



Commission Meeting Agenda Thursday, December 6, 2018, 2 p.m.

Chair: Richard Valle, Supervisor Alameda County District 2 Executive Director: Arthur L. Dao
Vice Chair: Pauline Cutter, Mayor City of San Leandro Clerk of the Commission: [Vanessa Lee](#)

1. Call to Order/Pledge of Allegiance

2. Roll Call

3. Public Comment

4. Chair and Vice Chair Report

5. Executive Director Report

6. Consent Calendar

Page/Action

Alameda CTC standing committees approved all action items on the consent calendar, except Item 6.1.

- | | | |
|---|----|---|
| 6.1. Approve the October 25, 2018 Commission Meeting Minutes | 1 | A |
| 6.2. FY2018-19 First Quarter Report of Claims Acted Upon Under the Government Claims Act | 7 | I |
| 6.3. Approve the Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2018 | 9 | A |
| 6.4. Approve the Alameda CTC FY2018-19 First Quarter Investment Report | 13 | A |
| 6.5. Approve the Alameda CTC FY2018-19 First Quarter Consolidated Financial Report | 31 | A |
| 6.6. Approve the Alameda CTC Staff and Retiree Benefits for Calendar Year 2019 and Salary Ranges for Fiscal Year 2019-20 | 37 | A |
| 6.7. Approve the Fiscal Year 2019-20 Professional Services Contracts Plan | 53 | A |
| 6.8. Approve and adopt an amendment to the Alameda CTC Health Reimbursement Arrangement Plan for retirees | 59 | A |
| 6.9. I-580 Express Lanes: Monthly Operations Status Update | 79 | I |
| 6.10. Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments Update | 89 | I |
| 6.11. Affordable Student Transit Pass Program Evaluation and Recommendations | 95 | A |

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| 6.12. Safe Routes to School Program Update | 121 | I |
| 6.13. Express Lanes Program: Approval of Amendment No. 2 to Professional Services Agreement A16-0075 with HNTB for System Manager Services | 155 | A |
| 6.14. East Bay Greenway: Approve Release of Request For Proposal (RFP) for Preliminary Engineering Services and Authorize negotiations with the top ranked firm | 163 | A |
| 6.15. Approve Community Advisory Committee Appointment | 167 | A |

7. Community Advisory Committee Reports (3-minute time limit)

| | | |
|--|-----|---|
| 7.1. Bicycle and Pedestrian Advisory Committee – Matthew Turner, Chair | 177 | I |
| 7.2. Independent Watchdog Committee – Steve Jones, Chair | 183 | I |
| 7.3. Paratransit Advisory and Planning Committee – Sylvia Stadmire, Chair | | I |

8. Planning, Policy and Legislation Committee Action Items

The Planning, Policy and Legislation Committee approved the following action items, unless otherwise noted in the recommendations.

| | | |
|---|-----|-----|
| 8.1. Legislative Update | 193 | A/I |
| 8.2. Update on Metropolitan Transportation Commission Housing and Transportation Funding Conditioning Policy Considerations | 207 | I |

9. Action on Annual Performance Review of Executive Director

| | | |
|--|-----|---|
| 9.1. Approval of Deferred Action by the Full Commission on Annual Performance Review and Salary Parity Action for the Executive Director | 287 | A |
|--|-----|---|

10. Closed Session

10.1. Recess to Closed Session

- A. Closed Session - Conference with Legal Counsel pursuant to Government Code section 54956.9(d)(2): Existing litigation; *Dayoub v. Alameda CTC, et al.*

10.2. Reconvene to Open Session

10.3. Closed Session Report I

10.4. Action Item from Closed Session A

11. Member Reports

12. Adjournment

Next Meeting: Thursday, January 24, 2019

Notes:

- All items on the agenda are subject to action and/or change by the Commission.
- To comment on an item not on the agenda (3-minute limit), submit a speaker card to the clerk.
- Call 510.208.7450 (Voice) or 1.800.855.7100 (TTY) five days in advance to request a sign-language interpreter.
- If information is needed in another language, contact 510.208.7400. Hard copies available only by request.
- Call 510.208.7400 48 hours in advance to request accommodation or assistance at this meeting.
- Meeting agendas and staff reports are available on the [website calendar](#).
- Alameda CTC is located near 12th St. Oakland City Center BART station and AC Transit bus lines. [Directions and parking information](#) are available online.

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Alameda CTC Schedule of Upcoming Meetings:

Commission Chair

Supervisor Richard Valle, District 2

Commission Vice Chair

Mayor Pauline Cutter,
City of San Leandro

AC Transit

Board President Elsa Ortiz

Alameda County

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

BART

Director Rebecca Saltzman

City of Alameda

Mayor Trish Spencer

City of Albany

Councilmember Peter Maass

City of Berkeley

Mayor Jesse Arreguin

City of Dublin

Mayor David Haubert

City of Emeryville

Mayor John Bauters

City of Fremont

Mayor Lily Mei

City of Hayward

Mayor Barbara Halliday

City of Livermore

Mayor John Marchand

City of Newark

Councilmember Luis Freitas

City of Oakland

Councilmember At-Large
Rebecca Kaplan
Councilmember Dan Kalb

City of Piedmont

Vice Mayor Teddy Gray King

City of Pleasanton

Mayor Jerry Thorne

City of Union City

Mayor Carol Dutra-Vernaci

Executive Director

Arthur L. Dao

| Description | Date | Time |
|---|-------------------|------------|
| Paratransit Technical Advisory Committee (ParaTAC) | January 8, 2019 | 9:30 a.m. |
| Alameda County Technical Advisory Committee (ACTAC) | January 10, 2019 | 1:30 p.m. |
| Finance and Administration Committee (FAC) | January 14, 2019 | 8:30 a.m. |
| I-680 Sunol Smart Carpool Lane Joint Powers Authority (I-680 JPA) | | 9:30 a.m. |
| I-580 Express Lane Policy Committee (I-580 PC) | | 10:00 a.m. |
| Planning, Policy and Legislation Committee (PPLC) | | 10:30 a.m. |
| Programs and Projects Committee (PPC) | | 12:00 p.m. |
| Independent Watchdog Committee (IWC) | January 14, 2019 | 5:30 p.m. |
| Alameda CTC Commission Meeting | January 24, 2019 | 2:00 p.m. |
| Paratransit Advisory and Planning Committee (PAPCO) | January 28, 2019 | 1:30 p.m. |
| Bicycle and Pedestrian Community Advisory Committee (BPAC) | February 21, 2019 | 5:30 p.m. |

All meetings are held at Alameda CTC offices located at 1111 Broadway, Suite 800, Oakland, CA 94607. Meeting materials, directions and parking information are all available on the [Alameda CTC website](http://www.AlamedaCTC.org).

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Alameda County Transportation Commission Commission Meeting Minutes Thursday, October 25, 2018, 2 p.m.

6.1

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

1. Pledge of Allegiance

2. Roll Call

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

Commissioner Worthington was present as an alternate for Commissioner Arreguin. Commissioner Duncan was present as an alternate for Commissioner Dutra-Vernaci.

Subsequent to the roll call:

Commissioner Freitas and Commissioner Saltzman arrived during item 2. Commissioner Halliday and Commissioner Carson arrived during item 4. Commissioner Miley arrived during item 8.2. Commissioner Carson left during item 8.2. Commissioner Duncan left at item 10.1.

3. Public Comment

There were no public comments.

4. Chair and Vice Chair Report

Commissioner Valle stated that the November 6th election is less than two weeks out and that SB 1 polling shows support averages slightly higher than oppose and undecided voters at 15%. He noted that Proposition 6, which the Commission took an oppose position in July 2018, is putting projects at risk. Alameda County could lose over \$40 million per year in road maintenance funds and over \$34 million in transit operating funds. He encouraged the Commission to continue to educate people about the importance of SB1 and the risks of Proposition 6 and requested them to reach out to Alameda CTC for information they may use to educate about the importance of SB 1 and the risks of Proposition 6.

Commissioner Valle then recognized the contributions of departing Commissioner Kriss Worthington and his impact on the City of Berkeley, Alameda CTC and transportation projects and programs throughout the region, including his important work on development and passage of the 2014 Transportation Expenditure Plan approved by over 70% of voters. Several Commissioners shared anecdotes and contributions of Commissioner Worthington.

5. Executive Director Report

Art Dao informed the Commission the Executive Director's report could be found in the folders as well as online. Mr. Dao reported that Alameda CTC, in conjunction with the

State Department of Transportation, held three public meetings for the 10-mile I-680 Express Lane Gap Closure Project. The agency held four focus groups to seek input on the development of the I-880 interchange modernizations in Hayward. Mr. Dao stated that staff has attended local and regional forums to present educational materials regarding SB 1 funded projects and the risks of Proposition 6. He informed the Commission that the Metropolitan Transportation Commission (MTC) Bay Area Pothole Report, showing the maintenance conditions of roads in every jurisdiction in the Bay Area, could be found in the folders. He concluded by informing the Commission of the City of Dublin ribbon cutting event on Saturday, October 27, 2018 celebrating the opening of the Dougherty Road Widening Project and he noted that the City of Berkeley and BART held a ribbon cutting for the Downtown Berkeley BART Plaza Project.

6. Consent Calendar

- 6.1.** Approve the September 27, 2018 Commission Meeting Minutes
- 6.2.** Annual Local Business Contract Equity Program Utilization Report for payments processed between July 1, 2017 and June 30, 2018 Update
- 6.3.** Approve Commissioner Travel to the Self-Help Counties Coalition Focus on the Future Conference
- 6.4.** Approve Alameda CTC FY2018-19 Member Agency Fee Schedule
- 6.5.** I-580 Express Lanes: Monthly Operations Status Update
- 6.6.** Approve the I-580 Express Lanes After Study Report to the Legislature
- 6.7.** Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments Update
- 6.8.** Approve the Congestion Management Program 2018 Conformity Findings
- 6.9.** Approve the Transportation Fund for Clean Air FY 2018-19 Program
- 6.10.** Dublin/Pleasanton Parking Garage Project: Allocation of Regional Measure 2 funds for the Construction Phase
- 6.16.** Irvington BART Station: Allocation of Measure BB funds for the Design Phase
- 6.12.** Oakland Alameda Access: Approval of Measure BB Allocation and Contract Amendment No. 1 to Professional Services Agreement A14-0051 with HNTB Corporation
- 6.13.** Approve the Administrative Amendments to Various Project Agreements to extend agreement expiration dates (A13-0061, A14-0052, A14-0049)
- 6.14.** Approve Community Advisory Committee Appointment

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

| | |
|----------|--|
| Yes: | <i>Bauters, Carson, Cutter, Duncan, Freitas, Haggerty, Halliday, Kaplan, King, Maass, Marchand, Mei, Ortiz, Saltzman, Thorne, Valle, Worthington</i> |
| No: | <i>None</i> |
| Abstain: | <i>None</i> |
| Absent: | <i>Chan, Haubert, Kalb, Miley, Spencer</i> |

7. Community Advisory Committee Reports

7.6. Bicycle and Pedestrian Advisory Committee (BPAC)

Matt Turner, Chair of BPAC, stated that the Committee met on October 18, 2018, and received a presentation on the East 14th/Mission Blvd and Fremont Blvd Multimodal Corridor Project and received an update on the Countywide Active Transportation Plan. The next meeting is scheduled for February 21, 2019.

7.2 Independent Watchdog Committee (IWC)

There was no one present from IWC.

7.3. Paratransit Advisory and Planning Committee (PAPCO)

There was no one present from PAPCO.

8. I-580 Express Lane Policy Committee Action Items

8.1. Legislative Update

Tess Lengyel provided an update on federal and state legislative activities.

Ms. Lengyel stated that Governor Brown wrapped up his final actions upon legislation for the 2017-18 legislative session on September 30th. Alameda CTC followed over 50 bills this year and the Commission took formal positions on 10 bills. Ms. Lengyel recapped legislative activities that the Commission has taken for the year and she informed the Commission that the 2019 legislative program will come to the Commission for approval in December. Ms. Lengyel recapped that Alameda CTC has been doing extensive outreach and education on SB 1 and the risk that Proposition 6 poses to delivering transportation projects.

This item is for information only.

8.2. Congestion Management Program 2017 Multimodal Performance Report Update

Tess Lengyel stated that the Performance Report is brought to the Commission annually and its part of the work that the agency does for the Congestion Management Program. Ms. Lengyel introduced Chris Marks, an Associate Transportation Planner with Alameda CTC, to provide an update on the 2017 Congestion Management Program Performance Report. Chris Marks stated that the Performance Report tracks countywide trends in a series of performance measures. He covered population and job growth, commute patterns and data surrounding commute modes and freeway and transit performance. Mr. Marks also provided collision data and information on the condition of roadways, goods movement data and active transportation safety findings.

Commissioner Valle asked if Transportation Network Companies (TNCs) has affected BART and AC Transit ridership. Mr. Marks stated that we don't have specific data to determine if they have directly affected them. Commissioner Ortiz noted that they likely have affected buses.

Commissioner Valle asked about heavy rail relationship between auto speeds. Mr. Marks noted that heavy rail would operate independently of the Transit-to-auto speed ratios report.

Commissioner Saltzman stated that it's concerning that with all the efforts put into bicycle and pedestrian facilities that collisions are going up. Mr. Marks said that staff will bring the Countywide Active Transportation Plan to the Commission and it will contain more information on this topic, including identification of some of the most challenging safety areas in the county, which can form a basis of focusing on where to direct safety improvements. Commissioner Saltzman stated that many people in Alameda County do not feel safe while biking; she suggested staff provide data focusing on corridors with the most problems.

Commissioner Kaplan noted that the performance report should inspire the Commission and staff to take action on items that were mentioned in the report, such as ensuring buses are not caught in traffic congestion by supporting express lanes for buses and safe biking and walking. Commissioner Kaplan then asked if the agency and the Commission can aid in finding solutions for local jurisdictions.

Ms. Lengyel stated that staff is integrating the results from the Performance Report analysis into work being performed at Alameda CTC. She noted several examples such as the I-580/I-680 work program which incorporates hotspots on I-580 for future evaluation, the work with transit agencies and cities to identify investments along San Pablo Avenue and East 14th/Mission corridors where many of the bicycle and pedestrian safety issues occur in the county, and the Active Transportation Program that is looking at bicycle and transit investments in high injury network areas. Ms. Lengyel stated that staff will come to the Commission in early 2019 with several planning initiatives. Mr. Dao ensured the Commission that Alameda CTC is in process of working on solutions for many of the items mentioned. Staff is working with Alameda CTC's stakeholders to ensure the solutions will work for everyone.

Commissioner Halliday noted that speeding is the most common cause for increased collisions and solutions are needed to address this. The Commission needs to determine its core focus as to whether it is speeding up traffic or trying to slow it down and in which areas.

Commissioner Miley asked if the reasons stated in the presentation on declining transit ridership are the only reasons. Mr. Marks stated that staff asked AC Transit and BART what they perceived as the reasons were for declining ridership and they concurred with Alameda CTC findings. Mr. Dao stated that UCLA performed a study, which noted that mass transit ridership is declining because car ownership and usage is increasing. Mr. Dao said that mass transit is competing with cars on the streets and it's causing many issues related to collisions and declining ridership.

Commissioner Miley asked if decreasing congestion is doable considering the increase in the population and the number of people buying cars. Mr. Dao stated that the agency should continue making investments in Alameda County and he noted that a high percentage of the 2014 Transportation Expenditure Plan is going toward mass transit.

Commissioner Ortiz noted that gas prices impact ridership on transit. When gas prices are low more people are in their cars and when prices are high, ridership increases on buses.

Commissioner Saltzman mentioned that people ride transit when it's time and cost competitive and noted that BART ridership has decreased during off-peak hours. She then stated that for off-peak hours the transit problems are with TNCs.

Commissioner Kaplan noted that TNCs driving has increased car levels in the Bay Area. She mentioned that San Francisco has a proposed a sales tax on TNC trips and she suggested having a TNC working group to discuss issues related to the increased level of traffic and congestion generated by TNCs.

Commissioner Bauters stated that if the agency and the Commission is serious about creating a sustainable county, a future that is powered by clean energy, protecting the environment, getting people to and from work effectively and making housing affordable, then we'll need to create affordable housing and eliminate the car.

Public comments were heard from the following on this item:

Dave Campbell with Bike East Bay offered ideas on how Alameda CTC can further help to get more protected bike lanes.

Ken Bukowski stated that if public transit is free many people will not drive.

Jane Krammer stated that public transportation is not convenient on the weekend.

Matt Turner noted that the number one barrier to mode shift is the threat and perception of safety risk. He suggested separate infrastructure for bikes to create safe facilities for children.

Commissioner Valle suggested a working retreat in spring 2019 to get a handle on the issues. Mr. Dao stated that staff will work with the Commission on a proposal for a working retreat in the spring of 2019.

9. Member Reports

Commissioner Kaplan said the Oakland city council passed her endorsement of No on Proposition 6.

Commissioner Bauters stated that one of his contributions toward the No on Proposition 6 effort is hosting, with Senator Weiner, a bicycle event on Sunday, October 28, 2018 at 2 p.m. at the corner of Market and Castro in San Francisco.

10. Closed Session

10.1. Closed Session – Pursuant to Government Code Section 54957: Public Employee

Performance Evaluation: Executive Director

Commissioner Valle resumed the meeting after the closed session stating that the Chair of the Finance and Administration Committee (FAC) will report out. FAC Chair Commissioner Haggerty reported that no action was taken in closed session.

Commissioner Haggerty stated that the FAC Committee and the Commission are extremely satisfied with the Executive Director's performance. Commissioner Haggerty stated that the FAC has met with Arthur Dao several times for the purpose of his performance evaluation. He noted that Mr. Dao's performance is above satisfactory if not fantastic, and that he has been wearing many hats at the Agency. The FAC suggested he fill open positions and requested he take his vacations. On a personal note, Commissioner Haggerty stated that through his efforts at MTC, Mr. Dao is always available to brief him and attend MTC meetings to support him. He noted that Mr. Dao is very responsive and highly respected amongst his peers in the Bay Area.

Commissioner Haggerty made a motion to place on the December Commission meeting agenda that the Commission increase the Executive Director's annual salary by 7.9%, which is equivalent to \$23,549.03, in addition to the 4% salary increase provided in his existing contract for a revised annual salary of \$321,638.

Commissioner Haggerty's motion included making the salary adjustment retroactive to September 1, 2018. Commissioner Worthington seconded the motion. The motion passed with the following votes:

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

11. Adjournment

The next meeting is Thursday, December 6, 2018 at 2:00 p.m.



Memorandum

6.2

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Patricia Reavey, Deputy Executive Director of Finance and Administration

SUBJECT: FY2018-19 First Quarter Report of Claims Acted Upon Under the Government Claims Act

Recommendation

This item is to provide the Commission with an update on the FY2018-19 First Quarter Report of Claims Acted Upon Under the Government Claims Act. This item is for information only.

Summary

There were no actions taken by staff under the Government Claims Act during the first quarter of FY2018-19.

Background

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

California Government Code section 935.4 states:

“A charter provision, or a local public entity by ordinance or resolution, may authorize an employee of the local public entity to perform those functions of the governing body of the public entity under this part that are prescribed by the local public entity, but only a charter provision may authorize that employee to allow, compromise, or settle a claim against the local public entity if the amount to be paid pursuant to the allowance, compromise or

settlement exceeds fifty thousand dollars (\$50,000). A Charter provision, ordinance, or resolution may provide that, upon the written order of that employee, the auditor or other fiscal officer of the local public entity shall cause a warrant to be issued upon the treasury of the local public entity in the amount for which a claim has been allowed, compromised, or settled."

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

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

Fiscal Impact: There is no fiscal impact associated with the requested action.



Memorandum

6.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Patricia Reavey, Deputy Executive Director of Finance and Administration

SUBJECT: Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2018

Recommendation

It is recommended that the Commission approve the Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2018 (Draft Audited CAFR).

Summary

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

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of Alameda CTC, as of June 30, 2018, and the respective changes in financial position for the year then ended in accordance with accounting principles generally accepted in the United States of America."

The Alameda CTC Draft Audited CAFR and the Limitations Worksheets for the year ended June 30, 2018 were reviewed in detail and approved by the Alameda CTC's audit committee on October 25, 2018.

Financial Highlights:

- The assets and deferred outflows of resources of Alameda CTC exceeded its liabilities and deferred inflows of resources at the end of fiscal year 2017-18 by \$448.24 million (*net position*). Of this amount, \$60.1 million represents unrestricted net position, which may be used to meet ongoing obligations.

Alameda CTC's total net position increased \$88.2 million or 24.5 percent over the prior fiscal year-end primarily due to an increase in cash and investments related to sales tax collections and a reduction in long term liabilities as the first principal payment on the outstanding 2014 Sales Tax Revenue Bonds was made in March 2017.

- As of June 30, 2018, Alameda CTC governmental funds reported combined fund balances of \$510.7 million, an increase of \$73.1 million compared to June 30, 2017. Of the total combined fund balances, \$58.8 million or 11.5 percent is available for spending at Alameda CTC's discretion (*unassigned fund balance*).
- Total assets and deferred outflows of resources of Alameda CTC increased by \$96.5 million from \$578.4 million to \$675.0 million as of June 30, 2018 compared to June 30, 2017 mainly related to an increased cash and investment balance due to sales tax revenue collections. Cash and investments comprised \$560.0 million or 83.0 percent of the total assets and deferred outflows of resources as of June 30, 2018.
- Revenues totaled \$365.9 million for the fiscal year ended June 30, 2018. This was an increase of \$13.4 million or 3.8 percent over the fiscal year ended June 30, 2017 mostly related to an increase in sales tax revenue collections.
- Total liabilities and deferred inflows of resources increased by \$8.4 million or 3.8 percent from \$218.4 million to \$226.8 million as of June 30, 2018 compared to June 30, 2017. This increase is mostly due to an increase in accrued liabilities related to 2000 Measure B and 2014 Measure BB capital projects.
- Expenses totaled \$277.7 million for the fiscal year ended June 30, 2018. This was an increase of \$2.0 million or 0.7 percent over the fiscal year ended June 30, 2017 mostly due to disbursements for discretionary grants from the 2000 Measure B and 2014 Measure BB Special Revenue Funds for projects and programs in the related transportation expenditure plans.

Background

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

In addition, Vavrinek, Trine, Day & Co., LLP audited the calculation of the limitations ratios required by the 2000 and 2014 Transportation Expenditure Plans (TEP) which require that the total Measure B and Measure BB salaries and benefits costs for administrative employees not exceed 1.00 percent of sales tax revenues and expenditures for administration, do not exceed 4.5 percent of sales tax revenues for Measure B and 4.0 percent of sales tax revenues for Measure BB. The Measure B and Measure BB ratios for the fiscal year ended June 30, 2018 are 0.40 percent and 0.63 percent, respectively, for salaries and benefits as a percent of sales tax revenues and 1.49 percent and 2.11 percent, respectively, for total administration costs as a percent of sales tax revenues which are in compliance with the requirements set forth in the TEPs.

Vavrinek, Trine, Day & Co., LLP also performed a Single Audit for the fiscal year ended June 30, 2018. Per the *Office of Management and Budget (OMB) Compliance Supplement*, a single audit is required when a grantee spends \$750,000 or more in Federal funds in the fiscal year to provide assurance to the federal government as to the management and use of these funds. Alameda CTC's federal expenditures were well over the threshold at \$5.2 million during the fiscal year ended June 30, 2018 therefore a Single Audit was required. As demonstrated in the Independent Auditor's Report beginning on page 107 of the Draft Audited CAFR, Alameda CTC's auditors have reported the following:

"In our opinion, Alameda CTC complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on its major Federal programs for the year ended June 30, 2018."

The Alameda CTC's Comprehensive Annual Financial Report (CAFR) has been drafted to meet all Government Finance Officers Association (GFOA) requirements for an award for excellence in financial reporting and will be submitted to the GFOA in December with the hope of receiving this award once the CAFR is approved by the Commission. The Alameda CTC has won the GFOA Certificate of Achievement for its CAFRs dated June 30, 2013, June 30, 2014, June 30, 2015, June 30, 2016 and June 30, 2017. A copy of the June 30, 2017 award has been included in the CAFR dated June 30, 2018 on page xi as required by the GFOA.

Similar to Alameda CTC's previous CAFRs, this CAFR was designed to provide detailed financial information by function so that interested parties can review agency financials as a whole or at a more detailed functional level. For example, for the benefit of the Independent Watchdog Committee whose purview consists of 2000 Measure B and 2014 Measure BB activity only, these funds have been broken out in separate columns whenever possible in the fund financial statements beginning on page 18 of the Draft Audited CAFR except in the General Fund and the Debt Service Fund. There can only be one General Fund; however Alameda CTC's financial system was designed to distinguish costs related to the administration of congestion management projects and programs from that of each of the individual sales tax measures. Therefore, a breakout of financial information for the General Fund has been provided as supplemental information beginning on page 65 of the Draft Audited CAFR, and a breakout of financial information for the Nonmajor Governmental Funds, which are generally those funds that contain less than 10 percent of the total

governmental funds' assets, liabilities, revenues or expenditures, and includes the Debt Service Fund, which also has been provided as supplemental information beginning on page 67.

In addition, within the supplemental information section, we have provided a breakout of the 2000 Measure B and the 2014 Measure BB Special Revenue Funds' financial information by sub-fund beginning on pages 77 and 81, respectively, of the Draft Audited CAFR.

Fiscal Impact: There is no fiscal impact associated with the requested action.

Attachment:

- A. [Alameda County Transportation Commission Draft Audited Comprehensive Annual Financial Report for the Fiscal Year Ended June 30, 2018](#) *(Hyperlinked to website)*



Memorandum

6.4

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Patricia Reavey, Deputy Executive Director of Finance
and Administration
Lily Balinton, Director of Finance

SUBJECT: Alameda CTC FY2018-19 First Quarter Investment Report

Recommendation

It is recommended that the Commission approve the Alameda CTC FY2018-19 First Quarter Investment Report.

Summary

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

The Consolidated Investment Report as of September 30, 2018 (Attachment A) provides balance and average return on investment information for all cash and investments held by Alameda CTC at the end of the first quarter. The report also shows balances as of June 30, 2018 for comparison purposes. The *Portfolio Review for Quarter Ending September 30, 2018* (Attachment B), prepared by Public Trust Advisors, provides a review and outlook of market conditions and information regarding investment strategy, portfolio allocation, compliance, and returns by portfolio compared to the benchmarks.

Background

The following are key highlights of cash and investment information as of September 30, 2018:

- Effective July 1, 2018 the investment advisory services contract was awarded to Public Trust Advisors, LLC to provide investment management services for the Alameda CTC investment portfolio(s).

- As of September 30, 2018, total cash and investments held by Alameda CTC was \$567.5 million, an increase of \$5.7 million or 1.0 percent over June 30, 2018 primarily due to the receipt of Measure BB sales tax revenues and the collections of non-sales tax project reimbursements which continue to outpace expenditures as the activities on related capital projects wind down.
- Compared to prior year-end balances:
 - The 1986 Measure B investment balance increased slightly by \$0.4 million mostly due to investment earnings for the quarter.
 - The 2000 Measure B investment balance decreased \$2.6 million or 1.5 percent mainly due to the payment of capital project expenditures for construction work completed in the prior fiscal year.
 - The 2014 Measure BB investment balance increased \$4.2 million or 2.7 percent due to the accumulation of sales tax revenues for funding the various projects and programs in the 2018 Comprehensive Investment Plan. Activity for the many contracts and agreements that were finalized late last fiscal year for construction and discretionary projects is ramping up, and related invoices are expected to be paid over the next few months.
 - The Non-Sales Tax investment balance increased \$3.6 million or 3.9 percent as a result of grant reimbursement collections which outpaced expenditures as non-sales tax capital projects continue to wind down, in addition to the accumulation of toll revenues on the I-580 Express Lanes as the Agency accumulates funds for the operational risk reserve as defined in the I-580 Express Lanes 20-Year Expenditure Plan.

Investment yields have increased at the end of the first quarter with the approximate average return on investments through September 30, 2018 at 1.83 percent compared to the prior year's average return of 1.20 percent. Return on investments were projected for the FY2018-19 budget year at approximately 1.75 percent.

Fiscal Impact: There is no fiscal impact associated with the requested action.

Attachments:

- A. Consolidated Investment Report as of September 30, 2018
- B. Portfolio Review for Quarter Ending September 30, 2018 (provided by Public Trust Advisors)
- C. Holdings by Security Type as of September 30, 2018

| Alameda CTC Consolidated Investment Report As of September 30, 2018 | | | | | | | |
|---|--------------------|--------------------------|-------------|--------------|------------|--------------------|-----------------|
| 1986 Measure B | Un-Audited | Interest Earned | | | | FY 2017-2018 | |
| | Investment Balance | As of September 30, 2018 | | | | Investment Balance | Interest earned |
| | | Interest earned | Approx. ROI | Budget | Difference | June 30, 2018 | FY 2017-2018 |
| Bank Accounts | \$ 913,309 | \$ 395 | 0.17% | | | \$ 983,237 | 1,551 |
| State Treasurer Pool (LAIF) ⁽¹⁾ | 8,023,072 | 41,013 | 2.04% | | | 7,982,873 | 123,176 |
| Investment Advisor ^{(1) (2)} | 127,019,773 | 547,233 | 1.72% | | | 126,556,768 | 1,504,594 |
| Loan to Non-Sales Tax General Fund | - | - | - | | | - | - |
| 1986 Measure B Total | \$ 135,956,154 | \$ 588,641 | 1.73% | \$ 500,000 | \$ 88,641 | \$ 135,522,878 | \$ 1,629,321 |
| | | | | | | Approx. ROI | 1.20% |
| 2000 Measure B | Un-Audited | Interest Earned | | | | FY 2017-2018 | |
| | Investment Balance | As of September 30, 2018 | | | | Investment Balance | Interest earned |
| | | Interest earned | Approx. ROI | Budget | Difference | June 30, 2018 | FY 2017-2018 |
| Bank Accounts | \$ 10,471,173 | \$ 5,260 | 0.20% | | | \$ 5,894,103 | \$ 17,434 |
| State Treasurer Pool (LAIF) ⁽¹⁾ | 15,339,594 | 131,782 | 3.44% | | | 27,629,904 | 320,325 |
| Investment Advisor ^{(1) (2)} | 132,395,239 | 559,936 | 1.69% | | | 131,874,047 | 1,611,627 |
| 2014 Series A Bond Project Fund | - | - | 0.00% | | | - | 8,825 |
| 2014 Series A Bond Revenue Fund ⁽¹⁾ | 814 | 4 | 1.83% | | | 810 | 4 |
| 2014 Series A Bond Interest Fund ^{(1) (2)} | 657,886 | 7,353 | 1.92% | | | 1,712,542 | 21,223 |
| 2014 Series A Bond Principal Fund ^{(1) (2)} | 13,151,883 | 53,826 | 2.19% | | | 7,507,309 | 129,605 |
| Project Deferred Revenue ^{(1) (3)} | 809,185 | 4,135 | 2.04% | | | 801,253 | 44,711 |
| 2000 Measure B Total | \$ 172,825,774 | \$ 762,296 | 1.76% | \$ 750,000 | \$ 12,296 | \$ 175,419,968 | \$ 2,153,754 |
| | | | | | | Approx. ROI | 1.23% |
| 2014 Measure BB | Un-Audited | Interest Earned | | | | FY 2017-2018 | |
| | Investment Balance | As of September 30, 2018 | | | | Investment Balance | Interest earned |
| | | Interest earned | Approx. ROI | Budget | Difference | June 30, 2018 | FY 2017-2018 |
| Bank Accounts | \$ 5,874,787 | \$ 2,766 | 0.19% | | | \$ 1,441,895 | \$ 18,195 |
| State Treasurer Pool (LAIF) ⁽¹⁾ | 46,280,240 | 226,433 | 1.96% | | | 43,633,786 | 675,445 |
| Investment Advisor ^{(1) (2)} | 101,294,202 | 499,004 | 1.97% | | | 100,705,850 | 1,050,951 |
| Project Deferred Revenue ^{(1) (3)} | 8,567,036 | 55,037 | 2.57% | | | 12,000,000 | 56,343 |
| 2014 Measure BB Total | \$ 162,016,265 | \$ 783,240 | 1.93% | \$ 425,000 | \$ 358,240 | \$ 157,781,531 | \$ 1,800,934 |
| | | | | | | Approx. ROI | 1.14% |
| Non-Sales Tax | Un-Audited | Interest Earned | | | | FY 2017-2018 | |
| | Investment Balance | As of September 30, 2018 | | | | Investment Balance | Interest earned |
| | | Interest earned | Approx. ROI | Budget | Difference | June 30, 2018 | FY 2017-2018 |
| Bank Accounts | \$ 8,589,117 | \$ 4,616 | 0.21% | | | \$ 5,423,196 | \$ 30,015 |
| State Treasurer Pool (LAIF) ⁽¹⁾ | 29,510,057 | 152,463 | 2.07% | | | 29,313,198 | 410,241 |
| California Asset Management Program (CAMP) | 49,880,936 | 265,942 | 2.13% | | | 49,614,995 | 600,311 |
| Project Deferred Revenue ^{(1) (4)} | 8,716,609 | 42,977 | 1.97% | | | 8,756,339 | 112,205 |
| Non-Sales Tax Total | \$ 96,696,719 | \$ 465,998 | 1.93% | \$ 296,250 | \$ 169,748 | \$ 93,107,728 | \$ 1,152,772 |
| | | | | | | Approx. ROI | 1.24% |
| Alameda CTC TOTAL | \$ 567,494,912 | \$ 2,600,175 | 1.83% | \$ 1,971,250 | \$ 628,925 | \$ 561,832,105 | \$ 6,736,781 |

Notes:

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

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**Alameda County Transportation Commission
Portfolio Review for the Quarter Ending September 30, 2018**

Fixed Income Market Review and Outlook

The U.S. economy continues to expand with Real Gross Domestic Product (GDP) rising at an annualized rate of 4.2% in the second quarter of 2018, the strongest since late 2014, indicating a solid foundation for continued growth this quarter. The Atlanta Fed GDPNow index suggests growth will continue in the third quarter, albeit at a more moderate 3.6% annualized rate. At 110 months, the current expansion is now the 2nd longest in U.S. history dating back to 1854 according to data from the National Bureau of Economic Research. Growth appears poised to continue with the Institute of Supply Management manufacturing and non-manufacturing indices remaining firmly expansionary and measures of consumer and small business sentiment persisting at historically elevated levels. Escalating global trade tensions, notably between the U.S. and China, remain a key focal point for market participants and a primary area of economic uncertainty.

Labor market conditions remain supportive of continued expansion. While the September 2018 nonfarm payroll report was distorted by the effects of Hurricane Florence, upward revisions to the prior two months (totaling 87K jobs) more than offset September's weather-related weakness. On a trend basis, the four-month average for nonfarm payrolls remain healthy at 194K jobs per month and the unemployment rate fell to a 48-year low of 3.7%.

Measures of inflation unexpectedly cooled in August but remain at or above the Federal Reserve's (Fed) 2.0% target. The headline and core Consumer Price Indices moderated to 2.7% and 2.2% year over year through August while the Fed's preferred measure, the core Personal Consumption Expenditures Index (PCE), closed the month at 1.96%.

Against this supportive domestic economic fundamental backdrop, the Fed raised interest rates by another 25 basis points (0.25%) at the September 25-26th Federal Open Market Committee (FOMC) meeting to a range of between 2.0% and 2.25%. Looking ahead, pricing in the Fed funds futures market reflect a 72% implied probability of an additional rate hike at the December FOMC meeting. Yields increased over the quarter as solid economic fundamentals reinforced expectations for additional Fed rate hikes and measures of inflation expectations held above the Fed's 2.0% target. Over the quarter, 2-year Treasury yields rose 29 basis points (0.29%) to 2.82% and 10-year Treasury yields rose 20 basis points (0.20%) to 3.06%.

Investment Strategy Update

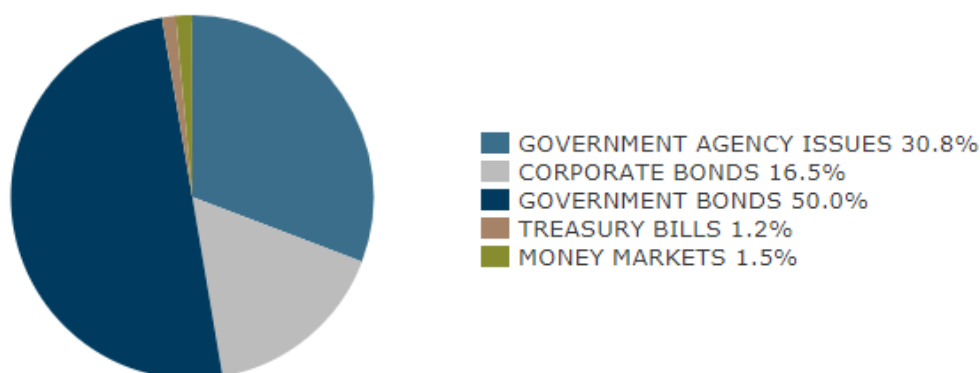
Effective July 1, 2018 Alameda CTC has engaged Public Trust Advisors, LLC (PTA), to provide investment management services in connection with the Alameda CTC portfolio(s). PTA is an SEC registered investment advisory firm. As part of this transition, Alameda CTC is working with PTA to develop a long-term investment strategy tailored to the specific cashflow and liquidity needs of the 1986 Measure B portfolio, the 2000 Measure B portfolio, and the 2014 Measure BB portfolio.

Based upon the review of anticipated cashflow and foreseeable liquidity needs, it was determined that the portfolios will consist of two sub-investment strategies for each portfolio to most effectively balance the priorities of safety and liquidity while earning a competitive market rate of return. Specifically, PTA will create a ladder portfolio designed to match the anticipated fund expenditures as provided by Alameda CTC. PTA will work with Alameda CTC to ensure the ladder portfolio provides sufficient liquidity and is appropriately sized and structured based upon anticipated program expenditures.

After appropriately sizing and structuring the expenditure-matched ladder portfolio, the core funds that remain will be invested into an actively managed strategy and benchmarked to an appropriate index by portfolio as determined by the Alameda CTC. Because liquidity for anticipated expenditures is provided by the above-referenced ladder portfolio, Alameda CTC has determined that a modestly longer duration strategy may be appropriate for the core portion of the portfolio in an effort to improve earnings and investment return consistent with all prudent safety and liquidity considerations. This portion of the portfolio will be actively managed on a discretionary and total return basis. In order to effectively maintain the portfolio's strategic risk/return profile in accordance with the benchmark, PTA anticipates the execution of periodic rebalancing and relative value trades that may result in realized gains and losses in the portfolio.

Portfolio Allocation

Provided below is a summary of the Alameda CTC consolidated portfolio as of the quarter ending September 30, 2018.



Compliance with Investment Policy Statement

As of the quarter ending September 30, 2018, the Alameda CTC portfolios were in compliance with the adopted investment policy statement.

Budget Impact

The portfolios' performance is reported on a total return basis. This method includes the coupon interest, amortization of discounts and premiums, capital gains and losses and price changes (i.e., unrealized gains and losses) but does not include the deduction of management fees. Portfolio and benchmark performance for the quarter ending September 30, 2018 is summarized below:

| <i>Portfolio & Benchmark Total Return</i> | | |
|---|--------------------------|---------------------------|
| 1986 Measure B Portfolio | 2000 Measure B Portfolio | 2014 Measure BB Portfolio |
| Portfolio Return: 0.46% | Portfolio Return: 0.51% | Portfolio Return: 0.52% |
| Benchmark Return: 0.29% | Benchmark Return: 0.41% | Benchmark Return: 0.50% |

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

¹ 1986 Measure B benchmark is the BofAML 0-3 Year US Treasury Index.

² 2000 Measure B benchmark is the BofAML 1-Year US Treasury Index.

³ 2014 Measure BB benchmark is the ML 6mo. Treasury index

The portfolio's yield to maturity, the return the portfolio will earn in the future if all securities are held to maturity, is also reported. This calculation is based on the current market value of the portfolio including unrealized gains and losses. Portfolio and benchmark yield to maturity for the quarter ending September 30, 2018 is summarized below:

| <i>Portfolio & Benchmark Yield to Maturity</i> | | |
|--|--------------------------|---------------------------|
| 1986 Measure B Portfolio | 2000 Measure B Portfolio | 2014 Measure BB Portfolio |
| Portfolio YTM: 2.54% | Portfolio YTM: 2.45% | Portfolio YTM: 2.50% |
| Benchmark YTM: 2.68% | Benchmark YTM: 2.67% | Benchmark YTM: 2.44% |

As of quarter end, the weighted average duration and maturity of the 1986 and 2000 Measure B Portfolios were shorter than their respective benchmarks resulting in lower yield to maturities. As short-term interest rates rose over the quarter, these portfolios outperformed their benchmarks on a total return basis as they were less sensitive than their benchmarks to the effects of rising interest rates.

Bond Portfolios

The Bond portfolios, including the Interest and Principal Funds, remain invested in permitted high grade fixed income securities. As of September 30, 2018, weighted average maturity for both the Interest Fund and Principal Fund was 0.39 years.

One way to measure the anticipated return of the Bond portfolios is their *yield to maturity*. This is the return the portfolio will earn in the future if all securities are held to maturity. This calculation is based on the current market value of the portfolio. The yield to maturity for the Bond Portfolios and comparable maturity U.S. Treasury securities as of the quarter ending September 30, 2018 are summarized below:

Portfolio & Comparable Maturity U.S. Treasury Security Yield to Maturity

Bond Interest Fund Portfolio

Portfolio YTM: 2.27%

Comparable TSY YTM: 2.30%

Bond Principal Fund Portfolio

Portfolio YTM: 2.34%

Comparable TSY YTM: 2.30%

For the quarter ending September 30, 2018, the Alameda CTC Series 2014 Bonds Interest Fund and Principal Fund portfolios were invested in compliance with Section 5.11 of the Bond Indenture dated February 1, 2014.

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
1986 Measure B Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|---------------------------------|-----------|----------|-------------------|---------|----------------------|----------------------|----------------------|--------------|---------------|-----|---------|
| U.S. Treasury | | | | | | | | | | | |
| United States Treas Nts | 912828RP7 | 10/31/18 | 4,000,000 | 99.974 | 3,998,976.00 | 4,070,625.00 | 4,002,827.34 | 0.89% | 3.16% | AA+ | Aaa |
| United States Treas Nts | 912828WD8 | 10/31/18 | 11,795,000 | 99.934 | 11,787,215.30 | 11,775,007.59 | 11,787,170.85 | 2.06% | 9.33% | AA+ | Aaa |
| United States Treas Nts | 912828N22 | 12/15/18 | 1,300,000 | 99.807 | 1,297,485.80 | 1,300,000.00 | 1,300,000.00 | 1.25% | 1.03% | AA+ | Aaa |
| United States Treas Nts | 912828B33 | 01/31/19 | 1,590,000 | 99.728 | 1,585,679.97 | 1,596,024.61 | 1,591,088.41 | 1.29% | 1.25% | AA+ | Aaa |
| United States Treas Nts | 912828C24 | 02/28/19 | 1,950,000 | 99.641 | 1,942,991.70 | 1,962,796.88 | 1,952,584.10 | 1.18% | 1.54% | AA+ | Aaa |
| United States Treas Nts | 912828SH4 | 02/28/19 | 1,500,000 | 99.590 | 1,493,847.00 | 1,501,933.59 | 1,500,412.60 | 1.31% | 1.18% | AA+ | Aaa |
| United States Treas Nts | 912828SN1 | 03/31/19 | 5,000,000 | 99.539 | 4,976,955.00 | 5,014,453.15 | 5,003,483.71 | 1.36% | 3.94% | AA+ | Aaa |
| United States Treas Nts | 912828D23 | 04/30/19 | 4,000,000 | 99.523 | 3,980,936.00 | 3,974,843.76 | 3,985,268.69 | 2.27% | 3.15% | AA+ | Aaa |
| United States Treas Nts | 912828ST8 | 04/30/19 | 3,500,000 | 99.309 | 3,475,801.00 | 3,496,308.59 | 3,498,899.33 | 1.30% | 2.75% | AA+ | Aaa |
| United States Treas Nts | 912828XV7 | 06/30/19 | 4,000,000 | 99.047 | 3,961,876.00 | 3,992,656.24 | 3,997,053.23 | 1.35% | 3.14% | AA+ | Aaa |
| United States Treas Nts | 912828LJ7 | 08/15/19 | 3,000,000 | 100.836 | 3,025,077.00 | 3,138,398.43 | 3,060,400.90 | 1.29% | 2.39% | AA+ | Aaa |
| United States Treas Nts | 912828ND8 | 05/15/20 | 5,000,000 | 101.106 | 5,055,275.00 | 5,089,257.80 | 5,077,055.14 | 2.52% | 4.00% | AA+ | Aaa |
| United States Treas Nts | 912828NT3 | 08/15/20 | 1,500,000 | 99.645 | 1,494,667.50 | 1,539,667.97 | 1,526,473.73 | 1.66% | 1.18% | AA+ | Aaa |
| United States Treas Nts | 912828VZ0 | 09/30/20 | 1,000,000 | 98.395 | 983,945.00 | 990,820.31 | 992,903.66 | 2.37% | 0.78% | AA+ | Aaa |
| United States Treas Nts | 912828A42 | 11/30/20 | 5,000,000 | 98.231 | 4,911,525.00 | 4,926,757.80 | 4,936,808.51 | 2.60% | 3.89% | AA+ | Aaa |
| United States Treas Nts | 9128284P2 | 05/15/21 | 4,000,000 | 99.371 | 3,974,844.00 | 3,997,031.24 | 3,997,371.83 | 2.65% | 3.15% | AA+ | Aaa |
| Totals: | | | 58,135,000 | | 57,947,097.27 | 58,366,582.96 | 58,209,802.02 | 1.83% | 45.86% | | |
| Government Agency Issues | | | | | | | | | | | |
| Federal Home Loan Mtg Corp | 3137EAD7 | 10/12/18 | 3,000,000 | 99.961 | 2,998,821.00 | 2,995,620.00 | 2,999,934.01 | 0.95% | 2.37% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3136G0X22 | 10/29/18 | 3,000,000 | 99.906 | 2,997,192.00 | 3,001,740.00 | 3,000,065.24 | 0.97% | 2.37% | AA+ | Aaa |
| Federal Home Loan Banks | 313376BR5 | 12/14/18 | 1,970,000 | 99.903 | 1,968,096.98 | 1,986,745.00 | 1,972,073.23 | 1.23% | 1.56% | AA+ | Aaa |
| Federal Home Loan Mtg Corp | 3137EADZ9 | 04/15/19 | 4,000,000 | 99.293 | 3,971,720.00 | 3,957,480.00 | 3,975,871.27 | 2.26% | 3.14% | AA+ | Aaa |
| Federal Home Loan Banks | 3130ABF92 | 05/28/19 | 4,000,000 | 99.263 | 3,970,520.00 | 3,998,360.00 | 3,999,466.68 | 1.40% | 3.14% | AA+ | Aaa |
| Federal Home Loan Mtg Corp | 3137EAE81 | 07/19/19 | 2,000,000 | 98.684 | 1,973,688.00 | 1,978,200.00 | 1,991,555.59 | 1.41% | 1.56% | AA+ | Aaa |
| Federal Home Loan Banks | 3130A9EP2 | 09/26/19 | 4,000,000 | 98.380 | 3,935,200.00 | 3,965,240.00 | 3,983,640.40 | 1.42% | 3.11% | AA+ | Aaa |
| Federal Home Loan Banks | 3130AE6V7 | 05/07/20 | 5,200,000 | 99.562 | 5,177,208.40 | 5,196,152.00 | 5,196,688.96 | 2.57% | 4.10% | AA+ | Aaa |
| Federal Home Loan Banks | 3130AECJ7 | 05/28/20 | 5,000,000 | 99.718 | 4,985,890.00 | 5,005,300.00 | 5,004,388.14 | 2.57% | 3.95% | AA+ | Aaa |
| Federal Home Loan Banks | 3130ACE26 | 09/28/20 | 1,400,000 | 97.185 | 1,360,583.00 | 1,364,860.00 | 1,372,049.14 | 2.41% | 1.08% | AA+ | Aaa |
| Federal Home Loan Mtg Corp | 3137EAEJ4 | 09/29/20 | 2,000,000 | 97.689 | 1,953,780.00 | 1,993,156.00 | 1,995,333.42 | 1.74% | 1.55% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0H55 | 12/28/20 | 1,000,000 | 97.872 | 978,715.00 | 995,700.00 | 996,785.12 | 2.02% | 0.77% | AA+ | Aaa |
| Totals: | | | 36,570,000 | | 36,271,414.38 | 36,438,553.00 | 36,487,851.20 | 1.82% | 28.71% | | |

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
1986 Measure B Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|------------------------------------|-----------|----------|-----------------------|---------|-----------------------|-----------------------|-----------------------|--------------|---------------|-----|---------|
| Corporate Bonds | | | | | | | | | | | |
| Johnson & Johnson | 478160BR4 | 03/01/19 | 1,000,000 | 99.461 | 994,610.00 | 996,390.00 | 999,266.38 | 1.30% | 0.79% | AAA | Aaa |
| Bank New York MTN BE | 06406HCR8 | 03/04/19 | 1,000,000 | 99.863 | 998,626.00 | 1,008,470.00 | 1,001,806.86 | 1.77% | 0.79% | A | A1 |
| Berkshire Hathaway Fin Corp | 084664CG4 | 03/15/19 | 2,000,000 | 99.656 | 1,993,116.00 | 2,005,840.00 | 2,001,539.57 | 1.53% | 1.58% | AA | Aa2 |
| Intl Business Machines | 459200JE2 | 05/17/19 | 2,000,000 | 99.465 | 1,989,298.00 | 2,009,800.00 | 2,003,499.49 | 1.52% | 1.57% | A | A1 |
| Coca-Cola Co | 191216BV1 | 05/30/19 | 2,000,000 | 99.222 | 1,984,436.00 | 1,997,040.00 | 1,999,062.66 | 1.44% | 1.57% | A+ | Aa3 |
| Bank New York MTN BE | 06406HCW7 | 09/11/19 | 1,000,000 | 99.516 | 995,160.00 | 1,012,340.00 | 1,005,648.19 | 1.69% | 0.79% | A | A1 |
| Cisco Systems Inc | 17275RBG6 | 09/20/19 | 1,000,000 | 98.694 | 986,939.00 | 995,950.00 | 998,121.18 | 1.60% | 0.78% | AA- | A1 |
| US Bank Assn Cincinnati OH MTN | 90331HML4 | 10/28/19 | 2,000,000 | 99.221 | 1,984,420.00 | 2,016,400.00 | 2,008,084.23 | 1.74% | 1.57% | AA- | A1 |
| Apple Inc | 037833CK4 | 02/07/20 | 2,000,000 | 98.821 | 1,976,422.00 | 1,993,200.00 | 1,995,653.31 | 2.06% | 1.56% | AA+ | Aa1 |
| State Street Corp | 857477AS2 | 08/18/20 | 2,000,000 | 99.229 | 1,984,588.00 | 2,003,300.00 | 2,002,076.93 | 2.49% | 1.57% | A | A1 |
| Home Depot Inc | 437076AT9 | 09/15/20 | 2,000,000 | 101.837 | 2,036,734.00 | 2,056,240.00 | 2,044,606.14 | 2.77% | 1.61% | A | A2 |
| PepsiCo Inc | 713448DC9 | 10/14/20 | 2,000,000 | 98.397 | 1,967,938.00 | 1,997,540.00 | 1,998,206.25 | 2.19% | 1.56% | A+ | A1 |
| Berkshire Hathaway Fin Corp | 084664BZ3 | 10/15/20 | 1,000,000 | 99.975 | 999,753.00 | 1,006,310.00 | 1,004,904.97 | 2.65% | 0.79% | AA | Aa2 |
| Microsoft Corp | 594918BG8 | 11/03/20 | 1,000,000 | 98.230 | 982,298.00 | 996,730.00 | 997,598.92 | 2.12% | 0.78% | AAA | Aaa |
| Totals: | | | 22,000,000 | | 21,874,338.00 | 22,095,550.00 | 22,060,075.09 | 1.94% | 17.31% | | |
| Cash & Equivalents | | | | | | | | | | | |
| Morgan Stanley Inst Liquidity Govt | 61747C70S | | 5,163,920 | 1.000 | 5,163,919.89 | 5,163,919.89 | 5,163,919.89 | 1.77% | 4.09% | | |
| Cash | Cash | | 5,098,125 | 1.000 | 5,098,125.00 | 5,098,125.00 | 5,098,125.00 | 0.00% | 4.03% | | |
| | | | 10,262,045 | | 10,262,044.89 | 10,262,044.89 | 10,262,044.89 | 0.89% | 8.12% | | |
| Total Portfolio | | | 126,967,044.89 | | 126,354,894.54 | 127,162,730.85 | 127,019,773.20 | 1.77% | 100% | | |

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
2000 Measure B Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|---------------------------------|-----------|----------|-------------------|---------|----------------------|----------------------|----------------------|--------------|---------------|-----|---------|
| U.S. Treasury | | | | | | | | | | | |
| United States Treas Nts | 912828RP7 | 10/31/18 | 3,000,000 | 99.974 | 2,999,232.00 | 3,059,892.87 | 3,002,370.42 | 0.79% | 2.27% | AA+ | Aaa |
| United States Treas Nts | 912828WD8 | 10/31/18 | 20,195,000 | 99.934 | 20,181,671.30 | 20,186,858.99 | 20,184,128.25 | 1.90% | 15.30% | AA+ | Aaa |
| United States Treas Nts | 912828M64 | 11/15/18 | 4,000,000 | 99.895 | 3,995,804.00 | 3,983,281.24 | 3,996,145.40 | 2.04% | 3.03% | AA+ | Aaa |
| United States Treas Nts | 912828A34 | 11/30/18 | 4,000,000 | 99.850 | 3,993,996.00 | 3,981,250.00 | 3,994,645.52 | 2.07% | 3.03% | AA+ | Aaa |
| United States Treas Nts | 912828RT9 | 11/30/18 | 4,000,000 | 99.870 | 3,994,804.00 | 3,984,062.52 | 3,995,448.68 | 2.07% | 3.03% | AA+ | Aaa |
| United States Treas Nts | 912828N22 | 12/15/18 | 3,500,000 | 99.807 | 3,493,231.00 | 3,500,000.00 | 3,500,000.00 | 1.25% | 2.65% | AA+ | Aaa |
| United States Treas Nts | 912828N63 | 01/15/19 | 3,000,000 | 99.674 | 2,990,208.00 | 2,994,257.82 | 2,998,825.60 | 1.26% | 2.27% | AA+ | Aaa |
| United States Treas Nts | 912828C65 | 03/31/19 | 2,000,000 | 99.606 | 1,992,110.00 | 2,007,109.38 | 2,002,360.23 | 1.39% | 1.51% | AA+ | Aaa |
| United States Treas Nts | 912828KQ2 | 05/15/19 | 1,000,000 | 100.383 | 1,003,828.00 | 1,027,734.38 | 1,010,626.17 | 1.40% | 0.76% | AA+ | Aaa |
| United States Treas Nts | 912828WS5 | 06/30/19 | 3,000,000 | 99.328 | 2,979,843.00 | 2,983,007.82 | 2,990,999.54 | 2.03% | 2.26% | AA+ | Aaa |
| United States Treas Nts | 912828LJ7 | 08/15/19 | 2,000,000 | 100.836 | 2,016,718.00 | 2,075,546.88 | 2,036,278.86 | 1.52% | 1.53% | AA+ | Aaa |
| United States Treas Nts | 912828U73 | 12/15/19 | 3,500,000 | 98.430 | 3,445,039.50 | 3,469,511.71 | 3,481,688.74 | 1.82% | 2.61% | AA+ | Aaa |
| United States Treas Nts | 912828G95 | 12/31/19 | 3,500,000 | 98.664 | 3,453,243.50 | 3,485,781.25 | 3,491,337.13 | 1.83% | 2.62% | AA+ | Aaa |
| United States Treas Nts | 9128283S7 | 01/31/20 | 3,500,000 | 99.047 | 3,466,641.50 | 3,490,566.42 | 3,493,679.15 | 2.14% | 2.63% | AA+ | Aaa |
| United States Treas Nts | 912828UV0 | 03/31/20 | 2,000,000 | 97.606 | 1,952,110.00 | 1,952,343.76 | 1,965,824.02 | 2.29% | 1.48% | AA+ | Aaa |
| United States Treas Nts | 912828ND8 | 05/15/20 | 2,288,000 | 101.106 | 2,313,293.84 | 2,328,844.37 | 2,323,260.43 | 2.52% | 1.75% | AA+ | Aaa |
| United States Treas Nts | 9128284Q0 | 05/31/20 | 3,500,000 | 99.523 | 3,483,319.00 | 3,499,316.42 | 3,499,434.35 | 2.51% | 2.64% | AA+ | Aaa |
| Totals: | | | 67,983,000 | | 67,755,092.64 | 68,009,365.83 | 67,967,052.48 | 1.86% | 51.38% | | |
| Government Agency Issues | | | | | | | | | | | |
| Federal Natl Mtg Assn | 3135G0E58 | 10/19/18 | 4,000,000 | 99.947 | 3,997,896.00 | 3,991,720.00 | 3,999,711.43 | 1.27% | 3.03% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0YT4 | 11/27/18 | 3,000,000 | 99.906 | 2,997,171.00 | 3,013,740.00 | 3,001,667.72 | 1.27% | 2.27% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0G72 | 12/14/18 | 2,000,000 | 99.774 | 1,995,484.00 | 1,993,380.00 | 1,998,883.86 | 1.40% | 1.51% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0H63 | 01/28/19 | 3,000,000 | 99.694 | 2,990,811.00 | 3,006,858.00 | 3,001,270.76 | 1.24% | 2.27% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0ZA4 | 02/19/19 | 2,250,000 | 99.811 | 2,245,745.25 | 2,280,559.50 | 2,255,872.09 | 1.20% | 1.70% | AA+ | Aaa |
| Federal Home Loan Banks | 313378QK0 | 03/08/19 | 3,000,000 | 99.793 | 2,993,787.00 | 3,026,550.00 | 3,007,362.43 | 1.31% | 2.27% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0ZG1 | 09/12/19 | 3,000,000 | 99.176 | 2,975,292.00 | 3,009,648.00 | 3,004,839.27 | 1.58% | 2.26% | AA+ | Aaa |
| Federal Farm Credit Banks | 3133EH2S1 | 12/12/19 | 3,500,000 | 99.057 | 3,466,981.00 | 3,498,950.00 | 3,499,370.93 | 1.89% | 2.63% | AA+ | Aaa |
| Federal Home Loan Banks | 3130A0JR2 | 12/13/19 | 3,500,000 | 99.600 | 3,486,007.00 | 3,533,005.00 | 3,519,792.69 | 1.90% | 2.64% | AA+ | Aaa |
| Federal Home Loan Mtg Corp | 3137EAE55 | 01/17/20 | 3,000,000 | 98.440 | 2,953,197.00 | 2,958,420.00 | 2,971,469.54 | 2.25% | 2.24% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0T29 | 02/28/20 | 3,000,000 | 98.290 | 2,948,694.00 | 2,953,842.00 | 2,967,480.46 | 2.28% | 2.24% | AA+ | Aaa |
| Federal Farm Credit Banks | 3133EJHL6 | 03/27/20 | 4,000,000 | 99.397 | 3,975,872.00 | 3,999,920.00 | 3,999,940.61 | 2.38% | 3.02% | AA+ | Aaa |

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
2000 Measure B Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|------------------------------------|-----------|----------|-----------------------|---------|-----------------------|-----------------------|-----------------------|--------------|---------------|-----|---------|
| Federal Home Loan Banks | 3130AECJ7 | 05/28/20 | 4,000,000 | 99.718 | 3,988,712.00 | 4,004,240.00 | 4,003,505.85 | 2.57% | 3.02% | AA+ | Aaa |
| Totals: | | | 41,250,000 | | 41,015,649.25 | 41,270,832.50 | 41,231,167.64 | 1.78% | 31.10% | | |
| Corporate Bonds | | | | | | | | | | | |
| Emerson Electric Co | 291011AX2 | 10/15/18 | 1,000,000 | 100.100 | 1,001,004.00 | 1,081,300.00 | 1,001,556.17 | 1.18% | 0.76% | A | A2 |
| Coca-Cola Co | 191216BF6 | 11/01/18 | 2,000,000 | 99.939 | 1,998,780.00 | 2,011,540.00 | 2,000,674.45 | 1.25% | 1.52% | A+ | Aa3 |
| Microsoft Corp | 594918BF0 | 11/03/18 | 1,000,000 | 99.888 | 998,884.00 | 999,280.00 | 999,953.54 | 1.35% | 0.76% | AAA | Aaa |
| PNC Bank NA Pittsburgh PA | 69353RET1 | 11/05/18 | 1,000,000 | 99.940 | 999,400.00 | 1,003,120.00 | 1,000,244.26 | 1.54% | 0.76% | A | A2 |
| Johnson & Johnson | 478160BG8 | 12/05/18 | 3,000,000 | 99.851 | 2,995,530.00 | 3,016,590.00 | 3,002,257.53 | 1.22% | 2.27% | AAA | Aaa |
| PNC Bank NA Pittsburgh PA | 69353RCH9 | 01/28/19 | 2,000,000 | 99.889 | 1,997,786.00 | 2,014,360.00 | 2,002,871.54 | 1.76% | 1.52% | A | A2 |
| PepsiCo Inc | 713448DE5 | 02/22/19 | 1,500,000 | 99.573 | 1,493,592.00 | 1,502,295.00 | 1,500,449.39 | 1.42% | 1.13% | A+ | A1 |
| Cisco Systems Inc | 17275RBG6 | 09/20/19 | 2,000,000 | 98.694 | 1,973,878.00 | 1,980,500.00 | 1,989,312.26 | 1.96% | 1.50% | AA- | A1 |
| Oracle Corp | 68389XAX3 | 10/08/19 | 2,000,000 | 99.500 | 1,990,004.00 | 2,010,320.00 | 2,005,887.68 | 1.96% | 1.51% | AA- | A1 |
| BB&T Co Global Bank MTN | 07330NAN5 | 01/15/20 | 2,500,000 | 98.808 | 2,470,202.50 | 2,494,450.00 | 2,496,512.65 | 2.21% | 1.87% | A | A1 |
| PepsiCo Inc | 713448BN7 | 01/15/20 | 2,000,000 | 102.050 | 2,041,006.00 | 2,103,180.00 | 2,063,785.92 | 1.98% | 1.55% | A+ | A1 |
| Totals: | | | 20,000,000 | | 19,960,066.50 | 20,216,935.00 | 20,063,505.38 | 1.66% | 15.14% | | |
| Cash & Equivalents | | | | | | | | | | | |
| Morgan Stanley Inst Liquidity Govt | 61747C70S | | 85,388 | 1.000 | 85,388.09 | 85,388.09 | 85,388.09 | 1.77% | 0.06% | | |
| Cash | Cash | | 3,048,125 | 1.000 | 3,048,125.00 | 3,048,125.00 | 3,048,125.00 | 0.00% | 2.31% | | |
| | | | 3,133,513 | | 3,133,513.09 | 3,133,513.09 | 3,133,513.09 | 0.05% | 2.38% | | |
| Total Portfolio | | | 132,366,513.09 | | 131,864,321.48 | 132,630,646.42 | 132,395,238.59 | 1.76% | 100% | | |

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
2014 Measure BB Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|-------------------------|-----------|----------|-----------|---------|--------------|-----------------|----------------|------------|------------|-----|---------|
| U.S. Treasury | | | | | | | | | | | |
| United States Treas Nts | 912828L81 | 10/15/18 | 2,000,000 | 99.956 | 1,999,110.00 | 1,988,906.26 | 1,999,558.30 | 1.45% | 1.98% | AA+ | Aaa |
| United States Treas Nts | 912828T83 | 10/31/18 | 2,000,000 | 99.894 | 1,997,874.00 | 1,985,859.38 | 1,998,887.62 | 1.43% | 1.98% | AA+ | Aaa |
| United States Treas Nts | 912828WD8 | 10/31/18 | 7,515,000 | 99.934 | 7,510,040.10 | 7,503,311.52 | 7,509,901.53 | 2.08% | 7.45% | AA+ | Aaa |
| United States Treas Nts | 912828M64 | 11/15/18 | 2,500,000 | 99.895 | 2,497,377.50 | 2,489,550.78 | 2,497,590.88 | 2.04% | 2.48% | AA+ | Aaa |
| United States Treas Nts | 912828A34 | 11/30/18 | 2,500,000 | 99.850 | 2,496,247.50 | 2,488,281.25 | 2,496,653.45 | 2.07% | 2.47% | AA+ | Aaa |
| United States Treas Nts | 912828RT9 | 11/30/18 | 1,000,000 | 99.870 | 998,701.00 | 999,257.81 | 999,891.69 | 1.44% | 0.99% | AA+ | Aaa |
| United States Treas Nts | 912828N22 | 12/15/18 | 2,000,000 | 99.807 | 1,996,132.00 | 1,990,703.12 | 1,998,117.63 | 1.71% | 1.98% | AA+ | Aaa |
| United States Treas Nts | 912828A75 | 12/31/18 | 2,000,000 | 99.818 | 1,996,368.00 | 1,995,468.76 | 1,998,932.59 | 1.72% | 1.98% | AA+ | Aaa |
| United States Treas Nts | 912828RY8 | 12/31/18 | 2,000,000 | 99.788 | 1,995,756.00 | 1,993,046.88 | 1,998,362.14 | 1.71% | 1.98% | AA+ | Aaa |
| United States Treas Nts | 912828P95 | 03/15/19 | 2,000,000 | 99.367 | 1,987,344.00 | 1,981,171.88 | 1,993,242.32 | 1.75% | 1.97% | AA+ | Aaa |
| United States Treas Nts | 912828W97 | 03/31/19 | 2,000,000 | 99.414 | 1,988,282.00 | 1,986,953.12 | 1,995,034.77 | 1.75% | 1.97% | AA+ | Aaa |
| United States Treas Nts | 912828WS5 | 06/30/19 | 2,000,000 | 99.328 | 1,986,562.00 | 1,995,312.50 | 1,997,746.99 | 1.78% | 1.97% | AA+ | Aaa |
| United States Treas Nts | 912828XV7 | 06/30/19 | 2,000,000 | 99.047 | 1,980,938.00 | 1,983,984.38 | 1,992,302.40 | 1.77% | 1.96% | AA+ | Aaa |
| United States Treas Nts | 9128283H1 | 11/30/19 | 2,650,000 | 98.910 | 2,621,120.30 | 2,622,982.43 | 2,629,221.91 | 2.44% | 2.60% | AA+ | Aaa |
| United States Treas Nts | 912828G95 | 12/31/19 | 2,000,000 | 98.664 | 1,973,282.00 | 1,991,875.00 | 1,995,049.79 | 1.83% | 1.96% | AA+ | Aaa |
| United States Treas Nts | 912828MP2 | 02/15/20 | 2,102,000 | 101.160 | 2,126,387.40 | 2,164,485.23 | 2,144,289.65 | 2.13% | 2.11% | AA+ | Aaa |
| United States Treas Nts | 9128283Y4 | 02/29/20 | 3,000,000 | 99.305 | 2,979,141.00 | 2,998,710.93 | 2,999,036.29 | 2.27% | 2.95% | AA+ | Aaa |
| United States Treas Nts | 9128284C1 | 03/31/20 | 4,000,000 | 99.246 | 3,969,844.00 | 3,998,281.24 | 3,998,696.11 | 2.27% | 3.94% | AA+ | Aaa |
| United States Treas Nts | 912828X21 | 04/15/20 | 3,000,000 | 98.094 | 2,942,814.00 | 2,952,421.89 | 2,963,665.23 | 2.31% | 2.92% | AA+ | Aaa |
| United States Treas Nts | 912828ND8 | 05/15/20 | 2,888,000 | 101.106 | 2,919,926.84 | 2,939,555.31 | 2,932,444.05 | 2.52% | 2.89% | AA+ | Aaa |

| | | | | | | | | | | | |
|----------------|--|--|-------------------|--|----------------------|----------------------|----------------------|--------------|---------------|--|--|
| Totals: | | | 51,155,000 | | 50,963,247.64 | 51,050,119.67 | 51,138,625.34 | 2.00% | 50.53% | | |
|----------------|--|--|-------------------|--|----------------------|----------------------|----------------------|--------------|---------------|--|--|

