# Meeting Notice

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



# Alameda County Transportation Commission

## Thursday, December 7, 2017, 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.

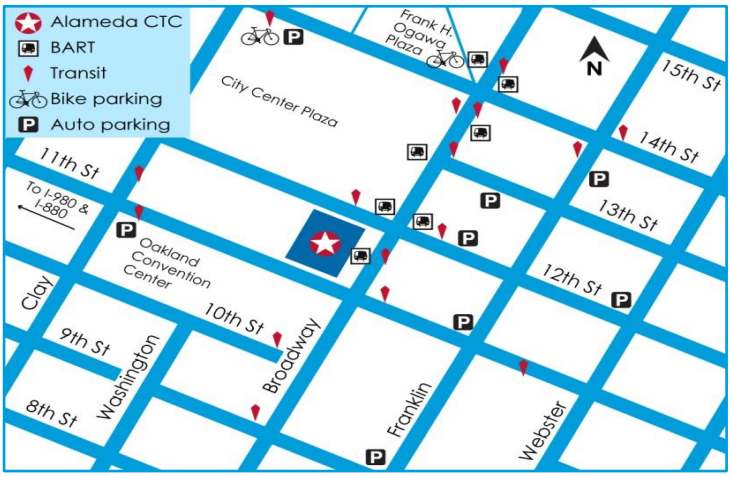
### Recording of Public Meetings
The executive director or designee may designate one or more locations from which members of the public may broadcast, photograph, video record, or tape record open and public meetings without causing a distraction. If the Commission or any committee reasonably finds 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 510-208-7450 (Voice) or 1-800-855-7100 (TTY) five days in advance to request a sign-language interpreter.




**Meeting Schedule**

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

**Paperless Policy**

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

# Commission Meeting Agenda
# Thursday, December 7, 2017, 2 p.m.

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**Chair:** Councilmember Rebecca Kaplan, City of Oakland

**Vice Chair:** Supervisor Richard Valle, Alameda County Board of Supervisors

**Executive Director:** Arthur L. Dao

**Clerk:** Vanessa Lee

| | | Page | A/I* |
|---|---|---|---|
| **1.** | **Pledge of Allegiance** | | |
| **2.** | **Roll Call** | | |
| **3.** | **Public Comment** | | |
| **4.** | **Chair and Vice Chair Report** | | |
| **5.** | **Executive Director Report** | | |
| **6.** | **Approval of Consent Calendar**<br>On November 13, 2017 Alameda CTC standing committees approved all action items on the consent calendar, except Items 6.1, 6.2. and 6.3. | | |
| **6.1.** | Approval of the September 26, 2017 meeting minutes. | 1 | A |
| **6.2.** | Resolution of Appreciation for California State Senator Jim Beall. | 7 | A |
| **6.3.** | I-580 Express Lanes: Monthly Operations Update. | 9 | I |
| **6.4.** | Approve and authorize the Executive Director, or a designee, to negotiate and execute Professional Services Agreement with System Metrics Group, Inc. for a not-to-exceed amount of $500,000 for the I-580 Express Lanes Evaluation Study. | 19 | A |
| **6.5.** | Approve the Alameda CTC FY2017-18 First Quarter Consolidated Financial Report. | 23 | A |
| **6.6.** | Receive the FY2017-18 First Quarter Report of Claims Acted Upon Under the Government Claims Act. | 29 | I |
| **6.7.** | Receive the Annual Local Business Contract Equity Program Utilization Report for payments processed between July 1, 2016 and June 30, 2017. | 33 | I |
| **6.8.** | Approve the Alameda CTC FY2017-18 First Quarter Investment Report. | 45 | A |
| **6.9.** | Approve Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and Salary Ranges for FY2018-19 and adopt Resolution No. 17-006 Calendar Year 2018 Benefits for Staff Members. | 65 | A |
| **6.10.** | Approve Administrative Updates to the Local Business Contract Equity Program. | 81 | A |
| **6.11.** | Approve the Professional Services Contracts Plan. | 109 | A |
| **6.12.** | Update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments. | 117 | I |

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

**7. Community Advisory Committee Reports**
(Time limit: 3 minutes per speaker)

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

**8. Finance and Administration Committee Action Items**

On November 13, 2017, the Finance and Administration Committee approved the following action items, unless otherwise noted in the recommendations:

| | | | |
|---|---|---|---|
| **8.1.** | Approve the Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2017. | 189 | A |

**9. Planning, Policy and Legislation Committee Action Items**

On November 13, 2017, the Planning, Policy and Legislation Committee approved the following action items, unless otherwise noted in the recommendations:

| | | | |
|---|---|---|---|
| **9.1.** | Receive an update on federal, state, regional, and local legislative activities and approve the 2018 Legislative Program. | 193 | A |

**10. Member Reports**

**11. Adjournment**

**Next meeting:** February 1, 2017, 2:00 p.m.

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

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

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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 Valle, Commissioner Miley, Commissioner Marchand and Commissioner McBain.

   Commissioner Campbell-Washington was present as an alternate for Commissioner Chan.

   **Subsequent to the Roll call**
   Commissioner Miley arrived during item 8.1
   Commissioner Carson and Haggerty left during Item 8.1

3. **Public Comment**
   There was a public comment on this item by Lynette Gibson McElhaney, City of Oakland Councilmember, regarding support for her appointment to the Association of Bay Area Governments.

4. **Chair/Vice-Chair Report**
   Chair Kaplan stated that the Bay Area Air Quality Management District Mobile source committee met earlier in the day. She also noted that SB 595 was signed into law and will be put on the ballot for voter approval. Chair Kaplan concluded her report by honoring first responders and the residents affected by the Northern California wildfires and requested that the meeting adjourn in their honor.

5. **Executive Director's Report**
   Art Dao stated that the Executive Director's report can be found in the Commissioners' folders as well as on the Alameda CTC website. He update the Commission on project delivery milestones on key projects and stated that there is an upcoming goods movement roundtable scheduled for December 11, 2017. Mr. Dao also briefly covered SB1 (the Road Repair and Accountability Act) as well as two initiatives to appeal the bill.

   Commissioner Haggerty encouraged the Commissioners as well as their respective city Councilmembers to attend the December 11th reception to thank Senator Beall for his work on SB1, SB595 known as Regional Measure 3.

6. **Consent Calendar**
   - **6.1.** Approval of the September 26, 2017 meeting minutes.
   - **6.2.** I-580 Express Lanes: Monthly Operations Update.
   - **6.3.** Update on the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments.
   - **6.4.** Receive an update on federal, state, and local legislative activities and state legislation.

**6.5.** Approve and authorize the Executive Director, or a designee, to execute a funding agreement contributing $200,000 of Alameda CTC funds to the Metropolitan Transportation Commission for completion of the I-580 Design Alternative Assessment.

**6.6.** Approve and authorize the Executive Director, or a designee to negotiate and execute the Professional Services Agreement with Kittelson & Associates, Inc. for a not-to-exceed amount of $1,200,000 to provide Planning and Engineering Services for the East 14th/Mission and Fremont Boulevard Multimodal Corridor Project.

**6.7.** Approve Resolution 17-004, regarding the approval of the Alameda County 2018 State Transportation Improvement Program (STIP) Project List; and approve Resolution 17-005, the project-specific resolution of local support for recommended STIP projects implemented by the Alameda CTC.

**6.8.** South County Capital Projects and Programming Strategy: Receive an update on the South County Capital Project needs and approve the Programming Principles for the 2014 Measure BB Dumbarton Corridor Area Transportation Improvements (MBB TEP-21) funds.

**6.9.** East Bay Greenway (Lake Merritt BART to South Hayward BART) (PN 1457001): Receive an update on the status of the release of the Draft Environmental Document.

**6.10.** State Route 84 Expressway – South Segment (PN 1210002): Approve and authorize the Executive Director to execute Amendment No. 5 to the Professional Services Agreement No. A05-0004 with AECOM Technical Services, Inc. and Amendment No. 1 to Professional Services Agreement A17-0010 with H.T. Harvey & Associates Ecological Consultants for additional budget and time to provide required services for project completion.

**6.11.** Approve Administrative Amendments to Various Project Agreements (2003-02, A11-0038, A11-0039, A13-0058, A13-0062) in support of the Alameda CTC's Capital Projects and Program delivery commitments.

**6.12.** Goods Movement Funding Updates.

**6.13.** Rail Strategy Study Update.

**6.14.** Approval of Community Advisory Committee Appointments.

Mr. Dao noted that for item 6.13 that the Goods Movement Planning Committee (GMPC) made a motion to direct staff that the GMPC chair be involved in negotiations with Union Pacific Rail Road.

Commissioner Halliday requested clarification on the vote count on item 8.1 as stated in the September 26, 2017 minutes. Mr. Dao stated that the vote count listed in the minutes is reflective of the agency's weighted votes. Commissioner Halliday then motioned to approve this item. Commissioner Bauters seconded the motion. The motion passed with the following votes:

*Yes:* *Ortiz, Haggerty, Campbell-Washington, Carson, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Freitas, Kalb, Thorne, Cutter, Dutra-Vernaci*

*No:* *None*
*Abstain:* *None*
*Absent:* *Valle, Miley, Marchand, McBain*

Commissioner *Haggerty moved to approve the remainder of the Consent Calendar with the additional information as noted for item 6.13. Commissioner Dutra-Vernaci seconded the motion. The motion passed with the following vote:*

*Yes:* *Ortiz, Haggerty, Campbell-Washington, Carson, Saltzman, Spencer, Maass, Worthington, Haubert, Bauters, Mei, Halliday, Freitas, Kalb, Thorne, Cutter, Dutra-Vernaci*
*No:* *None*
*Abstain:* *None*
*Absent:* *Valle, Miley, Marchand, McBain*

**7. Community Advisory Committee Reports**

**7.1. Bicycle and Pedestrian Advisory Committee (BPAC)**
Matt Turner, Chair of BPAC, stated that the Committee met on October 5, 2017. The committee received an update on the Safe Routes to School program as well as bike safety efforts and the ibike campaign. Mr Turner stated that the Commitete also reviewed the Gilman Street project and received an update from CalTrans on the District 4 bike plan. He conclude by stating that the next scheduled meeting is on January 11, 2018.

**7.2 Independent Watchdog Committee (IWC)**
There was no report from the IWC.

**7.3. Paratransit Advisory and Planning Committee (PAPCO)**
Sylvia Stadmire, Chair of PAPCO, stated that the Committee met jointly on October 23, 2017 with the paratransit technical advisory committee. The committee received a presentation from volunteer driver programs operating in Alameda County. She concluded that the next scheduled meeting is on November 20, 2017.

**8. Planning, Policy and Legislation Action items**

**8.1. Receive an update on the evaluation of Year One of the Affordable Student Transit Pass Program Pilot and the launch of Year Two.**
Cathleen Sullivan provided an update on the evaluation of Year One of the Affordable Student Transit Pass Program Pilot and the launch of Year Two. She provided information on the year one design and reviewed goals of the pilot and implementation of the pilot throughout the county. Ms. Sullivan reviewed the pilot evaluation based on the eighteen Commission approved quantitative and qualitative measures and she noted that the results to date show that all goals of the pilot are being met. Ms. Sullivan summarized the pass distribution, transit usage over the first year, mode share, transit perceptions for participants and non-participants, and information on cost savings for year one participants. Ms. Sullivan concluded the presentation by providing information on the year two program design including next steps and schedule. Ms. Lengyel noted that the agency is going to actively try to get SB1 funding as a funding option to expand the program.

Commissioner Bauters wanted to know if there were any non-quantitate follow-up questions asked to the participants who took the surveys, specifically the perceptions regarding transit ridership. Ms. Sullivan stated that there were no follow-up questions asked and that the survey results are more representative of the overarching goals of the program.

Commissioner Worthington thanked staff for the success of the program.

Commissioner Kalb stated that as the program moves forward that schools with high truancy rates be added as a priority when considering new schools for year three of the program. Ms. Lengyel stated that it would be considered.

Commissioner Saltzman noted that it would be very important to convey the success of the program with local and state legislators.

Commissioner Spencer stated that it is very important to get more schools in order to assist students who have truancy issues get to school on time.

Commissioner Cutter suggested adding more bus routes to the program for a more holistic approach. Commissioner Ortiz stated that providing more bus routes is very expensive for AC Transit and she wanted to ensure that staff considered the financial impacts of adding additional bus routes.

There was a public comment on this item by John Claussen, of the Genesis Transportation Task Force, who stated that the program has had a phenomenal impact of the lives of the children and families in the county who have participated in the program.

*This item was for information only.*

**9. Programs and Project Committee Action Items**

**9.1. Alameda CTC's Measure B, Measure BB, and Vehicle Registration Fee Programs Update.**

John Nguyen provided an update on Alameda CTC's Measure B, Measure BB, and Vehicle Registration Fee Programs. Mr. Nguyen provided information on the each programs distributions, local revenues generated, and historical direct local distributions. He also provided information on the historical expenditure and fund balances. Mr. Nguyen also covered the discretionary program funds and noted that these funds are programmed through the Comprehensive Investment Plan (CIP). He concluded the update by providing information on next steps and schedule for the programs.

Commissioner Cutter asked if the amounts listed on slide 8 of the presentation are funds that are remaining and have been unspent. Mr. Nguyen confirmed that the amounts listed are the unspent fund balances.

*This item was for information only.*

**10. Member Reports**

Commissioner Mei noted that the City of Fremont started a mobility task force to bring together transit agencies and community members and to engage neighborhood input.

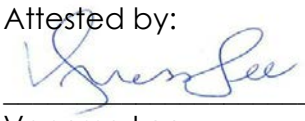
**11. Adjournment**

Chair Kaplan adjourned the meeting in honor of the first responders and residents impacted by the Northern Bay Area wildfires.

The next meeting is:

Date/Time: Thursday, December 7, 2017 at 2:00 p.m.
Location: Alameda CTC Offices, 1111 Broadway, Suite 800, Oakland, CA 94607

Attested by:



Vanessa Lee,
Clerk of the Commission

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ALAMEDA County Transportation Commission

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION**
**Resolution No. 17-009**

## Resolution of Appreciation and Commendation from the Alameda County Transportation Commission for California State Senator Jim Beall

**WHEREAS**, in his role as Chair of the Senate Transportation and Housing Committee for the State of California, Senator Jim Beall has supported the passage of transportation revenue measures and transportation investments.

**WHEREAS**, Senator Jim Beall authored Senate Bill 1 (SB1), the Road Repair and Accountability Act of 2017, which is the first significant increase in state transportation funding in more than two decades; and

**WHEREAS**, SB 1 is an important state transportation measure that establishes a source for new revenue and is dedicated to the repair and maintenance of local roadways, state highways, trade corridors, passenger rail, public transit and active transportation programs; and

**WHEREAS**, SB 1 will result in a vast array of improvements to the multimodal transportation infrastructure in Alameda County and in communities throughout California, including improving the safety and efficiency of state highways, local roads, public transit, bicycle and pedestrian facilities, and goods movement; and

**WHEREAS**, Senate Bill 595 (SB 595), authored by Senator Beall, will provide $4.45 billion in funding for new transportation projects collectively known as Regional Measure 3 (RM 3); and

**WHEREAS,** Senator Beall's leadership on SB 595 will fund transportation projects and transit operations aimed at reducing congestion on bridge corridors in Alameda County, if approved by voters; and

**WHEREAS**, Senator Beall has facilitated the critical partnering between the state and local counties in meeting transportation needs;

**THEREFORE, BE IT RESOLVED,** that the Alameda County Transportation Commission does hereby salute and recognize Senator Jim Beall for his dedication, determination and hard work championing legislation for transportation investments that expand safety and access, improve mobility and reliability, increase travel choices and create jobs that support a vibrant and livable Alameda County and State of California.

**DULY PASSED AND ADOPTED** by the Alameda County Transportation Commission at the regular Alameda CTC Board meeting held on Thursday, December 7, 2017 in Oakland, California, by the following vote:

AYES: NOES: ABSTAIN: ABSENT:

SIGNED: SIGNED:

_____ _____

Rebecca Kaplan, Chair Arthur L. Dao, Executive Director

Attested:

_____

Vanessa Lee
Clerk of the Commission

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | I-580 Express Lanes (PN 1373.002): Monthly Operation Update |
| **RECOMMENDATION:** | Receive a status update on the operation of I-580 Express Lanes |

**Summary**

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

The September 2017 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 higher speeds and lesser average lane densities than the general purpose lanes, resulting in a more comfortable drive and travel time savings for express lane users.

**Background**

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

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

**September 2017 Operations Update:** Over 654,000 express lane trips were recorded during operational hours in September, an average of approximately 32,300 daily trips. Table 1 presents the breakdown of trips based on toll classification and direction of travel; these percentages have remained consistent for the last eight months. Pursuant to the Commission-adopted "Ordinance for Administration of Tolls and Enforcement of Toll Violations for the I-580 Express Lanes," if a vehicle uses the express lanes without a valid FasTrak® toll tag then the license plate read by the Electronic Tolling System is used to either assess a toll either by means of an existing FasTrak account to which the license plate is registered or by issuing a notice of toll evasion violation to the registered vehicle owner. Approximately half of all trips by users without a toll tag are assessed tolls via FasTrak account.

Table 1. Express Lane Trips by Type and Direction for September 2017

| Trip Classification | | Percent of Trips[1] |
|---|---|---|
| By Type | HOV-eligible with FasTrak flex tag | 41% |
| | SOV with FasTrak standard or flex tag | 38% |
| | No valid toll tag in vehicle[1] | 21% |
| By Direction | Westbound | 46% |
| | Eastbound | 54% |

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

Express lane users 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). Table 2 summarizes the average speed differentials and LOS at four locations in each of the westbound and eastbound directions during respective commute hours for September. This table provides an overall snapshot of the express lane benefits for the month during commute hours.

Attachment B presents the speed and density heat maps for the I-580 corridor during revenue hours for the six-month period from April 2017 – September 2017. These heat maps are a graphical representation of the overall condition of the corridor, showing the average speeds and densities along the express lane corridor and throughout the day for both the express and general purpose lanes, and are used to evaluate whether the express lane is meeting both federal and state performance standards. During these six months, the average speeds in the westbound express lane ranged from 50 to 70 mph during the morning commute hours (5 am to 11 am) with the lower speeds occurring

between Isabel Avenue and Hacienda Road. The express lane operated at LOS C or better at most times, with a short half-hour period of LOS D experienced near Fallon Road in the morning commutes. By comparison, the general purpose lanes experienced average speeds as low as 40 mph and LOS D throughout several sections of the corridor. During the evening commute, the westbound lanes reflect a small period of reverse-commute congestion between Hacienda Road and San Ramon Road from 5 pm to 6 pm, though the express lane continued to operate at LOS A or better during this time. Outside of the commute hours, express lane users experience average speeds of 70 mph or higher and average LOS A.

Table 2. Speed Differentials and Level of Service for September 2017

| 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 | 6 | A | C |
| | North Livermore Ave | 2 - 5 | 4 | B | C |
| | Fallon Road | 11 - 17 | 14 | B | C |
| | Santa Rita Road | 9 - 17 | 12 | B | C |
| Eastbound Evening Commute: 2 pm – 7 pm | Hacienda Drive | 19 - 26 | 22 | C | E |
| | Airway Blvd | 6 – 11 | 8 | B | C |
| | North Livermore Ave | 7 – 12 | 10 | B | C |
| | North First Street | 13 - 20 | 15 | B | C |

In the eastbound direction, average express lane speeds from April 2017 through September 2017 ranged from 20 to 70 mph during the evening commute hours (2 pm – 7 pm) with the lowest speeds occurring at the eastern terminus of the express lanes, between Vasco Road and Greenville Road. Average express lane speeds throughout the rest of the day exceeded 70 mph. Most of the express lane corridor operates at LOS C better during the evening commute hours, with limited sections of degraded LOS at the western end of the express lanes between 3 pm and 5 pm and at the eastern terminus between 4 pm and 6 pm. The express lanes averaged LOS B or better throughout the rest of the day in all locations. By comparison, the general purpose lanes experienced lower speeds and degraded levels of services for longer periods of time than the express lane during the evening commute hours.

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, for September 2017.

Table 3. Toll Rate Data for September 2017

| Direction | Maximum Posted Toll (Travel Entire Corridor) | Average Assessed[1] Toll (All Toll Trips) |
|---|---|---|
| Westbound | $11.00 (1 of 20 days) | $2.30 |
| Eastbound | $9.00 (18 of 20 days) | $3.37 |

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

During Fiscal Year 2017-18, the I-580 Express Lanes have recorded nearly 2.06 million total trips. Total gross revenues received include $3.08 million in toll revenues and $1.08 million in violation fees and penalties.

Staff is coordinating education and outreach with partner agencies including CCTA, MTC, 511 Contra Costa as well as local CMAs to promote consistent messaging and accessible information about the I-580, I-680 Sunol, and the I-680 Contra Costa County express lanes, which opened on October 9, 2017.

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

**Attachments**

A. I-580 Corridor Express Lane Location Map
B. I-580 Corridor Heat Maps April 2017 – September 2017

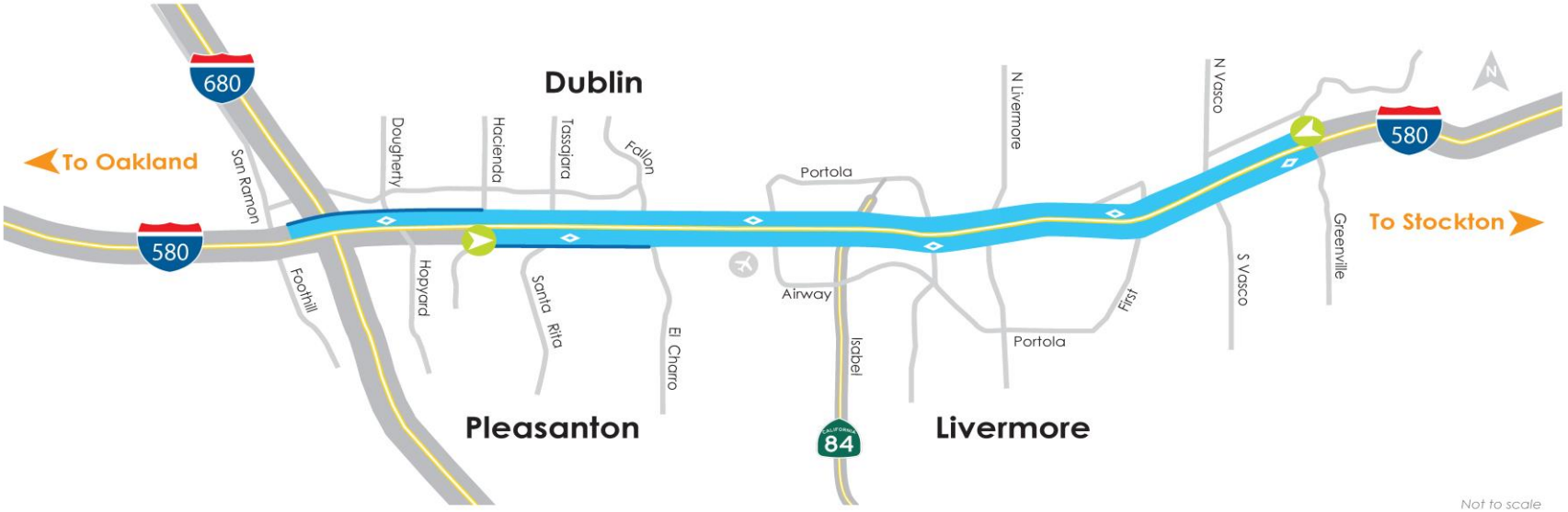
**Staff Contact**

Liz Rutman, Director of Express Lanes Implementation and Operations

Ashley Tam, Assistant Transportation Engineer

# I-580 Express Lanes Project Location Map

6.3A




**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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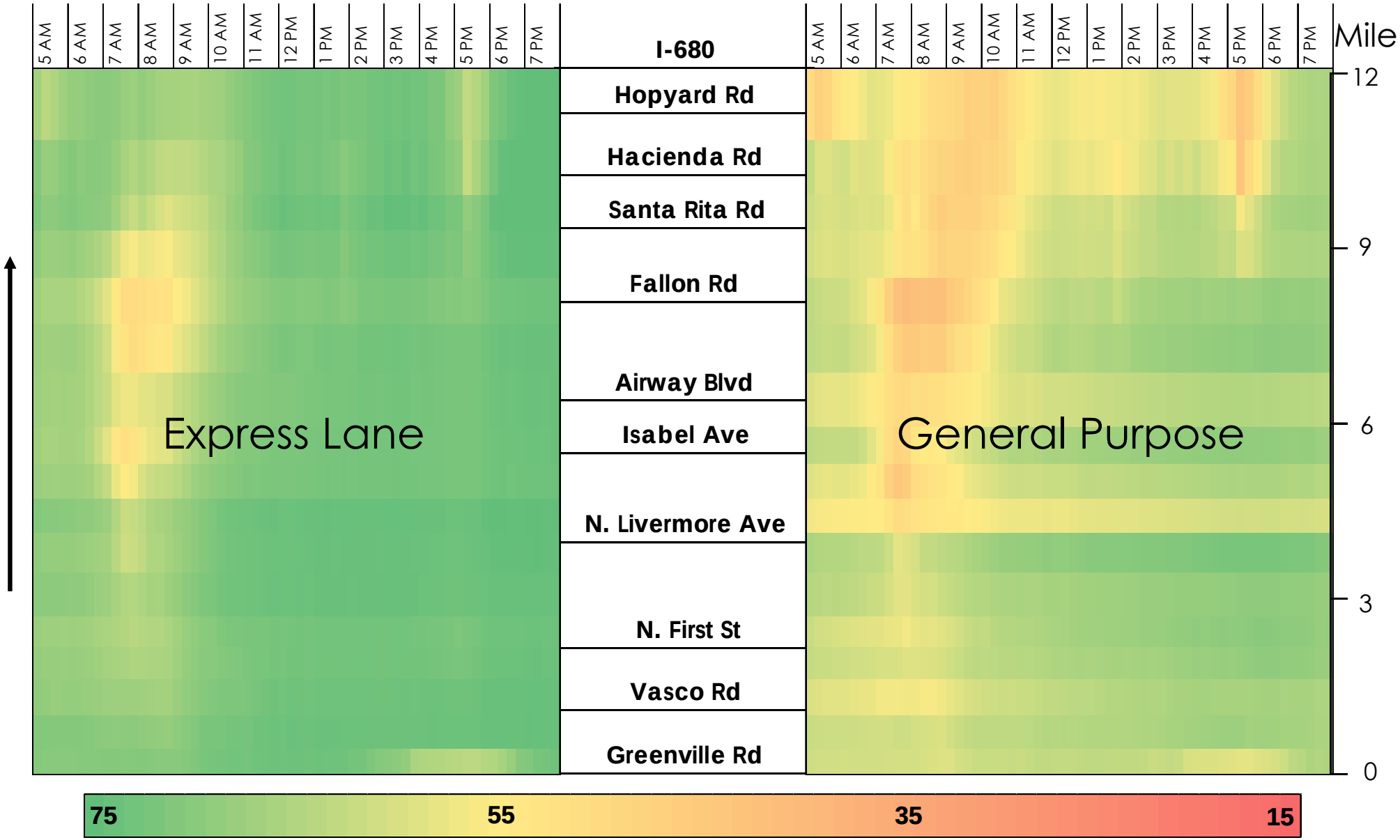
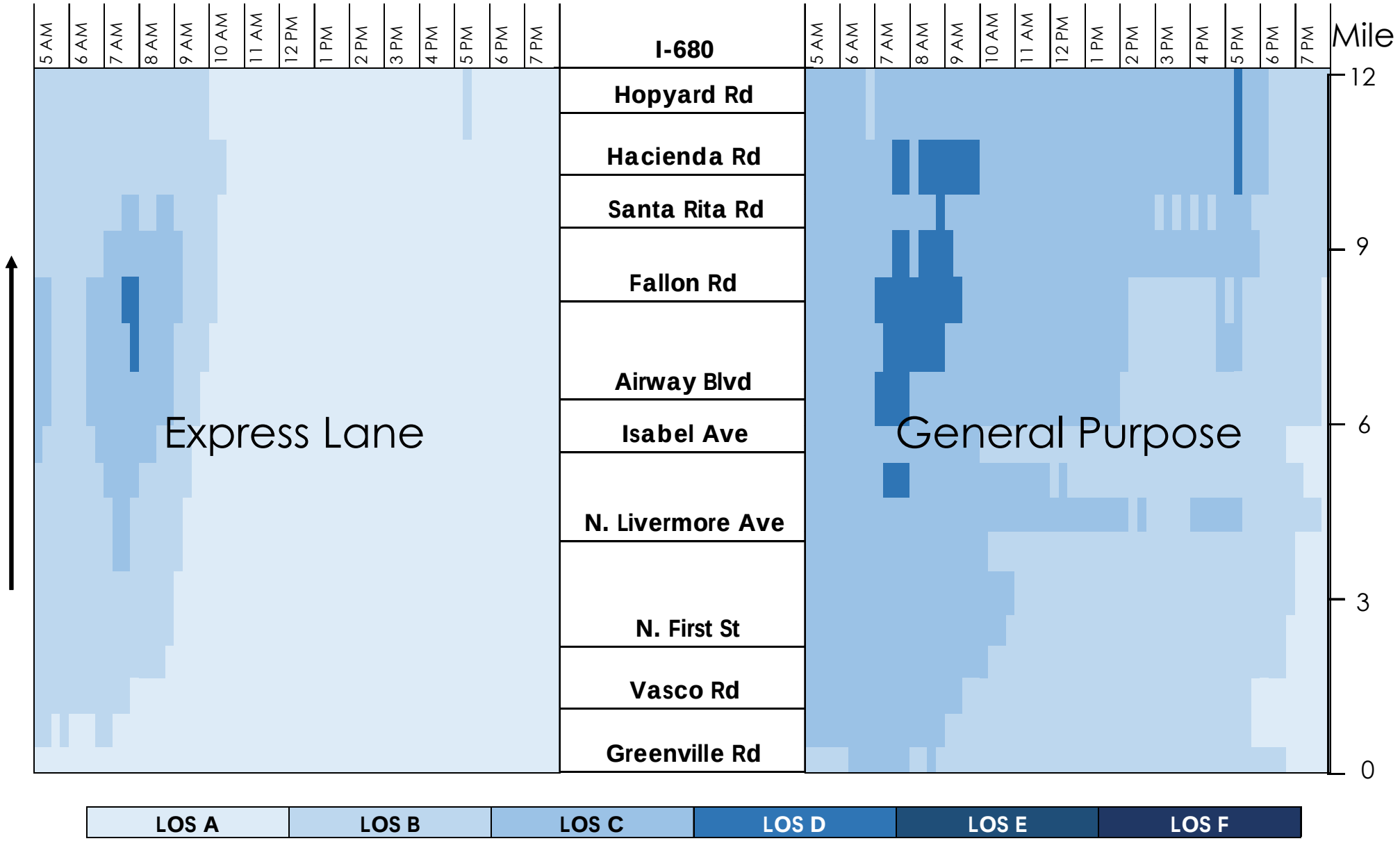
# Westbound I-580 Corridor Speed Heat Maps

