BOARD OF DIRECTORS
AGENDA PACKET

Monday, May 11, 2015
2:30 p.m.

Sonoma County
Permit & Resource Management Department
2550 Ventura Avenue
Santa Rosa, California
BOARD OF DIRECTORS AGENDA

May 11, 2015 – 2:30 p.m.

Sonoma County Permit & Resource Management Department
Planning Commission Hearing Room – 2550 Ventura Avenue, Santa Rosa, CA

1. Call to order the meeting of the Sonoma County Transportation Authority (SCTA) and the Sonoma County Regional Climate Protection Authority (RCPA)

2. Public comment on items not on the regular agenda

3. Consent Calendar

   A. SCTA/RCPA Concurrent Items
      3.1. Admin – Minutes of the April 13, 2015 meeting (ACTION)*
      3.2. Admin – Contract for audit services with Pisenti and Brinker for SCTA, RCPA and Measure M (ACTION)*

   B. RCPA Consent
      3.3. BAYREN – contract amendment with Association of Bay Area Governments related to the Pay As You Save program (ACTION)*

4. Regular Calendar

   A. RCPA Items
      4.1. Programs
         4.1.1. BAYREN – two year report progress of Bay Area Regional Energy Network programs (ACTION)*

   B. SCTA Items
      4.2. SCTA Planning
         4.2.1. Transit – presentation from City of Santa Rosa on “Reimagining CityBus” (REPORT)*
         4.2.2. Regional Planning – Plan Bay Area schedule and events (REPORT)*

      4.3. SCTA Projects and Programming
         4.3.1. Active Transportation – FY15/16 Transportation Development Act Article 3 (TDA3) program of projects (ACTION)*
         4.3.2. Air District – FY15/16 Transportation Fund for Clean Air (TFCA) program of projects (ACTION)*
         4.3.3. Measure M – FY14/15 Budget Adjustment for Measure M (ACTION)*
         4.3.4. Highways – funding for cost increase on College Avenue project (ACTION)*
         4.3.5. Highways – multi-county letter to MTC and State Transportation Agency regarding initial funding for Highway 37 planning (ACTION)
         4.3.6. Highways – update on State Highway projects (REPORT)
            • TIGER grant proposal for Marin Sonoma Narrows from Transportation Authority of Marin

      4.4. SCTA Administration
4.4.1. Legislation – transportation bills in the State Legislature (ACTION)

C. SCTA/RCPA Concurrent Items

4.5. FY15/16 Preliminary Budgets –

4.5.1. Measure M budget (ACTION)*
4.5.2. Transportation Fund for Clean Air (TFCA) budget (ACTION)*
4.5.3. SCTA operating budget (ACTION)*
4.5.4. RCPA operating budget (ACTION)*

5. Reports and Announcements

5.1. Executive Committee report
5.2. Regional agency reports*
   SMART  NCRA  MTC  Self Help Counties Coalition
   ABAG  BAAQMD  CALCOG  GGBHTD  Sonoma Clean Power

5.3. Advisory Committee agendas*
5.4. SCTA/RCPA staff report
5.5. Announcements

6. Adjourn – in memory of Jared Overfield

*Materials attached.

The next SCTA/RCPA meetings will be held June 8, 2015

Copies of the full Agenda Packet are available at www.sctainfo.org

DISABLED ACCOMMODATION: If you have a disability that requires the agenda materials to be in an alternate format or that requires an interpreter or other person to assist you while attending this meeting, please contact SCTA/RCPA at least 72 hours prior to the meeting to ensure arrangements for accommodation.

SB 343 DOCUMENTS RELATED TO OPEN SESSION AGENDAS: Materials related to an item on this agenda submitted to the SCTA/RCPA after distribution of the agenda packet are available for public inspection in the SCTA/RCPA office at 490 Mendocino Ave., Suite 206, during normal business hours.

Pagers, cellular telephones and all other communication devices should be turned off during the committee meeting to avoid electrical interference with the sound recording system.

TO REDUCE GHG EMISSIONS: Please consider carpooling or taking transit to this meeting. For more information check www.511.org, www.srcity.org/citybus, www.sctransit.com or https://carmacarpool.com/sfbay
1. **Call to order the meeting of the Sonoma County Transportation Authority (SCTA) and the Sonoma County Regional Climate Protection Authority (RCPA)**

Meeting called to order at 2:30 p.m. by Chair Sarah Gurney.

Directors Present: Director Gurney, City of Sebastopol, Chair; Director Rabbitt, Supervisor, Second District, Vice Chair; Director Carlstrom, City of Santa Rosa; Director Gallian, City of Sonoma; Director Gorin, Supervisor, First District; Director Landman, City of Cotati; Director Mackenzie, City of Rohnert Park; Director Miller, City of Petaluma; Director Russell, City of Cloverdale; Director Salmon, Town of Windsor; Director Zane, Supervisor, Third District.

Directors Absent: Director Chambers, City of Healdsburg.

Suzanne Smith summarized the following changes in the agenda:

- Item 4.2.1 is postponed until the May meeting due to a family emergency with Santa Rosa City staff.
- Item 4.2.2 is postponed until the June meeting, when ABAG staff will have a more Sonoma County-specific report; meanwhile, Ms. Smith referred the Board to the online link to the report.

Finally, Ms. Smith noted that Item 4.4.1, the legal services contract with County Counsel and conflict waiver, is both an SCTA and RCPA administrative agenda item.

Chair Gurney congratulated Directors Mackenzie, Zane, Rabbitt and Russell on the arrival of the first new train set for SMART and the event at the Cotati Depot.

2. **Public comment on items not on the regular agenda**

Duane DeWitt of Roseland in Santa Rosa clarified his comments regarding transit-oriented development planning at the previous meeting, explaining that he suggested the addition of a rail station in southwestern Santa Rosa, possibly on Bellevue Avenue, next to Moorland Avenue. He added that the Roseland Specific Plan is expected to include planning for helping the public get to the SMART station, and that taking the bus needs to be made more attractive.

3. **Consent Calendar**

   **A. SCTA/RCPA Concurrent Items**
   - 3.1. Admin – Minutes of the March 9, 2015 meeting (ACTION)*
     
     Motion by Director Landman, seconded by Director Zane, to approve the minutes with the changes as noted by Mr. DeWitt. Motion passed, 8-0-1-3, with Chair Gurney, Director Carlstrom and Director Gallian abstaining; Director Chambers absent.

   **B. SCTA Consent**
   - 3.2. Measure M – appropriation request for a cooperative agreement amendment for Hearn Avenue (ACTION)*
   - 3.3. Measure M – appropriation request for a cooperative agreement amendment for Bodega Bay Trail (ACTION)*
   - 3.4. Measure M – appropriation request for a cooperative agreement amendment for Central Sonoma Valley Trail (ACTION)*
   - 3.5. Measure M – Authorization of Series 2015 Bond Transaction Fee Addendum for On-Call Financial Services Agreement with KNN
   - 3.6. Measure M - Bond Counsel and Disclosure Counsel Agreement
Chair Gorin thanked staff for their work on Item 3.4, the Central Sonoma Valley Trail.

Referring to Item 3.6, the Bond Counsel and Disclosure Counsel Agreement, Director Carlstrom expressed the wish for staff to present at least one other option/candidate going forward for these significant types of services, noting that these require specialized legal expertise.

Director Zane expressed her thanks to staff for the funding for Sonoma County Regional Parks for Item 3.3. Director Gallian likewise thanked staff for the bicycle/pedestrian pathway, noting that it will secure safety for students.

Motion by Director Miller, seconded by Director Gorin, to approve the Consent Calendar. Motion passed unanimously, 11-0-1-0.

4. Regular Calendar
   A. RCPA Items
      4.1. Planning
         4.1.1. Shift – Fuel shift request for proposals (ACTION)*

Lauren Casey explained that the RCPA has been awarded a planning grant from the State and staff is now requesting approval to release a Request for Proposals for the preparation of a Transportation Fuel Shift Plan. This complements the Mode Shift planning grant RFP that was recently released.

Motion by Director Mackenzie, seconded by Director Gorin, to approve the release of an RFP for the preparation of a Transportation Fuel Shift Plan. Motion carried unanimously, 11-0-1-0.

4.1.2. CA2020 – adaptation updates (ACTION)*
   - Definitions
   - Finalize adaptation objectives
   - Adaptation Forums

Ms. Casey presented revised draft adaptation objectives, explaining that these have been reordered and that definitions have been clarified further, per previous Board recommendations.

Ms. Casey thanked the Board for their attendance and participation at the Climate Adaptation Forum.

Chair Gurney congratulated staff on the success of the Climate Adaptation Forum.

Discussion followed regarding the draft objectives, mainly involving formatting/clerical issues.

Director Carlstrom offered to work with staff to identify City staff in the Community Development Department to collaborate with the RCPA for the May 21 Adaptation Workshop, which is a follow-up event to the April 8 Sonoma Adaptation Forum.

In response to comments/questions by Director Mackenzie, who noted that the May 21 event is scheduled after the national adaptation forum, Ms. Casey noted that the May 21 event is the first county-based forum. She explained that the RCPA is not scheduled on this year’s national forum program, but may be consulted for information on its activities and accomplishments, and would likely be on next year’s national adaptation forum agenda.

Director Gorin commented on the success of the April 8 forum, thanking staff for their work and the Directors for their participation. She encouraged a broader, more balanced representation of attendees going forward.

Ms. Smith added that a staff member of the White House Climate Action Champions in Washington, DC, was in attendance at the April 8 forum.

Motion by Director Gallian, seconded by Director Mackenzie, to approve the adaptation objectives to be included in the Climate Action 2020 Plan. Motion passed unanimously, 11-0-1-0.

B. SCTA Items
   4.2. SCTA Planning
      4.2.1. Transit – presentation from City of Santa Rosa on “Reimagining CityBus” (REPORT)*

As noted previously, this item was postponed to the May meeting.

4.2.2. ABAG – State of the Region 2015 –
As noted previously, this item was postponed to the June meeting.

4.3. SCTA Projects and Programming

4.3.1. Transit – FY15/16 Coordinated Claim for transit (ACTION)*

Dana Turréy explained that each year this is prepared by the jurisdictions of Sonoma County for Transportation Development Act, State Transit Assistance, and Measure M funding for transit. MTC requires that this be prepared and adopted by the SCTA Board. This funding is the basis on which transit operators plan their budget; revenue from these three sources (TDA, STA and Measure M) is subject to change. The estimated funds for Fiscal Year 2015/16 are just over $26.8 million, which is approximately 2% higher than last year.

Ms. Turréy confirmed that the Coordinated Claim was reviewed by the Transit Technical Advisory Committee, and that the Committee recommended its approval by the Board.

Motion by Director Miller, seconded by Director Russell, to approve the Coordinated Claim for Fiscal Year 2015/16. Motion carried unanimously (11-0-1-0).

4.3.2. Measure M – 2008 bond refunding and 2015 bond issuance for the Highway 101 program (ACTION)*

James Cameron explained that this would refund SCTA 2008 bonds to a lower interest rate. This then frees up the 2008 bond debt service, and bonds for the growth of the sales tax from 2011 to 2015. It is estimated that this would provide an additional $8.5 million for continued construction on the Highway 101 corridor, specifically targeting the MSN B2 Phase II project. This would result in widening and opening an additional four miles of HOV lanes south of the new Kastania Road overcrossing.

Mr. Cameron referred to the schedule, noting that the next step is to work with the lending agencies in bond pricing, and to sell the bonds in early June.

Director Mackenzie confirmed that these activities represent the formal process of implementing the ad hoc committee’s recommendation.

Board discussion included the opportunity this provides to complete the HOV lane and fill the existing gap, as well as commendation for staff’s efforts and the expeditious timing.

Director Rabbitt commented on the excellent value in the purchase of the new SMART rail cars, reporting on the successful tour of Marin Sonoma Narrows and SMART with Caltrans staff and the Secretary of the Transportation Agency, their positive comments, and the progress that has been made.

Director Zane added that expansion of the 101 corridor is in conjunction with the implementation of rail service, which will expand economic growth in the North Bay. She also noted that more families will be seeking housing in Sonoma County, where it is more affordable.

Director Mackenzie expressed his appreciation and recognized the efforts of Senator Mike McGuire, a former Board Director, who has been diligent in pursuing the continuing construction of Highway 101 and the Marin Sonoma Narrows since taking office. He also thanked Mr. Cameron for his efforts in this project.

Director Carlstrom confirmed with Mr. Cameron that this item approves staff to move forward with issuing and selling the bonds. Ms. Smith clarified that this item addresses one component of the ad hoc committee recommendations, which involves private placement bonds; this is specifically addressed in this item. The other component involved a potential inter-program loan, which is unrelated to this particular item.

Director Carlstrom next confirmed that the contract approved under the consent items is directly related to this transaction.

Ms. Smith responded to Board questions regarding public notice of the bond sale, stating that at the time of the bond sale, when staff knows how much funding has been secured, this could be publicized.
Director Mackenzie cited the need to have a discussion with Marin County, and the fact that, to date, they have not made an effort to fill the funding gap, and encouraged a cautious approach until the funding is secured.

Director Gallian commended staff on the highly valuable and informative document.

Mr. Cameron confirmed that overall savings total $1.5 million, net of fees, in response to Director Rabbitt’s inquiry.

Motion by Director Miller, seconded by Director Gallian, to (1) authorize the issuance of Sonoma County Transportation Authority Sales Tax Revenue Bonds (Limited Tax Bonds); (2) to authorize the execution and delivery of various documents associated with the issuance; and (3) authorize the taking of actions necessary to the issuance and sale of the bonds.

4.3.3. Highways – update on State Highway projects (REPORT)

Mr. Cameron reported that a consultant has been hired by Sonoma County Transportation and Public Works to complete the design for bidding in the summer of 2016 for the landscaping of the North B project (Airport Boulevard Interchange). A public meeting/open house will be held May 12 at 6:00 p.m. for the public to view these preliminary plans.

One right-of-way parcel is in litigation on the Central C/Old Redwood Highway Interchange project. Pending the final outcome, additional funds may be necessary.

Mr. Cameron next summarized the staging for this project, which is in three sub-stages. This will involve a weekend closure of the southbound off ramp; reducing Petaluma Boulevard North eastbound and westbound traffic to one lane in order to raise the grade on the north side of the street east of the freeway and on the south side of the street west of the freeway (this will require weekend ramp closures for the northbound and southbound ramps to pave where the ramps conform to the roadway; and raising the profile of Petaluma Boulevard North, with a detour for business access. The first of these stages is scheduled for early May.

The MSN C-2 (Central Petaluma HOV lanes) has been successful in acquiring right-of-way, although construction funding has not yet been identified.

On the MSN B-2 project, (Petaluma River Bridge and Petaluma Boulevard South Interchange), girder replacement was successfully completed March 26. In August traffic will be shifted to allow for the final demolition of the southbound Petaluma River Bridge.

Landscaping plans have been combined for economy of scale for the MSN B-2 project (northwest quadrant of the Petaluma Boulevard South Interchange) and MSN C-3 project (northeast quadrant of the Lakeville Highway 116 Interchange and sound wall ivy) and this project could be advertised this summer. Caltrans design is at 100%. This project will be made up of mainly tree planting and some shrubs, with all plants being low or very low water consumption. Caltrans is evaluating the Governor’s recent mandatory water rationing and determining whether or not this project should move forward (delaying tree replacement vs. conserving water).

Mr. Cameron next reported on ramp metering throughout Sonoma County, explaining that Caltrans will conduct an after study after metering is turned on for the Airport Boulevard Interchange, which took place on this date. Metering will be green all this week at this on ramp, and will begin cycling next week. Data collection will be conducted on ramp metering for the entire Highway 101 corridor before schools let out for summer vacation.

Discussion ensued regarding signage for ramp metering to clarify how traffic is to merge onto the freeway.

In response to Board questions, Mr. Cameron noted that he would follow up regarding congestion at the southbound Highway 12 and 101 interchange; the Board suggested signage to encourage traffic that is not merging on to Highway 101 to remain in the left lane.

Mr. Cameron confirmed that water for landscaping on Highway 101 may be trucked in recycled water and is plumbed with a drip irrigation system that a truck can hook up to.

Director Rabbitt commended the good job being done on Highway 101 by staff and Caltrans in redirecting traffic while minimizing disruption of
routes, noting that the brief ramp closures have been effective in expediting construction.

Seana Gause reported on the Highway 12 Laguna de Santa Rosa Bridge replacement project, noting that Caltrans expects construction to begin in early May, with creek activities beginning by mid-June.

The County recently resolved the challenges with the environmental document for the improvements on Highway 116 at Mirabel Road, and intends to seek Board of Supervisors’ approval to renew/extend contracts for design engineering and right-of-way agents. The document has had minor edits that require Caltrans’ approval prior to proceeding to the right-of-way phase. Construction is estimated to begin in 2017.

Technical studies have begun on the properties that have granted access for the Highway 116/121 intersection improvements.

The environmental document process is moving forward on the Hearn Avenue interchange improvements. A public scoping meeting and open house is scheduled for Wednesday, April 22, from 6:30-8:30 p.m. at the Veteran’s Memorial Building in Santa Rosa.

Ms. Gause introduced Betsy Joseph and Eric Schen of Caltrans to address the College Avenue widening project.

Ms. Joseph, Project Manager for Sonoma County, summarized events in the construction of the project, which began in 2014 and was suspended in August when a discrepancy was identified in the design elevation and actual elevation of the project.

Ms. Joseph explained that the discrepancy was based on a 2001 topographical survey, which survey was also used successfully for the paving project for the Highway 101 widening, as well as local street improvements and interchanges for Third, Fourth, Fifth and Sixth Street; therefore, the project team proceeded with the design of the College Avenue widening project under the assumption that the data from this survey was still good; therefore, the data was not supplemented at that time (2010-2012).

Ms. Joseph reported that additional surveys were conducted and redesign of the project took place during the project suspension period. Corrections to the improvements on the north side have been completed. Remaining work to be completed is on the south side. Additional funding is needed (approximately $1.2 million). Funding would be from the State Transportation Improvement Program (STIP) and would require approval from the California Transportation Commission (CTC) at the May 27 meeting. Upon approval, construction could begin in June, 2015 and would probably take approximately six to eight weeks to complete (by the end of July).

Caltrans has established a dedicated Public Information Officer (Allyn Amsk) to keep local merchants impacted by this project informed and to respond to questions from the public. Outreach has taken place via press release and personal contact by Mr. Amsk to local businesses.

Ms. Smith confirmed that support costs in the redesign and correction (Caltrans’ time) amounted to $500,000; Caltrans is absorbing $200,000 of these administrative costs in assessment of the error, with $300,000 to be funded from STIP. She noted that, had the project been designed correctly from the beginning, there would have been additional costs.

Ms. Gause added that City of Santa Rosa staff has been working with Caltrans in providing public information and has been in attendance at construction meetings.

Following discussion regarding responsibility for the costs of this error, and additional project costs, including Board comments to the effect that Sonoma County’s share of STIP funding should not have to be used for this, it was determined that this would be addressed at the next Board meeting. This would meet the time line for presentation to the May 27 CTC meeting and the need for expeditious processing and completion of the project, to minimize continuing impact to local businesses.

Additional Board comments included the suggestion that a letter from the Board be sent to the CTC voicing displeasure at the use of Sonoma County STIP share to pay these costs, as well as appreciation for the clarification of the actual project costs as provided by Ms. Smith.

Director Gorin commended Ms. Joseph and Mr. Schen, along with Caltrans staff, for their work
on the Highway 12 project and their collaboration with County Transportation and Public Works staff.

Motion by Director Mackenzie, seconded by Director Carlstrom, to address this matter as an action item at the May meeting for consideration of submitting a formal request for additional funds from the CTC so that construction can proceed on the College Avenue widening project. Motion passed unanimously (11-0-1-0).

4.4. SCTA Administration

4.4.1. Admin – Legal services contract with County Counsel and conflict waiver letter (ACTION)*

Ms. Smith explained that the current contract with County Counsel had expired and that the RCPA also needs to be included in these services. SCTA has used County Counsel’s services since its establishment as an agency.

Legal services with other jurisdictions and the private sector were also researched; following this analysis the Board was comfortable with continuing to use County Counsel.

Board comments included the recommendation to periodically examine what other options are available for legal services; the possibility of a long-term plan for possible in-house legal services, as well as the quality and breadth of experience County Counsel has in terms of land use, transportation, tribal issues, etc. It was also noted that the internal knowledge and ongoing satisfaction with the services provided by County Counsel are strong factors in continuing with their services.

Motion by Director Miller, seconded by Director Mackenzie, to approve the contracts for legal services with the County. Motion passed unanimously (11-0-1-0).

5. Reports and Announcements

5.1. Executive Committee report

The Executive Committee did not meet.

5.2. Regional agency reports*

Sonoma Clean Power:
Director Landman announced that staff is getting ready for providing service to three new cities; Rohnert Park, Cloverdale and Petaluma.

GGBHTD:
Nothing new to report.

Self Help Counties Coalition:
Nothing new to report.

CALCOG:
Director Mackenzie reported that he and RCPA staff were involved in handling the Climate Adaptation Forum; therefore, he did not attend the CALCOG meeting.

MTC:
Director Mackenzie announced his appointment as Vice Chair on the Commission, reported that he had had two meetings with the City of Santa Rosa, and that there will be an item involving the City of Santa Rosa coming before the Commission at the end of this month involving the returning of funds from the Jennings Avenue Overcrossing and Active Transportation Program. A workshop is scheduled May 7 from 6:00-8:00 p.m. at the Friedman Center. This is part of the Regional Transportation Plan. Director Mackenzie and Director Rabbitt will be in attendance.

BAAQMD:
Director Zane announced the appointment of a new Executive Director for the Northern County Air District and will provide his name and contact information.

A policy issue is coming before the Air Board regarding the replacement of wood burning stoves at point of sale. Director Zane noted that it may be more advantageous for the District to offer a financial incentive for replacing wood stoves, especially for the low income population. She offered to answer any questions and provide any further information upon request.

NCRA:
Nothing to report.

ABAG:
Director Rabbitt referred to the May 7 public workshop announced previously by Director Mackenzie.

SMART:
Director Russell announced the delivery of the first train set.
5.3. Advisory Committee agendas*
Included in agenda packet.

5.4. SCTA/RCPA staff report
Nothing new to report.

5.5. Announcements
Chair Gurney announced that she would not be attending the May 11 meeting, and that Vice Chair Rabbitt will preside in her absence.

6. Adjourn
4:40 p.m.
Staff Report

To: SICTA Directors
From: James R. Cameron, Deputy Director of Projects & Programming
Item: 3.2 – Audit services – Contract with Pisenti & Brinker LLP
Date: May 11, 2015

Issue:
Shall the Board select Pisenti and Brinker, LLP, as the SICTA auditor to perform audits of the SICTA, Measure M, and RCPA financial statements for next three fiscal years?

Background:
On January 12th the SICTA Board authorized Staff to issue a Request for Proposals (RFP) for qualified auditors to perform audits of the SICTA, Measure M and RCPA financial Statements for the next three fiscal years.

On January 26th the Citizen’s Advisory Committee (CAC) appointed Dennis Harter and Albert Lerma to join staff on the selection committee for a Request for Proposals (RFP) for Financial Audit Services.

On February 2nd the RFP was issued. Five firms expressed interest in the RFP by the deadline of February 16th, but on the proposal due date of March 2nd three firm submitted proposals:

- Pisenti & Brinker LLP - Santa Rosa
- Maze & Associates - Pleasant Hill
- Vavrinek, Trine, Day & Co. LLP - Palo Alto

On March 12th the RFP selection committee composed of SICTA staff, Auditor Controller Treasurer Tax Collector (ACTTC) Staff and two CAC members met to compare their ratings of the technical proposals and open the sealed cost proposals. Pisenti & Brinker of Santa Rosa was ranked first in the technical proposals and had the lowest cost proposal. The selection committee recommended Pisenti & Brinker LLP.

On March 30th the CAC recommended approval of Pisenti & Brinker LLP to continue as financial auditors for the next 3 years to perform audits of the SICTA, Measure M and RCPA financial statements.

The scope will include the SICTA, Measure M and RCPA audits; the Single Audit (if necessary); optional services at the direction of the Executive Director for Project and Program Management (PPM) audits required by Caltrans; and an allowance for Measure M Program Specific Audits of local agencies if needed. The term of the agreement will cover fiscal years ending June 30, 2015, 2016, and 2017 with two optional years contemplated by future amendment.

Policy Impacts:
None
**Fiscal Impacts:**
Prior to 2010 the SCTA executed separate agreements with consultants to perform audits of SCTA and Measure M financial statements. Some years as many as three different audit firms were under contract to SCTA to perform different audit functions. By consolidating services the SCTA/RCPA will recognize more than $50,000 in savings over the three year period. The costs for the individual audits will be apportioned to SCTA, Measure M, and RCPA fund accounts and are budgeted separately.

**Staff Recommendation:**
Staff recommends that the Board approve the selection of the Pisenti & Brinker, LLP to perform audit services and to authorize staff to negotiate and for the Chair to execute an agreement not to exceed $155,700 including optional audit services at the direction of the Executive Director for a term covering three fiscal years with an option of two additional years by amendment authorized by the Board and pending review and comment by counsel.
STANDARD AGREEMENT FOR AUDIT SERVICES

This Agreement is made by and between Pisenti & Brinker, LLP (hereinafter referred to as “AUDITOR”), and the Sonoma County Transportation Authority (hereinafter referred to as “SCTA”) for the purpose of providing skilled and knowledgeable professional auditing services.

RECITALS

AUDITOR represents that it is a duly qualified and experienced in independent auditing and related services.

In the judgment of the SCTA Board of Directors, it is necessary and desirable to employ the services of AUDITOR for the financial and program audit for the SCTA, Regional Climate Protection Campaign (RCPA), Regional Climate Protection Authority (RCPA) and the Traffic Relief Act for Sonoma County (Measure M) financial statements for the fiscal years ending June 30, 2015, 2016, and 2017 with the option of auditing the SCTA, RCPA and Measure M financial statements for the two subsequent fiscal years. In addition, a Single Audit (OMB Circular A-133) for agencies accepting federal funds, if required, for determining compliance with reimbursement requirements of Caltrans agreement for Programming and Project Management, if required, and for determining compliance with Measure M program specific funds distributed to local agencies, if required, would be performed by Auditor based on direction from the Executive Director.

AGREEMENT

The AUTHORITY and AUDITOR agree as follows:

1. GENERAL PROVISIONS

1.1 SCOPE OF AGREEMENT: SCTA retains AUDITOR to provide services and product associated with auditing services. The scope of services to be provided by AUDITOR is more specifically defined in Exhibit B, “Request for Proposals for Professional Auditing Services”. AUDITOR shall work closely with SCTA and SCTA staff in the performance of all work pursuant to this Agreement. It is understood, by both parties, the audit of SCTA’s, RCPA’s and Measure M financial statements will be performed in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants, the provisions of the Single Audit Act of 1984 and the provisions of the U.S. Office of Management and Budget (OMB) Circular A-133 (as applicable), Audits of State and Local Governments and Non-Profit Organizations. The date for receipt of the final audit reports is November 30 following the end of each fiscal year.
1.2 PERFORMANCE STANDARD: AUDITOR shall perform all work hereunder in a manner consistent with the level of competency and standard of care normally observed by a person practicing in AUDITOR’s profession. If any of AUDITOR’s work is not in accordance with such level of competency and standard of care, SCTA shall have the right to do any or all of the following: (a) require AUDITOR to meet with SCTA to review the quality of the work and resolve matters of concern; (b) require AUDITOR to repeat the work at no additional charge until it is satisfactory; (c) terminate this Agreement pursuant to paragraph 4.2; or (d) pursue any and all other remedies at law or in equity.

1.3 ASSIGNED PERSONNEL: AUDITOR shall assign only competent personnel to perform work hereunder. In the event that at any time, and for any reason, SCTA desires the removal of any person or persons assigned by AUDITOR to perform work hereunder, AUDITOR shall remove such person or persons immediately upon receiving written notice from SCTA.

   Ray Pounds, Engagement Partner
   James Walch, Report Reviewer
   Brett Bradford, Audit Manager
   Kellin Gilbert, Audit Senior Associate

1.4 KEY PERSONNEL: Any and all persons identified in this Agreement or any exhibit thereto as the audit manager, audit team, or other professionals performing work hereunder are deemed by SCTA to be key personnel whose services were a material inducement to SCTA to enter into this agreement, and without whose services SCTA would not have entered into this Agreement. AUDITOR shall not voluntarily remove, replace, substitute, or otherwise change any key personnel without the prior written consent of SCTA. With respect to performance of work under this Agreement, AUDITOR shall employ the following key personnel:

   Ray Pounds, Engagement Partner
   James Walch, Report Reviewer
   Brett Bradford, Audit Manager
   Kellin Gilbert, Audit Senior Associate

2. COMPENSATION:

2.1 PAYMENT FOR AUDITOR’S SERVICES: For all services and incidental costs required hereunder, AUDITOR shall be paid no more than $52,800 per year and $155,700 in total. Payment shall be made in accordance with the payment terms set forth in Exhibit A, attached hereto and incorporated herein by reference. Payment shall be made to AUDITOR in the manner provided in Paragraph 2.2 below.
2.2 **PAYMENT PROCEDURE:** AUDITOR shall submit an invoice to SCTA on a monthly basis, containing the following information: (A) the amount of the current billing and a description of the associated work performed; (B) the total amount of the previous bill; (C) the total billings to date; and (D) any and all relevant receipts or other appropriate cost documentation. Within fifteen (15) business days following receipt of the invoice by SCTA, SCTA shall determine whether AUDITOR has satisfactorily performed the work identified in the invoice and whether the costs are properly documented. If SCTA determines that AUDITOR has not satisfactorily performed such work, SCTA shall inform AUDITOR in writing of such fact and may proceed pursuant to Paragraph 1.2. Subject to the provisions of Paragraph 13, SCTA shall cause payment to be made to AUDITOR within thirty (30) business days following SCTA’s determination that AUDITOR has satisfactorily performed the work for which AUDITOR has invoiced SCTA and that the invoice is supported by relevant receipts or other appropriate cost documentation. AUDITOR shall be paid for services rendered, subject to the total compensation limit set forth in Paragraph 2.1.

