

Napa Valley Transportation Authority

625 Burnell Street
Napa, CA 94559



Agenda - Final

Wednesday, January 16, 2019
1:30 PM

NVTA Conference Room

NVTA Board of Directors

All materials relating to an agenda item for an open session of a regular meeting of the NVTA Board of Directors are posted on the NVTA website at <https://nctpa.legistar.com/Calendar.aspx> at least 72 hours prior to the meeting and will be available for public inspection, on and after at the time of such distribution, in the office of the Secretary of the NVTA Board of Directors, 625 Burnell Street, Napa, California 94559, Monday through Friday, between the hours of 8:00 a.m. and 4:30 p.m., except for NVTA Holidays. Materials distributed to the present members of the Board at the meeting will be available for public inspection at the public meeting if prepared by the members of the NVTA Board or staff and after the public meeting if prepared by some other person. Availability of materials related to agenda items for public inspection does not include materials which are exempt from public disclosure under Government Code sections 6253.5, 6254, 6254.3, 6254.7, 6254.15, 6254.16, or 6254.22.

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

This Agenda shall be made available upon request in alternate formats to persons with a disability. Persons requesting a disability-related modification or accommodation should contact Karrie Sanderlin, NVTA Board Secretary, at (707) 259-8633 during regular business hours, at least 48 hours prior to the time of the meeting.

This Agenda may also be viewed online by visiting the NVTA website <https://legistar.com/Calendar.aspx>

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

1. Call to Order
2. Pledge of Allegiance
3. Roll Call
4. Adoption of the Agenda
5. Public Comment
6. Chairperson's, Board Members', Metropolitan Transportation Commissioner's, and Association of Bay Area Governments Update
7. Director's Update
8. Caltrans' Update

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

9. CONSENT AGENDA ITEMS (9.1 - 9.4)

- 9.1 **Meeting Minutes of November 16, 2018 (Karrie Sanderlin) (Pages 10-15)**

Recommendation: Board action will approve the meeting minutes of November 16, 2018.

Estimated Time: 1:45 p.m.

Attachments: [Draft Minutes](#)

- 9.2 **Second Amendment to Napa Valley Transportation Authority (NVTA) Agreement No. 17-07 with DoubleMap Incorporated (Matthew Wilcox) (Pages 16-27)**

Recommendation: Board action will approve the Second Amendment to NVTA Agreement No. 17-07 with DoubleMap Incorporated for additional Scope of Work in an amount not to exceed \$63,711.

Estimated Time: 1:45 p.m.

Attachments: [Staff Report](#)

9.3 Approval of Resolution No. 19-01 Adopting the Revised Napa Valley Transportation Authority (NVTA) Title VI Program Policy for Fiscal Years 2017-2019 (Rebecca Schenck) (Pages 28-93)

Recommendation: Board action will approve the revised Title VI Program Policy for FY 2017-2018.

Estimated Time: 1:45 p.m.

Attachments: [Staff Report](#)

9.4 Active Transportation Advisory Committee (ATAC) Member Appointment (Diana Meehan) (Pages 94-100)

Recommendation: Board action will approve the appointment of Frances Knapczyk as representative for the City of Napa to the NVTA ATAC.

Estimated Time: 1:45 p.m.

Attachments: [Staff Report](#)

10. REGULAR AGENDA ITEMS

10.1 Annual Financial Statement with Independent Auditor's Report for the Years Ended June 30, 2018 and 2017 and Single Audit Report of Uniform Guidance (Antonio Onorato) (Pages 101-195)

Recommendation: Board action will (1) Accept and file the Financial Statements with Independent Auditor's Report for Fiscal Years Ending June 30, 2018 and 2017 and the NVTA Single Audit Report of the Uniform Guidance (formerly Office of Management and Budget (OMB) Circular A-133) for the Year Ended June 30, 2018, and (2) Return an allocation surplus of \$1,598,602 to the Local Transportation Fund (LTF) Trust Fund administered by the Metropolitan Transportation Commission.

Estimated Time: 1:45 p.m.

Attachments: [Staff Report](#)

10.2 Vine Service Update (Matthew Wilcox) (Pages 196-218)

Recommendation: Information only. The Board will receive information on the state of operations for the Vine Transit Services.

Estimated Time: 2:00 p.m.

Attachments: [Staff Report](#)

10.3 State Legislative Update and State Bill Matrix (Kate Miller) (Pages 219-226)

Recommendation: The Board will receive the State Legislative update and Bill Matrix.

Estimated Time: 2:15 p.m.

Attachments: [Staff Report](#)

11. FUTURE AGENDA ITEMS

12. CLOSED SESSION

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

Property: APN 020-180-046

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: Silver Oak Wine Cellars, LLC

Under Negotiation: Price and Terms

Property: APN 020-320-016

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: PD Properties LLC

Under Negotiation: Price and Terms

Property: APN 020-282-001

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: Tucker Farm Center Corp.

Under Negotiation: Price and Terms

Property: APN's 022-010-007, 022-240-001, 022-034-005, and 022-010-006

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: State of California

Under Negotiation: Price and Terms

Property: APN's 022-010-034, 022-220-025, and 022-200-002

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: Vineyard 29, LLC

Under Negotiation: Price and Terms

Property: APN 022-010-017

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: 3414 Mill Creek, LLC

Under Negotiation: Price and Terms

Property: APN's 022-240-010 and 022-240-013

Agency Negotiator: Kate Miller, Executive Director

Negotiating Parties: William Laurence Turley & Suzanne Chambers

Under Negotiation: Price and Terms

Property: APN 022-100-030

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: De Coninck Vineyards, Ca Corp.

Under Negotiation: Price and Terms

Property: APN's 022-100-008, 022-100-026, and 022-100-027

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: New Vavin, Inc.

Under Negotiation: Price and Terms

Property: APN 022-100-010

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: Sutter Home Winery, Inc.

Under Negotiation: Price and Terms

Property: APN 022-130-011

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: David Smith et al

Under Negotiation: Price and Terms

Property: APN 022-220-024

Agency Negotiator: Kate Miller, Executive Director

Negotiating Parties: John D. Murphy & Paula L. Key

Under Negotiation: Price and Terms

Property: APN 022-200-008

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: Markham Vineyards

Under Negotiation: Price and Terms

Property: APN's 022-200-016 and 009-010-022

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: C. Mondavi & Sons

Under Negotiation: Price and Terms

Property: APN 022-200-013

Agency Negotiator: Kate Miller, Executive Director

Negotiating Party: Culinary Institute of America

Under Negotiation: Price and Terms

Property: APN 009-010-026

Agency Negotiator: Kate Miller, Executive Director

Negotiating Parties: Treasury Wine Estates Americas Company

Under Negotiation: Price and Terms

Estimated Time: 2:30 p.m.

12.2

PUBLIC EMPLOYEE PERFORMANCE EVALUATION (Government Code Section 54957(B)(1))

Title: Executive Director

Estimated Time: 3:00 p.m.

13. ADJOURNMENT**13.1 Approval of Next Regular Meeting of Wednesday, February 20, 2019 and Adjournment.**

Estimated Time: 3:30 p.m.

I hereby certify that the agenda for the above stated meeting was posted at a location freely accessible to members of the public at the NVTA Offices, 625 Burnell Street, Napa, CA by 5:00 p.m. on Friday, January 11, 2019.

Karalyn E. Sanderlin (e-sign) January 10, 2019
Karalyn E. Sanderlin, NVTA Board Secretary

Glossary of Acronyms

AB 32	Global Warming Solutions Act	GTFS	General Transit Feed Specification
ABAG	Association of Bay Area Governments	HBP	Highway Bridge Program
ADA	American with Disabilities Act	HBRR	Highway Bridge Replacement and Rehabilitation Program
ATAC	Active Transportation Advisory Committee	HIP	Housing Incentive Program
ATP	Active Transportation Program	HOT	High Occupancy Toll
BAAQMD	Bay Area Air Quality Management District	HOV	High Occupancy Vehicle
BART	Bay Area Rapid Transit District	HR3	High Risk Rural Roads
BATA	Bay Area Toll Authority	HSIP	Highway Safety Improvement Program
BRT	Bus Rapid Transit	HTF	Highway Trust Fund
BUILD	Better Utilizing Investments to Leverage Development	HUTA	Highway Users Tax Account
CAC	Citizen Advisory Committee	IFB	Invitation for Bid
CAP	Climate Action Plan	ITIP	State Interregional Transportation Improvement Program
Caltrans	California Department of Transportation	ITOC	Independent Taxpayer Oversight Committee
CEQA	California Environmental Quality Act	IS/MND	Initial Study/Mitigated Negative Declaration
CIP	Capital Investment Program	JARC	Job Access and Reverse Commute
CMA	Congestion Management Agency	LIFT	Low-Income Flexible Transportation
CMAQ	Congestion Mitigation and Air Quality Improvement Program	LOS	Level of Service
CMP	Congestion Management Program	LS&R	Local Streets & Roads
CalSTA	California State Transportation Agency	MaaS	Mobility as a Service
CTP	Countywide Transportation Plan	MAP 21	Moving Ahead for Progress in the 21 st Century Act
COC	Communities of Concern	MPO	Metropolitan Planning Organization
CTC	California Transportation Commission	MTC	Metropolitan Transportation Commission
DAA	Design Alternative Analyst	MTS	Metropolitan Transportation System
DBB	Design-Bid-Build	ND	Negative Declaration
DBF	Design-Build-Finance	NEPA	National Environmental Policy Act
DBFOM	Design-Build-Finance-Operate-Maintain	NOAH	Natural Occurring Affordable Housing
DED	Draft Environmental Document	NOC	Notice of Completion
EIR	Environmental Impact Report	NOD	Notice of Determination
EJ	Environmental Justice	NOP	Notice of Preparation
FAS	Federal Aid Secondary	NVTA	Napa Valley Transportation Authority
FAST	Fixing America's Surface Transportation Act	NVTA-TA	Napa Valley Transportation Authority-Tax Agency
FHWA	Federal Highway Administration	OBAG	One Bay Area Grant
FTA	Federal Transit Administration	PA&ED	Project Approval Environmental Document
FY	Fiscal Year	P3 or PPP	Public-Private Partnership
GHG	Greenhouse Gas	PCC	Paratransit Coordination Council
GGRF	Greenhouse Gas Reduction Fund		

Glossary of Acronyms

PCI	Pavement Condition Index	STA	State Transit Assistance
PCA	Priority Conservation Area	STIC	Small Transit Intensive Cities
PDA	Priority Development Areas	STIP	State Transportation Improvement Program
PID	Project Initiation Document	STP	Surface Transportation Program
PMS	Pavement Management System	TAC	Technical Advisory Committee
Prop. 42	Statewide Initiative that requires a portion of gasoline sales tax revenues be designated to transportation purposes	TCM	Transportation Control Measure
PSE	Plans, Specifications and Estimates	TCRP	Traffic Congestion Relief Program
PSR	Project Study Report	TDA	Transportation Development Act
PTA	Public Transportation Account	TDM	Transportation Demand Management Transportation Demand Model
RACC	Regional Agency Coordinating Committee	TE	Transportation Enhancement
RFP	Request for Proposal	TEA	Transportation Enhancement Activities
RFQ	Request for Qualifications	TEA 21	Transportation Equity Act for the 21 st Century
RHNA	Regional Housing Needs Allocation	TFCA	Transportation Fund for Clean Air
RM2	Regional Measure 2 (Bridge Toll)	TIGER	Transportation Investments Generation Economic Recovery
RM3	Regional Measure 3	TIP	Transportation Improvement Program
RMRP	Road Maintenance and Rehabilitation Program	TLC	Transportation for Livable Communities
ROW	Right of Way	TLU	Transportation and Land Use
RTEP	Regional Transit Expansion Program	TMP	Traffic Management Plan
RTIP	Regional Transportation Improvement Program	TMS	Transportation Management System
RTP	Regional Transportation Plan	TNC	Transportation Network Companies
SAFE	Service Authority for Freeways and Expressways	TOAH	Transit Oriented Affordable Housing
SAFETEA-LU	Safe, Accountable, Flexible, and Efficient Transportation Equity Act-A Legacy for Users	TOD	Transit-Oriented Development
SB 375	Sustainable Communities and Climate Protection Act 2008	TOS	Transportation Operations Systems
SB 1	The Road Repair and Accountability Act of 2017	TPA	Transit Priority Area
SCS	Sustainable Community Strategy	TPI	Transit Performance Initiative
SHA	State Highway Account	TPP	Transit Priority Project Areas
SHOPP	State Highway Operation and Protection Program	VHD	Vehicle Hours of Delay
SNCI	Solano Napa Commuter Information	VMT	Vehicle Miles Traveled
SNTDM	Solano Napa Travel Demand Model		
SR	State Route		
SRTS	Safe Routes to School		
SOV	Single-Occupant Vehicle		

**Napa Valley Transportation
Authority
Meeting Minutes - Draft
NVTA Board of Directors**

625 Burnell Street
Napa, CA 94559

Wednesday, November 14, 2018

1:30 PM

NVTA Conference Room

1. Call to Order

Chair Canning called the meeting to order at 1:32 p.m.

2. Pledge of Allegiance

Chair Canning led the Pledge of Allegiance.

3. Roll Call

Leon Garcia
Alan Galbraith
James Barnes
Chris Canning
Jill Techel
Alfredo Pedroza
Mark Joseph
John F. Dunbar
Kerri Dorman
Belia Ramos
Beth Kahiga
Peter White
Doris Gentry

4. Adoption of the Agenda

Motion MOVED by GARCIA, SECONDED by JOSEPH to APPROVE adoption of the agenda. Motion carried by the following vote:

Absent: 8 - White, Pedroza, and Gentry

5. Public Comment

None

6. Chairperson's, Board Members', Metropolitan Transportation Commissioner's, and Association of Bay Area Governments Update

MTC Commissioners' Update

In Commissioner Pedroza's absence, Kate Miller, NVTA Executive Director, reported on recent MTC activities.

Chairperson's Update

Chris Canning:

- Announced that the 23rd Annual Calistoga Tractor Parade will be held December 1st and that Lincoln Avenue will be closed.
- Announced that the Lincoln Avenue Bridge construction project will be completed by the Tractor Parade.

Board Members' Update

Belia Ramos

- Requested more information on regulations/expectations/explanations for loading electric bikes and scooters onto the [Vine] buses.

Chair Canning presented a plaque of appreciation to Peter White, who was absent, for his years of service as an NVTA Board Member.

[Member Pedroza in attendance]

7. Director's Update

Kate Miller, Executive Director

- Reported that Proposition 6 failed. Almost 63% of the Napa voters and 53% of statewide voters rejected Proposition 6.

8. Caltrans' Update

No oral report was provided by Caltrans, however, the November 2018 Caltrans reporting memo was provided for review in the handout packet.

Steve Lederer, County of Napa Public Works, reported on county issues caused by not being notified by Caltrans of road/lane closures for maintenance purposes. The County Public Works and NVTA staff will work with Caltrans to ensure road/lane closure issues do not occur in the future.

9. CONSENT AGENDA ITEMS (9.1 - 9.4)

Motion MOVED by GARCIA, SECONDED by JOSEPH to APPROVE Consent Items 9.1-9.4. Motion carried by the following vote:

Aye: 18 - Garcia, Galbraith, Barnes, Canning, Techel, Pedroza, Joseph, Dunbar, Dorman, and Ramos

Absent: 6 - White, and Gentry

9.1 Meeting Minutes of October 17, 2018 (Karrie Sanderlin) (Pages 9-12)

Attachments: [Meeting Minutes](#)

Board action approved the meeting minutes of October 17, 2018.

9.2 Resolution No. 18-22 Setting the Regular Meeting Time, Place, and Schedule of the Napa Valley Transportation Authority (NVTA) Governing Board, the Technical Advisory Committee (TAC), the Paratransit Coordinating Council (PCC), the Citizen Advisory Committee (CAC), and the Active Transportation Advisory Committee (ATAC) for Calendar Year (CY) 2019 (Karrie Sanderlin) (Pages 13-23)

Attachments: [Staff Report](#)

Board action approved Resolution No. 18-22 setting the regular meeting time, place, and schedule for the NVTA, TAC, PCC, CAC, and ATAC for calendar year 2019.

9.3 Approval of Amendment No. 1 to Napa Valley Transportation Authority (NVTA) Agreement No. 15-31 with Platinum Advisors, LLC (Kate Miller) (Pages 24-27)

Attachments: [Staff Report](#)

Board action approved the First Amendment to NVTA Agreement No. 15-31 with Platinum Advisors, LLC, and authorize the Executive Director, or designee, to execute the agreement, exercising the one (1) extension option, for state legislative advocacy services in an amount not to exceed \$32,400.

9.4 Approval of (1) First Amendment to Napa Valley Transportation Authority Agreement No. 14-18 with Clean Energy, (2) Second Amendment to Napa Valley Authority Agreement No. 14-19 with Hunt & Sons Inc., and (3) First Amendment to Napa Valley Transportation Authority Agreement No. 14-20 with Napa Valley Petroleum Inc. (Antonio Onorato) (Pages 28-35)

Attachments: [Staff Report](#)

Board action approved a one-year contract term extension for fueling services and authorized the Executive Director, or designee, to execute and make minor modifications to (1) First Amendment to NVTA Agreement No. 14-18 with Clean Energy, (2) Second Amendment to NVTA Agreement No. 14-19 with Hunt & Sons Inc., and (3) First Amendment to NVTA Agreement No. 14-20 with Napa Valley Petroleum Inc.

10. REGULAR AGENDA ITEMS

10.1 Regional Measure 3 (RM 3) Program Priorities (Danielle Schmitz) (Pages 36-41)

Attachments: [Staff Report](#)

Board action approved the RM 3 Program Priorities List.

Motion MOVED by GALBRAITH, SECONDED BY JOSEPH to APPROVE the Regional Measure 3 Project Priorities [as provided in the staff report]. Motion carried by the following vote:

Aye: 18 - Garcia, Galbraith, Barnes, Canning, Techel, Pedroza, Joseph, Dunbar, Dorman, and Ramos

Absent: 6 - White, and Gentry

10.2 Project Work Order E-09 to NVTA Agreement No. 18-21 with GHD for Work Associated with the Imola Avenue Complete Streets Corridor Improvement Plan (Diana Meehan) (Pages 42-80)

Attachments: [Staff Report](#)

Board action approved the revised Work Authorization No. E-09 with GHD, as provided in the meeting handout packet, for on-call Architect/Engineering & Project delivery services for the Imola Avenue Complete Streets Corridor Improvement Plan.

Motion MOVED by TECHEL, SECONDED by GARCIA to APPROVED authorizing the Executive Director, or designee, to execute and make minor modifications to the revised Work Authorization No. E-09 with GHD, as provided in Item 3 of the meeting handout packet, for the Imola Avenue Complete Streets Corridor Improvement Plan in an amount not to exceed \$282,390. Motion carried by the following vote:

Aye: 18 - Garcia, Galbraith, Barnes, Canning, Techel, Pedroza, Joseph, Dunbar, Dorman, and Ramos

Absent: 6 - White, and Gentry

10.3 Napa Valley Transportation Authority (NVTA) First Quarter (Q1) Fiscal Year (FY) 2018-19 Financial Statements, 5-Year Forecast and Delegated Authority Matrix (Justin Paniagua) (Pages 81-86)

Attachments: [Staff Report](#)

Information Only / No Action Taken

The Board received the financial performance compared to budget for the first quarter of FY 2018-19 and 5-year financial forecast.

10.4 2019 Federal and State Legislative Advocacy Program and Project Priorities and Legislative and State Bill Matrix Update (Kate Miller) (Pages 87-102)

Attachments: [Staff Report](#)

Staff reviewed the 2019 Federal and State Legislative Programs and Project Priorities as outlined in Attachment 1.

The Board received the State Legislative update from Steve Wallauch, Platinum Advisors.

Motion MOVED by JOSEPH, SECONDED by BARNES to APPROVE the 2019 Federal and State Legislative Advocacy Programs and Projects Priorities. Motion carried by the following vote:

Aye: 18 - Garcia, Galbraith, Barnes, Canning, Techel, Pedroza, Joseph, Dunbar, Dorman, and Ramos

Absent: 6 - White, and Gentry

11. FUTURE AGENDA ITEMS

None

12. CLOSED SESSION

DeeAnne Gillick, NVTA Legal Counsel announced that the Board would be adjourning to Closed Session for the items noted on the agenda and that no reportable action is expected.

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

12.1 CONFERENCE WITH LEGAL COUNSEL - EXISTING LITIGATION

Pursuant to Government Code section 54956.9(d)(1):

Martha Carter vs. City of Vallejo et al.

Solano County Superior Court Case No. FC S050056

12.2 CONFERENCE WITH LEGAL COUNSEL - EXISTING LITIGATION

Pursuant to Government Code section 54956.9(d)(1):

Margaret Erks vs. Matthew Galles, NVTA, et al.

Napa Superior Court Case No. 18CV000980

12.3 PUBLIC EMPLOYEE PERFORMANCE EVALUATION (Government Code Section 54957(B)(1))

Title: Executive Director

Re-Convened to Open Session at 2:43 p.m.

DeeAnne Gillick, NVTA Legal Counsel, reported that there were no reportable action taken during closes session.

13. ADJOURNMENT

13.1 Approval to Cancel the Meeting of December 19, 2018 and Adjournment. The Next Regular Meeting is Wednesday, January 16, 2019 at 1:30 p.m.

Motion MOVED by GARCIA, SECONDED by DUNBAR to APPROVE canceling the meeting of December 18, 2019 and adjournment. The next regular meeting will be held Wednesday, January 16, 2019 at 1:30 p.m. Motion carried by the following vote

Aye: 18 - Garcia, Galbraith, Barnes, Canning, Techel, Pedroza, Joseph, Dunbar, Dorman, and Ramos

Absent: 6 - White, and Gentry

Karalyn E. Sanderlin, NVTA Board Secretary



January 16, 2019
NVTA Agenda Item 9.2

Continued From: New
Action Requested: APPROVE

NAPA VALLEY TRANSPORTATION AUTHORITY Board Agenda Letter

TO: NVTA Board of Directors
FROM: Kate Miller, Executive Director
REPORT BY: Matthew Wilcox, Program Manager - Public Transit
(707) 259-8635 / Email: mwilcox@nvta.ca.gov
SUBJECT: Second Amendment to Napa Valley Transportation Authority (NVTA)
Agreement No. 17-07 with DoubleMap, Incorporated

RECOMMENDATION

That the Napa Valley Transportation Authority Board approve Second Amendment to NVTA Agreement No. 17-07 (Attachment 1) for Additional Scope of Work by \$63,711 and authorize the Executive Director, or designee, to execute contract documents subject to review by legal counsel.

COMMITTEE RECOMMENDATION

None

EXECUTIVE SUMMARY

Planned service changes associated with the Vine Vision have necessitated that NVTA modify the Ride the Vine app to accommodate the proposed on-demand services in the City of Napa. Staff has requested DoubleMap develop new service profile for the City of Napa and provide the associated capital to operate on-demand service in the City. Staff is requesting that the NVTA Board authorize the Executive Director to amend the agreement to make these modifications. The additional cost for the new service profile and the required capital is \$63,711.

PROCEDURAL REQUIREMENTS

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

FISCAL IMPACT

Is there a Fiscal Impact? Yes, the additional cost is \$63,711.

See Exhibit B of Attachment 1 for the full Expenditure Plan. The cost increase will be funded through Transportation Development Act (TDA) funds or an equivalent.

Is it currently budgeted? No. This is a monthly expense. Roughly two months or \$11,000 will be reallocated from other projects in the transit budget for expenses in FY 2018-19. The remaining costs will be included in the budget for FY 2019-20 for the Board's consideration at the beginning of the fiscal year.

Future fiscal impact: No, not for this action.

Consequences if not approved: NVRTA will be unable to provide efficient on-demand service in the City of Napa.

CEQA REQUIREMENTS

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

BACKGROUND AND DISCUSSION

As part of the Vine Vision service proposal NVRTA staff will be recommending on demand service in north Napa and a portion of east Napa (Attachment 2). The service will operate in a similar fashion to the community shuttles in Calistoga, St. Helena, Yountville, and American Canyon. Staff determined on demand service to be appropriate in these areas due to the low ridership on the current fixed route service. However, the ridership was not low enough to eliminate service altogether. The new service will also be a test bed for deploying on demand service as first and last mile solution for commuters in other parts of the Vine service area. Deploying on demand service also has the added benefit of freeing up larger transit vehicles to be used on the Vine's more productive routes.

The new service will be a one-year pilot program. The backend part of the Ride the Vine app will allow staff to quickly and easily pull up operational metrics to determine the level of efficiency the service is providing. Having this information is critical for staff to determine whether or not the service should continue past the pilot phase.

In the event the service is not found to be sustainable after the one year pilot, NVRTA will not be able to recoup costs already paid on the contract. In the event NVRTA cancels the service it can discontinue all recurring costs associated with the app and cease payment on those. The capital for the program can be reinvested into the community shuttles.

SUPPORTING DOCUMENTS

Attachment: (1) Second Amendment to NVTA Agreement No. 17-07
 (2) On-demand Shuttle Service Areas.

DRAFT

SECOND AMENDMENT TO NAPA VALLEY TRANSPORTATION AUTHORITY ("NVTA") AGREEMENT NO. 17-07

THIS SECOND AMENDMENT TO NAPA VALLEY TRANSPORTATION AUTHORITY ("NVTA") AGREEMENT NO. 17-07 herein after referred to as "Amendment" is made and entered into as of this ____ day of _____, 2018 between the NAPA VALLEY TRANSPORTATION AUTHORITY (hereinafter referred to as "NVTA"), and DoubleMap, Inc., whose mailing address is 429 N. Pennyslvania Street, Suite 401, Indianapolis, IN 46204, hereinafter referred to as "CONTRACTOR";

RECITALS

WHEREAS, in May 2017 NVTA and CONTRACTOR entered into NVTA Agreement 17-07 ("Agreement") for the purchase of equipment/hardware and the implementation of an Automated Demand-Response Dispatch Software system for its transit community shuttle program; and

WHEREAS, the Agreement was amended in January 2018 to acquire the Realtime Passenger Information System (RTPI) application and services; and

WHEREAS, NVTA wishes to amend the Agreement to obtain additional services and equipment as set forth in EXHIBIT A attached hereto to support its new transit service area; and

WHEREAS, CONTRACTOR can provide the requested Realtime Passenger Information System (RTPI) application and services at a cost to NVTA in the amount of \$63,710.51.

TERMS

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

1. Section 2, Scope of Service, is amended to include additional equipment and services as described in EXHIBIT A attached hereto to the Amendment. The Scope of Services described in EXHIBIT A attached to the Agreement remain unchanged.
2. Section 3, Compensation, is amended to include the additional equipment and service rates as set forth in EXHIBIT B attached hereto the Amendment. The Compensation described in EXHIBIT B to the Agreement otherwise remains unchanged.

The maximum payments under the Agreement, together with the Amendment, shall be a total of **\$226,371.30**

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

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

"NVTA"

"CONTRACTOR"

Napa Valley Transportation Authority

DoubleMap, Inc.

By _____
KATE MILLER
Executive Director

By _____
ILYA REKHTER
CEO

ATTEST:

By _____
KARALYN E. SANDERLIN
NVTA Board Secretary

APPROVED AS TO FORM:

By _____
DEEANNE GILLICK
NVTA General Counsel

EXHIBIT A
SCOPE OF SERVICE

- *See attached* -

Additional Services Addendum **Addendum 3**

WHEREAS the Parties to the original Agreement between DoubleMap, Inc. (DoubleMap) and Napa Valley Transportation Authority (Customer) executed on _____ (Effective Date) wish to enter into a supplemental Agreement for additional services and/or purchase of hardware or equipment; and

WHEREAS the Parties agree to add the following terms and conditions to the existing contract;

NOW THEREFORE, for good and valuable consideration, the sufficiency of which is hereby acknowledged, the parties agree as follows:

1. Additional Services and Equipment. The Customer wishes to purchase additional services and equipment as set forth in the attached Pricing Exhibit.

2. Fees. Customer shall pay DoubleMap the fees as set forth in the attached Pricing Exhibit that includes existing fees from the Master Contract agreed to by both parties on 05/25/17 (Contract Effective Date). DoubleMap will invoice Customer and Customer shall pay DoubleMap the following, when applicable. DoubleMap will bill subscription starting 04/01/19.

2.3.1 An initial Capital Cost fee in the amount and installments set forth in Exhibit A.

2.3.2 Annual Costs, payable in annual recurring installments. The first Annual Fee shall be due within thirty (30) days of the Activation Date. The Annual Fee for additional years shall be due within thirty (30) days of the anniversary of the Activation Date.

2.3.3 Any additional expenses as specifically provided for under the terms of Exhibit A.

2.2. Late Payments. DoubleMap is entitled to charge a penalty on any late payments. This penalty can be up to 10% of the total amount of the invoice for every thirty (30) days late.

3. Incorporation into Original Agreement. This Addendum is hereby considered a part of the original Agreement and is subject to all applicable terms set forth in the original Agreement.

Attachment 1: Pricing Exhibit

IN WITNESS WHEREOF, the Parties have caused this Agreement to be executed by and through their duly authorized representatives as of the Effective Date

DoubleMap Inc.:

Name: _____

Title: _____

Signature: _____

Napa Valley Transportation Authority:

Name: _____

Title: _____

Signature: _____

Effective date: _____



429 North Pennsylvania Street, Suite 401
Indianapolis, IN 46204

*Prices will remain firm for 60 days

Pricing Exhibit - Confidential

DATE: December 10, 2018

TO: Matt Wilcox

NVTA

mwilcox@nvta.ca.gov

					Subtotal	
LN	Note	Item	Qty	Price	Capital	Annual
1		<u>TapRide Base System</u>				
2	a.	iPad Mobile Data Terminal	6	\$ 847.83	\$ 5,086.98	
3		TapRide Subscription & Support	6	\$ 1,725.12		\$ 10,350.72
4		TapRide Cloud Services & Hosting	6	\$ 203.08		\$ 1,218.48
5						
6		<u>Realtime Passenger Information System (RTPI)</u>				
7		Mobile Apps (iOS & Android)	1	Included		
8		Web Apps (Desktop & Mobile Web)	1	Included		
9		Application Program Interface (API) - JSON	1	Included		
10		White Label App Subscription (iOS & Android)	1	\$ 1,306.29		\$ 1,306.29
11						
12		<u>Plug-Ins</u>				
13		Auto-Assignment Subscription	6	\$ 3,226.30		\$ 19,357.80
14						
15		<u>Additional Site Development and Support</u>				
16		Additional Site Spin Up	1	\$ 283.27	\$ 283.27	
17		Additional Site Maintenance & Support	1	\$ 1,104.00		\$ 1,104.00

Notes
a. Includes: cables, mounting post, and lockbox

Quote Summary	
Capital Costs	\$ 5,370.25
Annual Costs	\$ 33,337.29
Total for First Year	\$ 38,707.54
Total Until End of Contract	\$ 63,710.51

*All applicable sales/use tax are additional

SERVICE START DATE:

April 1, 2019

Capital Payment Terms:

\$1,879.59 Due at contract signing (35%)
\$2,953.64 Due at delivery of products and services (55%)
\$537.03 Due at system acceptance (10%)

EXHIBIT B
CONTRACT COST SHEET

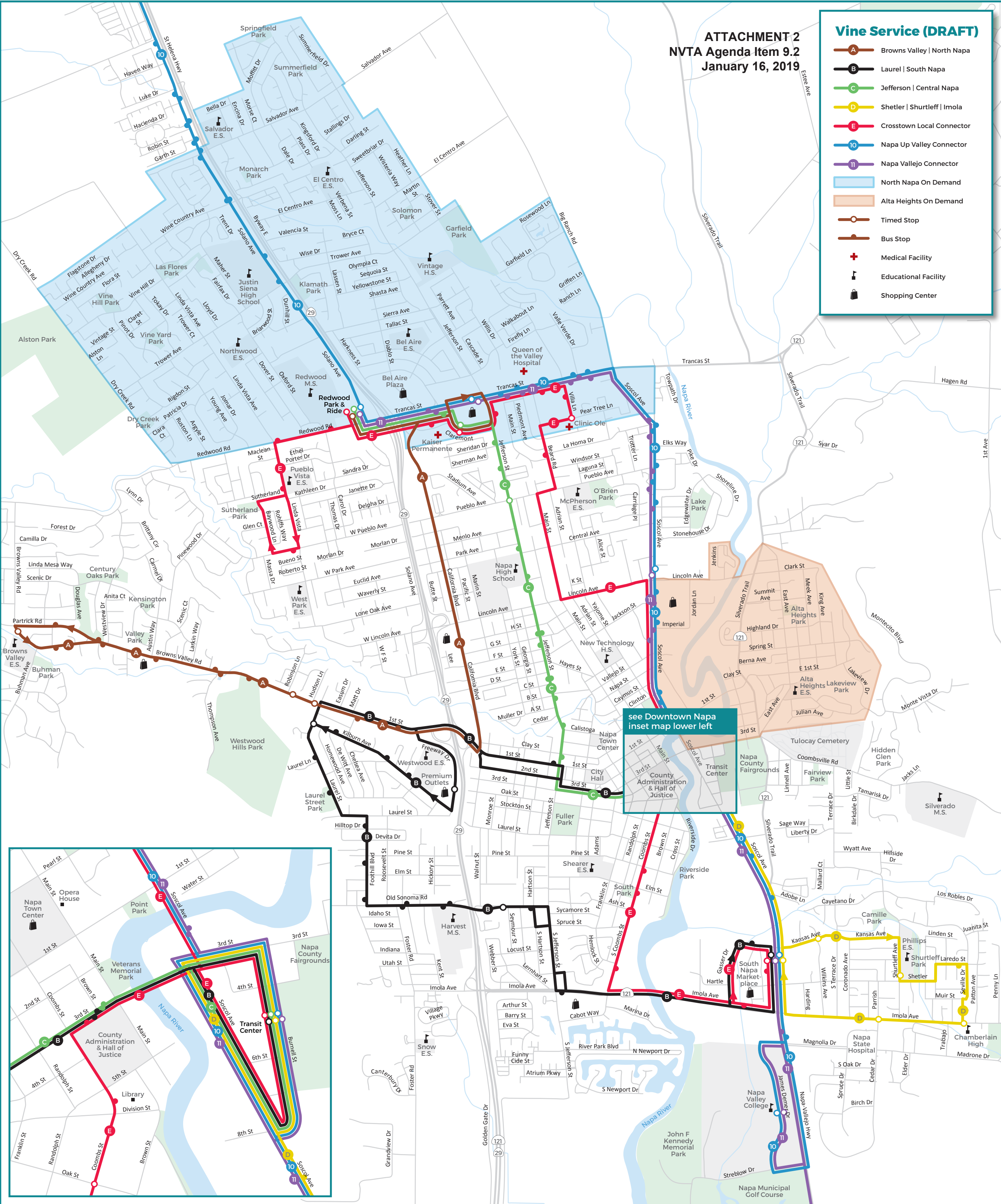
CONTRACT COST SHEET - DoubleMap

ITEM	DESCRIPTION	QTY	UNIT	YEAR 1	YEAR 2	YEAR 3	TOTAL
1	TapRide Equipment , incl. protective lockbox, mounting posts, mobile data terminal (MDT), MDT cabling, MDT programming, GPS antenna, hardware installation, shipping, project management, maintenance, support service, and training workshop needed to furnish eight (8) vehicles.	1	EACH	\$13,259.68	\$ -	\$ -	\$ 13,259.68
2	TapRide Software and Cloud Subscription for eight (8) vehicles .	1	ANNUM	\$13,014.07	\$ 13,014.07	\$ 13,014.07	\$ 39,042.21
3	TapRide Premium Software Package Subscription for eight (8) vehicles.	1	ANNUM	\$2,411.52	\$ 2,411.52	\$ 2,411.52	\$ 7,234.56
4	Auto-Assignment Subscription for eight (8) vehicles.	1	ANNUM	\$25,810.40	\$ 25,810.40	\$ 25,810.40	\$ 77,431.20
5	Realtime Passenger Information System (RTPI) , White Label Application design and subscription services for iOS & Android.	1	ANNUM	\$ 6,376.34	\$ 4,611.29	\$ 4,611.29	\$ 15,598.92
6	Spin Up and Maintenance Services , for three (3) additional sites.	1	ANNUM	\$ 3,617.82	\$ 3,238.20	\$ 3,238.20	\$ 10,094.22
7	TapRide Base System, Realtime Passenger Information System (RTPI), Plug-Ins, and Additional Site Development and Support as per Pricing Exhibit dated December 10, 2018, attached. Start Date: April 1, 2019/End Date: December 31, 2020	1	ANNUM	\$ -	\$ 38,707.54	\$ 25,002.97	\$ 63,710.51
TOTAL CONTRACT COST				\$64,489.83	\$ 87,793.02	\$ 74,088.45	\$ 226,371.30

ATTACHMENT 2
NVTA Agenda Item 9.2
January 16, 2019

Vine Service (DRAFT)

- Browns Valley | North Napa
- Laurel | South Napa
- Jefferson | Central Napa
- Shetler | Shurtleff | Imola
- Crosstown Local Connector
- Napa Up Valley Connector
- Napa Vallejo Connector
- North Napa On Demand
- Alta Heights On Demand
- Timed Stop
- Bus Stop
- Medical Facility
- Educational Facility
- Shopping Center





NAPA VALLEY TRANSPORTATION AUTHORITY Board Agenda Letter

TO: NVTA Board of Directors
FROM: Kate Miller, Executive Director
REPORT BY: Rebecca Schenck, Senior Program Planner/Administrator
(707) 259-8636 / Email: rschenck@nvta.ca.gov
SUBJECT: Approval of Resolution No. 19-01 Adopting the Revised Napa Valley Transportation Authority (NVTA) Title VI Program Policy for Fiscal Years 2017-2019

RECOMMENDATION

That the Napa Valley Transportation Authority (NVTA) Board approve Resolution No. 19-01 (Attachment 1) adopting NVTA's revised Title VI Program Policy for Fiscal Years 2017-2019 (Attachment 2).

COMMITTEE RECOMMENDATION

None

EXECUTIVE SUMMARY

The Federal Transit Administration (FTA) reviewed the NVTA Title VI Program Policy for FY's 2017-2019 and awarded it 'Concur' status, but requested NVTA address and correct concerns identified in the Review Assessment.

PROCEDURAL REQUIREMENTS

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

FISCAL IMPACT

Is there a Fiscal Impact? No

CEQA REQUIREMENTS

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

BACKGROUND AND DISCUSSION

The purpose of a Title VI policy is to establish guidelines to effectively monitor and ensure that the Napa Valley Transportation Authority (NVTA) is in compliance with all Federal Transit Administration (FTA) Title VI requirements and regulations in order to carry out the provisions of the Department of Transportation's (DOT) Title VI Regulations at 49 CFR Part 21.

NVTA is committed to ensure that no person is excluded from participation in or denied the benefits of its services on the basis of race, color or national origin, as provided by Title VI of the Civil Rights Act of 1964, as amended. Its objective is to:

- Ensure that the level and quality of transportation service is provided without regard to race, color, or national origin;
- Promote the full and fair participation of all affected populations in transportation decision making;
- Prevent the denial, reduction, or delay in benefits related to programs and activities that benefit minority populations or low-income populations;
- Ensure meaningful access to programs and activities by persons with limited English proficiency.

NVTA submitted a Title VI Program Policy to the FTA for review on September 22, 2016. On June 5, 2018, the FTA responded with a Triennial Title VI Program Update Concur Letter but identified items needing correction. The Revised Napa Valley Transportation Authority Title VI Program Policy (Attachment 2) highlights the items corrected in response to the FTA's letter. Specifically, FTA requested that NVTA's policies include Facility Site Equity Analysis, verification of posted notices, and verification for when NVTA is prompted to complete a Title VI equity analysis. He revised policy requires additional documentation on public notification, new facilities and service standards.

SUPPORTING DOCUMENTS

Attachments: (1) Resolution No. 19-01
(2) Revised Napa Valley Transportation Authority Title VI Program Policy

RESOLUTION No. 19-01

**A RESOLUTION OF THE
NAPA VALLEY TRANSPORTATION AUTHORITY (NVTA)
ADOPTING THE REVISED NVTA TITLE VI PROGRAM POLICY**

WHEREAS, the Napa Valley Transportation Authority (NVTA) is designated the countywide transportation planning agency responsible for Highway, Street and Road, transit, bicycle, and pedestrian planning and programming within Napa County; and

WHEREAS, Title VI of the Civil Rights Act of 1964 requires recipients of federal grants and other assistance to operate their programs and services without regard to, or discrimination based on, race, color or national origin; and

WHEREAS, the Federal Transit Administration (FTA) issued Circular FTA C 4702.1B, effective October 1, 2012, establishing requirements and guidelines for Title VI compliance; and

WHEREAS, the above-referenced Circular details required elements of a Title VI Program Report that each FTA grant recipient must submit to FTA every three (3) years to verify compliance with Title VI;

WHEREAS, NVTA's submitted an updated program report to FTA on September 22, 2016; and

WHEREAS, NVTA's Title VI Program was awarded Concur status on June 5, 2018 by FTA, pending compliance with additional requirements; and

WHEREAS, NVTA has revised the Title VI Program Plan, in response to the Review Assessment to ensure NVTA's compliance with Title VI, for Board consideration and approval.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Directors hereby adopts the NVTA Revised Title VI Program as set forth in the Title VI Program; and

BE IT FURTHER RESOLVED that the Board of Directors authorizes the Executive Director, or designee, to:

1. Include evidence of the Board's consideration and approval of the Title VI Program; and
2. Take any other steps necessary to give effect to this Resolution, including responding to any follow-up inquiries from the FTA.

THE FOREGOING RESOLUTION WAS DULY AND REGULARLY ADOPTED by the Board of Directors of the Napa Valley Transportation Authority, at a regular meeting held on January 16, 2019, by the following vote:

Chris Canning NVTA Chair

Ayes:

Nays:

Absent:

ATTEST:

Karalyn E. Sanderlin, NVTA Board Secretary

APPROVED:

DeeAnne Gillick, NVTA Legal Counsel



TITLE VI PROGRAM POLICY

Chris Canning NVTA Chair

Date _____

NVTA Board Approved 01/16/2019

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TITLE VI PROGRAM POLICY

The Napa Valley Transportation Authority (NVTA) is committed to ensuring that no person is excluded from participation in, or denied benefits of its transit services on the basis of race, color or national origin, as protected by Title VI of the Civil Rights Act of 1964. If you believe you have been subjected to discrimination under Title VI, you may file a written complaint with Karalyn Sanderlin Civil Rights Officer, Napa Valley Transportation Authority, 625 Burnell Street, Napa CA, 94558; at (707) 259-8631, or by email to ksanderlin@nvta.ca.gov.

Purpose: The purpose of this policy is to establish guidelines to effectively monitor and ensure that the Napa Valley Transportation Authority (NVTA) is in compliance with all requirements and regulations to carry out the provisions of the Department of Transportation's (DOT) Title VI Regulations 49 CFR Part 21.

Policy: NVTA will ensure that their programs, policies, and activities all comply with the Department of Transportation's (DOT) Title VI regulations. NVTA is committed to creating and maintaining public transit service that is free of all forms of discrimination. The agency will take whatever preventive, corrective and disciplinary action necessary for behavior that violates this policy or the rights and privileges it is designed to protect.

TITLE VI PROGRAM MONITORING

The requirement to establish internal monitoring processes and methodologies is applicable to all recipients of Federal assistance. NVTA must monitor its service once per year, or when major service changes or fare increases are proposed, using the procedures outlined in this section.

a. Civil Rights Assurance

The assurances that are signed by NVTA's Executive Director, and attested by Legal Counsel, validate the level and quality of transit services and related benefits are provided in a manner consistent with Title VI. Program monitoring is conducted to ensure that NVTA complies with this assurance.

b. Monitoring Procedures

NVTA has a complaint procedure to monitor the level and quality of transit service provided to minority communities with overall average services deployed throughout the system in order to affirm the services are distributed equitably and comply with Title VI.

