



I-680 Sunol Express Lane Joint Powers Authority Meeting Agenda Monday, November 9, 2020, 9:00 a.m.

Due to the statewide stay at home order and the Alameda County Shelter in Place Order, and pursuant to the Executive Order issued by Governor Gavin Newsom (Executive Order N-29-20), the Commission will not be convening at its Commission Room but will instead move to a remote meeting.

Members of the public wishing to submit a public comment may do so by emailing the Clerk of the Commission at vlee@alamedactc.org by 5:00 p.m. the day before the scheduled meeting. Submitted comments will be read aloud to the Commission and those listening telephonically or electronically; if the comments are more than three minutes in length the comments will be summarized. Members of the public may also make comments during the meeting by using Zoom's "Raise Hand" feature on their phone, tablet or other device during the relevant agenda item, and waiting to be recognized by the Chair. If calling into the meeting from a telephone, you can use "Star (*) 9" to raise/ lower your hand. Comments will generally be limited to three minutes in length.

Authority Chair: Lily Mei, City of Fremont
Vice Chair: David Haubert, City of Dublin
Members: Scott Haggerty, Jerry Thorne,
Glenn Hendricks (Santa Clara Valley
Transportation Authority)

Executive Director: Tess Lengyel
Staff Liaison: [Gary Huisinigh](#)
Clerk of the Authority: [Vanessa Lee](#)

Location Information:

Virtual Meeting Information: <https://zoom.us/j/94445189042?pwd=QUtuV2ptR0dUV3BBYlhjNjcreGVPdz09>
Webinar ID: 944 4518 9042
Password: 378131

For Public Access Dial-in Information: (669) 900-6833
Webinar ID: 944 4518 9042
Password: 378131

To request accommodation or assistance to participate in this meeting, please contact Vanessa Lee, the Clerk of the Authority, at least 48 hours prior to the meeting date at: vlee@alamedactc.org

1. Call to Order

2. Roll Call

3. Public Comment

4. Consent Calendar Page/Action

- | | | |
|---|----|---|
| 4.1. Approve the September 14, 2020 I-680 Sunol Smart Carpool Lane Joint Powers Authority (JPA) Meeting Minutes | 1 | A |
| 4.2. Approve I-680 Sunol Smart Carpool Lane FY2020-21 First Quarter Financial Report | 3 | A |
| 4.3. I-680 Southbound Express Lane from SR 237 to SR 84 Operations Update | 7 | I |
| 4.4. I-680 Sunol Express Lanes from SR 262 to SR 84 Construction Status Update | 21 | I |

5. Regular Matters

- | | | |
|--|----|---|
| 5.1. Approve Amendment No. 5 to Cooperative Agreement with the Bay Area Toll Authority for Regional Customer Service Center Services for the I-680 Sunol Express Lanes | 27 | A |
| 5.2. Approve the Sunol Smart Carpool Lane Joint Powers Authority Draft Audited Annual Financial Report for the Year Ended June 30, 2020 | 33 | A |

6. Committee Member Reports

7. Staff Reports

8. Adjournment

Next Meeting: TBD

Notes:

- All items on the agenda are subject to action and/or change by the Authority.
- To comment on an item not on the agenda, submit an email to the clerk or use the Raise Hand feature or if you are calling by telephone press *9 prior to or during the Public Comment section of the agenda. Generally public comments will be limited to 3 minutes.
- Call 510.208.7450 (Voice) or 1.800.855.7100 (TTY) five days in advance to request a sign-language interpreter.
- If information is needed in another language, contact 510.208.7400.
- Call 510.208.7400 48 hours in advance to request accommodation or assistance at this meeting.
- Meeting agendas and staff reports are available on the [website calendar](#).



Alameda CTC Schedule of Upcoming Meetings November through December 2020

Commission Chair

Mayor Pauline Russo Cutter
City of San Leandro

Commission Vice Chair

Councilmember John Bauters
City of Emeryville

AC Transit

Board Vice President Elsa Ortiz

Alameda County

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

BART

Director Rebecca Saltzman

City of Alameda

Mayor Marilyn Ezzy Ashcraft

City of Albany

Mayor Nick Pilch

City of Berkeley

Mayor Jesse Arreguin

City of Dublin

Mayor David Haubert

City of Fremont

Mayor Lily Mei

City of Hayward

Mayor Barbara Halliday

City of Livermore

Mayor John Marchand

City of Newark

Councilmember Luis Freitas

City of Oakland

Councilmember At-Large
Rebecca Kaplan
Councilmember Sheng Thao

City of Piedmont

Mayor Robert McBain

City of Pleasanton

Mayor Jerry Thorne

City of Union City

Mayor Carol Dutra-Vernaci

Executive Director

Tess Lengyel

Commission and Committee Meetings

Time	Description	Date
2:00 p.m.	Alameda CTC Commission Meeting	November 19, 2020 December 3, 2020

Advisory Committee Meetings

5:30 p.m.	Bicycle and Pedestrian Advisory Committee (BPAC)	November 18, 2020
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Due to the statewide stay at home order and the Alameda County Shelter in Place Order, and pursuant to the Executive Order issued by Governor Gavin Newsom (Executive Order N-29-20), the Commission will not be convening at its Commission Room but will instead move to a remote meeting.

Meeting materials, directions and parking information are all available on the [Alameda CTC website](http://www.AlamedaCTC.org). Meetings subject to change.

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I-680 Sunol Smart Carpool Lane Joint Powers Authority Meeting Minutes Monday, September 14, 2020, 9:00 a.m.

4.1

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

1. Call to Order

2. Roll Call

A roll call was conducted. All members were present with the exception of Commissioner Mei.

3. Public Comment

There were no public comments.

4. Consent Calendar

4.1. Approve the July 13, 2020 I-680 Sunol Smart Carpool Lane Joint Powers Authority (JPA) Meeting Minutes

4.2. I-680 Southbound Express Lane from SR 237 to SR 84 Operations Update

4.3. I-680 Sunol Express Lanes from SR 262 to SR 84 Construction Status Update

Commissioner Haubert moved to approve the Consent Calendar. Commissioner Thorne seconded the motion. The motion passed with the following roll call votes:

Yes: Haggerty, Haubert, Hendricks, Thorne

No: None

Abstain: None

Absent: Mei

5. Public Hearing of I-680 Sunol Express Lanes Toll Enforcement Ordinance

5.1. Open Public Hearing

Commissioner Haubert opened the public hearing.

5.2. Presentation of the I-680 Express Lanes Toll Enforcement Ordinance

Liz Rutman recommended that the Authority waive the reading and introduce an ordinance for the administration of tolls and enforcement of toll violations for the I-680 Sunol Express Lanes via incorporation of Article 4, Chapter 1, Division 17 of the Vehicle Code. Ms. Rutman stated that the ordinance was introduced at the I-680 Sunol Express Lane Joint Powers Authority Meeting on July 14, 2020. She stated that to communicate to the public, a certified copy of the Toll Ordinance was posted at both Alameda CTC and Santa Clara Valley Transit Authority offices. In advance of this meeting, a public hearing notice was published twice in a newspaper of general circulation in both Alameda and Santa Clara Counties. The public hearing notice was also published in Chinese and Spanish on two occasions in a Chinese-language and two Spanish-language publications. Ms. Rutman stated that the purpose of the Toll Ordinance is to establish civil penalties for the evasion of those tolls or noncompliance with other policies set forth the Ordinance. This ordinance is an important aspect of the I-680 Sunol Express Lanes operations. Failure to adopt a toll ordinance will prevent the Sunol JPA from being able to enforce the I-680

Express Lanes adopted policy requirement that all motorists have a valid FasTrak account while using the I-680 Express Lanes, resulting in a loss of toll revenues.

