



625 Burnell Street, Napa CA 94559

## Napa County Transportation and Planning Agency (NCTPA)

### Board of Directors

### AGENDA

Wednesday, June 18, 2014  
1:30 PM

NCTPA/NVTA Conference Room  
625 Burnell Street  
Napa CA 94559

### General Information

*All materials relating to an agenda item for an open session of a regular meeting of the NCTPA Board of Directors are posted on our website at [www.nctpa.net/agendas-minutes/12](http://www.nctpa.net/agendas-minutes/12) at least 72 hours prior to the meeting and will be available for public inspection, on and after at the time of such distribution, in the office of the Secretary of the NCTPA Board of Directors, 625 Burnell Street, Napa, California 94559, Monday through Friday, between the hours of 8:00 a.m. and 5:00 p.m., except for NCTPA holidays. Materials distributed to the present members of the Board at the meeting will be available for public inspection at the public meeting if prepared by the members of the NCTPA Board or staff and after the public meeting if prepared by some other person. Availability of materials related to agenda items for public inspection does not include materials which are exempt from public disclosure under Government Code sections 6253.5, 6254, 6254.3, 6254.7, 6254.15, 6254.16, or 6254.22.*

*Members of the public may speak to the Board on any item at the time the Board is considering the item. Please complete a Speaker's Slip, which is located on the table near the entryway, and then present the slip to the Board Secretary. Also, members of the public are invited to address the Board on any issue not on today's agenda under Public Comment. Speakers are limited to three minutes.*

*This Agenda shall be made available upon request in alternate formats to persons with a disability. Persons requesting a disability-related modification or accommodation should contact Karrie Sanderlin, NCTPA Board Secretary, at (707) 259-8631 during regular business hours, at least 48 hours prior to the time of the meeting.*

*This Agenda may also be viewed online by visiting the NCTPA website at [www.nctpa.net](http://www.nctpa.net), click on Minutes and Agendas – NCTPA Board or go to [www.nctpa.net/agendas-minutes/12](http://www.nctpa.net/agendas-minutes/12)*

*Note: Where times are indicated for agenda items they are approximate and intended as estimates only, and may be shorter or longer, as needed.*

**ITEMS**

- 1. Call to Order – Chair Keith Caldwell
- 2. Pledge of Allegiance
- 3. Roll Call

Members:

Joan Bennett	City of American Canyon
Leon Garcia, Mayor	City of American Canyon
Chris Canning, Mayor	City of Calistoga
James Barnes	City of Calistoga
Scott Sedgley	City of Napa
Jill Techel, Mayor	City of Napa
Keith Caldwell	County of Napa
Bill Dodd	County of Napa
Ann Nevero, Mayor	City of St. Helena
Peter White	City of St. Helena
Lewis Chilton	Town of Yountville
John F. Dunbar, Mayor	Town of Yountville
Beth Kahiga	Paratransit Coordinating Council

- 4. Public Comment
- 5. Chairperson’s, Board Members’ and Metropolitan Transportation Commission (MTC) Commissioner’s Update
- 6. Director’s Update
- 7. Caltrans’ Update

*Note: Where times are indicated for agenda items they are approximate and intended as estimates only, and may be shorter or longer, as needed.*

<b>8.</b>	<b><u>PRESENTATION</u></b>		<b><u>TIME</u></b>
8.1	Car Share Presentation		1:45 PM
	A Zipcar representative will provide a brief overview of car sharing.		
<b>9.</b>	<b><u>CONSENT ITEMS (9.1 – 9.7)</u></b>	<b><u>RECOMMENDATION</u></b>	<b><u>TIME</u></b>
9.1	Approval of Meeting Minutes of May 21, 2014 (Karrie Sanderlin) <i>(Pages 9-13)</i>	APPROVE	2:15 PM

- 9.2 NCPTA Policies, Practices, and Procedures Manual: Section 5 Contracting and Procurement Policies (Karrie Sanderlin) *(Pages 14-51)* APPROVE

Board action will approve the agency's Contracting and Procurement policies manual.

- 9.3 Supplemental Work Authorization No. 1 to Contract 12-18 Work Authorization 12-18P001 SWA1 with Fehr & Peers (Danielle Schmitz) *(Pages 52-59)* APPROVE

Board action will approve an amendment to the agreement with Fehr & Peers in an amount not to exceed \$21,140 and to extend the period of performance until December 31, 2014 for work associated with the Napa County Travel Behavior Study.

- 9.4 Second Amendment to Napa County Transportation and Planning Agency (NCTPA) Agreement No. 12-10 with Dyett & Bhatia Urban and Regional Planners (Eliot Hurwitz) *(Pages 60-63)* APPROVE

Board action will approve an amendment to the agreement with Dyett & Bhatia, Urban and Regional Planners extending the period of performance to December 31, 2014 for work associated with the SR29 Gateway Corridor Improvement Plan Study.

- 9.5 Second Amendment to Napa County Transportation and Planning Agency (NCTPA) Agreement No. 13-12 with ERBCO Construction Services, Inc. (Diana Meehan) **(Pages 64-67)** APPROVE

Board action will approve an amendment to the agreement with ERBCO Construction Services, Inc. extending the period of performance to September 30, 2014 for work associated Soscol Gateway Transit Center Hub Signage project. .

- 9.6 First Amendment to Napa County Transportation and Planning Agency (NCTPA) Memorandum of Understanding (MOU) with the Calistoga Tourism Business Improvement District (CTBID) and Resolution No. 14-14 Increasing the FY 2014-15 Budget (Tom Roberts) **(Pages 68-72)** APPROVE

Board action will (1) approve an amendment to the CTBID MOU which adds an additional bus to the Calistoga Shuttle public transit service for the months of June through October, 2014, and (2) adopt Resolution No. 14-14 increasing the FY 2014-15 public transit services budget by \$24,697 in to allow for payment for increased transit services in Calistoga.

- 9.7 Resolution No. 14-15 Authorizing the FY 2014-15 Blanket Purchase Agreements (BPAs) for Planning and Transit Services (Antonio Onorato) **(Pages 73-78)** APPROVE

Board action will approve Resolution No. 14-15 approving the FY 2014-15 BPAs for the Planning (CMA) and Public Transit fund for various reoccurring and routine vendor services.

**10. REGULAR AGENDA ITEMS**

**RECOMMENDATION**

**TIME**

- 10.1 NCTPA First Quarter FY 2013-14 Budget and 5-Year Forecast (Antonio Onorato) *(Pages 79-94)*

INFORMATION

2:20 PM

The Board will receive a review the NCTPA financial performance against budget for the third quarter (January-March) period and 5-year forecast model.

- 10.2 Election of Chair and Vice Chair for FY 2014-15 (Karrie Sanderlin) *(Pages 95-96)*

APPROVE

2:30 PM

Board action will elect a Chair and Vice Chair for NCTPA for FY 2014-15.

- 10.3 Revised Organizational Structure for NCTPA (Kate Miller) *(Pages 97-101)*

APPROVE

2:35 PM

Board action will approve (1) the revised NCTPA Organizational Structure; (2) re-classify the Technical Planner/Senior Analyst Position to an Assistant Program Planner/Administrator-Mobility Management Coordinator position; (3) re-classify the Accounting Technician position to a Senior Financial/Policy Analyst; and (4) amend the title of the Transportation Engineer to a Program Manager-Engineer and amend the annual salary range to that of a program manager.

- 10.4 Legislative Update and State Bill Matrix (Kate Miller) *(Pages 102-116)*

INFORMATION/  
ACTION

2:50 PM

The Board will receive the monthly Federal and State Legislative Update and consider acting on staff recommendations on state bills included on the bill matrix.

**11. CLOSED SESSION**

**TIME**

11.1 **CONFERENCE WITH REAL PROPERTY NEGOTIATOR** (Government Code Section 54956.8)

3:00 PM

Property: APN 046-370-024-000  
Agency Negotiator: Kate Miller, Executive Director  
Negotiating Parties: Joe Carter, Boca Company  
Under Negotiation: Price and terms of payment

**12. ADJOURNMENT**

**RECOMMENDATION**

3:30 PM

12.1 Approval of Regular Meeting Date of July 16, 2014 and Adjournment

APPROVE

I hereby certify that the agenda for the above stated meeting was posted at a location freely accessible to members of the public at the NCTPA offices, 625 Burnell Street, Napa, CA, by 5:00 p.m., Friday June 13, 2014.

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Karalyn E. Sanderlin, NCTPA Board Secretary

## Glossary of Acronyms

<b>AB 32</b>	Global Warming Solutions Act	<b>MTC</b>	Metropolitan Transportation Commission
<b>ABAG</b>	Association of Bay Area Governments	<b>MTS</b>	Metropolitan Transportation System
<b>ADA</b>	American with Disabilities Act	<b>NCTPA</b>	Napa County Transportation and Planning Agency
<b>BAAQMD</b>	Bay Area Air Quality Management District	<b>NEPA</b>	National Environmental Policy Act
<b>AVAA</b>	Abandoned Vehicle Abatement Authority	<b>NOC</b>	Notice of Completion
<b>BART</b>	Bay Area Rapid Transit District	<b>NOD</b>	Notice of Determination
<b>BATA</b>	Bay Area Toll Authority	<b>NOP</b>	Notice of Preparation
<b>BRT</b>	Bus Rapid Transit	<b>NVTA</b>	Napa Valley Transportation Authority
<b>Caltrans</b>	California Department of Transportation	<b>OBAG</b>	One Bay Area Grant
<b>CEQA</b>	California Environmental Quality Act	<b>PCI</b>	Pavement Condition Index
<b>CIP</b>	Capital Investment Program	<b>PDA</b>	Priority Development Areas
<b>CMA's</b>	Congestion Management Agencies	<b>PMS</b>	Pavement Management System
<b>CMAQ</b>	Congestion Mitigation and Air Quality Improvement Program	<b>Prop. 42</b>	Statewide Initiative that requires a portion of gasoline sales tax revenues be designated to transportation purposes
<b>CMP</b>	Congestion Management Program	<b>PSE</b>	Plans, Specifications and Estimates
<b>CTC</b>	California Transportation Commission	<b>PSR</b>	Project Study Report
<b>EIR</b>	Environmental Impact Report	<b>PTA</b>	Public Transportation Account
<b>EJ</b>	Environmental Justice	<b>RACC</b>	Regional Agency Coordinating Committee
<b>FAS</b>	Federal Aid Secondary	<b>RFP</b>	Request for Proposal
<b>FHWA</b>	Federal Highway Administration	<b>RFQ</b>	Request for Qualifications
<b>FTA</b>	Federal Transit Administration	<b>RHNA</b>	Regional Housing Needs Allocation
<b>FY</b>	Fiscal Year	<b>RM2</b>	Regional Measure 2 (Bridge Toll)
<b>GHG</b>	Greenhouse Gas	<b>RTEP</b>	Regional Transit Expansion Program
<b>HBP</b>	Highway Bridge Program	<b>RTIP</b>	Regional Transportation Improvement Program
<b>HBRR</b>	Highway Bridge Replacement and Rehabilitation Program	<b>RTP</b>	Regional Transportation Plan
<b>HIP</b>	Housing Incentive Program	<b>SAFE</b>	Service Authority for Freeways and Expressways
<b>HOT</b>	High Occupancy Toll	<b>SAFETEA-LU</b>	Safe, Accountable, Flexible, and Efficient Transportation Equity Act-A Legacy for Users
<b>HOV</b>	High Occupancy Vehicle	<b>SCS</b>	Sustainable Community Strategy
<b>HR3</b>	High Risk Rural Roads	<b>SHOPP</b>	State Highway Operation and Protection Program
<b>HSIP</b>	Highway Safety Improvement Program	<b>SR</b>	State Route
<b>HTF</b>	Highway Trust Fund	<b>SRTS</b>	Safe Routes to School
<b>IFB</b>	Invitation for Bid	<b>SOV</b>	Single-Occupant Vehicle
<b>ITIP</b>	State Interregional Transportation Improvement Program	<b>STA</b>	State Transit Assistance
<b>JARC</b>	Job Access and Reverse Commute	<b>STIP</b>	State Transportation Improvement Program
<b>LIFT</b>	Low-Income Flexible Transportation		
<b>LOS</b>	Level of Service		
<b>MPO</b>	Metropolitan Planning Organization		

## Glossary of Acronyms

<b>STP</b>	Surface Transportation Program
<b>TCM</b>	Transportation Control measure
<b>TCRP</b>	Traffic Congestion Relief Program
<b>TDA</b>	Transportation Development Act
<b>TDM</b>	Transportation Demand Management Transportation Demand Model
<b>TE</b>	Transportation Enhancement
<b>TEA</b>	Transportation Enhancement Activities
<b>TEA 21</b>	Transportation Equity Act for the 21 <sup>st</sup> Century
<b>TFCA</b>	Transportation Fund for Clean Air
<b>TIP</b>	Transportation Improvement Program
<b>TLC</b>	Transportation for Livable Communities
<b>TLU</b>	Transportation and Land Use
<b>TMP</b>	Traffic Management Plan
<b>TMS</b>	Transportation Management System
<b>TOD</b>	Transit-Oriented Development
<b>TOS</b>	Transportation Operations Systems
<b>TPP</b>	Transit Priority Project Areas
<b>VHD</b>	Vehicle Hours of Delay
<b>VMT</b>	Vehicle Miles Traveled



625 Burnell Street, Napa CA 94559

June 18, 2014  
NCTPA Agenda Item 9.1  
Continued From: New  
**Action Requested: APPROVE**

**Napa County Transportation and Planning Agency (NCTPA)**

**Board of Directors**

**MINUTES**

**Wednesday, May 21, 2014**

**ITEMS**

**1. Call to Order**

Vice Chair Dunbar called the meeting to order at 1:33 p.m.

**2. Pledge of Allegiance**

Vice Chair Dunbar lead the salute to the flag.

**3. Roll Call**

Members Present:

Voting Power

Joan Bennett	City of American Canyon	(2)
Leon Garcia	City of American Canyon	(2)
James Barnes	City of Calistoga	(1)
Chris Canning	City of Calistoga	(1)
Jill Techel	City of Napa	(5)
Keith Caldwell	County of Napa	(2)
Mark Luce	County of Napa	(2)
Ann Nevero	City of St. Helena	(1)
Peter White	City of St. Helena	(1)
John Dunbar	Town of Yountville	(1)
Margie Mohler	Town of Yountville	(1)

Members Absent: None

Scott Sedgley	City of Napa	(5)
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Non-Voting Member Present:

Beth Kahiga	Paratransit Coordinating Council	(0)
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**4. Public Comment**

None

**5. Chairperson's, Board Members' and Metropolitan Transportation Commission (MTC) Commissioner's Update**

No Updates given

**6. Director's Update**

*Kate Miller, Executive Director*

Announced that at its annual conference this week, the California Association for Coordinated Transportation (CalAct) honored the VINE and its family of transportation services with the Outstanding Transportation Agency of the year award

Announced that the NCTPA will be extending the hours on VINE Routes 8, 10, and 11 during the Bottlerock event. Night services will be extended to midnight on Friday and Saturday and until 10:15 pm on Sunday. There is a link to [www.ridethevine.com](http://www.ridethevine.com) on the BottleRock site and NCTPA is marketing the extended service on radio stations and print media throughout the Bay Area.

Announced that Zipcar is coming soon to the Soscil Gateway Transit Center. There will be two committed parking spots for the operation on the north side of the parking lot. The two cars will be hybrids. The soft opening is on June 2 for existing members with the grand opening occurring in conjunction with the June 18<sup>th</sup> Board meeting.

**7. Caltrans' Update**

No oral report given, however, provided for review was the May 2014 Caltrans Reporting Memo.

**8. CONSENT ITEMS (8.1 – 8.4)**

**MOTION MOVED** by **MOHLER SECONDED** by **CANNING** to **APPROVE**, with **GARCIA ABSTAINING**, Consent Items 8.1. **Motion Passed 17-0.**

**MOTION MOVED** by **MOHLER SECONDED** by **CANNING** to **APPROVE** Consent Items 8.2-8.4. **Motion Passed 19-0.**

**8.1 Approval of Meeting Minutes of April 16, 2014**

**8.2 Approval of NCTPA Communications and Public Affairs Policies and Procedures Manual**

Board action approved the Agency's Communications and Public Affairs policies and procedures.

**8.3 Sub-Recipient Funding Agreements with the Napa County Office of Education (NCOE)**

Board action approved a sub-recipient funding agreement with the Napa County Office of Education (NCOE) for the Safe Routes to School (SRTS) project. NCTPA serves as the pass through agency for the SRTS funds.

**8.4 Approval of NCTPA Agreement No. 14-05 with Lamar Transit Advertising**

Board action authorized the Executive Director to enter into an agreement with Lamar Transit Advertising for provision of bus and bus shelter advertising services. NCTPA will receive revenues generated from the exclusive use of buses and bus shelters for commercial advertising.

**9. PUBLIC HEARING**

**9.1 Public Hearing on the NCTPA FY 2014-15 Budget, Approval of Resolution No. 14-12 Adopting the NCTPA FY 2014-15 Budget, and Approval of Resolution No. 14-13 Authorizing the Filing with the Metropolitan Transportation Commission (MTC) for Allocation of Transit Development Act (TDA), State Transit Assistance (STA), and Regional Measure 2 (RM2) Funds**

Staff reviewed the final NCTPA FY 2014-15 Budget. Revisions since the first reading on April 16, 2014 include:

- (1) Addition of \$250,000 to the Planning/Professional Services Budget (Congestion Management Authority) to increase the Pedestrian Focused Active Transportation Plan from \$50,000 to \$300,000.
- (2) Addition of \$167,000 (Capital Projects) for purchase of PODS Wheelchair restraint devices using \$121,000 in grant funding and \$46,000 in TDA Capital.

Chair Caldwell opened the Public Hearing at 1:45 p.m.

Board requested information on the marketing budget and discussion followed on the types of marketing the NCTPA has/will purchase.

Being no public comment, Chair Caldwell closed the Public Hearing at 1:53 p.m.

**MOTION MOVED** by **DUNBAR SECONDED** by **CANNING** to **APPROVE**, Resolution No. 14-12 adopting the NCTPA FY 2014-15 budget of \$21,012,400. **Motion Passed 19-0.**

**MOTION MOVED** by **WHITE SECONDED** by **GARCIA** to **APPROVE**, Approve Resolution No. 14-13 Authorizing the Filing with the MTC for Allocation of TDA, STA, RM2 funds. **Motion Passed 19-0.**

**10. REGULAR AGENDA ITEMS**

**10.1 Update on Vision 2040: Moving Napa Forward (2015 Countywide Transportation Plan (CWTP) Progress**

The Board received an update on the progress on the Vision 2040: Moving Napa Forward Plan development.

**10.2 Chair & Vice Chair Nominating Committee for FY 2014-15**

Board action appointed Members Techel, Garcia, and Caldwell to a nominating committee for the selection of the NCTPA chair and vice chair for FY 2014-15.

**MOTION MOVED** by **DUNBAR SECONDED** by **GARCIA** to **APPROVE** the appointed Members Techel, Garcia, and Caldwell to nominating committee for the selection of the NCTPA chair and vice chair for FY 2014-15. **Motion Passed 19-0.**

**10.3 Legislative Update and State Bill Matrix**

The Board received the monthly Federal and State Legislative Update and approved staff recommendations on state bills as provided in the bill matrix (Attachment 2) but with additional changes noted by Executive Director Miller.

**MOTION MOVED** by **GARCIA SECONDED** by **CANNING** to **APPROVE** staff recommendations on state bills as provided in the bill matrix (Attachment 2) with noted changes. **Motion Passed 19-0.**

Janice Killion, NCTPA Legal Counsel, announced that the Board would be adjourning to closed session for the item as noted in the agenda (Conference with Real Property Negotiator) and that no reportable action is expected.

Adjourned to Close Session at 2:22 p.m.

## **11. CLOSED SESSION**

### **11.1 CONFERENCE WITH REAL PROPERTY NEGOTIATOR (Government Code Section 54956.8)**

Property: APN 046-370-024-000

Agency Negotiator: Kate Miller, Executive Director

Negotiating Parties: Joe Carter, Boca Company

Under Negotiation: Price and terms of payment

Adjourned to Open Session at 2:45 p.m.

Chair Caldwell, reported there was no reportable action associated with the closed session item.

## **12. ADJOURNMENT**

### **12.1 Approval of Regular Meeting Date of June 18, 2014 and Adjournment**

The next regular meeting will be held Wednesday June 18, 2014 at 1:30 p.m.

The meeting was adjourned by Chair Caldwell at 2:45 p.m.

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Karalyn E. Sanderlin, NCTPA Board Secretary



June 18, 2014  
NCTPA Agenda Item 9.2  
Continued From: New  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Karrie Sanderlin, Program Manager - Administration, Procurement, Civil Rights, and Board Secretary  
(707) 259-8633 / Email: [ksanderlin@nctpa.net](mailto:ksanderlin@nctpa.net)  
**SUBJECT:** NCTPA Policies, Practices, and Procedures Manual Section 5: Contracting and Procurement

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board approve and adopt NCTPA Policies, Practices, and Procedures Manual Section 5: Contracting and Procurement replacing in totality the NCTPA Procurement Policies and Procedures Manual approved previously by the Board on November 17, 2010.

### **COMMITTEE RECOMMENDATION**

None.

### **EXECUTIVE SUMMARY**

The NCTPA Policies, Practices, and Procedures are guidelines to aid staff in meeting state and federal statutory and regulatory requirements and policies established by the NCTPA board. The Contracting and Procurement manual specifically guides staff when procuring materials and entering into contracts using public funds.

On February 4-5, 2014, the Federal Transit Administration (FTA) conducted a Triennial Review of NCTPA for FYs 2010-2013. The review is an opportunity for the FTA to ensure recipient compliance with all Federal regulations. NCTPA received recommendations to update its procurement manual for transit related-purchases to meet compliance with an updated FTA Circular 4220.1F, Revision 4, dated March 15, 2013. The revision incorporates the new procurement provisions of the Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21), Pub. L., 112-141, July 2012, and

includes the most current available guidance for the Federal public transportation program as of the date of publication.

NCTPA has now updated its manual to incorporate FTA Circular 4220.1F, Revision 4, dated March 15, 2013, for purchases of goods and professional services (non-construction) as well as California's Public Contract Code Requirements and Competitive Bidding for public work type projects.

### **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

### **FISCAL IMPACT**

Is there a fiscal impact? No.

### **CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

### **BACKGROUND AND DISCUSSION**

The Policies, Practices and Procedures Manual is a tool to ensure staff adhere to federal and state statutory and regulatory requirements and to NCTPA Board policies. Section 5 of the manual outlines the policies and procedures specific to procurement and contracting. On November 17, 2010, NCTPA Board of Directors approved the NCTPA's Procurement Policies and Procedures Manual to be used for all transit-related procurements and other procurements as it applies. The revised policies included as Attachment 1 are intended to replace the November 17, 2010 procedures in its entirety.

In part, this was prompted by FTA findings in NCTPA's most recent triennial review. From time-to-time, FTA issues guidance in the form of circulars intended to assist grantees in administering FTA-funded projects and programs. Grantees have a responsibility to comply with regulatory requirements and to be aware of all pertinent information to assist in the management of federal grants.

NCTPA's contracting and procurement manual is being updated to incorporate FTA Circular 4220.1F, Revision 4, dated March 15, 2013, for purchases of goods and professional services (non-construction) as well as California's Public Contract Code Requirements and Competitive Bidding for public work type projects.

**SUPPORTING DOCUMENTS**

Attachment: (1) Draft NCTPA Policies, Practices, and Procedures Manual Section 5:  
Contracting and Procurement

**NCTPA  
POLICIES, PRACTICES AND PROCEDURES MANUAL**

**SECTION 5: CONTRACTING AND PROCUREMENT**

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DRAFT

## CHAPTER 1 INTRODUCTION

These procurement procedures apply to purchases of goods and services that utilize federal, state and local funds. Where there is a conflict between federal and local requirements, federal requirements will prevail.

The Napa County Transportation and Planning Agency (NCTPA) receives transit funding from the federal government and the State of California, as well as other regional and local agencies. NCTPA will follow standard public agency contract law as set forth in California Government and Public Contract Codes for procurements that are funded with state or local revenues and do not have any federal funding. NCTPA is further committed to meeting all requirements in FTA Circular 4220.1(F) and its successors for procurements that involve federal funds. These procurement policies and procedures are consistent with federal regulations and the laws of the State of California. These procedures also apply to any revenue contract whose primary purpose is to either generate revenues in connection with a transit-related activity, or to create business opportunities utilizing a Federal Transit Administration (FTA) funded asset.

The purpose of these policies and procedures is to set forth the procurement methods and establish standards for obtaining goods and services, including construction, professional, and architectural/engineering (A/E) services necessary for the operation of NCTPA's transportation and planning services. These procedures include guidelines for the solicitation, award and administration of formally advertised contracts, as well as the consultant selection, negotiation, award and administration of competitively negotiated and A/E contracts.

The procurement procedures are designed to:

- Instill public confidence in the transit procurement process of NCTPA;
- Ensure fair and equitable treatment of all vendors who seek to do business with NCTPA;
- Ensure maximum open and free competition in the expenditure of public funds; and
- Provide the safeguards to maintain a procurement system of quality and integrity.

Methods to implement the foregoing are described in the remainder of this document and the attachments hereto.

## CHAPTER 2 QUICK REFERENCE GUIDE

### A. Step-by-Step Guide

Step 1: The Project Manager (PM) must determine the following:

1. Project scope;
2. Expected cost of the procurement;
3. Funding source(s) and whether the procurement is already budgeted; and
4. Whether the procurement will be informal or formal.

Step 2: For procurement type, PM should refer to the policies described herein. Any questions regarding the procurement process should be immediately discussed with the Executive Director (ED)/general counsel to ensure that the policies are being followed and adhered to.

Step 3: The Administrative Technician (AT) is responsible for the administration of the procurement, which includes attaching the proper boiler plate agreements and clauses and obtaining the required review and approval(s), before initiating the procurement process.

Step 4: Over a certain threshold, approval of the procurement by the Board.

Step 5: Upon completion of the procurement process, execution of the contract prior to a notice to proceed, or initiation of work.