This internal monitoring process was used recently in January 2015 when NVTA performed an equity analysis of a planned seven percent (7%) fare increase. The analysis examined the effect of the proposed fare change on minority and low-income populations. The disparate impact analysis determined that although the number of minority riders was greater than the

general population, that it was not high enough to constitute a disparate impact. Furthermore, the disproportionate burden analysis showed that the populations under 200% of the federal poverty limit were less likely to be impacted than the general population, and that zero-vehicle households would be more affected by the fare increase. Overall, this last finding related to zero-vehicle households, had to be balanced against the alternative solution to address farebox increases which was service cuts. In the end, the NVTa moved forward with the seven percent (7%) fare increase, its' first increase since 2012.

c. Subrecipients

NVTa is also responsible for monitoring subrecipients for compliance with Title VI, and establishing a schedule of subrecipient Title VI program submissions. NVTa does not have any subrecipients and has not had any over the last three (3) years. In the event that the NVTa would have a subrecipient, the agency will establish a schedule for subrecipient submissions.

PUBLIC INFORMATION REQUIREMENTS

NVTa disseminates Title VI Program information to NVTa employees, contractors, subcontractors, and beneficiaries. NVTa makes these materials available to the general public by posting information at major transit hubs, on its website (which includes Title VI/Civil Rights complaints procedures), on all of public transit buses, at the Soscol Gateway Transit Center, the major transit hub in the system, and by publishing an annual Title VI Policy Statement in local newspapers. Specifically the notice was placed on all of the NVTa owned buses and buildings and on the website at <http://www.ridethevine.com/title-vi-notice-public> as verified by the Civil Rights Officer and included as Appendix 9. The local newspapers that NVTa uses to publish information about public meetings and/or hearings, service changes, and proposed projects have significant circulations in the community. NVTa also publishes information in minority publications. Information about Title VI and NVTa's policies are also clearly stipulated in NVTa's postings for contracting and employment opportunities. Specifically:

- a. NVTa's Title VI Policy and any other related information is made available to the public upon request.

More detailed information regarding complaint procedures and Title VI civil rights is included in brochures and other materials distributed to the public by NVTa and are available on NVTa's websites (www.nvta.ca.gov and www.vinetransit.com).

- b. **Multilingual Requirements.** Where a significant number or portion of the population eligible to be serviced by NVTa needs service information in a language other than English to participate in federally funded programs, NVTa takes every reasonable step to provide information in appropriate languages. In cases where NVTa posts signs warning the general public about dangerous situations, information in other languages when a significant number of the population is non-English speaking. NVTa's websites are also linked to the Google translator which can provide translation in over 70 languages.

LIMITED ENGLISH PROFICIENCY (LEP) FOUR FACTOR ANALYSIS AND LANGUAGE ASSISTANCE PLAN (LAP)

NVTa has developed a Language Assistance Plan based on its Four Factor Analysis consistent with the Federal Transit Administration's policy guidelines. The Plan guides NVTa on all service-related planning and policy changes under consideration, NVTa staff has analyzed and conducted the four-factor framework provided in the Department of Transportation (DOT) Limited English Proficiency Guidance. NVTa's complete LAP plan based upon the LEP analysis is included as Appendix 1.

PUBLIC PARTICIPATION PLAN

The Public Participation Plan (Appendix 2) outlines the strategies NVTa uses to engage the public in the process of transportation decisions. While major service changes will require outreach and a public hearing consistent with this Public Participation Plan, a Title VI equity analysis, and Board approval, minor service changes, such as temporary schedule or route adjustments (with prior notice to riders), emergency changes made to respond to natural or man-made disasters or fiscal emergencies, or the creation, alteration, or elimination of special event service, can be authorized by NVTa's Executive Director. This plan is utilized to cultivate relations with the community and encourage interaction with the minority of non-English speaking communities. Public Notices and general information are provided in English, Spanish and Filipino.

a. OPPORTUNITIES FOR PUBLIC COMMENT

NVTa routinely provides opportunities for public comment, and continually strives to find new and innovative opportunities to solicit public comments and involve all segments of the population. Comments are accepted at any time by phone, fax, email, U.S. mail, in person, or at any open meeting. Examples of these opportunities include:

- The public is notified of monthly NVTa Board and Committee meetings. The public is invited to attend these meetings. Meeting announcements are posted on the website, at the NVTa offices, and at the meeting location if held at a location other than the NVTa offices. The public is invited to comment on general items or specific agenda items

b. ENGAGING TITLE VI PROTECTED GROUPS

NVTA realizes there are large segments of the population from whom input is rarely if ever received. In an effort to hear a truly representative voice of the public, NVTA makes all significant service-related planning and policy publications available in accessible formats.

c. PUBLIC OUTREACH

NVTA publishes monthly memos and newsletters as an on-going, proactive dissemination of service information and to cultivate public relations. These publications contain articles and features of current issues and projects. Moreover, they serve as a valuable information tool to present transportation planning to the public.

d. STAFF ACCESSIBILITY

Staff is accessible in person, on the phone, by mail, by fax, or by email. Contact information is provided on the agency's website and on public notices.

e. PROVIDE SERVICE FOR THE DISABLED AND LEP

Upon advance notice, special accommodations are provided for public meetings. These services include translators, special assistance, and/or transportation.

COMPLAINTS OF DISCRIMINATION PROCEDURE

These procedures cover all complaints filed under Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Civil Rights Restoration Act of 1987, and the Americans with Disabilities Act of 1990, relating to any program or activity administered by NVTA as to consultants, and contractors. Intimidation or retaliation of any kind is prohibited by law. The procedures do not deny the right of the complainant to file formal complaints with other state or federal agencies or to seek private counsel for complaints alleging discrimination. Every effort is made to obtain early resolution of complaints at the lowest level possible. The option of informal mediation meeting(s) between the affected parties and the Title VI Coordinator may be utilized for resolution.

Complaint Procedure

1. Any person who feels that he or she, individually, or as a member of any class of persons, on the basis of race, color, national origin, age, sex, disability, religion, or low-income status has been excluded from or denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance through NVTA may file a written complaint with the Civil Rights Officer. The complaint form (Appendix 3) may be found on the NVTA website by clicking

the following link: www.nvta.ca.gov/title-vi-0 or is available in hard copy from the NVTa. A formal complaint must be filed within 180 days of the alleged occurrence.

2. In cases where the complainant is unable or incapable of providing a written statement, a verbal complaint may be made. The Civil Rights Officer will interview the complainant and if necessary assist the person in converting verbal complaints to writing. All complaints must, however, be signed by the complainant or his/her representative.
3. Complaints shall state, as fully as possible, the facts and circumstances surrounding the alleged discrimination.
4. NVTa will provide the complainant or his/her representative and any contractor (respondent) with a written acknowledgement that NVTa has received the complaint within five (5) working days of receipt.
5. A copy of the complaint will be forwarded to legal counsel for review.
6. The Civil Rights Officer will appoint one or more staff review officers, as appropriate, to evaluate and investigate the complaint.
7. The review officer(s) will determine if the complaint has investigative merit:
 - a. It was received within 180 days of the alleged occurrence.
 - b. It does not appear to be frivolous or trivial.
 - c. It involves NVTa or NVTa contractors and not another entity.
 - d. A complaint against a contractor involves a NVTa Federally Funded contract.
8. The complainant and contractor or other party to the complaint will be notified of the status of the complaint within ten (10) days of receipt of the complaint, *by registered mail*:
 - a. That the complaint will not be investigated and the reasons why the complaint does not have investigative merit.
 - b. That the complaint will be investigated and a request for additional information needed to assist the investigator.
9. The complainant or contractor must submit the requested information within 60 working days from the date of the original request. Failure of the complainant to submit additional information within the designated timeframe may be considered good cause for a determination of no investigative merit. Failure of the contractor to submit additional information within the designated timeframe may be considered good cause for a determination of noncompliance under the contract.
10. The review officer(s) and/or contractor must within 15 working days, supply the Executive Director with status report of their investigation and/or resolution of the complaint.

11. Within 60 working days of the receipt of the complaint, the Civil Rights Officer will prepare a written report for the Executive Director.
The report shall include:
 - a. A narrative description of the incident. Including persons or entities involved.
 - b. A statement of the issues raised by the complainant and the respondent's reply to each of the allegations.
 - c. Citations of relevant Federal, State and local laws, NVTa policy etc.
 - d. Description of the investigation, including list of the persons contacted and a summary of the interviews conducted.
 - e. A statement of the investigator's finding and recommendations for disposition.
12. The investigative report and findings of the complaint will be sent to legal counsel for review.
13. The Executive Director shall, based on the information before him or her and in consult with legal counsel, make a determination on the disposition of the complaint. Determination shall be made within ten (10) days from Executive Director's receipt of the investigator's report. Examples of disposition are as follows:
 - a. Complainant is found to have been discriminated against. NVTa or contractor is therefore noncompliant with Title VI regulations. Reasons for the determination will be listed. Remedial actions that NVTa or the contractor must take will be listed.
 - b. Complaint is found to be without merit. Reasons why will be listed.
14. Notice of the Executive Director's determination will be mailed to the complainant and contractor. Notice shall include information regarding appeal rights of complainant and instructions for initiating such an appeal. Example of a notice of appeal follows:
 - a. NVTa will only reconsider this determination, if new facts, not previously considered.
 - b. If the complainant is dissatisfied with the determination and/or resolution set forth by NVTa, the same complaint may be submitted to the Federal Transit Administration (FTA) for investigation. Complainants will be directed to contact Federal Transit Administration, Office of Civil Rights, San Francisco Federal Building 90, 7th Street, Suite 15-300 San Francisco, CA 94103. (415) 734-9490..
15. A copy of the complaint and NVTa's investigation report/letter of finding and Final Remedial Action Plan will be issued to FTA within ninety (90) days of the receipt of the complaint.

16. After receiving FTA's comments, briefings may be scheduled with all relevant parties to the complaint.
17. A summary of the complaint and its resolution would be included in the annual report to the FTA.

GENERAL REPORTING REQUIREMENTS

Title VI of the Civil Rights Act of 1964 (Title VI), states the following: "No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal Financial assistance."

The Department of Justice and the Department of Transportation regulations implementing Title VI, require Federal agencies to collect data and other information to enforce Title VI. In this regard the Napa Valley Transportation Authority (NVTA), as an applicant and/or recipient receiving Federal funding, hereby provides to FTA the following information:

- There are no active lawsuits or complaints naming NVTA nor were there any investigations, or lawsuits in the past three (3) years, which allege discrimination on the basis of race, color, or national origin with respect to service or other transit benefits.
- The NVTA maintains a log of Title VI complaints received. The log includes the date the complaint was filed, a summary of the allegations (which included the basis of complaint), complaint status, and action(s) taken. There have been two (2) complaints filed within the last three (3) years which alleged discrimination on the basis of race, color or national origin with respect to service or other transit benefits. Appendix 6 presents a copy of the log and details of past complaints.
- There are currently no pending construction projects which would negatively impact minority communities being performed by NVTA.

FACILITY SITE EQUITY ANALYSIS

NVTA did not construct any facilities during the current Title VI program, but NVTA did acquire a site for use for a future new maintenance facility. NVTA acquired two parcels within Napa County totally 8.08 acres (APN 057-250-025 and APN 057-250-03). The property is vacant and undeveloped so there was no displacement of persons from their residences or businesses. The property was acquired for fair market value and eminent domain was not necessary.

NVTA completed a Real Estate Acquisition Management Plan (RAMP) in August 2016 so that the public had access to the process the NVTA used for its real estate acquisition needs. NVTA adhered to the Uniform Relocation Assistance and Real

Property Acquisition Policies Act of 1970 (the Uniform Act), applicable Federal Transit Authority (FTA) and California Transportation Commission (CTC) Guidelines

SERVICE STANDARDS

In order to insure compliance with the Title VI Program and to accomplish the goal of providing efficient and effective service to the residents of Napa County, NVRTA updated the agency's series of service standards that provide a framework for service allocation as well as measures to continually examine public transit service to ensure that they meet efficiency and effectiveness standards in accordance with stated objectives as part of the Chapter 3 of the agency's Napa County Short Range Transit Plan (FY 2016-2026) (Appendix 4).

Whenever major service changes are adopted, NVRTA completes an equity analysis, which includes an analysis of adverse effects to ensure that the changes do not result in discrimination on the basis of race, color, or national origin. A major service change consists of a new transit route, new service on streets not previously used by any other route, aggregate change of 30 percent or more of the number of transit revenue hours, routing changes that alter 40 percent or more of a route's path.

RECORD KEEPING REQUIREMENTS

The Civil Rights Officer shall ensure that all records relating to NVRTA's compliance to Title VI are maintained for a minimum of seven (7) years.

Records must be available for compliance review audits.

Copies of the following material will be kept available by the Civil Rights Officer for dissemination to the public upon request:

- NVRTA's Title VI policy
- Annual reports to FTA
- Audit report findings and recommendations
- Summaries of actions taken by NVRTA to remedy audit findings
- Complaints received and a summary of their disposition
- Annual report to Executive Director regarding Title VI compliance

APPENDICES

- Appendix 1 NVTA Plan for Language Assistance Plan to Limited English Proficient (LEP) Populations
- Appendix 2 Public Participation Plan
- Appendix 3 Title VI Complaint Form
- Appendix 4 Systemwide Service Standards and Policies
- Appendix 5 Title VI Notice to the Public
- Appendix 6 List of Transit-Related Title VI Investigations, Complaints, and Lawsuits
- Appendix 7 Racial Breakdown of the Membership of Transit-Related Advisory Committees
- Appendix 8 NVTA Resolution 16-23 approving the NVTA Title VI Program Policy
- Appendix 9 Title VI Evidence of Website Posting



Language Assistance Plan to Limited English Proficient (LEP) Populations

September 17, 2016

Also available in Spanish and Filipino

**Napa Valley Transportation Agency
625 Burnell Street
Napa, CA 94559
info@nvta.ca.gov
(707) 259-8631**

Para solicitar una copia en español del Plan de Servicios de Lenguaje para Poblaciones con Conocimiento Limitado del Inglés por favor llame al (707) 259-8631

Upang humiling ng isang kopya ng Language Assistance Plan in Filipino, pakitawagan (707) 259-8631

Language Assistance Plan for Napa Valley Transportation Authority (NVTa)

Introduction

The Napa Valley Transportation Authority (NVTa) serves as the congestion management agency and public transit provider for the jurisdictions in Napa County, and is one of the nine (9) Bay Area counties within the Metropolitan Transportation Commission (MTC) region. NVTa's service area includes a population of 150,000 residents over 740 square miles of land, consisting mostly of smaller, rural communities and agricultural land. The service area is diverse, with large numbers of residents speaking a language other than English as their primary means of communication.

Individuals with a limited ability to read, write, speak or understand English are considered to be Limited English Proficient, or "LEP." In compliance with guidance and rules issued by the U.S. Department of Transportation, and Title VI of the Civil Rights Act of 1964, NVTa has taken reasonable steps to ensure that all persons have meaningful access to its programs, services, and information, at no additional cost. This includes the following plan for LEP persons within NVTa's jurisdiction.

A Language Assistance Plan starts with an assessment to identify LEP individuals who need assistance. NVTa also plans to conduct surveys with transit operators, dispatch, customer service and ticket sales staff, regarding frequency of contact with LEP individuals or groups. Once the assessment is complete, the Language Assistance Plan is drafted and adopted by the agency.

Implementation of the Language Assistance Plan includes the development of language assistance measures, staff training, notification measures to LEP individuals, and monitoring and updating of the plan on a yearly basis.

Purpose

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance. One critical concern addressed by Title VI is the language barrier that Limited English Proficiency (LEP) persons face with respect to accessing information about and using transit service. Transit operators must ensure that this group has adequate access to the agency's programs and activities, including public participation opportunities.

Executive Order 13166, titled "Improving Access to Services for Persons with Limited English Proficiency," forbids funding recipients from "restrict(ing) an individual in any way in the enjoyment of any advantage or privilege enjoyed by others receiving any service, financial aid, or other benefit under the program," or from "utilize(ing) criteria or methods of administration which have the effect of subjecting individuals to discrimination because of their race, color, or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program as respects to individuals of a particular race, color, or national origin."

FTA Circular 4702.1B was developed by the Federal Transit Administration (FTA) and details the administrative and reporting requirements for recipients of FTA financial assistance to comply with Title VI and related executive orders including on LEP.

The U.S. DOT's FTA Office of Civil Rights' publication "*Implementing the Department of Transportation's Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient Persons – A Handbook for Public Transportation Providers*" was used in the preparation of this plan.

Contents

This plan contains:

- A. A needs assessment based on the four-factor analysis
- B. Language assistance measures
- C. Staff training plan
- D. Contractor training
- E. Methods for notifying LEP persons about available language assistance
- F. Methods for monitoring, evaluating and updating plan

A. LEP Needs Assessment – the Four-Factor Analysis

Determination of Need

In order to prepare this Plan, NVTA implemented the U.S. Department of Transportation's four factor LEP analysis, which considers the following:

1. The Number and Proportion of LEP Persons Served or Encountered in the Eligible Service Population
2. The frequency with which LEP persons come in contact with NVTA programs, activities or services
3. The Importance to LEP Persons of NVTA's Program, Activities and Services
4. The resources available to NVTA and overall cost to provide LEP assistance

Factor 1: Number and proportion of LEP persons served or encountered

NVTA used the American Community Survey (ACS) 5 Year survey data for 2010-2014 for Limited English Proficient (LEP) Populations in Napa County to estimate the number or proportion of LEP persons who might use or want to use NVTA's services.

The American Community Survey (ACS) 5 Year survey data identifies people who speak English "less than very well" as Limited English Proficient persons. The survey data is broken down by the languages spoken at home, and by ability to speak English, for persons five (5) years of age and older, with number

and percentage broken out by county. For Napa County, the ACS data indicates that approximately half of the residents identified as speaking a “language other than English”, and whose primary language is categorized as “Spanish or Spanish Creole”, were identified as speaking English “less than very well”. The ACS study data also indicates that nearly 40% of the Asian and Pacific Islanders in Napa County speak English “less than very well”.

2010-2014 American Community Survey Language Spoken at Home	Total		Percent of specified language speakers	
			Speak English less than "very well"	
	Estimate	Margin of Error	Estimate	Margin of Error
Population 5 years and over	131,368	+/-59	16.5%	+/-1.0
Speak only English	64.6%	+/-0.9	(X)	(X)
Speak a language other than English	35.4%	+/-0.9	16.3%	+/-0.7
Spanish or Spanish Creole	27.9%	+/-0.8	49.8%	+/-0.7
Other Indo-European languages	2.5%	+/-0.2	24%	+/-0.2
Asian and Pacific Island languages	4.7%	+/-0.3	-38.3%	+/-0.2
Other languages	0.3%	+/-0.1	33.3%	+/-0.1

- The ACS data above estimates the total population of the NVT A Napa County service area to be: 142,456
- The ACS data above estimates the total number of people who speak a language other than English in the NVT A Napa County service area is estimated to be: 46,508 or 35.4% of the population.
- The ACS data above estimates the total number of LEP persons (those who speak English less than “very well”) in the NVT A-Napa County service area is estimated to be: 21,443 or 16.3 of the population.

Factor 2: Frequency of LEP populations' contact with existing programs, activities, and services

Statistical data regarding individual requests from LEP persons will be tracked as resources permit; however since several transit routes serve Napa County social service and non-profit agencies, it is likely that NVTa is providing services to many LEP individuals.

The main language spoken by LEP individuals within the NVTa service area is primarily Spanish and Filipino.

Factor 3: Importance to LEP population of programs, activities, and services

NVTa considers public transit to be an important and essential service for many residents, commuters, and visitors in the local service area. This includes local buses and buses servicing neighboring counties and the regional Bay Area Rapid Transit (BART) system, paratransit, and services for seniors. These services are used by people from all walks of life, including commuters, students, visitors, the elderly, and those with limited mobility.

There are a number of key interaction points with the bus system which could be problematic for LEP populations:

- ☐ NVTa's websites- www.nvta.ca.gov and www.vinetransit.com
- ☐ Vine Transit's customer service phone line
- ☐ Bus stop signage
- ☐ Printed schedules
- ☐ Fare payment
- ☐ Driver inquiries
- ☐ Onboard announcements
- ☐ Other printed materials

Ensuring that critical information at these interaction points is available in languages commonly spoken is crucial to providing equitable access to Vine Transit's bus service for LEP populations.

While Customer Service personnel have access to translation services and the NVTa websites has a tool allowing the website's content to be translated into more than 70 different languages, much of the critical information onboard buses and at the bus stops is not available in many of the languages identified in this document through the Census and customer surveys.

Opportunities for Improvement

Currently NVTA disseminates all information in English, with some critical information available in Spanish. Customer service personnel all speak English, with some speaking Spanish.

Given that Filipino language falls within the federal “Safe Harbor” guidelines, NVTA is obligated to expand the translation of vital materials into Spanish and Filipino.

With respect to other languages represented by fewer residents, NVTA currently meets basic requirements for access to information via website translation tool.

Despite the efforts to ensure access to information about its bus service among LEP populations, some key improvements can be made:

- Take into consideration that, according to a local Filipino newspaper, Filipinos may prefer to read materials in English rather than Tagalog.
- Representing Google Translate options on the NVTA’s websites in each respective language rather than listing them all in English. It should also be noted that FTA does not consider Google Translate as a sufficient translation tool for vital documents.
- Locate the Google Translate tool on the NVTA websites in a more prominent location (currently located at the bottom right corner of each page).
- Translate printed information disseminated to the public into more languages (currently only translated into Spanish).
- Advertise in more media outlets that target languages other than English and Spanish.
- Translate information about fare payment and pass sales into more languages or use symbols to illustrate key ideas.
- Improve communication with targeted organizations such as Community-Based Organizations (CBOs) to ensure that more LEP individuals participate in outreach efforts.
- Provide more bus rider presentations to various organizations, such as CBOs.
- Increase outreach/marketing efforts to include social media and traditional media (in various languages) so that higher LEP participation for outreach events focused on accessing information can be achieved. The placement of traditional media at bus stops and on buses may be especially critical toward improving information accessibility.

Factor 4: Resources available to NVTA and overall cost to provide LEP assistance

NVTA makes every reasonable effort to communicate with LEP persons about available transit services, including providing the funding for translation of current services and bilingual materials. As resources permit, NVTA will include training for all drivers on best practices for serving LEP individuals.

In addition to using a translation service, NVTA recently hired additional Spanish-speaking staff at the Soscol Gateway Transit Center ticket office to better serve LEP individuals. NVTA has also translated key website pages into Spanish, Filipino and other languages.

In an effort to better serve the transit service needs of its users, NVRTA recently completed construction of its new Transit Center facility. The expanded facility will allow NVRTA to better communicate its transit services and serve the needs of the traveling public, including those of LEP populations.

NVRTA works with many advocacy groups serving LEP individuals to gain insight regarding their needs and concerns about local transit services. This includes Napa County Department of Health and Human Services, Community Action Napa Valley, SOMOS Napa, Hispanic Network, Non-profit Coalition, and Legal Aid of Napa Valley. NVRTA is continually exploring options for the best methods of delivering information and meeting the transit needs of all LEP persons and Napa County residents. NVRTA undertook significant Spanish-language outreach during its Agricultural Worker Vanpool Program and continues to expand community outreach efforts agency-wide.

B. Language Assistance Measures

Language measures currently used and planned to be used by the NVRTA transit system to address the needs of LEP persons include the following:

- Translating vital documents in the following language(s): Spanish and Filipino.
- Translating key website pages
- Coordination of Oral and Written Translation Services
- Communication with LEP advocacy groups about transit services
- Increased use of signage with graphic visual images and pictograms to promote universal understanding
- Posting of bilingual notices informing LEP persons of available services
- Other (description of services): training new residents on how to use transit system
- NVRTA provides bilingual (Spanish speaking) staff at public hearings and neighborhood meetings.
- The Customer Service staff for both telephone and in person assistance includes bilingual (Spanish speaking) staff.
- All public timetables include a note in Spanish on how to use the language line to get transit information.
- System maps and riders guides are printed in both English and Spanish.

C. Staff Training

To ensure effective implementation of this plan, NVRTA will schedule orientations for new staff and annual training for all employees whose position requires regular contact with the public. Training will

include a review of this plan and how to handle verbal requests for transit service in a language other than English.

D. Contractor Training

To ensure effective implementation of this plan, Vine Transit’s contractor will schedule orientations for new employees and semi-annual training for all employees whose position requires regular contact with the public. Training will include a review of this plan and how to handle verbal requests for transit service in a language other than English.

E. Notice to LEP Persons about Available Language Assistance

NVTA will notify LEP individuals about the language assistance services available to them without cost by using the following methods:

- Brochures
- Sending information to local organizations serving LEP populations
- Website notices
- Including contact information for translation requests on all printed materials
- Posting of bilingual flyers at libraries, churches, schools, cultural and community centers
- Audio programs and radio ads
- Participation in local community events

Translated documents include ad cards, direct mailers, bus stop signs, customer brochures, meeting notices, and other customer outreach materials like construction-related notices and information pieces. Most translation is into Spanish, which covers the majority of NVTA’s customer base. Additional “Safe Harbor” languages are translated as resources allow and circumstances dictate.

NVTA needs additional services to provide more meaningful access to LEP groups. The following are recommendations that can be implemented:

- Provide complaint forms in multiple languages.
- Increased use of universal pictograms or other symbols at bus stops or on buses.
- Increased translations of documents.
- Conduct more language-specific outreach beyond focus groups associated with the development of this plan.

- Provide a short survey regarding LEP needs on buses in various languages for LEP individuals who cannot make it to outreach meetings, where these individuals can voice their concerns and opinions directly to NVTa.

F. Monitoring, Evaluating and Updating Plan

NVTa staff will review this plan annually, including:

- Assessing the sufficiency of staff training and budget for language assistance,
- Reviewing current sources for assistance to ensure continuing availability, and
- Reviewing any complaints, comments and suggestions from LEP persons, or agencies serving LEP populations, received during the past year.

Annual plan revisions will be approved by the agency's Executive Director and dated accordingly.

G. Dissemination of Plan

This plan is available on the NVTa website's at www.nvta.ca.gov and www.vinetransit.com

This plan is also available at no cost in English, Spanish, or Filipino upon request by telephone, fax, U.S. Postal Service mail, e-mail, or in person at the NVTa's office.

H. Contact Information

Questions or comments about this plan may be submitted to:

Napa Valley Transportation Agency
ATTN: Civil Rights Officer
625 Burnell Street
Napa, CA 94559
(707) 259-8631
(707) 259-8638

Published: -----, 2016



Title VI/Environmental Justice/Public Participation Plan

September 2016

Also available in Spanish and Filipino

**Napa Valley Transportation Authority (NVRTA)
625 Burnell Street
Napa, CA 94559**

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EXECUTIVE SUMMARY

The mission of the Napa Valley Transportation Authority (NVTa) is to ensure the development of an efficient, effective and equitable transportation system for the residents, businesses and visitors to the Napa region, through a coordinated inter-jurisdictional decision making process. In order to carry out its mission to its fullest potential, NVTa solicits and receives input from all of its stakeholders, regardless of race, language or socioeconomic status.

Multicultural outreach and environmental justice initiatives are founded on the recognition of a community's cultural and economic diversity, as well as the awareness that some groups have not always enjoyed equal access to information, services, or other resources. Recent U.S. Census reports¹ indicate that Napa County fares better than many parts of the state: average rates of poverty in Napa County are below state averages, and average income is higher than the state average. However, these assessments cannot take into account the many cultural and economic challenges with which some individuals and groups are faced. As in other parts of California, the ethnic composition of Napa County is changing. Once predominantly Caucasian, the population of Hispanic or Latino residents has grown considerably in the last decade. Populations of Asian, African-American, Indo-European, Pacific Islander and Middle-Eastern people have also grown.

This Title VI Public Participation Plan (PPP) aims to identify communities that have been traditionally underserved by NVTa and determine the most effective ways to encourage the participation of these communities. The PPP is designed to be a living document that will be updated yearly to incorporate new data, methods, and outcomes, as identified through local outreach activities and best practices in the field. The NVTa will work with community partners to identify and implement strategies that remove barriers to access and participation for diverse community members.

¹ U.S. Census, American Communities Survey 2010-2014 Estimates,



1. INTRODUCTION

NVTA serves as the congestion management agency and public transit provider for the jurisdictions within Napa County, one of the nine Bay Area counties within Metropolitan Transportation Commission (MTC) region. According to 2015 population estimates, nearly 142,500 people reside on the roughly 740 square miles of land in Napa County. Land types include a mixture of smaller, rural communities and agricultural land. NVTA provides services to a diverse group of stakeholders, with a mixture of English and non-English speakers from a variety of cultural and socioeconomic backgrounds. The NVTA makes every reasonable effort to address the needs of all stakeholders by providing equal access and opportunities for ongoing involvement and participation in its operations.

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, and national origins in programs and activities receiving federal financial assistance. Under federal regulations, transit operators must take reasonable steps to ensure persons have access to their activities and programs. Public participation opportunities, already provided to the public in English, should also be made accessible to persons who have a limited ability to speak, write, read, or understand English.

A. PURPOSE OF THE PUBLIC PARTICIPATION PLAN

This Plan attempts to identify all minority, low-income, and Limited English Proficient (LEP) populations located within the NVTA service area. The Plan describes existing outreach methods that are used to communicate NVTA programs and services to the public. It also addresses strategies that can be applied to increase the involvement of traditionally underrepresented or underserved groups in order to develop more inclusive plans for the future.

B. SUMMARY OF PLAN DEVELOPMENT

To assist in the preparation of this report, NVTA conducted interviews with agency staff to gain an understanding of how inclusivity is currently incorporated in the planning process. This effort also included an attempt to thoroughly account for all minority and low-income populations served by NVTA. As described in the 2017 Language Assistance Plan developed by NVTA Appendix 1 the agency plans to conduct training with operations, customer service, and dispatch staff in the future.

2. NAPA COUNTY PROFILE

A. COMMUNITIES

NVTA serves all of Napa County. This includes connections to portions of Solano County (Fairfield, Suisun, and Vallejo) and the BART Station in the City of El Cerrito. According to the 2012 **American Community Survey (ACS) 5-Year Estimates** figures for Napa County, the total population was



estimated to be 139,253 residents. The City of Napa has the largest population, followed by the cities of American Canyon, St. Helena, Calistoga and Yountville respectively.

In addition to the five incorporated cities and town listed above, there are several unincorporated communities within Napa County whose residents also depend on NVRTA to meet their many and diverse transportation needs:

- Aetna Springs
- Angwin
- Berryessa Highlands
- Capell Valley
- Chiles Valley
- Circle Oaks
- Deer Park
- Dry Creek
- Gordon Valley
- Lokoya
- Los Carneros
- Moskowitz Corner
- Mt. Veeder
- Oakville
- Pope Valley
- Rutherford
- Silverado Resort
- Soda Canyon
- Spanish Flat
- Vichy Springs

B. DEMOGRAPHICS

NVRTA reviewed Census maps and data for Napa County in order to establish context for this PPP. According to the data available, the majority of Napa County residents identify themselves as Caucasian. A significant percentage of the local population identified as Hispanic or Latino, with a smaller number of respondents identifying as Asian, African American, or more than one race. According to a recent study², “immigrants are contributing to very rapid demographic change in Napa County, particularly in the urban areas in southern Napa County and Calistoga. This demographic shift is most evident in the student and young working-adult populations.” Approximately 33% of Napa County residents identify themselves as Hispanic or Latino, and another 7.4% identify as Asian. Small enclaves of ethnically and culturally-diverse groups, such as Sikhs, Filipinos, and Native Americans live within NVRTA’s service area, in addition to a significant population of year-round agricultural workers. Given the predominance of undocumented immigrants working in agricultural labor as well as the use of contract firms based outside of Napa County, these numbers may underestimate the actual number of minority populations residing and working in Napa County.

A breakdown of the racial demographics in Napa County, as measured during the 2010-2014 American Community Survey 5-Year Estimates, are shown in **Table 1** below:

Table 1: Racial Demographics in Napa County

Total Population	139,253	
One Race	134,303	96.4%
White	107,543	77.2%
Black or African American	2,992	2.1%

² “Profiles of Immigrants in Napa County”, Migration Policy Institute, May 2012, www.migrationpolicy.org/pubs/napa-profile



American Indian or Alaska Native	696	0.5%
Asian	10,362	7.4%
Native Hawaiian or Other Pacific	356	0.3%
Two or more Races	4,950	3.6%
Hispanic or Latino (of any race)	45,937	33.0%

(Source: US Census, 2010-2014 Napa County Demographic and Housing Estimates)

Outside of the Napa County service area, Hispanic or Latino peoples comprise approximately 26% of the population in the Solano County cities of Fairfield and Suisun.

C. LANGUAGE

In Napa County, approximately 84% of the population speaks English “very well” according to U.S. Census standards. This figure includes both native English speakers and speakers of multiple languages. Of the total population, 35% of all people speak a language other than English. Approximately half of those people, or 17%, are considered to speak English “less than very well.” These communities are the focus of this study. **Table 2** shows a numerical breakdown of languages spoken at home in Napa County.

Table 2: Language Spoken at Home in Napa County

(Source: US Census Bureau, American Community Survey 2010-2014, Napa County)

Speak English Very Well	84%
Speak English Less Than Very Well	16%
Speak only English	64.6%
Speak a language other than English	35.4%
Spanish or Spanish Creole	27.9%
Other Indo-European languages	2.5%
Asian and Pacific Island languages	4.7%
Other languages	0.3%

Please see the NVTAs 2017 Language Assistance Plan for Limited English Proficient (LEP) Populations (Appendix 1) for more information.

D. ECONOMIC CHARACTERISTICS

The U.S. Census Bureau studied labor patterns in Napa County between 2010 and 2014. According to this study, there are approximately 67,310 people employed in Napa County. Of these workers, 1.0% were identified as relying on public transportation to commute to work. This figure is below the state’s average of 5.2%, and may represent an opportunity for NVTAs to increase its transit ridership.

There are approximately 49,630 households in Napa County. An analysis of income per household is presented in **Table 3**.

Table 3: Household Income in Napa County

Total Households	49,631	
Less than \$10,000	1,714	3.5%
\$10,000 to \$14,999	2,105	4.2%

\$15,000 to \$24,999	4,134	8.3%
\$25,000 to \$34,999	3,727	7.5%
\$35,000 to \$49,999	6,250	12.6%
\$50,000 to \$74,999	8,199	16.5%
\$75,000 to \$99,999	6,723	13.5%
\$100,000 to \$149,999	8,724	17.6%
\$150,000 to \$199,999	3,690	7.4%
\$200,000 or more	4,365	8.8%

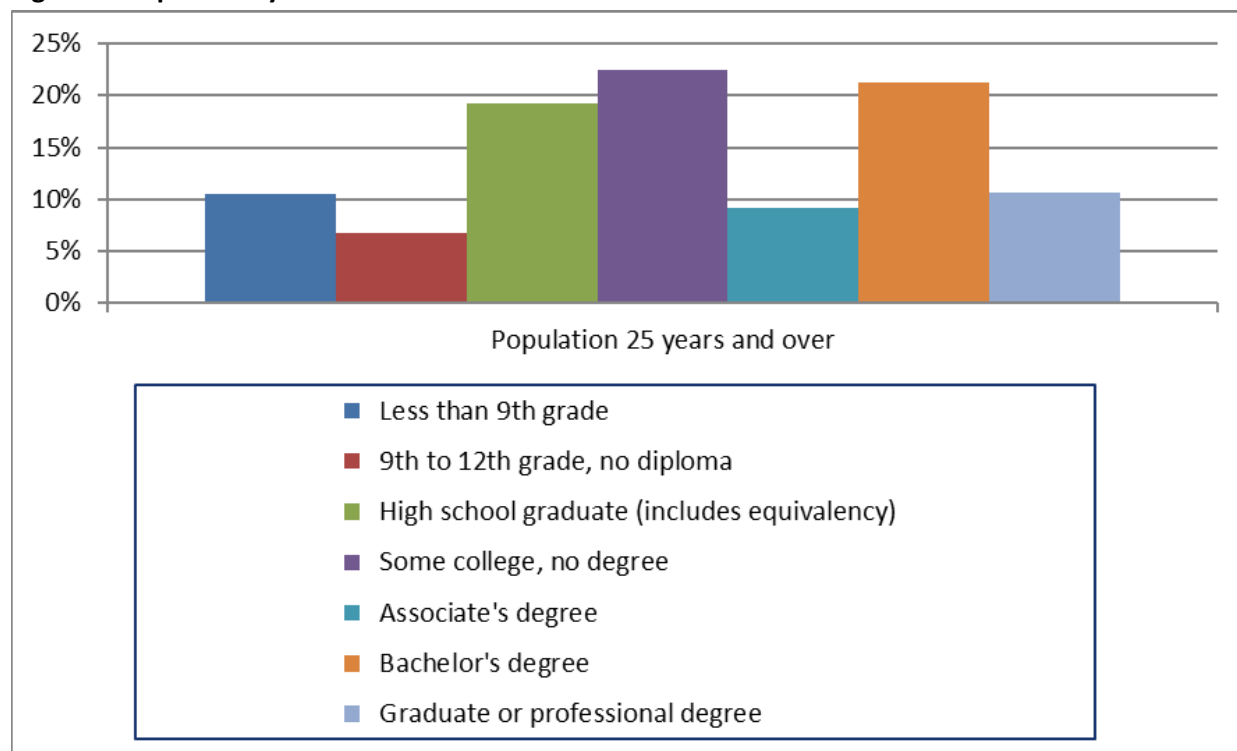
(Source: US Census Bureau, American Community Survey 20010-2014, Napa County)

Napa County has an average (mean) income of \$92,291, which is nearly \$5,000 higher than the state average of \$87,087. Also, the rate of poverty, i.e. the percentage of total families with an income below thresholds that vary by family size and composition, is 7.3%. This figure is below the California average of 12.3% of all families.

E. TRADITIONALLY UNDERSERVED COMMUNITIES

To determine which communities qualify for consideration as low-income and minority populations, NVTa analyzed U.S. Census Data and established partnerships with local community-based organizations and city and county agencies that serve these populations. NVTa acknowledges that sub-groups exist within traditionally underrepresented ethnic and income groups (e.g. individuals who are mentally or physically handicapped or homeless, etc.) and makes a reasonable effort to serve those sub-groups, as resources and staff permit. Agricultural laborers in Napa County are reported to have lower levels of formal education, as well as limited English proficiency and other cultural and socio-economic barriers that may prohibit access to information and services. **Figure 1** shows the education level of Napa County workers using the five year estimates 2010-2014 ACS data

Figure 2: Napa County Education Level–



Source: ACS (http://factfinder.census.gov/faces/nav/jsf/pages/community_facts.xhtml)

3. OPPORTUNITIES AND CHALLENGES FOR PUBLIC PARTICIPATION

A. INTRODUCTION

The NVTa faces a wide range of socio-economic challenges and ethnicity-based differences in meeting the needs of Napa County residents and visitors classified under Title VI regulations. Napa County's unique agricultural heritage and reputation attract people from every part of the world. Napa County is becoming more ethnically diverse and beginning to more closely reflect regional population patterns. Many people in Napa County are employed in the wine and hospitality industries, including many agricultural laborers. The interconnections that exist between industries in Napa County, such as between the wine and hospitality industries, also extend to, and have economic impacts on, other businesses and residents of Napa County. The wine industry continues to use an increasing amount of contract labor from third parties outside Napa, which is not reflected in the U.S. Census Bureau statistics for the area or their estimates for reliance on public transportation by this segment of the population.

B. TARGET POPULATION AND NEEDS

Vineyard workers in Napa County have been identified as predominantly Hispanic or Latino and relatively young. Along with their extended families, these laborers represent a growing audience for the NVTa's Title VI community outreach efforts. Farmworker Housing Centers, churches, schools and

community organizations serving the local Hispanic or Latino community, are provided with copies of translated NVTA materials and information on how to access Spanish-speaking staff or translators. Ongoing outreach to other ethnically, culturally or economically-disadvantaged groups throughout Napa County is maintained through regular contact with representatives from community based organizations (CBOs) and local agencies that serve these populations. Specific methods used for outreach to LEP individuals are also outlined in NVTA's 2017 Plan for Language AssistanceAppendix1.

Several current studies³ indicate that the average age of employees outside of agriculture, both in and out of Napa County, is shifting to relatively older workers. This is particularly true for many hospitality industry employees. Napa County has a significant senior population, many of whom live on fixed incomes and have limited access to transportation due to economic, geographic, or physical limitations.

C. PARTNERSHIPS WITH COMMUNITY BASED ORGANIZATIONS (CBOs)

NVTA has identified and maintains contact with a network of representatives from local Community Based Organizations (CBOs), non-profit, faith-based and volunteer groups, health care, legal aid and social service agencies, educators and administrators. The agency relies on these groups to provide input and feedback on their programs and services, as well as to disseminate information to the populations served by or involved with these groups and organizations. Enhanced outreach to these groups includes regular distribution of bilingual (Spanish and English) collateral materials with current route and scheduling information, as well as updates on new programs and services provided by telephone, email, website links and social media posts.

D. TRANSLATION AND INTERPRETIVE SERVICES

NVTA continues to enhance its efforts to provide equal access to low-income, minority and LEP populations. This is accomplished by translating website pages; distributing route schedules, reports and other agency materials; and making translation services more widely available at public venues and community events.

4. PUBLIC PARTICIPATION STRATEGIES

A. INTRODUCTION

Effective public participation strategies utilize a variety of methods to engage the greatest number of people. NVTA continually strives to meet this strategic objective with existing staff and other resources. The following factors guide NVTA staff in the design and implementation of public participation strategies:

- Size and/or scale of the plan or project (regional or county-wide, neighborhood level, etc.)

³ "The Labor Market in Napa County, California: Opportunities and Challenges for the Wine Industry", IMPACT Napa Conference, North Bay Business Journal, August 29, 2013, <http://www.northbaybusinessjournal.com/wp-content/uploads/Robert-Eyler-economics-presentation-for-Impact-Napa-2013.pdf>; "Economic Opportunity and Workforce Development in Napa County", Prepared for the Napa County Workforce Investment Board, September 2010, www.napaworkforce.org/portals/3/downloads/report/NapaEconRpt10.pdf; "Profiles of Immigrants in Napa County", Migration Policy Institute, May 2012, www.migrationpolicy.org/pubs/napa-profile

- Level of potential impacts, including social, economic and environmental impacts

C. EXISTING NVRTA OUTREACH HISTORY OF PUBLIC OUTREACH AND INVOLVEMENT ACTIVITIES

NVRTA has and will continue to use a broad array of communication tools and resources over the last three years to reach out to Napa County residents, businesses, CBOs, service agencies, neighborhood and community groups, visitors, commuters and other potential transit users groups, all of which have the potential to include Title VI-qualifying communities. Some of the tools and methods used by NVRTA to effectively disseminate information to Title VI groups and the larger community include:

- Implementing the language assistance measures outlined in the 2017 NVRTA Plan for LEP Populations (Appendix 1)
- Translation of NVRTA key website pages, documents and reports
 - Google Translate was offered for a website translations on the website
- Making translators available at public meetings and events
 - NVRTA brought a Spanish-speaking employee to events targeting Spanish-speaking audiences and two members of the NVRTA Board of Directors are fluent Spanish speakers who offered translation as necessary at Board meetings.
- Using translation services for responses to individual public requests and service inquiries
- Including contact information for translation requests on all printed material
- Use of local bilingual radio, television and newspaper advertising
 - NVRTA advertised in a Voz Bilingual newspaper for large public meetings
- Distribution of translated or bilingual collateral materials to local CBOs and community agencies
- Use of social media tools and resources
 - NVRTA had active Facebook, Instagram and Twitter accounts
- Participation in local community events
- Hosting of public meetings at appropriate community venues

D. NVRTA will keep a summary of these outreach activities during the term of this plan through 2017-2019. RECOMMENDED STRATEGIES

Pursuant to Title VI regulatory guidance, NVRTA will continue to take reasonable steps to provide meaningful access to underserved populations identified within their service area. This includes ongoing efforts to improve access and opportunities for involvement in the identification of social, economic, and environmental impacts of proposed transportation decisions and programs. All public participation activities normally provided in English will continue to be made available to low-income, minority and LEP populations, using the methods and tools deemed most effective for reaching those audiences, including:

- Continued implementation of the 2017 NVRTA Plan for LEP Populations and training for NVRTA operations, driver and customer service staff on key plan components
- Expanded use of local and regional bilingual radio, television and newspaper advertising
- Continued use of translators and translated materials

- Expansion and continued use of the NVTA's contact database of CBO and other community-focused organizations to maintain open communication, provide input and receive feedback
- Increased use of graphic signage and visually enhanced materials
- Increased use of website applications, posting of website notices and links to information
- Continued posting and distribution to local CBOs, churches, schools, libraries, cultural and community centers and service agency representatives of bilingual flyers, postcards and brochures
- Increased participation in community events
- Continued hosting of public meetings

NVTA also plans to distribute copies of the agency's Public Participation Plan in English, Spanish and Filipino. In addition, NVTA will draft and implement project-specific public participation plans for any major projects or initiatives conducted by the agency. These plans will take into account the audiences affected by the project or initiative, their communication needs, as well as the strategies listed above.