5.3. Public Comment

There were no public comments.

5.4. Close Public Hearing

Commissioner Haubert closed the public hearing.

5.5. Waive Reading Beyond the Title and Adopt the I-680 Sunol Express Lanes Toll Enforcement Ordinance

Commissioner Haggerty moved to approve the item. Commissioner Hendricks seconded the motion. The motion passed with the following roll votes:

Yes:	<i>Haggerty, Haubert, Hendricks, Thorne</i>
No:	<i>None</i>
Abstain:	<i>None</i>
Absent:	<i>Mei</i>

6. Committee Member Report

There were no committee reports.

7. Staff Reports

Tess Lengyel notified the Authority that a ribbon cutting ceremony will be held on October 29, 2020 for the Northbound I-680 Express lane.

8. Adjournment/ Next Meeting

The next meeting is:

Date/Time: Monday, November 9, 2020 at 9:00 a.m.



Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 2, 2020

TO: I-680 Sunol Express Lane Joint Powers Authority

FROM: Patricia Reavey, Deputy Executive Director of Finance and Administration
Yoana Navarro, Accounting Manager

SUBJECT: Approve I-680 Sunol Smart Carpool Lane FY2020-21 First Quarter Financial Report

Recommendation

It is recommended that the Commission approve the I-680 Sunol Smart Carpool Lane FY2020-21 First Quarter Financial Report.

Summary

This financial report summarizes revenues and expenses related to the I-680 Sunol Smart Carpool Lane for the fiscal year through September 30, 2020. Net toll and other revenues were \$95,844 or 42.8 percent less than projected revenues through the first quarter of FY2020-21. Operating expenses through the first quarter totaled \$267,275 or 50.9 percent less than budget. Variances in both revenues and expenses together resulted in a decrease to net position of \$171,431. As of September 30, 2020, the I-680 Sunol Smart Carpool Lane had cash and investments totaling \$6.11 million.

The significant variances in both revenues and expenses in the first quarter of FY2020-21 are due to the COVID-19 pandemic having a more significant effect on revenues than projected in the budget during the first quarter and the timing of the projected shut-down of revenue operations related to construction work on the express lanes. The suspension of revenues operations for construction work occurred on August 10, whereas in the budget the shut-down was assumed to occur at the end of October. Construction on the I-680 express lanes is expected to continue to have a significant effect on revenues and expenses for the I-680 Express Lane throughout the fiscal year. Staff will review revenues and expenses as well as updated projections for the timing of express lanes construction work and update the budget at mid-year as appropriate.

In accounting for the unusual projections for revenues and expenses in the budget for FY2020-21, assumptions were made as to the timing of construction work and the resulting suspension of revenue operations on the express lane in order to attempt to compare actual revenues and expenses to a budget that would make more sense for each quarter. Therefore, the budget for toll revenues and some expenses including operations and maintenance, revenue collection fees, and enforcement were not budgeted on an annual straight-line basis. Instead, these items were budgeted at a specific amount for each month, and the sum of those specific amounts for July through September were used in the attached financial statements to compare budget to actual revenues and expenses.

Background

The FY2020-21 operating budget approved by the I-680 Sunol Smart Carpool Lane Board in May 2020 includes \$2.17 million of revenues which is offset by \$3.77 million of expenses, including depreciation, resulting in a decrease of \$1.60 million to the projected net position for the fiscal year. The projected net position in the budget at the end of FY2020-21 is \$5,338,268 comprised of \$1,210,637 invested in capital assets, \$2,500,000 reserved for maintenance, and \$1,627,631 reserved for operational risk. There was no capital budget proposed for FY2020-21.

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

Attachment:

- A. I-680 Sunol Smart Carpool Lane Statement of Operating Revenues and Expenses
As of September 30, 2020

I-680 SUNOL SMART CARPOOL LANE
Statement of Operating Revenues and Expenses
As of September 30, 2020

	<u>YTD Actuals</u>	<u>YTD Budget</u>	<u>% Used</u>	<u>Favorable / (Unfavorable) Variance</u>
Beginning Net Position, June 30, 2020	\$ 6,826,638			
<u>OPERATING REVENUES</u>				
Toll Revenue	85,213	150,000 ¹	56.8%	(64,787)
Interest Income	10,631	17,500	60.7%	(6,869)
Total Operating Revenues:	<u>95,844</u>	<u>167,500</u>	<u>57.2%</u>	<u>(71,656)</u>
<u>OPERATING EXPENSES</u>				
Operations and Maintenance	69,297	69,300 ¹	100.0%	3
Revenue Collection Fees	22,260	75,000 ¹	29.7%	52,740
Alameda CTC Operations and Management	79,974	99,963	80.0%	19,988
System Manager/Operations Support	3,850	25,000	15.4%	21,150
Enforcement	18,055	75,000 ¹	24.1%	56,945
Express Lane Operations Monitoring Technicians	9,451	30,000	31.5%	20,549
Utilities	8,008	12,500	64.1%	4,492
Alameda CTC Administration	24,045	21,000	114.5%	(3,045)
IT Support	-	17,888	0.0%	17,888
Insurance	24,781	21,250	116.6%	(3,531)
Public Outreach/Education	-	6,250	0.0%	6,250
Legal Fees	2,685	12,500	21.5%	9,815
Roadway Maintenance	(2,652)	10,000	-26.5%	12,652
Miscellaneous	7,521	6,250	120.3%	(1,271)
Contingency	-	62,500	0.0%	62,500
Total Operating Expenses:	<u>267,275</u>	<u>544,400</u>	<u>49.1%</u>	<u>277,125</u>
Operating Surplus (Deficit)	<u>(171,431)</u>	<u>(376,900)</u>		
<u>Net Position</u>				
Invested in Capital Assets	729,477			
Maintenance Reserve	2,500,000			
Operational Risk Reserve	1,627,631			
Unrestricted Net position	<u>1,798,099</u>			
Total Net Position as of September 30, 2020	<u>\$ 6,655,207</u>			

Note 1: Due to planned construction work, the budget for toll revenues and some expenses including operations and maintenance, revenue collection and enforcement were not budgeted on an annual straight-line basis. Instead, these items were budgeted at a specific amount for each month. The sum of those specific amounts for July through September were used in the attached financial statements to compare budget to actual and expenses.

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Memorandum

4.3

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DATE: November 2, 2020

TO: I-680 Sunol Express Lane Joint Powers Authority

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

SUBJECT: I-680 Sunol Southbound Express Lane from SR 237 to SR 84
Operations Update

Recommendation

This item is to provide an update on the operation of the I-680 Sunol Southbound Express Lane for the first quarter of fiscal year 2020-2021. This item is for information only.

Summary

The purpose of this item is to provide the I-680 Sunol Smart Carpool Lane Joint Powers Authority ("Sunol JPA") with a Quarterly Operations Update of the existing I-680 Southbound Express Lane facility for the first quarter of fiscal year 2020-2021 (July through September 2020). See Attachment A for details. Beginning August 10, 2020, the I-680 Sunol Southbound Express Lane began operating in HOV ONLY mode during operating hours. This was a necessary step in the transition to the new toll system, allowing for completion of the civil construction work. The new northbound express lane opened for use, also in HOV ONLY mode, on October 29, 2020. Tolling will resume in the southbound lane, concurrent with the start of tolling on the new northbound lane, in spring 2021.