**B. Methods of Procurement and Delegation**

1. Goods and Services

Definition: Procurements of services, supplies, or other property, with the exception of professional and A/E services or labor and/or materials for public works/construction projects.

Contract Threshold	Method of Procurement	Required Approval Level	Notes
Less than \$3,000 (FTA) or \$5,000 (state & local funds)	Micro Purchase	Management / Senior Staff	With signed authorization form
>\$3,000 – \$50,000	Small Purchase / RFP / IFB	Executive Director	With signed authorization form
Greater than \$50,000	Small Purchase/RFP/ IFB	Board of Directors	
Less than \$25,000 (FTA)	Sole Source	Management / Senior Staff	With signed authorization form
Less than or equal to \$50,000	Sole Source	Executive Director	With signed authorization form
Greater than \$ 50,000	Sole Source	Board of Directors	
Less than or equal to \$175,000	Construction	Executive Director	Including UPCCAA*; with signed authorization form
Greater than \$175,000	Construction	Board of Directors	

\*California Uniform Public Construction Cost Accounting Act (UPCCAA), dated July 2011.

Modifications to contracts or purchase orders which represent no change in the scope of the character of material or services provided in the original contract or purchase order may be approved by the ED or PM if the cumulative dollar value of the modification and the original contract amount are within the ED award authority.

NCTPA may acquire property and services valued at \$3,000 or less without obtaining competitive quotations. These purchases are exempt from FTA’s Buy America requirements. Davis-Bacon prevailing wage requirements, however, will apply to construction contracts exceeding \$2,000, even though the recipient uses micro-purchase procurement procedures.

2. Professional and Architectural/Engineering Services (A/E)

Professional services means services such as, but not limited to, the services of attorneys, physicians, architects, engineers, and other consultants or individuals or organizations possessing a high degree of technical skill.

A/E means program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping, or related services. A/E services require the use of an A/E method of procurement.

## **CHAPTER 3 POLICIES AND PROCEDURES**

### **C. Procurement Policies**

The NCTPA Board of Directors (Board) is responsible for governing the operation of the agency including all procurement policies that serve as a basis upon which procurement procedures can be developed.

1. Procurement Responsibility

a. Administrative Technician (AT) and Procurement

The AT is responsible for maintaining all official contract files.

The AT will be responsible for managing procurements and coordinating with the PM to ensure procurement files meet local, state, and federal requirements.

The AT is responsible for updating these procurement procedures on an as-needed basis.

- i. The AT shall ensure that a clear and accurate specification / scope of work is developed for each procurement.
- ii. The AT shall not recommend that NCTPA enter into a contract unless the AT has ensured that all applicable requirements of federal law, federal regulations and circulars, California law, and all other applicable procedures have been met.
- iii. The AT shall ensure that contractors receive impartial, fair, and equitable treatment in accordance with the policies specified in this manual.
- iv. The AT is also responsible for such tasks as writing, preparing and assembling contract documents; obtaining necessary pre-solicitation approvals; advertising RFP's and IFB's, issuing amendments, obtaining post-bid opening approvals for award, conducting investigations of proposed Contractor's past performance,

conducting consultant selection meetings for negotiated contracts and conducting negotiations, consulting with Project Managers to monitor Contractor's performance, and managing termination for default or convenience procedures whenever the need arises.

b. Project Manager (PM) and Procurement

A Project Manager (PM) will be a duly appointed staff member directly responsible for the daily technical administration of a contract including monitoring the contractor in its performance of the contract and performing those functions as specified. The PM should be a responsible individual assigned to and familiar with the procedures and requirements of NCTPA, general project management principles and state and federal procurement requirements. As such, the PM is the ED's technical expert to assist in ensuring contractor compliance with technical requirements of the contract. Normally, the PM approves or disapproves the technical acceptability and timeliness of the work completed and the invoices submitted by the contractor for payment.

- i. The PM or his/her designee shall be the primary agency employee to determine that contract prices are fair and reasonable.
- ii. The PM is responsible for soliciting bids and proposals directly or working with the AT on such solicitation; for serving as the chairperson of pre-bid and pre-proposal conferences, qualification hearings and proposal evaluation meetings; for conducting contract negotiation sessions; for managing the non-technical aspects of post award contract administration including negotiation of modifications, claims, and supplemental agreements; and for maintaining procurement files.
- i. The PM shall ensure that sufficient unencumbered funds are available for obligation for each contract.
  - a. The PM shall develop a clear and accurate specification / scope of work for each procurement.
  - b. The PM is also the person to whom reports of warranted equipment malfunctions or failures, or any problems with the contractor's performance are submitted. The PM makes the initial request for contractor remedial action. The ED/counsel becomes involved when and if the lapse constitutes a serious, i.e., repetitive, or unresolved, breach of contractor's civil or contractual responsibility.
  - c. Should the contractor fail to respond in a timely or adequate manner to rectify any problem, the PM notifies the AT and ED/counsel that an apparent breach of the contract exists.

After investigating the situation, the ED/counsel and PM take any steps necessary and available to enforce NCTPA's rights under the contract. This may include withholding payment, imposing liquidated damages, negotiation and recommending a settlement, terminating the contractor for default, or referring the matter for legal action.

- d. The PM also has the following duties in relation to the contract:
  - i. Attends pre-bid and pre-proposal conferences as the technical expert;
  - ii. Conducts investigations of proposed contractor's technical past performance;
  - iii. Questions prospective contractors during clarifications and discussions as to their technical capability to perform the contract;
  - iv. Assists the ED with contract negotiations;
  - v. Ascertains the availability of funds prior to asking the ED to initiate the negotiation and approval process for change orders;
  - vi. Contract modifications and supplemental agreements; and
  - vii. Issues directions to correct or replace defective items of work.
  - viii. Coordinates and communicates with AT and includes AT in necessary meetings, conferences, and written communications.

## 2. Standards of Conduct and Conflict of Interest Policies

All NCTPA personnel involved in procurements will comply with NCTPA's procurement code of conduct as described in the contract and procurement manual, available on NCTPA's website at [nctpa.net](http://nctpa.net).

## 3. Purchasing Policies

### a. Equal Employment Opportunity/Affirmative Action

All procurement documents issued by NCTPA require all interested vendors to certify:

- i. That the vendor does not discriminate against any employee or applicant for employment, because of race, religion, sex, age, creed, color, disability or national origin;
- ii. That the vendor is in compliance with all Executive Orders and federal, state and local laws regarding fair employment practices and non-discrimination in employment; and
- iii. That the vendor agrees to demonstrate positively and aggressively the principle of equal opportunity in employment.

b. Disadvantaged Business Enterprise

Disadvantaged business enterprises (DBEs) as defined in 49 C.F.R. Part 26 shall have the opportunity to compete fairly for contracts financed in whole or in part with Federal funds. Accordingly, all NCTPA procurements funded with Federal funds may include, as appropriate, the use of goals for the procurement of all classes of goods and services, as set forth in NCTPA's DBE program.

At the time the procurement takes place, the PM will coordinate with NCTPA's DBE Liaison Officer for the effective tracking of DBE information as it relates to NCTPA's DBE program, goals and reporting.

c. Cooperative Procurement

When circumstances warrant, NCTPA may attempt to fill requirements through a cooperative purchasing agreement (without independent bids or quotations) with the State of California, or with other appropriate public agencies. In such cases, NCTPA will ensure all state and federal requirements are met.

d. Open Competition Required.

All procurement transactions will be conducted in a manner providing full and open competition. Some of the situations considered to be restrictive of competition include, but are not limited to:

- i. Unreasonable requirements placed on firms in order for them to qualify to do business;
- ii. Unnecessary experience and excessive bonding requirements;
- iii. Noncompetitive pricing practices between firms or between affiliated companies;
- iv. Noncompetitive award to any person or firm on retainer contracts;

- v. Organizational conflicts of interest. An organizational conflict of interest means that because of other activities, relationships, or contracts, a contractor is unable or potentially unable, to render impartial assistance or advice to NCTPA; a contractor's objectivity in performing the contract work is or might be otherwise impaired; or a contractor has an unfair competitive advantage.
- vi. The specification of only a brand name product without listing its salient characteristics and not allowing an equal product to be offered;
- vii. Exclusionary or discriminatory specifications; and
- viii. Any arbitrary action in the procurement process.

#### 4. Public Records Act

All bids and proposals received become the exclusive property of NCTPA. At such time as a contract award is recommended to the NCTPA Board of Directors, all bids and proposals become a matter of public record and shall be regarded as public records, with the exception of those elements in each proposal which are trade secrets as that term is defined in California Government Code 6254.7 and which are so marked as "TRADE SECRET," "CONFIDENTIAL" OR "PROPRIETARY." NCTPA shall not in any way be liable or responsible for the disclosure of any such records or portions thereof, including, with limitation, those so marked if disclosure is deemed required by law or by an order of a court. Bids or proposals that indiscriminately identify all or most of the bid or proposal as exempt from disclosure without justification may be found technically unacceptable.

### **D. Procedures**

#### 1. Independent Cost Estimate

An independent cost estimate (ICE) shall be performed on all FTA, state, local and general funded procurements prior to receiving bids or proposals. The process for obtaining a cost estimate will depend on the type of procurement being pursued. For example, a cost estimate for a micro purchase (see explanation below) may only involve phone calls to obtain price quotes; while a cost estimate for the procurement of a commuter bus would require a more involved process to assess the market and to develop a reasonably accurate estimate. The cost required to research and prepare the estimate should not outweigh the potential benefits of the estimate. An ICE can be obtained from different sources including the following:

- Published competitive prices

- Results of competitive procurements
- Estimates by in-house estimators
- Outside estimators

The ICE will be included in the procurement records. All construction bids will require an engineering estimate as part of the plans, specifications and engineering phase of the project.

## 2. Excluded Parties List

Any procurement, contract or vendor contract exceeding \$25,000 is subject to the federal Excluded Parties List (EPLS/SAM).

After all qualified bids or quotes have been opened the EPLS/SAM database must be referenced, which contains all businesses that have been barred or suspended from receiving federal funds or participating in federal contracts. The AT will perform an EPLS/SAM business name search on each of the businesses for specific procurements. The AT will perform the EPLS/SAM search for procurements in which federal transit funding will be utilized.

- i. If a business reference returns a positive listing on the EPLS/SAM, a printout of the web page will be included in the procurement file, while a second copy will be forwarded to the bidding business with a notice that they have been removed from consideration in the procurement.
- ii. If the EPLS/SAM search returns no listing on a specific business, a copy of the web page, showing the negative return, will be made and included in the procurement file.

## 3. Business References

### a. CA Secretary of State Business Entity Search

Prior to final award or completion of a draft contract (pre-counsel review), the AT will perform a Business Entity search on the California Secretary of State's website (<http://kepler.sos.ca.gov/> in 2013), to confirm the business is registered to do business in the State of California.

- i. If the business is not listed on the Secretary of State's website, a business representative will be notified of their status and be provided 30 calendar days to either correct the listing, or provide documentation that they have submitted an application to the Secretary of State and are pending approval.

- ii. If the business is registered in the State of California as a legal business, a copy of the web page listing will be included in the procurement file. If the procurement requires any kind of contract with NCTPA, a second copy will be included with the contract documents prior to them being forwarded to NCTPA Attorney for final review prior to award.

b. Business License Reference

Prior to final award or completion of a draft contract (counsel review), the AT will contact NCTPA's Finance Department (FD) to confirm that the business has a valid business license.

- i. If the business has a valid license, a license number will be recorded in the procurement file and, if a contract, will be forwarded to counsel with the draft contract.
- ii. If the business does not have a valid business license, they will be referred to the FD to discuss their services and the process for obtaining a license.

4. Reasonableness of Price – Price Analysis or Cost Analysis

In all FTA, state, local, and general funded procurements, a price analysis or cost analysis shall be used to determine the reasonableness of the bid price. A price analysis will normally be used to evaluate reasonableness. However, if a valid price analysis cannot be completed, a cost analysis of a bid price may be conducted.

a. Price Analysis

"Price analysis" is the process of examining and evaluating a prospective price without evaluation of the separate cost elements or proposed profit of the prospective supplier.

Normally, price analysis may be accomplished through one or more of the following activities:

- i. Comparison of prices received in a bidding situation;
- ii. The comparison of prior quotations and contract prices with current quotations for the same or similar end items (to provide a suitable basis for comparison, appropriate allowances must be made for differences in such factors as specifications, quantities ordered, time for delivery, etc.);
- iii. The use of "yardsticks" (such as dollars per pound, per horsepower, or other units) to point out apparent gross

inconsistencies which should be subjected to greater pricing inquiry;

- iv. The comparison of prices set forth in published price lists issued on a competitive basis, published market prices of commodities, and similar indicators, with discount or rebate arrangements;
- v. The comparison of proposed prices with estimates of cost independently developed by personnel within NCTPA; or,
- vi. The comparison of prices paid by other users (government or commercial) of the same or similar items to the proposed prices.

b. Cost Analysis

“Cost analysis” is the review and analysis of a contractor's cost or pricing data and of the factors applied in projection from the data to the estimated costs in order to form an opinion on the degree to which the contractor's proposed costs represent the cost of performance of the contract, assuming reasonable economy and efficiency.

As compared to price analysis, cost analysis involves a more detailed review of the contractor's/offeror's proposal.

Normally, cost analysis may be accomplished through the following:

- i. Verify contractor's cost data.
- ii. Evaluate specific elements of costs and project these elements to determine the effect on prices of such factors as:
  - (i) The necessity for certain costs;
  - (ii) The reasonableness of amounts estimated for the necessary costs;
  - (iii) Allowances for contingencies; and
  - (iv) The basis used for allocations of particular overhead costs to the proposed contract.
- iii. When the necessary data is available, compare the contractor's estimated cost with:
  - (i) Actual costs previously incurred by the contractor;
  - (ii) The contractor's last prior cost estimate for the same or similar estimates;

- (iii) Current cost estimates from other possible sources; and
  - (iv) Prior estimates or historical costs of other contractors manufacturing the same or similar items.
- iv. Forecasting future trends in costs from historical experience:
- (i) In periods of either rising or declining costs, an adequate cost analysis must include some evaluation of the trends.
  - (ii) In cases involving recently developed, complex equipment, even in periods of relative price stability, trend analysis of basic labor and materials costs should be undertaken.

In performing a cost analysis, there are three questions that should be asked in the examination of costs, particularly those in the overhead area:

- i. Is the cost allowable in accordance with guidelines in Section 31 of the Federal Acquisition Regulations (FAR)(2)?
- ii. Is the cost allocable to the particular project?
- iii. Is the cost reasonable?

If only one bid is received, the sole bidder must cooperate with NCTPA as necessary in order for its bid to be considered for award. A new solicitation of bids may be made if the single bid price appears unreasonable or if no determination is made as to the reasonableness of the single bid.

#### 5. Best Value

"Best Value" is a selection process in which proposals contain both price and qualitative components, and award is based upon a combination of price and qualitative considerations. Qualitative considerations may include technical design, technical approach, quality of proposed personnel, and/or management plan. The award selection is based upon consideration of a combination of technical and price factors to determine (or derive) the offer deemed most advantageous and of the greatest value to the agency.

#### 6. Tag-ons

"Tag-on" is defined as the addition of work (supplies, equipment or services) that is beyond the scope of the original contract that amounts to a cardinal change. "In scope" changes are not tag-ons.

The use of tag-ons is prohibited and applies to the original buyer as well as to others.

## 7. Piggybacking

"Piggybacking" is an assignment of existing contract rights to purchase supplies, equipment, or services.

Piggybacking is permissible when the solicitation document and resultant contract contain an assignability clause that provides for the assignment of all or a portion of the specified deliverables as originally advertised, competed, evaluated, and awarded. If the supplies were solicited, competed and awarded through the use of an Indefinite Delivery Indefinite Quantity (IDIQ) contract, then both the solicitation and contract award must contain both a minimum and maximum quantity that represent the reasonably foreseeable needs of the party(s) to the solicitation and contract. If two or more parties jointly solicit and award an IDIQ contract, then there must be a total minimum and maximum.

## 8. Use of Brand Name

When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a "brand name or equal" description may be used as a means to define the performance or other salient characteristics of procurement. The specific features of the named brand which must be met by offerors shall be clearly stated.

## 9. Options

NCTPA may include options in contracts. An option is a unilateral right in a contract by which, for a specified time, a grantee may elect to purchase additional equipment, supplies, or services called for by the contract, or may elect to extend the term of the contract. If NCTPA chooses to use options, the requirements below apply:

### a. Evaluation of Options

The option quantities or periods contained in the contractor's bid or offer must be evaluated in order to determine contract award. When options have not been evaluated as part of the award, the exercise of such options will be considered sole source procurement.

### b. Exercise of Options

- i. NCTPA must ensure that the exercise of an option is in accordance with the terms and conditions of the option stated in the initial contract awarded.
- ii. An option may not be exercised unless NCTPA has determined that the option price is better than prices available in the market or that

the option is the more advantageous offer at the time the option is exercised.

- iii. Options must be evaluated at the time of the original bid, and the cost basis for exercising the option must be established at the time of the bid.
- iv. Option prices and/or conditions cannot be negotiated at the time of the exercise of an option.

#### 10. Advance Payments

NCTPA does not authorize and will not participate in funding payments to a contractor prior to the incurrence of costs except as allowed by FTA requirements. There is no prohibition on NCTPA's use of local match funds for advance payments. However, advance payments made with local funds before a grant has been awarded, or before the issuance of a letter of no prejudice or other pre-award authority, are ineligible for reimbursement.

#### 11. Progress Payments

NCTPA may use progress payments provided the following requirements are followed:

- a. Progress payments are only made to the contractor for costs incurred in the performance of the contract.
- b. NCTPA must obtain adequate security for progress payments. Adequate security may include taking title, letter of credit or equivalent means to protect NCTPA's interest in the progress payment.

#### 12. Procurement by Micro-Purchases

Purchases below \$3,000 may be made without obtaining competitive quotations if it is determined by the PM that the price is fair and reasonable. The PM will document how this determination was derived. The Davis-Bacon Act applies to public works/construction contracts exceeding \$2,000.

#### 13. Small Purchases

For goods and other professional services procurements between \$3,000 and \$100,000, insofar as is practical, no less than three bids shall be solicited. Oral quotes will be accepted with written confirmation received in 24 hours. The responsibility for soliciting quotations rests with the PM. Appropriate documentation, including but not limited to a list of the vendors contacted, a fair and reasonable price determination and the quotes received, shall be filed with the project documentation.

14. Construction and Major Capital Purchases exceeding \$4,000
- a. Major FTA-funded capital projects must further follow FTA's Construction and Project Management Guidelines:  
[http://www.fta.dot.gov/FTA\\_Project\\_and\\_CM\\_Guidelines\\_-\\_July\\_2011\\_Update\\_12-01-26.pdf](http://www.fta.dot.gov/FTA_Project_and_CM_Guidelines_-_July_2011_Update_12-01-26.pdf)
  - b. Major FHWA/State-funded projects must further follow Caltrans' Local Assistance Guidelines:  
[http://www.dot.ca.gov/hq/LocalPrograms/lam/prog\\_g/complete-2013-13-02.pdf](http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_g/complete-2013-13-02.pdf)
  - c. Additional references and procedures can also be found at:  
  
Caltrans Construction Manual (Oct 2013)  
[http://www.dot.ca.gov/hq/construc/constmanual/construction\\_manual.pdf](http://www.dot.ca.gov/hq/construc/constmanual/construction_manual.pdf)  
  
Construction Contract Standards  
[http://www.dot.ca.gov/hq/esc/oe/construction\\_standards.html](http://www.dot.ca.gov/hq/esc/oe/construction_standards.html)  
  
Caltrans Engineering Guidelines, Manuals and Training  
<http://www.dot.ca.gov/hq/esc/oe/guidance.html>

#### **E. Competitive Procurement Process**

The procurement files will contain an explanation for the choice of the procurement process being used.

##### 1. Invitation for Bids (IFB)

The AT will work through the ED/PM and counsel for the release of all

- a. RFPs for goods and service;
- b. release of professional service contracts; and
- c. capital projects.

NCTPA procurement procedures and FTA guidance will be followed for IFB procurements.

##### 2. Recording of Bids

To assist in having a complete record of the procurement history, for all IFBs records of the bid number, bid opening date and time, general description of the procurement item, names of bidders, prices bid, and any other information required for bid evaluation, shall be kept in the official procurement file and be available for public inspection. When the items

are too numerous to warrant the recording of all bids completely, an entry shall be made of the invitation number, opening date and time, general description of the procurement items, and the total price bid where definite quantities are involved.

The official record shall be completed as soon as practical after bids have been opened and read aloud. AT shall be responsible for maintaining files of these records and abstracts for goods and service, professional services, and capital projects.

3. Tabulation of Bids

Bids shall be evaluated on the basis of responsiveness and responsibility indicated in the IFB. Award shall be made to the bidder submitting the lowest bid, unless NCTPA determines that the bid is not responsive and/or the bidder is found to be not responsible.

4. Analysis of Limited Bid Response

If one (1) bid has been received, the PM or AT will contact vendors to determine reasons for the single bids. The purpose of this examination is to ascertain and document the reason for the single bid. If the determination is that the IFB restricted competition, the procurement may be rebid. A price or cost analysis shall be performed to establish the reasonableness of the bid price before an award is made.

5. Determination of Responsiveness

- a. Any bid which fails to conform to the essential requirements of the invitation for bids, such as specifications, delivery schedule, warranty, or the required bid documents, shall be rejected as non-responsive.
- b. The originals of all rejected bids, and any written findings with respect to such rejections, shall be preserved in the file relating to the procurement.

6. Responsible Bidder Evaluation

Before awarding the contract, NCTPA shall determine that a prospective contractor is responsible and that prices are reasonable. Bidders may be asked to provide any information required to determine the responsibility of the bidder. A responsible bidder is one who meets the standards set forth below:

- a. Have adequate financial resources, or the ability to obtain such resources as required during performance of the contract.

- b. Is able to comply with the required or proposed delivery or performance schedule, taking into consideration all existing business commitments.
- c. Has a satisfactory record of performance. Contractors who are, or have been seriously deficient in current or recent contract performance, when the number of contracts and the extent of deficiency of each are considered, may be considered to be non-responsible bidders. Documented past unsatisfactory performance will ordinarily be sufficient to justify a finding of non-responsibility.
- d. Is otherwise qualified and eligible to receive an award under applicable laws and regulations.
- e. Has the necessary organization, experience, operational controls, and technical skills, or the ability to obtain them.
- f. Has the necessary production, construction, and technical equipment and facilities, or the ability to obtain them.

Evaluation of the responsibility of prospective contractors may be made based upon the following sources:

- i. A list of debarred, suspended or ineligible firms or individuals.
- ii. From the prospective contractor's bids and proposals, replies to questionnaires, financial data such as balance sheets, profits and loss statements, cash forecasts, and financial histories of the contractor and affiliated concerns; current and past production records, list of tools, equipment, and facilities, written statements or commitments concerning financial assistance and subcontracting arrangements.
- iii. Publications, including credit ratings, trade and financial journals, and business directories and registers may also be used.
- iv. References such as suppliers, subcontractors, customers of the prospective contractor, banks and financial institutions, commercial credit agencies, other government agencies, purchasing and trade associations, and better business bureaus and chamber of commerce.
- v. Documented past performance on contracts with NCTPA.

The procurement files will document the determination of responsive and responsible bidders.

7. Rejection of Individual Bids

Any bid that fails to conform to the essential requirements of the invitation for bids, such as specifications, delivery schedule, warranty, or the required bid documents, shall be rejected as non-responsive.

8. Award of the Contract

Unless all bids are rejected, award shall be by written or electronic notice, within the time for acceptance specified in the bid or extension thereof, to the responsible and responsive bidder whose bid, conforming to all the material terms and conditions of the IFB, is the lowest in price.

When award is made to other than the lowest bidder, NCTPA will document in the procurement files the reason for not choosing the lowest bid.

9. Project Completion

All original documentation related to each procurement such as the IFB, bid, control record, board report, ICE, background data, evaluation criteria and scores, meeting reports/notes, as well as the logs documenting bid opening dates and bid receipt dates will be submitted to the AT for storage when the file becomes inactive. For audit purposes, complete procurement files will be maintained for a minimum of five (5) years after the project is closed out and completed unless a different time period is mandated by a funding entity.

10. Request for Proposals (RFP) / Request for Qualifications (RFQ)

The Request for Proposals (RFP)/Request for Qualifications (RFQ) competitive procurement process is used when conditions are not appropriate for the use of an IFB. The latter is generally the case in the purchase of services such as lease agreements, maintenance and service contracts, rental contracts, and professional service contracts. The RFP/RFQ process for goods and services is coordinated by the AT and managed by the PM. The RFP/RFQ process for professional services is managed by the PM.

The RFP/RFQ process is a competitive negotiated procurement process that requires evaluation of offeror's proposed costs and understanding of the contract performance requirements in accordance with established evaluation criteria. The competitive negotiated procurement process does not require award to the lowest offeror.

a. Issuance of RFP and RFQ Packet

The RFP/RFQ packet will include the following:

- i. Instructions To Proposers - General instructions concerning the proposal format, pre-contractual expenses, contract conditions, pre-proposal conferences, and other information.
- ii. Attachments - Required forms to be completed by the proposer and submitted with the proposal.
- iii. Exhibits - These can be documents which display key facts, specifications, maps, report formats, and other important information to clearly define the goods or services needed in order for the proposers to properly respond to the RFP/RFQ.
- iv. Scope of Work - Each RFP/RFQ will contain a statement or scope of work prepared by the PM which provides a clear and accurate description of the technical requirements for the materials, products, or services being produced. A statement or scope of work should only state the actual minimum needs of NCTPA, and be developed in a manner designed to promote full and open competition. At a minimum, the statement or scope of work should address the following areas:
  - (i) A detailed description of the work to be performed outlining various tasks or phases to be performed, and defining the limits of the proposed project;
  - (ii) A requirement for periodic reporting or progress on the project if the procurement involves consultant or professional services;
  - (iii) A proposed delivery schedule; and,
  - (iv) A proposed contract period.
- v. Evaluation Criteria – Each RFP/RFQ will contain the criteria and method that will be used to select the successful proposer. If the selection is to be made by lowest price, that will be stated in the solicitation documentation. If the selection process will be a “best value” determination, the solicitation will state so and the relative significance of each criteria will also be included in the solicitation document.
  - (i) Evaluation criteria will be developed and fully modeled prior to the release of the RFP, along with the development of any scoring methodology/forms to be used by the evaluation panel. Any consideration of price in the criteria will include separate evaluation for operations and maintenance (O&M) costs, and capital/procurement costs, placing emphasis on the impact of O&M costs to NCTPA.

b. Control Record

A control record will be maintained by the AT in the procurement file as RFP packets are distributed to prospective bidders. The control record profiles the following information:

- i. Date and time RFP/RFQ packets are distributed.
- ii. Names and addresses of vendors receiving the RFP/RFQ and if applicable vendors attending a pre-proposal conference.