5. PERFORMANCE METRICS AND GOALS

A. MONITORING AND RECORDING

NVTA is committed to accountability and transparency throughout its operations. NVTA staff will continue to monitor and track public participation methods and make the results of those efforts available for review. Complaints, comments, and suggestions from Title VI individuals or groups will be monitored and tracked by designated NVTA staff.

NVTA has collected some existing information about the reach and effectiveness of its current methods and will continue to expand and use that information to improve access, programs and services. Some of the measurable objectives that the NVTA currently tracks or will implement as resources permit, include:

- Regular updates to contacts in the community partners database and outreach to low-income, minority and LEP individuals
 - NVTA currently communicates, collaborates, and coordinates with a host of social service organizations in Napa County including:
 - Queens Carriage, Queen of the Valley Hospital, Napa CA
 - Molly's Angels, non-profit volunteers, Napa CA
 - Adult Day Services, day program center in Napa CA
 - Napa Valley Support Services, day program center & employer, Napa CA
 - Davila Dialysis, Napa CA
 - Napa Valley Dialysis Center, Napa CA
 - PSI, work center for disabled individuals, Napa CA
 - CARE, support network for Queen of the Valley Hospital, Napa CA
 - Napa Valley Family Services, Napa CA
 - Napa Valley Community Housing, Napa CA
 - Vine Village, day program, Napa CA
 - Napa Valley Volunteer Center, Napa CA



- Clinic Ole & Sister Mary Ann's, low income medical clinic, Napa & Calistoga, CA
- St. Helena Hospital, Deer Park CA
- Napa Senior Center, Napa CA
- Golden Living Center, nursing home, Napa CA
- Napa Nursing Center, nursing home, Napa CA
- American Cancer Society, Napa CA
- North Bay Regional Center (NBRC), Napa CA
- Napa County HHSA, Napa CA
- Department of Rehabilitation, Napa CA
- Napa Valley Unifed School District, Napa CA
- Napa Valley Low Vision Support Group, Napa CA
- Womens Center of St. Helena, St. Helena CA
- Aldea, family services, Napa CA
- Napa County Public Authority, In-Home Supportive Services, Napa CA
- Napa Valley College, adaptive PE classes, Napa CA
- Tracking the number and percentage of comments or feedback received in languages other than English
 - NVTa has been tracking all inquiries, comments, and complaints beginning in FY 2016-2017. Prior to that point, NVTa was only tracking service and shelter requests. There have been 23 submissions in FY 2016-2017 so far and an additional 305 submissions in 2015-2016. Of all of the submissions between FY 2015-2017, only six were in Spanish. The physical comment cards are available in Spanish, and there is the option to submit online in Spanish. All submission received were translated into English and responses were given in Spanish as long as contact information was provided.
- Tracking the number and type of Title VI public complaints that the NVTa staff receive via phone, email and in-person visits

B. PUBLIC PARTICIPATION OUTCOMES

The Title VI Public Participation Plan is designed to identify opportunities for greater community involvement through implementation of thoughtful outreach methods and all tools available. These strategies will be applied with the goal of engaging the greatest possible number of residents and visitors, based on available resources and recognition of the unique characteristics, strengths and challenges of the Napa County transportation service area.

As NVTa increases its efforts to solicit involvement from these Title VI-qualifying communities, the agency hopes to see increased engagement from diverse community members. Ongoing engagement and participation will foster a two-way dialogue between transit providers and transit users, leading to improved efficiency and service. NVTa will be able to better serve its customers and its customers will realize greater benefits from the use of NVTa's services.

APPENDIX 3



TITLE VI Compliant Form

(Also available in Spanish and Filipino languages)

Title VI of the Civil Rights Act of 1964 states "No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

Title 42 U.S.C. Section 2000d

Please provide the following information necessary in order to process your complaint. A formal complaint must be filed within 180 days of the occurrence of the alleged discriminatory act. Assistance is available upon request. Please contact NVTa at (707) 259-8631.

Complete this form and return to:

Civil Rights Officer
Napa Valley Transportation Authority
625 Burnell Street
Napa, CA 94559

Complainant's Name:
Address: City:
State: Zip Code:
Telephone (Home): (Work):

Person(s) discriminated against (if other than complainant)

Name:
Address: City:
State: Zip Code:
Telephone (Home): (Work):

What is the discrimination based on?

☐ Race/Color

☐ National Origin



Date of the alleged discrimination: Location:

Agency or person that who was responsible for alleged discrimination:

Describe the alleged Discrimination. Explain what happened and whom you believe was responsible (for additional space, attach additional sheets of paper to this form.

List names and contact information of persons who may have knowledge of the alleged discrimination.

How can this complaint be resolved? How can the problem be corrected?

Please sign and date. The complaint will not be accepted if it is has not been signed. You may attach any written materials or other supporting information that you think is relevant to your compliant.

Signature

Date



APPENDIX 4



Systemwide Title VI Service Standards and Policies

In preparation for the Title VI update, the Napa Valley Transportation Authority is required to adopt and then apply Vine Transit's Systemwide Service Standards and Policies to fixed route service. Some of these standards and policies already exist; some need updating, and some need creating. This document establishes standards to be used in the 2017 Title VI Plan and will supersede those previously adopted. The required Title IV standards are:

- System-wide Service Standards
 - a. Vehicle Load
 - b. Vehicle Headways
 - c. On-time Performance
 - d. Service Availability
- System-wide Service Policies
 - a. Vehicle Assignment
 - b. Transit Amenities

Systemwide Service Standards

Vehicle Load Factor is described as follows by FTA Circular 4702.1B:

Vehicle load can be expressed as the ratio of passengers to the total number of seats on a vehicle. For example, on a 40-seat bus, a vehicle load of 1.3 means all seats are filled and there are approximately 12 standees. A vehicle load standard is generally expressed in terms of peak and off-peak times.

Vine Calculates vehicle load factor based on the following performance measures and standards:

Fixed Route: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak for local service. All commuter services should be equal to or less than 1.0 during all times of day.

Paratransit: Never exceed 1.0

Community Shuttles: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak.

Vehicle Load Factor is monitored regularly and used to determine whether additional capacity needs to be added to specific trips or routes based on changing demand patterns.



Vehicle Headway is described as follows by FTA Circular 4702.1B:

Vehicle headway is the amount of time between two vehicles traveling in the same direction on a given line or combination of lines. A shorter headway corresponds to more frequent service. Vehicle headways are measured in minutes (e.g., every 15 minutes). Headways and frequency of service are general indications of the level of service provided along a route. Vehicle headway is one component of the amount of travel time expended by a passenger to reach his/her destination.

Vine Routes 1 – 8 provide service to the residents of the City of Napa. The majority of these routes are deployed in one way loops creating a coverage based system ensuring that most residents are within walking distance of fixed route transit. On weekdays Routes 2 – 5, 7, and 8 operate on half hourly headways while the Routes 1 and 6 run every forty-five minutes. On Saturdays all local routes run every forty-five minutes with no service on Sundays.

Vine intercity Routes 10 and 11 operates between the communities in the County of Napa as well as the City of Vallejo. The Route 10 runs from the City of Calistoga in northern Napa County to the Napa Valley College (NVC) campus in the south part of the City of Napa. The Route 11 runs from the Redwood Park and Ride Lot in the northern part of the City of Napa to the City of Vallejo serving the Vallejo Ferry Terminal, the Vallejo Transit Center in downtown, and Kaiser Vallejo. These routes intersect in the City of Napa along the main corridors of Soscol Avenue and Trancas Street. Each service runs on hourly headways but Route 10 and 11 schedules are staggered in order to operate at a minimum of half hour frequencies between Napa Valley College and Redwood Park and Ride during peak periods. Service is provided Sunday through Saturday with more limited service on the weekends.

On-Time Performance is described as follows by FTA Circular 4702.1B:

On-time performance is a measure of runs completed as scheduled. This criterion first must define what is considered to be “on time.” For example, a transit provider may consider it acceptable if a vehicle completes a scheduled run between zero and five minutes late in comparison to the established schedule. On-time performance can be measured against route origins and destinations only, or against origins and destinations as well as specified time points along the route. Some transit providers set an on-time performance standard that prohibits vehicles from running early (i.e., ahead of schedule) while others allow vehicles to run early within a specified window of time (e.g., up to five minutes ahead of schedule). An acceptable level of performance must be defined (expressed as a percentage). The percentage of runs completed system-wide or on a particular route or line within the standard must be calculated and measured against the level of performance for the system.

Vine Transit defines a bus as late if it departs the “time point” five (5) or more minutes later than the published time. Buses are considered early if they depart from a published time point at any time prior to the scheduled departure.

Current Standard: Vine Transit has an adopted on-time performance goal of 90 percent. On-time performance is tracked and included within monthly performance reports to the Vine Transit’s Board of Directors.

Service Availability is described as follows by FTA Circular 4702.1B:

Service availability is a general measure of the distribution of routes within a transit provider's service area. For example, a transit provider might set a service standard to distribute routes such that a specified percentage of all residents in the service area are within a one-quarter mile walk of bus service or a one-half mile walk of rail service. A standard might also indicate the maximum distance between stops or stations. These measures related to coverage and stop/station distances might also vary by population density.

Vine Transit determines transit service availability by mapping all active bus stops within the system and then calculating the population that resides within three-quarter mile radii of those stops. This information is then compared to the total service area population.

Systemwide Service Policies

The FTA requires fixed-route transit providers to develop a policy for each of the following service indicators. The following policies differ from service standards in that they are not based on meeting a quantitative threshold, but rather qualitative evaluation results.

Vehicle Assignment is described as follows by FTA Circular 4702.1B:

Vehicle assignment refers to the process by which transit vehicles are placed into service in depots and on routes throughout the transit provider's system. Policies for vehicle assignment may be based on the age of the vehicle, where age would be a proxy for condition. For example, a transit provider could set a policy to assign vehicles to depots so that the age of the vehicles at each depot does not exceed the system-wide average. The policy could also be based on the type of vehicle. For example, a transit provider may set a policy to assign vehicles with more capacity to routes with higher ridership and/or during peak periods.

Vine Transit currently has four (4) general types of fixed-route buses in the fleet, all of which are maintained to the same strict standards:

- 28-foot medium-duty transit buses
- 30-foot heavy-duty transit buses
- 35-foot heavy-duty transit buses
- 40-foot heavy-duty transit buses

Proposed Policy: All buses have the same level of amenities (i.e. air conditioning, wheelchair lifts, automated stop announcements), available to riders. Buses are not assigned to specific communities within Vine Transit's service area based on vehicle age, but rather to serve specific routes that call for vehicles of differing lengths based street limitations. Many of the routes serve multiple communities with diverse populations. Given Vine Transit's strict standards with respect to maintenance, age does not serve as a viable proxy for diminished quality.

Transit Amenities are described as follows by FTA Circular 4702.1B:

Transit amenities refer to items of comfort, convenience, and safety that are available to the general riding public. Fixed-route transit providers must set a policy to ensure equitable distribution of transit amenities across the system. Policies in this area address how these amenities are distributed within a transit system, and the manner of their distribution determines whether transit users have equal access to these amenities. This...is not intended to impact funding decisions for transit amenities. Rather, this...applies after a transit provider has decided to fund an amenity.

Proposed Policy: Transit amenities are distributed on a system-wide basis. Transit amenities include shelters, benches, and real time signage. The location of transit amenities is determined by factors such as ridership, individual requests, staff recommendations, and vendor preference (in the case of shelters which feature advertisements).



Napa County Short Range Transit Plan

FY 2016-2026



Chapter 3: Goals, Objectives, & Standards

1.1 Process for Establishing, Reviewing, and Updating Goals, Objectives, and Standards

Goals, objectives, and standards for Vine fixed route, VineGo paratransit, and NVRTA's community shuttles are reviewed on an annual basis, in conjunction with updating the Short Range Transit Plan. Goals and objectives as stated in the short range transit plan provide the agency with a concrete and consistent direction of operating and improving upon its transit services.

Performance against adopted service standards is evaluated on a quarterly and annual basis. This review allows planning staff to react to poor performance and develop an action plan to remediate any deficiencies. Monthly reports are also produced to measure performance of the system to help staff and board members make informed decisions. These reports do not cover all standards set forth in this SRTP; however they do cover the key performance indicators as outlined in Chapter 2.

1.2 Napa Valley Transportation Authority Goals

NVRTA staff has developed the following goals:

1. Provide high-quality transit services.
2. Operate safe, comfortable, and reliable services.
3. Efficiently use NVRTA resources.
4. Be a forward-thinking organization meeting the needs of an evolving and diverse community.

1.3 Napa Valley Transportation Authority Objectives

The sixteen (16) objectives below were developed to support the achievement of the goals stated in the previous section. NVRTA has elected to present them as a group, rather than listing specific objectives under each goal recognizing that an individual objective can correlate to multiple goals. NVRTA's objectives for planning, funding, and delivery of Vine services as part of a multi-modal transportation system in the County of Napa are:

Objective 1: Provide transit services that are cost-efficient.

Objective 2: Provide transit services that are reliable.

Objective 3: Provide transit services that are safe and secure.

Objective 4: Provide transit services that are convenient.

Objective 5: Provide transit services that are comfortable.

Objective 6: Provide transit services that are an attractive option for individuals who have other transportation mode options available to them.

Objective 7: Design service to better coordinate with other operators inside and outside of Napa County

Objective 8: Deploy all services in the most efficient manner possible.

Objective 9: Maintain fleet and facilities in a constant state of good repair.

Objective 10: Strive to replace fleet vehicles at the end of their useful life.

Objective 11: Attempt to utilize alternative fuel vehicles where financially and operationally feasible.

Objective 12: Monitor financial and performance data on a monthly, quarterly, and annual basis.

Objective 13: Ensure compliance with all local, state, and federal regulations.

Objective 14: Ensure the consideration of transit needs in all local land use decisions.

Objective 15: Promote partnerships with other organizations to support common interests and goals.

Objective 16: Promote public participation in service planning decisions.

1.4 Napa Valley Transportation Authority Measures and Performance Standards

The following tables will outline what goals NVTa's measures and performance standards fall under and which objective or objectives they coincide with. The performance standards consist of both qualitative and quantitative definitions of acceptable performance. Actual performance is measured against these standards on a monthly, quarterly, and annual basis. This amount of review allows staff to be more proactive in ensuring the Vine services are operating at maximum efficiency.

1.4.1 Goal 1 – Provide High Quality Transit Services

In order to meet the mobility needs of the residents of Napa County, NVRTA strives to implement the highest quality transit services possible. The measures and performance standards ensure that NVRTA can monitor and responded to any deficiencies that may be the outcome of poor quality of service.

Table 3-1: Goal 1 Performance Measures & Standards

Measure	Standard	Objective(s)
Total Ridership	Fixed Route: Increase over prior fiscal year Paratransit: Growth should not lead to denials Community Shuttles: Growth should not lead to excessive wait times	2, 3, 4, 5, 6, 7, 8, 12, 15, & 16
Passengers per Revenue Vehicle Hour	Fixed Route: Greater than 80% of system average Paratransit: Greater than 2.0 Community Shuttles: Greater than 4.0	2, 3, 4, 5, 6, 7, 8, 12, 15, & 16
Load factor	Fixed Route: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak for local service. All commuter services should be equal to or less than 1.0 during all times of day. Paratransit: Never exceed 1.0 Community Shuttles: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak.	2, 3, 4, 5, 6, 7, 8, 12, 15, & 16
Percent Missed Trips per Trip Miles	Fixed Route: Less than .01% Paratransit: 0% Community Shuttles: Less than .01%	2, 3, 4, 5, 6, 7, 8, 15, & 16
Scheduled On-Time Arrivals	Fixed Route: Equal or greater than 90% on-time Paratransit: Equal or greater than 97% on-time Community Shuttles: 90% of service will arrive within 30 minutes of request for service.	2, 4, 6, & 12
Passenger Injuries	All Modes: Less than 1 per 100,000 passenger trips	3, 9, & 10
Preventable Accidents	All Modes: Less than 1 per 100,000 revenue miles	3, 9, & 10
Complaints	Fixed Route: Less than 1 per 100,000 revenue miles Paratransit: No more than 1 complaint for every 600 passenger trips. Community Shuttles: Less than 1 per 5,000 revenue miles	2, 3, 4, 5, 6, 7, 9, 14, 15, & 16
Percent of Trips Denied	Paratransit: 0%	2, 4, 7, 8, & 16



Measure	Standard	Objective(s)
Cleanliness of Buses	Interiors and exteriors cleaned daily	2, 3, 5, 6, & 9
Proximity to Service	<p>Fixed Route: 95% of dwelling units in areas having six or more units per acre to be located with 1-4 mile of a stop, all major destinations to be within 1-8 of a mile of a stop.</p> <p>Paratransit: Service will be available to all qualifying residents of Napa County with residences, destinations, or the ability to find alternate means to come within 3-4 of a mile from Vine fixed route service.</p>	1, 2, 3, 4, 5, 6, 8, & 16
Frequency of Service	<p>Fixed Route: Frequency of service should never be more than one bus per hour for local and intercity buses. Commuter service frequency should never be more than one bus per one and half hours. System average should be 45 minutes or less.</p>	1, 2, 4, 5, 6, 7, 8, & 16
Percentage of ADA Accessible Stops	100% of all new stops shall be ADA accessible, existing stops should be made accessible to the greatest extent possible.	2, 3, 4, 5, 6, 9, & 16
Bus Stop Amenities	Stops which average 50 or more riders a day should have a shelter installed if feasible.	3, 4, 5, 6, & 8
Trip length	Paratransit: Trips should not exceed 1.25 times that of an equivalent trip on fixed route transit.	2, 4, 5, 6, & 8



1.4.2 Goal 2 – Operate Safe, Reliable, and Comfortable Service

Safe, reliable, and comfortable service are NVTa's top priorities. Promoting safe habits for drivers and delivering service people want to use benefits the agency as well as the community.

Table 3-2: Goal 2 Performance Measures & Standards

Measure	Standard	Objective(s)
Average Age of Fleet by Vehicle Type	Fixed Route: Average age should not exceed 12 years. Paratransit: Average age should not exceed 4 years. Community Shuttles: Average age should not exceed 4 years.	1, 2, 3, 5, 8, 9, 10, & 13
Average Mileage of Fleet by Vehicle Type	Fixed Route: Average should not exceed 500,000 miles. Paratransit: Average should not exceed 100,000 miles. Community Shuttles: Average should not exceed 100,000 miles.	1, 2, 3, 5, 8, 9, 10, & 13
Scheduled On-Time Arrivals	Fixed Route: Equal or greater than 90% on-time Paratransit: Equal or greater than 97% on-time Community Shuttles: 90% of service will arrive within 30 minutes of request for service.	2, 4, 6, & 12
Passenger Injuries	All Modes: Less than 1 per 100,000 passenger trips	3, 9, & 10
Preventable Accidents	All Modes: Less than 1 per 100,000 revenue miles	3, 9, & 10
Complaints	Fixed Route: Less than 1 per 100,000 revenue miles Paratransit: No more than 1 complaint for every 600 passenger trips. Community Shuttles: Less than 1 per 5,000 revenue miles	2, 3, 4, 5, 6, 7, 9, 14, 15, & 16
Percent of Trips Denied	Paratransit: 0%	2, 4, 7, 8, & 16
Cleanliness of Buses	All Modes: Interiors and exteriors cleaned daily	2, 3, 5, 6, & 9
Percent Missed Trips per Trip Miles	Fixed Route: Less than .01% Paratransit: 0% Community Shuttles: Less than .01%	2, 3, 4, 5, 6, 7, 8, 15, & 16
Preventative Maintenance Work Completed On-Time	Greater than 99%	1, 2, 3, 5, 8, 9, 10, & 13
Vehicle Service Miles Between Road Calls	Greater than 25,000 miles	1, 2, 3, 5, 8, 9, 10, & 13

Measure	Standard	Objective(s)
Load factor	Fixed Route: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak for local service. All commuter services should be equal to or less than 1.0 during all times of day. Paratransit: Never exceed 1.0 Community Shuttles: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak.	2, 3, 4, 5, 6, 7, 8, 15, & 16
Frequency of Service	Fixed Route: Frequency of service should never be more than one bus per hour for local and intercity buses. Commuter service frequency should never be more than one bus per one and half hours. System average should be 45 minutes or less.	1, 2, 4, 5, 6, 7, 8, & 16
Percentage of ADA Accessible Stops	100% of all new stops shall be ADA accessible, existing stops should be made accessible to the greatest extend possible	2, 3, 4, 5, 6, 9, & 16
Bus Stop Amenities	Stops which average 50 or more riders a day should have a shelter installed if feasible.	3, 4, 5, 6, & 8
Trip length	Paratransit: Trips should not exceed 1.25 times that of an equivalent trip on fixed route transit.	2, 4, 5, 6, & 8

1.4.3 Goal 3 – Efficiently Use of Resources

NVTA strives to use its resources in an efficient and responsible manner. Ensuring needs are met and budgets are not overrun are two of NVTA's top financial goals.

Table 3-3: Goal 3 Performance Measures & Standards

Measure	Standard	Objective(s)
Total Ridership	Fixed Route: Increase over prior fiscal year Paratransit: Growth should not lead to denials Community Shuttles: Growth should not lead to excessive wait times	2, 3, 4, 5, 6, 7, 8, 12, 15, & 16
Passengers per Revenue Vehicle Hour	Fixed Route: Greater than 80% of system average Paratransit: Greater than 2.0 Community Shuttles: Greater than 4.0	2, 3, 4, 5, 6, 7, 8, 12, 15, & 16
Subsidy per Passenger	Fixed Route: At or less than \$6.50 Paratransit: At or less than \$40 Community Shuttles: At or less than \$15	1, 8, & 12
Operating Cost per Service Hour	Fixed Route: At or less than \$60	1, 8, & 12
Operating Cost per Revenue Hour	Paratransit: At or less than \$90 Community Shuttles:	1, 8, & 12
Operating Cost per Passenger	Fixed Route: At or less than \$4.50 Paratransit: At or less than \$24 Community Shuttles: At or less than \$75	1, 8, & 12
Farebox Recovery Ratio	Fixed Route: Meet or exceed 15%. Paratransit: Meet or exceed 10%. Community Shuttles: Meet or exceed 10%.	1, 6, 7, 8, 12, & 14
Load factor	Fixed Route: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak for local service. All commuter services should be equal to or less than 1.0 during all times of day. Paratransit: Never exceed 1.0 Community Shuttles: Less than 1.5 in peak for local service, less than or equal to 1.0 in off peak.	2, 3, 4, 5, 6, 7, 8, 15, & 16
Percent Missed Trips per Trip Miles	Fixed Route: Less than .01% Paratransit: 0%	2, 3, 4, 5, 6, 7, 8, 15, & 16

Measure	Standard	Objective(s)
	Community Shuttles: Less than .01%	
Scheduled On-Time Arrivals	Fixed Route: Equal or greater than 90% on-time Paratransit: Equal or greater than 97% on-time Community Shuttles: 90% of service will arrive within 30 minutes of request for service.	2, 4, 6, & 12
Complaints	Fixed Route: Less than 1 per 100,000 revenue miles Paratransit: No more than 1 complaint for every 600 passenger trips. Community Shuttles: Less than 1 per 5,000 revenue miles	2, 3, 4, 5, 6, 7, 9, 14, 15, & 16
Percent of Trips Denied	Paratransit: 0%	2, 4, 7, 8, & 16
Stop Spacing	Stops should be spaced no closer than 1-4 of a mile and no further than 1-3 of a mile unless infrastructure constraints are present.	1, 4, 6, 7, 8, & 14
Proximity to Service	Fixed Route: 95% of dwelling units in areas having six or more units per acre to be located with 1-4 mile of a stop, all major destinations to be within 1-8 of a mile of a stop. Paratransit: Service will be available to all qualifying residents of Napa County with residences, destinations, or the ability to find alternate means to come within 3-4 of a mile from Vine fixed route service.	1, 2, 3, 4, 5, 6, 8, & 16
Frequency of Service	Fixed Route: Frequency of service should never be more than one bus per hour for local and intercity buses. Commuter service frequency should never be more than one bus per one and half hours. System average should be 45 minutes or less.	1, 2, 4, 5, 6, 7, 8, & 16

1.4.4 Goal 4 – Be a Forward Think Organization Meeting the Needs of an Evolving and Diverse Community

NVTA is always looking for new and useful technology that will make operating the system more efficient as well as attract new riders. By listening to the needs and wants of the community as well as introducing useful tools to the system NVTA will be able to create a strong and vibrant transit system.

Table 3-4: Goal 4 Performance Measures & Standards

Measure	Standard	Objective(s)
Stop Spacing	Stops should be spaced no closer than 1-4 of a mile and no further than 1-3 of a mile in urban areas. Stops located in rural areas will be evaluated on a case by case basis to ensure that ADA accessibility requirements are met and there is a clear and present demand.	1, 4, 6, 7, 8, & 14
Proximity to Service	Fixed Route: 95% of dwelling units in areas having six or more units per acre to be located with 1-4 mile of a stop, all major destinations to be within 1-8 of a mile of a stop. Paratransit: Service will be available to all qualifying residents of Napa County with residences, destinations, or the ability to find alternate means to come within 3-4 of a mile from Vine fixed route service.	1, 2, 3, 4, 5, 6, 8, & 16
Frequency of Service	Fixed Route: Frequency of service should never be more than one bus per hour for local and intercity buses. Commuter service frequency should never be more than one bus per one and half hours. System average should be 45 minutes or less.	1, 2, 4, 5, 6, 7, 8, & 16
Percentage of ADA Accessible Stops	100% of all new stops shall be ADA accessible, existing stops should be made accessible to the greatest extend possible	2, 3, 4, 5, 6, 9, & 16
Bus Stop Amenities	Stops which average 50 or more riders a day should have a shelter installed if feasible.	3, 4, 5, 6, & 8
Average Age of Fleet by Vehicle Type	Fixed Route: Average age should not exceed 12 years. Paratransit: Average age should not exceed 4 years. Community Shuttles: Average age should not exceed 4 years.	1, 2, 3, 5, 8, 9, 10, & 13

Measure	Standard	Objective(s)
Average Mileage of Fleet by Vehicle Type	Fixed Route: Average should not exceed 500,000 miles. Paratransit: Average should not exceed 100,000 miles. Community Shuttles: Average should not exceed 100,000 miles.	1, 2, 3, 5, 8, 9, 10, & 13
Total Ridership	Fixed Route: Increase over prior fiscal year Paratransit: Growth should not lead to denials Community Shuttles: Growth should not lead to excessive wait times	2, 3, 4, 5, 6, 7, 8, 15, & 16
Passengers per Revenue Vehicle Hour	Fixed Route: Greater than 80% of system average Paratransit: Greater than 2.0 Community Shuttles: Greater than 4.0	2, 3, 4, 5, 6, 7, 8, 15, & 16
Maintain an up-to-date list of stakeholders	Contact individuals and organizations yearly to ensure information is up-to-date on contact list.	14, 15, & 16
Implement Public Outreach in Accordance with the Title VI Public Participation Plan	Complete check-list of required processes in accordance with Title VI Public Participation Plan prior to an outreach event.	15 & 16
Land Use Coordination	Comment on all design referrals with obvious transit nexus. Ensure participation on any TAC for major local land use projects	14, 15, & 16



Title VI Notice to the Public

The Napa Valley Transportation Authority (Vine Transit) grants all citizens equal access to its transportation services in Napa County. NVTA and Vine Transit is committed to a policy of nondiscrimination in the conduct of its business, including its responsibilities under Title VI of the Civil Rights Act of 1964 which provides that no person shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under its program of transit services delivery. To request additional information on NVTA's Title VI obligations contact at 707-259-8631 or at the 'Contact Us' tab on www.ridethevine.com.

A complainant may file a complaint directly with the Federal Transit Administration by filing a complaint with the Office of Civil Rights, Attention: Title VI Program Coordinator, East Building, 5th Floor-TCR, 1200 New Jersey Ave., SE, Washington, DC 20590

If information is needed in another language, contact 707-259-8631

Title VI Complaint Procedures

If you believe that you have received discriminatory treatment based on race, color or national origin with regard to transit services delivery, you have the right to file a Title VI complaint with the Authority's Civil Rights Administrator. Federal and State laws require complaints to be filed within one-hundred and eighty (180) calendar days of the last alleged incident. You may download a complaint form by visiting www.nvta.ca.gov or www.vinetransit.com. You may also call customer service and ask for a Title VI complaint form to be mailed to you. You may also submit a written statement that contains all the information listed below. Complaints should be mailed or delivered to:

Napa Valley Transportation Authority
Civil Rights Officer
625 Burnell St.
Napa, CA 94559

All complaints should include the following information:

1. Name, address, and telephone number of the complainant.
2. The basis of the complaint; (e.g, race, color, or national origin).
3. The date(s) on which the alleged discriminatory event occurred.
4. The nature of the incident that led the complainant to feel discrimination was a factor.
5. Names, addresses and telephone numbers of persons who may have knowledge of the event.
6. Other agencies or courts where complaint may have been filed and a contact name.

Declaración de la política

La Autoridad de tránsito de Napa Valley Transportation Authority (Vine Transit) otorga a todos los ciudadanos igual acceso a sus servicios de transporte en Napa Valley Transportation Authority. Vine Transit está comprometida con una política de no discriminación al llevar a cabo sus negocios, incluso sus responsabilidades bajo el Título VI de la Ley de Derechos

Civiles de 1964, la cual establece que ninguna persona deberá, con base en su raza, color de piel o país de origen, ser excluida de participar, que se le nieguen, beneficios o estar sujeta a discriminación bajo su programa de prestación de servicios de tránsito. Para solicitar información adicional sobre las obligaciones del Título VI de NVTA, comuníquese al 707-259-8631 o en la pestaña "Contáctenos" www.ridethevine.com

Un demandante puede presentar una queja directamente ante la Administración Federal de Tránsito al presentar una queja ante la Oficina de Derechos Civiles,

Atención: Title VI Program Coordinator, East Building, 5th Floor-TCR,
1200 New Jersey Ave., SE, Washington, DC 20590

Si necesita la información en otro idioma, comuníquese llamando al 707-259-8631

Procedimientos de cumplimiento del Título VI

Si considera que ha sido tratado de forma discriminatoria con base en la raza, el color de piel o el país de origen en relación con la prestación de los servicios de tránsito, tiene derecho a presentar una queja del Título VI ante el Administrador de Derechos Civiles de la Autoridad. Las leyes federales y estatales requieren que las quejas se presenten en un plazo de ciento ochenta (180) días calendario del supuesto incidente. Puede descargar una queja al visitar www.nvta.ca.gov o www.vinetransit.com. También puede llamar a servicios al cliente y pedir que le envíen por correo un formulario de quejas del Título VI.

También puede enviar una declaración por escrito que contenga toda la información que se indica a continuación. Las quejas se deben enviar por correo o entregarlas en:

Napa Valley Transportation Authority
Civil Rights Officer
625 Burnell St.
Napa, CA 94559

Todas las quejas deben incluir la información siguiente:

1. Nombre, dirección y número de teléfono del demandante
2. El fundamento de la queja (p. ej. raza, color de la piel o país de origen).
3. La fecha en la que ocurrió el supuesto suceso de discriminación.
4. La naturaleza del incidente que causó que el demandante considerara que la discriminación era un factor.
5. Nombres, direcciones y números de teléfono de las personas que podrían tener conocimiento del suceso.
6. Otras agencias o tribunales en donde el demandante podría haber presentado la queja y un nombre de contacto.

Pahayag ng Patakarang

Pinagkakalooban ng Central Contra Costa Transit Authority (County Connection) ang lahat ng mamamayan ng pantay-pantay na akses sa mga serbisyo nito ng transportasyon sa Central Contra Costa. Dedikado ang Vine Transit sa patakarang walang-diskriminasyon sa pagpapatakbo ng negosyo nito, kabilang ang mga responsibilidad nito sa ilalim ng Title VI ng Civil Rights Act of 1964 na nagsasaad na dapat ay walang tao, na hindi pahihintulutan sa pakikilahok, pagkakaitan ng mga benepisyo, o sasailalim ng diskriminasyon sa ilalim ng programa nito sa paghahatid ng mga serbisyong transportasyon dahil sa kanyang lahi, kulay o bansang pinagmulan. Upang humiling ng karagdagang impormasyon tungkol sa mga obligasyon sa Title VI ng NVTa sa 707-259-8631 o sa tab na 'Makipag-ugnay sa Amin' sa www.ridethevine.com

Ang isang nagrereklamo ay maaaring direktang maghain ng reklamo sa Federal Transit Administration sa pamamagitan ng paghahain ng reklamo sa Office of Civil Rights, Attention: Title VI Program Coordinator, East Building, 5th Floor-TCR, 1200 New Jersey Ave., SE, Washington, DC 20590
Kung kinakailangan ang impormasyon sa iba pang wika, makipag-ugnayan sa 707-259-8631.

Mga Pamamaraan ng Reklamo ukol sa Title VI

Kung naniniwala kang nakatanggap ka ng pakikitungong may-diskriminasyon batay sa lahi, kulay o bansang pinagmulan kaugnay sa paghahatid ng mga serbisyong transportasyon, may karapatan kang maghain ng reklamo sa Title VI sa Civil Rights Administrator ng Authority. Hinihingi ng mga batas na Pederal at Pang-estado na ihain ang mga reklamo sa loob ng isangdaan at walumpung (180) araw sa kalendaryo mula sa sinasabing insidente. Maaari mong i-download ang form para sa paghain ng reklamo sa pamamagitan ng pagbisita sa www.nvta.ca.gov o www.vinetransit.com . Maaari ka ring tumawag sa customer service at hilinging mapadalhan ka sa koreo ng form ng reklamo sa Title VI. Maaari mo ring isumite ang isang nakasulat na pahayag na naglalaman ng lahat ng impormasyong nakalista sa ibaba. Dapat ipakoreo o ipahatid ang mga reklamo sa:

Napa Valley Transportation Authority
Civil Rights Officer
625 Burnell St.
Napa, CA 94559

Dapat kasama sa lahat ng reklamo ang mga sumusunod na impormasyon:

1. Pangalan, address, at numero ng telepono ng nagrereklamo.
2. Ang batayan ng reklamo; (hal., lahi, kulay, o bansang pinagmulan).
3. Ang (mga) petsa kung kailan nangyari ang sinasabing pangyayaring may diskriminasyon.
4. Ang uri ng insidente na nagbigay-daan upang maramdaman ng nagrereklamo na isang salik ang diskriminasyon.
5. Mga pangalan, address at numero ng telepono ng mga taong maaaring may alam sa pangyayari.
6. Iba pang ahensiya o hukuman kung saan maaaring inihain ang reklamo at pangalan ng nakaugnayan.



List of Transit-Related Title VI Investigations, Complaints and Lawsuits

In order to comply with the requirements of Circular 4702.1B, FTA requires all recipients to prepare and maintain a list of any of the following that allege discrimination on the basis of race, color, or national origin: active investigations conducted by the entities other than FTA; lawsuits; and complaints naming the recipient. This list shall include the date that the investigation, lawsuit, or complaint was filed; summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient in response, or final findings related to, the investigation, lawsuit, or complaint.

Napa Valley Transportation Authority has not received any Title VI Investigations or Lawsuits since the submission of its last Title VI Program. The NVRTA did receive two complaints in 2014 as outlined below. No complaints were received in 2015 or 2016. Below is the list used for tracking these incidents:

Title VI Investigations, Lawsuits and Complaints

	Date (Month, Day, Year)	Summary (Include basis of complaint: race, color, or national origin)	Status	Action Taken
Investigations				
1.	N/A			
Lawsuits				
1.	N/A			
Complaints				
1.	1/29/14	Title VI complaint was made against the VINE Valentine's Day Decorated Bus free ride promotion. One of our Transit buses was decorated for Valentine's Day and	Closed	The complaint was reviewed by the NVRTA Board of Directors at their February 29, 2014 meeting. The Board of Directors



APPENDIX 6

		<p>passengers rode this bus free of charge. This bus was randomly rotated throughout the day to serve each of our local Transit routes. A Title VI complaint was file on the basis of being denied service because the passenger felt he is being denied the benefit of riding the bus free of charge as the Valentine's Bus did not service his route at the time of his ride. I asked if the driver explained the Valentine's Day free bus ride program to him and Mr. Bravo stated that the driver did not.</p>		<p>voted unanimously to deny the Title VI complaint. The Board acknowledged, however, that the passenger may have received poor customer service because the Valentine's Day bus promotion was not adequately explained to him. Future promotionals will be adequately explained to VINE Transit passengers.</p>
2.	10/21/2014	<p>Per VINE transit passenger complaint was filed as a Title VI violation, because the passenger didn't know what other recourse to take as she felt her complaint to the VINE Go service provider (Transdev) of her injury and damage to her wheelchair wasn't being taken seriously. Passenger further stated that VINE Go has left her at the Napa Valley College on several occasions but couldn't give specific dates/times. Passssenger was encouraged to keep record of dates/times of these occurrences and if necessary to file a formal Title VI complaint so that is issue can be investigated.</p>	Closed	<p>The complaint was reviewed by the NVTB Board of Directors at their November 19, 2014 meeting. The Board of Directors voted unanimously to deny the Title VI complaint.</p>



APPENDIX 7

Racial Breakdown of the Membership of Transit-Related Advisory Committees

	Paratransit Coordinating Council (PCC)	Citizens Advisory Committee (CAC)
Approved Membership Positions	9	19
Filled Membership Positions	7	15
Members Completing Survey	7	10
American Indian/Alaskan Native		
Black or African American (Non-Hispanic Origin)		1
White or Caucasian	7	7
Hispanic (Mexican, Puerto Rican, Cuban, Central or South African or other Spanish Origin)		1
Asian/Pacific Islander		1

Outreach Efforts to Encourage Participation

NVTA values the ethic and cultural diversity of the public it serves in Napa County. Accordingly, when committee vacancies occur, NVTA will ensure that effective efforts are made to encourage the participation of minorities on such committees.

NVTA will utilize a number of strategies to promote meaningful participation by underrepresented groups, including targeted outreach. Methods may include, but are not limited to, one or more of the following:

- Paid and free notices in the local media, especially those ethically, culturally-based for the targeted group NVTA is trying to reach. This effort includes print, electronic and social media.
- Translating notices into the native language of the targeted group.
- Posting the vacancy on NVTA's website.
- Outreach to civic, cultural or human services organizations known to serve the targeted group informing them of the opportunity and need and enlisting their help.
- Notifying the municipalities within the county of the vacancy and underrepresentation.
- Placing informational signs on the Vine buses, bus stops/shelters, Customer service, NVTA office, and other facilities.





RESOLUTION No. 16-23

**A RESOLUTION OF THE
NAPA VALLEY TRANSPORTATION AUTHORITY (NVRTA)
ADOPTING THE NVRTA TITLE VI PROGRAM POLICY**

WHEREAS, the Napa Valley Transportation Authority (NVRTA) is designated the countywide transportation planning agency responsible for Highway, Street and Road, transit, bicycle, and pedestrian planning and programming within Napa County; and

WHEREAS, Title VI of the Civil Rights Act of 1964 requires recipients of federal grants and other assistance to operate their programs and services without regard to, or discrimination based on, race, color or national origin; and

WHEREAS, the Federal Transit Administration (FTA) issued Circular FTA C 4702.1B, effective October 1, 2012, setting forth requirements and guidelines for Title VI compliance; and

WHEREAS, the above-referenced Circular details required elements of a Title VI Program Report, which each recipient of FTA grants and assistance must submit to the FTA every three (3) years to evidence compliance with Title VI;

WHEREAS, NVRTA's current Title VI Program expires on March 31, 2016, therefore necessitating submittal of an updated program report to the FTA by December 1, 2016; and

WHEREAS, NVRTA's Title VI Program Report must include numerous elements, including but not limited to:

1. Information on numerous agency policies, procedures and activities undertaken over the last three years;
2. A public participation plan (PPP);
3. Information on public outreach undertaken over the past three (3) years, including development and approval of the Vine Transit Title VI Fare Equity Analysis accepted by this Board on January 15, 2015;
4. A plan for engaging persons with limited English proficiency (LEP);
5. System-wide service standards and policies; and

WHEREAS, Staff has developed a proposed Title VI Program Plan, including the above-referenced items and evidencing NVRTA's compliance with Title VI, for Board consideration and approval.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Directors hereby adopts the NVRTA Title VI Program as set forth in the Title VI Program; and

BE IT FURTHER RESOLVED that the Board of Directors authorizes the Executive Director, or designee, to:

1. Include evidence of the Board's consideration and approval of the Title VI Program;
2. Submit the final Title VI Program to the FTA; and
3. Take any other steps necessary to give effect to this Resolution, including responding to any follow-up inquiries from the FTA.

THE FOREGOING RESOLUTION WAS DULY AND REGULARLY ADOPTED by the Board of Directors of the Napa Valley Transportation Authority, at a regular meeting held on September 21st, 2016, by the following vote:



Peter White, NVTA Chair

Ayes: Garica(2), Ramos(2),
Barnes(1), Luros(5),
Techel(5), Caldwell(2),
Luce(2), Galbraith(1),
White(1), Dunbar(1),
Mohler(1)

Nays: None

Absent: Canning(1)

ATTEST:


Karalyn E. Sanderlin, NVTA Board Secretary

APPROVED:

Jeffrey M. Richard (via e-signature)
Jeffrey M. Richard, NVTA Legal Counsel

Date: September 12, 2016

APPENDIX 9



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[Home](#) > [Printer-friendly](#) > Title VI

Title VI Notice to Public

Title VI Notice to Public

The Napa Valley Transportation Authority is committed to ensuring that no person is excluded from participation in or denied the benefits of its services on the basis of race, color or national origin, as provided by Title VI of the Civil Rights Act of 1964, as amended. It's objective to:

- Ensure that the level and quality of transportation service is provided without regard to race, color, or national origin;
- Promote the full and fair participation of all affected populations in transportation decision making;
- Prevent the denial, reduction, or delay in benefits related to programs and activities that benefit minority populations or low-income populations;
- Ensure meaningful access to programs and activities by persons with limited English proficiency.

The Napa Valley Transportation Authority is committed to a policy of non-discrimination in the conduct of its business, including its Title VI responsibilities and to the delivery of equitable and accessible transportation services. Any person who believes that he or she has been subjected to discrimination under Title VI on the basis of race, color or national origin may file a Title VI complaint with Napa Valley Transportation Authority. Any such complaint must be in writing and submitted to the Napa Valley Transportation Authority within one hundred eighty (180) days following the date of the alleged discrimination.