3. **TERM OF AGREEMENT:** The term of this Agreement shall be from the date of contract execution or no later than June 1, 2015 to June 30, 2018, unless terminated earlier in accordance with the provisions of Paragraph 4 below. At the discretion of the SCTA, the agreement may be extended an additional two years pending review of proposed costs, terms, and conditions submitted by Auditor.

4. **TERMINATION:**

4.1 **TERMINATION WITHOUT CAUSE:** At any time and without cause, SCTA, in its sole discretion, shall have the right to terminate this Agreement by giving AUDITOR ten (10) business days written notice of termination. In such event, as full payment for all services hereunder, SCTA shall pay AUDITOR for work satisfactorily performed and reimbursable expenses properly incurred up to the date of termination. Such payment shall be made in the manner provided in paragraph 4.3.

4.2 **TERMINATION FOR CAUSE:** Should AUDITOR fail to perform any of its obligations hereunder, within the time and in the manner provided herein, or otherwise violate any of the material terms of this Agreement, SCTA may terminate this Agreement immediately by giving AUDITOR written notice of termination, stating the reason for termination, with a reasonable opportunity to cure. In such event, as full payment for all services hereunder, SCTA shall pay AUDITOR for work satisfactorily performed and reimbursable expenses properly incurred up to the date of termination, less the amount of actual damages, if any, sustained by SCTA by virtue of AUDITOR’s breach of this Agreement. Such payment shall be made in the manner provided in paragraph 4.3.
4.3 DELIVERY OF WORK PRODUCT AND FINAL PAYMENT

UPON TERMINATION: In the event of termination, AUDITOR shall, within ten (10) days following the date of termination, deliver to SCTA all materials subject to the provisions of paragraph 15 and submit to SCTA an invoice for work performed and reimbursable expenses incurred up to the date of termination. The invoice shall contain the information specified in paragraph 2.2. Upon receipt thereof, SCTA shall determine whether AUDITOR has satisfactorily performed the work and properly incurred the reimbursable expenses identified in the invoice and cause payment to be made to AUDITOR for such work and reimbursable expenses that SCTA determines AUDITOR has satisfactorily performed or properly incurred; provided, in the case of termination for cause, SCTA shall deduct from the sum otherwise due AUDITOR the amount of actual damages, if any, sustained by SCTA by virtue of AUDITOR’s breach of this Agreement.

5. INDEMNIFICATION: AUDITOR agrees to accept responsibility for loss or damage to any person or entity, including SCTA, and to defend, indemnify, hold harmless, and release SCTA, its officers, agents, and employees, from and against any and all actions, claims, damages, liabilities, or expenses, that may be asserted by any person or entity, including AUDITOR, that arise out of or in connection with negligent performance or willful misconduct of AUDITOR hereunder, whether or not there is concurrent negligence on the part of SCTA, but excluding liability arising out of or due to SCTA’s active negligence or willful misconduct. This indemnification obligation is limited to the total professional fees paid to and/or incurred by Consultant hereunder; provided, however, that such indemnification obligation is not limited in any way by any limitation on the amount or type of damages or compensation payable to or for AUDITOR or its agents under workers' compensation acts, disability benefits acts, or other employee benefit acts. The parties hereto understand and agree that the foregoing is not intended to abrogate, limit or violate any terms and conditions of AUDITOR’s existing general and professional liability insurance coverages, nor reduce or limit the amount otherwise payable from such policies relating to or on account of a claim falling within the scope of this section.

6. INSURANCE: With respect to the performance of work hereunder, AUDITOR shall maintain insurance as described below:

   (a) **Workers’ Compensation Insurance:** Workers’ compensation insurance with statutory limits as required by the Labor Code of the State of California. Said policy shall be endorsed with the following specific language: “This policy shall not be canceled without first giving thirty (30) days’ prior written notice to the Sonoma County Transportation Authority.”

   (b) **Professional Liability Insurance:** Professional liability insurance for all activities of AUDITOR arising out of or in connection with this agreement, in an amount no less than one million dollars ($1,000,000.00) combined single limit for each occurrence. In the event AUDITOR cannot provide an occurrence policy, AUDITOR will provide insurance covering claims made as a result of
performance of this agreement and will maintain such insurance in effect for not less than two (2) years following completion of performance of this agreement. This policy shall not be canceled without first giving thirty (30) days prior written notice to the Sonoma County Transportation Authority.

(c) **Documentation:** The following documentation shall be submitted to SCTA:

1. Properly executed Certificates of Insurance clearly evidencing all coverages, limits, and endorsements required above. Said Certificates shall be submitted prior to SCTA’s execution of this Agreement.
2. Signed copies of the specified endorsements required for each policy. Said endorsement copies shall be submitted within thirty (30) days of SCTA’s execution of this Agreement.
3. Upon SCTA’s written request, certified copies of insurance policies. Said policy copies shall be submitted within thirty (30) days of SCTA’s request.

(d) **Policy Obligations:** AUDITOR’s indemnification and other obligations shall not be limited by the foregoing insurance requirements.

(e) **Material Breach:** If AUDITOR, for any reason, fails to maintain the insurance coverage required by this Agreement, the same shall be deemed a material breach of contract. SCTA, in its sole discretion, may terminate this Agreement pursuant to the provisions of paragraph 4.2 and obtain damages from AUDITOR resulting from said breach. Alternatively, SCTA may purchase such required insurance coverage, and without further notice to AUDITOR, SCTA may deduct from sums due to AUDITOR any premium costs advanced by SCTA for such insurance. These remedies shall be in addition to any other remedies available to SCTA.

7. **PROSECUTION OF WORK:** AUDITOR shall be authorized to proceed with the performance of this Agreement only upon the issuance by SCTA’s Executive Director of written Notice to Proceed. Performance of the services hereunder shall be completed within the time required herein, provided, however, that if the performance is delayed by earthquake, flood, high water, or other Act of God or by strike, lockout, or similar labor disturbances, or other delay beyond AUDITOR’s reasonable control and which AUDITOR could not have reasonably foreseen and guarded against, the time for AUDITOR’s performance of this Agreement shall be extended by a number of days equal to the number of days AUDITOR has been delayed.

8. **DELAYS AND EXTENSIONS OF TIME:**

8.1 **DELAYS IN GENERAL:** If AUDITOR’s performance of work hereunder is delayed by unforeseen events beyond the control of AUDITOR, such delays
will entitle AUDITOR to an extension of time pursuant to paragraph 8.3. Such unforeseen events shall be limited to earthquakes, floods, high waters, or other Acts of God, or strikes, lockouts, or other similar labor disturbances, or other specific events that are beyond the control of AUDITOR and which AUDITOR could not have reasonably foreseen or guarded against.

8.2 **DELAyS CAUSED BY SCTA:** If AUDITOR’s performance of work hereunder is delayed by events caused solely by the action or inaction of SCTA, such delays will entitle AUDITOR to an extension of time pursuant to paragraph 8.3.

8.3 **EXTENSIONS OF TIME:** Extensions of time, when granted by SCTA, shall be based upon the effect of delays on the performance of work hereunder and shall extend the time for AUDITOR’s performance of this Agreement by a number of days equal to the number of days AUDITOR has been delayed.

9. **EXTRA OR CHANGED WORK:** Extra or changed work may be authorized in writing by SCTA’s Executive Director, subject to the following limitation: the cost of work authorized by the Executive Director shall not exceed $7,000 per task per year and shall not exceed the overall cost of the agreement per year for the term of the agreement.

10. **REPRESENTATIONS AND WARRANTIES OF AUDITOR:**

10.1 **STANDARD OF CARE:** SCTA has relied upon the professional ability and training of AUDITOR as a material inducement to enter into this Agreement. AUDITOR hereby agrees that all its work will be performed and that its operations shall be conducted in accordance with generally accepted and applicable professional practices and standards as well as the requirements of applicable federal, state and local laws, it being understood that acceptance of AUDITOR’s work by SCTA shall not operate as a waiver or release. AUDITOR further represents that all products of whatsoever nature which AUDITOR delivers to SCTA pursuant to this Agreement will be prepared in a professional manner and conform to the standards of quality normally observed by a person practicing in AUDITOR’s profession.

10.2 **STATUS OF AUDITOR:** The parties intend that AUDITOR, in performing the services specified herein, shall act as an independent contractor and shall control the work and the manner in which it is performed. AUDITOR is not to be considered an agent or employee of SCTA and is not entitled to participate in any pension plan, insurance, bonus, or similar benefits SCTA provides its employees. In the event SCTA exercises its right to terminate this Agreement pursuant to paragraph 4, AUDITOR expressly agrees that it shall have no recourse or right of appeal under laws, ordinances, rules, or regulations applicable to employees. This paragraph does not in any way infringe upon or limit AUDITOR’s recourse, if any, otherwise available under California law. It is understood and agreed that AUDITOR’s employees are not “employees for hire”, but are provided as part of professional services to serve a specific purpose for a temporary period. Should the SCTA wish to hire for permanent
employment an employee of AUDITOR within this Agreement period or for a period of one year after service are completed, the SCTA shall contact AUDITOR in writing and make such a request. AUDITOR shall work with the SCTA regarding equitable compensation for the hiring of said employee.

10.3 **COST DISCLOSURE:** In accordance with Government Code section 7550, AUDITOR agrees to state in a separate section in any filed report the numbers and dollar amounts of all contracts and subcontracts relating to the Project.

10.4 **RECORDS MAINTENANCE:** AUDITOR and any of its and subcontractors shall maintain full and complete documentation and accounting records pertaining to the performance of this Agreement. All accounting records and other supporting papers of AUDITOR and subcontractors and shall be held open to inspection and audit at any reasonable time by SCTA or its duly authorized representative, for the purposes of making audits, examinations, excerpts, and transcriptions. Copies thereof shall be furnished by AUDITOR and its subcontractors upon receipt of any request by SCTA.

10.5 **CONFLICT OF INTEREST:** AUDITOR covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. AUDITOR further covenants that in the performance of this Agreement no person having any such interest shall be knowingly employed. In addition, if requested to do so by SCTA, AUDITOR shall complete and file and shall require any other person doing work hereunder to complete and file a “Statement of Economic Interest” with SCTA disclosing AUDITOR’s or such other person’s financial interests.

10.8 **NONDISCRIMINATION:** AUDITOR shall comply, and shall require its subcontractors to comply, with all applicable federal, state, and local laws, ordinances, rules, and regulations in regard to nondiscrimination in employment because of race, creed, color, ancestry, national origin, religion, sex, marital status, age, medical condition, pregnancy, disability, or other prohibited basis. All nondiscrimination rules or regulations required by law to be included in this Agreement are incorporated herein by this reference.

11. **DEMAND FOR ASSURANCE:** Each party to this Agreement undertakes the obligation that the other’s expectation of receiving due performance will not be impaired. When reasonable grounds for insecurity arise with respect to the performance of either party, the other may in writing demand adequate assurance of due performance and until such assurance is received may, if commercially reasonable, suspend any performance for which the agreed return has not been received. “Commercially reasonable” includes not only the conduct of a party with respect to performance under this Agreement, but also conduct with respect to other agreements with parties to this Agreement or others. After receipt of a justified demand, failure to provide within a reasonable time, but not exceeding thirty (30) days, such assurance of
due performance as is adequate under the circumstances of the particular case is a repudiation of this Agreement. Acceptance of any improper delivery, service, or payment does not prejudice the aggrieved party’s right to demand adequate assurance of future performance.

12. **ASSIGNMENT AND DELEGATION:** Except as otherwise provided herein, neither party hereto shall assign, delegate, sublet, or transfer any interest in or duty under this Agreement without the prior written consent of the other, and no such transfer shall be of any force or effect whatsoever unless and until the other party shall have so consented.

13. **METHOD AND PLACE OF GIVING NOTICE, SUBMITTING BILLS, AND MAKING PAYMENTS:** All notices, bills, and payments shall be made in writing and may be given by personal delivery, facsimile, overnight or one-day delivery service, or by mail. Payments sent by mail shall be addressed as follows:

**TO SCTA:**
Marge Fernandez  
Sonoma County Transportation Authority  
490 Mendocino Avenue, Suite 206  
Santa Rosa, California 94501  
Fax: (707) 565-5370

**TO AUDITOR:**
Raymond Pounds  
3562 Round Barn Circle  
Suite 300  
Santa Rosa, CA 95403

and when so addressed, shall be deemed given upon personal delivery, facsimile proof, or deposit into the possession of said delivery service or the United States mail, postage prepaid. In all other instances, notices, bills, and payments shall be deemed given at the time of actual delivery. Changes may be made in the names and addresses of the person to whom notices, bills, and payments are to be given by giving notice pursuant to this paragraph 13.

14. **CONFIDENTIAL INFORMATION:** All data, documents, discussions, or other information developed or received by or for AUDITOR in performance of this Agreement are confidential and shall not be disclosed by AUDITOR to any person except as authorized by SCTA, or as required by law.

15. **MISCELLANEOUS PROVISIONS:**

15.1 **NO WAIVER OF BREACH:** The waiver by any affected party of any breach of any term or promise contained in this Agreement shall not be deemed to
be a waiver of such term or promise or any subsequent breach of the same or any other term or promise contained in this Agreement.

15.2 **CONSTRUCTION:** To the fullest extent allowed by law, the provisions of this Agreement shall be construed and given effect in a manner that avoids any violation of statute, ordinance, regulation, or law. The parties covenant and agree that in the event that any provision of this Agreement is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remainder of the provisions hereof shall remain in full force and effect and shall in no way be affected, impaired, or invalidated thereby. AUDITOR and SCTA acknowledge that they have each contributed to the making of this Agreement and that, in the event of a dispute over the interpretation of this Agreement, the language of the Agreement will not be construed against one party in favor of the other. AUDITOR and SCTA acknowledge that they have each had an adequate opportunity to consult with counsel in the negotiation and preparation of this Agreement.

15.3 **CONSENT:** Wherever in this Agreement the consent or approval of one party is required to an act of the other party, such consent or approval shall not be unreasonably withheld or delayed.

15.4 **NO THIRD PARTY BENEFICIARIES:** Nothing contained in this Agreement shall be construed to create and the parties do not intend to create any rights in third parties.

15.5 **APPLICABLE LAW AND FORUM:** This Agreement shall be construed and interpreted according to the substantive law of California excluding the law of conflicts. Any action to enforce the terms of this Agreement or for the breach thereof shall be brought and tried in the County of Sonoma.

15.6 **CAPTIONS:** The captions in this Agreement are solely for convenience of reference. They are not a part of this Agreement and shall have no effect on its construction or interpretation.

15.7 **MERGER:** This writing is intended both as the final expression of the agreement between the parties hereto with respect to the included terms and as a complete and exclusive statement of the terms of the Agreement pursuant to Code of Civil Procedure section 1856. No modification of this Agreement shall be effective unless and until such modification is evidenced by a writing signed by both parties.

15.8 **TIME OF ESSENCE:** Time is and shall be of the essence of this Agreement and every provision hereof.

16.9 **NUMBER AND GENDER:** Wherever used herein, unless the provision or context otherwise requires, the singular number shall include the plural and the plural the singular, and the masculine gender shall include the feminine and neuter.
16.10 **DAY AND BUSINESS DAY:** Wherever used herein, the term “day” shall mean any calendar day, and the term “business day” shall mean any calendar day on which the offices of SCTA are open for regular business.

**IN WITNESS WHEREOF,** the parties hereto have executed this Agreement as set forth below.

Dated: ________________  
By: ________________  
Pisenti & Brinker LLP

Dated: ________________  
By: ________________  
Chairperson  
SONOMA COUNTY TRANSPORTATION AUTHORITY

Dated: ________________  
By: ________________  
Executive Director  
CERTIFICATES OF INSURANCE ON FILE WITH AND APPROVED AS TO SUBSTANCE BY SCTA

Dated: ________________  
By: ________________  
County Counsel  
APPROVED AS TO FORM
EXHIBIT A
Sonoma County Transportation Authority

Contract No. SCTA 15010 between SCTA and Pisenti & Brinker

Fees proposed by Pisenti & Brinker for audit services and other services for the years ending June 30, 2015, 2016 & 2017

May 11, 2015

<table>
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<tr>
<th>Audit of the basic financial statements of:</th>
<th>Year ending June 30, 2015</th>
<th>Year ending June 30, 2016</th>
<th>Year ending June 30, 2017</th>
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<tr>
<td>Sonoma County Transportation Authority</td>
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<td>$15,075</td>
<td>$15,300</td>
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<tr>
<td>Measure M</td>
<td>$11,550</td>
<td>$11,725</td>
<td>$11,900</td>
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<td>Regional Climate Protection Authority</td>
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</tr>
<tr>
<td></td>
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</table>

Audits performed in accordance with
*OMB Circular A-133 (the Single Audit)* - scope of work
and fees determined by level of expenditures of federal awards

| First Major Program for SCTA (1)          | $3,800                    | $3,900                    | $4,000                    |
| First Major Program for RCPA (1)         | $3,800                    | $3,900                    | $4,000                    |
| Each additional major program for SCTA or RCPA (2) | $2,200                    | $2,300                    | $2,400                    |

(1) The Single audit and first major program are required when $500,000 in federally sourced funds are expended.

(2) Additional major program determination is based on guidelines prescribed by *OMB Circular A-133*; generally when additional federal program expenditures exceed $300,000.

| Measure M Program Specific Audits, if required | $3,700 | $3,800 | $3,900 |
| CalTrans PPM Agreements - Agreed Upon Procedures applied to Final Project Expenditure Report | $4,500 | $4,500 | $4,500 |

TOTAL: $51,000 | $51,900 | $52,800
I. Introduction

A. General Information

The Sonoma County Transportation Authority is soliciting proposals from qualified firms of certified public accountants to audit the Sonoma County Transportation Authority (SCTA), Regional Climate Protection Authority (RCPA) and the Traffic Relief Act for Sonoma County (Measure M) financial statements for the fiscal years ending June 30, 2015, 2016, and 2017 with the option of auditing the SCTA, RCPA and Measure M financial statements for the two subsequent fiscal years. These audits are to be performed in accordance with generally accepted auditing standards and the standards set forth for financial audits in the General Accounting Office’s (GAO) Government Auditing Standards (2011 Revision).

There is no expressed or implied obligation for the SCTA to reimburse responding firms for any expenses incurred in preparing proposals in response to this request.

To be considered, ten (10) copies of the proposal must be received by Janet Jensen at 585 Fiscal Drive, Room 100, Santa Rosa, CA 95403-2871, by 5:00 P.M. on March 2, 2015. The SCTA reserves the right to reject any or all proposals submitted.

Proposals submitted will be evaluated by an audit committee appointed by Suzanne Smith, Executive Director of the SCTA.

During the evaluation process, the audit committee and the SCTA reserve the right, where it may serve the SCTA’s best interest, to request additional information or clarifications from proposers, or to allow corrections of errors or omissions. At the discretion of the SCTA or the audit committee, firms submitting proposals may be requested to make oral presentations as part of the evaluation process.

The SCTA reserves the right to retain all proposals submitted and to use any idea in a proposal regardless of whether that proposal is selected. Submission of proposal indicates acceptance by the firm of the conditions contained in this request for proposals, unless clearly and specifically noted in the proposal submitted and confirmed in the contract between the SCTA and the firm selected.
It is anticipated that the selection of a firm will be completed by March 31, 2015. Following the notification of the selected firm it is expected a contract will be executed between both parties by May 15, 2015.

B. Term of Engagement

A three-year contract with a two-year option is contemplated, subject to the annual review and recommendation of the audit committee, the satisfactory negotiation of terms (including a price acceptable to both the SCTA and the selected firm), the concurrence of the Board of Directors and the annual availability of an appropriation.

II. Nature of Services Required

A. General

The SCTA is soliciting the services of qualified firms of certified public accountants to audit its financial statements, the RCPA financials and the Measure M financials for the fiscal years ending June 30, 2015, 2016, and 2017, with the option for each of the two subsequent fiscal years. The Measure M audit will also require a program specific audit of two or three of the cities and the county departments that receive Measure M funds and the SCTA will advise which jurisdictions will be audited each fiscal year. In addition, the SCTA and the RCPA may require an annual single audit if the provisions of the Single Audit Act of 1984, amended 1996, are met. These audits are to be performed in accordance with the provisions contained in this request for proposals.

B. Scope of Work to Be Performed

The SCTA desires the auditor to express an opinion on the fair presentation of its basic financial statements in conformity with generally accepted accounting principles. The financial statements are to be presented in accordance with all current Governmental Accounting Standards Board pronouncements, as well as any subsequent pronouncements over the course of the agreement term.

C. Auditing Standards to be Followed

To meet the requirements of this request for proposals, the audits shall be performed in accordance with generally accepted auditing standards as set forth by the American Institute of Certified Public Accountants and the standards for financial audits set forth in the U.S. General Accounting Office's Government Auditing Standards (2011 Revision), and the Single Audit Act of 1984, and the Single Audit Act Amendments of 1996.
D. Reports to be Issued

Following the completion of the audit of the fiscal year's financial statements, the auditor shall issue for the SCTA, the RCPA and for Measure M:

1. A report on the fair presentation of the financial statements in conformity with generally accepted accounting principles.

2. A report on the internal control structure based on the auditors' understanding of the control structure and assessment of control risk.

3. A report on compliance with applicable laws and regulations.

4. A program audit of Measure M project recipients

5. A single audit report if required.

In the required report on internal controls, the auditor shall communicate any reportable conditions found during the audit. A reportable condition shall be defined as a significant deficiency in the design or operation of the internal control structure, which could adversely affect the organization's ability to record, process, summarize and report financial data consistent with the assertions of management in the financial statements.

Reportable conditions that are also material weaknesses shall be identified as such in the report.

Nonreportable conditions discovered by the auditors shall be reported in a separate letter to management, which shall be referred to in the report on internal controls.

The report on compliance shall include all material instances of noncompliance. All nonmaterial instances of noncompliance shall be reported in a separate management letter, which shall be referred to in the report on compliance.

Irregularities and illegal acts: Auditors shall be required to make an immediate, written report of all irregularities and illegal acts or indications of illegal acts of which they become aware to the management of the SCTA, the audit committee and the Board of Directors.

E. Special Considerations

1. The financial statements of Measure M are included as a component unit of the financial statements of the SCTA.

2. The SCTA’s and Measure M most recent financial audits, the independent
auditor's report on compliance and internal controls, as well as the schedule of findings and questioned costs, are included in an attachment to this document (Appendix A). The most recently completed single audit for SCTA, fiscal year 2013-2014, is also attached.


All working papers and reports must be retained, at the auditor's expense, for a minimum of five (5) years, unless the firm is notified in writing by the SCTA of the need to extend the retention period. The auditor will be required to make working papers available, upon request, to the following parties or their designees:

- Sonoma County Auditor-Controller Treasurer-Tax Collector
- Sonoma County Transportation Authority
- State of California Department of Transportation (Caltrans)
- U.S. General Accounting Office (GAO)
- Parties designated by the federal or state governments or by the SCTA as part of an audit quality review process
- Auditors of entities of which the SCTA is a sub-recipient of grant funds
- Auditors of entities of which the SCTA is a component unit

In addition, the firm shall respond to the reasonable inquiries of successor auditors and allow successor auditors to review working papers relating to matters of continuing accounting significance.

III. Description of the Government

A. Name and Telephone Number of Contact Persons/Organizational Chart/Location of Offices

The auditor's principal contact with the SCTA will be Marge Fernandez, Administrative Assistant III, or a designated representative, who will coordinate the assistance to be provided by the Sonoma County Auditor-Controller Treasurer-Tax Collector to the auditor.

An organizational chart for the SCTA (Appendix B) and a list of key SCTA and County personnel with the location of their principal offices (Appendix C) are attached.

B. Background Information

The SCTA, RCPA and Measure M fiscal year begins on July 1 and ends on June 30.

The Sonoma County Transportation Authority, SCTA, was formed as a result of legislation passed in 1990. The SCTA serves as the coordinating and advocacy agency for
transportation funding for Sonoma County. The SCTA is governed by a twelve member Board of Directors. Nine of these members are chosen from the Councils of the nine incorporated cities or towns, and three are chosen from the County Board of Supervisors.

Passed by the voters in November 2004, the Traffic Relief Act for Sonoma County, Measure M, provides for a ¼ cent sales tax to be used to maintain and improve local streets, accelerate widening Highway 101, improve interchanges, restore and enhance transit, support development of passenger rail, and build safe bicycle and pedestrian routes.

The Regional Climate Protection Authority, RCPA, was created by Assembly Bill 881 in 2009 at the request of Sonoma County elected officials seeking a coordinated approach to address the pressing issue of climate change. The RCPA is structured to improve communication and coordination on climate change issues and establish a clearinghouse for planning, funding and implementation efforts to reduce GHG (Greenhouse Gas) emissions. The RCPA is made up of the same Board of Directors as the SCTA and is a separate legal entity.

The SCTA/RCPA has a total payroll of approximately $1,550,000 covering 10 full-time employees.

The accounting and financial reporting functions of the SCTA are the responsibility of the Sonoma County Auditor-Controller Treasurer-Tax Collector. The budget and accounts payable functions have been retained by the SCTA.

C. Fund Structure

The SCTA, RCPA and Measure M use the following fund types in their financial reporting:

<table>
<thead>
<tr>
<th>Fund Type/Account Group</th>
<th>Legally Adopted Annual Budgets</th>
</tr>
</thead>
<tbody>
<tr>
<td>General fund</td>
<td>X</td>
</tr>
<tr>
<td>Special revenue funds</td>
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<tr>
<td>Debt service fund</td>
<td>X</td>
</tr>
<tr>
<td>Internal service funds</td>
<td>N/A</td>
</tr>
<tr>
<td>Agency fund</td>
<td>N/A</td>
</tr>
</tbody>
</table>

D. Budgetary Basis of Accounting

The SCTA prepares its budgets on a basis consistent with generally accepted accounting principles.

E. Federal and State Financial Assistance

If the SCTA, RCPA or Measure M federal award expenditures during a fiscal year
exceed the threshold set by the OMB (currently $500,000), a single audit will be required in compliance with the Single Audit Act of 1984, amended 1996.

F. Pension Plans

The SCTA participates in the County of Sonoma’s single-employer public employee retirement plan, a defined benefit pension plan. The plan is administered by the Sonoma County Employees’ Retirement Association and is governed by the California Government Code, Title 3, Division 4, Part 3, Chapter 3. Actuarial services are provided by Segal Consulting of San Francisco, CA.

G. Availability of Prior Audit Reports and Working Papers

Prior years' audit reports are available at www.sctainfo.org, for prior years management letters should contact Janet Jensen at 585 Fiscal Drive, Room 100, Santa Rosa, CA 95403-2871, or may call (707) 565-3262.

The Sonoma County Auditor-Controller Treasurer-Tax Collector will use its best efforts to make prior audit reports and supporting working papers available to proposers to aid their response to this request for proposals.

IV. Time Requirements

A. Proposal Calendar

The following is a list of key dates up to and including the date proposals are due to be submitted:

Request for proposal issued February 2, 2015
Due date for notification of interest February 16, 2015
Due date for proposals March 2, 2015
Oral presentations (if necessary) March 26, 2015 Morning

B. Notification and Contract Dates

Selected firm notified March 31, 2015
Contract date May 15, 2015

C. Date Audit May Commence

6
The SCTA will have records ready for audit and key personnel available to meet with the firm's personnel as of August 1, 2015.

D. Schedule for the 2014/15 Fiscal Year Audit

Schedule for the 2014/15 Fiscal Year Audit (A similar time schedule will be developed for audits of each subsequent fiscal year under the term of the agreement).

Each of the following should be completed by the auditor no later than the dates indicated.

1. Interim Work

   The auditor shall complete interim work by September 1st of each fiscal year audited.

2. Detailed Audit Plan and Programs

   The auditor shall provide the Sonoma County Transportation Authority by August 1st of each fiscal year audited, both a detailed audit plan and a list of all schedules to be prepared by the accounting staff.

3. Fieldwork

   The auditor shall complete all fieldwork by September 30th of each fiscal year audited.

4. Draft Reports

   The auditor shall have drafts of the audit report and recommendations to management available for review by the Audit Committee and the accounting staff by October 31st of each fiscal year audit.

E. Progress Reports

   Routine progress reports shall be provided to the either SCTA or the Sonoma County Auditor-Controller Treasurer-Tax Collector or a designated representative on a regular basis, but not less than monthly, during the course of the work. Also, either the SCTA or the firm conducting the audit may, with reasonable notice, request a meeting at any time during the course of the work.

F. Date Final Reports are Due

   The date for receipt of the final audit reports is November 30th of each fiscal year
audited.

G. Number of Reports to be Produced

SCTA/RCPA/Measure M

Twelve (12) signed copies of the final report, one (1) unbound master copy, one (1) ADA accessible electronic copy (PDF) and Twelve (12) signed copies of the management letter.

Single Audit

Twelve (12) signed copies of the final report, one (1) unbound master copy, one (1) ADA accessible electronic copy (PDF).

All reports should be delivered to:

Janet Jensen, Accountant,  
585 Fiscal Drive, Room 100,  
Santa Rosa, CA 95403-2871.

