



**1405 N. IMPERIAL AVENUE, SUITE 1  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4497**

**TRANSPORTATION COMMISSION MEETING  
AGENDA**

**WEDNESDAY, SEPTEMBER 27, 2017  
6:00 PM**

**County of Imperial Administration Center  
Board of Supervisors Chambers  
940 W. Main Street, Second Floor  
El Centro, CA 92243**

**CHAIR: MARIA NAVA-FROELICH**

**VICE CHAIR: LUIS PLANCARTE**

---

Individuals wishing accessibility accommodations at this meeting, under the Americans with Disabilities Act (ADA), may request such accommodations to aid hearing, visual, or mobility impairment by contacting ICTC offices at (760) 592-4494. Please note that 48 hours advance notice will be necessary to honor your request.

---

**I. CALL TO ORDER AND ROLL CALL**

**II. EMERGENCY ITEMS**

- A. Discussion/Action of emergency items, if necessary.

**III. PUBLIC COMMENTS**

Any member of the public may address the Commission for a period not to exceed three minutes on any item of interest not on the agenda within the jurisdiction of the Commission. The Commission will listen to all communication, but in compliance with the Brown Act, will not take any action on items that are not on the agenda.

**IV. CONSENT CALENDAR**

(Executive Director recommends approval of consent calendar items)

- A. Approval of Commission Draft Minutes: August 23, 2017 Pages 5-12  
B. Receive and File:  
1. ICTC Management Committee Draft Minutes: September 20, 2017

**V. REPORTS (Up to 5 minutes per staff report)**

- A. ICTC Executive Director  
• See attached Executive Director Report on page 14  
B. Southern California Association of Governments  
• See attached report on page 30  
C. California Department of Transportation – District 11  
• See attached report on page 37  
D. Commission Member Reports (if any)

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

**VI. ACTION CALENDAR**

- A. Tri-ennial Performance Audit of the Administration/Management of the Imperial County Transportation Commission – FY 2013-14, 2014-15, 2015-16 Page 48

Staff / Consultant presentation (15 minutes)

The ICTC Management Committee met on September 20, 2017 and forwards this item to the Commission for review and approval after public comment, if any:

1. Approve the FY 2013-14, 2014-15, 2015-16 Tri-ennial Performance Audit of the Imperial County Transportation Commission.
2. Direct staff to forward the FY 2013-14, 2014-15, 2015-16 Tri-ennial Performance Audit of the Imperial County Transportation Commission to Caltrans.

- B. The Passenger Statistical Summary (PSS) Project for FY 2016-17 for Imperial Valley Transit (IVT) Page 113

Staff / Consultant presentation (15 minutes)

The ICTC Management Committee met on September 20, 2017 and forwards this item to the Commission for review and approval after public comment, if any:

1. Approve the Passenger Statistical Sampling Project for FY 2016-17.
2. Direct staff to forward the report for inclusion in the National Transit Database (NTD)

**VII. CLOSED SESSION**

- A. Motion to Adjourn to Closed Session

- B. CONFERENCE WITH REAL PROPERTY NEGOTIATORS (Government Code § 54956.8)

- i. Property: 792 E. Ross Road, El Centro, CA, Assessor's Parcel Number #051-310-027-000.  
Use: Bus Parking / Storage  
Agency negotiator: Mark Baza  
Negotiating parties: Ed C. and Mary C. Mealey.  
Instructions to negotiator will concern price, terms of payment.

- ii. Property: 1498 Main Street, El Centro, CA Assessor's Parcel Number # 053-081-013  
Use: Office Space  
Agency negotiator: Mark Baza  
Negotiating parties: Quan &Woo Investment Company  
Instructions to negotiator will concern price, terms of payment.

- iii. Property: 1405 N. Imperial Ave., Suite 1, El Centro, CA Assessor's Parcel Number # 044-261-018 01  
Use: Office Space  
Agency negotiator: Mark Baza  
Negotiating parties: Pico Group LLC  
Instructions to negotiator will concern price, terms of payment.

- B. Announcement of Closed Session Action(s)

**VIII. NEXT MEETING DATE AND PLACE**

- A. The next meeting of the **Imperial County Transportation Commission** will be held on **Wednesday, October 25, 2017 at 6:00 p.m.**, at the **County of Imperial Board Chambers**, at 940 W. Main Street, El Centro, CA.

**IX. ADJOURNMENT**

- A. Motion to adjourn

## **IV. CONSENT CALENDAR**

### **A. APPROVAL OF COMMISSION DRAFT MINUTES:**

**AUGUST 23, 2017**

### **B. RECEIVE AND FILE:**

#### **1. ICTC MANAGEMENT COMMITTEE DRAFT MINUTES:**

**SEPTEMBER 20, 2017**

**IMPERIAL COUNTY TRANSPORTATION COMMISSION****DRAFT MINUTES FOR AUGUST 23, 2017****6:00 PM****VOTING MEMBERS PRESENT:**

City of Calipatria	Maria Nava-Froelich (Chair)
City of Calexico	Bill Hodge
City of El Centro	Alex Cardenas (Alt.)
City of Holtville	James Predmore
City of Imperial	Robert Amparano
City of Westmorland	Larry Ritchie
County of Imperial	Luis Plancarte (Vice-Chair)
County of Imperial	Ryan Kelley
Imperial Irrigation District	Erik Ortega

**NON-VOTING MEMBERS PRESENT:**

Caltrans District 11	Ann Fox
----------------------	---------

**STAFF PRESENT:** Mark Baza, Kathi Williams, Virginia Mendoza, Michelle Bastidas, Vicky Hernandez

**OTHERS PRESENT:** David Salgado: SCAG; AJ Gaddis: City of Imperial; Jesus Vargas, Marcelo Peinado: Caltrans; Eric Havens: County of Imperial; Eric Estell, Helio Sanchez

The following action minutes are listed as they were acted upon by the Imperial County Transportation Commission and as listed on the agenda for the meeting held Wednesday August 23, 2017 together with staff reports and related documents attached thereto and incorporated therein by reference.

**I. CALL TO ORDER AND ROLL CALL**

**Chair Nava-Froelich** called the Commission meeting to order at 6:18 p.m. Roll call was taken and a quorum was present.

**II. EMERGENCY ITEMS**

There were none.

**III. PUBLIC COMMENTS**

There were none.

**IV. CLOSED SESSION**

A. Motion to Adjourn to Closed Session: **Cardenas/Hodge** *Motion Carried.* 6:20 p.m.

B. CONFERENCE WITH REAL PROPERTY NEGOTIATORS (Government Code § 54956.8)

i. Property: 792 E. Ross Road, El Centro, CA, Assessor's Parcel Number #051-310-027-000.

Use: Bus Parking / Storage

Agency negotiator: Mark Baza

Negotiating parties: Ed C. and Mary C. Mealey

Instructions to negotiator will concern price, terms of payment.

ii. Property: 1448 Main Street, El Centro, CA Assessor's Parcel Number # 053-081-013

Use: Office Space

Agency negotiator: Mark Baza  
 Negotiating parties: Quan & Woo Investment Company, LLC  
 Instructions to negotiator will concern price, terms of payment.

- C. PUBLIC EMPLOYEE PERFORMANCE EVALUATION (Government Code § 54957)  
 Title: ICTC Executive Director
- D. Announcement of Closed Session Action(s)  
 At 6:45 p.m., ICTC Counsel reported out.  
 On items B i and ii, *direction was given and no final action was taken.*  
 On item C, *direction was given and no final action was taken.*

## V. CONSENT CALENDAR

- A. Approved ICTC Board Draft Minutes: July 26, 2017
- B. Received and Filed:
1. ICTC Management Committee Draft Minutes: August 9, 2017
  2. ICTC TAC Committee Draft Minutes: July 27, 2017
- C. Extension of Contract for the Coordination of Public Dial-a-Ride Paratransit Services – *IVT RIDE Public Outreach, Branding and Marketing*
1. Authorized the Chairman to sign the amendment extension for one year, FY 2017-18, for the continuation of the IVT RIDE Public Outreach, Branding and Marketing Consultant Agreement with the firm of Spectrum Advertising, for the not to exceed fee of \$31,700, effective July 1, 2017 through June 30, 2018.

A motion was made by [Kelley](#) and seconded by [Hodge](#) to approve the consent calendar,  
**Motion carried unanimously.**

## VI. REPORTS

- A. ICTC Executive Director  
 Mr. Baza had the following announcements:
- ICTC staff is developing a Request for Proposals (RFP) for release on September 1, 2017 to complete an update to the 2011 Short Range Transit Plan (SRTP). This is a planning document that identifies transit services and capital improvements over the next three to five year period, with expected available resources. The project unfolds over an approximately 12 month period. The goal is to have an updated report with bilingual public participation. Special Planning Emphasis Areas anticipated in the report include but are not limited to:
    - o A review of transit service options on the West side of the Salton Sea
    - o of IVT RIDE into other member agencies' service areas
    - o Expansion of the IVT Blue, Green and Gold lines for Saturday and Sunday services
    - o Review of the proposed intra-city circulators in the Cities of Calexico and Imperial
    - o Review of yet to be implemented recommendations in prior 2011 SRTP for continued applicability
    - o The project budget is established in the FY 2017-18 ICTC Overall Work Plan and Budget.
  - An update regarding State Route (SR) 86 (Northbound) Border Patrol Checkpoint project was provided by Mr. Baza. He stated that a funding request will be on the LTA agenda in September.
  - A complete list of ICTC updates can be found on Page 25 of the agenda.

- B. Southern California Association of Governments (SCAG)  
Mr. Salgado had the following announcements:
- The SCAG 2017 Active Transportation Program (ATP) Supplemental Call for Projects has a deadline to submit on August 31, 2017.
  - SCAG has set the date of November 9, 2017 for a joint Economic and Housing Summit. SCAG will go dark in January to facilitate an agency move from the downtown offices to a new facility.
  - Mr. Salgado requested that agencies participate in the Open Data/Big Data – Smart and Connected SCAG Region Survey and Committee. The survey will dictate how the committee moves forward. The committee will be comprised of comprises elected officials, university partners, private sector interests, and other regional stakeholders in an effort to support local agencies in developing capacity around big and open data. The survey was sent August 15, 2017 and will be open until September 8, 2017, so that staff can report back preliminary findings at the September Committee meeting.
  - A second round of “GO-Human” advertising is underway. The “GO-Human” Campaign is an ATP Cycle 1 Grant funded program designed and developed to be utilized by all stakeholders and partners in the region to bring heightened awareness to pedestrian and bicycle safety as well as driver safety through a robust marketing and advertising campaign. ICTC has collaborated to include “Go-Human” advertising on their transit buses in order to promote safe walking and bicycling. Other Imperial County agencies and Cities will receive yard signs and other promo materials. Please feel free to contact David Salgado if interested.
  - Earthquake resiliency program will be holding workshops in the SCAG regions. Please contact David Salgado for more information.
  - The Goods Movement Study has been adopted and should be on the SCAG website.
  - A full SCAG report can be found on page 35.
- C. California Department of Transportation (Caltrans)  
Ms. Fox had the following updates:
- The I-8 Project, segments 1 and 2 will be completed in September ahead of schedule. Completion of the entire project is scheduled for 2019.
  - The I-8/Dogwood Road Landscape project will be completed in mid-October.
  - Beginning July 18, 2017, SR 98 will be closed from VV Williams Ave. to Cesar Chavez Blvd. in Calexico until the end of September. The entire project will be completed in January 2018.
  - A full Caltrans report can be found on page 38 of the agenda.
- D. Commission Member Reports
- Commissioners had various announcements regarding their communities.

## VII. ACTION CALENDAR

- A. ICTC Overall Work Program (OWP) and Budget FY 2017-18, Amendment #1

The ICTC Management Committee met on August 9, 2017 and forwarded this item to the Commission for review and approval after public comment, if any:

1. Approved the FY 2017-18 Overall Work Program and Transit Finance Plan Budget, Amendment #1

A motion was made by [Amparano](#) and seconded by [Plancarte](#), **Motion carried unanimously.**

B. IVT MedTrans Budget Adjustment for FY 2016-17

The ICTC Management Committee met on August 9, 2017 and forwarded this item to the Commission for review and approval after public comment, if any:

1. Approved the IVT MedTrans Budget Adjustment for FY 2016-17

A motion was made by [Kelley](#) and seconded by [Amparano](#), **Motion carried unanimously.**

C. Authorization for the Examination of Sales or Transaction Use Tax Records

The ICTC Management Committee met on August 9, 2017 and forwarded this item to the Commission for review and approval after public comment, if any:

1. Authorized the Chairman to sign attached agreement and resolution authorizing MuniServices, LLC to examine ICTC's Sales or Transactions and Use Tax Records

A motion was made by [Predmore](#) and seconded by [Kelley](#), **Motion carried unanimously.**

## VIII. INFORMATION / DISCUSSION CALENDAR

A. Senate Bill 1 Program Updates

The California Transportation Commission (CTC) has provided updates as it relates to Senate Bill 1(SB 1). Beginning November 1, 2017, the State Controller (Controller) will deposit various portions of this new funding into the newly created Road Maintenance and Rehabilitation Account (RMRA). The State of California imposes per-gallon excise taxes on gasoline and diesel fuel, sales taxes on diesel fuel, and registration taxes on motor vehicles and dedicates these revenues to transportation purposes. Portions of these revenues flow to cities and counties through the Highway Users Tax Account (HUTA) and the newly established RMRA created by SB 1. It is estimated that cities and counties would begin to receive RMRA revenues in January 2018.

The Local Streets and Roads Program and Local Partnership Program are two (2) separate programs supported under RMRA funding. It is important to distinguish that RMRA funding is in addition to HUTA funds. The following is a summary of important SB 1 Program information for the Local Streets and Roads Program and Local Partnership Program. ***Cities and counties should pay special attention to the Local Streets and Roads Program that requires a Council/Board approved project list in addition to a budget amendment, refer to the summary listed below for details on estimates, deadlines and requirements.***

### **Local Streets and Roads Program (LSRP)**

1. Program Guidelines will be adopted at the August 16-17 CTC meeting.
2. Cities and Counties list is due to CTC by October 16, 2017.
  - a. Project list and estimated LSRP funding revenues should be included as part of Cities and Counties budgets.
  - b. Cities and Counties should make these amendment during their scheduled Council/Board meetings in the month of September in order to meet the October 16<sup>th</sup> CTC deadline.
  - c. For the initial submittal of project lists in 2017, cities and counties are required to use the standard form available in the Final Reporting Guidelines – available after August 16-17 on CTC website: <http://catc.ca.gov/programs/SB1.html>



- d. Per section V-15 of the Program Reporting Guidelines, cities and counties that fail to comply with Project Expenditure Reporting and Auditing will be subject to reimburse the state and funds will be reapportioned to other counties or cities whose expenditures are in compliance.
- 3. Cities and the County must prepare a project list based on the RMRA amounts listed below. Per CTC staff, the Local Streets and Roads Program list of projects must be submitted to the CTC by October 16<sup>th</sup> using RMRA funds (in combination with other funds as applicable). The RMRA FY2017-18 estimates below come from the California League of Cities and the California State Association of Counties.

Agency	RMRA Amount FY 2017/2018
Brawley	\$150,100
Calexico	\$227,196
Calipatria	\$43,534
El Centro	\$255,215
Holtville	\$34,426
Imperial	\$102,634
Westmorland	\$12,747
County of Imperial	\$2,656,079
<b>TOTAL</b>	<b>\$3,481,931*</b>

*\*City estimate source is from California League of Cities –*  
[FY 17-18 HUTA and RMRA Funding Estimates](http://www.ca.gov/files/2017/08/18_huta_and_sb_1_revenue_estimates_041317_0.pdf)

*\*County estimate source is from California State Association of Counties –*  
[http://www.counties.org/sites/main/files/file-attachments/fy\\_2017-18\\_huta\\_and\\_sb\\_1\\_revenue\\_estimates\\_041317\\_0.pdf](http://www.counties.org/sites/main/files/file-attachments/fy_2017-18_huta_and_sb_1_revenue_estimates_041317_0.pdf)

**Important dates to consider for LSRP:**

- 1. **August 11, 2017** – “Implementing SB 1 – What Cities and Counties Need to Know” Webinar co-hosted by League of California. For more information see attached flyer.
- 2. **August – September 2017** – Approve project list and amended budget for Local Streets and Roads Program.
- 3. **October 16, 2017** – Submit Project List for Local Streets and Roads Program to CTC

**Local Partnership Program (LPP)**

The other program that cities and counties need to keep in mind is the Local Partnership Program (LPP). In fiscal year 2017-2018, this program has an estimated \$200 million annual revenue of which \$100 million would be distributed via formula and \$100 million would be competitive. Unlike the prior program, there are no estimates estimated for the formula funds of the program. The draft program guidelines for this program are scheduled to be released on August 16-17, 2017. Adoption of the guidelines is anticipated for October 18-19, 2017.

This item is for informational purposes only and no action is required at this time.

**IX. NEXT MEETING DATE AND PLACE**

- A. The next meeting of the Imperial County Transportation Commission will be held on **Wednesday, September 27, 2017 at 6:00 p.m.**, at the County of Imperial Board Chambers, at 940 W. Main Street, El Centro, CA.

**X. ADJOURNMENT**

Meeting adjourned at 8:52 p.m. ([Hodge/Kelley](#)) **Motion Carried.**

**IMPERIAL COUNTY TRANSPORTATION COMMISSION  
MANAGEMENT COMMITTEE**

**DRAFT** MINUTES OF SEPTEMBER 20, 2017

**10:00 a.m.**

---

**VOTING MEMBERS PRESENT:**

City of Brawley	Rosanna Bayon Moore
City of Calexico	Armando Villa
City of Calipatria	Rom Medina (Chair)
City of El Centro	Marcela Piedra
City of Holtville	Nick Wells
City of Imperial	Stefan Chatwin
County of Imperial	Joe Picazo
County of Imperial	John Gay

**STAFF PRESENT:** Mark Baza, Kathi Williams, Virginia Mendoza, David Aguirre, Guillermo Gonzalez, Cristi Lerma

**OTHERS PRESENT:** David Salgado: SCAG; Jesus Vargas: Caltrans; Derek Wong (telephone): Consultant

---

The following minutes are listed as they were acted upon by the Imperial County Transportation Commission Management Committee and as listed on the agenda for the meeting held Wednesday, September 20, 2017 together with staff reports and related documents attached thereto and incorporated therein by reference.

**I. CALL TO ORDER AND ROLL CALL**

Chair Medina called the Committee meeting to order at 10:44 a.m. Roll call was taken. Introductions were made.

**II. EMERGENCY ITEMS**

A. There were none.

**III. PUBLIC COMMENTS**

Mr. Picazo stated that the County of Imperial would like to obtain support for a cargo airport. He stated that the County will be conducting a study that will look at the possibility of acquiring more airspace. A presentation will be taking place at next month's meeting.

**IV. CONSENT ITEMS**

A motion was made by Wells seconded by Picazo to approve consent items 4A-B. **Motion carried** unanimously.

- A. Approved ICTC Management Committee Minutes for August 9, 2017
- B. Received and filed:
  - 1. ICTC Board Draft Minutes for August 23, 2017

**V. REPORTS**

- A. ICTC Executive Director
  - A list of ICTC updates can be found on Page 17 of the agenda.

- B. Southern California Association of Governments (SCAG)
  - A list of SCAG updates can be found on Page 33 of the agenda.
- C. Caltrans Department of Transportation – District 11
  - A full report is on page 40 of the agenda.
- D. Committee Member Reports
  - There were none.

## VI. ACTION CALENDAR

- A. Tri-ennial Performance Audit of the Administration/Management of the Imperial County Transportation Commission – FY 2013-14, 2014-15, 2015-16

This item was presented by Ms. Williams and Mr. Derek Wong and referred to page 51 of the agenda.

It was requested that the ICTC Management Committee forward this item to the Commission for review and approval after public comment, if any:

1. Approve the FY 2013-14, 2014-15, 2015-16 Tri-ennial Performance Audit of the Imperial County Transportation Commission.
2. Direct staff to forward the FY 2013-14, 2014-15, 2015-16 Tri-ennial Performance Audit of the Imperial County Transportation Commission to Caltrans.

A motion was made by [Chatwin](#) seconded by [Bayon Moore](#), **Motion carried** unanimously.

- B. The Passenger Statistical Summary (PSS) Project for FY 2016-17 for Imperial Valley Transit (IVT)

This item was presented by Mr. Aguirre and referred to page 116 of the agenda.

It was requested that the ICTC Management Committee forward this item to the Commission for review and approval after public comment, if any:

1. Approve the Passenger Statistical Sampling Project for FY 2016-17.
2. Direct staff to forward the report for inclusion in the National Transit Database (NTD)

A motion was made by [Chatwin](#) seconded by [Wells](#), **Motion carried** unanimously.

## VII. LTA ACTION CALENDAR

- A. Fund Request to the Local Transportation Authority (LTA) – State Route 86 (Northbound) Border Patrol Checkpoint

This item was presented by Mr. Baza and referred to page 166 of the agenda.

It was requested that the ICTC Management Committee forward this item to the LTA Board for review and approval after public comment, if any:

1. Approve the allocation for funding needed in the amount of \$1.3 Million for expansion of the SR 86 (Northbound) Border Patrol Checkpoint, from the LTA 5% Regional Highway Set-Aside from the Measure D allocations; and,
2. Authorize the Executive Director to execute the necessary agreements between Caltrans, the Imperial County Local Transportation Authority, and Customs and Border Protection.

A motion was made by [Bayon Moore](#) seconded by [Villa](#), **Motion carried** unanimously.

#### **VIII. NEXT MEETING DATE AND PLACE**

The next meeting of the **Management Committee** will be held on **October 11, 2017** at the **City of Westmorland**, Westmorland, CA.

#### **IX. ADJOURNMENT**

- A. Meeting adjourned at 12:17 p.m.

# **V. REPORTS**

- A. ICTC EXECUTIVE DIRECTOR REPORT
- B. SOUTHERN CALIFORNIA ASSOCIATION OF  
GOVERNMENTS
- C. CALTRANS - DISTRICT 11



1405 N IMPERIAL AVE SUITE 1  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4497

## Memorandum

**Date:** August 1, 2017  
**To:** ICTC Commission Meeting  
**From:** Mark Baza, Executive Director  
**Re:** Executive Director's Report

---

The following is a summary of the Executive Director's Report for the Commission Meeting on September 27, 2017.

- 1) **I-8 / Imperial Avenue Interchange Reconstruction:** On August 25, 2017, ICTC staff met with Caltrans District 11 staff to discuss the updated project details. The proposed project schedule will not be accelerated due to right of way delays. Caltrans staff recommends that the I-8 / Imperial Avenue project schedule for FY 2019/20 for construction. ICTC staff will continue to work with Caltrans staff to submit the 2018 State Transportation Improvement Plan by December 8, 2017.
- 2) **Update to the 2011 Short Range Transit Plan (SRTP) Request for Proposals:** ICTC staff is developing a Request for Proposals (RFP) for release on September 1, 2017 to complete an update to the 2011 Short Range Transit Plan (SRTP). This is a planning document that identifies transit services and capital improvements over the next three to five year period, with expected available resources. The project unfolds over an approximately 12 month period. The goal is to have an updated report with bilingual public participation. Special Planning Emphasis Areas anticipated in the report include but are not limited to:
  - a) A review of transit service options on the West side of the Salton Sea
  - b) Expansion of IVT RIDE into other member agencies' service areas
  - c) Expansion of the IVT Blue, Green and Gold lines for Saturday and Sunday services
  - d) Review of the proposed intra-city circulators in the Cities of Calexico and Imperial
  - e) Review of yet to be implemented recommendations in prior 2011 SRTP for continued applicabilityThe project budget is established in the FY 2017-18 ICTC Overall Work Plan and Budget. A non-mandatory pre-bid meeting will be held on September 22, 2017 at the ICTC offices.
- 3) **SCAG's Sustainability Grant Program – Imperial County Regional Climate Action Plan:** ICTC was awarded a SCAG Sustainable Planning Grant to develop a Regional Climate Action Plan. ICTC staff will work in collaboration with SCAG staff to develop and release a request for proposal to select a consultant that will develop the Regional Climate Action Plan. ICTC will serve as the day to day project manager and SCAG staff will serve as the administrative project manager. The goal of the project is to develop a regional framework for addressing Green House Gas (GHG) emissions for a Regional Climate Action Plan that allows each local agency to customize and fit into the context of the community each jurisdiction serves, that can be used at the local level in the development of jurisdiction – specific Climate Action Plans (CAPs). ICTC staff is currently finalizing the scope of work language in collaboration with SCAG staff and plans to release a request for proposal at the end of 2017.

- 4) **Calexico West Port of Entry Traffic Management Study:** Caltrans authorized a special planning grant to perform a traffic management study to assist the City of Calexico and the Imperial Valley region to analyze and propose traffic management strategies and alternatives to serve traffic flow for the Calexico West Port of Entry expansion. The expansion will have two access points: One, from current access at SR-111/Imperial Ave.; and, a Second at Cesar Chavez Blvd and 2<sup>nd</sup> St. SCAG, Caltrans and ICTC will lead study in partnership with the City of Calexico, Customs and Border Protection and General Services Administration. The study is expected to proceed with a Request for Proposals in November 2017.
- 5) **Imperial Mexicali Binational Alliance Meeting:** The next meeting is scheduled for October 5, 2017 at the Carmen Durazo Cultural Arts Center in the City of Calexico.
- 6) **State Legislation for Transportation Funding – SB 1:** On August 24<sup>th</sup> ICTC staff hosted a TAC workgroup to discuss the upcoming expected actions to be undertaken by cities and county. The workshop discussed the Local Streets and Roads Program and the Local Partnership Program. Representatives from the cities and county were recommended to focus on the upcoming deadlines under the Local Streets and Roads Program. An estimate of Local Streets and Roads Program revenues were provided during the workshop. The estimates per agency included FY2017/2018 and FY2018/2019 Local Streets and Roads Program revenues. All cities and the county are responsible to submit a project list and an amended budget for FY2017/2018 to the California Transportation Commission (CTC) by October 16, 2017.

The following provides an overview of the overall funding available. SB 1 was passed by the legislature and signed by the Governor. SB 1 provides new funding for transportation purposes, with investments fix-it-first purposes on local streets and roads, highways, transit operations and maintenance, capital investments, and active transportation. Over the next 10 years it is estimated SB 1 will provide \$52.4 billion for transportation purposes. The CTC is in the process of preparing guidelines for several programs that are part of SB 1. The programs include: State Highway Operation and Protection; Local Streets and Roads Program; Trade Corridor Enhancement Account; Active Transportation Program; Solutions for Congested Corridors Program; and Local Partnership Program.

Agencies will need to pay attention early to requirements that may impact your agency's budget process. Funding provided under the SB 1 Road Maintenance and Rehabilitation Account (RMRA) for local streets and roads will be distributed to the cities and county based on the same formula as the Highway User Tax Account distribution. SB 1 also outlines a role for the CTC in the funding of projects. In order to receive an agency's formula share of the RMRA funds, the agency is required to submit a list of budgeted projects (having projects listed in CIPs is not sufficient) and ensure that its maintenance of effort is consistent with general fund expenditures as reported through the State Controller's office report for fiscal years 2010 through 2012. Both of these requirements pertain to the adoption of your local agency's 2017-18 budget. The list of potential projects submitted to the CTC must be included as SB1 funded in your agency's adopted annual budget. Agencies are recommended to consider SB 1 related requirement when working on their FY 2017-18 budget. Agency budgets should include potential projects that may be funded through the SB1 RMRA formula program and to also consider the new maintenance of effort requirement.

The CTC has indicated that for fiscal year 2017/2018, cities and counties should use the estimates prepared by the League of Cities and the State Association of Counties. The CTC has indicated that following the submittal of the budgeted list of projects, the local agency would have flexibility to administratively update or change the project list, but must report on SB1 expenditures on projects.

In developing local agency project specific lists, consideration should be made to Pavement Condition Index (PCI) of less than 80 based on the CSAC Statewide Streets and Roads Needs Assessment from 2016; agencies will be limited to road maintenance/rehabilitation, safety, railroad grade separation, complete street and traffic control device projects.

\$1.5 Billion annually will go to cities and counties for local road improvements. The following are projected annual revenues for the Cities and the County of Imperial.

<b>Agency</b>	<b>RMRA Amount FY 2017/2018</b>
Brawley	\$150,100
Calexico	\$227,196
Calipatria	\$43,534
El Centro	\$255,215
Holtville	\$34,426
Imperial	\$102,634
Westmorland	\$12,747
County of Imperial	\$2,656,079
<b>TOTAL</b>	<b>\$3,481,931*</b>

\*City estimate source is from California League of Cities - [FY 17-18 HUTA and RMRA Funding Estimates](#)

\*County estimate source is from California State Association of Counties - [http://www.counties.org/sites/main/files/file-attachments/fy\\_2017-18\\_huta\\_and\\_sb\\_1\\_revenue\\_estimates\\_041317\\_0.pdf](http://www.counties.org/sites/main/files/file-attachments/fy_2017-18_huta_and_sb_1_revenue_estimates_041317_0.pdf)

Staff recommends the Cities and the County to incorporate these estimates in your budget amendments and develop your prioritized list of specific projects and improvements that can be submitted to the CTC at the end of 2017.

CTC staff will be conducting SB 1 Program workshops throughout the state. ICTC staff plans to participate in the workshops and provide pertinent information with Imperial County member agencies. For more details of the SB 1 Programs Implementation Schedule, refer to the following link:

[http://www.catc.ca.gov/programs/SB\\_1/CTC\\_SB1\\_Implementation\\_Overview\\_Revised\\_080217.pdf](http://www.catc.ca.gov/programs/SB_1/CTC_SB1_Implementation_Overview_Revised_080217.pdf)

During the CTC meeting of August 16<sup>th</sup> and 17<sup>th</sup> the Local Streets and Roads Program guidelines were approved, refer to the following link:

[http://www.catc.ca.gov/programs/SB\\_1/081717\\_Final\\_LSR\\_Program\\_Reporting\\_Guidelines.pdf](http://www.catc.ca.gov/programs/SB_1/081717_Final_LSR_Program_Reporting_Guidelines.pdf) In addition,

the CTC also released the draft guidelines for the Local Partnership Program, refer to the following link:

[http://www.catc.ca.gov/programs/SB\\_1/LPP\\_Guidelines\\_Rev\\_081017.pdf](http://www.catc.ca.gov/programs/SB_1/LPP_Guidelines_Rev_081017.pdf)

- 7) **California HERO Program:** The California Hero Program was launched in April 2014 in Imperial County with ICTC as the administering agency. Attached is a copy of the program activity report for August 2017. Also attached is a fact sheet regarding two state bills SB 242 and AB 1284. AB 1284 was passed at the close of last week's session. These bills provide a suite of consumer protections and enforcement tools, and create a new regulatory framework under the California Department of Business Oversight. These bills ensure that all PACE providers follow all procedures as our own Hero PACE Program.
- 8) **Caltrans Adams Avenue Site:** For the proposed acquisition, ICTC staff and consultant team have initiated the first phase of the feasibility analysis. Phase I of the feasibility analysis is scheduled to be completed in late September 2017.
- 9) **State Route 86 (Northbound) Border Patrol Checkpoint:** ICTC initiated discussions with management and staff with Customs and Border Protections (CBP) Border Patrol regarding the potential to add a second inspection lane at this very busy checkpoint. Since July 2016, ICTC has been meeting (July 16<sup>th</sup>, October 24<sup>th</sup>, and December 20<sup>th</sup>) with Border Patrol, Caltrans and the County of Imperial to determine feasibility, costs and funding of required improvements within Caltrans and Border Patrol right-of-way. A goal of the meetings was to identify a streamlined feasible option for possible funding from the Measure D Regional Highway Set-aside fund since there are no current funds available in the foreseeable future. In August 2017, Caltrans, the County of Imperial and ICTC met with CBP management and operations staff to review the new conceptual alternative prepared by Caltrans. ICTC staff has prepared a proposal for the LTA Board and will be on the ICTC Management Committee agenda on September 20, 2017 and on the LTA Board agenda on September 27, 2017.
- 10) **Calexico East Commercial Vehicle Port of Entry Expansion Project:** ICTC submitted the Calexico East Commercial Vehicle Port of Entry Expansion Project under the California Sustainable Freight Action Plan: Pilot Project Ideas. The project is a proposed public-private partnership for the construction costs of the freight



elements of the Calexico East Expansion that include: bridge expansion, commercial vehicle primary inspection booths and road construction totaling \$30 million. ICTC is pursuing discretionary freight program funding for the bridge expansions and Intelligent Transportation System (ITS) technologies for a total cost of \$35 million. Pending the possible funds for the bridge expansion, ICTC is pursuing a donation authority request to U.S. Customs and Border Protection. ICTC will also be pursuing a TIGER Grant for the bridge expansion.

- 11) **Active Transportation Program (ATP) Augmentation Planning Grant Opportunity:** As a part of Senate Bill (SB) 1, the 2017 Active Transportation Program (ATP) Augmentation is funded from the approximately \$200 million allocated from the Road Maintenance and Rehabilitation Account to the ATP in fiscal years 2017-18 and 2018-19. The Road Maintenance and Rehabilitation Account funds are state funds. Therefore, projects funded in the 2017 ATP Augmentation do not need to be federal-aid eligible. The initial programming capacity for the 2017 ATP Augmentation program is in fiscal years 2017-18 and 2018-19. Some fiscal year 2019-20 and 2020-21 programming capacity may become available as previously programmed projects request advancement into fiscal years 2017-18 and 2018-19.

The call for projects has opened on June 30, 2017 and applications are due by August 31, 2017. Project eligibility will be restricted to the following:

- Projects programmed in the adopted 2017 ATP that can be delivered earlier than currently programmed
- Projects that applied for funding in the 2017 ATP but were not selected for funding
- Under the Metropolitan Planning Organization (MPO) component, SCAG will accept *New Planning Projects* from agencies that have *NOT* been awarded ATP funds in prior cycles. For Imperial Valley, all agencies are eligible for this opportunity with the exception of: City of Westmorland, City of El Centro, and County of Imperial.

For a complete copy of the ATP Augmentation guidelines, refer to the following link: [http://www.catc.ca.gov/programs/ATP/2017/Final\\_2017\\_ATP\\_Augmentation\\_Guidelines.pdf](http://www.catc.ca.gov/programs/ATP/2017/Final_2017_ATP_Augmentation_Guidelines.pdf)

- 12) **Preparation of FTIP 2019:** The 2019 Federal Transportation Improvement Program (FTIP) Guidelines have been prepared to facilitate the work of the County Transportation Commissions (CTCs) (Imperial, Los Angeles, Orange, Riverside, San Bernardino and Ventura Counties), transit operators, and the State of California Department of Transportation Caltrans) in development of county Transportation Improvement Programs (TIPs) for inclusion in the Southern California Association of Governments (SCAG) 2019 FTIP. These Guidelines assist in the development of the county TIPs that fulfill the legal, administrative and technical requirements prescribed by the law and which minimizes duplicate efforts by the CTCs, Caltrans, SCAG and/or other agencies.

ICTC staff will reach out to cities and county staff to obtain project updates on all programmed 2019 FTIP projects. ICTC staff will work with cities and county staff to meet the 2019 FTIP submittal to SCAG.

13) **Partnerships with IVEDC:**

- a. Southern Border Broadband Consortium: ICTC in partnership with IVEDC received a California Advanced Services Regional Consortia Grant award of \$450,000 from their Rural and Regional Consortia program. The grant will cover a 3-year period. ICTC will be the fiscal agent and is working on developing an MOU which will define roles and responsibilities (Audits, Administration and Project Management) for ICTC and IVEDC. The MOU will be brought forth to the Commission for review and approval in late summer. For Imperial Valley, the project will evaluate broadband needs for our disadvantaged communities and identify opportunities to increase broadband availability.
- b. The Brawley Transit Corridor Brownfield Assessment: ICTC in partnership with IVEDC received a Brownfields Communitywide Assessment Grant award of \$300,000 from the Environmental Protection Agency's Brownfields Assessment Program. This assessment will be focused along the transit circulator route within the 13 mile Imperial Valley Transit's (IVTs) Brawley Gold Line Transit Route and the Brawley Transit Center that serves as the IVTs North Imperial County transfer terminal. The commercial corridors in the target assessment area include over 100 known commercial properties and suspected historical gas station sites with known or suspected underground tanks in the target area. ICTC will be the fiscal agent and is working on developing an MOU which will define roles and responsibilities (Audits,

Administration and Project Management) for ICTC and IVEDC. The MOU will be brought forth to the Commission for review and approval in late summer/early fall. The project will evaluate and prioritize properties for remediation with cost estimates. This will create opportunities for clean-up and remediation grants.

It is expected that the MOU's for both projects will be on the October agenda.

- 14) **Westshores Transit Opportunities:** In Preparation for the Short Range Transit Plan, staff is exploring transit connection opportunities with Sunline Transit that serves the Coachella Valley region, and pursuing grant opportunities for interregional transit services to/from Westshores and Coachella. Together we will be pursuing available grant opportunities to provide service connections. Update - On Friday, May 19, 2017, ICTC and IVT RIDE staff held a 2nd transit service outreach at the Imperial Valley Food Bank's distribution site in Westshores from 7:30 am – 9:30 am. ICTC staff met with SunLine staff in Palm Springs on June 2, 2017 to continue dialogue for potential opportunities.
- 15) **IVT RIDE:** ICTC and transit operator staff have started an evaluation and review process of the performance data for the first three years of operations. The review will focus primarily on the Brawley, Calexico, Imperial and Westshores areas, as the City of El Centro service did not begin until July 1, 2016. The Paratransit Coordinating Committee (PCC) met on March 13 to develop recommendations for service adjustments. Service adjustments are under development.
- 16) **RSTP, CMAQ Obligation and Repurposed Earmarks:** The table below is a list of all FY 2016-2017 Congestion Mitigation Air Quality (CMAQ), Regional Surface Transportation Program (RSTP), and Active Transportation Program (ATP) that are pending request for authorization (RFA). For ease of receiving approvals, the local agency RFA's should be submitted to Caltrans Local Assistance in June 2017.