The control record serves as a mailing list for the issuance of addenda and provides a record for verification in cases of vendor protests and other issues.

c. Pre-Proposal Conference

A pre-proposal conference may be used as a means of briefing prospective proposers and explaining complicated specifications and requirements to them as early as possible after the RFP/RFQ has been issued and before the proposals are received. Any information distributed at the pre-proposal conference will be made available to all other prospective proposers in a reasonable time prior to the closing of the bid period, and a copy will be maintained in the procurement file. A roster of attendees at the pre-proposal conference will also be maintained in the procurement file as part of the control record. NCTPA will never require vendor attendance at a pre-proposal conference as eligibility for submitting a qualified proposal.

d. Evaluation and Selection Process

Proposals submitted in response to the RFP/RFQ will be evaluated by an Evaluation Committee established by NCTPA, in accordance with the criteria set forth in the RFP/RFQ. The Evaluation Committee shall score the proposals and make a recommendation for award of the contract. Original scoring forms, or summary records of the Evaluation Committee scoring, will be maintained in the procurement file.

11. Architectural / Engineering Services Request for Qualifications

The Architectural/Engineering RFQ qualifications-based process will be used for the procurement of architectural and engineering (A/E) services and related services such as program management, construction management, feasibility studies, preliminary engineering, design, surveying, mapping, or related services.

Following this method, competitors' qualifications are evaluated and the most qualified competitor is selected subject to negotiation of fair and

reasonable compensation. Under this method, NCTPA may not consider price as an evaluation factor in determining the most qualified offeror. Negotiation is conducted with only the most qualified offeror. This method, where price cannot be used as an evaluation factor and negotiations are conducted with only the most qualified offeror, can only be used in procurement of the above services. This method of procurement cannot be used to obtain other types of services even through a firm that provides the above types of services are also potential sources to perform other services.

a. Issuance of an “A/E” RFQ

A notice of an RFQ will be prepared by the AT and will be advertised as a public notice in a newspaper of general circulation and/or in an electronic format on a website that is accessible by the public and vendor community. Additional sources for posting the A/E RFP may include national and state print or online transit community publications.

b. Pre-proposal Conference

A pre-proposal conference may be used as a means of briefing prospective proposers and explaining complicated specifications and requirements to them as early as possible after the RFQ has been issued and before the proposals are received. Any information distributed at the pre-proposal conference will be made available to all other prospective proposers in a reasonable time prior to the closing of the bid period, and a copy will be maintained in the procurement file. A roster of attendees at the pre-proposal conference will also be maintained in the procurement file. NCTPA will require vendor attendance at a pre-proposal conference.

c. Evaluation and Contract Negotiation

The steps to be used for proposal evaluation and contract negotiation for A/E and related services solicitations are as follows:

- i. A qualified evaluation committee shall be established by the PM to review eligible firms and all responses to a RFQ. The evaluation committee is briefed by the PM on NCTPA procedures and instructed to maintain confidentiality about the proposal evaluation process.
- ii. Evaluation Committee evaluates the firms based on:
  - (A) Professional qualifications for performance of the required services;

- (B) Specialized experience and technical competence in the type work required;
- (C) Capacity to accomplish the work in the required time; and,
- (D) Past performance in terms of cost control, quality of work and compliance with performance schedules.

iii. Evaluation team holds discussions with the most highly qualified firms ("short list").

iv. Evaluation team prepares a selection report listing in order of preference, those firms that are considered to be the most highly qualified to perform the required services. The report should include a description of the discussions and evaluations by the team to allow the review of the basis upon which the recommendations were made. A copy of the selection report will be maintained in the procurement file.

v. The final selection shall be made by the PM or ED.

## 12. Sole Source Procurements

Sole source procurement is a purchase accomplished through solicitation or acceptance of a proposal from only one source; or, if after solicitation of a number of sources competition is determined inadequate. A sole source purchase must be documented as to the reasons why only one supplier is acceptable.

Sole source procurement may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids, or competitive proposals and at least one of the following circumstances applies:

- a. The item is available only from a single source;
- b. The public exigency or emergency (i.e., a threat to public health, welfare, safety, property or other substantial loss to NCTPA, or a situation requiring immediate action by NCTPA, as determined by NCTPA) for the requirement will not permit a delay resulting from competitive solicitation;
- c. FTA authorizes noncompetitive negotiations;
- d. After solicitation of a number of sources, competition is determined inadequate; or
- e. The item is an associated capital maintenance item as defined in 49 U.S.C. § 5307(a)(1) that is procured directly from the original

manufacturer or supplier of the item to be replaced. The grantee must first certify in writing to FTA:

- i. That such manufacturer or supplier is the only source for such item; and
- ii. that the price of such item is not higher than the price for such item by like customers.

A cost analysis must be conducted before an award of sole source contract.

The reasons for the sole source procurement and the cost analysis will be documented in the Procurement File.

13. Emergency Procurements

Emergency procurements (defined as purchases immediately necessary for the preservation of life or property, or to prevent an immediate termination of a critical NCTPA function or activity) will be handled immediately and expedited as required. The ED has the authority to approve the purchase of all goods and services in emergency conditions. If the ED is unavailable to authorize an emergency procurement, the ED may provide the PM with the necessary authorization. Upon completion of the emergency procurement, the PM will document the actions taken and execute a proper requisition.

14. Vendor Protest Procedures

Protest procedures will be included directly or by reference in all procurements. For procurements under \$100,000 vendors need to be directed to NCTPA's website where a copy of the protest procedures can be obtained. For procurements over \$100,000 the protest procedures will be included in the procurement solicitation.

a. NCTPA Protest Procedures

A protest must be submitted by an Interested Party no later than 7 business days prior to the date and time designated for submittal of bids or proposals or within 5 business days after the allegedly aggrieved person or party is notified of the intent to award or recommend award of the contract. If the fifth day falls on a Saturday, Sunday or holiday it shall be submitted by 5:00 p.m. the following business day. All protests must be in writing and shall contain the following:

- the procurement title and/or number under which the protest is made;

- the name and address of the allegedly aggrieved party;
- a detailed description of the specific grounds for the protest and all supporting documentation;
- the specific ruling or relief requested; and
- the written protest shall be addressed to Executive Director, NCTPA, 625 Burnell Street, Napa, CA 94559 with copies sent to all other bidders.

1) Response to Protest.

- i. Upon receipt of a timely written protest, the ED will consider the protest in accordance with established procedures and promptly issue a written decision stating the reasons for the action taken and informing the allegedly aggrieved person of his/her right to appeal the decision to the Chairman of the Board.
- ii. The decision made by the ED shall be final and conclusive unless appealed in writing to the Board Chair within 5 business days of receipt by the protestor. The Board Chair will consider the appeal and promptly issue a written decision, which shall be final and conclusive.
- iii. A Protestor may not commence litigation prior to exhausting all administrative remedies. Failure to exhaust all administrative remedies shall constitute an absolute waiver of the protestor's right, if any, to commence litigation.
- iv. Failure to comply with these protests and appeal requirements will render a protest or an appeal untimely or inadequate and may result in its rejection by NCTPA.
- v. After the exhaustion of all administrative remedies, the protestor shall have 10 calendar days to commence litigation. Failure to commence litigation within this limitation shall constitute an absolute waiver of the protestor's right. State laws permit NCTPA to award and execute the Contract during this 10-day period.
- vi. Public Work/Construction Contracts. For construction contracts awarded by the NCTPA Board, the protesting party may appear and be heard at the meeting during which the contract is scheduled for award. In the event a protesting party has been declared non-responsible, the protesting party is entitled to a public hearing before the Board.

b. FTA Appeals

*(Only if Federal funds are used in the procurement)*

- i. A protestor adversely affected by a decision of NCTPA may submit a protest to the Federal Transit Administration (FTA) in accordance with the provisions of FTA Circular 4220.1(F) or its successors,
- ii. Under the provision of the FTA Circular, FTA will only review protests regarding:
  - (i) The alleged failure of NCTPA to have written protest procedures or the alleged failure to have followed such protest procedures;
  - (ii) The alleged failure to review a complaint or protest; or,
  - (iii) Alleged violations of federal law or regulation.
- iii. In accordance with the FTA Circular, such protest must be filed no later than five (5) days after the protestor knew or should have known of NCTPA's alleged failure listed above.
- iv. NCTPA may proceed with procurement in spite of a pending protest to the FTA under the following conditions:
  - (i) The items to be procured are urgently required;
  - (ii) Delivery or performance will be unduly delayed by failure to make the award promptly; or,

Failure to make prompt award will otherwise cause undue harm to NCTPA or the Federal Government.

## **CHAPTER 4 CONTRACT ADMINISTRATION**

### **F. Contract Administration Guidelines**

1. NCTPA will originate the agreement.
2. Once a contract has been fully executed, a Notice to Proceed will be issued to initiate contract work.
3. All agreements will be assigned a contract number, which must be referred to on all orders and the contractor's invoices.
4. PM, ED and FD will approve all invoices before payment is issued.
5. For each contract over \$100,000 a contracting administrator will be assigned to monitor contract terms and conditions. The contract administrator and the project manager should not be the same individual.
6. A contract amendment is necessary for a change in scope of work, term or compensation and must be completed before additional work or payment is authorized.
7. A copy of the procurement document must be included with the contract files, including an explanation of the process used in procuring the goods or services.
8. The ED/PM will prepare a letter of completion for the NCTPA Board of Director's approval and recorded with the Napa County Recorder's office.

### **G. Federal Procurement Requirements**

FTA procurement requirements are set forth in FTA Circular 4220.1(F) and its successors. NCTPA will comply with all requirements and use the Circular as a supplement to these procedures.

When FTA issues new requirements, they will be incorporated into NCTPA's procurement procedures. Additionally, each year when NCTPA signs its Annual Certification and Assurances, it will review the FTA website to determine if changes need to be made to any of the procurement policies or procedures. Also, NCTPA will review FTA's list of required clauses, which should be in the triennial review handbook on the web site, to update the clauses used by NCTPA. A list of the clauses as of October 1, 2012 is included in Appendix A.

## **APPENDIX LIST**

- A. FTA Required Model Clauses
- B. Determination of Price Reasonableness
- C. Procurement File Checklist
- D. Procurement Documentation Checklist

DRAFT

## APPENDIX A: FTA Required Clauses

The FTA requires certain contract provisions for each procurement depending on the nature, type and value of the procurement. As the federal government makes regular updates to procurement guidelines and the clauses required in such, the ASO will reference the required clauses tables provided by the FTA either through the Best Practices Procurement Manual (BPPM) or the Triennial Review Program latest workshop workbook available through the FTA website.

Updated: April 2014

- Triennial Review Program FY2014 Workshop Workbook:  
[http://www.fta.dot.gov/documents/FY\\_2014\\_Triennial\\_Review\\_Workbook\\_Rev\\_2.pdf](http://www.fta.dot.gov/documents/FY_2014_Triennial_Review_Workshop_Workbook_Rev_2.pdf)
- Best Practices Procurement Manual:  
[http://www.fta.dot.gov/grants/13054\\_6037.html](http://www.fta.dot.gov/grants/13054_6037.html)
- Third Party Contract Requirements – FTA Circular 4220.1F  
[http://www.fta.dot.gov/documents/FTA\\_Circular\\_4220.1F.pdf](http://www.fta.dot.gov/documents/FTA_Circular_4220.1F.pdf)
- FTA Frequently Asked Questions Procurement and Contracting  
<http://www.fta.dot.gov/grants/14032.html>

**APPENDIX B: DETERMINATION OF PRICE REASONABLENESS**

PO/Contract Number: \_\_\_\_\_(If applicable)

Vendor: \_\_\_\_\_

Items Purchased: \_\_\_\_\_

The price(s) paid for item(s) received under this purchase are determined to be fair and reasonable, based on the following (as checked):

- Adequate competition
- Current price lists
- Catalog price
- Prices found reasonable on recent previous purchases
- Advertisements
- Similar items in a related industry
- Independent price estimate (based on a good understanding of what the item should cost)
- Other basis. Explain Below:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Prepared By: \_\_\_\_\_

Date: \_\_\_\_\_

## APPENDIX C: PROCUREMENT FILE CHECKLIST

### GENERAL INFORMATION

Procurement Summary Memo (utilize template)

- General Description of the Procurement Item
- Explanation of the choice of procurement being used
- Federal Clauses and Certifications Checklist
- Bid Number
- Procurement Control Record
  - Date/Time RFP is distributed
  - Names/Addresses of Vendors receiving such
- Independent Cost Estimate
- Price/Cost Analysis
- Bid Opening Date/Time
- Names of Bidders
- Bid prices
- Determination of Responsive and Responsible Bidders
- Bid Evaluation Information
- Original scoring forms, or summary records of the Evaluation Committee scoring
- Reason for not choosing the lowest bid, if such is not chosen
- California Secretary of State Business Entity Web Page Printout
- Santa Rosa Business License Number
- Selection Report

### IF APPLICABLE

- Buy America Certifications
- Lobbying Certifications
- EPLS Web Page Printouts
- Pre-Proposal Conferences
  - List of information made available
  - List of vendors attending

## APPENDIX D: PROCUREMENT DOCUMENTATION CHECKLIST

Contract #: \_\_\_\_\_

Date: \_\_\_/\_\_\_/\_\_\_

Project: \_\_\_\_\_

Contract Term: \_\_\_\_\_

### TAB 1 - Project Identification:

- Project planning and identification
- Rationale for method of procurement
- Selection of Contract Type
- Written narrative of Procurement (over \$100,000)

### TAB 2 - Solicitation Development:

- Independent Cost Estimate
- If only quotes required, check here
- State or local government purchasing schedule
- No geographic preferences
- Solicitation and specification development
- Appropriate supporting documentation
- Attachment of required federal clauses and certifications
- Bus Contract (less than five years)
- Progress payments-Provisions for title to property (materials, work in progress, and finished goods)
- Other provisions (e.g. performance bond)

### TAB 3 - Solicitation and Bid Opening:

- Advertisement of the solicitation (no geographic preference)
- Approved Equals/Request for Clarifications process
- Documentation of Pre-Bid Meeting
- Proposal(s) opening and recording (if Sole Source, include justification)
- Review of all proposals in accordance with selection criteria
- Evaluation of all Proposals for responsiveness
- Tabulation of Proposal documents including selection criteria
- Cost or Price Analysis
- Award Selection and Justification
- Basis for contract price
- No advanced payments
  - Advanced payment justification
  - FTA approval, if required
- Progress Payments
- Written notice of activity approval given to proceed

**TAB 4 - Award and Contract Administration:**

- Progress Payments
- Contract w/appropriate clauses and certifications.
- Document "Change Orders" and associated "Cost or Price Analysis"
- Modify and report to oversight agency the changes to milestones and anticipated closeout.

**TAB 5 - Project Closeout and Reimbursement:**

- Request documentation to advance to reimbursement process
- Finalize milestones
- Begin physical and administrative closeout proceedings
- Review final project file for completeness and file away
- Request approval for project closeout

Procurement Complete : \_\_\_\_\_ (Reviewer)

Date: \_\_\_/\_\_\_/\_\_\_

DRAFT



June 18, 2014  
NCTPA Agenda Item 9.3  
Continued From: New  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Danielle Schmitz, Senior Program Planner  
(707) 259-5968 / Email: [dschmitz@nctpa.net](mailto:dschmitz@nctpa.net)  
**SUBJECT:** Supplemental Work Authorization No. 1 to Contract 12-18 Work Authorization 12-18P001 SWA1 with the Fehr & Peers

---

### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board approve Supplemental Work Authorization No. 1 to Contract 12-18 Work Authorization 12-18P001 SWA1 with Fehr & Peers in an amount not to exceed \$21,140 and to extend the period of performance until December 31, 2014 for work associated with the Napa County Travel Behavior Study.

### **COMMITTEE RECOMMENDATION**

None.

### **EXECUTIVE SUMMARY**

In April 2013, the NCTPA Board approved the agreement with Fehr & Peers to conduct a Travel Behavior Study. This study was desired to inform the Countywide Transportation Plan and to better understand travel behaviors and patterns throughout the county. Unlike the Napa-Solano Travel Demand Model, which solely looks at peak commute volumes Monday through Friday, the study looked at several different data sources to understand how residents, workers, and visitors move throughout the county.

Amendment No. 1 to the Fehr & Peers contract will extend the term of the agreement to December 31, 2014 and increase funding by \$21,140. Due to limited winery participation in the initial data collection (fall 2013) the Napa County Winegrowers in partnership with the Napa Valley Vintners will be providing funding for additional winery data collection. NCTPA is also funding additional vehicle counts at the south end of the county to understand any impacts widening of Jameson Canyon (anticipated to be

completed in August 2014) has on travel behavior. After the additional data have been compiled, Fehr & Peers will present their findings to the Board.

### **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

### **FISCAL IMPACT**

Is there a Fiscal Impact?      \$21140

### **CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

### **BACKGROUND AND DISCUSSION**

The Napa Travel Behavior Study focuses on vehicle trips throughout Napa County. The survey will help identify how many trips per day are associated with visitors, employees, and students, where those trips start and end, the predominant modes of travel, vehicle occupancies, and times of day/week that have the heaviest traffic volumes.

To better inform the study the consultants pulled from several different data sources. Data sources included, basic traffic counts at selected locations, mailed surveys based on the capture of license plate numbers, cell phone tracking data (information about where a sample of vehicles travel within Napa County without identifying the owner/driver, and finally, detailed intercept interviews at selected locations, including 12 wineries throughout the county. Also, included in the study was a detailed employee survey that received over 1,400 responses. This survey along with the mailed survey provided information on how likely workers and visitors would use other modes of transportation to get to and from their destinations.

The Napa County Travel Behavior Study aimed to collect data from 30 plus wineries but was only successful in gaining 12 participants. After discussions with the Napa County Winegrowers and Vintners it was decided additional data to supplement the winery piece of the study would provide more useful data. The Napa Winegrowers/Napa Valley Vintners will be providing \$18,400 to supplement the additional work. NCTPA will also be funding an additional \$2,740 to capture vehicle counts at Jameson Canyon and Highway 29 and American Canyon Road and Highway 29 once Highway 12 through Jameson Canyon is fully operational.

**SUPPORTING DOCUMENTS**

Attachment: (1) Supplemental Work Authorization No. 1 to Contract 12-18 Work  
Authorization 12-18P001 SWA1 with Fehr & Peers

**SUPPLEMENTAL WORK AUTHORIZATION NO. 1  
TO WORK AUTHORIZATION NO. P001  
CONTRACT FOR PROFESSIONAL PLANNING SERVICES**

**THIS SUPPLEMENTAL WORK AUTHORIZATION** is made pursuant to the terms and conditions of Section of Professional Service Agreement No. **12-18** with Work Authorization No. **P001** (the Contract) entered into by and between the Napa County Transportation and Planning Agency (NCTPA), and Fehr & Peers (the Planner).

**RECITALS**

**WHEREAS**, in April 2013 NCTPA tasked the Planner to perform services generally described as Professional Planning Services necessary to provide NCTPA with On-Call Planning Services in accordance with the project description; and

**WHEREAS**, the Work Authorization term was scheduled to expire in June 2014; and

**WHEREAS**, the parties desires to amend the Work Authorization to extend the term and total compensation further in order to provide Planner with the opportunity to complete additional services as set forth in the Work Authorization; and

**WHEREAS**, NCTPA requires additional data collection and analysis to be completed under EXHIBIT B, Scope of Work. Task 5; and

**WHEREAS**, the Planner requires additional \$21,140 to complete the additional data collection and analysis as required by NCTPA,

**TERMS**

**NOW, THEREFORE**, the NCTPA and Planner agree to amend the Work Authorization as follows:

1. **PART I** of the Work Authorization is amended to incorporate the supplemental services as described in the scope of work under EXHIBIT B-1.
2. **PART II** of the Work Authorization is replaced in its entirety to read:

**PART II.** The maximum amount payable under this Work Authorization is **\$219,940**, and the method of payment is Labor Rates, as set forth in EXHIBIT B of the Contract, This amount is based upon fees set forth in EXHIBIT D, Fee Schedule of the Contract and the Planner’s estimated Work Authorization costs, attached and made part of this Work Authorization.

3. **PART IV** of the Work Authorization is replaced in its entirety to read:

**PART IV.** This Work Authorization shall become effective on the date of final acceptance of the parties hereto and **shall terminate on December 31, 2014**, unless extended by a supplemental Work Authorization.

4. Except as set forth above, the terms and conditions of the Work Authorization shall remain in full force and effect as previously approved.

///

**IN WITNESS WHEREOF**, this Supplemental Work Authorization is executed in duplicate counterparts and hereby accepted and acknowledged below.

**THE PLANNER**

**NCTPA**

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Title),

\_\_\_\_\_  
(Title),

\_\_\_\_\_  
Kate Miller, Executive Director

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Date)

APPROVED AS TO FORM

\_\_\_\_\_  
Janice D. Killion, NCTPA Counsel



June 10, 2014

Mr. Eliot Hurwitz  
Program Manager for Planning  
Napa County Transportation and Planning Agency  
625 Burnell Street  
Napa, California 94559

**Re: *Additional Traffic Count Data and Winery Regression Analysis for the Napa County Travel Behavior Study***

Dear Mr. Hurwitz:

Fehr & Peers appreciates the opportunity to provide additional services for the Napa County Travel Behavior Study in Napa County, California. Based on discussions with Napa County Transportation and Planning Agency (NCTPA) staff, we will collect additional traffic count data and complete additional winery regression analysis as described below.

## SCOPE OF WORK

Traffic counts will be collected at up to 40 existing Napa County winery driveways over a single 7-day period (Thursday through Wednesday). Traffic counts will be collected, to the extent possible, at the 12 winery driveways where traffic counts were collected in October 2013 to develop seasonal factors that will be applied to traffic counts collected at additional winery driveways. The seasonal factors will allow us to adjust the new counts so that they will reflect the peak winery conditions observed in October. The final number and location of winery driveways where traffic counts will be collected along with the dates for data collection will be provided by NCTPA staff. The traffic count sheets, seasonal factors, and a tabular summary of daily inbound/outbound vehicle count data will be provided to NCTPA staff.

Simple linear regression analysis will then be used to determine separate Monday to Thursday, Friday, Saturday, and Sunday regression formulas for the dependent variable (vehicle trip generation) based on the independent variables (square footage, annual gallons produced, number of parking spots, number of employees, whether the winery is located on the valley floor, and whether the winery requires advanced appointments). Data for the independent variables has already been provided by NCTPA staff.



Upon completion of the simple linear regression analysis, the Winery Regression Analysis Chapter of the *Survey Results and Data Analysis Report* (April 2014) will be updated. This update will include potential changes to winery regression coefficients, winery regression performance, and daily winery trip generation estimates for winery parcels in Napa County.

Additionally, the final absolute origin-destination trip tables for personal automobile trips from the mobile device data analysis will be refined to reflect the new daily winery trip generation estimates.

Traffic count data will also be collected at the two locations listed below over a 24-hour period on a Friday. The data will be analyzed and compared to Friday traffic count data collected at the same two locations in October 2013 to determine potential shifts in traffic patterns after the completion of the SR 12 Jameson Canyon Road Widening Project. Historic traffic count data, to the extent possible, will also be collected to help determine and account for the effects of seasonal variation on the observed shifts in traffic patterns. A discussion and table summarizing the observed shifts in traffic patterns will be incorporated into the *Survey Results and Data Analysis Report* (April 2014).

- SR 29 North of American Canyon Road
- SR 12 at the Napa/Solano County Line

## SCHEDULE AND FEE

The schedule and fee described below is based on traffic counts being collected at 40 existing Napa County winery driveways. The fee for direct costs will be adjusted based on the final number of driveway locations.

In consideration of the services described above, Fehr & Peers is requesting a fee of \$21,140.



Tasks	Project Manager	Planner	Direct Costs	Total
	\$185	\$135	\$295 per location	
Collect Traffic Counts at 40 Driveway Locations	0	0	\$11,800	\$11,800
Summarize Traffic Count Data	1	4	\$0	\$700
Perform Winery Regression Analysis	6	20	\$0	\$3,800
Update Report and Trip Tables	4	10	\$0	\$2,100
Collect Traffic Counts at 2 Highway Locations	0	0	\$340	\$340
Analyze Data and Update Report	4	12	\$0	\$2,400
<b>Total</b>	<b>15</b>	<b>46</b>	<b>\$12,140</b>	<b>\$21,140</b>

We can submit the traffic count data, updated report, and refined origin-destination trip tables within four weeks of the traffic count data being collected. This work will be performed under the terms and conditions of our prior agreement.

If you have any questions or comments, please call Kevin Johnson (925-930-7100).

Sincerely,

FEHR & PEERS

Julie Morgan  
*Principal*

ACCEPTED BY:

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Company: \_\_\_\_\_

Date: \_\_\_\_\_

Kevin Johnson  
*Senior Transportation Planner*



June 18 2014  
NCTPA Agenda Item 9.4  
Continued From: New  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Eliot Hurwitz, Program Manager-Planning  
(707) 259-8782/ Email: [ehurwitz@nctpa.net](mailto:ehurwitz@nctpa.net)  
**SUBJECT:** Second Amendment to the Napa County Transportation and Planning Agency (NCTPA) Agreement No. 12-10 with Dyett and Bhatia, Urban and Regional Planners

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board approve the Second Amendment to the Napa County Transportation and Planning Agency (NCTPA) Agreement No. 12-10 with Dyett and Bhatia, Urban and Regional Planners (Attachment 1) to extend the period of performance to December 31, 2014 for work associated with the SR29 Gateway Corridor Improvement Plan Study.

