



**JOINT MEETING OF THE BOARD OF DIRECTORS
FOR THE
SAN JOAQUIN COUNCIL OF GOVERNMENTS
AND
SJCOG, INC.**

555 E. Weber Avenue, Stockton, CA 95202

Thursday, June 27, 2019

Regular Board Meeting at 4:00 PM

The San Joaquin Council of Governments is in compliance with the Americans with Disabilities Act of 1990 (42 U.S.C. # 12132) and the Ralph Brown Act (California Government Code # 54954.2) and will make all reasonable accommodations for the disabled to participate in employment, programs and facilities. Person requiring assistance or auxiliary aid in order to participate or persons wishing to store their bicycle safely during the meeting should contact Rebecca Calija at 235-0600 at least 24 hours prior to the meeting. Board Meetings, Committee Meetings and all Workshops are audio/video recorded by The San Joaquin Council of Governments.

*NOTE: Items identified with *SJCOG, Inc. are actions of SJCOG, Inc. acting as the designee of SJCOG pursuant to the San Joaquin County Habitat Conservation Plan for the acquisition, holding, administering and managing of real property pursuant to that plan.*

AMENDED AGENDA

Board Conference Room

- 1. CALL TO ORDER / PLEDGE OF ALLEGIANCE / ROLL CALL:**
- 2. RECOGNITIONS / PRESENTATIONS: NONE**
- 3. PUBLIC COMMENTS:**

At this time, the public is invited to address the Board on any non-agendized item that is within the subject matter of this agency. There is a five minute maximum time limit. The determination of whether an item is within the subject matter, jurisdiction of the Council is a discretionary decision to be made by the Chair of the Council. If several speakers are commenting on the same issue, they should try to avoid repetition of views already expressed.

4. CONSENT CALENDAR:

All numbered consent calendar items listed will be acted upon under "one vote" unless specifically removed from the consent calendar by a member of the Board, a member of staff, or a member of the public. These are items:

- A. [Joint Meeting of the Board of Directors for the SJCOG & SJCOG, Inc. - Minutes, May 23, 2019](#) page 5
- B. [SJCOG - SJCOG Monthly Financial Report & Transportation Authority Monthly Investment Report](#) page 15
- C. [SJCOG - Triennial Performance Audits FY15/16, 16/17, 17/18](#) page 114
- D. [SJCOG - FY 2018-19 Transportation Development Act \(TDA\) Claim from the City of Escalon](#) page 150
- E. [SJCOG - FY 2018-19 Transportation Development Act \(TDA\) Claim from the City of Lathrop](#) page 156
- F. [SJCOG - FY 2018-19 Revised Transportation Development Act \(TDA\) Claim from the County of San Joaquin](#) page 163
- G. [SJCOG - 2019 Regional Congestion Management Program \(RCMP\) Monitoring & Conformance Report](#) page 173
- H. [SJCOG - Amendment #3 to Measure K Cooperative Agreement \(C-15-23\) for Bus Rapid Transit Passenger Amenities with RTD](#) page 197
- I. [SJCOG - Amendment #2 to Staff Augmentation Contract with San Joaquin Regional Rail Commission](#) page 199
- J. [SJCOG - Measure K Strategic Plan Amendment for the San Joaquin Regional Rail Commission](#) page 202
- K. [SJCOG, Inc. - Bettencourt Finck Preserve Purchase and Preserve Management Plan](#) page 206
- L. [SJCOG, Inc. - Muela Willow Glen Preserve Purchase and Preserve Management Plan](#) page 238
- M. [SJCOG, Inc. - Wetmore Forest Lake Road Preserve Purchase and Preserve Management Plan](#) page 269
- N. [SJCOG, Inc. - Perrin Ranch Project, Plan Participation and Buffer Reduction](#) page 298

5. ACTION ITEMS:

- A. [SJCOG, Inc. - Public Hearing for the Kennedy Jaques Wing Levee Acquisition](#) page 306

- B. [SJCOG - 2019 Measure K Ordinance and Expenditure Plan Amendment](#) page 309

6. DISCUSSION ITEMS:

- A. [SJCOG - San Joaquin Regional Transit District Presentation on Finance System \(No Staff Report\)](#)
- B. [SJCOG - Valley Link Feasibility Report](#) page 317
- C. [SJCOG - Draft 2020 State Transportation Improvement Program Fund Estimate](#) page 337

7. INFORMATION ITEMS:

- A. [SJCOG - Transportation Resiliency and Adaptation Defined](#) page 340

8. CHAIR'S REPORT:

- A. [Election of Officers for 2019-20](#) page 394

9. COUNCIL MEMBERS' REPORT:

10. EX-OFFICIO COUNCIL MEMBERS' REPORT:

- A. **Regional Transit District:**
- B. **Caltrans District 10:**
- C. **Port of Stockton:**

11. EXECUTIVE DIRECTOR'S REPORT:

12. ADJOURNMENT:

Meeting adjourned to Thursday, August 22, 2019 at 4:00 PM, SJCOG Conference Room.

NOTE:

The agenda packet is available for public inspection in the SJCOG Office at 555 E. Weber Avenue during normal business hours. These documents are also available on the San Joaquin Council of Governments' website at www.sjcog.org subject to staff's ability to post the documents before the meeting.

PARKING:

For your convenience, parking is available at the SJCOG Regional Center off of Channel Street- Marked "Visitor" on the east side of the parking lot. There is additional parking available at Public Parking Lot K, located on American Street, just south of Weber Avenue. Additional metered parking is available on Weber Ave.

"SJCOG fully complies with Title VI of the Civil Rights Act of 1964 and related statutes and regulations in all programs and activities. For more information, or to file a Title VI related complaint see <http://www.sjcog.org> or call (209) 235-0600.

AGENDA ITEM **4A**



JOINT MEETING OF THE BOARD OF DIRECTORS FOR THE SAN JOAQUIN COUNCIL
OF GOVERNMENTS AND SJCOG, INC.

SJCOG Conference Room
555 E. Weber Avenue
Stockton, CA 95202

May 23, 2019

REGULAR BOARD MEETING AT 4:00 P.M.

MINUTES

1. The Board meeting was called to order at 4:00 p.m. by Chair Rickman.

Roll Call:

Board Members Present:

Councilmember Andrade, Stockton; Supervisor Elliott, SJC; Councilmember Jobrack, Stockton; Mayor Pro Tem Kuehne, Lodi; Supervisor Miller, SJC; Mayor Rickman, Tracy; Councilmember Singh, Manteca; Supervisor Winn, SJC; Vice Mayor Wright, Stockton; Mayor Zuber, Ripon.

Ex-Officio Members Present:

Gary Giovanetti, SJRTD; Dan McElhinney, Caltrans.

Board Members Absent:

Mayor Dhaliwal, Lathrop; Councilmember Murken, Escalon.

Ex-Officio Members Absent:

Dr. Blanchard, Port of Stockton.

Staff Members Present:

Andrew Chesley, Executive Director; Steve Dial, Deputy Executive Director; Diane Nguyen, Deputy Director; Vikram Sharma, Information Services Manager; Nicole Gorham, Senior Communications Officer; Steve Mayo, Project Manager; Ryan Niblock, Senior Regional Planner; Kim Anderson, Senior Regional Planner; David Ripperda, Assistant Regional Planner; Yvette Davis, Senior Program Specialist; Rob Cunningham, Senior Regional Planner; Michelle Prince, Assistant Regional Planner; Travis Yokoyama, Associate Regional Planner; Summer Lopez, Assistant Regional Planner; Christine Corrales, Assistant Regional Planner; Stephanie Maynard, Administrative Analyst; Katy Castro, Administrative Clerk II; Melissa Ablang, Administrative Clerk II; Rosie Gutierrez, Office Administrator; Caroline Styc, Intern; Rod Attebery, Counsel.

2. **Recognitions/Presentations:** NONE.
3. **Public Comments:** NONE.
4. **Consent Calendar Items:**
 - A. Minutes: Joint meeting of the Board of Directors for SJCOG & SJCOG, Inc., April 25, 2019
 - B. SJCOG Monthly Financial Report & Transportation Authority Monthly Investment Report
 - C. SJCOG – 2019-20 Local Agency Disadvantaged Business Enterprise (DBE) Submittal Interim Exhibit form 9-B

- D. *SJCOG* – Analysis and Determination of Unmet Transit Needs for Fiscal Year 2019-2020
- E. *SJCOG* – Annual Adjustment of the Regional Transportation Impact Fee
- F. *SJCOG* – Fiscal Year 2018-19 Transportation Development Act Claim from the San Joaquin Regional Rail Commission
- G. *SJCOG* – Fiscal Year 2018-19 Transportation Development Act Claim from the City of Manteca
- H. *SJCOG* – Fiscal Year 2018-19 Transportation Development Act Claim from the City of Tracy
- I. *SJCOG* – Extension of Contract End Date for Consultant Agreement between SJCOG and Trinity Consultants
- J. *SJCOG* – Citizens Advisory Committee Membership Appointment
- K. *SJCOG*-- Amendment #2 to GHD, Inc. Contract #C-19-037 for Technical and Analytical Services for 2019 Regional Congestion Management Plan Performance Reports
- L. *SJCOG* – “One Time Only” Waiver of Measure K/Regional Transportation Plan Requirement to Allocate Funds for the International Parkway Project
- M. *SJCOG, Inc.* – Calivirgin Coldani Guard Road Dedication/Purchase and Preserve Management Plan
- N. *SJCOG, Inc.* – R&J Sanguinetti Solar Project, Plan Participation
- O. *SJCOG, Inc.* – Tony Machado Undine Road Preserve Purchase and Preserve Management Plan

It was moved/seconded (Zuber/Wright) to approve the consent calendar items with the exception of item 4E. Motion passed with Board member Elliott abstaining from item 4A.

Regarding agenda item 4E, Board member Elliott asked if it is necessary to make these adjustments of the fees. Andrew Chesley said yes the agreement requires us to make the adjustments.

Regarding agenda item 4E, Board member Jobrack asked if these FY 19-20 adjusted fees are reflected in member agencies budget for FY 19-20. Mr. Chesley said they should be.

**Supervisor Winn and Councilmember Singh joined the meeting.

It was moved/seconded (Zuber/Kuehne) to approve consent calendar item 4E. Motion passed unanimously (10/0).

5. **Action Items:**

A. *SJCOG* - Airport Land Use Commission Fee Schedule

Travis Yokoyama presented the report with a Power Point. Mr. Yokoyama addressed the Board members questions from the March Board meeting with more detailed information about the proposed fee increase.

Board member Kuehne recommended changing Airports to Airport (singular) since it refers to Stockton Airport only in the Power Point slide.

Board member Zuber asked if the Airport's \$750,000 is spent on information that COG staff needs in order to put the plan together. Diane Nguyen answered the \$750,000 is what the Stockton Metropolitan Airport has spent. SJCOG staff uses a significant amount of technical work, including GIS maps, from the plan which is provided at no cost by the Stockton Metro Airport to SJCOG. Diane further explained that SJCOG staff did not find a single example in California where airports had a financial contribution to the ALUC operations.

Staff presented the additional information to the BIA Greater Valley and they expressed support for staff's recommendation for Scenario 3.

Mr. Yokoyama gave an overview of the updated fee schedule. Based on this updated information staff is recommending adoption of the fee update shown in Scenario 3 with annual adjustments based on the CPI to be reviewed by the Board annually and a contingency plan of up to a \$5,000 deposit for exceptional reviews.

Board member Jobrack asked if more money is generated than projected at the end of the year, does that come back to us so we can lower the rates for the following year. Ms. Nguyen said yes that is the intent. The annual report process will identify the amount of fees collected and the operating costs for the program. From this information, the SJCOG Board can choose to apply or not apply the CPI increase or examine options to increase or lower the fees.

It was moved/seconded to authorize the update of 1990 ALUC Fee Schedule with Scenario 3 Minor and Major fees with annual adjustments and up to a \$5,000 deposit for exceptional reviews. Motion passed unanimously (10/0).

B. SJCOG – 2019 Measure K Ordinance and Expenditure Amendment Process Public Hearing

David Ripperda presented this report stating this is the annual process to solicit and initiate amendments to the Measure K Ordinance and Expenditure Plan. Staff received one request from the City of Lathrop to amend the Measure K Ordinance and Expenditure Plan by adding the Roth Road Corridor project under the Regional Arterial subcategory. This is a critical freight corridor for the region because there are portions in the City of Lathrop, San Joaquin County, and the City of Manteca. Mr. Ripperda summarized the project and stated staff supports this request.

SJCOG staff recommends the board open a Public Hearing to receive comments relevant to the 2019 MK Ordinance and Expenditure Plan Amendment process and close the Public Hearing after receiving comments. This item will return next month for final action.

A few Board members commented on the Roth Road expansion, grade separations, projects layout and the residents' concerns.

Board member Singh commented on Roth Road and said if approved eventually Roth Road would be the main arterial between 99 and highway 120.

Boardmember Zuber asked if there was any issue with this project as it relates to Measure K requirements. Diane Nguyen responded this project is in the Regional Transportation Plan.

Chair Rickman open the public hearing for public comment. There were no public comments, the public hearing was closed.

C. SJCOG – Contract with Center for Business & Policy Research (CBPR) at University of Pacific

Summer Lopez presented a Power Point to discuss the Census Data Center. SJCOG is designated as the regional Census Data Center, Research and Forecasting Center that is comprised of Speaker Series, Statistic Stack, and Community Pulse. The Center for Business & Policy Research (CBPR), has been working with COG for twelve years, has contributed to the Community Pulse indicators that tracks RTP/SCS and serves as testing grounds. They've produced regional reports and the categories of data you can expect to find in the Community Pulse are Transportation, People, Economy, Housing, and Energy and Environment. These deliverables are also used in making policy decisions, in plans, projections and forecasting. Ms. Lopez provided examples of reports and analysis and informed the board on how to access that information. Staff is looking for feedback on the work products that you would like to see come out of Census Data Center as well as the work plan for the Center for Business & Policy Research.

Chair Rickman thanked Ms. Lopez for her informative presentation.

It was moved/seconded (Miller/Kuehne) to authorize Executive Director to execute a contract with University of Pacific CBPR not to exceed \$220,000 over a three year period, subject to review and administrative renewal each fiscal year through FY 2021/2022. Motion passed unanimously (10/0).

D. SJCOG -Programming Recommendations to Avoid Loss of Funding from the Fixing America's Surface Transportation (FAST) Act Rescission

Diane Nguyen presented the report with a Power Point. Ms. Nguyen stated the item before you is to adopt a funding strategy and to avoid loss of funds. The role of SJCOG as the MPO approves two funding pots, the Congestion Mitigation and Air Quality and the Regional Surface Transportation Program. Ms. Nguyen said there is a possible risk of losing funding in the region and funds that are rescinded do not return to the region. Staff needs to ensure the projects with these funds remain in the county. Ms. Nguyen said unfortunately, several local agencies are unable to deliver their project commitments this year. This leaves approximately \$4.015 million of CMAQ funds and \$1.984 million of RSTP funds that will be lost to the region through a federal rescission of funds. Therefore, staff is recommending using the funds to deliver the environmental phase for the I-205 Widening project because it is the only project staff could identify that is able to meet all of the requirements to obligate all of the funds.

Ms. Nguyen outlined the parameters that were needed for a candidate project. This included---(1) ability to accept federal funds, (2) ability to submit paperwork immediately to Caltrans for the funds and therefore already identified in the SJCOG FTIP (3) is a previously identified SJCOG Board priority. Ms. Nguyen stated that I-205 was the only project that met those parameters. The funds would only cover about half of the

\$12.5 million cost of the phase, so Ms. Nguyen elaborated on a comprehensive funding strategy to fund the remaining costs. Additional funds would come from the upcoming cycle of the Highway Infrastructure Program (HIP) and the regional share portion from the Regional Transportation Impact Fee (RTIF). Staff is able to get the funds obligated next month once approved by the Board.

Boardmember Andrade asked where the RTIF funds come from and were these dollars merely sitting around on purpose. Ms. Nguyen stated that these dollars are accrued in the RTIF for the regional share funding pot which the Board has discretion on selecting projects. She added they were sitting around “on purpose” for the Board to determine when appropriate to spend on regional priorities.

A few Board members expressed their concerns with the projects timeline. Specifically, Board members asked whether advancing the environmental phase would mean the document would become stale in the event construction funding does not materialize. Ms. Nguyen stated that is a valid concern, as a general rule of thumb, environmental documents often require refreshing after five years. However, Ms. Nguyen elaborated on the Board’s previous commitment to advancing I-205 through the State Transportation Improvement Program. She indicated the Board had recognized the fast tracking the project comes with this risk and if it were not for the delay of the California Transportation Commission, then the environmental document would be underway already.

Boardmember Winn stated that it is important to move forward and put I-205 in a position where it is more construction ready or project ready.

Board member Miller thanked SJCOG staff for searching for a win-win solution to keep funds in the region. This project is definitely needed.

Chair Rickman thanked SJCOG staff for a great job.

It was moved/seconded (Zuber/Andrade) (1) to program approximately \$12.524 million of funding to the I-205 Widening project in the 2019 FTIP as described in Exhibit A (2) approve programming changes in any needed amendments to the 2019 FTIP and enter into or amend any agreements, including but not limited to cooperative agreements, funding agreements, and program supplemental agreements/contracts with Caltrans. Motion passed unanimously (10/0).

E. SJCOG – Amend Measure K Cooperative Agreement with the City of Manteca for the Union Road/120 Interchange

Diane Nguyen informed the board there is a staff report provided in the blue folder. Ms. Nguyen acknowledged Koosun Kim, Manteca Deputy Director of Public Works in attendance for any questions the board may have regarding this item. Ms. Nguyen spoke briefly on the background of this item and the challenges the City of Manteca is having to start construction. Ms. Nguyen discussed the regional benefits of the project behind the Measure K fund contribution to the project. Ms. Nguyen discussed the funding strategy from the Measure K State Highway program as an option to assist the City of Manteca. SJCOG Board consideration and approval will enable SJCOG staff to

quickly act and assist the City of Manteca Council in making the decision about moving forward with the project in its June 4th meeting.

Board member Singh commented on the current situation with the construction contract being delayed. He appreciates the SJCOG Board in addressing this issue.

Manteca Councilmember Nuño (and alternate member of SJCOG Board) stated the whole region will benefit from this project and he is in support for this project moving forward.

Robert Cisneros, Manteca resident and representing Teichert Construction expressed his support for this project moving forward.

Koosun Kim, Manteca Deputy Director of Public Works said this project is a huge benefit for the region and expressed his support with this project moving forward. He thanked the SJCOG Board for their consideration and also thanked SJCOG staff for showing leadership in developing a solution.

It was moved/seconded (Miller/Wright) (1) to authorize the Executive Director to negotiate with the City of Manteca to add Measure K State Highway funds on the Union Road/120 Interchange Project (2) to authorize the Executive Director to execute Amendment #1 to the Measure K Cooperative Agreement (C-19-014) in an amount not-to-exceed \$1,000,000. Motion passed unanimously (10/0).

6. **Discussion Items:**

A. SJCOG - Altamont Corridor Vision

Dan Leavitt thanked the board for giving him the opportunity to present this item. Mr. Leavitt presented a Power Point to discuss the planning effort in partnership with the San Joaquin Regional Rail Commission, San Joaquin Joint Powers Authority, and Tri Valley-San Joaquin Regional Rail Authority. Mr. Leavitt acknowledged Michael Tree, Executive Director of the Tri-Valley San Joaquin Valley Regional Rail Authority who is in support of this item. Mr. Leavitt gave a brief background on the Altamont Corridor. Mr. Leavitt stated this concept of this fast improved Altamont Corridor Rail service began with the 2007 MTC Regional Rail Plan, continued with work that the Rail Authority did between 2009-2011 Altamont Corridor Rail Project. This item has already been presented to the Rail Commission Board and the Tri-Valley San Joaquin Valley Regional Rail Authority, next week it will be presented to the JPA. It has been very well received by the boards.

A few board members commented on the mid and long term visions, how to best serve the airports, funding source and they were impressed with the information provided.

Michael Tree addressed the board and said he appreciates having the opportunity to attend the One Voice® trip to advocate for the projects in San Joaquin Valley. It was great networking and a great experience. Mr. Tree stated they are working closely with San Joaquin Regional Rail Commission and ACE. He supports this vision and it's great to have a common vision, this plan is awesome because it provides the details for the long range plan and shorter mid-range goals for passenger rail. He and Mr. Leavitt look

forward to moving toward short, mid and long range vision along, so high speed rail can be a real backbone for the Northern California Megaregion.

This item was for discussion only.

B. SJCOG - Transportation Innovation & Technology Infrastructure for San Joaquin County

Christine Corrales presented this report and stated last month staff committed to briefing the committees and board on emerging planning issues. This is the first briefing of the series with the intent of building a better understanding on emerging issues for future transportation planning. These discussions will help us address new federal and state requirements as well as prepare for the 2020/2022 Regional Transportation Plan and Sustainable Communities strategy. Ms. Corrales presented this report with a Power Point. Ms. Corrales briefly discussed the autonomous vehicles (AVs) which has five levels of automation. As technology continues to advance experts are predicting that autonomous vehicles will be available by the year 2030. Ms. Corrales briefly summarized the benefits and impacts of autonomous vehicles and provided a graph of the projected growth of AVs. Experts aren't certain on the outcome of the projected growth due to the uncertainty of there being a high, medium or low adoption. In addition to developing a policy framework, staff plans to work with a regional working group to develop some criteria, and to ultimately develop one transportation innovation to further pilot. The study is supposed to kick off in July 2019.

Board member Winn said he read staff's report and it is the best comprehensive report he has seen on future transportation and he thanked staff for the information. Board member Winn commented on vehicle miles traveled, greenhouse gas emissions, ethics of programming, and connectivity.

Board member Kuehne said there are a lot of complications regarding vehicle miles traveled. He suggested working on connectivity and start working it into our infrastructure. He agrees with Board member Winn the report is about the most thorough report he has seen on this topic.

Board member Elliott thanked staff for the balance in the report. One of the key areas with this study is to try to keep on top of what is actually happening and how that will impact the way we look at our transportation systems.

Chair Rickman thanked staff for the very informative report.

This item was for discussion only.

C. SJCOG – One Voice® Recap

Andrew Chesley gave a recap on the One Voice® effort and thanked everyone who participated.

Mr. Chesley asked the Chair to ask for 2-3 board members to volunteer to participate in an analysis in identifying a regional priority project list for future One Voice® efforts and report back to the board and staff.

Board members Zuber, Miller and Kuehne volunteered to participate in the analysis.

This item was for discussion only.

7. **Information Items:**

A. *SJCOG* – 2019 California High Speed Rail Authority Project Update Report

These items were for information only.

8. **Chair's Report:**

A. Election of Officers for 2019-20 - no report.

9. **Council Members' Report:**

Supervisor Miller apologized for not attending the One Voice® trip and commented on her new grandchild.

10. **Ex-Officio Council Members' Report:**

A. San Joaquin Regional Transit District

Gary Giovanetti reported RTD participated in the following events:

Children and Youth Day at Pixie Woods held on May 19 This is the 30th annual celebration sponsored by Family Resource and Referral Center and City of Stockton.

Senior Awareness Day held on May 22 from 8:00 a.m. to 1:00 p.m. to celebrate the Seniors in our community and provide information and resources available to them.

Stockton's State of the City event was held today and RTD provided information, promotional materials and giveaways.

Mr. Giovanetti announced on May 29 is Transformation through Transportation from 8:00 to 10:00 a.m., RTD will hold a breakfast at the Regional Transit Center to raise funds for student's bus subsidy pilot program.

Mr. Giovanetti announced Donna DeMartino will give a presentation about the value of education and how RTD can help children achieve their goals through free transit.

Lastly, the Van Go service will be available on Memorial Day. RTD may start charging for Van Go reservations by phone.

B. Caltrans District 10

Ken Baxter distributed a few handouts. Mr. Baxter reported on Caltrans State Small Business Council meeting held at SJCOG and thanked Andrew Chesley and staff.

Mr. Baxter announced Caltrans plans to conduct a 5-day summit on the Altamont pass to discuss the future, it will be scheduled sometime in the fall around September.

Mr. Baxter reported on the SJ Valley Policy Conference held in Lemoore May 8-10, 2019 where he shared the Northern Valley projects. One of his handouts was part of his

presentation at the conference on Navy Drive Bridge with some facts on the left side of the handout and with some progress pictures on the backside. This is one of many bridges that Caltrans is proud of.

Mr. Baxter reported on the 198 grant applications statewide totaling about \$62 million.

Mr. Baxter commented on San Joaquin Public Works open house.

Mr. Baxter reported on Bike Day held at District 10 and said Stephanie Maynard from COG did a phenomenal job and represented dubs very well.

Lastly, he thanked Andrew Chesley and Diane Nguyen for their effort with the City of Manteca and Caltrans on Union Road/120 Interchange.

C. Port of Stockton

No report provided.

11. Executive Director's Report:

Rod Attebery apologized for his tardiness and commented on his firm's new location.

Andrew Chesley informed the board there will be no July Board meeting.

He stated on June 3 staff will be meeting with the Air Resource Board.

Mr. Chesley announced as of July 1st Mayor Zuber will be a member of the Executive Committee and the alternate position will be held by a member from the County.

Andrew Chesley acknowledged Diane Nguyen for her experience; it was valuable during the discussions with Caltrans and PGE on the City of Manteca's Union Road/120 Interchange. He credited Manteca staff with their challenges on the shortfall and addressing the issue.

Mr. Chesley commented on the conference call he and Michael Tree had about the Valley Link System funding sources.

Mr. Chesley thanked Councilmember Singh for rearranging his schedule to attend today's meeting and thanked Councilmember Nuño for being on standby.

Chair Rickman welcomed back Rod Attebery.

12. Adjournment:

Meeting was adjourned at 6:28 p.m. The next meeting will be held Thursday, June 27, 2019 at 4:00 p.m. in the SJCOG Conference Room.

AGENDA ITEM **4B**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: SJCOG Monthly Financial Report & Transportation Authority Monthly Investment Report

RECOMMENDED ACTION: Motion to Receive and File the Reports

Budget Overview

Budget Balance as of May 31, 2019

FY 18-19 Approved Budget

Year to Date Expended

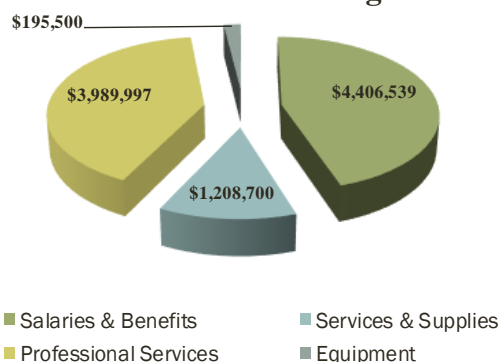
Budget Remaining

	\$9,800,736
\$	6,815,389
	\$2,985,347

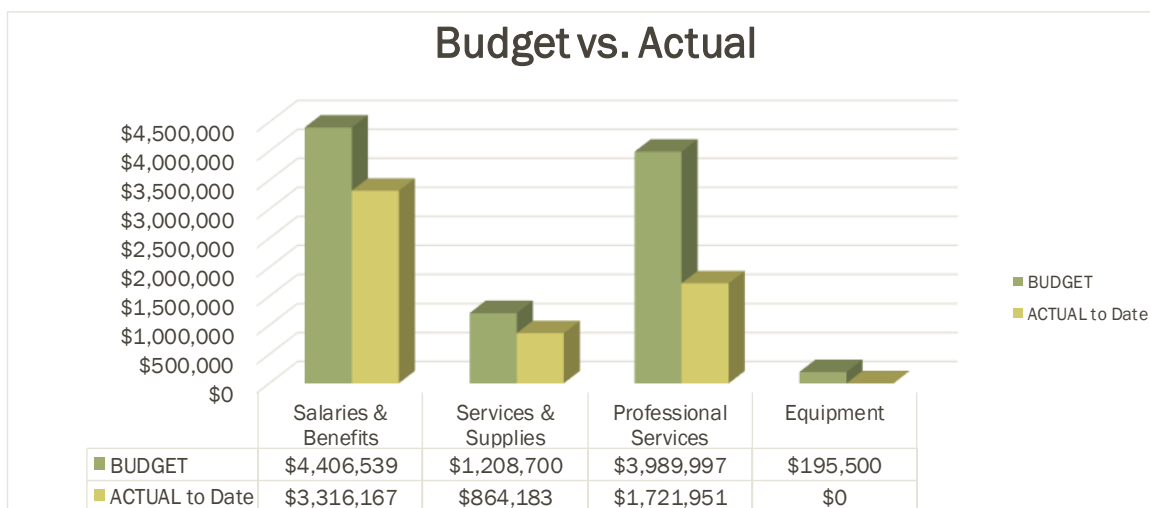
2018-2019 Budget

BUDGET	Salaries & Benefits	\$4,406,539
	Services & Supplies	\$1,208,700
	Professional Services	\$3,989,997
	Equipment	\$195,500
	Total Budget	\$9,800,736
ACTUAL to Date	Salaries & Benefits	\$3,789,380
	Services & Supplies	\$928,800
	Professional Services	\$2,097,209
	Equipment	\$0
	Total Expended to Date	\$ 6,815,389

2018-19 Annual Budget



Budget vs. Actual



SAN JOAQUIN COUNCIL OF GOVERNMENTS
FY 2018/19 ANNUAL FINANCIAL PLAN
(Adopted 3/22/18)
(Amendment #2 04/25/2019)
Through May 31, 2019
91.7%

DESCRIPTION	APPROVED BUDGET	THIS MONTH	YTD EXPEND.	% SPENT	BUDGET REMAINING	COMMENT & CONTROL BALANCE
Salaries & Benefits						
Salaries	\$ 3,072,953	\$ 331,945	2,694,554	87.7%	378,399	
Benefits	\$ 1,333,586	\$ 141,268	1,094,826	82.1%	238,760	
	4,406,539	473,213	3,789,380	86.0%	617,159	
Services & Supplies						
Office Expense	256,200	22,984	222,298	86.8%	33,902	
Communications	66,000	5,340	49,859	75.5%	16,141	
Memberships	56,000	1,250	40,076	71.6%	15,924	
Maintenance - Equipment	13,000	293	6,809	52.4%	6,191	
Rents & leases - Equipment	225,000	11,654	142,668	63.4%	82,332	
Transportation & Travel	114,500	10,393	89,183	77.9%	25,317	
Publications & Legal Notice	10,000	92	1,439	14.4%	8,561	
Casualty/Liability/Auto Insurance	108,000	0	118,990	110.2%	-10,990	>10% HIGH-SEE COMMENTS
Building Maintenance	185,000	12,611	157,483	85.1%	27,517	
Building Debt Service - Principle & Interest	175,000	0	0	0.0%	175,000	
Miscellaneous	0	0	0	N/A	0	
	1,208,700	64,617	828,805	68.6%	806,653	
Consultant Contracts						
Professional & Special Services	3,989,997	311,497	2,097,209	52.6%	1,892,788	
	3,989,997	311,497	2,097,209	52.6%	1,892,788	
Fixed Assets						
Equipment	195,500	0	99,994	51.1%	95,506	
Total	9,800,736	849,327	6,815,389	69.5%	2,985,347	

Summary of Monthly Budget Report (May 31, 91.7% of FY)

The General Fund had the following expenditures for the month of May 31, 2019.

Salaries and Benefits are under at 86.0%

Casualty/Liability/Auto Insurance are over budget due to payment of one-time annual premiums.

The budget is below the straight-line target at 69.5%

Investment Recap as of 05/31/2019			
F&M Bank (GF/MK/RTIF)	F&M Bank (SJCOG, Inc.)	LAIF	County Pool
\$ 12,184,907.06	\$ 29,825,401.90	\$ 96,699.02	\$ 105.00
Raymond James			Exhibit A
	Established	Closing Market Value	Yield to Maturity at Cost
Account			
SJ County LTA 45925876	04/09/2012	\$ 4,323,712.89	1.72%
California Asset Management Program (CAMP)			Exhibit B
	Established	Closing Market Value	Yield to Maturity at Cost
Account			
2014 MK Tax Rev Bonds Proj Fund 58-24	07/02/2014	\$ 94,658.49	
2014 MK Tax Rev Bonds Cap Fund 58-26	07/02/2014	\$ 1,949,125.81	
2017 Principal 58-30	04/03/2017	\$ 1,101,739.75	
2017 Interest 58-31	04/03/2017	\$ 2,463,432.81	
2011 Released Reserve 58-32	04/03/2017	\$ 8,852,278.58	2.35%
2019 MK Sales Tax Rev Bonds Interest 58-35	03/01/2019	\$ 821,648.48	
2014 MK Tax Rev Bonds Principle 619-01	07/02/2014	\$ 60,814.16	
2014 MK Tax Rev Bonds Interest 619-02	07/02/2014	\$ 566,462.46	
RTIF Investment 619-04	02/01/2019	\$ 1,008,497.73	
Total CAMP		\$ 16,918,658.27	
California Asset Management Program (CAMP) SJCOG, Inc.			Exhibit C
	Established	Closing Market Value	Yield to Maturity at Cost
Account			
Jaques Preserve 6033-000	06/01/2012	\$ 15,841,247.51	2.34%
Public Financial Management (PFM)			Exhibit D
	Established	Closing Market Value	Yield to Maturity at Cost
Account			
San Joaquin Transit Authority 76990300	04/30/2011	\$ 100,370,845.67	2.58%
	Closing Cash Balance	\$397,906.32	

LOAN STATUS REPORT AS OF 05/31/19						
		Authorized	Drawn	Loan Balance	Interest Balance	Maturity Date
Rail	Consolidated Loan	21,167,838.34	21,167,838.34	18,054,522.34		07/01/2030
Port of Stockton	Navy Dr Widening	1,297,100.00	1,297,100.00	953,572.84		07/10/2021
Port of Stockton	Navy Dr Widening Interest				40,135.46	07/10/2021
SJRTD	RTD MK Bond Loan	14,500,000.00	14,500,000.00	13,800,000.00		01/01/2032
SJRTD Interest	RTD MK Bond Loan				395,254.92	01/01/2032
Stockton Metro Airport	SMA MK Bond Loan	9,700,000.00	4,877,637.23	4,877,637.23		06/30/2020
Stockton Metro Airport Interest	SMA MK Bond Loan				137,646.80	06/30/2020
City of Stockton-Thornton	Thornton Road Widening Bond Loan	14,500,000.00	11,720,971.63	11,720,971.63		06/30/2026
City of Stockton-Thornton Interest	Thornton Road Widening Bond Loan Interest				575,238.91	06/30/2026
			To be deducted from future RA			
City of Stockton-Hammer	Hammer Lane Widening Bond Loan	9,500,000.00	7,379,875.90	7,379,875.90		06/30/2026
City of Stockton-Hammer Interest	Hammer Lane Widening Bond Loan Interest				281,389.15	06/30/2026
			To be deducted from future RA			
Stockton	Sperry Rd Advance	6,320,000.00	5,609,741.49	To be deducted from future RA		10/01/2014
Stockton	French Camp Rd I-5 Interchange	1,290,000.00	800,000.00	Paid in Full 03/31/16		04/01/2016
Stockton Interest	French Camp Rd I-5 Interchange			Paid in Full 03/31/16		04/01/2016
Port of Stockton	MH580 Barge Modification	1,500,000.00	1,500,000.00	Paid in Full 07/01/15		07/01/2015
Port of Stockton Interest	Interest on MH580 Barge Modification			Paid in Full 07/01/15		07/01/2015
Stockton Interest	Sperry Rd Advance Interest			Paid in Full 10/01/14		10/01/2014
Stockton	North Stockton Grade Separation	23,362,173.00	17,307,862.15	Paid in Full 07/01/14		07/01/2021
Rail	MK 10 Year Promissory Note	10,000,000.00	8,256,676.58	Paid in Full 07/01/14		07/01/2021
Rail	Line of Credit	12,000,000.00	12,500,000.00	Paid in Full 07/01/14		07/01/2023
S.J. County	MK LSR Advance	11,500,000.00	9,647,678.00	Paid in Full 06/30/14		06/30/2014
Stockton	MK LSR Advance	6,543,237.84	6,543,237.84	Paid in Full 06/30/14		06/30/2014
Stockton	MKR Otto Drive/ I-5 Interchange	863,589.00	646,792.94	Paid in Full 08/02/13		12/02/2013
Stockton Interest	Interest on MKR Otto Drive/ I-5 Interchange		111,063.04	Paid in Full 08/02/13		12/02/2013
Port of Stockton	Navy Drive/BKF	800,000.00	624,164.15	Paid in Full 07/10/17		2 yr maturity
Port of Stockton Interest	Navy Drive/BKF			Paid in Full 07/10/17		after final draw
Port of Stockton	Sanguinetti Property	602,900.00	602,900.00	Paid in Full 10/10/18		10/10/2018
Port of Stockton	Sanguinetti Property Interest			Paid in Full 10/10/18		10/10/2018
				56,786,579.94	1,429,665.24	

Loan Status Report

Beginning with the original Measure K program, SJCOG has loaned member agencies funds to advance various projects throughout San Joaquin County.

SJCOG and the San Joaquin Regional Rail Commission have structured the two outstanding loan agreements to improve cash flow and there is less reliance on the line of credit. The two outstanding loans refinanced and consolidated were the loan to purchase property for a new ACE maintenance facility and a line of credit to help with cash flow.

The Port of Stockton was approved a \$4 million loan for channel deepening environmental work. This total authorization was repurposed several times, reprogramming \$1.5 million for the Marine Highway 580 barge modification project, the Navy Drive/BNSF design work and a real estate transaction. In April of 2014, the SJCOG Board approved the Port of Stockton to redirect a portion of their previously approved \$4.2 million loan for a real estate transaction at the Port. The original loan was left with \$1,297,100 to be used for previously stated purposes. The Port requested that the Board approve the remaining \$1,207,100 to be used for the Navy Drive Widening project. The Board approved the modification to the Port's original Measure K loan allowing the Port to use the remaining funds for the Navy Drive Widening project.

On July 2, 2014, the San Joaquin County Transportation Authority issued Measure K Sales Tax Revenue bonds the par amount of \$49,245,000 to fund a program of projects to advance funding for a number of San Joaquin County projects. San Joaquin RTD requested \$14.5 million to augment funding for the Regional Transit Center. In January of 2019, the Board approved a revised amortization schedule of SJRTD's loan that restructures the term of the agreement from 17 years to 11 years, which will result in a reduction of interest paid by RTD

In addition, Stockton has been approved for \$14.5 million for the Thornton Road widening and \$9.5 million for the Hammer Lane widening regional arterial projects. The Stockton Metro Airport has also been approved for \$9.7 million of funding for terminal expansion and modernization projects.

Investments

In December 2018, the Board, acting as the San Joaquin County Transportation Authority, approved moving forward with a Series 2019 Bond to defease the \$75,000,000 line of credit with BANA. In January 2019, the Board authorized the issuance and sale of Measure K Sales tax Bonds, in a principal amount not to exceed \$70,000,000. The sale was finalized February 22nd, 2019 with the payoff to Bank of America/Merrill Lynch line of credit.

The Portfolio and subsequent investments are in compliance with the Investment Policy established and approved by the San Joaquin Council of Government's Board of Directors. The Policy was last updated December of 2018.

RAYMOND JAMES®

SJ Cnty Local Transportation Auth Account Summary

Account No. 45925876

Closing Value \$4,323,712.89



SAN JOAQUIN COUNTY LOCAL
TRANSPORTATION AUTHORITY
555 E WEBER AVE
STOCKTON CA 95202-3016552



BRYAN HICKINGBOTTOM

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Monday - Friday 8 a.m. to 9 p.m. ET

Online Account Access | raymondjames.com/clientaccess

Investment Objectives

Primary: Capital Preservation with a low risk tolerance and a time horizon less than 5 years.**Secondary:** Income with a medium risk tolerance and a time horizon less than 5 years.

Activity

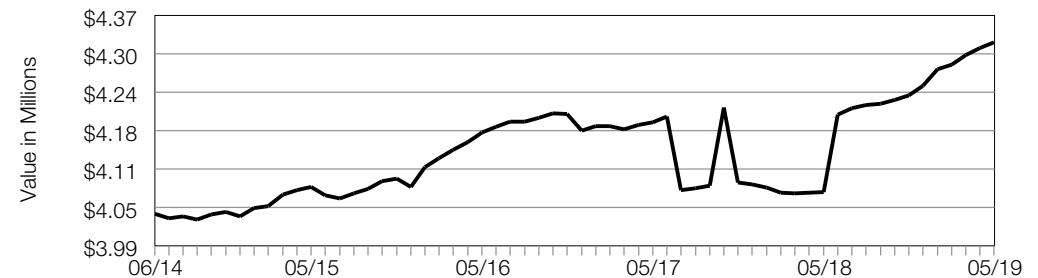
	This Statement		Year to Date	
Beginning Balance	\$	4,314,567.00	\$	4,251,642.13
Deposits	\$	0.00	\$	0.00
Income	\$	5,471.70	\$	31,857.32
Withdrawals	\$	0.00	\$	0.00
Expenses	\$	0.00	\$	0.00
Change in Value	\$	3,674.19	\$	40,213.44
Ending Balance	\$	4,323,712.89	\$	4,323,712.89

Dollar-Weighted Performance

See Understanding Your Statement for important information about these calculations.

Performance	YTD	2018	2017
Inception 04/09/12	1.72%	4.00%	(2.10)%

Value Over Time



Asset Allocation Analysis



Understanding Your Statement

SJ Cnty Local Transportation Auth Account No. 45925876

Need help navigating your statement? Visit <http://raymondjames.com/statements/comp> for a guide.

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provided by MSRB rules, including how to file a complaint with the appropriate regulatory authority. For more information, visit <https://www.sec.gov/> and <http://www.msrb.org/>.

Availability of Free Credit, Bank Deposit Program, and Shares of the Cash Sweep Money Market Mutual Fund Balance - You have the right to receive, in the normal course of business, any free credit balance, bank deposit program balance, the net asset value of shares of the cash sweep money market mutual fund balance, and any fully paid securities to which you are entitled, subject to any obligations you owe in any of your accounts.

Third Party Payments Disclosure - In addition to the fees you pay directly for the services offered by Raymond James and your advisor, Raymond James receives fees from various sources. For more information on fees and expenses, please see <https://raymondjames.com/legal-disclosures/third-party-payments>.

Cost Basis - Effective January 1, 2011, Raymond James reports adjusted cost basis for tax lots of securities covered by the Emergency Economic Stabilization Act of 2008 to the IRS on Form 1099-B. These tax lots are indicated by a "c." Raymond James will default to the first-in, first-out (FIFO) cost basis accounting method for trades and transfers unless a different method has been selected.

For tax lots or securities that are not covered by the Emergency Economic Stabilization Act of 2008, cost basis information may not be available, may have been estimated by you or your financial advisor, or may have been obtained from third-party sources, and in these instances, Raymond James cannot guarantee its accuracy. Information for uncovered positions will not be reported to the IRS.

Gain or loss will only be calculated for tax lots that have cost basis. Gain or loss information may or may not reflect adjusted cost for return of principal/capital or accretion/amortization. Tax lots where the cost basis is true zero, displayed as 0.00, are included in cost calculations. "Gain or (loss) Pct" is calculated utilizing total cost basis.



Understanding Your Statement (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Missing basis is not included in cost calculations. Please contact your financial advisor to have missing cost basis information added to your account.

The cost basis, proceeds, or gain/loss information reported has been adjusted to account for a disallowed loss from a wash sale. These adjustments are indicated by a "w" on the affected taxlots. A wash sale occurs when a security is sold for a loss and is re-purchased either 30 days before or after the sell.

Cost basis information for uncovered securities or tax lots will not be reported to the IRS; it is displayed for your information only and should not be relied upon for tax reporting purposes. Past performance is not a guarantee of future results. Market valuations may have been obtained from third-party sources and Raymond James cannot guarantee its accuracy or completeness.

For securities classified as Grantor or Royalty Trusts, Master Limited Partnerships or other widely held fixed income trusts, cost basis is not adjusted. These securities receive principal payments or distributions that are classified differently by the issuer at the end of the year. Clients should continue to rely on the issuer information for both cost basis adjustments as well as proceeds adjustments for these securities. For this reason the gain/loss displayed will be unadjusted and is not a true indicator of the investment return. Any adjustment to sales proceeds will be reflected on your 1099.

Unrealized gains or losses are not calculated for depreciated gifted securities, referred to as dual basis, indicated by a "d." Both Total Cost and Gift FMV exist, as the actual gain/loss cannot be determined until the position is sold.

Reinvestments of dividend or capital gain distributions are excluded from Amount Invested but are included in Total Cost Basis. For any security in which a client has elected the average cost reporting method, the Amount Invested will utilize the average cost per share of all tax lots to calculate amount invested.

Mutual fund tax lots are displayed as one total position and may include covered and non-covered tax lots some of which could be adjusted for wash sales. Sold mutual fund shares that were purchased through reinvestments are combined and shown with a purchase date of "various."

Adjustments made to cost basis throughout the year may cause the information displayed on your client statement to differ from what is reported on the 1099-B which is provided to the IRS at the end of the year.

Please refer to the fixed income and alternative investment disclosures for additional cost basis information on those securities.

Client Interest Program - The Client Interest Program (CIP) is an on-demand alternative for client cash that is held for future investment. As required by the U.S. Securities and Exchange Commission Rule 15c3-3, "The Customer Protection Rule," Raymond James segregates client cash from firm cash. The client cash that is set aside is required to be held in bank accounts or in certain high-quality U.S. Government securities. CIP balances are included in the coverage provided by the Securities Investor Protection Corporation (SIPC) and excess SIPC. The CIP rate displayed in the Cash & Cash Alternatives section of your statement is the established rate for the last business day of the reported month. However, in the event that a large deposit is made on the last business day of the month, the rate for the next business day may be displayed. Estimated Annual Income is calculated using this rate and, therefore, is solely an estimated value for the month and may not reflect your actual income. For current rates visit <http://www.raymondjames.com/rates.htm>.

As a reminder, Raymond James may modify or amend the Cash Sweep Program including the terms, conditions and availability of any Cash Sweep option at any time in its sole discretion by providing you with thirty (30) days' prior notice, or in some cases, as set forth in your account opening documentation, no prior notice.

Dollar-Weighted Performance Reporting - The dollar-weighted performance results represented in this statement are based on performance calculations that take into account the impact of deposits and withdrawals. Because these cash flows are beyond the control of the advisor, they should not be used to evaluate his/her performance. Returns exclude some limited partnerships, unpriced securities and annuity history prior to the annuity being linked to the account. Performance returns are calculated net of management fees, if applicable. Returns for periods greater than one year are annualized returns unless they represent entire 12-month periods. All performance figures exclude unpriced securities (including securities of indeterminate value), limited partnerships (other than limited partnerships classified as Alternative Investments and appearing in that section of your statement). Performance for Annuity and RJ Bank CD's may not be all inclusive. Considering these exclusions, overall performance may be different than the results presented in this statement. Past performance is not a guarantee of future results. Information used to calculate performance may have been obtained from third party sources and Raymond James cannot guarantee the accuracy of such information.

Fixed Income Investments - Fixed income securities, including brokered CDs, are priced using evaluations, which may be matrix- or model-based, and do not necessarily reflect actual trades. These price evaluations suggest current estimated market values, which may be significantly higher or lower than the amount you would pay (receive) in an actual purchase (sale) of the security. These estimates, which are obtained from various sources, assume normal market conditions and are based on large volume transactions. Market prices of fixed income securities may be affected by several risks, including without limitation: interest rate risk - a rise (fall) in interest rates may reduce (increase) the value of your investment, default or credit risk - the issuer's ability to make interest and principal payments, and illiquidity risk - the inability to sell bonds promptly prior to maturity with minimal loss of principal. An overview of these and other risks is available at <https://www.raymondjames.com>, <http://www.finra.org>, <https://emma.msrb.org>, and <http://investinginbonds.com>.

Investors interested in regular updates about individual municipal securities can sign up on EMMA (<https://emma.msrb.org>) to receive e-mail alerts when disclosure documents are posted on the website. Investors who track particular bonds identified by their unique "CUSIP" numbers can receive an e-mail notification from EMMA every time a new disclosure document is posted for that security. These documents can include annual and other periodic financial filings, operating data and other types of material events. To sign up for an alert, enter a nine-digit CUSIP number into the "Muni Search" function of EMMA.

Securities ratings, provided by independent nationally recognized statistical organizations, also called Ratings Agencies, are appraisals of the financial stability of a particular issuer and its ability to pay income and return principal on your investment. Although they can assist investors in evaluating the credit worthiness of an issuer, ratings are not recommendations to buy, sell or hold a security, nor do ratings remove market risk. In addition, ratings are subject to review, revision, suspension, reduction or withdrawal at any time, and any of these changes in ratings may affect the current market value of your investment. A Rating Agency may also place an issuer under review or credit watch which may be another indicator of a future rating change. Generally, higher yields and/or lower ratings reflect higher perceived credit risk. News events relating to a particular issuer may generally impact the market price, and consequently the yield, of that issuer's securities, even if their rating has not yet changed. Securities with the same rating can actually trade at significantly different prices. The



Understanding Your Statement (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

absence of a rating may indicate that the issuer has not requested a rating evaluation, insufficient data exists on the issuer to derive a rating, or that a rating request was denied or removed. Non-rated securities are speculative in nature and are less liquid. Raymond James trade confirmations, online accounts and monthly statements display only the ratings of those Rating Agencies to which Raymond James subscribes. For more information on ratings, please visit <https://www.moodys.com>, <http://www.standardandpoors.com> and <https://www.fitchratings.com>. Individual investors may request Moody's and/or S&P credit reports from their financial advisors. Additionally, Fitch reports are available for municipal bonds.

Certificates of Deposit (CDs) purchased through a securities broker and held in a brokerage account are considered deposits with the issuing institution and are insured by the Federal Deposit Insurance Company (FDIC), an independent agency of the U.S. government. FDIC insurance covers up to \$250,000 (including principal and interest) for deposits held in different ownership categories, including single accounts, joint accounts, trust accounts, IRAs, and certain other retirement accounts, per issuer. If you purchased this CD at a premium to par, the premium is not FDIC insured. Certificate of Deposit Disclosure Statement is available at <https://www.raymondjames.com/liquid.htm>. For more information, please visit <https://www.fdic.gov>.

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Foreign bonds are subject to additional risks, including without limitation, currency fluctuations, differing accounting standards, political and economic instability, and changes in tax laws.

The cost basis for Original Issue Discount (OID) bonds and municipal bonds purchased at a premium may or may not have been adjusted using the constant yield method, providing an approximation of the adjusted cost basis and unrealized gains or losses. Cost basis information is displayed for your information only and should not be relied upon for tax reporting purposes. You should consult your tax advisor to ensure proper tax reporting.

Accrued interest for Fixed Income positions is not included in the total position value or the account summary total. Accrued interest is the interest earned but not yet paid on the bond since the principal investment or since the previous coupon payment if there has been one already. In most cases, it is calculated from the date of the last coupon payment (or dated date) through the last day of the month.

Future Payments - Cash and stock dividends, interest and principal payment information are provided to Raymond James by outside vendors. The information is believed to be accurate; however, because future payments listed may not represent all dividends, interest and/or principal that will be paid into your account, the information should be used as an estimate only. Dividends and interest payments are not included as part of your portfolio value; principal payments are included in your total portfolio value.

Raymond James Bank Deposit Program - The Raymond James Bank Deposit Program is a multibank cash sweep program that deposits available cash in your brokerage account into interest-bearing deposit accounts at one or more banks. Raymond James Bank Deposit Program balances are insured solely by the Federal Deposit Insurance Corporation (FDIC), subject to FDIC limitations and guidelines, which are explained at <https://www.fdic.gov>.

The Raymond James Bank Deposit Program rate displayed in the Cash & Cash Alternatives section of your statement is the established rate for the last business day of the reported month. However, in

the event that a large deposit is made on the last business day of the month, the rate for the next business day may be displayed. Estimated Annual Income is calculated using this rate and, therefore, is solely an estimated value for the month and may not reflect your actual income. For current rates visit <http://www.raymondjames.com/rates.htm>.

"Your bank priority state" indicates the corresponding Bank Priority List that applies to your account. "RJBDP participating banks you declined" displays the names of the banks you have designated as ineligible to receive your funds, which results in your funds being directed to the next bank on the Bank Priority List. "Participating banks recently added" displays additional banks that have been added to the program in the last 90 days. You have the right to designate any bank in the program as ineligible to receive your funds by contacting your financial advisor.

More information about the Bank Deposit Program, including the current Bank Priority Lists, is available at <https://www.raymondjames.com/rjbdp>.

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Estimated Annual Income and Estimated Income Yield - The Estimated Annual Income (EAI) and Estimated Income Yield (EIY) provided on this statement are an estimate of the income a security will distribute during the year. These figures should not be confused with actual cash flows, investment yields or investment returns. Actual income or yield may be lower or higher than the estimated amounts. A number of factors may influence the actual income or yield that is received. The amount or frequency of an issuer's dividend may fluctuate or cease, which may cause the income and or yield of the security to fluctuate. EIY reflects only the income generated by an investment. It does not reflect changes in its price, which may fluctuate. EAI and EIY for certain types of securities could include a return of principal or capital gains which could overstate the EAI and EIY. Information used to calculate Estimated Annual Income and or Estimated Income Yield may be obtained from third party sources and Raymond James cannot guarantee the accuracy of such information. Estimated Annual Income and or Estimated Income Yield amounts should not be used as a financial planning tool.

Pricing - While sources used for pricing publicly traded securities are considered reliable, the prices displayed on your statement may be based on actual trades, bid/ask information or vendor evaluations. As such, the prices displayed on your statement may or may not reflect actual trade prices you would receive in the current market. Pricing for non-publicly traded securities is obtained from a variety of sources, which may include issuer-provided information. Raymond James does not guarantee the accuracy, reliability, completeness or attainability of this information. Investment decisions should be made only after contacting your financial advisor.



Understanding Your Statement (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Asset Allocation Analysis - This analysis is for informational purposes only and is intended to be used as part of a complete portfolio review with your financial advisor. The data provided in the asset allocation analysis is subject to inherent limitations and is not guaranteed to represent actual asset class exposure(s) within your account(s) at the time of calculation. See <https://clientaccess.rjf.com/faq/#assetallocation> to learn more. Raymond James and Morningstar data are subject to the availability of fund filings as well as internal analysis and may not represent real-time allocations.

The Cash & Cash Alternatives asset class represents cash and money market holdings, as well as cash allocations contained in mutual funds, annuities, and other investment products. For an actual cash value, please refer to the holdings sections of the Client Statement.

Due to rounding, the sum of the broad classes may not exactly match the total assets value.



Cash & Cash Alternatives

Raymond James Bank Deposit Program ‡

Description	(Symbol)	Value	Estimated Income Yield	Estimated Annual Income
Raymond James Bank Deposit Program ‡ - Selected Sweep Option				
Raymond James Bank N.A.		\$18,430.10	0.30%	\$55.29
Raymond James Bank Deposit Program Total		\$18,430.10		\$55.29

Your bank priority state: CA

Participating banks recently added: Bank of America 04/29/2019; Landmark Community Bank 04/29/2019; Umpqua Bank 04/29/2019; NexBank 03/01/2019; Texas Capital Bank 03/01/2019

‡ Please see the Raymond James Bank Deposit Program on the Understanding Your Statement page.

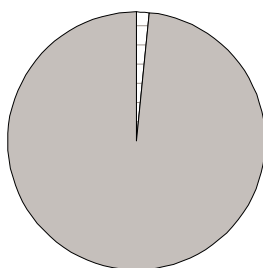
Estimated Income Yield for RJBDP was calculated as of 05/28/2019.

Cash & Cash Alternatives Total	\$18,430.10	\$55.29
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Fixed Income ♦

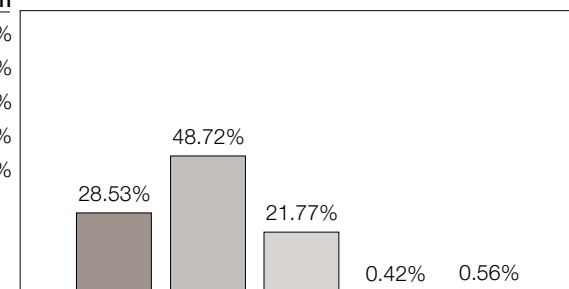
Credit Quality Analysis

Lowest Available *		Current Period Value	Percentage Allocation
U.S. Treasury	\$	0.00	0.00%
Agency/GSE Debt	\$	0.00	0.00%
ABS/MBS/CMOs	\$	69,792.30	1.62%
Certificates of Deposit (CDs)	\$	4,235,490.49	98.38%
AAA	\$	0.00	0.00%
AA	\$	0.00	0.00%
A	\$	0.00	0.00%
BAA	\$	0.00	0.00%
Below Investment Grade	\$	0.00	0.00%
Not Rated	\$	0.00	0.00%



Maturity Analysis

Maturity		Current Period Value	Percentage Allocation
0 to < 1 yr	\$	1,228,147.60	28.53%
1 to < 3 yrs	\$	2,097,513.86	48.72%
3 to < 7 yrs	\$	937,133.34	21.77%
7 to < 14 yrs	\$	17,982.72	0.42%
14 to > yrs	\$	24,505.27	0.56%



* Based on Moody's, S&P and Fitch (municipals only) Long Term Rating



Fixed Income (continued) ♦

Asset-Backed Securities (ABS), Mortgage-Backed Securities (MBS), Collateralized Mortgage Obligations (CMOs)

Description (CUSIP)	Par Value	Remaining Principal Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis	Gain or (Loss)
FNMA REMIC TRUST 2013-14 QE 1.7500% DUE 03/25/2043 FACTOR: .21328719 (3136AC4R9) Ratings Information: Not Rated	\$119,000.00	\$25,381.17	\$444.17	02/21/2013	\$96.549	\$24,505.27	\$37.01	\$25,693.49	\$(1,188.22)
FHLMC REMIC SERIES 3763 NE 2.5000% DUE 05/15/2025 FACTOR: .10788799 (3137A2ZM6) Ratings Information: Not Rated	\$185,000.00	\$19,959.27	\$498.98	04/23/2012	\$99.938	\$19,946.90	\$41.58	\$20,433.28	\$(486.38)
FHLMC REMIC SERIES 3773 GL 2.7500% DUE 12/15/2020 FACTOR: .02584055 (3137A3TB5) Ratings Information: Not Rated	\$285,000.00	\$7,364.55	\$202.53	05/08/2012	\$99.903	\$7,357.41	\$16.87	\$7,636.42	\$(279.01)
FNMA REMIC TRUST 2002-80 CA 4.5000% DUE 09/25/2032 FACTOR: .00853200 (31392FMF1) Ratings Information: Not Rated	\$2,000,000.00	\$17,064.00	\$767.88	04/30/2012	\$105.384	\$17,982.72	\$63.98	\$18,429.10	\$(446.38)
Asset-Backed Securities (ABS), Mortgage-Backed Securities (MBS), Collateralized Mortgage Obligations (CMOs) Total	\$2,589,000.00	\$69,768.99	\$1,913.56			\$69,792.30	\$159.44	\$72,192.29	\$(2,399.99)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
AMERICAN EXPRESS BANK, FSB SALT LAKE CITY, UT FDIC # 35328 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.0000% DUE 07/24/2019 (02587CAJ9) Ratings Information: Not Rated	\$100,000.00 ^C	\$2,000.00	07/18/2014	\$99.948	\$99,948.00	\$695.89	\$100,000.00 \$(52.00)	\$100,000.00 ^A \$(52.00)
AMERICAN EXPRESS BANK, FSB SALT LAKE CITY, UT FDIC # 35328 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 09/18/2019 (02587CBK5) Ratings Information: Not Rated	\$100,000.00 ^C	\$2,100.00	09/12/2014	\$99.907	\$99,907.00	\$425.75	\$100,000.00 \$(93.00)	\$100,000.00 ^A \$(93.00)
BMW BANK OF NORTH AMERICA SALT LAKE CITY, UT FDIC # 35141 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 06/19/2020 (05580ABX1) Ratings Information: Not Rated	\$135,000.00 ^C	\$2,835.00	06/16/2015	\$99.510	\$134,338.50	\$1,266.04	\$135,000.00 \$(661.50)	\$135,000.00 ^A \$(661.50)
BMO HARRIS BANK, NA CHICAGO, IL FDIC # 16571 CERTIFICATE OF DEPOSIT QTRLY MULTI STEP CALLABLE BEGINNING 06/29/19 2.0000% DUE 03/29/2022 Callable 06/29/2019 @ 100.000 (05581WVK7) Step Schedule: 2.250% on March 29, 2020, 3.750% on March 29, 2021, 5.500% on September 29, 2021 Ratings Information: Not Rated	\$185,000.00	\$3,700.00	03/21/2017	\$99.426	\$183,938.10	\$638.63	\$185,000.00 \$(1,061.90)	\$185,000.00 ^A \$(1,061.90)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs) (continued)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
BLACKRIDGEBANK FDIC # 58580 CERTIFICATE OF DEPOSIT MONTHLY MULTI STEP CALLABLE BEGINNING 06/23/19 1.6500% DUE 06/23/2022 Callable 06/23/2019 @ 100.000 (09248ABB5) Step Schedule: 1.950% on June 23, 2019, 2.450% on June 23, 2020, 3.000% on June 23, 2021 Ratings Information: Not Rated	\$125,000.00	\$2,062.50	06/20/2017	\$99.415	\$124,268.75	\$45.21	\$125,000.00 \$(731.25)	\$125,000.00 ^A \$(731.25)
CAPITAL ONE BK USA NA GLEN ALLEN, VA FDIC # 33954 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.3000% DUE 09/23/2020 (140420VX5) Ratings Information: Not Rated	\$100,000.00 ^C	\$2,300.00	09/18/2015	\$99.731	\$99,731.00	\$434.79	\$100,000.00 \$(269.00)	\$100,000.00 ^A \$(269.00)
CAPITAL ONE BANK, NA MCLEAN, VA FDIC # 4297 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.2000% DUE 10/15/2020 (14042RAW1) Ratings Information: Not Rated	\$150,000.00 ^C	\$3,300.00	10/09/2015	\$99.702	\$149,553.00	\$415.89	\$150,000.00 \$(447.00)	\$150,000.00 ^A \$(447.00)
CIT BANK FDIC # 35575 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.2000% DUE 12/03/2019 (17284C5A8) Ratings Information: Not Rated	\$100,000.00 ^C	\$2,200.00	11/28/2014	\$99.892	\$99,892.00	\$1,078.90	\$100,000.00 \$(108.00)	\$100,000.00 ^A \$(108.00)
CIT BANK FDIC # 35575 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 01/14/2020 (17284DAD4) Ratings Information: Not Rated	\$150,000.00 ^C	\$3,150.00	01/07/2015	\$99.801	\$149,701.50	\$1,182.33	\$150,000.00 \$(298.50)	\$150,000.00 ^A \$(298.50)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs) (continued)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
COMENITY CAPITAL BANK SALT LAKE CITY, UT FDIC # 57570 CERTIFICATE OF DEPOSIT MONTHLY 2.8000% DUE 04/15/2024 (20033AU38) Ratings Information: Not Rated	\$250,000.00	\$7,000.00	04/03/2019	\$100.074	\$250,185.00	\$306.85	\$250,000.00 \$185.00	\$250,000.00 ^A \$185.00
DISCOVER BANK FDIC # 5649 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1500% DUE 10/22/2019 (254672CA4) Ratings Information: Not Rated	\$100,000.00 ^C	\$2,150.00	10/17/2014	\$99.897	\$99,897.00	\$229.73	\$100,000.00 \$(103.00)	\$100,000.00 ^A \$(103.00)
DISCOVER BANK FDIC # 5649 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 12/07/2021 (254672V39) Ratings Information: Not Rated	\$100,000.00	\$2,100.00	12/02/2016	\$98.974	\$98,974.00	\$1,006.85	\$100,000.00 \$(1,026.00)	\$100,000.00 ^A \$(1,026.00)
FIRST CHOICE BANK CERRITOS, CA FDIC # 57966 CERTIFICATE OF DEPOSIT MONTHLY MULTI STEP CALLABLE BEGINNING 10/12/19 2.5000% DUE 04/12/2023 Callable 10/12/2019 @ 100.000 (319461BX6) Step Schedule: 2.800% on April 12, 2021, 3.250% on April 12, 2022 Ratings Information: Not Rated	\$219,000.00	\$5,475.00	04/10/2019	\$100.051	\$219,111.69	\$285.00	\$219,000.00 \$111.69	\$219,000.00 ^A \$111.69
FIRST CR BK FDIC # 24332 CERTIFICATE OF DEPOSIT SEMI-ANNUAL MULTI STEP CALLABLE BEGINNING 06/29/19 1.3000% DUE 06/29/2021 Callable 06/29/2019 @ 100.000 (320055BT2) Step Schedule: 1.750% on June 29, 2019, 2.250% on June 29, 2020 Ratings Information: Not Rated	\$200,000.00	\$2,600.00	06/27/2016	\$99.286	\$198,572.00	\$1,089.86	\$200,000.00 \$(1,428.00)	\$200,000.00 ^A \$(1,428.00)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs) (continued)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
FIRST NB OF SYRACUSE FDIC # 4779 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 06/28/19 2.1000% DUE 06/28/2022 Callable 06/28/2019 @ 100.000 (334342CA8) Ratings Information: Not Rated	\$125,000.00	\$2,625.00	06/19/2017	\$98.660	\$123,325.00	\$21.58	\$125,000.00 \$(1,675.00)	\$125,000.00 ^A \$(1,675.00)
GOLDMAN SACHS BANK USA NEW YORK, NY FDIC # 33124 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 1.6000% DUE 05/11/2021 (38148PEM5) Ratings Information: Not Rated	\$100,000.00	\$1,600.00	05/06/2016	\$98.297	\$98,297.00	\$87.67	\$100,000.00 \$(1,703.00)	\$100,000.00 ^A \$(1,703.00)
GULF COAST B&TC NEW ORLEANS, LA FDIC # 32974 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 07/14/19 1.5000% DUE 10/14/2021 Callable 07/14/2019 @ 100.000 (402194FG4) Ratings Information: Not Rated	\$150,000.00	\$2,250.00	10/11/2016	\$97.594	\$146,391.00	\$104.79	\$150,000.00 \$(3,609.00)	\$150,000.00 ^A \$(3,609.00)
MARLIN BUSINESS BANK SALT LAKE CITY, UT FDIC # 58267 CERTIFICATE OF DEPOSIT SEMI-ANNUAL CALLABLE BEGINNING 06/02/19 1.6000% DUE 03/02/2021 Callable 06/02/2019 @ 100.000 (57116ALD8) Ratings Information: Not Rated	\$100,000.00	\$1,600.00	02/23/2016	\$98.479	\$98,479.00	\$394.52	\$100,000.00 \$(1,521.00)	\$100,000.00 ^A \$(1,521.00)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs) (continued)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
MORGAN STANLEY PRIVATE BANK NA PURCHASE, NY FDIC # 34221 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.6500% DUE 04/04/2022 (61760AYF0) Ratings Information: Not Rated	\$250,000.00	\$6,625.00	04/01/2019	\$100.307	\$250,767.50	\$1,034.59	\$250,000.00 \$767.50	\$250,000.00 ^A \$767.50
SALLIE MAE BK MURRAY, UT FDIC # 58177 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1500% DUE 10/22/2019 (795450UB9) Ratings Information: Not Rated	\$200,000.00 ^C	\$4,300.00	10/17/2014	\$99.873	\$199,746.00	\$459.45	\$200,000.00 \$(254.00)	\$200,000.00 ^A \$(254.00)
SILVERGATE BK LA JOLLA, CA FDIC # 27330 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 11/08/19 2.7000% DUE 05/08/2023 Callable 11/08/2019 @ 100.000 (828373GD6) Ratings Information: Not Rated	\$200,000.00	\$5,400.00	05/06/2019	\$100.148	\$200,296.00	\$340.27	\$200,000.00 \$296.00	\$200,000.00 ^A \$296.00
SPRINGS VALLEY BANK & TRUST FDIC # 4419 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 08/23/19 1.6000% DUE 02/23/2021 Callable 08/23/2019 @ 100.000 (851791AG8) Ratings Information: Not Rated	\$100,000.00	\$1,600.00	02/11/2016	\$98.499	\$98,499.00	\$35.07	\$100,000.00 \$(1,501.00)	\$100,000.00 ^A \$(1,501.00)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs) (continued)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
STATE BK OF INDIA NY BR NEW YORK, NY FDIC # 33682 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.0500% DUE 07/29/2019 (856284Y81) Ratings Information: Not Rated	\$130,000.00 ^C	\$2,665.00		\$99.942	\$129,924.60	\$890.77	\$130,000.00 \$(75.40)	\$130,000.00 ^A \$(75.40)
LOT 1	\$100,000.00	\$2,050.00	07/24/2014	\$99.942	\$99,942.00		\$100,000.00 \$(58.00)	\$100,000.00 ^A \$(58.00)
LOT 2	\$30,000.00	\$615.00	07/24/2014	\$99.942	\$29,982.60		\$30,000.00 \$(17.40)	\$30,000.00 ^A \$(17.40)
STATE BK OF INDIA NY BR NEW YORK, NY FDIC # 33682 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1500% DUE 09/11/2019 (856284Z98) Ratings Information: Not Rated	\$100,000.00 ^C	\$2,150.00	09/17/2014	\$99.884	\$99,884.00	\$477.12	\$100,000.00 \$(116.00)	\$100,000.00 ^A \$(116.00)
SUNTRUST BANK ATLANTA, GA FDIC # 867 CERTIFICATE OF DEPOSIT QTRLY MULTI STEP CALLABLE BEGINNING 06/27/19 1.3000% DUE 12/27/2021 Callable 06/27/2019 @ 100.000 (86789VSQ1) Step Schedule: 2.000% on June 27, 2019, 3.000% on June 27, 2020, 5.000% on June 27, 2021 Ratings Information: Not Rated	\$200,000.00	\$2,600.00	06/09/2016	\$99.425	\$198,850.00	\$463.01	\$200,000.00 \$(1,150.00)	\$200,000.00 ^A \$(1,150.00)
SYNCHRONY BANK DRAPER, UT FDIC # 27314 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 12/09/2021 (87164XPB6) Ratings Information: Not Rated	\$100,000.00	\$2,100.00	12/06/2016	\$98.971	\$98,971.00	\$995.34	\$100,000.00 \$(1,029.00)	\$100,000.00 ^A \$(1,029.00)



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Fixed Income (continued) ♦

Certificates of Deposit (CDs) (continued)

Description (Account Number or CUSIP)	Par Value	Estimated Annual Income	Date Acquired	Price	Value	Accrued Interest	Total Cost Basis/ Gain or (Loss)	Adjusted Cost/ Gain or (Loss)
WEX BANK MIDVALE, UT FDIC # 34697 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 1.7000% DUE 11/01/2019 (92937CGF9) Ratings Information: Not Rated	\$250,000.00	\$4,250.00	10/30/2017	\$99.699	\$249,247.50	\$349.32	\$250,000.00 \$(752.50)	\$250,000.00 ^A \$(752.50)
WELLS FARGO BK NA FDIC # 3511 CERTIFICATE OF DEPOSIT QTRLY MULTI STEP CALLABLE BEGINNING 06/30/19 2.0000% DUE 06/30/2020 Callable 06/30/2019 @ 100.000 (94986TUG0) Step Schedule: 4.500% on June 30, 2019 Ratings Information: Not Rated	\$135,000.00	\$2,700.00	06/25/2015	\$99.961	\$134,947.35	\$451.23	\$135,000.00 \$(52.65)	\$135,000.00 ^A \$(52.65)
WELLS FARGO BK NA FDIC # 3511 CERTIFICATE OF DEPOSIT SEMI-ANNUAL MULTI STEP CALLABLE BEGINNING 08/10/19 2.0000% DUE 05/10/2021 Callable 08/10/2019 @ 100.000 (94986TYT8) Step Schedule: 2.500% on November 10, 2019, 3.500% on May 10, 2020, 4.500% on November 10, 2020 Ratings Information: Not Rated	\$100,000.00	\$2,000.00	05/05/2016	\$99.848	\$99,848.00	\$115.07	\$100,000.00 \$(152.00)	\$100,000.00 ^A \$(152.00)
Certificates of Deposit (CDs) Total	\$4,254,000.00	\$87,437.50			\$4,235,490.49	\$15,321.52	\$4,254,000.00 \$(18,509.51)	\$4,254,000.00 \$(18,509.51)

^A Adjusted Cost figure may not have been modified with accrued market discount, acquisition premium or bond premium.

Fixed Income Total

\$89,351.06

\$4,305,282.79

\$15,480.96

♦ Please see Fixed Income Investments on the Understanding Your Statement page.



Your Portfolio (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Portfolio Total **\$4,323,712.89**

Accrued Interest Total **\$15,480.96**

Portfolio Total with Accrued Interest **\$4,339,193.85**

◦ Cost basis for these tax lots/securities will be supplied to the IRS on Form 1099-B.

Log in to Client Access at <https://www.raymondjames.com/clientaccess> to view additional position details, filter, sort, or download up to 18 months of activity and see available delivery options for account documents.



Activity Summary

Income

Type	This Statement	Year to Date
Interest - Taxable	\$5,436.78	\$30,389.57
Interest at RJ Bank Deposit Program	\$34.92	\$1,467.75
Total Income	\$5,471.70	\$31,857.32

Purchases

Type	This Statement	Year to Date
Purchases	\$(200,000.00)	\$(919,000.00)
Total Purchases	\$(200,000.00)	\$(919,000.00)

Sales / Redemptions

Type	This Statement	Year to Date
Redemptions	\$0.00	\$439,000.00
Return of Capital/ Principal	\$2,033.11	\$9,499.85
Total Sales/Redemptions	\$2,033.11	\$448,499.85

Activity Detail

Date	Activity Category	Activity Type	Description (Symbol or CUSIP)	Quantity	Price	Amount	Cash Balance	Additional Detail
			Beginning Balance				\$210,925.29	
05/01/2019	Income	Interest - Taxable	WEX BANK MIDVALE, UT FDIC # 34697 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 1.7000% DUE 11/01/2019 (92937CGF9)			\$2,107.53	\$213,032.82	Paid on 250,000
05/08/2019	Purchase	Purchase	SILVERGATE BK LA JOLLA, CA FDIC # 27330 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 11/08/19 2.7000% DUE 05/08/2023 Callable 11/08/2019 @ 100.000 (828373GD6)	200,000.000	\$100.000	\$(200,000.00)	\$13,032.82	
05/10/2019	Income	Interest - Taxable	WELLS FARGO BK NA FDIC # 3511 CERTIFICATE OF DEPOSIT SEMI-ANNUAL MULTI STEP CALLABLE BEGINNING 08/10/19 2.0000% DUE 05/10/2021 Callable 08/10/2019 @ 100.000 (94986TYT8)			\$644.66	\$13,677.48	Paid on 100,000



Your Activity (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Activity Detail (continued)

Date	Activity Category	Activity Type	Description (Symbol or CUSIP)	Quantity	Price	Amount	Cash Balance	Additional Detail
05/13/2019	Income	Interest - Taxable	FIRST CHOICE BANK CERRITOS, CA FDIC # 57966 CERTIFICATE OF DEPOSIT MONTHLY MULTI STEP CALLABLE BEGINNING 10/12/19 2.5000% DUE 04/12/2023 Callable 10/12/2019 @ 100.000 (319461BX6)			\$450.00	\$14,127.48	Paid on 219,000
05/13/2019	Income	Interest - Taxable	GOLDMAN SACHS BANK USA NEW YORK, NY FDIC # 33124 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 1.6000% DUE 05/11/2021 (38148PEM5)			\$793.42	\$14,920.90	Paid on 100,000
05/14/2019	Income	Interest - Taxable	GULF COAST B&TC NEW ORLEANS, LA FDIC # 32974 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 07/14/19 1.5000% DUE 10/14/2021 Callable 07/14/2019 @ 100.000 (402194FG4)			\$184.93	\$15,105.83	Paid on 150,000
05/15/2019	Income	Interest - Taxable	COMENITY CAPITAL BANK SALT LAKE CITY, UT FDIC # 57570 CERTIFICATE OF DEPOSIT MONTHLY 2.8000% DUE 04/15/2024 (20033AU38)			\$575.34	\$15,681.17	Paid on 250,000
05/15/2019	Income	Interest - Taxable	FHLMC REMIC SERIES 3763 NE 2.5000% DUE 05/15/2025 FACTOR: .10788799 (3137A2ZM6)			\$42.58	\$15,723.75	Paid on 185,000
05/15/2019	Sale/ Redemption	Return of Capital/ Principal	FHLMC REMIC SERIES 3763 NE 2.5000% DUE 05/15/2025 FACTOR: .10788799 (3137A2ZM6)			\$480.20	\$16,203.95	PRINCIPAL DISTRIBUTION
05/15/2019	Income	Interest - Taxable	FHLMC REMIC SERIES 3773 GL 2.7500% DUE 12/15/2020 FACTOR: .02584055 (3137A3TB5)			\$18.21	\$16,222.16	Paid on 285,000
05/15/2019	Sale/ Redemption	Return of Capital/ Principal	FHLMC REMIC SERIES 3773 GL 2.7500% DUE 12/15/2020 FACTOR: .02584055 (3137A3TB5)			\$581.09	\$16,803.25	PRINCIPAL DISTRIBUTION
05/23/2019	Income	Interest - Taxable	BLACKRIDGE BANK FDIC # 58580 CERTIFICATE OF DEPOSIT MONTHLY MULTI STEP CALLABLE BEGINNING 06/23/19 1.6500% DUE 06/23/2022 Callable 06/23/2019 @ 100.000 (09248ABB5)			\$169.52	\$16,972.77	Paid on 125,000



Your Activity (continued)

SJ Cnty Local Transportation Auth Account No. 45925876

Activity Detail (continued)

Date	Activity Category	Activity Type	Description (Symbol or CUSIP)	Quantity	Price	Amount	Cash Balance	Additional Detail
05/23/2019	Income	Interest - Taxable	SPRINGS VALLEY BANK & TRUST FDIC # 4419 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 08/23/19 1.6000% DUE 02/23/2021 Callable08/23/2019 @ 100.000 (851791AG8)			\$131.51	\$17,104.28	Paid on 100,000
05/28/2019	Income	Interest - Taxable	FNMA REMIC TRUST 2013-14 QE 1.7500% DUE 03/25/2043 FACTOR: .21328719 (3136AC4R9)			\$37.85	\$17,142.13	Paid on 119,000
05/28/2019	Sale/ Redemption	Return of Capital/ Principal	FNMA REMIC TRUST 2013-14 QE 1.7500% DUE 03/25/2043 FACTOR: .21328719 (3136AC4R9)			\$574.56	\$17,716.69	PRINCIPAL DISTRIBUTION
05/28/2019	Income	Interest - Taxable	FNMA REMIC TRUST 2002-80 CA 4.5000% DUE 09/25/2032 FACTOR: .00853200 (31392FMF1)			\$65.48	\$17,782.17	Paid on 2,000,000
05/28/2019	Sale/ Redemption	Return of Capital/ Principal	FNMA REMIC TRUST 2002-80 CA 4.5000% DUE 09/25/2032 FACTOR: .00853200 (31392FMF1)			\$397.26	\$18,179.43	PRINCIPAL DISTRIBUTION
05/28/2019	Income	Interest - Taxable	FIRST NB OF SYRACUSE FDIC # 4779 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 06/28/19 2.1000% DUE 06/28/2022 Callable06/28/2019 @ 100.000 (334342CA8)			\$215.75	\$18,395.18	Paid on 125,000
05/31/2019	Income	Interest at RJ Bank Deposit Program	Raymond James Bank Deposit Program			\$34.92	\$18,430.10	



Cash Sweep Activity Recap

Raymond James Bank Deposit Program

Date	Activity Type	Amount	Balance
04/30/2019	Beginning Balance		\$210,925.29
05/01/2019	Transfer To	\$2,107.53	\$213,032.82
05/08/2019	Transfer From	\$(200,000.00)	\$13,032.82
05/10/2019	Transfer To	\$644.66	\$13,677.48
05/13/2019	Transfer To	\$1,243.42	\$14,920.90
05/14/2019	Transfer To	\$184.93	\$15,105.83

Date	Activity Type	Amount	Balance
05/15/2019	Transfer To	\$1,697.42	\$16,803.25
05/23/2019	Transfer To	\$301.03	\$17,104.28
05/28/2019	Transfer To	\$1,290.90	\$18,395.18
05/31/2019	Interest at RJ Bank Deposit Program	\$34.92	\$18,430.10

Future Payments

Future Interest Payments [◇]

Description (Symbol or CUSIP)	Record Date	Payable Date	Estimated Amount	Additional Detail
CIT BANK FDIC # 35575 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.2000% DUE 12/03/2019 (17284C5A8)	05/17/2019	06/03/2019	\$1,096.99	2.20% coupon x 100,000.000par value
DISCOVER BANK FDIC # 5649 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 12/07/2021 (254672V39)	05/21/2019	06/07/2019	\$1,047.12	2.10% coupon x 100,000.000par value
SILVERGATE BK LA JOLLA, CA FDIC # 27330 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 11/08/19 2.7000% DUE 05/08/2023 Callable 11/08/2019 @ 100.000 (828373GD6)	05/22/2019	06/08/2019	\$458.63	2.70% coupon x 200,000.000par value
SYNCHRONY BANK DRAPER, UT FDIC # 27314 CERTIFICATE OF DEPOSIT SEMI-ANNUAL 2.1000% DUE 12/09/2021 (87164XPB6)	05/23/2019	06/09/2019	\$1,047.12	2.10% coupon x 100,000.000par value
FIRST CHOICE BANK CERRITOS, CA FDIC # 57966 CERTIFICATE OF DEPOSIT MONTHLY MULTI STEP CALLABLE BEGINNING 10/12/19 2.5000% DUE 04/12/2023 Callable10/12/2019 @ 100.000 (319461BX6)	05/26/2019	06/12/2019	\$465.00	2.50% coupon x 219,000.000par value
GULF COAST B&TC NEW ORLEANS, LA FDIC # 32974 CERTIFICATE OF DEPOSIT MONTHLY CALLABLE BEGINNING 07/14/19 1.5000% DUE 10/14/2021 Callable07/14/2019 @ 100.000 (402194FG4)	05/28/2019	06/14/2019	\$191.10	1.50% coupon x 150,000.000par value

Future Interest Payments Total \$4,305.96

[◇] Please see Future Payments on the Understanding Your Statement page.



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Exhibit B

P40



Customer Service
PO Box 11813
Harrisburg, PA 17108-1813

ACCOUNT STATEMENT

For the Month Ending
May 31, 2019

San Joaquin County Transportation Authority

Client Management Team

Lauren Brant

Managing Director
50 California Street, Suite 2300
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415-982-5544
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Contents

Cover/Disclosures
Summary Statement
Individual Accounts

Accounts included in Statement

(see inside cover for list of accounts)

Important Messages

CAMP will be closed on 07/04/2019 for Independence Day.

SAN JOAQUIN COUNTY TRANSPORTATION AUTHORITY
MR. STEVE DIAL
555 E. WEBER AVE
STOCKTON, CA 95202

Online Access www.camponline.com

Customer Service 1-800-729-7665



Customer Service
PO Box 11813
Harrisburg, PA 17108-1813

ACCOUNT STATEMENT

San Joaquin County Transportation Authority

For the Month Ending
May 31, 2019

Accounts included in Statement

58-24	2014 MEASURE K SALES TAX REV BONDS PROJECT FUND	58-26	2014 MEASURE K SALES TAX REV BONDS CAPI FUND
58-30	Series 2017 Principal	58-31	Series 2017 interest
58-32	2011 Released Reserve	58-35	2019 Measure K Sales Tax Rev Bonds Interest Acct
619-01	2014 MEASURE K SALES TAX REV BONDS PRINCIPAL ACCOU	619-02	2014 MEASURE K SALES TAX REV BONDS INTEREST ACCOUN
619-04	Regional Transportation Improvement Fee		



Account Statement

For the Month Ending **May 31, 2019**

Important Disclosures

Important Disclosures

This statement is for general information purposes only and is not intended to provide specific advice or recommendations. PFM Asset Management LLC ("PFM") is an investment advisor registered with the Securities and Exchange Commission, and is required to maintain a written disclosure statement of our background and business experience. If you would like to receive a copy of our current disclosure statement, please contact Service Operations at the address below.

Proxy Voting PFM does not normally receive proxies to vote on behalf of its clients. However, it does on occasion receive consent requests. In the event a consent request is received the portfolio manager contacts the client and then proceeds according to their instructions. PFM's Proxy Voting Policy is available upon request by contacting Service Operations at the address below.

Questions About an Account PFM's monthly statement is intended to detail our investment advisory activity as well as the activity of any accounts held by clients in pools that are managed by PFM. The custodian bank maintains the control of assets and executes (i.e., settles) all investment transactions. The custodian statement is the official record of security and cash holdings and transactions. PFM recognizes that clients may use these reports to facilitate record keeping and that the custodian bank statement and the PFM statement should be reconciled and differences resolved. Many custodians use a settlement date basis which may result in the need to reconcile due to a timing difference.

