



AGENDA

SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY Meeting Notice

Date: Tuesday, July 11, 2017; 10:00 a.m.
Location: Legislative Chamber, Room 250, City Hall
Commissioners: Peskin (Chair), Tang (Vice Chair), Breed, Cohen, Farrell, Fewer, Kim, Ronen, Safai, Sheehy and Yee

Clerk: Steve Stamos

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3. Approve the Minutes of the June 27, 2017 Meeting – ACTION*	13
4. [Final Approval] Approve the Fiscal Year 2017/18 Transportation Fund for Clean Air Program of Projects – ACTION*	17
Projects: Emergency Ride Home (\$41,832); Alternative Fuel Taxicab Incentive Program (\$79,964); Paratransit Sedans (\$270,000); Short Term Bicycle Parking (\$79,964)	
<u>End of Consent Agenda</u>	
5. Approve \$255,000 in Fiscal Year 2017/18 Transportation Fund for Clean Air Funds for the San Francisco Municipal Transportation Agency's Bike Share Phase 4 Expansion Project – ACTION*	29
6. Appoint Two Members to the Citizens Advisory Committee – ACTION*	35
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8. Allocate \$5,440,926 in Prop K Sales Tax Funds for Two Requests, with Conditions, and Appropriation of \$100,000 in Prop K Funds for One Request – ACTION*	45
Allocations: Traffic Signal Upgrade Contract 34 (\$4,860,000); Golden Gate Park Traffic Safety (\$580,926)	
Appropriation: District 10 Mobility Management Study [NTIP Planning]	
9. Approve San Francisco's One Bay Area Grant Cycle 2 Program of Projects – ACTION*	103

Board Meeting Agenda

- Projects:** Better Market Street (\$15.98 million); Peninsula Corridor Electrification Project (\$11.188 million); Geary Bus Rapid Transit Phase 1 (\$6.939 million); John Yehall Chin Elementary Safe Routes to School (\$3.366 million); San Francisco Safe Routes to School Non-Infrastructure Project (2019-2021) (\$2.813 million); Embarcadero Station: New Northside Platform Elevator and Faregates (\$2 million)
10. Adopt the Revised Guiding Principles for Emerging Mobility Services & Technologies – **ACTION*** 133
 11. Approve the Revised Debt, Fiscal, Investment, Procurement and Travel, Conference, Training and Business Expense Reimbursement Policies – **ACTION*** 161
 12. Execute Amendment No. 1 to the Memorandum of Agreement with the Treasure Island Development Authority for Yerba Buena Island Vista Point Operation Services to Increase the Amount by \$100,000, to a Total Amount Not to Exceed \$600,000, and Extend the Agreement through June 30, 2018 – **ACTION*** 217
 13. Approve a Four-Year Professional Services Contract with WSP USA, Inc. for Construction Management Services for the Yerba Buena Island Westside Bridges Project in an Amount Not to Exceed \$5,500,000, and a Two-Year Professional Services Contract with S&C Engineers, Inc. for Construction Management Services for the Yerba Buena Island Southgate Road Realignment Improvements Project in an Amount Not to Exceed \$3,000,000 – **ACTION*** 223
 14. Approve a Professional Services Contract for Independent Analysis and Oversight Services with Sjoberg Evashenk Consulting, Inc. for a One-Year Period in an Amount Not to Exceed \$100,000, with an Option to Extend for Two Additional One-Year Periods – **ACTION*** 243

Other Items

15. Introduction of New Items – **INFORMATION**

During this segment of the meeting, Commissioners may make comments on items not specifically listed above, or introduce or request items for future consideration.

16. Public Comment
17. Adjournment

***Additional Materials**

Items considered for final approval by the Board shall be noticed as such with **[Final Approval]** preceding the item title.

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Board Meeting Agenda

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DRAFT MINUTES

CITIZENS ADVISORY COMMITTEE

Wednesday, June 28, 2017

1. Committee Meeting Call to Order

Chair Waddling called the meeting to order at 6:02 p.m.

CAC Members present were: Myla Ablog, Becky Hogue, John Larson, Santiago Lerma, Peter Tannen and Chris Waddling (6)

CAC Members absent were: Jackie Sachs (entered during Item 8), Larkin (entered during Item 9), Wells-Mongiovi and Wiedmaier (4)

Transportation Authority staff members present were: Tilly Chang, Amber Crabbe, Anna LaForte, Warren Logan, Maria Lombardo, Oscar Quintanilla, Steve Rehn and Steve Stamos

2. Chair's Report – INFORMATION

Chair Waddling reported that Peter Sachs had been suspended from the CAC following the May CAC meeting which constituted his fourth regular meeting absence. He said he would be considered for reinstatement at the July 11 Board meeting along with Jackie Sachs, whose two-year term expired in July. He recognized and congratulated Jackie on June representing her 20th consecutive year serving on the CAC. He said that in July, staff would be conducting outreach on the San Francisco Transportation Plan (SFTP) 2017, the minor update to the previous major update to the countywide transportation plan that was adopted in 2013. He said the SFIP 2017 would report on progress on transportation investments and new revenues, as well as trends affecting transportation since the initial adoption.

Chair Waddling said that the San Francisco Transportation Task Force 2045 had its first meeting on June 5 and would have its next meeting on July 24 from 4:00 to 5:30 at 1 South Van Ness. He said that at the May CAC meeting, the San Francisco Municipal Transportation Agency (SFMTA) had requested Transportation Fund for Clean Air funding to support their staff costs associated with Phase IV bike share expansion. He said that while the CAC had approved the item, at the June 27 Board meeting Chair Peskin had requested that this portion of the TFCA program of projects be continued to the following Board meeting due to concerns about the impact of Ford GoBike on the small, local bike rental shops. He said while GoBike had been working with Mayor Lee's Office on the issue, it was not totally resolved as of the Board meeting. He added that staff was targeting July 26 for the special CAC meeting to cover a range of topics that the CAC had shown interest in over the previous several months, and that was also targeting July 28 for the CAC to take a tour of the Central Subway project.

There was no public comment.

Consent Agenda

3. Approve the Minutes of the May 24, 2017 Meeting – ACTION
4. Adopt a Motion of Support for Approval of the Revised Debt, Fiscal, Investment,

Procurement and Travel, Conference, Training and Business Expense Reimbursement Policies – ACTION

5. **Adopt a Motion of Support for Execution of Amendment No. 1 to the Memorandum of Agreement with the Treasure Island Development Authority for Yerba Buena Island Vista Point Operation Services to Increase the Amount by \$100,000, to a Total Amount Not to Exceed \$600,000, and Extend the Agreement through June 30, 2018 – ACTION**
6. **Adopt a Motion of Support for Approval of a Four-Year Professional Services Contract with WSP USA, Inc. for Construction Management Services for the Yerba Buena Island Westside Bridges Project in an Amount Not to Exceed \$5,500,000, and a Two-Year Professional Services Contract with S&C Engineers, Inc. for Construction Management Services for the Yerba Buena Island Southgate Road Realignment Improvements Project in an Amount Not to Exceed \$3,000,000 – ACTION**
7. **Citizens Advisory Committee Appointments – INFORMATION**

There was no public comment on the Consent Agenda.

Becky Hogue moved to approve the Consent Agenda, seconded by Myla Ablog.

The Consent Agenda was approved by the following vote:

Ayes: CAC Members Ablog, Hogue, Larson, Lerma, Tannen and Waddling (6)

Absent: CAC Members J. Sachs, Larkin, Wells-Mongiovi and Wiedmaier (4)

End of Consent Agenda

8. **Adopt a Motion of Support for Allocation of \$5,440,926 in Prop K Sales Tax Funds for Two Requests, with Conditions, and Appropriation of \$100,000 in Prop K Funds for One Request – ACTION**

Steve Rehn, Senior Transportation Planner, and Rachel Hiatt, Principal Transportation Planner, presented the item per the staff memorandum.

Chair Waddling noted that the Transportation Authority had funded the design phase of signals Contract 34 in June 2015. He asked staff to confirm that the intersection at 11th, 13th, Bryant and Division Streets was in District 10. Mr. Rehn replied that staff would look into that and get back to him.

Mr. Waddling said he had sent an email to the project manager for the Golden Gate Park project earlier in the week requesting some clarifications. He stated that he was tired of pedestrians and cyclists being killed on the city's streets and wanted to make sure the project was exploring all options for improving safety. He said if there were additional options that were not being considered, the city needed a commitment from the SFMTA and the Recreation and Park Department that they would be investigated further and given sufficient consideration. He asked SFMTA staff to provide an indication of what changes to expect. Nick Smith, Transportation Planner at the SFMTA, replied that the scope of the project was only short-term treatments that could be implemented by early 2018. He said the primary intent for the project was to explore circulation changes in the park, which the SFMTA would be doing by making 30th Avenue a one-way street. He said if it was determined that larger scale circulation changes should be considered, that would need to be initiated by the Recreation and Park Department and done over a longer time frame. He said the circulation changes needed to be carefully considered so as not to push traffic onto Fulton and Lincoln Streets, which were high-injury corridors. Mr. Smith added that

the Recreation and Park Department could use a consultant to provide a third-party perspective on potential changes, and noted that the SFMTA would be happy to partner on that endeavor.

Mr. Waddling asked if the District 10 Mobility Management Study would consider the new development near Quint Street. Ms. Hiatt said it would.

There was no public comment.

Peter Tannen moved to approve the item, seconded by John Larson.

The item was approved by the following vote:

Ayes: CAC Members Ablog, Hogue, Larson, Lerma, J. Sachs, Tannen and Waddling (7)

Absent: CAC Members Larkin, Wells-Mongiovi and Wiedmaier (3)

9. Adopt a Motion of Support for Approval of San Francisco's One Bay Area Grant Cycle 2 Program of Projects – ACTION

Amber Crabbe, Assistant Deputy Director for Policy and Programming, presented the item per the staff memorandum.

John Larson said that in looking at the two Priority Development Area (PDA) maps for the last two cycles, it seemed that PDAs in the east side of the city were most likely to see projects funded. He said the PDAs on the south and west side of the city did not have many projects, and noted that Commissioner Yee often raised concerns about projects being distributed equitably. He asked for a summary of the Safe Routes to School (SRTS) non-infrastructure project and an explanation for how the project's outcomes would be evaluated. Ana Validzic, Program Manager at the Department of Public Health, replied that SRTS was an international program in all 50 states which all used the same framework. She said the program focused on educational programs to improve pedestrian safety around elementary schools and encourage families to get their kids to and from school using modes other than single-family driving. She said the Department of Public Health worked with the SFMTA to facilitate traffic enforcement and identify schools that had high rates of walking or collisions to target funding. She added that they also conducted pre and post surveys with students to measure progress of increasing bicycling and walking to school, but the ultimate goal was to improve safety.

Myla Ablog said she was glad that One Bay Area Grant (OBAG) 2 funding was going to Geary Boulevard. She asked if the proposed new fare gates at the Embarcadero BART Station would be compatible with Clipper Cards. Todd Morgan, Principal Financial Analyst at BART, replied that BART had no plans to move away from Clipper. He added that a new generation of Clipper Cards would be coming soon, as the Metropolitan Transportation Commission (MTC) was working on implementing that and expanding Clipper's use. He added that the recently approved BART budget included a fifty-cent extra charge on paper tickets.

Santiago Lerma asked why the second elevator was needed and why staff was recommending OBAG funding for a new BART station elevator, rather than BART paying for it with its own funding. Mr. Morgan replied that another elevator was needed to improve reliability and to support increased ridership. He said that the elevator in question was included in the BART budget, and BART would be contributing \$12 million in Measure RR funds to match the requested \$2 million in OBAG funds.

Jackie Sachs commented that bicyclists should be required to have license plates and asked if any city in the country required them to have licenses or license plates. Ms. Validzic replied that she did not know of any jurisdiction with that requirement.

During public comment, Ed Mason asked whether the new fare gates being installed at the Embarcadero BART Station would be conventional ones or the ones that better restrict fare evaders. He questioned whether the SRTS non-infrastructure program was successful and noted that while the SFMTA was encouraging younger people to practice safe bicycle riding, it also funded the San Francisco Bicycle Coalition to teach bicycle riding. He said the city was going overboard with encouraging bicycling in the city, and that while there were environmental benefits, there were also safety concerns, especially for kids who were more vulnerable and prone to accidents.

Mr. Morgan stated that the proposed Embarcadero Station project would add accessible fare gates where they currently didn't exist, with higher barriers to prevent fare evasion.

Josie Ahrens, Neighborhood Organizer at Walk San Francisco, said she managed the SRTS program and voiced support for the requested funding. She said the program did a robust job of encouraging young people to take alternative transportation to school and helped reimagine transportation in cities. She said an example was a "walking bus" for truant students that helped increase safety and also improved attendance. She said Walk San Francisco hoped to see more collaboration with city agencies through the funding being requested.

Becky Hogue moved to approve the item, seconded by John Larson.

The item was approved by the following vote:

Ayes: CAC Members Ablog, Hogue, Larkin, Larson, Lerma, J. Sachs, Tannen and Waddling (8)

Absent: CAC Members Wells-Mongiovi and Wiedmaier (2)

10. Adopt a Motion of Support for Adoption of the San Francisco Transportation Demand Management Plan for 2016-2020 – ACTION

Warren Logan, Senior Transportation Planner, and John Knox White, Program Manager at the SFMTA, presented the item per the staff memorandum.

Chair Waddling stated that staff had requested that the CAC amend the item to change the action from adopting the plan to accepting the plan, per a previous agreement with the SFMTA and Planning Department.

Myla Ablog asked what the definition of ridesharing was, and whether it specifically referred to 511 ridesharing or Uber or Lyft pools as well. She also noted that a lot of congestion from Uber and Lyft was due to drivers coming from outside San Francisco who weren't familiar with the city. Mr. Logan replied that ridesharing had yet to be defined but that the definition should be clarified. He added that the issues such as that would be addressed in future studies.

John Larson said that the report included a survey from the San Francisco Travel Association that showed what mode of transportation people used when visiting the city. He noted that the various transportation systems operating in San Francisco offered a lot of options but that they didn't sync perfectly, but that Clipper Card had helped with that. He asked what information was available for visitors that explained how the various systems interconnected so that they could use public transportation more efficiently. He noted that some conventions in other cities provided attendees with a pass that could be used on any transit system and asked if San Francisco had something similar. Mr. Knox White replied that the SFMTA had a program that addressed many of those questions, and that they had worked with the city's Hotel Council, SF Travel, and the various convention centers to develop it. He noted the SFMTA had recently contracted with a firm to do some research on how people visiting the city made their transportation choices. He

said there was a transit pass available that offered three days of unlimited travel and that the SFMTA was considering a similar Muni pass, but that it was still in development.

During public comment, Ed Mason commented that there was no mention of a regional express bus system and noted that the problem with the transportation system was that passengers had to transfer between operating agencies, which was more of an issue than the fare systems. He said regarding ridesharing, there was an environmental impact not mentioned in the report about the totality of the daily decisions people made in using Uber or Lyft. He said while there were many sustainability programs directed at lower-income populations, they should also be directed at upper-income populations who could afford to take Uber and Lyft frequently. He also mentioned that Muni lacked a motto about sustainability that could be helpful.

Mr. Logan noted that staff was working with the San Francisco Environment on messaging about sustainability.

Chair Waddling moved to amend the item to change the action from adopting the plan to accepting the plan, seconded by Brian Larkin.

The amendment to the item was approved by the following vote:

Ayes: CAC Members Ablog, Hogue, Larkin, Larson, Lerma, J. Sachs, Tannen and Waddling (8)

Absent: CAC Members Wells-Mongiovi and Wiedmaier (2)

Becky Hogue moved to approve the amended item, second by Brian Larkin.

The amended item was approved by the following vote:

Ayes: CAC Members Ablog, Hogue, Larkin, Larson, Lerma, J. Sachs, Tannen and Waddling (8)

Absent: CAC Members Wells-Mongiovi and Wiedmaier (2)

11. Vision Zero Ramp Intersection Study Phase 1 Update – INFORMATION

Colin Dentel Post, Senior Transportation Planner, presented the item per the staff memorandum.

Santiago Lerma asked why open crosswalks were considered an improvement. Mr. Dentel-Post replied that there were two main reasons they were considered an improvement, the first being that there were a couple locations where intersections did not have crosswalks so it was a safety and accessibility issue. He said the second reason was that it allowed people to take a more direct route which fit with the city's transit-first policy as well as limited their exposure to traffic since they only had to cross once.

Myla Ablog said that it seemed that District 5 had a lot of issues with cars blocking intersections but that messaging on Muni buses seemed to help alleviate the issue, and asked what else could be done. Mr. Dentel-Post replied that it was an issue at many intersections across the city but especially at freeway on and off ramps where there were traffic back-ups. He said the improvements included in this study would not directly address the blocking of intersections as it was more of an education and enforcement issue.

Becky Hogue noted that the outreach included the San Francisco Bicycle Coalition but did not appear to include the Pedestrian Safety Advisory Committee (PSAC). Mr. Dentel-Post replied that the project team had met with Walk San Francisco and presented to the Vision Zero Task Force, among others, but that they would be happy to meet with PSAC as well.

Chair Waddling asked if the project team had met with disabled community groups, to which Mr.

Dentel-Post replied that they had met with Senior and Disability Action.

Peter Tannen said the study did a good job of depicting the conditions at on and off-ramp intersections and asked if there was any concern from Caltrans on how the proposed changes would impact the performance of the freeways. Mr. Dentel-Post replied that the project team had reached out to Caltrans regarding the study but had not had a complete discussion with them. He said that most of the changes being proposed would not affect the capacity of traffic coming off the freeway as they would mostly affect traffic getting on the freeway. He said the project team had explored reducing the number of lanes at the intersection of 8th and Harrison Streets from three to two since traffic speeds were high and in close proximity to pedestrians waiting to cross the street, but that it would require additional traffic analysis and collaboration with Caltrans on how it would impact the freeway operations.

There was no public comment.

Chair Waddling called Items 12 and 13 together.

12. **Adopt a Motion of Support for Adoption of Revised Guiding Principles for Emerging Mobility Services & Technologies – ACTION**
13. **Update on Emerging Mobility Services and Technologies, Including Transportation Network Companies – INFORMATION**

Warren Logan, Senior Transportation Planner, and Drew Cooper, Transportation Planner, presented the item per the staff memorandum.

Santiago Lerma questioned if the report was missing environmental principles and representative groups. Mr. Logan replied that the guiding principles did address sustainability, and that Mr. Cooper would discuss how that would be incorporated in future studies. He added that in addition the groups listed in Attachment 1, staff had also reached out to San Francisco Environment.

Becky Hogue noted that the among the groups contacted was Walk San Francisco and the San Francisco Bicycle Coalition, but asked why it did not include PSAC. Mr. Logan replied that staff had conducted a lot of focus groups with representative organizations and received feedback but would be happy to reach out to that group as well.

Mr. Lerma asked what public outreach was conducted. Mr. Logan replied that information was posted on the Transportation Authority's website along with email blasts and blog posts. He said the project team also conducted an equity focus group as that was a major area of concern, and had reached out to Transform and the Greenlining Institute to discuss how the principles might affect low-income communities of color.

Peter Tannen said that Lyft was included as an emerging provider while Uber was not, and asked for a clarification between Uber and Lyft in terms of regulation and whether Uber was considered a Transportation Network Company (TNC). Mr. Logan replied that both Lyft and Uber were contacted as part of the study but that Lyft provided a lot more information than Uber did. He noted that Uber was considered a TNC, but that there was question of whether Uber should continue to be considered a TNC and that it could hinge on whether it transported freight.

Myla Ablog said the guiding principles should inform documents such as the Transportation Demand Management (TDM) plan, especially to make sure the data being relied on was current. She added that transportation in the city was changing quickly and that regulations often couldn't keep up.

John Larson asked if there was any information on the number of TNC vehicle trips, and whether TNCs were expanding the number of trips or substituting some of them. Mr. Cooper replied that

the information wasn't available yet, but would be considered in future studies around mode shift.

Mr. Lerma asked for an explanation of the data collection. Mr. Cooper replied that the data was collected from the Uber and Lyft phone applications, and that researchers at Northeastern University had created an application that sent commands to the companies' servers and retrieved data on the current vehicles operating in a given area. He said from that data, staff was able to determine a lot of information about trips made in the city.

Becky Hogue asked if the information included cases of drivers refusing or unable to pick up disabled customers. Mr. Cooper replied that the data was still being sorted and that they would follow up if that information was determined. Mr. Logan added that the focus group meeting with the disabled community discussed that issue and would be considered in future studies.

Ms. Ablog stated that future studies should include background checks on drivers, training for drivers, as well as safety and liability for transporting minors. Mr. Logan replied that those areas would be addressed by the California Public Utilities Commission's (CPUC's) rulemaking process.

Chair Waddling asked if the future studies would address all mode shifts, and not just people shifting from driving personal vehicles to taking TNCs. Mr. Cooper replied that it would include all modes such as public transit, walking and bicycling.

Mr. Lerma noted that one of the guiding principles was labor, and that according to the report only 29% of drivers operating in San Francisco were residents of the city. He asked what inputs would be used to analyze labor and local hiring practices. Mr. Logan replied that part of the process was understanding the regulatory landscape of TNCs, and whether city agencies could affect change or whether it would have to be the CPUC or state legislature.

During public comment, Ed Mason questioned the role that MTC had on TNCs and whether the study would affect what other cities in the region would do. He said that the city's TDM policy around development would lead to a tradeoff of less residential parking and car ownership with potentially more TNCs operating on the streets which was an unintended consequence.

Mr. Logan replied that staff was working with the SFMTA to start an informal working group with other agencies in the region, one of which was MTC, with the goal of coordinating across the region. He said that the Planning Department had added the tradeoff with TNCs to its list of questions to be addressed by the TDM program.

Chair Waddling noted that the University of California, San Francisco was expanding and there was population growth in the Dogpatch neighborhood, and noted that streets weren't designed for that amount of traffic and that private shuttles would not be able to offset the demand.

Peter Tannen moved to approve Item 12, seconded by Santiago Lerma.

Item 12 was approved by the following vote:

Ayes: CAC Members Ablog, Hogue, Larkin, Larson, Lerma, J. Sachs, Tannen and Waddling (8)

Absent: CAC Members Wells-Mongioli and Wiedmaier (2)

14. State and Federal Legislative Update – INFORMATION

Amber Crabbe, Assistant Deputy Director for Policy and Programming, and Maria Lombardo, Chief Deputy Director, presented the item staff memorandum.

John Larson asked if another agency would be created to oversee the Regional Measure 3 expenditure plan. Ms. Lombardo replied that MTC would oversee the plan as they did the other bridge tolls.

There was no public comment.

15. Introduction of New Business – INFORMATION

Becky Hogue commented that she recently attended a Connect SF scenario-building workshop on how transportation would look in 50 years. She said the group would meet again in September and included representatives from the Office of Economic and Workforce Development, SFMTA, Planning Department and Transportation Authority, among others. Chair Waddling said that it seemed the group had a lot of staff but not enough community representatives, and that it being hyper local and lack of diversity could be issues. Ms. Hogue agreed that there should be efforts to include a more diverse group in future outreach.

Jackie Sachs said that she recently attended a workshop on proposed bike share stations. She said the city should avoid putting bike share stations in front of libraries, schools, churches and hospitals and instead be placed near parking lots that had more room to help accommodate senior citizens and the disabled community accessing these places.

Santiago Lerma said he recently rode his bicycle to Treasure Island but that the 25-Muni bus had only two bicycle racks and could not accommodate the demand to get off the island. Ms. Hogue stated that was an issue that had been brought up by Treasure Island residents but would be addressed in future plans with Ferry service. Peter Tannen noted that Alameda-Contra Costa Transit District buses used to allow additional bicycles on the buses by removing seats.

There was no public comment.

16. Public Comment

During public comment, Ed Mason commented that idling commuter shuttle buses were a significant issue on Spare the Air Day and Bike to Work Day. He said he had submitted numerous complaints about the idling before he finally noticed some reductions, but that idling on Valencia Street in the median turning lanes was still an issue and should be considered double-parking.

17. Adjournment

The meeting was adjourned at 8:05 p.m.



DRAFT MINUTES

SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY

Tuesday, June 27, 2017

1. Roll Call

Chair Peskin called the meeting to order at 10:15 a.m.

Present at Roll Call: Commissioners Fewer, Kim, Peskin, Ronen, Tang and Yee (6)

Absent at Roll Call: Commissioners Farrell and Cohen (entered during Item 2), Breed (entered during Item 3), Safai (entered during Item 10) and Sheehy (5)

2. Chair's Report – INFORMATION

Chair Peskin reported that at the June 13 Board meeting, the Board learned some revealing statistics on the impact of Transportation Network Companies (TNC's) Uber and Lyft on the city's streets with the release of the Transportation Authority's "TNCs Today" report. He said since then, he had been fielding requests for follow-up from constituents across the city. He said that there had been significant changes at Uber's executive level in response to mounting public and internal pressure to reform the company's culture and business practices, and that cities across the world had recently taken steps to better regulate the safety and congestion of their public streets. He said he had heard from most of the Board a strong interest in pursuing some kind of a local mitigation scheme using the data that staff had compiled.

Chair Peskin said he was hopeful the report would spur engagement with both TNCs and the state's regulatory authorities. He noted that Transportation Authority and San Francisco Municipal Transportation Agency (SFMTA) staff had recently joined with staff from the California Public Utilities Commission (CPUC) to discuss San Francisco's strong interest in the CPUC's ongoing TNC rulemaking process. He said that previously, the SFMTA and San Francisco International Airport had become official "parties" to the rulemaking process and had provided comments related to several issue areas of the rulemaking process, and he was pleased that the Transportation Authority was also applying to be a party to the rulemaking and was developing comments to the CPUC related to TNC data. He remarked that information was power and the city needed accurate and timely data to help inform its ongoing planning and to allow the city to manage its streets safely and sustainably.