### **COMMITTEE RECOMMENDATION**

None.

### **EXECUTIVE SUMMARY**

In July 2012, the NCTPA Board approved a contract with Dyett and Bhatia to conduct the SR29 Gateway Corridor Improvement Plan Study. This study is funded by a CalTrans Planning Grant plus additional funds from the City of American Canyon and from NCTPA's Planning Programming and Monitoring fund.

A first amendment to the contract was approved on January 15 and added \$33,582.40 to the contract for additional modeling work.

The second Amendment will extend the term of the agreement to December 31, 2014.

**PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

**FISCAL IMPACT**

Is there a Fiscal Impact?      No.

**CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

**BACKGROUND AND DISCUSSION**

NCTPA obtained a Caltrans "Community Based Transportation Planning" (CBTP) grant to develop a "Gateway Corridor Improvement Plan" for 13.3 miles of the SR 29 corridor between the City of American Canyon and the multi-modal transit center in north Napa. A principal objective of this project has been to make sure that future planning in this corridor is aligned with the vision of the community and that Caltrans has also understood and agreed with this vision. The NCTPA Board accepted a Draft version of this Plan in February 2014.

Following completion of major work on the project, it was determined that additional studies would be valuable, focusing on the stretch of SR29 that passes through the City of American Canyon. This will involve the use of a much more detailed computer model to examine the full picture of each of the intersections along SR29 and will show how two possible designs ("Boulevard" and "Modified Boulevard") will perform, including pedestrian and bicycle movements. Following the completion of these additional studies, a final version of the Plan will be presented to the NCTPA Board for adoption. The second modeling exercise and public outreach associated with it has taken longer than anticipated. The extension of the contract will allow the consultant and staff team to complete the study without any additional cost to the agency.

**SUPPORTING DOCUMENTS**

Attachment: (1) Second Amendment to the Napa County Transportation and Planning Agency (NCTPA) Agreement No. 12-10

**SECOND AMENDMENT TO  
NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (“NCTPA”)  
AGREEMENT NO. 12-10**

**THIS SECOND AMENDMENT TO NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (“NCTPA”) AGREEMENT NO. 12-10** herein after referred to as “Agreement” is made and entered into as of this 18<sup>th</sup> day of **June, 2014** between the NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (hereinafter referred to as “NCTPA”), and Dyett & Bhatia, Urban and Regional Planners, whose mailing address is Suite 400, 755 Sansome Street, San Francisco, CA 94111, hereinafter referred to as “CONTRACTOR”;

**RECITALS**

**WHEREAS**, in July 2012 NCTPA contracted for specialized services, as authorized by Government Code Section 31000, in order to **prepare and complete the SR29 Gateway Corridor Improvement Plan Study**; and

**WHEREAS**, the Agreement term was scheduled to expire in June 30, 2014; and

**WHEREAS**, the parties desire to amend the Agreement to extend the term without increasing the total maximum compensation in order to provide CONTRACTOR with the opportunity to complete services as set forth in the Agreement,

**TERMS**

**NOW, THEREFORE**, the NCTPA and CONTRACTOR agree to amend the Agreement as follows:

1. Paragraph 1 of the Agreement is replaced in its entirety to read:

1. **Term of the Agreement.** The term of this Agreement shall commence on the date first above written and **shall expire on December 31, 2014** unless terminated earlier in accordance with Paragraphs 9 (Termination for Cause), 10 (Termination for Convenience) or 23(a) (Covenant of No Undisclosed Conflict); except that the obligations of the parties under Paragraphs 7 (Insurance) and 8 (Indemnification) shall continue in full force and effect after said expiration date or early termination in relation to acts or omissions occurring prior to such dates during the term of the Agreement, and the obligations of CONTRACTOR to NCTPA shall also continue after said expiration date or early termination in relation to the obligations prescribed by Paragraphs 15 (Confidentiality), 20 (Taxes) and 21 (Access to Records/Retention).

2. Except as set forth above, the terms and conditions of the Agreement shall remain in full force and effect as previously approved.

**IN WITNESS WHEREOF**, this Agreement was executed by the parties hereto as of the date first above written.

"NCTPA"

"CONTRACTOR"

NCTPA, a joint powers authority organized under the laws of the State of California

Dyett & Bhatia  
Urban and Regional Planners

By \_\_\_\_\_  
Kate Miller, Executive Director

By \_\_\_\_\_  
Rajeev Bhatia, Principal/President

ATTEST:

By \_\_\_\_\_  
Karalyn E. Sanderlin, NCTPA Board Secretary

Approved as to Form:

By \_\_\_\_\_  
Janice Killion, NCTPA Legal Counsel



June 18, 2014  
NCTPA Agenda Item 9.5  
Continued From: New

**Action Requested: INFORMATION/ACTION**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Diana Meehan, Assistant Program Planner/Administrator  
707-259-8327, [dmeehan@nctpa.net](mailto:dmeehan@nctpa.net)  
**SUBJECT:** Second Amendment to Napa County Transportation and Planning Agency (NCTPA) Agreement No. 13-12 ERBCO Construction Services, Inc.

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board approve the Second Amendment to Napa County Transportation and Planning Agency (NCTPA) Agreement No. 13-12 with ERBCO Construction Services, Inc. (Attachment 1) to extend the period of performance to September 30, 2014 for work associated Soscol Gateway Transit Center Hub Signage project.

### **COMMITTEE RECOMMENDATION**

None.

### **EXECUTIVE SUMMARY**

NCTPA entered into Agreement No. 13-12 with ERBCO Construction Services, Inc. to manufacture and install various types of information and wayfinding signage at the Soscol Gateway Transit Center. The project was scheduled to be completed in June 2014, but because of various delays with shipment and installation of the Real Time Displays, the project will require additional time for fabrication, installation and completion. A formal request for contract extension beyond June 30, 2014 was made by ERBCO construction on May 29, 2014.

The amendment approves a contract extension of ninety (90) days with ERBCO construction for the Soscol Gateway Transit Center Hub Signage Project through September 30, 2014.

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**PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comments
3. Motion, Second, Discussion and Vote

**FINANCIAL IMPACT**

Is there a fiscal impact? No

**CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

**BACKGROUND AND DISCUSSION**

On October 29, 2013 ERBCO Construction Company was awarded the contract for the Soscol Gateway Hub Signage Project. Due to scheduling conflicts, ERBCO was unable to begin work within 15 days of the contract execution. A contract amendment for 270 days from original contract date was executed December 18, 2013 to allow time for the project completion.

Further delays were experienced with delivery of products for the project, primarily the Real Time Displays. When the Real Time Displays arrived, staff identified defects in the base stands. ERBCO subsequently instructed new base stands to be fabricating which is the primary source of the most recent delay. ERBCO construction made a formal request for contract extension on May 29, 2014 to allow adequate time to complete fabrication and installation of all signage for the project.

The Second Amendment approves a contract extension of ninety (90) days, through September 30, 2014, with ERBCO Construction Services, Inc. for work associated with the Soscol Gateway Transit Center Hub Signage Project.

**SUPPORTING DOCUMENTS**

Attachment: (1) Second Amendment to Napa County Transportation and Planning Agency (NCTPA) Agreement No. 13-12

**SECOND AMENDMENT TO  
NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (“NCTPA”)  
AGREEMENT NO. 13-12**

**THIS FIRST AMENDMENT TO NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (“NCTPA”) AGREEMENT NO. 13-12** herein after referred to as “Agreement” is made and entered into as of this **18th day of June, 2014** between the NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (hereinafter referred to as “NCTPA”), and ERBCO Construction Services, Inc., whose mailing address is 433 35<sup>th</sup> Avenue, San Francisco, CA 94121, hereinafter referred to as "CONTRACTOR";

**RECITALS**

**WHEREAS**, in September 2013 NCTPA contracted for construction services, as authorized by Government Code Section 31000, in order to provide NCTPA with work associated with the Soscol Gateway Transit Center Hub Signage Project; and

**WHEREAS**, the Agreement term is scheduled to expire in June 2014; and

**WHEREAS**, the parties desire to amend the Agreement to extend the term in order to provide CONTRACTOR with the opportunity to complete the services as set forth in the Agreement,

**TERMS**

**NOW, THEREFORE**, the NCTPA and CONTRACTOR agree to amend the Agreement as follows:

1. Section 4.1 BEGINNING OF WORK is replaced in its entirety to read:

The Contractor shall begin work within 15 calendar days after receipt of a Notice to Proceed. This work shall be diligently prosecuted to completion before the **expiration of 360 days** beginning on the fifteenth calendar day after approval of the contract.

1. Except as set forth above, the terms and conditions of the Agreement shall remain in full force and effect as previously approved.

///

///

**IN WITNESS WHEREOF**, this Agreement was executed by the parties hereto as of the date first above written.

"NCTPA"

"CONTRACTOR"

NCTPA, a joint powers authority organized under the laws of the State of California

ERBCO Construction Services, Inc.

By \_\_\_\_\_  
Kate Miller, Executive Director

By \_\_\_\_\_  
Harry N. How III

ATTEST:

By \_\_\_\_\_  
Karalyn E. Sanderlin, NCTPA Board Secretary

Approved as to Form:

By \_\_\_\_\_  
Janice Killion, NCTPA Legal Counsel



June 18, 2014  
NCTPA Agenda Item 9.6  
Continued From: New  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Tom Roberts, Program Manager-Public Transit  
(707) 259-8635/ Email: [troberts@nctpa.net](mailto:troberts@nctpa.net)  
**SUBJECT:** First Amendment to Napa County Transportation and Planning Agency (NCTPA) Memorandum of Understanding (MOU) with the Calistoga Tourism Business Improvement District (CTBID)

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board:

- (1) Approve the First Amendment to Napa County Transportation and Planning Agency (NCTPA) Memorandum of Understanding (MOU) (Attachment 1) with the Calistoga Tourism Business Improvement District (CTBID) adding an additional bus to the Calistoga Shuttle public transit service on Fridays and Saturdays between the hours of noon and 11 PM from June 18 through October 31, 2014.
- (2) Adopt Resolution No. 14-14 increasing the FY 2014-15 budget by \$24,697 in public transit services to allow for payment for increased transit services in Calistoga.

### **COMMITTEE RECOMMENDATION**

None

### **EXECUTIVE SUMMARY**

In April 2012 the Board approved an MOU with the CTBID as part of a funding package to enhance the days and hours of operation of the Calistoga Shuttle. Demand for the service has been robust to the extent that on Fridays and Saturdays demand has outstripped service capacity. At this time the CTBID has offered to fund the addition of a second vehicle into service on Fridays and Saturdays between the hours of noon and 11 PM for the months of June through October, 2014.

## **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

## **FISCAL IMPACT**

Is there a Fiscal Impact? Yes. \$25,697 in expenditures and revenues. NCTPA will receive \$25,697 in revenues through local contributors.

Is it currently budgeted? No.

Is it mandatory or discretionary? Discretionary

Consequences if not approved: Extended service in Calistoga cannot be completed.

## **CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

## **BACKGROUND AND DISCUSSION**

CTBID approached NCTPA for extended service to meet increased demand. Specifically, weekend service has been so successful that an additional vehicle is required to meet new demand. If approved, the new service would add an additional vehicle on Fridays and Saturdays between noon and 11 PM between June 18<sup>th</sup> and October 31, 2014. The extended service cost is \$25,697 and will be fully funded by CTBID.

## **SUPPORTING DOCUMENTS**

Attachments: (1) Memorandum of Understanding  
(2) Resolution No. 14-14

**FIRST AMENDMENT TO  
NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (“NCTPA”)  
MEMORADUM OF UNDERSTANDING (MOU) WITH THE CALISTOGA TOURISM  
BUSINESS IMPORVEMENT DISTRICT (“CTBID’)**

**THIS FIRST AMENDMENT TO NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY / CALISTOGA TOURISM BUSINESS IMPORVEMENT DISTRICT MEMORADUM OF UNDERSTANDING** herein after referred to as “MOU” is made and entered into as of this 18th day of **June, 2014** between the NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (hereinafter referred to as “NCTPA”), and **THE CALISTOGA TOURISM BUSINESS IMPORVEMENT DISTRICT** (hereinafter referred to as “CTBID”),

**RECITALS**

**WHEREAS**, in April 2012 NCTPA entered into an MOU with the CTBID for the funding of augmented days and hours of operation of the Calistoga Shuttle; and

**WHEREAS**, the CTBID desires to further increase supplemental service; and

**WHEREAS**, the parties desire to amend the MOU to allow for the provision of additional transit service,

**TERMS**

**NOW, THEREFORE**, the NCTPA and CTBID agree to amend the MOU as follows:

1. Section III of the MOU is replaced in its entirety to read:
  - A. The CTBID shall pay \$2,533 monthly toward the operation of the Calistoga Shuttle;
  - B. NCTPA shall manage and operate the Calistoga Shuttle and provide service as follows:

Friday between 9 PM and 11 PM, Saturday between 5 PM and 11 PM Sunday between 11 AM and 9 PM (May 1 - November 30).
  - C. The CTBID shall pay \$4,939.39 monthly toward the operation of a second vehicle operating Fridays and Saturdays, noon to 11 PM, during the months of June through October. Costs assessed for this item for any partial month shall be pro-rated.
  - D. NCTPA shall provide, and the TBID shall distribute, "free ride" passes to be distributed by visitor serving business in Calistoga only to out of town guests.

2. Except as set forth above, the terms and conditions of the MOU shall remain in full force and effect as previously approved.

**IN WITNESS WHEREOF**, this MOU was executed by the parties hereto as of the date first above written.

“NCTPA”

“CTIB”

NCTPA, a joint powers authority organized under the laws of the State of California

By \_\_\_\_\_  
Kate Miller, Executive Director

By \_\_\_\_\_  
Michael Quast, Chair

ATTEST:

By \_\_\_\_\_  
Karalyn E. Sanderlin, NCTPA Board Secretary

Approved as to Form:

By \_\_\_\_\_  
Janice Killion, NCTPA Legal Counsel

**RESOLUTION No. 14-14**

**A RESOLUTION OF THE  
NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (NCTPA)  
AMENDING THE FY 2014-15 BUDGET TO INCREASE APPROPRIATION  
OF PUBLIC TRANSIT SERVICES BY \$24,697**

**WHEREAS**, the Napa County Transportation and Planning Agency (NCTPA) is designated the countywide transportation planning agency responsible for Highway, Streets and Roads, and transit planning and programming within Napa County; and

**WHEREAS**, the NCTPA Board of Directors reviews and approves a budget routinely for all transit services including fixed route, deviated route, paratransit, and taxi subsidy as well as NCTPA administration and planning; and

**WHEREAS**, the NCTPA Board of Director's approved expanded service for the Calistoga Shuttle on Fridays and Saturdays June 18through October 31, 2014; and

**WHEREAS**, the budget for the increase in transit services in Calistoga will increase by \$24,697; and

**WHEREAS**, the additional costs will be funded from local contributions; and

**NOW, THEREFORE, BE IT RESOLVED**, that the NCTPA Board of Directors amend the FY 2014-15 Budget and increase the appropriation by \$24,697 for public transit expenditures in fund 8300 and authorize the Executive Director to take all necessary actions to secure local resources and to execute contracts with Member Agencies or funding entities as necessary.

Passed and Adopted the 18<sup>th</sup> day of June, 2014.

\_\_\_\_\_  
Keith Caldwell, NCTPA Chair

Ayes:

Nays:

Absent:

ATTEST:

\_\_\_\_\_  
Karalyn E. Sanderlin, NCTPA Board Secretary

APPROVED:

\_\_\_\_\_  
Janice Killion, NCTPA Legal Counsel



June 18, 2014  
NCTPA Agenda Item 9.7  
Continued From: New  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Antonio Onorato, Program Manager-Finance  
(707) 259-8779 / Email: [anonorato@nctpa.net](mailto:anonorato@nctpa.net)  
**SUBJECT:** Resolution No. 14-15 Authorizing the FY 2014-15 Blanket Purchase Agreements (BPAs) for Planning and Transit Services

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board approve Resolution No. 14-15 (Attachment 1) approving the FY 2014-15 blanket purchase agreements (BPAs) for the Planning (CMA) and Public Transit fund for reoccurring and routine various vendor services.

### **COMMITTEE RECOMMENDATION**

None

### **PROCEDURAL REQUIREMENTS**

1. Staff Reports
2. Public Comment
3. Motion, Second, Discussion and Vote

### **EXECUTIVE SUMMARY**

A component of NCTPA's annual budget process, the NCTPA Board reviews service agreements and blanket purchase agreements for continued expenditure approval. Based upon state law, professional service agreements and BPAs that exceed \$10,000 aggregate must be reviewed by the NCTPA Board.

BPAs are established for the year based upon the previous year's experience. BPAs are designed to renew annually.

In FY 2013-14, NCTPA programmed (not to exceed) \$2,028,400 for its BPA expenditures for 60 vendors. The Agency has decided to increase the BPA list to include vendors that provide services to NCTPA on a regular such as printing, office supplies, fuel, telecommunications and utilities. The number of vendors for FY2014-15 has increased to eighty four (84) vendors. Based upon increased volume of vendors, the total BPA expenditure for FY 2014-15 is expected to be (not to exceed) \$2,251,000.

These expenses itemized in the FY 2014-15 budget and do not represent a request for new or additional funding. Table 2 in Attachment 2 provides a year over year comparison.

### **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

### **FISCAL IMPACT**

Is there a Fiscal Impact? Yes, \$2,251,000. Net impact is \$0. The amounts in the BPAs are included in the FY 2014-15 budget and therefore there is no request for additional funding.

Is it Currently Budgeted? Yes

Where is it budgeted? FY 2014-15 NCTPA budget

Is it Mandatory or Discretionary? Discretionary

Future Fiscal Impact: No. BPAs are approved for a (fiscal) year and must be approved annually.

Consequences if not approved: The agency may spend a disproportionate amount of resources procuring items of a routine nature. Funds for these expenses are included in the budget.

### **CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

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## **BACKGROUND AND DISCUSSION**

A BPA is a simplified method of fulfilling anticipated repetitive needs for supplies or services by establishing "charge accounts" with qualified suppliers. Contracting Officers may establish BPAs when there are a wide variety of items in a broad class of supplies or services that are generally purchased, but the exact items, quantities and delivery requirements are not known in advance.

As a purchasing option, BPAs eliminate contracting and open market costs as the search for sources, the need to prepare solicitations, and the requirement to synopsize the acquisition, rendering the public procurement process more efficient and cost effective.

BPAs also:

- Provide opportunities to negotiate improved discounts
- Satisfy recurring requirements
- Reduce administrative costs by eliminating repetitive acquisition efforts
- Permit ordering activities to leverage buying power through volume purchasing
- Enable ordering activities streamlined ordering procedures
- Reduce procurement lead time
- Permit ordering activities the ability to incorporate terms and conditions not in conflict with the underlying contract

## **SUPPORTING DOCUMENTS**

Attachments: (1) Resolution No. 14-15  
(2) NCTPA Blanket Purchase Agreement Summary Sheet July1, 2014-  
June 30, 2015

**RESOLUTION No. 14-15**

**A RESOLUTION OF THE  
NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (NCTPA)  
AUTHORIZING THE APPROVAL OF  
FY 2014-15 BLANKET PURCHASE AGREEMENTS (BPA)  
FOR PURCHASES OF A ROUTINE NATURE, GOODS AND SERVICES BY SINGLE  
SOURCE SUPPLIERS, SERVICES PROVIDED BY VENDORS AND  
PROFESSIONAL SERVICES PREVIOUSLY APPROVED BY THE BOARD OF DIRECTORS**

**WHEREAS**, the Napa County Transportation and Planning Agency (NCTPA) is the Congestion Management Authority (CMA) and the designated provider of public transit services countywide, operating the VINE, VINE Go Paratransit, American Canyon Transit, Calistoga Shuttle, St. Helena Shuttle, Taxi Scrip Program and Yountville Trolley; and

**WHEREAS**, on May 21, 2014, the NCTPA Board of Directors approved the FY 2014-15 NCTPA Budget including operations, planning and administration; capital programs; and

**WHEREAS**, Blanket Purchase Agreements are set up for the year based upon the previous year’s experience and may be subject to additions or deletions of vendors services; and

**WHEREAS**, the budget provides authorized funding for a variety of supplies and services of a routine nature, goods and services by a single source supplier and professional services from single source suppliers:

**NOW, THEREFORE, BE IT RESOLVED**, that the Napa County Transportation and Planning Agency approves the FY 2014-15 BPA total not to exceed \$2,251,000.

Passed and adopted this 18th day of June 2014.

\_\_\_\_\_  
Keith Caldwell, NCTPA Chair

Ayes:

Nays:

Absent:

ATTEST:

\_\_\_\_\_  
Karalyn E. Sanderlin, NCTPA Board Secretary

APPROVED AS TO FORM:

\_\_\_\_\_  
Janice D. Killion, NCTPA Legal Counsel

Napa County Transportation & Planning Agency  
Blanket Purchase Agreement Summary Sheet  
July 1, 2014 to June 30, 2015

No.	Vendor (Expense Budget Line Item)	Expense Category	2014-15 Amount Not to Exceed	2013-14 Amount Not to Exceed
1	Ace Harware	Maintenance: Building & Improv	\$500	\$500
2	Alexis Baking Company	Office Expenses	\$200	\$200
3	Alkar	Temporary/Contract Help	\$10,000	\$10,000
4	<a href="#">American Public Transit Assoc</a>	Memberships/Certifications	\$16,500	\$0
5	Artina Promotional Products	Office Expenses	\$2,000	\$2,000
6	<a href="#">Aaron's Signs</a>	Advertising/Marketing	\$1,500	\$0
7	Astro Business Solutions	Printing	\$5,000	\$5,000
8	at&t	Communications/Telephone	\$4,500	\$4,500
10	Black Tie, NV Cab, Yellow Taxi	Other Professional Services	\$150,000	\$150,000
11	Born to Age	Printing & Binding	\$2,000	\$2,000
12	<a href="#">California Transit Assoc</a>	Memberships/Certifications	\$6,500	\$0
13	Cardenas, Jose	Software Maintenance	\$2,000	\$2,000
14	<a href="#">Career Alliance</a>	Extra Help	\$4,000	\$0
15	CDW Government	Office Expenses	\$1,200	\$1,200
16	Classic Car Wash	Maintenance: Equipment	\$600	\$600
17	<a href="#">Clean Energy</a>	Fuel	\$200,000	\$0
19	<a href="#">Coast Radio Company</a>	Advertising/Marketing	\$2,500	\$0
20	Comcast	Communications/Telephone	\$1,300	\$1,300
21	<a href="#">Comcast Spotlight</a>	Advertising/Marketing	\$5,000	\$0
22	<a href="#">Compass Litho</a>	Printing	\$25,000	\$0
23	Copy Corner	Printing	\$10,000	\$10,000
24	<a href="#">Dave Malone</a>	Advertising/Marketing	\$1,500	\$0
25	De lage Landen	Rents & Leases: Equipment	\$1,600	\$1,600
26	<a href="#">Dream Rider Elevator</a>	Maintenance: Building & Improvements	\$500	\$0
27	<a href="#">Facebook</a>	Advertising/Marketing	\$12,000	\$0
28	Fastrak	Business Travel/Mileage	\$1,000	\$1,000
29	Federal Express	Postage	\$600	\$600
30	Filippi's	Office Expense or Advertising/Marketing	\$400	\$400
31	<a href="#">First Alarm</a>	Security Services	\$500	\$0
32	FluidNRG	Software Maintenance: Website	\$5,000	\$5,000
33	Frye's Printing	Printing	\$15,000	\$15,000
34	Garda Armored Services	Security	\$10,000	\$10,000
35	Gov Delivery	Office Expense	\$2,400	\$2,400
36	<a href="#">Government Finance Officers Assoc</a>	Memberships/Certifications	\$400	\$0
37	Guardian	Employee Benefits: Dental & Life Insurance	\$20,400	\$20,400
38	<a href="#">Gutenberg Transfer</a>	Printing	\$1,500	\$0
39	Holman Group	Other Employee Benefits	\$3,600	\$3,600
40	<a href="#">IDVille</a>	Office Supplies	\$200	\$0
41	iHWY	Books/Media/Periodicals/Subscriptions	\$3,600	\$3,600
42	<a href="#">Insight Public Sector</a>	Office Supplies/Software	\$3,000	\$0
43	Jiffy Lube	Maintenance: Equipment	\$3,000	\$3,000
44	<a href="#">KRCB North Bay Public Media</a>	Advertising/Marketing	\$10,000	\$0
45	KVON/KVYN	Advertising/Marketing	\$34,700	\$34,700
46	<a href="#">Lauren Guinn Photography</a>	Office Supplies/Photography	\$1,000	\$0
47	Lee Enterprises*	Marketing: Ads and Notices	\$100,000	\$100,000
48	Letter Publications (Transit Magazine)	Books/Media/Periodicals/Subscriptions	\$400	\$400
49	Lohnes & Wright	Printing	\$5,000	\$5,000
50	Lucas Business Systems	Printing & Binding	\$1,000	\$1,000
51	Mackey & Mackey Insurance	Insurance - Premiums	\$25,000	\$25,000
52	<a href="#">Magnetic Ticket &amp; Label</a>	Printing	\$10,000	\$0
53	<a href="#">McLean &amp; Williams</a>	Maintenance: Building & Improvements	\$500	\$0
54	MES Vision	Employee Benefits: Vision	\$1,400	\$1,400
55	MinuteMan Press	Printing	\$15,000	\$15,000
56	Monticello Deli & Catering	Office Expense	\$500	\$500
57	City of Napa	Utilities: Water	\$8,000	\$8,000
58	Napa Valley Petroleum	Fuel	\$1,250,000	\$1,290,000

59	Napa Fire Equipment Co.	Equipment	\$2,000	\$400
60	Napa Printing & Graphics	Advertising/Marketing	\$42,000	\$42,000
61	Napa Valley TV	Publications & Legal Notices	\$4,000	\$4,000
62	Office Depot	Office Expense	\$30,000	\$30,000
63	On Demand	Advertising/Marketing	\$5,600	\$5,600
64	PG&E	Utility	\$30,000	\$30,000
65	Philadelphia Insurance	Insurance - Premiums	\$26,000	\$26,000
66	Pitney Bowes	Postage	\$5,000	\$5,000
67	SF Chronicle	Subscriptions & Advertising/Marketing	\$500	\$0
68	Sign Dimensions	Maintenance: Building & Improvements	\$700	\$0
69	Sonoma Valley Sun	Advertising/Marketing	\$7,500	\$0
71	Target	Office Expense	\$200	\$200
72	Telekenex	Telecommunications	\$800	\$1,000
73	The Press Democrat (Sonoma)	Advertising/Marketing	\$6,000	\$6,000
74	Town of Yountville Fuel	Fuel	\$25,000	\$25,000
75	Think!	Postage Ink	\$100	\$100
76	TransitTalent.com	Recruitment Advertising	\$500	\$0
77	Travelers Insurance (Workers Comp)	Insurance - Premiums	\$9,000	\$9,000
78	Ultra Translate	Office Expense	\$1,000	\$1,000
79	UPS	Postage	\$600	\$600
80	USPS	Postage	\$200	\$200
81	The Voice Magazine	Advertising/Marketing	\$12,000	\$0
82	Voyager	Fuel	\$20,000	\$36,000
83	WageWorks	Employee Benefits: Flex Plan	\$1,000	\$1,100
84	Walmart	Office Expense	\$200	\$200
85	Xerox	Rentals, Printing	\$21,000	\$21,000
86	Yountville Sun	Advertising/Marketing	\$1,100	\$1,100
	Coast Landscape Mgmt	Maintenance: Building & Improvements	\$0	\$6,000
	Superior Building Services	Maintenance: Building & Improvements	\$0	\$40,000
<b>TOTALS</b>			<b>\$2,251,000</b>	<b>\$2,028,400</b>

\* dba as Napa Valley Register, American Canyon Eagle, St. Helena Star, Weekly Calistogan

Blue- new vendors

H:\NCTPA\1100\_Contract Administration\04\_BPAs -Blanket Purchase Agreements BPA\[FY 14-15 BPA Tracking NCTPA.xlsx]33. McLean & Williams



June 18, 2014  
NCTPA Agenda Item 10.1  
Continued From: New  
**Action Requested: INFORMATION**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Antonio Onorato, Program Manager-Finance  
(707) 259-8779 / Email: [aonorato@nctpa.net](mailto:aonorato@nctpa.net)  
**SUBJECT:** NCTPA Third Quarter FY 2013-14 Budget and 5-Year Forecast

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board review the NCTPA financial performance against budget (Attachment 1) for the third quarter (January-March) period and 5-year forecast model.