Account Control PFM does not have the authority to withdraw funds from or deposit funds to the custodian. Our clients retain responsibility for their internal accounting policies; implementing and enforcing internal controls and generating ledger entries or otherwise recording transactions.

Market Value Generally, PFM's market prices are derived from closing bid prices as of the last business day of the month as supplied by ICE Data Services or Bloomberg. Where prices are not available from generally recognized sources the securities are priced using a yield-based matrix system to arrive at an estimated market value. Prices that fall between data points are interpolated. Non-negotiable FDIC-insured bank certificates of deposit are priced at par. Although PFM believes the prices to be reliable, the values of the securities do not always represent the prices at which the securities could have been bought or sold. Explanation of the valuation methods for money market and TERM funds is contained in the appropriate fund information statement.

Amortized Cost The original cost of the principal of the security is adjusted for the amount of the periodic reduction of any discount or premium from the purchase date until the date of the report. Discount or premium with respect to short term securities (those with less than one year to maturity at time of issuance) is amortized on a straightline basis. Such discount or premium with respect to longer term securities is amortized using the constant yield basis.

Tax Reporting Cost data and realized gains / losses are provided for informational purposes only. Please review for accuracy and consult your tax advisor to determine the tax consequences of your security transactions. PFM does not report such information to the IRS or other taxing authorities and is not responsible for the accuracy of such information that may be required to be reported to federal, state or other taxing authorities.

Financial Situation In order to better serve you, PFM should be promptly notified of any material change in your investment objective or financial situation.

Callable Securities Securities subject to redemption prior to maturity may be redeemed in whole or in part before maturity, which could affect the yield represented.

Portfolio The securities in this portfolio, including shares of mutual funds, are not guaranteed or otherwise protected by PFM, the FDIC (except for certain non-negotiable certificates of deposit) or any government agency. Investment in securities involves risks, including the possible loss of the amount invested. Actual settlement values, accrued interest, and amortized cost amounts may vary for securities subject to an adjustable interest rate or subject to principal paydowns. Any changes to the values shown may be reflected within the next monthly statement's beginning values.

Rating Information provided for ratings is based upon a good faith inquiry of selected sources, but its accuracy and completeness cannot be guaranteed. Shares of some money market and TERM funds are marketed through representatives of PFM's wholly owned subsidiary, PFM Fund Distributors, Inc. PFM Fund Distributors, Inc. is registered with the SEC as a broker/dealer and is a member of the Financial Industry Regulatory Authority ("FINRA") and the Municipal Securities Rulemaking Board ("MSRB"). You may reach the FINRA by calling the FINRA Regulator Public Disclosure Hotline at 1-888-289-9999 or at the FINRA Regulation Internet website address www.nasd.com. A brochure describing the FINRA Regulation Public Disclosure Program is also available from the FINRA upon request.

Key Terms and Definitions

Dividends on money market funds consist of interest earned, plus any discount ratably amortized to the date of maturity, plus all realized gains and losses on the sale of securities prior to maturity, less ratably amortization of any premium and all accrued expenses to the fund. Dividends are accrued daily and may be paid either monthly or quarterly. The monthly earnings on this statement represent the estimated dividend accrued for the month for any program that distributes earnings on a quarterly basis. There is no guarantee that the estimated amount will be paid on the actual distribution date.

Current Yield is the net change, exclusive of capital changes and income other than investment income, in the value of a hypothetical fund account with a balance of one share over the seven-day base period including the statement date, expressed as a percentage of the value of one share (normally \$1.00 per share) at the beginning of the seven-day period. This resulting net change in account value is then annualized by multiplying it by

365 and dividing the result by 7. The yields quoted should not be considered a representation of the yield of the fund in the future, since the yield is not fixed.

Average maturity represents the average maturity of all securities and investments of a portfolio, determined by multiplying the par or principal value of each security or investment by its maturity (days or years), summing the products, and dividing the sum by the total principal value of the portfolio. The stated maturity date of mortgage backed or callable securities are used in this statement. However the actual maturity of these securities could vary depending on the level or prepayments on the underlying mortgages or whether a callable security has or is still able to be called.

Monthly distribution yield represents the net change in the value of one share (normally \$1.00 per share) resulting from all dividends declared during the month by a fund expressed as a percentage of the value of one share at the beginning of the month. This resulting net change is then annualized by multiplying it by 365 and dividing it by the number of calendar days in the month.

YTM at Cost The yield to maturity at cost is the expected rate of return, based on the original cost, the annual interest receipts, maturity value and the time period from purchase date to maturity, stated as a percentage, on an annualized basis.

YTM at Market The yield to maturity at market is the rate of return, based on the current market value, the annual interest receipts, maturity value and the time period remaining until maturity, stated as a percentage, on an annualized basis.

Managed Account A portfolio of investments managed discretely by PFM according to the client's specific investment policy and requirements. The investments are directly owned by the client and held by the client's custodian.

Unsettled Trade A trade which has been executed however the final consummation of the security transaction and payment has not yet taken place.

Please review the detail pages of this statement carefully. If you think your statement is wrong, missing account information, or if you need more information about a transaction, please contact PFM within 60 days of receipt. If you have other concerns or questions regarding your account you should contact a member of your client management team or PFM Service Operations at the address below.

PFM Asset Management LLC
Attn: Service Operations
213 Market Street
Harrisburg, PA 17101



Consolidated Summary Statement

Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority

Portfolio Summary

Portfolio Holdings	Cash Dividends and Income	Closing Market Value	Current Yield
CAMP Pool	14,884.11	8,178,102.36	2.50 %
CAMP Managed Account	0.00	8,740,555.91	* N/A
Total	\$14,884.11	\$16,918,658.27	

* Not Applicable

Investment Allocation

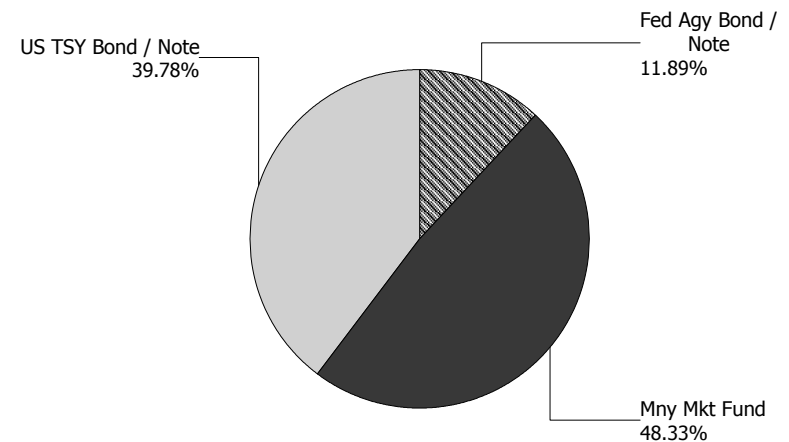
Investment Type	Closing Market Value	Percent
Federal Agency Bond / Note	2,010,950.40	11.89
Money Market Mutual Fund	8,178,102.36	48.33
U.S. Treasury Bond / Note	6,729,605.51	39.78
Total	\$16,918,658.27	100.00%

Maturity Distribution (Fixed Income Holdings)

Portfolio Holdings	Closing Market Value	Percent
Under 30 days	8,178,102.36	48.34
31 to 60 days	0.00	0.00
61 to 90 days	0.00	0.00
91 to 180 days	2,010,950.40	11.89
181 days to 1 year	4,082,765.51	24.13
1 to 2 years	2,646,840.00	15.64
2 to 3 years	0.00	0.00
3 to 4 years	0.00	0.00
4 to 5 years	0.00	0.00
Over 5 years	0.00	0.00
Total	\$16,918,658.27	100.00%

Weighted Average Days to Maturity **164**

Sector Allocation





Consolidated Summary Statement

Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority

Account Number	Account Name	Opening Market Value	Purchases / Deposits	Redemptions / Sales / Maturities	Unsettled Trades	Change in Value	Closing Market Value	Cash Dividends and Income
58-24	2014 MEASURE K SALES TAX REV BONDS PROJECT FUND	94,456.64	201.85	0.00	0.00	0.00	94,658.49	201.85
58-26	2014 MEASURE K SALES TAX REV BONDS CAPI FUND	1,944,993.64	4,156.34	(24.17)	0.00	0.00	1,949,125.81	4,156.34
58-30	Series 2017 Principal	754,937.66	346,802.09	0.00	0.00	0.00	1,101,739.75	1,802.09
58-31	Series 2017 interest	1,666,304.57	797,128.24	0.00	0.00	0.00	2,463,432.81	3,994.91
58-32	2011 Released Reserve	8,839,986.46	239.66	(765.58)	0.00	12,818.04	8,852,278.58	239.66
58-35	2019 Measure K Sales Tax Rev Bonds Interest Acct	547,167.20	274,481.28	0.00	0.00	0.00	821,648.48	1,318.78
619-01	2014 MEASURE K SALES TAX REV BONDS PRINCIPAL ACCOU	41,964.22	18,849.94	0.00	0.00	0.00	60,814.16	99.94
619-02	2014 MEASURE K SALES TAX REV BONDS INTEREST ACCOUN	384,050.76	182,411.70	0.00	0.00	0.00	566,462.46	920.03
619-04	Regional Transportation Improvement Fee	1,006,347.22	2,150.51	0.00	0.00	0.00	1,008,497.73	2,150.51
Total		\$15,280,208.37	\$1,626,421.61	(\$789.75)	\$0.00	\$12,818.04	\$16,918,658.27	\$14,884.11



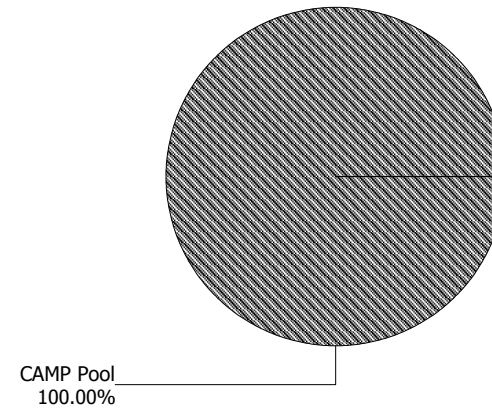
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS PROJECT FUND - 58-24

CAMP Pool	
Opening Market Value	94,456.64
Purchases	201.85
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$94,658.49
Cash Dividends and Income	201.85

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	94,658.49	94,456.64
Total	\$94,658.49	\$94,456.64
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS PROJECT FUND - 58-24

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					94,456.64
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	201.85	94,658.49
Closing Balance					94,658.49

	Month of May	Fiscal YTD January-May		
Opening Balance	94,456.64	93,652.31	Closing Balance	94,658.49
Purchases	201.85	1,006.18	Average Monthly Balance	94,463.15
Redemptions (Excl. Checks)	0.00	0.00	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	94,658.49	94,658.49		
Cash Dividends and Income	201.85	1,006.18		



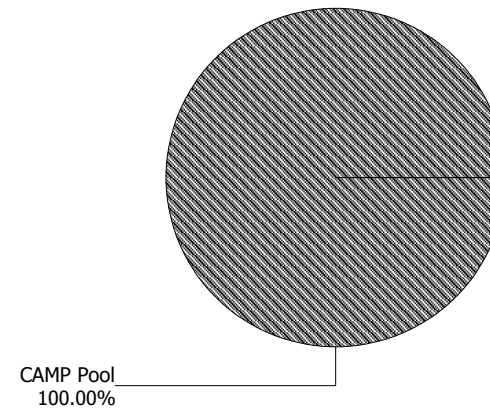
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS CAPI FUND - 58-26

CAMP Pool	
Opening Market Value	1,944,993.64
Purchases	4,156.34
Redemptions	(24.17)
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$1,949,125.81
Cash Dividends and Income	4,156.34

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	1,949,125.81	1,944,993.64
Total	\$1,949,125.81	\$1,944,993.64
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS CAPI FUND - 58-26

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					1,944,993.64
05/28/19	05/28/19	U.S. Bank Fees March 2019	1.00	(24.17)	1,944,969.47
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	4,156.34	1,949,125.81
Closing Balance					1,949,125.81

	Month of May	Fiscal YTD January-May		
Opening Balance	1,944,993.64	1,928,512.49	Closing Balance	1,949,125.81
Purchases	4,156.34	20,719.17	Average Monthly Balance	1,945,124.60
Redemptions (Excl. Checks)	(24.17)	(105.85)	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	1,949,125.81	1,949,125.81		
Cash Dividends and Income	4,156.34	20,719.17		



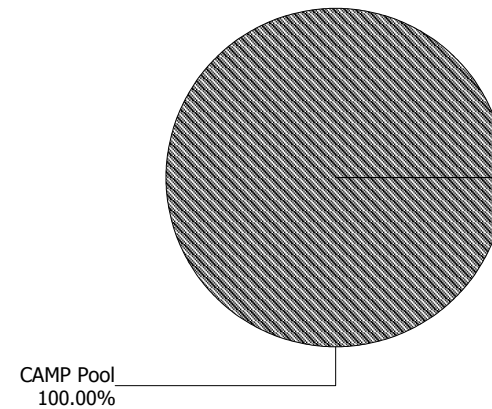
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - Series 2017 Principal - 58-30

CAMP Pool	
Opening Market Value	754,937.66
Purchases	346,802.09
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$1,101,739.75
Cash Dividends and Income	1,802.09

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	1,101,739.75	754,937.66
Total	\$1,101,739.75	\$754,937.66
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - Series 2017 Principal - 58-30

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					754,937.66
05/24/19	05/24/19	Purchase - Incoming Wires	1.00	345,000.00	1,099,937.66
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	1,802.09	1,101,739.75
Closing Balance					1,101,739.75

	Month of May	Fiscal YTD January-May		
Opening Balance	754,937.66	4,762,807.03	Closing Balance	1,101,739.75
Purchases	346,802.09	2,003,932.72	Average Monthly Balance	844,028.05
Redemptions (Excl. Checks)	0.00	(5,665,000.00)	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	1,101,739.75	1,101,739.75		
Cash Dividends and Income	1,802.09	24,766.06		



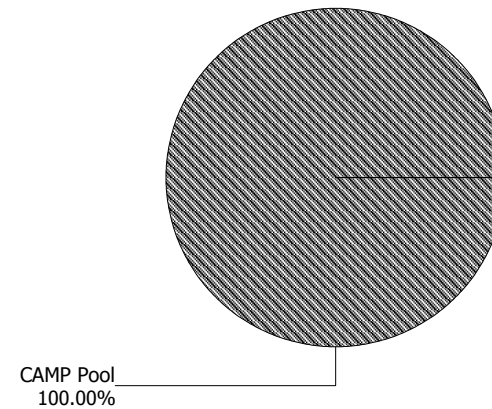
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - Series 2017 interest - 58-31

CAMP Pool	
Opening Market Value	1,666,304.57
Purchases	797,128.24
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$2,463,432.81
Cash Dividends and Income	3,994.91

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	2,463,432.81	1,666,304.57
Total	\$2,463,432.81	\$1,666,304.57
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - Series 2017 interest - 58-31

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					1,666,304.57
05/24/19	05/24/19	Purchase - Incoming Wires	1.00	793,133.33	2,459,437.90
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	3,994.91	2,463,432.81
Closing Balance					2,463,432.81

	Month of May	Fiscal YTD January-May		
Opening Balance	1,666,304.57	3,308,903.85	Closing Balance	2,463,432.81
Purchases	797,128.24	4,026,628.96	Average Monthly Balance	1,871,113.01
Redemptions (Excl. Checks)	0.00	(4,872,100.00)	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	2,463,432.81	2,463,432.81		
Cash Dividends and Income	3,994.91	23,195.63		



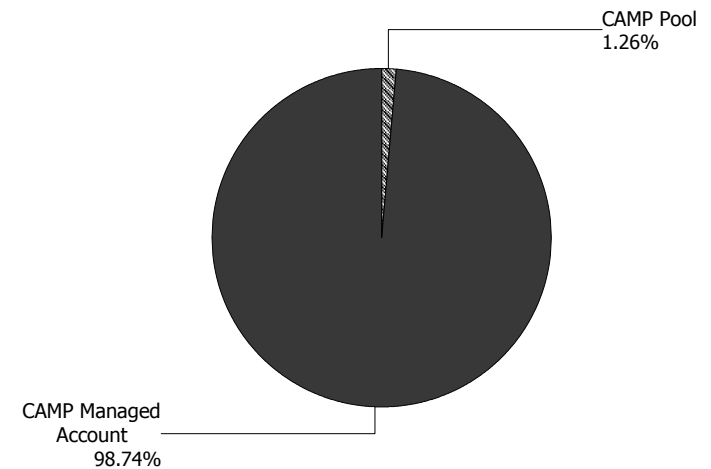
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32

CAMP Pool	
Opening Market Value	112,248.59
Purchases	239.66
Redemptions	(765.58)
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$111,722.67
Cash Dividends and Income	239.66
CAMP Managed Account	
Opening Market Value	8,727,737.87
Purchases	0.00
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	12,818.04
Closing Market Value	\$8,740,555.91
Cash Dividends and Income	0.00

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	111,722.67	112,248.59
CAMP Managed Account	8,740,555.91	8,727,737.87
Total	\$8,852,278.58	\$8,839,986.46
Asset Allocation		





Managed Account Summary Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32 - (12512207)

Transaction Summary - Money Market		Transaction Summary - Managed Account		Account Total	
Opening Market Value	\$112,248.59	Opening Market Value	\$8,727,737.87	Opening Market Value	\$8,839,986.46
Purchases	239.66	Maturities/Calls	0.00		
Redemptions	(765.58)	Principal Dispositions	0.00		
		Principal Acquisitions	0.00		
		Unsettled Trades	0.00		
		Change in Current Value	12,818.04		
Closing Market Value	\$111,722.67	Closing Market Value	\$8,740,555.91	Closing Market Value	\$8,852,278.58
Dividend	239.66				

Earnings Reconciliation (Cash Basis) - Managed Account			Cash Balance	
Interest/Dividends/Coupons Received		0.00	Closing Cash Balance	\$0.00
Less Purchased Interest Related to Interest/Coupons		0.00		
Plus Net Realized Gains/Losses		0.00		
Total Cash Basis Earnings		\$0.00		

Earnings Reconciliation (Accrual Basis)		Managed Account	Total	Cash Transactions Summary- Managed Account	
Ending Amortized Value of Securities		8,719,900.55	8,831,623.22	Maturities/Calls	0.00
Ending Accrued Interest		31,445.59	31,445.59	Sale Proceeds	0.00
Plus Proceeds from Sales		0.00	765.58	Coupon/Interest/Dividend Income	0.00
Plus Proceeds of Maturities/Calls/Principal Payments		0.00	0.00	Principal Payments	0.00
Plus Coupons/Dividends Received		0.00	0.00	Security Purchases	0.00
Less Cost of New Purchases		0.00	(239.66)	Net Cash Contribution	0.00
Less Beginning Amortized Value of Securities		(8,718,220.28)	(8,830,468.87)	Reconciling Transactions	0.00
Less Beginning Accrued Interest		(15,863.07)	(15,863.07)		
Dividends		0.00	239.66		
Total Accrual Basis Earnings		\$17,262.79	\$17,502.45		



Portfolio Summary and Statistics

For the Month Ending **May 31, 2019**

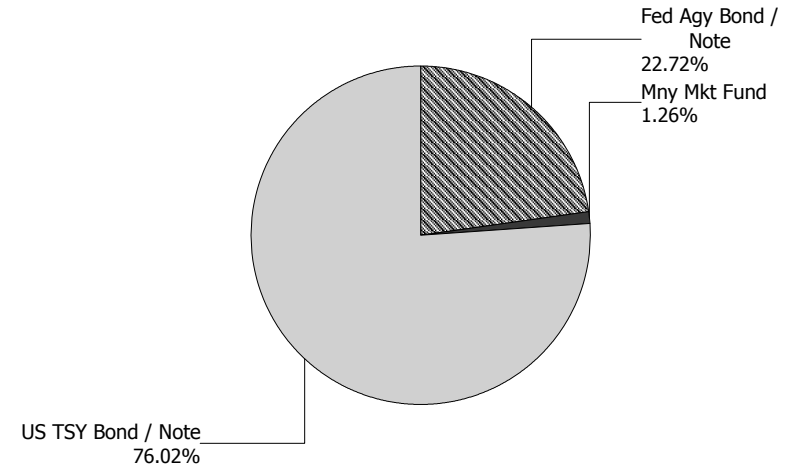
San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32 - (12512207)

Account Summary

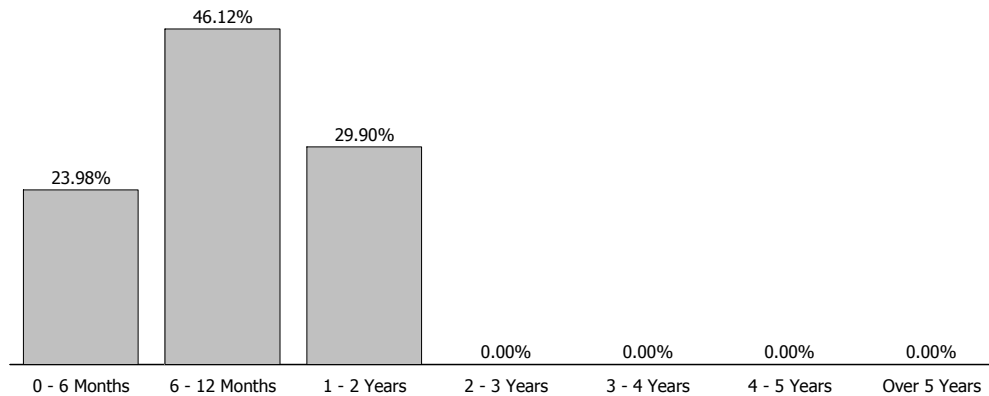
Description	Par Value	Market Value	Percent
U.S. Treasury Bond / Note	6,710,000.00	6,729,605.51	76.02
Federal Agency Bond / Note	2,020,000.00	2,010,950.40	22.72
Managed Account Sub-Total	8,730,000.00	8,740,555.91	98.74%
Accrued Interest		31,445.59	
Total Portfolio	8,730,000.00	8,772,001.50	
CAMP Pool	111,722.67	111,722.67	1.26
Total Investments	8,841,722.67	8,883,724.17	100.00%

Unsettled Trades **0.00** **0.00**

Sector Allocation



Maturity Distribution



Characteristics

Yield to Maturity at Cost	2.35%
Yield to Maturity at Market	2.27%
Duration to Worst	0.85
Weighted Average Days to Maturity	317



Managed Account Issuer Summary

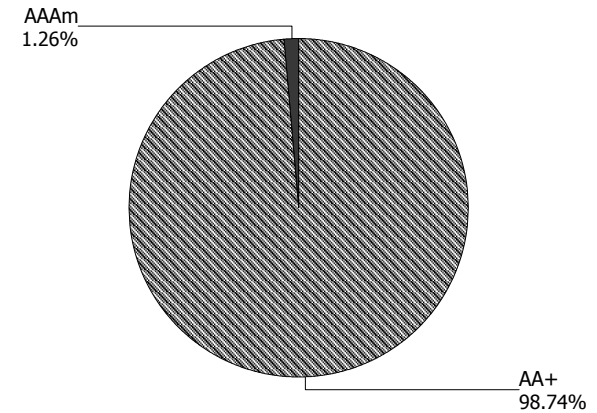
For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32 - (12512207)

Issuer Summary

Issuer	Market Value of Holdings	Percent
CAMP Pool	111,722.67	1.26
FEDERAL HOME LOAN BANKS	2,010,950.40	22.72
UNITED STATES TREASURY	6,729,605.51	76.02
Total	\$8,852,278.58	100.00%

Credit Quality (S&P Ratings)





Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32 - (12512207)

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
U.S. Treasury Bond / Note											
US TREASURY N/B NOTES DTD 04/02/2018 2.250% 03/31/2020	9128284C1	4,085,000.00	AA+	Aaa	01/30/19	01/31/19	4,068,404.69	2.61	15,569.88	4,073,144.80	4,082,765.51
US TREASURY N/B DTD 10/01/2018 2.750% 09/30/2020	9128285B2	2,625,000.00	AA+	Aaa	01/30/19	01/31/19	2,630,844.73	2.61	12,228.48	2,629,737.81	2,646,840.00
Security Type Sub-Total		6,710,000.00					6,699,249.42	2.61	27,798.36	6,702,882.61	6,729,605.51
Federal Agency Bond / Note											
FHLB GLOBAL NOTES DTD 09/09/2016 1.000% 09/26/2019	3130A9EP2	505,000.00	AA+	Aaa	01/03/17	01/09/17	498,768.30	1.47	911.81	504,254.85	502,737.60
FHLB GLOBAL NOTES DTD 09/09/2016 1.000% 09/26/2019	3130A9EP2	1,515,000.00	AA+	Aaa	01/03/17	01/04/17	1,496,198.85	1.47	2,735.42	1,512,763.09	1,508,212.80
Security Type Sub-Total		2,020,000.00					1,994,967.15	1.47	3,647.23	2,017,017.94	2,010,950.40
Managed Account Sub-Total		8,730,000.00					8,694,216.57	2.35	31,445.59	8,719,900.55	8,740,555.91
Money Market Mutual Fund											
CAMP Pool		111,722.67	AAAm	NR			111,722.67		0.00	111,722.67	111,722.67
Money Market Sub-Total		111,722.67					111,722.67		0.00	111,722.67	111,722.67
Securities Sub-Total		\$8,841,722.67					\$8,805,939.24	2.35%	\$31,445.59	\$8,831,623.22	\$8,852,278.58
Accrued Interest											\$31,445.59
Total Investments											\$8,883,724.17



Managed Account Fair Market Value & Analytics

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32 - (12512207)

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	Broker	Next Call Date	Market Price	Market Value	Unreal G/L On Cost	Unreal G/L Amort Cost	Effective Duration	Duration to Worst at Mkt	YTM
U.S. Treasury Bond / Note											
US TREASURY N/B NOTES DTD 04/02/2018 2.250% 03/31/2020	9128284C1	4,085,000.00	MORGAN_S		99.95	4,082,765.51	14,360.82	9,620.71	0.82	0.82	2.31
US TREASURY N/B DTD 10/01/2018 2.750% 09/30/2020	9128285B2	2,625,000.00	CITIGRP		100.83	2,646,840.00	15,995.27	17,102.19	1.30	1.30	2.11
Security Type Sub-Total		6,710,000.00				6,729,605.51	30,356.09	26,722.90	1.01	1.01	2.24
Federal Agency Bond / Note											
FHLB GLOBAL NOTES DTD 09/09/2016 1.000% 09/26/2019	3130A9EP2	505,000.00	BARCLAYS		99.55	502,737.60	3,969.30	(1,517.25)	0.32	0.32	2.39
FHLB GLOBAL NOTES DTD 09/09/2016 1.000% 09/26/2019	3130A9EP2	1,515,000.00	BARCLAYS		99.55	1,508,212.80	12,013.95	(4,550.29)	0.32	0.32	2.39
Security Type Sub-Total		2,020,000.00				2,010,950.40	15,983.25	(6,067.54)	0.32	0.32	2.39
Managed Account Sub-Total		8,730,000.00				8,740,555.91	46,339.34	20,655.36	0.85	0.85	2.27
Money Market Mutual Fund											
CAMP Pool		111,722.67			1.00	111,722.67	0.00	0.00	0.00	0.00	
Money Market Sub-Total		111,722.67				111,722.67	0.00	0.00	0.00	0.00	
Securities Sub-Total		\$8,841,722.67				\$8,852,278.58	\$46,339.34	\$20,655.36	0.85	0.85	2.27%
Accrued Interest						\$31,445.59					
Total Investments						\$8,883,724.17					



Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2011 Released Reserve - 58-32

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					112,248.59
05/28/19	05/28/19	IP Fees April 2019	1.00	(717.20)	111,531.39
05/28/19	05/28/19	U.S. Bank Fees March 2019	1.00	(48.38)	111,483.01
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	239.66	111,722.67

Closing Balance **111,722.67**

	Month of May	Fiscal YTD January-May		
Opening Balance	112,248.59	23,708.47	Closing Balance	111,722.67
Purchases	239.66	6,846,587.59	Average Monthly Balance	112,157.54
Redemptions (Excl. Checks)	(765.58)	(6,758,573.39)	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	111,722.67	111,722.67		
Cash Dividends and Income	239.66	624.01		



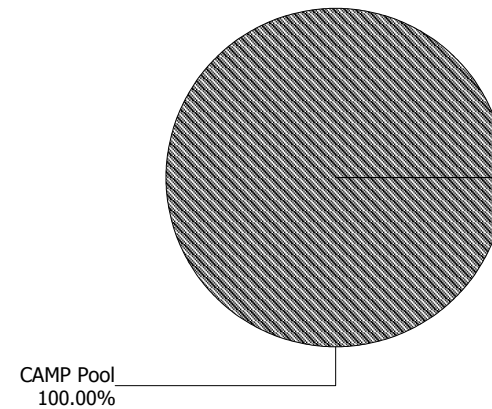
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2019 Measure K Sales Tax Rev Bonds Interest Acct - 58-35

CAMP Pool	
Opening Market Value	547,167.20
Purchases	274,481.28
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$821,648.48
Cash Dividends and Income	1,318.78

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	821,648.48	547,167.20
Total	\$821,648.48	\$547,167.20
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2019 Measure K Sales Tax Rev Bonds Interest Acct - 58-35

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					547,167.20
05/24/19	05/24/19	Purchase - Incoming Wires	1.00	273,162.50	820,329.70
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	1,318.78	821,648.48
Closing Balance					821,648.48

	Month of May	Fiscal YTD January-May		
Opening Balance	547,167.20	0.00	Closing Balance	821,648.48
Purchases	274,481.28	821,648.48	Average Monthly Balance	617,703.29
Redemptions (Excl. Checks)	0.00	0.00	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	821,648.48	821,648.48		
Cash Dividends and Income	1,318.78	2,160.98		



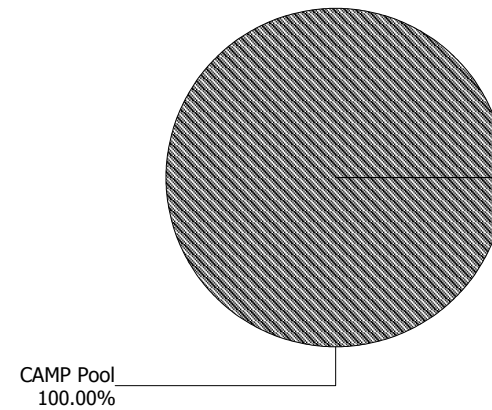
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS PRINCIPAL ACCOU - 619-01

CAMP Pool	
Opening Market Value	41,964.22
Purchases	18,849.94
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$60,814.16
Cash Dividends and Income	99.94

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	60,814.16	41,964.22
Total	\$60,814.16	\$41,964.22
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS PRINCIPAL ACCOU - 619-01

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					41,964.22
05/24/19	05/24/19	Purchase - Incoming Wires	1.00	18,750.00	60,714.22
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	99.94	60,814.16
Closing Balance					60,814.16

	Month of May	Fiscal YTD January-May		
Opening Balance	41,964.22	4,368.89	Closing Balance	60,814.16
Purchases	18,849.94	56,445.27	Average Monthly Balance	46,806.15
Redemptions (Excl. Checks)	0.00	0.00	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	60,814.16	60,814.16		
Cash Dividends and Income	99.94	195.27		



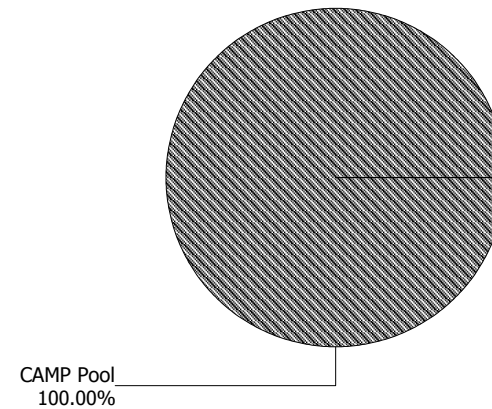
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS INTEREST ACCOUN - 619-02

CAMP Pool	
Opening Market Value	384,050.76
Purchases	182,411.70
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$566,462.46
Cash Dividends and Income	920.03

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	566,462.46	384,050.76
Total	\$566,462.46	\$384,050.76
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - 2014 MEASURE K SALES TAX REV BONDS INTEREST ACCOUN - 619-02

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					384,050.76
05/24/19	05/24/19	Purchase - Incoming Wires	1.00	181,491.67	565,542.43
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	920.03	566,462.46
Closing Balance					566,462.46

	Month of May	Fiscal YTD January-May		
Opening Balance	384,050.76	742,702.61	Closing Balance	566,462.46
Purchases	182,411.70	912,709.85	Average Monthly Balance	430,917.00
Redemptions (Excl. Checks)	0.00	(1,088,950.00)	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	566,462.46	566,462.46		
Cash Dividends and Income	920.03	5,251.50		



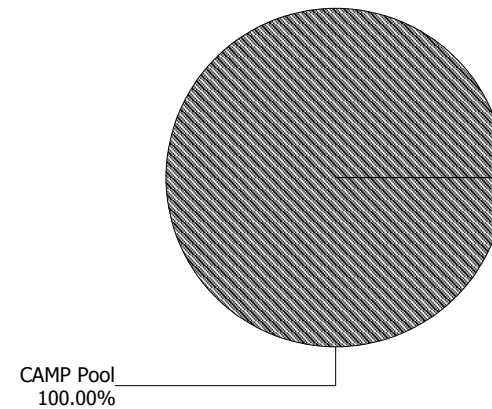
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - Regional Transportation Improvement Fee - 619-04

CAMP Pool	
Opening Market Value	1,006,347.22
Purchases	2,150.51
Redemptions	0.00
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$1,008,497.73
Cash Dividends and Income	2,150.51

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	1,008,497.73	1,006,347.22
Total	\$1,008,497.73	\$1,006,347.22
Asset Allocation		





Account Statement

For the Month Ending **May 31, 2019**

San Joaquin County Transportation Authority - Regional Transportation Improvement Fee - 619-04

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					1,006,347.22
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	2,150.51	1,008,497.73
Closing Balance					1,008,497.73

	Month of May	Fiscal YTD January-May		
Opening Balance	1,006,347.22	0.00	Closing Balance	1,008,497.73
Purchases	2,150.51	1,008,497.73	Average Monthly Balance	1,006,416.59
Redemptions (Excl. Checks)	0.00	0.00	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	1,008,497.73	1,008,497.73		
Cash Dividends and Income	2,150.51	8,497.73		



Customer Service
PO Box 11813
Harrisburg, PA 17108-1813

ACCOUNT STATEMENT

For the Month Ending
May 31, 2019

SJCOG, INC.

Client Management Team

Lauren Brant

Managing Director
50 California Street, Suite 2300
San Francisco, CA 94111
415-982-5544
brantl@pfm.com

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Cover/Disclosures
Summary Statement
Individual Accounts

Accounts included in Statement

6033-000 SJCOG, INC. HABITAT ENDOWMENT - JAQUES

Important Messages

CAMP will be closed on 07/04/2019 for Independence Day.

SJCOG, INC.
MR. STEVE DIAL
555 E. WEBER AVE.
STOCKTON, CA 95202

Online Access www.camponline.com

Customer Service 1-800-729-7665



Account Statement

For the Month Ending **May 31, 2019**

Important Disclosures

Important Disclosures

This statement is for general information purposes only and is not intended to provide specific advice or recommendations. PFM Asset Management LLC ("PFM") is an investment advisor registered with the Securities and Exchange Commission, and is required to maintain a written disclosure statement of our background and business experience. If you would like to receive a copy of our current disclosure statement, please contact Service Operations at the address below.

Proxy Voting PFM does not normally receive proxies to vote on behalf of its clients. However, it does on occasion receive consent requests. In the event a consent request is received the portfolio manager contacts the client and then proceeds according to their instructions. PFM's Proxy Voting Policy is available upon request by contacting Service Operations at the address below.

Questions About an Account PFM's monthly statement is intended to detail our investment advisory activity as well as the activity of any accounts held by clients in pools that are managed by PFM. The custodian bank maintains the control of assets and executes (i.e., settles) all investment transactions. The custodian statement is the official record of security and cash holdings and transactions. PFM recognizes that clients may use these reports to facilitate record keeping and that the custodian bank statement and the PFM statement should be reconciled and differences resolved. Many custodians use a settlement date basis which may result in the need to reconcile due to a timing difference.

Account Control PFM does not have the authority to withdraw funds from or deposit funds to the custodian. Our clients retain responsibility for their internal accounting policies; implementing and enforcing internal controls and generating ledger entries or otherwise recording transactions.

Market Value Generally, PFM's market prices are derived from closing bid prices as of the last business day of the month as supplied by ICE Data Services or Bloomberg. Where prices are not available from generally recognized sources the securities are priced using a yield-based matrix system to arrive at an estimated market value. Prices that fall between data points are interpolated. Non-negotiable FDIC-insured bank certificates of deposit are priced at par. Although PFM believes the prices to be reliable, the values of the securities do not always represent the prices at which the securities could have been bought or sold. Explanation of the valuation methods for money market and TERM funds is contained in the appropriate fund information statement.

Amortized Cost The original cost of the principal of the security is adjusted for the amount of the periodic reduction of any discount or premium from the purchase date until the date of the report. Discount or premium with respect to short term securities (those with less than one year to maturity at time of issuance) is amortized on a straightline basis. Such discount or premium with respect to longer term securities is amortized using the constant yield basis.

Tax Reporting Cost data and realized gains / losses are provided for informational purposes only. Please review for accuracy and consult your tax advisor to determine the tax consequences of your security transactions. PFM does not report such information to the IRS or other taxing authorities and is not responsible for the accuracy of such information that may be required to be reported to federal, state or other taxing authorities.

Financial Situation In order to better serve you, PFM should be promptly notified of any material change in your investment objective or financial situation.

Callable Securities Securities subject to redemption prior to maturity may be redeemed in whole or in part before maturity, which could affect the yield represented.

Portfolio The securities in this portfolio, including shares of mutual funds, are not guaranteed or otherwise protected by PFM, the FDIC (except for certain non-negotiable certificates of deposit) or any government agency. Investment in securities involves risks, including the possible loss of the amount invested. Actual settlement values, accrued interest, and amortized cost amounts may vary for securities subject to an adjustable interest rate or subject to principal paydowns. Any changes to the values shown may be reflected within the next monthly statement's beginning values.

Rating Information provided for ratings is based upon a good faith inquiry of selected sources, but its accuracy and completeness cannot be guaranteed. Shares of some money market and TERM funds are marketed through representatives of PFM's wholly owned subsidiary, PFM Fund Distributors, Inc. PFM Fund Distributors, Inc. is registered with the SEC as a broker/dealer and is a member of the Financial Industry Regulatory Authority ("FINRA") and the Municipal Securities Rulemaking Board ("MSRB"). You may reach the FINRA by calling the FINRA Regulator Public Disclosure Hotline at 1-888-289-9999 or at the FINRA Regulation Internet website address www.nasd.com. A brochure describing the FINRA Regulation Public Disclosure Program is also available from the FINRA upon request.

Key Terms and Definitions

Dividends on money market funds consist of interest earned, plus any discount ratably amortized to the date of maturity, plus all realized gains and losses on the sale of securities prior to maturity, less ratably amortization of any premium and all accrued expenses to the fund. Dividends are accrued daily and may be paid either monthly or quarterly. The monthly earnings on this statement represent the estimated dividend accrued for the month for any program that distributes earnings on a quarterly basis. There is no guarantee that the estimated amount will be paid on the actual distribution date.

Current Yield is the net change, exclusive of capital changes and income other than investment income, in the value of a hypothetical fund account with a balance of one share over the seven-day base period including the statement date, expressed as a percentage of the value of one share (normally \$1.00 per share) at the beginning of the seven-day period. This resulting net change in account value is then annualized by multiplying it by

365 and dividing the result by 7. The yields quoted should not be considered a representation of the yield of the fund in the future, since the yield is not fixed.

Average maturity represents the average maturity of all securities and investments of a portfolio, determined by multiplying the par or principal value of each security or investment by its maturity (days or years), summing the products, and dividing the sum by the total principal value of the portfolio. The stated maturity date of mortgage backed or callable securities are used in this statement. However the actual maturity of these securities could vary depending on the level or prepayments on the underlying mortgages or whether a callable security has or is still able to be called.

Monthly distribution yield represents the net change in the value of one share (normally \$1.00 per share) resulting from all dividends declared during the month by a fund expressed as a percentage of the value of one share at the beginning of the month. This resulting net change is then annualized by multiplying it by 365 and dividing it by the number of calendar days in the month.

YTM at Cost The yield to maturity at cost is the expected rate of return, based on the original cost, the annual interest receipts, maturity value and the time period from purchase date to maturity, stated as a percentage, on an annualized basis.

YTM at Market The yield to maturity at market is the rate of return, based on the current market value, the annual interest receipts, maturity value and the time period remaining until maturity, stated as a percentage, on an annualized basis.

Managed Account A portfolio of investments managed discretely by PFM according to the client's specific investment policy and requirements. The investments are directly owned by the client and held by the client's custodian.

Unsettled Trade A trade which has been executed however the final consummation of the security transaction and payment has not yet taken place.

Please review the detail pages of this statement carefully. If you think your statement is wrong, missing account information, or if you need more information about a transaction, please contact PFM within 60 days of receipt. If you have other concerns or questions regarding your account you should contact a member of your client management team or PFM Service Operations at the address below.

PFM Asset Management LLC
Attn: Service Operations
213 Market Street
Harrisburg, PA 17101



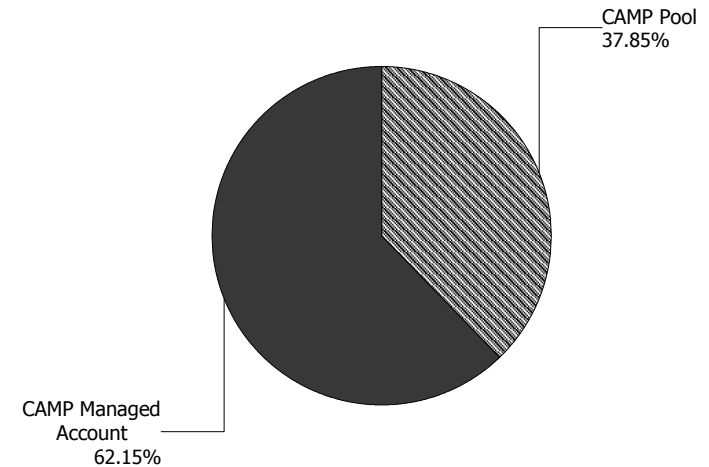
Account Statement - Transaction Summary

For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000

CAMP Pool	
Opening Market Value	4,063,603.24
Purchases	1,933,946.99
Redemptions	(1,202.97)
Unsettled Trades	0.00
Change in Value	0.00
Closing Market Value	\$5,996,347.26
Cash Dividends and Income	8,946.99
CAMP Managed Account	
Opening Market Value	11,748,647.64
Purchases	0.00
Redemptions	(1,925,000.00)
Unsettled Trades	0.00
Change in Value	21,252.61
Closing Market Value	\$9,844,900.25
Cash Dividends and Income	16,735.20

Asset Summary		
	May 31, 2019	April 30, 2019
CAMP Pool	5,996,347.26	4,063,603.24
CAMP Managed Account	9,844,900.25	11,748,647.64
Total	\$15,841,247.51	\$15,812,250.88
Asset Allocation		





Managed Account Summary Statement

For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000 - (12512208)

Transaction Summary - Money Market		Transaction Summary - Managed Account		Account Total	
Opening Market Value	\$4,063,603.24	Opening Market Value	\$11,748,647.64	Opening Market Value	\$15,812,250.88
Purchases	1,933,946.99	Maturities/Calls	(1,925,000.00)		
Redemptions	(1,202.97)	Principal Dispositions	0.00		
		Principal Acquisitions	0.00		
		Unsettled Trades	0.00		
		Change in Current Value	21,252.61		
Closing Market Value	\$5,996,347.26	Closing Market Value	\$9,844,900.25	Closing Market Value	\$15,841,247.51
Dividend	8,946.99				

Earnings Reconciliation (Cash Basis) - Managed Account		Cash Balance	
Interest/Dividends/Coupons Received	0.00	Closing Cash Balance	\$0.00
Less Purchased Interest Related to Interest/Coupons	0.00		
Plus Net Realized Gains/Losses	16,735.20		
Total Cash Basis Earnings	\$16,735.20		

Earnings Reconciliation (Accrual Basis)		Managed Account	Total	Cash Transactions Summary- Managed Account	
Ending Amortized Value of Securities	9,843,624.32	15,839,971.58		Maturities/Calls	1,925,000.00
Ending Accrued Interest	61,196.66	61,196.66		Sale Proceeds	0.00
Plus Proceeds from Sales	0.00	1,202.97		Coupon/Interest/Dividend Income	0.00
Plus Proceeds of Maturities/Calls/Principal Payments	1,925,000.00	1,925,000.00		Principal Payments	0.00
Plus Coupons/Dividends Received	0.00	0.00		Security Purchases	0.00
Less Cost of New Purchases	0.00	(1,933,946.99)		Net Cash Contribution	(1,925,000.00)
Less Beginning Amortized Value of Securities	(11,762,906.27)	(15,826,509.51)		Reconciling Transactions	0.00
Less Beginning Accrued Interest	(43,471.45)	(43,471.45)			
Dividends	0.00	8,946.99			
Total Accrual Basis Earnings	\$23,443.26	\$32,390.25			



Portfolio Summary and Statistics

For the Month Ending **May 31, 2019**

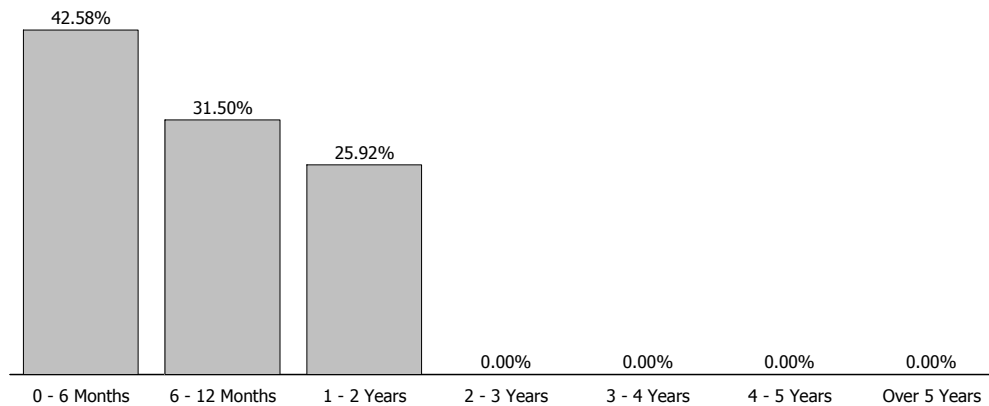
SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000 - (12512208)

Account Summary

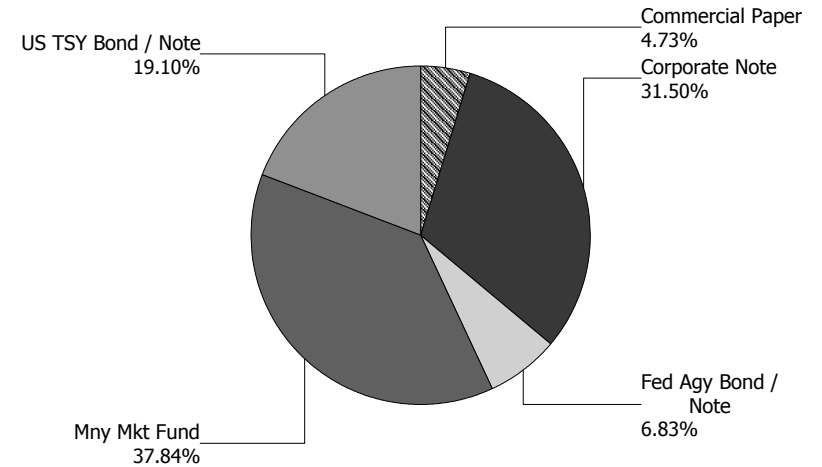
Description	Par Value	Market Value	Percent
U.S. Treasury Bond / Note	3,000,000.00	3,024,960.00	19.10
Federal Agency Bond / Note	1,090,000.00	1,081,334.50	6.83
Corporate Note	5,000,000.00	4,990,000.00	31.50
Commercial Paper	750,000.00	748,605.75	4.73
Managed Account Sub-Total	9,840,000.00	9,844,900.25	62.16%
Accrued Interest		61,196.66	
Total Portfolio	9,840,000.00	9,906,096.91	
CAMP Pool	5,996,347.26	5,996,347.26	37.84
Total Investments	15,836,347.26	15,902,444.17	100.00%

Unsettled Trades **0.00** **0.00**

Maturity Distribution



Sector Allocation



Characteristics

Yield to Maturity at Cost	2.34%
Yield to Maturity at Market	2.38%
Duration to Worst	0.84
Weighted Average Days to Maturity	315



Managed Account Issuer Summary

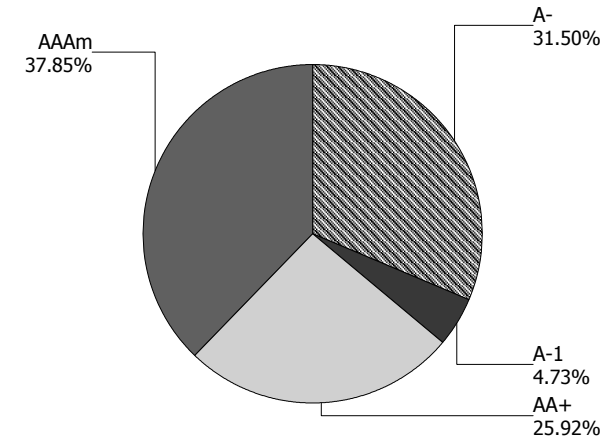
For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000 - (12512208)

Issuer Summary

Issuer	Market Value of Holdings	Percent
CAMP Pool	5,996,347.26	37.84
FANNIE MAE	1,081,334.50	6.83
JP MORGAN CHASE & CO	4,990,000.00	31.50
NATIXIS NY BRANCH	748,605.75	4.73
UNITED STATES TREASURY	3,024,960.00	19.10
Total	\$15,841,247.51	100.00%

Credit Quality (S&P Ratings)





Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000 - (12512208)

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
U.S. Treasury Bond / Note											
US TREASURY N/B DTD 10/01/2018 2.750% 09/30/2020	9128285B2	3,000,000.00	AA+	Aaa	02/28/19	02/28/19	3,008,789.06	2.56	13,975.41	3,007,428.72	3,024,960.00
Security Type Sub-Total		3,000,000.00					3,008,789.06	2.56	13,975.41	3,007,428.72	3,024,960.00
Federal Agency Bond / Note											
FNMA BENCHMARK NOTES DTD 04/27/2015 1.500% 06/22/2020	3135G0D75	1,090,000.00	AA+	Aaa	10/15/15	10/16/15	1,094,469.00	1.41	7,221.25	1,091,037.12	1,081,334.50
Security Type Sub-Total		1,090,000.00					1,094,469.00	1.41	7,221.25	1,091,037.12	1,081,334.50
Corporate Note											
JPMORGAN CHASE & CO (CALLABLE) DTD 01/23/2015 2.250% 01/23/2020	46625HKA7	5,000,000.00	A-	A2	10/15/15	10/20/15	4,978,950.00	2.35	40,000.00	4,996,694.10	4,990,000.00
Security Type Sub-Total		5,000,000.00					4,978,950.00	2.35	40,000.00	4,996,694.10	4,990,000.00
Commercial Paper											
NATIXIS NY BRANCH COMM PAPER DTD 12/10/2018 0.000% 06/28/2019	63873KTU1	750,000.00	A-1	P-1	01/10/19	01/14/19	740,615.63	2.76	0.00	748,464.38	748,605.75
Security Type Sub-Total		750,000.00					740,615.63	2.76	0.00	748,464.38	748,605.75
Managed Account Sub-Total		9,840,000.00					9,822,823.69	2.34	61,196.66	9,843,624.32	9,844,900.25
Money Market Mutual Fund											
CAMP Pool		5,996,347.26	AAA	NR			5,996,347.26		0.00	5,996,347.26	5,996,347.26
Money Market Sub-Total		5,996,347.26					5,996,347.26		0.00	5,996,347.26	5,996,347.26



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000 - (12512208)

Securities Sub-Total	\$15,836,347.26	\$15,819,170.95	2.34%	\$61,196.66	\$15,839,971.58	\$15,841,247.51
Accrued Interest						\$61,196.66
Total Investments						\$15,902,444.17


Managed Account Fair Market Value & Analytics

 For the Month Ending **May 31, 2019**
SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000 - (12512208)

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	Broker	Next Call Date	Market Price	Market Value	Unreal G/L On Cost	Unreal G/L Amort Cost	Effective Duration	Duration to Worst	YTM at Mkt
U.S. Treasury Bond / Note											
US TREASURY N/B DTD 10/01/2018 2.750% 09/30/2020	9128285B2	3,000,000.00	MORGAN_S		100.83	3,024,960.00	16,170.94	17,531.28	1.30	1.30	2.11
Security Type Sub-Total		3,000,000.00				3,024,960.00	16,170.94	17,531.28	1.30	1.30	2.11
Federal Agency Bond / Note											
FNMA BENCHMARK NOTES DTD 04/27/2015 1.500% 06/22/2020	3135G0D75	1,090,000.00	MORGANST		99.21	1,081,334.50	(13,134.50)	(9,702.62)	1.04	1.04	2.26
Security Type Sub-Total		1,090,000.00				1,081,334.50	(13,134.50)	(9,702.62)	1.04	1.04	2.26
Corporate Note											
JPMORGAN CHASE & CO (CALLABLE) DTD 01/23/2015 2.250% 01/23/2020	46625HKA7	5,000,000.00	MERRILL	12/23/19	99.80	4,990,000.00	11,050.00	(6,694.10)	0.59	0.63	2.56
Security Type Sub-Total		5,000,000.00				4,990,000.00	11,050.00	(6,694.10)	0.59	0.63	2.56
Commercial Paper											
NATIXIS NY BRANCH COMM PAPER DTD 12/10/2018 0.000% 06/28/2019	63873KTU1	750,000.00	NATIXIS_		99.81	748,605.75	7,990.12	141.37	0.08	0.08	2.39
Security Type Sub-Total		750,000.00				748,605.75	7,990.12	141.37	0.08	0.08	2.39
Managed Account Sub-Total		9,840,000.00				9,844,900.25	22,076.56	1,275.93	0.82	0.84	2.38
Money Market Mutual Fund											
CAMP Pool		5,996,347.26			1.00	5,996,347.26	0.00	0.00	0.00	0.00	
Money Market Sub-Total		5,996,347.26				5,996,347.26	0.00	0.00	0.00	0.00	
Securities Sub-Total		\$15,836,347.26				\$15,841,247.51	\$22,076.56	\$1,275.93	0.82	0.84	2.38%
Accrued Interest						\$61,196.66					
Total Investments						\$15,902,444.17					


Managed Account Security Transactions & Interest

 For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAKUES - 6033-000 - (12512208)

Transaction Type		Security Description	CUSIP	Par	Principal Proceeds	Accrued Interest	Total	Realized G/L Cost	Realized G/L Amort Cost	Sale Method
Trade	Settle									
MATURITY										
05/30/19	05/30/19	TOYOTA MOTOR CREDIT CORP COMM PAPER DTD 01/30/2019 0.000% 05/30/2019	89233HSW5	1,925,000.00	1,925,000.00	0.00	1,925,000.00	16,735.20	0.00	
Transaction Type Sub-Total				1,925,000.00	1,925,000.00	0.00	1,925,000.00	16,735.20	0.00	
Managed Account Sub-Total					1,925,000.00	0.00	1,925,000.00	16,735.20	0.00	
Total Security Transactions					\$1,925,000.00	\$0.00	\$1,925,000.00	\$16,735.20	\$0.00	



Account Statement

For the Month Ending **May 31, 2019**

SJCOG, INC. - SJCOG, INC. HABITAT ENDOWMENT - JAQUES - 6033-000

Trade Date	Settlement Date	Transaction Description	Share or Unit Price	Dollar Amount of Transaction	Total Shares Owned
CAMP Pool					
Opening Balance					4,063,603.24
05/28/19	05/28/19	IP Fees April 2019	1.00	(1,128.19)	4,062,475.05
05/28/19	05/28/19	U.S. Bank Fees March 2019	1.00	(74.78)	4,062,400.27
05/30/19	05/30/19	Purchase - Principal 89233HSW5	1.00	1,925,000.00	5,987,400.27
05/31/19	06/03/19	Accrual Income Div Reinvestment - Distributions	1.00	8,946.99	5,996,347.26
Closing Balance					5,996,347.26

	Month of May	Fiscal YTD January-May		
Opening Balance	4,063,603.24	22,711.37	Closing Balance	5,996,347.26
Purchases	1,933,946.99	11,672,013.56	Average Monthly Balance	4,187,930.18
Redemptions (Excl. Checks)	(1,202.97)	(5,698,377.67)	Monthly Distribution Yield	2.52%
Check Disbursements	0.00	0.00		
Closing Balance	5,996,347.26	5,996,347.26		
Cash Dividends and Income	8,946.99	16,176.06		



Customer Service
PO Box 11813
Harrisburg, PA 17108-1813

ACCOUNT STATEMENT

For the Month Ending
May 31, 2019

SAN JOAQUIN COUNTY TRANSIT AUTHORITY

Client Management Team

Lauren Brant

Managing Director
50 California Street, Suite 2300
San Francisco, CA 94111
415-982-5544
brantl@pfm.com

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Summary Statement
Individual Accounts

Accounts included in Statement

76990300 SAN JOAQUIN COUNTY TRANS AUTHORITY

SAN JOAQUIN COUNTY TRANSIT AUTHORITY
MR. STEVE DIAL
555 EAST WEBER AVE
STOCKTON, CA 95202

Online Access www.pfm.com

Customer Service 1-717-232-2723

**Account Statement**For the Month Ending **May 31, 2019****Important Disclosures****Important Disclosures**

This statement is for general information purposes only and is not intended to provide specific advice or recommendations. PFM Asset Management LLC ("PFM") is an investment advisor registered with the Securities and Exchange Commission, and is required to maintain a written disclosure statement of our background and business experience. If you would like to receive a copy of our current disclosure statement, please contact Service Operations at the address below.

Proxy Voting PFM does not normally receive proxies to vote on behalf of its clients. However, it does on occasion receive consent requests. In the event a consent request is received the portfolio manager contacts the client and then proceeds according to their instructions. PFM's Proxy Voting Policy is available upon request by contacting Service Operations at the address below.

Questions About an Account PFM's monthly statement is intended to detail our investment advisory activity as well as the activity of any accounts held by clients in pools that are managed by PFM. The custodian bank maintains the control of assets and executes (i.e., settles) all investment transactions. The custodian statement is the official record of security and cash holdings and transactions. PFM recognizes that clients may use these reports to facilitate record keeping and that the custodian bank statement and the PFM statement should be reconciled and differences resolved. Many custodians use a settlement date basis which may result in the need to reconcile due to a timing difference.

Account Control PFM does not have the authority to withdraw funds from or deposit funds to the custodian. Our clients retain responsibility for their internal accounting policies; implementing and enforcing internal controls and generating ledger entries or otherwise recording transactions.

Market Value Generally, PFM's market prices are derived from closing bid prices as of the last business day of the month as supplied by ICE Data Services or Bloomberg. Where prices are not available from generally recognized sources the securities are priced using a yield-based matrix system to arrive at an estimated market value. Prices that fall between data points are interpolated. Non-negotiable FDIC-insured bank certificates of deposit are priced at par. Although PFM believes the prices to be reliable, the values of the securities do not always represent the prices at which the securities could have been bought or sold. Explanation of the valuation methods for money market and TERM funds is contained in the appropriate fund information statement.

Amortized Cost The original cost of the principal of the security is adjusted for the amount of the periodic reduction of any discount or premium from the purchase date until the date of the report. Discount or premium with respect to short term securities (those with less than one year to maturity at time of issuance) is amortized on a straightline basis. Such discount or premium with respect to longer term securities is amortized using the constant yield basis.

Tax Reporting Cost data and realized gains / losses are provided for informational purposes only. Please review for accuracy and consult your tax advisor to determine the tax consequences of your security transactions. PFM does not report such information to the IRS or other taxing authorities and is not responsible for the accuracy of such information that may be required to be reported to federal, state or other taxing authorities.

Financial Situation In order to better serve you, PFM should be promptly notified of any material change in your investment objective or financial situation.

Callable Securities Securities subject to redemption prior to maturity may be redeemed in whole or in part before maturity, which could affect the yield represented.

Portfolio The securities in this portfolio, including shares of mutual funds, are not guaranteed or otherwise protected by PFM, the FDIC (except for certain non-negotiable certificates of deposit) or any government agency. Investment in securities involves risks, including the possible loss of the amount invested. Actual settlement values, accrued interest, and amortized cost amounts may vary for securities subject to an adjustable interest rate or subject to principal paydowns. Any changes to the values shown may be reflected within the next monthly statement's beginning values.

Rating Information provided for ratings is based upon a good faith inquiry of selected sources, but its accuracy and completeness cannot be guaranteed. Shares of some money market and TERM funds are marketed through representatives of PFM's wholly owned subsidiary, PFM Fund Distributors, Inc. PFM Fund Distributors, Inc. is registered with the SEC as a broker/dealer and is a member of the Financial Industry Regulatory Authority ("FINRA") and the Municipal Securities Rulemaking Board ("MSRB"). You may reach the FINRA by calling the FINRA Regulator Public Disclosure Hotline at 1-888-289-9999 or at the FINRA Regulation Internet website address www.nasd.com. A brochure describing the FINRA Regulation Public Disclosure Program is also available from the FINRA upon request.

Key Terms and Definitions

Dividends on money market funds consist of interest earned, plus any discount ratably amortized to the date of maturity, plus all realized gains and losses on the sale of securities prior to maturity, less ratably amortization of any premium and all accrued expenses to the fund. Dividends are accrued daily and may be paid either monthly or quarterly. The monthly earnings on this statement represent the estimated dividend accrued for the month for any program that distributes earnings on a quarterly basis. There is no guarantee that the estimated amount will be paid on the actual distribution date.

Current Yield is the net change, exclusive of capital changes and income other than investment income, in the value of a hypothetical fund account with a balance of one share over the seven-day base period including the statement date, expressed as a percentage of the value of one share (normally \$1.00 per share) at the beginning of the seven-day period. This resulting net change in account value is then annualized by multiplying it by

365 and dividing the result by 7. The yields quoted should not be considered a representation of the yield of the fund in the future, since the yield is not fixed.

Average maturity represents the average maturity of all securities and investments of a portfolio, determined by multiplying the par or principal value of each security or investment by its maturity (days or years), summing the products, and dividing the sum by the total principal value of the portfolio. The stated maturity date of mortgage backed or callable securities are used in this statement. However the actual maturity of these securities could vary depending on the level or prepayments on the underlying mortgages or whether a callable security has or is still able to be called.

Monthly distribution yield represents the net change in the value of one share (normally \$1.00 per share) resulting from all dividends declared during the month by a fund expressed as a percentage of the value of one share at the beginning of the month. This resulting net change is then annualized by multiplying it by 365 and dividing it by the number of calendar days in the month.

YTM at Cost The yield to maturity at cost is the expected rate of return, based on the original cost, the annual interest receipts, maturity value and the time period from purchase date to maturity, stated as a percentage, on an annualized basis.

YTM at Market The yield to maturity at market is the rate of return, based on the current market value, the annual interest receipts, maturity value and the time period remaining until maturity, stated as a percentage, on an annualized basis.

Managed Account A portfolio of investments managed discretely by PFM according to the client's specific investment policy and requirements. The investments are directly owned by the client and held by the client's custodian.

Unsettled Trade A trade which has been executed however the final consummation of the security transaction and payment has not yet taken place.

Please review the detail pages of this statement carefully. If you think your statement is wrong, missing account information, or if you need more information about a transaction, please contact PFM within 60 days of receipt. If you have other concerns or questions regarding your account you should contact a member of your client management team or PFM Service Operations at the address below.

PFM Asset Management LLC
Attn: Service Operations
213 Market Street
Harrisburg, PA 17101

**Managed Account Summary Statement**For the Month Ending **May 31, 2019****SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300****Transaction Summary - Managed Account**

Opening Market Value	\$100,105,286.29
Maturities/Calls	(323,914.74)
Principal Dispositions	(2,463,973.43)
Principal Acquisitions	2,584,555.60
Unsettled Trades	0.00
Change in Current Value	468,891.95
Closing Market Value	\$100,370,845.67

Cash Transactions Summary - Managed Account

Maturities/Calls	0.00
Sale Proceeds	2,822,523.61
Coupon/Interest/Dividend Income	150,230.02
Principal Payments	323,914.74
Security Purchases	(3,082,100.42)
Net Cash Contribution	(340.00)
Reconciling Transactions	0.00

Earnings Reconciliation (Cash Basis) - Managed Account

Interest/Dividends/Coupons Received	160,911.70
Less Purchased Interest Related to Interest/Coupons	(7,877.30)
Plus Net Realized Gains/Losses	(17,813.07)
Total Cash Basis Earnings	\$135,221.33

Cash Balance**Closing Cash Balance** **\$397,906.32****Earnings Reconciliation (Accrual Basis)****Total**

Ending Amortized Value of Securities	99,564,350.33
Ending Accrued Interest	566,560.84
Plus Proceeds from Sales	2,474,370.73
Plus Proceeds of Maturities/Calls/Principal Payments	323,914.74
Plus Coupons/Dividends Received	150,230.02
Less Cost of New Purchases	(2,592,432.90)
Less Beginning Amortized Value of Securities	(99,775,895.09)
Less Beginning Accrued Interest	(512,454.86)

Total Accrual Basis Earnings **\$198,643.81**



Portfolio Summary and Statistics

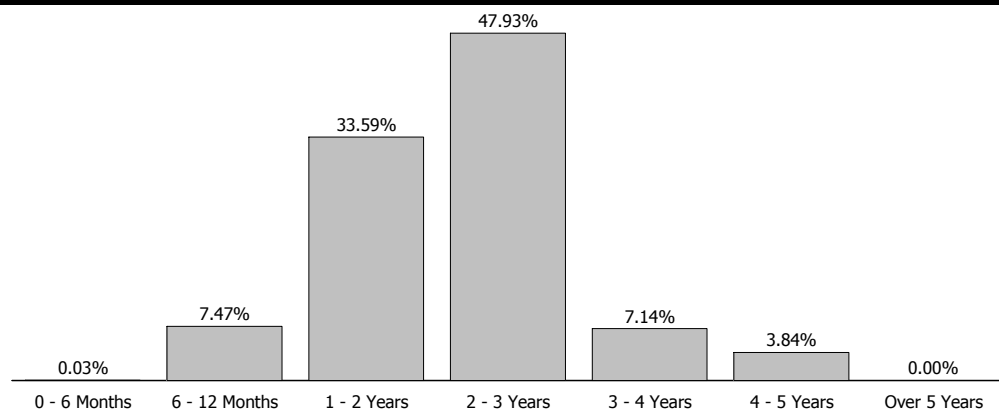
For the Month Ending **May 31, 2019**
SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Account Summary

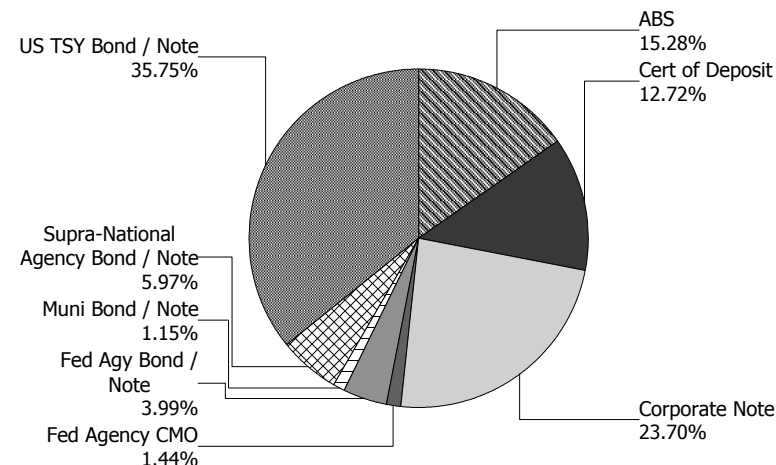
Description	Par Value	Market Value	Percent
U.S. Treasury Bond / Note	35,665,000.00	35,891,272.69	35.75
Supra-National Agency Bond / Note	5,960,000.00	5,987,191.00	5.97
Municipal Bond / Note	1,135,000.00	1,149,346.40	1.15
Federal Agency Collateralized Mortgage Obligation	1,422,759.24	1,442,774.01	1.44
Federal Agency Bond / Note	3,925,000.00	4,003,100.78	3.99
Corporate Note	23,705,000.00	23,790,028.46	23.70
Certificate of Deposit	12,725,000.00	12,766,922.03	12.72
Asset-Backed Security	15,233,177.64	15,340,210.30	15.28
Managed Account Sub-Total	99,770,936.88	100,370,845.67	100.00%
Accrued Interest		566,560.84	
Total Portfolio	99,770,936.88	100,937,406.51	

Unsettled Trades **0.00** **0.00**

Maturity Distribution



Sector Allocation



Characteristics

Yield to Maturity at Cost	2.58%
Yield to Maturity at Market	2.21%
Duration to Worst	1.84
Weighted Average Days to Maturity	792



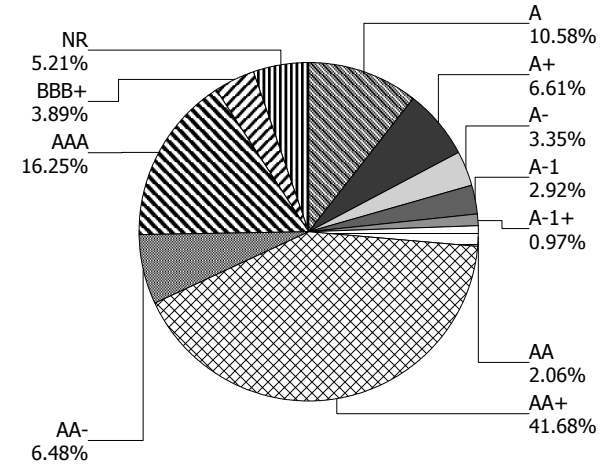
Managed Account Issuer Summary

For the Month Ending **May 31, 2019**
SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Issuer Summary

Issuer	Market Value of Holdings	Percent
3M COMPANY	551,622.64	0.55
ABBOTT LABORATORIES	479,307.78	0.48
ALLY AUTO RECEIVABLES TRUST	1,388,500.81	1.38
AMERICAN EXPRESS CO	969,722.33	0.97
AMERICAN HONDA FINANCE	1,083,604.73	1.08
BANK OF AMERICA CO	1,468,961.55	1.46
BANK OF MONTREAL	979,013.10	0.98
BANK OF NOVA SCOTIA	981,085.95	0.98
BB&T CORPORATION	988,399.43	0.98
BMW FINANCIAL SERVICES NA LLC	202,365.00	0.20
BOEING COMPANY	476,209.51	0.47
CALIFORNIA ST	1,149,346.40	1.15
CANADIAN IMPERIAL BANK OF COMMERCE	977,281.50	0.97
CAPITAL ONE PRIME AUTO REC TRUST	282,143.60	0.28
CARMAX AUTO OWNER TRUST	1,180,981.83	1.18
CATERPILLAR INC	998,766.18	1.00
CHARLES SCHWAB	472,314.45	0.47
CITIGROUP INC	1,454,578.19	1.45
CREDIT AGRICOLE SA	975,075.08	0.97
CREDIT SUISSE GROUP	976,052.03	0.97
DEERE & COMPANY	1,441,487.51	1.44
EXXON MOBIL CORP	501,252.50	0.50
FANNIE MAE	2,544,788.26	2.53
FEDERAL HOME LOAN BANKS	1,996,107.75	1.99
FIFTH THIRD AUTO TRUST	348,362.96	0.35
FORD CREDIT AUTO LEASE TRUST	419,457.89	0.42
FORD CREDIT AUTO OWNER TRUST	1,340,167.24	1.34
FREDDIE MAC	904,978.78	0.90
GENERAL DYNAMICS CORP	586,884.29	0.58
GM FINANCIAL AUTO LEASING TRUST	307,718.50	0.31
GM FINANCIAL SECURITIZED TERM	989,469.68	0.99
GOLDMAN SACHS GROUP INC	501,723.50	0.50

Credit Quality (S&P Ratings)





Managed Account Issuer Summary

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Issuer	Market Value of Holdings	Percent
HERSHEY COMPANY	375,661.00	0.37
HOME DEPOT INC	466,756.61	0.47
HONDA AUTO RECEIVABLES	983,950.38	0.98
HSBC HOLDINGS PLC	349,055.35	0.35
HYUNDAI AUTO RECEIVABLES	974,386.49	0.97
IBM CORP	498,252.50	0.50
INTEL CORPORATION	497,074.50	0.50
INTER-AMERICAN DEVELOPMENT BANK	2,092,051.93	2.08
INTERNATIONAL FINANCE CORPORATION	978,103.43	0.97
INTL BANK OF RECONSTRUCTION AND DEV	2,917,035.64	2.90
JOHN DEERE OWNER TRUST	570,488.87	0.57
JOHNSON & JOHNSON	209,132.28	0.21
JP MORGAN CHASE & CO	758,775.75	0.76
MERCEDES-BENZ AUTO LEASE TRUST	934,159.35	0.93
MERCEDES-BENZ AUTO RECEIVABLES	627,684.78	0.63
MERCK & CO INC	475,995.60	0.47
MITSUBISHI UFJ FINANCIAL GROUP INC	984,155.84	0.98
MORGAN STANLEY	973,523.48	0.97
NATIONAL RURAL UTILITIES CO FINANCE CORP	408,791.61	0.41
NISSAN AUTO LEASE TRUST	369,264.44	0.37
NISSAN AUTO RECEIVABLES	935,222.00	0.93
NORDEA BANK AB	976,999.73	0.97
PACCAR FINANCIAL CORP	1,054,847.35	1.05
PFIZER INC	903,924.46	0.90
ROYAL BANK OF CANADA	1,242,764.95	1.24
SUMITOMO MITSUI FINANCIAL GROUP INC	987,103.65	0.98
SWEDBANK AB	967,962.45	0.96
THE BANK OF NEW YORK MELLON CORPORATION	951,161.65	0.95
THE WALT DISNEY CORPORATION	1,129,399.80	1.13
TOYOTA MOTOR CORP	2,380,226.96	2.36
UBS AG	977,778.75	0.97
UNILEVER PLC	979,563.98	0.98
UNITED PARCEL SERVICE INC	577,206.14	0.58



Managed Account Issuer Summary

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Issuer	Market Value of Holdings	Percent
UNITED STATES TREASURY	35,891,272.69	35.75
VISA INC	249,546.25	0.25
VOLKSWAGEN OF AMERICA	727,298.93	0.72
WAL-MART STORES INC	686,345.40	0.68
WELLS FARGO & COMPANY	648,540.75	0.65
WESTPAC BANKING CORP	1,741,649.00	1.74
Total	\$100,370,845.67	100.00%



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
U.S. Treasury Bond / Note											
US TREASURY NOTES DTD 08/31/2015 1.375% 08/31/2020	912828L32	1,795,000.00	AA+	Aaa	08/31/17	09/01/17	1,791,564.25	1.44	6,237.38	1,793,552.87	1,778,311.89
US TREASURY NOTES DTD 11/30/2015 1.625% 11/30/2020	912828M98	1,245,000.00	AA+	Aaa	11/01/17	11/03/17	1,239,601.76	1.77	55.28	1,242,336.71	1,236,878.87
US TREASURY NOTES DTD 12/31/2015 1.750% 12/31/2020	912828N48	4,250,000.00	AA+	Aaa	12/01/17	12/05/17	4,229,746.09	1.91	31,229.28	4,239,443.34	4,231,074.75
US TREASURY NOTES DTD 01/31/2016 1.375% 01/31/2021	912828N89	1,900,000.00	AA+	Aaa	01/02/18	01/04/18	1,862,000.00	2.05	8,732.39	1,879,120.48	1,879,886.60
US TREASURY NOTES DTD 06/02/2014 2.000% 05/31/2021	912828WN6	3,850,000.00	AA+	Aaa	06/04/18	06/06/18	3,781,572.27	2.62	210.38	3,803,613.24	3,852,856.70
US TREASURY NOTES DTD 08/15/2018 2.750% 08/15/2021	9128284W7	800,000.00	AA+	Aaa	10/02/18	10/04/18	797,031.25	2.89	6,441.99	797,703.82	813,844.00
US TREASURY NOTES DTD 08/15/2018 2.750% 08/15/2021	9128284W7	2,700,000.00	AA+	Aaa	09/05/18	09/07/18	2,702,214.84	2.72	21,741.71	2,701,700.68	2,746,723.50
UNITED STATES TREASURY NOTES DTD 10/15/2018 2.875% 10/15/2021	9128285F3	1,950,000.00	AA+	Aaa	12/11/18	12/12/18	1,955,560.55	2.77	7,199.28	1,954,705.90	1,992,428.10
US TREASURY NOTES DTD 01/15/2019 2.500% 01/15/2022	9128285V8	2,200,000.00	AA+	Aaa	02/08/19	02/11/19	2,204,382.81	2.43	20,814.92	2,203,954.08	2,232,139.80
US TREASURY NOTES DTD 01/15/2019 2.500% 01/15/2022	9128285V8	4,000,000.00	AA+	Aaa	01/29/19	01/31/19	3,994,218.75	2.55	37,845.30	3,994,867.88	4,058,436.00
US TREASURY NOTES DTD 01/31/2017 1.875% 01/31/2022	912828V72	4,200,000.00	AA+	Aaa	01/07/19	01/09/19	4,123,546.88	2.50	26,322.51	4,133,109.16	4,194,750.00
US TREASURY NOTES DTD 02/15/2019 2.500% 02/15/2022	9128286C9	1,350,000.00	AA+	Aaa	04/01/19	04/03/19	1,357,857.42	2.29	9,882.60	1,357,430.93	1,370,883.15
US TREASURY NOTES DTD 02/15/2019 2.500% 02/15/2022	9128286C9	4,425,000.00	AA+	Aaa	03/01/19	03/05/19	4,420,160.16	2.54	32,392.96	4,420,560.84	4,493,450.33
UNITED STATES TREASURY NOTES DTD 04/15/2019 2.250% 04/15/2022	9128286M7	1,000,000.00	AA+	Aaa	05/01/19	05/03/19	1,000,703.13	2.23	2,889.34	1,000,685.59	1,009,609.00



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Security Type Sub-Total		35,665,000.00					35,460,160.16	2.37	211,995.32	35,522,785.52	35,891,272.69
Supra-National Agency Bond / Note											
INTL BANK OF RECON AND DEV GLOBAL NOTES DTD 08/29/2017 1.625% 09/04/2020	459058GA5	475,000.00	AAA	Aaa	08/22/17	08/29/17	474,900.25	1.63	1,865.36	474,957.60	471,860.25
INTL BANK OF RECONSTRUCTION AND DEV NOTE DTD 09/19/2017 1.561% 09/12/2020	45905UP32	975,000.00	AAA	Aaa	09/12/17	09/19/17	972,660.00	1.64	3,339.89	973,980.54	967,665.08
INTER-AMERICAN DEVELOPMENT BANK DTD 11/08/2013 2.125% 11/09/2020	4581X0CD8	965,000.00	AAA	Aaa	10/02/17	10/10/17	973,944.69	1.81	1,253.16	969,242.18	965,617.60
INTERNATIONAL FINANCE CORPORATION NOTE DTD 03/16/2018 2.635% 03/09/2021	45950VLO7	975,000.00	AAA	Aaa	03/09/18	03/16/18	974,268.75	2.66	5,851.90	974,556.58	978,103.43
INTER-AMERICAN DEVELOPMENT BANK NOTE DTD 04/19/2018 2.625% 04/19/2021	4581X0DB1	1,115,000.00	AAA	Aaa	04/12/18	04/19/18	1,112,547.00	2.70	3,414.69	1,113,437.55	1,126,434.33
INTL BANK OF RECONSTRUCTION AND DEV NOTE DTD 07/25/2018 2.750% 07/23/2021	459058GH0	1,455,000.00	AAA	Aaa	07/18/18	07/25/18	1,451,595.30	2.83	14,226.67	1,452,532.49	1,477,510.31
Security Type Sub-Total		5,960,000.00					5,959,915.99	2.33	29,951.67	5,958,706.94	5,987,191.00
Municipal Bond / Note											
CA ST TXBL GO BONDS DTD 04/25/2018 2.800% 04/01/2021	13063DGA0	1,135,000.00	AA-	Aa3	04/18/18	04/25/18	1,135,045.40	2.80	5,296.67	1,135,020.78	1,149,346.40
Security Type Sub-Total		1,135,000.00					1,135,045.40	2.80	5,296.67	1,135,020.78	1,149,346.40
Federal Agency Collateralized Mortgage Obligation											
FANNIE MAE SERIES 2015-M13 ASQ2 DTD 10/01/2015 1.646% 09/01/2019	3136AOD00	28,571.40	AA+	Aaa	10/07/15	10/30/15	28,857.51	1.08	39.19	28,571.40	28,487.23



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Federal Agency Collateralized Mortgage Obligation											
FNA 2018-M5 A2 DTD 04/01/2018 3.560% 09/25/2021	3136B1XP4	500,876.74	AA+	Aaa	04/11/18	04/30/18	510,839.68	2.27	1,485.93	507,616.93	509,308.00
FHLMC MULTIFAMILY STRUCTURED P DTD 11/01/2015 2.716% 06/25/2022	3137BLUR7	475,000.00	AA+	Aaa	03/13/19	03/18/19	474,409.04	2.68	1,075.08	474,409.04	480,851.57
FHMS KP05 A DTD 12/01/2018 3.203% 07/01/2023	3137FKK39	418,311.10	AA+	Aaa	12/07/18	12/17/18	418,309.84	3.11	1,116.54	418,309.85	424,127.21
Security Type Sub-Total		1,422,759.24					1,432,416.07	2.63	3,716.74	1,428,907.22	1,442,774.01
Federal Agency Bond / Note											
FEDERAL HOME LOAN BANKS NOTES DTD 10/12/2018 3.000% 10/12/2021	3130AF5B9	1,950,000.00	AA+	Aaa	11/02/18	11/06/18	1,948,869.00	3.02	7,962.50	1,949,101.67	1,996,107.75
FANNIE MAE NOTES DTD 01/11/2019 2.625% 01/11/2022	3135G0U92	975,000.00	AA+	Aaa	01/29/19	01/31/19	975,253.50	2.62	9,953.13	975,230.93	990,794.03
FANNIE MAE NOTES DTD 01/11/2019 2.625% 01/11/2022	3135G0U92	1,000,000.00	AA+	Aaa	01/09/19	01/11/19	999,280.00	2.65	10,208.33	999,370.29	1,016,199.00
Security Type Sub-Total		3,925,000.00					3,923,402.50	2.83	28,123.96	3,923,702.89	4,003,100.78
Corporate Note											
IBM CORP NOTES DTD 01/27/2017 1.900% 01/27/2020	459200JN2	500,000.00	A	A1	01/24/17	01/27/17	499,520.00	1.93	3,272.22	499,892.82	498,252.50
WELLS FARGO & CO CORP BONDS DTD 02/02/2015 2.150% 01/30/2020	94974BGF1	650,000.00	A-	A2	01/09/17	01/12/17	647,881.00	2.26	4,697.15	649,527.54	648,540.75
WALT DISNEY COMPANY CORP NOTES DTD 03/06/2017 1.950% 03/04/2020	25468PDP8	185,000.00	A	A2	03/01/17	03/06/17	184,951.90	1.96	871.81	184,987.54	184,295.15
HSBC USA INC NOTES DTD 03/05/2015 2.350% 03/05/2020	40428HPR7	350,000.00	A	A2	03/27/18	03/29/18	345,541.00	3.03	1,964.86	348,217.17	349,055.35
TOYOTA MOTOR CREDIT CORP DTD 04/17/2017 1.950% 04/17/2020	89236TDU6	295,000.00	AA-	Aa3	04/11/17	04/17/17	294,864.30	1.97	703.08	294,959.49	293,602.88