Chair Peskin reported that the week prior, State Senator Jerry Hill, representing parts of San Mateo and Santa Clara counties, amended Senate Bill (SB) 797 to authorize a vote in San Francisco, San Mateo and Santa Clara Counties to raise a 1/8th of a cent sales tax to fund Caltrain capital and operating needs. He said that currently, Caltrain had no dedicated funding source, which had led to significant budgetary challenges and uncertainties around the future of Caltrain. He said the city appreciated the Senator's leadership and shared his desire for a dedicated funding source for Caltrain. He noted that the city remained focused on the ability of Regional Measure 3 to move

forward to the 2018 ballot, as well as the city's own potential revenue measure being considered by the Transportation 2045 Task Force. He said the city would also seek to have a policy discussion in connection with any new Caltrain measure and ensure that the strategies to develop Caltrain were integrated across the other corridor plans, such as for U.S. 101. He said he had asked staff to continue to track the SB 797 and to work with the city's regional partners on this measure.

Lastly, he thanked Commissioner Tang for her service on the Treasure Island Mobility Management Agency (TIMMA) Committee and said he would be replacing her on that body. He said he looked forward to working with TIMMA Chair Kim to pilot a robust congestion management and transit system for Treasure Island that prioritized affordability and efficiency.

There was no public comment.

3. Executive Director's Report – INFORMATION

Tilly Chang, Executive Director, presented the Executive Director's Report.

Commissioner Yee asked regarding the Clipper Card program with San Francisco State University had whether there was an evaluation planned to study the results of the program in terms of who was using it and how it impacted student driving. Director Chang confirmed there was an evaluation and monitoring task for the project. She said staff would keep the Board updated on the results.

Commissioner Yee asked if the results of the program or any data would be available within a year. Director Chang replied that the project was kicking off on August 19 and believed there would be quarterly updates but would confirm. Anna LaForte, Deputy Director for Policy and Programming, stated that staff would follow up with San Francisco State on when they would start generating the data, but confirmed that the rollout would be when students returned to campus in August. Commissioner Yee commented that if the program showed positive results he hoped that San Francisco City College would consider starting a similar program.

There was no public comment.

Consent Agenda

- 4. Approve the Minutes of the June 13, 2017 Meeting – ACTION**
- 5. [Final Approval] Adopt Positions on State Legislation – ACTION**
- 6. [Final Approval] Allocate \$55,989,751 in Prop K Funds for Ten Requests and \$2,052,000 in Prop AA Funds for One Request, with Conditions, and Appropriation of \$75,000 in Prop K Funds for One Request – ACTION**
- 7. [Final Approval] Relocate the Geary Corridor Bus Rapid Transit Westbound Bus Lane Transition One Block West and Update the Locally Preferred Alternative – ACTION**
- 8. [Final Approval] Adopt the Proposed Fiscal Year 2017/18 Budget and Work Program – ACTION**
- 9. [Final Approval] Execute Contract Renewals and Options for Various Annual Professional Services in an Amount Not to Exceed \$1,409,230 – ACTION**

There was no public comment.

Commissioner Tang moved to approve the Consent Agenda, seconded by Commissioner Yee.

The Consent Agenda was approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Tang and Yee (9)

Absent: Commissioners Safai and Sheehy (2)

End of Consent Agenda

10. Approve the Fiscal Year 2017/18 Transportation Fund for Clean Air Program of Projects – ACTION

Chair Peskin commented that the item had been continued at the June 13 Board meeting as the Board questioned allowing TFCA funds to be used on Transportation Network Companies (TNCs) for the Emergency Ride Home program. He added that while the Board likely supported the \$255,000 request for the Bike Share Phase 4 Expansion project, there were recent media reports expressing concern about the impacts of the bike share program on the local and family-owned bicycle rental companies that operated for a long time on the border of Districts 2 and 3 and were a large part of the thriving tourist industry. He said he had been working with Motivate and the Mayor's Office to help the parties come to a resolution but that the matter was not fully resolved yet and requested that the funds be put on hold until that happened.

Mike Pickford, Transportation Planner, stated that staff had spoken with the Air District and confirmed that there was no policy that would impact excluding TNCs from the Emergency Ride Home program should the Board add a condition.

Chair Peskin stated that the Board seemed to be in agreement to not have taxpayer dollars used on TNCs as part of the program, and noted that the program existed long before TNCs did.

There was no public comment.

Commissioner Fewer moved to amend the item to add a condition to the San Francisco Environment's Emergency Ride Home program to exclude TNCs from the TFCA funded program, seconded by Commissioner Yee.

Commissioner Farrell moved to sever the request for the Bike Share Phase 4 Expansion project, seconded by Commissioner Fewer. The severed request was continued to the call of the Chair.

The amendment to the item was approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Sheehy, Tang and Yee (10)

Absent: Commissioners Sheehy (1)

The amended item was approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Sheehy, Tang and Yee (10)

Absent: Commissioners Sheehy (1)

Other Items

11. Introduction of New Items – INFORMATION

There were no new items introduced.

12. Public Comment

During public comment, Andrew Yip spoke about peace.

13. Adjournment

The meeting was adjourned at 10:40 a.m.

RESOLUTION APPROVING THE FISCAL YEAR 2017/18 TRANSPORTATION FUND FOR CLEAN AIR PROGRAM OF PROJECTS AND AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE A CONTRACT WITH THE BAY AREA AIR QUALITY MANAGEMENT DISTRICT FOR \$772,763 IN FISCAL YEAR 2017/18 FUNDS AND TO ENTER INTO AGREEMENTS WITH APPLICABLE PUBLIC AGENCIES, ESTABLISHING CONDITIONS FOR THE USE OF THESE FUNDS

WHEREAS, On June 15, 1992, the Board of Supervisors of the City and County of San Francisco designated the San Francisco County Transportation Authority (Transportation Authority) as the Program Manager of the local guaranteed portion of the Transportation Fund for Clean Air (TFCA) funds; and

WHEREAS, As County Program Manager, the Transportation Authority is required to file an expenditure plan application with the Bay Area Air Quality Management District (Air District) for the upcoming fiscal year's funding cycle, which was submitted to the Air District on March 17, 2017; and

WHEREAS, After netting out 6.25% (\$46,003) for administrative expenses, as allowed by Air District guidelines, and including deobligated and previously unallocated funds, the Transportation Authority is expected to have \$726,760 in Fiscal Year (FY) 2017/18 TFCA funds to program to eligible projects; and

WHEREAS, On March 7, 2017, the Transportation Authority solicited applications for projects from eligible project sponsors for FY 2017/18 TFCA funds, and by April 28, 2017, received five applications requesting a total of \$1,116,832 in TFCA funds; and

WHEREAS, Transportation Authority staff, working in consultation with project sponsors, reviewed and prioritized the applications for funding based on Air District TFCA guidelines and the



Transportation Authority's adopted Local Expenditure Criteria (Resolution 17-28); and

WHEREAS, The Transportation Authority's adopted Local Expenditure Criteria include review of eligibility per the Air District's guidelines, calculation of the cost effectiveness ratio for each project, and other factors; and

WHEREAS, Transportation Authority staff recommended fully funding three projects and partially funding two projects as shown in Attachments 1 and 2; and

WHEREAS, At its May 24, 2017 meeting, the Citizens Advisory Committee was briefed on San Francisco's FY 2017/18 TFCA Program of Programs and unanimously adopted a motion of support for the staff recommendation; and

WHEREAS, At its June 27, 2017 meeting, the Board approved a motion to limit Emergency Ride Home eligible service providers to exclude Transportation Network Companies, and severed the San Francisco Municipal Transportation Agency's request for \$255,000 for the Bike Share Phase 4 Expansion project, to be considered separately; now, therefore, be it

RESOLVED, That the Transportation Authority hereby approves the FY 2017/18 TFCA Program of Projects as shown in Attachments 1 and 2, pending separate approval of the Bike Share Phase 4 Expansion project; and be it further

RESOLVED, That the Emergency Ride Home project shall limit eligible service providers to exclude Transportation Network Companies; and be it further

RESOLVED, That the Executive Director is authorized to execute any agreements with the Air District necessary to secure \$726,760 for projects and \$46,003 for administrative expenses for a total of \$772,763 in FY 2017/18 TFCA Program Manager funds; and be it further

RESOLVED, That the Executive Director is authorized to execute funding agreements with each implementing agency to pass-through these funds for implementation of projects, establishing such terms and conditions governing cash drawdowns, financial and program audits, and reporting

as necessary to comply with the requirements imposed by the Air District for the use of the funds and as required by the Transportation Authority in order to optimize the use of these of funds.

Attachments (2):

1. FY 2017/18 TFCA Program of Projects – Detailed Recommendation
2. FY 2017/18 TFCA Program of Projects – Summary Recommendation

Attachment 1
San Francisco County Transportation Authority
Draft Fiscal Year 2017/18 TFCA Program of Projects – Detailed Staff Recommendation⁵

PROJECTS RECOMMENDED FOR TFCA FUNDS [sorted by cost-effectiveness (CE) ratio]										
No.	Sponsor ¹	Project Description	District	Project Type ²	Prop K Eligible	CE Ratio ³	CO ₂ Tons Reduced ⁴	Total Project Cost	TFCA Amount Requested	TFCA Amount Proposed
1	SFE	Emergency Ride Home - Provides a free or low cost ride home in cases of emergency for employees who use alternative modes to get to work. The ride comes in the form of taxi, carshare or rental car reimbursement to employees of businesses participating in the program when a supervisor-approved unscheduled overtime or an emergency situation occurs. This program provides one year of funding for processing employer registrations and reimbursements.	Citywide	1	Yes	\$13,604	1656.4	\$41,832	\$41,832	\$ 41,832
2	SFMTA	Bike Share Phase 4 Expansion⁵ - The SFMTA will review station sites and designs, legislate curb and parking changes if needed, and issue bike share station and special traffic permits for an additional 96 stations/1,350 bikes in San Francisco as part of the Ford GoBike.	4, 2, 4, 5, 7, 11	4	Yes	\$36,202	3708.1	\$318,000	\$255,000	\$ 255,000
3	SFMTA	Alternative Fuel Taxicab Incentive Program - This project is an Alternative Fuel Rebate/Incentive Program for new vehicles. Under this program, taxicab companies will have the opportunity to purchase new alternative fuel vehicles (hybrid, CNG, or electric) and will be able to submit proof of purchase materials to receive a rebate of up to \$3,900. Our recommendation is to partially fund this request. A recent rule change has increased the maximum allowed age and mileage of taxis, resulting in a temporary decrease in demand for new vehicles. The SFMTA has an existing TFCA grant for this program that it is spending down more slowly than anticipated.	Citywide	3	No	\$66,539	973,16188	\$250,000	\$250,000	\$ 79,964
4	SFMTA	Paratransit Sedans - Replace ten (10) aging SF Paratransit diesel and gasoline cutaway vehicles (22' vans) with hybrid sedans. SFMTA's paratransit fleet is currently 100% the larger, wheelchair accessible vehicles; however, approximately 70% of SF Access riders are ambulatory riders who do not require a wheelchair lift, and may actually be more comfortable riding in a sedan. Requires TFCA Policy Waiver - Funding this project requires a waiver from the Bay Area Air Quality Management District to allow the cost-effectiveness ratio to reflect the emissions reductions of replacing the actual, existing cutaway vans, rather than hypothetical gasoline vehicles in the same weight class as the proposed hybrid sedans. A decision on the waiver is expected in Fall 2017.	Citywide	3	Yes	\$108,400	347.3	\$300,000	\$270,000	\$ 270,000
5	SFMTA	Short Term Bicycle Parking - Bicycle parking spaces provide end-of-trip facilities for new bicycle trips thereby replacing vehicle trips and reducing motor vehicle emissions. This project would plan, design, and install 600 previously purchased bicycle parking racks in San Francisco, providing an additional 1200 bicycle parking spaces. Our recommendation is to partially fund this project due to the limited funds available. This would result in 160 racks or 320 parking spaces being installed.	Citywide	1	Yes	\$249,053	130.0	\$511,866	\$300,000	\$ 79,964

TOTAL \$1,421,698
Total TFCA Funding Available for Projects: \$726,760
Surplus/(Shortfall) \$ -

No.	Sponsor ¹	Project Description	District	Project Type ²	Prop K Eligible	CE Ratio ³	CO ₂ Tons Reduced ⁴	Total Project Cost	TFCA Amount Requested	TFCA Amount Proposed
TABLE B. PROJECTS RECOMMENDED FOR TFCA FUNDS CONTINGENT ON AVAILABILITY OF ADDITIONAL FUNDS										
Funding for these projects is contingent upon the Air District rejecting the requested TFCA policy waiver for the Paratransit Sedans project, which would then not be funded.										
1	SFMTA	Short Term Bicycle Parking (Additional Funds) - Fully fund the Short Term Bicycle Parking request (see above). Additional funds would fund the installation of an additional 440 racks, for a grand total of 600 racks/1200 parking spaces.	Citywide	1	Yes	\$249,053	357.6	See above.	See above.	\$ 220,036
2	SFMTA	Alternative Fuel Taxicab Incentive Program (Additional Funds) - Provide additional funds (for a total of up to \$130,000 of the \$300,000 requested) for the Alternative Fuel Rebate/Incentive Program (see above).	Citywide	3	No	\$66,539	608.1	See above.	See above.	\$ 49,964
									Total:	\$ 270,000

¹ Sponsor acronyms include Department of the Environment (SFE) and San Francisco Municipal Transportation Agency (SFMTA).

² Priority based on project type is established in the Local Expenditure Criteria, with zero-emissions non-vehicle projects as the highest priority, followed by shuttle services, followed in turn by alternative fuel vehicle projects, and finally any other eligible project.

³ The TFCA cost effectiveness ratio (CE) is designed to measure the cost effectiveness of a project in reducing motor vehicle air pollutant emissions and to encourage projects that contribute funding from non-TFCA sources. CE ratio limits vary by project type: for FY 2017/18, the limit for Ridesharing Projects, which encompasses transit and transportation demand management projects, including Emergency Ride Home, is \$150,000 per ton of emissions reduced, the limit for the Bicycle Projects and Alternative Fuel Light-Duty Vehicles categories is \$250,000 per ton of emissions reduced and the limit for Bike Share projects is \$500,000 per ton of emissions reduced.

⁴ CO₂ Reduction is based on tons of carbon dioxide reduced over the lifetime of the project. This figure is calculated in the cost effectiveness worksheet.

⁵ All projects are anticipated to be approved as part of Resolution 18-01 with the exception of the Bike Share Phase 4 Expansion project, which is proposed for approval as part of pending Resolution 18-XX.

Attachment 2
 San Francisco County Transportation Authority
 Fiscal Year 2017/18 Transportation Fund for Clean Air County Program Manager Fund
 Summary of Draft Recommendations²

RECOMMENDED PROJECTS (sorted by cost-effectiveness (CE) ratio)					
Sponsor ¹	Project	Total Project Cost	TFCA Requested	TFCA Recommended	TFCA
SFE	Emergency Ride Home	\$41,832	\$41,832	\$41,832	\$41,832
SFMTA	Bike Share Phase 4 Expansion²	\$318,000	\$255,000	\$255,000	\$255,000
SFMTA	Alternative Fuel Taxicab Incentive Program	\$250,000	\$250,000	\$79,964	\$79,964
SFMTA	Paratransit Sedans	\$300,000	\$270,000	\$270,000	\$270,000
SFMTA	Short Term Bicycle Parking	\$511,866	\$300,000	\$79,964	\$79,964
	Totals:	\$1,421,698	\$1,116,832		\$726,760

Total TFCA Funding Available for Projects: \$726,760

¹See Attachment 2 for acronyms and other notes.

²All projects are anticipated to be approved as part of Resolution 18-01 with the exception of the Bike Share Phase 4 Expansion project, which is proposed for approval as part of pending Resolution 18-XX.



Memorandum

Date: June 6, 2017; Revised June 20, 2017
To: Transportation Authority Board
From: Anna LaForte – Deputy Director for Policy and Programming
Subject: 06/13/17 Board Meeting: Approval of the Fiscal Year 2017/18 Transportation Fund for Clean Air Program of Projects

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <p>Approve the Fiscal Year 2017/18 Transportation Fund for Clean Air (TFCA) Program of Projects</p> <p>SUMMARY</p> <p>Program \$726,760 in TFCA County Program Manager funds for five projects:</p> <ul style="list-style-type: none"> • Emergency Ride Home (\$41,832 to San Francisco Environment) • Bike Share Phase 4 Expansion (\$255,000 to the SFMTA) • Alternative Fuel Taxicab Incentive Program (\$79,964 to the SFMTA) • Paratransit Sedans (\$270,000 to the SFMTA) • Short Term Bicycle Parking (\$79,964 to the SFMTA) <p>As the San Francisco TFCA County Program Manager, the Transportation Authority annually develops the Program of Projects for San Francisco’s share of TFCA funds. Projects come from a portion of a \$4 vehicle registration fee in the Bay Area and are used for projects that reduce motor vehicle emissions. With \$726,760 available for projects, we are recommending fully funding three requests (Bike Share Phase 4 Expansion, Emergency Ride Home, and Paratransit Sedans) and partially funding two requests (Short-Term Bike Parking and the Alternative Fuel Taxicab Incentive Program) as shown in Attachments 2 and 3.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Fund Allocation <input checked="" type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input type="checkbox"/> Contracts <input type="checkbox"/> Procurement <input type="checkbox"/> Other: <hr/>
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FOLLOW-UP

At its June 13, 2017 meeting, Chair Peskin asked if a condition could be added to the San Francisco Environment’s Emergency Ride Home program to require that the funds only be used for taxis within San Francisco or other non-Transportation Network Company (TNC) vehicles. The Board continued this item to allow time for staff to confirm with the Air District that this condition was acceptable. We have since confirmed with Air District staff that there is nothing in the current TFCA program policies or the overarching legislation that would prevent San Francisco from excluding TNCs from the Emergency Ride Home program. We request that the Board take action on this item at the June

[27 meeting to allow project sponsors to execute TFCA Funding Agreements and initiate projects in a timely manner.](#)

DISCUSSION

Background.

The Transportation Fund for Clean Air (TFCA) Program was established to fund the most cost-effective transportation projects that achieve emission reductions from motor vehicles in accordance with the Bay Area Air Quality Management District's (Air District) Clean Air Plan. Funds are generated from a \$4 surcharge on the vehicle registration fee collected by the Department of Motor Vehicles in San Francisco. 40% of the funds are distributed on a return-to-source basis to Program Managers for each of the nine counties in the Air District. The Transportation Authority is the designated County Program Manager for the City and County of San Francisco. The remaining 60% of the revenues, referred to as the TFCA Regional Fund, are distributed to applicants from the nine Bay Area counties via programs administered by the Air District.

On March 7, 2017 we issued the Fiscal Year (FY) 2017/18 TFCA San Francisco County Program Manager call for projects. We received five project applications by the April 28, 2017 deadline, requesting \$1,116,832 in TFCA funds compared to \$726,760 available.

Available Funds.

As shown in the table below, the amount of available funds is comprised of estimated FY 2017/18 TFCA revenues, interest income, and de-obligated funds from completed and canceled prior-year TFCA projects.

Estimated TFCA Funds Available for Projects FY 2017/18	
Estimated TFCA Revenues (FY 2017/18)	\$736,049
Interest Income	\$1,882
De-obligated Funds from Prior Cycles	\$34,832
Total Funds	\$772,763
6.25% Administrative Expense	(\$46,003)
Total Available for Projects	\$726,760

Unused funds from earlier projects were de-obligated and made available for the 2017/18 call for projects. These funds came from four projects that were completed under budget over the past year and one project that was cancelled without any expenses having been reimbursed. The cancelled project, the San Francisco Environment sponsored University of San Francisco (USF) Bike Chalet, could not move forward because the revised project cost estimate exceeded funds available. We will remain in contact with USF as they develop alternate bike parking concepts. After netting out 6.25% for Transportation Authority staff administrative expenses as allowed by the Air District, the estimated amount available to program to projects is \$726,760.

Prioritization Process.

We evaluated the TFCA project applications following the Board adopted prioritization process for developing the TFCA Program of Projects shown in Attachment 1. The first step involved screening

Agenda Item 4

projects to ensure eligibility according to the Air District's TFCA guidelines. One of the most important aspects of this screening was ensuring a project's cost effectiveness (CE) ratio was calculated correctly and was low enough to be eligible for consideration. The Air District's CE ratio, described in detail in Attachment 1, is designed to measure the cost effectiveness of a project in reducing air pollutant emissions and to encourage submittal of projects that leverage funds from non-TFCA sources. CE ratio limits vary by project type: for 2017/18 the limit for Ridesharing Projects, which encompasses transit and transportation demand management projects, is \$150,000 per ton of emissions reduced, the limit for the Bicycle Projects and Alternative Fuel Light-Duty Vehicles categories is \$250,000 per ton of emissions reduced and the limit for Bike Share projects is \$500,000 per ton of emissions reduced.

We performed our review of the CE ratio calculations in consultation with project sponsors and the Air District. The focus was to ensure that the forms were completed correctly, that values other than default values had adequate justification, and that assumptions were consistently applied across all project applications for a fair evaluation. Inevitably, as a result of our review, we had to adjust some of the submitted CE worksheets. In these cases, we worked with the project sponsor to determine the correct CE ratio and whether or not it exceeded the Air District's CE threshold.

We then prioritized projects that passed the eligibility screening using factors such as project type (e.g., first priority to zero emission projects), cost effectiveness, program diversity, project delivery (i.e., readiness), and other considerations (e.g., a sponsor's track record for delivering prior TFCA projects). Our prioritization process also considered carbon dioxide (CO₂) emissions reduced by each project. CO₂ emissions are estimated in the Air District's CE worksheets, but are not a factor in the CE calculations.

Staff Recommendation.

Attachment 2 shows the five candidate projects and other information including a brief project description, total project cost, and the amount of TFCA funds requested. We are recommending fully funding three of the five candidate projects and partially funding the other two. Three of the five projects recommended for funding are zero emissions non-vehicles projects, which is the top priority project type in the Transportation Authority's prioritization criteria.

We are recommending full funding for Bike Share Phase 4 Expansion, Emergency Ride Home and Paratransit Sedans. We are recommending partial funding for Short Term Bike Parking, which is scalable and the least cost effective application, and for Alternative Fuel Taxicab Incentive Program, which is also scalable, a lower priority project type, and because a recent rule change has increased the maximum age and mileage of taxis, resulting in a temporary decline in demand for new vehicles.

TFCA Policy Waiver Required: The Paratransit Sedans project application for \$270,000 from the San Francisco Municipal Transportation Agency (SFMTA) requires the Air District to waive certain TFCA policies so that the cost effectiveness of the project can reflect the air quality benefits of replacing existing medium-duty "cutaway" paratransit vehicles with light-duty hybrid vehicles. As written, the TFCA policies only provide for counting the emissions benefits of purchasing an alternative fuel vehicle in the same weight class as a gasoline vehicle that could hypothetically have been purchased instead, which would show a much smaller emissions reduction than the proposed project. We expect the Air District Board to decide whether to waive TFCA policy as requested sometime this fall. Should the Air District not grant the TFCA policy waiver, the SFMTA would not be able to move forward with the project. For this reason, we are recommending a contingency list to provide funds to fully fund Short Term Bike Parking and provide additional funds for the Alternative Fuel Taxicab Incentive Program, should the waiver not be granted.

Schedule for Funds Availability.

We expect to enter into a master funding agreement with the Air District by July 2017 after which we will issue grant agreements for the recommended FY 2017/18 TFCA funds. Pending timely review and execution of the grant agreements by the Air District and project sponsors, we expect funds to be available for expenditure beginning in August or September 2017.

FINANCIAL IMPACT

The estimated total budget for the recommended FY 2017/18 TFCA program is \$772,763. This includes \$726,760 for the five proposed projects and \$46,003 for administrative expenses. The latter is consistent with Air District rules, which allow the Transportation Authority to set aside up to 6.25% of each year's annual income to use for administrative expenses. Revenues and expenditures for the TFCA program are included in the proposed Transportation Authority's FY 2017/18 budget, which will be considered for adoption by the Transportation Authority Board in June 2017.

CAC POSITION

The CAC was briefed on this item at its May 24, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

Attachment 1 - FY 2017/18 TFCA Local Expenditure Criteria

Attachment 2 - FY 2017/18 TFCA Program of Projects – Detailed Staff Recommendation

Attachment 3 - FY 2017/18 TFCA Program of Projects – Summary of Staff Recommendation



Attachment 1

Fiscal Year 2017/18 Transportation Fund for Clean Air (TFCA)

LOCAL EXPENDITURE CRITERIA (Adopted 2/28/17)

The following are the Fiscal Year 2017/18 Local Expenditure Criteria for San Francisco's TFCA County Program Manager Funds.

ELIGIBILITY SCREENING

In order for projects to be considered for funding, they must meet the eligibility requirements established by the Air District's TFCA County Program Manager Fund Policies for Fiscal Year 2017/18. Consistent with the policies, a key factor in determining eligibility is a project's cost effectiveness (CE) ratio. The TFCA CE ratio is designed to measure the cost effectiveness of a project in reducing motor vehicle air pollutant emissions and to encourage projects that contribute funding from non-TFCA sources. TFCA funds budgeted for the project are divided by the project's estimated emissions reduction. The estimated reduction is the weighted sum of reactive organic gases (ROG), oxides of nitrogen (NOx), and particulate matter (PM) emissions that will be reduced over the effective life of the project, as defined by the Air District's guidelines.

TFCA CE is calculated by inputting information provided by the applicant into the Air District's CE worksheets. Transportation Authority staff will be available to assist project sponsors with these calculations, and will work with Air District staff and the project sponsors as needed to verify reasonableness of input variables. The worksheets also calculate reductions in carbon dioxide (CO₂) emissions, which are not included in the Air District's official CE calculations, but which the Transportation Authority considers in its project prioritization process.

Consistent with the Air District's Guidelines, in order to be eligible for Fiscal Year 2017/18 TFCA funds, a project must meet the CE ratio for emissions (i.e., ROG, NOx, and PM) reductions as specified in the guidelines for each project type. Projects that do not meet the appropriate CE threshold cannot be considered for funding.

PROJECT PRIORITIZATION

Candidate projects that meet the cost effectiveness thresholds will be prioritized for funding based on the two-step process described below:

Step 1 - TFCA funds are programmed to eligible projects, as prioritized using the Transportation Authority Board-adopted Local Priorities (see next page).