Distribution to the public will be the responsibility of the SCTA.

V. Assistance to be Provided to the Auditor and Report Preparation

A. Accounting Department and Clerical Assistance

The accounting department staff and responsible management personnel will be available during the audit to assist the firm by providing required schedules, information, documentation and explanations.

B. Work Area, Telephones, Internet Access, Photocopying and FAX Machines

The SCTA will provide the auditor with work space, desks and chairs. The auditor will also be provided with access to a telephone line, photocopying facilities, FAX machines, and Internet connection.

C. Report Preparation

Report preparation, editing and printing shall be the responsibility of the auditor.

VI. Proposal Requirements

A. General Requirements
1. Submission of Notification of Interest

Firms interested in submitting a proposal must submit by February 16, 2015 their notification of interest in writing to:

Janet Jensen, Accountant  
Sonoma County Auditor-Controller  
585 Fiscal Drive, Room 100  
Santa Rosa, CA, 95403-2871

Failure to provide written Notice of Interest will disqualify firms from submitting a proposal.

2. Inquiries

Inquiries concerning the request for proposals and the subject of the request for proposals must be made in writing to the mailing or e-mail address listed below:

Janet Jensen, Accountant  
585 Fiscal Drive, Room 100  
Santa Rosa CA 95403-2871  
(707) 565-3262  
E-mail - jjensen@sonoma-county.org

Contact with personnel of the SCTA or County of Sonoma other than Janet Jensen, Accountant, regarding this request for proposals may be grounds for elimination from the selection process.

3. Submission of Proposals

The following material is required to be received by March 2, 2015 for a proposing firm to be considered:

a. A master copy (so marked) of a Technical Proposal and nine (9) copies to include the following:

i. Title Page

Title page showing the request for proposals subject; the firm's name; the name, address and telephone number of the contact person; and the date of the proposal.

ii. Table of Contents

iii. Transmittal Letter
A signed letter of transmittal briefly stating the proposer's understanding of the work to be done, the commitment to perform the work within the time period, a statement why the firm believes itself to be best qualified to perform the engagement and a statement that the proposal is a firm and irrevocable offer for a period of sixty (60) days from date of submission.

iv. Technical Proposal

The technical proposal should follow the order set forth in Section VI B of this request for proposals.

v. Executed copies of Proposer Guarantees and Proposer Warranties, attached to this request for proposal (Appendix D and Appendix E)

b. The proposer shall submit an original and nine (9) copies of a dollar cost bid in a separate sealed envelope marked as follows:

Sealed Dollar Cost Bid Proposal
Sonoma County Transportation Authority
for
Professional Auditing Services
Fiscal Years Ending June 30, 2015, 2016, 2017

c. Proposers should send the completed proposal consisting of the two separate envelopes to the following address:

Janet Jensen, Accountant
585 Fiscal Drive, Room 100
Santa Rosa, CA 95403-2871

B. Technical Proposal

1. General Requirements

The purpose of the Technical Proposal is to demonstrate the qualifications, competence and capacity of the firms seeking to undertake an independent audit of the SCTA, the RCPA and Measure M in conformity with the requirements of this request for proposals. As such, the substance of proposals will carry more weight than their form or manner of presentation. The Technical Proposal should demonstrate the qualifications of the firm, the particular staff to be assigned to this engagement, and an estimate of hours for each staff member. It should also specify an audit approach that will meet the request for proposal requirements.

There should be no dollar units or total costs included in the technical proposal
The Technical Proposal should address all the points outlined in the request for proposals (excluding any cost information which should only be included in the sealed dollar cost bid). The Proposal should be prepared simply and economically, providing a straightforward, concise description of the proposer's capabilities to satisfy the requirements of the request for proposals. While additional data may be presented, the following subjects, items Nos. 2 through 9, must be included. They represent the criteria against which the proposal will be evaluated.

2. Independence

The firm should provide an affirmative statement that it is independent of the SCTA, the RCPA and Measure M as defined by generally accepted auditing standards and the U.S. General Accounting Office's Government Auditing Standards (2011 Revision).

The firm also should provide an affirmative statement that it is independent of the County of Sonoma's financial reporting oversight entity, and any other component units of that entity, as defined by those same standards.

The firm should also list and describe, if applicable, the firm's professional relationships involving the SCTA for the past five (5) years, together with a statement explaining why such relationships do not constitute a conflict of interest relative to performing the proposed audit.

In addition, the firm shall give the SCTA written notice of any professional relationships entered into during the period of this agreement.

3. License to Practice in California

An affirmative statement should be included that the firm and all assigned key professional staff are properly licensed to practice in California.

4. Firm Qualifications and Experience

The proposer should state the size of the firm, the size of the firm's governmental audit staff, the location of the office from which the work on this engagement is to be performed and the number and nature of the professional staff to be employed in this engagement on a full-time basis and the number and nature of the staff to be so employed on a part-time basis.

The firm is required to submit a copy of the report on its most recent external quality control review, with a statement whether that quality control review included a review of specific government engagements.
The firm shall provide information on the results of any federal or state desk reviews or field reviews of its audits during the past three (3) years. The firm shall also provide information on the circumstances and status of any disciplinary action taken or pending against the firm during the past three (3) years with state regulatory bodies or professional organizations, or litigation whereby a court has ruled against the firm. In addition, the firm is asked to describe the nature, magnitude, and status of any litigation current or pending against the firm in any manner related to the firm’s professional activities.

Proposer must disclose debarment or other disqualification as a vendor for any federal, state or local entities. Proposer must describe the nature of the debarment/disqualification, including where and how to find such detailed information.

5. Partner, Supervisory and Staff Qualifications and Experience

Identify the principal supervisory and management staff, including engagement partners, managers, supervisors and others, who would be assigned to the engagement. Indicate whether each such person is registered or licensed to practice as a certified public accountant in California. Provide information on the government auditing experience of each person, including information on continuing professional education for the past three (3) years and membership in professional organizations relevant to the performance of this audit.

Provide as much information as possible regarding the number, qualifications, experience and training, including relevant continuing professional education, of the specific staff to be assigned to this engagement. Indicate how the quality of staff over the term of the agreement will be assured.

Engagement partners, managers, other supervisory staff and specialists may be changed if those personnel leave the firm, are promoted or are assigned to another office. These personnel may also be changed for other reasons with the express prior written permission of the SCTA. However, in either case, the SCTA retains the right to approve or reject replacements.

Consultants and firm specialists mentioned in response to this request for proposal can only be changed with the express prior written permission of the SCTA, which retains the right to approve or reject replacements.

Other audit personnel may be changed at the discretion of the proposer provided that replacements have substantially the same or better qualifications or experience.
6. Prior Engagements with the County of Sonoma

List separately all engagements within the last five years, ranked on the basis of total staff hours, for the County of Sonoma by type of engagement (i.e., audit, management advisory services, other). Indicate the scope of work, date, engagement partners, total hours, the location of the firm's office from which the engagement was performed, and the name and telephone number of the principal client contact.

7. Similar Engagements with Other Government Entities

For the firm's office that will be assigned responsibility for the audit, list the most significant engagements (maximum of five) performed in the last five years that are similar to the engagement described in this request for proposal. These engagements should be ranked on the basis of total staff hours. Indicate the scope of work, date, engagement partners, total hours, and the name and telephone number of the principal client contact.

8. Specific Audit Approach

The proposal should set forth a work plan, including an explanation of the audit methodology to be followed, to perform the services required in Section II of this request for proposal. In developing the work plan, reference should be made to such sources of information as the SCTA’s financial data, organizational charts, manuals and programs, and financial and other management information systems.

Proposers will be required to provide the following information on their audit approach:

a. Proposed segmentation of the engagement

b. Level of staff and number of hours to be assigned to each proposed segment of the engagement

No dollars should be included in the technical proposal

c. Sample size and the extent to which statistical sampling is to be used in the engagement

d. Extent of use of Electronic Data Processing (EDP) software in the engagement

e. Type and extent of analytical procedures to be used in the engagement
f. Approach to be taken to gain and document an understanding of the SCTA's internal control structure

g. Approach to be taken in determining laws and regulations that will be subject to audit test work

h. Approach to be taken in drawing audit samples for purposes of tests of compliance

9. Identification of Anticipated Potential Audit Problems

The proposal should identify and describe any anticipated potential audit problems, the firm's approach to resolving these problems and any special assistance that will be requested from the Sonoma County Auditor-Controller Treasurer-Tax Collector.

C. Sealed Dollar Cost Bid

1. Total All-Inclusive Maximum Price

The sealed dollar cost bid should contain all pricing information relative to performing the audit engagements as described in this request for proposal. The total all-inclusive maximum price to be bid is to contain all direct and indirect costs including all out-of-pocket expenses.

Submitting firms will be responsible for expenses incurred in preparing and submitting the technical proposal or the sealed dollar cost bid. Such costs should not be included in the proposal.

The first page of the sealed dollar cost bid should include the following information:

a. Name of Firm

b. Certification that the person signing the proposal is entitled to represent the firm, empowered to submit the bid, and authorized to sign a contract with the SCTA.

c. A Total All-Inclusive Maximum Price per year for the 2015, 2016, and 2017 fiscal year engagements, broken out by the requested audits; SCTA, RCPA, Measure M, and the Single Audit.

2. Rates by Partner, Specialist, Supervisory and Staff level times hours anticipated for each.
The second page of the sealed dollar cost bid should include a schedule of professional fees and expenses that supports the total all-inclusive maximum price, broken out by the requested audits; SCTA, RCPA, Measure M, and the Single Audit.

3. Rates for Additional Professional Services

If it should become necessary for SCTA to request the auditor to render any additional services to either supplement the services requested in this RFP or to perform additional work as a result of the specific recommendations included in any report issued on this engagement, then such additional work shall be performed only if set forth in an addendum to the contract between the SCTA and the firm. Any such additional work agreed to between the SCTA and the firm shall be performed at the same rates set forth in the schedule of fees and expenses included in the sealed dollar cost bid.

4. Manner of Payment

Progress payments will be made on the basis of hours of work completed during the course of the engagement and out-of-pocket expenses incurred in accordance with the firm's dollar cost bid proposal. Interim billing shall cover a period of not less than a calendar month. Ten percent (10%) will be withheld from each billing pending delivery of the firm's final reports.

VII. Evaluation Procedures

A. Audit Committee

Proposals submitted will be evaluated by an audit committee appointed by Suzanne Smith, Executive Director, SCTA.

B. Review of Proposals

The audit committee will use a point formula during the review process to score proposals. Each member of the audit committee will first score each technical proposal by each of the criteria described in Section VII C below. The full audit committee will then convene to review and discuss these evaluations and to combine the individual scores to arrive at a composite technical score for each firm. At this point, firms with an unacceptably low technical score will be eliminated from further consideration.

After the composite technical score for each firm has been established, the sealed dollar cost bid will be opened and additional points will be added to the technical score based on the price bid. The maximum score for price will be assigned to the firm offering the lowest total all-inclusive maximum price. Appropriate fractional scores will be assigned to other proposers.

The SCTA reserves the right to retain all proposals submitted and use any idea in a proposal
regardless of whether that proposal is selected.

C. Evaluation Criteria

Proposals will be evaluated using three sets of criteria. Firms meeting the mandatory criteria will have their proposals evaluated and scored for both technical qualifications and price. The following represent the principal selection criteria that will be considered during the evaluation process.

1. Mandatory Elements
   a. The audit firm is independent and licensed to practice in California.
   b. The firm has no conflict of interest with regard to any other work performed by the firm for the County of Sonoma or SCTA.
   c. The firm adheres to the instructions in this request for proposal on preparing and submitting the proposal.
   d. The firm submits a copy of its last external quality control review report and the firm has a record of quality audit work.

2. Technical Qualifications:
   a. Expertise and Experience
      (1) The firm's past experience and performance on comparable government engagements.
      (2) The quality of the firm's professional personnel to be assigned to the engagement and the quality of the firm's management support personnel to be available for technical consultation.
   b. Audit Approach
      (1) Adequacy of proposed staffing plan for various segments of the engagement
      (2) Adequacy of sampling techniques
      (3) Adequacy of analytical procedures

3. Price:
Cost will not be the primary factor in the selection of an audit firm.

D. Oral Presentations

During the evaluation process, the audit committee may, at its discretion, request any one or all firms to make oral presentations. Such presentations will provide firms with an opportunity to answer any questions the audit committee may have on a firm's proposal. Not all firms may be asked to make such oral presentations.

E. Final Selection

The SCTA will select a firm based upon the recommendation of the audit committee.

It is anticipated that a firm will be selected by March 31, 2015. Following notification of the firm selected, it is expected a contract will be executed between both parties by May 15, 2015.

The proposal submitted by the firm selected will be used to prepare the agreement for services and the proposal will be referenced to in the final contract.

F. Right to Reject Proposals

Submission of a proposal indicates acceptance by the firm of the conditions contained in this request for proposal unless clearly and specifically noted in the proposal submitted and confirmed in the contract between the SCTA and the firm selected.

The SCTA reserves the right without prejudice to reject any or all proposals.
APPENDICES

A. Audited Financial Statements
   A.1 Sonoma County Transportation Authority and Single Audit
   A.2. Sonoma County Regional Climate Protection Authority
   A.3 Traffic Relief Act for Sonoma County

B. Organizational Chart – Sonoma County Transportation Authority

C. List of Key Personnel, Office Locations and Telephone Numbers

D. Proposer Guarantees

E. Proposer Warranties

F. Standard Legal Language to be Included in the Audit Contract

G. Initial Distributions List
Staff Report

To: SCTA/RCPA Board of Directors

From: Lauren Casey, Deputy Director, Climate Programs

Item: 3.3 – BayREN contract amendment for PAYS carryover funding

Date: May 11, 2015

Issue:
Shall the Board authorize staff to execute the first amendment to the funding and implementation agreement (RCPA15006A1) between the RCPA and the Association of Bay Area Governments (ABAG) for the implementation of the Bay Area Regional Energy Network (BayREN)?

Background:
The RCPA represents the communities of Sonoma County in the implementation of BayREN programs and was appointed by the regional coordinating committee to manage the BayREN Pay As You Save (PAYS) pilot.

The initial agreement for 2015 program implementation included only those funds approved by the California Public Utilities Commission (CPUC) for the 2015 calendar year. The CPUC authorized funds remaining from the 2013-2014 implementation period to be carried forward, however the BayREN coordinating committee did not make decisions regarding the allocation of these carryover funds until March.

This amendment adds $26,188 to the budget for implementation of the BayREN PAYS program which will be used to support the implementation of pilots with BayREN partner utilities including the Town of Windsor, who is expanding its PAYS program to commercial customers in 2015.

Policy Impacts:
RCPA Mission, Goals, and Objectives includes a goal to create an on-bill water conservation program to complement the Sonoma County Energy Independence Program (SCEIP) and reduce the energy associated with water use.

Fiscal Impacts:
This will increase the RCPA budget for FY2015/2016 by $26,188.

Staff Recommendation:
Staff recommends that the Board authorize staff to execute agreement RCPA15006A1 to implement BayREN PAYS.
FIRST AMENDMENT TO
FUNDING AND IMPLEMENTATION AGREEMENT
- BAYREN PROGRAM IMPLEMENTATION PLAN for 2015 –
ASSOCIATION OF BAY AREA GOVERNMENTS AND SONOMA COUNTY REGIONAL CLIMATE PROTECTION AUTHORITY ("RCPA")

The funding and Implementation Agreement for the BayREN Implementation Plan for 2015 (Agreement) between the Association of Bay Area Governments (ABAG) and RCPA is hereby amended as follows:

A. The Initial Allocated Budget in Section 5(a) of the Agreement is set at Four-Hundred and Forty-Three Thousand, Two-Hundred and Forty-Six Dollars and Sixty-One Cents ($443,246.61).

B. Attachment 1E for 2015 is deleted and replaced by Attachment 1E for 2015, revision 1

C. This First Amendment is effective April 1, 2015

IN WITNESS WHEREOF, Subrecipient has duly executed this Agreement, or caused it to be duly executed, and ABAG has duly executed this Agreement, or caused it to be duly executed.

RCPA

Dated: ________________________

Suzanne Smith, Executive Director

Association of Bay Area Governments

Dated: ________________________

Ezra Rapport, Executive Director

Approved as to form:

__________________________
Kenneth K. Moy, Legal Counsel
Sonoma County Regional Climate Protection Authority

Scope of Work

BayREN PAYS® Program

Budget NTE: $336,633.61

The Sonoma County Regional Climate Protection Authority ("RCPA") will act as the Lead Link to the Pay as you Save Program Circle. RCPA will oversee PAYS Coordination and Technical Assistance roles, and provide for PAYS Accounting. RCPA will provide local partner utility support for implementation and marketing in its capacity for PAYS Local Outreach. RCPA will provide administrative tasks in its capacity as a Cross Link and for participation in the Coordinating Circle. With this addition of roll over funds from 2013-14, RCPA will also prepare a feasibility study and tasks related to regional implementation of PAYS. The total budget is $336,633.61.

I. Admin

A. Cross Link

Purpose: Representing County of Sonoma context within BayREN

Role Accountabilities:

- Removing constraints within BayREN that limit its ability to collaborate and deliver effective programs
- Seeking to understand Tensions conveyed by any of County of Sonoma stakeholders applicable to the BayREN programs, and discerning those appropriate to channel into Coordinating Circle for processing
- Sharing the perspective of County of Sonoma stakeholders
- Communicating with County of Sonoma stakeholders about BayREN programs and activities
- Sharing progress, performance, and strategic data and information with the Coordinating Circle
- Coordinating with local Energy Watch/Local Government Partnership and other County of Sonoma programs.
- Establishing that member has been selected by its county to act on its behalf
- Ensuring that member has expertise and experience in energy-related project management and implementation
- Ensuring invoices and reporting are submitted to Program Administrator in a timely manner
• Developing and reviewing program performance, and program and pilot recommendations
• Reviewing and authorizing program changes
• Coordinating with other Regional Energy Networks, e.g., program implementation tactics, program design, program performance, mutual objective-building, etc.

B. Lead Link

Purpose: Optimize PAYS program performance

Role Accountabilities:
• Allocating PAYS resources incorporating the input from circle members
• Assigning PAYS roles, monitoring fit for role, providing feedback to enhance fit and removing Partners from roles incorporating the input from circle members
• Assessing and defining priorities and strategies for the PAYS
• Defining and assigning metrics for the program incorporating the input from circle members
• Informing BayREN member(s) of relevant activities within county
• Providing oversight for PAYS Coordination & day-to-day implementation
• Managing consultants
• Providing for PAYS Accounting & proper handling of ratepayer funds
• Monitoring and forecasting budget, expenditures, and receivables
• Adhering to regulatory requirements and guidelines
• Processing subconsultant and partner utility invoices
• Submitting monthly invoices and reporting

C. PAYS Coordination

Purpose: Day-to-day program implementation

Role Accountabilities:
• Coordinating with Lead Link, Rep Link, and Cross Links, BayREN Administrator, PAYS technical team, partner utilities, PG&E, CPUC, and EM&V consultants
• Reporting on program progress and supporting Program Administrator in responding to data requests

II. Implementation

A. PAYS Lead Link

Purpose: Optimize PAYS program performance

Role Accountabilities:
• Overseeing PAYS planning and meetings; monthly meetings anticipated:
• One PAYS Program Circle meeting with Rep Link, Local Outreach, Coordination, Technical Assistance, and BayREN Administrator
• Two Administrative meetings per month with Rep Link and BayREN Administrator
• Four Management meetings with Lead Link and PAYS Coordinator
• Two PAYS design meetings with Coordinator and Technical Assistance team
• One Coordinating Circle
  • Providing oversight for PAYS Coordination & day-to-day implementation
  • Researching and acting in furtherance of regional implementation

B. PAYS Coordination

Purpose: Day-to-day program implementation
Role Accountabilities:
• Facilitating PAYS planning and meetings; monthly meetings anticipated:
  o One PAYS Program Circle meeting with Rep Link, Local Outreach, Coordination, Technical Assistance, and BayREN Administrator
  o Two Administrative meetings per month with Rep Link and BayREN Administrator
  o Four Management meetings with Lead Link and PAYS Coordinator
  o Two PAYS design meetings with Coordinator and Technical Assistance team
  o Two partner utility meetings with each partner
  o One Coordinating Circle
• Managing technical sub consultant team
• Adapting and adjusting program as needed
• Monitoring regulatory activities that impact program and representing Program in relevant stakeholder groups, committees and advisory groups

C. PAYS Technical Assistance

Purpose: Provide excellent service and value to partner utilities through the development and delivery of PAYS programs
Role Accountabilities:
• Advising and assisting participating utilities in developing PAYS program concepts
• Ensuring that program design meets projected energy savings targets
• Determining target customer and building sector(s), and targeted measures
• Developing and refining program software tools
• Developing and refining operational procedures for start-up, measure delivery, QA/QC, financial operations, etc.
• Updating previously developed contracts and forms
• Assisting partner utilities through procurement of capital, contractors, vendors, and other PAYS services as needed
• Develop and implement training curriculum for utilities, contractors, vendors, etc.
• Support EM&V efforts for BayREN reporting

D. PAYS Local Outreach

Purpose: Support the PAYS program at the county level.

Role Accountabilities:
• Participating in PAYS planning and meetings as requested by Lead; monthly meetings anticipated: one per partner utility plus one PAYS Program Circle
• Serving as a local contact for PAYS utilities in the County for questions about BayREN
• Providing Program Lead with local information, contacts and data that support and promote the Program
• Analyzing local program performance to identify gaps and recommendations to Program Lead

III. Marketing & Outreach

A. PAYS Coordination

Purpose: Day-to-day program implementation

Role Accountabilities:
• Coordinating with Lead Link, Rep Link, and Cross Links, BayREN Administrator, PAYS technical team, partner utilities, PG&E, CPUC, and EM&V consultants

B. PAYS Technical Assistance

Purpose: Provide excellent service and value to partner utilities through the development and delivery of PAYS programs

Role Accountabilities:
• Support partner utility customer marketing campaign
• Conducting onsite surveys of potential projects and quality assurance on completed projects

C. PAYS Local Outreach

Purpose: Support the PAYS program at the county level.

Role Accountabilities:
• Recruiting PAYS partner utilities
• Ensuring outreach is done in all jurisdictions within the member county (towns, cities, unincorporated areas, etc.)
• Supporting PAYS partner utilities in outreach to elected officials, staff, customers, the general public, and other stakeholders

**Budget**

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<td><strong>Total</strong></td>
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Staff Report

To: SCTA/RCPA Board of Directors
From: Lauren Casey, Deputy Director, Climate Programs
Item: 4.1.1 – Two year progress report of RCPA involvement in the Bay Area Regional Energy Network (BayREN)
Date: May 11, 2015

Issue:
The Bay Area Regional Energy Network (BayREN) has served as a platform for regional and local government partnership in the expansion of energy efficiency programs since 2013. Staff would like to share a summary of BayREN impacts in the first two years and seek direction from the Board regarding continued RCPA participation in and leadership of local and regional BayREN programs.

Background:
The RCPA has a history of collaboration with local government agencies from around the Bay Area, especially in the implementation of energy efficiency programs through the American Recovery and Reinvestment Act, the Department of Energy’s Better Buildings Program, and now through the Bay Area Regional Energy Network (BayREN). The RCPA worked with the Local Government Sustainable Energy Coalition and leaders from the nine Bay Area counties to develop the original proposal to create BayREN, which was approved by the California Public Utilities Commission in 2012.

BayREN is a collaboration of the 9 counties that make up the San Francisco Bay Area. Administered by the Association of Bay Area Governments (ABAG), BayREN implements effective energy saving programs on a regional level and draws on the expertise, experience, and proven track record of local governments to develop and administer successful climate, resource, and sustainability programs.

RCPA staff provide periodic updates on BayREN program implementation in Sonoma County, but has not provided a comprehensive look at BayREN as a partner in the implementation of the RCPA Mission, Goals, and Objectives since BayREN launched in 2013.

The purpose of this report is to:
- Provide an overview of BayREN after its first two years of program administration
- Present the impacts of BayREN programs in Sonoma County to date
- Evaluate the role of the RCPA in BayREN, and
- Discuss the potential evolution of BayREN beyond 2016.

Staff will present the attached handouts and slides:
- Attachment 1: BayREN Executive Summary – regional overview of BayREN
- Attachment 2: BayREN Progress fact sheet (Feb 2015)
- Attachment 3: Sonoma County BAMBE Case Study
- Attachment 4: RCPA Presentation on BayREN
Highlights of BayREN achievements in Sonoma County since 2013:

- **Single Family – Energy Upgrade California Home Upgrade:**
  - Over 50 education and outreach events delivered
  - Over 240 homes retrofit
  - Over $529,000 in incentives paid
  - Estimated project work exceeding $3.3 million
  - Total annual energy savings of 135,500 kWh and 35,800 therms
  - Annual GHG emissions reductions of over 217 MTCO²e

- **Multifamily – Bay Area Multifamily Building Enhancement (BAMBE) Program**
  - Energy programs workshop delivered to roughly 30 property owners and managers
  - 241 residential units at 8 properties served with free technical assistance
  - Over $80,000 in incentives paid
  - Estimated project work exceeding $173,000
  - Total annual energy savings of 40,300 kWh and 3,100 therms
  - Annual GHG emissions reductions of 24 MTCO²e

- **Codes and Standards**
  - Two free local Title 24 trainings reached over 60 building professionals
  - Participation in six regional forums for best practice sharing and policy development
  - Santa Rosa participation in Permit Resource Opportunity Program supported local relevance of regional code compliance improvement recommendations

- **Pay As You Save (PAYS®)**
  - Expansion of Windsor Pay As You Save (PAYS®) program to commercial customers
  - Windsor PAYS participants achieved bill verified water savings of:
    - 18.5% of single family indoor water use
    - 33% of multifamily indoor water use
  - Opportunity to improve on program contracts, forms, contractor certifications, and customer engagement strategies through new regional partnerships
  - Opportunity to establish efficiencies and access more capital via regional program

**Policy Impacts:**
The RCPA Mission, Goals, and Objectives calls for the implementation of a countywide building retrofit program. Participation in BayREN programs allows for Sonoma County to leverage regional expertise and implementation to support locally administered retrofit programs.

**Fiscal Impacts:**
In 2013 through 2015, the RCPA has received over $1.4 million to lead the implementation of a regional PAYS program and the implementation of local aspects of Energy Upgrade California Home Upgrade, the Multifamily Bay Area Retrofit Program, the Codes and Standards Program, and Commercial PACE outreach and coordination. The Preliminary Budget for FY15/16 projects a similar rate of funding; this projection will be adjusted once BayREN receives clarity from the CPUC on its 2016 budget.

**Staff Recommendation:**
Staff seeks Board direction on future RCPA participation in the Bay Area Regional Energy Network and comment on program priorities as BayREN looks to expand beyond current offerings.
Bay Area Regional Energy Network - Executive Summary
October 2014

What is the Bay Area Regional Energy Network (BayREN)?
BayREN is a collaboration of the 9 counties that make up the San Francisco Bay Area. Administered by the Association of Bay Area Governments (ABAG), BayREN implements effective energy saving programs on a regional level and draws on the expertise, experience, and proven track record of Bay Area local governments to develop and administer successful climate, resource, and sustainability programs.

BayREN is funded by California utility ratepayers under the auspices of the California Public Utilities Commission. One of only two Regional Energy Networks in the state, BayREN represents 20 percent of the state’s population.

History of BayREN
This coalition of governments originally aligned in 2010 under the launch of Energy Upgrade California™ and was funded through March of 2012 by the American Reinvestment and Recovery Act, or ARRA. A proposal by the Local Government Sustainable Energy Coalition seeking funding for local governments to design and implement energy efficiency programs was accepted by the California Public Utilities Commission (“the Commission”) in May of 2012. This led the 9 Bay Area Governments to formally apply for establishment of BayREN. RENs uniquely address key sector regionally-scaled programs, and are able to offer and market them to residential and commercial customers uniformly, consistently, and equitably, across large geographic areas.

The BayREN application was approved by the Commission on November 8, 2012 and the BayREN continues to work with the Commission and Energy Division to improve upon and potentially expand the program. The current BayREN 2013-2014 Energy Efficiency Portfolio includes: Single Family, Multifamily, and Commercial PACE (Property Assessed Clean Energy) Subprograms, the Pay As You Save (PAYS®) water-energy nexus element, and a Codes & Standards initiative. The approved budget for all BayREN programs for 2013-2014 is $22,742,750 with nearly $7 million earmarked for incentives. The program will be granted an extension year throughout 2015, however a budget has not yet been finalized by the Commission.

BayREN Purpose
Bay Area county and city governments have aggressive climate, energy, and resource savings goals that can only be met through scalable regional initiatives that deliver results. BayREN provides an effective platform for local government energy programs to benefit from regional consistency and scale. BayREN builds energy efficiency expertise and experience of local governments against local, county, and regional boundaries. As a result, BayREN achieves greater energy savings by leveraging local governments’ knowledge of their communities and the existing relationships with their constituents and key stakeholders.
BayREN Programs:

- Access untapped markets by harnessing the collective power of local government action.
- Provide a channel for local governments to implement large scale, cross-sector programs, and foster neutral-energy management strategies.
- Develop and expand local government expertise and energy management capabilities for sustained long term success.
- Provide for local government access to data (currently constrained or unavailable) necessary for greater expansion of high performance, cost-effective programs.
- Build on programs launched through ARRA funds and leverage ratepayer funds with outside grant funds.
- Encourage leveraging of elements across subprograms to increase the uptake of upgrades.