Agency	Fund Type	Project Name	Total Project Cost (in thousands)	Status
Brawley	CMAQ	Paving Wildcat Drive	\$1,008	<i>Request for Authorization (RFA) for Design was submitted in the amount of \$208. Construction costs in the amount of \$800K are programmed for FY2018-2019.</i>
Brawley	Earmark Repurpose	Rio Vista Avenue	\$86	<i>RFA pending</i>
Calexico	CMAQ	Paving of De Las Flores St.	\$466	<i>RFA was submitted, city is pending Caltrans HQ approval of single audit submitted on 3/16/17. Caltrans HQ has not given direction on the audit approval; no federal funds will be processed until audit is approved.</i>
Calipatria	CMAQ & RSTP	Roadway & Pedestrian Improvements on N. Brown St.	\$1,233	<i>Obligation issued 9-16-16</i>
El Centro	CMAQ	Signal Lights Synchronization along Dogwood Ave. & Danenberg Ave.	\$351	<i>Obligated in April</i>
El Centro	ATP	Establish of SR2S Program and Bicycle Route Improvements	\$524	<i>Obligation completed, it's been awarded for design</i>
Holtville	CMAQ & RSTP	9 <sup>th</sup> St. from Palm Ave. to Olive Ave.	\$633	<i>Obligation for ROW issued 12-27-16, RFA for CON was submitted July 2017</i>

Holtville	CMAQ & RSTP & EAR-Repurpose	6 <sup>th</sup> Street Pavement	\$682	<i>RFA for CON was submitted on January 24, 2017, pending obligation</i>
Imperial City	RSTP	Dogwood Road Pavement from Aten Rd. to Southeast City Limits	\$302	<i>RFA submitted on May 18<sup>th</sup></i>
Imperial County	RSTP	Dogwood Road Pavement between El Centro City Limits to Imperial City Limits	\$2,335	<i>RFA expected to be submitted end of July 2017.</i>
Imperial County	ATP	Pedestrian Master Plan	\$100	<i>RFA expected to be submitted end of July 2017.</i>
Imperial County	CMAQ	Pedestrian and Bicycle improvements along Rio Vista Street from San Diego Avenue to Holt Avenue in Seeley	\$1,119	<i>RFA expected to be submitted end of July 2017.</i>
Imperial County	CMAQ	Pedestrian and Bicycle improvements along Rio Vista Street from Holt Avenue to Heil Avenue in Seeley	\$237	<i>RFA expected to be submitted end of July 2017.</i>
Imperial County	Earmark Repurpose	Sidewalks on various sites in Heber	\$1,017	<i>RFA pending</i>
Imperial County	Earmark Repurpose	IV Desert Museum easement access	\$719	<i>RFA pending</i>
Westmorland	CMAQ	Paving H Street and 8 <sup>th</sup> Street	\$429	<i>RFA was submitted on 4/26/17 and is pending E-76.</i>
ICTC	CMAQ	Design of New Intermodal Transportation Center in the City of Calexico	\$559	<i>E-76 was issued on 8/14/17</i>
ICTC	Earmark Repurpose	SR98 Rockwood Ave to Ollie Ave	\$3,595	<i>RFA pending</i>
SDSU	Earmark Repurpose	Parking lot improvement SDSU Brawley campus	\$719	<i>RFA pending</i>
		<b>Subtotal</b>	<b>\$16,114</b>	

17) **Critical Rural Freight Corridors (CRFC) and Critical Urban Freight Corridors (CUFC):** The Southern California Association of Government (SCAG) requested a CRFC and CUFC project nomination list from all Regional Transportation Planning Agency (RTPA). On January 10, 2017, ICTC reviewed the regional project list and submitted the following projects to SCAG:

<b>Project Description</b>	<b>Designation &amp; Cost</b>
<b>Widen bridge over the All American Canal at the Calexico East POE:</b> Widen of bridge over the All American Canal to six lanes at the Calexico East Port of Entry	CRFC (\$30M)
<b>Intelligent Transportation Systems (ITS) Implementation at Calexico East POE:</b> Install border wait-time monitoring systems, radio frequency identification (RFID)/Bluetooth technology, and advanced traveler information systems	CRFC (\$3M)
<b>SR-98 widening from VV Williams Avenue to Rockwood Avenue:</b> Widen SR-98 from 4 to 6 lanes from VV Williams Avenue to Rockwood Avenue	CUFC (\$10M)
<b>Forrester Road Corridor:</b> Forrester Road bridge over the New River reconstruction, roadway realignment and operational improvements	CRFC (\$20M)
<b>Menvielle Road Widening:</b> Widen Menvielle Road from 2 to 4 lanes between Carr Road to SR-98	CRFC (\$4.4M)

- 18) **Regional Mobility Hubs Strategy for Imperial and San Diego:** This project funded by Caltrans will develop a Regional Mobility Hubs Implementation Plan for San Diego County and Imperial Valley. This project is led by SANDAG in collaboration with ICTC. The focus of the plan will be to develop recommended improvements, conceptual designs, and implementation strategies for different mobility hub station place types for both regions. Mobility hubs can help maximize the capital investment in transit services and support the emphasis on smart growth and transit-oriented development.

The Consultant has completed draft Mobility Hub Concept Designs for the intermodal facilities in the City of Brawley, Imperial Valley College and the City of El Centro. The consultant team has completed the contract work and SANDAG project team will be submitting the final report to ICTC and Caltrans by June 30, 2017. SANDAG project team is refining document design and using non-grant funding to carry out professional copyediting services on all public-facing documents. The final deliverables will be posted online Fall 2017. Virginia Mendoza, Project Manager

- 19) **Community of Niland Bus Stop Bench and Shelter Request:** The ICTC submitted a formal request to the California Department of Transportation (Caltrans) District 11 requesting their assistance in identifying a location for a bus stop bench and shelter in the Community of Niland along State Route 111 (SR-111). Caltrans and ICTC are finalizing a preferred location and any improvements necessary for installation of the bench and shelter. Project is in design phase. Construction will begin and completed in late 2017.
- 20) **Heber Bus Stop & Pedestrian Access Improvements on State Route 86:** The community of Heber has had a need to improve pedestrian and bus stop access along State Route 86. The ICTC Commission granted the use of Regional Set-Aside Local Transportation Account (LTA) funds for the project. Caltrans has served as the project lead; the first phase will begin in January and completed February 2017. Phase 2 is scheduled for completion in June/July 2017 and Phase 3 in October/November 2017. Community outreach will be necessary prior to initiating construction in Phase 2 and 3 as road closures and detours will be necessary.
- 21) **2016 Regional Transportation Plan (RTP)/Sustainable Communities Strategy (SCS), Amendment #1:** The Southern California Association of Governments (SCAG) has approved the regional 2016 RTP/SCS that has been accepted by the Air Resource Board. SCAG developed the RTP/SCS in collaboration with ICTC, other County Transportation Commissions, and local governments from the six county Southern California region through a bottoms-up, collaborative process. The RTP/SCS addresses many challenges including projected growth, changing demographics, climate change adaption, housing needs, and transportation demands.

SCAG has opened Amendment 1 of the 2016 RTP/SCS for any changes to existing projects or adding new projects. Projects listed in the RTP/SCS must be of regional significance and increase the road capacity. ICTC has received a request to submit 3 projects as part of Amendment 1. The amendments are necessary to our ability to fund and complete these projects if funding is made available. At their January 5<sup>th</sup> meeting SCAG Regional Council approved the release of the draft amendment for 30 day public review.

Lead Agency	Project Description	Project Type
City of El Centro	Imperial Avenue Extension South – new roadway from I-8 to McCabe Road	New project
County of Imperial	Menvielle Road Widening, from 2 to 4 lanes between Carr Road to SR-98	New project
ICTC	Expansion of the Calexico East Port of Entry – increase Commercial Vehicle Lane inspection lanes and booths from existing 3 to 6 lanes and booths; and widen bridge over the All American Canal	Existing project – amending project timeline

- 22) **Funding for Phase II of the Calexico West Port of Entry Project in the President’s FY17 Budget – Press Release (Summary):** (February 9, 2016) – Rep. Juan Vargas (CA-51) announced the inclusion of \$248 million for the Calexico West Land Port of Entry (LPOE) reconfiguration and expansion project in the Fiscal Year (FY) 2017 budget released today. If approved, the funding would be sufficient to complete the project.” As previously noted, Congress authorized \$98 million for Phase 1. The U.S. General Services Administration

(GSA) began construction for Phase 1 in December 2015 with completion scheduled for March 2018. Phase II funding is pending Congressional approval.

As part of the POE Expansion project, traffic will be rerouted from the existing roadways to SR-98 and Cesar Chavez Boulevard which are not designed to handle the high volumes of traffic associated with the border travel. The City of Calexico is finalizing their right of way acquisition for widening Cesar Chavez Boulevard; however, the city has faced a challenge and will need to amend the project's CEQA document that will result in a 3 to 4 month delay. Caltrans has initiated construction for widening SR-98 for more details on the project, refer to Caltrans report. Caltrans is currently scheduled for completion in March 2018 to coincide with GSA's Phase 1 completion of the Port expansion.

23) **California-Baja California Binational Region:** A Fresh Look at Impacts of Border Delays: Building upon previous Caltrans, SANDAG, and ICTC studies, this project will refine the economic models developed to assess economic impacts of delays at the land ports of entry (POEs) between the San Diego and Imperial Counties region and Baja California, Mexico, on the border region economies. It will also estimate greenhouse gas (GHG) emissions of passenger and commercial vehicles due to northbound and southbound border delays at the six California POEs, and propose strategies to reduce GHG emissions at the border region. Lastly, extensive outreach to government agencies, local border communities, and private sector stakeholders will be conducted. Extensive data collection and modeling work has been conducted on these areas by ICTC, SANDAG and other agencies, this project will build upon that work. The consultant team is completing the development of the survey instrument that will be used in all 6 POEs.

24) **Meetings attended on behalf of ICTC:**

- August 15, 2017 – IVEDC Executive Board and Board of Directors - Strategic Partners Meeting in San Diego (attended by staff)
- August 16-17, 2017 – California Transportation Commission (CTC) Meeting in Oakland (attended by staff)
- August 25, 2017 – 2018 STIP meeting in San Diego (attended by staff)
- August 25, 2017 – SANDAG Border's Committee in San Diego
- September 6, 2017 – SSTAC meeting at the ICTC offices
- September 7, 2017 – SCAG Regional Council in Los Angeles
- September 15, 2017 – FHWA Financial Plan and Project Management Plan Workshop in Los Angeles (attended by staff)
- September 11, 2017 – Caltrans District 11 SB1 Partnership Forum in San Diego
- September 13, 2017 – ICTC Annual Employee Teambuilding
- September 15, 2017 – Regionwide CEO's and County Transportation Commission CEOs/SCAG Meeting(s) in Los Angeles
- September 20, 2017 – ICTC Management Committee Meeting in Imperial.
- September 20, 2017 – City of Calexico City Council Meeting
- September 22, 2017 – SANDAG Border's Committee in San Diego



California HERO Activity Report  
**Imperial County Transportation Commission**  
 Launch Date through August 31, 2017

**Program Activity through August 31, 2017**

Member	Launch Date	Eligible Housing Units *	Total Applications Received	Applications Approved	Approved Amount	Funded Projects	Funded Amount	Jobs Created and/or Retained***	Type of Projects			Solar kW Installed	Annual kWh Saved	Annual CO2 Reduced (Tons)
									Energy	Water	Renewable			
Brawley	5/23/2014	5,590	267	169	\$4,677,891	91	\$1,251,865	11	101	0	35	85	947,090	246
Calexico	3/24/2015	7,374	587	348	\$11,369,925	203	\$2,552,144	22	183	2	90	230	2,301,194	594
Calipatria	3/24/2015	758	10	4	\$102,074	4	\$49,711	0	4	0	0	0	36,617	9
El Centro	5/23/2014	9,250	446	298	\$8,974,817	151	\$2,018,360	17	151	8	48	134	1,626,661	418
Holtville	3/24/2015	1,248	55	40	\$1,066,043	21	\$247,232	2	20	0	8	14	199,932	52
Imperial	6/10/2015	4,622	196	150	\$5,037,989	82	\$1,304,181	11	69	13	41	120	840,113	223
Westmoreland		596	<b>Has not adopted Resolution of Participation</b>											
Imperial County Unincorporated	11/14/2014	9,506	229	141	\$4,550,327	71	\$1,046,045	9	74	3	20	54	730,093	187
<b>Total</b>		<b>38,944</b>	<b>1,790</b>	<b>1,150</b>	<b>\$ 35,779,066</b>	<b>623</b>	<b>\$ 8,469,538</b>	<b>72</b>	<b>602</b>	<b>26</b>	<b>242</b>	<b>636</b>	<b>6,681,699</b>	<b>1,728</b>

\*\* Participation rate based off of funded projects

\*\*\* 1 job for every \$117,000 invested.

## FACT SHEET ON CALIFORNIA SB 242 & AB 1284

### *A Comprehensive Consumer Protection, Underwriting, and Regulatory Framework for Property Assessed Clean Energy*

#### **Importance of PACE**

The realities of both climate and economic change have come into focus more sharply this year than at any time in the past. Responsible public policy solutions must be offered, and those with a record of success, such as Property Assessed Clean Energy (PACE) programs, must be strengthened. With buildings accounting for nearly 40 percent of our greenhouse-gas emissions, we must give property owners strong, scalable tools to spur the adoption of smarter, more efficient building technologies. And with states looking for new tools to address energy and water consumption, create local jobs, and expand the credit box for responsible borrowers, PACE is at a crucial point in its development.

Born in California nine years ago, PACE financing is a state and local government initiative that has been cited by the Lawrence Berkeley National Laboratory as one of the nation's most successful forms of financing home energy and efficiency improvements. PACE has empowered the owners of more than 150,000 homes to make energy, efficiency and resiliency improvements to their property. It's estimated that by spurring demand for contractor services, these improvements have created more than 30,000 local jobs. Over their expected lifetime, PACE-financed improvements to date are projected to save over 1.5 billion kilowatt-hours of electricity, equivalent to powering more than 140,000 homes for a year; save over 10 billion gallons of water, equivalent to the amount needed to fill over 15,000 Olympic-sized swimming pools; and reduce carbon dioxide emissions by over 4 million tons, equivalent to taking more than 760,000 cars off the road for a year.

PACE has bipartisan support because it works, advancing important public policy objectives on a voluntary basis for property owners without the use of government funds. PACE allows homeowners to finance energy- and water-efficient, and renewable energy home improvement projects over the useful life of the product (5, 10, 15, 20, or 25 years) at a fixed interest rate, repaying against a lien on the home as a local property tax line item. With PACE, contractors are paid only after the work is complete and the homeowner has signed off, allowing for PACE providers to have oversight and ability to help resolve workmanship or other contracting issues. This innovative financing solution allows retrofits that make homes more comfortable, efficient, and potentially more valuable.

#### **An Enforceable Consumer Protection Framework for PACE**

PACE is offered in most cases initially through home improvement contractors that provide HVAC, solar, roof, door, window, and other services. Marketing practices, disclosures and other customer support mechanisms have evolved in the market over time as the private sector companies providing PACE and their local government partners have identified gaps and worked to establish consumer protections. Not all private sector PACE programs have been required to have the same protections.



But in September 2016, that began to change, as Governor Jerry Brown signed into law AB 2693, authored by Assembly Member Matt Dababneh, which codified state standards for written disclosures a property owner choosing PACE must receive prior to signing a contract for PACE financing. AB 2693 mandated a three-day right to cancel as well as written disclosures for PACE customers modeled on the federal Know-Before-You-Owe form used in mortgage lending.

**This year the California Legislature took on two bills – SB 242, co-authored by Senator Nancy Skinner and Assembly Member Matt Dababneh, and AB 1284, co-authored by Assembly Member Dababneh, Senator Skinner, and Assembly Member Ian Calderon -- that build on AB 2693 to establish a clear, enforceable statewide consumer protection framework that will help ensure positive outcomes for homeowners, and the continued viability and sustainability of PACE.**

### Key Changes to PACE in SB 242 and AB 1284

**SB 242 (Skinner-Dababneh)**, approved by both the Senate and the Assembly and sent to Governor Brown's desk, would establish state-of-the-art consumer protections, further setting PACE apart from other forms of financing. The legislation:

- Requires a **recorded, live, confirmation of terms call** between the PACE provider and property owner before they sign their assessment contract, as a reinforcement to the written disclosures;
- Requires that PACE providers who undertake the confirmation of terms call with a property owner in one of the five major non-English languages in California – Spanish, Chinese, Korean, Tagalog and Vietnamese – also provide the property owner with their contractual documents in that language.
- Establishes an **expanded “right to cancel”** for a property owner using PACE, enabling the property owner to cancel their separate home improvement contract if they cancel their PACE financing within their three-day right to cancel – protecting them from being obligated to pay for a project without a viable means of financing.
- Establishes a **ban on compensating contractors beyond the cost of the home improvement project**, as well as prohibiting paying for contractor co-marketing and limiting contractor reimbursements to \$100 for bona fide training expenses.
- Requires contractors to quote a property owner the **same price as cash** for a home improvement project using PACE financing.
- Prevents PACE providers from disclosing to contractors the amount of funds the property owner is eligible for under a PACE assessment.





- Establishes data **reporting requirements to local government partners**, including data that speaks to the projected energy and water savings and local economic and job impacts, as well as on categories of products installed and homeowners served.

**AB 1284 (Dababneh-Skinner-Calderon)**, also approved by both chambers and sent to Gov. Brown’s desk, would significantly enhance PACE underwriting, regulate PACE at the state level, and enforce compliance with all PACE laws by PACE administrators and individual contractors. The legislation:

- **Strengthens and standardizes the current underwriting** standards in PACE based on home equity and on-time mortgage and tax payment history; and requires that the most accurate **Automated Valuation Models** are used for establishing the value of the home.
- Establishes new underwriting standards predicated on **income verification and ability-to-pay** to determine that property owners can meet their annual PACE obligation in addition to their current debt obligations and basic household expenses.
- Establishes a **licensing and regulatory framework for the PACE industry in California**, which will be subject to oversight by the California Department of Business Oversight (DBO).
- Requires PACE providers to **undergo background investigations and satisfy net worth requirements in order to obtain a license**.
- Requires PACE providers to enroll and **train home improvement contractors and their individual sales reps**; and holds PACE providers **accountable for screening and monitoring** the contractors and individual sales reps enrolled in their programs.
- Empowers the DBO **with enforcement authority** to take action against PACE providers who do not meet their obligations to promote the interests of consumers, which includes prohibiting PACE providers from working with contractors or individual sales reps who engage in activity harmful to consumers.

### Active Engagement with Low-Income Consumer Advocates

The California Low-Income Consumer Coalition, comprised of 11 consumer policy and legal advocacy organizations, says the bill “**introduces protections that have been absent from, and critically needed in, PACE programs** throughout the state,” and “contains several protections for consumers that have been sorely lacking from ... (PACE) programs so far: an ability-to-pay standard, administrator liability for the actions of PACE solicitors and solicitor agents, and a regulatory apparatus ...

(p)articularly notable is the provision of the bill that holds PACE administrators financially responsible for the portion of the consumers’ PACE assessments above the amount of their verified income; in other words, if a homeowner is assessed an amount greater than she is able to pay, the PACE administrator



pays the difference.” The coalition moved from opposing the bill to neutral as these key provisions were added, and **remains committed to making PACE “a safer and more consumer-friendly program.”**

## A Broad Coalition of Support

The following groups and elected officials have voiced support:

### Local Government Organizations

- California League of Cities
- California State Association of Counties
- Local Government Commission
- Los Angeles County
- Rural County Representatives of California (242)
- South Bay Cities Council of Governments (242)
- Southern California Association of Governments (242)
- Western Riverside Council of Governments (242)

### Local Governments and Elected Officials

- Supervisor Scott Haggerty, County of Alameda
- Councilmember Willie Rivera, City of Bakersfield
- Councilmember Juan Garza, City of Bellflower
- Mayor Jesse Arreguin, City of Berkeley
- Councilmember Ben Bartlett, City of Berkeley
- Councilmember Kate Harrison, City of Berkeley
- Vice Mayor Linda Maio, City of Berkeley
- Councilmember Jesus Escobar, City of Calexico
- Councilmember Armando Real, City of Calexico
- Councilmember Jawane Hilton, City of Carson

### Clean Energy/Environmental Organizations

- Advanced Energy Economy
- Brightline Defense
- Build It Green
- California Energy Storage Association
- California Solar Energy Industries Association (CALSEIA)
- Center for Sustainable Energy
- Cleantech San Diego
- Climate Action Campaign
- Efficiency Demand Management Council (242)
- Environmental Defense Fund
- League of Conservation Voters California (242)
- Natural Resources Defense Council
- Sierra Club California
- Vote Solar

### Businesses and Business Associations

- Bay Area Council (1284)
- CalAsian Chamber of Commerce
- California Association of County Treasurers and Tax Collectors (1284)
- California Bankers Association (1284)
- California Building Industry Association
- California Business Properties Association
- California Chamber of Commerce (1284)
- California Credit Union League (1284)
- California Escrow Association (1284)



- Mayor Stan Henry, City of Cathedral City
- Councilmember Randall Stone, City of Chico
- Mayor Mary Salas, City of Chula Vista
- Mayor Pro Tem Emmanuel Martinez, City of Coachella
- Councilmember Emma Sharif, City of Compton
- Mayor Jorge Marquez, City of Covina
- Councilmember Clint Lorimore, City of Eastvale
- Councilmember Dianne Martinez, City of Emeryville
- Councilmember Mark Henderson, City of Gardena
- Supervisor Ryan Sundberg, County of Humboldt
- Supervisor Mike Wilson, County of Humboldt
- Councilmember George Nava, City of Brawley
- Board of Supervisors, County of Imperial
- Councilmember Mark West, City of Imperial Beach
- Councilmember Glenn Miller, City of Indio
- Councilmember Ralph Franklin, City of Inglewood
- Mayor Pro Tem Tim Shaw, City of La Habra
- Councilmember Colin Parent, City of La Mesa
- Vice Mayor Aleksandar Tica, City of Live Oak
- Councilmember Jim Gazeley, City of Lomita
- Mayor Mark Waronek, City of Lomita
- Councilmember Jeannine Pearce, City of Long Beach
- California Hispanic Chamber of Commerce (1284)
- California Land Title Association (1284)
- California Mortgage Bankers Association (1284)
- Dividend Finance
- Energy Efficient Equity (1284)
- National Federation of Independent Business
- Orange County Business Council (1284)
- Owens Corning
- PACENation
- Renew Financial
- Renovate America
- TechNet (1284)
- United Trustees Association (1284)



- Councilmember Dee Andrews, City of Long Beach
- Councilmember Roberto Uranga, City of Long Beach
- Councilmember Mitchell Englander, City of Los Angeles
- Mayor Pro-Tem Jose Solache, City of Lynwood
- Supervisor Dave Rogers, County of Madera
- Councilmember Steve Napolitano, City of Manhattan Beach
- Supervisor Kathrin Sears, County of Marin
- Councilmember Greg Raths, City of Mission Viejo
- Councilmember Tony Madrigal, City of Modesto
- Councilmember David Pollock, City of Moorpark
- Supervisor Brad Wagenknecht, County of Napa
- Councilmember Dan Kalb, City of Oakland
- Councilmember Abel Guillen, City of Oakland
- Deputy Mayor Chuck Lowery, City of Oceanside
- Mayor Victor Lopez, City of Orange Cove
- Mayor Jan Harnik, City of Palm Desert
- Councilmember Tonya Burke, City of Perris
- Vice Mayor Teddy Gray King, City of Piedmont
- Councilmember Diane Williams, City of Rancho Cucamonga
- Councilmember Jon Harrison, City of Redlands
- Councilmember Christian Horvath, City of Redondo Beach



- Councilmember Laura Emdee, City of Redondo Beach
- Mayor Thomas Butt, City of Richmond
- Councilmember Margaret Clark, City of Rosemead
- Supervisor Sue Frost, County of Sacramento
- Councilmember Steve Hansen, City of Sacramento
- Councilmember Tony Barrera, City of Salinas
- Councilmember Chris Cate, City of San Diego
- Mayor Kevin Faulconer, City of San Diego
- Council President Pro Tem Mark Kersey, City of San Diego
- Councilmember Chris Ward, City of San Diego
- Councilmember Deborah Cox, City of San Leandro
- Councilmember Chris Orlando, City of San Marcos
- Councilmember Stephen Houlahan, City of Santee
- Councilmember Jewel Edson, City of Solana Beach
- Councilmember Jorge Morales, City of South Gate
- Board Supervisor Kristin Olsen, County of Stanislaus
- Mayor Pro Tem Michelle Martinez, City of Santa Ana
- Mayor Ed Wilson, City of Signal Hill
- Councilmember Ben Benoit, City of Wildomar





## Memorandum

**Date:** Wednesday, September 27<sup>th</sup>, 2017  
**To:** ICTC Commission Meeting  
**From:** David Salgado, Regional Affairs Officer (RAO)  
**Re:** **Southern California Association of Government's (SCAG) Report**

---

The following is a summary of the SCAG Executive Director's Report and/or Federal and State Legislature Staff Report for the Imperial County Transportation Commission Meeting September 27<sup>th</sup>, 2017.

- 1. 2017 SCAG Housing and Economic Summit:** SCAG has set the date of November 9<sup>th</sup> for a joint Economic and Housing Summit. The event will be held in downtown Los Angeles at the L.A. Hotel. This summit will offer additional value in that the summit will focus entirely on housing. SCAG is foregoing their regular annual Housing Summit which will allow the Economic Summit to be focused on housing. Elected officials are provided registration at no cost. Registration is \$100 for the event which will include lunch. Further details will be made available as they are confirmed.
- 2. Open Data/Big Data – Smart and Connected SCAG Region Committee and Survey:** This committee comprises elected officials, university partners, private sector interests, and other regional stakeholders in an effort to support local agencies in developing capacity around big and open data. This is an opportunity to help our member cities to exploit the benefits of data driven decision-making in the face of rapidly changing technology by identifying key regional data needs and gaps to provide resources and expertise that our local jurisdictions will need to be successful.

As part of that effort, we will be conducting a regional data survey to ascertain the data needs of the region. The survey was sent August 15th and will be open until September 8th COB, so that we can report back preliminary findings at the September Committee meeting. The primary audience for the survey is local governments. However, Committee members have requested that we also send the survey out to stakeholders such as health departments, community based organizations, and universities. If you have any questions, please contact Rye Baerg, Kim Clark, or Mike Jones.



SOUTHERN CALIFORNIA ASSOCIATION OF GOVERNMENTS

818 West 7th Street, 12th Floor, Los Angeles, CA 90017 T: (213) 236-1800 F: (213) 236-1825

- 3. SCAG “Go-Human” Campaign:** A second round of “GO-Human” advertising is underway. The “GO-Human” Campaign is an ATP Cycle 1 Grant funded program designed and developed to be utilized by all stakeholders and partners in the region to bring heightened awareness to pedestrian and bicycle safety as well as driver safety through a robust marketing and advertising campaign. ICTC has collaborated to include “Go-Human” advertising on their transit buses in order to promote safe walking and bicycling. Other Imperial County agencies and Cities have received yard signs and other promo materials. Please feel free to contact David Salgado if interested.
- 4. 2017 Walk to School Day: Wednesday October 4<sup>th</sup>, 2017 is annual Walk to School Day.** Imperial County Public Health has dedicated resources for events. The entire month of October is recognized as “WALKTOBER!!” in order to encourage walking and bicycling to school. For any questions regarding potential events or support for events contact SCAG RAO David Salgado.
- 5. SCAG Cap and Trade Regional Equity Legislative Effort:** As a part of the push for renewal of the recent Cap and Trade legislation SCAG is actively advocating for language in the spending package to include “regional equity” in order to ensure the SCAG region receives an equal share of the program funds moving forward. Under previous cycles SCAG has received approximately 30% of funds while representing over 50% of the state’s population and many urban population centers where funding can be best utilized and is needed. Cap and Trade funds are vital in the achievement of GHG reduction goals at a time when the state is actively pushing for increases in required reductions in the SCAG region.
- 6. SB 1 Road Repair and Accountability Act of 2017:** The bill passed by a vote of 27-11. The bill provides \$52.4 billion over 10 years for transportation by raising California’s gas excise tax 12 cents to 30 cents a gallon, with annual adjustments for inflation. The diesel excise tax will also go up 20 cents to 36 cents a gallon. Funds will also be raised by fee increases on vehicle registrations which will be proportionate to the vehicle model year and will range from \$25 to \$175 a year annually. Zero emission vehicles will incur a \$100 annual fee. There will be a constitutional amendment put on the 2018 ballot to allow a vote to ensure the funds will be provided for road projects.
- 7. SCAG 2017 Local Profiles:** 2017 Final Local Profiles are posted on the SCAG website and readily available. Hard copies may be provided upon request. Questions can be directed to Ping Chang or Mike Gainor at SCAG.



8. **2017 SCAG Presidents Strategic Plan (PSP) Update:** SCAG has convened a strategic planning committee composed of executive management, leadership, and staff in order to develop and update SCAG's Strategic Planning Document. The Strategic Plan has not been updated since 2009 and provides a framework for the agencies Work Plan and continued success. A Staff Strategic Planning (SSP) Committee has been composed to support the work of the PSP. Imperial County RAO David Salgado is participating on the PSP Committee.
  
9. **SCAG Regional Council and Policy Committees:** SCAG's Regional Council and policy committee meetings will take place Thursday September 7<sup>th</sup>, 2017 at SCAG's main offices in Los Angeles. **SCAG will be dark the month of August and January 2018.**
  
10. **2016 RTP/SCS FINAL APPROVAL:** On April 7, 2016, SCAG's Regional Council adopted the 2016 RTP/SCS, a long range visioning plan that balances future mobility and housing needs with economic, environmental and public health goals. The Plan charts a course for closely integrating land use and transportation – so that the region can grow smartly and sustainably. It outlines more than \$556.5 billion in transportation system investments through 2040. The Plan was prepared through a collaborative, continuous, and comprehensive process with input from local governments, county transportation commissions, tribal governments, non-profit organizations, businesses and local stakeholders within the counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino and Ventura.

The 2016 RTP/SCS is available for download by chapter or as one file. Please note that some files are large and may take longer to download depending on individual connection speeds. We strongly recommend that you first download it onto your computer before opening the file. All files are in Adobe Acrobat PDF format. The executive summary is available upon request.



## SCAG IN SACRAMENTO: WORKING TO BRING RESOURCES TO SOUTHERN CALIFORNIA

A delegation from SCAG traveled to Sacramento last week to meet with seven state senators and 10 assemblymembers to discuss the need for regional equity in cap-and-trade derived funding. The SCAG group included President Margaret Finlay, Immediate Past President Michele Martinez and Regional Council members James Mulvihill, Jose Luis Solache, Rex Richardson, Margaret Clark, Laura Rosenthal, Jeff Giba, Carmen Ramirez, Pam O'Connor and Greg Pettis. The delegation stressed to the lawmakers that Southern California has not received its fair share of funding to build affordable housing, sustainable communities, and other transformative infrastructure projects, which will impact our region's ability to meet our emission reduction goals. SCAG is committed to providing a voice for the region on this and other issues, and will keep our Regional Council updated.

## SCAG ECONOMIC SUMMIT TO ADDRESS HOUSING CRISIS

On Thursday, Nov. 9, SCAG, in partnership with the Southern California Leadership Council, will bring together local civic and business leaders to explore how the state's record-high home prices and shortage of available housing units stands to impact the economic health of the region, at the eighth annual Southern California Economic Summit: "The Cost of Not Housing." Held at the L.A. Hotel in downtown Los Angeles, the summit will be a crucial discussion on the challenges that housing affordability poses to local, regional and statewide economies. The event is free for elected officials. Early bird registration is \$75 per person until Sept. 15. Visit [scag.ca.gov/economicsummit](http://scag.ca.gov/economicsummit) to register.

## UPDATE ON GREENHOUSE GAS EMISSION REDUCTION TARGETS

The California Air Resources Board (CARB) is updating regional targets for reducing per-capita greenhouse gas (GHG) emissions, under the Sustainable Communities and Climate Protection Act of 2008, or SB 375. On July 27, SCAG submitted a comment letter to CARB to weigh in on CARB's draft recommendations. Specifically, SCAG stated that CARB's current draft recommendation of reducing GHG emissions per capita by 21 percent by 2035 is not achievable. SCAG reiterated that our recommended target of reducing GHG emissions per capita by 18 percent by the year 2035 is ambitious, but achievable pending much effort and innovation in future planning. Discussions about target setting are ongoing, and SCAG will continue working with CARB staff to address these issues. CARB is expected to issue its final recommendations for SB 375 GHG targets in October 2017, and take final actions in November 2017.

## SCAG LAUNCHES I-105 CORRIDOR SUSTAINABILITY STUDY WITH PARTNERS

In coordination with LA Metro and Caltrans, SCAG has launched an I-105 Corridor Sustainability Study. The study will leverage the existing framework of previously prepared corridor system plans, but will take a more comprehensive approach. The study's development will incorporate new planning tools including "complete streets" concepts and the Smart Mobility Framework. The ultimate goal is to identify a comprehensive set of multi-modal solutions to the challenges in this corridor, not just for congestion but for long-term sustainability. SCAG held a kickoff meeting for the study on Aug. 23. With its scope and schedule defined, the study's next steps include the development of a stakeholder engagement strategy and a framework outlining the overall approach. Updates will be provided to SCAG's Transportation Committee throughout the development of the study. The study is expected to conclude in Spring 2019.

## PARTNERSHIPS FUEL GO HUMAN ACTIVITIES ACROSS THE REGION

Building off the successful Go Human media campaign in spring 2017, SCAG collaborated with communities across Southern California this summer to continue to promote safe walking and biking. Go Human worked with the City of Santa Ana, who donated ad space, to place Go Human ads on an additional 26 bus shelters. Go Human also developed approximately 2,000 lawn signs with safety messaging for over 20 partners across the region to distribute near schools, residential neighborhoods and downtown districts to remind drivers to slow down. Go Human's blog also features new, dynamic content every few weeks highlighting recent efforts, partnerships, and upcoming strategies to

encourage more people to walk and bike across the region. The blog reflects Go Human's recent successful demonstration project in the City of Riverside, a growing and dynamic partnership with CicLAvia, our summer bicycle safety education series reaching over 800 kids, and an announcement of the 20 new projects and events that Go Human and partner cities will host in the next 18 months. Go Human is funded by the Office of Traffic Safety, Mobile Source Reduction Committee and the California Active Transportation Program. To learn more about the campaign and opportunities to participate, please contact Julia Lippe-Klein, [lippe-klein@scag.ca.gov](mailto:lippe-klein@scag.ca.gov).

## CALIFORNIA MOBILITY INVESTMENT OPPORTUNITIES REPORT RELEASED

On Aug. 30, the California Transportation Commission released the California Mobility Investment Opportunities (CalMIO) Report to the public. The CalMIO report is a repurposed version of the previous report approved by the Commission titled the Report on Unfunded Transportation Investment Priorities which became outdated with the passage of Senate Bill 1 (SB 1). This report identifies which types of projects might be selected and constructed with the new SB 1 funding, and describes the state's transportation system needs. The CalMIO report also describes California's transportation system and needs, and why the system is so important to the state's economy and quality of life. The report takes individual looks at the state's "super-regions" (including the SCAG region), analyzing their transportation system conditions, consequences of funding shortfalls and potential improvements that may now be funded through SB 1. SCAG worked closely with the six county transportation commissions in our region throughout the development report's development, providing content and drawing from adopted plans and programs. The full CalMIO Report is available here (and the section that focuses on the super-region of Southern California can be found in Chapter 11): <http://bit.ly/2f5AYxP>.

## MOBILITY 21 SUMMIT TO CONVENE REGION'S TRANSPORTATION LEADERS SEPT. 29

SCAG is excited to support the upcoming Mobility 21 Summit, to be held in Anaheim on Sept. 29. Now in its 16th year, this conference brings together transportation leaders across public, private and nonprofit sectors to address Southern California's most pressing mobility issues. SCAG has been a proud member of the Mobility 21 advisory board for over a decade, and will take an active role in this year's program. SCAG President Margaret Finlay will speak at the Chairman's Roundtable, along with First Vice-President Alan Wapner, who is also the president of the San Bernardino County Transportation Authority. I will be joining the panel "Smart Cities: Communities Transformed by Transportation and Technology." For more information about the summit and to register, visit [mobility21.com/2017summit](http://mobility21.com/2017summit).

## FUNDING OPPORTUNITY FOR NEIGHBORHOOD-LEVEL AIR QUALITY PROJECTS

The Strategic Growth Council (SGC) has finalized guidelines for the competitive Transformative Climate Communities (TCC) program. TCC seeks to fund projects that reduce greenhouse gas emissions through developing and implementing transformative, neighborhood-level climate community plans that benefit the health and environment of disadvantaged communities. The TCC program will invest \$140 million in implementation grants in three communities: \$35 million in Los Angeles, \$70 million in Fresno, and \$35 million in a third location yet to be determined. SGC will also award \$1.5 million in planning grants to help communities get ready for a potential future TCC Implementation Grant. Funding for the TCC Program is provided by Greenhouse Gas Reduction Fund, an account established to receive cap-and-trade auction proceeds. The TCC concept proposal deadline is Oct. 18, and the full application and planning grant deadline is Nov. 30. Award announcements are expected in January 2018. For more information, please visit <http://bit.ly/2f5uXkQ>.

## FUNDING OPPORTUNITY FOR PLANNING GRANTS VIA SB 1

Caltrans has announced an upcoming funding opportunity for climate and sustainability planning projects. The Road Repair & Accountability Act of 2017, or SB 1, will provide more than \$30 million in grant funds for 2017-2018. Final program guides and a call for projects will be released by Caltrans in early September, and grant applications will be due by Oct. 20. Of \$25 million available for Sustainable Communities Planning Grants, half will be awarded through a competitive process, with the remaining funds distributed to the state's MPOs on a formula basis. All \$7 million of funds for Climate Adaptation Grants will be awarded on a competitive basis. Local jurisdictions and public agencies are encouraged to apply directly to Caltrans for competitive grant funds. Formula funds will enable SCAG to continue our region's important sustainable communities planning work. These grant programs are designed to help meet California's ambitious goals for greenhouse gas reduction and to further the goals of our Sustainable Communities Strategy, adopted in 2016. For more information please visit <http://www.dot.ca.gov/hq/tpp/grants.html>.