Step 2 - If there are TFCA funds left unprogrammed after Step 1, the Transportation Authority will work with project sponsors to develop additional TFCA candidate projects. This may include refinement of projects that were submitted for Step 1, but were not deemed eligible, as well as new projects. This approach is in response to an Air District policy that does not allow County Program Managers to rollover any unprogrammed funds to the next year's funding cycle. If Fiscal Year 2017/18 funds are not programmed by November 2017, funds can be redirected (potentially to non-San Francisco projects) at the Air District's discretion. New candidate projects must meet all of the TFCA

eligibility requirements, and will be prioritized based on the Transportation Authority Board's adopted Local Priorities.

Local Priorities

The Transportation Authority's Local Priorities for prioritizing TFCA funds include the following factors:

Project Type – In order of priority:

- 1) Zero emissions non-vehicle projects including, but not limited to, bicycle and pedestrian facility improvements, transit priority projects, traffic calming projects, and transportation demand management projects;
- 2) Shuttle services that reduce vehicle miles traveled (VMT);
- 3) Alternative fuel vehicles and alternative fuel infrastructure; and
- 4) Any other eligible project.

Emissions Reduced and Cost Effectiveness – Priority will be given to projects that achieve high CE (i.e. a low cost per ton of emissions reduced) compared to other applicant projects. The Air District's CE worksheet predicts the amount of reductions each project will achieve in ROG, NO_x, PM, and CO₂ emissions. However, the Air District's calculation only includes the reductions in ROG, NO_x, and PM per TFCA dollar spent on the project. The Transportation Authority will also give priority to projects that achieve high CE for CO₂ emission reductions based on data available from the Air District's CE worksheets. The reduction of transportation-related CO₂ emissions is consistent with the City and County of San Francisco's 2013 *Climate Action Strategy*.

Project Delivery – Priority will be given to projects that are ready to proceed and have a realistic implementation schedule, budget, and funding package. Projects that cannot realistically commence in calendar year 2018 or earlier (e.g. to order or accept delivery of vehicles or equipment, begin delivery of service, award a construction contract, start the first TFCA-funded phase of the project) and be completed within a two-year period will have lower priority. Project sponsors may be advised to resubmit these projects for a future TFCA programming cycle.

Program Diversity – Promotion of innovative TFCA projects in San Francisco has resulted in increased visibility for the program and offered a good testing ground for new approaches to reducing motor vehicle emissions. Using the project type criteria established above, the Transportation Authority will continue to develop an annual program that contains a diversity of project types and approaches and serves multiple constituencies. The Transportation Authority believes that this diversity contributes significantly to public acceptance of and support for the TFCA program.

Other Considerations – Projects that are ranked high in accordance with the above local expenditure criteria may be lowered in priority or restricted from receiving TFCA funds if either of the following conditions applies or has applied during Fiscal Years 2015/16 or 2016/17:

- **Monitoring and Reporting** – Project sponsor has failed to fulfill monitoring and reporting requirements for any previously funded TFCA project.
- **Implementation of Prior Project(s)** – Project sponsor has a signed Funding Agreement for a TFCA project that has not shown sufficient progress; the project sponsor has not implemented the project by the project completion date without formally receiving a time extension from the Transportation Authority; or the project sponsor has violated the terms of the funding agreement.

RESOLUTION APPROVING \$255,000 IN FISCAL YEAR 2017/18 TRANSPORTATION FUND FOR CLEAN AIR FUNDS FOR THE SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY'S (SFMTA'S) BIKE SHARE PHASE 4 EXPANSION PROJECT AND AUTHORIZING THE EXECUTIVE DIRECTOR TO ENTER INTO AN AGREEMENT WITH THE SFMTA, ESTABLISHING CONDITIONS FOR THE USE OF THESE FUNDS

WHEREAS, On March 7, 2017, the Transportation Authority solicited applications for projects from eligible project sponsors for Fiscal Year (FY) 2017/18 Transportation Fund for Clean Air Funds (TFCA) funds, and by April 28, 2017, received five applications requesting a total of \$1,116,832 in TFCA funds; and

WHEREAS, Transportation Authority staff, working in consultation with project sponsors, reviewed and prioritized the applications for funding based on Air District TFCA guidelines and the Transportation Authority's adopted Local Expenditure Criteria (Resolution 17-28); and

WHEREAS, The Transportation Authority's adopted Local Expenditure Criteria include review of eligibility per the Air District's guidelines, calculation of the cost effectiveness ratio for each project, and other factors; and

WHEREAS, Transportation Authority staff recommended fully funding three projects and partially funding two projects as shown in Attachments 1 and 2; and

WHEREAS, At its May 24, 2017 meeting, the Citizens Advisory Committee was briefed on San Francisco's FY 2017/18 TFCA Program of Programs and unanimously adopted a motion of support for the staff recommendation; and

WHEREAS, At its June 27, 2017 meeting, the Board severed the San Francisco Municipal Transportation Agency's (SFMTA's) request for \$255,000 for the Bike Share Phase 4 Expansion



project to be considered separately; now, therefore, be it

RESOLVED, That the Transportation Authority hereby approves \$255,000 in FY 2017/18 TFCA funds for the SFMTA's Bike Share Phase 4 Expansion project as shown in Attachments 1 and 2; and be it further

RESOLVED, That the Executive Director is authorized to execute a funding agreement with the SFMTA to pass-through these funds for implementation of this project, establishing such terms and conditions governing cash drawdowns, financial and program audits, and reporting as necessary to comply with the requirements imposed by the Air District for the use of the funds and as required by the Transportation Authority in order to optimize the use of these of fund.

Attachments (2):

1. FY 2017/18 TFCA Program of Projects – Detailed Recommendation
2. FY 2017/18 TFCA Program of Projects – Summary Recommendation

Attachment 1
San Francisco County Transportation Authority
Draft Fiscal Year 2017/18 TFCA Program of Projects – Detailed Staff Recommendation⁵

PROJECTS RECOMMENDED FOR TFCA FUNDS [sorted by cost-effectiveness (CE) ratio]										
No.	Sponsor ¹	Project Description	District	Project Type ²	Prop K Eligible	CE Ratio ³	CO ₂ Tons Reduced ⁴	Total Project Cost	TFCA Amount Requested	TFCA Amount Proposed
1	SFE	Emergency Ride Home - Provides a free or low cost ride home in cases of emergency for employees who use alternative modes to get to work. The ride comes in the form of taxi, carshare or rental car reimbursement to employees of businesses participating in the program when a supervisor-approved unscheduled overtime or an emergency situation occurs. This program provides one year of funding for processing employer registrations and reimbursements.	Citywide	1	Yes	\$13,604	1656.4	\$41,832	\$41,832	\$ 41,832
2	SFMTA	Bike Share Phase 4 Expansion⁵ - The SFMTA will review station sites and designs, legislate curb and parking changes if needed, and issue bike share station and special traffic permits for an additional 96 stations/1,350 bikes in San Francisco as part of the Ford GoBike.	1, 2, 4, 5, 7, 11	1	Yes	\$36,202	3708.1	\$318,000	\$255,000	\$ 255,000
3	SFMTA	Alternative Fuel Taxicab Incentive Program - This project is an Alternative Fuel Rebate/Incentive Program for new vehicles. Under this program, taxicab companies will have the opportunity to purchase new alternative fuel vehicles (hybrid, CNG, or electric) and will be able to submit proof of purchase materials to receive a rebate of up to \$3,900. Our recommendation is to partially fund this request. A recent rule change has increased the maximum allowed age and mileage of taxis, resulting in a temporary decrease in demand for new vehicles. The SFMTA has an existing TFCA grant for this program that it is spending down more slowly than anticipated.	Citywide	3	No	\$66,539	973,16188	\$250,000	\$250,000	\$ 79,964
4	SFMTA	Paratransit Sedans - Replace ten (10) aging SF Paratransit diesel and gasoline cutaway vehicles (22' vans) with hybrid sedans. SFMTA's paratransit fleet is currently 100% the larger, wheelchair accessible vehicles; however, approximately 70% of SF Access riders are ambulatory riders who do not require a wheelchair lift, and may actually be more comfortable riding in a sedan. Requires TFCA Policy Waiver - Funding this project requires a waiver from the Bay Area Air Quality Management District to allow the cost-effectiveness ratio to reflect the emissions reductions of replacing the actual, existing cutaway vans, rather than hypothetical gasoline vehicles in the same weight class as the proposed hybrid sedans. A decision on the waiver is expected in Fall 2017.	Citywide	3	Yes	\$108,400	347.3	\$300,000	\$270,000	\$ 270,000
5	SFMTA	Short Term Bicycle Parking - Bicycle parking spaces provide end-of-trip facilities for new bicycle trips thereby replacing vehicle trips and reducing motor vehicle emissions. This project would plan, design, and install 600 previously purchased bicycle parking racks in San Francisco, providing an additional 1200 bicycle parking spaces. Our recommendation is to partially fund this project due to the limited funds available. This would result in 160 racks or 320 parking spaces being installed.	Citywide	1	Yes	\$249,053	130.0	\$511,866	\$300,000	\$ 79,964

TOTAL \$1,421,698 \$1,116,832 \$726,760
 Total TFCA Funding Available for Projects: \$726,760
 Surplus/(Shortfall) \$ -

No.	Sponsor ¹	Project Description	District	Project Type ²	Prop K Eligible	CE Ratio ³	CO ₂ Tons Reduced ⁴	Total Project Cost	TFCA Amount Requested	TFCA Amount Proposed
1	SFMTA	Short Term Bicycle Parking (Additional Funds) - Fully fund the Short Term Bicycle Parking request (see above). Additional funds would fund the installation of an additional 440 racks, for a grand total of 600 racks/1200 parking spaces.	Citywide	1	Yes	\$249,053	357.6	See above.	See above.	\$ 220,036
2	SFMTA	Alternative Fuel Taxicab Incentive Program (Additional Funds) - Provide additional funds (for a total of up to \$130,000 of the \$300,000 requested) for the Alternative Fuel Rebate/Incentive Program (see above).	Citywide	3	No	\$66,539	608.1	See above.	See above.	\$ 49,964
Total:										\$ 270,000

TABLE B. PROJECTS RECOMMENDED FOR TFCA FUNDS CONTINGENT ON AVAILABILITY OF ADDITIONAL FUNDS

Funding for these projects is contingent upon the Air District rejecting the requested TFCA policy waiver for the Paratransit Sedans project, which would then not be funded.

¹ Sponsor acronyms include Department of the Environment (SFE) and San Francisco Municipal Transportation Agency (SFMTA).

² Priority based on project type is established in the Local Expenditure Criteria, with zero-emissions non-vehicle projects as the highest priority, followed by shuttle services, followed in turn by alternative fuel vehicle projects, and finally any other eligible project.

³ The TFCA cost effectiveness ratio (CE) is designed to measure the cost effectiveness of a project in reducing motor vehicle air pollutant emissions and to encourage projects that contribute funding from non-TFCA sources. CE ratio limits vary by project type: for FY 2017/18, the limit for Ridesharing Projects, which encompasses transit and transportation demand management projects, including Emergency Ride Home, is \$150,000 per ton of emissions reduced, the limit for the Bicycle Projects and Alternative Fuel Light-Duty Vehicles categories is \$250,000 per ton of emissions reduced and the limit for Bike Share projects is \$500,000 per ton of emissions reduced.

⁴ CO₂ Reduction is based on tons of carbon dioxide reduced over the lifetime of the project. This figure is calculated in the cost effectiveness worksheet.

⁵ All projects are anticipated to be approved as part of Resolution 18-01 with the exception of the Bike Share Phase 4 Expansion project, which is proposed for approval as part of pending Resolution 18-XX.

Attachment 2

San Francisco County Transportation Authority
 Fiscal Year 2017/18 Transportation Fund for Clean Air County Program Manager Fund
 Summary of Draft Recommendations²

RECOMMENDED PROJECTS (sorted by cost-effectiveness (CE) ratio)				
Sponsor ¹	Project	Total Project Cost	TFCA Requested	TFCA Recommended
SFE	Emergency Ride Home	\$41,832	\$41,832	\$41,832
SFMTA	Bike Share Phase 4 Expansion ²	\$318,000	\$255,000	\$255,000
SFMTA	Alternative Fuel Taxicab Incentive Program	\$250,000	\$250,000	\$79,964
SFMTA	Paratransit Sedans	\$300,000	\$270,000	\$270,000
SFMTA	Short Term Bicycle Parking	\$511,866	\$300,000	\$79,964
	Totals:	\$1,421,698	\$1,116,832	\$726,760

Total TFCA Funding Available for Projects: \$726,760

¹See Attachment 2 for acronyms and other notes.

²All projects are anticipated to be approved as part of Resolution 18-01 with the exception of the Bike Share Phase 4 Expansion project, which is proposed for approval as part of pending Resolution 18-XX.



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RESOLUTION APPOINTING TWO MEMBERS TO THE CITIZENS ADVISORY
COMMITTEE OF THE SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY

WHEREAS, Section 131265(d) of the California Public Utilities Code, as implemented by Section 5.2(a) of the Administrative Code of the San Francisco County Transportation Authority, requires the appointment of a Citizens Advisory Committee (CAC) consisting of eleven members; and

WHEREAS, There are two open seats on the CAC resulting from two members' term expirations; and

WHEREAS, At its July 11, 2017 meeting, the Board will review and consider all applicants' qualifications and experience and will consider appointing two members to serve on the CAC for a period of two years, with final approval to be considered at the July 25, 2017 Board meeting; now therefore, be it

RESOLVED, That the Board hereby appoints two members to serve on the CAC of the San Francisco County Transportation Authority for a two-year term; and be it further

RESOLVED, That the Executive Director is authorized to communicate this information to all interested parties.



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Maria Lombardo – Chief Deputy Director
Subject: 07/11/17 Board Meeting: Appointment of Two Members to the Citizens Advisory Committee

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <p>Neither staff nor CAC members make recommendations regarding CAC appointments.</p> <p>SUMMARY</p> <p>There are two open seats on the CAC requiring Board action. The openings are the result of the term expirations of Jackie Sachs (District 2 resident) and Peter Sachs (District 4 resident), both of whom are seeking reappointment. There are currently 24 applicants, in addition to Ms. Sachs and Mr. Sachs, to consider for the existing open seats. The Board may choose to make appointments for one or both of the open seats at the meeting.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Fund Allocation <input type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input type="checkbox"/> Contract/Agreement <input type="checkbox"/> Procurement <input checked="" type="checkbox"/> Other: CAC Appointments
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DISCUSSION

Background.

The Transportation Authority has an eleven-member CAC and members serve two-year terms. Per the Transportation Authority’s Administrative Code, the Board appoints individuals to fill open CAC seats. Neither staff nor the CAC make recommendations on CAC appointments, but we maintain a database of applications for CAC membership. Attachment 1 is a tabular summary of the current CAC composition, showing ethnicity, gender, neighborhood of residence, and affiliation. Attachment 2 provides similar information on current applicants.

Procedures.

The selection of each member is approved at-large by the Board, however traditionally the Commissioner of the supervisorial district with an open seat has recommended the candidate for appointment. Per Section 5.2(a) of the Administrative Code, the CAC:

“...shall include representatives from various segments of the community, such as public policy organizations, labor, business, senior citizens, the disabled, environmentalists, and the neighborhoods; and reflect broad transportation interests.”

An applicant must be a San Francisco resident to be considered eligible for appointment. Applicants are asked to provide residential location and areas of interest but provide ethnicity and gender

Agenda Item 6

information on a voluntary basis. CAC applications are distributed and accepted on a continuous basis. CAC applications were solicited through the Transportation Authority's website, Commissioners' offices, and email blasts to community-based organizations, advocacy groups, business organizations, as well as at public meetings attended by Transportation Authority staff or hosted by the Transportation Authority. Applications can be submitted through the Transportation Authority's website at www.sfcta.org/cac.

All applicants have been advised that they need to appear in person before the Board in order to be appointed, unless they have previously appeared. If a candidate is unable to appear before the Board on the first appearance, they may appear at the following Board meeting in order to be eligible for appointment. An asterisk following the candidate's name in Attachment 2 indicates that the applicant has not previously appeared before the Committee.

FINANCIAL IMPACT

The requested action would not have an impact on the adopted Fiscal Year 2017/18 budget.

CAC POSITION

None. The CAC does not make recommendations on the appointment of CAC members.

SUPPLEMENTAL MATERIALS

Attachment 1 – Matrix of CAC Members
Attachment 2 – Matrix of CAC Applicants
Enclosure 1 – CAC Applications

Attachment 1
CITIZENS ADVISORY COMMITTEE ¹

Name	Gender	Ethnicity	District	Neighborhood	Affiliation	First Appointed	Term Expiration
Jacqueline Sachs	F	C	2	Western Addition	Disabled, Neighborhood	Jun 97	Jul 17
Peter Sachs, Vice Chair	M	NP	4	Outer Sunset	Environmental, Labor, Public Policy	Jul 15	Jul 17
Becky Hogue	F	C	6	Treasure Island	Disabled, Neighborhood	Dec 15	Dec 17
Peter Tannen	M	C	8	Inner Mission	Environmental, Neighborhood, Public Policy	Feb 08	Feb 18
John Larson	M	NP	7	Miraloma Park	Environment, Neighborhood, Public Policy	Mar 14	Mar 18
Bradley Wiedmaier	M	C	3	Lower Nob Hill	Disabled, Labor, Senior Citizen	Apr 16	Apr 18
Brian Larkin	M	NP	1	Richmond	Neighborhood	May 04	Jul 18
Santiago Lerma	M	H	9	Mission	Business, Environmental, Labor, Neighborhood, Public Policy	Dec 14	Sep 18
Shannon Wells-Mongiovi	F	NP	11	Excelsior	Environment, Neighborhood, Public Policy	Sep 16	Sep 18
Chris Waddling, Chair	M	NP	10	Silver Terrace	Neighborhood	Dec 12	Dec 18
Myla Ablog	F	Filipina	5	Japantown/Western Addition	Disabled, Environmental, Neighborhood, Public Policy, Senior Citizen	Sep 13	Mar 19

A – Asian

AA – African American

AI – American Indian or Alaska Native

C – Caucasian

H/L – Hispanic or Latino

NH – Native Hawaiian or Other Pacific Islander

NP – Not Provided (Voluntary Information)

¹ Shading denotes open seats on the CAC.

Attachment 2 (Updated 07.05.17)

APPLICANTS

Name	Gender	Ethnicity	District	Neighborhood	Affiliation/Interest
1 Charles Baird*	M	NP	6	South of Market	Business, Disabled, Environment, Labor, Neighborhood, Public Policy, Senior Citizen
2 Margaret Bonner*	F	C	5	West NOPA	Business, Disabled, Environment, Labor, Neighborhood, Public Policy, Senior Citizen
3 Michael Buzinover*	M	C	6	Alamo Square	Business, Environment, Labor, Public Policy
4 Virginia Calkins*	F	C	6	South of Market	Business, Environment, Neighborhood, Public Policy
5 William Frymann*	M	C	8	Castro/Eureka Valley	Environment, Neighborhood, Public Policy
6 Fabian Gallardo*	M	H/L	7	Lakeside	Business, Disabled, Environment, Labor, Neighborhood, Public Policy, Senior Citizen
7 Beth Hoffman	NP	C	11	Mission Terrace	Environment, Labor, Neighborhood, Public Policy, Senior Citizen
8 Doreen Horstin	F	NP	6	South of Market	Environment, Labor, Neighborhood, Public Policy
9 Adam Hugo-Holman	M	C	11	Excelsior	Business, Environment, Neighborhood, Public Policy
10 Johnny Jaramillo*	M	AI	2	Pacific Heights / Van Ness Corridor	Business, Environment, Labor, Neighborhood, Public Policy
11 Daniel Kassabian	M	NP	2	Russian Hill	Neighborhood
12 Ronald Konopaski*	M	NP	1	Richmond	Business, Disabled, Environment, Neighborhood, Senior Citizen
13 Joseph Lake	M	C	6	South of Market	Environment, Labor, Neighborhood, Public Policy
14 Marlo McGriff	M	AA	8	Mission-Dolores	Business, Disabled, Environment, Neighborhood, Public Policy, Senior Citizen
15 Nathan Nayman*	M	C	7	Balboa Terrace / West Portal	NP
16 Ifeyinwa Nzerem*	F	AA	10	Bayview/Silver Terrace	Disabled, Environment, Neighborhood, Senior Citizen

Name	Gender	Ethnicity	District	Neighborhood	Affiliation/Interest
17 James Pierre Louis*	M	AA	3	Financial District / Embarcadero	Environment, Neighborhood
18 Steven Riess*	M	C	6	South Beach	Business, Disabled, Environment, Neighborhood, Senior Citizen
19 Jacqueline Sachs	F	C	2	Western Addition	Disabled, Neighborhood
20 Peter Sachs	M	NP	4	Outer Sunset	Environmental, Labor, Public Policy
21 Matthew Stevens	M	NP	11	Excelsior	Business, Disabled, Environment, Labor, Neighborhood, Public Policy, Senior Citizen
22 Jayeson Vance*	M	C	11	Oceanview	Environment, Labor, Neighborhood, Public Policy, Senior Citizen
23 Rudyard Vance*	M	AA	7	Ingleside Terrace	Business, Environment, Neighborhood, Senior Citizen
24 Ladonna Williams*	F	C	11	Ingleside Heights	Business, Neighborhood, Public Policy
25 Rachel Zack*	F	C	3	Union Square / Nob Hill	Environment, Labor, Neighborhood, Public Policy
26 David Zebker*	NP	NP	6	Tenderloin	Environment

A – Asian

AA – African American

AI – American Indian or Alaska Native

C – Caucasian

H/L – Hispanic or Latino

NH – Native Hawaiian or Other Pacific Islander

NP – Not Provided (Voluntary Information)

*Applicant has not appeared before the Board.

San Francisco County Transportation Authority
July 2017

State Legislation – Proposed New Positions and Updates on Activity This Session

To view documents associated with the bill, click the bill number link.

Staff is not recommending any new support or oppose positions. **Table 1** includes two new bills to watch. The Board does not need to take an action to add bills to watch. **Table 2** provides updates on Senate Bill (SB) 595 which we have been tracking this session and **Table 3** indicates the status of bills on which the Board has already taken a position this session.

Table 1. Recommendation for New Positions and Select New Bills to Watch

Recommended Positions	Bill # Author	Bill Title and Description
Watch	AB 1184 Ting D	<p>Vehicular air pollution: electric vehicles: incentives.</p> <p>This bill would establish the California Electric Vehicle Initiative to provide incentives to achieve a statewide deployment of 1.5 million electric vehicles by 2025. The bill directs state agencies to establish a portfolio of funding resources for the initiative (up to \$3 billion) and continuously appropriates \$500 million annually in cap and trade as the first step toward meeting the funding commitment. We support incentives for EV adoption, but want to better understand the overall funding picture. In particular, we want to ensure the cap and trade support will come from the 40% unspecified portion of cap and trade funding and not the 60% dedicated set-aside, which supports other important transportation projects such as local transit operations, affordable housing, and high speed rail.</p>
	SB 797 Hill D	<p>Peninsula Corridor Joint Powers Board: transactions and use tax.</p> <p>This bill would authorize a 1/8-cent sales tax to be placed on the ballots in San Francisco, Sacramento, and Santa Clara Counties for Caltrain operating and/or capital expenses. Currently, Caltrain has no dedicated funding source, which hampers near- and longer-term planning and development of the system. However, with Regional Measure 3 (potential Bay Area bridge toll increase, see Table 2) likely moving forward to a 2018 ballot, and two potential local measures under discussion in San Mateo and San Francisco counties, we will need to consider this carefully through our Transportation 2045 local process. Furthermore, a discussion about any policy changes Caltrain should seek as part of the revenue measure may take additional time. We will continue to work with our regional partners on this measure.</p>

**San Francisco County Transportation Authority
July 2017**

Table 2. Select Updates on Tracked Bills

Current Position	Bill # Author	Bill Title and Description	Update
Support	SB 595 Beall D	<p>Metropolitan Transportation Commission (MTC): toll bridge revenues.</p> <p>If approved, this bill would require the nine Bay Area counties to conduct a special election on a proposed increase in the toll rate on the seven state-owned toll bridges, to be known as Regional Measure 3 (RM3) in an amount TBD to finance TBD projects and programs to improve mobility and enhance travel options on the bridges and bridge corridors.</p>	<p>We are working with our state delegation, MTC Commissioners and staff, the San Francisco Municipal Transportation Agency and other city partners to advance San Francisco's priorities. The Bay Area Caucus has been working on a draft framework for RM3, developed by MTC and discussed at MTC's Legislation Committee in June.</p> <p>At the MTC Commission meeting on June 28th, RM3 was again discussed at length, particularly focusing on process and on affordable housing. The MTC Commission has asked to discuss RM3 at their next meeting as a potential action item, including a discussion of how affordable housing can be included either through funding or through policy in the bill.</p> <p>The ultimate decision-making will be left to the state legislature. We expect to see revisions to SB 595 in print by July 5th, which will likely include placeholders for projects and programs, as well as details on the toll amount and oversight provisions. The full project and program list is still being developed. SB 595 will be heard by the Assembly Transportation Committee on July 10.</p> <p>If the bill is approved, we still expect that RM3 would be put on the ballot in June or November of 2018.</p>

**San Francisco County Transportation Authority
July 2017**

Table 3. Bill Status for Active Positions Taken This Session

Adopted Positions	Bill # Author	Bill Title	Bill Status (as of 7/2/17)
Support	AB 1 Frazier D	Transportation Funding.	Assembly Two-Year
	AB 17 Holden D	Transit Pass Program: free or reduced-fare transit passes.	Senate Transportation and Housing
	AB 28 Frazier D	Department of Transportation: environmental review process: federal pilot program.	Chaptered
	AB 87 Ting D	Autonomous vehicles.	Assembly Two-Year
	AB 342 Chiu D	Vehicles: automated speed enforcement: five-year pilot program.	Assembly Two-Year
	SB 1 Beall D	Transportation Funding.	Chaptered
	SB 422 Wilk R	Transportation projects: comprehensive development lease agreements: Public Private Partnerships.	Senate Two-Year
	SB 595 Beall D	Metropolitan Transportation Commission: toll bridge revenues.	Assembly Transportation
	SB 768 Allen , Wiener D	Transportation projects: comprehensive development lease agreements: Public Private Partnerships.	Senate Two-Year
Oppose Unless Amended	AB 1625 Rubio D	Inoperable parking meters.	Senate Transportation and Housing
Oppose	AB 65 Patterson R	Transportation bond debt service.	Assembly Two-Year
	SB 182 Bradford D	Transportation network company: participating drivers: single business license.	Assembly Privacy and Consumer Protections
	SB 423 Cannella R	Indemnity: design professionals.	Senate Two-Year
	SB 493 Hill D	Vehicles: right-turn violations.	Assembly Appropriations



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RESOLUTION ALLOCATING \$5,440,926 IN PROP K SALES TAX FUNDS FOR TWO REQUESTS, WITH CONDITIONS, AND APPROPRIATING \$100,000 IN PROP K FUNDS FOR ONE REQUEST

WHEREAS, The Transportation Authority received three Prop K requests totaling \$5,440,926, as summarized in Attachments 1 and 2 and detailed in the attached allocation request forms; and

WHEREAS, The requests seek funds from the Signals and Signs, Traffic Calming and Transportation/Land use Coordination categories of the Prop K Expenditure Plan; and

WHEREAS, As required by the voter-approved Expenditure Plan, the Transportation Authority Board has adopted a Prop K 5-Year Prioritization Program (5YPP) for all of the aforementioned Expenditure Plan programmatic categories; and

WHEREAS, The San Francisco Municipal Transportation Agency's requests for Traffic Signal Upgrade Contract 34 and Golden Gate Park Traffic Safety require 5YPP amendments as detailed in the attached allocation request forms; and

WHEREAS, After reviewing the requests, Transportation Authority staff recommended allocating a total of \$5,440,926 in Prop K funds for two requests and appropriating \$100,000 in Prop K funds for one request, as described in Attachment 3 and detailed in the attached allocation request forms, which include staff recommendations for Prop K allocation and appropriation amounts, required deliverables, timely use of funds requirements, special conditions, and Fiscal Year Cash Flow Distribution Schedules; and

WHEREAS, There are sufficient funds in the Capital Expenditures line item of the Transportation Authority's adopted Fiscal Year 2017/18 budget to cover the proposed actions; and



WHEREAS, At its June 28, 2017 meeting, the Citizens Advisory Committee was briefed on the subject request and unanimously adopted a motion of support for the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby amends the Prop K Signals and Signs and Traffic Calming 5YPPs, as detailed in the attached allocation request forms; and be it further

RESOLVED, That the Transportation Authority hereby allocates \$5,440,926 in Prop K funds for two requests, with conditions, and appropriates \$100,000 in Prop K funds for one request, as summarized in Attachment 3 and detailed in the attached allocation request forms; and be it further

RESOLVED, That the Transportation Authority finds the allocation of these funds to be in conformance with the priorities, policies, funding levels, and prioritization methodologies established in the Prop K Expenditure Plan, the Prop K Strategic Plan and the relevant 5YPPs; and be it further

RESOLVED, That the Transportation Authority hereby authorizes the actual expenditure (cash reimbursement) of funds for these activities to take place subject to the Fiscal Year Cash Flow Distribution Schedules detailed in the attached allocation request forms; and be it further

RESOLVED, That the Capital Expenditures line item for subsequent fiscal year annual budgets shall reflect the maximum reimbursement schedule amounts adopted and the Transportation Authority does not guarantee reimbursement levels higher than those adopted; and be it further

RESOLVED, That as a condition of this authorization for expenditure, the Executive Director shall impose such terms and conditions as are necessary for the project sponsor to comply

with applicable law and adopted Transportation Authority policies and execute Standard Grant Agreements to that effect; and be it further

RESOLVED, That as a condition of this authorization for expenditure, the project sponsor shall provide the Transportation Authority with any other information it may request regarding the use of the funds hereby authorized; and be it further

RESOLVED, That the Capital Improvement Program of the Congestion Management Program, the Prop K Strategic Plan and the relevant 5YPPs are hereby amended, as appropriate.