## Monday-Friday, April 2017 – September 2017



# Westbound I-580 Corridor Density Heat Maps

## Monday-Friday, April 2017 – September 2017



# Eastbound I-580 Corridor Speed Heat Maps

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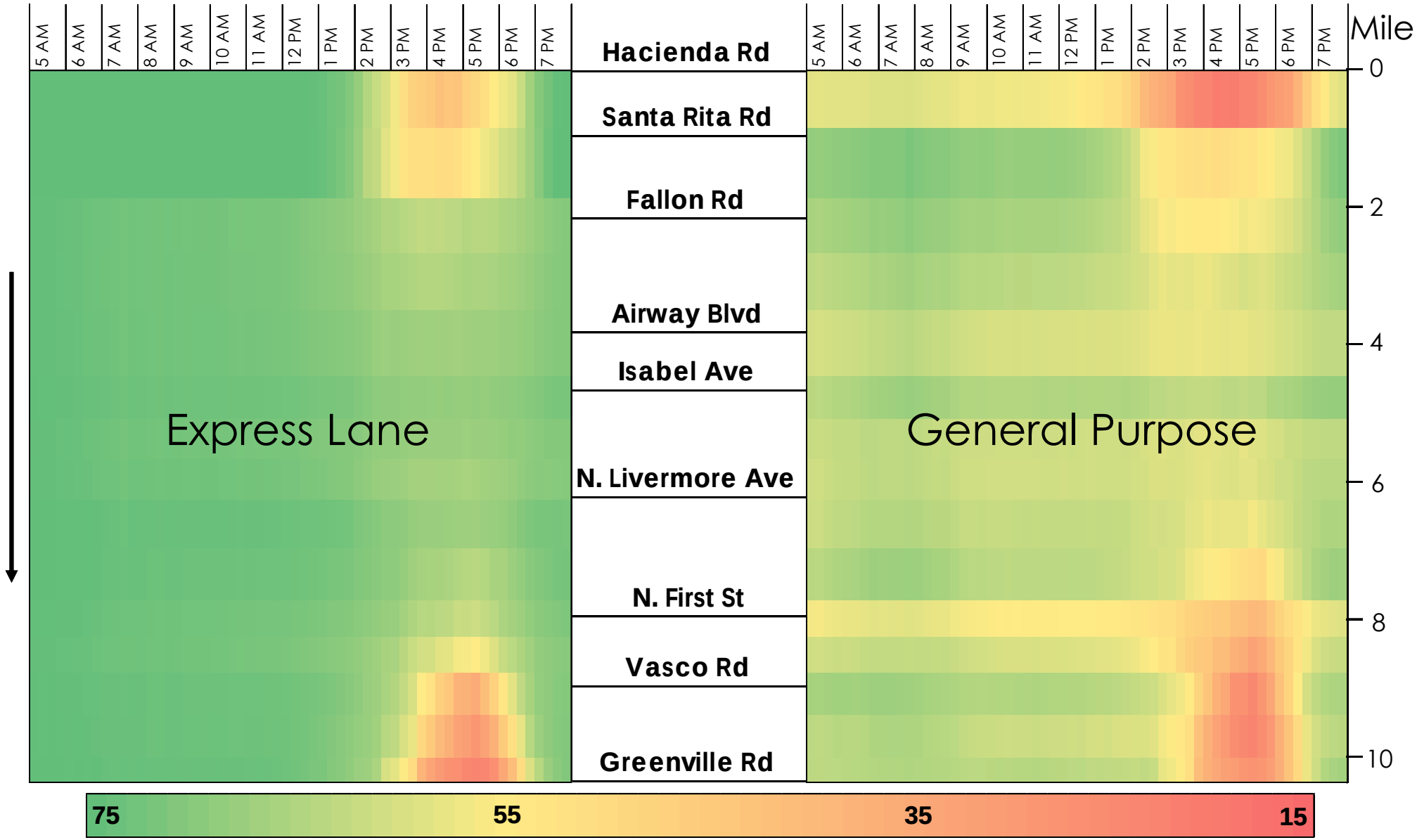
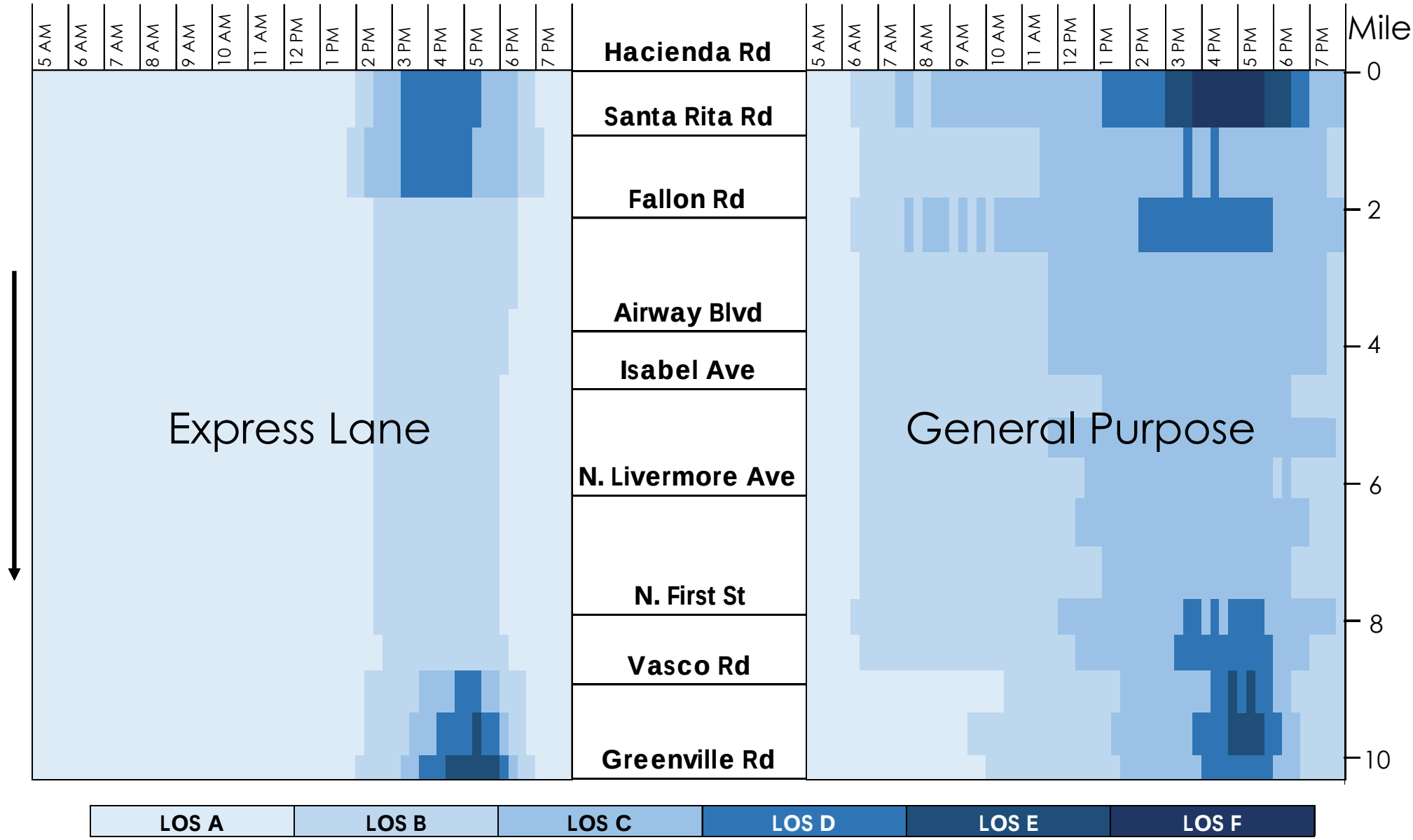


# Eastbound I-580 Corridor Density Heat Maps

## Monday-Friday, April 2017 – September 2017



# Memorandum

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

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | I-580 Express Lanes Evaluation Study: Professional Services Agreement with System Metrics Group, Inc. |
| **RECOMMENDATION:** | Approve and authorize the Executive Director, or a designee to negotiate and execute Professional Services Agreement with System Metrics Group, Inc. for a not-to-exceed amount of $500,000 for the I-580 Express Lanes Evaluation Study. |

## Summary

The Alameda County Transportation Commission (Alameda CTC) is the project sponsor and operating agency of the I-580 Express Lanes. This project was opened to traffic on February 19th and 22nd of 2016. Assembly Bill (AB) 574 requires a report on the findings, conclusions, and recommendations of the I-580 Express Lanes to be completed within three years of the first revenue day. After over a year of operation, express lane traffic and usage has stabilized such that it is suitable to evaluate the performance of the I-580 Express Lanes.

In July of this year, the Commission approved the release of a request for proposals (RFP) for professional services to perform the I-580 Express Lanes Evaluation Study (Study) and authorized the Executive Director to negotiate a professional services agreement with the top-ranked firm. Staff released the RFP on September 7, 2017 and proposals were due on October 5, 2017. Four proposals were received and reviewed by a panel consisting of three Alameda CTC staff from Planning and Express Lanes groups. Based on the review of the proposals and interviews, the panel selected System Metrics Group, Inc. as the top-ranked firm.

Staff recommends that the Commission approve and authorize the Executive Director, or a designee to negotiate and execute Professional Services Agreement with System Metrics Group, Inc. for a not-to-exceed amount of $500,000 for the I-580 Express Lanes Evaluation Study. The resulting contract will be funded by I-580 Express Lanes operations revenues and will span 18 months.

## Background

The I-580 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. The I-580 Express Lanes corridor is the second of two corridors authorized by AB 2032 (Dutra) for express lane operations in Alameda County. Under this legislation, the first express lane to open was the I-680 Sunol Express Lane corridor, which has been in operations since September 2010 and is owned by the Sunol Smart Carpool Joint Powers Authority but operated by Alameda CTC. AB 574 (Torrico) has subsequently amended AB 2032 (Dutra) to allow permanent operations of the express lanes authorized in AB 2032 (Dutra).

The authorizing legislation (AB 2032) requires an "after" study to be completed no later than three years after the I-580 Express Lanes opened to traffic. The Study will fulfill this requirement for the I-580 Express Lanes and result in a report Alameda CTC will submit to the California State Legislature on findings, conclusions, and recommendations concerning the I-580 Express Lanes. The report will include an analysis of the effect of the express lanes on the adjacent general purpose lanes. A similar evaluation report for the southbound I-680 Express Lane was completed and submitted to the legislature in June 2013.

Prior to construction of the I-580 Express Lanes, "before" conditions data, particularly travel time, speed, and occupancy, were collected and documented and are available for use during the Study for a comprehensive evaluation of the I-580 Express Lanes.

The Study will begin in December 2018 with data collection in spring of 2018 to be consistent with the timeline for data collection of the "before" conditions. Staff anticipates draft evaluation findings will be shared with the Commission in October 2018, with a final report completed and sent to the Legislature by February 2019. Should performance results warrant additional assessment, an optional task to conduct a geometric and/or operational assessment of the express lanes will be included in the contract and would be completed in June 2019. The entire duration of the contract will be 18 months.

**Procurement**: In order to provide the consultant resources necessary for the successful completion of the Study, Alameda CTC released RFP No. R18-0006 in September 2017. Alameda CTC received four proposals on October 5, 2017 from the following firms:

- Cambridge Systematics, Inc.
- Kittelson & Associates, Inc.
- System Metrics Group, Inc.
- TJKM Transportation Consultants

An independent selection panel of three Alameda CTC staff from Planning and Express Lanes groups reviewed the proposals and selected all four (4) firms for interview. Consultant interviews were conducted on October 27, 2017.

Proposers were evaluated and scored based on their knowledge and understanding of the required services; management approach and staffing plan to performing the scope of work efficiently and effectively; qualifications of the proposer firm; and effectiveness of the interview.

At the conclusion of the evaluation process, the selection panel ranked the teams in the following order:

- System Metrics Group, Inc.
- Cambridge Systematics, Inc.
- Kittelson & Associates, Inc.
- TJKM Transportation Consultants

The Professional Services Agreement scope will include:

- Development of performance measures
- Data collection of "after" conditions and summarizing available "before" data
- Evaluation of performance measures
- Documentation of findings in Draft and Final Evaluation Study Reports
- Presentations to the Committee and Commission of evaluation findings
- Development of the Evaluation Study Report for the Legislature
- Optional assessment of geometric and/or operational enhancements regarding the continuous access configuration and/or other design features based on the outcome of the evaluation findings.

System Metrics Group, Inc. is a well-established consulting firm with a local office in the Bay Area. In the event Alameda CTC does not reach agreement with System Metrics Group, Inc., negotiations will proceed with the second highest ranked proposer from the ranking list, shown above.

**Recommendation:** Staff recommends that the Commission approve and authorize the Executive Director, or a designee to negotiate and execute Professional Services Agreement with System Metrics Group, Inc. for a not-to-exceed amount of $500,000 for the I-580 Express Lanes Evaluation Study.

**Levine Act Statement:** The System Metrics Group, Inc. team did not report a conflict in accordance with the Levine Act.

**Fiscal Impact**: The fiscal impact of approving this item is $500,000. The action will authorize I-580 toll revenue funds to be used for subsequent expenditure. Budget has been included in the approved I-580 Express Lane Operations budget for FY 2017-18 and will be included in the FY 2018-19 I-580 Express Lane Operations budget as appropriate.

**Staff Contacts**

Liz Rutman, Director of Express Lanes Implementation and Operations

Saravana Suthanthira, Principal Transportation Planner

Kristen Villanueva, Senior Transportation Planner

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Alameda CTC FY2017-18 First Quarter Consolidated Financial Report |
| **RECOMMENDATION:** | Approve the Alameda CTC FY2017-18 First Quarter Consolidated Financial Report |

## Summary

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

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

## Activity

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

*Revenues*

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

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

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

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

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

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

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

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

*Limitations Calculations*

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

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

**Attachment**

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

**Staff Contacts**

Patricia Reavey, Deputy Executive Director of Finance and Administration

Yoana Navarro, Accounting Manager

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

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

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

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | FY2017-18 First Quarter Report of Claims Acted Upon Under the Government Claims Act |
| **RECOMMENDATION:** | Receive the FY2017-18 First Quarter Report of Claims Acted Upon Under the Government Claims Act |

**Summary**

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

California Government Code section 935.4 states:

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

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

## Background

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

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

## Attachment

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

## Staff Contact

Patricia Reavey, Deputy Executive Director of Finance and Administration

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

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

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

## Summary

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

### *LBCE Program Summary*

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

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

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

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

## Background

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

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

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

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

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

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

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

***Reporting Process***

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

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

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

***Certification Update***

**TABLE 3 – Certified Firms by Contract Types**

| Contract Type | LBE[1] | SLBE[2] | VSLBE | # of Firms Certified this Reporting Period |
|---|---|---|---|---|
| Professional Services | 42 | 26 | 16 | 42 |
| Commodities/Vendors | 104 | 63 | 47 | 104 |
| Construction | 10 | 3 | 2 | 10 |
| **Total** | **156** | **92** | **65** | **156** |

[1] *Includes SLBE and VSLBE certified firms*
[2] *Includes VSLBE certified firms*

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

**Attachments**

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

**Staff Contact**

Seung Cho, Director of Budgets and Administration

# Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016 End Date: 6/30/2017

| Contract Number/Company Name | Contract Amount | Total Payment to Date | Payment Current Reporting Period | Goal Attainment (Current Reporting Period) LBE | SLBE | VSLBE | DBE | Goal Attainment (Cumulative) LBE | SLBE | VSLBE | DBE |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Contract Type: PSA (Professional Services Agreement)** | | | | | | | | | | | |
| **Goal Requirements for LBCE (70% for LBE and 30% for SLBE)** | | | | | | | | | | | |
| A05-0004 - URS Corporation | $15,750,000.00 | $15,641,845.04 | $854,298.86 | 97.45% | 19.97% | 11.58% | 19.97% | 91.50% | 29.29% | 6.30% | 17.81% |
| A10-0026 - HQE, Inc. | $1,055,659.00 | $1,050,026.22 | $16,670.38 | 100.00% | 40.95% | 40.95% | 40.95% | 100.00% | 61.79% | 60.91% | 61.79% |
| A11-0058 - Vavrinek, Trine, Day & Co., LLP | $539,500.00 | $347,500.00 | $51,000.00 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A12-0035 - The PFM Group | $300,000.00 | $25,831.08 | $21,431.08 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A13-0004 - GenSpring Family Offices | $470,000.00 | $313,689.01 | $87,373.31 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A13-0026 - Cambridge Systematics | $1,449,833.64 | $1,449,833.64 | $15,878.06 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 2.06% | 2.06% | 2.06% |
| A13-0089 - Parsons Brinckerhoff | $1,500,000.00 | $1,477,999.03 | $712,627.70 | 94.64% | 12.16% | 12.16% | 5.86% | 92.81% | 14.44% | 14.44% | 9.36% |
| A14-0002 - MV Transportation, Inc. | $140,000.00 | $54,163.03 | $7,863.96 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A14-0011 - Fehr & Peers Associates | $799,999.00 | $799,976.95 | $277,344.71 | 100.00% | 30.79% | 30.79% | 21.81% | 100.00% | 22.02% | 22.02% | 8.47% |
| A14-0018 - L. Luster & Associates | $300,000.00 | $282,385.00 | $27,970.00 | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% |
| A14-0023 - Nelson/Nygaard Consulting Associates | $760,500.00 | $696,775.29 | $101,701.56 | 100.00% | 20.99% | 0.00% | 20.99% | 99.62% | 30.98% | 0.00% | 30.98% |
| A14-0051 - HNTB | $4,900,000.00 | $2,004,806.97 | $477,385.35 | 97.81% | 3.80% | 3.28% | 3.48% | 96.84% | 23.76% | 10.05% | 24.61% |
| A14-0052 - AECOM Technical Services, Inc. | $4,640,624.00 | $3,889,991.69 | $2,992,688.41 | 99.82% | 27.72% | 0.00% | 7.69% | 99.86% | 24.36% | 0.00% | 6.49% |
| A15-0009 - Koff & Associates Inc | $75,000.00 | $47,801.64 | $160.00 | 100.00% | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% | 0.00% | 100.00% |
| A15-0044 - Novani, LLC | $70,500.00 | $19,500.00 | $4,875.00 | 0.00% | 0.00% | 0.00% | 76.92% | 0.00% | 0.00% | 0.00% | 76.92% |
| A16-0027 - Nelson/Nygaard Consulting Associates | $2,000,000.00 | $754,680.55 | $443,592.37 | 97.28% | 18.14% | 0.00% | 18.14% | 98.40% | 14.89% | 0.00% | 14.89% |
| A16-0075 - HNTB | $1,000,000.00 | $230,721.66 | $150,544.49 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A17-0003 - CirclePoint | $224,933.00 | $164,335.96 | $101,398.33 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 20.43% | 0.00% | 17.21% |
| A17-0004 - Jacobs Engineering Group, Inc. | $13,000,000.00 | $4,851,054.04 | $3,277,195.93 | 99.95% | 22.95% | 0.00% | 15.64% | 99.74% | 26.15% | 0.00% | 18.29% |
| A17-0005 - Nelson/Nygaard Consulting Associates | $596,254.00 | $272,454.01 | $151,685.02 | 98.02% | 0.00% | 0.00% | 0.00% | 94.73% | 0.00% | 0.00% | 0.00% |
| A17-0006 - L. Luster & Associates, Inc. | $492,615.00 | $262,947.10 | $201,307.10 | 100.00% | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% | 0.00% | 100.00% |
| A17-0007 - Koff & Associates Inc | $75,000.00 | $23,948.55 | $22,868.50 | 100.00% | 100.00% | 0.00% | 0.00% | 100.00% | 100.00% | 0.00% | 0.00% |
| A17-0010 - H.T. Harvey & Associates Ecological Cons | $66,317.00 | $29,215.08 | $2,866.02 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A17-0021 - Novani, LLC | $573,200.00 | $279,711.34 | $177,150.00 | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| A17-0035 - VSCE, Inc. | $1,315,988.00 | $558,397.04 | $401,167.94 | 100.00% | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% | 0.00% | 100.00% |
| A17-0036 - DMR Management Consultants, Inc. | $735,375.00 | $345,150.00 | $253,237.50 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A17-0037 - Sidhu Consulting, LLC | $732,375.00 | $390,600.00 | $273,600.00 | 100.00% | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% | 0.00% | 100.00% |
| A17-0038 - Axis Consulting Engineers | $724,500.00 | $375,750.00 | $266,850.00 | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| A17-0039 - Chwen Siripocanont | $727,900.00 | $379,800.00 | $280,800.00 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A17-0042 - Associated Right of Way Services, Inc | $124,594.00 | $43,334.08 | $25,467.28 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A17-0052 - Malik Transportation and Management Solutions, Inc. | $262,200.00 | $194,994.00 | $130,134.00 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |

# Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016 End Date: 6/30/2017

| Contract Number/Company Name | Contract Amount | Total Payment to Date | Payment Current Reporting Period | Goal Attainment (Current Reporting Period) LBE | SLBE | VSLBE | DBE | Goal Attainment (Cumulative) LBE | SLBE | VSLBE | DBE |
|---|---|---|---|---|---|---|---|---|---|---|---|
| A17-0057 - VSCE, Inc. | $525,000.00 | $191,894.24 | $116,907.54 | 100.00% | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% | 0.00% | 100.00% |
| A17-0071 - VSCE, Inc. | $530,400.00 | $175,312.50 | $85,297.50 | 100.00% | 100.00% | 0.00% | 100.00% | 100.00% | 100.00% | 0.00% | 100.00% |
| AA07-0001 - TY Lin International/CCS | $19,684,919.00 | $17,135,074.33 | $1,191,851.40 | 94.98% | 8.80% | 0.00% | 6.25% | 82.84% | 20.98% | 0.00% | 10.93% |
| **Total PSA (Professional Services Agreement) - Goal Requirements for LBCE (70% for LBE and 30% for SLBE)** | | | | | | | | | | | |
| | **$76,143,185.64** | **$54,761,499.07** | **$13,203,189.30** | **89.38%** | **24.88%** | **2.43%** | **20.98%** | **88.14%** | **25.99%** | **4.62%** | **5.06%** |
| **Exempt from Goal Requirements** | | | | | | | | | | | |
| A07-011.BKF.PH2 - BKF | $15,350,780.00 | $15,340,541.16 | $20,520.98 | 100.00% | 21.85% | 0.00% | 21.85% | 98.16% | 24.20% | 0.00% | 8.99% |
| A10-0008 - S&C Engineers | $2,025,750.00 | $2,013,177.83 | $73,408.18 | 100.00% | 100.00% | 0.00% | 0.00% | 86.46% | 86.06% | 0.00% | 0.00% |
| A11-0038 - Delcan Corporation | $7,375,523.00 | $6,730,776.31 | $1,955,880.00 | 0.00% | 0.00% | 0.00% | 0.00% | 4.14% | 0.00% | 0.00% | 0.00% |
| A11-0039 - Kimley-Horn and Associates, Inc. | $2,896,870.00 | $2,557,216.74 | $727,497.84 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A12-0027 - Nelson/Nygaard Consulting Associates | $350,970.00 | $312,822.71 | $37,308.79 | 100.00% | 0.00% | 0.00% | 0.00% | 96.53% | 0.00% | 0.00% | 0.00% |
| A12-0028 - Aegis ITS, Inc. | $1,050,000.00 | $428,901.39 | $27,704.95 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A13-0016 - Platinum Advisors, LLC | $300,000.00 | $250,000.00 | $65,000.00 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A13-0017 - CJ Lake, LLC | $315,000.00 | $248,742.34 | $60,957.72 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A13-0092 - ETC - Electronic Transaction Consultants | $4,137,500.00 | $3,947,459.08 | $926,466.60 | 100.00% | 0.00% | 0.00% | 0.00% | 86.91% | 0.00% | 0.00% | 0.00% |
| A14-0001 - Wilson, Sparling & Associates, Inc. | $999,519.00 | $657,964.10 | $114,055.69 | 12.20% | 0.00% | 0.00% | 0.00% | 14.38% | 0.00% | 0.00% | 0.42% |
| A15-0035 - WMH Corporation | $10,225,405.00 | $10,119,244.69 | $6,685,276.52 | 100.00% | 9.50% | 0.00% | 7.71% | 100.00% | 8.54% | 0.00% | 6.87% |
| A15-0043 - ETC - Electronic Transaction Consultants | $3,000,000.00 | $1,619,748.50 | $826,833.50 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A16-0070 - East Bay Bicycle Coalition | $25,000.00 | $25,000.00 | $25,000.00 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A17-0009 - S&C Engineers | $24,820.00 | $8,454.76 | $8,454.76 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A17-0011 - Moore Iacofano Goltsman, Inc. | $25,000.00 | $12,602.22 | $6,292.65 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| A17-0072 - RHA, LLC | $28,605.00 | $21,503.35 | $21,503.35 | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% |
| A99-0003 - WSP USA, Inc. | $8,340,000.00 | $8,043,190.62 | $46,887.04 | 1.31% | 0.00% | 0.00% | 0.00% | 82.20% | 16.74% | 0.02% | 3.44% |
| **Total PSA (Professional Services Agreement) - Exempt from Goal Requirements** | | | | | | | | | | | |
| | **$56,470,742.00** | **$52,337,345.80** | **$11,629,048.57** | **80.20%** | **6.13%** | **0.00%** | **4.66%** | **79.93%** | **14.63%** | **0.00%** | **1.03%** |
| **Total PSA (Professional Services Agreement)** | | | | | | | | | | | |
| | **$132,613,927.64** | **$107,098,844.87** | **$24,832,237.87** | **85.08%** | **16.10%** | **1.29%** | **13.33%** | **84.13%** | **20.44%** | **2.36%** | **3.09%** |
| **Contract Type: CC (Construction Contract)** | | | | | | | | | | | |
| **Exempt from Goal Requirements** | | | | | | | | | | | |
| A11-0026 - Steiny & Company, Inc. | $11,259,616.36 | $10,832,530.18 | $291,820.93 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A12-0019 - Telegra, Inc. | $4,540,542.82 | $4,500,479.66 | $224,568.75 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |

# Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016 End Date: 6/30/2017

| Contract Number/Company Name | Contract Amount | Total Payment to Date | Payment Current Reporting Period | Goal Attainment (Current Reporting Period) LBE | SLBE | VSLBE | DBE | Goal Attainment (Cumulative) LBE | SLBE | VSLBE | DBE |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Total CC (Construction Contract) - Exempt from Goal Requirements** | | | | | | | | | | | |
| | **$15,800,159.18** | **$15,333,009.84** | **$516,389.68** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** |
| **Total CC (Construction Contract)** | | | | | | | | | | | |
| | **$15,800,159.18** | **$15,333,009.84** | **$516,389.68** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** | **0.00%** |
| **Contract Type: LA (Letter Agreement)** | | | | | | | | | | | |
| **Goal Requirements for LBCE ( for LBE and for SLBE)** | | | | | | | | | | | |
| L16-0002 - Renne Sloan Holtzman Sakai | $75,000.00 | $73,213.81 | $40,934.76 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| L17-0034 - Mott MacDonald, Inc. | $80,000.00 | $71,768.15 | $71,768.15 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| **Total LA (Letter Agreement) - Goal Requirements for LBCE ( for LBE and for SLBE)** | | | | | | | | | | | |
| | **$155,000.00** | **$144,981.96** | **$112,702.91** | **63.68%** | **0.00%** | **0.00%** | **0.00%** | **49.50%** | **0.00%** | **0.00%** | **0.00%** |
| **Exempt from Goal Requirements** | | | | | | | | | | | |
| L17-0012 - Bay Area Council Economic Institute | $20,000.00 | $20,000.00 | $20,000.00 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| L17-0013 - Vali Cooper & Associates, Inc. | $24,830.84 | $11,096.87 | $11,096.87 | 100.00% | 0.00% | 0.00% | 0.00% | 100.00% | 0.00% | 0.00% | 0.00% |
| L17-0014 - City of San Pablo | $6,100.00 | $6,045.11 | $6,045.11 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| **Total LA (Letter Agreement) - Exempt from Goal Requirements** | | | | | | | | | | | |
| | **$50,930.84** | **$37,141.98** | **$37,141.98** | **29.88%** | **0.00%** | **0.00%** | **0.00%** | **29.88%** | **0.00%** | **0.00%** | **0.00%** |
| **Total LA (Letter Agreement)** | | | | | | | | | | | |
| | **$205,930.84** | **$182,123.94** | **$149,844.89** | **55.30%** | **0.00%** | **0.00%** | **0.00%** | **45.50%** | **0.00%** | **0.00%** | **0.00%** |
| **Contract Type: PSFA (Project Specific Funding Agreement)** | | | | | | | | | | | |
| **Exempt from Goal Requirements** | | | | | | | | | | | |
| 2003-02 - City of Oakland | $6,358,000.00 | $4,476,831.04 | $1,791,242.00 | 69.94% | 0.42% | 0.00% | 0.00% | 78.49% | 8.15% | 0.00% | 0.00% |
| A08-0048 - Bay Area Rapid Transit | $6,316,531.60 | $6,316,449.83 | $654,622.67 | 12.37% | 0.00% | 0.00% | 0.00% | 24.77% | 2.50% | 0.00% | 0.00% |
| A12-0050 - City of Hayward | $26,437,000.00 | $26,436,999.99 | $5,028,962.53 | 0.00% | 0.00% | 0.00% | 0.00% | 9.17% | 1.67% | 0.87% | 0.80% |
| A14-0049 - Alameda County Public Works Agency | $100,000.00 | $93,790.12 | $48,090.31 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A16-0003 - Bay Area Rapid Transit | $100,000.00 | $84,552.77 | $84,552.77 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| A16-0004 - City of Fremont | $100,000.00 | $86,771.08 | $86,771.08 | 86.42% | 0.00% | 0.00% | 0.00% | 86.42% | 0.00% | 0.00% | 0.00% |
| A16-0010 - City of Union City | $100,000.00 | $50,533.72 | $50,533.72 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |
| ACTC_A10-013 - Alameda County Public Works Agency | $215,000.00 | $211,945.47 | $918.89 | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% | 0.00% |

# Contract Equity Utilization Report

Fiscal Year: 2017

Current Reporting Period Start Date: 7/1/2016 End Date: 6/30/2017

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

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

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

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L. Luster &Associates

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

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

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

Date: September 22, 2017

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

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

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

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

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

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Alameda CTC FY2017-18 First Quarter Investment Report |
| **RECOMMENDATION:** | Approve the Alameda CTC FY2017-18 First Quarter Investment Report |

## Summary

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

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

## Portfolio Highlights

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

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

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

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

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

**Fiscal Impact**

There is no fiscal impact.