## STATEWIDE GENERAL PLAN GUIDELINES UPDATED FOR 2017

In early August, the California Governor's Office of Planning and Research announced the completion of the first comprehensive update to the General Plan Guidelines (GPG) since 2003. This new update incorporates recent legislative changes, guidance documents, a data mapping tool and additional resources. Some of the major changes include: 1) Reformatted sections on the mandatory elements of a general plan, including a new section on environmental justice; 2) Statutory checklists for all mandatory elements; 3) New sections on healthy communities, equitable and resilient communities, economic development and climate change. Additional information is available on the GPG website: <http://www.opr.ca.gov/planning/general-plan/guidelines.html>.

## VOLKSWAGEN ZERO-EMISSIONS VEHICLE INVESTMENT PLAN FOR CALIFORNIA

On July 27, the CARB approved the Volkswagen Zero-Emissions Vehicle Investment Plan (ZIP) as part of a broader mitigation settlement with the auto manufacturer, resulting in a \$2 billion investment in infrastructure, public outreach and education, as well as access programs for zero-emission vehicles over a 10-year period. VW has created a new company called "Electrify America" that will invest \$800 million of the total in California in a series of four, \$200 million 30-month cycles. For Cycle 1, Electrify America intends to spend over \$100 million on vehicle charging infrastructure, including 350 community charging stations in the metropolitan areas of Los Angeles, Sacramento, San Francisco, San Diego, San Jose and Fresno. Electrify America has also selected Sacramento as the first of two "Green Cities" where they will spend \$44 million on electric vehicle car share, transit and other innovative transportation technologies. SCAG's Clean Cities Coordinator has been participating in a coalition of stakeholders to advocate for the City of Los Angeles to be designated as the second Green City in a future cycle. SCAG will continue to work with our partners to advocate for investments in our region. Specifically, the coalition will be sharing the results of our Plug-In Electric Vehicle (PEV) Multi-family Housing study and the updated PEV siting atlas with Electrify America.

## OCCOG LAUNCHES HOUSING INITIATIVES INSPIRED BY SCAG HOUSING SUMMIT

On Aug. 24, the Orange County Council of Governments (OCCOG) unanimously voted to approve initial funding and support for a Citizens Housing Academy Workshop that will help empower local communities to develop strategies for addressing the housing crisis. The organization that developed this idea, the Orange County-based non-profit People for Housing, was founded as a consequence of inspiration from SCAG's October 2016 Housing Summit, and represents a continuation of regional housing strategies advanced through local-level efforts. SCAG encourages communities to explore locally suitable approaches and is ready to support their efforts in addressing the housing crisis.

## SCAG VISITS ESRI INTERNATIONAL HEADQUARTERS

On Aug. 10, Esri invited a delegation from SCAG to meet with their president and co-founder, Jack Dangermond at their international headquarters in Redlands, California. In attendance were President Margaret Finlay, Immediate Past President Michele Martinez, Randall Lewis, Darin Chidsey, myself and several staff supporting SCAG's Open Data/Big Data Smart and Connected SCAG Region Committee. We discussed future opportunities for collaboration between our organizations, and additional technical assistance that SCAG can offer to local jurisdictions to spur the adoption of smart city technology in Southern California.

## SCAG HOSTS ENVIRONMENTAL JUSTICE WORKSHOP WITH NATIONAL TRANSIT INSTITUTE

On July 26-27, SCAG hosted the National Transit Institute's two-day Advanced-Level Environmental Justice Workshop for representatives of transit agencies, MPOs, and private consulting firms from different regions around the nation. The course agenda included an overview of Environmental Justice (EJ) principles and policies, and examined eight case studies of different approaches to EJ analysis and outreach. The workshop fostered discussion on developing best practices and new approaches addressing EJ issues within our communities. The diverse backgrounds of the 30 workshop participants enabled lively dialogues on how different regions around the country deal with different types of EJ issues. Outcomes of the workshop will help guide SCAG staff to develop an enhanced EJ outreach and analysis for the 2020 Regional Transportation Plan/Sustainable Communities Strategy. For more information about the NTI Advanced-Level EJ Workshop, please visit <https://www.ntionline.com/advanced-level-environmental-justice-workshop/>.

## **MPO FUTURE MOBILITY RESEARCH PROGRAM**

SCAG recently formalized a Memorandum of Agreement with the San Francisco area's Metropolitan Transportation Commission, the Sacramento Council of Governments, and the San Diego Association of Governments to combine efforts in a five-year research program that will examine the effects of new transportation technology on our modeling and policy efforts. Our inaugural meeting was Aug. 18, and we have since collectively begun to assess potential modeling techniques for how MPOs can nimbly adapt to new realities of transportation and mobility.

## **SCAG CONTINUES INTERNATIONAL COOPERATION**

In August, SCAG played host to three international delegations representing different nations. On Aug. 3, SCAG hosted a seminar on regional transportation planning for a Korean delegation from the Ministry of Land, Infrastructure and Transport (MOLIT) and other Korean government authorities including Office for Government Policy Coordination, Ministry of Government Legislation, Sejong City, and Daejeon Metropolitan City. The Korean delegation shared key transportation and logistics policies in South Korea, and SCAG staff shared major strategies and innovations ongoing in Southern California. On Aug. 9, SCAG hosted a delegation of 30 public officials from Shenzhen, China. The delegation included management staff from the Shenzhen Municipality representing economic, trade, science, technology, industry and finance, among others. SCAG briefed the delegation on our core responsibilities and major regional challenges. The delegation was very interested in the regional governance model. On Aug. 10, SCAG hosted a delegation from the Israeli Federation of Local Authorities, which included 10 local mayors. Several Regional Council members and I joined them in a roundtable discussion on shared planning challenges including goods movement, affordable housing, economic development and multiculturalism in cities. Deputy Consul General of Israel, Eitan Weiss and Assemblymember Richard Bloom of Santa Monica were also in attendance.



**Date:** September 22, 2017  
**To:** ICTC Commissioner's  
**From:** Laurie Berman, Caltrans District 11, District Director  
**Re:** **District Director's Report**

---

The following is the California Department of Transportation, District 11 report for the Imperial County Transportation Commission (ICTC) Commissioner's meeting of September 27, 2017:

1. **Project Updates:**

Please see maps at end of report for project level detail.

2. **Construction:**

**Interstate 8 (I-8) Continuously Reinforced Concrete Pavement Project**

All five segments of the *Interstate 8 Continuously Reinforced Concrete Pavement Project (CRCP)* are under construction. Completion of the entire project is scheduled for 2019.

- Segment 1, is near El Centro from 0.6 mile west of Anderholt Road overcrossing to 0.5 mile east of the East Highline Canal Bridge. It was awarded to Coffman Specialties, Inc. on November 18, 2015. Construction began the first week of February 2016. Both westbound and eastbound I-8 traffic are using the newly constructed freeway. This project will be completed in September, ahead of schedule.
- Segment 2, which is located 26 miles east of El Centro from west of SR-98/I-8 separation to east of the All American Canal, was awarded to Coffman Specialties, Inc., on December 15, 2015. Construction began in early March 2016. Both westbound and eastbound I-8 traffic are using the newly constructed freeway. This project will be completed in September, ahead of schedule.

### **Construction (continued):**

- Segment 3, near Winterhaven from west of the SR-186/I-8 separation to east of Fourth Avenue overcrossing, was awarded to Security Paving Company, Inc., on December 22, 2015. Construction began mid-March 2016 with all major work now completed. Both westbound and eastbound I-8 traffic are using the newly constructed freeway. The project is scheduled to be complete in early 2018
- Segment 4, is divided into two sections located near El Centro from west of I-8/SR-111 separation to just west of Anderholt Road overcrossing and from east of the East Highline Canal Bridge to west of the I-8/SR-98 separation. This segment began construction on July 10, 2017. Traffic has been reduced to one lane in each direction on the five-mile section of I-8 from west of SR-111 to just east of Barbara Worth Drive.
- Segment 5, is located near Winterhaven from west of Ogilby Road overcrossing west of the I-8/SR-186 separation. This seven-mile segment began construction the week of June 12, 2017. Both travel directions have been switched to the I-8 eastbound lanes divided by k-rail, reducing traffic to one lane in each direction. In addition, the westbound on- and off-ramps at Ogilby Road (Exit 159) are closed to traffic.

### **I-8/Dogwood Road**

The I-8/Dogwood Road interchange project is completed and all lanes are open to traffic. Decorative fencing will be installed in fall 2017.

### **I-8/Dogwood Road Landscape Project**

The follow-up landscape project has started with plant establishment continuing. This will be completed in fall of 2017.

### **Caltrans El Centro Maintenance Station**

Phase 1 construction of the Caltrans El Centro Maintenance Station is complete.

Phase 2 has recently been completed.

### **SR-98 / Cesar Chavez Widening Project**

Contract approval was received in January 2017, with construction on the \$12.9 million project beginning in April 2017 and ending in spring 2018. Utility relocation work is complete. Construction on Stage 1 from Eady Avenue to VV Williams is complete. Stage 2 work from VV Williams to Cesar Chavez is currently under construction.

Beginning on Tuesday, July 18, 2017 - the SR-98 closure from VV William Avenue to Cesar Chavez Boulevard in Calexico will extend through the intersection for four months for Stage 3 work.

**Construction (continued):**

**SR-86/Heber Pedestrian Improvements**

This project will sidewalks and a bus shelter. Construction has begun on this project, however; Phase 1 has halted on this project due to the summer heat. Design will be complete for the remaining phases in fall 2017. This project is a coordinated effort between Caltrans and ICTC.

**SR-111/Main Street in Niland**

This project will install a bus stop and shelter in an existing parking lot on the east side of SR-111. Efforts have begun and a Cooperative Agreement has been drafted and is in the process of completion between ICTC and Caltrans.

**3. Traffic Operations:**

**SR-86/Customs & Border Protection Checkpoint Expansion**

Caltrans continues to work on interim improvement alternative for this project, which meets the safety and operational needs of CBP and reduces delay for the traveling public. CBP has requested federal funds for the construction of an “ultimate” facility, although they are competing with 20 other sectors in the United States.

**SR-86/Keystone Road**

The project will install roadside signs at SR-86 and Keystone Road and relocate flashing beacons. There have been difficulties in obtaining a consultant bid; and at this time the project is on hold.

**4. Maintenance:**

The Caltrans Maintenance crews in El Centro were recently involved with clearing concrete drain channel along Imperial Avenue in El Centro.



**Maintenance (Continued):**

The Maintenance crews in Brawley performed pavement grinding on sections of rough riding pavement that have developed on SR-86 north of the Border Patrol checkpoint.



**5. Planning:**

**Senate Bill 1 – New Grant Opportunities:**

Caltrans Division of Transportation Planning is on a fast track to develop grant guides and launch the new Senate Bill 1, the Road Repair & Accountability Act of 2017, planning grant funds. Caltrans encourages input from all stakeholders in the development of the grant guides. Caltrans anticipates that the final grant guide for the Senate Bill 1 Transportation Planning Grants will be released with the call for grant applications in September 2017. There will be \$25 million available statewide.

The Adaptation Planning Grants call for grant applications is anticipated to be in January 2018. These SB1 planning funds are in addition to the FY 2018/2019 Sustainable Transportation Planning Grants which are also expected to have a call for applications in January 2018. This category will have \$20 million over three years available statewide.

**Grants Underway:**

***A Fresh Look at Impacts of Border Delays at CA/BC POEs***

In May 2016, the San Diego Association of Governments received two Caltrans grants for a total of \$670,000 to study the Effects of Border Wait Times on the Economy and Air



## **Planning (Continued):**

Quality/Climate Change Emissions. This is a cooperative effort between SANDAG, ICTC and Caltrans under contract with HDR.

- a. The Economic Impacts of Border Delays will update and enhance previous studies to estimate the effects of delays at the San Diego and Imperial Counties Ports of Entry (POEs) on the regional, statewide, and national economies of the United States and Mexico.
- b. The Air Quality and Climate effects of Border Wait Times will develop a methodology to estimate air quality pollution and greenhouse gas emissions due to vehicular delays to cross the San Diego and Imperial Counties POEs.
- c. The consultant will be modeling the economic delay for 2025 and the air quality for 2025 and 2035 respectively.
- d. The data has been collected and the cross border business interviews are almost completed. The consultants are working on the model development component of the grant at this point. The consultants developed a white paper on available technology that could provide on-going border wait times data collection. It would be up to the Federal Government to decide what technology may work best at these POEs.

### Imperial County Transportation Model Update

The Project Team held monthly coordination meetings on the project status, actions taken, and next steps. The last two meetings addressed issues from traffic analysis zones (TAZs) updates and refinement, centroid connector editing, highway network adjustment including extra nodes additions based on review and comments provided by Caltrans/D11, to traffic counts analysis following the field study which was completed by Traffic Research & Analysis, Inc. in early July. Next, SCAG will be working on the social, economic and demographic (SED) data forecasting in a zonal basis for future years, and the consultant is ready to move into base-year model calibration

### Upcoming Grant Projects

#### Imperial County Active Transportation Plan

Caltrans Planning recently met with the County of Imperial Public Works Department and held a kick-off meeting for this \$200,000 Planning Grant.

The plan will cover the unincorporated areas of Imperial County, specifically the Communities and Townsites; and areas near schools. The plan will be based on needs assessment through data gathering and analysis, public feedback, and consultation with local agencies.

## **Planning (continued):**

The Plan will address issues such as safety and security, liability, environmental concerns, convenience, accessibility, usage, connections and linkages for bicycle users, as well as associated pedestrians and safe routes to school planning efforts.

It is expected to be out to contract by the end of 2017, with the Plan being complete by early 2019.

### **6. Local Assistance:**

#### Inactive Projects

The cities of Brawley and El Centro, have projects *soon to be flagged* for inactivity. Please transmit invoices to Joseph Chua in District 11 by November 20, 2017. A complete list of inactive projects can be found at the link provided below.

<http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>

#### Safe Harbor Rate Test and Evaluation Period Extended Again

Beginning July 1, 2013, the Federal Highway Administration (FHWA) initiated a Safe Harbor Cost Rate Test and Evaluation program for Architectural and Engineering (A&E) consulting firms involved in federal-aid highway funded projects. FHWA has informed participating states that the program has been extended to run through December 31, 2017.

The Safe Harbor program provides a framework for A&E consulting firms to establish a cost history for the eventual development of an indirect cost rate compliant with Title 48 Code of Federal Regulation Section 31. The framework:

- Removes a financial management barrier inhibiting new, small, or disadvantaged but qualified architectural and engineering consulting firms from entering the local agency administered, Federally-funded engineering services market;
- Provides a framework for these consulting firms to establish a cost history for the eventual development of an indirect cost rate for the firm in accordance with the Federal Cost Principles; and
- Enhances State DOT oversight of consulting firm compliance with the Federal Cost Principles by allowing limited State DOT audit resources to shift to higher risk firms and contracts under a risk-based approach.

#### New Senate Bill 1 – “Rebuilding California” Workshop/Events Schedule and Website

Senate Bill 1 (SB1) invests \$54 billion over the next decade to fix roads, freeways and bridges in communities across California and puts more dollars toward transit and safety, half of which will go to cities and counties for local road projects. Upcoming event/workshop schedules, as well as the previous meeting materials/presentations, can be found at this link provided below.

<http://catc.ca.gov/programs/SB1.html>

## **Local Assistance (Continued):**

Learn more details about SB1 by visiting the newly launched SB1 website as well.

<http://www.rebuildingca.ca.gov>

### **September 15: Southern California Local Assistance Management Meeting (SCLAMM)**

Caltrans welcomes the FHWA, as well as Local Public Agency staff in regions represented by SCAG and SANDAG, to attend SCLAMM.

More information will be provided prior to the meeting (see attached reminder).

Location: Caltrans District 12, 1750 East 4th Street, San Clemente Room, Santa Ana, CA 92705 Contact: Monroe Johnston, Caltrans District 12, at [Monroe.Johnston@dot.ca.gov](mailto:Monroe.Johnston@dot.ca.gov) or 657-328-6274.

### **Reminder: Subsidized Classes for Local Agencies**

The California Local Technical Assistance Program is a jointly funded effort between FHWA and Caltrans to provide local governments with training, information, technology and direct assistance to help improve transportation infrastructure. Upcoming courses are listed at this link:

[registration.techtransfer.berkeley.edu/wconnect/ShowSchedule.awp?&Mode=GROUP&Group=:FULL&Title=Complete+Listing](http://registration.techtransfer.berkeley.edu/wconnect/ShowSchedule.awp?&Mode=GROUP&Group=:FULL&Title=Complete+Listing)

### **September 20 (San Diego) and September 21 (El Centro): A&E Consultant Contracts**

Learn how to comply with federal and state regulations for Architectural & Engineering (A&E) Consultant Contracts. Local agencies are at risk of losing funding due to noncompliance. Please check for updates through an online registration link below.

<http://www.localassistanceblog.com/ae-training>

### **October 30 – November 3, 2017: Resident Engineers (RE) Academy**

*Location: Caltrans District 11, 4050 Taylor Street, Gallegos Room, San Diego 92110*

This week-long course "is a practical, interactive academy that provides core training for resident engineers. The subject matter experts and instructors use a real-life approach to deliver information utilizing examples, problem-solving activities, and exercises. The Resident Engineers Academy also provides a unique learning environment designed to promote networking."

RE Academy registration is expected to remain only \$50.00 for local agencies. However, fees have yet to be announced.

Contact Alma Sanchez at [Alma.Sanchez@dot.ca.gov](mailto:Alma.Sanchez@dot.ca.gov) to be considered for priority registration.

## **Local Assistance (Continued):**

### November 14, 2017: Emergency Relief (ER) Refresher Course

Location: Caltrans District 11, 4050 Taylor Street, Gallegos Room, San Diego 92110  
Caltrans program managers will provide an ER Program presentation and be available to answer questions. For further information on the ER Program, please refer to the Local Assistance program page: <http://dot.ca.gov/hq/LocalPrograms/erp/erp.html>

### April 9-13, 2018: Federal Aid Series

Location: Caltrans District 11, 4050 Taylor Street, Gallegos Room, San Diego 92110  
Please check for updates through an online registration link below:  
<http://www.californialtap.org/index.cfm?pid=1077>

### Federal Aid Series

District 11 plans to host this series in the 2017-18 fiscal year. Please check for updates through the online registration link below:  
<http://www.californialtap.org/index.cfm?pid=1077>

### Final Roadway Departure Safety Workshop for 2017

Hanford, CA – September 27, 2017  
(Southern California training sites will be considered for 2018.)

Free workshops will be held for training on roadway departure crashes occurring after a vehicle crosses an edge line or a center line, or otherwise leaves the traveled way. Participants will learn how to apply for federal funds, common locations of crashes, and types of countermeasures.

For more information, please refer to the Caltrans Roadway Safety Training & Materials page:

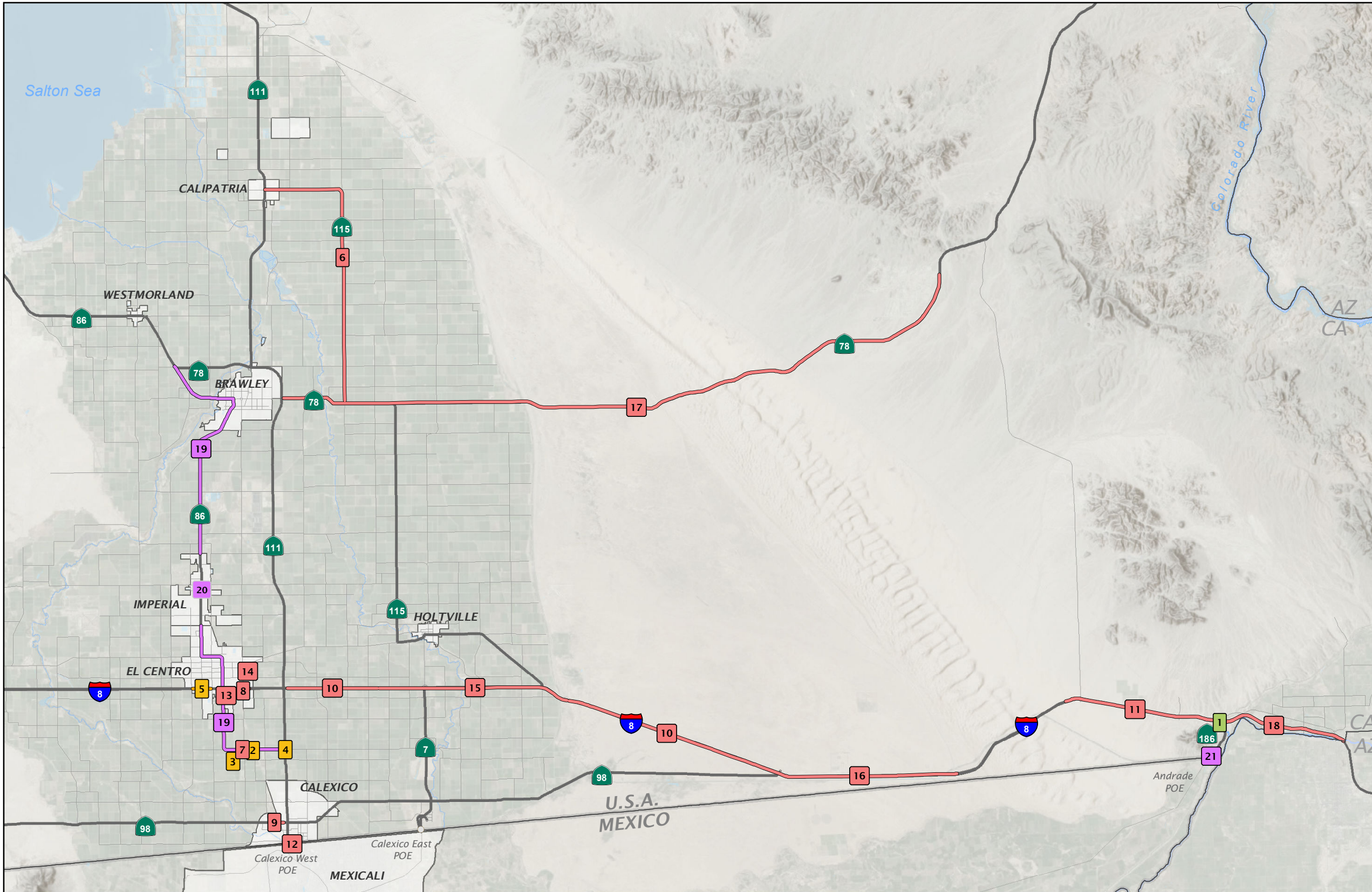
<http://www.dot.ca.gov/hq/LocalPrograms/HSIP/training.htm>

### Customer Service Survey

This pilot program supports a Caltrans Strategic Management Plan Goal of Organizational Excellence. An external survey ranked Local Assistance as the Division of Caltrans that external agencies interact with most on a regular basis. HQ-Division of Local Assistance and District Offices will recognize employees who go above and beyond, document best practices and identify needed training.

So, how did we do? Help us serve you better! The Caltrans Local Assistance Customer Service Survey can be found at the link provided below.

<https://www.surveymonkey.com/r/CTLocalAssistanceFeedback>



## ENVIRONMENTAL

1. SR-186/I-8 Interchange Improvements

## DESIGN

2. SR-86/"Heber Ave" Sidewalk, Transit, & ADA Improvements Phases 2 & 3\*  
Design Complete Fall 2017
3. SR-86/Dogwood Road Intersection Improvements\*  
Design Complete Fall 2017
4. SR-86/SR-111 Intersection Improvements\*  
Design Complete Fall 2017
5. I-8/Imperial Ave Interchange Improvements  
Design Complete Spring 2019

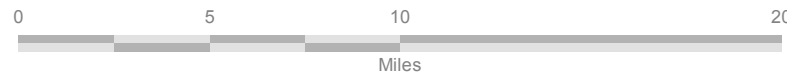
## CONSTRUCTION

6. SR-115 Pavement Rehabilitation  
Construction Complete Fall 2017
7. SR-86/"Heber Ave" Sidewalk, Transit, & ADA Improvements Phase 1\*  
Construction Start Fall 2017
8. Dogwood Road Landscape  
Construction Start Fall 2016
9. SR-98 West Widening Phase 1 B  
Eady Ave to Ollie Ave  
Construction Complete Spring 2018
10. I-8 Pavement Rehabilitation at Various Locations  
Construction Start Summer 2017
11. I-8 Pavement Rehabilitation at Ogilby Rd to SR-186  
Construction Start Summer 2017
12. SR-111 Calexico West - GSA POE Reconfiguration\*  
Construction Complete Spring 2018
13. I-8/Dogwood Rd Interchange Improvements  
Construction Complete Fall 2017
14. El Centro Maintenance Station  
Phase 2 – Construction Complete Summer 2017
15. I-8 Pavement Rehabilitation  
Construction Complete Summer 2017
16. I-8 Pavement Rehabilitation  
Construction Complete Summer 2017
17. SR-78 Pavement Rehabilitation  
Construction Complete Fall 2017
18. I-8 Pavement Rehabilitation  
Construction Complete Spring 2018

## RELINQUISHMENT

19. SR-86 Relinquishment From SR-78 to SR-111  
Senate Bill 788 Approved Fall 2013
20. SR-86 Relinquishment for City of Imperial  
Completed January 2017
21. SR-186 Relinquishment 500 Feet  
from Border to GSA\*  
Complete Summer 2017

- █ Environmental
- █ Design
- █ Construction
- █ Relinquishment



Portions of this map contain geographic information copyrighted by the Imperial County GIS program. All rights reserved. The data provided is "as is" without warranty of any kind.

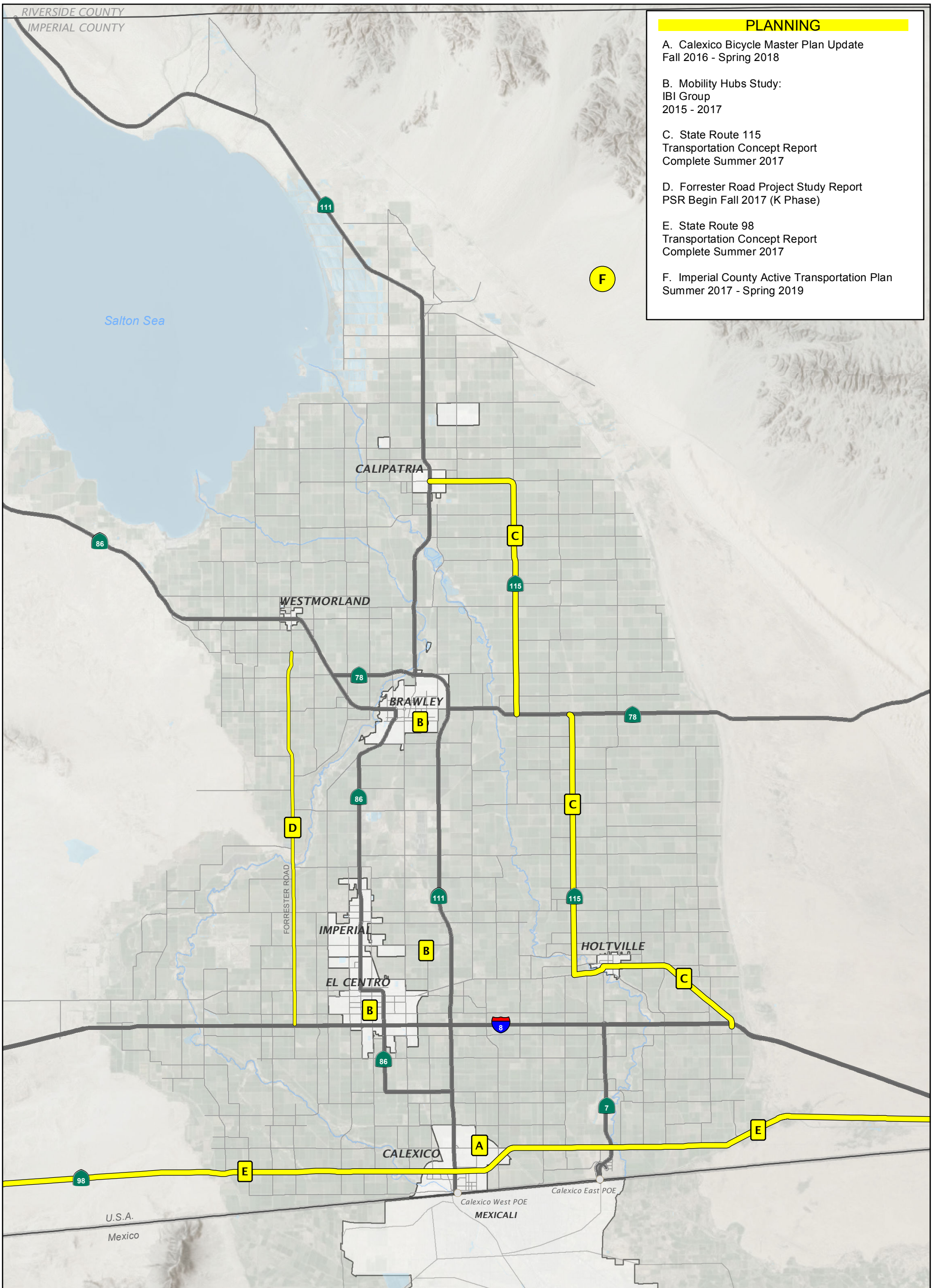
Date:06/27/2017

**Abbreviations:**  
GSA: General Services Administration

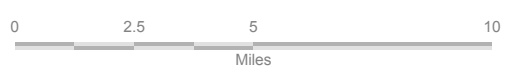
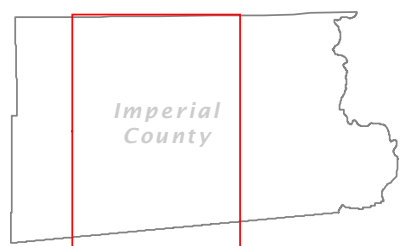
POE: Port of Entry

\* The California Department of Transportation (Caltrans) is a partner in this study/projects, although not the lead agency.

# IMPERIAL COUNTY STATUS OF TRANSPORTATION STUDIES AND REPORTS



- PLANNING**
- A. Calexico Bicycle Master Plan Update  
Fall 2016 - Spring 2018
  - B. Mobility Hubs Study:  
IBI Group  
2015 - 2017
  - C. State Route 115  
Transportation Concept Report  
Complete Summer 2017
  - D. Forrester Road Project Study Report  
PSR Begin Fall 2017 (K Phase)
  - E. State Route 98  
Transportation Concept Report  
Complete Summer 2017
  - F. Imperial County Active Transportation Plan  
Summer 2017 - Spring 2019



Portions of this map contain geographic information copyrighted by the Imperial County GIS program. All rights reserved. The data provided is "as is" without warranty of any kind.

Date: 06/08/2017

# **VI. ACTION CALENDAR**

- A. TRI-ENNIAL PERFORMANCE AUDIT OF THE ADMINISTRATION / MANAGEMENT OF THE ICTC—  
FY 2013-14, 2014-15, 2015-16



1405 N. IMPERIAL AVE., SUITE 1  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4497

September 20, 2017

Maria Nava-Froelich  
Imperial County Transportation Commission  
1405 N. Imperial Ave. Suite 1  
El Centro, Ca. 92243

**SUBJECT:** Tri-ennial Performance Audit of the Administration/Management of the Imperial County Transportation Commission – FY 2013-14, 2014-15, 2015-16

Dear Commission Members:

The State of California requires that Transportation Planning Agencies undergo a performance audit every three years as a result of receiving Transportation Development Act (TDA) funds. The consultant conducted audit focused primarily on administration of the TDA funded programs and services over a three year period of time. This is the sixth audit of this type to be conducted since the requirement was created in the TDA, however the first audit of the newly established Commission.

This audit is not solely a financial audit, but a review of compliance with transit service related Public Utilities Codes and prudent administrative and management practices. More specifically this audit involved reviewing the processes and policies including, but not limited to; the ICTC Budget and Transit Financing Plan, the TDA Allocation Schedule, the Article 3 and 8 financial claims processing, administration of the Social Services Transportation Advisory Council, conduct of the annual Unmet Transit Needs Public Hearing process, and transit planning and operations management of the public transit services by the public agencies.

During the process, public and social service agencies, as well as, the transit operators were contacted for input. The transit operations were evaluated on site.

The six draft audit documents were for: 1. ICTC 2. Imperial Valley Transit (IVT) 3. IVT ACCESS 4. IVT RIDE 5. Med-Express and 6. Yuma Citizens Area Transit (YCAT) Routes 5 (Blue) and 10 (Turquoise)

The audits were made available to all member agencies, transit operators and the general public, via the ICTC website in the month of September. As of the date of this letter, no comments have been received. The documents can be viewed at the following link: <http://www.imperialctc.org/ictc-news-and-announcements/&/view/event/id/88/>

Due to size constraints, a final draft report for the ICTC agency only is attached to this letter, however all documents are presented for review and approval. Staff from the consultant firm of Michael Baker International will present an overview and answer questions at the meeting.

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**



The ICTC Management Committee met on September 20, 2017 and forwards this item to the Commission for review and approval after public comment, if any:

1. Approve the FY 2013-14, 2014-15, 2015-16 Tri-ennial Performance Audit of the Imperial County Transportation Commission.
2. Direct staff to forward the FY 2013-14, 2014-15, 2015-16 Tri-ennial Performance Audit of the Imperial County Transportation Commission to Caltrans.

Sincerely,

MARK BAZA  
Executive Director

BY: 

Kathi Williams  
Transit Programs Manager

Attachment



# FY 2014—2016 TRIENNIAL PERFORMANCE AUDIT OF IMPERIAL COUNTY TRANSPORTATION COMMISSION

**September 2017**

SUBMITTED TO:

**Imperial County Transportation Commission**

SUBMITTED BY:

**Michael Baker**  
INTERNATIONAL

# TABLE OF CONTENTS

Executive Summary .....	i
Section I .....	1
Introduction – Initial Review of ICTC Functions .....	1
Overview of Imperial County and ICTC .....	1
Role and Structure of ICTC .....	3
Transit Operators .....	6
Audit Methodology .....	9
Section II .....	10
RTPA Compliance Requirements .....	10
Findings from RTPA Compliance Requirements Matrix .....	19
Section III .....	20
Responses to Prior Triennial Performance Audit Recommendations .....	20
Section IV .....	22
Detailed Review of ICTC Functions .....	24
Administration, Management, and Coordination .....	24
Staffing and Administration .....	27
ICTC Board and Committees .....	28
Management and Coordination .....	31
Transportation Planning and Programming .....	32
Overall Work Program .....	34
TDA Claimant Relationships and Oversight .....	34
ICTC Administration and Planning .....	34
Technical and Managerial Assistance to Operators .....	36
TDA Claim Processing .....	37
Unmet Transit Needs .....	39
Marketing and Transportation Alternatives .....	39
Grant Applications and Management .....	41
Section V .....	43
Findings .....	43
Triennial Audit Recommendations .....	45

## Executive Summary

The Imperial County Transportation Commission (ICTC) retained Michael Baker International (Michael Baker) to conduct its Transportation Development Act (TDA) performance audit covering the most recent triennial period, Fiscal Years (FY) 2013–2014 through 2015–2016. ICTC is required by Public Utilities Code (PUC) Section 99246 to prepare and submit an audit of its performance on a triennial basis to the California Department of Transportation (Caltrans) as a condition of receiving TDA funding. TDA funds are expended for ICTC administration and planning of public transportation, and distribution for operations of public transit systems and bicycle and pedestrian projects.

This performance audit is intended to describe how well ICTC is meeting its administrative and planning obligations under the TDA, as well as its organizational management and efficiency as a regional transportation entity. To gather information for the TDA performance audit, Michael Baker undertook several efforts including conducting interviews with ICTC Board members and stakeholders that participate on ICTC’s committees, as well as with agency staff and the transit operators. Michael Baker also reviewed various documents pertaining to the agency’s activities over the last three years and evaluated ICTC’s responsibilities, functions, and performance of the TDA guidelines and regulations.

Below is a summary of the findings from the analysis:

1. ICTC accomplished many tasks to promote transportation system improvement and has built good relationships with key partners while maintaining ongoing communication with its member local jurisdictions. ICTC takes a regional approach to planning, programming and delivery of service, and compliance with increased mandates.
2. ICTC has satisfactorily complied with all state legislative mandates listed in the Performance Audit Guidebook for Regional Transportation Planning Agencies. ICTC has improved upon compliance compared to the prior audit period by maintaining on file a written certification to Caltrans that the performance audits have been completed, including for non-Article 4 transit services. ICTC is compliant with the TDA provision which limits allocations up to 3 percent of annual LTF revenues for transportation planning and programming.
3. Of the five prior audit recommendations, three have been fully implemented, and two are carried forward for implementation. The recommendations not yet implemented pertain to applying qualifying criteria to use State Transit Assistance funds for operations, and simplifying the TDA claims forms and updating the TDA manual.
4. Staffing levels have been augmented in recent years in order to meet the demands and expanded responsibilities of a multidisciplinary transportation planning agency. For the audit period, each fiscal year’s budget proposed staffing of seven full-time positions. A new

Mobility Coordinator position was created from a grant award in the latter half of FY 2015-16, increasing staff to eight.

