



Meeting Notice

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

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

Commission Vice Chair
Mayor Bill Harrison,
City of Fremont

AC Transit
Director Elsa Ortiz

Alameda County
Supervisor Scott Haggerty, District 1
Supervisor Richard Valle, District 2
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
Supervisor Keith Carson, District 5

BART
Director Rebecca Saltzman

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Mayor Trish Spencer

City of Albany
Mayor Peter Maass

City of Berkeley
Councilmember Laurie Capitelli

City of Dublin
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City of Emeryville
Councilmember Ruth Atkin

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
Acting Mayor Jeff Wieler

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

Alameda County Transportation Commission

Thursday, December 1, 2016, 2:00 p.m.

1111 Broadway, Suite 800 Oakland, CA 94607

Mission Statement

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

Public Comments

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

Recording of Public Meetings

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


Reminder

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

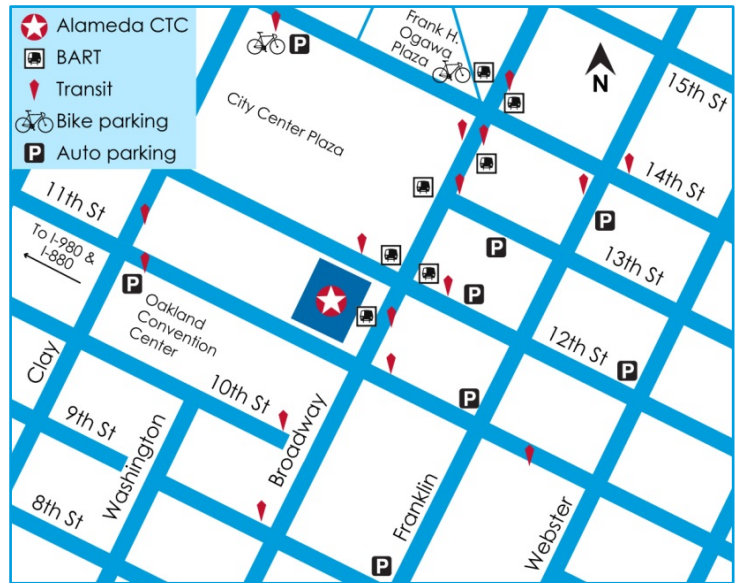
Glossary of Acronyms

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

Location Map

 Alameda CTC
1111 Broadway, Suite 800
Oakland, CA 94607

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



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

Accessibility

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



Meeting Schedule

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

Paperless Policy

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

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Commission Meeting Agenda

Thursday, December 1, 2016, 2 p.m.

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

1. Pledge of Allegiance

2. Roll Call

3. Public Comment

4. Chair and Vice Chair Report

- 4.1. Alameda CTC Recognition of Departing Commissioners

5. Executive Director Report

6. Approval of Consent Calendar

On November 14, 2016 Alameda CTC standing committees approved all action items on the consent calendar, except Item 6.1.

6.1.	Approve the October 27, 2016 Commission Meeting Minutes.	1	A
6.2.	Approve the tentative Alameda CTC meeting schedule for the 2017 calendar year.	5	A
6.3.	Receive a status update on the operation of I-580 Express Lanes.	9	I
6.4.	Receive the FY2016-17 First Quarter Report of Claims Acted Upon Under the Government Claims Act.	19	I
6.5.	Approve Alameda CTC's Conflict of Interest Code.	23	A
6.6.	Approve the Alameda CTC draft audited Comprehensive Annual Financial Report for the year ended June 30, 2016.	43	A
6.7.	Approve the Alameda CTC FY2016-17 First Quarter Investment Report.	47	A
6.8.	Approve the Alameda CTC FY2016-17 First Quarter Financial Report.	61	A
6.9.	Approve the Alameda CTC Staff and Retiree Benefits for Calendar Year 2017 and adopt Resolution No. 16-009 Calendar Year 2017 Benefits for Staff Members.	79	A
6.10.	Approve the Annual Local Business Contract Equity Program Utilization Report for payments processed between July 1, 2015 and June 30, 2016.	89	A

Chair: Councilmember Rebecca Kaplan,
City of Oakland

Vice Chair: Mayor Bill Harrison,
City of Fremont

Executive Director: Arthur L. Dao

Clerk: Vanessa Lee

Page A/I*

*(A = Action Item; I = Information Item)

- | | | | |
|-------|--|-----|---|
| 6.11. | Receive an update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments. | 101 | I |
| 6.12. | Approve Administrative Amendment to Project Agreement (A14-0027). | 103 | A |
| 6.13. | Approve Alameda CTC Resolution 16-010 authorizing the programming of (1) \$7.063 million Federal One Bay Area Grant funds for the Alameda Countywide Safe Routes to School Program, and (2) up to \$920,000 in Measure B Bicycle and Pedestrian Countywide Discretionary Funds to be used as local matching funds. | 107 | A |
| 6.14. | Approve and authorize the Executive Director to execute Amendment No. 6 to the Professional Services Agreement No. A08-017.WMH with WMH Corporation for an additional amount of \$200,000 for a total not-to-exceed amount of \$7,257,319 and an 18-month time extension to provide design services to implement replacement planting. | 115 | A |
| 6.15. | Approve and authorize the Executive Director to execute Amendment No. 3 to Professional Services Agreement No. A11-0033 with CDM Smith, Inc. for an additional amount of \$30,000 for a total not-to-exceed amount of \$1,763,914 to provide System Manager Services through the project completion. | 119 | A |
| 6.16. | Approve Administrative Amendments to Various Project Agreements (A07-011.BKF.PH2, A08-017.TYLIN, A10-013, A14-0049, A99-0003, A09-006, AA07-0001, A10-0027) in support of the Alameda CTC's Capital Projects and Program delivery commitments. | 123 | A |
| 6.17. | Approve the Community Advisory Committee Appointments. | 129 | A |

7. Community Advisory Committee Reports

(Time limit: 3 minutes per speaker)

- | | | | |
|------|--|-----|---|
| 7.1. | Bicycle and Pedestrian Advisory Committee (Verbal update) – Matthew Turner, Chair | | I |
| 7.2. | Independent Watchdog Committee – Murphy McCalley, Chair | 133 | I |
| 7.3. | Paratransit Advisory and Planning Committee (Verbal update) – Sylvia Stadmire, Chair | | I |

8. Planning, Policy and Legislation Committee Action Items

On November 14, 2016, the Planning, Policy and Legislation Committee approved the following action items, unless otherwise noted in the recommendations.

- | | | | |
|------|---|-----|---|
| 8.1. | Receive an update on state, regional, local, and federal legislative activities and approve the 2017 Legislative Program. | 145 | A |
|------|---|-----|---|

8.2. Alameda CTC Commission Retreat Outcomes (Verbal)

I

9. Member Reports

10. Adjournment

Meeting Schedule:

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

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

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1. Pledge of Allegiance

2. Roll Call

A roll call was conducted. All members were present with the exception of Commissioner Kalb, Commissioner Valle, Commissioner Miley, and Commissioner Capitelli.

Commissioner Campbell-Washington was present as an alternate for Commissioner Chan, Commissioner Worthington was present as an alternate for Commissioner Carson and Commissioner Piexoto was present as an alternate for Commissioner Halliday.

Subsequent to the roll call

Commissioner Kalb and Commissioner Valle arrived during Item 3. Commissioner Miley arrived during item 9.1.

3. Public Comment

There was one public comment by Sarah Jones, a resident of Oakland, regarding the need for a soundwall in the neighborhood of Broadmoor Terrace in Oakland.

4. Chair and Vice Chair Report

Chair Kaplan stated that earlier in the day she attended the Bay Area Air Quality Management District meeting of the mobile source committee. She also stated that the City of Oakland recently hired an interim Director of Transportation who will coordinate with the agency.

5. Executive Director Report

Art stated that the Executive Directors Report can be found on the website as well as in the Commissioner's folder.

6. Consent Calendar

- 6.1. Approve the September 22, 2016 Commission Meeting Minutes.
- 6.2. Receive a status update on the operation of I-580 HOV/Express Lane.
- 6.3. Receive an update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.
- 6.4. Authorize release of a Request for Proposal (RFP) for bicycle/pedestrian counting equipment purchase, and authorize the Executive Director, or a designee of the Executive Director, to negotiate and execute a purchase agreement for bicycle/pedestrian counting equipment.

- 6.5. Approve and authorize the Executive Director to execute Amendment No. 3 to Professional Services Agreement No. A13-0001 with Alta Planning + Design, Inc. for an additional \$1,480,000 for a total not-to exceed amount of \$6,680,000 for project implementation of the Safe Routes to School Program.
- 6.6. Approve the Transportation Fund for Clean Air (TFCA) FY 2016-17 Program.
- 6.7. Adopt Alameda CTC Resolution 16-008 which authorizes the Executive Director to accept the completed construction contract pending submittal of closeout documents with Steiny and Company, Inc. for the I-80 ICM Project #6 – San Pablo Corridor Arterial and Transit Improvement Project
- 6.8. Approve the Community Advisory Committee Appointments.

Commissioner Worthington move to approve the Consent Calendar. Commissioner Dutra-Vernaci seconded the motion. The motion passed with the following vote:

Yes: Kaplan, Harrison, Ortiz, Haggerty, Valle, Campbell-Washington, Miley, Worthington, Saltzman, Spencer, Maass, Haubert, Atkin, Piexoto, Marchand, Freitas, Kalb, Wieler, Thorne, Cutter, Dutra-Vernaci

No: None

Abstain: None

Absent: Capitelli

7. Community Advisory Committee Reports

7.1. Bicycle and Pedestrian Advisory Committee (BPAC)

There was no one present from BPAC.

7.2. Independent Watchdog Committee (IWC)

There was no one present from the IWC.

7.3. Paratransit Advisory and Planning Committee (PAPCO)

There was no one present from PAPCO.

8. Planning, Policy and Legislation

8.1. Receive an update on state, local and federal legislative activities.

Tess Lengyel provided an update on state and federal legislative activities. She updated the Commission on the outcome of bills that the Commission took positions on, specifically AB 1919, which is an Alameda CTC-sponsored bill and was signed by the Governor. Tess also noted that the Governor signed AB 2289, SB 998, SB 1051 and SB 1128, which are all bills that the Commission took support positions on. She stated that AB 2222 and AB 1572 were two pieces of legislation relating to student transit pass funding, that the Commission took support positions on, but neither of the bills made it

through the legislature. Tess noted that the Governor vetoed AB 2170, which is related to the FastACT goods movement funding allocation process at the state. Tess informed the committee that the Alameda CTC Goods Movement Committee would likely meet in January 2017 to receive updates on and address many freight activities that will be occurring in the state in 2017. Tess provided information on other policy related matters surrounding cap and trade funding authorizations, specifically the Strategic Growth Councils rulings for funding allocations for the Transformative Climate Communities program. She provided information on the Cal Enviro Screen 3.0 and stated that under direction of the Commission, a letter was submitted regarding the listing and copies were included in the Commissioners folders. Tess concluded by stating that the State may convene a transportation extraordinary session in December and she stated that the Commission would receive more information on state and federal legislation at the November 18, 2016 Commission Retreat.

Chair Kaplan recommended that all jurisdictions send letters regarding the Cal Enviro Screen Listing.

Chair Kaplan asked for more information on the scheduling of the transportation extraordinary session. Tess stated that there is not a date scheduled but staff will continue to monitor and update the Commission once the session is scheduled.

This item was for information only.

9. Programs and Projects Committee Action Items

9.1. Receive an update on the Alameda CTC's Measure B, Measure BB and Vehicle Registration Fee Programs.

John Nguyen presented the Commission with an update on status of the Measure B, Measure BB, and Vehicle Registration Fee (VRF) Programs. He stated that over 50% of net revenues are returned to source as "Direct Local Distributions" (DLDs) and provided information on Measure B/BB/VRF Historical DLD Distributions. John also stated that in FY 14/15, DLD recipients received \$90M in DLD funds, and expended a total of \$79M and he reviewed the fund balances. John concluded by reviewing the Timely Use of Funds Policies and next steps including the programming of all local discretionary funding as part of Alameda CTC's Comprehensive Investment Plan.

This item was for information only.

9.2. Receive an update on the Alameda CTC's Capital Program.

Trinity Nguyen presented the committee with an overview and update on the Alameda CTC Capital Program including highlights of the projects implemented by the 1986 Measure B and 2000 Measure B, the funds leveraged by the capital program, including details on the funds from the Prop 1B Highway Program, and the Measure BB capital funding categories. Trinity identified the significant project milestones completed since January 2016 and the milestones remaining for the year. At the program level, in addition to reviewing projects that utilize innovation and technology, Trinity concluded by providing an overview of the risk

management strategies and how these strategies are applied to a variety of projects.

This item was for information only.

10. Closed Session

10.1. The Commission went to Closed Session pursuant to Government Code Section 54957: Public Employee Performance Evaluation: Executive Director.

10.2. Report on Closed Session

Zack Wasserman reported that no action was taken in closed session.

10.3. Action on Annual Performance Review of Executive Director

Commissioner Valle moved to approve item 10.3. Commissioner Spencer seconded the motion. The motion passed with the following vote:

Yes: Kaplan, Harrison, Ortiz, Haggerty, Valle, Campbell-Washington, Miley, Worthington, Saltzman, Spencer, Maass, Haubert, Atkin, Piexoto, Marchand, Freitas, Kalb, Wieler, Thorne, Cutter, Dutra-Vernaci

No: None

Abstain: None

Absent: Capitelli

11. Member Reports

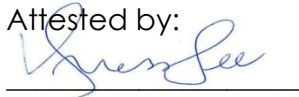
There were no Commission member reports.

12. Adjournment

The next meeting is: December 1, 2016 @ 2:00 p.m

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

Attested by:





Memorandum

6.2

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

DATE: November 23, 2016

SUBJECT: Alameda CTC 2017 Meeting Schedule

RECOMMENDATION: Approve the Alameda CTC meeting schedule for the 2017 calendar year.

Summary

Per the Alameda County Transportation Commission (Alameda CTC) administrative code, the Alameda CTC annually adopts its schedule of regular meetings. The schedule outlines the meetings in a calendar format for the full Commission in addition to standing committee meetings including: I-680 Joint Powers Authority (I-680 JPA); I-580 Express Lane Policy Committee (I-580 PC); Finance and Administration Committee (FAC); Planning, Policy and Legislation Committee (PPLC); Programs and Projects Committee (PPC); Goods Movement Planning Committee (GMPC); and Transit Planning Committee (TPC). Ad-hoc and steering committee meeting schedules are developed at the discretion of the Commission and are noticed in accordance with any applicable California Government Codes.

Background

Pursuant to the Alameda CTC Administrative Code, the Commission shall adopt the schedule of regular meetings of the Commission and the Standing Committees for the upcoming year. The Commission and each Standing Committee may change the date for a regular meeting of such body to another business day if the regular date is a holiday or as otherwise determined by the Commission or such Standing Committee.

Fiscal Impact: There is no fiscal impact.

Attachment

- A. Alameda CTC 2017 Meeting Schedule

Staff Contact

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

[Vanessa Lee](#), Clerk of the Commission

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Alameda County Transportation Commission 2017 Meeting Schedule*

Meetings	Meeting Start Times	Meeting Dates
I-680 Sunol Smart Carpool Lane JPA (I-680 JPA) I-580 Policy Committee (I-580 PC) Finance and Administration Committee (FAC) Planning, Policy & Legislation Committee (PPLC) Programs and Projects Committee (PPC)	9:30 a.m. 10:00 a.m. 10:30 a.m. 11:15 a.m. 12:15 p.m.	January 9, 2017 February 13, 2017 March 13, 2017 April 10, 2017 May 8, 2017 June 12, 2017 July 10, 2017 September 11, 2017 October 9, 2017 November 13, 2017
Good Movement Planning Committee (GMPC)	1:30 p.m.	January 9, 2017 April 10, 2017 July 10, 2017
Transit Planning Committee (TPC)	1:30 p.m.	February 13, 2017 May 8, 2017 September 11, 2017
Alameda County Transportation Commission	2:00 p.m.	January 26, 2017 February 23, 2017 March 23, 2017 April 27, 2017 May 25, 2017 June 22, 2017 July 27, 2017 September 28, 2017 October 26, 2017 December 7, 2017

*Standing Committees meet on the second Monday of the month. There are no standing committee meetings in the month of December. The full Commission meets on the fourth Thursday of the month. There is no Commission meeting in the month of November. The Alameda CTC Commission is on recess in the month of August. All meetings dates and materials are available on the [Alameda CTC website](#).

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DATE: November 23, 2016

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

RECOMMENDATION: Receive a status update on the operation of the I-580 Express Lanes.

Summary

The Alameda CTC is the project sponsor of the I-580 Corridor Express Lane Projects along the I-580 corridor in the Tri-Valley that are now in operation, opened to traffic on February 19th and 22nd of 2016. See Attachment A for express lane operation limits.

The September 2016 operations report indicates that the new express lane facility continues to provide travel time savings and travel reliability throughout the day. Express lane users experienced average speeds up to 26 mph greater than the average speeds in the general purpose lanes, along with lesser average lane densities than the general purpose lanes, in the most congested segments of the corridor.

Background

The I-580 Corridor Express Lanes, extending from Hacienda Drive to Greenville Road in the eastbound direction and from Greenville Road to San Ramon Road/Foothill Road in the westbound direction, were opened to traffic on February 19 and 22, 2016 in the eastbound and westbound directions, respectively. See Attachment A express lane operation limits. Motorists using the I-580 Express Lanes facility enjoy travel time savings and travel reliability benefits 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 carpool, 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 purposes lanes. California Highway Patrol officers provide enforcement services and Caltrans provides roadway maintenance services through reimbursable service agreements.

September 2016 Operation Update: During the 22 days of September express lane operations, there were over 675,000 total express lane trips recorded. Table 1 presents the breakdown of trips based on toll classification and direction of travel. The percent of users without FasTrak® flex tags continued to decline, dropping to 25% in September, with a corresponding increase toll tag usage by HOV users of about 1%. 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 FasTrak toll tag, then our customer service representatives either assess tolls to the matching FasTrak account or issues a notice of toll evasion violation to the registered vehicle owner based on the license plate read by the Electronic Tolling System. Of those motorists without a toll tag, approximately 57% of the trips were matched to existing FasTrak accounts by means of license plate information. The percentage of trips resulting in violation notices is thus less than 11% this month.

Table 1. Express Lane Trips by Type and Direction for September 2016

Trip Classification		Percent of Trips
By Type	HOV-eligible with FasTrak flex tag	33%
	SOV with FasTrak standard or flex tag	42%
	No Tag or Invalid Tag	25%
By Direction	Westbound	46%
	Eastbound	54%

Express lane users generally 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).

During September 2016, express lane users experienced average travel speeds up to 26 mph greater than the average speeds in the general purpose lanes, with greater speed differentials in the more congested segments of the corridor. Express lanes also operate at better LOS than adjacent general purpose lanes during commute times. Table 2 summarizes the speed differentials and LOS at four locations in each of the westbound and eastbound directions during the morning and evening commute hours, respectively.

Table 2. Speed Differentials and Level of Service for September 2016

Direction	I-580 in the Vicinity of	Speed Differential Range (mph)	Average Speed Differential (mph)	Average Express Lane LOS	Average General Purpose Lane LOS
Westbound Morning Commute: 5 am – 11 am	North First Street	5 - 8	7	A	C
	North Livermore Ave	2 - 5	4	B	C
	Fallon Road	4 - 13	9	B	C
	Santa Rita Road	9 - 19	13	B	C
Eastbound Evening Commute: 2 pm – 7 pm	Hacienda Road	19 - 26	23	C	E
	Airway Blvd	7 - 12	9	B	C
	North First Street	7 - 9	8	A	C
	Vasco Road	9 - 22	14	B	C

Attachment B presents the speed and density heat maps for the I-580 corridor during revenue hours for the five-month period from April – September 2016. 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. From April through September, the average speeds in the westbound express lane ranged from 55 to 70 mph during the morning commute hours (5 am to 11 am) with lower speeds occurring between Isabel Avenue and Fallon Road; average speeds throughout the rest of the day exceeded 70 mph. The express lane operated at LOS C or better at all times, with LOS C occurring only for a short period of time in the middle of the corridor (Isabel Avenue to Fallon Road). By comparison, the general purpose lanes experienced speeds as low as 40 mph and LOS D for much longer periods of time, throughout a greater portion of the corridor.

In the eastbound direction, average corridor speeds from April through September ranged from 20 to 70 mph during the evening commute hours (2 pm – 7 pm) with the lowest speeds occurring only at the eastern terminus of the express lanes, between North First Street and Greenville Road; average speeds throughout the rest of the day exceeded 70 mph. The express lane operated primarily at LOS B or C from during the evening commute hours, with small sections of degraded LOS at the eastern terminus of the express lanes between 3 pm and 6:30 pm; average LOS B or better was realized throughout the rest of the day in all locations. By comparison, the general purpose lanes experienced similar low speeds but with LOS F for much longer periods of time throughout a greater portion of the corridor. The degraded service at the east end of the corridor improved for both the express and general purpose lanes when Caltrans opened a new general purpose lane on June 30, 2016 from Greenville Road to Flynn Road. Future heat

maps will reflect significant improvement for express lane performance, though congestion between Greenville Road and I-205 during the evening commute causes almost daily queues that extend into the eastbound express lanes.

Posted toll rates have yet to hit the operational maximum toll rates to travel the entire length of the corridor, which is currently set at \$13.00 and \$9.00 for westbound and eastbound, respectively. Table 3 presents the maximum posted toll rates to travel the entire corridor in each direction, along with the average toll assessed to non-HOV users.

Table 3. Toll Rate Data for September 2016

Direction	Maximum Posted Toll (Travel Entire Corridor)	Average Assessed Toll (All Trips)
Westbound	\$7.50	\$1.82
Eastbound	\$5.75	\$1.79

Through September 2016, the I-580 Express Lanes have recorded over 4.6 million total trips and generated over \$5.05 million in gross toll revenues.

In 2010, the Commission adopted a minimum toll of \$0.30 for I-580 Express Lanes. The currently implemented minimum toll rate is \$0.30 for a single zone. Upon evaluation of the operating costs, staff has recommended to the Executive Director that the minimum toll on I-580 be raised to \$0.50. Per the I-580 Express Lane Toll Policy adopted by the Commission in September 2015, the adjustment of the minimum and maximum toll rates within the constraints set by the Policy is delegated to the Executive Director. The new minimum rate of \$0.50 will be implemented effective January 1, 2017.

Public outreach and education activities continue throughout the I-580 corridor commute shed. These efforts are planned through the end of Fiscal Year 2016/17 in order to increase awareness of the express lanes, promote the benefits of the lanes, emphasize proper use of the facility, and encourage the public to obtain FasTrak® and FasTrak® flex toll tags. Current activities include outreach via social media and advertising on Waze.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. I-580 Corridor Express Lane Location Map
- B. I-580 Corridor Heat Maps April – September 2016

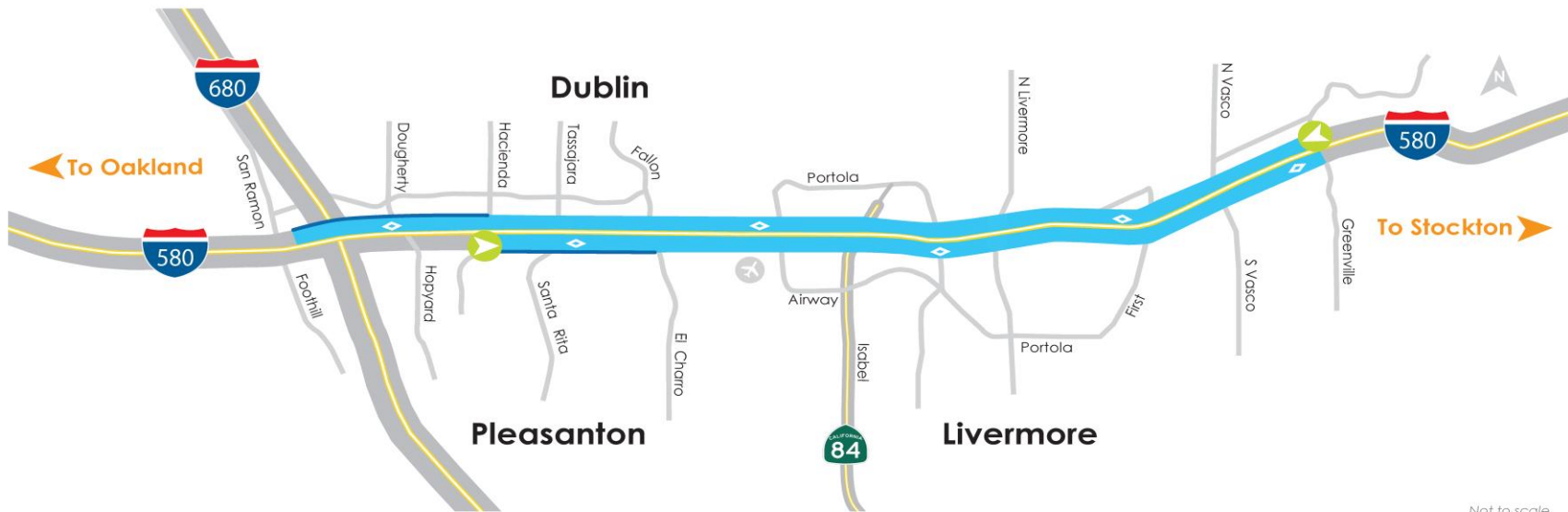
Staff Contact

[Liz Rutman](#), Express Lanes Operation and Maintenance Manager



I-580 Express Lanes Project Location Map

6.3A



Not to scale

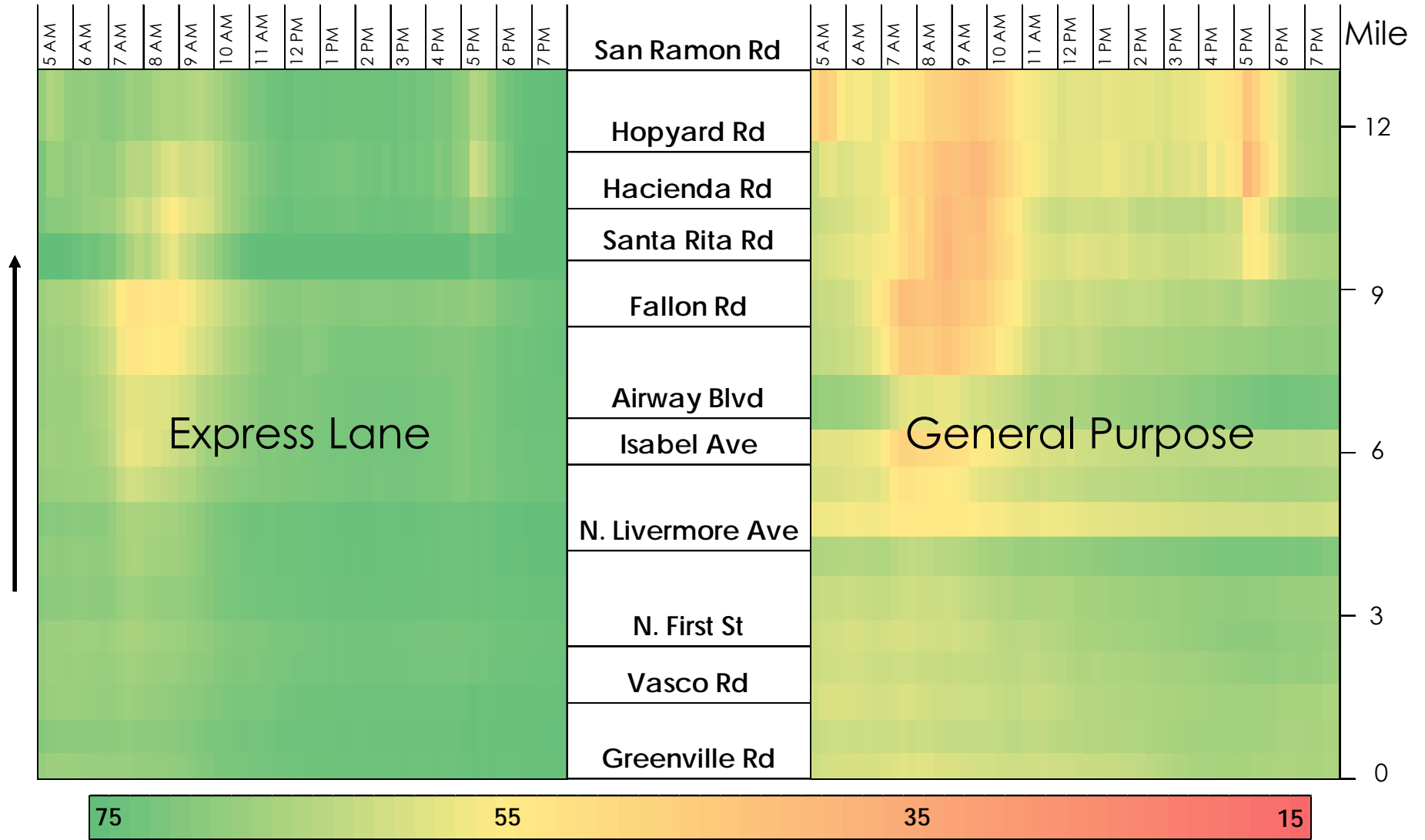
▶ Two Eastbound Express Lanes
Lanes begin at Hacienda
 No entry/exit from eastbound express lanes from Hacienda to Fallon / El Charro.
Please note: For access to Santa Rita Road, do not enter express lanes.