Managed Account Detail of Securities Held

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Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Corporate Note											
TOYOTA MOTOR CREDIT CORP DTD 04/17/2017 1.950% 04/17/2020	89236TDU6	305,000.00	AA-	Aa3	04/12/17	04/17/17	305,091.50	1.94	726.92	305,027.31	303,555.52
UNILEVER CAPITAL CORP BONDS DTD 05/05/2017 1.800% 05/05/2020	904764AV9	225,000.00	A+	A1	05/02/17	05/05/17	224,282.25	1.91	292.50	224,773.71	223,764.98
INTEL CORP NOTES DTD 05/11/2017 1.850% 05/11/2020	458140AZ3	500,000.00	A+	A1	05/08/17	05/11/17	499,810.00	1.86	513.89	499,939.06	497,074.50
GENERAL DYNAMICS CORP DTD 05/11/2018 2.875% 05/11/2020	369550BA5	585,000.00	A+	A2	05/08/18	05/11/18	582,929.10	3.06	934.38	584,006.79	586,884.29
HOME DEPOT INC CORP NOTES DTD 06/05/2017 1.800% 06/05/2020	437076BO4	175,000.00	A	A2	05/24/17	06/05/17	174,898.50	1.82	1,540.00	174,965.18	173,782.88
WALT DISNEY COMPANY CORP NOTES DTD 06/06/2017 1.800% 06/05/2020	25468PDU7	950,000.00	A	A2	06/01/17	06/06/17	948,898.00	1.84	8,360.00	949,621.41	945,104.65
JOHN DEERE CAPITAL CORP NOTES DTD 06/22/2017 1.950% 06/22/2020	24422ETS8	200,000.00	A	A2	06/19/17	06/22/17	199,878.00	1.97	1,722.50	199,956.15	198,942.00
AMERICAN HONDA FINANCE CORP NOTES DTD 07/20/2017 1.950% 07/20/2020	02665WBT7	105,000.00	A	A2	07/17/17	07/20/17	104,893.95	1.98	745.06	104,959.12	104,435.63
BNY MELLON CORP NOTE (CALLABLE) DTD 08/17/2015 2.600% 08/17/2020	06406HDD8	450,000.00	A	A1	02/16/18	02/21/18	447,790.50	2.81	3,380.00	448,906.89	450,804.15
CATERPILLAR FINL SERVICE NOTE DTD 09/07/2017 1.850% 09/04/2020	14913O2A6	730,000.00	A	A3	09/05/17	09/07/17	729,386.80	1.88	3,263.71	729,737.79	724,992.93
CITIGROUP INC CORP NOTES DTD 10/26/2015 2.650% 10/26/2020	172967KB6	525,000.00	BBB+	A3	09/22/17	09/26/17	530,838.00	2.27	1,352.60	527,708.23	525,964.95
AMERICAN EXPRESS CO CORP (CALLABLE) NOTE DTD 10/30/2017 2.200% 10/30/2020	025816BP3	975,000.00	BBB+	A3	10/23/17	10/30/17	973,732.50	2.25	1,847.08	974,392.21	969,722.33
JOHNSON & JOHNSON CORP NOTE DTD 11/10/2017 1.950% 11/10/2020	478160CH5	210,000.00	AAA	Aaa	11/08/17	11/10/17	209,775.30	1.99	238.88	209,890.37	209,132.28
VISA INC (CALLABLE) CORP NOTES DTD 12/14/2015 2.200% 12/14/2020	92826CAB8	250,000.00	AA-	Aa3	08/25/17	08/30/17	252,750.00	1.85	2,551.39	251,268.63	249,546.25



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Corporate Note											
JOHN DEERE CAPITAL CORP NOTES DTD 01/08/2018 2.350% 01/08/2021	24422ETZ2	360,000.00	A	A2	01/03/18	01/08/18	359,812.80	2.37	3,360.50	359,898.37	360,032.76
AMERICAN HONDA FINANCE DTD 02/15/2018 2.650% 02/12/2021	02665WCD1	975,000.00	A	A2	02/12/18	02/15/18	973,635.00	2.70	7,823.02	974,211.75	979,169.10
PACCAR FINANCIAL CORP NOTES DTD 02/27/2018 2.800% 03/01/2021	69371RN93	330,000.00	A+	A1	02/22/18	02/27/18	329,838.30	2.82	2,310.00	329,904.00	332,202.75
JOHN DEERE CAPITAL CORP NOTES DTD 03/13/2018 2.875% 03/12/2021	24422EUD9	875,000.00	A	A2	03/08/18	03/13/18	874,405.00	2.90	5,520.40	874,640.24	882,512.75
NATIONAL RURAL UTIL COOP NOTE DTD 02/26/2018 2.900% 03/15/2021	63743HER9	405,000.00	A	A2	02/21/18	02/26/18	404,550.45	2.94	2,479.50	404,729.45	408,791.61
UNILEVER CAPITAL CORP NOTES DTD 03/22/2018 2.750% 03/22/2021	904764AZ0	750,000.00	A+	A1	03/19/18	03/22/18	746,167.50	2.93	3,953.13	747,651.05	755,799.00
UNITED PARCEL SERVICE CORPORATE BOND DTD 11/14/2017 2.050% 04/01/2021	911312BP0	580,000.00	A+	A1	11/09/17	11/14/17	579,083.60	2.10	1,981.67	579,492.07	577,206.14
BANK OF NEW YORK MELLON CORP (CALLABLE) DTD 02/19/2016 2.500% 04/15/2021	06406FAA1	500,000.00	A	A1	02/14/18	02/16/18	493,495.00	2.93	1,597.22	496,085.98	500,357.50
MORGAN STANLEY CORP NOTES DTD 04/21/2016 2.500% 04/21/2021	61746BEA0	500,000.00	BBB+	A3	02/13/18	02/15/18	491,600.00	3.06	1,388.89	494,926.53	498,760.50
HERSHEY COMPANY CORP NOTES DTD 05/10/2018 3.100% 05/15/2021	427866BA5	370,000.00	A	A1	05/03/18	05/10/18	369,744.70	3.12	509.78	369,830.88	375,661.00
CHARLES SCHWAB CORP NOTES DTD 05/22/2018 3.250% 05/21/2021	808513AW5	465,000.00	A	A2	05/17/18	05/22/18	464,986.05	3.25	419.79	464,990.45	472,314.45
WAL-MART STORES INC CORP NOTES DTD 06/27/2018 3.125% 06/23/2021	931142EJ8	675,000.00	AA	Aa2	06/20/18	06/27/18	674,966.25	3.13	9,257.81	674,975.17	686,345.40
CATERPILLAR FINANCIAL SERVICES CORP CORP DTD 09/07/2018 3.150% 09/07/2021	14913Q2N8	270,000.00	A	A3	09/04/18	09/07/18	269,792.10	3.18	1,984.50	269,841.19	273,773.25



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Corporate Note											
3M COMPANY DTD 09/14/2018 3.000% 09/14/2021	88579YBA8	240,000.00	AA-	A1	09/11/18	09/14/18	239,508.00	3.07	1,540.00	239,621.18	243,953.28
PFIZER INC CORP NOTE DTD 09/07/2018 3.000% 09/15/2021	717081EM1	605,000.00	AA	A1	09/04/18	09/07/18	604,183.25	3.05	3,831.67	604,372.65	614,797.37
BANK OF AMERICA CORP (CALLABLE) DTD 09/18/2017 2.328% 10/01/2021	06051GGS2	370,000.00	A-	A2	09/22/17	09/26/17	369,408.00	2.37	1,435.60	369,648.80	368,309.10
BANK OF AMERICA CORP (CALLABLE) DTD 09/18/2017 2.328% 10/01/2021	06051GGS2	605,000.00	A-	A2	09/13/17	09/18/17	605,000.00	2.33	2,347.40	605,000.00	602,235.15
BOEING COMPANY NOTE DTD 10/31/2014 2.350% 10/30/2021	097023BG9	330,000.00	A	A2	05/21/19	05/23/19	326,614.20	2.79	667.79	326,644.36	330,167.97
ABBOTT LABORATORIES CORP NOTES DTD 11/22/2016 2.900% 11/30/2021	002824BD1	475,000.00	BBB+	A3	05/10/19	05/14/19	477,565.00	2.68	38.26	477,522.59	479,307.78
CITIGROUP INC CORP (CALLABLE) NOTE DTD 12/08/2016 2.900% 12/08/2021	172967LC3	450,000.00	BBB+	A3	01/15/19	01/17/19	441,814.50	3.57	6,271.25	442,830.26	451,511.55
MERCK & CO INC CORP NOTES DTD 02/10/2015 2.350% 02/10/2022	58933YAO8	475,000.00	AA	A1	01/14/19	01/16/19	466,174.50	2.99	3,441.77	467,217.78	475,995.60
PACCAR FINANCIAL CORP NOTE DTD 03/01/2019 2.850% 03/01/2022	69371RP75	215,000.00	A+	A1	02/22/19	03/01/19	214,810.80	2.88	1,531.88	214,826.01	217,845.10
HOME DEPOT INC DTD 12/06/2018 3.250% 03/01/2022	437076BV3	285,000.00	A	A2	11/27/18	12/06/18	284,219.10	3.34	2,315.63	284,323.24	292,973.73
3M COMPANY BONDS DTD 02/22/2019 2.750% 03/01/2022	88579YBF7	305,000.00	AA-	A1	02/12/19	02/22/19	304,856.65	2.77	2,306.56	304,869.89	307,669.36
EXXON MOBIL CORP (CALLABLE) NOTE DTD 03/06/2015 2.397% 03/06/2022	30231GAJ1	500,000.00	AA+	Aaa	11/26/18	11/28/18	484,820.00	3.38	2,829.79	487,085.50	501,252.50
PFIZER INC CORP BONDS DTD 03/11/2019 2.800% 03/11/2022	717081ER0	285,000.00	AA	A1	03/04/19	03/11/19	284,982.90	2.80	1,773.33	284,984.12	289,127.09
GOLDMAN SACHS GROUP INC (CALLABLE) NOTE DTD 01/26/2017 3.000% 04/26/2022	38141GWC4	500,000.00	BBB+	A3	02/13/19	02/15/19	494,510.00	3.36	1,458.33	495,006.19	501,723.50



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Corporate Note											
BOEING CO CORP NOTE DTD 05/02/2019 2.700% 05/01/2022	097023CG8	145,000.00	A	A2	04/30/19	05/02/19	144,743.35	2.76	315.38	144,750.00	146,041.54
PACCAR FINANCIAL CORP CORP NOTES DTD 05/10/2019 2.650% 05/10/2022	69371RP83	500,000.00	A+	A1	05/03/19	05/10/19	499,730.00	2.67	772.92	499,735.08	504,799.50
MORGAN STANLEY CORP NOTES DTD 05/19/2017 2.750% 05/19/2022	61744YAH1	475,000.00	BBB+	A3	04/05/19	04/09/19	471,850.75	2.97	435.42	471,998.85	474,762.98
BRANCH BANKING & TRUST CORP NOTES DTD 03/18/2019 3.050% 06/20/2022	05531FBG7	975,000.00	A-	A2	03/11/19	03/18/19	974,970.75	3.05	6,030.10	974,970.75	988,399.43
JPMORGAN CHASE & CO BONDS DTD 03/22/2019 3.207% 04/01/2023	46647PBB1	750,000.00	A-	A2	03/15/19	03/22/19	750,000.00	3.21	4,610.06	750,000.00	758,775.75
Security Type Sub-Total		23,705,000.00					23,629,551.10	2.67	125,517.38	23,649,321.79	23,790,028.46
Certificate of Deposit											
CREDIT SUISSE NEW YORK CERT DEPOS DTD 02/08/2018 2.670% 02/07/2020	22549LFR1	975,000.00	A-1	P-1	02/07/18	02/08/18	975,000.00	2.67	34,203.81	975,000.00	976,052.03
NORDEA BANK AB NY CD DTD 02/22/2018 2.720% 02/20/2020	65590ASN7	975,000.00	A-1+	P-1	02/20/18	02/22/18	975,000.00	2.72	7,440.33	975,000.00	976,999.73
UBS AG STAMFORD CT LT CD DTD 03/06/2018 2.900% 03/02/2020	90275DHG8	975,000.00	A-1	P-1	03/02/18	03/06/18	975,000.00	2.93	6,990.21	975,000.00	977,778.75
CANADIAN IMP BK COMM NY FLT CERT DEPOS DTD 04/10/2018 2.984% 04/10/2020	13606BVF0	975,000.00	A-1	P-1	04/06/18	04/10/18	975,000.00	2.78	4,202.47	975,000.00	977,281.50
BANK OF NOVA SCOTIA HOUSTON CD DTD 06/07/2018 3.080% 06/05/2020	06417GU22	975,000.00	A+	Aa2	06/05/18	06/07/18	974,629.50	3.10	14,681.33	974,808.71	981,085.95
BANK OF MONTREAL CHICAGO CERT DEPOS DTD 08/03/2018 3.190% 08/03/2020	06370REU9	975,000.00	A+	Aa2	08/01/18	08/03/18	975,000.00	3.23	26,091.54	975,000.00	979,013.10
WESTPAC BANKING CORP NY CD DTD 08/07/2017 2.050% 08/03/2020	96121T4A3	1,750,000.00	AA-	Aa3	08/03/17	08/07/17	1,750,000.00	2.05	11,360.42	1,750,000.00	1,741,649.00



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Certificate of Deposit											
SUMITOMO MITSUI BANK NY CERT DEPOS DTD 10/18/2018 3.390% 10/16/2020	86565BPC9	975,000.00	A	A1	10/16/18	10/18/18	973,674.00	3.46	4,223.38	974,808.82	987,103.65
SWEDBANK (NEW YORK) CERT DEPOS DTD 11/17/2017 2.270% 11/16/2020	87019U6D6	975,000.00	AA-	Aa2	11/16/17	11/17/17	975,000.00	2.30	983.67	975,000.00	967,962.45
MUFG BANK LTD/NY CERT DEPOS DTD 02/28/2019 2.970% 02/26/2021	55379WZT6	975,000.00	A	A1	02/27/19	02/28/19	975,000.00	2.99	7,480.69	975,000.00	984,155.84
CREDIT AGRICOLE CIB NY CERT DEPOS DTD 04/04/2019 2.830% 04/02/2021	22535CDU2	975,000.00	A+	A1	04/03/19	04/04/19	975,000.00	2.85	4,445.46	975,000.00	975,075.08
ROYAL BANK OF CANADA NY CD DTD 06/08/2018 3.240% 06/07/2021	78012UEE1	1,225,000.00	AA-	Aa2	06/07/18	06/08/18	1,225,000.00	3.24	19,183.50	1,225,000.00	1,242,764.95
Security Type Sub-Total		12,725,000.00					12,723,303.50	2.82	141,286.81	12,724,617.53	12,766,922.03
Asset-Backed Security											
TOYOTA ABS 2016-C A3 DTD 08/10/2016 1.140% 08/15/2020	89237WAD9	56,769.69	AAA	Aaa	08/01/16	08/10/16	56,768.17	1.14	28.76	56,769.32	56,626.57
HYUNDAI ABS 2016-A A3 DTD 03/30/2016 1.560% 09/15/2020	44930UAD8	33,812.27	AAA	Aaa	03/22/16	03/30/16	33,805.71	1.57	23.44	33,810.71	33,780.01
NISSAN ABS 2016-B A3 DTD 04/27/2016 1.320% 01/15/2021	65478VAD9	67,287.49	NR	Aaa	04/18/16	04/27/16	67,277.05	1.33	39.48	67,284.46	67,058.78
TOYOTA ABS 2017-A A3 DTD 03/15/2017 1.730% 02/15/2021	89238MAD0	132,513.07	AAA	Aaa	03/07/17	03/15/17	132,497.48	1.74	101.89	132,506.05	132,089.35
JOHN DEERE ABS 2017-A A3 DTD 03/02/2017 1.780% 04/15/2021	47787XAC1	100,223.54	NR	Aaa	02/22/17	03/02/17	100,209.27	1.79	79.29	100,215.79	99,923.99
HYUNDAI ABS 2016-B A3 DTD 09/21/2016 1.290% 04/15/2021	44891EAC3	234,567.86	AAA	Aaa	09/14/16	09/21/16	234,536.29	1.30	134.49	234,556.60	233,375.81
FORD ABS 2017-A A3 DTD 01/25/2017 1.670% 06/15/2021	34531EAD8	388,597.57	NR	Aaa	01/18/17	01/25/17	388,596.14	1.67	288.43	388,597.02	387,048.11
GMALT 2018-3 A3 DTD 09/26/2018 3.180% 06/20/2021	36256GAD1	305,000.00	AAA	Aaa	09/18/18	09/26/18	304,975.91	3.19	296.36	304,981.69	307,718.50



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

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Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Asset-Backed Security											
TOYOTA ABS 2017-B A3 DTD 05/17/2017 1.760% 07/15/2021	89190BAD0	356,580.59	AAA	Aaa	05/09/17	05/17/17	356,553.24	1.76	278.93	356,566.29	355,220.52
BMWLT 2018-1 A3 DTD 10/17/2018 3.260% 07/20/2021	05586CAC8	200,000.00	AAA	Aaa	10/10/18	10/17/18	199,972.20	3.27	199.22	199,978.33	202,365.00
HYUNDAI ABS 2017-A A3 DTD 03/29/2017 1.760% 08/15/2021	44931PAD8	299,474.91	AAA	NR	03/22/17	03/29/17	299,450.69	1.76	234.26	299,456.91	298,301.00
NISSAN ABS 2017-A A3 DTD 03/28/2017 1.740% 08/15/2021	654747AD6	371,963.29	NR	Aaa	03/21/17	03/28/17	371,923.90	1.74	287.65	371,940.78	370,512.67
ALLY ABS 2017-2 A3 DTD 03/29/2017 1.780% 08/15/2021	02007HAC5	435,731.89	NR	Aaa	03/21/17	03/29/17	435,680.52	1.79	344.71	435,707.38	434,255.28
NISSAN AUTO LEASE TRUST DTD 10/24/2018 3.250% 09/15/2021	65478BAD3	365,000.00	AAA	Aaa	10/16/18	10/24/18	364,968.10	3.26	527.22	364,974.50	369,264.44
MBALT 2018-B A3 DTD 11/20/2018 3.210% 09/15/2021	58769LAC6	925,000.00	AAA	NR	11/15/18	11/20/18	924,979.28	3.51	1,319.67	924,979.28	934,159.35
HAROT 2017-3 A3 DTD 09/29/2017 1.790% 09/18/2021	43814PAC4	234,589.98	AAA	NR	09/25/17	09/29/17	234,564.58	1.94	151.64	234,574.91	233,688.00
JOHN DEERE ABS 2017-B A3 DTD 07/15/2017 1.820% 10/15/2021	47788BAD6	241,065.49	NR	Aaa	07/11/17	07/18/17	241,047.85	1.82	195.00	241,054.83	240,038.48
NISSAN ABS 2017-B A3 DTD 08/23/2017 1.750% 10/15/2021	65478GAD2	500,000.00	NR	Aaa	08/16/17	08/23/17	499,972.05	1.75	388.89	499,983.66	497,650.55
FORDL 2018-B A3 DTD 09/21/2018 3.190% 12/15/2021	34531LAD2	415,000.00	NR	Aaa	09/18/18	09/21/18	414,964.93	3.41	588.38	414,972.22	419,457.89
HAROT 2018-1 A3 DTD 02/28/2018 2.640% 02/15/2022	43814UAC3	430,000.00	AAA	Aaa	02/22/18	02/28/18	429,944.40	2.65	504.53	429,961.32	431,402.70
FORDO 2017-C A3 DTD 11/21/2017 2.010% 03/15/2022	34532AAD5	475,000.00	AAA	NR	11/14/17	11/21/17	474,914.36	2.02	424.33	474,943.67	473,627.96
JDOT 2018-A A3 DTD 02/28/2018 2.660% 04/15/2022	47788CAC6	230,000.00	NR	Aaa	02/21/18	02/28/18	229,983.46	2.66	271.91	229,987.97	230,526.40



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Asset-Backed Security											
HAROT 2018-2 A3 DTD 05/30/2018 3.010% 05/18/2022	43814UAG4	165,000.00	AAA	NR	05/22/18	05/30/18	164,996.40	3.01	179.35	164,997.35	166,776.13
BANK OF AMERICA ABS 2017-A1 A1 DTD 03/30/2017 1.950% 08/15/2022	05522RCW6	500,000.00	NR	Aaa	06/11/18	06/13/18	492,070.31	2.73	433.33	493,726.94	498,417.30
TAOT 2018-B A3 DTD 05/16/2018 2.960% 09/15/2022	89238TAD5	825,000.00	AAA	Aaa	05/09/18	05/16/18	824,987.71	2.96	1,085.33	824,990.62	832,851.44
FORDO 2018-A A3 DTD 05/22/2018 3.030% 11/15/2022	34528FAD0	475,000.00	AAA	NR	05/15/18	05/22/18	474,923.19	3.04	639.67	474,940.10	479,491.17
ALLYA 2018-2 A3 DTD 04/30/2018 2.920% 11/15/2022	02004VAC7	695,000.00	NR	Aaa	04/24/18	04/30/18	694,873.79	2.93	901.96	694,902.48	700,632.63
MBART 2018-1 A3 DTD 07/25/2018 3.030% 01/15/2023	58772RAD6	620,000.00	AAA	Aaa	07/17/18	07/25/18	619,976.19	3.03	834.93	619,980.80	627,684.78
CCCIT 2018-A1 A1 DTD 01/31/2018 2.490% 01/20/2023	17305EGK5	475,000.00	NR	Aaa	08/21/18	08/23/18	469,749.02	2.97	4,303.90	470,481.72	477,101.69
HAROT 2019-1 A3 DTD 02/27/2019 2.830% 03/20/2023	43814WAC9	150,000.00	AAA	NR	02/19/19	02/27/19	149,995.98	2.83	153.29	149,996.29	152,083.55
VALET 2018-2 A3 DTD 11/21/2018 3.250% 04/20/2023	92869BAD4	715,000.00	AAA	Aaa	11/15/18	11/21/18	714,969.97	3.25	710.03	714,973.47	727,298.93
GMCAR 2018-3 A3 DTD 07/18/2018 3.020% 05/16/2023	36255JAD6	435,000.00	AAA	NR	07/11/18	07/18/18	434,898.56	3.03	547.38	434,916.12	440,811.43
HYUNDAI AUTO RECEIVABLES TRUST DTD 04/10/2019 2.660% 06/15/2023	44932NAD2	405,000.00	AAA	NR	04/03/19	04/10/19	404,946.70	2.67	478.80	404,948.73	408,929.67
CARMAX AUTO OWNER TRUST DTD 07/25/2018 3.130% 06/15/2023	14313FAD1	460,000.00	AAA	NR	07/18/18	07/25/18	459,937.30	3.36	639.91	459,947.80	467,470.49
TAOT 2019-A A3 DTD 02/13/2019 2.910% 07/15/2023	89239AAD5	400,000.00	AAA	Aaa	02/05/19	02/13/19	399,927.12	2.92	517.33	399,932.02	406,280.68
ALLYA 2019-1 A3 DTD 02/13/2019 2.910% 09/15/2023	02004WAC5	250,000.00	NR	Aaa	02/05/19	02/13/19	249,969.80	3.13	323.33	249,971.77	253,612.90



Managed Account Detail of Securities Held

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	S&P Rating	Moody's Rating	Trade Date	Settle Date	Original Cost	YTM at Cost	Accrued Interest	Amortized Cost	Market Value
Asset-Backed Security											
CARMAX AUTO OWNER TRUST DTD 10/24/2018 3.360% 09/15/2023	14315EAC4	370,000.00	AAA	NR	10/17/18	10/24/18	369,996.60	3.36	552.53	369,997.25	379,434.45
COPAR 2019-1 A3 DTD 05/30/2019 2.510% 11/15/2023	14042WAC4	280,000.00	AAA	Aaa	05/21/19	05/30/19	279,943.27	2.52	19.52	279,943.28	282,143.60
GMCAR 2019-1 A3 DTD 01/16/2019 2.970% 11/16/2023	36256XAD4	540,000.00	NR	Aaa	01/08/19	01/16/19	539,940.22	2.97	668.25	539,944.68	548,658.25
FIFTH THIRD AUTO TRUST DTD 05/08/2019 2.640% 12/15/2023	31680YAD9	345,000.00	AAA	Aaa	04/30/19	05/08/19	344,924.17	2.72	581.90	344,925.45	348,362.96
CARMX 2019-2 A3 DTD 04/17/2019 2.680% 03/15/2024	14316LAC7	330,000.00	AAA	NR	04/09/19	04/17/19	329,966.27	2.90	393.07	329,967.10	334,076.89
Security Type Sub-Total		15,233,177.64					15,218,578.15	2.71	20,672.29	15,221,287.66	15,340,210.30
Managed Account Sub-Total		99,770,936.88					99,482,372.87	2.58	566,560.84	99,564,350.33	100,370,845.67
Securities Sub-Total		\$99,770,936.88					\$99,482,372.87	2.58%	\$566,560.84	\$99,564,350.33	\$100,370,845.67
Accrued Interest											\$566,560.84
Total Investments											\$100,937,406.51



Managed Account Fair Market Value & Analytics

For the Month Ending **May 31, 2019**

SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	Broker	Next Call Date	Market Price	Market Value	Unreal G/L On Cost	Unreal G/L Amort Cost	Effective Duration	Duration to Worst	YTM at Mkt
U.S. Treasury Bond / Note											
US TREASURY NOTES DTD 08/31/2015 1.375% 08/31/2020	912828L32	1,795,000.00	JPM_CHAS		99.07	1,778,311.89	(13,252.36)	(15,240.98)	1.23	1.23	2.13
US TREASURY NOTES DTD 11/30/2015 1.625% 11/30/2020	912828M98	1,245,000.00	JPM_CHAS		99.35	1,236,878.87	(2,722.89)	(5,457.84)	1.47	1.47	2.07
US TREASURY NOTES DTD 12/31/2015 1.750% 12/31/2020	912828N48	4,250,000.00	GOLDMAN		99.55	4,231,074.75	1,328.66	(8,368.59)	1.54	1.54	2.04
US TREASURY NOTES DTD 01/31/2016 1.375% 01/31/2021	912828N89	1,900,000.00	MORGAN_S		98.94	1,879,886.60	17,886.60	766.12	1.63	1.63	2.02
US TREASURY NOTES DTD 06/02/2014 2.000% 05/31/2021	912828WN6	3,850,000.00	JPM_CHAS		100.07	3,852,856.70	71,284.43	49,243.46	1.95	1.95	1.96
US TREASURY NOTES DTD 08/15/2018 2.750% 08/15/2021	9128284W7	800,000.00	JPM_CHAS		101.73	813,844.00	16,812.75	16,140.18	2.12	2.12	1.95
US TREASURY NOTES DTD 08/15/2018 2.750% 08/15/2021	9128284W7	2,700,000.00	MERRILL		101.73	2,746,723.50	44,508.66	45,022.82	2.12	2.12	1.95
UNITED STATES TREASURY NOTES DTD 10/15/2018 2.875% 10/15/2021	9128285F3	1,950,000.00	MERRILL		102.18	1,992,428.10	36,867.55	37,722.20	2.28	2.28	1.93
US TREASURY NOTES DTD 01/15/2019 2.500% 01/15/2022	9128285V8	2,200,000.00	JPM_CHAS		101.46	2,232,139.80	27,756.99	28,185.72	2.51	2.51	1.93
US TREASURY NOTES DTD 01/15/2019 2.500% 01/15/2022	9128285V8	4,000,000.00	MORGAN_S		101.46	4,058,436.00	64,217.25	63,568.12	2.51	2.51	1.93
US TREASURY NOTES DTD 01/31/2017 1.875% 01/31/2022	912828V72	4,200,000.00	CITIGRP		99.88	4,194,750.00	71,203.12	61,640.84	2.57	2.57	1.92
US TREASURY NOTES DTD 02/15/2019 2.500% 02/15/2022	9128286C9	1,350,000.00	CITIGRP		101.55	1,370,883.15	13,025.73	13,452.22	2.60	2.60	1.91
US TREASURY NOTES DTD 02/15/2019 2.500% 02/15/2022	9128286C9	4,425,000.00	MORGAN_S		101.55	4,493,450.33	73,290.17	72,889.49	2.60	2.60	1.91
UNITED STATES TREASURY NOTES DTD 04/15/2019 2.250% 04/15/2022	9128286M7	1,000,000.00	NOMURA		100.96	1,009,609.00	8,905.87	8,923.41	2.77	2.77	1.90
Security Type Sub-Total		35,665,000.00				35,891,272.69	431,112.53	368,487.17	2.17	2.17	1.96

Supra-National Agency Bond / Note



Managed Account Fair Market Value & Analytics

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Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	Broker	Next Call Date	Market Price	Market Value	Unreal G/L On Cost	Unreal G/L Amort Cost	Effective Duration	Duration to Worst	YTM at Mkt
Supra-National Agency Bond / Note											
INTL BANK OF RECON AND DEV GLOBAL NOTES DTD 08/29/2017 1.625% 09/04/2020	459058GA5	475,000.00	JPM_CHAS		99.34	471,860.25	(3,040.00)	(3,097.35)	1.23	1.23	2.16
INTL BANK OF RECONSTRUCTION AND DEV NOTE DTD 09/19/2017 1.561% 09/12/2020	45905UP32	975,000.00	HSBC		99.25	967,665.08	(4,994.92)	(6,315.46)	1.26	1.26	2.16
INTER-AMERICAN DEVELOPMENT BANK DTD 11/08/2013 2.125% 11/09/2020	4581X0CD8	965,000.00	HSBC		100.06	965,617.60	(8,327.09)	(3,624.58)	1.41	1.41	2.08
INTERNATIONAL FINANCE CORPORATION NOTE DTD 03/16/2018 2.635% 03/09/2021	45950VLO7	975,000.00	HSBC		100.32	978,103.43	3,834.68	3,546.85	1.71	1.71	2.45
INTER-AMERICAN DEVELOPMENT BANK NOTE DTD 04/19/2018 2.625% 04/19/2021	4581X0DB1	1,115,000.00	CITIGRP		101.03	1,126,434.33	13,887.33	12,996.78	1.83	1.83	2.07
INTL BANK OF RECONSTRUCTION AND DEV NOTE DTD 07/25/2018 2.750% 07/23/2021	459058GH0	1,455,000.00	MORGAN_S		101.55	1,477,510.31	25,915.01	24,977.82	2.06	2.06	2.01
Security Type Sub-Total		5,960,000.00				5,987,191.00	27,275.01	28,484.06	1.66	1.66	2.14
Municipal Bond / Note											
CA ST TXBL GO BONDS DTD 04/25/2018 2.800% 04/01/2021	13063DGA0	1,135,000.00	JPM_CHAS		101.26	1,149,346.40	14,301.00	14,325.62	1.77	1.77	2.09
Security Type Sub-Total		1,135,000.00				1,149,346.40	14,301.00	14,325.62	1.77	1.77	2.09
Federal Agency Collateralized Mortgage Obligation											
FANNIE MAE SERIES 2015-M13 ASQ2 DTD 10/01/2015 1.646% 09/01/2019	3136AODO0	28,571.40	MORGANST		99.71	28,487.23	(370.28)	(84.17)	0.16	0.22	2.48
FNA 2018-M5 A2 DTD 04/01/2018 3.560% 09/25/2021	3136B1XP4	500,876.74	JPM_CHAS		101.68	509,308.00	(1,531.68)	1,691.07	1.72	1.18	1.94
FHLMC MULTIFAMILY STRUCTURED P DTD 11/01/2015 2.716% 06/25/2022	3137BLUR7	475,000.00	JPM_CHAS		101.23	480,851.57	6,442.53	6,442.53	2.70	1.55	1.81



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Federal Agency Collateralized Mortgage Obligation											
FHMS KP05 A DTD 12/01/2018 3.203% 07/01/2023	3137FKK39	418,311.10	CSFB		101.39	424,127.21	5,817.37	5,817.36	1.77	2.07	2.43
Security Type Sub-Total		1,422,759.24				1,442,774.01	10,357.94	13,866.79	2.03	1.55	2.05
Federal Agency Bond / Note											
FEDERAL HOME LOAN BANKS NOTES DTD 10/12/2018 3.000% 10/12/2021	3130AF5B9	1,950,000.00	CITIGRP		102.36	1,996,107.75	47,238.75	47,006.08	2.27	2.27	1.97
FANNIE MAE NOTES DTD 01/11/2019 2.625% 01/11/2022	3135G0U92	975,000.00	NOMURA		101.62	990,794.03	15,540.53	15,563.10	2.49	2.49	1.98
FANNIE MAE NOTES DTD 01/11/2019 2.625% 01/11/2022	3135G0U92	1,000,000.00	NOMURA		101.62	1,016,199.00	16,919.00	16,828.71	2.49	2.49	1.98
Security Type Sub-Total		3,925,000.00				4,003,100.78	79,698.28	79,397.89	2.38	2.38	1.98
Corporate Note											
IBM CORP NOTES DTD 01/27/2017 1.900% 01/27/2020	459200JN2	500,000.00	RBC		99.65	498,252.50	(1,267.50)	(1,640.32)	0.64	0.64	2.44
WELLS FARGO & CO CORP BONDS DTD 02/02/2015 2.150% 01/30/2020	94974BGF1	650,000.00	MERRILL		99.78	648,540.75	659.75	(986.79)	0.65	0.65	2.49
WALT DISNEY COMPANY CORP NOTES DTD 03/06/2017 1.950% 03/04/2020	25468PDP8	185,000.00	CITIGRP		99.62	184,295.15	(656.75)	(692.39)	0.74	0.74	2.46
HSBC USA INC NOTES DTD 03/05/2015 2.350% 03/05/2020	40428HPR7	350,000.00	HSBC		99.73	349,055.35	3,514.35	838.18	0.75	0.75	2.71
TOYOTA MOTOR CREDIT CORP DTD 04/17/2017 1.950% 04/17/2020	89236TDU6	295,000.00	MERRILL		99.53	293,602.88	(1,261.42)	(1,356.61)	0.86	0.86	2.50
TOYOTA MOTOR CREDIT CORP DTD 04/17/2017 1.950% 04/17/2020	89236TDU6	305,000.00	HSBC		99.53	303,555.52	(1,535.98)	(1,471.79)	0.86	0.86	2.50
UNILEVER CAPITAL CORP BONDS DTD 05/05/2017 1.800% 05/05/2020	904764AV9	225,000.00	MORGAN_S		99.45	223,764.98	(517.27)	(1,008.73)	0.91	0.91	2.40
INTEL CORP NOTES DTD 05/11/2017 1.850% 05/11/2020	458140AZ3	500,000.00	MORGAN_S		99.41	497,074.50	(2,735.50)	(2,864.56)	0.93	0.93	2.48
GENERAL DYNAMICS CORP DTD 05/11/2018 2.875% 05/11/2020	369550BA5	585,000.00	MERRILL		100.32	586,884.29	3,955.19	2,877.50	0.93	0.93	2.53


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Corporate Note											
HOME DEPOT INC CORP NOTES DTD 06/05/2017 1.800% 06/05/2020	437076BO4	175,000.00	JPM_CHAS		99.30	173,782.88	(1,115.62)	(1,182.30)	0.99	0.99	2.50
WALT DISNEY COMPANY CORP NOTES DTD 06/06/2017 1.800% 06/05/2020	25468PDU7	950,000.00	DEUTSCHE		99.48	945,104.65	(3,793.35)	(4,516.76)	0.99	0.99	2.32
JOHN DEERE CAPITAL CORP NOTES DTD 06/22/2017 1.950% 06/22/2020	24422ETS8	200,000.00	DEUTSCHE		99.47	198,942.00	(936.00)	(1,014.15)	1.03	1.03	2.46
AMERICAN HONDA FINANCE CORP NOTES DTD 07/20/2017 1.950% 07/20/2020	02665WBT7	105,000.00	BARCLAYS		99.46	104,435.63	(458.32)	(523.49)	1.11	1.11	2.43
BNY MELLON CORP NOTE (CALLABLE) DTD 08/17/2015 2.600% 08/17/2020	06406HDD8	450,000.00	HSBC	07/17/20	100.18	450,804.15	3,013.65	1,897.26	1.12	1.10	2.45
CATERPILLAR FINL SERVICE NOTE DTD 09/07/2017 1.850% 09/04/2020	14913Q2A6	730,000.00	BARCLAYS		99.31	724,992.93	(4,393.87)	(4,744.86)	1.23	1.23	2.41
CITIGROUP INC CORP NOTES DTD 10/26/2015 2.650% 10/26/2020	172967KB6	525,000.00	GOLDMAN		100.18	525,964.95	(4,873.05)	(1,743.28)	1.37	1.37	2.51
AMERICAN EXPRESS CO CORP (CALLABLE) NOTE DTD 10/30/2017 2.200% 10/30/2020	025816BP3	975,000.00	RBC	09/29/20	99.46	969,722.33	(4,010.17)	(4,669.88)	1.34	1.38	2.59
JOHNSON & JOHNSON CORP NOTE DTD 11/10/2017 1.950% 11/10/2020	478160CH5	210,000.00	JPM_CHAS		99.59	209,132.28	(643.02)	(758.09)	1.41	1.41	2.24
VISA INC (CALLABLE) CORP NOTES DTD 12/14/2015 2.200% 12/14/2020	92826CAB8	250,000.00	WELLS_FA	11/14/20	99.82	249,546.25	(3,203.75)	(1,722.38)	1.44	1.49	2.32
JOHN DEERE CAPITAL CORP NOTES DTD 01/08/2018 2.350% 01/08/2021	24422ETZ2	360,000.00	HSBC		100.01	360,032.76	219.96	134.39	1.55	1.55	2.34
AMERICAN HONDA FINANCE DTD 02/15/2018 2.650% 02/12/2021	02665WCD1	975,000.00	MIZUHO		100.43	979,169.10	5,534.10	4,957.35	1.64	1.64	2.39
PACCAR FINANCIAL CORP NOTES DTD 02/27/2018 2.800% 03/01/2021	69371RN93	330,000.00	JPM_CHAS		100.67	332,202.75	2,364.45	2,298.75	1.69	1.69	2.41
JOHN DEERE CAPITAL CORP NOTES DTD 03/13/2018 2.875% 03/12/2021	24422EUD9	875,000.00	BARCLAYS		100.86	882,512.75	8,107.75	7,872.51	1.72	1.72	2.38
NATIONAL RURAL UTIL COOP NOTE DTD 02/26/2018 2.900% 03/15/2021	63743HER9	405,000.00	RBC		100.94	408,791.61	4,241.16	4,062.16	1.73	1.73	2.36
UNILEVER CAPITAL CORP NOTES DTD 03/22/2018 2.750% 03/22/2021	904764AZ0	750,000.00	CITIGRP		100.77	755,799.00	9,631.50	8,147.95	1.75	1.75	2.31



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Corporate Note											
UNITED PARCEL SERVICE CORPORATE BOND DTD 11/14/2017 2.050% 04/01/2021	911312BP0	580,000.00	JPM_CHAS		99.52	577,206.14	(1,877.46)	(2,285.93)	1.78	1.78	2.32
BANK OF NEW YORK MELLON CORP (CALLABLE) DTD 02/19/2016 2.500% 04/15/2021	06406FAA1	500,000.00	BNP_PARI	03/15/21	100.07	500,357.50	6,862.50	4,271.52	1.75	1.73	2.46
MORGAN STANLEY CORP NOTES DTD 04/21/2016 2.500% 04/21/2021	61746BEA0	500,000.00	GOLDMAN		99.75	498,760.50	7,160.50	3,833.97	1.83	1.83	2.63
HERSHEY COMPANY CORP NOTES DTD 05/10/2018 3.100% 05/15/2021	427866BA5	370,000.00	MERRILL		101.53	375,661.00	5,916.30	5,830.12	1.89	1.89	2.30
CHARLES SCHWAB CORP NOTES DTD 05/22/2018 3.250% 05/21/2021	808513AW5	465,000.00	CSFB		101.57	472,314.45	7,328.40	7,324.00	1.90	1.90	2.43
WAL-MART STORES INC CORP NOTES DTD 06/27/2018 3.125% 06/23/2021	931142EJ8	675,000.00	CITIGRP		101.68	686,345.40	11,379.15	11,370.23	1.96	1.96	2.29
CATERPILLAR FINANCIAL SERVICES CORP CORP DTD 09/07/2018 3.150% 09/07/2021	14913Q2N8	270,000.00	BARCLAYS		101.40	273,773.25	3,981.15	3,932.06	2.16	2.16	2.51
3M COMPANY DTD 09/14/2018 3.000% 09/14/2021	88579YBA8	240,000.00	CITIGRP		101.65	243,953.28	4,445.28	4,332.10	2.19	2.19	2.26
PFIZER INC CORP NOTE DTD 09/07/2018 3.000% 09/15/2021	717081EM1	605,000.00	CSFB		101.62	614,797.37	10,614.12	10,424.72	2.19	2.19	2.27
BANK OF AMERICA CORP (CALLABLE) DTD 09/18/2017 2.328% 10/01/2021	06051GGS2	370,000.00	UBS	10/01/20	99.54	368,309.10	(1,098.90)	(1,339.70)	1.32	2.25	2.53
BANK OF AMERICA CORP (CALLABLE) DTD 09/18/2017 2.328% 10/01/2021	06051GGS2	605,000.00	MERRILL	10/01/20	99.54	602,235.15	(2,764.85)	(2,764.85)	1.32	2.25	2.53
BOEING COMPANY NOTE DTD 10/31/2014 2.350% 10/30/2021	097023BG9	330,000.00	TD		100.05	330,167.97	3,553.77	3,523.61	2.33	2.33	2.33
ABBOTT LABORATORIES CORP NOTES DTD 11/22/2016 2.900% 11/30/2021	002824BD1	475,000.00	MERRILL		100.91	479,307.78	1,742.78	1,785.19	2.40	2.40	2.52
CITIGROUP INC CORP (CALLABLE) NOTE DTD 12/08/2016 2.900% 12/08/2021	172967LC3	450,000.00	RBC	11/08/21	100.34	451,511.55	9,697.05	8,681.29	2.33	2.31	2.76
MERCK & CO INC CORP NOTES DTD 02/10/2015 2.350% 02/10/2022	58933YQA8	475,000.00	MITSU		100.21	475,995.60	9,821.10	8,777.82	2.58	2.58	2.27



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Corporate Note											
PACCAR FINANCIAL CORP NOTE DTD 03/01/2019 2.850% 03/01/2022	69371RP75	215,000.00	MERRILL		101.32	217,845.10	3,034.30	3,019.09	2.62	2.62	2.35
HOME DEPOT INC DTD 12/06/2018 3.250% 03/01/2022	437076BV3	285,000.00	JPM_CHAS		102.80	292,973.73	8,754.63	8,650.49	2.61	2.61	2.20
3M COMPANY BONDS DTD 02/22/2019 2.750% 03/01/2022	88579YBF7	305,000.00	MORGAN_S	02/01/22	100.88	307,669.36	2,812.71	2,799.47	2.62	2.62	2.42
EXXON MOBIL CORP (CALLABLE) NOTE DTD 03/06/2015 2.397% 03/06/2022	30231GAJ1	500,000.00	CITIGRP	01/06/22	100.25	501,252.50	16,432.50	14,167.00	2.56	2.49	2.30
PFIZER INC CORP BONDS DTD 03/11/2019 2.800% 03/11/2022	717081ER0	285,000.00	BARCLAYS		101.45	289,127.09	4,144.19	4,142.97	2.65	2.65	2.26
GOLDMAN SACHS GROUP INC (CALLABLE) NOTE DTD 01/26/2017 3.000% 04/26/2022	38141GWC4	500,000.00	GOLDMAN	04/26/21	100.34	501,723.50	7,213.50	6,717.31	2.20	1.83	2.87
BOEING CO CORP NOTE DTD 05/02/2019 2.700% 05/01/2022	097023CG8	145,000.00	CITIGRP		100.72	146,041.54	1,298.19	1,291.54	2.79	2.79	2.44
PACCAR FINANCIAL CORP CORP NOTES DTD 05/10/2019 2.650% 05/10/2022	69371RP83	500,000.00	US_BANCO		100.96	504,799.50	5,069.50	5,064.42	2.81	2.81	2.31
MORGAN STANLEY CORP NOTES DTD 05/19/2017 2.750% 05/19/2022	61744YAH1	475,000.00	RBC		99.95	474,762.98	2,912.23	2,764.13	2.83	2.83	2.77
BRANCH BANKING & TRUST CORP NOTES DTD 03/18/2019 3.050% 06/20/2022	05531FBG7	975,000.00	MORGAN_S		101.37	988,399.43	13,428.68	13,428.68	2.88	2.88	2.58
JPMORGAN CHASE & CO BONDS DTD 03/22/2019 3.207% 04/01/2023	46647PBB1	750,000.00	JPM_CHAS		101.17	758,775.75	8,775.75	8,775.75	3.57	3.57	2.88
Security Type Sub-Total		23,705,000.00				23,790,028.46	160,477.36	140,706.67	1.78	1.81	2.46
Certificate of Deposit											
CREDIT SUISSE NEW YORK CERT DEPOS DTD 02/08/2018 2.670% 02/07/2020	22549LFR1	975,000.00	CSFB		100.11	976,052.03	1,052.03	1,052.03	0.67	0.67	2.48
NORDEA BANK AB NY CD DTD 02/22/2018 2.720% 02/20/2020	65590ASN7	975,000.00	GOLDMAN		100.21	976,999.73	1,999.73	1,999.73	0.70	0.70	2.43
UBS AG STAMFORD CT LT CD DTD 03/06/2018 2.900% 03/02/2020	90275DHG8	975,000.00	UBS		100.29	977,778.75	2,778.75	2,778.75	0.74	0.74	2.54



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Certificate of Deposit											
CANADIAN IMP BK COMM NY FLT CERT DEPOS DTD 04/10/2018 2.984% 04/10/2020	13606BVF0	975,000.00	MERRILL		100.23	977,281.50	2,281.50	2,281.50	0.11	0.84	2.76
BANK OF NOVA SCOTIA HOUSTON CD DTD 06/07/2018 3.080% 06/05/2020	06417GU22	975,000.00	GOLDMAN		100.62	981,085.95	6,456.45	6,277.24	0.98	0.98	2.45
BANK OF MONTREAL CHICAGO CERT DEPOS DTD 08/03/2018 3.190% 08/03/2020	06370REU9	975,000.00	BMO		100.41	979,013.10	4,013.10	4,013.10	1.13	1.13	2.86
WESTPAC BANKING CORP NY CD DTD 08/07/2017 2.050% 08/03/2020	96121T4A3	1,750,000.00	JPM_CHAS		99.52	1,741,649.00	(8,351.00)	(8,351.00)	1.16	1.16	2.36
SUMITOMO MITSUI BANK NY CERT DEPOS DTD 10/18/2018 3.390% 10/16/2020	86565BPC9	975,000.00	GOLDMAN		101.24	987,103.65	13,429.65	12,294.83	1.34	1.34	2.51
SWEDBANK (NEW YORK) CERT DEPOS DTD 11/17/2017 2.270% 11/16/2020	87019U6D6	975,000.00	MERRILL		99.28	967,962.45	(7,037.55)	(7,037.55)	1.43	1.43	2.80
MUFG BANK LTD/NY CERT DEPOS DTD 02/28/2019 2.970% 02/26/2021	55379WZT6	975,000.00	MITSU		100.94	984,155.84	9,155.84	9,155.84	1.68	1.68	2.44
CREDIT AGRICOLE CIB NY CERT DEPOS DTD 04/04/2019 2.830% 04/02/2021	22535CDU2	975,000.00	CREDAG		100.01	975,075.08	75.08	75.08	1.77	1.77	2.84
ROYAL BANK OF CANADA NY CD DTD 06/08/2018 3.240% 06/07/2021	78012UEE1	1,225,000.00	RBC		101.45	1,242,764.95	17,764.95	17,764.95	1.92	1.92	2.50
Security Type Sub-Total		12,725,000.00				12,766,922.03	43,618.53	42,304.50	1.16	1.21	2.56
Asset-Backed Security											
TOYOTA ABS 2016-C A3 DTD 08/10/2016 1.140% 08/15/2020	89237WAD9	56,769.69	MITSU		99.75	56,626.57	(141.60)	(142.75)	0.19	0.75	1.48
HYUNDAI ABS 2016-A A3 DTD 03/30/2016 1.560% 09/15/2020	44930UAD8	33,812.27	MERRILL		99.90	33,780.01	(25.70)	(30.70)	0.09	0.91	1.67
NISSAN ABS 2016-B A3 DTD 04/27/2016 1.320% 01/15/2021	65478VAD9	67,287.49	SOC GEN		99.66	67,058.78	(218.27)	(225.68)	0.27	0.98	1.67
TOYOTA ABS 2017-A A3 DTD 03/15/2017 1.730% 02/15/2021	89238MAD0	132,513.07	MERRILL		99.68	132,089.35	(408.13)	(416.70)	0.39	0.87	2.10
JOHN DEERE ABS 2017-A A3 DTD 03/02/2017 1.780% 04/15/2021	47787XAC1	100,223.54	MERRILL		99.70	99,923.99	(285.28)	(291.80)	0.37	1.12	2.05



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Asset-Backed Security											
HYUNDAI ABS 2016-B A3 DTD 09/21/2016 1.290% 04/15/2021	44891EAC3	234,567.86	JPMCHASE		99.49	233,375.81	(1,160.48)	(1,180.79)	0.37	1.40	1.65
FORD ABS 2017-A A3 DTD 01/25/2017 1.670% 06/15/2021	34531EAD8	388,597.57	CITIGRP		99.60	387,048.11	(1,548.03)	(1,548.91)	0.44	1.33	1.97
GMALT 2018-3 A3 DTD 09/26/2018 3.180% 06/20/2021	36256GAD1	305,000.00	RBC		100.89	307,718.50	2,742.59	2,736.81	1.08	1.04	2.33
TOYOTA ABS 2017-B A3 DTD 05/17/2017 1.760% 07/15/2021	89190BAD0	356,580.59	SOCGEN		99.62	355,220.52	(1,332.72)	(1,345.77)	0.55	1.07	2.12
BMWLT 2018-1 A3 DTD 10/17/2018 3.260% 07/20/2021	05586CAC8	200,000.00	SOCGEN		101.18	202,365.00	2,392.80	2,386.67	1.29	1.08	2.17
HYUNDAI ABS 2017-A A3 DTD 03/29/2017 1.760% 08/15/2021	44931PAD8	299,474.91	SOCGEN		99.61	298,301.00	(1,149.69)	(1,155.91)	0.55	1.62	2.00
NISSAN ABS 2017-A A3 DTD 03/28/2017 1.740% 08/15/2021	654747AD6	371,963.29	MERRILL		99.61	370,512.67	(1,411.23)	(1,428.11)	0.54	1.23	2.06
ALLY ABS 2017-2 A3 DTD 03/29/2017 1.780% 08/15/2021	02007HAC5	435,731.89	MERRILL		99.66	434,255.28	(1,425.24)	(1,452.10)	0.43	1.88	1.96
NISSAN AUTO LEASE TRUST DTD 10/24/2018 3.250% 09/15/2021	65478BAD3	365,000.00	CITIGRP		101.17	369,264.44	4,296.34	4,289.94	1.35	1.15	2.24
MBALT 2018-B A3 DTD 11/20/2018 3.210% 09/15/2021	58769LAC6	925,000.00	JPM_CHAS		100.99	934,159.35	9,180.07	9,180.07	1.17	1.15	2.35
HAROT 2017-3 A3 DTD 09/29/2017 1.790% 09/18/2021	43814PAC4	234,589.98	JPM_CHAS		99.62	233,688.00	(876.58)	(886.91)	0.68	1.16	2.12
JOHN DEERE ABS 2017-B A3 DTD 07/15/2017 1.820% 10/15/2021	47788BAD6	241,065.49	MITSU		99.57	240,038.48	(1,009.37)	(1,016.35)	0.55	1.06	2.22
NISSAN ABS 2017-B A3 DTD 08/23/2017 1.750% 10/15/2021	65478GAD2	500,000.00	SOCGEN		99.53	497,650.55	(2,321.50)	(2,333.11)	0.68	1.19	2.14
FORDL 2018-B A3 DTD 09/21/2018 3.190% 12/15/2021	34531LAD2	415,000.00	JPM_CHAS		101.07	419,457.89	4,492.96	4,485.67	1.23	1.27	2.35
HAROT 2018-1 A3 DTD 02/28/2018 2.640% 02/15/2022	43814UAC3	430,000.00	SOCGEN		100.33	431,402.70	1,458.30	1,441.38	1.04	1.35	2.40
FORDO 2017-C A3 DTD 11/21/2017 2.010% 03/15/2022	34532AAD5	475,000.00	MERRILL		99.71	473,627.96	(1,286.40)	(1,315.71)	0.82	1.40	2.22
JDOT 2018-A A3 DTD 02/28/2018 2.660% 04/15/2022	47788CAC6	230,000.00	RBC		100.23	230,526.40	542.94	538.43	0.94	1.25	2.48



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Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	Broker	Next Call Date	Market Price	Market Value	Unreal G/L On Cost	Unreal G/L Amort Cost	Effective Duration	Duration to Worst	YTM at Mkt
Asset-Backed Security											
HAROT 2018-2 A3 DTD 05/30/2018 3.010% 05/18/2022	43814UAG4	165,000.00	BARCLAYS		101.08	166,776.13	1,779.73	1,778.78	1.40	1.49	2.29
BANK OF AMERICA ABS 2017-A1 A1 DTD 03/30/2017 1.950% 08/15/2022	05522RCW6	500,000.00	MERRILL		99.68	498,417.30	6,346.99	4,690.36	0.78	1.60	2.15
TAOT 2018-B A3 DTD 05/16/2018 2.960% 09/15/2022	89238TAD5	825,000.00	MERRILL		100.95	832,851.44	7,863.73	7,860.82	1.41	1.64	2.38
FORDO 2018-A A3 DTD 05/22/2018 3.030% 11/15/2022	34528FAD0	475,000.00	RBC		100.95	479,491.17	4,567.98	4,551.07	1.28	1.72	2.48
ALLYA 2018-2 A3 DTD 04/30/2018 2.920% 11/15/2022	02004VAC7	695,000.00	MERRILL		100.81	700,632.63	5,758.84	5,730.15	1.10	1.72	2.45
MBART 2018-1 A3 DTD 07/25/2018 3.030% 01/15/2023	58772RAD6	620,000.00	BNP_PARI		101.24	627,684.78	7,708.59	7,703.98	1.40	1.80	2.35
CCCIT 2018-A1 A1 DTD 01/31/2018 2.490% 01/20/2023	17305EGK5	475,000.00	CITIGRP		100.44	477,101.69	7,352.67	6,619.97	1.59	1.84	2.25
HAROT 2019-1 A3 DTD 02/27/2019 2.830% 03/20/2023	43814WAC9	150,000.00	MERRILL		101.39	152,083.55	2,087.57	2,087.26	2.19	1.89	2.10
VALET 2018-2 A3 DTD 11/21/2018 3.250% 04/20/2023	92869BAD4	715,000.00	CITIGRP		101.72	727,298.93	12,328.96	12,325.46	1.73	1.94	2.37
GMCAR 2018-3 A3 DTD 07/18/2018 3.020% 05/16/2023	36255JAD6	435,000.00	JPM_CHAS		101.34	440,811.43	5,912.87	5,895.31	1.69	1.97	2.34
HYUNDAI AUTO RECEIVABLES TRUST DTD 04/10/2019 2.660% 06/15/2023	44932NAD2	405,000.00	SOCGEN		100.97	408,929.67	3,982.97	3,980.94	2.03	2.01	2.18
CARMAX AUTO OWNER TRUST DTD 07/25/2018 3.130% 06/15/2023	14313FAD1	460,000.00	BARCLAYS		101.62	467,470.49	7,533.19	7,522.69	1.64	2.00	2.32
TAOT 2019-A A3 DTD 02/13/2019 2.910% 07/15/2023	89239AAD5	400,000.00	MITSU		101.57	406,280.68	6,353.56	6,348.66	2.00	2.05	2.15
ALLYA 2019-1 A3 DTD 02/13/2019 2.910% 09/15/2023	02004WAC5	250,000.00	JPM_CHAS		101.45	253,612.90	3,643.10	3,641.13	1.77	2.13	2.23
CARMAX AUTO OWNER TRUST DTD 10/24/2018 3.360% 09/15/2023	14315EAC4	370,000.00	MERRILL		102.55	379,434.45	9,437.85	9,437.20	1.88	2.13	2.17
COPAR 2019-1 A3 DTD 05/30/2019 2.510% 11/15/2023	14042WAC4	280,000.00	JPM_CHAS		100.77	282,143.60	2,200.33	2,200.32	2.30	2.21	2.16
GMCAR 2019-1 A3 DTD 01/16/2019 2.970% 11/16/2023	36256XAD4	540,000.00	RBC		101.60	548,658.25	8,718.03	8,713.57	1.62	2.21	2.25



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Security Type/Description Dated Date/Coupon/Maturity	CUSIP	Par	Broker	Next Call Date	Market Price	Market Value	Unreal G/L On Cost	Unreal G/L Amort Cost	Effective Duration	Duration to Worst at Mkt	YTM
Asset-Backed Security											
FIFTH THIRD AUTO TRUST DTD 05/08/2019 2.640% 12/15/2023	31680YAD9	345,000.00	CSFB		100.97	348,362.96	3,438.79	3,437.51	2.27	2.25	2.21
CARMX 2019-2 A3 DTD 04/17/2019 2.680% 03/15/2024	14316LAC7	330,000.00	RBC		101.24	334,076.89	4,110.62	4,109.79	2.46	2.37	2.16
Security Type Sub-Total		15,233,177.64				15,340,210.30	121,632.15	118,922.64	1.26	1.62	2.24
Managed Account Sub-Total		99,770,936.88				100,370,845.67	888,472.80	806,495.34	1.78	1.84	2.21
Securities Sub-Total		\$99,770,936.88				\$100,370,845.67	\$888,472.80	\$806,495.34	1.78	1.84	2.21%
Accrued Interest						\$566,560.84					
Total Investments						\$100,937,406.51					



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Transaction Type		Security Description	CUSIP	Par	Principal	Accrued	Total	Realized G/L	Realized G/L	Sale
Trade	Settle				Proceeds	Interest		Cost	Amort Cost	
BUY										
04/30/19	05/02/19	BOEING CO CORP NOTE DTD 05/02/2019 2.700% 05/01/2022	097023CG8	145,000.00	(144,743.35)	0.00	(144,743.35)			
04/30/19	05/08/19	FIFTH THIRD AUTO TRUST DTD 05/08/2019 2.640% 12/15/2023	31680YAD9	345,000.00	(344,924.17)	0.00	(344,924.17)			
05/01/19	05/03/19	UNITED STATES TREASURY NOTES DTD 04/15/2019 2.250% 04/15/2022	9128286M7	1,000,000.00	(1,000,703.13)	(1,106.56)	(1,001,809.69)			
05/03/19	05/10/19	PACCAR FINANCIAL CORP CORP NOTES DTD 05/10/2019 2.650% 05/10/2022	69371RP83	500,000.00	(499,730.00)	0.00	(499,730.00)			
05/10/19	05/14/19	ABBOTT LABORATORIES CORP NOTES DTD 11/22/2016 2.900% 11/30/2021	002824BD1	475,000.00	(477,565.00)	(6,275.28)	(483,840.28)			
05/21/19	05/23/19	BOEING COMPANY NOTE DTD 10/31/2014 2.350% 10/30/2021	097023BG9	330,000.00	(326,614.20)	(495.46)	(327,109.66)			
05/21/19	05/30/19	COPAR 2019-1 A3 DTD 05/30/2019 2.510% 11/15/2023	14042WAC4	280,000.00	(279,943.27)	0.00	(279,943.27)			
Transaction Type Sub-Total				3,075,000.00	(3,074,223.12)	(7,877.30)	(3,082,100.42)			
INTEREST										
05/01/19	05/01/19	MONEY MARKET FUND	MONEY0002	0.00	0.00	37.49	37.49			
05/01/19	05/25/19	FHLMC MULTIFAMILY STRUCTURED P DTD 11/01/2015 2.716% 06/25/2022	3137BLUR7	475,000.00	0.00	1,075.08	1,075.08			
05/01/19	05/25/19	FNMA SERIES 2016-M9 ASQ2 DTD 06/01/2016 1.785% 06/01/2019	3136ASPX8	3,276.40	0.00	4.87	4.87			
05/01/19	05/25/19	FHMS KP05 A DTD 12/01/2018 3.203% 07/01/2023	3137FKK39	419,018.91	0.00	1,118.43	1,118.43			
05/01/19	05/25/19	FNA 2018-M5 A2 DTD 04/01/2018 3.560% 09/25/2021	3136B1XP4	507,994.11	0.00	1,532.75	1,532.75			
05/01/19	05/25/19	FANNIE MAE SERIES 2015-M13 ASQ2 DTD 10/01/2015 1.646% 09/01/2019	3136AQDQ0	31,095.39	0.00	42.65	42.65			
05/05/19	05/05/19	UNILEVER CAPITAL CORP BONDS DTD 05/05/2017 1.800% 05/05/2020	904764AV9	225,000.00	0.00	2,025.00	2,025.00			
05/09/19	05/09/19	INTER-AMERICAN DEVELOPMENT BANK DTD 11/08/2013 2.125% 11/09/2020	4581X0CD8	965,000.00	0.00	10,253.13	10,253.13			
05/10/19	05/10/19	JOHNSON & JOHNSON CORP NOTE DTD 11/10/2017 1.950% 11/10/2020	478160CH5	210,000.00	0.00	2,047.50	2,047.50			



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Transaction Type	Trade	Settle	Security Description	CUSIP	Par	Principal Proceeds	Accrued Interest	Total	Realized G/L Cost	Realized G/L Amort Cost	Sale Method
INTEREST											
	05/11/19	05/11/19	GENERAL DYNAMICS CORP DTD 05/11/2018 2.875% 05/11/2020	369550BA5	585,000.00	0.00	8,409.38	8,409.38			
	05/11/19	05/11/19	INTEL CORP NOTES DTD 05/11/2017 1.850% 05/11/2020	458140AZ3	500,000.00	0.00	4,625.00	4,625.00			
	05/15/19	05/15/19	BANK OF AMERICA ABS 2017-A1 A1 DTD 03/30/2017 1.950% 08/15/2022	05522RCW6	500,000.00	0.00	812.50	812.50			
	05/15/19	05/15/19	FORDO 2018-A A3 DTD 05/22/2018 3.030% 11/15/2022	34528FAD0	475,000.00	0.00	1,199.38	1,199.38			
	05/15/19	05/15/19	MBART 2018-1 A3 DTD 07/25/2018 3.030% 01/15/2023	58772RAD6	620,000.00	0.00	1,565.50	1,565.50			
	05/15/19	05/15/19	CARMAX AUTO OWNER TRUST DTD 10/24/2018 3.360% 09/15/2023	14315EAC4	370,000.00	0.00	1,036.00	1,036.00			
	05/15/19	05/15/19	CARMAX AUTO OWNER TRUST DTD 07/25/2018 3.130% 06/15/2023	14313FAD1	460,000.00	0.00	1,199.83	1,199.83			
	05/15/19	05/15/19	FORDL 2018-B A3 DTD 09/21/2018 3.190% 12/15/2021	34531LAD2	415,000.00	0.00	1,103.21	1,103.21			
	05/15/19	05/15/19	ALLYA 2018-2 A3 DTD 04/30/2018 2.920% 11/15/2022	02004VAC7	695,000.00	0.00	1,691.17	1,691.17			
	05/15/19	05/15/19	NISSAN ABS 2017-B A3 DTD 08/23/2017 1.750% 10/15/2021	65478GAD2	500,000.00	0.00	729.17	729.17			
	05/15/19	05/15/19	TAOT 2018-B A3 DTD 05/16/2018 2.960% 09/15/2022	89238TAD5	825,000.00	0.00	2,035.00	2,035.00			
	05/15/19	05/15/19	NISSAN ABS 2017-A A3 DTD 03/28/2017 1.740% 08/15/2021	654747AD6	403,288.57	0.00	584.77	584.77			
	05/15/19	05/15/19	TAOT 2019-A A3 DTD 02/13/2019 2.910% 07/15/2023	89239AAD5	400,000.00	0.00	970.00	970.00			
	05/15/19	05/15/19	NISSAN AUTO LEASE TRUST DTD 10/24/2018 3.250% 09/15/2021	65478BAD3	365,000.00	0.00	988.54	988.54			
	05/15/19	05/15/19	TOYOTA ABS 2016-C A3 DTD 08/10/2016 1.140% 08/15/2020	89237WAD9	70,070.79	0.00	66.57	66.57			
	05/15/19	05/15/19	HYUNDAI ABS 2016-B A3 DTD 09/21/2016 1.290% 04/15/2021	44891EAC3	263,342.73	0.00	283.09	283.09			
	05/15/19	05/15/19	ALLYA 2019-1 A3 DTD 02/13/2019 2.910% 09/15/2023	02004WAC5	250,000.00	0.00	606.25	606.25			



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Transaction Type		Security Description	CUSIP	Par	Principal	Accrued	Total	Realized G/L	Realized G/L	Sale	
Trade	Settle				Proceeds	Interest		Cost	Amort Cost		Method
INTEREST											
05/15/19	05/15/19	AMXCA 2018-1 A DTD 03/21/2018 2.670% 10/17/2022	02582JHQ6	505,000.00	0.00	1,123.63	1,123.63				
05/15/19	05/15/19	FORDO 2017-C A3 DTD 11/21/2017 2.010% 03/15/2022	34532AAD5	475,000.00	0.00	795.63	795.63				
05/15/19	05/15/19	HYUNDAI ABS 2016-A A3 DTD 03/30/2016 1.560% 09/15/2020	44930UAD8	50,246.84	0.00	65.32	65.32				
05/15/19	05/15/19	JOHN DEERE ABS 2017-A A3 DTD 03/02/2017 1.780% 04/15/2021	47787XAC1	114,201.77	0.00	169.40	169.40				
05/15/19	05/15/19	HYUNDAI ABS 2017-A A3 DTD 03/29/2017 1.760% 08/15/2021	44931PAD8	324,419.45	0.00	475.82	475.82				
05/15/19	05/15/19	ALLY ABS 2017-2 A3 DTD 03/29/2017 1.780% 08/15/2021	02007HAC5	479,772.19	0.00	711.66	711.66				
05/15/19	05/15/19	TOYOTA ABS 2017-B A3 DTD 05/17/2017 1.760% 07/15/2021	89190BAD0	386,519.96	0.00	566.90	566.90				
05/15/19	05/15/19	CARMX 2019-2 A3 DTD 04/17/2019 2.680% 03/15/2024	14316LAC7	330,000.00	0.00	687.87	687.87				
05/15/19	05/15/19	HYUNDAI AUTO RECEIVABLES TRUST DTD 04/10/2019 2.660% 06/15/2023	44932NAD2	405,000.00	0.00	1,047.38	1,047.38				
05/15/19	05/15/19	TOYOTA ABS 2017-A A3 DTD 03/15/2017 1.730% 02/15/2021	89238MAD0	147,662.84	0.00	212.88	212.88				
05/15/19	05/15/19	JDOT 2018-A A3 DTD 02/28/2018 2.660% 04/15/2022	47788CAC6	230,000.00	0.00	509.83	509.83				
05/15/19	05/15/19	JOHN DEERE ABS 2017-B A3 DTD 07/15/2017 1.820% 10/15/2021	47788BAD6	268,063.22	0.00	406.56	406.56				
05/15/19	05/15/19	MBALT 2018-B A3 DTD 11/20/2018 3.210% 09/15/2021	58769LAC6	925,000.00	0.00	2,474.38	2,474.38				
05/15/19	05/15/19	NISSAN ABS 2016-B A3 DTD 04/27/2016 1.320% 01/15/2021	65478VAD9	77,872.75	0.00	85.66	85.66				
05/15/19	05/15/19	HERSHEY COMPANY CORP NOTES DTD 05/10/2018 3.100% 05/15/2021	427866BA5	370,000.00	0.00	5,735.00	5,735.00				
05/15/19	05/15/19	HAROT 2018-1 A3 DTD 02/28/2018 2.640% 02/15/2022	43814UAC3	430,000.00	0.00	946.00	946.00				
05/15/19	05/15/19	FORD ABS 2017-A A3 DTD 01/25/2017 1.670% 06/15/2021	34531EAD8	428,005.70	0.00	595.64	595.64				



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Transaction Type	Trade	Settle	Security Description	CUSIP	Par	Principal Proceeds	Accrued Interest	Total	Realized G/L Cost	Realized G/L Amort Cost	Sale Method
INTEREST											
	05/16/19	05/16/19	SWEDBANK (NEW YORK) CERT DEPOS DTD 11/17/2017 2.270% 11/16/2020	87019U6D6	975,000.00	0.00	11,127.73	11,127.73			
	05/16/19	05/16/19	GMCAR 2018-3 A3 DTD 07/18/2018 3.020% 05/16/2023	36255JAD6	435,000.00	0.00	1,094.75	1,094.75			
	05/16/19	05/16/19	GMCAR 2019-1 A3 DTD 01/16/2019 2.970% 11/16/2023	36256XAD4	540,000.00	0.00	1,336.50	1,336.50			
	05/18/19	05/18/19	HAROT 2017-3 A3 DTD 09/29/2017 1.790% 09/18/2021	43814PAC4	250,000.00	0.00	372.92	372.92			
	05/18/19	05/18/19	HAROT 2019-1 A3 DTD 02/27/2019 2.830% 03/20/2023	43814WAC9	150,000.00	0.00	353.75	353.75			
	05/18/19	05/18/19	HAROT 2018-2 A3 DTD 05/30/2018 3.010% 05/18/2022	43814UAG4	165,000.00	0.00	413.88	413.88			
	05/19/19	05/19/19	MORGAN STANLEY CORP NOTES DTD 05/19/2017 2.750% 05/19/2022	61744YAH1	475,000.00	0.00	6,531.25	6,531.25			
	05/20/19	05/20/19	GMALT 2018-3 A3 DTD 09/26/2018 3.180% 06/20/2021	36256GAD1	305,000.00	0.00	808.25	808.25			
	05/20/19	05/20/19	VALET 2018-2 A3 DTD 11/21/2018 3.250% 04/20/2023	92869BAD4	715,000.00	0.00	1,936.46	1,936.46			
	05/20/19	05/20/19	BMWLT 2018-1 A3 DTD 10/17/2018 3.260% 07/20/2021	05586CAC8	200,000.00	0.00	543.33	543.33			
	05/21/19	05/21/19	CHARLES SCHWAB CORP NOTES DTD 05/22/2018 3.250% 05/21/2021	808513AW5	465,000.00	0.00	7,556.25	7,556.25			
	05/30/19	05/30/19	ABBOTT LABORATORIES CORP NOTES DTD 11/22/2016 2.900% 11/30/2021	002824BD1	475,000.00	0.00	6,887.50	6,887.50			
	05/31/19	05/31/19	US TREASURY NOTES DTD 11/30/2015 1.625% 11/30/2020	912828M98	1,245,000.00	0.00	10,115.63	10,115.63			
	05/31/19	05/31/19	US TREASURY NOTES DTD 06/02/2014 2.000% 05/31/2021	912828WN6	3,850,000.00	0.00	38,500.00	38,500.00			
Transaction Type Sub-Total					26,724,851.62	0.00	150,230.02	150,230.02			
PAYDOWNS											
	05/01/19	05/25/19	FANNIE MAE SERIES 2015-M13 ASQ2 DTD 10/01/2015 1.646% 09/01/2019	3136AQDQ0	2,523.99	2,523.99	0.00	2,523.99	(25.28)	0.00	



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Transaction Type	Trade	Settle	Security Description	CUSIP	Par	Principal Proceeds	Accrued Interest	Total	Realized G/L Cost	Realized G/L Amort Cost	Sale Method
PAYDOWNS											
	05/01/19	05/25/19	FHMS KP05 A DTD 12/01/2018 3.203% 07/01/2023	3137FKK39	707.81	707.81	0.00	707.81	0.00	0.00	
	05/01/19	05/25/19	FNMA SERIES 2016-M9 ASQ2 DTD 06/01/2016 1.785% 06/01/2019	3136ASPX8	3,276.40	3,276.40	0.00	3,276.40	(32.76)	0.00	
	05/01/19	05/25/19	FNA 2018-M5 A2 DTD 04/01/2018 3.560% 09/25/2021	3136B1XP4	7,117.37	7,117.37	0.00	7,117.37	(141.57)	0.00	
	05/15/19	05/15/19	TOYOTA ABS 2016-C A3 DTD 08/10/2016 1.140% 08/15/2020	89237WAD9	13,301.10	13,301.10	0.00	13,301.10	0.35	0.00	
	05/15/19	05/15/19	ALLY ABS 2017-2 A3 DTD 03/29/2017 1.780% 08/15/2021	02007HAC5	44,040.30	44,040.30	0.00	44,040.30	5.19	0.00	
	05/15/19	05/15/19	FORD ABS 2017-A A3 DTD 01/25/2017 1.670% 06/15/2021	34531EAD8	39,408.13	39,408.13	0.00	39,408.13	0.15	0.00	
	05/15/19	05/15/19	NISSAN ABS 2016-B A3 DTD 04/27/2016 1.320% 01/15/2021	65478VAD9	10,585.26	10,585.26	0.00	10,585.26	1.64	0.00	
	05/15/19	05/15/19	TOYOTA ABS 2017-B A3 DTD 05/17/2017 1.760% 07/15/2021	89190BAD0	29,939.37	29,939.37	0.00	29,939.37	2.30	0.00	
	05/15/19	05/15/19	NISSAN ABS 2017-A A3 DTD 03/28/2017 1.740% 08/15/2021	654747AD6	31,325.28	31,325.28	0.00	31,325.28	3.32	0.00	
	05/15/19	05/15/19	HYUNDAI ABS 2016-A A3 DTD 03/30/2016 1.560% 09/15/2020	44930UAD8	16,434.57	16,434.57	0.00	16,434.57	3.19	0.00	
	05/15/19	05/15/19	HYUNDAI ABS 2017-A A3 DTD 03/29/2017 1.760% 08/15/2021	44931PAD8	24,944.54	24,944.54	0.00	24,944.54	2.02	0.00	
	05/15/19	05/15/19	TOYOTA ABS 2017-A A3 DTD 03/15/2017 1.730% 02/15/2021	89238MAD0	15,149.77	15,149.77	0.00	15,149.77	1.78	0.00	
	05/15/19	05/15/19	HYUNDAI ABS 2016-B A3 DTD 09/21/2016 1.290% 04/15/2021	44891EAC3	28,774.87	28,774.87	0.00	28,774.87	3.87	0.00	
	05/15/19	05/15/19	JOHN DEERE ABS 2017-B A3 DTD 07/15/2017 1.820% 10/15/2021	47788BAD6	26,997.73	26,997.73	0.00	26,997.73	1.98	0.00	
	05/15/19	05/15/19	JOHN DEERE ABS 2017-A A3 DTD 03/02/2017 1.780% 04/15/2021	47787XAC1	13,978.23	13,978.23	0.00	13,978.23	1.99	0.00	
	05/18/19	05/18/19	HAROT 2017-3 A3 DTD 09/29/2017 1.790% 09/18/2021	43814PAC4	15,410.02	15,410.02	0.00	15,410.02	1.67	0.00	
Transaction Type Sub-Total					323,914.74	323,914.74	0.00	323,914.74	(170.16)	0.00	


Managed Account Security Transactions & Interest

 For the Month Ending **May 31, 2019**
SAN JOAQUIN COUNTY TRANS AUTHORITY - 76990300

Transaction Type					Principal	Accrued		Realized G/L	Realized G/L	Sale
Trade	Settle	Security Description	CUSIP	Par	Proceeds	Interest	Total	Cost	Amort Cost	Method
SELL										
04/30/19	05/02/19	TOYOTA MOTOR CREDIT CORP DTD 04/17/2017 1.950% 04/17/2020	89236TDU6	350,000.00	347,868.50	284.38	348,152.88	(1,970.50)	(2,079.05)	FIFO
05/01/19	05/03/19	US TREASURY NOTES DTD 07/31/2015 1.625% 07/31/2020	912828XM7	1,000,000.00	991,132.81	4,129.83	995,262.64	(9,492.19)	(9,126.27)	FIFO
05/03/19	05/07/19	PACCAR FINANCIAL CORP NOTES DTD 11/13/2017 2.050% 11/13/2020	69371RN85	270,000.00	267,659.10	2,675.25	270,334.35	(2,316.60)	(2,328.43)	FIFO
05/03/19	05/10/19	US TREASURY NOTES DTD 08/31/2015 1.375% 08/31/2020	912828L32	230,000.00	227,008.20	610.16	227,618.36	(2,551.57)	(2,797.57)	FIFO
05/10/19	05/14/19	IBM CORP NOTES DTD 01/27/2017 1.900% 01/27/2020	459200JN2	475,000.00	472,601.25	2,682.43	475,283.68	(1,942.75)	(2,289.64)	FIFO
05/22/19	05/23/19	AMXCA 2018-1 A DTD 03/21/2018 2.670% 10/17/2022	02582JHQ6	505,000.00	505,572.07	299.63	505,871.70	630.70	616.15	FIFO
Transaction Type Sub-Total				2,830,000.00	2,811,841.93	10,681.68	2,822,523.61	(17,642.91)	(18,004.81)	
Managed Account Sub-Total					61,533.55	153,034.40	214,567.95	(17,813.07)	(18,004.81)	
Total Security Transactions					\$61,533.55	\$153,034.40	\$214,567.95	(\$17,813.07)	(\$18,004.81)	

AGENDA ITEM **4c**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Triennial Performance Audits
FY15/16, 16/17, 17/18

RECOMMENDED ACTION: Motion to Receive and Accept the Reports and Findings

DISCUSSION:

California's Transportation Development Act (TDA) requires that a triennial performance audit be conducted of public transit entities receiving TDA revenues and of the regional transportation planning agencies responsible for administering the Transportation Development Act. The purpose of the performance audit is to evaluate each recipient's effectiveness and efficiency in the use of its TDA funds.

SJCOG engaged Moore & Associates to conduct the audits of the San Joaquin Regional Transit District, the San Joaquin Regional Rail Commission, the City of Lodi, City of Manteca, City of Escalon, City of Tracy, City of Ripon and SJCOG itself.

As a result of the audits, the following recommendations were included in each report (the full report is available on request).

Triennial Performance Audit Findings/Recommendations FY 15/16, 16/17 & 17/18			
SJCOG Recommendations			
TDA Program Compliance Recommendations		Importance	Timeline
1	Continue to work with the fiscal and compliance auditor to ensure audits can be completed within the time stipulated by the TDA	Medium	FY2018/19
2	SJCOG should work with its auditor to ensure on-time completion of the triennial performance audits.	Medium	FY2018/19
3	When triennial performance audits are submitted more than one year following the end of the triennium, SJCOG should withhold TDA allocations until the audits are completed	Medium	FY2018/19
4	Upon completion of the triennial performance audit process, SJCOG must prepare a transmittal letter to Caltrans which certifies the completion of the operator audits and accompanies submittal of the RTPA audit	High	FY2018/19
Functional Recommendations		Importance	Timeline
1	Incorporate Caltrans' "Regional Transportation Plan Checklist for MPOs" into the RTP/SCS document	Medium	2022 Update
2	Incorporate a form that assesses the implementation status of productivity and/or TDA triennial performance audit Medi recommendations as part of the TDA claims process.	Medium	FY 2019/20
3	Consider adding a 0.5 FTE position for the Finance department.	Medium	FY 2019/20
Rail Recommendations			
TDA Program Compliance Recommendations		Importance	Timeline
1	Be mindful of filing deadlines for the State Controller's Report.	Low	Ongoing
SJRTD Recommendations			
TDA Program Compliance Recommendations		Importance	Timeline
1	RTD should continue to use the proper definition of "full-time equivalent" (FTE) when calculating Employees for reporting to the State Controller	Medium	FY2018/19

Manteca Recommendations			
Functional Recommendations		Importance	Timeline
1	The City should allocate its annual modal expenses according to the actual amount of service being provided.	Low	FY2018/19
2	Report only the appropriate modal data on the appropriate State Controller Report, and ensure FTE 20 data is reported accurately by mode.	High	FY2019/20
Tracy Recommendations			
TDA Compliance Recommendations		Importance	Timeline
1	Submit all future State Controller Reports on time.	High	Ongoing
2	The City should work with its TDA auditor to complete its fiscal audit on time.	High	FY2018/19
3	Monitor performance measures carefully to ensure the City can meet at least two of them each year.	High	Ongoing
4	Use the TDA definition of Full-Time Equivalent (FTE) employee for the City's State Controller reporting.	High	FY2018/19
Ripon Recommendations			
Functional Recommendations		Importance	Timeline
1	Do not count funds that are allocated through the TDA (whether LTF or STA) as local revenue for the purpose	High	FY2018/19
2	Use the same methodology for calculating operating costs for all reports.	High	FY2019/20
3	Post the Title VI Notice to the Public in all transit vehicles.	High	FY2018/19
Escalon Recommendations			
TDA Compliance Recommendation		Importance	Timeline
1	The City should ensure future State Controller reports are submitted within the stipulated timeframe	Medium	Ongoing
Functional Recommendations		Importance	Timeline
1	The City's transit webpage should, at a minimum, include route and schedule information, either located on the page itself or as a downloadable .pdf	High	ASAP
Lodi Recommendations			
Functional Recommendation		Importance	Timeline
1	The City should use the proper definition of "full-time equivalent" (FTE) when calculating Employees for reporting to the State Controller.	High	FY 2018/19.

SAN JOAQUIN REGIONAL TRANSIT DISTRICT
Triennial Audit Findings

Conclusions

With one exception, Moore & Associates finds RTD to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with RTD staff, analysis of program performance, and an audit of program compliance and function, the audit team presents no compliance findings.

Moore & Associates has identified one functional finding:

RTD incorrectly reported “full-time equivalent” employees on its State Controller Reports in FY 2015/16 and FY 2016/17.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for RTD. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional Recommendations address issues identified during the audit that are not specific to TDA compliance.

Given there are no compliance findings, only functional findings are presented below.

Functional Finding 1: RTD incorrectly reported “full-time equivalent” employees on its State Controller Reports in FY 2015/16 and FY 2016/17.

Criteria: The Transit Operators Financial Transaction Report Instructions published by the State Controller state the following with respect to the reporting of Total Employees – Public and Contract:

Report the number of employee equivalents. Public Utilities Code section 99247(j) defines "Vehicle service hours per employee" as the vehicle service hours divided by the number of employees employed in connection with the public transportation system. Use the assumption that 2,000 person-hours of work in one year constitutes one employee. The number of employees shall also include those individuals employed by the operator which provide services to the agency of the operator responsible for the operation of the public transportation system even though not employed in that agency.³

Condition: When asked to provide methodology for calculating full-time equivalent (FTE) employees, RTD initially provided data used in its NTD report. However, the NTD report only includes hours for employees in a directly operated service. This would account for all administrative, operations, and maintenance hours for the directly operated service. It would not include hours worked by contract employees in the provision of contracted services. TDA regulations require transit operators to account for the total amount of time spent on transit activities, which is then divided by 2,000 to calculate full-time equivalent (FTE). This calculated figure should be reported in the State Controller Report under Employees.

In FY 2015/16, calculations based on the NTD report (which reports actual hours as well as a person-count) resulted in 180 FTE, while 194 FTE were reported to the State Controller. Zero employees were reported with respect to Dial-A-Ride services. In FY 2016/17, 200 FTE was calculated based on the NTD report, while 197 FTE were reported to the State Controller. Again, zero employees were reported with respect to Dial-A-Ride services. While the calculation methodology is correct (dividing hours worked by 2,000), the hours do not appear to include contract employees.

In FY 2017/18, the State Controller Report both included employees for Dial-A-Ride and calculated FTE using the TDA definition. Since RTD is using the TDA definition, this is considered a functional finding and not a compliance finding.

Cause: In prior years, there appeared to be a lack of understanding with respect to the definition of FTE for reporting to the State Controller.

Effect: Use of a definition other than the TDA definition puts RTD out of compliance with the TDA.

Recommendation: RTD should continue to use the proper definition of “full-time equivalent” (FTE) when calculating Employees for reporting to the State Controller.

Recommended Action(s): Given RTD has already demonstrated it is now using the TDA definition of full-time equivalent employee, the focus should be on continuing to calculate FTE correctly. Contractors need to provide RTD with a record of hours worked during the fiscal year prior to the development of the State Controller report. These hours should be added to RTD hours for calculation of fixed-route and demand-response FTE for reporting to the State Controller.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

TDA Program Compliance Recommendations		Importance	Timeline
1	RTD should continue to use the proper definition of "full-time equivalent" (FTE) when calculating Employees for reporting to the State Controller	Medium	FY2018/19

SJRTD RESPONSE: In FY16 and FY17, RTD reported FTE to its State Controller's Report using National Transit Database's (NTD) FTE definition. For its FY18 report, RTD learned that State Controller's Report requirement for FTE should follow TDA FTE definition, so RTD complied with the requirements in its FY18 State Controller's Report. We will continue to report FTE calculation in our State Controller's Report using the TDA FTE definition in upcoming report years.

CITY OF RIPON

Triennial Audit Findings

Conclusions

Moore & Associates finds the City of Ripon to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with City staff, analysis of program performance, and an audit of program compliance and function, the audit team presents no compliance findings.

Moore & Associates has identified three functional findings. While these findings do not affect TDA compliance, we feel they are significant enough to be addressed within this audit.