Government Agency Issues

| | | | | | | | | | | | |
|----------------------------|-----------|----------|-----------|---------|--------------|--------------|--------------|-------|-------|-----|-----|
| Federal Home Loan Mtg Corp | 3137EAED7 | 10/12/18 | 2,000,000 | 99.961 | 1,999,214.00 | 1,989,200.00 | 1,999,659.27 | 1.44% | 1.98% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0YT4 | 11/27/18 | 3,000,000 | 99.906 | 2,997,171.00 | 2,999,140.00 | 2,999,854.85 | 1.66% | 2.97% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0G72 | 12/14/18 | 2,000,000 | 99.774 | 1,995,484.00 | 1,988,160.00 | 1,997,628.30 | 1.71% | 1.98% | AA+ | Aaa |
| Federal Home Loan Banks | 3130AAE46 | 01/16/19 | 2,000,000 | 99.704 | 1,994,074.00 | 1,988,320.00 | 1,996,789.48 | 1.80% | 1.98% | AA+ | Aaa |
| Federal Home Loan Banks | 3130AAXX1 | 03/18/19 | 2,000,000 | 99.544 | 1,990,886.00 | 1,990,040.00 | 1,996,383.40 | 1.77% | 1.97% | AA+ | Aaa |
| Federal Home Loan Mtg Corp | 3137EACA5 | 03/27/19 | 2,000,000 | 100.653 | 2,013,050.00 | 2,050,798.00 | 2,019,065.02 | 1.77% | 2.00% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0ZE6 | 06/20/19 | 2,000,000 | 99.452 | 1,989,042.00 | 1,998,900.00 | 1,999,481.62 | 1.79% | 1.97% | AA+ | Aaa |
| Federal Farm Credit Banks | 3133EH2S1 | 12/12/19 | 2,000,000 | 99.057 | 1,981,132.00 | 1,999,400.00 | 1,999,640.53 | 1.89% | 1.96% | AA+ | Aaa |
| Federal Home Loan Banks | 3130A0JR2 | 12/13/19 | 2,000,000 | 99.600 | 1,992,004.00 | 2,018,860.00 | 2,011,310.11 | 1.90% | 1.97% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0A78 | 01/21/20 | 2,523,000 | 98.577 | 2,487,095.19 | 2,499,258.57 | 2,507,204.46 | 2.11% | 2.47% | AA+ | Aaa |
| Federal Natl Mtg Assn | 3135G0T29 | 02/28/20 | 2,000,000 | 98.290 | 1,965,796.00 | 1,969,074.00 | 1,978,211.56 | 2.29% | 1.95% | AA+ | Aaa |

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
2014 Measure BB Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|------------------------------------|-----------|----------|-----------------------|---------|-----------------------|-----------------------|-----------------------|--------------|---------------|-----|---------|
| Federal Farm Credit Banks | 3133EJHL6 | 03/27/20 | 2,000,000 | 99.397 | 1,987,936.00 | 1,999,960.00 | 1,999,970.31 | 2.38% | 1.97% | AA+ | Aaa |
| Federal Home Loan Banks | 3130ADUJ9 | 03/30/20 | 3,000,000 | 99.393 | 2,981,778.00 | 3,001,359.00 | 3,001,030.70 | 2.35% | 2.96% | AA+ | Aaa |
| Federal Home Loan Mtg Corp | 3137EAEF2 | 04/20/20 | 3,000,000 | 97.867 | 2,936,010.00 | 2,944,563.00 | 2,957,573.33 | 2.31% | 2.91% | AA+ | Aaa |
| Totals: | | | 31,523,000 | | 31,310,672.19 | 31,437,032.57 | 31,463,802.93 | 1.96% | 31.04% | | |
| Corporate Bonds | | | | | | | | | | | |
| Johnson & Johnson | 478160BG8 | 12/05/18 | 2,000,000 | 99.851 | 1,997,020.00 | 1,998,800.00 | 1,999,775.66 | 1.71% | 1.98% | AAA | Aaa |
| Bristol-Myers Squibb Co | 110122AV0 | 03/01/19 | 2,000,000 | 99.624 | 1,992,482.00 | 1,996,580.00 | 1,998,838.44 | 1.89% | 1.98% | A+ | A2 |
| Berkshire Hathaway Fin Corp | 084664CG4 | 03/15/19 | 1,000,000 | 99.656 | 996,558.00 | 994,390.00 | 997,286.22 | 2.31% | 0.99% | AA | Aa2 |
| Pfizer Inc | 717081DU4 | 06/03/19 | 2,000,000 | 99.188 | 1,983,756.00 | 1,988,360.00 | 1,994,698.96 | 1.85% | 1.97% | AA | A1 |
| Target Corp | 87612EBB1 | 06/26/19 | 2,000,000 | 99.708 | 1,994,158.00 | 2,013,820.00 | 2,006,604.32 | 1.85% | 1.98% | A | A2 |
| Microsoft Corp | 594918BN3 | 08/08/19 | 1,000,000 | 98.718 | 987,179.00 | 984,390.00 | 990,017.13 | 2.29% | 0.98% | AAA | Aaa |
| Bank New York MTN BE | 06406HCW7 | 09/11/19 | 1,500,000 | 99.516 | 1,492,740.00 | 1,491,165.00 | 1,494,294.18 | 2.71% | 1.48% | A | A1 |
| Procter And Gamble Co | 742718EG0 | 11/01/19 | 1,000,000 | 99.092 | 990,918.00 | 992,800.00 | 995,004.29 | 2.37% | 0.98% | AA- | Aa3 |
| PepsiCo Inc | 713448BN7 | 01/15/20 | 2,000,000 | 102.050 | 2,041,006.00 | 2,103,180.00 | 2,063,785.92 | 1.98% | 2.02% | A+ | A1 |
| Apple Inc | 037833CK4 | 02/07/20 | 3,000,000 | 98.821 | 2,964,633.00 | 2,989,800.00 | 2,993,479.96 | 2.06% | 2.94% | AA+ | Aa1 |
| Intel Corp | 458140AZ3 | 05/11/20 | 1,000,000 | 98.399 | 983,994.00 | 985,900.00 | 989,110.10 | 2.54% | 0.98% | A+ | A1 |
| Totals: | | | 18,500,000 | | 18,424,444.00 | 18,539,185.00 | 18,522,895.18 | 2.07% | 18.27% | | |
| Cash & Equivalents | | | | | | | | | | | |
| Morgan Stanley Inst Liquidity Govt | 61747C70S | | 72,983 | 1.000 | 72,982.83 | 72,982.83 | 72,982.83 | 1.77% | 0.07% | | |
| Cash | Cash | | 95,896 | 1.000 | 95,895.83 | 95,895.83 | 95,895.83 | 0.00% | 0.10% | | |
| | | | 168,879 | | 168,878.66 | 168,878.66 | 168,878.66 | 0.77% | 0.17% | | |
| Total Portfolio | | | 101,346,878.66 | | 100,867,242.49 | 101,195,215.90 | 101,294,202.11 | 2.00% | 100% | | |

Holdings By Security Type as of September 30, 2018
 Alameda County Transportation Commission
 2014 Interest Fund Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|------------------------------------|-----------|----------|-------------------|--------|-------------------|-------------------|-------------------|--------------|---------------|-----|---------|
| U.S. Treasury | | | | | | | | | | | |
| United States Treas Bills | 912796QY8 | 02/21/19 | 660,000 | 99.098 | 654,048.78 | 653,838.42 | 654,006.08 | 2.31% | 99.41% | AA+ | P1 |
| Totals: | | | 660,000 | | 654,048.78 | 653,838.42 | 654,006.08 | 2.31% | 99.41% | | |
| Cash & Equivalents | | | | | | | | | | | |
| Morgan Stanley Inst Liquidity Govt | 61747C70S | | 3,880 | 1.000 | 3,880.42 | 3,880.42 | 3,880.42 | 1.77% | 0.59% | | |
| | | | 3,880 | | 3,880.42 | 3,880.42 | 3,880.42 | 1.77% | 0.59% | | |
| Total Portfolio | | | 663,880.42 | | 657,929.20 | 657,718.84 | 657,886.50 | 2.30% | 100% | | |

Holdings By Security Type as of September 30, 2018
Alameda County Transportation Commission
2014 Principal Fund Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|------------------------------------|-----------|----------|----------------------|---------|----------------------|----------------------|----------------------|--------------|---------------|-----|---------|
| U.S. Treasury | | | | | | | | | | | |
| United States Treas Bills | 912796QY8 | 02/21/19 | 3,830,000 | 99.098 | 3,795,464.89 | 3,791,608.91 | 3,796,001.46 | 2.26% | 28.87% | AA+ | P1 |
| United States Treas Nts | 912828C24 | 02/28/19 | 1,845,000 | 99.641 | 1,838,369.07 | 1,837,216.41 | 1,839,239.17 | 2.26% | 13.99% | AA+ | Aaa |
| United States Treas Nts | 912828KD1 | 02/15/19 | 3,751,000 | 100.137 | 3,756,127.62 | 3,766,873.44 | 3,758,759.87 | 2.19% | 28.57% | AA+ | Aaa |
| Totals: | | | 9,426,000 | | 9,389,961.58 | 9,395,698.76 | 9,394,000.50 | 2.23% | 71.43% | | |
| Government Agency Issues | | | | | | | | | | | |
| Federal Natl Mtg Assn | 3135G0ZA4 | 02/19/19 | 3,746,000 | 99.811 | 3,738,916.31 | 3,737,141.18 | 3,741,513.99 | 2.19% | 28.44% | AA+ | Aaa |
| Totals: | | | 3,746,000 | | 3,738,916.31 | 3,737,141.18 | 3,741,513.99 | 2.19% | 28.44% | | |
| Cash & Equivalents | | | | | | | | | | | |
| Morgan Stanley Inst Liquidity Govt | 61747C70S | | 16,368 | 1.000 | 16,368.39 | 16,368.39 | 16,368.39 | 1.77% | 0.12% | | |
| | | | 16,368 | | 16,368.39 | 16,368.39 | 16,368.39 | 1.77% | 0.12% | | |
| Total Portfolio | | | 13,188,368.39 | | 13,145,246.28 | 13,149,208.33 | 13,151,882.88 | 2.22% | 100% | | |

Holdings By Security Type as of September 30, 2018
 Alameda County Transportation Commission
 2014 Revenue Fund Portfolio



| Issuer | CUSIP | Maturity | Quantity | Price | Market Value | Historical Cost | Amortized Cost | Book Yield | % of Total | S&P | Moody's |
|------------------------------------|-----------|----------|------------|-------|---------------|-----------------|----------------|--------------|----------------|-----|---------|
| Cash & Equivalents | | | | | | | | | | | |
| Morgan Stanley Inst Liquidity Govt | 61747C70S | | 814 | 1.000 | 813.89 | 813.89 | 813.89 | 1.77% | 100.00% | | |
| | | | 814 | | 813.89 | 813.89 | 813.89 | 1.77% | 100.00% | | |
| Total Portfolio | | | 814 | | 813.89 | 813.89 | 813.89 | 1.77% | 100% | | |

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Memorandum

6.5

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Patricia Reavey, Deputy Executive Director of Finance and Administration

SUBJECT: Alameda CTC FY2018-19 First Quarter Consolidated Financial Report

Recommendation

It is recommended that the Commission approve the Alameda CTC FY2018-19 First Quarter Consolidated Financial Report.

Summary

Alameda CTC's expenditures through September 30, 2018 are within year-to-date budget authority per the currently adopted budget. The agency remains in a strong financial position as compared to budget through the first quarter of FY2018-19.

The attached FY2018-19 First Quarter Financial Report has been prepared on a consolidated basis and is compared to the currently adopted budget on a year-to-date basis. This report provides a summary of FY2018-19 actual revenues and expenditures through September 30, 2018. Variances from the year-to-date budget are demonstrated as a percentage of the budget used by line item as well as stating either a favorable or unfavorable variance in dollars. Percentages over 100 percent indicate that actual revenue or expenditure items are over 25 percent of the total annual budget through the first quarter of the fiscal year, and percentages under 100 percent indicate that actual revenue or expenditure items are under 25 percent of the total annual budget through the first quarter of the fiscal year. As of September 30, 2018, Alameda CTC activity for the fiscal year results in a net increase in fund balance in the amount of \$34.1 million mostly due to sales tax revenues received but not yet spent, primarily in the Measure BB Capital Projects and Special Revenue Funds.

Background

The following are highlights of actual revenues and expenditures compared to budget as of September 30, 2018 by category:

Revenues

Sales tax revenues are over budget by \$5.6 million, or 7.4 percent, and investment income is over budget by \$0.5 million or 26.7 percent as interest rates have slowly begun to rise. Toll and toll violation revenues are over budget by \$1.2 million which will help to fund the targeted maintenance and operational reserve goals established in the I-580 Express Lanes Expenditure Plan, and grant revenues are under budget by \$2.8 million mostly related to capital projects. Grant revenues are recognized on a reimbursement basis and, therefore, correlated directly with related expenditures, so capital and other project expenditures also will be under budget.

Salaries and Benefits

Salaries and benefits are slightly under budget by \$0.01 million, or 0.7 percent, as of September 30, 2018.

Administration

Costs for overall administration are under budget by \$5.3 million, or 61.6 percent, mainly due to debt service costs which incurred costs for only one of the two semi-annual interest payments and no principal payment as of September 30, 2018. Principal payments are made annually on March 1. Debt service costs are required to be recorded when incurred per government accounting standards. Actual expenditures in the debt service fund will equal 100% of the budget by the end of the fiscal year.

I-580 Express Lanes Operations

The I-580 Express Lanes expenditures are under budget by \$1.6 million, or 55.4 percent, primarily related to a toll system upgrade special project accounted for in the budget which is anticipated to begin in early 2019.

Planning

Planning expenditures are under budget by \$0.1 million, or 28.7 percent mostly related to delays in contracting and funding agreements which resulted in some work being delayed and invoices coming in later than anticipated. It is expected that expenditures will be closer to budget in the next quarter.

Programs

Program expenditures are under budget by \$3.4 million, or 6.9 percent, predominantly related to discretionary programmatic grants. The discretionary funded projects are just getting underway, and it is anticipated that project sponsors will be submitting reimbursement requests by the third quarter of the fiscal year.

Capital Projects

Capital Projects expenditures are under budget by \$52.4 million, or 82.8 percent. This variance is related to delays on certain capital projects and delays in finalizing funding agreements with sponsor agencies. Project construction activity is expected to increase in the coming months with related expenditures anticipated to be higher in the second half of the fiscal year. There are currently no real budget issues on capital projects.

Limitations Calculations

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

Fiscal Impact: There is no fiscal impact associated with the approval of this item.

Attachment:

A. Alameda CTC Consolidated Revenues/Expenditures as of September 30, 2018

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
Consolidated Revenues/Expenditures
September 30, 2018

| | <u>Total Consolidated</u> | | | <u>Favorable (Unfavorable) Variance</u> |
|---|---------------------------|-----------------------|---------------|---|
| | <u>YTD Actuals</u> | <u>YTD Budget</u> | <u>% Used</u> | |
| <u>REVENUES</u> | | | | |
| Sales Tax Revenue | \$ 81,649,960 | \$ 76,000,000 | 107.43 | \$ 5,649,960 |
| Investment Income | 2,498,017 | 1,971,250 | 126.72 | 526,767 |
| Member Agency Fees | 359,166 | 348,705 | 103.00 | 10,461 |
| VRF Funds | 3,355,922 | 3,000,000 | 111.86 | 355,922 |
| Toll Revenues | 3,855,422 | 2,950,000 | 130.69 | 905,422 |
| Toll Violation Revenues | 822,748 | 525,000 | 156.71 | 297,748 |
| Other Revenues | 1,065 | - | - | 1,065 |
| Regional/State/Federal Grants | 972,893 | 3,346,053 | 29.08 | (2,373,160) |
| Local and Other Grants | 1,895,442 | 2,361,879 | 80.25 | (466,437) |
| Total Revenues | \$ 95,410,635 | \$ 90,502,887 | | \$ 4,907,748 |
| <u>EXPENDITURES</u> | | | | |
| <u>Administration</u> | | | | |
| Salaries and Benefits ⁽¹⁾ | 668,602 | 562,080 | 118.95 | (106,522) |
| General Office Expenses | 331,190 | 429,344 | 77.14 | 98,154 |
| Travel Expense | 4,500 | 11,250 | 40.00 | 6,750 |
| Debt Service ⁽²⁾ | 2,136,225 | 6,618,113 | 32.28 | 4,481,888 |
| Professional Services | 102,333 | 859,480 | 11.91 | 757,147 |
| Commission and Community Support | 54,786 | 63,190 | 86.70 | 8,404 |
| Contingency | - | 50,000 | - | 50,000 |
| Subtotal | 3,297,636 | 8,593,457 | | 5,295,821 |
| <u>I-580 Operations</u> | | | | |
| Salaries and Benefits ⁽¹⁾ | 87,147 | 97,054 | 89.79 | 9,907 |
| Other Operating Expenditures | 1,085,185 | 1,340,000 | 80.98 | 254,815 |
| Non-Operating Expenditures | 78,869 | 1,370,000 | 5.76 | 1,291,131 |
| Subtotal | 1,251,201 | 2,807,054 | | 1,555,853 |
| <u>Planning</u> | | | | |
| Salaries and Benefits ⁽¹⁾ | 178,814 | 195,386 | 91.52 | 16,572 |
| Transportation Planning | 151,948 | 236,153 | 64.34 | 84,205 |
| Congestion Management Program | 443 | - | - | (443) |
| Other Planning Projects | - | 33,199 | - | 33,199 |
| Subtotal | 331,205 | 464,738 | | 133,533 |
| <u>Programs</u> | | | | |
| Salaries and Benefits ⁽¹⁾ | 382,128 | 409,289 | 93.36 | 27,161 |
| Programs Management and Support | 112,041 | 671,538 | 16.68 | 559,497 |
| Safe Routes to School Program | (35) | 562,851 | (0.01) | 562,886 |
| VRF Programming | 2,222,260 | 2,985,000 | 74.45 | 762,740 |
| Measure B/BB Direct Local Distribution | 42,188,255 | 39,270,793 | 107.43 | (2,917,462) |
| Grant Awards | 126,275 | 3,218,761 | 3.92 | 3,092,486 |
| TFCA Programming | 176,056 | 696,571 | 25.27 | 520,515 |
| CMA TIP Programming | 382,976 | 1,127,526 | 33.97 | 744,550 |
| Subtotal | 45,589,956 | 48,942,329 | | 3,352,373 |
| <u>Capital Projects</u> | | | | |
| Salaries and Benefits ⁽¹⁾ | 263,080 | 327,261 | 80.39 | 64,181 |
| Capital Project Expenditures | 10,613,381 | 62,933,271 | 16.86 | 52,319,890 |
| Subtotal | 10,876,461 | 63,260,532 | | 52,384,071 |
| Total Expenditures | \$ 61,346,459 | \$ 124,068,110 | | \$ 62,721,651 |
| Net revenue over / (under) expenditures | \$ 34,064,176 | \$ (33,565,223) | | |

(1) Salaries and benefits are under budget by \$11,299 or 0.7% as of September 30, 2018.

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

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Memorandum

6.6

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Patricia Reavey, Deputy Executive Director of Finance and Administration

SUBJECT: Alameda CTC Staff and Retiree Benefits for Calendar Year 2019 and Salary Ranges for Fiscal Year 2019-20

Recommendation

The Administrative Code calls for the Executive Director to submit an annual salaries and benefits plan to the Commission for approval. This memorandum seeks the Commission's approval of Alameda CTC Staff and Retiree Benefits for Calendar Year 2019 and staff salary ranges for FY2019-20.

The calendar year 2019 benefits outlined in Resolution 18-006 (Attachment A) includes holidays, vacation and sick leave policies, health insurance, and other benefits for staff members. The calendar year 2019 benefits generally remain unchanged from Resolution 17-006, which was approved by the Commission in December 2017. The few changes to benefits for next calendar year include:

1. The Cafeteria Plan monthly benefit allowance of \$2,443 for active employees, an increase of \$12, or 0.5 percent, over 2018;
2. The Public Employees' Medical and Hospital Care Act (PEMHCA) monthly minimum required contribution of \$136, an increase of \$3, or 2.3 percent, over 2018; and
3. The Health Reimbursement Arrangement (HRA) monthly benefit of \$1,597 for retirees, an increase of \$3, or 0.2 percent, over 2018.

The Alameda CTC has 37 approved full-time equivalent (FTE) positions and 32 classifications. Staff proposes to update two classification titles to better align these positions with the agency's work plan and objectives. The proposed changes are as follows:

1. Reclassify Deputy Executive Director of Projects and Programming to Deputy Executive Director of Projects; and

2. Reclassify Director of Budgets and Administration to Director of Procurement and Information Technology.

Additionally, it is recommended that the Commission approve the attached Staff Classifications and Annual Salary Ranges for Alameda CTC (Attachment B) which is based on the results of a Total Compensation Study recently completed by Koff & Associates (Attachment C). Total compensation studies are necessary to ensure that Alameda CTC continues to offer competitive salaries and benefits in order to retain and attract qualified employees in order to continue to perform the extensive work promised to voters in the Measure BB Transportation Expenditure Plan including its many large capital and planning projects and programs. Koff & Associates selected 20 of Alameda CTC's 32 classifications within the agency's structure and compared the salaries and benefits to other similar agencies, both locally and throughout California, to determine how Alameda CTC's current salary ranges and benefit levels compare to other similar agencies. Based on the results of this study, Koff & Associates has recommended minimal adjustments to Alameda CTC salary ranges. Recommendations for classifications that were not selected for comparison to other similar agencies in the study were determined based on a calculation to ensure internal alignment within each department to other positions within the agency.

The recommended salary range schedule is mostly based on the study completed by Koff & Associates. Koff & Associates utilizes the standard human resource practice of adjusting salary ranges for classifications that vary five percent or more from the targeted market level in the study, which was set at the 75th percentile as adopted by the Commission with the last total compensation study in March 2017. Based on the most recent Total Compensation Study completed, Koff & Associates has found the ranges for two of Alameda CTC's 32 classifications (the Director of Government Affairs and Communications (an unfilled position) and the Director of Express Lane Operations) to be below market by more than five percent from the targeted market level and recommended adjustments to the salary ranges to bring them in line with the comparator agencies.

In addition to adjusting the ranges for these two classifications, the one exception to Koff & Associates' study includes a recommended adjustment to the ranges for the engineering track of classifications, covering the Assistant, Associate, and Senior Transportation Engineering classifications. Although the variance in the engineering track in the study did not quite exceed five percent of market level, Alameda CTC does not have the tolerance to allow this track of classifications to fall below the targeted market level because these classifications are crucial to delivering the Agency's extensive Capital Program. Alameda CTC strives to retain technically skilled staff and attract the best and brightest in this field. The recommended adjustment to these classifications is sufficient to keep these classifications competitive, but does not allow these positions to go above the targeted market level acceptable range consistent with all other classifications in the study.

An increase to a salary range does not constitute an automatic increase in employee salaries, nor does the Agency provide automatic pay increases or pay grade step increases.

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

Background

The attached Resolution No. 18-006 (Attachment A) is consistent with the Public Employees' Pension Reform Act of 2013 (AB 340), as it pertains to the agency. The details of the agency's retirement system are contained in the agency's pension plan. The most significant changes from AB 340 apply to new employees hired on or after January 1, 2013. For employees hired prior to January 1, 2013 (Classic Employees), the major features of the agency's pension plan includes a "2.5%@55" benefit and employer paid member contribution (EPMC) cost sharing of 5% by the agency and 3% by the employee. For employees hired on or after January 1, 2013 (New Employees), the major features of the agency's pension plan includes a "2%@62" benefit, but does not include cost sharing of the required employee contribution as it is not allowed per AB 340 which is effective for New Employees. The plan does not include any optional features, payout conversions or optional benefits that have been characterized as "spiking" of the pension benefit.

Alameda CTC Retiree Health Benefit Amount for the 2019 calendar year is reimbursed to retirees through the HRA Plan. The HRA Plan is a premium reimbursement plan for retiree health care premiums. Alameda CTC will contribute only the required minimum contribution amount directly to CalPERS for retirees (\$136 per month in 2019). CalPERS requires that the remaining premium costs be deducted directly from the retiree's monthly retirement check under the CalPERS pension plan. Once CalPERS takes this deduction, Alameda CTC's HRA will reimburse each retiree for the deduction, up to the annually determined amount. The HRA contribution amount recommended for 2019 is \$1,597 per retiree per month (\$1,733, the CalPERS' median amount for HMO plans for 2019 Employee +1 Rate, less \$136 PEMHCA-required minimum contribution). Similar to active employees, if a retiree's elected health coverage costs exceed the amount approved by the Commission, the retiree will be required to pay for the additional amount from his or her own funds.

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

Attachments:

- A. Classifications and Annual Salary Ranges for Alameda CTC Effective July 1, 2019
- B. Resolution No. 18-006 Fiscal Year 2019-20 Salaries and Calendar Year 2019 Benefits for Staff Members Staff
- C. [Total Compensation Study \(Koff and Associates\)](#) - *hyperlinked to the web*

Alameda County Transportation Commission
Job Classifications
July 1, 2019

6.6A

| Job Classification | FLSA¹ | Grade |
|---|-------------------------|--------------|
| Executive Director | E | 72 |
| <u>Programming and Projects Team</u> | | |
| Deputy Executive Director of Projects | E | 63 |
| <u>Projects Section</u> | | |
| Director of Project Delivery | E | 55 |
| Senior Transportation Engineer | E | 43 |
| Associate Transportation Engineer | E | 37 |
| Assistant Transportation Engineer | N | 33 |
| <u>Programming Section</u> | | |
| Director of Programming and Project Controls | E | 51 |
| Senior Program Analyst | E | 32 |
| Associate Program Analyst | E | 26 |
| Assistant Program Analyst | N | 22 |
| <u>Express Lane Operations Section</u> | | |
| Director of Express Lane Operations | E | 54 |
| Senior Transportation Engineer | E | 43 |
| Associate Transportation Engineer | E | 37 |
| Assistant Transportation Engineer | N | 33 |
| <u>Planning and Policy Team</u> | | |
| Deputy Executive Director of Planning and Policy | E | 63 |
| Director of Planning | E | 51 |
| <u>Planning Section</u> | | |
| Principal Transportation Planner | E | 40 |
| Senior Transportation Planner | E | 34 |
| Associate Transportation Planner | E | 28 |
| Assistant Transportation Planner | N | 24 |
| <u>Programs Section</u> | | |
| Senior Program Analyst | E | 32 |
| Associate Program Analyst | E | 26 |
| Assistant Program Analyst | N | 22 |
| <u>Policy Section</u> | | |
| Director of Government Affairs and Communications | E | 48 |
| Senior Administrative Analyst | E | 32 |
| Associate Administrative Analyst | E | 26 |
| Assistant Administrative Analyst | N | 22 |
| <u>Finance and Administration Team</u> | | |
| Deputy Executive Director of Finance and Administration | E | 63 |
| <u>Accounting Section</u> | | |
| Director of Finance | E | 48 |
| Accounting Manager | E | 40 |
| Senior Accountant | E | 28 |
| Accountant | N | 22 |
| Accounting Technician | N | 15 |
| Director of Procurement and Information Technology | E | 48 |
| <u>Contracting and Budgets Section</u> | | |
| Senior Administrative Analyst | E | 32 |
| Associate Administrative Analyst | E | 26 |
| Assistant Administrative Analyst | N | 22 |
| <u>Administration Section</u> | | |
| Clerk of the Board/Commission | N | 32 |
| Executive Assistant | N | 20 |
| Senior Administrative Assistant | N | 16 |
| Administrative Assistant | N | 12 |

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

Alameda County Transportation Commission
Monthly Salary Range Schedule
July 1, 2019

| Salary Range | Monthly Salary Range | | |
|--------------|----------------------|----------|----------|
| | Min | Midpt | Max |
| 1 | \$ 3,657 | \$ 4,206 | \$ 4,755 |
| 2 | 3,749 | 4,311 | 4,874 |
| 3 | 3,843 | 4,419 | 4,995 |
| 4 | 3,939 | 4,530 | 5,120 |
| 5 | 4,037 | 4,643 | 5,248 |
| 6 | 4,138 | 4,759 | 5,380 |
| 7 | 4,242 | 4,878 | 5,514 |
| 8 | 4,348 | 5,000 | 5,652 |
| 9 | 4,456 | 5,125 | 5,793 |
| 10 | 4,568 | 5,253 | 5,938 |
| 11 | 4,682 | 5,384 | 6,086 |
| 12 | 4,799 | 5,519 | 6,239 |
| 13 | 4,919 | 5,657 | 6,395 |
| 14 | 5,042 | 5,798 | 6,554 |
| 15 | 5,168 | 5,943 | 6,718 |
| 16 | 5,297 | 6,092 | 6,886 |
| 17 | 5,430 | 6,244 | 7,058 |
| 18 | 5,565 | 6,400 | 7,235 |
| 19 | 5,704 | 6,560 | 7,416 |
| 20 | 5,847 | 6,724 | 7,601 |
| 21 | 5,993 | 6,892 | 7,791 |
| 22 | 6,143 | 7,064 | 7,986 |
| 23 | 6,297 | 7,241 | 8,186 |
| 24 | 6,454 | 7,422 | 8,390 |
| 25 | 6,615 | 7,608 | 8,600 |
| 26 | 6,781 | 7,798 | 8,815 |
| 27 | 6,950 | 7,993 | 9,035 |
| 28 | 7,124 | 8,193 | 9,261 |
| 29 | 7,302 | 8,397 | 9,493 |
| 30 | 7,485 | 8,607 | 9,730 |
| 31 | 7,672 | 8,823 | 9,973 |
| 32 | 7,864 | 9,043 | 10,223 |
| 33 | 8,060 | 9,269 | 10,478 |
| 34 | 8,262 | 9,501 | 10,740 |
| 35 | 8,468 | 9,738 | 11,009 |
| 36 | 8,680 | 9,982 | 11,284 |

| Salary Range | Monthly Salary Range | | |
|--------------|----------------------|-----------|-----------|
| | Min | Midpt | Max |
| 37 | \$ 8,897 | \$ 10,231 | \$ 11,566 |
| 38 | 9,119 | 10,487 | 11,855 |
| 39 | 9,347 | 10,749 | 12,152 |
| 40 | 9,581 | 11,018 | 12,455 |
| 41 | 9,821 | 11,294 | 12,767 |
| 42 | 10,066 | 11,576 | 13,086 |
| 43 | 10,318 | 11,865 | 13,413 |
| 44 | 10,576 | 12,162 | 13,748 |
| 45 | 10,840 | 12,466 | 14,092 |
| 46 | 11,111 | 12,778 | 14,444 |
| 47 | 11,389 | 13,097 | 14,805 |
| 48 | 11,674 | 13,425 | 15,176 |
| 49 | 11,965 | 13,760 | 15,555 |
| 50 | 12,265 | 14,104 | 15,944 |
| 51 | 12,571 | 14,457 | 16,342 |
| 52 | 12,885 | 14,818 | 16,751 |
| 53 | 13,208 | 15,189 | 17,170 |
| 54 | 13,538 | 15,568 | 17,599 |
| 55 | 13,876 | 15,958 | 18,039 |
| 56 | 14,223 | 16,357 | 18,490 |
| 57 | 14,579 | 16,765 | 18,952 |
| 58 | 14,943 | 17,185 | 19,426 |
| 59 | 15,317 | 17,614 | 19,912 |
| 60 | 15,700 | 18,055 | 20,410 |
| 61 | 16,092 | 18,506 | 20,920 |
| 62 | 16,494 | 18,969 | 21,443 |
| 63 | 16,907 | 19,443 | 21,979 |
| 64 | 17,329 | 19,929 | 22,528 |
| 65 | 17,763 | 20,427 | 23,092 |
| 66 | 18,207 | 20,938 | 23,669 |
| 67 | 18,662 | 21,461 | 24,261 |
| 68 | 19,128 | 21,998 | 24,867 |
| 69 | 19,607 | 22,548 | 25,489 |
| 70 | 20,097 | 23,111 | 26,126 |
| 71 | 20,599 | 23,689 | 26,779 |
| 72 | 21,114 | 24,281 | 27,449 |

Alameda County Transportation Commission
Annual Salary Schedule
July 1, 2019

| Salary Range | Annual Salary Range | | |
|--------------|---------------------|-----------|-----------|
| | Min | Midpt | Max |
| 1 | \$ 43,890 | \$ 50,473 | \$ 57,057 |
| 2 | 44,987 | 51,735 | 58,483 |
| 3 | 46,112 | 53,028 | 59,945 |
| 4 | 47,264 | 54,354 | 61,444 |
| 5 | 48,446 | 55,713 | 62,980 |
| 6 | 49,657 | 57,106 | 64,554 |
| 7 | 50,899 | 58,533 | 66,168 |
| 8 | 52,171 | 59,997 | 67,822 |
| 9 | 53,475 | 61,497 | 69,518 |
| 10 | 54,812 | 63,034 | 71,256 |
| 11 | 56,183 | 64,610 | 73,037 |
| 12 | 57,587 | 66,225 | 74,863 |
| 13 | 59,027 | 67,881 | 76,735 |
| 14 | 60,502 | 69,578 | 78,653 |
| 15 | 62,015 | 71,317 | 80,620 |
| 16 | 63,565 | 73,100 | 82,635 |
| 17 | 65,155 | 74,928 | 84,701 |
| 18 | 66,783 | 76,801 | 86,818 |
| 19 | 68,453 | 78,721 | 88,989 |
| 20 | 70,164 | 80,689 | 91,214 |
| 21 | 71,918 | 82,706 | 93,494 |
| 22 | 73,716 | 84,774 | 95,831 |
| 23 | 75,559 | 86,893 | 98,227 |
| 24 | 77,448 | 89,066 | 100,683 |
| 25 | 79,385 | 91,292 | 103,200 |
| 26 | 81,369 | 93,574 | 105,780 |
| 27 | 83,403 | 95,914 | 108,424 |
| 28 | 85,488 | 98,312 | 111,135 |
| 29 | 87,626 | 100,769 | 113,913 |
| 30 | 89,816 | 103,289 | 116,761 |
| 31 | 92,062 | 105,871 | 119,680 |
| 32 | 94,363 | 108,518 | 122,672 |
| 33 | 96,722 | 111,231 | 125,739 |
| 34 | 99,140 | 114,011 | 128,882 |
| 35 | 101,619 | 116,862 | 132,105 |
| 36 | 104,159 | 119,783 | 135,407 |

| Salary Range | Annual Salary Range | | |
|--------------|---------------------|---------|---------|
| | Min | Midpt | Max |
| 37 | 106,763 | 122,778 | 138,792 |
| 38 | 109,432 | 125,847 | 142,262 |
| 39 | 112,168 | 128,993 | 145,819 |
| 40 | 114,972 | 132,218 | 149,464 |
| 41 | 117,847 | 135,524 | 153,201 |
| 42 | 120,793 | 138,912 | 157,031 |
| 43 | 123,813 | 142,385 | 160,957 |
| 44 | 126,908 | 145,944 | 164,980 |
| 45 | 130,081 | 149,593 | 169,105 |
| 46 | 133,333 | 153,333 | 173,333 |
| 47 | 136,666 | 157,166 | 177,666 |
| 48 | 140,083 | 161,095 | 182,108 |
| 49 | 143,585 | 165,123 | 186,660 |
| 50 | 147,174 | 169,251 | 191,327 |
| 51 | 150,854 | 173,482 | 196,110 |
| 52 | 154,625 | 177,819 | 201,013 |
| 53 | 158,491 | 182,264 | 206,038 |
| 54 | 162,453 | 186,821 | 211,189 |
| 55 | 166,514 | 191,492 | 216,469 |
| 56 | 170,677 | 196,279 | 221,880 |
| 57 | 174,944 | 201,186 | 227,427 |
| 58 | 179,318 | 206,215 | 233,113 |
| 59 | 183,801 | 211,371 | 238,941 |
| 60 | 188,396 | 216,655 | 244,914 |
| 61 | 193,106 | 222,071 | 251,037 |
| 62 | 197,933 | 227,623 | 257,313 |
| 63 | 202,882 | 233,314 | 263,746 |
| 64 | 207,954 | 239,147 | 270,340 |
| 65 | 213,152 | 245,125 | 277,098 |
| 66 | 218,481 | 251,253 | 284,026 |
| 67 | 223,943 | 257,535 | 291,126 |
| 68 | 229,542 | 263,973 | 298,404 |
| 69 | 235,280 | 270,573 | 305,865 |
| 70 | 241,162 | 277,337 | 313,511 |
| 71 | 247,192 | 284,270 | 321,349 |
| 72 | 253,371 | 291,377 | 329,383 |

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION****RESOLUTION 18-006****Fiscal Year 2019-20 Salaries and
Calendar Year 2019 Benefits for Staff Members**

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

Commission Vice Chair
Supervisor Richard Valle, District 2

AC Transit
Director Elsa Ortiz

Alameda County
Supervisor Scott Haggerty, District 1
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
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Mayor Trish Spencer

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City of Fremont
Mayor Lily Mei

City of Hayward
Mayor Barbara Halliday

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Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Councilmember Dan Kalb

City of Piedmont
Councilmember Bob McBain

City of Pleasanton
Mayor Jerry Thorne

City of San Leandro
Mayor Pauline Cutter

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

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

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

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

WHEREAS, Alameda CTC previously adopted Resolution 17-006, thereby establishing a consistent set of benefits and leave policies, and this Resolution is intended to supersede and replace such Resolution 17-006; and

NOW, THEREFORE, BE IT RESOLVED that Alameda CTC staff salaries ranges for July 1, 2019 through June 30, 2020 and employment benefits for January 1, 2019 through December 31, 2019, are hereby adopted, and are herein set forth.

1. Salaries

- 1.1 The fiscal year 2019-20 maximum salary ranges have increased by 3.00 percent over the salary ranges approved for the prior fiscal year to reflect the change in the Consumer Price Index for all Urban Consumers (CPI-U) for San Francisco-Oakland-San Jose, CA during calendar year 2017 (the last full year of data available from the Bureau of Labor Statistics) as approved by the Commission in March 2017.
- 1.2 An employee shall be compensated at a rate set between or equal to the minimum (min) and maximum (max) of the range specified in Attachment A for their respective position classification.

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

2. Appointment and Performance Management

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

3. Holidays

- 3.1 The following eleven (11) paid holidays shall be observed by Alameda CTC:

| | | |
|------------------------|---|---------------------------|
| New Year's Day | - | January 1, 2019, Tuesday |
| Martin Luther King Day | - | January 21, 2019, Monday |
| Presidents' Day | - | February 18, 2019, Monday |
| Memorial Day | - | May 27, 2019, Monday |
| Independence Day | - | July 4, 2019, Thursday |
| Labor Day | - | September 2, 2019, Monday |
| Veterans Day | - | November 11, 2019, Monday |

| | | |
|--------------------------|---|------------------------------|
| Thanksgiving Day | - | November 28, 2019, Thursday |
| Day after Thanksgiving | - | November 29, 2019, Friday |
| Day before Christmas Day | - | December 24, 2019, Tuesday |
| Christmas Day | - | December 25, 2019, Wednesday |

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

4. Leaves of Absence

4.1 Vacation

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

Accrual Rates Based on Years of Service:

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

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

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

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

- 4.2 **Management Leave.** Regular full-time exempt employees may receive paid management leave of up to 80 hours per year at the sole discretion of the Executive Director. The leave is intended to compensate exempt employees who are required to attend work-related meetings outside of normal working hours. The amount of leave will be determined by the Executive Director based on each employee's function and the number of off hour meetings he/she is required to attend. No employee shall be eligible to accrue more than the amount of their annual Management Leave. Use of Management Leave shall be at the discretion of the Executive Director.
- 4.3 **Sick Leave.** Regular employees (including probationary employees) shall receive sick leave, accumulating at the rate of one day per calendar month up to four hundred eighty (480) hours (prorated for part-time employees based on actual hours worked). Up to sixty (60) days of accrued but unused sick leave may be used toward service credit for CalPERS retirement benefits. Sick leave is available only for the actual illness or injury of an employee or the employee's spouse, registered domestic partner, children, parents, or other dependents.

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

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

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

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

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

5. Health Insurance and Other Benefits

- 5.1 **Cafeteria Plan.** Alameda CTC provides a Cafeteria Plan for its eligible employees, into which Alameda CTC will pay \$2,443 per month per employee. This amount is in addition to the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum required contribution of \$136. With these funds, each participating employee is able to choose the following coverage:
- Health Insurance (through the State of California's Public Employees' Retirement System (CalPERS));
 - Dental Insurance;
 - Vision Care Insurance;
 - Life Insurance;
 - Dependent Life Insurance;
 - Accidental Death and Dismemberment Insurance;
 - Long-term Disability Insurance; and
 - Short-term Disability Insurance.

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

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

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

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

6. Additional Benefits Programs

6.1 **Transit Subsidy.** All regular full-time employees of Alameda CTC are eligible to receive up to the federally approved transit benefit amount for 2019 (if elected to be received by the employee).

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

7. **Other benefits.** Alameda CTC will also provide: (1) A Flexible Spending Account (FSA) program which will be administered through the cafeteria plan for both dependent care expenses up to \$5,000 per calendar year and medical expenses up to the maximum amount allowed consistent with the IRS limit for 2019. To participate in and receive benefits in the form of reimbursements for dependent and/or medical care expenses from the FSA, an employee can elect to pay his or her contribution for FSA benefits on a pre-tax salary reduction basis; and, (2) an optional deferred compensation program, CalPERS 457 Supplemental Income Plan.

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

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

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

11. **Office Hours.** The offices of Alameda CTC shall be open to the public between 8:00 a.m. and 5:00 p.m. each weekday, except on Alameda CTC holidays as defined in Paragraph 2.1. Employees are required to be at Alameda CTC's offices during business hours Monday through Friday.
12. All provisions of this Resolution shall be effective and pertain to all employees of Alameda CTC as of the date of hire of the employee, or January 1, 2019, whichever is later, unless otherwise provided.
13. The Executive Director is authorized to execute the necessary contracts for the benefits and insurance coverage described herein.
14. This resolution is intended to and shall replace and supersede in its entirety that certain Resolution 17-006 adopted by the Commission on December 7, 2017.

Duly passed and adopted by the Alameda CTC at the regular meeting of the Commission held on Thursday, December 6, 2018, in Oakland, California by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

Richard Valle,
Chair, Alameda CTC

Vanessa Lee,
Clerk of the Commission

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Memorandum

6.7

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Erika Cheng, Senior Administrative Analyst
Seung Cho, Director of Budgets and Administration

SUBJECT: Approve the Fiscal Year 2019-20 Professional Services Contracts Plan

Recommendation

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

It is recommended that the Commission approve the Fiscal Year 2019-20 (FY 2019-20) Professional Services Contracts Plan.

Summary

Approval of the staff recommendation will:

- A. Authorize the Executive Director to exercise the optional years included in the original contract and/or extend a contract, enter into negotiations and execute professional services contract amendments with existing consultant firms for the following services:
 - a. Media and Public Relations Services; and
 - b. Project Control and Funding/Financial Management Services.
- B. Authorize the Executive Director to issue a Request for Qualification (RFQ) and/or Request for Proposals (RFP), enter into negotiations, and execute a professional services contract with the top-ranked firm for the following services:
 - a. Media and Public Relations Services; and
 - b. Independent Financial Auditing Services.

Background

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

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

A. Contract Execution

1. Media and Public Relations Services

Circlepoint, an Alameda CTC-certified Small-Local Business Enterprise (SLBE) firm with offices in Oakland, California, was awarded a contract in 2016 through a competitive bid process to provide media and public relations services for Alameda CTC. These services include communications and public relations, graphics design, report design and publication, preparation of press and other public materials, assistance at public meetings and events, new website development and support, and support for agency communications and outreach needs. The current fiscal year budget for this contract is \$930,310.

Staff recommends authorization to exercise the two-year option remaining in the contract through June 30, 2021, enter into negotiations and execute a professional services contract amendment with Circlepoint for media and public relations services.

2. Project Control and Funding/Financial Management Services

VSCE, Inc., an Alameda CTC-certified SLBE firm, was awarded a contract in 2016 through a competitive bid process to provide project control and funding/financial management services for Alameda CTC. These services include, but are not limited to, project controls and monitoring of all projects, project risk assessment and reporting, strategic planning and implementation of the sales tax programs, programming and grant management, and other related project support activities. The current fiscal year budget for this contract is \$320,247.

Staff recommends authorization to exercise the three-year option in the contract through June 30, 2021, enter into negotiations and execute a professional services contract amendment with VSCE, Inc. for project control and funding/financial management services.

B. Contract Procurement and Execution

1. **Media and Public Relations Services** – Following the end of the current contract for these services as described above, staff recommends the issuance of an RFQ and/or RFP for a term of up to three years, including options to exercise additional years if any, totaling no more than five years.
2. **Independent Financial Auditing Services** – The independent financial audit services contract provides the required independent audits of Alameda CTC's and the Sunol Smart Carpool Lane's financial statements, issuance of audited financial reports with opinion, completion of the Federal Single Audit, and performance of limitation calculations with reports and worksheets, which attest that Alameda CTC has complied with the administrative cost limitations required by the 2000 and 2014 Expenditure Plans. Currently, Alameda CTC contracts with Vavrinek, Trine, Day & Co., LLP for these services. The current term for this contract covers the separate audits for the year ending June 30, 2018. Staff recommends the issuance of an RFQ and/or RFP for independent financial auditing services beginning with the fiscal period ending 2018-19 and after, for a term of up to three years, with the option to exercise additional years for a term totaling no more than five years. The incumbent will be limited to a maximum term of five years and will not be eligible to participate in the next available contracting opportunity for these services per the Commission adopted procurement policy.

Fiscal Impact: The fiscal impact for contracts that are executed or procured as a result of approving this item will be included in the FY2019-20 budget, which is scheduled for Commission approval in Spring 2019.

Attachment:

- A. Table 1 – Summary of FY2019-20 Professional Services Contracts Plan

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

| Services | Current Firm | Approved Budget FY2018-19 | Last RFP Issuance | Recommended Action |
|---|---------------------------------|--------------------------------------|------------------------------|---|
| Media and Public Relations Services | Circlepoint | \$930,310 | 2016 | Exercise 2-Year Option and Issue RFQ and/or RFP |
| Project Control and Funding/Financial Management Services | VSCE, Inc. | \$320,247 | 2016 | Exercise 3-Year Option |
| Independent Financial Auditing Services | Vavrinek, Trine, Day & Co., LLP | \$81,000 | 2012 | Issue RFQ and/or RFP |

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Memorandum

6.8

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Patricia Reavey, Deputy Executive Director of Finance and Administration

SUBJECT: Approve and adopt an amendment to the Alameda CTC Health Reimbursement Arrangement Plan for retirees

Recommendation

It is recommended that the Commission approve and adopt a clarifying amendment to the Alameda CTC Health Reimbursement Arrangement (HRA) Plan for retirees. If approved by the Commission, the amended HRA Plan would technically be effective January 1, 2019; however, since the purpose of the amendment is to effectuate the original intent of the plan, the clarified language would be immediately applicable.

Summary

The HRA Plan is Alameda CTC's reimbursement plan for retiree health care premiums that the Commission originally adopted in January 2012 (effective February 2012) and adopted an amendment once, effective April 2015. To be eligible for retiree health coverage under the HRA plan, a retiree must be vested with at least 10 years of CalPERS service, five of which must be for employment with Alameda CTC. With 10 years of CalPERS service, a retiree would be 50 percent vested for retiree health benefits increasing by 5 percent with each additional year of service up to 20 years for 100 percent coverage at the rate approved by the Commission annually.

Since the Commission adopted the HRA Plan in January 2012, the question as to what constitutes "CalPERS credited service" has been raised on multiple occasions. Staff would like to further define the term "CalPERS credited service" within the HRA Plan document to reflect the intent when the document was crafted to ease concerns of employees and potential employees (Alameda CTC's future retirees).

The intent when the HRA Plan was drafted was for the term "CalPERS credited service" to include all years of service CalPERS would take into account when determining eligibility for retirement pension benefits. This includes CalPERS purchased years of services, as well

as years of service in public agency retirement plans which have a reciprocal arrangement with CalPERS, in addition to service with CalPERS member agencies.

Background

The Alameda CTC contributes only the required minimum contribution amount directly to CalPERS for retirees' health premiums (\$136 per month in 2019). CalPERS requires that the remaining premium costs be deducted directly from each retiree's monthly retirement check under the CalPERS pension plan. Once CalPERS takes this deduction, Alameda CTC's HRA administrator will reimburse each retiree for their eligible deduction amount based on their years of CalPERS service, up to the annually determined amount set by the Commission, which is expected to be \$1,597 per retiree per month for 2019 (median CalPERS HMO health plan rate for retiree plus one, less \$136 PEMHCA-required minimum contribution). If a retiree's elected health coverage costs exceed the amount approved by the Commission, the retiree pays for the additional amount from his or her own funds.

Fiscal Impact: There is no direct fiscal budget impact related to the approval and adoption of this amendment to the HRA plan for retirees.

Attachments:

- A. Alameda CTC Health Reimbursement Arrangement (Draft Amendment)
- B. Resolution Approving and Adopting an Amendment to the Health Reimbursement Arrangement Plan for Retirees

**ALAMEDA COUNTY TRANSPORTATION COMMISSION
RETIREE HEALTH REIMBURSEMENT ARRANGEMENT**

As Amended Effective January 1, 2019-2015

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ALAMEDA COUNTY TRANSPORTATION COMMISSION RETIREE HEALTH REIMBURSEMENT ARRANGEMENT

As Amended Effective January 1, 2015

ARTICLE I. ESTABLISHMENT AND PURPOSE OF THE PLAN

The Alameda County Transportation Commission (the Employer) provides post-retirement health benefits to its Eligible Retirees. The Employer hereby amends the Alameda County Transportation Commission Retiree Health Reimbursement Arrangement (the Plan), originally effective on February 1, 2012 (the Effective Date) to enable Eligible Retirees and their eligible Beneficiaries to pay for the health care benefits described herein. This amendment shall be effective as of January 1, 2015-2019 (the Amendment Date).

The Plan is intended to qualify as a health reimbursement arrangement within the meaning of Internal Revenue Service Notice 2002-45, and it is intended that the benefits under the Plan be tax-free to the maximum extent permitted under the Internal Revenue Code and the regulations issued thereunder. The Plan will be administered and interpreted to accomplish that objective. Capitalized terms used in this Plan that are not otherwise defined have the meanings set forth in Article II.

ARTICLE II. DEFINITIONS

- 2.1 “**Amendment Date**” means January 1, 2015-2019.
- 2.2 “**Beneficiary**” means any Eligible Retiree's surviving family member who qualifies as an “annuitant” under California Government Code section 22760(c) or (h).
- 2.3 “**Board**” or “**Commission**” means the Board of Commissioners governing body of the Alameda County Transportation Commission.
- 2.4 “**CalPERS**” means the California Public Employees’ Retirement System in which the Employer is a participating agency.
- 2.5 “**CalPERS Credited Service**” means the equivalent to all service that CalPERS would take into account when determining eligibility for pension benefits, including purchased years of service and years of service in a public agency retirement plan which has a reciprocal arrangement with CalPERS, in addition to service with Alameda CTC or other CalPERS member agencies.
- 2.52.6 “**CalPERS Health**” means the health care program made available by the Employer to Eligible Retirees under the Public Employees’ Medical and Hospital Care Act, codified under sections 22750 - 22948 of the California Government Code, which program provides health insurance under various coverage options from which covered individuals may select.

2.62.7 **“COBRA”** means the Consolidated Omnibus Budget Reconciliation Act of 1985, as amended.

2.72.8 **“Code”** means the Internal Revenue Code of 1986 and the Treasury Regulations and guidance issued thereunder, as amended.

2.82.9 **“Effective Date”** means February 1, 2012.

2.92.10 **“Eligible Retiree”** means an Employee who has met the eligibility requirements in Article III. An individual's status as an Eligible Retiree will be determined solely by the Employer.

2.102.11 **“Employee”** means an individual that the Employer classifies as a common-law employee and who is on the Employer's W-2 payroll, but does not include the following: (a) any leased employee (including but not limited to those individuals defined as leased employees in Code Section 414(n) or an individual classified by the Employer as a contract worker, independent contractor, temporary employee, or casual employee for the period during which such individual is so classified, whether or not any such individual is on the Employer's W-2 payroll or is determined by the IRS or others to be a common-law employee of the Employer; (b) any individual who performs services for the Employer but who is paid by a temporary or other employment or staffing agency for the period during which such individual is paid by such agency, whether or not such individual is determined by the IRS or others to be a common-law employee of the Employer; and (c) any employee covered under a collective bargaining agreement, unless the agreement provides for the employee's participation in this Plan.

2.142.12 **“Employer”** means the Alameda County Transportation Commission.

2.122.13 **“HIPAA”** means the Health Insurance Portability and Accountability Act of 1996, as amended.

2.132.14 **“MEC”** means the minimum employer contribution required to be made by the Employer directly to CalPERS for an Eligible Retiree's coverage under CalPERS Health (\$112 per month in 2012, and adjusted annually in accordance with California Government Code Section 22892).

2.142.15 **“Plan”** means this Alameda County Transportation Commission Retiree Health Reimbursement Arrangement, as set forth herein and amended from time to time.

2.152.16 **“Plan Administrator”** means the Employer unless the Employer designates another person or organization to hold the position of Plan Administrator. The Employer may alternatively designate another person or organization to perform certain duties assigned to the Plan Administrator under this Plan.

2.162.17 **“Plan Year”** means the calendar year (i.e., the 12-month period commencing January 1 and ending on December 31). The first Plan Year is a short plan year, beginning on the Effective Date and ending on December 31, 2012.

2.172.18 **“Predecessor Agency”** means (1) the Alameda County Transportation Improvement Authority, or (2) the Alameda County Congestion Management Agency.

2.182.19 “Trust” means the legal entity that the Employer may establish and/or adopt to hold any assets it has irrevocably set aside to pay benefits under the Plan.

ARTICLE III. ELIGIBILITY, PARTICIPATION, AND COVERAGE

3.1 Eligibility. Only Eligible Retirees are eligible to participate in the Plan. An individual will become an Eligible Retiree under the Plan only upon meeting all of the following requirements.

- a) The individual retired under CalPERS directly from the Employer or a Predecessor Agency within 120 days after his or her employment with the Employer or Predecessor Agency terminated. If the Employee retired under CalPERS from any other governmental agency (or retired under any other governmental retirement plan and not under CalPERS), he or she will not meet this requirement.
- b) The individual is eligible for coverage under CalPERS Health as a retiree, enrolled in CalPERS Health, and entitled to the MEC from the Employer.
- c) Either:
 - (i) The individual has at least 10 completed years of ~~credited service with CalPERS~~ Credited Service at retirement ~~(as determined by CalPERS)~~, and the individual performed at least five years of that service entirely for the Employer and/or a Predecessor Agency; or
 - (ii) The individual has at least 25 completed years of ~~credited service with CalPERS~~ Credited Service at retirement ~~(as determined by CalPERS)~~, and the individual performed at least two years of that service entirely for the Employer and/or a Predecessor Agency.

3.2 No Benefits Unless Eligible. An Employee will not have any interest under the Plan unless he or she meets all of the preceding requirements of this Article III, as applicable. Any person who does not meet these requirements will not be entitled to any benefits under the Plan.

3.3 Commencement of Participation. Each Eligible Retiree on the Effective Date will participate in the Plan beginning on that date. Each person who becomes an Eligible Retiree after the Effective Date will begin participation in the Plan on the date of becoming an Eligible Retiree.

3.4 Period of Coverage. Participation in the Plan is tied to the Eligible Retiree's enrollment in CalPERS Health as a retiree. Coverage under this Plan for an Eligible Retiree will begin on the first day of the calendar month that coverage under CalPERS Health as a retiree begins.

3.5 Termination of Participation. An Eligible Retiree's participation in the Plan terminates upon the earlier of:

- a) the date he or she ceases to be an Eligible Retiree;

- b) the date that the Eligible Retiree is reemployed by the Employer, except as provided in Section 3.7; or
- c) the Eligible Retiree's death, except benefits may continue to the Eligible Retiree's Beneficiary in accordance with Section 3.6.

3.6 Beneficiaries. After an Eligible Retiree's death, benefits will be provided under the Plan to the Eligible Retiree's Beneficiary, if any, but only if the individual is (1) eligible for coverage under CalPERS Health and (2) entitled to the MEC from the Employer. Benefits will be provided under the Plan to such Beneficiary only during such periods that he or she meets these two requirements. The Beneficiary will not be entitled to any benefits under the Plan for any period he or she does not meet these two requirements. To the extent required by the Code, the Employer will follow the tax withholding and reporting requirements applicable to benefits paid under this Plan to an Eligible Retiree's non-dependent domestic partner or same-sex spouse.

3.7 Reemployed Retirees. If the Employer reemploys an Eligible Retiree, any benefits provided under the Plan to that Eligible Retiree will cease effective on the reemployment date and his or her Plan participation will cease. The Eligible Retiree will be entitled to benefits under the Plan upon subsequent termination of employment only if he or she is then eligible under this Article III. If, however, after the reemployment date, the reemployed Eligible Retiree is entitled to continued receipt of retirement benefits under CalPERS as a retiree of the Employer and continues to be eligible for both the MEC and retiree coverage under CalPERS Health, any benefits provided under the Plan to that Eligible Retiree will continue uninterrupted.

ARTICLE IV. VESTING AND BENEFITS

4.1 Amount of Benefits. Each Eligible Retiree will be entitled to receive Employer-funded health care coverage as specified in this Article IV, paid in the form of a reimbursement in accordance with Section 4.3. The maximum benefit on behalf of an Eligible Retiree for any calendar month will be the amount established and adopted by the Board from time to time (and such benefit amounts are herein incorporated by reference), multiplied by the Eligible Retiree's Vested Percentage under Section 4.2. In no event, however, will the benefit paid in any calendar month on behalf of any Eligible Retiree be greater than the Eligible Retiree's actual out-of-pocket premium cost for CalPERS Health coverage for that calendar month. An Eligible Retiree may at any time decline benefits under the Plan by notifying the Employer.

4.2 Vested Percentage. An Eligible Retiree's Vested Percentage is based on the Eligible Retiree's completed number of years of CalPERS ~~credited service~~ Credited Service in accordance with the following table.

| Years of CalPERS Credited Service | Vested Percentage |
|--|--------------------------|
| <10 | 0% |
| 10 | 50% |
| 11 | 55% |
| 12 | 60% |
| 13 | 65% |

| Years of CalPERS Credited Service | Vested Percentage |
|--|--------------------------|
| 14 | 70% |
| 15 | 75% |
| 16 | 80% |
| 17 | 85% |
| 18 | 90% |
| 19 | 95% |
| 20+ | 100% |

- 4.3 Reimbursements Under the Plan.** Benefits under the Plan will be provided in the form of monthly reimbursements of the health care coverage premium costs incurred by the Eligible Retiree (or his or her Beneficiary) for the coverage under the CalPERS Health option that the Eligible Retiree has elected for the applicable Plan Year, up to the maximum amount specified in Section 4.1. Any such premium costs may not be paid or reimbursed from any other source and must be substantiated in accordance with Section 4.4. Under no circumstances will unused amounts for one calendar month be applied to costs in any subsequent calendar month and no unused amounts may roll over to any subsequent Plan Year. The Eligible Retiree will be solely responsible for paying the coverage cost of any amounts that are not reimbursed under this Plan or otherwise paid by the Employer.
- 4.4 Substantiation of Expenses.** Reimbursements of health care premium expenses under the Plan for an Eligible Retiree's (or his or her Beneficiary's) individual coverage under CalPERS Health must be properly documented and substantiated at the time and in the manner determined by the Plan Administrator. The Plan Administrator has authority to establish rules and procedures to be followed by individuals in filing applications for benefits, for furnishing and verifying proofs necessary to establish their rights to benefits under the Plan, or for any other reason it deems necessary for the efficient administration of the Plan. Upon satisfactory documentation and substantiation, the Plan Administrator will direct payment to the Eligible Retiree (or his or her Beneficiary) as soon as administratively feasible.

ARTICLE V. BENEFIT FUNDING

- 5.1 Employer Contributions.** All benefits under the Plan will be paid by Employer contributions and earnings thereon. Employee contributions are not permitted. In addition, the Employer may set aside contributions and related earnings to pre-fund benefits under the Plan. In determining the amount of any such contributions, the Employer may engage an actuary to conduct actuarial experience studies and periodic actuarial valuations of the Plan benefits and to recommend to the Employer the amount of contributions that are needed in order to fund the Plan's benefits.
- 5.2 Trust.** The Employer may establish and/or adopt a Trust to receive and invest assets set aside by the Employer to pay benefits under the Plan. The Trust may specifically provide, among other things, for the investment and reinvestment of the Trust assets and the income thereof, the management of the Trust assets, the responsibilities and immunities of the trustee, removal of the trustee and appointment of a successor, accounting by the trustee and the disbursement of the Trust assets. The trustee will, in

|

accordance with the terms of the Trust, accept and receive all contributions paid to it from time to time, and shall hold, invest, reinvest and manage such moneys and any increment, increase, earnings and income thereof for the exclusive benefit of Eligible Retirees and Beneficiaries and for the payment of reasonable expenses of administering the Plan.

ARTICLE VI. ADMINISTRATION OF THE PLAN

6.1 Plan Administrator. The administration of this Plan will be under the supervision of the Plan Administrator. It is the principal duty of the Plan Administrator to see that this Plan is carried out, in accordance with its terms, for the exclusive benefit of persons entitled to participate in this Plan.

6.2 Powers of the Plan Administrator. The Plan Administrator will have such duties and powers as it considers necessary or appropriate to discharge its duties. It will have the exclusive right to interpret the Plan and to decide all matters thereunder, and all determinations of the Plan Administrator with respect to any matter hereunder will be conclusive and binding on all persons. Without limiting the generality of the foregoing, the Plan Administrator will have the following discretionary authority:

- a) to construe and interpret the Plan, including all possible ambiguities, inconsistencies, and omissions in the Plan and related documents, and to decide all questions of fact, questions relating to eligibility and participation, and questions of benefits under this Plan;
- b) to prescribe procedures to be followed and the forms to be used by Eligible Retirees and Beneficiaries to claim reimbursements pursuant to this Plan;
- c) to prepare and distribute information explaining this Plan and the benefits under this Plan in such manner as the Plan Administrator determines to be appropriate;
- d) to request and receive from all Eligible Retirees and Beneficiaries such information as the Plan Administrator will from time to time determine to be necessary for the proper administration of this Plan;
- e) to furnish each Eligible Retiree and Beneficiary with such reports with respect to the administration of this Plan as the Plan Administrator determines to be reasonable and appropriate;
- f) to receive, review, and keep on file such reports and information regarding the benefits covered by this Plan as the Plan Administrator determines from time to time to be necessary and proper;
- g) to appoint and employ such individuals or entities to assist in the administration of this Plan as it determines to be necessary or advisable, including legal counsel and benefit consultants;
- h) to sign documents for the purposes of administering this Plan, or to designate an individual or individuals to sign documents for the purposes of administering this Plan;

- i) to secure or require such evidence as it deems necessary to decide any claim for benefits under the Plan; and
- j) to maintain the books of accounts, records, and other data in the manner necessary for proper administration of this Plan and to meet any applicable disclosure and reporting requirements.

6.3 Fiduciary Duties. Each Plan fiduciary shall discharge its duties solely in the interest of Eligible Retirees and Beneficiaries and for the exclusive purpose of providing benefits under the Plan, or defraying reasonable expenses of administering the Plan. Each Plan fiduciary, in carrying out such duties and responsibilities, shall act with the care, skill, prudence and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with such matters would use. A fiduciary may serve in more than one fiduciary capacity and may employ one or more persons to render advice with regard to its fiduciary responsibilities. If the fiduciary is serving as such without compensation, all expenses reasonably incurred by such fiduciary will be paid by the Employer. The Employer may, however, elect to have those expenses paid from Trust assets.

6.4 Provision for Third-Party Plan Service Providers. The Plan Administrator, subject to approval of the Employer, may employ the services of such persons as it may deem necessary or desirable in connection with the operation of the Plan. Unless otherwise provided in the service agreement, obligations under this Plan shall remain the obligation of the Employer or Plan Administrator, as applicable.

6.5 Inability to Locate Payee. If the Plan Administrator is unable to make payment to any person to whom a payment is due under the Plan because it cannot ascertain the identity or whereabouts of such person after reasonable efforts have been made to identify or locate such person, then such payment and all subsequent payments otherwise due to such person will be forfeited following a reasonable time after the date any such payment first became due.

6.6 COBRA and HIPAA Compliance. The Plan will comply with the applicable requirements of the Consolidated Omnibus Budget Reconciliation Act of 1986 ("COBRA"), and with the applicable requirements of the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") in accordance with the rules set out in Appendix A below.

ARTICLE VII. AMENDMENT AND TERMINATION OF THE PLAN

7.1 No Vested Rights. The Employer may at any time amend or terminate the Plan as provided in Sections 7.2 and 7.3 below. Nothing in the Plan is intended to or will be construed to entitle any Eligible Retiree or other person to vested or non-terminable benefits.

7.2 Amendment of the Plan. The Employer may amend all or any part of this Plan at any time for any reason by resolution of the Board or by any person or persons authorized by the Board to take such action. Any such amendment will supersede and override any claim to "vested rights" that any person may otherwise have with respect to benefits under the Plan.

7.3 Termination of the Plan.

- a) The Employer has established the Plan with the expectation that it will be continued, but continuance is not a contractual or other obligation of the Employer and no employee of the Employer or other person will have any vested right to continuance of the Plan or to continuance of any Employer contributions to the Plan. The Employer reserves the right at any time to terminate the Plan without prejudice and for any reason, and such termination will supersede and override any claim to “vested rights” that any person may otherwise have with respect to benefits under the Plan. Such decision to terminate the Plan will be made in writing and must be approved by the Board.
- b) If the Plan is terminated, the Employer shall direct the trustee to compute the value of the Plan assets under the Trust as of the date of termination. Those assets will continue to be held in the Trust, and will be distributed to pay any remaining benefits owed under the Plan until those benefits are satisfied.
- c) The “partial termination” rules of the Code that apply to qualified retirement plans will not apply under this Plan, and no action will be taken with respect to this Plan in connection with any event or events that would be a partial termination for a qualified plan.