◀ 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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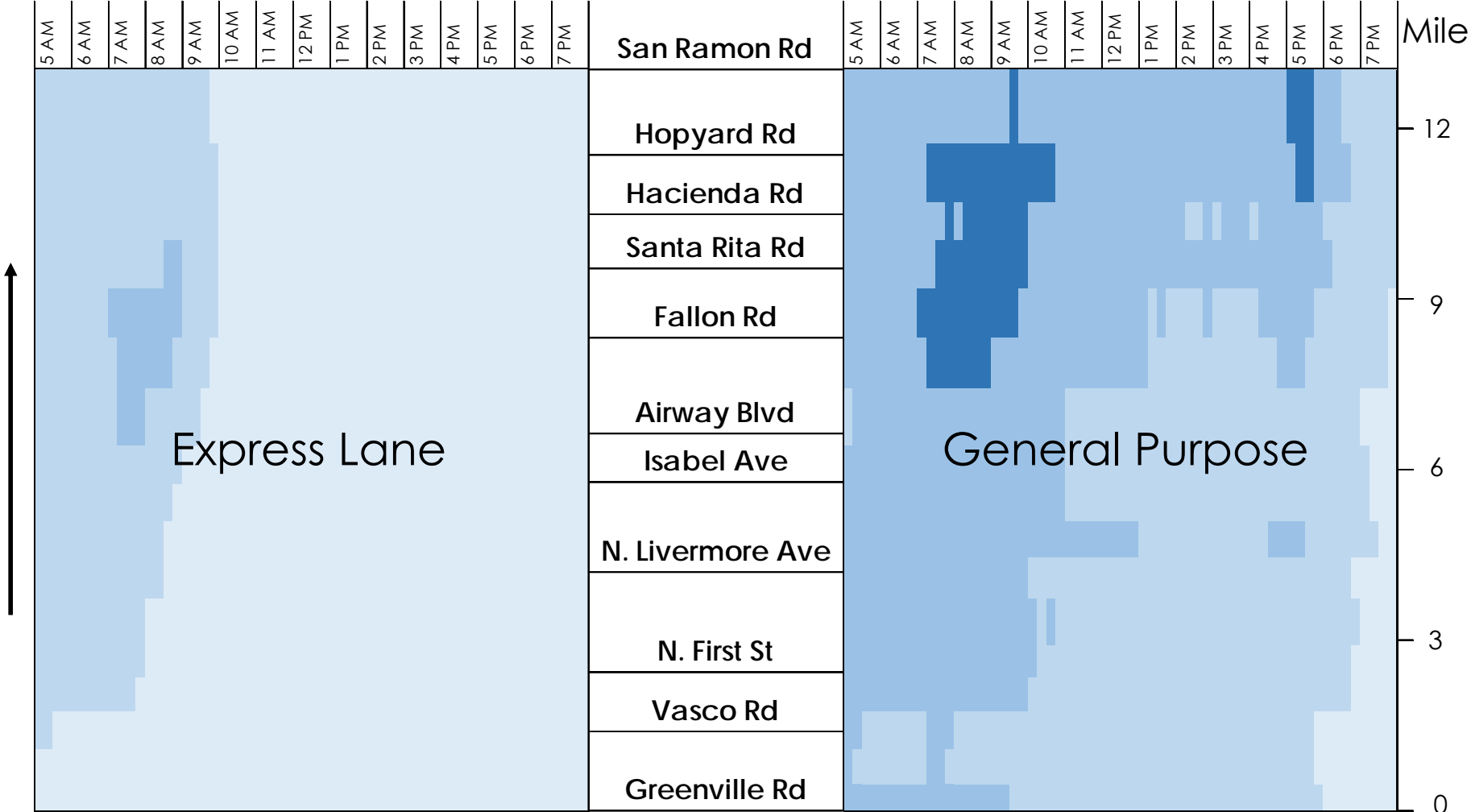
Westbound I-580 Corridor Speed Heat Maps

Monday-Friday, April 2016 – September 2016



Westbound I-580 Corridor Density Heat Maps

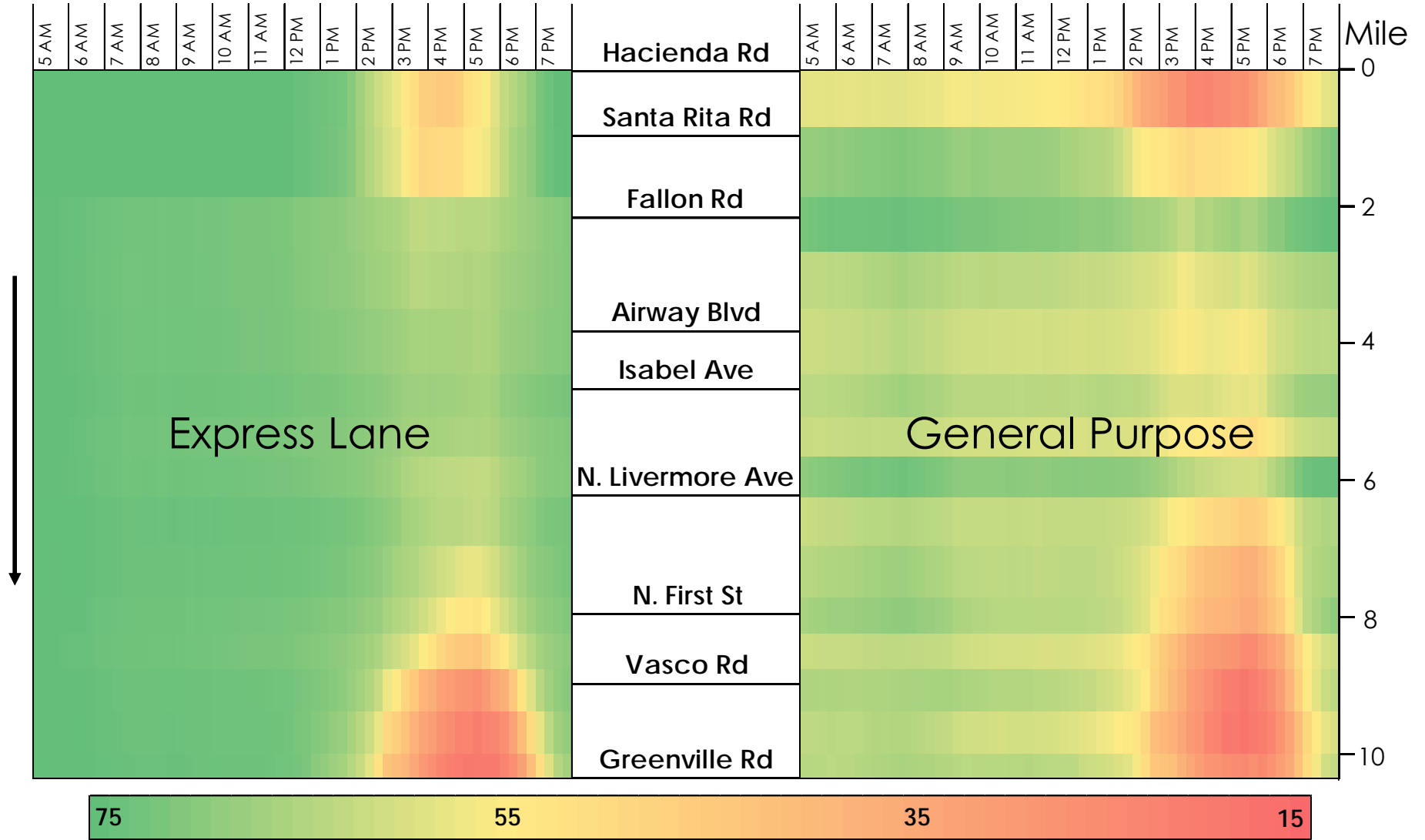
Monday-Friday, April 2016 – September 2016



LOS A	LOS B	LOS C	LOS D	LOS E	LOS F
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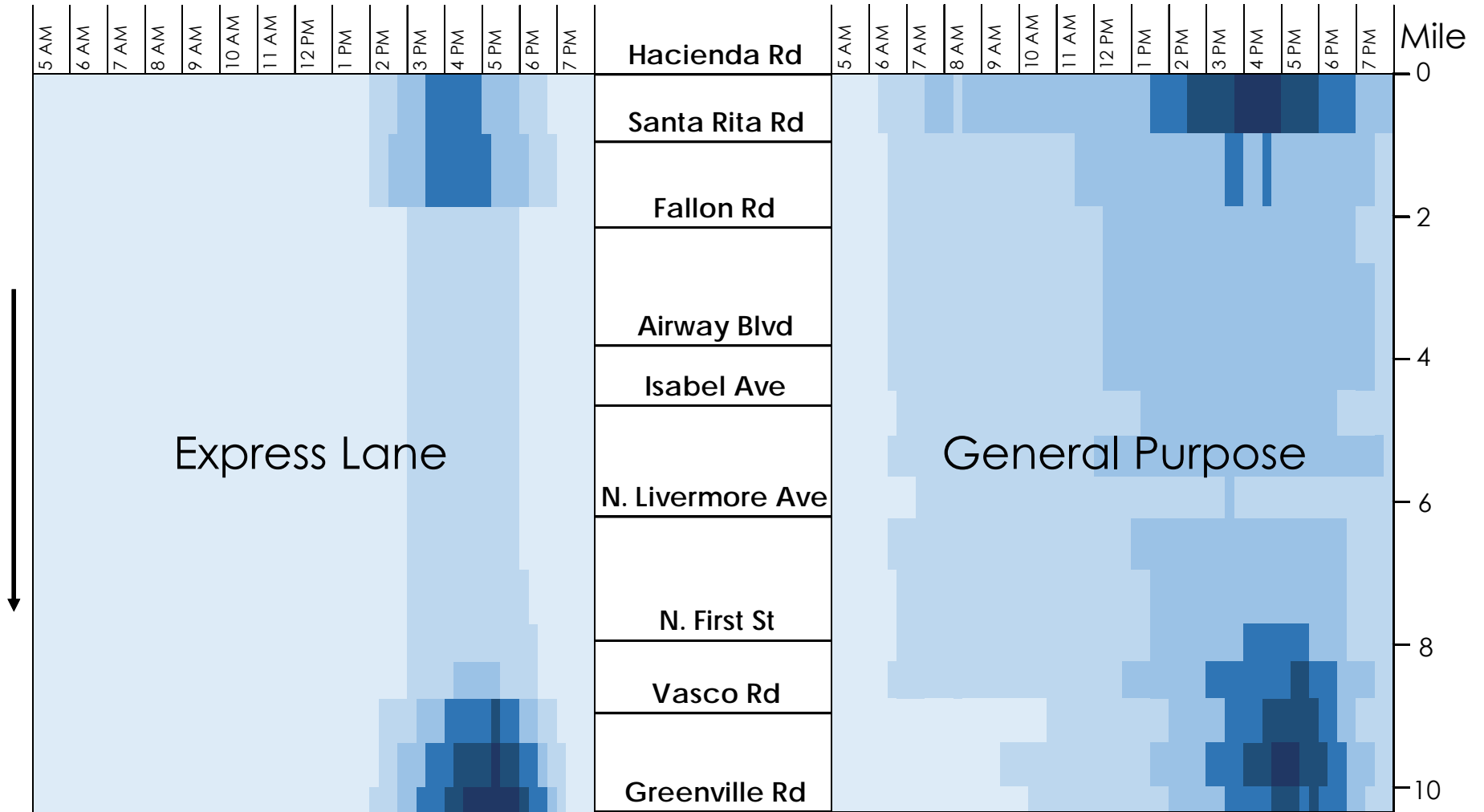
Eastbound I-580 Corridor Speed Heat Maps

Monday-Friday, April 2016 – September 2016



Eastbound I-580 Corridor Density Heat Maps

Monday-Friday, April 2016 – September 2016





DATE: November 23, 2016

SUBJECT: FY 2016-17 First Quarter Report of Claims Acted Upon Under the Government Claims Act

RECOMMENDATION: Receive the FY 2016-17 First Quarter Report of Claims Acted Upon Under the Government Claims Act.

Summary

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

California Government Code section 935.4 states:

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

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

Background

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

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Report on Claims Acted Upon by Staff Under the Government Claims Act
July 1, 2016 – September 30, 2016

Staff Contact

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

**Claims Acted Upon by Staff Under the Government Claim Act
July 1, 2016 - September 30, 2016**

Claimant	Submitted By	Received Date	Amount	Action Taken	Date	Notes
Harres Magee	Marian Krizel Cruz	June 10, 2016	\$ 2,701.24	Claim Rejected	July 12, 2016	Claim was rejected as non-jurisdictional.
Sannie L. Yue	claimant	July 5, 2016	\$ 985.25	Claim Rejected	July 12, 2016	Claim was rejected as non-jurisdictional.
Desmond Iman Jeffries	claimant	August 3, 2016	not specified	Claim Rejected	August 16, 2016	Claim was rejected as non-jurisdictional.
Howard Paul Perofsky	claimant	August 11, 2016	\$ 416.59	Claim Rejected	August 16, 2016	Claim was rejected as non-jurisdictional.

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DATE: November 23, 2016

SUBJECT: Alameda CTC Conflict of Interest Code

RECOMMENDATION: Approve Alameda CTC's Conflict of Interest Code.

Summary

State statute requires that every public agency adopt and promulgate a Conflict of Interest Code. The statute also requires that a review of the code be completed biennially to determine if any amendment is needed. Staff has reviewed the agency's Conflict of Interest Code and has determined a need to amend the code in four areas.

Approval of this item will satisfy Alameda CTC's statutory requirements and authorize the agency to forward the Commission approved code to the County Board of Supervisors for final approval.

Background

The Political Reform Act (Government Code § 81000 et seq.) requires every local agency to review its Conflict of Interest Code (Code) for accuracy and to notify its code reviewing body on even numbered years whether it does or does not need to be amended. The County Board of Supervisors is the code reviewing body for local agencies whose jurisdiction is solely within the county and not under the jurisdiction of a city.

In accordance with statute, the Conflict of Interest Code has been reviewed and the key changes recommended are as follows:

- 1. Article I. FPPC Requirements-** The Fair Political Practices Commission (FPPC)-required Conflict of Interest provisions have been separated from supplemental requirements added by Alameda CTC. It is strongly encouraged by the FPPC that regulations be incorporated by reference rather than replicating them in the code, which allows amendments to the code to automatically be incorporated into Alameda CTC's Conflict of Interest Code.
- 2. Article I, Section 5 / Article II, Section 2(g). Manner of Disqualification-** Language has been added explicitly stating that Commission Members need to leave the room if a

conflict situation exists, whether the conflict is under the Political Reform Act or the Levine Act, pursuant to the requirements of FPPC Regulation §18707.

3. **Article II, Section 3. Alameda CTC Officers and Employees Running for Elected Office or Serving as an Elected Official-** New language has been added requiring that employees running for public office provide Alameda CTC with copies of their campaign filings.
4. **Appendix A-** Different disclosure requirements for categories of designated individuals have been outlined, as required by the FPPC.

Upon approval of this item, the amended code will be forwarded to County for placement on the Board of Supervisors agenda and subsequent approval. The code will become effective as of the date of approval by the Board of Supervisors.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Alameda County Transportation Commission Conflict of Interest Code

Staff Contact

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

**CONFLICT OF INTEREST CODE
OF THE ALAMEDA COUNTY TRANSPORTATION COMMISSION
(AS AMENDED ON DECEMBER 1, 2016)**

ARTICLE I: State Requirements Under The Political Reform Act

SECTION 1. Purpose. The Political Reform Act (Government Code Section 81000, *et seq.*) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission (“FPPC”) has adopted a regulation (2 California Code of Regulations Section 18730) that contains the terms of a standard conflict of interest code, which can be incorporated by reference in an agency’s code. After public notice and hearing, the FPPC may amend this standard code to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations Section 18730 and any amendments to it duly adopted by the FPPC are hereby incorporated by reference. This regulation and the attached Appendix designating positions and defining disclosure categories shall constitute the Conflict of Interest Code (“Code”) of the Alameda County Transportation Commission (“Alameda CTC”).

SECTION 2. Designated Positions. The positions listed on Appendix A are designated positions. Officers, employees, members and consultants holding those positions are designated employees and are deemed to make, or participate in the making of, decisions which may foreseeably have a material effect on a financial interest of the designated employee. “Commission Member” for the purposes of this Code means any member or alternate of the Alameda CTC’s governing body. “Consultant” for the purposes of this Code shall have the meaning set forth in 2 California Code of Regulations Section 18700.3 (see Appendix B for the current version of 2 CCR §18700.3, along with 2 CCR §18704, as referenced therein).

SECTION 3. Filing Statements of Economic Interests. Individuals holding designated positions shall file statements of economic interests annually with the Clerk of the Commission disclosing that individual’s business positions, income, investments, and interest in real property that are reportable pursuant to this Code. The Clerk of the Commission shall make and retain a copy of the statements submitted by the Executive Director and all Commission Members, and shall forward the original to the Clerk of the Alameda County Board of Supervisors which shall be the filing officer. The Clerk of the Commission shall retain the original statements filed by all other designated individuals. The statements shall be retained for a period of seven (7) years. Alameda CTC will make the statements available for public inspection and reproduction pursuant to Government Code Section 81008.

SECTION 4. Disqualification. No designated employee may make, participate in the making, or in any way use or attempt to use his or her position with Alameda CTC to influence the making of any decisions which will foreseeably have a material financial effect, distinguishable from its effect on the public generally, on any reportable interest of that employee.

SECTION 5. Manner of Disqualification.

(a) Any Commission Member who is required to disqualify himself or herself from a decision-making process shall not participate in any way in the matter before the

Commission or any committee of the Commission. Further, such Commission Member shall be subject to the requirements and procedures set forth in 2 California Code of Regulations Section 18707 if the Commission Member is seated as a member of the Commission or committee during a meeting thereof and a governmental decision on such a matter is listed on the meeting agenda (see Appendix B for the current version of 2 CCR §18707). As of the date hereof, such procedures include the obligation to publicly recuse himself or herself and leave the room after making the identification required by said regulation, subject to certain exceptions as set forth in such regulation.

(b) Any designated employee who is required to disqualify himself or herself from a decision-making process shall notify the Executive Director of Alameda CTC (if the Executive Director requires disqualification, such notification shall be made to the Commission Chair) in writing of the reason for the disqualification. A copy of this notice shall be filed with the Clerk of the Commission. Upon receipt of a designated employee's disqualification statement, the Executive Director shall immediately reassign the responsibility for the matter to another designated employee of the office.

SECTION 6. No Disqualification Required if Participation is Necessary. A designated employee may make or participate in the making of a decision when he or she has a financial interest which would otherwise require disqualification if his or her participation is legally required for the decision to be made as defined in California Code of Regulations Title 2, Division 6, Section 18701. The fact that the vote of a designated employee is needed to break a tie does not make his or her participation legally required for the purposes of this section.

SECTION 7. Assistance of the FPPC and Legal Counsel. Any Commission Member or designated employee who is unsure of his or her duties under this code may request assistance from the FPPC pursuant to Section 83314 and Regulations 18329 and 18329.5, or from Alameda CTC's Legal Counsel, provided that nothing in this section requires Legal Counsel to issue any formal or informal opinion.

SECTION 8. Violations. This Code has the force and effect of law. Designated employees violating any provision of this Code are subject to the administrative, criminal and civil sanctions provided in the Political Reform Act. In addition, if a court determines that a violation of the disqualification provisions of this Code has occurred and that the official action might not otherwise have been taken or approved, the decision in relation to which a violation has occurred may be set aside as void pursuant to Government Code Section 91003.

SECTION 9. Effective Date. This Conflict of Interest Code and the Appendix shall become effective immediately upon approval by the Commission. The initial disclosure statements required under this Code shall be filed on April 1, 2017.

ARTICLE II: Additional Alameda CTC Requirements

SECTION 1. Purpose. Alameda CTC recognizes that certain conflict of interest issues may arise that are not governed by the Political Reform Act or the FPPC regulations referenced above. The provisions in this **Article II** are intended to address such issues.

SECTION 2. Campaign Contribution Disclosure; Levine Act. The Levine Act, Government Code Section 84308, prohibits Commission Members from accepting, soliciting, or directing contributions (as defined in Government Code §82015) of more than Two Hundred Fifty Dollars (\$250) from any party who has a financial interest in any proceeding involving a license, permit, or other entitlement for use that is pending before the Commission and for three (3) months following the date a final decision is rendered in the proceeding. A party has a financial interest in a decision if it is reasonably foreseeable that the decision will have a material financial effect, distinguishable generally, on the party, a member of the party's immediate family, or on income, investments, business positions or interests in real property that are described in Appendix A, Category 2. For purposes of this Section, "contribution" shall mean a political contribution to a person who is running for, or serving in, any elective office.

(a) Participants in Proceedings Pending Before the Commission. In the event Alameda CTC staff and/or independent members of a screening committee (which does not include Commission Members) evaluates and screens proposals submitted in response to a Request For Proposal or Qualifications and compiles a short list of firms to be considered by the Commission, only the proposals that the staff submits to Commission Members for consideration shall be considered a part of a proceeding pending before the Commission. Only persons or entities on the short list will be considered involved in a proceeding before the Commission or any committee of the Commission.

(b) Notice to Commission Members. To facilitate compliance with the Levine Act, the Commission staff shall include as part of the Commission Members' agenda packets for Commission Meetings and committee meetings information described in (i) and (ii) of this subsection regarding each application for a license, permit, or other entitlement for use that will be considered by the Board or such committee. "License, permit, or other entitlement for use" shall include all business, professional, trade and land use licenses and permits and all other entitlements for use, including all entitlements for land use, all contracts for goods or services (other than competitively bid, or labor, or personal employment contracts), and all franchises.

(i) The name of the persons or entities that submitted the application for a license, permit or other entitlement for use ("applicant"). The term "applicant" shall include any owner, manager or employee, who acts as an agent of the applicant with respect to the application;

(ii) To the extent known by staff, the name of each person who actively supports or opposes a decision in the proceeding before the Commission involving a license, permit, or other entitlement for use and who has a financial interest in the decision such persons are referred to herein as "participants" in a decision. The term "participant" shall include any owner, manager or employee who acts as an agent of the participant with respect to the application. Lobbying Commission Members or Alameda CTC staff by direct communication (either in person or in writing), testifying in person before the Commission, or otherwise acting to influence Commission Members shall constitute active support of or opposition to a decision pending before the Commission.

In the event Alameda CTC staff and/or independent committee compiles a short list of firms, the Proposal Data Form will contain information on only those firms that comprise the short list.

(c) Notice to Applicants and Participants. As part of any Request For Proposal or Qualification, or any other solicitation process, Alameda CTC staff shall provide all applicants and participants a statement that contains the information described in i) and ii) of subsection b). When a close corporation, as defined in Corporations Code Section 158, is an applicant or participant, the majority shareholder is subject to the Levine Act's disclosure and prohibition requirements. Generally, a close corporation is a corporation whose issued shares are owned by not more than ten (10) persons.

(i) All applicants and participants, and their respective agents, shall notify Alameda CTC, either in writing prior to a proceeding before the Commission involving a license, permit, or other entitlement for use or orally during said proceeding, of any contribution of more than Two Hundred Fifty Dollars (\$250) made within the preceding twelve (12) months by the applicant or participant, or his or her agent, to any Commission Member.

(ii) Applicants and participants, and their agents, shall not make contributions of more than Two Hundred Fifty Dollars (\$250) to any Commission Member during a proceeding involving a license, permit, or other entitlement for use pending before the Commission and for three (3) months following the date a final decision is rendered by the Commission in the proceeding.

(d) Limitations on Receiving Contributions. While a proceeding involving a license, permit, or other entitlement for use is pending before the Commission and for three (3) months following the date a final decision is rendered in the proceeding, Commission Members shall not accept, solicit, or direct a contribution of more than Two Hundred Fifty Dollars (\$250) from any applicant or participant who has a financial interest in the decision. This prohibition shall apply regardless of whether the Commission Member accepts, solicits, or directs the contribution for himself, or on behalf of any other Commission Member, or on behalf of any candidate for office or on behalf of any committee.

(e) Disclosure of Conflict. Before the Commission renders a decision in a proceeding involving a license, permit, or other entitlement for use, each Commission Member shall disclose orally at the time of the proceeding, or in a writing delivered to the Clerk of the Commission at any time prior to the proceeding, any contributions of more than Two Hundred Fifty Dollars (\$250) that the Commission Member has received within the preceding twelve (12) months from any applicant or participant involved in the proceeding before the Commission.

(f) Disqualification from Participating in a Proceeding. No Commission Member shall make, participate in making, or in any way attempt to use his or her position in the Commission to influence a decision in a proceeding pending before the Commission or committee of the Commission involving a license, permit, or other entitlement for use if the Commission Member has received a contribution of more than Two Hundred Fifty Dollars (\$250) within the preceding twelve (12) months from an applicant involved in the proceeding before the Commission or a participant who has a financial interest in the decision. An Commission Member who received a contribution which would otherwise require

disqualification may participate in the proceeding if he or she returns the contribution within thirty (30) days from the time the Commission Member knows, or should have known, about both the making of the contribution or participant's participation in the proceeding involving the license, permit, or other entitlement for use.

(g) If a Commission Member is so disqualified from participation in any decision, that Commission Member shall not participate in any way in the matter before the Commission or any committee of the Commission. Further, such Commission Member shall be subject to the requirements and procedures set forth in 2 California Code of Regulations Section 18707 if the Member is seated as a member of the Commission or committee and a governmental decision on such a matter is listed on the agenda thereof (see Appendix B for the current version of 2 CCR §18707). As of the date hereof, such procedures include the obligation to publicly recuse himself or herself and leave the room after making the identification required by said regulation, subject to certain exceptions as set forth in such regulation.

SECTION 3. Alameda CTC Officers and Employees Running for Elected Office or Serving as an Elected Official. Pursuant to Government Code Section 3203, Alameda CTC is not permitted to restrict its officers and employees' political activities, except to the extent required by other applicable law. Accordingly, any officer or employee of Alameda CTC is permitted to run for elected office. However, Alameda CTC believes it is appropriate to impose certain reporting and recusal requirements upon such officers and employees, consistent with the requirements set forth above with respect to Commission Members' obligations under the Levine Act.

(a) **Campaign Disclosures.** If any Alameda CTC officer or employee is required under any applicable law to make any campaign-related filings with any City, County, or other governmental agency located completely or partially within Alameda County, and/or with the FPPC, the officer or employee shall simultaneously provide copies of any such filing(s) to the Clerk of the Commission. The foregoing obligation shall also apply with respect to campaign-related filings made by or on behalf of any committee controlled by an Alameda CTC officer or employee. The Clerk of the Commission shall make and retain a copy of any such campaign filings.

(b) **Disqualification from Participating in a Proceeding.** No Alameda CTC officer or employee shall participate in making, or in any way attempt to use his or her position with Alameda CTC to influence a decision in a proceeding pending before the Commission or committee of the Commission involving a license, permit, or other entitlement for use if the officer or employee has received a contribution of more than Two Hundred Fifty Dollars (\$250) within the preceding twelve (12) months from an applicant involved in the proceeding before the Commission or a participant who has a financial interest in the decision.

**APPENDIX A
DESIGNATED EMPLOYEES AND DISCLOSURE CATEGORIES**

Designated Employees

The following positions entail the making or participating in the making of decisions which may foreseeably have a material effect on financial interests.

Position	Disclosure Categories
Commission Member	1 & 2
Executive Director	1 & 2
Deputy Executive Director of Projects and Programming	1 & 2
Deputy Executive Director of Planning and Policy	1 & 2
Deputy Executive Director of Finance and Administration	1 & 2
Director of Finance	4 & 6
Director of Programming and Project Controls	2, 3, 4 & 5
Director of Project Delivery	2, 3, 4 & 5
Director of Express Lane Operations	3 & 4
Director of Budgets and Administration	4 & 6
Director of Planning	2, 3, 4 & 5
Director of Government Affairs and Communications	4 & 5
Legal Counsel	1 & 2
Consultant*	as determined by the Executive Director
Advisory Committee Members (all)	2, 3, 4 & 5

* Consultants, as defined in 2 California Code of Regulations §18700.3, shall be included in the list of designated employees. Not all outside contractors are considered to be Consultants under this Regulation, since it depends on the contractor’s particular scope of work. Further, the Executive Director may determine in writing that a particular Consultant is hired to perform a range of duties that is limited in scope and thus it may be appropriate to assign one or more of the limited disclosure requirements set forth below. The Executive Director’s determination designating a specific contractor as a Consultant and assigning one or more specific disclosure categories, which determination may be made utilizing FPPC Form 805, is a public record and shall be retained for public inspection in the same manner and locator as this Code.

Disclosure Categories

The disclosure categories listed below identify the types of economic interests that the designated position must disclose for each disclosure category to which he or she is assigned. Such economic interests are reportable if they are either located in or doing business in the jurisdiction, are planning to do business in Alameda County, or have done business during the previous two years in Alameda County.

Category 1: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments) that do business or own real property within Alameda County.

Category 2: All interests in real property which is located in whole or in part within, or not more than two miles outside, the boundaries of Alameda County.

Category 3: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments) that are engaged in land development, construction or the acquisition or sale of real property within Alameda County.

Category 4: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments) that provide services, products, materials, machinery, vehicles or equipment of a type purchased or leased by Alameda CTC.

Category 5: All investments and business positions in business entities and sources of income (including gifts, loans and travel payments), including income from nonprofits or similar organizations, if the source is of the type to receive grants or similar funding from or through Alameda CTC.