5. Stakeholders that were interviewed for this audit, including ICTC Commissioners, and public agency staff and citizens who serve on an ICTC committee, were overall satisfied with ICTC's activities, responsiveness, and direction toward regionalism. Its independence as an agency improved the perception of serving all member jurisdictions in a fair manner, and ICTC embraces the spirit of cooperation and inclusive participation among the members. In part as a consequence of strong confidence with staff recommendations on projects, detailed Commission discussion on some projects have been kept minimal prior to voting. Also, some concern was expressed about the length of meetings and whether a greater synopsis of agenda materials could be provided.
6. Due to the nature of rotation in membership on the board and committees, ICTC staff face the challenge of orienting new members on a fairly regular basis about the agency. Many interviewees expressed that the orientation process has not been standardized, with some receiving one-on-one consultation from staff, while others have had to learn on their own. ICTC retains an open door for a new or existing member to consult with staff and to become more familiar with the agency; however, a standard orientation process might be warranted.
7. Work done by ICTC over the past years follow the Overall Work Program that draws upon current needs and projected growth while acting on outcomes from previous Board strategic workshops. Several of these priorities, such as the consolidation of fractured transportation services, building administrative capacity, and advocacy and exposure through the General Assembly and Economic Summit, were achieved during the audit period while regional transportation planning functions continue to strengthen.
8. As one of the strategic plan priorities, ICTC began a process of transit service consolidation in FY 2013-14. ICTC's member agencies were interested in determining if greater efficiencies, better compliance with regulations and cost reductions could be achieved through the consolidation of services under one turnkey contractor with one administering agency.
9. ICTC and SCAG work in partnership with each of the cities and the county agencies to implement the strategies and projects identified in the Regional Transportation Plan. ICTC, in participation with Caltrans and SCAG, completed the scope of work for a comprehensive update of the Imperial County Long Range Transportation Plan.
10. ICTC continues to conduct the annual unmet transit needs process in consultation with the statutorily required Social Services Transportation Advisory Council (SSTAC). ICTC staff educate Commissioners and other stakeholders of the unmet needs hearings that have

resulted in greater awareness and reception of the outcomes by the ICTC. Significant effort is made to increase public communication by providing bilingual information.

11. Performance monitoring of the ICTC-administered transit services are conducted through quarterly meetings between ICTC and First Transit at ICTC offices. A sample full agenda packet shows detailed performance analysis for each system with tables and line graphs highlighting trends in operations and budget. These meetings and detailed analysis help ICTC meet compliance with the TDA requirement to make productivity improvements.
12. ICTC staff acting as the transit administrator for IVT provide assistance in the planning and programming of state and federal transit grants. These funds have been programmed for regional transit services, bus vehicle procurement, development of bus transfer terminals, and bus stop improvements.

Five recommendations are provided based on our assessment of ICTC's administration and management. Each recommendation is described in detail in the last chapter of this audit. These recommendations are summarized as follows:

**1. Apply new statutory provisions to TDA performance measures.**

ICTC is required to track performance measures of the transit systems for TDA funding eligibility. A few changes have occurred in relation to the computation of these measures. Legislation (SB 508) passed in October 2015 significantly modified several provisions of the TDA, including simplifying fare recovery requirements, authorizing funding of bicycle and pedestrian safety education programs, and modifying STA qualifying criteria for operations.

Highlights of the bill applicable to ICTC include the revision of "local funds" in farebox recovery to mean any nonfederal or nonstate grant funds or other revenues generated by, earned by, or distributed to an operator; authorization of funding bicycle *and pedestrian* [italics added for emphasis] safety education programs found under Article 3; and use of a "sliding scale" to adjust a transit operator's STA allocation for operations, rather than "pass/fail".

**2. Implement the State Transit Assistance Qualifying Criteria Test.**

Before STA funds can be used for transit operations, ICTC must conduct a test to determine the operator's year-over-year growth in cost per revenue hour or average three-year change. With the enactment of state legislation (SB 508) reinstating the test, the Commission should apply the qualifying criteria. Currently, ICTC allocates all STA funds for operations of IVT Access for required ADA paratransit service. While the statute allows exclusions of cost increases beyond the change in the Consumer Price Index for comparable complementary paratransit, ICTC should conduct the test as a measure of statutory compliance when STA is used for transit operational expense. ICTC could request that the IVT fiscal auditor conduct the verification as part of the annual fiscal and compliance audit.

### **3. Revise timeline of transit operator State Controller Report submittals.**

New state legislation was passed (AB 1113 - Bloom) on July 21, 2017 that changes the timeline to submit the annual Transit Operators Financial Transaction Reports to the State Controller. These reports that ICTC prepares for its general public fixed route and specialized service dial-a-ride systems have extended submittal dates from within 110 days after fiscal year end to 7 months after fiscal year end, or end of January. This is an extension of about 100 days. In addition, with the change in dates, these reports are required to contain underlying data from audited financial statements. This means the State Controller Reports must contain audited financial data drawn from the annual transit operator fiscal audits which are due 180 days, or 6 months, after fiscal year end.

ICTC should also notify other transit operators of this date change including the Quechan Indian Tribe which prepares the State Controller Reports for YCAT Routes 5 and 10.

### **4. Revise the TDA claims forms and manual.**

ICTC staff have found the TDA claims forms which have not been updated since 2006 to be complex relative to the claims being made and the information that is required. The revised claims forms should include a requirement that the claimants report at least annually the status of implementing the fiscal audit and performance audit recommendations. The 2006 TDA Guidebook should be updated to reflect new statutory provisions, farebox recovery, and instructions for completing the claims.

### **5. Formalize orientation process for new Board and committee members.**

Due to the nature of rotation in membership on the ICTC board and committees, ICTC staff face the challenge of orienting new members on a fairly regular basis about the agency. Many interviewees for the audit expressed that the orientation process has not been standardized. ICTC retains an open door for a new or existing member to consult with staff and to become more familiar with the agency; however, a standard orientation process might be warranted. This could include an annual conversation during a board and committee meeting at the beginning of the year on the purpose and ground rules of the board/committees, and development and distribution of a user friendly handout on the agency's workings. The existing ICTC Overall Work Program and Budget serves some capacity and has materials for the handout, and could be leveraged in the formulation of a standalone orientation piece. Other prior presentations on an overview about ICTC could also be used for orientation materials.

## Section I

### ***Introduction – Initial Review of ICTC Functions***

The Imperial County Transportation Commission (ICTC) retained Michael Baker International (Michael Baker) to conduct its Transportation Development Act (TDA) performance audit covering the most recent triennial period, Fiscal Years (FY) 2013–2014 through 2015–2016. ICTC is required by Public Utilities Code (PUC) Section 99246 to prepare and submit an audit of its performance on a triennial basis to the California Department of Transportation (Caltrans) as a condition of receiving TDA funding.

This performance audit, as required by the TDA, is intended to describe how well ICTC is meeting its administrative and planning obligations under the act.

### ***Overview of Imperial County and ICTC***

Imperial County is geographically located in the southeastern corner of California, stretching from the United States-Mexico border to the south, Riverside County to the north, San Diego County to the west, and Arizona and the Colorado River to the east. The terrain varies from 235 feet below sea level at the Salton Sea to 4,548 feet above sea level at Blue Angel Peak. The county’s geographical land area encompasses 4,176 square miles and is traversed by 2,555 miles of roadway. Major highways include Interstate 8 and State Routes (SR) 7, 78, 86, 98, 111, and 115. A demographic snapshot of key cities and the county is presented below in Table I-1.

**Table I-1  
Imperial County Demographics**

<b>City/Jurisdiction</b>	<b>2010 US Census Population</b>	<b>Change from 2000 US Census %</b>	<b>Population 65 years &amp; older %</b>	<b>2017 Department of Finance Estimates</b>	<b>Land area (in square miles)</b>
Brawley	24,953	+13.1%	10.05%	26,928	7.68
Calexico	38,572	+42.5%	11.43%	40,921	8.39
Calipatria	7,705	+5.7%	4.65%	7,555	3.72
El Centro	42,598	+11.4%	10.70%	45,628	11.08
Holtville	5,939	+5.8%	12.26%	6,255	1.15
Imperial	14,758	+91.8%	6.48%	18,658	5.86
Westmorland	2,225	+3.4%	11.24%	2,302	0.59
Unincorporated Area	37,778	+17.1%	11.62%	40,087	4,146.53
<b>Total Imperial County</b>	<b>174,528</b>	<b>+22.6%</b>	<b>10.40%</b>	<b>188,334</b>	<b>4,176.60</b>

*Source: 2010 U.S. Census, California Department of Finance, 2017 Population Estimates*



The city of El Centro is the county seat and the largest city in Imperial County. The county and its incorporated cities saw notable growth between the 2000 and 2010 US Census, in particular in the cities of Calexico and Imperial. The senior citizen population, comprising residents aged 65 and over, is 10.4 percent countywide. The 2017 population for Imperial County is estimated to be 188,334 as reported by the California Department of Finance. The population of El Centro is followed in descending order by those of Calexico, Brawley, Imperial, Calipatria, Holtville, and Westmorland.

Based on 2016 Bureau of Transportation Statistics data, more than 4.5 million people (by motor vehicle and on foot) crossed into the United States from Mexico through the US Customs and Border Protection Agency's two busiest land ports of entry between Imperial County and Mexicali: Mexico at Calexico West/Mexicali I and Calexico East/Mexicali II.

Legislation creating the Imperial County Transportation Commission (ICTC), an independent agency, became effective January 1, 2010. Senate Bill (SB) 607 (Ducheny) was passed and chaptered by the Secretary of State on August 6, 2009. The legislation added Division 12.8 (commencing with Section 132800) to the Public Utilities Code establishing ICTC's general provisions and creation of the Commission, administration, and powers and functions. ICTC is an independent subregional entity of the Southern California Association of Governments (SCAG). A resolution recognizing the new agency was passed and adopted on March 24, 2010, by an affirmative vote of a majority of the members of the board.

The resolution also approved the Local Transportation Authority's (LTA) request for ICTC to accept the responsibilities of administration of the LTA program of Measure D sales tax transportation funds. Previously, these responsibilities were managed by the County of Imperial's Public Works Department. Following approval of the resolution, the LTA and ICTC Boards directed staff to initiate all necessary steps toward implementing this transfer of responsibilities effective July 1, 2010. These responsibilities include but are not limited to providing staff support to the LTA Board and administration of the LTA funds. Language in the LTA ordinance allows the use of 2 percent of the funding for transit services for seniors. The LTA took action on May 26, 2010, authorizing the use of these funds for local transit services.

As established under SB 607, the ICTC Board is currently composed of ten voting members and one non-voting member. The voting members include two members of the Imperial County Board of Supervisors, one member from each incorporated city (seven) within Imperial County who is the mayor of the city or a member of its city council, and one member of the Board of Directors of the Imperial Irrigation District. The non-voting member is appointed by the Governor representing Caltrans.

On November 13, 2014, the California Vanpool Authority (CalVans) approved ICTC as an official member. ICTC has been a de facto partner for the past few years as vanpools have moved to the region for winter work. CalVans staff has an office in El Centro to oversee the project. There are 47 vanpools that operate in Imperial and another 60 in Yuma.

In its capacity as a Regional Transportation Planning Agency (RTPA) for TDA administration, ICTC administers and allocates TDA revenues to eligible claimants, including transit operators and local jurisdictions for bicycle and pedestrian projects. Among its planning responsibilities, ICTC is required to develop and approve a five-year transportation improvement program as well as a short-range transit plan. In addition, ICTC plans and programs local and regional transportation projects for funding and coordination with SCAG's regional programs.

ICTC's TDA appropriations for administration of the program and planning during the fiscal years addressed by this audit ranged from \$827,350 in FY 2013–14, to \$558,337 in FY 2014–15, to \$1,038,744 in FY 2015–16.<sup>1</sup> Regional transit planning continues to be a significant part of the ICTC work program including development and implementation of transit consolidation and unified branding, intracity transit circulators, reduction of bus headways, and transition to an ultra-low sulfur diesel fuel fleet.

### ***Role and Structure of ICTC***

As an independent county transportation commission, ICTC member agencies are enabled to exercise basic initiative and leadership in the transportation planning and programming process. ICTC guides the following:

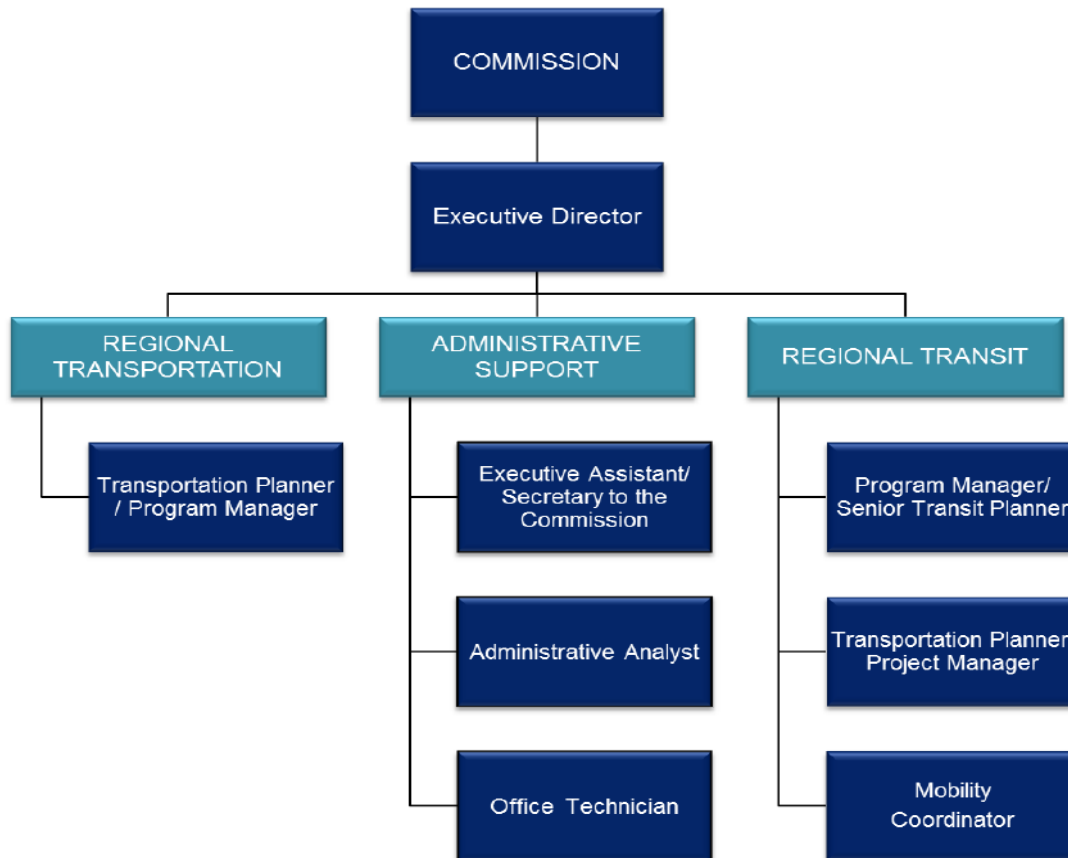
- Development of the Long-Range Transportation Plan Update for Imperial County
- Development of the Short Range Transit Plan that guides transit investment
- Development of regional, state, and federal transportation improvement programs (TIPs) and their updates
- Provision of liaison services with external agencies such as SCAG and Caltrans for planning, programming, and funding
- Approval of the allocation of and claims for Transportation Development Act funds
- Provision for the distribution and oversight of Local Transportation Fund monies
- Preparation and submission of applications for state and federal transportation-related funds
- Coordination with the local jurisdictions on transportation-related issues
- Provision of the planning, programming, and administration of regional transit services
- Encouragement of active citizen participation in the development and implementation of various transportation-related plans and programs
- Designation of ICTC as the Consolidation Transportation Services Agency for the county

<sup>1</sup> Annual Disbursement Schedule

- ADA certification and mobility coordination including public outreach and coordination with Imperial Valley’s transit operator, social service and medical service providers
- Monitoring of transit performance standards

During the audit period, the ICTC Overall Work Plan and Budget reflect staffing of eight full-time positions to manage the agency’s programs and services. The full-time positions include one office technician, one Executive Assistant/Secretary to the Commission, one administrative analyst, three transportation/transit planner positions from entry level to senior level in classifications (responsible for: Regional Transportation Planning; Regional Transit Planning; and Transit Service Administration), and the Executive Director. Toward the end of the audit period, ICTC filled the position of Mobility Coordinator, which is tasked with public outreach for IVT ACCESS and IVT RIDE services and administration of the eligibility and certification process for senior citizens and persons with disabilities as defined under the Americans with Disabilities Act (ADA) of 1990. This position interacts on a daily basis with members of the public interested and in need of transit services, social service agencies and transit advocates, provides coordination for mobility training and conducts training and public outreach. The following organization chart shows the staffing positions and structure.

**Figure I-1 Staff Organizational Structure**



Source: ICTC OWP and Budget

To encourage regional and public participation in the development of ICTC's policies and priorities, staff provides support to standing regional committees, described below.

*Management Committee:* The purpose of the Management Committee is to serve as a policy advisory to the Board. Membership of the Management Committee includes two members from the County of Imperial and one member from each member city or agency including city managers, chief executive officers, general managers, or their designated representative. The Management Committee meets the 2<sup>nd</sup> Wednesday of each month.

*Social Services Transportation Advisory Council (SSTAC):* The SSTAC is statutorily created (PUC Section 99238) to serve a broad representation of youth, students, elderly, disabled persons, persons of limited means, social service agencies, the transit dependent, and transit providers. The three tenets of the SSTAC are to participate in the identification of transit needs; review and recommend action; and provide advice and technical recommendations. The SSTAC meets the 1st Wednesday of every month.

*ICTC Technical Advisory Committee (TAC):* The TAC is composed of planning and public works department representatives from each member agency and a representative from the Imperial Irrigation District. The purpose of the TAC is to coordinate the plans and development of regional transportation improvement program of projects, transportation planning programs, and transportation funding programs. The TAC meets the 4<sup>th</sup> Thursday of each month.

ICTC has the option of convening special purpose committees as the need arises. These include the Americans with Disabilities Act Advisory Committee and the Imperial-Mexicali Binational Alliance:

*Americans with Disabilities Act Advisory Committee (ADAAC):*

Created at the direction of ICTC, the ADAAC meets on an as needed basis. Its membership is composed of SSTAC members and includes individuals and agencies who are or provide services to the disabled community. It meets to review and comment on issues related to transit:

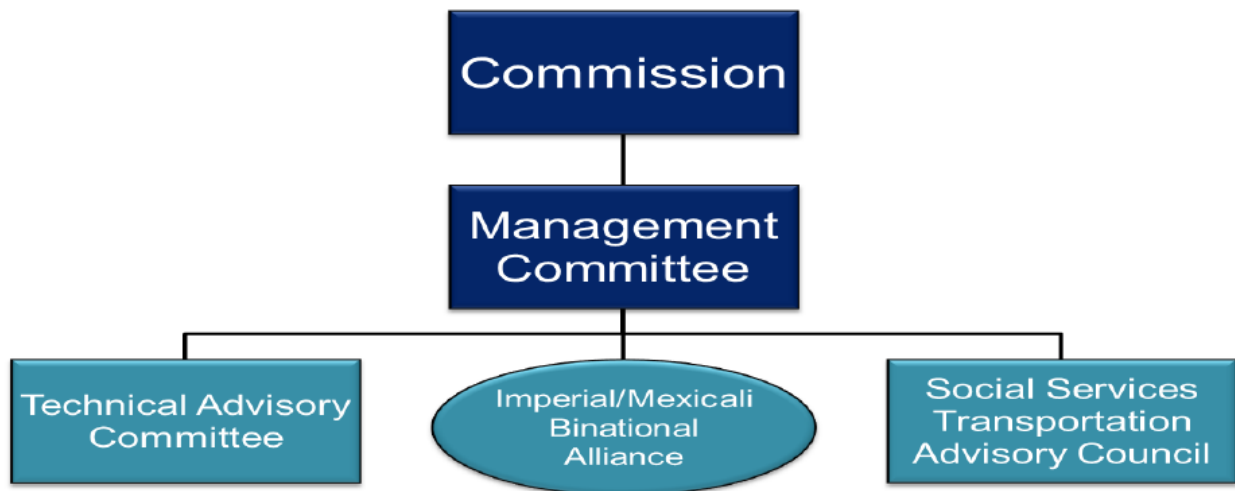
- Whereby a transit complaint has been filed by a person with disabilities that requires independent review;
- Where an appeal is filed under the ADA certification and eligibility process for IVT ACCESS services; and
- When a public agency requests input/comments from the disabled community on transit service changes.

Imperial-Mexicali Binational Alliance:

In partnership with the Imperial Valley Economic Development Corporation (EDC) and the Mexicali EDC (CDEM), ICTC is the designated co-lead to implement the Imperial-Mexicali Binational Alliance (IMBA). The goals of the IMBA are focused on cross-border transportation, infrastructure, economic development and environmental issues. The focus is on trying to implement short-term, low-cost improvements, if possible, and to have consensus of priorities for issues and specific improvements. In addition to the aforementioned lead agencies, other participants include other business and governmental stakeholders. The IMBA generally meets on the 2<sup>nd</sup> Tuesday of the month on a bi-monthly basis and rotates between Imperial County and Mexicali.

An organization chart of ICTC and its standing committees, drawn from the Overall Work Program and Budget, is shown in the following figure.

**Figure I-2 ICTC Committee Structure**



*Source: ICTC OWP and Budget*

**Transit Operators**

ICTC approves TDA fund claims for and monitors public transportation systems in the county. Each of the transit services in ICTC’s jurisdiction is currently operated on a contract basis. Public transportation in Imperial County is administered by ICTC and operated by several contract providers (during the audit period) under several branded services. Separate performance audits of the public transit systems are provided under separate cover. Each service is described briefly below (adapted from the OWP), and are separated between regional public transit services and individual agency services.

## **Regional Public Transit Services**

*Imperial Valley Transit (IVT):* IVT is an intercity fixed-route bus system, subsidized and administered by ICTC and operated by First Transit, Inc., a private for-profit service. The service uses a fleet of vehicles ranging from 40-foot clean diesel low emission-powered buses to smaller cutaway buses. Expanded service is provided from 6:00 AM until approximately 11:00 PM weekdays while Imperial Valley College is in session, 6:00 AM to 8:30 PM on Saturdays, and 7:00 AM until about 5:00 PM on Sundays within the areas classified as the Primary Zone (a north-south axis throughout Brawley, Imperial, El Centro, Heber, and Calexico). Service is provided from 6:00 AM until approximately 6:00 PM in the Secondary Zone (communities of Niland, Calipatria, Westmorland, Seeley, and Holtville) on weekdays, with limited weekend service available. The outlying Remote Zone communities are served once a week on a lifeline basis (including the east and west sides of the Salton Sea, Desert Shores, Salton City, Salton Sea Beach, Bombay Beach and Slab City).

*Imperial Valley Transit – Blue/Green/Gold Lines:* This transit system is an extension of IVT. The intra-city system operates utilizing smaller buses and connects to the public facilities and services that are not currently served by the larger bus system. There are timed transfer facilities at 7th and State Streets in El Centro, and at S. 5th Street and S. Plaza Street in Brawley for passengers to transfer to and from both bus systems.

*IVT ACCESS:* The Americans with Disabilities Act Comparable Complementary Paratransit Service is a federally mandated service requiring equal access to the public fixed-route bus system for individuals with disabilities. The service uses wheelchair-accessible minibuses as a demand-response service in tandem with the IVT fixed-route bus system. The service is available to disabled passengers who are certified as eligible by ICTC. The service area and hours are the same as the fixed-route bus system.

*MedTrans:* Formerly Med-Express, MedTrans is a nonemergency medical transportation service between communities in Imperial County and the large hospitals and medical facilities in San Diego County. Demand response service is provided four days a week, with five pickup and return points in Brawley, El Centro (2 locations), Imperial, and Calexico. Pickup service is available on a limited basis from the home for an additional fare. The service is designed to provide persons with disabilities and low-income and transit-dependent persons access to medical facilities and services not available within Imperial County; for example, to Children's Hospital in San Diego.

*Yuma County Area Transit (YCAT) Blue Route 5 and Turquoise Route 10:* In the spring of 2012, ICTC was approached by the Quechan Indian Tribe and the Yuma County Intergovernmental Public Transportation Authority (YCIPTA) to form a partnership to provide increased public transit services to eastern Imperial County residents and the Quechan Indian Tribe of the Fort Yuma Indian Reservation. As a result of the collaboration, the Turquoise Route 10 was created as a demonstration service and implemented January 1, 2013. The route provides service three

days a week, Monday, Wednesday, and Saturday, with two round trips daily, one in the morning and one in the afternoon. The route operates between Yuma and El Centro with stops in Winterhaven and the Fort Yuma Indian Reservation and casinos.

The Blue Route 5 (Quechan Shuttle) operates from Downtown Yuma Transit Center to Winterhaven via Fort Yuma Indian Reservation and extending to the Andrade Port of Entry. This rural flex route was implemented in July 2014, and operates Monday through Saturday.

Both services are operated under Yuma County Area Transit (YCAT) which is administered by the Yuma County Intergovernmental Public Transportation Authority (YCIPTA). Being fairly new services, they are in “demonstration” phase and offer service to eastern Imperial County residents who require access to local government offices, medical services, and commercial retail opportunities.

### **Intra-City Demand Response Public Transit Services**

*IVT RIDE*: IVT RIDE provides curb to curb transit service for persons age 60 years and over, and persons with disabilities upon advance phone reservations. IVT RIDE transports riders to and from any location within the service area inside the City limits of Brawley, Calexico, El Centro, Imperial and West Shores. IVT Ride was formed from the consolidation of dial-a-ride services previously provided by the respective local jurisdictions.

## **Audit Methodology**

To gather information for this performance audit, Michael Baker accomplished the following activities:

*Document Review:* Conducted an extensive review of documents including various ICTC files and publications.

*Interviews:* Interviewed ICTC staff and Commissioners, Management Committee, TAC, and SSTAC, as well as the transit operations contractors, to gain their perspective about the agency's efficiency and economy.

*Analysis:* Evaluated the responses from the interviews as well as the documents reviewed about ICTC's responsibilities, functions, and performance to TDA guidelines and regulations.

All of the activities described above were intended to provide information necessary to assess ICTC's efficiency and effectiveness in two key areas:

- Compliance with state TDA requirements
- Organizational management and efficiency

The remainder of this report is divided into four chapters. Chapter II provides a review of the compliance requirements of the TDA administrative process. Chapter III describes ICTC's responses to the recommendations provided in the previous performance audit. Chapter IV provides a detailed review of ICTC's functions, while Chapter V summarizes our findings and recommendations.



## Section II

### RTPA Compliance Requirements

Fourteen key compliance requirements are suggested in the *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities* to assess ICTC’s conformance with the TDA. Our findings concerning ICTC’s compliance with state legislative requirements are summarized in Table II-1.

TABLE II-1 ICTC Compliance Requirements Matrix		
RTPA Compliance Requirements	Reference	Compliance Efforts
All transportation operators and city or county governments which have responsibility for serving a given area, in total, claim no more than those Local Transportation Fund (LTF) monies apportioned to that area.	Public Utilities Code, Section 99231	<p>ICTC accounts for its claimants’ areas of apportionment and has not allowed those claimants to claim more than what is apportioned for their area.</p> <p>ICTC develops an annual Transit Programs Finance Plan that includes an LTF distribution table identifying the level of funds available to both ICTC and the claimants. The Transit Programs Finance Plan is integrated as part of the Overall Work Program of ICTC and combines all transit funds and expenditures, including operations and capital.</p> <p>ICTC utilizes a formula based on population to determine each local jurisdiction’s apportionments. With consolidation of dial-a-ride services during the audit period, the apportionments to local jurisdictions are primarily for transit benches and shelters including transfer terminal maintenance under Article 8(e), and bicycle/ pedestrian projects under Article 3.</p> <p><b>Conclusion: Complied</b></p>

**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
<p>The RTPA has adopted rules and regulations delineating procedures for the submission of claims for facilities provided for the exclusive use of pedestrians and bicycles.</p>	<p>Public Utilities Code, Sections 99233.3 and 99234</p>	<p>ICTC has an adopted set of policies governing the Article 3 Bicycle and Pedestrian Facilities Program. On an annual basis, ICTC sets aside 3 percent of LTF for bicycle- and pedestrian-related projects. Each year in September, the member agencies submit candidate projects that are approved by the ICTC Board. An application guideline is provided to each claimant that explains the rules and procedures for claiming the funds, including consistency with the Regional Bicycle Plan, and approval by the ICTC Board. Items to be filed include a checklist, Article 3 Non-Transit Claim Form, Financial Reporting Form, Project Information Form, Sample Governing Body Resolution, and Standard Statement of Assurances. According to the Transit Programs Finance Plans during the audit period, the annual appropriation (excluding carryover) under this code section was \$153,000 in FY 2013–14, \$168,000 in FY 2014–15, and \$180,000 in FY 2015–16.</p> <p><b>Conclusion: Complied</b></p>
<p>The RTPA has established a social services transportation advisory council. The RTPAs must ensure that there is a citizen participation process which includes at least an annual public hearing.</p>	<p>Public Utilities Code, Sections 99238 and 99238.5</p>	<p>The SSTAC meets monthly and participates on a number of issues, including the annual unmet transit needs process and hearings, and coordination of specialized transportation services. ICTC staff and First Transit present and discuss transit operator reports for each service. The ICTC unmet transit needs public hearing</p>

**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
		<p>is scheduled annually in late winter/early spring, and was held at the William R. Condit Auditorium, Imperial Irrigation District facilities, in El Centro. The SSTAC participates in the identification of transit needs, reviews and recommends action, and provides advice and technical recommendations.</p> <p><b>Conclusion: Complied</b></p>
<p>The RTPA has annually identified, analyzed, and recommended potential productivity improvements which could lower the operating costs of those operators which operate at least 50 percent of their vehicle service miles within the RTPA’s jurisdiction. Recommendations include, but are not limited to, those made in the performance audit.</p> <ul style="list-style-type: none"> <li>• A committee for the purpose of providing advice on productivity improvements may be formed.</li> <li>• The operator has made a reasonable effort to implement improvements recommended by the RTPA, as determined by the RTPA, or else the operator has not received an allocation which exceeds its prior year</li> </ul>	<p>Public Utilities Code, Section 99244</p>	<p>ICTC uses several means to identify and recommend productivity improvements. When the local jurisdictions provided separate dial-a-ride service, ICTC staff collected transit performance data from the on a quarterly basis to provide current and historic comparison and trend analysis. A series of eight performance measures was used to identify trends on a semiannual and annual basis. The data were compared to performance standards specific to each type of transit service based on objectives contained in the Short Range Transit Plan (SRTP).</p> <p>With consolidated services, ICTC and First Transit discuss the systems at quarterly meetings and keep notes on performance and issues for each service. A set of actions, responsible staff, and outcomes is identified for follow up action. These meetings serve as the committee for the purpose of providing advice on productivity improvements. The SSTAC and TAC also serve as other committees that could</p>

**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
allocation.		<p>advise on transit improvements.</p> <p>ICTC staff also conduct independent checks of bus performance through ride-alongs. Staff complete an Operator Observation Form rating the bus driver and services provided to the passengers. Deficiencies are noted and shared with the operator for improvement.</p> <p>ICTC has also commissioned TDA performance audits of all public transit operators. The findings and recommendations from these performance audits contribute to ICTC’s compliance with this measure.</p> <p>Prior to consolidation, the annual TDA claims forms included a section for Productivity Improvement Statement enabling the local jurisdiction claimants to describe transit recommendations and the status of implementing those recommendations.</p> <p><b>Conclusion: Complied</b></p>
The RTPA has ensured that all claimants to whom it allocates Transportation Development Act (TDA) funds submits to it and to the State Controller an annual certified fiscal and compliance audit within 180 days after the end of the fiscal year (December 27). The RTPA may grant an extension of up to 90 days as it deems	Public Utilities Code, Section 99245	<p>ICTC requires that each transit claimant for LTF and STA include a copy of their 180-day fiscal compliance audit with the claim. The TDA forms provide a check-off for certification of the fiscal audit and submittal to the State Controller.</p> <p>Should a claimant fail to submit a timely copy of the fiscal compliance audit, ICTC has the authority to withhold funds</p>

**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
<p>necessary (March 26).</p>		<p>until the audit is submitted. A review of TDA fiscal audits for the audit period included a few reports that were submitted past the extension timeline.</p> <p><b>Conclusion: Compliance</b></p>
<p>The RTPA has designated an independent entity to conduct a performance audit of operators and itself (for the current and previous triennium). For operators, the audit was made and calculated the required performance indicators, and the audit report was transmitted to the entity that allocates the operator’s TDA monies, and to the RTPA within 12 months after the end of the triennium. If an operator’s audit was not transmitted by the start of the second fiscal year following the last fiscal year of the triennium, TDA funds were not allocated to that operator for that or subsequent fiscal years until the audit was transmitted.</p>	<p>Public Utilities Code, Sections 99246 and 99248</p>	<p>For the current three-year period, ICTC has retained an independent entity, Michael Baker International, to conduct the audit of ICTC and of the public transit operators.</p> <p>PMC was retained to conduct the previous audit for the three fiscal years that ended June 30, 2013.</p> <p><b>Conclusion: Complied</b></p>
<p>The RTPA has submitted a copy of its performance audit to the Director of the California Department of Transportation. In addition, the RTPA has certified in writing to the Director that</p>	<p>Public Utilities Code, Section 99246(c)</p>	<p>ICTC submitted the completed triennial performance audits to Caltrans. A final cover letter dated January 29, 2015 accompanying the audits to Caltrans certified in writing that all performance audits were completed.</p>

**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
<p>the performance audits of operators located in the area under its jurisdiction have been completed.</p>		<p><b>Conclusion: Complied</b></p>
<p>The performance audit of the operator providing public transportation services shall include, but not be limited to, a verification of the operator’s operating cost per passenger, operating cost per vehicle service hour, passengers per vehicle service mile, and vehicle service hours per employee, as defined in Section 99247. The performance audit shall include, but not be limited to, consideration of the needs and types of passengers being served and the employment of part-time drivers and the contracting with common carriers of persons operating under a franchise or license to provide services during peak hours, as defined in subdivision (a) of Section 99260.2.</p>	<p>Public Utilities Code, Section 99246(d)</p>	<p>The separate performance audits of the operators providing public transportation services include the required verification of performance measures and analyses.</p> <p><b>Conclusion: Complied</b></p>
<p>The RTPA has established rules and regulations regarding revenue ratios for transportation operators providing services in urbanized and new urbanized areas.</p>	<p>Public Utilities Code, Sections 99270.1 and 99270.2</p>	<p>Due to results of the 2010 Census, ICTC was notified in July 2012 of changes in the geography area for the urbanized area boundaries. Among the revisions to funding methodologies included adoption of a revised farebox ratio from 14.5 percent to 17 percent in May 2013. The revised ratio reflects a new</p>

TABLE II-1 ICTC Compliance Requirements Matrix		
RTPA Compliance Requirements	Reference	Compliance Efforts
		<p>unit of measurement that better reflects use of public transit in the Imperial Valley. The revised methodology and farebox ratio were submitted to Caltrans.</p> <p><b>Conclusion: Complied</b></p>
<p>The RTPA has adopted criteria, rules, and regulations for the evaluation of claims under Article 4.5 of the TDA and the determination of the cost-effectiveness of the proposed community transit services.</p>	<p>Public Utilities Code, Section 99275.5</p>	<p>There are currently no Article 4.5 claimants for funds. However, as stated in the ICTC TDA Guidebook and Claims Forms document, the agency has adopted the following criteria for evaluating Article 4.5 claims:</p> <ul style="list-style-type: none"> <li>• High level of impact from the service in meeting a transportation need.</li> <li>• Priority for groups requiring special transportation assistance.</li> <li>• Minimizing adverse impacts on existing and taxi and transit services.</li> <li>• Innovative and efficient services.</li> </ul> <p>These criteria were adopted in December 1997 as part of the Consolidated Transportation Service Agency Goals and Objectives.</p> <p><b>Conclusion: Complied</b></p>
<p>State transit assistance funds received by the RTPA are allocated only for transportation planning and mass transportation purposes.</p>	<p>Public Utilities Code, Sections 99310.5 and 99313.3, and Proposition 116</p>	<p>ICTC allocates State Transit Assistance (STA) funds for transit services only. During the audit period, according to the ICTC annual disbursement schedule, STA supported regional ADA service.</p> <p><b>Conclusion: Complied</b></p>

**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
<p>The amount received pursuant to Public Utilities Code, Section 99314.3 by each RTPA for state transit assistance is allocated to the operators in the area of its jurisdiction as allocated by the State Controller’s Office.</p>	<p>Public Utilities Code, Section 99314.3</p>	<p>STA funds under this section are allocated to support regional ADA service.</p> <p><b>Conclusion: Complied</b></p>
<p>If TDA funds are allocated to purposes not directly related to public or specialized transportation services, or facilities for exclusive use of pedestrians and bicycles, the transit planning agency has annually:</p> <ul style="list-style-type: none"> <li>• Consulted with the Social Services Transportation Advisory Council (SSTAC) established pursuant to Public Utilities Code Section 99238;</li> <li>• Identified transit needs, including: <ul style="list-style-type: none"> <li>○ Groups that are transit-dependent or transit disadvantaged,</li> <li>○ Adequacy of existing transit services to meet the needs of groups identified, and</li> <li>○ Analysis of potential alternatives to provide transportation services;</li> </ul> </li> <li>• Adopted or re-affirmed definitions of "unmet</li> </ul>	<p>Public Utilities Code, Section 99401.5</p>	<p>Despite no TDA funds being allocated to street and roads since FY 2010-11, ICTC conducts the annual unmet transit needs process and hearing in consultation with the SSTAC. One of the SSTAC’s primary responsibilities is to advise ICTC on existing public transportation needs.</p> <p>Annually during the late winter/early spring, the SSTAC delivers a letter regarding transit needs and its review of “findings” to the Unmet Transit Needs Hearing Panel, which is a subcommittee of ICTC and comprises elected officials.</p> <p>The letter provides response to the findings made by the Panel, as well as other transit issues and concerns.</p> <p>A review of SSTAC letters submitted as part of the unmet transit needs process held during the audit period shows overall support of projects described in the findings. This is a positive indicator of the process.</p> <p>The SSTAC also meets monthly or as</p>



**TABLE II-1  
ICTC Compliance Requirements Matrix**

<b>RTPA Compliance Requirements</b>	<b>Reference</b>	<b>Compliance Efforts</b>
<p>transit needs" and "reasonable to meet";</p> <ul style="list-style-type: none"> <li>Identified the unmet transit needs or there are no unmet transit needs, or there are unmet transit needs that are reasonable to meet.</li> </ul> <p>If a finding is adopted that there are unmet transit needs, these needs must have been funded before an allocation was made for streets and roads.</p>		<p>needed and reviews and evaluates services and needs throughout the year.</p> <p><b>Conclusion: Complied</b></p>
<p>The RTPA has caused an audit of its accounts and records to be performed for each fiscal year by the county auditor or a certified public accountant. The RTPA must transmit the resulting audit report to the State Controller within 12 months of the end of each fiscal year, and must be performed in accordance with the Basic Audit Program and Report Guidelines for California Special Districts prescribed by the State Controller. The audit shall include a determination of compliance with the TDA and accompanying rules and regulations. Financial statements may not commingle with other revenues or funds. The RTPA</p>	<p>California Administrative Code, Section 6662</p>	<p>ICTC has had an audit of its accounts and records performed for each fiscal year by a certified public accountant. The firm of Hutchinson and Bloodgood LLP has performed the audit annually for FYs 2013–14 through 2015–16.</p> <p>ICTC also maintains fiscal and accounting records and supporting papers for at least four years following fiscal year close.</p> <p><b>Conclusion: Complied</b></p>

TABLE II-1 ICTC Compliance Requirements Matrix		
RTPA Compliance Requirements	Reference	Compliance Efforts
must maintain fiscal and accounting records and supporting papers for at least four years following fiscal year close.		