### **COMMITTEE RECOMMENDATION**

None

### **EXECUTIVE SUMMARY**

The purpose of this memo and associated report is to provide a quarterly update on the agency's financial performance, request approval for budget modifications, and to provide budget projections for planning purposes over the next 5 years.

Attachment 1 summarizes NCTPA's first quarter financial performance for revenues, transit operations, and planning administration expenses. The discussion below outlines the budget and financial performance. The report includes detailed financial data assessing the agency's performance to budget.

Throughout the fiscal year, NCTPA staff carefully monitors the variances of the budget versus actual expenses on a monthly basis. Certain expense items must be adjusted to align with projected expenditures or actual expenses in their respective funds/departments. These budget adjustments will provide NCTPA the authority necessary for a balanced year-end fiscal audit.

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**PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comments
3. Motion, Second, Discussion

**FINANCIAL IMPACT**

Is there a fiscal impact? No. Information Only.

**CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

**BACKGROUND AND DISCUSSION****Financial Performance:***Congestion Management Agency (Planning Fund) Budget vs. Actuals*

(For reporting purposes, the TFCA fund and AVAA program fund are included in the Planning fund figures)

NCTPA, the Congestion Management Agency, (also known as the Planning Fund), recognized \$825,459 in revenues for the quarter slightly below the \$836,200 budget. The majority of revenues are FHWA (STP) planning funds, quarterly Transportation Development Act (TDA disbursement, and reimbursements for the VINE Trail project. Other revenues include salary charge backs to the Public Transit Fund and some small refunds.

The CMA Planning Fund expenses were under budget by \$406,451 or about 37.5%. The largest portion of the expenses was personnel costs. Agency administration and consulting services were under budget by 50% due mainly to special projects that had not yet commenced in the quarter as planned. Programming and planning expenditures using consultants will likely be delayed to the next fiscal year.

*Public Transit (Transit Fund) Budget vs. Actuals*

Transit operating revenues were over budget by 7.9% due to receiving higher portion of TDA revenues for the quarter than anticipated. Farebox revenues were lower than expected for the quarter by 20.9% for all transit services. Although farebox revenue generation has increased in the past few months, the fixed route service is still not meeting its budgeted farebox and 16% farebox ratio threshold.

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Overall, operating expenses in the Public Transit Fund were under budget by 16.1%. All expense categories in the fund were under budget for the quarter including purchased transportation by 7.5%; fuel by 3.7%; and administration 19.2%.

### *Capital Purchases*

In the second quarter, NCTPA/VINE Transit purchased six public transit vehicles for the VINE fixed route fleet. Automatic passenger counters (APC's) were purchased and will be reflected in the fourth quarter which will conclude the agency's capital purchase plan for the remainder of the fiscal year.

### *5-Year Forecast*

Minor revisions were made to the five year forecast to more closely align with the FY2014-15 budget, indicating that the agency is largely on track with its projections.

### **Budget Amendments:**

There was a second quarter budget adjustments for the St. Helena Shuttle and VINE, both of which increased purchase transportation expenses by approved Board action at their September 2013 meeting with Resolution No. 13-14. There were no budget adjustments for the third quarter.

*Please note that the information summarized in this memo and contained in the attached report has not been audited and should be used for informational purposes only.*

### **SUPPORTING DOCUMENTS**

Attachment: (1) Third Quarter FY 2013-14 Financial Performance and 5-Year Forecast Reports

8300 NCTPA Consolidated  
Quarterly and Yearly Variance Analysis  
Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014			FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection	Projection
<b>OPERATING REVENUES</b>														
REV- OPERATIONS														
255,506	309,300	(53,794)	-17.4%	711,608	854,400	476,992	1,189,000	(400)	1,188,600	1,317,560	1,316,800	1,317,000	1,317,200	1,317,400
12,078	24,595	(12,517)	-50.9%	55,110	71,425	39,690	98,300	(3,500)	94,800	94,900	88,900	88,900	88,900	88,900
7,599	12,100	(4,501)	-37.2%	231,578	32,800	(178,678)	52,900	-	52,900	92,900	93,900	94,900	95,900	96,900
275,182	345,995	(70,813)	-20.5%	998,296	958,625	338,004	1,340,200	(3,900)	1,336,300	1,505,360	1,499,600	1,500,800	1,502,000	1,503,200
2,259,287	2,003,238	256,049	12.8%	6,588,876	6,962,926	(308,074)	5,957,100	323,702	6,280,802	6,314,540	7,690,100	7,972,400	8,266,450	8,497,650
TOTAL - OPERATIONAL REVENUE														
TOTAL- LOCAL TRANSPORT FUNDS (TDA)														
REV- INTERGOVERNMENTAL														
-	-	-	0.0%	-	-	1,555,200	1,555,200	-	1,555,200	1,552,900	1,552,900	1,552,900	1,552,900	1,552,900
-	-	-	0.0%	-	-	678,800	678,800	-	678,800	550,500	561,600	573,600	582,600	596,900
455,394	463,000	(7,606)	-1.6%	642,134	863,000	355,866	998,000	-	998,000	1,000,000	1,012,000	1,012,000	1,012,000	1,012,000
108,234	110,000	(1,766)	-1.6%	202,239	210,000	1,047,761	1,250,000	-	1,250,000	500,000	500,000	500,000	500,000	500,000
49,058	49,000	58	0.1%	579,242	450,800	913,858	1,493,100	-	1,493,100	1,250,100	854,900	863,900	869,900	948,900
-	-	-	0.0%	-	-	439,800	439,800	-	439,800	461,700	24,000	24,000	24,000	24,000
-	-	-	0.0%	-	-	35,000	35,000	-	35,000	-	-	-	-	-
-	-	-	0.0%	-	-	117,000	117,000	-	117,000	117,000	929,300	929,300	929,300	929,300
-	-	-	0.0%	-	-	549,700	549,700	-	549,700	549,700	-	-	-	-
109,773	111,000	(1,227)	-1.1%	390,000	381,000	236,300	626,300	-	626,300	626,300	390,000	390,000	390,000	390,000
-	-	-	0.0%	-	-	200,000	200,000	-	200,000	200,000	188,000	188,000	188,000	188,000
-	-	-	0.0%	-	-	10,000	10,000	-	10,000	10,000	10,000	10,000	10,000	10,000
-	-	-	0.0%	65,919	66,000	70,081	136,000	-	136,000	136,000	136,000	136,000	136,000	136,000
69,382	66,600	2,782	4.2%	224,555	208,500	109,345	333,900	-	333,900	352,000	312,100	312,100	312,100	267,500
722,458	733,000	(10,542)	-1.4%	2,104,090	2,179,300	6,318,710	8,422,800	-	8,422,800	8,091,200	6,470,800	6,491,800	6,506,800	6,555,500
2,835	8,050	(5,215)	-64.8%	16,459	21,150	11,141	27,600	-	27,600	30,000	24,400	24,400	24,400	24,400
3,259,763	3,090,283	169,480	5.5%	9,707,720	10,122,001	6,359,782	15,747,700	319,802	16,067,502	15,941,100	15,684,900	15,989,400	16,299,650	16,580,750
<b>OPERATING EXPENSES</b>														
PERSONNEL COSTS														
252,114	280,000	27,886	10.0%	868,860	834,000	369,940	1,238,800	-	1,238,800	1,295,000	1,359,800	1,427,800	1,499,200	1,574,200
7,455	9,000	1,545	17.2%	8,734	27,000	27,266	36,000	-	36,000	37,200	37,200	39,100	41,100	43,200
31,609	35,000	3,391	9.7%	413	102,000	143,088	143,500	-	143,500	18,700	18,700	19,600	20,600	21,600
150	36,000	35,850	99.6%	11,931	18,000	12,069	24,000	-	24,000	156,000	156,000	163,800	172,000	180,600
4,638	6,000	1,362	22.7%	121,402	102,500	18,998	140,400	-	140,400	24,000	24,000	25,200	26,500	27,800
40,638	37,500	(3,138)	-8.4%	85,700	52,400	(68,300)	17,400	-	17,400	159,600	159,600	167,600	176,000	184,800
17,940	1,000	(16,940)	-1694.0%	42,185	2,000	(39,185)	3,000	-	3,000	3,000	3,000	3,200	3,400	3,600
1,524	1,875	351	18.7%	8,133	5,625	267	8,400	-	8,400	10,200	10,200	10,700	11,200	11,800
1,494	3,600	2,106	58.5%	3,444	-	23,556	27,000	-	27,000	12,000	12,000	12,600	13,200	13,900
-	1,200	1,200	100.0%	2,988	10,800	9,012	12,000	-	12,000	40,000	40,000	42,000	44,100	46,300
-	-	-	0.0%	-	3,600	5,000	5,000	-	5,000	352,600	352,600	357,000	357,000	357,000
1,629	(9,200)	(10,829)	-117.7%	5,396	25,550	(4,296)	-	1,100	1,100	-	-	-	-	-
359,191	401,975	42,785	10.6%	1,159,185	1,183,475	497,415	1,655,500	1,100	1,656,600	2,108,300	2,173,100	2,268,600	2,364,300	2,464,800
OPERATING EXPENSES														
157	3,500	3,343	95.5%	443	9,000	11,857	12,300	-	12,300	12,300	12,700	12,700	12,700	12,700
5,248	16,200	10,952	67.6%	75,508	78,000	20,892	97,000	(600)	96,400	96,700	97,700	98,700	99,800	100,900
23,637	16,425	(7,212)	-43.9%	66,632	60,800	13,068	81,300	(1,600)	79,700	105,400	96,750	97,700	98,800	99,900
396	1,700	1,304	76.7%	18,426	45,500	55,274	74,000	(300)	73,700	90,500	91,500	92,500	93,500	94,500
-	-	-	0.0%	-	4,000	20,000	20,000	-	20,000	20,000	20,000	20,000	20,000	20,000
302,892	615,000	312,108	50.7%	786,068	1,310,000	2,623,432	3,409,500	-	3,409,500	3,030,000	1,540,000	1,540,000	1,540,000	1,540,000
3,473	20,400	16,927	83.0%	6,049	24,200	42,951	49,000	-	49,000	51,800	42,800	42,800	42,800	5,000
4,651	1,000	(3,651)	-365.1%	8,186	2,500	38,814	47,000	-	47,000	10,000	45,000	45,000	45,000	45,100
1,744,909	1,886,500	141,591	7.5%	5,268,544	5,515,800	2,362,538	7,311,000	320,082	7,631,082	7,764,500	7,881,100	7,999,500	8,119,800	8,241,900
385	1,500	1,115	74.3%	202,160	214,500	(196,160)	6,000	-	6,000	138,700	117,200	117,400	117,600	117,900
529	1,000	471	47.1%	26,065	34,800	26,735	52,800	-	52,800	36,000	38,000	38,000	38,000	38,000
(5,856)	26,800	32,656	121.9%	8,209	50,000	228,791	237,000	-	237,000	112,000	72,300	72,600	72,900	71,200
-	-	-	0.0%	529	1,000	10,071	10,600	-	10,600	11,000	9,000	9,000	9,000	9,100
14,227	25,600	11,373	44.4%	17,346	20,400	16,554	34,000	(100)	33,900	34,000	42,800	42,900	43,000	43,600
2,921	6,000	3,079	51.3%	53,833	51,500	16,167	70,000	-	70,000	55,000	71,000	71,000	71,000	71,000
7,944	1,800	(6,144)	-341.3%	10,564	6,800	8,000	8,400	-	8,400	8,500	9,200	9,400	9,700	10,100
74,838	40,000	(34,838)	-87.1%	98,914	139,300	128,086	227,000	-	227,000	140,000	166,500	168,000	169,600	171,200
9,721	8,225	(1,496)	-18.2%	40,162	53,550	21,038	61,200	-	61,200	60,000	59,600	60,200	60,800	61,400
3,192	400	(2,792)	-698.0%	3,581	1,675	(2,381)	1,200	-	1,200	4,500	8,950	9,200	9,550	9,800
6,429	11,000	4,571	41.6%	4,122	1,800	1,078	5,200	-	5,200	6,000	12,300	12,300	12,300	12,300
1,555	11,100	9,545	86.0%	239,281	271,650	(194,281)	45,000	-	45,000	32,000	388,400	395,700	403,400	411,000
6,019	6,000	(19)	-0.3%	5,434	2,500	(434)	5,000	-	5,000	7,500	7,600	7,700	7,800	7,900
3,654	1,000	(2,654)	-265.4%	20,266	14,400	17,734	38,000	-	38,000	35,200	35,300	35,900	36,500	37,100
1,008	8,100	7,092	87.6%	220,645	246,900	(214,045)	6,600	-	6,600	6,000	351,600	359,100	367,000	374,800
322	15,000	14,678	97.9%	1,489	8,400	12,511	14,000	-	14,000	4,000	4,000	4,000	4,000	4,000
3,773	7,800	4,027	51.6%	(13,905)	(127,500)	35,805	21,900	-	21,900	30,000	11,000	11,000	11,000	11,050
2,585	4,200	1,615	38.5%	12,638	34,200	37,762	50,400	-	50,400	20,000	45,200	45,400	45,600	45,800
447,213	464,350	17,137	3.7%	1,137,524	1,113,200	473,696	1,603,400	7,820	1,611,220	1,503,100	1,581,800	1,638,800	1,698,000	1,759,800
-	-	-	0.0%	65,919	68,000	70,081	136,000	-	136,000	136,000	136,000	136,000	136,000	136,000
-	-	-	0.0%	-	-	136,000	136,000	(2,600)	136,000	300,400	307,000	318,500	330,200	342,600
-	-	-	0.0%	-	-	214,800	214,800	(4,000)	214,800	221,700	209,500	209,800	210,000	210,300
2,665,8														

8300 NCTPA Consolidated  
**Quarterly and Yearly Variance Analysis**  
 Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014			FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection	Projection
3,025,012	3,602,575	577,563	-16.0%	9,543,818	10,440,350	6,523,684	15,747,700	319,802	16,067,502	16,191,100	15,684,900	15,989,400	16,299,650	16,580,750
234,751	(512,292)	747,043	-145.8%	163,902	(318,349)	(163,902)	-	-	-	(250,000)	-	-	-	-
-	-	-	0.0%	-	-	-	1,723,000	-	1,723,000	2,032,000	2,032,000	2,032,000	2,032,000	2,032,000
<b>TOTAL OPERATING COSTS</b>														
<b>NET CHANGE IN OPERATIONS</b>														
Depreciation Expense														
<b>CAPITAL REVENUES</b>														
-	-	-	0.0%	2,132,991	2,132,000	1,031,209	3,164,200	-	2,639,200	232,700	-	-	-	-
-	-	-	0.0%	-	-	1,139,500	1,139,500	-	598,000	467,000	-	-	-	-
-	-	-	0.0%	-	-	2,444,200	2,444,200	-	50,000	200,000	-	-	-	-
-	-	-	0.0%	533,248	533,000	1,619,852	2,153,100	-	5,397,800	1,949,600	6,025,000	1,500,000	25,000	25,000
-	-	-	0.0%	-	-	-	-	-	-	262,000	-	-	-	-
-	-	-	0.0%	2,666,239	2,665,000	6,234,761	8,901,000	-	8,685,000	3,111,300	6,025,000	1,500,000	25,000	25,000
<b>TOTAL CAPITAL REVENUES</b>														
<b>CAPITAL PURCHASES</b>														
-	-	-	0.0%	-	-	20,000	20,000	-	25,000	381,700	25,000	25,000	25,000	25,000
-	-	-	0.0%	-	-	1,160,400	1,160,400	-	1,180,000	1,277,000	-	1,475,000	-	-
-	-	-	0.0%	2,666,239	2,665,000	2,054,261	4,720,500	-	3,866,000	202,500	-	-	-	-
-	-	-	0.0%	-	-	2,800,100	2,800,100	-	100,000	250,000	-	-	-	-
-	-	-	0.0%	-	-	200,000	200,000	-	3,514,000	1,000,100	6,000,000	-	-	-
-	-	-	0.0%	2,666,239	2,665,000	6,234,761	8,901,000	-	8,685,000	3,111,300	6,025,000	1,500,000	25,000	25,000
<b>TOTAL CAPITAL EXPENSES</b>														
<b>NET CHANGE IN CAPITAL</b>														

**PUBLIC TRANSIT STATISTICS**

Estimated Passengers					701,600
Cost Per Passenger					\$14.75
Estimated Service Hours					122,945
Cost Per Hour of Service- Fully Burdened					\$81.67

	836,800	925,100	936,140	947,397	958,871	970,362
	\$12.75	\$11.48	\$12.37	\$12.44	\$12.51	\$12.59
	131,197	131,200	131,200	131,200	131,200	131,200
	\$79.02	\$77.33	\$84.73	\$86.20	\$87.71	\$89.26

# 83000 Congestion Management Agency

## Quarterly and Yearly Variance Analysis

Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014				FY 2013-2014	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	DRAFT	Projection	Projection	Projection	Projection	
<b>OPERATING REVENUES</b>				<b>OPERATING REVENUES</b>										
				REV- OPERATIONS										
1,637	-	1,637	0.0%	Charges for Services	4,084	(4,084)	-	-	-	-	-	-	-	
-	-	-	0.0%	Other Revenue	208,779	(208,779)	-	-	-	-	-	-	-	
1,637	-	1,637	0.0%	<b>TOTAL - OPERATIONAL REVENUE</b>	212,863	(212,863)	-	-	-	-	-	-	-	
190,812	195,000	(4,188)	-2.1%	<b>TOTAL - LOCAL TRANSPORT FUNDS (TDA)</b>	1,047,750	1,085,900	38,150	1,085,900	967,900	986,500	1,086,100	1,185,900	1,296,350	
455,394	463,000	(7,606)	-1.6%	REV- INTERGOVERNMENTAL										
108,234	110,000	(1,766)	-1.6%	Federal: FHWA (STP)	642,134	863,000	355,866	998,000	998,000	1,000,000	1,012,000	1,012,000	1,012,000	
-	-	-	0.0%	Federal: Other, VINE Trail	202,239	210,000	1,047,761	1,250,000	1,250,000	1,250,000	500,000	500,000	500,000	
-	-	-	0.0%	State: Planning, Programming, Monitoring (PPM)	-	-	439,800	439,800	439,800	461,700	24,000	24,000	24,000	
-	-	-	0.0%	State: Other	-	-	35,000	35,000	35,000	35,000	-	-	-	
-	-	-	0.0%	State: Safe Routes to Schools/ Other	-	-	117,000	117,000	117,000	117,000	929,300	929,300	929,300	
-	-	-	0.0%	Regional: MTC	-	-	549,700	549,700	549,700	549,700	-	-	-	
-	-	-	0.0%	Regional: Regional Measure 2 (RM2) Operating	-	-	236,300	236,300	236,300	236,300	-	-	-	
-	-	-	0.0%	Regional: Bay Area Air Quality Mgmt District	-	-	200,000	200,000	200,000	200,000	188,000	188,000	188,000	
-	-	-	0.0%	Regional: Other	-	-	10,000	10,000	10,000	10,000	10,000	10,000	10,000	
69,382	66,600	2,782	4.2%	AVAA	65,919	66,000	70,081	136,000	136,000	136,000	136,000	136,000	136,000	
633,009	639,600	(6,591)	-1.0%	Salary Chargeback- Public Transit Fund	224,555	208,500	109,345	333,900	333,900	352,000	312,100	312,100	267,500	
-	1,600	(1,600)	-100.0%	<b>TOTAL - INTERGOVERNMENTAL REV</b>	1,134,848	1,347,500	3,170,852	4,305,700	4,305,700	4,347,700	3,111,400	3,111,400	3,111,400	
825,459	836,200	(10,741)	-1.3%	REV- INTEREST INCOME	1,805	7,600	6,195	8,000	8,000	8,000	4,000	4,000	4,000	
				<b>TOTAL REVENUES</b>	2,397,266	2,441,000	3,002,334	5,399,600	5,399,600	5,323,600	4,101,900	4,201,500	4,301,300	
				<b>OPERATING EXPENDITURES</b>										
				PERSONNEL COSTS										
252,114	280,000	27,886	10.0%	Salaries and Wages	868,860	834,000	369,940	1,238,800	1,238,800	1,295,000	1,359,800	1,427,800	1,499,200	
7,455	9,000	1,545	17.2%	401A Employer Contribution	8,734	27,000	27,266	36,000	36,000	37,200	37,200	39,100	41,100	
31,609	35,000	3,391	9.7%	Payroll Tax	413	102,000	143,088	143,500	143,500	18,700	18,700	19,600	20,600	
150	36,000	35,850	99.6%	Medicare	11,931	18,000	12,069	24,000	24,000	156,000	156,000	163,800	172,000	
4,638	6,000	1,362	22.7%	Employee Insurance-Premiums	121,402	102,500	18,998	140,400	140,400	24,000	24,000	25,200	26,500	
40,638	37,500	(3,138)	-8.4%	Retirement	85,700	52,400	(68,300)	17,400	17,400	159,600	159,600	167,600	176,000	
17,940	1,000	(16,940)	-1694.0%	Extra Help	42,185	2,000	(39,185)	3,000	3,000	3,000	3,000	3,400	3,600	
1,524	1,875	351	18.7%	Workers Compensation	8,133	5,625	267	8,400	8,400	10,200	10,200	10,700	11,200	
1,494	3,600	2,106	58.5%	Unemployment Compensation	3,444	-	23,556	27,000	27,000	12,000	12,000	12,600	13,200	
-	1,200	1,200	100.0%	Other Post Employment Benefits	2,988	10,800	9,012	12,000	12,000	40,000	40,000	42,000	44,100	
-	-	-	0.0%	Cell Phone Allowance	-	3,600	5,000	5,000	5,000	600	600	5,000	5,000	
(69,382)	(66,600)	2,782	-4.2%	Salary Chargeback to Public Transit	(224,554)	(208,500)	(109,346)	(333,900)	(333,900)	(352,000)	(352,000)	(352,000)	(352,000)	
288,180	344,575	56,395	16.4%	<b>TOTAL PERSONNEL COSTS</b>	929,235	949,425	392,365	1,321,600	1,321,600	1,756,300	1,821,100	1,916,600	2,012,300	
157	3,500	3,343	95.5%	OPERATING EXPENSES										
4,848	13,000	8,152	62.7%	Administration Services	443	9,000	11,857	12,300	12,300	12,300	12,700	12,700	12,700	
23,637	15,000	(8,637)	-57.6%	Accounting/Auditing Services	73,961	68,000	(3,961)	70,000	70,000	70,000	71,000	72,000	73,000	
-	-	-	0.0%	Information Technology Service	57,338	50,000	2,663	60,000	60,000	76,000	77,000	78,000	79,000	
-	-	-	0.0%	Legal Services	17,647	40,000	45,353	63,000	63,000	80,000	81,000	82,000	83,000	
299,823	600,000	300,177	50.0%	Temporary/Contract Help	-	4,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	
1,700	20,400	18,700	91.7%	Consulting Services for CMA	782,999	1,295,000	2,541,501	3,324,500	3,324,500	3,015,000	1,500,000	1,500,000	1,500,000	
4,651	1,000	(3,651)	-365.1%	Security Services	3,505	22,200	45,495	49,000	49,000	42,800	42,800	42,800	42,800	
10,462	18,000	7,538	41.9%	Maintenance-Equipment	8,186	2,500	3,814	12,000	12,000	10,000	10,000	10,000	10,100	
-	-	-	0.0%	Maintenance-Buildings/Improvement	-	-	-	-	-	50,000	50,000	50,000	50,100	
529	1,000	471	47.1%	Maintenance-Software	34,019	34,800	18,781	52,800	52,800	36,000	36,000	36,000	36,000	
1,499	1,800	301	16.7%	Maintenance-Vehicles	-	-	2,000	2,000	2,000	2,000	2,000	2,000	2,000	
-	-	-	0.0%	Rents and Leases - Equipment	529	1,000	9,071	9,600	9,600	9,000	9,000	9,000	9,100	
8,227	18,100	9,873	54.5%	Rents and Leases - Bldg/Land	5,346	5,400	(5,346)	-	-	-	-	-	500	
1,370	1,000	(370)	-37.0%	Insurance - Premiums	33,259	35,500	21,741	55,000	55,000	55,000	55,000	55,000	55,000	
4,941	1,200	(3,741)	-311.8%	Communications/Telephone	4,338	5,000	1,662	6,000	6,000	6,000	6,000	6,000	6,200	
8,942	-	(8,942)	0.0%	Advertising/Marketing	8,943	1,800	(4,943)	4,000	4,000	12,000	12,100	12,200	12,300	
939	225	(714)	-317.4%	Printing & Binding	14,697	3,000	203	14,900	14,900	15,200	15,200	15,600	15,800	
2,585	400	(2,185)	-546.4%	Bank Charges	1,848	675	(648)	1,200	1,200	1,500	1,500	1,500	1,500	
6,429	10,000	3,571	35.7%	Public/ Legal Notices	4,122	800	(922)	3,200	3,200	4,000	4,000	4,000	4,000	
1,555	1,100	(455)	-41.3%	Training Conference Expenses	21,551	19,000	3,449	25,000	25,000	32,000	32,000	32,000	32,000	
6,019	6,000	(19)	-0.3%	Business Travel/Mileage	5,434	2,500	(434)	5,000	5,000	7,500	7,600	7,700	7,800	
632	1,000	368	36.8%	Office Expenses	15,542	13,300	14,458	30,000	30,000	25,000	25,200	25,400	25,600	
1,008	8,100	7,092	87.6%	Freight/Postage	2,813	3,800	2,787	5,600	5,600	5,000	5,100	5,200	5,300	
322	15,000	14,678	97.9%	Books/Periodicals/Subscriptions	1,489	8,400	12,511	14,000	14,000	4,000	4,000	4,000	4,000	
3,773	7,800	4,027	51.6%	Memberships/Certifications	18,101	15,800	3,799	21,900	21,900	30,000	4,000	4,000	4,050	
120	600	480	80.0%	Utilities - PG&E	8,820	23,400	27,180	36,000	36,000	20,000	20,200	20,400	20,600	
-	-	-	0.0%	Fuel	429	1,800	4,571	5,000	5,000	1,200	1,400	1,600	1,800	
-	-	-	0.0%	AVAA prmts	65,919	68,000	70,081	136,000	136,000	136,000	136,000	136,000	136,000	
394,169	744,225	350,056	-47.0%	Operations Contingency	-	-	50,000	50,000	50,000	50,000	50,000	50,000	50,000	
682,349	1,088,800	406,451	37.3%	<b>TOTAL OPERATING EXPENSES</b>	1,191,280	1,734,675	2,886,720	4,078,000	4,078,000	3,817,300	2,280,800	2,284,900	2,289,000	
143,110	(252,600)	(395,710)	156.7%	<b>TOTAL OPERATING EXPENDITURES</b>	2,120,515	2,684,100	3,279,085	5,399,600	5,399,600	5,573,600	4,101,900	4,201,500	4,301,300	
-	-	-	0.0%	<b>NET CHANGE IN OPERATIONS</b>	276,751	(243,100)	(276,751)	-	-	(250,000)	-	-	-	
-	-	-	0.0%	Depreciation Expense	-	-	-	-	-	-	-	-	-	