There are several ways to file a complaint. Complaints may be filed in writing and mailed to Manager of Human Resources and Administration, Napa Valley Transportation Authority, 625 Burnell St., Napa, CA 94559-3420. A copy of the Title VI Complaint Form is available by calling (707) 259-8631 or [download the form](#) ^[1]. You can also fill out an [online](#) ^[2] Title VI complaint form. We encourage use of the Title VI Complaint Form.

To fill-out an online complaint form, [click here](#) ^[2].

TITLE VI COMPLAINT PROCEDURE

This section outlines the Title VI complaint procedures related to providing programs, services, and benefits. However, it does not deny the complainant the right to file a formal complaint(s) with any other federal, state, or local agencies or seek private counsel for complaints alleging discrimination, intimidation, or retaliation of any kind that is prohibited by law.

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs receiving federal financial assistance.

GENERAL

Any person who believes that he or she, individually, or as a member of any specific class of persons, has been subjected- to discrimination on the basis of race, color, or national origin as noted below may file a written complaint with the Napa Valley Transportation Authority, Director of Civil Rights, 625 Burnell St., Napa, CA 94559-3420.

Complainants have the right to complain directly to the appropriate federal agency. Every effort will be made to obtain early resolution of complaints. The option of informal meeting(s) between the affected parties and the Director of Civil Rights may be utilized for resolutions.

PROCEDURE

NVTA has in place a Title VI Complaint Procedure, which outlines a process for local disposition of Title VI complaints and is consistent with guidelines found in the Federal Transit Administration Circular 4702.1A, dated May 13, 2007.

The complaint procedure must meet the following requirements outlined below:

1. **Submission of Complaint:** Any person who feels that he or she, individually, or as a member of any class of persons, on the basis of race, color, national origin, age, sex, disability, religion, or low-income status has been excluded from or denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance through NVTA may file a written complaint with the Director of Civil Rights. Such complaint must be in writing and signed by complainants(s).
 - a. In cases where Complainant is unable or incapable of providing a written statement, a verbal complaint may be made. The Director of Civil Rights will interview the Complainant and assist the person in converting verbal complaints to writing. All complaints must, however, be signed by the Complainant or his/her representative.
 - b. Include the date of the alleged act of discrimination date when the Complainants became aware of the alleged act of discrimination; or the date on which that conduct was discontinued or the latest instance of conduct.
 - c. Present a detailed description of the issues, including names and job titles of those individuals perceived as parties in the complaint.
 - d. Federal and state law requires complaints be filed within 180 calendar days of the alleged incident.
2. **Referral to Review:** Upon receipt of the Complaint, the Director of Civil Rights in consultation with NVTA's Legal Counsel will determine its jurisdiction, acceptability, need for additional information, as well as assign the complaint to a Specialist to evaluate and investigate the merit of the complaint. The Specialist shall complete their review no later than 45 calendar days after the date NVTA received the Complaint. If more time is required, the Deputy Executive Director shall notify the Complainant of the estimated time-frame for completing the review.

3. **Upon completion of the review:** The Specialist shall make a recommendation regarding the merit of the Complaint and whether remedial actions are available to provide redress. Additionally, the staff may recommend improvements to NVTA's processes relative to Title VI and environmental justice, as appropriate. The Specialist shall forward their recommendation to the Director of Civil Rights for their concurrence. If the Director of Civil Rights concurs, he shall issue NVTA's written response to the Complainant.

A complaint must meet the following criteria for acceptance:

- a. The Complaint must be filed within 180 days of alleged occurrence;
- b. The allegation must involve a covered basis such as race, color or national origin.
- c. The allegation must involve a NVTA service of a Federal-aid recipient, sub-recipient or contractor.

A complaint may be dismissed for the following reasons:

- a. The Complainant requests the withdrawal of the complaint.
- b. The Complainant fails to respond to repeated requests for additional information needed to process the complaint.
- c. The Complainant cannot be located after reasonable attempts.

4. **Documentation:** The investigative report and its findings will be reviewed by the Executive Director and in some cases the investigative report and findings will be reviewed by NVTA's Legal Counsel. The report will be modified as needed. The Executive Director and Legal Counsel will make a determination on the disposition of the complaint. Dispositions will be as follows:

In the event NVTA is in noncompliance with Title VI regulations remedial actions will be listed.

5. **Notice of determination:** A Notice of Determination will be mailed to the Complainant. Notice shall include information regarding appeal rights of Complainant and instructions for initiating such an appeal. Notice of Appeals are as follows:
 - a. NVTA will reconsider this determination, if new facts, come to light.
 - b. If Complainant is dissatisfied with the determination and/or resolution set forth by NVTA, the same complainant may be submitted to FTA for investigation. Complainant shall be advised to contact the Federal Transit Administration.
6. **Request for Reconsideration:** If the Complainant disagrees with the Executive Director's response, he or she may request reconsideration by submitting the request, in writing, to the Executive Director within 10 calendar days after receipt of the Executive Director's response. The request for reconsideration shall be sufficiently

detailed to contain any items the Complainant feels were not fully understood by the Executive Director. The Executive Director will notify the Complainant of his/her decision either to accept or reject the request for reconsideration within 10 calendar days. In cases where the Executive Director agrees to reconsider, the matter shall be returned to the Director of Civil Rights to reevaluate in accordance with Paragraph 2, above.

7. **Appeal:** If the request for reconsideration is denied, the Complainant may appeal the Executive Director's response to the Complaint by submitting a written appeal to NVTA's Board of Directors no later than 10 calendar days after receipt of the Executive Director's written decision rejecting reconsideration.

8. **Submission of Complaint to the Federal Transit Administration:** If the Complainant is dissatisfied with NVTA's resolution of the Complaint, he or she may also submit a complaint to the Federal Transit Administration for investigation. In accordance with Chapter IX, Complaints, of FTA Circular 4702.1A, such a complaint must be submitted within 180 calendar days after the date of the alleged discrimination. Chapter IX of the FTA Circular 4702.1A, which outlines the complaint process to the Federal Transit Administration, may be obtained by requesting a copy from NVTA at (707) 259-8631.

LIMITED ENGLISH PROFICIENCY POLICY STATEMENT AND AVAILABLE RESOURCES

Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d, et seq., provides that no person shall be subjected to discrimination on the basis of race, color, or national origin under any program or activity that receives Federal financial assistance. Title VI and its implementing regulations require that FTA recipients take responsible steps to ensure meaningful access to the benefits, services, information, and other important portions of their programs and activities for individuals who are Limited English Proficient (LEP).

To that end, NVTA provides translation and interpretation services free of charge upon request by calling (707) 259-8631.

You may also download a complaint form from FTA's website. Go to www.fta.dot.gov/civilrights [3] for more information.

For more information regarding Title VI or need further language assistance, please contact Vine Transit by E-mail at [Contact Us](#) [4] or call (707) 259-8631.

To fill-out an online complaint form, [click here](#) [2].

Directory Menu

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- [NVRTA](#)
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- [BART](#)

Contact

625 Burnell Street
Napa, CA 94559-3420
[Click here for Driving Direction](#)

Transit Center Phone
[\(707\) 251-2800](#)

1-800-696-6443

Email: info@nvta.ca.gov

Source URL: <https://ridethevine.com/title-vi-notice-public>

Links:

[1] http://www.ridethevine.com/sites/default/files/Title%20VI%20Complaint%20Form_0.pdf

[2] <http://www.ridethevine.com/title-vi-complaint-form>

[3] http://www.fta.dot.gov/civilrights/title6/civil_rights_5104

[4] <https://ridethevine.com/contact-us>



January 16, 2018
NVTA Agenda Item 9.4

Continued From: New
Action Requested: APPROVE

NAPA VALLEY TRANSPORTATION AUTHORITY Board Agenda Letter

TO: NVTA Board of Directors
FROM: Kate Miller, Executive Director
REPORT BY: Diana Meehan, Senior Planner
(707) 259-8327 / Email: dmeehan@nvta.ca.gov
SUBJECT: Active Transportation Advisory Committee (ATAC) Member Appointment

RECOMMENDATION

That the Napa Valley Transportation Authority (NVTA) Board approve the re-appointment of Frances Knapczyk to the Active Transportation Advisory Committee (ATAC) representing the City of Napa for a three-year term.

COMMITTEE RECOMMENDATION

None

EXECUTIVE SUMMARY

Frances Knapczyk has lived and worked in Napa for the past 10 years. Her primary mode choice for commuting is walking. Ms. Knapczyk is interested in improving the user experience for walkers and cyclists in and around the City of Napa. Ms. Knapczyk has served on the NVTA ATAC for the past three years and has applied to continue her service on the committee (Attachment 1).

The City of Napa Council recommended that Ms. Knapczyk continue her service as representative on the NVTA Active Transportation Advisory Committee at their December 18, 2018 meeting (Attachment 2).

PROCEDURAL REQUIREMENTS

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

FISCAL IMPACT

Is there a Fiscal Impact? No

BACKGROUND AND DISCUSSION

The Active Transportation Advisory Committee is made up of eleven members with representation that mirrors the voting structure of NVRTA Board. Committee structure consists of: four members from the City of Napa, two from Napa County, two members from American Canyon and one from each remaining jurisdiction. Ms. Knapczyk's re-appointment to the ATAC would allow her to continue serving as representative for the City of Napa.

The City of Napa re-appointed Ms. Knapczyk at their December 18, 2018 Council meeting.

SUPPORTING DOCUMENTS

Attachments: (1) Frances Knapczyk Application and Resume

Profile

Frances

First Name

Knapczyk

Middle Initial

Last Name

Email AddressStreet AddressSuite or Apt

Napa

City

CA

State

94559

Postal Code

Mailing Address (if different than Resident Address above)

Primary PhoneAlternate Phone

8

Length of Residence in the City of Napa:

Length of Residence in the County of Napa:**Registered to vote in the City of Napa?**

☒ Yes ☐ NoNapa County Resource
Conservation District

Employer

Conservation Project Manager

Job Title

Ethnicity

None Selected

Interests & Experiences**Which Boards would you like to apply for?**

Napa Valley Transportation Authority (NVTA) Active Transportation Advisory Committee (ATAC) :
AppointedUpload a Resume

Community Service Experience:

Active Transportation Advisory Committee (City of Napa) - December 2016 to Present Napa Food Project/Napa Valley Can Do - October 2016 to Present

Education:

Ph. D Michigan State University 2007 BS & BA Indiana University 2001

Other relevant experience or expertise:

11 years of professional experience working as Education Program Coordinator, Stewardship Facilitator and Conservation Program Manager at Napa County RCD. All work has been in the field of natural resources planning, management, and education, and program management, development, and outreach.

Additional Questions

What is your understanding of the role and responsibility of this board?

Provide thoughtful comments, advice, suggestions pertaining to enhancing the experience and safety of walkers and bikers in our community.

yes, many over the years

Have you ever attended a meeting of this board? If so, how many?

What duties of this board are most interesting to you?

Sharing my experience as a walker and hiker, and having the opportunity to improve and promote this activity as a way to connect with our community and our natural surroundings.

What activities of this board are least interesting to you?

none

What programs or projects would you like to see improved or implemented?

Hasten the development of bike routes and trails, and promote walking as a fun, enjoyable, interesting, and safe activity.

How would you approach improving these project(s) or program(s)?

will work collaborate with fellow commissioners to resolve the issues.

Are you involved in any organizations or activities that may result in a conflict of interest if you are appointed to this board?

I work for the Napa RCD. At this point in time, we partner with Parks on programming. There is no financial relationship between Napa RCD and City Parks.

Please list two local references and their phone numbers:

[REDACTED]

How did you learn of this vacancy?

☒ Other

Frances Knapczyk, Ph. D

Conservation Program Manager,
Napa County Resource Conservation District (RCD)

Napa, CA 94559

PROFESSIONAL PROFILE

- Lead natural resource programs and projects with complex budgets, contract obligations and funding strategies
- Adaptable, quick learner, comfortable with diverse subject matter including scientific monitoring, restoration design, farming practices, educational theory, government policy, and management practices
- Patient, practical, and ambitious in leading teams to achieve goals; excellent listener, communicator, and collaborator

PROFESSIONAL EXPERIENCE

Conservation Program Manager, Napa County RCD

SEPTEMBER 2015 - PRESENT

Manage LandSmart Program, a collaboration of RCDs in the North Bay, which includes farm planning, resource assessments, on-the-ground implementation and youth and community programming.

- Lead development and integration of LandSmart program elements, manage fund development, staffing, budgets, and timelines related to 10+ grants and contracts related to LandSmart
- Manage RCD outreach, marketing, and public relations, develop and grow RCD social media campaign to 2000+ followers, present work to partners and at conferences
- Grow RCD's public giving campaign from 0 to 150+ regular donors in four years
- Facilitate and attend regional and local partner working groups related to shared initiatives and goals
- Assist Executive Director in developing annual and long range plans and reports, annual budgets, workload allocations, board meeting agendas, contract negotiation and development
- Assist in recruitment, hiring, and mentoring of new staff
- Manage two staff, including workload and performance reviews
- Report to Board of Directors about program and project progress

Stewardship Facilitator, Napa County RCD

OCTOBER 2012 - SEPTEMBER 2015

Managed RCD stewardship projects, marketing, and outreach. Piloted and grew new programming related to sustainable gardening, vineyard irrigation, and youth education through partnerships with various stakeholders.

HIGHLIGHTS

Manage Napa RCD's LandSmart program consisting of annual budget of \$300,000 and 10+ contracts

Acquired \$800,000+ from public grants, foundations, and individuals; over 75% applications funded

Manage two staff, assisted hiring/training of five staff, and managed seven interns

Lead coordination of popular community symposia, workshops and garden tours

Develop and sustain partnerships with 25+ Napa County, Bay Area, and State organizations

EDUCATION and TRAINING

Ph. D. Plant Biology and Ecology, Evolutionary Biology, and Behavior, 2007
Michigan State University

B. A. Biology, 2001

B. S. Geology, 2001
Indiana University

Conservation Planning, 2017

Leadership Napa Valley, 2015

Irrigation Evaluation, 2014

Watershed Management and Facilitation, 2012

Interest-based Negotiation, 2008

- Assisted Executive Director in development of annual and long-range plans and reports and annual budgets
- Identified funding opportunities and collaborated with staff and partners to develop funding proposals
- Managed modernization of RCD website
- Developed funding for, piloted, and expanded new RCD programs related to oak woodland youth education, vineyard irrigation evaluations, and sustainable landscaping
- Developed and sustained partnerships with stakeholders in agricultural community, government agencies, and community organizations
- Enhanced responsibility and independence related to project management and RCD outreach

Education Coordinator, Napa County RCD

NOVEMBER 2007 - OCTOBER 2012

Managed, acquired funding for, and carried out RCD education projects, including outreach material development, community events and workshops, youth programs, and technical watershed conferences.

- Developed, created, and distributed outreach materials, including brochures, presentations, and websites
- Developed, promoted, and facilitated public events and youth programs, including Watershed Symposia, film events, and field trips
- Managed implementation of \$450,000 road improvement project
- Facilitated meetings and events for Napa Sustainable Winegrowing Group
- Developed and managed volunteers and interns
- Managed grants and contracts, including deliverables, budgets, timelines, contractors, and reporting
- Collaborated with staff to develop grant proposals

COMMUNITY INVOLVEMENT

Napa Valley Transit Authority Active Transportation Advisory Committee, Chairperson (2017 - Present)

2017 - Present

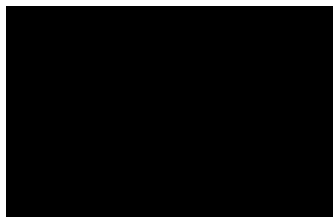
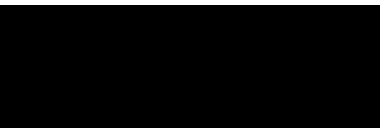
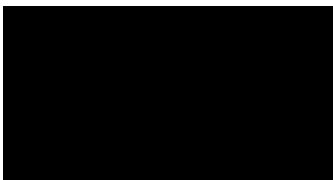
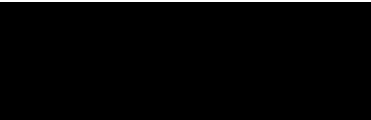
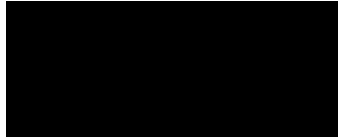
Napa Food Project Steering Committee

2016 - Present

Environmental Education Coalition of Napa County, Chairperson (2011 - 2015)

2007 - Present

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PUBLICATIONS

Sapir, Y, K. Karoly, V. Koelling, H.F. Sahli, F.N. Knapczyk, and J.K. Conner. 2017. Effect of expanded variation in anther position on pollinator visitation to wild radish, *Raphanus raphanistrum*. *Annals of Botany* 120:665-672.

Knapczyk, F. N., and J. K. Conner. 2007. Estimates of the strength of selection are not biased by sampling error or publication bias. *American Naturalist* 170:501-508.



NAPA VALLEY TRANSPORTATION AUTHORITY Board Agenda Letter

TO: Board of Directors
FROM: Kate Miller, Executive Director
REPORT BY: Antonio Onorato, Director of Administration, Finance, and Policy
(707) 259-8779 / Email: aonorato@nvta.ca.gov
SUBJECT: Annual Financial Statement with Independent Auditor's Report for the
Years Ended June 30, 2018 and 2017 and Single Audit Report of
Uniform Guidance

RECOMMENDATION

That the Napa Valley Transportation Authority (NVTa) Board:

- (1) Accept and file the Financial Statements with Independent Auditor's Report for Fiscal Years Ending June 30, 2018 and 2017 (Attachment 2) and the NVTa Single Audit Report of the Uniform Guidance (formerly Office of Management and Budget (OMB) Circular A-133) for the Year Ended June 30, 2018 (Attachment 3); and
- (2) Return an allocation surplus of \$1,598,602 to the Local Transportation Fund (LTF) Trust Fund administered by the Metropolitan Transportation Commission

COMMITTEE RECOMMENDATION

None

EXECUTIVE SUMMARY

The certified public accountants firm, Brown Armstrong Incorporated, has completed NVTa's annual financial audit for the years ended June 30, 2018 and 2017 and federal Single Audit Report of Uniform Guidance for the fiscal year ended June 30, 2018.

Attachment 1 is the Statement of Auditing Standards (SAS) 114 Management Letter to the NVTa Board of Directors communicating the outcome of the audit inclusive of any findings. Attachment 2 is the Fiscal Audit Report for the fiscal year ending June 30, 2018

and 2017. Attachment 3 is the Single Audit Report for the fiscal year ending June 30, 2018.

The audit did not identify any deficiencies in internal controls and no findings or recommendations were noted.

PROCEDURAL REQUIREMENTS

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

FISCAL IMPACT

Is there a Fiscal Impact? Not for this action. Nevertheless, \$1,598,602 will be returned to the Local Transportation Fund for reallocation which will be made available for future allocation to NVRTA.

Consequences if not approved: Future revenues could be withheld. Annual financial audits are required by federal, state, and local authorities.

CEQA REQUIREMENTS

ENVIRONMENTAL DETERMINATION: The proposed action is not a project as defined by 14 California Code of Regulations 16378 (California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

BACKGROUND AND DISCUSSION

NVRTA's annual audit for FY 2017-18 was prepared in accordance with auditing standards generally accepted in the United States. The report includes a Management Discussion and Analysis section, basic financial statements including government-wide and fund financial statements, notes to the statements, and other required supplementary information. Additionally, Brown Armstrong prepared separate Single Audit Report discussing findings of weakness and deficiencies in internal controls.

NVRTA Financial Activities

NVRTA financial activities are separated into three (3) fund types:

1. **Governmental Fund:** This fund type accounts for all of the non-trust, non-transit, non-capital activities of NVRTA, also known as the General Fund. It includes agency administration, salaries, pass through activities, and planning costs.

The Governmental activities Net Position decreased by \$1,692,625 over the previous fiscal year. The reason was the use of planning funds which were accumulated over the previous two fiscal years.

2. **Proprietary Fund (or Enterprise Fund):** This fund accounts for the financial activity of all public transit service programs. At the end of FY 2017-18, the enterprise fund decreased assets by \$3,333,685. The reason for the decrease was mainly transactional with accumulated depreciation increasing by \$2,640,397, a decrease of current assets of \$199,991, and an increase of liabilities of \$493,296.

NVRTA will also return an allocation surplus to the Local Transportation Fund (LTF) trust account of \$1,598,602. These funds were allocated to fill-in gaps of federal appropriations and grant approval delays and are no longer needed for expenses incurred in the fiscal year. These dedicated funds will be available for reallocation in a future period.

3. **Fiduciary Funds:** This fund type accounts for the Abandoned Vehicles Abatement Authority Trust Fund (AVAA) and the Bay Area Air Quality Management's (BAAQMD) Transportation for Clean Air Fund. These funds pass through NVTA to other governments. NVTA collects an administration fee from the BAAQMD program up to five percent (5%). At the end of FY 2016-18, the Fiduciary Fund Type shows net assets of \$793,642 due to the carryover of projects into later years.

Farebox Ratio

As part of the annual audit, auditors validate the farebox ratio for the services to ascertain compliance with the Transportation Development Act (TDA) statute, which mandates a minimum farebox recovery ratio of fifteen percent (15%) in urbanized areas and ten percent (10%) in non-urbanized areas. Recent changes to the Transportation Development Act statutes allow for the inclusion of local funds to calculate statutory farebox ratio.

California Public Utilities Code (PUC) Section 99268.19 states that: "If fare revenues are insufficient to meet the applicable ratio of fare revenues to operating cost required by this article, an operator may satisfy that requirement by supplementing its fare revenues with local funds. As used in this section, "local funds" means any nonfederal or non-state grant funds or other revenues generated by, earned by, or distributed to an operator." For the Vine Transit system, local funds are comprised of contributions from the City of American Canyon, the Town of Yountville, the City of St. Helena, the Calistoga Tourism Business Improvement District, and Regional Measure 2 (Route 29).

Vine Transit and American Canyon Transit are required to make a 15% farebox recovery. The statutory farebox recovery ratio was 17.98%, .44% lower than the previous fiscal year. Without the use of local funds to meet statutory requirements, operation farebox for the fiscal years ended June 30, 2017 was 12.46%, .33% lower than the previous year.

The combined non-urbanized area services, including Vine Go, the Yountville Trolley, the Calistoga Shuttle, the St. Helena Shuttle and the Taxi Scrip Program are required to make 10% and achieved a 10.53% farebox ratio, which was nearly identical to last year's 10.52% farebox ratio.

Staff have been working on "Vine Vision"- a Comprehensive Operations Analysis to improve service to encourage additional ridership and to improve operating performance to reduce costs. These measures are in part to ensure that the agency is able to meet its statutory farebox recovery requirements. Recommendations will be presented to the Board for their direction in the future.

Single Audit Report of Uniform Guidance (formerly Office of Management and Budget Announcement 133 OMB A-133)

NVTA is required to undergo a Single Audit, known as the Uniform Guidance for receiving funds in excess of \$750,000. A Single Audit encompasses an examination of the agency's financial records, financial statements, federal award transactions and expenditures, general management of its operations, internal control systems, and federal assistance received during the audit period. Findings during the audit period ending June 30, 2018:

Financial: There were no financial findings.

Federal Award Findings and Questioned Costs: There were no findings.

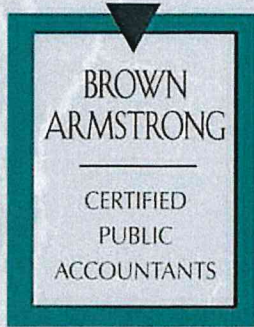
Material Weakness: No material weaknesses were noted.

Recommendations: There were no recommendations noted.

The complete audits are available on request and will be distributed to Board members at the meeting. The financial audit and single audit are also available on NVTA's website at <http://www.nvta.ca.gov/fiscal-audits-single-audits>.

SUPPORTING DOCUMENTS

- Attachments:
- (1) Brown Armstrong CPA's Letter to NVTA's Board of Directors dated December 24, 2018 (SAS 114)
 - (2) NVTA Audit Report for Fiscal Years Ended June 30, 2018 and 2017
 - (3) NVTA Single Audit Report for Fiscal Years Ended June 30, 2018



BROWN ARMSTRONG

Certified Public Accountants

To the Board of Directors of
Napa Valley Transportation Authority
Napa, California

We have audited the financial statements of Napa Valley Transportation Authority (NVTa) for the year ended June 30, 2018. Professional standards require that we provide you with information about our responsibilities under auditing standards generally accepted in the United States of America, *Government Auditing Standards*, and the Uniform Guidance, as well as certain information related to the planned scope and timing of our audit. We have communicated such information in our letter to you dated December 24, 2018. Professional standards also require that we communicate to you the following information related to our audit.

Significant Audit Matters

Qualitative Aspects of Accounting Practices

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by NVTa are described in Note 1 to the financial statements. During the year ended June 30, 2018, NVTa implemented Governmental Accounting Standards Board (GASB) Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other than Pension Plans*. We noted no transactions entered into by NVTa during the year for which there is a lack of authoritative guidance or consensus in the proper period.

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimates affecting NVTa's financial statements were:

Management's estimate of the Postemployment Benefits Other than Pensions (OPEB) is based on actuarial valuations that involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. We evaluated the key factors and assumptions used to develop the annual OPEB estimate in determining that it is reasonable in relation to the financial statements as a whole.

Management's estimates of the net pension liability, related expense, and deferred outflows and inflows of resources are based on actuarial valuations that involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. We evaluated the key factors and assumptions used to develop the estimates of the net pension liability, related expense, and deferred outflows and inflows of resources in determining that they are reasonable in relation to the financial statements taken as a whole.

Certain financial statement disclosures are particularly sensitive because of their significance to financial statement users. The most sensitive disclosures affecting the financial statements were:

The disclosures of Pension Plan and OPEB in Notes 8 and 9, respectively, to the financial statements.

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The financial statement disclosures are neutral, consistent, and clear.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected and Uncorrected Misstatements

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are clearly trivial, and communicate them to the appropriate level of management. In addition, none of the misstatements detected as a result of audit procedures and corrected by management were material, either individually or in the aggregate, to each opinion unit's financial statements taken as a whole.

Disagreements with Management

For purposes of this letter, a disagreement with management is a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.

Management Representations

We have requested certain representations from management that are included in the management representation letter dated December 24, 2018.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to NVTa's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other Audit Findings or Issues

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as NVTa's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

Other Matters

We applied certain limited procedures to Management's Discussion and Analysis; Schedule of Revenues, Expenditures, and Changes in Fund Balance – Governmental Fund – Planning Fund; Schedule of Changes in the Net Pension Liability and Related Ratios; Schedule of Contributions; and Schedule of Funding Progress – Other Postemployment Benefits which are required supplementary information (RSI) that supplement the basic financial statements. Our procedures consisted of inquiries of management regarding the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We did not audit the RSI and do not express an opinion or provide any assurance on the RSI.

We were engaged to report on the Schedule of Expenditures of Federal Awards; Combining Statement of Fiduciary Net Position; Combining Statement of Changes in Fiduciary Net Position; and the Statement of Revenues, Expenses, and Changes in Fund Net Position, which accompany the financial Statements, but are not RSI. With respect to this supplementary information, we made certain inquiries of management and evaluated the form, content, and methods of preparing the information to determine that the information complies with accounting principles generally accepted in the United States of America, the method of preparing it has not changed from the prior period, and the information is appropriate and complete in relation to our audit of the financial statements. We compared and reconciled the supplementary information to the underlying accounting records used to prepare the financial statements or to the financial statements themselves.

Restriction on Use

This information is intended solely for the information and use of the Board of Directors and management of NVTA and is not intended to be, and should not be, used by anyone other than these specified parties.

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

*Brown Armstrong
Accountancy Corporation*

Bakersfield, California
December 24, 2018

Client: 57204 - Napa Valley Transportation Authority
Engagement: 06/30/2018 Audit
Period Ending: 6/30/2018
Trial Balance: TB
Workpaper: PSR-27-1 - AJE

Account	Description	W/P Ref	Debit	Credit
Adjusting Journal Entries JE # 1		PSR-23-1		
Record clients journal entry to include all additions in the current year to fixed assets				
8302-19300	Machinery and Equipment		8,574.00	
8302-19300	Machinery and Equipment		8,593.00	
8302-19300	Machinery and Equipment		30,526.00	
8309-57900	Intrafund Transfers Out		8,574.00	
8309-57900	Intrafund Transfers Out		8,593.00	
8309-57900	Intrafund Transfers Out		30,526.00	
8302-49900	Intrafund Transfers-In			8,574.00
8302-49900	Intrafund Transfers-In			8,593.00
8302-49900	Intrafund Transfers-In			30,526.00
8309-55900	Capital Outlay Offset			8,574.00
8309-55900	Capital Outlay Offset			8,593.00
8309-55900	Capital Outlay Offset			30,526.00
Total			95,386.00	95,386.00
Adjusting Journal Entries JE # 2		PSR-23-2		
Record additional consulting fees client received after year-end				
8301-52310	Consulting Services		55,906.00	
8301-21105	Supplemental Accounts Payable			55,906.00
Total			55,906.00	55,906.00
Adjusting Journal Entries JE # 3		PSR-23-3		
Record clients reclass of insurance premiums out of other professional services account				
8302-52705	Insurance - Premiums		9,395.00	
8302-52705	Insurance - Premiums		10,706.00	
8302-52705	Insurance - Premiums		10,981.00	
8302-52705	Insurance - Premiums		14,181.00	
8302-52705	Insurance - Premiums		38,418.00	
8302-52705	Insurance - Premiums		270,583.00	
8302-52490	Other Professional Services			9,395.00
8302-52490	Other Professional Services			10,706.00
8302-52490	Other Professional Services			10,981.00
8302-52490	Other Professional Services			14,181.00
8302-52490	Other Professional Services			38,418.00
8302-52490	Other Professional Services			270,583.00
Total			354,264.00	354,264.00
Adjusting Journal Entries JE # 4		PSR-23-4		
Record clients reclass of STA expenses				
8301-21105	Supplemental Accounts Payable		98.00	
8301-21105	Supplemental Accounts Payable		5,264.00	
8303-52490	Other Professional Services		5,264.00	
8301-52310	Consulting Services			98.00
8301-52310	Consulting Services			5,264.00
8303-21105	Supplemental Accounts Payable			5,264.00
Total			10,626.00	10,626.00

Adjusting Journal Entries JE # 5		LL-1-1		
To record current year pension entries.				
8301-18110	Deferred Outflows-Contribution	106,129.00		
8301-18110	Deferred Outflows-Contribution	124,099.00		
8301-26300	Deferred Inflows - Pension	52,310.00		
8301-28500	Net Pension Obligation-NC	117,333.00		
8301-51600	Retirement	194,911.00		
8301-18110	Deferred Outflows-Contribution		117,333.00	
8301-18110	Deferred Outflows-Contribution		143,184.00	
8301-26300	Deferred Inflows - Pension		9,860.00	
8301-28500	Net Pension Obligation-NC		200,306.00	
8301-51600	Retirement		124,099.00	
Total		594,782.00	594,782.00	
Adjusting Journal Entries JE # 6		LL-2-1		
To record current year OPEB and related deferred inflows/outflows				
18110	Deferred outflow - OPEB	28,540.00		
28500	Net OPEB Obligation/(Asset)	113,740.00		
51605	GASB Expense	1,229.00		
33520	Unrestricted net position		143,509.00	
Total		143,509.00	143,509.00	
Adjusting Journal Entries JE # 7		PSR-23-5		
To record additional expense - PBC				
8301-52310	Consulting Services	10,412.00		
8301-21105	Supplemental Accounts Payable		10,412.00	
Total		10,412.00	10,412.00	
Adjusting Journal Entries JE # 8		PSR-23-6		
Record June 2018 transdevpayment				
8302-52490	Other Professional Services	740,981.00		
8302-21105	Supplemental Accounts Payable		740,981.00	
Total		740,981.00	740,981.00	
Adjusting Journal Entries JE # 9		PY		
Correct AJE #4 from 6/30/16 Audit binder				
8300-33100	Fund Balance	200,000.00		
8300-13100	Accounts Receivables		200,000.00	
Total		200,000.00	200,000.00	



**NAPA VALLEY
TRANSPORTATION AUTHORITY**

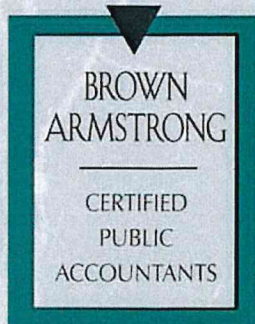
**FINANCIAL STATEMENTS
WITH
INDEPENDENT AUDITOR'S REPORT**

**FOR THE YEARS ENDED
JUNE 30, 2018 AND 2017**

**NAPA VALLEY TRANSPORTATION AUTHORITY
JUNE 30, 2018 AND 2017**

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BROWN ARMSTRONG

Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT

To the Honorable Members
of the Board of Directors
Napa Valley Transportation Authority
Napa, California

Report on the Financial Statements

We have audited the accompanying financial statements of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of Napa Valley Transportation Authority (NVTa), as of and for the years ended June 30, 2018 and 2017, and the related notes to the financial statements, which collectively comprise NVTa's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express opinions on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to NVTa's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of NVTa's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinions.

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Opinions

In our opinion, the financial statements referred to above present fairly, in all material respects, the respective financial position of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of NVTa as of June 30, 2018 and 2017, and the respective changes in financial position and, where applicable, cash flows thereof for the years then ended in conformity with accounting principles generally accepted in the United States of America.

Emphasis of a Matter

During the year ended June 30, 2018, NVTa adopted the provisions of Governmental Accounting Standards Board (GASB) Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other than Pension Plans*. Our opinion was not affected by the implementation.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis, budgetary comparison information, Schedule of Changes in the Net Other Postemployment Benefits (OPEB) Asset, schedule of NVTa's proportionate share of the net pension liability, and schedule of contributions as listed in the table of contents be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board (GASB), which considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Information

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise NVTa's basic financial statements. The combining statement of fiduciary net position; combining statement of changes in fiduciary net position; and statement of revenues, expenses, and changes in fund net position – enterprise fund – transit related by operation are presented for purposes of additional analysis and are not a required part of the financial statements.

The combining statement of fiduciary net position; combining statement of changes in fiduciary net position; and statement of revenues, expenses, and changes in fund net position – enterprise fund – transit related by operation are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the combining statement of fiduciary net position; combining statement of changes in fiduciary net position; and statement of revenues, expenses, and changes in fund net position – enterprise fund – transit related by operation are fairly stated in all material respects in relation to the basic financial statements taken as a whole.

Other Reporting Required by *Government Auditing Standards*

In accordance with *Government Auditing Standards*, we have also issued our report dated December 24, 2018, on our consideration of NVTa's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering NVTa's internal control over financial reporting and compliance.

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

Brown Armstrong
Accountancy Corporation

Bakersfield, California
December 24, 2018

MANAGEMENT'S DISCUSSION AND ANALYSIS

**NAPA VALLEY TRANSPORTATION AUTHORITY
MANAGEMENT'S DISCUSSION AND ANALYSIS
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

This section of the Napa Valley Transportation Authority's (NVTa) annual financial report presents our discussion and analysis of NVTa's financial performance during the years ended June 30, 2018 and 2017. It should be read in conjunction with the basic financial statements contained in the independent auditor's report.

NVTa serves as the countywide transportation planning agency for the incorporated and unincorporated areas within Napa County (the County) and is responsible for programming State and Federal funding for transportation projects within the County. NVTa is responsible for coordinating short and long term planning and funding within an intermodal policy framework including highways, streets and roads, transit and paratransit, bicycle and pedestrian network improvements. NVTa also provides fixed route and on-demand transit services in the County including Napa Vine, American Canyon Transit, Calistoga Shuttle, Yountville Trolley, St. Helena Shuttle, and Vine Go paratransit services.

NVTa was established on September 3, 1991, as the County's congestion management agency, under a joint exercise of power. The joint powers agreement was updated in May 1998 to provide public transportation services in Napa County. The NVTa Board of Directors (the Board) adopted a name change from the Napa County Transportation and Planning Agency to the new name at its February 17, 2016 meeting. NVTa is considered a primary government since it has a separate governing body, is legally separate, and is fiscally independent of other state and local governments. NVTa is not subject to income tax.

Financial Highlights

- At the close of the fiscal year 2017-2018, total assets and deferred outflows of resources of NVTa exceeded liabilities and deferred inflows of resources of NVTa by \$26,842,243. Of this amount, \$25,184,578 is the net investment in capital assets. The remaining \$1,657,665 represents unrestricted Net Position.

At the close of the fiscal year 2016-2017, total assets and deferred outflows of resources of NVTa exceeded liabilities and deferred inflows of resources of NVTa by \$31,868,553. Of this amount, \$27,842,414 is the net investment in capital assets. The remaining \$4,026,139 represents unrestricted Net Position.

- As of June 30, 2018, NVTa's Governmental Activities reported an ending fund balance of \$354,179 or 7% of total governmental fund expenditures.

As of June 30, 2017, NVTa's Governmental Activities reported an ending fund balance of \$2,046,804 or 53% of total governmental fund expenditures.

- Capital contributions in the form of grants from the Federal and State governments decreased from \$3,683,258 in fiscal year 2016-2017 to \$112,854 in fiscal year 2017-2018. Capital purchases for the year were two engine rebuilds, additional surveillance cameras on vehicles, and transit related equipment.

Capital contributions in the form of grants from the Federal and State governments decreased from \$7,167,164 in fiscal year 2015-2016 to \$3,683,258 in fiscal year 2016-2017. Capital funds were used to purchase real estate parcels for a new bus maintenance facility, three paratransit vehicles, and transit related equipment.

- NVTa continues to improve operation performance, compliance, and accountability during fiscal year 2017-2018 by making investments in professional management, fiscal controls, and accounting.

Overview of the Financial Statements

This annual report consists of three parts – management's discussion and analysis (this section), the basic financial statements, and required supplementary information. The basic financial statements include two kinds of statements that present different views of NVTa's financial position and activity.

- The first two statements are *government-wide* financial statements that provide both *long-term* and *short-term* information about NVTa's overall financial status.
- The remaining statements are *fund* financial statements that focus on individual parts of NVTa's organization. These statements report NVTa's financial position and activity. The annual report also includes notes that explain some of the information in the financial statements and provide more detailed data. The statements are followed by a section of *required supplementary information* that includes budgetary comparison information for NVTa's governmental fund.

Government-Wide Financial Statements

The government-wide financial statements report information about NVTa as a whole using accounting methods similar to those used by private-sector companies. The Statement of Net Position includes all of NVTa's assets and liabilities, deferred outflows of resources and inflows of resources, and long-term obligations. All of the current year's revenues and expenses are accounted for in the Statement of Activities regardless of when cash is received or paid.

The two government-wide financial statements report NVTa's Net Position and how it has changed. Net Position – the difference between NVTa's assets and liabilities – is one way to measure NVTa's financial health, or position. Over time, increases or decreases in NVTa's Net Position are indicators of whether its financial health is improving or deteriorating, respectively.

Fund Financial Statements

The fund financial statements provide a detailed short-term view and do not include information related to NVTa's long-term liabilities. Additional information is provided on separate schedules that reconcile the differences between the government-wide financial statements and the fund financial statements.

Financial Analysis of NVTa

Net Position

In the current fiscal year, the governmental activities Net Position decreased by \$1,692,625 due to expenditures in excess of revenues. The business-type activities Net Position decreased \$3,333,685. The result is an overall decrease in Net Position of \$5,026,310 or 16% in fiscal year 2017-18 from fiscal year 2016-2017.

However, the governmental activities Net Position increased by \$1,378,620 due to revenue in excess of expenditures in the previous fiscal year of 2016-2017. The business-type activities Net Position also increased by \$833,154. The result is an overall increase in Net Position of \$2,211,774 or 7% in fiscal year 2016-2017 from fiscal year 2015-2016.

The following schedule is a summary of NVTA's Statement of Net Position.

	As of June 30, 2018			As of June 30, 2017			As of June 30, 2016		
	Governmental Activities	Business-Type Activities	Total	Governmental Activities	Business-Type Activities	Total	Governmental Activities	Business-Type Activities	Total
Current and other assets	\$ 1,256,509	\$ 4,966,038	\$ 6,222,547	\$ 2,500,836	\$ 5,166,029	\$ 7,666,865	\$ 3,844,357	\$ 7,157,991	\$ 11,002,348
Capital assets		25,184,578	25,184,578	17,438	27,824,976	27,842,414	58,898	27,066,353	27,125,251
Total assets	1,256,509	30,150,616	31,407,125	2,518,274	32,991,005	35,509,279	3,903,255	34,224,344	38,127,599
Deferred outflows of resources	459,927	-	459,927	461,676	-	461,676	337,737	-	337,737
Current and other liabilities	1,323,128	3,662,552	4,985,680	851,567	3,169,256	4,020,823	3,427,469	5,235,749	8,663,218
Total liabilities	1,323,128	3,662,552	4,985,680	851,567	3,169,256	4,020,823	3,427,469	5,235,749	8,663,218
Deferred inflows of resources	39,129	-	39,129	81,579	-	81,579	145,339	-	145,339
Net position:									
Net investment in capital assets	-	25,184,578	25,184,578	17,438	27,824,976	27,842,414	58,898	27,066,353	27,125,251
Unrestricted net position	354,179	1,303,488	1,657,665	2,029,366	1,996,773	4,026,139	608,286	1,922,242	2,531,528
Total net position	\$ 354,179	\$ 26,488,064	\$ 26,842,243	\$ 2,046,804	\$ 29,821,749	\$ 31,868,553	\$ 668,184	\$ 28,988,595	\$ 29,656,779

Changes in Net Position

A summary of NVTA's Statement of Activities recapping NVTA's revenues earned during the fiscal years ended June 30, 2018, 2017, and 2016, and the expenses incurred is as follows:

	As of June 30, 2018			As of June 30, 2017			As of June 30, 2016		
	Governmental Activities	Business-Type Activities	Total	Governmental Activities	Business-Type Activities	Total	Governmental Activities	Business-Type Activities	Total
Revenues:									
Program revenues:									
Fees, fines, and charges for services	\$ -	\$ 1,330,940	\$ 1,330,940	\$ -	\$ 1,247,968	\$ 1,247,968	\$ -	\$ 1,231,773	\$ 1,231,773
Operating grants and contributions	2,959,228	8,677,056	11,636,284	5,200,397	9,211,610	14,412,007	7,687,826	7,440,244	15,328,070
Capital grants and contributions	-	112,854	112,854	-	3,683,258	3,683,258	-	7,167,164	7,167,164
General revenues:									
Unrestricted interest and investment earnings	19,238	25,744	44,982	7,330	15,311	22,641	5,466	11,023	16,489
Miscellaneous	-	-	-	-	-	-	1,726,499	(17,009)	1,709,490
Total revenues	2,978,466	10,146,594	13,125,060	5,207,727	14,158,147	19,365,874	9,619,791	15,833,195	25,452,986
Expenses:									
Transportation planning	4,814,600	-	4,814,600	3,829,107	-	3,829,107	9,721,891	-	9,721,891
Transit	-	13,480,279	13,480,279	-	13,324,993	13,324,993	-	11,547,760	11,547,760
Total expenses	4,814,600	13,480,279	18,294,879	3,829,107	13,324,993	17,154,100	9,721,891	11,547,760	21,269,651
Change in net position	(1,836,134)	(3,333,685)	(5,169,819)	1,378,620	833,154	2,211,774	(102,100)	4,285,435	4,183,335
Net position, beginning	2,190,313	29,821,749	32,012,062	668,184	28,988,595	29,656,779	770,284	24,703,160	25,473,444
Net position, ending	\$ 354,179	\$ 26,488,064	\$ 26,842,243	\$ 2,046,804	\$ 29,821,749	\$ 31,868,553	\$ 668,184	\$ 28,988,595	\$ 29,656,779

Governmental Activities

NVTA's governmental activities financial reports capture the financial information for NVTA's administration, transportation planning, coordinating of transportation, and land use in the region and programming of regional funding activities.