Attachments (5):

1. Summary of Applications Received
2. Project Descriptions
3. Staff Recommendations
4. Prop K Allocation Summary – FY 2017/18
5. Prop K/AA Allocation Request Forms (3)

Attachment 1: Summary of Applications Received

Source	EP Line No./Category ¹	Project Sponsor ²	Project Name	Current Prop K Request	Current Prop AA Request	Total Cost for Requested Phase(s)	Leveraging			District(s)	
							Expected Leveraging by EP Line ³	Actual Leveraging by Project Phase(s) ⁴	Phase(s) Requested		
Prop K	33, 38	SEMTA	Traffic Signal Upgrade Contract 34	\$ 4,860,000		\$ 4,886,000	41%	1%	Construction	1-3, 5-11	
Prop K	38	SEMTA	Golden Gate Park Traffic Safety	\$ 580,926		\$ 580,926	51%	0%	Design, Construction	1, 4, 5	
Prop K	44	SFCTA	District 10 Mobility Management Study [NTIP Planning]	\$ 100,000		\$ 100,000	40%	0%	Planning	10	
TOTAL							\$ 5,540,926	\$ -	\$ 5,566,926	42%	0%

Footnotes

1 "EP Line No./Category" is either the Prop K Expenditure Plan line number referenced in the 2014 Prop K Strategic Plan or the Prop AA Expenditure Plan category referenced in the 2012 Prop AA Strategic Plan, including: Street Repair and Reconstruction (Street), Pedestrian Safety (Ped), and Transit Reliability and Mobility Improvements (Transit).

2 Acronyms: SFCTA (San Francisco County Transportation Authority); SFMTA (San Francisco Municipal Transportation Agency).

3 "Expected Leveraging By EP Line" is calculated by dividing the total non-Prop K funds expected to be available for a given Prop K Expenditure Plan line item (e.g. Pedestrian Circulation and Safety) by the total expected funding for that Prop K Expenditure Plan line item over the 30-year Expenditure Plan period. For example, expected leveraging of 90% indicates that on average non-Prop K funds should cover 90% of the total costs for all projects in that category, and Prop K should cover only 10%.

4 "Actual Leveraging by Project Phase" is calculated by dividing the total non-Prop K or non-Prop AA funds in the funding plan by the total cost for the requested phase or phases. If the percentage in the "Actual Leveraging" column is lower than in the "Expected Leveraging" column, the request (indicated by yellow highlighting) is leveraging fewer non-Prop K dollars than assumed in the Expenditure Plan. A project that is well leveraged overall may have lower-than-expected leveraging for an individual or partial phase.

Attachment 2: Brief Project Descriptions¹

EP Line No./ Category	Project Sponsor	Project Name	Prop K Funds Requested	Prop AA Funds Requested	Project Description
33, 38	SFMTA	Traffic Signal Upgrade Contract 34	\$4,860,000		Prop K funds are requested for construction of traffic signal-related upgrades at 14 locations across the city, including nine intersections on the Vision Zero High Injury Network. Upgrades include new controllers, poles, mast arms, larger signal heads, pedestrian countdown indicators, curb ramps, accessible pedestrian signals and left turn phasing at certain locations. See Attachment 5, page 5 of the subject allocation request form for the list of upgrades planned for each location. The SFMTA expects to complete this project by March 2019.
38	SFMTA	Golden Gate Park Traffic Safety	\$580,926		Requested funds will fund the design and construction of traffic calming devices and minor traffic modifications throughout Golden Gate Park, as specified in the 2016 Mayor's Executive Directive on bicycle and pedestrian safety. Improvements include speed humps, speed tables, raised crosswalks, a one-way conversion on 30th Avenue, and corridor striping improvements on JFK Drive. See Attachment 5, pages 11-12 of the subject allocation request form for maps of the improvements. The SFMTA expects all devices and modifications to be open for use by March 2018.
44	SFCTA	District 10 Mobility Management Study [NTIP Planning]	\$100,000		Commissioner Cohen requested this District 10 Neighborhood Transportation Improvement Program (NTIP) Planning study to identify strategies to improve transit services, maintain access, and mitigate congestion impacts, including those on climate and the environment, of anticipated new development in District 10. Tasks include: defining the study area, purpose and need for actions beyond approved/pending development mitigation measures; designing mobility management scenario components; conducting outreach; and evaluation of the benefits and impacts of the scenario. The study is expected to be complete by December 2018.
TOTAL			\$5,540,926	\$	-

¹ See Attachment 1 for footnotes.

Attachment 3: Staff Recommendations¹

EP Line No./ Category	Project Sponsor	Project Name	Prop K Funds Recommended	Prop AA Funds Recommended	Recommendations
33, 38	SFMTA	Traffic Signal Upgrade Contract 34	\$ 4,860,000		5-Year Prioritization Program (5YPP) Amendments: Recommendation is contingent upon concurrent amendments to the Signals and Signs and Traffic Calming 5YPPs to re-program funds deobligated from projects completed under budget (\$872,187). The Signals and Signs 5YPP amendment would also re-program design funds from the South Van Ness Signal Upgrade (12) and Gough Corridor Signal Upgrade (14) projects (\$206,371) which have advanced to construction using non-Prop K funding sources. The recommended Traffic Calming 5YPP amendment would re-program design funds for the 8th Street Streetscape project (\$481,442) which is fully funded with impact fees from the Eastern Neighborhoods area plan and Prop A General Obligation bond funds. See attached 5YPP amendments for details.
38	SFMTA	Golden Gate Park Traffic Safety	\$ 580,926		Multi-phase Allocation: We are recommending a multi-phase allocation given the overlap in the design and construction phases and the short duration of the project. 5YPP Amendment: Recommendation is contingent on a concurrent amendment to the Traffic Calming 5YPP to add the subject project with funds to be reprogrammed from the construction phase of the Howard Street Streetscape project (\$590,000), which is fully funded with impact fees from the Eastern Neighborhoods area plan. See attached 5YPP amendment for details.
44	SFCTA	District 10 Mobility Management Study [NTIP Planning]	\$ 100,000		
TOTAL \$			5,540,926	\$ -	

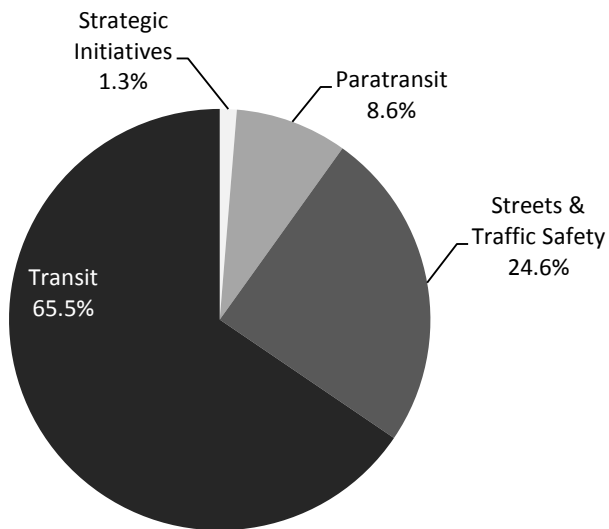
¹ See Attachment 1 for footnotes.

**Attachment 4.
Prop K Allocation Summary - FY 2017/18**

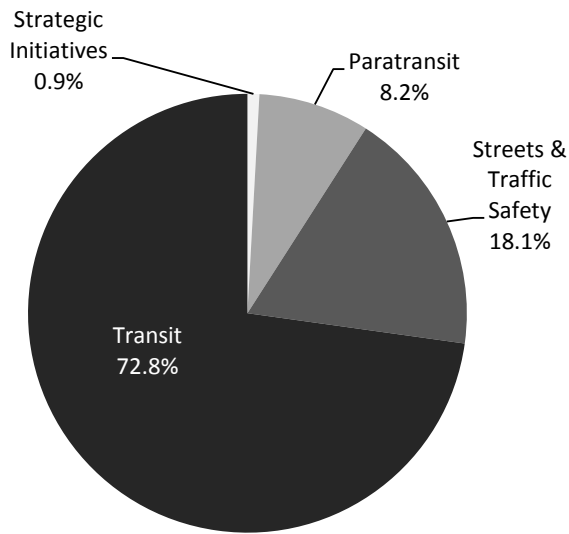
PROP K SALES TAX						
		CASH FLOW				
	Total	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22
Prior Allocations	\$ 56,064,751	\$ 27,311,640	\$ 27,619,722	\$ 645,389	\$ 488,000	\$ -
Current Request(s)	\$ 5,540,926	\$ 1,520,926	\$ 4,020,000	\$ -	\$ -	\$ -
New Total Allocations	\$ 61,605,677	\$ 28,832,566	\$ 31,639,722	\$ 645,389	\$ 488,000	\$ -

The above table shows maximum annual cash flow for all FY 2017/18 allocations approved to date and the allocations pending approval at the June 27 Board meeting, along with the current recommended allocation(s).

Investment Commitments, per Prop K Expenditure Plan



Prop K Investments To Date



San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

FY of Allocation Action: 2017/18

Project Name: Traffic Signal Upgrade Contract 34

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

EXPENDITURE PLAN INFORMATION

Prop K EP category: Signals and Signs - Maintenance and Renovations: (EP-33)

Prop K EP Line Number (Primary): 33 Current Prop K Request: \$ 4,860,000

Prop K Other EP Line Numbers: 38

Prop AA Category: _____

Current Prop AA Request: \$ -

Supervisorial District(s): District 01, District 02, District 03, District 05, District 06, District 07, District 08, District 09, District 10, District 11

REQUEST

Brief Project Description (type below)

This request will fund the construction of traffic signal-related upgrades at 14 locations across the city. Upgrades will include new controllers, poles, mast arms, larger signal heads, pedestrian countdown signals, curb ramps, accessible pedestrian signals and protected left turn phasing in certain locations. Nine of the intersections are located on the Vision Zero High Injury Network, which encompasses the pedestrian, bicycle, and vehicle high injury corridors.

Detailed Scope, Project Benefits and Community Outreach (type below)

See attached.

Project Location (type below)

See attached.

Project Phase (select dropdown below)

Construction (CON)

Map or Drawings Attached? Yes

Other Items Attached? Yes

San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

5YPP/STRATEGIC PLAN INFORMATION

Type of Project in the Prop K 5YPP/Prop AA Strategic Plan? Named Project

Is the requested amount greater than the amount programmed in the relevant 5YPP or Strategic Plan? Greater than Programmed Amount

Prop K 5YPP Amount: \$ 3,300,000 Prop AA Strategic Plan Amount:

Please describe and justify the necessary amendment:

The programmed amount shown above includes two placeholders in the Signals and Signs 5YPP, both for Traffic Signal Upgrades (15 Locations). To fully fund the project SFMTA's request also includes amendments to the Signals and Signs and Traffic Calming 5YPPs to re-program funds to the subject project.

Signals and Signs:

- Re-program \$46,100 from the design phase of the South Van Ness Signal Upgrade (12); project is in construction and fully funded by SFMTA Operating funds.
- Re-program \$160,271 from the design phase of the Gough Corridor Signal Upgrade (14) project; project is in construction and is fully funded by Prop AA vehicle registration fees.
- Program \$508,030 in funds deobligated from multiple previous allocations that were completed under budget.

Traffic Calming:

- Re-program \$481,442 from the design phase of the 8th Street Streetscape project to the subject project; that project is fully funded by Eastern Neighborhoods impact fees and General Obligation bonds.
- Program \$364,157 in funds deobligated from multiple previous allocations that were completed under budget.

Traffic Signal Upgrade Contract 34 Background and Scope

The San Francisco Municipal Transportation Agency (SFMTA) is seeking \$4,860,000 in Prop K Sales Tax funds toward the construction phase of traffic signal upgrades at 14 locations and related pedestrian improvements to be constructed under Traffic Signal Upgrade Contract 34. Traffic safety at these locations will be improved either through the addition of protected left turn phasing and/or improved signal visibility. Signal visibility improvements will include new poles and mast arm mounted signals with larger signal heads. Related pedestrian safety improvements include pedestrian countdown signals (PCS) and curb ramps where missing. Other improvements at signal upgrade locations will include new controllers, conduit and wiring where they are needed to implement the signal modifications. Nine of the 14 locations are on bicycle corridors in the Vision Zero High Injury Network, and the planned signal improvements are intended to reduce cyclist injuries. Contract work at a 15th location included in the scope of Traffic Signal Upgrade Contract 34 will be funded by SFMTA operating funds.

In June 2015 the Transportation Authority allocated \$518,000 for the design phase of Traffic Signal Upgrade Contract 34. The current request reflects an increase in the construction phase cost estimate of \$2,104,000, or 76%, when compared to the engineer's 2015 estimate for the cost of construction. Changes in scope at several project intersections are most responsible for this cost escalation. The design process revealed that conduits installed in the 1990s at 11th Street/13th Street/Bryant/Division and at Alemany/Crescent/Putnam have failed and require replacement in order to construct the proposed safety improvements; complications resulting from the presence of sub-sidewalk basements at Battery/Pine required the design of custom traffic signal pole foundations and curb ramps resulting in added construction costs; and the inclusion of additional civil improvements at Dewey/Laguna Honda/Woodside to improve safety and accessibility for bicyclists and pedestrians were not accounted for in initial cost estimates. Also, 15th location was added to the 14 locations included at the beginning of the design phase, adding to the overall cost of the project (see location discussion below). More generally, traffic signal project costs have increased due to the fact that bid prices have risen substantially in the past year due to a bidding environment with a limited number of contractors, rising costs of labor, and the complexity of traffic signal projects.

The specific scope for each location under this project is described in Table 1. The table describes the intended project scope, number of curb ramps anticipated to be included in the project, supervisorial district and whether the intersection is located on a Vision Zero High-Injury Network. The table also indicates when the intersection was first installed, which is an indication of the age of the signal infrastructure. Some intersections have been upgraded since the original installation, and in that case a second year is shown. In cases where the intersection has not been upgraded over the last 30 years, the project will replace all underground and above-ground signal infrastructure including conduits and poles. The typical life-cycle of a traffic signal is 30 years.

Location Selection Criteria

The intersections in this scope were selected after careful review by SFMTA staff of traffic operations and collision patterns on a regular basis. Locations are prioritized based on collision history, traffic volumes, benefits to roadway users including pedestrians, bicyclists, transit and motorists, proximity to schools or senior centers and any joint departmental opportunities (e.g. scheduled paving projects, corridor improvements). All supervisorial districts are represented in the Contract 34 scope except District 4 which has only 4% of the City's traffic signals, many of which are relatively new and thus are not in need of upgrades. The Great Highway is under consideration for a future signal upgrades project. Lake Merced/Higuera was removed from the scope as approved for the design phase because a development project adjacent to the intersection has committed to design and construct a full upgrade of the traffic signals and street lighting. Battery/Broadway was added as a replacement location to improve traffic signal visibility. Work to facilitate the conversion of an existing traffic signal at Broderick/Post to an all-way stop was added, and is being funded by SFMTA operating funds. The intersection of Broderick/Post has very low traffic volumes, and does not justify the maintenance of the existing traffic signal. The traffic signal is at the end of

its useful life, and needs to be either removed or replaced. Replacing the signal with all-way STOP control is appropriate for the conditions, and is a more efficient use of funds.

Implementation: SFMTA's Sustainable Streets Division has been managing the scope of the detailed design. SFPW's Infrastructure Design and Construction division will manage the issuance and administration of the contract for construction by a competitively bid contract.

Task Work Performed By:

- | | |
|---------------------------|---|
| - Construction Management | PW Infrastructure Construction Management |
| - Contract Support | PW Infrastructure Design and Construction |
| - Construction Support | SFMTA Sustainable Streets Division |

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TABLE 1. CONTRACT 34 LOCATIONS

ID	Intersection (year signal was installed) *	Scope	Pedestrian Safety Element **	Curb Ramps to be built	District	Muni Routes	Vision Zero High Injury Network
1	7 th and Brannan Streets (1957, 2002)	Add protected left turn phasing on Brannan	Minimize ped conflicts with left turns	--	6	19, 83X	--
2	11 th , 13 th , Bryant and Division Streets (1956, 1997)	Add protected left turn phasing; high injury location for cyclists	Minimize ped conflicts with left turns	9	6, 9, 10	9, 27, 47	Y
3	24 th and Dolores Streets (1953)	Add protected left turn	Add PCS crossing 24th Ave.	--	8	48	--
4	43 rd Avenue and Fulton Street (1972)	Add protected left turn	Add PCS crossing 43rd Ave.	--	1	5	--
5	Alemany and Putnam Streets (1956, 1990?)	Add protected left turn	Add PCS crossing freeway ramp	--	9	23, 67	Y
6	Arguello and Fulton Streets (1952, 1990?)	Add protected left turn phasing; high injury location for cyclists; full upgrade	Add PCS crossing Arguello	--	1	5, 33	Y
7	Battery and Broadway (1959)	Improve Signal Visibility	Minimize red light running	--	3	10, 12, 82X	Y
8	Battery and Pine Streets (1949)	Improve Signal Visibility	Minimize red light running	2	3	--	Y
9	California and Laguna Streets (1970)	Improve Signal Visibility	Add PCS at all crossings	8	2, 5	--	Y
10	California and Buchanan Streets (1985)	Improve Signal Visibility	Add PCS at all crossings	--	2, 5	--	Y
11	Capitol and Sagamore Sts (1976)	Improve Signal Visibility; improve bike lane alignment		--	11	54	--
12	Dewey and Laguna Honda Boulevard (1954, 1990s)	Improve Signal Visibility; Reconfigure islands to facilitate bus turns	Open west crosswalk (currently closed)	5	7	36, 43, 44, 52	--
13	Duboce Ave and Valencia Street (1955, 1996)	Add protected left turn phasing; high injury location for cyclists		--	8, 9	--	Y
14	Oak Street and Masonic Avenue (1955, 2002)	Add protected left turn phase	Minimize ped conflicts with left turns	--	5	43	Y
15	Broderick and Post Street	Convert Signalized Intersection to All-Way STOP	Convert Signalized Intersection to All-Way STOP (funded by SFMTA Operating Funds instead of Prop K)				

* The first year shown indicates when signal was first installed. A second date shows when signal was last upgraded.

** "PCS" = Pedestrian Countdown Signal

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Project Name: Traffic Signal Upgrade Contract 34

ENVIRONMENTAL CLEARANCE

Environmental Type: Categorically Exempt

PROJECT DELIVERY MILESTONES

Enter dates below for ALL project phases, not just for the current request, based on the best information available. For PLANNING requests, please only enter the schedule information for the PLANNING phase.

Phase	Start		End	
	Quarter	Calendar Year	Quarter	Calendar Year
Planning/Conceptual Engineering (PLAN)				
Environmental Studies (PA&ED)	Oct-Dec	2016	Jan-Mar	2017
Right-of-Way				
Design Engineering (PS&E)	Jul-Sep	2015	Jul-Sep	2017
Advertise Construction	Oct-Dec	2017		
Start Construction (e.g. Award Contract)	Jan-Mar	2018		
Operations (i.e., paratransit)				
Open for Use			Jan-Mar	2019
Project Completion (means last eligible expenditure)			Jul-Sep	2019

SCHEDULE DETAILS

Provide dates for any COMMUNITY OUTREACH planned during the requested phase(s). Identify PROJECT COORDINATION with other projects in the area (e.g. paving, MUNI Forward) and relevant milestone dates (e.g. design needs to be done by DATE to meet paving schedule). List any timely use-of-funds deadlines (e.g. federal obligation deadline). If a project is comprised of MULTIPLE SUB-PROJECTS, provide milestones for each sub-project. For PLANNING EFFORTS, provide start/end dates for each task.

Coordination with other projects: The **Alemany Blvd/Putnam Avenue** intersection improvements were coordinated with the recommendations in the Transportation Authority's Alemany Interchange Improvement Study. The **Capitol/Sagamore** and **43rd/Fulton** locations already had new underground conduits installed as part of recent paving projects in order to avoid breaking the 5-year paving moratorium. The **11th and Bryant Street** signal upgrade is coordinated with the Eastbound 13th Street Safety Project which added a bike lane on eastbound 13th Street.

Environmental Clearance for the project was obtained in February 2017 from the SF Planning Department. A public hearing is anticipated to be held in June 2017 to discuss minor traffic changes needed as part of the safety improvements such as a new "Left Lane Must Turn Left" regulation, rescinding a "No Left Turn" restriction, and establishing Tow-Away No Stopping Anytime. These minor changes are not expected to generate citizen concerns since the changes are low-impact. The Broderick/Post location was environmentally cleared by SFMTA, and was approved at a public hearing and the SFMTA Board in early 2017.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Project Name: Traffic Signal Upgrade Contract 34

FUNDING PLAN - FOR CURRENT REQUEST

Enter the funding plan for the phase(s) that are the subject of the CURRENT REQUEST. Totals should match those shown in the Cost Summary below.

Prop K EP Category	Amount	If requesting funds from multiple, EP line items, use table at left to indicate the amount requested from each line item.
Signals and Signs - Maintenance and Renovations: (EP-33)	\$4,014,401	
Traffic Calming: (EP-38)	\$845,599	
Total:	\$ 4,860,000	

Fund Source	Planned	Programmed	Allocated	Total
Prop K	\$ 1,560,000	\$ 3,300,000	\$ -	\$ 4,860,000
Prop AA	\$ -	\$ -	\$ -	\$ -
SFMTA Operating	\$ -	\$ 26,000	\$ -	\$ 26,000
	\$ -	\$ -	\$ -	\$ -
Total:	\$ 1,560,000	\$ 3,326,000	\$ -	\$ 4,886,000

FUNDING PLAN - FOR ENTIRE PROJECT (ALL PHASES)

Enter the funding plan for all phases (planning through construction) of the project. This section may be left blank if the current request covers all project phases. Totals should match those shown in the Cost Summary below.

Fund Source	Planned	Programmed	Allocated	Total
Prop K	\$ 1,560,000	\$ 3,300,000	\$ 518,000	\$ 5,378,000
Prop AA	\$ -	\$ -	\$ -	\$ -
SFMTA Operating	\$ -	\$ 26,000	\$ -	\$ 26,000
	\$ -	\$ -	\$ -	\$ -
Total:	\$ 1,560,000	\$ 3,326,000	\$ 518,000	\$ 5,404,000

COST SUMMARY

Show total cost for ALL project phases (in year of expenditure dollars) based on best available information. Source of cost estimate (e.g. 35% design, vendor quote) is intended to help gauge the quality of the cost estimate, which should improve in reliability the farther along a project is in its development.