***Findings from RTPA Compliance Requirements Matrix***

ICTC has satisfactorily complied with all state legislative mandates listed in the Performance Audit Guidebook for Regional Transportation Planning Agencies. ICTC has improved upon compliance compared to the prior audit period by maintaining on file a written certification to Caltrans that the performance audits have been completed, including for non-Article 4 transit services.

ICTC updates the blended farebox recovery ratio for IVT every four to five years. Historically, this was accomplished in 2005 and 2009 as IVT serves both designated urban and rural areas. The last update in May 2013 reflects another change to the urbanized area designation due to the 2010 Census. ICTC was required to submit a revised methodology for the apportionment of federal grant revenue. After consultations with federal staff and the consultant statistician, ICTC developed a new methodology that measures the unit of passenger miles traveled rather than the previous method of using service hours. ICTC felt the new method, and subsequent updated farebox ratio, more accurately captures the measurement of the use of public transit services in Imperial Valley. The updated ratio of 17.0 percent was adopted by the ICTC Board for a three year period and forwarded to Caltrans. The updated ratio reflects the urbanized boundaries and the IVT Gold Line service in Brawley that was implemented in December 2013.

## Section III

### Responses to Prior Triennial Performance Audit Recommendations

This chapter describes ICTC's response to the recommendations included in the prior triennial performance audit. For this purpose, each prior recommendation for the agency is described, followed by a discussion of ICTC's efforts to implement the recommendation. Conclusions concerning the extent to which the recommendations have been adopted by the agency are then presented.

#### Prior Recommendation 1

Review TDA provisions for planning and programming allocations for ICTC activities.

Background: ICTC claims a portion of TDA funds for administration and planning purposes that are allowable by the statute. The TDA allocation for planning was less than 3 percent in FYs 2011 and 2012, but over this amount in FY 2013. As a statutorily created transportation planning agency, ICTC should consider the TDA provision governing use of Local Transportation Funds for planning by an RTPA which limits allocations up to 3 percent of annual LTF revenues for transportation planning and programming process (PUC Section 99233.2). While there is no allocation limitation for administration of the TDA fund, statutory limitations do apply for planning purposes.

Actions Taken by ICTC: ICTC's annual disbursement schedule shows that the agency's appropriation for planning and programming is limited to no more than 3 percent of LTF revenues. The audited LTF amounts for planning and programming were \$309,450 in FY 2013-14, \$0 in FY 2014-15,<sup>2</sup> and \$187,000 in FY 2015-16. These amounts, when summed up, compose 2.3 percent of the total available LTF for the Imperial Valley.

#### Conclusion

This recommendation has been implemented.

#### Prior Recommendation 2

Maintain final records of key submittals including TDA performance audit.

Background: As a compliance measure requiring that ICTC submit the triennial performance audit to Caltrans, it must certify in writing to Caltrans that all required audits have been

<sup>2</sup> No apportionment scheduled in FY 2014-15 due to on-hand balance remaining from FY 2013-14.

completed. While the performance auditor is confident that ICTC has submitted the prior performance audits to Caltrans, it should have a copy on file of the final cover letter accompanying the submittal as evidence of the date of submittal and what documents were submitted.

Actions Taken by ICTC: As described in the prior section, ICTC has improved upon compliance compared to the prior audit period by maintaining on file a written certification to Caltrans that the performance audits have been completed. A final cover letter dated January 29, 2015 accompanying the audits to Caltrans certified in writing that all performance audits were completed. A copy of the certification was provided to the auditor.

### Conclusion

This recommendation has been implemented.

### Prior Recommendation 3

Implement the State Transit Assistance efficiency test.

Background: As a carryover from the prior performance audit, under PUC Section 99314.6, before any STA funds can be used for operations, ICTC must conduct a test using a formula to determine the operator's year-over-year growth in cost per revenue hour or average three-year change. With the state legislative exemption from this provision expiring in FY 2014–15, the Commission should conduct the efficiency test beginning in FY 2015–16. ICTC currently allocates all STA funds for the operation of IVT Access ADA paratransit service. Typically this test is conducted during the TDA claims process before funds are approved and distributed for their intended expenditures. Alternatively, ICTC could request that the IVT fiscal auditor conduct the verification as part of the annual fiscal and compliance audit.

Given that ICTC allocates all STA funds for IVT Access for required ADA paratransit service, the statute allows exclusions of cost increases beyond the change in the Consumer Price Index for such expenses as comparable complementary paratransit. This exclusion would enable STA funds to continue to be used for the ADA service provided by IVT Access.

Actions Taken by ICTC: A review of fiscal audits, TDA claims, and other documents indicates that the STA efficiency test had not been undertaken for the audit period. The efficiency test determines the relative growth in audited operating cost per revenue hour for STA funded services year-over-year, and for a rolling three-year average, while factoring in inflation. The ability to use STA for operations was adjusted from State legislation in 2015 (SB 508). Although this change from the State legislation does not impact the current use of STA by ICTC to fund complementary ADA paratransit operations, ICTC should follow state provisions and conduct the test in compliance with statute. The test should most likely be conducted by the fiscal auditor in the annual fiscal audit.

## Conclusion

This recommendation has not been implemented and is carried forward for implementation.

### Prior Recommendation 4

Revise the TDA claims forms and provide training to the claimants.

Background: As a carryover from the prior performance audit, the current TDA claims forms were developed in January 2006 as part of the Transportation Development Act Guidebook update. During their subsequent use for the claims process, staff has found the claims forms to be complex relative to the claims being made and the information that is required from the claimants. A streamlined claims form would serve the agency better and should be revised as agency resources allow, along with providing further training to the claimants. The revised claims forms should include a requirement that the claimants report at least annually the status of implementing the fiscal audit and performance audit recommendations. This requirement can be inserted as part of the annual TDA claims package. A few samples of alternative claims forms are shown in the appendix section of prior performance audits of ICTC's predecessor, IVAG.

Actions Taken by ICTC: ICTC has not yet revise the TDA claims forms. Significant changes in the number of claims received due to consolidation of dial-a-ride occurred during the audit period, reducing the number of claimants. An update to the 1995 IVAG TDA Guidebook is identified in the OWP planning studies scheduled in future years but not included in the budget figures. ICTC continues to monitor resources with on-going plans to update the claims forms and guidebook.

## Conclusion

This recommendation has not been implemented and is carried forward for implementation.

### Prior Recommendation 5

Update the blended farebox recovery ratio for IVT.

Background: Historically, ICTC updates the required farebox recovery ratio and submits to Caltrans every four to five years. ICTC develops a calculation method to integrate rural and urban service areas into the formula to derive a ratio for IVT. Past operational changes to service such as with ADA paratransit presented opportunity to review options for the farebox ratio. In one example, the Public Utilities Code has provisions that allow a transit system to incorporate both fixed-route and specialized service farebox ratios under one combined ratio. PUC Section 99238(b) describes that the combined farebox ratio of fixed-route and ADA paratransit service must meet the farebox ratio of the fixed route alone. Rather than meeting

two separate farebox standards (one for fixed route, another for ADA paratransit), the transit system would be subject to one. ICTC adopted a new IVT blended farebox ratio in 2013, but should consider further options.

Actions Taken by ICTC: ICTC's blended farebox ratio accounts for IVT regional service and intra-city system (Blue/Green and Gold lines), and IVT Access. This blended ratio serves as the TDA performance standard from which funding eligibility is screened against. The ratio is based on the unit of passenger miles traveled and is supported by a Passenger Statistical Sampling Project for Imperial Valley Transit that is contracted with a consultant statistician. For other services, ICTC developed specific farebox ratios for defined services in the contract with First Transit. The service contract for each of the services provided by First Transit states that the farebox ratio of fare revenue divided by operating costs shall be maintained at or above 10 percent for the Brawley, Calexico and Imperial IVT-Ride transit service line and 5 percent for the West Shores IVT-Ride transit service line. The service contract also states a 10 percent ratio for IVT-ACCESS Paratransit, and 20 percent for Med-Express. ICTC must track the farebox ratios for each service type which also provides performance guidance for the contractor. ICTC annually commissions a separate transit services report prepared by an independent CPA for each service type that provides audited farebox ratios to assist in evaluating the specific First Transit services contract items.

#### Conclusion

The recommendation has been implemented.

## Section IV

### ***Detailed Review of ICTC Functions***

In this section, a detailed assessment of ICTC's functions and performance as an RTPA during this audit period is provided. Adapted from Caltrans' *Performance Audit Guidebook for Transit Operators and Regional Transportation Planning Entities*, ICTC's activities can be divided into the following activities:

- Administration, Management, and Coordination
- Transportation Planning and Programming
- TDA Claimant Relationships and Oversight
- Marketing and Transportation Alternatives
- Grant Applications and Management

### **Administration, Management, and Coordination**

ICTC is driven by its focus on transportation as described in its enabling legislation creating the independent county transportation commission. ICTC acts in accordance with all applicable laws and statutes for county transportation commissions.

Contained in the ICTC Overall Work Program (OWP) is a mission statement guiding ICTC activities:

*Our mission is to enhance the quality of life and regional economy of Imperial County by ensuring safe, responsive and efficient transportation and transit solutions.*

In addition, the ICTC Transit Planning and Program Management section of the OWP includes a vision and mission statement guiding transit investment in the county:

#### **Transit Mission Statement:**

*The mission of the Imperial County Transportation Commission (ICTC) public transit systems is to improve the quality of life for the residents of the Imperial Valley through a coordinated, accessible, affordable and efficient countywide transit system.*

**Transit Vision Statement:**

*The transit network provides a safe, affordable and reliable transit system that meets the needs of the transit dependent in communities within the Imperial Valley, by providing access to health care, education, public services, employment, commercial and recreational activities.*

By these above statements, ICTC continues to administer and implement plans and programs that meet community needs and values.

During the audit period, ICTC accomplished many tasks to promote transportation system improvement. By fiscal year, the following accomplishments are highlighted:

FY 2013-14:

- Completion of the Transit Transfer Terminals in the Cities of Brawley and El Centro
- Increased regional transit service hours on Imperial Valley Transit (IVT) and IVT ACCESS:
  - The Imperial Valley College (IVC) Express Trips
  - Increased Saturday Service
  - Reduced service headways from 70 minutes to 35 minutes from Calexico to El Centro
  - Implemented the Brawley Gold Line Circulator; and
  - Introduced for the first time, a limited Sunday service schedule
- Initiated several transit and transportation studies of regional significance
- In partnership with the Imperial Valley Economic Development Corporation and Baja California partners executed a Memorandum of Understanding to institutionalize binational partnership and programs for the Imperial-Mexicali Binational Alliance; and,
- In partnership with Caltrans and the CTC, the 2014 State Transportation Improvement Program (STIP) was adopted to include full state funding for:
  - I-8 Imperial Avenue Interchange Re-Construction Project (\$39.1 Million)
  - Planning, Programming and Monitoring (PPM) funding for Regional Planning Staff Resources through FY 2018- 2019 (\$1.2 Million)

FY 2014-15:

- Completed the consolidation of Dial-a-Ride services for cities of Brawley, Calexico, Imperial, and the Westshores community
- Completed several transit and transportation studies of regional and national significance:



- Calexico Border Intermodal Transportation Center Feasibility Study
  - IVT Bus Stop Safety and Design Standards and Guidelines Project
  - ADA Paratransit Service Certification and Eligibility Process, Demand Management, and Growth Assessment
  - 2014 Coordinated Public Transit and Human Services Transportation Plan
  - 2014 Imperial County Disparity Study
  - California/Baja California Border Master Plan, 2014 Update
  - California/Baja California Bicycle and Pedestrian Access Study
  - County of Imperial's 2014 Comprehensive Economic Development Strategy (CEDS) – Transportation Update
- In partnership with the Imperial Valley Economic Development Corporation (IVEDC) hosted first annual General Assembly and Economic Summit; and,
  - Initiated the following studies in partnership with Caltrans, SCAG, SANDAG, member agencies and local partners:
    - The Safe Routes to School Regional Master Plan
    - The SDSU-IVC Transit Shuttle Analysis and Feasibility Study
    - The Cross-Border and Goods Movement Analysis Study, Phase 2
    - Mobility Hub Strategy for San Diego and Imperial

FY 2015-16:

- Completed the contract advertisement and award for IVT MedTrans and IVT Ride El Centro for transit services that began on July 1, 2016
- Launched a Wi-Fi demo service on all sixteen 40 foot IVT buses and continued to add industry standard security cameras on all ICTC owned buses
- Continued to replace contractor owned vehicles, and, expanded the fleet with 32 new buses and 2 new transit operation service vehicles to IVT branded fleet.
- Hired one new staff to serve as Mobility Coordinator for senior citizens and ADA transit programs and services – In the first four months staff successfully assisted with the outreach and coordination with the transit operator, social service and medical service providers
- Achieved approval for the FY 2016-17 State Transportation Improvement Program (STIP) that includes \$38.7 million for the I-8 Imperial Avenue Interchange and ICTC's Regional Plans and Program funds

- Achieved approval for the FY 2016-17 Federal Transportation Improvement Program (FTIP) that includes \$470 million for a combination of local roadway and bridge projects, Interstate 8 and other state highway pavement improvement projects; and
- Managed and administered distribution of \$14.7 Million in Measure D (half-cent sales tax) revenues for member agency road projects, and regional transit and highway projects.
- In partnership with Western Riverside Council of Governments and Renovate America implemented the HERO/PACE energy savings program that has completed \$1.6 million in local residential projects and to date \$13 million in projects have been approved
- Completed the following transit and transportation studies of regional and national significance:
  - The Safe Routes to School Regional Master Plan
  - The SDSU-IVC Transit Shuttle Analysis and Feasibility Study
  - The Cross-Border and Goods Movement Analysis Study, Phase 2
- In partnership with the Imperial Valley Economic Development Corporation (IVEDC) hosted the second annual General Assembly and Economic Summit; and,
- Initiated the following studies in partnership with Caltrans, SCAG, SANDAG, member agencies and local partners:
  - Imperial/San Diego Mobility Hub Strategy
  - Fresh Look at Impacts of Border Delays for the California-Baja California Binational Region

### **Staffing and Administration**

ICTC staffing levels have been augmented in recent years in order to meet the demands and expanded responsibilities of a multidisciplinary transportation planning agency. The Executive Director is working with statewide and Southern California stakeholders to advocate and pursue future funding opportunities and transportation policies for the Imperial Valley. As part of this effort, the Executive Director represents the region with participation in statewide organizations such as the California Association of Councils of Government (CALCOG), Self-Help Counties Coalition (SHCC), and Mobility 21, and is a member of the Southern California Transportation CEO's monthly meetings. In 2013, the Executive Director served as the chair for the CEO group for a year.

For the audit period, each fiscal year's budget proposed staffing of seven full-time positions to manage the programs and services described in the OWP. The full-time positions include one Office Technician, one Secretary/Clerk to Commission, one Administrative Analyst, three transportation planner positions from entry-level to senior-level in classifications (responsible for: Regional Transportation Planning and Programming, and Transit Planning, Programming,

Contracts and Transit Service Administration), and the Executive Director. Minimal staff turnover occurred the past three years, once for a Transit Planner position, and twice for the Office Technician. As described above, a new Mobility Coordinator within the Regional Transit Program was created from a grant award in the latter half of FY 2015-16. The creation of this mobility coordination position and responsibility to conduct public outreach and ADA interviews has resulted in a large increase in telephone calls, appointments and walk in traffic. ICTC has proposed a grant funded (limited term) office assistant position to handle the increase in scheduling appointments and handling of confidential paperwork.

Consultant and vendor services continue to support the Commission's administrative and programmatic functions (e.g. accounts payable, accounts receivable, payroll, various program and fiscal audits, and support services for human resources, legal counsel, planning and project programming, and transit programs). Legal services are contracted with the County, and human resources services are contracted with City of Imperial.

The salary and benefits structure, human resource and other employment-related materials are contained in the ICTC Personnel Policies and Procedures Manual that was revised shortly after the audit period. The manual provides policy and procedures for the administration of all matters affecting the status and activities of employees of ICTC. The Executive Director is responsible for administration of the personnel system.

### **ICTC Board and Committees**

#### *Governing Board*

As established by its enabling legislation, the ICTC Board receives representation from each city, the County, and the Imperial Irrigation District (IID) as voting members. One non-voting member appointed by the Governor representing Caltrans also serves on the board. The legislation creating ICTC also provides in the future an opportunity for the governing board to also include the following ex-officio or non-voting members: one member representing the State of Baja California, Mexico; one member representing the municipality of Mexicali, Mexico; one member representing the Consul of Mexico in Calexico, California; and one member representing any federally recognized Native American tribe in Imperial County. The Board's expansion in this manner recognizes the cross-border and tribal relations that ICTC may seek to further develop through these entities' contributions.

Several Board members were interviewed by telephone for this audit. Those interviewed expressed satisfaction with staff administration, responsiveness, professionalism, and productivity. Its independence and actions of the Executive Director and staff confirm expectations that ICTC serves all member jurisdictions in a fair manner. Staff is adept to develop recommended policies and funding priorities that promote regionalism which in turn raises the quality of travel for everyone in the County, including in the smaller jurisdictions. Commissioners recognize the extended focus on regional transportation through work on cross-

border transportation infrastructure, economic development, and the environment. Also, the annual strategic planning and budgeting processes among ICTC staff, its committees, and the Board has been helpful for the Board to receive information and provide guidance on regional activities that align with community goals and can be accomplished within budget constraints for the upcoming year.

Board members are aware of the value of partnerships, and the continuous need for the agency to forge collaborations both locally and outside the region, and with entities within and outside the transportation sector such as colleges and economic development agencies. In part as a consequence of the Commissioners' strong confidence in staff recommendations on projects, it was indicated that Commissioners should be encouraged to further discuss projects prior to voting including fully digesting the decision-making process conducted through the ICTC standing committees. Some felt the Board was serving as a rubber-stamp body, but acknowledged the challenges of adequately preparing for the mounting information not only from ICTC, but other boards they serve on. Byproducts raised by Commissioners of the high level of information and subject areas distributed to the ICTC governing board include increased length of meetings, occasional lapse in full staff preparedness of presentation materials, and whether an improved synopsis of the material could be formulated. In addition, the topic of ICTC serving as a Council of Governments remains ongoing.

#### *Management Committee*

The Management Committee serves as the management body that provides staff direction, coordinates the activities of the other committees, and advises the ICTC Commissioners on policy issues. Interviews with responding city managers indicated overall satisfaction with staff competencies and the direction that is being taken. Several indicated that as an independent agency, ICTC embraces the spirit of cooperation among the members as the focus of ICTC is placed on regionalism and inclusive participation. Regional issues are being moved forward and addressed through the aggressive grant- and fund-seeking ability of ICTC staff to secure funds to plan, program, and then implement transportation improvement projects. Those interviewed felt a greater sense of equity, responsiveness, and fairness from ICTC in establishing a more even playing field for the member jurisdictions. Increased implementation and promotion of public transportation alternatives and infrastructure has also raised ICTC's image as a partner in redevelopment of areas around its new transit centers. The agency's positive momentum in fostering transportation improvements spurs conversation of agency expansion into other regional issues.

#### *Technical Advisory Committee*

The Technical Advisory Committee provides input on the coordination and development of the regional transportation improvement program of projects, transportation planning programs, and transportation funding programs.

Interviews conducted with various city public works and planning members of the TAC indicated positive responses to staff's capabilities, preparedness for TAC meetings, communications, and general working relations. Similar to Management Committee responses, the TAC members approve of the agency's approach to fairness among the local jurisdictions and the greater awareness of regional issues and transportation funding opportunities. They iterated ICTC's willingness and ability to assist when requested including procuring safety measures at the transit transfer centers. The agency's outreach capability is also expanding such as public workshops that were held during the consolidation of dial-a-rides.

#### *Social Services Transportation Advisory Council*

The SSTAC reviews public transportation needs, especially services for the elderly, persons with disabilities, and those of limited means. The council maintains a master needs list of potential transit improvements which provide material for the annual unmet transit needs meetings that are open to the public for review and comments. The list and any additional comments from the public hearings help determine which transit needs are forwarded to the Unmet Transit Needs Hearing Panel and the Board for action. During this process, the SSTAC submits a letter to the Board and the Unmet Transit Needs Hearing Panel advising on transit needs in the county while supporting transit improvement efforts. The letter provides a listing of transit issues and concerns for consideration by the hearing panel, and a review of the panel's "findings" by the council along with any other concerns.

Several SSTAC members responded to requests for interviews for this audit. Most of those interviewed have been on the SSTAC for many years. Those interviewed expressed overall approval of how ICTC staff administer the unmet needs process and fund reasonable transit requests as depicted by the declining number of unmet needs and complaints at the public hearings. Staff's effort to use technology and be innovative thinkers in addressing public transit issues has been heading in the right direction. It was expressed that ICTC has significantly expanded the role of public transportation in the community as well in the public dialog. Staff promote fair and open discussion, are more visible, and are knowledgeable about the issues while keeping members informed. The enforcement of dial-a-ride rider policies has also helped with facilitating service geared toward those who are eligible and in the most need.

#### *Member Orientation*

The above interviews with board and committee members revealed commonalities in their impressions about ICTC's effectiveness. As described by these members, the complexity of issues and coordination required by ICTC has grown as the agency is established and has evolved as an independent entity. Due to the nature of rotation in membership on the board and committees, ICTC staff face the challenge of orienting new members on a fairly regular basis about the agency. Many interviewees expressed that the orientation process has not been standardized, with some receiving one-on-one consultation from staff, while others have had to learn on their own. ICTC retains an open door for a new or existing member to consult with

staff and to become more familiar with the agency; however, a standard orientation process might be warranted. This could include an annual conversation during a board and committee meeting at the beginning of the year on the purpose and ground rules of the board/committees, and development and distribution of a user friendly handout on the agency's workings. The existing ICTC Overall Work Program and Budget serves some capacity and has materials for the handout, and could be leveraged in the formulation of a standalone orientation piece. Other prior presentations on an overview about ICTC could also be used for orientation materials.

## **Management and Coordination**

### *Strategic Planning*

ICTC, in partnership with the Imperial Valley Economic Development Corporation and Southern California Association of Governments, and organized by Imperial Regional Alliance, hosts an annual General Assembly and Economic Summit. The event commenced in 2015, the first since ICTC's inception in January 2010. The General Assembly and Economic Summit is a two-day meeting underscoring the many activities occurring in the Imperial Valley to promote economic development, bi-national alliance, health, and travel in the region. Topics for the economic summit include panel presentations on the state of the Imperial Valley economy; access to capital, infrastructure, education and healthcare; and bi-national mega region. The general assembly the following day gathers leaders and political representatives from the region to highlight Imperial Valley projects and programs and provide a forum for policy matters to be identified and addressed.

The annual event complements other countywide endeavors to increase the welfare of the region including the Imperial County 2020 Strategic Plan prepared by Imperial County in December 2015. ICTC was identified in the plan as a responsible party along with the County, Caltrans and the Local Agency Formation Council to carry out an objective to examine Imperial County's infrastructure needs through 2020 and develop a plan to address identified needs. ICTC is also to be consulted on the half-cent sales tax for ongoing road improvements.

Work done by ICTC over the past years follow the OWP that draws upon current needs and projected growth while acting on outcomes from previous Board strategic workshops. By having Commission decision-makers provide direction for the organization's overall focus, core priorities and a plan for action identifies responsible parties, timelines, and desired outcomes. These ICTC priorities were:

1. Regional Transportation Planning Functions
2. Consolidation of Fractured Transportation Services
3. Advocacy and Exposure of ICTC and the Region
4. Development of a Council of Governments (COG)

## 5. Build ICTC's Administrative Capacity

Several of these priorities, such as the consolidation of fractured transportation services, building administrative capacity, and advocacy and exposure through the General Assembly and Economic Summit, were achieved during the audit period, while regional transportation planning functions continue to strengthen.

With greater autonomy, ICTC is able to further its regional coordination through more active participation with SCAG as a partner. ICTC staff is a member of SCAG's Subregional Plans and Programs Technical Advisory Committee and is part of the County Commission subgroup. Three ICTC Board members are also on the SCAG Regional Council. Adding to this relationship is the SCAG Regional Council Districts in which members serve as liaisons between SCAG and the local agencies. A former ICTC transportation planner currently manages SCAG's Imperial County Regional Office. This elevated participation has benefitted Imperial County and results in more active coordinated efforts to place important projects into SCAG's Regional Transportation Plan. ICTC also serves as a representative on the San Diego Association of Governments (SANDAG) Borders Committee, and is co-lead in the Imperial-Mexicali Binational Alliance that was established in September 2013.

### *Dial-A-Ride Consolidation*

As one of the strategic plan priorities, ICTC began a process of transit service consolidation in FY 2013-14. ICTC's member agencies were interested in determining if greater efficiencies, better compliance with regulations and cost reductions could be achieved through the consolidation of services under one turnkey contractor with one administering agency. ICTC would be the administering agency and a Paratransit Coordination Committee would be formed by the participating public agencies to retain the ability to be responsive to their constituents, review system performance and make recommendations. ICTC issued an RFP in February 2014 for a contractor and First Transit was selected; however, the City of El Centro confirmed its non-participation which required a new competitive bid. The Board rejected all bids and recirculated the RFP in June 2014. First Transit was selected by the Board and the operational steps towards consolidation began. Targeted phase in dates for the IVT-Ride service were October 1, 2014 for Calexico and Imperial, December 1, 2014 for West Shores, and January 2, 2015 for Brawley. El Centro Dial-A-Ride continued to operate separately until June 2016 when its service was also consolidated and operated by First Transit. Further, an RFP for IVT Med-Express was issued in February 2016 upon expiration of the prior contract in June 2016; First Transit was selected for this service as well, rebranded as IVT MedTrans.

## **Transportation Planning and Programming**

Planning and programming functions are organized along ICTC's core responsibilities. They include two primary areas: Regional Transportation Planning and Program Management; and Transit Planning and Program Management.

ICTC activities emphasize the implementation of the Regional Transportation Plan (RTP) and Sustainable Community Strategies (SCS) for Imperial County. ICTC and SCAG work in partnership with each of the cities and the county agencies to implement the strategies and projects identified in the RTP. Additionally, ICTC in participation with Caltrans and SCAG completed the scope of work for a comprehensive update of the Imperial County Long Range Transportation Plan (LRTP) in November 2013. The report updates the 2007 Imperial County Highway Element Report and reviews the transportation infrastructure within Imperial County and develops a prioritized list of highway facility and roadway improvement projects. No significant changes to the priorities are warranted since the last update. However, federal regulations require the consideration of Transportation Demand Management/Transportation System Demand strategies in the development of all regionally significant Single Occupancy Vehicle capacity enhancing projects.

ICTC continues efforts with SCAG and Caltrans District 11 to update the Imperial County Transportation Model. This regional transportation model is a critical planning tool for evaluating and prioritizing major transportation improvements in the county. Staff, local stakeholders, and Caltrans formed a partnership in the development of a project study report (PSR) and work to identify funding opportunities for development of the PSR for the Forrester Road Corridor from I-8 to SR78/86. The PSR is a critical planning/preliminary engineering study necessary for the Forrester Road Corridor and Westmorland Bypass from I-8 to SR-78/86.

The Transportation Improvement Program activity for ICTC encompasses development and amendments to the state and federal transportation improvement programs (TIPs), including selection of projects to provide the greatest benefit based on approved criteria. These activities include development and submittal of specific documentation to the California Transportation Commission. Since 2008, ICTC has contracted with a consultant to maintain, evaluate, and participate in the programmatic functions of the STIP and RTIP. These activities include development and submittal of specific documentation to the California Transportation Commission. In addition, the consultant represents ICTC, attends Caltrans-sponsored meetings, and participates in teleconferences and the development of specific technical documentation for regional transportation projects.

ICTC administers the Local Transportation Authority program of Measure D sales tax transportation funds. The sales tax was renewed by voters and became effective April 1, 2010, and is in effect for a period of 40 years. These responsibilities include but are not limited to providing staff support to the LTA Board and administration of the LTA funds. The ICTC Executive Director also serves as the LTA Executive Director. The renewed sales tax program includes allocation of 2 percent of funding to support transit projects, primarily for dial-a-ride service (IVT-Rides).



## **Overall Work Program**

ICTC develops an annual OWP and Budget that serves as the agency's planning and financial blueprint for the allocation of funds for tasks contained in the plan. The OWP is divided into three sections including the Budget Summary and the core programs of Regional Transportation Planning and Programming, and Transit Planning and Program Management.

The Transit Planning and Program Management portion of the OWP incorporates the former Transit Finance Plan that provides the annual budget and planned expenditure commitments for each transit system. The work element receives input from three sources - the annual Unmet Transit Needs Public Hearing, a review of available revenues, and development of service budgets in partnership with the member agencies. The inputs are shown in financial tables and graphic displays along with other key information such as distribution of local transportation funds; descriptions and highlights of new and ongoing activities by ICTC and the transit operators such as capital improvements and new services; and status of planning studies and related projects by ICTC and the local jurisdictions. Additional information is included such as accomplishments from the prior year, a description of funding sources, and an expanded financial plan. On top of the list of accomplishments identified in the beginning of this report section, ICTC in partnership with the City of Calexico will pursue funding for design, right-of-way and construction to complete the Calexico Intermodal Transportation Center. ICTC will also pursue funding to implement the planned transit circulators in the cities of Calexico (Garnet Line) and Imperial (Red Line) approved by both cities and Commission.

As part of the description of funding sources, ICTC designs a detailed funding table of federal, state, and local grants and revenues it receives for public transit. ICTC receives FTA grant funds which require ICTC to maintain exclusive tables for the tracking of revenues and expenditures as required by the FTA. Budgeted and estimated actual data is reported in the tables.

## **TDA Claimant Relationships and Oversight**

This functional area addresses ICTC's administration of the provisions of TDA. The sub-functions described include costs to administer the program, technical and managerial assistance to operators, TDA claims processing, and the unmet transit needs process.

### **ICTC Administration and Planning**

According to the ICTC TDA annual disbursement schedule, between FYs 2013–2014 and 2015–2016, ICTC allocated between \$4.6 million and \$8.3 million annually in total Local Transportation Funds (LTF).<sup>3</sup> The higher allocations in the latter years account for release of

<sup>3</sup> ICTC Financial Report of the Transportation Development Act Fund.

reserves for bus purchases for IVT and IVT-Rides, as well as setting aside new capital reserves. Over the same period, State Transit Assistance funds ranged from \$702,000 to about \$904,000.

The uses of the LTF revenues apportioned to Imperial County flow through the priority process prescribed in state law. Prior to apportionment of funds to the Article 3 Bicycle and Pedestrian Program, and for Article 8 transit uses, ICTC claims LTF revenues for TDA administration, auditing, and planning. Table V-1 shows the annual LTF claims retained by ICTC. The allocation of LTF for ICTC administration and planning ranged from \$887,300 in FY 2014 to \$558,337 in FY 2015 to \$1.0 million in FY 2016. The decrease in allocation between FYs 2014 and 2015 was from no apportionment scheduled in FY 2014-15 due to on-hand balance remaining from FY 2013-14. Increased trends in budgets were attributed to the agency’s need to keep up with its growing responsibilities, including the addition of administrative support costs, increases in insurance liability as the ICTC takes ownership of the bus fleet, meeting federal grant compliance and audit requirements, and updating transit planning and statistical studies. The growth in expenditures for ICTC transit administration and special projects is an indication of the growth in public transportation in the county and the use of LTF for these intended purposes.

**Table IV-1**  
**LTF Revenue Claims by ICTC for**  
**Administration and Planning**

Fiscal Year	LTF Claim
2013–2014	\$887,300
2014–2015	\$558,337
2015–2016	\$1,038,744

Source: ICTC Financial Report of the Transportation Development Act Fund

As described in the prior audit recommendation section, these amounts separated for planning programming, when summed up, compose 2.3 percent of the total available LTF for the Imperial Valley. As a statutorily created transportation planning agency, ICTC is compliant with the TDA provision which limits allocations up to 3 percent of annual LTF revenues for transportation planning and programming (PUC Section 99233.2).

During the triennial audit period, ICTC commissioned several important studies and projects to further the transit program. A summary of these include:

- The Calexico Intermodal Transportation Center - A grant funded feasibility study for the proposed Calexico Intermodal Transportation Center (ITC) was completed in October 2014. The goal for ICTC and the City of Calexico will be to pursue grant funding for design, right-of-way and construction. The estimated total cost is \$10 million.
- Circulator Bus Design Project – the study was completed in February 2014 to provide riders in Brawley, Imperial, and Calexico with enhanced coverage within each

community, as well as efficient connections to the main IVT bus routes. The study planned for the proposed IVT Gold Line in Brawley, Orange Line in Calexico, and Red Line in Imperial.

- Update to the 2009 Regional Coordinated Plan - The Plan Update was completed in FY 2014-15. The document provides justification by ICTC and other agencies for various grants and funding requests, particularly by social service agencies providing transportation to their clients. ICTC will be reviewing the strategic commentary in the Plan Update to potentially adjust services for public transit services.
- ADA Demand Management and Eligibility Assessment Study - The Study was completed in FY 2014-15. The Commission selected several items for implementation in subsequent years including revisions to the ADA certification and eligibility process (forms and documentation), and several changes to the IVT ACCESS website.
- Four-Phase Bus Stop Improvement Program - In FY 2013-14, ICTC staff developed a plan for a four-phase bus stop improvement program. Early phases were completed in FY 2014-2015, with remaining phases scheduled to be completed through FY 2018-19.
- Imperial Valley/San Diego State University - IV Transit Shuttle Analysis - Completed in FY 2015/16.
- Imperial County Safe Routes to School Regional Master Plan – Completed in April 2016, the plan provides a roadmap for physical improvements and programs to make it safer for students to walk and bicycle to school, and to increase the number of students walking and bicycling to school.

Other transit studies and analysis are planned including update to the 1995 IVAG TDA Guidebook; update to the 2012 Short Range Transit Plan; evaluation/analysis of public transit fare increase; and conversion of bus route map to GIS format.

### **Technical and Managerial Assistance to Operators**

During the early years of the audit period, and prior to consolidation of dial-a-ride transit service, ICTC provided assistance to the operators as needed. Assistance has been provided in a number of instances, including helping fill out and process TDA claims, and leading coordination efforts among the regional and local transit services.

ICTC collected performance data from each operator on a quarterly basis to develop performance trends and monitor service. The performance data was entered in a master spreadsheet by operating system and compared to nine performance benchmark indicators that were developed from the last Short Range Transit Plan. Many of the benchmark indicators were the same as those contained in the TDA statute. This process of reviewing the data on a regular basis by ICTC demonstrated its active role in providing oversight of TDA-funded transit services.

The collection and review of dial-a-ride performance data was modified upon consolidation of dial-a-ride. Rather than collect data from each city, performance monitoring of the ICTC-administered service are conducted through quarterly meetings between ICTC and First Transit at ICTC offices. A sign in sheet is available and lists multiple personnel from both agencies. An agenda is provided of discussion items that include review of performance and operations of each system, discussion of additional pertinent operations items, review of upcoming projects, and First Transit discussion of any items. The practice of comparing actual performance against benchmarks continues at these meetings. A sample full agenda packet shows detailed performance analysis for each system with tables and line graphs highlighting trends in operations and budget. Farebox recovery is calculated in steps, from IVT only, to IVT plus IVT Rides, and then the addition of IVT Access. Meeting notes and follow up actions with assigned responsible party are documented. These meetings and detailed analysis help ICTC meet compliance with the TDA requirement to make productivity improvements.

In obtaining firsthand knowledge of operations, ICTC staff utilize proactive techniques including in-person on-board observations and shadowing where staff will follow the bus/vehicle from behind. An on-board observation form is used and includes a checklist and operations-type criteria that are filled out by ICTC staff. Observations include the start and end time, driving habits, customer service, and bus requirements. A comments section is also provided for notes and other observations about the trip. A sample of filled out forms provided by ICTC indicate careful observation and copious note-taking during these on-board ridesalongs. These techniques provide first-hand information that supplement the performance measurement data to enable ICTC to gain a greater understanding of daily operations.

### **TDA Claims Processing**

Claims for TDA funding are made by ICTC for transit services. In prior years, claims were submitted by the local jurisdictions for their respective dial-a-ride systems. A new claimant beginning in FY 2015-16 is the Quechan Indian Tribe which requests LTF funds for operation of YCAT Routes 5 and 10. A larger amount of LTF is being used to subsidize the Eastern Imperial County Transit Services as set by the amended agreement between the three entities. A claim and required documents for TDA funding are in accordance with the adopted Transit Planning and Program Management work element and can be submitted throughout the claim's fiscal year.

ICTC utilizes elements of the 2006 IVAG Transportation Development Act Guidebook and claims forms. The purpose of the guidebook is to serve as a reference document for TDA claimants and ICTC staff managing the TDA claims process. While the TDA guidebook provides ample information and definitions to complete the claims, ICTC staff indicated as it has in the past the difficulty of using the claims forms, citing their complexity, which has contributed to a lack of proper data submitted by the claimants for transit funds. Staff indicated that due to the form's complexity, the claimants only fill in the minimum information and ICTC staff must spend time filling in as much remaining information as their limited time allows before processing the

claims. The submittal process for the revised claims forms via electronic mail was also to become standardized, but that has not been the case. The TDA claim processing has been simplified to a degree with the consolidation of dial-a-ride and only one claim required for the intra-city service. Separate claims continue to be made for IVT, IVT Circulators, IVT Access, and IVT Med-Express.