**Attachments**

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

**Staff Contacts**

Patricia Reavey, Deputy Executive Director of Finance and Administration

Lily Balinton, Director of Finance

Yoana Navarro, Accounting Manager

Alameda CTC
Consolidated Investment Report
As of September 30, 2017

| 1986 Measure B | Un-Audited | Interest Earned | | | | FY 2016-2017 | |
|---|---|---|---|---|---|---|---|
| | | As of September 30, 2017 | | | | Investment Balance | Interest earned |
| | Investment Balance | Interest earned | Approx. ROI | Budget | Difference | June 30, 2017 | FY 2016-2017 |
| Bank Accounts | $ 898,411 | $ 607 | 0.27% | | | $ 1,408,153 | 3,139 |
| State Treasurer Pool (LAIF) (1) | 8,899,897 | 24,273 | 1.09% | | | 8,879,453 | 77,688 |
| Investment Advisor (1) (2) | 125,342,097 | 316,861 | 1.01% | | | 115,203,638 | 985,723 |
| Loan to Non-Sales Tax General Fund | - | - | - | | | 10,000,000 | - |
| 1986 Measure B Total | $ 135,140,405 | $ 341,741 | 1.01% | $ 225,000 | $ 116,741 | $ 135,491,244 | $ 1,066,550 |
| | | | | | | *Approx. ROI* | *0.79%* |

| 2000 Measure B | Un-Audited | Interest Earned | | | | FY 2016-2017 | |
|---|---|---|---|---|---|---|---|
| | | As of September 30, 2017 | | | | Investment Balance | Interest earned |
| | Investment Balance | Interest earned | Approx. ROI | Budget | Difference | June 30, 2017 | FY 2016-2017 |
| Bank Accounts | $ 6,038,302 | $ 5,925 | 0.39% | | | $ 10,111,276 | $ 6,716 |
| State Treasurer Pool (LAIF) (1) | 24,612,505 | 70,535 | 1.15% | | | 30,112,605 | 205,571 |
| Investment Advisor (1) (2) | 115,593,665 | 290,531 | 1.01% | | | 105,422,594 | 829,679 |
| 2014 Series A Bond Project Fund (1) | 2,540,285 | 1,892 | 0.08% | | | 1,157 | 2,294 |
| 2014 Series A Bond Interest Fund (1) | 1,020,906 | 7,328 | 2.87% | | | 3,523,762 | 54,637 |
| 2014 Series A Bond Principal Fund (1) | 12,534,506 | 26,329 | 0.84% | | | 7,158,485 | 42,523 |
| Project Deferred Revenue (1) (3) | 4,471,238 | 13,405 | 1.20% | | | 5,090,072 | 51,415 |
| 2000 Measure B Total | $ 166,811,407 | $ 415,945 | 1.00% | $ 302,500 | $ 113,445 | $ 161,419,952 | $ 1,192,835 |
| | | | | | | *Approx. ROI* | *0.74%* |

| 2014 Measure BB | Un-Audited | Interest Earned | | | | FY 2016-2017 | |
|---|---|---|---|---|---|---|---|
| | | As of September 30, 2017 | | | | Investment Balance | Interest earned |
| | Investment Balance | Interest earned | Approx. ROI | Budget | Difference | June 30, 2017 | FY 2016-2017 |
| Bank Accounts | $ 4,193,204 | $ 4,229 | 0.40% | | | $ 7,207,912 | $ 10,950 |
| State Treasurer Pool (LAIF) (1) | 67,615,488 | $ 170,652 | 1.01% | | | 61,191,321 | 415,322 |
| Investment Advisor (1) (2) | 40,081,760 | $ 89,184 | 0.89% | | | 30,064,935 | 147,966 |
| 2014 Measure BB Total | $ 111,890,451 | $ 264,065 | 0.94% | $ 133,750 | $ 130,315 | $ 98,464,167 | $ 574,238 |
| | | | | | | *Approx. ROI* | *0.58%* |

| Non-Sales Tax | Un-Audited | Interest Earned | | | | FY 2016-2017 | |
|---|---|---|---|---|---|---|---|
| | | As of September 30, 2017 | | | | Investment Balance | Interest earned |
| | Investment Balance | Interest earned | Approx. ROI | Budget | Difference | June 30, 2017 | FY 2016-2017 |
| Bank Accounts | $ 9,766,171 | $ 8,528 | 0.35% | | | $ 7,411,637 | $ 17,508 |
| State Treasurer Pool (LAIF) (1) | 24,406,288 | 126,961 | 2.08% | | | 46,505,800 | 374,559 |
| California Asset Management Program (CAMP) | 37,581,153 | 66,470 | 0.71% | | | 14,014,683 | 14,683 |
| Project Deferred Revenue (1) (4) | 7,828,608 | 20,305 | 1.04% | | | 7,594,944 | 67,802 |
| Loan from 1986 Measure B | - | - | - | | | (10,000,000) | - |
| Non-Sales Tax Total | $ 79,582,219 | $ 222,263 | 1.12% | $ 21,250 | $ 201,013 | $ 65,527,065 | $ 474,553 |
| | | | | | | *Approx. ROI* | *0.72%* |
| Alameda CTC TOTAL | $ 493,424,482 | $ 1,244,015 | 1.01% | $ 682,500 | $ 561,515 | $ 460,902,428 | $ 3,308,176 |

Notes:

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

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

## ***Fixed Income Market Review and Outlook***

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

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

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

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

## ***Portfolio Allocation***

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

## ***Compliance with Investment Policy Statement***

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

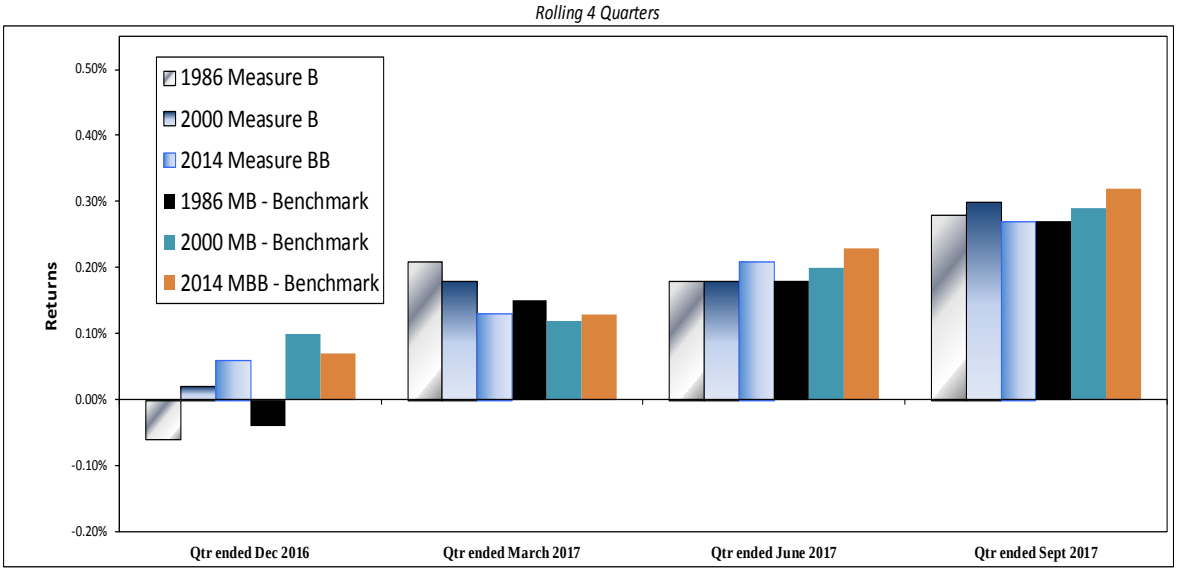
## ***Budget Impact***

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

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

## Alameda CTC

### Quarterly Review - Account vs. Benchmark




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

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

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

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

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

## ***Bond Portfolios***

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

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

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

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***
***ACTA 1986 Measure B***
***Account # N001***
*September 30, 2017*

| Quantity | Security Symbol | Security | Moody | S & P | Unit Cost | Total Cost | Price | Market Value | Accrued Interest | Total Market Value | Pct Assets | Yield To Mat | Dur-ation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **CASH** | | | | | | | | | | | | | |
| | 61747c70s | MORGAN STANLEY GOVERNMENT INST | | | | 322,813.50 | | 322,813.50 | | 322,813.50 | 0.26 | | 0.0 |
| | pendingcash | PENDING SETTLEMENT | | | | 115,192.83 | | 115,192.83 | | 115,192.83 | 0.09 | | 0.0 |
| | | | | | | 438,006.33 | | 438,006.33 | | 438,006.33 | 0.35 | | 0.0 |
| **CORPORATE BONDS** | | | | | | | | | | | | | |
| 1,000,000.0000 | 911312ap1 | UNITED PARCEL SERVICE INC<br>1.125% Due 10-01-17 | A1 | A+ | 100.33 | 1,003,320.00 | 100.00 | 1,000,000.00 | 5,625.00 | 1,005,625.00 | 0.80 | 1.12 | 0.0 |
| 2,500,000.0000 | 713448db1 | PEPSICO INC<br>1.000% Due 10-13-17 | A1 | A+ | 100.05 | 2,501,250.00 | 99.99 | 2,499,860.00 | 11,666.67 | 2,511,526.67 | 2.00 | 1.15 | 0.0 |
| 2,500,000.0000 | 458140al4 | INTEL CORP<br>1.350% Due 12-15-17 | A1 | A+ | 100.55 | 2,513,750.00 | 100.01 | 2,500,350.00 | 9,937.50 | 2,510,287.50 | 2.00 | 1.28 | 0.2 |
| 1,700,000.0000 | 05531fam5 | BB&T CORPORATION<br>1.450% Due 01-12-18 | A2 | A- | 99.52 | 1,691,806.00 | 99.95 | 1,699,184.00 | 5,409.31 | 1,704,593.31 | 1.36 | 1.62 | 0.3 |
| 1,000,000.0000 | 166764av2 | CHEVRON CORP NEW<br>1.365% Due 03-02-18 | AA2 | AA- | 99.72 | 997,200.00 | 99.99 | 999,890.00 | 1,099.58 | 1,000,989.58 | 0.80 | 1.39 | 0.4 |
| 2,500,000.0000 | 594918as3 | MICROSOFT CORP<br>1.000% Due 05-01-18 | AAA | AAA | 99.70 | 2,492,500.00 | 99.79 | 2,494,700.00 | 10,416.67 | 2,505,116.67 | 1.99 | 1.36 | 0.6 |
| 2,000,000.0000 | 037833aj9 | APPLE INC<br>1.000% Due 05-03-18 | AA1 | AA+ | 99.75 | 1,994,940.00 | 99.77 | 1,995,320.00 | 8,222.22 | 2,003,542.22 | 1.59 | 1.40 | 0.6 |
| 1,000,000.0000 | 58933yag0 | MERCK & CO INC<br>1.300% Due 05-18-18 | A1 | AA | 100.05 | 1,000,510.00 | 99.94 | 999,434.00 | 4,802.78 | 1,004,236.78 | 0.80 | 1.39 | 0.6 |
| 2,000,000.0000 | 717081dw0 | PFIZER INC<br>1.200% Due 06-01-18 | A1 | AA | 99.92 | 1,998,360.00 | 99.88 | 1,997,584.00 | 8,000.00 | 2,005,584.00 | 1.60 | 1.38 | 0.7 |
| 1,000,000.0000 | 89236tcp8 | TOYOTA MOTOR CREDIT CORP<br>1.550% Due 07-13-18 | AA3 | AA- | 100.08 | 1,000,807.00 | 100.06 | 1,000,564.00 | 3,358.33 | 1,003,922.33 | 0.80 | 1.48 | 0.8 |
| 1,000,000.0000 | 478160br4 | JOHNSON & JOHNSON<br>1.125% Due 03-01-19 | AAA | AAA | 99.64 | 996,390.00 | 99.29 | 992,865.00 | 937.50 | 993,802.50 | 0.79 | 1.64 | 1.4 |
| 1,000,000.0000 | 06406hcr8 | BANK NEW YORK MTN BK ENT<br>2.200% Due 03-04-19 | A1 | A | 100.85 | 1,008,470.00 | 100.53 | 1,005,335.00 | 1,650.00 | 1,006,985.00 | 0.80 | 1.82 | 1.4 |
| 2,000,000.0000 | 084664cg4 | BERKSHIRE HATHAWAY FIN CORP<br>1.700% Due 03-15-19 | AA2 | AA | 100.29 | 2,005,840.00 | 100.19 | 2,003,872.00 | 1,511.11 | 2,005,383.11 | 1.60 | 1.57 | 1.4 |
| 2,000,000.0000 | 459200je2 | INTERNATIONAL BUSINESS MACHS<br>1.800% Due 05-17-19 | A1 | A+ | 100.49 | 2,009,800.00 | 100.36 | 2,007,126.00 | 13,400.00 | 2,020,526.00 | 1.60 | 1.58 | 1.6 |
| 2,000,000.0000 | 191216bv1 | COCA COLA CO<br>1.375% Due 05-30-19 | AA3 | AA- | 99.85 | 1,997,040.00 | 99.68 | 1,993,520.00 | 9,243.06 | 2,002,763.06 | 1.59 | 1.57 | 1.6 |
| 1,000,000.0000 | 06406hcw7 | BANK NEW YORK MTN BK ENT<br>2.300% Due 09-11-19 | A1 | A | 101.23 | 1,012,340.00 | 100.78 | 1,007,758.00 | 1,277.78 | 1,009,035.78 | 0.81 | 1.89 | 1.9 |
| 1,000,000.0000 | 17275rbg6 | CISCO SYS INC<br>1.400% Due 09-20-19 | A1 | AA- | 99.60 | 995,950.00 | 99.50 | 994,984.00 | 427.78 | 995,411.78 | 0.80 | 1.66 | 1.9 |
| 2,000,000.0000 | 90331hml4 | US BANK ASSN CINCINNATI OH MTN<br>2.125% Due 10-28-19 | A1 | AA- | 100.82 | 2,016,400.00 | 100.70 | 2,013,920.00 | 18,062.50 | 2,031,982.50 | 1.61 | 1.78 | 2.0 |
| | | | | | | 29,236,673.00 | | 29,206,266.00 | 115,047.78 | 29,321,313.78 | 23.34 | 1.48 | 0.9 |
| **GOVERNMENT BONDS** | | | | | | | | | | | | | |
| 2,000,000.0000 | 3130a6sw8 | FEDERAL HOME LOAN BANKS<br>1.000% Due 12-19-17 | AAA | AA+ | 99.97 | 1,999,340.00 | 99.98 | 1,999,658.00 | 5,666.67 | 2,005,324.67 | 1.60 | 1.08 | 0.2 |
| 3,000,000.0000 | 912828hr4 | UNITED STATES TREAS NTS<br>3.500% Due 02-15-18 | AAA | AA+ | 105.50 | 3,164,882.82 | 100.85 | 3,025,551.00 | 13,416.67 | 3,038,967.67 | 2.42 | 1.21 | 0.4 |

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***ACTA 1986 Measure B***

***Account # N001***

*September 30, 2017*

| Quantity | Security Symbol | Security | Moody | S & P | Unit Cost | Total Cost | Price | Market Value | Accrued Interest | Total Market Value | Pct Assets | Yield To Mat | Dur-ation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 2,000,000.0000 | 3137eadp1 | FEDERAL HOME LN MTG CORP 0.875% Due 03-07-18 | AAA | AA+ | 99.52 | 1,990,460.00 | 99.86 | 1,997,156.00 | 1,166.67 | 1,998,322.67 | 1.60 | 1.20 | 0.4 |
| 3,000,000.0000 | 912828qb9 | UNITED STATES TREAS NTS 2.875% Due 03-31-18 | AAA | AA+ | 104.16 | 3,124,921.89 | 100.80 | 3,024,135.00 | 239.58 | 3,024,374.58 | 2.42 | 1.26 | 0.5 |
| 2,500,000.0000 | 3130a4gj5 | FEDERAL HOME LOAN BANKS 1.125% Due 04-25-18 | AAA | AA+ | 100.02 | 2,500,500.00 | 99.92 | 2,498,105.00 | 12,187.50 | 2,510,292.50 | 2.00 | 1.26 | 0.6 |
| 6,000,000.0000 | 912828xa3 | UNITED STATES TREAS NTS 1.000% Due 05-15-18 | AAA | AA+ | 100.48 | 6,029,062.50 | 99.85 | 5,991,096.00 | 22,663.04 | 6,013,759.04 | 4.79 | 1.24 | 0.6 |
| 5,000,000.0000 | 3135g0wj8 | FEDERAL NATL MTG ASSN 0.875% Due 05-21-18 | AAA | AA+ | 100.20 | 5,010,000.00 | 99.74 | 4,987,200.00 | 15,798.61 | 5,002,998.61 | 3.99 | 1.28 | 0.6 |
| 2,500,000.0000 | 912828qq6 | UNITED STATES TREAS NTS 2.375% Due 05-31-18 | AAA | AA+ | 103.19 | 2,579,687.50 | 100.71 | 2,517,675.00 | 19,956.60 | 2,537,631.60 | 2.01 | 1.31 | 0.7 |
| 5,000,000.0000 | 3137eabp3 | FEDERAL HOME LN MTG CORP 4.875% Due 06-13-18 | AAA | AA+ | 106.92 | 5,346,000.00 | 102.45 | 5,122,590.00 | 73,125.00 | 5,195,715.00 | 4.09 | 1.35 | 0.7 |
| 5,000,000.0000 | 3135g0e33 | FEDERAL NATL MTG ASSN 1.125% Due 07-20-18 | AAA | AA+ | 100.57 | 5,028,500.00 | 99.81 | 4,990,350.00 | 11,093.75 | 5,001,443.75 | 3.99 | 1.37 | 0.8 |
| 3,000,000.0000 | 3130a8pk3 | FEDERAL HOME LOAN BANKS 0.625% Due 08-07-18 | AAA | AA+ | 99.65 | 2,989,500.00 | 99.41 | 2,982,339.00 | 2,812.50 | 2,985,151.50 | 2.38 | 1.32 | 0.8 |
| 2,500,000.0000 | 912828re2 | UNITED STATES TREAS NTS 1.500% Due 08-31-18 | AAA | AA+ | 101.40 | 2,535,066.98 | 100.12 | 2,503,027.50 | 3,211.33 | 2,506,238.83 | 2.00 | 1.37 | 0.9 |
| 5,000,000.0000 | 3135g0ym9 | FEDERAL NATL MTG ASSN 1.875% Due 09-18-18 | AAA | AA+ | 102.08 | 5,104,000.00 | 100.48 | 5,024,240.00 | 3,385.42 | 5,027,625.42 | 4.01 | 1.37 | 1.0 |
| 5,000,000.0000 | 912828rh5 | UNITED STATES TREAS NTS 1.375% Due 09-30-18 | AAA | AA+ | 101.18 | 5,059,001.10 | 100.00 | 4,999,805.00 | 188.87 | 4,999,993.87 | 4.00 | 1.38 | 1.0 |
| 3,000,000.0000 | 3137eaed7 | FEDERAL HOME LN MTG CORP 0.875% Due 10-12-18 | AAA | AA+ | 99.85 | 2,995,620.00 | 99.50 | 2,985,099.00 | 12,322.92 | 2,997,421.92 | 2.39 | 1.36 | 1.0 |
| 3,000,000.0000 | 3136g0x22 | FEDERAL NATL MTG ASSN 1.000% Due 10-29-18 | AAA | AA+ | 100.06 | 3,001,740.00 | 99.51 | 2,985,336.00 | 12,666.67 | 2,998,002.67 | 2.39 | 1.46 | 1.1 |
| 4,000,000.0000 | 912828rp7 | UNITED STATES TREAS NTS 1.750% Due 10-31-18 | AAA | AA+ | 101.77 | 4,070,625.00 | 100.38 | 4,015,312.00 | 29,293.48 | 4,044,605.48 | 3.21 | 1.39 | 1.1 |
| 1,970,000.0000 | 313376br5 | FEDERAL HOME LOAN BANKS 1.750% Due 12-14-18 | AAA | AA+ | 100.85 | 1,986,745.00 | 100.36 | 1,977,093.97 | 10,246.74 | 1,987,340.71 | 1.58 | 1.45 | 1.2 |
| 1,300,000.0000 | 912828n22 | UNITED STATES TREAS NTS 1.250% Due 12-15-18 | AAA | AA+ | 100.00 | 1,300,000.00 | 99.82 | 1,297,714.60 | 4,795.08 | 1,302,509.68 | 1.04 | 1.40 | 1.2 |
| 1,590,000.0000 | 912828b33 | UNITED STATES TREAS NTS 1.500% Due 01-31-19 | AAA | AA+ | 100.38 | 1,596,024.61 | 100.11 | 1,591,677.45 | 4,041.25 | 1,595,718.70 | 1.27 | 1.42 | 1.3 |
| 1,950,000.0000 | 912828c24 | UNITED STATES TREAS NTS 1.500% Due 02-28-19 | AAA | AA+ | 100.66 | 1,962,796.88 | 100.09 | 1,951,829.10 | 2,504.83 | 1,954,333.93 | 1.56 | 1.43 | 1.4 |
| 1,500,000.0000 | 912828sh4 | UNITED STATES TREAS NTS 1.375% Due 02-28-19 | AAA | AA+ | 100.13 | 1,501,933.59 | 99.93 | 1,499,004.00 | 1,766.23 | 1,500,770.23 | 1.20 | 1.42 | 1.4 |
| 5,000,000.0000 | 912828sn1 | UNITED STATES TREAS NTS 1.500% Due 03-31-19 | AAA | AA+ | 100.29 | 5,014,453.15 | 100.12 | 5,005,860.00 | 206.04 | 5,006,066.04 | 4.00 | 1.42 | 1.5 |
| 3,500,000.0000 | 912828st8 | UNITED STATES TREAS NTS 1.250% Due 04-30-19 | AAA | AA+ | 99.89 | 3,496,308.59 | 99.71 | 3,489,885.00 | 18,350.69 | 3,508,235.69 | 2.79 | 1.44 | 1.6 |
| 4,000,000.0000 | 3130abf92 | FEDERAL HOME LOAN BANKS 1.375% Due 05-28-19 | AAA | AA+ | 99.96 | 3,998,360.00 | 99.84 | 3,993,660.00 | 21,236.11 | 4,014,896.11 | 3.19 | 1.47 | 1.6 |
| 4,000,000.0000 | 912828xv7 | UNITED STATES TREAS NTS 1.250% Due 06-30-19 | AAA | AA+ | 99.82 | 3,992,656.24 | 99.65 | 3,985,936.00 | 12,635.87 | 3,998,571.87 | 3.19 | 1.45 | 1.7 |
| 2,000,000.0000 | 3137eaeb1 | FEDERAL HOME LN MTG CORP 0.875% Due 07-19-19 | AAA | AA+ | 98.91 | 1,978,200.00 | 98.84 | 1,976,846.00 | 3,500.00 | 1,980,346.00 | 1.58 | 1.53 | 1.8 |

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***ACTA 1986 Measure B***

***Account # N001***

*September 30, 2017*

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***ACTIA 2000 Measure B***

***Account # N001UNB1***

*September 30, 2017*

| Quantity | Security Symbol | Security | Moody | S & P | Unit Cost | Total Cost | Price | Market Value | Accrued Interest | Total Market Value | Pct Assets | Yield To Mat | Dur-ation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **CASH** | | | | | | | | | | | | | |
| | 61747c70s | MORGAN STANLEY GOVERNMENT INST | | | | 5,491,066.06 | | 5,491,066.06 | | 5,491,066.06 | 4.75 | | 0.0 |
| | pendingcash | PENDING SETTLEMENT | | | | 117,550.89 | | 117,550.89 | | 117,550.89 | 0.10 | | 0.0 |
| | | | | | | 5,608,616.95 | | 5,608,616.95 | | 5,608,616.95 | 4.86 | | 0.0 |
| **CORPORATE BONDS** | | | | | | | | | | | | | |
| 1,500,000.0000 | 06406hce7 | BANK NEW YORK MTN BK ENT<br>1.300% Due 01-25-18 | A1 | A | 100.29 | 1,504,380.00 | 99.91 | 1,498,668.00 | 3,575.00 | 1,502,243.00 | 1.30 | 1.58 | 0.3 |
| 1,500,000.0000 | 459200hk0 | INTERNATIONAL BUSINESS MACHS<br>1.250% Due 02-08-18 | A1 | A+ | 100.03 | 1,500,390.00 | 99.89 | 1,498,351.50 | 2,760.42 | 1,501,111.92 | 1.30 | 1.56 | 0.4 |
| 1,500,000.0000 | 36962g6w9 | GENERAL ELEC CAP CORP MTN BE<br>1.625% Due 04-02-18 | A1 | AA- | 100.35 | 1,505,235.00 | 100.07 | 1,501,107.00 | 12,119.79 | 1,513,226.79 | 1.30 | 1.48 | 0.5 |
| 2,000,000.0000 | 68389xac9 | ORACLE CORP<br>5.750% Due 04-15-18 | A1 | AA- | 104.21 | 2,084,120.00 | 102.22 | 2,044,422.00 | 53,027.78 | 2,097,449.78 | 1.77 | 1.61 | 0.5 |
| 3,000,000.0000 | 037833aj9 | APPLE INC<br>1.000% Due 05-03-18 | AA1 | AA+ | 99.75 | 2,992,410.00 | 99.77 | 2,992,980.00 | 12,333.33 | 3,005,313.33 | 2.59 | 1.40 | 0.6 |
| 2,000,000.0000 | 89236tcp8 | TOYOTA MOTOR CREDIT CORP<br>1.550% Due 07-13-18 | AA3 | AA- | 100.15 | 2,002,900.00 | 100.06 | 2,001,128.00 | 6,716.67 | 2,007,844.67 | 1.73 | 1.48 | 0.8 |
| 1,000,000.0000 | 084664by6 | BERKSHIRE HATHAWAY FIN CORP<br>2.000% Due 08-15-18 | AA2 | AA | 101.50 | 1,015,000.00 | 100.49 | 1,004,931.00 | 2,555.56 | 1,007,486.56 | 0.87 | 1.43 | 0.9 |
| 1,000,000.0000 | 25468pdd5 | DISNEY WALT CO MTNS BE<br>1.500% Due 09-17-18 | A2 | A+ | 100.67 | 1,006,670.00 | 100.04 | 1,000,382.00 | 583.33 | 1,000,965.33 | 0.87 | 1.46 | 1.0 |
| 1,000,000.0000 | 07330nad7 | BB&T BRH BKG & TR CO GLOBAL BK<br>2.300% Due 10-15-18 | A1 | A | 101.67 | 1,016,700.00 | 100.55 | 1,005,539.00 | 10,605.56 | 1,016,144.56 | 0.87 | 1.76 | 1.0 |
| 1,000,000.0000 | 291011ax2 | EMERSON ELEC CO<br>5.250% Due 10-15-18 | A2 | A | 108.13 | 1,081,300.00 | 103.66 | 1,036,628.00 | 24,208.33 | 1,060,836.33 | 0.90 | 1.69 | 1.0 |
| 2,000,000.0000 | 191216bf6 | COCA COLA CO<br>1.650% Due 11-01-18 | AA3 | AA- | 100.58 | 2,011,540.00 | 100.22 | 2,004,452.00 | 13,750.00 | 2,018,202.00 | 1.74 | 1.44 | 1.1 |
| 1,000,000.0000 | 594918bf0 | MICROSOFT CORP<br>1.300% Due 11-03-18 | AAA | AAA | 99.93 | 999,280.00 | 99.84 | 998,388.00 | 5,344.44 | 1,003,732.44 | 0.86 | 1.45 | 1.1 |
| 1,000,000.0000 | 69353ret1 | PNC BK N A PITTSBURGH PA<br>1.800% Due 11-05-18 | A2 | A | 100.31 | 1,003,120.00 | 100.10 | 1,000,974.00 | 7,300.00 | 1,008,274.00 | 0.87 | 1.71 | 1.1 |
| 3,000,000.0000 | 478160bg8 | JOHNSON & JOHNSON<br>1.650% Due 12-05-18 | AAA | AAA | 100.55 | 3,016,590.00 | 100.18 | 3,005,277.00 | 15,950.00 | 3,021,227.00 | 2.60 | 1.50 | 1.2 |
| 2,000,000.0000 | 69353rch9 | PNC BK N A PITTSBURGH PA<br>2.200% Due 01-28-19 | A2 | A | 100.72 | 2,014,360.00 | 100.58 | 2,011,524.00 | 7,700.00 | 2,019,224.00 | 1.74 | 1.76 | 1.3 |
| 1,500,000.0000 | 713448de5 | PEPSICO INC<br>1.500% Due 02-22-19 | A1 | A+ | 100.15 | 1,502,295.00 | 99.87 | 1,497,982.50 | 2,437.50 | 1,500,420.00 | 1.30 | 1.60 | 1.4 |
| | | | | | | 26,256,290.00 | | 26,102,734.00 | 180,967.71 | 26,283,701.71 | 22.60 | 1.54 | 0.9 |
| **GOVERNMENT BONDS** | | | | | | | | | | | | | |
| 5,000,000.0000 | 912828m72 | UNITED STATES TREAS NTS<br>0.875% Due 11-30-17 | AAA | AA+ | 99.99 | 4,999,414.05 | 99.96 | 4,998,150.00 | 14,702.87 | 5,012,852.87 | 4.33 | 1.09 | 0.2 |
| 2,000,000.0000 | 3137eadx4 | FEDERAL HOME LN MTG CORP<br>1.000% Due 12-15-17 | AAA | AA+ | 100.35 | 2,007,000.00 | 99.98 | 1,999,648.00 | 5,888.89 | 2,005,536.89 | 1.73 | 1.08 | 0.2 |
| 5,000,000.0000 | 912828ue8 | UNITED STATES TREAS NTS<br>0.750% Due 12-31-17 | AAA | AA+ | 99.84 | 4,992,187.50 | 99.90 | 4,995,095.00 | 9,479.17 | 5,004,574.17 | 4.33 | 1.14 | 0.2 |
| 2,500,000.0000 | 912828pt1 | UNITED STATES TREAS NTS<br>2.625% Due 01-31-18 | AAA | AA+ | 100.95 | 2,523,632.83 | 100.47 | 2,511,872.50 | 11,056.39 | 2,522,928.89 | 2.17 | 1.19 | 0.3 |