Phase	Total Cost	Prop K - Current Request	Prop AA - Current Request	Source of Cost Estimate
Planning/Conceptual Engineering (PLAN)	\$ -	\$ -		
Environmental Studies (PA&ED)	\$ -	\$ -		
Right-of-Way	\$ -	\$ -		
Design Engineering (PS&E)	\$ 518,000	\$ -	\$ -	Actuals + Cost to Complete
Construction (CON)	\$ 4,886,000	\$ 4,860,000	\$ -	Engineer's estimate at 95% design and based on previous projects
Operations (Paratransit)	\$ -	\$ -		
Total:	\$ 5,404,000	\$ 4,860,000	\$ -	

% Complete of Design: as of
 Expected Useful Life: Years

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

PROPOSED REIMBURSEMENT SCHEDULE FOR CURRENT REQUEST (instructions as noted below)

Use the table below to enter the proposed reimbursement schedule for the current request. Prop K and Prop AA policy assume these funds will not be reimbursed at a rate greater than their proportional share of the funding plan for the relevant phase unless justification is provided for a more aggressive reimbursement rate. If the current request is for multiple phases, please provide separate reimbursement schedules by phase. If the proposed schedule exceeds the years available, please attach a file with the requested information.

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K	\$ -	\$ 860,000	\$ 4,000,000	\$ -	\$ -	\$ 4,860,000
Prop AA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

San Francisco County Transportation Authority
 Prop K/Prop AA Allocation Request Form

Project Name: Traffic Signal Upgrade Contract 34

MAJOR LINE ITEM BUDGET

CONSTRUCTION

SUMMARY BY MAJOR LINE ITEM (BY AGENCY LABOR BY TASK)						
Budget Line Item	Totals	% of contract	SFPW	SFMTA	Contractor	
1. Contract						
Task 1: Signals/Mountings	\$ 315,000	11%			\$ 315,000	
Task 2: Poles	\$ 433,000	15%			\$ 433,000	
Task 3: Pullboxes/Conduits	\$ 580,000	20%			\$ 580,000	
Task 4: Wiring	\$ 380,000	13%			\$ 380,000	
Task 5: Traffic Routing	\$ 205,000	7%			\$ 205,000	
Task 6: Misc	\$ 388,000	14%			\$ 388,000	
Task 7: Curb Ramps	\$ 530,000	19%			\$ 530,000	
Subtotal	\$ 2,831,000				\$ 2,831,000	
2. Contingency	\$ 430,500	15%	\$ 430,500			
3. MTA Provided Materials						
Controller Cabinets	\$ 180,000	6%		\$ 180,000		
Accessible Ped Signals	\$ 250,000	9%		\$ 250,000		
Ped Countdown Modules	\$ 15,000	1%		\$ 15,000		
Wireless Sensors	\$ 79,000	3%		\$ 79,000		
Subtotal	\$ 524,000	19%		\$ 524,000		
4. Construction Management/ Support	\$ 1,100,000	39%	\$ 700,000	\$ 400,000		
5. Other Direct Costs *	\$ 500	0%	\$ 500			
TOTAL CONSTRUCTION PHASE	\$ 4,886,000		\$ 1,131,000	\$ 924,000	\$ 2,831,000	

* City Attorney Review

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: 6/21/2017 **Res. No:** _____ **Res. Date:** _____

Project Name: Traffic Signal Upgrade Contract 34

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

Funding Recommended:	Action	Amount	Phase
	Prop K Allocation	\$ 4,860,000	Construction (CON)
	Total:	\$ 4,860,000	

Total Prop K Funds: \$ 4,860,000 **Total Prop AA Funds:** \$ -

Justification for multi-phase recommendations and notes for multi-sponsor recommendations:

Fund Expiration Date: 3/31/2020 **Eligible expenses must be incurred prior to this date.**

Intended Future Action	Action	Amount	Fiscal Year	Phase

Trigger:

Deliverables:

1. Quarterly progress reports shall provide the percent complete for each location and the percent complete for the overall project, in addition to all other requirements described in the Standard Grant Agreement (SGA). Over the course of the project quarterly progress reports should include 2-3 photos of work in progress for recent activities and/or of completed work. See SGA for details.
2.

Special Conditions:

1. The recommended allocation is contingent upon concurrent amendments to the Signals and Signs and Traffic Calming 5YPPs. See attached 5YPP amendment for details.
2. SFMTA may not incur expenses for the construction phase until Transportation Authority staff releases the funds (\$4,860,000) pending receipt of evidence of completion of design (e.g. copy of certifications page).
3. The Transportation Authority will only reimburse SFMTA up to the approved overhead multiplier rate for the fiscal year that SFMTA incurs charges.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: 6/21/2017 **Res. No:** _____ **Res. Date:** _____

Project Name: Traffic Signal Upgrade Contract 34

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

Notes:

1. _____
2. _____

Metric	Prop K	Prop AA
Actual Leveraging - Current Request	0.53%	No Prop AA
Actual Leveraging - This Project	0.48%	No Prop AA

SFCTA Project

Reviewer: P&PD

SGA PROJECT NUMBER

Sponsor: San Francisco Municipal Transportation Agency - DPT

SGA Project Number: 133-907xxx **Name:** Traffic Signal Upgrade Contract 34 - EP33

Phase: Construction (CON) **Fund Share:** 99.47%

Cash Flow Distribution Schedule by Fiscal Year

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K		\$710,000	\$ 3,304,401			\$4,014,401

Sponsor: San Francisco Municipal Transportation Agency - DPT

SGA Project Number: 138-907xxx **Name:** Traffic Signal Upgrade Contract 34 - EP38

Phase: Construction (CON) **Fund Share:** 99.47%

Cash Flow Distribution Schedule by Fiscal Year

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K		\$150,000	695,599			\$845,599

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

FY of Allocation Action: 2017/18

Current Prop K Request: \$ 4,860,000
Current Prop AA Request: \$ -

Project Name: Traffic Signal Upgrade Contract 34

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

- 1) The requested sales tax and/or vehicle registration fee revenues will be used to supplement and under no circumstance replace existing local revenues used for transportation purposes.

<p>Required for Allocation Request Form Submission Initials of sponsor staff member verifying the above statement</p>
<p>JG</p>

CONTACT INFORMATION

Project Manager

Grants Section Contact

Name: Geraldine De Leon

Joel Goldberg

Title: Engineer

Manager of Capital Procurement & Management

Phone: 415-701-4675

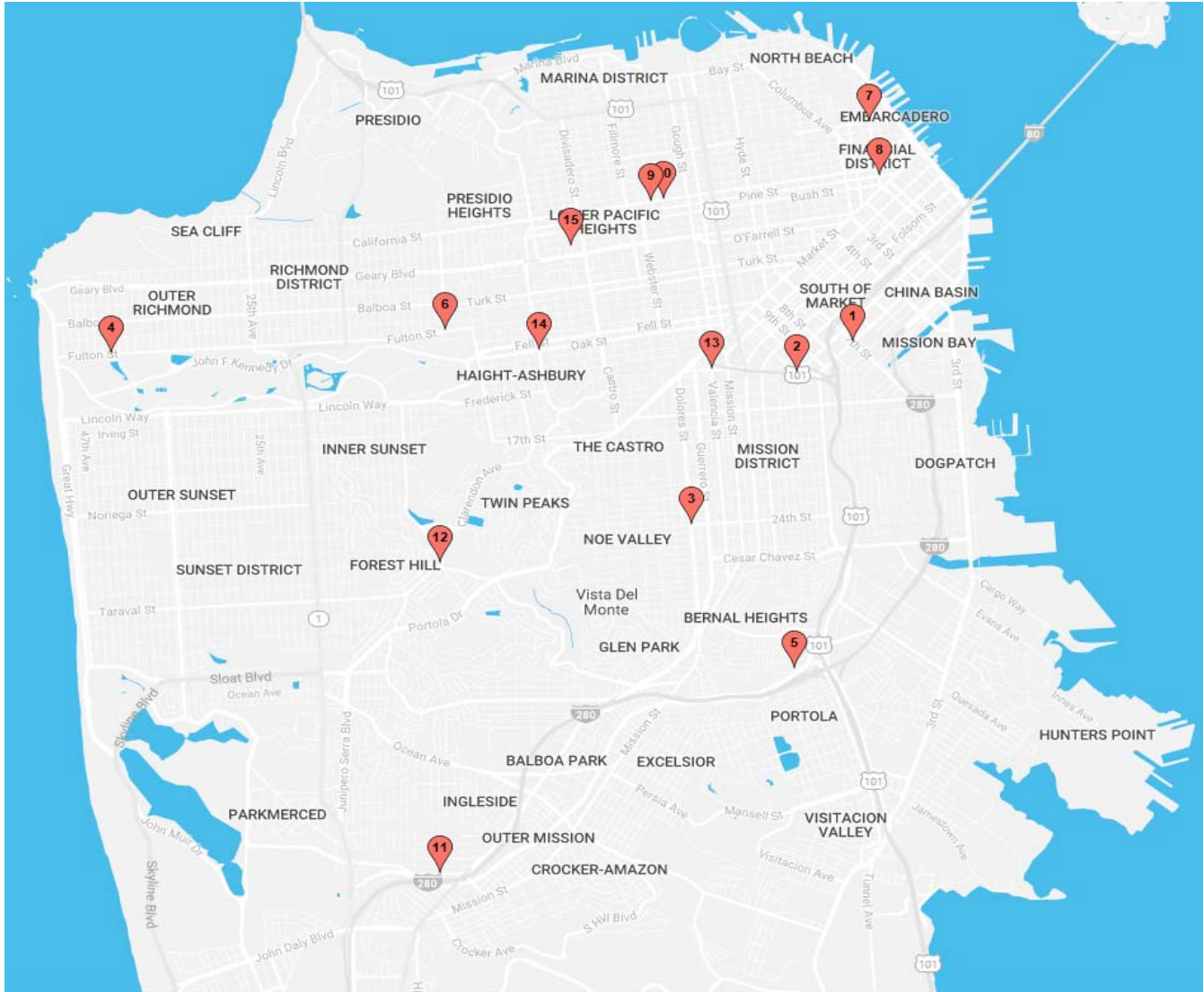
415-646-2520

Email: Geraldine.DeLeon@sfmta.com

joel.goldberg@sfmta.com

San Francisco County Transportation Authority
 Prop K/Prop AA Allocation Request Form

MAPS AND DRAWINGS



No	Location	Scope
1	7th Street and Brannan Street	Left Turn Phasing
2	11th Street and Bryant Street	Left Turn Phasing
3	24th Street and Dolores Street	Left Turn Phasing, add PCS, full upgrade
4	43rd Avenue and Fulton Street	Left Turn Phasing, add PCS, full upgrade
5	Alemany Boulevard and Putnam Avenue	Left Turn Phasing
6	Arguello Blvd. and Fulton Street	Left Turn Phasing, add PCS
7	Battery Street and Broadway	Signal visibility
8	Battery Street and Pine Street	Signal visibility, full Upgrade
9	Buchanan Street and California Street	Signal visibility, add PCS, full upgrade
10	California Street and Laguna Street	Signal visibility, add PCS, full upgrade
11	Capitol Ave and Sagamore Street	Remove median poles, full upgrade
12	Dewey Blvd and Laguna Honda Blvd	Rechannelize, cut median, open crosswalk
13	Duboce Avenue and Valencia Street	Left Turn Phasing
14	Masonic Avenue and Oak Street	Left Turn Phasing
15	Broderick Sreet and Post Street	Remove traffic signal and install All-way STOP

Prop K 5-Year Project List (FY 2014/15 - 2018/19)

Signals and Signs (EP 33)
Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase(s)	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
Follow-the-Paving									
SFMTA	Follow-the-Paving (Spot Traffic Signal Improvements) ³	PS&E, CON	Programmed	\$0					\$0
SFMTA	Follow-the-Paving (Spot Traffic Signal Improvements) ³	PS&E, CON	Programmed		\$0				\$0
SFMTA	Traffic Signal Conduit Contract ³	CON	Allocated		\$400,000				\$400,000
SFMTA	Follow-the-Paving (Spot Traffic Signal Improvements)	PS&E, CON	Programmed			\$200,000			\$200,000
SFMTA	Follow-the-Paving (Spot Traffic Signal Improvements)	PS&E, CON	Programmed				\$200,000		\$200,000
SFMTA	Follow-the-Paving (Spot Traffic Signal Improvements)	PS&E, CON	Programmed					\$150,000	\$150,000
Traffic Signal Upgrades									
SFMTA	Traffic Signal Upgrades (15 Locations) ^{1,4,7}	PS&E	Programmed	\$0					\$0
SFMTA	Traffic Signal Upgrade Contract 34 [Vision Zero] ⁴	PS&E	Allocated		\$518,000				\$518,000
SFMTA	7th Avenue and Lincoln Way Intersection Improvements ¹	CON	Allocated	\$95,476					\$95,476
SFMTA	Traffic Signal Upgrades (15 Locations) ^{7,10}	CON	Programmed		\$0				\$0
SFMTA	Traffic Signal Upgrades (15 Locations) ¹⁰	PS&E	Programmed		\$0				\$0
SFMTA	Traffic Signal Upgrade Contract 34 ¹⁰	CON	Pending				\$4,014,401		\$4,014,401
SFMTA	Webster Street Pedestrian Signals ⁷	CON	Allocated			\$1,358,206			\$1,358,206
SFMTA	Webster Street Pedestrian Signals - Additional Funds ⁹	CON	Allocated			\$185,000			\$185,000
SFMTA	Franklin/Divisadero Corridor Signal Upgrade	CON	Programmed		\$272,080				\$272,080
SFMTA	Franklin and Divisadero Corridor Signal Upgrade	CON	Allocated		\$3,162,920				\$3,162,920

Prop K 5-Year Project List (FY 2014/15 - 2018/19)
Signals and Signs (EP 33)
Programming and Allocations to Date
 Pending 7/25/2017 Board

Agency	Project Name	Phase(s)	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
SFMTA	Eddy and Ellis Traffic Calming Improvement ⁸	CON	Allocated			\$310,000			\$310,000
SFMTA	19th Avenue Signals Phase III	PS&E	Allocated	\$630,000					\$630,000
SFMTA	19th Avenue Signals Phase III	CON	Allocated			\$2,520,000			\$2,520,000
SFMTA	3rd Street Traffic Signal Detection Upgrade - Phase 1	CON	Allocated	\$300,000					\$300,000
SFMTA	3rd Street Traffic Signal Detection Upgrade - Phase 2	CON, PROC	Programmed			\$300,000			\$300,000
SFMTA	3rd Street Traffic Signal Detection Upgrade - Phase 3	CON, PROC	Programmed				\$457,950		\$457,950
SFMTA	Traffic Signal Visibility Upgrades (12) ⁷	CON, PROC	Programmed		\$0				\$0
SFMTA	South Van Ness Conduit Installation ⁶	CON	Programmed	\$0					\$0
SFMTA	South Van Ness Signal Upgrade (12) ^{6,10}	PS&E	Programmed	\$0					\$0
SFMTA	South Van Ness Traffic Signal Upgrade ⁶	CON	Allocated		\$552,000				\$552,000
SFMTA	South Van Ness Signal Upgrade (12)	CON	Programmed			\$1,434,900			\$1,434,900
SFMTA	Polk Corridor Signal Upgrade ^{2,5,7}	PS&E	Programmed	\$0					\$0
SFMTA	Polk Street Traffic Signal Upgrade ²	CON	Allocated	\$382,900					\$382,900
SFMTA	Polk Corridor Signal Upgrade ^{5,7}	CON	Programmed		\$0				\$0
SFMTA	Polk Streetscape Signal Modifications ⁵	CON	Allocated		\$516,000				\$516,000
SFMTA	Gough Corridor Signal Upgrade (14) ^{8,10}	PS&E	Programmed	\$0					\$0
SFMTA	Gough Corridor Signal Upgrade (14)	CON	Programmed		\$2,450,000				\$2,450,000
SFMTA	Gough Corridor Signal Upgrade	PS&E	Allocated		\$135,000				\$135,000
SFMTA	Great Highway Traffic Signal Upgrade (8)	CON	Programmed			\$607,729			\$607,729
SFMTA	Van Ness BRT SFgo Signal Improvements	CON	Allocated		\$2,275,000				\$2,275,000
SFMTA	Neighborhood Transportation Improvement Program (NTIP)	PS&E, CON	Programmed		\$357,729				\$357,729

Prop K 5-Year Project List (FY 2014/15 - 2018/19)

**Signals and Signs (EP 33)
Programming and Allocations to Date**

Pending 7/25/2017 Board

Agency	Project Name	Phase(s)	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
Total Programmed in 5YPP				\$1,408,376	\$10,638,729	\$6,915,835	\$4,672,351	\$150,000	\$23,785,291
Total Allocated and Pending in 5YPPs				\$1,408,376	\$7,558,920	\$4,373,206	\$4,014,401	\$0	\$17,354,903
Total Deobligated in 5YPPs				\$0	\$0	\$0	\$0	\$0	\$0
Total Unallocated in 5YPPs				\$0	\$3,079,809	\$2,542,629	\$657,950	\$150,000	\$6,430,388
Total Programmed in 2014 Strategic Plan				\$3,653,371	\$13,540,229	\$5,062,629	\$657,950	\$150,000	\$23,064,179
Deobligated from Prior 5YPP Cycles **				\$721,112					\$721,112
Cumulative Remaining Programming Capacity				\$2,966,107	\$5,867,607	\$4,014,401	\$0	\$0	\$0

** "Deobligated from prior 5YPP cycles" includes deobligations from allocations approved prior to the current 5YPP period.

Programmed
Pending Allocation/Appropriation
Board Approved Allocation/Appropriation

FOOTNOTES:

- 5YPP Amendment to fully fund 7th Avenue and Lincoln Way Intersection Improvements (Resolution 15-046, 03/24/2015):
Traffic Signal Upgrades (15 Locations): Reduced by \$95,476 in FY 2014/15 design funds. 7th Avenue and Lincoln Way is one of the 15 locations covered by this placeholder.
7th Avenue and Lincoln Way: Added project with \$95,476 for construction.
- 5YPP Amendment to reprogram \$382,900 from the PS&E phase to the construction phase of the Polk Street Traffic Signal Upgrade project (Resolution 2015-061, 6/23/2015):
To accommodate allocation of \$400,000 for Traffic Signal Conduit Contract (Resolution 15-061, 6/23/2015):
Reduced placeholder for Follow-the-Paving (Spot Traffic Signal Improvements) from \$200,000 in FY 2014/15 and \$200,000 in FY 2015/16 design/construction funds to \$0.
Added Traffic Signal Conduit Contract with \$400,000 in FY 2015/16 construction funds.
- To accommodate allocation of \$518,000 for Traffic Signal Conduit Contract (Resolution 15-061, 6/23/2015):
Reduced programming for Traffic Signal Upgrades (15 Locations) from \$564,524 in FY 2014/15 design funds to \$46,524;
Added Traffic Signal Upgrade Contract 34 [Vision Zero] with \$518,000 in FY 2015/16 design funds.
- To accommodate allocation of \$516,000 for Polk Streetscape Signal Modifications project (Resolution 2016-028, 12/15/2015):
Polk Corridor Signal Upgrade: Reduced by \$277,100 in FY2014/15 design funds and \$238,900 in FY2015/16 construction funds.
Added Polk Streetscape Signal Modifications with \$516,000 in FY2015/16 construction funds.

Prop K 5-Year Project List (FY 2014/15 - 2018/19)

Signals and Signs (EP 33)

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase(s)	Status	Fiscal Year			Total
				2014/15	2015/16	2016/17	

⁶ To accommodate allocation of \$552,000 for South Van Ness Signal Upgrade project (Resolution 2016-040, 2/23/2016):

South Van Ness Conduit Installation: Reduced by \$200,000 in FY2014/15 design/construction funds.

South Van Ness Signal Upgrade: Reduced by \$352,000 in FY2014/15 design funds.

Added South Van Ness Signal Upgrade with \$552,000 in FY2015/16 construction funds.

⁷ To accommodate allocation of \$1,358,206 to Webster Street Pedestrian Signals (Resolution 17-002, 7/26/2016)

Traffic Signal Upgrades: Reduced by \$46,524 in FY2014/15 design funds. Project to be funded via Prop B.

Traffic Signal Visibility Upgrades: Reduced by \$300,000 in FY2015/16 construction funds. Project to be funded via Prop B.

Polk Corridor Signal Upgrade: Reduced by \$277,100 in FY2014/15 design funds and \$706,500 in FY2015/16 construction funds. Project to be completed under budget.

Cumulative Remaining Programming Capacity (Funds Deobligated from Prior 5YPP Cycles): Reduced from \$239,713 to \$211,631.

⁸ 5YPP amendment to fully fund Eddy and Ellis Traffic Calming Improvement (Resolution 17-07, 9/27/2016)

Gough Corridor Signal Upgrade (14): Reduced by \$167,729 in FY2014/15 design funds. Project is fully funded and in progress.

Eddy and Ellis Traffic Calming Improvement: Increased by \$167,729 to fully fund construction in FY2016/17.

⁹ 5YPP amendment to fully fund Webster Street Pedestrian Signals - Additional Funds (Resolution 17-035,03/21/2017)

Cumulative Remaining Programming Capacity (Funds Deobligated from Prior 5YPP Cycles): Reduced from \$354,394 to \$169,394.

Webster Street Pedestrian Signals - Additional Funds: Added project with \$185,000 in FY2016/17 construction funds.

¹⁰ 5YPP amendment to fund Traffic Signal Upgrade Contract 34 (Resolution 17-0XX, 7/25/2017)

Traffic Signal Upgrades (15 Locations): Placeholders reduced from \$2,640,000 to \$0 in FY 2015/16 design funds and \$660,000 to \$0 in FY 2015/16 construction funds.

South Van Ness Signal Upgrade (12): Reduced from \$46,100 to \$0 in FY 2014/15 design funds. Project is in construction and is fully funded with SFMTA Operating funds.

Gough Corridor Signal Upgrade (14): Reduced from \$160,271 to \$0 in FY 2014/15 design funds. Project is in construction and is fully funded with Prop AA funds.

Cumulative Remaining Programming Capacity (Funds Deobligated from Prior 5YPP Cycles): Reduced from \$508,030 to \$0.

Traffic Signal Upgrade Contract 34: Added project with \$4,014,401 in FY 2017/18 construction funds.

Prop K 5-Year Project List (FY 2014/15 - 2018/19)

Traffic Calming (EP 38)

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
Local/Neighborhood Track									
SFMTA	Local Track Application-Based Traffic Calming	CON	Programmed	\$0					\$0
SFMTA	Local Track Application-Based Traffic Calming ¹⁴	CON	Pending				\$646,407		\$646,407
SFMTA	Local Track Application-Based Traffic Calming ^{3,8}	PLAN/ CER	Programmed	\$0					\$0
SFMTA	Local Track Application-Based Traffic Calming ³	PLAN/ CER	Allocated		\$203,400				\$203,400
SFMTA	Local Track Application-Based Traffic Calming	PS&E	Programmed	\$0					\$0
SFMTA	Local Track Application-Based Traffic Calming ¹⁴	PS&E	Pending				\$80,918		\$80,918
SFMTA	Local Track Application-Based Traffic Calming ⁸	Any	Programmed		\$0				\$0
SFMTA	Local Track Application-Based Traffic Calming ⁸	PLAN/ CER	Allocated			\$213,525			\$213,525
SFMTA	Local Track Application-Based Traffic Calming ¹⁴	PLAN/ CER	Pending				\$213,525		\$213,525
SFMTA	Local Track Application-Based Traffic Calming	Any	Programmed			\$567,226			\$567,226
SFMTA	Local Track Application-Based Traffic Calming	Any	Programmed				\$600,000		\$600,000
SFMTA	Local Track Application-Based Traffic Calming	Any	Programmed					\$600,000	\$600,000
SFMTA	Local Track Application-Based Traffic Calming	PLAN/ CER	Programmed	\$0					\$0
SFMTA	Proactive Residential Traffic Calming Improvements ¹²	Any	Programmed		\$878,751				\$878,751
SFMTA	Proactive Residential Traffic Calming Improvements	Any	Programmed			\$903,651			\$903,651
SFMTA	Proactive Residential Traffic Calming Improvements	PS&E, CON	Programmed				\$853,651		\$853,651
SFMTA	Proactive Residential Traffic Calming Improvements	PS&E, CON	Programmed					\$853,654	\$853,654
SFMTA	Wiggle Neighborhood Green Corridor ¹²	CON	Allocated			\$224,900			\$224,900
SFMTA	Traffic Calming Implementation (Prior Area-wide Plans) ^{2,5,9,11}	PLAN, PS&E, CON	Allocated	\$0		\$1,789,000			\$1,789,000
SFMTA	Traffic Calming Implementation (Prior Area-wide Plans) ⁹	CON	Allocated			\$1,500,000			\$1,500,000
SFMTA	Traffic Calming Implementation (Prior Area-wide Plans) ²	PS&E	Allocated	\$25,000					\$25,000
SFMTA	Traffic Calming Implementation (Prior Area-wide Plans) ² - DEOBLIGATION	PS&E	Deobligated	(\$32)					(\$32)
SFPW	Sloat Boulevard Pedestrian Improvements ⁵	CON	Allocated		\$122,477				\$122,477
SFMTA, other eligible	Neighborhood Transportation Improvement Program (NTIP) ^{6,12}	PS&E, CON	Programmed		\$970,000				\$970,000
SFPW	South Park Traffic Calming [NTIP Capital] ⁶	CON	Allocated			\$30,000			\$30,000