Single Family:

- A Home Upgrade Advisor unit provides free step-by-step technical assistance to consumers and contractors. Advisors may refer rate payers to additional Bay Area energy and water efficiency programs. Contact an advisor at www.bayareaenergyupgrade.org or call 1-866-878-6008.
- BayREN is the exclusive administrator of the Energy Upgrade California® Home Upgrade program. Home Upgrade offers a menu of upgrade options with deemed savings to earn homeowners rebates up to $3,000 and an additional rebate of $150 for combustion safety testing.
- Provides an additional $300 rebate for whole-home energy audits for homeowners who have participated in the Advanced Home Upgrade Program.
- Recruits, trains and qualifies Specialty Contractors for program participation.
- Provides regional and local marketing, education and outreach activities for customers and contractors.

Multifamily:

- Offers rebates of $750 per unit for multifamily building upgrades.
- Targets outreach to multifamily property owners to promote Energy Upgrades.
- Offers comprehensive technical assistance to multifamily property owners to identify and prioritize energy upgrades, qualify for rebates, and access appropriate programs.

Codes and Standards:

- Promotes an integrated, measurement-driven management process for enhancing energy code compliance.
- Establishes code compliance baselines for select jurisdictions in the nine-county Bay Area. The Permit Resource Opportunity Program (PROP) establishes energy code compliance baselines, and identifies best practices and areas for improvement relevant to the specific needs of local building departments.
- Offers targeted training based upon identified baselines to institutionalize regular, actionable feedback to local officials.
- Organizes bi-monthly regional forums addressing high level program policy and program design issues on energy efficiency and energy code compliance.

Financing Portfolio Subprogram:

- Develops and launches regional public agency–led financing portfolio.
- Offers multiple financing options to assist diverse consumers undertake energy projects.
  - Funds the Multifamily Capital Advance Program.
  - Funds the Pay-as-You-Save® On-Bill Energy/Water Efficiency Pilots.
  - Supports Commercial PACE (Property Assessed Clean Energy) Projects.
Program Governance

The Association of Bay Area Governments, acting as fiscal agent and contractor, convenes a governance committee of representatives from the counties served by the BayREN (the Coordinating Committee). In order to enhance the flexibility and responsiveness of the BayREN to its members and constituents, the Committee has elected four of its members to serve on a Technical Executive Committee for programmatic, regulatory, and reporting support. Both Committees also serve as program and information sharing conduits among the BayREN counties, cities, and regional Energy Watch Programs.

Who will be served?
Cities, counties and other selected public agencies and Districts in the PG&E service territory. The BayREN serves 101 California cities in the following counties: Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma.

What are the projected 2013-2014 outcomes*?

<table>
<thead>
<tr>
<th>Projected Savings by Subprogram</th>
<th>kWh</th>
<th>kW</th>
<th>Therms</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single Family</td>
<td>2,128,378</td>
<td>3,438</td>
<td>293,803</td>
</tr>
<tr>
<td>Multifamily</td>
<td>1,365,019</td>
<td>1,111</td>
<td>152,850</td>
</tr>
<tr>
<td>Codes and Standards</td>
<td>7,627,455</td>
<td>953</td>
<td>190,686</td>
</tr>
<tr>
<td>Financing</td>
<td>2,128,378</td>
<td>3,438</td>
<td>293,803</td>
</tr>
<tr>
<td>Total</td>
<td>11,120,853</td>
<td>5,502</td>
<td>637,340</td>
</tr>
</tbody>
</table>

*2015 Outcomes have not been finalized.

In addition:
- Approximately 3,000 single-family units will undergo multi-measure energy upgrades.
- 5,000 multifamily units will undergo multi-measure energy upgrades.
- 300 building professionals will be trained.
- 1,650 local government building department employees will be trained.
- $23,000,000 will be facilitated through a series of programs and mechanisms to support energy upgrades.
- More than $8,000,000 in incentives are available to regional single family and multifamily residential customers.
- More than $150,000 has been set aside for free contractor training and enrollment.
In 2013 and 2014, BayREN (Bay Area Regional Energy Network) continued to be a valuable resource for local governments to implement large-scale, cross-sector energy management strategies on a regional level. BayREN is made up of public agencies representing all nine counties in the Bay Area. BayREN is one of only two regional energy networks in California and represents 20% of the state’s population and half the population within the Pacific Gas and Electric Company service territory.

### Home Upgrade alone generated....

<table>
<thead>
<tr>
<th>Economic Stimulus</th>
<th>Job Creation</th>
<th>Energy Savings</th>
</tr>
</thead>
<tbody>
<tr>
<td>$9,535,973 in total projects</td>
<td><strong>51.3</strong> Average number of hours each Home Upgrade project required of labor, equivalent to more than a week’s work for a contractor</td>
<td><strong>247,467.83</strong> kWh <strong>65,104.93</strong> therms saved</td>
</tr>
<tr>
<td>Supported by <strong>$1.4 million</strong> in reserved or paid incentives</td>
<td><strong>35,104</strong> Total Home Upgrade worker hours</td>
<td><strong>516</strong> metric tons of CO₂ conserved—enough energy to drive a passenger car around the globe almost 50 times</td>
</tr>
<tr>
<td><strong>$1,101,212.48</strong> in contractor wages</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Single Family Program Highlights

BayREN is the exclusive administrator of Energy Upgrade California® Home Upgrade and the Advanced Home Upgrade assessment incentive for single-family homeowners in the Bay Area who install energy-efficient home improvements.

- $1,000–$3,150 Home Upgrade rebates
- $1,000–$6,500 Advanced Home Upgrade rebates and $300 assessment incentive
- Home Upgrade Advisor for free one-to-one assistance for homeowners and contractors

Incentives reserved/paid
$1,447,400

Average project cost
$13,822

Average incentive
$2,079

Contractors trained
182

Home Upgrade advising
491 total accounts

Outreach
262 total outreach events

MultiFamily Program Highlights

BayREN offers cash rebates and free energy consulting for multifamily properties with five or more attached dwelling units that make energy upgrades.

- $750 per unit in rebates for saving 10% or more of a whole building’s energy usage

Upgrades completed
8,384

Total projects completed
124

Rebates received
$6,287,172

Average project size
67 units

Average estimated savings
16%

Average estimated savings per completed unit
406 kWh + 31 therms

Codes and Standards Highlights

BayREN’s Codes and Standards program addresses energy efficiency through:

- Improvements to local government codes and processes
  - 15 Permit Resource Opportunity Program jurisdictions for enhanced energy code compliance processes in building departments
- Advocacy for new energy policy and legislation
  - 351 attendance across 7 regional forums
- Training for local governments and building professionals on code compliance and enforcement
  - Exceeded energy code training goal by 42%

www.BayREN.org
Avalon Apartments, a complex of three low-rise buildings located southwest of downtown Santa Rosa, is consuming a lot less energy than it did a year ago, thanks to its owner’s decision to take advantage of incentives and free consulting offered by the Bay Area Multifamily Building Enhancements program. Owner Dan Wylie was drawn to the program’s dual benefits of saving money and reducing his property’s environmental impacts. The enrollment process was very easy, he said, and the program’s administrator, Association for Energy Affordability, kept him in the loop with regular email updates throughout the upgrade process.

Mr. Wylie’s rebate amounted to $15,000, which paid for 90% of the total cost of the energy upgrades.
Mr. Wylie and his tenants have already noticed a drop in their energy bills.

The in-unit and common area energy upgrades at Avalon Apartments are putting more money in the pockets of owner Daniel Wylie as well as his tenants. Upgrades in the common areas included replacing an older, less efficient water heater with a 97% efficient condensing storage model, and replacing laundry room and exterior lighting with energy-saving LED fixtures.

Fourteen of the units received new Energy Star refrigerators that use 464 kilowatt-hours per year of electricity, about 15% less than the models they replaced. Kitchen and bathroom faucets have new low-flow, 0.5 gallon per minute aerators, which reduce water waste and water heating energy. Energy-saving compact fluorescent light fixtures were installed in the apartments’ dining areas and bathrooms.

Mr. Wylie and his tenants have already noticed a drop in their energy bills, thanks to these improvements. Energy consultant Ross Oakley of Association for Energy Affordability steered Mr. Wylie through the upgrade process. Ross was a true professional, Mr. Wylie said — easy to work with and great about keeping him informed about every detail of the retrofit process.

About the Program
The Bay Area Multifamily Building Enhancements program provides free consulting to assist in planning efficiency improvements designed to save 10% or more of a multifamily building’s energy use, and provides $750 per unit in rebates to help pay for the upgrades. Learn more at www.bayren.org.

### Upgrade at a Glance

<table>
<thead>
<tr>
<th>Energy Savings</th>
<th>Rebate Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>• 18% overall energy savings</td>
<td>$ 15,000</td>
</tr>
<tr>
<td>• 592 Therms saved</td>
<td></td>
</tr>
<tr>
<td>• 4812 kWh saved</td>
<td></td>
</tr>
<tr>
<td>• 6.4 metric tons CO₂ emissions reduced</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Measures Included</th>
</tr>
</thead>
<tbody>
<tr>
<td>• High-efficiency condensing central water heater</td>
</tr>
<tr>
<td>• Replacement of 14 refrigerators with ENERGY STAR model</td>
</tr>
<tr>
<td>• Exterior and in-unit lighting upgrades</td>
</tr>
<tr>
<td>• Low flow aerator installation on unit kitchen and bath faucets</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Water savings</td>
</tr>
<tr>
<td>• Increased safety from improved lighting</td>
</tr>
</tbody>
</table>
Sonoma County participation in
The Bay Area Regional Energy
Network (BayREN)

May 11, 2015
Presentation Topics

- Overview of BayREN
- Program Impacts in Sonoma County
- RCPA Role
- Plans for 2016 and Beyond
Overview of BayREN
“Bay Area communities working together for a sustainable energy future.”
BayREN Organization

CPUC
Formal Oversight

PG&E
Fiscal Management

ABAG
Implementation

The “in house” model

Alameda
Marin
San Francisco
Santa Clara
Solano

Contra Costa
Napa
San Mateo
Sonoma
Regional Highlights

Single family:
- Retrofit nearly 1200 homes
- Spurred >$17.8 million in construction costs
- Provided >$2.8 million in incentives to homeowners
- Generated >66,434 man hours, and >$2 million in wages

Multi family:
- Retrofit 8,384 residential units
- Provided >$6.2 million in incentives to property owners
- Averaged 16% reduction in energy use
- Outpaced other programs in the state by at least 3X
- Reduced annual emissions by >3,670 metric tons of CO₂
More Regional Highlights

Codes and Standards:

- Partnered with 15 jurisdictions to enhance processes
- Developed new Permit Resource Opportunity Program, a trusted look into region-wide compliance rates:
  - 50% of reviewed projects performed worse than energy documentation predicted, even though compliant with code.
  - 84% of reviewed projects contained documentation errors or discrepancies at one or more stages of review.
- Responded to PROP findings through free Title 24 trainings and regional plan check proposal
- Delivered 6 regional forums on energy policy issues
More Regional Highlights

Financing:

- Developed commercial Property Assessed Clean Energy (PACE) property screening tool
- Developed regional PACE contractor training model
- Recruited 3 new partner utilities to improve and expand the Pay As You Save (PAYS®) pilot:
  - Windsor – Residential, Commercial Landscaping
  - City of Hayward
  - East Bay Municipal Utilities District
  - San Francisco Public Utilities Commission
RCPA Highlights of BayREN

- Delivering $600,000 incentives to local projects
- Generating over $3.5 million in construction work
- Funding RCPA role in local and regional energy efficiency
- Expanding relationships with local government peers
- Facilitating best practice sharing
- Providing opportunities to benefit from expertise at peer agencies and efficient program delivery
- Accessing regional regulatory services
- Expanding potential to test and scale programs
- Raising awareness about critical barriers and opportunities in pursuit of state goals
Program Impacts in Sonoma County
Single Family

- 243 local Home Upgrade projects
- $529,900 incentives paid to homeowners
- >$3,300,000 construction costs, and 12,900 man hours
- Annual energy savings: 135,500 kWh and 35,769 therms
- Annual emissions reductions: >217 MTCO₂
- Over 50 community presentations and events
Coordination with local partners
Multi Family

- Multifamily workshop delivered to ~30 owners/property managers
- 241 residential units served at eight properties
- Free technical assistance provided
- >$80,000 incentives paid
- >$173,000 construction costs
- Annual energy savings: 40,300 kWh and 3,104 therms
- Annual emissions reductions: >24 MTCO₂
Codes and Standards

- Local participation in regional best practice forums: https://www.bayren.org/codes/regional-forums
- Free trainings offered and provided to building professionals: https://www.bayren.org/codes/trainings
  - *In 2013-2014: Brought to Redwood Empire Association of Code Officers and North Coast Builders Exchange*
- Santa Rosa participation in Permit Resource Opportunity Program
  - *Opportunity for trusted evaluation of opportunities to improve energy code compliance; customized support*
Pay As You Save (PAYS®)

Customer perspective:
With PAYS, customers enjoy lower utility bills and new equipment.

Implementer perspective:

The Efficiency PAYS® Model

Certified Contractor
Installs program measures
Pays for approved projects
Pays third party (if used)

Customer
Pays charge with utility bill

Capital Provider

Monthly Utility Bill Costs

Before Upgrade
After Upgrade

WATER + ENERGY Utility Bill
WATER + ENERGY Utility Bill

Savings on Bill
PAYS repayment for new equipment (showerheads, washers, toilets, landscaping)
Windsor Efficiency PAYS®

BayREN Value Added:
- New commercial irrigation offerings launched
- Ongoing technical support to conservation staff
- Refinements to residential model underway

Program Achievements:
- **5% of homes** served
- **$427,802 in on-bill surcharges**
- **18.5% indoor water savings** for single family
- **33% indoor water savings** for multifamily
- Unpaid surcharge/project costs sent to collections: **$0**
RCPA Role in BayREN Programs
Policy and Governance

CPUC
Formal Oversight

PG&E
Fiscal Management

ABAG
Implementation

Alameda
Marin
San Francisco
Santa Clara
Solano
Contra Costa
Napa
San Mateo
Sonoma RCPA
Cloverdale
Cotati
Healdsburg
Rohnert Park
Petaluma
Santa Rosa
Sebastopol
Services and Coordination

- Building Departments
- Sonoma Clean Power
- Sonoma County Energy Independence Office
- Sonoma County Water Agency
- Municipal Water Utilities
- CPUC (Formal Oversight)
- PG&E (Fiscal Management)
- ABAG (Implementation)
- Alameda
- Marin
- San Francisco
- Santa Clara
- Solano
- Contra Costa
- Napa
- San Mateo
- Sonoma County RCPA

- Homeowners
- Property Managers
- Renters
- Business Owners
- Contractors
- Realtors
- PACE providers
- Banks
Lead Link for PAYS®

CPUC
Formal Oversight

PG&E
Fiscal Management

ABAG
Implementation

Alameda

Marin

San Francisco

Santa Clara

Solano

Contra Costa

Napa

San Mateo

Sonoma RCPA

StopWaste (Alameda)  San Francisco  Sonoma County (SCEIP)  BKi
Summary of RCPA Role

- Representing all ten jurisdictions of Sonoma County to BayREN Coordinating Circle
- Serving as liaison between local and regional policy and program decision makers
- Coordinating the delivery of local programs with partners:
  - Homeowner and property owner outreach
  - Contractor outreach
  - Building department engagement
- Managing the Regional PAYS pilot, with other county reps supporting new partner utilities
Planning for 2016 and Beyond
Future uncertainties

- CPUC moving to “Rolling Portfolio” approach, authorizing annual funding through 2025 “until changed.”
- White paper on mechanics expected Summer 2015
- Issues under review and discussion:
  - Evaluation of BayREN impacts in 2013-2015
  - Status of BayREN as a pilot
  - Future BayREN budget levels
- Draft FY15/16 Budget anticipates BayREN continues at current funding levels.
- Staff will bring updates to the Board as the approach unfolds.
Staff Report

To: Sonoma County Transportation Authority

From: Dana Turrey, Transportation Planner

Item: 4.2.1 – Reimagining Santa Rosa CityBus

Date: May 11, 2015

Issue:
What is the Reimagining CityBus project?

Background:
The FY 12-21 Short-Range Transit Plan for Santa Rosa CityBus identified the need for a Comprehensive Operational Analysis (COA) and long-range plan for the Santa Rosa CityBus system to 1) provide a roadmap for development of the transit system that is more closely linked to land use, development patterns, and the needs of current and future transit riders, and 2) provide an opportunity to re-evaluate the role of transit in Santa Rosa and how services should be provided. The City sought and was awarded funding from the Metropolitan Transportation Commission’s Transit Performance Initiative Incentive Program to support this project, and work is now underway.

Project Overview:
The goal of the Reimagining CityBus project is to create a blueprint for the build-out of the “ideal” transit system for Santa Rosa that reflects current and future travel patterns, needs, and priorities; more closely links transit planning with land use planning; and improves the efficiency, effectiveness, and overall operation of the bus system. This goal may be achieved through a combination of changes to route alignments, schedules and the overall design of the transit system network, as indicated by planning analysis, public feedback, and Santa Rosa City Council guidance.

The outcomes of the project will be a new, short-term revenue-neutral service plan that can be implemented within approximately six months, in addition to both moderate and “unconstrained” plans that will guide future system enhancements when additional funding becomes available.

To achieve these goals and outcomes, six major tasks and related public engagement activities will be conducted over the three phases of the project between March and December 2015:

<table>
<thead>
<tr>
<th>Phase</th>
<th>1) Market Analysis and Route/Network Analysis: These analyses provide the planning data that will guide and inform the process, including updated information on demographics, land use, travel patterns, and current transit system performance.</th>
<th>2) Visioning: A broad-based public process to discuss the trade-offs involved with transit service design and what type of system is the best fit for Santa Rosa today and in the future.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase I</td>
<td>March-May 2015</td>
<td>1) Market Analysis and Route/Network Analysis: These analyses provide the planning data that will guide and inform the process, including updated information on demographics, land use, travel patterns, and current transit system performance.</td>
</tr>
</tbody>
</table>
Implementation of the new service plan will occur in approximately July 2016. Depending on the nature of the changes proposed, implementation of the new service plan may be phased.

**Inter-operator Coordination:**

This project includes analysis and public engagement activities related to how the service plan will accommodate and prioritize coordination of CityBus services with those of partner transit operators, including Sonoma County Transit, Golden Gate Transit, and SMART. These operators have each designated a staff member to serve on the Technical Advisory Committee (TAC) for the project. SCTA has also designated staff to serve on the TAC.

**Public Involvement:**

The Public Involvement Plan for the project includes a range of public engagement activities to meet the goal of conducting an interactive and collaborative process that engages a broad spectrum of transit riders, potential riders and stakeholders in the process. The mix of strategies will vary during the three phases of the project, as illustrated in the table below:

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>Stakeholder outreach</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Community group meetings</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Planning charrettes/public workshops</td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Mobile outreach</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Surveys (intercept and online)</td>
<td>✓</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>City Council reports</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Public hearing</td>
<td></td>
<td></td>
<td>✓</td>
</tr>
</tbody>
</table>

Various methods are being used to provide information and notifications related to the project, including a project website (www.srcity.org/reimagining) that serves as a repository for project documents, information about public involvement activities, and regular updates on project progress; print materials in English and Spanish, such as car cards, takeaway cards, rider alerts, and meeting notices; email updates; media outreach; and information provided through the networks of partner agencies and organizations.
Current Activities and Next Steps:

During the month of May, the following activities will occur:

- Ongoing administration of the Priorities and Trade-offs Survey online and in hard copy
  - See https://www.surveymonkey.com/s/ReimaginingSantaRosaCityBus (English) and
    https://www.surveymonkey.com/s/ReimaginandoSantaRosaCityBus (Spanish)

- Mobile outreach at events and in high-traffic locations including the Transit Mall; and

- Ongoing stakeholder engagement and outreach through community partners.

These activities will complement stakeholder and public engagement activities conducted during the months of March and April, including two planning workshops held in April. Santa Rosa Transit Division staff will return to the City Council in the month of June with a summary of the findings from Phase I of the project, including planning analysis and public feedback, and proposed Service Design Guidelines to guide work on conceptual scenarios for the transit system that will be developed during the summer of 2015.

Project Information:

More information about the project can be found at www.srcity.org/reimagining or by contacting Rachel Ede, Transit Planner and Reimagining CityBus project manager, at rede@srcity.org or 543-3337.

Policy Impacts:

This is an informational item. There are no policy impacts.

Fiscal Impacts:

This is an informational item. There are no fiscal impacts.
Staff Report

To: Sonoma County Transportation Authority
From: Janet Spilman, Deputy Director, Planning & Public Outreach
Item: Item 4.2.2 - Plan Bay Area update
Date: May 11, 2015

Issue:
What is the status of the Plan Bay Area, the Regional Sustainable Communities Strategy?

Background:
In July 2013, the Metropolitan Transportation Commission (MTC) and the Association of Bay Area Governments (ABAG) approved Plan Bay Area (PBA), the first Regional Transportation Plan (RTP) for the region that also includes a Sustainable Communities Strategy (SCS) as required by Senate Bill 375. Per federal requirements, MTC must update the RTP every four years. The Regional Housing Needs Assessment (RHNA) will not be updated in this cycle.

Last July, the MTC/ABAG team produced the attached schedule for the update to Plan Bay Area – to be adopted in 2017.

Public Outreach
With adoption of the 2015 Public Participation Plan in February, MTC has launched the update to Plan Bay Area via a series of Open Houses. The Sonoma County event was on May 7 at 6pm at the Friedman Center. MTC proposes to enhance engagement activities to include telephone surveys, online surveys and comment opportunities, “pop up” meetings at public gathering places (parks, farmer’s markets, street festivals, etc.), and partnerships with community-based organizations and local agencies.

Technical updates
MTC has begun to look at project performance evaluation and revenue forecasting. These efforts are at the beginning stages. For a more detailed look at this process please see presentations made to Joint MTC Planning Committee/ABAG Administrative Committee meeting April 10, 2015 http://apps.mtc.ca.gov/events/agendaView.akt?p=2384.

Staff is participating in an effort to update Plan Bay Area, and is active in the Performance Working Group (Chris Barney) and the Regional Equity Working Group (Janet Spilman).

Policy Impacts:
Plan Bay Area is the long term Sustainable Communities planning document for the Bay Area Region. Our Countywide Comprehensive Transportation Plan (CTP) reflects SCTA priorities and is, in the primary policy areas, complementary to Plan Bay Area.
**Fiscal Impacts:**

Plan Bay Area will have a project approval process that will complement our CTP project list approval. Regional projects are generally limited to large ("regionally significant") projects. Smaller projects are usually discussed as project categories. Staff will continue to work with MTC and potential project sponsors to promote our local priorities and to keep the process as streamlined with the current CTP process as possible.

**Staff Recommendation:**

This item is for information only.
Attachment A

Approach & Tasks: 2017 RTP/SCS

### Proposed Approach

#### Overall

- focused update in 2017
  - no RHNA
  - use overall Plan Bay Area framework
  - local input on PDA and PCA revisions
- emphasis on state of good repair and maintaining performance framework
- focus on new initiatives and projects
  - transit core capacity/connectivity
  - goods movement
  - inner bay corridors
- greater integration of other regional agency initiatives such as
  - sea level rise adaptation planning
  - healthy infill
  - economic development
- requirements per settlement agreement(s) including
  - PDA assessment
  - Freight Emissions Reduction Action Plan
  - EIR disclosures regarding Express Lanes
  - Healthy Infill Guidelines

### Specific Tasks:

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</table>
| a) Public Outreach | Develop Public Participation Plan
2 rounds of telephone polls
3 rounds of open houses (kick-off, scenarios, draft plan)
CBO-hosted focus groups
briefings of elected officials |
| b) Call For Projects | update of Plan Bay Area project info
new regional projects largely based on new initiatives
incorporate new county projects per county plans and new funding sources/sales tax measures |
| c) Project Performance Evaluation | preserve strongest performance evaluation elements from Plan Bay Area
integrate state of good repair analysis |
| d) Job, Population & Housing Forecasts | update job, population & housing forecasts
keep planning horizon at 2040 |
| e) Transportation revenue Forecast | update revenue forecasts with new base year and growth rates
keep planning horizon at 2040 |
| f) Scenario Analysis | one round of scenario analysis
scenarios designed to inform the selection of a preferred scenario
same scenario alternatives revised and carried over into EIR |
# Draft Schedule & Tasks: 2017 RTP/SCS

<table>
<thead>
<tr>
<th>Year</th>
<th>2014</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarter</td>
<td>Q2</td>
<td>Q3</td>
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<td>Policy Element</td>
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<td>Programs to feed into 2017 RTP/SCS</td>
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<td>Regional Goods Movement Study</td>
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<td>1c</td>
<td>Economic Development Strategy</td>
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<td>1d</td>
<td>PDA Assessment per BIA Settlement Agreement</td>
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<td>Performance Assessment</td>
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<td>Equity Analysis</td>
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<td>Housing Forecast (regional and subregional)</td>
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<td>Scenario Development &amp; Analysis</td>
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<td>Define &amp; Evaluate Detailed Scenarios</td>
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<td>Adopt Preferred Scenario &amp; Revise Alternative Scenarios</td>
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<td>16</td>
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<td>Draft Plan</td>
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<td>Respond to EIR Comments</td>
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<td>22</td>
<td>Adopt Plan</td>
<td>1</td>
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</tbody>
</table>

- committee information
- committee action
You're Invited: Plan Bay Area 2040 Open Houses

Metropolitan Transportation Commission sent this bulletin at 04/15/2015 09:02 PM PDT

Join us as we host spring Plan Bay Area open houses in each of the Bay Area’s nine counties!

Help chart the path for your community by participating in this critical, collaborative planning process.

Plan Bay Area is a roadmap to help Bay Area cities and counties preserve the character of our diverse communities while adapting to the challenges of future population growth. Our upcoming open houses will provide context for this vital planning effort and seek your input to help shape the future of your county and the Bay Area as a whole.

For more details, contact info@planbayarea.org or call (510) 817-5757. For transit information, visit 511.org.

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**Alameda County**

Wednesday, April 29, 2015
7 p.m. to 9 p.m.
Alameda County Fairgrounds*
Palm Pavilion
4501 Pleasanton Avenue
Pleasanton

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**Contra Costa County**

Wednesday, April 29, 2015
7 p.m. to 9 p.m.
Marriott
2355 North Main Street
Walnut Creek
<table>
<thead>
<tr>
<th>County</th>
<th>Date</th>
<th>Time</th>
<th>Location</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marin County</td>
<td>Thursday, May 28, 2015</td>
<td>5 p.m. to 7 p.m.</td>
<td>Location to be determined</td>
<td>Check <a href="http://PlanBayArea.org">PlanBayArea.org</a> for updates</td>
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<tr>
<td>Napa County</td>
<td>Thursday, May 7, 2015</td>
<td>6 p.m. to 8 p.m.</td>
<td>Elks Lodge 2840 Soscol Avenue</td>
<td>Napa</td>
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<tr>
<td>San Francisco County</td>
<td>Wednesday, May 13, 2015</td>
<td>7 p.m. to 9 p.m.</td>
<td>Hotel Whitcomb 1231 Market Street</td>
<td>San Francisco</td>
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<tr>
<td>San Mateo County</td>
<td>Wednesday, May 6, 2015</td>
<td>7 p.m. to 9 p.m.</td>
<td>San Mateo County Event Center Event Pavilion 1346 Saratoga Drive</td>
<td>San Mateo</td>
</tr>
<tr>
<td>Santa Clara County</td>
<td>Wednesday, May 6, 2015</td>
<td>7 p.m. to 9 p.m.</td>
<td>Berryessa Community Center 3050 Berryessa Road</td>
<td>San Jose</td>
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<tr>
<td>Solano County</td>
<td>Thursday, May 7, 2015</td>
<td>6 p.m. to 8 p.m.</td>
<td>Hilton Garden Inn 2200 Gateway Court</td>
<td>Fairfield</td>
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<tr>
<td>Sonoma County</td>
<td>Thursday, May 7, 2015</td>
<td>6 p.m. to 8 p.m.</td>
<td>Friedman Center 4676 Mayette Avenue</td>
<td>Santa Rosa</td>
</tr>
</tbody>
</table>

Do you need an interpreter or any other assistance in order to participate? Please call us at 510.817.5757 or at 510.817.5769 for TDD/TTY. We require three days notice in order to provide reasonable accommodation.

¿Necesitas un intérprete o cualquier otra asistencia para participar? Comuícate al 510.817.5757 o al 510.817.5769 para TTD/TTY. Necesitamos aviso con tres días de anticipación para proporcionar asistencia razonable.

為了便於參加，您需要口譯員或其他任何協助嗎？請致電510.817.5757或510.817.5769 (TDD/TTY) 聯絡我們。我們需要提前3天通知才能提供合理的輔助服務。
Issue:
Shall the Board approve a program of projects for submittal to the Metropolitan Transportation Commission (MTC) for the FY15/16 Transportation Development Act, Article 3 (TDA3) funding?

Background:
TDA funds are generated from a statewide ¼ cent sales tax. Article 3 of TDA is a set-aside of approximately 2% of those monies. MTC administers TDA3, which is distributed based on population. Each year, an annual fund estimate or “entitlement” is developed for each jurisdiction. Unused entitlement is accumulated as credit. A jurisdiction’s claim in any given year cannot exceed the sum of their accumulated credit plus their projected entitlement for the following two years.

Sonoma County’s cities/towns and the County of Sonoma are eligible to apply. TDA3 funds may be used for bicycle lanes, bicycle and pedestrian paths, and related planning and marketing efforts. There are no matching requirements with this funding source. TDA3 projects are required to meet Caltrans safety design criteria and CEQA requirements; be completed within three years; be maintained; be consistent with adopted bicycle plans; and be authorized by a governing council or board.