Background

The I-680 Sunol Southbound Express Lane spans approximately 14 miles from SR 84 near Pleasanton to SR 237 in the City of Milpitas. From its opening in September 2010 through cessation of revenue operations on August 7, 2020, motorists using the express lane benefitted from travel reliability as the express lane optimized the corridor capacity by providing a choice to drivers: single occupancy vehicles (SOVs) had the option to pay a toll and travel within the express lane, while carpool, eligible clean-air vehicles, motorcycles, and transit vehicles enjoyed the benefits of toll-free travel in the express lane. The Alameda CTC, acting as the managing agency for the Sunol JPA, has been operating the express lane facility since it opened to traffic in September 2010. California Highway Patrol (CHP) officers provide enforcement services, and the California

Department of Transportation (Caltrans) provides roadway maintenance services through reimbursable service agreements.

Beginning August 10, 2020, the I-680 Sunol Southbound Express Lane began operating on HOV ONLY mode, restricting usage of the express lane to carpools and qualified clean air vehicles during operating hours. This was a necessary step in the transition to the new toll system, allowing for removal of the original toll system infrastructure and completion of the civil construction work. The new northbound express lane from Grimmer Road to SR-84 opened to traffic, also in HOV ONLY mode, on October 29, 2020. During operational hours (Monday – Friday, 5 am – 8 pm), both the southbound express lane and new northbound express lane signage displays “HOV Only” messages, while “Open to All” is displayed at all other times. Tolling will resume in the southbound lane, concurrent with the start of tolling on the new northbound lane, in spring 2021. The express lane traffic performance highlights below reflect data through August 7, 2020.

FY 2020-2021 Q1 Operations Update:

Performance of the I-680 Sunol SB Express Lane for the first quarter (Q1) of fiscal year 2020-2021 are highlighted below. See Attachment A for more details.

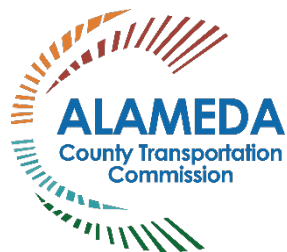
- Motorists made over 34,000 express lane toll trips during operational hours in Q1. Daily express lane toll trips averaged 1,300.
- Peak period (6 am - 9 am) express lane speeds averaged 80 miles per hour throughout the corridor. Although general purpose lane speeds are not currently measured, visual observation via closed circuit television cameras suggested that the express lane continually provided higher speeds and better Level of Service (LOS) than the general purpose lanes, particularly during peak commute hours.
- The average assessed toll for all trips was \$2.34. The maximum posted toll was \$7.50.
- CHP performed 136 hours of enforcement services and made 136 enforcement contacts during Q1. This enhanced CHP enforcement of the express lane was suspended when tolling operations ceased in August, though officers still enforce HOV requirements during regular patrols.
- The estimated gross revenue generated from the I-680 Sunol express lane in Fiscal Year 2020-21 through September is \$85,000. The forecasted operating budget is \$918,000, though the majority of expenditures are related to new operations and will not be incurred until next spring.

After the Shelter In Place (SIP) orders were issued in March, traffic volumes in the express lane decreased by approximately 80 percent. Express lane usage in July and August, reflect a decrease of 62% in traffic and 71% decrease in average daily assessed toll revenue compared to July-August 2019.

Fiscal Impact: There is no fiscal impact. This is an information item only.

Attachment:

- A. I-680 Sunol Express Lane Operations Update



ALAMEDA COUNTY TRANSPORTATION COMMISSION

I-680 Sunol Express Lane (SR-237 to SR-84)

Quarterly Operations Update



I-680 Sunol Smart Carpool Lane Joint Powers Authority (Sunol JPA)
Attachment A

I-680 Sunol Southbound Express Lane Overview

Rules of the Road

- Hours are Monday through Friday, 5 a.m. – 8 p.m.
- Through August 7, 2020:
 - Carpools (2+), eligible clean air vehicles, motorcycles, and transit buses travelled toll-free
 - Solo motorists in the express lane needed to have FasTrak®
- Beginning August 10, 2020: Operating as “HOV Only”
 - Carpools (2+), eligible clean air vehicles, motorcycles, and transit buses ONLY
- Tolling resumes when I-680 Sunol Express Lanes (NB and SB) open in 2021

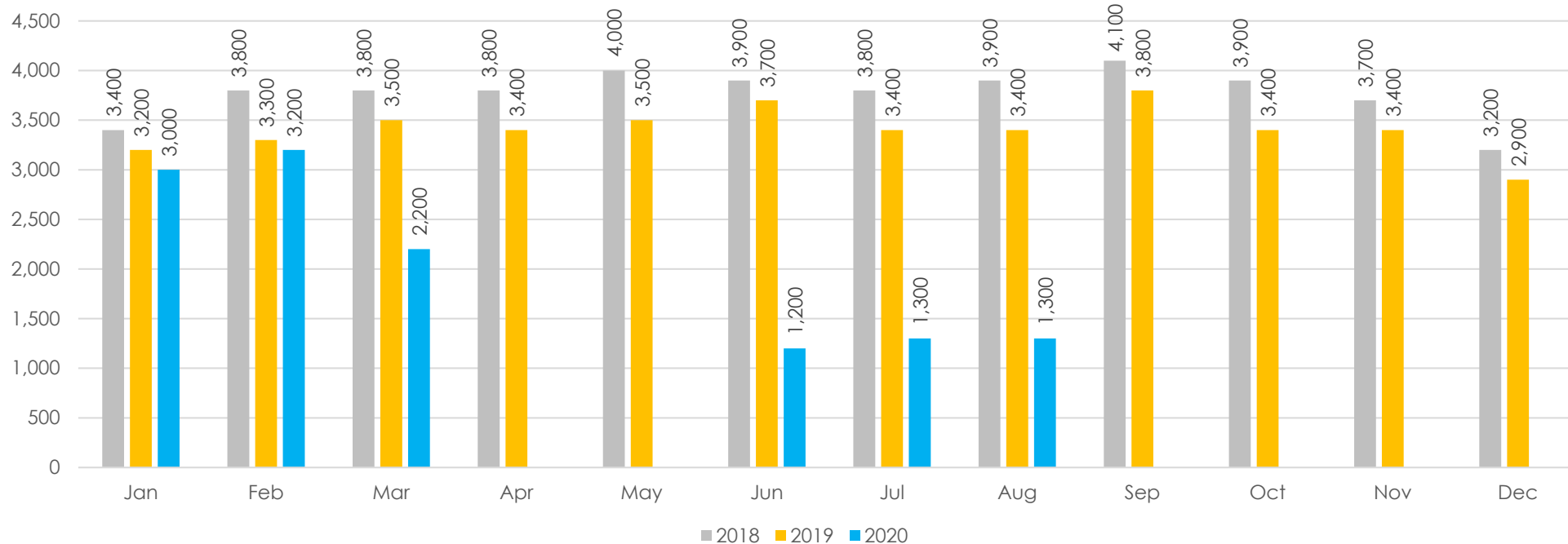


FY 20/21 Q1 Performance Highlights

(through August 7, 2020)

- Motorists made over 34,000 express lane toll trips during operational hours in Q1. Daily express lane toll trips averaged 1,300.
- Peak period (6 AM - 9 AM) express lane speeds averaged 80 miles per hour throughout the corridor. Although general purpose lane speeds are not currently measured, visual observation via closed circuit television cameras suggested that the express lane continually provided higher speeds and better Level of Service (LOS) than the general purpose lanes, particularly during peak commute hours.
- The average assessed toll for all trips was \$2.34. The maximum posted toll was \$7.50.
- CHP performed 136 hours of enforcement services and made 136 enforcement contacts during Q1. This enhanced CHP enforcement of the express lane was suspended when tolling operations ceased in August, though officers still enforce HOV requirements during regular patrols.
- The estimated gross revenue generated from the I-680 Sunol express lane in Fiscal Year 2020-21 through September is \$85,000. The forecasted operating budget is \$918,000, though the majority of expenditures are related to new operations and will not be incurred until next spring.