Category 6: All investments and business positions in business entities, and sources of income, including gifts, loans, and travel payments, if the source is of the type of firm in or with which Alameda CTC is empowered to invest its funds, or the source has during the reporting period filed a claim or currently has a claim pending with Alameda CTC.

APPENDIX B
EXCERPTS FROM FPPC REGULATIONS AS OF THE ADOPTION HEREOF

(Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations.)

§ 18700.3. Consultant, Public Official Who Manages Public Investments: Definitions.

(a) For purposes of Sections 82019 and 82048, “consultant” means an individual who, pursuant to a contract with a state or local government agency:

(1) Makes a governmental decision whether to:

(A) Approve a rate, rule, or regulation;

(B) Adopt or enforce a law;

(C) Issue, deny, suspend, or revoke any permit, license, application, certificate, approval, order, or similar authorization or entitlement;

(D) Authorize the agency to enter into, modify, or renew a contract provided it is the type of contract that requires agency approval;

(E) Grant agency approval to a contract that requires agency approval and to which the agency is a party, or to the specifications for such a contract;

(F) Grant agency approval to a plan, design, report, study, or similar item;

(G) Adopt, or grant agency approval of, policies, standards, or guidelines for the agency, or for any subdivision thereof; or

(2) Serves in a staff capacity with the agency and in that capacity participates in making a governmental decision as defined in Regulation 18704(a) and (b) or performs the same or substantially all the same duties for the agency that would otherwise be performed by an individual holding a position specified in the agency's Conflict of Interest Code under Section 87302.

(b) For purposes of Section 87200, the following definitions apply:

(1) “Other public officials who manage public investments” means:

(A) Members of boards and commissions, including pension and retirement boards or commissions, or of committees thereof, who exercise responsibility for the management of public investments;

(B) High-level officers and employees of public agencies who exercise primary responsibility for the management of public investments, such as chief or principal investment officers or chief financial managers. This category shall not include officers and employees who work under the supervision of the chief or principal investment officers or the chief financial managers; and

(C) Individuals who, pursuant to a contract with a state or local government agency, perform the same or substantially all the same functions that would otherwise be performed by the public officials described in subdivision (b)(1)(B).

(c) “Public investments” means the investment of public moneys in real estate, securities, or other economic interests for the production of revenue or other financial return.

(d) “Public moneys” means all moneys belonging to, received by, or held by, the state, or any city, county, town, district, or public agency therein, or by an officer thereof acting in his or her official capacity, and includes the proceeds of all bonds and other evidences of indebtedness, trust funds held by public pension and retirement systems, deferred compensation funds held for investment by public agencies, and public moneys held by a financial institution under a trust indenture to which a public agency is a party.

(e) “Management of public investments” means the following nonministerial functions: directing the investment of public moneys; formulating or approving investment policies; approving or establishing guidelines for asset allocations; or approving investment transactions.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 82019, 82048, 87100, 87200 and 87302, Government Code.

HISTORY

1. New section filed 6-22-2015; operative 7-22-2015. Submitted to OAL for filing and printing only pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 26). For prior history, see Register 2015, No. 18.
2. Amendment of subsection (a)(2) filed 7-10-2015; operative 7-10-2015 pursuant to section 18312(e)(1)(A), title 2, California Code of Regulations. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 28).

(Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations.)

§ 18704. Making, Participating in Making, or Using or Attempting to Use Official Position to Influence a Government Decision, Defined.

(a) Making a Decision. A public official makes a governmental decision if the official authorizes or directs any action, votes, appoints a person, obligates or commits his or her agency to any course of action, or enters into any contractual agreement on behalf of his or her agency.

(b) Participating in a Decision. A public official participates in a governmental decision if the official provides information, an opinion, or a recommendation for the purpose of affecting the decision without significant intervening substantive review.

(c) Using Official Position to Attempt to Influence a Decision. A public official uses his or her official position to influence a governmental decision if he or she:

(1) Contacts or appears before any official in his or her agency or in an agency subject to the authority or budgetary control of his or her agency for the purpose of affecting a decision; or

(2) Contacts or appears before any official in any other government agency for the purpose of affecting a decision, and the public official acts or purports to act within his or her authority or on behalf of his or her agency in making the contact.

(d) Exceptions. Making, participating in, or influencing a governmental decision does not include:

(1) Ministerial. Actions by a public official that are solely ministerial, secretarial, or clerical.

(2) Appearances as a Member of the General Public. An appearance by a public official as a member of the general public before an agency in the course of its prescribed governmental

function if the official is appearing on matters related solely to the his or her personal interests, including interests in:

(A) Real property owned entirely by the official, members of his or her immediate family, or the official and members of his or her immediate family;

(B) A business entity owned entirely by the official, members of his or her immediate family, or the official and members of his or her immediate family; or

(C) A business entity over which the official, members of his or her immediate family, or the official and members of his or her immediate family solely or jointly exercise full direction and control.

(3) Terms of Employment. Actions by a public official relating to his or her compensation or the terms or conditions of his or her employment or consulting contract.

However, an official may not make a decision to appoint, hire, fire, promote, demote, or suspend without pay or take disciplinary action with financial sanction against the official or his or her immediate family, or set a salary for the official or his or her immediate family different from salaries paid to other employees of the government agency in the same job classification or position.

(4) Public Speaking. Communications by a public official to the general public or media.

(5) Academic Decisions.

(A) Teaching decisions, including an instructor's selection of books or other educational materials at his or her own school or institution, or other similar decisions incidental to teaching; or

(B) Decisions by a public official who has teaching or research responsibilities at an institution of higher education relating to his or her professional responsibilities, including

applying for funds, allocating resources, and all decisions relating to the manner or methodology with which his or her academic study or research will be conducted. This exception does not apply to a public official who has institution-wide administrative responsibilities as to the approval or review of academic study or research at the institution unrelated to his or her own work.

(6) Architectural and Engineering Documents.

(A) Drawings or submissions of an architectural, engineering, or similar nature prepared by a public official for a client to submit in a proceeding before the official's agency if:

(i) The work is performed pursuant to the official's profession; and

(ii) The official does not make any contact with the agency other than contact with agency staff concerning the process or evaluation of the documents prepared by the official.

(B) An official's appearance before a design or architectural review committee or similar body of which the official is a member to present drawings or submissions of an architectural, engineering, or similar nature prepared for a client if:

(i) The review committee's sole function is to review architectural designs or engineering plans and to make recommendations to a planning commission or other agency;

(ii) The review committee is required by law to include architects, engineers or persons in related professions, and the official was appointed to the body to fulfill this requirement; and

(iii) The official is a sole practitioner.

(7) Additional Consulting Services: Recommendations by a consultant regarding additional services for which the consultant or consultant's employer would receive additional income if the agency has already contracted with the consultant, for an agreed upon price, to make recommendations concerning services of the type offered by the consultant or consultant's

employer and the consultant does not have any other economic interest, other than in the firm, that would be foreseeably and materially affected by the decision.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87100, 87101 and 87302, Government Code.

HISTORY

1. Change without regulatory effect renumbering former section 18702 to section 18704, including amendment of section heading and section, filed 4-27-2015. Submitted to OAL for filing pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 18). For prior history of section 18704, see Register 2015, No. 6.
2. Repealer and new section and amendment of Note filed 6-22-2015; operative 7-22-2015. Submitted to OAL for filing and printing only pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 26).

(Regulations of the Fair Political Practices Commission, Title 2, Division 6, California Code of Regulations.)

§ 18707. Disqualification Requirements.

(a) Public Officials under Section 87200. For recusal under Section 87105, all of the following apply when a public official who holds an office specified in Section 87200 has a financial interest in a decision within the meaning of Section 87100, and the governmental decision relates to an agenda item that is noticed for a meeting subject to the provisions of the Bagley-Keene Act (Section 11120 et seq.) or the Brown Act (Section 54950 et seq.):

(1) Content and Timing of Identification. Following the announcement of the agenda item to be discussed or voted upon but before either the discussion or vote commences, the public official must do all of the following:

(A) The public official must publicly identify each type of financial interest held by the official that is involved in the decision and gives rise to the disqualifying conflict of interest (i.e. investment, business position, interest in real property, personal financial effect, or the receipt or promise of income or gifts), and the following details identifying each financial interest:

(i) If an investment, the name of the business entity in which each investment is held;

(ii) If a business position, a general description of the business activity in which the business entity is engaged as well as the name of the business entity;

(iii) If real property, the address or another indication of the location of the property, unless the property is the public official's principal or personal residence, in which case, identification that the property is a residence;

(iv) If income or gifts, the identification of the source; and

(v) If personal financial effect, the identification of the expense, liability, asset or income affected.

(B) Form of Identification. If the governmental decision will be made during an open session of a public meeting, the public identification must be made orally and be made part of the official public record.

(C) Recusal and Leaving the Room. The public official must recuse himself or herself and leave the room after the identification required by this regulation is made. He or she will not be counted toward achieving a quorum while the item is discussed.

(2) Special Rules for Closed Session. If the governmental decision is made during a closed session of a public meeting, the public identification must be made orally during the open session before the body goes into closed session and may be limited to a declaration that his or her recusal is because of a conflict of interest under Section 87100. The declaration will be made part of the official public record. The public official must not be present when the decision is considered in closed session or knowingly obtain or review a recording or any other non-public information regarding the governmental decision.

(3) Exceptions:

(A) Uncontested Matters. The exception from leaving the room granted in Section 87105(a)(3) for a “matter [that] has been placed on the portion of the agenda reserved for uncontested matters” means agenda items on the consent calendar. If the public official has a financial interest in a matter that is on the consent calendar, the public official must comply with subdivisions (a)(1)(A) and (a)(1)(B) of this regulation, and recuse himself or herself from discussing or voting on that matter, but the public official is not required to leave the room during the consent calendar.

(B) Absence. If the public official is absent when the agenda item subject to subdivision (a) of this regulation is considered, there are no public identification duties on the public official for that item at that meeting.

(C) Speaking as a Member of the Public Regarding an Applicable Personal Interest. When a personal interest found in Regulation 18704(d)(2) is present, a public official may speak as a member of the general public if he or she complies with subdivisions (a)(1)(A) and (a)(1)(B) of this regulation, recuses himself or herself from voting on the matter and leaves the dais to speak from the same area as the members of the public. He or she may listen to the public discussion and deliberations of the matter with the members of the public.

(b) For All Other Public Officials. For recusal from any decision other than a decision under subdivision (a), all of the following apply:

(1) If a public official determines not to act because of his or her financial interest, the official's determination may be accompanied by an oral or written disclosure of the financial interest.

(2) When an official with a disqualifying conflict of interest abstains from making a governmental decision in an open session of the agency and the official remains on the dais or in his or her designated seat during deliberations of the governmental decision in which he or she is disqualified, his or her presence will not be counted toward achieving a quorum.

(3) During a closed meeting of the agency, a disqualified official must not be present when the decision is considered or knowingly obtain or review a recording or any other nonpublic information regarding the governmental decision.

(4) An agency may adopt a local rule requiring a disqualified official to step down from the dais or leave the chambers.

(c) Confidential Information. Nothing in the provisions of this regulation is intended to cause an agency or public official to make any disclosure that would reveal the confidences of a closed session or any other privileged information as contemplated by law including but not limited to the recognized privileges found in Regulation 18740.

Note: Authority cited: Section 83112, Government Code. Reference: Sections 87100, 87101, 87105 and 87200, Government Code.

HISTORY

1. New section filed 6-22-2015; operative 7-22-2015. Submitted to OAL for filing and printing only pursuant to *Fair Political Practices Commission v. Office of Administrative Law*, 3 Civil C010924, California Court of Appeal, Third Appellate District, nonpublished decision, April 27, 1992 (FPPC regulations only subject to 1974 Administrative Procedure Act rulemaking requirements and not subject to procedural or substantive review by OAL) (Register 2015, No. 26). For prior history, see Register 2015, No. 21.



Memorandum

6.6

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 23, 2016

SUBJECT: Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2016

RECOMMENDATION: Approve the Alameda CTC draft audited Comprehensive Annual Financial Report for the year ended June 30, 2016.

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, 2016 by Vavrinek, Trine, Day & Co., LLP. Financial statements are the responsibility of management. The auditor's responsibility is to express an opinion on the financial statements based on their audit. As demonstrated in the Independent Auditor's Report on page two of the Draft Audited Comprehensive Annual Financial Report (Draft Audited CAFR), the Alameda CTC's auditors have reported what is considered to be an unmodified or clean audit.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, each major fund, and the aggregate remaining fund information of the Alameda CTC, as of June 30, 2016, 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, 2016 were reviewed in detail and approved by the Alameda CTC's audit committee on October 27, 2016.

Financial Highlights:

- Total net position was \$283.1 million at June 30, 2016, an increase of \$139.7 million or 97.4 percent over the prior fiscal year end primarily due to fiscal year 2015-16 being the first full year of revenue collections of the new Measure BB sales tax and the first fiscal year the I-580 Express Lanes were put into service requiring the capitalization of assets.
- Total assets and deferred outflows increased by \$98.1 million from \$436.6 million to \$534.7 million as of June 30, 2016 compared to June 30, 2015 mainly related to increased sales

tax revenues from Measure BB and the capitalization of assets for the I-580 Express Lanes which began operations in February 2016. Cash and investments comprised \$419.1 million or 78.4 percent of total assets and deferred outflows as of June 30, 2016.

- Revenues totaled \$385.2 million for the fiscal year ended June 30, 2016. This was an increase of \$159.2 million or 70.4 percent over the fiscal year ended June 30, 2015 which is closely correlated to the increase in sales tax revenues from the new Measure BB.
- Total liabilities and deferred inflows decreased by \$41.6 million or 14.2 percent from \$293.2 million to \$251.6 million as of June 30, 2016 compared to June 30, 2015. This decrease is largely due to the Bay Area Rapid Transit (BART) to Warm Springs project nearing completion. The BART to Warm Springs project is funded by Measure B and had significant accruals for expenditures as of June 30, 2015.
- Expenses totaled \$245.5 million for the fiscal year ended June 30, 2016. This was a decrease of \$16.6 million or 6.3 percent from the fiscal year ended June 30, 2015 mostly related to the wind down of Measure B capital projects, specifically the BART to Warm Springs project.

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 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, 2016 are 0.23 percent and 0.46 percent, respectively, for salaries and benefits as a percent of sales tax revenues and 1.28 percent and 2.16 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, 2016. Per the Office of Management and Budget (OMB) Circular A-133, a single audit is required when a grantee spends \$500,000 or more in Federal funds in the fiscal year to provide assurance to the federal government as to the management and use of these funds. Alameda CTC's federal expenditures were well over the threshold at approximately \$6.5 million during the fiscal year ended June 30, 2016 therefore a Single Audit was required. As

demonstrated in the Independent Auditor's Report on page 106 of the Draft Audited CAFR, the 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, 2016."

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 and June 30, 2015. A copy of the June 30, 2015 award has been included in the CAFR dated June 30, 2016 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 20 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 63 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 65.

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 75 and 79, respectively, of the Draft Audited CAFR.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. [Alameda County Transportation Commission Draft Audited Comprehensive Annual Financial Report for the Fiscal Year Ended June 30, 2016](#) (Hyperlinked to website)

Staff Contact

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

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Memorandum

6.7

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 23, 2016

SUBJECT: Alameda CTC FY2016-17 First Quarter Investment Report

RECOMMENDATION: Approve the Alameda CTC FY2016-17 First Quarter Investment Report.

Summary

The Quarterly Consolidated Investment Report (Attachment A) provides balance and average return on investment information for all cash and investments held by the Alameda CTC as of September 30, 2016. The report also shows balances as of June 30, 2016 for comparison purposes. The *Portfolio Review for Quarter Ending September 30, 2016* (Attachment B), prepared by GenSpring, provides a review and outlook of current market conditions, an investment strategy to maximize return without compromising safety and liquidity, and an overview of the strategy used to develop the bond proceeds portfolio. Alameda CTC has sufficient cash flow to meet expenditure requirements over the next six months.

Activity

The following are key highlights of cash and investment information as of September 30, 2016:

- As of September 30, 2016, total cash and investments held by the Alameda CTC was \$437.6 million, an increase of \$19.0 million or 4.5% over June 30, 2016.
- The 1986 Measure B investment balance decreased by \$0.7 million or 0.5% from the prior year-end balance due to capital projects expenditures. The 2000 Measure B investment balance increased \$3.0 million or 2.0% due to an accumulation of sales tax revenues primarily in the debt service fund which has been set aside to pay the principal payment due on the outstanding bonds in March 2017. The 2014 Measure BB investment balance increased \$14.5 million or 22.1% mostly due to a collaborative initiation process with member agencies to put required agreements in place which would authorize invoicing for expenditures incurred on Measure BB projects. The ACCMA investment balance increased \$2.2 million or 3.7% primarily due to the reimbursement of grant funds which slightly outpaced expenditures in

the first quarter as CMA projects wind down and the receipt of most member agency contributions.

Investment yields have increased slightly with the approximate average return on investments for the first quarter at 0.61% compared to the prior year's average return of 0.38%. Return on investments were projected for the FY2016-17 budget year at varying rates ranging from 0.2% - 0.5% depending on investment type.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Consolidated Investment Report as of September 30, 2016
- B. Portfolio Review for Quarter Ending September 30, 2016 (provided by GenSpring)
- C. Fixed Income Portfolio as of September 30, 2016

Staff Contact

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

[Lily Balinton](#), Director of Finance

Alameda CTC Consolidated Investment Report As of September 30, 2016							
1986 Measure B	Un-Audited		Interest Earned			FY 2015-2016	
	Investment Balance	Interest earned	As of September 30, 2016			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2016	FY 2015-2016
Bank Accounts	\$ 2,535,758	\$ 1,113	0.18%			\$ 2,924,961	8,766
State Treasurer Pool (LAIF) ⁽¹⁾	11,322,209	17,425	0.62%			11,806,194	62,150
Investment Advisor ⁽¹⁾⁽²⁾	114,454,339	214,054	0.75%			114,339,737	699,222
Loan to ACCMA	10,000,000	-	-			10,000,000	-
1986 Measure B Total	\$ 138,312,307	\$ 232,591	0.67%	\$ 52,500	\$ 180,091	\$ 139,070,893	\$ 770,137
						<i>Approx. ROI</i>	<i>0.55%</i>
2000 Measure B	Un-Audited		Interest Earned			FY 2015-2016	
	Investment Balance	Interest earned	As of September 30, 2016			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2016	FY 2015-2016
Bank Accounts	\$ 3,292,117	\$ 1,905	0.23%			\$ 6,165,527	\$ 15,678
State Treasurer Pool (LAIF) ⁽¹⁾	24,266,080	40,527	0.67%			29,931,996	114,809
Investment Advisor ⁽¹⁾⁽²⁾	104,774,725	161,815	0.62%			96,727,857	511,093
2014 Series A Bond Project Fund ⁽¹⁾	289,634	2,150	2.97%			5,778,998	29,488
2014 Series A Bond Interest Fund ⁽¹⁾	6,355,452	17,592	1.11%			9,158,139	86,048
2014 Series A Bond Principal Fund ⁽¹⁾	12,118,740	5,509	0.18%			-	-
Project Deferred Revenue ⁽¹⁾⁽³⁾	7,460,678	11,549	0.61%			7,753,151	34,739
2000 Measure B Total	\$ 158,557,425	\$ 241,046	0.61%	\$ 110,000	\$ 131,046	\$ 155,515,667	\$ 791,855
						<i>Approx. ROI</i>	<i>0.51%</i>
2014 Measure BB	Un-Audited		Interest Earned			FY 2015-2016	
	Investment Balance	Interest earned	As of September 30, 2016			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2016	FY 2015-2016
Bank Accounts	\$ 2,428,156	\$ 3,388	0.56%			\$ 12,751,139	\$ 33,307
State Treasurer Pool (LAIF) ⁽¹⁾	77,900,165	96,428	0.50%			53,043,649	100,165
2014 Measure BB Total	\$ 80,328,321	\$ 99,816	0.50%	\$ 55,000	\$ 44,816	\$ 65,794,788	\$ 133,472
						<i>Approx. ROI</i>	<i>0.20%</i>
ACCMA	Un-Audited		Interest Earned			FY 2015-2016	
	Investment Balance	Interest earned	As of September 30, 2016			Investment Balance	Interest earned
			Approx. ROI	Budget	Difference	June 30, 2016	FY 2015-2016
Bank Accounts	\$ 8,643,958	\$ 6,055	0.28%			\$ 20,552,837	\$ 34,696
State Treasurer Pool (LAIF) ⁽¹⁾	52,319,554	68,674	0.53%			33,601,132	119,890
Project Deferred Revenue ⁽¹⁾⁽⁴⁾	9,472,980	16,829	0.61%			14,124,614	65,492
Loan from ACTA	(10,000,000)	-	-			(10,000,000)	-
ACCMA Total	\$ 60,436,492	\$ 91,557	0.61%	\$ 26,250	\$ 65,307	\$ 58,278,584	\$ 220,078
						<i>Approx. ROI</i>	<i>0.38%</i>
Alameda CTC TOTAL	\$ 437,634,545	\$ 665,010	0.61%	\$ 243,750	\$ 421,260	\$ 418,659,932	\$ 1,915,542

Notes:

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

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***Alameda County Transportation Commission
Portfolio Review for the Quarter Ending
September 30, 2016***

Fixed Income Market Review and Outlook

The Federal Reserve rate stayed put at their September meeting, though made clear a rate increase was likely before year end. Several other central banks cut rates in September including Russia, Turkey and Indonesia. The Bank of Japan decided to change tact, choosing to control the yield curve rather than targeting asset purchases. Meanwhile, the Bank of England and European Central Bank signaled their willingness to do more to support markets.

The trend of the past few months—underperformance by the quality bond sectors—continued in the third quarter. US core bonds were flat for the month and rose modestly for the third quarter, but maintain solid gains for 2016. Longer-dated bonds across the quality spectrum outperformed during the quarter as the yield curve continued to flatten.

Portfolio Allocation

As of the end of the quarter, the consolidated Alameda CTC portfolio consisted of 39.6% US Government Agency securities, 29.3% US Treasury securities, 24.5% High Grade Corporate Bonds and 6.6% of cash and cash equivalents.

Compliance with Investment Policy Statement

For the quarter ending September 30, 2016 the Alameda CTC portfolio has two compliance items to note:

- (1) Anheuser Busch bonds were purchased for both the 1986 Measure B and 2000 Measure B investment portfolios in May 2015. The invested amounts are \$3,000,000 in each portfolio. The security has a maturity date of 7/15/17. The credit ratings at the time of purchase were A2/A by Moody's and S&P, respectively. In part due to a proposed merger, the security's credit ratings were downgraded to A3/A-. Based on the credit outlook and strong fundamentals, we recommended that Alamedac CTC continue to hold the security, and the Alameda CTC investment officer agreed.

(2) On September 9, 2016, \$1,000,000 of JP Morgan bonds were purchased in the 2000 Measure B investment portfolio. The bonds have a maturity of 8/15/2017 with credit ratings of A3/A- by Moody's and S&P, respectively. The trade was made in error as the credit ratings for Moody and S&P are a half notch below the minimum ratings allowed for purchases of A2/A in the investment policy. The underlying credit is considered stable and expected to maintain its current rating through maturity. The stable outlook is based on the banks suitable capitalization and stable retail and commercial banking platforms which offset its more volatile investment banking operations. With less than a year to maturity and a competitive yield of 1.37% we recommended that Alameda CTC continue to hold the security to maturity, and the Alameda CTC investment officer agreed that at this juncture that is the best decision for Alameda CTC.

GenSpring will continue to carefully monitor both credits on a monthly basis.

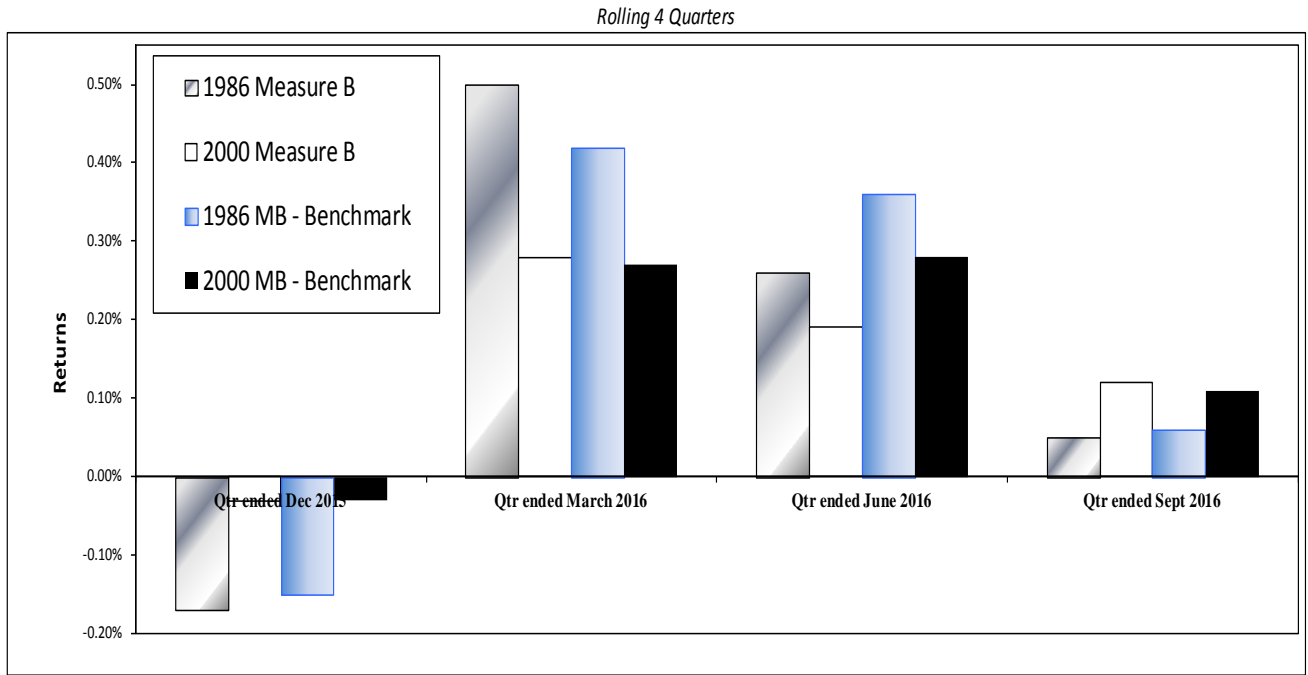
Budget Impact

The portfolio's performance is reported on a total economic return basis. This method includes the coupon interest, amortization of discounts and premiums, capital gains and losses and price changes (i.e., unrealized gains and losses) but does not include the deduction of management fees. For the quarter ending September 30, the 1986 Measure B portfolio returned **0.05%**. This compares to the benchmark return of **0.06%**. For the quarter ending September 30, the 2000 Measure B portfolio returned **0.12%**. This compares to the benchmark return of **0.11%**. The exhibit below shows the performance of the Alameda CTC's portfolios relative to their respective benchmarks.

The portfolio's yield to maturity, the return the portfolio will earn in the future if all securities are held to maturity is also reported. This calculation is based on the current market value of the portfolio including unrealized gains and losses. For the quarter ending September 30, the 1986 Measure B portfolio's yield to maturity or call was **0.73%**. The benchmark's yield to maturity was **0.65%**. For the quarter ending September 30, the 2000 Measure B portfolio's yield to maturity or call was **0.68%**. The benchmark's yield to maturity was **0.54%**.

Alameda CTC

Quarterly Review - Account vs. Benchmark



Trailing 12 Months	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	Sep-16	Trailing 12 Months
MONTHLY PERFORMANCE DATA													
1986 Measure B	-0.01%	-0.11%	-0.05%	0.26%	0.08%	0.16%	0.03%	-0.01%	0.24%	0.02%	-0.02%	0.05%	0.64%
2000 Measure B	0.01%	-0.04%	0.00%	0.12%	0.06%	0.10%	0.05%	0.00%	0.14%	0.04%	0.03%	0.05%	0.56%
Benchmark - 1986 MB ¹	-0.03%	-0.10%	-0.02%	0.28%	0.01%	0.13%	0.09%	-0.05%	0.32%	0.01%	-0.05%	0.10%	0.69%
Benchmark - 2000 MB ²	-0.01%	-0.04%	0.02%	0.17%	-0.01%	0.11%	0.10%	-0.02%	0.20%	0.03%	-0.01%	0.09%	0.63%

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

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

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

Bond Proceeds Portfolios

On March 4, 2014, in conjunction with the issuance of the Alameda County Transportation Commission Sales Tax Revenue Bonds, Series 2014, (the Series 2014 Bonds), Alameda CTC established both an **Interest Fund** and **Project Fund** at Union Bank of California, the Series 2014 Bond trustee. These portfolios were initially funded with \$108,944,688 in the Project Fund and \$20,335,856 in the Interest Fund, which was an amount net of the initial drawdown for bond related project costs incurred prior to closing.

As of September 30, 2016, \$108,817,090.28 had been distributed from the Project Fund and \$14,205,863.75 had been distributed from the Interest Fund. The quarter end values of the Project and Interest Funds, including unrealized gains and losses, were \$290,539.94 and \$6,382,892.31 respectively.

The portfolios were invested by buying allowable high grade fixed income securities. As of September 30, 2016 the average life of the cash flows for the Interest Fund was roughly **0.7** years while the average life of the cash flows of the Project Fund was anticipated to be approximately 1 week.