Governmental activity expenses increased from \$3,829,107 in fiscal year 2016-2017 to \$4,814,600 in fiscal year 2017-2018. Governmental activity expenses decreased from \$9,721,891 in fiscal year 2015-2016 to \$3,829,107 in fiscal year 2016-2017.

Governmental activities are supported by a variety of funding sources which include:

- Federal Highway Administration (FHWA) Funds
- Federal Transit Administration (FTA) Funds
- State Programming, Planning, and Monitoring (PPM) Funds

- Transportation Development Act (TDA) Funds
- Local Support from Member Agencies
- Various Special and One-Time Grants

Congestion Management Agency (CMA)

The CMA is dedicated to addressing Napa County's most urgent transportation needs by:

- Pursuing funding for highway and safety improvements;
- Provide mobility choices for seniors, low income and minority populations, and people with disabilities;
- Expand travel options for commuters;
- Support local projects such as road safety and maintenance, transit facilities and Safe Routes to School (SRTS) initiatives.

Despite state and federal cutbacks in transportation funding, NVTa has been able to ensure continued progress on its top priority projects. Significant developments during the year include:

Imola Avenue and State Route 29 (SR-29) Express Bus Improvements

NVTa began several enhancements to the SR-29 corridor near the end of the fiscal year. When completed, the improvements will allow Vine's Express Route 29 to operate on the corridor providing more direct service from Calistoga along Napa Valley's major corridor to the El Cerrito del Norte BART station. The project will incorporate pedestrian infrastructure, lighting at the park & ride lot, new southbound and northbound stops, as well as a new sidewalk under SR-29 on south side of Imola Avenue. Other amenities include stop facilities, concrete platforms with lighting, wayfinding, shelter, seating, bike storage, and real-time transit information. The California Department of Transportation (Caltrans) has expressed an interest to fast-track the project and NVTa has secured funding to begin the design and engineering phase of the project with a projected completion date in the Fall of 2020.

Soscol Junction

The signalized intersection of SR-221 and SR-29 experiences daily traffic congestion during a.m. and p.m. daily peak periods and is operating at capacity. Annually commuters endure up to 225 hours of delay in the morning and 630 hours of delay in the evening due to congestion. When completed, the Soscol Junction project will alleviate congestion and improve traffic flows at the SR-29/SR-221/Soscol Ferry road intersection. The project is a crucial step in relieving future traffic congestion. The project incorporates roundabouts underneath SR-29 to allow for continuous north-south movement of vehicles. Two roundabouts will be located on SR-221 north of SR-29 and on Soscol Ferry Road south of SR-29. The roundabouts will accommodate turning movements on and off the highways. The project is sponsored by the California Department of Transportation (Caltrans), the Federal Highway Administration (FHWA), and NVTa which is the project implementing agency. Soscol Junction is currently in the design phase of the project with groundbreaking expected to occur in 2022.

Napa Valley Vine Trail - St. Helena to Calistoga

The Napa Valley Vine Trail (Vine Trail) is a proposed 47-mile multi-use paved trail which will extend from the City of Calistoga to the Vallejo Ferry terminal in Solano County. The Vine Trail route incorporates several existing paved pathways in the cities of Calistoga, Napa, American Canyon, Vallejo and the Town of Yountville. When complete, it will involve land controlled by twelve separate public agencies, including the County of Napa.

NVTa recently delivered the Oak Knoll segment of the Vine Trail - a 6.1 mile long path from Redwood Road in the City of Napa to the Yountville Park and Ride in the Town of Yountville in 2017. The next portion of the trail - an 8 mile section will connect the Cities of St. Helena and Calistoga. The project is essential to the economic well-being of the areas for reducing motorized traffic on SR-29 and Silverado Trail by providing a safe alternative for those using active transportation such as biking or walking. NVTa staff and its partners are currently working on the design aspects and assembling the funding for the project. Construction is expected to begin in 2021 and residents, workers, tourists, and recreational enthusiasts will be able to access this portion of the trail in 2023.

The Metropolitan Transportation Commission (MTC) provides NVTA with FHWA funds to support regional transportation planning and programming and to support the coordination of transportation and land use activities throughout the Napa County. In fiscal year 2017-2018, the level of this funding was \$749,000.

TDA funds derive from ¼ cent of the local sales tax collected. TDA funds are used to support transit planning, administration, and the Paratransit Coordinating Council. TDA funds which are not spent within the year they are drawn must either be returned to the Napa County Local Transportation Fund (LTF (trust account for TDA)) or designated as advances for a specific project. Funds returned to the LTF become available to NVTA again in the fiscal year following their return. The LTF is not a fund under the control of NVTA; it is administered by the MTC through the Napa County Auditor-Controller.

Local funds which are provided by the member agencies are unrestricted and may be placed in Net Position balance if not used in the fiscal year they are collected. Currently, NVTA has a Net Position balance of \$354,179 which is held in reserve for future regional planning projects or necessary administrative costs.

Business-Type Activities

NVTA's Business-Type Activities encompass the financial reports for public transit services provided by NVTA including the Vine (fixed route transit), Vine Go (complimentary Americans with Disabilities Act required paratransit service), American Canyon Transit, the Yountville Trolley, the St. Helena Shuttle, the Calistoga Shuttle, and a Taxi Scrip program. Each of the community shuttles are dial-a-ride transit services.

Business-type activity expenses increased from \$13,324,993 in fiscal year 2016-2017 to \$13,480,279 in fiscal year 2017-2018 which is an overall increase of 1.2%. The growth is accounted for by increases in operating expenses offset by general planning and administration costs.

Business-type activity expenses increased from \$11,547,760 in fiscal year 2015-2016 to \$13,324,993 in fiscal year 2016-2017 which is an overall increase of 15.4%. The growth is accounted for by increases in operating expenses offset by general planning and administration costs.

Transit operating expenses are supported by a variety of funding sources which include:

- Transportation Development Act (TDA) funds
- Federal Transit Administration (FTA) funds
- Fare revenues collected
- Various grants and contributions

Any TDA operating revenue received which is not spent on transit operations is returned to the LTF as described in the Governmental Activities section.

Vine Transit System

As with many transit agencies across the region and throughout the state, Vine Transit faces persistent financial challenges with significant growth in operating costs with marginal increases in operating revenues. Overall transit ridership was lower by three percent (3%) from the previous fiscal year. Vine Transit fixed route service and the Yountville Trolley experienced passenger decreases from the previous year. Vine's commuter buses continues to be a bright spot with nearly a seven percent (7%) increase from fiscal year 2016-2017. Transit services in Calistoga and American Canyon with the Vine Go paratransit services were modestly higher with passenger increases of two-to-three percent (2-3%). Calistoga surged ahead by eight percent (8%) from the previous year. Operating farebox revenue was lower by a scant three tenths of one percent (.33%) over the previous year.

For another year, Vine Transit was the recipient of Small Transit Intensive Cities (STIC) funds which are awarded to small public transit agencies meeting specific performance measures, but the revenues are merit based and an unreliable source of future funding. Although farebox revenues were higher than the previous year, the incremental growth in farebox and non-operating revenues has not kept pace with

expenses. Transit planners have been working on a Comprehensive Operations Analysis (COA) for recommendations on service improvements to encourage additional ridership and to increase operating efficiencies while reducing costs. These measures are in part to ensure that the agency is able to meet its statutory farebox recovery requirements in the future. If operational farebox recovery continues to lag, the NVTa Board will need to consider alternatives.

Comprehensive Operations Analysis

NVTa has undertaken a transit planning process called Comprehensive Operations Analysis (COA). The COA evaluates the current transit system looking at future using projections on ridership demand, geographic and demographic changes, and advances in technology. NVTa will use extensive data coupled with research and outreach efforts to develop and implement service revisions to propose recommendations on service revisions and improve system performance. Several recommendations will be presented to the Board of Directors in early 2019 with implantation expected to occur shortly thereafter.

Vine Transit Bus Maintenance Facility Project

The Environmental Impact Report for the Vine Transit Maintenance Facility was certified by the Board on January 17, 2018, and NVTa submitted a National Environmental Protection Act (NEPA) designation letter to Federal Transit Administration (FTA) for a Categorical Exemption (CE) of the project. NVTa is expected to hear back from FTA in the Spring of 2019.

During the fiscal year, NVTa entered into a multiyear agreement with a consultant for the architectural, design and engineering of the new facility. When completed, the 8.3 acre property will feature a 20,000 sq. ft. maintenance facility with six service bays, an 8,000 sq. ft. administration building and regional meeting center, modern bus wash, secured parking for up to 100 transit vehicles, and parking area for employees and visitors. The project is expected to break ground in the Spring of 2019 with an in-service date in 2021.

BUDGETARY HIGHLIGHTS

NVTa adopts a biannual operating budget that includes proposed expenditures and the means of financing them. NVTa's budget is adopted by the Board before June 30th of each even-numbered fiscal year. Subsequent increases to the original budget must be approved by the Board. Page 49 provides a budget to actual comparison of the Governmental Fund.

For NVTa's Governmental Fund for the year ended June 30, 2018, the budget for revenues was \$3,324,700 and for expenditures was \$6,283,563. For the year ended June 30, 2017, the budget for revenues was \$5,389,791 and for expenditures was \$5,018,516. When comparing actual expenditures and revenue to the final budget for both fiscal years, NVTa was within budget.

CAPITAL ASSETS

The governmental activities financial statements include capital assets of \$0 and unrestricted Net Position of \$354,179 for fiscal year 2017-2018. Governmental activities financial statements include capital assets of \$17,438 and unrestricted Net Position of \$2,029,366 in fiscal year 2016-2017. Capital assets in total are composed of one vehicle dedicated for agency use and office furniture located at NVTa's administrative offices at the Soscol Gateway Transit Center.

The business-type activities financial statements include capital assets of \$25,184,578 and unrestricted Net Position of \$1,303,486 in fiscal year 2017-2018. The business-type activities financial statements include capital assets of \$27,824,976 and unrestricted Net Position of \$1,996,773 for fiscal year 2016-2017. Capital assets in total are predominantly made up of buses and other transit related equipment as well as the Soscol Gateway Transit Center facility. Unrestricted Net Position primarily represents the dollar amount to maintain the Vine Transit fleet.

Major additions during the year included purchases of transit related equipment in fiscal year 2017-2018 and three paratransit vehicles and equipment necessary to support transit operations in fiscal year 2016-2017.

For additional information on NVTA's capital assets and capital asset activity, please refer to Note 4 in the notes to the financial statements.

DEBT ADMINISTRATION

As of June 30, 2018, NVTA had debt of \$0, and recorded long-term obligations for compensated absences in the amount of \$118,874. For additional information on NVTA's debt activity, please refer to Note 5 in the notes to the financial statements.

CONTACTING NVTA

This financial report is designed to provide citizens, taxpayers, investors, and creditors with a general overview of NVTA's finances and to demonstrate NVTA's accountability for the money it receives. For questions about this report or any additional information needed, contact NVTA's administrative office at 625 Burnell Street, Napa, California 94559-3420.

**BASIC FINANCIAL STATEMENTS –
GOVERNMENT-WIDE FINANCIAL STATEMENTS**

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF NET POSITION
JUNE 30, 2018**

	Primary Government		
	Governmental Activities	Business-Type Activities	Totals
<u>ASSETS</u>			
Cash and Investments in County Treasury	\$ 1,081,035	\$ 955,839	\$ 2,036,874
Imprest Cash	500	-	500
Investments	-	224,425	224,425
Due from Other Government Agencies	10,669	3,278,689	3,289,358
Prepaid Expenses	50,565	93,976	144,541
Inventory	-	413,109	413,109
Other Postemployment Benefits (OPEB)	113,740	-	113,740
Capital Assets, Net of Accumulated Depreciation	-	25,184,578	25,184,578
Total Assets	1,256,509	30,150,616	31,407,125
<u>DEFERRED OUTFLOWS OF RESOURCES</u>			
OPEB	28,540	-	28,540
Pension Adjustments	431,387	-	431,387
Total Deferred Outflows of Resources	459,927	-	459,927
<u>LIABILITIES</u>			
Accounts Payable	771,435	1,826,586	2,598,021
Accrued Salaries	57,416	-	57,416
Unearned Revenue	-	237,874	237,874
Due to Other Government Agencies	-	1,598,092	1,598,092
Net Pension Liability	375,403	-	375,403
Compensated Absences	118,874	-	118,874
Total Liabilities	1,323,128	3,662,552	4,985,680
<u>DEFERRED INFLOWS OF RESOURCES</u>			
Pension Adjustments	39,129	-	39,129
<u>NET POSITION</u>			
Net Investment in Capital Assets	-	25,184,578	25,184,578
Unrestricted	354,179	1,303,486	1,657,665
Total Net Position	\$ 354,179	\$ 26,488,064	\$ 26,842,243

The accompanying notes are an integral part of these financial statements.

NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF NET POSITION
JUNE 30, 2017

	Primary Government		
	Governmental Activities	Business-Type Activities	Totals
<u>ASSETS</u>			
Cash and Investments in County Treasury	\$ 2,233,395	\$ 449,400	\$ 2,682,795
Imprest Cash	500	-	500
Investments	-	153,205	153,205
Due from Other Government Agencies	217,309	4,012,135	4,229,444
Prepaid Expenses	49,632	134,287	183,919
Inventory	-	417,002	417,002
Capital Assets, Net of Accumulated Depreciation	17,438	27,824,976	27,842,414
Total Assets	2,518,274	32,991,005	35,509,279
<u>DEFERRED OUTFLOWS OF RESOURCES</u>			
Pension Contributions	461,676	-	461,676
<u>LIABILITIES</u>			
Accounts Payable	413,476	1,569,250	1,982,726
Accrued Salaries	56,588	-	56,588
Unearned Revenue	-	153,205	153,205
Line of Credit	-	990,799	990,799
Due to Other Government Agencies	-	456,002	456,002
Net Pension Liability	292,430	-	292,430
Compensated Absences	89,073	-	89,073
Total Liabilities	851,567	3,169,256	4,020,823
<u>DEFERRED INFLOWS OF RESOURCES</u>			
Pension Adjustments	81,579	-	81,579
<u>NET POSITION</u>			
Net Investment in Capital Assets	17,438	27,824,976	27,842,414
Unrestricted	2,029,366	1,996,773	4,026,139
Total Net Position	\$ 2,046,804	\$ 29,821,749	\$ 31,868,553

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2018**

Functions/Programs	Expenses	Program Revenues			Net (Expense) Revenue and Changes in Net Position		
		Fees, Fines, and Charges for Services	Operating Grants and Contributions	Capital Grants and Contributions	Governmental Activities	Business-Type Activities	Total
Primary Government:							
Governmental Activities:							
Transportation Planning	\$ 4,814,600	\$ -	\$ 2,959,228	\$ -	\$ (1,855,372)	\$ -	\$ (1,855,372)
Business-Type Activities:							
Transit	13,480,279	1,330,940	8,677,056	112,854	-	(3,359,429)	(3,359,429)
Total Primary Government	<u>\$ 18,294,879</u>	<u>\$ 1,330,940</u>	<u>\$ 11,636,284</u>	<u>\$ 112,854</u>	<u>(1,855,372)</u>	<u>(3,359,429)</u>	<u>(5,214,801)</u>
General Revenues							
Unrestricted Interest and Investment Earnings					19,238	25,744	44,982
Miscellaneous					-	-	-
Change in Net Position					(1,836,134)	(3,333,685)	(5,169,819)
Net Position July 1, 2017					2,046,804	29,821,749	31,868,553
Prior Period Adjustment					143,509	-	143,509
Net Position July 1, 2017, as restated					<u>2,190,313</u>	<u>29,821,749</u>	<u>32,012,062</u>
Net Position June 30, 2018					<u>\$ 354,179</u>	<u>\$ 26,488,064</u>	<u>\$ 26,842,243</u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2017**

Functions/Programs	Expenses	Program Revenues			Net (Expense) Revenue and Changes in Net Position		
		Fees, Fines, and Charges for Services	Operating Grants and Contributions	Capital Grants and Contributions	Governmental Activities	Business-Type Activities	Total
Primary Government:							
Governmental Activities:							
Transportation Planning	\$ 3,829,107	\$ -	\$ 5,200,397	\$ -	\$ 1,371,290	\$ -	\$ 1,371,290
Business-Type Activities:							
Transit	13,324,993	1,247,968	9,211,610	3,683,258	-	817,843	817,843
Total Primary Government	<u>\$ 17,154,100</u>	<u>\$ 1,247,968</u>	<u>\$ 14,412,007</u>	<u>\$ 3,683,258</u>	<u>1,371,290</u>	<u>817,843</u>	<u>2,189,133</u>
General Revenues							
Unrestricted Interest and							
Investment Earnings					7,330	15,311	22,641
Miscellaneous					-	-	-
Change in Net Position					1,378,620	833,154	2,211,774
Net Position July 1, 2016					668,184	28,988,595	29,656,779
Net Position June 30, 2017					<u>\$ 2,046,804</u>	<u>\$ 29,821,749</u>	<u>\$ 31,868,553</u>

The accompanying notes are an integral part of these financial statements.

**BASIC FINANCIAL STATEMENTS –
FUND FINANCIAL STATEMENTS**

**NAPA VALLEY TRANSPORTATION AUTHORITY
BALANCE SHEET
GOVERNMENTAL FUND – PLANNING FUND
JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
<u>ASSETS</u>		
Current Assets		
Cash and Investments in County Treasury	\$ 1,081,035	\$ 2,233,395
Imprest Cash	500	500
Grants Receivable	10,669	217,309
Prepaid Expenses	<u>50,565</u>	<u>49,632</u>
Total Current Assets	<u>1,142,769</u>	<u>2,500,836</u>
Total Assets	<u><u>\$ 1,142,769</u></u>	<u><u>\$ 2,500,836</u></u>
<u>LIABILITIES</u>		
Current Liabilities		
Accounts Payable	\$ 771,435	\$ 413,476
Accrued Salaries and Benefits	<u>57,416</u>	<u>56,588</u>
Total Current Liabilities	<u>828,851</u>	<u>470,064</u>
Total Liabilities	<u>828,851</u>	<u>470,064</u>
<u>FUND BALANCE</u>		
Nonspendable	50,565	49,632
Unassigned	<u>263,353</u>	<u>1,981,140</u>
Total Fund Balance	<u>313,918</u>	<u>2,030,772</u>
Total Liabilities and Fund Balance	<u><u>\$ 1,142,769</u></u>	<u><u>\$ 2,500,836</u></u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
RECONCILIATION OF THE PLANNING FUND
BALANCE SHEET TO THE STATEMENT OF NET POSITION
JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
Total Fund Balance - Governmental Fund	\$ 313,918	\$ 2,030,772
Amounts reported for governmental activities in the Statement of Net Position are different because:		
Capital assets used in governmental activities are not financial resources and, therefore, are not reported in the governmental fund. The costs of assets were \$224,814 and \$224,814 and the accumulated depreciation was \$224,814 and \$207,376 at June 30, 2018 and 2017, respectively.	-	17,438
Long-term assets and liabilities are not due and payable in the current period and, therefore, are not reported in the governmental fund.		
Compensated absences	(118,874)	(89,073)
Net pension liability	(375,403)	(292,430)
Net OPEB asset	113,740	-
Deferred outflows of resources are not current assets or financial resources and deferred inflows of resources are not due and payable in the current period and, therefore, not reported in the governmental fund.		
Deferred outflows of resources - Pension	431,387	461,676
Deferred outflows of resources - OPEB	28,540	-
Deferred inflows of resources	<u>(39,129)</u>	<u>(81,579)</u>
Total Net Position - Governmental Activities	<u>\$ 354,179</u>	<u>\$ 2,046,804</u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF REVENUES, EXPENDITURES, AND
CHANGES IN FUND BALANCE
GOVERNMENTAL FUND – PLANNING FUND
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
Revenues		
Local Transportation Fund Allocation	\$ 1,992,256	\$ 3,830,791
Federal Highway Allocations	818,480	1,117,704
Programming, Planning, and Monitoring	46,487	45,787
Other Grants	65,406	8,109
Local Support	-	120,000
Interest	19,238	7,330
Other Revenues	<u>36,599</u>	<u>78,006</u>
Total Revenues	<u>2,978,466</u>	<u>5,207,727</u>
Expenditures		
Communications	29,327	27,666
Insurance	42,033	44,048
Office Expense	145,456	103,055
Rents and Leases	10,494	8,008
Transportation	11,669	16,846
Salaries and Benefits	1,714,868	1,629,904
Miscellaneous Expense	537,954	275,915
Professional Services	2,203,519	1,722,625
Debt Service		
Principal	-	2,502,874
Interest	<u>-</u>	<u>38,476</u>
Total Expenditures	<u>4,695,320</u>	<u>6,369,417</u>
Other Finance Sources		
Line of Credit	<u>-</u>	<u>820,339</u>
Net Change in Fund Balance	<u>(1,716,854)</u>	<u>(341,351)</u>
Fund Balance, Beginning of Year	<u>2,030,772</u>	<u>2,372,123</u>
Fund Balance, End of Year	<u><u>\$ 313,918</u></u>	<u><u>\$ 2,030,772</u></u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
RECONCILIATION OF THE STATEMENT OF REVENUES, EXPENDITURES,
AND CHANGES IN FUND BALANCE OF THE PLANNING FUND
TO THE GOVERNMENT-WIDE STATEMENT OF ACTIVITIES –
GOVERNMENTAL ACTIVITIES
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
Net Change in Fund Balance - Governmental Fund	\$ (1,716,854)	\$ (341,351)
Amounts reported for governmental activities in the Statement of Activities are different because:		
Capital outlays are reported in the governmental fund as expenditures. However, in the Statement of Activities, the cost of those assets is allocated over their estimated useful lives as depreciation expense.	(17,438)	(41,460)
Long-term liabilities are not due and payable in the current period and, therefore, are not reported in the governmental fund.		
Pension expense - GASB Statement No. 68	(70,812)	109,396
OPEB expense - GASB Statement No. 75	(1,229)	-
Line of credit	-	2,502,874
Issuance of long-term debt provides current resources to the governmental fund, but the issuance of debt increases long-term liabilities in the Statement of Net Position.		
Proceeds from issuance of long-term debt	-	(820,339)
Some expenses reported in the Statement of Activities do not require the use of current financial resources and, therefore, are not reported as expenditures in the governmental fund.		
This change reflects an increase in compensated absences that occurred during the year.	(29,801)	(30,500)
Total Change in Net Position - Governmental Activities	<u>\$ (1,836,134)</u>	<u>\$ 1,378,620</u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF FUND NET POSITION
TRANSIT FUND
JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
<u>ASSETS</u>		
Current Assets		
Cash and Investments in County Treasury	\$ 955,839	\$ 449,400
Investments	224,425	153,205
Grants Receivable	3,278,689	4,012,135
Prepaid Expenses	93,976	134,287
Inventory	<u>413,109</u>	<u>417,002</u>
Total Current Assets	<u>4,966,038</u>	<u>5,166,029</u>
Noncurrent Assets		
Land	3,967,565	3,967,565
Capital Assets, Net of Accumulated Depreciation	<u>21,217,013</u>	<u>23,857,411</u>
Total Noncurrent Assets	<u>25,184,578</u>	<u>27,824,976</u>
Total Assets	<u><u>\$ 30,150,616</u></u>	<u><u>\$ 32,991,005</u></u>
<u>LIABILITIES</u>		
Current Liabilities		
Accounts Payable	\$ 1,826,586	\$ 1,569,250
Unearned Revenue	237,874	153,205
Line of Credit	-	990,799
Due to Other Government Agencies	<u>1,598,092</u>	<u>456,002</u>
Total Current Liabilities	<u>3,662,552</u>	<u>3,169,256</u>
Total Liabilities	<u>3,662,552</u>	<u>3,169,256</u>
<u>NET POSITION</u>		
Net Investment in Capital Assets	25,184,578	27,824,976
Unrestricted	<u>1,303,486</u>	<u>1,996,773</u>
Total Net Position	<u>26,488,064</u>	<u>29,821,749</u>
Total Liabilities and Net Position	<u><u>\$ 30,150,616</u></u>	<u><u>\$ 32,991,005</u></u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF REVENUES, EXPENSES,
AND CHANGES IN FUND NET POSITION
TRANSIT FUND
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
Operating Revenues		
Farebox Revenues	\$ 1,330,940	\$ 1,247,968
Total Operating Revenues	<u>1,330,940</u>	<u>1,247,968</u>
Operating Expenses		
Marketing	114,864	103,077
Vehicle Maintenance	124,200	77,554
Other Maintenance	16,205	5,840
Fuel and Lubricants	1,120,360	921,003
Insurance	368,216	299,299
Security	12,772	27,664
Services	127,058	67,146
Supplies	19,599	29,478
Purchased Transportation	8,591,573	8,929,934
Rents and Leases	6,000	6,200
Utilities	5,180	4,409
Miscellaneous Expense	34,677	35,145
Depreciation	2,716,530	2,659,934
Personnel Costs	223,045	158,310
Total Operating Expenses	<u>13,480,279</u>	<u>13,324,993</u>
Operating Loss	<u>(12,149,339)</u>	<u>(12,077,025)</u>
Nonoperating Revenue, Net		
Local Transportation Fund	6,557,470	5,500,867
Loss: Returned Local Transportation Fund Allocations	(1,598,092)	(456,002)
State Transit Assistance	621,905	675,527
Federal Transit Assistance Grant Revenues - Operating	2,669,373	3,044,818
Other Operating Grants	426,400	446,400
Interest Income	25,744	15,311
Total Nonoperating Revenue, Net	<u>8,702,800</u>	<u>9,226,921</u>
Change in Net Position Before Contributions	<u>(3,446,539)</u>	<u>(2,850,104)</u>
Capital Contributions		
Federal Transit Assistance	-	210,000
Other Capital	-	7,843
Local Transportation Fund	112,854	3,465,415
Total Capital Contributions	<u>112,854</u>	<u>3,683,258</u>
Change in Net Position	<u>(3,333,685)</u>	<u>833,154</u>
Net Position, Beginning of Year	<u>29,821,749</u>	<u>28,988,595</u>
Net Position, End of Year	<u>\$ 26,488,064</u>	<u>\$ 29,821,749</u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF CASH FLOWS
TRANSIT FUND
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

	2018	2017
CASH FLOWS FROM OPERATING ACTIVITIES:		
Cash Received from Passengers	\$ 1,330,940	\$ 1,247,968
Cash Payments for General and Administrative Expenses	(845,955)	(655,496)
Cash Payments to Suppliers for Operations	(9,531,585)	(9,814,291)
Net Cash Used in Operating Activities	(9,046,600)	(9,221,819)
CASH FLOWS FROM NONCAPITAL FINANCING ACTIVITIES:		
Local Transportation Fund	6,001,860	4,092,850
Federal Operating Grants	3,683,031	3,044,818
State Transit Assistance	441,301	675,527
Other Operating Grants	426,400	446,400
Net Cash Provided by Noncapital Financing Activities	10,552,592	8,259,595
CASH FLOWS FROM CAPITAL AND RELATED FINANCING ACTIVITIES:		
Capital Contributions	112,854	3,683,258
Payments for the Acquisition of Capital Assets	(76,132)	(3,418,557)
Payment for Line of Credit	(990,799)	(9,201)
Net Cash (Used in) Provided by Capital and Related Financing Activities	(954,077)	255,500
CASH FLOWS FROM INVESTING ACTIVITIES:		
Investments	(71,220)	(153,205)
Interest Received	25,744	15,311
Net Cash Used in Investing Activities	(45,476)	(137,894)
Net Increase (Decrease) in Cash and Investments in County Treasury	506,439	(844,618)
Cash and Investments in County Treasury at Beginning of Year	449,400	1,294,018
Cash and Investments in County Treasury at End of Year	<u>\$ 955,839</u>	<u>\$ 449,400</u>
RECONCILIATION OF OPERATING LOSS TO NET CASH USED IN OPERATING ACTIVITIES:		
Operating Loss	\$ (12,149,339)	\$ (12,077,025)
Adjustments to Reconcile Operating Loss to Net Cash Used in Operating Activities:		
Depreciation	2,716,530	2,659,934
Changes in Assets and Liabilities:		
(Increase) Decrease in Inventory	3,893	(1,466)
Increase (Decrease) in Unearned Revenue	84,669	153,205
(Increase) Decrease in Prepaid Expenses	40,311	10,654
Increase (Decrease) in Accounts Payable and Accrued Expenses	257,336	32,879
Net Cash Used in Operating Activities	<u>\$ (9,046,600)</u>	<u>\$ (9,221,819)</u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF FIDUCIARY NET POSITION
FIDUCIARY FUNDS
JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
<u>ASSETS</u>		
Current Assets		
Cash and Investments in County Treasury	\$ 697,392	\$ 668,239
Due from Other Government Agencies	<u>96,250</u>	<u>201,490</u>
Total Current Assets	<u>793,642</u>	<u>869,729</u>
Total Assets	<u><u>\$ 793,642</u></u>	<u><u>\$ 869,729</u></u>
<u>LIABILITIES</u>		
Current Liabilities		
Accounts Payable	<u>\$ 7,382</u>	<u>\$ 61,049</u>
Total Current Liabilities	<u>7,382</u>	<u>61,049</u>
Total Liabilities	<u>7,382</u>	<u>61,049</u>
<u>NET POSITION</u>		
Net Position Held in Trust for Other Purposes	<u>786,260</u>	<u>808,680</u>
Total Net Position	<u>786,260</u>	<u>808,680</u>
Total Liabilities and Net Position	<u><u>\$ 793,642</u></u>	<u><u>\$ 869,729</u></u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF CHANGES IN FIDUCIARY NET POSITION
FIDUCIARY FUNDS
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

	<u>2018</u>	<u>2017</u>
ADDITIONS		
Aid from Other Government Agencies	\$ 204,121	\$ 225,120
Interest Income	<u>7,099</u>	<u>3,918</u>
Total Additions	<u>211,220</u>	<u>229,038</u>
DEDUCTIONS		
Program Expenses	<u>233,640</u>	<u>119,620</u>
Total Deductions	<u>233,640</u>	<u>119,620</u>
CHANGE IN NET POSITION	(22,420)	109,418
Net Position, Beginning of Year	<u>808,680</u>	<u>699,262</u>
Net Position, End of Year	<u><u>\$ 786,260</u></u>	<u><u>\$ 808,680</u></u>

The accompanying notes are an integral part of these financial statements.

**NAPA VALLEY TRANSPORTATION AUTHORITY
NOTES TO THE FINANCIAL STATEMENTS
FOR THE YEARS ENDED JUNE 30, 2018 AND 2017**

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

A. Reporting Entity

Napa Valley Transportation Authority (NVRTA), formerly known as the Napa County Congestion Management Agency and Napa County Planning and Transportation Agency, was formed on September 3, 1991, under a Joint Powers Agreement to provide coordinated, continuous, and comprehensive transportation planning for the County of Napa (the County) and the cities of the County. NVRTA consists of six member agencies with the voting power of each in parenthesis: the Cities of American Canyon (4), Calistoga (2), Napa (10), and St. Helena (2); the Town of Yountville (2); and the County (4).

The work program for the activities of NVRTA is defined by the Board of Directors (the Board) made up of elected officials from the respective member agencies and a member of the Paratransit Coordinating Council (PCC). The PCC member is ex-officio and does not have a vote.

NVRTA was formed to serve as the countywide transportation planning body for the incorporated and unincorporated areas of the County. NVRTA is charged with coordinating short and long-term planning and funding within an intermodal policy framework in the areas of highways, streets and roads, transit and paratransit, and bicycle path improvements.

NVRTA's Joint Powers Agreement was amended effective January 1, 2001, to facilitate the consolidation of transit planning and to allow transfer of Transportation Development Act (TDA) funds directly to NVRTA as claimant for transit use to the extent allowed by TDA regulations. The amendment enables NVRTA to claim all TDA funds under Articles 4, 4.5, and/or 8 of Chapter 4 of the Public Utilities Code apportioned within the County by the Metropolitan Transportation Commission. NVRTA is authorized to claim all apportionments to transit services on behalf of the jurisdictions of the County. In January 2007, the agreement was amended further to change NVRTA's name from Napa County Congestion Management Agency to Napa County Transportation and Planning Agency. In February 2016, the name was changed to the Napa Valley Transportation Authority.

Beginning July 1, 2001, NVRTA began administering all transit-related activities on behalf of the Cities of Calistoga, Napa, and St. Helena; the Town of Yountville; and the County. Effective July 1, 2006, NVRTA assumed direct management of American Canyon Transit.

B. Basis of Presentation

The financial statements of NVRTA are prepared in accordance with accounting principles generally accepted in the United States of America.

Government-Wide Financial Statements

The Statement of Net Position and Statement of Activities display information about the primary government (NVRTA). These statements include the financial activities of the overall government, except for fiduciary activities. Eliminations have been made to minimize the double counting of internal activities. These statements distinguish between the *governmental* and *business-type* activities of NVRTA. Governmental activities, which normally are supported by taxes and intergovernmental revenues, are reported separately from business-type activities, which rely to a significant extent on fees charged to external parties.

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

B. Basis of Presentation (Continued)

Government-Wide Financial Statements (Continued)

The Statement of Activities demonstrates the degree to which the program expenses of a given function are offset by program revenues. Program expenses include direct expenses, which are clearly identifiable with a specific function, and allocated indirect expenses. Program revenues include 1) charges paid by the recipients of goods or services offered by the programs and 2) grants and contributions that are restricted to meeting the operational or capital requirements of a particular program. Revenues that are not classified as program revenues, including taxes and unrestricted interest earnings, are presented instead as general revenues.

When both restricted and unrestricted Net Position are available, restricted resources for the purpose intended are used first then unrestricted resources as they are needed.

Fund Financial Statements

The fund financial statements provide information about NVTAs funds, including fiduciary funds. Separate statements for each fund category – *governmental*, *proprietary*, and *fiduciary* – are presented. The emphasis of fund financial statements is on major governmental and enterprise funds, each displayed in a separate column. All remaining governmental and enterprise funds are separately aggregated and reported as nonmajor funds. For the year ended June 30, 2018, NVTAs did not have any nonmajor funds.

Proprietary funds distinguish operating revenues and expenses from nonoperating items. Proprietary fund *operating* revenues result from exchange transactions. Exchange transactions are those in which each party receives and gives up essentially equal values. Operating revenues generally result from charges to passengers for public transit services. Operating expenses include the cost of transit service, administrative expenses, and depreciation on capital assets. All revenues and expenses not meeting the definition of operating revenues and expenses are reported as nonoperating.

NVTAs reports the following major governmental fund:

Planning Fund is used as the general fund for NVTAs and all planning and administrative activities are accounted for in this fund.

NVTAs reports the following major enterprise fund:

Transit Fund is used to account for the revenues and expenses necessary to provide public transit services. Transit operations include the Vine, Vine Go, American Canyon Transit, the Yountville Trolley, the St. Helena Shuttle, the Calistoga Shuttle, and the Taxi Scrip program.

NVTAs reports the following additional fund types:

Private Purpose Trust Funds account for assets, primarily cash and investments, held by NVTAs in a trustee capacity for other governmental agencies. NVTAs is responsible for the administration of two private purpose trust funds. They are used to account for activities of the Abandoned Vehicle Abatement Authority trust fund and the Bay Area Air Quality Management trust fund.

C. Basis of Accounting

The government-wide, proprietary, and fiduciary fund financial statements are reported using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded at the time liabilities are incurred, regardless of when the related cash flows take place.

Nonexchange transactions, in which NVTAs gives (or receives) value without directly receiving (or giving) equal value in exchange, include grants, entitlements, and donations. Revenues from grants, entitlements, and donations are recognized in the fiscal year in which all eligibility requirements have been satisfied.

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

C. Basis of Accounting (Continued)

Governmental funds are reported using the current financial resources measurement focus and the modified accrual basis of accounting. Under this method, revenues are recognized when measurable and available. Interest; state, federal, and local grants; and charges for services are accrued when their receipt occurs within one year after the end of the accounting period so as to be measurable and available. Expenditures are generally recorded when a liability is incurred, as under accrual accounting.

D. Cash and Investments

NVTA maintains nearly all of its cash and investments with the County Treasurer in a cash and investment pool. A small independent bank account is used to pay some employee benefits. On a quarterly basis, the County Treasurer allocates interest to investment pool participants based upon their average daily balances. For purposes of the accompanying Statement of Cash Flows, the enterprise fund considers all highly liquid investments with a maturity of three months or less when purchased, and its equity in the County Treasurer's investment pool, to be cash equivalents. The fair value of investments is obtained by using quotations obtained from independent published sources.

Required disclosure information regarding the categorization of investments and other deposit and investment risk disclosures can be found in the County's financial statements. The County's financial statements may be obtained by contacting the County's Auditor-Controller's office at 1195 Third Street, Room B-10, Napa, California 94559. The County Treasury Oversight Committee oversees the Treasurer's investments and policies.

E. Receivables

NVTA's receivables are mostly related to grants and vehicle registration fees. Management has determined NVTA's receivables to be fully collectable. Accordingly, no allowance for doubtful accounts has been made.

F. Inventories

On August 31, 2009, NVTA's multiyear agreement (the Agreement) with the purchased transportation contractor (the Contractor) provided the Contractor with an initial inventory of equipment, tools, and other property to be used to provide services. The Contractor shall be responsible for returning to NVTA, at the termination of the Agreement, property and equipment of equivalent type and value (as of date acquired) and conditions as that identified in the updated initial inventory list, subject to normal wear and tear.

During the last month of the Agreement, NVTA shall conduct a final inventory. The Contractor will be responsible for either replacing property or equipment determined from the inventory list to be missing, damaged, or otherwise unavailable for use, or in a condition that is in excess of ordinary wear and tear or compensating NVTA for its replacement value. These parts are not included in the Agreement with the Contractor. Farebox inventory parts will be tracked separately.

G. Capital Assets

Capital assets are recorded at historical cost or estimated historical cost if actual historical cost is not available. Contributed capital assets are valued at their estimated fair market value on the date contributed. NVTA defines capital assets as assets with an initial, individual cost of more than \$5,000 and an estimated useful life in excess of one year. Capital assets used in operations are depreciated using the straight-line method over their estimated useful lives in the government-wide statements and proprietary funds.

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

G. Capital Assets (Continued)

The estimated useful lives are as follows:

Structures	20 years
Vehicles	1-12 years
Equipment	1-5 years

NVTA has acquired certain assets with funding provided by federal assistance from various grant programs. NVTA holds title to these assets; however, the federal government retains an interest in these assets should the assets no longer be used for transit purposes.

H. Compensated Absences

NVTA has adopted Governmental Accounting Standards Board (GASB) Statement No. 16, *Accounting for Compensated Absences*. The earned vacation payable upon termination is reported at the current balance of the liability, and may be accumulated up to a maximum of 600 hours by personnel.

I. Interfund Transactions

Interfund transactions are reflected either as loans, services provided, reimbursements, or transfers. Loans are reported as receivables and payables as appropriate, are subject to elimination upon consolidation, and are referred to as either "due to/from other funds" (i.e., the current portion of interfund loans) or "advances to/from other funds" (i.e., the noncurrent portion of interfund loans). Any residual balances outstanding between the governmental activities and the business-type activities are reported in the government-wide financial statements as "internal balances." Advances between funds, as reported in the fund financial statements, are offset by a fund balance reserve account in applicable governmental funds to indicate that they are not available for appropriation and are not available financial resources.

Services provided, deemed to be at market or near market rates, are treated as revenues and expenditures/expenses. Reimbursements are when one fund incurs a cost, charges the appropriate benefiting fund, and reduces its related cost as a reimbursement. All other interfund transactions are treated as transfers. Transfers between governmental or proprietary funds are netted as part of the reconciliation to the government-wide presentation.

J. Advances

Advances arise when resources are received by NVTA before it has a legal claim to them, e.g., when grant monies are received prior to the incurrence of qualifying expenses. In subsequent periods, when both revenue recognition criteria are met, or when NVTA has a legal claim to the resources, the liability is removed from the Balance Sheet and revenue is recognized.

K. Use of Estimates

The preparation of the financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amount of revenue and expenditures/expenses during the reporting period. Actual results could differ from these estimates.

L. Reclassifications

Certain amounts in the prior year financial statements have been reclassified for comparative purposes to conform with the presentation in the current year financial statements.

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

M. Net Position

The government-wide financial statements utilize a net position presentation. Net position is categorized as net investment in capital assets, restricted, and unrestricted.

Net Investment in Capital Assets – This amount consists of capital assets net of accumulated depreciation and reduced by outstanding debt that is attributed to the acquisition, construction, or improvement of the asset.

Restricted Net Position – This amount is restricted by external creditors, grantors, contributors, or laws or regulations of other governments, of which NVTa has none.

Unrestricted Net Position – This amount is all net position that does not meet the definition of “net investment in capital assets” or “restricted net position.”

N. Fund Balance

In the fund financial statements, governmental funds report fund balance as nonspendable, restricted, committed, assigned, or unassigned based primarily on the extent to which NVTa is bound to honor constraints on how specific amounts can be spent.

- *Nonspendable fund balance* – amounts that cannot be spent because they are either (a) not spendable in form or (b) legally or contractually required to be maintained intact.
- *Restricted fund balance* – amounts with constraints placed on their use that are either (a) externally imposed by creditors, grantors, contributors, or laws or regulations of other governments; or (b) imposed by law through constitutional provisions or enabling legislation.
- *Committed fund balance* – amounts that can only be used for specific purposes determined by formal action of NVTa's highest level of decision-making authority (the Board) and that remain binding unless removed in the same manner. Committed fund balance does not lapse at year-end. The formal action must occur prior to the end of the reporting period. However, the amount which will be subject to the constraint may be determined in the subsequent period. The formal action required to commit fund balance shall be Board resolution.
- *Assigned fund balance* – amounts that are constrained by NVTa's *intent* to be used for specific purposes. The intent can be established at either the highest level of decision-making authority, or by a body or an official designated for that purpose. The Board delegated authority to assign fund balance for a specific purpose to the Manager of Finance.
- *Unassigned fund balance* – the residual classification for NVTa's Planning Fund that includes amounts not contained in the other classifications. In other funds, the unassigned classification is used only if expenditures incurred for specific purposes exceed the amounts restricted, committed, or assigned to those purposes.

When both restricted and unrestricted resources are available for use, it is NVTa's policy to use restricted resources first, followed by the unrestricted committed, assigned, and unassigned resources as they are needed.

Minimum Fund Balance Policy:

NVTa has adopted a minimum fund balance policy. Planning Fund cash reserves should be at a minimum of \$500,000 per fiscal year. The proprietary cash reserve should be at least 25% of non-restricted funds of the current fiscal year operating budget.

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

O. New Accounting Pronouncements – Implemented

GASB Statement No. 75 – *Accounting and Financial Reporting for Postemployment Benefits Other than Pension Plans*. The provisions of this statement are effective for fiscal years beginning after June 15, 2017. NVTA has implemented the provisions of GASB Statement No. 75 in the current year. As a result of this implementation, NVTA reported a prior period adjustment to net position in the amount of \$143,509 and recognized a net OPEB asset and deferred outflow of resources associated with OPEB as of June 30, 2018. See Note 9 for a detailed discussion of the effects of NVTA's current and prior period financial statements as a result of the adoption of this standard.

GASB Statement No. 81 – *Irrevocable Split-Interest Agreement*. The requirements of this statement are effective for reporting periods beginning after December 15, 2016. There was no effect on NVTA's accounting and financial reporting as a result of implementing this standard.

GASB Statement No. 85 – *Omnibus 2017*. The requirements of this statement are effective for periods beginning after June 15, 2017. There was no effect on NVTA's accounting and financial reporting as a result of implementing this standard.

GASB Statement No. 86 – *Certain Debt Extinguishment Issues*. The requirements of this statement are effective for periods beginning after June 15, 2017. There was no effect on NVTA's accounting and financial reporting as a result of implementing this standard.