1. LTF should not be counted as "local sales tax" on the State Controller's supplemental report.
2. Operating cost/expenses as reported on the TDA claim, to the State Controller, and in the TDA fiscal audit should be generally consistent with one another.
3. Transit vehicles appear to be missing the Title VI Notice to the Public, which should be displayed onboard.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for the City of Ripon. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional

Recommendations address issues identified during the audit that are not specific to TDA compliance.

Given there were no compliance findings, only functional recommendations are provided.

Functional Finding 1: LTF should not be counted as “local sales tax” on the State Controller’s supplemental report.

Criteria: In FY 2016/17, the State Controller’s Office began asking operators to complete a supplemental form to identify qualifying revenues that could be applied to fare-box recovery ratio calculations per PUC 99268.

Condition: On the form completed in FY 2016/17, staff included \$3,811 on line R11, identified as “Local Sales Tax (from other Local Governments).” On the State Controller Report completed earlier in the year, that amount was identified as Local Transportation Funds (LTF). LTF is not considered a qualifying revenue for calculating the fare-box recovery ratio. Per PUC 99268.19, as amended by Senate Bill 508, federal and state funds cannot be used for fare-box revenue supplementation. Fortunately, the amount is such that it does not make a difference between meeting and not meeting fare-box recovery requirements. The City receives sufficient Measure K funds (which are locally generated) that it meets its fare-box recovery ratio requirement absent any additional supplementation.

Cause: Given LTF is funded through sales tax, the City may mistakenly be counting it as a local funding source.

Effect: Such a mischaracterization of funds could have an impact on the fare-box recovery ratio calculation and, ultimately, the City’s eligibility to receive TDA funds.

Recommendation: Do not count funds that are allocated through the TDA (whether LTF or STA) as local revenue for the purpose of fare revenue supplementation.

Recommended Action(s): The City should be mindful of the characterization of LTF and STA funding as state TDA funds, not local funds, and be careful not to count those funds toward farebox revenue supplementation.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

RIPON RESPONSE: **Implemented**

Functional Finding 2: Operating cost/expenses as reported to the State Controller and in the City’s TDA fiscal audit should be consistent with one another.

Criteria: PUC 99247 provides a definition of operating cost, which includes all costs in the operating expense class of the Uniform System of Accounts and excludes depreciation and amortization expense classes.

Condition: While there is no evidence that the City uses a definition of operating cost that is inconsistent with the TDA, amounts reported to various sources vary considerably. For example:

	State Controller Report	City Budget (Actual)	TDA fiscal audit
FY 2015/16	\$49,233	\$49,232	\$49,134
FY 2016/17	\$33,226	\$33,227	\$28,975
FY 2017/18	\$27,647	\$27,648	\$30,685

While the State Controller Report and City Budget are consistent with one another, the TDA fiscal audit was significantly lower in FY 2016/17 and higher in FY 2017/18.

Cause: Modest discrepancies in operating cost are not uncommon, given the timing of preparation of the various reports and documents.

Effect: Large discrepancies can cast doubt on the accuracy of the City’s reporting, and have an impact on fare-box recovery ratios.

Recommendation: Use the same methodology for calculating operating cost for all reports.

Recommended Action(s): All operating cost data should be drawn from the same sources, and should be generally consistent regardless of where it is reported. Even if slight variations are identified through the audit process, large discrepancies should not be present.

Timeline: Beginning FY 2019/20.

Anticipated Cost: Negligible.

Management Response: The City does not believe it is feasible to implement this recommendation given the City’s financial statements are on a cash basis and the TDA audit is completed on an accrual basis. This causes the discrepancies in operating cost from year to year.

Functional Finding 3: Transit vehicles appear to be missing the Title VI Notice to the Public, which should be displayed onboard.

Criteria: The FTA requires any transit operator in receipt of federal funds, regardless of whether they are used for operating or capital, to prepare a Title VI program to ensure there is no discrimination based on race, color, or national origin. One element of this program is the Notice to the Public, which is typically displayed, at a minimum, onboard transit vehicles and on transit websites.

Condition: While the City displays its non-discrimination statement and Title VI complaint for on its website, transit vehicles do not include any signage pertaining to Title VI.

Cause: The demand-response vehicle may not include signage given it is typically used to transport Bethany Home residents. The cause of the omission on the two Gilligs is unclear.

Effect: If the City's Title VI program includes a statement that the Notice to the Public is posted onboard transit vehicles, then the City may be out of compliance with its own policy. If such a statement is not included, then while the City may be in compliance, it still does not adequately provide notice of Title VI.

Recommendation: Post the Title VI Notice to the Public in all transit vehicles.

Recommended Action(s): Prepare simple signage containing the Title VI Notice to the Public for display in all transit vehicles. A sample notice is provided in Appendix B of FTA Circular 4702.1B. The notice should be printed using a font large enough to be read by the average customer and provided in all languages identified as Safe Harbor languages by the City's Title VI program. Title VI notices are typically posted at the front of the vehicle, often above the front windshield.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

RIPON RESPONSE: Will implement in FY18/19

Functional Recommendations		Importance	Timeline
1	Do not count funds that are allocated through the TDA (whether LTF or STA) as local revenue for the purpose of fare revenue supplementation.	High	FY2018/19
2	Use the same methodology for calculating operating costs for all reports.	High	FY2019/20
3	Post the Title VI Notice to the Public in all transit vehicles.	High	FY2018/19

SAN JOAQUIN REGIONAL RAIL COMMISSION

Triennial Audit Findings

Conclusions

With one exception, Moore & Associates finds the Regional Rail Commission to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with SJRRC staff, analysis of program performance, and an audit of program compliance and function, the audit team presents one compliance finding.

1. The FY 2015/16 State Controller Report was submitted late.
2. Moore & Associates has identified no functional findings.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for the SJRRC. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional Recommendations address issues identified during the audit that are not specific to TDA compliance.

Given there are no functional findings, only compliance findings are provided below.

Compliance Finding 1: The FY 2015/16 State Controller Report was submitted late.

Criteria: PUC 99243(a) requires transit operators to file an annual report with the State Controller's Office within a prescribed period of time. In FY 2015/16, the deadline was 110 days following the end of the fiscal year, or October 18, 2016, if filing electronically.

Condition: Per SJRRC staff, the FY 2015/16 State Controller Report was submitted late for two reasons. First, the SJRRC did not receive the letters from the State Controller's Office containing forms, instructions, and the submittal deadline. Second, SJRRC staff believed the filing deadline had been changed to January 31, 2017, beginning with that reporting year. Because they believed the deadline had been changed, staff did not follow up with the State Controller's Office when they did not receive the letter by the beginning of October. As soon as SJRRC staff was contacted by the State Controller's Office due to their failure to submit the report, SJRRC staff immediately requested a copy of the letter and forms and subsequently submitted SJRRC's report.

Cause: The cause of this finding was a combination of failing to receive official notification from the State Controller and a misunderstanding regarding a change in the filing deadline.

Effect: Regardless of cause, because the report was submitted late, SJRRC is out of compliance with the TDA.

Recommendation: Be mindful of filing deadlines for the State Controller's Report.

Recommended Action(s): Beyond noting the annual deadline for filing the State Controller's Report, no action is required at this time. The confusion that led to the late filing was due to a pending change in the submittal deadline, which has now taken place. Assuming no further changes are made to the submittal deadline, no future problems are anticipated.

Timeline: Ongoing.

Anticipated Cost: None.

SJRRC RESPONSE: As noted on the report we are aware of the State Controllers Report deadlines and no further action is required. We don't have any additional comments.

TDA Program Compliance Recommendations		Importance	Timeline
1	Be mindful of filing deadlines for the State Controller's Report.	Low	Ongoing

CITY OF MANTECA

Triennial Audit Findings

Conclusions

Moore & Associates finds the City of Manteca to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with City staff, analysis of program performance, and an audit of program compliance and function, the audit team presents no compliance findings.

Moore & Associates has identified two functional findings. While these findings do not affect TDA compliance, we feel they are significant enough to be addressed within this audit.

1. In the reporting of operating expense by mode in FY 2015/16 and FY 2016/17, the City appeared to allocate its expenses equally between the two modes, despite a significant difference in annual Vehicle Service Hours.
2. In the FY 2017/18 State Controller Report, operating data for both modes was reported on both the general and specialized services reports, and Motor Bus FTE data was reported inconsistently between the two reports.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for the City of Manteca. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional Recommendations address issues identified during the audit that are not specific to TDA compliance.

Given there are no compliance findings, only Functional Recommendations are provided.

Functional Finding 1: In the reporting of operating expense by mode in FY 2015/16 and FY 2016/17, the City appeared to allocate its expenses equally between the two modes, despite a significant difference in annual Vehicle Service Hours.

Criteria: Given the City files separate reports to the State Controller for its fixed-route service and its specialized demand-response service, as well as for the NTD report, individual operating expenses must be reported for each mode.

Condition: In both FY 2016 and FY 2017, the operating expenses reported for each mode were very similar, if not identical, though the number of vehicle service hours operated for demand-response were less than half those operated for fixed-route service.

	Operating Expenses	Annual Revenue
FY 2016 Fixed-Route	\$436,998	10,023
FY 2016 Specialized Services	\$431,957	4,344
FY 2017 Fixed-Route	\$565,850	9,973
FY 2017 Specialized Services	\$565,850	4,559

Cause: When operating costs is not specifically itemized by mode, it cannot be accurately represented absent a defined calculation methodology.

Effect: Actual modal operating cost can be over- or under-represented, resulting in a skewed fare-box recovery ratio or other cost-related performance metrics.

Recommendation: The City should allocate its annual modal expenses according to the actual amount of service being provided.

Recommended Action(s): Each year, the City should define a ratio of fixed-route and demand-response operating costs based on annual revenue hours in order to accurately reflect the cost of each mode. See Chapter 5 for further explanation. Certain costs may need to be factored in on a mode-specific basis. If this is the case, that amount can be deducted from the total operating cost before determining the split of operating cost based on the percentage of hours, then added back in to the appropriate mode only.

By the time this report was finalized, the City had utilized a more consistent methodology in reporting its FY 2017/18 data, as shown below. As such, no further action is necessary provided the City continues to utilize such methods.

FY 2017/18	Fixed-Route	Demand-Response	System-Wide
Operating Cost (Actual \$)			
<i>National Transit Database</i>	\$1,105,745	\$451,642	\$1,557,387
<i>State Controller Report</i>	\$1,105,745	\$451,643	\$1,557,388
<i>NTD Percentage Split</i>	71.0%	29.0%	100.0%
<i>State Controller Report Percentage Split</i>	71.0%	29.0%	100.0%
Fare Revenue (Actual \$)			
<i>National Transit Database</i>	\$29,320	\$23,090	\$52,410
<i>State Controller Report</i>	\$29,320	\$23,090	\$52,410
Vehicle Service Hours (VSH)			
<i>National Transit Database</i>	10,320	4,177	14,497
<i>State Controller Report</i>	10,320	4,177	14,497
<i>NTD Percentage Split</i>	71.2%	28.8%	100.0%
<i>State Controller Report Percentage Split</i>	71.2%	28.8%	100.0%

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

MANTECA RESPONSE #1: This recommendation has been implemented and used for FY 2017/18 reporting.

Functional Finding 2: In the FY 2017/18 State Controller Report, operating data for both modes was reported on both the general and specialized services reports, and Motor Bus FTE data was reported inconsistently between the two reports.

Criteria: The City of Manteca files separate Financial Transaction Reports to the State Controller, one for the regular (fixed-route) service and the other for the specialized (demand-response) service. Financial and performance data for the modes should be reported separately on the two reports.

Condition: In FY 2017/18, both reports included performance data for both modes, rather than only for the mode included in that report. In addition, FTE data for the fixed-route service (Motor Bus) was reported as 14 in the general report and as eight in the specialized services report. Demand-response FTE was reported as four in both reports.

Cause: While the cause of the errors in reporting is unclear, significant changes to the Financial Transaction Report form in FY 2017/18 may have been a contributing factor.

Effect: The errors in reporting create a misrepresentation of the operating characteristics of the City's transit service.

Recommendation: Report only the appropriate modal data on the appropriate State Controller Report, and ensure FTE data is reported accurately by mode.

Recommended Action(s): The City should ensure it accurately reports only the appropriate mode- specific data on each of the two Financial Transaction Reports it submits to the State Controller. Within this mode-specific data, FTE data should be accurately reported.

Timeline: FY 2019/20.

Anticipated Cost: Negligible.

MANTECA RESPONSE #2: The State Controller Report was recalled to make the correction and was resubmitted.

Functional Recommendations		Importance	Timeline
1	The City should allocate its annual modal expenses according to the actual amount of service being provided.	Low	FY2018/19
2	Report only the appropriate modal data on the appropriate State Controller Report, and ensure FTE 20 data is reported accurately by mode.	High	FY2019/20

CITY OF TRACY

Triennial Audit Findings

Conclusions

With four exceptions, Moore & Associates finds the City of Tracy to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with City staff, analysis of program performance, and an audit of program compliance and function, the audit team presents four compliance findings.

1. State Controller Reports were submitted beyond the specified deadline in

FY 2016 and FY 2017.

2. Fiscal audits were submitted late, well beyond the allowed 90-day extension.
3. In FY 2017, the City did not achieve two of three performance measures established in lieu of fare-box recovery ratio.
4. The City did not demonstrate use of the proper definition of Full-Time Equivalent in its reporting to the State Controller.

Moore & Associates has identified no functional findings.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for the City of Tracy. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional Recommendations address issues identified during the audit that are not specific to TDA compliance.

Given there are no functional findings, only TDA Compliance recommendations are provided.

Compliance Finding 1: State Controller Reports were submitted beyond the specified deadline in FY 2015/16 and FY 2016/17.

Criteria: PUC 99243(a) requires transit operators to file an annual report with the State Controller's Office within a prescribed period of time. In FY 2015/16, the deadline was 110 days following the end of the fiscal year, or October 18, 2016, if filing electronically. In FY 2016/17, the deadline was extended to seven months following the end of the fiscal year, or January 31, 2018.

Condition: In FY 2015/16, the deadline for submittal was October 18, 2016. The City's report was submitted on December 22, 2016. In FY 2016/17, the deadline for submittal was January 31, 2018. The City's report was submitted on March 19, 2018. In FY 2017/18, the State Controller Report was submitted on time.

Cause: The cause for the delay in submitting the State Controller Report was unclear.

Effect: Because the reports were submitted late, the City is out of compliance with the TDA.

Recommendation: Submit all future State Controller Reports on time.

Recommended Action(s): All employees involved in the preparation of the State Controller Reports should be aware of the January 31 deadline and strive to complete

and submit the report on time each year. Given the FY 2017/18 report was submitted on time, this issue may already be resolved.

Timeline: Ongoing.

Anticipated Cost: None.

TRACY RESPONSE #1: The City has hired Maze & Assoc. to complete and submit the State Controller's reports in a timely and more efficient matter in conjunction with the CAFR. The FY18 State Controller's report were submitted on time.

Compliance Finding 2: Fiscal audits were submitted late, well beyond the allowed 90-day extension.

Criteria: PUC 99245 requires transit operators to submit fiscal and compliance audits within 180 days following the end of the fiscal year (or with up to 90-day extension).

Condition: In FY 2015/16 and FY 2016/17, TDA fiscal audits were completed nearly a year after the end of the fiscal year. While the City was granted a 90-day extension, this exceeds the stipulated deadline of 180 days following the end of the fiscal year plus the extension. While the TDA auditor is under contract to SJCOG, not the City, it is still the City's responsibility to work with the auditor to complete its TDA audits in a timely manner, as well as request an extension if needed.

Cause: Several causes can result in the audit being completed late, including failure to close out the City's records in a timely manner, unavailability of personnel or documents, and lack of capacity on the part of the auditor.

Effect: Given the contract is through SJCOG, ultimately it is the RTPA's responsibility to ensure audits are completed on time. However, as a party to the audit, the City should take a proactive role in ensuring its timely completion.

Recommendation: The City should work with its TDA auditor to complete its fiscal audit on time.

Recommended Action(s): While the FY 2017/18 TDA fiscal audit was completed on time, the City should continue to work closely with its TDA auditor to ensure the TDA audit can be completed on time. If the audit cannot be completed within 180 days, an extension should be requested in writing, and documentation should be maintained for review at the next triennial performance audit. Should an audit be completed past the allowable extension period in a given fiscal year, the City should work with SJCOG and the auditor to determine the cause of the delay and strive to ensure the same delay does not happen the following year.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

TRACY RESPONSE #2: The TDA Audit is completed in conjunction with the CAFR. The FY18 CAFR was completed and published in December 2018. The City provided the TDA Auditors (Brown and Armstrong) with the published CAFR and the 90 extended deadline of March 31, 2018 was met.

Compliance Finding 3: In FY 2017, the City did not achieve two of three performance measures established in lieu of farebox recovery ratio.

Criteria: PUC 99405 allows an operator receiving allocations under Article 8(c) to be subject to regional, countywide, or subarea performance criteria, local match requirements, or fare recovery ratios adopted by resolution of the RTPA.

Condition: Along with Manteca, Lodi, and Escalon, the City of Tracy's performance is assessed using three performance measures. These performance measures are operating cost per revenue hour, passengers per revenue hour, and subsidy per passenger. Claimants must meet two of the three objectives or be within a five percent margin at the end of the three-year period. In FY 2016/17 and FY 2017/18, the City met its performance measure with respect to subsidy per passenger, but not operating cost per revenue hour or passengers per revenue hour. However, in FY 2016/17, the City was within five percent of the cost per revenue hour standard, which would put it in compliance with two metrics and therefore in compliance overall. This means FY 2017/18 would be the first non-compliant year, which would make it the one-time grace year.

Cause: In FY 2016/17, the City implemented a new operations contract, the cost of which was significantly higher than the previous year due to driver wage increases and additional staffing.

Effect: Such an operating cost increase without a corresponding increase in revenue hours resulted in a significant increase in operating cost per revenue hour.

Recommendation: Monitor performance measures carefully to ensure the City can meet at least two of them each year.

Recommended Action(s): The City should monitor its performance measures on an ongoing basis so as to meet its performance goals. If, based on the anticipated operating cost, fare revenue, and/or revenue hours, it does not appear the City will meet two of three performance measures, it should address those deficiencies and determine what actions it can take to work toward compliance, at a minimum by the of the three-year goal period.

Timeline: Ongoing.

Anticipated Cost: Negligible.

TRACY RESPONSE #3: The City of Tracy is currently working with SJCOG to update the performance measures for the next triennial performance period taking into consideration the current costs and forecasted costs. The City is expecting to have the updated performance measures approved by May 2019. Performances are monitored monthly through the monthly performance reports provided the City's operating contractor. If City foresees a potential issue in not meeting at least two of the performance measures, the City will evaluate ways to either increase ridership and/or decrease expenses. SJCOG will be notified of the potential issue and together work out a solution.

Compliance Finding 4: The City did not demonstrate use of the proper definition of Full-Time Equivalent in its reporting to the State Controller.

Criteria: The Transit Operators Financial Transaction Report Instructions published by the State Controller state the following with respect to the reporting of Total Employees – Public and Contract:

Report the number of employee equivalents. Public Utilities Code section 99247(j) defines "Vehicle service hours per employee" as the vehicle service hours divided by the

number of employees employed in connection with the public transportation system. Use the assumption that 2,000 person-hours of work in one year constitutes one employee. The number of employees shall also include those individuals employed by the operator which provide services to the agency of the operator responsible for the operation of the public transportation system even though not employed in that agency.³

Condition: The City's calculation methodology is unclear. While it is apparent the City is including contractor hours in its State Controller reporting, the City did not demonstrate how it calculated or defined those numbers.

Cause: There may be a disconnect between the individual responsible for preparation of the State Controller Report and those who review the Triennial Performance Audit findings, or a lack of understanding of how the FTE metric is defined by the State Controller. In some cases, the City accepts FTE as from the contractor without verifying that it has been calculated using the TDA definition.

Effect: Use of a definition other than the TDA definition puts the City out of compliance with the TDA.

Recommendation: Use the TDA definition of Full-Time Equivalent (FTE) employee for the City's State Controller reporting.

Recommended Action(s): Use payroll records from the City and the contractor to document the total amount of time spent on transit, and use that figure (divided by 2,000) to calculate FTE for reporting to the State Controller. Do not report a person-count, use a divisor of 2,080 hours, or use FTE figures used in budgeting to calculate Employees for the State Controller Report.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

TRACY RESPONSE #4: Staff on both the Transit and Finance side were unaware of the difference in FTE definitions. Moving forward, staff will use the TDA definition of FTE for the State Controller report.

	TDA Compliance Recommendations	Importance	Timeline
1	Submit all future State Controller Reports on time.	High	Ongoing
2	The City should work with its TDA auditor to complete its fiscal audit on time.	High	FY2018/19
3	Monitor performance measures carefully to ensure the City can meet at least two of them each year.	High	Ongoing
4	Use the TDA definition of Full-Time Equivalent (FTE) employee for the City's State Controller reporting.	High	FY2018/19

CITY OF ESCALON

Triennial Audit Findings

Conclusions

With one exception, Moore & Associates finds the City of Escalon to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with City staff, analysis of program performance, and an audit of program compliance and function, Moore & Associates has identified one compliance findings:

1. In FY 2015/16, the State Controller Report was submitted after the stipulated deadline.

Moore & Associates has identified one functional finding. While this finding does not affect TDA compliance, we believe it warrants inclusion within this audit:

1. The City's transit webpage does not effectively communicate eTrans service information.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for the City of Escalon. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional Recommendations address issues identified during the audit that are not specific to TDA compliance.

Compliance Finding 1: In FY 2015/16, the State Controller Report was submitted after the stipulated deadline.

Criteria: PUC 99243(a) requires transit operators to file an annual report with the State Controller's Office within a prescribed period of time. In FY 2015/16, the deadline was 110 days following the end of the fiscal year, or October 18, 2016, if filing electronically.

Condition: In FY 2015/16, the deadline for submittal was October 18, 2016. The City's report was submitted on October 27, 2016. While this was only one week past the deadline, it was still late.

Cause: The cause for the delay in submitting the State Controller Report was a challenge with uploading the document via the State Controller's FTP site.

Effect: Failure to submit the report on time results in the City being out of compliance with the TDA.

Recommendation: The City should ensure future State Controller reports are submitted within the stipulated timeframe.

Recommended Action(s): Beyond noting the annual deadline for filing the State Controller's Report, no action is required at this time. The next year's report was submitted on time, and the deadline extended to January 31.

Timeline: Ongoing.

Anticipated Cost: None.

Functional Finding 1: The City's transit webpage does not effectively communicate eTrans service information.

Criteria: Marketing and public information is a key functional area for a transit operator. Ready availability of route and schedule information is a critical component of this functional area.

Condition: While the transit webpage included a link to fare information, it does not include any route or schedule information, though it does feature a link to the Google Trip Planner. The City recently fixed some broken links and linked a user-friendly URL (www.escalonetrans.org) with its transit webpage.

Cause: The City may not include the service information because it includes the link to the Google Trip Planner.

Effect: While the Google Trip Planner provides route and schedule information, it does not provide a comprehensive overview of the route, stops, or hours of operation for potential riders.

Recommendation: The City's transit webpage should, at a minimum, include route and schedule information, either located on the page itself or as a downloadable .pdf file.

Recommended Action(s): The easiest solution may be to upload an electronic version of the existing Rider's Guide to the City's transit webpage.

Timeline: FY 2018/19.

Anticipated Cost: None.

TDA Compliance Recommendation		Importance	Timeline
1	The City should ensure future State Controller	Medium	Ongoing
	reports are submitted within the stipulated timeframe		
Functional Recommendations		Importance	Timeline
1	The City's transit webpage should, at a minimum,	High	ASAP
	include route and schedule information, either located on the page itself or as a downloadable .pdf		

Escalon Response #1: Staff has ensured that the Transit Operator Financial Report is submitted timely. There was an issue with the electronic submission and the Transit Coordinator had a documented conversation with Chi Ha, Fiscal Analyst, Local Government Reporting Section Division of Accounting and Reporting, California State Controller's Office on 10-28-16 on the issue and they accepted the submission once the issue was resolved internally with their FTP site.

Escalon Response #2: The City of Escalon changed over during the time when the auditor was doing field work and as a result, not all the information transferred over to the new site. The new webpage is being redesigned and will be updated by 5-15-19 by the Transit Coordinator. The old website had all of the information suggested by the auditor. See here for the old website: <http://web.archive.org/web/20180903023415/http://cityofescalon.org/departments/transit-services/>

CITY OF LODI

Triennial Audit Findings

Conclusions

With one exception, Moore & Associates finds the City of Lodi to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner.

Findings and Recommendations

Based on discussions with City of Lodi staff, analysis of program performance, and an audit of program compliance and function, the audit team presents one compliance finding.

1. The City's Full-Time Equivalent calculation uses 2,080 hours to calculate contractor FTE and does not appear to include City maintenance labor hours.

Moore & Associates has identified no functional findings.

Program Recommendations

In completing this Triennial Performance Audit, Moore & Associates submits the following recommendations for the City of Lodi. They are divided into two categories: TDA Program Compliance Recommendations and Functional Recommendations. TDA Program Compliance Recommendations are intended to assist in bringing the operator into compliance with the requirements and standards of the TDA, while Functional Recommendations address issues identified during the audit that are not specific to TDA compliance.

Given there are no functional findings, only TDA Compliance Recommendations are provided.

Compliance Finding 1: The City's Full-Time Equivalent calculation uses 2,080 hours to calculate contractor FTE and does not appear to include City maintenance labor hours.

Criteria: The Transit Operators Financial Transaction Report Instructions published by the State Controller state the following with respect to the reporting of Total Employees – Public and Contract:

Report the number of employee equivalents. Public Utilities Code section 99247(j) defines "Vehicle service hours per employee" as the vehicle service hours divided by the number of employees employed in connection with the public transportation system. Use the assumption that 2,000 person-hours of work in one year constitutes one employee. The number of employees shall also include those individuals employed by the operator which provide services to the agency of the operator responsible for the operation of the public transportation system even though not employed in that agency.³

³ Transit Operators Financial Transaction Report Instructions, California State Controller's Office, page 22.

Condition: In the documentation provided by the City to the audit team, contractor hours were divided by 2,080 to calculate FTE, which was then added to City transit FTE. Those numbers were then rounded. No mechanic hours were included in the calculation. These hours may have been included in the data reported to the State Controller, as that number of employees was slightly higher than what appeared on the City's documentation. Data from FY 2017/18 is shown below as an example.

	Total	Fixed-Route	Demand-Response
Contractor Hours	54,546.26	36,097.89	18,448.37
FTE (Divided by 2,080)	26.22	17.35	8.87
FTE (Divided by 2,000)	27.27	18.05	9.22

	Fixed-Route	Demand-Response		Fixed-Route	Demand-Response
	Based on 2,080			Based on 2,000	
Contractor	17.35	8.87		18.05	9.22
City Mechanics	0.00	0.00		0.00	0.00
City Admin	1.50	1.50		1.50	1.50
Total FTE	18.85	10.37		19.55	10.72
Rounded FTE	19	10		20	11

Cause: There appears to be a lack of understanding with respect to the definition of FTE for reporting to the State Controller.

Effect: Use of a definition other than the TDA definition puts the City out of compliance with the TDA.

Recommendation: The City should use the proper definition of “full-time equivalent” (FTE) when calculating Employees for reporting to the State Controller.

Recommended Action(s): In calculating FTE, the City should add together all hours worked by the contractor, all hours worked by administrative staff, and all hours worked by maintenance staff. This should include all hours worked (including overtime), but not hours for sick time, vacation, or leave (even though those hours might be paid out of the transit fund). Ideally, actual hours worked would be run for all dedicated City transit employees, though 2,000 hours could be counted for each full-time transit employee if necessary. Once the hours have been calculated, they can be split between fixed- route and demand-response using a percentage formula. The resulting hours should be divided by 2,000 and rounded to the nearest whole number for reporting to the State Controller. This method is demonstrated in the table below.

	Fixed-Route	Demand-Response
Contractor	36,097.89	18,448.37
City Mechanics	0.00	0.00
City Admin	3,000	3,000
Total hours	39,097.87	21,448.27
FTE (divided by 2,000)	19.55	10.72
Rounded FTE	20	11

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

Functional Recommendation		Importance	Timeline
1	The City should use the proper definition of “full-time equivalent” (FTE) when calculating Employees for reporting to the State Controller.	High	FY 2018/19.

LODI RESPONSE: Our finding regarding the use of 2,080 hours to calculate FTE is based on past acceptable standards of practice. We were unaware that 2,000 hours was the requirement for reporting to the State Controller. Moving forward, Lodi has changed its FTE calculation methodology for future SCO reports. With regard to the issue of not including City mechanics hours into the FTE calculation methodology, this is due to the fact that there are no dedicated transit mechanics. Our City’s Fleet Maintenance Division charges back vehicle maintenance expenses to the transit operating budget. This practice has been in place since 1994 when the fixed route transit system was first implemented and has never been identified as a finding in the past.

SAN JOAQUIN COUNCIL OF GOVERNMENTS

Triennial Audit Findings

Conclusions

With four exceptions, we find San Joaquin Council of Governments, functioning as the RTPA, to be in compliance with the requirements of the Transportation Development Act. In addition, the entity generally functions in an efficient, effective, and economical manner. The compliance findings and the recommendations for their resolution are detailed below.

Findings and Recommendations

Based on the current review, we submit the following TDA compliance findings:

1. The City of Tracy’s TDA fiscal audits were submitted past the allowable extension in FY 2015/16 and FY 2016/17.
2. The FY 2013-FY 2015 Triennial Performance Audits were completed after the deadline set in the second extension requested by SJCOG.
3. SJCOG continued to allocate funds to operators even though triennial performance audits were not submitted by the start of the second fiscal year following the last fiscal year of the triennium.
4. SJCOG did not certify in writing completion of the prior triennial performance audit of its operators.

We also identified three additional functional findings. While these findings are not TDA compliance related, we believe they warrant inclusion within this review.

1. Compliance with 2017 Regional Transportation Plan requirements

could be more easily and effectively evaluated by incorporating Caltrans' "Regional Transportation Plan Checklist for MPOs" into the RTP/SCS document.

2. While SJCOG annually assesses operator performance during the TDA claims process, it does not currently assess the implementation status of productivity and/or TDA triennial performance audit recommendations.
3. The Finance Department warrants additional staffing in order to effectively accommodate all of its responsibilities.

In completing this Triennial Performance Audit, we submit the following findings and recommendations for the San Joaquin Council of Governments. They have been divided into two categories: TDA Program Compliance Findings and Recommendations and Functional Findings and Recommendations. TDA Program Compliance Findings and Recommendations are intended to assist in bringing the agency into compliance with the requirements and standards of the TDA, while Functional Findings and Recommendations address issues identified during the TPA that are not specific to TDA compliance. Each finding is presented with the elements identified within the 2011 *Government Auditing Standards* as well as one or more recommendations.

Compliance Finding 1: The City of Tracy's TDA fiscal audits were submitted past the allowable extension in FY 2015/16 and FY 2016/17.

Criteria: PUC 99245 requires the RTPA to ensure all claimants to whom it allocated TDA funds submit to it and to the state controller an annual certified fiscal and compliance audit within 180 days after the end of the fiscal year. One 90-day extension is allowable upon request.

Condition: SJCOG is responsible for contracting with an independent auditor to provide annual fiscal and compliance audits of itself and its TDA claimants. It regularly requests 90-day extensions for operators that are unable to complete these audits prior to 180 days following the end of the fiscal year. Nearly all of the operators were able to comply with the extended deadline. However, the City of Tracy's fiscal audits for both FY 2015/16 and FY 2016/17 were both completed in June of the year following the end of the fiscal year, which makes both audits more than 90 days late. In FY 2017/18, all audits were completed within the allowable 90-day extension.

Cause: The cause of the late completion of the audits is unclear. Given the majority of the audits were completed by the end of the 90-day extension, it is possible the auditor did not have the capacity to complete all of the audits on time.

Effect: When fiscal and compliance audits are submitted beyond the established deadline, this puts the RTPA out of compliance with the TDA. It also means the RTPA must withhold operator allocations until the TDA fiscal audit is submitted.

Recommendation: Continue to work with the fiscal and compliance auditor to ensure audits can be completed within the time stipulated by the TDA.

Recommended Action(s): Given all TDA audits for FY 2017/18 were completed on time, this recommendation may only require monitoring rather than active coordination. SJCOG should include deadlines in the auditor contract that are sufficient to ensure submittal of the triennial performance audits within 180 days following the end of the fiscal year or, if needed, within 180 days plus the additional 90-day extension. If audits are not submitted on time, TDA allocations must be withheld until the audits have been submitted.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

SJCOG RESPONSE: The TDA Fiscal Audits for the City of Tracy were late due to extenuating circumstances at the City. Brown Armstrong worked closely with the City of Tracy to try and complete them on-time, however, Tracy was unable to comply and complete the required audit work. Tracy indicated the issue was due to the late filing of their City Wide Audit in FY16/17 and staff turnover/shortages in FY15/16 and FY16/17 as well as the implementation of a new accounting software. They are now fully staffed and do not anticipate problems with future audits. The FY17/18 TDA Audit for the City of Tracy was on time.

Compliance Finding 2: The FY 2013 – FY 2015 Triennial Performance Audits were completed after the deadline set in the second extension requested by SJCOG.

Criteria: PUC 99246 requires the RTPA to designate an independent entity to conduct a performance audit of itself and its claimants. Audits are due by the end of the fiscal year following the end of the triennium.

Condition: All of the prior triennial performance audits were completed in March 2017, which is more than eight months past the original deadline of June 30, 2016. Even though SJCOG received extensions to this deadline (through February 28, 2017), the audits were still not completed on time.

Cause: The cause for the late completion of the triennial performance audits is unclear.

Effect: When audits are completed and submitted late, it affects the operators' allocation of TDA funds per CCR 6664.5 (see Compliance Finding 3).

Recommendation: SJCOG should work with its auditor to ensure on-time completion of the triennial performance audits.

Recommended Action(s): Include deadlines in the auditor contract that are sufficient to ensure submittal of the triennial performance audits before June 30. Ensuring on-time submittal of the triennial performance audits will also ensure TDA funds can be allocated to claimants without any delays. The current triennial performance audits are on track to be completed well ahead of June 30, 2019. Therefore, it is unlikely any action will need to be taken.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

SJCOG RESPONSE: The Triennial Performance Audits were late due to the previous TPA audit firm's inability to complete the reports on time. Extensions were filed, but PMC failed to meet two extension deadlines. The late reports were beyond SJCOG's control. The current Triennial Performance auditor has submitted all reports in a timely manner and we don't anticipate this being an issue in the future. SJCOG has made it a point to go out early to bid for the TPA Audits to get on a timeline that is ahead of schedule to prevent late filing.

Compliance Finding 3: SJCOG continued to allocate funds to operators even though triennial performance audits were not submitted by the start of the second fiscal year following the last fiscal year of the triennium.

Criteria: CCR 6664.5(c) stipulates "no operator shall be eligible to receive an allocation under Article 4 of the Act until the entity which determines the allocation to the operator has received the operator's performance audit pursuant to PUC Section 99248."

Condition: All of the prior triennial performance audits were completed in March 2017, which is more than eight months past the original deadline of June 30, 2016. Even though SJCOG received extensions to this deadline (through February 28, 2017), the audits were still not completed on time. However, SJCOG continued to allocate TDA funds between the end of FY 2015/16 and the completion of the audits in FY 2016/17.

Cause: SJCOG staff may be unaware of the impact of the late submittal of triennial performance audits on TDA allocations.

Effect: This can result in allocations being made when they should be delayed pending receipt of the completed triennial performance audits.

Recommendation: When triennial performance audits are submitted more than one year following the end of the triennium, SJCOG should withhold TDA allocations until the audits are completed.

Recommended Action(s): SJCOG staff should become more familiar with the consequences associated with late audit submittal. Even though no funding is ultimately lost, the delay in funding is intended to ensure the operator is performing appropriately before subsequent funding is allocated. The most straightforward remedy is to ensure audits are completed on time.

Given the TDA does not indicate whether receipt of a deadline extension affects how TDA funds should be allocated, we elected to include this as a compliance findings. Should a deadline extension be required in the future, SJCOG should discuss with Caltrans how the extension affects the allocation of TDA funds. No action is anticipated to be required in conjunction with the current triennial performance audit cycle.

Timeline: FY 2018/19.

Anticipated Cost: Negligible.

SJCOG RESPONSE: The finding is noted

Compliance Finding 4: SJCOG did not certify in writing completion of the prior triennial performance audit of its operators.

Criteria: CCR 6664.6 requires the RTPA to certify in writing to Caltrans that a triennial performance audit of its operators has been completed. This certification must include the name of the audited operator, the time and period covered by the performance audit, and the name of the auditor conducting the audit. This is different from the requirement of CCR 5554.5, which requires the RTPA to provide to Caltrans and the State Controller prior to September 1 a list of the entities that are subject to performance audits that fiscal year.

Condition: SJCOG staff were unable to provide any letter that had been submitted to Caltrans upon completion of the RTPA audit. Staff followed up with Caltrans to determine if the RTPA audit had been submitted. Caltrans responded that it did not have a transmittal letter but did have a copy of the prior SJCOG triennial performance audit. So while the SJCOG audit was received by Caltrans, there is no evidence SJCOG certified the triennial performance audits of its operators.

Cause: Unfamiliarity with the requirements associated with completion of triennial performance audits is the most likely cause.

Effect: Failure to certify the operator performance audits can cause the RTPA to be out of compliance with the TDA.

Recommendation: Upon completion of the triennial performance audit process, SJCOG must prepare a transmittal letter to Caltrans which certifies the completion of the operator audits and accompanies submittal of the RTPA audit.

Recommended Action(s): Per CCR 6664.6, certification of the operator audits must be in writing. It is most convenient to include all of these elements (transmittal letter with operator certification and submittal of the RTPA audit) in a single submittal. The submittal can be electronic if desired, which is also easy to document. Proof of this submittal should be retained for the compliance review during the next triennial performance audit. A letter template is provided as Exhibit 7.2 as well as separately in an editable format.

Timeline: FY 2018/19.

Anticipated Cost: None.

SJCOG RESPONSE: As a result of being so late on the completion of the audits, SJCOG failed to certify in writing. To prevent this from happening in the future, SJCOG has set this step as part of its procedures for the Triennial Performance Audits.

Functional Finding 1: Compliance with 2017 Regional Transportation Plan requirements could be more easily and effectively evaluated by incorporating Caltrans' "Regional Transportation Plan Checklist for MPOs" into the RTP/SCS document.

Criteria: MPOs are required to prepare Regional Transportation Plans (RTPs) per federal statute. The California Transportation Commission has the authority to prepare guidelines that reflect federal as well as state requirements for the development of RTPs. New RTP Guidelines were adopted by the California Transportation Commission on January 18, 2017. The new RTP Guidelines separated requirements for MPOs and RTPAs and included new requirements specific to Title VI and public health; incorporated new legislation passed since the prior guidelines in 2010; and updated the document to reflect MAP-21/FAST Act. The Federal Highway Administration (FHWA) describes the development and contents of the RTP in Title 23 CFR Part 450.324 et seq.

Condition: While SJCOG's 2018 RTP/SCS was certified (via resolution) as being in compliance with the 2017 guidelines, compliance is not easy to independently assess. In conjunction with the 2018 RTP Guidelines, Caltrans also developed RTP Guidelines Checklists for MPOs and RTPAs. SJCOG did not include the checklist for MPOs in its most recent RTP/SCS update.

Cause: Given the guidelines were approved in January 2017, there is no reason SJCOG's RTP/SCS should not be compliant, regardless of whether the checklist was included. These guidelines were referenced in the staff report and resolution at the time the RTP/SCS was adopted by the SJCOG Board (June 28, 2018), but specific compliance items were not detailed.

Effect: Because the RTP informs the state's Federal Transportation Improvement Plan (FTIP), a non-compliant RTP can result in a failure to identify projects and thereby receive funding. The checklist makes it easier to assess compliance with the 2017 Guidelines.

Recommendation: Incorporate Caltrans' "Regional Transportation Plan Checklist for MPOs" into the RTP/SCS document.

Recommended Action(s): Complete the RTP Checklist to clearly communicate compliance with RTP/SCS requirements to reviewers, and to easily identify locations of compliance elements. The 2018 version of this document (shown in Exhibit 7.2) was provided to SJCOG in conjunction with this audit and can also be downloaded from the Caltrans website at www.dot.ca.gov/hq/tpp/offices/orip/rtp/.

Timeline: As part of the 2022 RTP/SCS Update.

Anticipated Cost: Negligible.

SJCOG RESPONSE: The finding is noted

Functional Finding 2: While SJCOG annually assesses operator performance during the TDA claims process, it does not currently assess the implementation status of productivity and/or TDA triennial performance audit recommendations.

Criteria: PUC 99244 requires the RTPA to annually recommend potential productivity improvements for transit operators, either via a productivity committee or another means.

Condition: SJCOG currently assesses productivity as part of the annual TDA claim process. In addition, several operators have key performance metric goals in lieu of farebox recovery ratios. These goals are reassessed every three years, and compliance is reviewed during the annual TDA claim process. However, SJCOG does not assess the implementation status of performance audit or other recommendations on a regular basis.

Cause: While SJCOG is in compliance with PUC 99244, it can do more to help operators with their productivity and compliance by following up regularly regarding recommendations.

Effect: Recommendations that remain relevant but have not been implemented by the next triennial performance audit will likely be carried forward as findings in that audit.

Recommendation: Incorporate a form that assesses the implementation status of productivity and/or TDA triennial performance audit recommendations as part of the TDA claims process.

Recommended Action(s): Include an additional page to the TDA claim for operators to indicate the implementation status of recommendations from the triennial performance audit as well as other reviews (such as the FTA Triennial Review), if desired. A sample of such a form is provided in Exhibit 7.3, and an editable version was provided to SJCOG in conjunction with this audit.

Timeline: FY 2019/20.

Anticipated Cost: Negligible.

SJCOG RESPONSE: SJCOG will incorporate a status report into the ITC meeting agenda.

Functional Finding 3: The Finance Department warrants additional staffing in order to effectively accommodate all of its responsibilities.

Criteria: The functional review of the RTPA seeks to determine whether the RTPA has sufficient staff (in number and qualifications) to accomplish its functions.

Condition: At the time of this audit, Finance staff expressed their need to work overtime consistently in order to meet the requirements of their responsibilities. This indicates the workload has exceeded the ability of regular staff hours to accommodate it.

Cause: When available regular work hours do not align with work hour requirements, staff are required to work overtime to ensure work is completed on time and to required standards.

Effect: Occasional overtime work is often necessary to ensure specific tasks are completed. Ongoing overtime necessary to address the day-to-day workload can result in employee burnout as well as decreases staff flexibility to address unplanned issues or additional requirements.

Recommendation: Consider adding a 0.5 FTE position for the Finance department.

Recommended Action(s): Given other departments within SJCOG have half-time interns, it would be appropriate to add an additional half-time position specific to the Finance department. This position would be able to provide administrative/clerical support so as to free up higher-level staff for more specialized tasks.

Timeline: FY 2019/20.

Anticipated Cost: Modest.

SJCOG RESPONSE: The finding is noted

TDA Program Compliance Recommendations		Importance	Timeline
1	Continue to work with the fiscal and compliance auditor to ensure audits can be completed within the time stipulated by the TDA	Medium	FY2018/19
2	SJCOG should work with its auditor to ensure on-time completion of the triennial performance audits.	Medium	FY2018/19
3	When triennial performance audits are submitted more than one year following the end of the triennium, SJCOG should withhold TDA allocations until the audits are completed	Medium	FY2018/19
4	Upon completion of the triennial performance audit process, SJCOG must prepare a transmittal letter to Caltrans which certifies the completion of the operator audits and accompanies submittal of the RTPA audit	High	FY2018/19
Functional Recommendations		Importance	Timeline
1	Incorporate Caltrans' "Regional Transportation Plan Checklist for MPOs" into the RTP/SCS document	Medium	2022 Update
2	Incorporate a form that assesses the implementation status of productivity and/or TDA triennial performance audit Medi recommendations as part of the TDA claims process.	Medium	FY 2019/20
3	Consider adding a 0.5 FTE position for the Finance department.	Medium	FY 2019/20

FISCAL IMPACT

The Triennial Performance Audit is a requirement for claiming TDA funds.

COMMITTEE RECOMMENDATIONS

TAC, M&F and the Executive committees recommended receiving and accepting the Triennial Performance Audit reports and findings.

RECOMMENDED ACTION

SJCOG staff recommends that the SJCOG Board accept and receive the above Triennial Performance Audit reports and findings.

AGENDA ITEM **4D**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Fiscal Year 2018-19 Transportation Development Act (TDA) Claim from the City of Escalon

RECOMMENDED ACTION: Motion to Endorse Executive Director's Action Approving the Claim and Adopt Resolution #R-19-32 that Documents Board Actions

DISCUSSION:



The City of Escalon has submitted a Transportation Development Act (TDA) Claim for Fiscal Year 2018-19. The total claim is for \$1,918,922 in Local Transportation Funds (LTF), including \$28,000 of previous year's unclaimed, \$1,615,296 of unexpended carryover and \$3,244 in STA funds.

To summarize, the City of Escalon's TDA claim is for the following purposes and amounts:

Local Transportation Fund/State Transit Assistance

TOTAL LTF/STA FUNDS CLAIMED by ESCALON	\$1,922,166
Less: Unexpended Carryover/Planning & Admin.	<u>(\$1,623,477)</u>
Net Funds Due to ESCALON	<u>\$298,689</u>

Local Transportation Funds

Pedestrian/Bicycle Article 3 (99234)	\$6,148
Roads & Streets Article 8 99400(a) Current year allocation	\$234,798
Roads & Streets Article 8 99400(a) Carryover*	\$1,615,296
Article 8 99400(c) Contractor Operating Current Year Allocation	\$26,499
Article 8 99400(c) Contractor Operating Previous Year's Unclaimed **	\$28,000
TDA Administration	\$8,181

State Transit Assistance Funds

CCR Section 6730 (a) Public Transit	\$3,244
--	---------

***Unexpended Carryover:** Unexpended Carryover are funds which were paid to the claimant in a previous fiscal year, but not spent. The claimant needs to reclaim to use in current fiscal year.

**** Previous Year's Unclaimed:** Previous Year's Unclaimed are funds apportioned in a previous fiscal year, but not claimed against. These funds will remain in the claimant's fund accruing interest until the claimant files a claim to use the funds.

The amounts being claimed are available, and the intended claim purposes are eligible expenses. A review of the most recent fiscal and compliance audit for the City of Escalon revealed nothing which would preclude approving the present allocations.

The Transportation Development Act requires that the Board make specific findings before allocating TDA funds. These findings, as they apply to the City of Escalon, are identified in the resolution to approve the claim. In the opinion of the Executive Director, these findings have all been met.

The Executive Director has approved the claim subject to SJCOG Board endorsement. It is recommended that the SJCOG Board endorse the Executive Director's action.

FISCAL IMPACT:

None to COG. This claim represents a significant source of funding for transit services for the City of Escalon and also represents a substantial revenue source for local streets and roads and bicycle and pedestrian projects.

Failure or delay in approving this claim will impact the City of Escalon's ability to pay for transit services and fund its pedestrian and bicycle program.



RESOLUTION SAN JOAQUIN COUNCIL OF GOVERNMENTS

R-19-32

RESOLUTION ALLOCATING LOCAL TRANSPORTATION FUNDS TO THE CITY OF ESCALON

WHEREAS, the San Joaquin Council of Governments is the regional transportation planning agency; and

WHEREAS, under law and regulation in the Public Utilities Code, Sections 99230 and 99235, and California Administrative Code, Sections 6659, 6752 and 6753, the San Joaquin Council of Governments is authorized to accept claims against and make allocations from the San Joaquin County Local Transportation Fund (LTF) and State Transit Assistance (STA) Fund; and

WHEREAS, the above cited laws and regulations require that certain details be specified in the adopting resolution; and,

NOW THEREFORE, BE IT RESOLVED that Escalon be allocated for fiscal year 2018-19 the indicated amounts for the indicated purposes:

ESCALON FISCAL YEAR 2018-2019 TDA CLAIM AMOUNTS AND PURPOSES		
Fund	Amount	Purpose
LTF	\$26,499	Public Transportation – Article 8 Contractor Operating (PUC 99400 (c)) Current Year Allocation
LTF	\$28,000	Public Transportation – Article 8 Contractor Operating (PUC 99400 (c)) Previous Year's Unclaimed
LTF	\$234,798	Streets and Roads: Article 8 (PUC 99400 (a)) Current Year Allocation
LTF	\$1,615,296	Unexpended Carryover – Reclaimed for Streets And Roads: Article 8 (PUC 99400 (a))
LTF	\$6,148	Ped & Bike Article 3 (PUC 99234)
LTF	\$8,181	TDA Planning & Administration
STA	\$3,244	Public Transit CCR Section 6730(a)
Total LTF & STA Less: Net Funds Due	\$1,922,166 <u>(\$1,623,477)</u> <u>\$298,689</u>	Total LTF & STA Claimed Unexpended Carryover / Planning & Admin Net LTF/STA Funds to be paid to City of Escalon

Page 2 of 3
Resolution No. R-19-32

BE IT FURTHER RESOLVED that these funds, less unexpended carryover in the amount of \$1,523,936 will be paid to the claimant quarterly when sufficient funds become available and are deposited with the San Joaquin County Treasurer.

BE IT FURTHER RESOLVED THAT the following findings have been made by this Board in accordance with the Public Utilities Code, Division 10., Part 11, Article 8, Section 99400(c) and 99401.6 and California Code of Regulations, Title 21, Chapter 3, Subchapter 2.5, Section 6754:

1. The transportation services contracted for under Article 8 (99400 (c) of this claim responds to a transportation need not otherwise being met within the claimants' jurisdictions.
2. The claimant's proposed expenditures are in conformity with the Regional Transportation Plan.
3. The claimants are making full use of federal funds available under the Urban Mass Transportation Act of 1964, as amended.
4. The sum of the claimant's allocation from State Transit Assistance Fund and from the Local Transportation Fund does not exceed the amount the claimant is eligible to receive during the fiscal year.
5. Priority consideration has been given to claims to offset reductions in federal operating assistance and the unanticipated increase in the cost of fuel, to enhance existing public transportation services, and to meet high priority regional, countywide, or area wide public transportation needs.
6. The San Joaquin Council of Governments has reviewed its most recent analysis of Unmet Transit Needs and determined there are no unmet needs that are reasonable to meet.
7. Further, more than 20 days have elapsed since the Department of Transportation acknowledged receipt of San Joaquin Council of Governments most recent Unmet Transit Needs findings.
8. The level of passenger fares and charges is sufficient to enable the operator or transit service claimant to meet their fare revenue and match requirements of Public Utilities Code Sections 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9, as they may be applicable to the claimant.

Page 3 of 3
Resolution No. R-19-32

9. Claimants who are transit operators have made a reasonable effort to implement the productivity improvements recommended pursuant to Public Utilities Code Section 99244. Documentation of these efforts is reflected in the minutes of the annual productivity improvement committee meetings. Productivity improvements include transit system planning, marketing and public information efforts, and use of ad hoc committees composed of transit riders for direct feedback on productivity improvements.
10. Each transit operator has received certification from the Department of the California Highway Patrol, within the last thirteen months, that it is in compliance with Section 1808.1 of the Vehicle Code, as required in Public Utilities Code Section 99251.
11. Each transit operator is in compliance with the eligibility requirements of Public Utilities Code Section 99314.6 and 99314.7.

PASSED AND ADOPTED this 27th day of June, 2019, to wit:

AYES:

NOES:

ABSENT:

ROBERT RICKMAN
Chair

AGENDA ITEM **4E**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Fiscal Year 2018-19 Transportation Development Act (TDA) Claim from the City of Lathrop

RECOMMENDED ACTION: Motion to Endorse Executive Director's Action Approving the Claim and Adopt Resolution #R-19-30 that Documents Board Actions

DISCUSSION:



The City of Lathrop has submitted a Transportation Development Act (TDA) Claim for Fiscal Year 2018-19. The total claim is for \$1,580,724 in Local Transportation Funds (LTF), including \$299,742 of previous year's unclaimed funds.

To summarize, the City of Lathrop's TDA claim is for the following purposes and amounts:

Local Transportation Fund

TOTAL LTF FUNDS CLAIMED by the LATHROP	\$1,580,724
Less: Unexpended Carryover/Planning & Admin.	<u>(\$563,993)</u>
Net Funds Due to LATHROP	<u>\$1,016,731</u>

<u>Local Transportation Funds</u>	
Pedestrian/Bicycle Article 3 (99234) Current Year Allocation	\$19,721
Pedestrian/Bicycle Article 3 (99234) Carryover *	\$30,997
Pedestrian/Bicycle Article 3 (99234) Previous Year's Unclaimed **	\$510
Roads & Streets Article 8 99400(a) Current year allocation	\$838,108
Roads & Streets Article 8 99400(a) Previous Year's Unclaimed **	\$158,392
Roads & Streets Article 8 99400(a) Carryover *	\$506,756
TDA Administration	\$26,240

****Unexpended Carryover:** Unexpended Carryover are funds which were paid to the claimant in a previous fiscal year, but not spent. The claimant needs to reclaim to use in current fiscal year.

**** Previous Year's Unclaimed:** Previous Year's Unclaimed are funds apportioned in a previous fiscal year, but not claimed against. These funds will remain in the claimant's fund accruing interest until the claimant files a claim to use the funds.

The amounts being claimed are available, and the intended claim purposes are eligible expenses. A review of the most recent fiscal and compliance audit for the City of Lathrop revealed nothing which would preclude approving the present allocations.

The Transportation Development Act requires that the Board make specific findings before allocating TDA funds. These findings, as they apply to the City of Lathrop, are identified in the resolution to approve the claim. In the opinion of the Executive Director, these findings have all been met.

The Executive Director has approved the claim subject to SJCOG Board endorsement. It is recommended that the SJCOG Board endorse the Executive Director's action.

FISCAL IMPACT:

None to SJCOG. This claim represents a significant source of funding for transit services for the City of Lathrop and helps provide the needed matching funds for the City's federal transit grant. The claim also represents a substantial revenue source for local streets and roads projects.

Failure or delay in approving this claim will impact the City of Lathrop's ability to pay for transit services and fund its road and street and pedestrian and bicycle programs.



RESOLUTION SAN JOAQUIN COUNCIL OF GOVERNMENTS

R-19-30

RESOLUTION ALLOCATING LOCAL TRANSPORTATION FUNDS TO THE CITY OF LATHROP

WHEREAS, the San Joaquin Council of Governments is the regional transportation planning agency; and

WHEREAS, under law and regulation in the Public Utilities Code, Sections 99230 and 99235, and California Administrative Code, Sections 6659, 6752 and 6753, the San Joaquin Council of Governments is authorized to accept claims against and make allocations from the San Joaquin County Local Transportation Fund (LTF); and

WHEREAS, the above cited laws and regulations require that certain details be specified in the adopting resolution; and,

NOW THEREFORE, BE IT RESOLVED that Lathrop be allocated for fiscal year 2018-19 the indicated amounts for the indicated purposes:

LATHROP FISCAL YEAR 2018-2019 TDA CLAIM AMOUNTS AND PURPOSES:		
Fund	Amount	Purpose
LTF	\$838,108	Roads & Streets: Article 8 (PUC 99400(a))
LTF	\$506,756	Unexpended Carryover - Roads & Streets Article 8 (PUC 99400 (a))
LTF	\$158,392	Roads & Streets: Article 8 (PUC 99400 (a))-Previous Year's Unclaimed
LTF	\$19,721	Pedestrian and Bicycle: Article 3 (PUC 99234)
LTF	\$30,997	Unexpended Carryover - Pedestrian & Bicycle Article 3 (99234)
LTF	\$510	Pedestrian and Bicycle: Article 3 (PUC 99234) Previous Year's Unclaimed
LTF	\$26,240	TDA Planning & Administration – SJCOG
Total	\$1,580,724	Total LTF Funds claimed
Less:	<u>(\$563,993)</u>	Unexpended LTF Carryover & TDA Admin
NET	<u>\$1,016,731</u>	Net TDA Funds due to City on claim

Page 2 of 3
Resolution No. R-19-30

BE IT FURTHER RESOLVED that these funds, less unexpended carryover will be paid to the claimant when sufficient funds become available and are deposited with the San Joaquin County Treasurer.

BE IT FURTHER RESOLVED THAT the following findings have been made by this Board in accordance with the Public Utilities Code, Division 10., Part 11, Article 8, Section 99400 (c) and 99401.6 and California Code of Regulations, Title 21, Chapter 3, Subchapter 2.5, Section 6754:

1. The transportation services contracted for under Article 8 (99400 (c) of this claim responds to a transportation need not otherwise being met within the claimants' jurisdictions.
2. The claimant's proposed expenditures are in conformity with the Regional Transportation Plan.
3. The claimants are making full use of federal funds available under the Urban Mass Transportation Act of 1964, as amended.
4. The sum of the claimant's allocation from State Transit Assistance Fund and from the Local Transportation Fund does not exceed the amount the claimant is eligible to receive during the fiscal year.
5. Priority consideration has been given to claims to offset reductions in federal operating assistance and the unanticipated increase in the cost of fuel, to enhance existing public transportation services, and to meet high priority regional, countywide, or area wide public transportation needs.
6. The San Joaquin Council of Governments has reviewed its most recent analysis of Unmet Transit Needs and determined there are no unmet needs that are reasonable to meet.
7. Further, more than 20 days have elapsed since the Department of Transportation acknowledged receipt of San Joaquin Council of Governments most recent Unmet Transit Needs findings.
8. The level of passenger fares and charges is sufficient to enable the operator or transit service claimant to meet their fare revenue and match requirements of Public Utilities Code Sections 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9, as they may be applicable to the claimant.

9. Claimants who are transit operators have made a reasonable effort to implement the productivity improvements recommended pursuant to Public Utilities Code Section 99244. Documentation of these efforts is reflected in the minutes of the annual productivity improvement committee meetings. Productivity improvements include transit system planning, marketing and public information efforts, and use of ad hoc committees composed of transit riders for direct feedback on productivity improvements.
10. Each transit operator has received certification from the Department of the California Highway Patrol, within the last thirteen months, that it is in compliance with Section 1808.1 of the Vehicle Code, as required in Public Utilities Code Section 99251.
11. Each transit operator is in compliance with the eligibility requirements of Public Utilities Code Section 99314.6 and 99314.7.

PASSED AND ADOPTED this 27th day of June 2019, to wit:

AYES:

NOES:

ABSENT:

ROBERT RICKMAN
Chair

AGENDA ITEM **4F**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Fiscal Year 2018-19 Revised Transportation Development Act (TDA) Claim from the County of San Joaquin

RECOMMENDED ACTION: Motion to Endorse Executive Director's Action Approving the Claim and Adopt Resolution #R-19-31 that Documents Board Actions

DISCUSSION:



The County of San Joaquin has submitted a Revised Transportation Development Act (TDA) Claim for Fiscal Year 2018-19. The total claim is for \$1,933,083 in Local Transportation Funds (LTF), which includes \$14,000 in previous year's unclaimed apportionment (this corrects the previous claim that was for \$140,000 in previous year's unclaimed which included a typo with an extra zero) and \$1,791,358 in unexpended carryover; The County of San Joaquin is not an STA claimant.

To summarize, San Joaquin County's TDA claim is for the following purposes and amounts:

Local Transportation Fund

TOTAL LTF FUNDS CLAIMED by the COUNTY	\$1,933,083
Less: Unexpended Carryover/Planning & Admin.	<u>(\$1,791,358)</u>
Net Funds Due to COUNTY	<u>\$141,725</u>

<u>Local Transportation Funds</u>	
Pedestrian/Bicycle Article 3 (99234) Current Year Allocation	\$127,725
Pedestrian/Bicycle Article 3 (99234) Previous Year's Unclaimed**	\$14,000
Pedestrian/Bicycle Article 3 (99234) Unexpended Carryover*	\$318,926
Roads & Streets Article 8 99400(a) Unexpended Carryover	\$1,472,432

***Unexpended Carryover:** Unexpended Carryover are funds which were paid to the claimant in a previous fiscal year, but not spent. The claimant needs to reclaim to use in current fiscal year.

**** Previous Year's Unclaimed:** Previous Year's Unclaimed are funds apportioned in a previous fiscal year, but not claimed against. These funds will remain in the claimant's fund accruing interest until the claimant files a claim to use the funds.

A review of the most recent fiscal and compliance audit for San Joaquin County revealed nothing that would preclude approving the present allocation. The Transportation Development Act requires that the Board makes specific findings before allocating TDA funds. These findings, as they apply to the County of San Joaquin, are identified and stated in the resolution to approve the claim. In the opinion of the Executive Director, these findings have all been met.

It is recommended that the COG Board endorse the Executive Director's action approving the Fiscal Year 2018-19 Transportation Development Act Claim.

FISCAL IMPACT

None to the Council of Governments. This claim represents a significant source of funding for pedestrian and bicycle and roads and streets projects for the County of San Joaquin.



RESOLUTION
SAN JOAQUIN COUNCIL OF GOVERNMENTS

R-19-31

**RESOLUTION ALLOCATING LOCAL TRANSPORTATION FUNDS
TO THE COUNTY OF SAN JOAQUIN BASED UPON
2018-2019 REVISED TDA CLAIM**

WHEREAS, the San Joaquin Council of Governments is the regional transportation planning agency; and

WHEREAS, under law and regulation in the Public Utilities Code, Sections 99230 and 99235, and California Administrative Code, Sections 6659, 6752 and 6753, the San Joaquin Council of Governments is authorized to accept claims against and make allocations from the San Joaquin County Local Transportation Fund (LTF) and State Transit Assistance (STA) Fund; and

WHEREAS, the above cited laws and regulations require that certain details be specified in the adopting resolution; and,

NOW THEREFORE, BE IT RESOLVED that the County of San Joaquin be allocated for fiscal year 2018-19 the indicated amounts for the indicated purposes:

SAN JOAQUIN COUNTY 2018-19 TDA CLAIM <u>REVISED</u>		
Fund	Amount	Purpose
LTF	\$127,725	Pedestrian and Bicycle Article 3 (PUC 99234)
LTF	\$14,000	Pedestrian and Bicycle Article 3 (PUC 99234) Previous Year's Unclaimed
LTF	\$318,926	Pedestrian and Bicycle Article 3 (PUC 99234) Unexpended Carryover
LTF	\$1,472,432	Roads & Streets – Art. 8 (PUC 99400(a)) – Unexpended Carryover
Total TDA Claimed Less: Net Funds Due:	\$1,933,083 <u>(\$1,791,358)</u> <u>\$141,725</u>	Total LTF Funds claimed by the County Unexpended Carryover/Planning & Admin. Net TDA Funds to be paid to County

Page 2 of 3
Resolution No. R-19-31

BE IT FURTHER RESOLVED that these funds, less unexpended carryover will be paid to the claimant when sufficient funds become available and are deposited with the San Joaquin County Treasurer.

BE IT FURTHER RESOLVED THAT the following findings have been made by this Board in accordance with the Public Utilities Code, Division 10, Part 11, Article 8, Section 99400(c) and 99401.6 and California Code of Regulations, Title 21, Chapter 3, Subchapter 2.5, Section 6754:

1. The transportation services contracted for under Article 8 (99400 (c) of this claim responds to a transportation need not otherwise being met within the claimants' jurisdictions.
2. The claimant's proposed expenditures are in conformity with the Regional Transportation Plan.
3. The claimants are making full use of federal funds available under the Urban Mass Transportation Act of 1964, as amended.
4. The sum of the claimant's allocation from State Transit Assistance Fund and from the Local Transportation Fund does not exceed the amount the claimant is eligible to receive during the fiscal year.
5. Priority consideration has been given to claims to offset reductions in federal operating assistance and the unanticipated increase in the cost of fuel, to enhance existing public transportation services, and to meet high priority regional, countywide, or area wide public transportation needs.
6. The San Joaquin Council of Governments has reviewed its most recent analysis of Unmet Transit Needs and determined there are no unmet needs that are reasonable to meet.
7. Further, more than 20 days have elapsed since the Department of Transportation acknowledged receipt of San Joaquin Council of Governments most recent Unmet Transit Needs findings.
8. The level of passenger fares and charges is sufficient to enable the operator or transit service claimant to meet their fare revenue and match requirements of Public Utilities Code Sections 99268.2, 99268.3, 99268.4, 99268.5, and 99268.9, as they may be applicable to the claimant.

Page 3 of 3
Resolution No. R-19-31

9. Claimants who are transit operators have made a reasonable effort to implement the productivity improvements recommended pursuant to Public Utilities Code Section 99244. Documentation of these efforts is reflected in the minutes of the annual productivity improvement committee meetings. Productivity improvements include transit system planning, marketing and public information efforts, and use of ad hoc committees composed of transit riders for direct feedback on productivity improvements.
10. Each transit operator has received certification from the Department of the California Highway Patrol, within the last thirteen months, that it is in compliance with Section 1808.1 of the Vehicle Code, as required in Public Utilities Code Section 99251.
11. Each transit operator is in compliance with the eligibility requirements of Public Utilities Code Section 99314.6 and 99314.7.

PASSED AND ADOPTED this 27th day of June 2019, to wit:

AYES:

NOES:

ABSENT:

ROBERT RICKMAN
Chair



SAN JOAQUIN
— COUNTY —
Greatness grows here.



Department of Public Works

Kris Balaji, Director of Public Works

Fritz Buchman, Deputy Director/Development

Alex Chetley, Interim Deputy Director/Engineering

Jim Stone, Deputy Director/Operations

Kristi Rhea, Manager of Strategic Initiatives

May 28, 2019

Board of Supervisors
44 North San Joaquin Street, Suite 627
Stockton, California 95202

Dear Board Members:

APPROVAL OF THE REVISED 2018-2019 TRANSPORTATION DEVELOPMENT ACT
CLAIM FOR BICYCLE AND PEDESTRIAN WAYS AND STREETS AND ROADS
IN THE AMOUNT OF \$1,933,083
(ALL DISTRICTS)

RECOMMENDATION:

It is recommended that the Board of Supervisors, by Board Order, authorize and direct the Chair of the Board of Supervisors to sign the revised 2018-2019 Transportation Development Act (TDA) Claim for revenues through the Local Transportation Fund (LTF) in the amount of \$1,933,083 for bicycle and pedestrian ways, and for streets and roads.

REASONS FOR RECOMMENDATION:

On March 2, 2019, your Board authorized and directed the Chair of the Board to sign the 2018-2019 TDA claim (B-19-205) for bicycle and pedestrian ways and streets and roads in the amount of \$2,059,083. The claim amount is based upon the LTF and is allocated annually by the San Joaquin County Council of Governments (COG). Unfortunately, the amount of the claim provided by COG was incorrect due to a typographical error. Therefore, a revised 2018-2019 TDA claim, in the amount of \$1,933,083, requires the Chair's signature. Both current and proposed Public Works projects are unaffected by this revised claim.

The LTF is one of two major sources of funding for public transportation provided under the TDA that was established in 1971. Revenues to the LTF are derived from one-quarter cent of the retail sales tax collected in San Joaquin County (County) and are returned by the State Board of Equalization to the County according to the amount of tax collected within the County. The amount of funding allowed for transit safety through our bicycle and pedestrian projects is two percent of the total LTF funds.

Board of Supervisors

-2-

Approval of the Revised 2018-2019 Transportation Development Act Claim for Bicycle and Pedestrian Ways and Streets and Roads in the Amount of \$1,933,083. (All Districts)

LTF funds are allocated annually by COG as specified in the TDA. These funds are split between the County and its seven Cities, based on population. A claim for LTF funds must be processed through the Board of Supervisors annually and submitted to COG. These funds are utilized by the County for Americans with Disabilities Act (ADA) upgrades to pedestrian facilities, repairs to existing sidewalks, construction and maintenance of bike facilities, and for maintenance of the County road network.

The 2018-2019 TDA Claim includes pedestrian/bicycle apportionment of \$127,725 in new funds. There are \$14,000 unclaimed apportionments from the previous year. The 2018-2019 TDA Claim also includes \$1,791,358 in unspent prior year funds, which must be reclaimed. The total TDA Claim amount is \$1,933,083. The Department of Public Works staff programs LTF funds to partially support projects for construction and maintenance of local streets and roads, which facilitate transit use, and improve its safety. This includes specific project needs for sidewalks, ADA compliance (ramps and other specifications), bike facilities, drainage and other project costs for conforming to existing transit facilities.

Public Works projects underway include \$648,000 for ADA compliance (Sidewalk Accessibility Improvements 2017-2018) and approximately \$102,000 for the 2017-2018 Sidewalk Repair Program. Projects to be constructed in Spring Fiscal Year 2018-2019 include Sidewalk Accessibility Improvements 2018-2019 (\$878,000), 2016-2017 Sidewalk Repair Program (\$135,000), and 2018-2019 Sidewalk Repair Program (\$100,000). These projects constitute 96 percent of available funds programmed with the remaining funds anticipated to be programmed in Fiscal Year 2019-2020.

FISCAL IMPACT:

Cost to the County consists of Public Works staff processing time for the 2018-2019 TDA Claim, which is paid from the Road Fund Budget.

ACTION TO BE TAKEN FOLLOWING APPROVAL:

The Clerk of the Board of Supervisors will return two signed originals of the 2018-2019 TDA Claim to the Department of Public Works for submittal to COG for approval and funding. Upon approval by the COG Board, COG will return one executed original to be filed with the Clerk of the Board of Supervisors, and one executed original to the Department of Public Works. COG will then prepare a service and stores fund transfer (SST) to transfer claimed amount to Public Works. Upon receipt of the SST, staff will complete the SST with applicable account distribution and forward to the office of the Auditor-Controller to transfer funds into the County Treasury.

Sincerely,



Board of Supervisors -3-
Approval of the Revised 2018-2019 Transportation Development Act Claim for Bicycle and
Pedestrian Ways and Streets and Roads in the Amount of \$1,933,083. (All Districts)

KRIS BALAJI, PMP, P.E.
Director of Public Works

KB:AW:mk
FS-19B040-M2

c: Auditor-Controller

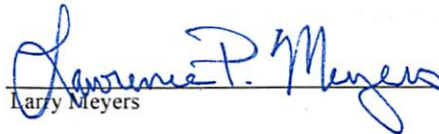
Board Clerk
June 11, 2019 Agenda

Reviewed by County Administrator's Office:

Reviewed by County Counsel's Office:


Mo Hatef

5/28/2019


Larry Meyers

5/28/2019

Before the Board of Supervisors

County of San Joaquin, State of California

B-

BOARD ORDER APPROVING THE REVISED 2018-2019 TRANSPORTATION DEVELOPMENT ACT CLAIM FOR BICYCLE AND PEDESTRIAN WAYS AND STREETS AND ROADS

THIS BOARD OF SUPERVISORS DOES HEREBY authorize and direct the Chair of the Board of Supervisors to sign the revised 2018-19 Transportation Development Act Claim, a copy of which is on file with the Clerk of the Board, for revenues through the Local Transportation Fund in the amount of \$1,933,083 for bicycle and pedestrian ways and for the streets and roads.

I HEREBY CERTIFY that the above order was passed and adopted on by the following vote of the Board of Supervisors, to wit:

MOTION:

AYES:

NOES:

ABSENT:

ABSTAIN:



Clerk of the Board of Supervisors
County of San Joaquin,
State of California

By _____
Deputy Clerk

AGENDA ITEM **4G**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: 2019 Regional Congestion
Management Program (RCMP)
Monitoring and Conformance Report

RECOMMENDED ACTION: Adopt the Biennial 2019 RCMP
Monitoring Report & Find All
Jurisdictions Conform to the RCMP

DISCUSSION:

SUMMARY:

SJCOG is required by state and federal law to monitor all elements of the Regional Congestion Management Program (RCMP) and to ensure that the county and cities are conforming to the RCMP. Conformance findings are a requisite step for local agency eligibility for Section 2105 state gas tax subvention funds made available by Proposition 111, federal Regional Surface Transportation Program (RSTP) funds, federal Congestion Mitigation and Air Quality (CMAQ) funds, state Regional Transportation Improvement Plan (RTIP) funds, and local Measure K funds.

SJCOG staff has found San Joaquin County and the cities of Escalon, Lathrop, Lodi, Ripon, Stockton, and Tracy in conformance with the requirements of the RCMP.

The biennial RCMP Monitoring and Conformance Report includes: 1) a determination of consistency with RCMP traffic level of service (LOS) standards, and 2) implementation of the RCMP land-use analysis program for mitigation of impacts of local land-use decisions on the RCMP network. SJCOG conducted the LOS technical analysis for committee review and found that all jurisdictions are meeting LOS standards. SJCOG staff has also requested information on the implementation of identified mitigation measures as part of the Land Use Analysis Program.

The draft 2019 RCMP Monitoring and Conformance Report is available at:
www.sjcog.org/RCMP.

RECOMMENDATION:

SJCOG staff recommends the SJCOG Board of Directors adopt the 2019 biennial RCMP Monitoring Report and find all jurisdictions conform with all the requirements of RCMP.

FISCAL IMPACT:

Resources to conduct this activity are included in the FY 2018/19 SJCOG OWP.

BACKGROUND:

Federal Legislative Requirements

The Federal Highway Administration (FHWA) requires metropolitan areas exceeding a population of 200,000 to implement a Congestion Management Process, defined as “a systematic and regionally-accepted approach for managing congestion that provides accurate, up-to-date information on transportation system performance and assesses alternative strategies for congestion management that meet state and local needs.”¹ This requirement was first introduced by the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 and was refined in subsequent transportation bills, including the most recent Fixing America’s Surface Transportation (FAST) Act of 2015.

State Legislative Requirements

In 1990, California voters approved legislation to increase transportation funding through an additional fuel tax (Proposition 111). With the passage of Proposition 111, urbanized counties were required to prepare, adopt, implement, and biennially update a Congestion Management Program. The state’s primary focus is to monitor the impacts of growth on the regional transportation network and establish strategies to avoid and/or respond to segments of the network that are failing. Proposition 111 provides Section 2105 state gas tax subvention funds for cities and counties to implement their CMP as shown in Table 1.

San Joaquin County Measure K

The region’s local Measure K Renewal Ordinance, approved by voters in 2006, required SJCOG to establish and begin implementing the Regional CMP (RCMP) by January 1, 2008.

Table 1: Fiscal Year 2017-2018

Highway User Tax Account

Section 2105 Total Payments

<u>Jurisdiction</u>	<u>Total Payments</u>
Escalon	\$ 39,099.17
Lathrop	\$ 125,410.39
Lodi	\$ 347,621.73
Manteca	\$ 413,767.44
Ripon	\$ 82,116.41
San Joaquin County	\$ 3,438,968.15
Stockton	\$ 1,739,541.34
Tracy	\$ 493,230.22

Source: State Controller’s Office

¹ “Congestion Management Process: A Guidebook,” US Department of Transportation, Federal Highway Administration, 2011.

RCMP Monitoring and Conformance Report

SJCOG is required by state and federal law to monitor all elements of the RCMP and to ensure that the county and cities are conforming to the RCMP. Compliance findings are a requisite step for local agency eligibility for Section 2105 state gas tax subvention funds made available by Proposition 111, Federal Regional Surface Transportation Program (RSTP) funds, Federal Congestion Mitigation and Air Quality (CMAQ) funds, state Regional Transportation Improvement Plan (RTIP) funds, and local Measure K funds. The compliance monitoring includes a biennial monitoring and conformance report and a program update, including a technical analysis of current Level of Service (LOS) on the RCMP Network and documentation of compliance with the requirements of the RCMP Land Use Analysis Program.

Discussion:

RCMP Technical Analysis Results

GHD, Inc. completed the technical analysis for the 2019 RCMP Monitoring and Conformance Report. The results of technical analysis are included in the 2019 Monitoring and Conformance Report.

SJCOG's adopted RCMP standard is LOS D. LOS E/F are deemed deficient and may require intersection and/or roadway improvements to increase the LOS rating to LOS D. The tables, below, illustrate the results of LOS analysis before exemption process. LOS analysis found a total of 18 basic freeway segments and 17 two-lane highway segments deficient during AM peak period. A total of 30 basic freeway segments and 15 two-lane highway segments were found deficient during PM peak period. In addition, a total of 17 intersections during AM peak period and 16 intersections of PM peak period along with 10 urban street segments were found deficient. It should be noted that one segment and one intersection lies at the edge of two jurisdictions.

Basic Freeway Segment Deficiencies

Freeway	AM	PM
I-5	1	13
SR-99	13	11
SR-120	0	2
I-205	4	4

Two-Lane Highway Segment Deficiencies

Freeway	AM	PM
SR-4	5	4
SR-12	5	5
SR-26	1	0
SR-88	3	4
SR-120	1	2
SR-132	2	2

Urban Streets Segment Deficiencies

Jurisdiction	#
Escalon	1
Lodi	1
Manteca	2
Stockton	3
Tracy	1*
County	2*

* 1 segment is between the County and City of Tracy

Intersection Deficiencies

Jurisdiction	AM	PM
Lathrop	2	2
Lodi	0	1
Ripon	0	1
Stockton	5*	6*
Tracy	3	0
County	7	6

* 1 intersection lies between the County and City of Stockton

The LOS analysis found that after applying exemptions allowed under state law, including deducting interregional trips, accounting for construction impacts and planned improvements, accounting for programmed transportation projects that would relieve congestion, and exempting facilities that operated below the established LOS standard when the CMP was established (“grandfathered” facilities), all roadways and intersections in San Joaquin County meet the LOS standard except for:

- SR-99 between SR-4 east and SR-26 west
- Byron Road between Lammers Road and County Line

SJCOG RCMP policy requires that a roadway or intersection be found deficient after all exemptions are applied in two consecutive monitoring periods before proceeding with a deficiency finding. Given that neither of these segments were found to be deficient based on the last monitoring cycle in 2016, SJCOG is deferring the finding of non-conformance with the RCMP at this time.

Merge/Diverge Analysis

A merge /diverge analysis was introduced to this report as an informational item. City of Manteca expressed a concern that the 2016 RCMP Monitoring Report did not show SR-120 segment between Airport Way and SR-99 deficient before exemptions for interregional trips during the November 2016 TAC Meeting. As a result, this additional layer of analysis was added.

The scope of the merge/diverge analysis included SR-120 between I-5 & SR-99 and specific corridors along SR-99 and I-5 chosen based on their LOS rating. However, six segments lacked the current Caltrans turning movement data to perform a merge/diverge analysis. Two segments were along SR-120; including 1) SR-120 between I-5 and Guthmiller Road and 2) SR-120 between Main Street and SR-99.

There are five merge/diverge locations during AM peak commute period and eight during PM peak commute period with a rating of LOS E of F. In these occurrences, average speed was deemed “unstable” due the high density of passenger cars per mile per lane. There are four occurrences on I-5, 7 on SR-99, and two on SR-120.

Merge/Diverge Deficiencies

Freeway	Intersection	Direction	Ramp Type	Freeway Section Type	LOS	Peak Period
5	Louise Avenue	NB	On	Merge	F	PM
	Lathrop Road	NB	On	Merge	F	PM
		SB	On	Merge	F	PM
	Monte Diablo Avenue	NB	On	Weave	F	PM
99	Harney Lane	NB	On	Merge	F	PM
		SB	Off	Diverge	F	AM
	Cherokee Lane	SB	On	Merge	F	PM
		SB	ON	Merge	E	AM
	Turner Road	NB	On	Weave	E	AM
	Mokelumne River	NB	Off	Weave	E	AM
	Woodbridge Road	SB	On	Merge	E	AM
120	Airport Way	EB	On	Merge	F	PM
	Union Avenue	EB	On	Merge	F	PM

RCMP Land Use Analysis Program

The RCMP is required to contain a program to analyze the impacts of land use decisions made by local jurisdictions on the regional transportation system. To comply with this state mandate, SJCOG and its members have integrated a “regional layer” of review within the California Environmental Quality Act (CEQA) review process to analyze impacts of development projects to the CMP transportation system. The RCMP Monitoring and Conformance Report must document each local agency’s performance over the previous two years to comply with the RCMP, including but not limited to the following:

- Implementation progress of mitigation measures identified as part of the RCMP Land Use Analysis Program.
- Compliance with the CEQA mitigation monitoring requirements for RCMP impacts.

SJCOG staff analyzed development projects that local agencies approved between 2010 and 2018 for which SJCOG staff had provided comments relating to the RCMP. SJCOG staff contacted local agency planning staff to determine the status of each project and implementation progress of mitigation measures along the regional roadway network. A map and summary of the project’s status and its mitigation measures is in Appendix B of the 2019 Monitoring and Conformance Report.

COMMITTEE ACTIONS

- **Technical Advisory Committee** - On 6/13/19, TAC approved staff’s recommendation to submit the 2019 RCMP Monitoring Report to the Board for approval without any comments or concerns.

NEXT STEPS:

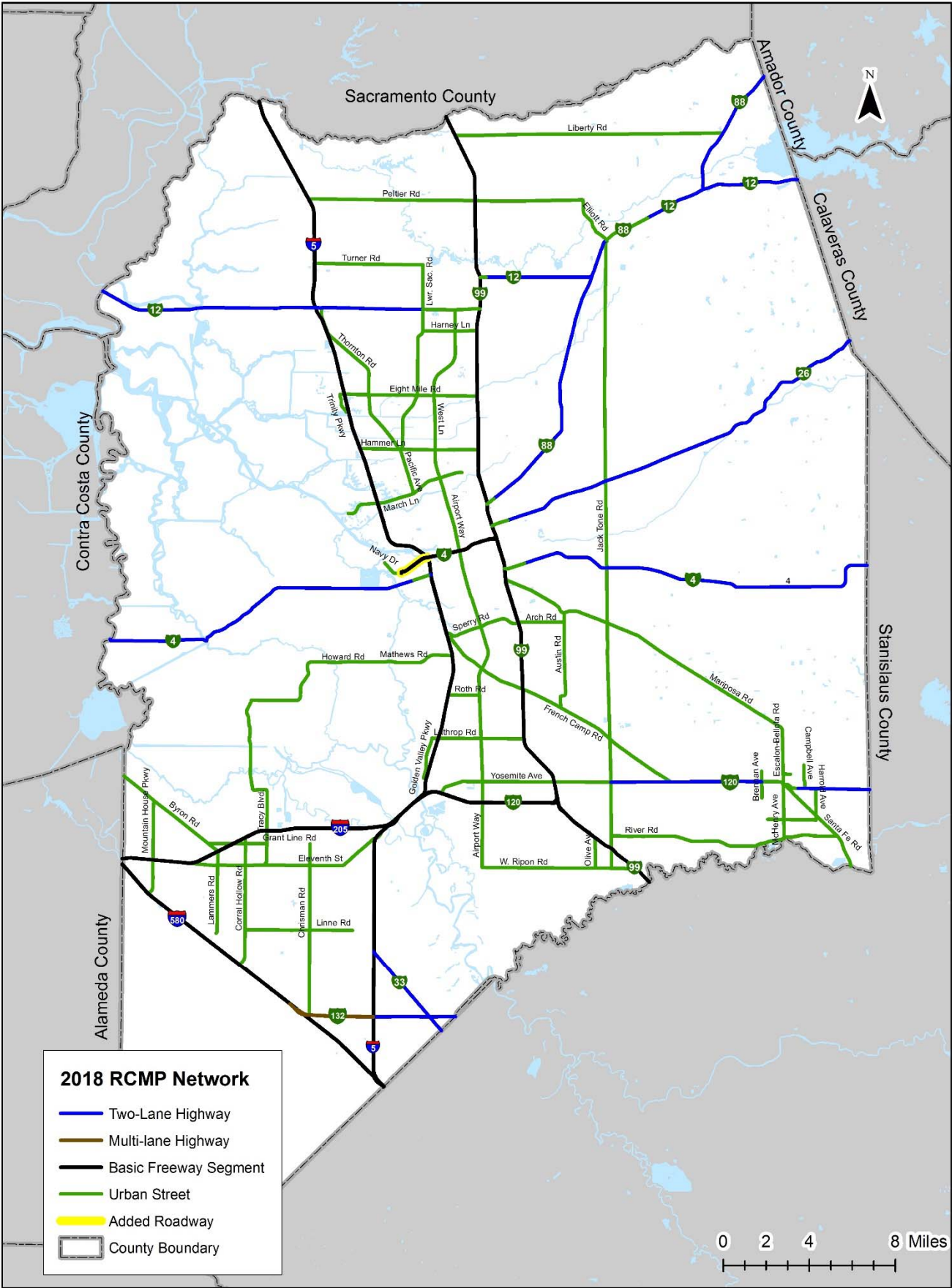
SJCOG staff will continue to monitor the impact of land use decisions on the RCMP Network for the next biennial RCMP Monitoring and Conformance Report. In addition, an update to RCMP will be generated in Fiscal Year 19/20. The tasks that the update will address include:

- Update and monitor RCMP Land Use Analysis Program
- Update RCMP Network and Seven-Year Capital Improvement Program
- Consider the introduction of specific criteria, set forth by Senate Bill 743 in regards to RCMP

ATTACHMENTS:

- A. 2018 RCMP Roadway Network
- B. San Joaquin County RCMP 2019 Monitoring and Conformance Report Executive Summary
- C. RCMP Land Use Analysis Program – Summary of Projects with RCMP Impacts

Prepared by: Travis Yokoyama, Associate Regional Planner



Executive Summary

EXECUTIVE SUMMARY

As the designated Congestion Management Agency (CMA) for San Joaquin County, the San Joaquin Council of Governments (SJCOG) is responsible for updating County's Regional Congestion Management Program (RCMP) and biennially monitoring its implementation. Pursuant to Section 65089.3 of the California Government Code, SJCOG must biennially determine if each City and the County is conforming to the following RCMP requirements:

- Consistency with the RCMP LOS standards;
- Implementation of the RCMP Land Use Analysis Program to mitigate impacts to RCMP designated roadways and intersections from local land use decisions;
- Progress towards implementing the RCMP Regional Deficiency Plan action list as identified in SJCOG's Regional TDM Plan (August, 2010).