I-680 Sunol EL Average Daily Toll Trips



Q1 of FY 2020-2021

34,000
Toll Trips

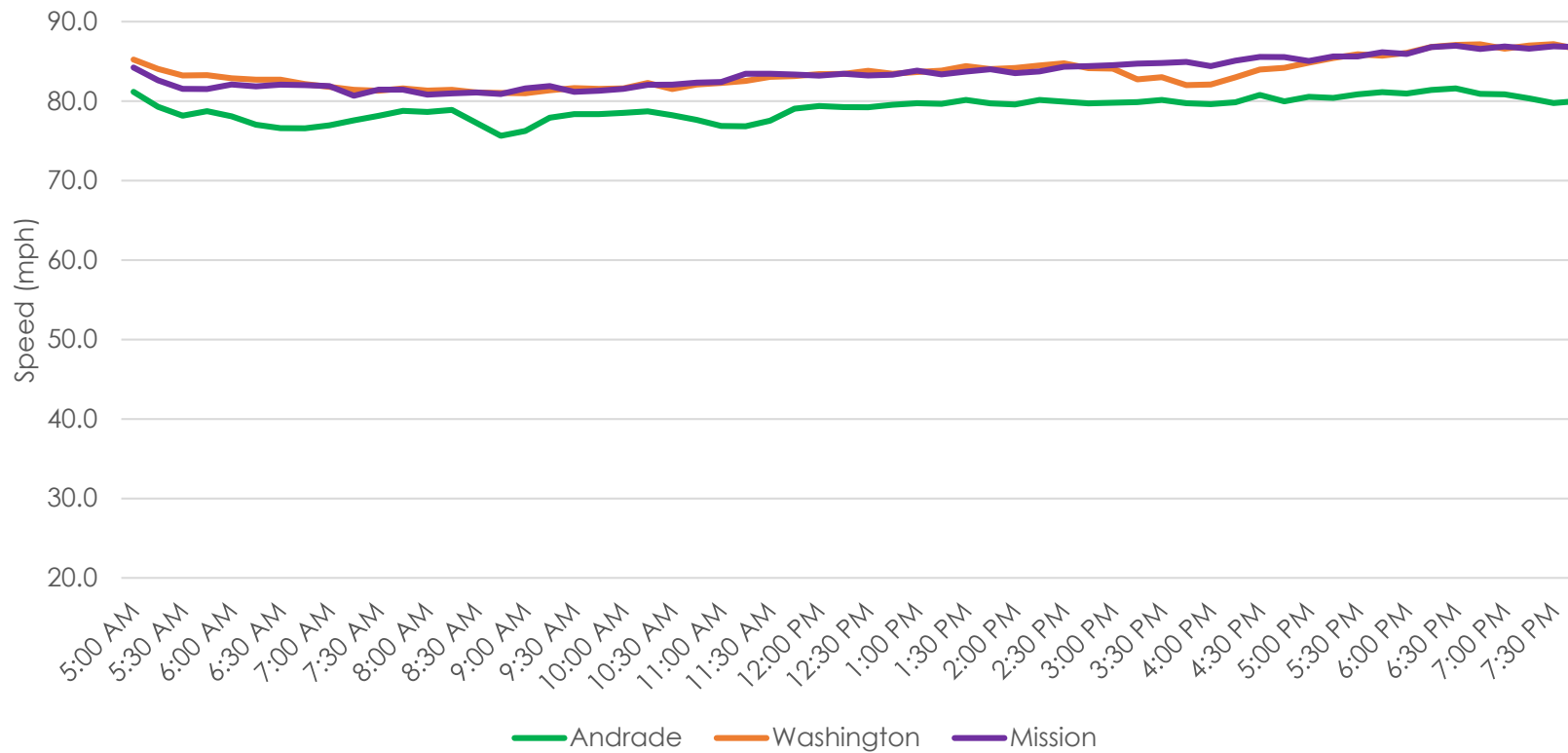
Daily Trip comparison to
Q1 of FY 2019-2020

-64%

Over 7.3 million toll trips have been taken since the I-680 Sunol Southbound Express Lane opened in September 2010. There were a total of 34,000 toll trips in Q1 of FY 2020-2021, which is a 64 percent decrease in daily toll trips compared to Q1 of the prior FY, reflecting the reduced express lane demand by toll-paying users due to a decrease in overall traffic volume on I-680.

I-680 Sunol Corridor Average Speed Graph

Monday- Friday, July-August 7, 2020

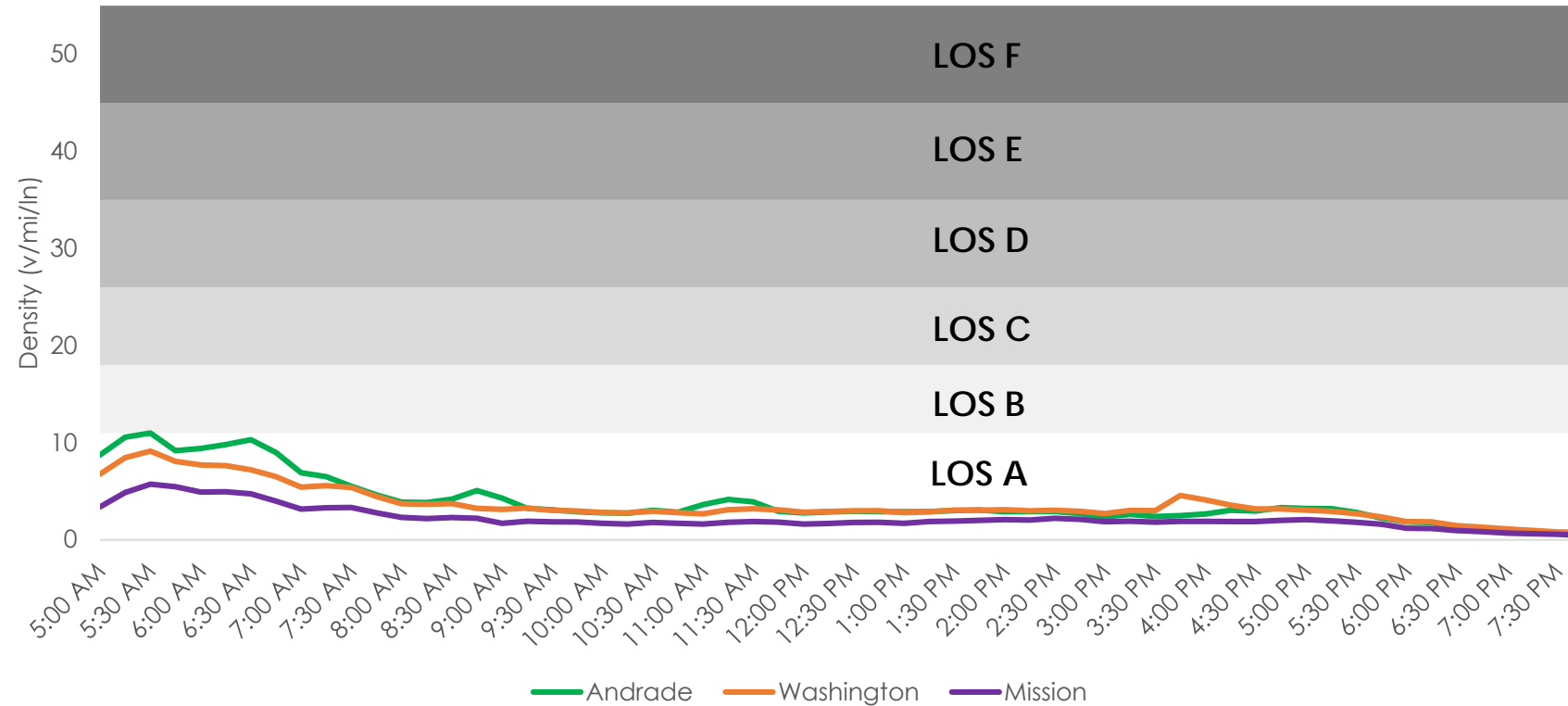


When tolling resumed in June, traffic levels were still low and continued to be low through August 7. Average speeds in the express lane were well above 65 mph throughout the day.