8302000 Public Transit Fund Financial Statements  
 Quarterly and Yearly Variance Analysis

Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014				FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection	Projection	
<b>OPERATING REVENUES</b>															
REV- OPERATIONS															
253,868	309,300	(55,432)	-17.9%	707,524	854,400	481,476	1,189,000	(400)	1,188,600	1,317,560	1,316,800	1,317,000	1,317,200	1,317,400	
12,078	24,595	(12,517)	-50.9%	55,110	71,425	43,190	98,300	(3,500)	94,800	94,900	88,900	88,900	88,900	88,900	
7,599	12,100	(4,501)	-37.2%	22,799	32,800	30,101	52,900	-	52,900	92,900	93,900	94,900	95,900	96,900	
273,545	345,995	(72,450)	-20.9%	785,433	958,625	554,767	1,340,200	(3,900)	1,336,300	1,505,360	1,499,600	1,500,800	1,502,000	1,503,200	
2,068,475	1,808,238	260,237	14.4%	5,541,126	5,877,026	(669,926)	4,871,200	323,702	5,194,902	5,346,640	6,703,600	6,886,300	7,080,550	7,201,300	
TOTAL - OPERATIONAL REVENUE															
REV- INTERGOVERNMENTAL															
-	-	-	0.0%	-	-	1,555,200	1,555,200	-	1,555,200	1,552,900	1,552,900	1,552,900	1,552,900	1,552,900	
49,058	49,000	58	0.1%	579,242	450,800	678,800	678,800	-	678,800	550,500	561,600	573,600	582,600	596,900	
109,773	111,000	(1,227)	-1.1%	390,000	381,000	913,858	1,493,100	-	1,493,100	1,250,100	854,900	863,900	869,900	948,900	
158,831	160,000	(1,169)	-0.7%	969,242	831,800	3,147,858	390,000	-	390,000	390,000	390,000	390,000	390,000	390,000	
2,835	6,450	(3,615)	-56.0%	14,654	13,550	4,946	4,117,100	-	4,117,100	3,743,500	3,359,400	3,380,400	3,395,400	3,488,700	
TOTAL - INTERGOVERNMENTAL REV															
REV- INTEREST INCOME															
2,503,686	2,320,683	183,003	7.9%	7,310,454	7,681,001	3,037,646	10,348,100	319,802	10,667,902	10,617,500	11,583,000	11,787,900	11,998,350	12,213,600	
<b>TOTAL REVENUES</b>															

Jan-Mar 2014				Mar YTD 2013-2014				FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection	Projection	
<b>OPERATING EXPENSES</b>															
PERSONNEL COSTS															
71,011	75,800	4,789	6.3%	229,950	234,050	103,950	333,900	1,100	335,000	352,000	352,000	352,000	352,000	352,000	
71,011	75,800	4,789	6.3%	229,950	234,050	103,950	333,900	1,100	335,000	352,000	352,000	352,000	352,000	352,000	
TOTAL PERSONNEL COSTS															
OPERATING EXPENSES															
400	3,200	2,800	87.5%	1,546	10,000	25,454	27,000	(600)	26,400	26,700	26,700	26,700	26,800	26,900	
1,551	1,425	1,425	100.0%	9,294	10,800	12,006	21,300	(1,600)	19,700	29,400	19,750	19,700	19,800	19,900	
396	1,700	1,304	76.7%	779	5,500	10,221	11,000	(300)	10,700	10,500	10,500	10,500	10,500	10,500	
-	-	-	0.0%	-	-	10,000	10,000	-	10,000	10,000	10,000	10,000	10,000	10,000	
3,069	15,000	11,931	79.5%	3,069	15,000	81,931	85,000	-	85,000	15,000	40,000	40,000	40,000	40,000	
1,773	-	(1,773)	0.0%	2,544	2,000	(2,544)	-	-	-	9,000	-	-	-	-	
1,734,447	1,868,500	134,053	7.2%	5,268,544	5,515,800	2,042,456	7,311,000	320,082	7,631,082	7,764,500	7,881,100	7,999,500	8,119,800	8,241,900	
385	1,500	1,115	74.3%	202,160	214,500	(196,160)	6,000	-	6,000	88,700	67,200	67,400	67,600	67,800	
(7,355)	25,000	32,355	129.4%	8,209	50,000	226,791	235,000	-	235,000	110,000	70,300	70,600	70,900	71,200	
6,000	7,500	1,500	20.0%	12,000	15,000	22,000	34,000	(100)	33,900	34,000	42,800	42,900	43,000	43,100	
1,551	5,000	3,449	69.0%	20,574	16,000	(5,574)	15,000	-	15,000	16,000	16,000	16,000	16,000	16,000	
3,002	600	(2,402)	-400.4%	6,226	1,800	(3,826)	2,400	-	2,400	2,500	3,200	3,400	3,700	3,900	
65,896	40,000	(25,896)	-64.7%	89,971	137,500	133,029	223,000	-	223,000	128,000	154,400	155,800	157,300	158,800	
8,782	8,000	(782)	-9.8%	25,465	50,550	20,835	46,300	-	46,300	45,000	44,400	44,800	45,200	45,600	
607	-	(607)	0.0%	1,733	1,000	(1,733)	-	-	-	3,000	7,450	7,700	8,050	8,300	
-	1,000	1,000	100.0%	2,000	2,000	2,000	2,000	-	2,000	2,000	2,000	2,000	2,000	2,000	
3,022	10,000	10,000	100.0%	217,731	252,650	(197,731)	20,000	-	20,000	356,400	363,700	371,400	379,000	379,000	
-	-	(3,022)	0.0%	4,724	1,100	3,276	8,000	-	8,000	10,200	10,100	10,500	10,900	11,300	
-	-	-	0.0%	217,832	243,100	(216,832)	1,000	-	1,000	346,500	353,900	361,700	369,400	369,400	
-	-	-	0.0%	(32,006)	(143,300)	32,006	-	-	-	7,000	7,000	7,000	7,000	7,000	
2,465	3,600	1,135	31.5%	3,818	10,800	10,582	14,400	-	14,400	-	25,000	25,000	25,000	25,000	
447,213	464,350	17,137	3.7%	1,137,096	1,111,400	461,304	1,598,400	7,820	1,606,220	1,501,900	1,680,400	1,637,200	1,696,200	1,757,800	
-	-	-	0.0%	-	-	138,600	138,600	(2,600)	136,000	300,400	307,000	318,500	330,200	342,600	
-	-	-	0.0%	168,800	-	168,800	168,800	(4,000)	164,800	171,700	159,500	159,800	160,000	160,300	
2,271,652	2,456,375	184,723	7.5%	7,193,353	7,522,200	2,820,847	10,014,200	318,702	10,332,902	10,265,500	11,231,000	11,435,900	11,646,350	11,861,600	
<b>TOTAL OPERATING EXPENSES</b>															
2,342,663	2,532,175	189,512	7.5%	7,423,304	7,756,250	2,924,796	10,348,100	319,802	10,667,902	10,617,500	11,583,000	11,787,900	11,998,350	12,213,600	
<b>TOTAL OPERATING COSTS</b>															
161,023	(211,492)	372,515	-176.1%	(112,850)	(75,249)	112,850	-	-	-	-	-	-	-	-	
<b>NET CHANGE IN OPERATIONS</b>															
-	-	-	0.0%	-	-	1,723,000	1,723,000	-	1,723,000	2,032,000	2,032,000	2,032,000	2,032,000	2,032,000	
Depreciation Expense															

Jan-Mar 2014				Mar YTD 2013-2014				FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection	Projection	
<b>CAPITAL REVENUES</b>															
-	-	-	0.0%	2,132,991	2,132,000	1,031,209	3,164,200	-	2,639,200	232,700	-	-	-	-	
-	-	-	0.0%	-	-	1,139,500	1,139,500	-	598,000	467,000	-	-	-	-	
-	-	-	0.0%	-	-	2,444,200	2,444,200	-	50,000	200,000	-	-	-	-	
-	-	-	0.0%	533,248	533,000	1,619,852	2,153,100	-	5,397,800	1,949,600	6,025,000	1,500,000	25,000	25,000	
-	-	-	0.0%	-	-	-	-	-	-	262,000	-	-	-	-	
-	-	-	0.0%	2,666,239	2,665,000	6,234,761	8,901,000	-	8,685,000	3,111,300	6,025,000	1,500,000	25,000	25,000	
<b>TOTAL CAPITAL REVENUES</b>															
<b>CAPITAL PURCHASES</b>															
-	-	-	0.0%	-	-	20,000	20,000	-	25,000	381,700	25,000	25,000	25,000	25,000	
-	-	-	0.0%	-	-	1,160,400	1,160,400	-	1,180,000	1,277,000	-	1,475,000	-	-	
-	-	-	0.0%	2,666,239	2,665,000	4,720,500	4,720,500	-	3,866,000	202,500	-	-	-	-	
-	-	-	0.0%	-	-	2,800,100	2,800,100	-	100,000	250,000	-	-	-	-	
-	-	-	0.0%	-	-	200,000	200,000	-	3,514,000	1,000,100	6,000,000	-	-	-	
-	-	-	0.0%	2,666,239	2,665,000	6,234,761	8,901,000	-	8,685,000	3,111,300	6,025,000	1,500,000	25,000	25,000	
<b>TOTAL CAPITAL EXPENSES</b>															
<b>NET CHANGE IN CAPITAL</b>															

THIS PAGE CALCULATES FROM OTHER PAGES

PUBLIC TRANSIT STATISTICS		2013-2014		2014-2015		2015-2016		2016-2017		2017-2018		2018-2019	
Estimated Passengers		701,600		836,800	925,100	936,140	947,397	958,871	970,362				
Cost Per Passenger		\$14.75		\$12.75	\$11.48	\$12.37	\$12.44	\$12.51	\$12.59				
Estimated Service Hours		122,945		131,197	131,200	131,200	131,200	131,200	131,200				
Cost Per Hour of Service- Fully Burdened		\$81.67		\$79.02	\$77.33	\$84.73	\$86.20	\$87.71	\$89.26				

8302001 VINE Go Financial Statements

Quarterly and Yearly Variance Analysis, 5 Year Forecast

Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014			FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection	Projection
<b>OPERATING REVENUES</b>														
REV- OPERATIONS														
19,359	21,000	(1,641)	-7.8%	46,152	61,500	37,848	84,000	-	84,000	62,000	65,000	65,000	65,000	65,000
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
19,359	21,000	(1,641)	-7.8%	46,152	61,500	37,848	84,000	-	84,000	62,000	65,000	65,000	65,000	65,000
227,989	129,100	98,889	76.6%	451,188	451,188	118,412	800,100	(230,500)	569,600	528,300	651,650	661,500	671,400	681,400
-	-	-	0.0%	-	-	-	300,000	-	300,000	300,000	300,000	300,000	300,000	300,000
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
49,058	49,000	58	0.1%	298,196	275,800	(22,396)	275,800	-	275,800	275,800	139,300	139,300	139,300	139,300
49,058	49,000	58	0.1%	298,196	275,800	(22,396)	275,800	-	275,800	275,800	139,300	139,300	139,300	139,300
227	250	(23)	-9.2%	1,733	750	(733)	1,000	-	1,000	1,000	1,000	1,000	1,000	1,000
296,633	199,350	97,283	48.8%	797,269	789,238	433,131	1,460,900	(230,500)	1,230,400	1,167,100	1,156,950	1,166,800	1,176,700	1,186,700
<b>OPERATING EXPENSES</b>														
PERSONNEL COSTS														
4,241	7,200	2,959	41.1%	14,178	21,600	15,822	30,000	-	30,000	30,000	30,000	30,000	30,000	30,000
4,241	7,200	2,959	41.1%	14,178	21,600	15,822	30,000	-	30,000	30,000	30,000	30,000	30,000	30,000
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	91	1,000	4,709	4,800	-	4,800	4,800	5,200	5,300	5,400	5,500
-	-	-	0.0%	1,397	500	603	2,000	-	2,000	3,000	2,650	2,700	2,700	2,700
-	-	-	0.0%	-	-	-	2,000	-	2,000	2,000	2,000	2,000	2,000	2,000
218,566	225,000	6,434	2.9%	639,615	676,500	261,885	1,132,000	(230,500)	901,500	880,000	888,800	897,700	906,700	915,800
-	-	-	0.0%	-	-	20,000	20,000	-	20,000	20,000	20,300	20,600	20,900	21,200
-	-	-	0.0%	-	-	4,000	4,000	-	4,000	4,000	4,000	4,000	4,000	4,000
-	-	-	0.0%	-	-	10,000	10,000	-	10,000	10,000	10,200	10,400	10,600	10,800
-	-	-	0.0%	-	-	2,000	2,000	-	2,000	2,000	2,100	2,200	2,300	2,400
-	-	-	0.0%	-	-	1,200	1,200	-	1,200	1,200	1,300	1,400	1,500	1,600
56,813	68,000	11,187	16.5%	124,298	150,000	79,702	204,000	-	204,000	150,000	150,000	150,000	150,000	150,000
-	-	-	0.0%	-	-	20,400	20,400	-	20,400	30,000	30,000	30,000	30,000	30,000
-	-	-	0.0%	-	-	28,500	28,500	-	28,500	19,400	10,400	10,500	10,600	10,700
275,379	293,000	17,621	-6.0%	765,401	828,000	434,999	1,430,900	(230,500)	1,200,400	1,137,100	1,126,950	1,136,800	1,146,700	1,156,700
279,620	300,200	20,580	0.0%	779,579	849,600	450,821	1,460,900	(230,500)	1,230,400	1,167,100	1,156,950	1,166,800	1,176,700	1,186,700
17,013	(100,850)	117,863	-116.9%	17,690	(60,362)	(17,690)	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	115,000	115,000	-	115,000	115,000	115,000	115,000	115,000	115,000
<b>CAPITAL REVENUES</b>														
-	-	-	0.0%	-	-	-	-	-	-	232,700	-	-	-	-
-	-	-	0.0%	-	-	192,000	192,000	-	192,000	19,000	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	50,000	50,000	-	50,000	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	242,000	242,000	-	242,000	251,700	-	-	-	-
<b>CAPITAL PURCHASES</b>														
-	-	-	0.0%	-	-	-	-	-	-	251,700	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	242,000	242,000	-	242,000	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	242,000	242,000	-	242,000	251,700	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-

8302001 VINE Go Financial Statements

Quarterly and Yearly Variance Analysis, 5 Year Forecast

Statement of Revenue, Expenses

Jan-Mar 2014		Mar YTD 2013-2014			FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projection	Projection	Projection

VINE GO STATISTICS

Estimated Passengers					18,900		26,000	26,000	26,390	26,786	27,188	27,595
Cost Per Passenger					\$73.12		\$45.44	\$42.99	\$43.84	\$43.56	\$43.28	\$43.00
Estimated Service Hours					17,645		12,099	12,100	12,100	12,100	12,100	12,100
Cost Per Hour of Service- Fully Burdened					\$80.02		\$97.65	\$92.37	\$92.28	\$93.08	\$93.89	\$94.71

8302002 VINE Financial Statements

Quarterly and Yearly Variance Analysis

Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014			FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020		
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projections	Projections	Projections	Projections	Projections		
<b>OPERATING REVENUES</b>																	
REV- OPERATIONS																	
206,718	265,000	(58,282)	-22.0%	611,864	725,000	398,136	1,010,000	-	1,010,000	1,180,000	1,180,000	1,180,000	1,180,000	1,180,000	1,180,000	1,180,000	
-	4,500	(4,500)	-100.0%	-	10,000	20,000	20,000	-	20,000	60,000	61,000	62,000	63,000	64,000	65,000	65,000	
206,718	269,500	(62,782)	-23.3%	611,864	735,000	418,136	1,030,000	-	1,030,000	1,240,000	1,241,000	1,242,000	1,243,000	1,244,000	1,245,000	1,245,000	
1,840,486	1,679,138	161,348	9.6%	4,531,712	4,879,338	(408,030)	3,662,300	461,382	4,123,682	4,291,100	4,703,750	4,850,100	5,000,150	5,154,000	5,311,750	5,311,750	
REV- INTERGOVERNMENTAL																	
-	-	-	0.0%	-	-	1,195,200	1,195,200	-	1,195,200	1,192,900	1,192,900	1,192,900	1,192,900	1,192,900	1,192,900	1,192,900	
-	-	-	0.0%	-	-	375,200	375,200	-	375,200	297,600	297,600	297,600	297,600	297,600	297,600	297,600	
-	-	-	0.0%	281,046	175,000	486,454	767,500	-	767,500	524,500	319,600	319,600	319,600	319,600	319,600	319,600	
109,773	111,000	(1,227)	-1.1%	390,000	381,000	0	390,000	-	390,000	390,000	390,000	390,000	390,000	390,000	390,000	390,000	
109,773	111,000	(1,227)	-1.1%	671,046	556,000	2,056,854	2,727,900	-	2,727,900	2,405,000	2,200,100	2,200,100	2,200,100	2,200,100	2,200,100	2,200,100	
1,433	4,000	(2,567)	-64.2%	8,098	6,000	1,902	10,000	-	10,000	12,000	10,000	10,000	10,000	10,000	10,000	10,000	
2,158,409	2,063,638	94,771	4.6%	5,822,719	6,176,338	2,068,863	7,430,200	461,382	7,891,582	7,948,100	8,154,850	8,302,200	8,453,250	8,608,100	8,766,850	8,766,850	
<b>OPERATING EXPENSES</b>																	
PERSONNEL COSTS																	
64,417	66,900	2,483	3.7%	204,784	206,300	84,716	289,500	-	289,500	300,000	300,000	300,000	300,000	300,000	300,000	300,000	
64,417	66,900	2,483	3.7%	204,784	206,300	84,716	289,500	-	289,500	300,000	300,000	300,000	300,000	300,000	300,000	300,000	
-	2,800	2,800	100.0%	990	7,500	14,510	15,500	-	15,500	15,000	15,500	15,500	15,500	15,500	15,500	15,500	
-	1,425	1,425	100.0%	6,556	7,900	4,944	11,500	-	11,500	18,000	11,500	11,500	11,500	11,500	11,500	11,500	
368	1,500	1,132	75.5%	400	4,500	5,600	6,000	-	6,000	5,000	6,000	6,000	6,000	6,000	6,000	6,000	
-	-	-	0.0%	-	-	10,000	10,000	-	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	
3,069	15,000	11,931	79.5%	3,069	15,000	81,931	85,000	-	85,000	15,000	35,000	35,000	35,000	35,000	35,000	35,000	
1,773	-	(1,773)	0.0%	2,544	2,000	(2,544)	-	-	-	9,000	-	-	-	-	-	-	
-	-	-	0.0%	-	-	35,000	35,000	-	35,000	-	35,000	35,000	35,000	35,000	35,000	35,000	
1,224,166	1,320,000	95,834	7.3%	3,967,910	4,123,900	1,536,472	5,043,000	461,382	5,504,382	5,700,000	5,785,500	5,872,300	5,960,400	6,049,800	6,140,500	6,140,500	
385	1,500	1,115	74.3%	3,876	3,000	2,124	6,000	-	6,000	64,000	64,200	64,400	64,600	64,800	65,000	65,000	
600	25,000	24,400	97.6%	8,209	50,000	191,791	200,000	-	200,000	80,000	35,000	35,000	35,000	35,000	35,000	35,000	
6,000	7,500	1,500	20.0%	12,000	15,000	13,000	25,000	-	25,000	20,000	25,000	25,000	25,000	25,000	25,000	25,000	
1,551	5,000	3,449	69.0%	4,665	8,000	10,335	15,000	-	15,000	-	15,000	15,000	15,000	15,000	15,000	15,000	
3,002	600	(2,402)	-400.4%	6,226	1,800	(3,826)	2,400	-	2,400	2,500	2,600	2,700	2,800	2,900	3,000	3,000	
57,942	40,000	(17,942)	-44.9%	87,669	134,000	87,331	175,000	-	175,000	100,000	100,000	100,000	100,000	100,000	100,000	100,000	
8,782	8,000	(782)	-9.8%	10,332	24,000	21,669	32,000	-	32,000	30,000	30,000	30,000	30,000	30,000	30,000	30,000	
607	-	(607)	0.0%	1,733	1,000	(1,733)	-	-	-	3,000	3,050	3,100	3,150	3,200	3,250	3,250	
-	1,000	1,000	100.0%	-	1,000	2,000	2,000	-	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	
-	10,000	10,000	100.0%	-	10,000	20,000	20,000	-	20,000	-	15,000	15,000	15,000	15,000	15,000	15,000	
3,022	-	(3,022)	0.0%	3,855	800	645	4,500	-	4,500	6,000	6,100	6,200	6,300	6,400	6,500	6,500	
-	-	-	0.0%	-	-	1,000	1,000	-	1,000	1,000	1,100	1,200	1,300	1,400	1,500	1,500	
2,465	3,600	1,135	31.5%	3,818	10,800	10,582	14,400	-	14,400	-	25,000	25,000	25,000	25,000	25,000	25,000	
371,671	350,000	(21,671)	-6.2%	920,881	844,100	298,519	1,219,400	-	1,219,400	1,200,000	1,248,000	1,297,900	1,349,800	1,403,800	1,460,000	1,460,000	
-	-	-	0.0%	-	-	100,300	100,300	-	100,300	240,000	249,600	259,600	270,000	280,800	292,000	292,000	
-	-	-	0.0%	-	-	117,700	117,700	-	117,700	127,600	127,600	127,600	127,600	127,600	127,600	127,600	
1,685,402	1,792,925	107,523	-6.0%	5,044,730	5,264,300	2,557,352	7,140,700	461,382	7,602,082	7,648,100	7,854,850	8,002,200	8,153,250	8,308,100	8,466,850	8,466,850	
1,749,819	1,859,825	110,006	5.9%	5,249,515	5,470,600	2,642,067	7,430,200	461,382	7,891,582	7,948,100	8,154,850	8,302,200	8,453,250	8,608,100	8,766,850	8,766,850	
408,590	203,813	204,777	100.5%	573,205	705,738	(573,205)	-	-	-	-	-	-	-	-	-	-	
-	-	-	0.0%	-	-	1,500,000	1,500,000	-	1,500,000	1,800,000	1,800,000	1,800,000	1,800,000	1,800,000	1,800,000	1,800,000	