Claim application instructions are provided in the guidebook, and specific claims forms have been developed for TDA Articles 3, 4, 4.5, 6.5, 8a, 8c, and 8e. The forms vary according to the funding program being requested, and each form has a standard assurances checklist identifying all of the items required by that funding program. The forms provide the justification for the revenues and that the necessary compliance standards, such as the farebox recovery ratio, have been met. Within ICTC's jurisdiction, claims are made under Articles 3 and 8 for local transportation funds and under Article 6.5 for State Transit Assistance (STA) funding. Currently, there are no Article 4 or 4.5 claimants in Imperial County.

For Article 3 bike and pedestrian claims, the checklist includes the non-transit claim form, financial reporting form, project information, governing body authorization, and other exhibits. Article 8c is used for transit operations and capital fund requests. The Article 8 and STA transit claims include the transit claim form, standard assurances, governing body authorization, financial statements for operating and capital, justification statements, cooperative agreement or copy of current contract, proposed commitment statement, and additional exhibits such as the terminal inspection certificate, annual State Controller's Financial Transactions Report, and annual fiscal audit. Each September, member agencies submit candidate projects, which ICTC approves in a public process. Agencies then submit claims forms for approved projects throughout the fiscal year.

Under Article 8e, ICTC allocates funds toward the Bus Stop Benches and Shelters Program, which involves the installation and maintenance of bus stops for IVT. The program sets aside funding annually for member agencies that then choose the amenities and aesthetics desired as per local requirements and values. Further, ICTC does not allocate LTF funds for street and road projects.

STA funds are allocated to IVT Access as these funds became more predictable from the state gas tax swap legislation in 2010 that changed the funding source. Recently passed State legislation (AB 1113) further solidifies the predictability of STA funding, in particular the revenue based portion of which IVT is eligible. Historically, STA supported AIM Transit in the Imperial Valley, as the amount of STA funding in past years was comparable with the subsidy amount for AIM Transit.

As a condition of using STA for operational expenses, the TDA statute requires that ICTC conduct an efficiency test. This test has been exempt statewide for the past five years through FY 2014–15 as a result of SB 565 (DeSaulnier). Beginning in FY 2015–16, the efficiency test per PUC Section 99314.6 relating to operating cost per hour will need to re-commence to use STA

for operations. However, given that ICTC allocates all STA to IVT Access for required ADA paratransit, the statute allows exclusions of cost increases beyond the change in the Consumer Price Index for such expenses as comparable complementary paratransit. This exclusion enables STA to continue to be used in full for operations of the ADA service provided by IVT Access.

### **Unmet Transit Needs**

Unmet transit needs hearings are required by the TDA where claims can be made for streets and roads. Although ICTC has not allocated LTF revenues for street and road purposes since FY 2009–2010, the agency continues to conduct the annual unmet needs process in consultation with the statutorily required Social Services Transportation Advisory Council (SSTAC). The SSTAC discusses and analyzes the master list of transit needs to help form the priority needs that are advocated and recommended to the Unmet Needs Hearing Panel and ultimately to the ICTC Board. A letter prepared on behalf of the SSTAC is submitted to the Unmet Needs Hearing Panel in the spring with the recommended transit needs, and any further comments.

The Unmet Needs Hearing Panel, comprising ICTC Commissioners, attends the annual unmet needs hearings required by the TDA. From a review of documentation, ICTC complies with the unmet needs process including properly advertising the public hearings in newspapers of general circulation in both English and Spanish as well as in radio ads. The agency makes annual findings of unmet transit needs that are reasonable to meet. ICTC staff educate Commissioners and other stakeholders of the unmet needs hearings that have resulted in greater awareness and reception of the outcomes by the Commission.

ICTC has defined unmet transit needs as “those public transportation or specialized transportation services that are identified in the Regional Short Range Transit Plan, Regional Transportation Plan or similar Mobility Plan, that have not been implemented or funded.” The definition of “reasonable to meet” encompasses the following factors: community acceptance, timing, equity, economy, and cost effectiveness. The test of reasonable to meet is conducted using definitions that date back to 1992.

A summary of unmet transit needs findings is prepared for the Unmet Transit Needs Hearing Panel, which convenes a public hearing in February or early March. The summary describes the list of recommended findings that are reasonable to meet, the public hearing process, and the unmet transit needs definitions. TDA funding for transit has increased due to documented transit needs that are identified during the annual unmet transit needs process. The unmet transit needs list of findings and Board resolution are submitted to Caltrans generally in May for review of completeness.

## **Marketing and Transportation Alternatives**

ICTC has created a community outreach/public information/marketing program that considers ways to incorporate all ICTC services into one comprehensive identifiable entity. The most

significant local event that boosts its visibility and brings the region together is the annual General Assembly and Economic Summit. Other activities for public information include (1) maintaining and enhancing the ICTC website that provides one-stop access to information about ICTC and the LTA for its member agencies, key stakeholders, and the general public; and (2) creating separate websites for each of the transit systems (IVT, IVT Access, IVT Ride, IVT MedTrans, and YCAT). ICTC's home website provides links through rolling logos of the member agencies and partners that enable the user to obtain additional information and direct the user to the respective agencies' home websites. Other aspects of the outreach program include the administration and management of information provided for board meetings and ICTC subcommittees, as well as other public outreach events for regional transportation planning and transit planning activities.

ICTC has made a significant effort to increase its communication with the public by providing information in a bilingual English/Spanish format, including its website and those of the transit systems, as well as for unmet transit needs hearings. When feasible, ICTC has created bilingual media and provided interpreters at public meetings to enhance participation and communication. These efforts have proven useful for such activities as the annual unmet transit needs and communication with transit drivers.

ICTC's Public Participation Plan ensures a proactive public involvement process with an opportunity for the public to be involved in all phases of the planning process by providing complete information, timely public notice, opportunities for making comments, full access to key decisions, and early and continuing involvement in developing transportation plans and programs. Because ICTC is a subregion of SCAG in which SCAG acts as the metropolitan planning organization (MPO) for Imperial County, the public participation plan complies with SCAG public participation plan requirements. The plan describes the key policy documents (such as Air Quality Conformity Analysis, Overall Work Program, Regional Transportation Plan, Transportation Improvement Program, and environmental documents), public meeting noticing, public comment periods, citizen advisory committees, and agency protocol. Various ICTC studies conducted during the audit period such as the *Public Transit – Human Services Transportation Coordination Plan Update*, and *Circulator Bus Design Project* implement facets of the public participation plan.

With regard to transit marketing, ICTC publishes brochures for each ICTC-administered transit system. Separate websites for each transit services are linked through the ICTC home website. The IVT website includes a description of the service, route schedules and map, a trip planner function, FAQs, contact information, and links to Imperial Valley College, IVT Access, and ICTC. Within this site are other links to information for the local circulators including the Blue, Green, and Gold Lines, which follow the same web format as the intercity service. The IVT Access website also follows the same format as IVT and includes descriptions of rider eligibility, rules, fares, and making an appointment. Further, IVT Ride and IVT MedTrans have separate websites with information and contact information for making trips. Due to budget constraints, marketing materials for transit in the county have generally been minimized.

## Grant Applications and Management

ICTC is designated as the lead or co-lead agency for projects that are allocated State and Federal funds. These funds include but are not limited to, Federal Transit Administration (FTA), Federal Regional Surface Transportation Program (RSTP), Federal Congestion Mitigation and Air Quality (CMAQ), Congressional Appropriations, State Transportation Improvement Program (STIP), and the States Proposition 1B funds. ICTC staff, acting as the transit administrator for IVT, provide assistance in the planning and programming of federal transit grants such as FTA Sections 5307, 5309, 5310, and 5311 grants. FTA Section 5307 funds have been programmed for IVT transit services, bus vehicle procurement, and the El Centro, Brawley and Imperial bus transfer terminals, while FTA Section 5309 funds are earmarked for construction of the Imperial transfer terminal. Section 5311 funds are programmed for the operation of IVT fixed routes outside of the urbanized area, IVT Gold Line, and Brawley bus stop improvements.

Through the State Public Transportation Modernization Improvement and Service Enhancement Account (PTMISEA), grant funds were programmed for the Imperial transfer terminal and transit vehicles. Additionally, grant funds through the California Security and Transit Grant Program (CSTGP) were awarded for solar lighting facilities at the Imperial transfer terminal. CSTGP funds were also budgeted for the installation of security cameras on IVT and IVT ACCESS buses. The Imperial transfer terminal, known as the “Imperial Transit Park”, has a total budget of about \$1.35 million with revenues from a FTA 5309 earmark (\$974,000), a match from PTMISEA (\$243,000), and from CTSGP (\$133,000). A site for the Imperial Transit Park will be identified and design will be completed in FY 2016-2017.

ICTC serves as a clearinghouse for funding programs available to the Imperial Valley, including notifying the cities of the availability and status of funds, assisting in technical matters, and ensuring timely submittal of grant applications. The federal transportation grants process is coordinated by ICTC and through the TAC, whose members discuss and prioritize projects requiring funding. These projects then follow an approval process through the Management Committee and the Commission.

Along with its urbanized area status, ICTC is subject to additional federal reporting requirements as the administrator of the IVT bus system. The agency compiles financial, performance, and facility information for inclusion in the National Transit Database NTD that serves as the FTA’s primary national database for statistics on transit agencies.

The federal government requires transportation agencies that receive US Department of Transportation (USDOT) funds to implement the Federal Disadvantaged Business Enterprise (DBE) Program designed to encourage the participation of minority- and women-owned businesses (MBE/WBEs) in transportation contracting. ICTC receives USDOT funds through the FTA and thus must implement the Federal DBE Program. ICTC retained a consultant in 2014 to conduct a “disparity study” to inform its implementation of the Federal DBE Program. The study’s primary objective was to examine whether there were any disparities between ICTC’s



utilization of MBE/WBEs on its transportation contracts and the availability of those businesses to perform that work. ICTC developed its DBE plan for projects funded through the FTA for FYs 2013-15 and FYs 2016-19.

As a recipient of federal financial assistance, ICTC is required to prepare a Title VI Program and Language Assistance Plan. The agency prepared such a plan in January 2017 to serve as guidance in the administration and management of Title VI–related activities, and details how ICTC meets the requirements set forth in the FTA Circular. The plan and complaint procedures are in English and Spanish and on the ICTC website. ICTC operates its programs and services ensuring that no person is excluded from the equal distribution of its services and amenities based on their race, color, or national origin in accordance with Title VI of the Civil Rights Act of 1964.

## Section V

### Findings and Recommendations

The following material summarizes the major findings obtained from the triennial audit covering FYs 2014 through 2016. A set of recommendations is then provided.

#### Findings

1. ICTC accomplished many tasks to promote transportation system improvement and has built good relationships with key partners while maintaining ongoing communication with its member local jurisdictions. ICTC takes a regional approach to planning, programming and delivery of service, and compliance with increased mandates.
2. ICTC has satisfactorily complied with all state legislative mandates listed in the Performance Audit Guidebook for Regional Transportation Planning Agencies. ICTC has improved upon compliance compared to the prior audit period by maintaining on file a written certification to Caltrans that the performance audits have been completed, including for non-Article 4 transit services. ICTC is compliant with the TDA provision which limits allocations up to 3 percent of annual LTF revenues for transportation planning and programming.
3. Of the five prior audit recommendations, three have been fully implemented, and two are carried forward for implementation. The recommendations not yet implemented pertain to applying qualifying criteria to use State Transit Assistance funds for operations, and simplifying the TDA claims forms and updating the TDA manual.
4. Staffing levels have been augmented in recent years in order to meet the demands and expanded responsibilities of a multidisciplinary transportation planning agency. For the audit period, each fiscal year's budget proposed staffing of seven full-time positions. A new Mobility Coordinator position was created from a grant award in the latter half of FY 2015-16, increasing staff to eight.
5. Stakeholders that were interviewed for this audit, including ICTC Commissioners, and public agency staff and citizens who serve on an ICTC committee, were overall satisfied with ICTC's activities, responsiveness, and direction toward regionalism. Its independence as an agency improved the perception of serving all member jurisdictions in a fair manner, and ICTC embraces the spirit of cooperation and inclusive participation among the members. In part as a consequence of strong confidence with staff recommendations on projects, detailed Commission discussion on some projects have been kept minimal prior to voting. Also, some concern was expressed about the length of meetings and whether a greater synopsis of agenda materials could be provided.

6. Due to the nature of rotation in membership on the board and committees, ICTC staff face the challenge of orienting new members on a fairly regular basis about the agency. Many interviewees expressed that the orientation process has not been standardized, with some receiving one-on-one consultation from staff, while others have had to learn on their own. ICTC retains an open door for a new or existing member to consult with staff and to become more familiar with the agency; however, a standard orientation process might be warranted.
7. Work done by ICTC over the past years follow the Overall Work Program that draws upon current needs and projected growth while acting on outcomes from previous Board strategic workshops. Several of these priorities, such as the consolidation of fractured transportation services, building administrative capacity, and advocacy and exposure through the General Assembly and Economic Summit, were achieved during the audit period while regional transportation planning functions continue to strengthen.
8. As one of the strategic plan priorities, ICTC began a process of transit service consolidation in FY 2013-14. ICTC's member agencies were interested in determining if greater efficiencies, better compliance with regulations and cost reductions could be achieved through the consolidation of services under one turnkey contractor with one administering agency.
9. ICTC and SCAG work in partnership with each of the cities and the county agencies to implement the strategies and projects identified in the Regional Transportation Plan. ICTC, in participation with Caltrans and SCAG, completed the scope of work for a comprehensive update of the Imperial County Long Range Transportation Plan.
10. ICTC continues to conduct the annual unmet transit needs process in consultation with the statutorily required Social Services Transportation Advisory Council (SSTAC). ICTC staff educate Commissioners and other stakeholders of the unmet needs hearings that have resulted in greater awareness and reception of the outcomes by the ICTC. Significant effort is made to increase public communication by providing bilingual information.
11. Performance monitoring of the ICTC-administered transit services are conducted through quarterly meetings between ICTC and First Transit at ICTC offices. A sample full agenda packet shows detailed performance analysis for each system with tables and line graphs highlighting trends in operations and budget. These meetings and detailed analysis help ICTC meet compliance with the TDA requirement to make productivity improvements.
12. ICTC staff acting as the transit administrator for IVT provide assistance in the planning and programming of state and federal transit grants. These funds have been programmed for regional transit services, bus vehicle procurement, development of bus transfer terminals, and bus stop improvements.

## Triennial Audit Recommendations

### 1. Apply new statutory provisions to TDA performance measures.

ICTC is required to track performance measures of the transit systems for TDA funding eligibility. A few changes have occurred in relation to the computation of these measures. Legislation (SB 508) passed in October 2015 significantly modified several provisions of the TDA. The legislation has several objectives, including simplifying fare recovery requirements, authorizing funding of bicycle and pedestrian safety education programs, and modifying STA qualifying criteria for operations.

SB 508 rationalizes performance metrics, for example, by applying the same operating cost exemptions to both the farebox recovery ratio and the STA qualifying criteria. In addition, this bill clarifies a few terms that should help ensure expectations are applied uniformly to the transit systems. Highlights of the bill applicable to ICTC are summarized below.

#### *Farebox Recovery*

- Revises definition of “local funds” in farebox recovery to mean any nonfederal or nonstate grant funds or other revenues generated by, earned by, or distributed to an operator.
- Revises definition of “operating cost” to exclude principal and interest payments on capital projects funded with certificates of participation.
- Exempts startup costs for new transit services for up to two years.
- Exempts additional categories of expenditures from “operating cost” (cost increases above the Consumer Price Index for fuel, alternative fuel programs, power, insurance premiums and claims, and state and federal mandates).

#### *Claims for Funds*

- Authorizes the funding of bicycle *and pedestrian* [italics added for emphasis] safety education programs up to 5 percent of the 2 percent bicycle and pedestrian allocation found under Article 3 (PUC Section 99234(a)).

#### *STA Qualifying Criteria for Operations*

- Uses a “sliding scale” to adjust a transit the operator’s STA allocation for operations, rather than “pass/fail.” New sliding scale effective July 1, 2016.

The farebox recovery ratios calculated in the next annual TDA fiscal audit (FY 2016–17) should account for these changes, given that operator eligibility for TDA funds is determined in large

part by the audited farebox ratios. The revised STA sliding scale qualifying criteria that ICTC must also apply could have certain budgeting and planning implications.

## **2. Implement the State Transit Assistance Qualifying Criteria Test.**

Before STA funds can be used for transit operations, ICTC must conduct a test using a formula under PUC Section 99314.6 to determine the operator's year-over-year growth in cost per revenue hour or average three-year change. With the enactment of state legislation (SB 508) reinstating the test, the Commission should apply the qualifying criteria. ICTC currently allocates all STA funds for the operation of IVT Access ADA paratransit service. Typically this test is conducted during the TDA claims process before funds are approved and distributed for their intended expenditures. Alternatively, ICTC could request that the IVT fiscal auditor conduct the verification as part of the annual fiscal and compliance audit.

Given that ICTC allocates all STA funds for IVT Access for required ADA paratransit service, the statute allows exclusions of cost increases beyond the change in the Consumer Price Index for such expenses as comparable complementary paratransit. This exclusion would enable STA funds to continue to be used for the ADA service provided by IVT Access. However, ICTC should conduct the test as a measure of statutory compliance when STA is used for transit operational expense.

## **3. Revise timeline of transit operator State Controller Report submittals.**

ICTC prepares separate annual Transit Operators Financial Transaction Reports to the State Controller (State Controller Reports) for its general public fixed route and specialized service dial-a-ride systems. New state legislation was passed (AB 1113 - Bloom) on July 21, 2017 that changes the timeline to submit these reports from within 110 days after fiscal year end to 7 months after fiscal year end, or end of January. This is an extension of about 100 days. In addition, with the change in dates, the State Controller Reports are required to contain underlying data from audited financial statements. This means the State Controller Reports must contain audited financial data drawn from the annual transit operator fiscal audits which are due 180 days, or 6 months, after fiscal year end.

ICTC should also notify other transit operators of this date change including the Quechan Indian Tribe which prepares the State Controller Reports for YCAT Routes 5 and 10.

## **4. Revise the TDA claims forms and manual.**

As a carryover from the prior performance audit, the current TDA claims forms were developed in January 2006 as part of the Transportation Development Act Guidebook update. During their subsequent use for the claims process, staff has found the claims forms to be complex relative to the claims being made and the information that is required from the claimants. A streamlined claims form would serve the agency better and should be revised as agency

resources allow, along with providing further training to the claimants. The revised claims forms should include a requirement that the claimants report at least annually the status of implementing the fiscal audit and performance audit recommendations. This requirement can be inserted as part of the annual TDA claims package. The TDA Guidebook should be updated to reflect new statutory provisions, farebox recovery, and instructions for completing the claims.

#### **5. Formalize orientation process for new Board and committee members.**

Due to the nature of rotation in membership on the ICTC board and committees, ICTC staff face the challenge of orienting new members on a fairly regular basis about the agency. Many interviewees for the audit expressed that the orientation process has not been standardized, with some receiving one-on-one consultation from staff, while others have had to learn on their own. ICTC retains an open door for a new or existing member to consult with staff and to become more familiar with the agency; however, a standard orientation process might be warranted. This could include an annual conversation during a board and committee meeting at the beginning of the year on the purpose and ground rules of the board/committees, and development and distribution of a user friendly handout on the agency's workings. The existing ICTC Overall Work Program and Budget serves some capacity and has materials for the handout, and could be leveraged in the formulation of a standalone orientation piece. Other prior presentations on an overview about ICTC could also be used for orientation materials. Sample orientation materials from other RTPAs have been provided by the performance auditor to ICTC.

**Michael Baker**  
INTERNATIONAL  
*We Make a Difference*

# Triennial Performance Audits

Imperial County  
Transportation Commission

Imperial County  
Public Transit Operators



September 20, 2017

**Michael Baker**  
INTERNATIONAL

## Introduction

- Transportation Development Act (TDA) requires that a triennial performance audit be conducted of ICTC. ICTC has elected to have performance audits conducted of all public transit operators.
- Audits are required to be approved and submitted to Caltrans.
- The process reviews accountability and efficient and effective use of revenues.

*We Make a Difference* 2

Michael Baker  
INTERNATIONAL

## Purpose of the Audit

- Audit is retrospective.  
(FYs 2013-14 through 2015-16)
- Test for compliance with various statutory provisions and performance measures.
- Management tool to improve for the future.

We Make a Difference 3

Michael Baker  
INTERNATIONAL

## Scope of the Audit

- Has the agency complied with state requirements?
- Has the agency implemented prior recommendations?
- What are the performance trends?
- How well has the agency provided service?
- What recommendations can be made?

We Make a Difference 4



## ICTC Audit Compliance with State Mandates

- ICTC has satisfactorily complied with State mandates for a regional transportation planning agency.
  - Mandates include oversight of TDA fund recipients, evaluation of funding claims, and ensuring process to receive annual unmet transit needs.
- Compliant with 3 percent allocation limits for transportation planning and programming.

## ICTC Audit Findings

1. ICTC accomplished many tasks to promote transportation system improvement and built good relationships with key partners while maintaining communication with member local jurisdictions.
2. Of the five prior audit recommendations, three have been fully implemented, and two are carried forward for implementation.

Michael Baker  
INTERNATIONAL

## ICTC Audit Findings

3. Staffing levels augmented in recent years to meet demands and expanded responsibilities. New Mobility Coordinator position created, increasing staff to eight.

4. Stakeholders interviewed, including ICTC Commissioners, and ICTC committee members, were overall satisfied with ICTC's activities, responsiveness, and direction toward regionalism. Efforts made to address ICTC meeting length, project discussion, and presentation of agenda items.

We Make a Difference 7

Michael Baker  
INTERNATIONAL

## ICTC Audit Findings

5. Challenge of orienting new Commissioners and committee members due to membership rotation. Members expressed preference for a standard orientation process.

6. Several Overall Work Program priorities were achieved - consolidation of transportation services; building administrative capacity; and advocacy and agency exposure through the General Assembly and Economic Summit.

We Make a Difference 8

Michael Baker  
INTERNATIONAL

## ICTC Audit Findings

7. ICTC staff educate Commissioners and other stakeholders of the unmet transit needs hearings resulting in greater awareness and reception of outcomes. Effort to increase public communication using bilingual information.

8. As transit administrator for IVT, ICTC assists in planning and programming of state and federal transit grants. Performance monitoring of transit services is conducted through quarterly meetings between ICTC and transit operations contractor.

We Make a Difference 9

Michael Baker  
INTERNATIONAL

## ICTC Audit Recommendations

1. Apply new statutory provisions to TDA performance measures. (ICTC staff responsibility)
2. Implement the State Transit Assistance Qualifying Criteria Test. (ICTC staff responsibility)
3. Revise timeline of transit operator State Controller Report submittals. (ICTC staff responsibility)
4. Revise the TDA claims forms and manual. (ICTC staff responsibility)
5. Formalize orientation process for new Board and committee members. (ICTC staff responsibility)

We Make a Difference 10

**Michael Baker INTERNATIONAL**

## Transit Operator Audit



Imperial Valley Transit



IVT Ride



Med-Express



IVT Access



YCAT Routes 5&10

We Make a Difference 11

**Michael Baker INTERNATIONAL**

## Transit Operator Findings

### Compliance with 11 State Mandates FYs 2014-2016

	Imperial Valley Transit	IVT Access	IVT Ride	Med-Express	YCAT Routes 5&10
Fully Complied	9	9	7	8	5
Partial Compliance	0	0	0	0	2
Not Complied	0	0	1	0	1
Not Applicable	2	2	3	3	3

We Make a Difference 12

## Transit Operator Findings

- IVT fixed route achieved cost efficiencies and effectiveness, shown by trends in decreased operating cost per vehicle service hour, and operating cost per passenger. As operating costs grew, the level of service and ridership growth kept pace.
- Average fare per passenger for the IVT Green Line decreased, resulting in low farebox recovery; Seniors/disabled composing over 70 percent of the passengers. Senior/disabled fare is half the local fare.

## Transit Operator Findings

- Unmet transit needs implemented: Saturday service in August 2013 and Sunday service in January 2014. IVT Gold Line in FY 2013. Following performance evaluation, ICTC transferred services from demonstration into the fixed route system in October 2015.
- Ridership success trends varied by service:
  - IVT (+34.0%)
  - IVT Access (+8.1%)
  - IVT Ride (-28.8%)
  - Med-Express (+5.4%)
  - YCAT Routes 5&10 (+59.7%)

## Transit Operator Findings

- Factors for IVT Ride trends:
  - new eligibility process
  - slow acceptance of new reservation system by riders
  - reduced ridership pool on west shore of the Salton Sea
  - availability of local IVT circulator routes
  - conversion of Brawley Dial-A-Ride from general public to specialized paratransit service
  
- Ridership on El Centro Dial-A-Ride increased 13.4 percent over three year period.

## Transit Operator Recommendations

### **Mandatory—**

- 1. Review opportunities for increasing local revenue to boost farebox recovery.** (IVT, IVT Access, IVT Ride, Med-Express, YCAT/Quechan Tribe)
  
- 2. Revise timeline of transit operator State Controller Report submittals** (IVT, YCAT/Quechan Tribe)
  
- 3. Ensure local Measure D revenue is properly reported in the State Controller Transit Operators Financial Transactions Report** (IVT Ride)

**Michael Baker**  
INTERNATIONAL

## Transit Operator Recommendations

**Good Practice—**

- 1. Continue to make enhancements to the IVT website to accommodate Spanish translation. (IVT)**
- 2. Track and include late cancellations on the monthly management summary report. (IVT Ride)**
- 3. Provide more information to the public on no-show and late cancellation policy. (IVT Access, IVT Ride)**
- 4. Coordinate fares among the individual IVT RIDE systems (IVT Ride)**
- 5. Conduct regular passenger surveys to gauge customer satisfaction and service needs. (Med-Express)**
- 6. Increase community outreach and marketing efforts on the Fort Yuma Indian Reservation. (YCAT/Quechan Tribe)**

We Make a Difference 17

**Michael Baker**  
INTERNATIONAL  
We Make a Difference

## Thank You

# **VI. ACTION CALENDAR**

## **B. THE PASSENGER STATISTICAL SUMMARY (PSS) PROJECT FOR FY 2016-17 FOR IMPERIAL TRANSIT (IVT)**





1405 N. IMPERIAL AVE., SUITE 1  
EL CENTRO, CA 92243-2875  
PHONE: (760) 592-4494  
FAX: (760) 592-4497

September 20, 2017

Maria Nava-Froelich, Chair  
Imperial County Transportation Commission  
1405 N. Imperial Ave. Suite 1  
El Centro, CA 92243

SUBJECT: The Passenger Statistical Summary (PSS) Project for FY 2016-17 for Imperial Valley Transit (IVT)

Dear Commission Members:

Due to the receipt of federal grant funding for public transit, federal reporting requirements state that transit systems are required to report on "passenger miles." This process takes place every three years and is utilized to track the individual distance or mileage travelled by each boarding passenger. Federal grant apportionments are also based on a variety of factors including census data and this type of reporting process.

Larger urban agencies typically have electronic or automatic passenger counters on their vehicles. However, this type of process can be cost prohibitive. As a result many medium to smaller agencies alternatively choose to develop a statistical sampling system instead, through qualified consultants.

The parameters of the project include a sampling methodology and compliance with a federal requirement for 95% confidence and a margin of error not to exceed plus or minus 10%.

The PSS project was required to be completed every three years: FYs 2008-09, 2010-11, 2013-14. The FY 2016-17 project was awarded to the firm of *Rea and Parker Research, Inc.* The project work effort commenced on July 1, 2016 and continued through June 30, 2017.

The consultant developed the sampling methodology, and acquired local staff who monitored various bus routes throughout the fiscal year. The final report has since been prepared based on the guidance of the federal requirements. This final report is due to the federal agency by October 2017.

The following is a brief summary of the FY 2016-17 data sampling in comparison to the previous FY 2013-14 efforts. The report indicates that the ridership data presented has decreased from the previous sampling projects.

**CITIES OF BRAWLEY, CALEXICO, CALIPATRIA, EL CENTRO, HOLTVILLE, IMPERIAL, WESTMORLAND,  
IMPERIAL IRRIGATION DISTRICT AND COUNTY OF IMPERIAL**

*“...On-board counts by First Transit/Imperial Valley Transit drivers indicate that there were 741,968 annual unlinked boardings for Imperial Valley Transit bus riders between July 1, 2016 and June 30, 2017. The National Transit Database methodology as applied by Rea & Parker Research (Passenger Statistical Sampling Project, page 16) indicates that these passengers traveled a total of 7,365,033 passenger miles (subject to a +/- 10 percent margin of error at 95 percent confidence). Unlinked boardings have declined from 2013-2014 by 15 percent and passenger miles have declined by 20 percent. These differences are outside of the margin of error thereby indicating statistically significant declines in ridership and passenger miles...”* Dr. Richard Parker, Rea and Parker Research, September 9, 2017.

Staff monitors transit service metrics on a monthly basis and ridership has dropped. There are various reasons why ridership may have decreased, which may include passenger use of alternative services i.e. private for profit transportation providers, lower gas prices and declining numbers of passengers using transit services as reported nationwide.

Annual Unlinked Boardings FY 13-14	878,017
Annual Unlinked Boardings FY 16-17	741,968
Total Change FY 13-14 compared to FY 16-17	(136,049)
Annual Passenger Miles FY 13-14	9,161,660
Annual Passenger Miles FY 16-17	7,365,033
Total Change FY 13-14 compared to FY 16-17	(1,796,627)

The anticipated result of the reported decrease in passenger boardings and passenger miles per the Passenger Statistical Sampling Project, will likely be decreased federal grant apportionments in the upcoming fiscal years.

The ICTC Management Committee met on September 20, 2017 and forwards this item to the Commission for review and approval after public comment, if any:

1. Approve the Passenger Statistical Sampling Project for FY 2016-17.
2. Direct staff to forward the report for inclusion in the National Transit Database (NTD)

Sincerely yours,

MARK BAZA  
Executive Director

BY:



Kathi Williams  
Transit Programs Manager

**IMPERIAL VALLEY TRANSIT  
ANNUAL PASSENGER MILE SAMPLING METHODOLOGY  
AND FINAL RESULTS  
JULY 1, 2016-JUNE 30, 2017**



**Prepared for:  
Imperial County Transportation Commission  
1405 N. Imperial Ave. Suite 1  
El Centro, CA 92243**



**Prepared by:  
Rea & Parker Research  
P.O. Box 421079  
San Diego, CA 92142  
858-279-5070**

**July, 2017**

**IMPERIAL VALLEY TRANSIT  
ANNUAL PASSENGER MILE SAMPLING METHODOLOGY  
AND FINAL RESULTS  
JULY 1, 2016-JUNE 30, 2017**

**Key Findings**

- **The 741,968 annual unlinked boardings for Imperial Valley Transit bus riders travel a total of 7,365,033 passenger miles.**
- **There are 25.25 unlinked passenger boardings per bus trip.**
  - **25.49 unlinked boardings on weekdays**
  - **22.93 unlinked boardings on Saturdays**
  - **23.00 unlinked boardings on Sundays**
- **These passengers traveled 250.19 passenger miles per bus trip.**
  - **250.52 miles on weekdays**
  - **248.51 miles on Saturdays**
  - **241.95 miles on Sundays**
- **The mean miles traveled per unlinked passenger bus trip is 9.91 miles.**
  - **9.83 miles on weekdays**
  - **10.84 miles on Saturdays**
  - **10.52 miles on Sundays**

**Introduction**

The County of Imperial provides fixed route bus service throughout the County through the services of Imperial Valley Transit, which was created in 1989. Imperial Valley Transit began as a 5-route system with 3 buses running Monday through Friday. The passenger ridership initially averaged approximately 3,000 passengers a month.

The transit service is operated as a turnkey operation by First Transit, Inc. The service is administrated and funded by the Imperial County Transportation Commission (ICTC). The Commission members represent each City, the County and the Imperial Irrigation District.

Funding is provided annually through the ICTC adopted Overall Work Program Budget and Finance Plan. The source of the funding includes but is not limited to federal FTA 5307, 5311

and 5317 funds, State Transportation Development Act (TDA) including Local Transportation (LTF) and State Transit Assistance (STA), and local fare revenue.

The Federal Register of September 25, 1987, specifies that certain operating data must be collected from federally funded transit systems as part of the Section 15 Uniform System of Accounts and Records and Reporting System. One such required set of data that is required is an annual estimate of unlinked passenger trips and passenger miles that is reliable with 95 percent confidence to a margin of error of +/- 10 percent.

ICTC contracted with Rea & Parker Research of San Diego, California to conduct the study that would require Rea & Parker Research personnel to ride randomly selected Imperial Valley Transit bus trips for a one-year period that covered July 1, 2016-to-June 30, 2017. Rea & Parker Research had conducted the most recent passenger mile sampling studies for Imperial Valley Transit in 2013-2014, 2010-2011, and 2008-2009.

### **Methodology**

The Urban Mass Transportation Administration and Federal Transit Administration (FTA) developed several suggested sampling techniques for collecting annual estimates of unlinked passenger trips and passenger miles. A transit agency may use a technique other than the UMTA recommended techniques as long as it meets the prescribed precision and confidence levels. Prior passenger mile samples (most recently July 1, 2013-to-June 30, 2014) performed for Imperial Valley Transit by Rea & Parker Research utilized the Federal Transportation Authority National Transit Database Circular 2710.1A to establish the requisite sample. On April 7, 2015, the FTA withdrew its sampling circulars and replaced them with a new NTD Sampling Manual.

Transit systems had been offered the opportunity to convert to the new method of sampling supported by the National Transit Database (NTD). This new method would likely result in fewer samples required but in a highly irregular schedule that could make the securing and retention of employees to conduct the requisite counts to be challenging. All individual bus trip data was tracked and recorded electronically in 2010-2011 and in 2013-2014 so that the new methodology could be a reasonable alternative in the future, and when Circular 2710.1A was withdrawn, this change in sampling method (NTD Sampling Methodology) was adopted by Rea & Parker Research.

The option is also available to devise a statistically valid method that differs from the NTD methodology. However, Rea & Parker Research elected to utilize the NTD methodology because it is specifically designed to address small transit systems. As such, no determination of variance, standard deviation, margin of error, confidence levels or intervals was undertaken by Rea & Parker Research independent of this approved methodology. These statistics would have been required to develop a method of sampling unique to Imperial Valley Transit. Richard A. Parker, Ph.D. and Louis M. Rea, Ph.D. have extensive experience in statistical sampling. Attached as an appendix to this report are the academic and professional consultative experiences of Richard A. Parker, Ph.D. and Louis M. Rea, Ph.D., the principal investigators and analysts for this study.

Application of the data from prior years using the new methodology (NTD-provided template) produced the results shown in **Table 1**. The three methods (Base, APTL and PPMT) are shown to produce annual sample sizes of 410 (Base), 166 (APTL) and 554 (PPMT). The APTL (Average Passenger Trip Length) Option is available if the transit agency maintains a 100% count of unlinked passenger trips, estimates the average passenger trip length (APTL) through random sampling, and obtains annual PMT by multiplying the 100% UPT with the estimated APTL. Imperial Valley Transit meets all of these requirements. Rea & Parker Research selected the monthly sample of 14 randomly selected trips as the most efficient sampling method.

In prior years sample sizes were more in line with the Base or PPMT sample sizes. For example, 565 sample trips were counted in the 2013-2014 study. What allows the APTL study to be smaller is the availability of the 100 percent count of unlinked trips and the fact that the 2013-2014 study began maintaining the data needed for the 2016-2017 sample template during the 2013-2014 study. Rea & Parker Research contacted Matt Oliver, who oversees Imperial Valley Transit reporting to NTD to obtain his approval for using the APTL method. He confirmed that the agreement between our last sample and Imperial Valley Transit actual counts (only off 1.5% when the margin of error was set at 10%) confirms that the counts are good ones and that we can use the new sampling technique based upon having accurate 100% counts.

<b>Table 1: Sample Size Options</b>			
		<b>Sample Size by Frequency</b>	<b>Annual Realized Sample Size</b>
<b>1. Annual Frequency</b>	1		
a) Base Option		410	410
b) APTL Option		166	166
c) PPMT Option		554	554
<b>2. Quarterly Frequency</b>	4		
a) Base Option		103	412
b) APTL Option		42	168
c) PPMT Option		139	556
<b>3. Monthly Frequency</b>	12		
a) Base Option		35	420
b) APTL Option		14	168
c) PPMT Option		47	564
<b>4. Weekly Frequency</b>	52		
a) Base Option		8	416
b) APTL Option		4	208
c) PPMT Option		11	572

In preparation for the commencement of the study and the sample selection, Rea & Parker Research entered each bus trip into an SPSS (Statistical Package for the Social Sciences) database as a code, indicating day of the week, week number in the period used for sampling, bus route number, and the number of the unique, unlinked trip on that day. After this was done, 14 trips were selected at random by SPSS for each month. The number of days upon which these 14 trips fell ranged from as low as 10 days to a maximum of 13 days in any given month. Over the course of the year, 168 trips were sampled on 114 days. The 2016-2017 sample proved to be an excellent subset of the total bus trip population (**Table 2**), where the only difference between the sample distribution and total bus trips that was of note was on Saturday.

<b>Table 2: Sample and Total Distribution of Bus Trips</b>		
<b>Time Period</b>	<b>Sample Distribution</b>	<b>Actual Bus Trips 7/1/16-6/30/17</b>
<b>Weekday AM (before 9am)</b>	<b>26.2%</b>	<b>25.3%</b>
<b>Weekday Midday (9am-3pm)</b>	<b>31.0%</b>	<b>33.6%</b>
<b>Weekday PM (3pm-7pm)</b>	<b>30.3%</b>	<b>29.3%</b>
<b>Weekday Night (after 7pm)</b>	<b>1.2%</b>	<b>2.3%</b>
<b>Saturday</b>	<b>8.9%</b>	<b>7.3%</b>
<b>Sunday</b>	<b>2.4%</b>	<b>2.2%</b>

On board personnel were given an assignment log (as depicted in the Exhibit A example) and trip sheets (Exhibit B example), as demonstrated on the succeeding pages. The assignment log provided specific instructions about where to board each bus, where and when to exit, and if that trip was one that was selected for sampling. If the trip was selected, trip sheets were attached onto which the Rea & Parker Research counting employee on board was to record boardings and alightings, with some on-board counts between stops, and to also record the vehicle ID number for determining capacity.