P. Future GASB Statements

GASB Statement No. 83 – *Certain Asset Retirement Obligations*. The requirements of this statement are effective for the reporting periods beginning after June 15, 2018. Earlier application is encouraged. NVTA has not fully judged the effect of implementation of GASB Statement No. 83 as of the date of the basic financial statements.

GASB Statement No. 84 – *Fiduciary Activities*. The requirements for this statement are effective for fiscal years beginning after December 15, 2018. NVTA believes the statement will not apply.

GASB Statement No. 87 – *Leases*. The requirements of this statement are effective for periods beginning after December 15, 2019. NVTA has not fully judged the effect of implementation of GASB Statement No. 87 as of the date of the basic financial statements.

GASB Statement No. 88 – *Certain Disclosures Related to Debt, including Direct Borrowings and Direct Placements*. The requirements of this statement are effective for periods beginning after June 15, 2018. NVTA has not fully judged the effect of implementation of GASB Statement No. 88 as of the date of the basic financial statements.

GASB Statement No. 89 – *Accounting for Interest Cost Incurred before the End of a Construction Period*. The requirements of this statement are effective for periods beginning after December 15, 2019. NVTA has not fully judged the effect of implementation of GASB Statement No. 89 as of the date of the basic financial statements.

GASB Statement No. 90 – *Majority Equity Interests – An Amendment of GASB Statements No. 14 and No. 61*. The requirements of this statement are effective for periods beginning after December 15, 2018. NVTA has not fully judged the effect of implementation of GASB Statement No. 90 as of the date of the basic financial statements.

NOTE 1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (Continued)

Q. Pensions

For purposes of measuring the net pension liability, deferred outflows/inflows of resources related to pension, and pension expense, information about the fiduciary net position of NVTAs California Public Employees' Retirement System (CalPERS) plan (Plan) and additions to/deductions from the Plan's fiduciary net position have been determined on the same basis as reported by CalPERS. For this purpose, benefit payments (including refunds of employee contributions) are recognized when due and payable in accordance with the benefit terms. Investments are reported at fair value.

R. Deferred Outflows/Inflows of Resources

In addition to assets, the Statement of Net Position will sometimes report a separate section for deferred outflows of resources. This separate financial statement element, deferred outflows of resources, represents a consumption of net position or fund balance that applies to a future period(s) and, thus, will not be recognized as an outflow of resources (expense/expenditure) until then. NVTAs has only two items that qualify for reporting in this category. It is for pension contributions made after the measurement date and other pension related deferred outflows of resources. GASB Statement No. 68 does not allow the cash payments made to the Plan after the measurement date to have any effect on either the net pension liability or the pension expense that is reflected in these financial statements.

In addition to liabilities, the Statement of Net Position will sometimes report a separate section for deferred inflows of resources. This separate financial statement element, deferred inflows of resources, represents an acquisition of net position or fund balance that applies to a future period(s) and so will not be recognized as an inflow of resources (revenue) until that time. NVTAs has only one item, which arises as a result of the implementation of GASB Statement No. 68. Deferred inflows of resources are recorded for the net difference between projected and actual earnings on pension plan investments, adjustments due to differences in proportions, and changes in assumptions.

S. Other Postemployment Benefits (OPEB)

For purposes of measuring the net OPEB liability (asset), deferred outflows of resources and deferred inflows of resources related to OPEB, and OPEB expense, information about the fiduciary net position of NVTAs plan (OPEB Plan) and additions to/deductions from the OPEB Plan's fiduciary net position have been determined on the same basis as they are reported by CalPERS. For this purpose, benefit payments are recognized when currently due and payable in accordance with the benefit terms. Investments are reported at fair value. Accounting principles generally accepted in the United States of America require that the reported results must pertain to liability and asset information within certain defined timeframes.

NOTE 2 – CASH AND INVESTMENTS IN COUNTY TREASURY/IMPREST CASH

General

NVTAs has adopted GASB Statement No. 31 which requires investments of governmental agencies to be reported at fair value. However, investment pools, such as a state or county treasury, may report the value of short-term investments with remaining maturities of less than 90 days at amortized cost. The majority of the County Treasury investments have a remaining maturity of less than 90 days. In addition, GASB Statement No. 31 does not apply to immaterial cost/value differences.

NVTAs has adopted GASB Statement No. 40, *Deposit and Investment Risk Disclosures*. GASB Statement No. 40 requires governmental entities to assess categories of risk associated with their deposits and disclose these risks.

NOTE 2 – CASH AND INVESTMENTS IN COUNTY TREASURY/IMPREST CASH (Continued)General (Continued)

Cash and investments are reported in the accompanying financial statements as follows:

June 30, 2018				
	Governmental Activities	Business-Type Activities	Government-Wide Totals	Fiduciary Funds
Statement of Net Position:				
Cash	\$ 1,081,035	\$ 955,839	\$ 2,036,874	\$ 697,392
Imprest Cash	500	-	500	-
Investments	-	224,425	224,425	-
	<u>\$ 1,081,535</u>	<u>\$ 1,180,264</u>	<u>\$ 2,261,799</u>	<u>\$ 697,392</u>
June 30, 2017				
	Governmental Activities	Business-Type Activities	Government-Wide Totals	Fiduciary Funds
Statement of Net Position:				
Cash	\$ 2,233,395	\$ 449,400	\$ 2,682,795	\$ 668,239
Imprest Cash	500	-	500	-
Investments	-	153,205	153,205	-
	<u>\$ 2,233,895</u>	<u>\$ 602,605</u>	<u>\$ 2,836,500</u>	<u>\$ 668,239</u>

Cash and investments consisted of the following at June 30, 2018 and 2017:

June 30, 2018				
	Governmental Activities	Business-Type Activities	Government-Wide Totals	Fiduciary Funds
Cash on Hand and in Banks	\$ 3,425	\$ 141,549	\$ 144,974	\$ -
Pooled Investments	1,078,110	814,290	1,892,400	697,392
Investments	-	224,425	224,425	-
	<u>\$ 1,081,535</u>	<u>\$ 1,180,264</u>	<u>\$ 2,261,799</u>	<u>\$ 697,392</u>
June 30, 2017				
	Governmental Activities	Business-Type Activities	Government-Wide Totals	Fiduciary Funds
Cash on Hand and in Banks	\$ 3,780	\$ 58,542	\$ 62,322	\$ -
Pooled Investments	2,230,115	390,858	2,620,973	668,239
Investments	-	153,205	153,205	-
	<u>\$ 2,233,895</u>	<u>\$ 602,605</u>	<u>\$ 2,836,500</u>	<u>\$ 668,239</u>

All deposits are fully collateralized in accordance with Section 53652 of the California Government Code. The California Government Code requires California banks and savings and loan associations to secure NVTA's deposits by pledging government securities as collateral.

The market value of pledged securities must equal at least 110% of NVTA's deposits. California law also allows financial institutions to secure NVTA's deposits by pledging first trust deed mortgage notes having a value of 150% of NVTA's total deposits.

Collateral is held by the pledging financial institution's trust department and is considered held in NVTA's name. NVTA may waive collateral requirements for deposits that are fully insured up to \$250,000 by federal depository insurance. NVTA has \$250,000 that is covered by federal depository insurance as of June 30, 2018.

NOTE 2 – CASH AND INVESTMENTS IN COUNTY TREASURY/IMPREST CASH (Continued)General (Continued)

NVTA had no deposit or investment policy that addressed a specific type of risk. Required disclosures for NVTA's deposit and investment risks held in the County's investment pool at June 30, 2018, were as follows:

Credit risk

Generally, credit risk is the risk that an issuer of an investment will not fulfill its obligation to the holder of the investment. This is measured by the assignment of a rating by a nationally recognized statistical rating organization. State law and the County's Investment Policy limit investments in commercial paper to the rating of A1 by Standard & Poor's or P-1 by Moody's Investors Service.

State law and the County's Investment Policy also limit investments in corporate bonds to the rating of A by Standard & Poor's and Moody's Investors Service. NVTA establishes its credit limits based on the County's Investment Policy.

Presented below is the minimum rating required by (where applicable) NVTA's investment policy and the actual rating as of year-end for each investment type.

2018

<u>Investments type</u>	<u>Total</u>	<u>Minimum legal rating</u>	<u>Ratings as of year-end</u>	<u>Not rated</u>
Pooled investments	\$1,892,400	N/A	N/A	\$1,892,400
Held by trustee:				
Certificates of deposit	<u>224,425</u>	N/A	N/A	<u>224,425</u>
	<u>\$2,116,825</u>			<u>\$2,116,825</u>

2017

<u>Investments type</u>	<u>Total</u>	<u>Minimum legal rating</u>	<u>Ratings as of year-end</u>	<u>Not rated</u>
Pooled investments	\$2,620,973	N/A	N/A	\$2,620,973
Held by trustee:				
Certificates of deposit	<u>153,205</u>	N/A	N/A	<u>153,205</u>
	<u>\$2,774,178</u>			<u>\$2,774,178</u>

Custodial credit risk

Custodial credit risk for *deposits* is the risk that, in the event of the failure of a depository financial institution, a government will not be able to recover its deposits or will not be able to recover collateral securities that are in the possession of an outside party. The custodial credit risk for *investments* is the risk that, in the event of the failure of the counterparty (e.g., broker-dealer) to a transaction, a government will not be able to recover the value of its investment or collateral securities that are in the possession of another party.

For investments and deposits held with fiscal agents, custodial credit risk is the risk that, in the event of the failure of the counterparty, NVTA will not be able to recover the value of its investments or deposits that are in the possession of an outside party. At year-end, NVTA's funds in the County's investment pool and cash with fiscal agents had no securities exposed to custodial credit risk.

NOTE 2 – CASH AND INVESTMENTS IN COUNTY TREASURY/IMPREST CASH (Continued)General (Continued)Custodial credit risk (Continued)

At June 30, 2018, in accordance with State law and the County's Investment Policy, NVTA did not have 5% or more of its net investment in commercial paper, corporate bonds, or medium-term notes of a single organization, nor did it have 10% or more of its net investment in any one money market mutual fund within the County's Investment Pool. Investments in obligations of the U.S. government, U.S. government agencies, or government-sponsored enterprises are exempt from these limitations.

Interest rate risk

Interest rate risk is the risk that changes in market interest rates will adversely affect the fair value of an investment. Generally, the longer the maturity of an investment, the greater the sensitivity of its fair value to changes in market interest rates. The County manages NVTA's exposure to declines in fair values by limiting the weighted average maturity of its investment portfolio to five years or less in accordance with the County's Investment Policy.

Investments held in the County's investment pool are available on demand and are stated at cost plus accrued interest, which approximates fair value.

Information about the sensitivity of the fair values of NVTA's investments to market interest rate fluctuations is provided by the following table that shows the distribution of NVTA's investments by maturity:

2018					
Investments type	Total	12 months or less	13 to 24 months	25 to 60 months	More than 60 months
Pooled investments	\$ 1,892,400	\$ 1,892,400	\$ -	\$ -	\$ -
Held by trustee:					
Certificates of deposit	224,425	224,425	-	-	-
	<u>\$ 2,116,825</u>	<u>\$ 2,116,825</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
2017					
Investments type	Total	12 months or less	13 to 24 months	25 to 60 months	More than 60 months
Pooled investments	\$ 2,620,973	\$ 2,620,973	\$ -	\$ -	\$ -
Held by trustee:					
Certificates of deposit	153,205	153,205	-	-	-
	<u>\$ 2,774,178</u>	<u>\$ 2,774,178</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>

Investment in the County Investment Pool

NVTA maintains all of its cash and investments with the County Treasurer in a cash and investment pool. NVTA is considered to be an involuntary participant in the external investment pool. On a quarterly basis, the County Treasurer allocates interest to investment pool participants based upon their average daily balances. For purposes of the accompanying Statement of Cash Flows, the enterprise fund considers all highly liquid investments with a maturity of three months or less when purchased, and its equity in the County Treasurer's investment pool, to be cash equivalents. The fair value of investments is obtained by using quotations obtained from independent published sources.

NOTE 2 – CASH AND INVESTMENTS IN COUNTY TREASURY/IMPREST CASH (Continued)General (Continued)

The table below identifies the **investment types** that are authorized for NVTa by the California Government Code (or the County's Investment Policy, where more restrictive). The table also identifies certain provisions of the California Government Code (or the County's Investment Policy, where more restrictive) that address **interest rate risk**, **credit risk**, and **concentration of credit risk**.

<u>Authorized Investment Type</u>	<u>Maximum Maturity</u>	<u>Maximum Percentage of Portfolio</u>	<u>Maximum Investment in One Issuer</u>
Local Agency Bonds	5 years	None	None
U.S. Treasury Obligations	5 years	None	None
U.S. Agency Obligations	5 years	None	None
State of California Obligations	5 years	None	None
Bankers' Acceptances	180 days	40%	30%
Commercial Paper - Select Agencies	180 days	25%	10%
Commercial Paper - Other Agencies	180 days	40%	10%
Negotiable Certificates of Deposit	5 years	30%	None
Repurchase Agreements	30 days	5%	None
Reverse Repurchase Agreements	92 days	20% of base value	None
Medium-Term Notes	5 years	30%	None
Mutual Funds/Money Market Mutual Funds	N/A	20%	10%
Collateralized Bank Deposits	5 years	None	None
Mortgage Pass-Through Securities	5 years	20%	None
Time Deposits	5 years	None	None
County Pooled Investment Funds	N/A	None	None
Joint Powers Agreement (JPA) Pools (other investment pools)	N/A	None	None
Local Agency Investment Fund (LAIF)	N/A	None	None

Fair Value Measurements

NVTa categorizes its fair value measurements within the fair value hierarchy established by accounting principles generally accepted in the United States of America. These principles recognize a three-tiered fair value hierarchy, as follows:

- Level 1: Investments reflect prices quoted in active markets;
- Level 2: Investments reflect prices that are based on a similar observable asset either directly or indirectly, which may include inputs in markets that are not considered to be active; and
- Level 3: Investments reflect prices based upon unobservable sources.

NOTE 2 – CASH AND INVESTMENTS IN COUNTY TREASURY/IMPREST CASH (Continued)Fair Value Measurements (Continued)

NVTA has the following recurring fair value measurements as of June 30, 2018 and 2017:

2018

<u>Investments by fair value level</u>	<u>Fair Value Measurements Using</u>		
	<u>Quoted Prices in Active Markets for Identical Assets (Level 1)</u>	<u>Significant Other Observable Inputs (Level 2)</u>	<u>Significant Unobservable Inputs (Level 3)</u>
Held by trustee:			
Certificates of deposit	\$ 224,425	\$ -	\$ -
	<u>\$ 224,425</u>	<u>\$ -</u>	<u>\$ -</u>

2017

<u>Investments by fair value level</u>	<u>Fair Value Measurements Using</u>		
	<u>Quoted Prices in Active Markets for Identical Assets (Level 1)</u>	<u>Significant Other Observable Inputs (Level 2)</u>	<u>Significant Unobservable Inputs (Level 3)</u>
Held by trustee:			
Certificates of deposit	\$ 153,205	\$ -	\$ -
	<u>\$ 153,205</u>	<u>\$ -</u>	<u>\$ -</u>

Investments in the County investment pool totaling \$1,892,400 and \$2,620,973 as of June 30, 2018 and 2017, respectively, are measured at amortized cost, which approximates fair value.

NOTE 3 – DUE FROM OTHER GOVERNMENT AGENCIES

Amounts due from other government agencies consisted of the following at June 30, 2018 and 2017:

	<u>2018</u>	<u>2017</u>
Federal Transit Administration (FTA)		
Operating	\$ 2,884,290	\$ 3,929,408
State		
State Transit Assistance (STA)	324,289	135,842
Grants - Capital	67,649	39,437
Local		
Cities and County	213,130	93,423
Local - Other	<u>96,250</u>	<u>232,824</u>
Total	<u>\$ 3,585,608</u>	<u>\$ 4,430,934</u>

NOTE 3 – DUE FROM OTHER GOVERNMENT AGENCIES (Continued)

Reconciliation to Financial Statements		2018	2017
Planning Fund	Grants Receivable	\$ 10,669	\$ 185,975
Planning Fund	Due from Other Government Agencies	-	31,334
Transit Fund	Grants Receivable	2,741,269	3,782,870
Transit Fund	Due from Other Government Agencies	537,420	229,265
Total per Statement of Net Position		3,289,358	4,229,444
Fiduciary Funds	Due from Other Government Agencies	96,250	201,490
Total including Fiduciary Funds		\$ 3,385,608	\$ 4,430,934

NOTE 4 – CAPITAL ASSETS

Capital asset activity for the year ended June 30, 2018, was as follows:

	Balance July 1, 2017	Additions	Disposals	Balance June 30, 2018
Governmental Activities:				
Capital Assets, Being Depreciated				
Vehicles and Equipment	\$ 224,814	\$ -	\$ -	\$ 224,814
Less Accumulated Depreciation for:				
Vehicles and Equipment	(207,376)	(17,438)	-	(224,814)
Governmental Activities Capital Assets, Net	<u>\$ 17,438</u>	<u>\$ (17,438)</u>	<u>\$ -</u>	<u>\$ -</u>
Business-Type Activities:				
Capital Assets, Not Being Depreciated				
Land	\$ 3,967,565	\$ -	\$ -	\$ 3,967,565
Construction in Progress	-	-	-	-
Total Capital Assets, Not Being Depreciated	<u>3,967,565</u>	<u>-</u>	<u>-</u>	<u>3,967,565</u>
Capital Assets, Being Depreciated:				
Vehicles and Equipment	35,079,887	76,132	-	35,156,019
Less Accumulated Depreciation for:				
Vehicles and Equipment	(11,222,476)	(2,716,530)	-	(13,939,006)
Total Capital Assets, Being Depreciated, Net	<u>23,857,411</u>	<u>(2,640,398)</u>	<u>-</u>	<u>21,217,013</u>
Business-Type Activities, Capital Assets, Net	<u>\$ 27,824,976</u>	<u>\$ (2,640,398)</u>	<u>\$ -</u>	<u>\$ 25,184,578</u>
Total Government-Wide Capital Assets, Net	<u>\$ 27,842,414</u>	<u>\$ (2,657,836)</u>	<u>\$ -</u>	<u>\$ 25,184,578</u>

Government-wide depreciation expense for the year ended June 30, 2018, was \$2,733,968.

NOTE 4 – CAPITAL ASSETS (Continued)

Capital asset activity for the year ended June 30, 2017, was as follows:

	Balance July 1, 2016	Additions	Disposals	Balance June 30, 2017
Governmental Activities:				
Capital Assets, Being Depreciated				
Vehicles and Equipment	\$ 224,814	\$ -	\$ -	\$ 224,814
Less Accumulated Depreciation for:				
Vehicles and Equipment	(165,916)	(41,460)	-	(207,376)
Governmental Activities Capital Assets, Net	<u>\$ 58,898</u>	<u>\$ (41,460)</u>	<u>\$ -</u>	<u>\$ 17,438</u>
Business-Type Activities:				
Capital Assets, Not Being Depreciated				
Land	\$ 1,357,692	\$ 2,609,873	\$ -	\$ 3,967,565
Construction in Progress	2,739,554	-	(2,739,554)	-
Total Capital Assets, Not Being Depreciated	<u>4,097,246</u>	<u>2,609,873</u>	<u>(2,739,554)</u>	<u>3,967,565</u>
Capital Assets, Being Depreciated:				
Vehicles and Equipment	31,531,649	3,548,238	-	35,079,887
Less Accumulated Depreciation for:				
Vehicles and Equipment	(8,562,542)	(2,659,934)	-	(11,222,476)
Total Capital Assets, Being Depreciated, Net	<u>22,969,107</u>	<u>888,304</u>	<u>-</u>	<u>23,857,411</u>
Business-Type Activities, Capital Assets, Net	<u>\$ 27,066,353</u>	<u>\$ 3,498,177</u>	<u>\$ (2,739,554)</u>	<u>\$ 27,824,976</u>
Total Government-Wide Capital Assets, Net	<u>\$ 27,125,251</u>	<u>\$ 3,456,717</u>	<u>\$ (2,739,554)</u>	<u>\$ 27,842,414</u>

Government-wide depreciation expense for the year ended June 30, 2017, was \$2,701,394.

NOTE 5 – COMPENSATED ABSENCES

The following is a summary of current and long-term compensated absences for the years ended June 30:

	2018	2017
Beginning Balance July 1	\$ 89,073	\$ 58,573
Additions	35,620	31,471
Reductions	<u>(5,819)</u>	<u>(971)</u>
Ending Balance June 30	<u>\$ 118,874</u>	<u>\$ 89,073</u>
Amounts Due Within One Year	<u>\$ 118,874</u>	<u>\$ 89,073</u>

NOTE 6 – DUE TO OTHER GOVERNMENT AGENCIES

Business-Type Activities – Due to LTF

TDA funds are apportioned, allocated, and disbursed in accordance with allocation instructions from the Metropolitan Transportation Commission (MTC) for specific transportation purposes. The Local Transportation Fund (LTF) allocates monies to the transit system to support operations. The TDA, which governs the use of these funds, requires that any funds not used must be returned to their sources. LTF allocations are considered earned when they are properly spent for operations by the transit system.

It is the current practice of NVTa to have excess revenue returned to the funding agency. NVTa had excess revenues of \$1,598,092 and \$456,002 at June 30, 2018 and 2017, respectively. Money returned to LTF will be reallocated for future capital purchases or operating assistance.

Allocations received but not earned were recorded as Due to Other Government Agencies as follows:

	2018	2017
Balance - Beginning of Year	\$ 456,002	\$ 2,699,378
LTF - Operating	6,557,470	5,500,867
LTF - Capital	112,854	3,465,415
Total LTF	6,670,324	8,966,282
Operating Expenses	12,739,298	13,324,993
Adjustments:		
Add Back Depreciation	(2,716,530)	(2,659,934)
Farebox Revenues	(1,330,940)	(1,247,968)
STA	(621,905)	(675,527)
Other Revenues	(426,400)	(454,243)
Interest Income	(25,744)	(15,311)
FTA Grant Revenues	(2,669,373)	(3,044,818)
Other Federal Grants	-	(210,000)
Capital Asset Outlays	76,132	3,418,557
Net Operating Expenses	5,024,538	8,435,749
Net Increase	1,645,786	530,533
Return of LTF Capital	(456,002)	(2,699,378)
Previous Year Economic Adjustment	(47,694)	(74,531)
Balance - End of Year	\$ 1,598,092	\$ 456,002

A review of the previous fiscal year's calculations disclosed an overpayment was made in 2017 to the LTF trust fund. The overpayment was a result of a posting error. Accordingly, NVTa owes \$47,694 and posted an adjustment in the current fiscal year. Similarly, an adjustment of \$74,531 was made in 2017.

NOTE 7 – AGREEMENTS AND COMMITMENTS

Bay Area Air Quality Management District Agreement

NVTA entered into an agreement with the Bay Area Air Quality Management District (the District) to implement specified measures to improve air quality in the County. The funding for this agreement comes from Assembly Bill (AB) 434 allowing the District to levy a surcharge on motor vehicle registration fees. Quarterly, the District must transfer 40% of the surcharge, less management fees and audit costs, to NVTA, as the selected Program Manager. However, the agreement may be terminated at any time by either party and there are no assurances of annual renewal. As program manager, NVTA allocates 5% of these funds to itself to administer the program.

Abandoned Vehicle Abatement Program

The California legislature has enacted legislation to allow local governments to assess a fee on vehicle registration for the purpose of aiding local governments in the recovery of costs associated with the disposition of abandoned vehicles. NVTA is the designated service authority to manage and distribute abandoned vehicle fees to participating jurisdictions within the County. These fees are collected by NVTA and distributed to the jurisdictions based on reimbursement requests submitted to the service authority. The current program has sunset on May 31, 2016, and remaining funds will be distributed to the jurisdictions until all funding has been exhausted.

Metropolitan Transportation Commission

NVTA received a federal highway administration planning grant from the MTC. The purpose of the grant was to implement congestion planning and programming activities for the County and its surrounding cities. Amounts received or receivable from the MTC are subject to audit and adjustment by the MTC. Any disallowed claims including amounts already collected, may constitute a liability of NVTA. The amount, if any, of expenditures which may be disallowed by MTC cannot be determined at this time although NVTA expects such amounts, if any, to be immaterial.

NOTE 8 – PENSION PLAN

A. General Information about the Pension Plan

Plan Description – All qualified permanent and probationary employees are eligible to participate in NVTA's Cost-Sharing Multiple-Employer Defined Benefit Pension Plan (Plan) administered by the California Public Employees' Retirement System (CalPERS). The Plan consists of individual rate plans (benefit tiers) within a miscellaneous risk pool. Plan assets may be used to pay benefits for any employer rate plan of the risk pool. Accordingly, rate plans within the pools are not separate plans under GASB Statement No. 68. Individual employers may sponsor more than one rate plan in the miscellaneous pool. NVTA sponsors three rate plans. Benefit provisions under the Plan are established by State statute and NVTA resolution. CalPERS issues publicly available reports that include a full description of the pension plan regarding benefit provisions, assumptions, and membership information that can be found on the CalPERS website.

Benefits Provided – CalPERS provides service retirement and disability benefits, annual cost of living adjustments, and death benefits to plan members, who must be public employees and beneficiaries. Benefits are based on years of credited service, equal to one year of full time employment. Classic members (Tier 1) with five years of total service are eligible to retire at age 55 with statutorily reduced benefits (2.5%@Age 55). Members hired after May 21, 2011, (Tier 2) with five years of total service are eligible to retire at age 60 with statutorily reduced benefits (2%@Age 60). The California Public Employees' Pension Reform Act (PEPRA) established a separate tier for members hired after January 1, 2013. PEPRA Members with five years of total service are eligible to retire at age 62 with statutorily reduced benefits (2% at age 62). All members are eligible for non-duty disability benefits after 5 years of service. The cost of living adjustments for the Plan are applied as specified by the California Public Employees' Retirement Law.

NOTE 8 – PENSION PLAN (Continued)

A. General Information about the Pension Plan (Continued)

The rate plan provisions and benefits in effect at June 30, 2018 and 2017, are summarized as follows:

Hire Date	Prior to May 21, 2011 (Tier I)	On or after May 21, 2011 (Tier II)	On or after January 1, 2013 (PEPRA)
Benefit Formula	2.5%@55	2%@60	2%@62
Benefit Vesting Schedule	5 Years Service	5 Years Service	5 Years Service
Benefit Payments	Monthly for life	Monthly for life	Monthly for life
Retirement Age	55	60	62
Monthly Benefits, as a Percentage of Eligible Compensation	2.5%	2%	2%
Required Employee Contribution Rates	8.000%	7.000%	6.250%
Required Employer Contribution Rates	9.539%	7.200%	6.533%

Contributions – Section 20814(c) of the California Public Employees' Retirement Law requires that the employer contribution rates for all public employers be determined on an annual basis by the actuary and shall be effective on the July 1 following notice of a change in the rate. The total plan contributions are determined through the CalPERS' annual actuarial valuation process. NVTa's actuarially determined rate is based on the estimated amount necessary to pay the Plan's allocated share of the risk pools' costs of benefits earned by employees during the year, and any unfunded accrued liability. NVTa is required to contribute the difference between the actuarially determined rate and the contribution rate of employees. NVTa's contributions to the Plan for the years ended June 30, 2018 and 2017, were \$124,099 and \$117,333, respectively.

As of June 30, 2018 and 2017, NVTa reported a net pension liability for its proportionate share of the net pension liability of the Plan in the amount of \$375,403 and \$292,430, respectively.

NVTa's net pension liability for the Plan is measured as the proportionate share of the net pension liability. The net pension liability of the Plan is measured as of June 30, 2017 and 2016, and the total pension liability for the Plan used to calculate the net pension liability was determined by an actuarial valuation as of June 30, 2016 and 2015, rolled forward to June 30, 2017 and 2016, using standard update procedures. NVTa's proportion of the net pension liability was based on a projection of NVTa's long-term share of contributions to the Plan relative to the projected contributions of all participating employers, actuarially determined. NVTa's proportionate share of the net pension liability for the Plan as of June 30, 2017 and 2016, was as follows:

Proportion - June 30, 2016	0.337900%
Proportion - June 30, 2017	0.378500%
Change - Increase (Decrease)	0.040600%

NOTE 8 – PENSION PLAN (Continued)

B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions

For the years ended June 30, 2018 and 2017, NVTA recognized pension expense/(income) of \$194,911 and \$7,937. At June 30, 2018 and 2017, NVTA reported deferred outflows of resources and deferred inflows of resources related to pensions from the following sources:

2018	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between Actual and Expected Experience	\$ 741	\$ 10,611
Changes in Assumptions	91,896	7,007
Net Differences between Projected and Actual Earnings on Plan Investments	20,783	-
Change in Employer's Proportion	122,387	21,511
Differences between the Employer's Contributions and the Employer's Proportionate Share of Contributions	71,481	-
Pension Contributions Subsequent to Measurement Date	124,099	-
Total	<u>\$ 431,387</u>	<u>\$ 39,129</u>
2017	Deferred Outflows of Resources	Deferred Inflows of Resources
Differences between Actual and Expected Experience	\$ 3,278	\$ 751
Changes in Assumptions	-	31,016
Net Differences between Projected and Actual Earnings on Plan Investments	161,430	-
Change in Employer's Proportion	109,833	49,812
Differences between the Employer's Contributions and the Employer's Proportionate Share of Contributions	69,802	-
Pension Contributions Subsequent to Measurement Date	117,333	-
Total	<u>\$ 461,676</u>	<u>\$ 81,579</u>

\$124,099 and \$117,333 reported as deferred outflows of resources related to contributions subsequent to the measurement date during the years ended June 30, 2018 and 2017, respectively, will be recognized as a reduction of the net pension liability in the years ended June 30, 2019 and 2018. Other amounts reported as deferred outflows of resources and deferred inflows of resources related to pensions will be recognized as pension expense as follows:

Year Ended June 30	
2019	\$ 126,461
2020	90,659
2021	63,378
2022	(12,339)
2023	-
Thereafter	-
Total	<u>\$ 268,159</u>

NOTE 8 – PENSION PLAN (Continued)**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions** (Continued)

Actuarial Assumptions – The total pension liabilities in the June 30, 2016 and 2015 actuarial valuations were determined using the following actuarial assumptions:

Valuation Date	June 30, 2016	June 30, 2015
Measurement Date	June 30, 2017	June 30, 2016
Actuarial Cost Method	Entry Age Normal	Entry Age Normal
Actuarial Assumptions:		
Discount Rate	7.15%	7.65%
Inflation	2.75%	2.75%
Payroll Growth	3.00%	3.00%
Projected Salary Increase	Varies ⁽¹⁾	Varies ⁽¹⁾
Investment Rate of Return	7.65% ⁽²⁾	7.65% ⁽²⁾
Mortality	CalPERS ⁽³⁾	CalPERS ⁽³⁾

⁽¹⁾ Depending on age, service, and type of employment.

⁽²⁾ Net of pension plan investment expenses, including inflation.

⁽³⁾ The mortality table used was developed based on CalPERS' specific data. The table includes 20 years of mortality improvements using Society of Actuaries Scale BB. For more details on this table, please refer to the 2015 experience study report.

The underlying mortality assumptions and all other actuarial assumptions used in the June 30, 2016 and 2015 valuations were based on the results of a January 2015 actuarial experience study for the period 1997 to 2011. Further details of the Experience Study can found on the CalPERS website.

Discount Rate – The discount rate used to measure the total pension liability for June 30, 2018 and 2017, was 7.15% and 7.65%, respectively. To determine whether the municipal bond rate should be used in the calculation of a discount rate for the Plan, CalPERS stress tested plans that would most likely result in a discount rate that would be different from the actuarially assumed discount rate. Based on the testing, none of the tested plans run out of assets. Therefore, the current 7.15% and 7.65% discount rates for 2018 and 2017, respectively, are applied to all plans in the Public Employees Retirement Fund (PERF). The stress test results are presented in a detailed report called "GASB Crossover Testing Report" that can be obtained from the CalPERS' website under the GASB 68 section.

The long-term expected rate of return on pension plan investments was determined using a building-block method in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class.

In determining the long-term expected rate of return, CalPERS took into account both short-term and long-term market return expectations as well as the expected pension fund cash flows. Using historical returns of all the funds' asset classes, expected compound returns were calculated over the short-term (first 10 years) and the long-term (11-60 years) using a building-block approach. Using the expected nominal returns for both short-term and long-term, the present value of benefits was calculated for each fund. The expected rate of return was set by calculating the single equivalent expected return that arrived at the same present value of benefits for cash flows as the one calculated using both short-term and long-term returns. The expected rate of return was then set equivalent to the single equivalent rate calculated above and rounded down to the nearest one quarter of one percent.

NOTE 8 – PENSION PLAN (Continued)

B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions (Continued)

The tables below reflect the long-term expected real rate of return by asset class. The rate of return was calculated using the capital market assumptions applied to determine the discount rate and asset allocation. The target allocation shown was adopted by the CalPERS Board of Administration effective on July 1, 2014.

2017	Current Target Allocation	Real Return Years 1 - 10 ^(a)	Real Return Years 11+ ^(b)
Asset Class			
Global Equity	47.00%	4.90%	0.00%
Global Fixed Income	19.00%	0.80%	0.00%
Inflation Sensitive	6.00%	0.60%	0.00%
Private Equity	12.00%	6.60%	0.00%
Real Estate	11.00%	2.80%	0.00%
Infrastructure and Forestland	3.00%	3.90%	0.00%
Liquidity	2.00%	-0.40%	0.00%
Total	100.00%		

^(a) An expected inflation of 2.5% used for this period.

^(b) An expected inflation of 3.0% used for this period.

2016	Current Target Allocation	Real Return Years 1 - 10 ^(a)	Real Return Years 11+ ^(b)
Asset Class			
Global Equity	47.00%	0.00%	0.00%
Global Fixed Income	19.00%	0.00%	0.00%
Inflation Sensitive	6.00%	0.00%	0.00%
Private Equity	12.00%	0.00%	0.00%
Real Estate	11.00%	0.00%	0.00%
Infrastructure and Forestland	3.00%	0.00%	0.00%
Liquidity	2.00%	0.00%	0.00%
Total	100.00%		

^(a) An expected inflation of 2.5% used for this period.

^(b) An expected inflation of 3.0% used for this period.

NOTE 8 – PENSION PLAN (Continued)**B. Pension Liabilities, Pension Expenses, and Deferred Outflows/Inflows of Resources Related to Pensions** (Continued)

Sensitivity of the Proportionate Share of the Net Pension Liability to Changes in the Discount Rate – The following presents NVTA's proportionate share of the net pension liability for the Plan, calculated using the discount rate for the Plan, as well as what NVTA's proportionate share of the net pension liability would be if it were calculated using a discount rate that is one percentage point lower or one percentage point higher than the current rate:

	2018	2017
1% Decrease	6.15%	6.65%
Net Pension Liability	\$ 678,319	\$ 532,396
Current Discount Rate	7.15%	7.65%
Net Pension Liability	\$ 375,403	\$ 292,430
1% Increase	8.15%	8.65%
Net Pension Liability	\$ 124,523	\$ 9,411

Pension Plan Fiduciary Net Position – Detailed information about the Plan's fiduciary net position is available in the separately issued CalPERS financial reports

C. Payable to the Pension Plan

At June 30, 2018 and 2017, NVTA had no outstanding amounts for contributions to the Plan required for the years then ended.

NOTE 9 – OPEB**A. General Information about the OPEB Plan**

Plan Description – NVTA participates in the California Employers' Retiree Benefit Trust (CERBT), a trust established by Chapter 331 of the 1988 Statutes and initially funded in 2007. The purpose of the trust is to receive contributions from participating employers and establish separate employer prefunding accounts to pay for OPEB. The CERBT is an agent multiple-employer plan and is administered by CalPERS. The OPEB Plan provides postretirement health care benefits to all employees meeting certain selected criteria. Employees on the payroll as of June 30, 2018 and 2017, who retire from NVTA with 3 years of NVTA service and 25 years of CalPERS service will receive 1.3 times the Public Employees' Medical and Hospital Care Act (PEMHCA) minimum dollar amounts who retire from NVTA at or after age 50.

The following is a description of the current retiree benefit plan:

Benefit Types Provided	Medical only
Duration of Benefits	Lifetime
Required Service	CalPERS retirement and 5 years NVTA
Minimum Age	50
Dependent Coverage	Family eligible
NVTA Contribution %	Up to 100%
NVTA Cap Highest	1.3 times PEMCHA minimum dollar amounts

NOTE 9 – OPEB (Continued)

A. General Information about the OPEB Plan (Continued)

Employees Covered – As of the June 30, 2017 valuation, the following current and former employees were covered by the benefit terms for the OPEB Plan:

	2018
Inactive Employees or Beneficiaries Currently Receiving Benefits	1
Inactive Employees Entitled to but not yet Receiving Benefits	2
Active Employees	14
Total	17

Contributions – The contribution requirements of plan members and NVTa are established and may be amended by NVTa's Board. These contributions are neither mandated nor guaranteed. NVTa has retained the right to unilaterally modify its payment for retiree health care benefits. Refer to the table above for the contribution requirements. For the year ended June 30, 2018, NVTa contributed \$25,930. Employees are not required to contribute to the OPEB Plan.

Net OPEB Asset – NVTa's net OPEB asset was measured as of June 30, 2017, and the total OPEB asset used to calculate the net OPEB asset was the Plan Fiduciary Net Position of the OPEB trust held with CalPERS. The following actuarial methods and assumptions were used:

Reporting Date	June 30, 2018
Valuation Date	June 30, 2017
Measurement Date	June 30, 2017
Actuarial Assumptions:	
Discount Rate	5.50%
Inflation	2.75%
Salary Increases	3.00%
Investment Rate of Return	5.50%
Mortality Rate	Derived using CalPERS' Membership Data for all Funds ⁽¹⁾
Pre-Retirement Turnover	Derived using CalPERS' Membership Data for all Funds ⁽²⁾

⁽¹⁾ Pre-retirement mortality information was derived from data collected during 1997 to 2011 CalPERS Experience Study dated January 2014 and post-retirement mortality information was derived from the 2007 to 2011 CalPERS Experience Study. The Experience Study Reports may be accessed on the CalPERS website www.calpers.ca.gov under Forms and Publications.

⁽²⁾ The pre-retirement turnover information was developed based on CalPERS' specific data. For more details, please refer to the 2007 to 2011 Experience Study Report. The Experience Study Report may be accessed on the CalPERS website www.calpers.ca.gov under Forms and Publications.

NOTE 9 – OPEB (Continued)

A. General Information about the OPEB Plan (Continued)

The long-term expected rate of return on OPEB Plan investments was determined using a building block method in which expected future real rates of return (expected returns, net of OPEB Plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation. The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

Asset Class	Target Allocation	Long-Term Expected Real Rate of Return
Global Equity	24.00%	4.82%
Fixed Income	39.00%	1.47%
Treasury Inflation Protected Securities	26.00%	1.29%
Commodities	3.00%	0.84%
REITs	8.00%	3.76%
Total	100.00%	

Discount Rate – The discount rate used to measure the total OPEB liability was 5.5%. The projection of cash flows used to determine the discount rate assumed that NVTA contributions will be sufficient to fully fund the obligation over a period not to exceed 30 years. Historic 30 year real rates of return for each asset class along with the assumed long-term inflation assumption were used to set the discount rate. The expected investment return was offset by the investment expenses of 15 basis points. Based on those assumptions, the OPEB Plan's fiduciary net position was projected to be available to make all projected OPEB payments for current active and inactive employees and beneficiaries. Therefore, the long-term expected rate of return on OPEB Plan investments was applied to all periods of projected benefit payments to determine the total OPEB liability.

Changes in the Net OPEB Asset – The changes in the net OPEB asset for the OPEB Plan are as follows:

	Increase (Decrease)		
	Total OPEB Liability	Plan Fiduciary Net Position	Net OPEB Liability/(Asset)
Balance at June 30, 2017	\$ 132,928	\$ 242,037	\$ (109,109)
Changes in the Year:			
Service Cost	31,035	-	31,035
Interest	8,924	-	8,924
Contribution - Employer	-	34,400	(34,400)
Contribution - Employee	-	-	-
Net Investment Income	-	10,318	(10,318)
Administrative Expenses	-	(3,400)	3,400
Benefit Payments	(3,400)	(128)	(3,272)
Net Changes	36,559	41,190	(4,631)
Balance at June 30, 2018	\$ 169,487	\$ 283,227	\$ (113,740)

NOTE 9 – OPEB (Continued)**A. General Information about the OPEB Plan** (Continued)

Sensitivity of the Net OPEB Asset to Changes in the Discount Rate – The following presents the net OPEB asset of NVTA if it were calculated using a discount rate that is one percentage point lower or one percentage point higher than the current rate, for measurement period ended June 30, 2017:

2017

1% Decrease	4.50%
Net OPEB Asset	\$ (85,100)
Current Discount Rate	5.50%
Net OPEB Asset	\$ (113,740)
1% Increase	6.50%
Net OPEB Asset	\$ (136,730)

OPEB Plan Fiduciary Net Position – Detailed information about the OPEB Plan's fiduciary net position is available in the separately issued CalPERS financial reports.

Recognition of Deferred Outflows and Deferred Inflows of Resources – Gains and losses related to changes in total OPEB liability and fiduciary net position are recognized in OPEB expense systematically over time. Amounts are first recognized in OPEB expense for the year the gain or loss occurs. The remaining amounts are categorized as deferred outflows and deferred inflows of resources related to OPEB and are to be recognized in future OPEB expense.

OPEB Expense and Deferred Outflows/Inflows of Resources Related to OPEB – For the fiscal year ended June 30, 2018, NVTA recognized OPEB expense of \$27,159. As of fiscal year ended June 30, 2018, NVTA reported deferred outflows of resources related to OPEB from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
OPEB Contributions Subsequent to Measurement Date	\$ 25,930	\$ -
Differences between Actual and Expected Experience	-	-
Changes in Assumptions	-	-
Net Differences between Projected and Actual Earnings on Plan Investments	2,610	-
Total	<u>\$ 28,540</u>	<u>\$ -</u>

The \$25,930 reported as deferred outflows of resources related to contributions subsequent to the June 30, 2017 measurement date will be recognized as an increase to the net OPEB liability during the fiscal year ending June 30, 2019.

NOTE 10 – EMPLOYEE BENEFITS – DEFERRED COMPENSATION PLAN

Employees of NVTA may participate in a deferred compensation plan adopted under the provisions of the Internal Revenue Code (IRC) Section 457 (Deferred Compensation Plans with Respect to Service for State and Local Governments).

NOTE 10 – EMPLOYEE BENEFITS – DEFERRED COMPENSATION PLAN (Continued)

The deferred compensation plan is available to all employees of NVTA. Under the plan, employees may elect to defer a portion of their salaries and avoid paying taxes on the deferred portion until the withdrawal date. The deferred compensation amount is not available for withdrawal by employees until termination, retirement, death, or unforeseeable emergency.

The deferred compensation plan is administered by an unrelated financial institution through CalPERS. Under the terms of the IRC Section 457 deferred compensation plan, all deferred compensation and income attributable to the investment of the deferred compensation amounts held by the financial institution, until paid or made available to the employees or beneficiaries, are the property of the employee.

NOTE 11 – INSURANCE AND RISK OF LOSS

NVTA is exposed to various risks of loss related to torts, theft or damage to and destruction of assets, errors and omissions, injuries to employees, and natural disasters. NVTA maintains various insurance policies for directors and officers, property and liability, commercial liability, and workers' compensation against potential risk of loss through private insurance carriers. NVTA secures vehicular and liability coverage for business-type activities of up to \$5,000,000 per incident through its purchased transportation contractor.