# 8302002 VINE Financial Statements

## Quarterly and Yearly Variance Analysis

Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014			FY 2013-2014	Q2 Adjustments	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	Projection	DRAFT	Projections	Projections	Projections	Projections	Projections
<b>CAPITAL REVENUES</b>															
-	-	-	0.0%	2,132,991	2,132,000	323,009	2,456,000	-	2,456,000	-	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	214,000	22,000	-	214,000	295,500	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	200,000	-	-	-	-	-
-	-	-	0.0%	533,248	533,000	4,764,552	5,247,800	-	5,297,800	1,949,600	6,025,000	1,500,000	25,000	25,000	25,000
-	-	-	0.0%	-	-	-	-	-	-	262,000	-	-	-	-	-
-	-	-	0.0%	2,666,239	2,665,000	5,301,561	7,725,800	-	7,967,800	2,707,100	6,025,000	1,500,000	25,000	25,000	25,000
<b>CAPITAL PURCHASES</b>															
-	-	-	0.0%	-	-	25,000	25,000	-	25,000	130,000	25,000	25,000	25,000	25,000	25,000
-	-	-	0.0%	-	-	1,180,000	1,180,000	-	1,180,000	1,277,000	-	1,475,000	-	-	-
-	-	-	0.0%	2,666,239	2,665,000	532,561	2,956,800	-	3,198,800	50,000	-	-	-	-	-
-	-	-	0.0%	-	-	100,000	100,000	-	100,000	250,000	-	-	-	-	-
-	-	-	0.0%	-	-	3,464,000	3,464,000	-	3,464,000	1,000,100	6,000,000	-	-	-	-
-	-	-	0.0%	2,666,239	2,665,000	5,301,561	7,725,800	-	7,967,800	2,707,100	6,025,000	1,500,000	25,000	25,000	25,000
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-	-	-
<b>NET CHANGE IN CAPITAL</b>															

### VINE TRANSIT STATISTICS

Estimated Passengers					600,000
Cost Per Passenger					\$12.38
Estimated Service Hours					88,000
Cost Per Hour of Service- Fully Burdened					\$81.96

720,000	800,000	808,000	816,100	824,300	832,500	840,800
\$10.66	\$9.48	\$10.09	\$10.17	\$10.26	\$10.34	\$10.43
99,000	99,000	99,000	99,000	99,000	99,000	99,000
\$77.51	\$76.57	\$78.56	\$79.95	\$81.37	\$82.83	\$84.32

8302003 Taxi Scrip Financial Statements

Quarterly and Yearly Variance Analysis

Statement of Revenue, Expenses

Jan-Mar 2014					Mar YTD 2013-2014		Remaining Balance	FY 2013-2014	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019	FY 2019-2020
Actuals	Budget	Difference \$	Difference %		Actuals	Budget		APPROVED BUDGET	Projection	DRAFT	Projections	Projections	Projections	Projections	Projections
<b>OPERATING REVENUES</b>															
				REV- OPERATIONS											
9,951	16,000	(6,049)	-37.8%	Farebox	27,291	48,000	37,709	65,000	65,000	41,000	41,000	41,000	41,000	41,000	41,000
9,951	16,000	(6,049)	-37.8%	<b>TOTAL - OPERATIONAL REVENUE</b>	27,291	48,000	37,709	65,000	65,000	41,000	41,000	41,000	41,000	41,000	41,000
-	-	-	0.0%	<b>TOTAL - LOCAL TRANSPORT FUNDS (TDA)</b>	40,000	99,300	59,300	99,300	99,300	44,700	44,700	44,500	44,600	44,700	44,800
				REV- INTERGOVERNMENTAL											
-	-	-	0.0%	<b>TOTAL - INTERGOVERNMENTAL REV</b>	-	-	-	-	-	-	-	-	-	-	-
88	400	(312)	-78.0%	REV- INTEREST INCOME	284	1,200	1,316	1,600	1,600	2,000	2,000	2,000	2,000	2,000	2,000
<b>10,039</b>	<b>16,400</b>	<b>(6,361)</b>	<b>-38.8%</b>	<b>TOTAL REVENUES</b>	<b>67,575</b>	<b>148,500</b>	<b>98,325</b>	<b>165,900</b>	<b>165,900</b>	<b>87,700</b>	<b>87,700</b>	<b>87,500</b>	<b>87,600</b>	<b>87,700</b>	<b>87,800</b>
<b>OPERATING EXPENSES</b>															
				PERSONNEL COSTS											
1,541	1,500	(41)	-2.7%	Salary Expense	3,155	2,100	(755)	2,400	2,400	4,000	4,000	4,000	4,000	4,000	4,000
1,541	1,500	(41)	-2.7%	<b>TOTAL PERSONNEL COSTS</b>	3,155	2,100	(755)	2,400	2,400	4,000	4,000	4,000	4,000	4,000	4,000
				OPERATING EXPENSES											
400	400	-	0.0%	Accounting/Auditing Services	194	200	1,406	1,600	1,600	1,700	1,700	1,600	1,600	1,600	1,600
-	-	-	0.0%	Information Technology Service	634	600	166	800	800	1,000	1,000	800	800	800	800
-	-	-	0.0%	Legal Services	-	-	-	-	-	500	500	500	500	500	500
21,774	34,000	12,226	36.0%	Purchase Transportation	41,616	83,000	107,385	149,000	149,000	70,000	70,000	70,000	70,000	70,000	70,000
-	-	-	0.0%	Rents and Leases - Bldg/Land	-	-	2,000	2,000	2,000	2,000	2,100	2,200	2,300	2,400	
-	-	-	0.0%	Printing & Binding	3,017	3,000	3,783	6,800	6,800	7,500	7,500	7,500	7,500	7,500	
-	-	-	0.0%	Office Expenses	869	300	(569)	300	300	1,000	1,000	1,000	1,000	1,000	
-	-	-	0.0%	Operations Contingency	-	-	3,000	3,000	3,000	-	-	-	-	-	
22,174	34,400	12,226	-35.5%	<b>TOTAL OPERATING EXPENSES</b>	46,330	87,100	117,170	163,500	163,500	83,700	83,700	83,500	83,600	83,700	83,800
<b>23,715</b>	<b>35,900</b>	<b>12,185</b>	<b>0.0%</b>	<b>TOTAL OPERATING COSTS</b>	<b>49,485</b>	<b>89,200</b>	<b>116,415</b>	<b>165,900</b>	<b>165,900</b>	<b>87,700</b>	<b>87,700</b>	<b>87,500</b>	<b>87,600</b>	<b>87,700</b>	<b>87,800</b>
<b>(13,676)</b>	<b>(19,500)</b>	<b>5,824</b>	<b>-29.9%</b>	<b>NET CHANGE IN OPERATIONS</b>	<b>18,090</b>	<b>59,300</b>	<b>(18,090)</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>



8302005 Yountville Financial Statements

Quarterly and Yearly Variance Analysis

Statement of Revenue, Expenses

Jan-Mar 2014				Mar YTD 2013-2014			FY 2013-2014	FY13-14 Adjusted Budget	FY 2014-2015	FY 2015-2016	FY 2016-2017	FY 2017-2018	FY 2018-2019
Actuals	Budget	Difference \$	Difference %	Actuals	Budget	Remaining Balance	APPROVED BUDGET	Projection	DRAFT	Projections	Projections	Projections	Projections
<b>OPERATING REVENUES</b>													
REV- OPERATIONS													
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-
6,996	7,570	(574)	-7.6%	21,398	23,350	11,702	33,100	33,100	33,600	33,600	33,600	33,600	33,600
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-
6,996	7,570	(574)	-7.6%	21,398	23,350	11,702	33,100	33,100	33,600	33,600	33,600	33,600	33,600
<b>TOTAL - OPERATIONAL REVENUE</b>													
-	-	-	0.0%	157,390	158,000	(67,090)	90,300	90,300	112,200	150,600	151,100	153,500	84,100
TOTAL - LOCAL TRANSPORT FUNDS (TDA)													
REV- INTERGOVERNMENTAL													
-	-	-	0.0%	-	-	101,200	101,200	101,200	84,300	88,000	92,000	95,000	99,200
-	-	-	0.0%	-	-	100,000	100,000	100,000	100,000	72,000	75,000	77,000	150,000
-	-	-	0.0%	-	-	201,200	201,200	201,200	184,300	160,000	167,000	172,000	249,200
<b>TOTAL - INTERGOVERNMENTAL REV</b>													
269	500	(231)	-46.2%	1,294	1,500	706	2,000	2,000	2,000	2,400	2,400	2,400	2,400
<b>REV- INTEREST INCOME</b>													
7,265	8,070	(805)	-10.0%	180,083	182,850	146,517	326,600	326,600	332,100	346,600	354,100	361,500	369,300
<b>TOTAL REVENUES</b>													
<b>OPERATING EXPENSES</b>													
PERSONNEL COSTS													
-	-	-	0.0%	-	100	2,400	2,400	2,400	4,000	4,000	4,000	4,000	4,000
-	-	-	0.0%	-	100	2,400	2,400	2,400	4,000	4,000	4,000	4,000	4,000
<b>TOTAL PERSONNEL COSTS</b>													
OPERATING EXPENSES													
-	-	-	0.0%	58	600	1,442	1,500	1,500	1,600	1,200	1,200	1,200	1,200
-	-	-	0.0%	232	500	768	1,000	1,000	1,000	900	900	900	900
28	200	172	85.9%	28	400	572	600	600	600	600	600	600	600
-	-	-	0.0%	-	-	-	-	-	-	5,000	5,000	5,000	5,000
65,835	68,000	2,165	3.2%	198,502	204,000	75,898	274,400	274,400	278,000	283,600	289,300	295,100	301,000
-	-	-	0.0%	-	-	1,000	1,000	1,000	2,000	900	900	900	900
-	-	-	0.0%	-	-	10,000	10,000	10,000	6,000	10,000	10,000	10,000	10,000
-	-	-	0.0%	-	-	500	500	500	500	500	500	500	500
4,098	7,500	3,402	45.4%	18,120	23,500	13,880	32,000	32,000	24,400	25,600	26,900	28,200	29,600
-	-	-	0.0%	-	-	3,200	3,200	3,200	4,900	5,100	5,400	5,600	5,900
-	-	-	0.0%	-	-	-	-	-	6,100	9,200	9,400	9,500	9,700
69,961	75,700	5,739	-7.6%	216,941	229,000	107,259	324,200	324,200	328,100	342,600	350,100	357,500	365,300
<b>TOTAL OPERATING EXPENSES</b>													
69,961	75,700	5,739	0.0%	216,941	229,100	109,659	326,600	326,600	332,100	346,600	354,100	361,500	369,300
<b>TOTAL OPERATING COSTS</b>													
(62,696)	(67,630)	4,934	-7.3%	(36,858)	(46,250)	36,858	-	-	-	-	-	-	-
<b>NET CHANGE IN OPERATIONS</b>													
-	-	-	0.0%	-	-	15,000	15,000	24,000	24,000	24,000	24,000	24,000	24,000
Depreciation Expense													
<b>CAPITAL REVENUES</b>													
-	-	-	0.0%	-	-	183,200	183,200	183,200	-	-	-	-	-
-	-	-	0.0%	-	-	50,000	50,000	50,000	-	-	-	-	-
-	-	-	0.0%	-	-	233,200	233,200	233,200	-	-	-	-	-
<b>TOTAL CAPITAL REVENUES</b>													
<b>CAPITAL PURCHASES</b>													
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	183,200	183,200	183,200	-	-	-	-	-
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-
-	-	-	0.0%	-	-	50,000	50,000	50,000	-	-	-	-	-
-	-	-	0.0%	-	-	233,200	233,200	233,200	-	-	-	-	-
<b>TOTAL CAPITAL EXPENSES</b>													
-	-	-	0.0%	-	-	-	-	-	-	-	-	-	-
<b>NET CHANGE IN CAPITAL</b>													
<b>YOUNTVILLE TROLLEY STATISTICS</b>													
Estimated Passengers							29,000	29,000	31,400	32,300	33,300	34,300	35,300
Cost Per Passenger							\$11.15	\$11.15	\$10.23	\$10.73	\$10.63	\$10.54	\$10.46
Estimated Service Hours							4,400	4,399	4,400	4,400	4,400	4,400	4,400
Cost Per Hour of Service- Fully Burdened							\$73.50	\$73.52	\$72.98	\$75.52	\$77.11	\$78.73	\$80.39







June 18 2014  
NCTPA Agenda Item 10.2  
Continued From: New  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Karrie Sanderlin, Program Manager-Human Resources, Civil Rights and Board Secretary  
(707) 259-8633 / Email: [ksanderlin@nctpa.net](mailto:ksanderlin@nctpa.net)  
**SUBJECT:** Election of Chair and Vice Chair for FY 2014-15

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board elect a Chair and Vice Chair for NCTPA for FY 2014-15.

### **COMMITTEE RECOMMENDATION**

None.

### **EXECUTIVE SUMMARY**

Chair Keith Caldwell and Vice Chair John Dunbar's terms will end in June of this year. The next term for the Chair and Vice Chair would begin July 2014 and be completed in June 2016, with reaffirmation in July 2015.

The 2014 nominating committee composed of Board members Keith Caldwell, Leon Garcia, and Jill Techel conferred. The committee recommends Vice Chair John Dunbar for Chair and will report at the Board meeting their recommendations for Vice Chair.

### **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

**FISCAL IMPACT**

Is there a Fiscal Impact?      No.

**CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

**BACKGROUND AND DISCUSSION**

NCTPA bylaws (adopted in July 1998) require an annual election of Chair and Vice Chair at the annual meeting. The annual meeting is held in July of each year. The Chair and Vice Chair hold office for one year or until their successors have been appointed.

In June of 2000 a subcommittee of the Board recommended, and the Board adopted, a policy that allows a two-year term for the Chair and Vice Chair with an annual vote of approval by the Board.

**SUPPORTING DOCUMENTS**

None.



June 18, 2014  
NCTPA Agenda Item 10.3  
Continued From: February 19, 2014  
April 16, 2014  
**Action Requested: APPROVE**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Kate Miller, Executive Director  
(707) 259-8634 / Email: [kmiller@nctpa.net](mailto:kmiller@nctpa.net)  
**SUBJECT:** Proposed Organizational Restructure of NCTPA

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board approve (1) the revised NCTPA Organizational Restructure as provided in Attachment 1 (Proposed NCTPA Organizational Chart); (2) reclassify the Technical Planner/Senior Analyst Position to an Assistant Program Planner/Administrator-Mobility Management Coordinator position; and (3) re-classify the Accounting Technician position to that of a Senior Financial/Policy Analyst; and (4) Amend the title of the Transportation Engineer to a Program Manager-Engineer and amend the annual salary range from \$84,777-\$102,412 to that of a program manager \$96,768-\$116,316.

### **COMMITTEE RECOMMENDATION**

None

### **EXECUTIVE SUMMARY**

At the April 2014 meeting the Board approved NCTPA's staffing plan. With the recent hiring of new staff, and the upcoming retirement of Eliot Hurwitz, refinement of organizational responsibilities (Attachment 1) and reclassification of two positions is being proposed to better serve the needs of the Agency.

### **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

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## **FISCAL IMPACT**

Is there a Fiscal Impact? Yes, board approval of this item will result a net cost administrative salary reduction of \$3,467.

- (1) There will be an approximate \$19,596 reduction in the annual administrative budget (salary) to reclassify the Technical Planner/Senior analyst position to an Assistant Program Planner/Administrator-Mobility Management Coordinator position.
- (2) There will be an approximated \$16,103 increase in the administrative budget to reclassify the Accounting Technician position to a Senior Financial/Policy Analyst.

## **CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

## **BACKGROUND AND DISCUSSION**

At the February 2014 meeting, the Board approved the NCTPA Organizational Chart as shown in Attachment 2. In April 2014 the Board received the Agency's staffing plan. With the upcoming arrival of new staff members and the retirement of Eliot Hurwitz effective July 1st, refinement of organizational responsibilities and to better serve the needs of the Agency, staff is requesting that the Board:

- (1) Re-classify the Technical Planner/Senior Analyst Position to an Assistant Program Planner/Administrator-Mobility Management Coordinator position (the technical planning activities, i.e. traffic modeling, GIS & data analysis will be performed by the two Assistant Program Planner/Administration positions). The Mobility Management Coordinator will manage the outreach, referral, and enrollment processing and all reporting duties for the, taxi scrip program, transit ambassador program, shared vehicle program, mileage reimbursement program, and ADA enrollments. Additional responsibilities will include the maintaining and development of content for NCTPA website and social media sites, community relations, commuter benefits programs, and marketing.
- (2) Re-classify the Accounting Technician to a Senior Financial/Policy Analyst. Over the past year, Justin Paniagua has taken on performing more financial and analytical responsibilities than that of an Accounting Technician. Reclassification of this position will greatly enhance the agency's ability to develop financial models and plans to develop projections and to secure new funding and implement creative financing mechanisms.

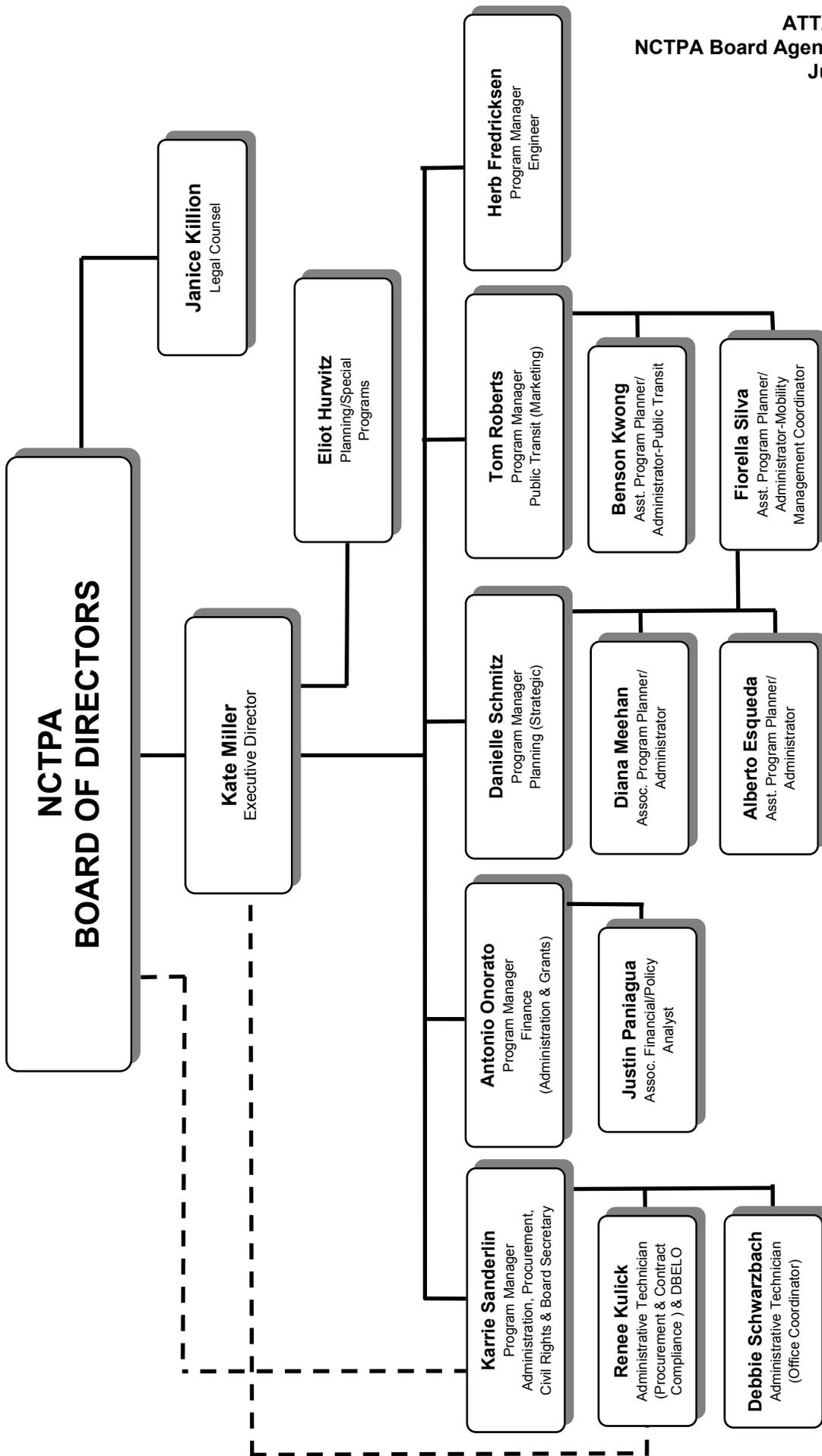
- (3) Amend the title of the Transportation Engineer to a Program Manager-Engineer and amend the annual salary range from \$84,777-\$102,412 to \$96,768-\$116,316. At the February meeting the Board approved the reclassification of the Transportation Engineer from a part-time to a full-time position. The duties and responsibilities of the position remain the same.

Including the Director, NCTPA has twelve full time employees and one part-time limited term position. The reorganization proposal will not add any additional positions.

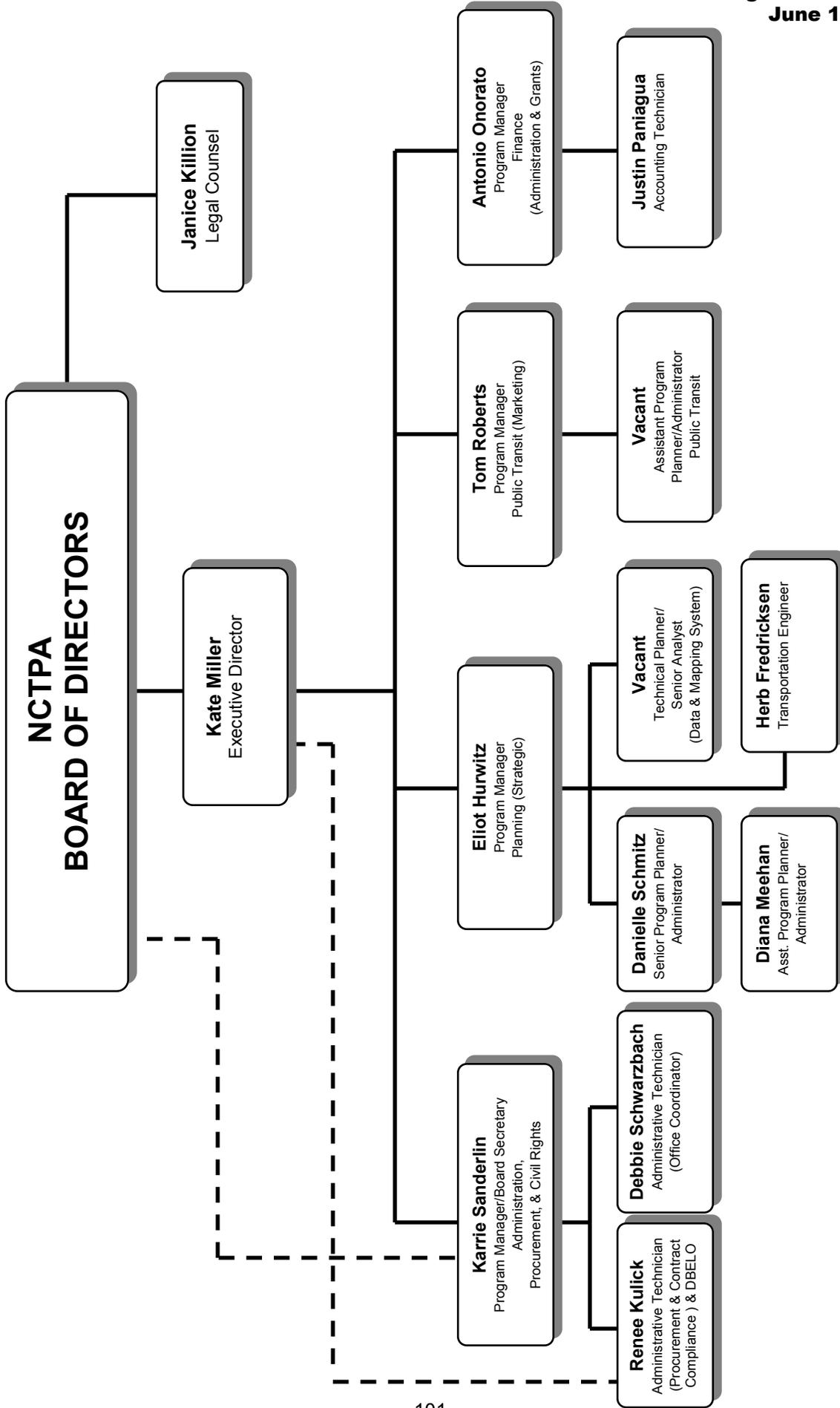
**SUPPORTING DOCUMENTS**

- Attachment: (1) Proposed NCTPA Organizational Chart-June 2014  
(2) NCTPA Organizational Chart-Approved February 19, 2014

# Proposed NCTPA Organizational Chart



# NCTPA Organizational Chart





June 18, 2014  
NCTPA Agenda Item 10.1  
Continued From: New

**Action Requested: INFORMATION/ACTION**

## NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY Board Agenda Letter

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**TO:** Board of Directors  
**FROM:** Kate Miller, Executive Director  
**REPORT BY:** Kate Miller, Executive Director  
(707) 259-8634 / Email: [kmiller@nctpa.net](mailto:kmiller@nctpa.net)  
**SUBJECT:** Legislative Update and State Bill Matrix

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### **RECOMMENDATION**

That the Napa County Transportation and Planning Agency (NCTPA) Board receive the monthly Federal and State Legislative Update and consider acting on staff recommendations included on the bill matrix.

### **COMMITTEE RECOMMENDATION**

The Technical Advisory Committee (TAC) recommended at their June 5th meeting that the NCTPA Board approve the staff recommendations on pending bills.

### **EXECUTIVE SUMMARY**

The Board will receive a Federal legislative update. The board will also receive a State legislative update (Attachment 1) from Platinum Advisors. The bill matrix (Attachment 2) is also attached and requests that the board consider staff recommendations on pending state bills.

### **PROCEDURAL REQUIREMENTS**

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

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**FINANCIAL IMPACT**

Is there a fiscal impact? No.