A Call for Projects was issued on February 9, 2015, with an application deadline of March 13, 2015. The application deadline was extended twice to a final deadline of April 17, 2015. In addition to the application, project sponsors were requested to deliver an authorizing governing-body resolution to SCTA staff, as well as documentation of environmental clearance and maps/documents showing project locations and design parameters. Submissions are due to MTC at the end of May 2015.

An application for one (1) project was received from the City of Santa Rosa. Please see project information below:
Applicant: Santa Rosa

Contact: Nancy Adams

Project: Pedestrian and bicycle crossing at Jennings Avenue and SMART rail corridor

Project Description: Design and construct an at grade pedestrian and bicycle crossing of the SMART rail corridor at Jennings Avenue and construct pedestrian enhancements to provide a continuous active transportation corridor between Dutton Avenue and Range Avenue.

Project Elements: Engineering, construction and contingency

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>All Prior FYs</th>
<th>Application FY 15/16</th>
<th>Totals</th>
</tr>
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<tbody>
<tr>
<td>TDA Article 3</td>
<td></td>
<td>$503,313</td>
<td>$503,313</td>
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<tr>
<td>all other sources:</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Gas Tax**</td>
<td></td>
<td>$888,687</td>
<td>$888,687</td>
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<tr>
<td>CFF</td>
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<td>$8,000</td>
<td>$8,000</td>
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<tr>
<td>General Fund**</td>
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<td>$800,000</td>
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<tr>
<td>Totals</td>
<td></td>
<td>$2,200,000</td>
<td>$2,200,000</td>
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</tbody>
</table>

**City actively seeking grant funds to offset these funding sources

Fiscal Impacts:
The proposed Program of Projects will provide $503,313 of benefit to Sonoma County.

Action Requested:
The Countywide Bicycle and Pedestrian Advisory Committee made a recommendation to approve the FY15/16 Program of Projects at its April 28, 2015 meeting. Staff recommends approving Resolution No. 2015-012 and the FY15/16 TDA3 Program of Projects as listed in Attachment A to the Resolution.
RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA COUNTY TRANSPORTATION AUTHORITY, COUNTY OF SONOMA, STATE OF CALIFORNIA, ADOPTING A PROJECT LIST FOR THE ALLOCATION OF FISCAL YEAR 2015/2016 TRANSPORTATION DEVELOPMENT ACT (TDA) ARTICLE 3, PEDESTRIAN AND BICYCLE PROJECT FUNDS TO CLAIMANTS IN SONOMA COUNTY

WHEREAS, Article 3 of the Transportation Development Act (TDA), Public Utilities Code (PUC) Section 99200 et seq., authorizes the submission of claims to a regional transportation planning agency for the funding of projects exclusively for the benefit and/or use of pedestrians and bicyclists; and

WHEREAS, the Metropolitan Transportation Commission (MTC), as the regional transportation planning agency for the San Francisco Bay region, has adopted MTC Resolution No. 4108, which delineates procedures and criteria for submission of requests for the allocation of TDA Article 3 funds; and

WHEREAS, MTC Resolution No. 4108 requires that requests from eligible claimants for the allocation of TDA Article 3 funds be submitted as part of a single, countywide coordinated claim, composed of certain required documents; and

WHEREAS, the Sonoma County Transportation Authority has undertaken a process in compliance with MTC Resolution No. 4108 for consideration of project proposals submitted by eligible claimants of TDA Article 3 funds in County of Sonoma, and a prioritized list of projects, included as Attachment A of this resolution, was developed as a result of this process; and

WHEREAS, each claimant in County of Sonoma whose project or projects have been prioritized for inclusion in the fiscal year 2015-2016 TDA Article 3 countywide coordinated claim, has scheduled a hearing of a resolution for its project or projects with its governing body, a certified copy of which will be forwarded to the Sonoma County Transportation Authority for submittal to MTC requesting an allocation of TDA Article 3 funds; now, therefore, be it

RESOLVED, that the Sonoma County Transportation Authority approves the prioritized list of projects included as Attachment A to this resolution; and furthermore, be it

RESOLVED, that the Sonoma County Transportation Authority approves the submittal to MTC, of the County of Sonoma fiscal year 2015-2016 TDA Article 3 countywide, coordinated claim, composed of the following required documents:

A. transmittal letter
B. a certified copy of this resolution, including Attachment A;
C. one copy of the governing body resolution and required attachments, for each claimant whose project or projects are the subject of the coordinated claim;
D. a description of the process for public and staff review of all proposed projects submitted by eligible claimants for prioritization and inclusion in the countywide, coordinated claim;
THE FOREGOING RESOLUTION was introduced by Director __________, who moved its adoption, seconded by Director __________, and adopted by the following vote:

Director Carlstrom
Director Chambers
Director Gallian
Director Gorin
Director Gurney
Director Landman
Director Mackenzie
Director Miller
Director Rabbitt
Director Russell
Director Salmon
Director Zane

Ayes: Noes: Absent: Abstain:

SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of Directors of the Sonoma County Transportation Authority held on May 11, 2015:

Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority
ATTACHMENT A

TDA Article 3 – FY 2015/2016 Bicycle and Pedestrian Project List

<table>
<thead>
<tr>
<th>Jurisdiction</th>
<th>Contact Person</th>
<th>Project</th>
<th>TDA3 Funds Requested</th>
<th>Total Project Cost</th>
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</thead>
<tbody>
<tr>
<td>Santa Rosa</td>
<td>Nancy Adams</td>
<td>SMART Rail Pedestrian and Bicycle Crossing at Jennings</td>
<td>$503,313</td>
<td>$2,200,000</td>
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<tr>
<td>Total:</td>
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<td></td>
<td>$503,313</td>
<td>$2,200,000</td>
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Staff Report

To: SCTA Board of Directors

From: Dana Turréy, Transportation Planner

Item: 4.3.2 – FY15/16 Transportation Fund for Clean Air (TFCA) program of projects

Date: May 11, 2015

Issue:
Shall the SCTA Board of Directors approve the FY 15/16 Transportation Fund for Clean Air (TFCA) program of projects for submittal to the Bay Area Air Quality Management District?

Background:
As per requirements from the Bay Area Air Quality Management District (BAAQMD), the SCTA adopts local projects that implement BAAQMD criteria for air quality improvement. These funds are generated through a $4 surcharge on vehicle registrations in the Bay Area, 40% of which are programmed by SCTA. In Sonoma County, only the southern portion of the County is within the Air District. Cloverdale, Healdsburg and the unincorporated areas north of Windsor do not receive TFCA funds administered by SCTA.

Funds are to be distributed according to criteria adopted by the SCTA Board on October 16, 2006, which gives Santa Rosa, Petaluma, and the County guaranteed funds according to their population (i.e., their population percentages within the air district boundaries in the County). The remainder of the funds may be applied for on a competitive basis. No forward balances are allowed from prior programming cycles. Funds are paid to project sponsors on a reimbursement basis.

Funding:
The Call for Projects, issued on January 27, 2015, was based on a total of $577,664 of available funding. On April 14, 2015, BAAQMD found an accounting error which reduced the total amount available for allocation by $12,725.28 to $564,938.72.

FY 15/16 Distribution – Revised April 14, 2015

<table>
<thead>
<tr>
<th>Population Percentages</th>
<th>Santa Rosa</th>
<th>County</th>
<th>Petaluma</th>
<th>Competitive</th>
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<td>Revised Allocation</td>
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<td>$137,110.63</td>
<td>$78,244.01</td>
<td>$123,778.07</td>
<td>$564,938.72</td>
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SCTA received applications for TFCA funding for five (5) projects totaling $551,097, by the final application deadline of April 10, 2015. Because the total of these five projects did not exceed the total allocation, no reductions were made in the amounts requested. A sixth project was recommended by SCTA’s Technical Advisory Committee (TAC) for the remaining $13,841.72 at their April 23, 2015 meeting.
Program of Projects:

SCTA received applications for TFCA funding for six (6) projects, all of which comply with BAAQMD TFCA policies and meet the minimum cost-effectiveness thresholds set by BAAQMD. SCTA’s Technical Advisory Committee (TAC) reviewed the projects at their April 23, 2015 meeting and recommended approval to the Board of Directors.

Proposed FY 15/16 TFCA Projects

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Jurisdiction</th>
<th>Project Title</th>
<th>Amount Requested</th>
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<tr>
<td>16SON01</td>
<td>Santa Rosa</td>
<td>Free Rider Trip Reduction Incentive Programs</td>
<td>$230,892.00</td>
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<tr>
<td>16SON02</td>
<td>Sonoma County</td>
<td>Transit Marketing Program</td>
<td>$140,199.00</td>
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<tr>
<td>16SON03</td>
<td>Petaluma</td>
<td>Youth Bus Pass Subsidy Program</td>
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<tr>
<td>16SON04</td>
<td>Petaluma</td>
<td>Transit Marketing Program</td>
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<td>16SON05</td>
<td>Petaluma</td>
<td>Traffic Signal Coordination Timing Project</td>
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<td>16SON06</td>
<td>Petaluma</td>
<td>Electric Vehicle Charging Station Installation</td>
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<td><strong>Total:</strong></td>
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<td><strong>$564,938.40</strong></td>
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FY 15/16 Project Information Summary

16SON01 – Santa Rosa Transit Free Rider Trip Reduction Incentive Programs – $230,892

Grantee will use TFCA funds for maintenance and expansion of two comprehensive incentive programs offered to employers and all Youth (5 through 18 years) within the Santa Rosa city limits. One component of the program is designed to enable employer to encourage their employees to reduce single-occupancy vehicle trips resulting from their commute to and from work.

Incentives include:
- Guaranteed Ride Home taxi voucher
- Subsidized Monthly/ 31-Day transit pass(es) for Sonoma county Transit and Santa Rosa City Bus
- The incentive for carpooling, walking and bicycling to and from work is entry into a monthly drawing to win one of twenty $50 gift cards. Participants are automatically entered into the drawing each time they make one round-trip or two one-way trips to/from work using one of the previously mentioned commute options.
- Learn to Ride CityBus Travel Training Program includes a complimentary Santa Rosa CityBus 31-Day pass for all participants in the 2 hour training class. The 31-Day pass encourage class participants to continue practicing their new skills and enjoy the convenience of bus travel.
- Program management/administration and marketing expenses are also included.

The second part of this program is the Santa Rosa Youth Bus Pass subsidy. Grantee will use TFCA funds to provide a subsidy for all Santa Rosa Youth bus passes during the duration of this program.
Also, funds will be used to subsidize a single 31-Day pass for eligible Youth who participate in the Learn to Ride CityBus travel Training Program.

The standard $10 subsidy reduces the cost of a 31-Dasy pass from $35 to $25 for Youth ages 5 through 18. The subsidy is increased to $11 for Youth passes sold directly through local middle and high schools within the Santa Rosa city limits. This reduction encourages parents/guardians of youth to allow their children to take public transit as a means of primary travel to and from school, after school events and part-time jobs.

16SON02 – Sonoma County Transit Marketing Program – $ 140,199

Sonoma County Transit seeks $140,199 in TFCA-40% funds to support its FY 2016 and FY 2017 Transit Marketing Program. As the only 100%* natural gas powered transit system in the San Francisco Bay Area, Sonoma County Transit will continue to market itself as “The Clean Air Alternative,” a promotion that began several years ago to promote transit usage and the benefits of Sonoma County Transit’s alternative fuel fleet.

Sonoma County Transit’s ongoing “Connecting Communities” campaign promotes transit as an auto alternative. Sonoma County Transit’s marketing messages for FY 2016 and FY 2017 will promote transit and clean air on venues such as pressdemocrat.com and the bohemian.com, in addition to, advertising in local print media throughout the County.

Sonoma County Transit’s enhanced marketing efforts have been aided in recent years with the use of TFCA funds and have resulted in increased public awareness of Sonoma County Transit and its services. One of Sonoma County Transit’s primary marketing efforts each year is promotion of its Summer Youth Pass. The Summer Youth Pass provides unlimited rides for students, 18 and under, between June 1 and August 31. The Summer Youth Pass program encourages middle and high-school students who use transit for their school commute to continue using transit during the summer. The program also introduces new students to transit and encourages continued use during the school year.

In September 2014, the Sonoma County Board of Supervisors approved a Free-Fare pilot program for 2015 that permits Veterans and Sonoma County College Students to ride Sonoma County Transit free. County general funds have been set aside to reimburse Sonoma County Transit for the uncollected passenger fares. Sonoma County Transit’s current TFCA marketing grant 15SON02, has been used to support this successful program which in March, 2015 resulted in a 28% increase in “Student” ridership. Although overall system ridership has declined, the pilot program and its TFCA funded marketing efforts have helped to offset further declines.

Funding from this request will cover staff, consultant and media costs necessary for continuing Sonoma County Transit’s marketing efforts and will focus on cities within BAAQMD’s Sonoma County service area which include: Sonoma, Petaluma, Rohnert Park, Cotati, Sebastopol, Santa Rosa and Windsor.
Sonoma County Transit will identify the Bay Area Air Quality Management District as a project partner in its promotions.

*heavy duty bus fleet

16SON03 – Petaluma Transit Youth Bus Pass Subsidy Program  $16,000

City of Petaluma will use TFCA funds towards the subsidized Youth Bus Pass Program. This program includes monthly and quarterly bus passes, including quarterly deeply discounted bus passes for those students who qualify. Since the introduction of the quarterly pass program in 2013, quarterly pass sales have almost completely supplanted monthly pass sales.

16SON04 – Petaluma Transit Marketing Program – $64,006

City of Petaluma will use TFCA funds to sustain the Petaluma Transit marketing program. Specifically, Petaluma Transit will:

- Provide On-Street Service Information: Employ industry best practices to increase ridership via improved service information at bus stops and key trip generators (schools, transit transfer centers, public facilities, senior centers, etc.).
- Create and Provide Paper and Online Marketing Materials: Employ industry best practices to design, create, and provide marketing materials for existing and potential riders, including maps, brochures, timetables, etc.
- Carry out additional Marketing Campaigns and Improvements as needed to support planning and operations during FY16. Potential marketing needs include:
  - Service changes anticipated Fall 2015
  - Bus stop improvements
  - Promotional materials for schools
  - Marketing of AVL Real-time information system.

16SON05 – City of Petaluma Traffic Signal Coordination Timing Project – $100,000

Grantee will use TFCA funds to coordinate signal timing at 14 intersections during AM and PM peak commute hours. The project will reduce vehicle congestion and corresponding emissions by coordinating signal timing along the Old Redwood Highway and East Washington/Washington Street corridors.

- The Old Redwood Highway corridor is located on the north side of Petaluma and includes two signalized interchange ramps controlled by Caltrans as well as three signalized intersections at Stony Point road, North McDowell and Redwood Way, controlled by the City of Petaluma. Total of 5 signals.
- The East Washington/Washington Street corridor is located in central Petaluma both east and west of US 101. This corridor includes two signalized interchange ramps controlled by Caltrans as well as 7 signalized intersections at Kentucky Street, Petaluma Boulevard North, Copeland Street, Lakeville Street, Payran Street, Ellis/Johnson Street, and McDowell Boulevard, controlled by the City of Petaluma. Total of 9 signals.
Grantee will use TFCA funds to help fill a funding shortfall from a California Energy Commission (CEC) grant received for equipment and installation of five public electric vehicle (EV) charging stations in Petaluma. TFCA funds would cover installation costs that exceed the amount granted from the CEC. The EV charging station project and CEC grant have been accepted by City Council and are ready for implementation.

**Fiscal Impact:**

Sonoma County jurisdictions will receive a benefit of up to $564,938.40 to implement air-pollution-reducing projects and SCTA will receive $29,462.63 to administer the program.

**Action Requested:**

The SCTA Board of Directors is requested to review and approve the FY15/16 TFCA Program of Projects. Staff and the Technical Advisory Committee recommend approval of the FY15/16 TFCA Program of Projects and Resolution No. 2015-013.
RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA COUNTY TRANSPORTATION AUTHORITY, COUNTY OF SONOMA, STATE OF CALIFORNIA, ADOPTING A PROGRAM OF PROJECTS FOR THE FY 2015/2016 TRANSPORTATION FUND FOR CLEAN AIR (TFCA) PROGRAM FOR THE COUNTY OF SONOMA

WHEREAS, the Sonoma County Transportation Authority is the Program Manager for the Transportation Fund for Clean Air (TFCA) Program Manager Program in Sonoma County; and

WHEREAS, each year the eligible jurisdictions prepare a program of projects for the TFCA funds received by Sonoma County based on a vehicle registration surcharge assessed on those vehicles registered within the Bay Area Air Quality Management District air basin; and

WHEREAS, the Sonoma County Transportation Authority holds funds received through this program in a separate interest-bearing account; and

WHEREAS, the interest generated on these funds must be programmed to clean air projects, and the Sonoma County Transportation Authority is responsible for programming these funds.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Directors of the Sonoma County Transportation Authority does hereby adopt the list of projects shown as “Attachment A” as the TFCA Program of Projects for FY 2015/2016.

BE IT FURTHER RESOLVED, that the Sonoma County Transportation Authority does hereby direct the Executive Director to submit an application for the attached program of projects to the Bay Area Air Quality Management District for funding with the FY 2015/2016 TFCA funds.

THE FOREGOING RESOLUTION was introduced by Director ____________, who moved its adoption, seconded by Director ____________, and adopted by the following vote:

<table>
<thead>
<tr>
<th>Director Carlsstrom</th>
<th>Director Chambers</th>
<th>Director Gallian</th>
<th>Director Gorin</th>
<th>Director Gurney</th>
<th>Director Landman</th>
<th>Director Mackenzie</th>
<th>Director Miller</th>
<th>Director Rabbitt</th>
<th>Director Russell</th>
<th>Director Salmon</th>
<th>Director Zane</th>
</tr>
</thead>
</table>

Ayes: Noes: Absent: Abstain:

SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of Directors of the Sonoma County Transportation Authority held on May 11, 2015

Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority
### ATTACHMENT A

**SCTA FY15/16 Transportation Fund for Clean Air**  
Program of Projects and Program Manager Funding

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Jurisdiction</th>
<th>Project Title</th>
<th>Amount Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>16SON01</td>
<td>Santa Rosa</td>
<td>Free Rider Trip Reduction Incentive Programs</td>
<td>$230,892.00</td>
</tr>
<tr>
<td>16SON02</td>
<td>Sonoma County</td>
<td>Transit Marketing Program</td>
<td>$140,199.00</td>
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<tr>
<td>16SON03</td>
<td>Petaluma</td>
<td>Youth Bus Pass Subsidy Program</td>
<td>$16,000.00</td>
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<tr>
<td>16SON04</td>
<td>Petaluma</td>
<td>Transit Marketing Program</td>
<td>$64,006.00</td>
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<td>16SON05</td>
<td>Petaluma</td>
<td>Traffic Signal Coordination Timing Project</td>
<td>$100,000.00</td>
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<tr>
<td>16SON06</td>
<td>Petaluma</td>
<td>Electric Vehicle Charging Station Installation</td>
<td>$13,841.40</td>
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</table>

**Total:** $564,938.40

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Jurisdiction</th>
<th>Project Title</th>
<th>Amount Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>16SON00</td>
<td>SCTA</td>
<td>Administration</td>
<td>$29,462.63</td>
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</tbody>
</table>

**Total:** $594,401.03
Staff Report

To: Sonoma County Transportation Authority
From: James R. Cameron Deputy Director of Projects & Programming
Item: 4.3.3 – Measure M – FY 14/15 Budget Adjustment
Date: May 11, 2015

Issue:
Shall the SCTA adopt Resolution No. 2015-014 approving budget adjustments necessary for the 2015 Bond sale, including transfers of appropriations from existing Highway 101 funds and increases in appropriations related to legal fees associated with Highway 101 Right of Way acquisition?

Background:
The bond proceeds from the sale of the 2015A and 2015B Series Bond have been estimated and budgets created to received and expend bond proceeds. It is necessary to reflect the bond revenues and anticipated expenditures in the FY14/15 budget and to transfer appropriations from the existing Highway 101 funds to newly created 2015A and 2015B Bond Series fund accounts. In addition, a budget adjustment needs to be made to reflect the increased legal fees associated with the ongoing Highway 101 right of way acquisitions.

The amount of legal fees involved with right of way acquisitions was underestimated in the FY14/15 Measure M budget. The FY14/15 final budget assumed property owners would settle based on Caltrans appraisals at fair market value. That has not been the case and several parcels are outstanding with two parcels resulting in extensive depositions, expert witness fees and other legal proceedings preparing for trial. An additional $500,000 budget is needed to provide sufficient Highway 101 right of way acquisitions legal fees for FY14/15. With the exception of the $500,000 increase in legal fees and the bond cost of issuance there is not expected to be an increase in overall expenditures. Cost of issuance and the legal fees will be funded from bond proceeds.

The Budgetary Adjustment Request Forms and adjusted budget are attached.

Policy Impacts:
None

Fiscal Impacts:
None

Staff Recommendation:
Staff recommends that the Board adopt Resolution No.2015-014 approving the budget adjustments related to the sale of the 2015 Series Bonds including transfers of appropriations from existing Highway 101 funds and an increase related to legal fees associated with Highway 101 right of way acquisition, and authorize the Executive Director to sign the budget adjustment forms.
RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA
COUNTY TRANSPORTATION AUTHORITY, COUNTY OF SONOMA,
STATE OF CALIFORNIA, ADOPTING AN ADJUSTMENT TO THE FINAL
MEASURE M BUDGET FOR FISCAL YEAR 2014/2015 RELATED TO THE
MEASURE M HIGHWAY 101 PROGRAM INCLUDING THE ANTICIPATED
2015 SERIES BOND SALE AND UNANTICIPATED INCREASE IN LEGAL
FEES ASSOCIATED WITH RIGHT OF WAY ACQUISITIONS ALONG
HIGHWAY 101.

WHEREAS, a Final Measure M Budget for Fiscal Year 2014/2015 was prepared by the Executive Director
and approved by the Sonoma County Transportation Authority on October 13, 2014; and

WHEREAS, the Final Measure M Budget for Fiscal Year 2014/2015 requires a budgetary adjustment to
reflect the 2015 Series bond sale approved by the SCTA Board on April 13, 2015; and

WHEREAS, the adjustment to the Final Measure M Budget for Fiscal Year 2014/2015 shall be processed as
described in the Budgetary Adjustment Request Form attached hereto and incorporated herein as Attachment
A.

NOW, THEREFORE, BE IT RESOLVED that the Final Measure M Budget for Fiscal Year 2014/2015 be
adjusted to account for the 2015 Series Bonds and increase expenditures for legal fee associated with the
Highway 101 acquisitions.

BE IT FURTHER RESOLVED that the Executive Director, acting as Clerk of the Authority, shall deliver a
certified copy of this resolution to the Sonoma County Auditor-Controller.

THE FOREGOING RESOLUTION was moved by Director , seconded by Director and approved
by the following vote:

Director Salmon  Director Carlstrom  Director Chambers  Director Gallian
Director Gurney  Director Miller

Ayes: Noes: Absent: Abstain:

SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of
Directors of the Sonoma County Transportation Authority held on May 11, 2015.

Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority
SPECIAL DISTRICTS GOVERNED BY
LOCAL BOARDS - BUDGETARY REVISIONS

Resolution No. 2015-014 ATTACHMENT A

Name of District: Sonoma County Transportation Authority
Address of District: 490 Mendocino Ave., Suite 206, Santa Rosa, CA
Telephone No.: 707 565-5373

<table>
<thead>
<tr>
<th>Inc/Dcr</th>
<th>GL BU</th>
<th>FUND</th>
<th>DEPARTMENT ID</th>
<th>ACCOUNT</th>
<th>AMOUNT</th>
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<tr>
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<td>074654</td>
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<td>074669</td>
<td>70031900</td>
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<td>074669</td>
<td>70031900</td>
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<tr>
<td>Inc</td>
<td>SC002</td>
<td>074669</td>
<td>70031900</td>
<td>51211- Legal Services</td>
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<td></td>
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<td>120,410,740</td>
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</table>

WHEREAS, the 2014 to 2015 Budget as adopted did not contain budget for 2008 Bond Debt refunding and
WHEREAS, there appears to be a desire to refund the 2008 Bonds with a 2015 Bond Issuance, now
THEREFORE, BE IT RESOLVED, the County Auditor be and he is hereby authorized and directed to make the above transfer within the authorized budget of
name of district Sonoma County Transportation Authority - Measure M

The foregoing resolution was introduced by DIRECTOR ( ), TRUSTEE ( ),
who moved its adoption, seconded by
and adopted on roll call by the following vote:

DIRECTORS ( ) TRUSTEES ( ) NAME VOTE

AYES:_____ NOES:_____ ABSENT OR NOT VOTING: _____

WHEREUPON, the Chairman declared the foregoing resolution adopted, and

Date _______________ SO ORDERED

Attested:
Signature: ___________________________ Signature: __________________________
Secretary/Clerk of the Board Chairman

PS REV 07/14
### Sonoma County Transportation Authority

#### Measure M FY 2014/15 Budget Adjustment

**Highway 101 (40%)**

<table>
<thead>
<tr>
<th>Subobject</th>
<th>Account</th>
<th>Description</th>
<th>Actual FY 13-14</th>
<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
</tr>
</thead>
<tbody>
<tr>
<td>1140</td>
<td>40301</td>
<td>Sales/Use Tax</td>
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<td>5,451,915</td>
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<td>2500</td>
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<td>State - Caltrans</td>
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<td>42461</td>
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<tr>
<td>2901</td>
<td>42601</td>
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<td>3,897,000</td>
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<td>3980</td>
<td>46200</td>
<td>Prior Year Revenue</td>
<td>10,000</td>
<td>-</td>
<td>160,130</td>
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<tr>
<td>4102</td>
<td>46029</td>
<td>Donations/Reimbursements</td>
<td>2,505</td>
<td>-</td>
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<td>-</td>
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<td></td>
<td></td>
<td><strong>Total Revenue</strong></td>
<td><strong>13,583,000</strong></td>
<td><strong>15,397,612</strong></td>
<td><strong>7,726,569</strong></td>
<td><strong>9,385,439</strong></td>
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<td>Misc Expense</td>
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<td>52111</td>
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<td>6430</td>
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<td>6800</td>
<td>51301</td>
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<td>250</td>
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<td>8010</td>
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<td>Contributions to Other Govts</td>
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<td>59002</td>
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<td>-</td>
<td>-</td>
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<td><strong>Total Expenses</strong></td>
<td><strong>26,606,552</strong></td>
<td><strong>30,270,250</strong></td>
<td><strong>12,112,158</strong></td>
<td><strong>14,834,250</strong></td>
</tr>
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</table>

**Beginning Fund Balance**: 29,756,291
**Revenues**: 13,583,000
**Expenses**: (26,606,552)
**Audit Adjustments**: (90,197)
**Change in Encumbrances**: -
**Change in Fund Balance**: (13,113,748)
**Ending Fund Balance**: 16,642,543

**Reconciliation**

- **Beginning Fund Balance**: 29,756,291
- **Revenues**: 13,583,000
- **Expenses**: 26,606,552
- **Audit Adjustments**: 90,197
- **Change in Encumbrances**: -
- **Change in Fund Balance**: 13,113,748
- **Ending Fund Balance**: 16,642,543

**Fund 74654**

Dept ID: 70030400
Index: 793406

J:\SCTA\Staff\Budget\FY14-15\FY14-15 Adjustments\Measure M Adjustment 14-15-Final-20150430.xlsx
HWY 101

4/30/2015 11:46 AM

106
### Sonoma County Transportation Authority
#### Measure M FY 2014/15 Budget Adjustment
##### Highway 101 2008 Series Bonds Debt Service Fund

**Dept ID:** 70030500  
**Index:** 793430  
**Fund:** 74655

<table>
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<tr>
<th>Subobject</th>
<th>Account</th>
<th>Description</th>
<th>Actual FY 13-14</th>
<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
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</thead>
<tbody>
<tr>
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<td>40301</td>
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<tr>
<td>3980</td>
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<td>Prior Year Revenue</td>
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**Total Revenue:**  
5,088,100  
2,298,144  
3,820,638  
3,820,638

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**Total Expenses:**  
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5,015,350  
6,610,595  
6,610,595

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**Expenses:** (5,015,350)  
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**Change in Encumbrances:** -  
**Change in Fund Balance:** 72,750  
**Ending Fund Balance:** 2,789,957
### Sonoma County Transportation Authority
#### Measure M FY 2014/15 Budget Adjustment
##### Highway 101 2008 Series Bonds Reserve

Dept ID: 70030600  
Index: 793448  
Fund 74656

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### Sonoma County Transportation Authority

**Measure M FY 2014/15 Budget Adjustment**

**Highway 101 2015A Series Bonds Debt Service Fund**

**Refunding of 2008 Bond - No New Money**

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**Total Expenses**

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<table>
<thead>
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### Sonoma County Transportation Authority
**Measure M FY 2014/15 Budget Adjustment**  
**Highway 101 2015A Series Bonds**

**Fund 74667**

Escrow Account with Trustee for Payoff of 2008 Bond – Callable December 1, 2017

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**Total Revenue**  
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**Total Expenses**  
- - 400,000 400,000

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## Sonoma County Transportation Authority
### Measure M FY 2014/15 Budget Adjustment
#### Highway 101 2015B Series Bonds Debt Service Fund

Dept ID: 70031800

Fund 74668

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**Total Revenue**

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**Total Expenses**

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## Sonoma County Transportation Authority
### Measure M FY 2014/15 Budget Adjustment
#### Highway 101 2015B Series Bonds

Dept ID: 70031900
Fund 74669

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Staff Report

To: Sonoma County Transportation Authority
From: Seana L. S. Gause, Senior – Programming and Projects
Item: 4.3.4 - College Avenue Supplemental Funds
Date: May 11, 2015

Issue:
What is the status of the funding for the College Avenue Widening Project under U.S. Route 101 in Santa Rosa?