7.4 Determination of Effective Date of Amendment or Termination. Any such amendment, discontinuance or termination will be effective as of the date the Employer determines.

7.5 Assets After Termination. Any assets remaining in the Trust after all benefits owed under the Plan and all Plan expenses have been paid will revert to the Employer unless otherwise determined by the Employer.

7.6 Limitation of Obligations. The Employer must provide all benefits accrued by Eligible Retirees or Beneficiaries under the Plan through its termination. Once those benefits are satisfied, the Employer will not have any remaining obligations to provide any benefit under the Plan. No one will accrue benefits under the Plan after its termination.

ARTICLE VIII. GENERAL PROVISIONS

8.1 Governing Law. The provisions of the Plan will be construed, administered and enforced according to applicable federal law and, to the extent not preempted, the laws of the State of California.

8.2 Requirement for Proper Forms. All communications in connection with the Plan made by an Eligible Retiree or Beneficiary will become effective only when duly executed on any forms as may be required and furnished by, and filed with, the Employer or Plan Administrator, as applicable.

8.3 No Guarantee of Tax Consequences. Neither the Employer nor any Plan Administrator makes any warranty or other representation as to whether any benefits under the Plan will be treated as excludable from gross income for federal, state, or local income tax purposes. It will be the obligation of each Eligible Retiree or Beneficiary to

determine whether each payment under this Plan is excludable from gross income for federal, state, and local income tax purposes and to notify the Employer or Plan Administrator if he or she has any reason to believe that such payment is not so excludable. If for any reason it is determined that any amount paid for the benefit of an Eligible Retiree or Beneficiary is includable in gross income for federal, state or local income tax purposes, then under no circumstances will the recipient have any recourse against the Employer or Plan Administrator with respect to any increased taxes or other losses or damages suffered by the Eligible Retiree or Beneficiary as a result thereof.

- 8.4 Compliance With Code and Other Applicable Laws.** It is intended that this Plan meet all applicable requirements of the Code and of all regulations and guidance issued thereunder. This Plan will be construed, operated and administered accordingly, and in the event of any conflict between any part, clause, or provision of this Plan and the Code, the provisions of the Code will be deemed controlling, and any conflicting part, clause, or provision of this Plan will be deemed superseded to the extent of the conflict. In addition, the Plan will comply with the requirements of all other applicable laws.
- 8.5 Headings.** The headings of the various Articles and Sections are inserted for convenience of reference and are not to be regarded as part of this Plan or as indicating or controlling the meaning or construction of any provision.
- 8.6 Severability.** Should any part of this Plan subsequently be invalidated by a court of competent jurisdiction, the remainder of the Plan will be given effect to the maximum extent possible.
- 8.7 Administration Expenses.** The Employer will pay the reasonable expenses of administering the Plan, including but not limited to the reasonable compensation of any counsel, accountants, and other agents hired by the Employer, Plan Administrator, or Board, as well as any other expenses incurred in administering the Plan. The Employer may, however, elect to have those expenses paid from Trust assets.
- 8.8 Effect of Mistake.** In the event of a mistake as to the eligibility or participation of an individual, or the allocations made to the account of any Eligible Retiree, or the amount of distributions made or to be made to an Eligible Retiree or other person, the Employer or Plan Administrator will, to the extent it deems possible, cause to be allocated or cause to be withheld or accelerated, or otherwise make adjustment of, such amounts as will in its judgment accord to such Eligible Retiree or other person the credits to the account or distributions to which he or she is properly entitled under the Plan.
- 8.9 No Contract of Employment.** The Plan does not provide any person with any right to be retained in the Employer's employment or service. An Eligible Retiree's sole rights under the Plan are limited to those described in this document.
- 8.10 Plan Provisions Controlling.** The Plan encompasses the benefits provided by the Employer to Eligible Retirees. In the event that the terms or provisions of any summary or description of this Plan are interpreted as being in conflict with the provisions of this Plan as set forth in this document, the provisions of this Plan will be controlling.
- 8.11 Non-Assignability of Rights.** The right of any Eligible Retiree or Beneficiary to receive any reimbursement under this Plan will not be alienable by the Eligible Retiree or Beneficiary by assignment or any other method and will not be subject to claims by his

or her creditors by any process whatsoever. Any attempt to cause such right to be so subjected will not be recognized, except to the extent required by law.

- 8.12 Provisions Applicable During Periods of Military Service.** Notwithstanding any Plan provision to the contrary, contributions, benefits, and service credit with respect to qualified military service will be provided as required by any law concerning veterans' rights.

To record the amendment of the Plan, the Employer's authorized representative hereby executes this document on this ____ day of _____, 2015.

ALAMEDA COUNTY TRANSPORTATION COMMISSION

By: _____

Title: _____

Date: _____

APPENDIX A: HIPAA COMPLIANCE

A.1 Provision of Protected Health Information to Employer

Members of the Employer's workforce have access to the individually identifiable health information of Plan participants for administrative functions of the Plan. When this health information is provided from the Plan to the Employer, it is Protected Health Information (PHI). The Health Insurance Portability and Accountability Act of 1996 (HIPAA) and its implementing regulations restrict the Employer's ability to use and disclose PHI. The following HIPAA definition of PHI applies for purposes of this Article Appendix A:

Protected Health Information. Protected health information means information that is created or received by the Plan and relates to the past, present, or future physical or mental health or condition of a participant; the provision of health care to a participant; or the past, present, or future payment for the provision of health care to a participant; and that identifies the participant or for which there is a reasonable basis to believe the information can be used to identify the participant. Protected health information includes information of persons living or deceased.

The Employer will have access to PHI from the Plan only as permitted under this Appendix A or as otherwise required or permitted by HIPAA. HIPAA and its implementing regulations were modified by the Health Information Technology for Economic and Clinical Health Act (HITECH Act), the statutory provisions of which are incorporated herein by reference.

A.2 Permitted Disclosure of Enrollment/Disenrollment Information

The Plan may disclose to the Employer information on whether the individual is participating in the Plan.

A.3 Permitted Uses and Disclosure of Summary Health Information

The Plan may disclose Summary Health Information to the Employer, provided that the Employer requests the Summary Health Information for the purpose of modifying, amending, or terminating the Plan.

"Summary Health Information" means information (a) that summarizes the claims history, claims expenses, or type of claims experienced by individuals for whom a plan sponsor had provided health benefits under a health plan; and (b) from which the information described at 42 CFR Section 164.514(b)(2)(i) has been deleted, except that the geographic information described in 42 CFR Section 164.514(b)(2)(i)(B) need only be aggregated to the level of a five-digit ZIP code.

A.4 Permitted and Required Uses and Disclosure of PHI for Plan Administration Purposes

Unless otherwise permitted by law, and subject to the conditions of disclosure described in Section A.5 and obtaining written certification pursuant to Section A.7, the Plan may disclose PHI to the Employer, provided that the Employer uses or discloses such PHI only for Plan administration purposes. "Plan administration purposes" means administration functions

performed by the Employer on behalf of the Plan, such as quality assurance, claims processing, auditing, and monitoring. Plan administration functions do not include functions performed by the Employer in connection with any other benefit or benefit plan of the Employer, and they do not include any employment-related functions.

Notwithstanding the provisions of this Plan to the contrary, in no event will the Employer be permitted to use or disclose PHI in a manner that is inconsistent with 45 CFR Section 164.504(f).

A.5 Conditions of Disclosure for Plan Administration Purposes

The Employer agrees that with respect to any PHI (other than enrollment/disenrollment information and Summary Health Information, which are not subject to these restrictions) disclosed to it by the Plan, the Employer will:

- not use or further disclose the PHI other than as permitted or required by the Plan or as required by law;
- ensure that any agent, including a subcontractor, to whom it provides PHI received from the Plan agrees to the same restrictions and conditions that apply to the Employer with respect to PHI;
- not use or disclose the PHI for employment-related actions and decisions or in connection with any other benefit or employee benefit plan of the Employer;
- report to the Plan any use or disclosure of the information that is inconsistent with the uses or disclosures provided for of which it becomes aware;
- make available PHI to comply with HIPAA's right to access in accordance with 45 CFR Section 164.524;
- make available PHI for amendment and incorporate any amendments to PHI in accordance with 45 CFR Section 164.526;
- make available the information required to provide an accounting of disclosures in accordance with 45 CFR Section 164.528;
- make its internal practices, books, and records relating to the use and disclosure of PHI received from the Plan available to the Secretary of Health and Human Services for purposes of determining compliance by the Plan with HIPAA's privacy requirements;
- if feasible, return or destroy all PHI received from the Plan that the Employer still maintains in any form and retain no copies of such information when no longer needed for the purpose for which disclosure was made, except that, if such return or destruction is not feasible, limit further uses and disclosures to those purposes that make the return or destruction of the information infeasible; and
- ensure that the adequate separation between the Plan and the Employer (i.e., the "firewall"), required in 45 CFR Section 504(f)(2)(iii) is satisfied.

The Employer further agrees that if it creates, receives, maintains, or transmits any electronic PHI (other than enrollment/disenrollment information and Summary Health Information, which are not subject to these restrictions) on behalf of the Plan, it will implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality,

integrity, and availability of the electronic PHI, and it will ensure that any agents (including subcontractors) to whom it provides such electronic PHI agree to implement reasonable and appropriate security measures to protect the information. The Employer will report to the Plan any security incident of which it becomes aware.

A.6 Adequate Separation Between Plan and Employer

The Employer will allow the following persons access to PHI: Director of Finance, Accounting Manager, Senior Accountant, Accountant, the Plan Administrator, and any other Employee who needs access to PHI in order to perform Plan administration functions that the Employer performs for the Plan (such as quality assurance, claims processing, auditing, and monitoring). No other persons will have access to PHI. These specified employees (or classes of employees) will only have access to and use PHI to the extent necessary to perform the plan administration functions that the Employer performs for the Plan. In the event that any of these specified employees does not comply with the provisions of this Section, that employee will be subject to disciplinary action by the Employer for non-compliance pursuant to the Employer's employee discipline and termination procedures.

The Employer will ensure that the provisions of this Section A.6 are supported by reasonable and appropriate security measures to the extent that the designees have access to electronic PHI.

A.7 Certification of Plan Sponsor

The Plan will disclose PHI to the Employer only upon the receipt of a certification by the Employer that the Plan incorporates the provisions of 45 CFR Section 164.504(f)(2)(ii), and that the Employer agrees to the conditions of disclosure set forth in Section A.5. Execution of the Plan by the Employer will serve as the required certification.

A.8 Privacy Official

The Employer will designate a Privacy Official, who will be responsible for the Plan's compliance with HIPAA. The Privacy Official may contract with or otherwise utilize the services of attorneys, accountants, brokers, consultants, or other third party experts as the Privacy Official deems necessary or advisable. In addition and notwithstanding any provision of this Plan to the contrary, the Privacy Official will have the authority to and be responsible for:

- accepting and verifying the accuracy and completeness of any certification provided by the Employer under this Appendix;
- transmitting the certification to any third parties as may be necessary to permit them to disclose PHI to the Employer;
- establishing and implementing policies and procedures with respect to PHI that are designed to ensure compliance by the Plan with the requirements of HIPAA;
- establishing and overseeing proper training of personnel who will have access to PHI; and
- any other duty or responsibility that the Privacy Official, in his or her sole capacity, deems necessary or appropriate to comply with the provisions of HIPAA and the purposes of this Appendix A.

A.9 Interpretation and Limited Applicability

This Appendix serves the sole purpose of complying with the requirements of HIPAA and will be interpreted and construed in a manner to effectuate this purpose. Neither this Appendix nor the duties, powers, responsibilities, and obligations listed herein will be taken into account in determining the amount or nature of the benefits provided to any person covered under the Plan, nor will they inure to the benefit of any third parties. To the extent that any of the provisions of this Appendix A are no longer required by HIPAA or do not apply to the Plan because the Plan is otherwise excepted from HIPAA, they will be deemed deleted and will have no force or effect.

A.10 Service Performed for the Employer

Notwithstanding any other provisions of this Plan to the contrary, all services performed by a business associate for the Plan in accordance with the applicable service agreement will be deemed to be performed on behalf of the Plan and subject to the administrative simplification provisions of HIPAA contained in 45 C.F.R. Parts 160 through 164, except services that relate to eligibility and enrollment in the Plan. If a business associate of the Plan performs any services that relate to eligibility and enrollment in the Plan, these services will be deemed to be performed on behalf of the Employer in its capacity as Plan Sponsor and not on behalf of the Plan.

**Commission Chair**

Supervisor Richard Valle, District 2

Commission Vice ChairMayor Pauline Cutter,
City of San Leandro**AC Transit**

Board President Elsa Ortiz

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

Director Rebecca Saltzman

City of Alameda

Mayor Trish Spencer

City of Albany

Councilmember Peter Maass

City of Berkeley

Mayor Jesse Arreguin

City of Dublin

Mayor David Haubert

City of Emeryville

Mayor John Bauters

City of Fremont

Mayor Lily Mei

City of Hayward

Mayor Barbara Halliday

City of Livermore

Mayor John Marchand

City of Newark

Councilmember Luis Freitas

City of OaklandCouncilmember At-Large
Rebecca Kaplan
Councilmember Dan Kalb**City of Piedmont**

Vice Mayor Teddy Gray King

City of Pleasanton

Mayor Jerry Thorne

City of Union City

Mayor Carol Dutra-Vernaci

Executive Director

Arthur L. Dao

ALAMEDA COUNTY TRANSPORTATION COMMISSION**RESOLUTION 18-008****Amending the Health Reimbursement Arrangement for Retirees of the
Alameda County Transportation Commission**

Whereas, Alameda County Transportation Commission ("Alameda CTC") adopted the Alameda County Transportation Commission Retiree Health Reimbursement Arrangement ("Retiree HRA"), effective February 1, 2012;

Whereas, the Retiree HRA was designed to reimburse eligible retirees and their eligible surviving beneficiaries for all or some portion of their CalPERS Health premium costs;

Whereas, to be eligible for retiree health coverage under the original Retiree HRA, a retiree must be vested with at least 10 years of California Public Employees' Retirement System (CalPERS) credited service, five of which must be for employment with Alameda CTC or its predecessor agencies;

Whereas, Alameda CTC adopted an amended Retiree HRA, effective January 2015, thereby allowing retirees with at least 25 years of CalPERS credited service, including at least two years with Alameda CTC or its predecessor agencies, to be eligible for retiree health coverage;

Whereas, the term "CalPERS credited service" as used in the HRA Plan document is ambiguous, leading to potential confusion and inconsistency in application; and

Whereas, Alameda CTC's governing Body ("Commission") has determined it to be in the best interest of the Alameda CTC to amend the Retiree HRA to include a specific definition of the term "CalPERS Credited Service" to match the intent at the time when the Retiree HRA was initially adopted and subsequently amended.

Now, Therefore, Be It Resolved by the Commission of the Alameda CTC as follows:

A. Amendment of Health Reimbursement Arrangement

Section 1. Effective January 1, 2019, the Commission hereby amends the Alameda County Transportation Commission Retiree Health Reimbursement Arrangement, substantially in the form attached as Exhibit A, to add a definition of the term "CalPERS Credited Service" in Article II, to reflect its use in the Retiree HRA document as originally intended, as follows:

"CalPERS Credited Service" means the equivalent to all service that CalPERS would take into account when determining eligibility for pension benefits, including purchased years of service and years of service in a public agency retirement plan which has a reciprocal arrangement with CalPERS, in addition to service with Alameda CTC or other CalPERS member agencies.

DULY PASSED AND ADOPTED by the Alameda County Transportation Commission at the regular meeting of the Commission held on Thursday, December 6, 2018 in Oakland, California, by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

Richard Valle
Chair, Alameda CTC

Vanessa Lee
Clerk of the Commission



Memorandum

6.9

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Ashley Tam, Associate Transportation Engineer
Liz Rutman, Director of Express Lanes Implementation and Operations

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

Recommendation

This item is to provide the Commission with an update on the operation of the I-580 Express Lanes. This item is for information only.

Summary

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

The September 2018 operations report indicates that the express lane facility continues to provide travel time savings and travel reliability throughout the day. Express lane users typically experienced higher speeds and lesser average lane densities than the general purpose lanes, resulting in a more comfortable drive and travel time savings for express lane users.

Background

The I-580 Express Lanes, extending from Hacienda Drive to Greenville Road in the eastbound direction and from Greenville Road to the I-680 Interchange in the westbound direction, were opened to traffic on February 19th and 22nd of 2016 in the eastbound and westbound directions, respectively. Motorists using the I-580 Express Lanes facility benefit from travel time savings and travel reliability as the express lanes optimize the corridor capacity by providing a new choice to drivers. Single occupancy vehicles (SOVs) may choose to pay a toll and travel within the express lanes, while carpools, clean-air vehicles, motorcycles, and transit vehicles enjoy the benefits of toll-free travel in the express lanes.

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

September 2018 Operations Update:

Over 670,000 express lane trips were recorded during operational hours in September, an average of approximately 35,300 daily trips. Table 1 presents the breakdown of trips based on toll classification and direction of travel. Pursuant to the Commission-adopted "Ordinance for Administration of Tolls and Enforcement of Toll Violations for the I-580 Express Lanes," if a vehicle uses the express lanes without a valid FasTrak® toll tag then the license plate read by the Electronic Tolling System is used to assess a toll either by means of an existing FasTrak account to which the license plate is registered or by issuing a notice of toll evasion violation to the registered vehicle owner. Approximately 60 percent of all trips by users without a toll tag are assessed tolls via FasTrak account.

Table 1. Express Lane Trips by Type and Direction

| Trip Classification | | Percent of Trips ¹ |
|---------------------|---------------------------------------|-------------------------------|
| | | September |
| By Type | HOV-eligible with FasTrak flex tag | 45% |
| | SOV with FasTrak standard or flex tag | 35% |
| | No valid toll tag in vehicle | 20% |
| By Direction | Westbound | 47% |
| | Eastbound | 53% |

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

Express lane users typically experience higher speeds and lesser lane densities than the general purpose lanes. Lane density is measured by the number of vehicles per mile per lane and reported as Level of Service (LOS). LOS is a measure of freeway performance based on vehicle maneuverability and driver comfort levels, graded on a scale of A (best) through F (worst).

Attachment B presents the speed and density heat maps for the I-580 corridor during revenue hours for the six-month period from April 2018 – September 2018. These heat maps are a graphical representation of the overall condition of the corridor, showing the average speeds and densities along the express lane corridor and throughout the day for both the express and general purpose lanes, and are used to evaluate whether the express lane is meeting both federal and state performance standards. During these six months, the average speeds at each traffic sensor location in the westbound express

lane ranged from 55 to 70 mph during the morning commute hours (5 am to 11 am) with the lower speeds occurring between Isabel Avenue and Hacienda Road. The express lane operated at LOS C or better at most times, with a 90-minute period of LOS D experienced near Fallon Road and a 30-minute period of LOS D experienced near Isabel Ave in the morning commutes. By comparison, the general purpose lanes experienced average speeds as low as 45 mph and LOS D throughout longer sections of the corridor. During the evening commute, a small period of westbound reverse-commute congestion between Hacienda Road and San Ramon Road is observed from 4 pm to 6 pm, though the express lane continued to operate at LOS B or better during this time. Outside of the commute hours, westbound express lane users experience average speeds of 70 mph or higher and average LOS A.

In the eastbound direction, average express lane speeds from April 2018 through September 2018 ranged from 20 to 70 mph during the evening commute hours (2 pm – 7 pm) with the lowest speeds occurring at the eastern terminus of the express lanes, between Vasco Road and Greenville Road. Average express lane speeds throughout the rest of the day exceeded 70 mph. Most of the express lane corridor operates at LOS C or better during the evening commute hours, with limited sections of degraded LOS at the western end of the express lanes between 3 pm and 6 pm and at the eastern terminus between 3 pm and 7 pm. The express lanes averaged LOS B or better throughout the rest of the day in all locations. By comparison, the general purpose lanes experienced lower speeds and degraded levels of services for longer periods of time than the express lanes during the evening commute hours.

Table 2 presents the maximum posted toll rates to travel the entire corridor in each direction in September 2018, along with the average toll assessed to toll-paying users.

Table 2. Toll Rate Data

| Month | Direction | Maximum Posted Toll (Travel Entire Corridor) | Average Assessed ¹ Toll (All Toll Trips) |
|-----------|-----------|---|--|
| September | Westbound | \$13.00 (6 of 19 days) | \$2.88 |
| | Eastbound | \$12.00 (14 of 19 days) | \$3.65 |

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

Through September of Fiscal Year 2018-19, the I-580 Express Lanes recorded almost 2.25 million total trips. Total gross revenues received include \$3.9 million in toll revenues and \$820,000 in violation fees and penalties.

Fiscal Impact: There is no fiscal impact associated with the requested action.

Attachments:

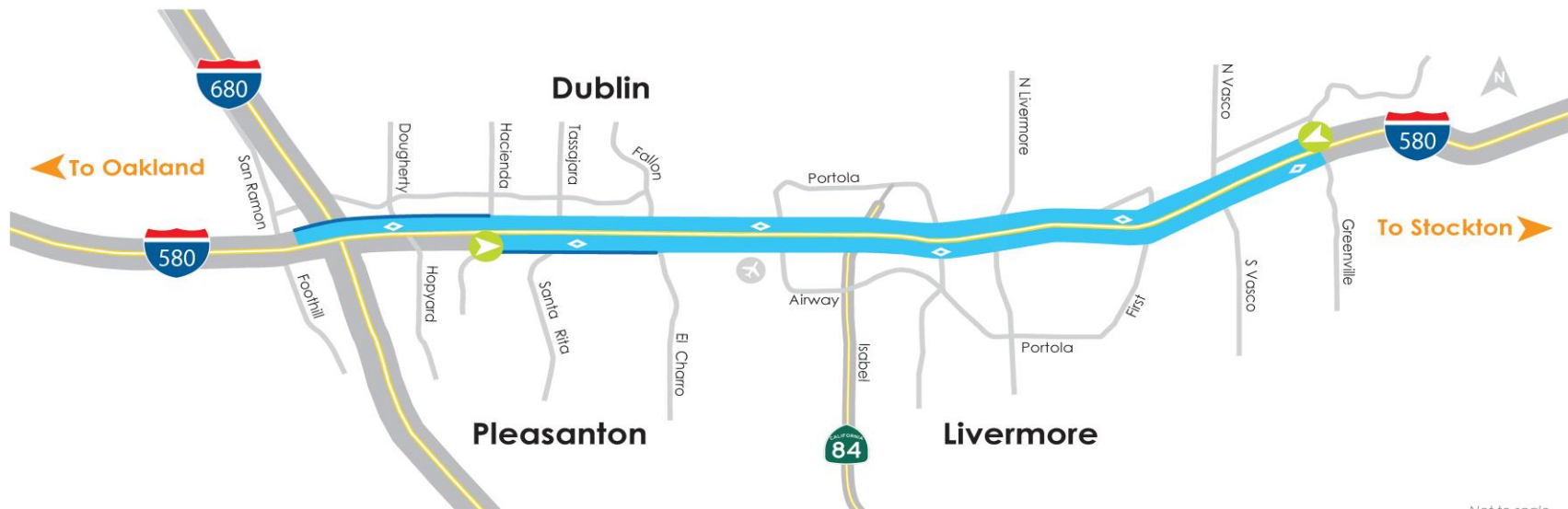
- A. I-580 Express Lanes Location Map
- B. I-580 Corridor Express Lanes Heat Maps April 2018 – September 2018

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I-580 Express Lanes Project Location Map

6.9A



Not to scale



Two Eastbound Express Lanes

Lanes begin at Hacienda



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

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



One Westbound Express Lane

Lane begins at Greenville



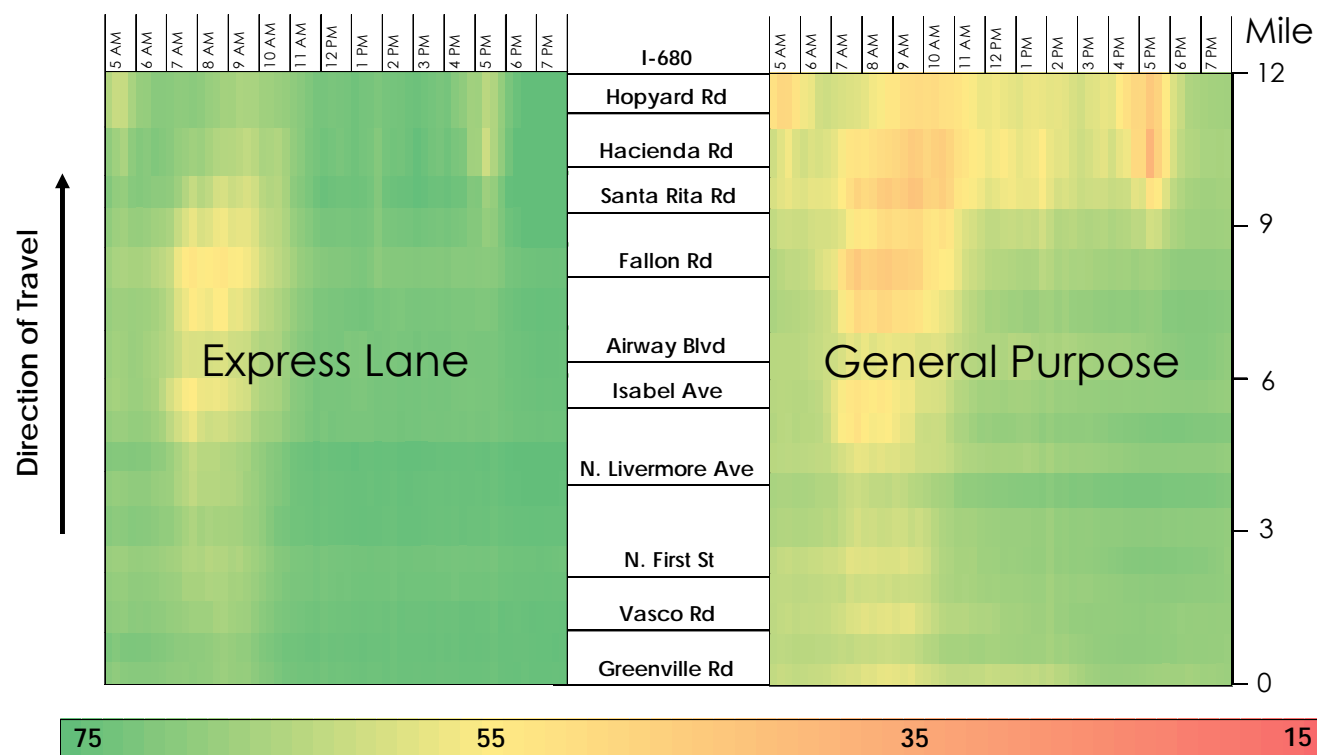
No entry/exit from westbound express lane from Hacienda to end.

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

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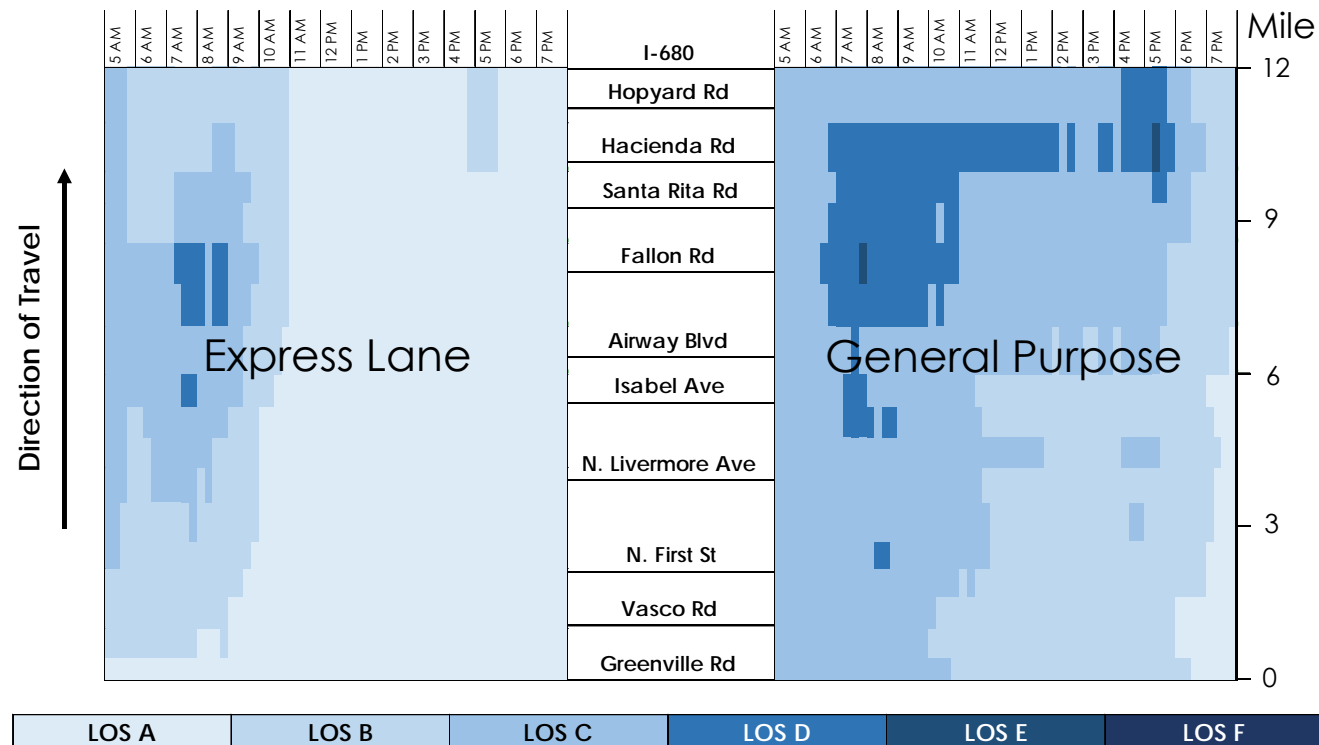
Westbound I-580 Corridor Speed Heat Maps

Monday-Friday, April 2018 – September 2018



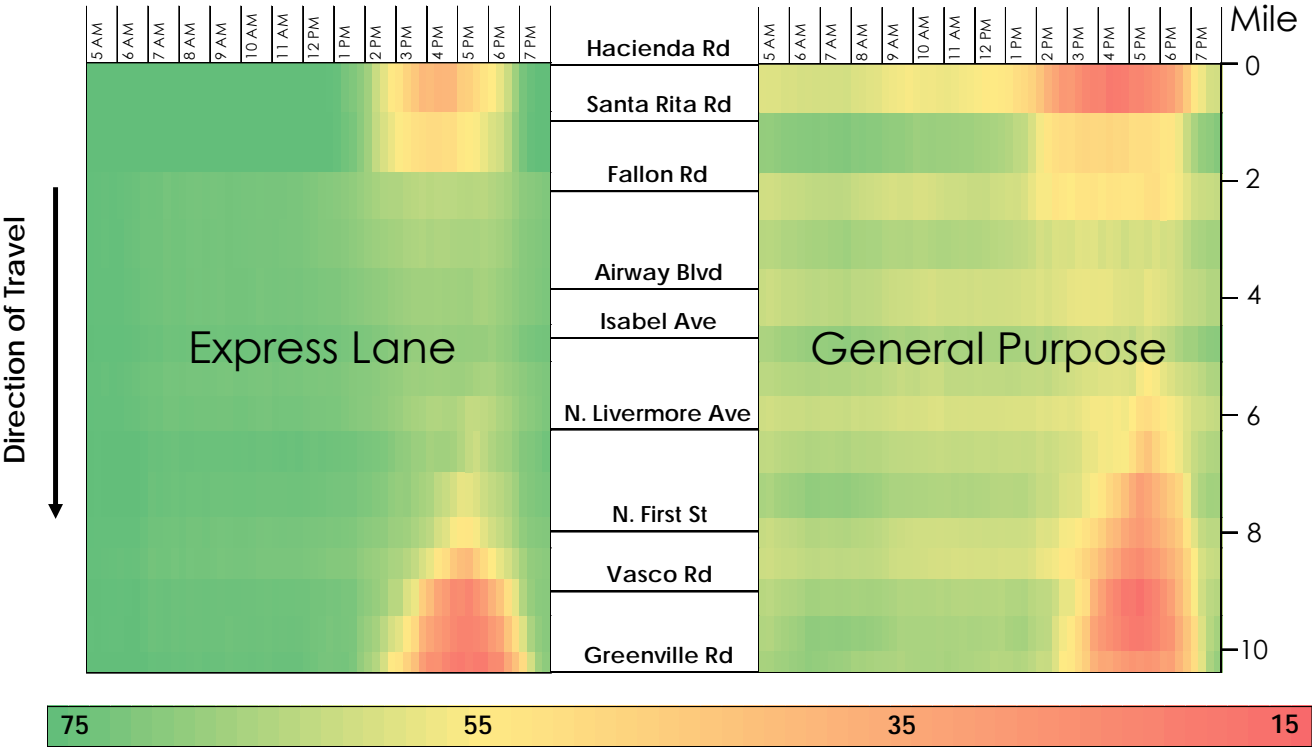
Westbound I-580 Corridor Density Heat Maps

Monday-Friday, April 2018 – September 2018



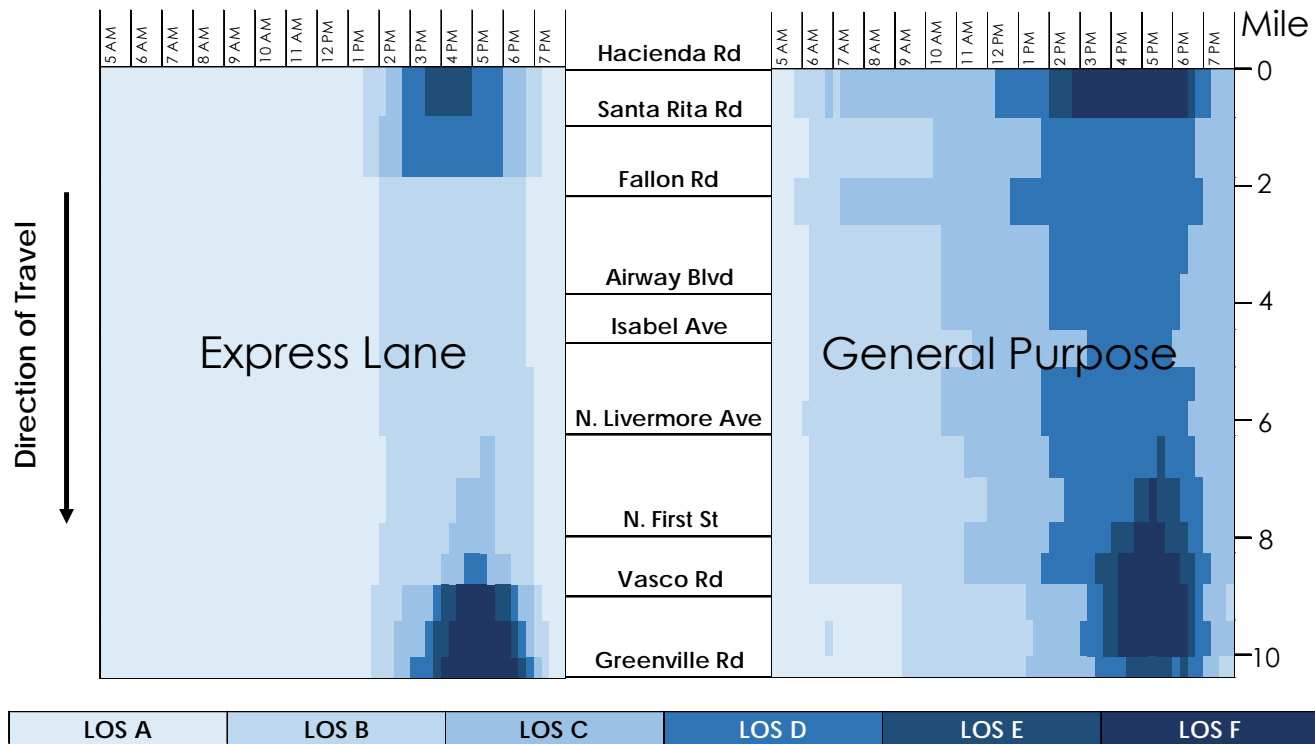
Eastbound I-580 Corridor Speed Heat Maps

Monday-Friday, April 2018 – September 2018



Eastbound I-580 Corridor Density Heat Maps

Monday-Friday, April 2018 – September 2018





Memorandum

6.10

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Saravana Suthanthira, Principal Transportation Planner
Chris G. Marks, Associate Transportation Planner

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

Recommendation

This item is provide the Commission with an update on the summary of Alameda CTC's review and comments on Environmental Documents and General Plan Amendments. This item is for information only.

Summary

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

Since the last update on October 8, 2018, the Alameda CTC reviewed one NOP. A response was submitted and is included as Attachment A.

Fiscal Impact: There is no fiscal impact associated with the requested action.

Attachment:

- A. Response to the Notice of Preparation of a Supplemental Environmental Impact Report (SEIR) for the Brooklyn Basin Project in Oakland

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October 17, 2018

Catherine Payne
Acting Development Planning Manager
City of Oakland Bureau of Planning
250 Frank H. Ogawa Plaza, Suite 2214
Oakland, CA, 94612

SUBJECT: Response to the Notice of Preparation (NOP) of a Supplemental Environmental Impact Report (SEIR) for the Brooklyn Basin Project in Oakland

Dear Ms. Payne,

Thank you for the opportunity to comment on the Notice of Preparation (NOP) of the Supplemental Environmental Impact Report (SEIR) for the Brooklyn Basin Project. The project site is located in Oakland along the Brooklyn Basin. The project site is approximately 72.2 acres, 64.2 of which are on land and eight submerged. The site is bordered by Embarcadero Road to the North, the Oakland Estuary to the South, Fallon Street to the West, and 10th Avenue to the East. The Alameda County Congestion Management Agency, now the Alameda County Transportation Commission, commented on the Draft Environmental Impact Report for the project for this site (the Oak to Ninth Mixed Use Development Project) on October 24, 2005. The Oak to Ninth project included up to 3,100 residential units, 200,000 square feet of commercial space, 3,500 structured parking spaces, approximately 27 acres of public open space, two renovated marinas, and a wetlands restoration area. The proposed modifications to the approved project would include an additional 600 residential units, for a total of 3,700 residential units. Additionally, the proposed modifications amend the approved marina renovation to include up to 158 additional slips, for a total of 218 slips, as well as a landing dock for an existing water taxi and small-scale ferry service.

The Alameda County Transportation Commission (Alameda CTC) respectfully submits the following comments:

Basis for Congestion Management Program (CMP) Review

- It appears that the proposed project will generate at least 100 p.m. peak hour trips over existing conditions, and therefore the CMP Land Use Analysis Program requires the City to conduct a transportation impact analysis of the project. For information on the CMP, please visit: http://www.alamedactc.org/app_pages/view/5224

Use of Countywide Travel Demand Model

- The Alameda Countywide Travel Demand Model should be used for CMP Land Use Analysis purposes. The CMP requires local jurisdictions to conduct travel model runs themselves or through a consultant. The City of Oakland and the Alameda CTC signed a Countywide Model Agreement on May 28, 2008. Before the model can be used for this project, a letter must be

submitted to the Alameda CTC requesting use of the model and describing the project. A copy of a sample letter agreement is available upon request. The most current version of the Alameda CTC Countywide Travel Demand Model was updated in June 2018 to be consistent with the assumptions of Plan Bay Area 2040.

Impacts

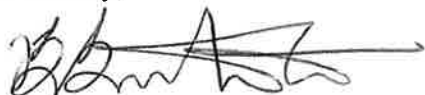
- The SEIR should address all potential impacts of the project on the Metropolitan Transportation System (MTS) roadway network.
 - MTS roadway facilities in the project area include
 - In Oakland, East 8th Street, Harrison St, Webster St, and I-880
 - For the purposes of CMP Land Use Analysis, the Highway Capacity Manual 2010 freeway and urban streets methodologies are the preferred methodologies to study vehicle delay impacts.
 - The Alameda CTC has *not* adopted any policy for determining a threshold of significance for Level of Service for the Land Use Analysis Program of the CMP. Professional judgment should be applied to determine the significance of project impacts (Please see Chapter 6 of the 2017 CMP for more information).
- The SEIR should address potential impacts of the project on Metropolitan Transportation System (MTS) transit operators.
 - MTS transit operators potentially affected by the project include AC Transit and BART.
 - Transit impacts for consideration include the effects of project vehicle traffic on mixed flow transit operations, transit capacity, transit access/egress, need for future transit service, and consistency with adopted plans. See Appendix J of the 2017 CMP document for more details.
- The SEIR should address potential impacts of the project to cyclists on the Countywide Bicycle Network.
 - Countywide bicycle facilities in the project area include:
 - The East Bay Greenway
 - The Bay Trail
 - Impacts to consider on conditions for cyclists include effects of vehicle traffic on cyclist safety and performance, site development and roadway improvements, and consistency with adopted plans. See Appendix J of the 2017 CMP document for more details.
- The SEIR should address potential impacts of the project to pedestrians in Pedestrian Plan Areas of Countywide Significance as defined by the Countywide Pedestrian Plan.
 - The Project overlaps with two Areas of Countywide Pedestrian Significance:
 - The site is located within a ½ mile of a transit corridor
 - Proximity to the Oakland Central Business District and Laney College
 - Impacts to consider on conditions for pedestrians include effects of vehicle traffic on pedestrian access and safety, site development and roadway improvements, and consistency with adopted plans. See Appendix J of the 2017 CMP document for more details.

Mitigation Measures

- Alameda CTC's policy regarding mitigation measures is that to be considered adequate they must be:
 - Adequate to sustain CMP roadway and transit service standards;
 - Fully funded; and
 - Consistent with project funding priorities established in the Capital Improvement Program of the CMP, the Countywide Transportation Plan (CTP), and the Regional Transportation Plan (RTP) or the Federal Transportation Improvement Program, if the agency relies on state or federal funds programmed by Alameda CTC.
- The SEIR should discuss the adequacy of proposed mitigation measure according to the criteria above. In particular, the SEIR should detail when proposed roadway or transit route improvements are expected to be completed, how they will be funded, and the effect on service standards if only the funded portions of these mitigation measures are built prior to Project completion. The SEIR should also address the issue of transit funding as a mitigation measure in the context of the Alameda CTC mitigation measure criteria discussed above.
- Jurisdictions are encouraged to discuss multimodal tradeoffs associated with mitigation measures that involve changes in roadway geometry, intersection control, or other changes to the transportation network. This analysis should identify impacts to automobiles, transit, bicyclists, and pedestrians. The HCM 2010 MMLOS methodology is encouraged as a tool to evaluate these tradeoffs, but project sponsors may use other methodologies as appropriate for particular contexts or types of mitigations.
- The SEIR should consider the use of TDM measures, in conjunction with roadway and transit improvements, as a means of attaining acceptable levels of service. Whenever possible, mechanisms that encourage ridesharing, flextime, transit, bicycling, telecommuting and other means of reducing peak hour traffic trips should be considered. The Alameda CTC CMP Menu of TDM Measures and TDM Checklist may be useful during the review of the development proposal and analysis of TDM mitigation measures (See Appendices F and G of the 2017 CMP).

Thank you for the opportunity to comment on this NOP. Please contact me at (510) 208-7426 or Chris G. Marks, Associate Transportation Planner at (510) 208-7453, if you have any questions.

Sincerely,



Saravana Suthanthira
Principal Transportation Planner

cc: Chris G. Marks, Associate Transportation Planner

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Memorandum

6.11

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Tess Lengyel, Deputy Executive Director of Planning and Policy
Cathleen Sullivan, Principal Planner

SUBJECT: Approve Affordable Student Transit Pass Program Year Two
Evaluation and Recommendations for Program Continuation

Recommendation

The item includes updates on Year Three of the Affordable Student Transit Pass Pilot (STPP), the Year Two Evaluation Report and approval of a work plan to implement a 5-year expansion of the STPP.

Summary

The Alameda CTC has undertaken the development, implementation, and evaluation of an Affordable Student Transit Pass Pilot (STPP) to assess student transportation needs in the county and develop an approach to meet those needs through implementation and testing of different student transit pass program models across Alameda County. This three-year pilot to increase youth transportation access to school is identified in the 2014 Transportation Expenditure Plan (TEP) and funded by Measure BB.

The pilot provides transit passes to students in selected schools in each of Alameda County's planning areas for use on AC Transit, LAVTA Wheels, Union City Transit, and BART. In the spring of 2016, the Commission approved a framework for evaluating the pilot program including 18 qualitative and quantitative metrics, a site selection framework, a shortlist of schools for the pilot period, and the design for Year One of the pilot. Since then, with Commission approval, Alameda CTC has successfully implemented and evaluated Years One and Two of the pilot and launched Year Three.

The STPP began at nine schools in four Alameda County school districts – Oakland Unified School District (USD), San Leandro USD, New Haven USD (Union City), and Livermore Valley Joint USD – and has since expanded to include Hayward USD, Newark USD, and Fremont USD. In this third and final year, the STPP is being implemented in 21 schools in these seven school districts across the county.

In February 2018, the Commission received an update on Year Two and approved parameters and schools for Year Three, the final year of the pilot program. At the same meeting, and as a result of the effective implementation and evaluation of the Affordable Student Transit Pass Pilot (STPP), the Alameda CTC Commission expressed support for continuation and expansion of the program beyond the pilot period, which ends July 31, 2019.

This memorandum includes a summary of the evaluation of Year Two of the STPP, an update on Year Three implementation, and a framework and recommendations for the continuation of the STPP beyond the three year pilot period including the following program components: program model, ridership demand/capacity considerations, cost structure, funding/fiscal sustainability, and governance and administration.

The recommendation seeks approval for a five year phased expansion, including Phase 1 in the 2019/20 school year, and the timing of future phases to be determined based on close monitoring of implementation of Phase 1. Staff will continue to evaluate the benefits and impacts of the program using a streamlined set of evaluation criteria. To develop these recommendations, staff has closely coordinated with transit agency staff and utilized lessons learned from implementation of the STPP, outcomes of the evaluation efforts to date, and lessons from peer programs.

Background

Overall Program Design

The Alameda CTC has undertaken the development, implementation, and evaluation of an Affordable Student Transit Pass Pilot (STPP) to assess student transportation needs in the county and develop an approach to meet those needs through implementation and testing of different student transit pass program models across Alameda County. This pilot program is identified in the 2014 Transportation Expenditure Plan (TEP) and is funded by Measure BB. The three-year STPP ends July 31, 2019.

The adopted program goals are:

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

In the spring of 2016, the Commission approved a framework for evaluating the pilot program, a site selection framework, a shortlist of schools for the pilot period, and the design for Year One of the pilot. Since then, under direction of the Commission, Alameda CTC has successfully implemented and evaluated Years One and Two of the pilot and launched Year Three.

The pilot provides transit passes to students in selected schools for use on AC Transit, LAVTA Wheels, Union City Transit, and BART. The STPP is currently being implemented in 21 schools and seven school districts across the county. It began in four Alameda County school districts – Oakland Unified School District (USD), San Leandro USD, New Haven USD (Union City/ Hayward), and Livermore Valley Joint USD – spanning all of Alameda County's planning areas. Since the first year, three additional districts have joined the program, Hayward USD, Newark USD, and Fremont USD.

Year Two Evaluation

The year two evaluation report reinforces findings from the Year One evaluation report that the program is fulfilling the goals it set out to accomplish by improving transportation access to school and broadening student options for travel in general, as well as building support for transit. Top-level findings include:

- Overall participation in the program more than doubled to over 6,600 students, representing nearly half of eligible students (Year One had just under 3,000 students, representing 36% of eligible students).
- During Year Two, the program facilitated nearly 900,000 transit boardings on the three bus operators. Based on available data, it appears that ridership generated by the STPP has supported growth and stabilization of transit ridership levels in several areas and to date there have been no reports of the pilot creating new over-crowding issues on buses.
- Participation and transit usage rates still vary throughout the county, generally correlated with financial need and transit availability.
- The program continues to support students' ability to participate in extra-curricular activities, including jobs, sports, and volunteer commitments.
- The STPP provides important financial support for families, over 60% of students reported that the savings provided by the pass was critical or helpful.
- School staff, families, and students have indicated that the transit pass is a critical tool in helping students who have attendance challenges and at risk families.
- The program model changes and administrative/implementation refinements implemented in Year Two were successful; they have simplified the program which has reduced administrative burden for all parties and increased access to the program for students and families.
- The addition of BART tickets to the program this year revealed demand for BART among participants; however significant challenges exist with pass format, administering ticket inventory, and unused fare value.

A summary of schools, models and participation in Year 2 is shown in Table 1. See Attachment A for the Executive Summary of the Year Two Evaluation Report which includes all key findings. The full evaluation report can be found here:

<https://www.alamedactc.org/studentpass>.

Table 1 **Year Two Participation (July 2018)**

| Planning Area | School District | Participating Schools | Program Model | Number of Eligible Students | Number of Participants | Year-End Participation Rate |
|---------------|----------------------------|---|-------------------|-----------------------------|------------------------|-----------------------------|
| North | Oakland USD | <ul style="list-style-type: none"> Castlemont HS Fremont HS Frick MS McClymonds HS Westlake MS | Free/ Universal | 2,706 | 2,543 | 94% |
| Central | San Leandro USD | <ul style="list-style-type: none"> San Leandro HS John Muir MS | Free/ Universal | 3,609 | 1,787 | 50% |
| | Hayward USD | <ul style="list-style-type: none"> Hayward HS Bret Harte MS | Means-Based/ Free | 1,598 | 497 | 31% |
| South | New Haven USD | <ul style="list-style-type: none"> Cesar Chavez MS James Logan HS | Means-Based/ Free | 2,581 | 841 | 33% |
| East | Livermore Valley Joint USD | <ul style="list-style-type: none"> East Avenue MS Christensen MS Livermore HS Del Valle HS | Free/ Universal | 3,416 | 960 | 28% |
| Total | 5 Districts | 15 schools | 2 models | 13,910 | 6,628 | 48% |

Pilot Program Budget

The three-year Affordable Student Transit Pass Program has a maximum budget of \$15 million to cover all costs associated with the program, including all costs related to transit passes, administration, staffing, direct costs, education and outreach to schools, and student travel training. With the expansion that is underway in Year Three, the program is already seeing a significant increase in participation compared to Year Two and expenditures in Year 3 are anticipated to be higher than previous years due to increased participation and requisite management of the passes. Any funds remaining at the end of the pilot period will be used to manage the development of the long-term program model and the transition between the pilot and a long-term program, and to apply for grants and other funding sources.

Year Three Update

The third year of the pilot was successfully launched in August 2018. The STPP continues to test two successful program models – Free/Universal and Means-based/Free; no program model changes were made at any school between Years Two and Three. In Year Three, the STPP expanded to include six new schools and two new school districts, bringing the total to 21 schools in 7 school districts. As of October 2018, participation has

surpassed past years with nearly 11,000 participants, representing 57% of eligible students.

Table 2 shows a summary of Year Three participation as of October 2018. Alameda CTC updates school enrollment and FRPM tables annually which explains differences between Year 2 and 3 eligible students.

Table 2 Year Three Participation (October 2018)

| Planning Area | School District | Participating Schools | Program Model | Number of Eligible Students | Number of Participants | Participation Rate (Oct 2018) |
|---------------|----------------------------|---|-------------------|-----------------------------|------------------------|-------------------------------|
| North | Oakland USD | <ul style="list-style-type: none"> • Frick MS • Westlake MS • Roosevelt MS • Castlemont HS • Fremont HS • McClymonds HS • Oakland HS | Free/ Universal | 5,112 | 4,824 | 94% |
| Central | San Leandro USD | <ul style="list-style-type: none"> • San Leandro HS • John Muir MS | Free/ Universal | 3,578 | 2,285 | 64% |
| | Hayward USD | <ul style="list-style-type: none"> • Hayward HS • Bret Harte MS | Means-Based/ Free | 1,558 | 653 | 42% |
| South | Newark USD | <ul style="list-style-type: none"> • Newark JHS • Newark Memorial MS | Free/ Universal | 2,604 | 466 | 18% |
| | New Haven USD | <ul style="list-style-type: none"> • Cesar Chavez MS • James Logan HS | Means-Based/ Free | 2,503 | 1,141 | 46% |
| | Fremont USD | <ul style="list-style-type: none"> • Hopkins MS • American HS | Means-Based/ Free | 485 | 147 | 30% |
| East | Livermore Valley Joint USD | <ul style="list-style-type: none"> • East Avenue MS • Christensen MS • Livermore HS • Del Valle HS | Free/ Universal | 3,174 | 1,410 | 44% |
| Total | 7 Districts | 21 schools | | 19,014 | 10,926 | 57% |

Expansion Plan

As a result of the effective implementation and evaluation of the STPP to date, in February 2018, the Commission expressed support for continuation and expansion of the program beyond the pilot period, which ends July 31, 2019. This resulted in development of the following for consideration in program expansion:

- Program model
- Ridership demand/capacity considerations
- Cost structure
- Governance and administration
- Funding/fiscal sustainability

This section outlines the overall principles and recommended plan for expansion of a student transit pass program in Alameda County.

Key Expansion Principles

- **Continue program in all currently participating schools:** Significant effort has been made during the pilot period to contract with school districts and get schools on-boarded to the program. It is important to ensure continuity of access for students who are already participating in the program. Therefore, it is recommended that the program continue in all currently participating schools.
- **Maintain financial need as a key criterion for expansion:** Need has been used as a key criteria for schools to qualify for the pilot. Continuation of this criteria for expansion is recommended in order to reach those districts with the highest need first, and expand to lower need districts over the proposed phased implementation timeframe.
- **Focus on students at schools with transit service:** Approximately 10-15% of middle and high schools in Alameda County do not have any transit service within $\frac{1}{4}$ mile of the campus. Given the primary program goal of reducing barriers to transportation access *to and from schools*, it is recommended that this expansion focus on students at schools that are within $\frac{1}{4}$ mile of fixed route transit service. Additional schools could be considered in the future, funding permitting.
- **District-based expansion:**
 - Based on lessons learned to date, it is recommended that the program expand by school district to all eligible schools with transit service in a district. Offering passes as some schools but not others in a district has been a necessity during the pilot period to test program models in different parts of the county with limited resources; however, it has caused some complaints and confusion from the school districts and families. In addition, incorporating all middle and high schools with transit service in a district at one time would enable students to transfer seamlessly between schools without having to lose the transit pass which has benefits for students and families. This also simplifies data and pass management, as students

transfer between schools during the school year it will reduce the need to activate and deactivate passes.

- To avoid confusion and administrative complexity, it is also recommended that only one program model be implemented in each school district, so that eligibility rules are comparable between schools in a single district. (See below for more on program model recommendations.)
- **Phase expansion:** The STPP has been successful to date based on phasing expansion gradually over time. Staff recommends implementation of a phased expansion beyond the pilot period. Gradual phasing of expansion has proven to have several benefits:
 - It allows the team (Alameda CTC and the transit agencies) to learn as we go and readily apply those lessons as we expand, making changes each year to streamline program administration and improve the customer experience for students and schools.
 - Limiting the number of new districts per year ensures that all Districts and schools are on-boarded successfully and seamlessly into the program. Each school district has a unique set of rules and policies. During the pilot significant time has been spent with each new district orienting them to the overall program and to the specific protocols we have in place (e.g. privacy, data management, pass database management) and, in some cases, adapting policies and protocols to meet district requirements.
 - Gradual expansion has allowed the Alameda CTC to closely track budget and ensure that we can follow through on all commitments. Participation rates in this program are difficult to predict, as every school has different demographic, land use, socioeconomic, and cultural conditions, all of which have the potential to impact pass uptake and usage. The program evaluation has allowed Alameda CTC to have a much better understanding of likely participation rates, but predictors of future student engagement and use of the program are limited. Alameda CTC wants to ensure that funding resources are sufficient as we expand to avoid ever needing to roll back the program once implemented. Transit pass prices also change over time which can greatly impact program cost.
 - The program recommends transitioning to youth Clipper cards during Phase 1 (standard Clipper cards were used during the pilot due to limitations of the Clipper system and pass products that were readily available to get the program up and running quickly). This card transition is a major undertaking and implementing the transition at existing schools, prior to incorporating large new school districts will allow the transition to happen more seamlessly. Ramp up efforts will ideally take place during Year 3 for current and returning participants. Costs are included in the recommendation to address this transition. More information on the Youth Clipper transition and staffing can be found later in this memo.

Program Model

Two program models have proven successful during the pilot: a Free/Universal model where every student at a school has access to a free pass at schools with high shares of students with high financial need, and a Means-based/Free model where low-income students have access to a free pass, using the income eligibility framework used to qualify for free/reduced price meals (FRPM). Each model has pros and cons:

- The Free/Universal model has the advantage of maximizing student access and exposure to transit, regardless of income level, potentially attracting more new transit riders, but it allows participation by families who may not need the subsidy, and has a higher cost overall as more students are eligible to participate.
- The Means-based/Free model ensures that limited resources are directed to those students/families with the greatest need, but limits the program's ability to expose all students to the benefits of the program. In addition, at schools where a very high number of students qualify for FRPM, a means-based program may not make sense if it only excludes a very small portion of students.

Other considerations in selecting a program model are:

- Transit service capacity: In some areas of the county, routes serving schools are already heavily impacted, with buses at school bell times already at or over capacity.
- Lessons learned from peer programs: All other programs in the Bay Area and many others nationwide are income-based. The Marin Transit Youth Pass Program started as a Free/Universal program and scaled back to a means-based program due to capacity impacts.
- Cost: As described above, there is still uncertainty as to participation rates in different schools/district and therefore what the total program cost would be. Means-based programs are one way to limit costs.

Given all these considerations, staff recommends a largely Means-based/Free program except for those school districts with very high FRPM percentages. For initial phases, staff recommends that districts where 75% or more of students overall are eligible for FRPM would qualify for a Free/Universal program, while all other Districts would qualify for a Means-based/Free program. Exceptions can be made where significant transit service capacity exists and budgetary impacts can be mitigated in consultation with the transit agency. Table 3 summarizes the criteria for program expansion.

Table 3 **Summary of Criteria for Expansion**

| Criteria | Definition |
|--|--|
| Income/Need | The percent of students who qualify for Free and Reduced Priced Meals (FRPM) |
| Program Model | Free/Universal model in districts with $\geq 75\%$ FRPM on average district-wide Means-based/Free model in all other districts |
| Transit Service | Schools must be within $\frac{1}{4}$ mile of a bus route |
| Existing Transit Service Capacity | Discussions with transit agencies affected expansion plan to ensure that STPP does not overburden already at/over-capacity routes |
| Ease of Inclusion | Continue program at all currently participating schools and expand to full district in participating districts that have very few additional qualifying middle or high schools |
| Geographic Representation | Districts in every planning area will be included each year |

Recommended Phasing

Staff recommends an expansion plan that will incorporate all qualifying schools in Alameda County within two to four years and a list of districts for a Phase 1 expansion to take place during the 2019/20 school year. This will allow staff to continue to closely monitor participation rates, transit capacity issues, and costs as the program expands and come back to the Commission during the 2019/20 school year to get approval for Phase 2.

There are 19 school districts in Alameda County, sixteen of which qualify to participate in the program based on having at least one middle or high school with transit service within $\frac{1}{4}$ mile of campus.¹ At the end of the phased expansion, over 130 schools and approximately 85,000 students will have access to the program. Alameda CTC staff closely coordinated with participating STPP transit agencies, including LAVTA, Union City Transit, AC Transit to identify school districts and schools to be included Phase 1 to mitigate capacity and administrative impacts. BART is addressed in the following section.

¹ Albany USD, Sunol Glen USD, and Mountain House USD do not qualify due to no middle or high school with transit service within $\frac{1}{4}$ mile of campus.

Phase 1

The Phase 1 expansion is described below and shown in Table 4; this is based on the expansion criteria outlined above and balances geographic equity across planning areas. Participating schools in each District will be confirmed in consultation with school district staff and transit agency staff.

Expand to all schools in the following currently participating districts:

- **Hayward Unified School District (HUSD):** In HUSD, 70% of students qualify for FRPM, the fourth highest in the county. There are five middle schools, seven high schools and one combined school in HUSD with transit service, two of these schools are already participating in the pilot. Staff recommends expanding to all qualifying schools in Hayward USD under a Means-based/Free model in Phase 1 (up to 13 new schools).
- **Newark Unified School District (NUSD):** In NUSD, 49% of students qualify for FRPM. There is one middle school, one high school, and two small continuation/alternative high schools in NUSD with transit service, two of these schools are already participating in the pilot. Staff recommends expanding to all qualifying schools in Newark USD under a Means-based/Free model in Phase 1; this will require changing from the current Free/Universal model (up to 2 new schools).
- **New Haven Unified School District (NHUSD):** In NHUSD, 48% of students qualify for FRPM. There are two middle schools, one high school, and three small alternative/independent learning academies in NHUSD with transit service; two of these schools are already participating in the pilot. Staff recommends expanding to all qualifying schools in New Haven USD under a Means-based/Free model in Phase 1 (up to 4 new schools).
- **San Leandro Unified School District (SLUSD):** In SLUSD, 63% of students qualify FRPM. There are two middle schools and two high schools with transit service, two of these schools are already participating in the pilot. Staff recommends expanding to all qualifying schools in San Leandro USD under a Means-based/Free model in Phase I; this will require changing from the current Free/Universal model (up to 2 new schools).
- **Livermore Valley Joint Unified School District (LVJUSD):** In LVJUSD 21% of students qualify for FRPM; it is the lowest income district in the Tri-Valley. There are two middle schools, three high schools and one combined alternative school in LVJUSD that qualify, four of which are already participating in the pilot. LAVTA has spare capacity on the routes in Livermore and is interested in generating more ridership. LAVTA is willing to continue an eco-pass model to be adjusted over time based on usage rates. Staff recommends expanding to all qualifying schools in LVJUSD under a Free/Universal model in Phase 1 (up to 2 new schools).

Expand to some new schools in the following currently participating district:

- **Oakland Unified School District (OUSD):** In OUSD, 77% of students qualify for FRPM, second highest in the county. OUSD is the largest district in Alameda County with 53 middle and high schools, most of which have transit service. Seven OUSD schools are already participating in the pilot. Staff recommends continuing expansion to new OUSD schools, but to phase the expansion over multiple years due to the large number of schools in the district. Currently participating schools and up to ten new schools served by transit with over 90% of students who qualify for FRPM are recommended for inclusion in Phase 1 (up to 10 new schools).

Continue at currently participating schools in the following districts:

- **Alameda Unified School District (AUSD):** The City of Alameda started a free bus pass program at Island High School during the 2017/18 school year. Island High is a small continuation high school with 52% of students qualifying for FRPM. Staff recommends incorporating this school into the program so that only one transit pass program exists countywide and to allow this small program to take advantage of youth Clipper cards and other benefits offered by the countywide program. Staff recommends transitioning this program to a Means-based/Free model. (up to 1 new school)
- **Fremont Unified School District (FUSD):** Due to a low overall percentage of students qualifying for FRPM at 15%, staff recommends continuing the program at the current participating schools during Phase 1, and expanding to other Fremont USD schools in future phases. Continuing a Means-based/Free model is recommended for Fremont USD. (zero new schools)

Expand to these new districts:

- **Alameda County Office of Education (ACOE):** In ACOE, 80% of students qualify for FRPM, the highest in the county. There is one middle school, two high schools, and a combined school in ACOE. Staff recommends expanding to all qualifying schools in ACOE under a Free/Universal model in Phase 1 (up to 4 new schools).
- **Emery Unified School District (EUSD):** In EUSD, 76% of students qualify for FRPM, the third highest in the county. There is one middle and high school in Emeryville. Staff recommends expanding to all qualifying schools in EUSD under a Free/Universal model in Phase 1 (up to 2 new schools).

A summary of the Phase I expansion plan is shown in Table 4.

Table 4 Phase I Expansion Plan

| Planning Area | School District | Program Model | Existing vs. New Schools | MS vs. HS | # Qualifying Schools | # Students Enrolled 2017/18 | Average District MS/HS FRPM % |
|-----------------|------------------------------------|--------------------|---------------------------------------|------------------------------|----------------------|-----------------------------|-------------------------------|
| North | Alameda USD | Means-Based/ Free* | 1 new/existing (current city program) | 1 HS | 1 | 128 | 34% |
| | Emery USD | Free/Universal | 2 new | 1 HS, 1 combo | 2 | 347 | 76% |
| | Oakland USD | Free/Universal | 7 existing & 10 new | 6 HS, 8 MS, 3 combo | 17 | 8,174 | 77% |
| Central | Hayward USD | Means-Based/ Free | 2 existing & 11 new | 7 HS, 5 MS, 1 combo | 13 | 9,581 | 70% |
| | San Leandro USD | Means-Based/Free* | 2 existing & 2 new | 2 HS, 2 MS | 4 | 4,674 | 63% |
| South | Fremont USD | Means-Based/ Free | 2 existing | 1 HS, 1 MS | 2 | 3,319 | 20% |
| | New Haven USD | Means-Based/ Free | 2 existing & 4 new | 3 HS, 2 MS, 1 combo | 6 | 6,748 | 48% |
| | Newark USD | Means-Based/ Free* | 2 existing & 2 new | 3 HS, 1 MS | 4 | 2,731 | 49% |
| East | Livermore USD | Free/Universal | 4 existing & 2 new | 3 HS, 2 MS, 1 combo | 6 | 5,469 | 21% |
| North & Central | Alameda County Office of Education | Free/Universal | 4 new | 2 HS, 1 MS, 1 combo | 4 | 794 | 80% |
| Subtotal | 10 Districts | | 21 existing & 38 new | 29 HS, 22 MS, 8 combo | 59 | 41,965 | |

*Transition from Free/Universal

Phase 2

A list of districts to be included in Phase 2 is shown in Table 5.

Table 5 **Phase 2 Expansion Districts**

| Planning Area | School District | Program Model | Existing vs. New District | Average District MS/HS FRPM % |
|-----------------|--------------------|------------------|---------------------------|-------------------------------|
| North | Alameda USD | Means-Based/Free | Existing District | 34% |
| | Berkeley USD | Means-Based/Free | New District | 37% |
| | Oakland USD | Free/Universal | Existing District | 77% |
| | Piedmont City USD | Means-Based/Free | New District | 2% |
| Central | Castro Valley USD | Means-Based/Free | New District | 24% |
| | San Lorenzo USD | Means-Based/Free | New District | 64% |
| South | Fremont USD | Means-Based/Free | Existing District | 20% |
| East | Dublin USD | Means-Based/Free | New District | 11% |
| | Pleasanton USD | Means-Based/Free | New District | 9% |
| Subtotal | 9 Districts | | 6 New Districts | |

Transition to Youth Clipper Cards

The STPP currently uses adult Clipper cards loaded with an institutional pass product. Staff recommends transitioning to a youth Clipper card which would allow students to access youth discounted fares if they use the card on other transit agencies. All three transit agencies concur that transitioning all cards to youth Clipper cards will be advantageous and feasible, however this card transition will be a major undertaking for Phase 1 of the program.