In addition to the above state requirements governing congestion management compliance, this RCMP Biennial Monitoring and Conformance Assessment Report also serves to track and report the following:

- Monitoring of SJCOG's RCMP performance measures;
- Compliance with the SJCOG's Measure K renewal requirements to implement a state compliant Congestion Management Program;
- Compliance with the federal FAST Act required congestion management process¹.

This report provides a snapshot of the "state of congestion" on the County's designated RCMP roadway network including segments, intersections, multi-modal corridors, bicycle network and transit network. To inform this assessment, SJCOG performed a comprehensive data collection effort in 2018. Where congestion problems are identified, this biennial monitoring process establishes the need for development of RCMP deficiency plans to remedy such locations. However, State statutes require that the CMA first examine if vehicle trips outside the control of local land use decisions are the cause of the deficiency². The primary RCMP trip exemption types applicable to San Joaquin County include: interregional trips (trips that do not originate in San Joaquin County); and, trip diversion associated with construction related activity. Two additional factors that obviate the need for development of deficiency plans include: improvements associated with the deficient facility are already programmed in SJCOG's Federal Transportation Improvement Program; and/or, the deficient facility was identified as RCMP exempt per state statute in the 1992 RCMP (i.e., program initiation) because they were already operating

¹ The federal Congestion Management Process requires an increased multimodal travel demand management (TDM) and system management emphasis at both the local and regional level to comply. Noncompliance with any of these directives can have local and regional funding implications.

² State statutes requires local agencies to prepare RCMP Deficiency Plans specific to the deficient facilities that identify capital improvements that will either directly remedy the capacity deficiency or provide multi-modal system-wide benefits to circulation and air quality. Unlike the direct fix approach, a system-wide deficiency plan CIP list must receive concurrence from the San Joaquin Valley Unified Air Pollution Control District before it can be approved by the local agency and SJCOG (Section 65089.4(c)(3)).

at LOS E or F. Pre-existing deficient segments at the time of program initiation are deemed “grandfathered.”

Table 1: "Grandfathered" Segments

LOS Standard of “E”		
County	SR-26	SR-99 to Cardinal Ave.
County	SR-88	Brandt Rd. to Sierra Drive (through Lockeford)
County	SR-99	Cherokee Rd. to Wilson Way
County	I-205	MacArthur Drive to I-5
Stockton	March Lane	West Lane to Pacific Avenue
Stockton	SR-4	SR-99 to .66 mi. east of Wilson Way
Stockton	SR-4	.66 mi. east of Wilson Way to Navy Drive
LOS Standard of “F”		
County	I-205	Alameda Co. line to Tracy Blvd.
Escalon	SR-120	Escalon-Bellota Rd. to east of Mitchell Ave.
Manteca	SR-120	Yosemite Ave. undercrossing to SR-99

Source: SJCOG 2007 RCMP Policy Document

If SJCOG determines that a local jurisdiction is not conforming to the requirements of the RCMP, the agency will have 90 days to correct any issues of non-conformance. If the local agency fails to resolve these issues, SJCOG is required to notify the State Controller, who shall then withhold all apportionments of Section 2105 gas tax subvention funds to the nonconforming jurisdiction until the issue of nonconformance is resolved. If the local jurisdiction has not resolved the issue of nonconformance after 12 months, the State Controller must allocate the withheld gas tax apportionment to SJCOG who is then required to spend the apportionment on regionally significant projects identified in the RCMP's Capital Improvement Program or improvements identified in adopted deficiency plans (i.e., *SJCOG Regional Deficiency Plan*, August 2010). In addition, the Metropolitan Planning Organization (SJCOG) shall not program federal Surface Transportation Program (STP) or Congestion Mitigation and Air Quality (CMAQ) funds for any project in the nonconforming jurisdiction unless it is considered a regionally significant project or is identified in an adopted deficiency plan.

SUMMARY OF FINDINGS

The 2018 biennial conformance findings indicate that all jurisdictions in San Joaquin County are currently conforming to the RCMP. SJCOG is deferring the need for the San Joaquin County to prepare RCMP Deficiency Plans for one deficient RCMP local arterial segment at this time to allow another monitoring round to confirm these findings. As biennial monitoring continues, greater documentation of local agency compliance with the RCMP LUAP is anticipated. A summary of the monitoring results is provided below.

RCMP Roadway Network Intersections

RCMP Intersections were established by SJCOG with input from its member agencies, focusing primarily on state highway ramp termini and state/local arterial intersections of regional importance. A total of 108 intersections are currently designated as RCMP intersections. A total of 93 intersections were analyzed in 2018. Based on 2018 AM/PM intersection turn movement counts, the Highway Capacity Manual operational method was applied to determine intersection operations. Results indicate that all intersections operate at acceptable LOS during both weekday a.m. and p.m. peak hours, with the exception of 13 intersections that were determined to be operating at LOS E or F. These 13 intersections were then subject to an Exemption Analysis to determine if the intersection could be exempted from the observed LOS deficiency due to interregional trips, optimized signal timing, construction impacts, programmed improvements, and/or “grandfathered” segments. These exemptions are described further in Section 3.4 of this report. A summary of these RCMP intersection results are provided in **Table 2**.

Table 2. Intersection Deficiency Assessment

			No Exemption		With Interregional Exemption		Interregional + Optimized Signal Timing		
ID	Intersection	Control	Delay	LOS	Delay	LOS	Delay	LOS	Exemption Type or Deficiency
AM Peak Period									
8	Matthews Road & I-5 NB	TWSC	90.9	F	21.2	C	21.2	C	Interregional Trip
9	99 Frontage (s/o Eight Mile Road) & Hwy 99 NB Ramps	TWSC	39.3	E	19.1	C	19.1	C	Interregional Trip
22	McHenry Avenue & E River Road	AWSC	319.0	F	18.8	C	18.8	C	Interregional Trip
33	Yosemite Avenue & French Camp Road	TWSC	48.5	E	13.0	B	13.0	B	Interregional Trip
35	Jack Tone Road & Mariposa Avenue	AWSC	43.9	E	10.1	B	10.1	B	Interregional Trip
41	Lathrop Road & I-5 NB Ramps	Signal	126.7	F	78.1	E	67.0	E	Programmed Improvement
44	Louise Ave & I-5 SB Ramps	Signal	70.2	E			50.4	D	Optimization
70	March Ln & I-5 SB Ramps	Signal	137.2	F			54.4	D	Optimization
82	Airport Wy & Sperry Rd/Arch-Airport Rd	Signal	73.6	E			41.8	D	Optimization
87	Kelley Dr & Hammer Ln	Signal	56.5	E			46.3	D	Optimization
90	Thornton Rd & Lower Sacramento Road	Signal	65.5	E	62.8	E	62.8	E	Programmed Improvement
93	Trinity Pkwy & Eight Mile Rd	Signal	57.6	E			30.4	C	Optimization
99	Corral Hollow Rd & 11th Street	Signal	63.8	E			50.2	D	Optimization
100	Corral Hollow Road & Linne Rd	TWSC	147.3	F	16.9	C	16.9	C	Interregional Trip
101	Lammers Rd & 11th Street	Signal	128.9	F			54.1	D	Optimization

			No Exemption		With Interregional Exemption		Interregional + Optimized Signal Timing		
ID	Intersection	Control	Delay	LOS	Delay	LOS	Delay	LOS	Exemption Type or Deficiency
107	Mountain House Parkway & I-580 WB Ramps	TWSC	53.8	F	6.4	A	6.4	A	Interregional Trip
PM Peak Period									
8	Matthews Road & I-5 NB	TWSC	186.1	F	26.2	D	26.2	D	Interregional Trip
22	McHenry Avenue & E River Road	ASWC	299.7	F	88.8	F	88.8	F	Programmed Improvement
29	Vernalis Road & SR-132/Vernalis Road	TWSC	126.5	F	11.1	B	11.1	B	Interregional Trip
33	Yosemite Avenue & French Camp Road	TWSC	347.8	F	21.7	C	21.7	C	Interregional Trip
41	Lathrop Road & I-5 NB Ramps	Signal	57.0	E			54.8	D	Optimization
45	Lathrop Road & I-5 SB Ramps	Signal	81.8	F			24.9	C	Optimization
53	Hutchins Street & Harney Lane	Signal	60.7	E	53.8	D	53.8	D	Interregional Trip
62	Jack Tone Rd & River Rd	TWSC	73.1	F	22.0	C	22.0	C	Interregional Trip
70	March Ln & I-5 SB Ramps	Signal	108.0	F			33.7	C	Optimization
82	Airport Wy & Sperry Rd/Arch-Airport Rd	Signal	79.4	E			49.6	D	Optimization
86	Pacific Ave & March Ln	Signal	60.6	E			51.0	D	Optimization
90	Thornton Rd & Lower Sacramento Road	Signal	61.4	E			52.0	D	Optimization
92	Hwy 99 NB Ramps & Arch Rd (east of freeway)	Signal	60.5	E			48.0	D	Optimization
93	Trinity Pkwy & Eight Mile Rd	Signal	180.0	F			54.5	D	Optimization
104	Austin Road & French Camp Road	AWSC	104.0	F	13.2	B	13.2	B	Interregional Trip

>Cap=Over Capacity. Highway Capacity Manual methods cannot calculate delay with volumes this high.

Basic Freeway Segments

Based on the most recent published volumes by Caltrans (2017), portions of I-5, SR-99, SR-120, SR-4 and I-205 were determined to be operating at LOS E or F during the a.m. or p.m. peak hours. After accounting for locally generated trips (interregional trip exemption), only one segment of SR-99 would operate at LOS E or worse. Given that this segment was not found deficient in 2016 Monitoring Report, staff deferred the request for a RCMP Deficiency Plan from SJCOG, “the responsible party,” until the next Monitoring Report. If this one segment is found deficient after exclusion analysis in 2020 monitoring, a RCMP Deficiency Plan will be needed. A summary of these results are provided in Table 3. Freeway Deficiency Analysis

Table 3. Freeway Deficiency Analysis

			No Exemption				With Interregional Exemption		
	From	To	AM LOS	PM LOS	AM II/IX* Share	PM II/IX* Share	AM LOS	PM LOS	Exemption Type
Northbound / Eastbound Segments									
5	Jct. Rte. 205 West	Jct. Rte. 120 East	D	F	42%	35%	B	B	Interregional Trip
	Lathrop Road	French Camp Overcrossing	C	E	41%	43%	A	B	Interregional Trip
	French Camp Overcrossing	Mathews Road	D	E	43%	43%	B	B	Interregional Trip
	Mathews Road	French Camp Turnpike	D	E	43%	46%	B	B	Interregional Trip
	French Camp Turnpike	Eighth St	D	F	52%	56%	B	C	Interregional Trip
	Eighth St.	Jct. Rte. 4	D	F	52%	57%	B	C	Interregional Trip
	Country Club Boulevard	Plymouth Rd/Ryde Ave	C	F	48%	63%	A	C	Interregional Trip
	March Lane	Benjamin Holt Drive	B	E	51%	63%	A	C	Interregional Trip
	Benjamin Holt Drive	Hammer Lane	D	F	40%	88%	A	D	Interregional Trip
99	Stanislaus County Line	Main Street	F	C	13%	10%	A	A	Interregional Trip
	Main Street	Milgeo Avenue	F	C	18%	15%	A	A	Interregional Trip
	Milgeo Avenue	Jacktone Road	F	C	21%	21%	A	A	Interregional Trip
	Jacktone Road	South Jct. Rte. 120	E	C	16%	26%	A	A	Interregional Trip
	South Jct. Rte. 120	N. Jct. Rte. 120	E	B	28%	30%	A	A	Interregional Trip
	Mariposa Rd	Jct. Rte. 4 East	E	C	44%	57%	B	A	Interregional Trip
	Jct. Rte. 4 East	Jct. Rte. 26 West	F	C	41%	57%	F	B	Deficiency
	Jct. Rte. 26 West	Jct. Rte. 4 West	F	C	44%	60%	C	B	Interregional Trip
	Jct. Rte. 88 Northeast	Cherokee Road	E	E	42%	64%	B	C	Interregional Trip
	Cherokee Road	Wilson Way	E	E	43%	66%	B	C	Interregional Trip
	Wilson Way	Hammer Lane	D	E	48%	69%	B	C	Interregional Trip
	South Lodi Interchange	Lodi, Jct. Rte. 12 West	D	E	38%	58%	B	C	Interregional Trip
120	Jct. Rte. 5	Yosemite Ave Undercrossing	D	E	98%	89%	C	D	Interregional Trip
	Yosemite Ave Undercrossing	Airport Way	C	E	65%	28%	B	A	Interregional Trip
205	Alameda County Line	Patterson Pass Road	C	F	15%	1%	A	A	Interregional Trip
	Patterson Pass Road	Old Route 50	B	F	15%	1%	A	A	Interregional Trip
	Old Route 50	Mac Arthur Drive	C	E	30%	10%	A	A	Interregional Trip
	Mac Arthur Drive	Jct. Rte. 5	A	F	41%	20%	A	A	Interregional Trip
Southbound / Westbound Segments									
5	Jct. Rte. 205 West	Jct. Rte. 120 East	F	D	36%	73%	B	C	Interregional Trip
	French Camp Overcrossing	Mathews Road	D	E	32%	71%	A	C	Interregional Trip
	Mathews Road	French Camp Turnpike	D	E	33%	71%	A	C	Interregional Trip
	French Camp Turnpike	Eighth St	D	E	39%	68%	B	C	Interregional Trip
	Eighth Street	Jct. Rte. 4	D	E	40%	71%	B	C	Interregional Trip
99	Stanislaus County Line	Main Street	B	F	62%	71%	A	D	Interregional Trip
	Main Street	Milgeo Avenue	C	F	61%	68%	B	D	Interregional Trip
	Milgeo Avenue	Jack Tone Road	C	F	61%	68%	B	D	Interregional Trip
	Jack Tone Road	South Jct. Rte. 120	B	F	64%	68%	A	D	Interregional Trip

			No Exemption				With Interregional Exemption		
	From	To	AM LOS	PM LOS	AM II/IX* Share	PM II/IX* Share	AM LOS	PM LOS	Exemption Type
	Jct. Rte. 26 West	Jct. Rte. 4 West	C	E	44%	65%	A	C	Interregional Trip
	Jct. Rte. 26 East	Jct. Rte. 88 Northeast	C	E	54%	71%	B	D	Interregional Trip
	Jct. Rte. 88 Northeast	Cherokee Road	D	E	57%	66%	C	C	Interregional Trip
	Wilson Way	Hammer Lane	E	D	54%	66%	C	C	Interregional Trip
	South Lodi Interchange	Lodi, Jct. Rte. 12 West	F	D	38%	44%	B	B	Interregional Trip
	Lodi, Turner Road	Woodbridge Road	E	D	35%	38%	B	A	Interregional Trip
205	Alameda County Line	Patterson Pass Road	F	B	30%	62%	B	A	Interregional Trip
	Patterson Pass Road	Old Route 50	F	B	28%	72%	B	A	Interregional Trip
	Old Route 50	Mac Arthur Drive	F	B	29%	71%	B	B	Interregional Trip
	Mac Arthur Drive	Jct. Rte. 5	F	D	34%	75%	B	C	Interregional Trip

*II stands for Internal to Internal, or trips that both originate and end within San Joaquin County, while IX stands for Internal to External, or trips that originate in San Joaquin County, but end elsewhere.

Merge / Diverge Analysis

A merge /diverge analysis was introduced to this report as an informational item. At the November 2016 TAC Meeting, City of Manteca expressed a concern that the 2016 RCMP Monitoring Report did not show SR-120 segment between Airport Way and SR-99 deficient before exemptions for interregional trips. This additional layer of analysis was added as a result.

Merge / diverge analysis assesses the average speed, capacity (passenger cars per mile per lane), and LOS in select freeway interchanges during AM and PM peak commute periods. Segments analyzed included SR-99 near middle to northern San Joaquin County, I-5 near City of Lathrop and Stockton, and all of SR-120. It is important to note that the merge/diverge analysis could not be performed at the following interchanges due to a lack of current Caltrans and turning movement data.

- I-5 & Pershing Avenue
- I-5 & Fremont Street
- SR-99 & Armstrong Road
- SR-99 & Harney Lane
- SR-120 & Guthmiller Rd
- SR-120 & Main Street

The results found 13 merge/diverge locations rated LOS E or F, 5 during AM peak commute period and 8 during PM peak commute period. The majority of locations with unfavorable conditions (i.e. LOS E or F) in the merge/diverge analysis lied along segments rated LOS D or better in the standard RCMP LOS analysis. For example, the eastbound merge at SR-120 and Airport Way was rated LOS F while SR-120 between Airport Way and Main Street received a LOS D rating during PM peak period. Eastbound merge at SR-120 and Union Road also received LOS F rating while the same above segment receiving LOS D rating during PM peak period.

As an informational analysis, LOS ratings of E or F in the merge/diverge analysis are not classified as RCMP deficiencies and do not trigger the need for a Deficiency Plan. However, SJCOG and member agencies may still program state, federal, and local funds to remedy the congestion in the area.

Table 4: Deficient Merge/Diverge Basic Freeway Segments

Freeway	Intersection	Direction	Ramp Type	Freeway Section Type	LOS	Peak Period
5	Louise Avenue	NB	On	Merge	F	PM
	Lathrop Road	NB	On	Merge	F	PM
		SB	On	Merge	F	PM
	Monte Diablo Avenue	NB	On	Weave	F	PM
99	Harney Lane	NB	On	Merge	F	PM
		SB	Off	Diverge	F	AM
	Cherokee Lane	SB	On	Merge	F	PM
		SB	ON	Merge	E	AM
	Turner Road	NB	On	Weave	E	AM
	Mokelumne River	NB	Off	Weave	E	AM
	Woodbridge Road	SB	On	Merge	E	AM
120	Airport Way	EB	On	Merge	F	PM
	Union Avenue	EB	On	Merge	F	PM

Multi-Lane Highway Segments

State Route 132 (SR 132) from Interstate 580 (I-580) to I-5 is the only multi-lane highway segment evaluated for RCMP monitoring purposes. Based on a traffic operational analysis, the multi-lane highway segments of SR 132 currently operate at LOS A during both a.m. and p.m. peak hours.

Two-Lane Highway Segments

Based on 2017 published volumes by Caltrans, portions of SR-4, SR-12, SR-26, SR-88, SR-120 and SR-132 were determined to be operating at LOS E or F during the a.m. or p.m. peak hours. After accounting for locally generated trips (interregional trip exemption), all two-lane highway segments perform at LOS D or better. A summary of these results is provided in **Table 5. Two-lane Segment Deficiency Analysis**

Table 5. Two-lane Segment Deficiency Analysis

			No Exemption				With Exemption		
	From	To	AM LOS	PM LOS	AM II/IX Share	PM II/IX Share	AM LOS	PM LOS	Exemption Type
4	Contra Costa/San Joaquin Co Line	Tracy Boulevard	E	E	25%	38%	C	C	Interregional Trip
	Tracy Boulevard	Inland Drive	E	D	30%	43%	C	C	Interregional Trip
	Inland Drive	Maybeck Road	E	E	31%	43%	C	C	Interregional Trip
	Maybeck Road	Roberts Island Road	E	E	28%	41%	C	C	Interregional Trip
	Roberts Island Road	Fresno Avenue	E	E	33%	46%	D	D	Interregional Trip
12	Sacramento County Line	Glasscock/Tower Parkway	E	E	29%	33%	C	C	Interregional Trip
	Glasscock/Tower Parkway	Guard Road	E	E	38%	41%	C	C	Interregional Trip
	Guard Road	Jct. Rte. 5	E	E	40%	43%	D	D	Interregional Trip
	Jct. I-5	Thornton Road	E	E	53%	58%	D	D	Interregional Trip
	Thornton Road	Lower Sacramento Road	E	E	47%	57%	D	D	Interregional Trip

			No Exemption				With Exemption		
	From	To	AM LOS	PM LOS	AM II/IX Share	PM II/IX Share	AM LOS	PM LOS	Exemption Type
26	Cardinal Avenue	Alpine Road	E	D	60%	78%	D	D	Interregional Trip
88	Wilcox Road	White Lane	E	E	49%	78%	D	D	Interregional Trip
	White Lane	Fairchild Lane	D	E	49%	79%	D	D	Interregional Trip
	Jct. Rte. 12 W	Jack Tone Road	E	E	42%	70%	D	D	Interregional Trip
	Disch Road	Mackville Road	E	E	19%	50%	C	C	Interregional Trip
120	Jack Tone Road	French Camp Road	E	E	42%	28%	C	C	Interregional Trip
	French Camp Road	Main/Kern Street	D	E	12%	38%	B	B	Interregional Trip
132	Jct. Rte. 5	Jct. Rte. 33	E	E	27%	18%	C	C	Interregional Trip
	Jct. Rte. 33	Stanislaus County Line	E	E	35%	17%	C	C	Interregional Trip

Arterial Street Segments

Based on a traffic operational analysis, portions of seven arterial street segments currently operate at LOS E or F. These include: Eight Mile Road; SR-4/Farmington Road; Byron Road; SR-12/Kettleman Lane, Airport Way, SR-120/Yosemite Avenue; SR-120; and Arch Airport Road. After accounting for locally generated trips (interregional trip exemption), five segments operate at LOS D or better and five segments operate at LOS F. Of the segments with LOS F rating, four segments were programmed in SJCOG's Regional Transportation Plan / Sustainable Communities Strategy. One deficient segment was not programmed; however, staff found this segment was not previously deficient in 2016 Monitoring Report and should be deficient in consecutive Monitoring Reports before requesting San Joaquin County to prepare RCMP Deficiency Plan. Staff will reassess this segment during the next Monitoring Report. A summary of these results is provided in **Table 6**.

Table 6. Local Arterial Deficiency Analysis

Roadway	From	To	Jurisdiction	No Exemption LOS	AM II/IX Share	PM II/IX Share	AVG II/IX Share	LOS	Exemption Type
Eight Mile Road	Lower Sacramento Road	Hwy. 99	County	F	94%	89%	92%	F	Programmed
SR-4/Farmington Road	S. Jct. Rte. 99	Walker Lane	County	E	29%	82%	55%	D	Interregional Trip
Byron Road	Alameda County	Lammers Road	County/Tracy	F	94%	91%	92%	F	RCMP Deficiency
SR-120	Main Street of Escalon	David Avenue of Escalon	Escalon	E	13%	36%	24%	C	Interregional Trip

Roadway	From	To	Jurisdiction	No Exemption LOS	AM II/IX Share	PM II/IX Share	AVG II/IX Share	LOS	Exemption Type
SR-12/Kettleman Lane	South Hutchins Street	Hwy. 99	Lodi	E	77%	85%	81%	D	Interregional Trip
Airport Way	Lathrop Road	SR-120	Manteca	F	84%	93%	89%	F	Programmed
SR-120 /Yosemite Avenue	Fremont Street	Hwy. 99	Manteca	E	50%	79%	64%	D	Interregional Trip
Arch Airport Road	Highway 99	Airport Way	Stockton	F	88%	93%	90%	F	Programmed
Eight Mile Road	Trinity Parkway	I-5	Stockton	F	98%	95%	97%	D	Interregional Trip
Eight Mile Road	I-5	Thornton Road	Stockton	F	88%	82%	85%	F	Programmed

Jurisdiction: Reflects location – not owner/operator (e.g., SR-12/88 is owned/operated by Caltrans but traverses through the County's jurisdiction)

RCMP Regional Deficiency Plan

As applicable, local agency conformance with the following RCMP Deficiency Plan requirements is also tracked:

- Complying with the RCMP Monitoring Program traffic count sharing responsibilities;
- Local adoption and SJCOG approval of RCMP Deficiency Plans within 12 months of the RCMP deficiency finding by SJCOG (as applicable); and,
- Progress made in the implementation of previously adopted Deficiency Plan CIP improvement projects.

The only RCMP Deficiency Plan adopted in San Joaquin County was the RCMP Regional Deficiency Plan (August, 2010) prepared by SJCOG in coordination with all its member agencies. This Regional Deficiency Plan identified I-5 between French Camp to Charter Way as deficient. The following CIP projects were identified in the SJCOG Regional Deficiency Plan:

Short-term Improvements:

Park-and-Ride Lot Implementation:

- I-5 and Hammer Lane in Stockton: \$1,200,000
- I-5 and Eighth Mile Road in Stockton: \$1,200,000
- Stanislaus County locations along the I-5 and SR-99 corridors (2 lots): \$2,400,000
- Expansion of Lots (I-5 and Ben Holt Drive) & (Kelley Dr. in Stockton): \$950,000 (add 80 spaces total)
- Expansion of Lot (Junction of I-5 and SR-12) – **Implemented** \$400,000 (add 40 spaces total)

Long-term Improvement:

- Widen I-5 from 6-8 lanes to add an HOV lane in each direction (French Camp to Charter Way): \$64,000,000³

Widening I-5 to accommodate an HOV lane in each direction will provide the requisite capacity to remedy this deficiency. This project is identified in the 2018 Regional Transportation Plan and is a Measure K Renewal Project, but as of today is not programmed in the FTIP.

The I-5 North Stockton Improvement Project that widens the I-5 between Martin Luther King Jr. Boulevard/Charter Way and Hammer Lane from 6 to 8 lanes to add HOV lanes was completed in 2016. This relieves some congestion north of the deficient facility but does not fully remedy the issue.

All jurisdictions have complied with the RCMP LUAP and RCMP Deficiency Plan requirements. The following improvements to program implementation are recommended however:

- Both SJCOG and its member agencies need to better inform the transportation and environmental consulting community of the RCMP LUAP requirements.
- Both SJCOG and its member agencies need to improve traffic count data sharing/transmittal and better inform the transportation and environmental consulting community of the RCMP traffic count database.
- Local agencies need to more proactively consider funding opportunities for RCMP facility improvements identified as CEQA mitigation during state/federal discretionary funding cycles as well as priorities for local RTIF funding.
- SJCOG and its member agencies need to more proactively pursue opportunities to fund improvements identified in the RCMP Regional Deficiency Plan (SJCOG, 2010).

RCMP Multimodal Corridors

SJCOG, in coordination with its member agencies, has designated twelve roadways as RCMP multimodal corridors. These corridors were selected based on their “Complete Street” functionality and are generally located in “downtown” areas that are characterized by higher than average numbers of shared roadway users (pedestrians, bicyclists, transit passengers, and motorists). For more information, please refer to Appendix A.

³ Note: Cost estimate was current as of publication of 2010 SJCOG Regional Deficiency Plan. Cost estimate for this project in the 2018 Regional Transportation Plan was \$97,880,000.

RCMP Land Use Analysis Program – Summary of Projects with RCMP Impacts

The RCMP is required to contain a program to analyze the impacts of land use decisions made by local jurisdictions on the regional transportation system. To comply with this state mandate, SJCOG and its member have integrated a “regional layer” of review within the CEQA review process to analyze impacts of development projects to the CMP transportation system. The RCMP Monitoring and Conformance Report must document each local agency’s performance over the previous two years to comply with the RCMP, including but not limited to the following:

- Implementation progress of mitigation measures identified as part of the RCMP Land Use Analysis Program.
- Compliance with the CEQA mitigation monitoring requirements for RCMP impacts.

SJCOG staff analyzed development projects that local agencies approved between Fiscal Year 2010-2011 and Fiscal Year 2017-2018 for which SJCOG staff had provided comments relating to RCMP impacts. During this monitoring period, SJCOG staff included other development projects with transportation mitigation measures, but did not receive comments from SJCOG. The reasoning is the project did not trigger a Tier 2 review or the project’s environmental document was not received by SJCOG staff. This additional process increases the mitigation measures captured; in hopes of reducing the impact of new development on the regional roadway network within San Joaquin County. SJCOG staff contacted local agency planning staff to determine the status of each project and implementation progress of mitigation measures as appropriate.

These projects are summarized in Tables 1 and displayed geographically on the map in Figure 1, below.

Figure 9: Development Projects with RCMP Impacts

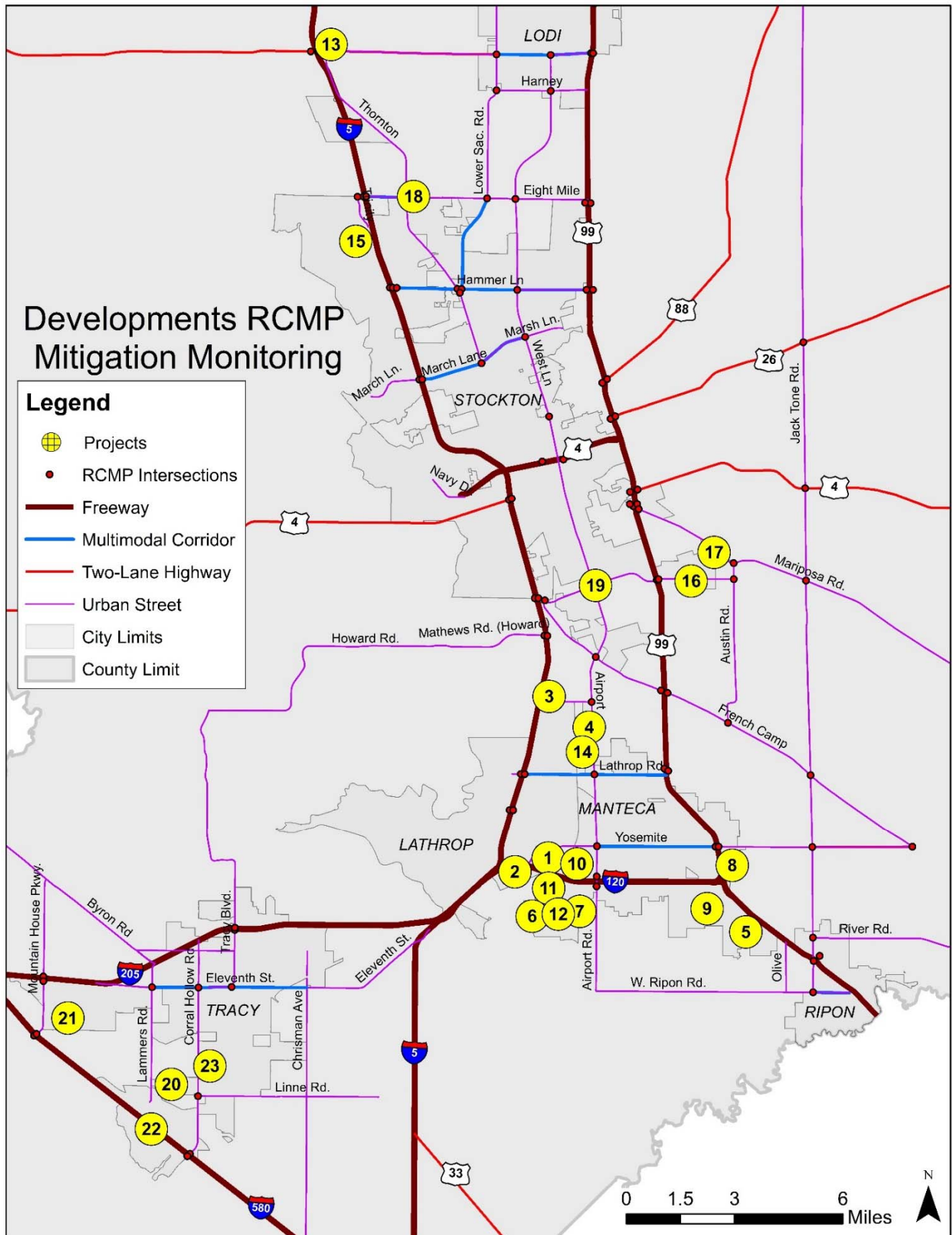


Table 3: Development Projects with RCMP Impacts

#	Lead Agency	Project Name	Project Description	Date Approved
1	Lathrop	Lathrop Gateway Business Park	139.7 acres of commercial, 167.6 acres of industrial, and 20.1 acres of infrastructure /open space north of SR-120 and between 2 rail lines. <u>Location:</u> East/West of UPRR, South of Yosemite Avenue, & North of SR-120 in Lathrop, California	05/06/2011
2	Lathrop	South Lathrop Specific Plan	10 acres of commercial office, 222 acres of light industrial, 31.5 acres of open space, 36 acres of public/quasi public facilities <u>Location:</u> South of SR-120 and north of Chiavari Way in Lathrop, California	07/20/2015
3	Lathrop	Lathrop Pilot Flying J	Two 9 diesel fueling lanes with 10 fueling islands, 12 gas fueling lanes with 6 fueling islands, 106 truck parking spaces, 67 passenger car parking spaces, and 13,011 sq. ft. building that includes a drivers' lounge, retail space, and multiple restaurants. <u>Location:</u> North of Roth Road and east of I-5 in Lathrop, California	06/06/2016
4	Manteca	Northwest Airport Way Master Plan	324 acres of industrial, 22 acres of commercial, and 44 acres of open space / drainage <u>Location:</u> Southeast corner of Roth Road and Airport Way in Manteca, California	11/02/2010
5	Manteca	Austin Road Business Park and Residential Community	1,051 acres of primarily agriculture with 14 rural residences and 30 acres of commercial and industrial uses <u>Location:</u> Southeast of Woodward Avenue and Moffat Boulevard in Manteca, California	11/16/2010
6	Manteca	The Trails of Manteca	1,650 dwelling-unit planned residential community. Dwelling units would consist of 1,178 single-family units and 472 multi-family units. The project would incorporate a trail system throughout the site of over 12 miles that will eventually connect to the City facilities. The proposed project also includes over 75 acres of linear parks and a clubhouse to be utilized by the residents. <u>Location:</u> Southeast corner of Woodward Avenue and South Woodward Avenue in Manteca, California	02/15/2011
7	Manteca	Terra Ranch Subdivision	209 single family dwellings, 200 multi-family dwellings, and 2.8 acre park <u>Location:</u> Southeast corner of Woodward Avenue and McKinley Avenue in Manteca, California	06/21/2011
8	Manteca	Yosemite Square Master Plan	137.7 acres of a business park and single/multifamily dwellings (755 units) <u>Location:</u> Northeast corner of SR-120 and SR-99 in Manteca, California	03/20/2012
9	Manteca	South of Woodward Avenue	The approximately 191.3-acre project site consists of six parcels, identified by Assessor's Parcel Numbers (APNs) 224-050-11, 224-050-12, 224-050-13, 226-140-03, 226-140-01, and 226-140-02. The overall project site is made up of three distinct sites referred to as Atherton Homes at Woodward Park I, Atherton Homes at Woodward Park II, and DeJong Property. <u>Location:</u> Southwest corner of Woodward Avenue and Atherton Drive in Manteca, California	05/05/2015
10	Manteca	Great Wolfe Lodge	210.7 acres of baseball and soccer fields, outdoor stadium, 360,000 sq. ft. of retail and restaurants, hotel, convention center, and water park. <u>Location:</u> Northeast corner of SR-120 and McKinley Ave in Manteca, California	09/08/2015
11	Manteca	Oakwood Trails Subdivision	Approximately 207 acres of land with 676 single-family housing units, 15.67 acres of parks/basins, 20.2 acres of commercial, and 11.59 acres of business industrial park. <u>Location:</u> North of Woodward Ave, east of McKinley Ave, and south of SR-120 in Manteca, California	06/21/2016
12	Manteca	Oakwood Landing – Cerri & Denali Subdivision	Up to 290 high density residential units, up to 975 low density residential units, and up to approximately 237,838 square feet of commercial. <u>Location:</u> Southwest of McKinley Ave and Atherton Dr in Manteca, California	06/05/2018
13	San Joaquin County	Love's Travel Stops	16 pumps and 24 fueling stations to serve 16 gasoline and 8 diesel fueling positions, a 7,700 square foot convenience store with an attached 3,000 square-foot fast-food restaurant, and a 1,200 square-foot storage building. <u>Location:</u> East of Thornton Road, North of SR-12 in Lodi, California	12/20/2012

#	Lead Agency	Project Name	Project Description	Date Approved
14	San Joaquin County	Union Pacific Expansion and Modernization Project	40 acre expansion of the existing Union Pacific Intermodal Facility Location: South of Roth Road, East of UPRR, West of Airport Way, North of <u>Lathrop</u> Road in Manteca, California	03/12/2013
15	Stockton	Delta Cove	1,545 residential units on 360 acres, consisting of low density residential lots (833 units), medium density residential lots (372 units), high density residential lots (280 units), 5.73 acres of commercial uses, and live-work residences (100 units) 2.5 acres within the commercial area. <u>Location:</u> Southwest corner of Bear Creek and Future Trinity Parkway in Stockton	10/19/2010
16	Stockton	Archtown Industrial Project	79 acres of industrial. <u>Location:</u> Southwest corner of Arch Road and Newcastle Road in Stockton, California	11/15/2011
17	Stockton	Norcal Logistics Center	Approximately 325 acres of land, separated into two non-adjacent portions, approximately 50 and 275 acre properties. Up to 6,280,480 sq. ft. of light industrial could be constructed. <u>Location:</u> South of Mariposa Road, North of Arch Road, east of Frontier Way, west of Austin Road in Stockton, California	03/26/2015
18	Stockton	Thornton Rd / Eight Mile Rd Arco Station	Three commercial structures: a gasoline station and convenience store approximately 3,799 square feet, a fast-food restaurant approximately 3,462 square feet, and a retail building approximately 4,000 square feet. The gasoline station would have 16 fuel dispensing pumps. <u>Location:</u> Northwest corner of Eight Mile Rd & Thornton Rd in Stockton, California	01/21/2018
19	Stockton	Airport Way/Sperry Road Commercial	The fueling station would provide 16 pumps for dispensing gasoline and diesel fuel to passenger vehicles and light-duty trucks. An adjacent building approximately 3,764 square feet in size would contain a convenience store. <u>Location:</u> Southwest corner of Airport Wy & Sperry Rd in Stockton, California	04/17/2018
20	Tracy	Ellis Specific Plan	321 acres of 2,250 (max) residential dwellings, open pace/parks, swim center, village center, and 180,000 sq. ft. of commercial <u>Location:</u> Northwest corner of Linn Road and Corral Hollow Road in Tracy, California	01/22/2013
21	Tracy	Cordes Ranch Specific Plan	16,105 residential dwellings, 275 acres of commercial, 441 acres of industrial, 759.5 acres of open space, 285 acres of schools, and 499.5 acres of public facilities <u>Location:</u> South of I-205, North of Old Schulte Road, east of I-580, west of Lammers Road in Tracy, California	09/03/2013
22	Tracy	Tracy Hills Specific Plan	2,732 acres of up to 5,499 residential dwellings, schools, parks, commercial, industrial, and other land uses <u>Location:</u> South of I-205, West of Corral Hollow Road, East of Alameda County Line in Tracy, California	03/02/2016
23	Tracy	Tracy Village	An active adult, gated, and age-restricted community consisting of up to 600 single-family detached residential lots that would support single-family dwelling units ranging from 1,350 square feet to 3,000 square feet. <u>Location:</u> West of Corral Hollow Rd & South of Valpico Rd in Tracy, California	04/11/2018

AGENDA ITEM **4H**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Amendment #3 to Measure K Cooperative Agreement (C-15-23) for Bus Rapid Transit Passenger Amenities with RTD

RECOMMENDED ACTION: Authorize the Executive Director to Amend the Measure K Renewal Cooperative Agreement C-15-23 with RTD, extending the term to June 30, 2020

DISCUSSION:

OVERVIEW:



The San Joaquin Regional Transit District (RTD) is requesting an amendment to their Measure K cooperative agreement (C-15-23) for Bus Rapid Transit (BRT) Passenger Amenities. The contract as previously amended will expire on June 30, 2019. RTD has requested to extend the term to June 30, 2020. The new BRT Express Route 47 (Midtown Miner Corridor) and BRT Express Route 49 (MLK Jr. Blvd Corridor) have completed construction and begun operations. However, additional time is needed to complete close-out of project expenditures, including any necessary payments for contractor claims and retention amounts.

RECOMMENDATION:

Authorize the Executive Director to amend the Measure K cooperative agreement with RTD extending the term to June 30, 2020.

FISCAL IMPACT:

None as there are no changes to approved funding amounts.

BACKGROUND:

The BRT Passenger Amenities project uses funding from the Bus Rapid Transit subcategory of the Passenger Rail and Bus Transit Category. Measure K provides for 50% of the capital costs not to exceed \$2,661,362 during the term of the contract. RTD is providing a 50% match to these funds using other funds.



Prepared by David Ripperda, Associate Regional Planner

AGENDA ITEM **4I**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Amendment #2 to Staff Augmentation Contract with San Joaquin Regional Rail Commission

RECOMMENDED ACTION: Authorize the Executive Director to Amend Contract C-17-082 with the San Joaquin Regional Rail Commission to extend the term to December 30, 2020

DISCUSSION:

Former San Joaquin Council of Governments (SJCOG) Project Manager Kevin Sheridan left the agency June 2, 2017, to take a similar position at the San Joaquin Regional Rail Commission (SJRRRC). Several of his assignments had not been completed at the time. As a result, the SJCOG Board authorized entering into a contract with the SJRRRC for up to 20% of Mr. Sheridan's time in an amount not to exceed \$56,000. The SJCOG Board subsequently approved an amendment to extend the contract through June 30, 2019 and increase the not-to-exceed amount to \$64,000.

A remaining contract balance of approximately \$23,000 is projected through the end of June. Mr. Sheridan is still working on several key projects. Recently, the construction contractors for the State Route (SR) 4 Crosstown Freeway Extension and the SR 99 South Stockton Widening both filed for arbitration. These arbitration claims may lengthen the Caltrans close out process for the two projects by up to 2.5 years. SJCOG staff recommends amending the contract to extending the term to December 31, 2020. This will allow Mr. Sheridan to continue working for SJCOG on an as needed basis during the next fiscal year. The work hour commitment will fluctuate from 5-10 hours per month. The scope of services will include:

- Continue close-out of construction contracts on the Measure K State Highway Projects
- Assist SJCOG staff on project delivery efforts for the State Route 99/120 Connector Project and the I-205 Widening Project
- Work with SJCOG staff to address issues that develop related to his past work assignments

RECOMMENDATION:

SJCOG staff recommends the Board authorize the Executive Director amend contract C-17-082 with the San Joaquin Regional Rail Commission to extend the term to December 31, 2020.

FISCAL IMPACT:

The proposed amendment would not increase the not-to-exceed amount. Salary savings from the departure of the Project Manager will continue to be used for this contract.

BACKGROUND:

SJCOG employed Kevin Sheridan for almost ten years in a full-time Project Manager position. While many of the Project Manager's assignments have been transitioned to existing SJCOG staff, there are some critical assignments that are in the agency's best interest for him to complete. The time cost to secure expertise and loss of institutional knowledge were key factors that led to SJCOG approaching SJRRC on the concept of staff augmentation services for project delivery services.

Prepared by: David Ripperda, Associate Regional Planner

AGENDA ITEM **4J**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Measure K Strategic Plan Amendment for the San Joaquin Regional Rail Commission

RECOMMENDED ACTION: Authorize the Executive Director to:



- 1) Amend the Measure K Cooperative Agreement C-18-004 with SJRRC for San Joaquin Regional Rail Commission and Altamont Corridor Express Capital Projects to increase the maximum not-to-exceed amount by \$429,189 in Fiscal Year 2018/19
- 2) Amend the Measure K Cooperative Agreement C-18-005 with SJRRC for San Joaquin Regional Rail Commission and Altamont Corridor Express Operations to decrease the maximum not-to-exceed amount by \$175,000 in Fiscal Year 2019/20 and change the contract amounts sub-allocated for SJRRC Operations and ACE Operations
- 3) Amend the Measure K Strategic Plan to reflect these actions and to decrease the amount for San Joaquin Regional Rail Commission and Altamont Corridor Express Operations by \$250,000 in Fiscal Year 2020/21

SUMMARY:

The San Joaquin Regional Rail Commission (SJRRC) is requesting an amendment to the Measure K Strategic Plan to update their program of projects to shift funding between projects as shown in Table 1 and 2. The amendment is necessary to allow amending SJRRC's current Measure K Capital (C-18-004) and Operating (C-18-005) contracts to reflect the requested changes. **The funding changes would result in an overall increase of \$4,189 programmed for SJRRC in the 2017 Measure K Strategic Plan.**

RECOMMENDATION:

SJCOG staff recommends the Executive Director be authorized to:

- 1) Amend the Measure K Cooperative Agreement C-18-004 with SJRRC for San Joaquin Regional Rail Commission and Altamont Corridor Express Capital Projects and increase the maximum not-to-exceed amount by \$429,189 in Fiscal Year 2018/19
- 2) Amend the Measure K Cooperative Agreement C-18-005 with SJRRC for San Joaquin Regional Rail Commission and Altamont Corridor Express Operations to decrease the maximum not-to-exceed amount by \$175,000 in Fiscal Year 2019/20
- 3) Amend the Measure K Strategic Plan to reflect these actions and to decrease the amount for San Joaquin Regional Rail Commission and Altamont Corridor Express Operations by \$250,000 in Fiscal Year 2020/21

FISCAL IMPACT:

The proposed actions would be a shift of funds between SJJRC projects as shown in Tables 1 and 2, and result in an overall increases of \$4,189. These changes would not affect the amounts or timing of disbursements to any other Measure K recipients.

Table 1: Existing 2017 Measure K Strategic Plan Programming

Fiscal Year	Transit 95%	Passenger Rail Transit 39%	ACE Maintenance & Layover Facility Debt Service	SJRRC/ACE Operations
2017/2018	14,470,865	5,643,637	-	1,964,757.20
2018/2019	15,122,054	5,897,601	-	4,350,000
2019/2020	15,805,592	6,164,181	-	4,800,000
2020/2021	16,516,843	6,441,569	-	5,000,000

Table 2: Proposed 2017 Measure K Strategic Plan Programming

Fiscal Year	Transit 95%	Passenger Rail Transit 39%	ACE Maintenance & Layover Facility Debt Service	SJRRC/ACE Operations
2017/2018	14,470,865	5,643,637	-	1,964,757.20
2018/2019	15,122,054	5,897,601	429,189	4,350,000
2019/2020	15,805,592	6,164,181	-	4,625,000
2020/2021	16,516,843	6,441,569	-	4,750,000

BACKGROUND:

The renewal of Measure K by the voters in November 2006 continues funding for specialized transit services such as passenger rail, intercity, interregional, and commuter bus service, bus rapid transit service, and specialized transit service for the elderly and disabled. Transit services are funded under the Passenger Rail and Bus Transit category that receives 30% of the Measure K revenue. This category is further split into four subcategories: Passenger Rail (39%), Bus Transit (49%), Pedestrian/Bicycle Facilities and Safety (7%), and Bus Rapid Transit (BRT) Capital (5%) projects.

In order to access Measure K funding, funding and project descriptions must be consistent with the Measure K Strategic Plan and the project sponsor enter into a Measure K cooperative agreement.

ACE Maintenance & Layover Facility Debt Service

Measure K funds will supplement federal FTA Section 5307 and 5337 funds for bond repayments. These bonds were issued to purchase land and fund construction of the ACE Maintenance and Layover facility. The facility is used for repair, maintenance, cleaning, and overnight storage of the train sets used in the ACE service. The addition of Measure K funds is necessary to provide the required local match for the federal funds.

SJRRC/ACE Operations

Measure K provides funding for operations of the ACE service and the administrative operations of SJRRC. During FY 2018/19, SJRRC undertook an internal review of how they allocate staff time in their Operating Budget. As a result, SJRRC staff's job duties were reallocated amongst the managing agency (SJRRC) and the two agencies SJRRC manages (ACE and SJJPA) to better align with the agency the task is benefiting. This reallocation was included in SJRRC's FY 2019/20 Operating Budget. SJRRC is requesting to change the amounts sub-allocated in their Measure K cooperative agreement to reflect these changes for FY 2019/20.

Table 4: Existing C-18-005 SJRRC/ACE Operations Sub-allocations

Fiscal Year	SJRRC Operations	ACE Operations
2019/2020	\$1,220,000	\$3,580,000

Table 5: Proposed C-18-005 SJRRC/ACE Operations Sub-allocations

Fiscal Year	SJRRC Operations	ACE Operations
2019/2020	\$2,300,000	\$2,325,000

AGENDA ITEM **4K**



June 2019
SJCOG, Inc.

STAFF REPORT

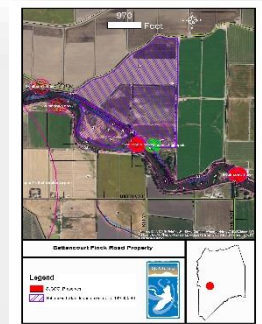
SUBJECT: Bettencourt Finck Preserve Purchase and Preserve Management Plan

RECOMMENDED ACTION: Motion to 1) Approve the Conservation Easement Purchase and 2) Approve the Preserve Management Plan (PMP) for the Preserve Site

DISCUSSION:

SUMMARY:

The Bettencourt Finck property under consideration is a total of 180 +/- acres. The land owner and SJCOG, Inc. are discussing an easement acquisition of the property under the habitat plan of approximately 170 +/- acres of agricultural and riparian habitat on the properties. The location of the property, with the elevation of 6-7 feet above sea level, is on Old River and northwest of the City of Tracy in the Central and Delta Zone. The potential preserve is near existing SJCOG, Inc. preserves in the Central and Delta Zone area, also shown in the attachment 1 and 2.



With the easement purchase, SJCOG, Inc. staff has written this draft PMP to be consistent with the existing Preserve Management Plans of the agricultural habitat and riparian preserves in the Central/Delta Zone for management economies of scale for species under the SJMSCP. The easement will serve for habitat for various species while providing mitigation for agricultural impacts under the habitat plan in the Delta and/or Central Zones.

There have been historical records of Swainson's hawk and other species on/near the property in the California Natural Diversity Database (CNDDB).

RECOMMENDATION:

A motion to recommend the SJCOG, Inc. Board to

- 1) approve the conservation easement purchase, and
- 2) approve the preserve management plan.

FISCAL IMPACT:

SJCOG, Inc. would purchase an agricultural habitat easement on 170+/- acres under the SJMSCP.

- Easement = **\$714,000** (not to exceed \$4,200 per acre) plus closing costs
- Endowment = **\$591,337.50** (170+/- acres x \$4,548.75 per acre for 2019 endowment)

BACKGROUND:



The Bettencourt Finck property, with 6-7-foot elevation above sea level, is on Old River and northwest of the City of Tracy in the Central and Delta Zone. The property consists of an active row crop operation which serves as foraging habitat for several SJMSCP covered species and some riparian habitat along the riverway. The conservation easement covers existing agricultural and riparian land to mitigate for prior development impacts in the Delta and Central Zone under the SJMSCP.

The draft PMP (attachment 3), prepared by ICF, reflects the existing Preserve Management Plans for agricultural land preserves in the Central/Delta Zone for economy of scale on long term monitoring activities. There are no extensive enhancements planned to the landscape. However, any additional future enhancements not displayed in Table 1 would be brought back as a supplemental PMP in cooperation with the land owner.



Table 1 – Enhancements for Row and Field Crop/Riparian Preserves

Enhancement Potential Under SJMSCP	Y	N	N/A
Use of Herbicides, pesticides and/or rodenticide in accordance with Sect. 5.4.5(M) & 5.4.7.1	X		
Create, expand or restore riparian area to enhance nesting		X	
Plant elderberry plants for VELB		X	
Enhance foraging habitat using native grass and forb species (Appendix N)		X	
Install roosting or nest sites and platforms		X	
Fencing of riparian areas		X	
Install bat boxes			X
Maintain water quality within creeks and wetlands (e.g. red-legged frog habitat)			X
Create burrowing owl burrows		X	
Eliminate invasive and undesirable species	X		
Plant vegetation (e.g. tules, blackberry thickets & cattails for tricolor blackbird/GGS)		X	

COMMITTEE ACTIONS:

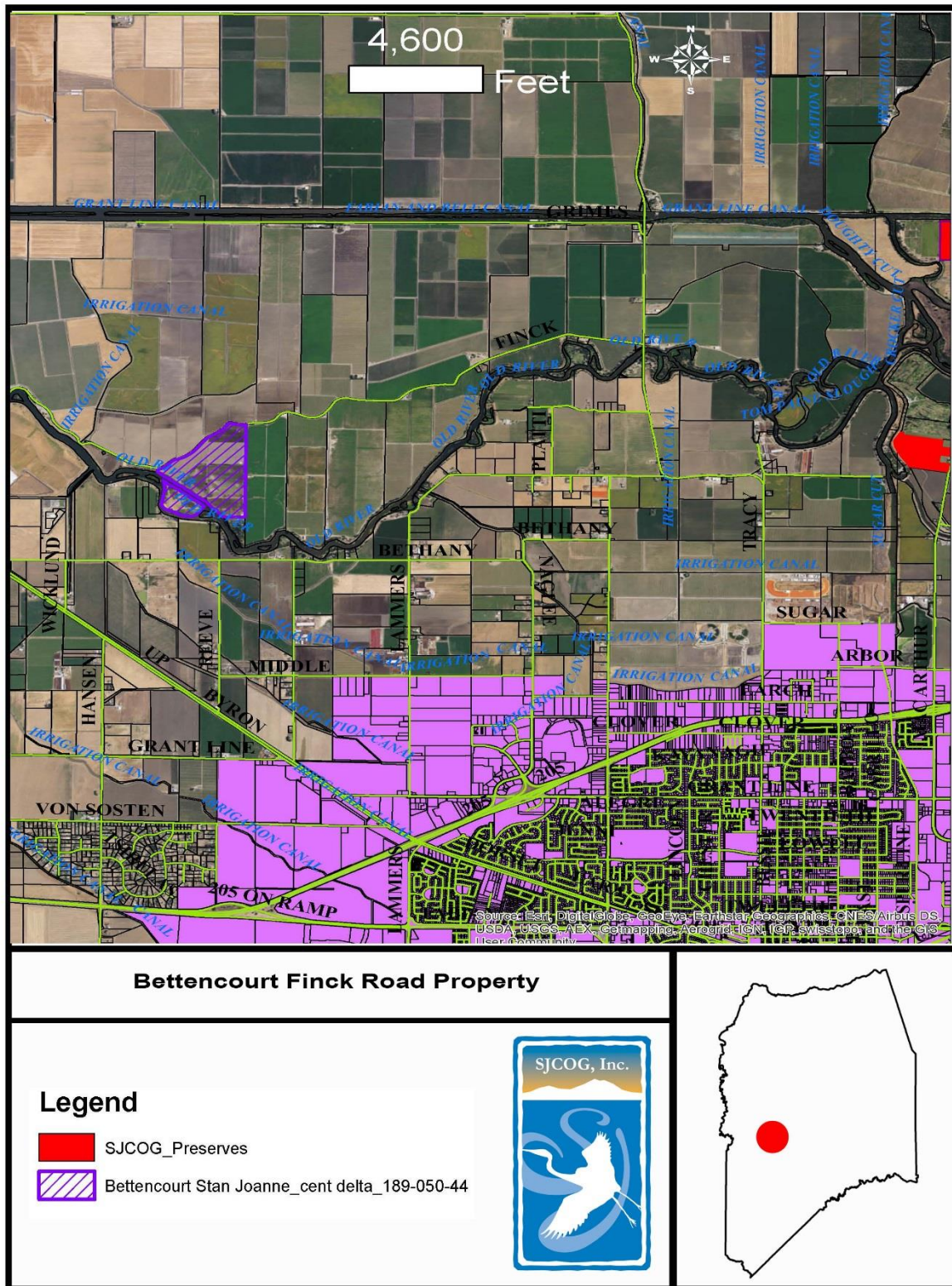
- Habitat Technical Advisory Committee: Recommend Approval
- SJCOG, Inc. Board – Action Required

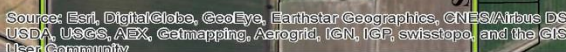
ATTACHMENTS:

1. Overview Preserve Location Map
2. Preserve Location Map
3. Preserve Management Plan

Prepared by: Steven Mayo, Program Manager

ATTACHMENT 1





ATTACHMENT 3

DRAFT PRESERVE MANAGEMENT PLAN FOR THE BETTENCOURT FINCK ROAD PRESERVE

PREPARED FOR:

SJCOG, Inc.
555 East Weber Street
Stockton, CA 95202
Contact: Steve Mayo
209.235.0600

PREPARED BY:

ICF International
630 K Street, Suite 400
Sacramento, CA 95814
Contact: Doug Leslie
916.737.3000

May 30, 2019



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Figure 7	Documented Occurrences of SJMSCP-Covered Species within 2 Miles of Bettencourt Finck Road Preserve

Acronyms and Abbreviations

amsl	above mean sea level
CNDDDB	California Natural Diversity Database
GIS	geographic information systems
HTAC	Habitat Technical Advisory Committee
BFRP	Bettencourt Finck Road Preserve
SJCOG	SJCOG, Inc.
SJMSCP	San Joaquin County Multi-Species Habitat Conservation and Open Space Plan
USGS	U.S. Geological Survey

Chapter 1

Introduction

SJCOG, Inc., is currently implementing the *San Joaquin County Multi-Species Habitat Conservation and Open Space Plan* (SJMSCP)¹ (San Joaquin Council of Governments 2001). The principal biological goal of the SJMSCP (the Plan) is to maintain habitat of sufficient quality and quantity to conserve populations of all fish, wildlife, and plant species covered by the Plan. As part of this Plan, lands within the SJMSCP Plan Area are acquired as preserves from willing landowners through either conservation easements or fee title purchase.

This document is the Preserve Management Plan (PMP) for the Bettencourt Finck Road Preserve (BFRP), owned by Stan and Joanne Bettencourt, on which a conservation easement is being placed. The single parcel addressed in this PMP is approximately 180 acres of farmland on which a conservation easement of approximately 170 acres is being placed by SJCOG Inc. The preserve will be incorporated into the preserve system as a row and field crop preserve.

The BFRP is intended to offset impacts resulting from the conversion of agricultural lands primarily within the Central Zone, as allowed in Section 5.1.2.6 of the Plan.

1.1 Purpose of the Preserve Management Plan

The PMP sets forth specific guidelines regarding land management and monitoring activities to ensure the landowner(s) and SJCOG, Inc., are in agreement with the conditions of the conservation easement and the manner in which preserve lands will be managed and monitored.

The PMP describes the baseline biological conditions of the property; states the goals and objectives of management; and describes the ongoing land management activities, including permitted and prohibited uses of the property and any affirmative obligations of the landowner(s).

The PMP also sets forth guidelines for adaptive management as required under the SJMSCP. Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs.

1.2 Preserve Location

The BFRP is located on the north bank of Old River just south of Finck Road approximately 3.2 miles northwest of the city of Tracy, CA (Figure 2).

¹ San Joaquin County Council of Governments. 2001. *San Joaquin County Multi-Species Habitat Conservation & Open Space Plan*. Stockton, CA. Available: <https://www.sjcog.org/DocumentCenter/View/5/Habitat-Planpdf?bidId=>. Accessed May 17, 2019.

Table 1. Bettencourt Finck Road Preserve Information

Assessor's Parcel Numbers	189-050-44
Acreage	170 acres
SJMSCP Index Zone	Delta
USGS 7.5-minute quadrangle	Union Island
Township	1S and 2S
Range	4E
Section	El Pescadero Land Grant
SJMSCP = <i>San Joaquin County Multi-Species Habitat Conservation and Open Space Plan</i> ; USGS = U.S. Geological Survey	

If the easement is acquired, the BFRP would extend the western boundary of the preserve system in the Tracy area by approximately 4.5 miles (Figure 2). The Pellegrini, Martins, and Fagundes preserves along with several others occur to the east of the property.

1.3 Land Ownership and Management

The parties responsible for managing BFRP lands in accordance with the PMP are listed below.

Landowner

Stan and Joanne Bettencourt
Contact: Property
15650 Finck Road
Stockton, CA 95206
Phone 209.541.7422

Conservation easement holder

SJCOG, Inc.
555 East Weber Street
Stockton, CA 95202
Contact: Steven Mayo
Phone: 209.235.0600

Land manager

ICF International
630 K Street, Suite 400
Sacramento, CA 95814
Contact: Doug Leslie
Phone: 916.737.3000

Chapter 2

Baseline Preserve Characteristics, Goals and Objectives

As noted above, the BFRP is an approximately 170-acre portion of the property owned by Stan and Joanne Bettencourt. The property is located on the north bank of Old River and includes an island in Old River. The easement consists of a single parcel, which is currently divided into several fields (not including the island, which is not cultivated) (Figure 3).

All the fields have historically been used to grow mainly hay crops such as alfalfa, grass hay, oat hay, and other row and grain crops. At the time of the initial site visit, the entire property was comprised of alfalfa (Figure 4).

There is a concrete lined irrigation ditch running north to south dividing the two western fields from the three fields to the east (Figure 4). California ground squirrels (*Otospermophilus beecheyi*) occur along the length of this ditch. A drainage ditch runs generally east to west through the property that is bordered by large patches of Himalayan blackberry (*Rubus armeniacus*) and also supports emergent wetland vegetation comprised primarily of Tule (*Schoenoplectus acutus*) (Figure 4).

There is a substantial strip of riparian vegetation along the bank of Old River that is lined with large, old Eucalyptus trees (*Eucalyptus sp.*) near the northwestern corner, while the southeastern portion contains more native Valley oaks (*Quercus lobate*) and Black walnuts (*Juglans sp.*) (Figure 5).

Outside the riparian area along Old River, a few native and non-native trees occur along the western border of the property, in the northeast corner near Finck Road, and along the concrete lined ditch in the south-central portion of the property (Figure 3).

The island portion of the property was supporting several goats at the time of the site visit. The island is comprised primarily of non-native annual grassland but also supports some trees and emergent wetland vegetation (Figure 6). The island is not accessible except by boat.

The SJMSCP geographic information systems (GIS) database and the California Natural Diversity Database (CNDDDB) were searched to identify records of SJMSCP-covered species within approximately 2 miles of the BFRP.

Swainson's hawk (*Buteo swainsonii*) and Valley elderberry longhorn beetle (*Desmocerus californicus dimorphus*) are ubiquitous along Old River, and there is one record of a nesting Swainson's hawk on the BFRP. There is also a record of nesting Northern harrier (*Circus hudsonicus*) on the island, in addition to several other records to the west of the BFRP. There are two records of Giant gartersnake (*Thamnophis gigas*), one upstream and one downstream of the BFRP. Also of note are several records of San Joaquin kit fox (*Vulpes macrotis mutica*) and White-tailed kite (*Elanus leucurus*) to the west of the BFRP, as well as records for Western pond turtle (*Emys marmorata*, formerly *Clemmys marmorata*), Mason's lilaeopsis (*Lilaeopsis masonii*), Caper fruited tropidocarpum (*Tropidocarpum capparideum*), and other SJMSCP-covered species (Figure 7).

2.1 Wildlife Habitat Associations Identified in the SJMSCP

The habitats and preserve elements described in the SJMSCP and currently present on the BFRP are listed below.

- Row and field crop.
- Presence of rodents.
- Presence of pigeons or mice.
- Presence of grasses, sometimes almost barren ground
- Presence of ground squirrel holes
- Presence of small reptiles and/or amphibians in shallow waters
- Presence of tall perching sites (i.e., vegetative perches higher than surrounding vegetation which permit the species to survey the surrounding area) normally with adjacent agricultural fields or grasslands.
- Presence of stands of dense, tall trees along riparian corridors for roosts or rookeries
- Presence of slow-moving waters within natural or agricultural waterways
- Presence of small birds

These habitats and preserve elements, according to the SJMSCP, provide foraging habitat for the SJMSCP-covered species listed below.

- Swainson's hawk
- Northern harrier
- White-tailed kite
- Merlin (*Falco columbarius*)
- Long-billed curlew (*Numenius americanus*)
- Horned lark (*Eremophila alpestris*)
- Burrowing owl (*Athene cunicularia*)
- Great blue heron (*Ardea herodias*)
- Great egret (*Ardea alba*)
- Loggerhead shrike (*Lanius ludovicianus*)
- Slough thistle (*Cirsium crassicaule*)
- Cooper's hawk (*Accipiter cooperii*)
- Sharp-shinned hawk (*Accipiter striatus*)

The agricultural and ditch habitats on the preserve also benefit several other common bird species, including killdeer (*Charadrius vociferus*), House finch (*Haemorrhous mexicanus*), and California

horned lark (*Eremophila alpestris*), as well as habitat for jackrabbits (*Lepus californicus*), raccoons (*Procyon lotor*), opossums (*Didelphis virginiana*), and gopher snakes (*Pituophis catenifer*).

2.2 Goals and Objectives of the Management Plan

The BFRP will be managed as a Row and Field Crop Preserve as described in Section 5.4.4.4 of the SJMSCP. The goal of this preserve type is to maintain and enhance the *habitat values* extant on the site for the benefit of Swainson's hawk and other species covered by the SJMSCP that depend to varying degrees upon habitat values provided by agricultural habitats and associated ditch and riparian habitats. **Habitat Values** are defined herein as the resources on the landscape that provide benefits for covered species, such as abundant and accessible prey or forage, cover, perch sites, nest sites, water, or other resources necessary for survival and reproduction. Habitat values decrease with increasing disturbance, pesticide and herbicide use, and increasing habitat uniformity. Because the BFRP is devoted to agricultural production with a riparian component, the primary goal of the preserve is to provide foraging, perching, and nesting habitat for SJMSCP-covered species.

Chapter 3

Land Management Activities

This chapter discusses the land management activities that will be implemented under the conservation easement. The desired agricultural practices as well as permitted and prohibited land uses are discussed.

The BFRP will be managed according to the guidelines for Central Zone Row and Field Crop Preserves outlined in the SJMSCP. These guidelines state that the key management practice for the agricultural use of row and field crops is to grow only those crops having a canopy structure and other attributes that do not mechanically prevent foraging by raptors or other species covered under the SJMSCP.

3.1 Agricultural Practices

Land management practices on the BFRP have historically provided benefits for Swainson's hawk and other SJMSCP-covered species. The property is currently being used to grow alfalfa. Other crops grown include tomatoes, oats, and various types of winter forage other hay crops. Vineyards, orchards, blueberries, and other permanent or semi-permanent crops are prohibited without permission from the SJCOG, Inc., Habitat Technical Advisory Committee (HTAC).

3.2 Prohibited Uses and Activities

This section identifies prohibited uses of the preserve under the BFRP Conservation Easement. *Landowner* refers to Stan and Joanne Bettencourt. *SJCOG, Inc.*, refers to all agencies, organizations, or individuals affiliated with or that represent the SJCOG, Inc., during implementation of actions under the preserve management plan.

3.2.1 Access and Trespass/Illegal Uses/Signage

No access to the general public will be permitted. The SJMSCP requires that signage be installed at all preserves under conservation easement. At the landowner's discretion, the signage can identify the property as being part of the San Joaquin County Open Space system, or *No Trespassing* signs can be installed. Signage should be installed on the BFRP within 120 days following approval of the conservation easement. The signs should be installed along public roadways and rights-of-way and should clearly state that public access is prohibited. The signs will be provided by the SJCOG, Inc., and installed by the landowner.

3.2.2 Agricultural Conversion

The conversion of the preserve from production of row and field crops (e.g., tomatoes, corn, beans, cucumbers, or other vegetables; wheat, oats, or other grains; alfalfa or other hay crops) or irrigated pasture to agricultural uses that are not compatible with providing foraging habitat for Swainson's

hawk and other covered species (e.g., conversion to orchards, vineyards, blueberries, or other permanent or semi-permanent crop types) is prohibited without prior approval by the HTAC.

3.2.3 Alteration of Watercourses

The alteration or manipulation of any natural watercourse, wetland, or body of water and activities or uses that are detrimental to water quality, including, but not limited to, degradation, pollution, or fill, are prohibited. This prohibition does not include irrigation of crops, drainage of agricultural fields, routine maintenance of ditches, or installation of preserve enhancements approved by the HTAC.

3.2.4 Chemicals

Except for those pesticides, herbicides, fungicides, or fertilizers used in ongoing row and field crop production in strict compliance with application and labeling instructions, no chemicals will be used on the preserve unless they are used for the specific purpose of controlling exotic weed or pest species that may threaten habitat functions and values. All chemicals will be used, stored, and disposed of in strict compliance with labeling instructions and applicable laws.

3.2.5 Dumping

The dumping, storage, or other disposal of refuse, trash, sewer sludge, and toxic or hazardous materials or chemicals is not permitted on the preserve. This prohibition includes the storage or disassembly of inoperable automobiles, trucks, farm equipment, or other machinery for the purpose of sale or storage.

3.2.6 Hunting and Fishing

Commercial fishing, hunting and trapping are prohibited. No recreational hunting or fishing that could result in take under the federal or stated endangered species acts is permitted.

3.2.7 Vegetation Removal or Destruction

The removal of any natural vegetation (such as riparian habitats or remnant, native oak trees) or vegetation installed as part of a preserve enhancement project is prohibited.

3.2.8 Natural Resource Development

The filling, dumping, excavating, draining, dredging, mining, drilling, removing, exploring, or extracting of or for minerals, soils, sands, gravels, rocks, or other material on or below the surface of the preserve is prohibited, unless otherwise approved by the HTAC.

3.2.9 Pest Management

Pest management is an ongoing activity associated with agricultural production. However, chemical rodent control should be minimized to the extent possible to maximize habitat values for covered species. The implementation of pest management is restricted in accordance with the parameters

listed below to ensure that agricultural activities are consistent with the goals and objectives of the SJMSCP.

- All vertebrate pest control measures will be conducted in accordance with rodenticide labeling instructions, in accordance with Endangered Species Act Bulletins (available from local Agricultural Commissioner), and in accordance with Agricultural Commissioners (regulation and procedures).
- Anti-coagulant pesticides are prohibited.
- Application of rodenticides is restricted to bait feeders and should not be used unless absolutely necessary. Rodenticide baiting in burrows and rodenticide broadcast baiting are prohibited, with the following exceptions:

The use of strychnine or other non-anticoagulant rodenticides (such as ZP Rodent Oat Bait or AG Oat Grain Bait) dispersed underground (using a gopher-baiting machine for example) for pocket gopher abatement is allowed. The intention is to ensure that dead pocket gophers remain underground to eliminate the possibility of secondary poisoning of covered species. While the aforementioned rodenticide labels list other uses for the product, such as vole control in alfalfa fields, their use for control of species other than pocket gophers in a manner other than specified above is prohibited because their above ground use would pose a danger to covered species.

If vertebrate pest control procedures are not effective and additional control is necessary, adaptive management procedures will be followed. The landowner will consult with the HTAC in a timely fashion and in accordance with the SJMSCP.

3.2.10 Recreational Activities

No revenue-generating recreational activities are permitted. Private recreational activities that degrade the habitat values of the property are prohibited.

3.2.11 Roads

The construction of new roads is prohibited.

3.2.12 Structures

The construction or placement of the structures listed below is prohibited on the preserve.

- New residential or other buildings.
- Camping accommodations.
- Mobile homes, house trailers, permanent tent facilities, Quonset huts or similar structures.
- Underground tanks.
- Billboards, signs, or other advertising.
- Streetlights.
- New utility structures or power lines except those required to power new pumps on the property for agricultural purposes.

- New sewer systems.

3.2.13 Vehicle Use

The use of motorized vehicles off designated roadways, except for agricultural purposes, is prohibited.

3.3 Permitted Uses and Activities

This section identifies permitted uses of the preserve under the BFRP Conservation Easement. Although some activities may be permitted under this PMP, all activities are still subordinate and subject to all applicable Federal, State, and local laws and regulations. The primary permitted use of the property is the continuation of row and field crop agriculture.

3.3.1 Hunting and Fishing

Noncommercial fishing, hunting and trapping of wildlife is permitted so long as it is conducted in compliance with applicable laws and regulations and in a manner that does not compromise the habitat values or damage the ecology of the biological resources on the preserve.

3.3.2 Roads

Resurfacing of existing roads with onsite materials and clean gravel is permitted as long as material is kept within the immediate roadway.

3.4 Affirmative Obligations

This section identifies the affirmative obligations of the landowner under the BFRP Conservation Easement. Affirmative obligations include both activities and permissions. All activities and permissions are subordinate and subject to all applicable Federal, State, and local laws and regulations.

3.4.1 Emergency Vehicle Access

The landowner must allow emergency vehicles to have direct access to the preserve from Finck Road, when necessary (Figure 3). The BFRP is currently not protected by gates and/or cables and is not actively patrolled.

3.4.2 Maintenance and Repair

SJCOG, Inc., is not responsible for general maintenance, repair, and replacement of existing facilities such as roads, fences, agricultural ditches, and irrigation supply lines and pumps. The landowner retains responsibility for these items and other general maintenance.

3.4.3 Monitoring and Reporting

SJCOG, Inc., is required to track crops grown on the preserve, ensure that the terms of the conservation easement are adhered to, and to conduct monitoring to ensure that acquisition and management of the easement are facilitating the achievement of the SJMSCP goals and objectives. Therefore, the landowner is required to allow reasonable access to the preserve by SJCOG, Inc. for purposes of ensuring compliance with the terms of the conservation easement and for purposes of monitoring use of the preserve by covered species.

3.4.4 Preserve Enhancements

The BFRP contains several habitat features that are favorable to covered species, including a number of naturally occurring potential nest trees, riparian habitats, ground squirrel burrows, and an uncultivated island. Therefore, no preserve enhancements are currently proposed. However, if evidence came to light of occurrence of giant gartersnake in the area, then improvements to the drainage ditch to provide more emergent marsh habitat and upland refugia might be warranted.

If evidence of occurrence of riparian brush rabbit in the area emerged, then enhancements to improve shrub cover on the island might be warranted.

If preserve enhancements become established, the landowner is responsible for routine maintenance. Routine maintenance includes watering and weeding where necessary, and protecting enhancements from vehicles, agricultural equipment, and domesticated grazing animals. In cases where additional, non-routine maintenance is required (e.g. plantings are invaded by a new noxious weed that requires excessive control efforts, trees are subjected to a new pathogen, natural succession and senescence of plants), SJCOG, Inc., will assist the landowner in implementing management actions to restore the natural functioning of the preserve enhancements.

3.5 Implementation and Management Schedule

The landowner will begin implementing and managing the preserve in accordance with this PMP immediately upon formal approval and acceptance of the conservation easement by the landowners, SJCOG, Inc., and the HTAC. The landowners and SJCOG, Inc., intend that the property be preserved and maintained in perpetuity by permitting only those agricultural practices that provide foraging habitat for Swainson's hawk and other SJMSCP-covered species that forage in agricultural habitats. The current and proposed agricultural practices are beneficial to these species.

Chapter 4

Monitoring and Adaptive Management

This chapter describes the biological monitoring plan and reporting requirements for land management activities on the BFRP. This chapter also summarizes remedial measures that may be implemented should the property not provide the desired benefits for Swainson's hawk and other SJMSCP-covered species. The primary objective of monitoring is to ensure that the goals and objectives of the SJMSCP and this PMP are being met.

A preserve monitoring strategy for the entire SJMSCP preserve system is currently being completed. The monitoring plan described in this chapter is considered provisional until the system-wide monitoring plan is completed and approved.

Three general types of monitoring are conducted on a regular basis to ensure that the goals and objective of the SJMSCP are being met; *compliance monitoring*, *effectiveness monitoring* (referred to as *biological monitoring* in the SJMSCP), and *preserve enhancement monitoring*.

4.1 Compliance Monitoring

Compliance monitoring is monitoring that demonstrates compliance with the terms and conditions of the conservation easement, the SJMSCP and its permits. Compliance monitoring will be achieved through an annual site visit(s) to the preserve and annual discussion with the landowner(s) to document changes in agricultural practices or other factors such as water deliveries, drought conditions, market conditions, etc. that could affect the conservation and habitat values of the preserve. A set of photo stations will be established and photographs from each station will be taken annually during the site visit(s). Because breeding populations of Swainson's hawk and other covered species that depend upon agricultural habitats during a significant portion of their life cycle are the primary targets of this PMP, the site visit will typically be conducted during spring or summer, when these species can be found in the region.

Variables to be included in the review during each site visit include the crop types that are in production, the areal extent of each crop type, if applicable, and any changes in land use or status of the preserve that could substantively influence the habitat values of the preserve.

Noncompliance with the conservation easement will be addressed in accordance with the provisions of the conservation easement.

4.2 Effectiveness Monitoring

Effectiveness monitoring (referred to as *biological monitoring* in the SJMSCP) is comprised of several types of monitoring. The general purpose of effectiveness monitoring as described in the SJMSCP is to track habitat conditions and the status of covered species on and around preserve lands and to determine if management actions maintain and improve habitat conditions for covered species.

Baseline habitat conditions are established at the time of preserve acquisition and are described in this PMP. Because neighboring land uses may change over time, potentially reducing the suitability of habitats on the preserve, habitat/crop cover types within a 2-mile radius of the preserve will also be documented.

Baseline surveys to determine presence of SJMSCP covered species will be conducted within 2 years of acquisition. The survey will consist primarily of a complete search of all potential Swainson's hawk nesting substrates within a 2-mile radius of the preserve to the extent possible given potential access constraints from surrounding landowners. Baseline surveys may also include focused surveys for burrowing owls, loggerhead shrikes, or tricolored blackbirds. All wildlife species detected, including SJMSCP-covered species, will be recorded.

The baseline habitat and focused species surveys will be updated once every 3 years by mapping changes in habitats/crop types found within a 2-mile radius of the preserve and repeating the focused nesting Swainson's hawk survey within a 2-mile radius of the preserve. Mapped data will be recorded in the GIS database. The results of the focused survey and assessment of adjacent land uses will be provided in the SJMSCP program-level annual report.

The information will be used for comparison with results from the original baseline survey to track changes over time and to ensure that the goals and objectives of the preserve management plan are being met.

4.3 Monitoring Preserve Enhancements

Monitoring preserve enhancements if they are installed is required to ensure that preserve enhancement become well established and to determine if remedial actions need to be taken to achieve the goals of the enhancement. Monitoring is conducted regularly after planting, typically for a period of 3 years, or until it is determined the preserve enhancement plantings are established. After the establishment period, preserve enhancement monitoring is conducted in conjunction with the compliance monitoring and includes a cursory visual inspection of the enhancement plantings to ensure that they are healthy and providing the benefits they were designed to achieve.

4.4 Success Criteria

Two criteria were identified to determine the success of land use centered on cropping patterns. Preserve management will be considered successful if the entire 170 acres of designated agricultural lands are maintained in suitable row and field crops (allowing for fallowing as a part of normal crop rotations and excepting any preserve enhancements that may be installed) each year, and all terms and conditions of the conservation easement are adhered to.

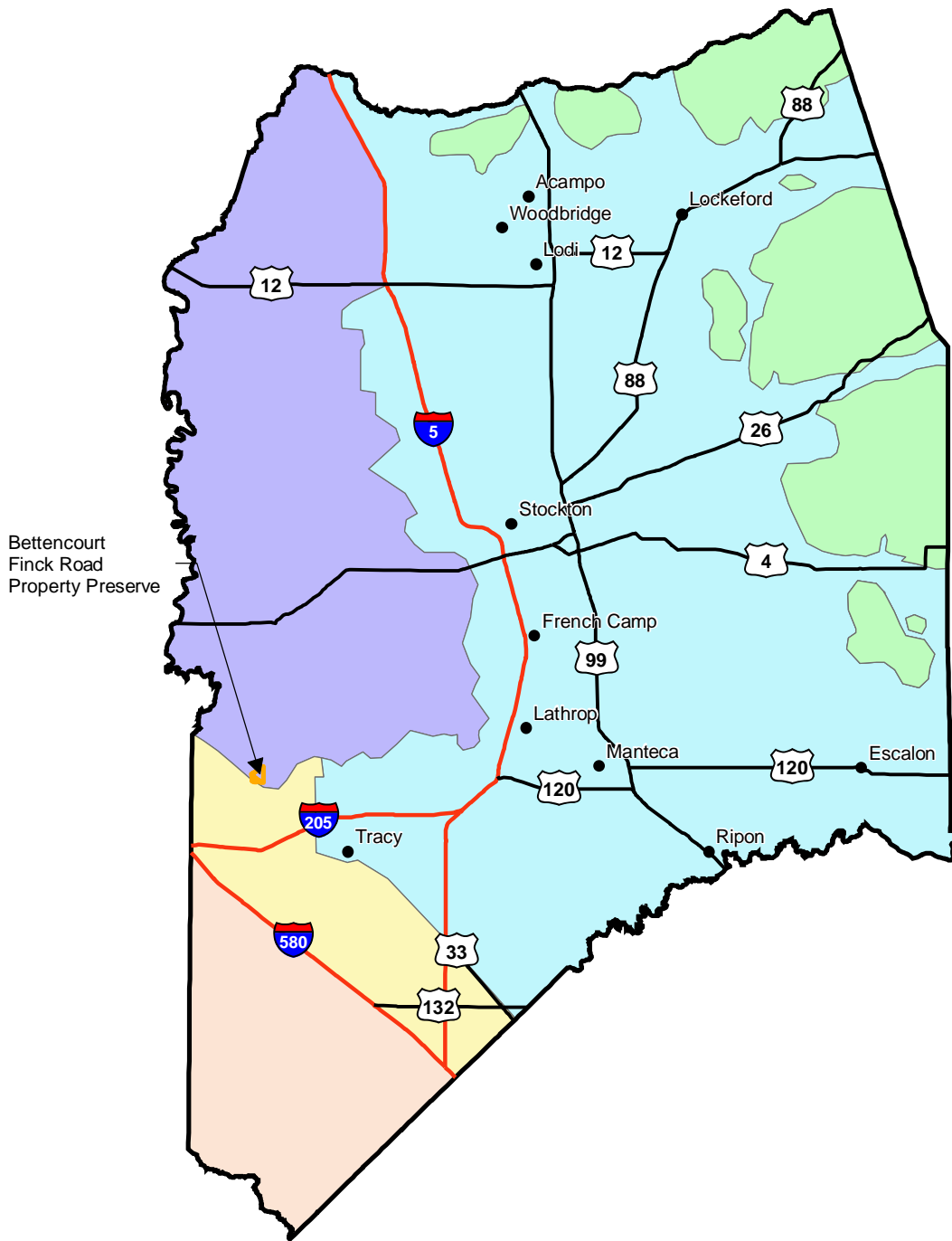
4.5 Adaptive Management

This chapter summarizes the adaptive management provisions of the SJMSCP as they pertain to the BFRP. Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs. The principle of adaptive

management recognizes that the resources being managed are dynamic systems and that the state of knowledge regarding natural resource management is constantly improving. Adaptive management, by definition, does not include predetermined actions, but rather identifies new responses based on the outcome of management activities.

In the context of preserve management, monitoring activities are undertaken to assess the progress of management activities toward achieving the stated management goals. The information collected can then be used to improve management activities, if change is warranted. However, there will be no alteration of management activities that adversely affect permitted agricultural uses of the land without the agreement of the landowner.

Results of monitoring will be used to determine the effectiveness of the measures outlined in the SJMSCP and this PMP in providing habitat for Swainson's hawk and other SJMSCP-covered species. If substantial changes in populations of covered species occur, or evidence suggests the operating conservation program outlined in the SJMSCP is not meeting the goals and objectives outlined in the SJMSCP, then adaptive management procedures may be warranted. Such measures would include a review of the terms of the conservation easements and a review of the cropping patterns, crop types, monitoring requirements, and other management or monitoring activities on SJMSCP preserves.