One way to measure the anticipated return of the portfolios is their *yield to maturity*. This is the return the portfolio will earn in the future if all securities are held to maturity. This calculation is based on the current market value of the portfolio. As of the end of the quarter the Interest Fund portfolio's yield to maturity was **0.63%** and the Project Fund portfolio's yield to maturity was **0.29%** (including the current yield on cash and cash equivalents). By comparison, an investment in a U.S. Treasury note of comparable average maturity at the end of the month would yield **0.52%** and **0.18%** respectively.

For the quarter ending September 30, 2016, the Alameda CTC Series 2014 Bonds Interest Fund and Project Fund portfolios were invested in compliance with the Bond Indenture dated February 1, 2014.

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTA 1986 Measure B
Account # N001
 September 30, 2016

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				10,464,672.01		10,464,672.01		10,464,672.01	9.14		0.0
	pendingcash	PENDING SETTLEMENT				408.98		408.98		408.98	0.00		0.0
						10,465,080.99		10,465,080.99		10,465,080.99	9.14		0.0
CORPORATE BONDS													
1,000,000.0000	191216bd1	COCA COLA CO	AA3	AA-	100.15	1,001,500.00	99.98	999,770.00	3,125.00	1,002,895.00	0.87	1.01	0.1
		0.750% Due 11-01-16											
1,000,000.0000	742718ed7	PROCTER & GAMBLE CO	AA3	AA-	100.23	1,002,270.00	100.01	1,000,077.00	3,062.50	1,003,139.50	0.87	0.67	0.1
		0.750% Due 11-04-16											
1,000,000.0000	478160bf0	JOHNSON & JOHNSON	AAA	AAA	100.13	1,001,290.00	100.01	1,000,051.00	2,391.67	1,002,442.67	0.87	0.67	0.2
		0.700% Due 11-28-16											
1,000,000.0000	25468pcs3	DISNEY WALT CO MTNS BE	A2	A	100.63	1,006,290.00	100.08	1,000,820.00	1,437.50	1,002,257.50	0.87	0.90	0.4
		1.125% Due 02-15-17											
1,000,000.0000	17275rak8	CISCO SYS INC	A1	AA-	103.34	1,033,370.00	101.00	1,009,975.00	1,487.50	1,011,462.50	0.88	0.95	0.5
		3.150% Due 03-14-17											
1,000,000.0000	94974bfd7	WELLS FARGO CO MTN BE	A2	A	101.77	1,017,700.00	100.43	1,004,320.00	8,341.67	1,012,661.67	0.88	1.38	0.6
		2.100% Due 05-08-17											
1,000,000.0000	037833bb5	APPLE INC	AA1	AA+	100.10	1,001,000.00	100.00	999,975.00	3,450.00	1,003,425.00	0.87	0.90	0.6
		0.900% Due 05-12-17											
1,500,000.0000	084664bs9	BERKSHIRE HATHAWAY FIN CORP	AA2	AA	101.35	1,520,175.00	100.34	1,505,115.00	9,066.67	1,514,181.67	1.31	1.05	0.6
		1.600% Due 05-15-17											
3,000,000.0000	91159hhd5	U S BANCORP MTNS BK ENT	A1	A+	101.52	3,045,480.00	100.29	3,008,736.00	18,700.00	3,027,436.00	2.63	1.18	0.6
		1.650% Due 05-15-17											
1,000,000.0000	89233p6d3	TOYOTA MTR CRD CORP MTN BE	AA3	AA-	101.32	1,013,200.00	100.49	1,004,915.00	6,270.83	1,011,185.83	0.88	0.98	0.6
		1.750% Due 05-22-17											
1,000,000.0000	88579yae1	3M CO	A1	AA-	100.35	1,003,500.00	100.06	1,000,611.00	2,638.89	1,003,249.89	0.87	0.92	0.7
		1.000% Due 06-26-17											
3,000,000.0000	03523tbn7	ANHEUSER BUSCH INBEV WORLDWIDE	A3	A-	100.78	3,023,430.00	100.22	3,006,600.00	8,708.33	3,015,308.33	2.63	1.09	0.8
		1.375% Due 07-15-17											
1,000,000.0000	911312ap1	UNITED PARCEL SERVICE INC	AA3	A+	100.33	1,003,320.00	100.12	1,001,210.00	5,625.00	1,006,835.00	0.87	1.00	1.0
		1.125% Due 10-01-17											
2,500,000.0000	713448db1	PEPSICO INC	A1	A	100.05	2,501,250.00	100.02	2,500,450.00	11,666.67	2,512,116.67	2.18	0.98	1.0
		1.000% Due 10-13-17											
2,500,000.0000	22160kae5	COSTCO WHSL CORP NEW	A1	A+	100.14	2,503,475.00	100.20	2,505,100.00	8,281.25	2,513,381.25	2.19	0.95	1.2
		1.125% Due 12-15-17											
2,500,000.0000	458140al4	INTEL CORP	A1	A+	100.55	2,513,750.00	100.31	2,507,805.00	9,937.50	2,517,742.50	2.19	1.09	1.2
		1.350% Due 12-15-17											
1,700,000.0000	05531fam5	BB&T CORPORATION	A2	A-	99.52	1,691,806.00	100.25	1,704,273.80	5,409.31	1,709,683.11	1.49	1.25	1.3
		1.450% Due 01-12-18											
1,000,000.0000	166764av2	CHEVRON CORP NEW	AA2	AA-	99.72	997,200.00	100.18	1,001,760.00	1,099.58	1,002,859.58	0.87	1.24	1.4
		1.365% Due 03-02-18											
2,500,000.0000	594918as3	MICROSOFT CORP	AAA	AAA	99.70	2,492,500.00	99.98	2,499,527.50	10,416.67	2,509,944.17	2.18	1.01	1.6
		1.000% Due 05-01-18											
						30,372,506.00		30,261,091.30	121,116.53	30,382,207.83	26.43	1.03	0.9
GOVERNMENT BONDS													
3,000,000.0000	3137eads5	FEDERAL HOME LN MTG CORP	AAA	AA+	100.45	3,013,500.00	100.02	3,000,519.00	12,177.08	3,012,696.08	2.62	0.43	0.0
		0.875% Due 10-14-16											

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTA 1986 Measure B
Account # N001
September 30, 2016

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
2,500,000.0000	3134g3s50	FEDERAL HOME LN MTG CORP 0.625% Due 11-01-16	AAA	AA+	100.00	2,500,000.00	100.02	2,500,587.50	6,510.42	2,507,097.92	2.18	0.35	0.1
2,900,000.0000	3135g0gy3	FEDERAL NATL MTG ASSN 1.250% Due 01-30-17	AAA	AA+	100.68	2,919,691.00	100.26	2,907,528.40	6,142.36	2,913,670.76	2.54	0.47	0.3
2,000,000.0000	3137eadc0	FEDERAL HOME LN MTG CORP 1.000% Due 03-08-17	AAA	AA+	100.62	2,012,340.00	100.23	2,004,592.00	1,277.78	2,005,869.78	1.75	0.48	0.4
1,000,000.0000	3135g0zb2	FEDERAL NATL MTG ASSN 0.750% Due 04-20-17	AAA	AA+	100.32	1,003,180.00	100.12	1,001,219.00	3,354.17	1,004,573.17	0.87	0.53	0.6
10,000,000.0000	912828k66	UNITED STATES TREAS NTS 0.500% Due 04-30-17	AAA	AA+	99.73	9,972,656.25	99.98	9,997,800.00	20,972.22	10,018,772.22	8.73	0.54	0.6
2,000,000.0000	3130a6sw8	FEDERAL HOME LOAN BANKS 1.000% Due 12-19-17	AAA	AA+	99.97	1,999,340.00	100.29	2,005,884.00	5,666.67	2,011,550.67	1.75	0.76	1.2
3,000,000.0000	912828hr4	UNITED STATES TREAS NTS 3.500% Due 02-15-18	AAA	AA+	105.50	3,164,882.82	103.76	3,112,851.00	13,416.67	3,126,267.67	2.72	0.74	1.3
2,000,000.0000	3137eadp1	FEDERAL HOME LN MTG CORP 0.875% Due 03-07-18	AAA	AA+	99.52	1,990,460.00	100.08	2,001,560.00	1,166.67	2,002,726.67	1.75	0.82	1.4
3,000,000.0000	912828qb9	UNITED STATES TREAS NTS 2.875% Due 03-31-18	AAA	AA+	104.16	3,124,921.89	103.16	3,094,686.00	239.58	3,094,925.58	2.70	0.75	1.5
2,500,000.0000	3130a4gj5	FEDERAL HOME LOAN BANKS 1.125% Due 04-25-18	AAA	AA+	100.02	2,500,500.00	100.49	2,512,150.00	12,187.50	2,524,337.50	2.19	0.81	1.5
6,000,000.0000	912828xa3	UNITED STATES TREAS NTS 1.000% Due 05-15-18	AAA	AA+	100.48	6,029,062.50	100.40	6,023,904.00	22,663.04	6,046,567.04	5.26	0.75	1.6
5,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	100.20	5,010,000.00	100.09	5,004,450.00	15,798.61	5,020,248.61	4.37	0.82	1.6
2,500,000.0000	912828qq6	UNITED STATES TREAS NTS 2.375% Due 05-31-18	AAA	AA+	103.19	2,579,687.50	102.66	2,566,602.50	19,956.60	2,586,559.10	2.24	0.76	1.6
5,000,000.0000	3137eabp3	FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18	AAA	AA+	106.92	5,346,000.00	106.81	5,340,690.00	73,125.00	5,413,815.00	4.66	0.84	1.6
5,000,000.0000	3135g0e33	FEDERAL NATL MTG ASSN 1.125% Due 07-20-18	AAA	AA+	100.57	5,028,500.00	100.50	5,025,050.00	11,093.75	5,036,143.75	4.39	0.84	1.8
3,000,000.0000	3130a8pk3	FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18	AAA	AA+	99.65	2,989,500.00	99.61	2,988,306.00	2,812.50	2,991,118.50	2.61	0.84	1.8
2,500,000.0000	912828re2	UNITED STATES TREAS NTS 1.500% Due 08-31-18	AAA	AA+	101.40	2,535,066.98	101.35	2,533,790.00	3,211.33	2,537,001.33	2.21	0.79	1.9
5,000,000.0000	3135g0ym9	FEDERAL NATL MTG ASSN 1.875% Due 09-18-18	AAA	AA+	102.08	5,104,000.00	102.04	5,102,020.00	3,385.42	5,105,405.42	4.46	0.83	1.9
5,000,000.0000	912828rh5	UNITED STATES TREAS NTS 1.375% Due 09-30-18	AAA	AA+	101.18	5,059,001.10	101.13	5,056,445.00	188.87	5,056,633.87	4.42	0.80	2.0
						73,882,290.04		73,780,634.40	235,346.23	74,015,980.63	64.43	0.71	1.3
TOTAL PORTFOLIO						114,719,877.03		114,506,806.69	356,462.76	114,863,269.45	100.00	0.73	1.1

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTIA 2000 Measure B
Account # N001UNBI
September 30, 2016

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				3,973,544.03		3,973,544.03		3,973,544.03	3.79		0.0
	pendingcash	PENDING SETTLEMENT				1,298.58		1,298.58		1,298.58	0.00		0.0
						3,974,842.61		3,974,842.61		3,974,842.61	3.79		0.0
CORPORATE BONDS													
2,934,000.0000	458140ah3	INTEL CORP	A1	A+	101.56	2,979,887.76	100.00	2,934,000.00	28,606.50	2,962,606.50	2.80	1.93	0.0
		1.950% Due 10-01-16											
1,250,000.0000	69353rcg1	PNC BK N A PITTSBURGH PA	A2	A	100.00	1,249,962.50	100.06	1,250,775.00	2,500.00	1,253,275.00	1.19	0.93	0.3
		1.125% Due 01-27-17											
1,500,000.0000	17275rat9	CISCO SYS INC	A1	AA-	100.35	1,505,280.00	100.04	1,500,601.50	1,283.33	1,501,884.83	1.43	1.00	0.4
		1.100% Due 03-03-17											
3,000,000.0000	87612eap1	TARGET CORP	A2	A	104.18	3,125,490.00	102.51	3,075,213.00	67,187.50	3,142,400.50	2.93	1.07	0.6
		5.375% Due 05-01-17											
1,000,000.0000	94974bfd7	WELLS FARGO CO MTN BE	A2	A	100.95	1,009,500.00	100.43	1,004,320.00	8,341.67	1,012,661.67	0.96	1.38	0.6
		2.100% Due 05-08-17											
1,000,000.0000	037833bb5	APPLE INC	AA1	AA+	100.08	1,000,790.00	100.00	999,975.00	3,450.00	1,003,425.00	0.95	0.90	0.6
		0.900% Due 05-12-17											
3,000,000.0000	717081dj9	PFIZER INC	A1	AA	100.28	3,008,490.00	100.07	3,002,211.00	12,466.67	3,014,677.67	2.86	0.98	0.6
		1.100% Due 05-15-17											
1,000,000.0000	91159hhd5	U S BANCORP MTNS BK ENT	A1	A+	100.56	1,005,590.00	100.29	1,002,912.00	6,233.33	1,009,145.33	0.96	1.18	0.6
		1.650% Due 05-15-17											
3,000,000.0000	89233p6d3	TOYOTA MTR CRD CORP MTN BE	AA3	AA-	100.82	3,024,690.00	100.49	3,014,745.00	18,812.50	3,033,557.50	2.88	0.98	0.6
		1.750% Due 05-22-17											
3,000,000.0000	03523bn7	ANHEUSER BUSCH INBEV WORLDWIDE	A3	A-	100.78	3,023,430.00	100.22	3,006,600.00	8,708.33	3,015,308.33	2.87	1.09	0.8
		1.375% Due 07-15-17											
1,000,000.0000	48126eaa5	JPMORGAN CHASE & CO	A3	A-	100.77	1,007,690.00	100.57	1,005,723.00	2,555.56	1,008,278.56	0.96	1.34	0.9
		2.000% Due 08-15-17											
1,500,000.0000	06406hce7	BANK NEW YORK MTN BK ENT	A1	A	100.29	1,504,380.00	100.22	1,503,328.50	3,575.00	1,506,903.50	1.43	1.13	1.3
		1.300% Due 01-25-18											
						23,445,180.26		23,300,404.00	163,720.39	23,464,124.39	22.23	1.17	0.6
GOVERNMENT BONDS													
10,000,000.0000	912828wf3	UNITED STATES TREAS NTS	AAA	AA+	100.18	10,017,578.10	100.05	10,005,080.00	23,611.11	10,028,691.11	9.55	0.22	0.1
		0.625% Due 11-15-16											
3,000,000.0000	31359m2d4	FEDERAL NATL MTG ASSN	AAA	AA+	103.98	3,119,349.00	100.94	3,028,059.00	43,062.50	3,071,121.50	2.89	0.38	0.2
		4.875% Due 12-15-16											
2,500,000.0000	912828rx0	UNITED STATES TREAS NTS	AAA	AA+	100.11	2,502,832.03	100.15	2,503,652.50	5,528.19	2,509,180.69	2.39	0.29	0.2
		0.875% Due 12-31-16											
5,000,000.0000	3137eadt3	FEDERAL HOME LN MTG CORP	AAA	AA+	100.24	5,011,945.00	100.16	5,007,955.00	4,739.58	5,012,694.58	4.78	0.47	0.4
		0.875% Due 02-22-17											
5,000,000.0000	313313ce6	FEDL FARM CRED BK CONS DISC NT	AAA	AA+	99.51	4,975,458.33	99.87	4,993,490.00	0.00	4,993,490.00	4.76	0.32	0.4
		0.000% Due 02-22-17											
3,000,000.0000	912828sm3	UNITED STATES TREAS NTS	AAA	AA+	100.28	3,008,320.32	100.25	3,007,500.00	82.42	3,007,582.42	2.87	0.50	0.5
		1.000% Due 03-31-17											
4,000,000.0000	3135g0zb2	FEDERAL NATL MTG ASSN	AAA	AA+	100.03	4,001,080.00	100.12	4,004,876.00	13,416.67	4,018,292.67	3.82	0.53	0.6
		0.750% Due 04-20-17											
4,000,000.0000	3135g0ja2	FEDERAL NATL MTG ASSN	AAA	AA+	100.37	4,014,813.76	100.31	4,012,460.00	19,250.00	4,031,710.00	3.83	0.58	0.6
		1.125% Due 04-27-17											

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
ACTIA 2000 Measure B
Account # N001UNBI
 September 30, 2016

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
1,300,000.0000	3130a5ep0	FEDERAL HOME LOAN BANKS 0.625% Due 05-30-17	AAA	AA+	99.75	1,296,711.00	100.02	1,300,222.30	2,730.90	1,302,953.20	1.24	0.60	0.7
5,000,000.0000	912828ng1	UNITED STATES TREAS NTS 2.750% Due 05-31-17	AAA	AA+	102.02	5,101,171.90	101.42	5,071,095.00	46,215.28	5,117,310.28	4.84	0.61	0.7
4,000,000.0000	313379dd8	FEDERAL HOME LOAN BANKS 1.000% Due 06-21-17	AAA	AA+	100.24	4,009,776.00	100.29	4,011,460.00	11,111.11	4,022,571.11	3.83	0.60	0.7
4,000,000.0000	3135g0zl0	FEDERAL NATL MTG ASSN 1.000% Due 09-27-17	AAA	AA+	100.32	4,012,960.00	100.32	4,012,848.00	444.44	4,013,292.44	3.83	0.67	1.0
5,000,000.0000	3137eadl0	FEDERAL HOME LN MTG CORP 1.000% Due 09-29-17	AAA	AA+	100.32	5,015,900.00	100.31	5,015,580.00	277.78	5,015,857.78	4.79	0.69	1.0
2,000,000.0000	3137eadx4	FEDERAL HOME LN MTG CORP 1.000% Due 12-15-17	AAA	AA+	100.35	2,007,000.00	100.34	2,006,890.00	5,888.89	2,012,778.89	1.92	0.71	1.2
1,200,000.0000	912828hr4	UNITED STATES TREAS NTS 3.500% Due 02-15-18	AAA	AA+	105.50	1,265,953.13	103.76	1,245,140.40	5,366.67	1,250,507.07	1.19	0.74	1.3
2,000,000.0000	912828q45	UNITED STATES TREAS NTS 0.875% Due 03-31-18	AAA	AA+	100.20	2,003,984.38	100.20	2,004,062.00	48.08	2,004,110.08	1.91	0.74	1.5
2,000,000.0000	3135g0wj8	FEDERAL NATL MTG ASSN 0.875% Due 05-21-18	AAA	AA+	100.14	2,002,700.00	100.09	2,001,780.00	6,319.44	2,008,099.44	1.91	0.82	1.6
2,000,000.0000	3137eabp3	FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18	AAA	AA+	106.92	2,138,400.00	106.81	2,136,276.00	29,250.00	2,165,526.00	2.04	0.84	1.6
2,000,000.0000	3130a8pk3	FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18	AAA	AA+	99.65	1,993,000.00	99.61	1,992,204.00	1,875.00	1,994,079.00	1.90	0.84	1.8
2,000,000.0000	912828re2	UNITED STATES TREAS NTS 1.500% Due 08-31-18	AAA	AA+	101.40	2,028,053.58	101.35	2,027,032.00	2,569.06	2,029,601.06	1.93	0.79	1.9
2,000,000.0000	3135g0ym9	FEDERAL NATL MTG ASSN 1.875% Due 09-18-18	AAA	AA+	102.08	2,041,600.00	102.04	2,040,808.00	1,354.17	2,042,162.17	1.95	0.83	1.9
3,000,000.0000	912828rh5	UNITED STATES TREAS NTS 1.375% Due 09-30-18	AAA	AA+	101.18	3,035,400.66	101.13	3,033,867.00	113.32	3,033,980.32	2.90	0.80	2.0
3,000,000.0000	912828rp7	UNITED STATES TREAS NTS 1.750% Due 10-31-18	AAA	AA+	102.00	3,059,892.87	101.93	3,058,008.00	21,970.11	3,079,978.11	2.92	0.81	2.0
						77,663,880.06		77,520,345.20	245,224.72	77,765,569.92	73.97	0.56	0.9
TOTAL PORTFOLIO						105,083,902.93		104,795,591.81	408,945.11	105,204,536.92	100.00	0.68	0.8

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
Interest Fund
Account # N001UNB2
 September 30, 2016

Quantity	Security Symbol	Security	Moody	S & P	Unit Cost	Total Cost	Price	Market Value	Accrued Interest	Total Market Value	Pct Assets	Yield To Mat	Duration
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				290,470.25		290,470.25		290,470.25	4.56		0.0
	pendingcash	PENDING SETTLEMENT				69.69		69.69		69.69	0.00		0.0
						290,539.94		290,539.94		290,539.94	4.56		0.0
CORPORATE BONDS													
1,000,000.0000	69353reg1	PNC BK N A PITTSBURGH PA	A2	A	100.06	1,000,550.00	100.06	1,000,620.00	2,000.00	1,002,620.00	15.70	0.93	0.3
		1.125% Due 01-27-17											
950,000.0000	478160aq7	JOHNSON & JOHNSON	AAA	AAA	115.02	1,092,709.00	104.07	988,694.45	6,737.08	995,431.53	15.52	0.87	0.9
		5.550% Due 08-15-17											
						2,093,259.00		1,989,314.45	8,737.08	1,998,051.53	31.22	0.90	0.6
GOVERNMENT BONDS													
1,800,000.0000	912828b74	UNITED STATES TREAS NTS	AAA	AA+	99.75	1,795,429.67	100.10	1,801,746.00	1,436.82	1,803,182.82	28.28	0.37	0.4
		0.625% Due 02-15-17											
1,540,000.0000	912828tm2	UNITED STATES TREAS NTS	AAA	AA+	98.58	1,518,163.28	99.97	1,539,579.58	824.24	1,540,403.82	24.16	0.65	0.9
		0.625% Due 08-31-17											
750,000.0000	912828ur9	UNITED STATES TREAS NTS	AAA	AA+	98.00	734,970.70	100.03	750,232.50	481.70	750,714.20	11.77	0.73	1.4
		0.750% Due 02-28-18											
						4,048,563.65		4,091,558.08	2,742.76	4,094,300.84	64.22	0.54	0.8
TOTAL PORTFOLIO						6,432,362.59		6,371,412.47	11,479.84	6,382,892.31	100.00	0.63	0.7

FIXED INCOME PORTFOLIO
Alameda County Transportation Commission
Project Fund
Account # N001UNB3
September 30, 2016

<u>Quantity</u>	<u>Security Symbol</u>	<u>Security</u>	<u>Moody</u>	<u>S & P</u>	<u>Unit Cost</u>	<u>Total Cost</u>	<u>Price</u>	<u>Market Value</u>	<u>Accrued Interest</u>	<u>Total Market Value</u>	<u>Pct Assets</u>	<u>Yield To Mat</u>	<u>Dur-ation</u>
CASH													
	61747c70s	MORGAN STANLEY GOVERNMENT INST				289,633.77		289,633.77		289,633.77	99.86		0.0
	pendingcash	PENDING SETTLEMENT				408.29		408.29		408.29	0.14		0.0
						290,042.06		290,042.06		290,042.06	100.00		0.0
TOTAL PORTFOLIO						290,042.06		290,042.06	0.00	290,042.06	100.00	0.00	0.0



Memorandum

6.8

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 23, 2016

SUBJECT: Alameda CTC FY2016-17 First Quarter Financial Report

RECOMMENDATION: Approve the Alameda CTC FY2016-17 First Quarter Financial Report.

Summary

The attached FY2016-17 First Quarter Financial Report has been prepared on a consolidated basis by governmental fund type including the General Fund, the I-580 Express Lanes Operations Fund, Special Revenue Funds, the Exchange Fund, the Debt Service Fund, and Capital Projects Funds. This report provides a summary of FY2016-17 actual revenues and expenditures through September 30, 2016 with comparisons to the year-to-date currently adopted budget. 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% indicate that the actual revenue or expenditure item is over 25% of the total annual budget through the first quarter of the fiscal year, and percentages under 100% indicate that the actual revenue or expenditure item is under 25% of the total annual budget through the first quarter of the fiscal year. At the end of the first quarter, the Alameda CTC is showing a net increase in fund balance in the amount of \$26.0 million mostly due to sales tax revenues received, but not yet spent primarily in the Capital Projects Funds.

Activity

The following are highlights of actual revenues and expenditures compared to budget as of September 30, 2016 by fund type:

General Fund

In the General Fund, the Alameda CTC's revenues are less than budget by \$0.75 million or 12.7%, and expenditures are under budget by \$1.6 million or 45.3% (see attachment A). These variances are mainly due to the timing of costs for the Safe Routes to School Programs and Transportation Planning activities which were less than anticipated through the first quarter of the fiscal year. Expenditures for the Safe Routes to School Program and Transportation Planning activities in the General Fund correspond directly to revenues as the

grant funds are received on a reimbursement basis; therefore, as expenditures increase through the end of the fiscal year, the revenues also will increase.

I-580 Express Lanes Operations Fund

The I-580 Express Lanes Operations Fund reports on the activity of the I-580 Express Lanes which opened for full operations on February 19, 2016. As of September 30, 2016, the I-580 Express Lanes Operations Fund revenues were more than budget by \$0.88 million or 73.6% and expenditures were less than budget by \$0.05 million or 4.8% which is very close to the projected budget (see attachment B).

Special Revenue Funds

The Special Revenue Funds group is made up of various Measure B and Measure BB Program subfunds including subfunds for express bus; paratransit service; bike and pedestrian; transit oriented development; transit operations, maintenance and safety including affordable transit programs; freight and economic development; community development; technology development; and direct local distributions as well as congestion management program funds including Transportation Fund for Clean Air (TFCA) funds and Vehicle Registration Fee (VRF) funds. In the Special Revenue Funds, revenues are more than budget by \$2.0 million or 4.3% mainly due to actual collections of both sales tax and VRF revenues which were slightly higher than projected in the budget (see attachment C). Expenditures in the Special Revenue Funds are \$4.1 million or 9.2% less than budget mostly attributable to the timing of discretionary programming versus invoices received on discretionary grants in the TFCA, VRF and sales tax funds which were lower than projected through the first quarter of the fiscal year. Many programming agreements cover multiple years so invoices are frequently received later in the agreement period.

Exchange Fund

As of September 30, 2016, Exchange Fund revenues were less than budget by \$1.4 million or 72.5% and expenditures also were less than budget by \$1.4 million or 73.8% (see attachment D). Budget in this fund is generally utilized on an as needed basis as exchanges are established to accommodate governmental agencies' needs. The recognition of revenue corresponds with the expenditures; therefore as expenditures increase, revenue also will increase.

Debt Service Fund

The Government Accounting Standards Board requires debt service, or principal and interest payments on bonds to be recorded when paid; per the bond documents, interest payments are required to be made to bondholders on a semi-annually basis on September 1 and March 1 of each year, and principal payments are required annually on March 1 of each year beginning in 2017. Expenditures appear to be under budget by 56.9%, however, the year-to-date budget amount represents 25% of the annual total principal and interest whereas the actual amount includes only one interest payment. Actual expenditures in the debt service fund will equal 100% of the budget by the end of

the fiscal year once all required principal and interest payments for the fiscal year have been made on March 1, 2017 (see attachment E).

Capital Projects Funds

The Capital Projects Funds incorporate all Alameda CTC capital projects whether they were originally projects of the Alameda County Transportation Improvement Authority (ACTIA) or 2000 Measure B, the Alameda County Transportation Authority (ACTA) or 1986 Measure B or the Alameda County Congestion Management Agency (ACCOMA) and now also includes 2014 Measure BB capital projects. Alameda CTC utilizes a rolling capital budget system in which any unused approved budget from prior years is available to pay for costs in subsequent fiscal years. Additional budget authority is requested by project only as needed in accordance with the budget process. The year to date budget amount used for comparisons is a straight line amortization of the total approved project budget including unspent funds rolled over from the prior year. Expenditures planned through September 30, 2016 in the budget process generally will differ from the straight line budgeted amount used for the comparison. However, presenting the information with this comparison helps financial report users, project managers, and the project control team to review year-to-date expenditures to give them an idea of how the project is progressing as compared to the approved budget.

In the Capital Projects Funds, the Alameda CTC's revenues are less than budget by \$44.6 million or 57.2% and expenditures are less than budget by \$37.4 million or 63.4% (see attachment F). Grant revenue corresponds directly to expenditures for capital projects. The following are some major factors contributing to project expenditure variances from budget.

1986 Measure B

The 1986 Measure B capital project expenditures were less than budget mostly related to the I-880 to Mission Blvd. East/West Connector project and the I-580 Interchange Improvements project in Castro Valley. The I-880 to Mission Blvd. East/West Connector project has major deliverables under review, and work is expected to commence once approval is obtained. The I-580 Interchange Improvements project is in the final closeout stage so budget is available for all expenditures through final closeout if needed.

2000 Measure B

2000 Measure B capital project expenditures were less than budget due in part to the I-680 Express Lane project which had expenditures below projections because there was a delay in execution of the final design contract while several adjacent projects were combined into one construction bid package. Also, there was a delay in the funding agreements on the Iron Horse Trail project which would authorize invoicing on the project. In addition, expenditures for the Route 84 Expressway project were under budget due to a delay in invoicing from Caltrans, although construction is in progress. These shortfalls as compared to budget were partially offset by expenditures for the Route 92/Clawiter-

Whitesell Interchange project which were over budget as the project is anticipated to be completed by the end of the year and the I-580 Corridor Improvements project which had expenditures over projections as the project is reaching the closeout stage.

