	0.00%	
A09-0012 - City of San Leandro	\$564,000.00	\$408,628.28	\$162,901.02	0.00%	0.00%	0.00%	0.00%	10.88%	0.00%	0.00%	0.27%	
A09-0013 - Bay Area Rapid Transit	\$56,130,430.00	\$56,130,429.27	\$2,950,710.47	3.68%	1.40%	0.00%	7.05%	6.07%	2.04%	0.20%	12.14%	
A10-0027 - Bay Area Rapid Transit	\$120,326,570.00	\$65,166,809.48	\$51,303,412.65	19.58%	4.46%	3.50%	15.11%	21.77%	3.84%	2.84%	13.70%	
A12-0021 - Alameda County	\$830,000.00	\$739,848.53	\$739,848.53	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
A12-0050 - City of Hayward	\$26,437,000.00	\$7,604,195.17	\$1,279,847.69	14.73%	2.96%	0.24%	2.73%	21.10%	4.36%	2.09%	2.27%	
AA07-0002 - Alameda County	\$350,000.00	\$278,154.61	\$98,283.07	68.66%	19.42%	19.42%	19.42%	61.12%	34.53%	6.86%	6.86%	
<b>Total PSFA (Project Specific Funding Agreement) - Exempt from Goal Requirements</b>												
	<b>\$332,915,781.60</b>	<b>\$253,493,689.12</b>	<b>\$62,000,564.05</b>	<b>20.66%</b>	<b>4.91%</b>	<b>3.51%</b>	<b>13.70%</b>	<b>16.78%</b>	<b>3.21%</b>	<b>1.05%</b>	<b>3.35%</b>	
<b>Total PSFA (Project Specific Funding Agreement)</b>												
	<b>\$332,915,781.60</b>	<b>\$253,493,689.12</b>	<b>\$62,000,564.05</b>	<b>20.66%</b>	<b>4.91%</b>	<b>3.51%</b>	<b>13.70%</b>	<b>16.78%</b>	<b>3.21%</b>	<b>1.05%</b>	<b>3.35%</b>	



# Contract Equity Utilization Report

Fiscal Year: FY14-15

Current Reporting Period Start Date: 7/1/2014

End Date: 6/30/2015

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)				
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE	
<b>Contract Type: PO (Purchase Order)</b>												
<b>Exempt from Goal Requirements</b>												
PO 14427 - Piedmont Party	\$698.17	\$698.17	\$698.17	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2014-10 - ComputerWorks NFP Solutions	\$27,000.00	\$22,573.42	\$22,573.42	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2014-3 - Norco Printing	\$10,627.50	\$10,627.50	\$10,627.50	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2014-4 - Novani, LLC	\$13,487.00	\$12,382.00	\$12,382.00	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%
PO 2014-5 - Western Pacific Signal, LLC	\$2,875.00	\$2,875.00	\$2,875.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2014-7 - Pacific Print Resources	\$1,207.86	\$1,207.86	\$1,207.86	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2014-8 - A&M Printing	\$26,945.97	\$23,656.54	\$23,656.54	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2014-9 - Novani, LLC	\$1,068.20	\$1,068.20	\$1,068.20	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%
PO 2015-1 - Autumn Press	\$2,340.44	\$2,340.44	\$2,340.44	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2015-2 - Piedmont Party	\$524.25	\$524.25	\$524.25	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2015-3 - Seton	\$1,330.45	\$1,330.45	\$1,330.45	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
PO 2015-4 - City of Oakland	\$5,000.00	\$1,280.31	\$1,280.31	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
<b>Total PO (Purchase Order) - Exempt from Goal Requirements</b>	<b>\$93,104.84</b>	<b>\$80,564.14</b>	<b>\$80,564.14</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>16.70%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>16.70%</b>
<b>Total PO (Purchase Order)</b>	<b>\$93,104.84</b>	<b>\$80,564.14</b>	<b>\$80,564.14</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>16.70%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>0.00%</b>	<b>16.70%</b>
<b>Total for All Contracts</b>	<b>\$412,942,083.90</b>	<b>\$319,847,117.37</b>	<b>\$73,771,182.20</b>	<b>24.50%</b>	<b>6.09%</b>	<b>4.23%</b>	<b>11.87%</b>	<b>26.29%</b>	<b>7.62%</b>	<b>2.81%</b>	<b>2.74%</b>	





Local Business Contract Equity (LBCE) Program Goals Attainment Summary for  
Contracts with LBCE Program Goals  
FY2008-09 to FY2014-15

Contract Type	Reporting Period	Number of Contracts	Total \$	LBE \$	LBE %	SLBE \$	SLBE %
Professional Services	FY 2008-09	84	\$14,671,927	\$12,954,839	88%	\$6,531,596	45%
	FY 2009-10	74	\$14,561,106	\$13,393,718	92%	\$7,775,840	53%
	FY 2010-11	80	\$13,365,337	\$11,848,462	89%	\$5,611,082	42%
	FY 2011-12	55	\$5,538,448	\$4,146,151	75%	\$2,139,857	39%
	FY 2012-13	33	\$6,994,351	\$5,052,417	72%	\$2,875,224	41%
	FY 2013-14	25	\$3,780,242	\$2,995,804	79%	\$1,687,257	45%
	FY 2014-15	24	\$4,729,816	\$4,369,404	92%	\$1,246,779	26%
<b>Subtotal for Professional Services Contracts</b>			<b>63,641,226</b>	<b>54,760,793</b>	<b>86%</b>	<b>27,867,635</b>	<b>44%</b>
Construction	FY 2008-09	7	479,672	414,389	86%	278,066	58%
	FY 2009-10	0	-	-	0%	-	0%
	FY 2010-11	0	-	-	0%	-	0%
	FY 2011-12	2	43,173	-	0%	-	0%
	FY 2012-13	1	58,220	-	0%	-	0%
	FY 2013-14	1	90,526	-	0%	-	0%
	FY 2014-15	0	-	-	0%	-	0%
<b>Subtotal for Construction Contracts</b>			<b>671,591</b>	<b>414,389</b>	<b>62%</b>	<b>278,066</b>	<b>41%</b>
<b>Total (All Industries)</b>			<b>\$64,312,817</b>	<b>\$55,175,182</b>	<b>86%</b>	<b>\$28,145,701</b>	<b>44%</b>

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

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

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

Date: September 25, 2015

RE: Independent Review of Alameda County Transportation Commission's Contract Equity Annual Utilization Report for the period July 1, 2014 through June 30, 2015

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L. Luster & Associates (LLA) has reviewed Alameda CTC payment and vendor data provided by Alameda CTC staff for the period July 1, 2014 through June 30, 2015.

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

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

Having completed the review process, L. Luster & Associates finds no material defects in the Alameda CTC Contract Equity Annual Utilization Report for the period July 1, 2014 through June 30, 2015.

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