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year				Total
				2014/15	2015/16	2016/17	2017/18	
Schools Track								
SFMTA	Schools Track Traffic Calming Program	PLAN/ CER	Programmed				\$44,000	\$44,000
SFMTA	Schools Track Traffic Calming Program	PS&E	Programmed				\$50,000	\$50,000
SFMTA	Schools Track Traffic Calming Program	CON	Programmed				\$110,000	\$110,000
SFMTA	Cesar Chavez Elementary Safe Routes to School	PS&E	Programmed		\$59,885			\$59,885
SFMTA	Cesar Chavez Elementary Safe Routes to School	CON	Programmed			\$37,365		\$37,365
SFMTA	Redding Elementary Safe Routes to School	PS&E	Programmed	\$18,352				\$18,352
SFMTA	Redding Elementary Safe Routes to School	CON	Programmed			\$91,760		\$91,760
SFMTA	Bessie Carmichael Safe Routes to School	PS&E	Programmed	\$115,000				\$115,000
SFMTA	Bessie Carmichael Safe Routes to School	CON	Programmed		\$68,820			\$68,820
SFMTA	John Yehall Chin Safe Routes to School ¹	PLAN/ CER	Allocated	\$40,433				\$40,433
SFMTA	John Yehall Chin Safe Routes to School ¹	PLAN/ CER	Deobligated	(\$4,433)				(\$4,433)
SFMTA	John Yehall Chin Safe Routes to School ¹	PS&E	Programmed	\$6,242				\$6,242
SFMTA	John Yehall Chin Safe Routes to School	CON	Programmed			\$20,646		\$20,646
Arterials and Commercial Corridors Track								
SFMTA	Columbus Avenue Corridor Improvements	PS&E	Programmed	\$150,000				\$150,000
SFMTA	Howard Street Streetscape ⁷	PLAN/ CER	Programmed		\$0			\$0
SFMTA	Howard Street Streetscape ⁷	PS&E	Programmed			\$120,000		\$120,000
SFMTA	Glen Park Phase 2 ⁷	PLAN/ CER	Allocated			\$260,000		\$260,000
SFMTA	Howard Street Streetscape ¹⁵	CON	Programmed				\$9,074	\$9,074
SFMTA	8th Street Streetscape ¹⁶	PS&E	Programmed		\$164,518			\$164,518
SFMTA	WalkFirst Rectangular Rapid Flashing Beacons ¹⁰	CON	Allocated			\$399,000		\$399,000
SFMTA	Arterials Track Traffic Calming Program ⁴	PLAN/ CER	Programmed	\$0				\$0
SFMTA	Arterials Track Traffic Calming Program ^{4, 13}	PLAN/ CER, PS&E	Programmed		\$0			\$0
SFMTA	Taylor Street Safety Project	PLAN	Allocated		\$220,000			\$220,000
SFMTA	Lombard Street US-101 Corridor [NTIP Capital] ⁴	PS&E	Allocated		\$138,586			\$138,586
SFMTA	Lombard Street US-101 Corridor [NTIP Capital] ⁴	CON	Allocated		\$33,000			\$33,000
SFMTA	Sloat/Skyline Intersection Alternatives Analysis [NTIP Capital] ¹³	PLAN/ CER	Allocated			\$151,298		\$151,298
SFMTA	Arterials Track Traffic Calming Program ¹³	PLAN/ CER, PS&E	Programmed			\$19,859		\$19,859
SFMTA	Golden Gate Park Traffic Safety ¹⁵	PS&E, CON	Pending				\$580,926	\$580,926
SFMTA	Traffic Signal Upgrade Contract 34 ¹⁶	CON	Pending				\$845,599	\$845,599

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year				Total
				2014/15	2015/16	2016/17	2017/18	
Follow-the-Paving								
SFMTA	Follow-the-Paving: Spot Improvements	CON	Programmed	\$100,000				\$100,000
SFMTA	Follow-the-Paving: Spot Improvements	CON	Programmed			\$100,000		\$100,000
SFMTA	Follow-the-Paving: Spot Improvements	CON	Programmed				\$100,000	\$100,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	CON	Programmed	\$49,100				\$49,100
SFPW	San Jose Avenue Follow the Paving	CON	Allocated	\$250,900				\$250,900
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	PS&E	Programmed		\$75,000			\$75,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	CON	Programmed			\$100,000		\$100,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	PS&E	Programmed				\$75,000	\$75,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	CON	Programmed				\$33,600	\$33,600
Total Programmed in 5YPP				\$750,562	\$2,934,437	\$6,528,230	\$3,999,100	\$15,909,582

Total Allocated and Pending in 5YPP				\$316,333	\$717,463	\$4,567,723	\$2,367,375	\$0	\$7,968,894
Total Deobligated from Prior 5YPP Cycles **				(\$4,465)	\$0	\$0	\$0	\$0	(\$4,465)
Total Unallocated in 5YPP				\$438,694	\$2,216,974	\$1,960,507	\$1,631,725	\$1,697,254	\$7,945,154

Total Programmed in 2014 Strategic Plan				\$4,268,627	\$3,877,459	\$2,247,022	\$2,212,651	\$1,697,254	\$14,303,013
Deobligated from Prior 5YPP Cycles **				\$1,606,569					\$1,606,569
Cumulative Remaining Programming Capacity				\$5,124,634	\$6,067,656	\$1,786,449	\$0	\$0	\$0

Programmed
Pending Allocation/Appropriation
Board Approved Allocation/Appropriation

FOOTNOTES:

- ¹ 5YPP amendment to add \$28,758 for the planning/conceptual engineering phase of John Yehall Chin Safe Routes to School (Resolution 15-017, 11.25.14)
- John Yehall Chin Safe Routes to School: Reduced programming for the design phase in FY 2014/15 from \$35,000 to \$6,242 to fund the project's planning/conceptual engineering phase.
- ² 5YPP amendment to reprogram \$25,000 in FY 14/15 funds currently programmed to the construction phase of "Traffic Calming Implementation (Prior Area-wide Plans)" to the design phase.
- ³ Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$203,476) were allocated to Local Track Application-Based Traffic Calming in FY 2015/16.
- ⁴ 5YPP amendment to fund the Lombard Street US-101 Corridor [NTIP Capital] (Resolution 16-06, 7/28/15)
- Arterials Track Traffic Calming Program: Reduced programming for the planning/conceptual engineering phase in FY 2014/15 from \$100,000 to \$0 and in FY 2015/16 from \$369,143 to \$297,557.
- ⁵ 5YPP amendment to fund Sloat Boulevard Pedestrian Improvements (Resolution 16-28, 12.15.15)
- Lombard Street US-101 Corridor [NTIP Capital]: Added project with \$138,586 for the design phase and \$33,000 for the construction phase in FY 2015/16.
- Traffic Calming Implementation (Prior Area-wide Plans): Reduced programming for construction phase in FY 2014/15 from \$2,563,600 to \$2,441,123.
- Sloat Boulevard Pedestrian Improvements: Added project with \$122,477 for the construction phase in FY 2015/16.
- ⁶ 5YPP amendment to fund construction phase of South Park Traffic Calming (Resolution 17-002, 7/26/16)
- Neighborhood Transportation Improvement Program (NTIP) design or construction: Reduced placeholder from \$1,000,000 in FY 2016/17 to \$970,000.
- South Park Traffic Calming [NTIP Capital]: Added project with \$30,000 in FY 2016/17 construction funds.

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year			Total
				2014/15	2015/16	2016/17	

- ⁷ 5YPP amendment to fund planning phase of Glen Park Phase 2 (Resolution 17-002, 7/26/16)
Howard Streetscape Improvement: Reduced from \$80,000 to zero in FY 15/16 and from \$300,000 to \$120,000 in FY 16/17.
Glen Park Phase 2: Added project with \$260,000 in FY 2016/17 planning funds.
- ⁸ Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$116,600) and from FY 2015/16 (\$96,925) were allocated to Local Track Application-Based Traffic Calming in FY 2016/17.
- ⁹ Traffic Calming Implementation (Prior Area-wide Plans) funds from FY 2014/15 (\$1,500,000) were allocated to Traffic Calming Implementation (Prior Area-wide Plans) in FY 2016/17.
- ¹⁰ 5YPP amendment to fund WalkFirst Rectangular Rapid Flashing Beacons (Resolution 17-07, 9/27/16)
Cumulative Remaining Programming Capacity: Reduced from \$1,378,894 to \$979,894. (Source: deobligated funds from previous 5YPP cycles)
WalkFirst Rectangular Rapid Flashing Beacons: Added project with \$399,000 in FY 2016/17 construction funds.
- ¹¹ 5YPP amendment to fund Traffic Calming Implementation (Prior Area-wide Plans) (Resolution 17-012, 10/25/16)
Cumulative Remaining Programming Capacity: Reduced from \$979,894 to \$132,017. (Source: deobligated funds from previous 5YPP cycles)
Traffic Calming Implementation (Prior Area-wide Plans): FY 2014/15 funds (\$941,123) were allocated in FY 2016/17, and the planning and design phases were added.
- ¹² 5YPP amendment to fund Wiggle Neighborhood Green Corridor (Resolution 17-027, 02/28/2017)
Proactive Residential Traffic Calming Improvements: Reduced from \$125,000 to zero in FY 2014/15 and from \$978,651 to \$878,751 in FY 2015/16 funds. A total of \$1.78 million remains available for allocation to this project in FY 2016/17.
- ¹³ To accommodate funding of the Sloat/Skyline Intersection Alternatives Analysis [NTIP Capital] (Resolution 2017-046, 5/23/2017):
Arterials Track Traffic Calming Program placeholder: reduced from \$77,557 to \$0 in FY 2016/17 and from \$93,600 to \$73,741 in FY 2017/18;
Sloat/Skyline Intersection Alternatives Analysis [NTIP Capital]: Added project with \$151,298 in FY 16/17 for Planning/Conceptual Engineering.
- ¹⁴ Local Track Application-Based Traffic Calming funds from FY 2015/16 (\$180,751) and from FY 2016/17 (\$32,774) were allocated to Local Track Application-Based Traffic Calming in FY 2017/18 (Planning)
Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$41,000) and from FY 2015/16 (\$39,918) were allocated to Local Track Application-Based Traffic Calming in FY 2017/18 (Design)
- ¹⁵ 5YPP amendment to fund Golden Gate Park Traffic Safety (Resolution 18-XXXX, XXXX)
Howard Street Streetscape (construction phase): Reduced from \$590,000 to \$9,074 in FY 2017/18 funds. Project is fully funded with Eastern Neighborhoods IPIC funds
Golden Gate Park Traffic Safety: Added project with \$580,296 in FY 2017/18 funds for design and construction.
- ¹⁶ 5YPP amendment to fund Traffic Signal Upgrade Contract 34 (Resolution 18-XXXX, XXXX):
8th Street Streetscape: Reduced from \$645,960 in FY 2015/16 funds to \$164,518. Project is fully funded with Eastern Neighborhoods impact fees and Prop A GO Bond funds.
Cumulative Remaining Programming Capacity: Reduced from \$364,157 to \$0.
Traffic Signal Upgrade Contract 34: Added project with \$845,599 in FY 2017/18 funds for construction.



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San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

FY of Allocation Action: 2017/18

Project Name: Golden Gate Park Traffic Safety

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

EXPENDITURE PLAN INFORMATION

Prop K EP category: Traffic Calming: (EP-38)

Prop K EP Line Number (Primary): 38

Current Prop K Request: \$580,926

Prop K Other EP Line Numbers: _____

Supervisorial District(s): District 01, District 04, District 05

REQUEST

Brief Project Description (type below)

Design and construction of 50 traffic calming devices and minor traffic modifications throughout Golden Gate Park, as specified in the 2016 Mayor's Executive Directive. Improvements include speed humps, speed tables, raised crosswalks, a one-way conversion on 30th Avenue, and corridor striping improvements on JFK Drive.

Detailed Scope, Project Benefits and Community Outreach (type below) See separate scope.

See attached.

Project Location (type below)

Golden Gate Park

Project Phase (select dropdown below)

Multiple Phases

Map or Drawings Attached? Yes

Other Items Attached? Yes

5YPP/STRATEGIC PLAN INFORMATION

Type of Project in the Prop K
5YPP/Prop AA Strategic Plan? New Project

Please describe and justify the necessary amendment:

SFMTA is requesting an amendment to the Traffic Calming 5YPP in order to add the subject project and reprogram \$580,926 from the construction phase of the Howard Street Streetscape project to the subject project. Howard Street improvements are included in the SFMTA's Folsom Street & Howard Street Streetscape project, which is fully funded with impact fees from the Eastern Neighborhoods area plan.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

The San Francisco Municipal Transportation Agency (SFMTA) requests an allocation of \$580,926 in Prop K funds for the Golden Gate Park Traffic Safety Project. This allocation will cover detailed design and construction of traffic calming devices and minor traffic modifications in Golden Gate Park.

Project Background

Golden Gate Park is a 1,017 acre, three-mile-long urban park that is within San Francisco Supervisorial Districts 1, 4, and 5. The park serves as a tourist destination, active recreational space for both San Francisco and the greater Bay Area, and as a commuter route for motorists, bicyclists, and pedestrians. As a result of the park's heavy use, a large portion of John F. Kennedy Drive appears on San Francisco's High Injury Corridor map, and on June 22, 2016, a bicycle rider was fatally struck on John F. Kennedy Drive near 30th Avenue. On August 4th 2016, Mayor Ed Lee issued a Vision Zero executive directive which, in part, instructed the SFMTA and SF Recreation and Parks Department (SFRPD) to study and implement traffic calming improvements and traffic restrictions in Golden Gate Park. The project team conducted a thorough review of collisions in the park, and collected the public's feedback on perceived safety and comfort issues in the park through an open house on December 3, 2016 and an online survey.

In partnership with SFRPD, collision data and public feedback were used to determine and prioritize those projects that would have the greatest safety benefits for park users, and could be designed and implemented in 2017. Projects were considered in terms of:

- Traffic calming measures
- Pedestrian and bicyclist crossing improvements
- Intersection and spot improvements
- Short-term traffic modifications
- Long-term traffic modifications

Proposed projects were presented to stakeholders during one-on-one meetings this spring, and to the public at the June 11th Sunday Streets event in Golden Gate Park. Feedback was largely positive and the input received regarding design details on individual projects, both during stakeholder meetings and Sunday Streets, will be utilized during the detailed design process.

This allocation request is for funding design and construction of those projects that can be implemented in 2017. Due the large number of individual projects and differing scopes, there will be some overlap in the design and construction phases. Additional funding may be sought in the future for capital- and design- intensive projects that would require several years to design and construct.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Scope

Similar to the city's annual Application-Based Traffic Calming Program, final determination of individual project feasibility will occur during the detailed design phase and through final outreach and approvals to be conducted by the SFMTA and SFRPD in advance of this allocation. Currently, the following deliverables are proposed to result from this allocation request:

Type	Location	Quantity
Speed humps	Park-wide	7
Speed tables	Park-wide	4
Raised crosswalks	Park-wide	10
Intersection and spot modifications (e.g. turn guidance striping, safe-hit posts, new painted crosswalks)	Park-wide	12
Intersection existing crosswalk upgrades	Park-wide	15
Traffic modifications (one-way conversion)	30 th Ave	1
Corridor improvements	JFK Parking-Protected Bikeway	1

Tasks associated with each of the phases include:

Design

- Finalize preferred location and detailed design for all traffic calming devices and traffic modifications; it is possible some locations may be deemed infeasible.
- Update striping drawings.

Construction

- Coordinate with SFMTA shops and SFPW crews to conduct the construction work.
- Create work orders.

Environmental

Traffic calming measures proposed in this allocation request have been determined to be categorically exempt from CEQA review by the SFMTA Environmental Planning Team and the San Francisco Planning Department.

Traffic modifications on 30th Avenue will be cleared with the San Francisco Planning Department.

Prioritization

While this project was not included in the SFCTA's 5-year Prioritization of Projects, the urgency arising from the recent bicycle fatality and Mayor's Executive Directive has highlighted this project as a priority for the City. Measures identified for inclusion in this request are those that can be implemented in a short time frame appropriate to the project goals.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Project Name: Golden Gate Park Traffic Safety

ENVIRONMENTAL CLEARANCE

Environmental Type: Categorically Exempt

PROJECT DELIVERY MILESTONES

Enter dates below for ALL project phases, not just for the current request, based on the best information available. For PLANNING requests, please only enter the schedule information for the PLANNING phase.

Phase	Start		End	
	Quarter	Calendar Year	Quarter	Calendar Year
Planning/Conceptual Engineering (PLAN)	Oct-Dec	2016	Apr-Jun	2017
Environmental Studies (PA&ED)	Oct-Dec	2016	Apr-Jun	2017
Right-of-Way				
Design Engineering (PS&E)	Jul-Sep	2017	Oct-Dec	2017
Advertise Construction				
Start Construction (e.g. Award Contract)	Oct-Dec	2017		
Operations (i.e., paratransit)				
Open for Use			Jan-Mar	2018
Project Completion (means last eligible expenditure)			Apr-Jun	2018

SCHEDULE DETAILS

Provide dates for any COMMUNITY OUTREACH planned during the requested phase(s). Identify PROJECT COORDINATION with other projects in the area (e.g. paving, MUNI Forward) and relevant milestone dates (e.g. design needs to be done by DATE to meet paving schedule). List any timely use-of-funds deadlines (e.g. federal obligation deadline). If a project is comprised of MULTIPLE SUB-PROJECTS, provide milestones for each sub-project. For PLANNING EFFORTS, provide start/end dates for each task.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Project Name: Golden Gate Park Traffic Safety

FUNDING PLAN - FOR CURRENT REQUEST

Enter the funding plan for the phase(s) that are the subject of the CURRENT REQUEST. Totals should match those shown in the Cost Summary below.

Fund Source	Planned	Programmed	Allocated	Total
Prop K	\$ 580,926	\$ -	\$ -	\$ 580,926
Total:	\$ 580,926	\$ -	\$ -	\$ 580,926

FUNDING PLAN - FOR ENTIRE PROJECT (ALL PHASES)

Enter the funding plan for all phases (planning through construction) of the project. This section may be left blank if the current request covers all project phases. Totals should match those shown in the Cost Summary below.

Fund Source	Planned	Programmed	Allocated	Total
Prop K	\$ 580,926	\$ -	\$ -	\$ 580,926
Prop B General Fund set-aside	\$ -	\$ -	\$ 160,000	\$ 160,000
Total:	\$ 580,926	\$ -	\$ 160,000	\$ 740,926

COST SUMMARY

Show total cost for ALL project phases (in year of expenditure dollars) based on best available information. Source of cost estimate (e.g. 35% design, vendor quote) is intended to help gauge the quality of the cost estimate, which should improve in reliability the farther along a project is in its development.

Phase	Total Cost	Prop K - Current Request	Prop AA - Current Request	Source of Cost Estimate
Planning/Conceptual Engineering (PLAN)	\$ 160,000	\$ -		Actual costs
Environmental Studies (PA&ED)	\$ -	\$ -		
Right-of-Way	\$ -	\$ -		
Design Engineering (PS&E)	\$ 165,979	\$ 165,979	\$ -	40% of construction cost
Construction (CON)	\$ 414,947	\$ 414,947	\$ -	SFMTA Striping Cost Estimate and prior DPW work
Operations (Paratransit)	\$ -	\$ -		
Total:	\$ 740,926	\$ 580,926	\$ -	

% Complete of Design: as of
 Expected Useful Life: Years

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

PROPOSED REIMBURSEMENT SCHEDULE FOR CURRENT REQUEST (instructions as noted below)

Use the table below to enter the proposed reimbursement schedule for the current request. Prop K and Prop AA policy assume these funds will not be reimbursed at a rate greater than their proportional share of the funding plan for the relevant phase unless justification is provided for a more aggressive reimbursement rate. If the current request is for multiple phases, please provide separate reimbursement schedules by phase. If the proposed schedule exceeds the years available, please attach a file with the requested information.

Phase:

Phase:

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K	\$ -	\$ 165,979	\$ -	\$ -	\$ -	\$ 165,979
Prop AA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Phase:

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K	\$ -	\$ 414,947		\$ -	\$ -	\$ 414,947
Prop AA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

San Francisco County Transportation Authority
 Prop K/Prop AA Allocation Request Form

Project Name: Golden Gate Park Traffic Safety

MAJOR LINE ITEM BUDGET

I. BUDGET SUMMARY BY PHASE

	TOTAL LABOR	MATERIALS	TOTAL PROJECT COSTS	CURRENT REQUEST	% of CONSTRUCTION
A. Planning	\$ 160,000		\$ 160,000		0%
B. Design	\$ 165,979		\$ 165,979	\$ 165,979	40%
C. Construction ¹	\$ 331,958	\$ 82,989	\$ 414,947	\$ 414,947	
TOTAL	\$ 657,937	\$ 82,989	\$ 740,926	\$ 580,926	

¹Includes \$500 for City Attorney work

B. DESIGN

Budget Line Item	Totals
Total Labor (SFMTA)	\$ 165,979
TOTAL PHASE	\$ 165,979

C. CONSTRUCTION

Budget Line Item	Totals	SFMTA	SFPW	Contractor
1. Labor	\$ 276,631	\$ 121,431	\$ 155,200	N/A
2. Materials	\$ 69,158	\$ 30,358	\$ 38,800	N/A
3. 20% Contingency	\$ 69,158	\$ 30,358	\$ 38,800	N/A
TOTAL CONSTRUCTION PHASE	\$ 414,947	\$ 182,147	\$ 232,800	\$ -

Construction Materials (estimated costs include SFMTA Labor and Materials and SFPW Labor and Materials)	Unit Cost	# Units	Total
Speed Humps	\$ 7,000	7	\$ 49,000
Speed Tables	\$ 17,750	4	\$ 71,000
Raised Crosswalks	\$ 17,100	10	\$ 171,000
Intersection and Spot Modifications	\$ 3,665	27	\$ 98,948
Corridor Striping	\$ 12,500	2	\$ 25,000
CONSTRUCTION MATERIALS & CONTRACT WORK SUBTOTAL			\$ 414,948

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: _____ **Res. No:** _____ **Res. Date:** _____

Project Name: Golden Gate Park Traffic Safety

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

Funding Recommended:	Action	Amount	Phase
	Prop K Allocation	\$ 165,979	Design Engineering (PS&E)
	Prop K Allocation	\$ 414,947	Construction (CON)
	Total:	\$ 580,926	

Total Prop K Funds: \$ 580,926 **Total Prop AA Funds:** \$ -

Justification for multi-phase recommendations and notes for multi-sponsor recommendations: A multi-phase allocation is appropriate given the overlap in the design and construction phases and the short duration of the project.

Fund Expiration Date: 12/31/2018 **Eligible expenses must be incurred prior to this date.**

Deliverables:

1. The first quarterly progress report (QPR) should include a final list of locations for the traffic calming measures and traffic modifications in addition to the standard requirements for QPRs (See Standard Grant Agreement (SGA) for details).
2. Quarterly progress reports shall provide the percent complete for each location and the percent complete for the overall project, in addition to all other requirements described in the Standard Grant Agreement (SGA). Over the course of the project quarterly progress reports should include 2-3 photos of work in progress for recent activities. See SGA for definitions.

Special Conditions:

1. The recommended allocation is contingent upon a concurrent Traffic Calming 5YPP amendment. See attached 5YPP amendment for details.
2. The Transportation Authority will only reimburse SFMTA up to the approved overhead multiplier rate for fiscal year that SFMTA incurs charges.

Metric	Prop K	Prop AA
Actual Leveraging - Current Request	0.00%	No Prop AA
Actual Leveraging - This Project	21.59%	No Prop AA

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: _____ Res. No: _____ Res. Date: _____

Project Name: Golden Gate Park Traffic Safety

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

SFCTA Project P&PD
Reviewer: _____

SGA PROJECT NUMBER

Sponsor: San Francisco Municipal Transportation Agency - DPT

SGA Project Number: 138-907XXX Name: Golden Gate Park Traffic Safety - Design

Phase: Design Engineering (PS&E) Fund Share: 100.00%

Cash Flow Distribution Schedule by Fiscal Year

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K		\$ 165,979				\$165,979

Sponsor: San Francisco Municipal Transportation Agency - DPT

SGA Project Number: 138-907XXX Name: Golden Gate Park Traffic Safety - Construction

Phase: Construction (CON) Fund Share: 100.00%

Cash Flow Distribution Schedule by Fiscal Year

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K		\$ 414,947				\$414,947

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

FY of Allocation Action: 2017/18

Current Prop K Request: \$ 580,926
Current Prop AA Request: \$ -

Project Name: Golden Gate Park Traffic Safety

Grant Recipient: San Francisco Municipal Transportation Agency - DPT

1) The requested sales tax and/or vehicle registration fee revenues will be used to supplement and under no circumstance replace existing local revenues used for transportation purposes.

<p>Required for Allocation Request Form Submission Initials of sponsor staff member verifying the above statement</p>
<p>NS</p>

CONTACT INFORMATION

Project Manager

Grants Section Contact

Name: Mark Dreger

Joel C. Goldberg

Title: Senior Transportation Planner

Manager, Capital Procurement and Management

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415-646-2520

Email: mark.dreger@sfmta.com

joel.goldberg@sfmta.com

MAPS AND DRAWINGS

	Safe-Hit Posts		Speed Table <i>(future raised crosswalk)</i>		Keep Clear Marking
	Speed Hump		Painted Crosswalk		Existing Speed Hump or Raised Crosswalk
	Turn Guidance		Lengthened Island		Corridor Spot Improvements
	Raised Crosswalk		Stop Sign		30th Ave One-way Pilot

Visibility upgrades to existing painted crosswalks (approximately 15 intersections) are not shown on map



Map continues in next page.