Background:
The College Avenue Widening project was originally included in the US 101 HOV Widening project between Highway 12 and Steele Lane. As part of the development of that project, Caltrans met monthly with the City of Santa Rosa public works representatives and SCTA staff during the environmental and design phases. That project, initiated long before the passage of Measure M, was funded with State Transportation Improvement Program (STIP) funds. Because the project was already funded with STIP, when the Expenditure Plan was developed that would eventually become Measure M this project was not included. When design was completed for the highway job it was found that the estimates exceeded the available STIP funds, thus some portions of the job were removed to be constructed at a later date. Those portions included improvements at Sixth Street and College Avenue. Santa Rosa agreed to take the lead on Sixth Street if Caltrans would be the lead for College.

The College Avenue widening project, including bike lanes, new sidewalks and a left turning lane experienced a number of hurdles to get to construction, including funding and right of way challenges and delays due to changes in design standards from metric units to English units. The design team continued to meet intermittently over the past eight years, always including staff from both the City of Santa Rosa and the SCTA. Shortfalls in right of way funding posed a problem, until the City of Santa Rosa agreed to contribute $330,000 to help ensure delivery. It was also during this phase that the improvements at the Chevron Station (now ARCO) were discovered. The decision to shift the alignment to the north side of College to avoid the new improvements was made jointly by the team. It was estimated that this shift avoided additional costs of approximately $4,000,000 to acquire the gas station. It was at this point the Design team failed to obtain additional survey data to ensure the design conforms to the shifted alignment.

Last month, Caltrans delivered a status update on the College Avenue Widening project to this Board. The project has been delayed due to a discrepancy between the design elevation and the actual elevation of the roadway. This discrepancy was primarily due to inadequate topographical survey data when the College Avenue alignment was shifted towards the north side approximately 20 feet to minimize the Right of Way impacts to the aforementioned gas station on the south side of College.
During construction of the westbound (north side) College Avenue, grade differentials of six to 18 inches between the new sidewalk and the existing roadway conditions at conform points were encountered. The construction contract was briefly suspended while roadway redesign was being done. These grade differentials resulted in a significant amount of rework. Additional asphalt was placed and previously installed drainage elements had to be raised in order to match the existing driveways. Similar adjustments to conform points will need to be made on eastbound (south side) of College Avenue.

The rework of the design was completed by Caltrans. The discrepancy in the topographical survey and the additional materials needed to fill the roadway to conform to the sidewalk and driveways has resulted in cost increases. An additional $1,220,000 is needed for construction engineering ($300,000) and construction capital ($920,000). This funding shortfall is proposed to be funded with State Transportation Improvement Program/ Regional Improvement Program (STIP/RIP) funds as that is the original source of funding for the projects.

This supplemental funds request will be made to the California Transportation Commission (CTC) on May 27, 2015.

**Policy Impacts:**
None

**Fiscal Impacts:**
There are two options for the CTC to consider on this cost increase:

**OPTION A:** The CTC could approve Caltrans’ request for supplemental funds, as presented above, for $1,220,000 to complete construction. These funds would come from Sonoma County’s future STIP share. If not used for this project the funds would be available to the SCTA to program to another project in FY19/20.

**OPTION B:** The CTC could deny this request. The Department would be forced to down-scope the project by deleting all work on the south side. A future locally funded project would be needed to complete those improvements. The State would likely not be responsible for implementing such a project, but would oversee it, given the work within the State Right-of-Way. There would be an additional cost of repackaging and designing the job as a stand-alone project, as well as the estimated construction cost. Right of Way agreements currently made with Caltrans would need to be renegotiated with the agency sponsoring the new project – likely the City of Santa Rosa. Delaying the work could increase the total funds required to complete the project to an estimated $2.5M. The time required to accomplish these tasks and re-bid the job could take two years or more.

Caltrans has acknowledged the survey data was inadequate but neither they nor the CTC have funds State to pay for the error other than using Sonoma’s STIP share.

**Staff Recommendation:**
Staff recommends that SCTA support Option A in order to get the work completed in the most timely and cost effective manner.
April 21, 2015

Mr. Kenneth Folan  
Metropolitan Transportation Commission  
Joseph P. Bort MetroCenter  
101 Eighth Street  
Oakland, CA 94607-4700

Re: TIGER 2015 Discretionary Grants Opportunity – Letter of Intent - Revised

Dear Mr. Folan:

As you know, the U.S. Department of Transportation (DOT) recently released a Notice of Funding Availability (NOFA) for the $500 million Transportation Investment Generating Economic Recovery (TIGER) 7 grant program. Per the Metropolitan Transportation Commission’s (MTC) April 7th communication to eligible applicants, this letter serves as the Letter of Intent for regional endorsement for the Transportation Authority of Marin (TAM) and its partners, the Sonoma County Transportation Authority (SCTA) and the California Department of Transportation (Caltrans).

The TIGER Program has historically funded projects of national, regional, or metropolitan significance, projects that improve national security on goods movement corridors, projects that promote the economy and job creation, or projects that move a lot of people. TAM and SCTA believe the Phase 2 completion of the award-winning Marin Sonoma Narrows U.S. 101 HOV and safety project definitively satisfies all of those criteria. The following project data is provided for your review:

1. **Project Title and Brief Description:**

   The Marin-Sonoma Narrows (MSN) Project – B2 Phase 2 (Sonoma) and A4 (Marin): The project would continue the current effort of the MSN Highway 101 improvements to increase safety, accommodate goods movement, and reduce congestion between the North Bay and the key economic zones of the Bay Area.

2. **Project Scope:**

   Phase 2 of the 17-mile U.S. 101 MSN project, which has been partially funded and commenced, will continue to eliminate safety concerns along this expressway portion of Hwy 101. It will add capacity in the form of carpool lanes and auxiliary lanes, significantly addressing the growing needs of the Marin, Sonoma,
and North Coast economies while minimizing the project footprint to protect environmentally sensitive areas. It will also complete a multi-use path accommodating bikes and pedestrians the entire length of the 17 mile corridor.

Additional funds are needed to complete the remaining unfunded sections of the overall project. The A4 contract will construct a southbound HOV lane from Novato Creek to 0.3 mile north of North Novato Overhead. The B2 Phase 2 project will add approximately four miles of contiguous HOV lanes to U.S. 101 from 1.4 mile south of the Marin/Sonoma County line (PM Mrn 26.2) to 0.1 miles south of the East Washington Street Overcrossing in Sonoma County (PM Son 4.7). This project is programmed for $2.6 million which fully funds PS&E and R/W. The R/W is complete and the design is 95% complete.

3. Project Budget:

The estimate for the MSN Project – B2 Phase 2 (Sonoma) and A4 (Marin) projects are $71.6 million; segment A4 is $34 million and B2 Phase 2 is $37.6 million. TIGER funds will be requested for 80 percent or more of this amount and the B2 Phase 2 projects is only requesting construction funding.

For Phase 1, federal funds accounted for roughly 25% of the budget. Non-federal funding sources, which are no longer accessible, historically included State funds (Corridor Mobility Improvement Account (CMIA), STIP-RIP (Marin & Sonoma Counties), STIP-ITIP, Traffic Congestion Relief Program (TCRP), and State Local Partnership Program (SLPP).

4. Project Schedule:

MSN Phase 2 (Marin and Sonoma Counties)
- Environmental clearance - Completed
- Begin construction of Bid Ready sub-projects - Summer 2016
- Design of remaining sub-projects - Summer 2016
- Completion of all sub-projects - Summer 2022

5. Summary of project's regional and/or national significance:

The 17-mile project extends between State Route 37 in Novato (Marin County) and Old Redwood Highway in Petaluma (Sonoma County). Over the last 20 years, significant commercial and residential growth, along with growth in tourism, have led to significant traffic increases along the corridor. This section of Hwy 101 has experienced an eight-fold increase in traffic during the last few decades. To address the growing congestion Caltrans, TAM, and SCTA have developed a solution to mitigate the growing congestion and safety concerns in the corridor.

Marin-Sonoma Narrows (MSN) Statistics At-a-Glance

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<td>Vehicle hours of delay (Time traveling less than 35 mph)</td>
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6. Demonstrate how project addresses project selection criteria in NOFA:

a. Safety. Improving the safety of U.S. transportation facilities and systems for all modes of transportation and users – One of the project’s key objectives is to convert the existing expressway portions of U.S. 101 to controlled-access highway condition, resulting in a substantially safer and more reliable corridor. The completion of frontage road systems and separated multi-use paths will eliminate driveway access directly on and off the highway and bicyclists riding the freeway shoulder.

b. State of Good Repair. Improving the condition and resilience of existing transportation facilities and systems – Another key goal of the project is to upgrade and repair existing paved surfaces, replace aging bridges and appurtenant infrastructure, resulting in increased mobility of goods and people and economic growth. The raising of key portions of the highway facility above future flood plain levels will guarantee this critical lifeline route is operable into the future.

c. Economic Competitiveness. Contributing to the economic competitiveness of the United States over the medium to long-term, revitalizing communities, and creating and preserving jobs – U.S. 101 is a nationally and regionally significant highway linking the San Francisco Bay Area and Oregon and is the only continuous north/south route through Marin and Sonoma Counties. The State has designated the U.S. 101 as an interregional route of significance and US 101 is listed as a Focus Route in its 2013 Interregional Transportation Strategic Plan Status Update. In the Bay Area it is considered a high-capacity facility and is part of the USDOT Primary Freight Network. Reliability of this corridor is crucial to the economic competitiveness of the United States.

d. Quality of Life. Increasing transportation choices and access to essential services for people in communities across the United States, particularly for disadvantaged groups – With enhancements to the U.S. 101 corridor, access to and from disadvantaged communities across the northern Bay Area will be significantly broadened since motorists and travelers of this corridor come from and go to not only Marin and Sonoma Counties, but come from and go to Contra Costa, Alameda, Solano, Napa, and San Francisco Counties as well.

e. Environmental Sustainability. Improving energy efficiency, reducing dependence on oil, reducing greenhouse gas emissions, improving water quality, avoiding and mitigating environmental impacts and otherwise benefitting the environment – The key objective of this project is to provide a roughly 17-mile stretch of HOV lanes along the corridor, freeing up congestion, promoting carpooling, ride-sharing and transit use, and reducing greenhouse gas emissions. The inclusion of a companion 17 mile multi-use path for bikes and pedestrians further enables the corridor to reach its goal of providing multi-modal facilities.

7. Confirm project is included in Plan Bay Area (reference relevant project/program number)

Yes. MTC project database numbers 98154 and 240691.

Making the Most of Marin County Transportation Dollars
TAM appreciates the opportunity to solicit MTC’s regional endorsement of the Marin-Sonoma Narrows (MSN) Project – Phase 2 for the TIGER 2015 Discretionary Grants Opportunity. If you have any questions, please don’t hesitate to contact me at 415-226-0820.

Sincerely,

Dianne Steinhauser
Executive Director, Transportation Authority of Marin

Suzanne Smith
Executive Director, Sonoma County Transportation Authority

Attachment: Exhibit A

Cc: email: kfolan@mtc.ca.gov
Nicholas Nguyen, TAM
David Chan, TAM
James Cameron, SCTA, via email
Wajahat Nyaz, CA DOT, via email
Staff Report

To: SCTA Directors
From: Suzanne Smith, Executive Director
Item: 4.5.1 – FY15/16 Measure M Preliminary Budget
Date: May 11, 2015

Issue:
What is the proposed preliminary budget for Measure M for FY15/16?

Background:
By June of each year, the SCTA must adopt three Preliminary Budgets in order for operations to continue. The three budgets cover the SCTA general operations, Measure M and the Transportation Fund for Clean Air (TFCA).

This staff report covers the FY15/16 Measure M Preliminary Budget. Prior year information is included based on projected expenditures for FY14/15 and includes the proposed budget adjustment action item, which is also on today’s agenda.

Under the Measure M program, the SCTA must adopt a summary budget that includes the individual budgets for each program category included in the measure as well as individual budgets for the Highway 101 bond revenues and reserve funds. This independent budget action will enable Measure M funds to be kept separately from other SCTA funds.

A Preliminary Budget for FY15/16 has been prepared that makes some basic assumptions about the amount of sales tax revenue Measure M will receive and assigns it to each program category based on the percent prescribed in Measure M. The Measure M Preliminary Budget also includes anticipated expenses related to projects and administration based on the 2014 Measure M Strategic Plan, programming actions approved by the Board since the adoption of the 2014 Strategic Plan, and the most recent cash flow model. We anticipate the 2015A Bond funds to continue to pay principle and interest on the 2008 Bonds through 15/16 until the 2008 Bond are callable in 2017. The 2015B Bond funds will be fully expended in FY15/16 allowing for Highway 101 pay as go funds to accumulate.

Sales tax revenues for FY15/16 are projected to increase 3% over actual FY14/15 revenues.

The expenditures associated with Measure M are focused on project costs and administration. The FY15/16 budget includes funding for all of the project categories and the following specific items:

- Contributions to other Governments – Payments to Caltrans for Hwy 101 projects and local agencies for Local Streets Projects (LSP), SMART, and Bike/Ped projects for environmental, design and construction services and capital costs associated with right-of-way acquisitions and construction
• Consultants – AECOM and BKF for design services for Hwy 101, Parsons Transportation for environmental clearance of the 116/121 interchange, KNN for financial advisory services, and GC Preston for project management services
• Accounting services and audits
• Office and legal expenses
• Salaries and benefits for SCTA staff time spent on Measure M efforts
• An estimated $1.0M inter-program loan from the LSP program to the Bike/Ped program
• Payment of principal and interest for a $2.8 Million 2014 inter-program loan from the passenger rail program to the LSP program

**Policy Impacts:**
No new policy issues are proposed in the FY15/16 Measure M Preliminary Budget.

**Fiscal Impacts:**
The FY15/16 Measure M Preliminary Budget assumes sales tax revenue will increase 3% over FY14/15 sales tax revenues. This assumption will be revisited as part of the final budget in October when updated sales tax revenue trends are known.

**Staff Recommendation:**
The SCTA must adopt a Measure M Preliminary Budget for FY15/16 by June 30, 2015. The SCTA should consider the proposed Measure M Preliminary Budgets and, if they meet with the Board’s approval, adopt the Preliminary Budget. The final budget will be brought back to the SCTA for approval at a public hearing in October.

Adoption of Resolution No. 2015-015 adopting the FY15/16 Preliminary Budget requires a 2/3-majority vote. Therefore, the budget MUST receive eight (8) affirmative votes to pass.
RESOLUTION OF THE BOARD OF DIRECTORS OF THE
SONOMA COUNTY TRANSPORTATION AUTHORITY, COUNTY
OF SONOMA, STATE OF CALIFORNIA, ADOPTING THE
MEASURE M PRELIMINARY BUDGET FOR FISCAL YEAR

WHEREAS, a Measure M Preliminary Budget for Fiscal Year 2015/2016 has been prepared by
the Executive Director, reviewed by the Sonoma County Transportation Authority and attached
hereto as Exhibit A.

NOW, THEREFORE, BE IT RESOLVED, that the Measure M Preliminary Budget for Fiscal
Year 2015/2016 for the Sonoma County Transportation Authority, attached hereto and marked
Exhibit A, is hereby adopted.

BE IT FURTHER RESOLVED, that the Sonoma County Transportation Authority shall adopt
the Measure M Final Budget for Fiscal Year 2015/2016 at a duly noticed public hearing at 2:30
PM, October 12, 2015 in accordance with the provisions of Section 180108 of the Public
Utilities Code and Ordinance No. 3 of the Sonoma County Transportation Authority.

BE IT FURTHER RESOLVED, that the Executive Director, acting as Clerk of the Authority,
shall deliver a certified copy of this resolution to the Sonoma County Auditor-Controller.

THE FOREGOING RESOLUTION, was moved by Director, seconded by Director, and
approved by the following vote:

Director Carlstrom  Director Mackenzie
Director Chambers  Director Miller
Director Gallian  Director Rabbitt
Director Gorin  Director Russell
Director Gurney  Director Salmon
Director Landman  Director Zane

Ayes:  Noes:  Absent:  Abstain:

SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting
of the Board of Directors of the Sonoma County Transportation Authority held on May 11,
2015.

_____________________________________________________

Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority
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<td>1,700,000</td>
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<tr>
<td></td>
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<td>Total Expenses</td>
<td>56,969,402</td>
<td>70,252,894</td>
<td>55,196,847</td>
<td>63,426,653</td>
<td>41,018,021</td>
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<td>70,252,894</td>
<td>55,196,847</td>
<td>63,426,653</td>
<td>41,018,021</td>
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### Ending Fund Bal.

- **Beginning Fund Bal.:** 69,683,726
- **Revenues:** 32,733,929
- **Expenses:** (56,969,402)
- **Audit Adjustments:** 2,131,456
- **Change in Encumbrances:** -
- **Change in Fund Balance:** (22,564,017)
- **Ending Fund Bal.:** 47,119,709

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**Sonoma County Transportation Authority**

*Measure M FY 2015-2016 Preliminary Budget*

**Budget Summary for All Programs**

**Exhibit A**

J:\SCTA Staff\Budget\FY15-16\Measure M Preliminary 15-16-Final-20150430-R1.xlsx Summary

4/30/2015 12:17 PM
## Sonoma County Transportation Authority
### Measure M FY 2015-2016 Preliminary Budget
#### Administration (1%)

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<tr>
<th>Subobject</th>
<th>Account</th>
<th>Description</th>
<th>Actual FY 13-14</th>
<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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</thead>
<tbody>
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</table>

**Beginning Fund Balance**

- Actual: 206,989
- Budgeted: 212,589
- Projected: 256,355
- Final: 256,355
- Preliminary: 280,855

**Revenues**

- Actual: 206,717
- Budgeted: 211,910
- Projected: 256,355
- Final: 213,067
- Preliminary: 219,422

**Expenses**

- Actual: (162,203)
- Budgeted: (199,800)
- Projected: -188,567
- Final: -207,020
- Preliminary: -208,020

**Audit Adjustments**

- Actual: 4,852
- Budgeted: -
- Projected: 0
- Final: 0
- Preliminary: 0

**Change in Encumbrances**

- Actual: -
- Budgeted: -
- Projected: 0
- Final: 0
- Preliminary: 0

**Change in Fund Balance**

- Actual: 49,366
- Budgeted: 12,110
- Projected: 24,500
- Final: 6,047
- Preliminary: 11,402

**Ending Fund Balance**

- Actual: 256,355
- Budgeted: 224,699
- Projected: 280,855
- Final: 262,402
- Preliminary: 292,257
Sonoma County Transportation Authority  
Measure M FY 2015-2016 Preliminary Budget  
Local Street Repairs (LSR - 20%)  

<table>
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<tr>
<th>Subobject</th>
<th>Account</th>
<th>Description</th>
<th>FY 13-14</th>
<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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</thead>
<tbody>
<tr>
<td>1140</td>
<td>40301</td>
<td>Sales/Use Tax</td>
<td>4,111,786</td>
<td>4,217,104</td>
<td>4,235,140</td>
<td>4,235,140</td>
<td>4,362,194</td>
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<td>Interest on Pooled Cash</td>
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**Total Revenue**  
4,116,374 4,220,104 4,240,140 4,240,140 4,367,194

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<th>Account</th>
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<th>Actual FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<td>4,911,978</td>
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**Total Expenses**  
4,094,027 4,850,900 4,911,978 4,911,978 4,367,194

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<th>Description</th>
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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tr>
<td>Revenues</td>
<td>4,116,374</td>
<td>4,220,104</td>
<td>4,240,140</td>
<td>4,240,140</td>
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<td>Audit Adjustments</td>
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### Sonoma County Transportation Authority
#### Measure M FY 2015-2016 Preliminary Budget
##### Local Street Projects (LSP - 20%)

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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
</tr>
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<tbody>
<tr>
<td>1140</td>
<td>40301</td>
<td>Sales/Use Tax</td>
<td>4,111,786</td>
<td>4,217,104</td>
<td>4,235,140</td>
<td>4,235,140</td>
<td>4,362,194</td>
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<td>44002</td>
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**Total Revenue**

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<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>4,235,881</td>
<td>4,342,467</td>
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<td>5,028,010</td>
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**Total Expenses**

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<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tbody>
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<td>12,609,055</td>
<td>15,508,755</td>
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| Beginning Fund Balance | 24,994,353 | 24,994,353 | 16,473,970 | 16,473,970 | 8,884,425 |
| Revenues           | 4,235,881   | 4,342,467   | 5,019,510  | 5,028,010  | 4,406,616 |
| Expenses            | (11,955,748)| (19,073,000)| (12,609,055)| (15,508,755)| (4,947,300)|
| Audit Adjustments  | (800,515)  | -          | -         | -          | -         |
| Change in Encumbrances | -         | -          | -         | -          | -         |
| Change in Fund Balance | (8,520,383)| (14,730,533)| (7,589,545)| (10,480,745)| (540,684)|
| Ending Fund Balance  | 16,473,970 | 10,263,620 | 8,884,425 | 5,993,225 | 8,343,741 |

J:\SCTA Staff\Budget\FY15-16\Measure M Preliminary 15-16-Final-20150430-R1.xlsx  LSP  4/30/2015  12:17 PM
## Sonoma County Transportation Authority
### Measure M FY 2015-2016 Preliminary Budget
#### Highway 101 (40%)

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### Revenues
- 13,583,000
- 15,397,612
- 8,095,569
- 9,385,439
- 3,118,573

### Expenses
- 26,606,552
- 30,270,250
- 12,170,301
- 14,834,250
- 8,283,250

### Budget Adjustments
- 90,197

### Change in Encumbrances
- -
- -

### Change in Fund Balance
- (13,113,748)
- (14,872,638)
- (4,074,732)
- (5,448,811)
- (5,164,677)

### Ending Fund Balance
- 16,642,543
- 14,883,653
- 12,567,810
- 11,193,732
- 7,403,133
# Sonoma County Transportation Authority
## Measure M FY 2015-2016 Preliminary Budget
### Highway 101 2011 Series Bonds Reserve

Dept ID: 70030700  
Index: 793463  
Fund 74657

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<th>Description</th>
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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<td>44002</td>
<td>Interest on Pooled Cash</td>
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<td>-</td>
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<tr>
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<td>-</td>
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Beginning Fund Balance: 1,890,000  
Revenues: -  
Expenses: -  
Audit Adjustments: -  
Change in Encumbrances: -  
Change in Fund Balance: -  
Ending Fund Balance: 1,890,000
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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tbody>
<tr>
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<td>684,150</td>
<td>1,092,141</td>
<td>1,092,141</td>
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<td>1,097,081</td>
<td>684,150</td>
<td>1,107,587</td>
<td>1,107,829</td>
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<td>816,947</td>
<td>807,141</td>
<td>807,141</td>
<td>765,534</td>
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<td>1,090,697</td>
<td>1,092,141</td>
<td>1,092,141</td>
<td>2,201,784</td>
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|                  | Beginning Fund Balance | 406,549 | 406,549 | 412,933 | 412,933 | 428,380 |
| Revenues         | 1,097,081              | 684,150 | 1,107,587 | 1,107,829 | 2,201,784 & 2,201,784 |
| Expenses         | (1,090,697)            | (1,090,697) | (1,092,141) | (1,092,141) | (2,201,784) |
| Audit Adjustments| -                     | -       | -       | -       | -       | -       |
| Change in Encumbrances | -   | -       | -       | -       | -       | -       |
| Change in Fund Balance | 6,384       | (406,547) | 15,447 | 15,688 | 15,688 | -       |
| Ending Fund Balance | 412,933 | 2       | 428,380 | 428,621 | 428,380 |
### Sonoma County Transportation Authority

**Measure M FY 2015-2016 Preliminary Budget**

**Transit (10%)**

Dept ID: 70031000  
Index: 793505

**Fund 74660**

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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tbody>
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**Total Revenue**

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<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2,058,106</td>
<td>2,110,752</td>
<td>2,118,651</td>
<td>2,119,770</td>
<td>2,191,482</td>
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**Misc Expense**

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<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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**Total Expenses**

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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**Beginning Fund Balance**

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<th>Preliminary FY 15-16</th>
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<td>276,206</td>
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**Revenues**

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>2,058,106</td>
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<td>2,110,752</td>
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<td>2,119,770</td>
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**Expenses**

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tbody>
<tr>
<td>(2,046,914)</td>
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<td>(2,426,129)</td>
<td>(2,108,421)</td>
<td>(2,455,688)</td>
<td>(2,537,629)</td>
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**Audit Adjustments**

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**Change in Encumbrances**

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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**Change in Fund Balance**

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<th>Projected FY 14-15</th>
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<th>Preliminary FY 15-16</th>
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**Ending Fund Balance**

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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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</thead>
<tbody>
<tr>
<td>335,918</td>
<td>(39,171)</td>
<td>346,148</td>
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<td>(346,147)</td>
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# Sonoma County Transportation Authority
## Measure M FY 2015-2016 Preliminary Budget
### Passenger Rail (5%)

**Dept ID:** 70031100  
**Index:** 793604  
**Fund:** 74661

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<th>Description</th>
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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tbody>
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<td>-</td>
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<td>800</td>
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<td>703,131</td>
<td>1,003,000</td>
<td>656,380</td>
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</table>

| Beginning Fund Balance | 1,257,322 | 1,257,322 | 307,417 | 307,417 | 300,561 |
| Revenues              | 669,859   | 3,632,611 | 696,275 | 696,275 | 358,121 |
| Expenses              | (4,444,023) | (4,444,311) | (703,131) | (1,003,000) | (656,380) |
| Audit Adjustments     | 2,824,260 | -        | -       | -       | -       |
| Change in Encumbrances| -        | -        | -       | -       | -       |
| Change in Fund Balance| (949,904) | (811,700) | (6,856) | (306,725) | (298,259) |
| Ending Fund Balance   | 307,417   | 445,622  | 300,561 | 692     | 2,302   |
### Sonoma County Transportation Authority
#### Measure M FY 2015-2016 Preliminary Budget
**Passenger Rail 2011 Bond Issue Reserve**

**Dept ID:** 70031200  
**Index:** 793612  
**Fund:** 74662

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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<tbody>
<tr>
<td>1700</td>
<td>44002</td>
<td>Interest on Pooled Cash</td>
<td>-</td>
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<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
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<td>47111</td>
<td>Bond Proceeds</td>
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<td>-</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>Total Revenue</strong></td>
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<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>6300</td>
<td>52101</td>
<td>Misc Expense</td>
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<td>-</td>
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<td><strong>Total Expenses</strong></td>
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**Beginning Fund Balance:** 630,000  
**Ending Fund Balance:** 630,000
### Sonoma County Transportation Authority
#### Measure M FY 2015-2016 Preliminary Budget
##### Passenger Rail 2011 Bond Debt Service

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<td>228,050</td>
<td>364,047</td>
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<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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<td>363,566</td>
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- **Beginning Fund Balance**: 135,516
- **Revenues**: 365,694
- **Expenses**: (363,566)
- **Audit Adjustments**: -
- **Change in Encumbrances**: -
- **Change in Fund Balance**: 2,128
- **Ending Fund Balance**: 137,644

- **Total Revenue**:
- **Total Expenses**:
- **Audit Adjustments**:
- **Change in Encumbrances**:
- **Change in Fund Balance**:
- **Ending Fund Balance**: 280,427
### Sonoma County Transportation Authority
#### Measure M FY 2015-2016 Preliminary Budget

**Bicycle/Pedestrian (4%)**

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<th>Final FY 14-15</th>
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**Total Revenue**

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**Total Expenses**

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<th>Preliminary FY 15-16</th>
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<tr>
<td></td>
<td>103,708</td>
<td>1,431,935</td>
<td>2,400,060</td>
<td></td>
<td>4,265,214</td>
<td>2,205,060</td>
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<td>1,942,667</td>
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<td>1,872,439</td>
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<tr>
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<td>(1,431,935)</td>
<td>(2,400,060)</td>
<td>(4,265,214)</td>
<td>(2,205,060)</td>
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Sonoma County Transportation Authority
Measure M FY 2015-2016 Preliminary Budget
Highway 101 2015A Series Bonds Debt Service Fund
Refunding of 2008 Bond - No New Money

Dept ID: 70031600

Fund 74666

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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</thead>
<tbody>
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<tr>
<td>47101</td>
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Total Revenue: 0 - - 2,872,145 2,872,145 4,600,000

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<tr>
<th>Account</th>
<th>Description</th>
<th>Actual FY 13-14</th>
<th>Budgeted FY 13-14</th>
<th>Projected FY 14-15</th>
<th>Final FY 14-15</th>
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</thead>
<tbody>
<tr>
<td>53101</td>
<td>Bond - Principal Payments</td>
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<td>53103</td>
<td>Bond - Interest Payments</td>
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Total Expenses: - - - - - 4,600,000

Beginning Fund Balance: 0 - 0 0 2,872,145
Revenues: 0 - 2,872,145 2,872,145 4,600,000
Expenses: 0 - 2,872,145 2,872,145 0 (4,600,000)
Audit Adjustments: - - - - -
Change in Encumbrances: - - - - -
Change in Fund Balance: 0 - 2,872,145 2,872,145 -
Ending Fund Balance: 0 - 2,872,145 2,872,145 -
### Sonoma County Transportation Authority

**Measure M FY 2015-2016 Preliminary Budget**
**Highway 101 2015A Series Bonds**

**Escrow Account with Trustee for Payoff of 2008 Bond – Callable December 1, 2017**

**Fund 74667**

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<th>FY 14-15</th>
<th>Final FY 15-16</th>
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**Total Revenue**
- - 47,607,500 47,607,500 -

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<th>FY 13-14</th>
<th>FY 14-15</th>
<th>FY 14-15</th>
<th>Final FY 15-16</th>
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<tr>
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<td>Fiscal Agent Fees</td>
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**Total Expenses**
- - 400,000 400,000 5,017,475

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<th>FY 14-15</th>
<th>FY 14-15</th>
<th>Final FY 15-16</th>
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<td>(5,017,475)</td>
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## Sonoma County Transportation Authority
### Measure M FY 2015-2016 Preliminary Budget
#### Highway 101 2015B Series Bonds Debt Service Fund

**Dept ID:** 70031800

**Fund:** 74668

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<th>Final FY 14-15</th>
<th>Preliminary FY 15-16</th>
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| Total Expenses |         |                              | -               | -                 | -                 | -               | 1,400,000             |

| Beginning Fund Balance | - | - | 0 | 0 | 500,000 |
| Revenues | 0 | - | 500,000 | 500,000 | 1,400,000 |
| Expenses | - | - | - | - | (1,400,000) |
| Audit Adjustments | - | - | - | - | - |
| Change in Encumbrances | - | - | - | - | - |
| Change in Fund Balance | 0 | - | 500,000 | 500,000 | - |
| Ending Fund Balance | 0 | - | 500,000 | 500,000 | 500,000 |
### Sonoma County Transportation Authority
#### Measure M FY 2015-2016 Preliminary Budget
##### Highway 101 2015B Series Bonds

Dept ID: 70031900  
Fund 74669

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<td>100,000</td>
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<td>400,000</td>
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<td><strong>Total Expenses</strong></td>
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<tr>
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<td>Beginning Fund Balance</td>
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<td>Change in Encumbrances</td>
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<td>-</td>
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<tr>
<td>Change in Fund Balance</td>
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<td>3,860,000</td>
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<tr>
<td>Ending Fund Balance</td>
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Staff Report

To: SCTA Directors

From: Suzanne Smith, Executive Director

Item: 4.5.2 – FY15/16 Preliminary Budget for Transportation Fund for Clean Air program

Date: May 11, 2015

Issue:
What is the proposed Preliminary Budget for the Transportation Fund for Clean Air (TFCA) for FY15/16?