Due to offering a high level of discount across all agencies, youth Clipper cards require verification of date of birth on the application form. Alameda CTC will work closely with our consultant team staff, who have established relationships with each school, and the transit agencies and schools to make this transition.

Joint Pass Product

During Year Two of the STPP students in NHUSD had access to a single Clipper card that allowed access to both Union City Transit and AC Transit. Analysis of ridership data shows that 70% of students in NHUSD are using their cards on both agencies. In order to continue to provide access to both transit systems for these students would require development of a joint pass product. Staff is continuing to explore the feasibility of this product with both transit agencies and Clipper/Cubic.

BART Tickets

With the transition to youth Clipper cards, all students will have access to a 50% discount on BART. BART youth ticket options are distinct from all other pass types being used in the pilot because they have a fixed monetary value rather than a period of validity in which there is no limit on rides. Given the different nature of BART passes and limitations of the Clipper system, Alameda CTC did a limited test of BART tickets during the pilot using youth Orange tickets rather than Clipper cards.

Alameda CTC consulted with BART staff to explore options for the post-pilot period and several constraints became apparent. After the pilot period, orange tickets will no longer be available. In order to continue to have BART as a part of the pilot, a BART pass would have to be loaded onto a Clipper card. Currently BART does not have any pass products (all other participating agencies use a pass product).

At this time, staff does not recommend any additional BART value to be offered, given the limitations of BART fare structure and Clipper system and that, by virtue of having a youth Clipper card, all students will have access to a 50% discount on all BART fares. Staff can continue to track usage of BART on the STPP Clipper cards and new options may be available as part of the next generation of Clipper "2.0". This recommendation aligns with best practices from other peer programs in the Bay Area, none of which include regional rail systems (e.g. BART or SMART).

Travel Training and Marketing

General marketing of the program to get students to sign up will continue to be done by Alameda CTC, transit agencies, and schools. During the pilot period, travel training at middle schools has been successful and well-received. Bringing a bus onto campus has been an effective and popular strategy, however, this approach is labor intensive and requires paying an operator and vehicle for each event. LAVTA may take over the travel training in East County. Alameda County Safe Routes to Schools (SR2S) will continue to conduct limited travel training in the county, allocating training to schools based on budget availability and SR2S program resource allocation policies.

Program Evaluation

Goals

Five goals were adopted for the pilot program and they have served as strong guideposts for pilot implementation and evaluation. Two of these goals were for the pilot period only. Alameda CTC recommends continuing the three primary goals for the post-pilot period and adding a new fourth goal to guide program evaluation:

- Reduce barriers to transportation access to and from schools.
- Improve transportation options for Alameda County's middle and high school students.

- Build support for transit in Alameda County.
- Implement cost effective program

Evaluation Framework

Alameda CTC will continue to conduct evaluation of the program through the expansion period. The recommended evaluation framework for the STPP beyond the pilot period will utilize a more streamlined and focused set of evaluation criteria based on lessons learned during the pilot period evaluation. The recommended metrics below assess key impacts of the program on students, transit agencies, and school districts and gauge the program's success against its adopted goals based on readily available data sources. Table 6 shows the recommended indicators, rationale and data sources for each indicator. Evaluation will continue to occur annually for the first three years of the program and will include recommendations for program improvements. Evaluation frequency will be revisited at that time.

Table 6 STPP Evaluation Framework

| | Evaluation Criteria | Rationale | Metric | Data Source | Primary Goals Met |
|---|---|---|---|--|---|
| 1 | Participation Rate | To determine the level of uptake of the passes by students | Percent of eligible students who opt to participate | California Department of Education; Participation master list | <ul style="list-style-type: none"> • Remove barriers • Increase options |
| 2 | Pass Usage | To determine how often students use their passes | Total number of rides taken; Number of rides divided by number of participants (by month, annual) | Clipper data; Participation master list | <ul style="list-style-type: none"> • Increase options • Build support for transit |
| 3 | Transit Ridership and Capacity | To determine the pass program impact on transit agency ridership and capacity | Total trips taken using student passes compared to overall ridership and total youth ridership (by year and trends); changes in boardings at stops by schools; route capacity before/after program implementation | Transit agency ridership and capacity data; Clipper data | <ul style="list-style-type: none"> • Build support for transit |
| 4 | Program Costs incl. admin./overhead costs | To understand the overall cost-benefit ratio of the pass program and the efficiency of program administration | Overall program costs; costs on a per participant basis; administrative costs as percentage of overall program costs | Financial information collected through invoices submitted to Alameda CTC; Alameda CTC staff costs | <ul style="list-style-type: none"> • Implement Cost Effective Program |

Program Staffing

Alameda CTC recommends a more streamlined staffing structure for Phase 1 compared to the three-year pilot based on lessons learned to maximize efficiency of program administration and focus resources on student passes. Alameda CTC will pay for transit agency direct implementation expenses including staff time as outlined below. Administration and overhead for Phase 1 will not exceed 5-8% of total program budget to align with best practices - peer program research yielded that administrative and management overhead for peer programs ranges from 3-11% with known inefficiencies at the high end of the range.

Over time, administration of the program will become more streamlined as processes become more efficient and the program becomes a known ongoing operational program rather than a new and evolving pilot. Alameda CTC has effectuated efficiencies have already occurred over the three years of the pilot. Phase 1 will still require significant staff time to manage the youth Clipper card transition and the on-boarding of new districts. In addition, the beginning of each school year will always require extra effort for contracting, marketing/education, distribution and collection of registration forms, data entry, card creation and distribution, and troubleshooting.

Phase 1 will be a transitional phase. Key roles and responsibilities are outlined below. During Phase 1, Alameda CTC and the consultant team will still be engaged to assist transit agencies to build relationships with school districts and manage the transition. It may take a few years for staffing levels to stabilize. Alameda CTC will continue to track and report to the Commission on staffing requirements and keep staffing/administrative/overhead costs to 5-8% of total costs in order to maximize resources available for student transit pass costs.

Staffing Plan

The recommended staffing plan for the post-pilot period is as follows (staffing costs are included in the cost section):

- **Alameda CTC:** Responsible for program oversight, management of expansion plan and phasing, program evaluation, funding, SR2S coordination and travel training, assistance with school district coordination and communication.
 - **Consultant:** Nelson\Nygaard Consulting Associates will continue support through Phase 1 to facilitate activities necessary to transition from the pilot to expansion Phase 1 and assist with school coordination and communication.
- **Transit agencies:** Responsible for contracting with school districts; collecting and processing registration forms; creating and distributing cards; managing card replacements; ongoing card and database management; serving as liaison with Clipper/Cubic, providing Clipper and transit agency data for program evaluation to Alameda CTC.

- **AC Transit:** Given the size of the agency and the number of passes administered (anticipated to be over 90% of total passes), AC Transit will need additional staff capacity to manage this program.
- **LAVTA and Union City Transit:** Both agencies have indicated that they can handle the administration of Phase 1 in house with existing staff resources. For equity, Alameda CTC will pay limited direct staff implementation expenses.
- **School Districts:** School districts to enter into agreement with transit agencies to allow designated district and/or school staff to be authorized to collect youth Clipper card applications and verify date of birth for students who chose to enroll. Agreement will also include privacy protection standards for the collection, handling, storage, and transmittal of student data.
- **Schools:** Promote program, distribute and collect youth Clipper card registration forms from students, verify date of birth per district agreement, and transmit applications to AC Transit.

Expansion Cost and Funding

The cost estimates for the five-year expansion period are based on data collected during the implementation of Years One and Two, their respective evaluation reports, discussions with transit agency staff, and an analysis of funding resources available.

Transit Agency Payment Structures

During the pilot period, Alameda CTC is utilizing a different payment structure with each participating transit agency, including paying per participant at the current monthly youth pass price (AC Transit), paying per ride (Union City Transit) and using an eco-pass model with a fixed price for universal eligibility (LAVTA).

Based on analysis of data from Years One and Two and negotiations with transit agencies, for the post-pilot period staff recommends a pay per ride model for all agencies. This payment structure keeps the transit agencies whole by paying for every ride taken by an STPP student, while not paying for passes that are not being utilized (on average just under half of passes aren't used each month with variations by district). LAVTA staff is open to continuing an eco-pass model in Livermore if there is agreement on a fair and data-based pricing structure that reflects actual usage; staff will continue to work with LAVTA to negotiate this.

Reserve fund

Based on data collected to date, the STPP has not caused overcrowding issues. Staff will continue to monitor transit service capacity and overcrowding during the expansion phases. Based on discussions with transit agencies, staff recommends establishing an operating reserve to protect against sudden surges in ridership if it can be determined that it is directly caused by the STPP. This will be a fund to be used for a short term

period only to allow transit agencies to respond and reallocate service accordingly. Key principles for the reserve fund are:

- The funding will only be released when certain thresholds are met, including:
 - Specific overcrowding threshold will be determined in consultation with transit agency based on data that is available and will not include historic overcrowding.
 - Overcrowding issue is sustained over at least 3 months.
 - Impacts must be documented and proven to be attributable to the Student Transit Pass Program using route/stop ridership data and data from Alameda CTC funded Student Transit Pass Clipper cards.
- Service impacts must not be pre-existing or exogenous, such as services where agency is already experiencing overcrowding.
- Funding will sunset each year on June 30th.
- Transit agency must define approach to absorb new ridership into existing service capacity before May 31st of the school year.
- Funding must be approved by Alameda CTC Commission.
- Maximum of \$500,000 per year for all agencies.

Table 7 STPP Program Expansion Cost-Estimate

| Cost Category | Phase I (2019/20) | Future Phases (4 years) | Total |
|---|----------------------|----------------------------|---------------------|
| AC Transit passes | \$3,300,000 | \$29,384,000 | \$32,684,000 |
| LAVTA transit passes | \$313,000 | \$2,180,000 | \$2,493,000 |
| Union City Transit passes | \$150,000 | \$600,000 | \$750,000 |
| Alameda CTC staff | \$50,000 | \$200,000 | \$250,000 |
| Transit agency staffing maximum, 5% of transit pass costs | \$190,000 | \$1,610,000 | \$1,800,000 |
| Other direct costs (e.g. shipping, reports, printing), 1% of transit pass costs | \$40,000 | \$330,000 | \$370,000 |
| Reserve fund* | \$500,000 | \$2,000,000* | \$2,500,000 |
| Contingency | | | \$153,000 |
| Total | \$4,243,000 | \$35,104,000 | \$41,000,000 |

*Maximum amount available in any given year is \$500,000.

STPP Funding

Throughout the pilot period, Alameda CTC staff has engaged in dialogue, advocacy and grant application efforts at the regional and state levels to identify additional funding sources for this program. Staff efforts have included:

- CTC Executive meetings to seek approvals for program eligibility in SB1 programs
- State legislative member coordination highlighting program benefits and need to fund program, including cap and trade funding opportunities
- MTC coordination and advocacy for program eligibility for regional funds, including means-based program
- Air District coordination for funding, including application to the Pilot Trip Reduction Program which was deemed ineligible
- Support for several state bills related to student transit, including AB 17 and AB 2304 sponsored by Assemblyman Holden, neither of which advanced

Identified funding for the program includes:

- Remaining Measure BB pilot program funding: Any remaining funds from the \$15,000,000 at the end of the pilot period will be utilized for expansion of the program.
- STA funding: In April 2018, Commission approved Resolution 18-004 to establish a State Transit Assistance (STA) County Block Grant Program and a funding distribution formula for Alameda County, including the annual funding distribution for FY 2018-19. The approved funding distribution formula allocates 50% of STA funding to the Student Transit Pass program. An alternative will be proposed at meeting if Proposition 6 passes.

Fiscal Impact: There is no fiscal impact at this time. Programming actions based on the Work Plan approval will be included in the next Comprehensive Investment Plan (CIP).

Attachment:

- A. Year Two Evaluation Report Executive Summary

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Executive Summary

In 2014, Alameda County taxpayers approved the Measure BB transportation sales tax which included an Affordable Student Transit Pass Pilot (STPP) to improve access to schools and increase transit use among middle and high school students. In 2016, Alameda CTC launched a three-year pilot program to test and evaluate different program models across different geographies with the aim of identifying successful models for future program implementation.

The STPP seeks to accomplish the following goals:

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

The overall timeline for STPP development, implementation, and evaluation is shown below.

Figure 1 Timeline for STPP Development, Implementation, and Evaluation



The 2017-18 school year represents the second year of the pilot, referred to as Year Two. Year Two of the STPP was designed to respond to lessons learned from Year One of the pilot. During Year Two, two program models were implemented across five school districts and fifteen schools, as shown in Figure 2.

Figure 2 Summary of Year Two Program Models and Participation (2017-18 Year-End)

| School District | Participating Schools | Program Model | Number of Eligible Students | Number of Participants | Year-End Participation Rate |
|---|---|-------------------|-----------------------------|------------------------|-----------------------------|
| Oakland Unified School District (OUSD) | <ul style="list-style-type: none"> ▪ Castlemont HS ▪ Fremont HS ▪ Frick MS ▪ McClymonds HS ▪ Westlake MS | Free/ Universal | 2,706 | 2,543 | 94% |
| San Leandro Unified School District (SLUSD) | <ul style="list-style-type: none"> ▪ San Leandro HS ▪ John Muir MS | Free/ Universal | 3,609 | 1,787 | 50% |
| Hayward Unified School District (HUSD) | <ul style="list-style-type: none"> ▪ Hayward HS ▪ Bret Harte MS | Free/ Means-Based | 1,598 | 497 | 31% |
| New Haven Unified School District (NHUSD) | <ul style="list-style-type: none"> ▪ Cesar Chavez MS ▪ James Logan HS | Free/ Means-Based | 2,581 | 841 | 33% |
| Livermore Valley Joint Unified School District (LVJUSD) | <ul style="list-style-type: none"> ▪ East Avenue MS ▪ Christensen MS ▪ Livermore HS ▪ Del Valle HS | Free/ Universal | 3,416 | 960 | 28% |
| 5 Districts | 15 schools | 2 models | 13,910 | 6,628 | 48% |

Summary of Key Findings

Program Participation and Transit Ridership

Compared to Year One, overall STPP participation increased from 36 percent to 48 percent of all eligible students. Between Year One and Year Two, the total number of eligible students increased by 70 percent (8,168 to 13,910) while the number of participants more than doubled (from 2,928 to 6,628, 126 percent increase). While a higher share of students are signing up to participate, students are not using the pass as regularly in Year Two; average bus boardings per participant declined, from 17 trips per month to ten trips per month overall. This change is particularly noticeable in the school districts that changed models between Year 1 and Year 2 from a discounted to a free program model, which may indicate more occasional riders taking advantage of the pass or students trying transit for the first time.

Participation rates increased significantly in districts where the pilot model was simplified (New Haven USD and Livermore USD). The STPP was significantly simplified between Years One and Two. Program models being tested were reduced from four to two, all passes were valid for the full year, all passes were free, and all grades were eligible at all participating schools. Where programs were significantly simplified, participation increased; in NHUSD participation rose from 9 percent to 33 percent and in LVJUSD participation rose from 3 percent to 28 percent.

Oakland USD participants used their transit pass more than students in any other school district. During the school year, Oakland USD participants took an average of 19 bus trips per month, which is almost twice as many trips as the next highest district, New Haven USD, where participants took an average of 11 trips per month.

High school participants reported riding the bus more often than middle school participants, and they reported broader benefits of the transit pass than middle school participants. In the student survey, a larger share of high school students reported that they miss fewer days of school since obtaining their transit pass than their middle school counterparts. High school participants also indicated that they are using the pass more and for more diverse activities.

Financial need correlates to students' participation and bus usage. Higher levels of financial need are correlated with higher participation rates and higher bus usage (average bus boardings per participant per month). There is some evidence that the amount and quality of transit service may also be related to the rate at which students participate in the STPP and ride the bus, and qualitative factors may also contribute to differences in outcomes, including factors such as variation in land use type, density, and demographics in different areas of Alameda County.

In New Haven USD, where all participants received passes for both AC Transit and Union City Transit in Year Two, nearly 70 percent of participants used both transit operators. This indicates appetite for a multi-agency pass; however, complications exist in addressing a single pass for two agencies with different fare products.

The addition of BART tickets to the program this year revealed demand for BART among participants, but significant challenges exist with pass format, administering ticket inventory, and unused fare value. In Year Two, participating high school students within the BART service area could receive a free \$50 BART ticket. Almost 40 percent of eligible high school students requested a BART ticket, however nearly a third of those who requested tickets have not used them. As of the end of July 2018, 56 percent of the BART fare value distributed in Year Two has not been used. Most BART rides on STPP tickets occurred within Alameda County, and the Year Two student survey indicated that nearly 50 percent of participants who ride BART access BART stations by bus.

Findings Related to Students and Families

Though the impact of the STPP on attendance rates is inconclusive at the school-wide level, the pass is critical in overcoming individual attendance issues. Many factors affect school-wide statistics on attendance and chronic absenteeism (e.g. flu seasons, lack of family support systems, etc.); there is no observable direct correlation between the availability of the student transit pass and attendance. However, some participants reported missing fewer days of school since obtaining their transit pass, and anecdotally, school staff, families, and students have indicated that the transit pass is a critical tool in helping students who have attendance challenges and at-risk families.

The STPP supports students' ability to participate in extra-curricular activities. While students use their transit passes mostly for travel to and from school, students also report using the pass to attend a variety of other activities including their sports games, jobs, and volunteer commitments.

The STPP continues to help families overcome cost barriers for accessing school. As in Year One, about 60 percent of Year Two participants who responded to the student survey said that the cost savings from the transit pass is "critical" or "helpful" to them and their families. Participants also reported that the cost savings of the BART ticket was a benefit; 70 percent of participants who received a BART ticket reported that associated savings was "critical" or "helpful."

Participants continue to report positive perceptions of transit. Over 70 percent of participants in each Year Two school district report that they feel safe on the bus and that transit meets their needs. This is a slight decline from Year One levels, but could be attributable to having more younger students in the program this year or because of changes in the participant profile due to increased participation.

Families express interest in the program regardless of income level. At schools with a Free/Means-based program, students and families that do not currently qualify for the program expressed interest in having a pass, suggesting that a transit pass is helpful for many families at all income levels.

Administration, Cost and Implementation

Simplifications to the program in Year Two reduced the burden on school site administrators, but the program still requires time, especially at the start of the school year, and challenges arise when institutional knowledge is lost due to staff turnover.

School site administrators appreciate simplified processes that reduced the time needed to administer the program. However, school staff report that the STPP workload can be substantial at the beginning of the year when the bulk of program enrollment occurs and that there is a learning curve for new site administrators when institutional knowledge is lost due to staff turnover.

Consolidating passes onto one Clipper Card reduced the administrative burden between Year One and Year Two, but the addition of BART Orange tickets added complexity. Overall the administration of the program was much more streamlined in Year Two, especially at schools that participated in Year One. However, there were many new administrative complexities and challenges with adding BART tickets to the program in Year Two, including that paper tickets are harder to track and cannot be replaced, and that no BART period pass is available. In addition, BART has discontinued the Orange ticket and it will not be available post-pilot, which poses additional challenges for continuation of this program component.

Feedback Highlights

Over the course of Year Two, the project team collected feedback about the STPP from students, school site administrators, and staff at each participating school district and transit operator. The following representative quotes highlight major themes from the second year of the pilot.

"Anecdotally yes, the attendance is improving. Especially for the kids with first period tardies."

—School site administrator from Hayward USD

"The stories that are the most touching are the ones where the student has had some trauma... where they are trying to escape their home life because their parents aren't able to provide reliable options for them. Those kids take the initiative, and they are making it on their own because of the bus pass. They come and they try hard, and you see their grades improve so much when their attendance improves. They don't take it for granted."

—Parent and family coordinator from San Leandro USD

"A lot of our juniors and seniors who have the card have been able to use it for work. They can leave school and not have to worry about getting a ride. They know exactly what time they have to leave, and they know they are going to get to work on time, and they have a way to get home, so it's allowed them to work and get that experience."

—School site administrator from Oakland USD

"I talked to a family today, and it was a significant part of deciding where her child is going to school. She checked and said, 'Okay, the program is here, here, and here.' So it does impact school choice."

—School site administrator from Oakland USD

"I never took the bus before, once I got the transit pass I do take it. My family encouraged me to take the pass. It has given me a little more independence."

—Focus group participant from San Leandro USD

"Hard to connect attendance to one aspect or program... I do believe it has a positive supportive impact on attendance even if you can't prove it with data."

—School district contact from Livermore Valley JUSD

"Before I had the Clipper card – I used to pay cash – now I have money for emergencies."

—Focus group participant from New Haven USD

"We have a lot of after-school clubs, and most of our kids who participate use the pass."

—School site administrator from New Haven USD

"[There was] a lot more knowledge this year. Kids were telling their friends. I can tell the students are receptive about it."

—School site administrator from Livermore Valley JUSD

Road Ahead

Year Three Program Design and the Road Ahead

The program design for Year Three is based on lessons learned to date, program evaluation, available budget, and accounts for student need and geographic equity in pilot implementation. The same two program models (Free/Universal and Free/Means-Based) are continuing to be implemented and assessed in Year Three. Six new schools and two new school districts are participating in the program, bringing the total to 21 schools in seven school districts.

The STPP has been, and will continue to be, an opportunity to assess program models and approaches that work well and aspects that need improvement. Key factors for success are strong school support – site administrators and supportive staff members that are dedicated to the effort – simple program models, and streamlined administrative processes.



Memorandum

6.12

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• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Tess Lengyel, Deputy Executive Director of Planning and Policy
Leslie Lara-Enríquez, Associate Program Analyst
Aleida Andrino-Chavez, Associate Planner

SUBJECT: Alameda County Safe Routes to Schools Program Update

Recommendation

This item is to provide the Commission with an update on the Alameda County Safe Routes to Schools Program and information on crossing guard programs in Alameda County and within other regions. This item is for information only.

Summary

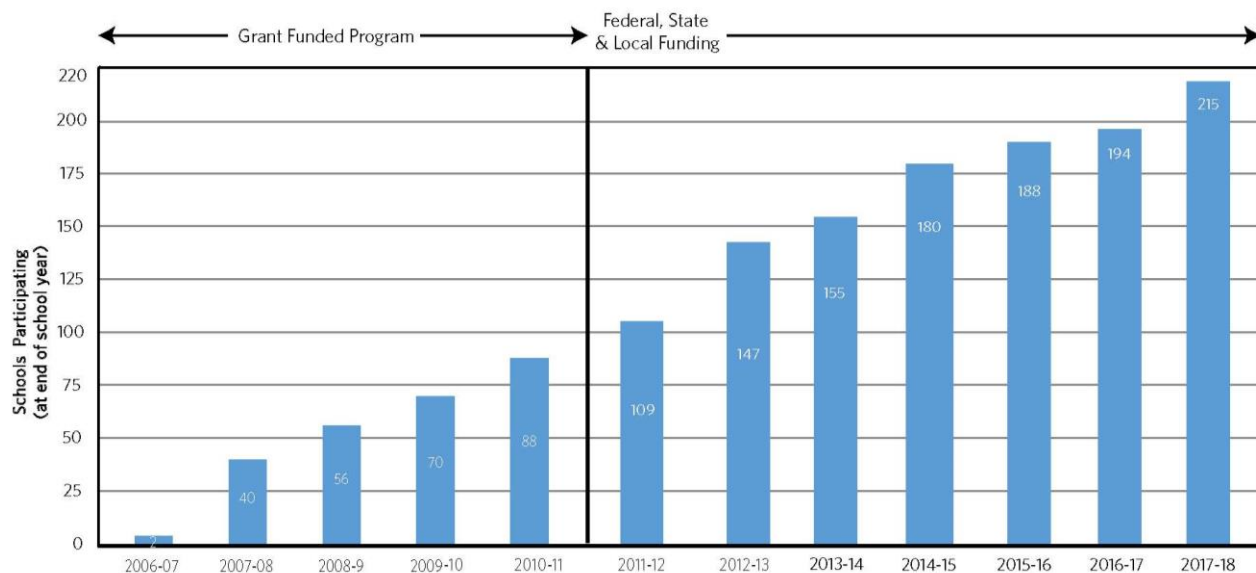
The Alameda County Safe Routes to Schools (SR2S) program promotes safe walking, bicycling, carpooling and the use of public transit to travel to school and is based on the "Six E's" framework of successful Safe Routes programs—education, encouragement, engineering, enforcement, evaluation, and equity. The program is now in its 13th year of operations. The 2018-2019 school year kicked off the second year of implementation under a new structure that is guided by the goals and principles adopted by the Commission in January 2017. Under the new structure, three professional services contracts support the delivery of the program. This memo provides an update on program activities to date. Crossing guard information is separate from the SR2S program update and is for information in response to Commissioners' interest in programs in Alameda County and associated costs.

SR2S Program Evolution

The Alameda County SR2S Program began in 2006 as a Caltrans grant-funded pilot program at two schools in Oakland. The following year, ACTIA authorized \$1.3 million in Measure B grant funding to continue the program. As part of the Metropolitan Transportation Commission's Climate Initiatives program in 2010, Alameda CTC was awarded federal funding to implement and expand the program. By July 2011, the program had expanded to 88 schools and all four of the county's planning areas. As of

last school year, there are 215 schools enrolled in the program. Figure 1 shows the growth of the program over time.

FIGURE 1. ALAMEDA COUNTY SR2S PROGRAM GROWTH



The program has also changed significantly over time. Initially, resources focused on building program elements and recruiting schools with the majority of activities centered on encouragement events (such as International Walk and Roll to School Day). As the program grew, additional innovative program elements were introduced and fine-tuned (such as the BikeMobile and the high schools program); the framework continued to focus on encouragement activities that were staff resource-intensive.

During the 2016-2017 school year, in preparation for a competitively bid consultant procurement process to implement the SR2S program, staff assessed the long-term viability and structure of the program. The findings from this assessment reinforced the fact that the program heavily focused resources on encouragement and education, and pointed to the need to balance the program among the "Six E's" framework in order to ensure long-term program sustainability. In early 2017, the Commission adopted a new policy and program framework with the goal of re-balancing the program, focusing on activities that influence and sustain behavior change, as well as a renewing the focus on safety via infrastructure improvements. The program framework led to the Commission's adoption of new program goals that now guide program implementation, outlined below.

Goal 1: Provide a comprehensive and equitable program throughout Alameda County in a fiscally responsible manner, serving all public schools interested in participating.

Goal 2: Develop a core program that will allow every student in Alameda County to have access to age-appropriate bike/pedestrian safety training and SR2S educational

activities throughout their school careers (i.e. at least once in elementary, once in middle school, and once in high school).

Goal 3: Establish and maintain strong, effective partnerships throughout the county in order to leverage program expansion and sustainability.

Goal 4: Support improvements to the built environment near schools that allow for better access and increase safety.

Goal 5: Encourage the adoption of SR2S policies and curriculum within schools and school districts.

Goal 6: Evaluate the SR2S program at the school level so that it is context sensitive and will allow program to adjust to address what is learned during the evaluation process.

Goal 7: Engage parents as the transportation mode “decision maker.”

Under the new implementation structure, Alameda CTC brought the management of the program in-house with staff taking an active, hands-on management approach in addition to providing strategic direction and cultivating partnerships. Additionally, three professional services contracts support the delivery of the program. Figure 2 illustrates the new implementation structure, while Figure 3 outlines the responsibilities of each professional services contract.

FIGURE 2. ALAMEDA COUNTY SAFE ROUTES TO SCHOOLS PROGRAM STRUCTURE

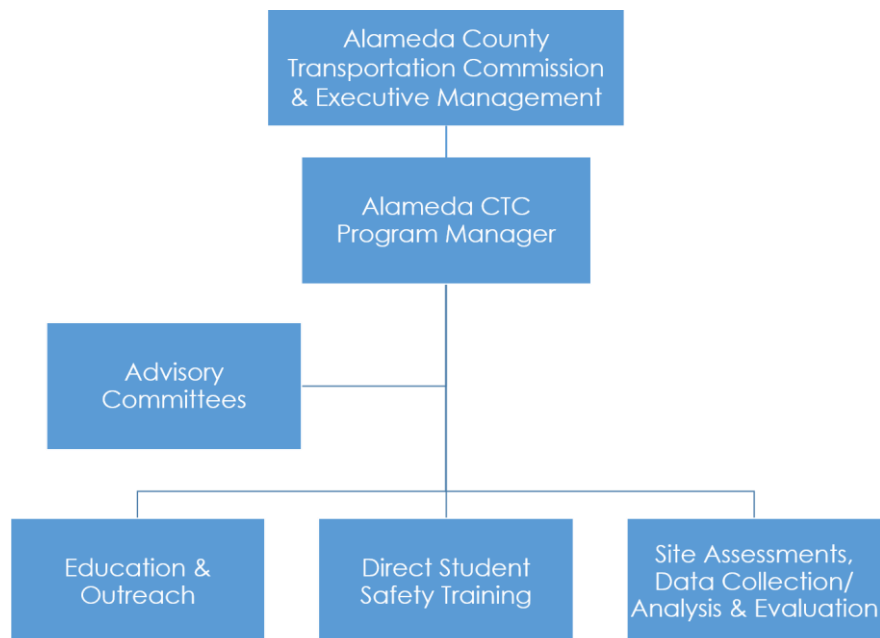


FIGURE 3. ALAMEDA COUNTY SAFE ROUTES TO SCHOOLS PROFESSIONAL SERVICES CONTRACTS

| Outreach & Education | Direct Student Safety Training | Site Assessments, Data Collection/ Analysis & Evaluation |
|--|---|---|
| <ul style="list-style-type: none"> • School Site Support • Recruitment • Encouragement Events • Outreach • Communications | <ul style="list-style-type: none"> • Pedestrian Education • Bicyclist Education • BikeMobile • Walk & Roll Assemblies • Walking School Buses & Bike Trains • Educational Videos | <ul style="list-style-type: none"> • School Safety Assessments • Program Evaluation • Data Collection • Data Analysis • Technical Support • Mapping |

Staff, in partnership with our three consultant teams, seeks to achieve the following program outcomes:

1. **Increase the use of active and shared transportation** to travel to school by encouraging walking, bicycling, carpooling, and the use of public transit as viable, everyday transportation options; and
2. **Increase safety and health** by promoting safe pedestrian and bicycling behaviors through hands-on training and education, engineering, enforcement and evaluation.

2017-2018 School Year Summary

The 2017-18 school year was the program's 13th year of promoting active and shared transportation choices to students and their families. During the school year, Alameda County SR2S increased the number of schools enrolled in the program and saw steady participation levels in core activities. Successes from the 2017-2018 school year include:

- Over half (58 percent) of SR2S-eligible schools in Alameda County are enrolled in the program.
 - As of June 30, 2018, there are 215 schools enrolled—up from 194 schools during the previous school year.
 - Of these, 157 are elementary schools (68 percent of total), 34 are middle schools (49 percent of total) and 24 are high schools (34 percent of total).
- Approximately 59 percent of enrolled schools participated in three or more SR2S activities and 25 percent held five or more events.
- There are over 180 SR2S Champions involved in the program.
- Approximately 30 percent of schools enrolled in the program participated in all three countywide encouragement events:
 - 142 schools participated in International Walk & Roll to School Day in October 2017;
 - 98 schools participated in the Golden Sneaker Contest in March 2018; and
 - 119 schools participated in Bike to School Day in May 2018.
- Nearly 40,000 students participated in hands-on safety training activities.

- The BikeMobile visited nearly 150 schools/community events and repaired over 2,600 bikes.
- The program added transit training and rail safety education to its overall curriculum.
- The team implemented four new Walking School Bus routes.
- Countywide, the program continues to maintain approximately a 30 percent walking/biking mode split.

The full Year-End Report for the 2017-2018 school year is available on the Alameda County Safe Routes to Schools website at alamedacountysr2s.org/about-us/annual-reports/ and in attachment A.

School Safety Assessments to Support Grant Applications

School Safety Assessments (SSAs), also referred to as “walk audits” or “site assessments,” are an evaluation of transportation infrastructure and school commute conditions at and around a school site. SSAs are conducted as a community engagement activity, with a group of school community stakeholders participating and providing direct input about issues, challenges and opportunities related to school area infrastructure and student travel. A key focus of the SSAs is to identify safety problems and concerns, particularly for pedestrians and bicyclists, and to develop recommendations to correct them. The SR2S program provides SSAs to schools as part of its general program offerings; however, implementation is at the sole discretion of local jurisdictions and school districts. As such, Alameda CTC made a concerted effort to solicit input from local jurisdiction partners on the site assessment process to maximize their effectiveness and likelihood of implementation.

The school selection process utilizes three scoring factors: safety, health, and disadvantaged community status—all of which align with the criteria used in California's Active Transportation Program (ATP), a state grant program that can fund school safety capital improvements. By aligning school selection with ATP criteria, local jurisdictions are well-situated to pursue future ATP funding for project implementation by demonstrating that potential projects identified via the SSAs meet ATP objectives and are supported by a public outreach and review process.

Using the three scoring factors, the team developed a ranked list of schools that was presented to each jurisdiction for final school selection. SSAs were allotted to each planning area based on the percent of the countywide school population (excluding Fremont and unincorporated Alameda County, which conducted their own SSAs). A total of 48 schools were identified as good candidates for a SSA. Of these, 27 schools responded with interest to conduct an assessment, 16 were successfully scheduled and completed, and two schools received technical assistance. By incorporating local priorities into the process, the SR2S team was able to complete and deliver all SSA reports in the same year that the SSAs were conducted. All SSAs completed to date are available on the SR2S website at alamedacountysr2s.org/completed-alameda-county-sr2s-site-

[assessments/](#). Staff is working with the City of Fremont and the Alameda County Public Works Agency to link to their completed SSAs at this same web address in order to have all completed SSAs in one place.

Additionally, the SR2S team is working with local jurisdiction staff to develop a database to help track the implementation status of completed SSAs. We have received responses from Alameda, Dublin, Fremont, Hayward, Newark, Oakland, and San Leandro. The SR2S team will develop a public-facing database that will provide access to the following information:

- Location of recommended improvements
- Implementation status of recommended improvements
- Funding sources used for implementation of improvements
- Applications submitted for ATP funding to implement improvements
- ATP funding received to implement improvements

The Call for Projects for Cycle 4 of the ATP began May 16, 2018. The deadline to submit applications was July 31. The complete logs of applications received by the California Transportation Commission (CTC) and the Metropolitan Transportation Commission (MTC) for the state and regional Cycle 4 competitions, respectively, are available at <http://www.dot.ca.gov/hq/LocalPrograms/atp/ATPC4AppLog.pdf> and https://mtc.ca.gov/sites/default/files/2019_rATP_Applications.pdf. The projects/programs selected for award will be announced in December. Cycle 5 of the Active Transportation Program will likely occur in 2020, pending the results of the November 6 election.

Rail Safety Education

Since spring 2018 the SR2S team has been working to implement and fully-integrate rail safety education into Alameda CTC's SR2S program in partnership with Operation Lifesaver (OLI)—the only nationally- and state-recognized provider of rail safety education. This year, the SR2S team will use a \$200,000 grant awarded by the Office of Traffic Safety to develop a Pedestrian and Bicyclist Rail Safety Education Program to raise awareness among Alameda County K-12 students about the dangers of distracted walking and bicycling on and near active rail routes, as well as trespassing on railroad rights-of way.

The initial delivery of rail safety programming will be delivered at schools located in the unincorporated communities of San Lorenzo and the City of Hayward, where trespass collisions and fatalities are concentrated as shown in Figure 4.

FIGURE 4. TRESPASS COLLISIONS BY CORRIDOR

| Crossing Corridor | Length (Miles) | Population within ¼ mi. | Total Passenger and Freight Trains | Trespass Collisions, 2011 - 2017 | Trespass Fatalities, 2011 - 2017 |
|---|-------------------|-------------------------------|--|---|---|
| Niles – San Lorenzo & Hayward | 4.9 | 34,100 | 14 | 12 | 11 |
| Niles – East Oakland | 2.5 | 8,600 | 32 | 5 | 3 |
| Martinez – Emeryville | 2.2 | 6,700 | 60 | 4 | 1 |
| Niles – Downtown District – San Leandro | 1.8 | 11,600 | 14 | 4 | 1 |
| Niles – South San Leandro | 1.0 | 6,800 | 14 | 3 | 2 |
| Martinez – Berkeley/Albany | 1.2 | 1,900 | 62 | 2 | 2 |
| Niles – Canyon District | 3.4 | 8,800 | 14 | 2 | 2 |
| Niles – Coliseum District | 2.3 | 8,200 | 32 | 2 | 2 |
| Niles – Union City | 2.4 | 11,700 | 14 | 2 | 2 |
| Oakland – Livermore/Unincorporated | 7.1 | 11,600 | 19 | 2 | 2 |
| Niles – Jack London District | 1.5 | 3,200 | 32 | 2 | 0 |
| Coast – Newark & Fremont | 4.2 | 10,800 | 18 | 1 | 1 |
| Coast – San Lorenzo | 0.1 | 1,000 | 18 | 1 | 1 |
| Coast – Union City | 1.5 | 7,900 | 18 | 1 | 1 |
| Oakland – Shinn Connector | 5.4 | 17,700 | 19 | 1 | 1 |
| Oakland – Pleasanton | 2.3 | 5,200 | 19 | 1 | 0 |
| Warm Springs | 6.0 | 15,159 | 0 | 1 | 0 |
| Other Corridors | n/a | n/a | n/a | 0 | 0 |
| Unassigned – Fremont Area* | n/a | n/a | n/a | 1 | 1 |
| Total | | | | 47 | 33 |

*A fatal trespass crash was reported in the Fremont area, but could not be assigned to a particular corridor. Therefore, no social cost was estimated.

Source: Rail Strategy Study

During summer 2018, the SR2S site coordinators were trained and certified as official OLI instructors. This enables the SR2S program to deliver training and education activities directly to Alameda County schools without having to rely on OLI's volunteer trainers—thereby allowing the team to deploy rail safety education programming more broadly in the future. In addition, staff is currently working with OLI to develop an online toolkit that will include a wide range of resources (posters, handouts, videos, safety tip sheets, etc.); this will be accessible to the public via the SR2S website at alamedacountysr2s.org. Staff will continue to pursue additional funding opportunities in order to expand the reach of the rail safety education program to additional schools in the county.

Crossing Guards

During discussions of school safety programs, the Commission has expressed interest in the status of existing crossing guard programs in Alameda County and their eligibility in Alameda CTC programs. Alameda CTC developed a white paper in late 2015 summarizing relevant large-scale programs in the region, state, and country as well as programs of the jurisdictions of Alameda County. Alameda CTC prepared an addendum to the white paper that is included in Attachment B along with the original white paper.

The addendum provides updates on two countywide crossing guard programs: The City of San Francisco program managed by the Municipal Transportation Agency (SFMTA) and the County of Marin program managed by the Transportation Authority of Marin (TAM). The SFMTA program is operated and managed internally, including hiring, training, and operations of the program, while the TAM program is outsourced to a specialized contractor. These large-scale programs have identified many challenges related to staff retention, program costs, availability of funding sources to sustain the program, expectations that all crossing guard needs will be met, and increased requests for crossing guard staffed locations.

All jurisdictions in Alameda County have school crossing guard programs. The programs vary in size and are generally managed by the local police departments or by agreement between jurisdictions and school districts. The local programs focus on elementary and middle schools, but in a few cases, like that of Oakland, include high schools. Almost all jurisdictions in Alameda County outsource the operations, direct management, and training of the crossing guard program with the exception of Oakland, Berkeley, and Hayward.

The annual operating cost of providing the current crossing guard program in the Alameda County jurisdictions is approximately \$3.3 million and covers 163 schools out of the 304 elementary and middle schools in Alameda County. These costs do not reflect internal management costs provided by agency staff.

A program of countywide scale in Alameda County, similar to SFMTA or TAM, that would include the 304 elementary and middle schools in the County, is estimated to have an annual operating cost of \$8.6 million. This assumes outsourcing the hiring, management, and training of crossing guards and outsourcing the ongoing location evaluation. A program of this size would also require an estimated 2.5 Full Time Equivalent staff members (based on the TAM program annual management hours). The 2014 Transportation Expenditure Plan includes crossing guards as an eligible program under the discretionary Bike and Pedestrian grant program which is programmed through the Comprehensive Investment Plan to eligible public agencies.

Fiscal Impact: There is no fiscal impact associated with this item.

Attachments:

- A. [Alameda County Safe Routes to Schools Program 2017-2018 Year-End Report](#)
(Hyperlinked to website)
- B. Countywide Crossing Guard White Paper and Addendum



Memorandum

6.12B

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• 510.208.7400

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DATE: November 13, 2018

TO: Tess Lengyel, Deputy Executive Director of Planning and Policy

FROM: Aleida Andrino-Chavez, Associate Transportation Planner

SUBJECT: Addendum to 2015 Crossing Guard Programs White Paper

In 2015, Alameda CTC developed a white paper on existing crossing guard programs in Alameda County and on large-scale programs in the region, state, and country. Parisi Transportation Consultants produced the white paper, "Countywide Crossing Guard Program: Preliminary Assessment" which included crossing guard program requirements, program descriptions, management, and annual costs.

Alameda CTC staff prepared this addendum to the 2015 Crossing White Paper with updated information for crossing guard programs in San Francisco and Marin County, which are representative of large scale programs in neighboring counties and in the region, as well as updated information on the existing crossing guard programs in Alameda County.

Large-Scale Crossing Guard Programs in the Bay Area

The following summarizes two crossing guard programs in the counties of San Francisco and Marin: The City and County of San Francisco-The San Francisco Municipal Transportation Agency (SFMTA) Adult Crossing Guard Program, and the County of Marin - Transportation Authority of Marin. These programs offer insight about the challenges and expectations of countywide programs. The following section presents a description and key findings from each program.

San Francisco Municipal Transportation Agency (SFMTA) Adult Crossing Guard Program: With a budget of \$2.2 million, the SFMTA operates a School Crossing Guard Program that started over 20 years ago and currently employs 190 crossing guards and 5 trainers, serves 106 schools, and covers 151 street corners within the city. Hiring enough guards to cover all intersections has not been possible and there are 19 intersections that are qualified and waiting to receive a guard. Crossing guards are City employees with union representation who earn an annual salary of \$9,000 salary per school year for 2.5 hours of work per day on a split shift schedule. These employees do not receive medical, dental, or pension benefits, but are able to accrue sick leave, vacation, and floating holidays. The program experiences several on-going challenges, including difficulty in retaining staff and qualifying applicants

due primarily to the split shift schedule. In March 2018, staff from SFMTA presented to its Board a proposal for modifying the existing crossing guard program with the goal of improving recruitment and retention, guard assignment policies, and the selection of participating schools.

The proposal for the 2019 school year includes increased operating budget for the crossing guard program that will support employment for 215 guards, allowing expansion of the program to additional schools. The 2019 program will introduce multiple volunteer training sessions for parents and caregivers who would like to volunteer as crossing guards at schools that do not currently have crossing guards assigned. SFMTA plans to reassess its criteria to be more context-sensitive and conduct periodic evaluation of data and locations that qualify for guards. The management of the program includes six full-time employees who are solely working on the daily operations of the crossing guard program. They handle scheduling, payroll, interviewing/hiring/training, guard calls, uniform needs, and additional tasks as needed for the operation of the program. An outside contractor conducts site assessments that include site survey and vehicular/pedestrian counts, and MTA Engineering does the analysis to determine if the location meets the criteria for a guard.

Key Findings from the San Francisco Crossing Guard Program include the following:

- Difficulty in maintaining an optimal number of crossing guards
- Since August 2015, SFMTA hired 146 crossing guards and lost 130 guards
- In the recent hiring cycle, out of 286 qualified applicants, only 44 or 15.4 percent successfully completed the process and are currently working
- Crossing guard requests exceed supply
- 10-15 requests for crossing guards received per year (about 50% of them qualify)
- 19 qualified corners are on the waiting list (SFMTA warrants include type of school, corner must be a designated school crossing (yellow ladder), vehicular volume and pedestrian volume thresholds)

Crossing Guard Program Managed by Transportation Authority of Marin (TAM): TAM manages the crossing guard program as a component of the Safe Routes to School Program with a budget of \$1.57 million at 41 schools. The program was created in 2006 with 54 crossing guards and has currently grown to 90 crossing guards. The program is funded by a countywide sales tax, Measure A and more recently by Measure B (Vehicle Registration Fee) as a temporary source of funding that will allow TAM to retain the same level of locations served by a crossing guard for the 2018-19 school year. In addition, school districts provide funding for crossing guards at eight school locations. TAM is submitting ballot measure to voters in 2018, which would extend its ½ cent transportation sales tax Measure A (due to expire in March 2025) through a 30 year period (March 2049). Four percent of the current Measure A revenue is allocated to the school crossing guard program. Projections indicate that allocated revenue would only fund crossing guards for 58 locations. The reauthorization of the sales tax, would increase the level of funding for this program to 6.5 percent and would allow TAM to expand the program to 88 ranked locations.

In the past, TAM has applied for one-time grants, through the Congestion Mitigation Air Quality (CMAQ) and State Transportation Program, (STP) programs that allow funding for the equipment used for crossing guard programs (vests, paddle signs) as part of the operating expenses of Safe Routes to School Programs.

TAM coordinates with its partner agencies' public works departments for the implementation of this program. The public works departments conduct warrants for eligibility of crossing guard locations. The assessment, based on the MUTCD guidelines with additional parameters to control for, ranks locations by their score and includes a periodic reassessment of each location in order to assign guards more efficiently, where safety needs score higher.

TAM outsources the hiring, operations, and training of its crossing guard program. However, the contractor has experienced staff retention challenges, which have led to complaints regarding traffic congestion or the crossing guard having to take care of more than one street corner and not crossing the children with enough care. To increase staff retention, TAM requires that the contractor pay their crossing guards at least the County's living wage of \$14.20 with a two-hour minimum per shift. Most work shifts are one hour long, so each crossing guard receives the equivalent of \$28.40 per hour. This measure has improved staff retention for this program. The management of the contract requires approximately 700 hours of staff time a year.

Key findings from the TAM Crossing Guard program include:

- Contractual issues with the vendor that manages the program, mainly related to cost and staff retention
- Increases in program costs over projected revenues for the program
- Decreases in operating budgets of the school districts that fund eight crossing guard locations

Table 1 presents highlights of these two countywide crossing guard programs.

TABLE 1. Summary of Two Countywide Crossing Guard Programs in the Bay Area: San Francisco and Marin Counties

| AGENCY | # SCHOOLS SERVED | QUALIFYING CRITERIA | MANAGEMENT | NUMBER OF CROSSING GUARDS EMPLOYED | ANNUAL PROGRAM COST | FUNDING | PROGRAM CHALLENGES |
|---|---|--|---|--|--|--|--|
| SFMTA | 106 Elementary and Middle Schools (151 corners) | -K-8 school -Designated school crossing -Traffic volume threshold -Student pedestrian volume | SFMTA (in house) 6 full time staff members are in charge of the crossing guard program in SF. | 190 Crossing Guards and 5 trainers. The program will increase to 215 crossing guards for the 2018-19 school year | \$2.2 million (about \$1.7 million going towards guards salaries). School District contributes \$250,000 per year) | SFMTA General Fund. San Francisco Unified School District annual contributions | -Difficulty retaining staff due to split shifts, no benefits. -Difficulty in finding qualifying applicants -Demand for crossing guard locations easily exceeds supply -False expectation that all the requests would be fulfilled |
| Transportation Authority of Marin (TAM) | 41 Elementary and Middle Schools (82 locations) | -School aged pedestrian as % of pedestrian volume -Vehicular volume as % of qualifying volume -Intersection geometry -Stopping distance -Speed limit -Professional judgement. | Contracts out operations to All City Management. Approximately 700 hours annually are needed for administration of the program. | 90 | \$1.57 million | Measure A, Measure B, (Vehicle Registration Fee). | -Staff retention -complaints of added congestion. -not crossing the children with enough care -Increases in program cost and availability of funding |

School Crossing Guard Programs in Alameda County

All jurisdictions in Alameda County have school crossing guard programs. The programs vary in size and are generally managed by the jurisdictions police departments or by agreement between jurisdictions and school districts. The local programs focus on elementary and middle schools, but in a few cases, such as in Oakland they include some high schools. Almost all jurisdictions in Alameda County outsource the operations, hiring, and training of the crossing guard program, with the exception of Oakland, Berkeley, and Hayward. Union City has a volunteer-based program that is managed by the School District. This has somewhat relieved agency staff from the daily operations of the program, but still retains the labor-intensive task of conducting warrants for every location for which requests for crossing guards have been received.

Almost all of the same challenges experienced by large-scale programs exist in smaller scale programs, which includes staff retention and creation of incentives to attract and keep employees. This usually translates into higher costs for the jurisdictions and a potential reduction of locations served by crossing guards and subsequently, the agency's inability to meet demand.

Funding

Funding for crossing guards in Alameda County comes from a variety of sources. Local agencies general fund is usually the main source of funding for the local programs in Alameda County. In some cases, locally enacted special sales taxes, such as the Soda Tax in Albany are eligible sources of funding for crossing guard programs. In other cases, local school districts contribute to fund the program, or a combination of all of these sources is used to fund programs in areas with several school crossing locations.

Other sources of funding that local agencies can use at their discretion are Direct Local Distribution Funds from Alameda CTC for local streets and roads and for bicycle and pedestrian safety improvements. These funds include Measure B and Measure BB, and Vehicle Registration Fee revenues. The 2014 Countywide Transportation Expenditure Plan (TEP) allocates a total of 8% of funds to improving bicycle and pedestrian infrastructure as well as providing programs to encourage people to bike and walk and to support accessibility for seniors and people with disabilities. Figure 1 presents a chart of the distribution of Measure BB funding for the Bicycle and Pedestrian Paths and Safety Program for the next 30 years. Three percent of these funds or an estimated \$232 million are direct local distribution funds transferred to jurisdictions in Alameda County on a monthly basis for the planning, construction, and maintenance of bicycle and pedestrian projects and programs that are included in the County's Bicycle and Pedestrian plans and for the high-priority projects or programs in their local Bicycle and Pedestrian Plans. These funds could also assist local jurisdictions in supporting their crossing guard programs on an ongoing basis. In addition, the Measure BB discretionary Bike and Pedestrian Grant Program (\$1.54 million) includes crossing guards programs as an eligible expenditure for these competitive grant funds.

Table 2 presents a summary of the local programs in Alameda County. Typically, regional, state and federal funds are not eligible sources for funding crossing guard programs.

FIGURE 1
DISTRIBUTION OF MEASURE BB REVENUES FOR
BICYCLE AND PEDESTRIAN PATHS AND SAFETY
PROGRAM

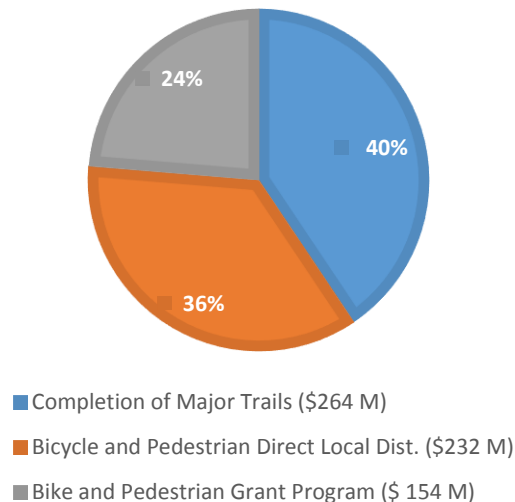


Table 3 presents what an estimated cost would likely be for a countywide program. In order to serve the 304 elementary and middle schools in the County, approximately \$8.6 million would be needed annually. For estimation purposes, this assumes outsourcing the crossing guard program and doing the contract administration internally with 2.5 Full Time Equivalent positions at the associate level (based on the number of staff hours needed to administer the TAM program for 41 schools and extrapolating these hours to cover 304 schools in the County and converting this to Full Time Equivalent). The contracted services are solely related to hiring, training, and operating the crossing guard program on a day-to-day basis as well as providing the tools to perform the job, such as safety vests, paddles, and high visibility-reflective raincoats. The scenario also assumes the inclusion of a consultant contract for the annual site evaluation/reevaluations of crossing guard locations.

Conclusions

Alameda County is a considerably sized area with 304 elementary and middle schools that are dispersed throughout the County. Given the size and number of eligible schools in the County, a countywide crossing guard program would require intense labor and economic resources for the internal administration of the countywide program. In addition, the crossing guard program would be very difficult to coordinate as a centrally managed approach given the geographic span of the County and the specific local needs of schools in community neighborhoods. The current locally facilitated delivery of crossing guard programs within cities throughout the County has shown that local agencies are generally better equipped to respond to any unpredictable situations and demands related to local needs.

| TABLE 2: Crossing Guard Programs in Alameda County | | | | | | | | | | | | |
|--|---|--|----------------------------|-----------------------|----------------|-------------------------------|---|---|--|----------------------------|-------------------------------|---|
| Location Selection Criteria | | | Scope of Program | | | | Operations | | | | Cost and Funding | |
| | Guard Requests submitted by | Location Prioritization | Staffed crossing locations | Total Employed Guards | Schools Served | Total Schools in Jurisdiction | Management (Management Agency: City, Police Dept., on contract) | Contractor | Average Daily Hours Worked (Hours/Guard) | Compensation (hourly wage) | Estimated Annual Program Cost | Source |
| Alameda County Unincorporated Areas | Website | County Public Works Agency and MUTCD Criteria | 24 | 24 | 19 | 34 | Alameda County Public Works Agency | All City Management Services | 3 | did not provide | \$ 321,000.00 | County General Fund for grade schools. The 3 junior high schools pay separately with own funds for their crossing guards. |
| City of Alameda | Alameda Safe Routes to School/ Alameda Department of Public | Elementary Schools ONLY K-5 | 27 | 28 | 7 | 17 | Alameda Police Department | All City Management Services | 4 | \$14.50-17.00 | \$ 280,000.00 | 80% PD 20% School District |
| City of Albany | The locations have been preset for years | Elementary Schools only: Priority is based on traffic/pedestrian flow and or what is perceived more dangerous for the children. Signals, traffic controls etc. | 6 | 7 | 3 | 4 | Albany Police Department | All City Management Services as of 2018-19 school year. | 4.5 | \$12.34-\$15.00 | \$ 124,100.00 | Proceeds from Sugar Sweetened Beverage Local Tax |
| City of Berkeley | Elementary School Administrators | Crossing Guard Supervisor | 16 | 12 | 10 | 15 | in house-Berkeley Police Department | | 4.5 | \$24 | \$ 300,000.00 | Police Department Budget |
| City of Dublin | City of Dublin/Dublin Unified School District | N/A | 12 | 14 | 12 | 9 | Dublin Police Services | All City Management Services | 4 | \$20.19 | \$ 204,666.03 | General Fund/DUSD |
| City of Emeryville | Not applicable-There is only one school and two corners served | N/A | 2 | 2 | 1 | 1 | School District manages the contract with All City Management Services. | All City Management Services | 3 | | \$ 35,000.00 | 71% school District, 29% City funds |
| City of Fremont | School/ Safety Assessments | Per MUTCD warrants | 22 | 22 | 15 | 36 | | On Contract | 3 | \$20.85 | \$246,273.00 | General Fund |
| City of Hayward | Assessment from the City's Transportation Department | Crosswalks with no signals | 13 | 16 | 15 | 30 | In house-Hayward Unified School District | | 2 | \$18.80-\$20.75 | \$ 231,590.00 | General Fund |
| City of Livermore | School District / Police Dept. | By Survey / Location of School (Near major roads etc.) | 14 | 14 | 12 | 15 | Livermore Police Department | All City Management Services | 2 | \$ 19.23 | \$ 155,800.00 | General Fund |
| City of Newark | Newark Unified School District and/or individual schools | CA MUTCD criteria (Chapter 7D) and engineering judgment | 7 | 7 | 7 | 9 | Police Department | All City Management Services | 3 hours/guard per day | \$19.95 per hour | \$ 75,411.00 | Newark Public Works; Newark Police Dept. |
| City of Oakland | Submissions are taken by OAK DOT, OUSD Transportation Director, | Submission and assignments are reviewed and evaluated by OAK DOT, OUSD Transportation | 44 | 58 | 44 | 101 | In house Oakland Police Department | | 4 | \$15.00-\$19.00 | \$ 800,000.00 | Measure BB: General Traffic Fund |
| City of Piedmont | N/A | N/A | 6 | 6 | N/A | 4 | Piedmont Police Dept. | All City Management Services | N/A | N/A | \$97,500 | Police Dept. General fund |
| City of Pleasanton | PD did not provide | PD did not provide | 21 | 21 | 10 | 12 | Police Dept. | Did not provide | PD did not provide | PD did not provide | \$375,000.00 | 2017/2018 operating budget |
| City of San Leandro | N/A | Elementary Schools | 8 | 8 | 8 | 9 | School District | All City Management Services | 2 | \$ 12.00 | \$ 68,515.20 | 50% School District, 50% City funds |
| City of Union City | Information not provided | Information not provided | Not provided | Not Provided | Not Provided | 8 | Volunteer based- New Haven Unified School District | N/A | 0 | \$ - | \$ - | N/A |
| TOTALS | | | 222 | 239 | 163 | 304 | | | | | \$ 3,314,855.23 | |

Notes for Table 2:

- ¹ Three schools are private
- ² One school from K-12th grade located between 47th Street and 53th street
Existing program in Oakland includes High Schools, which would total 128 schools in Oakland.
Union City has a volunteer based crossing guard program that is managed by the New Haven
- ⁴ Unified School District.

TABLE 3: Estimated Total Crossing Guard Program Annual Cost for K-8th Grade Schools in Alameda County (2018 \$)

| Program Elements | Total Employed Guards in Alameda County | Existing Program- Alameda County Schools Served | Total Elementary and Middle Schools in Alameda County | Potential Need | Existing Program Cost (2018 \$) | Average cost of Crossing Guard/year (2018 \$) | Estimated Total Program Cost (\$2018-assuming at least 2 guards per school) |
|---|---|---|---|----------------|---------------------------------|---|---|
| Crossing Guard Staff | 239 | 163 | 304 | 141 | 3,314,855.23 | 13,483.83 | 8,198,166.35 |
| Cost of Location Assessment (estimated/year) ¹ | | | | | | | 50,000.00 |
| Ongoing Program Management/Coordination ² | | | | | | | 355,455.00 |
| Total Estimated Cost | | | | | | | 8,603,621.35 |

Notes:

- ¹ Estimated from SR2S consultant who conducts the School Site Assessments in Alameda County and assuming local jurisdictions would provide cyclist and pedestrian count data for any existing and newly requested locations.
- ² Assuming annual salary and fringe benefits for 2.5 FTE staff members at Associate level (FY 2018-19 rate of \$142,182) based on number of 700 hours required to administer and manage the Crossing Guard Contract at the Transportation Authority of Marin (TAM) for 41 schools and extrapolating the number of schools in Alameda County.

Countywide Crossing Guard Program: Preliminary Assessment “White Paper”

Alameda County Transportation Commission



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Introduction

This white paper (hereafter referred to as the "paper") provides a preliminary assessment of opportunities for a crossing guard program (staffed using adults) at schools throughout Alameda County. The paper was developed for the Alameda County Transportation Commission (Alameda CTC) to:

- Summarize key elements of large-scale crossing guard programs;
- Highlight case studies of established regional programs in the United States;
- Provide a brief overview of existing crossing guard programs in Alameda County jurisdictions; and
- Recommend next steps in the development of a potential countywide program.

The development of this paper may be considered a potential first step in the establishment of a large-scale crossing guard program in Alameda County. Such a program would promote safety for school children throughout Alameda County that walk and bike to local schools through the provision of crossing supervision at key locations.

A variety of both small- and large-scale crossing guard programs throughout the United States have been established to address the community-specific needs related to pedestrian access to local schools. While there is some federal and state guidance on the design and implementation of crossing guard programs, the development and operation of these programs is largely determined by the local communities in which they operate. This paper provides a brief introduction to select large-scale crossing guard programs for the purpose of understanding the success and challenges faced in the establishment and operation of these programs. The programs highlighted in this paper represent well-established crossing guard programs that offer valuable insight into the successes and challenges faced when establishing and operating a crossing guard program.

This paper also presents an overview of the crossing guard programs currently operating within Alameda County, and identifies the managing agency (cities, school districts etc.) of these programs, and recommends next steps for the establishment of a countywide crossing guard program.

Purpose of Crossing Guards

The National Center for Safe Routes to School and the Pedestrian and Bicycle Information Center (PBIC) are organizations funded by the Federal Highway Administration (FHWA) for the purposes of improving the quality of life through support of Safe Routes to School programs. Safe Routes to School programs promote safe walking and bicycling as a viable means of transportation and physical activity for school children. The two organizations developed and periodically update a guide used in the development of Safe Routes to School programs nationwide. The guide identifies crossing guard programs as a valuable complement to a community's existing Safe Routes to School program.

The provision of crossing supervision would play an important role in a community's transportation system, by promoting safety and improving access for students as they walk to and from school. Bicyclists also benefit from the presence of crossing guards on occasions when they need (or prefer) to dismount their bicycles and complete their journey on foot. Crossing guards are able to provide gaps in traffic that allow pedestrians to safely cross the street.

A comprehensive crossing guard program should aim to serve a majority of the major roadways and intersections along the most-travelled routes utilized by students on their way to and from local schools. Crossing guard programs generally operate within the vicinity of kindergarten to 12th Grade (K-12) schools. However, many programs place particular emphasis on younger students in pre-school through elementary school (and in some instances middle school/junior high school), as these students may not be as well-equipped as older students to travel to school on their own.

Crossing guard programs allow parents and guardians to feel more confident about letting their children walk to school. This in turn promotes active transportation and reduces reliance on auto-oriented travel. The shift from auto to pedestrian school-based trips has the added benefit of reducing vehicular volumes on local roadways, thereby reducing delays during the peak travel periods when commuter traffic is forced to compete with school-related traffic.

Guidelines and Criteria of Crossing Guard Programs

Crossing guard program oversight can vary by location, population size, and community needs; some programs are managed at a large scale by county-based agencies, while other programs are managed at a smaller and more localized scale by city-based agencies.

The PBIC guide identifies the responsibilities of the governing body that would oversee a communities crossing guard program. Generally, the governing body of a crossing guard program would be tasked with the management or delegation of the following responsibilities:

- Identifying locations where crossing guards are needed;
- Hiring and training crossing guards in their responsibilities;
- Equipping crossing guards for their duties; and
- Securing funds to manage and operate the program.

Federal and state guidelines govern the use of crossing guards for traffic supervision. All crossing guard programs within California must conform to the standards set in Section 7D ("Types of Crossing Supervision") of the *California Manual of Uniform Traffic Control Devices 2014 Edition* (MUTCD), which in turn conform to federal guidelines established by the Federal Highway Administration.

As defined in the MUTCD, crossing guards *"may be used to provide gaps in traffic at school crossings where an engineering study has shown that adequate gaps need to be created, and where authorized by law"*. The MUTCD grants authority to cities and counties to *"designate local law enforcement agencies, the governing board of any school districts or a county superintendent of schools to recruit and assign crossing guards"*.

As outlined in the MUTCD, part of the cost of the establishment and operation of a crossing guard program may be funded through the use of fines and forfeitures received by the cities under the California Penal Code. The disposition of these fines and forfeitures is defined in Section 42200 and 42201 of the California Vehicle Code, which allows the use of funds deposited in the "Traffic Safety Fund" of the city and in the road fund of the county to pay for the compensation of school crossing guards.

The MUTCD also establishes guidelines for the selection of locations for the implementation of crossing guard supervision. The specific criteria are summarized in Table 1 and included in the Appendix.

Table 1: Criteria for the Selection of Crossing Guard Locations

| Traffic Control | Landscape | Crossing Guard May be Used | |
|-----------------|----------------------|---|--|
| | | If | and |
| Uncontrolled | Urban | No alternate controlled crossing within 600 feet | Traffic volumes exceed 350 vehicles during two hours (not necessarily consecutive) in which 40 or more school pedestrians cross daily. |
| | Rural ⁽¹⁾ | | Traffic volumes exceed 300 vehicles during two hours (not necessarily consecutive) in which 30 or more school pedestrians cross daily. |
| Stop Sign | | Undivided highway of four or more lanes | Traffic volumes exceed 500 vehicles per hour during any period when the school pedestrians are going to or from school. |
| Traffic Signal | | Vehicular turning movements through the school crosswalk exceeds 300 vehicles per hour while school pedestrians are going to or from school | Where justified through analysis of the operations of the intersection |

Source: California MUTCD, 2014.

Note: (1) Applies whenever the critical (85th percentile) approach speed exceeds 40 miles per hour.

The MUTCD provides guidance on the minimum qualifications, standard uniform, and the operating procedures for crossing guards. These procedures inform crossing guards on their role in the overall traffic operations system. As crossing guards are not law enforcement officers, they do not have the authority to direct traffic. Their role is to "*pick opportune times to create a sufficient gap in the traffic flow.*" At which time they "*shall stand in the roadway to indicate that pedestrians are about to use or are using the crosswalk, and that all vehicular traffic must stop.*" Crossing guards are equipped with stop paddles to aid in their communication with traffic.

A compliment to the establishment of crossing guard programs is the school safety patrol program sponsored by the Automobile Association of America (AAA). The school safety program works with student volunteers from upper elementary, middle, and junior high schools to teach students about traffic safety on a peer-to-peer basis. The *AAA School Safety Patrol Operations Manual* (2004) reinforces the need to educate younger children on the importance of crossing guards in the promotion of school safety.

Large-Scale Crossing Guard Programs

To understand how large-scale crossing guard programs are established, managed, and funded, several programs across the United States were briefly assessed. Five broad elements were selected in order to provide insight into the variety of large-scale programs, as well as to represent factors considered in the development and management of such crossing guard programs:

- **Jurisdiction:** Lead government agency that oversees the program.
- **Location Selection Criteria:** How crossing guard locations are selected for inclusion in the program, and evaluated for continued staffing.
- **Scope of Program:** The number of crossing guards included in the program and the number of schools covered by their services.

- **Operations:** Details of the day-to-day costs and management of the program.
- **Funding:** How much it costs to operate the program and where these funds are sourced.

The six large-scale programs identified in this paper were selected as they represent diverse landscapes and demographics across the country. The information gathered about these programs was determined through a combination of interviews with program managers, and a review of any readily available material documenting program guidelines, operational procedures and program funding. Table 2 summarizes the results of this effort.

Key Findings

The following sections detail the key findings from assessment of the six large-scale programs presented in in Table 2.

Jurisdictions

The programs analyzed are mostly managed at the county level. County agencies work in partnership with school districts in the selection of crossing locations, oversight of daily program operations, and periodical evaluation of the program. Additionally, these agencies work together to identify the most-travelled paths used for school-based trips, as well as any potential safety concerns along key intersections and crosswalks within the vicinity of the schools.

The largest program assessed in the development of this paper is that of the City of Los Angeles. The program is managed through the Los Angeles Department of Transportation (LADOT) with smaller local crossing guard offices overseeing the program at a localized level. The crossing guard office manages the day-to-day operations of the program and receives requests for crossing guards for school sites within their jurisdiction.

Location Selection Criteria

The six assessed programs have varied processes for the nomination of potential locations for inclusion in the crossing guard program. Some agencies such as the Sheriff Department of Orange County, Florida, work directly with the public school board of directors to identify locations for evaluation. Other programs such as the Marin County program run by the Transportation Authority of Marin (TAM) restrict the authority to nominate locations to the directors of city public works departments. In both cases, the nominating bodies receive input from the greater community and prioritize locations for submission to the managing agency for further evaluation.