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***ACTIA 2000 Measure B***

***Account # N001UNB1***

*September 30, 2017*

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***
***ACTIA 2000 Measure B***
***Account # N001UNB1***
*September 30, 2017*

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***2014 Measure BB***

***Account # N001UNB4***

*September 30, 2017*

| Quantity | Security Symbol | Security | Moody | S & P | Unit Cost | Total Cost | Price | Market Value | Accrued Interest | Total Market Value | Pct Assets | Yield To Mat | Dur-ation |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **CASH** | | | | | | | | | | | | | |
| | 61747c70s | MORGAN STANLEY GOVERNMENT INST | | | | 14,191.31 | | 14,191.31 | | 14,191.31 | 0.04 | | 0.0 |
| | pendingcash | PENDING SETTLEMENT | | | | 2,015,870.52 | | 2,015,870.52 | | 2,015,870.52 | 5.03 | | 0.0 |
| | | | | | | 2,030,061.83 | | 2,030,061.83 | | 2,030,061.83 | 5.07 | | 0.0 |
| **CORPORATE BONDS** | | | | | | | | | | | | | |
| 600,000.0000 | 89233p6s0 | TOYOTA MTR CRD CORP MTN BE<br>1.250% Due 10-05-17 | AA3 | AA- | 100.14 | 600,864.00 | 100.00 | 599,994.00 | 3,666.67 | 603,660.67 | 1.50 | 1.31 | 0.0 |
| 600,000.0000 | 68389xan5 | ORACLE CORP<br>1.200% Due 10-15-17 | A1 | AA- | 100.14 | 600,852.00 | 99.99 | 599,928.00 | 3,320.00 | 603,248.00 | 1.50 | 1.48 | 0.0 |
| 600,000.0000 | 594918ap9 | MICROSOFT CORP<br>0.875% Due 11-15-17 | AAA | AAA | 99.99 | 599,952.00 | 99.94 | 599,661.60 | 1,983.33 | 601,644.93 | 1.50 | 1.32 | 0.1 |
| 600,000.0000 | 478160bl7 | JOHNSON & JOHNSON<br>1.125% Due 11-21-17 | AAA | AAA | 100.17 | 601,008.00 | 99.98 | 599,859.60 | 2,437.50 | 602,297.10 | 1.50 | 1.29 | 0.1 |
| 600,000.0000 | 458140al4 | INTEL CORP<br>1.350% Due 12-15-17 | A1 | A+ | 100.18 | 601,074.00 | 100.01 | 600,084.00 | 2,385.00 | 602,469.00 | 1.50 | 1.28 | 0.2 |
| 1,000,000.0000 | 90331hmu4 | US BANK ASSN CINCINNATI OH MTN<br>1.450% Due 01-29-18 | A1 | AA- | 100.09 | 1,000,860.00 | 100.01 | 1,000,092.00 | 2,497.22 | 1,002,589.22 | 2.50 | 1.42 | 0.3 |
| 600,000.0000 | 037833bn9 | APPLE INC<br>1.300% Due 02-23-18 | AA1 | AA+ | 100.10 | 600,594.00 | 99.97 | 599,832.00 | 823.33 | 600,655.33 | 1.50 | 1.37 | 0.4 |
| 1,000,000.0000 | 532457bk3 | LILLY ELI & CO<br>1.250% Due 03-01-18 | A2 | AA- | 100.00 | 999,970.00 | 99.94 | 999,354.00 | 1,041.67 | 1,000,395.67 | 2.49 | 1.40 | 0.4 |
| 600,000.0000 | 084664ce9 | BERKSHIRE HATHAWAY FIN CORP<br>1.450% Due 03-07-18 | AA2 | AA | 100.21 | 601,230.00 | 100.03 | 600,197.40 | 580.00 | 600,777.40 | 1.50 | 1.37 | 0.4 |
| 600,000.0000 | 191216ba7 | COCA COLA CO<br>1.150% Due 04-01-18 | AA3 | AA- | 99.92 | 599,532.00 | 99.87 | 599,191.20 | 3,450.00 | 602,641.20 | 1.50 | 1.42 | 0.5 |
| 300,000.0000 | 89236tcx1 | TOYOTA MOTOR CREDIT CORP<br>1.200% Due 04-06-18 | AA3 | AA- | 99.89 | 299,655.00 | 99.87 | 299,610.90 | 1,750.00 | 301,360.90 | 0.75 | 1.45 | 0.5 |
| 300,000.0000 | 68389xac9 | ORACLE CORP<br>5.750% Due 04-15-18 | A1 | AA- | 104.21 | 312,618.00 | 102.22 | 306,663.30 | 7,954.17 | 314,617.47 | 0.77 | 1.61 | 0.5 |
| 600,000.0000 | 36962g3u6 | GENERAL ELEC CAP CORP MTN BE<br>5.625% Due 05-01-18 | A1 | AA- | 103.08 | 618,480.00 | 102.36 | 614,158.20 | 14,062.50 | 628,220.70 | 1.53 | 1.56 | 0.6 |
| 600,000.0000 | 69353rem6 | PNC BK N A PITTSBURGH PA<br>1.600% Due 06-01-18 | A2 | A | 100.10 | 600,612.00 | 100.06 | 600,363.00 | 3,200.00 | 603,563.00 | 1.50 | 1.51 | 0.7 |
| 1,100,000.0000 | 17275rau6 | CISCO SYS INC<br>1.650% Due 06-15-18 | A1 | AA- | 100.25 | 1,102,709.00 | 100.12 | 1,101,369.50 | 5,344.17 | 1,106,713.67 | 2.75 | 1.47 | 0.7 |
| 500,000.0000 | 478160au8 | JOHNSON & JOHNSON<br>5.150% Due 07-15-18 | AAA | AAA | 103.49 | 517,470.00 | 102.82 | 514,099.50 | 5,436.11 | 519,535.61 | 1.28 | 1.55 | 0.8 |
| | | | | | | 10,257,480.00 | | 10,234,458.20 | 59,931.67 | 10,294,389.87 | 25.54 | 1.42 | 0.4 |
| **GOVERNMENT BONDS** | | | | | | | | | | | | | |
| 800,000.0000 | 3133edxa5 | FEDERAL FARM CR BKS<br>1.150% Due 10-10-17 | AAA | AA+ | 100.40 | 803,176.20 | 100.00 | 800,020.00 | 4,370.00 | 804,390.00 | 2.00 | 1.05 | 0.0 |
| 1,500,000.0000 | 912828f54 | UNITED STATES TREAS NTS<br>0.875% Due 10-15-17 | AAA | AA+ | 100.18 | 1,502,636.72 | 99.99 | 1,499,914.50 | 6,052.08 | 1,505,966.58 | 3.74 | 1.01 | 0.0 |
| 1,500,000.0000 | 3130a6lz8 | FEDERAL HOME LOAN BANKS<br>0.625% Due 10-26-17 | AAA | AA+ | 99.92 | 1,498,731.00 | 99.97 | 1,499,599.50 | 4,036.46 | 1,503,635.96 | 3.74 | 0.99 | 0.1 |
| 700,000.0000 | 3135g0pq0 | FEDERAL NATL MTG ASSN<br>0.875% Due 10-26-17 | AAA | AA+ | 100.16 | 701,127.00 | 99.99 | 699,920.90 | 2,637.15 | 702,558.05 | 1.75 | 1.03 | 0.1 |

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***2014 Measure BB***

***Account # N001UNB4***

*September 30, 2017*

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***Interest Fund***

***Account # N001UNB2***

*September 30, 2017*

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***

***Project Fund***

***Account # N001UNB3***

*September 30, 2017*

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

# FIXED INCOME PORTFOLIO

***Alameda County Transportation Commission***
***Alameda CTC 2014 Principal***
***Account # N001UNB5***
*September 30, 2017*

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

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and Salary Ranges for Fiscal Year 2018-19 |
| **RECOMMENDATION:** | Approve Alameda CTC Staff and Retiree Benefits for Calendar Year 2018 and Salary Ranges for FY2018-19 and adopt Resolution No. 17-006 Calendar Year 2018 Benefits for Staff Members. |

**Summary**

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

The few changes to benefits for next calendar year include:

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

**The Alameda CTC does not provide automatic pay increases or pay grade step increases, nor do the recommendations approved by the Commission constitute automatic pay increases.** Alameda CTC displays the pay scale for each position in the form of an allowable

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

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

**Background**

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

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

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

**Attachments**

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

**Staff Contact**

Patricia Reavey, Deputy Executive Director of Finance and Administration

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| Job Classification | FLSA[1] | Grade |
|---|---|---|
| Executive Director | E | 68 |
| **Programming and Projects Team** | | |
| Deputy Executive Director of Projects and Programming | E | 63 |
| *Projects Section* | | |
| Director of Project Delivery | E | 55 |
| Senior Transportation Engineer | E | 39 |
| Associate Transportation Engineer | E | 33 |
| Assistant Transportation Engineer | N | 29 |
| *Programming Section* | | |
| Director of Programming and Project Controls | E | 51 |
| Senior Program Analyst | E | 32 |
| Associate Program Analyst | E | 26 |
| Assistant Program Analyst | N | 22 |
| *Express Lane Operations Section* | | |
| Director of Express Lane Operations | E | 51 |
| Senior Transportation Engineer | E | 39 |
| Associate Transportation Engineer | E | 33 |
| Assistant Transportation Engineer | N | 29 |
| **Planning and Policy Team** | | |
| Deputy Executive Director of Planning and Policy | E | 63 |
| Director of Planning | E | 51 |
| *Planning Section* | | |
| Principal Transportation Planner | E | 40 |
| Senior Transportation Planner | E | 34 |
| Associate Transportation Planner | E | 28 |
| Assistant Transportation Planner | N | 24 |
| *Programs Section* | | |
| Senior Program Analyst | E | 32 |
| Associate Program Analyst | E | 26 |
| Assistant Program Analyst | N | 22 |
| *Policy Section* | | |
| Director of Government Affairs and Communications | E | 46 |
| Senior Administrative Analyst | E | 32 |
| Associate Administrative Analyst | E | 26 |
| Assistant Administrative Analyst | N | 22 |
| **Finance and Administration Team** | | |
| Deputy Executive Director of Finance and Administration | E | 63 |
| *Accounting Section* | | |
| Director of Finance | E | 48 |
| Accounting Manager | E | 40 |
| Senior Accountant | E | 28 |
| Accountant | N | 22 |
| Accounting Technician | N | 15 |
| Director of Budgets and Administration | E | 48 |
| *Contracting and Budgets Section* | | |
| Senior Administrative Analyst | E | 32 |
| Associate Administrative Analyst | E | 26 |
| Assistant Administrative Analyst | N | 22 |
| *Administration Section* | | |
| Clerk of the Board/Commission | N | 32 |
| Executive Assistant | N | 20 |
| Senior Administrative Assistant | N | 16 |
| Administrative Assistant | N | 12 |

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

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

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

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

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

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

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

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION**

**RESOLUTION 17-006**

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

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

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

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

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

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

**1. Salaries**

1.1 The fiscal year 2018-2019 salary ranges have increased by 3.00 percent over the salary ranges approved for the prior fiscal year to reflect the change in the Consumer Price Index for all Urban Consumers (CPI-U) for San Francisco-Oakland-San Jose, CA during calendar year 2016 (the last full year of data available from the Bureau of Labor Statistics) as approved by the Commission in March 2017.

1.2 An employee shall be compensated at a rate set between or equal to the minimum (min) and maximum (max) of the range specified in Attachment A for their respective position classification.

1.3 The duties and responsibilities of the position classification identified in Paragraph 1.2 above shall be described in an Alameda CTC job specification approved by the Executive Director.

1.4 The salary ranges for the employees described in Paragraph 1.2 shall not include steps and/or provision for any automatic or tenure-based increases.

1.5 Starting compensation, including salary, for new employees shall be set by the Executive Director consistent with the prescribed salary ranges for the position classification identified in Paragraph 1.2.

**2. Appointment and Performance Management**

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

2.1.1 Every six (6) months during the probationary period new employees may meet with their supervisor to discuss performance to date. At the time of the discussion the supervisor may complete a written evaluation for the employee's personnel records.

2.1.2 Upon completion of the probationary period, the employee shall be given a written evaluation. If this evaluation shows that the employee has satisfactorily demonstrated the qualifications for the position, the employee shall gain regular status, and shall be so informed.

2.1.3 At any time during the probationary period, a probationary employee may be terminated with or without cause and with or without notice. Employee shall be notified in writing by the Executive Director of such termination.

2.1.4 The probationary period may be extended once by the Executive Director at his/her sole discretion in order to further evaluate the performance of the probationary employee.

2.1.5 The probationary period is automatically extended by a period of time equal to the time the employee is absent due to any type of leave, including time absent while receiving workers' compensation.

2.2 Following successful completion of the probationary period, written performance reviews for employees shall be conducted at least once a year by the employee's supervisor and reviewed and approved by the Executive Director or his/her designee. In addition, a review of an employee's progress in meeting annual goals and objectives may be conducted at the end of six months by the employee and his or her supervisor.

2.3 On the basis of the performance reviews, increases or decreases in compensation may be granted at that time by the Executive Director at his/her sole discretion consistent with the Board approved annual budget.

**3. Holidays**

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

| | | |
|---|---|---|
| New Year's Day | - | January 1, 2018, Monday |
| Martin Luther King Day | - | January 15, 2018, Monday |
| Presidents' Day | - | February 19, 2018, Monday |
| Memorial Day | - | May 28, 2018, Monday |
| Independence Day | - | July 4, 2018, Wednesday |
| Labor Day | - | September 3, 2018, Monday |
| Veterans Day | - | November 12, 2018, Monday |

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

3.2 **Holiday Policy.** When a holiday falls on a Sunday, the following Monday shall be observed as the holiday date. When a holiday falls on a Saturday, the preceding Friday shall be observed.

3.3 **Floating Holidays**. Regular full-time employees are entitled to two (2) floating holidays per fiscal year. Employees shall be granted such holidays at the beginning of each fiscal year (i.e., effective on July 1 of each year). Floating Holidays are not accruable and those unused at the end of the fiscal year will be eliminated from the employee's available leave bank.

3.4 **Holiday Time**. Regular full-time employees shall receive eight (8) hours of holiday pay for each of the above holidays at their regular base rate. Regular part-time employees shall receive paid holiday time prorated based on actual hours worked should their regular work schedule fall on one of the above listed holidays.

3.5 **Administrative Procedure**. The Executive Director shall establish holiday procedures governing employees of Alameda CTC.

## 4. Leaves of Absence

### 4.1 Vacation

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

**Accrual Rates Based on Years of Service:**

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

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

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

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

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

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

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

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

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

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

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

4.6 **Military Leave**. Military leave shall be granted in accordance with federal and state law.

4.7 **Bereavement Leave**. In the event of a death in the immediate family of a regular full-time employee, paid leave not chargeable to sick or vacation leave will be granted for a period up to three (3) consecutive scheduled work days for the purpose of making arrangements for, or to attend, the funeral. Employees shall receive one (1) day to attend a funeral for a friend or relative outside their immediate family. Immediate family is defined as spouse, registered domestic partner, child, sister, brother, mother, father, legal guardian, any other person sharing the relationship of in loco parentis, legal dependent, current mother- or father-in-law, grandparents, or grandchildren.

4.8 **Jury and Witness Duty Leave**. All regular full-time employees will be granted a leave of absence with pay for all or any part of the time required for jury duty in the manner prescribed by law. The employee must return to work on the same day he or she is excused from service. The employee shall be paid the difference between his/her full salary and any payment received for such duty, except travel pay. All regular full-time employees will be granted a leave of absence with pay for their appearance as a witness in a civil or criminal proceeding (other than as an accused) for any appearance that is solely attributable to the employee's work for Alameda CTC.

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

**5. Health Insurance and Other Benefits**

5.1 **Cafeteria Plan.** Alameda CTC provides a Cafeteria Plan for its eligible employees, into which Alameda CTC will pay $2,431 per month per employee. This amount is in addition to the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum required contribution of $133. With these funds, each participating employee is able to choose the following coverage:

- Health Insurance (through the State of California's Public Employees' Retirement System (CalPERS);
- Dental Insurance;
- Vision Care Insurance;
- Life Insurance;
- Dependent Life Insurance;
- Accidental Death and Dismemberment Insurance;
- Long-term Disability Insurance; and
- Short-term Disability Insurance.

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

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

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

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

**6. Additional Benefits Programs**

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

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

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

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

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

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

**10.** **Office Hours.** The offices of Alameda CTC shall be open to the public between 8:00 a.m. and 5:00 p.m. each weekday, except on Alameda CTC holidays as defined in Paragraph 2.1. Employees are required to be at Alameda CTC's offices during business hours Monday through Friday.

**11.** All provisions of this Resolution shall be effective and pertain to all employees of Alameda CTC as of the date of hire of the employee, or January 1, 2018, whichever is later, unless otherwise provided.

**12.** The Executive Director is authorized to execute the necessary contracts for the benefits and insurance coverage described herein.

**13.** This resolution is intended to and shall replace and supersede in its entirety that certain Resolution 16-009 adopted by the Commission on December 1, 2016.

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

**AYES:** **NOES:** **ABSTAIN:** **ABSENT:**

**SIGNED:** **ATTEST:**

_____ _____

Rebecca Kaplan, Chairperson Vanessa Lee, Clerk of the Commission

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Alameda CTC Local Business Contract Equity (LBCE) Program |
| **RECOMMENDATION:** | Approve Administrative Updates to the Alameda CTC Local Business Contract Equity Program |

**Summary**

The recommended administrative updates to the Local Business Contract Equity (LBCE) Program (Program) are intended to strengthen the program and expand local and small-local business participation by streamlining and enhancing processes, conforming to best practices, aligning the LBCE Program with the standards of partners and other public agencies, and ensuring compliance with applicable federal, state and local statutes and Alameda CTC policies. At the November 13, 2017 Finance and Administration Committee (FAC) meeting, a member of the FAC requested information on the locations of certified firms within Alameda County. This information is provided in Attachment B.

**Background**

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

**Proposed Updates**

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

- **Update LBCE Program Language to incorporate Alameda CTC and additional Funding Sources:** The LBCE Program language is developed nearly ten years ago and requires clean-up and clarifying modifications, such as: removing references to ACTA and ACTIA; ensuring consistency with the Alameda CTC Procurement Policy adopted in October 2013; and incorporating LBCE Program applicability to 2010 Measure F Vehicle Registration Fees (VRF) and 2014 Measure BB sales tax funds.
- **Maintain Collaborative Partner Agency Process and Standards:** As a member of the East Bay Interagency Alliance (EBIA), Alameda CTC works in cooperation with Alameda County, the City of Oakland, and the Port of Oakland in certifying Local Business Enterprise (LBE), Small Local Business Enterprise (SLBE), and Very Small Local Business Enterprise (VLSBE) firms. This administrative update will allow Alameda CTC to be better aligned with partner agency programs, as well as with Small Business programs at public agencies within California which will make the certification process less confusing and streamlined for interested firms.
- **Support Small Local and Very Small Local Businesses:** Alameda CTC contracts subject to the LBCE Program will be maintained and enhanced by implementing U.S. Small Business Administration (SBA) size standards for SLBEs and adding a specific goal for VSLBEs. This update continues the strong commitment to contract with businesses in Alameda County, to attract and retain local businesses, employ residents of Alameda County, and spend funds on goods and services within Alameda County.

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

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

- **Program Implementation Adjustments**
    - Add a 30% VSLBE goal on professional services contracts, consistent with the Federal Highway Administration and California Department of Transportation guidelines for Commercially Useful Function (CUF), the California Department of General Services microbusiness standard, and the City of Oakland's VSLBE requirement;
    - Allow a Sponsor Agency to use its board adopted local business program;
    - Adjust minimum residency requirement for certification from one year to six months, consistent with certification standards of Alameda County, the City of Oakland, and San Francisco County Transportation Authority;
    - Adjust business income thresholds for SLBE certification based on SBA size standards for principle business activity code, in alignment with Alameda County, the Port of Oakland, and the State of California;
    - Adjust business income thresholds for VSLBE certification from $2 million to $3.5 million in alignment with Very Small Business Enterprise certification with the Port of Oakland and microbusiness certification with the State of California; and
    - Include a simplified Recertification Process consistent across all EBIA partners.

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

**Attachment**

A. Alameda CTC Local Business Contract Equity Program Policy
B. Table 1 – Number of Certified Firms by City

**Staff Contact**

Seung Cho, Director of Budgets and Administration

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# ALAMEDA COUNTY TRANSPORTATION COMMISSION

# LOCAL BUSINESS CONTRACT EQUITY PROGRAM

**Adopted Month DD, YYYY**

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## SECTION I. POLICY

### A. Policy Statement

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

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

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

### B. Background

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

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

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

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

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

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

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

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

### C. Applicability

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

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

   The LBCE Program does not apply to contracts that include state and/or federal funds.
2. **Contract Type.** This LBCE Program applies to contracts which are either:
   a. Administered by Alameda CTC, or
   b. Related to, or in support of, a Sponsor Agency-administered capital project.

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

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

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

## SECTION II. PROGRAM IMPLEMENTATION

### A. LBE, SLBE and VSLBE Goals and Participation

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

1. **Summary of Goals**

**TABLE 1: SUMMARY OF GOALS**

| Type of Contract | LBE | SLBE[1] | VSLBE[2] |
|---|---|---|---|
| **Contract over $75,000** | | | |
| Construction | 60.0% | 20.0% | N/A |
| Professional Services | 70.0% | 30.0% | N/A |
| **Contract between $25,000 and $75,000** | | | |
| Construction | N/A | N/A | N/A |
| Professional Services | N/A | N/A | 30.0% |

1. *SLBE participation also counts toward fulfilling the LBE goal.*
2. *VSLBE participation also counts toward fulfilling the LBE and SLBE goals.*

## 2. Applicable Credits for Contract Award

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

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

## 3. LBE Goals

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

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

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

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

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

## 4. SLBE Goals

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

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

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

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

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

## 5. VSLBE Goal

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

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

## B. Waiver of Goals

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

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

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

## C. Use of Sponsor Agency Local Business Preference Program

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

## D. Certification

### 1. Eligibility

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

- **LBE Criteria**

  a. Hold a valid business license issued by Alameda County or a city within Alameda County for at least six (6) months prior to certification date;

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

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

c. Have a minimum of one full-time equivalent employee staffing the Alameda County office, if the business has one or more offices located outside of Alameda County;

d. Be bona fide with real and continuing business activities and ownership interests which are not created merely for the purpose of meeting the objectives of the LBCE Program; and

e. Be economically independent, perform commercially useful functions, and have a customer base (a business acting as a passive conduit rather than contributing a value added or actual portion of the work performed does not qualify for certification).

- **SLBE Criteria**

  a. Meet all LBE Criteria; and

  b. Have annual gross revenue, averaged over the most recent three (3) tax years, that does not exceed the current small business size standard for its principal business activity code as established by the U.S. Small Business Administration (SBA) and available on the SBA website.

- **VSLBE Criteria**

  a. Meet all SLBE Criteria; and

  b. Have annual gross revenue, averaged over the most recent three (3) tax years, that does not exceed $3,500,000.

**2. Certification Process**

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

**3. Recertification Process**

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

**4. Certification Denial Appeals**

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

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

**5. Status Changes**

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

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

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

a. Banning of the business from bidding, working or providing goods and services on all Alameda CTC contracts for a period of three (3) years;

b. Ineligibility, if applicable, as an LBE, SLBE, and VSLBE for the purposes of all contracts projects, and programs, including subcontracting and joint ventures, under this LBCE Program for a period of three (3) years;

c. Referral of the matter to legal counsel for determination as to refer complaint to the District Attorney for criminal prosecution; and

d. Any other penalty available by law or in equity.

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

**7. Decertification Appeals**

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

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

## E. Status Monitoring and Reporting

### 1. Measurement

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

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

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

### 2. Participation Requirements

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

### 3. Joint Ventures

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

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

| | | | | |
|---|---|---|---|---|
| Dollar value of joint venture contract | **X** | Percent of LBE/SLBE/VSLBE joint venture financial participation in the contract | **=** | Dollar value of joint venture contract applicable to goals |

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

## F. Program Compliance

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

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

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

## G. Program Outreach

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

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

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

## SECTION III. REPORTING AND OTHER REQUIREMENTS

### A. Reporting Requirements

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

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

### B. Records Maintenance

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

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

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

## C. Prompt Payment

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

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

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

## D. Penalties and Sanctions

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

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

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

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

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

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

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

### E. Program Review

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

### F. Severability

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

### G. Confidentiality

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

# APPENDICES

## APPENDIX A.
## DEFINITIONS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## APPENDIX B.
## RESPONSIBILITIES OF SPONSOR AGENCIES

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

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

## APPENDIX C.
## GOOD FAITH EFFORTS FOR CONSTRUCTION CONTRACTS

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

### A. Good Faith Efforts Criteria

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

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

7. Where needed, advise and make an effort to assist interested LBE, SLBE, and/or VSLBE firms in obtaining lines of credit, or required insurance. **GFE Points = 5**

8. Negotiate in good faith with LBE, SLBE, and/or VSLBE subcontractors. The prime contractor shall provide evidence that negotiations with LBE, SLBE and/or VSLBE firms were completed in good faith by documenting and providing names, addresses, telephone numbers, and email addresses of LBE, SLBE and VSLBE firms that were considered. To the extent that the prime contractor negotiated with the LBE, SLBE and VSLBE firms and did not select them for the work, the prime contractor shall provide written documentation for rejecting LBE, SLBE, and/or VSLBE bids. **GFE Points = 25**

**B. Good Faith Efforts Review**

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

1. **Interdisciplinary Review Team:** The initial review/analysis of the GFE documents will be performed by Alameda CTC staff. This initial report will be presented to the Interdisciplinary Review Team (IRT), nominated by the Executive Director, which determines if a GFE was demonstrated. A written evaluation report will be submitted to all bidders, stating whether the apparent low bidder has complied with the GFE requirements. To protest the IRT decision, a bidder has five (5) business days from the date of the written evaluation report to file a written objection. In the event a hearing is deemed appropriate by the Executive Director, all bidders shall be given at least five (5) business days' notice of the hearing. The IRT shall make its findings within ten (10) business days after the hearing. The IRT's decision may be appealed by the bidder or other interested parties, as defined in the bid document.

2. **GFE Review Committee:** Review of a decision of the IRT that is appealed will be conducted by a GFE Review Committee (Committee), which will be comprised of two (2) Commission members and an outside independent appointee. The two (2) Commission members will be appointed by the Chair of the Commission. The outside independent appointee will be retained by the Alameda CTC's Executive Director. The Committee shall hold a hearing in Alameda County. All subcontractors listed on the Good Faith Efforts Report and all bidders and their subcontractors that participated in the bidding process will be given at least ten (10) business days' notice of the hearing. The Committee will review evidence at the hearing and other factors relevant to the case to determine whether the apparent low bidder made GFE to meet the LBE and SLBE goals. The Committee shall review and keep confidential any information revealing a prime contractor's proprietary interests and shall exclude the public from the hearing for that limited purpose. The Committee shall give all bidders and all subcontractors participating in bids on the project an opportunity to present evidence relating to the apparent low bidder's GFE to meet the LBE and SLBE goals. The Committee makes a final determination as to whether a GFE was demonstrated. Alameda CTC or Sponsor Agency will rely on the decision of the Committee, and Alameda CTC will hold the Sponsor Agency harmless for implementing the decision of the Committee.