San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

	Safe-Hit Posts		Speed Table <small>(Future raised crosswalks)</small>		Keep Clear Marking
	Speed Hump		Painted Crosswalk		Existing Speed Hump or Raised Crosswalk
	Turn Guidance		Lengthened Island		Corridor Spot Improvements
	Raised Crosswalk		Stop Sign		30th Ave One-way Pilot



Prop K 5-Year Project List (FY 2014/15 - 2018/19)
Traffic Calming (EP 38)
Programming and Allocations to Date
 Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
Local/Neighborhood Track									
SFMTA	Local Track Application-Based Traffic Calming	CON	Programmed	\$0					\$0
SFMTA	Local Track Application-Based Traffic Calming ¹⁴	CON	Pending				\$646,407		\$646,407
SFMTA	Local Track Application-Based Traffic Calming ^{3, 8}	PLAN/ CER	Programmed	\$0					\$0
SFMTA	Local Track Application-Based Traffic Calming ³	PLAN/ CER	Allocated		\$203,400				\$203,400
SFMTA	Local Track Application-Based Traffic Calming	PS&E	Programmed	\$0					\$0
SFMTA	Local Track Application-Based Traffic Calming ¹⁴	PS&E	Pending				\$80,918		\$80,918
SFMTA	Local Track Application-Based Traffic Calming ⁸	Any	Programmed		\$0				\$0
SFMTA	Local Track Application-Based Traffic Calming ⁸	PLAN/ CER	Allocated			\$213,525			\$213,525
SFMTA	Local Track Application-Based Traffic Calming ¹⁴	PLAN/ CER	Pending				\$213,525		\$213,525
SFMTA	Local Track Application-Based Traffic Calming	Any	Programmed			\$567,226			\$567,226
SFMTA	Local Track Application-Based Traffic Calming	Any	Programmed				\$600,000		\$600,000
SFMTA	Local Track Application-Based Traffic Calming	Any	Programmed					\$600,000	\$600,000
SFMTA	Local Track Application-Based Traffic Calming	PLAN/ CER	Programmed	\$0					\$0
SFMTA	Proactive Residential Traffic Calming Improvements ¹²	Any	Programmed		\$878,751				\$878,751
SFMTA	Proactive Residential Traffic Calming Improvements ¹²	Any	Programmed			\$903,651			\$903,651
SFMTA	Proactive Residential Traffic Calming Improvements	PS&E, CON	Programmed				\$853,651		\$853,651
SFMTA	Proactive Residential Traffic Calming Improvements	PS&E, CON	Programmed					\$853,654	\$853,654
SFMTA	Wiggle Neighborhood Green Corridor ¹²	CON	Allocated			\$224,900			\$224,900
SFMTA	Traffic Calming Implementation (Prior Arcawide Plans) ^{2,5,9,11}	PLAN, PS&E, CON	Allocated	\$0		\$1,789,000			\$1,789,000
SFMTA	Traffic Calming Implementation (Prior Arcawide Plans) ⁹	CON	Allocated			\$1,500,000			\$1,500,000
SFMTA	Traffic Calming Implementation (Prior Arcawide Plans) ²	PS&E	Allocated	\$25,000					\$25,000
SFMTA	Traffic Calming Implementation (Prior Arcawide Plans) ² - DEOBLIGATION	PS&E	Deobligated	(\$32)					(\$32)
SFPW	Sloat Boulevard Pedestrian Improvements ⁵	CON	Allocated		\$122,477				\$122,477
SFMTA, other eligible	Neighborhood Transportation Improvement Program (NITP) ^{6,12}	PS&E, CON	Programmed		\$970,000				\$970,000
SFPW	South Park Traffic Calming [NITP Capital] ⁶	CON	Allocated			\$30,000			\$30,000

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
Schools Track									
SFMTA	Schools Track Traffic Calming Program	PLAN/ CER	Programmed				\$44,000		\$44,000
SFMTA	Schools Track Traffic Calming Program	PS&E	Programmed				\$50,000		\$50,000
SFMTA	Schools Track Traffic Calming Program	CON	Programmed					\$110,000	\$110,000
SFMTA	Cesar Chavez Elementary Safe Routes to School	PS&E	Programmed		\$59,885				\$59,885
SFMTA	Cesar Chavez Elementary Safe Routes to School	CON	Programmed				\$37,365		\$37,365
SFMTA	Redding Elementary Safe Routes to School	PS&E	Programmed	\$18,352					\$18,352
SFMTA	Redding Elementary Safe Routes to School	CON	Programmed				\$91,760		\$91,760
SFMTA	Bessie Carmichael Safe Routes to School	PS&E	Programmed	\$115,000					\$115,000
SFMTA	Bessie Carmichael Safe Routes to School	CON	Programmed		\$68,820				\$68,820
SFMTA	John Yehall Chin Safe Routes to School ¹	PLAN/ CER	Allocated	\$40,433					\$40,433
SFMTA	John Yehall Chin Safe Routes to School ¹	PLAN/ CER	Deobligated	(\$4,433)					(\$4,433)
SFMTA	John Yehall Chin Safe Routes to School ¹	PS&E	Programmed	\$6,242					\$6,242
SFMTA	John Yehall Chin Safe Routes to School	CON	Programmed			\$20,646			\$20,646
Arterials and Commercial Corridors Track									
SFMTA	Columbus Avenue Corridor Improvements	PS&E	Programmed	\$150,000					\$150,000
SFMTA	Howard Street Streetscape ⁷	PLAN/ CER	Programmed		\$0				\$0
SFMTA	Howard Street Streetscape ⁷	PS&E	Programmed			\$120,000			\$120,000
SFMTA	Glen Park Phase 2 ⁷	PLAN/ CER	Allocated			\$260,000			\$260,000
SFMTA	Howard Street Streetscape ¹⁵	CON	Programmed				\$9,074		\$9,074
SFMTA	8th Street Streetscape ¹⁶	PS&E	Programmed		\$164,518				\$164,518
SFMTA	WalkFirst Rectangular Rapid Flashing Beacons ¹⁰	CON	Allocated			\$399,000			\$399,000
SFMTA	Arterials Track Traffic Calming Program ⁴	PLAN/ CER	Programmed	\$0					\$0
SFMTA	Arterials Track Traffic Calming Program ^{4,13}	PLAN/ CER, PS&E	Programmed		\$0				\$0
SFMTA	Taylor Street Safety Project	PLAN	Allocated		\$220,000				\$220,000
SFMTA	Lombard Street US-101 Corridor [NTIP Capital] ⁴	PS&E	Allocated		\$138,586				\$138,586
SFMTA	Lombard Street US-101 Corridor [NTIP Capital] ⁴	CON	Allocated		\$33,000				\$33,000
SFMTA	Sloat/Skyline Intersection Alternatives Analysis [NTIP Capital] ¹³	PLAN/ CER	Allocated			\$151,298			\$151,298
SFMTA	Arterials Track Traffic Calming Program ¹³	PLAN/ CER, PS&E	Programmed			\$19,859			\$19,859
SFMTA	Golden Gate Park Traffic Safety ¹⁵	PS&E, CON	Pending				\$580,926		\$580,926
SFMTA	Traffic Signal Upgrade Contract 34 ¹⁶	CON	Pending				\$845,599		\$845,599

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year				Total
				2014/15	2015/16	2016/17	2017/18	
Follow-the-Paving								
SFMTA	Follow-the-Paving: Spot Improvements	CON	Programmed	\$100,000				\$100,000
SFMTA	Follow-the-Paving: Spot Improvements	CON	Programmed			\$100,000		\$100,000
SFMTA	Follow-the-Paving: Spot Improvements	CON	Programmed				\$100,000	\$100,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	CON	Programmed	\$49,100				\$49,100
SFPW	San Jose Avenue Follow the Paving	CON	Allocated	\$250,900				\$250,900
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	PS&E	Programmed		\$75,000			\$75,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	CON	Programmed			\$100,000		\$100,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	PS&E	Programmed				\$75,000	\$75,000
SFMTA	Follow-the-Paving: Traffic Calming Major Corridors	CON	Programmed				\$33,600	\$33,600
Total Programmed in 5YPP				\$750,562	\$2,934,437	\$6,528,230	\$3,999,100	\$15,909,582

Total Allocated and Pending in 5YPP				\$316,333	\$717,463	\$4,567,723	\$2,367,375	\$0	\$7,968,894
Total Deobligated from Prior 5YPP Cycles **				(\$4,465)	\$0	\$0	\$0	\$0	(\$4,465)
Total Unallocated in 5YPP				\$438,694	\$2,216,974	\$1,960,507	\$1,631,725	\$1,697,254	\$7,945,154

Total Programmed in 2014 Strategic Plan				\$4,268,627	\$3,877,459	\$2,247,022	\$2,212,651	\$1,697,254	\$14,303,013
Deobligated from Prior 5YPP Cycles **				\$1,606,569					\$1,606,569
Cumulative Remaining Programming Capacity				\$5,124,634	\$6,067,656	\$1,786,449	\$0	\$0	\$0

Programmed
Pending Allocation/Appropriation
Board Approved Allocation/Appropriation

FOOTNOTES:

¹ 5YPP amendment to add \$28,758 for the planning/conceptual engineering phase of John Yehall Chin Safe Routes to School (Resolution 15-017, 11.25.14)

² John Yehall Chin Safe Routes to School: Reduced programming for the design phase in FY 2014/15 from \$35,000 to \$6,242 to fund the project's planning/conceptual engineering phase.

³ 5YPP amendment to reprogram \$25,000 in FY 14/15 funds currently programmed to the construction phase of "Traffic Calming Implementation (Prior Area-wide Plans)" to the design phase.

⁴ Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$203,476) were allocated to Local Track Application-Based Traffic Calming in FY 2015/16.

⁵ 5YPP amendment to fund the Lombard Street US-101 Corridor [NTIP Capital] (Resolution 16-06, 7/28/15)

⁶ Arterials Track Traffic Calming Program: Reduced programming for the planning/conceptual engineering phase in FY 2014/15 from \$100,000 to \$0 and in FY 2015/16 from \$369,143 to \$297,557.

⁷ Lombard Street US-101 Corridor [NTIP Capital]: Added project with \$138,586 for the design phase and \$33,000 for the construction phase in FY 2015/16.

⁸ 5YPP amendment to fund Sloat Boulevard Pedestrian Improvements (Resolution 16-28, 12.15.15)
 Traffic Calming Implementation (Prior Area-wide Plans): Reduced programming for construction phase in FY 2014/15 from \$2,563,600 to \$2,441,123.

⁹ Sloat Boulevard Pedestrian Improvements: Added project with \$122,477 for the construction phase in FY 2015/16.

¹⁰ 5YPP amendment to fund construction phase of South Park Traffic Calming (Resolution 17-002, 7/26/16)

¹¹ Neighborhood Transportation Improvement Program (NTIP) design or construction: Reduced placeholder from \$1,000,000 in FY 2016/17 to \$970,000.

¹² South Park Traffic Calming [NTIP Capital]: Added project with \$30,000 in FY 2016/17 construction funds.

Programming and Allocations to Date

Pending 7/25/2017 Board

Agency	Project Name	Phase	Status	Fiscal Year			Total
				2014/15	2015/16	2016/17	

- 7 5YPP amendment to fund planning phase of Glen Park Phase 2 (Resolution 17-002, 7/26/16)
Howard Streetscape Improvement: Reduced from \$80,000 to zero in FY 15/16 and from \$300,000 to \$120,000 in FY 16/17.
Glen Park Phase 2: Added project with \$260,000 in FY 2016/17 planning funds.
- 8 Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$116,600) and from FY 2015/16 (\$96,925) were allocated to Local Track Application-Based Traffic Calming in FY 2016/17.
- 9 Traffic Calming Implementation (Prior Areawide Plans) funds from FY 2014/15 (\$1,500,000) were allocated to Traffic Calming Implementation (Prior Areawide Plans) in FY 2016/17.
- 10 5YPP amendment to fund WalkFirst Rectangular Rapid Flashing Beacons (Resolution 17-07, 9/27/16)
Cumulative Remaining Programming Capacity: Reduced from \$1,378,894 to \$979,894. (Source: deobligated funds from previous 5YPP cycles)
WalkFirst Rectangular Rapid Flashing Beacons: Added project with \$399,000 in FY 2016/17 construction funds.
- 11 5YPP amendment to fund Traffic Calming Implementation (Prior Areawide Plans) (Resolution 17-012, 10/25/16)
Cumulative Remaining Programming Capacity: Reduced from \$979,894 to \$132,017. (Source: deobligated funds from previous 5YPP cycles)
Traffic Calming Implementation (Prior Areawide Plans): FY 2014/15 funds (\$941,123) were allocated in FY 2016/17, and the planning and design phases were added.
- 12 5YPP amendment to fund Wiggle Neighborhood Green Corridor (Resolution 17-027, 02/28/2017)
Proactive Residential Traffic Calming Improvements: Reduced from \$125,000 to zero in FY 2014/15 and from \$978,651 to \$878,751 in FY 2015/16 funds. A total of \$1.78 million remains available for allocation to this project in FY 2016/17.
Wiggle Neighborhood Green Corridor: Added \$224,900 in FY 2016/17 funds for construction.
- 13 To accommodate funding of the Sloat/Skyline Intersection Alternatives Analysis [NTIP Capital] (Resolution 2017-046, 5/23/2017):
Arterials Track Traffic Calming Program placeholder: reduced from \$77,557 to \$0 in FY 2016/17 and from \$93,600 to \$73,741 in FY 2017/18;
Sloat/Skyline Intersection Alternatives Analysis [NTIP Capital]: Added project with \$151,298 in FY 16/17 for Planning/Conceptual Engineering.
- 14 Local Track Application-Based Traffic Calming funds from FY 2015/16 (\$180,751) and from FY 2016/17 (\$32,774) were allocated to Local Track Application-Based Traffic Calming in FY 2017/18 (Planning)
Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$41,000) and from FY 2015/16 (\$39,918) were allocated to Local Track Application-Based Traffic Calming in FY 2017/18 (Design)
Local Track Application-Based Traffic Calming funds from FY 2014/15 (\$364,000) and from FY 2015/16 (\$282,407) were allocated to Local Track Application-Based Traffic Calming in FY 2017/18 (Construction)
- 15 5YPP amendment to fund Golden Gate Park Traffic Safety (Resolution 18-XXXX, XXXX)
Howard Street Streetscape (construction phase): Reduced from \$590,000 to \$9,074 in FY 2017/18 funds. Project is fully funded with Eastern Neighborhoods impact fees.
Golden Gate Park Traffic Safety: Added project with \$580,296 in FY 2017/18 funds for design and construction.
- 16 5YPP amendment to fund Traffic Signal Upgrade Contract 34 (Resolution 18-XXXX, XXXX):
8th Street Streetscape: Reduced from \$645,960 in FY 2015/16 funds to \$164,518. Project is fully funded with Eastern Neighborhoods impact fees and Prop A GO Bond funds.
Cumulative Remaining Programming Capacity: Reduced from \$364,157 to \$0.
Traffic Signal Upgrade Contract 34: Added project with \$845,599 in FY 2017/18 funds for construction.

San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

FY of Allocation Action: 2017/18

Project Name: District 10 Mobility Management Study [NTIP Planning]

Grant Recipient: San Francisco County Transportation Authority

EXPENDITURE PLAN INFORMATION

Prop K EP category: Transportation/Land Use Coordination: (EP-44)

Prop K EP Line Number (Primary): 44 Current Prop K Request: \$ 100,000
Prop K Other EP Line Numbers: _____

Supervisory District(s): District 10

REQUEST

Brief Project Description (type below)

This Study was requested by Commissioner Cohen and will be the District 10 Neighborhood Transportation Improvement Program Planning project. The purpose of the Study is to identify strategies to improve transit services, maintain access, and mitigate congestion impacts, including those on climate and the environment, of anticipated new development in District 10. Tasks include: defining the study area, purpose and need for actions beyond approved/pending development mitigation measures; designing mobility management scenario components; conducting outreach; and evaluation of the benefits and impacts of the scenario.

Detailed Scope, Project Benefits and Community Outreach (type below)

See attached.

Project Location (type below)

TBD

Project Phase (select dropdown below)

Planning/Conceptual Engineering (PLAN)

Map or Drawings Attached? No

Other Items Attached? Yes

5YPP/STRATEGIC PLAN INFORMATION

Type of Project in the Prop K 5YPP/Prop AA Strategic Plan? Project Drawn From Placeholder

Is the requested amount greater than the amount programmed in the relevant 5YPP or Strategic Plan? Less than or Equal to Programmed Amount

Prop K 5YPP Amount: \$ 200,000 Prop AA Strategic Plan Amount: _____

SFCTA D10 Multimodal Mobility Management Study

The SFCTA requests \$100,000 in Prop K NTIP planning funds to study and develop strategies to improve transit services and mitigate existing and potential future congestion impacts of anticipated new development in District 10. This District 10 Neighborhood Transportation Improvement Program (NTIP) planning study was developed in response to input from the Supervisor's office. Project deliverables and recommendations will be developed in coordination with the SFMTA and Planning Department, and will respond to the Supervisor's and community concerns. The Transportation Authority's NTIP was developed to build community awareness of, and capacity to provide input to, the transportation planning process and to advance delivery of community supported neighborhood-scale projects.

Outline Scope of Work

Task 1. Project Management

July-Sep 2018

- a) Consultant Procurement *Deliverable: consultant task order or contract*
- b) Agency Involvement *Deliverable: TAC meetings and meeting summaries*
- c) Schedule, budget, and team management
Deliverable: Signed Project Charter, including final project goals, scope, schedule, and budget.

Task 2. Purpose and Need

July-Sep 2017

- a) Define Study Area(s) *Deliverable: Study area map*
 - o Eastern Neighborhoods Rezoning and Area Plan
 - o Waterfront Land Use Plan
 - o Approved Development Areas (Candlestick/Hunters Point, Shipyard)
 - o New Development Areas (India Basin to Pier 70, Giants/Mission Rock)
- b) Define Purpose and Need *Deliverable: Purpose and need narrative*
- c) Define Goals and Evaluation Framework
Deliverable: Goals and Evaluation Framework table

Task 3. Needs Assessment

Oct-Dec 2017

- a) Existing Conditions. The existing conditions will be documented based on existing travel demand estimates and other existing data sources.
Deliverable: Existing conditions narrative
- b) Future Baseline Conditions (Baseline =what's approved and planned, including physical development attributes and TDM programs). The Future Baseline includes the development authorized in the Eastern Neighborhoods plan as well as specific Development Agreements approved or under negotiation. Future Baseline transportation conditions are those identified in those developments' environmental documents and in the SFCTA's Bi-County Study. Future Baseline conditions will be synthesized based on existing travel demand forecasts and other existing data sources.¹

¹ Transportation conditions summaries are included; additional non-transportation conditions are an optional task pending additional funding.

Deliverable: Future baseline transportation conditions narrative

Optional Deliverable: Future baseline non-transportation conditions (e.g., air quality, rents, health indicators)

Task 4. Outreach/Public Involvement

Ongoing; coordinated with parallel SFMTA and Planning Department – led outreach.

- a) Study Area Stakeholders: Neighborhood groups, CBOs/NGOs, City and regional agencies, advocacy and civic organizations, developers, technology solutions providers.
- b) Citywide Outreach (limited) Outreach Activities and Input Summary Report
Deliverables: Outreach Plan narrative and list of stakeholders

Task 5. Design Mobility Management Scenario Components. Components include:

Jan-Mar 2018

- a) Trip Cap/Mandated Transportation Management Agency
- b) Freeway Management: HOV/Express Lane on US101 plus new local or regional public transit services
- c) Areawide Mobility Management: pricing-based strategies (rewards/incentives, congestion fees) to manage demand and fund expanded transit and other travel options, potential event management/marketing/TDM system using multi-modal “Mobility as a Service” trip routing/booking/pricing approach to actively manage travel.

Deliverables: Scenario Definition narrative, maps and infographic illustration of scenario concept

Task 6. Evaluation of Benefits and Impacts

Apr-Jun 2018

- a) Transportation effects
- b) Optional analyses²: Air Quality, Land use/rents, etc. per Goals/Evaluation Framework
- c) Revenue generation, Local Control etc. per Goals/Evaluation Framework

Deliverables: Transportation Benefit and Impact Evaluation Narrative

Optional Deliverable: Benefits and Impacts in Non-Transportation Goal Areas

Task 7. Final Report

July-Sep 2018

- a) Findings and Recommendations
- b) Draft and Final Report

Deliverables: Recommendations narrative; draft and final report; Board action

² Pending additional funding

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Project Name: District 10 Mobility Management Study [NTIP Planning]

ENVIRONMENTAL CLEARANCE

Environmental Type: Categorically Exempt

PROJECT DELIVERY MILESTONES

Enter dates below for ALL project phases, not just for the current request, based on the best information available. For PLANNING requests, please only enter the schedule information for the PLANNING phase.

Phase	Start		End	
	Quarter	Calendar Year	Quarter	Calendar Year
Planning/Conceptual Engineering (PLAN)	Jul-Sep	2017	Oct-Dec	2018
Environmental Studies (PA&ED)				
Right-of-Way				
Design Engineering (PS&E)				
Advertise Construction				
Start Construction (e.g. Award Contract)				
Operations (i.e., paratransit)				
Open for Use				
Project Completion (means last eligible expenditure)				

SCHEDULE DETAILS

Provide dates for any COMMUNITY OUTREACH planned during the requested phase(s). Identify PROJECT COORDINATION with other projects in the area (e.g. paving, MUNI Forward) and relevant milestone dates (e.g. design needs to be done by DATE to meet paving schedule). List any timely use-of-funds deadlines (e.g. federal obligation deadline). If a project is comprised of MULTIPLE SUB-PROJECTS, provide milestones for each sub-project. For PLANNING EFFORTS, provide start/end dates for each task.

Project Coordination: Southern Bayfront Development Agreements. SFCTA / project management will coordinate with the Office of Economic and Workforce Development, Planning Department, and San Francisco Municipal Transportation Agency staff leading the environmental analysis and negotiation of development agreements for projects along the Southern Bayfront. See the attached Scope of Work for start/end dates for each Task.

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

Project Name: District 10 Mobility Management Study [NTIP Planning]

FUNDING PLAN - FOR CURRENT REQUEST

Enter the funding plan for the phase(s) that are the subject of the CURRENT REQUEST. Totals should match those shown in the Cost Summary below.

Fund Source	Planned	Programmed	Allocated	Total
Prop K	\$ -	\$ 100,000	\$ -	\$ 100,000
Federal CMA Planning/Private Funds	\$ 90,000	\$ -	\$ -	\$ 90,000
	\$ -	\$ -	\$ -	\$ -
Total:	\$ 90,000	\$ 100,000	\$ -	\$ 190,000

FUNDING PLAN - FOR ENTIRE PROJECT (ALL PHASES)

Enter the funding plan for all phases (planning through construction) of the project. This section may be left blank if the current request covers all project phases. Totals should match those shown in the Cost Summary below.

Fund Source	Planned	Programmed	Allocated	Total
Prop K	\$ -	\$ -	\$ -	\$ -
	\$ -	\$ -	\$ -	\$ -
	\$ -	\$ -	\$ -	\$ -
Total:	\$ -	\$ -	\$ -	\$ -

COST SUMMARY

Show total cost for ALL project phases (in year of expenditure dollars) based on best available information. Source of cost estimate (e.g. 35% design, vendor quote) is intended to help gauge the quality of the cost estimate, which should improve in reliability the farther along a project is in its development.

Phase	Total Cost	Prop K - Current Request	Prop AA - Current Request	Source of Cost Estimate
Planning/Conceptual Engineering (PLAN)	\$ 190,000	\$ 100,000		Staff estimate based on prior similar work
Environmental Studies (PA&ED)	\$ -	\$ -		
Right-of-Way	\$ -	\$ -		
Design Engineering (PS&E)	\$ -	\$ -	\$ -	
Construction (CON)	\$ -	\$ -	\$ -	
Operations (Paratransit)	\$ -	\$ -		
Total:	\$ 190,000	\$ 100,000	\$ -	

% Complete of Design: as of
 Expected Useful Life: Years

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

PROPOSED REIMBURSEMENT SCHEDULE FOR CURRENT REQUEST (instructions as noted below)

Use the table below to enter the proposed reimbursement schedule for the current request. Prop K and Prop AA policy assume these funds will not be reimbursed at a rate greater than their proportional share of the funding plan for the relevant phase unless justification is provided for a more aggressive reimbursement rate. If the current request is for multiple phases, please provide separate reimbursement schedules by phase. If the proposed schedule exceeds the years available, please attach a file with the requested information.

Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K	\$ -	\$ 80,000	\$ 20,000	\$ -	\$ -	\$ 100,000
Prop AA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

San Francisco County Transportation Authority
 Prop K/Prop AA Allocation Request Form

Project Name: District 10 Mobility Management Study [NTP Planning]

MAJOR LINE ITEM BUDGET

PLANNING

BUDGET SUMMARY

Agency	Task 1 - Project Management	Task 2 - Purpose & Need	Task 3 - Needs Assessment	Task 4 - Outreach	Task 5 - Scenario Design	Task 6 - Scenario Evaluation	Task 7 - Recommendations	Total
SFCTA	\$ 37,464	\$ 2,540	\$ 8,854	\$ 16,936	\$ 4,576	\$ 8,046	\$ 5,740	\$ 84,156
Consultant	\$ 11,800	\$ 6,400	\$ 14,400	\$ 24,000	\$ 8,000	\$ 16,000	\$ 8,000	\$ 88,600
Contingency (9%)								\$ 17,276
Total	\$ 49,264	\$ 8,940	\$ 23,254	\$ 40,936	\$ 12,576	\$ 24,046	\$ 13,740	\$ 190,032

SFCTA	Hours	Base Hourly Rate	Overhead Multiplier	Fully Burdened Hourly Cost	FTE	Total
Deputy Director Planning	56	\$ 88	2.5	\$ 219	0.03	\$ 12,264
Principal Planner	157	\$ 67	2.5	\$ 167	0.08	\$ 26,219
Planner	181	\$ 50	2.5	\$ 124	0.09	\$ 22,503
Intern	114	\$ 26	2.5	\$ 65	0.06	\$ 7,410
Senior Communications Officer	32	\$ 60	2.5	\$ 151	0.02	\$ 4,838
Principal Management Analyst	12	\$ 56	2.5	\$ 140	0.01	\$ 1,685
Deputy Director Technology, Data & Analysis	10	\$ 88	2.5	\$ 219	0.01	\$ 2,190
Planner Technology, Data & Analysis	49	\$ 50	2.5	\$ 125	0.02	\$ 6,125
Staff Accountant	10	\$ 37	2.5	\$ 92	0.01	\$ 923
Total	621				0.31	\$ 84,156

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: 6/15/2017 **Res. No:** _____ **Res. Date:** _____

Project Name: District 10 Mobility Management Study [NTIP Planning]

Grant Recipient: San Francisco County Transportation Authority

Funding Recommended:	Action	Amount	Phase
	Prop K Appropriation	\$ 100,000	Planning/Conceptual Engineering (PLAN)
	Total:	\$ 100,000	

Total Prop K Funds: \$ 100,000

Total Prop AA Funds: \$ -

Justification for multi-phase recommendations and notes for multi-sponsor recommendations:

Fund Expiration Date: 06/30/2019 **Eligible expenses must be incurred prior to this date.**

Intended Future Action	Action	Amount	Fiscal Year	Phase

Trigger: _____

Deliverables:

1. Quarterly progress reports (QPRs) shall contain a percent complete by task, percent complete of the overall project, a summary of outreach activities performed the quarter prior, and a list of outreach activities planned for the quarter ahead.
2. With the QPR submitted October 2017, provide the following: signed project charter, including final project goals, scope, schedule, and budget; Outreach Plan Narrative and list of stakeholders; and Study area map, Purpose and Need Narrative, and Goals and Evaluation Framework table.
3. On completion of Task 3 (anticipated December 2017), provide a copy of Existing Conditions and Future Baseline Narratives.
4. On completion of Task 5 (anticipated March 2018), provide a copy of Scenario Definition Narrative.
5. On completion of Task 6 (anticipated June 2018), provide a copy of Benefit and Impact Evaluation Narrative.