Table 2: Summary of Large-Scale Crossing Guard Programs Surveyed

| Jurisdiction | Location Selection Criteria | | Scope of Program | | | Operations | | | Funding | |
|---|---|--|----------------------------------|-----------------------------|----------------------------------|------------|--|-------------------------------|--|--|
| Area Served Managing Agency | Guard Requests Submitted By | Location Prioritization | Staffed Crossing Locations | Total Employed Guards | Schools Served ⁽¹⁾ | Management | Average Daily Hours Worked (Hours / Guard) | Compensation (Hourly Wage) | Annual Program Costs ⁽²⁾ | Source |
| City of Los Angeles, CA <i>Los Angeles Department of Transportation (LADOT)</i> | Public requests via local crossing guard office | Information not readily available ⁽³⁾ | 333 | 358 | 333 | Contract | 3.5 | \$15.86 | \$6,300,000 | LADOT general funds. |
| Marin County, CA <i>Transportation Authority of Marin (TAM)</i> | Directors of Public Works Departments | Sites evaluated and ranked using MUTCD criteria supplemented by internal criteria created by TAM | 77 | 195 | 71 | Contract | 4.0 | \$20.50 | \$1,300,000 | Measure A Safe Routes to School Measure B Vehicle Registration Fee |
| Orange County, FL <i>Orange County Sheriff's Office</i> | School District Board | Sites evaluated and ranked using MUTCD criteria supplemented by Florida Department of Transportation (FDOT) guidelines. Locations are not reevaluated after initial staffing. | 297 | 451 | 121 | Internal | 2.0 | \$10.85 | Information not readily available ⁽³⁾ | Orange County budget general funds. Revenue from parking tickets (\$7 per ticket directly funds program). |
| City of Riverside, CA <i>Riverside Police Department</i> | Public requests via police department | Sites evaluated and ranked using MUTCD | 25 | 25 | 56 | Contract | 2.5 | \$9.75 | \$900,000 | City budget general funds. |
| San Francisco, CA <i>San Francisco Municipal Transportation Agency (SFMTA)</i> | School Principals | Evaluation based on MUTCD criteria. Locations are not reevaluated after initial staffing. | 150 | 180-190 | 110 | Internal | 4.0 | \$16.50 | \$2,000,000 | SFMTA operating funds. |
| Washington DC <i>District Department of Transportation (DDOT)</i> | Open to the Public | Sites evaluated and ranked using MUTCD criteria supplemented by DDOT guidelines. Site assessment and data submitted by crossing guards inform final decision | 140 | 206 | 140 | Internal | 4.0 | \$14.00 | \$2,000,000 | City's General Fund |

Sources:

Information presented in this table was gathered both from interviews with representatives of the managing agencies identified above, as well as the following sources:

- City of Los Angeles. City of Los Angeles Fiscal Year 2015-2016 Budget.
- City of Riverside. Preliminary Annual Budget. Fiscal Year 2015/2016 (May 20, 2015).
- Orange County Government, Florida. Orange County Florida Annual Budget Fiscal Year, 2015 – 2016.
- San Francisco Municipal Transportation Agency Livable Streets. Adult School Crossing Guard Program Map (November 19, 2014).
- Transportation Authority of Marin Board of Commissioners Meeting. Award of Contract for Crossing Guard Services (Action), Agenda Item No. 6B. July 23, 2015.

Notes:

- ⁽¹⁾ Schools served represent an approximation of all schools within the vicinity of a crossing with crossing guard supervision.
⁽²⁾ Annual crossing guard program costs are approximate and have been rounded to the nearest \$100,000.
⁽³⁾ The representative interviewed did not have information related to this aspect of the crossing guard program.

All of the programs use the MUTCD guidelines summarized in Table 1 to evaluate potential sites. However, some jurisdictions found a need to supplement these criteria with other internally developed factors that are better suited to meet the community's needs. These internal processes provide more leeway for managing agencies to provide crossing guards at locations that do not meet the MUTCD vehicular and pedestrian volume-based criteria. Locations can be included in the program based on community-specific criteria such as identified safety concerns and to aid in the promotion of walking and bicycling to school.

Scope of Program

The large-scale crossing guard programs evaluated vary in the number of crossing guards provided and the schools served by these programs. The number of staffed crossing locations for these programs range between 77 staffed locations in Marin County and 333 staffed locations in Los Angeles. These programs generally prioritize staffing crossing locations within the vicinity of elementary schools. The Los Angeles program provides crossing guards for approximately 70 percent of their elementary schools and 43 percent of their middle schools.

Some agencies staff particularly large intersections or roadway crossings with more than one guard. For example, the City of Los Angeles provides seven crossing guards for one elementary school (Richard Riordan Primary Center) located approximately one block north of the Los Angeles Metro light rail Gold-Line. The proximity of the school to a busy transit line results in additional safety concerns for children walking to or from school. The provision of abundant crossing supervision serves to promote safety during peak times when children may have to be observant of both vehicular and transit traffic along their walking path.

Additionally, programs benefit from having substitute guards on staff available on an as-needed basis in the event that the assigned guard is unable to report to work. For these and other reasons, all of the programs employed more guards than the number of staffed crossing guard locations, to ensure to the greatest extent possible that locations identified as part of the crossing guard program are always staffed on school days.

Operations

Only two of the six agencies studied (San Francisco Municipal Transportation Agency [SFMTA] and Washington D.C.'s District Department of Transportation [DDOT]) manage the day-to-day operations of their crossing guard programs. The other four agencies studied have contracts with external service providers to staff and manage their crossing guard locations. These contractors oversee the day-to-day operations of the guards, and ensure that all guards are trained and equipped per the standards established in the MUTCD.

The two-internally operated programs employ the crossing guards and manage their training and supervision. These programs reported experiencing a lower turnover rate of crossing guards in comparison to previous years when management of the program was contracted out to external service providers. This is in part because crossing guards employed by the county are government employees and may be eligible for government benefits depending on the number of hours they work per week.

Crossing guards generally staff locations for one to two hours prior to the first school bell and for one to two hours after the final school bell rings in the afternoon. Crossing guards work between two to four hours a day. The same guard staffs some locations during both the morning and afternoon shifts, while other locations are

staffed by two or more guards throughout the day. Compensation of crossing guards is largely dependent on the local minimum wage and the cost of living index. The pay for the six programs evaluated ranges from \$9.75 per hour in Riverside, California to \$16.35 per hour in San Francisco, California.

On average crossing guards work for two to four hours a day for approximately 180 days a year (dependent on the length of the school year). The annual cost for the compensation of the crossing guards in the evaluated programs ranges from approximately \$3,500 to \$12,000 per guard.

In addition to the crossing guards employed by the program, some programs include a volunteer component, in which individuals who wish to volunteer as crossing guards are trained and supervised by the managing agency and/or contracted service provider. TAM pays their crossing guard contractor \$17.00 per day to supervise volunteer guards, and \$180 in startup costs to cover training, background checks, and the provision of equipment for all of the volunteer guards.

Funding

Conversations with the managers of the large-scale programs included revealed that the quality and sustainability of the programs is largely dependent on the availability of adequate funding. Program funds generally cover the cost of program establishment and management at the regional level. These elements include staff hours and expenses related to the identification and evaluation of potential crossing locations, assessment of operations at existing locations, and the administration of any external contracts related to the program. The funds also cover the cost of training, equipping, and supervising the guards, as well as covering the costs of guard compensation.

The agencies managing the programs reported various funding sources to cover the aforementioned costs of their programs. Annual program costs vary from approximately \$6.4 million in Los Angeles to \$340,000 in Riverside. Many of the agencies fund their programs using city budgets, with revenue coming from parking citations. Various program managers reported having to scale back the program due to budget deficiencies during particularly difficult economic years.

Many communities throughout the United States have experienced significant increases in traffic congestion due to factors such as population increase and economic growth. These communities have identified school-related traffic as a major contributor to congestion along local roadways. This has led to a prioritization of the development and implementation of strategies that traffic will encourage shifts from auto-based school trips to pedestrian- and bicycle-based school trips. Crossing guard programs have been employed as a tool in the encouragement of modal shifts for school-based trips.

Select Case Studies

The following section highlights the successes and challenges faced by three of the six large-scale programs evaluated in the development of this paper.

Marin County

The crossing guard program in Marin County is managed by TAM in partnership with the public works departments of all of the cities and towns in the county. The program also works with the county public works

department that manage the unincorporated areas of the county. The program serves as one of three components of the county's Safe Routes to School Program, which works to promote walking and bicycling to and from school through the improvement of roadway conditions throughout the county.

The directors of the public works departments initially identify intersections within their jurisdiction that would benefit from the provision of crossing supervision. These locations are submitted to TAM for evaluation and prioritization based on internal criteria using pre-determined elements that expand on the MUTCD criteria summarized in Table 1. These elements include volume-based factors (vehicular volume and pedestrian volume), roadway characteristics (roadway skew angle, stopping sight distance, horizontal curve, and speed limits), and a miscellaneous category that serves as a catchall for any other factors specific to the location.

All the locations evaluated are ranked based on the overall intersection score and the locations with the highest scores are prioritized for inclusion in the crossing guard program. The number of locations that are staffed is limited by the availability of program funds. This process was developed as a way to promote equity in the selection process and to prioritize highest needs locations throughout the county. While the process has allowed for a fair assessment of all the intersections, it is a labor-intensive process requiring dedication of a portion of the overall program funds.

The day-to-day operations of the crossing guard program are contracted to professional service providers with expertise in the field. TAM opted to contract the work so as to limit liability concerns arising from the recruitment, training, and management of crossing guards. The county's most recent contract was approved by the TAM board of directors in July 2015 and terminates in July 2016 with two optional one-year extensions. TAM also has contracts with two school districts (Novato Unified School District and Kentfield School District) to provide crossing guards at intersection locations that did not score high enough to receive funding through the TAM program.

As previously mentioned, the TAM crossing guard program is funded through the voter-approved Measure A Transportation Sales Tax Expenditure Plan funds. The crossing guard program was included as a line-item in the Measure A funds which envisioned the provision of crossing guards at up to 70 locations around Marin Schools, and is supplemented by Measure B (Vehicle Registration Fee) funds which allow the provision of crossing guards at an additional 12 locations.

City and County of San Francisco

The City and County of San Francisco's crossing guard program was established over 20 years ago. The program is currently managed by SFMTA in partnership with the San Francisco Unified School District. Due to the maturity of the program, considerable time and effort has been expended on the identification of locations for crossing guard supervision. However, school principals may nominate additional locations for consideration for the program. Community input into the nomination process is handled at the local school level and filtered through the principals. Similar to other large-scale programs, SFMTA has an internally-developed scoring formula used to evaluate and prioritize locations submitted for consideration. The formula modifies the MUTCD criteria so as to cater to city-specific needs.

Once a location is included in the crossing guard program, no further evaluation is conducted at the site, and that location is permanently added to a priority list of crossing guard locations. Adjustments to the locations score are made based on input from school principals who identify any changes in existing

conditions at the crossing that may impact the overall score. Not all locations on the list can always be staffed. The number of locations staffed is dependent on availability of budgeted funds, with the highest scoring locations receiving first priority. Some of the lower-ranking locations have had crossing guards removed and then reinstated based on year-to-year budgetary changes.

All of the crossing guards in the program are City/County employees, and eligible for benefits based on the number of hours worked. As a result, the employee turnover rate for these positions is generally low. Program management reported that the guards are all generally reliable and there is a relatively low absenteeism rate.

Orange County, Florida

Orange County has one of the most extensive crossing guard programs in the state of Florida. The program is managed by the Orange County Sheriff's department and operates under the MUTCD guidelines with supplemental guidance on the training of adult school crossing guards provided by the Florida Department of Transportation (FDOT). The program has approximately 300 staffed locations and over 450 employed crossing guards. Additionally, the program has an in-house training program with a total of seven crossing guard trainers who work with new guards, and keep in contact with existing guards to ensure they are adequately performing their duties.

The program has evolved over the years in response to specific challenges it has faced. For example, the program has experienced difficulties in the recruitment and retention of crossing guards. Compensation from the position is limited by the low number of hours that guards are assigned to work (no more than two hours a day). The program has experienced high turnover rates from guards who found other employment that offered more hours. In an effort to retain existing guards and facilitate the recruitment of additional guards, the agency incorporated an incentive program. Guards who are employed by the county for five years or more are eligible to participate in the county's retirement/benefits system. The program also offers existing guards various pay bonuses awarded on a quarterly basis. A bonus is given to all guards with perfect attendance during the quarter. The program also offers a referral bonus to guards who refer a new guard to the program, if the new guard is hired and remains with the program for 90 days or more.

The program is funded through the use of general funds budgeted for the Traffic Engineering Division which are shared with other transportation priorities in the county. Due to limited funding, the crossing guard program is not able to staff all potential locations with crossing guards. If a location does not meet the criteria for the provision of a crossing guard, the engineering division of the Public Works Department will provide additional signage as appropriate and modify traffic signal timing to promote pedestrian safety at these locations.

Washington DC

The District Department of Transportation (DDOT) currently manages the school crossing guard program for the District of Columbia. The program was previously managed by the Metropolitan Police Department but was transferred to DDOT in 2008 in order to utilize the department's expertise in and commitment to the provision of a transportation system that delivers safe and convenient ways to move people.

DDOT considers input from community members on the identification of potential crossing guard locations. Members of the public are able to request a new school crossing guard by completing and submitting a

request form available on the DDOT website. Since the program was transferred to DDOT, there has been an increase in the number of requests for crossing guards, and the department has worked to provide as many crossing guards as possible within their budget.

Similar to other large-scale programs, DDOT evaluates all potential locations using the MUTCD criteria supplemented by an internally developed criteria that considers other factors such as the number of schools the guard would serve, proximity to any existing crossing guards, pedestrian crash history, etc. The locations are scored based on these factors and prioritized for inclusion into the program. DDOT values their internal criteria as it allows for the consideration of other location-specific issues that the community may consider a higher priority to be addressed.

Existing Crossing Guards Programs in Alameda County Jurisdictions

This section provides a brief overview of crossing guard programs within Alameda County. The information presented in this section was obtained through a combination of interviews with the managing agencies that oversee the crossing guard programs, and publically available records that detail information pertaining to the funding and operation of these programs. The results of this effort are summarized in Table 3.

Extensive efforts were made to identify the appropriate administrator of each jurisdictions crossing guard program. However, not all the jurisdictions responded to inquiries regarding their crossing guard program. The results presented in this paper are limited to responses received from each jurisdiction.

The programs presented here represent information that was gathered with the resources available for the development of this paper and may not include all programs within Alameda County.

The majority of the crossing guard programs within Alameda County are managed by the city police departments in partnership with the public works departments and school districts. The crossing guard program administered in the unincorporated areas of Alameda County is managed by the Alameda County Sheriff's Office in partnership with the Alameda County Public Works Agency. The managing agencies and their partners work together to identify and evaluate potential locations for the provision of crossing supervision. The local jurisdiction traffic engineers typically evaluate and prioritize these locations based on the MUTCD criteria presented in Table 1. The locations identified as the highest priority are staffed based on available funding.

While some cities with long-established crossing guard programs have continuously staffed the same locations, a select number of cities periodically evaluate existing locations and determine if these locations should continue to be prioritized for the provision of crossing guards. For example, the City of Livermore conducts a site evaluation every five years that ranks intersection locations based on both the MUTCD criteria and internally developed criteria that takes into account factors such as proximity to school and existing safety concerns. These intersections are then prioritized and only the intersections determined to be of the highest priority continue to be staffed.

Table 3: Summary of Alameda County Crossing Guard Programs (See updated table in Addendum)

| Jurisdiction | Location Selection Criteria | | Scope of Program | | | | Operations | | | Funding | |
|---|---|---|----------------------------|-----------------------|-------------------------------|--------------------------------------|--|--|----------------------------|--|---|
| Area Served <i>Managing Agency</i> | Guard Requests Submitted By | Location Prioritization | Staffed Crossing Locations | Total Employed Guards | Schools Served ⁽¹⁾ | Total Schools in Jurisdiction (K-12) | Management | Average Daily Hours Worked (Hours / Guard) | Compensation (Hourly Wage) | Estimated Annual Program Costs ⁽²⁾ | Source |
| Unincorporated Areas <i>Alameda County Sheriff's Office</i> | Public requests via Alameda County Public Works Agency Human Resources Department | Sites evaluated using MUTCD criteria | 20 | 20 | 20 | 27 | Internal | 3.0 | \$12.52 to \$13.04 | Information not readily available ⁽³⁾ | Alameda County General Funds |
| City of Alameda <i>Alameda Police Department</i> | Public requests submitted to the Police Department. | Sites evaluated using MUTCD criteria and supplemented by evaluation of existing walk to school patterns. | 17 | 24 | 10 ES | 21 | Internal | 4.0 | \$9.11 | \$168,000 | City police department budget general fund |
| City of Albany <i>Albany Police Department</i> | Information not readily available ⁽³⁾ | Sites evaluated using MUTCD criteria. Additional bi-weekly assessment of crossing guards. Upcoming program evaluation to prioritize site staffing in response to fiscal constraints. | 5 | 6 | 3 ES | 7 | Internal | 4.5 | \$12.85 to \$15.00 | Information not readily available ⁽³⁾ | City budget general funds with supplement from UC Berkeley University Village Housing |
| City of Berkeley <i>Berkeley Police Department</i> | Guard locations were predetermined at the program's inception. | Sites evaluated using MUTCD criteria and supplemented with elements of the Berkeley Municipal Code and Police Regulation. | 10 | 12 | 10 ES | 21 | Internal | 3.5 | \$22.11 | \$200,000 | City police department budget general fund |
| City of Dublin <i>Dublin Police Department</i> | Information not readily available ⁽³⁾ | | 10 | 10 plus 2 Supervisors | 7 ES 1 MS | 10 | Contract | 4.0 | \$16.76 | \$123,000 | Information not readily available ⁽³⁾ |
| City of Emeryville | The City of Emeryville does not currently have a crossing guard program. | | | | | 3 | The City of Emeryville does not currently have a crossing guard program. | | | | |
| City of Fremont <i>Fremont Police Department</i> | School District. | Sites evaluated using MUTCD criteria. Each school has an assigned police officer that regularly visit the school sites and assess crossing guard performance. Police sergeant also visits the school sites at least once a month. | 19 | 19 | 15 ES 1 Jr. HS | 46 | Contract | 3.7 | \$15.39 | \$175,000 | City budget general funds with supplement from School District |
| City of Hayward <i>Hayward Unified School District</i> | School District | Sites evaluated using MUTCD criteria. Additional weekly assessment of crossing guards. | 21 | 22 | 15 | 40 | Internal | 2.0 | \$17.66 to \$19.50 | <i>PENDING RESPONSE FROM OUTREACH EFFORTS</i> | |

Table 3: Summary of Alameda County Crossing Guard Programs (See updated table in Addendum)

| Jurisdiction Area Served Managing Agency | Location Selection Criteria | | Scope of Program | | | | Operations | | | Funding | |
|--|--|--|----------------------------|-----------------------|---------------------------------------|--------------------------------------|---|--|----------------------------|---|--|
| | Guard Requests Submitted By | Location Prioritization | Staffed Crossing Locations | Total Employed Guards | Schools Served ⁽¹⁾ | Total Schools in Jurisdiction (K-12) | Management | Average Daily Hours Worked (Hours / Guard) | Compensation (Hourly Wage) | Estimated Annual Program Costs ⁽²⁾ | Source |
| City of Livermore <i>Livermore Police Department</i> | Community input through school district and police department. | Sites evaluated using MUTCD criteria. Traffic unit reevaluates existing sites every five years. | 15 | 15 | 1 PS 6 ES 3 MS 2 K-8 1 HS | 19 | Contract | 3.0 | \$15.99 to \$16.93 | \$270,000 / first year and \$137,000 for each additional year | City police department budget general fund |
| City of Newark <i>Newark Police Department</i> | School District | Sites evaluated using MUTCD criteria. Existing sites reevaluated upon requests by police departments and community | 7 | 7 | 7 ES | 12 | Contract | 3.0 | \$16.35 | \$63,000 | City budget general funds |
| City of Oakland <i>Oakland Police Department</i> | Community Input | Sites evaluated using MUTCD criteria. Locations prioritized based on identified traffic safety concerns | 43 | 49 | 5 MS 38 ES | 127 | Internal | 4 | \$14.00 to \$18.00 | \$200,000 | City police department budget general fund |
| City of Piedmont <i>Piedmont Police Department</i> | School District | Sites evaluated using MUTCD criteria. Existing Sites evaluated when signing new contracts. | 6 | 6 | 3 ES | 6 | Contract | Information not readily available ⁽³⁾ | | \$48,000 | City budget general fund with supplement from School District. |
| City of Pleasanton | School district, police department, traffic engineering department, and community input. | Sites evaluated using MUTCD criteria. City collaborates with contractor to manage the sites and address any complaints. | 21 | 21 | 20 ES 1 MS | 17 | Contract | 4 to 6 | \$16.87 | \$351,000 | City budget general funds |
| City of San Leandro <i>San Leandro Police Department</i> | School district | Crossing guards have been historically located at these school sites. | 8 | 8 | 8 | 17 | Contract | 2 | \$17.48 | \$50,000 | City police department budget general fund |
| Union City <i>New Haven Unified School District</i> | Information not provided ⁽⁴⁾ | | | | | 13 | Information not provided ⁽⁴⁾ | | | | |

Sources:

Information presented in this table was gathered both from interviews with representatives of the managing agencies identified above, as well as the sources listed in the references section of this document.

Notes:

PS= Pre-School, ES = Elementary School, MS = Middle School, K-8 = Kindergarten to Eighth Grade, Jr. HS = Junior High School, HS = High School

⁽¹⁾ The number of schools served is presented by school type where information was provided. Where unavailable the total number of schools served is presented as an assumption that each crossing guard serves one school.

⁽²⁾ Program costs are approximate and have been rounded to the nearest \$1,000.

⁽³⁾ The representative interviewed did not have information related to this aspect of the crossing guard program.

⁽⁴⁾ Several attempts were made to contact obtain this information from representatives of this jurisdiction.

Similar to the large-scale programs previously discussed, many of the programs within Alameda County have opted to contract the day-to-day management of their programs to private companies with expertise in the provision of crossing supervision. Many of Alameda County jurisdictions reported re-awarding their contracts to the same company over multiple contract cycles due to minimal responses to advertised contracting opportunities.

The City of Fremont has a contract with an external service provider but remains extensively involved in the management of the day-to-day elements of the program. This approach results from problems experienced in the past when crossing guards were provided through school-based volunteer safety programs. These programs did not adequately train the crossing guards, and the availability of guards was unreliable due to absenteeism from volunteer guards.

Other cities choose to internally manage the day-to-day operations of their programs. The City of Albany operates its own crossing guard programs with city-employed crossing guards. These programs recruit, train, and manage the crossing guards. City-managed programs generally require a full-time staff member to oversee all elements of the program.

Interviews with the program managers revealed that the existing programs have limited budgets which constrain the scope of their programs. Many of the programs are unable to staff all of the elementary schools within their cities. The city-run programs are typically funded through general funds within the city budget. Some cities have been forced to either suspend or scale back their programs due to budget deficits during the economic downturn. The City of Newark reinstated their suspended program during the 2011— 2012 school year. The program was reinstated at a diminished capacity with only 15 of the 20 sites included in the program.

Some programs have supplemented program funds with funds provided by the school districts. Other programs have secured partnerships with local stakeholders. The University of California Berkeley's (UC Berkeley) University Village Housing funds two of the crossing guards for the City of Albany's program. The University Village has a vested interest in the crossing guard program as the two locations they fund are within close proximity to University Village Housing and serve the children of UC Berkeley's graduate students that live within the village.

The program managers interviewed for this white paper reported the crossing guard programs as very popular with the community, with local crossing guards representing familiar faces to students and parents, thereby fostering a sense of community. The program has aided in the alleviation of parent's apprehension to allowing their children to walk to school on their own. The cities expressed desire to expand their programs but are currently unable to do so due to the limited availability of funding for additional locations.

Many of the programs administrators have numerous responsibilities outside of the crossing guard program and were not immediately available to respond to inquiries about the program. The limited availability of information from some of the jurisdictions is somewhat indicative of the challenges faced by the local programs.

Summary

This preliminary white paper is intended for informational purposes for the Alameda CTC Board of Commissioners. Alameda County has very different and distinct development patterns and travel characteristics of the four planning areas (North, Central, South, and East) of the county (as defined by the Alameda CTC and documented in the *Alameda Countywide Transportation Plan* [June, 2012]). These planning areas vary in demographics and landscape, and as such provide discrete challenges for students walking to and from school along local roadways. The jurisdictions school crossing guard programs currently serve those different travel behaviors and are designed to respond to the localized needs.

References

The following resources were used in the development of the white paper:

- Alameda County Transportation Commission. 2014 Alameda County Transportation Expenditure Plan (2014).
- Alameda County Transportation Commission. Alameda Countywide Transportation Plan, Final (2012).
- Alameda County Public Works Agency. School Crossing Guard Program Website (Accessed, September 29, 2015).
- Alameda County Safe Routes to School Program Website (Accessed September 28, 2015).
- California Department of Motor Vehicles. California Vehicle Code (2015).
- California Department of Transportation. California Manual on Uniform Traffic Control Devices for Street and Highways (2014).
- City of Berkeley Police Department. General Order A-2. Adult Crossing Guard Program. (March 6, 2008).
- City of Dublin Council Meeting. Amendments to the Crossing Guard Contract Item No. 4.5 (May 20, 2014).
- City of Fremont. Service Agreement for Adult Crossing Guard Services (July 16, 2014).
- City of Fremont Council Staff Meeting. School Crossing Guard Services Staff Report (ID #2094) (July 8, 2014).
- City of Los Angeles. City of Los Angeles Fiscal Year 2015-2016 Budget.
- City of Los Angeles Department of Transportation. Crossing Guard Job Opportunity.
- City of Oakland, Safe Walks to School Website (Accessed September 29, 2015).
- City of Pleasanton Traffic Engineering Department. Adult School Crossing Guards.
- City of Riverside. Preliminary Annual Budget. Fiscal Year 2015/2016 (May 20, 2015).
- Transportation Authority of Marin Board of Commissioners Meeting, Award of Contract for Crossing Guard Services (Action), Agenda Item No. 6B. July 23, 2015.
- Orange County Government, Florida. Orange County Florida Annual Budget Fiscal Year, 2015 – 2016.
- Florida Department of Transportation Safety Office. Florida School Crossing Guard Training Guidelines (2012).

- Marin County Transportation Sales Tax Expenditure Plan. Approved Final Plan (May 6, 2004).
- Pedestrian and Bicycle Information Center. Safe Routes to School Online Guide (2015).
- Transportation Authority of Marin. Measure B Vehicle Registration Fee (VRF) Strategic Plan. (Adopted July 28, 2011)
- San Francisco Municipal Transportation Agency Livable Streets. Adult School Crossing Guard Program Map (November 19, 2014).
- United States Census Bureau. American Fact Finder. 2013 American Community Survey Estimates School Enrollment. (Accessed, September 28, 2015).

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Memorandum

6.13

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Liz Rutman, Director of Express Lanes Implementation and Operations

SUBJECT: I-680 and I-580 Express Lanes (PN 1369.000, 1386.000, 1486.000):
Approval of Contract Amendment No. 2 to Professional Services
Agreement A16-0075 with HNTB Corporation

Recommendation

It is recommended that the Commission approve and authorize the Executive Director to execute Amendment No. 2 to Professional Services Agreement A16-0075 with HNTB Corporation (HNTB) for an additional amount of \$525,000 for a total not-to-exceed amount of \$1,525,000 and a 24-month time extension to complete System Manager Services related to the I-580 and I-680 Express Lanes.

Summary

In addition to operating and maintaining the I-580 Express Lanes and the I-680 Sunol Southbound Express Lane, Alameda CTC is the project sponsor for the Interstate 680 (I-680) Sunol Express Lanes Project currently under construction. The project will construct a 9-mile Express Lane segment on northbound I-680 between south of Auto Mall Parkway and SR 84, and convert the existing southbound controlled-access express lane to an open-access facility to provide consistency with the new northbound express lane. Alameda CTC is also the project sponsor of the SR-84 Widening from South of Ruby Hill Drive to I-680 and SR-84/I-680 Interchange Improvements Project, which includes extending the southbound I-680 express lane to the north by two miles.

In coordination with Alameda CTC staff, a System Manager provides technical oversight of the Toll System Integrator (TSI) during the design, development, testing, and implementation of the toll system. In addition, a System Manager may provide support during operations to ensure key performance metrics are met throughout the life of the toll system and program support relating to express lane system expansion efforts.

In July 2016, HNTB was selected through a competitive process to provide System Manager Services for the I-680 Sunol Express Lanes Project, with optional tasks to provide support

services for the I-680 and I-580 express lanes currently in operation. The contract was subsequently amended administratively to add special conditions relating to Personally Identifiable Information. Staff recommend that the scope of work be expanded to include System Manager support related to the SR-84/I-680 Interchange Improvements Project, as well as augmented oversight of the TSI for the I-680 Sunol Express Lanes project. A 24-month time extension is recommended to ensure System Manager Services are provided for the I-680 Sunol Express Lanes Project through the operational testing and warranty period, which is now scheduled to be nearly two years later than anticipated when this contract was originally procured.

Authorization of Amendment No. 2 to Professional Services Agreement No. A16-0075 with HNTB for an additional amount of \$525,000 for a total not-to-exceed amount of \$1,525,000 and a 24-month time extension to June 30, 2022 will provide the resources and time necessary to provide System Manager Services for the I-680 express lanes corridor. A summary of all contract actions related to Agreement No. A16-0075 is provided in Table A.

Background

The I-680 Sunol Express Lanes Project is a significant element of the Alameda CTC Capital Program. In June 2016, The Alameda CTC selected Kapsch TrafficCom USA, Inc. (Kapsch) as the TSI for the I-680 Sunol Express Lanes; in July 2016, Alameda CTC selected HNTB as the express lanes System Manager. HNTB has been providing oversight of the TSI during the toll system design phase, and will continue providing oversight throughout implementation, testing, and the warranty period. The current contract term is from August 29, 2016 through June 30, 2020.

In July 2018, the majority of the toll system design and implementation oversight was shifted from the Alameda CTC capital projects team to the express lanes team, with HNTB providing additional TSI contract support services. HNTB also provided support services for both the I-680 and I-580 express lanes operations, and additional services are recommended to support the extension of the I-680 southbound express lane in conjunction with the SR-84/I-680 Interchange Improvements project. These activities are presented below.

I-580 Express Lanes Support:

- The I-580 Express Lanes Upgrade project was approved by the Commission in March 2018. Procurement of a TSI requires extensive technical expertise such as that provided by a System Manager. HNTB was engaged through a task order to provide support services to develop the scope of work for the project, which included over 1,600 technical requirements. HNTB also provided technical support throughout the procurement.

I-680 Express Lanes Support:

- As a first step in implementation of the new toll system, and to accommodate the construction impacts associated with the projects, Kapsch implemented an interim toll system for the existing I -680 Southbound Express Lane in October 2017. Oversight of the Kapsch team was performed by HNTB under a task order for operations support services.
- In 2017, the State of California adopted a new Automatic Vehicle Identification specification, the International Standards Organization 18000-63, known as the 6C protocol. That action mandates that all toll operators in California perform all updates needed to enable their toll systems to recognize vehicles with 6C transponders by January 1, 2019. Alameda CTC staff executed a task order with Kapsch to perform this update. Staff recommend expanding HNTB's scope of work to include oversight of the implementation and testing of this system update.
- The SR-84/I-680 Interchange Improvements Project includes a two-mile extension of the existing I-680 Southbound Sunol Express Lane limits to the north. Toll systems are designed to be modular and can easily accommodate additional expansions. In a future action, staff will recommend that the Kapsch contract be amended to design and implement the additional tolling infrastructure and expand the toll system currently being designed for I-680. With the 65% design plans scheduled to be completed in March 2019, staff need to engage Kapsch in contract negotiations in the next few months. Assistance from HNTB is needed to develop the scope of work for the design, development, implementation, and testing of the expansion to the toll system and negotiating with Kapsch for a fair and reasonable price for this expansion. Since the expansion will not be constructed until 2022, the implementation and testing activities will be separate from the current I-680 Express Lanes Project implementation and testing.
- At the time of the contract award to HNTB, express lane operations were anticipated to begin in spring 2019. The current construction schedule reflects express lane operations beginning in fall 2020. After opening, operational testing is conducted to verify that the system performs under live operations to the standards required by the TSI contract. This typically takes three months but could take longer, and is followed by a 270-day warranty period. Throughout the operational testing and warranty period, the System Manager monitors the TSI and supports staff in operating the express lanes. A contract extension to June 30, 2022, is recommended to ensure HNTB staff resources are available throughout the warranty period.

Staff has negotiated the contract amendment with HNTB based on the level of effort anticipated to be required to conduct the additional work scope. With the proposed modifications, the contract would continue to exceed the Local Business Contract Equity goal of 70% Local Business Enterprise but would reduce the Small Local Business Enterprise (SLBE) participation from 31% to 17%. This is primarily due to specialized expertise needed

for preparing the additional TSI scopes of work for the I-580 and I-680 projects. When only the I-680 Express Lanes Project is considered, the SLBE participation is over 25%.

Staff has determined that this negotiated amount is fair and reasonable to both Alameda CTC and HNTB. Table A summarizes the contract actions related to Agreement No. A16-0075.

| <u>Table B: Summary of Agreement No. A16-0075</u> | | | |
|--|--|--------------|---|
| Contract Status | Work Description | Value | Total Contract Not-to-Exceed Value |
| Original Professional Services Agreement with HNTB (A16-0075) December 2014 | System Manager Services | N/A | \$1,000,000 |
| Amendment No. 1 August 2018 | Addition of Special Conditions Relating to Personally Identifiable Information | N/A | \$1,000,000 |
| <i>Proposed Amendment No. 2</i> <i>December 2018 – (This Agenda Item)</i> | Provide additional budget and 24-month time extension to June 30, 2022 to complete the project | \$525,000 | \$1,525,000 |
| Total Amended Contract Not-to-Exceed Amount | | | \$1,525,000 |

Levine Act Statement HNTB reported a conflict with the Levine Act regarding Robert Raburn, BART's Alternate on the Commission. If Mr. Raburn is present as BART's representative at the Commission meeting, he will be required to recuse himself from the vote on this matter pursuant to the Alameda CTC Conflict of Interest Code. If Commissioner Saltzman is present at the meeting, however, Mr. Raburn's Levine Act conflict will have no impact on the vote.

Fiscal Impact The fiscal impact for approving this item is \$525,000, which was included in the various projects' funding plans. Upon approval, the budget will be reflected in Alameda CTC's FY 2018-2019 Capital Program Budget.

Attachments:

- A. I-680 Sunol Express Lanes Project Fact Sheet
- B. SR-84 Widening from South of Ruby Hill Drive to I-680 and SR-84/I-680 Interchange Improvements Project Fact Sheet



Interstate 680 Sunol Express Lanes (Phase 1 and Phase 2)

6.13A

AUGUST 2018

PROJECT OVERVIEW

The Alameda County Transportation Commission (Alameda CTC), in cooperation with the California Department of Transportation (Caltrans) and the Federal Highway Administration (FHWA), environmentally cleared the construction of a high occupancy vehicle (HOV)/express lane on northbound Interstate 680 (I-680) from the State Route 237 (SR-237) interchange in Santa Clara County to north of the State Route 84 (SR-84) interchange in Alameda County. The project was split into two phases to expedite the delivery. Phase 1 broke ground in April 2018.

Phase 1 (From State Route 262 (SR-262) to SR-84.)

- Widen the freeway to accommodate the HOV/express lane together with several auxiliary lanes to facilitate the smooth and safe transition of traffic between local streets and the freeway between interchanges.
- Add a new 9-mile HOV/express lane and associated improvements between Auto Mall Parkway and SR-84, providing congestion relief in the corridor.
- Upgrade the I-680 Southbound Express Lane access configuration from controlled access to a near continuous access configuration.
- Modify bridge crossings.
- Construct retaining walls to accommodate the widening.
- Repave the full project limits.

Phase 2 (Will widen from SR-262 to the County line.)

- Construct HOV/high occupancy toll lanes in the northbound direction on I-680 from the county line south of SR-262.
- Construct nearly five miles of HOV/express lane along the I-680 corridor through widening, along with other necessary improvements, including structure widening/modification and retaining walls.



PROJECT NEED

- I-680 at the Sunol grade is one of the top 10 most congested freeway corridors in the Bay Area.
- Two primary bottlenecks on this project are SR-238 to Andrade Road and SR-262 to Washington Boulevard.
- Queues near Andrade Road begin to form at 2 p.m. or earlier most weekdays and extend beyond Scott Creek Road (nearly 10 miles) by the peak afternoon commute.
- Travel time delay contributes to diverted traffic on Calaveras Boulevard, Mission Road and Mission Boulevard.

PROJECT BENEFITS

- Reduces congestion
- Accommodates current and future increases in traffic
- Provides state-of-the-art technology that allows for improved enforcement, greater reliability and faster travel speeds in the general purpose lanes.



Interstate 680 northbound.

STATUS

Implementing Agency: Alameda CTC

Current Phase: Phase 1 - Construction

- Project approval and environmental clearance were complete in summer 2015.
- The construction contract was awarded in late November 2017.
- Construction on Phase 1 began in March 2018 and is expected to continue through fall 2020

PROJECT DOCUMENTS

Project web page: <http://www.alamedactc.org/680express>

Environmental Impact Report/Environmental Assessment (EIR/EA)

Draft: http://www.dot.ca.gov/dist4/documents/680nbhovlane/1680_NB_Express_Lane_DED_Nov2014.pdf

Final EIR/EA with finding of no significant impact (FONSI):

http://www.dot.ca.gov/d4/documents-environmental/680nbhovlane/680final/Report-I-680_NB_Express_Lane_FED_July2015.pdf

PARTNERS AND STAKEHOLDERS

Caltrans, California Transportation Commission, FHWA, cities of Pleasanton, Fremont and Milpitas, and the Santa Clara Valley Transportation Authority

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

COST ESTIMATE BY PHASE¹ (\$ x 1,000)

| | Phase 1 | Phase 2 |
|---|----------------------|------------------|
| Scoping | \$75 ¹ | (See footnote 1) |
| Preliminary Engineering/ Environmental | \$8,039 ¹ | (See footnote 1) |
| Final Design (PS&E) | \$17,111 | \$10,000 |
| Right-of-Way | \$4,770 | \$5,000 |
| Construction | \$205,789 | \$115,000 |
| Total Expenditures | \$235,784 | \$130,000 |

¹ Combined cost estimate for Phase 1 and Phase 2.

FUNDING SOURCES (\$ x 1,000)

| | Phase 1 | Phase 2 |
|----------------------------|------------------|------------------|
| Measure BB | \$40,000 | TBD |
| Measure B | \$137,500 | TBD |
| State (TCRP) ² | \$20,874 | TBD |
| State (SHOPP) ³ | \$37,410 | TBD |
| Total Revenues | \$235,784 | \$130,000 |

² Transit Cooperative Research Program.

³ State Highway Operations and Protection Program.

SCHEDULE BY PHASE⁴

| | Begin | End |
|--|----------------|--------------|
| Preliminary Engineering/ Environmental (EIR/EA) | September 2011 | July 2015 |
| Final Design | August 2015* | June 2017* |
| Right-of-Way | August 2015* | June 2017* |
| Advertisement/Award | Summer 2017* | Fall 2017* |
| Construction | Fall 2017* | Spring 2020* |

*These dates are for Phase 1 only.

⁴ Phase 2 work is contingent upon coordination with the Santa Clara Valley Transportation Authority's implementation of the northbound express lane from the county line to SR-237.



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

6.13B

SEPTEMBER 2018

PROJECT OVERVIEW

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

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

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

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

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

PROJECT NEED

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

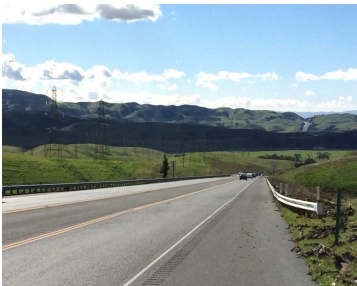


PROJECT BENEFITS

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



I-680/SR-84 interchange.



SR-84 looking eastbound near Ruby Hill Road.



SR-84 looking westbound near Ruby Hill Road.

STATUS

Implementing Agency: Alameda CTC

Current Phase: Final Design and Right-of-Way

- The Environmental Impact Report (EIR) as part of California Environmental Quality Act (CEQA) clearance and the Environmental Assessment (EA) as part of National Environmental Policy Act (NEPA) clearance were completed on May 30, 2018.
- Final design and right-of-way acquisition work began in the early summer of 2018.

PARTNERS AND STAKEHOLDERS

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

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

| | |
|---------------------------------------|-----------|
| Preliminary Engineering/Environmental | \$5,756 |
| Final Design | \$18,784 |
| Right-of-Way | \$33,550 |
| Construction | \$176,010 |
| Total Expenditures | \$234,100 |

Note: Construction cost escalated to mid-year of construction, 2022.

FUNDING SOURCES (\$ X 1,000)

| | |
|------------------------------|-----------|
| Measure BB | \$122,000 |
| Measure B | \$1,046 |
| Local (TVTC) ¹ | \$14,940 |
| Regional (RIP) ² | \$11,114 |
| Regional (RM 3) ³ | \$85,000 |
| Total Revenues | \$234,100 |

¹ Local funding includes the Tri-Valley Transportation Council (TVTC).
² Regional Improvement Program (RIP).
³ Regional Measure 3 (RM 3).

SCHEDULE BY PHASE

| | Begin | End |
|----------------|-------------|-------------|
| Environmental | Spring 2015 | Summer 2018 |
| CEQA Clearance | Spring 2015 | Summer 2018 |
| NEPA Clearance | Spring 2015 | Summer 2018 |
| Final Design | Summer 2018 | Summer 2020 |
| Right-of-Way | Summer 2018 | Summer 2020 |
| Construction | Winter 2021 | Fall 2023 |

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



Memorandum

6.14

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Trinity Nguyen, Director of Project Delivery
Minyoung Kim, Project Manager

SUBJECT: East Bay Greenway (Lake Merritt BART to South Hayward BART) (PN 1457001): Approve Release of Request for Proposal (RFP) for Preliminary Engineering Services and Authorize negotiations with top ranked firms

Recommendation

It is recommended that the Commission approve the following actions related to the East Bay Greenway (Lake Merritt BART to South Hayward BART) project:

1. Approve the release of a request for proposals (RFP) for Professional Services to provide the preliminary engineering services; and
2. Authorize the Executive Director to negotiate with the top ranked firms.

Summary

The Alameda CTC is the project sponsor for the East Bay Greenway: Lake Merritt BART to South Hayward BART project (Project), a named capital project under 2014 Transportation Expenditure Plan - Gap Closure on Three Major Trails. The Project completed the Project Approval and Environmental Document (PA&ED) phase. As the lead agency for California Environmental Quality Act (CEQA), the Commission adopted the Initial Study/Mitigated Negative Declaration (IS/MND) in March 2018. The National Environmental Policy Act (NEPA) Categorical Exclusion (CE) was approved by Caltrans in November 2018.

In order to progress the delivery of the Project, staff recommends advancing the long-lead tasks of preliminary engineering prior to the final design phase, which is anticipated to begin in Summer 2019. Tasks would include the right-of-way data collection, mapping, and appraisal.

Upon approval of this item, staff intends to release the RFP in December 2018 and expects to return to the Commission in May 2019 with an award recommendation. The resulting contract would be funded by Measure BB, which has been included in the Alameda CTC Adopted FY 2018-19 Capital Program Budget.

Background

The Project proposes to construct a bicycle and pedestrian facility that will generally follow the BART alignment for a distance of 16 miles and traverse the cities of Oakland, San Leandro, and Hayward, as well as the unincorporated communities of Ashland and Cherryland. The Project connects seven BART stations as well as downtown areas, schools, and other major destinations.

The Project completed the PA&ED phase. As the lead agency for CEQA, the Commission adopted the IS/MND in March 2018 pursuant to Section 15074 of the CEQA Guidelines. Caltrans approved the corresponding CE under NEPA in November 2018. The environmental clearance approach for the Project incorporates the phased implementation of the 16-mile corridor on a segment-by-segment basis to allow design, and eventual project construction, to proceed once constraints, such as right-of-way availability, jurisdictional readiness, and funding are resolved. Right-of-way availability has the most impact on the final Project features. The environmental documents addressed both options below.

- **Rail-to-Trail** option assumes that the Union Pacific Railroad (UPRR) Oakland Subdivision would no longer have active rail service and the full 80-100 foot wide right-of-way is available for the Project.
- **Rail-with-Trail** option assumes the minimum possible encroachment into UPRR right-of-way while still constructing a continuous facility alongside the rail. This concept requires encroachment into UPRR right-of-way for approximately six miles.

In July 2018, Alameda CTC submitted an ATP Cycle 4 grant application, seeking funding for the final design phase of the segment from San Leandro BART to South Hayward BART. The ATP Cycle 4 grant awards will be announced in January 2019 for the statewide program and June 2019 for the Metropolitan Planning Organization (MPO) selected projects. Such grant application included flexibility for the Rail-to-Trail option should the full right-of-way from UPRR become available.

Commission's approval to release the RFP and authorization to negotiate with top ranked firms will provide the resources for the preliminary engineering services in advance of the final design phase, which is anticipated to begin in Summer 2019. Tasks would include advancing the right-of-way data collection, mapping, and appraisal.

Fiscal Impact: The action will authorize the encumbrance in previously allocated project funds for subsequent expenditure. This amount is included in the appropriate project funding plans, and sufficient budget has been included in the Alameda CTC Adopted FY 2018-19 Capital Program Budget.

Attachment:

- A. East Bay Greenway Project Fact Sheet

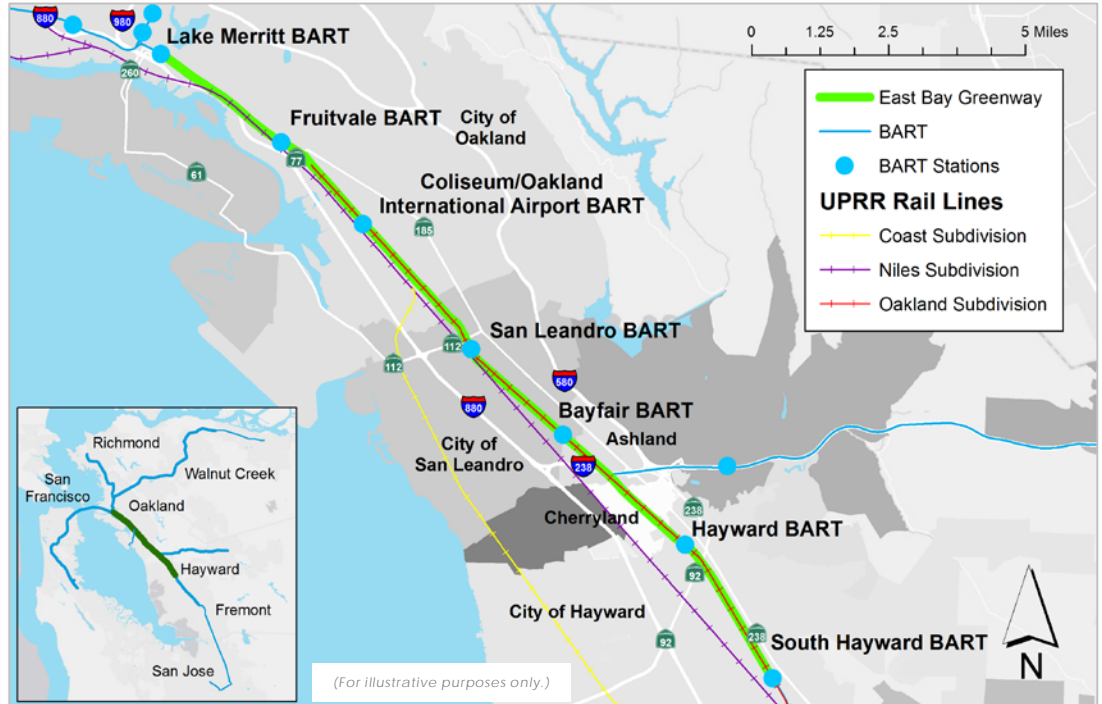
East Bay Greenway: Lake Merritt BART to South Hayward BART 6.14A

SEPTEMBER 2018

PROJECT OVERVIEW

The Alameda County Transportation Commission (Alameda CTC) is the implementing agency for the East Bay Greenway: Lake Merritt BART to South Hayward BART project that proposes to construct a 16-mile regional trail facility along the BART alignment from Oakland to Hayward. The project would consist of Class I multi-use pathways and Class IV protected bikeways as well as lighting, fencing, barrier railings, intersection improvements and crossing treatments, and other features needed to ensure user safety and security.

Much of the project corridor contains an active Union Pacific Railroad (UPRR) line and availability of UPRR right-of-way will determine the ultimate project design. Two design options are under consideration to provide "bookends" for environmental analysis purposes. A Rail-with-Trail option would construct a trail adjacent to the rail line while preserving rail operations. A Rail-to-Trail option would involve abandonment of the rail line and conversion to a trail facility. Both options require some usage of UPRR right-of-way.



PROJECT NEED

- The existing county bikeway network does not provide a continuous and comfortable route connecting Downtown Oakland and South Hayward.
- Existing interjurisdictional routes in the East Bay Greenway corridor are generally arterial roadways that carry significant traffic volumes, are designated transit and truck routes, and have established histories of collisions involving bicyclists and pedestrians.
- The East Bay Greenway jurisdictions and BART have adopted specific plans, station area plans and other land use plans, calling for thousands of additional residents and jobs in the East Bay Greenway corridor. Improved last-mile transit access to regional transit and destinations is essential to accommodating planned growth along the East Bay Greenway corridor.

PROJECT BENEFITS

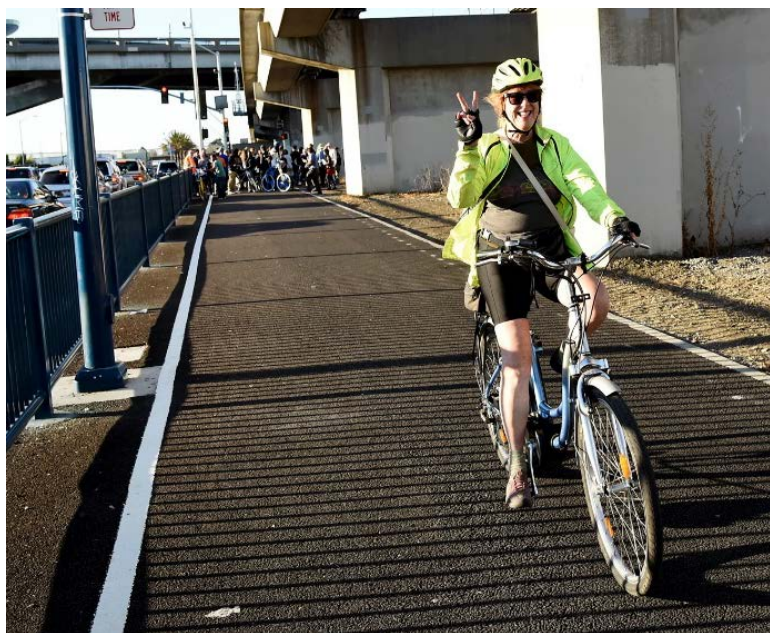
- Improves bicycle and pedestrian network connectivity in communities along the BART line
- Improves access to regional transit, schools, downtown area, and other destinations
- Creates a facility that is accessible and comfortable to bicyclists and pedestrians of all ages and abilities
- Improves safety for bicyclists and pedestrians
- Supports promotion of a multimodal transportation system and reduction of greenhouse gas emissions

STATUS

Implementing Agency: Alameda CTC

Current Phase: Environmental

- In September 2014, Alameda CTC leveraged available local Measure B and BB funds and was awarded \$2.6 million in state Active Transportation Program (ATP) funding towards the environmental clearance for the Project.
- Alameda CTC is the lead agency for California Environmental Quality Act (CEQA) and Caltrans is the lead agency for National Environmental Policy Act (NEPA).
- Alameda CTC adopted the CEQA Initial Study/Mitigated Negative Declaration (IS/MND) on March 22, 2018.



Initial East Bay Greenway segment from Coliseum BART to 85th Avenue (funded by Measure WW, TIGER and BAAQMD).

PROJECT DOCUMENTS

For more information on the project, please visit:

www.alamedactc.org/eastbaygreenway.

PARTNERS AND STAKEHOLDERS

Cities of Oakland, San Leandro and Hayward, Alameda County, BART, East Bay Regional Park District and the California Department of Transportation – lead agency for NEPA clearance

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

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

| | |
|------------------|-------------|
| PE/Environmental | \$6,501 |
| Final Design | \$22,000 |
| Right-of-Way | TBD* |
| Construction | \$161,000** |

* The cost for right-of-way is subject to future discussions with UPRR.

**2017 estimate.

FUNDING SOURCES (\$ X 1,000)

| | |
|------------|---------|
| Measure BB | \$3,500 |
| Measure B | \$345 |
| Federal | \$2,656 |
| State | TBD |
| Regional | TBD |

SCHEDULE BY PHASE

| | Begin | End |
|---------------------|-------------|-------------|
| Environmental | Fall 2015 | Fall 2018 |
| Final Design (PS&E) | Summer 2019 | Summer 2021 |
| Right-of-Way | TBD | TBD |
| Construction | Late 2021 | Late 2023 |



Project corridor in San Leandro south shared by UPRR – an active freight rail line.

Application for the Alameda CTC Independent Watchdog Committee (IWC)



Alameda CTC invites Alameda County residents to serve on its **Independent Watchdog Committee**, which generally meets quarterly on the evening of the second Monday of the month. Each member is appointed for a two-year term.

Membership qualifications:

Each IWC member must be an Alameda County resident and must not be an elected official at any level of government or a public employee of an agency that oversees or benefits from the proceeds of the sales tax or have any economic interest in any Measure B or Measure BB-funded projects or programs.

Name: Thomas Alan Rubin

Home Address: [REDACTED]

Mailing Address: [REDACTED]

Phone: (home) [REDACTED]

Email: [REDACTED]

Please respond to the following sections on a separate attachment:

- I. **Commission/Committee Experience:** What is your previous experience on a public agency commission or committee? Please also note if you are currently a member of any commissions or committees.
- II. **Statement of Qualifications:** Provide a brief statement indicating why you are interested in serving on the IWC and why you are qualified for this appointment.
- III. **Relevant Work or Volunteer Experience:** Please list your current employer and relevant volunteer experience including organization, address, position and dates.
- IV. **Bio or Resume:** Please include your current biography or resume.

Certification: I certify that the above information is true and complete to the best of my knowledge.

Signature

Tom Rubin

Date

10/18/18

Return the application to your appointing party for signature (see www.alamedactc.org/app-pages/view/8), or fax (510.893.6489) or mail it to Alameda CTC.

Appointing Party:

Signature:

Jan B. Wallin, Eric Lee, ACTAX

Date:

10-19-18

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THOMAS A. RUBIN, CPA, CMA, CMC, CIA, CGFM, CFM
APPLICATION FOR THE
ALAMEDA COUNTY TRANSPORTATION COMMISSION
INDEPENDENT WATCHDOG COMMITTEE

APPLICATION SUPPORT MATERIALS

I. Commission/Committee Experience

Los Angeles Unified School District, Consultant to the School Construction Bond Citizens' Advisory Committee, 2001-2018, involvement in all aspects of \$28 billion program that built 130 new schools and modernized hundreds of experienced schools.

Processional and Civic Associations:

- American Dream Coalition, Executive Committee
- American Public Transportation Association, Associate Member Board of Governors
- California Transit Association, Executive Committee
- Greater San Francisco Chamber of Commerce, Chair, Wastewater Review Committee
- Institute of Certified Management Accountants, Board of Regents
- Institute of Management Accountants, Board of Directors
- Mount Tiburon Homeowners Association, Secretary and Director
- Women's Transportation Seminar, National Fundraising Chair
- Yes on S (campaign committee that successfully promoted ballot measure for new taxes that financed construction of the George R. Moscone Center), Treasurer

I am not currently serving as a member of any governmental commission or committee.

II. Statement of Qualifications

I have served as the chief financial officer of two of the largest transit agencies in the U.S. and, as an auditor and consultant, have served well over one hundred transit operators, California county transportation commissions, metropolitan planning organizations, state departments of transportation, the Federal Department of Transportation, and other agencies with projects ranging from financial, performance, compliance, and contract audits; long-term operating/capital/financial planning and modeling; information technology planning, design, and implementation; capital project planning, management, and project control systems; contracting and privatization; and expert/expert witness work in legal disputes.

Many years ago, in the first years of the Alameda County Transportation Commission, while with Deloitte Haskins & Sells (now Deloitte & Touche, LLP), I was the client partner for the audit of ACTC.

I have worked with almost all of the major transportation and transit agencies in the Bay Area on audit and/or consulting projects (but none for several years).

III. Relevant Work or Volunteer Experience

For the past two decades, I have practiced as Thomas A. Rubin, Consultant, a sole proprietorship specializing in governmental surface transportation and public sector finance.

I have not had any clients in the Bay Area for several years and I will not seek out, or accept, work for any public agency or business that may have dealings with, or receive funding from, directly or indirectly, ACTC during my service on the Independent Watchdog Committee.

IV. Bio or Resume

See attached.

Thomas A. Rubin, CPA, CMA, CMC, CIA, CGFM, CFM

KEY SKILL AREAS

- Bus and Rail Transit
- Innovative Finance
- Public-Private Partnerships
- Financial Feasibility
- Long-Term Capital/Operating/Financial Planning and Modeling

EDUCATION

- M.B.A. Indiana University, Finance, Bloomington
- B.A.B.A. Accounting and Finance, University of Nebraska, Lincoln

PROFESSIONAL HISTORY

- Thomas A. Rubin, Consultant, 1996 – present
- Alameda-Contra Costa Transit District (Oakland), 1994-1995, *Assistant General Manager, Finance*
- Southern California Rapid Transit District (Los Angeles, now LACMTA), 1989-1994, *Chief Financial Officer*
- Deloitte Haskins & Sells (San Francisco, Washington, 1974-1989, *Partner, National Transit Services Director*
- Indiana University, Bloomington, 1972 - 1973, *Associate Instructor, Accounting*
- United States Navy, 1969-1972, Supply Corps Officer

EXECUTIVE SUMMARY

Mr. Rubin has almost five decades of experience in government surface transportation and public sector finance with an emphasis on public transportation operations, financial management, long-term planning and modeling, performance monitoring, information technology, contracting, public-private partnerships, and capital program/project management.

Transit Management

- **Alameda-Contra Costa Transit District (AC Transit)** – As Chief Financial Officer, responsible for accounting, employee benefits, information technology, risk management, office of management and budget, procurement and stores, and treasury; managed \$200 million in retirement and post-employment income plans; issued \$25 million in tax-exempt debt
- **Southern California Rapid Transit District** – As Chief Financial Officer, responsible for accounting, human resources, information technology, risk management, office of management and budget, and treasury; managed \$1 billion in retirement and post-employment income plans; issued \$1 billion in tax-exempt debt

Transit Audit and Consulting

As a Partner and National Transit Services Director of Deloitte Haskins & Sells, founded and built its transit practice to the largest in the accounting industry, directly supervising over fifteen professionals and managing dozens more in hundreds of projects for almost two hundred transit and private sector transportation entities across North America.

- **Capital Project Management and Audit** – British Columbia Transit, Greater Cleveland Regional Transit Authority (GCRTA), Sacramento Regional Transit District, San Diego Metropolitan Transit Development Board, Tri-County Metropolitan Transportation District of Oregon
- **Financial Audit** – Single audits of AC Transit, Central Ohio Transit Authority (Columbus), Dallas Area Rapid Transit, GCRTA, Metro-Dade Transit, Metropolitan Transit Commission (Minneapolis/Saint Paul), New Jersey Transit Corporation (NJTC), Orange County Transportation

Authority, San Diego Transit Corporation, San Francisco Bay Area Rapid Transit District (BART), Southeastern Pennsylvania Transportation Authority (SEPTA); compliance audits for debt service and grants for dozens of agencies

- **Financial Planning and Analysis** – Los Angeles County Transportation Commission, Miami-Dade Transit, San Francisco Bay Area Metropolitan Transportation Commission (MTC), Orange County Transportation Authority, BART, Santa Clara Valley Transportation Agency (VTA); revenue and debt service projections for Official Statements for billions of dollars of public sector debt
- **Information Technology** – AC Transit; Bi-State Development Agency (Saint Louis); Golden Gate Bridge, Highway and Transportation District; Mass Transportation Authority of Maryland, NJTC, PACE (suburban Chicago)
- **Merger and Reorganization** – Dallas Area Rapid Transit, Monterey-Salinas Transit (California), New Orleans Public Service, Inc., New Jersey Transit Corporation, Pierce County (Tacoma, Washington) Public Transportation Benefit Area Authority Corporation
- **Performance Audit and Performance Management Systems** – City and County of Honolulu (TheBus), Miami-Dade Transit, Metropolitan Transportation Commission (San Francisco Bay Area), Orange County Transportation Authority, Commonwealth of Pennsylvania General Assembly Legislative Audit Advisory Committee, San Francisco Municipal Railway, San Joaquin County Council of Governments, Southern California Association of Governments, State of Washington Joint Legislative Audit Committee

Public-Private Partnerships/Contracting of Governmental Services

- **Amalgamated Transit Union/United Transportation Union** – Assisted ATU and UTU with analysis and response to Los Angeles MTA and related agency proposals to break the MTA into various smaller transit agencies
- **California Department of Transportation** – Preparation of manual on procurement and management of contract transit services
- **Gwinnett County** (Georgia) – Study of financial considerations in providing transit services by contractors
- **Miami-Dade Transit** – Identification of potential functions to be considered for contracting to the private sector, review results of in-house vs. contracting for transit services Federal demonstration grant project
- **Metropolitan Transportation Commission** (San Francisco Bay Area) – Development of data base of private sector organizations interested in providing transit services to public sector agencies and subsequent update of data base
- **National Association of Regional Councils** – Development of handbook for transit operators on contracting out for transit services
- **State of New York Department of Transportation** – Assisted with the review of the operation of Jimmy Stewart International Airport by a private sector contractor under a Federal Aviation Authority demonstration program
- **San Juan Light Rail System, Municipality of San Juan, PR:** Advised Municipality on light rail system funding options and P3 approach. Examined traditional sources such as federal grant funding and municipal revenues, as well as revenues that could be generated from real estate development in

areas affected by proposed system. Advised Municipality on financial feasibility of project and how to combine various sources and package opportunity to attract private sector partner.

- **Regional Transportation District** (Denver) – Study of privatization of management services
- **South Carolina Electric and Gas Company** (transit operator for Charleston, South Carolina) – Arrangement for Federal Operating Assistance Grant funding to be received through the City of Charleston
- **Southwest Ohio Regional Transit Authority** (Cincinnati) – Study of fully-allocated and avoidable costs of in-house transit services for a competitively bid public/private transit service procurement
- **Town of Tiburon** (California) – Structured an innovative financial plan to maintain ferry transit service operated by a private firm by qualifying service for Federal Section 9 formula grant funding

General Government

- **Los Angeles Unified School District**, Consultant to School Construction Bond Citizens' Oversight Committee, oversaw all aspects of \$28 billion school construction and modernization program over 17 years

REGISTRATIONS AND AFFILIATIONS

- Certified Public Accountant, California and District of Columbia
- Certified in Financial Management
- Certified Government Financial Manager
- Certified Internal Auditor
- Certified Management Accountant
- Certified Management Consultant
- American Institute of Certified Public Accountants, Chair, FTA Task Force
- American Public Transportation Association (APTA), Member, Associate Member Board of Governors; Director Nominee; Financial Management, Internal Audit, Management System, Procurement and Material Management, State Affairs, and National Transit Database Committees
- Association of Government Accountants
- California Transit Association, Member, Executive Committee (governing board)
- Government Financial Officers Association, Member, Special Review Committee
- Institute of Certified Management Accountants, former member, Board of Governors
- Institute of Management Accountants, National Board of Directors, Finance Committee, San Francisco Chapter President

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Immediate Past President
PAULINE RUSSO CUTTER
Mayor of San Leandro

President
BARBARA HALLIDAY
Mayor of Hayward

Vice President
ALAN NAGY
Mayor of Newark

Alameda County Mayors' Conference

Alameda
Trish Spencer

Albany
Peggy McQuaid

Berkeley
Jesse Arreguin

Dublin
David Haubert

Emeryville
John J. Bauters

Fremont
Lily Mei

Hayward
Barbara Halliday

Livermore
John Marchand

Newark
Al Nagy

Oakland
Libby Schaaaf

Piedmont
Robert McBain

Pleasanton
Jerry Thorne

San Leandro
Pauline Russo Cutter

Union City
Carol Dutra-Vernaci

Executive Director
Steven Bocian

November 15, 2018

Ms. Angie Ayers
Public Meeting Consultant
Alameda County Transportation Commission
1111 Broadway, Suite 800
Oakland, CA 94607

Dear Ms. Ayers,

At its regular meeting of November 14, 2018, the Alameda County Mayors' Conference reappointed Liz Brisson to the Alameda County Transportation Commission Bicycle and Pedestrian Advisory Committee as a District 5 representative. Our records indicate that Ms. Brisson's new term will begin on December 1, 2018 and expire on November 30, 2020. Please advise if these dates are inaccurate so I can adjust our records.

Please contact Liz Brisson directly if you have any questions regarding next steps and any requests for additional information.

Please contact me if you have any questions or need to follow-up regarding this appointment.

Sincerely,

Steven Bocian

Steven Bocian
Executive Director

c. Liz Brisson

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Bicycle and Pedestrian Advisory Committee Meeting Minutes Thursday, June 28, 2018, 5:30 p.m.

7.1

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

1. Call to Order

Bicycle and Pedestrian Advisory Committee (BPAC) Chair Matt Turner called the meeting to order at 5:37 p.m.

2. Roll Call

A roll call was conducted and all members were present.

3. Public Comment

There were no public comments.

4. March 29, 2018 BPAC Meeting Minutes

David Fishbaugh made a motion to approve this item. Dave Murtha seconded the motion. The motion passed with the following votes:

Yes: Brisson, Fishbaugh, Hill, Johansen, Marleau, McWilliams, Murtha, Schweng,
 Shaw, Turner

No: None

Abstain: None

Absent: None

5. Regular Matters

5.1. East Bay Regional Bike Share: Ford GoBike and Bike Share for All

Kara Oberg with the Metropolitan Transportation Commission (MTC) and Kerby Olson with the City of Oakland, Department of Transportation gave a presentation on regional bike share activities (Motivate's Ford GoBike and Bike Share for All). Kara Oberg provided an overview on bike share, including a comparison to the Regional Plan Bay Area targets, an update on deployment, membership, ridership, outreach, and data sharing. Kerby Olsen provided an update on Oakland's bike sharing program which is part of the regional program and developed in partnership with Motivate's Ford GoBike, MTC, and the cities of Berkeley, Emeryville, San Francisco and San Jose.