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

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

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

1. Analyze and assess the available resources and evidence to establish and achieve overall annual program goals each year;

2. Develop, monitor and evaluate the LBCE Program, and prepare supplemental written procedures and guidelines to implement the LBCE Program;

3. Maintain and update the LBCE Program Certification List;

4. Oversee measures to facilitate the participation of local and small business concerns through outreach and other community programs, training and business development programs, restructuring contracting opportunities, and simplifying bonding, surety and insurance requirements;

5. Oversee the contract bid and award process, review contract specifications, ensure the staffing of pre-bid conferences to provide LBCE Program information and participate in the process of evaluating bids for contractor responsiveness, responsibility and GFE;

6. Monitor specific contract performance, payments, and actual participation;

7. Monitor overall participation, adjust the overall goals and means of achievement, assess areas of over-concentration of participation, identify ways to improve progress and reporting to Alameda CTC, as needed;

8. Refer LBE, SLBE and VSLBE firms to resources that provide technical assistance;

9. Oversee outreach to LBE, SLBE and VSLBE firms and community organizations to advise them of opportunities; and

10. Maintain all appropriate records and documentation of the LBCE Program, including gathering and reporting statistical data.

**ATTACHMENT B: TABLE 1 – NUMBER OF CERTIFIED FIRMS BY CITY**

| City | Certified Firms |
|---|---|
| 1. Alameda | 11 |
| 2. Albany | 2 |
| 3. Berkeley | 26 |
| 4. Castro Valley | 3 |
| 5. Dublin | 4 |
| 6. Emeryville | 11 |
| 7. Fremont | 14 |
| 8. Hayward | 13 |
| 9. Livermore | 17 |
| 10. Newark | 2 |
| 11. Oakland | 166 |
| 12. Piedmont | 1 |
| 13. Pleasanton | 25 |
| 14. San Leandro | 14 |
| 15. San Lorenzo | 1 |
| 16. Union City | 3 |
| **TOTAL** | **313** |

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|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Professional Services Contracts Plan – Annual Update |
| **RECOMMENDATION:** | Approve the Professional Services Contracts Plan |

**Summary**

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

Approval of the staff recommendation will:

A. Authorize the Executive Director to exercise the optional years included in the original contract and/or extend a contract, enter into negotiations and execute professional services contract amendments with existing consultant firms for the following services:

1. Contract Equity Support Services;
2. Financial Advisory Services;
3. General Counsel Services;
4. Information Technology Services;
5. Media and Public Relations Services;
6. Operations Management and Support Services;
7. Paratransit Coordination Services; and
8. Project Control and Funding/Financial Management Services.

B. Authorize the Executive Director to issue Requests for Qualifications (RFQs) and/or Requests for Proposals (RFPs), enter into negotiations, and execute professional services contracts with the top-ranked firms for the following types of services:

    1. Administration Support and Creative Services;
    2. Investment Advisory Services; and
    3. State and Federal Legislative Advocacy Services.

## Background

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

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

## A. Contract Execution

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

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

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

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

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

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

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

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

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

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

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

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

5. **Media and Public Relations Services** – Circlepoint

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

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

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

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

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

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

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

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

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

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

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

**B. Contract Procurement and Execution**

1. **Administration and Creative Support Services**

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

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

2. **Investment Advisory Services**

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

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

3. **State and Federal Legislative Advocacy Services**

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

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

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

**Attachment**

A. Table 1 – Summary of Professional Services Contracts Plan

**Staff Contacts**

Seung Cho, Director of Budgets and Administration

Patricia Reavey, Deputy Executive Director of Finance and Administration

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

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

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|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Congestion Management Program (CMP): Summary of the Alameda CTC's Review and Comments on Environmental Documents and General Plan Amendments |
| **RECOMMENDATION:** | 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 9, 2017, Alameda CTC reviewed five general plan amendments which were found to be exempt from CMP review requirements. A response was submitted on these general plan amendments and is included as Attachment A.

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

**Attachment**

A. Response to General Plan Amendments from the City of Livermore for the period between July 2016 and September 2017

**Staff Contacts**

Saravana Suthanthira, Principal Transportation Planner

Chris G. Marks, Associate Transportation Planner

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ALAMEDA County Transportation Commission
1111 Broadway, Suite 800, Oakland, CA 94607 • 510.208.7400 • www.AlamedaCTC.org

October 20, 2017

Debbie Bell
Associate Transportation Planner
Engineering/Community Development Department
City of Livermore
1052 S. Livermore Ave.
Livermore, California 94550

**SUBJECT: Response to General Plan Amendments from the City of Livermore for the period between July 2016 and September 2017**

Dear Ms. Bell,

Thank you for the opportunity to review the City of Livermore's General Plan Amendments opened between July 2016 and September 2017 as part of the 2017 Congestion Management Program (CMP) conformity review process. Alameda CTC has received the following General Plan Amendments (GPAs) which have been approved and are fully entitled by the City of Livermore:

- Sunflower Hill Apartments
- First Street Corridor Land Use GPA Area
- Lifestyle Rx Repurpose
- Housing Implementation Program 2017-2019 and Transferable Development Credit Regulations
- 8343 Vesting Tentative Tract Map, Sonoma School Site

All of the projects reviewed individually generate fewer than 100 net pm-peak hour vehicle trips and cumulatively result in a net reduction of pm-peak hour vehicle trips after complete build-out. Each of these projects was determined to be CEQA exempt and a Notice of Determination for each was filed. A brief description of these GPAs can be found in Attachment A: Details of Projects and Net Trips Generated. Alameda CTC has determined that these projects are exempt from review under the Congestion Management Program Land Use Analysis Program.

Thank you for the opportunity to comment on these projects. Please ensure that all General Plan Amendments are sent in the future to Alameda CTC for review to meet the CMP Land Use Analysis Program requirements.

Please contact me at (510) 208-7426 or Chris G. Marks, Associate Transportation Planner at (510) 208-7453, if you have any questions.

Sincerely,

Saravana Suthanthira
Principal Transportation Planner

Attachment A: Details of Projects and Net Trips Generated

## Attachment A - Project Descriptions and Net Trips Generated

| ID | Name | CEQA | Description | Net PM-Peak Trips |
|---|---|---|---|---|
| GPA16-003 | **Sunflower Hill Apartments** | Notice of Determination (NOD) | Proposal to construct seven buildings, including six residential buildings, ranging from one to two stories, to provide 44 units of affordable, supportive housing for adults with developmental disabilities, and one one-story multipurpose building. | + 9 trips |
| GPA16-005 | **First Street Corridor Land Use GPA Area** | NOD | City-initiated request for a General Plan Amendment (GPA) for an approximately 24-acre area which presently has a Service Commercial (SC) General Plan designation. The GPA proposes a dual land use designation retaining the Service Commercial (SC) designation and allowing a land owner to use the Urban High Residential (UH-2) land use category, which allows 8 to 14 residences per acre. The GPA would designate the site a Transferable Development Credit (TDC) Receiver (R) Site. | Net Trip Reduction |
| GPA17-001 | **Lifestyle Rx Repurpose** | NOD | Lifestyle Rx building expansion of second floor to accommodate additional rehab therapy on first floor, move of health club use to second floor, and conversion of basketball gym to medical office use, and parking lot and site modifications; including a General Plan Amendment (GPA 17-001) creating a new General Plan land use designation of Large Office Commercial allowing a maximum floor area ratio of 0.60. | +11 trips |
| GPA17-002 | **HIP 2017-2019 & TDC Regulations** | Previous Environmental | General Plan Amendment and Development Code Amendment relating to housing allocations for the Transferable Development Credits (TDC) Program in the Housing Implementation Program (HIP) to extend the allocation guarantee for an additional three years (2017-2019). Unused TDC allocations would carry forward to subsequent years beyond 2019. Consideration of the 2017 Community Services and Infrastructure Report which assess the City's capacity to accommodate residential growth and the 2017-2019 Housing Implementation Program regulations which establish the number of allocations available and the process for granting allocations from 2017-2019. | No Change |
| SUB16-003 | **8343 VTTM, Sonoma School Site** | NOD | Redesignation of the General Plan and zoning of Sonoma Elementary School site from educational to residential, to demolish the school, and subdivide and construct 54 single-family residential homes (Vesting Tentative Tract Map 8343). The proposed General Plan designation is Urban Medium High Residential (4.5-6.0 dwellings per acre) and the proposed Zoning designation is Low Density Residential (RL). The project proposes to construct two-story, detached homes ranging in size from approximately 2,100 to 3,000 square feet, and provide open space/water quality swales, landscaping, public streets, sidewalk, lighting, utilities and other related improvements. | + 60 trips |

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|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | 2017 Congestion Management Program (CMP) and the FY2016-17 CMP Conformity Findings |
| **RECOMMENDATION:** | Approve the 2017 CMP and the FY2016-17 CMP Conformity Findings. |

**Summary**

As the congestion management agency (CMA) for Alameda County, Alameda CTC is required to biennially update and implement the legislatively mandated Congestion Management Program (CMP) that identifies strategies to address congestion issues in Alameda County. Alameda CTC's CMP includes forward-looking comprehensive strategies for congestion management that improve multimodal mobility and better connect transportation and land use in the county. Alameda CTC seeks approval for the updated 2017 CMP and the annual findings regarding local jurisdictions' conformance with implementation of the CMP elements.

The CMP is required to incorporate five key elements: level of service monitoring for a designated CMP roadway network, a multimodal performance element, a travel demand management (TDM) program, a land use analysis program (LUAP), and a capital improvement program. The last update to the CMP was completed in October 2015. Considering the legislative efforts (implementation of Senate Bill 743) related to the CMP currently underway, which could fully or partially change the CMP and its requirements, the 2017 update to the CMP is a focused update only to incorporate progress on the implementation of various CMP elements that occurred in the last two years.

The updated CMP document is available on Alameda CTC's Congestion Management Program web page.

The Commission is requested to approve the 2017 update to the CMP and adopt the finding that all jurisdictions are in conformance with the CMP requirements. Once the Commission adopts the 2017 CMP, Alameda CTC will forward the document to the Metropolitan Transportation Commission (MTC) to meet the MTC requirement for CMP conformance.

**Discussion**

State CMP legislation requires biennial updates to the CMP. Alameda CTC develops and updates a CMP for Alameda County during odd-number years. The CMP is used to monitor the performance of the county's transportation system, develop strategies to address congestion and improve the performance of a multimodal system, and strengthen the integration of transportation and land use planning. The following are the legislatively required elements of the CMP:

- Roadway Performance Monitoring: Monitor congestion levels against the level of service (LOS) standards established for the county's designated CMP roadway system. If roadway LOS standards are not maintained in the CMP roadway system, a deficiency plan is required that defines how improvements will be implemented to bring the LOS to an acceptable standard.
- Multimodal Performance Measures: Evaluate the county's multimodal transportation system against adopted performance measures.
- Travel Demand Management: Promote alternative transportation strategies with a travel demand management element.
- Land Use Impact Analysis: Analyze the effects of local land use decisions on the regional transportation system. Develop and maintain a travel demand model to assess the land use impact.
- Capital Improvement Program: Prepare a capital improvement program that maintains or improves the performance of the countywide multimodal transportation system.

**2017 Update to CMP Elements**

Alameda CTC only made focused changes during the 2017 update to report on the work performed and progress made in implementing the CMP elements since the last update in 2015. No substantial changes have been made to the legislative requirements of the program, since the adoption of the CMP legislation in 1991. Since 2015, various legislative efforts (SB 743, AB 1098, and AB 779) have proposed modifications to either all or part of the Congestion Management Program. AB 1098 and AB 779 failed. However, as required by SB 743, the Governer's Office of Planning and Research (OPR) is working to identify the alternative metric for transportation impact assessment in the California Environmental Quality Act (CEQA) process from a delay-based metric such as LOS, to another metric such as vehicle miles traveled (VMT). Alameda CTC actively participated in this process by leading the Bay Area Working Group in 2015 and 2016 to coordinate with the OPR. The OPR has identified VMT as the new metric but is still finalizing the guidance for impact analysis. Since the CMP legislation requires use of the LOS metric, which is in direct conflict with SB 743, the legislation is

anticipated to be amended or revamped at some point. Until SB 743 is fully implemented with the update to CEQA Guidelines on the transportation impact analysis based on OPR's effort, or other legislative efforts to amend the CMP legislation are approved, Alameda CTC will not do any major updates to the CMP or any of the five required elements.

The following updates were made to the CMP elements as part of the 2017 CMP update:

- Designated CMP Network—The CMP roadway network monitored for LOS performance has been expanded by adding approximately 220 miles of additional major arterial roads based on the countywide modal plans completed in 2016. Additionally, 146 miles of CMP roadways that are major transit corridors are identified for the first time for monitoring bus transit performance.
- Level of Service Monitoring—Incorporated the 2016 LOS monitoring results of the CMP network, and no new deficiency plans were identified.
- Multimodal Performance Element—Alameda CTC published its annual performance element as the 2016 Performance Report. A list of additional performance measures for potential consideration in the future has been identified based on the three countywide modal plans completed in 2016.
- Travel Demand Management—The "Commute Choices" website is being modified for better use as a resource center, so that employers and local governments can get more information on TDM strategies. The Guaranteed Ride Home Program implementation continued.
- Land Use Analysis Program—The projects or studies related to implementing complete streets policies in Central County and parking management in North County are complete. The update to the Alameda County Priority Development Area Investment and Growth Strategy was adopted by the Commission in May 2017. On-going land use analysis of Notices of Preparations, Environmental Impact Reports, and General Plan Amendments occurred.
- Travel Demand Model—Alameda CTC is starting to update the countywide model to incorporate the recently adopted Plan Bay Area 2040 assumptions.
- Capital Improvement Program—Alameda CTC's 2018 Comprehensive Investment Plan (CIP) that serves as Alameda CTC's CMP Capital Improvement Program was adopted in April 2017. The CIP focuses on project/program delivery over a five-year programming window with a two-year allocation plan. The State Transportation Improvement Program list of projects from Alameda County for a total funding of $48.8 million was approved in October 2017. These projects will be considered by MTC for incorporation into the Regional Transportation Improvement Plan that will be forwarded to the California Transportation Commission for the 2018 STIP.
- Program Conformance: Deficiency Plans—No new deficiency plans were identified as a result of the 2016 LOS monitoring program. The deficiency plan implementation process, regarding completion of the deficiency plan implementation, has been

clarified in the Deficiency Plan guidelines. Specifically, a deficiency plan can be considered fully implemented, if the local jurisdiction determines and Alameda CTC concurs, that the implementation of the Deficiency Plan resulted in a measurable improvement in LOS bringing the formerly deficient segments into compliance with the LOS standards. For Deficiency Plans that include both near-term and long-term actions, if completion of the near-term actions resulted in a measureable improvement in LOS, and has demonstrated compliance with LOS standards for at least five years, Alameda CTC and the local jurisdiction may consider implementation of the Deficiency Plan to be complete without the completion of the long-term actions.

**2017 Annual CMP Conformity Findings**

Annually, local jurisdictions must comply with four elements of the CMP to be found in compliance. Non-conformance with the CMP requirements means that respective local jurisdictions are at a risk of losing Proposition 111 gas tax funding. The four elements are:

1. Level of Service Monitoring Element: Prepare Deficiency Plans and Deficiency Plan Progress Reports, as applicable;
2. Travel Demand Management Element: Complete the TDM Site Design Checklist;
3. Land Use Analysis Element:
    a. Submit to Alameda CTC all Notices of Preparations, Environmental Impact Reports, and General Plan Amendments;
    b. Review the allocation of Association of Bay Area Governments' land use projections to Alameda CTC's traffic analysis zones; and
4. Pay annual fees.

In September 2017, Alameda CTC contacted all Alameda County jurisdictions for the necessary documentation to determine CMP conformity for fiscal year 2016-2017 (FY2016-17). Documents were requested by September 25th, 2017. Attachment A summarizes the status of conformance documentation by jurisdiction; all jurisdictions have complied with the CMP conformance requirements.

The conformance elements and related activities undertaken to establish conformance are described as follows.

*Level of Service Monitoring Program*

The following Deficiency Plans are active, and status reports have been received. No new deficiency plans were required based on the 2016 level of service monitoring results.

1. SR-260 Posey Tube Eastbound to I-880 Northbound Freeway Connection
   Lead jurisdiction: City of Oakland
   Participating jurisdictions: City of Alameda and City of Berkeley
2. SR-185 (International Boulevard) Between 46th and 42nd Avenues
   Lead Jurisdiction: City of Oakland
   Participating jurisdiction: City of Alameda
3. Mowry Avenue Eastbound from Peralta Boulevard to SR-238 (Mission Boulevard)
   Lead jurisdiction: City of Fremont
   Participating jurisdiction: City of Newark

*Travel Demand Management Element*

Jurisdictions submitted the updated Site Design Checklist.

*Land Use Analysis Program*

- *Development project review*: Jurisdictions reviewed a list of land use projects that Alameda CTC had reviewed and commented on during FY2016-17.
- *Land use forecast review*: Jurisdictions reviewed Plan Bay Area 2013 (Sustainable Communities Strategy) land use allocations as part of the Alameda Countywide Travel Demand Model update completed in August 2014. Jurisdictions will review the updated land use data base incorporating the Plan Bay Area 2040 assumptions in fall of 2017.

All jurisdictions have met the TDM, Land Use Analysis Program, Deficiency Plan and fee requirements.

Based upon approval by the Commission, Alameda CTC will submit the 2017 CMP to MTC to meet the MTC CMP Conformity requirements.

**Fiscal Impact:**

**Attachments**

A. 2017 CMP Executive Summary

B. FY2016-17 CMP Conformance

**Staff Contacts**

Tess Lengyel, Deputy Executive Director of Planning and Policy

Saravana Suthanthira, Principal Transportation Planner

Chris G. Marks, Associate Transportation Planner

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**Attachment B**
**2017 CMP CONFORMANCE**
**Land Use Analysis, Site Design, Payment of Fees and Deficiency Plans**

| | Land Use Analysis Program | | TDM Element | Payment of Fees | Level of Service Element | |
|---|---|---|---|---|---|---|
| Jurisdiction | GPA & NOP Submittals | Land Use Forecast Review* | Site Design Checklist | Payments thru 4th Quarter FY 16/17 | Deficiency Plan Progress Reports or Concurrence | Meets All Requirements |
| Alameda County | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Alameda | Yes | Yes | Yes | Yes | Yes | Yes |
| City of Albany | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Berkeley | Yes | Yes | Yes | Yes | Yes | Yes |
| City of Dublin | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Emeryville | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Fremont | Yes | Yes | Yes | Yes | Yes | Yes |
| City of Hayward | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Livermore | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Newark | Yes | Yes | Yes | Yes | Yes | Yes |
| City of Oakland | Yes | Yes | Yes | Yes | Yes | Yes |
| City of Piedmont | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Pleasanton | Yes | Yes | Yes | Yes | N/A | Yes |
| City of San Leandro | Yes | Yes | Yes | Yes | N/A | Yes |
| City of Union City | Yes | Yes | Yes | Yes | N/A | Yes |

N/A indicates that the city is not responsible for any deficiency plan in the past fiscal year.
* This requirement has been met through jurisdictions review of land use allocation in 2014 travel demand model update. Jurisdictions will be reviewing the land use allocation based on the Plan Bay Area 2040 in the Fall of 2017.

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Goods Movement Emissions Reduction Pilot Program |
| **RECOMMENDATION:** | Approve the Goods Movement Emissions Reduction Pilot Program Principles and Investment Types and authorize the Executive Director to negotiate and enter into funding agreements as necessary to implement the program. |

## Summary

The Countywide Goods Movement Plan includes a goal to reduce environmental and community impacts from goods movement operations to create healthy communities and a clean environment, and improve quality of life for those communities most impacted by goods movement. In an effort to advance that goal, Alameda CTC included $6 million in the 2018 Comprehensive Investment Plan to fund a Goods Movement Emissions Reduction Pilot Program. For the past year, Alameda CTC has been participating in a multi-agency effort led by the Bay Area Air Quality Management District to advance a coordinated program that can leverage other funds from multiple sources to reduce impacts on our local communities.

Staff recommends the Commission approve a list of programs to advance for funding as part of the Goods Movement Emissions Reduction Pilot Program. Programming will be contingent on the principles articulated below being met prior to execution of any funding agreements.

## Background

For the past year, Alameda CTC has actively participated in a multi-agency effort focused on goods movement emissions reductions led by the Bay Area Air Quality Management District (BAAQMD) and including participation of a number of agencies: the City of Oakland, the Port of Oakland, the Alameda County Public Health Department, the Metropolitan Transportation Commission, the California Air Resources Board (CARB), and the Environmental Protection Agency. The group met multiple times to identify potential areas of investment with a focus on reducing emissions in the West Oakland neighborhood, which the BAAQMD has identified as having significantly higher rates of particulate emissions resulting in adverse impacts on public health. The

intent is to develop a strategic framework to leverage the various funding sources at the agencies and private sector in order to advance investments that can result in measurable reductions in emissions.

The BAAQMD anticipates taking an update on the overall effort to its Mobile Source Committee in December. This will include a discussion of the funding programs the BAAQMD anticipates being available to fund emissions reduction projects, which are primarily funding programs administered by BAAQMD or CARB, as well as a summary of the different types of equipment the BAAQMD is considering for inclusion in the investment strategy. Following the December discussion with the Mobile Source Committee, the BAAQMD will engage the private sector and community in discussions to get input on the overall strategy with a focus on feasibility and timing of new technology, economic feasibility and community priorities. It is anticipated that the full BAAQMD Board will approve an overall investment framework in early 2018.

In addition to the agency effort, Alameda CTC staff has met multiple times with members of the Ditching Dirty Diesel Collaborative (DDDC), who actively participated in the development of the Countywide Goods Movement Plan. DDDC was able to provide insight into the needs and priorities of the impacted communities to the discussion. Staff intends to continue regular meetings with DDDC as we advance the Alameda CTC Goods Movement Emissions Reduction Pilot Program.

**Program Principles**

The intent of Alameda CTC's Goods Movement Emissions Reduction Pilot Program is to use the $6 million investment from Alameda CTC Measure BB to leverage significant other funding from the public and private sector to reduce goods movement emissions in the county. Numerous funding opportunities exist, particularly those managed by BAAQMD and CARB, to invest in new equipment technologies across all modes of the goods movement system. The multi-agency partnership the BAAQMD has spearheaded seeks to identify the full range of needs and then start to match the most appropriate funding source to each need, taking into account things such as funding source restrictions, amount of emissions reduced, technological and economic feasibility, and impacted community and industry input. As Alameda CTC works with the BAAQMD and other agency partners to advance improvements, the following principles will guide how and where we seek to invest Alameda CTC local funds:

1. Alameda CTC shall actively partner with other agencies, the private sector and other stakeholders to advance emissions reduction projects that are consistent with the Countywide Goods Movement Plan.
2. Alameda CTC funding will be for investments that result in a reduction in emissions from Goods Movement activities in Alameda County.
3. Alameda CTC funding will serve as a local match to leverage other federal, state, regional, local and private funding to the greatest extent possible.

4. Alameda CTC shall provide no more than 30 percent of the funding for any investment.
5. Alameda CTC funding shall be encumbered only when a full funding agreement for an implementable project has been secured, including Alameda CTC matching funds.
6. Alameda CTC funding shall support investments that are proven technology and implementable within 18 months from date of award.
7. Alameda CTC shall serve as a funding partner, not an implementing agency, of emissions reduction projects.

**Goods Movement Emissions Reduction Pilot Program Investment Types**

Recommendations are based on priorities identified through the multi-agency partnership. In addition, the Ditching Dirty Diesel Collaborative provided a list of emission reduction priorities from the community perspective.

One investment area that has come up repeatedly by the community but that there are currently no eligible funding sources identified for are receptor-side mitigations, such as HVAC systems or tree planting in heavily impacted communities. Alameda CTC local funds must be used to fund transportation improvements or programs, and cannot be used to fund mitigations not tied directly to a specific transportation investment. Alameda CTC, however, acknowledges the importance of such investments and will support as appropriate efforts to secure funds to invest in receptor-side mitigations. To date, the City of Oakland (for the Oakland Army Base Project), Alameda County Public Health Department, CARB and the BAAQMD appear to be the most likely agencies able to move forward such a program.

Specific amounts to each program will be determined based on projects meeting the principles listed above, project readiness, and anticipated emissions reduced.

- Ocean-going vessel emission control technologies: investments could include additional shore power improvements including power vaults or cable reels, or barge-mounted emission control technologies (e.g. bonnets) for container or bulk ships
- Locomotives: advance newest technology rail switchers at the Port of Oakland or Oakland Army Base
- Cargo handling equipment: includes investments such as rubber tired gantry cranes at the Port of Oakland
- Trucks: expand deployment of zero and near zero emission vehicles and support truck buy-outs for heavily polluting trucks, with a focus on trucks that operate in Alameda County
- Receptor-side mitigations: Alameda CTC shall support, but not directly fund, efforts to secure funds to invest in receptor-side mitigations as appropriate.

**Fiscal Impact:** The Goods Movement Emissions Reduction Pilot Program was included in the 2018 Comprehensive Investment Plan for a total cost of $6 million. This action

authorizes programming the funds, contingent upon the requirements as detailed in the recommended principles and investment types.

**Staff Contact**

Tess Lengyel, Deputy Executive Director of Planning and Policy

Carolyn Clevenger, Director of Planning

Vivek Bhat, Director of Programming

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Implementation of the Transportation Demand Management (TDM) Program (PN 1393.200): Professional Services Agreement with Nelson\Nygaard Consulting Associates. |
| **RECOMMENDATION:** | Approve and authorize the Executive Director, or a designee to negotiate and execute the Professional Services Agreement with Nelson\Nygaard Consulting Associates for a not-to-exceed amount of $720,000 to provide Program Management Services for the Implementation of the Transportation Demand Management (TDM) Program |

**Summary**

Many of the activities, projects, and programs undertaken by the Alameda CTC contribute to the agency's overall transportation demand management goal of supporting travel during non-peak periods and by modes other than driving alone. Alameda CTC also manages specific Transportation Demand Management (TDM) programs which are targeted efforts that complement the agency's broader planning and projects portfolio in order to ensure coordinated and efficient delivery of TDM strategies.

Alameda CTC is working to unite current activities into a comprehensive TDM Program with an enhanced focus on the following major work areas: communications and promotion, regional coordination, and employer and local government outreach and engagement. This Program will also include provision of bike safety education classes for adults and the Guaranteed Ride Home program. Bringing various efforts together as part of one coordinated program allows Alameda CTC to identify synergies between efforts in order to maximize benefits and impacts of programs and leverage efforts across the agency in the most efficient way possible.

As part of the 2018 Comprehensive Investment Program, the Commission allocated $854,000 of Measure BB and Transportation Fund for Clean Air (TFCA) funds to the TDM Program. Staff has subsequently worked to define the scope of work for the TDM Program and procure a consultant team. Consultant services were sought through a Request for Proposals (RFP), released in August. Two proposals were received and reviewed by a panel.

Based on the review of the proposals and interviews, the panel selected Nelson\Nygaard Consulting Associates as the top-ranked firm.

Staff recommends that the Commission approve and authorize the Executive Director, or his designee, to negotiate and execute a Professional Services Agreement with Nelson\Nygaard Consulting Associates for a not-to-exceed amount of $720,000 to provide TDM Program Management Services.

**Background**

TDM strategies have historically included a disparate collection of activities, including promotion, incentives, and education to encourage and support ridesharing, bicycling, walking, taking public transit, telecommuting, and flexible work schedules, as well as parking management. This multi-pronged approach allows residents, employees, and visitors to Alameda County to have a wide range of choices for travel.

Many of the efforts managed by the Alameda CTC are designed to support travel during non-peak periods and by modes other than driving alone; they include:

- Guaranteed Ride Home (GRH) Program
- Countywide Bicycle Safety Education Program
- Bike Month Visual Promotion Campaign, currently known as IBike (runs in conjunction with Bike to Work Day)
- Commute Choices website
- Safe Routes to School Program
- Affordable Student Transit Pass Pilot Program
- Travel Training for Seniors and People with Disabilities (through the Paratransit Program)
- Countywide Carpool Promotion Program (also known as Commute Alternatives Program)
- Coordination with regional partners

In addition, Alameda CTC plans, funds, and delivers multimodal infrastructure needed to support safe and convenient travel by all modes. Alameda CTC approaches TDM as a way to leverage the multimodal infrastructure investments being made throughout the county. Some of these efforts include:

- Alameda CTC's Countywide Transit, Bicycle, Pedestrian, Multimodal Arterial, and Goods Movement Plans
- Alameda CTC's Multimodal Corridor Studies
- Construction and operations of Express Lanes (I-580 and I-680 Express Lanes)
- Public transit operations funding
- Public transit infrastructure investments
- Bicycle and pedestrian Direct Local Distribution (DLD) funding to cities

In order to ensure comprehensive and efficient delivery of TDM strategies, as part of this procurement, Alameda CTC is restructuring how it delivers the various components of the

TDM Program in order to unite current activities that are not included in another contract, into a comprehensive TDM Program under one contract with an enhanced focus on the following major work areas: communications and promotion, regional coordination, and employer and local government outreach and engagement. Contract components included in this procurement are: implementation and administration of the Guaranteed Ride Home and Bicycle Safety Education programs, coordination and implementation of the Bike Month visual promotion, or "IBike," campaign, program communications in coordination with the agency's Communications Team, development of performance measures and comprehensive program evaluation, project management, and optional tasks (i.e. development and support of Transportation Management Associations (TMAs) or local TDM programs, etc.), as needed.

**Procurement**

In order to secure the consultant resources necessary for the successful delivery of the TDM Program, Alameda CTC released RFP #R18-0005 in August 2017. Alameda CTC received two proposals on September 18, 2017 from the following firms:

- AECOM
- Nelson\Nygaard Consulting Associates

A selection panel composed of representatives from Alameda CTC reviewed the proposals and selected the two (2) firms for interviews. Consultant interviews were conducted on October 25, 2017.