2014 Measure BB

2014 Measure BB capital project expenditures were less than budget as the Measure BB program agreements are being executed which would authorize invoicing from agencies who were allocated initial grants funds in the Capital Investment Plan to develop a detailed project delivery strategy for their projects.

ACCMA

ACCMA capital project expenditures were less than budget partly due to the I-580 HOV/HOT/AUX Lanes, the I-880 Southbound HOV Lane and the I-80 Integrated Corridor Mobility projects which are in their close out stages so budget for these projects include all remaining contingency amounts through the life of the project. Expenditures for projects nearing closeout will vary when working with outside agencies such as Caltrans.

Limitations Calculations

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

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Alameda CTC General Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2016
- B. Alameda CTC I-580 Express Lanes Operations Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2016
- C. Alameda CTC Special Revenue Funds Revenues/Expenditures Actual vs. Budget as of September 30, 2016
- D. Alameda CTC Exchange Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2016
- E. Alameda CTC Debt Service Fund Revenues/Expenditures Actual vs. Budget as of September 30, 2016
- F. Alameda CTC Capital Projects Funds Revenues/Expenditures Actual vs. Budget as of September 30, 2016

Staff Contact

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

[Yoana Navarro](#), Accounting Manager

ALAMEDA COUNTY TRANSPORTATION COMMISSION
General Fund Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<u>REVENUES</u>				
Sales Tax Revenue	3,242,178	2,939,125	110.31	303,053
Investment Income	67,091	28,750	233.36	38,341
Member Agency Fees	348,705	348,705	100.00	-
Other Revenues	2	3,292	0.06	(3,290)
Regional/State/Federal Grants	1,351,936	1,858,687	72.74	(506,751)
Local and Other Grants	162,131	745,131	21.76	(583,000)
Total Revenues	<u>5,172,043</u>	<u>5,923,690</u>		<u>(751,647)</u>
<u>EXPENDITURES</u>				
<u>Administration</u>				
Salaries and Benefits	623,441	432,346	144.20	(191,095)
General Office Expenses	391,751	360,616	108.63	(31,135)
Travel Expense	454	7,875	5.77	7,421
Other Administration	368,443	582,013	63.30	213,570
Commission and Community Support	65,729	61,763	106.42	(3,966)
Contingency	-	47,500	0.00	47,500
<u>Planning</u>				
Salaries and Benefits	253,895	234,781	108.14	(19,114)
Planning Management and Support	5,595	157,987	3.54	152,392
Transportation Planning	85,452	720,944	11.85	635,492
Congestion Management Program	19,888	113,750	17.48	93,862
<u>Programs</u>				
Salaries and Benefits	131,355	98,779	132.98	(32,576)
Programs Management and Support	(13,044)	61,612	(21.17)	74,656
Safe Routes to School Programs	105,428	791,236	13.32	685,808
Other Programming	6,501	33,750	19.26	27,249
<u>Indirect Cost Recovery/Allocation</u>				
Indirect Cost Recovery from Capital, Spec Rev & Exch Funds	(49,546)	(57,953)	85.49	(8,407)
Total Expenditures	<u>1,995,341</u>	<u>3,646,999</u>		<u>1,651,658</u>
Net revenue over / (under) expenditures	<u>3,176,702</u>	<u>2,276,691</u>		

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
I-580 Express Lanes Operations Fund Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<u>REVENUES</u>				
Toll Revenues	2,080,162	1,200,000	173.35	880,162
Investment Income	3,464	-	0.00	3,464
Total Revenues	<u>2,083,626</u>	<u>1,200,000</u>		<u>883,626</u>
<u>EXPENDITURES</u>				
<u>Operations</u>				
Salaries and Benefits	31,872	56,044	56.87	24,172
Project Management and Support	47,517	78,750	60.34	31,233
Other Operating Expenditures	878,577	871,250	100.84	(7,327)
Total Expenditures	<u>957,966</u>	<u>1,006,044</u>		<u>48,078</u>
Net revenue over / (under) expenditures	<u>1,125,660</u>	<u>193,956</u>		

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
Special Revenue Fund Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<u>REVENUES</u>				
Sales Tax Revenue	43,910,198	42,170,702	104.12	1,739,496
Investment Income	69,666	43,750	159.24	25,916
VRF Funds	3,330,576	3,000,000	111.02	330,576
Other Revenues	2,353	7,813	30.12	(5,460)
Regional/State/Federal Grants	449,112	552,817	81.24	(103,705)
Local and Other Grants	569	1,941	29.31	(1,372)
Total Revenues	<u>47,762,474</u>	<u>45,777,023</u>		<u>1,985,451</u>
<u>EXPENDITURES</u>				
<u>Administration</u>				
General Office Expenses	1,053	750	140.41	(303)
Commission and Community Support	1,300	7,063	18.41	5,763
<u>Programs</u>				
Salaries and Benefits	275,391	357,918	76.94	82,527
Programs Management	548,990	724,500	75.77	175,510
VRF Programming and Other Costs	2,234,028	3,170,000	70.47	935,972
Measure B/BB Direct Local Distribution	37,064,217	35,741,643	103.70	(1,322,574)
Grant Awards	46,385	2,941,572	1.58	2,895,187
Other Programming	10,310	1,298,202	0.79	1,287,892
Total Expenditures	<u>40,181,674</u>	<u>44,241,648</u>		<u>4,059,974</u>
Net revenue over / (under) expenditures	<u>7,580,800</u>	<u>1,535,375</u>		

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
Exchange Fund Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<u>REVENUES</u>				
Investment Income	27,009	6,250	432.14	20,759
Exchange Program Funds	513,983	1,962,948	26.18	(1,448,965)
Total Revenues	<u>540,992</u>	<u>1,969,198</u>		<u>(1,428,206)</u>
<u>EXPENDITURES</u>				
Salaries & Benefits	8,156	15,661	52.08	7,505
Programs Management and Support	31,503	9,339	337.33	(22,164)
Programming of Funds	474,324	1,937,948	24.48	1,463,624
Total Expenditures	<u>513,983</u>	<u>1,962,948</u>		<u>1,448,965</u>
Net revenue over / (under) expenditures	<u>27,009</u>	<u>6,250</u>		

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
Debt Service Funds Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<u>REVENUES</u>				
Investment Income	23,101	18,750	123.21	4,351
Other Income	<u>5,192,500</u>	<u>5,192,500</u>	100.00	-
Total Revenues	<u>5,215,601</u>	<u>5,211,250</u>		<u>4,351</u>
<u>EXPENDITURES</u>				
Bond Interest Expense	<u>2,850,675</u>	<u>6,617,838</u>	43.08	<u>3,767,163</u>
Total Expenditures	<u>2,850,675</u>	<u>6,617,838</u>		<u>3,767,163</u>
Net revenue over / (under) expenditures	<u>2,364,926</u>	<u>(1,406,588)</u>		

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ALAMEDA COUNTY TRANSPORTATION COMMISSION
Capital Projects Funds Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
<u>REVENUES</u>				
Sales Tax Revenue	24,580,186	24,065,173	102.14	515,014
Investment Income	446,302	146,250	305.16	300,052
VRF Funds	(7,310)	671,726	(1.09)	(679,036)
Other Revenues	-	366	0.00	(366)
Regional/State/Federal Grants	1,734,648	5,442,631	31.87	(3,707,983)
Local and Other Grants	6,588,338	47,606,331	13.84	(41,017,993)
Total Revenues	<u>33,342,164</u>	<u>77,932,476</u>		<u>(44,590,312)</u>
<u>EXPENDITURES</u>				
Administration				
Salaries & Benefits	47,321	19,641	240.93	(27,680)
General Office Expenses	40,019	36,559	109.47	(3,461)
Travel Expense	151	875	17.31	724
Debt Service	5,192,500	5,192,500	100.00	0
Other Administration	84,625	42,113	200.95	(42,512)
Contingency	-	2,500	0.00	2,500
Capital Projects				
<u>1986 Measure B</u>				
Salaries and Benefits	18,390	37,252	49.37	18,862
Capital Expenditures	-	286,958	0.00	286,958
I-880/Mission Blvd Interchange	-	124,625	0.00	124,625
I-880 to Mission Blvd East-West Connector	40,901	5,333,509	0.77	5,292,608
Route 238/Mission-Foothill-Jackson Corridor Improve	-	35,500	0.00	35,500
I-580 Interchange Improvements in Castro Valley	-	3,424,231	0.00	3,424,231
Central Alameda County Freeway System Op. Analysis	19,246	250,149	7.69	230,903
Castro Valley Local Area Traffic Circulation Improvement	-	495,485	0.00	495,485
<u>2000 Measure B</u>				
Salaries and Benefits	36,673	47,512	77.19	10,838
Project Management/Close Out	108,475	-	0.00	(108,475)
ACE Capital Improvements	-	642,538	0.00	642,538
BART Warm Springs Extension	-	903,382	0.00	903,382
Downtown Oakland Streetscape	-	782,236	0.00	782,236
I-680 Express Lane	326,557	2,673,204	12.22	2,346,646
Iron Horse Trail	-	1,566,750	0.00	1,566,750
I-880/Broadway-Jackson Interchange	19,066	245,899	7.75	226,833
Lewelling/East Lewelling Blvd Widening	-	140,095	0.00	140,095
I-580 Auxiliary Lanes	-	308	0.00	308
I-580 Aux Lane-WB Fallon to Tassajara	-	1,803	0.00	1,803
I-580 Aux Lane-WB Airway to Fallon	-	344,761	0.00	344,761
Rte 92/Clawiter -Whitesell Interchange	2,082,449	925,000	225.13	(1,157,449)
Hesperian Blvd/Lewelling Blvd Widening	-	149,906	0.00	149,906
Westgate Parkway Extension	17,693	105,742	16.73	88,049
E. 14th/Hesperian/150th Improvements	-	505,144	0.00	505,144
I-238 Widening	-	19,960	0.00	19,960
I-680/I-880 Cross Connector Study	(508)	92,875	(0.55)	93,383
Isabel Avenue - 84/I-580 Interchange	7,527	419,250	1.80	411,723
Route 84 Expressway	1,235,786	3,181,118	38.85	1,945,332
Dumbarton Corridor - Central Avenue Overpass	-	662,500	0.00	662,500
I-580 Corridor Improvements	3,834,084	1,408,608	272.19	(2,425,476)
I-80 Integrated Corridor Mobility	(1,383)	41,260	(3.35)	42,643
I-880 Corridor Improvements in Oakland and San Leandro	-	425,530	0.00	425,530
Studies at Congested Seg/Loc on CMP	-	68,953	0.00	68,953
<u>2014 Measure BB</u>				
Salaries and Benefits	7,641	10,080	75.80	2,439

ALAMEDA COUNTY TRANSPORTATION COMMISSION
Capital Projects Funds Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
Alameda to Fruitvale BART Rapid Bus	-	25,000	0.00	25,000
Grand/MacArthur BRT	-	25,000	0.00	25,000
College/Broadway Corridor Transit Priority	-	25,000	0.00	25,000
Irvington BART Station	-	25,000	0.00	25,000
Bay Fair Connector/BART METRO	-	25,000	0.00	25,000
BART Station Modernization and Capacity Program	-	25,000	0.00	25,000
BART to Livermore Extension, Phase 1	-	6,250	0.00	6,250
Dumbarton Corridor Area Transportation Improvements	-	25,000	0.00	25,000
Union City Intermodal Station	-	25,000	0.00	25,000
Railroad Corridor Right of Way Preservation and Track Improvements	-	25,000	0.00	25,000
Oakland Broadway Corridor Transit	-	25,000	0.00	25,000
Capitol Corridor Service Expansion	-	25,000	0.00	25,000
Congestion Relief, Local Bridge Seismic Safety	42,168	5,025,000	0.84	4,982,832
Countywide Freight Corridors	205,645	1,187,500	17.32	981,855
I-80 Gilman Street Interchange Improvements	184,269	425,385	43.32	241,115
I-80 Ashby Interchange Improvements	-	25,000	0.00	25,000
SR-84/I-680 Interchange and SR-84 Widening	-	1,000,000	0.00	1,000,000
SR-84 Expressway Widening (Pigeon Pass to Jack London)	99,237	-	0.00	(99,237)
I-580/I-680 Interchange Improvements	-	25,000	0.00	25,000
I-580 Local Interchange Improvement Program	-	75,000	0.00	75,000
I-680 HOT/HOV Lane from SR-237 to Alcosta	215,381	500,000	43.08	284,619
I-880 NB HOV/HOT Extension from A Street to Hegenberger	-	25,000	0.00	25,000
I-880 Broadway/Jackson Multimodal Transportation and Circulation Improvements	-	6,250	0.00	6,250
I-880 Whipple Road/Industrial Parkway Southwest Interchange Improvements	-	25,000	0.00	25,000
I-880 Industrial Parkway Interchange Improvements	-	25,000	0.00	25,000
I-880 Local Access and Safety Improvements	-	2,512,500	0.00	2,512,500
Gap Closure on Three Major Trails	190,302	849,893	22.39	659,591
ACCMA				
Salaries and Benefits	5,163	27,307	18.91	22,145
I-580 San Leandro Soundwall/Landscape	663	9,456	7.02	8,792
Grand MacArthur	-	5,380	0.00	5,380
I-680 HOT Lane	51,802	714,416	7.25	662,613
I-680 Northbound HOV / Express Lane	1,311,398	2,206,689	59.43	895,291
I-80 Gilman Interchange Improvements	78,868	484,411	16.28	405,543
Smart Corridors Operation and Maintenance	(10,361)	634,791	(1.63)	645,152
Caldecott Tunnel	793,564	655,415	121.08	(138,149)
I-880 North Safety & Op Improv 23rd&29th	161,632	1,021,567	15.82	859,934
I-580 Eastbound HOV Lane	-	667	0.00	667
I-580 Environmental Mitigation	-	49,299	0.00	49,299
I-580 Eastbound Express (HOT) Lane	(7,745)	539,634	(1.44)	547,379
I-580 Eastbound Auxiliary (AUX) Lane	17,226	1,242,320	1.39	1,225,094
I-580 Right of Way Preservation	-	146,333	0.00	146,333
I-580 Westbound HOV Lane	10,375	574,230	1.81	563,855
I-580 Westbound HOT Lane	3,855,401	1,961,672	196.54	(1,893,729)
Altamont Commuter Express Operations	925	9,829	9.41	8,904
Altamont Commuter Express	-	425,102	0.00	425,102
I-880 Southbound HOV Lane	430,992	2,107,028	20.45	1,676,036
I-880 Southbound HOV Lane Landscaping/Hardscaping	-	162,980	0.00	162,980
Webster Street Smart Corridor	885	16,738	5.29	15,853
Marina Boulevard/I-880 PSR	-	2,419	0.00	2,419
I-680/880 Cross Connector PSR	-	85,123	0.00	85,123
I-680 SB HOV Lane	-	963,409	0.00	963,409
Route 84 Widening Project - Pigeon Pass to Interstate 680	645,817	440,692	146.55	(205,125)

ALAMEDA COUNTY TRANSPORTATION COMMISSION
Capital Projects Funds Revenues/Expenditures
September 30, 2016

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable (Unfavorable) Variance</u>
I-80 Integrated Corridor Mobility	189,441	1,893,887	10.00	1,704,446
Total Expenditures	<u>21,590,261</u>	<u>59,014,876</u>		<u>37,424,615</u>
Net revenue over / (under) expenditures	<u>11,751,903</u>	<u>18,917,601</u>		

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Memorandum

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1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

DATE: November 23, 2016

SUBJECT: Alameda CTC Staff and Retiree Benefits for Calendar Year 2017

RECOMMENDATION: Approve the Alameda CTC Staff and Retiree Benefits for Calendar Year 2017 and adopt Resolution No. 16-009 for Calendar Year 2017 Benefits for Staff Members.

Summary

The Administrative Code calls for the Executive Director to prepare and submit an annual salary 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 2017. The Executive Director intends to bring a plan for FY2017-18 salaries to the Commission for approval at a later date. The calendar year 2017 benefits outlined in Resolution 16-009 includes: holiday, vacation and sick leave policies, health insurance and other benefits for staff members. The calendar year 2017 benefits generally remain unchanged from Resolution 15-009, which was approved by the Commission in December 2015. Key changes in this calendar year's benefits include:

1. A decrease in the Cafeteria Plan benefit allowance of 1.5% from \$2,128 to \$2,097 for active employees; and
2. An increase in the Public Employees' Medical and Hospital Care Act (PEMHCA) monthly minimum required contribution of 2.4% from \$125 to \$128.

Background

The attached Resolution No. 16-009 (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 2017 calendar year is reimbursed to retirees through the Health Reimbursement Arrangement (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 (\$128 per month in 2017). 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 2017 is \$1,339 per retiree per month (\$1,466.78 Kaiser Bay Area +1 Rate, less \$128 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: There is no significant fiscal impact to the approval of this item.

Attachments

A. Resolution No. 16-009 Calendar Year 2017 Benefits for Staff Members

Staff Contact

[Arthur L Dao](#), Executive Director



ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION 16-009

Calendar Year 2017 Benefits for Staff Members

Commission Chair
Supervisor Scott Haggerty, District 1

Commission Vice Chair
Councilmember Rebecca Kaplan,
City of Oakland

AC Transit
Director Elsa Ortiz

Alameda County
Supervisor Richard Valle, District 2
Supervisor Wilma Chan, District 3
Supervisor Nate Miley, District 4
Supervisor Keith Carson, District 5

BART
Director Thomas Blalock

City of Alameda
Mayor Trish Spencer

City of Albany
Mayor Peter Maass

City of Berkeley
Councilmember Laurie Capitelli

City of Dublin
Mayor David Haubert

City of Emeryville
Mayor Ruth Atkin

City of Fremont
Mayor Bill Harrison

City of Hayward
Mayor Barbara Halliday

City of Livermore
Mayor John Marchand

City of Newark
Councilmember Luis Freitas

City of Oakland
Councilmember Dan Kalb

City of Piedmont
Mayor Margaret Fujioka

City of Pleasanton
Mayor Jerry Thome

City of San Leandro
Mayor Pauline Russo 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 15-009, thereby establishing a consistent set of benefits and leave policies, and this Resolution is intended to supersede and replace such Resolution 15-009; and

NOW, THEREFORE, BE IT RESOLVED that the employment benefits for staff of Alameda CTC for January 1, 2017 through December 31, 2017, are hereby adopted, and are herein set forth.

1. Appointment and Performance Management

1.1 Original appointments of new employees shall be tentative and subject to a probationary period of one (1) year of actual service.

1.1.1 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.

1.1.2 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.

- 1.1.3 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.
- 1.1.4 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.
- 1.1.5 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.
- 1.2 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.
- 1.3 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.

2. Holidays

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

New Year's Day	-	January 2, 2017, Monday
Martin Luther King Day	-	January 16, 2017, Monday
Presidents' Day	-	February 20, 2017, Monday
Memorial Day	-	May 29, 2017, Monday
Independence Day	-	July 4, 2017, Tuesday
Labor Day	-	September 4, 2017, Monday
Veterans Day	-	November 10, 2017, Friday
Thanksgiving Day	-	November 23, 2017, Thursday
Day after Thanksgiving	-	November 24, 2017, Friday
Christmas Day	-	December 25, 2017, Monday
Day after Christmas	-	December 26, 2017, Tuesday
- 2.2 **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.
- 2.3 **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.
- 2.4 **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.
- 2.5 **Administrative Procedure.** The Executive Director shall establish holiday procedures governing employees of Alameda CTC.

3. Leaves of Absence

3.1 Vacation

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

Accrual Rates Based on Years of Service:

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

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

3.1.2 **Maximum Vacation Benefits.** Once an employee reaches the maximum accrual, the employee will cease accruing any additional vacation leave until such time as vacation leave hours fall below the maximum.

3.1.3 **Payment of Vacation upon Separation.** Accrued vacation pay that has not been used will be paid at the time of resignation or termination. An employee terminating employment with Alameda CTC for reasons other than paid retirement from Alameda CTC shall be paid at such employee's current rate of pay for all unused accrued vacation up to the maximum amount of permissible accumulated vacation time as set forth above, in one (1) lump sum less applicable taxes. An employee separating from service with Alameda CTC for paid retirement will be paid at the employee's current rate of pay for vacation up to the ceiling amount as set forth above, in one lump sum. At the Executive Director's discretion, Alameda CTC may allow an employee separating from service with Alameda CTC for paid retirement to elect to take time off for vacation prior to the employee's date of retirement.

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

3.3 **Sick Leave.** Regular employees (including probationary employees) shall receive sick leave, accumulating at the rate of one day per calendar month up to four

hundred eighty (480) hours (prorated for part-time employees based on actual hours worked). Up to sixty (60) days of accrued but unused sick leave may be used toward service credit for CalPERS retirement benefits. Sick leave is available only for the actual illness or injury of an employee or the employee's spouse, registered domestic partner, children, parents, or other dependents.

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

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

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

- 3.5 **Leave Due to Pregnancy, Child Birth or Related Conditions.** Alameda CTC shall comply with California's Pregnancy Disability Leave Law. Employees may, but are not required to, utilize accrued vacation and sick leave during any pregnancy leave so as to receive pay during some or all such leave.
- 3.6 **Military Leave.** Military leave shall be granted in accordance with federal and state law.
- 3.7 **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.
- 3.8 **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.

- 3.9 **Administrative Procedure.** The Executive Director shall establish specific guidelines and procedures to implement all of the leave policies.

4. **Health Insurance and Other Benefits**

- 4.1 **Cafeteria Plan.** Alameda CTC provides a Cafeteria Plan for its eligible employees, into which Alameda CTC will pay \$2,097 per month per employee. This amount is in addition to the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum required contribution of \$128. 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.

5. **Additional Benefits Programs**

- 5.1 **Transit Subsidy.** All regular full-time employees of Alameda CTC are eligible for the federally approved transit benefit for 2017 (elected to be received by the employee).

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

6. **Other benefits.** Alameda CTC will also provide: (1) A Flexible Spending Account (FSA) program which will be administered through the cafeteria plan for both dependent care expense up to \$5,000 per calendar year and medical expenses up to \$2,600 per calendar year consistent with the new IRS limit for 2017. To participate in and receive benefits in the form of reimbursements for dependent and/or medical care expenses from the FSA, an employee can elect to pay his or her contribution for FSA benefits on a pre-tax salary reduction basis; and, (2) an optional deferred compensation program, CalPERS 457 Supplemental Income Plan
7. **Administrative Procedure.** The Executive Director shall establish specific guidelines and procedures to implement all benefit policies.
8. **Retirement.** All employees of Alameda CTC shall be entitled to membership with the California Public Employees' Retirement System (CalPERS) according to the guidelines established in the CalPERS Retirement Benefits Policy and the applicable contract with CalPERS. Alameda CTC shall contribute to CalPERS each pay period 5% of the 8% employee contribution on behalf of all "Classic" employees (Classic employees are those hired before January 1, 2013). Such contribution shall be reported to CalPERS as "employee contribution being made by the contracting agency" and shall not be deemed to be "compensation" reportable to CalPERS. This same benefit is not provided for new employees hired on or after January 1, 2013 per the requirements of the Public Employees' Pension Reform Act of 2013 (AB340).
9. **Reimbursement of Expenses.** Alameda CTC will reimburse employees of the Agency for reasonable and normal expenses associated with Alameda CTC business approved by the Executive Director or his designee. An employee may be offered a fixed taxable monthly allowance in lieu of actual expenses, which may be adjusted annually by the Executive Director.
10. **Office Hours.** The offices of Alameda CTC shall be open to the public between 8:30 a.m. and 5:00 p.m. each weekday, except on Alameda CTC holidays as defined in Paragraph 2.1. Employees are required to be at Alameda CTC's offices during business hours Monday through Friday.
11. All provisions of this Resolution shall be effective and pertain to all employees of Alameda CTC as of the date of hire of the employee, or January 1, 2017, whichever is later, unless otherwise provided.
12. The Executive Director is authorized to execute the necessary contracts for the benefits and insurance coverage described herein.
13. This resolution is intended to and shall replace and supersede in its entirety that certain Resolution 15-009 adopted by the Commission on December 4, 2015.

Duly passed and adopted by the Alameda CTC at the regular meeting of the Commission held on Thursday, December 1, 2016, in Oakland, California by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

Rebecca Kaplan, Chairperson

Vanessa Lee, Clerk of the Commission



Memorandum

6.10

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

DATE: November 23, 2016

SUBJECT: Alameda CTC Annual Local Business Contract Equity Program Utilization Report for FY2015-16

RECOMMENDATION: Approve the Annual Local Business Contract Equity Program Utilization Report for payments processed between July 1, 2015 and June 30, 2016.

Summary

This report provides an update of business utilization on active professional services and construction contracts awarded and administered by the Commission and sponsoring agencies in fiscal year 2015-2016 (FY2015-16). Business utilization is reported for Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), and Very Small Local Business Enterprise (VSLBE) firm participation on locally-funded contracts subject to the Local Business Contract Equity (LBCE) Program that were awarded and administered by the Commission. Utilization data is also included for locally-funded contracts that are exempt from the LBCE Program due to having additional state, regional, or non-local funds, or being less than \$50,000 in contract value. Additionally, an update on the Local Business Contract Equity (LBCE) Program certification activities within the same timeframe is presented for informational purposes only.

Local Business Contract Equity Program Summary

For contracts subject to the LBCE Program, historical data over the past eight years reveals that a total of \$60.9 million or 86% of contract payments went to certified LBE firms, while \$29.8 million or 42% of contract payments went to certified SLBE firms, substantially exceeding LBCE Program goals (see Attachment B - Local Business Contract Equity Program Goals Attainment Summary for Contracts with LBCE Program Goals – FY2008-09 to FY2015-16). In the current reporting period there were a total of 22 active professional services contracts with LBCE Program goals. On these contracts, 92% of payments (\$5.7 million) went to certified LBE firms and 27% of payments (\$1.7 million) went to certified SLBE firms. There were no active construction contracts funded with local funds in FY2015-16. While the LBCE Program goal of 30% SLBE was nearly met (short by less than 3%) during this reporting period, the LBE goal of 70% was exceeded by 21% in FY2015-16. This information is shown in the following Table 1 .

TABLE 1 – Contracts with LBCE Program Goals Goals = 70% for LBE; 30% for SLBE					
Contract Type	Number of Contracts	Payments in FY2015-16 (July 1, 2015 through June 30, 2016)			
		Payment Amount	LBE %	SLBE %	VSLBE %
Professional Services	22	\$6,219,416	92%	27%	18%
Construction	0	\$0	n/a	n/a	n/a
All Industries	22	\$6,219,416	92%	27%	18%

There were 23 active contracts exempt from the LBCE Program in this reporting period, of which 21 were in the professional services category and 2 were in the construction category. For contracts exempt from LBCE Program goals, in aggregate, approximately 37% of payments (\$3,044,258) went to LBE certified firms and 3% of payments (\$246,832) went to SLBE certified firms. This information is shown in Table 2 below.

TABLE 2 – Contracts Exempt from LBCE Program Goals					
Contract Type	Number of Contracts	Payments in FY2015-16 (July 1, 2015 through June 30, 2016)			
		Payment Amount	LBE %	SLBE %	VSLBE %
Professional Services	21	\$6,710,571	45%	4%	0%
Construction	2	\$1,517,154	0%	0%	0%
All Industries	23	\$8,227,725	37%	3%	0%

Background

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

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

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

federal dollars. In January 2008, a Revised LBE/SLBE Program was adopted and renamed as the Local Business Contract Equity (LBCE) Program.

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

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

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

Reporting Process

Data collection on all active and open contracts began on July 1, 2016, by surveying prime contractors and subcontractors for verification of payment amounts and other invoice details. For the current reporting period, 161 payment verification survey forms were sent to prime and subcontractors. Approximately 82% of the prime and subcontractors responded by completing and submitting survey forms.

Staff utilized a method of reporting similar to the prior period, July 1, 2014 through June 30, 2015, which included an automated summary report of processed payments by vendor and LBCE Program utilization report generated from an in-house database.

The participation data and statistics, which serve as a basis for this report, have been independently reviewed and verified by L. Luster & Associates, Inc. As stated in the attached memorandum from L. Luster and Associates, Inc., this report was found to be materially accurate and complete. (See Attachment C – Letter of Independent Review of Alameda CTC's Contract Equity Annual Utilization Report for the Period of July 1, 2015 through June 30, 2016).

Certification Update

Table 3 – Certified Firms by Contract Types				
Contract Type	LBE¹	SLBE²	VSLBE	# of Firms Certified this Reporting Period
Professional Services	86	54	40	86
Commodities/Vendors	13	9	5	13
Construction	37	25	8	37
Total	136	88	53	136

¹ Includes SLBE and VSLBE certified firms

² Includes VSLBE certified firms

Fiscal Impact: There is no fiscal impact.