Legend

SJMSCP Index Zone

- Central Zone
- Central/Southwest Transition Zone
- Primary Zone of the Delta
- Southwest Zone
- Vernal Pool Zone

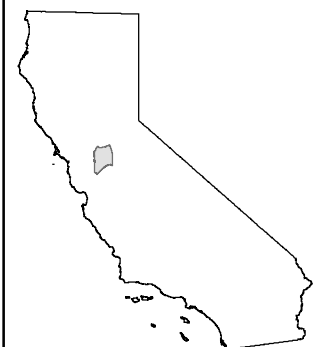


Figure 1
Bettencourt Finck Road
San Joaquin County

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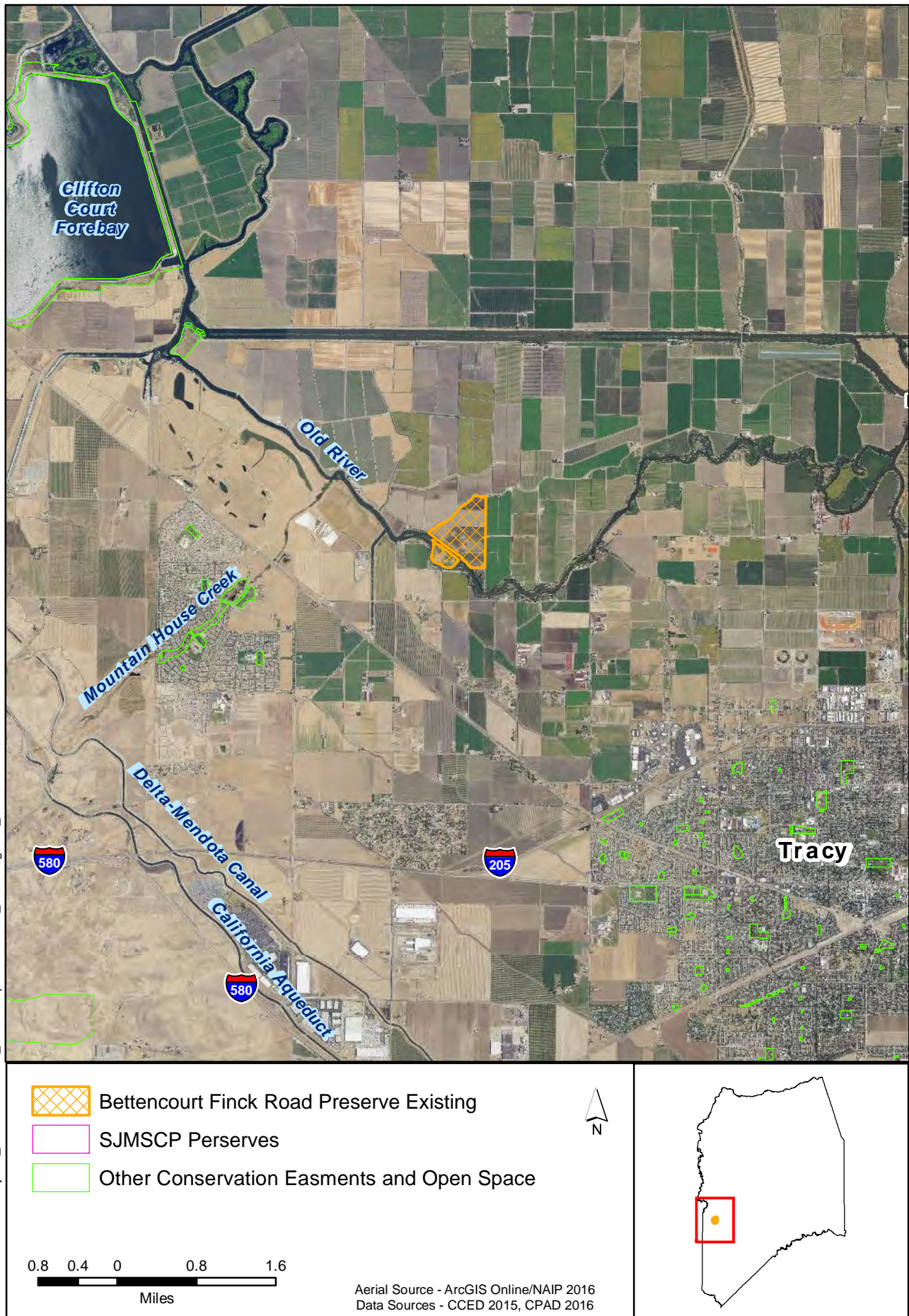


Figure 2
Bettencourt Finck Road Preserve and Other
Conservation Easements in the Vicinity

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Figure 3
Bettencourt Finck Road Preserve



Photo 1. Agricultural Habitats on the Bettencourt Finck Road Preserve .



Photo 2. Ditch Habitats on the Bettencourt Finck Road Preserve

Figure 4
Habitats Present on the
Bettencourt Finck Road Preserve



Photo 1. Riparian Habitat at the Northwest Corner Along Old River.



Photo 2. Riparian Habitat at the Southwest Corner Along Old River.



Photo 1. Southeast End of the Island in Old River.



Photo 2. Northwest End of the Island in Old River.

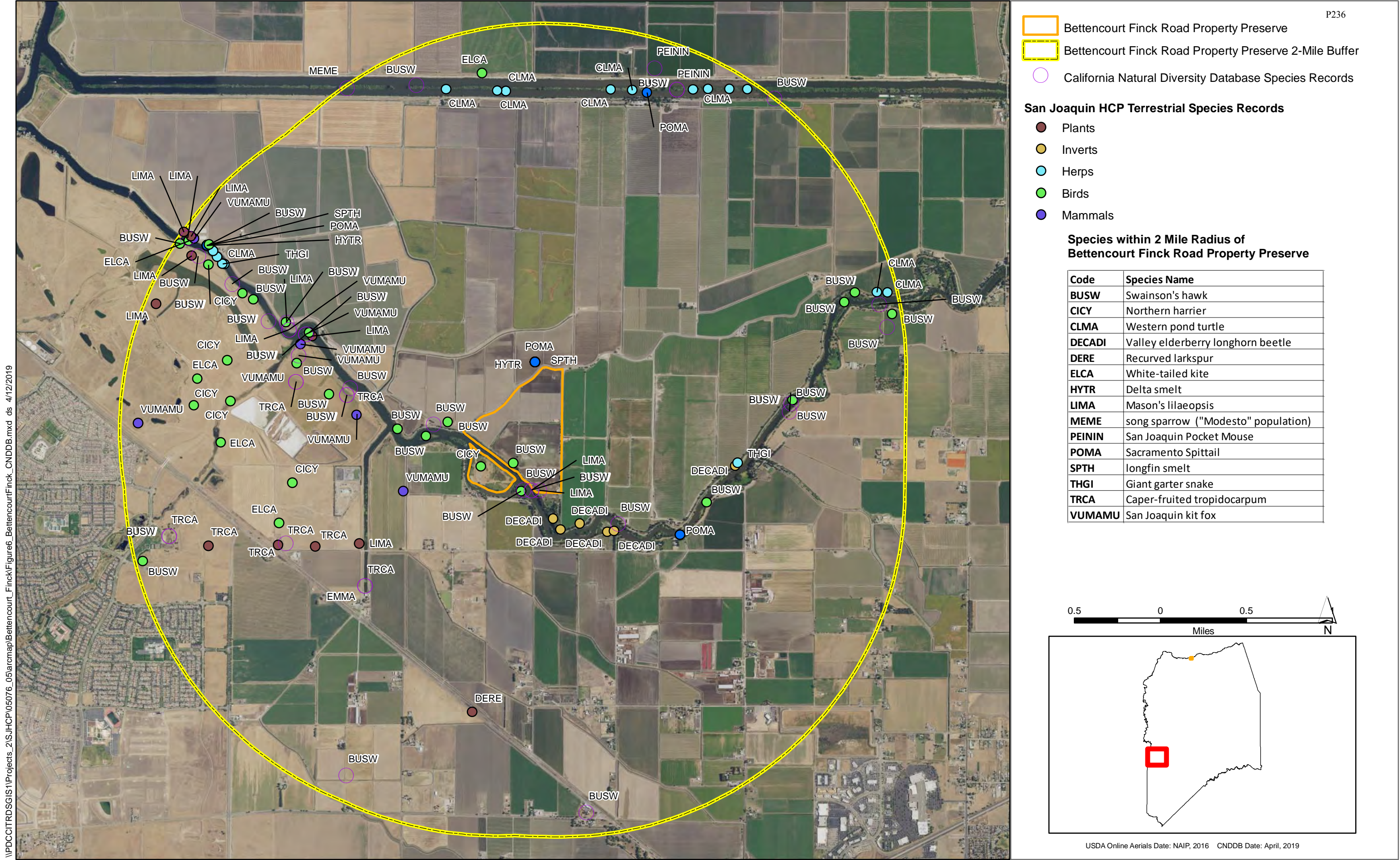


Figure 7
Documented Occurrences of SJMSCP-Covered Species
within 2 Miles of Bettencourt Finck Road Preserve

AGENDA ITEM **4L**



June 2019
SJCOG, Inc.

STAFF REPORT

SUBJECT: Muela Willow Glen Preserve Purchase and Preserve Management Plan

RECOMMENDED ACTION: Motion to 1) Approve the Conservation Easement Purchase and 2) Approve the Preserve Management Plan (PMP) for the Preserve Site

DISCUSSION:

SUMMARY:

The Muela Willow Glen Road property under consideration is a total of 65 +/- acres. The land owner and SJCOG, Inc. are discussing an easement purchase of 60+/- acres under the habitat plan. The location of the property (elevation of 5-8 feet above sea level) on Willow Glen Road north of Undine Road along Middle River west of the City of Lathrop in the Delta Zone. The potential preserve is near existing SJCOG, Inc. preserves in the Delta Zone, also shown in the attachment 1 and 2.



With the easement purchase, SJCOG, Inc. staff has written this draft PMP to be consistent with the existing Preserve Management Plans of the agricultural habitat and riparian preserves in the Delta Zone for management economies of scale for species under the SJMSCP. The easement will serve for habitat for various species while providing mitigation for agricultural impacts under the habitat plan in the Delta and/or Central Zones.

There have been historical records of Swainson's hawk and other species on/near the property in the California Natural Diversity Database (CNDDB).

RECOMMENDATION:

A motion to recommend the SJCOG, Inc. Board to

- 1) approve the conservation easement purchase, and
- 2) approve the preserve management plan.

FISCAL IMPACT:

SJCOG, Inc. would purchase an agricultural habitat easement on 60+/- acres under the SJMSCP.

- Easement = **\$390,000** (not to exceed \$6,500 per acre) plus closing costs
- Endowment = **\$272,925** (60+/- acres x \$4,548.75 per acre for 2019 endowment)

BACKGROUND:



The Muela Willow Glen property, with 5-8 feet elevation above sea level, is along the eastern side of Middle River west of the City of Lathrop in the Delta Zone. The property consists of an active row crop operation which serves as foraging habitat for several SJMSCP covered species and some riparian habitat along the riverway. The conservation easement would cover existing agricultural and riparian land to mitigate for prior development impacts in the Delta and Central Zone under the SJMSCP.

The draft PMP (attachment 3), prepared by ICF, reflects the existing Preserve Management Plans for agricultural land preserves in the Delta Zone for economy of scale on long term monitoring activities. There are no extensive enhancements planned to the landscape. However, any additional future enhancements not displayed in Table 1 would be brought back as a supplemental PMP in cooperation with the land owner. The land owners display very good stewardship practices and there are very few invasive species within the fields on premises.

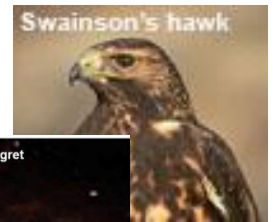


Table 1 – Enhancements for Row and Field Crop/Riparian Preserves

Enhancement Potential Under SJMSCP	Y	N	N/A
Use of Herbicides, pesticides and/or rodenticide in accordance with Sect. 5.4.5(M) & 5.4.7.1	X		
Create, expand or restore riparian area to enhance nesting		X	
Plant elderberry plants for VELB		X	
Enhance foraging habitat using native grass and forb species (Appendix N)		X	
Install roosting or nest sites and platforms		X	
Fencing of riparian areas		X	
Install bat boxes			X
Maintain water quality within creeks and wetlands (e.g. red-legged frog habitat)			X
Create burrowing owl burrows		X	
Eliminate invasive and undesirable species	X		
Plant vegetation (e.g. tules, blackberry thickets & cattails for tricolor blackbird/GGS)		X	

COMMITTEE ACTIONS:

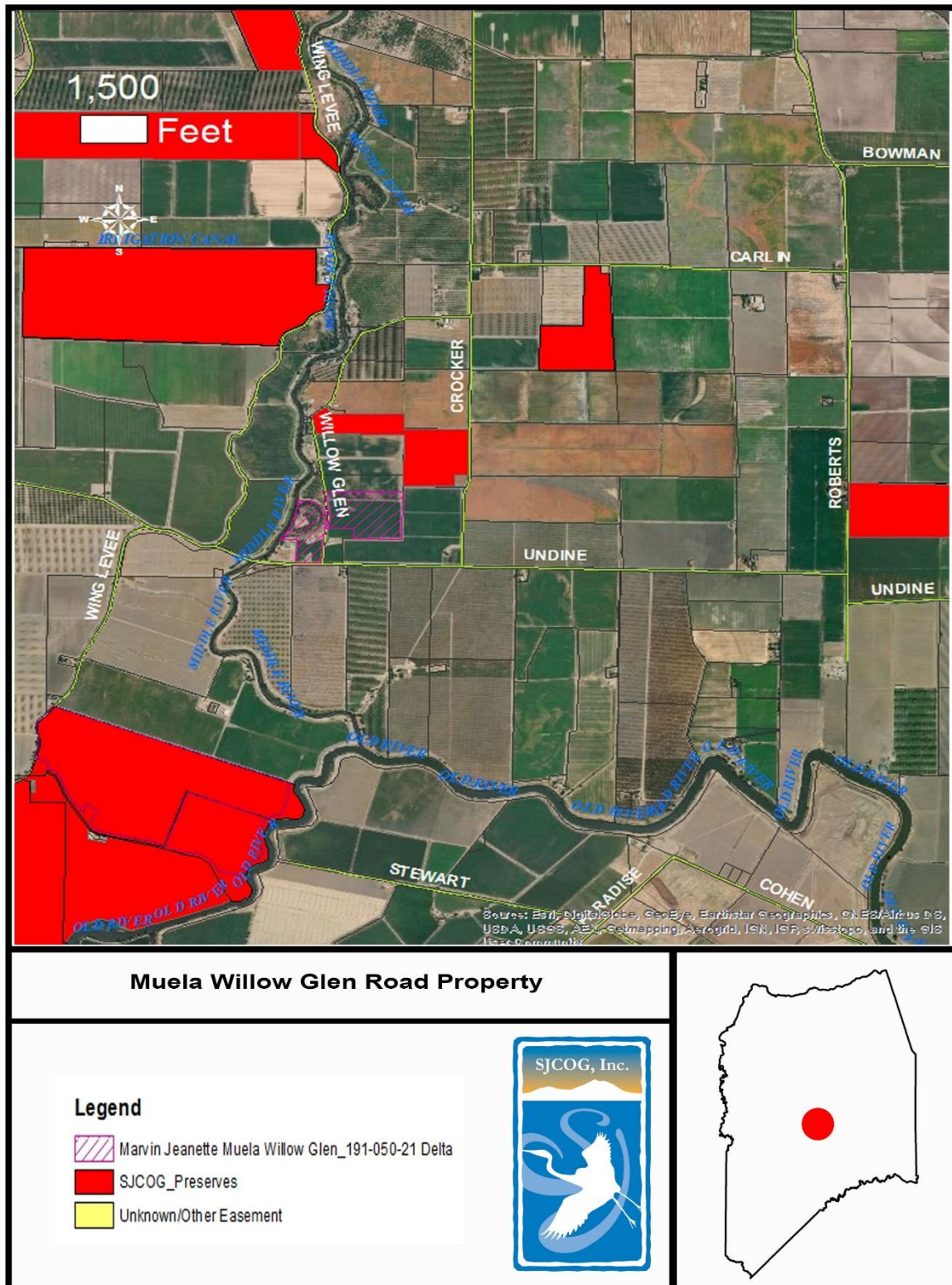
- Habitat Technical Advisory Committee: Recommended Approval
- SJCOG, Inc. Board – Action Required

ATTACHMENTS:

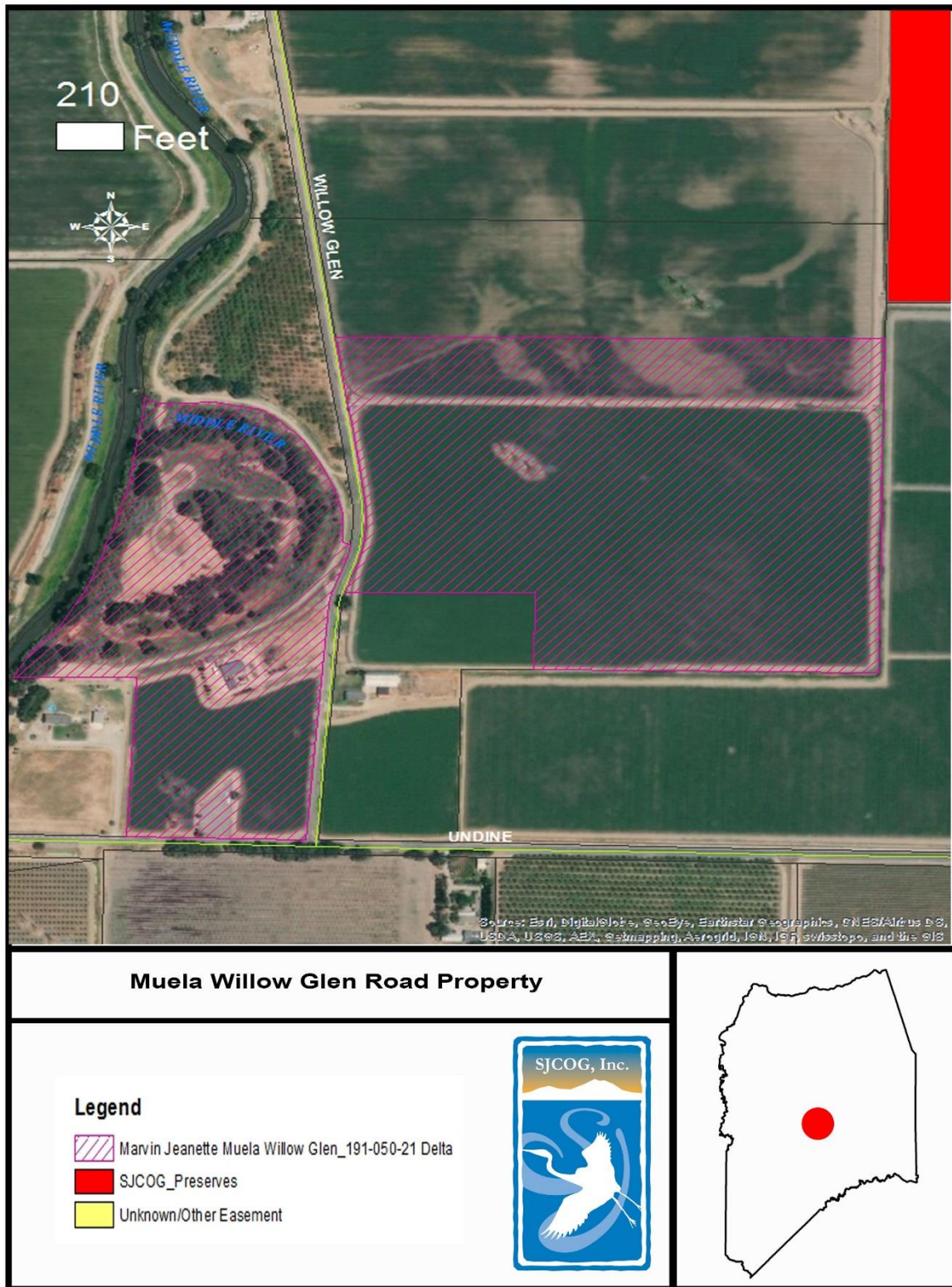
1. Overview Preserve Location Map
2. Preserve Location Map
3. Preserve Management Plan

Prepared by: Steven Mayo, Program Manager

ATTACHMENT 1



ATTACHMENT 2



ATTACHMENT 3

DRAFT PRESERVE MANAGEMENT PLAN FOR THE MUELA WILLOW GLEN ROAD PRESERVE

PREPARED FOR:

SJCOG, Inc.
555 East Weber Street
Stockton, CA 95202
Contact: Steve Mayo
209.235.0600

PREPARED BY:

ICF International
630 K Street, Suite 400
Sacramento, CA 95814
Contact: Doug Leslie
916.737.3000

April 30, 2019



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Acronyms and Abbreviations

CNDDDB	California Natural Diversity Database
GIS	geographic information systems
HTAC	Habitat Technical Advisory Committee
MWGRP	Muela Willow Glen Road Preserve
SJCOG	SJCOG, Inc.
SJMSCP	San Joaquin County Multi-Species Habitat Conservation and Open Space Plan
USGS	U.S. Geological Survey

Chapter 1

Introduction

SJCOG, Inc., is currently implementing the *San Joaquin County Multi-Species Habitat Conservation and Open Space Plan* (SJMSCP)¹ (San Joaquin Council of Governments 2001). The principal biological goal of the SJMSCP (the Plan) is to maintain habitat of sufficient quality and quantity to conserve populations of all fish, wildlife, and plant species covered by the Plan. As part of this Plan, lands within the SJMSCP Plan Area are acquired as preserves from willing landowners through either conservation easements or fee title purchase.

This document is the Preserve Management Plan (PMP) for the Muela Willow Glen Road Preserve (MWGRP), owned by Marvin and Jeanette Muela, on which a conservation easement is being placed. The single parcel addressed in this PMP is approximately 65 acres of farmland on which a conservation easement of approximately 60 acres is being placed by SJCOG Inc. The preserve will be incorporated into the preserve system as a row and field crop preserve.

The MWGRP is intended to offset impacts resulting from the conversion of agricultural lands primarily within the Central Zone, as allowed in Section 5.1.2.6 of the Plan.

1.1 Purpose of the Preserve Management Plan

The PMP sets forth specific guidelines regarding land management and monitoring activities to ensure the landowner(s) and SJCOG, Inc., are in agreement with the conditions of the conservation easement and the manner in which preserve lands will be managed and monitored.

The PMP describes the baseline biological conditions of the property; states the goals and objectives of management; and describes the ongoing land management activities, including permitted and prohibited uses of the property and any affirmative obligations of the landowner(s).

The PMP also sets forth guidelines for adaptive management as required under the SJMSCP. Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs.

1.2 Preserve Location

The MWGRP is located on the east side of Middle River on Roberts Island, approximately 4.5 miles west of Interstate 5 and the City of Lathrop, CA (Figure 1). Information pertaining to the property is provided in Table 1.

¹ San Joaquin County Council of Governments. 2001. *San Joaquin County Multi-Species Habitat Conservation & Open Space Plan*. Stockton, CA. Available: <https://www.sjcog.org/DocumentCenter/View/5/Habitat-Planpdf?bidId=>. Accessed April 29, 2019.

Table 1. Muela Willow Glen Road Preserve Information

Assessor's Parcel Numbers	191-050-21
Acreage	60 acres
SJMSCP Index Zone	Delta
USGS 7.5-minute quadrangle	Lathrop, Union Island
Township	1S
Range	5E
Section	Unsurveyed
SJMSCP = <i>San Joaquin County Multi-Species Habitat Conservation and Open Space Plan</i> ; USGS = U.S. Geological Survey	

The MWGRP is in close proximity to the Wing Levee Road and Jaques Wing Levee Preserves, the Torlai Property Preserve, the Rosa Preserve, and to several other properties currently being considered for inclusion in the preserve system (Figure 2).

1.3 Land Ownership and Management

The parties responsible for managing MWGRP lands in accordance with the PMP are listed below.

Landowner

Marvin and Jeanette Muela
Contact: Marvin Muela
13751 Willow Glen Road
Stockton, CA 95206
Phone 209.815.0108
email:losmuela@yahoo.com

Conservation easement holder

SJCOG, Inc.
555 East Weber Street
Stockton, CA 95202
Contact: Steven Mayo
Phone: 209.235.0600

Land manager

ICF International
630 K Street, Suite 400
Sacramento, CA 95814
Contact: Doug Leslie
Phone: 916.737.3000

Chapter 2

Baseline Preserve Characteristics, Goals and Objectives

As noted above, the MWGRP is an approximately 60-acre portion of the property owned by Marvin and Jeanette Muela. The property is just to the east of Middle River. The easement consists of a single parcel comprised of 3 distinct parts. The primary portion of the parcel is a single agricultural field currently used to grow winter wheat and tomatoes, which is bordered by Willow Glen Road on the western side and just north of East Undine Road (Figures 3 and 4). The field is irrigated with water from Middle River using an underground drip irrigation system and has three Electric Transmission towers carrying 3 adjacent lines (Figure 4). Historically grown crops include cucumbers and winter wheat. A smaller field to the south of the house and west of Willow Glen Road contains a second set of 3 transmission towers.

The third portion of the property occurs just west of Willow Glen Road adjacent to Middle River. This portion of the property is circular in shape and approximately 14 acres in size. The center is an open area comprised of non-native grassland and dirt roads with a perimeter of various riparian habitats comprised of Valley oaks (*Quercus lobata*), Cottonwood (*Populus fremontii*), Coyote brush (*Baccharis pilularis*), California wild rose (*Rosa californica*), and other species. Several Blue elderberry bushes (*Sambucus nigra*) occur along the outer perimeter on the east side (Figure 5). There is a low spot on the northern side that retains water and contains some emergent marsh vegetation (i.e. tules [*Schoenoplectus acutus*]). The area has historically been used for target shooting, occasional dove hunting, and camping by a local church group.

The property is surrounded primarily by row and field crops, although orchards and vineyards are rapidly becoming more prominent in the surrounding landscape (Figure 2).

The SJMSCP geographic information systems (GIS) database and the California Natural Diversity Database (CNDDB) were searched to identify records of SJMSCP-covered species within approximately 2 miles of the MWGRP. Valley elderberry longhorn beetle (*Desmocerus californicus dimorphus*) records are ubiquitous on the property and to the north and south along Middle River, along with several records of nesting Swainson's hawk (*Buteo swainsonii*). There is a single record each of western pond turtle (*Actinemys marmorata*), Modesto song sparrow (*Melospiza melodia mailliardi*), and California Hibiscus/Rose mallow (*Hibiscus lasiocarpus*) within a 2-mile radius of the preserve (Figure 6).

2.1 Wildlife Habitat Associations Identified in the SJMSCP

The habitats and preserve elements described in the SJMSCP and currently present on the MWGRP are listed below.

- Row and field crop.
- Presence of elderberry stems 1" or greater in diameter
- Presence of rodents.

- Presence of pigeons or mice.
- Presence of short grasses, sometime almost barren ground
- Presence of small reptiles and/or amphibians in shallow waters
- Presence of tall perching sites (i.e., vegetative perches higher than surrounding vegetation which permit the species to survey the surrounding area) normally with adjacent agricultural fields or grasslands
- Presence of snags or trees with a moderate canopy, preferably near riparian areas
- Presence of stands of dense, tall, trees along riparian corridors for roosts or rookeries
- Presence of small birds

These habitats and preserve elements, according to the SJMSCP, provide foraging habitat for the SJMSCP-covered species listed below.

- Valley elderberry longhorn beetle
- Swainson's hawk
- Northern harrier (*Circus cyaneus*)
- White-tailed kite (*Elanus leucurus*)
- Merlin (*Falco columbarius*)
- California horned lark (*Eremophila alpestris actia*)
- Long-billed curlew (*Numenius americanus*)
- Great blue heron (*Ardea herodias*)
- Great egret (*Ardea alba*)
- Black-crowned night heron (*Nycticorax nycticorax*)
- Loggerhead shrike (*Lanius ludovicianus*)
- Red bat (*Lasiurus blossevillii*)
- Cooper's hawk (*Accipiter cooperii*)
- Sharp-shinned hawk (*Accipiter striatus*)

The agricultural and riparian habitats on the preserve also benefit several other common bird species, including killdeer (*Charadrius vociferus*), House finch (*Haemorrhous mexicanus*), and California horned lark (*Eremophila alpestris*), as well as habitat for jackrabbits (*Lepus californicus*), raccoons (*Procyon lotor*), opossums (*Didelphis virginiana*), and gopher snakes (*Pituophis catenifer*).

2.2 Goal and Objectives of the Management Plan

The MWGRP will be managed as a Row and Field Crop Preserve as described in Section 5.4.4.4 of the SJMSCP. The goal of this preserve type is to maintain and enhance the *habitat values* extant on the site for the benefit of Swainson's hawk and other species covered by the SJMSCP that depend to varying degrees upon habitat values provided by agricultural habitats and associated ditch and

riparian habitats. **Habitat Values** are defined herein as the resources on the landscape that provide benefits for covered species, such as abundant and accessible prey or forage, cover, perch sites, nest sites, water, or other resources necessary for survival and reproduction. Habitat values decrease with increasing disturbance, pesticide and herbicide use, and increasing habitat uniformity. Because the MWGRP is devoted to agricultural production, the primary goal of the preserve is to provide foraging habitat for SJMSCP-covered species.

Chapter 3

Land Management Activities

This chapter discusses the land management activities that will be implemented under the conservation easement. The desired agricultural practices as well as permitted and prohibited land uses are discussed.

The MWGRP will be managed according to the guidelines for Central Zone Row and Field Crop Preserves outlined in the SJMSCP. These guidelines state that the key management practice for the agricultural use of row and field crops is to grow only those crops having a canopy structure and other attributes that do not mechanically prevent foraging by raptors or other species covered under the SJMSCP.

3.1 Agricultural Practices

Land management practices on the MWGRP have historically provided benefits for Swainson's hawk and other SJMSCP-covered species. The property is currently being used to grow winter wheat and tomatoes, and has historically been used to grow cucumbers and alfalfa. Vineyards, orchards, blueberries, and other permanent or semi-permanent crops are prohibited without permission from the SJCOG, Inc., Habitat Technical Advisory Committee (HTAC).

3.2 Prohibited Uses and Activities

This section identifies prohibited uses of the preserve under the MWGRP Conservation Easement. *Landowner* refers to Marvin and Jeanette Muela. *SJCOG, Inc.*, refers to all agencies, organizations, or individuals affiliated with or that represent the SJCOG, Inc., during implementation of actions under the preserve management plan.

3.2.1 Access and Trespass/Illegal Uses/Signage

No access to the general public will be permitted. The SJMSCP requires that signage be installed at all preserves under conservation easement. At the landowner's discretion, the signage can identify the property as being part of the San Joaquin County Open Space system, or *No Trespassing* signs can be installed. Signage should be installed on the MWGRP within 120 days following approval of the conservation easement. The signs should be installed along public roadways and rights-of-way and should clearly state that public access is prohibited. The signs will be provided by the SJCOG, Inc., and installed by the landowner.

3.2.2 Agricultural Conversion

The conversion of the preserve from production of row and field crops (e.g., tomatoes, cucumbers, or other vegetables; wheat, oats, or other grains; alfalfa or other hay crops) or irrigated pasture to agricultural uses that are not compatible with providing foraging habitat for Swainson's hawk and

other covered species (e.g., conversion to orchards, vineyards, blueberries, or other permanent or semi-permanent crop types) is prohibited without prior approval by the HTAC.

3.2.3 Alteration of Watercourses

The alteration or manipulation of any natural watercourse, wetland, or body of water and activities or uses that are detrimental to water quality, including, but not limited to, degradation, pollution, or fill, are prohibited. This prohibition does not include irrigation of crops, drainage of agricultural fields, routine maintenance of ditches, or installation of preserve enhancements approved by the HTAC.

3.2.4 Chemicals

Except for those pesticides, herbicides, fungicides, or fertilizers used in ongoing row and field crop production in strict compliance with application and labeling instructions, no chemicals will be used on the preserve unless they are used for the specific purpose of controlling exotic weed or pest species that may threaten habitat functions and values. All chemicals will be used, stored, and disposed of in strict compliance with labeling instructions and applicable laws.

3.2.5 Dumping

The dumping, storage, or other disposal of refuse, trash, sewer sludge, and toxic or hazardous materials or chemicals is not permitted on the preserve. This prohibition includes the storage or disassembly of inoperable automobiles, trucks, farm equipment, or other machinery for the purpose of sale or storage.

3.2.6 Hunting and Fishing

Commercial fishing, hunting and trapping are prohibited. No recreational hunting or fishing that could result in take under the federal or stated endangered species acts is permitted.

3.2.7 Vegetation Removal or Destruction

The removal of any natural vegetation (such as riparian habitats or remnant, native oak trees) or vegetation installed as part of a preserve enhancement project is prohibited.

3.2.8 Natural Resource Development

The filling, dumping, excavating, draining, dredging, mining, drilling, removing, exploring, or extracting of or for minerals, soils, sands, gravels, rocks, or other material on or below the surface of the preserve is prohibited, unless otherwise approved by the HTAC.

3.2.9 Pest Management

Pest management is an ongoing activity associated with agricultural production. However, chemical rodent control should be minimized to the extent possible to maximize habitat values for covered species. The implementation of pest management is restricted in accordance with the parameters

listed below to ensure that agricultural activities are consistent with the goals and objectives of the SJMSCP.

- All vertebrate pest control measures will be conducted in accordance with rodenticide labeling instructions, in accordance with Endangered Species Act Bulletins (available from local Agricultural Commissioner), and in accordance with Agricultural Commissioners (regulation and procedures).
- Anti-coagulant pesticides are prohibited.
- Application of rodenticides is restricted to bait feeders and should not be used unless absolutely necessary. Rodenticide baiting in burrows and rodenticide broadcast baiting are prohibited, with the following exceptions:

The use of strychnine or other non-anticoagulant rodenticides (such as ZP Rodent Oat Bait or AG Oat Grain Bait) dispersed underground (using a gopher-baiting machine for example) for pocket gopher abatement is allowed. The intention is to ensure that dead pocket gophers remain underground to eliminate the possibility of secondary poisoning of covered species. While the aforementioned rodenticide labels list other uses for the product, such as vole control in alfalfa fields, their use for control of species other than pocket gophers in a manner other than specified above is prohibited because their above ground use would pose a danger to covered species.

If vertebrate pest control procedures are not effective and additional control is necessary, adaptive management procedures will be followed. The landowner will consult with the HTAC in a timely fashion and in accordance with the SJMSCP.

3.2.10 Recreational Activities

No revenue-generating recreational activities are permitted. Private recreational activities that degrade the habitat values of the property are prohibited.

3.2.11 Roads

The construction of new roads is prohibited.

3.2.12 Structures

The construction or placement of the structures listed below is prohibited on the preserve.

- New residential or other buildings.
- Camping accommodations.
- Mobile homes, house trailers, permanent tent facilities, Quonset huts or similar structures.
- Underground tanks.
- Billboards, signs, or other advertising.
- Streetlights.
- New utility structures or power lines except those required to power new pumps on the property for agricultural purposes.

- New sewer systems.

3.2.13 Vehicle Use

The use of motorized vehicles off designated roadways, except for agricultural purposes, is prohibited.

3.3 Permitted Uses and Activities

This section identifies permitted uses of the preserve under the MWGRP Conservation Easement. Although some activities may be permitted under this PMP, all activities are still subordinate and subject to all applicable Federal, State, and local laws and regulations. The primary permitted use of the property is the continuation of row and field crop agriculture.

3.3.1 Hunting and Fishing

Noncommercial fishing, hunting and trapping of wildlife is permitted so long as it is conducted in compliance with applicable laws and regulations and in a manner that does not compromise the habitat values or damage the ecology of the biological resources on the preserve.

3.3.2 Roads

Resurfacing of existing roads with onsite materials and clean gravel is permitted as long as material is kept within the immediate roadway.

3.4 Affirmative Obligations

This section identifies the affirmative obligations of the landowner under the MWGRP Conservation Easement. Affirmative obligations include both activities and permissions. All activities and permissions are subordinate and subject to all applicable Federal, State, and local laws and regulations.

3.4.1 Emergency Vehicle Access

The landowner must allow emergency vehicles to have direct access to the preserve from Willow Glen Road, when necessary (Figure 3). The MWGRP is currently not protected by gates and/or cables and is not actively patrolled.

3.4.2 Maintenance and Repair

SJCOG, Inc., is not responsible for general maintenance, repair, and replacement of existing facilities such as roads, fences, agricultural ditches, and irrigation supply lines and pumps. The landowner retains responsibility for these items and other general maintenance.

3.4.3 Monitoring and Reporting

SJCOG, Inc., is required to track crops grown on the preserve, ensure that the terms of the conservation easement are adhered to, and to conduct monitoring to ensure that acquisition and management of the easement are facilitating the achievement of the SJMSCP goals and objectives. Therefore, the landowner is required to allow reasonable access to the preserve by SJCOG, Inc. for purposes of ensuring compliance with the terms of the conservation easement and for purposes of monitoring use of the preserve by covered species.

3.4.4 Preserve Enhancements

No preserve enhancements are proposed for the MWGRP because the property already contains high quality habitats for a number of SJMSCP-covered species. However, if presence of riparian brush rabbit (*Sylvilagus bachmani riparius*) were to be confirmed in the area, the non-agricultural portion of the MWGRP would provide an opportunity to expand habitat for this species along Middle River.

3.5 Implementation and Management Schedule

The landowner will begin implementing and managing the preserve in accordance with this PMP immediately upon formal approval and acceptance of the conservation easement by the landowners, SJCOG, Inc., and the HTAC. The landowners and SJCOG, Inc., intend that the property be preserved and maintained in perpetuity by permitting only those agricultural practices that provide foraging habitat for Swainson's hawk and other SJMSCP-covered species that forage in agricultural habitats. The current and proposed agricultural practices are beneficial to these species.

Chapter 4

Monitoring and Adaptive Management

This chapter describes the biological monitoring plan and reporting requirements for land management activities on the MWGRP. This chapter also summarizes remedial measures that may be implemented should the property not provide the desired benefits for Swainson's hawk and other SJMSCP-covered species. The primary objective of monitoring is to ensure that the goals and objectives of the SJMSCP and this PMP are being met.

A preserve monitoring strategy for the entire SJMSCP preserve system is currently being completed. The monitoring plan described in this chapter is considered provisional until the system-wide monitoring plan is completed and approved.

Three general types of monitoring are conducted on a regular basis to ensure that the goals and objective of the SJMSCP are being met; *compliance monitoring*, *effectiveness monitoring* (referred to as *biological monitoring* in the SJMSCP), and *preserve enhancement monitoring*.

4.1 Compliance Monitoring

Compliance monitoring is monitoring that demonstrates compliance with the terms and conditions of the conservation easement, the SJMSCP and its permits. Compliance monitoring will be achieved through an annual site visit(s) to the preserve and annual discussion with the landowner(s) to document changes in agricultural practices or other factors such as water deliveries, drought conditions, market conditions, etc. that could affect the conservation and habitat values of the preserve. A set of photo stations will be established and photographs from each station will be taken annually during the site visit(s). Because breeding populations of Swainson's hawk and other covered species that depend upon agricultural habitats during a significant portion of their life cycle are the primary targets of this PMP, the site visit will typically be conducted during spring or summer, when these species can be found in the region.

Three variables will be reviewed during each site visit: the crop types that are in production; the areal extent of each crop type, if applicable; and any changes in land use or status of the preserve that could substantively influence the habitat values of the preserve.

Noncompliance with the conservation easement will be addressed in accordance with the provisions of the conservation easement.

4.2 Effectiveness Monitoring

Effectiveness monitoring (referred to as *biological monitoring* in the SJMSCP) is comprised of several types of monitoring. The general purpose of effectiveness monitoring as described in the SJMSCP is to track habitat conditions and the status of covered species on and around preserve lands and to determine if management actions maintain and improve habitat conditions for covered species.

Baseline habitat conditions are established at the time of preserve acquisition and are described in this PMP. Because neighboring land uses may change over time, potentially reducing the suitability of habitats on the preserve, habitat/crop cover types within a 2-mile radius of the preserve will also be documented.

Baseline surveys to determine presence of SJMSCP covered species will be conducted within 2 years of acquisition. The survey will consist primarily of a complete search of all potential Swainson's hawk nesting substrates within a 2-mile radius of the preserve to the extent possible given potential access constraints from surrounding landowners. Baseline surveys may also include focused surveys for burrowing owls, loggerhead shrikes, or tricolored blackbirds. All wildlife species detected, including SJMSCP-covered species, will be recorded.

The baseline habitat and focused species surveys will be updated once every 3 years by mapping changes in habitats/crop types found within a 2-mile radius of the preserve and repeating the focused nesting Swainson's hawk survey within a 2-mile radius of the preserve. Mapped data will be recorded in the GIS database. The results of the focused survey and assessment of adjacent land uses will be provided in the SJMSCP program-level annual report.

The information will be used for comparison with results from the original baseline survey to track changes over time and to ensure that the goals and objectives of the preserve management plan are being met.

4.3 Monitoring Preserve Enhancements

Monitoring preserve enhancements – if they are installed - is required to ensure that preserve enhancement become well established and to determine if remedial actions need to be taken to achieve the goals of the enhancement. Monitoring is conducted regularly after planting, typically for a period of 3 years, or until it is determined the preserve enhancement plantings are established. After the establishment period, preserve enhancement monitoring is conducted in conjunction with the compliance monitoring and includes a cursory visual inspection of the enhancement plantings to ensure that they are healthy and providing the benefits they were designed to achieve.

4.4 Success Criteria

Two criteria were identified to determine the success of land use centered on cropping patterns. Preserve management will be considered successful if all of the agricultural lands on the 60 acres easement are maintained in suitable row and field crops (allowing for fallowing as a part of normal crop rotations and excepting any preserve enhancements that may be installed) each year, and all terms and conditions of the conservation easement are adhered to.

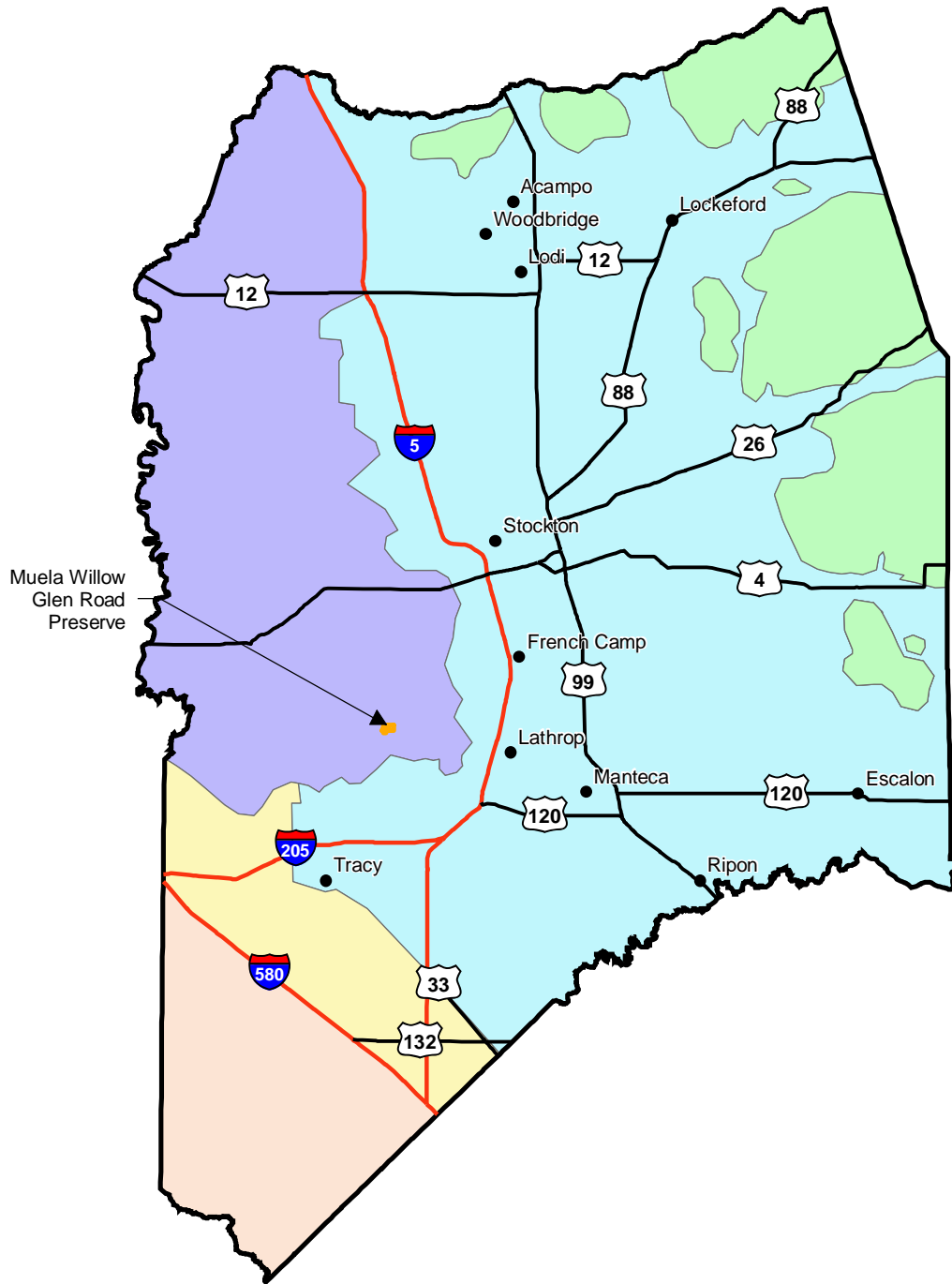
4.5 Adaptive Management

This chapter summarizes the adaptive management provisions of the SJMSCP as they pertain to the MWGRP. Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs. The principle of

adaptive management recognizes that the resources being managed are dynamic systems and that the state of knowledge regarding natural resource management is constantly improving. Adaptive management, by definition, does not include predetermined actions, but rather identifies new responses based on the outcome of management activities.

In the context of preserve management, monitoring activities are undertaken to assess the progress of management activities toward achieving the stated management goals. The information collected can then be used to improve management activities, if change is warranted. However, there will be no alteration of management activities that adversely affect permitted agricultural uses of the land without the agreement of the landowner.

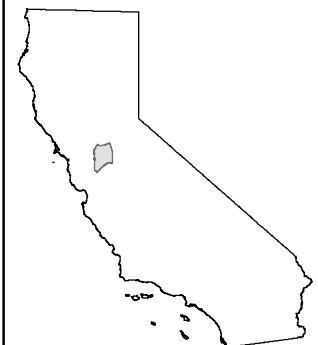
Results of monitoring will be used to determine the effectiveness of the measures outlined in the SJMSCP and this PMP in providing habitat for Swainson's hawk and other SJMSCP-covered species. If substantial changes in populations of covered species occur, or evidence suggests the operating conservation program outlined in the SJMSCP is not meeting the goals and objectives outlined in the SJMSCP, then adaptive management procedures may be warranted. Such measures would include a review of the terms of the conservation easements and a review of the cropping patterns, crop types, monitoring requirements, and other management or monitoring activities on SJMSCP preserves.



Legend

SJMSCP Index Zone

- Central Zone
- Central/Southwest Transition Zone
- Primary Zone of the Delta
- Southwest Zone
- Vernal Pool Zone



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\\PDC\ITRDSGIS\Projects_2\SJHCP\05076_05\arcmap\Muela_Willow_Glen\Figure2_Muela_Willow_Glen.mxd ds 5/3/2019

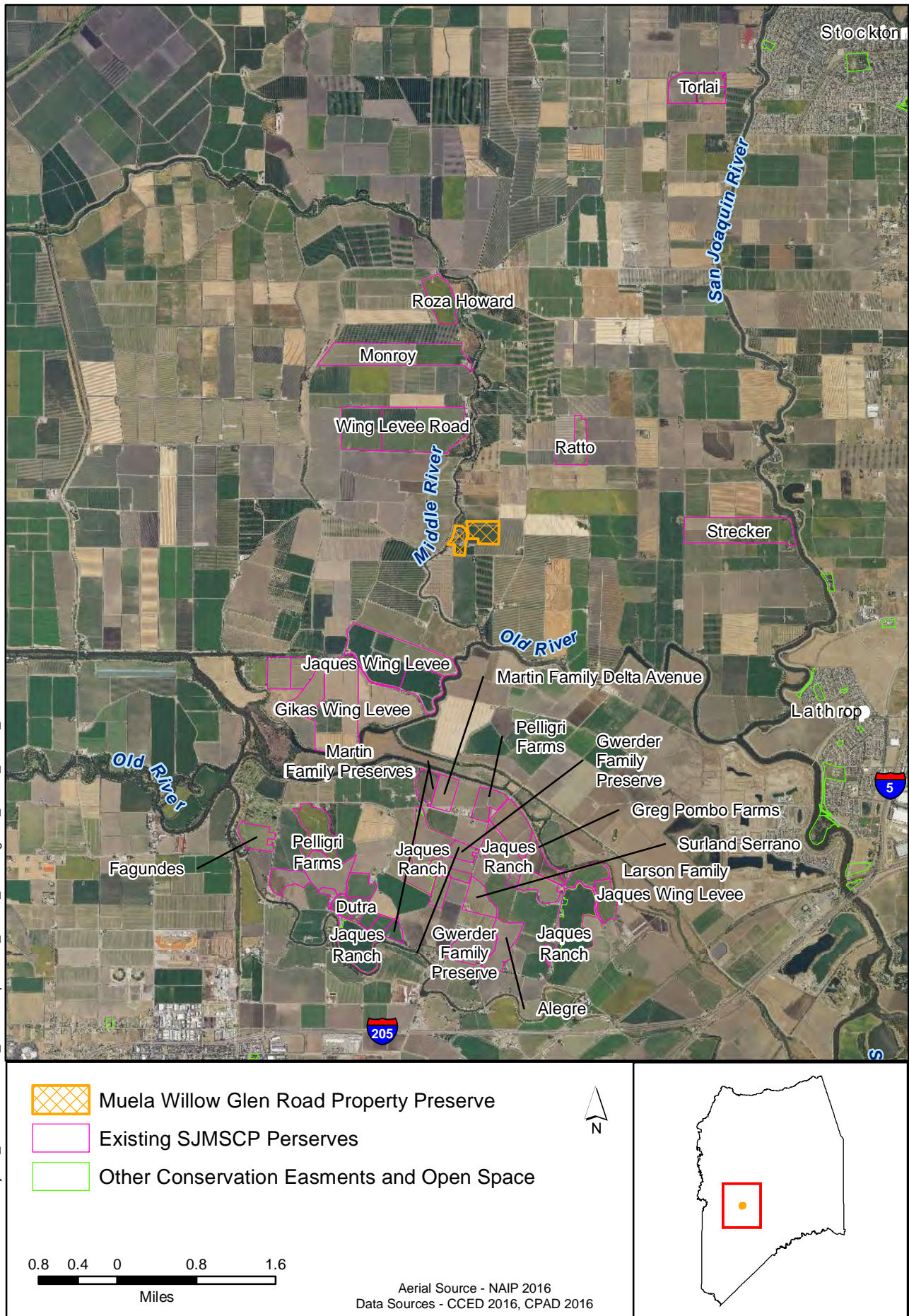


Figure 2
Muela Willow Glen Road Preserve and
Other Conservation Easements in the Vicinity

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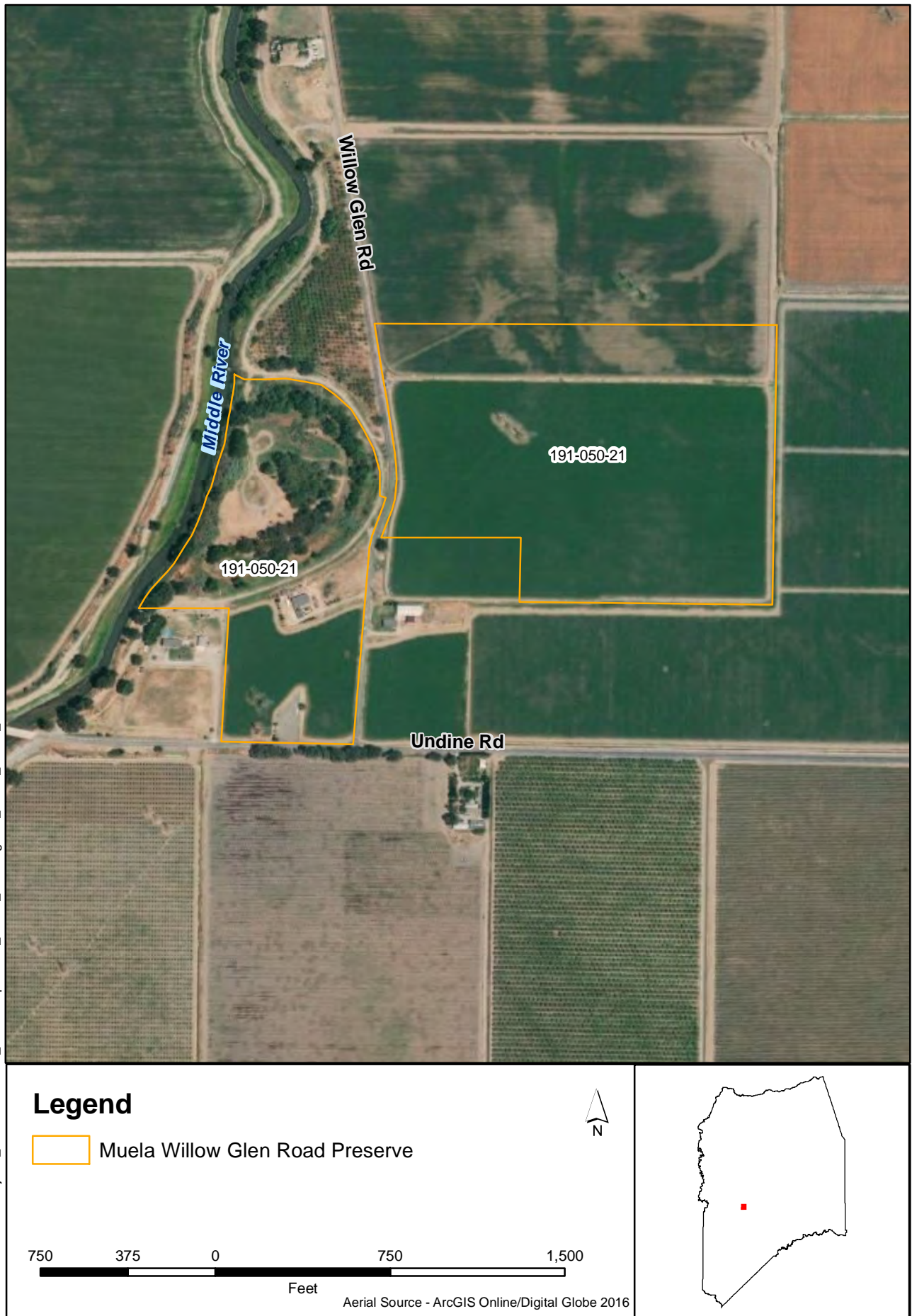




Photo 1. Winter Wheat Field Adjacent to Willow Glen Road.



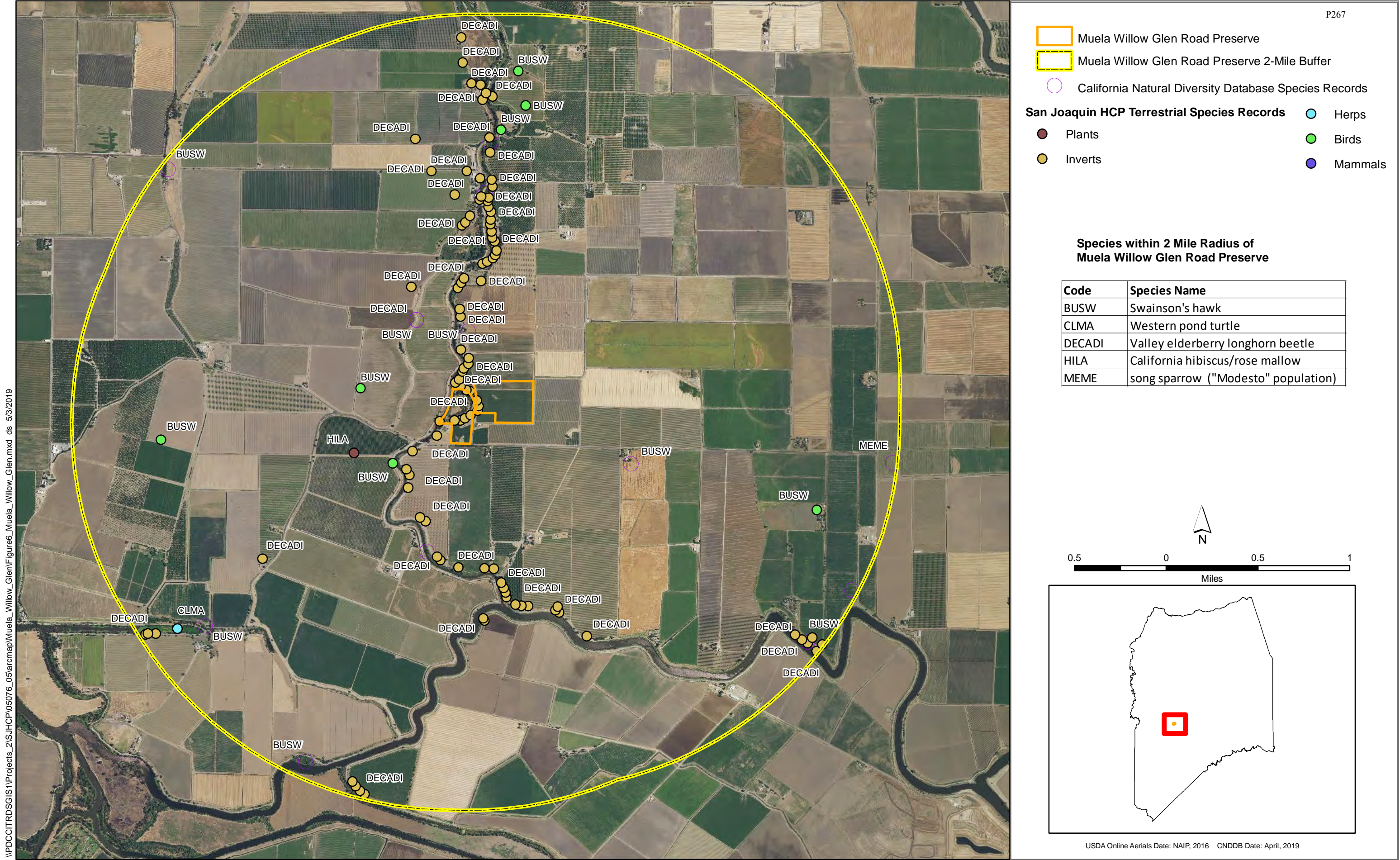
Photo 2. Wheat Field With Underground Drip Irrigation and Electric Transmission Towers



Photo 1. Annual Grassland Habitats and Riparian Perimeter Along Middle River.



Photo 2. Riparian Habitats along Middle River.



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Figure 6
Documented Occurrences of SJMSCP-Covered Species within 2 Miles of Muela Willow Glen Road Preserve

AGENDA ITEM **4M**



June 2019
SJCOG, Inc.

STAFF REPORT

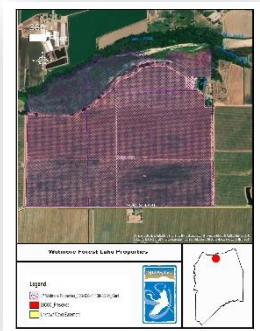
SUBJECT: Wetmore Forest Lake Road Preserve Purchase and Preserve Management Plan

RECOMMENDED ACTION: Motion to 1) Approve the Conservation Easement Purchase and 2) Approve the Preserve Management Plan (PMP) for the Preserve Site

DISCUSSION:

SUMMARY:

The Wetmore Forest Lake property under consideration totals of 299+/- acres. The land owner and SJCOG, Inc. contemplate an easement purchase under the habitat plan of approximately 70+/- acres of some agricultural and riparian habitat on the property. The location of the property is on Forest Lake Road adjacent to Dry Creek at the county border and northwest of the City of Lodi in the Central Zone. The potential preserve is near existing SJCOG, Inc. preserves in the Central Zone area, also shown in the attachment 1 and 2.



With the easement purchase, SJCOG, Inc. staff has written this draft PMP to be consistent with the existing Preserve Management Plans of the agricultural habitat and riparian preserves in the Central Zone for management economies of scale for species under the SJMSCP. The easement will serve for habitat for various species while providing mitigation for agricultural impacts under the habitat plan in the Central Zones.

There have been historical records of Swainson's hawk and other species on/near the property in the California Natural Diversity Database (CNDDB).

RECOMMENDATION:

A motion to recommend the SJCOG, Inc. Board to

- 1) approve the conservation easement purchase, and
- 2) approve the preserve management plan.

FISCAL IMPACT:

SJCOG, Inc. would purchase an agricultural habitat easement on 70 +/- acres under the SJMSCP.

- Easement = **\$210,000** (not to exceed \$3,000 per acre) plus closing costs
- Endowment = **\$318,412.50** (70+/- acres x \$4,548.75 per acre for 2019 endowment)

BACKGROUND:



The Wetmore Forest Lake property is on Forest Lake Road adjacent to Dry Creek at the county border and northwest of the City of Lodi in the Central Zone. The property consists of an area of bottom land for row crop operation and some riparian habitat along the riverway which serves as foraging/nesting habitat for several SJMSCP covered species. The conservation easement would provide mitigation for prior development impacts in the Central Zone under the SJMSCP.

The draft PMP (attachment 3), prepared by ICF, reflects the existing Preserve Management Plans for agricultural land preserves in the Central Zone for economy of scale on long term monitoring activities. SJCOG, Inc. intends to significantly expand riparian habitats along Dry Creek by converting much of the bottom land to riparian habitats. It is possible that riparian habitats would encroach on the open habitats if disking and other management actions were discontinued. However, planting patches of trees and shrubs in the open areas will be conducted to facilitate and accelerate the expansion of riparian habitats.



Table 1 – Enhancements for Row and Field Crop/Riparian Preserves

Enhancement Potential Under SJMSCP	Y	N	N/A
Use of Herbicides, pesticides and/or rodenticide in accordance with Sect. 5.4.5(M) & 5.4.7.1	X		
Create, expand or restore riparian area to enhance nesting	X		
Plant elderberry plants for VELB		X	
Enhance foraging habitat using native grass and forb species (Appendix N)	X		
Install roosting or nest sites and platforms		X	
Fencing of riparian areas		X	
Install bat boxes			X
Maintain water quality within creeks and wetlands (e.g. red-legged frog habitat)			X
Create burrowing owl burrows		X	
Eliminate invasive and undesirable species	X		
Plant vegetation (e.g. tules, blackberry thickets & cattails for tricolor blackbird/GGS)		X	

COMMITTEE ACTIONS:

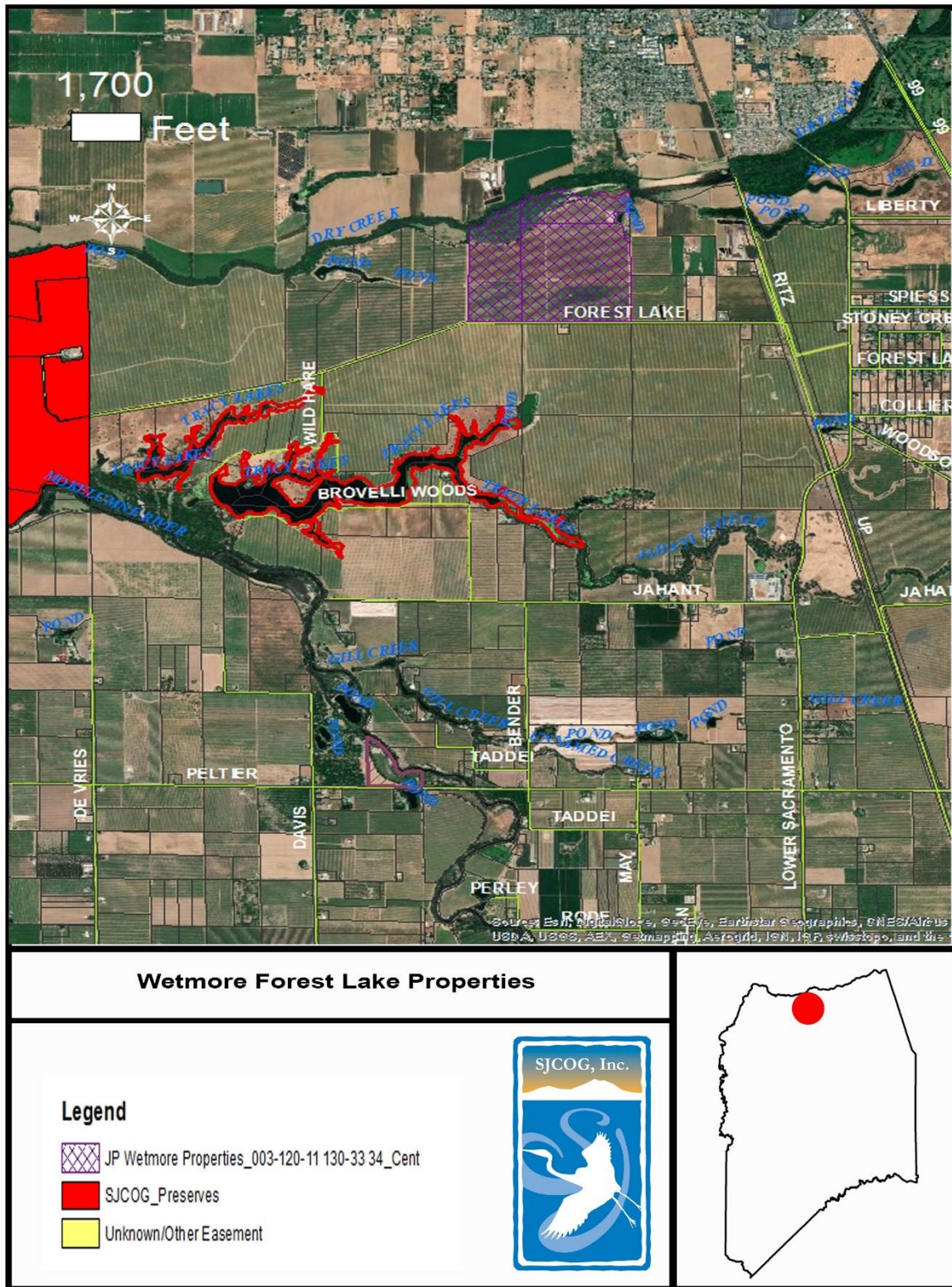
- Habitat Technical Advisory Committee: Recommended Approval
- SJCOG, Inc. Board – Action Required

ATTACHMENTS:

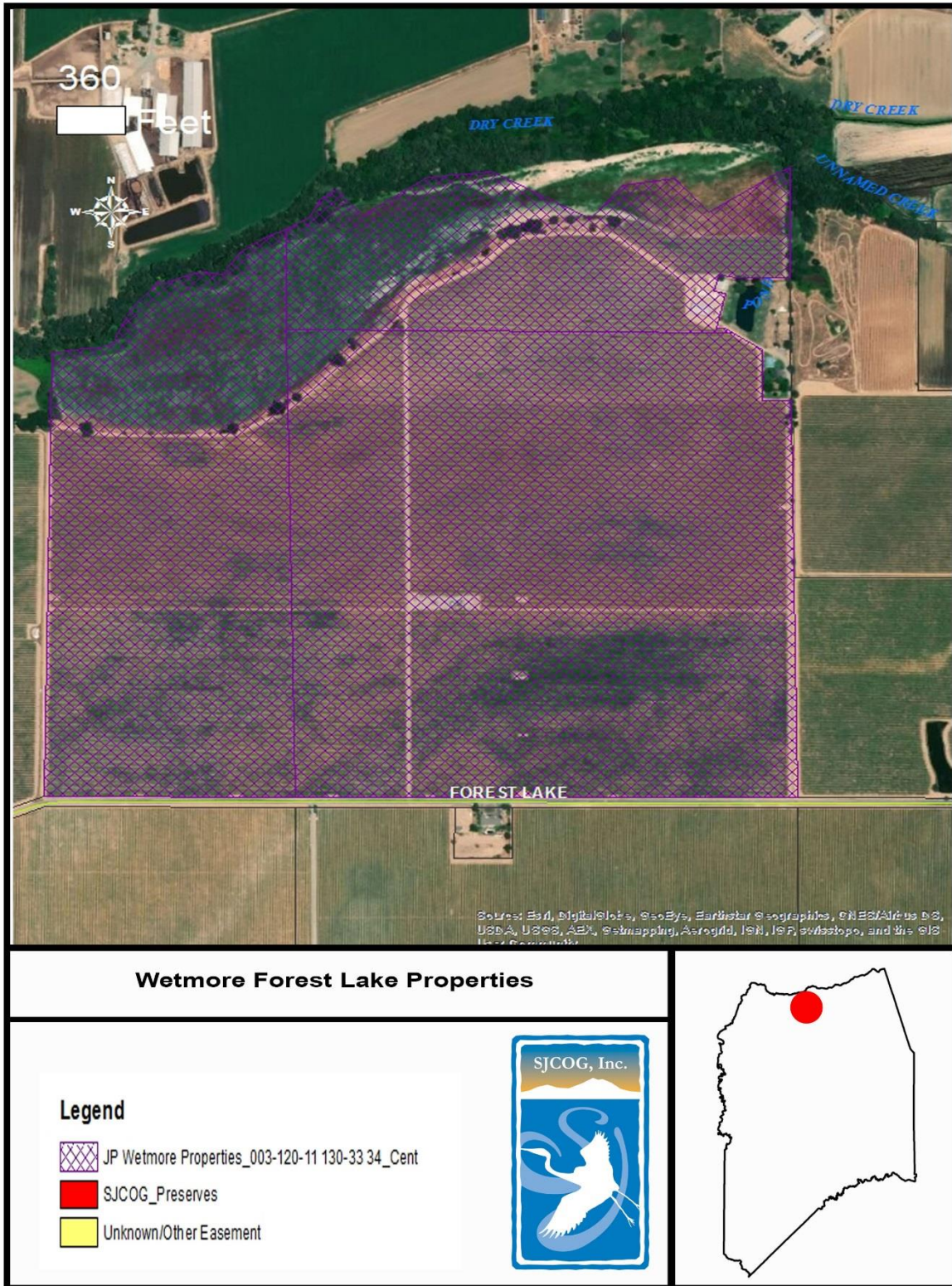
1. Overview Preserve Location Map
2. Preserve Location Map
3. Preserve Management Plan

Prepared by: Steven Mayo, Program Manager

ATTACHMENT 1



ATTACHMENT 2



ATTACHMENT 3

PRESERVE MANAGEMENT PLAN FOR THE WETMORE FOREST LAKE ROAD PRESERVE

PREPARED FOR:

SJCOG, Inc.
555 East Weber Street
Stockton, CA 95202
Contact: Steve Mayo
209.235.0600

PREPARED BY:

ICF International
630 K Street, Suite 400
Sacramento, CA 95814
Contact: Doug Leslie
916.737.3000

May 10, 2019



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Acronyms and Abbreviations

CNDDDB	California Natural Diversity Database
GIS	geographic information systems
HTAC	Habitat Technical Advisory Committee
WFLRP	Wetmore Forest Lake Road Preserve
SJCOG	SJCOG, Inc.
SJMSCP	San Joaquin County Multi-Species Habitat Conservation and Open Space Plan
USGS	U.S. Geological Survey

Chapter 1

Introduction

SJCOG, Inc., is currently implementing the *San Joaquin County Multi-Species Habitat Conservation and Open Space Plan* (SJMSCP)¹ (San Joaquin Council of Governments 2001). The principal biological goal of the SJMSCP (the Plan) is to maintain habitat of sufficient quality and quantity to conserve populations of all fish, wildlife, and plant species covered by the Plan. As part of this Plan, lands within the SJMSCP Plan Area are acquired as preserves from willing landowners through either conservation easements or fee title purchase.

This document is the Preserve Management Plan (PMP) for the Wetmore Forest Lake Road Preserve (WFLRP), owned by Jonathan Wetmore, on which a conservation easement is being placed. The property addressed in this PMP is comprised of an approximately 70-acre portion of three parcels that together comprise over 299 acres adjacent to Dry Creek approximately 6 miles north of the City of Lodi. The property will be incorporated into the preserve system as a row and field crop riparian preserve.

The WFLRP is intended to offset impacts resulting from the conversion of agricultural lands primarily within the Central Zone, as allowed in Section 5.1.2.6 of the Plan.

1.1 Purpose of the Preserve Management Plan

The PMP sets forth specific guidelines regarding land management and monitoring activities to ensure the landowner(s) and SJCOG, Inc., are in agreement with the conditions of the conservation easement and the manner in which preserve lands will be managed and monitored.

The PMP describes the baseline biological conditions of the property; states the goals and objectives of management; and describes the ongoing land management activities, including permitted and prohibited uses of the property and any affirmative obligations of the landowner(s).

The PMP also sets forth guidelines for adaptive management as required under the SJMSCP. Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs.

1.2 Preserve Location

The WFLRP is located approximately 6 miles northwest of the City of Lodi, CA on the south side of Dry Creek on the north side of Forest lake Road (Figure 1). Information pertaining to the property is provided in Table 1.

¹ San Joaquin County Council of Governments. 2001. *San Joaquin County Multi-Species Habitat Conservation & Open Space Plan*. Stockton, CA. Available: <https://www.sjcog.org/DocumentCenter/View/5/Habitat-Planpdf?bidId=>. Accessed May 1, 2019.

Table 1. Wetmore Forest Lake Road Preserve Information

Assessor's Parcel Numbers	003-130-34, 003-130-33, 003-120-11
Acreage	70 acres
SJMSCP Index Zone	Central
USGS 7.5-minute quadrangle	Lodi North, CA
Township	4N
Range	6E
Section	Unsurveyed
SJMSCP = <i>San Joaquin County Multi-Species Habitat Conservation and Open Space Plan</i> ; USGS = U.S. Geological Survey	

The WFLRP is in close proximity to the Hilder, Beck, and Tracy Lakes Preserves on the west side of Highway 99 and the Erman, Brooks, Razzano, and San Joaquin County Landfill Liberty and Dustin Roads Preserves, and contributes to the expansion and consolidation of preserves along the south bank of Dry Creek on the San Joaquin County border with Sacramento County (Figure 2).

1.3 Land Ownership and Management

The parties responsible for managing WFLRP lands in accordance with the PMP are listed below.

Landowner

Jonathan Wetmore
 Contact: Jonathan Wetmore
 481 E. Forest Lake and 151 W. Forest Lake Road
 Acampo, CA 95220
 Phone: 209.480013
 Email: jpwetmore@gmail.com

Conservation easement holder

SJCOG, Inc.
 555 East Weber Street
 Stockton, CA 95202
 Contact: Steven Mayo
 Phone: 209.235.0600

Land manager

ICF International
 630 K Street, Suite 400
 Sacramento, CA 95814
 Contact: Doug Leslie
 Phone: 916.737.3000

Chapter 2

Baseline Preserve Characteristics, Goals and Objectives

As noted above, the WFLRP is an approximately 70-acre portion of a property owned by Jonathan Wetmore. The property is on the south bank of Dry creek and is set apart from the vineyards to the south by a drop in elevation. Consequently, the property floods in some years in the spring during high water flows in Dry Creek (Figure 4). Historically, some non-wooded portions of the property have been disced for purposes of fire control. There is a relatively dense band of riparian vegetation along Dry Creek that is comprised primarily of Fremont cottonwood (*Populus fremontii*), White alder (*Alnus rhombifolia*), Box elder (*Acer negundo*), Willows (*Salix sp.*), and Valley oaks (*Quercus lobata*).

The majority of the property is comprised of non-native annual grassland with a component of hydrophilic vegetation. Dominant grasses include various oats (*Avena sp.*), and bromes (*Brodium sp.*). Dominant hydrophytes include cockleburs (*Xanthium sp.*) and Curly docks (*Rumex sp.*).

The southern edge of the property is dotted with a few large, remnant valley oaks and live oaks (*Quercus agrifolia*) (Figure 4).

The SJMSCP geographic information systems (GIS) database and the California Natural Diversity Database (CNDDB) were searched to identify records of SJMSCP-covered species within approximately 2 miles of the WFLRP. There are 28 records of Swainson's hawk (*Buteo swainsonii*) within the 2-mile radius of the preserve, one of which occurs on the preserve. There are two records of Valley elderberry longhorn beetle (*Desmocerus californicus dimorphus*) approximately 2 miles upstream from the preserve along Dry Creek. Other records include northern harrier (*Circus hudsonius*), white-tailed kite (*Elanus leucurus*), Midvalley fairy shrimp (*Branchinecta mesovallensis*), and several other covered species associated with vernal pool habitats (Figure 5).

2.1 Wildlife Habitat Associations Identified in the SJMSCP

The habitats and preserve elements described in the SJMSCP and currently present on the WFLRP are listed below.

- Presence of rodents.
- Presence of pigeons or mice.
- Presence of short grasses, sometime almost barren ground.
- Presence of small reptiles and/or amphibians in shallow waters.
- Presence of tall perching sites (i.e., vegetative perches higher than surrounding vegetation which permit the species to survey the surrounding area) normally with adjacent agricultural fields or grasslands.
- Presence of snags or manmade platforms normally near water.
- Presence of willow thickets at the edge of permanent water.

- Presence of snags or trees with a moderate canopy, preferably near riparian areas.
- Presence of stands of dense, tall trees along riparian corridors for roosts or rookeries.
- Presence of small birds.
- Presence of insects, berries, wild grapes, and other fruits in, or adjacent to, riparian zones with shrub understory.

These habitats and preserve elements, according to the SJMSCP, provide foraging habitat for the SJMSCP-covered species listed below.

- Swainson's hawk
- Northern harrier
- White-tailed kite
- Merlin (*Falco columbarius*)
- Long billed curlew (*Numenius americanus*)
- Horned lark (*Eremophila alpestris*)
- Great egret (*Ardea alba*)
- Great blue heron (*Ardea herodias*)
- Loggerhead shrike (*Lanius ludovicianus*)
- Yellow warbler (*Setophaga petechia*)
- Red bat (*Lasiurus borealis*)
- Black-crowned night heron (*Nycticorax nycticorax*)
- Cooper's hawk (*Accipiter cooperii*)
- Sharp-shinned hawk (*Accipiter striatus*)
- Yellow-breasted chat (*Icteria virens*)

The riparian habitats on the preserve also benefit several other common bird species, including (Charadrius vociferus), House finch (Haemorhous mexicanus), California scrub jay (Aphelocoma californica), Spotted towhee (Pipilo maculatus) and Western bluebird (Sialia mexicana), as well as habitat for raccoons (Procyon lotor), opossums (Didelphis virginiana), and California kingsnakes (Lampropeltis californiae).

2.2 Goals and Objectives of the Management Plan

The WFLRP will be managed as a Row and Field Crop/Riparian Preserve as described in Section 5.4.4.4 of the SJMSCP. The goal of this preserve type is to maintain and enhance the *habitat values* extant on the site for the benefit of species covered by the SJMSCP that depend to varying degrees upon habitat values provided by riparian habitats. **Habitat Values** are defined herein as the resources on the landscape that provide benefits for covered species, such as abundant and accessible prey or forage, cover, perch sites, nest sites, water, or other resources necessary for survival and reproduction. Habitat values decrease with increasing disturbance, pesticide and

herbicide use, and increasing habitat uniformity. Because the WFLRP is comprised primarily of riparian habitats, the primary goal of the preserve is to provide nesting habitat for Swainson's hawk, and habitat for yellow warbler, yellow-breasted chat, and other riparian dependent SJMSCP-covered species.

Chapter 3

Land Management Activities

This chapter discusses the land management activities that will be implemented under the conservation easement. The desired management practices as well as permitted and prohibited land uses are discussed.

The WFLRP will be managed according to the guidelines for Central Zone Row and Field Crop/Riparian Preserves outlined in the SJMSCP.

3.1 Agricultural Practices

Land management practices on the WFLRP have historically been to allow for natural processes to occur in the riparian habitats along Dry Creek, and to control weeds and fire risk in the remaining habitats through occasional discing. Management actions that would result in disturbance to the natural riparian habitats currently on the site is prohibited without permission from the SJCOG, Inc., Habitat Technical Advisory Committee (HTAC).

3.2 Prohibited Uses and Activities

This section identifies prohibited uses of the preserve under the WFLRP Conservation Easement. *Landowner* refers to Jonathan Wetmore. *SJCOG, Inc.*, refers to all agencies, organizations, or individuals affiliated with or that represent the SJCOG, Inc., during implementation of actions under the preserve management plan.

3.2.1 Access and Trespass/Illegal Uses/Signage

No access to the general public will be permitted. The SJMSCP requires that signage be installed at all preserves under conservation easement. At the landowner's discretion, the signage can identify the property as being part of the San Joaquin County Open Space system, or *No Trespassing* signs can be installed. Signage should be installed on the WFLRP within 120 days following approval of the conservation easement. The signs should be installed along public roadways and rights-of-way and should clearly state that public access is prohibited. The signs will be provided by the SJCOG, Inc., and installed by the landowner.

3.2.2 Agricultural Conversion

The conversion of the preserve from undisturbed riparian habitats, wetlands, and non-native annual grasslands is prohibited without prior approval by the HTAC.

3.2.3 Alteration of Watercourses

The alteration or manipulation of any natural watercourse, wetland, or body of water and activities or uses that are detrimental to water quality, including, but not limited to, degradation, pollution, or

fill, are prohibited. This prohibition does not include installation of preserve enhancements approved by the HTAC.

3.2.4 Chemicals

No chemicals will be used on the preserve unless they are used for the specific purpose of controlling exotic weed or pest species that may threaten habitat functions and values. All chemicals will be used, stored, and disposed of in strict compliance with labeling instructions and applicable laws.

3.2.5 Dumping

The dumping, storage, or other disposal of refuse, trash, sewer sludge, and toxic or hazardous materials or chemicals is not permitted on the preserve. This prohibition includes the storage or disassembly of inoperable automobiles, trucks, farm equipment, or other machinery for the purpose of sale or storage.

3.2.6 Hunting, Fishing, and Shooting

Commercial fishing, hunting and trapping are prohibited. No recreational hunting or fishing that could result in take under the federal or stated endangered species acts is permitted. Shooting and target practice of any kind is prohibited within the WFLRP.

3.2.7 Vegetation Removal or Destruction

The removal of any natural vegetation (such as riparian habitats) or vegetation installed as part of a preserve enhancement project is prohibited.

3.2.8 Natural Resource Development

The filling, dumping, excavating, draining, dredging, mining, drilling, removing, exploring, or extracting of or for minerals, soils, sands, gravels, rocks, or other material on or below the surface of the preserve is prohibited, unless otherwise approved by the HTAC.

3.2.9 Pest Management

Pest management is an ongoing activity associated with agricultural production. However, chemical rodent control should be minimized to the extent possible to maximize habitat values for covered species. No pest management activities may be carried out within the WFLRP.

3.2.10 Recreational Activities

No revenue-generating recreational activities are permitted. Private recreational activities that degrade the habitat values of the property are prohibited.

3.2.11 Roads

The construction of new roads is prohibited.

3.2.12 Structures

The construction or placement of the structures listed below is prohibited on the preserve.

- New residential or other buildings.
- Camping accommodations.
- Mobile homes, house trailers, permanent tent facilities, Quonset huts or similar structures.
- Underground tanks.
- Billboards, signs, or other advertising.
- Streetlights.
- New utility structures or power lines except those required to power new pumps on the property for agricultural purposes.
- New sewer systems.

3.2.13 Vehicle Use

The use of motorized vehicles off designated roadways is prohibited.

3.3 Permitted Uses and Activities

This section identifies permitted uses of the preserve under the WFLRP Conservation Easement. Although some activities may be permitted under this PMP, all activities are still subordinate and subject to all applicable Federal, State, and local laws and regulations.

3.3.1 Hunting and Fishing

Noncommercial fishing, hunting and trapping of wildlife is permitted so long as it is conducted in compliance with applicable laws and regulations and in a manner that does not compromise the habitat values or damage the ecology of the biological resources on the preserve.

3.3.2 Roads

Resurfacing of existing roads with onsite materials and clean gravel is permitted as long as material is kept within the immediate roadway.

3.4 Affirmative Obligations

This section identifies the affirmative obligations of the landowner under the WFLRP Conservation Easement. Affirmative obligations include both activities and permissions. All activities and permissions are subordinate and subject to all applicable Federal, State, and local laws and regulations.

3.4.1 Emergency Vehicle Access

The landowner must allow emergency vehicles to have direct access to the preserve from Forest Lake Road, when necessary. The WFLRP is currently protected by gates and/or cables but is not actively patrolled.

3.4.2 Maintenance and Repair

SJCOG, Inc., is not responsible for general maintenance, repair, and replacement of existing facilities such as roads, fences, agricultural ditches, and irrigation supply lines and pumps. The landowner retains responsibility for these items and other general maintenance.

3.4.3 Monitoring and Reporting

SJCOG, Inc., is required to ensure that the terms of the conservation easement are adhered to, and to conduct monitoring to ensure that acquisition and management of the easement are facilitating the achievement of the SJMSCP goals and objectives. Therefore, the landowner is required to allow reasonable access to the preserve by SJCOG, Inc. for purposes of ensuring compliance with the terms of the conservation easement and for purposes of monitoring use of the preserve by covered species.

3.4.4 Preserve Enhancements

The WFLRP contains a significant stand of riparian habitat along Dry Creek bordered by an area of seasonal wetland and open, non-native annual grassland. SJCOG, Inc. intends to significantly expand riparian habitats along Dry Creek by converting much of the seasonal wetland and non-native annual grasslands to riparian habitats. It is possible that riparian habitats would encroach on the open habitats if disking and other management actions were discontinued. However, planting of patches of trees and shrubs in the open areas will be conducted to facilitate and accelerate the expansion of riparian habitats. A detailed plant list will be developed as part of a scope of work based on species currently dominating the riparian habitats along Dry Creek. Planting will occur in the spring after to prevent plantings from being overcome by seasonal flooding in Winter and/or Spring.