Proposers were evaluated and scored based on the following criteria:

- Knowledge and understanding of the required services and scope of work.
- Management approach and staffing plan for performing the scope of work efficiently and effectively.
- Qualifications of the proposer firm and ability of the consultant team and key staff in performing the scope of work.
- Effectiveness of interview – overall interview discussions and presentation.

At the conclusion of the evaluation process, the selection panel ranked the teams in the following order:

- Nelson\Nygaard Consulting Associates
- AECOM

The Professional Services Agreement scope includes:

- Implementation and Program Administration of the Guaranteed Ride Home (GRH) Program
- Implementation and Program Administration of the Countywide Bicycle Safety Education (BSE) Program
- Coordination and Implementation of the Bike Month Visual Promotion Campaign

- Program Communications
- Performance Measures and Program Evaluation
- Project Management
- Optional Tasks, as needed

Nelson\Nygaard Consulting Associates is a well-established firm with a strong history of delivering programs in the county. In the event Alameda CTC does not reach agreement with Nelson\Nygaard Consulting Associates, negotiations will proceed with the second highest ranked proposer from the ranking list, shown above.

**Recommendation**

Staff recommends that the Commission approve and authorize the Executive Director, or his designee, to negotiate and execute Professional Services Agreement with Nelson\Nygaard Consulting Associates for a not-to-exceed amount of $720,000 to provide Program Management Services.

**Levine Act Statement:** The Nelson\Nygaard Consulting Associates Team did not report a conflict in accordance with the Levine Act.

**Fiscal Impact:** The action will authorize the encumbrance of $854,000 in previously allocated Program funds (Measure BB and TFCA) approved in the 2018 CIP for this program. This amount is included in the Project Funding Plan, and sufficient budget has been included in the Alameda CTC Adopted FY 2017-18 Budget. Of this amount, an amount not to exceed $720,000 is for consulting services to implement the program and the remainder is for Alameda CTC staff costs.

**Staff Contacts**

Tess Lengyel, Deputy Executive Director of Planning and Policy

Cathleen Sullivan, Principal Planner

Krystle Pasco, Assistant Program Analyst

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | I-80 Gilman Interchange Improvements Project (PN 1381000): Resolution of support for regional funding grant and related contract amendment with Parsons Transportation Group, Inc. (PTG) |
| **RECOMMENDATION:** | 1. Approve Resolution 17-008, the project-specific resolution of local support authorizing the filing of application for regional Transportation Alternatives (TA) set-aside/Active Transportation Program (ATP) funding.<br>2. Approve and authorize the Executive Director to execute Amendment No. 2 to Professional Services Agreement No. A15-0034 with PTG for an additional amount of $1,000,000 for a total not-to-exceed amount of $3,600,000 to provide preliminary design services. |

**Summary**

Alameda CTC is the project sponsor for the I-80 Gilman Interchange Improvements Project (PN 1381000). The Project proposes to reconfigure the I-80 Gilman Interchange, located in northwest Berkeley near its boundary with the City of Albany. The Project is a named capital project in the 2014 Transportation Expenditure Plan and in addition to Measure BB funding, the Project is supported by Federal and City of Berkeley funding. In June 2015, PTG was selected by Alameda CTC to provide preliminary engineering, environmental studies, and final design services. Ultimately, Alameda CTC contracted PTG to provide environmental phase services and included final design services as an optional task subject to the outcome of the environmental process.

The Project is currently in the Environmental Phase and environmental clearance is anticipated by fall 2018. Full project details are included as Attachment A. In July 2017, Alameda CTC submitted an application in response to the Cycle 3 Active Transportation Program (ATP) call for projects and was subsequently notified that the Project is recommended for $4,152,000 in funding from the 2017 Regional ATP Augmentation administered by the Metropolitan Transportation Commission (MTC). To complete the programming process, MTC requires an approved resolution of local support for the Project (Attachment B).

Additionally, in order to meet the grant project delivery requirements, it is necessary to initiate preliminary design services in advance of obtaining environmental clearance. This approach is anticipated to shorten the project schedule by approximately six months at an estimated cost of $1,000,000.

The recommended action would increase the contract not-to-exceed amount to $3,600,000 to provide preliminary design services. As the environmental phase nears completion, staff will return to the Commission with a recommendation for the completion of the final design.

**Background**

Alameda CTC is the implementing agency for the I-80 Gilman Interchange Improvements Project located in northwest Berkeley near its boundary with the City of Albany. The purpose of the Project is to improve navigation and traffic operations on Gilman Street between West Frontage Road and 2nd Street through the I-80 interchange so that congestion is reduced, queues are shortened, and merging and turn conflicts are minimized. In addition to improving mobility through the Gilman Street corridor, the Project aims to close the gap in local and regional bicycle facilities through the I-80/Gilman Interchange; provide access for bicycles and pedestrians traveling between the Bay Trail and North Berkeley; and improve safety for all modes of transportation. Features under consideration include roundabouts and a bicycle/pedestrian bridge over I-80. Full project details are included as Attachment A.

In June 2015, under a competitive selection process, Alameda CTC selected PTG to provide preliminary engineering, environmental studies, and final design services. The resulting Professional Services Agreement No. A15-0034, as approved by the Commission, authorized PTG to provide services for the environmental phase. Final design services were included in the agreement as an optional task dependent on the approval of the environmental document (currently scheduled for fall 2018).

In July 2017, Alameda CTC submitted an application in response to the Cycle 3 ATP call for projects and as a result of the selection process, the Project is recommended for $4,152,000 in funding from the 2017 Regional ATP Augmentation. To complete the programming process, MTC requires an approved resolution of local support for the project (Attachment B). It is anticipated that award approval will be made by the California Transportation Commission at its December 2017 meeting.

To ensure the Project will meet the construction funding allocation deadline of FY 2018/2019, it is necessary to initiate preliminary design services in advance of obtaining environmental clearance. Tasks would include advancing the surveys and mapping work, preparing more detailed engineering design, and initiating right-of-way assessments that would be the same for all design options currently under consideration in the environmental

document. This approach is anticipated to shorten the project schedule by approximately six months. The Project's funding plan includes budget from Measure BB funds for the design phase. The proposed amendment is for a value of $1,000,000 for a contract total not-to-exceed amount of $3,600,000 to provide preliminary design services.

Table A below summarizes the contract actions related to Agreement No. A15-0034. As the environmental phase nears completion, staff will return to the Commission with a recommendation for the completion of the final design.

**Table A: Summary of Agreement No. A15-0034**

| Contract Status | Work Description | Value | Total Contract Not-to-Exceed Value |
|---|---|---|---|
| Original Professional Services Agreement with PTG (A15-0034) *July 2015* | Environmental phase services | NA | $ 2,600,000 |
| Amendment No. 1 *June 2017* | Provide a 12-month time extension to September 30, 2018 | $ 0 | $ 0 |
| *Proposed* Amendment No. 2 *November 2017* *(This Agenda Item)* | Provide additional budget for preliminary design services | $ 1,000,000 | $ 3,600000 |
| **Total Amended Contract Not-to-Exceed Amount** | | | $3,600,000 |

**Levine Act Statement:** PTG did not report a conflict in accordance with the Levine Act.

**Fiscal Impact**: The fiscal impact of approving this item is $1,000,000. The action will authorize Measure BB funds to be used for subsequent expenditure. This budget is included in the Project's funding plan and in Alameda CTC's Adopted FY 2017-2018 Capital Program Budget.

**Attachments**

A. I-80 Gilman Interchange Improvements Project Fact Sheet
B. Resolution 17-008 (Resolution of Local Support)

**Staff Contact**

Trinity Nguyen, Director of Project Delivery

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# Interstate 80 Gilman Interchange Improvements

OCTOBER 2017

## PROJECT OVERVIEW

The Alameda County Transportation Commission (Alameda CTC), in cooperation with the California Department of Transportation (Caltrans), the cities of Berkeley and Albany propose to reconfigure the Interstate 80 (I-80)/Gilman interchange, located in northwest Berkeley near its boundary with the City of Albany.

The purpose of the project is to improve navigation, mobility and traffic operations on Gilman Street between West Frontage Road and 2nd Street through the I-80 interchange to reduce congestion, shorten queues and minimize merging and turning conflicts. In addition to improving mobility through the Gilman street corridor, the project aims to:

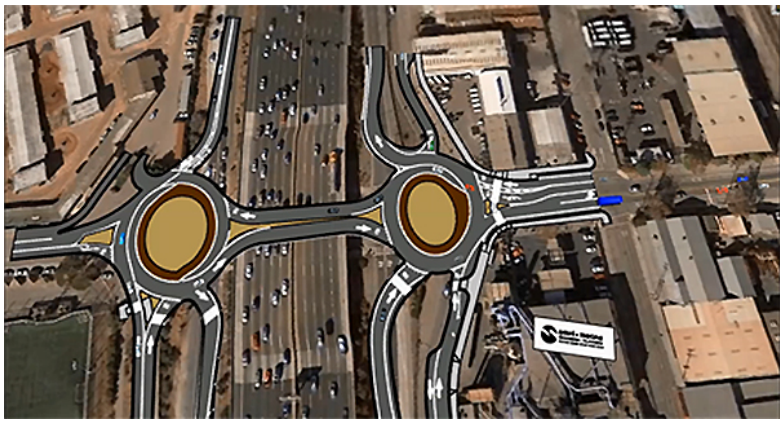
- Close the gap in local and regional bicycle facilities through the I-80/Gilman Street interchange
- Provide access for bicycles and pedestrians traveling between the Bay Trail and North Berkeley
- Improve safety for all modes of transportation


## PROJECT NEED

- Non-standard spacing between ramp intersections
- Excess left turn vehicle queue lengths on Gilman Street
- Complex vehicle navigation through many conflicts
- Stop-sign-controlled intersections
- One of the region's top 10 most congested corridors

## PROJECT BENEFITS

- Reduces congestion and improves mobility
- Shortens queues
- Reduces turning conflicts and improves merging
- Improves local and regional biking facilities
- Provides safe access for pedestrian and bicyclists



Overlay of the roundabouts at the project location.

Rendering of the I-80 Gilman Interchange Improvements project looking north along Eastshore Highway before Gilman Street.

## STATUS

**Implementing Agency**: Alameda CTC

**Current Phase:** Project Approval/Environmental Document (PA&ED)

- Project Study Report - Project Development Support (PSR-PDS) approved by Caltrans in October 2014
- Scoping open house held in April 2016
- Draft Environmental Document (IS/EA) in spring 2018
- Public hearing in spring/summer 2018
- Final project approval and environmental document (PA&ED) in fall 2018

## PARTNERS AND STAKEHOLDERS

Caltrans, Alameda CTC, cities of Berkeley and Albany, East Bay Regional Park District, East Bay Municipal Utility District and various bicycle groups

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

| | | |
|---|---|---|
| Planning/Scoping | $ | 794 |
| PE/Environmental | $ | 2,885 |
| Final Design (PS&E) | $ | 4,143 |
| Right-of-Way/Utility | $ | 3,271 |
| Construction | $ | 32,276 |
| **Total Expenditures** | **$** | **43,370** |

Note: Estimate basis in 2016 dollars.

## FUNDING SOURCES ($ X 1,000)

| | | |
|---|---|---|
| Measure BB | $ | 12,000 |
| Federal Demo | $ | 1,080 |
| State PPM/Local/EBMUD | $ | 354 |
| TBD[1] | $ | 29,936 |
| **Total Revenues** | **$** | **43,370** |

[1]$4,152 million in Active Transportation Program (ATP) Cycle 3 funding pending approval by the California Transportation Commission (CTC) in December 2017.

## SCHEDULE BY PHASE[1]

| | Begin | End |
|---|---|---|
| Scoping | Spring 2012 | October 2014 |
| Preliminary Engineering/ Environmental | Fall 2015 | Fall 2018 |
| Final Design | Fall 2018 | Fall 2019 |
| Right-of-Way | Fall 2018 | Spring 2019 |
| Advertisement/ Award | Summer 2019 | Fall 2019 |
| Construction | Fall 2019 | Spring 2022 |

[1] Schedule subject to funding availability.

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

ALAMEDA County Transportation Commission

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**Resolution No. 17-008**

**Resolution of Local Support**

**I-80 Gilman I/C Bike/Ped Over-crossing & Access Improvements Project: Authorizing the filing of an application for funding assigned to MTC and committing any necessary matching funds and stating assurance to complete the project**

**WHEREAS**, the Alameda County Transportation Commission (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for $4,152,000 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 I-80 Gilman I/C Bike/Ped Over-crossing & Access Improvements Project (herein referred to as PROJECT) for the Transportation Alternatives (TA) set-aside/Active Transportation Program (ATP) (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
- in the case of a transit project, the PROJECT will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region; and
- in the case of a highway project, the PROJECT will comply with MTC Resolution No. 4104, which sets forth MTC's Traffic Operations System (TOS) Policy to install and activate TOS elements on new major freeway projects; and
- in the case of an RTIP project, state law requires PROJECT be included in a local congestion management plan, or be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; 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, in the case of a transit project, APPLICANT agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution No. 3866, revised; and be it further

**RESOLVED** that, in the case of a highway project, APPLICANT agrees to comply with the requirements of MTC's Traffic Operations System (TOS) Policy as set forth in MTC Resolution No. 4104; and be it further

**RESOLVED** that, in the case of an RTIP project, PROJECT is included in a local congestion management plan, or is consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; 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 County Transportation Commission at the regular Alameda CTC Board meeting held on Thursday, December 7, 2017 in Oakland, California, by the following vote:

AYES: NOES: ABSTAIN: ABSENT:

SIGNED: Attest:

_____ _____

Rebecca Kaplan, Chair Vanessa Lee, Commission Clerk

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Warm Springs BART West Access Bridge and Plaza (PN 1467.000): Approval of Measure BB Funding Allocation and Contract Amendment No. 1 to Project Funding Agreement A16-0087 with the City of Fremont |
| **RECOMMENDATION:** | Approve additional Measure BB funding allocation of $5,000,000 and authorize the Executive Director to execute Project Funding Agreement (PFA No. A16-0087) with the City of Fremont for a total PFA amount of $30,000,000 for the construction phase. |

**Summary**

On March 24, 2016, the Commission approved the allocation of $25,000,000 of Measure BB funds (TEP No. 45- Community Development Investment) for the construction phase of the Warm Springs BART West Access Bridge and Plaza Project (PN 1467000). The Project, sponsored by the City of Fremont, consists of a pedestrian/bicycle bridge that will connect the west side of the new Warm Springs/South Fremont BART station to a ground level entry plaza to provide multi-modal connectivity between the station and the properties west of the station; including Tesla, Thermo Fisher, and other major employers in the City of Fremont.

The Project was advertised in June 2017 and bids opened in September 2017. All bids received were significantly over the available capital budget and as a result, the bids were rejected. The City has evaluated various options to allow for the Project to move forward into construction and estimates $5,000,000 will be required to ensure the project is fully funded through construction.

Staff has reviewed the City's request (Attachment A) and recommends an allocation of $5,000,000 in Measure BB funding (TEP No. 21- Dumbarton Corridor Area Transportation Area Improvements) to allow for the project to move into the construction phase. Upon approval, PFA No. A16-0087 would be executed to reflect the additional funding for a total PFA amount of $30,000,000. Approved allocations will be reflected in the 2018 Comprehensive Investment Plan Update.

**Background**

The Warm Springs BART West Access Bridge and Plaza Project (PN 1467000), sponsored by the City of Fremont, consists of the construction of a pedestrian/bicycle bridge that will connect the west side of the new Warm Springs/South Fremont BART station to a ground level entry plaza.

The bridge will consist of two connected spans, one approximately 147-feet long truss span connected to the station concourse level over the existing UPRR mainline tracks, and one approximately 102-feet long cable-stay span connecting from the truss span, over a UPRR spur track, to a 1 acre entry plaza. The plaza will provide a landing area for the bridge's staircase, escalators, and elevator, and, in addition, will be a public space that will provide a setting for community gatherings and outdoor activities.

On March 24, 2016, the Commission approved the allocation of $25,000,000 of Measure BB funds (TEP No. 45- Community Development Investment) for the construction phase of the Warm Springs BART West Access Bridge and Plaza Project (PN 1467000). The Project was advertised in June 2017 and bids opened in September 2017. All bids received were significantly over the available capital budget and as a result, the bids were rejected. The City has evaluated various options to allow for the project to move forward into construction and estimates $5,000,000 will be required to ensure the project is fully funded through construction.

Staff has reviewed the City's request and recommends an allocation of $5,000,000 in Measure BB funding (TEP No. 21- Dumbarton Corridor Area Transportation Area Improvements) to allow for the project to move into the construction phase. The Project meets the programming principles of MBB TEP No. 21, adopted by the Commission in October 2017 and is also consistent with the principles and objectives of Alameda CTC's Comprehensive Investment Plan (CIP).

Upon approval, PFA No. A16-0087 would be executed to reflect the funding as summarized in Table A. Approved allocations will be reflected in the 2018 Comprehensive Investment Plan Update.

**Table A: Summary of Allocations (PFA No. A16-0087)**

| Commission Approval Date | Fund Source | Fund Subset | Phase | Allocated Amount |
|---|---|---|---|---|
| 3/24/2016 | MBB | TEP 45 | CON | $25,000,000 |
| 12/7/2017 (T) | MBB | TEP 21 | CON | $5,000,000 |
| | | **Total PFA Amount** | | **$30,000,000** |

*(T) Denotes anticipated date of Commission action for this request.

**Fiscal Impact:** Approval of the recommended action will allocate $5,000,000 of Measure BB funds for subsequent encumbrance and expenditure. This budget will be included in the Alameda CTC FY 2018/19 Capital Program Budget.

**Attachment**

A. Request for Supplemental Funding for Warm Springs BART Station West Access Bridge (City of Fremont, dated October 25, 2017)
B. Project Fact Sheet

**Staff Contacts**

Vivek Bhat, Director of Programming and Project Controls

Trinity Nguyen, Director of Project Delivery

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CITY OF Fremont

*Public Works Department*
39550 Liberty Street, P.O. Box 5006, Fremont, CA 94537-5006
42551 Osgood Road, Fremont, CA 94539 (Maintenance Center)
www.fremont.gov

October 25, 2017

Ms. Trinity Nguyen
Director of Project Delivery
Alameda County Transportation Commission
1111 Broadway, Suite 800
Oakland, CA 94607

**Subject: Supplemental Funding for Warm Springs BART Station West Access Bridge and Plaza Project**

Dear Ms. Nguyen:

This is to confirm the request from the City of Fremont for a supplemental construction funding allocation of $5 million for the Warm Springs BART Station West Access Bridge and Plaza Project. The total project cost has increased from $35 million to $40 million primarily due to the rapid escalation of construction costs related to the current economic environment. Fremont has funded and delivered all preconstruction activities for the project including planning, environmental, property acquisition, utility relocation, railroad facility relocation, design, and permits, valued at approximately $10 million. In March 2016, ACTC allocated $25 million for project construction.

The project was initially advertised for construction bids in June 2017, but the Fremont City Council rejected the bids in September 2017 due to costs significantly exceeding budgeted funds. In an effort to attract more cost-effective bids, the City has extended the construction duration and repackaged the contract documents to address feedback from the previous bid process. However, additional funding in the amount of $5 million is necessary to ensure complete funding for the project. The suggested source is from Fremont's share of Measure BB funds in the Dumbarton Corridor Area Transportation Improvements program.

As you are aware, the West Access Bridge provides a pedestrian and bicycle connection over Union Pacific railroad tracks from the Warm Springs BART Station to a new master-planned urban mixed-use community that is now under construction and adjoins the expanding Tesla Motors factory. The new community includes affordable housing, a new elementary school, a commercial district, and a public plaza at the BART station entrance. The new bridge is being built by Fremont, but it will be maintained by BART as an integral part of their station facility.

We appreciate ACTC's consideration of our request and continued support of the West Access Bridge and Plaza as a project of regional significance. Please contact me if you have any questions or need further information at 510-494-4722 or hlarsen@fremont.gov.

Sincerely,

Hans F. Larsen
Public Works Director

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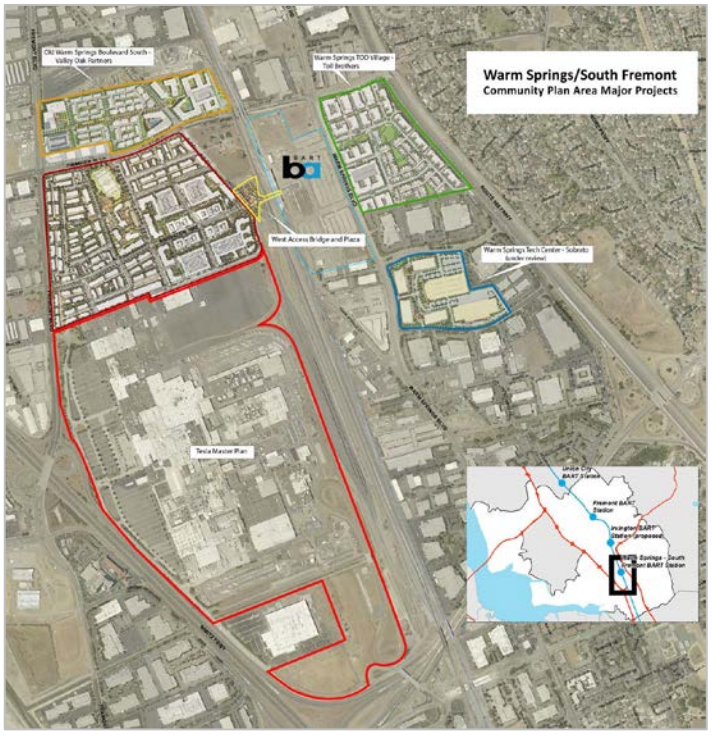
# BART Warm Springs West Access Bridge and Plaza Project

NOVEMBER 2017

## PROJECT OVERVIEW

Sponsored by the City of Fremont, the BART Warm Springs West Access Bridge & Plaza project consists of a pedestrian/bicycle bridge that will connect the west side of the new Warm Springs/South Fremont BART station to a ground level entry plaza to provide multi-modal connectivity between the station and the properties west of the station; including Tesla, Thermo Fisher, and other major employers in the City of Fremont.




Warm Springs/South Fremont Community Plan Area.

Architectural rendering looking east from Innovation Way.

## STATUS

**Design:** Complete

**Current Phase:** Advertising

For Funding and Schedule details, visit the

**Project Website:**

https://fremont.gov/2962/BART-Warm-Springs-West-Access-Bridge-Pla

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | I-880/Mission Boulevard (Route 262) Interchange Project (PN 1174000) |
| **RECOMMENDATION:** | Approve and authorize the Executive Director to execute Amendment No. 3 to Professional Services Agreement No. A14-0049 with the Alameda County Public Works Agency for an additional amount of $100,000 for a total not-to-exceed amount of $200,000 and a one-year time extension to provide right-of-way closeout services. |

## Summary

The I-880/Mission Boulevard (Route 262) Interchange Completion Project (PN 1174000: ACTA MB196) is one of the remaining active capital projects included in the 1986 Measure B Expenditure Plan. The Project was split into two stages. Phase 1A, was completed in 2009. Phase 1B was implemented by the VTA as part of their BART to Silicon Valley efforts. Construction on Phase 1B began in 2012 and was completed in April 2015.

The Project is currently in the closeout phase. The project as-built has been completed and accepted by Caltrans. The Alameda County Public Works Agency (ACPWA) has been working with Caltrans and the City of Fremont to complete the right-of-way transfers for the project and it is estimated that the remaining effort would require an additional $100,000 and one-year time extension.

The recommended action would increase the contract not-to-exceed amount to $200,000 to provide right-of-way closeout services.

## Background

The I-880/Mission Boulevard (Route 262) Interchange Completion Project (ACTA MB196) is one of the remaining active capital projects included in the 1986 Measure B Expenditure Plan. The Project was split into two stages. The first stage, Phase 1A, included the majority of the 1986 Measure B project funding for the interchange reconfiguration and the mainline widening for the HOV lane. Phase 1A was completed in 2009.

Phase 1B consisted of the Mission Boulevard (Route 262) widening and Kato Road ramps reconfiguration which were deferred from the Phase 1A scope. The widening of Mission

Boulevard (Route 262) required the replacement of the multiple railroad bridges crossing Mission Boulevard. Coordination with the railroad was a primary consideration related to the decision to defer that portion of the project while Phase 1A proceeded into construction. Phase 1B was subsequently combined with the Warren Avenue Grade Separation and Truck Rail Transfer Facility improvements and implemented by the Santa Clara Valley Transportation Authority as part of their BART to Silicon Valley efforts. Construction on Phase 1B began in 2012 and was completed in April 2015.

Project closeout has been on-going and progress on key deliverables are as follows:

- Project As-built (100% complete)
- Phase 1A Right-of-way transfers (95% complete)
- Phase 1B Right-of-way transfers (80% complete)

The proposed amendment is for a value of $100,000 for a contract total not-to-exceed amount of $200,000 and a one-year time extension to perform the work necessary to complete the remaining right-of-way transfers.

Table A below summarizes the contract actions related to Agreement No. A14-0049.

**Table A: Summary of Agreement No. A14-0049**

| Contract Status | Work Description | Value | Total Contract Not-to-Exceed Value |
|---|---|---|---|
| Original Professional Services Agreement with ACPWA (A14-0049) *July 2014* | Environmental phase services | NA | $ 100,000 |
| Amendment No. 1 *December 2015* | Provide a 12-month time extension to December 31, 2016 | $ 0 | $ 0 |
| Amendment No. 2 *December 2016* | Provide a 12-month time extension to December 31, 2017 | $ 0 | $ 0 |
| *Proposed* Amendment No. 3 *November 2017 (This Agenda Item)* | Provide additional budget and one-year time extension to December 31, 2018 | $ 100,000 | $ 200,000 |
| **Total Amended Contract Not-to-Exceed Amount** | | | $200,000 |

**Fiscal Impact**: The fiscal impact of approving this item is $100,000. The action will authorize previously allocated Measure B funds to be used for subsequent expenditure. This budget is included in the Project's funding plan and in Alameda CTC's Adopted FY 2017-2018 Capital Program Budget.

**Staff Contact**

Trinity Nguyen, Director of Project Delivery

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| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | I-80 Integrated Corridor Mobility Project #6: San Pablo Corridor Arterial and Transit Improvements Project |
| **RECOMMENDATION:** | Adopt Alameda CTC Resolution 17-007 authorizing the Executive Director to accept the construction contract with Steiny and Company, Inc. for the I-80 Integrated Corridor Mobility Project #6 – San Pablo Corridor Arterial and Transit Improvements Project |

## Recommendation

It is recommended that the Commission authorize the Executive Director to accept the construction contract with Steiny and Company, Inc. ("Steiny") for the I-80 Integrated Corridor Mobility (ICM) Project #6 –San Pablo Corridor Arterial and Transit Improvements Project (PN 1387006) through the adoption of Alameda CTC Resolution 17-007.

## Summary

Since October 2016, the I-80 ICM Project has operated to help accelerate incident management and reduce traffic congestion in the 19.5-mile I-80 and San Pablo Avenue corridor from Emeryville to the Carquinez Bridge. These benefits are achieved through the deployment of intelligent transportation system (ITS) and transportation operation system (TOS), without widening the existing roadway to add lane capacity. This $93 million project is funded with the federal, state, regional and a combination of Alameda and Contra Costa counties sales tax program funds.

In October 2016, staff observed that the field construction was complete for the I-80 ICM Project #6 and sought the Commission's adoption of Resolution 16-008 (Attachment A) to close out the construction contract with Steiny, pending the completion of final close out documentation by Steiny. During the transition into the operations phase, software/hardware incompatibility issues unexpectedly appeared and certain components of the ICM elements failed to function as designed. While the project team continued to troubleshoot the issues, on November 28, 2016, Steiny filed for bankruptcy. Given the bankruptcy situation at hand, staff utilized an on-call consultant to complete the required system-wide fixes, in order to fully integrate the ICM elements implemented though six different construction contracts along I-80 and San Pablo Avenue.

Staff has made numerous unsuccessful attempts to communicate with Steiny through its surety company, Liberty Mutual, about the final construction contract quantities, payments, and other documentation required to close out the construction contract. Since Steiny and Liberty Mutual have been non-responsive to date, staff recommends that the Commission adopt Resolution R17-007 authorizing the Executive Director to proactively file a "Notice of Completion" with Alameda County and close out the construction contract with Steiny within a set timeline.

**Background**

The Alameda CTC in partnership with Caltrans and the Contra Costa Transportation Authority implemented the I-80 ICM Project to provide operational improvements via the implementation of ITS strategies, such as adaptive ramp metering and incident management, along a 19.5-mile portion of I-80 from the San Francisco-Oakland Bay Bridge Toll Plaza to the Carquinez Bridge in Alameda and Contra Costa Counties. On September 19, 2016, a ribbon cutting ceremony was held to celebrate the completion of the construction Project and paved the way for the Project to move into operation phase. Due to the complexities associated with implementing the I-80 ICM Project, the construction activities were accomplished via six different construction contracts, including the construction of the San Pablo Corridor Arterial and Transit Improvements (Project #6).

Project #6 implemented the following elements:

- traffic signal interconnect & synchronization,
- traffic signal upgrades,
- new traffic signals,
- electrical system upgrades,
- vehicle detection equipment,
- pedestrian push buttons,
- count-down pedestrian signals,
- closed circuit televisions (CCTV),
- arterial Changeable Message Signs (CMS),
- speed feed-back signs, Informational Message Signs (IMS),
- Emergency Vehicle Preemption (EVP),
- Transit Signal Priority (TSP),
- PG&E and AT&T service connections.