The Rea & Parker Research supervisor, who was based in the City of Imperial, collected and distributed these forms to the counting personnel and sent the manually completed forms twice per month to San Diego for data entry by Rea & Parker Research staff. Math and logic checks by either Richard A. Parker, Ph.D. or Louis M. Rea, Ph.D. were also conducted. At that point in time, the manual information was entered electronically, the distance between stops was added to the forms, and the total number of passenger miles sampled were determined. A completed trip sheet (Exhibit C) also follows in the next pages of this report for illustrative purposes. These completed forms were then compiled into an Excel file that maintained a running balance of counts and mileage. A sample of that Excel file also follows (Exhibit D), and it is this format that facilitated the new NTD sampling method.



## Imperial Valley Transit Passenger Sampling Assignment Log—EXHIBIT A

Assignment# <u>2-4/5</u>	Employee: _____
DATE: <u>August 12, 2016</u>	Day of Week: <u>Fri</u>

SPECIAL INSTRUCTIONS FOR REPORTING/FINISHING IF OTHER THAN FIRST OR LAST STOP			
Reporting Time:		Reporting Place:	
Finishing Time:		Finishing Place:	

### On-Board Bus Schedule

<u>Bus Route</u>	<u>Trip Serial #</u>	<u>Beginning Stop</u>	<u>Begin Stop Time</u>	<u>Last Stop</u>	<u>Last Stop Time</u>	<u>Bus Scheduled for Data Collection?</u>	<u>Special Instructions after Last Stop</u>
2n	2n-07	El Centro State & 7th	2:10p	Brawley E Street & Rio Vista	3:07p	<b>YES</b>	1+ hour break
2s		Brawley E Street & Rio Vista	4:19p	El Centro State & 7th	5:30p	<b>No</b>	
1s	1s-19	El Centro State & 7th	5:40p	Calexico Hacienda & Ollie	6:25p	<b>YES</b>	Stay on bus
1n		Calexico Hacienda & Ollie	6:35p	El Centro State & 7th	7:50p	<b>No</b>	

SURVEY TRIP SHEET—EXHIBIT B						# of Pages 1 of 2	
(1) Trip Serial No. _____		(2) Date _____		(3) Day of Week _____		(4) Time Period _____	
(5) Route No. 2 north _____		(6) Vehicle Inventory Number _____		(7) Total Capacity _____		(8) Seated Capacity _____	
(9)	(10)	(12)	(13)	(14)	(15)	(16)	(17)
Stop No.	Stop Description	Odometer Reading	Passengers Boarded	Passengers De-Boarded	Passengers On Board	Distance Between Stops	Passenger Miles (15) x (16)
1	State/7th				0		0
2	State/8th				0		0
3	State/14th				0		0
4	Imperial/Commercial				0		0
5	Imperial/Euclid				0		0
6	Bradshaw/Imperial				0		0
7	La Brucherie/Bradshaw				0		0
8	Aten / La Brucherie				0		0
9	Aten / Cross				0		0
10	Imperial Valley College				0		0
11	Barioni Ave./K St. (IID)				0		0
12	Imperial/9th				0		0
13	Pioneers Hospital--Brawley				0		0
14	Brawley--K St./ 2nd St.				0		0
15	Brawley--5th/G Street				0		0
16	Brawley--K St./S. 9th				0		0
0	(26) Capacity Miles (7) x (22)	Totals	0	0	0	0	0
0	(27) Seat Miles (8) x (22)						

# of Pages 2 of 2

**SURVEY TRIP SHEET—EXHIBIT B**

<b>(1) Trip Serial No.</b> _____		<b>(2) Date</b> _____		<b>(3) Day of Week</b> _____		<b>(4) Time Period</b> _____	
<b>(5) Route No.</b> 2 north		<b>(6) Vehicle Inventory Number</b> _____		<b>(7) Total Capacity</b> _____		<b>(8) Seated Capacity</b> _____	
<b>(9)</b>	<b>(10)</b>	<b>(12)</b>	<b>(13)</b>	<b>(14)</b>	<b>(15)</b>	<b>(16)</b>	<b>(17)</b>
<b>Stop No.</b>	<b>Stop Description</b>	<b>Odometer Reading</b>	<b>Passengers Boarded</b>	<b>Passengers De-Boarded</b>	<b>Passengers On Board</b>	<b>Distance Between Stops</b>	<b>Passenger Miles (15) x (16)</b>
17	Brawley--K St./S. Palm St.				0		0
18	Brawley--Palm St. / J St.				0		0
19	Brawley--S. Main St. / Palm				0		0
20	Brawley-Main St/Cesar Chavez				0		0
21	Brawley--Main/3rd St.				0		0
22	Brawley--E St./Rio Vista				0		0
23	Westmorland--Center/Main				0		0
24	Westmorland--Center/6th				0		0
25	Calipatria--Main St. / Park				0		0
26	Calipatria--111/Main				0		0
27	Niland--111/Main				0		0
0	(26) Capacity Miles (7) x (22)	Totals	0	0	0	0	0
			(20)		(21)	(22)	(23)
0	(27) Seat Miles (8) x (22)			Mean On Board	0		

## SURVEY TRIP SHEET—EXHIBIT C

<b>(1) Trip Serial No.</b> <u>2n07</u>				<b>(2) Date</b> <u>8-12-16</u>		<b>(3) Day of Week</b> <u>FRI</u>		<b>(4) Time Period</b> <u>MID</u>	
<b>(5) Route No.</b> <u>2 north</u>				<b>(6) Vehicle Inventory Number</b> <u>1215</u>		<b>(7) Total Capacity</b> <u>80</u>		<b>(8) Seated Capacity</b> <u>40</u>	
(9)	(10)	(12)	(13)	(14)	(15)	(16)	(17)		
Stop No.	Stop Description	Odometer Reading	Passengers Boarded	Passengers De-Boarded	Passengers On Board	Distance Between Stops	Passenger Miles (15) x (16)		
1	State/7th	81951.7	16		16	0.5	8		
2	State/8th				16		0		
3	State/14th	81952.2	1		17	0.3	5.1		
4	Imperial/Commercial	81952.5	1	2	16	1	16		
5	Imperial/Euclid				16		0		
6	Bradshaw/Imperial	81953.5	2	2	16	0.3	4.8		
7	La Brucherie/Bradshaw	81953.8	1	2	15	9	135		
8	Aten / La Brucherie				15		0		
9	Aten / Cross				15		0		
10	Imperial Valley College	81962.8	6	2	19	4.8	91.2		
11	Barioni Ave./K St. (IID)				19		0		
12	Imperial/9th	81967.6	1	1	19	8.6	163.4		
13	Pioneers Hospital--Brawley	81976.2	1	1	19	1.3	24.7		
14	Brawley--K St./ 2nd St.	81977.5		1	18	1.2	21.6		
15	Brawley--5th/G Street				18		0		
16	Brawley--K St./S. 9th				18		0		
2160	(26) Capacity Miles (7) x (22)	Totals	29	11	272	27	469.8		
1080	(27) Seat Miles (8) x (22)								

## SURVEY TRIP SHEET—EXHIBIT C

						# of Pages <u>2 of 2</u>	
(1) Trip Serial No. <u>n07</u>		(2) Date <u>8-12-16</u>		(3) Day of Week <u>FRI</u>		(4) Time Period <u>MID</u>	
(5) Route No. <u>2 north</u>		(6) Vehicle Inventory umber <u>1215</u>		(7) Total Capacity <u>80</u>		(8) Seated Capacity <u>40</u>	
(9)	(10)	(12)	(13)	(14)	(15)	(16)	(17)
Stop No.	Stop Description	Odometer Reading	Passengers Boarded	Passengers De-Boarded	Passengers On Board	Distance Between Stops	Passenger Miles (15) x (16)
17	Brawley--K St./S. Palm St.	81978.7		1	17	0.4	6.8
18	Brawley--Palm St. / J St.				17		0
19	Brawley--S. Main St. / Palm	81979.1	3	2	18	1	18
20	Brawley-Main St/Cesar Chavez				18		0
21	Brawley--Main/3rd St.	81980.1	2		20	0.6	12
22	Brawley--E St./Rio Vista	81980.7		20	0		0
23	Westmorland--Center/Main				0		0
24	Westmorland--Center/6th				0		0
25	Calipatria--Main St. / Park				0		0
26	Calipatria--111/Main				0		0
27	Niland--111/Main				0		0
2320	(26) Capacity Miles (7) x (22)	Totals	34	34	362	29	506.6
			(20)		(21)	(22)	(23)
1160	(27) Seat Miles (8) x (22)			Mean On Board	24.62068966		

**EXHIBIT D**  
**EXCEL COMPUTERIZED TRIP-BY-TRIP DATA ENTRY**  
**(EXAMPLE: JULY, 2016 INPUT)**

**Data Input from Survey Trip Sheets highlighted in Blue—Balance of Columns are Running Calculations by Excel**

Date	Day of Week	Month #	Route	Time Period	Boarded-UPT	Sum of Boardings	On-Board	Sum of On-Board
				1=am peak--2=midday--3=pm peak--4=night--5=Saturday --6=Sunday				
7/5/2016	Tues	1	1s	2	26	26	204	204
7/6/2016	Weds	1	1s	2	34	60	309	513
7/6/2016	Weds	1	Green	3	9	69	110	623
7/7/2016	Thurs	1	21n-IVC	1	15	84	124	747
7/11/2016	Mon	1	2n	2	55	139	618	1365
7/15/2016	Fri	1	1n	3	40	179	464	1829
7/21/2016	Thurs	1	2n	2	41	220	326	2155
7/22/2016	Fri	1	Green	3	3	223	16	2171
7/22/2016	Fri	1	2s	3	24	247	328	2499
7/23/2016	Sat	1	1n	5	47	294	545	3044
7/24/2016	Sun	1	1n	6	41	335	627	3671
7/28/2016	Thurs	1	21n-IVC	1	34	369	274	3945
7/28/2016	Thurs	1	Blue	2	3	372	21	3966
7/29/2016	Fri	1	41n	3	2	374	5	3971

Bus Trip Distance	Sum of Distance	Passenger Miles=PMT	Sum of PMT	Capacity Miles	Sum of Capacity Miles	Seat Miles
14.4	14.4	219.8	219.8	1152	1152	576
14.4	28.8	311.5	531.3	1152	2304	576
16.6	45.4	67	598.3	332	2636	332
15.3	60.7	187.6	785.9	1224	3860	612
25.7	86.4	796.9	1582.8	2056	5916	1028
19.8	106.2	313.9	1896.7	1584	7500	792
26.5	132.7	399.2	2295.9	2120	9620	1060
16.5	149.2	9.8	2305.7	330	9950	330
52.3	201.5	437.6	2743.3	4184	14134	2092
19.9	221.4	360.1	3103.4	1592	15726	796
18.3	239.7	405.9	3509.3	1454	17180	732
15.6	255.3	429.9	3939.2	1248	18428	624



Sum of Seat Miles	Avg. Route Length	PPMT	AUPTL	PMT/PPMT
	22.28988095			
576	22.28988095	579.5369048	8.453846154	0.044863407
1152	22.28988095	1337.392857	8.855	0.044863407
1484	22.28988095	1538.001786	8.671014493	0.044863407
2096	22.28988095	1872.35	9.355952381	0.044863407
3124	22.28988095	3098.293452	11.38705036	0.044863407
3916	22.28988095	3989.88869	10.59608939	0.044863407
4976	22.28988095	4903.77381	10.43590909	0.044863407
5306	22.28988095	4970.643452	10.33946188	0.044863407
7398	22.28988095	5505.600595	11.10647773	0.044863407
8194	22.28988095	6553.225	10.55578231	0.044863407
8926	22.28988095	7467.110119	10.47552239	0.044863407
9550	22.28988095	8224.966071	10.67533875	0.044863407

## Determining Average Daily Passenger Miles Traveled

According to the National Transit Base Sampling Manual:<sup>1</sup>

- (a) You must determine the sample APTL (Average Passenger Trip Length) for a given sample as the ratio of sample total PMT (Passenger Miles Traveled) over sample total UPT (Unlinked Passenger Trips) for the following cases: (1) for the entire sample, (2) by type of service days<sup>2</sup>, or (3) by service group.
- (b) To determine the weighted sample APTL for an entire sample you should follow these steps:
  - i. Determine each service day's size in the number of service units actually operated.
  - ii. Compute each service day's share of the number of service units actually operated. These shares must sum to 1.
  - iii. Determine each service day's sample size in the number of service units in the sample.
  - iv. Determine each service day's sample total UPT.
  - v. Determine each service day's sample total PMT.
  - vi. Compute each service day's sample average for UPT.
  - vii. Compute each service's sample average for PMT.
  - viii. Sum the product of each service day's share of the number of service units actually operated and its sample average UPT
  - ix. Sum the product of each service day's share of the number of service units actually operated and its sample average PMT
  - x. Compute the ratio of the result from (9) to the result from (8). This ratio gives the weighted sample APTL.
  - xi. Multiply your sample average APTL for each type of service day with the corresponding 100% count of UPT to get the annual total PMT for each type of service day.
  - xii. Sum the above products across all types of service days to get your annual total PMT.

<sup>1</sup> Section 83 (subsection 83.05), pp. 42-43

<sup>2</sup> Service Days will be used for Imperial Valley Transit. Types of service days are defined in the manual (p. 52) as Weekdays, Saturdays and Sundays

This method is applied in Table 3.

<b>Table 3</b>			
<b>Passenger Mile Sample: Annual Passenger Count and Miles</b>			
<b>Imperial Valley Transit</b>			
<b>July 1, 2016-June 30, 2017</b>			
<b>Description</b>	<b>Type of Service Day</b>		
	<b>Weekdays</b>	<b>Saturdays</b>	<b>Sundays</b>
<b>Service Day Annual Trips</b>	<b>37,529</b>	<b>3,016</b>	<b>900</b>
<b>Proportion of Total Trips</b>	<b>.9055</b>	<b>.0728</b>	<b>.0217</b>
<b>Sample Size</b>	<b>149</b>	<b>15</b>	<b>4</b>
<b>Sample Total Unlinked Passenger Trips (UPT)</b>	<b>3,798</b>	<b>344</b>	<b>92</b>
<b>Sample Total PMT (Passenger Miles Traveled)</b>	<b>37,328.1</b>	<b>3727.7</b>	<b>967.8</b>
<b>Sample Average UPT</b>	<b>25.49</b>	<b>22.93</b>	<b>23.00</b>
<b>Sample Average PMT</b>	<b>250.52</b>	<b>248.51</b>	<b>241.95</b>
<b>Sample Average APTL</b>	<b>9.83</b>	<b>10.84</b>	<b>10.52</b>
<b>Weighted Sample Average UPT</b>	<b>25.25</b>		
<b>Weighted Sample Average PMT</b>	<b>250.19</b>		
<b>Weighted Sample APTL</b>	<b>9.91</b>		
<b>100% UPT Counts<sup>3</sup></b>	<b>664,755</b>	<b>56,908</b>	<b>20,305</b>
<b>Sum of 100% UPT Counts</b>	<b>741,968</b>		
<b>Sample APTL * 100% UPT Count</b>	<b>6,534,541.65</b>	<b>616,882.72</b>	<b>213,608.60</b>
<b>Sum of Sample APTL * 100% UPT Counts = Total PMT</b>	<b>7,365,032.97</b>		

Table 3 shows that the 741,968 annual unlinked boardings for Imperial Valley Transit bus riders travel a total of 7,365,033 passenger miles, including:

- 25.25 unlinked passenger boardings per bus trip
  - 25.49 on weekdays
  - 22.93 on Saturdays
  - 23.00 on Sundays
- 250.19 passenger miles traveled per bus trip

<sup>3</sup> 100% count supplied by Imperial Valley Transit

- 250.52 on weekdays
- 248.51 on Saturdays
- 241.95 on Sundays
- 9.91 average miles traveled per passenger per bus trip
  - 9.83 on weekdays
  - 10.84 on Saturdays
  - 10.52 on Sundays

**APPENDIX: Qualifications of Rea & Parker Research**  
**Richard A. Parker, Ph.D.**  
**Louis M. Rea, Ph.D.**

Rea & Parker Research is a statistical sample survey and market research and economic consulting firm based in San Diego, California, with facilities in Los Angeles and Orange County. It was founded by Louis M. Rea, Ph.D. and Richard A. Parker, Ph.D. in 1984 and has grown into a well-respected, financially stable, and substantial research organization with clients throughout the State of California and the Southwest who will attest to the firm's ability to deliver a quality product within the originally designated budget and in accordance with the contracted time schedule. Rea & Parker Research is a certified Small Business Enterprise by the State of California.

With particular reference to the current project, the references below will indicate a wealth of experience in on-board bus and rail projects for several entities in Southern California, transportation research including intercept surveys, focus group analysis, and telephone surveys. Rea & Parker Research has extensive experience working with major public agencies in Southern California and the State of California. Rea & Parker Research has 30 years of experience in transportation related surveys for both the public and private sectors.

*Richard A. Parker* is the president of Rea & Parker Research and a professor emeritus in the School of Public Affairs at San Diego State University. Dr. Parker is a co-author (with Louis M. Rea) of a highly successful book, *Designing and Conducting Survey Research: A Comprehensive Guide*, published by Jossey-Bass/Wiley Publishers (division of Simon & Schuster) in 1992, with a second edition published in 1997, a third edition published in 2005, and a fourth edition in 2014.

*Louis M. Rea* is an emeritus professor of city planning in the School of Public Affairs at San Diego State University where he served as school director for nearly twenty-five years. He teaches graduate courses in statistical analysis, transportation planning, survey research, program design and evaluation, and urban/fiscal problems, as well as undergraduate courses in introductory public administration and policy and evaluation in Criminal Justice.

Rea & Parker Research utilizes the university offices and state-of-the-art computer facilities, along with access to renowned scholars and reference material when necessary.

Rea & Parker Research is a division of Rea & Parker, Incorporated, a California corporation—incorporated in 1985 (Fed ID: 33-0156230). Its home office in San Diego is located at 4875 Casals Place, San Diego, CA 92124 (mailing address: P.O. Box 421079, San Diego, CA 92142-1079). Telephone numbers for Rea & Parker Research are 858-279-5070 and 858-279-1170 (fax). The website is [www.rea-parker.com](http://www.rea-parker.com).

Rea & Parker Research has conducted transportation related research as well as research associated with water issues, immigration, and energy for over 30 years.

Survey Research Clients:

- State of California--Senate Rules Committee
- State of California--Senate Special Committee on Border Issues
- State of California--Office of the Auditor General
- State of California--Office of the Attorney General
- Los Angeles County Metropolitan Transportation Authority
- Southern California Regional Rail Authority (Metrolink)
- Orange County Transportation Authority
- California Department of Transportation (CALTRANS)
- Bay Area Rapid Transit
- Metropolitan Transit System (San Diego Transit)
- North County Transit District
- Fresno Area Express
- Gold Line Authority (Los Angeles MTA)
- Southern California Association of Governments (SCAG)
- San Diego Association of Governments (SANDAG)
- San Diego Gas & Electric
- San Diego County Sheriff's Department
- San Diego County Water Authority
- San Diego Unified School District
- Poway Unified School District
- Imperial Irrigation District
- Otay Water District
- Vallecitos Water District
- University of California-Berkeley
- University of California-Los Angeles
- University of California-Davis
- County of Orange
- County of San Diego
- City of San Diego
- City of San Diego Housing Commission
- City of Escondido
- City of Carlsbad
- City of Poway
- City of Davis
- City of St. Helena
- City of Dana Point

- City of Oceanside
- Imperial Valley Association of Governments
- Imperial County Transportation Commission
- Imperial Valley Transit
- Santa Clarita Transit
- Santa Monica Municipal Bus Lines
- Culver CityBus
- Foothill Transit
- El Monte Transit
- Torrance Transit
- Cerritos on Wheels
- Commerce Transit
- Los Angeles Commuter Express
- Pasadena ARTS
- Carson Circuit
- Alhambra Transit
- Clovis Stageline
- Riverside Transit Agency
- San Diego County Law Library
- City Heights Community Development Corporation (City of San Diego)
- Centre City Development Corporation (City of San Diego)
- North Park Main Street Association (San Diego)
- San Luis Rey Indian Water Authority
- California Center for Sustainable Energy

Economic Research Clients:

- State of California--Senate Rules Committee
- State of California--Senate Special Committee on Border Issues
- State of California--Office of the Auditor General
- State of California--Office of the Attorney General
- California Department of Transportation (CALTRANS)
- Southern California Gas Company
- San Diego County Sheriff's Department
- San Diego Unified School District
- San Diego Gas & Electric
- Southern California Gas Company
- Pardee Construction Company
- San Diego Aircraft Carrier Museum Foundation
- Westbrook Development
- Genstar Development
- Laing Urban
- Pacific Century Development
- Subway, Inc.
- Westfield Shopping Centers
- Shea Properties
- City of San Diego
- City of San Diego Housing Commission
- City of Carlsbad
- City of Poway
- City of Holtville



- Southern California Association of Governments
- Imperial Valley Association of Governments
- San Diego County Taxpayers Association
- California Center for Sustainable Energy
- City Heights Community Development Corporation (City of San Diego)
- Centre City Development Corporation (City of San Diego)
- La Jolla Band of Mission Indians
- Viejas Enterprises
- Foxwoods Development
- Big Pine Paiute Economic Development Corporation
- Joint Labor/Management Committee-Retail Food Industry
- San Diego/Imperial Counties Labor Council AFL-CIO
- Southwest Strategies, LLC
- Stirling Enterprises
- Ivey Ranch Development Company
- Pacifica Companies
- Pacific Beachfront Resort
- Housing Solutions Alliance
- Smart Growth Coalition—National City
- Rancho Guejito Corporation
- Seacoast Inn
- Shopoff Group
- Mercado Barrio Logan
- DTOM Sports Apparel
- Accretive Investments
- Mortgage Electronic Registration System, Inc. (MERS)
- Chelsea Investment Corp.
- Border Communities Capital Corp.
- Cox Communications
- Regency Shopping Centers
- Clinicas de Salud del Pueblo
- Three Rivers CDE (Mississippi)

**Richard A. Parker, Ph.D. is Professor Emeritus in the School of Public Affairs at San Diego State University where he teaches graduate and undergraduate courses in statistics, survey research, urban economic development, finance, and real estate.** Dr. Parker possesses extensive analytical experience in statistical survey research, market analysis, land use, real estate development and valuation, and transportation issues. He will serve as the co-Project Director.

Dr. Parker has been a consultant to both the public and private sectors for almost 30 years. He has specialized in sample survey research for various governmental agencies and market research for retail, commercial, residential, and recreational development. Particular emphasis has been placed upon market research conducted in the field of transportation, with a myriad of rider/on-board surveys, intercept surveys, telephone surveys, and focus group projects having been performed for several transportation agencies. Dr. Parker has further established his reputation with regard to fiscal impact studies, urban redevelopment, and environmental impact/socioeconomic and demographic analyses. Dr. Parker has also been involved on a consultative basis with a number of issues concerning economic and population growth impacts in Southern California and has published a variety of articles, monographs, and books on these subjects. He has further participated in various panel discussions, delivered expert testimony to

legislatures and courts, and appeared on several radio and television programs on behalf of his clients.

Dr. Parker is a graduate of Brown University, the University of California at Berkeley, and UCLA. He possesses degrees in Business Administration from those institutions (B.S., MBA, and Ph.D.) plus a further graduate degree in City Planning (MCP) from San Diego State University.

**Louis M. Rea, Ph.D. is Professor Emeritus of City Planning in the School of Public Affairs at San Diego State University. Dr. Rea teaches graduate courses in statistical analysis, transportation planning, survey research, and urban/fiscal problems.** He has published a variety of articles, participated in panel discussions, and delivered numerous papers at professional conferences throughout the United States. He has extensive experience as a researcher and consultant in California and particularly in San Diego and the Los Angeles area for the past 30 years. Dr. Rea will be Co-Project Director for this study.

Dr. Rea has conducted and supervised numerous projects in the areas of transportation research and transit planning, including on-board bus/train surveys, ride checks, intercept surveys, and focus groups. He has also conducted Internet and telephone surveys in numerous consulting and research assignments for municipal jurisdictions and private businesses throughout Southern California. Dr. Rea has prepared environmental impact reports and market analyses for various commercial/recreational developments and has analyzed the feasibility of assessment districts and direct benefit financing. Dr. Rea has also prepared demographic and economic profiles and projections for various projects.

Dr. Rea is a graduate of Colgate University in New York, where he earned a BA. He received a Master of Regional Planning (MRP) and Ph.D. in Social Science. from Syracuse University in Regional Planning.

Short-form resumes are attached.

### **Survey Research Consultative Projects**

#### **Imperial Valley Transit/Imperial County Transportation Commission**

- Year long sample survey in process (2016-2017) and count of passengers on-board buses in order to meet Federal Transportation Agency requirements for statistically reliable estimate of annual passenger miles traveled.
- Year long sample survey (2013-2014) and count of passengers on-board buses in order to meet Federal Transportation Agency requirements for statistically reliable estimate of annual passenger miles traveled.
- Year long sample survey (2010-2011) and count of passengers on-board buses in order to meet Federal Transportation Agency requirements for statistically reliable estimate of annual passenger miles traveled.

- Year long sample survey (2008-2009) and count of passengers on-board buses in order to meet Federal Transportation Agency requirements for statistically reliable estimate of annual passenger miles traveled

### **Los Angeles County Metropolitan Transportation Authority:**

#### **On-Board and Telephone Bus Surveys**

- On-Board bus survey for MTA, Foothill Transit, and Duarte Transit concerning expansion of Gold Line—800 respondents
- Conducted the On-Board Bus Survey for Los Angeles County Metropolitan Transportation Authority, including 40,000 rider/on-board surveys, 2,500 follow-up telephone interviews, and 10 focus groups.
  - Final deliverables include/included 4 reports:
    - Satisfaction, travel patterns, fare media, and demographics of 31,000 weekday bus riders on LACMTA buses and those of 12 municipal transit operators within Los Angeles County (**Alhambra Community Transit, Culver City Bus Lines, Commerce Transit, Pasadena ARTS, Cerritos-On-Wheels (COW), Santa Monica Big Blue Bus, Los Angeles Commuter Express, Santa Clarita Transit, Torrance Transit, Carson Circuit, El Monte Trolley, and Foothill Transit**).
    - Satisfaction, travel patterns, fare media, and demographics of 3,500 weekend bus riders on LACMTA buses.
    - Detailed follow-up telephone survey of 2,500 weekday riders of MTA and 12 municipal operators expanding upon demographics, satisfaction, problem occurrence, importance/concern, travel behavior, use of MTA website, customer service, and marketing media and messages.
    - Geocoded home, origin (production), boarding, alighting, and destination (attraction) data is presented in color graphics by line, service sector, and planning area.
    - Prepared the on-board survey instrument for LACMTA and each of the 12 municipal operators and had its surveyors ride the buses of randomly selected bus runs with follow-up surveys also conducted on-board the following year.
    - Prepared and tested the survey instrument in 10 focus group sessions conducted in Los Angeles County and in two extensive on-board pretests involving almost 1,000 respondents. Focus groups were conducted in different geographical areas of the

County, among different age and ethnic groups, and in both Spanish and English.

- The telephone survey consisted of 39 questions, including 110 individual variables. The mean survey time was 13.09 minutes, administered in both English and Spanish. Media information concerning messages communicated on television was added to more typical transportation-based questions. The analysis consisted of detailed crosstabulations, correlations, and analyses of variance in order to assess market segmentation strategies.
  
- On-Board survey of Gold Line riders concerning expansion plans—800 respondents
  
- Conducted the On-Board Rail Survey for **Los Angeles County Metropolitan Transportation Authority**, including 15,000 rider/on-board surveys, 1,000 follow-up telephone interviews, and 3 focus groups.
  - Final deliverables include/included 4 reports:
  
  - Satisfaction, travel patterns, fare media, and demographics of 12,000 weekday riders on LACMTA Metro Rail—Blue, Green, and Red Lines.
  
  - Satisfaction, travel patterns, fare media, and demographics of 3,000 weekend bus riders on LACMTA Metro Rail—Blue, Green, and Red Lines.
  
  - Detailed follow-up telephone survey of 1,000 weekday and weekend riders of Metro Rail expanding upon demographics, satisfaction, problem occurrence, importance/concern, travel behavior, use of MTA website, customer service, and marketing media and messages.
  
  - Geocoded home, origin (production), and destination (attraction) data is presented in color graphics by line.
  
  - Prepared the on-board survey instrument for LACMTA and had its surveyors ride the trains on randomly selected runs, with follow-up surveys also conducted on-board the following year.
  
  - Prepared and tested the survey instrument in 3 focus group sessions conducted in Los Angeles County and in two extensive on-board pretests involving almost 500 respondents. Focus groups were conducted in different geographical areas of the County, among different age and ethnic groups, and in both Spanish and English.

- The telephone survey consisted of 42 questions, including 103 individual variables. The mean survey time was 12.29 minutes, administered in both English and Spanish. Media information concerning messages communicated on television was added to more typical transportation-based questions. The analysis consisted of detailed crosstabulations, correlations, and analyses of variance in order to assess market segmentation strategies.
- 600-person telephone survey in San Gabriel Valley concerning expansion of Gold Line and Measure R

**Orange County Transportation Authority (OCTA):**

- Intercept survey of 1,950 bus riders in Orange County regarding origin-destination, customer satisfaction, and messaging.
- Prepared, conducted and analyzed 2,000-person rider/on-board bus survey for the **Orange County Transportation Authority** regarding monthly, weekly, and daily bus pass sales. Prepared questionnaire, administered survey, analyzed data in order to assess potential for expanding bus pass sales.
- Marketing program consultant in OCTA's effort to attract and retain more riders, particularly from Hispanic and senior citizen groups. Sixteen focus groups were scheduled and twelve conducted (four having been deferred at OCTA's request to July, 2002).
- Conducted the CenterLine Customer Profile for the **Orange County Transportation Authority** involving intercept surveys of 8,800 potential urban light rail users, 1,500 telephone survey interviews, and 12 focus group/roundtables. Final analysis assessed likely ridership, preferred destinations, trip purposes, public support, demographic and psychographic profiles of potential light rail ridership
- Prepared Multi-Cultural Market Assessment Study for transportation services in Orange County. Formulated baseline data and marketing strategies for long- and short-term transportation related issues facing Orange County's diverse multi-cultural communities, with particular emphasis upon Hispanic and Vietnamese communities. Administered three different statistical surveys including intercept and rider/on-board formats, each in English, Spanish, and Vietnamese.
- Prepared, conducted and analyzed Vietnamese ridership study, including in-person intercept survey, telephone sample survey, and focus group among Vietnamese community leaders regarding current bus service and future transit needs in the Vietnamese areas of Orange County.
- 2007--Analyzed 2,000 person ACCESS (disabled paratransit) customer service satisfaction survey.

- 2007—conducted and analyzed counts of passengers on Amtrak and Metrolink trains at every Orange County station plus Oceanside, Norwalk, and Commerce.
- 2008—Focus groups (4) concerning integration and improvements to service (Metrolink, Amtrak, Coaster) along Los Angeles-San Diego (LOSSAN South ) corridor
- 2008/2009—Rail safety study including observations at each of 54 at-grade rail crossings in Orange County, interviews with 60 local decision makers and other community leaders, and 600 person residential telephonic survey.
- Conducted focus groups among senior/disabled bus riders and full fare bus riders concerning proposed restructuring of bus fares. Also conducted roundtable meetings with coach operators and social service agency representatives.
- Conducted public participation portion of Orange County Bus Improvement Project (BUSLINK). Prepared report based upon focus group discussions with bus users and non-users, employee transportation coordinators, real estate developers, senior citizens, students, transportation advocates, Orange County employers, and members of ethnic minority communities throughout the County. Final report summarized the perceptions of focus group participants concerning potential improvements to the bus system.
- Conducted focus group discussions with Metrolink commuter rail users and non-users within Orange County for purposes of identifying service and marketing issues and opportunities. Prepared final report summarizing findings from these focus group discussions.
- Conducted focus group discussions with clients of ACCESS paratransit service for purposes of identifying the viability of alternative transportation options.
- Conducted focus groups among users of ACCESS for purposes of refining six strategies for providing a financially viable service to ACCESS customers and prepared formal final report.
- Conducted a series of roundtable discussions concerning the implementation of changes in the ACCESS system pertaining to reservations, eligibility, schedule, rates, pick-up and delivery policy, etc., and prepared formal final report.
- Conducted focus group discussions concerning Master Plan of Countywide Commuter Bikeways and prepared final report.
- Prepared Multi-Cultural Market Assessment update, including focus groups within the Hispanic community concerning the marketing of transportation services. Evaluated the success of programs commenced following the initial Multi-Cultural Market Assessment.
- Conducted focus group and roundtable discussions with community leaders, general public, and representatives of goods movement/freight industry regarding long-range transportation planning in Orange County.

- Conducted focus groups among businesses and residents of Orange County concerning recommended Corridor (Fullerton-Irvine) Transportation Strategy.
- Conducted focus groups among residents of northern, central, and southern Orange County regarding the FastForward long-range transportation.
- Conducted roundtables and focus groups concerning routing issues and public support for the CenterLine urban light rail system proposed for Orange County.
- Conducted focus groups among public outreach firms to determine opinions concerning consulting for OCTA—contact administration, pricing, clarity of tasks, and so forth’

**State of California (Senate Rules Committee, Senate Select Committee on Border Issues, and Office of the Auditor General)**

- Analysis of fiscal impact of undocumented immigrants on public services in San Diego County and California, including criminal justice system, education, and public health. Further identified estimated number of undocumented residents and their contributions to State and local tax revenues. Also included in the analysis were federal revenues, false documentation issues, and macro-economic impacts. Study included substantial primary data gathering techniques, including direct interviews with undocumented immigrant workers and INS returnees. Prepared, administered, and analyzed sample surveys of undocumented immigrants in San Diego County for purposes of determining employment characteristics, revenue generation, demographics, and migration patterns. Research included extensive face-to-face interviews and structured roundtable discussions.

**San Diego County Water Authority Public Opinion Surveys**

- Prepared, implemented, and analyzed 2003, 2004, and 2005, 2006, 2008, 2009, 2011, and 2012 Public Awareness Survey of telephone respondents (600 in 2003, 710 in 2004, 725 in 2005, and 700 in 2006, 2008 and 2009) concerning behavior, opinion, rate tolerance, future needs assessment issues, desalination, water reclamation, conservation practices.
- Prepared, implemented, and analyzed survey of General Managers and Department Heads of 23 member agencies about satisfaction, effectiveness, usefulness of services and programs provided by Water Authority in 2003 and 2005
- Prepared, implemented, and analyzed employee satisfaction survey of Engineering Department.
- Prepared, implemented, and analyzed 400 respondent survey among San Diego County contractors regarding project labor agreements and public works contracting.

- 2008—two 600 person telephone surveys tracking before and after impacts of public awareness campaign concerning water conservation.

### **City of Oceanside**

- Prepared implemented, and analyzed telephonic survey of 803 residents of Northern San Diego County concerning awareness, behavior, and opinions about water runoff pollution.

### **San Diego County**

- Prepared, implemented, and analyzed 1,305 person telephonic survey of unincorporated area residents concerning awareness, behavior, and opinions about water runoff pollution.
- Conducted, analyzed and reported upon two 600-person telephonic public opinion and awareness surveys before and after public awareness campaign to inform county residents about emergency preparedness.
- Prepared, implemented, and analyzed 8 intercept surveys of law library users concerning classes offered, benefits, opportunities for improvement.
- Evaluated the San Diego Community Planning Process as viewed by planning group participants and informed parties (developed questionnaire, analyzed data, and prepared a final report).

### **City of Coronado**

- Prepared, implemented, and analyzed 600 respondent in-person intercept survey of visitors to identify places of staying, recreational activities, modes of transportation.

### **City of Carlsbad**

- Prepared, implemented, and analyzed citywide sample telephone survey of 600 respondents concerning future urban commercial development in this fast growing Northern San Diego County city. Extensive analysis of underlying values through various development scenarios and conjoint analytical techniques was featured.

### **City of San Diego**

- Prepared, implemented, and analyzed 400 person telephone survey of residents of three low income San Diego communities concerning issues such as crime, economic development, city services, and the success of the City's "Weed and Seed Program."



- Prepared, administered, and analyzed sample survey of San Diego County residents for purposes of assessing utilization and demand factors for Mission Bay Park in San Diego. This survey of 850 persons served to inform the revision of the Park's Master Plan.
- Analysis of market for existing condominium developments in downtown San Diego. Detailed analysis included extensive survey and corresponding statistical and qualitative analysis including recommendations for future market composition.
- Consultant for the revitalization of an older commercial retail area in mid-city San Diego seeking to rejuvenate its retail base. Three surveys and a series of key participant discussions were performed in conjunction with this effort--existing retailers, potential retailers, and residents of the area--plus corresponding statistical and qualitative analysis. Final report included a recommended retail structure for the community that would be realistic, implementable, and sensitive to the diversity of ethnicity in this community.
- Prepared, conducted, and analyzed 600 person telephone survey in mid-city for purposes of establishing need for community court in the area populated by myriad low-income minority and immigrant groups. Also in-person interviews/surveys of 100 local business owners.
- Prepared, implemented and analyzed 400 person survey of City residents concerning water supply awareness, conservation attitudes and behaviors, and opinions about water recycling—2004, 2011m and 2012.