The landowner will provide access to water to be used for irrigation during all phases of the preserve enhancement installation. The landowner will also provide services in the form of vegetation and weed control to prepare the site for planting.

3.5 Implementation and Management Schedule

The landowner will begin implementing and managing the preserve in accordance with this PMP immediately upon formal approval and acceptance of the conservation easement by the landowners, SJCOG, Inc., and the HTAC. The landowners and SJCOG, Inc., intend that the property be preserved and maintained in perpetuity by permitting only those management practices that support the development of riparian habitat and the ecological processes that drive succession in those habitats.

Chapter 4

Monitoring and Adaptive Management

This chapter describes the biological monitoring plan and reporting requirements for land management activities on the WFLRP. This chapter also summarizes remedial measures that may be implemented should the property not provide the desired benefits for SJMSCP-covered species. The primary objective of monitoring is to ensure that the goals and objectives of the SJMSCP and this PMP are being met.

A preserve monitoring strategy for the entire SJMSCP preserve system is currently being completed. The monitoring plan described in this chapter is considered provisional until the system-wide monitoring plan is completed and approved.

Three general types of monitoring are conducted on a regular basis to ensure that the goals and objective of the SJMSCP are being met; *compliance monitoring*, *effectiveness monitoring* (referred to as *biological monitoring* in the SJMSCP), and *preserve enhancement monitoring*.

4.1 Compliance Monitoring

Compliance monitoring is monitoring that demonstrates compliance with the terms and conditions of the conservation easement, the SJMSCP and its permits. Compliance monitoring will be achieved through an annual site visit(s) to the preserve and annual discussion with the landowner(s) to document changes that could affect the conservation and habitat values of the preserve. A set of photo stations will be established and photographs from each station will be taken annually during the site visit(s). Because breeding populations of most covered species that depend upon riparian habitats during a significant portion of their life cycle are the primary targets of this PMP, the site visit will typically be conducted during spring or summer, when these species can be found in the region.

The primary variables to be reviewed during each site visits are the status of riparian habitats; the degree of human disturbance in the area; and the use of the area by covered species.

Noncompliance with the conservation easement will be addressed in accordance with the provisions of the conservation easement.

4.2 Effectiveness Monitoring

Effectiveness monitoring (referred to as *biological monitoring* in the SJMSCP) is comprised of several types of monitoring. The general purpose of effectiveness monitoring as described in the SJMSCP is to track habitat conditions and the status of covered species on and around preserve lands and to determine if management actions maintain and improve habitat conditions for covered species.

Baseline habitat conditions are established at the time of preserve acquisition and are described in this PMP.

Baseline surveys to determine presence of SJMSCP covered species will be conducted within 2 years of acquisition. The survey will include a complete search of all potential Swainson's hawk nesting substrates within a 2-mile radius of the preserve to the extent possible given potential access constraints from surrounding landowners. Baseline surveys may also include focused surveys for loggerhead shrike, yellow warbler, yellow-breasted chat, or other SJMSCP covered species. All wildlife species detected, including SJMSCP-covered species, will be recorded.

The focused species surveys will be updated once every 3 years by repeating the focused nesting Swainson's hawk survey within a 2-mile radius of the preserve and conducting surveys for other covered species on a rotating basis. Mapped data will be recorded in the GIS database. The results of the surveys will be provided in the SJMSCP program-level annual report.

The information will be used for comparison with results from the original baseline survey to track changes over time and to ensure that the goals and objectives of the preserve management plan are being met.

4.3 Monitoring Preserve Enhancements

Preserve enhancements installed on the property will be monitored annually for 5 years after the initial planting occurs to evaluate the establishment of the planting area and to determine if the plantings have become self-sufficient (i.e., no longer require irrigation, weeding, or plant replacement). The monitoring period can be shortened to three years with approval from the HTAC if monitoring results indicate that the site has become successfully established.

Details concerning grading, seeding, irrigation, watering, weeding, and evaluation of the success of the preserve enhancements will be detailed in the Scope of Work currently being prepared for the restoration contractor.

The results of the preserve enhancement monitoring will be included in the annual monitoring report. The report will document the monitoring survey methods, dates, times, personnel, and results, as well as include a summary of results from each of the previous years of monitoring.

4.4 Success Criteria

Three success criteria were identified to determine the success of management. Preserve management will be considered successful if the entire 70 acres under easement are maintained in their current or better condition; if preserve enhancement (i.e. riparian habitat expansion) is successful; and if all terms and conditions of the conservation easement are adhered to.

4.5 Adaptive Management

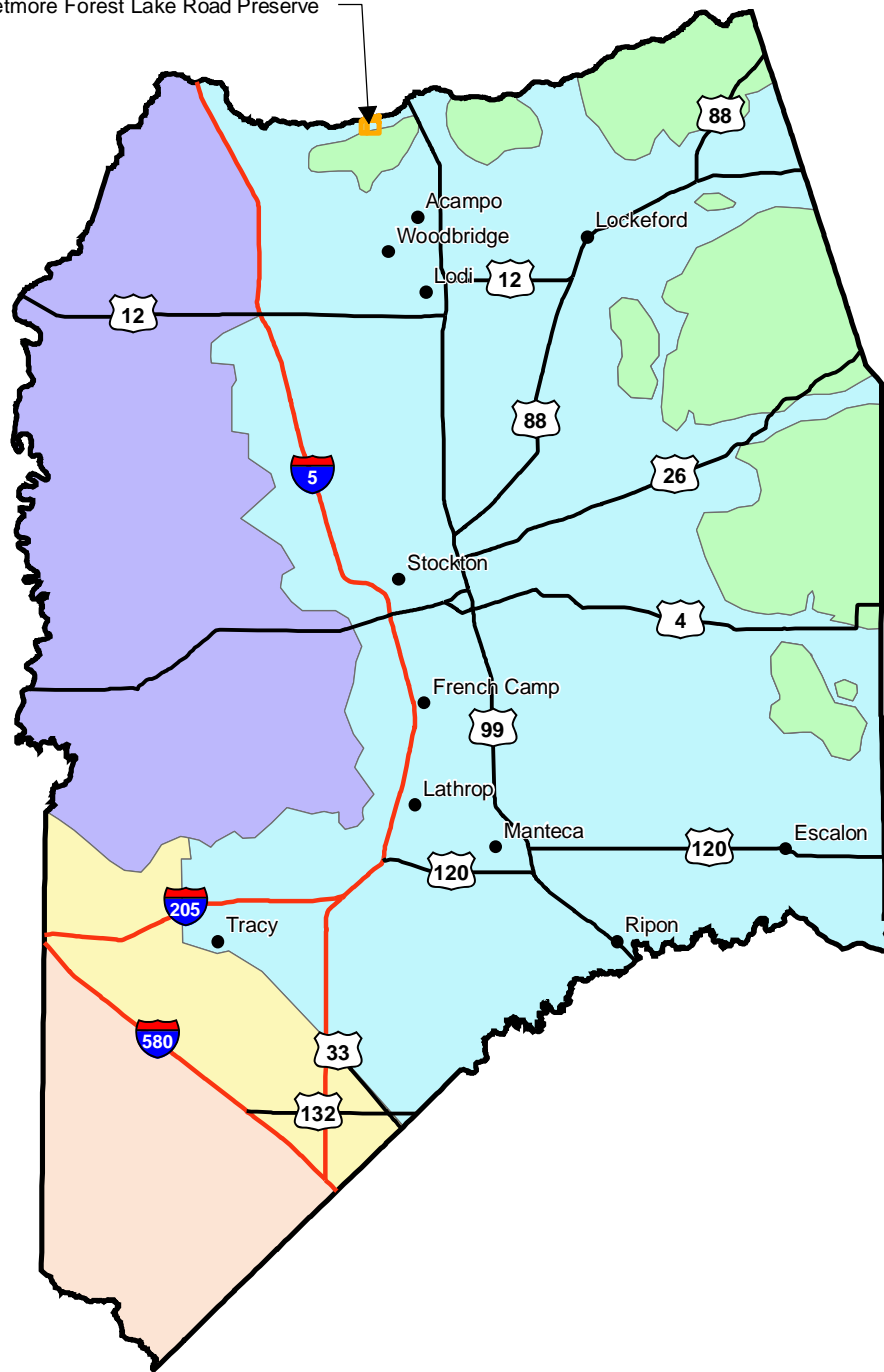
Adaptive management is a systematic process for continually improving management policies and practices by learning from the outcomes of operational programs. The principle of adaptive management recognizes that the resources being managed are dynamic systems and that the state of knowledge regarding natural resource management is constantly improving. Adaptive

management, by definition, does not include predetermined actions, but rather identifies new responses based on the outcome of management activities.

In the context of preserve management, monitoring activities are undertaken to assess the progress of management activities toward achieving the stated management goals. The information collected can then be used to improve management activities, if change is warranted. However, there will be no alteration of management activities without the agreement of the landowner.

Results of monitoring will be used to determine the effectiveness of the measures outlined in the SJMSCP and this PMP in providing habitat for SJMSCP-covered species. If substantial changes in populations of covered species occur, or evidence suggests the operating conservation program outlined in the SJMSCP is not meeting the goals and objectives outlined in the SJMSCP, then adaptive management procedures may be warranted. Such measures would include a review of the terms of the conservation easements and a review of the management actions and/or monitoring requirements on SJMSCP preserves.

Wetmore Forest Lake Road Preserve



Legend

SJMSCP Index Zone

- Central Zone
- Central/Southwest Transition Zone
- Primary Zone of the Delta
- Southwest Zone
- Vernal Pool Zone



Figure 1
Wetmore Forest Lake Road Preserve
San Joaquin County

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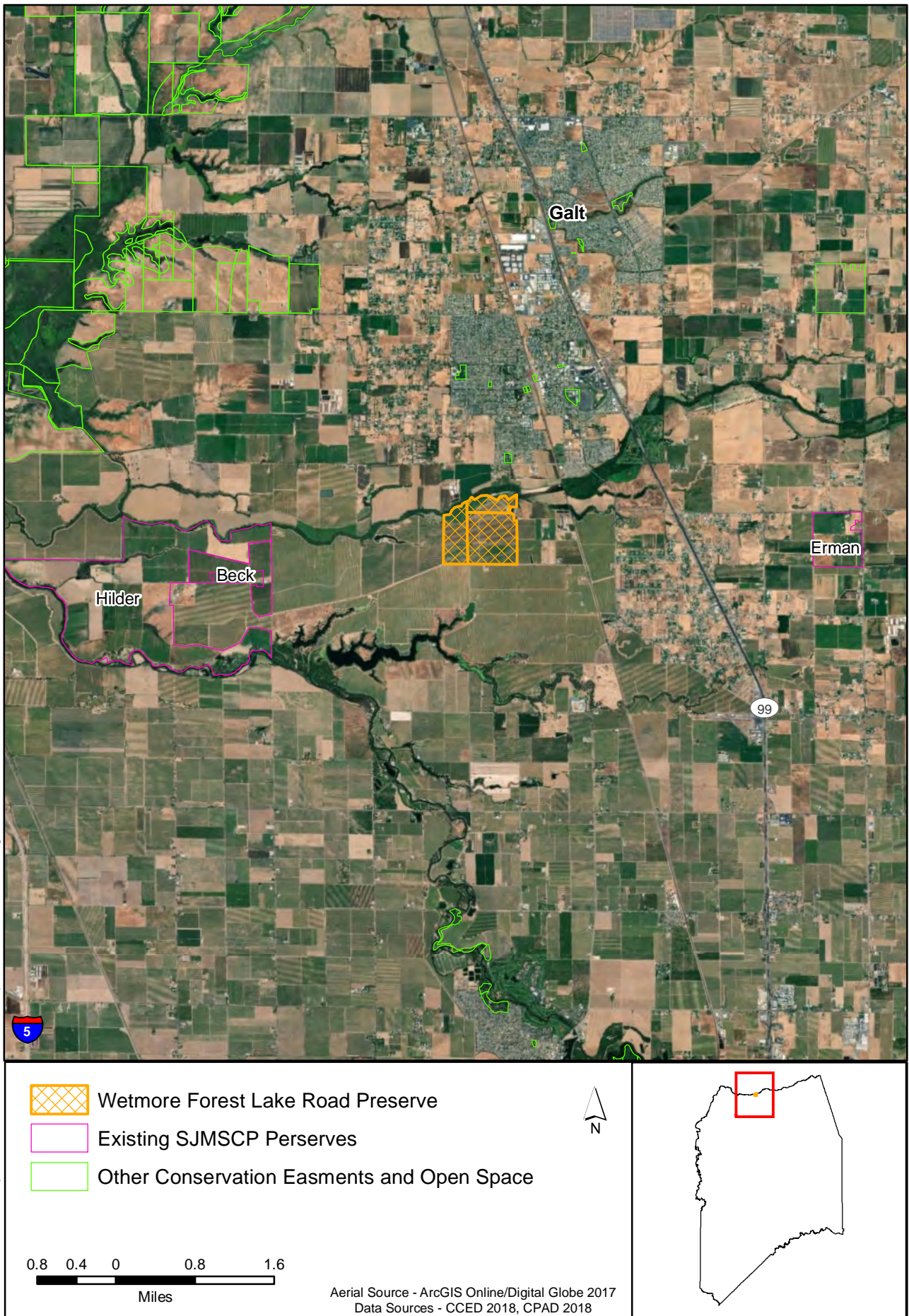


Figure 2
Wetmore Forest Lake Road Preserve and
Other Conservation Easements in the Vicinity

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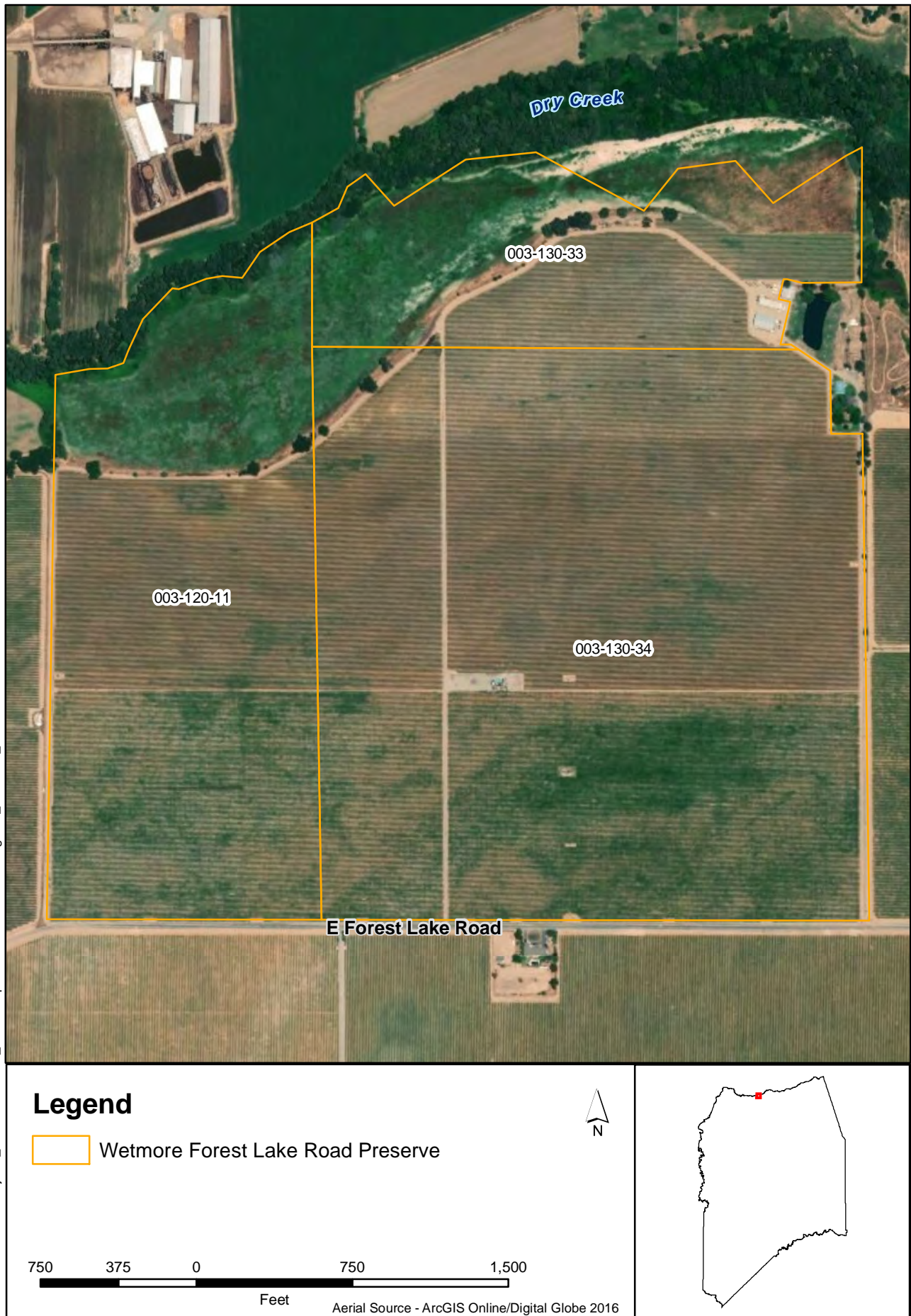


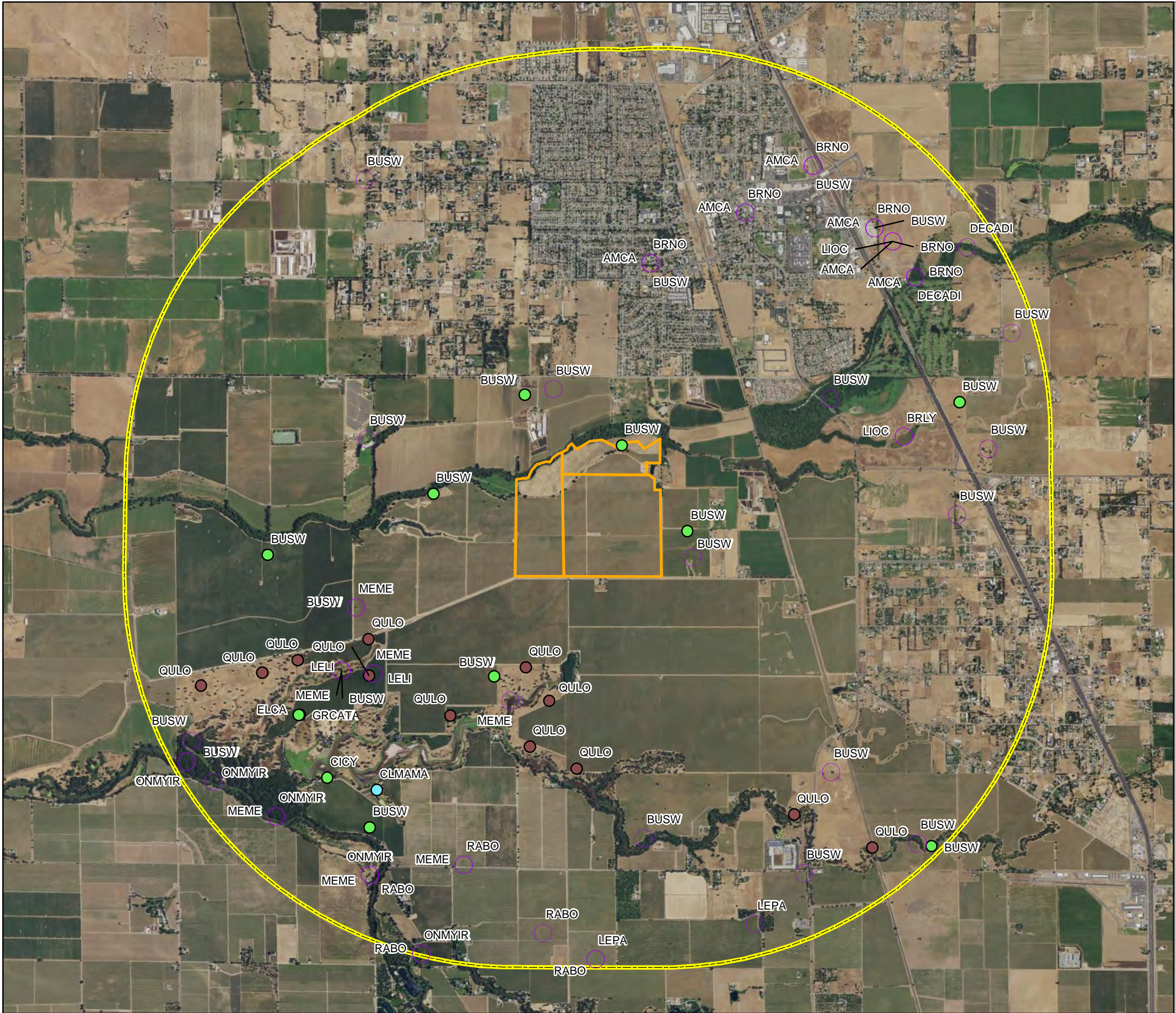


Photo 1. Riparian Habitat and Flooded Non-native Annual Grassland along Dry Creek.



Photo 2. Remnant Valley Oaks, Discarded Fibre and Non-native Annual Grasslands..

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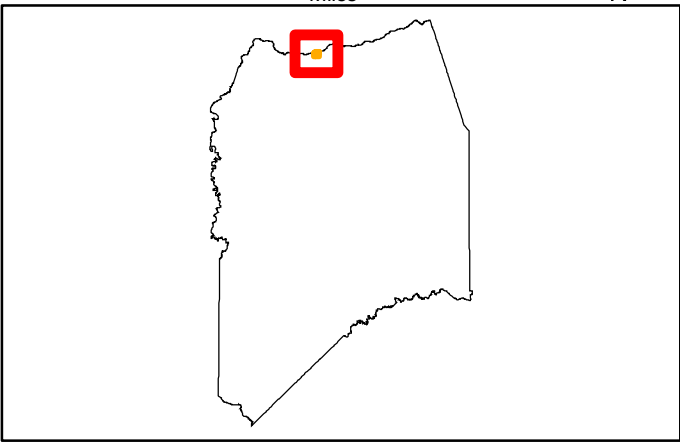
- Wetmore Forest Lake Road Preserve
- Wetmore Forest Lake Road Preserve 2-Mile Buffer
- California Natural Diversity Database Species Records

San Joaquin HCP Terrestrial Species Records

- Plants
- Inverts
- Herps
- Birds
- Mammals

Species within 2 Mile Radius of Wetmore Forest Lake Road Preserve

Code	Species Name
AMCA	California tiger salamander
BRLY	vernal pool fairy shrimp
BRNO	midvalley fairy shrimp
BUSW	Swainson's hawk
CICY	Northern harrier
CLMAMA	Western Pond Turtle
DECADI	valley elderberry longhorn beetle
ELCA	White-tailed kite
GRCATA	Greater sandhill crane
LELI	legenere
LEPA	vernal pool tadpole shrimp
LIOC	California linderiella
MEME	song sparrow ("Modesto" population)
ONMYIR	steelhead - Central Valley DPS
QULO	Valley oak
RABO	foothill yellow-legged frog



USDA Online Aerials Date: NAIP, 2016 CNDDDB Date: April, 2019

Figure 5
Documented Occurrences of SJMSCP-Covered Species
within 2 Miles of Wetmore Forest Lake Road Preserve

AGENDA ITEM 4N



June 2019
SJCOG, Inc.

STAFF REPORT

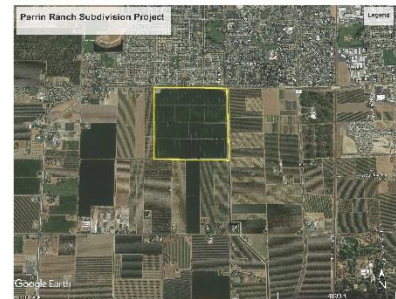
SUBJECT: Perrin Ranch Project, Plan Participation and Buffer Reduction

RECOMMENDED ACTION: Motion to 1) Allow the Perrin Ranch Project to Participate in the SJMSCP; and 2) Allow a Revision to the Incidental Take Minimization Measures for Giant Garter Snake (GGS) and Western Pond Turtle (WPT) Buffers

DISCUSSION:

SUMMARY:

The project applicant, Anthem United Homes, Inc., is requesting coverage under the San Joaquin Multi-Species Habitat Conservation and Open Space Plan (SJMSCP) through the City of Lodi's Community Development Department. Although the project is in a mapped area of the plan, the project needs to be approved to participate due to the USACE Clean Water Act Section 404 permit and California Regional Water Quality Control Board Section 401 permit needs. The project site is located on the east side of Lower Sacramento Road and South of Harney Lane, within the city limits of Lodi in the Central Zone (attachments 1 & 2).



RECOMMENDATION:

SJCOG, Inc. staff and HTAC recommend the SJCOG, Inc. Board to:

- 1) Allow the project to participate under the SJMSCP to provide biological coverage for the project impacts to the habitat types under the federal and state permits;
- 2) Allow a revision to the Incidental Take Minimization Measures for Giant Garter Snake (GGS) and Western Pond Turtle (WPT) buffers

FISCAL IMPACT:

If the project is approved, SJCOG, Inc. will be provided mitigation for the project impacts as required under the SJMSCP for approximately 157.6 acres. The impacts for this project would consist of 157.60 acres of Agricultural (C34) habitat impacts.

BACKGROUND:



This project consists of market-rate single-family residences, active adult residences and associated improvements. In addition, the project would include approximately 2.5 acres of mixed-use development.

The proposed project would include the development of an approximately 75-foot wide pedestrian corridor located along the southern boundary of the Project Area (attachment 3).

The project will impact Giant Garter Snake (GGS) habitat within the suggested 200-foot buffer and Western Pond Turtle (WPT) within the 300-foot buffer. As identified in section 5.59 of the plan, HTAC, on a case by case review, can establish a setback and buffer zone in place of the 200 and 300 feet suggested. Because construction related activities will fill in the agricultural ditches located within the project site, the project proponent has requested a reduction in the buffer to a 0 setback for the construction site impacts. All other ITMM measures for GGS (*e.g. construction window between May and October and required survey work*) and WPT will remain standard for the remaining ditches not filled. A buffer reduction does not allow for additional ‘take’ of SJMSCP covered species but allows construction to proceed with ground disturbance activities while protecting endangered species and habitat.

The SJMSCP GIS habitat layer classifies the project site as Agriculture (C34).

If allowed to participate in the SJMSCP with the revised ITMM, the total disturbed area will consist of 157.6 acres of Agriculture (C34) habitat impacts. The project applicant will be responsible for mitigating for the habitat impacts incurred by this project by either paying the appropriate fees at the time of ground disturbance or dedicating land in lieu of a fee at the appropriate SJMSCP ratio.



Adjacent Vegetation and Land Use

Location	SJMSCP Vegetation Map Classification	Habitat Type Category	Actual Use Of Property
Site	Agriculture (C34)	Agriculture (C34)	Agriculture (C34)
North	Urban (U)	Urban (U)	Urban (U)
South	Agriculture (C34), Multi-Purpose Open Space (C2)	Agriculture (C34), Multi-Purpose Open Space (C2)	Agriculture (C34), Multi-Purpose Open Space (C2)
East	Multi-Purpose Open Space (C2)	Multi-Purpose Open Space (C2)	Multi-Purpose Open Space (C2)
West	Agriculture (C34), Multi-Purpose Open Space (C2)	Agriculture (C34), Multi-Purpose Open Space (C2)	Agriculture (C34), Multi-Purpose Open Space (C2)

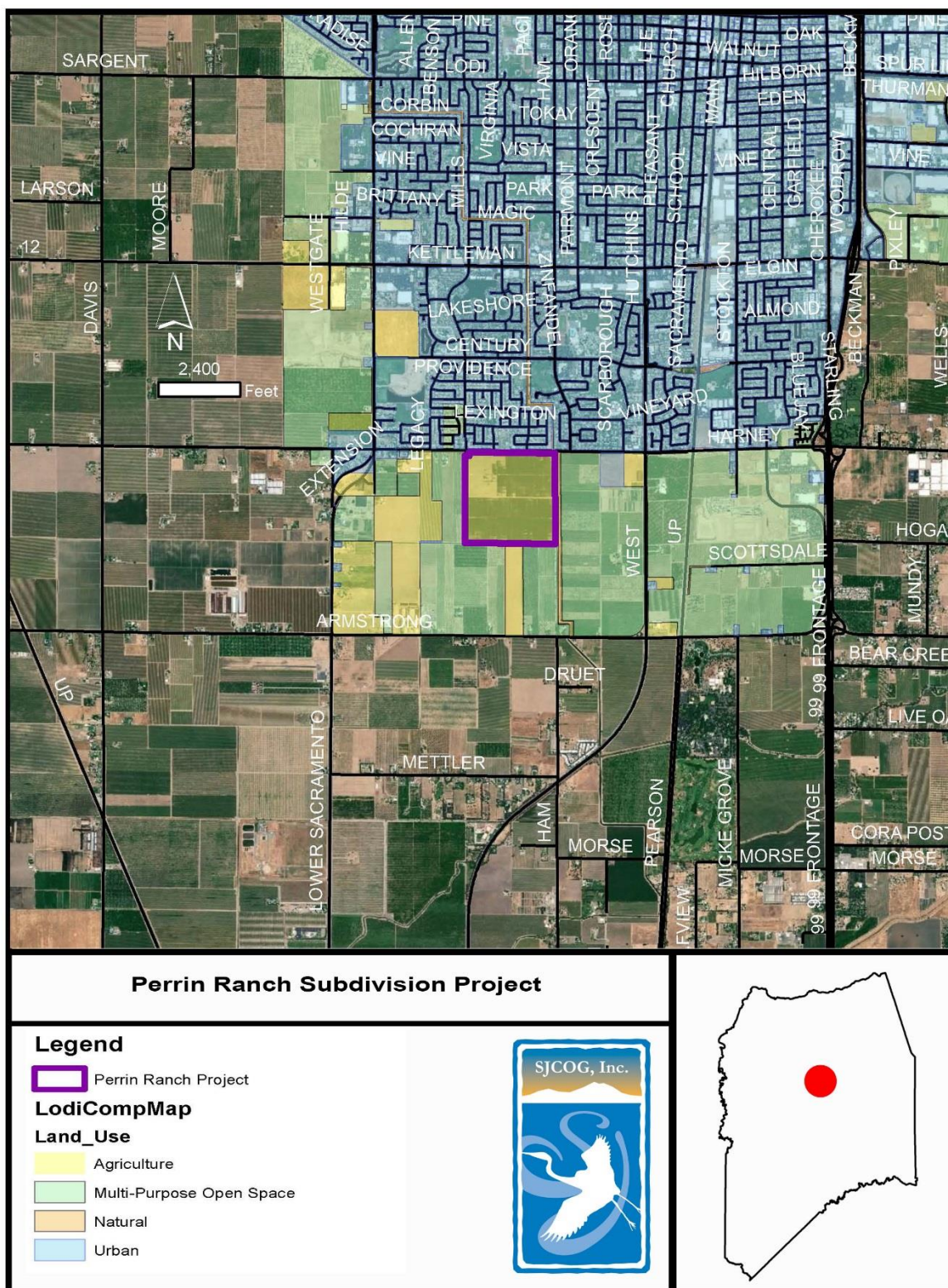
COMMITTEE ACTIONS:

- Habitat Technical Advisory Committee: Recommended for Approval
- SJCOG, Inc. Board: Action Required

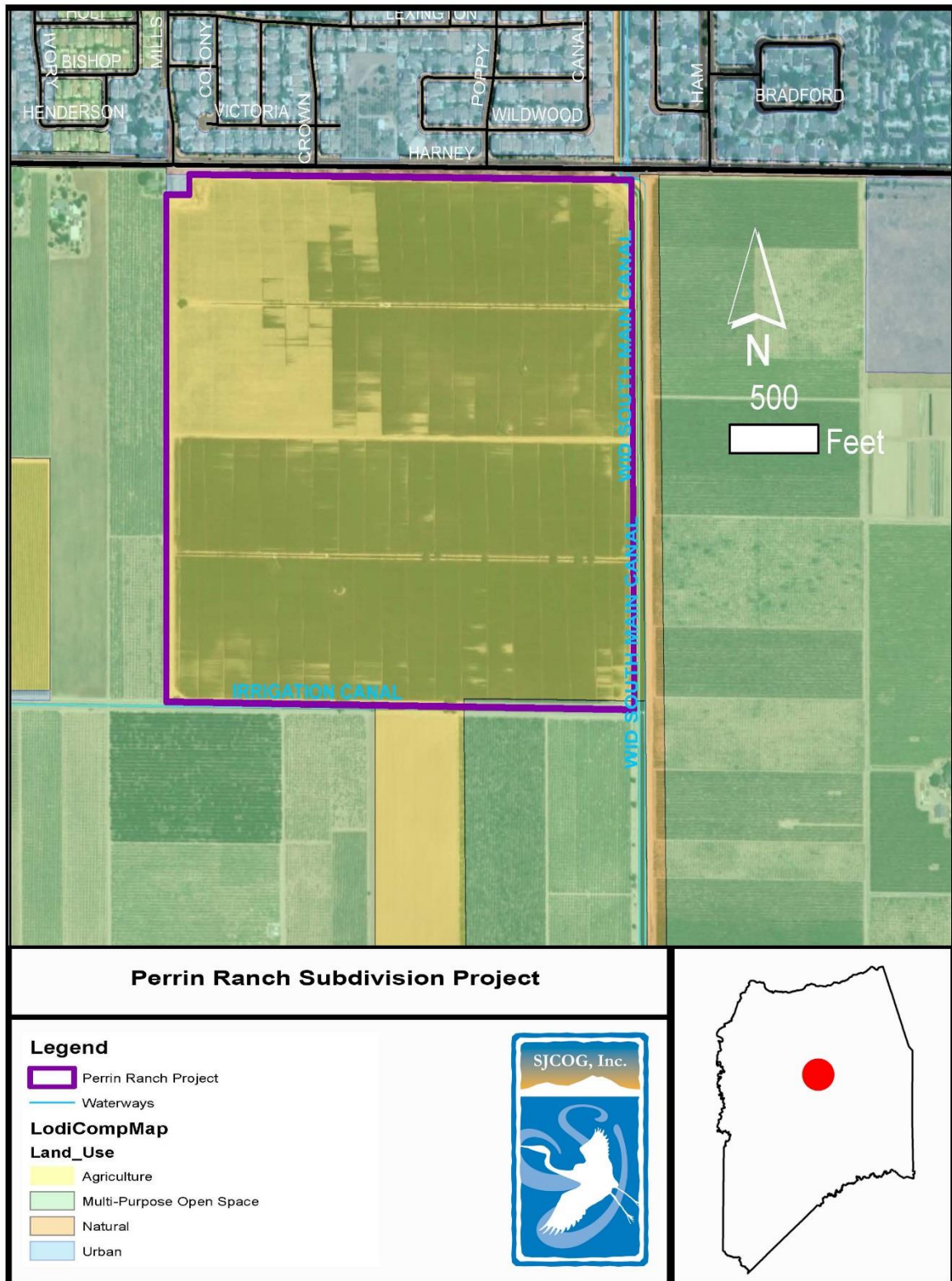
ATTACHMENTS:

1. General Location Map
2. Project Location Map
3. Project Site Maps

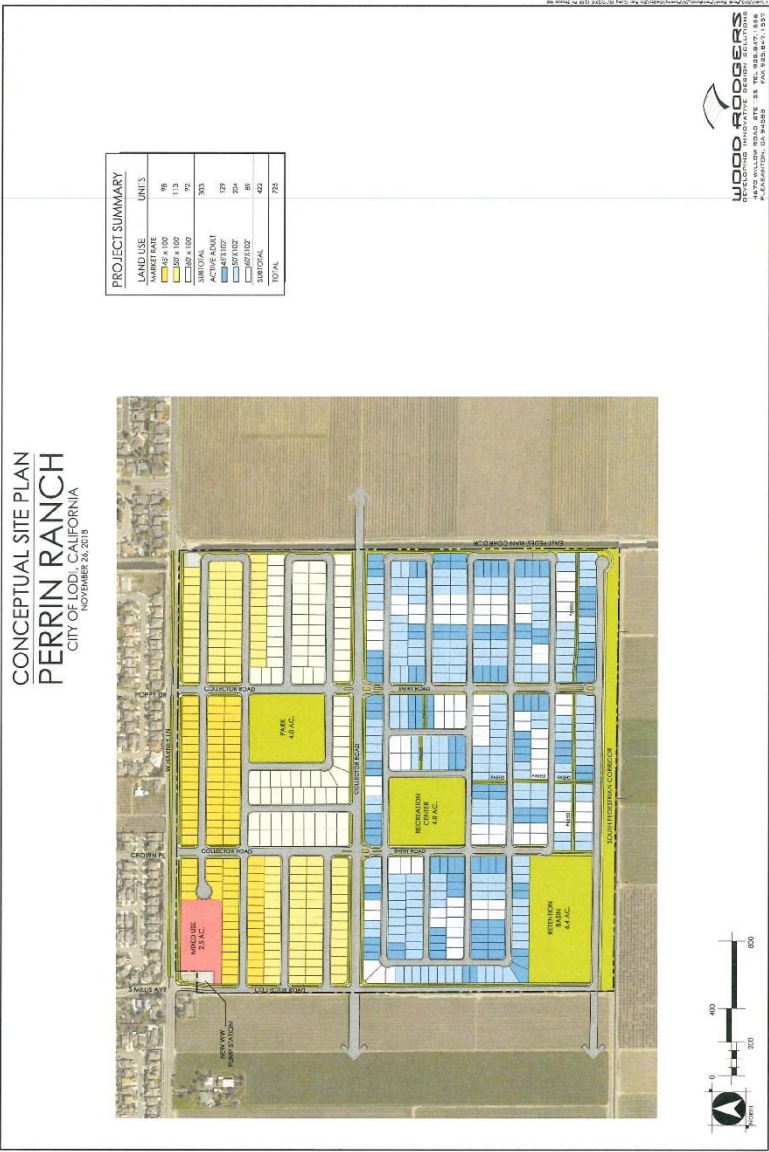
Prepared by: Laurel Boyd, Assistant Habitat Planner

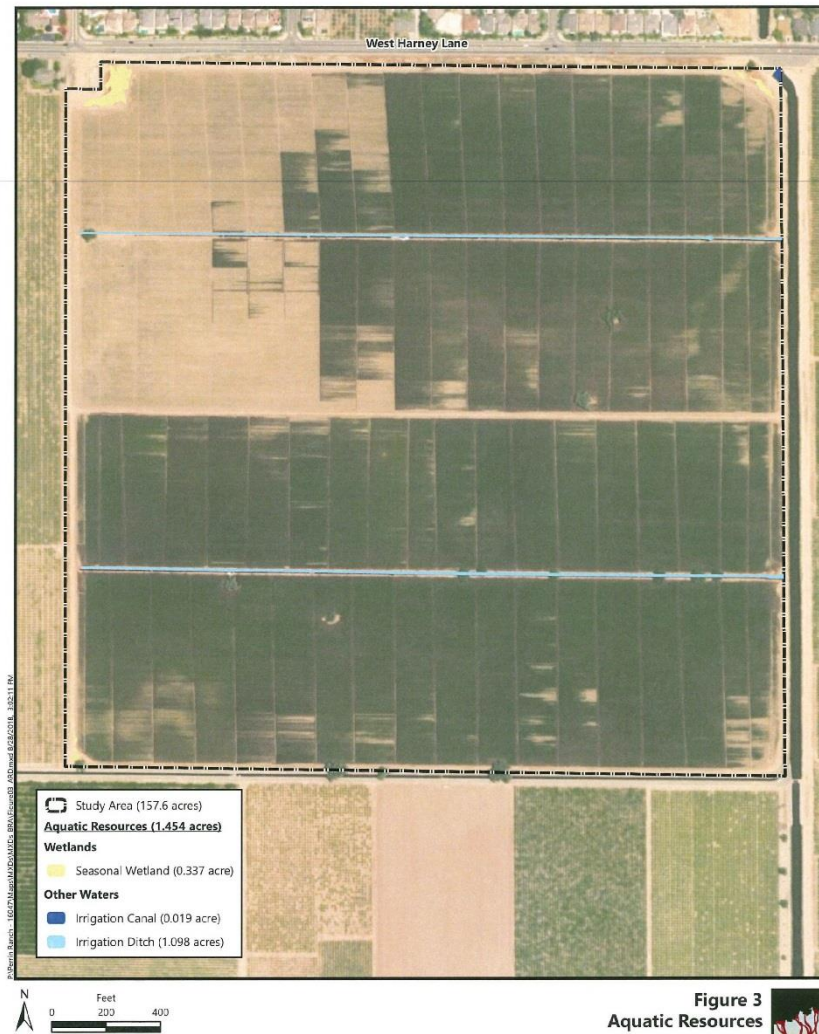


ATTACHMENT 2



ATTACHMENT 3





Aerial Source: USDA, National Agriculture Imagery Program, 23 June 2016.

AGENDA ITEM **5A**



June 2019
SJCOG, Inc.

STAFF REPORT

SUBJECT: Public Hearing for the Kennedy Jaques Wing Levee Acquisition

RECOMMENDED ACTION: Motion to: (1) Open a Public Hearing for Comments on the Preserve and (2) Close the Public Hearing after Receiving Comments

DISCUSSION:

For preserve dedication, the SJMSCP requires notices and hearing procedures to be followed:

1. a 30-day public comment period for Jurisdictional Review prior JPA action which commenced May 2019;
2. Public hearings at the HTAC noticed 30 days before recommendation to JPA; and a
3. Public hearing at the JPA prior to a decision.



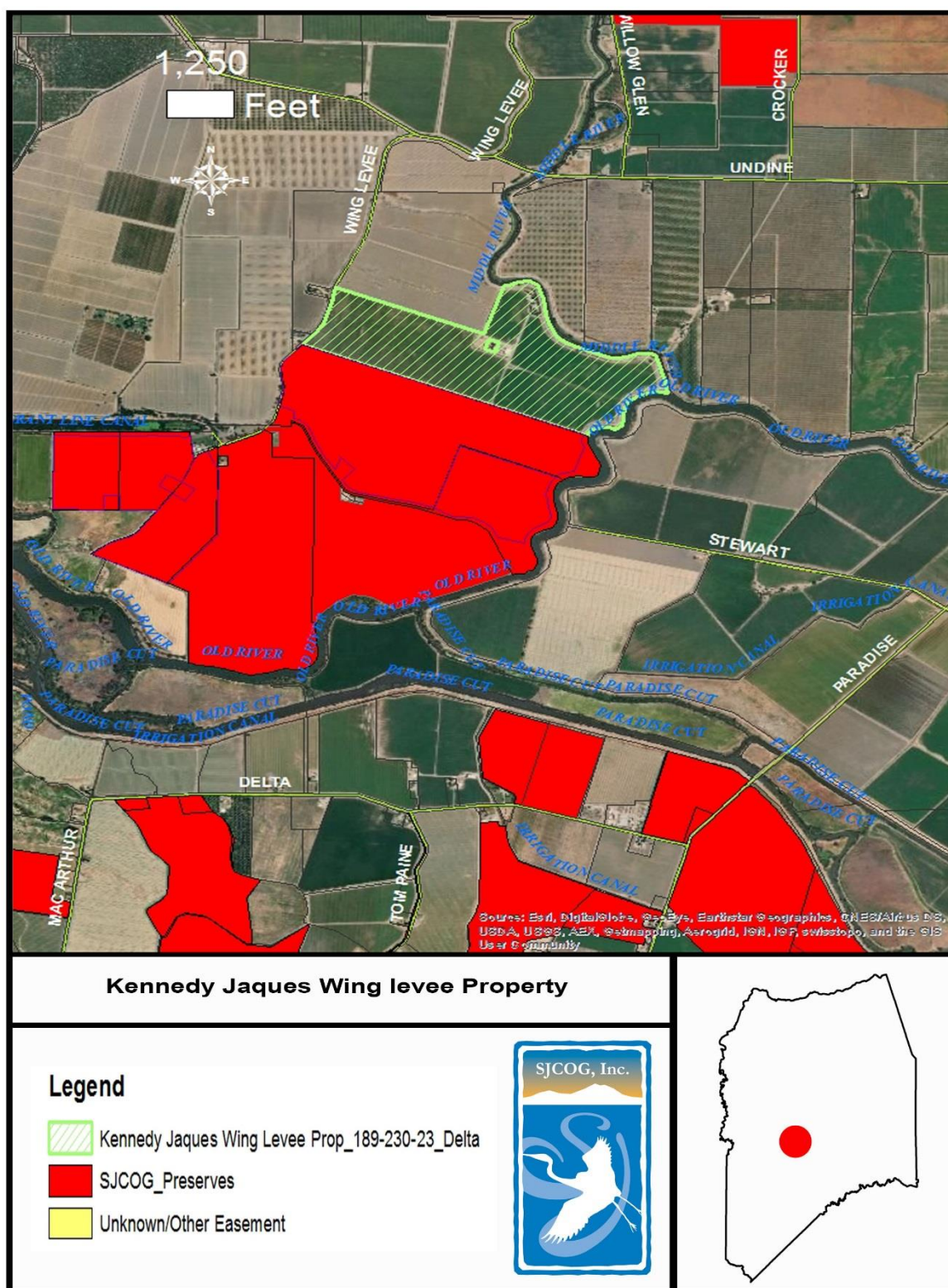
Notice is hereby given regarding the following property: (see Attachment 1 Map)

1. Those certain properties described as 14400 S Wing Levee Road, Tracy, CA (APNs: 189-230-23)
2. Vendor: Patrick Kennedy and Mario Jaques
3. Price: Not to exceed \$7,000 per acre

The Kennedy Jaques Wing Levee property under consideration is a total of 240 +/- acres. The land owner and SJCOG, Inc. are discussing an easement purchase of 230 +/- acres under the habitat plan as agricultural habitat. The location of the property is south of Undine Road and north of Paradise Cut/Old River on the southern end of Wing Levee Road in the Delta Zone with an elevation of 7-11 feet above sea level. The potential preserve is adjacent to existing SJCOG, Inc. preserves in the Delta Zone area, also shown in the attachment 1. If purchased, SJCOG, Inc. staff intends to create the Preserve Management Plan (PMP) to reflect the existing Preserve Management Plans (PMP) for economy of scale as a row and field crop and riparian habitat for species under the SJMSCP.

Prepared by Steven Mayo, Program Manager

ATTACHMENT 1



AGENDA ITEM **5B**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: 2019 Measure K Ordinance and Expenditure Plan Amendment

RECOMMENDED ACTION: Approve Staff Recommendation to Amend the Measure K Renewal Expenditure Plan Regional Arterial Subcategory to add the Roth Road Corridor Project

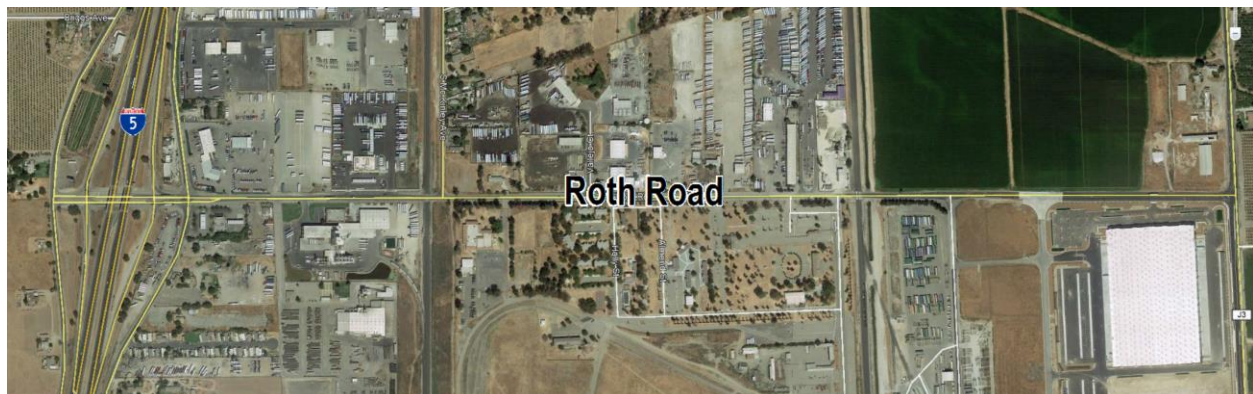
SUMMARY:



On March 4, 2019, SJCOG announced the annual process for interested parties to submit proposals for amendments to the Measure K Ordinance and Expenditure Plan. SJCOG staff evaluates all proposals based upon project merits, project readiness, regional significance, and fiscal impact to the delivery of the Measure K Program. SJCOG received one request from the City of Lathrop to amend the Measure K Expenditure Plan.

Lathrop would like to add the Roth Road Corridor project to the Measure K Expenditure Plan in the Regional Arterial subcategory. Roth Road is an east-west freight corridor providing access from Interstate 5 to State Route (SR) 99 via Airport Way and French Camp Road. Roth Road crosses the Union Pacific Railroad Fresno and Oakland Subdivisions and provides access to Union Pacific's Lathrop Intermodal Facility, the Sharpe Facility of Defense Distribution Depot San Joaquin, and several distribution facilities. Roth Road straddles several jurisdictional boundaries requiring close coordination of land use and transportation needs.

The addition of the Roth Road Corridor project to the Regional Arterial program would align with the current priorities of the City of Lathrop. However, the City's share of the Regional Arterial program would not change, resulting in a need to use other sources of revenue to be able to deliver their other Regional Arterial projects (I-5/Louise Avenue and I-5/Lathrop Road Interchanges).



On May 23, 2019, the SJCOG Board held a public hearing to solicit any proposed amendments to the Measure K Ordinance and Expenditure Plan. No members of the public had any comments or presented any other proposals. However, the comments from the SJCOG Board were generally supportive of the request by the City of Lathrop to add Roth Road to the Expenditure Plan.

RECOMMENDATION:

SJCOG staff recommends amending the Measure K Renewal Expenditure Plan Regional Arterial Subcategory to add the Roth Road Corridor Project.

REGIONAL ARTERIAL PROJECTS

Lathrop Planning Area:

Roth Road

Widen from 2 to 4 lanes from I-5 to Airport Way including curb, gutter, and sidewalk, and storm drainage. Reconstruct interchange at I-5 and Roth Road, including signalization of ramps and realignment of Harlan Road and Manthey Road intersections. Construct railroad grade separation at Union Pacific Railroad Oakland Subdivision.

FISCAL IMPACT:

None at this time.

BACKGROUND:

In 2006, the voters of San Joaquin County renewed the Measure K half-cent sales tax program for a 30-year period through 2041. The Measure K Expenditure Plan calls for local streets and roads repair, projects to reduce congestion on streets and highways, passenger rail and bus service, as well as railroad grade separations. There is a provision in Measure K that allows for amendments to the Ordinance and Expenditure Plan every fiscal year.

Roth Road

The proposed Roth Road Corridor Project would widen Roth Road from two to four lanes. The improvements will include a curb, gutter, sidewalk, and a storm drain system, lighting, and a grade separation over the Union Pacific Railroad Oakland Subdivision. The project improvements will require the reconfiguration of the Roth Road interchange at Interstate 5, including signalizing the ramps and realigning Harlan Road. These improvements are included in the adopted SJCOG 2018 Regional Transportation Plan and Sustainable Communities Strategy.

Residents of Lathrop and Manteca highly support improvements to Roth Road to make it a dedicated freight corridor. These residents have been very vocal in expressing their concerns about the increase in truck traffic using Lathrop Road between SR 99 and I-5. This increase has occurred after the completion of the SR 99/Lathrop Road interchange, the two railroad grade separations on Lathrop Road, and the widening of Lathrop Road between Harlan Road and 5th Street.

SJCOG staff's assessment is that there are benefits and public support for the inclusion of this project in the Measure K program. It would require the full understanding that there are more projects in the City of Lathrop than Measure K can fund and therefore necessitate significant efforts to leverage state and federal funds. In addition, in fall 2018 SJCOG staff collaborated with the City of Lathrop, City of Manteca, and San Joaquin County in applying for an unsuccessful Caltrans Sustainable Transportation Planning Grant to examine the future needs of Roth Road between I-5 and Airport Way. The proposed plan would have developed a corridor plan incorporating improvements for all transportation modes, including pedestrians, bicyclists, automobiles, trucks, and rail.

Table 1: Past Amendments to the Measure K Ordinance and Expenditure Plan

<u>Year</u>	<u>Change</u>
2014	Added Stockton Metropolitan Airport Improvements to Expenditure Plan
2014	Added text to Section 12. Bonding Authority
2015	Modified text in Section 12. Bonding Authority
2016	Added County of San Joaquin's Grant Line Road Corridor Improvements project
2016	Modified limits of County of San Joaquin's Jack Tone Road Improvements Project
2017	Added City of Tracy's Interstate 205/Mountain House Parkway Interchange, Interstate 580/International Parkway Interchange, and International Parkway projects
2017	Added City of Stockton's Lower Sacramento Road project
2017	Modified the limits of the City of Stockton's Mariposa Road project
2017	Modified the scope and limits of the City of Stockton's Pacific Avenue project
2018	Added the County of San Joaquin's Pershing Avenue Widening project

COMMITTEE ACTIONS:

- *Technical Advisory Committee* – Unanimously approved the staff recommendation.
- *Management & Finance Committee* – Unanimously approved the staff recommendation.
- *Citizens Advisory Committee* – Unanimously approved the staff recommendation.
- *Executive Committee* – Had not met as of the time of the writing of this staff report.

NEXT STEPS:

If the Board approves the amendment request at their June 27th meeting. SJCOG staff will notify all cities in San Joaquin and the County of San Joaquin of the Board action per Section 8 and 9 of the Measure K Ordinance and Expenditure Plan.

ATTACHMENTS:

- A. Letter from City of Lathrop
- B. Roth Road Corridor Vicinity Map
- C. 2018 Measure K Ordinance and Expenditure Plan Sections 8 and 9

Prepared by: David Ripperda, Associate Regional Planner



RECEIVED
MAR 29 2019

Office of the City Manager

San Joaquin
Council of Governments

390 Towne Centre Drive, Lathrop, CA 95330

Phone (209) 941-7220 – Fax (209) 941-7229

www.ci.lathrop.ca.us

March 27, 2019

Mr. Andrew Chesley
Executive Director
San Joaquin Council of Governments
555 E Weber Avenue
Stockton, CA 95202

RE: Request for Measure K Expenditure Plan Amendment

Dear Mr. Chesley:

The City of Lathrop respectfully requests that the Measure K Expenditure Plan be amended to include the Roth Road Corridor Project.

Roth Road Corridor Project

Roth Road is an east-west freight corridor providing access from Interstate 5 to State Route 99 via Airport Way and French Camp Road. Roth Road crosses the Union Pacific Railroad Tracy and Fresno Subdivisions and provides access to Union Pacific's Lathrop Intermodal Facility, the Sharpe Facility of Defense Distribution Depot San Joaquin, and several distribution facilities. Roth Road straddles several jurisdictional boundaries requiring close coordination of land use and transportation needs.

The project in general will consist of widening Roth Road from two to four lanes including the installation of curb, gutter, sidewalks, storm drainage facilities, street lighting, and a grade separated crossing. The project will provide improved safety, operational and capacity enhancements to meet the current and future traffic demands as well as drainage and pedestrian facilities.

Thank you for your consideration of the City's request. Should you have any questions or require additional information, please contact Michael King (Assistant Public Works Director) at 209-941-7454.

Thank you,

Stephen Salvatore
City Manager

Roth Road Corridor
Vicinity Map

P313



is achieved.

SECTION 8. AMENDMENTS TO THE TRANSPORTATION EXPENDITURE PLAN.

8.01. Except as specifically provided within the Transportation Expenditure Plan regarding amending the Local Street Repair and Roadway Safety Funds distribution formula, the Authority may annually review and propose amendments to the Transportation Expenditure Plan to provide for the use of additional federal, state and local funds to account for unexpected revenues, or to take into consideration unforeseen circumstances. The Authority shall act on only one package of amendments each fiscal year. The Authority shall establish a process for proposed Transportation Expenditure Plan amendment(s) which ensures that the affected Authority committee(s), established pursuant to this Ordinance, participate in the development of the proposed amendment(s).

8.02. Upon completion of this process, amendments(s) to the Transportation Expenditure Plan must be passed by a two-thirds majority of the Authority by a roll call vote entered in the minutes of the Authority following a noticed, public hearing of the Authority. Notice of the public hearing shall be published pursuant to Government Code section 6062. Subsequently, the Authority shall notify the Board of Supervisors, the City Council of each city in the county and provide each entity with a copy of the proposed amendment(s). Pursuant to Public Utilities Code 180207, proposed amendment(s) shall become effective 45 days after notice is given, unless appealed under the process outlined in the following paragraph. Should an appeal be filed, the Authority shall hold a public hearing on the proposed amendment(s) within 45 days of the filing of the appeal.

8.03. In the event that a local jurisdiction does not agree with the Authority's amendments(s), the jurisdiction's policy decision-making body must, by a majority vote, determine to formally notify the Authority of its intent, in writing by registered mail, to obtain an override of the Authority's amendment(s). The appealing jurisdiction will have 45 days from the date the Authority adopts the proposed amendment(s) to obtain resolutions supporting an override of the amendment(s) from a majority of the cities representing a majority of the population residing within the incorporated areas of the county and from the Board of Supervisors. If a jurisdiction does not obtain the necessary resolutions supporting the override, the Authority's amendment(s) to the Ordinance will stand. If the necessary resolutions supporting the override are obtained within 45 days from the date the Authority adopts the proposed amendment(s), then the amendment(s) shall not become effective.

8.04. The Transportation Expenditure Plan shall be updated by the Authority every ten years that the sales tax is in effect to reflect current and changing priorities and needs in the County, as defined by the duly elected local government representatives on the Authority Board. Any changes to the Transportation Expenditure Plan must be adopted in accordance with current law in effect at the time of the update and must be based on findings of necessity for change by the Authority.

SECTION 9. AMENDMENTS TO THIS ORDINANCE.

9.01. This Ordinance may be amended to further its purposes. The Authority shall establish a process for proposed Ordinance amendment(s) which ensures that the Authority committees

established by this Ordinance participate in the development of the proposed Ordinance amendment(s).

9.02. Upon completion of that process, amendment(s) to this Ordinance must be passed by a two-thirds majority of the Authority by a roll call vote entered in the minutes of the Authority. The Authority must hold a noticed, public hearing on the matter before formal adoption of any amendment to the Ordinance. Notice of the public hearing shall be published pursuant to Government Code section 6062.

9.03. In the event that a local jurisdiction does not agree with the Authority's amendments(s), the jurisdiction's policy decision-making body must, by a majority vote, determine to formally notify the Authority of its intent, in writing by registered mail, to obtain an override of the Authority's amendment(s). The appealing jurisdiction will have 45 days from the date the Authority adopts the proposed amendment(s) to obtain resolutions supporting an override of the amendment(s) from a majority of the cities representing a majority of the population residing within the incorporated areas of the county and from the Board of Supervisors. If a jurisdiction does not obtain the necessary resolutions supporting the override, the Authority's amendment(s) to the Ordinance will stand. If the necessary resolutions supporting the override are obtained within 45 days from the date the Authority adopts the proposed amendment(s), then the amendment(s) shall not become effective.

SECTION 10.AUTHORITY COMMITTEES.

10.01. The following committee structure is established to advise the Authority in the administration of the Transportation Expenditure Plan and this Ordinance.

10.01.01. The Management and Financial Advisory Committee is established to guide administrative and financial decisions of the Local Transportation Authority and is to be composed of City Managers, the County Administrator, the General Manager of the San Joaquin Regional Transit District, and the Executive Director of the San Joaquin Regional Rail Commission.

10.01.02. The Technical Advisory Committee will serve as the Authority's technical advisory committee and be composed of Directors from the area Public Works Departments, Planning Departments, Caltrans' District 10, the San Joaquin Regional Transit District, the San Joaquin Regional Rail Commission, the San Joaquin Valley Air Pollution Control District, and any other agency the Authority so names.

10.01.03. The Citizens Review Committee will provide community input on project priorities, scheduling, amendments, and any other activity the Authority so designates. The Authority must create a Citizens Review Committee that fairly represents the geographical, social, cultural, and economic mix of the region.

SECTION 11.PRIVATE SECTOR FUNDING.

11.01. Revenues provided from this Ordinance shall not be used to replace private developer funding which has been or will be committed for any project.

AGENDA ITEM **6B**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Valley Link Project Feasibility Report

RECOMMENDED ACTION: Discussion

DISCUSSION:

SUMMARY:

The Tri-Valley-San Joaquin Valley Regional Rail Authority (Authority) was created under AB 758 (2017) and is tasked with the mission:

“to plan and help deliver a cost-effective connection from the San Joaquin Valley to the Bay Area Rapid Transit District’s rapid transit system and the Altamont Corridor Express in the Tri-Valley, to address regional economic and transportation changes.” (Section 2 of AB 758)

AB 758 requires that a Project Feasibility Report be completed by July 1, 2019. On June 7, 2019, the Authority posted the Draft Feasibility Report to their website. On June 12, the Authority took action to accept the Draft Report and open a public comment period until July 31. Following the public comment period, the Board anticipates taking further action to approve the Final Project Feasibility Report addressing the comments.

The Project Feasibility Report includes the following elements as required by AB 758:

- 1** Recommendations for expediting the development of cost-effective and responsive connectivity between BART and ACE rail systems in the Tri-Valley.
- 2** The identification of a preferred entity or entities to deliver transit connectivity, including the role each entity will play in planning, designing, financing, constructing, operating, maintaining, and the leasing, developing of land, facilities or equipment necessary to delivery transit connectivity.
- 3** A funding plan describing any grants, loans, allocations, fund transfers, or awards of local, regional, state, federal, or private funds that are proposed to be made available for achieving transit connectivity.
- 4** A description of any plan to finance the development of transit connectivity, including a description of any revenue source or sources to be pledged for financing, the duration of time to complete the financing, and the estimated total cost of financing.
- 5** A proposed schedule for completion of transit connectivity.
- 6** Preliminary design for the project or projects to complete transit connectivity, including the identification of right-f-way, routes, stations, equipment, and any other facilities necessary to achieve transit connectivity.

Attachment A provides the Executive Summary of the Project Feasibility Report. The full report is available at <https://www.valleylinkrail.com>.

BACKGROUND:

In July 2018, the Authority approved the project concept “Valley Link,” a seamless rail transit connection to the Dublin/Pleasanton BART station in the Tri-Valley area. Phase I would include stops in Mountain House, Tracy, River Islands, and North Lathrop, with a future Phase II stop in downtown Stockton. The service would operate from San Joaquin County every 24 minutes during peak period (meeting every other BART train) and every 60 minutes off-peak (meeting every 4th BART train). Travel time is expected to be 47 minutes from Mountain House to Dublin/Pleasanton BART, which is competitive with the automobile during peak congestion.



Source: Valley Link Project Feasibility Report

The Authority is governed by a Board of Directors composed of 15 members, 7 of whom represent San Joaquin County jurisdictions:

- Vice Chair Veronica Vargas (Mayor Pro Tem, City of Tracy)
- Boardmember Paul Akinjo (Councilmember, City of Lathrop)
- Boardmember Bob Elliott (Supervisor, County of San Joaquin)*
- Boardmember Sol Jobrack (Councilmember, City of Stockton)*
- Boardmember Debby Moorhead (Vice Mayor, City of Manteca)
- Boardmember Bernice Tingle (Director, Mountain House)
- Boardmember Leo Zuber (Commissioner, ACE)*

* Denotes members of the SJCOG Board of Directors

SJCOG staff served on the Technical Advisory Committee and Executive Steering Committee for the project. Prior to the June 12 Authority meeting, SJCOG expressed concern that the process for public comment had not been clearly articulated. Now that it is clarified that public comments will be accepted until July 31, SJCOG will thoroughly review the Feasibility Report and provide comments.

RECOMMENDATION:

This is an information item; no action is requested.

FISCAL IMPACT:

None at this time.

NEXT STEPS:

- SJCOG will provide comments, continue to coordinate with the Authority and bring any future funding requests before the Board for consideration.

ATTACHMENTS:

- A. Valley Link Project Feasibility Report Executive Summary (Full report available at <https://www.valleylinkrail.com>)

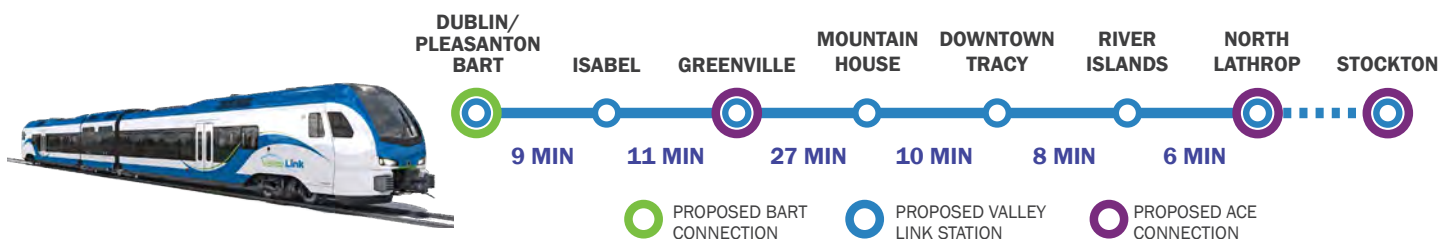
Prepared by: Rob Cunningham, Senior Regional Planner



June 2019

Project Feasibility Report

(Per Assembly Bill 758)



Tri-Valley & San Joaquin Valley
REGIONAL RAIL AUTHORITY

Board of Directors



Scott Haggerty – Chair
Supervisor, County of Alameda



Debby Moorhead
Councilmember, City of Manteca



Veronica Vargas – Vice Chair
Councilmember, City of Tracy



Philip G. O'Loane
Councilmember, City of San Ramon



Paul Akinjo
Councilmember, City of Lathrop



Karen Stepper
Vice-Mayor, City of Danville



Bob Elliott
Supervisor, County of San Joaquin



Jerry Thorne
Mayor, City of Pleasanton



Melissa Hernandez
Vice-Mayor, City of Dublin



Bernice Tingle
Director, Mountain House
Community Services District



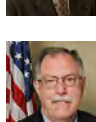
Sol Jobrack
Councilmember, City of Stockton



Bob Woerner
LAVTA Board Member



John Marchand
Mayor, City of Livermore



Leo Zuber
Commissioner, ACE



John Mcpartland
Director, BART

Tri-Valley - San Joaquin Valley Regional Rail Authority



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Executive Director
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1. Introduction and Executive Summary

Valley Link: Introduction

The Altamont Pass Corridor, located in the center of the Northern California Megaregion, connects the San Joaquin Valley to the Tri-Valley and is a vital node in the megaregion's economic ecosystem as well as a key megaregion transportation route. The Interstate 580 (I-580) freeway serves the Altamont Pass Corridor and ranks as one of the most congested freeways in the megaregion during peak hours due to a high volume of regional and interregional commuter, freight and recreational traffic. More than 82,000 commuters currently travel this route on a daily basis – and this number is expected to increase by up to 75 percent from 2016 to 2040.



More than 82,000 commuters currently travel over the Altamont Pass route on a daily basis – and this number is expected to increase by up to 75 percent from 2016 by 2040.

Strategic and planned interregional mobility throughout the Altamont Pass Corridor is essential to sustained economic vitality in the megaregion. Connecting the Bay Area Rapid Transit District's (BART) rapid transit system and the Altamont Corridor Express (ACE), and providing expanded passenger rail connectivity between the San Joaquin Valley and the Bay Area, will increase interregional mobility and provide much needed highway capacity for expanded goods movement to the Bay Area's five seaports and the inland Port of Stockton. It will help alleviate pressure on I-580 from the exponential population growth projected for the San Joaquin Valley. It will connect people, jobs and housing, and support the vision of the California State Rail Plan.

1. Introduction and Executive Summary

Legislative Support: California State Assembly Bill 758 (AB 758)

Assembly Bill (AB) 758, co-authored by Assemblywomen Catharine Baker and Susan Eggman, was signed into law by Governor Jerry Brown on October 13, 2017, establishing the Tri-Valley San Joaquin Valley Regional Rail Authority (Authority). The legislation received substantial bipartisan support from both the Assembly and the Senate.

The Authority is led by a 15-member governing Board comprising representatives from the cities of Dublin, Lathrop, Livermore, Manteca, Pleasanton, Stockton, Tracy, Danville, San Ramon, and the Mountain House Community Services District; the counties of Alameda and San Joaquin; and the Livermore Amador Valley Transit Authority (LAVTA), BART and the San Joaquin Regional Rail Commission (SJRRRC).

Tri-Valley - San Joaquin Valley Regional Rail Authority Board of Directors



Scott Haggerty (Chair)
Supervisor, County of Alameda



Veronica Vargas (Vice Chair)
Mayor Pro Tem, City of Tracy



Boardmember Paul Akinjo
Councilmember, City of Lathrop



Boardmember Bob Elliott
Supervisor, County of San Joaquin



Boardmember Melissa Hernandez
Councilmember, City of Dublin



Boardmember Sol Jobrack
Councilmember, City of Stockton



Boardmember John Marchand
Mayor, City of Livermore



Boardmember John McPartland
Director, BART



Boardmember Debby Moorhead
Vice Mayor, City of Manteca



Boardmember Philip G. O'Loane
Vice Mayor, City of San Ramon



Boardmember Karen Stepper
Councilmember, Town of Danville



Boardmember Jerry Thorne
Mayor, City of Pleasanton



Boardmember Bernice Tingle
Director, Mountain House



Boardmember Bob Woerner
LAVTA Boardmember



Boardmember Leo Zuber
Commissioner, ACE

The Authority was established for purposes of *planning, developing and delivering cost-effective and responsive transit connectivity between BART and ACE in the Tri-Valley, that meets the goals and objectives of the communities it will serve.*



1. Introduction and Executive Summary

Feasibility Report Requirements

AB 758 requires that the Authority provide a project feasibility report to the public on or before July 1, 2019. At a minimum, the report must include the following elements:

- 1 Recommendations for expediting the development of cost-effective and responsive connectivity between BART and ACE rail systems in the Tri-Valley.
- 2 The identification of a preferred entity or entities to deliver transit connectivity, including the role each entity will play in planning, designing, financing, constructing, operating, maintaining, and the leasing, developing of land, facilities or equipment necessary to delivery transit connectivity.
- 3 A funding plan describing any grants, loans, allocations, fund transfers, or awards of local, regional, state, federal, or private funds that are proposed to be made available for achieving transit connectivity.
- 4 A description of any plan to finance the development of transit connectivity, including a description of any revenue source or sources to be pledged for financing, the duration of time to complete the financing, and the estimated total cost of financing.
- 5 A proposed schedule for completion of transit connectivity.
- 6 Preliminary design for the project or projects to complete transit connectivity, including the identification of right-f-way, routes, stations, equipment, and any other facilities necessary to achieve transit connectivity.

The Project Feasibility Report meets all of the key requirements of AB 758. It also includes a review of extensive public outreach and community engagement efforts that have occurred throughout this effort. Furthermore, the report provides additional analysis of the potential beneficial impacts that a proposed rail service may have on environmental sustainability, social equity and transit-oriented development (TOD) in the megaregion.

1. Introduction and Executive Summary

Recognizing the extensive *ACEforward* Environmental Impact Report (EIR) efforts in this corridor and the BART EIR process underway at the time, AB 758 also contains a provision stating the Authority “may use any relevant environmental review documents previously completed by the Bay Area Rapid Transit District or the San Joaquin Regional Rail Commission to prepare the report.” A specific provision in the bill restricting the Authority’s activities relative to BART became inoperative on July 1, 2018 due to the BART Board action to not adopt a preferred alternative for an extension to the I-580/Isabel Avenue interchange.

The following table identifies the specific chapters that address each element outlined by the AB 758 legislation.

AB 758 Required Element	Relevant Section in Feasibility Report
Recommendations for expediting the development of cost-effective and responsive connectivity between BART and ACE rail systems in the Tri-Valley.	2. Project Goals 3. Proposed Project and Options 4. Alignment Options 5. Stations and Facilities Overview 6. System Integration and Connections 10. Service Characteristics
The identification of a preferred entity or entities to deliver transit connectivity, including the role each entity will play in planning, designing, financing, constructing, operating, maintaining, and the leasing, developing of land, facilities or equipment necessary to delivery transit connectivity.	14. Project Delivery 15. Project Management and Staffing
A funding plan describing any grants, loans, allocations, fund transfers, or awards of local, regional, state, federal, or private funds that are proposed to be made available for achieving transit connectivity.	12. Capital and Operating Costs 13. Funding and Finance Plan 14. Project Delivery
A description of any plan to finance the development of transit connectivity, including a description of any revenue source or sources to be pledged for financing, the duration of time to complete the financing, and the estimated total cost of financing.	7. Environmental Sustainability 12. Capital and Operating Costs 13. Funding and Finance Plan 14. Project Delivery
A proposed schedule for completion of transit connectivity.	14. Project Delivery
Preliminary design for the project or projects to complete transit connectivity, including the identification of right-of-way, routes, stations, equipment, and any other facilities necessary to achieve transit connectivity.	3. Proposed Project and Options 4. Alignment Options 5. Station and Facilities Overview 6. System Integration/Connections 7. Environmental Sustainability 9. Station Area Planning 10. Service Characteristics 11. Vehicle Technology

1. Introduction and Executive Summary

Caltrans Sustainable Communities Grant

In 2018, Valley Link was awarded a Sustainable Communities Grant to support the development of the Feasibility Report including station area planning and outreach. The Sustainable Transportation Planning Grant Program was created to support the California Department of Transportation's (Caltrans) mission: Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability. The overarching objectives of the Sustainable Communities Grant under the Sustainable Transportation Planning Grant Program include the following efforts to enhance the transportation system and network: promote sustainable practices and innovation, preserve the integrity of the system, increase accessibility and safety, support the economic vitality of the area, and prioritize communities most affected by poverty and air pollution.

Many of Valley Link's benefits directly address the overarching objectives of the Sustainable Communities Grant:

Enhanced Multi-Modal Transportation System and Congestion Relief

Valley Link will increase the accessibility to public transit by linking nearly 500 miles of commuter and intercity rail with more than 130 stations in the Northern California Megaregion. This linkage, combined with reduced travel times as compared to automobile travel, will result in significant ridership and congestion relief.

Improved Social Equity and Environmental Justice for Disadvantaged Communities

Valley Link will provide and promote transportation solutions that focus on and prioritize the sustainable transportation needs of communities within the Northern California Megaregion, while reducing emissions and the resulting pollution burden.

Improved Public Health and Safety

Shifting commuters and other travelers to rail transportation between the San Joaquin Valley and the Bay Area highly desirable as a means to offset some of the effects on air quality produced by growth in automobile travel. With an increase in rail passengers, Valley Link will decrease greenhouse gas (GHG) and harmful air pollutant emissions, and reduce serious injuries and fatalities on the highway system while promoting a healthier and better quality of life.

Improved Community Sustainability

Valley Link will provide opportunity for and enhance transit-oriented development at several new and existing stations creating livability in the development of new community hubs without the need for automobiles.

Finally, Valley Link is consistent with the goals and objectives identified in the California Transportation Plan 2040 and specifically included in the 2018 California State Rail Plan. This is a high priority for State Legislature and the Governor as approved by AB 758 (Eggman and Baker).



1. Introduction and Executive Summary

Feasibility Report

At its inaugural meeting on January 17, 2018, consistent with the mandate of AB 758, the Authority Board took immediate steps to advance a Work Program concept to expedite the development of cost-effective and responsive transit connectivity between the BART system and ACE rail service in the Tri-Valley region. Over the past 18-months, the Board has met monthly to oversee advancement of this work program—focusing on key decisions within a highly structured timeframe. Key milestones have included the adoption of project goals and the identification of a preferred project concept, with a plan for expedited project delivery and funding.

This Feasibility Report is the result of months of diligent work, informed by technical analysis of project alternatives, diligent public outreach and engagement, and assessment of the potential impacts and benefits of the project across multiple sectors.

The Authority Board provided clear guidance in the form of specific directions for key project areas. This direction is included in each section of the Project Feasibility Report as well as the documentation that supported and informed Board discussion and decision-making at each of the key project milestones.



1. Introduction and Executive Summary

Assembly Bill 758:

Established the Tri-Valley – San Joaquin Valley Regional Rail Authority Member Agencies:

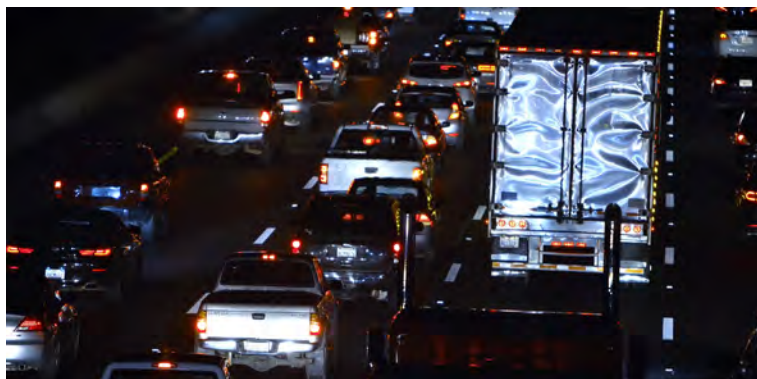


Mandate:

Project implementation that is fast, cost-effective and responsive to the goals and objectives of the communities it will serve.

Goal:

Deliver a cost-effective connection from the San Joaquin Valley to the Bay Area Rapid Transit District (BART) system and the Altamont Corridor Express in the Tri-Valley, to address regional economic and transportation challenges.



Requirement:

"On or before July 1, 2019, the Authority shall provide a project feasibility report to the public, to be posted on the authority's Internet Web site, on the plans for the development and implementation of transit connectivity in the Tri-Valley region."



1. Introduction and Executive Summary

KEY QUESTIONS AND ANSWERS

How will Valley Link Connect to BART and ACE?

Corridor Snapshot



41	7	25,000	35,000	Seamless
miles	stations	daily riders by 2040	metric tons of CO ₂ equivalent/year reduction in Greenhouse Gas (GHG) emissions in 2040	connections to BART and ACE



1. Introduction and Executive Summary

Proposed Project

Phase 1:

Rail service from the existing Dublin/Pleasanton BART Station to the proposed North Lathrop ACE Station, utilizing existing transportation rights-of-way where feasible.

Phase 2:

Rail service extended from the North Lathrop ACE Station to the existing Stockton ACE/San Joaquin Station.

Alignment

Rail service from Dublin/Pleasanton BART Station to the proposed ACE North Lathrop ACE Station, utilizing existing transportation rights-of-way where feasible.



Stations:

- Dublin/Pleasanton BART Intermodal
- Isabel (Livermore)
- Greenville ACE Intermodal (Livermore)
- Mountain House
- Downtown Tracy
- River Islands (Lathrop)
- North Lathrop ACE Intermodal
- Stockton ACE/San Joaquin Intermodal

Infill Stations:

- Southfront (Livermore)
- Grant Line Road (Alameda County)
- Ellis Historical (Tracy)

Operations and Maintenance Facility:

- Hansen Road (San Joaquin County)



1. Introduction and Executive Summary

System Integration

- Seamless transfer to BART and ACE
- Integrated fare systems
- Expanded connectivity to local transit and feeder service
- Key element of the California State Rail Plan vision

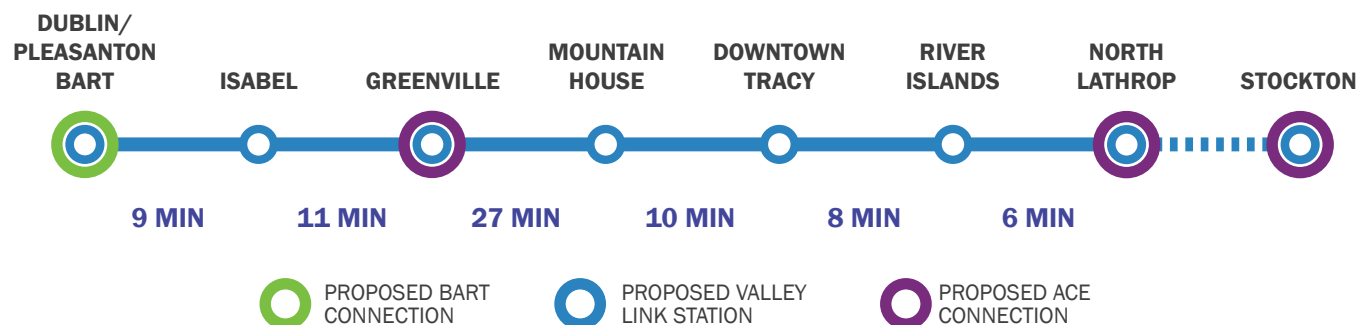
Service Characteristics

Regular service throughout the day in both directions with the ultimate goal of matching BART hours of operation and frequency.

Initial Service

	PEAK	OFF-PEAK
Between Dublin/Pleasanton BART and Greenville	12 min (meeting every BART train)	30 min (meeting every other BART train)
Beyond Greenville	24 min (meeting every other BART train)	60 min (meeting every 4th BART train)
Operation of initial service	From 5:00 a.m. to 8:00 p.m.	

Travel Times



1. Introduction and Executive Summary

Who will operate and manage the system?

It is recommended to establish the Tri-Valley – San Joaquin Valley Regional Rail Authority as the entity to deliver the Valley Link transit connectivity, including planning, designing, financing, constructing, operating, maintaining, and the leasing, developing, or disposing of land, facilities, or equipment, necessary to deliver and operate Valley Link. Staff will continue to evaluate potential rail agencies that can strengthen the ability of the Authority to construct and operate Valley Link in a managing agency role.

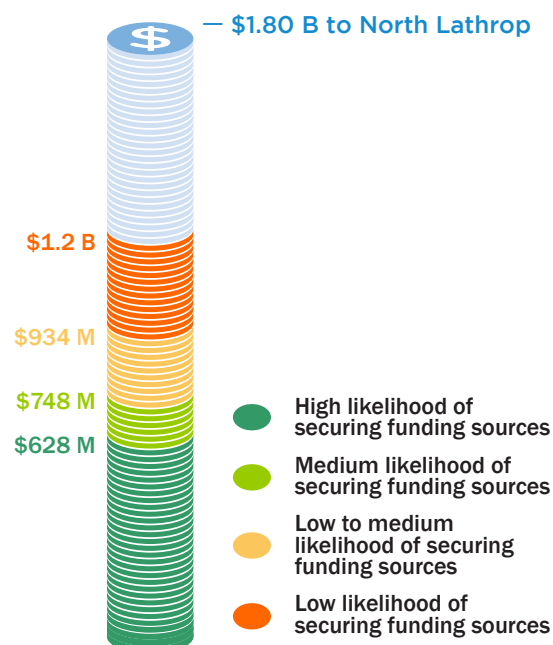
How much will it cost?

In 2018 dollars, the full Valley Link project between Dublin/Pleasanton BART and North Lathrop including alignment, stations, an operations and maintenance facility, and vehicles is estimated to cost \$1.8 billion. Based on similar services, operating and maintaining this system in 2025 would cost \$26.7 million annually (year of expenditure dollars).

What is the funding plan and finance plan?

The Plan identifies capital funding sources and operating revenue sources, and rates them according to how likely they will become available for the project. Capital funds reallocated from the BART-to-Livermore project and from City of Livermore impact fees have the highest likelihood, and total \$628 million. Along with the farebox revenue and parking revenue generated by the project, estimated to cover up to half of required operating funds, high-likelihood operating revenue sources include Congestion Mitigation and Air Quality Improvement (CMAQ) funds and FTA Section 5307 and 5337 formula funds designated to San Joaquin County.

Based on capital funding assumptions, there is a funding gap for Valley Link. Financing could be considered if no additional capital funds are secured. The Plan identifies several revenue streams that can be used for debt service payments. A hypothetical Transportation Infrastructure Finance and Innovation Act (TIFIA) Loan would require an annual \$31 million debt service.

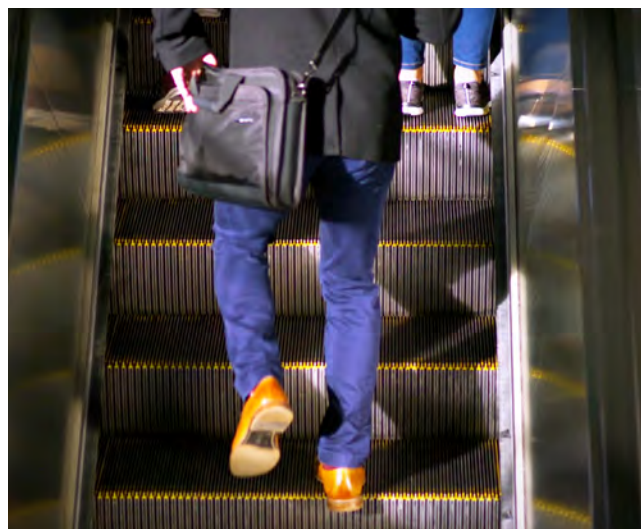


When will Valley Link be in service?