Attachments

- A. FY2015-16 Contract Equity Utilization Report
- B. Local Business Contract Equity Program Goals Attainment Summary for Contracts with LBCE Program Goals – FY2008-09 to FY2015-16
- C. Letter of Independent Review of Alameda CTC's Contract Equity Annual Utilization Report for the Period of July 1, 2015 through June 30, 2016

Staff Contact

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



Contract Equity Utilization Report

Fiscal Year: 2016

6.10A

Current Reporting Period Start Date: 7/1/2015

End Date: 6/30/2016

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

Contract Type: PSA (Professional Services Agreement)

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

2001-05 - Parsons Brinckerhoff Quade & Douglas, In	\$13,115,000.00	\$13,093,105.48	\$137,100.49	100.00%	0.00%	0.00%	0.00%	94.92%	31.58%	0.00%	0.00%
A05-0004 - URS Corporation	\$15,750,000.00	\$15,064,944.57	\$505,811.85	81.64%	9.03%	4.41%	0.08%	91.21%	29.30%	5.86%	0.00%
A10-0026 - HQE, Inc.	\$1,055,659.00	\$1,050,026.22	\$9,210.60	100.00%	100.00%	100.00%	100.00%	100.00%	61.79%	60.91%	61.79%
A11-0034 - WMH Corporation	\$7,261,365.54	\$7,261,362.52	\$751,074.93	87.59%	80.82%	80.82%	0.00%	95.79%	60.77%	57.16%	3.61%
A11-0058 - Vavrinek, Trine, Day & Co., LLP	\$377,500.00	\$296,500.00	\$76,000.00	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A12-0035 - The PFM Group	\$300,000.00	\$18,793.58	\$2,200.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0004 - GenSpring Family Offices	\$470,000.00	\$223,897.19	\$83,885.60	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0026 - Cambridge Systematics	\$1,449,833.64	\$1,449,833.64	\$621,506.34	100.00%	2.75%	2.75%	0.00%	100.00%	2.06%	2.06%	0.00%
A13-0089 - Parsons Brinckerhoff	\$1,500,000.00	\$1,462,671.09	\$540,960.13	87.91%	17.95%	17.95%	15.43%	92.83%	14.59%	14.59%	9.46%
A14-0002 - MV Transportation, Inc.	\$140,000.00	\$45,434.98	\$20,390.33	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A14-0011 - Fehr & Peers Associates	\$799,999.00	\$792,048.58	\$333,461.90	100.00%	13.36%	13.36%	0.00%	100.00%	22.24%	22.24%	8.56%
A14-0018 - L. Luster & Associates	\$300,000.00	\$282,385.00	\$187,417.50	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%
A14-0021 - Kittelson & Associates, Inc.	\$75,000.00	\$51,820.56	\$19,619.44	100.00%	10.24%	10.24%	0.00%	100.00%	16.67%	16.67%	0.00%
A14-0023 - Nelson/Nygaard Consulting Associates	\$760,500.00	\$696,775.29	\$301,487.78	100.00%	34.46%	0.00%	0.00%	99.62%	30.98%	0.00%	0.00%
A14-0024 - Koff & Associates Inc	\$60,000.00	\$31,733.55	\$935.00	100.00%	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%
A14-0051 - HNTB	\$4,900,000.00	\$1,194,746.43	\$1,154,117.44	95.70%	33.42%	9.81%	35.02%	95.84%	32.64%	9.63%	34.06%
A14-0052 - AECOM Technical Services, Inc.	\$4,640,624.00	\$1,996,242.60	\$512,625.94	100.00%	5.30%	0.00%	0.00%	100.00%	12.94%	0.00%	0.00%
A14-0077 - ComputerWorks NFP Solutions	\$73,000.00	\$55,654.52	\$46,104.52	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A15-0009 - Koff & Associates Inc	\$75,000.00	\$47,801.64	\$47,641.64	100.00%	100.00%	0.00%	100.00%	100.00%	100.00%	0.00%	100.00%
A15-0044 - Novani, LLC	\$70,500.00	\$19,500.00	\$14,625.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A16-0027 - Nelson/Nygaard Consulting Associates	\$2,000,000.00	\$364,890.29	\$131,856.86	100.00%	5.50%	0.00%	5.50%	100.00%	18.78%	0.00%	18.78%
AA07-0001 - TY Lin International/CCS	\$19,684,919.00	\$16,208,198.47	\$721,383.03	88.92%	14.71%	0.00%	0.00%	81.36%	21.86%	0.00%	0.00%

Total PSA (Professional Services Agreement) - Goal Requirements for LBCE (70% for LBE and 30% for SLBE)

\$74,858,900.18 \$61,708,366.20 \$6,219,416.32 91.51% 27.15% 17.70% 11.89% 90.61% 30.59% 10.58% 1.20%

Exempt from Goal Requirements

A07-011.BKF.PH2 - BKF	\$15,350,780.00	\$15,298,666.62	\$402,312.35	100.00%	8.95%	0.00%	8.95%	98.15%	24.27%	0.00%	9.02%
A09-028 - Novani, LLC	\$293,900.00	\$292,955.00	\$5,713.00	0.00%	0.00%	0.00%	40.92%	0.00%	0.00%	0.00%	96.93%
A10-0008 - S&C Engineers	\$1,990,750.00	\$1,991,572.10	\$93,271.81	100.00%	100.00%	0.00%	0.00%	86.31%	85.91%	0.00%	0.00%
A10-010 - Harris & Associates	\$197,000.00	\$195,882.75	\$9,200.00	0.00%	0.00%	0.00%	0.00%	0.68%	0.68%	0.00%	0.68%
A11-0038 - Delcan Corporation	\$7,375,523.00	\$4,331,335.31	\$1,047,240.49	0.00%	0.00%	0.00%	0.00%	6.43%	0.00%	0.00%	0.00%
A11-0039 - Kimley-Horn and Associates, Inc.	\$2,696,870.00	\$2,023,299.42	\$647,142.30	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%
A12-0027 - Nelson/Nygaard Consulting Associates	\$350,970.00	\$271,094.46	\$26,526.36	100.00%	0.00%	0.00%	0.00%	95.99%	0.00%	0.00%	0.00%



Contract Equity Utilization Report

Fiscal Year: 2016

Current Reporting Period Start Date: 7/1/2015

End Date: 6/30/2016

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)				
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE	
A12-0028 - Aegis ITS, Inc.	\$1,050,000.00	\$334,170.85	\$78,068.48	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0016 - Platinum Advisors, LLC	\$300,000.00	\$200,000.00	\$60,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0017 - CJ Lake, LLC	\$315,000.00	\$192,975.88	\$57,784.62	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A13-0092 - ETC - Electronic Transaction Consultants	\$3,337,500.00	\$3,305,249.35	\$2,007,727.08	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A14-0001 - Wilson, Sparling & Associates, Inc.	\$999,519.00	\$564,601.73	\$353,890.83	16.66%	0.00%	0.00%	0.49%	14.61%	0.00%	0.00%	0.00%	0.49%
A14-0049 - Alameda County Public Works Agency	\$100,000.00	\$57,057.34	\$40,394.56	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A14-0060 - Fehr & Peers Associates	\$14,900.00	\$14,839.92	\$14,839.92	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%
A15-0033 - Kittelson & Associates, Inc.	\$15,595.00	\$13,731.32	\$13,731.32	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%
A15-0035 - WMH Corporation	\$10,225,405.00	\$4,202,991.48	\$1,748,680.09	100.00%	6.97%	0.00%	2.59%	100.00%	7.44%	0.00%	2.18%	0.00%
A15-0041 - East Bay Bicycle Coalition	\$24,999.00	\$24,999.00	\$24,999.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A15-0042 - Van Iwaarden Associates	\$5,800.00	\$5,800.00	\$5,800.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A16-0001 - Roberts Consulting Group, Inc.	\$25,000.00	\$25,000.00	\$25,000.00	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A99-0003 - Parsons Brinckerhoff	\$8,340,000.00	\$8,009,285.00	\$45,750.59	72.73%	0.00%	0.00%	0.00%	82.54%	16.81%	0.02%	0.00%	0.00%
ACTC_A10-013 - Alameda County Public Works Agency	\$215,000.00	\$210,532.21	\$2,498.25	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total PSA (Professional Services Agreement) - Exempt from Goal Requirements												
	\$53,224,511.00	\$41,566,039.74	\$6,710,571.05	45.28%	3.74%	0.00%	1.27%	72.71%	17.04%	0.00%	0.21%	
Total PSA (Professional Services Agreement)												
	\$128,083,411.18	\$103,274,405.94	\$12,929,987.37	67.52%	15.00%	8.51%	6.38%	83.41%	25.14%	6.33%	0.80%	

Contract Type: CC (Construction Contract)

Exempt from Goal Requirements												
A11-0026 - Steiny & Company, Inc.	\$11,259,616.36	\$10,760,451.29	\$428,994.48	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
A12-0019 - Telegra, Inc.	\$4,540,542.82	\$4,275,910.91	\$1,088,159.35	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total CC (Construction Contract) - Exempt from Goal Requirements												
	\$15,800,159.18	\$15,036,362.20	\$1,517,153.83	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total CC (Construction Contract)												
	\$15,800,159.18	\$15,036,362.20	\$1,517,153.83	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Contract Type: PSFA (Project Specific Funding Agreement)

Exempt from Goal Requirements												
2003-02 - City of Oakland	\$6,358,000.00	\$3,243,088.41	\$689,546.72	0.00%	0.00%	0.00%	0.00%	13.12%	10.94%	0.00%	0.00%	0.00%



Contract Equity Utilization Report

Fiscal Year: 2016

Current Reporting Period Start Date: 7/1/2015

End Date: 6/30/2016

Contract Number/Company Name	Contract Amount	Total Payment to Date	Payment Current Reporting Period	Goal Attainment (Current Reporting Period)				Goal Attainment (Cumulative)				
				LBE	SLBE	VSLBE	DBE	LBE	SLBE	VSLBE	DBE	
A05-0005 - A C Transit District	\$11,509,964.00	\$11,509,964.00	\$350,736.45	87.31%	18.50%	18.03%	9.27%	75.95%	7.63%	5.00%	8.06%	
A05-0051 - ACCMA	\$571,593.05	\$571,593.05	\$5,068.34	0.00%	0.00%	0.00%	0.00%	65.20%	35.23%	0.00%	0.00%	
A07-0058 - City of Livermore	\$8,413,000.00	\$7,429,962.56	\$1,199,806.43	9.65%	5.70%	0.00%	0.23%	25.38%	20.66%	0.00%	1.17%	
A08-0048 - Bay Area Rapid Transit	\$6,316,531.60	\$6,316,449.83	\$708,139.27	25.02%	0.00%	0.00%	0.00%	24.77%	2.50%	0.00%	0.00%	
A09-0012 - City of San Leandro	\$564,000.00	\$408,628.28	\$4,196.74	0.00%	0.00%	0.00%	0.00%	10.88%	0.00%	0.00%	0.27%	
A09-0013 - Bay Area Rapid Transit	\$56,130,430.00	\$54,979,696.29	\$107,615.48	25.48%	2.06%	2.06%	2.62%	6.20%	2.08%	0.21%	12.39%	
A10-0027 - Bay Area Rapid Transit	\$120,326,570.00	\$109,869,880.86	\$32,114,760.10	10.66%	0.12%	0.03%	4.04%	16.19%	2.36%	1.74%	9.93%	
A12-0050 - City of Hayward	\$26,437,000.00	\$24,697,964.22	\$13,578,404.34	6.04%	0.81%	0.51%	0.30%	9.81%	1.79%	0.93%	0.86%	
Total PSFA (Project Specific Funding Agreement) - Exempt from Goal Requirements												
	\$236,627,088.65	\$219,027,227.50	\$48,758,273.87	9.99%	0.58%	0.30%	2.82%	16.74%	3.33%	1.29%	0.63%	
Total PSFA (Project Specific Funding Agreement)												
	\$236,627,088.65	\$219,027,227.50	\$48,758,273.87	9.99%	0.58%	0.30%	2.82%	16.74%	3.33%	1.29%	0.63%	
Total for All Contracts												
	\$380,510,659.01	\$337,337,995.64	\$63,205,415.07	21.52%	3.52%	1.97%	3.48%	36.40%	9.86%	2.78%	0.65%	



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Local Business Contract Equity (LBCE) Program Goals Attainment Summary
for Contracts with LBCE Program Goals
FY2008-09 to FY2015-16

Contract Type	Reporting Period	Number of Contracts	Total \$	LBE \$	LBE %	SLBE \$	SLBE %
Professional Services	FY 2008-09	84	\$14,671,927	\$12,954,839	88%	\$6,531,596	45%
	FY 2009-10	74	\$14,561,106	\$13,393,718	92%	\$7,775,840	53%
	FY 2010-11	80	\$13,365,337	\$11,848,462	89%	\$5,611,082	42%
	FY 2011-12	55	\$5,538,448	\$4,146,151	75%	\$2,139,857	39%
	FY 2012-13	33	\$6,994,351	\$5,052,417	72%	\$2,875,224	41%
	FY 2013-14	25	\$3,780,242	\$2,995,804	79%	\$1,687,257	45%
	FY 2014-15	24	\$4,729,816	\$4,369,404	92%	\$1,246,779	26%
	FY 2015-16	22	\$6,219,416	\$5,691,388	92%	\$1,688,572	27%
Subtotal for Professional Services Contracts			69,860,643	60,452,181	87%	29,556,207	42%
Construction	FY 2008-09	7	479,672	414,389	86%	278,066	58%
	FY 2009-10	0	-	-	0%	-	0%
	FY 2010-11	0	-	-	0%	-	0%
	FY 2011-12	2	43,173	-	0%	-	0%
	FY 2012-13	1	58,220	-	0%	-	0%
	FY 2013-14	1	90,526	-	0%	-	0%
	FY 2014-15	0	-	-	0%	-	0%
	FY 2015-16	0	-	-	0%	-	0%
Subtotal for Construction Contracts			671,591	414,389	62%	278,066	41%
Total (All Industries)			\$70,532,234	\$60,866,570	86%	\$29,834,273	42%

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

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

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

Date: October 31, 2016

RE: Independent Review of Alameda County Transportation Commission's Contract
Equity Annual Utilization Report for the period July 1, 2015 through June 30, 2016

L. Luster & Associates (LLA) has reviewed Alameda CTC payment and vendor data provided by Alameda CTC staff for the period July 1, 2015 through June 30, 2016.

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

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

Having completed the review process, L. Luster & Associates finds no material defects in the Alameda CTC Contract Equity Annual Utilization Report for the period July 1, 2015 through June 30, 2016.

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Memorandum

6.11

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

DATE: November 23, 2016

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

RECOMMENDATION: Receive an update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.

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 3, 2016, the Alameda CTC has not reviewed any environmental documents.

Fiscal Impact: There is no fiscal impact.

Staff Contact

[Saravana Suthanthira](#), Principal Transportation Planner

[Chris Van Alstyne](#), Assistant Transportation Planner

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Memorandum

6.12

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 23, 2016

SUBJECT: Approval of Administrative Amendment to Project Agreement (A14-0027)

RECOMMENDATION: Approve Administrative Amendment to Project Agreement (A14-0027).

Recommendation

It is recommended the Planning, Policy and Legislation Committee approve and authorize the Executive Director to executive administrative amendment to project agreement in support of Alameda CTC's countywide transportation planning work.

Summary

Alameda CTC enters into agreements/contracts with consultants and local, regional, state, and federal entities, as required, to provide the services, or to reimburse project expenditures incurred by project sponsors, necessary to meet the agency's Planning obligations. Agreements are entered into based upon estimated known project needs for scope, cost, and schedule.

The administrative amendment request shown in Table A has been reviewed and it has been determined that the requests will not compromise the project deliverables.

Staff recommends the Commission approve and authorize the administrative amendment request as listed in Table A attached.

Background

Amendments are considered "administrative" if they do not result in an increase to the existing encumbrance authority approved for use by a specific entity for a specific project. Examples of administrative amendments include time extensions and project task/phase budget realignments which do not require additional commitment beyond the total amount currently encumbered in the agreement, or beyond the cumulative total amount encumbered in multiple agreements (for cases involving multiple agreements for a given project or program).

Agreements are entered into based upon estimated known project needs for scope, cost, and schedule. Throughout the life of a project, situations may arise that warrant the need for a time extension or a realignment of project phase/task budgets.

The most common justifications for a time extension include (1) project delays and (2) extended project closeout activities.

The most common justifications for project task/phase budget realignments include 1) movement of funds to comply with timely use of funds provisions; 2) addition of newly obtained project funding; and 3) shifting unused phase balances to other phases for the same project.

Requests are evaluated to ensure that the associated project deliverable(s) are not compromised. The administrative amendment requests identified in Table A have been evaluated and are recommended for approval.

Levine Act Statement:

In accordance with the Levine Act, none of the consultants on this project (Fehr and Peers Transportation Consultants, Mark Thomas and Company, Haygood and Associates Landscape Architects, or Urban Planning Partners, Inc.) reported any conflicts of interest with any Alameda CTC Commissioners or alternates.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Table A: Administrative Amendment Summary

Staff Contact

[Tess Lengyel](#), Deputy Executive Director of Planning and Policy

[Carolyn Clevenger](#), Director of Planning

Table A: Administrative Amendment Summary

Index No.	Firm/Agency	Project/Services	Agreement No.	Contract Amendment History and Requests	Reason Code	Fiscal Impact
1	Fehr and Peers Transportation Consultants	Feasibility Study for the Iron Horse Trail Connectivity to BART Project	A14-0027	A3: 9-month time extension from 9/30/2016 to 6/30/2017	6	None

- (1) Project delays.
- (2) Extended project closeout activities.
- (3) Movement of funds to comply with timely use of funds provisions.
- (4) Addition of newly obtained project funding.
- (5) Unused phase balances to other project phase(s).
- (6) Additional round of comments and revisions using available budget.

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Memorandum

6.13

1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

DATE: November 23, 2016

SUBJECT: Alameda County Safe Routes to Schools Program

RECOMMENDATION: Approve Alameda CTC Resolution 16-010 authorizing the programming of (1) \$7.063 million Federal One Bay Area Grant funds for the Alameda Countywide Safe Routes to School Program, and (2) up to \$920,000 in Measure B Bicycle and Pedestrian Countywide Discretionary Funds to be used as local matching funds.

Summary

Alameda County's Countywide Safe Routes to School (SR2S) Program is a countywide program that promotes and encourages safe walking, bicycling, carpooling, and riding transit to school. The program began in 2006 as a pilot program funded with a Caltrans SR2S grant and Measure B funds and was not implemented by Alameda CTC. With the inclusion of federal funds for the program in 2010, Alameda CTC determined that the program should be implemented in-house and delivered through a competitively bid consultant procurement process.

At its July 2016 meeting, the Commission approved the One Bay Area Grant program Cycle 2 (OBAG 2) programming principles for Alameda County. The recommendation included \$5,990,000 OBAG 2 funds for the SR2S program. Through the federal OBAG Cycle 1, the Metropolitan Transportation Commission (MTC) programmed an additional \$1,073,000 of Regional SR2S funds for Alameda County. Collectively, \$7,063,000 in federal funds are available for the SR2S program over the next five years of OBAG 2 from FY 2017-18 to FY 2021-22.

Staff recommends approving Resolution 16-010 (Attachment A) which includes programming \$7,063,000 of federal OBAG funds and a local match component of \$920,000 Measure B Bicycle and Pedestrian Countywide Discretionary Funds (CDF). Upon approval of the programming action, the SR2S program will be amended into MTC's 2017 Transportation Improvement Program (TIP) for approval by the Federal Highway Administration's (FHWA).

This is strictly a programming action to meet a rigid federal programming process deadline. The overall strategic vision for the delivery and implementation of the countywide SR2S Program will be brought to the Commission for consideration in Spring of 2017.

Background

Alameda County's SR2S Program is a countywide program that promotes and encourages safe walking, bicycling, carpooling, and riding transit to school. The program began in 2006 as a pilot program, funded with a Caltrans SR2S grant and Measure B funds and was not implemented by Alameda CTC. As part of the MTC's Climate Initiatives program in 2010, the program received federal funding to implement and expand the program. With the inclusion of federal funds for the program, Alameda CTC determined that the program should be implemented in-house and delivered through a competitively bid consultant procurement process. In 2011, Alameda CTC hired a consultant to support the implementation and growth of the SR2S program in Alameda County. The current program is administered by Alameda CTC and funded with Federal OBAG funds, and local Measure B CDF as matching funds to the federal dollars.

At its July 2016 meeting, the Commission approved the OBAG 2 programming principles for Alameda County. The recommendation included programming \$5,990,000 of OBAG 2 funds for the SR2S program. Through the federal OBAG Cycle 1, MTC programmed an additional \$1,073,000 of Regional SR2S funds for Alameda County. Collectively, \$7,063,000 in federal funds are available for the SR2S program over the next five years of OBAG 2 from FY 2017-18 to FY 2021-22.

The current contract for implementation of the SR2S program will end in June 2017 and there will be an open and competitive Request for Proposals (RFP) process in early spring 2017 to select contractor(s) for program operations from FY 2017-18 to FY 2021-22.

In preparation of the development and release of the new RFP, a chronology of programming actions need to be fulfilled at the local, regional and federal levels as listed in Table 1:

Table 1: SR2S Program - Programming Actions and Timelines

Action	Date
Deadline for Alameda CTC to submit a TIP amendment request	11/1/16
Alameda CTC approves programming of SR2S funds and OBAG Resolution of Local Support	12/1/16
MTC approves revision to Reso. 4035 (OBAG 1) and Reso. 4202 (OBAG 2) to reflect the SR2S programming	12/21/16
MTC approval of TIP amendment	12/21/16
Alameda CTC RFP Strategic Vision, Policies, Scope of Work to Commission	Jan/Feb 2017

Action	Date
Final FHWA approval of TIP amendment (<i>Est. 8 wks after MTC approval</i>)	Feb/Mar 2017
Submit Request for Authorization to expend Federal funds to Caltrans Local Assistance	Feb/Mar 2017
Release RFP for new contract	Feb/Mar 2017
Issue Notice to Proceed for new contract	July 1, 2017

Staff recommends approving Resolution 16-010 (Attachment A) which includes programming of \$7,063,000 federal OBAG funds and a local match component of \$920,000 Measure B Bicycle and Pedestrian CDF.

This is strictly a programming action to meet a rigid federal programming process deadline. The overall strategic vision for the delivery and implementation of the countywide SR2S Program will be brought to the Commission for consideration in Spring of 2017. Upon approval of the programming action, the SR2S program will be amended into MTC's 2017 Transportation Improvement Program (TIP) for Federal Highway Administration's (FHWA) approval.

Fiscal Impact: The programming of \$7,983,000 of grant funds (Federal OBAG \$7,063,000, and local Measure B matching funds \$920,000) will be included in the 2018 Comprehensive Investment Plan (CIP) which will be presented to the Commission in late spring 2017. The project funds will also be included in the Agency's FY2017-18 Budget.

Attachment

- A. Resolution No. 16-010 Programming of Federal OBAG and local match funds

Staff Contact

[Vivek Bhat](#), Director of Programming and Project Controls

[Jacki Taylor](#), Associate Program Analyst

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ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION 16-010

Authorizing the filing of an application for funding assigned to MTC and committing any necessary matching funds and stating assurance to complete the project

Commission Chair

Vice Mayor Rebecca Kaplan,
City of Oakland

Commission Vice Chair

Mayor Bill Harrison,
City of Fremont

AC Transit

Director Elsa Ortiz

Alameda County

Supervisor Scott Haggerty, District 1
Supervisor Richard Valle, District 2
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

Mayor Peter Maass

City of Berkeley

Councilmember Laurie Capitelli

City of Dublin

Mayor David Haubert

City of Emeryville

Councilmember Ruth Atkin

City of Hayward

Mayor Barbara Halliday

City of Livermore

Mayor John Marchand

City of Newark

Councilmember Luis Freitas

City of Oakland

Councilmember Dan Kalb

City of Piedmont

Acting Mayor Jeff Wieler

City of Pleasanton

Mayor Jerry Thorne

City of San Leandro

Mayor Pauline Cutler

City of Union City

Mayor Carol Dutra-Vernaci

Executive Director

Arthur L. Dao

WHEREAS, Alameda County Transportation Commission (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for \$7,063,000_in funding assigned to MTC for programming discretion, which includes federal funding administered by the Federal Highway Administration (FHWA) and federal or state funding administered by the California Transportation Commission (CTC) such as Surface Transportation Block Grant Program (STP) funding, Congestion Mitigation and Air Quality Improvement Program (CMAQ) funding, Transportation Alternatives (TA) set-aside/Active Transportation Program (ATP) funding, and Regional Transportation Improvement Program (RTIP) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the Alameda Countywide Safe Routes to School Program (herein referred to as PROJECT) for the One Bay Area Grant Program Cycles 1 and 2 (herein referred to as PROGRAM); and

WHEREAS, the United States Congress from time to time enacts and amends legislation to provide funding for various transportation needs and programs, (collectively, the FEDERAL TRANSPORTATION ACT) including, but not limited to the Surface Transportation Block Grant Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives (TA) set-aside (23 U.S.C. § 133); and

WHEREAS, state statutes, including California Streets and Highways Code §182.6, §182.7, and §2381(a)(1), and California Government Code §14527, provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to the FEDERAL TRANSPORTATION ACT, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal or state funds for a regionally-significant project shall submit

an application first with the appropriate MPO, or RTPA, as applicable, for review and inclusion in the federal Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a resolution adopted by the responsible implementing agency stating the following:

- the commitment of any required matching funds; and
- that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- that the PROJECT will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
- the assurance of the sponsor to complete the PROJECT as described in the application, subject to environmental clearance, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
- that the PROJECT will have adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and
- that the PROJECT will comply with all project-specific requirements as set forth in the PROGRAM; and
- that APPLICANT has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans, FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and

WHEREAS, that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and

WHEREAS, there is no legal impediment to APPLICANT making applications for the funds; and

WHEREAS, there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and

WHEREAS, APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and

WHEREAS, MTC requires that a copy of this resolution be transmitted to the MTC in conjunction with the filing of the application.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under the FEDERAL TRANSPORTATION ACT or continued funding; and be it further

RESOLVED that APPLICANT will provide any required matching funds; and be it further

RESOLVED that APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and be it further

RESOLVED that APPLICANT understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation and transit projects, and has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans, FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and be it further

RESOLVED that PROJECT will be implemented as described in the complete application and in this resolution, subject to environmental clearance, and, if approved, for the amount approved by MTC and programmed in the federal TIP; and be it further

RESOLVED that APPLICANT has reviewed the PROJECT and has adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and be it further

RESOLVED that PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and be it further

RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and be it further

RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED that APPLICANT authorizes its Executive Director, General Manager, City Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution, and if approved, to include the PROJECT in MTC's federal TIP upon submittal by the project sponsor for TIP programming.

DULY PASSED AND ADOPTED by the Alameda CTC at the regular meeting of the Commission held on December 1, 2016 in Oakland, California, by the following votes:

AYES:

NOES:

ABSTAIN:

ABSENT:

SIGNED:

ATTEST:

Rebecca Kaplan
Chair, Alameda CTC

Vanessa Lee
Clerk of the Commission



Memorandum

6.14

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

DATE: November 23, 2016

SUBJECT: I-880 Southbound High Occupancy Vehicle Lane – South Segment Project (PN 1376.001): Contract Amendment to Professional Services Agreement No. A08-017.WMH with WMH Corporation

RECOMMENDATION: Approve and authorize the Executive Director to execute Amendment No. 6 to the Professional Services Agreement No. A08-017.WMH with WMH Corporation for an additional amount of \$200,000 for a total not-to-exceed amount of \$7,257,319 and an 18-month time extension to provide design services to implement replacement planting.

Summary

The I-880 Southbound High Occupancy Vehicle (HOV) Lane – South Segment Project located in the City of San Leandro is an Alameda County Transportation Commission (Alameda CTC) project funded by the State of California Proposition 1B Transportation Bond Program approved by California voters in November 2006. The South segment Project improvements included freeway widening work to accommodate the new southbound HOV lane and the reconstruction of the Davis Street and Marina Boulevard overcrossings to provide standard vertical clearance over the freeway. WMH Corporation was selected in October 2008 to provide preliminary and final design services for the South Segment Project.

The South Segment Project was opened to the public in October 2015 and closeout activities are underway. In addition to completing project as-built plans and fulfilling funding documentation requirements, a commitment to provide for replacement planting for the highway planting impacted by the project was made during the environmental approval process. The estimated cost for the additional design work is \$200,000.

The recommended action would increase the contract not-to-exceed amount as shown in Table A of this report and authorize an 18-month time extension to allow WMH Corporation to provide the design services necessary to implement the replacement planting project commitments.

Background

The I-880 Southbound High Occupancy Vehicle (HOV) Lane – South Segment Project located in the City of San Leandro is an Alameda County Transportation Commission (Alameda CTC) project funded by the State of California Proposition 1B Prop 1B) Transportation Bond Program approved by California voters in November 2006. The South segment Project improvements included freeway widening work to accommodate the new southbound HOV lane and the reconstruction of the Davis Street and Marina Boulevard overcrossings to provide standard vertical clearance over the freeway. WMH Corporation was selected in October 2008 to provide preliminary and final design services for the South Segment Project.

The South Segment Project was opened to the public in October 2015 and closeout activities are underway. In addition to completing project as-built plans and fulfilling funding documentation requirements, a commitment to provide for replacement planting for the highway planting impacted by the project was made during the environmental approval process. Preliminary concepts were prepared by the WMH team in 2012; however, due to the drought conditions in the recent years and the need to ensure that existing funding would be sufficient to complete the South Segment Project, it was determined that the replacement planting would be performed after the construction work was substantially completed and clearer drought condition design requirements were adopted by Caltrans. The estimated additional budget for WMH to prepare a phased design for the replacement planting at the Davis and Marina Interchanges and along the freeway between the interchanges is \$200,000.

The project funding plan for the South Segment Project includes Federal Demonstration (Demo) funds, State Prop 1B funds, and various local contributions including Measure B, CMA-TIP, and City of San Leandro (City) funds for the Construction Phase. The proposed amendment would be funded by \$160,000 of Demo and \$40,000 of City funds for a total value of \$200,000 and a contract total not-to-exceed amount of \$7,257,319. With the proposed increase, the utilization of Disadvantaged Business Enterprise (DBE) firms would increase and assist Alameda CTC towards meeting the overall program goal.