NOTE 12 – RELATED PARTY TRANSACTIONS

County personnel provide administration services to NVTA. The County also provides legal counsel. During the fiscal years ended June 30, 2018 and 2017, NVTA paid to the County, a related party, the following amounts:

	<u>2018</u>	<u>2017</u>
Accounting and Legal Services	\$ 12,426	\$ 17,081
Other Services and Supplies	<u>135,409</u>	<u>152,575</u>
Total Related Party Transactions	<u>\$ 147,835</u>	<u>\$ 169,656</u>

NOTE 13 – FAREBOX RATIO

Article 4

Article 4 transit operations include Vine and American Canyon Transit. As agreed to by MTC, the combined farebox ratio requirement is 15%. The farebox ratio for the years ended June 30, 2018 and 2017, was 17.98% and 18.42%, respectively, as follows:

<u>Article 4</u>	<u>June 30, 2018</u>		
	<u>Total Article 4 Services</u>	<u>Vine</u>	<u>ACT</u>
Farebox Subject to Farebox Ratio	<u>\$ 1,495,204</u>	<u>\$ 1,446,489</u>	<u>\$ 48,715</u>
Operating Cost, Net of Depreciation	<u>\$ 8,317,188</u>	<u>\$ 8,014,163</u>	<u>\$ 303,025</u>
Farebox Ratio	<u>17.98%</u>		
<u>June 30, 2017</u>			
<u>Article 4</u>	<u>Total Article 4 Services</u>	<u>Vine</u>	<u>ACT</u>
Farebox Subject to Farebox Ratio	<u>\$ 1,458,688</u>	<u>\$ 1,415,104</u>	<u>\$ 43,584</u>
Operating Cost, Net of Depreciation	<u>\$ 7,917,111</u>	<u>\$ 7,644,712</u>	<u>\$ 272,399</u>
Farebox Ratio	<u>18.42%</u>		

Farebox revenue and operating cost used for farebox ratio calculation will not agree to the Statement of Revenues, Expenses, and Changes in Fund Net Position for the Proprietary Fund (see page 19). The sales of non-federal assets are eligible as farebox revenues. Supplies not directly used for transit have been removed from operating costs.

Recent changes to the Transportation Development Act statutes allow for the inclusion of local funds to calculate statutory farebox ratio. California Public Utilities Code (PUC) Section 99268.19 states that: "If fare revenues are insufficient to meet the applicable ratio of fare revenues to operating cost required by this article, an operator may satisfy that requirement by supplementing its fare revenues with local funds. As used in this section, "local funds" means any nonfederal or nonstate grant funds or other revenues generated by, earned by, or distributed to an operator."

For the fiscal years ended June 30, 2018 and 2017, NVTA was in compliance with the minimum farebox ratio of 15% for Article 4 transit operations.

Without the use of local funds, sale of asset revenue, and chargebacks to meet statutory requirements, operation farebox for the fiscal year ended June 30, 2018, would be 12.46%.

NOTE 13 – FAREBOX RATIO (Continued)**Article 8**

Article 8 transit operations include Vine Go, Calistoga Shuttle, St. Helena Shuttle, Yountville Trolley, and the Taxi Scrip program. TDA Section 6633.2 requires NVTa to meet a 10% farebox revenue to total operating expenses ratio. The farebox revenue ratio for the years ended June 30, 2018 and 2017, for Article 8 transit operations was 10.53% and 10.52%, respectively, as follows:

	June 30, 2018		
<u>Article 8</u>	Total Article 8 Services	Taxi Scrip and Vine Go	Calistoga, Yountville, and St. Helena
Farebox Subject to Farebox Ratio	\$ 270,679	\$ 111,524	\$ 159,155
Operating Cost, Net of Depreciation	\$ 2,570,413	\$ 1,343,502	\$ 1,226,911
Farebox Ratio	<u>10.53%</u>		
	June 30, 2017		
<u>Article 8</u>	Total Article 8 Services	Taxi Scrip and Vine Go	Calistoga, Yountville, and St. Helena
Farebox Subject to Farebox Ratio	\$ 235,680	\$ 92,805	\$ 142,875
Operating Cost, Net of Depreciation	\$ 2,241,295	\$ 1,179,738	\$ 1,061,557
Farebox Ratio	<u>10.52%</u>		

For the fiscal years ended June 30, 2018 and 2017, NVTa was in compliance with the minimum farebox ratio required for Article 8 transit operations.

NOTE 14 – EXCESS OF EXPENDITURES OVER APPROPRIATIONS

For the years ended June 30, 2018 and 2017, expenditures exceeded appropriations in the Planning Fund as follows:

<u>Appropriations Category</u>		<u>Excess Expenditures</u>	
		<u>2018</u>	<u>2017</u>
Planning Fund:	Communications	\$ 15,327	\$ 17,666
	Rents and Leases	-	8
	Office Expense	-	-
	Transportation	2,494	-
	Miscellaneous Expense	-	67,915
	Debt Service:		
	Principal	-	2,502,874
	Interest	-	-

NOTE 15 – PRIOR PERIOD ADJUSTMENT

A prior period adjustment was made to net position as follows:

Net Position, as Previously Reported	\$ 2,046,804
Implementation of GASB Statement No. 75 Change in Accounting Principle	<u>143,509</u>
Net Position Beginning of Year, as Restated	<u><u>\$ 2,190,313</u></u>

NOTE 16 – SUBSEQUENT EVENTS

Subsequent events have been evaluated through December 24, 2018, which is the date the financial statements were available to be issued. There were no subsequent events identified by management which would require disclosure in the financial statements.

REQUIRED SUPPLEMENTARY INFORMATION

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF REVENUES, EXPENDITURES, AND
CHANGES IN FUND BALANCE – BUDGET AND ACTUAL
GOVERNMENTAL FUND – PLANNING FUND
FOR THE YEAR ENDED JUNE 30, 2018**

	<u>Budgeted Amounts</u>		<u>Actual</u>	<u>Variance with</u>
	<u>Original</u>	<u>Final</u>	<u>Amounts</u>	<u>Final Budget</u>
Revenues				
Local Transportation Fund Allocation	\$ 1,926,700	\$ 2,176,700	\$ 1,992,256	\$ (184,444)
Federal Highway Allocations	700,000	700,000	818,480	118,480
Programming, Planning, and Monitoring	69,000	69,000	46,487	(22,513)
Other Grants	374,000	374,000	65,406	(308,594)
Local Support	-	-	-	-
Interest	5,000	5,000	19,238	14,238
Other Revenues	-	-	36,599	36,599
Total Revenues	<u>3,074,700</u>	<u>3,324,700</u>	<u>2,978,466</u>	<u>(346,234)</u>
Expenditures				
Communications	10,000	14,000	29,327	(15,327)
Insurance	65,000	65,000	42,033	22,967
Office Expense	75,000	175,000	145,456	29,544
Rents and Leases	8,000	8,000	10,494	(2,494)
Transportation	21,000	21,000	11,669	9,331
Salaries and Benefits	1,907,700	1,977,700	1,714,868	262,832
Miscellaneous Expense	250,000	589,000	537,954	51,046
Professional Services	738,000	3,433,863	2,203,519	1,230,344
Debt Service				
Principal	-	-	-	-
Interest	-	-	-	-
Total Expenditures	<u>3,074,700</u>	<u>6,283,563</u>	<u>4,695,320</u>	<u>1,588,243</u>
Other Finance Sources				
Line of Credit	-	-	-	-
Total Other Financing Sources	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
Net Change in Fund Balance	-	(2,958,863)	(1,716,854)	(1,242,009)
Fund Balance, Beginning of Year	<u>2,030,772</u>	<u>2,030,772</u>	<u>2,030,772</u>	<u>-</u>
Fund Balance, End of Year	<u>\$ 2,030,772</u>	<u>\$ (928,091)</u>	<u>\$ 313,918</u>	<u>\$ (1,242,009)</u>

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF REVENUES, EXPENDITURES, AND
CHANGES IN FUND BALANCE – BUDGET AND ACTUAL
GOVERNMENTAL FUND – PLANNING FUND
FOR THE YEAR ENDED JUNE 30, 2017**

	Budgeted Amounts		Actual	Variance with
	Original	Final	Amounts	Final Budget
Revenues				
Local Transportation Fund Allocation	\$ 3,867,791	\$ 3,867,791	\$ 3,830,791	\$ 37,000
Federal Highway Allocations	792,000	792,000	1,117,704	(325,704)
Programming, Planning, and Monitoring	69,000	69,000	45,787	23,213
Other Grants	656,000	656,000	8,109	647,891
Local Support	-	-	120,000	(120,000)
Interest	5,000	5,000	7,330	(2,330)
Other Revenues	-	-	78,006	(78,006)
Total Revenues	5,389,791	5,389,791	5,207,727	182,064
Expenditures				
Communications	10,000	10,000	27,666	17,666
Insurance	65,000	47,400	44,048	(3,352)
Office Expense	113,000	113,000	103,055	(9,945)
Rents and Leases	8,000	8,000	8,008	8
Transportation	21,000	21,000	16,846	(4,154)
Salaries and Benefits	1,853,500	1,853,500	1,629,904	(223,596)
Miscellaneous Expense	208,000	208,000	275,915	67,915
Professional Services	2,754,891	2,719,116	1,722,625	(996,491)
Debt Service				-
Principal	-	-	2,502,874	2,502,874
Interest	-	38,500	38,476	(24)
Total Expenditures	5,033,391	5,018,516	6,369,417	1,350,901
Other Finance Sources				
Line of Credit	-	-	820,339	(820,339)
Total Other Financing Sources	-	-	820,339	(820,339)
Net Change in Fund Balance	356,400	371,275	(341,351)	712,626
Fund Balance, Beginning of Year	2,372,123	2,372,123	2,372,123	-
Fund Balance, End of Year	<u>\$ 2,728,523</u>	<u>\$ 2,743,398</u>	<u>\$ 2,030,772</u>	<u>\$ 712,626</u>

**NAPA VALLEY TRANSPORTATION AUTHORITY
NOTE TO REQUIRED SUPPLEMENTARY INFORMATION
FOR THE YEAR ENDED JUNE 30, 2018**

BUDGETS AND BUDGETARY ACCOUNTING

Formal budgetary accounting is employed as a management control by Napa Valley Transportation Authority (NVTA). A biennial budget is adopted each even-numbered fiscal year by the Board of Directors (the Board). The accounting method used to prepare the budget is consistent with accounting principles generally accepted in the United States of America. All changes or amendments to the budget require prior approval of the Board. Unused appropriations lapse at the end of the fiscal year.

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF CHANGES IN THE NET OTHER POSTEMPLOYMENT BENEFITS (OPEB)
ASSET AND RELATED RATIOS
FOR THE MEASUREMENT PERIOD ENDED JUNE 30**

	<i>Measurement Period</i>	<u>2017</u>
Total OPEB Liability		
Service Cost		\$ 31,035
Interest		8,924
Actual and Expected Experience Difference		-
Changes in Assumptions		-
Changes in Benefits Terms		-
Benefit Payments		<u>(3,400)</u>
Net Change in Total OPEB Liability		36,559
Total OPEB Liability - Beginning		<u>132,928</u>
Total OPEB Liability - Ending (a)		<u><u>\$ 169,487</u></u>
 Plan Fiduciary Net Position		
Contributions - Employer		\$ 34,400
Net Investment Income		10,318
Benefit Payments		(3,400)
Administrative Expenses		<u>(128)</u>
Net Change in Plan Fiduciary Net Position		41,190
Plan Fiduciary Net Position - Beginning		<u>242,037</u>
Plan Fiduciary Net Position - Ending (b)		<u><u>\$ 283,227</u></u>
 Net OPEB Asset - Ending [(a) - (b)]		<u><u>\$ (113,740)</u></u>
 Plan Fiduciary Net Position as a Percentage of the Total OPEB Liability		167.11%
 Covered-Employee Payroll		\$ 1,870,622
 Net OPEB Asset as a Percentage of Covered- Employee Payroll		-6.08%

Notes to the Schedule:

Historical information is required only for measurement periods for which GASB Statement No. 75 is applicable. Future years' information will be displayed up to 10 years as information becomes available.

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF NVTA'S PROPORTIONATE
SHARE OF THE NET PENSION LIABILITY
AS OF JUNE 30, 2018
LAST 10 YEARS***

	2018	2017	2016	2015
Proportion of the Net Pension Liability	0.378500%	0.003379%	0.003120%	0.003084%
Proportionate Share of the Net Pension Liability	\$ 375,403	\$ 292,430	\$ 214,127	\$ 191,920
Covered-Employee Payroll	\$ 1,392,133	\$ 1,116,442	\$ 1,100,512	\$ 1,014,983
Proportionate Share of the Net Pension Liability as a Percentage of Covered-Employee Payroll	26.97%	26.19%	19.46%	18.91%
Plan Fiduciary Net Position as a Percentage of the Total Pension Liability	73.31%	74.06%	78.40%	79.82%

* Fiscal year 2015 was the 1st year of implementation; therefore, only four years are shown.

Notes to Schedule:

Benefit changes. The figures above do not include any liability impact that may have resulted from plan changes which occurred after June 30, 2014, as they have minimal cost impact. This applies for voluntary benefit changes as well as any offers of Two Years Additional Service Credit (a.k.a. Golden Handshakes).

Changes in assumptions. GASB Statement No. 68, paragraph 68 states that the long-term expected rate of return should be determined net of pension plan investment expenses but without reduction for pension plan administrative expenses. The discount rate of 7.15 percent used for the June 30, 2016 measurement date was net of administrative expenses.

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF CONTRIBUTIONS
AS OF JUNE 30, 2018
LAST 10 YEARS***

	2018	2017	2016	2015
Contractually Required Contribution (Actuarially Determined)	\$ 124,099	\$ 117,333	\$ 91,990	\$ 130,432
Contributions in Relation to the Actuarially Determined Contributions	124,099	117,333	91,990	130,432
Contribution Deficiency (Excess)	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
Covered-Employee Payroll	\$ 1,436,566	\$ 1,392,113	\$ 100,512	\$ 1,014,983
Contributions as a Percentage of Covered- Employee Payroll	8.64%	8.43%	91.52%	12.85%

* Fiscal year 2015 was the 1st year of implementation; therefore, only four years are shown.

Notes to Schedule:

Valuation Date	June 30, 2016	June 30, 2015
Measurement Date	June 30, 2017	June 30, 2016
Actuarial Cost Method	Entry Age Normal	Entry Age Normal
Actuarial Assumptions:		
Discount Rate	7.15%	7.65%
Inflation	2.75%	2.75%
Payroll Growth	3.00%	3.00%
Projected Salary Increase	Varies ⁽¹⁾	Varies ⁽¹⁾
Investment Rate of Return	7.65% ⁽²⁾	7.65% ⁽²⁾
Mortality	CalPERS ⁽³⁾	CalPERS ⁽³⁾

⁽¹⁾ Depending on age, service, and type of employment.

⁽²⁾ Net of pension plan investment expenses, including inflation.

⁽³⁾ The mortality table used was developed based on CalPERS' specific data. The table includes 20 years of mortality improvements using Society of Actuaries Scale BB. For more details on this table, please refer to the 2015 experience study report.

SUPPLEMENTARY INFORMATION

**NAPA VALLEY TRANSPORTATION AUTHORITY
COMBINING STATEMENT OF FIDUCIARY NET POSITION
PRIVATE PURPOSE TRUST FUNDS
JUNE 30, 2018**

	Abandoned Vehicle Abatement	Air Quality Management	Total
<u>ASSETS</u>			
Current Assets			
Cash and Investments in County Treasury	\$ 9,839	\$ 687,553	\$ 697,392
Due from Other Government Agencies	-	96,250	96,250
Total Current Assets	9,839	783,803	793,642
Total Assets	<u>\$ 9,839</u>	<u>\$ 783,803</u>	<u>\$ 793,642</u>
<u>LIABILITIES</u>			
Current Liabilities			
Accounts Payable	\$ -	\$ 7,382	\$ 7,382
Total Current Liabilities	-	7,382	7,382
Total Liabilities	-	7,382	7,382
<u>NET POSITION</u>			
Net Position Held in Trust for Other Purposes	9,839	776,421	786,260
Total Net Position	9,839	776,421	786,260
Total Liabilities and Net Position	<u>\$ 9,839</u>	<u>\$ 783,803</u>	<u>\$ 793,642</u>

**NAPA VALLEY TRANSPORTATION AUTHORITY
COMBINING STATEMENT OF FIDUCIARY NET POSITION
PRIVATE PURPOSE TRUST FUNDS
JUNE 30, 2017**

	Abandoned Vehicle Abatement	Air Quality Management	Total
<u>ASSETS</u>			
Current Assets			
Cash and Investments in County Treasury	\$ 121,169	\$ 547,070	\$ 668,239
Due from Other Government Agencies	-	201,490	201,490
Total Current Assets	121,169	748,560	869,729
Total Assets	<u>\$ 121,169</u>	<u>\$ 748,560</u>	<u>\$ 869,729</u>
<u>LIABILITIES</u>			
Current Liabilities			
Accounts Payable	\$ -	\$ 61,049	\$ 61,049
Total Current Liabilities	-	61,049	61,049
Total Liabilities	-	61,049	61,049
<u>NET POSITION</u>			
Net Position Held in Trust for Other Purposes	121,169	687,511	808,680
Total Net Position	121,169	687,511	808,680
Total Liabilities and Net Position	<u>\$ 121,169</u>	<u>\$ 748,560</u>	<u>\$ 869,729</u>

**NAPA VALLEY TRANSPORTATION AUTHORITY
COMBINING STATEMENT OF CHANGES IN FIDUCIARY NET POSITION
PRIVATE PURPOSE TRUST FUNDS
FOR THE YEAR ENDED JUNE 30, 2018**

	Abandoned Vehicle Abatement	Air Quality Management	Total
ADDITIONS			
Aid from Other Government Agencies	\$ 1,452	\$ 202,669	\$ 204,121
Interest Income	446	6,653	7,099
Total Additions	1,898	209,322	211,220
DEDUCTIONS			
Program Expenses	113,228	120,412	233,640
Total Deductions	113,228	120,412	233,640
CHANGE IN NET POSITION	(111,330)	88,910	(22,420)
Net Position, Beginning of Year	121,169	687,511	808,680
Net Position, End of Year	<u>\$ 9,839</u>	<u>\$ 776,421</u>	<u>\$ 786,260</u>

**NAPA VALLEY TRANSPORTATION AUTHORITY
COMBINING STATEMENT OF CHANGES IN FIDUCIARY NET POSITION
PRIVATE PURPOSE TRUST FUNDS
FOR THE YEAR ENDED JUNE 30, 2017**

	Abandoned Vehicle Abatement	Air Quality Management	Total
ADDITIONS			
Aid from Other Government Agencies	\$ 27,058	\$ 198,062	\$ 225,120
Interest Income	923	2,995	3,918
Total Additions	27,981	201,057	229,038
DEDUCTIONS			
Program Expenses	40,990	78,630	119,620
Total Deductions	40,990	78,630	119,620
CHANGE IN NET POSITION	(13,009)	122,427	109,418
Net Position, Beginning of Year	134,178	565,084	699,262
Net Position, End of Year	<u>\$ 121,169</u>	<u>\$ 687,511</u>	<u>\$ 808,680</u>

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF REVENUES, EXPENSES, AND
CHANGES IN FUND NET POSITION
ENTERPRISE FUND – TRANSIT RELATED
BY OPERATION
FOR THE YEAR ENDED JUNE 30, 2018**

	VINE Go	VINE	Taxi	American Canyon	Yountville
Operating Revenues:					
Farebox Revenues	\$ 69,222	\$ 1,011,547	\$ 42,301	\$ 48,715	\$ 40,985
Operating Expenses:					
Marketing	1,992	111,100	-	356	704
Vehicle Maintenance	5,166	74,321	-	14,607	892
Other Maintenance	-	1,154	-	-	15,051
Fuel and Lubricants	144,645	888,734	-	20,712	23,316
Insurance	38,418	284,535	-	9,395	10,981
Planning and Administration	-	-	-	-	-
Security	-	12,772	-	-	-
Services	3,181	110,345	1,281	2,923	3,710
Supplies	1,511	15,296	-	221	221
Purchased Transportation	1,062,303	6,166,854	62,946	250,403	328,473
Rents and Leases	-	6,000	-	-	-
Utilities	-	5,180	-	-	-
Miscellaneous Expense	-	34,677	-	-	-
Depreciation	150,051	2,491,686	-	21,774	11,991
Personnel Costs	20,059	179,344	2,000	4,409	6,482
Total Operating Expenses	1,427,326	10,381,998	66,227	324,800	401,821
Operating Loss	(1,358,104)	(9,370,451)	(23,926)	(276,085)	(360,836)
Nonoperating Revenues (Expenses):					
Local Transportation Fund	798,391	5,002,219	54,860	150,000	172,000
State Transit Assistance	97,973	352,835	-	10,000	60,000
Federal Transit Assistance					
Grant Revenues - Operating	364,606	2,038,200	-	60,000	68,857
Other Federal Grants	-	-	-	-	-
Other Operating Grants	-	426,400	-	-	-
Interest Income	3,418	19,699	254	929	460
Other Revenues	13,226	(28,077)	-	3,011	3,717
Returned Local Transportation					
Fund Allocations	(194,572)	(1,219,069)	(13,370)	(36,556)	(41,917)
Total Nonoperating Revenues (Expenses)	1,083,042	6,592,207	41,744	187,384	263,117
Change in Net Position Before Contributions	(275,062)	(2,778,244)	17,818	(88,701)	(97,719)
Capital Contributions:					
Federal Transit Assistance	-	-	-	-	-
Other Capital	-	-	-	-	-
Local Transportation Fund	13,162	99,692	-	-	-
Change in Net Position	(261,900)	(2,678,552)	17,818	(88,701)	(97,719)
Net Position, Beginning of Year	658,617	30,269,811	(104,436)	(123,502)	(458,522)
Net Position, End of the Year	\$ 396,717	\$ 27,591,259	\$ (86,618)	\$ (212,203)	\$ (556,241)

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF REVENUES, EXPENSES, AND
CHANGES IN FUND NET POSITION (Continued)
ENTERPRISE FUND – TRANSIT RELATED
BY OPERATION
FOR THE YEAR ENDED JUNE 30, 2018**

	St. Helena	Calistoga	Totals
Operating Revenues:			
Farebox Revenues	\$ 39,188	\$ 78,982	\$ 1,330,940
Operating Expenses:			
Marketing	356	356	114,864
Vehicle Maintenance	14,607	14,607	124,200
Other Maintenance	-	-	16,205
Fuel and Lubricants	22,084	20,869	1,120,360
Insurance	10,706	14,181	368,216
Planning and Administration	-	-	-
Security	-	-	12,772
Services	2,840	2,778	127,058
Supplies	221	2,129	19,599
Purchased Transportation	315,908	404,686	8,591,573
Rents and Leases	-	-	6,000
Utilities	-	-	5,180
Miscellaneous Expense	-	-	34,677
Depreciation	20,514	20,514	2,716,530
Personnel Costs	4,640	6,111	223,045
Total Operating Expenses	391,876	486,231	13,480,279
Operating Loss	(352,688)	(407,249)	(12,149,339)
Nonoperating Revenues (Expenses):			
Local Transportation Fund	154,000	226,000	6,557,470
State Transit Assistance	60,000	41,097	621,905
Federal Transit Assistance			
Grant Revenues - Operating	68,855	68,855	2,669,373
Other Federal Grants	-	-	-
Other Operating Grants	-	-	426,400
Interest Income	425	559	25,744
Other Revenues	3,633	4,490	-
Returned Local Transportation			
Fund Allocations	(37,531)	(55,077)	(1,598,092)
Total Nonoperating Revenues (Expenses)	249,382	285,924	8,702,800
Change in Net Position Before Contributions	(103,306)	(121,325)	(3,446,539)
Capital Contributions:			
Federal Transit Assistance	-	-	-
Other Capital	-	-	-
Local Transportation Fund	-	-	112,854
Change in Net Position	(103,306)	(121,325)	(3,333,685)
Net Position, Beginning of Year	(246,064)	(174,155)	29,821,749
Net Position, End of the Year	\$ (349,370)	\$ (295,480)	\$ 26,488,064

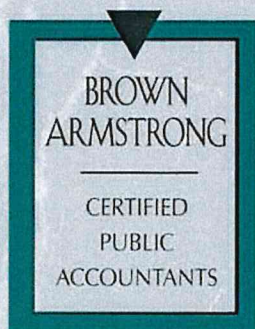
**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF REVENUES, EXPENSES, AND
CHANGES IN FUND NET POSITION
ENTERPRISE FUND – TRANSIT RELATED
BY OPERATION
FOR THE YEAR ENDED JUNE 30, 2017**

	VINE Go	VINE	Taxi	American Canyon	Yountville
Operating Revenues:					
Farebox Revenues	\$ 57,522	\$ 968,705	\$ 35,282	\$ 43,584	\$ 33,638
Operating Expenses:					
Marketing	31	103,046	-	-	-
Vehicle Maintenance	2,182	70,732	-	1,160	1,160
Other Maintenance	-	5,840	-	-	-
Fuel and Lubricants	103,550	763,303	-	15,962	12,371
Insurance	29,026	231,270	-	7,641	9,829
Planning and Administration	-	-	-	-	-
Security	-	27,664	-	-	-
Services	3,694	52,850	1,632	2,507	2,213
Supplies	510	23,870	4,276	-	-
Purchased Transportation	944,325	6,708,204	67,213	242,152	307,137
Rents and Leases	-	6,200	-	-	-
Utilities	-	3,952	-	-	457
Miscellaneous Expense	-	35,145	-	-	-
Depreciation	128,465	2,447,767	-	21,774	20,900
Personnel Costs	19,048	119,290	4,251	2,976	3,992
Total Operating Expenses	1,230,831	10,599,133	77,372	294,172	358,059
Operating Loss	(1,173,309)	(9,630,428)	(42,090)	(250,588)	(324,421)
Nonoperating Revenues (Expenses):					
Local Transportation Fund	389,762	4,400,882	38,017	162,716	172,348
State Transit Assistance	211,572	123,255	-	-	75,650
Federal Transit Assistance					
Grant Revenues - Operating	500,000	2,236,415	-	100,000	69,467
Other Federal Grants	-	-	-	-	-
Other Operating Grants	-	446,400	-	-	-
Interest Income	591	14,073	12	413	16
Other Revenues	-	-	-	-	-
Returned Local Transportation					
Fund Allocations	(37,250)	(346,072)	(3,633)	(15,551)	(16,472)
Total Nonoperating Revenues (Expenses)	1,064,675	6,874,953	34,396	247,578	301,009
Change in Net Position Before Contributions	(108,634)	(2,755,475)	(7,694)	(3,010)	(23,412)
Capital Contributions:					
Federal Transit Assistance	210,000	-	-	-	-
Other Capital	-	7,843	-	-	-
Local Transportation Fund	150,461	3,314,954	-	-	-
Change in Net Position	251,827	567,322	(7,694)	(3,010)	(23,412)
Net Position, Beginning of Year	406,790	29,702,489	(96,742)	(120,492)	(435,110)
Net Position, End of the Year	\$ 658,617	\$ 30,269,811	\$ (104,436)	\$ (123,502)	\$ (458,522)

**NAPA VALLEY TRANSPORTATION AUTHORITY
STATEMENT OF REVENUES, EXPENSES, AND
CHANGES IN FUND NET POSITION (Continued)
ENTERPRISE FUND – TRANSIT RELATED
BY OPERATION
FOR THE YEAR ENDED JUNE 30, 2017**

	St. Helena	Calistoga	Totals
Operating Revenues:			
Farebox Revenues	\$ 32,271	\$ 76,966	\$ 1,247,968
Operating Expenses:			
Marketing	-	-	103,077
Vehicle Maintenance	1,160	1,160	77,554
Other Maintenance	-	-	5,840
Fuel and Lubricants	11,373	14,444	921,003
Insurance	9,494	12,039	299,299
Planning and Administration	-	-	-
Security	-	-	27,664
Services	2,136	2,114	67,146
Supplies	-	822	29,478
Purchased Transportation	294,495	366,408	8,929,934
Rents and Leases	-	-	6,200
Utilities	-	-	4,409
Miscellaneous Expense	-	-	35,145
Depreciation	20,514	20,514	2,659,934
Personnel Costs	4,053	4,700	158,310
Total Operating Expenses	343,225	422,201	13,324,993
Operating Loss	(310,954)	(345,235)	(12,077,025)
Nonoperating Revenues (Expenses):			
Local Transportation Fund	130,000	207,142	5,500,867
State Transit Assistance	162,660	102,390	675,527
Federal Transit Assistance			
Grant Revenues - Operating	69,468	69,468	3,044,818
Other Federal Grants	-	-	-
Other Operating Grants	-	-	446,400
Interest Income	78	128	15,311
Other Revenues	-	-	-
Returned Local Transportation			
Fund Allocations	(12,424)	(24,600)	(456,002)
Total Nonoperating Revenues (Expenses)	349,782	354,528	9,226,921
Change in Net Position Before Contributions	38,828	9,293	(2,850,104)
Capital Contributions:			
Federal Transit Assistance	-	-	210,000
Other Capital	-	-	7,843
Local Transportation Fund	-	-	3,465,415
Change in Net Position	38,828	9,293	833,154
Net Position, Beginning of Year	(284,892)	(183,448)	28,988,595
Net Position, End of the Year	\$ (246,064)	\$ (174,155)	\$ 29,821,749

OTHER REPORT



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MEMBER of the American Institute of
Certified Public Accountants

BROWN ARMSTRONG

Certified Public Accountants

**INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE OVER FINANCIAL
REPORTING BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED
IN ACCORDANCE WITH THE STATUTES, RULES, AND REGULATIONS
OF THE CALIFORNIA TRANSPORTATION DEVELOPMENT ACT
AND THE ALLOCATION INSTRUCTIONS AND RESOLUTIONS OF
THE METROPOLITAN TRANSPORTATION COMMISSION**

To the Honorable Members
of the Board of Directors
Napa Valley Transportation Authority
Napa, California

We have audited, in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of the Napa Valley Transportation Authority (NVTA) as of and for the year ended June 30, 2018, and have issued our report thereon dated December 24, 2018.

Compliance

As part of obtaining reasonable assurance about whether NVTA's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grants, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. Additionally, we performed tests to determine that allocations made and expenditures paid by NVTA were made in accordance with the allocation instructions and resolutions of the Metropolitan Transportation Commission and in conformance with the California Transportation Development Act. Specifically, we performed each of the specific tasks identified in the California Code of Regulations Sections 6666 and 6667 that are applicable to NVTA. Based on our procedures, no instances of noncompliance with applicable statutes, rules, and regulations of the Transportation Development Act and the allocation instructions and resolutions of the Metropolitan Transportation Commission were noted. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion.

Also as part of our audit, we performed tests of compliance to determine whether certain state funds were received and expended in accordance with the applicable bond act and state accounting requirements.

Purpose of this Report

The purpose of this report is solely to describe the scope of our internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of NVTA's internal control or on compliance. Accordingly, this report is not suitable for any other purpose.

This report is intended solely for the information and use of management, the Board of Directors, the California Department of Transportation, the State Controller's Office, and officials of applicable grantor agencies. However, this report is a matter of public record and its distribution is not limited.

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

Brown Armstrong
Accountancy Corporation

Bakersfield, California
December 24, 2018



**NAPA VALLEY
TRANSPORTATION AUTHORITY**

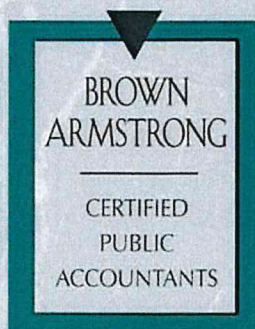
SINGLE AUDIT REPORT

**FOR THE FISCAL YEAR
ENDED JUNE 30, 2018**

**NAPA VALLEY TRANSPORTATION AUTHORITY
JUNE 30, 2018**

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BROWN ARMSTRONG

Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

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Napa, California

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We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities, the business-type activities, each major fund, and the aggregate remaining fund information of the Napa Valley Transportation Authority (NVTa), as of and for the year ended June 30, 2018, and the related notes to the financial statements, which collectively comprise the NVTa's basic financial statements, and have issued our report thereon dated December 24, 2018.

Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the NVTa's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the NVTa's internal control. Accordingly, we do not express an opinion on the effectiveness of the NVTa's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of NVTa's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the NVTAs financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The result of our tests disclosed the following instance of noncompliance or other matters that is required to be reported under *Government Auditing Standards*:

For the fiscal year ended June 30, 2018, NVTAs farebox ratio for Article 4 transit operations was 16.24%, while the requirement was at least 15%. Therefore, NVTAs was in compliance with this requirement for the year ended June 30, 2018.

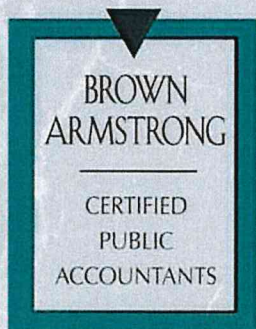
Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the NVTAs internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the NVTAs internal control and compliance. Accordingly, this report is not suitable for any other purpose.

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

Brown Armstrong
Accountancy Corporation

Bakersfield, California
December 24, 2018



BROWN ARMSTRONG

Certified Public Accountants

INDEPENDENT AUDITOR'S REPORT ON COMPLIANCE FOR EACH MAJOR PROGRAM AND ON INTERNAL CONTROL OVER COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE

Board of Directors
Napa Valley Transportation Authority
Napa, California

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Accounting Oversight Board and
MEMBER of the American Institute of
Certified Public Accountants

Report on Compliance for Each Major Federal Program

We have audited the Napa Valley Transportation Authority's (NVTa) compliance with the types of compliance requirements described in the U.S. Office of Management and Budget (OMB) *Compliance Supplement* that could have a direct and material effect on each of the NVTa's major federal programs for the year ended June 30, 2018. The NVTa's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of findings and questioned costs.

Management's Responsibility

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

Auditor's Responsibility

Our responsibility is to express an opinion on compliance for each of the NVTa's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. Code of Federal Regulations Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the NVTa's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the NVTa's compliance.

Opinion on Each Major Federal Program

In our opinion, the NVTa complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2018.

Report on Internal Control Over Compliance

Management of the NVTA is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the NVTA's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the NVTA's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. A *significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

Report on the Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the NVTA as of and for the year ended June 30, 2018, and the related notes to the financial statements, which collectively comprise the NVTA's basic financial statements. We issued our report thereon dated December 24, 2018, which contained unmodified opinions on those financial statements.

Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures we applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.

Bakersfield, California
December 24, 2018

BROWN ARMSTRONG
ACCOUNTANCY CORPORATION

Brown Armstrong
Accountancy Corporation

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2018**

<u>Federal Grantor/Pass-Through Grantor/Program Title</u>	<u>Federal CFDA Number</u>	<u>Pass-Through Grantor's Number</u>	<u>Passed Through to Subrecipients</u>	<u>Disbursements/ Expenditures</u>
<u>U.S. Department of Transportation</u>				
Direct Programs:				
Federal Transit Formula Grants	20.507	CA-2017-082	\$ -	\$ 2,228,750
Federal Transit Formula Grants	20.507	CA-90-Y927	-	8,154
Bus and Bus Facilities Formula Program	20.526	CA-2018-103-00	-	29,250
Subtotal Federal Transit Formula Grants			-	2,266,154
Highway Planning and Construction	20.205	CA-95-X290	-	20,106
Passed through Metropolitan Transportation Commission Highway Planning and Construction	20.205	--	-	734,000
Passed through State Department of Transportation (Caltrans)				
Federal Grants for Rural Areas	20.509	64CO18-00584	-	222,000
Federal Grants for Rural Areas	20.509	64BO19-00834	-	206,567
Subtotal Federal Transit for Rural Areas			-	428,567
Enhanced Mobility of Seniors and Individuals with Disabilities	20.513	64AO16-00066	-	11,357
Enhanced Mobility of Seniors and Individuals with Disabilities	20.513	64AM16-00029	-	27,670
Subtotal Highway Planning and Construction Enhanced Mobility of Seniors and Individuals with Disabilities			-	39,027
Total U.S. Department of Transportation			-	3,487,854
Total Expenditures of Federal Awards			\$ -	\$ 3,487,854

**NAPA VALLEY TRANSPORTATION AUTHORITY
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2018**

NOTE 1 – BASIS OF ACCOUNTING

The accompanying Schedule of Expenditures of Federal Awards is presented using the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of U.S. Office of Management and Budget (OMB) *Compliance Supplement*. Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the financial statements.

NOTE 2 – INDIRECT COST RATE

Napa Valley Transportation Authority (NVTA) has elected not use the 10 percent de minimis indirect cost rate allowed under the Uniform Guidance.

**NAPA VALLEY TRANSPORTATION AUTHORITY
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2018**

SECTION I

Summary of Auditor's Results

Financial Statements

- | | |
|---|------------|
| 1. Type of auditor's report issued: | Unmodified |
| 2. Internal control over financial reporting: | |
| a. Material weaknesses identified? | No |
| b. Significant deficiencies identified not
considered to be material weaknesses? | No |
| 3. Noncompliance material to financial statements
noted? | No |

Federal Awards

- | | |
|--|------------|
| 1. Internal controls over major programs: | |
| a. Material weaknesses identified? | No |
| b. Significant deficiencies identified not
considered to be material weaknesses | No |
| 2. Type of auditor's report issued on compliance
for major programs: | Unmodified |
| 3. Any audit findings disclosed that are required
to be reported in accordance with the Uniform Guidance? | No |
| 4. Identification of major programs: | |

CFDA Number

Name of Federal Program

20.507/20.526

Federal Transit Formula Grants

- | | |
|--|-----------|
| 5. Dollar threshold used to distinguish between
type A and Type B programs: | \$750,000 |
| 6. Auditee qualified as a low-risk auditee under
the Uniform Guidance? | Yes |

SECTION II

Financial Statement Findings

No matters were reported.

SECTION III

Federal Award Findings and Questioned Costs

No matters were reported.

**NAPA VALLEY TRANSPORTATION AUTHORITY
SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS
FOR THE YEAR ENDED JUNE 30, 2018**

No matters were reported.



NAPA VALLEY TRANSPORTATION AUTHORITY Board Agenda Letter

TO: NVTa Board of Directors
FROM: Kate Miller, Executive Director
REPORT BY: Matthew Wilcox, Manager of Public Transit
(707) 259-8635 / Email: mwilcox@nvta.ca.gov
SUBJECT: Vine Transit Update

RECOMMENDATION

That the Napa Valley Transportation Authority Board receive information on the state of operations for Vine Transit Services.

COMMITTEE RECOMMENDATION

None

EXECUTIVE SUMMARY

The following report summarizes the Vine's operational performance during the first quarter of Fiscal Year (FY) 2018-19. The report will also provide an update on the changes proposed under Vine Vision.

The decline in ridership is concerning but is comparable to trends on other systems throughout the Bay Area and the state. These trends prompted the Metropolitan Transportation Commission (MTC) to launch a study which is being completed by the University of California, Los Angeles (UCLA). This study is similar to the other study prepared by UCLA for the Los Angeles transit systems that staff shared with the Board in 2018. Staff will present an overview of the MTC/UCLA study to the Board upon its completion.

Trending ridership declines prompted NVTa staff to develop proposed service changes now scheduled for June. Some of the ridership drop may be the result of suspended marketing pending the service changes. A marketing plan is currently being developed that will be implemented concurrently with the proposed June service changes.

PROCEDURAL REQUIREMENTS

1. Staff Report
2. Public Comment

FISCAL IMPACT

Is there a Fiscal Impact? None

CEQA REQUIREMENTS

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

BACKGROUND AND DISCUSSION

Vine ridership continues to experience a downward trend. Fixed route ridership for the first quarter of FY 2018-19 is down 9.9% (-26,270 riders). Ridership on the community shuttles was also down by 7.6% (-1,519 riders). The ridership decrease on the community shuttles is driven solely by the 42.4% decrease seen in Yountville. Excluding Yountville's numbers the community shuttles had a 7.2% increase. VineGo also had a minor decrease of 3.6% (224 riders). Figures 1 – 4 show the raw ridership numbers for the quarter.

Figure 1: Routes 1-8 Ridership

	FY 17/18	FY 18/19	% Difference	Total Rides
Route 1	5,971	4,041	-32.3%	-1,930
Route 2	14,606	13,354	-8.6%	-1,252
Route 3	15,933	14,911	-6.4%	-1,022
Route 4	12,910	11,204	-13.2%	-1,706
Route 5	15,034	13,355	-11.2%	-1,679
Route 6	11,080	10,122	-8.6%	-958
Route 7	5,671	4,455	-21.4%	-1,216
Route 8	26,135	23,498	-10.1%	-2,637
Total	107,339	94,940	-11.6%	-12,399

Figure 2: Routes 10, 11, 21, and 29 Ridership

	FY 17/18	FY 18/19	% Difference	Total Rides
Route 10	63,391	57,066	-10.0%	-6,325
Route 11	68,774	63,648	-7.5%	-5,126
Route 21	5,509	5,323	-3.4%	-186
Route 29	19,049	16,815	-11.7%	-2,234
Total	156,723	142,852	-8.9%	-13,871

Figure 3: Community Shuttles Ridership

	FY 17/18	FY 18/19	% Difference	Total Rides
Calistoga Shuttle	6,446	7,049	9.4%	603
St. Helena Shuttle	3,184	3,615	13.5%	431
Yountville Trolley	6,265	3,611	-42.4%	-2,654
American Canyon Transit	5,152	5,181	0.6%	29
Total	21,047	19,456	-7.6%	-1,591

Figure 4: VineGo Ridership

	FY 17/18	FY 18/19	% Difference	Total Rides
VineGo	6,226	6,002	-3.6%	-224

Figures 5 – 8 show a month by month comparison for the first quarter of FY 2017-18 and FY 2018-19. For local service (Routes 1-8) not all routes experienced a decrease each month. Routes 2, 3 and 8 had an increase in the month of July. However, each month following had a decrease. All routes had their most precipitous decrease in September.

Regional service (Routes 10, 11, 21, and 29) show the same trends as local service. Route 21 had minor increases but nothing significant.

The community shuttles had a better first quarter than fixed route service. All services, except Yountville, showed increases in ridership. Yountville's ridership has been trending downward for some time. This trend can be attributed to temporary closures of some of Yountville's hotels and resorts.

VineGo's drop in ridership is minimal. This has been a continuous trend since NVTa moved to in-person functional assessments for ADA eligibility. In-person assessments help ensure people using ADA paratransit truly need it.

Figure 5: Difference in Trips Taken by Month for Route 1 – 8

	Percent Change			Numerical Change		
	July	August	September	July	August	September
Route 1	-27%	-37%	-34%	-607	-625	-698
Route 2	3%	-10%	-17%	112	-515	-849
Route 3	9%	-7%	-18%	386	-384	-1,024
Route 4	-10%	-9%	-19%	-370	-402	-934
Route 5	0%	-7%	-24%	0	-362	-1,317
Route 6	-8%	-6%	-13%	-276	-223	-459
Route 7	-19%	-16%	-29%	-339	-285	-592
Route 8	5%	-18%	-15%	369	-1,592	-1,414
Total	-2%	-12%	-19%	-725	-4,387	-7,287

Figure 6: Difference in Trips Taken by Month for Routes 10, 11, 21, and 29

	Percent Change			Numerical Change		
	July	August	September	July	August	September
Route 10	-5%	-21%	-3%	-1,092	-4,682	-551
Route 11	-4%	-10%	-8%	-791	-2,538	-1,797
Route 21	1%	1%	-11%	10	15	-211
Route 29	-2%	-15%	-17%	-117	-1,102	-1,015
Total	-4%	-15%	-7%	-1,990	-8,307	-3,574

Figure 7: Difference in Trips Taken by Month for the Community Shuttles

	Percent Change			Numerical Change		
	July	August	September	July	August	September
Calistoga Shuttle	14%	13%	1%	312	268	23
St. Helena Shuttle	41%	25%	-5%	261	249	-79
Yountville Trolley	-54%	-38%	-25%	-1,545	-761	-348
American Canyon Transit	7%	6%	-5%	54	117	-142
Total	-14%	-2%	-7%	-918	-127	-546

Figure 8: Difference in Trips Taken by Month for VineGo

	Percent Change			Numerical Change		
	July	August	September	July	August	September
VineGo	3%	-3%	-10%	59	-68	-215

Total ridership provides staff with a snapshot of performance. NVRTA staff uses passengers per revenue hour as a way to judge how productive a service is. Figures 9 and 10 show this data. Year over year service is down in productivity. Regional service continues to have the least dramatic changes. On local service Routes 1 and 5 show the most dramatic decrease in productivity.