A draft program schedule has been developed for planning and managing the overall program delivery, and provides a plan for a forecast completion of the program in the early third quarter of 2026.

Sustainability Policy

The Authority has adopted a policy to be a model of sustainability in the design, construction and operation of the Valley Link Project.



1. Introduction and Executive Summary

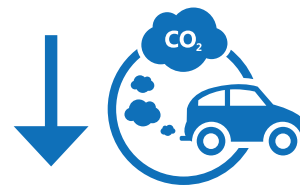
Environmental

Valley Link will reduce greenhouse gas (GHG) emissions, pursue renewable energy sources, strive to attain 100% self-sufficiency, and apply global best practices to design and construct sustainable infrastructure.

- Valley Link will reduce greenhouse gas (GHG) emissions by 24,000 metric tons of CO_{2e} emissions in 2025.
- To the extent possible, Valley Link will strive to operate largely on energy produced onsite by photovoltaic cells and wind power.
- Sustainable design and construction practices will include implementing high-efficiency lighting, LED signage, drought-tolerant landscaping, and using building materials with recycled content.



**35,000 MT CO_{2e} Emissions
Reduced Annually in 2040**



Station Area Planning

Valley Link will preserve land and right-of-way to allow for the implementation and phased design and infrastructure in support of Sustainable Community Strategies (Senate Bill [SB] 375). In addition, the Authority will work in partnership with communities to identify and incorporate high priority local goals and objectives for individual stations.

- The Metropolitan Transportation Commission's (MTC's) Plan Bay Area 2040 identifies Priority Development Areas (PDAs) – two of which are located in Livermore at the Isabel and Greenville Valley Link stations.
- The San Joaquin Council of Governments' (SJCOG's) Smart Growth Transit-Oriented Development (TOD) Plan includes a half-mile radius around the Downtown Tracy transit station as well as infill sites in proximity. On April 4, 2019, the City of Tracy City Council authorized staff to initiate TOD development planning in Downtown Tracy in preparation for Valley Link.
- The Authority has coordinated with River Islands, one of California's premier mixed-use master planned communities, to locate a Valley Link station at its 350-acre business park.



1. Introduction and Executive Summary

Equitable Access

The Authority will encourage engagement in planning and decision-making for the Valley Link project to ensure a meaningful level of participation from disadvantaged communities and low-income communities and households. Benefits to disadvantaged communities and low-income communities and households in project planning and design will be maximized.

- Valley Link expresses the objectives of the Sustainable Communities Grant Program by promoting sustainable practices and innovation, preserving the integrity of the transportation network, increasing accessibility and safety, supporting economic vitality, and prioritizing communities most affected by poverty and air pollution.
- The proposed stations Downtown Tracy, River Islands, and North Lathrop are all within disadvantaged community geographic areas. Areas designated as low-income are also near these stations, as well as the Mountain House station.
- An online survey, launched on February 12, 2019, is available in both English and Spanish.
- The CalEnviroScreen 3.0 screening methodology identifies communities disproportionately burdened by multiple sources of pollution. Senate Bill (SB 535) Disadvantaged Communities are defined as the top 25 percentile scoring areas from CalEnviroScreen. Valley Link station areas exhibit high scores for multiple CalEnviroScreen indicators.



Vehicle Technology

Valley Link will focus analysis on multiple unit trains featuring hybrid technology, with the ability to convert to fully-electric operations in the future.

- Currently, there are rapid advances in MU technology, including development of vehicles for the U.S. market that can draw partial power from batteries.
- Hybrid rail vehicles could use both diesel engines and batteries to power electric motors. With this technology, it is possible that diesel engines could be sequentially replaced by battery-powered motors.
- Another promising technology is the use of hydrogen fuel cells to power train motors. This technology, along with all-electric trains, has the potential for zero-emission operations.



AGENDA ITEM **6C**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Draft 2020 State Transportation
Improvement Program Fund Estimate

RECOMMENDED ACTION: Discussion Only

SUMMARY:

The State Transportation Improvement Program (STIP) is a five-year capital improvement program of transportation projects, funded with revenues from the State Highway Account and other funding sources. The California Transportation Commission (CTC) will release a draft 2020 STIP fund estimate at its June 26 meeting. The 2020 STIP will cover Fiscal Years 2020/21 through 2024/25, however, nearly all of the funding capacity will be in Fiscal Years 2022/23 through 2024/25.

RECOMMENDATION:

Discussion Only.

FISCAL IMPACT:

None at this time.

BACKGROUND:

The CTC adopts a new STIP every two years. The STIP is a five-year capital improvement program of transportation projects on and off the State Highway System, funded with revenues from the State Highway Account and other funding sources. As part of the STIP development process, each region in California is required to develop a Regional Transportation Improvement Program (RTIP) which consists of the region's priorities for funding through the STIP. Concurrent with the RTIP development at the regional level, Caltrans works to put together the Interregional Transportation Improvement Program (ITIP), consisting of interregional priorities set by Caltrans in collaboration with the regions. Caltrans merges the region's RTIPs and Caltrans' ITIP into the statewide document, the STIP, and submits it to the CTC for approval.

The STIP is generally our region's largest source of capital funding besides the Measure K program. STIP funding may be used for highway/roadway widening, traffic operational improvements and transit capital improvements. All project development phases from environmental through construction are eligible for funding. A new project must have a Project Study Report (PSR) or equivalent to support the programming of project costs.

2020 STIP Fund Estimate Expectations

The CTC will release a draft 2020 STIP fund estimate at its June 26 meeting. The 2020 STIP will cover Fiscal Years 2020/21 through 2024/25, however, nearly all of the funding capacity will be in Fiscal Years 2022/23 through 2024/25.

It should also be noted that in May, the SJCOG Board approved a recommendation to advance the PA&ED phase of the I-205 Widening Project using approximately \$12.5 million in other federal, state, and local funds. As such, the \$12.5 million in STIP funds previously programmed for this project in Fiscal Year 2020/21 would be available for discussion. Those funds could be assigned to the PS&E phase of the I-205 Widening Project, or could be applied to a different project.

Tentative 2020 STIP Schedule

The 2020 STIP final schedule and fund estimate are planned for adoption by the CTC at their August 14-15, 2019 meeting. SJCOG staff will be evaluating project candidates for the 2020 STIP shortly after the CTC adoption of the fund estimate. The intention is to have projects selected by October 2019, with SJCOG Board adoption of the 2020 RTIP in November 2019, and submission to the CTC by the December 2019 deadline. A tentative schedule of the 2020 STIP development process is shown below:

Milestone	Anticipated Date
CTC Adopts Fund Estimate	August 14, 2019
Development of SJCOG Staff Recommendations	August 15 - October 15, 2019
Preparation of Draft RTIP document	September - November, 2019
30-Day Public Notice of Comment Period to Newspapers	October 9, 2019
30-Day Public Comment Period Begins	October 16, 2019
TAC Adoption of Draft RTIP	November 4, 2019
Public Hearing and SJCOG Board Adoption of Draft RTIP	November/December 2019
RTIPs and ITIPs due to Caltrans	December 13, 2019
CTC publishes staff recommendations	February 28, 2020
CTC adopts STIP	March 2020

ATTACHMENTS:

None

Prepared by: Ryan Niblock, Senior Regional Planner

AGENDA ITEM **7A**



June 2019
SJCOG Board

STAFF REPORT

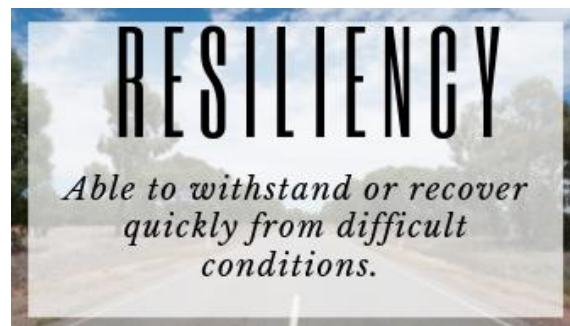
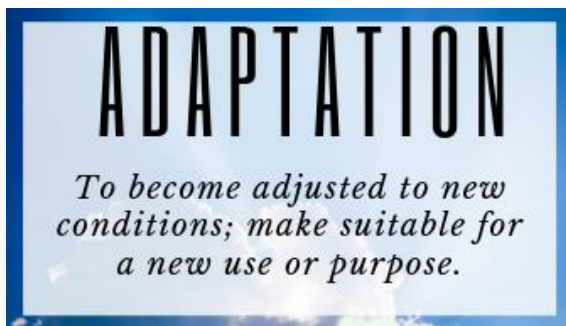
SUBJECT: Transportation Resiliency and Adaptation Defined

RECOMMENDED ACTION: Information

DISCUSSION:

SUMMARY:

Resilient California, also known as SB 379, requires goals, policies and objectives for communities based on vulnerability assessments and implementation measures. Because of this, it is necessary that resiliency and the adaptation of our county is considered to ensure future safety of our communities. Two words in transportation planning that are being used with much frequency are “adaptation” and “resiliency”. At first glance, those words may seem to have similar meaning, but it is crucial to understand the difference especially as they relate to transportation assets:



The rates of extreme weather events are both tangible and highly visible. Recent science shows that temperatures are increasing, rainfall is more erratic, and changing weather patterns are becoming more frequent and intense. Ensuring that our transportation system and infrastructure can withstand these events and even thrive afterwards is more important now than it has ever been and planning in this capacity is crucial to the safety of our San Joaquin County communities. Our county has several assets that are impacted yearly by extreme weather, some of those include our levees, our busses, our roads, and our freeways.

According to Caltrans, benefits of resiliency mitigation and adaptation include lower pollutant emissions, longer service life of transportation assets, reduced costs and need for weather-related maintenance, improved safety, and improved ecosystem resiliency and health. Adaptation and resiliency planning seeks to identify infrastructure that is vulnerable to disruptions due to extreme weather events. In planning for these types of disruptions, it is important to determine the risks and consequences of current weather patterns and trends and propose investment priorities to address the identified risks. SJCOG's Adaptation and Resiliency Study seeks to define these risks and consequences and develop, through both our working group and regional summit, recommendations on the best course of action to address resiliency and adaptation in San Joaquin County.

RECOMMENDATION:

This item is for information; no action is requested at this time.

FISCAL IMPACT:

The budget for the awarded contract is \$68,000. The total project cost of \$80,598 is identified in the Fiscal Year 2018/19 Overall Work Program (OWP). \$71,354 is being provided through a Caltrans Senate Bill 1 Sustainable Transportation Planning Grant. A local in-kind match of \$9,245 in Local Transportation Funds is required. Budgeted amounts above the awarded contract are for SJCOG staff resources also dedicated to the delivery of the study.

BACKGROUND:

As part of the SB-1 planning funding that SJCOG received in the FY17/18, one of the four studies to further the implementation of the 2018 Regional Transportation Plan is the Adaptation and Resiliency

RESILIENCE GOALS

Maintain a multi-modal transportation network to deliver people, goods, and emergency services throughout the county, with a focus on vulnerable populations in floodplains and low-income communities with limited bus services.

Create and maintain redundancy in the transportation system to allow for rerouting during disruptions

Ensure operation of routes supporting evacuation, staging areas, and emergency response.

PROJECT GOALS

A transportation system that is resilient to extreme weather changes

Integration of adaptation into the RTP and transportation investments

Study. SJCOG and our consultant, Eastern Research Group (ERG), began in January of this year to embark on a year-long effort to research and write a transportation resiliency plan for the county. The purpose of this plan is to consider how we can improve the resiliency and reliability of our transportation system in accordance with the most recent RTP guidelines. The study is heavily influenced by local plans and partners, such as the Delta Stewardship Council, Caltrans District 10 and District 4. The objective of this study is to conduct a vulnerability assessment of the transportation system while considering the impacts of extreme weather events (i.e. increased rainfall, high heat, flooding, wildfires, etc.). This study looks at existing plans throughout the county pertaining to evacuation, hazard mitigation, as well as plans by regional and state agencies, cities, and transportation managers. SJCOG, ERG, and our technical working group will then identify planning gaps in the literature and seek to pursue the resilience goals set forth by SJCOG within the resiliency plan. The final step in this study will be to present the findings for further discussion with the public and policy makers in order to outline the next steps as we plan and prepare for the 2022 RTP/SCS.

In addition to the federal requirements, it is important to note that there are several other efforts addressing adaptation and resiliency throughout the state. Along with state efforts, there are also several other local and regional efforts that are either completed or currently under development that are assisting in informing the SJCOG effort. Those studies include the completed Caltrans district 4 Vulnerability Assessment Summary/Technical Report released in 2018, and the not-yet completed Caltrans District 10 Vulnerability Assessment Summary/Technical Report and the Delta Stewardship Council's previous reports, as well as their current and ongoing project which will look at sea-level rise, and inflow data throughout the Delta region zones.

Briefing Schedule:



With the adoption of the most recent RTP in June 2018, SJCOG committed to several studies or analyses intended to not only meet new federal and state planning requirements but to also gain a better understanding of emerging issues for future transportation planning. Largely funded by SJCOG's formula share of SB1 planning funds, six of these studies are currently underway and two more will begin this summer. To keep SJCOG's committees, the Board, and the public aware of the progress of these efforts, staff will be bringing information to the committees and the Board in the form of issue briefings.

Besides the direct connection to the on-going studies, the presentations will also be both responsive to previous Board member questions and present new information for discussion. Each briefing and presentation will highlight key information:

- ✚ Why the study is important to the RTP and connection to local planning efforts
- ✚ Relationship to statewide initiatives with effects for local and regional policy making
- ✚ Ways data and deliverables can be leveraged for local planning and decision making
- ✚ Purpose and status of study efforts, next steps, and decision-making points

The intent of the series is to build understanding and dialogue on emerging issues in transportation planning that will help us address new federal and state planning requirements.

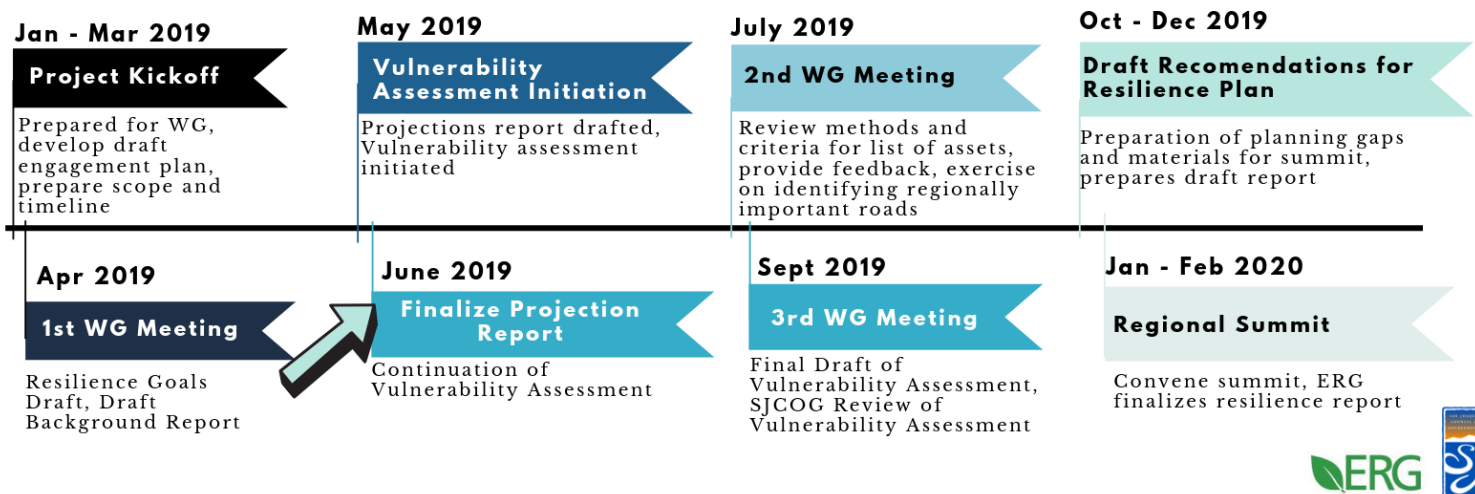
FUTURE BRIEFING SCHEDULE AND NEXT STEPS:

<i>Topic / Study</i>	<i>Tentative Date</i>
Transportation Innovation & Technology Infrastructure for San Joaquin County	May 2019
Transportation System Resiliency Defined	June 2019
Regional Role in Housing Policy	TBD
Economic Modeling for RTP Policy Decisions	TBD
San Joaquin's Sustainable Communities Strategy – Meaningful Policy & Strategy Alternatives for the 2022 RTP	TBD
Advancing the Measurement of Health Benefits from Transportation	TBD
Transportation Investments & Regional Economic Development	TBD

SCHEDULE:

Below is the schedule and timeline overview of our process and what to expect in the coming months regarding this project. After our first working group meeting, the resilience goals were finalized, and we are currently in the assessment phase. In this phase, ERG will be looking at projections of extreme weather events. ERG will be evaluating regional data regarding extreme weather events and trends. From this point, we will continue developing the vulnerability assessment. This report and the draft resilience plan will be available for review around January of 2020.

SB1 Transportation Resiliency Study **TIMELINE OVERVIEW**



Prepared by: Summer Lopez, Assistant Regional Planner



EMERGING PLANNING ISSUE BRIEFING

TRANSPORTATION RESILIENCY DEFINED

JUNE 2019 // PREPARED BY SUMMER LOPEZ, CHRISTINE CORRALES, CAROLINE STYC, KIM ANDERSON, AND ELIZA BERRY (ERG)

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Introduction



As part of the SB-1 planning funding that SJCOG received in the FY17/18, one of the four studies to further the implementation of the 2018 Regional Transportation Plan is the Adaptation and Resiliency Study. In January 2019, SJCOG and our consultant, Eastern Research Group (ERG), began a year-long effort to research and write a transportation resiliency plan for the county. This plan considers how we can improve the resiliency and reliability of our transportation system under the most recent RTP guidelines. The study is heavily influenced by local plans and partners, such as the Delta Stewardship Council, Caltrans District 10 and District 4. The objective of this study is to conduct a vulnerability assessment of the transportation system while considering the impacts of extreme weather events (i.e. increased rainfall, high heat, flooding, wildfires, etc.). This study looks at existing plans throughout the county pertaining to evacuation, hazard mitigation, and plans by regional and state agencies, cities, and transportation managers. SJCOG, ERG, and our technical working group will then identify planning gaps in the literature and seek methods to make progress on the resilience goals identified by the technical working group and the consultant team. The final step in this study

will be to present the findings for further discussion with the public and policymakers to outline the next steps as we plan and prepare for the 2022 RTP/SCS.

Besides the federal requirements, there are several other efforts addressing adaptation and resiliency at the state, regional and local level, either completed or under development assisting in informing the SJCOG effort. Those studies include the completed Caltrans district 4 Vulnerability Assessment Summary/Technical Report released in 2018, the not-yet-completed Caltrans District 10 Vulnerability Assessment Summary/Technical Report, and the Delta Stewardship Council's previous, and ongoing projects looking at the sea-level rise and inflow data throughout the Delta region.



Figure 1: Definitions of Adaptation vs. Resiliency, Merriam Webster Dictionary

The rates of extreme weather events are both tangible and highly visible. Temperatures are increasing, rainfall is more erratic, and changes in weather patterns are becoming more frequent and intense. Ensuring that our transportation system and infrastructure can withstand these events and even thrive afterward is more important now than ever and planning in this capacity is crucial to the safety of our San Joaquin County communities. Our county has several assets that are impacted yearly by extreme weather, some of those include our levees, our transit systems, our roads, and our freeways.

According to the [Caltrans Climate Change Branch](#), benefits of resiliency mitigation and adaptation include lower pollutant emissions, the longer service life of transportation assets, reduced costs and need for weather-related maintenance, improved safety, and improved ecosystem resiliency and health.

Adaptation and resiliency planning seeks to identify infrastructure vulnerable to disruptions due to extreme weather events. In planning for these disruptions, it is important to determine the risks and consequences of current weather pattern trends and propose investment priorities to address the identified risks. SJCOG's Adaptation and Resiliency Study seeks to define these risks and consequences and develop, through both our working group and regional summit, recommendations on the best course of action to address resiliency and adaptation in San Joaquin County.

IMPACT EXAMPLES

	Flooding (Extreme precipitation, sea level rise)	Extreme Temperatures	Wildfire	Drought
ROADS	Asphalt stripping, washouts, subbase erosion	Asphalt-concrete cracking	Rutting/ softening	Cracking pavement
RAIL	Substructure erosion, inundation, forced delays	Track buckling, forced slower speeds and delays, derailments	Blocked routes, forced delays	
BUSES	Decreased comfort, delays	Transit vehicles overheating, decreased comfort	Route closures, delays	

Figure 2: Impact Examples from Phase One Scope of Work

Terms and Definitions

In navigating the adaptation and resiliency body of literature, there are several key terms and definitions to understand. The following is a list of terms (albeit non-comprehensive) to familiarize readers with the language of adaptation planning.



Figure 3a: Terms and Definitions

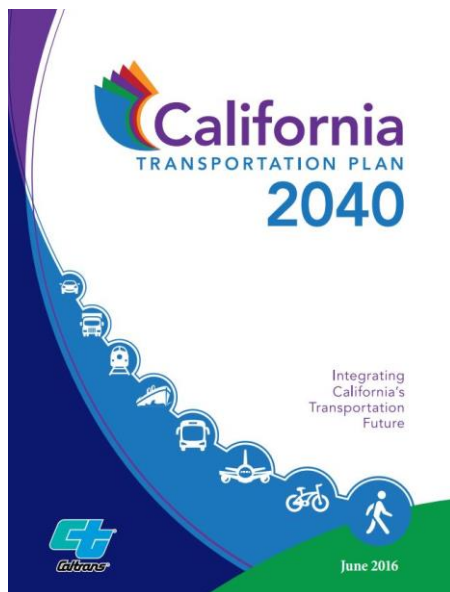


Figure 3b: Terms and Definitions

Emerging Policy Environment for Transportation Adaptation and Resiliency Planning

California is experiencing more frequent and severe extreme events, including storms and wildfires. More change will occur over the coming decades, including increases in temperatures and rising sea levels. Shifting average conditions will be punctuated by more frequent and severe extreme events, including drought, wildfire, and storms. Together, these changes pose risks to California's people, natural resources, and infrastructure.

The state is taking steps to minimize these impacts by leading the way in ensuring California's plans and investments endure and thrive. The following section summarizes key policies, plans, and initiatives driving statewide preparation for a new and changing environment.



California Transportation Plan 2040

The [CTP 2040](#) vision is focused on sustainability: California's transportation system is safe, sustainable, universally accessible, and globally competitive. One of the primary goals of the Plan is to preserve the multimodal transportation system, under which policy calls for adapting the transportation system to reduce impacts from climate change.

Executive Order S-13-08

Executive Order S-13-08 directs state agencies to plan for sea level rise and climate impacts through coordination of the state Climate Adaptation Strategy: Safeguarding California ([California Climate Change Executive Orders](#)).

vulnerabilities from climate change in at least nine specific sectors, and the priority actions needed to reduce climate risks in each sector.

- SB 246 establishes the [Integrated Climate Adaptation and Resilience Program](#) at the Governor's Office of Planning and Research to coordinate regional and local efforts with the state's climate adaptation strategies. It is also meant to establish a climate adaptation clearinghouse that centralizes best scientific evidence, available climate data, and information for planning and implementing state, regional, and local climate adaptation projects. This bill also directs the Office of Emergency Services to update the California Adaptation Planning Guide, within one year of an update to the Safeguarding California Plan, to provide current tools and guidance to regional and local governments and agencies adopting and implementing climate adaptation and community resiliency plans and projects.
- SB 379 requires local hazard mitigation plans to incorporate climate impacts by 2021; through coordination with an update to local jurisdictions' General Plan Safety Element (see OPR's [2017 General Plan Guidelines, Chapter 4: Required Elements, p. 150-158](#)).

Exploring the Local Impact of Climate Change

Across the state, communities are experiencing the effects of extreme weather impacts now through an increase in the frequency and severity of extreme events and their associated significant costs to the government, Californians, and natural resources. What extreme weather events are impacting San Joaquin County now? State, regional, and local partners have explored this question and notable efforts are summarized in this section.

Climate Stressors in the Delta

The Sacramento-San Joaquin Delta includes approximately 500,000 acres of waterways, levees and farmed lands extending over portions of five counties: Contra Costa, Sacramento, San Joaquin, Solano, and Yolo. Significant portions of San Joaquin County lie within the Primary and Secondary Zones of the Delta. A public review draft of [*Climate Change and the Delta: A Synthesis* \(Delta Stewardship Council, March 2018\)](#) summarizes climate change stressors such as temperature, precipitation, and hydrologic patterns, frequency of extreme events, and sea level rise. These climate change stressors have the potential to affect the ecosystem of the Delta and the Delta's watershed, and consequently nearby communities.

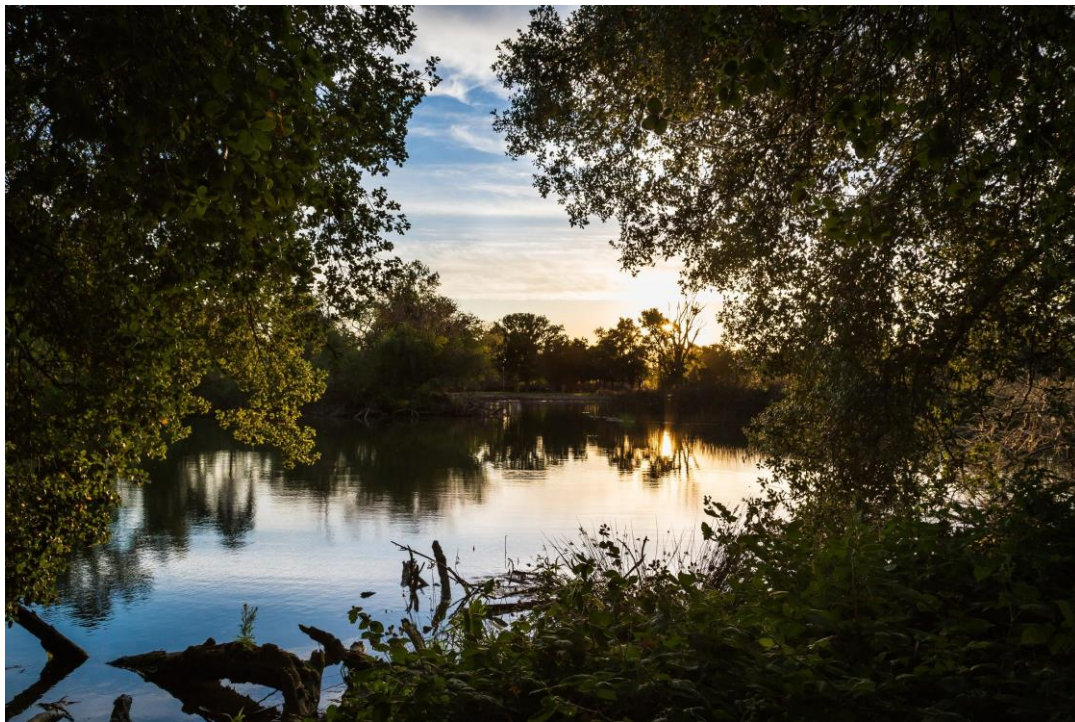
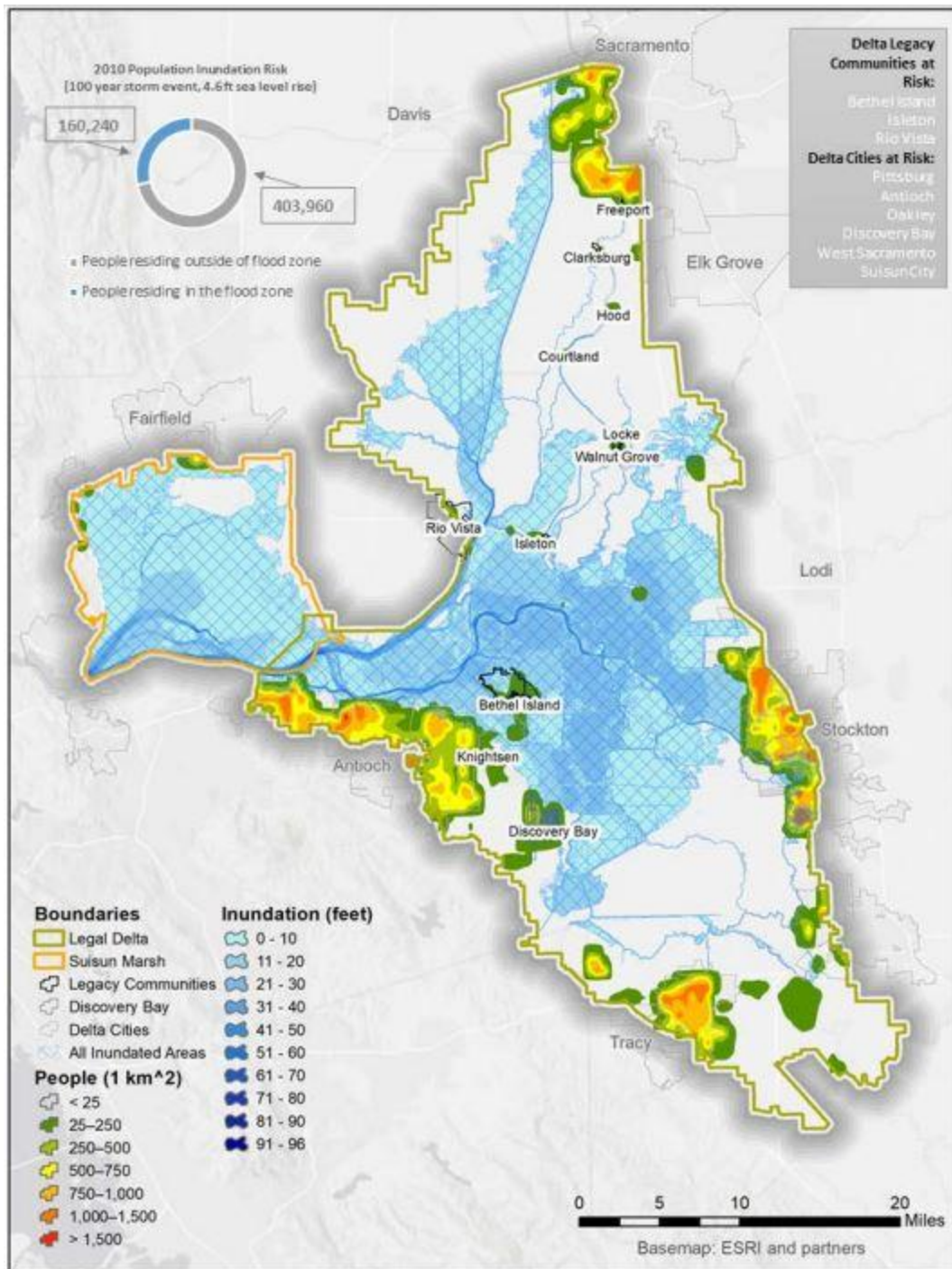


Figure 4: Photo of San Joaquin County Waterway, Mary Hinkle

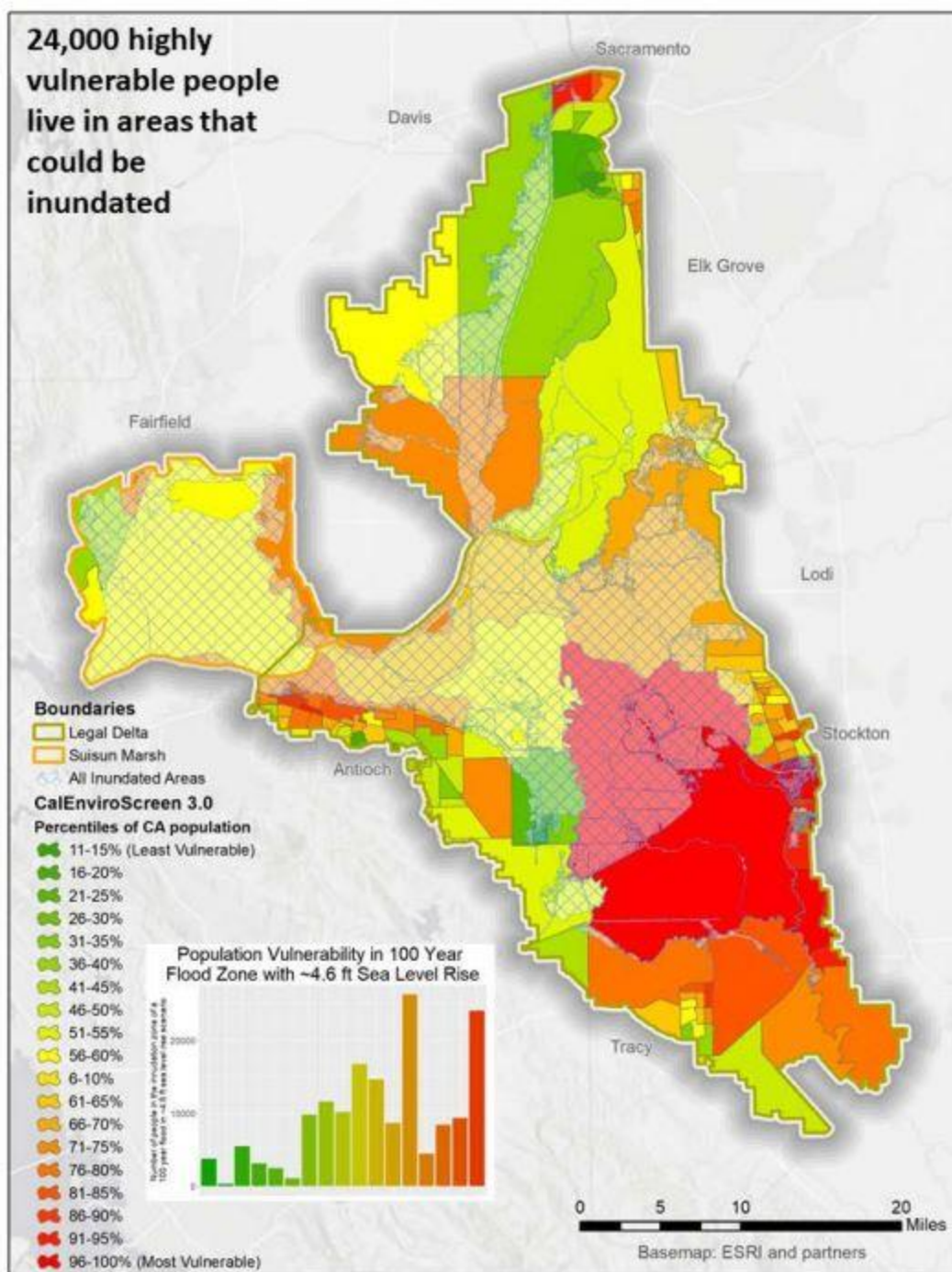
In the next century, the Delta is likely to experience temperatures higher than those at present and warming is expected to be greater in areas farther from the coast. The temperature change in the San Joaquin Valley itself may drive more extreme weather events, but potential coastal sea level rise, higher water flows through the Delta system, and shifting Sierra Nevada precipitation patterns (decreased snowpack, more rain precipitation) may pose the greatest risks to the region. The potential risk of inundation threatens over 160,000 people Delta-wide based on 2010 populations, with the most vulnerable populations residing in San Joaquin County along the western portions of Stockton and Lodi (Figures 5 and 6) (Climate Change and the Delta: A Synthesis, DSC).



Sources: Radke et al 2017; SEDAC 2010; Delta Reform Act 2009; CalTrans 2015; Delta Plan 2013.

Disclaimer: This map reflects a risk-based approach of where inundation could impact human populations currently in the Delta and Suisun Marsh and does not incorporate population growth.

Figure 5: Inundation Risk to Human Populations (Source: Delta Stewardship Council)



Sources: Radtke et al 2017; CalEnviroScreen 3.0.

Disclaimer: This map reflects a risk-based approach of where inundation could impact vulnerable human populations currently in the Delta and Suisun Marsh and does not incorporate any demographic shifts.

Figure 6: Inundation Risk to Vulnerable People (Source: Delta Stewardship Council)

Vulnerability and the State Highway System

Additional data from the ongoing Caltrans District 10 Vulnerability Assessment will also inform regional understanding of climate change impacts to the state highway system. Caltrans is preparing this study concurrently with SJCOG's Phase One Adaptation Study. It is expected that state highway system risks and adaptation strategies will resemble those identified in the 2018 District 4 Vulnerability Assessment, which identifies the need for pavement able to withstand higher temperatures to diminish deterioration, increased ground saturation affecting retaining walls, infrastructure deterioration due to wildfire damage, and disruption to transit routes during these emergencies.

Local and Regional Planning Gaps

These climate change impacts will influence both the local transportation system and regional and local planning efforts (local Climate Action Plans, General Plan updates, and in-advance planning for the SJCOG 2022 RTP/SCS). Many local jurisdictions are studying the effects climate change may have on their communities and local transportation systems, and how to increase resiliency or adapt. While some have tackled climate action planning and have updated General Plans, others have either not done so, have outdated plans, or are updating now. This project will assist local jurisdictions through data sharing, technical assistance, and planning guides and tools -- all designed with their input and guidance -- to aid their efforts.

No comprehensive climate adaptation assessment for the region currently exists, and without such climate resiliency preparations, climate-related hazards would impede the state's overarching goals of assisting already several disadvantaged communities, especially San Joaquin County communities that lie within the threatened Delta region. This project would provide the tools, research, and implementation strategies local jurisdictions and regional entities need to accelerate current ongoing adaptation planning efforts. This vital implementation planning will inform local, regional, and statewide adaptation needs at the nexus of transportation and other priorities. These efforts, in close collaboration with statewide and local progress, will ensure that the San Joaquin region continues its push for transportation resiliency against extreme climate events. As San Joaquin County's regional planning agency, SJCOG can best coordinate existing local efforts, provide a conduit between local and state agencies, and continue its work with neighboring regions. With this project, SJCOG will leverage the regional partnership and provide jurisdictions and agencies input, results, and lessons learned as they work through adaptation planning efforts. Additionally, this funding would coordinate regional transportation planning and adaptation projects across jurisdictions through neighboring regions. Data gathering is crucial, but data and planning documents without robust technical tools, implementation guides, and leadership for action, cannot succeed.

Achieving Adaptation and Resiliency in San Joaquin County



Figure 7: Photo of Escalon Country Road, Susan Platt

According to SB 379, all cities and counties are required by the state to integrate climate adaptation and resiliency strategies into the safety element of their General Plan upon next revision. Because of this requirement, research efforts are happening now - looking at new tools and data for assessing sea-level rise, flood risk analyses, melting snowpack, excess rainfall, and other stressors. In summation, the plans around our county mostly regard the impacts these extreme weather events have on our levee and dam systems. SJCOG will be addressing these efforts and developing recommendations to ensure system-wide resiliency.

Assessing vulnerability to extreme weather changes is important for defining the risks posed by these events and provides information for identifying measures to adapt to the impacts. It enables practitioners and decision makers to identify the most vulnerable areas and assets. This means that adaptation options targeted at specified assets can be developed and implemented. Part of this project's context is built by relying on others throughout the region and the state that have already implemented measures to begin the adaptation process. We turn to the experts invited to join our working group to help us define this study and come up with resilience goals, and eventually recommendations to achieve resiliency in our transportation system.

Phase One is the first step in SJCOG's commitment to addressing federal requirements and planning factors in the most recent RTP guidelines related to the improvement of the resiliency and reliability of the transportation system. A follow-up Phase Two study will be conducted after this Phase One study is finished. This Phase Two study will be an adaptation implementation plan that seeks to further the actionable recommendations of adaptation strategies that come out of the Phase One study. This Phase Two is the critical second step to achieving transportation resiliency in San Joaquin County

Phase One Study Objectives and Deliverables

The Climate Adaptation and Resiliency Study is a climate vulnerability assessment of the transportation system, considering impacts of changing precipitation patterns, flooding, high heat events, and wildfires on transportation infrastructure and subsequent consequences for communities and the region. The top five vulnerable transportation assets will be identified. In addition, the project team has carried out a survey of existing climate action and adaptation plans across the region (many by local governments) which documents the status of these plans and identifies resilience planning gaps for the region.

Work will culminate in recommendations for integrating and prioritizing resilience projects into the next RTP and capital improvement plans. Project findings and recommendations will be shared in a Climate Adaptation Report and Climate Summit that will occur around January of 2020.

PROJECT GOALS



In the first step of this study, ERG clarified project objectives, determined the geographic scope, assets, and possible climate impacts to be addressed within this project. The plan for stakeholder engagement was also set. Before the working group meeting and development of the stakeholder engagement plan, the project goals were defined and established. The goals establish a framework for the study and define the relationship between the Phase One study and the Regional Transportation Plan.

Stakeholder Engagement Plan/Working Group

For this study, SJCOG is relying on a diverse group of stakeholders for project support. Along with our consultant, we have developed a project Working Group (see Table 2) of government experts and key partners in transportation and climate adaptation who vet project methods, data sources, and interim deliverables. At the close of the project, a Regional Climate Change Summit will be organized with a broader group of people active in the adaptation “space” to provide feedback on the Climate Adaptation Report and offer recommendations for moving resilience forward.

What we have heard within our working group is there is a need to make sure solutions identified specifically address the transit dependent communities throughout our county. These communities are the ones that are most impacted by extreme weather events. SJCOG and ERG are using data related to environmental justice and Title VI analysis from the Regional Transportation Plan / Sustainable Communities Strategy (RTP/SCS) for both context and direction.

Table 2: Adaptation and Resiliency Study Working Group Members

Name	Title	Agency
Andrew Schwarz	Supervising Water Resources Engineer	Delta Stewardship Council
Darryl Rutherford	Executive Director	Reinvent South Stockton Coalition
David Kwong	Community Development Director	City of Stockton
Ed Lovell	Management Analyst II	City of Tracy
George Lorente	Grants Manager	San Joaquin Regional Transit District
Greg Showerman	Community Development Director	City of Manteca
Jasmine Leek	Founder and Director	Third City Coalition
Kate Anderson	Senior Environmental Planner	Delta Stewardship Council
Michael Robinson	Associate Transportation Planner	Caltrans
Sarah Rasheed	Executive and Legislative Coordinator	Altamont Corridor Express
Steve Larson	Grants Administration	Port of Stockton
Tammy Alcantor	City Manager	City of Escalon
Kris Balaji	Director	San Joaquin County Public Works
Glenn Gebhardt	City Engineer	City of Lathrop
Megan Aguierre	Senior Planner	San Joaquin County
Ron Elliott	Deputy Director	Stockton Metropolitan Airport
Lynn O'Connor	Chief, Office of System Planning	DOT (Caltrans District 10)
Juan Villanueva	Development and Planning Manager	Port of Stockton
Ken Zuidervart	Planning director	City of Ripon
Vince Hobbs	SJC Citizen	Retired from Fire Department
Paul Herman	Associate Planner	Altamont Corridor Express
Julia Tyack	Transportation Planner	City of Lodi

Resilience Goals

RESILIENCE GOALS

Maintain a multi-modal transportation network to deliver people, goods, and emergency services throughout the county, with a focus on vulnerable populations in floodplains and low-income communities with limited bus services.

Create and maintain redundancy in the transportation system to allow for rerouting during disruptions

Ensure operation of routes supporting evacuation, staging areas, and emergency response.

The project and resilience goals guide the foundation of the study. These goals were developed through feedback received based on priorities at the first working group meeting that occurred in April of this year. Some agencies around the table assisting us with this project include Caltrans, Delta Stewardship Council, SJRTD, representatives of jurisdictions, Third City Coalition, Reinvent South Stockton and several others. The group largely brought to our attention the severe need for system resiliency especially in rural neighborhoods and communities, but also the need for evacuation and emergency response availability. SJCOG and ERG are aiming for an overarching theme of system-wide transportation resiliency throughout San Joaquin County with these goals.

The resilience goals are the framework guiding the study. Once the study is finished, the response to these goals can be used in decision making and leveraged for local planning efforts.

Review and compile climate data and define climate scenarios

After initial data collection, ERG will move into a more comprehensive data collection and vetting process, leveraging the expertise of the working group members and their networks. Having identified the climate impacts and data of interest, ERG will define climate scenarios of interest for the final report and adaptation strategy based on the goals and scope identified by the working group. Best available science will be used, considering a range of potential future conditions.

The scenarios will impact recommendations for the final plan, and the selection needs to consider the interplay between short-term needs and long-term goals, and how timeframes can affect the planning process. To facilitate collaboration with stakeholders, ERG will produce short climate scenario statements that outline selected scenarios, justify their selection, and (simply) describe how the scenarios are built into the exposure analysis. Technical information on the scenarios and threats will be presented graphically. Visuals such as GIS, with well-known

reference points and landmarks, will depict impacts to the transportation system in ways that the public can easily understand.

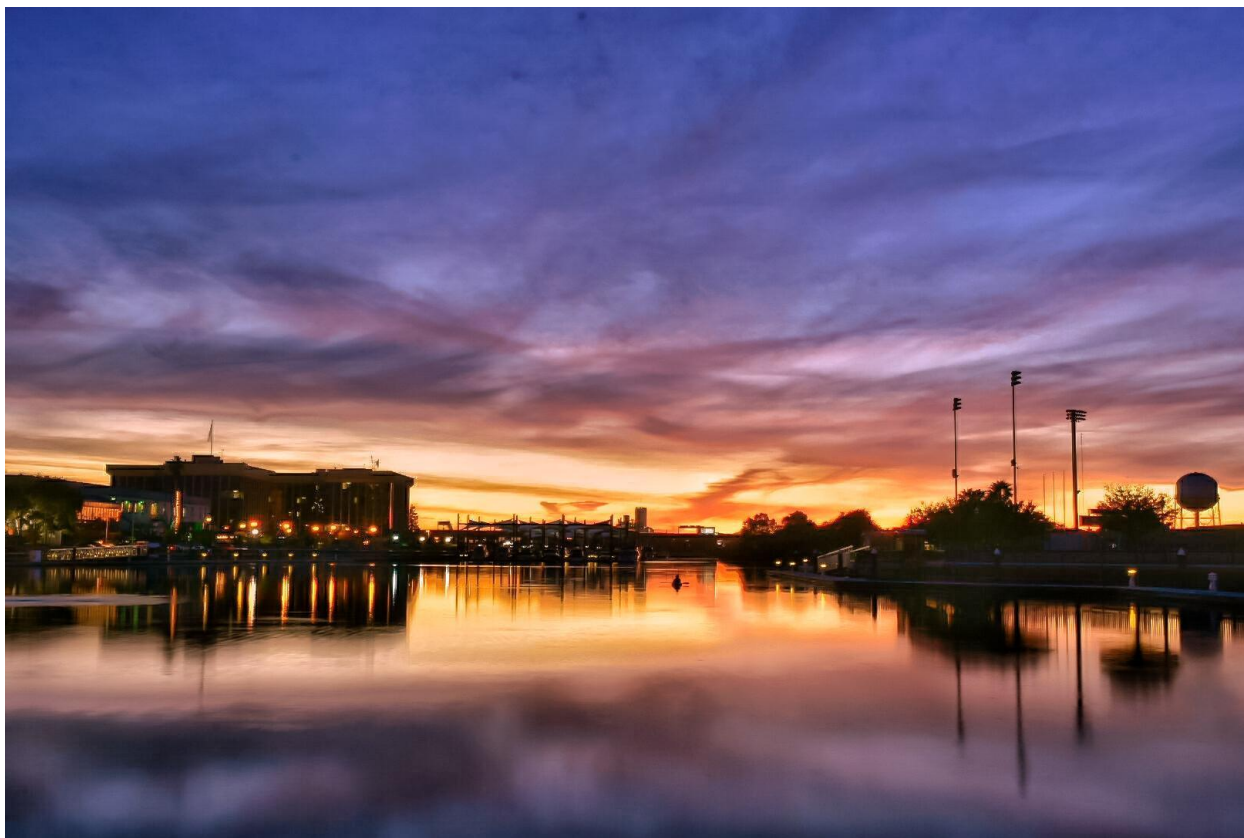


Figure 8: Photo of Stockton Waterfront, Wayne Giles

Existing Conditions and Vulnerability Assessment



Figure 9: (Photo above) Photo of Ace Train

The Vulnerability Assessment is the most important piece of the study as it defines the top five transportation assets that are most affected by extreme weather changes. To prepare for this assessment, an existing conditions report is underway that assesses the baseline information and gaps in exposure of transportation assets to extreme weather impacts. In review for the existing conditions report, ERG will be looking for information that may support the assessment of the transportation system vulnerability, including:

- *Transportation assets in San Joaquin County that have already undergone a climate change vulnerability assessment.* For previously conducted assessments, the aim is to understand which climate impacts the plans did and did not include, and to what extent asset conditions were considered, as well as functions, and governance questions. This will be to pull in existing findings.
- *Climate data applied or referenced.* ERG will ensure that we are aware of the latest, highest-resolution and highest-quality data.
- *Transportation assets already identified as vulnerable.* If a plan labels a transportation asset as vulnerable and uses a county- or region-wide dataset to support that categorization, we will try to track down the data (e.g., culvert health throughout Caltrans District 10). If the asset is identified as vulnerable due to the asset manager's firsthand experience or similarly qualitative knowledge, we will also flag it for integration in our vulnerability assessment.

The transportation vulnerability assessment report will be organized by transportation category—for example, highways, rail (freight and passenger), ports. It will also describe extreme weather impacts on each transportation category and identify existing characteristics of the transportation system that make some segments more vulnerable to climate stressors than others. The draft report will call out specific assets that are highly vulnerable and could result in severe consequences to the region and communities if disrupted.

ERG will seek to identify important trends, such as increased transportation system vulnerability in certain parts of the county or increased impacts on public transit versus roads serving personal vehicles. The report will also provide tables that summarize vulnerability findings by asset and help readers understand which assets face the greatest risks. Table 1 provides an example of what such a report summary table could look like.

Asset Group	Specific Asset	Exposure	Sensitivity	Timing of Exposure	Regional Consequence	Asset Group Overall Vulnerability
Highways	Highway 1	HIGH (precip)	HIGH (precip)	Mid	HIGH	HIGH
	Highway 2	MEDIUM (precip)	HIGH (precip)	Near	HIGH	
	Highway 3	HIGH (fire, heat)	HIGH (fire, heat)	Mid	HIGH	
Trains	Train A	MEDIUM (heat)	LOW (heat)	Mid	MEDIUM	MEDIUM
	Train B	LOW (sea level rise, precip)	MEDIUM (sea level rise, precip)	Mid	MEDIUM	

Table 1: Example summary table from Vulnerability Assessment Report

Final Plan

After receiving feedback on the draft Vulnerability Assessment at the working group meeting, ERG will shift their approach from a transportation vulnerability assessment to a broader community dialogue on forming a regional resilience plan. Together we will identify gaps in current planning and develop recommendations to achieve regional and state adaptation and resiliency goals. We will address key planning gaps such as:

- What areas of the region have not had adequate climate adaptation planning efforts?
- What climate impacts have not been adequately studied to date?
- What transportation assets have not been assessed?

The gaps will be summarized and ranked in terms of their importance to the transportation system's overall integrity. For example, we will rank gaps affecting transportation nodes with high disruption consequences higher than those for transportation nodes that have readily available disruption avoidance options or less serious socioeconomic impacts. Gaps that prevent the region from reaching resilience goals will also be ranked higher than those that do not significantly impact goals.

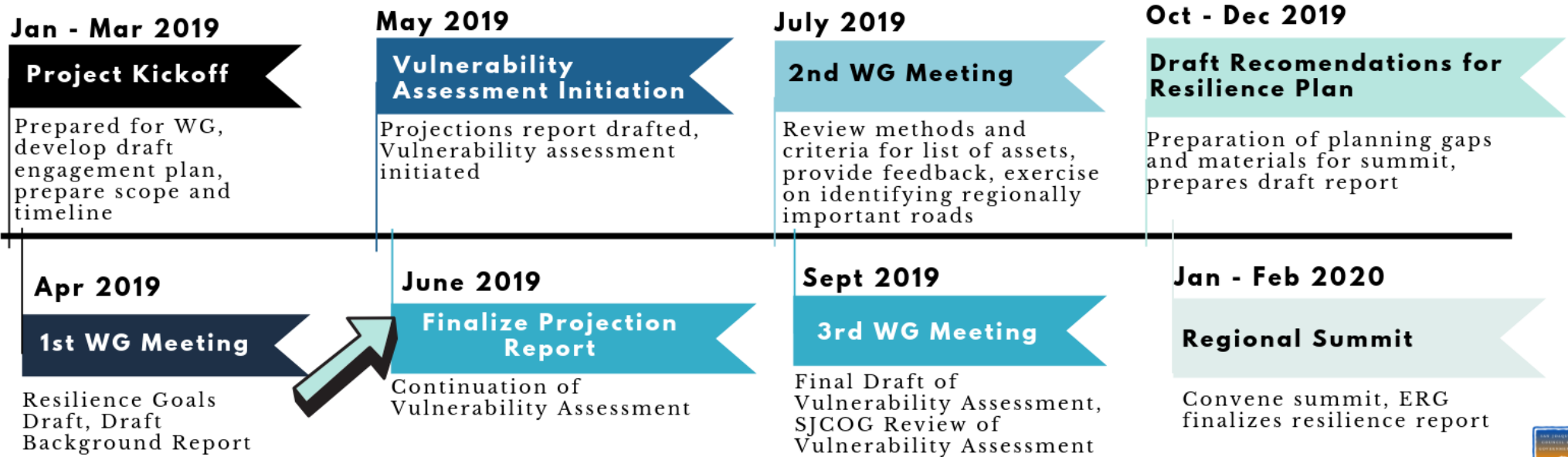
ERG will develop recommendations to fill these gaps and help achieve regional and state climate goals. Both a gap analysis and suggested recommendation summary will be provided in handouts at the regional summit.

Regional Summit

Following the steps outlined in the stakeholder engagement plan, ERG has prepared an initial invitee list (to include all working group members) and outlined a draft agenda for the regional climate change summit. ERG will revisit the summit plans with SJCOG and the working group giving thought to additional groups that may have valuable input given the nature of the planning gaps discussed at the summit.

At the summit, ERG will present a summary of its vulnerability assessment, an overview of predicted changes in climate stressors, and findings on adaptation planning gaps. The summit will serve as a soft-launch of the adaptation and resiliency report and its recommendations for adaptation planning in the county. ERG will frame the findings to be broader than just transportation and will highlight those that point to networked effects and extreme weather impacts to other sectors. We will also discuss needs to similarly assess other major sectors in the county and describe how future assessments will be more doable now that a methodology is in place. Following introductory information, the summit will be organized around engagement exercises that ask participants to provide feedback on a strawman proposal for the Phase Two Regional Resiliency Implementation Plan and Adaptation Guidance and how to move it forward. Finally, ERG will ask participants for input on proposed performance metrics for the plan. Incorporating any comments received at the summit, the report will be finalized.

SB1 Transportation Resiliency Study **TIMELINE OVERVIEW**



Phase Two Study and Deliverables

Based on the Phase One results and recommendations, SJCOG will create a Regional Resiliency Implementation Plan and Adaptation Guidance. The comprehensive regional implementation plan will preserve San Joaquin County's vital transportation assets from extreme weather events such as increased precipitation patterns, flooding, wildfire, extreme heat events, and sea level rise. This implementation plan will also address the unique risks and vulnerabilities identified by the Phase one study and other regional vulnerability assessments. The plan will strengthen cross-sectional partnerships, including transportation partners (cities, Port of Stockton, Stockton Metropolitan airport, transit providers) and community stakeholder groups. Additionally, the plan will focus on the region's disadvantaged and vulnerable populations' specific needs. Plan deliverables include risk assessment tools and an implementation guide to inform future policy. These deliverables will fully integrate resiliency and adaptation into SJCOG's planning and programming activities. The Phase Two study will be delivered through a recently awarded \$200,000 Caltrans competitive Adaptation Planning grant.

Project Objectives

The objective of the Regional Resiliency Implementation Plan and Adaptation Guidance is to take the data and recommendations from the Phase One Climate Adaptation and Resiliency study and develop a plan that will provide the framework and tools to address the previously identified asset vulnerabilities, planning gaps, and any functional or governance hindrances to advancing projects and programs to increase climate resiliency in the county. The final deliverables will include data evaluation tools and an adaptation planning implementation guide. This planning guide will prioritize policy statements and specific implementation actions to be taken based on an overall level and timing of risk, cost of implementation, and the likelihood of successful implementation. Specific project objectives are:

- Carry forward the data, vulnerability assessment, and implementation recommendations of SJCOG's on-going Phase One study to create a shared understanding between local, regional, and state agencies of adaptation planning needs in San Joaquin County
- Provide a focus on disadvantaged communities to ensure their needs are met and prioritized
- Provide a variety of tools for local and regional adaptation efforts to both ensure consistent approaches and methods for project development, but also recognize that communities will have different needs and capacity
- Strengthen existing collaboration and partnerships around climate impacts – and bring in new state and community partners as appropriate

- Expand SJCOG's role as a source of technical assistance and up-to-date information, guidance, and leadership for county-wide integration of resilience for member agencies, stakeholders, and the public
- Ensure local jurisdictions and other partners have the technical tools needed to consider expected climate impacts on transportation infrastructure

Deliverables

Needs Assessment and Engagement

The Vulnerability Assessment from SJCOG's Phase One study, applicable outcomes from the ongoing Caltrans District 10 Vulnerability Assessment, and outcomes from the Delta Stewardship Council's Vulnerability Assessment for San Joaquin's Delta region will be synthesized in this needs assessment. The deliverables reflect a more in-depth look at the data and solutions for implementation. SJCOG and working group members will participate together in a workshop to develop the outcomes and objectives for the Regional Resiliency Implementation Plan and Adaptation Guidance. This includes assessing the outcomes and actionable items from the Phase One study. Together, we will identify missing and critical information needed from jurisdictions, regional transportation asset managers, and stakeholders.

Once we have identified the objectives and outcomes, SJCOG and the selected consultant will then develop a needs assessment protocol (Figure 10) that will help us better understand any local barriers to moving regional adaptation and resiliency planning forward. The needs could range among additional research, data, staff capacity, case studies or evaluation tools. The needs assessment will assist us in identifying gaps that could impede our ability to respond to climate stressors and will help to inform local, regional, and statewide planning efforts (e.g. mitigation plan updates, climate action plans, General Plan updates, or regional planning documents).

This study will have a focus on engagement with both local and regional partners and community residents. SJCOG and the selected consultant will engage with the community and collect surveys regarding their priorities. SJCOG and the selected consultant will conduct focused interviews with regional asset managers, jurisdictional staff and other stakeholders to understand the potential co-benefits of local needs and to help identify local resources and case studies. The answers and responses from these interviews will comprise a survey for the community engagement where we will collect the priorities of San Joaquin County residents.

Once we've received the input from both the community residents and local and regional stakeholders, a Regional Needs Assessment Report will be written that captures the adaptation planning needs of San Joaquin County. This report may also include research relevant to future studies or planning activities that will support local decision-making and policy changes.

Implementation Priorities

SJCOG will work with the selected consultant to develop a prioritization protocol which will allow each option to be evaluated through a list of pre-determined priorities.

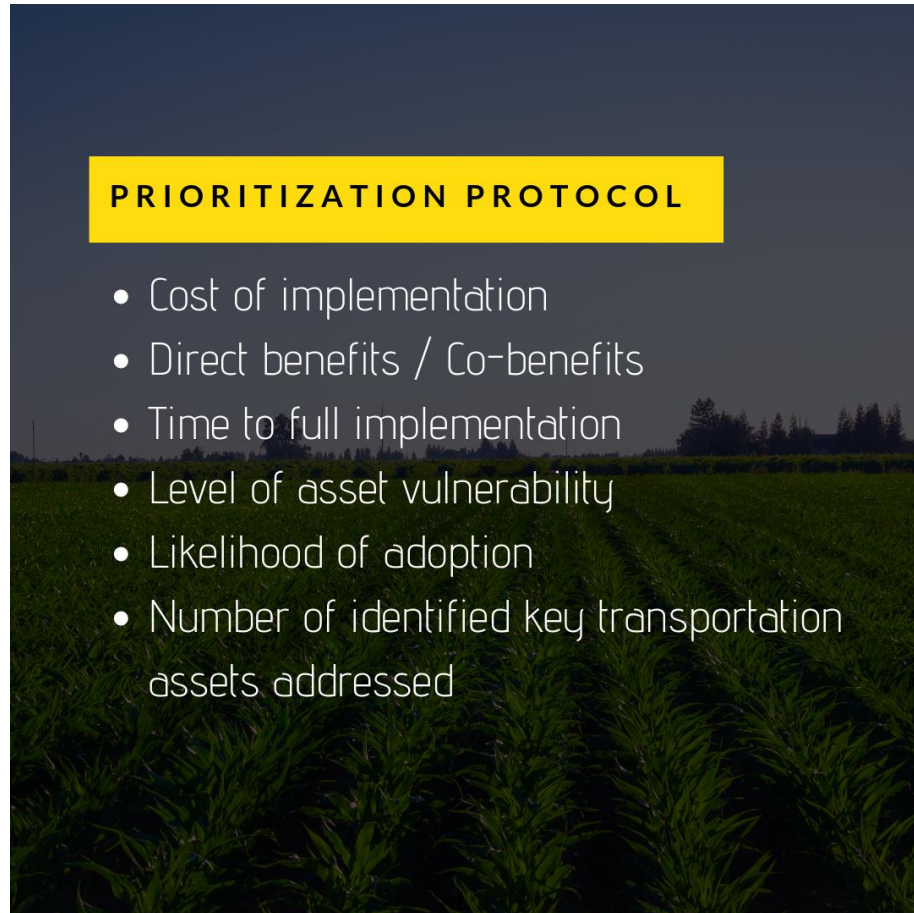


Figure 10: Prioritization Protocol as established by the Phase Two Scope of Work

Once the protocol is established, SJCOG will host a workshop to receive feedback on the list of resiliency solutions and prioritization. We will ask the attendees about their own planning gaps, barriers, and projects that will advance resiliency implementation in San Joaquin County. We will then develop a finalized prioritization protocol matrix (Figure 10) with implementation actions and a technical report describing the priorities in resiliency implementation.

Regional Resiliency Implementation Plan and Adaptation Guidance

Finally, the Regional Resiliency Implementation Plan and Adaptation Guidance will be composed based on the final list of strategies and actions for inclusion. The contents of the draft may change, but is set to be the following:

- Introduction to include a summary of previous work completed and the purpose of the plan
- A summary of the process of the plan development
- A description of each strategy or action, the time from implementation, expected co-benefits, and implementation level (state, local, regional) - cross-referenced by transportation asset type and climate vulnerability addressed.

We will take the draft document to our working group members and stakeholders for another workshop and will discuss the needs of an online toolkit or web-based data portal. We will also discuss next steps and strategies for implementation tracking.

Along with the document, a web-based data portal (Figure 11) will be developed that is meant for tracking adaptation and implementation. This data portal is expected to have the final plan and data downloads, and best practices examples for projects and programs.

California Climate Strategy

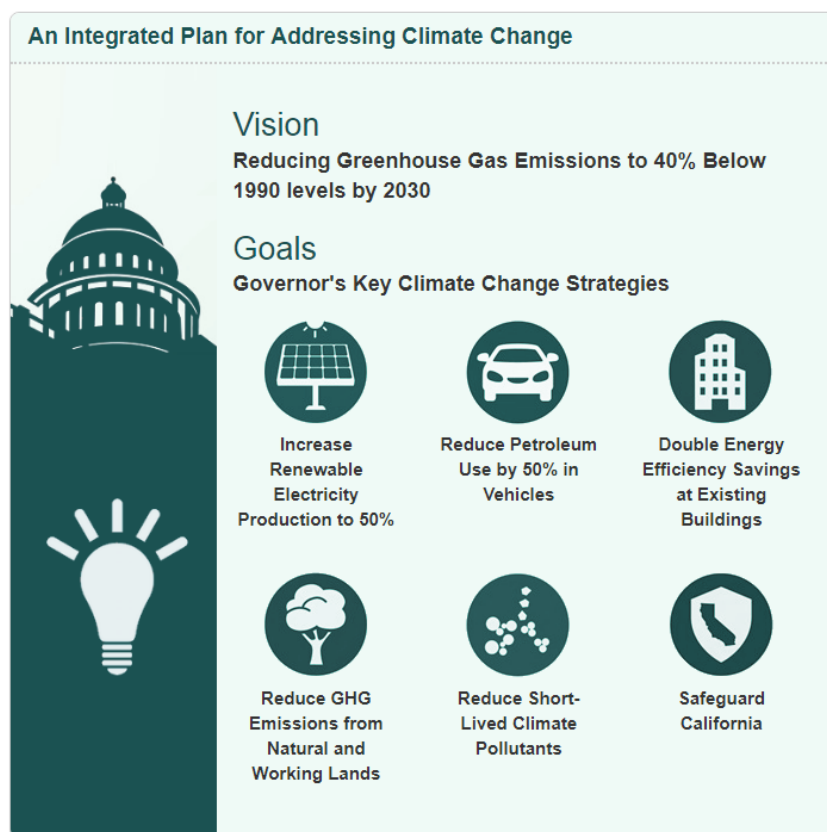


Figure 11: Example of web-based portal from the California Climate Change website climatechange.ca.gov

Examples from Other Regions

To meet new requirements and ensure future resiliency, many MPOs and regional planning agencies across the nation have begun plans to adapt their transportation systems and make them resilient to future environmental changes. Adaptation and resilience, although commonly used in partnership with one another in transportation planning, have different implications during planning and implementation processes. In practice, adaptation is the adjustment of transportation assets to new conditions. In this scenario, those new conditions are environmental changes that impact the functionality and efficiency of assets. While making these adaptations, it is essential that assets are made to be resilient: able to withstand and recover quickly from difficult conditions. When predictable or unpredictable future events impact transportation assets, they can quickly be restored to provide their intended services. Resilient transportation systems provide a foundation for a resilient community, empowering many activities of modern society. And although there are many potential future climate scenarios, some more impactful than others, all are likely to require some degree of adaptation.

Many state agencies—such as the California Coastal Commission (CCC), the California Energy Commission (CEC), and the California Department of Water Resources (DWR)—have developed approaches for understanding and assessing the potential impacts of a changing climate on California’s built environment. In California, there are a few general climate trends expected that evoke the need for transportation adaptation: rising sea levels, coastal erosions, increased temperatures, and more frequent heat waves as well as more severe wildfire seasons (Caltrans Climate Change Vulnerability Assessments: District 4 Technical Report). In response, Caltrans has planned, initiated or completed Climate Change Vulnerability Assessments across all 12 districts (Figure 12). The assessments identify and define the elements and locations of the highway system that may be exposed to changing environmental conditions and estimate the timing of these expected impacts, so they can be properly planned for and prioritized.



Figure 12: Caltrans Climate Change Vulnerability Assessment Key Elements

For example, the District 4 assessment found that an evaluation of US Route 101 near Corte Madera Creek in Marin County suggests that a sea level rise of 1.0 meter coupled with storm surges will frequently inundate portions of the roadway and flood the creek and Corte Madera Creek Bridge. Causing damage to the bridge in multiple ways (Caltrans Climate Change Vulnerability Assessment Summary Report: District 4). This finding indicates the need for a

vulnerability review by engineers of the current bridge and may lead to adaptation changes that are prioritized to be completed before this environmental change is estimated to occur.

The Sacramento Area Council of Governments (SACOG) completed a Regional Transportation Climate Action Plan in 2015 that takes previously studied climate change possibilities and applies their assumed impacts on the current transportation system. Using a Technical Advisory Committee (TAC), stakeholders were engaged to identify the most critical transportation assets and the potential damage done by potential climate risks. Transportation assets are categorized into nine areas: roadways, railways, bridges, walking and biking, drainage, traffic flow, public transit, buildings and facilities, and traffic controls. Focusing on four climate risk areas: extreme temperatures, precipitation, wildfire, and landslides; their consequences on the different assets are categorized into one of four damage classifications ranging from high likelihood of damage to low likelihood or no consequence.

After assessing the potential damage done under the four climate risk areas on these transportation assets, adaptation plans for each asset were created. Adaptation strategies fall into one of four categories. First, maintain and manage, enhancing policies and emergency response plans to improve severe event preparedness. Second, strengthen and protect; retrofit existing infrastructure and build new structures that better withstand extreme climate events. Or third, enhancing redundancy: creating alternatives to vulnerable transportation routes using alternative means of transportation. Or finally, retreat: relocate or abandon infrastructure located in highly vulnerable areas. Creating an adaptation framework for all vulnerable transportation assets that can then be included in any future policy, funding, or long-range planning decisions. Helping to ensure that Sacramento's transportation assets are resilient to any future climate consequences.

The Metropolitan Transportation Commission (MTC) has completed a series of projects to understand the vulnerability of sea level rise inundation and storm event flooding on their transportation infrastructure. The region has been dealing with the current challenge of upgrading and seismically retrofitting aging infrastructure but MTC also recognizes that these systems were not designed to be resilient to changes to precipitation, temperature, and increased flooding due to sea level rise. Called Adapting to Rising Tides (ART), their methods will be implemented throughout SJCOG's Climate Adaptation and Resiliency Study.

The ART process emphasizes convening and closely collaborating with a stakeholder working group representing the diverse values, viewpoints, and responsibilities relevant to the vulnerable asset assessment. The assets they reviewed were interstates and highways, passenger and cargo rail, BART, walking and biking trails, and transit services as well as priority development areas, and priority conservation areas. They also included community members with characteristics that make them more vulnerable to flooding in the assessment process.



Figure 13: Metropolitan Planning Commission, Adapting to Rising Tides Planning Process

After completing an inventory of all their assets, the climate impacts study details the flooding inundation map and overtopping analysis of their previously identified assets. The subsequent risk assessment identifies the vulnerability of assets to different levels of sea level rise and flooding. Adaptation measures are then created with the use of risk profiles: ranking the assets level of prioritization based on its level of exposure to climate forces, sensitivity to climate stressors, adaptation capacity, the consequences if it is permanently or temporarily out of use, and two other measurements specific to ocean shore changes. Suitable adaptation measures that reduce the risk of inundation from sea level rise combined with the risk profiles will then facilitate the prioritization of projects. The ART project recognizes that adaptation will come from multiple areas, whether they be asset specific, region-wide or policy-oriented and those collaborative partnerships will be vital in achieving adaptation and resilience.

Outside of MPO's, private entities are also investing funding in creating resilient communities. The [100 Resilient Cities](#) project supports the adoption and incorporation of resilience that includes not just shocks—earthquakes, fires, floods, etc.—but also the stressors that weaken the fabric of a city on a day to day or cyclical basis. By funding positions in local government that focus on building resilient efforts, collaboration between many partners is utilized to improve responses to future challenges. Better responding to adverse events and better able to deliver basic functions in both good times and bad, to all populations.

In their urban resilience framework, infrastructure and environment are a key part of the community system. Man-made and natural systems provide critical services, protect, and connect urban assets enabling the flow of goods, services, and knowledge. Therefore, the maintenance of these assets so they can ensure continuity of critical services and provide reliable mobility and communication are essential. To aid in achieving resilience, 100 Resilient

Cities partners and employees work to integrate resilience and adaptation frameworks into planning, development and funding decisions made by local governments.

Preparing for Extreme Weather Impacts to Transportation Systems: Adaptation Planning in San Joaquin County

The following summarizes adaptation planning directly and indirectly targeted at transportation infrastructure in San Joaquin County. The research includes a review of adaptation plans by the county, regional and state agencies, cities, and transportation managers. In cities where climate change adaptation planning has been limited, this section also summarizes hazard mitigation plans, General Plan safety elements, and related plans given that adaptation planning and hazard mitigation are closely linked.

Adaptation planning at the county-scale

1. [San Joaquin County Climate Change and Health Profile Report](#) (2017): This report, produced by the CA Department of Public Health and UC Davis, considers health impacts of climate change in the county and evaluates specific subgroups that expected to be most vulnerable (e.g. very young, very old). While it does not evaluate risks to specific transportation assets, the report highlights that climate-related extreme weather events can damage roads and impede access by emergency responders and health care personnel.
2. [San Joaquin County Emergency Operation Plan](#) (2019): The goal of this plan is to create an incident management structure and flexible platform for planning and responding to all hazards, incidents, events, and emergencies. Climate change is identified as one hazard facing the County. The plan identifies flood/levee break/dam failure, drought, excessive heat, and climate change as among about a dozen threats and hazards most likely to occur. Regarding climate change specifically, the plan discusses how changing patterns of melting snowpack and rainfall could stress the levee system and dams around the County.

The plan calls out the need to provide services to transit-dependent populations before, during, and after an incident. It describes County Office of Emergency Services (primary) and Public Works (secondary) responsibilities for monitoring, identifying alternative routes, and coordinating recovery of transportation assets and providers should transportation systems be damaged. The plan identifies Interstate 5, 205, 580 and Highways 99, 12, 88, 4, 120, 132, and 26 as possible evacuation routes.

Several of the subject-specific annexes to the plan are still being finalized. The following hazard annexes are currently available:

- a. **Extreme Heat (2018):** Identifies actions and division of responsibility for ensuring vulnerable populations have transportation access to Cooling Centers. It also highlights potential impacts of extreme heat on the transportation system and utilities.
- b. **Flood and Dam Failure Hazard Annex (2019):** The annex is focused on how agencies will coordinate in the event of a flood. Flood zones are defined by the FEMA 100-yr and 500-yr flood plains, noting that high-use highways and roadways are included in the flood plain. The FEMA defined floodplains do not include future climate change projections.

3. [San Joaquin County General Plan](#) (2016): The Public Health and Safety element of the General Plan describes emergency response to natural hazard risks, including flooding, earthquakes, and liquefaction. The Public Health and Safety element of the General Plan aims to maintain efficient emergency response in the face of disasters and protect the County from potential effects of climate change. Four County communities (Bellota, Clements, Linden, and Lockeford) are identified as communities at risk for wildland fire. The Plan includes an Appendix focused on Sustainability Policies and Programs. Besides GHG reduction programs, the appendix calls for a range of climate adaptation programs. For example, the appendix calls for creation of a County program to monitor climate impacts and implement adaptive management strategies as well as a range of plans related to levee maintenance, multi-purpose flood control projects, and emergency flood response.
4. [Regional Transportation Plan/Sustainable Communities Strategies \(RTP/SCS\)](#) (2018). The RTP/SCS identifies transportation infrastructure durability and resiliency as a priority and indicates that SJCOG will be partnering with local jurisdictions to ensure that the region is prepared for climate change impacts and other natural hazards. The plan notes that regional resiliency to climate impacts will be achieved not only through resilient transportation investment, but also through increasing affordable housing availability, encouraging sustainable land use planning to reduce farmland loss, and investing in sustainable transportation modes. The RTP/SCS explains that local agency climate action plans are instrumental in these activities. The RTP/SCS will push forward adaptation planning efforts in the region by supporting a series of studies including the SJCOG Climate Adaptation and Resiliency Study.

Figure 14: Photo of Jahant Road, Mary Hinkle



Adaptation planning beyond the County-scale:

1. **Delta Regional Climate Change Vulnerability Assessment and Adaptation Strategy** (in progress): The Strategy will provide critical support to the Council to improve understanding of regionally specific climate change risks and address how Sacramento-San Joaquin Delta communities, infrastructure, and the ecosystem can adapt to future conditions. Phase One is focused on assessing vulnerability of Delta assets to climate impacts including changing precipitation and runoff patterns, air and water temperature, and sea level rise. In the adaptation phase (Phase Two), the project will evaluate alternative responses that could be implemented in the Delta region or elsewhere. For each recommended strategy, the project will include a general assessment of costs and benefits, governance, and opportunities for Council action and leadership
2. [**Central Valley Flood Protection Plan \(CVFPP\)**](#) (2017): This update to the original 2012 plan refines the overall near-term and long-term investment needs and includes recommendations on policies and financing to support comprehensive flood risk management actions locally, regionally, and system-wide. Key updates to the plan include significant State investment in levees and other flood risk reduction improvements to protect major urban areas and levee improvements and non-structural flood control improvements for small communities. Changes for rural areas include construction of all-weather access roads on top of rural levees and repair of identified weak spots in the levees. Other changes focus on improving operations and maintenance of the flood control system and better-coordinating releases from large reservoirs. The plan works toward 200-year flood protection for urban areas. In identifying flood risk and required upgrades to levees and reservoirs, the plan draws on models of the systems under projected climate change given changing hydrology and sea level rise.
3. **Caltrans District 10 Vulnerability Assessment (in progress)**: The assessment identifies potential exposure of the District 10 California State Highway System and other Caltrans assets to future changes in climate. Caltrans will use the vulnerability assessment to inform a subsequent adaptation plan.

Summary: Several existing County plans call out the need for the County to adapt to a changing climate and protect transportation infrastructure from natural hazards and climate stressors. The importance of maintaining transportation systems for emergency operations is repeatedly stressed though only the Emergency Operations Plan calls out specific routes to be prioritized: interstate 5, 205, 580 and highways 99, 12, 88, 4, 120, 132, and 26 as possible evacuation routes. To date, several County plans have looked closely at flood risk in the county, with the CVFPP going into great depth. The Delta Regional Climate Change Vulnerability Assessment and Caltrans District 10 Vulnerability Assessment (in progress) will be the first at the County scale (or beyond) to look at exposure to a range of climate change impacts.

Adaptation Planning at the City-Level (within San Joaquin County)

Cities in San Joaquin County have undertaken limited planning work to assess their vulnerability to the full range of climate impacts and comprehensively integrate adaptation into their General Plan, climate action or resiliency plan, or similar documents. That said, the City of Stockton has committed to a comprehensive climate change vulnerability assessment and adaptation planning process in the future. The cities and county have already undertaken a considerable effort to understand their flood risk, especially under 200-year flood conditions in urban areas to meet requirements of SB 5 (City of Stockton, Community Development). As shown in Table 3, 200-year flood protection is being integrated into General Plan amendments. In addition, cities, the County, and reclamation districts are collaborating to address the 200-year flood protection requirement in reclamation districts (RD) of overlapping authority. For example, the County and cities of Stockton, Lathrop, and Manteca have entered a Memorandum of Understanding to collaborate on levee improvements in RD 17. Though the 200-year flood protection requirement does not require modeling of climate change impacts, DWR recommends this. See Table 3 for context.

*Note for Table 3: The natural hazards described in these plans are likely directly or indirectly connected to climate change (i.e., change in magnitude/frequency). However, they are identified separately if the plan does not make a connection to climate change, nor does it anticipate how these hazards may change over time.

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Table 3: SJC Plans Review

City	Plan	Climate Change Impacts Explicitly Identified and Considered?	Current Natural Hazards Addressed (though not assessed in terms of climate change) *	Key transportation adaptation projects highlighted? Implemented?	Additional Notes
Escalon	General Plan (2005, updated 2010)	Plan calls on City to coordinate with regional agencies on transportation and climate change impact projects.	Wildfire, flooding, seismic hazards	Plans calls for city to establish a network of streets to improve emergency vehicle access.	
Lathrop	Comprehensive General Plan (2004)	No	Flooding, seismic hazards Detailed descriptions of flood control and levee improvement plans with a focus on meeting FEMA 100-year flood protection.	Discussion of locating the ACE train at Stewart Tract	

Lathrop	General Plan Amendment of 2015: SB 5 200-Year Flood Protection	To some extent. Calls out actions to consider climate change in planning, design, and maintenance of levees and flood control. Climate impacts are not quantified in this document.	N/A		This amendment addressed new “Urban Level of Flood Protection” requirements (200-year protection in urban areas) that were established since the last General Plan Update.
Lodi	Climate Action Plan (2014)	No	No. Plan is focused on GHG emissions reduction.	Calls for more telecommuting (intended to reduce GHGs)—this has the co-benefit of helping the community adapt if transport is interrupted.	Strong focus on expanded transit.
Manteca	Climate Action Plan (2013)	Yes, explains need to plan for wildfire and flood risk given climate impacts.	N/A	N/A	The plan states that at time of publication, there were no studies indicating increased flood risk in Manteca due to climate change (though plan notes that the science could change).

Manteca	General Plan (2010)	No	Flooding, seismic hazards	N/A	SR120/McKinley Avenue Interchange Project begins construction this year
Ripon	General Plan (2004)	No	Wildfire, flooding	N/A	
Stockton	General Plan: Envision Stockton 2040 (2018)	To some extent. Calls for a comprehensive climate change vulnerability assessment upon next revision of the City's Local Hazard Mitigation Plan to inform development of adaptation and resilience policies.	Wildfire, seismic, flooding.		Includes plans to provide "Urban Level of Flood Protection" (200-year protection in urban areas)
Stockton	Climate Action Plan (2014)	No.	No.	N/A	Strong focus on expanded transit.
Tracy	Sustainability Action Plan (2011)	No.	No.	N/A	26 actions to encourage transit and walking and reduce vehicle miles traveled.

Tracy	Tracy Local Hazard Mitigation Plan (update in process)	No.	Flooding, wildfires, drought, extreme heat, seismic hazards.	N/A	Calls for improvements to specific levees. Identifies an area southwest of the city with high fire risk (due to a history of fires).
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Adaptation Planning Outside-County Boundaries:

1. [BART Sustainability Action Plan](#) (2017): Assesses the BART system's vulnerability to extreme weather and future climate impacts and outlines strategies to address these vulnerabilities across the system.
2. [BART Sea Level Rise and Flooding Resiliency Study](#) (ongoing): This study provides a more detailed assessment of sea level rise and flood vulnerability of a set of BART assets already flagged as facing higher flood risk. The study will cause plans and strategies to address these vulnerabilities.
3. [Capital Corridor Alviso Wetland Railroad Adaptation Alternatives Study](#) (in progress): This study evaluates sea level rise adaptation alternatives for railroad tracks in the Alviso wetland to improve resilience of railroad infrastructure, enhance habitat restoration, and ensure that such infrastructure can support plans for increased train capacity.
4. [Sacramento Regional Transportation Climate Adaptation Plan](#) (2015): This work started with a high-level climate change vulnerability assessment and led to an adaptation plan for the region's transportation infrastructure (also high-level). The plan is a framework to guide future adaptation work and inform planning for transportation investments.
5. [Sacramento Transportation Project-Level Climate Adaptation Strategies for the Sacramento Region](#) (in progress): Building on the 2015 plan, this work will conduct a more detailed climate change vulnerability assessment for the transportation system and specific adaptation strategies. Outcomes from this project will include policies in SACOG's MTP/SCS that specifically address climate impacts to the transportation network and strategies to ensure its resiliency. Outcomes will also include the integration of climate adaptation-related selection criteria into SACOG's biennial transportation funding programs.
6. [Caltrans District 4 Vulnerability Assessment \(2018\)](#): The assessment identifies potential exposure of the District 4 California State Highway System (San Francisco Bay Area) and other Caltrans assets to future changes in climate. The assessment considers sea level rise, storm surge, extreme precipitation, temperature change, and wildfires. Caltrans will use the vulnerability assessment to inform a subsequent adaptation plan. This work resulted in a public-facing summary document and a technical background report.

In neighboring counties, there are examples of detailed studies of transportation system vulnerability and adaptation planning, with some of these studies complete and other ongoing. These neighboring projects can serve as a source of lessons learned for designing, carrying out, and building momentum for this work.

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AGENDA ITEM **8A**



June 2019
SJCOG Board

STAFF REPORT

SUBJECT: Election of Officers for 2019-20

RECOMMENDED ACTION: Motion to Nominate Mayor Pro Tem Doug Kuehne as Chair and Councilmember Jesus Andrade as Vice Chair for Fiscal Year 2019-20

DISCUSSION:

By policy, the San Joaquin Council of Governments has adopted a rotation of its officers. For 2019-20 that rotation looks like this:

1. County of San Joaquin
2. City of Tracy
3. City of Lodi – Chair
4. City of Stockton – Vice Chair
5. City of Ripon
6. County of San Joaquin
7. City of Escalon
8. City of Lathrop
9. City of Stockton
10. City of Manteca

This rotation has occasionally had to be adjusted to account for term limits and election results, but the procedure has remained in place for 15 years.

Out of this, the Executive Committee has been composed of the jurisdictions surrounding the Chair position. As a result, Supervisor Miller, and Mayor Rickman as past chairs would serve on the Executive Committee. Mayor Pro Tem Kuehne would serve as chair. Councilmember Andrade would serve as vice chair. Mayor Zuber would move from an alternate to a full voting member of the Executive Committee. One of the two San Joaquin County Supervisors would serve as the alternate. Either Supervisor Winn or Elliott would fill that position.

By policy, the County of San Joaquin and the City of Stockton always have a seat on the Executive Committee. The other cities have a term on the Executive Committee for five years.

The term of office for the chair and vice chair is one year with the assumption that the vice chair would succeed as chair in 2020-21.

RECOMMENDATION:

Motion to Nominate Mayor Pro Tem Doug Kuehne as Chair and Councilmember Jesus Andrade as Vice Chair for Fiscal Year 2019-20

Prepared by: Andrew Chesley, Executive Director