Feliz Hill asked what the goal for membership and usage is. Kara Oberg responded that Motivate has their own membership goals and noted that membership is related to deployment. Ms. Hill then asked if Motivate will have information on revenue. Ms. Oberg responded yes.

Dave Murtha asked about the deployment graphic: can a city other than the current five cities use Bike Share? Ms. Oberg stated that MTC has a Bike Share

capital program that some cities are using to expand the program to cities not in the initial regional program.

Diane Shaw asked if the City of Fremont is going out for a separate bid. Ms. Oberg said yes, they sought a competitive bid.

Liz Brisson asked if the network is saturated in Oakland because it doesn't seem like it's everywhere you want to go. Ms. Oberg stated that in 2015, the Commission approved the funds to be used to expand to other cities like Fremont, so the current five cities are ineligible to use that funding.

Ben Schweng expressed his concern around GoBike and Bikeshare access. He stated that it appears that the system is subsidizing riders that are affluent white males. Ms. Oberg explained that the low-income outreach is actually the only portion of the program that's subsidized.

Liz Brisson asked about the equity of the Bike Share program. Kerby Olsen explained that the only data they have is from surveys from the regional system and work is in progress to expand the program to East Oakland.

Ben Schweng asked about the equity of the program and permit process for the dockless bike share. He suggested forcing the equity with the permit process. Mr. Olsen explained the differences in the dockless services program and the current services, and the plan to spread the program in certain areas, focused on equity.

Matt Turner asked if there's data tracking which areas are being heavily used based on if there are protected bike lanes. Mr. Olsen replied there's no route data but densely populated areas have more use.

Dave Murtha suggested having an opt-in option to track routes. Ms. Oberg said it's already in New York and will be launching soon in the Bay Area. Ride Report and SeeClickFix are applications that can be used to send route information.

This item is for information only.

5.2. 2017 Alameda Countywide Bike/Ped Count Program Update

Chris Marks gave an update on the Countywide Bicycle and Pedestrian Count Program. Mr. Marks provided an overview of the Alameda CTC's program background, the current program methodology, and 2016-2017 manual results, as well as results from the video automated counter pilot. He noted that through the manual count program Alameda CTC collects information on total counts as well as instances of riding without a helmet, sidewalk riding, and wrong-way riding. A former member of the Paratransit Advisory and Planning Committee noted to staff that bike riding on sidewalks in Berkeley specifically seemed to be common and endangered

individuals in wheelchairs. Mr. Marks concluded by discussing the 2018 program and next steps.

Feliz Hill asked why the data from 2016 and 2017 wasn't comparable. Mr. Marks responded that the 75 count locations from 2016 and 2017 are different and intended to act as one count cycle. The methodology from that cycle also changed from the previous cycles.

Liz Brisson asked if there were specific goals when the methodology was overhauled. Chris Marks responded that Alameda CTC is considering having a data set that can be tracked each year and gives Alameda CTC an idea of the year-to-year change in use is.

Liz Brisson asked how Alameda CTC uses the data. Carolyn Clevenger stated that the use is limited in terms of the model, but that Alameda CTC has used it to try to see infrastructure trends and has used it to look ridership on facilities such as East Bay Greenway.

David Fishbaugh asked what they'd like to be able to extract from the data. Ms. Clevenger said the data has mostly been for crosschecks on use volume on projects.

Ben Schweng asked if Alameda CTC gets data on usage from Bike East Bay for different streets or things like Bike to Work Day. Ms. Clevenger said that Alameda CTC receives some bike safety education data from Bike East Bay. She said that staff could ask for the data from the energizing stations from Bike to Work Day.

David Fishbaugh noted that the Strava Heatmaps and their bike data gets tracked and the data is down to the street level.

This item is for information only.

5.3. Countywide Active Transportation Plan: Existing Conditions Update

Aleida Andrino-Chavez and Chris Marks provided an update on the Countywide Active Transportation Plan. Laurence Lewis with Kittelson and Associates covered high level biking and walking trends, the level of traffic stress analysis, high injury corridors, and the bicycle connectivity analysis. Chris Marks covered walking and biking trends including gender, non-commute and commute trips, and demographics including ethnicity.

Diane Shaw asked if there is data on automobiles to compare to walking and biking. Chris Marks said all the data is collected together in the California Household Travel Survey but the survey asked the question in a specific way that limits the data.

Ben Schweng questioned the analysis of the level of traffic stress showing the City of Alameda is less stressful as compared to Oakland and Berkeley. Mr. Lewis said the analysis is still in process.

David Fishbaugh asked how these numbers correlate to motorized vehicle accidents. Mr. Marks said they'll be looking at collision profiles.

Diane Shaw asked if City of Oakland is also collecting this data and if Alameda CTC could use it. Chris Marks said their methodology for the high-injury corridors is different.

Ben Schweng asked if there is a way to correlate data for the count program based on the ridership data of the High Injury Network. Mr. Marks explained how the data has helped show the possible connections between the two.

Liz Brisson asked if Alameda CTC is sharing resources with cities in Alameda County. Mr. Marks said they are working with the cities via a Technical Advisory Committee and there's collaboration between all. In situations where cities have already created their own level of traffic stress network, the CATP defaults to their analysis.

Jeremy Johansen asked if Alameda CTC is looking at how data changes over time for the current network. Mr. Marks said they're not getting data from the past, only current.

Matt Turner stated that threat level is much higher since only injuries get reported, but near-miss data should be considered also. Mr. Marks agreed that the scoring is often suspect and noted approximately 40% of incidents don't get reported, and that this rate is higher in disadvantaged communities. Mr. Marks also noted that the weighting for the high injury corridor analysis intentionally reduces the distinction between collision severity because of those concerns about classification.

This item is for information only.

6. Organizational Meeting

6.1. Election of Officers for FY 2018-19

David Fishbaugh nominated Matt Turner for Chair and Kristi Marleau for Vice Chair. Jeremy Johansen second the motion. The motion passed with the following votes:

Yes: *Brisson, Fishbaugh, Hill, Johansen, Marleau, McWilliams, Murtha, Schweng, Shaw, Turner*

No: *None*

Abstain: *None*

Absent: *None*

6.2. Approval of the 2018-19 Fiscal Year Calendar

*Feliz Hill made a motion to approve this item. Dave Murtha seconded the motion.
The motion passed with the following votes:*

Yes: *Brisson, Fishbaugh, Hill, Johansen, Marleau, McWilliams, Murtha, Schweng,
 Shaw, Turner*
No: *None*
Abstain: *None*
Absent: *None*

7. Staff Reports

There were no staff reports.

8. Member Reports

Matt Turner informed the committee that he is working with cyclist video evidence. He's lobbying in Sacramento on near misses. He invited the committee to a town hall on Oct 17th at Castro Valley Library at 6:30pm.

Diane Shaw stated that the City of Fremont has a mobility task force. They received 2,100 responses from online surveys. The survey found that 70% of people are driving alone, yet most people said they'd like to see only 50% of people drive alone. With Vision Zero reporting, Fremont had been averaging seven fatalities the last 4-5 years, and this last year only one fatality.

8.1. BPAC Roster

The committee roster is provided in the agenda packet for review purposes.

7. Meeting Adjournment

The meeting adjourned at 7:55 p.m. The next meeting is scheduled for October 18, 2018 at the Alameda CTC offices.

**Alameda County Transportation Commission
Bicycle and Pedestrian Advisory Committee
Roster and Attendance Fiscal Year 2018-2019**

| | Suffix | Last Name | First Name | City | Appointed By | Term Began | Re-apptmt. | Term Expires |
|---|--------|---------------------|------------|---------------|--|------------|------------|--------------|
| 1 | Mr. | Turner, Chair | Matt | Castro Valley | Alameda County Supervisor Nate Miley, District 4 | Apr-14 | Mar-17 | Mar-19 |
| 2 | Ms. | Marleau, Vice Chair | Kristi | Dublin | Alameda County Mayors' Conference, D-1 | Dec-14 | Jan-17 | Jan-19 |
| 3 | Ms. | Brisson | Liz | Oakland | Alameda County Mayors' Conference, D-5 | Dec-16 | | Dec-18 |
| 4 | Mr. | Fishbaugh, Chair | David | Fremont | Alameda County Supervisor Scott Haggerty, District 1 | Jan-14 | Jan-16 | Jan-18 |
| 5 | Ms. | Hill | Feliz G. | San Leandro | Alameda County Supervisor Wilma Chan, District 3 | Mar-17 | | Mar-19 |
| 6 | Mr. | Johansen | Jeremy | San Leandro | Alameda County Mayors' Conference, D-3 | Sep-10 | Feb-18 | Feb-20 |
| 7 | Mr. | Murtha | Dave | Hayward | Alameda County Supervisor Richard Valle, District 2 | Sep-15 | | Sep-17 |
| 8 | Mr. | Schweng | Ben | Alameda | Alameda County Mayors' Conference, D-2 | Jun-13 | Jun-17 | Jun-19 |
| 9 | Ms. | Shaw | Diane | Fremont | Transit Agency (Alameda CTC) | Apr-14 | May-16 | May-18 |



Independent Watchdog Committee Meeting Minutes Monday, July 9, 2018, 5:30 p.m.

7.2

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

1. Call to Order

Independent Watchdog Committee (IWC) Chair Murphy McCalley called the meeting to order. Chair McCalley welcomed new member Cary Knoop.

2. Roll Call

A roll call was conducted and all members were present with the exception of Keith Brown, Oscar Dominguez, Glenn Naté, Madeleine Nelson and Harriette Saunders.

Subsequent to the roll call:

Keith Brown arrived during agenda item 9.1.

3. Public Comment

There were no public comments.

4. IWC Photo for Annual Report

The IWC had photos taken for the *16th Annual Report to the Public*.

5. Presentation of IWC Annual Report

Murphy McCalley presented the draft *IWC 16th Annual Report to the Public* for review. Pat Piras stated that going forward, it should be made clear that this is a public hearing instead of a presentation on the agenda. Cary Knoop asked if you can approve things same day as a public hearing. Patricia Reavey explained that yes, after the hearing closes, it can be approved.

5.1. Open Public Hearing and Receive Public Comment on the IWC Annual Report

Murphy McCalley opened the public hearing for review of the *16th Annual Report to the Public*. There were no public comments.

5.2. Close Public Hearing on IWC Annual Report

Murphy McCalley made a motion to close the public hearing. Pat Piras second the motion. The motion passed with the following votes:

| | |
|----------|---|
| Yes: | Buckley, Hastings, Jones, Knoop, McCalley, Piras, Zukas |
| No: | None |
| Abstain: | None |
| Absent: | Brown, Dominguez, Naté, Nelson, Saunders |

6. Meeting Minutes

6.1. Approval of March 12, 2018 IWC Meeting Minutes

Pat Piras made a couple of suggested edits to the minutes including one small typo and adding language regarding a discussion of an IWC workshop regarding implementing guidelines.

Pat Piras made a motion to approve this item with the corrections. Herb Hastings seconded the motion. The motion passed with the following votes:

Yes: Buckley, Hastings, Jones, McCalley, Piras, Zukas
No: None
Abstain: Knoop
Absent: Brown, Dominguez, Naté, Nelson, Saunders

7. Election of Officers

7.1. Approve the Election of the IWC Chair and Vice Chair for FY2018-19

Herb Hastings nominated himself for Vice Chair. Herb Hastings accepted the nomination. The nomination did not pass with the following votes:

Yes: Hastings
No: Buckley, Jones, McCalley, Piras, Zukas
Abstain: Knoop
Absent: Brown, Dominguez, Naté, Nelson, Saunders

Pat Piras nominated Steve Jones for Chair and Murphy McCalley seconded the nomination. Pat Piras nominated Murphy McCalley for Vice Chair and Steve Jones seconded the nomination. Steve Jones and Murphy McCalley accepted the nominations. The nominations passed with the following votes:

Yes: Buckley, Jones, McCalley, Piras, Zukas
No: Hastings
Abstain: Knoop
Absent: Brown, Dominguez, Naté, Nelson, Saunders

8. IWC Annual Report, Publication Methods and Costs, and Press Release

8.1. Direct Local Distribution Recipient Responses to IWC Comments

Murphy McCalley gave an explanation of this item. He stated that the City of Albany didn't submit audited financial statements by the due date last year and we are still waiting for this year's audited financial statements. This is the second year in a row that they have been late in submitting these documents. They have provided reports, but they are not audited.

Cary Knoop asked if this is common or is it alarming, and if the group should meet about it and give suggestions regarding how this should be addressed. Mr. McCalley stated that it has been addressed in the annual report that the City of

Albany is not in compliance with Measure B and Measure BB requirements and that is what the IWC is tasked to do, report this issue to the public.

This item is for information only.

8.2. Approve the IWC Annual Report

Murphy McCalley thanked the Subcommittee and staff for producing the Draft 16th IWC Annual Report. He pointed out that on page 12, IWC finding for FY2016-17 exceptions are identified for public awareness (e.g. City of Albany compliance issue and that performance measures should have more data).

Cary Knoop suggested highlighting the projects with performance measure issues in the report for the outsider's perspective. Pat Piras said that addressing the issue starts on page 5 of the report where there's information regarding the concern and what the IWC should pay attention to in the coming year.

Pat Piras made a motion to approve this item. Steve Jones seconded the motion. The motion passed with the following votes:

Yes: Buckley, Hastings, Jones, McCalley, Piras, Zukas
No: None
Abstain: Knoop
Absent: Brown, Dominguez, Naté, Nelson, Saunders

8.3. Approve the Proposed Publication Costs and Distribution

Patricia Reavey presented the summary of publication costs for the IWC annual report. She noted that this report shows a decrease this year from last year's actual cost to publish and advertise the annual report, pending some final invoices.

Cary Knoop asked if the money to make this report is included in the \$50,000 budget. Ms. Reavey explained that the \$50,000 budget covers advertising costs, design and production of the annual report.

Pat Piras asked why the Bay Area News Group is so expensive for their online platform. Ms. Reavey explained that Bay Area News Group has a wide distribution of their online ads in various locations. Ms. Piras also asked how searchable the items are. Staff stated that they will follow up with the Bay Area News Group and get back to the IWC regarding IWC access to the report on their site.

Murphy McCalley asked if we have a LinkedIn account. Ms. Reavey stated that we do, and she will follow up to see if we can get the annual report posted on the Agency's LinkedIn account.

Pat Piras made a motion to approve this item. Herb Hastings seconded the motion. The motion passed with the following votes:

Yes: Buckley, Hastings, Jones, Knoop, McCalley, Piras, Zukas
No: None
Abstain: None
Absent: Brown, Dominguez, Naté, Nelson, Saunders

8.4. Draft IWC Annual Report Press Release Review

The committee reviewed the draft IWC annual report press release and noted that the press release is modeled after last year's press release. The committee did not request any changes to the press release.

Pat Piras wanted to know if it was okay to provide the link on the website to the report to the Sierra Club board. Patricia Reavey stated that it is okay to provide the link to the draft Annual Report that you have approved today from our website because it is already public information.

This item is for information only.

9. IWC Calendar/Work Plan

9.1. Approve the IWC Calendar/Work Plan for FY2018-19

Murphy McCalley asked about a date for the implementing guidelines for Measure BB workshop. Patricia Reavey asked if they plan to discuss this at the IWC level or are they expecting something from staff. Ms. Piras said the committee is expecting something from staff. Ms. Reavey asked to clarify what is expected from staff for this workshop. The committee wants to know to what extent they can say Direct Local Distribution (DLD) recipients or other fund recipients are in compliance with the guidelines in the Transportation Expenditure Plan (TEP), to clarify what exactly the IWC is supposed to be reviewing as far as changes to the allocation of funds. If staff can structure the workshop for the IWC it would be helpful.

Ms. Reavey suggested scheduling the discussion for January so that staff can better understand the questions the IWC actually wants answered. Pat Piras suggests that the IWC should have a discussion to define the questions in November to prepare for a discussion in January; members agreed.

Ms. Piras asked if compliance should be talked about before the performance measures discussion. Performance measures will be talked about when talking about compliance for FY2017-18 review.

The members concluded that they will add an implementing guidelines and performance measures discussion to the November meeting agenda, which will naturally flow into January's meeting on performance measures relating to Measure BB and the follow-up discussion.

Cary Knoop made a motion to approve this item. Steve Jones seconded the motion. The motion passed with the following votes:

Yes: Buckley, Hastings, Jones, Knoop, McCalley, Piras, Zukas
No: None
Abstain: None
Absent: Brown, Dominguez, Naté, Nelson, Saunders

10. Direct Local Distribution Program Compliance Summary

10.1. Measure B and Measure BB Program Compliance Report Summary

John Nguyen presented this item to provide the IWC with an update on the Measure B and Measure BB Program Compliance for the Fiscal Year 2016-17 (FY16-17) reporting period. He reviewed the Compliance requirements and review process, DLD expenditure history, accomplishments and highlights, and performance measures. Mr. Nguyen concluded that all DLD recipient cities are in compliance with the TEP requirements, with the exception of the City of Albany. He informed the committee that the Alameda CTC will be holding an Annual Program Compliance Workshop in September and will notify IWC members of when the workshop is going to be held.

Cary Knoop asked if categorized capital expenditures includes project management costs. Mr. Nguyen stated yes, as long as the expenditure is tied to the development of a capital project.

Murphy McCalley noted the City of Oakland states that their funding is going towards capital project management, but not directly to any specific project. IWC members expressed concerns that the money isn't being used properly despite reports.

Pat Piras pointed out that the information on Paratransit program performance measures is skewed since it only looks at costs funded by Measure B and Measure BB and not the total cost. Tess Lengyel stated that the intent is to look at just the Measure B and Measure BB investments. Ms. Lengyel noted monitoring does happen on full Paratransit program costs beyond the sales tax program to analyze the total effectiveness of a program, but Mr. Nguyen has just parceled out a portion as the focus of the program compliance reporting is on Measure B and Measure BB, and that's why it looks skewed.

Hale Zukas requested staff add an additional column to show real/total cost and then Measure B and Measure BB cost next to it. Ms. Lengyel stated that staff can include it in future reports.

Tess Lengyel noted that staff also provides the Commission with an annual performance report that provides insight on performance, operational trends, costs and investments beyond the DLD funds.

Cary Knoop asked how Alameda CTC determines if DLD recipients are in compliance or not. Mr. Nguyen explained performance measures are either met outright or they have submitted an explanation and a very detailed plan to meet

those goals. Mr. Knoop asked what happens when the measures are not met in terms of repercussions. Mr. McCalley explained the Commission determines what happens, but this is the first year of performance review, and it is too early to determine performance issues.

This item is for information only.

11. Independent Auditor Work Plan

11.1. Independent Auditor Work Plan Overview

Ahmad Gharaibeh with Vavrinek, Trine, Day & Co., LLP (VTD) gave a presentation of the work plan for the upcoming FY2017-18 audit. Patricia Reavey stated that the November IWC meeting packet will include the draft audited Comprehensive Annual Financial Report (CAFR) for the year ended June 30, 2018 as a link. Mr. Gharaibeh stated that any findings/deficiencies in internal controls or compliance will be included in a separate letter from the CAFR. They focus on expenses charged to Measure B and BB to ensure compliance to ballot language.

Cary Knoop asked Mr. Gharaibeh to clarify if the audit includes financial and also a performance and cost accounting audit. Mr. Gharaibeh clarified that, yes, all of those items are included in their audit and explained that local governments have different standards than private industry that are very extensive, and the audit reflects that.

Pat Piras asked if there was any kind of presentation at the audit committee meeting earlier today, and asked if the IWC could have a copy of the handout provided at that meeting. She also stated that there is still no policy on how the Commission decides what functions are performed by employees versus consultants and she thinks there should be a policy.

Tess Lengyel clarified and confirmed that the question was, is Alameda CTC doing anything that affects the cost calculation that is audited in terms of the cap. She explained that the needs of the agency are met by hiring staff for core functions and then contracts are created for specific services.

Ms. Piras asked if cost caps drive the results rather than good agency management driving decisions, and is the focus to meet cost caps. Ms. Reavey stated that Alameda CTC salaries and benefits are not even close to the cost caps. Contractors are hired because the agency wants to maintain a minimal amount of staff as possible to be efficient and still be able to complete the functions of the agency.

Hale Zukas stated that it's his recollection that there have been years where the agency has come closer to the caps. Ms. Reavey explained when an employee works directly on a project, the cost gets charged directly to that project. Previous administration did not understand that this is best practice. Since these expenses have been charged directly to the projects, the agency has not come close to the

1 percent cap. Decisions for hiring consultants have not been made based on the cap.

12. IWC Member Reports/Issues Identification

12.1. Chair's Report

A. Paratransit Compliance Review

Murphy McCalley stated that this item was discussed above.

B. Performance Measures

See performance measures mentioned above along with paratransit compliance issue.

12.2. IWC Chair Report Issues Identification Process and Form

Murphy McCalley explained the process briefly for the new member, Cary Knoop. Mr. Knoop suggested having a placeholder item on the agenda for possible future issues to be discussed, such as items received from staff, which may not be on the agenda. Patricia Reavey explained that items received from staff would be included in the following section called staff reports and can be discussed there. This Chair's Reports section is for the Chair's report only. Requests from other IWC members need to be submitted in written form through this Issues Identification Process which was created by the IWC, not staff. Mr. Knoop agreed that we don't need to add another agenda item.

13. Staff Reports

13.1. FY2018-19 IWC Budget

Patricia Reavey reviewed the IWC budget for FY2018-19 with the committee. She stated that there were no changes from prior year as there were no problems with the prior year budget. Operating budgets expire at the end of the fiscal year, so leftover funding does not roll over to the next fiscal year.

13.2. IWC Projects and Programs Watchlist Next Steps

Patricia Reavey provided an update on the IWC Projects and Programs Watchlist Next Steps. A letter will be prepared on behalf of the Chair and sent to each city and agency sponsor to request notification of all public meetings for Measure B and Measure BB –funded projects and programs to IWC members who have requested notification regarding these meetings.

Pat Piras asked that, given the change in responsible party in BART to Livermore, what agency is going to be responsible for notifying IWC what's going on with that change. Tess Lengyel explained that technically BART is still the project sponsor. The Commission acknowledged AB 758, which created the Tri-Valley San Joaquin Valley Regional Rail Authority (TVSJVRRA). The TVSJVRRA has until July 2019 to figure out a plan for the BART extension before the Commission will address the \$400 million designated to the project in the TEP. Staff will look into putting the BART presentation online.

13.3. Alameda CTC 2014 Transportation Expenditure Plan (TEP) List of Measure BB TEP Numbers

This item is included for informational purposes.

13.4. East West Connector March Staff Report and Presentation

This item is included for informational purposes.

Pat Piras suggested that the Commission minutes be added to distributions of this type of information in the future to close the loop.

13.5. Alameda CTC Annual Reports

Patricia Reavey announced the links are included to the multiple Annual Reports on our website.

13.6. IWC Roster

The committee roster was provided in the agenda packet for review purposes.

14. Adjournment

The meeting adjourned at 8:07 p.m. The next meeting is scheduled for November 19, 2018 at the Alameda CTC offices.

Alameda County Transportation Commission
Independent Watchdog Committee
Roster - Fiscal Year 2018-2019

| | Title | Last | First | City | Appointed By | Term Began | Re-apptmt. | Term Expires |
|----|-------|----------------------|-----------|---------------|---|------------|------------|--------------|
| 1 | Mr. | Jones, Chair | Steven | Dublin | Alameda County Mayors' Conference, D-1 | Dec-12 | Jan-17 | Jan-19 |
| 2 | Mr. | McCalley, Vice Chair | Murphy | Castro Valley | Alameda County Supervisor Nate Miley, D-4 | Feb-15 | Mar-17 | Mar-19 |
| 3 | Mr. | Brown | Keith | Oakland | Alameda Labor Council (AFL-CIO) | Apr-17 | | N/A |
| 4 | Mr. | Buckley | Curtis | Berkeley | Bike East Bay | Oct-16 | | N/A |
| 5 | Mr. | Dominguez | Oscar | Oakland | East Bay Economic Development Alliance | Dec-15 | | N/A |
| 6 | Mr. | Hastings | Herb | Dublin | Paratransit Advisory and Planning Committee | Jul-14 | | N/A |
| 7 | Mr. | Knoop | Cary | Newark | Alameda County Mayors' Conference, D-2 | May-18 | | May-20 |
| 8 | Mr. | Naté | Glenn | Union City | Alameda County Supervisor Richard Valle, D-2 | Jan-15 | Mar-17 | Mar-19 |
| 9 | Ms. | Nelson | Madeleine | Oakland | League of Women Voters | Dec-17 | | N/A |
| 10 | Ms. | Piras | Pat | San Lorenzo | Sierra Club | Jan-15 | | N/A |
| 11 | Ms. | Saunders | Harriette | Alameda | Alameda County Mayors' Conference, D-3 | Jul-09 | Jul-16 | Jul-18 |
| 12 | Mr. | Tilchen | Carl | Dublin | Alameda County Supervisor Scott Haggerty, D-1 | Oct-18 | | N/A |
| 13 | Mr. | Zukas | Hale | Berkeley | Alameda County Supervisor Keith Carson, D-5 | Jun-09 | Jun-16 | Jun-18 |

Alameda County Transportation Commission
Independent Watchdog Committee
 Roster - Fiscal Year 2018-2019

| | | | | | | | | |
|----|--|---------|--|--|--|--|--|--|
| 14 | | Vacancy | | | Alameda County Mayors' Conference, D-4 | | | |
| 15 | | Vacancy | | | Alameda County Mayors' Conference, D-5 | | | |
| 16 | | Vacancy | | | Alameda County Supervisor Wilma Chan, D-3 | | | |
| 17 | | Vacancy | | | Alameda County Taxpayers Association | | | |



Memorandum

8.1

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Tess Lengyel, Deputy Executive Director of Planning and Policy

SUBJECT: Federal, state, regional, and local legislative activities update and proposed 2019 Legislative Program

Recommendation

This item is to provide the Commission with an update on federal, state, regional, and local legislative activities and approve the 2019 Alameda CTC Legislative Program.

Summary

Each year, Alameda CTC adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the legislative program is to establish funding, regulatory, and administrative principles to guide Alameda CTC's legislative advocacy. The program is designed to be broad and flexible, allowing Alameda CTC to pursue legislative and administrative opportunities that may arise during the year, and to respond to political processes in the region as well as in Sacramento and Washington, D.C.

The 2019 Alameda CTC Legislative Program is divided into six sections and retains many of the 2018 priorities:

1. Transportation Funding
2. Project Delivery and Operations
3. Multimodal Transportation, Land Use and Safety
4. Climate Change and Technology
5. Goods Movement
6. Partnerships

Legislative, policy, and funding partnerships throughout the Bay Area and California will be key to the success of the 2019 Legislative Program.

Attachment A provides an overview of each legislative category. Attachment B summarizes the proposed legislative program.

Fiscal Impact: There is no fiscal impact associated with the requested action.

Attachments:

- A. Alameda CTC 2019 Legislation Program Overview
- B. Alameda CTC 2019 Legislation Program Table

2019 Alameda CTC Legislative Program Overview

Introduction

Each year, the Alameda County Transportation Commission (Alameda CTC) adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the 2019 Alameda CTC Legislative Program is to establish funding, regulatory, and administrative principles to guide Alameda CTC's legislative advocacy in the coming year. The program is developed to be broad and flexible, allowing Alameda CTC to pursue legislative and administrative opportunities that may arise during the year, and to respond to the changing political processes in the region, as well as in Sacramento and Washington, D.C.

The legislative program supports Alameda CTC in its required role as manager of the county's voter-mandated transportation expenditure plans, as the county's congestion management agency and as the operator of express lanes. Alameda CTC relies on its legislative program to advance transportation programs and projects that will maintain and improve Alameda County's multimodal transportation system. Some of the main factors that will influence the 2019 Alameda CTC Legislative Program include:

- Implementation of Alameda County's 2000 and 2014 Transportation Expenditure Plans and actively seek opportunities to leverage other funds for project and program delivery;
- Advocacy for funding of Alameda CTC projects and programs to leverage local funds, including in principles for federal surface transportation reauthorization legislation;
- Identification of funding for expansion of Alameda CTC programs including the Affordable Student Transit Pass Program and the Safe Routes to Schools Program;
- Goods movement and passenger rail improvements planning, delivery and advocacy, and implementation of rail crossing safety enhancements;
- Preservation of transportation funding, including opposition to future attempts to reverse Senate Bill 1;
- Advancement of Alameda CTC projects funded through Regional Measure 3;
- Protection of express lane performance, delivery, management and enforcement;
- Development and advancement of smart technology policies; and
- Expansion of legislative and policy partnerships throughout the Bay Area, in California, and in Washington, D.C.

Funding and policy decisions supported through a legislative program will advance Alameda CTC projects and programs. The 2019 Legislative Program is divided into six sections:

1. Transportation Funding

2. Project Delivery and Operations
3. Multimodal Transportation, Land Use and Safety
4. Climate Change and Technology
5. Goods Movement
6. Partnerships

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

1. Transportation Funding

California represents one of the largest economies in the U.S. Its diverse industries range from agriculture to mining to biotechnology to new transportation technologies—all of which serve as a source of the state's economic strength. Each of these industries relies on a backbone of transportation to move people, goods, and services.

Prior to 2015, transportation funding at the federal and state level was limited. The federal gas tax had not been raised, and even though fuel prices fluctuate significantly in California, the state gas tax had remained flat with no index to inflation since the early 1990's. Meanwhile, the costs to deliver transportation projects and programs, operate transit, and perform system maintenance continued to rise. In 2015, the FAST Act provided a much-needed increase in federal funding for highway, transit, and rail surface transportation projects.

In 2017, the outlook for transportation funding from the state improved considerably with the passage of Senate Bill 1, which provides an average of \$5.4 billion per year for state and local transportation projects. In June 2018, Bay Area voters approved Regional Measure 3 which is anticipated to deliver over \$4.5 billion in regional transportation improvements.

FAST Act: In December 2015, the federal surface transportation bill was signed into law: Fixing America's Surface Transportation (FAST) Act. The law authorized \$305 billion in surface transportation funding through FY 2020. This came after a number of short-term extensions of the nation's surface transportation program. The FAST Act funds federal highway, highway safety, transit, and rail programs over a five year period. Discussions regarding reauthorization of the FAST Act and/or an infrastructure bill is likely to begin in 2019 and Alameda CTC will continue to support increased funding and rewarding self-help states and jurisdictions that tax themselves for transportation improvements.

Senate Bill 1: The Road Repair and Accountability Act of 2017, SB 1, provides reliable and stable funding streams for California's roads, bridges, highways, transit and active transportation. Alameda CTC has been awarded competitive grants for freight improvements at the Port of Oakland. Alameda CTC strongly supported the passage of SB1 and took an oppose position on Proposition 6 on the November 2018 ballot. Alameda CTC plans to submit applications and seek funding from many SB 1 programs

in the coming years and will engage in the guideline development process to support Alameda County needs, including the Solutions for Congested Corridors Program that supports multimodal projects on congested highways and major arterials; the Local Partnership Program that helps fund priority projects in counties and cities with voter-approved transportation taxes and fees; the Trade Corridor Enhancement Program that funds freight projects nominated by MTC and the state; and the Active Transportation Program for bicycle and pedestrian projects and programs.

Regional Measure 3: In June 2018, Bay Area voters approved Regional Measure 3 with over 54% for a \$4.5 billion program of projects and operating funds through increases in bridge tolls. Alameda County is eligible for over \$1 billion of this funding. Alameda CTC will work closely with the Metropolitan Transportation Commission to ensure that transportation projects needed in Alameda County are prioritized so projects can advance quickly while leveraging Measure BB sales tax dollars.

Wayfair Decision: In June 2018, the U.S. Supreme Court ruled in *South Dakota v. Wayfair Inc.* that online retailers are required to collect and remit sales tax regardless of whether the online retailer has a physical presence in the state where the order is delivered. While the California Department of Tax and Fee Administration is expected to issue a guidance letter to implement the Wayfair decision, legislation implementing this change in California will be introduced to make additional statutory changes.

Alameda CTC and its Self-Help partners will be actively involved in this effort to ensure the collection and equitable distribution local transportation sales taxes.

Alameda CTC's legislative priorities for transportation funding include the following:

Increase transportation funding

- Oppose efforts to repeal transportation revenues streams enacted through SB1.
- Support efforts that protect against transportation funding diversions.
- Support efforts to lower the two-thirds voter threshold for voter-approved transportation measures.
- Support the implementation of more stable and equitable long-term funding sources for transportation.
- Ensure fair share of sales tax allocations from new laws and regulations, such as the Supreme Court Wayfair Decision.
- Seek, acquire, accept and implement grants to advance project and program delivery.

Protect and enhance voter-approved funding

- Support legislation and increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring, and improving transportation infrastructure and operations.

- Support increases in federal, state, and regional funding to expedite delivery of Alameda CTC projects and programs, including funding to expand the Affordable Student Transit Pass program.
- Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures.
- Support efforts that streamline financing and delivery of transportation projects and programs.
- Support rewarding Self-Help Counties and states that provide significant transportation funding into transportation systems.
- Support statewide principles for federal surface transportation reauthorization and/or infrastructure bills that expand funding and delivery opportunities for Alameda County

2. Project Delivery and Operations

Delivery of transportation infrastructure expeditiously is critical for ensuring cost-effective mobility of people and goods, while protecting local communities and the environment, and creating jobs. However, delivery of projects is often bogged down by long time frames for project delivery processes, including environmental clearance and mitigation, design, right of way, and project funding.

Implementation of express lanes has evolved as technology and best management practices are developed across the region, state and nation. Alameda CTC's legislative platform supports common interests across the state regarding express lane implementation, operations and management.

Alameda CTC will continue to expedite project delivery and operations through partnerships and best management practices.

Advance innovative project delivery

- Support environmental streamlining and expedited project delivery, including contracting flexibility and innovative project delivery methods.
- Support high-occupancy vehicle (HOV)/express lane expansion in Alameda County and the Bay Area, and efforts that promote effective implementation.
- Support efforts to allow local agencies to advertise, award, and administer state highway system contracts largely funded by local agencies.

Ensure cost-effective project delivery

- Support efforts that reduce project and program implementation costs.
- Support funding and policies to implement transportation projects that create jobs and economic growth, including for apprenticeships and workforces training programs.

Protect the efficiency of managed lanes

- Support HOV/managed lane policies that protect toll operators' management of lane operations and performance, toll rate setting and toll revenue reinvestments, deployment of new technologies and improved enforcement.
- Support legislation that clarifies and enables effective toll processing, resolution of unpaid tolls, and interoperability.
- Oppose legislation that degrades HOV lanes that could lead to congestion and decreased efficiency.

3. Multimodal Transportation, Land Use and Safety

Transportation in the Bay Area must serve multiple needs. It must efficiently deliver food and goods, and move people from one place to another. Multimodal options offer the traveling public choices, manage traffic demand, reduce greenhouse gas emissions, and improve the transportation system efficiency. Effective implementation of multimodal transportation systems relies on how local coordination and development supports these types of investments and projects. Linking land use and transportation decisions can result in economic growth and can expand safety, mobility and reduce emissions for residents and businesses.

Alameda CTC supports efforts that encourage, fund, and provide incentives and/or reduce barriers to integrating transportation, housing, and job development in areas that foster effective transportation use. In addition, since transportation systems serve the mobility needs of youth, seniors, people with disabilities, working people, and people at all income levels, Alameda CTC supports a multi modal system that offers travel choices and expands access for all transportation users.

Reduce barriers to the implementation of transportation and land use investments

- Support legislation that increases flexibility and reduces barriers for infrastructure improvements that link transportation, housing, and jobs.
- Support local flexibility and decision-making regarding land-uses for transit oriented development (TOD) and priority development areas (PDAs).
- Support funding opportunities for TOD and PDA implementation, including transportation corridor investments that link PDAs.

Expand multimodal systems, shared mobility and safety

- Support policies that provide increased flexibility for transportation service delivery through programs that address the needs of commuters, youth, seniors, people with disabilities and low-incomes, and do not create unfunded mandates.
- Support policies that enable shared mobility innovations while protecting the public interest, including allowing shared data (such as data from transportation network companies and app based carpooling companies) that could be used for transportation and land use planning and operational purposes.

- Support investments in active transportation, including for improved safety and Vision Zero strategies.
- Support investments in transportation for transit-dependent communities that provide enhanced access to goods, services, jobs, and education.
- Support parity in pre-tax fringe benefits for public transit, carpooling, and vanpooling and other modes with parking.
- Support legislation to modernize the Congestion Management Program, supporting the linkage between transportation, housing, and multi-modal performance monitoring.

4. Climate Change and Technology

The enactment of Assembly Bill 32 and SB 375 to reduce the state's greenhouse gas (GHG) emissions link transportation and housing and create a funding stream to pay for projects and programs that reduce GHG emissions (the state's Cap and Trade Program).

Cap-and-Trade Program Implementation

The Cap and Trade Program is a market based approach to address statewide limits on greenhouse gas (GHG) emissions and generates funds through quarterly auctions for carbon credits. The revenue is directed to projects and programs intended to further reduce GHG emissions. In 2017 both court and legislative actions reinforced the cap and trade program and subsequent auctions had increased revenues. In 2018, new state regulations require the transition of transit vehicles and equipment to zero emissions. Alameda CTC supports funding for transit operators to make this transition.

Alameda CTC has participated in commenting on the development of cap and trade guidelines and will continue to work with the state and region on the implementation of the Cap and Trade Program, continuing to advocate for significant funding in the Bay Area.

Alameda CTC also supports investments from new revenue streams for transportation, while supporting legislative options to create and increase separate funding streams for housing. Alameda CTC supports climate change legislation as follows:

Support climate change legislation and technologies to reduce GHG emissions

- Support funding for infrastructure, operations, and programs to relieve congestion, improve air quality, reduce emissions, expand resiliency and support economic development, including transitioning to zero emissions transit fleets and infrastructure.
- Support rewarding Self-Help Counties with cap-and-trade funds for projects and programs that are partially locally funded and reduce GHG emissions.
- Support emerging technologies such as alternative fuels and fueling technology to reduce GHG emissions.

- Support legislation and policies to facilitate deployment of connected and autonomous vehicles in Alameda County, including data sharing that will enable long-term planning.
- Support the expansion of zero emissions vehicle charging stations.
- Support efforts that ensure Alameda County jurisdictions are eligible for state funding related to the definition of disadvantaged communities used in state screening tools.

5. Goods Movement

Alameda County serves as a gateway for goods movement to and from the county, the San Francisco Bay Area, Northern California, and the Western United States. Efficient goods movement expands job opportunities, supports local communities, and bolsters the economy of Alameda County, the Bay Area, and the nation.

In February 2016, Alameda CTC completed development of a Countywide Goods Movement Plan that outlines a long-range strategy for how to move goods effectively within, to, from, and through Alameda County by roads, rail, air, and water. In 2017, Alameda CTC adopted a Rail Strategy to support freight and passenger rail investments for rail efficiencies and to reduce impacts on local communities. In 2018, MTC adopted a 10-Year freight investment strategy for goods movement which will direct \$3.8 billion over 10 years to 20 different projects in the Bay Area, with a particular focus on Interstate Corridors and the Port of Oakland in Alameda County, reflecting Alameda CTC freight priorities.

Due to these planning and partnering efforts, Alameda CTC has been successful in receiving grant awards for goods movement projects. In October 2017, the Global Opportunities at the Port of Oakland Project, known as GoPort, was the recipient of a nearly \$10 million Advanced Transportation and Congestion Management Technologies Deployment Grant. The Federal Highway Administration fully funded the request of Alameda CTC to support the integration of Freight Community System and advanced ITS technology. In May 2018, Alameda CTC and the City of Emeryville were awarded over \$191 million from SB1 Trade Corridor Enhancement Program (TCEP) funds for the construction phase of the 7th Street Grade Separation (East) project (\$175 million), Freight Intelligent Transportation System (\$12.4 million) and Emeryville grade crossing improvements (\$4.2 million).

Alameda CTC continues to support a strong freight program as part of the federal surface transportation bill reauthorization, the FAST Act. Alameda CTC will support a continued focus on freight investment for future federal surface transportation reauthorization efforts.

Alameda CTC supports allocation of funds for freight projects in Alameda County through the SB 1 TCEP, and prioritization of Bay Area transportation goods movement

projects in regional, state and federal goods movement planning and funding processes.

Alameda CTC supports the following legislative priorities related to goods movement.

Expand goods movement funding and policy development

- Support a multimodal goods movement system and efforts that enhance the economy, local communities, and the environment.
- Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy.
- Support legislation and efforts that improve the efficiency and connectivity of the goods movement system, including passenger rail connectivity.
- Ensure that Alameda County goods movement needs are included in and prioritized in regional, state and federal goods movement planning and funding processes.
- Support rewarding Self-Help Counties that directly fund goods movement infrastructure and programs.
- Leverage local funds to the maximum extent possible to implement goods movement investments in Alameda County through grants and partnerships.

6. Partnerships

In the coming year, Alameda CTC seeks to expand and strengthen its partnerships at the local, regional, state, and federal levels to collaborate on policies, funding, legislation, and project and program delivery opportunities.

Regional Partnerships: On a regional level, Alameda CTC is facilitating coordination with a number of agencies to leverage funding and efficiently partner on transportation projects and programs. Alameda CTC is also participating in partnerships with the Bay Area County Transportation Agencies and regional agencies: Metropolitan Transportation Commission, Association of Bay Area Governments, Bay Area Air Quality Management District, and Bay Conservation and Development Commission, as applicable.

State Partnerships: Alameda CTC is coordinating at the state level with the Self-Help Counties Coalition and the California Association of Councils of Government, the California State Transportation Agency, the California Transportation Commission and Caltrans. Alameda CTC views these efforts as essential to having more impact at the policy and planning levels, and unifying efforts to help ensure common policies and practices can translate into more effective transportation project and program advocacy and implementation.

Local Partnership Program: Alameda CTC supports the SB 1 Local Partnership Program, because it helps finance priority projects in counties and cities with voter-approved transportation taxes and fees. It also leverages local dollars and provides an incentive

for counties without a local tax program to establish one. Alameda CTC participated in guidelines development in 2017 and will continue to support partnerships that advance project and program delivery.

Federal Partnerships: On a federal level, Alameda CTC advocates for a long-term transportation funding program that is sustainable, reliable, and supports both capital investments and operations.

Other Partnering Opportunities: Alameda CTC will continue to partner on the implementation and update of its Countywide Transportation Plan and the multimodal corridor projects and policies that arise from the plans to provide more transportation choices and improve efficiencies throughout the county. Alameda CTC will continue its many multi-county transportation efforts, such as multi-modal arterial planning, express lane implementation, implementation and expansion of the affordable student transit pass program, and Transportation Demand Management.

Alameda CTC supports efforts that expand job opportunities for contracting with local and small businesses in the delivery of transportation projects and programs.

Expand partnerships at the local, regional, state, and federal levels

- Support efforts that encourage regional and mega-regional cooperation and coordination to develop, promote, and fund solutions to regional transportation problems and support governmental efficiencies and cost savings.
- Partner with community and national organizations and other partners to increase transportation funding for Alameda CTC's multiple projects and programs and to support local jobs.
- Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for contracts.

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2019 Alameda County Transportation Commission Legislative Program

The legislative program herein supports Alameda CTC's transportation vision below adopted for the 2016 Countywide Transportation Plan:

1111 Broadway, Suite 800, Oakland, CA 94607

510.208.7400

www.AlamedaCTC.org

"Alameda County will be served by a premier transportation system that supports a vibrant and livable Alameda County through a connected and integrated multimodal transportation system promoting sustainability, access, transit operations, public health and economic opportunities. Our vision recognizes the need to maintain and operate our existing transportation infrastructure and services while developing new investments that are targeted, effective, financially sound and supported by appropriate land uses. Mobility in Alameda County will be guided by transparent decision-making and measureable performance indicators. Our transportation system will be: Multimodal; Accessible, Affordable and Equitable for people of all ages, incomes, abilities and geographies; Integrated with land use patterns and local decision-making; Connected across the county, within and across the network of streets, highways and transit, bicycle and pedestrian routes; Reliable and Efficient; Cost Effective; Well Maintained; Safe; Supportive of a Healthy and Clean Environment."

| Issue | Priority | Strategy Concepts |
|--|--|---|
| Transportation Funding | Increase transportation funding | <ul style="list-style-type: none"> • Oppose efforts to repeal transportation revenues streams enacted through SB1. • Support efforts that protect against transportation funding diversions. • Support efforts to lower the two-thirds voter threshold for voter-approved transportation measures. • Support the implementation of more stable and equitable long-term funding sources for transportation. • Ensure fair share of sales tax allocations from new laws and regulations • Seek, acquire, accept and implement grants to advance project and program delivery. |
| | Protect and enhance voter-approved funding | <ul style="list-style-type: none"> • Support legislation and increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring, and improving transportation infrastructure and operations. • Support increases in federal, state, and regional funding to expedite delivery of Alameda CTC projects and programs, including funding to expand the Affordable Student Transit Pass program. • Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures. • Support efforts that streamline financing and delivery of transportation projects and programs. • Support rewarding Self-Help Counties and states that provide significant transportation funding into transportation systems. • Support statewide principles for federal surface transportation reauthorization and/or infrastructure bills that expand funding and delivery opportunities for Alameda County |
| Project Delivery and Operations | Advance innovative project delivery | <ul style="list-style-type: none"> • Support environmental streamlining and expedited project delivery, including contracting flexibility and innovative project delivery methods. • Support high-occupancy vehicle (HOV)/express lane expansion in Alameda County and the Bay Area, and efforts that promote effective implementation. • Support efforts to allow local agencies to advertise, award, and administer state highway system contracts largely funded by local agencies. |
| | Ensure cost-effective project delivery | <ul style="list-style-type: none"> • Support efforts that reduce project and program implementation costs. • Support funding and policies to implement transportation projects that create jobs and economic growth, including for apprenticeships and workforces training programs. |
| | Protect the efficiency of managed lanes | <ul style="list-style-type: none"> • Support HOV/managed lane policies that protect toll operators' management of lane operations and performance, toll rate setting and toll revenue reinvestments, deployment of new technologies and improved enforcement. • Support legislation that clarifies and enables effective toll processing, resolution of unpaid tolls, and interoperability. • Oppose legislation that degrades HOV lanes that could lead to congestion and decreased efficiency. |
| | Reduce barriers to the implementation of transportation and land use investments | <ul style="list-style-type: none"> • Support legislation that increases flexibility and reduces barriers for infrastructure improvements that link transportation, housing, and jobs. |

| Issue | Priority | Strategy Concepts |
|---|--|---|
| Multimodal Transportation, Land Use and Safety | | <ul style="list-style-type: none"> Support local flexibility and decision-making regarding land-uses for transit oriented development (TOD) and priority development areas (PDAs). Support funding opportunities for TOD and PDA implementation, including transportation corridor investments that link PDAs. |
| | Expand multimodal systems, shared mobility and safety | <ul style="list-style-type: none"> Support policies that provide increased flexibility for transportation service delivery through programs that address the needs of commuters, youth, seniors, people with disabilities and low-incomes, and do not create unfunded mandates. Support policies that enable shared mobility innovations while protecting the public interest, including allowing shared data (such as data from transportation network companies and app based carpooling companies) that could be used for transportation and land use planning and operational purposes. Support investments in active transportation, including for improved safety and Vision Zero strategies. Support investments in transportation for transit-dependent communities that provide enhanced access to goods, services, jobs, and education. Support parity in pre-tax fringe benefits for public transit, carpooling, and vanpooling and other modes with parking. Support legislation to modernize the Congestion Management Program, supporting the linkage between transportation, housing, and multi-modal performance monitoring |
| Climate Change and Technology | Support climate change legislation and technologies to reduce greenhouse gas (GHG) emissions | <ul style="list-style-type: none"> Support funding for infrastructure, operations, and programs to relieve congestion, improve air quality, reduce emissions, expand resiliency and support economic development, including transitioning to zero emissions transit fleets. Support rewarding Self-Help Counties with cap-and-trade funds for projects and programs that are partially locally funded and reduce GHG emissions. Support emerging technologies such as alternative fuels and fueling technology to reduce GHG emissions. Support legislation and policies to facilitate deployment of connected and autonomous vehicles in Alameda County, including data sharing that will enable long-term planning. Support the expansion of zero emissions vehicle charging stations. Support efforts that ensure Alameda County jurisdictions are eligible for state funding related to the definition of disadvantaged communities used in state screening tools. |
| Goods Movement | Expand goods movement funding and policy development | <ul style="list-style-type: none"> Support a multimodal goods movement system and efforts that enhance the economy, local communities, and the environment. Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy. Support legislation and efforts that improve the efficiency and connectivity of the goods movement system, including passenger rail connectivity. Ensure that Alameda County goods movement needs are included in and prioritized in regional, state and federal goods movement planning and funding processes. Support rewarding Self-Help Counties that directly fund goods movement infrastructure and programs. Leverage local funds to the maximum extent possible to implement goods movement investments in Alameda County through grants and partnerships. |
| Partnerships | Expand partnerships at the local, regional, state and federal levels | <ul style="list-style-type: none"> Support efforts that encourage regional and mega-regional cooperation and coordination to develop, promote, and fund solutions to regional transportation problems and support governmental efficiencies and cost savings. Partner with community and national organizations and other partners to increase transportation funding for Alameda CTC's multiple projects and programs and to support local jobs. Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for contracts. |



Memorandum

8.2

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 29, 2018

TO: Alameda County Transportation Commission

FROM: Tess Lengyel, Deputy Executive Director of Planning and Policy

SUBJECT: Update on Metropolitan Transportation Commission Housing Compact and Transportation Funding Conditioning Policy Considerations

Recommendation

Per a request at the Planning, Policy and Legislation Committee meeting in November 2018, this informational item provides an update on the Metropolitan Transportation Commission (MTC) policy considerations for a housing compact and potential future conditioning of transportation funding on housing production. MTC staff was invited to provide this update, but are not available until January 2019. Alameda CTC staff will provide a short overview of this item as information only.

Summary

MTC is addressing two major policy items at its two-day workshop at the end of November 2018: Committee to House the Bay Area (CASA) Compact and Transportation Funding Conditioning / Housing Outcomes. Alameda CTC staff will attend MTC's workshop and provide an update on these items at the Alameda CTC Commission meeting.

- **CASA:** This committee was convened by MTC to identify and act upon regional solutions to the Bay Area's chronic housing affordability challenges. The CASA process is culminating at the end of 2018/early 2019 with the CASA Compact, composed of a range of legislative, regulatory, financial and market-related measures. Attachment A includes an overview of the CASA compact, including an MTC memo, a PowerPoint Presentation, the ten components of the Compact and CASA membership.
- **Transportation Funding Conditioning / Housing Outcomes:** In late 2017 in conjunction with the adoption of the 2018 Regional Transportation Improvement Program policies and procedures, the MTC Commission directed MTC/ABAG staff to identify all transportation funding sources that

could be considered to support and encourage the production and preservation of affordable housing to meet the needs identified in Plan Bay Area 2040.

Background

CASA was convened by MTC following the release of the draft Plan Bay Area 2040, the region's long-range transportation and land use plan, which projects the region will see 2.4 million more people, 820,000 new households and 1.3 million new jobs by the year 2040. The plan makes aggressive assumptions about policy interventions and strategies to help accommodate this growth, but falls short on a number of key performance measures including affordable housing, access to jobs, displacement risk, and housing and transportation affordability.

CASA includes leaders from across the Bay Area who have been working to build an actionable political consensus around (1) increasing housing production at all levels of affordability, (2) preserving existing affordable housing, and (3) protecting vulnerable populations from housing instability and displacement.

CASA is led by three Co-Chairs (Fred Blackwell, The San Francisco Foundation; Leslye Corsiglia, Silicon Valley at Home; and Michael Covarrubias, TMG Partners), and Steve Heminger, Executive Director of the Metropolitan Transportation Commission. It is structured around a Steering Committee and Technical Committee composed of elected officials, thought leaders and policy experts from across the region. The CASA effort is supported by the consolidated MTC/ABAG staff and a team of consultants.

From Summer 2017 through Fall 2018 the Co-Chairs and Committees have worked with a broad range of stakeholders to develop recommendations for legislative reform, new revenue and regional leadership in the field of housing, known as the CASA Compact. The update on the CASA effort, including the Draft CASA Compact that was presented to the MTC Commission at its November workshop is included as Attachment A.

More information on CASA can be found here:

<https://mtc.ca.gov/our-work/plans-projects/casa-committee-house-bay-area>

Transportation Funding Conditioning / Housing Outcomes is an approach by MTC to link the relationship between transportation and housing through incentives as part of transportation funding. Since 1998, MTC has developed policies and programs related to transportation and housing such as the Transportation for Livable Communities (TLC) program, a Transit Oriented Development Policy, the One Bay Area Grant Programs (OBAG 1 and 2 which included a distribution formula with housing factors) and the affordable housing challenge programs as part of the Housing Incentive Pool (HIP) adopted in October 2018. The most recent transportation and funding linkage

proposal addresses conditioning regional, state and federal transportation funding. Staff will provide an update on the outcomes of the discussion of this item from the MTC workshop in November at the Alameda CTC Commission meeting.

Fiscal Impact: There is no current fiscal impact associated with the requested action.

Attachments:

- A. CASA Compact (MTC materials)
- B. Transportation Funding Conditioning / Housing Outcomes (MTC Materials)

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METROPOLITAN
TRANSPORTATION
COMMISSION

Bay Area Metro Center
375 Beale Street
San Francisco, CA 94105
TEL 415.778.6700
WEB www.mtc.ca.gov

Memorandum

TO: Commission

DATE: November 21, 2018

FR: Executive Director

RE: CASA – The Committee to House the Bay Area

Background

Plan Bay Area (PBA) 2040, the region's long-range transportation and land use plan adopted in 2017 by the Metropolitan Transportation Commission (MTC) and Association of Bay Area Governments (ABAG), projects that the region will grow by 2.4 million more people, 820,000 new households, and 1.3 million new jobs by the year 2040.

PBA 2040 makes aggressive assumptions about policy interventions and strategies to help accommodate this growth, but falls short on a number of key performance measures, including affordable housing, access to jobs, displacement risk, and housing and transportation affordability.

PBA 2040 therefore includes an Action Plan that lays out strategies to address these regional challenges. One of the commitments included in the Action Plan is to convene a blue-ribbon committee that will focus on finding game-changing solutions to the region's housing crisis. MTC and ABAG convened this committee, the Committee to House the Bay Area (CASA), in June 2017.

Overview

CASA includes leaders from across the Bay Area who are seeking to build actionable political consensus around (1) increasing housing production at all levels of affordability, (2) preserving existing affordable housing, and (3) protecting vulnerable populations from housing instability and displacement.


CASA is being led by three Co-Chairs: Fred Blackwell, The San Francisco Foundation; Leslye Corsiglia, Silicon Valley at Home; and Michael Covarrubias, TMG Partners. It is structured around a Steering Committee and Technical Committee composed of local elected officials, business and labor leaders, and policy experts from across the region. The CASA effort is supported and staffed by the consolidated MTC/ABAG staff and a team of consultants.

By the end of 2018, CASA will have engaged a broad range of stakeholders to develop a suite of recommendations for legislative reform, new revenue, and regional leadership in the field of housing. These recommendations will be packaged into the CASA Compact.

Next Steps

At your November meeting, staff will brief you on the CASA effort and areas of agreement for the CASA Compact to-date and seek your input and discussion. The current schedule calls for the CASA Compact to be finalized by mid-December. If the schedule holds, the MTC Commission in December and ABAG Executive Board in January would consider authorizing their Chair and President, respectively, to sign the CASA Compact.

**Recommended Action
Information**


Steve Heminger

Attachments

Presentation
Elements of the CASA Compact
CASA Committee Roster



The Committee to House the Bay Area

November 28, 2018

Image source: Tom Lee

Plan Bay Area 2040



“CASA—The Committee to House the Bay Area

MTC and ABAG are helping to coordinate CASA — The Committee to House the Bay Area. This initiative is bringing together a multi-sector set of partners to identify and agree upon significant regional solutions that address the region’s chronic housing challenges and advance equity and economic health in the nine-county Bay Area. Through stakeholder engagement, research and interviews, CASA will develop a comprehensive regional approach to the housing crisis, focusing on increasing housing supply, improving housing affordability, and strengthening preservation and anti-displacement measures. Objectives include a suite of legislative, financial, policy and regulatory recommendations, with partners agreeing on a path forward and working together on implementation. A final report is scheduled for release by the end of 2018. ”

Only the most aggressive policies can help address the region's housing affordability and equity challenges

54

% of HH
income

H+T Costs
For Lower-Income
Households

2005

Even with Plan Bay Area 2040
Housing costs will rise by **12 percent points** and
Transportation costs by **1 percent point**

67

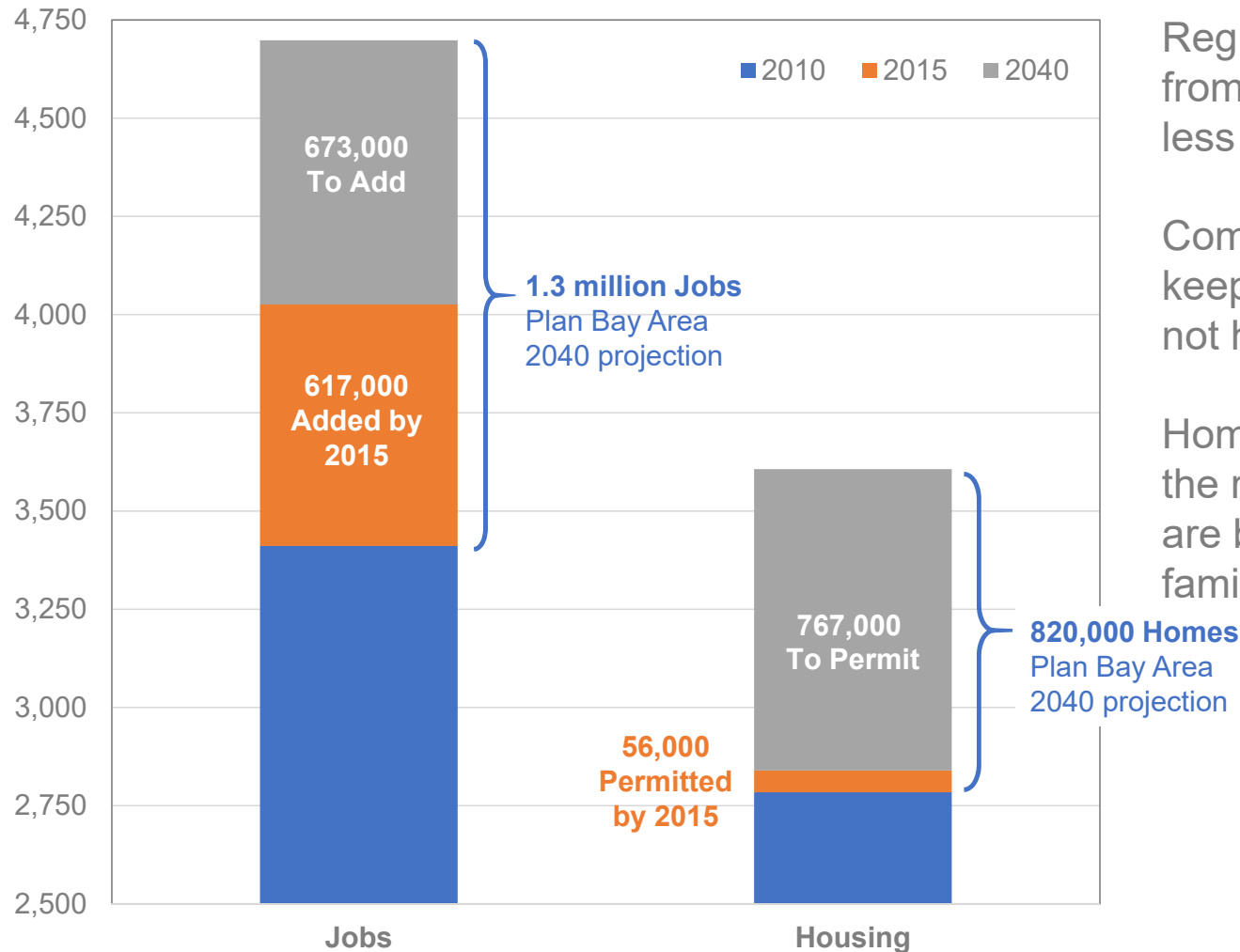
% of HH
income

H+T Costs
For Lower-Income
Households

2040

Job Growth Outpaced Housing Permits Regionwide From 2010-2015

Source: PBA 2040 Growth Forecast and Projections



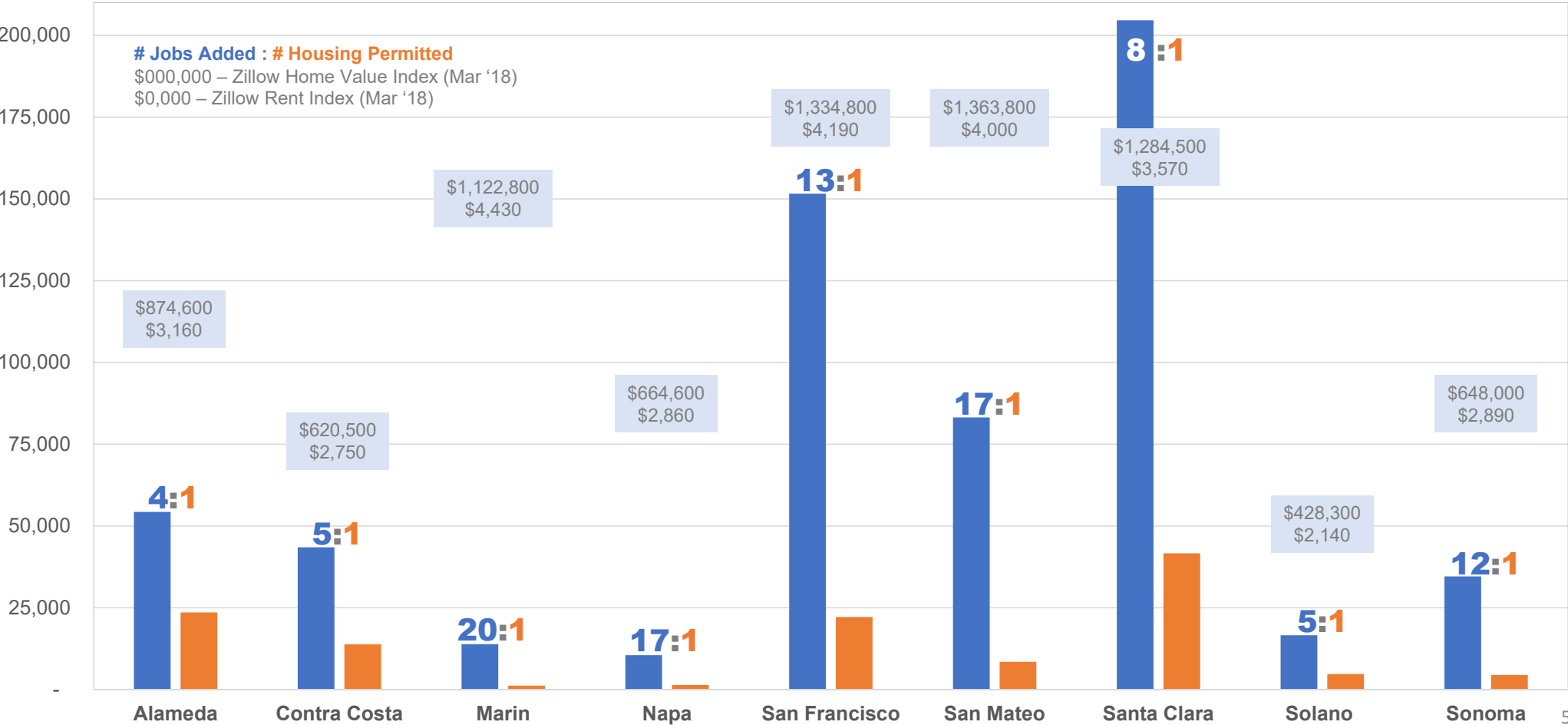
Region added over 600,000 jobs from 2010-2015, but permitted less than 60,000 homes.

Commercial development is keeping pace with demand but not housing.

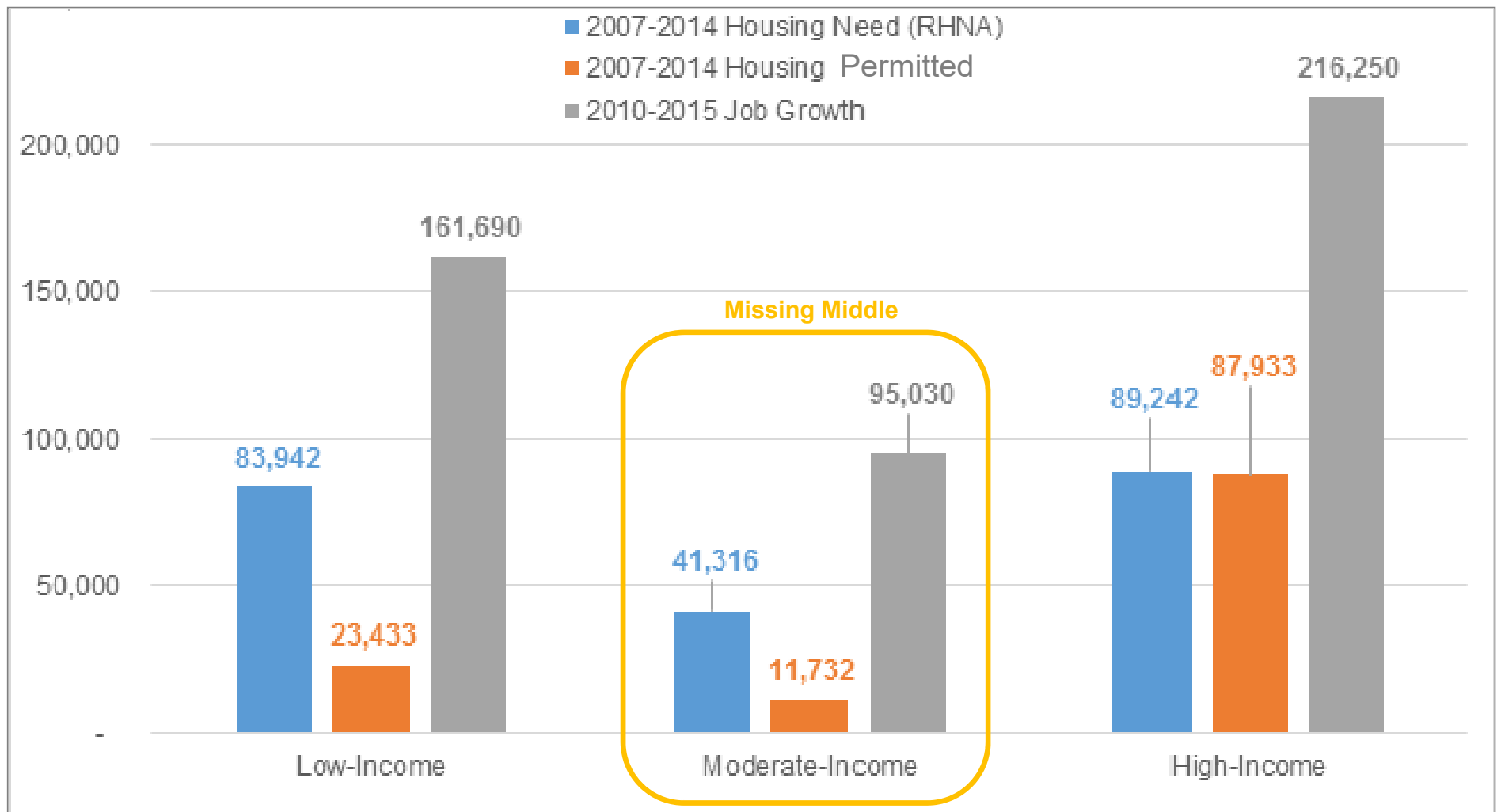
Homelessness has grown across the region; rents and home prices are beyond the reach of most families.