Background:
By June of each year, the SCTA must adopt three Preliminary Budgets in order for operations to continue. The three budgets cover the SCTA general operations, Measure M and the Transportation Fund for Clean Air (TFCA).

This staff report covers the FY15/16 TFCA Preliminary Budget. As is customary, the budget includes revenue from the Bay Area Air Quality Management District and funds available to each jurisdiction. The projects included in the FY15/16 budget are the same projects approved by the SCTA under item 4.3.2 of this May 11, 2015 agenda. The funds allocated for each project are then assigned to each jurisdiction in which the project is proposed.

Fiscal Impacts:
A total of $564,938 in new funding is to be made available for projects in Sonoma County via the FY15/16 budget. An additional $29,463 will come to SCTA for program administration.

Staff Recommendation:
The SCTA must adopt a TFCA Preliminary Budget for FY15/16 by June 30, 2015. The SCTA should consider the proposed budget and if it meets with the Board’s approval, adopt the FY15/16 TFCA Preliminary Budget and associated resolution. The final budget will be brought back to the SCTA for approval at a public hearing on October 12, 2015.

Adoption of Resolution No. 2015-016 requires a 2/3rd majority vote; therefore, the budget MUST receive eight (8) affirmative votes to pass.
RESOLUTION OF THE BOARD OF DIRECTORS OF THE
SONOMA COUNTY TRANSPORTATION AUTHORITY, COUNTY
OF SONOMA, STATE OF CALIFORNIA, ADOPTING THE
TRANSPORTATION FUND FOR CLEAN AIR PRELIMINARY
BUDGET FOR FISCAL YEAR 2015/2016.

WHEREAS, a Transportation Fund for Clean Air Preliminary Budget for Fiscal Year 2015/2016 has been prepared by the Executive Director, reviewed by the Sonoma County Transportation Authority and attached hereto as Exhibit A.

NOW, THEREFORE, BE IT RESOLVED, that the Transportation Fund for Clean Air Preliminary Budget for Fiscal Year 2015/2016 for the Sonoma County Transportation Authority, attached hereto and marked Exhibit A, is hereby adopted.

BE IT FURTHER RESOLVED, that the Sonoma County Transportation Authority shall adopt the Transportation Fund for Clean Air Final Budget for Fiscal Year 2015/2016 at a duly noticed public hearing at 2:30 PM, October 12, 2015 in accordance with the provisions of Section 180108 of the Public Utilities Code and Ordinance No. 3 of the Sonoma County Transportation Authority.

BE IT FURTHER RESOLVED, that the Executive Director, acting as Clerk of the Authority, shall deliver a certified copy of this resolution to the Sonoma County Auditor-Controller.

THE FOREGOING RESOLUTION was moved by Director, seconded by Director , and approved by the following vote:

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<tr>
<th>Director</th>
<th>Ayes</th>
<th>Noes</th>
<th>Absent</th>
<th>Abstain</th>
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<tr>
<td>Gorin</td>
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<tr>
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<tr>
<td>Landman</td>
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<tr>
<td>Miller</td>
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<tr>
<td>Salmon</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Zane</td>
<td></td>
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SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of Directors of the Sonoma County Transportation Authority held on May 11, 2015.

Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority
<table>
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<tr>
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<tr>
<td><strong>Total</strong></td>
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<td>594,670</td>
<td>595,975</td>
<td>599,266</td>
<td>599,249</td>
<td>600,101</td>
<td>852</td>
<td>0.14%</td>
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<td></td>
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<td>29,560</td>
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<tr>
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<td>Distribution to Cities &amp; County Agencies</td>
<td>235,923</td>
<td>746,025</td>
<td>505,228</td>
<td>943,902</td>
<td>777,695</td>
<td>(166,207)</td>
<td>-17.61%</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
<td>235,923</td>
<td>746,025</td>
<td>505,228</td>
<td>943,902</td>
<td>777,695</td>
<td>(166,207)</td>
<td>-17.61%</td>
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<td><strong>Total</strong></td>
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<td>594,670</td>
<td>595,975</td>
<td>599,266</td>
<td>599,249</td>
<td><strong>600,101</strong></td>
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<td>(1,428,607)</td>
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<td>UNRESERVED FUND BALANCE</td>
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<td>66,666</td>
<td>86,648</td>
<td>72,251</td>
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Staff Report

To: SCTA Directors
From: Suzanne Smith, Executive Director
Item: 4.5.3 – FY15/16 Preliminary Budget for SCTA
Date: May 11, 2015

Issue:
What is the proposed Preliminary Budget for the SCTA for FY15/16?

Background:
By June of each year, the SCTA must adopt three Preliminary Budgets in order for operations to continue. The three budgets cover the SCTA general operations, Measure M and the Transportation Fund for Clean Air (TFCA).

This staff report covers the FY15/16 SCTA Preliminary Budget. The budget includes all revenues derived from local, regional, state and federal sources. In addition to revenues, all anticipated expenditures are listed in the preliminary budget. Prior year information is included with FY14/15 projections based on the actual expenditures from the first three quarters of the year.

REVENUE IN THE SCTA FY15/16 PRELIMINARY BUDGET INCLUDES:

State Funding
- State Transportation Improvement Program (STIP) – Planning, Programming & Monitoring (PPM)
  These funds pay for staffing, office space/supplies, and consultant costs associated with the planning and project management related to the State Highway System and other eligible STIP projects. For FY15/16 SCTA anticipates using $150,000 in PPM funds. This revenue comes to the SCTA on a reimbursement basis from Caltrans. This amount is down from last fiscal year due to the amount available in the STIP for these purposes. It is expected to increase slightly next fiscal year.
- Strategic Growth Council (SGC) Grant for Shift Sonoma County
  The SCTA received a planning grant from the SGC to address mode shift and fuel shift to reduce GHG emissions from the transportation sector and to assist with CEQA analysis on Climate Action 2020. It is anticipated that approximately half of the grant, $476,000, will be spent this fiscal year on staff time, consultant services, legal services and meeting related costs.
- HOV Lane Violation Fines
  SCTA began receiving a percentage of the fines collected related to HOV lane violations in FY14/15. This new source of revenue is hard to estimate for FY15/16 the conservative amount proposed for the budget is $20,000. The FY14/15 amount is anticipated to be $47,558 and FY13/14 was $10,271.
- Transportation Fund for Clean Air (TFCA) Funds
  The SCTA is eligible to receive 5% of the TFCA funds to serve as the Program Manager for the TFCA program of projects based on the hours spent managing the program. The SCTA anticipates receiving $30,000 to administer the program for FY15/16. This item shows up under Reimbursements and is
reflected as a negative expenditure due to the budgeting systems’ handling of payment transfers within an agency.

**Federal Funding**

- Surface Transportation Program (STP) funds from MTC planning contract

The SCTA is eligible to receive federal Surface Transportation Program (STP) funds through MTC based on a contractual arrangement that includes a specific scope of work related to regional activities plus an additional scope of work with tasks related to transportation and land use planning including the maintenance of the travel demand model and Sustainable Communities Strategy work. For FY15/16, the budget anticipates $900,000. The SCTA remains eligible for the funds as long as it maintains a planning and programming function. This source is critical to fund staff and agency operations.

- Congestion Mitigation/Air Quality (CMAQ) grant for Rideshare (Carma)

This grant was fully expended in FY14/15, thus this budget line item is zero for FY15/16.

- Federal Transit Administration funds from MTC for Short Range Transit Planning

MTC is providing a grant of $20,000, to SCTA for work on coordination in local Short Range Transit Plans. This work will address such common issues as transit sustainability project recommendations, fixed route and paratransit coordination, standardization of ADA paratransit eligibility, rehabilitation of the Santa Rosa Transit Mall, emergency coordination, fare change coordination, Clipper, schedule changes and inter-operator transfers, bus route connectivity with Sonoma/Marin Area Rail Transit (SMART), coordinated marketing opportunities, standardized way-finding signage, and joint procurement efforts.

**Local Funding**

- The City and County partner contributions

Local jurisdictions contribute to the SCTA based on a population and centerline road mile formula. Population numbers were updated based on Department of Finance figures for 2014 and revised road mile numbers derived from jurisdictions’ Pavement Management System. The total contribution from local jurisdictions as shown in the Preliminary Budget is $351,488.

The proposed local contribution from the cities and county reflects a 3% increase over last year. In FY14/15 the Board approved at 5% increase in local contributions – the first since FY06/07. At that time we shared with the Board that the average annual Consumer Price Index (CPI) in the US for the period 2006 through 2013 has increased 13%. For the Bay Area the increase is 17%. The CPI for the Bay Area from 2011 to 2013 was 5%.

Staff is proposing a 3% increase for FY15/16 to assist in critical SCTA operations that cannot be funded with grant or Measure M funds – including matching State and federal funding. A breakdown of the proposed costs to each jurisdiction is provided.

- Measure M

The SCTA bills directly to projects for SCTA staff time and materials used specifically on Highway 101 projects. The FY15/16 budget reflects $200,000 for staff and materials. This item shows up under Reimbursements and is reflected as a negative expenditure due to the budgeting systems’ handling of payment transfers within an agency.

- RCPA

The RCPA staff is paid for through the SCTA’s budget system and then staff time is reimbursed to SCTA from RCPA. The SCTA budget includes $348,000 in funds from the RCPA to cover staff costs, including a portion of the Executive Director and support staff time. This item shows up under Reimbursements and is reflected as a negative expenditure due to the budgeting systems’ handling of payment transfers within an agency.
• Interest on Pooled Cash

Interest budgeted for FY15/16 is $1,000.

EXPENDITURES IN THE SCTA FY15/16 PRELIMINARY BUDGET INCLUDE:

• Staff Salaries/Benefits

The FY15/16 budget reflects the salaries and benefits for eleven full time positions. The salary and benefit budget totals $1,837,607, up $200,000 from FY14/15 due to the addition of a new full time position, anticipated merit increases and anticipated increases in the cost of benefits. A 3% COLA is proposed. Health and retirement benefits are provided through the County of Sonoma and paid for by the SCTA.

• Outside Contracts/Services

This category totals $408,000 and includes annual audit services; financial management, claims processing, payroll, budget preparation and general accounting; contracts for consultant services (Shift, web design and related activities); and legal counsel for contract reviews and procedural/operational questions.

• Operational Expenses

Items considered operational expenses include computer hardware and software, office supplies, office lease, printing, travel, professional development and other relates categories. The total amount requested for these items in the FY15/16 budget is $261,000.

Policy Impacts:

No new policy issues are proposed in the FY15/16 SCTA Preliminary Budget.

Fiscal Impacts:

The FY15/16 SCTA Preliminary Budget proposes a 3% increase in local contributions (an increase of $10,000) and a 3% COLA for all employees (an increase of $30,000).

The FY15/16 SCTA Preliminary Budget is approximately 5% less than FY14/15 overall primarily to reduction in grant revenues and consultant related expenditures.

Staff Recommendation:

In order to continue operation, the SCTA must adopt a Preliminary Budget for FY15/16 by June 30, 2015. The SCTA should consider the proposed Preliminary SCTA Budget and, if it meets with the Board’s approval, adopt the FY15/16 SCTA Preliminary Budget. The final budget will be brought back to the SCTA for approval at a public hearing in October 2015.

Adoption of Resolution No. 2015-017 adopting the FY15/16 Preliminary Budget requires a 2/3-majority vote. Therefore, the budget MUST receive eight (8) affirmative votes to pass.
RESOLUTION OF THE BOARD OF DIRECTORS OF THE
SONOMA COUNTY TRANSPORTATION AUTHORITY, COUNTY
OF SONOMA, STATE OF CALIFORNIA, ADOPTING A
PRELIMINARY BUDGET FOR FISCAL YEAR 2015/2016.

WHEREAS, a Preliminary Budget for Fiscal Year 2015/2016 has been prepared by the Executive Director, reviewed by the Sonoma County Transportation Authority and attached as Exhibit A; and

WHEREAS, the Preliminary Budget for Fiscal Year 2015/2016 does include a 3% Cost of Living Adjustment for SCTA employees, and,

WHEREAS, the Preliminary Budget for Fiscal Year 2015/2016 includes a contribution for local jurisdictions based on a population/road-mile formula, attached hereto as Exhibit B.

NOW, THEREFORE, BE IT RESOLVED, that the Fiscal Year 2015/2016 Preliminary Budget for the Sonoma County Transportation Authority, attached hereto and marked Exhibit A, is hereby adopted.

BE IT FURTHER RESOLVED, that the Sonoma County Transportation Authority shall adopt a final budget at a duly noticed public hearing at 2:30 PM, October 12, 2015 in accordance with the provisions of Section 180108 of the Public Utilities Code and Ordinance No. 3 of the Sonoma County Transportation Authority.

BE IT FURTHER RESOLVED, that the Cities and County of Sonoma will contribute revenue as described in Exhibit B payable by the 15th day of November of Fiscal Year 2015/2016 to the Sonoma County Transportation Authority.

BE IT FURTHER RESOLVED, that the Executive Director, acting as Clerk of the Authority, shall deliver a certified copy of this resolution to the Sonoma County Auditor-Controller.

THE FOREGOING RESOLUTION was moved by Director, seconded by Director, and approved by the following vote:

Director Carlstrom       Director Chambers       Director Gallian       Director Gorin       Director Gurney       Director Landman
Director Mackenzie       Director Miller       Director Rabbitt       Director Russell       Director Salmon       Director Zane

Ayes: Noes: Absent: Abstain:
SO ORDERED

I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of Directors of the Sonoma County Transportation Authority held on May 11, 2015.

Suzanne Smith, Executive Director
Clerk, Sonoma County Transportation Authority
### Exhibt A

#### Sonoma County Transportation Authority
**FY 2015-2016 PRELIMINARY BUDGET**
**Budget Fund #74502**

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<td>-</td>
<td>10,271</td>
<td>-</td>
<td>-</td>
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<td>N/A</td>
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<tr>
<td>Operating Transfers - ISD</td>
<td>5,835</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td><strong>TOTAL REVENUES</strong></td>
<td>2,472,015</td>
<td>2,488,000</td>
<td>1,611,123</td>
<td>2,067,650</td>
<td>1,918,488</td>
<td>(149,163)</td>
<td>-6.00%</td>
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</tbody>
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<table>
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<tr>
<th>Expenditures</th>
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<tbody>
<tr>
<td>Salaries and Benefits</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Employee Salary (11 FT positions)</td>
<td>995,961</td>
<td>1,011,743</td>
<td>1,023,579</td>
<td>1,033,075</td>
<td>1,157,566</td>
<td>124,491</td>
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<tr>
<td>Employee Benefits (11 FT positions)</td>
<td>554,085</td>
<td>498,803</td>
<td>613,542</td>
<td>596,284</td>
<td>680,041</td>
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<td><strong>SUBTOTAL</strong></td>
<td>1,550,046</td>
<td>1,510,545</td>
<td>1,637,122</td>
<td>1,629,359</td>
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<td>208,248</td>
<td>13.79%</td>
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<th>Outside Contracts/Services</th>
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<td>County Services (mail, EFS, payroll)</td>
<td>20,194</td>
<td>25,500</td>
<td>29,454</td>
<td>25,500</td>
<td>33,000</td>
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<td>Fiscal Accounting Services</td>
<td>41,602</td>
<td>37,000</td>
<td>41,407</td>
<td>37,000</td>
<td>40,000</td>
<td>3,000</td>
<td>8.11%</td>
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<td>Legal Services</td>
<td>3,390</td>
<td>20,000</td>
<td>1,031</td>
<td>15,000</td>
<td>15,000</td>
<td>-</td>
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<td>Consultant Services</td>
<td>336,755</td>
<td>400,000</td>
<td>88,540</td>
<td>450,000</td>
<td>300,000</td>
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<td><strong>SUBTOTAL</strong></td>
<td>424,416</td>
<td>507,500</td>
<td>187,407</td>
<td>552,500</td>
<td>408,000</td>
<td>(144,500)</td>
<td>-28.47%</td>
</tr>
<tr>
<td>--------------------------------------------------------------</td>
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<tr>
<td>Liability Insurance</td>
<td>6,828</td>
<td>8,000</td>
<td>6,637</td>
<td>7,511</td>
<td>8,000</td>
<td>489</td>
<td>6.51%</td>
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<td>Printing Services/Copier Rental</td>
<td>10,385</td>
<td>15,000</td>
<td>11,140</td>
<td>13,500</td>
<td>15,000</td>
<td>1,500</td>
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<td>Public/Legal Notices</td>
<td>133</td>
<td>1,000</td>
<td>-</td>
<td>1,000</td>
<td>1,000</td>
<td>-</td>
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<tr>
<td>Rents/Leases-Bldgs</td>
<td>57,259</td>
<td>75,000</td>
<td>59,762</td>
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<td>65,000</td>
<td>3,000</td>
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<td>Travel/Training</td>
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<td>55,000</td>
<td>33,181</td>
<td>40,000</td>
<td>50,000</td>
<td>10,000</td>
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<td>Telephones</td>
<td>9,284</td>
<td>14,000</td>
<td>9,170</td>
<td>11,000</td>
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<td>-</td>
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<td>County ISD Computer Support</td>
<td>42,847</td>
<td>48,978</td>
<td>49,788</td>
<td>59,000</td>
<td>60,000</td>
<td>60,000</td>
<td>101.69%</td>
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<td>ISD-Computer Replacement Program</td>
<td>14,204</td>
<td>5,992</td>
<td>4,800</td>
<td>10,792</td>
<td>7,000</td>
<td>(3,792)</td>
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<td>Office Supplies / Equipment</td>
<td>6,799</td>
<td>10,000</td>
<td>33,425</td>
<td>38,000</td>
<td>8,000</td>
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<td>-78.95%</td>
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<td>Subscriptions</td>
<td>1,654</td>
<td>1,000</td>
<td>433</td>
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<td>1,000</td>
<td>-</td>
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<tr>
<td>Postage</td>
<td>2,663</td>
<td>5,000</td>
<td>-</td>
<td>5,000</td>
<td>-</td>
<td>(5,000)</td>
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<tr>
<td>Computer Software &amp; Hardware</td>
<td>2,430</td>
<td>5,000</td>
<td>2,430</td>
<td>5,000</td>
<td>5,000</td>
<td>-</td>
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<tr>
<td>Events/Public Outreach</td>
<td>2,917</td>
<td>5,000</td>
<td>-</td>
<td>5,000</td>
<td>10,000</td>
<td>5,000</td>
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<tr>
<td>Professional Development</td>
<td>4,559</td>
<td>6,500</td>
<td>7,335</td>
<td>6,600</td>
<td>20,000</td>
<td>13,400</td>
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<td>Contribution - Non County (Carma)</td>
<td>563,802</td>
<td>575,000</td>
<td>207,882</td>
<td>116,000</td>
<td>-</td>
<td>(116,000)</td>
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<td>Office Equipment</td>
<td>-</td>
<td>3,500</td>
<td>-</td>
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<td><strong>SUBTOTAL</strong></td>
<td><strong>752,262</strong></td>
<td><strong>833,970</strong></td>
<td><strong>425,983</strong></td>
<td><strong>381,403</strong></td>
<td><strong>261,000</strong></td>
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<td>Reimbursements - Measure M</td>
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<td>(200,000)</td>
<td>(200,000)</td>
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<td>Reimbursements - RCPA</td>
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<td>(300,000)</td>
<td>(275,000)</td>
<td>(275,000)</td>
<td>(348,000)</td>
<td>(73,000)</td>
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<td>Reimbursements - TFCA</td>
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<td>(30,000)</td>
<td>(30,000)</td>
<td>(30,000)</td>
<td>(30,000)</td>
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<tr>
<td><strong>SUBTOTAL</strong></td>
<td><strong>(399,571)</strong></td>
<td><strong>(430,000)</strong></td>
<td><strong>(505,000)</strong></td>
<td><strong>(505,000)</strong></td>
<td><strong>(578,000)</strong></td>
<td><strong>(73,000)</strong></td>
<td><strong>14.46%</strong></td>
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<tr>
<td><strong>TOTAL EXPENDITURES</strong></td>
<td><strong>2,327,153</strong></td>
<td><strong>2,422,015</strong></td>
<td><strong>1,745,511</strong></td>
<td><strong>2,058,262</strong></td>
<td><strong>1,928,607</strong></td>
<td><strong>(70,655)</strong></td>
<td><strong>-3.43%</strong></td>
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<td>Starting Fund Balance</td>
<td>220,991</td>
<td>220,991</td>
<td>365,852</td>
<td>365,852</td>
<td>231,464</td>
<td>-</td>
<td>-0.00%</td>
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<tr>
<td>Total Revenue</td>
<td>2,472,015</td>
<td>2,488,000</td>
<td>1,611,123</td>
<td>2,067,650</td>
<td>1,918,488</td>
<td>(149,163)</td>
<td>-7.21%</td>
</tr>
<tr>
<td>Total Expenditures</td>
<td>2,327,153</td>
<td>2,422,015</td>
<td>1,745,511</td>
<td>2,058,262</td>
<td>1,928,607</td>
<td>(70,655)</td>
<td>3.43%</td>
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<td>Audit Adjustments</td>
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<td>Change in Fund Balance</td>
<td>144,862</td>
<td>65,985</td>
<td>(134,388)</td>
<td>9,388</td>
<td>(10,119)</td>
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<td><strong>ENDING FUND BALANCE</strong></td>
<td><strong>365,852</strong></td>
<td><strong>286,975</strong></td>
<td><strong>231,464</strong></td>
<td><strong>375,240</strong></td>
<td><strong>221,345</strong></td>
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<td>Jurisdiction</td>
<td>50% Road Miles</td>
<td>Local Contribution FY14/15</td>
<td>Proposed FY15/16 (3% Increase)</td>
<td></td>
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<tr>
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<td>--------------------------------</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>50% Population</td>
<td></td>
<td></td>
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<tr>
<td>Cloverdale</td>
<td>1.5546%</td>
<td>$5,305</td>
<td>$5,464</td>
<td></td>
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<tr>
<td>Cotati</td>
<td>1.2054%</td>
<td>$4,113</td>
<td>$4,237</td>
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<tr>
<td>Healdsburg</td>
<td>2.1180%</td>
<td>$7,228</td>
<td>$7,445</td>
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<tr>
<td>Petaluma</td>
<td>9.6091%</td>
<td>$32,791</td>
<td>$33,775</td>
<td></td>
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<tr>
<td>Rohnert Park</td>
<td>6.0505%</td>
<td>$20,647</td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>Santa Rosa</td>
<td>27.7086%</td>
<td>$94,556</td>
<td>$97,392</td>
<td></td>
<td></td>
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<tr>
<td>Sebastopol</td>
<td>1.2587%</td>
<td>$4,295</td>
<td>$4,424</td>
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<tr>
<td>Sonoma</td>
<td>1.7927%</td>
<td>$6,117</td>
<td>$6,301</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Windsor</td>
<td>4.5376%</td>
<td>$15,485</td>
<td>$15,949</td>
<td></td>
<td></td>
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<tr>
<td>County</td>
<td>44.1647%</td>
<td>$150,712</td>
<td>$155,233</td>
<td></td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>100.0000%</strong></td>
<td><strong>$341,250</strong></td>
<td><strong>$351,488</strong></td>
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</tr>
</tbody>
</table>

1 Road Mileage (Center Line Miles) as of September 15, 2014.

2 California Department of Finance - January 1, 2014 - Based on published population by entity.
Staff Report

To: RCPA Board of Directors
From: Lauren Casey, Deputy Director
Item: 4.5.4 – FY15/16 Preliminary Budget for RCPA
Date: May 11, 2015

Issue:
Shall the Board adopt a preliminary budget for RCPA for the fiscal year beginning July 1, 2015?

Background:
The RCPA must adopt a preliminary budget by June in order for operations to continue; the attached Preliminary Budget contains staff’s recommendation. As is customary, the budget includes all revenues from local, regional, state, and federal sources. A breakdown of the costs to each jurisdiction is also provided.

REVENUE IN THE RCPA FY15/16 PRELIMINARY BUDGET INCLUDES:

• State: Strategic Growth Council and Coastal Conservancy
  RCPA, in conjunction with the Sonoma County Permit and Resource Management Department (PRMD), City of Santa Rosa Community Development Department, Planning Directors, and community partners, was awarded a $1,000,000 grant from the State’s Strategic Growth Council’s Proposition 84 Sustainable Communities grant. This funding provides for the development of Climate Action 2020. Of the total amount, $145,000 will go to the RCPA over a two-year period, and $30,000 is for SCTA. Staff projects that $29,000 of the RCPA share will be spent in FY15/16.
  The RCPA was also awarded a $100,000 grant from the State Coastal Conservancy to implement the North Bay Climate Ready project. In partnership with the RCPA, the Sonoma County Water Agency, and several partners from Marin and Napa counties, the North Bay Climate Adaptation Initiative (NBCAI) will be developing a user directed vulnerability assessment of climate hazards for multiple watersheds in the North Bay. Staff anticipates that $30,000 of this funding will be spent in FY15/16, with the bulk of funding ($70,000) spent in FY14/15.

• Other Governments: Bay Area Regional Energy Network
  The RCPA, in conjunction with the Association of Bay Area Governments and other local governments in the Bay Area, secured over $14 million dollars to implement energy efficiency programs in 2015. Of this, $443,246, was allocated to the RCPA for the administration of the BayREN PAYS® pilot expansion (including technical consultants), coordination with BayREN members, and the local implementation of regional programs including Energy Upgrade California, Bay Area Multifamily Buildings Enhancement program, codes and standards work, and commercial PACE marketing. RCPA staff have projected that roughly half of this allocation will be spent in FY15/16. Staff have also projected that BayREN counties are funded at a similar level in 2016 bringing the total proposed for FY15/16 to $443,000.
City and County Contributions

The balance of funding is provided by the public agency partners for purposes of supporting the non-grant funded activities which relate to new program development such as the implementation of Climate Action 2020, data collection and reporting, pre-grant application expenses, countywide coordination, legislative advocacy, management/administration, etc. In order to develop new initiatives, the local discretionary funds are essential to make progress on our goals, and these funds serve as a local match, which is often required for state and federal grants.

Besides supporting new program and project development, the local funding provides the discretionary flexibility for the Board to provide policy direction and request staff actions.

The FY15/16 budget proposes a 3% increase in the local contribution for RCPA. The requested contribution from local agencies is $213,965, including a $35,000 contribution from Sonoma Clean Power. A breakdown of the proposed costs to each jurisdiction is provided.

Interest on Pooled Cash

Interest budgeted for FY15/16 is $900.

EXPENDITURES IN THE RCPA FY14/15 PRELIMINARY BUDGET INCLUDE:

- **Staff Salaries/Benefits**
  
  RCPA will have a full-time Deputy Director and full-time Climate Action Planner. In addition, in FY15/16 the RCPA will support half of a full-time Community Affairs Specialist. These employees manage programs, coordinate with partners (staff and directors), write grants, administer contracts, and engage with members of the community on climate action programs and issues. RCPA staff costs include 25% of the Executive Director’s salary and benefits, as well as monthly administrative support costs.

  A 3% COLA is proposed. Health and retirement benefits are provided through the County of Sonoma and paid for by the RCPA. The 23% increase for salary and benefits is primarily associated with the addition of a new staff position, anticipated merit increases and anticipated increases in the cost of benefits.