### **County of Orange**

- Prepared, implemented, and analyzed 1,040 person telephone survey of unincorporated area (North Tustin) in order to assess level of service satisfaction issues and potential annexation/sphere of influence adjustments

### **County of San Diego**

- Prepared, implemented and analyzed two 600 person surveys of County residents concerning emergency preparedness before and after public information campaign

### **Otay Water District**

- 2015 Customer Awareness and Satisfaction Survey (n =400)
- 2013 Customer Awareness and Satisfaction Survey (n =350)
- 2012 Customer Awareness and Satisfaction Survey (n = 550)
- 2012 Call Center Customer Service Survey (n = 300)

- 2011 Customer Awareness and Satisfaction Survey (n = 300)
- 2010 Desalination Survey—400 respondents and 2 focus groups
- 2010 Employee Satisfaction online survey
- 2009 Customer Awareness and Satisfaction Survey of 300 customers of the District
- 2009 Large Users Drought Telephone Survey
- 2008 Customer Service telephone survey of 300 participants prepared, conducted, and analyzed.
- 2008 Customer Awareness and Satisfaction telephone survey of 300 participants prepared, conducted, and analyzed
- 2008 Employee Satisfaction survey prepared conducted and analyzed using web-based instrument.
- 2007 residential customer satisfaction/awareness (n=300) telephone survey prepared, implemented and analyzed. Emphasis upon customer satisfaction and conservation measures.
- 2007 Call Center customer service telephone survey (n = 200) focused upon satisfaction with customer service and communications.
- 2005 customer satisfaction survey of 350 residential customers concerning behavior, opinion, customer service, desalination, water reclamation, and conservation practices.

#### **Imperial Irrigation District**

- Instruction to energy traders in use of mathematical and statistical tools to aid in their requisite analyses.
- Developed statistical models that predict energy consumption based upon various climactic conditions to within 1-3% of actual.

#### **San Luis Rey Indian Water Authority**

- Prepared and supervised administration of detailed census and opinion survey of 2,500 members of five Indian tribes. Particular emphasis was given to issues of importance to the tribes' members such as job opportunities, education, cultural issues, economic development opportunities and transportation access issues. Focus group sessions with each tribe were utilized to complement the survey findings. Final report included both census data and fully tabulated and statistically analyzed summary of the opinions of reservation residents.

#### **City of Poway, California**

- Prepared, administered, and statistically analyzed a mail survey of 800 Poway businesses regarding their needs and opinions concerning Poway's business climate and future opportunities. Final report included detailed analysis and exposition, including recommendations where appropriate.
- Prepared, administered, and statistically analyzed a mail survey of 6,000 Poway households concerning their opinions regarding a variety of issues of importance to the City for future planning. Final report included fully tabulated results with accompanying statistical reports

#### **North Park Main Street Association**

- Conducted two intercept surveys--business owners and shoppers in San Diego Main Street National Historic Preservation Area in order to determine shopping needs and level of improvement or decline in area since the implementation of the Main Street program.

#### **City of Dana Point, California**

- Prepared recreation and parks needs assessment survey for administration to general public.

#### **City of Davis**

- Prepared, administered, and analyzed sample survey of 833 residents of Davis, California for purposes of assessing utilization, demand, and tax allocation factors for City of Davis Department of Parks and Recreation in concert with the preparation of the Master Plan.

#### **City of St. Helena**

- Prepared, administered, and analyzed 400 respondent sample survey of City of St. Helena, California residents for purposes of General Plan revisions.

#### **Santa Clarita Transit**

- Three focus groups among Latinos, commuters, and local bus riders to identify service and marketing-related issues and policies for rider attraction and retention.

#### **Southern California Regional Rail Authority (Metrolink)**

- Determined the requisite two-stage sample for Federal Transportation Agency requirements for annual passenger and mileage calculations.

- Conducted a 3,500 person rider/on-board sample survey on 7 Metrolink lines regarding customer satisfaction, importance, problem occurrences, travel behavior, marketing strategies, and demographics. Also undertaken were precise counts of passenger boardings and alightings at each station for each train in the Metrolink train system.
- Conducted a 6,000 person rider/on-board sample survey on 6 Metrolink lines regarding customer satisfaction, importance, problem occurrences, travel behavior, marketing strategies, and demographics.
- Conducted focus groups with student riders and potential riders of Metrolink.
- Conducted Riverside County rider focus groups for Metrolink regarding use of new stop and need for reverse commute trains.

### **California Department of Transportation**

- Prepared growth inducement study for State Route 56 through the northern portion of the City of San Diego. Study included fiscal impacts as well as housing, employment, and income forecasts; also included were planning implications of possible growth inducing factors associated with the construction of the highway.
- Conducted focus groups and web-based survey of CALTRANS engineers regarding job satisfaction and staff morale.
- Eight surveys among pilot study riders of combined commuter train/rental car system of commuting.

### **San Diego County Sheriff's Department**

- Established analysis by station (11) of workload and availability for calls for service among Sheriff's patrol deputies. Over 3,000 samples drawn and analyzed to establish manpower needs.
- Utilized scientific sample to analyzed time savings applicable to the conversion of arrest data to laptop computers from manual entry. Final report included specific determination of manpower hours saved and recommendations for software and operational policy changes in order to maximize technological advantages.
- Workload analysis based upon sample of time logs from Sheriffs Communication Center and Monte Carlo simulations in order to identify necessary staffing levels for 9-1-1, radio, and administrative communications throughout San Diego County

### **San Diego Unified School District**

- Survey of building contractors concerning economic impacts of Project Stabilization Agreement with local trade unions regarding school construction projects.

#### **Poway Unified School District**

- Telephone survey of 400 district residents pertaining to satisfaction with existing bond program and potential for future borrowing.

#### **Bay Area Rapid Transit**

- Market analysis and ridership projection for two stations located on East Bay line of BART.

#### **Southern California Association of Governments**

- 800 person survey and 6 focus groups to determine desired route for high-speed rail from Northern California between Los Angeles and San Diego.
- 5200 person survey of pedestrian, passenger vehicle, and commercial truck border crossers at Calexico and Algodones/Yuma pertaining to trip purpose, frequency, origin/destination, and other factors.

#### **Riverside Transit Agency**

- On-board survey of 8000 riders of Riverside bus system regarding satisfaction, frequency, demographics
- On-board survey and count of RTA bus lines that intersect with Downtown Riverside Transit Terminal in order to identify magnitude and nature of travel disruptions that will occur when terminal is relocated
- On-Board survey of commuter bus lines
- Intercept of 1000 passengers transferring and/or ending trip at Downtown

#### **San Diego Metropolitan Transit System**

- Survey of passengers at trolley stations
- On-board counts of weekend contract service
- Conducted focus groups concerning routing/scheduling and planning/marketing issues for the expansion of the San Diego Trolley.
- Intercept surveys of 500 passengers at two rail stations concerning moving transit center.

#### **San Diego Association of Governments**

- Focus groups concerning carpool, vanpool, transit alternative commute options.
- Survey of 400 San Diego County businesses (plus focus groups) regarding telework policies, opportunities and challenges.
- 400-person intercept survey at International Border concerning parking costs, availability and other issues.

#### **University of California PATH/SANDAG**

- Six Month panel for focus groups and surveys at start and end concerning new transit plan that utilizes rental cars at either end of transit trip.

#### **University of California, Davis**

- Web-based survey of all identifiable San Francisco Bay Area water management professionals concerning water conservation policies and practices, including follow-up telephone interviews.

#### **City of Escondido**

- Prepared, administered, and statistically analyzed telephone survey of 425 residents concerning library facilities.

#### **California Center for Sustainable Energy**

- Focus groups concerning the use of solar energy for residential power users –both contractors and residents participated.
- Focus groups among homeowners with photovoltaic systems, real estate professionals, and city/county permitting and inspection officials concerning barriers to and solutions pertaining to photovoltaic system installation and ownership.

#### **North County Transit District**

- Online survey of commuters and residents of Camp Pendleton regarding transportation needs.

#### **Fresno Area Express**

- On-board bus survey (n =3,700) regarding origins, destinations, modes of access and egress, demographics
- Intercept bus stop survey re: rider satisfaction (n =1,500)

- Telephone satisfaction survey of para-transit customers (n = 400)

### **Vallecitos Water District**

- Telephone survey (n=300) regarding conservation, awareness of district activities and communications

### **Economic, Financial, and Fiscal Impact Analyses**

#### **State of California (Senate Rules Committee, Senate Select Committee on Border Issues, and Office of the Auditor General)**

- Analysis of fiscal impact of undocumented immigrants on public services in San Diego County, including criminal justice system, education, and public health. Further identified estimated number of undocumented residents and their contributions to State and local tax revenues. Included in the analysis were federal revenues, false documentation issues, and macro-economic impacts. Study included substantial primary data gathering techniques, including direct interviews with undocumented immigrant workers and INS returnees for purposes of determining employment characteristics, revenue generation, demographics, and migration patterns.

#### **California Department of Transportation**

- Prepared growth inducement study for State Route 56 through the northern portion of the City of San Diego. Study included fiscal impacts as well as housing, employment, and income forecasts; also included were planning implications of possible growth inducing factors associated with the construction of the highway.

#### **San Diego County Taxpayers' Association**

- Prepared economic and financial analysis of San Diego County Multiple Species Conservation Program for presentation to Planning Commission, City Council, and Board of Supervisors, including imposition of fee required to assemble the land.
- Prepared analysis of economic effects of proposed San Diego development impact fee program. Study included both academic, theoretical analysis and practical fiscal impact considerations.
- Written analysis and critique of Planned Growth and Taxpayer Relief Initiative – Development Impact Fee proposal for consideration before San Diego City Council.

- Fiscal Impact Analysis of Olivenhein Dam project of San Diego County Water Authority
- Prepared general fiscal impact analysis of mobile home rent control ordinances in State of California.

### **Westfield Shopping Centers**

- Analysis of proposed City of San Diego Affordable Housing Impact Fee, including recalculation and allocation among land uses
- Analysis of potential sales and fiscal impact due to expansion of University Town Center, La Jolla, CA

### **San Diego Aircraft Carrier Museum Foundation**

- Prepared fiscal impact analysis regarding the establishment of the USS Midway aircraft carrier museum on San Diego Bay.

### **Pardee Construction Company**

- Prepared Economic Impact Analysis of proposed all-cargo airport at Brown Field, including job creation and related industrial/commercial/visitor development
- Prepared Economic/Fiscal Impact Analysis of 2,650 acre “high-end” Pacific Highlands Ranch residential development in Carmel Valley area of San Diego. Included determination of impact fees.

### **Westbrook Development**

- Economic/Fiscal Impact Analysis of 2,550 acre residential/ commercial/resort development at Fanita Ranch in Santee. Included determination of impact fees for the development and alternative use as open space.

### **Genstar Development**

- Economic/Fiscal Impact Analysis of 3,000 acre 4S Ranch residential/commercial development in San Diego County. Included determination of development impact fees.

### **San Diego Gas & Electric**

- Analysis of feasibility and fiscal impact of City of San Marcos proposal to form and operationalize its own municipal utility—Discovery Valley Utility



- Environmental/Fiscal analysis of San Diego Gas & Electric's 2004 Energy Resource Plan.
- Economic analysis of Sunrise PowerLink to Imperial County
- Analysis of fiscal impact of Carlsbad agricultural protection measures proposed on 2006 ballot
- Development of economic impact and fiscal model applicable to Sunrise PowerLink, smart meters, ECO substation, South Bay substation, Dynamic pricing, and renewable energy development, South Orange County Reliability Project, among others).. Model recalibrated and used continuously for new projects.
- Economic impact analysis for L-3602 pipeline project

#### **Southern California Gas Company**

- Development of economic impact and fiscal model applicable to System Reliability Project and Pipeline Safety Enhancement Plan affecting 12 counties in California. Model recalibrated and used continuously for new projects.
- Economic impact analysis for North-South pipeline project in Riverside, San Bernardino, Orange and Los Angeles Counties.
- Economic impact analysis for System Reliability Project.

#### **San Diego Unified School District**

- Economic analysis of bidding, construction costs , delays, labor compliance and others pertaining to construction projects for San Diego Unified School District.

#### **Southwest Strategies, LLC**

- Fiscal Impact analysis for potential rezoning of industrial land to residential in Oceanside, California—determined and compared impact fees for industrial and residential use, including transportation impact fees.
- Analysis of proposed City of San Diego Affordable Housing Impact Fee, including recalculation and allocation among land uses.
- Socio-economic profile of residents of 5 affordable housing developments in the City of Poway, including demographics, spending, impacts on crime, schools, property values
- Examination of financial implications of rezoning Old Town National City to remove non-conforming industrial uses

- Economic and fiscal impact of expansion of Costa Verde Shopping Center, La Jolla, CA

### **Shea Properties**

- Fiscal impact of proposed redevelopment of Barrio Logan with Mercado and affordable housing in San Diego.
- Fiscal impact of second project planned for Barrio Logan
- Fiscal and economic impact of shopping center/hotel development in Cypress, CA

### **Pacifica Companies**

- Fiscal and economic impact of oceanfront resort in San Diego County
- Fiscal and economic impact of converting Oxnard, CA suites hotel into senior living accommodations

### **One World Beef**

- Fiscal, economic and community impact consultant for acquisition and rehabilitation of large meat packing facility in order to obtain New Market Tax Credits.

### **Laing Urban**

- Fiscal Impact analysis for potential rezoning of industrial land to residential in Culver City, California-- determined and compared impact fees for industrial and residential use, including transportation impact fees

### **San Diego-Imperial Counties Labor Council AFL-CIO**

- Analysis of San Diego County Water Authority-Imperial Irrigation District water transfer in terms of environmental and economic obstacles faced and economic development opportunities to be derived from funds to be available within the Imperial Valley.

### **WESTEC Services, Inc.**

- Prepared socioeconomic present condition, impact, and mitigation sections of Environmental Impact Report for California State Prison and San Diego County jail and honor camp at Otay Mesa. Also prepared project description and statement of needs chapter, crime rate and socioeconomic hazards sections.

### **Mooney & Associates**

- Prepared socioeconomic present condition, impact, and mitigation sections of economic impact report for expansion of San Diego County jail in Santee. Also prepared project description and statement of needs chapter, crime rate and socioeconomic hazards sections.

### **Joint Labor Management Committee of the Retail Food Industry**

- Analysis of impacts of large “big box” retailers upon existing merchants. Particular emphasis upon downtown impacts and planning consequences in light of movement toward smart growth. San Diego’s City of Villages strategy was assessed in this regard.
- Economic Impact of supercenter retail development upon California jobs, health and welfare expenditures, and general economic conditions.

### **City of San Diego**

- Determined shopping needs and level of improvement or decline in North Park community since the implementation of the Main Street Historic Preservation Program.
- Analysis of market for existing condominium developments in downtown San Diego. Detailed analysis included extensive survey and corresponding statistical and qualitative analysis including recommendations for future market composition.
- Consultant for the revitalization of an older commercial retail area in mid-city San Diego seeking to rejuvenate its retail base. Final report included a recommended retail structure for the community that would be realistic, implementable, and sensitive to the diversity of ethnicity in this community.

### **La Jolla Band of Mission Indians**

- Marketing and management consultants for Sengme Oaks Water Park, a water theme amusement park in Northern San Diego County. Prepared formal marketing and management plans for the Park.

### **Merrill Lynch Commercial Real Estate**

- Provided a variety of on-going property valuation and real estate consultative services including improved and unimproved real property appraisals and land use feasibility planning for large acreage.

### **City of Carlsbad**

- Analyzed future urban commercial development in fast growing Northern San Diego County city.

#### **Border Communities Credit Corp/Chelsea Investments, Inc.**

- Analysis of job creation for three development proposals: Children’s Village in San Diego, child care facilities and four-story offices in San Diego, and residential/commercial development in San Luis Rio Colorado, AZ.
- Analysis of job creation for 6 development proposals—San Diego, CA, Chula Vista, CA Brawley, CA, Imperial, CA, Yuma, AZ, El Paso, TX
- Analysis of job creation for 4 development proposals—San Diego, CA (2), Huron, CA, and Las Cruces, New Mexico

#### **Stirling Enterprises**

- Fiscal Impact analysis of proposal to rezone parcel of industrial land into multiple residential in Oceanside, California--determined and compared impact fees for industrial and residential use, including transportation impact fees
- Projected Jobs-Housing equilibrium point for City of Oceanside

#### **Viejas Enterprises**

- Socio-economic analysis of proposal to locate Indian casino in City of Calexico, California
- Socio-economic/fiscal impact analysis of tribal casino in Alpine, California

#### **Foxwoods/Pauma Development**

- Multiplier, Housing Needs, Employment, Crime, Pathological Gambling analyses for casino development in northern San Diego County

#### **Big Pine Paiute Economic Development Corporation**

- Economic/Fiscal impact analysis of proposed Indian Travel Plaza/Casino on US 395 near Big Pine and Bishop, California.

#### **County of Orange**

- Prepared, implemented, and analyzed study of unincorporated area (North Tustin) in order to assess level of service satisfaction issues and potential annexation/sphere of influence and fee adjustments.

#### **Housing Solutions**

- Socio-economic profile of residents of 5 affordable housing developments in the City of Poway, including demographics, spending, impacts on crime, schools, property values

#### **National City Smart Growth Coalition**

- Planning and economic consultant to business owners in National City Westside regarding new land use plan for community.

#### **City of Davis**

- Prepared, administered, and analyzed study of Davis, California for purposes of assessing utilization, demand, and tax allocation factors for City of Davis Department of Parks and Recreation in concert with the preparation of the Master Plan.

#### **Subway, Inc. and Pacific Century Development**

- Analysis of two sites in Blythe, CA to determine market absorption potential for new hotel/motel developments.

#### **City of Holtville**

- Economic consultant to City in process of dissolving Joint Powers Authority in order to secure fair share of proceeds.

#### **San Diego Housing Commission**

- In accordance with the City of San Diego SRO Preservation Ordinance, an inventory of all existing guest rooms in the City of San Diego was performed in order to retroactively identify rooms that qualified as single room occupancy hotel rooms as of December 1985, December 1987 and May 1988. The purpose of this survey was to identify a baseline number of such units for presentation purposes. Prepared SRO identification methodologies, computerization formats, statistical analyses, and final report with room-by-room breakdown.

#### **Rancho Guejito Corporation**

- Fiscal impact and economic analysis of proposed Multiple Species Conservation Program—North County.
- Fiscal impact and economic analysis of proposed General Plan Update for San Diego County

- Analysis of impact of San Diego County General Plan upon transportation, education, and public safety services in rural San Diego County.

#### **Mortgage Electronic Registration Systems, Inc. (MERS)**

- Costs and benefits to consumers and taxpayers of electronic registration system for mortgages throughout United States. MERS is service owned by Fannie Mae, Ginnie Mae, Bank of America, Chase, Wells Fargo and all other major banks in U.S.

#### **Ivey Ranch Development Company**

- Fiscal and economic impact analysis of three development alternatives for 10 acre site in Oceanside California

#### **Shopoff Group**

- Fiscal and economic impact analysis of two development alternatives for 4.5 acre site in Oceanside, California
- Fiscal and jobs impact for proposed residential development in Vista, California
- Fiscal analysis of 70 unit condominium project in San Diego County.

#### **Accretive Investments**

- Fiscal Impact analysis of 600 acre, 1,800 housing unit and retail development in unincorporated area of northern San Diego County.

#### **Cox Communications**

- Fiscal and economic impact analysis of Cox Communications California operations.

#### **Regency Shopping Centers**

- Fiscal and economic impact analysis of revitalization of Costa Verde Shopping Center, La Jolla, California

#### **Clinica de Salud del Pueblo**

- Community impact analysis for medical center in El Centro, California

### **Expert Witness: Survey Research and Statistical Analysis**

**Seyfarth Shaw, LLP**

- Analyzed and testified as expert witness
  - Ikon Office Solutions regarding overtime and meal break survey
  - Orange County Register regarding adequacy of statistical survey sampling of and statistical conclusions drawn from employees
  - Kaiser Permanente (3 cases) – pharmacy managers and all employees overtime
  - Bank of America—employee overtime
  - Safeway, Inc.—customer service issues

**Sheppard, Mullin, Richter & Hampton, LLP**

- Expert witness regarding statistical surveys and labor-hour issues in class action litigation (Bank of America).
- Expert Witness regarding employee claims for clothing expense reimbursement (Wet Seal)
- Expert witness: Loan Depot

**Higgs, Fletcher & Mack, LLP**

- Analyzed and testified (deposition) as expert witness regarding statistical survey concerning appraisal of commercial real estate subject to condemnation.

**Paul, Plevin, Sullivan & Connaughton, LLP**

- Contracted as expert witness regarding adequacy of statistical survey sampling of and statistical conclusions drawn from employees—2 cases (Kelly Services, Inc. –declaration--and one other settled prior to any declaration being filed that cannot, therefore, be disclosed)

**Akins, Gump, Strauss, Hauer & Feld**

- Contracted as expert witness regarding adequacy of statistical survey sampling and conclusions drawn from employees in labor-hour class action (CVS Pharmacy, Inc.).

## Richard A. Parker, Ph.D.

### EDUCATION



Ph.D. University of California, Los Angeles (Los Angeles, California)  
Pacific Western University (Los Angeles, California)  
Doctor of Philosophy (Business Administration)

M.B.A. University of California, Berkeley (Berkeley, California)  
Master of Business Administration

M.C.P. San Diego State University (San Diego, California)  
Master of City Planning

B.S. Brown University (Providence, Rhode Island)  
University of California, Berkeley (Berkeley, California)  
Bachelor of Science — Business Administration  
(Phi Beta Kappa, Magna Cum Laude, Dean's List)

### Selected Professional Experience

#### **1985-present Professor (Emeritus since 2013), School of Public Affairs, San Diego State University**

Courses taught: Seminar in Urban Planning Methodologies (upper division undergraduate and graduate), Financing Urban Development (graduate), Quantitative Methods (Statistics) (graduate), Seminar in Quantitative Approaches to Public Administration (graduate), Quantitative Techniques in Urban Planning (graduate), Contemporary Urban Issues (upper division undergraduate), Public Finance (graduate and upper division undergraduate), Seminar in Economics of Urban and Regional Planning (graduate), Public Policy (upper division undergraduate and graduate)

#### **1984-present President, Rea & Parker Research/California Economic Solutions**

President/Project Director of survey and market research and economic consulting firm based in San Diego, California, with facilities in Los Angeles and Orange County. Extensive experience in public and urban affairs regarding the collection of primary demographic, attitudinal, and market-related data through survey research and focus group analysis. Highly regarded economic consultant, particularly in the areas of fiscal impact analysis, urban economic development, and site specific commercial, retail, and residential evaluation.

**Selected Survey Research Clients include State of California, San Diego County, Orange County, Imperial County, Cities of San Diego, Escondido, Carlsbad, Oceanside, Poway, Davis, Holtville, and Dana Point, SANDAG, SCAG, San Diego MTS, Orange County Transportation Authority, Los Angeles County MTA, Southern California Regional Rail Authority (Metrolink), Fresno Area Express, Bay Area Rapid Transit, Imperial Valley Transportation Commission, CALTRANS, San Diego County Water Authority, Otay Water District, Vallecitos Water District, San Diego Housing Commission, California Center for Sustainable Energy.**

**Expert witness regarding survey research and statistical analysis for Bank of America, Kaiser Permanente, NASSCO/General Dynamics, Ikon Office Equipment, Orange County Register/ Freedom Communications, CVS Pharmacies, Kelly Services. Loan Depot.**

**Economic consultant to Westfield Shopping Centers, San Diego Gas & Electric, Southern California Gas Company, Imperial Irrigation District, Viejas Enterprises, Foxwoods Casinos, Retail Food Industry Council, Pardee Homes, Shea Communities, San Diego Aircraft Carrier Museum Foundation, Stirling Cargo Airports, Subway, Inc., Wet Seal, Inc., Housing Solutions Alliance, San Diego County Taxpayers Association, Shopoff Land Fund, Rancho Guejito Corporation, Ivey Ranch Development, among others.**

### Selected Publications/Awards:

- Designing and Conducting Survey Research: A Comprehensive Guide (with Louis M. Rea, Ph.D., 1992 (2<sup>nd</sup> edition 1997—3<sup>rd</sup> edition 2005—4<sup>th</sup> edition 2014). Jossey-Bass, Inc., Publishers, San Francisco.
- The Economics of Environmental Restrictions on the Use of Urban Land, Institute of Urban and Regional Development, University of California, Berkeley, California (with Leonard Merewitz, Ph.D.).
- "Water Supply for Urban Southern California: An Historical and Legal Perspective," Glendale University Law Review
- "The Retail Commercial Strip in Transition: A Case Study in San Diego," The Western Governmental Researcher
- Bernays Mark of Merit—Special Purpose Communications, 2008



## Louis M. Rea, Ph.D.

### EDUCATION

- Ph.D. Economics, Public Management (Social Science), The Maxwell School, Syracuse University, 1975
- M.R.P. Master of Regional Planning, The Maxwell School, Syracuse University, 1973
- B.A. Economics, Colgate University, Hamilton, New York 1971  
(Phi Beta Kappa, Cum Laude, Honors in Economics)

### PROFESSIONAL EMPLOYMENT

**Professor: School of Public Affairs, San Diego State University, 1975-present (Emeritus since 2012)**

Graduate Courses Taught: Seminar in Urban and Regional Planning Analysis, Seminar in Urban Transportation Planning, Quantitative Techniques in Urban Planning, Methods of Analysis in Public and Urban Affairs, Seminar in Urban and Fiscal Issues, Principles of Survey Research, and Program Design and Evaluation. Undergraduate Courses Taught: Introduction to Urban Planning, Applied Planning Research and Program Evaluation in Criminal Justice Administration, and Management of Urban Governments.

**Director: School of Public Administration and Urban Studies, 1983-2006.**

Responsible for the management and direction of the School of Public Administration and Urban Studies, consisting of 40 employees, including 30 full time and part time faculty, and 10 support and research staff; responsible for managing the School's resources valued at approximately \$4.0 million, consisting of funds in the areas of personnel, supplies and services, computer hardware, scholarships, endowments, and SDSU Foundation accounts; provide supervision of all personnel matters, including recruitment and hiring of full and part-time faculty as well as staff positions; oversee reappointment, tenure, and promotion process; schedule classes; prepare and implement school's academic strategic plan, business plan, student learning goals and objectives, and faculty hiring practices; responsible for fund raising and development.

**Principal Consultant: Rea and Parker Research, 1984-present** Provide professional consulting services to client agencies (both public and private) seeking research data and studies for executive decision making. Provide services in the areas of transportation research including on-board bus and rail surveys, survey research associated with customer satisfaction and market feasibility analysis, economic and fiscal impact analysis, program evaluation, and public policy analysis including land use, housing, immigration, and tourism.

Selected Transportation Survey Research Clients include North County Transit District, Southern California Regional Rail Authority (Metrolink), Coaster, State of California Department of Transportation, SANDAG, San Diego MTS, Orange County Transportation Authority, Los Angeles County MTA, Riverside Transit Agency, Fresno Area Express, Imperial Valley Transportation Commission, Los Angeles Department of Transportation, Santa Clarita Transit, Foothill Transit, Torrance Transit, Santa Monica Big Blue Bus, Culver Citybus, Cerritos on Wheels, Commerce Transit, El Monte Transit, Alhambra Community Transit, Duarte Transit, Pasadena ARTS, Carson Circuit, Montebello Bus Lines.

**Visiting Professor: University of California, San Diego, Graduate School of International Relations and Pacific Studies, 2006-present.**

Teach a required graduate course in program design and evaluation to students pursuing a Master's Degree in International Relations.

### PUBLICATION

*Designing and Conducting Survey Research: A Comprehensive Guide.* Jossey-Bass, Inc., San Francisco, 1992 -- 2<sup>nd</sup> edition, 1997; 3<sup>rd</sup> edition, 2005, 4<sup>th</sup> edition --2014 (with Richard A. Parker).

# IMPERIAL VALLEY TRANSIT ANNUAL PASSENGER MILE SAMPLING

July 1, 2016-June 30, 2017

**REA &  
PARKER**  
RESEARCH



*Survey/Market Research  
Economic Consultants*

Prepared for:

Imperial County  
Transportation Commission

September 2017



IMPERIAL COUNTY  
TRANSPORTATION COMMISSION

1

- National Transit Database (NTD) requires estimate of unlinked passenger miles and trips reliable to within +/- 10% margin of error.
- Study performed every third year using NTD methodology.
- Ride and count boardings and alightings along entire length of 14 randomly selected one-way bus trips per month.

## METHODOLOGY

2

# SAMPLE

- Unlinked bus trips sampled
  - 1N = 23 percent
  - 1S = 13 percent
  - 2S = 10 percent
  - 2N = 9 percent
  - 3E/W = 9 percent
  - Blue = 7 percent
  - 21N/S = 7 percent
  - 31/32 = 5 percent
  - Green = 5 percent
  - Gold = 4 percent
  - 4E/W = 4 percent
  - 22N/S = 2 percent
  - 41N/S and 45 = 2 percent

Time Period	Sample Distribution	Actual Bus Trips 7/1/16-6/30/17
Weekday AM (before 9am)	26.2%	25.3%
Weekday Midday (9am-3pm)	31.0%	33.6%
Weekday PM (3pm-7pm)	30.3%	29.3%
Weekday Night (after 7pm)	1.2%	2.3%
Saturday	8.9%	7.3%
Sunday	2.4%	2.2%

3

**Table 1: Passenger Mile Sample: Annual Passenger Count and Miles  
Imperial Valley Transit  
July 1, 2016-June 30, 2017**

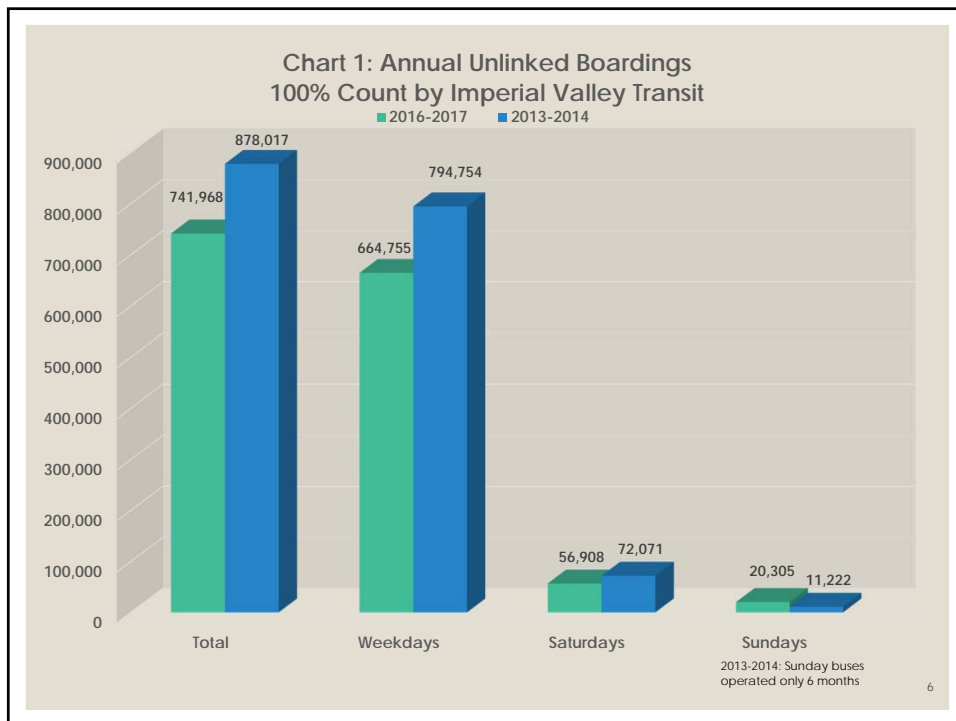
Description	Type of Service Day		
	Weekdays	Saturdays	Sundays
Service Day Annual Trips	37,529	3,016	900
Proportion of Total Trips	.9055	.0728	.0217
Sample Size	149	15	4
Sample Total Unlinked Passenger Trips	3,798	344	92
Sample Total Passenger Miles Traveled	37,328.1	3727.7	967.8
Sample Average Unlinked Passenger Trips	25.49	22.93	23.00
Sample Average Passenger Miles Traveled	250.52	248.51	241.95
Sample Average Passenger Trip Length	9.83	10.84	10.52
Weighted Sample Average Unlinked Pass. Trips	25.25		
Weighted Sample Average Pass. Miles Traveled	250.19		
Weighted Sample Average Pass. Trip Length	9.91		
100% Unlinked Passenger Trip Counts	664,755	56,908	20,305
Sum of 100% Unlinked Passenger Trip Counts	741,968 <small>100% count supplied by Imperial Valley Transit / First Transit</small>		
Sample Average Trip Length * 100% Unlinked Passenger Trip Counts	6,534,541.65	616,882.72	213,608.60
Sum of Sample Average Passenger Trip Length * 100% Unlinked Passenger Trip Counts = Total Passenger Miles Traveled	7,365,032.97		

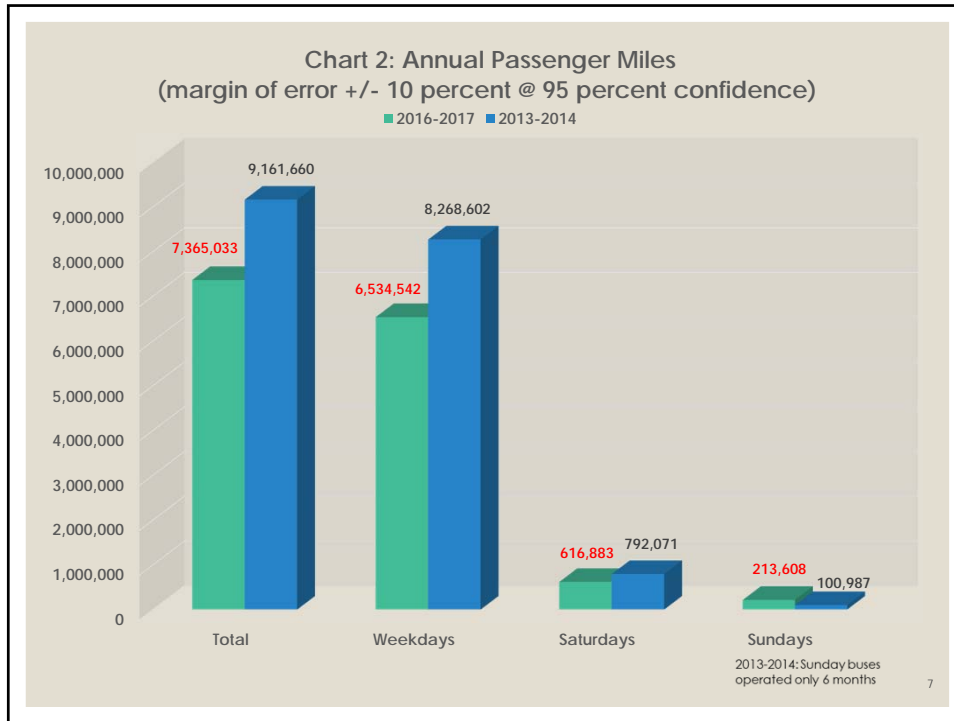
4

- Imperial Valley Transit counts of boardings for the year 7/1/16-to-6/30/17 is 741,968—a 15 percent decline from 2013-2014.
- Annual estimated passenger miles are determined (with a margin of error of +/- 10 percent at 95 percent confidence) to be 7,365,033 for the year—a 20 percent decline from 2013-2014.
- 97.3 percent of these passenger miles occur on the urban routes (excluding the Gold Line in Brawley, 51N/S to the Salton Sea and 22N/S between IVC and Niland)—95.5 percent in 2013-2014.

## KEY FINDINGS

5



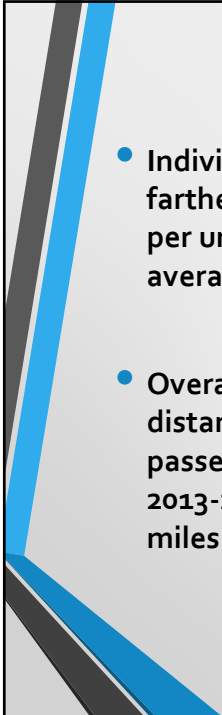


## SAMPLE RESULTS

- Boardings per trip are 25.25, with 25.5 boardings per trip on weekdays (30.6 midday—9am-3pm), 22.9 boardings per trip on Saturdays and 23.0 on Sundays.

Table 2: Unlinked boardings per trip by route

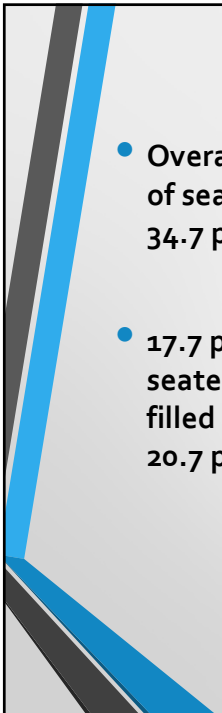
Route	2016-2017	2013-2014
1N	52.0	55.2
21S/N	31.8	40.9
2S	29.8	45.0
2N	28.7	35.9
1S	26.0	32.2
31/32	14.8	15.9
22S/N	7.5	5.4
Gold	6.7	----
Blue	6.4	6.8
Green	4.9	5.2
3E/W	4.8	6.3
4E/W	2.9	2.4
41S/N and 45	1.7	----



- Individual passengers travel farthest on Saturdays—10.8 miles per unlinked trip. Weekday trips average 9.8 miles
- Overall, for all buses, the average distance traveled per unlinked passenger trip is 9.9 miles. In 2013-2014, this distance was 10.4 miles per passenger trip.

**SAMPLE FINDINGS:  
(continued)**

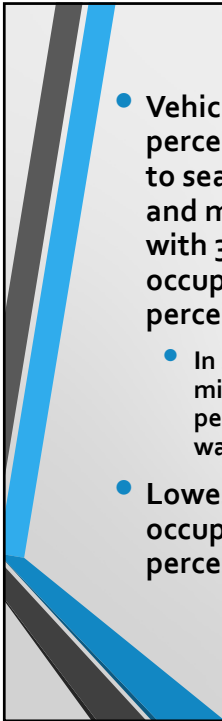
9



- Overall, for all buses, 32.2 percent of seat miles were occupied versus 34.7 percent in 2013-2014.
- 17.7 percent of the combined seated and standing capacity was filled in the study year. This was 20.7 percent in 2013-2014.

**SAMPLE FINDINGS  
(continued)**

10



- Vehicles experience their highest percentage occupancy in relation to seat miles during morning peak and midday hours on weekdays, with 36.1 percent of seat miles occupied. Afternoon peak 28.0 percent
  - In 2013-2014, 37.7 percent of seat miles were occupied during morning peak and midday. Afternoon peak was 32.5 percent.
- Lowest percentage of seat occupancy was Saturday (25.9 percent of seat miles)

**SAMPLE FINDINGS (continued)**

11