I-680 Sunol Corridor Average LOS Graph

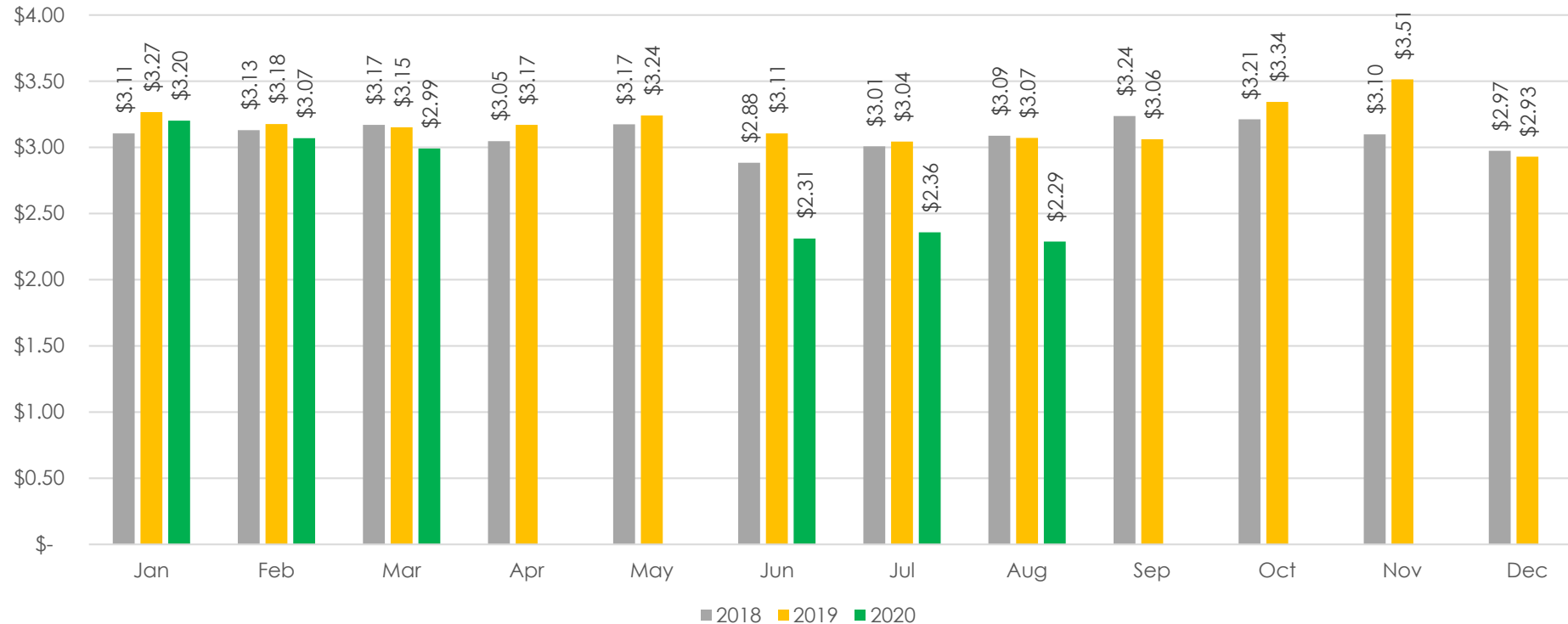
Monday- Friday, July-August 7, 2020



Prior to the pandemic, the express lane generally performed at LOS C or better, with LOS D near Washington Blvd during the morning peak period. Through August 7th, average express lane LOS at all locations was LOS A at all times.



I-680 Sunol Average Assessed Tolls



Average tolls paid are lower during the pandemic. While the maximum toll posted during peak times was reduced from \$9.50 to \$7.50, only 1.38% of toll payers from July-August chose to pay \$7.50. The remaining users paid a lesser toll, and the average assessed toll for all toll-paying users was \$2.34.

FY2020-21 Q1:

Maximum Posted Toll Rate:

\$7.50

Percent paying \$7.50:

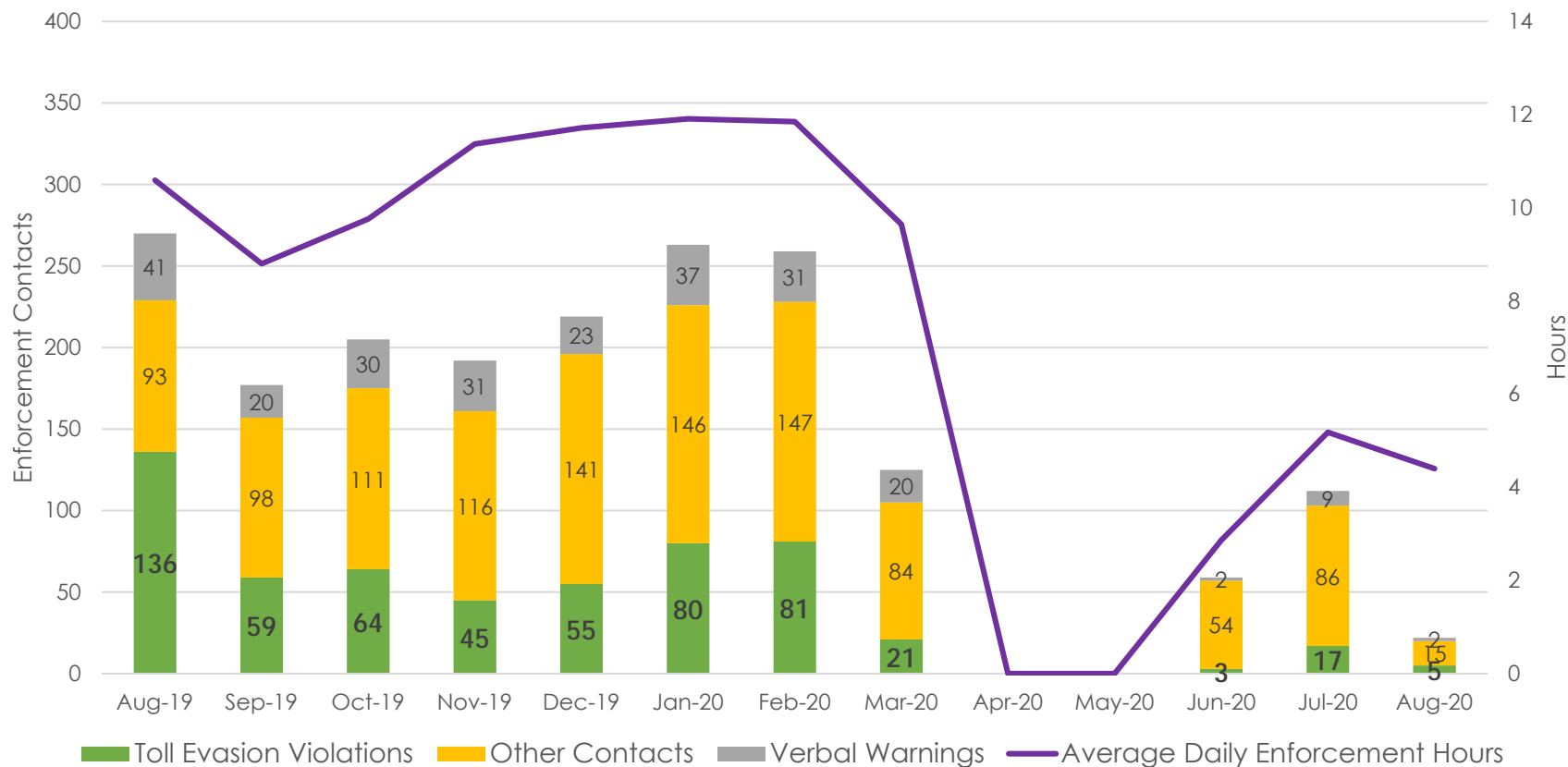
1.38%

Average Assessed Toll:

\$2.34

I-680 Sunol CHP Enforcement

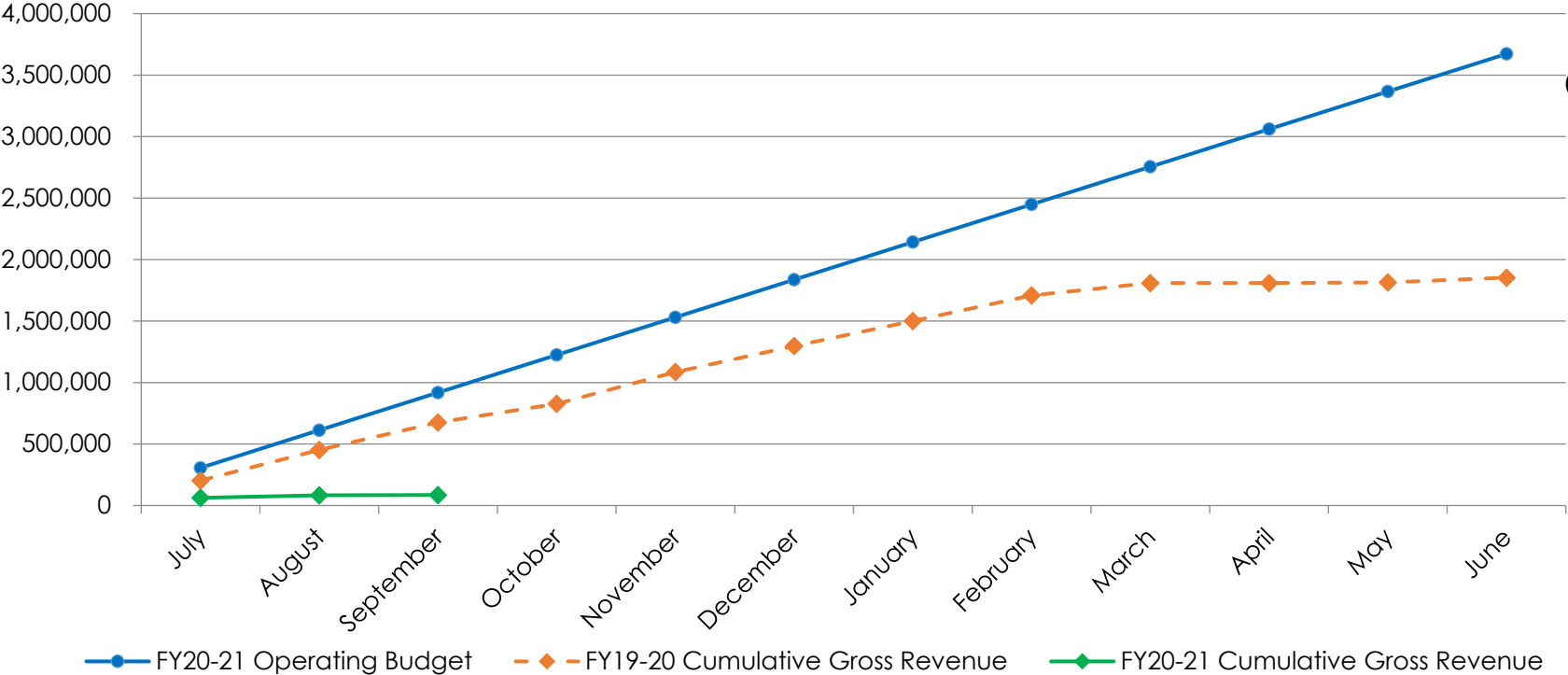
August 2019 – August 2020



**Average cost for a
CHP contact in 2020:
\$113**

The California Highway Patrol provides enforcement of the I-680 Sunol Southbound Express Lane during revenue operations. CHP recorded over 800 enforcement contacts in 2020 thus far, 24 percent of which resulted in toll evasion violations.

I-680 Sunol EL Revenue: Estimated Gross vs. Forecasted



Cumulative Revenue in FY2020-21
(July 2020 – September 2020)

Estimated Gross Revenue

\$85,000

Forecast Operating Budget

\$918,000

The estimated gross revenue generated from the I-680 Sunol express lane in Fiscal Year 2020-21 is \$85,000 through September 2020, and the forecasted operating budget is \$918,000. Low revenues reflect decreased express lane usage during the pandemic and cessation of tolling beginning August 10.

COVID-19 Impacts – Before and After

	Pre COVID-19 (July 2019)	July 2020	% Difference
Avg Daily Toll-Paying Trips	3,400	1,300	-62%
Avg Daily Assessed Revenue	\$10,200	\$3,000	-71%
Average Assessed Toll	\$3.04	\$2.36	-22%
Maximum Toll	\$9.50	\$7.50	-21%
EL Average Peak Period Speed	67 mph	80 mph	+19%
EL Average Daily Total Traffic Volume (per toll site)	9,900	3,800	-61%

For more information, visit
www.AlamedaCTC.org/expresslanes



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Memorandum

4.4

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 2, 2020

TO: I-680 Sunol Express Lane Joint Powers Authority

FROM: Trinity Nguyen, Director of Project Delivery
Liz Rutman, Director of Express Lanes Implementation and Operations

SUBJECT: I-680 Sunol Express Lanes from SR 262 to SR 84 Construction Status Update

Recommendation

This item is an update on the status of I-680 Sunol Express Lanes – Phase 1 construction project. This item is for information only.

Summary

The Interstate 680 (I-680) Sunol Express Lanes (EL) Project will provide enhanced mobility for motorists in both the northbound and southbound directions as a combination of two projects: the I-680 Express Lanes (EL) project and the I-680 Southbound Conversion Project. The I-680 Sunol EL project will widen I-680 from SR 237 in Santa Clara County to SR 84 in Alameda County to construct a 14-mile long northbound High Occupancy Vehicle (HOV)/Express Lane in the corridor. The project is being implemented in a phased approach focused on providing immediate operational benefits based on funding availability. The I-680 Sunol Express Lane - Phase 1 project (Phase 1), constructs an initial 9-mile HOV/Express Lane segment on northbound I-680 between south of Auto Mall Parkway and SR 84. The I-680 Southbound Access Conversion project will convert the existing southbound controlled access tolling configuration to an open access configuration to provide consistency with the new northbound express lane. This conversion has been incorporated into the northbound Phase 1 project.

The purpose of this item is to provide the Commission with a status update on the project development and implementation activities which are either completed or planned for the Phase 1 project.