Figure 9: Passengers per Revenue Hour (Weekdays) Routes 1 – 8

	FY 17/18	FY 18/19	% Difference	Total Rides
Route 1	9.8	6.7	-32.4%	-3.2
Route 2	14.4	13.5	-6.2%	-0.9
Route 3	15.2	13.8	-9.6%	-1.5
Route 4	14.9	13.0	-13.1%	-2.0
Route 5	14.7	12.4	-15.6%	-2.3
Route 6	14.6	13.9	-5.1%	-0.8
Route 7	8.8	6.9	-21.5%	-1.9
Route 8	21.2	20.3	-4.4%	-0.9
Total	15.0	13.3	-10.9%	-1.6

Figure 10: Passengers per Revenue Hour (Weekdays) Routes 10, 11, 21, and 29

	FY 17/18	FY 18/19	% Difference	Total Rides
Route 10	13.5	10.8	-20.1%	-2.7
Route 11	14.2	13.0	-8.5%	-1.2
Route 21	7.1	7.0	-2.7%	-0.2
Route 29	7.5	6.7	-11.0%	-0.8
Total	12.0	10.4	-12.9%	-1.5

On-time performance is another metric staff uses to measure productivity. The goal is to achieve a 90% average for the system. As seen in Figure 11 the Vine fell short of this goal for the first quarter of FY 18/19. With an average of 71% this quarter is consistent with the previous two quarters. While late departures are problematic, early departures are more so. A bus should never leave a stop early. Routes 21 and 29 are an exception because they are commuter buses and their style of service allows them to depart early in special cases. In the coming quarter NVRTA staff will be working to lower the early departure percentage through an audit of the GPS system and working with Transdev to ensure drivers never leave early. Eliminating early departures on Routes 1-8, 10 and 11 the Vine could improve the average to 83.7%. Late departures can be improved by better scheduling. It staff's expectation that the regional services will prove to be the most problematic due to the inconsistent traffic patterns along the highways.

Figure 11: On-Time Performance for FY 18/19 (First Quarter)

	On Time	Late	Early
Route 1	84.5%	7.8%	7.7%
Route 2	79.4%	13.5%	7.1%
Route 3	76.2%	6.4%	17.4%
Route 4	81.7%	10.8%	7.5%
Route 5	78.7%	9.1%	12.2%
Route 6	72.7%	13.3%	14.0%
Route 7	78.7%	11.3%	10.0%
Route 8	74.2%	18.4%	7.4%
Route 10	56.2%	28.1%	15.7%
Route 11	67.1%	17.7%	15.2%
Route 21	50.9%	23.1%	26.0%
Route 29	52.0%	35.6%	12.4%
Average	71.0%	16.3%	12.7%

Electric Bikes In recent months, Transdev, the contractor that operates the Vine, has been inconsistent about when it allows electric bikes and scooters on Vine buses. At NVRTA Board Meeting in October, Board Member Ramos requested staff to provide an overview of NVRTA's policy about electric bikes and scooters on buses.

Electric bikes and scooters have become extremely popular in a very short period of time. Consequently, NVRTA has not yet formalized a policy for these types of vehicles. Currently

NVTA is treating electric bikes as it would normal bikes provided they can safely fit on the bike rack at the front of the bus and their battery pack does not infringe on the drivers line of site. Scooters have greater diversity in design and are being judged on a case by case basis at this time. Drivers are informally enforcing the requirement that a scooter can be secured by the rider on the bus providing it does not take up additional seats. NVTA has yet to encounter a scooter design that is compatible with the bike racks on the front of Vine vehicles. Moving forward NVTA will continue researching and collaborating with other transit providers to institute a best practice for these two modes of transportation. Ultimately this will result in a formal policy.

Ride the Vine App

All services are showing improvement in the use of the Ride the vine app. Calistoga has almost double the number of accounts of the next highest jurisdiction, Yountville. Other than American Canyon, response times are within the range staff expects. To help alleviate the long wait times in American Canyon staff has reached out to the City about adding a second vehicle. The large service area and Highway 29 have proved to be a hindrance to timely responses.

Figure 12: Ride the Vine App Operational Summary Report

Summary Report First Quarter FY 18/19	Calistoga	St. Helena	Yountville	American Canyon
Requested Trips	4,724	1,874	2,684	2,291
Requested Trips Completed	3,861	1,637	2,399	2,051
Requested Trips Canceled	863	237	285	240
Pickups Performed	3,696	1,539	1,783	1,845
Drop-Offs Performed	3,861	1,637	2,399	2,051
# of Flagdowns	166	98	617	206
# of Passengers for Requested Trips	6,627	2,120	3,495	2,877
# of Passengers for Completed Trips	5,263	1,811	3,055	2,545
# of Wheelchairs for Completed Trips	14	57	21	12
# of Bicycles for Completed Trips	0	5	3	3
# of Passengers for Canceled Trips	1,364	209	440	332
Average Response Time (Request Time to Pick Up)	0:15:31	0:13:02	0:10:38	0:24:00
Average Ride Time (Pick Up to Drop Off)	0:07:27	0:06:27	0:07:32	0:09:52
# of Accounts	7,779	3,262	4,480	3,549
# of Active Accounts	2,428	918	1,357	1,001

Customer Service Metrics

The Board requested that NVRTA staff provide an update on customer service response at the October meeting. The following data is from the period between October 1 and November 30 of 2018. During the period NVRTA staff and Transdev staff responded to 62 questions, comments, or complaints (Figure 11). Staff responded to this feedback within 19 hours on average. This is well below the standard of 72 hours. There is still room for improvement. 31.03% of responses occurred after 24 hours, 17.24% were within 24 hours, and 51.72% were within the first two hours. NVRTA staff hopes to improve on the 31.03%.

Figure 13: Tickets by Category

Category	% of Total Tickets
Complaints (Regular Bus)	41.94%
Complaints (Community Shuttles)	3.23%
Complaints (VineGo)	0.00%
Complaints (Staff Interactions)	4.84%
Discrimination (ADA)	0.00%
Discrimination (Title VI)*	6.45%
Kudos and Compliments	1.61%
Other Comments/Issues	20.96%
Questions	6.45%
Service Improvements and Suggestions	9.68%
Shared Vehicle Program	0.00%
Trip Planning	0.00%
Vine Vision	4.84%

*All tickets were erroneously categorized.

Vine Vision Update

NVRTA staff is in the process of completing the Final Report for the changes being proposed under the Vine Vision. The Final Report will review the planning process NVRTA staff went through to develop the changes the agency is proposing, an overview of each new service, the financial implications of the plan, and NVRTA's new Performance Monitoring and Evaluation Plan. Staff will bring the Final Report to the Board at the February meeting. At that time a public hearing will be conducted and staff will ask the Board to adopt the Final Report. Attachment 1, Attachment 2, and Attachment 3 provide a draft version of the proposed services.

SUPPORTING DOCUMENTS

Attachments: (1) Draft Service Recommendations
(2) Draft Local Service Map
(3) Draft Regional Service Map

Service Recommendations

NVTA will implement service recommendations in two phases. Phase I will be near term changes, within the next year. It is the goal of NVTA to accomplish these changes within the current budget and capital constraints of the agency. Phase II will build on the recommendations of Phase I as more funding and capital becomes available over the next five years. Phase I recommendations will be explained in the greatest detail. Phase II recommendations will provide more of a general guideline for the direction NVTA should be heading.

Route Profiles

The following section will provide details on each service recommendation from the Vine Vision process. Many routes have been realigned completely making it difficult to do direct comparison between the current service the Vine operates and the changes being recommended. Comparisons between “service areas” will be done for each recommended service. This approach will help in understanding how the recommendations alter the way in which riders will use the system. Profiles of each service will explain the recommendations for both Phase I and Phase II. In order to be responsive to the public and ensure proper planning processes are followed NVTA staff has created a reevaluation plan for the new system. An explanation of this reevaluation process can be found in Chapter 5 of this document.

Route A: Browns Valley California Blvd

Phase I Recommendations

Route A is a modified version of the current Route 1. The old Route 1 provided direct service between the Browns Valley area to downtown and the transit center. Staff reviewed transfer patterns on the route and discovered that 61% of the transfers were to routes serving north Napa (Routes 5 and 8). With this in mind staff reoriented the route to serve north Napa, specifically the shopping and medical facilities along the Trancas corridor. In doing so California Blvd now has transit service. The street has a mix of housing, commercial, and industrial uses creating opportunities for new riders. The route also runs in close proximity to Napa High School. Students living in Browns Valley can alight at California and Lincoln for a short ten minute walk to the center of campus.

Riders wishing to do to downtown will no longer have a one seat ride. However, they will have a timed transfer to the new Route B at 1st Street and Chelsea Avenue. Total time for a trip of this nature will be marginally increased as compared to the old Route 1.

Frequency:

Weekdays: Every 60 minutes

Saturdays: Every 60 minutes

- Bel Aire Plaza
- Kaiser Clinical Offices
- Redwood Park and Ride
- Close proximity to Napa High

Span of service:

Weekdays: 7:00AM – 6:00PM

Saturdays: 7:00AM – 5:00PM

Sundays: No Service

Major Destinations:

- Browns Valley Elementary
- Browns Valley Market
- Lucky Supermarket
- Safeway
- Walgreens
- Napa Post Office

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

Staff will monitor the performance of the Route A over the next several years. Service will most likely remain at the same levels proposed in Phase I.

Route B: Laurel South Napa

Phase I Recommendations

Route B is a modified version of the current Route 2. It will provide bidirectional service where the old Route 2 was a one-way loop. The route will provide service to and from the neighborhoods around Laurel Street and Old Sonoma Road. The ends of the route will be anchored by the South Napa Marketplace and Century Center to the south and Downtown Napa to the north. The route will also serve the transit center. Transfer activity on the old Route 2 indicate a pattern of trips to the northern parts of Napa, specifically along Trancas and Clinic Olé. The new Route B will not provide a one seat ride to these locations but it will provide easy transfers to the routes that do. Clinic Olé is also opening a new larger clinic adjacent to the Century Center in south Napa, a location the Route B will serve directly.

Frequency:

Weekdays: Every 30 minutes

Saturdays: Every 60 minutes

- Grocery Outlet
- CVS
- Rite Aid
- Century Theater and Shopping
- South Napa Marketplace

Span of service:

Weekdays: 6:15AM – 6:45PM

Saturdays: 7:00AM – 6:25PM

Sundays: No Service

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Major Destinations:

- Soscot Gateway Transit Center
- Downtown Napa
- Napa Premium Outlets
- Goodwill

Phase II Recommendations

The area the Route B serves shows some of the highest propensity for transit use in the City of Napa. Staff will review ridership and identify peak demand. If service continues on its current trend increased frequency might be warranted during peak periods.

Route C: Jefferson

Phase I Recommendations

Route C is an unmodified version of the current Route 8. Due to the popularity of the Route 8 staff did not feel the need to modify the route's pattern. Staff will review the current spacing of stops along the Jefferson corridor and make adjustments to create equal spacing. These adjustments should improve travel times.

Frequency:

Weekdays: Every 30 minutes

Saturdays: Every 60 minutes

Span of service:

Weekdays: 6:00AM – 7:00PM

Saturdays: 7:00AM – 5:00PM

Sundays: No Service

Major Destinations:

- Soscot Gateway Transit Center
- Downtown Napa
- City of Napa Senior Center

- Napa High
- Kaiser Clinical Offices
- Safeway
- Bel Aire Plaza
- Redwood Park and Ride

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

The route pattern will likely stay the same. Due to the popularity of the route and the major corridor it serves it should be the first route considered for an expansion of service hours and an increase in headways during peak periods.

Route D: Shetler and Shurtleff

Phase I Recommendations

The Route D is a modified version of the current Route 4. Due to the current land uses and the lack of pedestrian amenities in the neighborhood the Route D will serve the route pattern is a loop. The route will provide a connection between the Shurtleff neighborhood and the South Napa Market Place. It will also begin and end at the Soscol Gateway Transit Center to provide a connection to other routes.

Frequency:

Weekdays: Every 35 minutes

Saturdays: Every 35 minutes

Span of service:

Weekdays: 6:00AM – 6:00PM

Saturdays: 7:00AM – 5:00PM

Sundays: No Service

Major Destinations:

- Soscol Gateway Transit Center
- Napa Crossing South

- Phillips Elementary School
- South Napa Marketplace
- Chamberlain High School
- Close proximity to Skyline Park
- Close proximity to Napa State Hospital

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

Pedestrian improvements along Imola will allow the neighborhood to receive bidirectional service. Route D has the greatest potential for service realignment was those improvements are completed. Staff will need to ensure that the pedestrian improvements along the Imola corridor east of Soscol include transit amenities.

Route E: Crosstown Local Connector

Phase I Recommendations

Route E is an entirely new service containing portions of older routes like the Route 3, 5, and 6. The route provides north-south service through the City of Napa. While the Routes 8, 10, and 11 fill this role as well, the Route E will provide more neighborhood service compared to those other routes. The route begins and ends at two strong anchors. While Rohlff's Manor does not act as a major trip attractor it is a major trip generator. The southern anchor for the route is the South Napa Marketplace. The route has numerous anchors along its path of travel to further strengthen its attraction.

Frequency:

Weekdays: Every 45 minutes

Saturdays: Every 60 minutes

Span of service:

Weekdays: 6:00AM – 7:00PM

Saturdays: 7:00AM – 6:00PM

Sundays: No Service

Major Destinations:

- Downtown Napa
- Napa County Library
- Century Theater and Shopping
- South Napa Marketplace

- Kaiser Clinical Offices
- Safeway
- Bel Aire Plaza
- Queen of the Valley
- Clinic Ole
- Redwood Park and Ride

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

Staff will need to review the performance of the route closely. Staff anticipates it will be a strong service that may warrant a longer span of service and for frequent headways. Any expansion will be predicated on the availability of funds, drivers, and capital resources.

Route 10: Up Valley Connector

Phase I Recommendations

The route pattern will not change for the Route 10. With the addition of the Route 10X service on the Route 10 will be limited to a bus every hour. Schedule reliability will be improved and times points will be adjusted to reflect the more popular stops along the route.

Frequency:

Weekdays: Every 60 minutes

Saturdays: Every 60 minutes

Sundays: Every 60 minutes

- Queen of the Valley
- Bel Aire Plaza
- Redwood Park and Ride
- Yountville
- St. Helena
- Calistoga

Span of service:

Weekdays: 5:50AM – 8:15PM

Saturdays: 6:00AM – 7:00PM

Sundays: 7:15AM – 6:00PM

Addresses the following needs from the Needs Assessment:

Major Destinations:

- Socol Gateway Transit Center
- Napa Valley College
- Walmart

- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

To attract more riders to the route, staff will need to increase the frequency on the route. Staff will also seek out a partnership with the vintners to run a pilot for late night and early service during harvest. Staff will also investigate this type of scheduling to accommodate service industry workers on “untraditional” shifts.

Route 10X: Up Valley Express

Phase I Recommendations

The Route 10X will provide express service between the City of Napa and the City of Calistoga. The route will operate as a replacement for the northern portion of the current Route 29 that was removed. In Phase I of the service redesign the route will only operate during the peak commute hours. It will also provide a timed transfer to the Route 11X to provide a connection to the Vallejo ferry from the Up Valley communities.

Frequency:

Weekdays: Every 60 minutes

Span of service:

Weekdays: 5:00AM – 8:00AM, 4:00PM – 6:00PM

Saturdays: No Service

Sundays: No Service

Major Destinations:

- Redwood Park and Ride
- Yountville Park and Ride
- St. Helena City Hall
- Downtown Calistoga

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

The frequency and span of service for the route should be increased if warranted and the capital/financial means are available. Weekend service will also be considered.

Route 11: Napa Vallejo Connector

Phase I Recommendations

The path other travel for the Route 11 will be relatively unchanged. There is an opportunity to alter the way the route serves the Walmart in American Canyon. The Walmart is only has direct service in the northbound direction. Having direct service in both directions could provide an increase in ridership as well as an increase in pedestrian safety.

Frequency:

Weekdays: Every 60 minutes

Saturdays: Every 60 minutes

Sundays: Every 60 minutes

Span of service:

Weekdays: 7:15AM – 9:50PM

Saturdays: 8:00AM – 7:00PM

Sundays: 9:00AM – 7:00PM

Major Destinations:

- Vallejo Ferry Terminal
- Kaiser Vallejo
- Sutter Hospital
- Walmart (American Canyon)

- Napa County Health and Human Services
- Napa Valley College
- Socol Gateway Transit Center
- Walmart (Napa)
- Queen of the Valley
- Bel Aire Plaza
- Redwood Park and Ride

Addresses the following needs from the Needs Assessment:

- ✓ Transit in closer proximity
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

Long term changes to the Route 11 are primarily dependent on an increase in capital resources and funds. There are also opportunities to improve travel times in American Canyon if Highway 29 is improved to include bus turnouts. Being able to stop on the corridor and not deviate into residential areas could make the service more attractive.

Route 11X: Napa Vallejo Express

Phase I Recommendations

The primary purpose of the Route 11X is to provide express service to the Vallejo Ferry. In Phase I the route will only operate during the commute periods syncing with ferry departures in the morning and ferry arrivals in the afternoon.

Frequency:

Weekdays: Every 35 minutes

Span of service:

Weekdays: 6:00AM – 7:45AM, 5:45PM – 6:55PM

Saturdays: No Service

Sundays: No Service

Major Destinations:

- Redwood Park and Ride
- Socol Gateway Transit Center
- Napa Valley College
- American Canyon Park and Ride
- Vallejo Ferry Terminal

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

As more capital and financial resources become available the route should begin operating during the midday and possibly later into the evening. Weekend service will also be considered.

Route 21: Napa Solano Express

Phase I Recommendations

The Route 21 will focus service between Napa, Fairfield, and Suisun. The route will be aligned to provide more direct service by, by-passing Napa County Health and Human Services. It will continue to serve Napa Valley College.

Frequency:

Weekdays: Varies by time of day from 60 minutes to 150 minutes

Span of service:

Weekdays: 5:20AM – 5:20PM

Saturdays: No Service

Sundays: No Service

Major Destinations:

- Soscot Gateway Transit Center
- Napa Valley College
- Fairfield Transit Center
- Suisun City Train Depot

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

Service frequency and span should be increased when capital and financial resources become available.

Route 29: Napa BART Express

Phase I Recommendations

The Route 29 will go through a major service restructuring in Phase I. The route will no longer provide service north of the Redwood Park and Ride Lot. The route will also no longer stop at Napa Valley College or the Vallejo Ferry. The primary purpose of the route will to provide service from Napa and American Canyon to the El Cerrito del Norte BART station. The frequency during the peak commute will increase to a bus every thirty minutes.

Frequency:

Weekdays: Every 60 minutes off peak, every 30 minutes on peak

Span of service:

Weekdays: 5:45AM – 8:45PM

Saturdays: No Service

Sundays: No Service

Major Destinations:

- Redwood Park and Ride
- Soslcol Gateway Transit Center
- American Canyon Park and Ride
- El Cerrito del Norte BART

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Strong anchor points
- ✓ Improved connections between services
- ✓ More reliable service

Phase II Recommendations

Service levels will remain roughly the same as Phase I, unless demand warrants an increase in frequency during the midday. Span of service will increase to include weekend service. Purchasing vehicles suited for long commute service should be a number one priority to attract riders to the route. Capital improvements along the Highway 29 corridor will improve travel times. The Imola Park and Ride upgrade will help keep the route on the corridor. The inclusion of bus turn outs and queue jumps in American Canyon will further facilitate improved travel times.

Alta Heights On-Demand Service

Phase I Recommendations

The service around Alta Heights will operate as a door to door service to any location within the service boundaries shown in *Figure X.X*. Riders wishing to travel outside the service area will need to use the shuttle to connect to another service. Staff is recommending the service be implemented as a one year pilot program.

Frequency:

Service is on-demand. Wait times will vary depending on demand

Span of service:

Weekdays: 6:00AM – 8:00PM

Saturdays: 9:00AM – 7:00PM

Sundays: No Service

Major Destinations:

- Soscol Gateway Transit Center
- Oxbow Market
- WalMart

Addresses the following needs from the Needs Assessment:

- ✓ More direct service
- ✓ Improved connections between services
- ✓ More reliable service
- ✓ Transit in closer proximity

Phase II Recommendations

Long term service will be determined by the performance of the service over the first 12 months. Long term recommendations will be made by staff at that time.

North Napa On-Demand Service

Phase I Recommendations

The service in north Napa will operate as a door to door service to any location within the service boundaries shown in *Figure X.X*. Riders wishing to travel outside the service area will need to use the shuttle to connect to another service. Staff is recommending the service be implemented as a one year pilot program.

Frequency:

Service is on-demand. Wait times will vary depending on demand

- Safeway
- Kaiser Clinical Offices
- Clinic Ole
- Knob Hill
- CVS

Span of service:

Weekdays: 6:00AM – 8:00PM

Saturdays: 9:00AM – 7:00PM

Sundays: No Service

Addresses the following needs from the Needs Assessment:**Major Destinations:**

- Redwood Park and Ride
- Bel Aire Plaza
- Queen of the Valley

- ✓ More direct service
- ✓ Improved connections between services
- ✓ More reliable service
- ✓ Transit in closer proximity

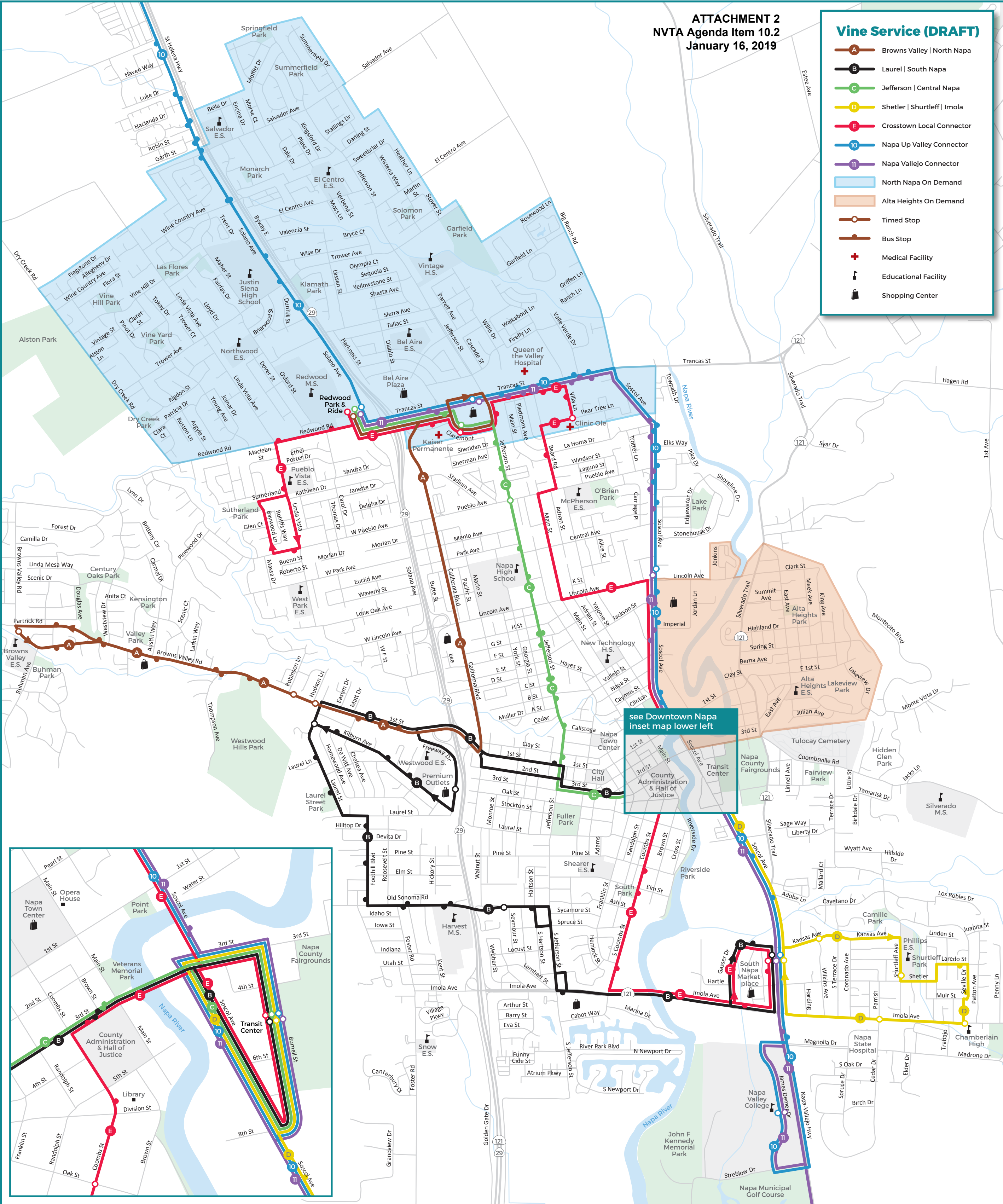
Phase II Recommendations

Long term service will be determined by the performance of the service over the first 12 months. Long term recommendations will be made by staff at that time.

ATTACHMENT 2
NVTa Agenda Item 10.2
January 16, 2019

Vine Service (DRAFT)

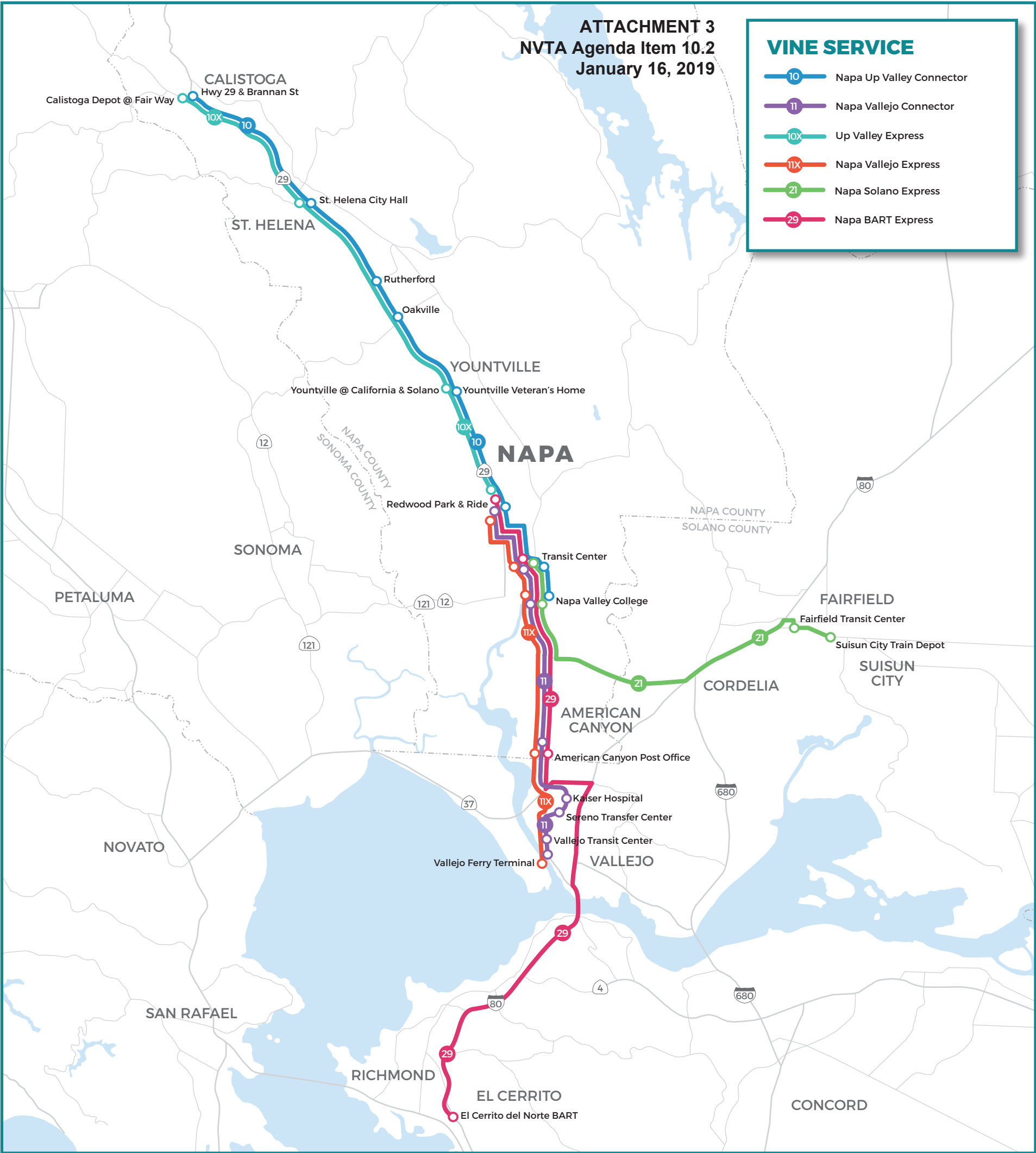
- Browns Valley | North Napa
- Laurel | South Napa
- Jefferson | Central Napa
- Shetler | Shurtleff | Imola
- Crosstown Local Connector
- Napa Up Valley Connector
- Napa Vallejo Connector
- North Napa On Demand
- Alta Heights On Demand
- Timed Stop
- Bus Stop
- Medical Facility
- Educational Facility
- Shopping Center



ATTACHMENT 3
NVRTA Agenda Item 10.2
January 16, 2019

VINE SERVICE

- 10 Napa Up Valley Connector
- 11 Napa Vallejo Connector
- 10X Up Valley Express
- 11X Napa Vallejo Express
- 21 Napa Solano Express
- 29 Napa BART Express





NAPA VALLEY TRANSPORTATION AUTHORITY Board Agenda Letter

TO: Board of Directors
FROM: Kate Miller, Executive Director
REPORT BY: Kate Miller, Executive Director
(707) 259-8634 / Email: kmiller@nvta.ca.gov
SUBJECT: State Legislative Update and State Bill Matrix

RECOMMENDATION

That the Napa Valley Transportation Authority (NVRTA) Board receive the State Legislative update prepared by Platinum Advisors (Attachment 1) and approve board position recommendations for bills on the State Bill Matrix (Attachment 2).

COMMITTEE RECOMMENDATION

None

EXECUTIVE SUMMARY

Attached is the State legislative update (Attachment 1), and State Bill Matrix (Attachment 2) that includes several bills introduced at the beginning of the new legislative session.

PROCEDURAL REQUIREMENTS

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

FISCAL IMPACT

Is there a Fiscal Impact? No

SUPPORTING DOCUMENTS

Attachments: (1) January 8, 2019 State Legislative Update (Platinum Advisors)
(2) January 8, 2019 State Bill Matrix (Platinum Advisors)



January 8, 2019

TO: Kate Miller, Executive Director
Napa Valley Transportation Authority

FR: Steve Wallauch
Platinum Advisors

RE: Legislative Update

Transition: Governor Gavin Newsom was sworn in yesterday as California's 40th Governor. The ceremony included a performance by a choir from Compton, a Mexican roots band from San Pablo, poetry recitals from the First Partner, Jennifer Siebel Newsom, and Rev. Stephen Privett, and the Governor being upstaged by his two-year old son, Dutch. While Governor Newsom's address centered on the California Dream, its values, and togetherness, he did not hold back on singling out the "incompetence in the White House," and the powerful forces arrayed against us. He paid tribute to Governor Brown, and highlighted his priorities of education, healthcare, and climate change.

Governor Newsom has been busy staffing-up his office, and numerous appointees to agencies and departments will be announced in the coming weeks. Here are a few of the appointments made so far. Newsom has hired Ann O'Leary as his Chief of Staff and Ana Matosantos as his Cabinet Secretary. O'Leary, a lawyer and founding executive director of the Center on Health, Economic, and Family Security and the UC Berkeley School of Law, was the Senior Policy Advisor to the 2016 Clinton presidential campaign. Matosantos served as the Director of the Department of Finance under both Governors Schwarzenegger and Brown, as well as a deputy legislative secretary in the State's Health and Human Services Agency. Anthony Williams, formerly the director of government relations for Boeing and advisor to Senate Pro Tems Steinberg and Burton will be Newsom's Legislative Affairs Secretary. Catherine Lhamon will be his Legal Affairs Secretary, transitioning from her service as the Assistant Secretary for Civil Rights at the U.S. Department of Education.

New Legislature: The beginning of the 2019-20 legislative session commenced on December 3, 2018 with the swearing in of new legislators, followed by celebrations throughout and around the Capitol. Prior to the November election, the Senate had 26 Democrats and 14 Republicans. It now has 29 Democrats and 11 Republicans, although Senator Ricardo Lara (D-Bell Gardens) left to become the State's Insurance Commissioner and Senator Ted Gaines (R-El Dorado Hills) also departed for his position on the Board of Equalization. A special election will be called for both of the vacant seats,

but party affiliation is not expected to change in these districts. Assembly Democrats also gained seats, increasing from 55 to 60. Assemblyman Tyler Diep (Huntington Beach) had the distinction of being the only Republican freshman sworn into the Assembly.

Both Senate pro Tem Toni Atkins and Assembly Speaker Anthony Rendon have announced leadership and committee membership information. Many committee chairs and vice-chairs have remained the same, however several committees are a little larger in order to incorporate new members. The biggest change was in the Senate where Pro Tem Atkins split the Senate Transportation & Housing Committee. Senator Jim Beall will continue to serve as chair of the Senate Transportation Committee, while Senator Scott Wiener will serve as the chair of the Senate Committee on Housing.

Senate Leadership Positions

Senator Bob Hertzberg (D-Los Angeles) – Senate Majority Leader

Senator Mike McGuire (D-Healdsburg) – Assistant Majority Leader

Senator Nancy Skinner (D-Berkeley) – Majority Whip

Senator Maria Elena Durazo (D-Los Angeles) and Senator Scott Wiener (D-San Francisco) – Assistant Majority Whips

Senator Connie Leyva (D-Chino) – Democratic Caucus Chair

Senate Committees – full committee membership will be announced prior to committees meeting.

Assembly Leadership Positions

Assemblymember Kevin Mullin (D-South San Francisco) – Speaker pro Tempore

Assemblymember Rebecca Bauer-Kahan (D-Dublin) – Assistant Speaker pro Tempore

Assemblymember Ian Calderon (D-Whittier) – Majority Leader

Assemblymember Rob Bonta (D-Alameda) – Assistant Majority Leader

Assemblymember Al Muratsuchi (D-Torrance) – Assistant Majority Leader for Policy and Research

Assemblymember Todd Gloria (D-San Diego) – Majority Whip

Assemblymember Tasha Boerner Horvath (D-Oceanside) and Jesse Gabriel (D-Encino) – Assistant Majority Whips

Assemblymember Mike Gipson (D-Carson) – Democratic Caucus Chair

Innovative Clean Transit: The California Air Resources Board adopted the Innovative Clean Transit (ICT) Rule on December 14th. Adoption of the ICT Rule puts in place a mandate for all public transit operators to transition to zero emission fleets.

The resolution adopted by the Board directs staff to conduct a readiness review one year prior to start of the purchase mandate. While this falls short of an independent peer review and benchmarks, staff is required to examine vehicle cost, performance, and reliability, as well as infrastructure issues. Staff will also review job creation and training programs and examine any barriers to deployment of zero emission vehicles. The resolution also recognizes the need for additional resources to address indirect costs associated with the ICT, in particular workforce development and training.

While this new rule is now basically in effect, the Executive Officer can make additional conforming changes. If the Executive Officer elects to make substantive changes, the amended language will be released again for a 15-day comment period. Board action is not required to approve these changes. The final step is for the Office of Administrative Law to review and approve the content of the new language.

LEGISLATION

Tax Increment: There have been a handful of bills introduced so far that deal with tax increment financing. Some of these measures are spot bills or just include intent language, and more are expected to be introduced. However, two bills have been introduced that include substantive changes.

- **AB 11 (Chiu):** This bill would recreate a new redevelopment program that would focus on affordable housing and infrastructure investments. The bill requires a seat on the governing board for each affected taxing entity, and it allows an affected taxing entity to elect to contribute to the redevelopment agency (RDA) or not. In addition, the bill also allows an RDA to capture the growth on the schools share (i.e. Educational Review Augmentation fund [ERAF]) of the property tax growth. AB 11 does require any new RDA to be approved by the Strategic Growth Council, which must find that the redevelopment plan furthers Greenhouse Gas (GHG) reduction goals and the fiscal impact to the state for backfilling the lost ERAF growth does not exceed a yet to be specified amount. The new RDA could finance housing, transit, interchanges, bridges, parks and port infrastructure, to name a few.
- **SB 5 (Beall):** This bill would have a similar result to AB 11, but it does not recreate Redevelopment Law. With demise of RDA law, existing law has been expanded to allow for the creation of various forms of Infrastructure Finance Districts (IFD). IFDs are a form tax increment financing, but it requires the entity creating the IFD to secure the permission of each taxing entity in order to capture that taxing entity's share of the property tax growth.

SB 5 would allow the various forms of IFDs to divert a portion of the ERAF property tax share to the IFD – not just the incremental growth, but the base share of ERAF. SB 5 would require any IFD that wants to capture the ERAF share to submit an application to the Sustainable Investment Incentive Committee, which SB 5 creates. The bill would limit the amount of ERAF tax revenue the Committee can approve to \$200 million each year, with the annual impact not to exceed \$1 billion. These limits are increased in future years.

SB 50 (Wiener): In general SB 50 would provide development incentives such as density bonuses and eliminating height restrictions for housing projects constructed near rail transit stations, ferry terminals, or along high quality bus corridors. The bill would also provide these development incentives to projects located in “job rich” areas, which has not been fully defined.

While no less controversial than SB 827 from last year, SB 50 does make several changes in an attempt to address concerns expressed about SB 827. The bill includes provisions to delay the application of SB 50 in areas deemed to be a “sensitive community,” which aims to address gentrification concerns. The bill also prohibits a project from being located at a site that would require housing to be removed, or if the site had included rental housing in the past 7 years. SB 50 also allows local governments to opt out of SB 50 if they develop their own plans that increase density and multi-family housing near transit.

The bill defines a high quality bus corridor as follows:

(e) “High-quality bus corridor” means a corridor with fixed route bus service that meets all of the following criteria:

(1) It has average service intervals of no more than 15 minutes during the three peak hours between 6 a.m. to 10 a.m., inclusive, and the three peak hours between 3 p.m. and 7 p.m., inclusive, on Monday through Friday.

(2) It has average service intervals of no more than 20 minutes during the hours of 6 a.m. to 10 a.m., inclusive, on Monday through Friday.

(3) It has average intervals of no more than 30 minutes during the hours of 8 a.m. to 10 p.m., inclusive, on Saturday and Sunday.

While train stations and ferry terminals are fixed locations, applying these development incentives along bus corridors indirectly places zoning authority with the bus operator, because the bus operator can increase or decrease service in order for the SB 50 incentives to apply or not apply.

55% Vote: Assemblywoman Aguiar-Curry introduced ACA 1 on the first day of session. This constitutional amendment would lower the voter threshold for property tax increases, parcel taxes and sales taxes to 55% if the funds are used for affordable housing and infrastructure projects. This includes improvements to transit and streets and highways.

Wayfair: Assemblywoman Autumn Burke and Senator Mike McGuire have introduced AB 147, which would enact changes to implement the *South Dakota v. Wayfair* decision. Under Wayfair, the U.S. Supreme Court found that online retailers are required to collect and remit sales tax regardless of whether the online retailer has a physical presence in the state where the order is delivered.

The California Department of Tax and Fee Administration (CDTFA) through its authority has issued a letter stating how it intends to comply with this decision which relies on the \$100,000 threshold implemented in South Dakota, but CDTFA would apply that dollar threshold to sales within each taxing jurisdiction, not statewide total. To simplify this process, AB 147 would propose a \$500,000 statewide threshold. This bill would also require sales tax to be collected on sales made through an intermediary, such as eBay, and under the bill eBay would be the entity that is required to collect and remit the tax.



January 8, 2019

Existing Positions

Bills	Subject	Status	Client - Position
<u>AB 11</u> (Chiu D) Community Redevelopment Law of 2019.	<p>AB 11 would enact the Community Redevelopment Act of 2019, and allow local governments to form a housing and infrastructure agency that would focus on affordable housing and infrastructure investments. The bill requires a seat on the governing board for each affected taxing entity, and it allows an affected taxing entity to elect to contribute to the redevelopment agency (RDA) or not. In addition, the bill also allows an RDA to capture the growth on the schools share (ie Educational Revenue Augmentation Fund [ERAF]) of the property tax growth.</p> <p>AB 11 does require any new RDA to be approved by the Strategic Growth Council, which must find that the redevelopment plan furthers greenhouse gas (GHG) reduction goals and the fiscal impact to the state for backfilling the lost ERAF growth does not exceed a yet to be specified amount. The new RDA could finance housing, transit, transit priority projects, interchanges, bridges, parks and port infrastructure, to name a few. The projects do not need to be located within the redevelopment area, but must have a nexus to the project area.</p>	ASSEMBLY PRINT	Recommended Position: WATCH
<u>AB 147</u> (Burke D) Use taxes: collection: retailer engaged in business in this state.	<p>This bill would implement a variation of South Dakota law in order to comply with the Wayfair v. South Dakota decision.</p> <p>Specifically this bill would specify that a retailer engaged in business in this state includes any retailer that, in the preceding calendar year or the current calendar year, has cumulative sales of tangible personal property for delivery in this state that exceeds \$500,000.</p>	ASSEMBLY PRINT	Recommended Position: SUPPORT

<p><u>ACA 1</u> (<u>Aguiar-Curry</u> D) Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>This constitutional amendment would lower the voter threshold for property tax increases, parcel taxes and sales taxes to 55% if the funds are used for affordable housing and infrastructure projects. This includes improvements to transit and streets and highways.</p>	<p>ASSEMBLY PRINT</p>	<p>Recommended Position: SUPPORT</p>
<p><u>SB 5</u> (<u>Beall</u> D) Local-State Sustainable Investment Incentive Program.</p>	<p>SB 5 would allow the various forms of Infrastructure Finance District (IFD) authority to divert a portion of the ERAF property tax share to the IFD – not just the incremental growth, but the base share of ERAF. SB 5 would require any IFD that wants to capture the ERAF share to submit an application to the Sustainable Investment Incentive Committee, which SB 5 creates. The bill would limit the amount of ERAF tax revenue the Committee can approve to \$200 million each year, with the annual impact not to exceed \$1 billion. These limits are increased in future years.</p> <p>SB 5 generally promotes the construction of housing and infill development that promotes transit use.</p>	<p>SENATE RLS.</p>	<p>Recommended Position: WATCH</p>
<p><u>SB 50</u> (<u>Wiener</u> D) Planning and zoning: housing development: equitable communities incentive.</p>	<p>SB 50 is the reintroduction of SB 827 from last year. In general SB 50 would provide development incentives such as density bonuses and eliminating height restrictions for housing projects constructed near rail transit stations, ferry terminals, or along high quality bus corridors. The bill would also provide these development incentives to projects located in “job rich” areas, which has not been fully defined.</p> <p>While likely no less controversial than SB 827 from last year, SB 50 does make several changes in an attempt to address concerns expressed about SB 827. The bill includes provisions to delay the application of SB 50 in areas deemed to be a “sensitive community,” which aims to address gentrification concerns. The bill also prohibits a project from being located at a site that would require housing to be</p>	<p>SENATE RLS.</p>	<p>Recommended Position: WATCH</p>

	removed, or the site included rental housing in the past 7 years. SB 50 also allows local governments to opt out of SB 50 if they develop their own plans that increase density and multi-family housing near transit.		
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