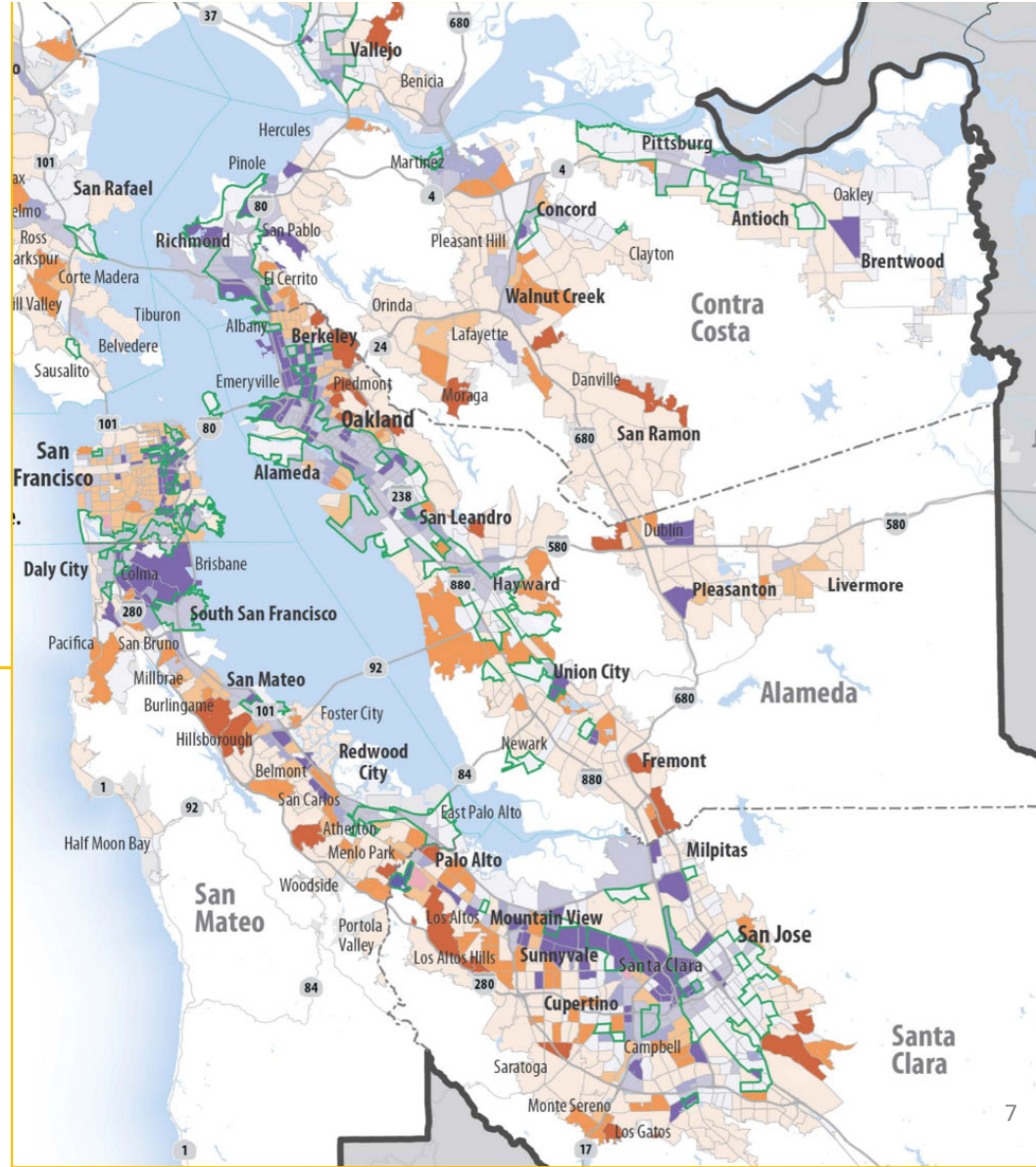
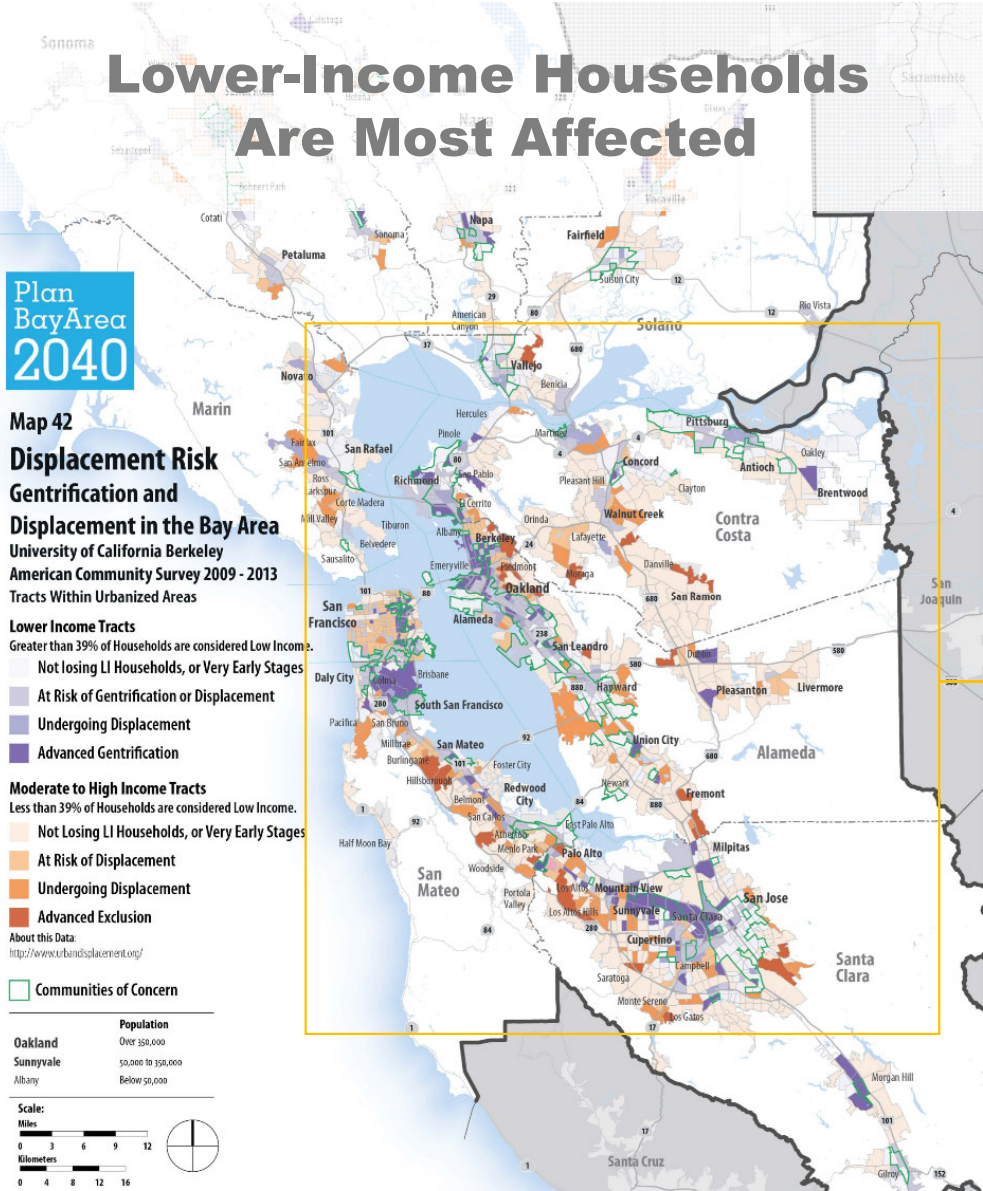
Bay Area Added 1 Housing Unit for Every 11 Jobs Between 2010 to 2016

Source: Jobs – California County Economic Forecast, 2017-2050, Transportation Economics Branch, California Department of Transportation; Housing – E-5 Population and Housing Estimates for Cities, Counties, and the State, California Department of Finance

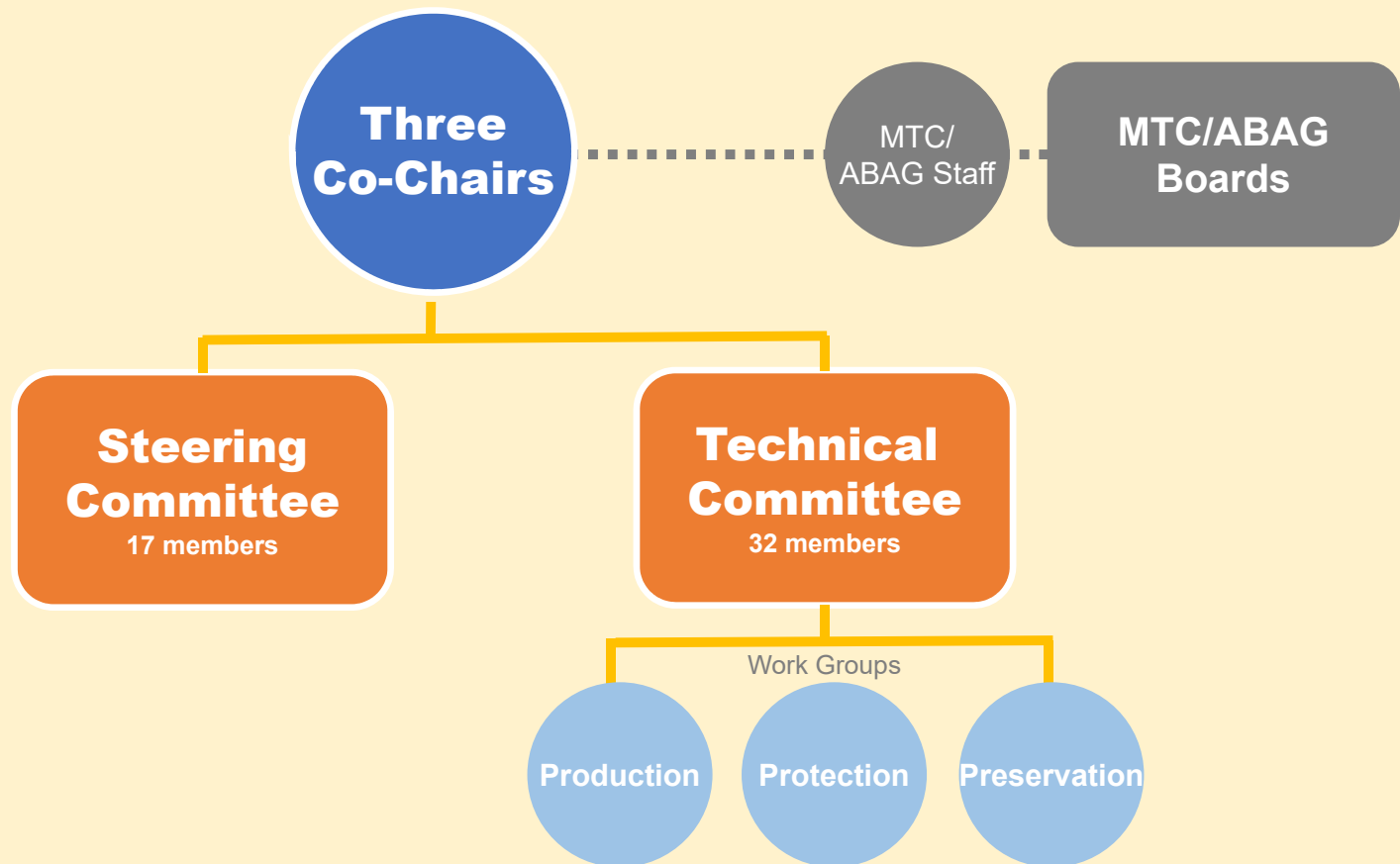


Affordable Housing Permits Are Lower Than Identified Need

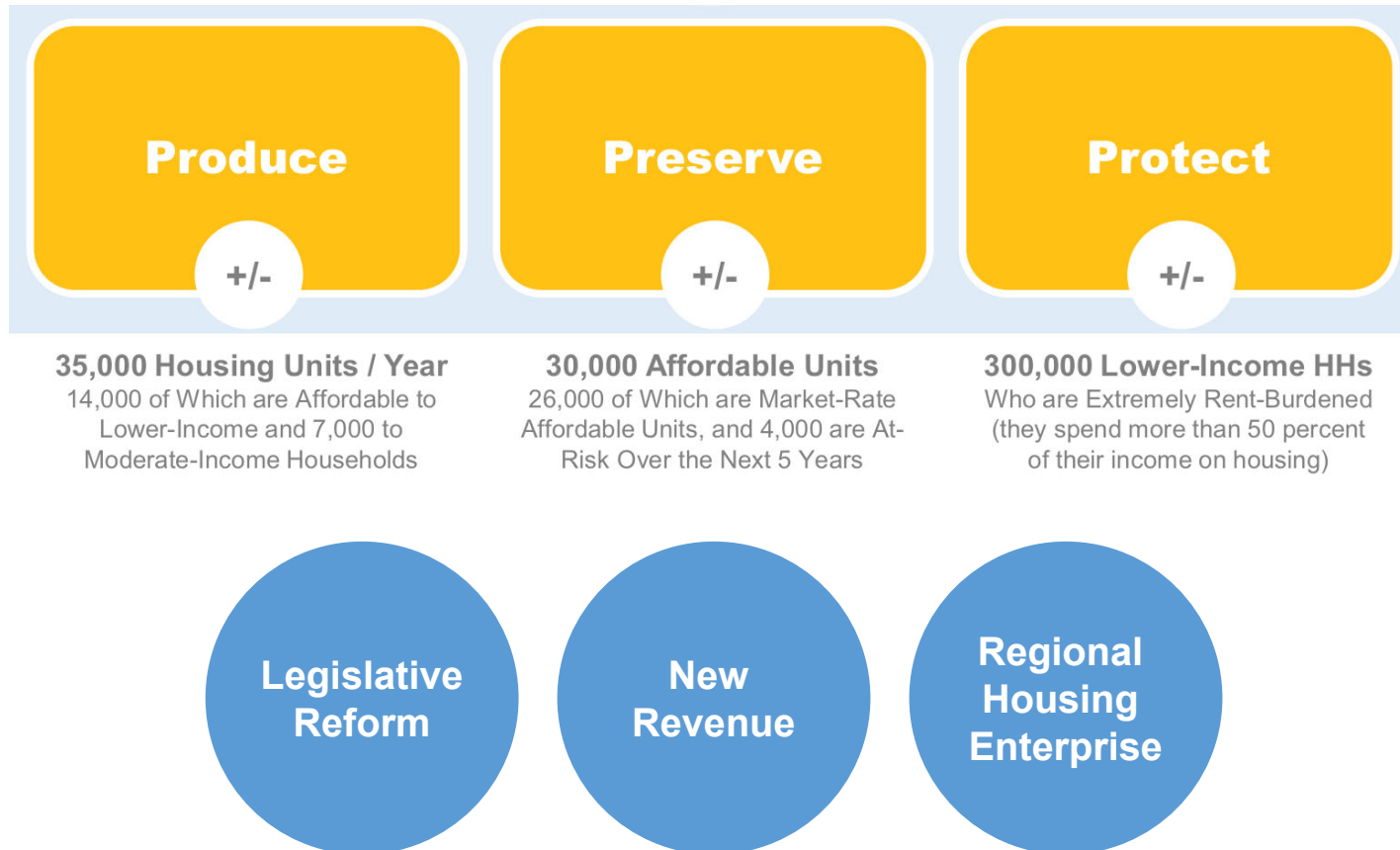




The Committee to House the Bay Area



CASA Compact Framework



Elements of the CASA Compact

| CASA Compact | Protection | Preservation | Production |
|--|------------|--------------|------------|
| 1. Just Cause Eviction Policy | X | X | |
| 2. Emergency Rent Cap | X | X | |
| 3. Access to Legal Counsel and Emergency Rent Assistance | X | X | |
| 4. Remove Regulatory Barriers to ADUs and Tiny Homes | | | X |
| 5. Minimum Zoning for Housing Near Transit | | | X |
| 6. Improvements to State Housing Streamlining Laws (SB 35) | | | X |
| 7. Public Land for Housing Production | | | X |
| 8. Streamlining of Local Housing Approval Process | | | X |
| 9. Regional Housing Enterprise | | X | X |
| 10. New Revenue to Implement the Compact | X | X | X |

Annual Funding Gap Estimate for CASA Initiatives: \$2.5 billion

Protection – Right to Legal Counsel

| | |
|--|------------------------|
| Approved w/ Prop F in SF (pop.~884,363) | \$4.2 to \$5.6 million |
| Estimated cost for Bay Area (pop.~7.8 million) | ~\$50 million |
| Annual Funding Gap for Protection | \$50 million |



Production – Lower-Income Subsidized Housing

| | |
|--|----------------------|
| Avg. per unit development cost | \$600,000 |
| Avg. per unit supportable debt | (\$45,000) |
| Avg. per unit federal subsidy (LIHTC) | (\$180,000) |
| Avg. per unit federal subsidy (AHP) | (\$50,000) |
| Avg. per unit state subsidy (MHP/Prop 1) | (\$100,000) |
| Avg. per unit local subsidy | (\$75,000) |
| Avg. funding gap | \$150,000 / unit |
| Annual adopted CASA target | 14,000 units |
| Annual Funding Gap for Production | \$2.1 billion |

Preservation – Market-Rate and Subsidized Affordable Housing

| | |
|---|---------------------|
| Avg. per unit subsidy | \$300,000-\$450,000 |
| Avg. per unit supportable debt | (\$45,000-\$90,000) |
| Avg. per unit federal subsidy (LIHTC) | (\$0-\$180,000) |
| Avg. per unit state subsidy (MHP/Prop 1) | (\$0-\$100,000) |
| Avg. per unit local subsidy | (\$0-250,000) |
| Avg. estimated funding gap | \$100,000 / unit |
| Annual adopted CASA target (over 8 years) | 3,750 units |

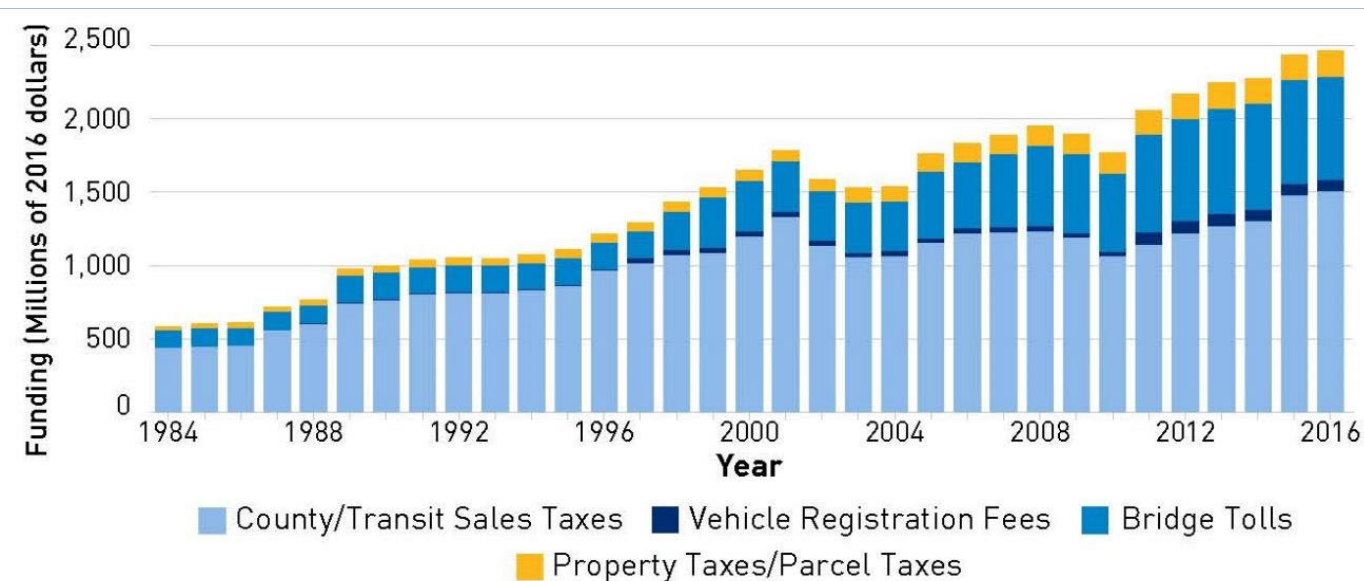
Annual Funding Gap for Preservation \$375 million





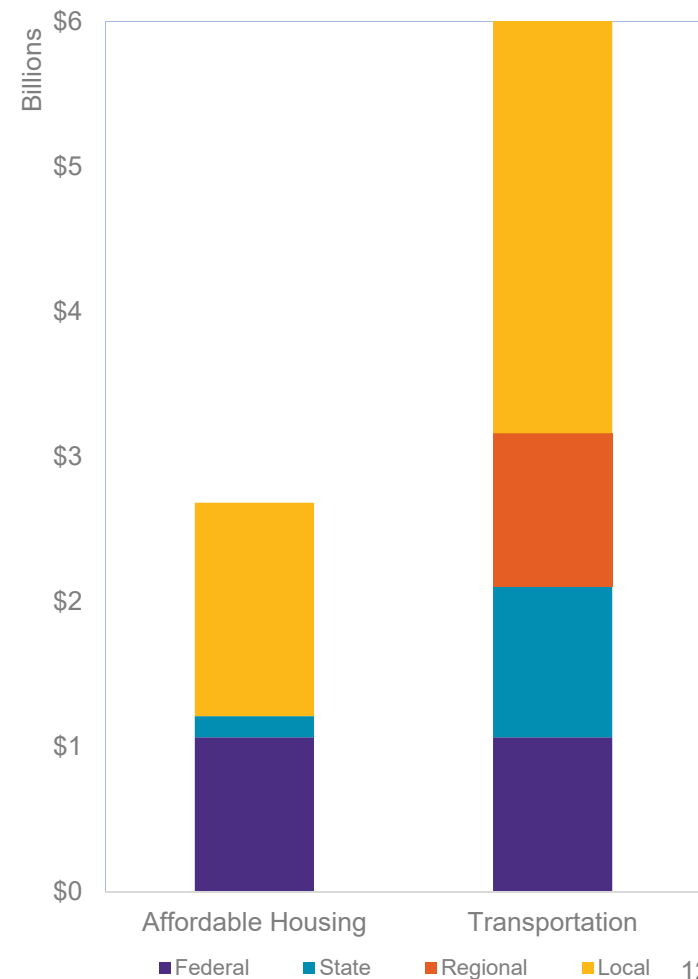
Self-Help Funding for Transportation, 1984-2016

Source: MTC



Source of Funding, Annual

For Affordable Housing and Transportation
 Source: Financial Assumptions Report, Plan Bay Area 2040; Funding Affordable Housing Near Transit, May 2017, Great Communities Collaborative



Menu of Funding Sources to Implement the Compact

Potential New Sources of Revenue

Target: \$1.5 billion per year

Property Owners



  \$100 million
1 percent
Vacant Homes Tax on the assessed value of vacant home, region-wide
 Vancouver adopted an Empty Homes Tax of 1 percent in 2016
 Oakland adopted a Vacant Property (parcel) Tax of \$3,000 to 6,000 in 2018

 \$100 million
\$48 per year
Parcel Tax, region-wide
 Bay Area approved Measure AA for \$12 per year in 2016

Key

Voter Approval 
 State Legislation 
 Policy Benefit 
 Fee Imposition 


Developers

  \$200 million
\$5-\$20 per sq. ft.
Commercial Linkage Fee on new construction; variable rates based on number of workers at location, jobs-housing ratio of host jurisdiction, and location within or outside transit-served areas, region-wide
 38 jurisdictions in the Bay Area have a commercial linkage fee, with a median of \$10 per sq. ft.

Jurisdictions with an existing linkage fee (which is set aside for housing) will get a credit


 \$200 million
\$10 per sq. ft.
Flat Commercial Linkage Fee on new construction, region-wide

Employers

 \$200 million
0.1%-0.75%
Gross Receipts Tax, variable rates based on sector and firm size, region-wide
 Almost half the jurisdictions in the Bay Area charge some form of gross receipts tax, often as a business tax
 Small businesses would be exempt from the tax. Employers in a jurisdictions with an existing tax will get a credit


  \$200 million
\$40-120 per job
Head Tax; variable rates based on number of employees, jobs-housing ratio and transit access, region-wide
 Mountain View adopted a Head Tax of up to \$149 in 2018


Local Governments

 \$200 million
25 percent
Redevelopment Revenue Set-Aside for affordable housing in TPAs (including portion for schools and special districts), **statewide**
 Former Redevelopment Agencies were required to set aside 20 percent of their revenue towards affordable housing

 \$100 million
20 percent
Revenue Sharing Contribution from future property tax growth, region-wide
 Minneapolis-St. Paul adopted a seven-county Fiscal Disparities Program (tax-base sharing) in 1971 that pools 40 percent of future revenue increase

Taxpayers

 \$400 million
1/4-cent
Sales Tax, region-wide
 Most jurisdiction have local sales taxes. Should be linked to "point of sale" and e-commerce legislation. Could be folded into a "mega-measure" that includes funding for transportation

 \$100 million
5-Yr. Term
General Obligation Bonds, issued by a regional housing enterprise, renewed every five years, region-wide

Philanthropy

CZI-TSFF Initiative
 Policy and Infrastructure Funds

NOTE: as currently laid out, the ten options on this chart total to \$1.8 billion

New Sources of Funding to Implement the Compact

Proposed Allocation of New Revenue Raised by CASA



Local Jurisdiction Incentives up to 10 percent

Partial payments to local jurisdictions to make up for lost revenue due to proposed cap on impact fees. Other incentives.

Tenant Protection Services up to 10 percent

Administered by a non-profit entity. Short-term rental assistance and access to legal counsel for low- and moderate-income households.

Affordable Housing Preservation up to 20 percent

Grants and financing for acquisition/rehab and “expiring” units. Priority to projects in low-income neighborhoods facing displacement.

Affordable Housing Production min. 60 percent

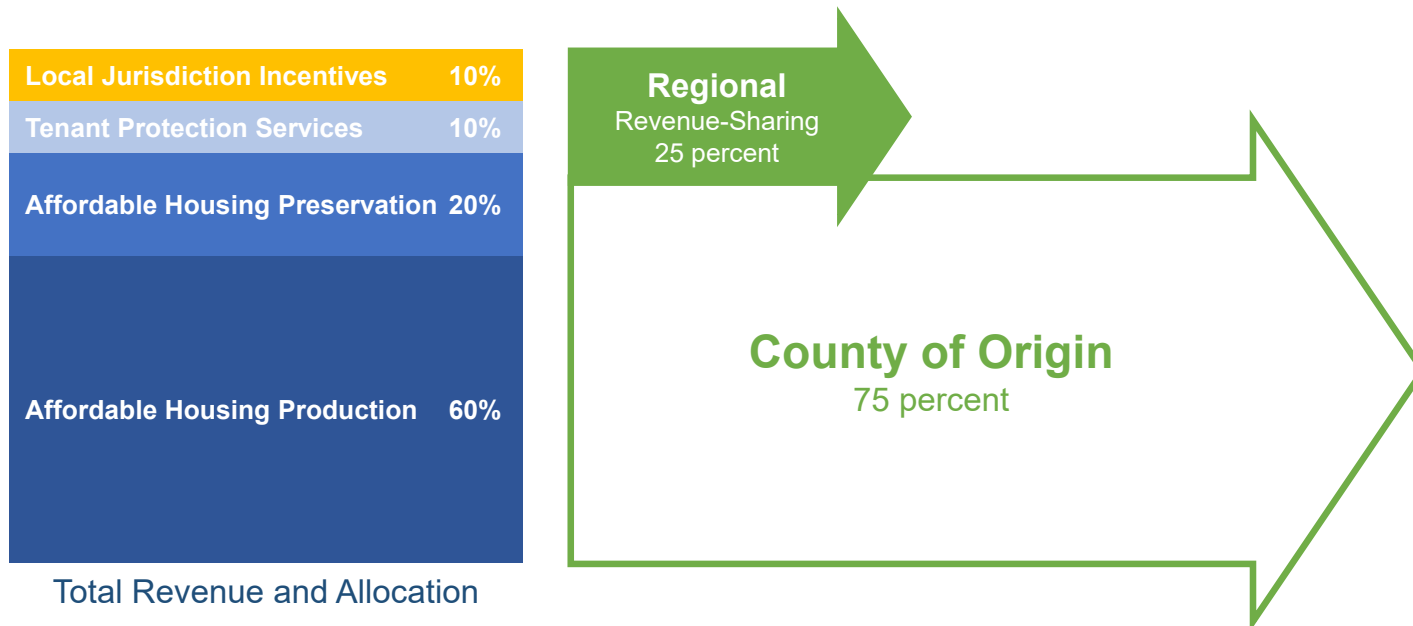
Grants and financing. Priority to projects in Transit-Priority Areas (TPAs) and High-Opportunity Areas (HOAs). Construction workforce training programs. Land lease/acquisition/disposition program.

New Sources of Funding to Implement the Compact

Return to Source Proposal

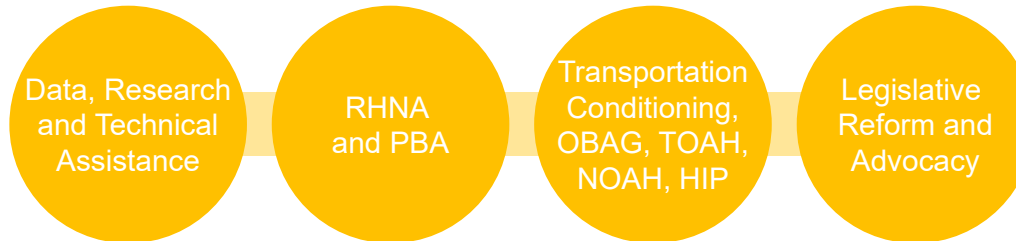
- 75 percent spent w/in county of origin
- 25 percent to regional program for revenue-sharing
- Subject to performance/policy outcomes

Note: total expenditures would be consistent with allocation shares set in the CASA Compact (see previous slide)

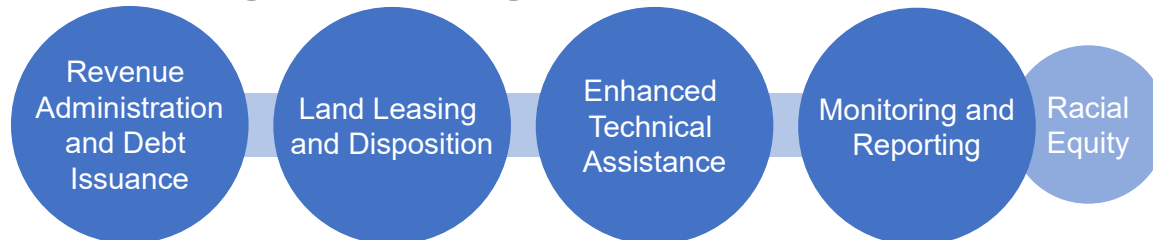


Regional Housing Enterprise

MTC/ABAG Roles and Responsibilities



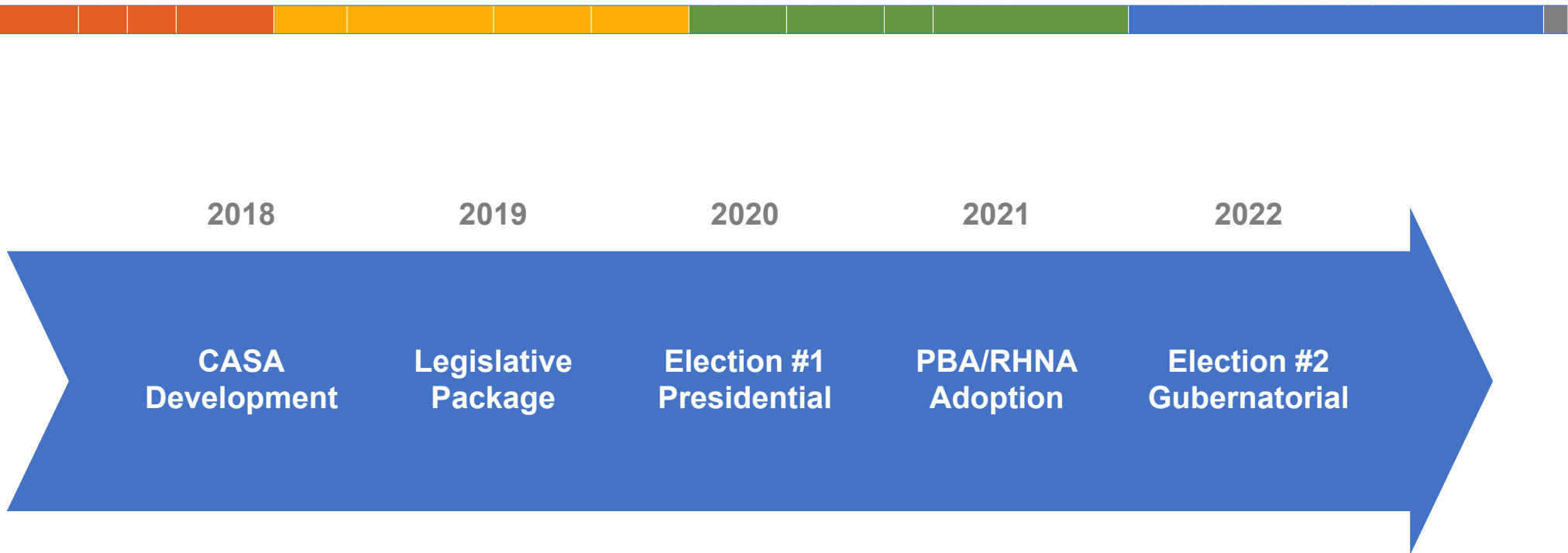
Regional Housing Enterprise Roles



Regional Housing Enterprise Governance

- **Independent board** w/ representation from MTC, ABAG and key stakeholders
- Supported by **MTC/ABAG consolidated staff** (with additions in specialized areas such as debt issuance, land leasing, etc.)

CASA Work Windows



Elements of the CASA Compact
Draft Term Sheets
Wednesday, November 7, 2018

1. Just Cause Eviction Standards
2. Emergency Rent Cap
3. Right to Legal Counsel in Eviction Proceedings
4. Streamlining for ADUs and Tiny Homes
5. Minimum Zoning for Housing Near Transit
6. Effective and Fair State Housing Streamlining Laws
7. Public Land for Housing Production
8. Streamlining of Local Housing Approval Process
9. Regional Housing Enterprise
10. New Revenue to Implement the Compact

Compact Element #1: Just Cause Eviction Standards

Desired Effect: Just cause would protect tenants from arbitrary evictions. Studies show that eviction can cause health issues, emotional trauma, school disruptions for children, longer and more costly commutes and reduced wage earnings for adults. By preventing no-cause evictions, just cause eviction protections promote tenant stability—particularly in low vacancy and expensive housing markets—and limit eviction-related monetary, health, school and other costs. Eviction-related costs can pose a particular burden for tenants who are low and fixed income, have physical disabilities, or are elderly.

Scale: State legislation applied to 9 Bay Area counties

Models:
New Jersey statewide Just Cause Law; Large cities in CA (SF, Oakland, San Jose, LA)

References:
Action Plan 2.1

Negotiation Points:
Definition of permissible causes for eviction, define property types excluded, discuss relocation assistance; means of enforcement

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
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| Permissible causes for eviction | <p>Fault:</p> <ul style="list-style-type: none"> • Failure to pay rent • Substantial breach of a material term of the rental agreement • Nuisance • Waste • Illegal conduct <p>No fault:</p> <ul style="list-style-type: none"> • Owner-Move-In (OMI) or Relative-Move-In (RMI) • Withdrawal of unit from rent or lease market (e.g., Ellis Act/condominium conversion) | <p>Definition of:</p> <ul style="list-style-type: none"> • Nuisance • Illegal conduct | |

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| | <ul style="list-style-type: none"> • Unit Unsafe for Habitation: Recovery of unit for health and safety reasons • Demolition or substantial rehabilitation | | |
| Coverage | <p>Applies to all rental units except the following:</p> <ul style="list-style-type: none"> • Government owned and government subsidized housing units (e.g., Section 8) • Transient and tourist hotel occupancy as defined in Civil Code Section 1940(b) • Housing accommodations in a nonprofit hospital, convent, monastery, church, religious facility, or extended care facility • Dormitories owned and operated by an institution of higher education or a high school or elementary school • Unit where tenant shares a bathroom or kitchen facility with the owner who maintains their principal residence there • Single owner-occupied residences including when the owner-occupant rents or leases 2 units (including ADU and JADU) or bedrooms <p>In the event that a local ordinance conflicts with a state or federal ordinance, the others should prevail. All restricted housing is exempt from any fees that might be levied by the localities to implement this program or cap to some nominal amount.</p> | <ul style="list-style-type: none"> • Resident-owned nonprofit housing | |
| Notice Requirements | <p><u>Tenant Rights</u>: The owner must provide notice to tenants at the beginning of each tenancy as to tenant rights with copy of lease. This notice should be in the form of a lease addendum that is signed by the tenant at the time the lease is signed.</p> <p><u>Evictions</u>: The grounds for eviction must be set forth in the notice to terminate tenancy.</p> <ul style="list-style-type: none"> • If the reason for the termination is for cause, the owner must provide an initial notice with an opportunity to cure before the notice of termination. This should only be for insufficient funds, nuisance or other types of curable lease violations. If the lease violation is related to | <p>☐ If the reason for termination triggers relocation benefits, then the notice must include that the tenant is entitled to a relocation fee of the amount then in effect</p> | |

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| | specific illegal activity of presents the potential for harm to other tenants, there should not be a right to cure. Separate provisions should be made for domestic violence situations. | | |
| Relocation Assistance | <p><u>Eligibility</u>: Applies to all no-fault causes.</p> <p><u>Timing</u>: Provided directly to the tenant at the time of service of the notice to quit.</p> <p><u>Notice</u>: The landlord shall notify the tenants of their rights under this section at the time of service of the notice to quit.</p> | <ul style="list-style-type: none"> If the reason for termination triggers relocation benefits, then the notice must include that the tenant is entitled to a relocation fee of the amount then in effect <p><u>Amount</u>:</p> <p><i>Option 1</i> (set amount per tenant household): A set amount per tenant household, e.g. \$15,000. (<i>See, e.g.,</i> Berkeley \$20k). Berkeley is too expensive, San Jose has a tiered relocation option based on bedroom size that is much more reasonable.</p> <p><i>Option 2</i> (multiple of month's rent): Could tier by landlord size (e.g. if landlord owns 4+ units or under 4 units). (<i>See e.g.,</i> Glendale, Mountain View)</p> <p><i>Option 3</i> (set amount by unit size): (<i>See, e.g.,</i> Beverly Hills, Oakland, San Jose, Santa Monica, West Hollywood, for models)</p> <p><i>Option 4</i> (set amount by bedroom): San Jose</p> <p>Annual increases</p> | |
| Enforcement | | Enforcement-How to provide information to landlords | |

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| Preemption of Local Ordinances | This law does not preempt more restrictive local ordinances. | | |
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Compact Element #2: Emergency Rent Cap

Brief Summary: Establishes reasonable annual increases in rent.

Desired Effect: High impact. An emergency rent cap would prevent extreme rent increases in rent on a year-to-year basis, thereby decreasing the number of households who are at risk of displacement and homelessness, decreasing the number of households who are rent burdened, and promoting tenant and community stability. Extreme rent increases can pose a particular burden for tenants who are low and fixed income. Can be extended

Scale: State legislation applied to 9 Bay Area Counties

Models: Existing State Anti-Gouging Law in States of Emergency (cite)

References: Action Plans Referenced: 1.1, 1.2, 1.3

Negotiation Points: Annual rent increase limits, vacancy decontrol, define property types excluded; limits on # of years increases can be banked and % of increases banked; enforcement mechanisms; duration: permanent program or tied to emergency declaration w/ sunset provisions

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
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| Annual Rent Increase Limits | No landlord shall increase rent by more than the allowable increase, as defined below, in any year of tenancy (yearly increase). | <p><u>Percentage Increases:</u> Option 1: all units have rent increase caps, e.g. 5%+CPI</p> <p>Option 2: a different cap depending on age of unit, e.g. units 15+ years have CPI cap and newer units have 5%+CPI</p> <p><u>Term</u> Is there a sunset period?</p> | This applies whether or not Prop 10 passes. Costa Hawkins is irrelevant to state legislation and does not limit coverage in this instance |
| Vacancy Provision | | Vacancy de/control Cap applies to renter not unit - | |

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| Coverage | | <i>In addition to exemption of nonprofit/government owned housing, dormitories, ADUs, are there other exceptions?</i> | Costa Hawkins is irrelevant to state legislation and does not limit coverage in this instance |
| Banking and Capital Improvements | | Banking cap, cap on annual increases Formula for pass thrus and returns LL can bank 5 years of unused maximum Only increase rents 2x annual maximum eg. CPI+5x2 | Some protections need to be in place so that landlords cannot "bank" an unreasonable amount of rent increases and then issue an exorbitant aggregated rent increase all at once. |
| Preemption of Local Ordinances | This law does not preempt more restrictive local ordinances. | | |
| State of Emergency | | What conditions need to exist for this to apply? Who declares the state of emergency? Determine if state of emergency garner any other tools to expedite housing (permitting, etc) | |

Compact Element #3: Right to Legal Counsel for Eviction Proceedings

Brief Summary: All tenants facing eviction would have the right to legal counsel, leveling the playing field and protecting tenants from illegal evictions.

Desired Effect: Access to a lawyer can be the difference between losing a home and keeping it. Ensuring that all tenants facing eviction have the right to legal counsel would create a fairer justice system; prevent evictions and homelessness; improve health, stability and opportunity for thousands of residents, including children; and preserve existing affordable housing. With proper implementation, research suggests that the right to legal assistance for eviction proceedings can reduce evictions by 77% to upwards of 94% (according to a pilot program in California) and lead to a net savings for local jurisdictions. (e.g. in New York City cost savings are estimated at \$2 for every \$1 spent on legal assistance)

Scale: State legislation supported by regional funding

Models: SF Prop F passed in June, New York City

References: Action Plan 3.1

Negotiation Points: Funding source, identifying providers/administration; fees: means testing or sliding scale

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
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| Coverage | All tenants who are faced with legal proceedings to evict them from their residence have the right to legal counsel except when eviction proceedings are brought by a landlord or master tenant who resides in the same dwelling unit or property with tenant. The region or city shall have no obligation to provide | What is forum for resolution?. Create separate renters court, regional or local? Means tested? At what range? | The term "legal representation" shall mean full scope representation provided to an individual by a designated organization or attorney which includes, but is not limited to, filing responsive pleadings, appearing on behalf of the tenant in court proceedings, and providing legal advice. |

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| | <p>legal services where a state or federal program already provides full scope legal representation to a tenant facing eviction proceedings. Landlord obligation limited to providing an addendum notice of this rights in lease and eviction notice. Landlord has no payment or any other obligations. Tenant failure to exercise right to counsel will not impede eviction proceedings for landlord.</p> | | |
| *Funding (alternative pathway to achieve right) | <p>Generate approximately \$50 million per year to fund regional right to legal counsel.</p> | <p>What happens in eviction where there is no \$ for attorney?</p> <p>Possible sources include a regional transient occupancy tax, a tax on short-term rentals and vacant units, and a regional mega-measure, among others.</p> | <p>Tenants Together’s recent report, <i>California Evictions Are Fast and Frequent</i> found the following 3-year averages for unlawful detainer filings by county: (1) Alameda - 5,467; (2) Contra Costa - 3,928; (3) Marin - 432; (4) Napa - 277; (5) San Francisco - 3,275; (6) San Mateo - 1,516; (7) Santa Clara - 3,515; (8) Solano - 2,321; and (9) Sonoma - 1,195, for a total of 21,926 unlawful detainer filings per year. It should be noted that this number does not include the number of eviction notices prior to the filing of unlawful detainer eviction lawsuits. Therefore, if the region were to provide a right to legal counsel, the number of cases could be much higher; however, as a counterpoint, a right to legal counsel would likely deter landlords from serving tenants with illegal eviction notices.</p> |
| Providers | | <p>Option 1: Each city shall establish, run, and fully fund a program to provide legal representation for all tenants within the city who are faced with legal proceedings to evict them from their residence.</p> | <p>NYC’s has a coordinator who designates existing organizations that have “the capacity to provide legal services”</p> |

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| | | <p>Option 2: Each jurisdiction identifies local service providers to provide legal representation. Bay Area Metro distributes funds to local service providers from a regional pool. Bay Area Metro and local jurisdictions fund and conduct education efforts to notify residents of this right.</p> <p>Option 3: Bay Area Metro identifies and funds local service providers to provide legal representation. Bay Area Metro funds and conducts education efforts to notify residents of this right.</p> | Annual or bi-annual review of the program |
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Compact Element #4: Remove Regulatory Barriers to ADUs and Tiny Homes

Brief Summary: Amend existing state ADU law to remove regulatory barriers to building including ministerial approval for ADUs and Junior ADUs in residential zones, allowance for multiple ADUs in multi-family homes, and creation of a small homes building code (AB 2890 Ting).

Desired Effect: Extremely High Impact; Short Term. Assuming 20% of 1.5 Million single family homes in Bay Area = 300,000 new homes distributed into existing neighborhoods. In PDAs alone would be 50,000 new homes. Distribute green, more affordable homes quickly and uniformly in region. State must reduce zoning barriers to: (1) Create significant, rapid increase in less costly homes including stabilizing vulnerable households including seniors, disabled, and lower income homeowners in all existing neighborhoods (Missing middle housing, Preservation); (2) Reduce GHG by improving utilization of buildings/land build more small, infill, low GHG/sustainable homes (3) ease codes for ADUs and Tiny Homes . Help expand and stabilize labor force and construction.

Scale: State legislation applied to 9 Bay Area Counties

Models: Arlington VA, Portland OR, Seattle WA, Vancouver BC, State of Oregon Tiny Homes Code, (Leslye's work)

References: Action Plans 10.3, 10.4
UCB Chapple 2015; UCB Turner Center 2017; Legislative history SB 1069, AB 2890

Negotiation Points:

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
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| Ministerial Approval | <p>Allow ministerial approval regardless of zoning standards for:</p> <ul style="list-style-type: none"> Both an ADU and a Junior ADU (JADU), not required to be smaller than 800 sqft in any zone that allows residential uses; in existing or proposed structures including in rear yard cottage not to exceed 800 sqft , 16' tall , with 4' in side or rear yard setbacks | | |

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| | <ul style="list-style-type: none"> Existing unused spaces in multi-family structures or yards may be converted to multiple ADUs. ADUs receiving ministerial permits cannot be rented for less than 30 days; subject to local non-zoning housing standards not addressed in this law Encourage non-safety code forgiveness Provide that remedies for successful project applicant legal challenge include same as in HAA. Apply HAA's provisions for determining project consistency (if there is substantial evidence to support a consistency determination it is deemed consistent) <p>Allow division of existing homes by 50% where ADU may be 800 sqft</p> | | |
| Owner Occupancy | If Owner Occupancy locally required, reasonable annual monitoring based on published documents | | |
| Impact Fees | Limit impact fees to (1) being charged on a per square foot basis and (2) only on net new living area over 500 sqft per accessory unit | | |
| Small and Tiny Homes Building Code | <p>Create small homes building code to reduce non-safety code requirements that disproportionately make small homes and tiny homes infeasible including energy standards, appliance and room sizes, and similar.</p> <p>Life-safety standards must be upheld</p> <p>Use of unlicensed contractors under "owner builder" permits shall be discouraged by requiring a statement of owner liability be provided at time of building permit issuance under any small homes building code and any other building permits issued for ADUs.</p> <p>Sprinklers shall be required for ADUs if required under the building code for comparable home construction</p> | | |

Compact Element #5: Minimum Zoning for Housing

Brief Summary: Increase number of market rate and affordable homes near transit and MTC 5-Factor Areas on low density residential, commercial, and public sites with limited parking in a manner that fits in with existing neighborhoods and expands at a minimum missing middle housing (housing built to height of 36', 75% lot coverage, no parking, no density restrictions), to significantly increase overall housing production in areas targeted by Plan Bay Area and Sustainable Communities and consistency with new MTC 5-factor index.

Desired Effect: High Impact, Medium to Long term but essential to achieve compliance with PBA and SCS. Required precursor to increasing housing production of market rate, affordable, homeless, and all forms of housing.

Scale: State legislation applied to 9 Bay Area Counties

Models: Portland OR, Seattle WA pre-zoning infill neighborhoods

References: Action Plans Referenced: 8.2, 10.3, 10.5, 10.6
SB 827

Negotiation Points: Temporary delay provisions for communities of concern for 3-5 years; height for added density above missing middle to 75/80', define qualifying transit (bus, rail, ferry, major transit stop?); Refer to last draft of last printed version of sb 827 for all items except those not specified here.

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
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| Density Requirements | <p>Modify concepts from last printed version SB 827 only as specified below</p> <ul style="list-style-type: none"> increase housing densities and create allow housing overlay (1 mile?) ½ miles “on Transit” (confirm definition) to permit housing uses on commercial and institutional land below a low allowed FAR (1.5) to a minimum missing middle or “Minimum Housing Density” . See definition of minimum housing density below. increase densities and create housing overlay on Transit to at least densities above. In areas closer to major transit corridors (rail corridors, ferry stations, major transit corridors) increase densities to minimum 50’ (up to 75’ with density bonus excepting that “Sensitive Communities” can delay this increased Transit Density for projects providing less than 50% affordable housing for up to 4 years at 120% of AMI or less but only if no plan adopted last 5 years ie no downzoning Sites occupied by a Mobile Home Park, Public Housing, or Single Room Occupancy built prior to Effective Date shall not be eligible for Minimum Density overlay Subject to Additional Terms from SB 827 (e.g. no net loss, etc.). No local action required under CEQA for this to take effect | <p>Height for added density above missing middle</p> <p>Define qualifying transit (bus, rail, ferry, major transit stop?);</p> <p>Determine definition of “transit corridors”</p> <p>Determine reduced affordability levels outside “sensitive communities”</p> <p>Determine period of “deferred compliance” and expected planning densities on transit for completed plans.</p> <p>Map of sensitive communities</p> | <p>To broaden missing middle zoning, widen zoning overlay, add provision that housing overlay applies to disturbed commercial/institutional sites larger than 5 acres, with permitted FAR below 1.5, in urbanized areas (targets large non-performing low density retail, light industrial) outside of transit areas, with 0 parking minimum</p> |
| Definition Missing Middle Zoning | <p>* Missing middle standards: Local jurisdictions shall not adopt local zoning standards to limit density, require a minimum lot size, amount of parking or open space, or control the building location or envelope on a lot, except the following may be regulated:</p> <ol style="list-style-type: none"> Building height – Maximum allowed building height shall not be less than 36’ except in the rear 20’ of the lot where the maximum allowed building height may be reduced to 15’. Yard setbacks – Minimum required yard setbacks shall be no more than 10’ in the front, 5’ in the side, and 10’ in the rear [or no more than 3’ in the rear if the building height is 15’ or less]. Unit size – Maximum allowed unit size shall not be larger than 2,000 square feet. <p>Local agency may create demolition controls to preserve existing architectural character which shall allow remodeling, raising, relocating existing structures.</p> | | |

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| | <p>** High-density standards: Local jurisdictions shall not adopt local zoning standards to limit density, require a minimum lot size, amount of parking or open space, or control the building location or envelope on a lot, except the following may be regulated:</p> <ol style="list-style-type: none"> 1. Building height – Maximum allowed building height shall not be less than 55’ which may be increased to 75’ with the addition of the State Density bonus program. 2. Yard setbacks – Minimum required yard setbacks shall be no more than 10’ in the front, 4’ in the side, and 10’ in the rear. | (see geography proposal) | |
| | <p>Expand upzoning beyond narrow focus on transit areas consistent with MTC analysis showing most appropriate locations for housing based on 5 objective factors: affordability; VMT reduction; resilience; access to opportunity; displacement</p> <p>Apply HAA’s provisions for determining project consistency (if there is substantial evidence to support a consistency determination it is deemed consistent). Provide that remedies for successful project applicant legal challenge include same as in HAA.</p> | | |

Compact Element #6: Improve Effectiveness and Fairness of State Housing Streamlining (SB 35)

Brief Summary: SB 35 was intended to streamline housing for projects with fully skilled and trained labor and on-site affordable amendments are needed to improve effectiveness so more projects to make use of this section to increase housing production. Amendments proposed:

- Allow reasonable local review including design review
- Allow smaller projects to access expedited review without added labor or affordability standards
- For larger projects add tax 15-year abatement (modeled on New York) and other offsets to pay for labor and affordable requirements
- Adjust liability standards to make more homes insurable. Home ownership cannot be achieved in infill buildings without modifying existing liability laws that prevent reasonable attached home ownership products because they are uninsurable. See AB 2353 (Frazier)

| <p>Desired Effect: Projects that have labor standards should get the benefit of additional tools (benefits/offsets) to pay for living wage jobs. Pre-cursor to achieving expanded housing production with labor standards and on-site affordable throughout the region. Essential to easing construction labor shortage increasing number and predictability of high quality desirable construction jobs.</p> <p>In regions such as Cascadia which has more reasonable liability laws for ownership, up to 50% of attached housing new construction is in ownership forms. If the Bay Area could increase production by being able to offer homes for sale in addition to for rent, could increase overall housing production significantly. Also may be only way to create new home ownership opportunities in existing developed communities including in small missing middle type projects that could create more ownership opportunities at a range of incomes.</p> | | | |
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| <p>Scale: State legislation applied to 9 Bay Area Counties</p> | | | |
| <p>Models: New York</p> | | | |
| <p>References: SB 35; Action Plans Referenced: 12.2, 12.3, 17.1, 17.2</p> | | | |
| <p>Negotiation Points: Deferrals for provisions for communities of concern regarding affordability levels, economic offsets and tools; confirm 15 year time period for real estate tax abatement; define: small project, affordability levels, limits/requirements on use of real estate abatement</p> | | | |
| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
| Clarifications to Existing Law | <ul style="list-style-type: none"> Housing developments of less than 20 units or 20,000 square feet, are eligible for SB 35 expedited approvals without added affordability, wage, apprentice, or labor standards to reduce local planning workload on small but often controversial projects. SB 35 projects are exempt from CEQA Local jurisdictions retain authority to regulate demolition of historic structures excepting that historic status if any must have been identified prior to project application completeness. | <ul style="list-style-type: none"> Precluded from considering impacts to views, privacy or solar access, except in the case of existing solar panels. Maximum number of required public hearings: 1 for projects with 5 units or less; 2 for projects with six to 20 units; 3 for projects with 20 units or more. | |

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| | <ul style="list-style-type: none"> • SB 35 projects subject to limited local discretionary review as follows: • 6 months and 1 de novo hearing for projects of 20 units or less • 12 months and 3 de novo hearings for projects larger than 20 units • Subject to HAA protections. • May not reduce the number of residential units otherwise permitted by the maximum allowed building envelope. • Precluded from considering impacts to views, privacy or solar access, except in the case of existing solar panels. • Provide that remedies for successful project applicant legal challenge include same as in HAA. • Apply HAA's provisions for determining project consistency (if there is substantial evidence to support a consistency determination it is deemed consistent) • Deferral option in Sensitive Communities: Local agency may elect in sensitive community designated areas to retain affordability levels for SB 35 projects remain at current law levels until community planning complete at which point affordability levels may change. | | |
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| Developer Incentives | <ul style="list-style-type: none"> • Cap impact fees on SB 35 projects to \$30 per square foot for over 500 square feet of net new living area • Add 15-year tax relief modeled on NY program to SB 35 projects “reverse redevelopment” • Make SB 35 projects eligible for an automatic 35% Density Bonus • For projects that use a skilled and trained workforce: 3-year statute of repose and liability requires showing of negligence in construction, i.e., no strict liability • Require licensed inspectors for plaintiffs and builders in construction defect cases to reduce the likelihood and size of class action like suits which prove to be timely and expensive • By minimizing costs related to construction defect suits, this will encourage increased production of homes, especially condominiums. | <ul style="list-style-type: none"> • Local agencies shall provide a waiver process for individual developments to waive or modify inclusionary requirements including: <ol style="list-style-type: none"> 1. offering a lower rate of required on-site affordability 2. higher rates of area median income 3. “fee out” option to pay fees instead of building units on site 4. the ability to provide land or units off-site 5. waive all or some of the above if none of the above are feasible. • Waiver request and rationale shall be included in a project’s initial application material. If all or partial waiver denied, local agency must make findings supported by substantial evidence in the record that disproves project sponsor’s rationale for the waiver and can be subject to challenge under the Housing Accountability Act. | Terms and requirements of waiver |
| Changes to Existing Law | <ul style="list-style-type: none"> • Grandfathering Existing Programs | All local agencies, including grandfathered, must make findings and document that any local inclusionary zoning rates are not suppressing housing production based on annual public hearing in first 30 day of every calendar year before governing body with public testimony and evidence that shall include last 5 years of development applications, building permit issuance, and occupancy permit issuance in the local agency, and testimony from local for profit | Monitoring and enforcement to ensure not suppressing production, |

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| | | and non-profit developers. Hearing transcript must be transmitted to HCD and regional agency. Otherwise zoning compliant projects protected by the Housing Accountability Act at a zoned density cannot be made infeasible by the rates or application of any local inclusionary zoning program. | |
| Affordable Housing Fee | | An affordable housing fee shall be charged to "high price units" defined as (TBD) | Formula for fee at least 10% Higher than median sales or rental price for new construction in the jurisdiction Legal issues in structuring fee |

Compact Element #7: Strengthen Utilization of Public Land for Housing Production

Brief Summary: Promote increased utilization of public land for affordable housing through enhancements to a variety of legislation, regulatory tools and regional coordination and planning actions including strengthening the surplus land act, amending housing element law or amending the regulatory certification process, and embedding coordinating, technical support and monitoring functions in a regional housing entity. Goals are to achieve:

- Barrier reduction to developing on public land by ensuring that land is adequately zoned
- Create mechanism for coordination/monitoring of regional public land supply
- Provide technical support and draft legislation that encourages public land to be re-used for housing.

Desired Effect: Encourage the reuse of public land for the creation of mixed-income or affordable housing development.

Scale: State legislation applied to 9 Bay Area Counties; may impacts housing element law; to be addressed in coordination with other CASA policies.

Models: Puget Sound region of WA including Seattle; <https://www.psrc.org/public-land-affordable-housing>; <https://seattle.curbed.com/2017/9/29/16387686/surplus-public-land-affordable-housing>
Enterprise report: <https://www.enterprisecommunity.org/download?fid=3257&nid=3739>

References: Action Plans 16.1; 16.2

Negotiation Points: Intent: is it to “encourage” or to “create stricter requirements for affordability”
Incentive structure options, revenue source to cover localities cost to implement; levels of affordability; pricing and conveyance of land ranging from donated in full to conveying at below-market value

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
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| Details | See (Current bill) Also support changing State Housing Element Law to: A) Require and resource jurisdictions to prepare a full inventory of publicly-owned sites within their boundaries, including current uses, and report this to their Councils of Governments (COGs). B) Allow residential uses on developable public land, regardless of zoning, by establishing a presumption in Housing Element Law that homes may be built on public land meeting certain criteria (eg not parkland). If a jurisdiction prohibits housing on a site, require them to submit a rationale for its exemption, based on strict State-sanctioned standards. | | |

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| | <p>Regulatory changes:</p> <p>A) Make public land more competitive for affordable housing funds to incentivize rezoning: Modifications to LIHTC, AHSC, other program requirements. Build in incentives to programs that encourage housing development on public lands.</p> <p>B) Review State's spatial guidelines for public facilities (ie schools) to evaluate potential for changes that could open up land for housing without compromising the quality of on-site public services (e.g. New York allows for vertical mixed use with ground floor public uses)</p> | | |
| Definitions | <p>Temporary housing shall be defined as follows:</p> <ul style="list-style-type: none"> • Designed and constructed to be relocatable and transportable over public streets. • Floor area of 500 square feet or less when measured at the most exterior walls. • Sited upon a temporary foundation in a manner that is designed to permit easy removal. • Designed to be removed within three (3) years of installation | | |
| Labor Standards | <p>Public lands released for housing shall include policies that help expand the trained labor pool available for housing construction including requirements for trained apprentices and prevailing wages. Exceptions to these labor standards requirements on public lands shall be made for temporary housing built to address an emergency, and housing built with volunteer labor (see Labor Code §1720.4. http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=LAB&sectionNum=1720.4.</p> | | |

Compact Element #8: Streamline Housing Approvals Through Fair, Predictable, Faster Process

Brief Summary: Amend State Housing and Permitting Laws (Permit Streamlining Act, Housing Accountability Act) to disallow backsliding to avoid compliance with State law, and to restore transparency, certainty, fairness, deadlines, predictability to housing approval process Case-by-case public disputes and opposition to many if not most housing projects, even when these are consistent with local plans and rules,. Good government must be transparent, fair, predictable, and even-handed across the region, with clear rules that apply to everyone equally.

Terner Center found in 2018 report that development fees are extremely difficult to estimate; are usually set without oversight or coordination between city departments, the type and size of impact fees levied vary widely from city to city; Individual fees add up and substantially increase the cost of building housing; and projects are often subject to additional exactions not codified in any fee schedule. Effect of legislation will be to create certainty and transparency in how impact fees are set and what they are, and overall reduce impact fees

UCB Terner Center 2017 <https://ternercenter.berkeley.edu/blog/it-all-adds-up-the-cost-of-housing-development-fees-in-seven-california-cities>,

Desired Effect: High Impact; Short Term for proposed housing or housing stuck in approval pipeline that that otherwise prevented from advancing or made infeasible due to lack of transparent or fair process including varying or changing standards for processing, impact fees, community benefits. Not possible to document the number of units “not proposed” or “slowed down until became infeasible”. Required precursor to increasing housing production of market rate, affordable, homeless, and all forms of housing.

Scale: State legislation applied to 9 Bay Area Counties

Models: Forthcoming if available/applicable.

References:

Action Plans Referenced: 12.1

https://www.law.berkeley.edu/wp-content/uploads/2018/02/Getting_It_Right.pdf

Negotiation Points: Terms and requirements for a local waiver; monitoring and enforcement to ensure not suppressing production; exploration of “deemed approved” language.

| Bucket / | Summary | Areas for Further Negotiation | Additional Commentary |
|----------|---------|-------------------------------|-----------------------|
|----------|---------|-------------------------------|-----------------------|

| Category of Detail | | | |
|-----------------------------------|---|---|--|
| Local Jurisdictional Requirements | <ul style="list-style-type: none"> Disallow height and density reductions, limits, and moratoria in already residentially zoned areas to avoid compliance with State housing law especially the HAA. Local agency and special district rules, fees, codes, and standards must be made available in writing to an applicant on a written form available at the local agency with clear mechanisms for determining rules, fees, inclusionary standards, community benefits and historic status determinations or they cannot be requested by the local agency nor agreed to by the developer. Historic status must be determined prior to project application completeness based on published reports. Allow no more than 3 de novo public hearings on a housing project (with possibility of appeals). Report to Bay Area Metro and HCD the length of time from new or renovated housing project application to project approval for all housing projects and remodels, as well as the number of de novo hearings and appeals on each. Use it or lose it provision such that streamlined permits expire if not used in a timely way (eg 24 months) May not reduce the number of residential units otherwise permitted by the maximum allowed building envelope. Precluded from considering impacts to views, privacy or solar access, except in the case of existing solar panels. | <p>☐ Should this apply only to projects of 20 units or less (e.g. “small” projects)?</p> <p>☐ No net loss provisions on streamlined projects</p> <p>☐ Additional community engagement and delayed implementation in sensitive communities</p> | <p>Consistency with general plan when zoning non-compliant accomplished in AB 3194 (Gloria) signed in 2018-delete here</p> <p>Note that AB 2753 (Friedman) requires density bonus standards to be issued at Application Completeness, creating precedent for this approach</p> |
| Local Jurisdictional Requirements | | | |
| Fees/Rules | <ul style="list-style-type: none"> For projects consistent with the general plan, any relevant specific plans, and consistent with residential use zoning, LOCK FEES AND RULES AND COMMUNITY BENEFITS AT APPLICATION COMPLETENESS (excepting rule changes for life safety conditions). Lock fees and rules for 100% affordable projects as of the date of application. These local rules/fees cannot be modified after Application Completeness. Completeness shall be defined as making all the required plan changes in the first zoning completeness letter. | | |

| | | | |
|---------------------|--|--|--|
| | <ul style="list-style-type: none"> • To remove small homes penalty, limit mitigation impact fees from all local agencies and special districts to being levied on a per square foot not per unit basis • Allow impact fees only on net new living area over 500 square feet (modeled on existing school impact fee law). • Implement fee impact recommendations of Turner Center: • Develop clear, consistent methodology for region for all impact fees that can be charged by local agencies. Work with Turner Center and HCD to develop this. Require evaluation of total fees, exactions, impositions, locally imposed requirements in excess of state building code (not labor costs) and provide documentation to regional agency and HCD. • Provide written estimate of all development impact fees that will be charged by the local agency through the entitlement and construction process at the time of application submittal or these cannot be levied as a condition of development approval • Lock all development impact fees and formulas/rates for charging these at application completeness • Require that local agencies allow payment of up to 50 percent of development impact fees at project completion or up to 100 percent of the fees at project completion if accompanied by reasonable financial security at permit issuance; | | |
| Parallel Amendments | <ul style="list-style-type: none"> • Amend Permit Streamlining Act to require approval of all residential projects less than 20 units or 20,000 square feet in size in 6 months, over 20 units in 12 months. Requires parallel CEQA amendments to be effective—see SB 35 Compact Item <u>Apply HAA's provisions for determining project consistency (if there is substantial evidence to support a consistency determination it is deemed consistent). Provide that remedies for successful project applicant legal challenge include same as in HAA.</u> | | |

| | | | |
|---|--|--|---|
| Density Bonus Clarifications & Administration | <ul style="list-style-type: none"> • Re-write density bonus law to add clarity, clear implementation guidelines to be developed by HCD including implementing forms, agreements, etc. • Confirm and codify Density Bonus ruling in <i>Latinos Unidos del Valle de Napa y Solano v. County of Napa</i> ("LUNA") as applied to DB units, inclusionary units, and mitigation, SB 35 ie \$ for \$ credit (each is credited all requirements,no double or triple payments) • HCD monitor DB and IZ units | | |
| Density Bonus Requirements | <ul style="list-style-type: none"> • Relate Density Bonus Affordability to Palmer Fix (Inclusionary) and disallow separate housing impact fees except as an alternative compliance mechanism: | | Clarify that mitigation fees for housing may not be charged to Density Bonus or deed restricted units |

Compact Element #9: Regional Housing Enterprise

Brief Summary: Establish a regional leadership entity to implement the CASA Compact, track and report progress, and provide incentives and technical assistance. The entity must be governed by an independent board with representation for key stakeholder groups that helped develop the Compact. The housing entity would not play a regulatory/enforcement role.