**CEQA REQUIREMENTS**

**ENVIRONMENTAL DETERMINATION:** The proposed action is not a project as defined by 14 California Code of Regulations 15378 (California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

**BACKGROUND AND DISCUSSION****Federal Update***Transportation Authorization*

The Senate Environment and Public Works Committee passed S.2333 (Boxer) out of its committee on a bipartisan, unanimous vote on May 15<sup>th</sup>. The bill would authorize \$262 billion in contract authority for the federal highway program over a six year period – FY 2015 through FY 2020 – a 1.9% annual increase. The bill requires \$100 billion in new revenues, without a recommendation for resolving issues with the Highway Trust Fund.

The bill proposes several policy changes, including:

- Establishing a national freight program that focuses on a highway network – apportioning \$400 million annually in FY 2016 to \$2 billion annually by FY 2020.
- Establishing a Projects of National and Regional Significance program – similar to TIGER but restricts 80% of funds to Title 23 highway programs, whereas the existing program balances revenues across modes.
- Establishing the American Transportation rewards which would award state departments of transportation and metropolitan transportation organizations that have adopted performance based plans/policies.

*FY 2015 Transportation, Housing, and Urban Development Spending Bill*

The House Appropriations Committee reported the FY 2015 bill (H.R. 4745) on May 31 and is now in the House Rules Committee. The bill includes cuts from the FY 2014 levels for General Fund surface transportation programs, including \$252 million from Federal Transit Administration (FTA) Capital Investment Grants (New Starts), \$200 million from Amtrak Capital Grants, and \$400 million from TIGER Grants.

**State Update***Pending Legislation*

The Bill Matrix includes two new bills for the Board's consideration. The first is AB 1724 (Frazier) which would allow public sector transportation agencies to engage in the Construction Manager General Contractor (CMGC) form of contracting. The concept is

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lies somewhere between the traditional phases of construction and design build, where a contractor is responsible for both the design and the construction. CMGC would still segregate the engineering and construction phases but the contractor would remain involved through the engineering phase.

The second bill for the Board's consideration is AB 2707 (Chau) would allow public transit buses of 40 feet or less to install 3-position bike racks on the front of vehicles and imposes specific criteria limiting the size of the bike rack and bicycle.

See attached report and bill matrix from Platinum Advisors for additional information about state legislative activities, the aforementioned bills and bills that the Board has previously acted on.

### **SUPPORTING DOCUMENTS**

Attachments: (1) June 5, 2014 State Legislative Update (Platinum Advisors)  
(2) June 5, 2014 Bill Matrix



June 5, 2014

TO: Kate Miller, Executive Director  
Napa County Transportation Planning Agency

FR: Steve Wallauch  
Platinum Advisors

RE: **Legislative Update**

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**Budget Conference:** The Budget Conference Committee has begun its task of reconciling the differences between the Senate and Assembly budgets. While they have met nearly every day this week, they are off to a slow start and have only taken action on a handful of items. They are scheduled to meet every day, including weekends with the goal of completing its work by the end of next week.

The deadline to send a budget to the Governor is June 15<sup>th</sup>, or they forfeit their pay for everyday it is late. They have completed an initial review health and human services, education, and they are expected to complete their review of cap & trade and transportation items today – we don't expect them to take action on cap & trade and transportation items until late next week.

Conference Committee members include:

**Senate**

Mark Leno, Vice Chair – D, San Francisco

Jim Nielsen – R, Butte County

Ricardo Lara – D, L.A. County

Loni Hancock – D, Berkeley

**Assembly**

Nancy Skinner, Chair – D, Berkeley

Jeff Gorell – R, L.A. and Ventura County

Shirley N. Weber – D, San Diego

Richard Bloom – D, Santa Monica

**Revenues:** Revenue assumptions play a significant role in the political and policy debates surrounding the budget. In the May Revise, the Governor is using conservative estimates on revenue growth for next fiscal year. However, the LAO has produced a more optimistic revenue outlook. The spending plan being cobbled together in the Legislature relies on the higher LAO revenue estimates. This allows them to adopt a balanced budget that includes the restoration of cuts to several safety net programs. While the Legislature and the Governor will reach an agreement on what numbers to use, it is the Governor that ultimately holds the fate of new spending with the use of his line item veto powers.

**Governor's Numbers** – Revenue in the current fiscal year is about \$2 billion higher than the January estimate; however, the Governor's May Revise assumes revenue will only grow by \$856 million in 2014-15. In addition, actual revenue attributed to the 2012-13 fiscal year has been ratcheted back by \$513 million. This puts the May Revise surplus at around \$2.4 billion.

*Legislature's Numbers* – The LAO revenue forecast for 2014-15 is \$2 billion higher than the Administration's. While the Governor assumes revenues in 2014-15 will only rise by \$856 million, the LAO forecasts revenue growth by \$2.8 billion. Per the LAO the two-year budget window results in a surplus of nearly \$5 billion. While this is a significant difference, the LAO cautions that even if its targets are hit Prop 98 will divert most of these funds to education, leaving only a few hundred million for non-Prop 98 programs.

The source of these divergent assumptions lies with capital gains. The LAO assumes the realization of capital gains in 2014 will reach \$136 billion, and will drop to \$123 billion in 2015. However, the Administration assumes that realization of capital gains will only reach to \$105 billion in 2014, and drop to \$89 billion in 2015. According to the LAO, these differences alone account for a swing in \$3 billion in income tax revenue.

**HUTA Loan Repayment:** Both the Senate and Assembly Subcommittees adopted allocation formulas that increase local street and road funding. However, their actions were not identical so this item will be resolved by the Conference Committee. The Governor proposed a \$349 million payment toward outstanding loans made from the state highway account (SHA). The Governor proposed allocating \$210 million to state SHOPP activities and \$100 million to cities and counties for local streets and roads. The Assembly Budget Subcommittee's action augmented the Governor's proposal by appropriating \$163 million in SHA funds for these maintenance projects. This included adding \$120 million to the local streets and roads allocation, raising the amount for cities and counties to \$220 million. It is unclear if diverting the extra funds from the SHA to SHOPP and local streets and roads will impact funding assumptions for STIP projects. The Senate Budget Subcommittee's action simply split the loan payment funds 60% to the state and 40% to cities and counties. This split is a compromise from the roughly 2/3 state, 1/3 local split in the Governor's proposal and the 44% local, 56% state split that CSAC and others were advocating. This results in state programs receiving \$202 million and local streets and roads receiving \$135 million.

**Cap & Trade:** The Senate failed to adopt a cap & trade funding proposal due to concerns about High-Speed Rail funding. However, the Senate Budget Committee held an informational hearing earlier this week to highlight Pro Tem Steinberg's multi-year expenditure plan. A copy of the Senate leadership plan is attached. The Assembly adopted its own expenditure plan, placing this issue in Conference. It will ultimately be resolved through negotiations with the Governor. The Assembly Subcommittee adopted a one-year funding plan that essentially splits \$1 billion in cap & trade revenue between state and local projects. Due to the uncertainty over the amount of cap & trade that will be generated next year, the Assembly opted for a one-year plan with the understanding that it will craft a longer term expenditure plan next year. The Assembly's cap & trade expenditure plan includes the following: \$400 million for state greenhouse gas reduction programs. These funds would be administered by the Strategic Growth Council and could be used for a wide range of energy efficiency projects for state building as well as fire prevention, urban forestry, agricultural waste and wetland restoration projects. These funds could also be used for High-Speed Rail and intercity rail projects. Overall, 25% of these funds must be allocated to projects benefiting disadvantaged communities as defined by the Strategic Growth Council. \$400 million for Sustainable Communities Grants. These funds would also be administered by the Strategic Growth Council, which would allocate these funds through a competitive grant program. These funds would be used for a wide range of projects including affordable housing, urban forestry, transit passes, active transportation, and transit-oriented developments. \$240 million for low-emission vehicle rebates and water use efficiency. Consistent with the Governor's proposal,

\$200 million will be administered by the Air Board to fund vehicle rebate programs and demonstration projects for zero emission trucks and buses. The remaining \$40 million would be used for energy efficiency projects related to water movement. High-Speed Rail: The Assembly plan omits cap & trade funding for High-Speed Rail. The Assembly plan does not support providing open-ended funding when the exact amount of cap & trade funding is unknown and the rail project's funding needs are also questionable. The Assembly plan includes authorization for the High-Speed Rail Authority to borrow up to \$20 billion in federal Railroad Rehabilitation and Improvement Financing loans, and authorizes the use of \$20 billion in lease-revenue bonds. Cap & trade funds could be used as the source to repay these loans.

**LAO on COS:** The LAO released a new report on its review of how Caltrans budgets for Capital Outlay Support costs. The report continues the LAO's call for Caltrans to improve the data quality used for the estimates, and urges the Legislature to take a multi-year approach to reduce the budget and staffing levels. The LAO points out the due to declining project funding, such as the end of Prop 1B revenues, the COS budget will be overstaffed by about 3,500 full time equivalents starting in 2014-15 at a cost of \$500 million.

While significant staff cuts are proposed, the LAO also recommends granting the CTC greater oversight of SHOPP projects. Due to the lack of external oversight of the SHOPP program, the LAO recommends granting the CTC the following oversight powers:

- Require the CTC to review and approve individual SHOPP projects. Currently, the CTC is limited to approving or rejecting the entire SHOPP program.
- Require the CTC to allocate COS funds for SHOPP projects. The CTC currently approves the capital costs of SHOPP projects, but has no oversight of the support costs.
- Require Caltrans to provide the CTC with any project information that the CTC or its staff feels is needed.
- Require the CTC to include in its annual report to the Legislature a review of Caltrans' performance at delivering projects.

### **Legislation:**

**Bike Racks:** As introduced AB 2707 (Chau) simply added the LAMTA to the growing list of transit operators authorized to use the longer three position bicycle racks. The bill has been amended, to apply to all transit operators. As amended AB 2707 would allow transit operators to use the longer three position bicycle racks on any vehicle that is no more than 40 feet in length. The bill sailed through the Assembly with unanimous support. It is scheduled to be heard by the Senate Committee on Transportation & Housing on June 10<sup>th</sup>.

**Project Delivery:** AB 1724 would allow any transportation entity to utilize the construction manager/general contractor (CMGC) procurement process. Under current law this authority is only granted to three specified transportation authorities. CMGC contracts are a hybrid of the traditional design-bid-build procurement process and a design-build process. It allows transportation agencies to hire a construction manager to work as a consultant during the pre-construction phase and as the general contractor during the construction phase. The bill uses the term "regional transportation agency" to describe who can use this procurement process,

but it is broadly defined to include both regional and countywide transportation agencies, including transportation authorities.



June 5, 2014

Bills	Subject	Status	NCTPA RECOMMENDED POSITION
<p><b>AB 1724</b>  <b>(Frazier D)</b>  Construction Manager/General Contractor method: regional transportation agencies.</p>	<p>AB 1724 would allow “regional transportation agencies” to utilize an alternative procurement process known as “construction manager/general contractor”(CMGC) for delivering transportation projects.</p> <p>CMGC contracts are a hybrid of the traditional design-bid-build procurement process and a design-build process. It allows transportation agencies to hire a construction manager to work as a consultant during the pre-construction phase and as the general constructor during the construction phase. The bill specifies certain steps the transportation agency must take before entering into a CMGC contract, and it requires the agency to issue a report at the completion of each CMGC contract.</p> <p>AB 1724 defines a regional transportation agency to include a wide range of regional and local transportation agencies, including a county transportation authority.</p>	<p>SENATE RLS.</p>	<p>Recommended Position: SUPPORT</p>
<p><b>AB 2707</b>  <b>(Chau D)</b>  Vehicles: length limitations: buses: bicycle transportation devices.</p>	<p>AB 2707 authorizes any transit operator to utilize bicycle racks that can accommodate 3 bicycles.</p> <p>Specifically, the bill would allow transit buses of no more than 40 feet in length to be equipped with a front-mounted bicycle rack that extends up to 40 inches from the front body of the bus when fully deployed rather than the 36 inches allowed under current law, and limits the handlebars of a bicycle that is being transported on such a rack from extending more than 46 inches from the front of the bus rather than the 42 inches allowed under current law.</p>	<p>SENATE T &amp; H – June 10<sup>th</sup></p>	<p>Recommended Position: SUPPORT</p>

Bills	Subject	Status	NCTPA ADOPTED POSITION
<p><b>AB 935</b> <b>(Frazier D)</b> San Francisco Bay Area Water Emergency Transportation Authority: terms of board members.</p>	<p>AB 935 would expand the Water Emergency Transportation Authority board and specify that the seats represent specified counties. This bill, so far, has not been set for hearing in Senate Transportation.</p> <p>AB 935 would divvy up the appointments to WETA as follows:</p> <ul style="list-style-type: none"> <li>• Of the Governor’s three appointees one shall be a resident of San Francisco.</li> <li>• The Senate Rules Committee will have two appointees that shall include a resident of Contra Costa County and a resident of San Mateo County</li> <li>• The Speaker of the Assembly will have two appointees that shall include a resident of Solano County and a resident of Alameda County.</li> <li>• Each of the County appointees shall be selected from a list of three nominees provided by the transportation authority from each county.</li> <li>• If a transportation authority does not submit a list of three names within 45 days of a vacancy then the Governor shall appoint a resident from the specified county.</li> </ul>	SENATE T & H	WATCH
<p><b>AB 1193</b> <b>(Ting D)</b> Bikeways.</p>	<p>AB 1193 was gutted and amended in January to create a new class of bike paths, known as a “cycle track” or “protected bikeway.” The bill would create a Class IV bikeway defined to provide a right-of-way designated exclusively for bicycle travel within a roadway and that are protected from other vehicle traffic with devices, including, but not limited to, grade separations, flexible posts, inflexible physical barriers, or parked cars.</p>	SENATE T & H	SUPPORT
<p><b>AB 1447</b> <b>(Waldron R)</b> California Global Warming Solutions Act of 2006: Greenhouse Gas Reduction Fund: traffic synchronization.</p>	<p>This bill would add to the list of eligible uses for cap &amp; trade auction revenue the funding of traffic signal synchronization projects.</p>	SENATE T & H	WATCH

Bills	Subject	Status	NCTPA ADOPTED POSITION
<b>AB 1639</b> <b>(Grove R)</b> California Global Warming Solutions Act of 2006: greenhouse gas emissions limit.	Would state the intent of the Legislature that moneys derived from emissions reductions measures be expended to achieve the maximum technologically feasible and cost-effective reductions in greenhouse gas emissions in furtherance of achieving the statewide greenhouse gas emissions limit.	ASSEMBLY NA T. RES.  Failed Passage	WATCH
<b>AB 1720</b> <b>(Bloom D)</b> Vehicles: bus gross weight.	This bill would extend the sunset date for the bus axle weight exemption by one year from January 1, 2015 to January 1, 2016. This bill would also likely be used to implement any agreement reached this year on the axle weight issue.	SENATE T & H	SUPPORT
<b>AB 1907</b> <b>(Ridley-Thomas D)</b> Use fuel tax: natural gas: gallon equivalent.	This bill would impose an excise tax on the sale of natural gas sold at retail for public use as a transportation fuel. The tax per gallon would be based on the energy equivalent of natural gas when compared to gasoline, and not on the volume equivalent.	SENATE T & H	WATCH
<b>AB 1970</b> <b>(Gordon D)</b> California Global Warming Solutions Act of 2006: Community Investment and Innovation Program.	AB 1970 was approved by the Assembly Committee on Local Government, and has now moved to the Appropriations Committee  AB 1970 directs the Strategic Growth Council to create the Community Investment and Innovation Program. This program would provide grants to local governments for the purpose of developing and implementing greenhouse gas emission reduction projects in their region.	ASSEMBLY APPR – Held on Suspense File - - DEAD	WATCH
<b>AB 2119</b> <b>(Stone D)</b> Local taxes: transactions and use taxes.	AB 2119 authorizes a county board of supervisors to levy, increase, or extend a transaction and use tax at a rate of 0.125 percent, for general or specific purposes, within the unincorporated area of the county, providing that the tax is approved by a two-thirds vote of all members of the board of supervisors and is subsequently approved by a two-thirds vote of the qualified voters of the entire county or the unincorporated area of the county, as applicable, voting in an election on the issue.	SENATE G. & F.	SUPPORT
<b>AB 2173</b> <b>(Bradford D)</b> Vehicles: electric bicycles.	As amended, AB 2173 only increases the horsepower of a motorized bicycle or moped to increase from 2 to 4 horsepower. This change would allow the use of these stronger mopeds by persons with a Class C license. The operation of these mopeds would continue to be limited to public streets.	SENATE T & H	SUPPORT

Bills	Subject	Status	NCTPA ADOPTED POSITION
<p><b>AB 2445</b> <b>(Chau D)</b> Community colleges: transportation fees.contracts.</p>	<p>AB 2445 makes clarifying changes in existing law to allow a community college district to impose a fee approved by the students for transportation services on a campus by campus basis. Some believe existing law limits the approval of the fee to a district wide vote.</p>	<p>SENATE ED</p>	<p>SUPPORT</p>
<p><b>AB 2651</b> <b>(Linder R)</b> Vehicle weight fees: transportation bond debt service.</p>	<p>This bill effective January 1, 2016, would prohibit weight fee revenue from being transferred from the State Highway Account to the Transportation Debt Service Fund or to the Transportation Bond Direct Payment Account, and from being used to pay the debt service on transportation general obligation bonds.</p> <p>AB 2651 remains in the Assembly Transportation Committee. However, AB 2728 (Perea) was approved by the Committee, and Assemblyman Linder is working with Assemblyman Perea on moving this bill forward.</p>	<p>ASSEMBLY TRANS -- DEAD</p>	<p>SUPPORT IF AMENDED</p>
<p><b>AB 2652</b> <b>(Linder R)</b> Increased revenues: appropriation.</p>	<p>This bill would require up to \$2.5 billion in unanticipated revenue to be used to repay all remaining debts owed to transportation accounts. Unanticipated revenue would be what remains of any surplus after schools and other mandated programs receive their allotment. AB 2652 specifies that 50% of the unanticipated revenue, not to exceed \$2.5 billion, would be appropriated to cities and counties for local street and road projects. The allocation to cities and counties would be based on the existing "HUTA" formula. The remaining 50% would be deposited into the Budget Stabilization Account.</p>	<p>ASSEMBLY BUDGET -- DEAD</p>	<p>WATCH</p>
<p><b>AB 2728</b> <b>(Perea D)</b> Vehicle weight fees: transportation bond debt service.</p>	<p>AB 2728 would prohibit weight fee revenue from being transferred from the State Highway Account (SHA) to the Transportation Debt Service Fund or to the Transportation Bond Direct Payment Account, or to any other fund or account. This prohibition would remain in effect until January 1, 2019.</p> <p>AB 2728 is similar to SB 1418, and AB 2651, which the Board voted to support last month.</p>	<p>ASSEMBLY APPR. – Held on Suspense File -- DEAD</p>	<p>SUPPORT IF AMENDED</p>

Bills	Subject	Status	NCTPA ADOPTED POSITION
<b>SB 1</b> <b>(Steinberg D)</b> Sustainable Communities Investment Authority.	<p>SB 1 would create a new form of tax increment financing that would allow local governments to create a Sustainable Communities Investment Authority to finance specified activities within a sustainable communities investment area.</p> <p>The Governor's Office asked the authors' of the various tax increment measures to hold-off sending these bills to his desk last year. With the Governor's IFD proposal released as part of the budget negotiations over the structure of a new tax increment financing proposal will heat-up during the budget process.</p>	Senate Floor - Inactive File	WATCH
<b>SB 792</b> <b>(DeSaulnier D)</b> Regional entities: Bay Area.	<p>Recent amendments to SB 792 scale the bill back slightly. As amended, SB 792 directs the Joint Policy Committee to prepare an analysis of where member agencies complete common functions and identify opportunities to save costs, reduce redundancies, and further to goals of the member agencies.</p> <p>The bill also directs the MTC to convene a "public engagement advisory committee" which would provide input in the development of a draft public participation plan for the regional transportation plan update.</p>	Assembly LOC GOV – June 18 <sup>th</sup>	WATCH
<b>SB 983</b> <b>(Hernandez D)</b> Local sales taxes: card lock fuel: place of sale.	<p>Senate Bill 983 specifies that, for purposes of allocating the local share of the sales tax collected from fuel sales made through a card lock network, the place at which the fuel is delivered is the point of sale.</p>	SENATE APPR	SUPPORT
<b>SB 1077</b> <b>(DeSaulnier D)</b> Vehicles: vehicle-miles-traveled charges.	<p>SB 1077 requires the Transportation Agency to develop a pilot program by January 1, 2016, to explore various methods for using a mileage-based fee (MBF) to replace the state's existing fuel tax. The bill also outlines the scope of issues to be examined including privacy issue, security, and different methods of collecting the data.</p>	ASSEMBLY TRANS.	SUPPORT
<b>SB 1183</b> <b>(DeSaulnier D)</b> Bicycle tax	<p>SB 1183 would authorize cities, counties, and regional park districts to impose vehicle registration surcharges of up to \$5 for the purpose of funding local bicycle infrastructure improvements and maintenance. The prior version of the bill would have authorized imposing a fee on the sale of new bicycles.</p>	ASSEMBLY DESK	SUPPORT

Bills	Subject	Status	NCTPA ADOPTED POSITION
<b>SB 1204</b> <b>(Lara D)</b> California Clean Truck, Bus, and Off-Road Vehicle and Equipment Technology Program.	SB 1204 creates a California Clean Truck, Bus, and Off-Road Vehicle and Equipment Technology Program. The purpose of this bill is to use cap & trade auction revenue to fund the development, demonstration, and commercial deployment of zero- and near-zero-emission truck, bus, and off-road vehicle. In particular this bill would create large scale zero emission bus demonstration program aimed at making zero emission bus technology commercially available.	ASSEMBLY TRANS	WATCH
<b>SB 1236</b> <b>(Monning D)</b> Transit districts: transit offenses and enforcement.	SB 1236 would authorize the governing board of a transit district (or Joint Powers Authority) to designate district employees, except as specified, or security officers contracted by the district, to enforce state laws relative to certain prohibited acts on or in public transportation systems or on the property, facilities, or vehicles of a transit district, if the employees or officers satisfy specified training requirements.  The bill would also make it an infraction to knowingly give false information to an enforcement officer or otherwise obstruct the issuance of a citation.	ASSEMBLY TRANS – June 9th.	SUPPORT
<b>SB 1368</b> <b>(Wolk D)</b> State Highway; relinquishment	This measure would authorize the California Transportation Commission to approve the relinquishment of a state owned park & ride lot to a Joint Powers Authority formed for the purpose of providing transportation services. Current law limits the relinquishment to a county transportation commission or regional transportation planning agency.	ASSEMBLY TRANS	SUPPORT
<b>SB 1418</b> <b>(DeSaulnier D)</b> Vehicle weight fees: transportation bond debt service.	SB 1418 directs vehicle weight fees into the State Highway Account, rather than the Transportation Debt Service Fund, thereby providing an additional \$1 billion annually to local streets and roads and to the state highway system. Thus, General Fund revenues must service the transportation-related, general obligation bond debt of the state.  SB 1418 has similar policy goals as AB 2651, which the Board voted to support last month.	SENATE APPR. – Held on Suspense File -- DEAD	SUPPORT IF AMENDED

Bills	Subject	Status	NCTPA ADOPTED POSITION
<p><b><u>SB 1433</u></b>  <b>(Hill D)</b>  Local Agency Public Construction Act: transit design-build</p>	<p>This bill would repeal the sunset date on existing law that allows transit operators to utilize the design-build procurement process. The bill also removes the project cost thresholds that must be met in order to use design-build, thus allowing design-build procurement to be used on any size project.</p>	<p>ASSEMBLY LOC GOV – June 18<sup>th</sup></p>	<p>SUPPORT</p>
<p><b><u>SCA 4</u></b>  <b>(Liu D)</b>  Local government transportation projects: special taxes: voter approval.</p>	<p>SCA 4 is in the Senate Committee on Appropriations. Constitutional amendments are exempt for the House of Origin deadline.</p> <p>SCA 4 has been amended to require a percentage of the sales tax revenue be used for projects that reduce GHG emissions from transportation sources, and require a portion of the funds used on state highway project be given to the state for future maintenance needs.</p> <p>This measure would amend the Constitution to lower the voter approval threshold to 55% for the imposition, extension, or renewal of a local tax for transportation projects. SCA 4 was amended to require a local measure to include the following in order to be approved with a 55% vote:</p> <ul style="list-style-type: none"> <li>• Includes a specific list of projects and programs that will be funded and limits the use of the funds for those purposes,</li> <li>• Includes a requirement for annual audits, and Requires the creation of a citizens’ oversight committee.</li> </ul>	<p>SENATE APPR</p>	<p>SUPPORT</p>
<p><b><u>SCA 8</u></b>  <b>(Corbett D)</b>  Local government transportation projects: special taxes: voter approval.</p>	<p>SCA 8 is in the Senate Committee on Appropriations. Constitutional amendments are exempt from the House of Origin deadline.</p> <p>SCA 8 is another measure that would amend the Constitution to lower the voter approval threshold to 55% for the imposition, extension, or renewal of a local tax for transportation projects. SCA 8 was also amended to require a local measure to include the following in order to be approved with a 55% vote:</p> <ul style="list-style-type: none"> <li>• Includes a specific list of projects and programs that will be funded and limits the use of the funds for those purposes,</li> <li>• Includes a requirement for annual audits, and Requires the creation of a citizens’ oversight committee.</li> </ul>	<p>SENATE APPR</p>	<p>SUPPORT</p>

Bills	Subject	Status	NCTPA ADOPTED POSITION
<p><b>SCA 11</b> <b>(Hancock D)</b> Local government: special taxes: voter approval.</p>	<p>SCA 11 is in the Senate Committee on Appropriations. SCA 11 is an “umbrella measure” on lowering the voter threshold from 2/3 to 55% for local sales taxes and parcel taxes. This measure would lower the vote threshold for any purpose.</p> <p>SCA 11 was also amended to require the following elements in the local measure in order to be approved by 55%:</p> <ul style="list-style-type: none"> <li>• Includes a specific list of projects and programs that will be funded and limits the use of the funds for those purposes,</li> <li>• Includes a requirement for annual audits, and</li> <li>• Requires the creation of a citizens’ oversight committee.</li> </ul>	SENATE APPR	SUPPORT