Background

The I-680 Sunol Express Lanes project will widen northbound I-680 from SR 237 in Santa Clara County to SR 84 in Alameda County to construct a 14-mile long northbound

HOV/Express Lane in the corridor. The project will provide a number of benefits including: 1) enhanced mobility by reducing traffic congestion; 2) reduced travel time and improved travel reliability; and 3) reduced congestion related accidents, thereby enhancing safety. The Express Lane facility will maximize available HOV lane capacity by offering solo drivers the choice to pay an electronic toll to access the lane, while carpools with two or more persons, motorcycles, and transit vehicles may use the lane at no cost and eligible clean air vehicles may receive a 50% toll discount. The Phase 1 project will provide an initial 9-mile segment of new HOV/Express Lane from south of Auto Mall Parkway to SR 84 to eliminate the bottlenecks and alleviate much of the daily traffic congestion.

The I-680 Southbound Express Lane was opened to traffic in September 2010 as a controlled access facility. To be consistent with the new northbound express lane and provide enhanced accessibility for users, the southbound direction will be converted to an open access configuration in conjunction with the Phase 1 project.

The Project Approval and Environmental Document (PA&ED) for the overall project was completed in July 2015. In December 2015, WMH Corporation was selected to prepare the civil design and will continue to provide design support during construction. In June 2016, Kapsch TrafficCom Transportation NA, Inc. was selected to provide Toll System Integration Services. In November 2017, Bay Cities Paving & Grading Inc. was awarded the civil construction contract.

Alameda CTC, in partnership with Caltrans, is the implementing agency for preliminary engineering, environmental studies, design, right-of-way acquisition, and utility relocation. For the construction phase, Alameda CTC is the project sponsor and Caltrans is the implementing agency to administer the construction of the Phase 1 project. Attachment A, I-680 Sunol Express Lanes Progress Update, provides the current implementation schedule and delivery milestones.

The approved PA&ED documents included studies and analysis for construction of both the full project limits (SR 237 to SR 84) and an initial segment (south of Auto Mall Parkway to SR 84). The initial segment (Phase 1 project) is focused on providing immediate operational benefits within currently available funding. During development of the Phase 1 project, staff identified and implemented several geometric refinements to reduce costs and minimize environmental impacts.

In the interest of expediting important improvements for the public, Alameda CTC and Caltrans agreed to incorporate a pavement rehabilitation project into the Phase 1 project.

Civil construction began on March 5, 2018 after the approval of the required initial submittals. To date, the contractor has achieved 89% progress on various bid items at various locations. The following is a detailed discussion of work in progress and/or upcoming major tasks.

Recently Completed Project activities (October 2020):

- Southbound (SB) paving and striping complete.
- Northbound (NB) paving and striping complete.

Upcoming Project Activities:

- Visible work activities for the three months ahead will include:
 - Continue construction of PG&E connections
 - Continue installing electronic toll system
 - Finalize installation of precast concrete panels on NB 680
 - Finalize installation of median lighting
- Continue coordination between CM team and Toll System Integrator for construction staging/sequencing (on-going).
- Continue to coordinate with PG&E, AT&T and Telco regarding power and communication service connection needs (on-going).

Schedule: Closeout

A necessary step in the transition to the new toll system is the removal of the original southbound toll system infrastructure and completion of the civil construction work. With Caltrans concurrence, beginning August 10, 2020, the I-680 Sunol Southbound Express Lane ceased revenue operations and began operating in HOV ONLY mode.

Final paving and striping was completed in the NB direction and a Virtual Ribbon Cutting event was held on October 29, 2020 to mark the official opening of the new NB express lane.

Activation of the combined tolling system is anticipated to occur in Spring 2021. Until then, the express lanes are available for carpools with two (2) or more persons, vanpools, motorcycles, and transit vehicles during peak hours and open to all during non-peak hours.

Fiscal Impact: There is no fiscal impact. This is an information item only.

Attachment:

- A. I-680 Sunol Express Lanes Progress Update

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Sunol Express Lanes from SR 262 to SR 84

Progress Update: October 2020



* HOV Only Operations



Memorandum

5.1

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

DATE: November 2, 2020

TO: I-680 Sunol Express Lane Joint Powers Authority

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

SUBJECT: Approve Amendment No. 5 to Cooperative Agreement with the Bay Area Toll Authority for Regional Customer Service Center Services for the I-680 Sunol Express Lanes

Recommendation

It is recommended that the Sunol JPA approve and authorize the Executive Director to execute Amendment No. 5 to Cooperative Agreement I680-BATA-JPA with the Bay Area Toll Authority for Regional Customer Service Center Services for the I-680 Express Lanes.

Summary

The Sunol JPA entered into a cooperative agreement with the Bay Area Toll Authority (BATA) for toll collection and customer services necessary to operate the I-680 Sunol Southbound Express Lane in 2010. The Agreement was subsequently amended four times to adjust reimbursable costs, extend the term of the Agreement, and add protections for Personally Identifiable Information. The I-680 Sunol Express Lanes (Phase 1) Project constructed a new parallel northbound express lane and modified the existing southbound express lane. Collectively, the new I-680 Sunol Express Lanes includes enhanced violation enforcement equipment. An amendment to the cooperative agreement is necessary to add reimbursable costs for revenue collection associated with the implementation of the new I-680 Sunol Express Lanes toll system.

Because BATA provides Customer Service Center (CSC) services for all of the Bay Area Express Lanes, staff has negotiated these terms with BATA in coordination with the other Bay Area express lane operating agencies. This ensures equitability and consistency of sharing of joint costs and cost adjustments are automatically applied as additional express lane facilities begin operations. A summary of the amendment items is included in Table A.

Costs associated with the software development ramp-up support are considered project costs associated with the I-680 Sunol Express Lanes project, for which Alameda CTC is the sponsor, and these costs are within the Alameda CTC programmed budget for this project.

All other costs requested in this amendment are operational costs and were anticipated and included in the Sunol JPA's FY 2020 – 2021 annual budget.

Background

The Sunol JPA owns the I-680 Sunol Express Lanes toll system. Tolls for solo drivers will be collected through an All Electronic Toll (AET) collection method by the use of FasTrak® transponders and license plates. Prior to the opening the original southbound express lane to traffic in September 2010, the Sunol JPA entered into a cooperative agreement with the Bay Area Toll Authority (BATA) for toll collection and customer services necessary to operate the I-680 Sunol Southbound Express Lane as an AET facility. Such an agreement is mandated by the legislation authorizing the Sunol JPA to operate the express lanes, and BATA is the only agency in the Bay Area that is set up to distribute FasTrak® / FasTrak flex® transponders (a.k.a. toll tags), maintain accounts, collect tolls, and provide related customer services for the Bay Area. BATA, therefore, provides these back-office services for all of the Bay Area toll facilities. The original Agreement was amended four times to adjust reimbursable costs, extend the term of the Agreement, and add protections for Personally Identifiable Information.

At this time, an amendment is requested to add terms necessary for the implementation and operations of the new I-680 Sunol Express Lanes toll system that is expected to begin revenue service in spring 2021. In addition, BATA has requested that the terms of certain ongoing fees be amended. The following lists the changes associated with the requested amendment. A summary of the agreement fees associated with project implementation is included in Table A; fees associated with on-going revenue collections are shown in Table B.

I-680 Express Lanes Start-Up Costs

Toll collection relies on electronic transfer of files between the I-680 Express Lanes toll system and the BATA CSC system implemented by BATA's consultant. Before any new express lane toll system can begin operations, BATA must issue a change order to their consultant to design, develop, and test software modifications necessary to incorporate the new express lane, including testing the electronic transfer of files. In addition, BATA's consultant must develop and test the toll violation notices associated with the new express lanes.