Desired Effect: Existing regional agencies either do not have the mandate (for e.g., the Metropolitan Transportation Commission) or the resources/tools (for e.g., the Association of Bay Area Governments) to directly tackle the region's pressing displacement and affordable housing crisis. The CASA Compact will set a bold region-wide agenda for addressing protection of existing tenants, preservation of existing affordable units and production of both market-rate and subsidized units. To implement this agenda, a broad coalition of stakeholders, who have helped shape the CASA Compact, must stay engaged with state legislative advocacy, building support for raising new revenue and financing programs, tracking and monitoring progress, keeping the public engaged, and taking a regional approach to challenges such as homelessness. A regional approach can balance inequities and imbalances across multiple jurisdiction that have to contend with varying market strengths, fiscal challenges and staff expertise.

Scale: State legislation applied to 9 Bay Area Counties

Models: New York City Housing Development Corporation (housing finance); Twin Cities (revenue-sharing)

References: The entire CASA Compact

Negotiation Points: board structure and governance, authority, roles and responsibilities, staffing and coordination with existing regional agencies

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
|--------------------------------|--|-------------------------------|-----------------------|
| Board Structure and Governance | CASA may recommend establishing a Regional Housing Enterprise (RHE) to coordinate and lead implementation of the CASA Compact. State law may establish an independent board, with broad representation to MTC, ABAG and key stakeholder groups that helped develop the CASA Compact. | | |

| | | | |
|----------------------------|--|--|--|
| Authority | The state may form the RHE through an act of legislation, and give it authority to collect new revenue (through fees or taxes); disburse the revenue to programs and projects in the expenditure plans (consistent with the CASA Compact); purchase, lease and hold land; and provide direct assistance. The RHE will not have regulatory authority but will collect and monitor progress on implementing the CASA Compact. | | |
| Roles and Responsibilities | <p><i>Revenue administration and debt issuance</i> – using the authority to levy fees and seek voter approval to impose taxes for housing, the RHE may collect and disburse new funding, issue debt based as needed, and allocate funding to protection, preservation and production programs, as laid out in the CASA Compact.</p> <p><i>Land leasing and disposition</i> – the RHE may act on behalf of the related public agency to lease or purchase land for housing development and assemble parcels, when appropriate. The RHE may hold and bank land, based on market conditions.</p> <p><i>Monitoring and Reporting</i> – the RHE may coordinate with MTC/ABAG to collect relevant data (including on local housing performance), conduct research and analysis, and disseminate information as part of its monitoring and reporting role. The RHE may also conduct evaluation of its program to improve state CASA outcomes.</p> <p><i>Enhanced Technical Assistance</i> – the RHE may coordinate with MTC/ABAG to provide extensive support and technical assistance to local jurisdictions (especially smaller jurisdictions with limited staff capacity), education and awareness for stakeholders (such as tenants and landlords), and communication materials for the broader public.</p> | | |
| Staffing | The RHE may be supported by the consolidated staff of MTC/ABAG, with additional staff added in specialized areas such as debt issuance, land leasing and disposition, financing projects, etc. | | |

Compact Element #10: Funding and Financing the CASA Compact

Brief Summary: Raise \$1.5 billion in new revenue annually from a broad range of sources, including property owners, developers, employers, local governments and the taxpayers, to fund implementation of the CASA Compact. Allocate up to 10 percent of the new revenue for local jurisdiction incentives, another 10 percent for protection strategies, 20 percent for preservation, and 60 percent for the production of subsidized units for lower-income households. Distribute 75 percent of the new revenue back to the county of origin (return to source) and use the remaining 25 percent for regional program (revenue-sharing), while maintaining the allocation shares listed above. Disbursement of regional as well as county-level revenue would be subject to performance and outcomes, to be developed by the Regional Housing Enterprise (RHE). Any unused revenue would revert to the regional pot, after a specified time period.

Desired Effect: The Compact identifies a range of strategies to protect tenants, preserve affordability and produce new units. Many of the strategies, such as “Right to Legal Counsel,” building 14,000 new subsidized housing units annually, and preserving 26,000 market-rate units as permanently subsidized units for lower-income households, are unfunded mandates for the RHE without an infusion of new revenue.

Scale: State legislation applied to 9 Bay Area Counties

Models: TBD

References: The entire CASA Compact

Negotiation Points: Total amount to raise, potential sources, allocation and distribution formulas and level of flexibility.

| Bucket / Category of Detail | Summary | Areas for Further Negotiation | Additional Commentary |
|--------------------------------|---|----------------------------------|-----------------------|
| Funding gap | CASA estimates that the funding gap to implement the Compact is \$1.5 billion per year over the next 15 to 20 years. | | |
| Potential sources | New revenue could be raised through fees or taxes. In principle, new revenue would be raised from a range of sources to spread the responsibility (or pain). These sources may include property | | |

| | | | |
|----------------------|---|--|--|
| | <p>owners, developers, employers, local governments and taxpayers. Promising examples include:</p> <ul style="list-style-type: none"> A. 2 percent Vacant Homes Tax levied on property owners; B. Commercial Linkage Fee charged to developers, which ranges from \$5 to \$20 per square foot depending on whether the new development is located within or outside a Transit-Priority Area (TPA), or is in a jurisdiction that has a balanced or unbalanced jobs-housing ratio; C. Gross receipts tax on employers modeled on San Francisco, which varies by sector and size of the firm; D. Bringing back Redevelopment Agencies for housing and setting a 25 percent set aside requirement on revenues for subsidized units; and E. ½-cent Sales Tax. | | |
| Allocation formula | <p>New revenues would be allocated by the following shares:</p> <ul style="list-style-type: none"> • Up to 10 percent for local jurisdiction incentives; • Up to 10 percent for tenant protection services; • Up to 20 percent for preservation; and • A minimum of 60 percent for subsidized housing production. | | |
| Distribution formula | <p>New revenues would be distributed by the following shares:</p> <ul style="list-style-type: none"> • 75 percent to county of origin (return to source); and • 25 percent to a regional program (revenue-sharing). <p>Total expenditures would still meet the allocation formula (see above), and be subject to objective performance standards and outcomes.</p> | | |

CASA – The Committee to House the Bay Area

7/26/2018

COMMITTEE MEMBERSHIP IS NON-TRANSFERABLE

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METROPOLITAN
TRANSPORTATION
COMMISSION

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Memorandum

TO: Commission

DATE: November 21, 2018

FR: Executive Director

RE: Transportation Funding Conditioning / Housing Outcomes

In October 2017, in conjunction with the adoption of the 2018 Regional Transportation Improvement Program policies and procedures, the Commission tasked MTC/ABAG integrated staff with developing housing condition criteria that would consider all transportation funding sources, as a means of encouraging the production and preservation of affordable housing to meet the needs identified in Plan Bay Area 2040.

The attached presentation is intended to guide and inform the workshop discussion on this topic, and includes background information as well as a series of options for your consideration. We look forward to your feedback.



Steve Heminger

SH:tr

Attachments: Transportation Funding / Housing Linkages Presentation

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Transportation Funding / Housing Linkages

Commission Workshop
November 28 – 29, 2018
Agenda Item #3



Presentation Overview



Context: Advancing the Regional Housing and Transportation Agendas

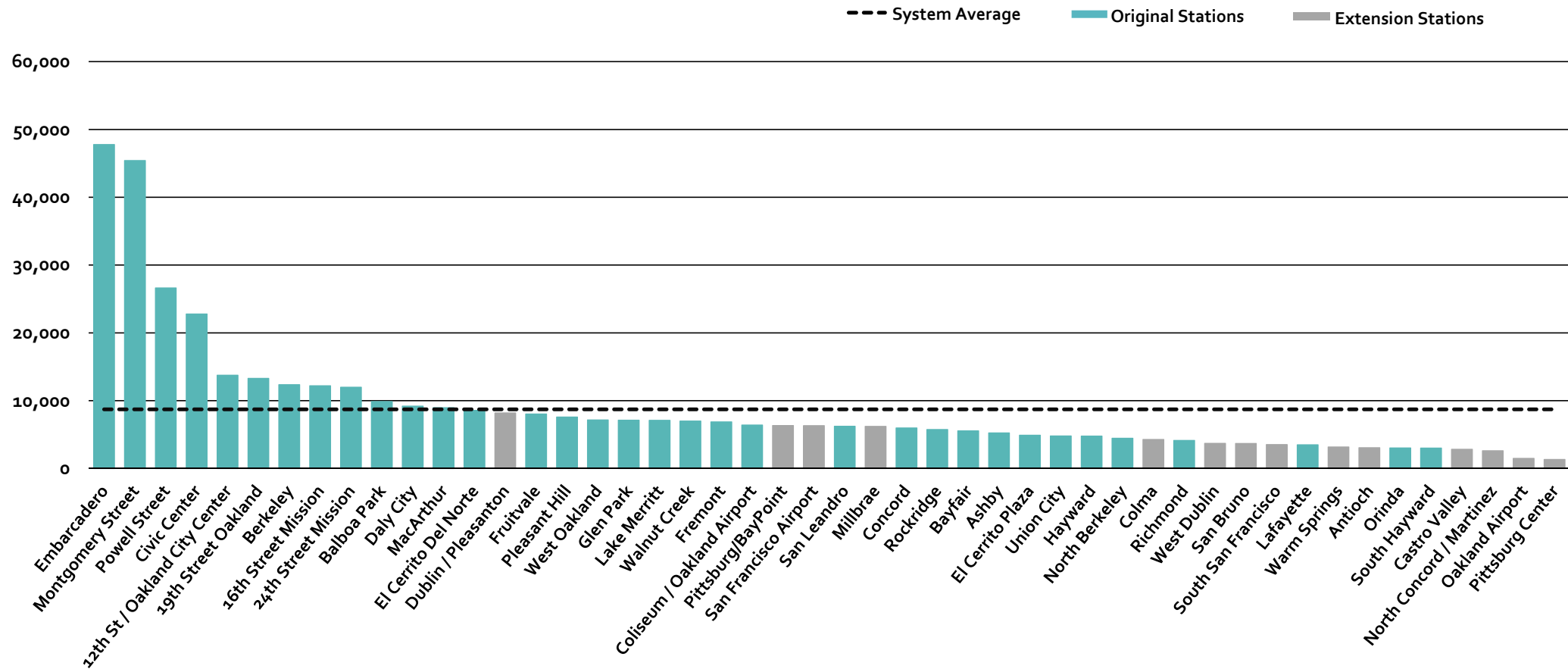
Transportation Funding Overview

Transportation Funding / Housing Linkages → Potential Approaches

FY 2018-19 Typical Weekday BART Exits

Original Stations and Extension Stations

Updated - November 2018



Housing Incentive / Conditioning History

October 2017

MTC adopted 2018 RTIP

- ❖ **Augmented the HIP program** with \$46 million RTIP set-aside
- ❖ **Directed staff to:**
 - ✓ 1. Develop **HIP program** distribution proposal
 - ✓ 2. Survey jurisdictions for **compliance with housing laws**

November 2018

- ★ 3. Develop **housing conditioning criteria** to consider for **all funding sources**

Housing Incentive / Conditioning History

RTIP Policy Discussion (2017)

2018 RTIP – Potential Strategies

Options Presented to Committee

- **Option A: Carrot + Stick | 2018 RTIP**
 - 15% eligibility threshold with no exceptions
 - 5 projects potentially ineligible in 2018 RTIP
- **Option B: Carrot + Stick | 2018 RTIP**
 - 15% eligibility threshold with corridor averaging
 - No projects expected to be ineligible in 2018 RTIP
- **Option C: Carrot + Prospective Stick | 2020 RTIP**
 - 2018 RTIP not affected
 - Additional evaluation on framework for 2020 RTIP

MTC Actions to Advance the Regional Housing Agenda



MTC's Resolution 3434 TOD Policy

Corridor Housing Unit Thresholds – Average per Station Area (1/2 mile)

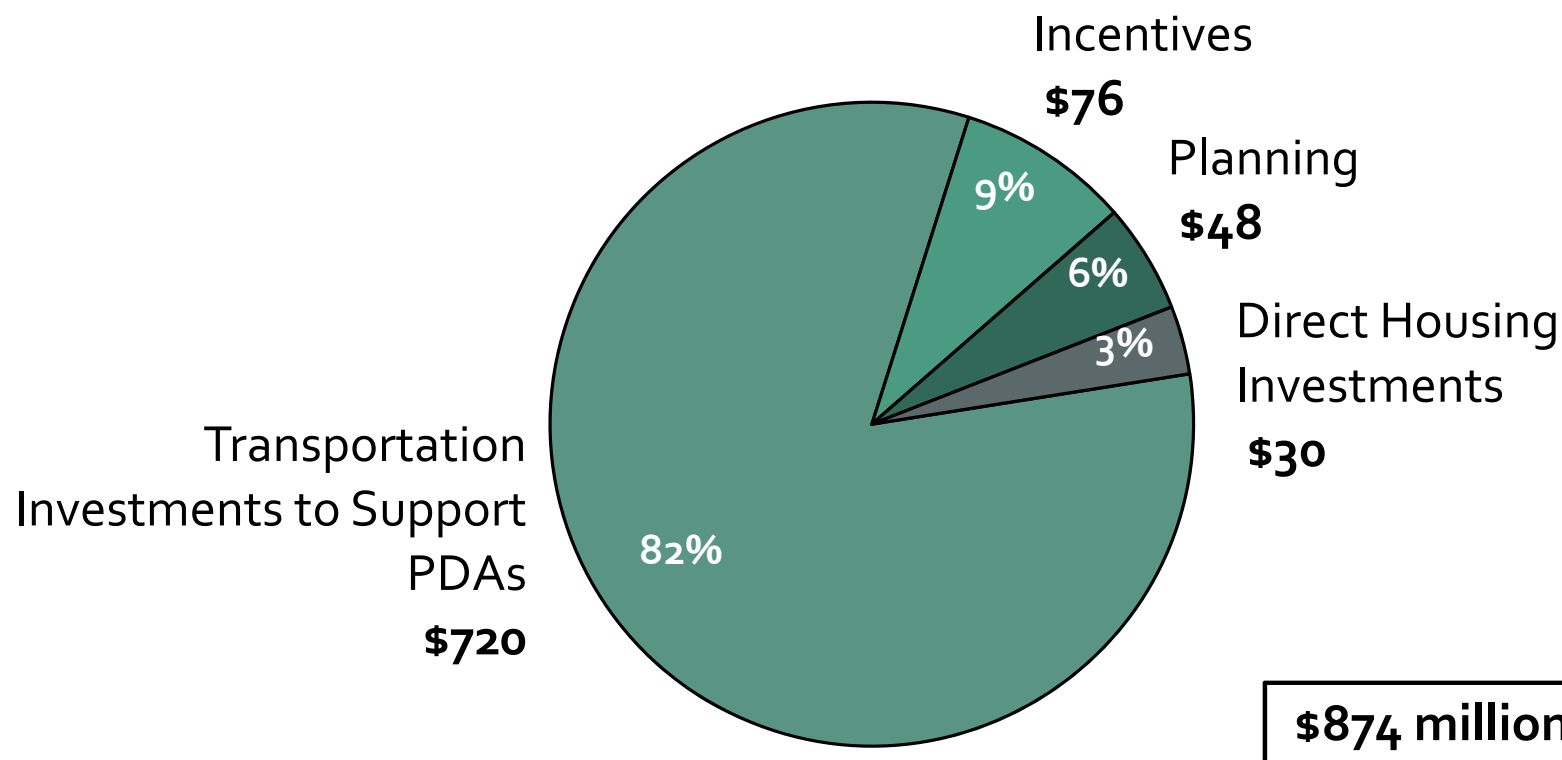
| Project Type | BART | Light Rail | BRT | Commuter Rail | Ferry |
|--------------------|-------|------------|-------|---------------|-------|
| Housing Thresholds | 3,850 | 3,300 | 2,750 | 2,200 | 2,500 |

- ❖ Adopted 2005
- ❖ Land use must support new transit investments
- ❖ Sets minimum housing thresholds along expansion corridors as a condition of transportation funding
 - ❖ New below-market rate units receive 50% bonus towards achieving thresholds
- ❖ Most Res 3434 projects have now been built

PDA-Supportive Funding: OBAG 1+2

Regional Programs to Support PDAs and Affordable Housing

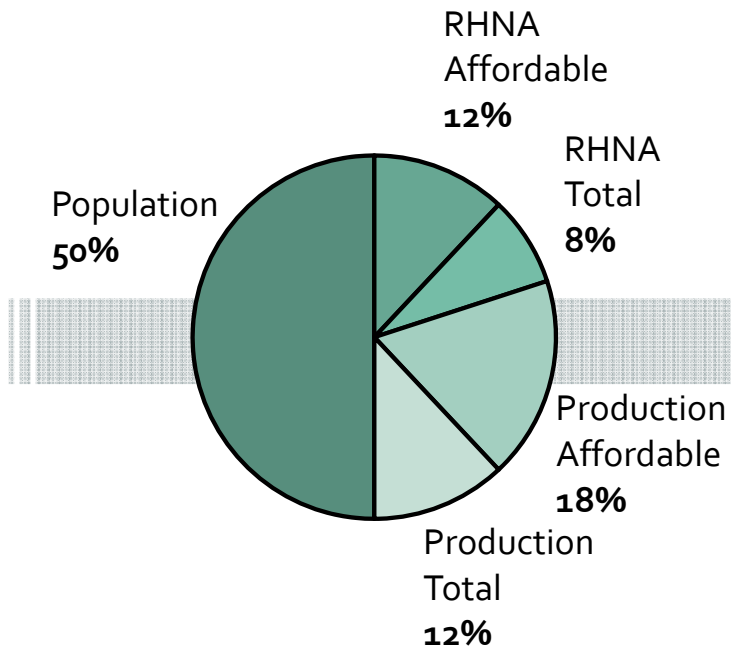
FY13-FY22, in millions



\$874 million

OBAG 1 + 2 Distribution

County Distribution Formula



County Funding Amounts

| County | Amount |
|---------------|--------------|
| Alameda | \$143 |
| Contra Costa | \$104 |
| Marin | \$22 |
| Napa | \$15 |
| San Francisco | \$87 |
| San Mateo | \$61 |
| Santa Clara | \$196 |
| Solano | \$41 |
| Sonoma | \$52 |
| Total: | \$720 |

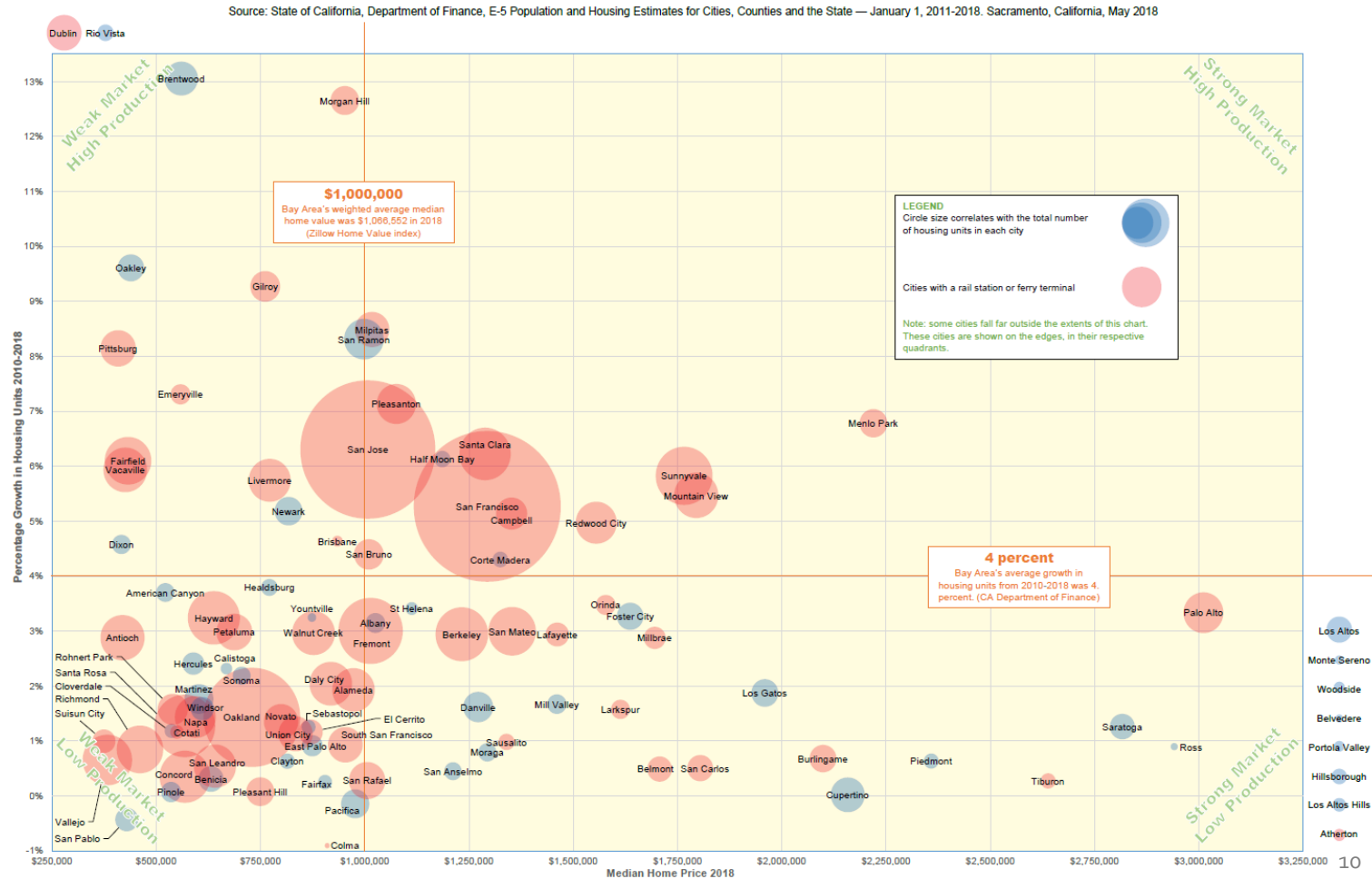
FY13-FY22, in millions

Investments are concentrated in PDAs

- 50% minimum in North Bay counties
- 70% minimum in remaining counties

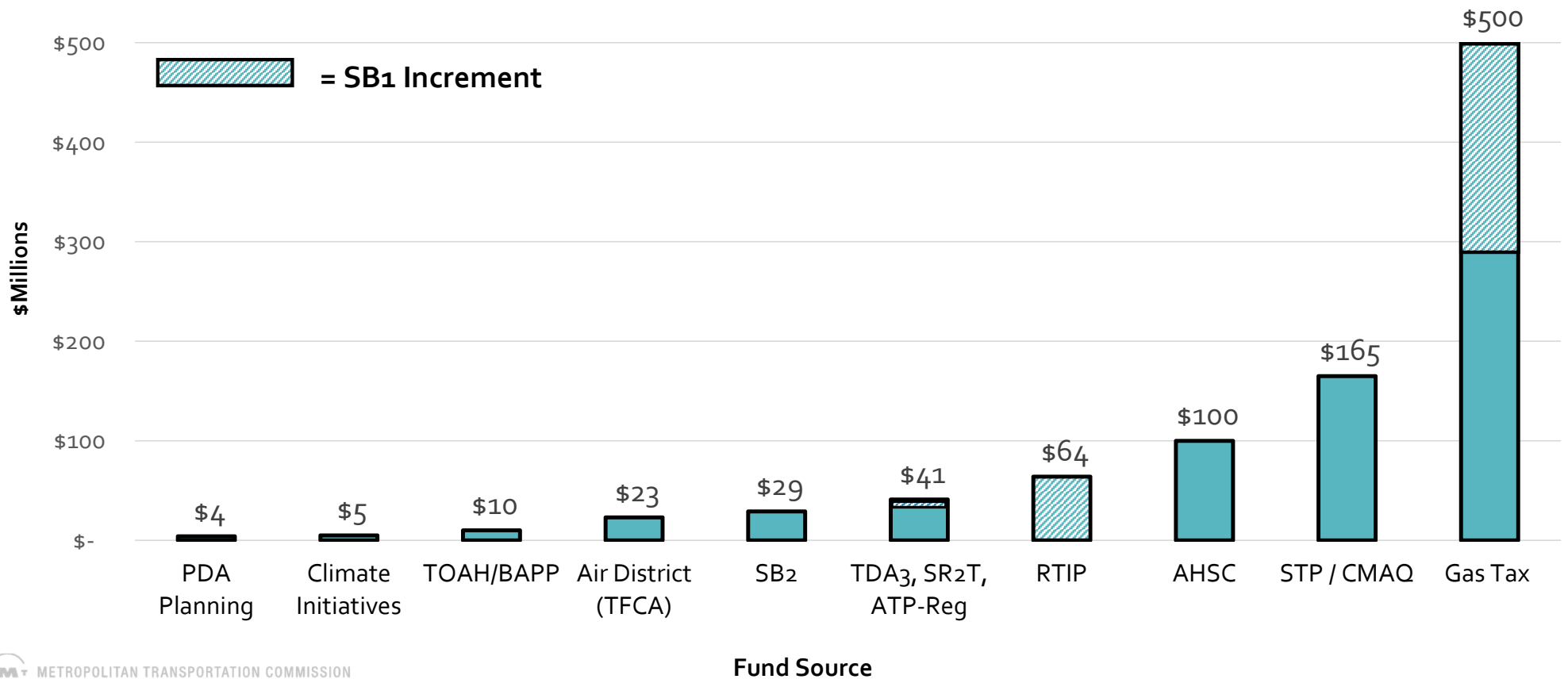
Market Strength and Housing Performance

Market strength and proximity to regional transit contribute to jurisdictions' suitability for housing production



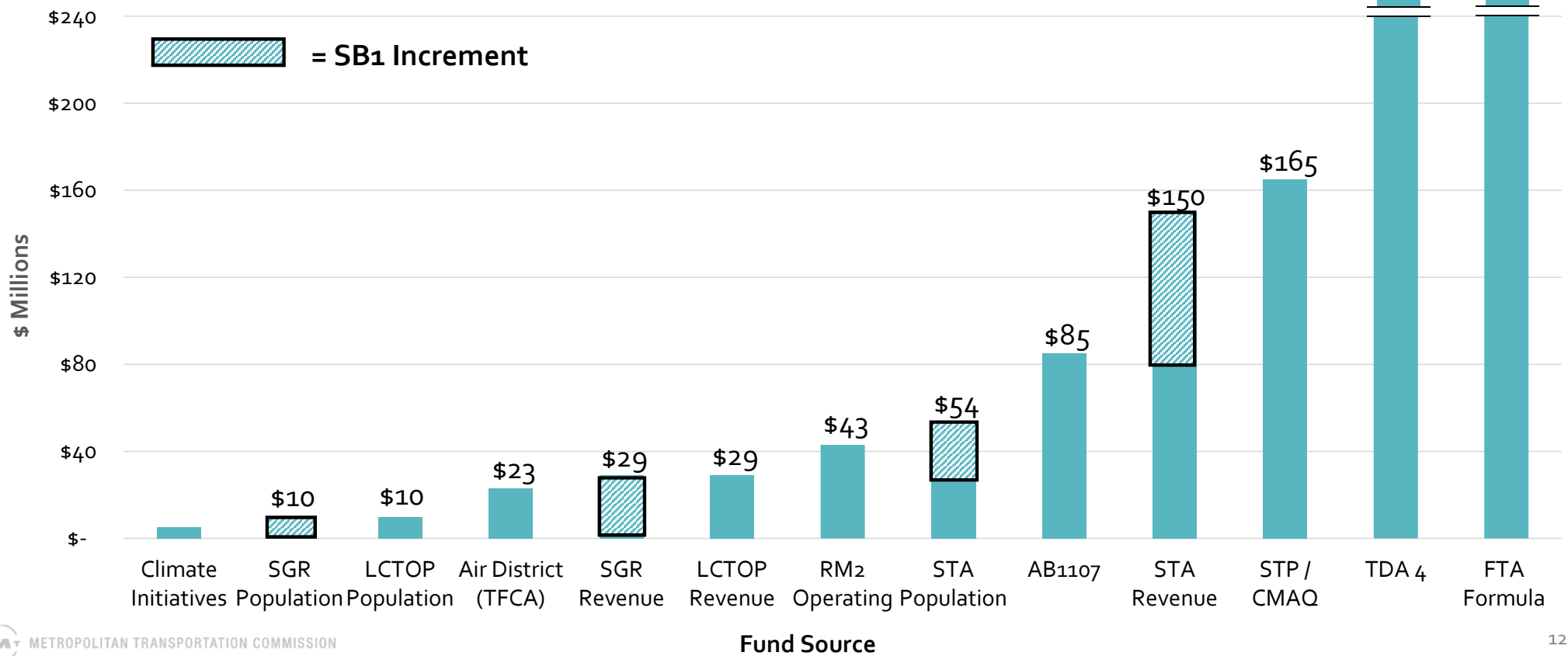
Funding Overview –

Funding Sources Dedicated to Local Jurisdictions



Funding Overview –

Funding Sources Dedicated to Transit



Transportation / Housing Funding Linkage

Comprehensive Approach

Focus on funds that:

1. Are large enough to matter;
2. MTC has discretion over; and/or
3. Are directed to municipal jurisdictions

** Gas Tax conditioning would require change in state law*

Transportation Funding Sources – Matrix of Potential Linkages to Housing

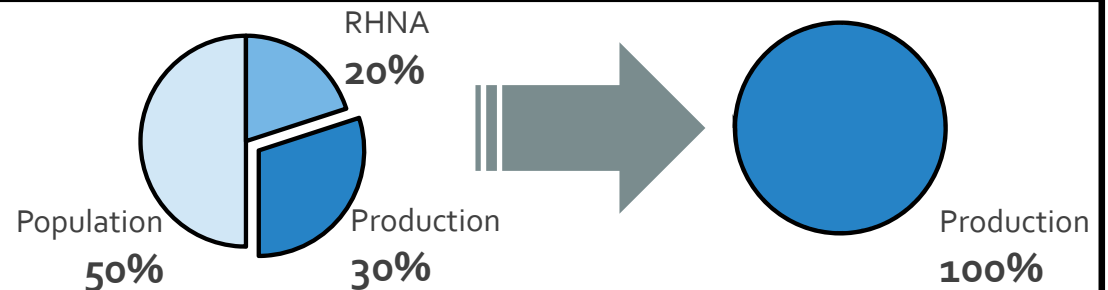
| 1. Large Enough to Matter | 2. MTC Discretion | 3. Municipal Recipient | Fund Source | Annual Revenue | Major Funding Purpose |
|---------------------------|-------------------|------------------------|--|----------------|-----------------------|
| ✓ | ✓ | ✓ | STP/CMAQ – County Program | \$77 | Multiple |
| ✓ | | ✓ | Gas Tax Subventions* | \$500 | Local Roads |
| ✓ | ✓ | | STP/CMAQ – Regional Program | \$95 | Multiple |
| ✓ | ✓ | | STA/SGR/LCTOP – Pop. Based | \$74 | Transit Ops/Cap |
| ✓ | ✓ | | STIP | \$64 | Hwy Capital |
| | ✓ | ✓ | ATP, SR ₂ T, TDA ₃ | \$41 | Bike/Ped |
| ✓ | | ✓ | SB ₁ -LPP Formula | \$23 | Multiple |
| ✓ | ✓ | | FTA Formula | \$423 | Transit Capital |
| ✓ | ✓ | | TDA ₄ | \$350 | Transit Ops |
| ✓ | ✓ | | STA/SGR/LCTOP – Rev. Based | \$208 | Transit Ops/Cap |
| ✓ | ✓ | | AB ₁₁₀₇ | \$85 | Transit Ops |
| ✓ | | | SB ₁ Competitive | | Multiple |

Conditioning Approaches for Consideration

| | | |
|----------|--|------------------------------|
| 1 | Change OBAG₃ County-Share Formula to be Based Entirely on Housing Production | \$77 million/year |
| 2 | Expand OBAG-Style Conditioning to Other Fund Sources with MTC Discretion | \$105 million/year |
| 3 | Support Public Agencies Developing Housing | TBD |
| 4 | Update MTC's TOD Policy | TBD |
| 5 | Develop Policy Framework for “ Missing Middle ” | TBD |

1. OBAG 3 Update Considerations

Change county share **formula**



Require jurisdictions to meet **production thresholds** to be eligible for funding (% annual growth in housing units)

1% for weak markets | 4% for strong markets

Re-examine percentage of funds that need to be **spent in PDAs**



1. OBAG 3 Update Considerations, cont.

OBAG Distribution Alternatives

| | OBAG 2 Formula 50% Population 30% Permits 20% RHNA | | Option A: 100% Permits, Weighted * (1999-2017) | | Option B: 100% Permits, Not Weighted * (1999-2017) | |
|---------------|---|-------|---|-------|---|-------|
| County | % | \$ | % | \$ | % | \$ |
| Alameda | 20% | \$70 | 17% | \$58 | 19% | \$65 |
| Contra Costa | 15% | \$51 | 17% | \$59 | 15% | \$51 |
| Marin | 3% | \$9 | 2% | \$8 | 2% | \$6 |
| Napa | 2% | \$6 | 2% | \$7 | 2% | \$6 |
| San Francisco | 13% | \$47 | 14% | \$49 | 14% | \$48 |
| San Mateo | 8% | \$29 | 5% | \$18 | 6% | \$22 |
| Santa Clara | 28% | \$96 | 27% | \$95 | 30% | \$106 |
| Solano | 5% | \$18 | 6% | \$21 | 6% | \$21 |
| Sonoma | 7% | \$23 | 9% | \$32 | 7% | \$24 |
| Bay Area | 100% | \$348 | 100% | \$348 | 100% | \$348 |

Potential OBAG₃ Revisions:

100% Production
A: Weighted 60% for affordable
B: No weighting

Other Options Possible

*Replace permits with production data when available

Numbers rounded, may not add

2. Expand OBAG-Style Conditioning

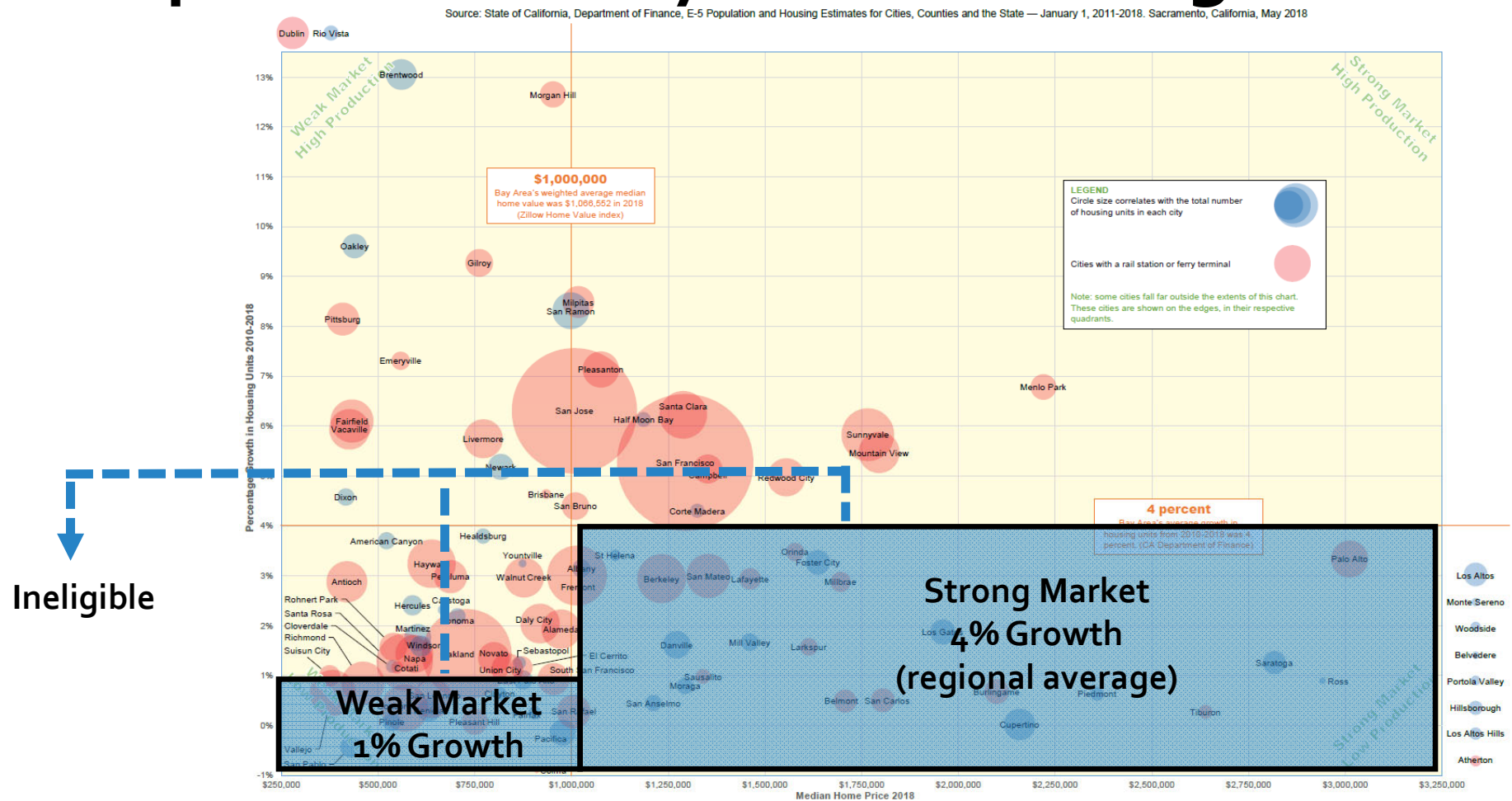
Require jurisdictions to meet **production thresholds for smaller fund sources** that MTC has discretion over

- ❖ Focus on programs that go to local jurisdictions (RTIP is problematic)
- ❖ Some programs are competitive or have state requirements

Fund sources smaller, but **in total are significant**

| Source | Amount Million/year |
|------------------------------|------------------------|
| RTIP | \$64 |
| ATP - Regional Share | \$19 |
| RM3 - Safe Routes to Transit | ~\$15 |
| TDA Article 3 | \$7 |
| Total | \$105 |

2. Expand OBAG-Style Conditioning



3. Support Public Agencies Building Housing

- ❖ Conditioning opportunities limited for transit
 - Operators have limited decision-making role in housing production
 - Penalizing transit operators for land-use decisions would stunt transit ridership in region
- ❖ However, some operators own land and are willing development partners



62% of suitable, developable public lands are owned by transit agencies, of which 95% belongs to BART and VTA

Suitable Public Lands Ownership, by Agency Type

| Agency Type | Acres | % of Total |
|----------------------------------|------------|-------------|
| Transit Agencies | 431 | 62% |
| Cities | 118 | 17% |
| Redevelopment/Successor Agencies | 51 | 7% |
| State of California | 42 | 6% |
| Counties | 19 | 3% |
| Other | 17 | 2% |
| Schools/Colleges/Univ. of CA | 9 | 1% |
| Public Utilities | 7 | 1% |
| Housing Authorities | 5 | 1% |
| TOTAL | 698 | 100% |

3. Support Public Agencies Building Housing, cont.

❖ **Infrastructure expenses** can be a barrier to building housing on public agency property:

- Replacement parking - BART estimates approximately \$50,000/space
- Station access and plaza improvements
- Relocation/reconfiguration of facilities, other structural expenses

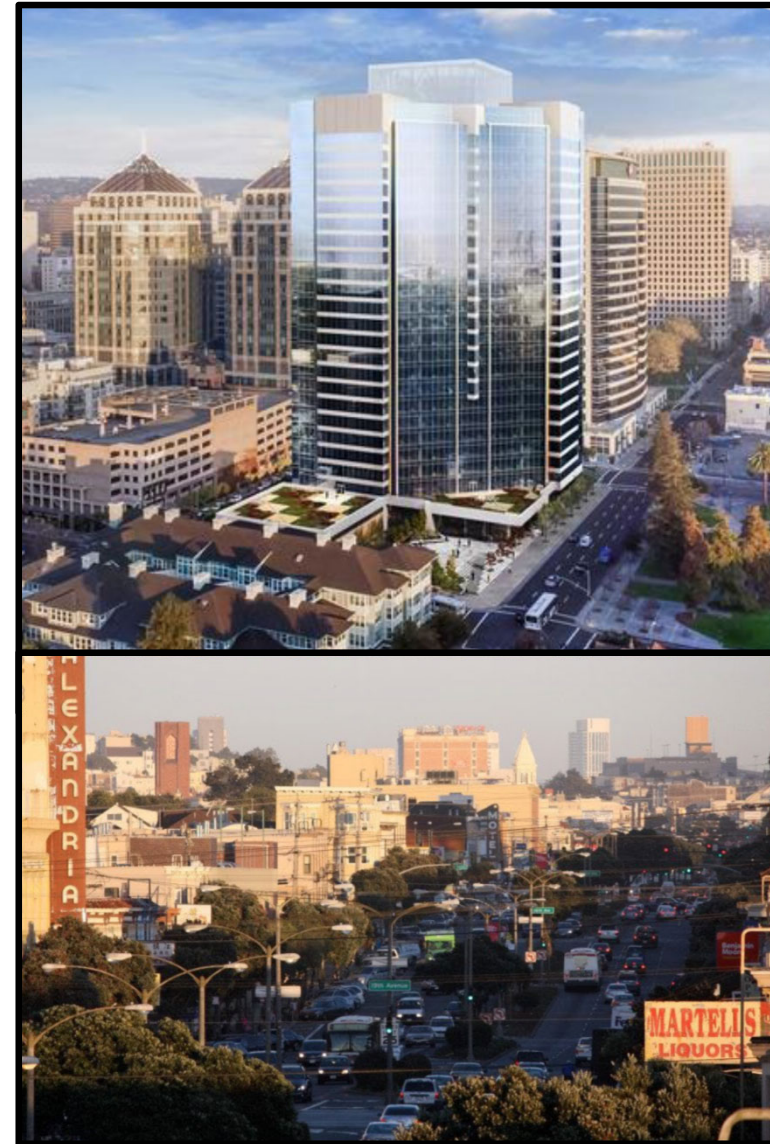
❖ **Future funding options** include:

1. Direct transportation grants from future program(s)
2. Regional Infrastructure Bank loans, repaid by parking/development revenues



4. Update MTC's TOD Policy

- ❖ Apply the “3P” Framework – Protection, Preservation, and Production
- ❖ Broaden Criteria:
 - Housing density
 - Affordable housing percentages
 - Extend to other transit investments, not only expansion
- ❖ Develop Hierarchy for Investment (i.e., not all PDAs/TPAs are equal)
- ❖ Incorporate Jobs/Housing Considerations



5. Develop Policy Framework for “Missing Middle”

Missing Middle (Moderate-Income Housing):

- ❖ 80 to 120 percent area median income (AMI) for RHNA; could expand to 150 percent AMI.
- ❖ No subsidies currently for “missing middle:” state/federal subsidies are for below 80 percent AMI.
- ❖ The market can’t build for this income range because land and construction costs are high. Most likely built as “inclusionary” with market-rate units, or in secondary housing markets like Solano.



Policy Framework could include:

- ❖ Realigning definitions of “Middle” and “Moderate” income housing
- ❖ Expanding funding *conditions* to include Middle-income housing outcomes
- ❖ Tailoring funding *opportunities* for Middle-income housing production

Summary of Approaches for Consideration

| | | |
|---|--|-----------------------|
| 1 | Change OBAG₃ County-Share Formula to be Based Entirely on Housing Production | \$77 million/year |
| 2 | Expand OBAG-Style Conditioning to Other Fund Sources with MTC Discretion | \$105 million/year |
| 3 | Support Public Agencies Developing Housing | TBD |
| 4 | Update MTC's TOD Policy | TBD |
| 5 | Develop Policy Framework for “ Missing Middle ” | TBD |

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Memorandum

9.1

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

DATE: November 26, 2018

TO: Members of the Alameda County Transportation Commission

FROM: Arthur Dao, Executive Director

SUBJECT: Approval of Deferred Action by the Full Commission on Annual Performance Review and Salary Parity Action for the Executive Director

Recommendation

The Commission moved at its October 25, 2018 meeting to take the formal action this month to approve a salary increase of 7.9%, for the Executive Director retroactive to September 1, 2018. This increase is in addition to a 4% salary increase set forth in his existing employment agreement.

This is a deferred action from the Commission's meeting on October 25, 2018, due to a clerical issue on the meeting agenda.

Summary

The Finance and Administration Committee started the annual performance review discussion at its closed session meeting on September 10, 2018, and concluded the review in a second closed session meeting on October 8, 2018. The Committee found that the Executive Director has met or exceeded the objectives that were set last year, chiefly in the areas of project delivery, programs implementation, express lanes operations, fiscal stewardship, partnership building and community engagement. In addition, the Executive Director continues to effectively lead, manage, coach and develop agency staff at all levels and functions to enhance their skillset and strengthen the organization's capacity and capability to produce, deliver, and adapt to the many imminent changes in transportation policies ahead.

The Committee also reviewed the goals and objectives set for FY 2018-19 and added one major capital project to the capital program to be worked on this year. The Committee also recommended that, in the future, annual performance review and salary adjustment consideration should be scheduled in alignment with the agency budget adoption process, which is in May or June of every year.

The Alameda CTC's employment agreement with the Executive Director calls for an annual performance evaluation by the Finance and Administration Committee, which will then be reported to the full Commission. The evaluation is based on previously agreed upon objectives. The Commission and the Executive Director agreed on objectives for FY 2017-

18 in September 2017. The employment agreement calls for the Executive Director to provide the Committee with a self-evaluation as a first step in the evaluation process. The Executive Director's self-evaluation has been incorporated into this staff report.

Over this past year, under the Commission's leadership and direction, I have led the agency in accomplishing many significant achievements meeting the Commission's overarching goals to plan, fund, and deliver projects and programs to improve mobility and access and relieve congestion throughout Alameda County. The many accomplishments and on-going services are detailed in the subsequent sections of this memorandum.

Due to the volume and intensity of the workload this past year, and the fact that in addition to being the Executive Director, I continue to effectively wear two other significant and demanding hats at the Agency (Managing Director for Express Lanes Management and Acting Deputy Executive Director of Project and Programming), I have not been able to take any significant time off to reduce my vacation and management leave balances. Consequently, these earned leave balances went unused and were essentially returned back to agency, totaling 62.34 hours.

Regarding compensation, my current employment agreement specifies a salary adjustment of 4% effective this month (September 1, 2018). Attached are two most recent salary surveys of other comparable transportation agencies, one showing salary and one showing total benefits. These surveys shows that my base salary will be 7.9% below the median of comparable agencies. Based on the accomplishments of the agency while I have been the Executive Director and the interests of fairness and parity I request that the Commission approve a one-time additional salary adjustment of 7.9% (\$23,549.03) to bring my total salary closer to parity to similar positions at other comparable transportation agencies. That salary would equal \$321,638.

Discussion and Self Evaluation

Over the past 12 months, the agency, under the Commission's leadership and direction, has accomplished many significant achievements to meet the Commission's overarching goals which are to plan, fund, and deliver projects and programs to improve mobility and access and relieve congestion throughout Alameda County. The many accomplishments and on-going services are detailed in subsequent sections of this memorandum. However, some of the major accomplishments are highlighted as follows:

1. **Project delivery, Project management and oversight of high-value and complex capital program comprised of over 60 capital projects** – One of the most critical and unique strengths of the agency is its strong capability and capacity to deliver major capital infrastructure projects. This capability is seldom found at other agencies with similar functions. The agency has been actively delivering and managing some of the largest and most complex capital projects in the Bay Area, including many significant highway

projects along major freeway corridors in Alameda County. The agency has also been providing project management oversight on large sales tax funded projects to ensure cost control and scheduled milestones are met and in compliance with Commission-adopted funding policies. The agency's leadership, hard work, diligence, unique and deep experience and tremendous skills in engineering and project management of major public works projects have yielded significant milestones for the following noteworthy projects:

- **Port of Oakland Roadway and Rail Infrastructure Improvement Project** – The CEQA clearance for all three major components (Seventh Street Grade Separation West and East, and Port Intelligent Transportation System technology deployment) have been achieved this past year. The project has also been awarded a grant amount of \$184 million in State SB1 funds and \$10 million in federal grant funds this past year. The preparation of the plans, specifications, and estimate for the project has been started and construction is anticipated in less than 2 years. In addition, significant progress has been made in partnering with the Union Pacific Railroad, which will be instrumental for the delivery of this megaregional important project.
- **I-680 Northbound Express Lane and Southbound Conversion** – This regionally significant and major congestion relief project is under construction this year. The large and complex project (\$240 million, 14-mile of freeway mainline improvements), was delivered in record time by an agency this small. This project will provide necessary relief in the sixth most congested freeway corridor in the Bay Area.
- **Route 84 Widening and I-680/Route 84 Interchange Modifications** – This major project (\$235 million) achieved environmental clearance and is being fast-tracked through final design to early construction. Fortunately, the passage of the Regional Measure 3 will provide full funding for the project, guaranteeing its delivery.
- **I-680 Express Lanes between Route 84 and Acosta Boulevard** – The critical Project Study Report for this regionally significant project (10 miles of new express lanes gap closure) received approval from the State Department of Transportation this year to allow for the environmental process to start. Completion of the environmental process will make this major project a highly qualified project to receive state funds in the future.
- **I-80/Gilman Avenue Interchange** – Community support for the project was obtained, as was the environmental clearance, and preparation of the final design and plans, specifications, and estimate for the project to allow it to progress toward construction. The project was also a recipient of a major Active Transportation Program (ATP) grant from the State.
- **East Bay Greenway** – The project achieved environmental clearance this year, and preparation of the final design and the plans, specifications, and estimate have been initiated.

2. **Initiated Several Major Projects to create a Project Pipeline for Future Senate Bill 1 Funding Including:**
 - San Pablo Avenue Multimodal Corridor
 - East 14th Street/Mission Boulevard Multimodal Corridor;
 - I-880/Whipple Avenue and Industrial Parkway Interchanges Modernization;
 - I-880/Winton Avenue and "A" Street Interchanges Modernization;
 - I-80/Ashby Avenue Interchange Modernization;
 - Route 262 (Mission Boulevard)
3. **Operation and management of the I-580 and I-680 Express Lane Corridors** – The same staff who serves the Alameda CTC also serves the I-680 Sunol Smart Carpool Lane Joint Powers Authority (SSCLJPA), which is an independent joint powers authority created pursuant to Government Code to implement and operate the express lanes on I-680 in Alameda County and a portion of Santa Clara County. As such, in addition to responsibilities for the Alameda CTC, I also function as the Executive Director serving the SSCLJPA Board. In this capacity, I plan, direct and oversee the administration, implementation, and operations of the I-680 Express Lane. In addition to operating the express lane on I-680, the agency is also operating the express lanes on I-580. We are one of a few agencies in California that also performs express lanes operations as part of our core functions. Furthermore, this agency continues to be the trailblazer, leading the rest of the Bay Area in the development, implementation, and operations of express lanes. Over the last 12 months, we have continued to improve all facets of operations, increased "ridership" or usage, reduced operating costs, and improved overall efficiency, operationally and financially.
4. **Legislation and Transportation Funding Advocacy** – Working with our partners (Self Help Counties Coalition, California Councils of Government, California Alliance for Jobs, Transportation California, etc.) we have successfully advocated for the passage of Senate Bill 1 which will bring significant transportation investments across the State and locally in Alameda County for transit, road repairs, congestion relief, and goods movements.
5. **Comprehensive Investment Plan (CIP) and Disbursement of Measure BB Funding** -- Within weeks of voter approval of Measure BB, much in advance of actual revenue collection, on an accelerated basis, and in a careful and thoughtful fashion, agency staff developed the initial CIP with a 2-year funding allocation plan for approval by the Commission. This process allowed for new Measure BB revenue to immediately flow to the cities, the County, transit operators, and others once received, bringing immediate benefits to Alameda County residents and users of our transportation systems.
6. **Transparent Financial Reporting** – The agency produced another award-winning Comprehensive Annual Financial Report and received another clean audit from the independent auditor for the fiscal year ended June 30, 2017. In addition, after carefully

examining the agency's financial records, documents, and information, the Independent Watchdog Committee issued another "clean" annual report to the public.

Aside from the major accomplishments indicated above, Alameda CTC is continuing to evolve internally and externally to become one of the highest performing transportation agencies in the region. A transportation agency that will, hopefully, set the highest standards for planning, funding, and delivering projects and programs, in the most inclusive and transparent fashion.

In addition, the agency also performs many major activities to provide valuable services to the Commission and Alameda County which meet many of the goals and objectives designated for FY 2016-17, including:

On-going Services

- Provide support and coordination and prepare reports for Alameda CTC Commission meetings.
- Provide support and coordination and prepare reports for the meetings of six Alameda CTC Standing Committees.
- Provide support and coordination and prepare reports for the Sunol Smart Carpool Lane Joint Powers Authority meetings.
- Provide support and coordination, conduct analyses and prepare reports for the three Citizens Committee meetings and their various and many sub-committee meetings.
- Provide support and coordination for the Alameda County Technical Advisory Committee (ACTAC) meetings.
- Conduct analyses and provide information as requested by individual Commissioners, ACTAC members, and various individual Citizens Committee members.
- Develop various technical and monitoring reports required by the Congestion Management Program (CMP) and its legislation.
- Manage and maintain CMP data collection.
- Coordinate and facilitate planning activities among regional and local partnering agencies, including MTC, ABAG, Bay Area CMAs, cities of Alameda County, Alameda County and transit operators.
- Perform programming, monitoring, and reporting activities for 14 types of funding sources with varying guidelines and requirements.
- Program and allocate funds to the County, cities of Alameda County, and transit operators from the TFCA, VRF, Lifeline Transportation, STIP, and Sales Tax Programs.
- Monitor and report on the delivery of projects funded with federal, state, regional, and sales tax fund sources.
- Manage and implement more than 10 grant-funded programs.
- Perform direct management of specific capital projects.
- Provide project delivery assistance to cities on an as-needed basis.
- Conduct and participate in various business and community outreach activities.

- Advocate for policies and legislation in support of transportation and funding for transportation in Alameda County.
- Provide certification for local and small local businesses for contracting purposes and report annually on the agency's utilization and contract awards.
- Prepare quarterly investment reports and financial reports for Commission review and approval.
- Prepare the annual operating and capital budgets for Commission approval, as well as mid-year budget updates.

The attached status report provides more specifics on the status of individual objectives.

Fiscal Impact: Any salary adjustment approved by the Commission will be reflected in the FY 2018-19 agency budget and made effective September 1, 2018.

Attachments:

- A. Status of the Executive Director's Objectives for Past Fiscal Year (FY 2017-18)
- B. Next Fiscal Year (FY 2018-19) Objectives
- C. Base Salary Comparison
- D. Total Compensation Comparison

ATTACHMENT A

Alameda County Transportation Commission

Status of the Executive Director's Objectives for Past Fiscal Year (FY 2017-18)

September 2018

OBJECTIVES**STATUS****Capital Project Delivery**

- | | |
|--|----------------------------|
| 1. Initiate project development work for capital projects included in the adopted 2018 Comprehensive Investment Plan (CIP). | Completed |
| 2. Actively engage in the management of major and complex transportation projects to ensure substantial progress and risk reduction. These projects include: | Completed or Objective Met |
| <ul style="list-style-type: none"> a. I-680 Northbound Express Lane and Southbound Conversion Project b. Port of Oakland's Seventh Street Grade Separation and Port Roadway Improvements Project c. Route 84 Widening and I-680/Route 84 Interchange Modification Project d. I-80/Gilman Interchange Safety Improvement Project e. I-880 Alameda-Oakland Local Freeway Access Improvements Project f. East Bay Greenway Project g. East West Connector Project h. Route 84 Expressway Project in Livermore i. The I-880/23rd-29th Streets Interchange Reconstruction Project j. BART Livermore/BART-ACE Extension Project k. San Pablo Avenue Multimodal Corridor Improvement Project l. East 14th Street/Mission Boulevard Multimodal Corridor Improvement Project m. Other capital projects recently initiated | |
| 3. Oversee the delivery and implementation of Measure B and Measure BB sales tax-funded programs and other externally funded programs. | Objective Met |

Partnership and Advocacy

- | | |
|---|---------------|
| 4. Actively strengthen partnership with cities, the County, and transit operators to provide mutual assistance in the areas of project delivery, funding advocacy, and planning. | Objective Met |
| 5. Actively engage in the development of regional and county-wide policies on sustainable transportation and land use strategies. Develop and strengthen working relationship with major transit operators to improve mass transit efficiencies and effectiveness, improve coordination in transit planning, and gain a stronger standing at the regional and state levels. | Objective Met |
| 6. Develop and implement a legislative program and outreach strategy to guide Alameda CTC's advocacy in the nation's and state's capitols. | Objective Met |
| 7. Advocate for new/enhanced transportation funding in regional, statewide, and national forums. Focus will be on working with the Commission, legislators, | Objective Met |

regional and local partners in the development of a potentially new Regional Measure Program (e.g., RM-3) that would be beneficial and acceptable to the Commission and to the County as a whole.

- | | |
|--|---------------|
| 8. Participate in and take an active role in statewide and regional forums and discussions that may have a potential impact on the functions of the Alameda CTC. | Objective Met |
|--|---------------|

Planning and Programs Implementation

- | | |
|---|--|
| 9. Complete the development of a new transportation technology program for countywide coordination, advocacy, and implementation. | Objective not met due to shift in priority |
| 10. Complete the Region Freight and Passenger Intercity Rail Study. | Objective Met |
| 11. Aggressively implement the second year of the Affordable Student Transit Pass Pilot Program and begin data collection and analysis. | Objective Met |
| 12. Continue to expand Safe Routes to Schools Program and improve program delivery efficiencies. | Objective Met |
| 13. Seek innovations and efficiency in the delivery of the Paratransit Program. | Work in progress |
| 14. Initiate the Countywide Bicycle and Pedestrian Plan Update. | Objective Met |

Finance and Fiscal Management

- | | |
|--|---------------|
| 15. Develop a sustainable and balanced FY 2018-19 operating and capital budget for Commission adoption. | Objective Met |
| 16. Produce a Comprehensive Annual Financial Report for FY 2017-18 and submit to the Government Finance Officers Association for award consideration. | Objective Met |
| 17. Obtain an unqualified opinion from an independent financial auditor for FY 2017-18. | Objective Met |
| 18. Aggressively implement the organizational structure to ensure that all critical positions are filled with the best talent who are well-equipped to serve the agency. | Objective Met |
| 19. Lead, manage, organize, and control all on-going activities and services described in the Memorandum and the agency work program. | Objective Met |

ATTACHMENT B**Alameda County Transportation Commission****Executive Director's Objectives for Next Fiscal Year 2018-19**
September 2018**OBJECTIVES****Capital Project Delivery – Fast, Effective, Within Budget**

1. Actively engage in the management of major and complex transportation projects to ensure substantial progress and risk reduction. These projects include:
 - a. BART Livermore Valley Extension and Regional Commuter Rail Connection Project ("Valley Link" Project)
 - b. I-680 Northbound Express Lane and Southbound Conversion Project in Fremont
 - c. I-680 Express Lanes Gap Closure Project from Route 84 to Contra Costa County Line
 - d. Port of Oakland's Seventh Street Grade Separation and Port Roadway Improvements Project
 - e. Route 84 Widening and I-680/Route 84 Interchange Modification Project in Pleasanton
 - f. I-80/Gilman Interchange Safety Improvement Project in Berkeley and Albany
 - g. I-880 Alameda-Oakland Local Freeway Access Improvements Project in Oakland and Alameda
 - h. East Bay Greenway Project
 - i. I-880/Interchanges Modernization in Hayward
 - j. Route 84 Expressway Project in Livermore
 - k. I-880/23rd-29th Streets Interchange Reconstruction Project in Oakland
 - l. Route 262 (Mission Boulevard) in Fremont
 - m. San Pablo Avenue Multimodal Corridor Improvement Project In Oakland, Emeryville, Albany, and Berkeley
 - n. East 14th Street/Mission Boulevard Multimodal Corridor Improvement Project in Oakland, San Leandro, Hayward, Union City, and Fremont
 - o. Other capital projects recently initiated
2. Oversee the delivery and implementation of Measure B and Measure BB sales tax-funded programs and other externally funded programs in the Adopted Comprehensive Investment Plans

Partnership and Advocacy – Collaboration for better decisions and productivity

3. Actively strengthen partnerships with cities, the County, and transit operators to provide mutual assistance and technical assistance in the areas of project delivery, funding advocacy, and planning.
4. Actively engage in the development of regional and county-wide policies on sustainable transportation and land use strategies. Develop and strengthen working relationship with major transit operators to improve mass transit efficiencies and effectiveness, improve coordination in transit planning, and gain a stronger standing at the regional and state levels.
5. Develop and implement a legislative program and outreach strategy to guide Alameda CTC's advocacy in the nation's and state's capitols.
6. Advocate for new/enhanced transportation funding in regional, statewide, and national forums. Focus on working with the Commission, legislators, regional and local partners in the development of

a potentially new Regional Measure Program (e.g., RM-3) that will be beneficial and acceptable to the Commission and to the County as a whole.

7. Participate in and take an active role in statewide and regional forums and discussions that may have a potential impact on the functions of the Alameda CTC.

Organizational Excellence

8. Continue to develop and invest in all agency staff to increase and improve the quality and quantity of agency work product, services, and decisions.
9. Continue to develop and strengthen a working environment where staff are empowered, engaged, collaborative, and passionate about the work of the Commission.
10. Strive to keep existing quality staff members, reduce staff turnover, and continue to fill approved positions in a very competitive employment market

Programs Implementation and Planning

11. Aggressively implement the third year of the Affordable Student Transit Pass Pilot Program and begin data collection and analysis.
12. Continue to expand Safe Routes to Schools Program and improve program delivery efficiencies.
13. Seek innovation and efficiencies in the delivery of the Paratransit Program.
14. Complete the Countywide Railroad Grade Crossing Improvement Program for approval by the Commission
15. Complete an Update to the Countywide Bicycle and Pedestrian Plan
16. Initiate the 2020 Countywide Transportation Plan and coordinate with the 2050 RTP
17. Monitor and actively engage with MTC/ABAG and other regional agencies in the development of the Regional Transportation Plan

Fiscal Management and Stewardship

18. Develop a sustainable and balanced FY 2019-20 operating and capital budget for Commission adoption.
19. Produce a Comprehensive Annual Financial Report for FY 2017-18 and submit to the Government Finance Officers Association for award consideration.
20. Obtain an unqualified opinion from an independent financial auditor for FY 2017-18.
21. Aggressively implement the organizational structure to ensure that all critical positions are filled with the best talent who are well-equipped to serve the agency.
22. Lead, manage, organize, and control all on-going activities and services describes in the Memorandum and the agency work program.

ATTACHMENT C

Alameda County Transportation Commission
Base Salary Comparison
December 2018

| EXECUTIVE DIRECTOR | | | | | | | |
|---|--|---|--------------------|-------------------|-----------------|----------------------|--------------------------|
| Rank | Comparator Agency | Class Title | Top Monthly Salary | Top Annual Salary | Effective Date | Next Salary Increase | Next Percentage Increase |
| 1 | Contra Costa Transportation Authority | Executive Director | \$31,189 | \$374,269 | 07/01/18 | Unknown | Unknown |
| 2 | Metropolitan Transportation Commission ^a | Executive Director | \$30,676 | \$368,109 | 07/01/18 | Unknown | Unknown |
| 3 | Riverside County Transportation Commission | Executive Director | \$27,044 | \$324,528 | 07/05/18 | Unknown | Unknown |
| 4 | Los Angeles County Metropolitan Transportation Authority | Chief Planning Officer | \$26,834 | \$322,005 | 07/01/16 | Unknown | Unknown |
| 5 | Alameda County Transportation Commission | Executive Director | \$24,867 | \$298,404 | 07/01/18 | | |
| 6 | Santa Clara Valley Transportation Authority ^b | Director of Planning & Programming | \$24,365 | \$292,384 | 08/01/18 | Unknown | Unknown |
| 7 | San Mateo County Transportation Authority | Chief Officer, Planning, Grants, & Transportation Authority | \$22,805 | \$273,655 | 03/04/18 | Unknown | Unknown |
| 8 | San Francisco County Transportation Authority | Executive Director | \$21,985 | \$263,820 | 11/17/15 | Unknown | Unknown |
| Average of Comparators | | | \$26,414 | \$316,967 | | | |
| % Alameda County Transportation Commission Above/Below | | | -6.2% | -6.2% | | | |
| Median of Comparators | | | \$26,834 | \$322,005 | | | |
| % Alameda County Transportation Commission Above/Below | | | -7.9% | -7.9% | | | |
| Number of Matches | | | 7 | | | | |
| NOTE: All calculations exclude Alameda County Transportation Commission | | | | | | | |

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ATTCHMENT D

Alameda County Transportation Commission

Total Compensation Comparison

December 2018

| EXECUTIVE DIRECTOR | | | | | | | |
|---|--|---|--------------------|-------------------|----------------|----------------------|--------------------------|
| Rank | Comparator Agency | Class Title | Total Monthly Comp | Total Annual Comp | Effective Date | Next Salary Increase | Next Percentage Increase |
| 1 | Contra Costa Transportation Authority | Executive Director | \$41,039 | \$492,463 | 07/01/18 | Unknown | Unknown |
| 2 | San Mateo County Transportation Authority | [Chief Officer, Planning, Grants, & Transportation Authority / General Manager/Chief Executive Officer] | \$36,736 | \$440,832 | 03/04/18 | Unknown | Unknown |
| 3 | Santa Clara Valley Transportation Authority | [Director of Planning & Programming / General Manager] | \$36,131 | \$433,572 | 08/01/18 | Unknown | Unknown |
| 4 | Los Angeles County Metropolitan Transportation Authority | Chief Planning Officer | \$35,625 | \$427,504 | 07/01/16 | Unknown | Unknown |
| 5 | Riverside County Transportation Commission | Executive Director | \$35,387 | \$424,645 | 07/05/18 | Unknown | Unknown |
| 6 | Alameda County Transportation Commission | Executive Director | \$35,383 | \$424,594 | 07/01/18 | | |
| 7 | Metropolitan Transportation Commission | Deputy Executive Director | \$30,826 | \$369,913 | 07/01/18 | Unknown | Unknown |
| 8 | San Francisco County Transportation Authority | Executive Director | \$29,525 | \$354,303 | 11/17/15 | Unknown | Unknown |
| | | | | | | | |
| | | | | | | | |
| Average of Comparators | | | \$35,038 | \$420,462 | | | |
| % Alameda County Transportation Commission Above/Below | | | 1.0% | 1.0% | | | |
| Median of Comparators | | | \$35,625 | \$427,504 | | | |
| % Alameda County Transportation Commission Above/Below | | | -0.7% | -0.7% | | | |
| Number of Matches | | | 7 | | | | |
| NOTE: All calculations exclude Alameda County Transportation Commission | | | | | | | |

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