Staff has negotiated the contract amendment with WMH Corporation based on the level of effort anticipated to conduct the additional work scope. Staff has determined that this negotiated amount is fair and reasonable to both Alameda CTC and the Consultant. Table A below summarizes the contract actions related to Agreement No. A08-017.WMH.

Upon approval of this amendment, Alameda CTC would move forward to engage Caltrans to provide oversight and to request the obligation of Federal Demonstration funds for the design work. Anticipated Commission actions required to further this work include authorization to advertise and award the resulting construction contract to implement the replacement planting work and authorization to engage a consultant team to provide construction management services.

Table A: Summary of Agreement No. A08-017.WMH			
Contract Status	Work Description	Value	Total Contract Not-to-Exceed Value
Original Professional Services Agreement with WMH Corporation (A08-0017.WMH) March 2009	Final Design Services – Prepare Plans, Specifications and Estimate (PS&E)	NA	\$4,181,365
Amendment No. 1 May 2010	Final Design Services – Additional Layouts and Staging Concept Development	\$ 782,850	\$ 4,964,215
Amendment No. 2 February 2011	Final Design Services – Supplemental Closure/Detour Analysis	\$ 683,104	\$ 5,647,319
Amendment No. 3 May 2012	Final Design Services – Additional Design Services	\$ 630,000	\$ 6,277,319
Amendment No. 4 November 2012	Design Support - Provide design support services during construction (DSDC)	\$ 500,000	\$ 6,777,319
Amendment No. 5 March 2015	Provide additional DSDCs for locally funded change orders	\$ 280,000	\$ 7,057,319
<i>Proposed Amendment No. 6, Nov 2016 (This agenda item)</i>	Provide additional budget and 18-month time extension to June 30, 2018 to complete replacement planting work	\$200,000	\$ 7,257,319
Total Amended Contract Not-to-Exceed Amount			\$ 7,257,319

Levine Act Statement: WMH Corporation did not report a conflict in accordance with the Levine Act.

Fiscal Impact: The fiscal impact of approving this item is \$200,000. The action will authorize the encumbrance of additional project funding (\$160,000 Demo, \$40,000 City) for subsequent expenditure. This budget is included in the appropriate project funding plans and will be reflected in the Alameda CTC mid-year FY 2016-2017 Capital Program Budget Update.

Staff Contact

[Trinity Nguyen](#), Director of Project Delivery

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Memorandum

6.15

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

DATE: November 23, 2016

SUBJECT: I-580 Express Lanes (1373.000): Contract Amendment to Professional Services Agreement A11-0033 with CDM Smith, Inc.

RECOMMENDATION: Approve and authorize the Executive Director to execute Amendment No. 3 to Professional Services Agreement No. A11-0033 with CDM Smith, Inc. for an additional amount of \$30,000 for a total not-to-exceed amount of \$1,763,914 to provide System Manager Services through the project completion.

Summary

The I-580 Express Lanes, located in the Tri-Valley corridor through the cities of Dublin, Pleasanton, and Livermore is an Alameda County Transportation Commission (Alameda CTC) project initiated by the 2000 Measure B. To support Alameda CTC in the performance of its responsibilities as the implementing agency, the Commission, at its July 2011 meeting, authorized the contract with CDM Smith, Inc. (CDM Smith, formerly Wilbur Smith Associates Inc.) for System Manager Services for the I-580 and I-680 Northbound Express Lanes. For the I-580 Express Lanes Project, CDM Smith, Inc. was tasked to review and approve the revised toll system design submitted by the Toll System Integrator (TSI), redevelop the System Engineering Management Plan and the Concept of Operations, oversee the toll system installation and system testing after the lanes were open to traffic, and issue the System Approval on behalf of Alameda CTC. Tasks for the System Acceptance, including punch list items were included in the new System Manager contract authorized by the Commission in February 2016.

The System Approval was scheduled to be achieved by May 2015 (within 90 days of lane opening). As the TSI was unable to demonstrate full functionality of the system for the required 30-day continuous test period, CDM Smith did not recommend System approval by Alameda CTC until September 20, 2016. Additionally, due to procurement delays, the new System Manager contract was just finalized September 2016. With only five months until the System Acceptance date of February 22, 2017, the new System Manager is not in a position to perform the System Acceptance task. The estimated cost for CDM Smith to perform the System Acceptance task is \$30,000.

The recommended action would increase the contract not-to-exceed amount as shown in Table A of this report and allow CDM Smith to provide the support necessary for Alameda CTC authorize System Acceptance.

Background

Over the last two decades, the I-580 corridor has consistently been rated as one of the most congested freeway segments within the San Francisco Bay Area region. As the next step in strategic investments in this corridor, Alameda CTC implemented the I-580 Express Lanes, located in the Tri-Valley corridor through the cities of Dublin, Pleasanton. This project, initiated by the 2000 Measure B, constructed lanes in the eastbound and westbound directions. It also included the implementation of an electronic toll system (ETS) that will provide a new choice to single occupancy vehicle (SOV) users, enabling them to make use of the unused capacity in the HOV lane for a fee if they choose to use the lanes. Tolls will be collected through All Electronic Toll collection method by the use of FasTrak®/FasTrak® flex. The toll system will include a violation enforcement system (VES) to implement automated toll evasion violation enforcement which is expected to curtail toll evasions.

To support Alameda CTC in the performance of its responsibilities as the implementing agency, the Commission, at its July 2011 meeting, authorized the contract with CDM Smith, Inc. (CDM Smith, formerly Wilbur Smith Associates Inc.) for System Manager Services for the I-580 and I-680 Northbound Express Lanes.

For the I-580 Express Lanes Project, CDM Smith was tasked to review and approve the revised toll system design submitted by the Toll System Integrator (TSI), redevelop the System Engineering Management Plan and the Concept of Operations, oversee the toll system installation and system testing after the lanes were open to traffic, and issue the System Approval on behalf of Alameda CTC.

In February 2016, immediately after the opening of the I-580 Express Lanes, CDM Smith began the task of overseeing the system testing process for the Project. The System Approval was scheduled to be achieved by May 2015 (within 90 days of lane opening). As the TSI was unable to demonstrate full functionality of the system for the required 30-day continuous test period, CDM Smith did not recommend System approval by Alameda CTC until September 20, 2016.

Concurrently, in February 2016, Alameda CTC initiated the procurement process for the new System Manager contract to provide System Acceptance services for the I-580 Express Lanes Project and to provide System Manager Services for the I-680 Express Lanes from the design phase through the acceptance phase. Due to the complexities of the I-680 Northbound Express Lane Project, the new System Manager Services contract was not fully executed until September 2016.

The System Acceptance services requires monitoring the TSI for the remainder of the Warranty Period, which ends February 22, 2017, and ensuring that all remaining punch-list

items are addressed. Upon successful completion of all punch-list items, at the end of the Warranty Period, Final System Acceptance is granted and the construction phase is deemed completed. With only five months until the Warranty Period ends, the new System Manager is not in a position to perform the System Acceptance task. The estimated cost for CDM Smith to perform the System Acceptance task is \$30,000.

The proposed amendment is for a value of \$30,000 for a contract total not-to-exceed amount of \$1,763,914 and would be funded with previously allocated Measure B funds available for the project. Staff has negotiated the contract amendment with CDM Smith based on the level of effort and anticipated to be required to conduct the additional work scope. Staff has determined that this negotiated amount is fair and reasonable to both Alameda CTC and CDM Smith. Table A below summarizes the contract actions related to Agreement No. A11-0033.

Table A: Summary of Agreement No. A11-0033			
Contract Status	Work Description	Value	Total Contract Not-to-Exceed Value
Original Professional Services Agreement with CDM Smith, Inc. (A11-0033) December 2011	System Manager Services for closed access toll facilities	NA	\$1,433,934
Amendment No. 1 July 2015	3-year time extension (until August 28, 2018)	\$0	\$1,433,934
Amendment No. 2 February 2016	System Manager Services for continuous access toll facilities	\$299,980	\$1,733,934
Proposed Amendment No. 3, February 2016 <i>(This Agenda Item)</i>	System Manager Services for continuous access toll facilities	\$30,000	\$1,763,914
Total Amended Contract Not-to-Exceed Amount			\$1,733,914

Levine Act Statement: CDM Smith, Inc. did not report a conflict in accordance with the Levine Act.

Fiscal Impact: The fiscal impact of approving this item is \$30,000. The action will authorize 2000 Measure B funds to be used for subsequent expenditure. This budget is included in the appropriate project funding plans and has been included in the Alameda CTC Adopted FY 2016-2017 Capital Program Budget.

Staff Contact

[Liz Rutman](#), Express Lane Operations and Maintenance

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Memorandum

6.16

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

DATE: November 23, 2016

SUBJECT: Approval of Administrative Amendments to Various Project Agreements (A07-011.BKF.PH2, A08-017.TYLIN, A10-013, A14-0049, A99-0003, A09-006, AA07-0001, A10-0027)

RECOMMENDATION: Approve Administrative Amendments to Various Project Agreements (A07-011.BKF.PH2, A08-017.TYLIN, A10-013, A14-0049, A99-0003, A09-006, AA07-0001, A10-0027) in support of the Alameda CTC's Capital Projects and Program delivery commitments.

Summary

Alameda CTC enters into agreements/contracts with consultants and local, regional, state, and federal entities, as required, to provide the services, or to reimburse project expenditures incurred by project sponsors, necessary to meet the Capital Projects and Program delivery commitments. Agreements are entered into based upon estimated known project needs for scope, cost, and schedule.

The administrative amendment requests shown in Table A have been reviewed and it has been determined that the requests will not compromise the project deliverables.

Staff recommends the Commission approve and authorize the administrative amendment requests as listed in Table A attached.

Background

Amendments are considered "administrative" if they do not result in an increase to the existing encumbrance authority approved for use by a specific entity for a specific project. Examples of administrative amendments include time extensions and project task/phase budget realignments which do not require additional commitment beyond the total amount currently encumbered in the agreement, or beyond the cumulative total amount encumbered in multiple agreements (for cases involving multiple agreements for a given project or program).

Agreements are entered into based upon estimated known project needs for scope, cost, and schedule. Throughout the life of a project, situations may arise that warrant the need for a time extension or a realignment of project phase/task budgets.

The most common justifications for a time extension include (1) project delays and (2) extended project closeout activities.

The most common justifications for project task/phase budget realignments include 1) movement of funds to comply with timely use of funds provisions; 2) addition of newly obtained project funding; and 3) shifting unused phase balances to other phases for the same project.

Requests are evaluated to ensure that the associated project deliverable(s) are not compromised. The administrative amendment requests identified in Table A have been evaluated and are recommended for approval.

Levine Act Statement: No firms reported a conflict in accordance with the Levine Act.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Table A: Administrative Amendment Summary

Staff Contact

[Trinity Nguyen](#), Director of Project Delivery

[Angelina Leong](#), Assistant Transportation Engineer

Table A: Administrative Amendment Summary

Index No.	Firm/Agency	Project/Services	Agreement No.	Contract Amendment History and Requests	Reason Code	Fiscal Impact
I-580 Corridor Closeout						
1	BKF Engineers	I-580 Westbound HOV Lane Widening Project Phase 2	A07-011.BKF.PH2	A1: Budget increase and 9-month time extension from 6/30/2009 to 3/30/2010 A2: Budget increase A3: Budget increase and 18-month time extension from 3/30/2010 to 9/30/2011 A4: Budget increase and time extension from 9/30/2011 to 12/31/2015 A5: Budget increase A6: Budget increase A7: Budget increase A8: Budget increase and 12-month time extension from 12/31/2015 to 12/31/2016 A9: 12-month time extension from 12/31/2016 to 12/31/2017 (current request)	2	None
2	TYLIN International CCS	I-580 EB Auxiliary Lanes	A08-017.TYLIN	A1: Budget increase A2: Budget increase and 12-month time extension from 12/31/2011 to 12/31/2012 A3: Budget increase and 3-year time extension from 12/31/2012 to 12/31/2015 A4: 12-month time extension from 12/31/2015 to 12/31/2016 A5: 12-month time extension from 12/31/2016 to 12/31/2017 (current request)	2	None
3	Alameda County Public Works	I-580 Westbound HOV Lane R/W Closeout	A10-013	A1: 12-month time extension from 12/31/2011 to 12/31/2012 A2: Budget increase and 3-year time extension from 12/31/2012 to 12/31/2015 A3: 24-month time extension from 12/31/2016 to 12/31/2017 (current request)	2	None

I-880/Mission Boulevard (Route 262) Corridor Closeout						
4	Alameda County Public Works	I-880/Mission Boulevard (Route 262) Interchange-R/W Closeout	A14-0049	A1: 12-month time extension from 12/31/2015 to 12/31/2016 A2: 12-month time extension from 12/31/2016 to 12/31/2017 <i>(current request)</i>	2	None
5	Parsons Brinckerhoff, Inc.	Mission Boulevard (Route 262)/I-880 Interchange Reconstruction and Freeway Widening -R/W Closeout	A99-0003	A1: Budget increase A2: Budget decrease and time extension to 6/30/2009 A3: Budget increase A4: Budget increase and 4-year time extension from 6/30/2009 to 6/30/2013 A5: Budget increase and 30-month time extension from 6/30/2013 to 12/31/2015 A6: 12-month time extension from 12/31/2015 to 12/31/2016 A7: 12-month time extension from 12/31/2016 to 12/31/2017 <i>(current request)</i>	2	None
Webster Street SMART Corridor Closeout						
6	TJKM	Webster Street SMART Corridor Management	A09-006	A1: Budget increase and 12-month time extension from 12/31/2010 to 12/31/2011 A2: Budget increase and 12-month time extension from 12/31/2011 to 12/31/2012 A3: 12-month time extension from 12/31/2012 to 12/31/2013 A4: Budget increase and 6-month time extension from 12/31/2013 to 6/30/2014 A5: Budget increase and 6-month time extension from 6/30/2014 to 12/31/2014 A6: 12-month time extension from 12/31/2014 to 12/31/2015 A7: 12-month time extension from 12/31/2015 to 12/31/2016 A8: 12-month time extension from 12/31/2016 to 12/31/2017 <i>(current request)</i>	2	None

General Projects						
7	TYLIN International CCS	East-West Connector	AA07-0001	A1: Budget increase and 23-month time extension from 6/22/2009 to 5/13/2011 A2: Budget increase and 5 year 7-month time extension from 5/13/2011 to 12/31/2016 A3: Retention adjustment A4: 18-month time extension from 12/31/2016 to 6/30/2018 (<i>current request</i>)	1	None
8	BART	BART Warm Springs Extension	A10-0027	A1: Phase reallocation A2: Budget decrease and 12-month time extension from 12/31/2015 to 12/31/2016 A3: 6-month time extension from 12/31/2016 to 6/30/2017 (<i>current request</i>)	1	None

- (1) Project delays.
- (2) Extended project closeout activities.
- (3) Movement of funds to comply with timely use of funds provisions.
- (4) Addition of newly obtained project funding.
- (5) Unused phase balances to other project phase(s).

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6.17

Application for the Alameda CTC Bicycle and Pedestrian Advisory Committee (BPAC)



Alameda CTC invites Alameda County residents to serve on its **Bicycle and Pedestrian Advisory Committee**, which meets quarterly on the second Thursday of the month from 5:30 to 7:30 p.m. Each member is appointed for a two-year term.

Name: Liz Brisson

Home Address: _____

Mailing Address (if different): _____

Phone: (home) _____ (work) _____ (fax) _____

Email: _____

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 BPAC and why you are qualified for this appointment.
- III. Relevant Work or Volunteer Experience:** Please list your current employer or relevant volunteer experience including organization, address, position and dates.
- IV. Specific Bicycle and/or Pedestrian Experience:** List any specific interest, involvement or expertise you have related to bicycle and/or pedestrian issues.

To avoid a conflict of interest:

Members may not be public agency employees responsible for bicycle and pedestrian projects and/or programs, and work for an agency that is eligible and likely to submit an application for the Countywide Discretionary Fund.

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

Signature Liz Brisson Date 10/30/2016

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: ACMA

Signature: Mary O'Connell

Date: 11/11/16

Liz Brisson

[REDACTED]
October 30, 2016

Alameda County Transportation Commission, Application for Bicycle and Pedestrian Advisory Committee, Attachment**1. 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.**

In 2007-8, while in graduate school at the University of North Carolina-Chapel Hill, I briefly served on the Appearance Commission for the Town of Carrboro. This body advised the Carrboro Planning Department on issues related to community beautification.

I am not currently on any Commission, but I have great familiarity with how commissions/committees operate through my professional work. I have presented frequently to San Francisco and regional commissions/committees, and I have formed and staffed project-specific advisory committees.

2. Statement of Qualifications: Provide a brief statement indicating why you are interested in serving on BPAC and why you are qualified for this appointment.

I am interested in serving on BPAC because I am passionate about improving safety and attractiveness for people walking and cycling in Alameda County. I regularly walk and ride a bike in Oakland as well as other parts of Alameda County. I regularly experience conditions that feel unsafe and unattractive and know we can do better. I believe my experience as a daily user of the transportation system as well as my professional experience in local government makes me well qualified to be able to make a difference.

I am qualified to serve on BPAC because I bring:

- Professional expertise as a planner working in the public sector
- Significant involvement as a sustainable transportation advocate in Oakland.

III. Relevant Work or Volunteer Experience: Please list your current employer or relevant volunteer experience including organization, address, position and dates.

See attached resume.

IV. Specific Bicycle and/or Pedestrian Experience: List any specific interest, involvement or expertise you have related to bicycle and/or pedestrian issues.

I have substantial firsthand experience as someone who walks every day in Oakland. I also am a long-distance runner and have experienced a lot of very pedestrian unfriendly street designs in my runs throughout much of East Bay cities including Oakland, Berkeley, Albany, and Alameda. I also bike frequently throughout Oakland. When I first moved to the Bay Area eight years ago and lived in South Berkeley, I would regularly bike from my home to my office at that time in Downtown Oakland.

I have a Master's Degree in City and Regional Planning from the University of North Carolina-Chapel Hill with a specialization in Transportation Planning. My educational background has given me a broad understanding of bicycle and pedestrian planning and policy.

Through my work, I have worked on multi-modal neighborhood planning and corridor planning projects that involve major pedestrian and bicycling improvements. For example, as a part of the Western SoMa Neighborhood Transportation Plan, I worked with an adjacent developer to secure an in-kind agreement for the developer to deliver a shared street on Ringold alleyway that will provide a safe and attractive pedestrian space, while also creating more public open space in a neighborhood that is currently lacking.

I am currently serving as the Project Manager for Geary Bus Rapid Transit Phase 1 that, in addition to implementing major transit priority treatments (red side-running transit only lanes, stop consolidation) includes a suite of Vision Zero safety improvements including pedestrian bulbs, a road diet, and signal modifications to include Leading Pedestrian Intervals.

As co-founder and Board President of Transport Oakland, I have advocated for the creation of Oakland's Department of Transportation (OakDOT) that is now being implemented. OakDOT just released its first Strategic Plan which places a great emphasis on improving walking and cycling in Oakland.

Liz Brisson

Work Experience

San Francisco Municipal Transportation Agency, San Francisco, CA

July 2015-present

Corridor Planning Manager

- Geary Bus Rapid Transit Phase 1 Project Manager. Responsible for project outreach, legislation, and implementation of a major transit and pedestrian safety improvement project.
- Lead the Muni Subway Expansion Project planning phase, effectively managing a budget of over \$1 million and an integrated matrix team of consultants and staff from multiple city agencies.

San Francisco County Transportation Authority, San Francisco, CA

January 2010-June 2015

Senior Transportation Planner

- Five years of progressive responsibility leading transportation planning efforts, including: managing consultants; leading interagency coordination; directing public and stakeholder involvement and communications; overseeing quantitative and qualitative analysis, shaping regional policy and programs, and facilitating policy-maker guidance and action.
- Project managed key planning efforts including 19th Avenue/M-Line Project, Western SoMa Neighborhood Transportation Plan, and Late Night Transportation Plan. Led San Francisco participation across multiple city agencies in 2013 *Plan Bay Area* culminating in better outcomes for San Francisco than all past Regional Transportation Plans.
- Directed the creation and promotion of the popular Budget Czar website (www.sfbudgetczar.com) to seek input on long-range transportation investment priorities. The website has received national awards from the Transportation Research Board and the American Planning Association.

Metropolitan Transportation Commission, Oakland, CA

August 2008-December 2009

Assistant Transportation Planner/Analyst

- Contributed to writing, analysis, and editing of the 2009 Regional Transportation Plan (RTP). Developed and analyzed Transportation Control Measures for the 2009 Clean Air Plan. Participated in state working groups to craft guidance for implementing Senate Bill 375;

Town of Chapel Hill Planning Department, Chapel Hill, NC

May 2007-May 2008

Transportation Planning Intern

Community Involvement

Transport Oakland, Oakland, CA

April 2014-Present

Co-founder and Board President

- Direct strategy and operations of political advocacy organization dedicated to bringing great transportation to Oakland.
- Led successful advocacy campaign to bring Oakland's first Department of Transportation
- Directed involvement in 2014 and 2016 general elections including making endorsements, fundraising, and turning out volunteers for field work.

Guest lecturer/studio reviewer

2012-Present

- Serve as guest lecturer/studio reviewer at various universities including UC Berkeley Department of City and Regional Planning, San Francisco State University Department of Geography and Environment, and Mills College Public Policy Master's Program.

Education

University of North Carolina, Chapel Hill, NC

August 2006-May 2008

Master of City and Regional Planning, specialization in transportation and land use planning

- Van Huyck Award to support research on the relationship between the built environment and pedestrian travel in Bogotá, Colombia; manuscript published in *Transportation Research: Part D* (10/2009)

University of Michigan

August 2001-May 2005

Bachelor of Arts (with High Distinction) in Political Science and in Organizational Studies



Independent Watchdog Committee Meeting Minutes Monday, July 11, 2016, 5:30 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

1. Welcome and Call to Order

IWC Chair Murphy McCalley called the meeting to order at 5:30 p.m. The meeting began with introductions, and the chair confirmed a quorum. All IWC members were present, except the following: Cynthia Dorsey, Cheryl Brown, Brian Lester, Barbara Price, and Robert Tucknott.

Cynthia Dorsey arrived during agenda item 4.

2. Public Comment

There were no public comments.

3. IWC Photo for Annual Report

This agenda item occurred after item 7.

4. Presentation of IWC Annual Report

Murphy McCalley presented the draft IWC 14th Annual Report to the Public for review. Committee members discussed the final draft of the IWC Annual Report and requested the following changes:

- On page 2, under "Financials At-a-Glance" at the top of column 2, change "debt service" to "annual debt repayment."
- On page 3, under the "Programs" column heading verify the programs for transit agencies and the Alameda County Public Works Agency and modify the programs as needed.
- On page 8, replace text under "How to Get Involved" with "Independent Watchdog Committee meetings are open to the public. If you are interested in vacancies on Alameda CTC's Bicycle and Pedestrian Advisory Committee (BPAC) and Paratransit Advisory and Planning Committee (PAPCO), inquire at the address or phone number at the bottom of the page."
- On page 8, under "Further Information" in the first paragraph remove "you can reach Alameda CTC at 510.208.7400" and include text about Chinese and Spanish interpreters and sign language interpretation services being available on request.

The committee discussed the merits of only reporting IWC activities for fiscal year 2014-2015 (FY2014-15). In prior years, the report included activities through the current fiscal year. The committee also discussed whether or not Jason Bezis's comments on the Measure BB campaign should have been included in the annual report. In addition, the committee discussed whether or not the word "specific" should be removed from the first bullet on page 4.

Pat Piras moved that the sentence in the first bullet on page 4 remain as is. Hale Zukas seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, McCalley, Piras, Zukas
No: Lew, Naté, Saunders
Abstain: None
Absent: Brown, Lester, Price, Tucknott

Harriette Saunders moved to include the outcome of the letter submitted by Jason Bezis in FY2014-15 under the IWC activities on page 4. JoAnn Lew seconded the motion. The motion failed with the following votes:

Yes: Hastings, Lew, Naté, Saunders
No: Dominguez, Jones, McCalley, Piras, Zukas
Abstain: Dorsey
Absent: Brown, Lester, Price, Tucknott

5. Open Public Hearing

Murphy McCalley opened the public hearing for review of the annual report.

6. Public Comment on Hearing of IWC Annual Report

Charlie Cameron, resident of Union City, expressed concern over phases one and two of the Union City Intermodal BART Station project. He stated that improvements are needed after phase one of the project. Charlie mentioned that the station no longer has areas for the public to sit.

Charlie also mentioned that AC Transit's new schedule went into effect June 26, 2016. He noted that eight to 10 bus schedules were done incorrectly, which is a waste of Measure B funds.

7. Close Public Hearing on IWC Annual Report

Murphy McCalley closed the public hearing.

8. Approval of IWC Annual Report

Pat Piras moved to approve the draft IWC Annual Report as amended and corrected. Steve Jones seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, McCalley, Naté, Piras, Saunders, Zukas
No: Lew
Abstain: None
Absent: Brown, Lester, Price, Tucknott

9. IWC Meeting Minutes

9.1. Approval of November 9, 2015 IWC Meeting Minutes

Pat Piras moved to approve the November 9, 2015 minutes. JoAnn seconded the motion. The motion passed with the following votes.

Yes: Dorsey, Hastings, Jones, Lew, McCalley, Naté, Piras, Saunders, Zukas
No: None
Abstain: Dominguez, Saunders
Absent: Brown, Lester, Price, Tucknott

9.2. Approval of March 14, 2016 IWC Meeting Minutes

Herb Hastings moved to approve the March 14, 2016 minutes. JoAnn Lew seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Naté, Piras, Saunders, Zukas
No: None
Abstain: None
Absent: Brown, Lester, Price, Tucknott

10. Organizational Meeting

10.1. Election of Officers for FY2016-17

Harriette Saunders moved to nominate Murphy McCalley for chair, and he accepted the nomination. Steve Jones seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Naté, Piras, Saunders, Zukas
No: None
Abstain: None
Absent: Brown, Lester, Price, Tucknott

Pat Piras made a motion to continue the election of vice chair at the November 14, 2016 meeting. Hale Zukas seconded the motion. The motion failed with the following votes:

Yes: Dorsey, Jones, Piras, Zukas
No: Hastings, Lew, Naté, Saunders
Abstain: Dominguez, Murphy
Absent: Brown, Lester, Price, Tucknott

Herb Hastings moved to nominate himself as vice chair. JoAnn Lew seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Naté, Saunders
No: None
Abstain: Piras, Zukas
Absent: Brown, Lester, Price, Tucknott

10.2. Approval of Calendar/Work Plan for FY2016-17/Meeting Time Discussion

The committee discussed adding items to the calendar as follows:

- Contract Equity Utilization Report – Staff informed the committee that this report goes to the Commission annually in October. The IWC can view the report on the website.
- Review of the IWC budget – Staff agreed to add this item to the calendar/work plan.
- Review of performance measures – Staff informed the committee that performance measures are included in the Direct Local Distribution (DLD) Master Programs Funding Agreements approved by the Commission earlier in the year. Alameda CTC will look at performance measures during the FY2016-17 compliance reporting review process.

The IWC requested a copy of the performance measures sent to the jurisdictions. John Nguyen stated that he will email the committee a copy on July 12, 2016. The staff report that went to the Commission in February 25, 2016 can be viewed via this link: http://www.alamedactc.org/files/managed/Document/18228/6.6_Combo.pdf.

Harriette Saunders moved to approve the calendar/work plan for FY2016-17 with the applicable changes stated above and the 5:30 p.m. start time for the IWC meetings. Steve Jones seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Naté, Piras, Saunders, Zukas
No: None
Abstain: None
Absent: Brown, Lester, Price, Tucknott

10.3. Review of IWC Bylaws

The committee questioned the definitions of “monitor” and “oversee” in the IWC bylaws. Murphy McCally suggested including the bylaws on the November 14, 2016 agenda as an action item. He requested the committee to review the bylaws prior to the November meeting and come prepared to discuss and make recommendations on revisions if applicable.

The committee discussed staff making the IWC budget available to the IWC before the Commission adopts the budget for the year. Staff noted that the draft budget goes before the Commission for approval in May, and the final proposed budget goes for approval in June.

11. Independent Auditor Work Plan

Ahmad Gharaibeh with Vavrinek, Trine, Day & Co., LLP (VTD) explained his plan for the Alameda CTC audit. He described how VTD is performing the audit in two major phases: 1) an interim phase that allows VTD to understand Alameda CTC's internal controls and to perform a small amount of compliance testing; 2) a final phase that will allow VTD to provide the final numbers within the trial balance and financial statements and will allow VTD to perform the bulk of the compliance testing. Ahmad noted that the interim audit was complete on June 10, 2016. The final audit will begin on September 6, 2016.

Ahmad noted that VTD ensures that the general ledger system continues to segregate expenditures by funds which represent the former two agencies, Measure B, and Measure BB, and continues to track the administration-related expenses in a separate general fund and track the capital projects, pass-through monies, and special revenue in different funds within the general ledger system.

Questions/feedback from the members:

Ahmad informed the members that they can submit any questions and concerns in writing to Patricia Reavey any time before the end of the audit.