I-680 Express Lanes Ramp-up Support

The new express lanes will require increasing the CSC staff, if even temporarily, to accommodate the additional requests for FasTrak registration and other information. Based on prior experience with the opening of other regional express lanes, BATA's consultant anticipates such staffing increases are needed for the two months prior and one month after the express lanes begin revenue service. Along with the ramp-up staffing, additional office equipment (phones, computers) are needed. CSC staff will also require training about the new express lane. Although the policies and business rules are consistent with other Bay Area express lanes, training is still needed to ensure accurate information is conveyed to the traveling public. Table A includes costs associated with ramp-up staffing and training efforts.

Transaction Processing Costs

The I-680 Sunol Southbound Express Lane toll system creates a trip record, or transaction, each time a vehicle uses the express lane. The current Cooperative Agreement includes fixed cost per transaction for each transponder-based transaction processed by the CSC. With the new toll system and the adopted toll ordinance, the agreement must be amended to include license plate image-based transaction processing and violation notice processing. In all cases, the fix cost per transaction is incurred only for the first handling of the transaction and does not apply to subsequent handling of the transaction necessary for full transaction processing.

Annual Review of On-going Revenue Collection Costs

Per the terms of the existing agreement, transaction processing costs shall be reviewed on an annual basis, or upon any changes to the CSC contract pricing under BATA's contract with the CSC Contractor and revised, as agreed by BATA and JPA, to reflect changes in actual CSC processing costs. Those terms are now recommended to apply also to these other on-going support costs: Clean Air Vehicle (CAV) program, CSC Operations and Maintenance, CSC Accounting Specialists, and BATA direct costs. For all such costs, BATA shall provide the JPA with documentation outlining the changes in costs. For the purposes of such cost adjustments, the Executive Director of the JPA shall have the authority to approve changes in transaction costs provided for in this paragraph on behalf of the JPA.

TABLE A: Summary of Amendment Costs associated with the I-680 Sunol Express Lanes Project Implementation

Design, Development, and Testing of the CSC system modifications needed to implement the Project	Fixed Fee \$361,972
Violation notice template development and testing	Actual costs (estimated \$3,900)
Ramp-up staff costs for the 2 months prior to opening and 1 month after opening	Actual costs (estimated at \$300,000)
Training CSC staff about the new express lane	Actual costs (estimated \$5,375)
CSC equipment to install additional CSC phone lines and computers	Actual costs (estimated \$69,783)
Contingency (10%, due to cost estimations)	\$71,103
TOTAL	\$815,133 (estimated)

TABLE B: Summary of Amendment Costs/Changes associated with I-680 Express Lanes Revenue Collection Support Services

Agreement Item	Current Terms	Proposed Revised Terms
CSC Transaction Processing Costs ¹ :		Term updated: annual review of unit pricing clarified.
Transponder-Based Transactions	\$0.161 each	\$0.166 each
License Plate Image-Based Transactions	N/A	\$0.166 each
Violation Notice Costs	N/A	\$0.906 each
CSC CAV Program Costs ¹ :		Term changed: annual review of unit pricing
CAV Application Validation	Calculated share \$6.350 each based on monthly express lane transaction share	
CAV Tag Kit Assembly (replacement tags only)	Calculated share of \$3.099 each based on monthly express lane transaction share	
CAV Tag Kit Postage (replacement tags only)	Calculated share of actual cost based on monthly express lane transaction share	
BATA CSC Operation and Maintenance Costs ¹	Calculated share of (estimated \$19,287) per month Total Actual O&M Costs related to Express Lanes based on monthly express lane transaction share	Term changed: annual review of unit pricing. Current monthly cost \$19,807.
BATA CSC Accounting Specialist Cost ¹	Calculated share of (estimated \$6,309) per month cost based on monthly express lane transaction share	Term changed: annual review of unit pricing.
BATA Direct Costs ¹	\$4,800 per month	Term update: annual review of unit pricing clarified. Revised starting monthly cost \$5,670 per month
Credit Card and Banking Fees	Sunol JPA share based on all toll transactions including bridge tolls	No change

¹ Fees subject to annual review or update per the revised terms of the Agreement.

Cost Share Formula (for all except banking fees):

$$\text{Sunol JPA Cost Share} = \frac{\text{Sunol JPA Monthly number of Transactions}}{\text{Total Monthly number of Bay Area Express Lane Transactions for Alameda CTC}} \\ \text{Bay Area Infrastructure Financing Authority} \\ \text{San Mateo Express Lanes Joint Powers Authority} \\ \text{Santa Clara Valley Transportation Authority} \\ \text{I – 680 Sunol JPA}$$

Fiscal Impact: Approval of Amendment No. 5 to the Agreement will encumber \$815,133 in previously allocated Measure B funds and future I-680 Toll Revenue funds for subsequent expenditure from October 1, 2020 through March 30, 2022 subject to the approval of the FY 2020-21 and FY 2021-22 operating budgets.

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Memorandum

5.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: November 2, 2020

TO: I-680 Sunol Express Lane Joint Powers Authority

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

SUBJECT: Approve the Sunol Smart Carpool Lane Joint Powers Authority Draft Audited Annual Financial Report for the Year Ended June 30, 2020

Recommendation

It is recommended that the Authority approve the Sunol Smart Carpool Lane Joint Powers Authority Draft Audited Annual Financial Report for the Year Ended June 30, 2020.

Summary

Pursuant to Section 9.2(iv) of the Joint Powers Agreement and Section 6505 of the California Government Code, an independent audit was conducted for the fiscal year ended June 30, 2020 by Maze & Associates Accounting Corporation (Maze & Associates). All 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 one of the Draft Audited Annual Financial Report, the auditors of the Sunol Smart Carpool Lane Joint Powers Authority (Authority) have expressed what is considered to be an unmodified audit or clean opinion.

"In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the Authority as of June 30, 2020 and the changes in financial position and cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America."

Financial Highlights:

- Total net position increased by \$0.11 million or 1.6 percent from \$6.72 million to \$6.83 million as of June 30, 2020, compared to June 30, 2019. This slight increase is due to toll revenues outpacing operations and maintenance expenses. Capital assets, net of accumulated depreciation, comprised \$0.73 million or 10.7 percent of the total net position at June 30, 2020.

- For the year ended June 30, 2020, cash and cash equivalents increased by \$0.33 million or 5.3 percent from \$6.24 million to \$6.57 million compared to June 30, 2019. This increase is mostly related to toll revenue collections, which were slightly more than operations and maintenance expenses paid during the fiscal year, and investment income.
- Operating revenue was \$1.87 million during fiscal year 2020, a decrease of \$0.98 million or 34.3 percent from fiscal year 2019 mainly attributed to the suspension of revenue collections on the express lane from March 20 through May 31, 2020 due to the COVID-19 pandemic shelter-in-place order and resulting reduction in traffic on Interstate 680 (I-680).
- The Authority's total operating expenses including depreciation were \$1.88 million during fiscal year 2020, an increase of \$0.19 million or 11.2 percent over fiscal year 2019. This increase is attributed to slight increases in various items that constitute operations and maintenance expense. Operating expenses of \$1.88 million for fiscal year 2020 were primarily comprised of program operations and maintenance costs.

As part of the audit process, Maze & Associates considered the Authority's internal controls over financial reporting in order to design audit procedures. They have not expressed an opinion on the effectiveness of the Authority's internal controls; however Maze & Associates did not identify any deficiencies in internal controls that would be considered a material weakness.

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

Attachment:

- A. [Sunol Smart Carpool Lane Joint Powers Authority Draft Audited Annual Financial Report for the Year Ended June 30, 2020](#) (Hyperlinked to website)