- **Outside Contracts/Services**
  
  This category totals $703,000 and includes the annual audit services; financial management, claims processing, budget preparation and general accounting; consultant services for PAYS and related BayREN activities; and legal counsel for contract reviews, procedural/operational questions, and support through the adoption of the Climate Action 2020 plan and the associated Environmental Impact Report (EIR). Staff anticipates a significant need for legal services due to the probable RCPA role as Lead Agency on this EIR.

- **Operational Expenses**
  
  Items considered operational expenses total $60,000 and include computer hardware and software, office supplies, office lease, printing, postage, travel, and other relates categories. The public outreach category includes budget for market, festival, and other event sponsorship and registration to support public outreach on energy efficiency programs and Climate Action 2020. Travel is expected to increase in FY15/16 due to several prospective Climate Action Champion meetings and a desire to increase coordination with State Agencies in Sacramento.

Policy Impacts:
Adoption of the RCPA preliminary budget for FY15/16 will establish the program activity level and be dependent upon the agency receiving the shared funding identified in the budget from the agency’s partners.

**Fiscal Impacts:**
Local partners are being asked to continue their support of RCPA at $213,965. Without local support non-grant eligible activities would need to be suspended by RCPA.

**Staff Recommendation:**
In order to continue operation, the RCPA must adopt a Preliminary Budget for FY15/16 by June 30, 2015. The Board should consider the proposed Preliminary RCPA Budget and, if it meets with the Board’s approval, adopt the Fy15/16 RCPA Preliminary Budget. The final budget will be brought back to the RCPA for approval at a public hearing in October.

Adoption of Resolution No. 2015-001 adopting the FY15/16 Preliminary Budget requires a 2/3-majority vote. Therefore, the budget MUST receive eight (8) affirmative votes to pass.

WHEREAS, a Preliminary Budget for Fiscal Year 2015/2016 has been prepared by the Executive Director, reviewed by the Sonoma County Regional Climate Protection Authority and attached as Exhibit A; and

WHEREAS, the Preliminary Budget for Fiscal Year 2015/2016 includes a contribution from the Cities and County partnering agencies for work associated with the Regional Climate Protection Coordination Plan effort, attached hereto as Exhibit B; and

NOW, THEREFORE, BE IT RESOLVED, that the Fiscal Year 2015/2016 Preliminary Budget for the Sonoma County Regional Climate Protection Authority, attached hereto and marked Exhibit A, is hereby adopted.

BE IT FURTHER RESOLVED, that the Sonoma County Regional Climate Protection Authority shall adopt a final budget at a duly noticed public hearing at 2:30 PM, October 12, 2015 in accordance with the provisions of Section 180108 of the Public Utilities Code and Ordinance No. 1 of the Regional Climate Protection Authority.

BE IT FURTHER RESOLVED, that the Cities and County of Sonoma partnering agencies will contribute revenue as described in Exhibit B payable by the first day in July of the Fiscal Year 2015/2016 to the Sonoma County Regional Climate Protection Authority.

BE IT FURTHER RESOLVED, that the Executive Director, acting as Clerk of the Authority, shall deliver a certified copy of this resolution to the Sonoma County Auditor-Controller.

THE FOREGOING RESOLUTION was moved by Director, seconded by Director, and approved by the following vote:

Director Carlstrom                  Director Chambers   Director Gallian   Director Gorin   Director Gurney   Director Landman
__________________________________  ________________  ________________  ________________  ________________  ________________
Director Mackenzie                  Director Miller     Director Rabbitt  Director Russell  Director Salmon  Director Zane
__________________________________  ________________  ________________  ________________  ________________  ________________

Ayes: Noes: Absent: Abstain:

SO ORDERED
I, the undersigned, certify that the foregoing resolution was duly adopted at a regular meeting of the Board of Directors of the Sonoma County Regional Climate Protection Authority held on May 11, 2015.

Suzanne Smith, Executive Director
Clerk, Sonoma County Regional Climate Protection Authority
Exhibit A
Sonoma County Regional Climate Protection Authority
FY 2015-2016 PRELIMINARY BUDGET
Budget Fund #74601

Fund 74601
Dept ID: 66100100

<table>
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<tr>
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</tr>
</thead>
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<td><strong>Revenues</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Grants (Shift, CA2020)</td>
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<td>62,000</td>
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<td>92,000</td>
<td>55,000</td>
<td>(37,000)</td>
<td>-40.22%</td>
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<tr>
<td>Local Contributions</td>
<td>165,501</td>
<td>165,500</td>
<td>175,500</td>
<td>175,500</td>
<td>213,965</td>
<td>38,465</td>
<td>21.92%</td>
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<tr>
<td>Other Governments (ABAG)</td>
<td>585,788</td>
<td>708,400</td>
<td>358,350</td>
<td>471,530</td>
<td>443,000</td>
<td>(28,530)</td>
<td>-6.05%</td>
</tr>
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<td>Interest</td>
<td>749</td>
<td>500</td>
<td>837</td>
<td>900</td>
<td>900</td>
<td>0</td>
<td>0.00%</td>
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<tr>
<td>Unrealized Gains &amp; Losses</td>
<td>0</td>
<td>0</td>
<td>(814)</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Outdate / Cancel Warrant</td>
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<td>0</td>
<td>544</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Revenue Applic to PY</td>
<td>(398)</td>
<td>(386)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>N/A</td>
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<tr>
<td><strong>TOTAL REVENUES</strong></td>
<td>809,792</td>
<td>936,400</td>
<td>665,568</td>
<td>739,930</td>
<td>712,865</td>
<td>(27,065)</td>
<td>-4%</td>
</tr>
</tbody>
</table>

| **Expenditures**     |               |               |                   |               |                     |                 |                |
| Outside Contracts/Services |            |               |                   |               |                     |                 |                |
| Annual Audit         | 7,700         | 14,700        | 7,700             | 7,700         | 8,000               | 300             | 3.90%          |
| Fiscal Accounting Services | 4,500       | 7,500         | 5,816             | 4,500         | 6,000               | 1,500           | 33.33%         |
| Legal Services       | 6,554         | 15,000        | 10,122            | 15,000        | 50,000              | 35,000          | 233.33%        |
| RCPA Staff Time      | 270,118       | 297,500       | 317,430           | 282,700       | 348,000             | 65,300          | 23.10%         |
| County Services      | 12,923        | 7,000         | 15,000            | 13,000        | 16,000              | 3,000           | 23.08%         |
| Contract/Consultant Services | 440,276  | 503,000       | 311,337           | 473,900       | 275,000             | (198,900)       | -41.97%        |
| **SUBTOTAL**         | 742,071       | 844,700       | 667,405           | 796,800       | 703,000             | (93,800)        | -12%           |

| **Operational Expenditures** |     |               |                   |               |                     |                 |                |
| Liability Insurance    | 4,469       | 4,500         | 4,457             | 4,916         | 5,000               | 84              | 1.70%          |
| Printing Services      | 537         | 4,000         | 1,928             | 5,000         | 7,000               | 2,000           | 40.00%         |
| Rents/Leases-Bldgs/Imp | 5,930       | 6,000         | 6,000             | 6,000         | 6,000               | 0               | 0.00%          |
| Travel                | 4,091       | 10,000        | 7,500             | 5,000         | 15,000              | 10,000          | 200.00%        |
| ISD Improvements       | 0           | 1,200         | 2,460             | 0             | 0                   | N/A             |                |
| DP - Supplemental Services | 1,071       | 0             | 0                 | 0             | 0                   | N/A             |                |
| Memberships            | 2,560       | 5,000         | 3,160             | 5,000         | 5,000               | 0               | 0.00%          |
| Office Supplies        | 286         | 2,000         | 123               | 2,000         | 2,000               | 0               | 0.00%          |
| Postage               | 366         | 2,000         | 669               | 1,000         | 1,000               | 0               | 0.00%          |
| Sponsorships/Public Outreach | 33,300 | 38,400        | 13,135            | 15,000        | 15,000              | 0               | 0.00%          |
| Professional Development | 0          | 2,000         | 0                 | 4,000         | 4,000               | N/A             |                |
| Contrib Non-Co Government | 0         | 15,000        | 0                 | 10,000        | 0                   | (10,000)        | -100.00%       |
| **SUBTOTAL**           | 52,610      | 90,100        | 39,433            | 53,916        | 60,000              | 6,084           | 11.28%         |

| **TOTAL EXPENDITURES** | 794,681     | 934,800       | 706,838           | 850,716       | 763,000             | (87,716)        | -0.49%         |

| Starting Fund Balance | 127,837     | 127,837       | 142,947           | 142,947       | 101,678             | 0               | 0              |
| Total Revenue         | 809,792     | 936,400       | 665,568           | 739,930       | 712,865             | 27,065          | 3.66%          |
| Total Expenditures    | (794,681)   | (934,800)     | (706,838)         | (850,716)     | (763,000)           | (87,716)        | 10.31%         |

| Audit Adjustments     | 0           | 0             | 0                 | 0             | 0                   | 0               |                |
| Change in Fund Balance | 15,111      | 1,600         | (41,269)          | (110,786)     | (50,135)            | (60,651)        |                |
| **ENDING FUND BALANCE** | 142,947     | 129,437       | 101,678           | 32,161        | 51,543              |                |                |
### FY2015-16 Local Contribution to RCPA

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<tr>
<th>Jurisdiction</th>
<th>Population¹</th>
<th>Percent</th>
<th>FY14/15 Amount</th>
<th>Proposed FY15/16 Amount (3% increase)</th>
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<td>Cloverdale</td>
<td>8,641</td>
<td>1.7617%</td>
<td>$ 2,035</td>
<td>$ 2,096</td>
</tr>
<tr>
<td>Cotati</td>
<td>7,288</td>
<td>1.4859%</td>
<td>$ 1,716</td>
<td>$ 1,768</td>
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<td>Healdsburg</td>
<td>11,541</td>
<td>2.3530%</td>
<td>$ 2,718</td>
<td>$ 2,799</td>
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<td>Petaluma</td>
<td>59,000</td>
<td>12.0289%</td>
<td>$ 13,893</td>
<td>$ 14,310</td>
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<td>Rohnert Park</td>
<td>40,722</td>
<td>8.3024%</td>
<td>$ 9,589</td>
<td>$ 9,877</td>
</tr>
<tr>
<td>Santa Rosa</td>
<td>170,236</td>
<td>34.7076%</td>
<td>$ 40,087</td>
<td>$ 41,290</td>
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<tr>
<td>Sebastopol</td>
<td>7,440</td>
<td>1.5169%</td>
<td>$ 1,752</td>
<td>$ 1,805</td>
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<tr>
<td>Sonoma</td>
<td>10,801</td>
<td>2.2021%</td>
<td>$ 2,543</td>
<td>$ 2,620</td>
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<tr>
<td>Windsor</td>
<td>27,104</td>
<td>5.5259%</td>
<td>$ 6,382</td>
<td>$ 6,574</td>
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<td>County</td>
<td>147,713</td>
<td>30.1156%</td>
<td>$ 34,784</td>
<td>$ 35,827</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>490,486</strong></td>
<td><strong>100.0000%</strong></td>
<td><strong>$ 115,500</strong></td>
<td><strong>$ 118,965</strong></td>
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</tbody>
</table>

¹ California Department of Finance - January 1, 2014 - Based on published population by entity.

Sonoma County Agricultural Preservation & Open Space District  $ 22,000  $ 25,000
Sonoma County Water Agency $ 33,500  $ 35,000
Sonoma Clean Power $ -  $ 35,000

Sub Total  $ 55,500  $ 95,000

Grand Total  $ 171,000  $ 213,965
New California Goal Aims to Reduce Emissions 40 Percent Below 1990 Levels by 2030

SACRAMENTO - Governor Edmund G. Brown Jr. today issued an executive order to establish a California greenhouse gas reduction target of 40 percent below 1990 levels by 2030 - the most aggressive benchmark enacted by any government in North America to reduce dangerous carbon emissions over the next decade and a half.

"With this order, California sets a very high bar for itself and other states and nations, but it's one that must be reached - for this generation and generations to come," said Governor Brown.

This executive action sets the stage for the important work being done on climate change by the Legislature.

The Governor's executive order aligns California's greenhouse gas reduction targets with those of leading international governments ahead of the United Nations Climate Change Conference in Paris later this year. The 28-nation European Union, for instance, set the same target for 2030 just last October.

California is on track to meet or exceed the current target of reducing greenhouse gas emissions to 1990 levels by 2020, as established in the California Global Warming Solutions Act of 2006 (AB 32). California's new emission reduction target of 40 percent below 1990 levels by 2030 will make it possible to reach the ultimate goal of reducing emissions 80 percent under 1990 levels by 2050. This is in line with the scientifically established levels needed in the U.S. to limit global warming below 2 degrees Celsius - the warming threshold at which scientists say there will likely be major climate disruptions such as super droughts and rising sea levels.

World Leaders React

United Nations Framework Convention on Climate Change Executive Secretary Christiana Figueres: "California and Governor Brown have clearly understood, internalised and articulated the science of climate change and today have aligned the state to the growing global understanding of the step changes and strategies needed over the coming years and decades. Resolving climate change requires a swift peaking of emissions and a deep decarbonisation of the global economy by the second half of the century. California's announcement is a realisation and a determination that will gladly resonate with other inspiring actions within the United States and around the globe. It is yet another reason for optimism in advance of the UN climate conference in Paris in December."

World Bank Group President Jim Yong Kim: "Four consecutive years of exceptional drought has brought home the harsh reality of rising global temperatures to the communities and businesses of California. There can be no substitute for aggressive national targets to reduce harmful greenhouse emissions, but the decision today by Governor Brown to set a 40 percent reduction target for 2030 is an example of
climate leadership that others must follow."

Premier of Ontario, Canada Kathleen Wynne: "I applaud Governor Brown's continued leadership on climate change. This shows the important role that sub-national governments can play in shaping a strong global agreement on climate change later this year in Paris."

Former New York Mayor Michael Bloomberg: "California's 2030 goal to reduce carbon emissions is not only bold, it's necessary - for the economy and our future."

NextGen Climate Founder Tom Steyer: "When it comes to climate change, California has emerged as a global leader - proving that we don't have to choose between a healthy environment and a strong economy. Today Governor Brown took that leadership to the next level. By setting an ambitious and achievable target to reduce emissions of climate-altering pollutants 40 percent by 2030, Governor Brown is setting a course that will build upon the hundreds of thousands of good paying advanced energy jobs in California, improve the health and wellbeing of Californians and continue our global leadership to solve the greatest challenge of our generation."

Princeton University Professor Michael Oppenheimer: "Governor Brown's ground-breaking commitment not only shows that solving the climate problem goes hand-in-hand with economic growth and technology leadership, but points the way toward a climate solution for other states and the world."

Climate Adaptation

The executive order also specifically addresses the need for climate adaptation and directs state government to:

- Incorporate climate change impacts into the state's Five-Year Infrastructure Plan;
- Update the Safeguarding California Plan - the state climate adaption strategy - to identify how climate change will affect California infrastructure and industry and what actions the state can take to reduce the risks posed by climate change;
- Factor climate change into state agencies' planning and investment decisions; and
- Implement measures under existing agency and departmental authority to reduce greenhouse gas emissions.

California's Response to Climate Change

In his inaugural address earlier this year, Governor Brown announced that within the next 15 years, California will increase from one-third to 50 percent our electricity derived from renewable sources; reduce today's petroleum use in cars and trucks by up to 50 percent; double the efficiency savings from existing buildings and make heating fuels cleaner; reduce the release of methane, black carbon and other potent pollutants across industries; and manage farm and rangelands, forests and wetlands so they can store carbon.
Since taking office, Governor Brown has signed accords to fight climate change with leaders from Mexico, China, Canada, Japan, Israel and Peru. The Governor also issued a groundbreaking call to action with hundreds of world-renowned researchers and scientists - called the consensus statement - which translates key scientific climate findings from disparate fields into one unified document. The impacts of climate change are already being felt in California and will disproportionately impact the state’s most vulnerable populations.

The text of the executive order is below:

**EXECUTIVE ORDER B-30-15**

WHEREAS climate change poses an ever-growing threat to the well-being, public health, natural resources, economy, and the environment of California, including loss of snowpack, drought, sea level rise, more frequent and intense wildfires, heat waves, more severe smog, and harm to natural and working lands, and these effects are already being felt in the state; and

WHEREAS the Intergovernmental Panel on Climate Change concluded in its Fifth Assessment Report, issued in 2014, that "warming of the climate system is unequivocal, and since the 1950s, many of the observed changes are unprecedented over decades to millennia" and that "continued emission of greenhouse gases will cause further warming and long-lasting changes in all components of the climate system, increasing the likelihood of severe, pervasive and irreversible impacts for people and ecosystems;" and

WHEREAS projections of climate change show that, even under the best-case scenario for global emission reductions, additional climate change impacts are inevitable, and these impacts pose tremendous risks to the state’s people, agriculture, economy, infrastructure and the environment; and

WHEREAS climate change will disproportionately affect the state's most vulnerable citizens; and

WHEREAS building on decades of successful actions to reduce pollution and increase energy efficiency the California Global Warming Solutions Act of 2006 placed California at the forefront of global and national efforts to reduce the threat of climate change; and

WHEREAS the Intergovernmental Panel on Climate Change has identified limiting global warming to 2 degrees Celsius or less by 2050 as necessary to avoid potentially catastrophic climate change impacts, and remaining below this threshold requires accelerated reductions of greenhouse gas emissions; and

WHEREAS California has established greenhouse gas emission reduction targets to reduce greenhouse gas emissions to 1990 levels by 2020 and further reduce such emissions to 80 percent below 1990 levels by 2050; and
WHEREAS setting an interim target of emission reductions for 2030 is necessary to guide regulatory policy and investments in California in the midterm, and put California on the most cost-effective path for long term emission reductions; and

WHEREAS all agencies with jurisdiction over sources of greenhouse gas emissions will need to continue to develop and implement emissions reduction programs to reach the state's 2050 target and attain a level of emissions necessary to avoid dangerous climate change; and

WHEREAS taking climate change into account in planning and decision making will help the state make more informed decisions and avoid high costs in the future.

NOW, THEREFORE, I, EDMUND G. BROWN JR., Governor of the State of California, in accordance with the authority vested in me by the Constitution and statutes of the State of California, in particular Government Code sections 8567 and 8571 of the California Government Code, do hereby issue this Executive Order, effective immediately

IT IS HEREBY ORDERED THAT:

1. A new interim statewide greenhouse gas emission reduction target to reduce greenhouse gas emissions to 40 percent below 1990 levels by 2030 is established in order to ensure California meets its target of reducing greenhouse gas emissions to 80 percent below 1990 levels by 2050.

2. All state agencies with jurisdiction over sources of greenhouse gas emissions shall implement measures, pursuant to statutory authority, to achieve reductions of greenhouse gas emissions to meet the 2030 and 2050 greenhouse gas emissions reductions targets.

3. The California Air Resources Board shall update the Climate Change Scoping Plan to express the 2030 target in terms of million metric tons of carbon dioxide equivalent.

4. The California Natural Resources Agency shall update every three years the state's climate adaptation strategy, Safeguarding California, and ensure that its provisions are fully implemented. The Safeguarding California plan will:
   -Identify vulnerabilities to climate change by sector and regions, including, at a minimum, the following sectors: water, energy, transportation, public health, agriculture, emergency services, forestry, biodiversity and habitat, and ocean and coastal resources;
   -Outline primary risks to residents, property, communities and natural systems from these vulnerabilities, and identify priority actions needed to reduce these risks; and
   -Identify a lead agency or group of agencies to lead adaptation efforts in each sector.

5. Each sector lead will be responsible to:
   -Prepare an implementation plan by September 2015 to outline the actions that will be taken as identified in Safeguarding California, and
-Report back to the California Natural Resources Agency by June 2016 on actions taken.

6. State agencies shall take climate change into account in their planning and investment decisions, and employ full life-cycle cost accounting to evaluate and compare infrastructure investments and alternatives.

7. State agencies’ planning and investment shall be guided by the following principles:
   - Priority should be given to actions that both build climate preparedness and reduce greenhouse gas emissions;
   - Where possible, flexible and adaptive approaches should be taken to prepare for uncertain climate impacts;
   - Actions should protect the state’s most vulnerable populations; and
   - Natural infrastructure solutions should be prioritized.

8. The state’s Five-Year Infrastructure Plan will take current and future climate change impacts into account in all infrastructure projects.

9. The Governor’s Office of Planning and Research will establish a technical, advisory group to help state agencies incorporate climate change impacts into planning and investment decisions.

10. The state will continue its rigorous climate change research program focused on understanding the impacts of climate change and how best to prepare and adapt to such impacts.

This Executive Order is not intended to create, and does not, create any rights or benefits, whether substantive or procedural, enforceable at law or in equity, against the State of California, its agencies, departments, entities, officers, employees, or any other person.

I FURTHER DIRECT that as soon as hereafter possible, this Order be filed in the Office of the Secretary of State and that widespread publicity and notice be given to this Order.

IN WITNESS WHEREOF I have hereunto set my hand and caused the Great Seal of the State of California to be affixed this 29th day of April 2015.

______________________________
EDMUND G. BROWN JR.
Governor of California

ATTEST:

______________________________
ALEX PADILLA
Secretary of State
Staff Report

To: SCTA Board of Directors
From: Suzanne Smith
Item: 5.2 – Regional Agency Reports
Date: May 11, 2015

Issue:
Recent updates from:

- SMART
- North Coast Railroad Authority
- Metropolitan Transportation Authority (MTC)
- California Association of Councils of Government (CALCOG)
- Association of Bay Area Governments (ABAG)
- Bay Area Air Quality Management District (BAAQMD)
- Self Help Counties Coalition
- Sonoma Clean Power

Background:
The following links and materials provide information regarding various regional agencies and issues:

- MTC Executive Director’s Report
- CALCOG
  - http://campaign.r20.constantcontact.com/render?ca=23b3deb0-3291-44a0-98eb-5d71b433e895&c=af4c49d0-d4ad-11e3-ad11-d4ae528eaf6c&ch=af5152e0-d4ad-11e3-ad11-d4ae528eaf6c

Staff Recommendation:
This is an informational item only.
Technical Advisory Committee

MEETING AGENDA

April 23, 2015 1:30 PM
Sonoma County Transportation Authority
SCTA Large Conference Room
490 Mendocino Avenue, Suite 206
Santa Rosa, California 95401

ITEM

1. Introductions
2. Public Comment
3. Approval of Minutes, March 26, 2015* – DISCUSSION / ACTION
4. Comprehensive Transportation Plan Update – DISCUSSION / ACTION
5. TFCA/TDA3 Quarterly Report* – DISCUSSION / ACTION
6. TFCA Program of Projects* – DISCUSSION / ACTION
7. Measure M DISCUSSION / ACTION
   7.1 Measure M Invoicing / Appropriation Status*
8. Regional Information Update – DISCUSSION / ACTION
   8.1 Federal Programs Delivery*
   8.2 FHWA Published NPRM on NHS Pavement and Bridge Performance Measures: Response letter template
9. Sales Tax Update – DISCUSSION
   9.1 June 2, 2015 Special election*
10. Rail Update – DISCUSSION
11. Draft SCTA Board Meeting Agenda for May 11, 2015 DISCUSSION
12. Other Business / Comments / Announcements - DISCUSSION
13. Adjourn - ACTION

*Materials attached.
**Handout at meeting

The next SCTA meeting will be held May 11, 2015
The next TAC meeting will be held on May 28, 2015

Copies of the full Agenda Packet are available at www.sctainfo.org
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SB 343 DOCUMENTS RELATED TO OPEN SESSION AGENDAS: Materials related to an item on this agenda submitted to the Technical Advisory Committee after distribution of the agenda packet are available for public inspection in the Sonoma County Transportation Authority office at 490 Mendocino Ave., Suite 206, during normal business hours.

Pagers, cellular telephones and all other communication devices should be turned off during the committee meeting to avoid electrical interference with the sound recording system.

TAC Voting member attendance – (6 Month rolling 2014/15)

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<th>Sep</th>
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<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
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SCTA Citizens Advisory Committee

MEETING AGENDA

April 27, 2015 at 4:00 p.m.
Sonoma County Transportation Authority
SCTA Large Conference Room
490 Mendocino Avenue, Suite 206
Santa Rosa, California 95401

ITEM

1. Introductions
2. Public Comment
3. Administrative - Approval of Notes February 23, 2015* - ACTION
4. Measure M – DISCUSSION/ACTION
   a. Measure M Project Presentation – Sonoma County Regional Parks presents the following projects: Bodega Bay Trail, Sonoma Schellville Trail, Central Sonoma Valley Trail - REPORT
   b. Measure M Financial Reports*
5. County Tax measure - County of Sonoma CAO provides information at County website site here - http://sonomacounty.ca.gov/CAO/Measure-A/ - FAQ attached* - REPORT
6. Plan Bay Area update* - REPORT
7. Updates - DISCUSSION
   a. Highway 101
   b. SMART
8. Announcements
9. Adjourn

The next SCTA/RCPA meeting will be May 11, 2015
The next CAC meeting will be June 29, 2015

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MEETING AGENDA

Thursday, April 16, 2015, 9:30 a.m. NEW DATE

Sonoma County Transportation Authority

SCTA Large Conference Room
Phone participation: (707) 565-2526

ITEM

1. Introductions
2. Public Comment
3. Administrative
   3.1. Approval of the agenda – changes, additional discussion items- ACTION
   3.2. Review Meeting Notes from March 19, 2015 – ACTION*
   3.3. 2015 Meeting schedule – new meeting day 3rd Thursday beginning March 19
4. Round table members discussion
5. North Bay Climate Ready Municipal User Group – Presentation by Lisa Micheli* (12.9KB pdf file to be sent in second email)
6. Plan Bay Area Update
   6.1. Regional Advisory Working Group* - April 7, 2015
   6.2. ABAG Regional Housing & Employment forecast – phase 1 – existing conditions – information to be sent under separate cover.
7. Items of interest
   7.2. Draft California Transportation Plan 2040-available for review - comment period ends on April 17.
8. Mode SHIFT RFP – Staff Report – INFORMATION*
9. Other Business /Next agenda
10. Adjourn

*Attachment

The next SCTA meeting will be held May 11, 2015
The next Planning Directors/PAC meeting will be held May 21, 2015

Copies of the full Agenda Packet are available at www.sctainfo.org. DISABLED ACCOMMODATION: If you have a disability that requires the agenda materials to be in an alternate format or that requires an interpreter or other person to assist you while attending this meeting, please contact SCTA at least 72 hours prior to the meeting to ensure arrangements for accommodation. SB 343 DOCUMENTS RELATED TO OPEN SESSION AGENDAS: Materials related to an item on this agenda submitted to the Planning Advisory Committee after distribution of the agenda packet are available for public inspection in the Sonoma County Transportation Authority office at 490 Mendocino Ave., Suite 206, during normal business hours. Pagers, cellular telephones and all other communication devices should be turned off during the committee meeting to avoid electrical interference with the sound recording system.
Countywide Bicycle & Pedestrian Advisory Committee
MEETING AGENDA

April 28, 2015 1:30 PM
Sonoma County Transportation Authority
SCTA Large Conference Room
490 Mendocino Avenue, Suite 206
Santa Rosa, California 95401

ITEM

1. Introductions
2. Public Comment
3. Approval of Notes: March 24, 2015 – DISCUSSION / ACTION*
4. Roundtable Updates
   4.1. Member Updates
   4.2. Other Entities’ Updates
5. TDA Article 3 & TFCA
   5.1. TDA3 & TFCA Quarterly Report – INFORMATION*
   5.2. TDA Article 3 FY15-17 Program of Projects – ACTION*
   5.3. TFCA Program of Projects – INFORMATION*
7. Articles and events of Interest – INFORMATION
   7.1. Safe Routes to School Walk Audit Workshop – Monday, April 27, 2015 –
       http://www.eventbrite.com/e/safe-routes-to-school-walk-audit-workshop-tickets-16502120286
   7.3. Harvard Researcher Calls for Better Police Reporting of Bike Crashes – http://usa.streetsblog.org/2015/04/06/harvard-researcher-calls-for-better-police-reporting-of-bike-crashes/
8. Other Business / Comments / Announcements
9. Adjourn - ACTION

*Materials attached.

The next SCTA meeting will be held May 11, 2014
The next CBPAC meeting will be held May 26, 2015

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DOCUMENTS RELATED TO OPEN SESSION AGENDAS: Materials related to an item on this agenda submitted to the COUNTYWIDE BICYCLE & PEDESTRIAN ADVISORY COMMITTEE after distribution of the agenda packet are available for public inspection in the Sonoma County Transportation Authority office at 490 Mendocino Ave., Suite 206, during normal business hours.

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ITEM

1. Introductions
2. Approval of Meeting Notes: March 11, 2015 – DISCUSSION / ACTION*
3. Transit Operator Updates
4. Clipper Update – Jennifer Largaespada, MTC - Discussion
5. TFCA Draft Program of Projects – Staff Report – Discussion (handout)
6. Comprehensive Transportation Plan Update – Discussion
7. SMART Integration Planning Grant from MTC – updates if available
8. Other Business / Comments / Announcements
9. Adjourn – ACTION

-Materials attached.

The next SCTA meeting will be held April 13, 2015
The next T-TAC meeting will be held May 13, 2015

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SB 343 DOCUMENTS RELATED TO OPEN SESSION AGENDAS: Materials related to an item on this agenda submitted to the Transit-Technical Advisory Committee after distribution of the agenda packet are available for public inspection in the Sonoma County Transportation Authority office at 490 Mendocino Ave., Suite 206, during normal business hours. Pagers, cellular telephones and all other communication devices should be turned off during the committee meeting to avoid electrical interference with the sound recording system.