- Does VTD review salaries and benefits? Yes, VTD looks at the expenses with respect to salaries and benefits and how they are distributed and the review/approval process for timecards at Alameda CTC.
- Is CalPERS fully funded? VTD said regarding pensions, CalPERS has established different settings for local governments in the state of California. CalPERS has a rule that if an agency has 200 employees or fewer (Alameda CTC fits this rule), agencies are placed in a plan that pool all other employers together called a Cost

Sharing Plan. VTD has information about the overall pool instead of Alameda CTC's unfunded liabilities. The pool is approximately 85 percent funded. CalPERS calculates a proportionate share by the agency contributions divided by the entire pool contributions. Patricia Reavey noted that last year the unfunded liability of about \$3 million was reported on the financial statements as required by Governmental Accounting Standards Board (GASB) Statement No. 68.

- Are there any other GASB announcements of significance? Ahmad said there is one that is not very significant related to investments. Patricia said GASB 75 has the largest amount of change coming this year related to other postemployment benefits.
- Does VTD look at the bond proceeds? Yes, we opine on all ins/outs of bond funds, and the agency has arbitrage calculations done almost annually on the current outstanding bonds
- The committee discussed the VTD's contract. Staff mentioned that their contract expires at the end of FY2016-17.
- Will IWC have an audit subcommittee? Staff stated that legal counsel advised the agency against holding a subcommittee that may not result in diverse opinions on one of the IWC's key functions; therefore, audit information will come to the entire committee.

12. Approval of IWC Annual Report Publication Methods and Costs, and Press Release

12.1. Proposed Publication Costs and Distribution

Angie Ayers, Alameda CTC consultant, informed the committee that proposed publications costs were presented to the Annual Report Subcommittee. The costs included \$15,693 to display ads on BART trains. The subcommittee suggested that Alameda CTC consider different display ads at BART that are less costly and target stations within Alameda County. The committee reviewed version two of the proposed publication costs with 10 BART in-station ads totaling \$5,420. The committee suggested placing BART in-station ads in the following stations if space is available:

- 12th St. Oakland
- 19th St. Oakland
- Ashby
- Bay Fair (San Leandro)
- Coliseum
- Lake Merritt (Oakland)
- MacArthur (Oakland)
- Union City
- West Dublin/Pleasanton
- West Oakland

Cynthia Dorsey moved to approve the proposed publication costs listed in version two of the handout and the placement of ads at the BART stations that IWC members identified, assuming availability. Harriette Saunders seconded the motion. The motion passed with the following votes:

Yes: Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Naté, Piras, Saunders, Zukas

No: None

Abstain: None

Absent: Brown, Lester, Price, Tucknott

12.2. Draft IWC Annual Report Press Release

The committee discussed adding "However, opportunities for improvement remain" to the press release to keep the language consistent with the annual report. Some of the members and the chair suggested not adding the statement. A suggestion was made to remove "and performance measures" on page two of the press release.

13. IWC Member Reports/Issues Identification

13.1. Chair Report

Murphy McCalley stated that in January the Commission proposed hiring an independent legal counsel outside of Wendel Rosen to review the issues/concerns raised by Jason Bezis. He noted that the independent counsel has developed a report; however, the Commission has not released the report or a report summary.

13.2. IWC Issues Identification Process and Form

Murphy McCalley informed the committee that this is a standing item to keep members informed of the process of submitting issues/concerns of the public.

13.3. Issues Discussion: Affordable Student Transit Pass Program – Crossing Guards

Pat Piras said she submitted this issue to the IWC is largely for information. She wants the committee to be informed on how funds are being spent according to the measure for this program. She mentioned that the issues form is only in pdf, and she converted it to Microsoft Word if any member is interested in using this version.

14. Staff Reports/Board Actions

14.1. Measure B and Measure BB Program Compliance Report Summary

John Nguyen provided an update to this agenda item. He informed the group that the Commission approved the Measure B and Measure BB DLD Program Compliance Reports on June 30, 2016. John noted that all DLD recipients were found to be in compliance with the voter-approved transportation expenditure plans and Alameda CTC's requirements.

The committee discussed the City of Oakland's high administrative expenditures for the DLD program. This agency is in compliance, however, the administrative expenditures appear to be high. John noted that Oakland reported \$2.2 million on staffing-related expenditures, which appear as a large amount due to the way the city reported their expenditures in the compliance reports. He directed Oakland staff to break out the staffing-related expenses into specific project expenditures in future compliance reports. Tess Lengyel invited the IWC to attend a public works meeting at the City of Oakland on Tuesday, July 12, 2016 where they will discuss Measure B, Measure BB, and Vehicle Registration Fee expenditures. Discussion also took place on the high balances the cities of Fremont and Newark are carrying forward.

14.2. FY2016-17 IWC Budget

Patricia Reavey reviewed the IWC budget for FY2016-17 with the committee.

14.3. IWC Projects and Programs Watchlist Next Steps

Angie Ayers discussed this agenda item with the committee. She noted that in March members had an opportunity to sign up to watch or monitor project/programs in which they are interested. The next steps are: Alameda CTC staff prepares a letter on behalf of the chair and sends it to each city/agency sponsor to request notification of all public meetings for Measure B and Measure BB-funded projects and programs, and requests that the sponsor contact Alameda CTC staff and IWC members regarding these meetings.

14.4. IWC Roster

The committee roster is in the agenda packet for review purposes.

15. Adjournment

The meeting adjourned at 8:00 p.m. The next meeting is scheduled for November 14, 2016 at the Alameda CTC offices.

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INDEPENDENT WATCHDOG COMMITTEE July 7, 2016 ROSTER OF MEETING ATTENDANCE

Present	IWC Member	Appointed By
	Brown, Cheryl (waive)	Alameda Labor Council AFL-CIO
	Dominguez, Oscar	East Bay Economic Development Alliance
	Dorsey, Cynthia	Alameda County Mayors' Conference, District 5
	Hastings, Herb	Paratransit Advisory and Planning Committee
	Jones, Steven	Alameda County Mayors' Conference, District 1
	Lester, Brian	Alameda County, District 1 Supervisor Scott Haggerty
	Lew, Jo Ann	Alameda County Mayors' Conference, District 2
	McCalley, Murphy, Chair	Alameda County, District 4 Supervisor Nate Miley
	Nate, Glenn	Alameda County, District 2 Supervisor Richard Valle
	Piras, Pat (waive)	Sierra Club
	Price, Barbara	Alameda County Taxpayers Association
	Saunders, Harriette	Paratransit Advisory and Planning Committee
	Tucknott, Robert	Alameda County Mayors' Conference, District 4
	Zukas, Hale	Alameda County, District 5 Supervisor Keith Carson

STAFF

Present	Staff/Consultants	Title
	Tess Lengyel	Deputy Executive Director of Planning and Policy
	Patricia Reavey	Deputy Executive Director of Finance
	John Nguyen	Senior Transportation Planner
	Trinity Nguyen	Senior Transportation Engineer
	Tamara Halbritter	Senior Project Manager, Consultant
	Angie Ayers	Public Meeting Coordinator, Consultant

NAME	JURISDICTION/ ORGANIZATION	PHONE #	E-MAIL
1. <i>Charlie Cameron - Resident</i>			
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Alameda County Transportation Commission
Independent Watchdog Committee
Roster - Fiscal Year 2016-2017

	Title	Last	First	City	Appointed By	Term Began	Re-apptmt.	Term Expires	Mtgs Missed Since July '16
1	Mr.	McCalley, Chair	Murphy	Castro Valley	Alameda County Supervisor Nate Miley, D-4	Feb-15		Feb-17	0
2	Mr.	Hastings, Vice Chair	Herb	Dublin	Paratransit Advisory and Planning Committee	Jul-14		N/A	0
3	Ms.	Brown	Cheryl	Oakland	Alameda Labor Council (AFL-CIO)	Apr-15		N/A	2
4	Mr.	Buckley	Curtis	Berkeley	Bike East Bay	Oct-16		N/A	0
5	Mr.	Dominguez	Oscar	Oakland	East Bay Economic Development Alliance	Dec-15		N/A	0
6	Ms.	Dorsey	Cynthia	Oakland	Alameda County Mayors' Conference, D-5	Jan-14	Jan-16	Jan-18	0
7	Mr.	Jones	Steven	Dublin	Alameda County Mayors' Conference, D-1	Dec-12	Jan-15	Jan-17	0
8	Mr.	Lester	Brian	Pleasanton	Alameda County Supervisor Scott Haggerty, D-1	Sep-13	Jan-16	Jan-18	2
9	Ms.	Lew	Jo Ann	Union City	Alameda County Mayors' Conference, D-2	Oct-07	Dec-15	Dec-17	0
10	Mr.	Naté	Glenn	Union City	Alameda County Supervisor Richard Valle, D-2	Jan-15		Jan-17	1
11	Ms.	Piras	Pat	San Lorenzo	Sierra Club	Jan-15		N/A	0
12	Ms.	Saunders	Harriette	Alameda	Alameda County Mayors' Conference, D-3	Jul-09	Jul-16	Jul-18	0
13	Mr.	Tucknott	Robert A.	Livermore	Alameda County Mayors' Conference, D-4	Jun-14	Jul-16	Jul-18	2
14	Mr.	Zukas	Hale	Berkeley	Alameda County Supervisor Keith Carson, D-5	Jun-09	Jun-16	Jun-18	0
15		Vacancy			Alameda County Supervisor Wilma Chan, D-3				

Alameda County Transportation Commission
Independent Watchdog Committee
Roster - Fiscal Year 2016-2017

16		Vacancy			Alameda County Taxpayers Association				
17		Vacancy			League of Women Voters				



DATE: November 23, 2016

SUBJECT: November Legislative Update

RECOMMENDATION: Receive an update on state, regional, local, and federal legislative activities and approve the 2017 Legislative Program.

Summary

This legislative update provides information on federal, state, regional and local legislative activities, including outcomes of the November 2016 state and local elections, which will be provided as a handout since the election results will be known after the time of this writing. In addition, staff seeks Commission approval of Alameda CTC's 2017 Legislative Program, which will guide legislative actions and policy direction on issues during the upcoming calendar year. The full 2017 Legislative Program is included in Attachments A and B. This is an action item.

Background

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 2017 Alameda CTC Legislative Program is divided into six sections and retains many of the 2016 priorities:

1. Transportation Funding
2. Project Delivery and Operations
3. Multimodal Transportation and Land Use
4. Climate Change
5. Goods Movement
6. Partnerships

2017 State and Federal Look Ahead

At the November Commission retreat, Alameda CTC's state and federal lobbyists will provide in-depth information on the outcomes of the November 2016 elections, including member changes, and the potential policy implications on Alameda CTC's legislative activities.

2017 Legislative Program and Policy Priorities

Some of the highest priorities in Alameda CTC's 2017 Legislative Program will be to partner at federal, state, regional and local levels regarding transportation policies, funding, and project delivery. Several key activities are part of Alameda CTC's workplan:

- Goods Movement
 - Seek Cycle two of federal FASTLANE grant funding for goods movement projects in Alameda CTC's adopted goods movement plan
 - Partner with regional, state and federal agencies to advance and leverage funds for technology, community impact reduction and emission reduction programs in the adopted goods movement plan
 - Participate in development of State Freight Investment Plan as required by the FAST ACT for the federal formula allocation funds. Alameda CTC will work with partner agencies to support prioritization of Alameda County and Bay Area transportation goods movement projects in state and federal goods movement planning and funding efforts
 - Participate in the update of the State Trade Corridor Investment Fund guidelines by the California Transportation Commission
- Transportation Funding
 - Advocate for legislative action at the state for new state transportation funding
 - Advocate for Alameda County projects in regional funding opportunities such as a new bridge toll, gas tax and other regional efforts intended to fund transportation investments in the Bay Area
 - Review and comment on grant guidelines and rulemakings to ensure Alameda County eligibility for state and federal funding
 - Protect and leverage local funding to the maximum extent possible to support Alameda CTC's promises to voters
- Project and Program Delivery
 - Continue implementation of Alameda County's 2000 and 2014 Transportation Expenditure Plans and support policies and legislative actions that facilitate delivery
 - Collaborate with partners and support policies and legislative activities that support development, funding and delivery of countywide

transportation projects and programs, goods movement, efficient multimodal arterial roadways, and reliable, accessible transit planned for in Alameda CTC's four multimodal plans: the Countywide Transportation Plan, Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan.

Legislative, policy, and funding partnerships throughout the Bay Area and California will be key to the success of the 2017 Legislative Program. Alameda CTC's state and federal lobbyists will schedule meetings in the coming year with various legislators and agency staff in Sacramento and Washington, D.C. to address Alameda CTC's legislative needs in 2017.

Attachment A provides background on each of the legislative categories. Attachment B summarizes the proposed legislative platform.

State Update

The following transportation-related measures on the ballot were sponsored by Self-Help Counties throughout the state. The dollar amounts are based on 2016 estimates. The vote percentages are as of November 9, 2016.

Expenditure Plan Info	Description	Term	Amount	Total	Pass/Fail	% Vote
CCTA	Measure X : Contra Costa County sales tax measure to fund transportation improvements.	30 years	1/2 cent	\$2.9B	Fail	62.5%
HCAOG	Measure U : Humboldt County sales tax measure to fund transportation projects.	20 years	1/2 cent	\$200M	Fail	47.6%
MCAG	Measure V : Merced County sales tax measure to fund transportation projects.	30 years	1/2 cent	\$450M	Pass	69.2%
Metro	Measure M : Los Angeles County extension of half-cent sales tax measure to fund transportation projects and half-cent augmentation to improve light rail and subway lines.	No exp.	1 cent	\$3B/yr	Pass	69.8%
PCTPA	Measure M : Placer County sales tax measure to fund transportation projects.	30 years	1/2 cent	\$1.6B	Fail	63.7%
Sacramento County	Measure B : Sacramento County half-cent augmentation of half-cent sales tax measure for regional bus and light rail projects.	30 years	1/2 cent	\$3.6B	Fail	64.8%

Expenditure Plan Info	Description	Term	Amount	Total	Pass/Fail	% Vote
SANDAG	Measure A : San Diego County sales tax measure to fund transportation projects.	40 years	1/2 cent	\$18.2B	Fail	57.0%
San Luis Obispo County	Measure J-16 : San Luis Obispo County sales tax measure to fund transportation projects.	9 years	1/2 cent	\$225M	Fail	65.0%
SCCRTC	Measure D : Santa Cruz County sales tax measure to fund transportation projects.	30 years	1/2 cent	\$500M	Pass	67.1%
SFCTA	Measure K : Sales tax measure to fund homelessness programs and transportation projects.	25 years	3/4 cent	\$150M/yr	Fail	35.0%
StanCOG	Measure L : Stanislaus County sales tax measure to fund transportation projects.	25 years	1/2 cent	\$960M	Pass	70.6%
Ventura County	Measure AA : Ventura County sales tax measure to fund transportation projects.	30 years	1/2 cent	\$3.3B	Fail	56.9%
VTA	Measure B : Santa Clara County sales tax measure to fund transportation projects.	30 years	1/2 cent	\$6.5B	Pass	71.0%
TAMC	Measure X : Monterey County sales tax measure to fund transportation projects.	30 years	3/8%	\$600M	Pass	67.4%

Local Update

The following local and regional measures related to transportation and infrastructure measures were on the ballot to fund transportation operations and maintenance, capital improvements, streets and sidewalks, and pedestrian, bicycle, and traffic safety. The vote percentages are as of November 9, 2016.

Sponsor	Description	Term	Total	Pass/Fail	% Vote
AC Transit	Measure C1 : Extension of the parcel tax for AC Transit operations and maintenance.	20 years	\$600M	Pass	81.9%
BART	Bond Measure RR : An increase in homeowners' property taxes to fund capital improvements in Alameda, Contra Costa, and San Francisco counties.	40 years	\$3.5B	Pass	70.9%

Sponsor	Description	Term	Total	Pass/ Fail	% Vote
City of Alameda	Measure K1 : Reaffirms the existing annual transfer of funds from Alameda Municipal Power to the City's General Fund budget dedicated to essential services including public safety, fire and emergency response, recreation and parks, street and sidewalk maintenance, libraries, and streetlights.	No exp.	\$3.7M/yr	Pass	73.4%
City of Albany	Measure P1 : Parcel tax to repair and upgrade aging and deteriorating public sidewalks and remove obstructions so that Albany sidewalks are safe and accessible.	10 years	\$2M	Pass	77.7%
City of Berkeley	Measure T1 : Infrastructure and facilities bond measure that would support streets and sidewalks, storm drains, senior centers, parks and rec facilities, public buildings and facilities.	40 years	\$100M	Pass	86.5%
City of Oakland	Measure KK : Bond measure that would support streets, sidewalks, and pedestrian, bicycle, and traffic safety; public safety and quality of life; and housing and anti-displacement.	10 years	\$600M	Pass	82.0%

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Alameda CTC 2017 Legislation Program
- B. Alameda CTC 2017 Legislation Platform

Staff Contact

[Tess Lengyel](#), Deputy Executive Director of Planning and Policy

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2017 Alameda CTC Legislative Program

Introduction

Each year, the Alameda County Transportation Commission (Alameda CTC) adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the 2017 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 and as the county's congestion management agency. 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 2017 Alameda CTC Legislative Program include:

- The need for new, secure transportation funding sources;
- Advocacy for funding of Alameda CTC projects and programs to leverage local funds;
- Monitoring of statewide efforts to increase funding for infrastructure and improve efficiencies in transportation delivery;
- Implementation of state legislation including Senate Bill 743 that will affect Alameda County's transportation and land use activities to support the region's Sustainable Communities Strategy;
- Monitoring implementation of California's Cap-and-Trade Program for transportation funding that will help address climate change to ensure on-going eligibility for these programs for Alameda County jurisdictions and transit operators;
- Implementation of the Alameda County's 2000 and 2014 Transportation Expenditure Plans and actively seeking opportunities to leverage other funds for project and program delivery;
- Goods movement planning and advocacy, as well as policy development as a result of multimodal arterial planning and countywide transit planning efforts; 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 2017 Legislative Program is divided into six sections and retains many of the 2016 priorities:

1. Transportation Funding
2. Project Delivery and Operations
3. Multimodal Transportation and Land Use
4. Climate Change
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.

Fuel prices fluctuate significantly in California, but the gas tax remains flat with no index to inflation. Since 1993, the state and federal gas taxes have not been raised, and the costs to deliver transportation projects and programs, operate transit, and perform system maintenance continue to rise.

FAST Act

In December 2015, President Obama signed Fixing America's Surface Transportation (FAST) Act, into law. The new law authorizes \$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 for five years. However, more funding is needed to meet state, regional, and local demands for transportation improvements.

Road User Charge Pilot Program

The approval of Senate Bill 1077 (DeSaulnier) in 2014 was a step forward in California's effort to address the declining value of the state's fuel excise tax. CalSTA will implement a road user charge pilot program by January 1, 2017 and report its findings on the pilot program by June 30, 2018.

Voter-approved Funding Sources

In the absence of major state and federal funding increases for transportation, funding solutions have increasingly become reliant on voter-approved measures, many of which have the highest voter threshold requirement for passage. Over the past several years, voters have supported statewide bond measures to fund transportation infrastructure throughout the state. One such measure, California's Proposition 1B has contributed just under \$1 billion for transportation improvements in Alameda County for projects including I-80 Integrated Corridor Mobility, I-580 Eastbound High-Occupancy Vehicle (HOV) Lane, I-580 Westbound HOV Lane, I-580 Isabel Interchange, I-880 North

Safety and Operational Improvements at 23rd and 29th Avenues, I-880 Southbound HOV Lane, and Route 84 Expressway North Segment.

In November 2010, five out of seven counties in the Bay Area approved increasing the vehicle registration fees to fund transportation improvements. These advances in funding demonstrate the public's understanding that supporting essential infrastructure, transportation programs, and maintenance are critical to support the economy and vitality of local communities.

In 2014, Alameda County voters supported Measure BB which will fund \$8 billion in transportation investments over 30 years.

In 2016, cities, counties and transit operators have gone to the ballot seeking voter approval for transportation infrastructure that is not being funded at the state or federal level.

Transportation Extraordinary Session: The last day of the Transportation Extraordinary Session is November 30, 2016. There is talk/hope that the legislature will reconvene after the November elections in an effort to push through a state funding package. If a package is not approved in November, it is likely that the next legislative session will continue to include bills to provide more transportation infrastructure funding.

Alameda CTC's legislative priorities for transportation funding include the following:

Increase transportation funding

- Support efforts to lower the two-thirds voter threshold for voter-approved transportation measures.
- Support increasing the buying power of the gas tax and/or increasing transportation revenues through vehicle license fees, vehicle miles traveled, or other reliable means.
- Support efforts that protect against transportation funding diversions.
- Support new funding sources for transportation.

Protect and enhance voter-approved funding

- Support legislation that protects and provides increased, flexible funding from different fund sources to Alameda County for operating, maintaining, rehabilitating, and improving transportation infrastructure and operations.
- Support increases in federal, state, and regional funding, including through new funding sources, to expedite delivery of Alameda CTC projects and programs.
- Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures that are locally funded and locally managed.
- 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.
- Seek, acquire, and implement grants to advance to leverage local funding to for project and program delivery.

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 current project delivery processes, including environmental clearance and mitigation, design, right of way, and project financing. 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.
- Support contracting flexibility and innovative project delivery methods.
- Support high-occupancy vehicle (HOV)/toll lane expansion in Alameda County and the Bay Area, and efforts that promote effective and streamlined implementation.
- Oppose efforts that reduce the efficiencies, degrade operations or create congestion on HOV/express lanes in Alameda County
- 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 by reducing or eliminating the requirements for state or other agency reimbursements to implement projects on state/regional systems.
- Support accelerating funding and policies to implement transportation projects that create jobs and economic growth.

3. Multimodal Transportation and Land Use

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. To that end, Alameda CTC updated its Countywide Transportation Plan in 2016 and developed three new multimodal plans in 2016—Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan. Effective implementation of multimodal transportation systems relies on how local coordination and development supports these types of investments.

Linking land use and transportation decisions can result in economic growth and expanded mobility and reduced emissions for residents and businesses.

Alameda CTC supports efforts that encourage, fund, and provide incentives and/or reduce barriers to integrating transportation, housing, and jobs development in areas that foster effective transportation use. In addition, since transportation systems must serve all of society to meet the mobility needs of youth, seniors, people with disabilities, working people, and people at all income levels in our communities, Alameda CTC supports a balanced, flexible system with multiple transportation options that expand access for all transportation users.

Reduce barriers to the implementation of transportation and land use investments

- Support legislation that increases flexibility and reduces technical and funding barriers to investments linking transportation, housing, and jobs.
- Support local flexibility and decision-making on land-use for transit oriented development (TOD) and priority development areas (PDAs).
- Support innovative financing opportunities to fund TOD and PDA implementation, including affordable housing.

Expand multimodal systems and flexibility

- Support policies that provide increased flexibility for transportation service delivery through innovative, flexible programs that address the needs of commuters, youth, seniors, people with disabilities, and low-income people; and policies that do not create unfunded mandates.
- 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, vanpooling and other non-motorized modes (as applicable) with parking.

4. Climate Change

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) and affect transportation planning, funding, and delivery in Alameda County and throughout the state.

Cap-and-Trade Program Implementation

The Cap-and-Trade Program sets a statewide limit on greenhouse gas (GHG) emissions from sources responsible for 85 percent of California GHG and quarterly hosts auctions for carbon credits and revenue is directed to projects and programs that are intended to reduce GHG emissions. Unfortunately, auction returns have been significantly lower than expected in 2016 resulting in lower appropriation amounts than expected. During the , final days of the 2016 session, an agreement was announced by the Governor, Senate Pro Tem de Leon, and Speaker Rendon to appropriate \$900 million in cap-and-trade funds. This

is much less than the \$1.2 billion originally proposed by the Senate in its effort to push negotiations forward. The compromise agreement settled on a lower appropriation to provide a reserve to cushion against continued poor auction returns. The lack of an agreement last year and failure to agree on an expenditure plan as part of the budget in June increased the pressure to get these funds on the streets before the end of session.

AB 1613, which became law in September 2016, appropriates \$900 million of the \$1.4 billion in available auction revenue. This amount represents the 40 percent of auction revenue that is annually appropriated, with the 60 percent being continuously appropriated to the various transportation programs.

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 to reduce GHG emissions

- Support funding for innovative infrastructure, operations, and programs that relieve congestion, improve air quality, reduce emissions, and support economic development.
- Support cap-and-trade funds to implement the Bay Area's Sustainable Communities Strategy.
- 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.

5. Goods Movement

Alameda County serves as a gateway to the world for goods movement to and from the county, San Francisco Bay Area, Northern California, and even the Western U.S. Efficient goods movement expands job opportunities, supports local communities, and bolsters the economy of Alameda County, the Bay Area, and the nation.

Since 2013, Alameda CTC has led a Bay Area Goods Movement Collaborative that brings together partners, community members, and stakeholders from across the county and region in an organized structure to understand goods movement needs and identify, prioritize, and advocate for short- and long-term strategies to address these needs in Alameda County and the Bay Area. 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.

Alameda CTC also supports implementation of the California Freight Mobility Plan, policy development on goods movement for allocation of FAST Act funds for freight projects through the Trade Corridors Improvement Fund, and prioritization of Bay Area transportation projects in state and federal goods movement planning and funding processes.

Alameda CTC also continues to support a strong freight program and the National Multimodal Freight Network as part of the federal surface transportation bill, the FAST Act, which supports the multimodal goods movement system in Alameda County.

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 a designated funding stream for goods movement.
- Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy.
- Support legislation that improves the efficiency and connectivity of the goods movement system.
- Ensure that Bay Area transportation projects and systems are included in and prioritized in 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 CMAAs 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, and is participating in providing input on California Environmental Quality Act (CEQA) reform and on the Cap-

and-Trade Program. 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 that can translate into more effective transportation project and program advocacy and implementation.

State and Local Partnership Program:

Alameda CTC supports investment in a State and Local Partnership Program (SLPP) because it leverages local dollars, and provides an incentive for counties without a local tax program to establish one. Proposition 1B included \$1 billion for a SLPP. Alameda CTC will continue to urge the state to include a similar program that is open to all counties in state funding proposals for new revenue.

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 of its Countywide Transportation Plan and three multimodal plans—Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan—and the policies that will arise from the plans that will provide more transportation choices and improve efficiencies throughout the county and beyond. Alameda CTC will continue its many multi-county transportation efforts, such as transit planning, express lane implementation, implementation of the first-ever affordable student transit pass program, and other types of transportation projects or programs implemented in more than one county to provide a system of transportation infrastructure or services for the traveling public that can be developed so that the region is ready to receive federal, state, or other grants as they become available. This includes work on a mega-regional effort to address infrastructure that supports inter-regional goods movement and transit.

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 in transportation.
- Support policy development to advance transportation planning, policy, and funding at the county, regional, state, and federal levels.

- Partner with community agencies 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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2017 Alameda County Transportation Commission Legislative Program

The legislative program herein supports Alameda CTC's transportation vision below adopted for the 2016 Countywide Transportation Plan:

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“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"> • Support efforts to lower the two-thirds voter threshold for voter-approved transportation measures. • Support increasing the buying power of the gas tax and/or increasing transportation revenues through vehicle license fees, vehicle miles traveled, or other reliable means. • Support efforts that protect against transportation funding diversions and overall increase transportation funding. • Support new funding sources for transportation.
	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. • 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. • Seek, acquire, and implement grants to advance project and program delivery.
Project Delivery and Operations	Advance innovative project delivery	<ul style="list-style-type: none"> • Support environmental streamlining and expedited project delivery. • Support contracting flexibility and innovative project delivery methods. • Support high-occupancy vehicle (HOV)/toll 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 accelerating funding and policies to implement transportation projects that create jobs and economic growth.
	Protect the efficiency of managed lanes	<ul style="list-style-type: none"> • Support utilizing excess capacity in HOV lanes through managed lanes as a way to improve corridor efficiencies and expand traveler choices. • Support ongoing HOV/managed lane policies to maintain corridor-specific lane efficiency • Oppose legislation that degrades HOV lanes that could lead to congestion and decreased efficiency.
Multimodal Transportation and Land Use	Reduce barriers to the implementation of transportation and land use investments	<ul style="list-style-type: none"> • Support legislation that increases flexibility and reduces technical and funding barriers to investments linking transportation, housing, and jobs. • Support local flexibility and decision-making on land-use for transit oriented development (TOD) and priority development areas (PDAs). • Support innovative financing opportunities to fund TOD and PDA implementation.

Issue	Priority	Strategy Concepts
	Expand multimodal systems and flexibility	<ul style="list-style-type: none"> • Support policies that provide increased flexibility for transportation service delivery through innovative, flexible programs that address the needs of commuters, youth, seniors, people with disabilities and low-income people, including addressing parking placard abuse, and do not create unfunded mandates. • 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.
Climate Change	Support climate change legislation to reduce greenhouse gas (GHG) emissions	<ul style="list-style-type: none"> • Support funding for innovative infrastructure, operations, and programs that relieve congestion, improve air quality, reduce emissions, and support economic development. • Support cap-and-trade funds to implement the Bay Area's Sustainable Communities Strategy. • 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.
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 a designated funding stream for goods movement. • Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy. • Support legislation that improves the efficiency and connectivity of the goods movement system. • Ensure that Bay Area transportation systems are included in and prioritized in state and federal goods movement planning and funding processes. • Support rewarding Self-Help Counties that directly fund goods movement infrastructure and programs.
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 in transportation. • Support policy development to advance transportation planning, policy, and funding at the county, regional, state, and federal levels. • Partner with community agencies 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.