Bids for Project #6 were opened on May 26, 2011. On June 23, 2011, the Alameda CTC Board awarded contract A11-0026 in the amount of $9,212,000 to Steiny and approved a construction capital budget of $11,137,000 that included budget for supplemental work, contract contingency, and agency furnished materials.

During the transition into the operations phase, software/hardware incompatibility issues unexpectedly appeared that delayed the integration of the entire ICM

system. The Project is the first of its kind to be implemented in California and these incompatibility issues weren't anticipated during the design and construction phases. As a result, various construction change orders (CCOs) were issued to troubleshoot the problems for resolution. Some of the equipment failure/incompatibility issues the project team handled include:

- Upgrading the modem to keep up with wireless industry changes.
- Improving traffic signal communication.
- Procuring and installing large size batteries to support trailblazer sign function.
- Procuring and replacing parts to support changeable message sign and CCTV camera function.

While the project team worked to correct issues that hindered the final system integration, on November 28, 2016, Steiny filed for bankruptcy due to insolvency. Therefore, staff utilized an on-call services consultant to implement field fixes. Upon successful completion of system-wide fixes, in June 2017 the Project was turned over to the local cities for maintenance and operation responsibilities.

A summary of contract cost at completion is provided below:

**Contract Summary**

| | | |
|---|---|---|
| **Steiny:** | | |
| Awarded Bid Amount: | $ | 8,750,165 |
| Total CCO Amount: | $ | 2,101,735 |
| **On-call consultant:** | | |
| Total CCO Amount | $ | 114,570 |
| Total Project #6 Construction Capital Cost: | $ | 10,966,470 |

As of May 30, 2017, the construction of all ICM elements is complete and the Project is now in the operation and maintenance phase. One-year maintenance operations started on June 1, 2017 and the local cities have assumed responsibility for maintaining the project elements.

**Fiscal Impact** None. The project contract was completed within the allocated budget for construction.

**Attachments**

A. Alameda CTC Resolution 17-007

**Staff Contact**

Trinity Nguyen, Director of Project Delivery

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



**ALAMEDA COUNTY TRANSPORTATION COMMISSION**

**RESOLUTION 17-007**

**Resolution Authorizing Executive Director to Accept the Construction Contract Completion with Steiny and Company, Inc. for the I-80 Integrated Corridor Mobility Project #6– San Pablo Corridor Arterial and Transit Improvement Project**

**WHEREAS,** on June 23, 2011, the Alameda County Transportation Commission (Alameda CTC) entered into Agreement No. A11-0026 with Steiny and Company, Inc. ("Contractor") for the I80 ICM Project #6 - San Pablo Corridor Arterial and Transit Improvement Project (PN 1387.006) ("Project"); and

**WHEREAS,** in October 2016, the Contractor completed final construction "punch list" items on the Project, with the exception of final closeout documents, and requested a Notice of Completion be recorded and final payment made pending submittal of closeout documents; and

**WHEREAS**, on October 27, 2016, pursuant to Resolution 16-008, the Commission authorized the Executive Director to accept the Project pending submittal of final closeout documents and directed the Clerk of the Alameda CTC to record a Notice of Completion specifying the date final closeout documents were received as the completion date of the Project; and

**WHEREAS**, on November 28, 2016, the Contractor filed a petition for voluntary bankruptcy with U.S. Bankruptcy Court and, despite requests from the Alameda CTC, has failed to submit the final closeout documents;

**WHEREAS,** in order to close out the Project and to set a deadline for claims to be filed on the Project it is in the best interests of the Commission to record a Notice of Completion although final closeout documents have not been received from the Contractor;

**NOW, THEREFORE, BE IT RESOLVED** as follows:

The Alameda CTC hereby authorizes the Executive Director to accept the Project specified in Agreement No. A11-0026.

The Project was completed on June 30, 2017 with the exception of final closeout documents.

The Clerk of the Alameda CTC is hereby directed to file a Notice of Completion on or within fifteen (15) days following approval of this resolution, with the date the resolution deemed as the date the Project was accepted by the

Commission, copies of said Notice to be recorded in the Official Records of Alameda County, in the manner provided by law.

**DULY PASSED AND ADOPTED** by the Alameda CTC at the regular meeting of the Commission held on December 7, 2017 in Oakland, California, by the following votes:

**AYES:** **NOES:** **ABSTAIN:** **ABSENT:**

**SIGNED:** **ATTEST:**

_____ _____

Rebecca Kaplan
Chair, Alameda CTC

Vanessa Lee
Clerk of the Commission

ALAMEDA County Transportation Commission

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



## ALAMEDA COUNTY TRANSPORTATION COMMISSION

## RESOLUTION 16-008

**Resolution Authorizing Executive Director to Accept the Completed Construction Contract with Steiny and Company, Inc. for the I80 ICM Project #6 – San Pablo Corridor Arterial and Transit Improvement Project**

**WHEREAS,** on October 31, 2012, the Alameda County Transportation Commission (Alameda CTC) entered into Agreement No. A12-0019 with Steiny and Company, Inc. ("Contractor") for the I80 ICM Project #6 - San Pablo Corridor Arterial and Transit Improvement Project (PN 1387.006) ("Project"); and

**WHEREAS,** the Contractor has completed all final "punch list" items, with the exception of final closeout documents, and Alameda CTC, has completed final inspections which have indicated that the Project has been constructed in conformity with the Agreement for Construction with the exception of presently unknown defects not disclosed in the final inspection; and

**WHEREAS**, the Contractor has requested a Notice of Completion be filed and final payment be made pending submittal of closeout documents; and

**WHEREAS,** the Project was acknowledged as completed on September 30, 2016, with the exception of closeout documents;

**NOW, THEREFORE, BE IT RESOLVED** as follows:

The Alameda CTC hereby authorizes the Executive Director to accept the Project specified in Agreement No. A11-0026 pending submittal of closeout documents.

The Project was completed on September 30, 2016 with the exception of closeout documents. The final contract price is the sum of $11, 376,168.

The Clerk of the Alameda CTC is hereby directed to file a Notice of Completion specifying the date final closeout documents are received, as the completion date for this Project, copies of said Notice to be recorded in the Official Records of Alameda County, in the manner provided by law.

**DULY PASSED AND ADOPTED** by the Alameda CTC at the regular meeting

of the Commission held on October 27, 2016 in Oakland, California, by the following votes:

**AYES:** 25 **NOES:** 0 **ABSTAIN:** 0 **ABSENT:** 2

**SIGNED:**

Rebecca Kaplan
Chair, Alameda CTC

**ATTEST:**

Vanessa Lee
Clerk of the Commission

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Alameda CTC Capital Program Update |
| **RECOMMENDATION:** | Receive an update on the Alameda CTC's Capital Program. |

**Summary**

This is an informational item on the status of Alameda CTC's Capital Program. Alameda CTC's mission is to plan, fund and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County. The Commission funds and oversees numerous capital transportation improvement projects throughout Alameda County, with many originating from the 1986, the 2000, and the 2014 Transportation Expenditure Plan (TEP). These projects include Local Streets and Roads, Highway and Arterials, Transit, Goods Movement, and Technology improvements with the goal of providing an effective, efficient, and safe transportation network throughout Alameda County.

Alameda CTC's Capital Program includes projects implemented by other jurisdictions within Alameda County as well as projects directly implemented by Alameda CTC. Projects selected for direct implementation by Alameda CTC:

1. Are regionally significant.
2. Offer significant benefits to the traveling public.
3. Have the ability to leverage Measure BB investments to attract external funding.
4. Require coordination with other ongoing projects.
5. Require extensive interagency coordination, multiple contracts/agreements, and/or interface with the community.

A detailed status of projects directly implemented by Alameda CTC is available on the Alameda CTC website (http://www.alamedactc.org/app_pages/view/4681).

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

**Staff Contact**

Trinity Nguyen, Director of Project Delivery

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# Application for the Alameda CTC
## Independent Watchdog Committee (IWC)

ALAMEDA County Transportation Commission

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

### Membership qualifications:

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

Name: Madeleine Nelson

Home Address: [redacted]

Mailing Address (if different): _____

Phone: (home) _____ (work) _____ (cell) [redacted]

Email: [redacted]

Please respond to the following sections on a separate attachment:

I. **Commission/Committee Experience:** What is your previous experience on a public agency commission or committee? Please also note if you are currently a member of any commissions or committees.

II. **Statement of Qualifications:** Provide a brief statement indicating why you are interested in serving on the IWC and why you are qualified for this appointment.

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

IV. **Bio or Resume:** Please include your current biography or resume.

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

Signature Madeleine S Nelson Date May 11, 2017

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

**Appointing Party:**

Signature: [signature]

Date: August 16, 2017

**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.**

For the BART Measure RR Citizen Oversight Board, I am currently nominated as the League of Women Voters of the Bay Area's alternate commission member. I currently serve on the Board of Directors of the League of Women Voters of Oakland.

**II. Statement of Qualifications: Provide a brief statement indicating why you are interested in serving on the IWC and why you are qualified for this appointment.**

**Summary of Reasons for Applying:**
As an Oakland resident since 1990 and an avid user of our transportation systems, I deeply value our networks and infrastructure as important assets of our region, linking our diverse communities to each other, to jobs, to homes, and to recreation. Alameda County voters shared that vision and awareness of our region's urgent and growing transportation needs by renewing and expanding the Measure B's funding through Measure BB. Yet, approval of public funding is only one step in providing sustainable, accessible transportation. Monitoring and oversight by the Independent Watchdog Committee is equally critical to building the future of Alameda County's transportation systems. The importance of this oversight to future success is my primary motive for applying. Further, this active monitoring of the use of public funds is essential to building and maintaining public trust in our institutions through accountability.

In addition to a strong commitment to oversight, I unite a range of skills and past experiences as a candidate. I bring considerable knowledge of key technical and management topics relevant to the Independent Watchdog Committee's oversight duties. My familiarity with public financing and auditing, project budgeting and management, public contracting compliance and construction practices, and our region's transportation programs and projects will allow me to quickly engage with the committee's responsibilities. Moreover, I bring expertise in monitoring of public institutions and initiatives from my service with the League of Women Voters of Oakland. The broad network and resources from the League of Women Voters will support and deepen my practical experience in oversight. My use of this support will help ensure appropriate use of Measure B and Measure BB tax revenues in line with the intent of the measures.

**Summary of Qualifications:**
An economist by training, I have a strong understanding of public financing and public expenditures. This includes a thorough grounding in tax-based and bond-based funding, the process required for issuing bonds, and debt service requirements. Given ACTC's 2014 issuance of revenue bonds, this experience with both funding formats will be very useful to fulfilling the oversight duties of an Independent Watchdog Committee member.

As a project manager with significant past work experience on transportation and logistics projects, I am very familiar with the challenges and opportunities of these fields. My focus was systems that serve multiple constituencies or that cross jurisdictions. Trans-regional corridor development and management for passenger and freight traffic, intermodal connections, roads, and ports featured prominently. This work also included monitoring of capital investments. I

have experience with the systems of the Massachusetts Bay Transportation Authority, Autonomous Operator of Parisian Transports (RATP) Istanbul Public Transit Authority (IETT), Ghana Ports and Harbors Authority (GPHA), French National Railway Corporation (SNCF), Autonomous Port of Abidjan (PAA), Metropolitan Transport Authority (ATM Àrea de Barcelona), Transport for London (TfL), Montreal Transit Corporation (STM) and the Capital Transportation Resource (RTC).

My budgeting and financial oversight responsibilities as a project manager included accounting documentation, financial statement presentation, and audit compliance. This past work also gave me a deep knowledge of the public contracting process, compliance procedures, funding lifecycles, and implementation timelines. Though the Independent Watchdog Committee is not involved in vendor selection, I believe my awareness of public contracting procedures will be a significant asset in understanding ACTC decisions and fulfilling the oversight duties of a committee member.

In addition to this experience, my interest in the operations and quality of service of Alameda County's transportation systems has led me to seek out additional exposure outside being a regular user. Beyond tracking new and existing initiatives such the BART Warm Spring Extension, the Telegraph Avenue Complete Streets Plan, and the various initiatives of the I-580 Corridor, I have assisted in BART staff training as a mock injury victim in an emergency evacuation exercise from the Transbay Tube, among other activities. I have also cultivated a clear sense of construction schedules, construction management best practice, and how new projects affect operations and maintenance of the responsible agency. This familiarity will be a clear benefit, allowing me to quickly dive into the materials as a committee member.

As a Member of the Board of Directors of the League of Women Voters of Oakland, I am deeply committed to transparency and citizen engagement in civic activity. The oversight responsibilities of this Independent Watchdog Committee are the important duties of an active citizen. Through my service on this Board, I have applied my existing skills in policy and budget analysis to monitoring our local institutions and officials for compliance and accountability. With the support of this network of experienced and committed civic watchdogs, I will continue to hone my oversight expertise to protect the public interest.

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

- League of Women Voters-Oakland, 436 14th Street, Suite 1213, Oakland, CA 94612-2723. Board Member (June 2016 – Present), Steering Committee Member (September 2016 –Present).
- Mike Thompson for Congress, 2721 Napa Valley Corporate Drive, Napa, CA 94558, Electoral Campaign Intern (May - October 2012).
- Children's Fairyland Oakland, 699 Bellevue Ave, Oakland, CA 94610. Fund Development Volunteer, for Gala and Annual Fund Campaign (June 2004, 2005, 2006), Co-Chair of Personalities Alumni Reunion Committee (Spring – Summer 2005).
- Friends of the Rockridge-Temescal Greenbelt (FROG), 4123 Broadway, PMB 311, Oakland, CA 94611. Committee Chair - construction phase (2000-2006).

- Wellesley College, 106 Central Street, Wellesley, MA, 02481, Operations and Concert Manager - Choir (May 2009 - May 2012)

**IV. Bio or Resume: Please include your current biography or resume**

See attachment.

**Madeleine S. T. S. Nelson**
[redacted]

Multi-lingual manager experienced in project planning and design, in technical and financial analysis, , in prospect and revenue development, and in monitoring and evaluation for both public and private sector clients in transportation, bio-energy and economic development. Practiced at collaborating with and reporting to external and internal audiences. Equally comfortable with analyzing metrics as with translating these figures into clear narratives.

EXPERIENCE:

**Agland Investment Services, Inc., Larkspur and Point Richmond, CA** March 2013 - Present

*Lead Consultant, Meta-Analysis, Linking Small and Medium-Sized Enterprises to Lead Firms in Agribusiness - The World Bank Group (December 2015 – October 2016)*
*Director of Business Development (April 2014 – October 2016)*
*Business Development Manager (March 2013 – March 2014)*

Develop final plans and analytical reports for client projects; track, design graphics for, and present on projects internally, with clients and the public; directly manage sub-contractors and staff to complete project tasks; direct the research, evaluation, development, writing, and preparation of proposals for international transportation, economic development, and bio-energy projects funded by private clients and public entities such as the U.S. Agency for International Development, International Finance Corporation, Millennium Challenge Corporation, and World Bank; create competitive budgets for financial proposals for both public and private sector clients; conduct fieldwork, data collection, and analysis; guide the selection of future bids that align with firm's skill set; develop and sustain partner relationships; monitor industry and funding trends to develop business strategies.

Project experience includes:

1. Logistics Enhancement for Perishables in Senegal, World Bank
2. Evaluation of Port Investment in Cape Verde & Benin, Millennium Challenge Corporation
3. Linking Small & Medium-Sized Enterprises to Lead Firms in Agribusiness, World Bank
4. Egypt Port Automation Technologies Trade Mission, U.S. Trade & Development Agency
5. Farm and Food Processing Development Program, Los Angeles Sheriff's Department

Specific tasks on these projects and others include: Leading analysis, research, entry, and cleaning of data for meta-analysis of the structure and results of supplier initiatives. Planning and directing sub-contractor contributions. Researching international trade, transportation costs, supply chains, market structure, and regulations. Identifying replicable models of public-private partnership and investment in various sectors within local policy constraints. Refining inputs into market strategies and opportunities. Drafting, developing and editing final reports/presentations, as well as translating some of these into professional French.

**The World Bank Group, Ghana; Cote d'Ivoire; Burkina Faso; Mali** March - May 2015

*Short-Term Technical Consultant for Transportation Corridor-Based Industrialization in West Africa:* As a member of a multi-disciplinary, multi-national team, conceived, developed, and executed field and remote analysis of two trans-national transportation corridors in West Africa to illustrate economic growth and spatial development opportunities in the production and intra-regional trade of processed agricultural products. Completed fieldwork in-country. Led or assisted in presentations to senior-level government and international officials in trade,

transportation, statistics, and agriculture. Produced report highlighting current systemic and specific obstacles to trade and transportation (road, rail, air, port) constraints. Recommended points of action to promote inter-regional trade through agro-industrialization along target transportation corridors. Detailed proposed World Bank program options.

**Electoral Campaign, Alameda County, CA** May - December 2012

*Strategy Consultant* for Amy Lemley for Oakland City Council: Planned field operations and strategies with senior staff. Managed new and ongoing partnerships with supporters including new relationship development, maintenance, and follow-up communication. Coordinated messaging with candidate and senior staff. Conducted outreach to community leaders.

**ARI Hareketi/ARI Movement** Summer 2011

*Project Manager*: Managed new and ongoing projects on subjects ranging from international security to youth and women in politics, including a conference for the 40th anniversary of Turkey joining NATO. Coordinated planning with European Union-based NGOs and Turkish politicians. Co-authored 2009 and 2010 Annual Reports. Edited all formal English-language documents issued during my tenure. Delegated projects to new interns.

**Summer Research Program in the Social Sciences, Wellesley, MA** Summer 2010

*Research Assistant/Student Researcher*: Employed Geographic Information System (GIS) to illustrate spatial development consequences of the Kenyan Free Primary School legislation. Constructed and analyzed multi-variate regressions. Acquired proficiency in the statistical software Stata 10. Authored presentation of preliminary results.

EDUCATION:

***Wellesley College, Wellesley, MA*:** Fall 2008 - Spring 2012

*B.A. Recipient cum laude*, Majors: Economics and Political Science.

***Institut d'Études Politiques de Paris (Sciences-Po), Menton, France:*** Spring 2011

FELLOWSHIP AND HONORS:

***Madeleine Korbel Albright Institute for Global Affairs, Wellesley, MA*** Fall 2010 - Fall 2011

*2011 Fellow*: Coordinated and executed presentation on Achieving Sustainable Development in the Context of Climate Change, one of the Millennium Project's Challenges for Humanity, presented conclusions to Secretary Albright integrating visiting lecturer presentations and research focused on urbanization and organizational efficiency.

***Natalie Bolton Faculty Prize in Econometrics, Economics Department, Wellesley*** May 2011

COMPUTER SKILLS, LANGUAGES, AND LEADERSHIP

***Computer Skills***: Proficient in Geographic Information System (GIS) and Arcview; Stata 11+; Microsoft Office Suite, various collaboration, tracking, and cloud-hosting platforms; as well as with Macintosh and PC computers, scanners, printers, copy and fax machines.

***Languages***: Bilingual in French and English, conversant in Spanish and Arabic.

***Leadership:*** Board and Steering Committee Member, League of Women Voters-Oakland, June 2016 – Present. Committee Chair (construction phase), Friends of the Rockridge-Temescal Greenbelt.

*References are available upon request.*

1. **Welcome and Call to Order**
   Independent Watchdog Committee (IWC) Chair Murphy McCalley called the meeting to order. A roll call was conducted and all members were present with the exception of Curtis Buckley, Brian Lester, Glenn Nate, Harriette Saunders and Hale Zukas.

   **Subsequent to the roll call:**
   Chris Buckley arrived before the vote of item 7.1.

2. **Public Comment**
   There were no public comments.

3. **IWC Photo for Annual Report**
   The IWC took a photo for the 2017 annual report during this item.

4. **Presentation of IWC Annual Report**
   Murphy McCalley presented the draft *IWC 15th Annual Report to the Public* for review.

   **4.1. Open Public Hearing and Receive Public Comment on the IWC Annual Report**
   Murphy McCalley opened the public hearing for review of the annual report. There were no public comments.

   **4.2. Close Public Hearing on IWC Annual Report**
   *Pat Piras made a motion to close the public hearing. Robert Tucknott seconded the motion. The motion passed with the following votes:*

   | | |
   |---|---|
   | *Yes:* | *Brown, Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Piras, Tucknott* |
   | *No:* | *None* |
   | *Abstain:* | *None* |
   | *Absent:* | *Buckley, Lester, Nate, Saunders, Zukas* |

5. **Approval of March 13, 2017 IWC Meeting Minutes**
   Pat Piras requested that staff's response to committee member's questions be documented in the minutes. Pat also requested an amendment to the minutes, citing the second paragraph on page 15 that states "… Tess clarified the areas of the 2014 TEP that refer to crossing guards." Pat noted that crossing guards are mentioned only in one area of the 2014 TEP under bicycle and pedestrian and to change "areas" to "area."

*Bob Tucknott made a motion to approve this item with the above correction. Pat Piras seconded the motion. The motion passed with the following votes:*

| | |
|---|---|
| *Yes:* | *Brown, Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Piras, Tucknott* |
| *No:* | *None* |
| *Abstain:* | *None* |
| *Absent:* | *Buckley, Lester, Nate, Saunders, Zukas* |

**6. Election of Officers for FY2017-18**

*Pat Piras made a motion to retain the current officers for the next year. Steve Jones seconded. Murphy McCalley accepted the nomination of Chair and Herb Hastings accepted the nomination of Vice Chair. The motion passed with the following votes:*

| | |
|---|---|
| *Yes:* | *Brown, Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Piras, Tucknott* |
| *No:* | *None* |
| *Abstain:* | *None* |
| *Absent:* | *Buckley, Lester, Nate, Saunders, Zukas* |

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

**7.1. Approval of the IWC Annual Report**

Murphy McCalley thanked the Subcommittee and staff for producing the Draft 15th IWC Annual Report.

Jo Ann Lew stated that she emailed her comments and it appears that most of them were included in the draft report. She asked why the last sentence in the blue box on the first page is necessary. Murphy responded that the sentence is a disclaimer to address potential missing information in the report.

*Pat Piras made a motion to approve this item. Cynthia Dorsey seconded the motion. The motion passed with the following votes:*

| | |
|---|---|
| *Yes:* | *Brown, Buckley, Dominguez, Dorsey, Hastings, Jones, McCalley, Piras, Tucknott* |
| *No:* | *Lew* |
| *Abstain:* | *None* |
| *Absent:* | *Lester, Nate, Saunders, Zukas* |

**7.2. Proposed Publication Costs and Distribution**

Patricia Reavey presented the publications costs and the report distribution for the IWC annual report. She noted that all costs are not final and the prices highlighted in yellow are prices from the prior year. Patricia informed the committee that the marketing firm that handles advertisements on AC Transit has changed and the cost listed is from the previous firm and may be subject to change. She noted that BART costs are the same as last year. The committee discussed the cost to generate business cards that may be used at outreach events and suggested that staff do additional research to find a business card vendor that is lower than the vendor listed in the report.

Keith Brown asked if there is a policy for getting the materials from union shops. Tess Lengyel responded that Alameda CTC uses unionized shops.

*Pat Piras made a motion to approve this item. Cynthia Dorsey seconded the motion. The motion passed with the following votes:*

| | |
|---|---|
| *Yes:* | *Brown, Buckley, Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Piras, Tucknott* |
| *No:* | *None* |
| *Abstain:* | *None* |
| *Absent:* | *Lester, Nate, Saunders, Zukas* |

**7.3. Draft IWC Annual Report Press Release**

The committee reviewed the draft IWC annual report press release and noted that the press release is modeled after last year's press release. The committee did not request any changes to the press release.

**8. Approval of Calendar/Work Plan for FY2017-18**

Murphy McCalley noted that the calendar/work plan should reflect the review of the bylaws at the November 2017 meeting. A request was made to change the July 8, 2019 date to July 8, 2018.

*Herb Hastings made a motion to approve this item with the above corrections. Pat Piras seconded the motion. The motion passed with the following votes:*

| | |
|---|---|
| *Yes:* | *Brown, Buckley, Dominguez, Dorsey, Hastings, Jones, Lew, McCalley, Piras, Tucknott* |
| *No:* | *None* |
| *Abstain:* | *None* |
| *Absent:* | *Lester, Nate, Saunders, Zukas* |

**9. Independent Auditor Work Plan**

Ahmad Gharaibeh with Vavrinek, Trine, Day & Co., LLP (VTD) explained his firm's 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, perform a small amount of compliance testing, and look at policies; 2) a final phase that will allow VTD to provide the final numbers within the trial balance and financial statements and perform the bulk of the compliance testing. Ahmad noted that the final audit will end in either September or October 2017.

Ahmad stated that part of the audit plan is to make sure that the expenditures and revenues are fairly stated. He said that from a compliance perspective, VTD reviews Measure B and Measure BB administration-related and construction-related expenses. The objective of the audit is to ensure that the expenses are in compliance with Measure B and Measure BB as well as with state and federal grant requirements and California Public Utilities Code (PUC) expenditure limits for the sales tax funds. Ahmad stated that

VTD changed its audit plan this year and placed an emphasis on Alameda CTC's billing functions specifically collecting revenues for capital projects and the procurement process. He noted that procurement is a significant item, and VTD will review control mechanisms, payments of expenditures, and staff's review.

Jo Ann Lew asked if VTD takes samples of various transactions. Ahmad stated that VTD gets a detailed description of the invoices and expenses charged to Measure B and Measure BB. The auditor selects a high number of items as representative samples of the entire general ledger population.

Jo Ann asked who selects the samples. Ahmad stated that Alameda CTC staff does not choose the samples. The auditor selects the samples based on a combination of randomness and judgement.

Jo Ann asked if the number of samples selected are statistically adequate. Ahmad responded that the samples adhere to the American Institute of Certified Public Accountants Code of Professional Conduct guidelines on sampling.

Jo Ann asked if VTD reviews the invoices online or the hard copies. Ahmad said that VTD reviews invoices online.

Jo Ann asked if the official documents are hard copies. Patricia Reavey responded that the official documents are hard copies. She noted that once the invoices are paid, they are scanned and stored on the server.

Murphy McCalley asked what dictates the sample size selected. Ahmad stated the sample size is impacted by the general ledger population.

Murphy asked if invoices are compared against Alameda CTC's administrative code and the PUC code. Ahmad said that from an administrative perspective the ballot language limits costs to a specific percentage of sales tax revenues for salaries and benefits and other administration-related expenses. He noted that the PUC has limitations on salaries and benefits costs.

Murphy asked if the PUC governs the procurement for construction projects. Ahmad said the PUC has the public contract code that governs some of the construction-related procurement, and the auditors will take a look at that. He stated that compliance with laws and regulations is extensive, and VTD will test the compliance with them.

Pat Piras asked if VTD's audit is of Alameda CTC itself and not of the recipients' compliance. Ahmad confirmed that the audit is of Alameda CTC. He stated that VTD does not look at the fund recipients' expenses and he noted that the recipients are audited by their independent auditor. Ahmad stated that if a fund recipient has an item that is significantly incorrect or if there is a problem with a sub-recipient, as the auditor, VTD is obligated to report the problem to the public via a letter of comment. Ahmad noted that the auditor will take a look at the fund recipients' timely submission of reports,

spending requirements, and timeline requirements and will ensure the audit reports do not note exceptions.

Pat Piras asked if the auditors will review whether or not a fund recipient's submittal is timely. Ahmad responded that the auditor will review whether or not the audit reports are submitted in a timely manner, and VTD will determine if any non-compliance has occurred.

Pat Piras referred to the Measure B and Measure BB Program Compliance Summary Reports and mentioned that IWC members asked questions, and fund recipients followed up and either addressed the questions or supplied a date as to when they will address the concern. Ahmad said as the auditor, VTD will report to the public exceptions that Alameda CTC is responsible for. If there are exceptions by others and something that can be remediated by the recipients, it will not go into the comment letter. The objective of the comments is to improve the procedures that Alameda CTC follows. If it has an impact on compliance with respect to the sales tax or exposes Alameda CTC to legal ramifications, VTD will provide a comment to the public.

Pat Piras stated that the decisions surrounding the administrative function of consultants is troubling and she requested that VTD review how the splits are done. Ahmad stated that VTD will take a closer look at these types of expenditures.

Curtis Buckley asked if the compliance requirements were updated for Measure B and Measure BB. Ahmad said the compliance requirements were not updated, since they are what the voters approved. He noted that VTD's objective is to ensure the expenses are in compliance with what the voters approved and Patricia Reavey stated that while staff can have the recipients report different things regarding compliance, compliance with Measure B and Measure BB does not change.

Pat Piras noted that Alameda CTC provided the IWC with a copy of Jason Bezis's comments on the Draft 15th IWC Annual Report to the Public and requested that it be recorded in the meetings minutes.

Robert Tucknott asked if VTD identified political contributions or political costs using Measure B and Measure BB funds. Ahmad stated that the audit did not find any expenditures for political contributions. Robert said that there is an allegation of spending $50,000 of Measure B and Measure BB funds to hire a political consultant, Clifford Moss, and he asked if the audit reflected that. Ahmad responded that based on the testing done, there is nothing to report on this item. He noted that he'll provide a report at the next meeting.

**10. IWC Member Reports/Issues Identification**

**10.1. Chair's Report**

Murphy McCalley did not have new items to report.

**10.2. 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 that they want to have come before the committee.

Pat Piras informed staff that she hasn't received any notification from BART on the BART to Livermore project progress. She also noted that their website is out of date and she said that it's reported that the Draft Environmental Impact Report for extensions and possible alternatives will be out by the end of July.

Herb Hastings stated his concerns regarding the BART to Livermore project funds and when will the extension be complete.

Patricia Reavey stated that staff will follow up on the BART to Livermore project status. The committee requested staff to provide a response to the IWC members that signed up to watch the project.

Tess Lengyel stated that so far, no funds have been requested for the BART to Livermore project extension. She stated that $400 million is allocated in the Measure BB expenditure plan however none of those funds have been used.

**11. Staff Reports**

**11.1 Measure B and Measure BB Program Compliance Report**

John Nguyen provided an update to this agenda item. He informed the committee that the Commission approved the Measure B and Measure BB Direct Local Distribution (DLD) Program Compliance Reports on June 22, 2017. John noted all DLD recipients were found to be in compliance with the voter-approved transportation expenditure plans and Alameda CTC's requirements.

Pat Piras asked if staff will make changes to the reporting forms. John noted that the reporting forms are currently capturing sufficient expenditure information to determine program compliance, however, the forms will be updated to include more focused questions on the planned use of DLD funds and an automated summation of administrative and capital expenditures.

Jo Ann Lew asked if the Commission requires recipients to maintain a specific Pavement Condition Index (PCI) score. John noted that recipients are required per the Commission approved implementation guidelines to state their current PCI score, and report on local efforts to increase their PCI if it is below a general target PCI of 60 (fair condition).

**11.2 FY2017-18 IWC Budget**

Patricia Reavey reviewed the IWC budget for FY2017-18 with the committee.

**11.3 Affordable Student Transit Pass Program Crossing Guards**

Tess Lengyel stated that Pat Piras submitted an IWC Issues Form and the document in the packet provides a response in writing to the issues.

Robert Tucknott asked who pays for crossing guards now. Tess Lengyel said that crossing guards are funded at each jurisdictions discretion and funding varies across the county.

**11.4 IWC Projects and Programs Watchlist Next Steps**

Patricia Reavey provided an update on the IWC Projects and Programs Watchlist Next Steps. She noted that Angie Ayers will prepare a letter on behalf of the chair and send it to each city/agency sponsor to request notification of all public meetings for Measure B and Measure BB-funded projects and programs to Alameda CTC staff and IWC members who have requested notification regarding these meetings.

**11.5 IWC Roster**

The committee roster was provided in the agenda packet for review purposes. Robert Tucknott requested a change to his appointing jurisdiction from Dublin to Pleasanton.

**12. Adjournment**

The meeting adjourned at 7:30 p.m. The next meeting is scheduled for November 13, 2017 at the Alameda CTC offices.

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

# INDEPENDENT WATCHDOG COMMITTEE
## July 10, 2017
## ROSTER OF MEETING ATTENDANCE

| Present | IWC Member | Appointed By |
|---|---|---|
| P | Brown, Keith | Alameda Labor Council AFL-CIO |
| P | Buckley, Curtis | Bike East Bay |
| P | Dominguez, Oscar | East Bay Economic Development Alliance |
| P | Dorsey, Cynthia | Alameda County Mayors' Conference, District 5 |
| P | Hastings, Herb, **Vice Chair** | Paratransit Advisory and Planning Committee |
| P | Jones, Steven | Alameda County Mayors' Conference, District 1 |
| A | Lester, Brian | Alameda County, District 1<br>Supervisor Scott Haggerty |
| P | Lew, Jo Ann | Alameda County Mayors' Conference, District 2 |
| P | McCalley, Murphy, **Chair** | Alameda County, District 4<br>Supervisor Nate Miley |
| A | Nate, Glenn | Alameda County, District 2<br>Supervisor Richard Valle |
| P | Piras, Pat (waive) | Sierra Club |
| | Saunders, Harriette | Alameda County Mayors' Conference, District 3 |
| P | Tucknott, Robert | Alameda County Mayors' Conference, District 4 |
| A | Zukas, Hale | Alameda County, District 5<br>Supervisor Keith Carson |

## STAFF

| Present | Staff/Consultants | Title |
|---|---|---|
| P | Tess Lengyel | Deputy Executive Director of Planning and Policy |
| P | Patricia Reavey | Deputy Executive Director of Finance |
| P | Ahmad Gharaibeh | Independent Auditor, VTD |
| P | Kris Kokotaylo | Legal Counsel, Meyers Nave |
| P | John Nguyen | Senior Transportation Planner |
| | Trinity Nguyen | Senior Transportation Engineer |
| P | Tamara Halbritter | Senior Project Manager, Consultant |
| P | Angie Ayers | Public Meeting Coordinator, Consultant |
| P | Andrea Gomez | |

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# Alameda County Transportation Commission
## Independent Watchdog Committee
## Roster - Fiscal Year 2017-2018

| | Title | Last | First | City | Appointed By | Term Began | Re-apptmt. | Term Expires |
|---|---|---|---|---|---|---|---|---|
| 1 | **Mr.** | **McCalley, Chair** | **Murphy** | **Castro Valley** | **Alameda County<br>Supervisor Nate Miley, D-4** | **Feb-15** | **Mar-17** | **Mar-19** |
| 2 | **Mr.** | **Hastings, Vice Chair** | **Herb** | **Dublin** | **Paratransit Advisory and Planning Committee** | **Jul-14** | | **N/A** |
| 3 | Mr. | Brown | Keith | Oakland | Alameda Labor Council (AFL-CIO) | Apr-17 | | **N/A** |
| 4 | Mr. | Buckley | Curtis | Berkeley | Bike East Bay | Oct-16 | | **N/A** |
| 5 | Mr. | Dominguez | Oscar | Oakland | East Bay Economic Development Alliance | Dec-15 | | **N/A** |
| 6 | Ms. | Dorsey | Cynthia | Oakland | Alameda County Mayors' Conference, D-5 | Jan-14 | Jan-16 | **Jan-18** |
| 7 | Mr. | Jones | Steven | Dublin | Alameda County Mayors' Conference, D-1 | Dec-12 | Jan-17 | **Jan-19** |
| 8 | Mr. | Lester | Brian | Pleasanton | Alameda County<br>Supervisor Scott Haggerty, D-1 | Sep-13 | Jan-16 | **Jan-18** |
| 9 | Ms. | Lew | Jo Ann | Union City | Alameda County Mayors' Conference, D-2 | Oct-07 | Dec-15 | **Dec-17** |
| 10 | Mr. | Naté | Glenn | Union City | Alameda County<br>Supervisor Richard Valle, D-2 | Jan-15 | Mar-17 | **Mar-19** |
| 11 | Ms. | Nelson | Madeleine | Oakland | League of Women Voters<br>Pending Commission Approval | Dec-17 | | **N/A** |
| 12 | Ms. | Piras | Pat | San Lorenzo | Sierra Club | Jan-15 | | **N/A** |
| 13 | Ms. | Saunders | Harriette | Alameda | Alameda County Mayors' Conference, D-3 | Jul-09 | Jul-16 | **Jul-18** |
| 14 | Mr. | Tucknott | Robert A. | Pleasanton | Alameda County Mayors' Conference, D-4 | Jun-14 | Jul-16 | **Jul-18** |
| 15 | Mr. | Zukas | Hale | Berkeley | Alameda County<br>Supervisor Keith Carson, D-5 | Jun-09 | Jun-16 | **Jun-18** |

# Alameda County Transportation Commission
## Independent Watchdog Committee
## Roster - Fiscal Year 2017-2018

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| 17 | | **Vacancy** | | | **Alameda County<br>Supervisor Wilma Chan, D-3** | | | |
| 17 | | **Vacancy** | | | **Alameda County Taxpayers Association** | | | |

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2017 |
| **RECOMMENDATION:** | Approve the Alameda CTC Draft Audited Comprehensive Annual Financial Report for the Year Ended June 30, 2017 |

**Summary**

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

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

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

*Financial Highlights:*

- The assets and deferred outflows of resources of Alameda CTC exceeded its liabilities and deferred inflows of resources at the end of fiscal year 2016-17 by $360.0 million (*net position*). Of this amount, $50.9 million represents unrestricted net position, which may be used to meet the government's ongoing obligations.

- Alameda CTC's total net position increased $76.8 million or 27.1 percent over the prior fiscal year-end primarily due to an increase in cash and investments related to sales tax

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

- As of June 30, 2017, the Alameda CTC governmental funds reported combined fund balances of $437.5 million, an increase of $46.9 million compared to June 30, 2016. Of the total combined fund balances, $48.7 million or 11.1 percent is available for spending at Alameda CTC's discretion (*unassigned fund balance*).

- Total assets and deferred outflows of resources of the Alameda CTC increased by $43.7 million from $534.7 million to $578.4 million as of June 30, 2017 compared to June 30, 2016 mainly related to an increased cash and investment balance due to sales tax collections and toll and toll violation revenue collections and capital asset additions on the I-580 Express Lanes. Cash and investments comprised $460.1 million or 79.5 percent of the total assets and deferred outflows of resources as of June 30, 2017.

- Revenues totaled $352.5 million for the fiscal year ended June 30, 2017. This was a decrease of $32.7 million or 8.5 percent from the fiscal year ended June 30, 2016 related to the recognition of capital assets on the I-580 Express Lanes which occurred in the prior fiscal year.

- Total liabilities and deferred inflows of resources decreased by $33.1 million or 13.2 percent from $251.6 million to $218.4 million as of June 30, 2017 compared to June 30, 2016. This decrease is mostly due to the payment of debt service on the outstanding 2000 Measure B 2014 Sales Tax Revenues Bonds.

- Expenses totaled $275.6 million for the fiscal year ended June 30, 2017. This was an increase of $30.2 million or 12.3 percent over the fiscal year ended June 30, 2016 mostly related to a ramp up of expenditures in the 2014 Measure BB Capital Projects Fund as projects funded by Measure BB got underway.

**Background**

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

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

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

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

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

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

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

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

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

**Attachment**

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

**Staff Contact**

Patricia Reavey, Deputy Executive Director of Finance and Administration

| | |
|---|---|
| **DATE:** | November 30, 2017 |
| **SUBJECT:** | November Legislative Update |
| **RECOMMENDATION:** | Receive an update on federal, state, regional, and local legislative activities and approve the 2018 Legislative Program. |

## Summary

This legislative update provides a brief look ahead to federal, state, regional, and local legislative activities in 2018. In addition, staff seeks Commission approval of Alameda CTC's 2018 Legislative Program, which will guide legislative actions and policy direction to positively impact transportation in Alameda County during the upcoming calendar year. The 2018 Legislative Program is described in Attachments A and B.

At the November 13, 2017 Planning, Policy and Legislation Committee (PPLC), several comments were made on the legislative program to include in a final recommended program to the Commission. The items recommended at PPLC are incorporated into Attachments A and B and are shown in redline in Attachment 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 2018 Alameda CTC Legislative Program is divided into six sections and retains many of the 2017 priorities:

1. Transportation Funding
2. Project Delivery and Operations
3. Multimodal Transportation, Land Use and Safety

4. Climate Change and Technology
5. Goods Movement
6. Partnerships

Legislative, policy, and funding partnerships throughout the Bay Area and California will be key to the success of the 2018 Legislative Program.

Attachment A provides an overview of each legislative category. Attachment B summarizes the proposed legislative program, including comments adopted by the PPLC at their November 13, 2017 meeting.

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

**Attachments**

A. Alameda CTC 2018 Legislation Program Overview
B. Alameda CTC 2018 Legislation Program Table

**Staff Contact**

Tess Lengyel, Deputy Executive Director of Planning and Policy

# 2018 Alameda CTC Legislative Program Overview

## Introduction

Each year, the Alameda County Transportation Commission (Alameda CTC) adopts a legislative program to provide direction for its legislative and policy activities for the year. The purpose of the 2018 Alameda CTC Legislative Program is to establish funding, regulatory, and administrative principles to guide Alameda CTC's legislative advocacy in the coming year. The program is developed to be broad and flexible, allowing Alameda CTC to pursue legislative and administrative opportunities that may arise during the year, and to respond to the changing political processes in the region, as well as in Sacramento and Washington, D.C.

The legislative program supports Alameda CTC in its required role as manager of the county's voter-mandated transportation expenditure plans, as the county's congestion management agency and as the operator of express lanes. Alameda CTC relies on its legislative program to advance transportation programs and projects that will maintain and improve Alameda County's multimodal transportation system. Some of the main factors that will influence the 2018 Alameda CTC Legislative Program include:

- 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;
- Advocacy for funding of Alameda CTC projects and programs to leverage local funds;
- Identification of funding for expansion of Alameda CTC programs including the Affordable Student Transit Pass Program and the Safe Routes to Schools Program;
- Goods movement planning and advocacy, as well as policy development as a result of multimodal arterial planning, a countywide passenger and freight rail strategy, and countywide transit planning efforts;
- Implementation of state legislation, including Senate Bill 1 and Senate Bill 743 that will affect Alameda County's goods movement, project and program delivery, and transportation and land use activities to support the region's Sustainable Communities Strategy;
- Opposition to a repeal of transportation revenue streams enacted through SB 1;
- Implementation of Senate Bill 595 which allows placement of a regional measure before Bay Area voters, Regional Measure 3, that could result in new funding for congestion-relief projects that improve mobility in the bridge corridors;
- Monitoring implementation of California's Cap and Trade Program for transportation funding that will help address climate change to ensure ongoing eligibility for these programs for Alameda County jurisdictions and transit operators; 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 2018 Legislative Program is divided into six sections:

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

The following legislative areas are related to federal, state, regional, and local policy and legislative efforts as applicable.

### 1. Transportation Funding

California represents one of the largest economies in the U.S. Its diverse industries range from agriculture to mining to biotechnology to new transportation technologies—all of which serve as a source of the state's economic strength. Each of these industries relies on a backbone of transportation to move people, goods, and services.

Prior to 2015, transportation funding at the federal and state level was limited. The federal gas tax had not been raised, and even though fuel prices fluctuate significantly in California, the state gas tax had remained flat with no index to inflation since the early 1990's. Meanwhile, the costs to deliver transportation projects and programs, operate transit, and perform system maintenance continued to rise. In 2015, the FAST Act provided a much-needed federal source of funding for highway, transit, and rail surface transportation projects.

In 2016, cities, counties, and transit operators went to the ballot seeking voter approval for transportation infrastructure that was not being funded at the state or federal level. Six transportation-related measures on the ballot sponsored by Self-Help Counties throughout the state passed. In addition, six local measures sponsored by AC Transit, BART, and the cities of Alameda, Albany, Berkeley, and Oakland passed. The measures that passed provide considerable funding for transportation improvements in the Bay Area region and throughout the state. However, several other counties were not able to achieve the 2/3 voter hurdle to pass transportation measures. Alameda CTC has long supported reducing the threshold for passing transportation measures.

In 2017, the outlook for transportation funding from the state improved considerably with the passage of Senate Bill 1, which provides an average of $5.4 billion per year for state and local transportation projects, and Senate Bill 595, which could bring additional funding to the region if approved by voters as Regional Measure 3.

***FAST Act:*** In December 2015, President Obama signed Fixing America's Surface Transportation (FAST) Act, into law. The new law authorized $305 billion in surface transportation funding through FY 2020. This came after a number of short-term extensions of the nation's surface transportation program. The FAST Act funds federal highway, highway safety, transit, and rail programs for five years. However, more funding is needed to meet state, regional, and local demands for transportation improvements.

***Senate Bill 1:*** Alameda CTC took a support position on The Road Repair and Accountability Act of 2017, SB 1, which doubles the amount of funding to cities and counties for road maintenance and repair and provides several discretionary funding opportunities. Passage of this bill brings new opportunities to receive significant transportation funding for improvements in Alameda County. Alameda CTC plans to submit applications and seek funding from these SB 1 programs: Solutions for Congested Corridors Program that supports multimodal projects on congested highways and major arterials; the Local Partnership Program that helps finance priority projects in counties and cities with voter-approved transportation taxes and fees; the Trade Corridor Enhancement Program that funds freight projects nominated by local agencies and the state; and the Active Transportation Program for bicycle and pedestrian projects and programs, including Alameda CTC's Affordable Student Transit Pass Program and Safe Routes to Schools Program expansion.

***Senate Bill 595:*** SB 595 (Beall), allows a ballot measure to increase bridge tolls to fund congestion-relief projects and improve mobility in the bridge corridors through Regional Measure 3 (RM3). Alameda CTC was engaged in development of SB 595 and took support positions on the bill during its development. The agency also worked with state legislators and the Metropolitan Transportation Commission to ensure that transportation projects needed in Alameda County are eligible relative to bridge - related congestion and tolls generated by Alameda County toll payers. Alameda CTC will continue to support RM3 funding for Alameda County projects since it is a potential funding source to leverage Measure BB sales tax dollars.

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

**Increase transportation funding**

- Oppose efforts to repeal transportation revenues streams enacted through SB 1.
- Support efforts that protect against transportation funding diversions.
- Support efforts to lower the two-thirds voter threshold for voter-approved transportation measures.
- Support the implementation of more stable and equitable long-term funding sources for transportation.
- Seek, acquire, accept and implement grants to advance project and program delivery.

**Protect and enhance voter-approved funding**

- Support legislation and increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring, and improving transportation infrastructure and operations.
- Support increases in federal, state, and regional funding to expedite delivery of Alameda CTC projects and programs, including funding to expand the Affordable Student Transit Pass program.
- Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures.
- Support efforts that streamline financing and delivery of transportation projects and programs.
- Support rewarding Self-Help Counties and states that provide significant transportation funding into transportation systems.

## 2. Project Delivery and Operations

Delivery of transportation infrastructure expeditiously is critical for ensuring cost-effective mobility of people and goods, while protecting local communities and the environment, and creating jobs. However, delivery of projects is often bogged down by long time frames for project delivery processes, including environmental clearance and mitigation, design, right of way, and project 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 implementation.
- Support efforts to allow local agencies to advertise, award, and administer state highway system contracts largely funded by local agencies.

**Ensure cost-effective project delivery**

- Support efforts that reduce project and program implementation costs.
- Support accelerating funding and policies to implement transportation projects that create jobs and economic growth.

**Protect the efficiency of managed lanes**

- 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, including improved enforcement. Partner with regional efforts by MTC to

explore legislation for HOV lane enforcement and additional state funding for dedicated HOV-lane enforcement by either the California Highway Patrol or local law enforcement.
- Oppose legislation and efforts that degrade HOV lanes that could lead to congestion and decreased efficiency.

### 3. Multimodal Transportation, Land Use and Safety

Transportation in the Bay Area must serve multiple needs. It must efficiently deliver food and goods, and move people from one place to another. Multimodal options offer the traveling public choices, manage traffic demand, reduce greenhouse gas emissions, and improve the transportation system efficiency. To that end, Alameda CTC updated its Countywide Transportation Plan in 2016 and developed three multimodal plans in 2016—Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan. In 2017, the agency began project development on two multimodal corridors in the Countywide Multimodal Arterial Plan: San Pablo Avenue (SR-123) Multimodal Corridor and East 14th Street/Mission and Fremont Boulevard Multimodal Corridor. Effective implementation of multimodal transportation systems relies on how local coordination and development supports these types of investments and projects.

Linking land use and transportation decisions can result in economic growth and can expand safety, mobility and reduce emissions for residents and businesses.

Alameda CTC supports efforts that encourage, fund, and provide incentives and/or reduce barriers to integrating transportation, housing, and job development in areas that foster effective transportation use. In addition, since transportation systems 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 and safe 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 regarding land-uses for transit oriented development (TOD) and priority development areas (PDAs).
- Support legislation that removes barriers to local development in TOD and PDAs.
- Support innovative financing opportunities to fund TOD and PDA implementation.

#### Expand multimodal systems, shared mobility and safety

- 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 do not create unfunded mandates.
- Support policies that enable shared mobility innovations while protecting the public interest, including allowing shared data (such as data from transportation network companies and app based carpooling companies) that could be used for transportation and land use planning and operational purposes.
- Support investments in active transportation for all users, including investments that improve safety and support Vision Zero strategies.
- Support investments in transportation for transit-dependent communities that provide enhanced access to goods, services, jobs, and education.
- Support parity in pre-tax fringe benefits for public transit, carpooling, and vanpooling and other modes with parking.
- Support legislation to modernize the Congestion Management Program, supporting the linkage between transportation, housing, and multi-modal performance monitoring.

## 4. Climate Change and Technology

The enactment of Assembly Bill 32 and SB 375 to reduce the state's greenhouse gas (GHG) emissions link transportation and housing and create a funding stream to pay for projects and programs that reduce GHG emissions (the state's Cap and Trade Program) and affect transportation planning, funding, and delivery in Alameda County and throughout the state.

### *Cap-and-Trade Program Implementation*

The Cap and Trade Program is a market based approach to address statewide limits on greenhouse gas (GHG) emissions and generates funds through quarterly auctions for carbon credits. The revenue is directed to projects and programs intended to further reduce GHG emissions. Over the past few years, auction returns have been significantly lower than expected, resulting in lower appropriation amounts than expected. In 2017 both court and legislative actions reinforced the cap and trade program and it is expected that future auctions will see increased revenues.

Alameda CTC has participated in commenting on the development of cap and trade guidelines and will continue to work with the state and region on the implementation of the Cap and Trade Program, continuing to advocate for significant funding in the Bay Area.

Alameda CTC also supports investments from new revenue streams for transportation, while supporting legislative options to create and increase separate funding streams for housing. Alameda CTC supports climate change legislation as follows:

**Support climate change legislation and technologies to reduce GHG emissions**

- Support funding for 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.
- Support and engage in legislation and policies to facilitate deployment of connected and autonomous vehicles in Alameda County.
- Support the expansion of electric vehicle charging stations.
- Support efforts that ensure Alameda County jurisdictions are eligible for state funding related to the definition of disadvantaged communities used in state screening tools.

### 5. Goods Movement

Alameda County serves as a gateway to the world for goods movement to and from the county, the 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. In 2017, Alameda CTC initiated a Rail Strategy Study to establish an overarching freight and passenger rail approach for the county that supports freight and passenger rail efficiencies and reduces impacts on local communities.

In October 2017, the Global Opportunities at the Port of Oakland Project, known as GoPort, was the recipient of a nearly $10 million Advanced Transportation and Congestion Management Technologies Deployment Grant. The Federal Highway Administration fully funded the request of Alameda CTC to support the integration of Freight Community System and advanced ITS technology.

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

Alameda CTC supports implementation of the California Freight Mobility Plan, allocation of funds for freight projects in Alameda County through the SB 1 Trade Corridors

Enhancement Program, and prioritization of Bay Area transportation goods movement projects in regional, state and federal goods movement planning and funding processes.

Alameda CTC supports the following legislative priorities related to goods movement.

**Expand goods movement funding and policy development**

- Support a multimodal goods movement system and efforts that enhance the economy, local communities, and the environment.
- Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy.
- Support legislation and efforts that improve the efficiency and connectivity of the goods movement system, including passenger rail connectivity.
- Ensure that Alameda County goods movement needs are included in and prioritized in regional, state and federal goods movement planning and funding processes.
- Support rewarding Self-Help Counties that directly fund goods movement infrastructure and programs.
- Leverage local funds to the maximum extent possible to implement goods movement investments in Alameda County through grants and partnerships.

### 6. Partnerships

In the coming year, Alameda CTC seeks to expand and strengthen its partnerships at the local, regional, state, and federal levels to collaborate on policies, funding, legislation, and project and program delivery opportunities.

***Regional Partnerships:*** On a regional level, Alameda CTC is facilitating coordination with a number of agencies to leverage funding and efficiently partner on transportation projects and programs. Alameda CTC is also participating in partnerships with the Bay Area CMAs 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 the California State Transportation Agency. Alameda CTC views these efforts as essential to having more impact at the policy and planning levels, and unifying efforts to help ensure common policies and practices can translate into more effective transportation project and program advocacy and implementation.

**Local Partnership Program:** Alameda CTC supports the SB 1 Local Partnership Program, because it helps finance priority projects in counties and cities with voter-approved transportation taxes and fees. It also leverages local dollars and provides an incentive for counties without a local tax program to establish one. Alameda CTC participated in guidelines development in 2017 and will continue to support partnerships that advance project and program delivery.

***Federal Partnerships:*** On a federal level, Alameda CTC advocates for a long-term transportation funding program that is sustainable, reliable, and supports both capital investments and operations.

***Other Partnering Opportunities:*** Alameda CTC will continue to partner on the implementation of its Countywide Transportation Plan and three multimodal plans—Countywide Goods Movement Plan, Countywide Multimodal Arterial Plan, and Countywide Transit Plan—and the multimodal corridor projects and policies that arise from the plans to provide more transportation choices and improve efficiencies throughout the county. Alameda CTC will continue its many multi-county transportation efforts, such as transit planning, express lane implementation, implementation of the first-ever affordable student transit pass program, Transportation Demand Management 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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# 2018 Alameda County Transportation Commission Legislative Program

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

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

*"Alameda County will be served by a premier transportation system that supports a vibrant and livable Alameda County through a connected and integrated multimodal transportation system promoting sustainability, access, transit operations, public health and economic opportunities. Our vision recognizes the need to maintain and operate our existing transportation infrastructure and services while developing new investments that are targeted, effective, financially sound and supported by appropriate land uses. Mobility in Alameda County will be guided by transparent decision-making and measureable performance indicators. Our transportation system will be: Multimodal; Accessible, Affordable and Equitable for people of all ages, incomes, abilities and geographies; Integrated with land use patterns and local decision-making; Connected across the county, within and across the network of streets, highways and transit, bicycle and pedestrian routes; Reliable and Efficient; Cost Effective; Well Maintained; Safe; Supportive of a Healthy and Clean Environment."*

| Issue | Priority | Strategy Concepts |
|---|---|---|
| **Transportation Funding** | Increase transportation funding | • Oppose efforts to repeal transportation revenues streams enacted through SB 1.<br>• Support efforts that protect against transportation funding diversions.<br>• Support efforts to lower the two-thirds voter threshold for voter-approved transportation measures.<br>• Support the implementation of more stable and equitable long-term funding sources for transportation.<br>• Seek, acquire, accept and implement grants to advance project and program delivery. |
| | Protect and enhance voter-approved funding | • Support legislation and increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring, and improving transportation infrastructure and operations.<br>• Support increases in federal, state, and regional funding to expedite delivery of Alameda CTC projects and programs, including funding to expand the Affordable Student Transit Pass program.<br>• Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures.<br>• Support efforts that streamline financing and delivery of transportation projects and programs.<br>• Support rewarding Self-Help Counties and states that provide significant transportation funding into transportation systems. |
| **Project Delivery and Operations** | Advance innovative project delivery | • Support environmental streamlining and expedited project delivery.<br>• Support contracting flexibility and innovative project delivery methods.<br>• Support high-occupancy vehicle (HOV)/toll lane expansion in Alameda County and the Bay Area, and efforts that promote effective implementation.<br>• 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.<br>• Support accelerating funding and policies to implement transportation projects that create jobs and economic growth. |
| | Protect the efficiency of managed lanes | • Support utilizing excess capacity in HOV lanes through managed lanes as a way to improve corridor efficiencies and expand traveler choices.<br>• Support ongoing HOV/managed lane policies to maintain corridor-specific lane efficiency, including improved enforcement. Partner with regional efforts by MTC to explore legislation for HOV lane enforcement and additional state funding for dedicated HOV-lane enforcement by either the California Highway Patrol or local law enforcement.<br>• Oppose legislation that degrades HOV lanes that could lead to congestion and decreased efficiency. |
| | Reduce barriers to the implementation of transportation and land use investments | • Support legislation that increases flexibility and reduces technical and funding barriers to investments linking transportation, housing, and jobs. |

| Issue | Priority | Strategy Concepts |
|---|---|---|
| **Multimodal Transportation~~, and~~ Land Use and Safety** | | • Support local flexibility and decision-making ~~on~~ regarding land-uses for transit oriented development (TOD) and priority development areas (PDAs).<br>• Support legislation that removes barriers to local development in TOD and PDAs.<br>• Support innovative financing opportunities to fund TOD and PDA implementation. |
| | Expand multimodal systems, shared mobility and ~~flexibility~~safety | • 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 do not create unfunded mandates.<br>• Support policies that enable shared mobility innovations while protecting the public interest, including allowing shared data (such as data from transportation network companies and app based carpooling companies) that could be used for transportation and land use planning and operational purposes.<br>• Support investments in active transportation for all users, including investments that improve safety and support Vision Zero strategies.<br>• Support investments in transportation for transit-dependent communities that provide enhanced access to goods, services, jobs, and education.<br>• Support parity in pre-tax fringe benefits for public transit, carpooling, and vanpooling and other modes with parking.<br>• Support legislation to modernize the Congestion Management Program, supporting the linkage between transportation, housing, and multi-modal performance monitoring |
| **Climate Change and Technology** | Support climate change legislation and technologies to reduce greenhouse gas (GHG) emissions | • Support funding for innovative infrastructure, operations, and programs that relieve congestion, improve air quality, reduce emissions, and support economic development.<br>• Support cap-and-trade funds to implement the Bay Area's Sustainable Communities Strategy.<br>• Support rewarding Self-Help Counties with cap-and-trade funds for projects and programs that are partially locally funded and reduce GHG emissions.<br>• Support emerging technologies such as alternative fuels and fueling technology to reduce GHG emissions.<br>• Support and engage in legislation and policies to facilitate deployment of connected and autonomous vehicles in Alameda County.<br>• Support the expansion of electric vehicle charging stations.<br>• Support efforts that ensure Alameda County jurisdictions are eligible for state funding related to the definition of disadvantaged communities used in state screening tools. |
| **Goods Movement** | Expand goods movement funding and policy development | • Support a multimodal goods movement system and efforts that enhance the economy, local communities, and the environment.<br>• Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy.<br>• Support legislation and efforts that improve the efficiency and connectivity of the goods movement system, including passenger rail connectivity.<br>• Ensure that Alameda County goods movement needs are included in and prioritized in regional, state and federal goods movement planning and funding processes.<br>• Support rewarding Self-Help Counties that directly fund goods movement infrastructure and programs.<br>• Leverage local funds to the maximum extent possible to implement goods movement investments in Alameda County through grants and partnerships. |

| Issue | Priority | Strategy Concepts |
|---|---|---|
| **Partnerships** | 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.<br>• Support policy development to advance transportation planning, policy, and funding at the county, regional, state, and federal levels.<br>• Partner with community agencies and other partners to increase transportation funding for Alameda CTC's multiple projects and programs and to support local jobs.<br>• Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for contracts. |

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