San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: 6/15/2017 Res. No: _____ Res. Date: _____

Project Name: District 10 Mobility Management Study [NTIP Planning]

Grant Recipient: San Francisco County Transportation Authority

- 6. Prior to Board adoption (anticipated October 2018), staff will present a draft final report, including key findings, recommendations, next steps, implementation, and funding strategy to the Citizens Advisory Committee and Board. Upon project completion the Board will accept or approve the final report.

Special Conditions:

- 1. _____
- 2. _____
- 3. _____

Notes:

- 1. Quarterly progress reports may be shared with the district supervisor.
- 2. _____

**San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form**

TRANSPORTATION AUTHORITY RECOMMENDATION

This section is to be completed by Transportation Authority Staff.

Last Updated: 6/15/2017 **Res. No:** _____ **Res. Date:** _____

Project Name: District 10 Mobility Management Study [NTIP Planning]

Grant Recipient: San Francisco County Transportation Authority

Metric	Prop K	Prop AA
Actual Leveraging - Current Request	47.37%	No Prop AA
Actual Leveraging - This Project	See Above	See Above

SFCTA Project P&PD
Reviewer: _____

SGA PROJECT NUMBER

Sponsor: San Francisco County Transportation Authority
SGA Project Number: 144-xxxxxx **Name:** District 10 Mobility Management Study [NTIP Planning]

Phase: Planning/Conceptual Engineering (PLAN) **Fund Share:** 52.63%

Cash Flow Distribution Schedule by Fiscal Year						
Fund Source	FY 2016/17	FY 2017/18	FY 2018/19	FY 2019/20	FY 2020/21+	Total
Prop K		\$80,000	\$ 20,000			\$100,000

San Francisco County Transportation Authority
Prop K/Prop AA Allocation Request Form

FY of Allocation Action: 2017/18

Current Prop K Request: \$ 100,000

Current Prop AA Request: \$ -

Project Name: District 10 Mobility Management Study [NTIP Planning]

Grant Recipient: San Francisco County Transportation Authority

1) The requested sales tax and/or vehicle registration fee revenues will be used to supplement and under no circumstance replace existing local revenues used for transportation purposes.

Required for Allocation Request Form Submission
Initials of sponsor staff member verifying the above statement
RH

CONTACT INFORMATION

Project Manager

Grants Section Contact

Name: Rachel Hiatt

Anna LaForte

Title: Principal Transportation Planner

Deputy Director

Phone: 415-522-4809

415-522-4805

Email: rachel.hiatt@sfcta.org

anna.laforte@sfcta.org



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Anna LaForte – Deputy Director for Policy and Programming
Subject: 07/11/2017 Board Meeting: Allocation of \$5,440,926 in Prop K Sales Tax Funds for Two Requests, with Conditions, and Appropriation of \$100,000 in Prop K Funds for One Request

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <p>Allocate \$5,440,926 in Prop K sales tax funds for two requests:</p> <ul style="list-style-type: none"> • Traffic Signal Upgrade Contract 34 (\$4,860,000 to the SFMTA) • Golden Gate Park Traffic Safety (\$580,926 to the SFMTA) <p>Appropriate \$100,000 in Prop K funds:</p> <ul style="list-style-type: none"> • District 10 Mobility Management Study [NTIP Planning] <p>SUMMARY</p> <p>We have received two Prop K allocation requests from the San Francisco Municipal Transportation Agency (SFMTA) and are requesting appropriation of Prop K funds for one project for a total of about \$5.5 million. Attachment 1 lists the requests including identifying supervisorial district(s) for each project. Attachment 2 provides a brief description of each project. Attachment 3 contains the staff recommendations including any special conditions.</p>	<ul style="list-style-type: none"> <input checked="" type="checkbox"/> Fund Allocation <input type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input type="checkbox"/> Contracts <input type="checkbox"/> Procurement <input type="checkbox"/> Other: _____
--	---

DISCUSSION

We have received 3 requests totaling \$5,540,926 in Prop K sales tax funds that we are recommending for allocation or appropriation. Attachment 1 summarizes the requests, including information on proposed leveraging (i.e. stretching Prop K dollars further by matching them with other fund sources) compared with the leveraging assumptions in the Prop K Expenditure Plan. Attachment 2 includes a brief description of each project. A detailed scope, schedule, budget and funding plan for each project is included in the attached Allocation Request Forms. Attachment 3 summarizes the staff recommendations for the requests, highlighting special conditions and other items of interest.

FINANCIAL IMPACT

The recommended action would allocate \$5,440,926 and appropriate \$100,000 in Fiscal Year (FY) 2017/18 Prop K sales tax funds. The allocations and appropriation would be subject to the Fiscal Year Cash Flow Distribution Schedules contained in the attached Allocation Request Forms.

Agenda Item 8

Attachment 4 shows the total approved FY 2017/18 allocations and appropriation to date assuming Board approval of the allocations and appropriations included on its June 27 meeting agenda, with associated annual cash flow commitments as well as the recommended allocations, appropriation and cash flow amounts that are the subject of this memorandum.

Sufficient funds are included in the adopted FY 2017/18 budget to accommodate the recommended actions. Furthermore, sufficient funds will be included in future budgets to cover the recommended cash flow distribution for those respective fiscal years.

CAC POSITION

The CAC was briefed on this item at its June 28, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

Attachment 1 – Summary of Applications Received

Attachment 2 – Project Descriptions

Attachment 3 – Staff Recommendations

Attachment 4 – Prop K Allocation Summary – FY 2017/18

Attachment 5 – Prop K/AA Allocation Request Forms (3)

RESOLUTION APPROVING SAN FRANCISCO'S ONE BAY AREA GRANT PROGRAM
CYCLE 2 PROGRAM OF PROJECTS

WHEREAS, In November 2015, through Resolution 4202, the Metropolitan Transportation Commission (MTC) adopted the One Bay Area Grant Cycle 2 (OBAG 2) framework for programming the region's federal transportation funds in an effort integrate the region's transportation program with California's climate law and Plan Bay Area, the Regional Transportation Plan/Sustainable Communities Strategy; and

WHEREAS, Congestion Management Agencies (CMAs) have flexibility to program OBAG 2 funds to a wide variety of project types ranging from transit expansion, reliability and access improvements to pedestrian and bicycle safety projects to street resurfacing to transportation demand management, provided that the recommendations comply with MTC's OBAG requirements; and

WHEREAS, One of MTC's key requirements is that at least 70% of OBAG 2 funds must be programmed to projects within or providing proximate access to Priority Development Areas (PDAs), which are areas San Francisco previously nominated to focus future growth in a transit-oriented manner (see Attachment 1); and

WHEREAS, As San Francisco's CMA, the Transportation Authority is responsible for programming \$42.286 million in San Francisco's county share of the OBAG 2 program; and

WHEREAS, MTC requires that \$1.797 million of San Francisco's county share to be reserved for Safe Routes to Schools (SRTS) projects, which the Transportation Authority Board prioritized for non-infrastructure projects due to the relative difficulty in funding non-infrastructure projects (e.g. education, safety training) compared to securing funds for capital improvements; and

WHEREAS, On March 13, 2017, the Transportation Authority issued the OBAG 2 call for projects, and received eight applications requesting a total of \$87.06 million in OBAG 2 funds, more



than double the funds available (Attachment 2); and

WHEREAS, Transportation Authority staff evaluated the applications using the Board-adopted screening and prioritization criteria (Attachment 3) and follow-up communications with project sponsors and MTC and recommended fully funding two of the eight requests and partially funding another four requests, as detailed in Attachment 2 and summarized in Attachment 4; and

WHEREAS, The recommendation includes fully funding the requests for the Geary Rapid Transit Phase 1 Project (\$6.939 million) and the John Yehall Chin Elementary Safe Routes to School Project (\$3.366 million); and

WHEREAS, The recommendation to partially fund the request for the Better Market Street Project (\$15.98 million recommended versus \$37.12 million requested) would fully fund the design phase of the project but does not include funding for the construction phase which lacks a full funding plan at this time, making that phase ineligible for OBAG 2 funds; and

WHEREAS, The funding recommendation for the Peninsula Corridor Electrification Project (\$11.188 million) would count toward the City's remaining \$16.1 million commitment to the project, and the City will continue to identify funds to cover the gap; and

WHEREAS, The funding recommended for the SRTS Non-Infrastructure (2019-2021) Project (\$2.8 million recommended (of which \$1.797 million is the required SRTS set-aside) versus \$3.9 million requested) excludes about \$1.1 million in OBAG-ineligible scope elements; and

WHEREAS, The \$2.0 million recommended for the Bay Area Rapid Transit District's (BART's) Embarcadero Station: New Northside Platform Elevator and Faregates Project (\$2.0 million recommended versus \$9.2 million requested), combined with another \$1 million in Prop K sales tax that we are recommending from the Prop K Facilities category, will be matched with BART funds to fully fund the project; and

WHEREAS, Transportation Authority and MTC staff determined that the Port of San

Francisco's Mission Bay Ferry Landing Project was ineligible to receive funding due to lack of a full funding plan for the construction phase for which OBAG 2 funds were requested; and

WHEREAS, Nearly 100% of the projects recommended for non-SRTS OBAG 2 funding are either within or provide proximate access to PDAs, defined as directly serving the PDA even if not fully contained within it (Attachment 5); and

WHEREAS, At its June 28, 2017 meeting, the Citizens Advisory Committee was briefed on the subject request and unanimously adopted a motion of support for the staff recommendation; now therefore, be it

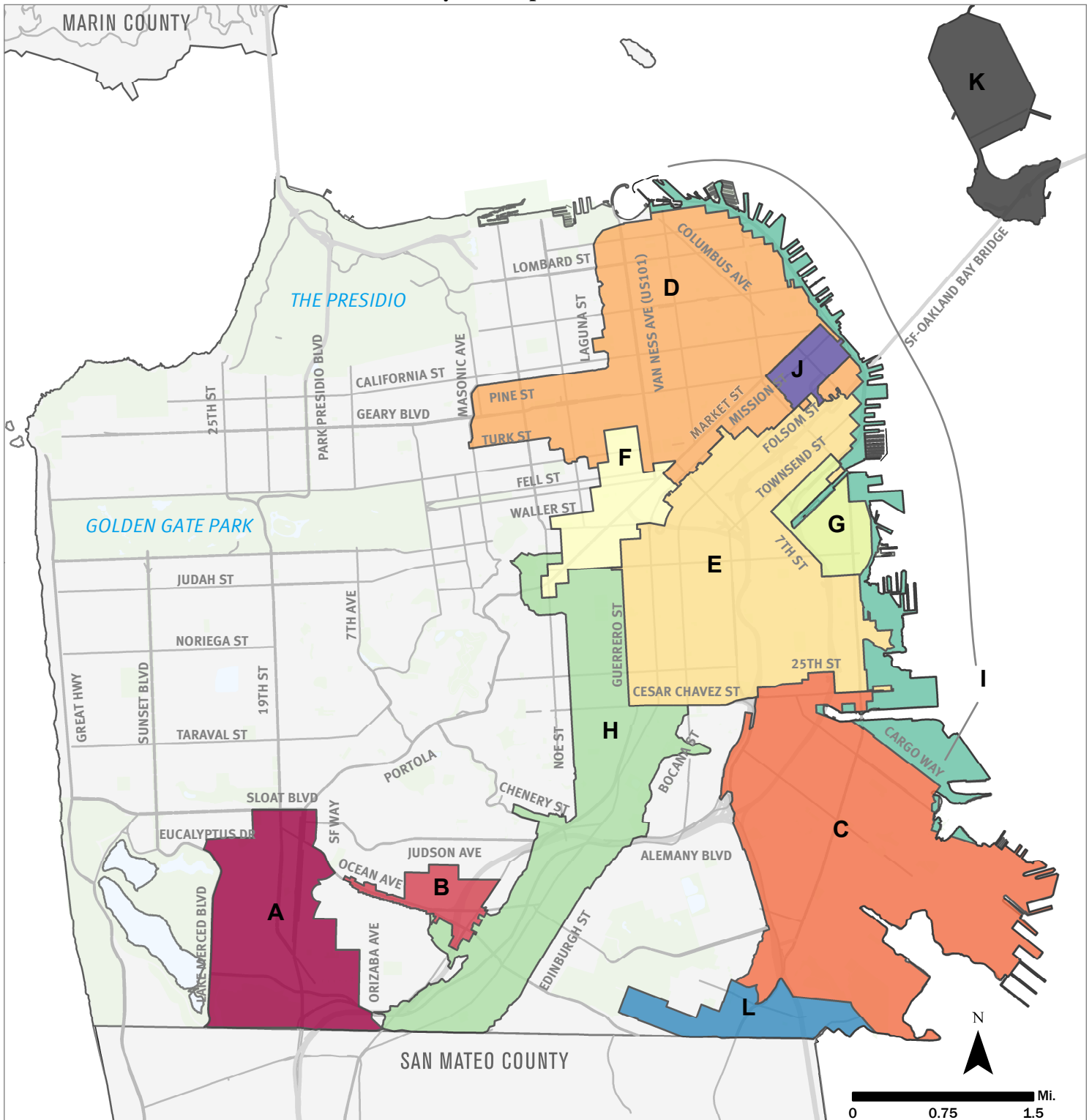
RESOLVED, That the Transportation Authority hereby approves San Francisco's OBAG 2 Program of Projects, as shown in Attachment 4; and be it further

RESOLVED, That the Executive Director is hereby authorized to communicate this information to MTC all other relevant agencies and interested parties.

Attachments (5):

1. OBAG 2 Priority Development Area Map
2. OBAG 2 Projects Received and Detailed Staff Recommendations
3. OBAG 2 Screening and Prioritization Criteria
4. OBAG 2 Program of Projects – Summary of Staff Recommendations
5. OBAG 2 Program of Projects – Map of Staff Recommendations

Attachment 1
 San Francisco One Bay Area Grant Cycle 2
 Priority Development Areas



Priority Development Areas

- A. 19th Avenue
- B. Balboa Park
- C. Bayview/Hunters Point Shipyard/Candlestick Point
- D. Downtown-Van Ness-Geary
- E. Eastern Neighborhoods
- F. Market-Octavia/Upper Market
- G. Mission Bay
- H. Mission-San Jose Corridor
- I. Port of San Francisco
- J. Transit Center District
- K. Treasure Island and Yerba Buena Island
- L. San Francisco/San Mateo Bi-County Area

Source: The Association of Bay Area Governments (ABAG)

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SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY

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**Attachment 2.
San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Call for Projects
Projects Received and Detailed Staff Recommendation ¹**

Evaluation Score ¹	Project Name and Brief Description	Sponsor Agency ²	Requested Phase(s)	Total Project Cost	OBAG 2 Requested	Recommended OBAG 2 Programming	District(s)	Notes
36.1	Geary Bus Rapid Transit Phase 1 - Create dedicated bus-only lanes along the six-mile 38/38R route on Geary Street, O'Farrell Street, and Geary Boulevard from Market Street to 34th Avenue. Provide other pedestrian- and transit-supportive improvements such as bulb-outs, optimized stops with upgraded amenities, and signal improvements. This is for Phase 1 of the Bus Rapid Transit project.	SFMTA	Construction	\$ 64,656,000	\$ 6,939,000	\$ 6,939,000	1, 2, 3, 5, and 6	Allows equivalent amount of Prop K/Prop AA funds to shift to Phase 2 of the project to advance design.
34.6	Better Market Street - Completely reconstruct Market Street from Octavia Boulevard to the Embarcadero, prioritizing transit, providing safe pedestrian access for people of all ages and abilities, and building safe bicycle facilities and quality public spaces and streetscapes.	SFPW	Design and Construction	\$ 603,720,000	\$ 37,123,000	\$ 15,980,000	3, 5, and 6	Recommend funding design phase only (\$42 million design cost) due to lack of full funding for construction. Project could seek construction funding through various discretionary sources including Regional Measure 3 (RM3) Core Capacity funds, consistent with San Francisco's proposed RM3 priorities. See Attachment 8 for funding plan.
33.5	Peninsula Corridor Electrification Project - Electrify and upgrade the performance, operating efficiency, capacity, and reliability of Caltrain's commuter rail service by electrifying the Caltrain line from San Francisco to San Jose and replacing 75% of the diesel fleet with high performance electric train sets.	PCJPB	Construction	\$ 1,980,253,000	\$ 16,100,000	\$ 11,187,736	6, 10	Requested OBAG 2 amount represents San Francisco's remaining commitment to the PCJEP project. SFCTA, SFMTA, and the Mayor's Office will continue to identify funds to cover the gap.
27.8	San Francisco Safe Routes to School (SRTS) Non-Infrastructure Project (2019-2021) - Implement an additional two years of the SRTS program that includes educational, encouragement, and evaluation activities and deliverables for school years 2019-2021 on behalf of the SRTS Partnership. The intent is to increase the percentage of students actively commuting to participating schools and improve safety of routes to schools. The scope currently includes comprehensive services at 35 elementary schools, special activities at 4 middle schools, and 2 high schools citywide, and technical assistance to any interested public school.	DPH	Construction (Non-Infrastructure)	\$ 3,879,016	\$ 3,879,016	\$ 2,813,264	all	The recommended award will continue the current program through 2021. Reduced recommendation eliminates proposed add-on tasks, such as a bicycle build program for students, which are ineligible for OBAG funds. \$1.797 million of recommended funding is from the required Safe Routes to School set-aside prioritized for non-infrastructure projects. 20 of the current 35 elementary schools currently participating in the program are in PDAs.

Attachment 2.
San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Call for Projects
Projects Received and Detailed Staff Recommendation ¹

Evaluation Score ¹	Project Name and Brief Description	Sponsor Agency ²	Requested Phase(s)	Total Project Cost	OBAG 2 Requested	Recommended OBAG 2 Programming	District(s)	Notes
26.6	John Yehall Chin Elementary Safe Routes to School - Construct curb extensions and a raised crosswalk at six high-injury and high-pedestrian volume intersections near 350 Broadway Street to improve the safety and convenience of walking, biking, and taking transit to John Yehall Chin Elementary School.	SFPW	Construction	\$ 4,200,000	\$ 3,366,000	\$ 3,366,000	3	OBAG award would fully fund construction of this shovel-ready project that received Prop K and Active Transportation Program funds for the planning and design phases.
24.4	Bayshore Multimodal Facility - Complete environmental review and final design for a bi-county, Bayshore Multi-Modal Facility serving Caltrain, Muni, Samtrans, and future California High Speed Rail at the Bayshore Caltrain Station. Project would include an implementation plan for a complete street design, turnaround facility, and public space.	SF Planning	Environmental Review and Design	\$ 9,876,625	\$ 452,388	\$ -	10	We are not recommending OBAG 2 funding for this project, but note it is eligible for Prop K Bi-County funds if it moves forward. This avoids federalizing the project at this stage which is more efficient and mitigates delivery risk given strict federal requirements and SF Planning's lack of a funding agreement with Caltrans. This also allows us to help fully fund the BART elevator project below.
21.9	Mission Bay Ferry Landing - Construct a new ferry terminal in Mission Bay to provide a link between this Priority Development Area and the East and North Bays.	Port of SF	Construction	\$ 42,700,000	\$ 10,000,000	\$ -	6 and 10	Deemed ineligible due to lack of a full funding plan for requested phase. Prior phases are already under contract. Construction phase recommended as a San Francisco Regional Measure 3 priority.
17.4	Embarcadero Station: New Northside Platform Elevator and Faregates - Procure and install a new elevator on the east end of the station between the BART platform and the mezzanine area, expand paid area to include the new elevator, dedicate existing elevator to Muni use only.	BART	Construction	\$ 15,000,000	\$ 9,200,000	\$ 2,000,000	3, 6	\$2 million in OBAG 2 and \$1 M from the Prop K facilities funds designated for BART and/or from the "undesignated" line that BART/Caltrain/Muni can apply for will fully fund the project. BART will cover the difference with BART funds. Muni has no objection to the project.
				TOTAL	\$ 2,724,284,641	\$ 87,059,404	\$ 42,286,000	

TOTAL OBAG 2 FUNDS AVAILABLE FOR PROJECTS
\$ 42,286,000

¹ Projects are sorted by evaluation score from highest ranked to lowest.

² Sponsor abbreviations include: Bay Area Rapid Transit (BART), Peninsula Corridor Joint Powers Board (PCJPB), Port of San Francisco (SF Port), San Francisco Department of Public Health (DPH), San Francisco Municipal Transportation Agency (SFMTA), San Francisco Planning Department (SF Planning) and San Francisco Public Works (SFPW).

Attachment 3.

**San Francisco One Bay Area Grant (OBAG) 2
Screening and Prioritization Criteria (Resolution 17-29, adopted 02.28.2017)**

To develop a program of projects for San Francisco's OBAG 2 County Program, the Transportation Authority will first screen candidate projects for eligibility and then will prioritize eligible projects based on evaluation criteria. The Metropolitan Transportation Commission's (MTC's) OBAG 2 guidelines set most of the screening and evaluation criteria to ensure the program is consistent with Plan Bay Area and federal funding guidelines. We have proposed to add a few additional criteria to better reflect the particular conditions and needs in our county (as indicated by *italicized text*).

OBAG SCREENING CRITERIA

Projects must meet all screening criteria in order to be considered further for OBAG funding. The screening criteria will focus on meeting the eligibility requirements for OBAG funds and include, but are not limited to the following factors:

- Award of the OBAG 2 funds will result in a fully funded, stand-alone capital project, plan, or Safe Routes to School (SRTS) project.
- Project scope must be consistent with the intent of OBAG and its broad eligible uses.¹
- Project sponsor is eligible to receive federal transportation funds.
- Project sponsor is requesting a minimum of \$500,000 in OBAG funds.²
- Project is consistent with Plan Bay Area (the Bay Area's regional transportation plan) *and the San Francisco Transportation Plan.*
- Project has identified the required 11.47% local match in committed or programmed funds, including in-kind matches for the requested phase. Alternatively, for capital projects the project sponsor may demonstrate fully funding the pre-construction phases (e.g. project development, environmental or design) with local funds and claim toll credits in lieu of a match for the construction phase. In order to claim toll credits, project sponsors must still meet all federal requirements for the pre-construction phases even if fully-funded. For non-infrastructure projects, the project sponsor may demonstrate funding federally ineligible activities with the local match.

Additional Screening Criteria for Street Resurfacing Projects:

- Project selection must be based on the analysis results of federal-aid eligible roads from San Francisco's certified Pavement Management System.
- Pavement rehabilitation projects must have a PCI score of 70 or below. Preventative maintenance projects must extend the useful life of the facility by at least 5 years.

Additional Screening Criteria for the SRTS Set-Aside:

¹ Eligible scopes of work include but are not limited to transit improvements, smart system management, transportation demand management, safety and streetscape improvements, street resurfacing, and PDA planning. Refer to MTC's OBAG 2 guidelines for a full list, and contact SFCTA staff with any questions about eligibility.

² SFCTA staff will consider projects requesting more than \$100,000 but less than \$500,000 on a case by case basis if the project is competitive and cannot easily be funded elsewhere, but sponsors must demonstrate an ability to comply with federal funding requirements.

Attachment 3.

- *Non-infrastructure projects (e.g. education and outreach) will be prioritized given that they have limited discretionary funding opportunities.*
- *Projects must be coordinated with San Francisco SRTS Coalition (Coalition), i.e., either having been prioritized by the Coalition or having a letter of support signed by all of the Coalition member agencies.*

OBAG PRIORITIZATION CRITERIA

Projects that meet all of the OBAG screening criteria will be prioritized for OBAG funding based on, but not limited to the factors listed below. The Transportation Authority reserves the right to modify or add to the prioritization criteria in response to additional MTC guidance, to enable matching of recommended projects with eligibility requirements of available fund sources, and if necessary, to prioritize a very competitive list of eligible projects that exceed available programming capacity.

Location-Specific Criteria

- **Located within or provides “proximate access” to Priority Development Area (PDA):** OBAG establishes a minimum requirement that 70% of all OBAG funds be used on projects that are located within or provide proximate access to a PDA. Projects that are geographically outside of a PDA, but are determined to be eligible by the Transportation Authority because they provide proximate access to a PDA, must be mapped and given policy justifications for why and how they support a given PDA. The Transportation Authority will also consider consistency with the Transportation Investment Growth Strategy and/or PDA plans.
- **Located within High Impact Project Areas:** Factors used to determine High Impact Project Areas include:
 - PDAs taking on significant housing growth in Plan Bay Area, including Regional Housing Needs Allocation, as well as housing production, especially those that are adding a large number of very low, low, and moderate income housing units.
 - Dense job centers in proximity to housing and transit (both currently and as projected in Plan Bay Area), especially where supported by reduced parking requirements and Travel Demand Management programs
 - Improved transportation choices for all income levels in proximity to quality transit access, with an emphasis on connectivity (including safety, lighting, etc.), to reduce vehicle miles travelled
- **Located within a Community of Concern (COC):** Projects located within a COC, as defined by MTC, Congestion Management Agencies, or Community Based Transportation Plans will be given higher priority. *Projects identified in Muni’s Equity Strategy will be given priority.*
- **Located within PDAs with affordable housing preservation and creation strategies:** Projects located within PDAs with affordable housing preservation and creation strategies and community stabilization strategies will be given priority. *Technically, San Francisco is already compliant with MTC’s criterion which is meant to apply at the jurisdiction level. Nonetheless, in order to meet the spirit of this criterion and after consulting with the Planning Department, we will give priority to projects located near a proposed housing development within a PDA with 75% or more affordable units.*
- **Located within Bay Area Air Quality Management District (Air District) Community Air Risk Evaluation (CARE) Community, or located near freight transport infrastructure:** Projects located in areas with highest exposure to particulate matter and toxic

Attachment 3.

air contaminates that employ best management practices to mitigate exposure, will receive a higher priority.³

Other Criteria

- **Project Readiness:** Projects that can clearly demonstrate an ability to meet OBAG timely use of funds requirements will be given a higher priority.
- **Planning for Healthy Places:** Projects that implement best practices identified in Air District Planning for Healthy Places guidelines will receive higher priority.⁴
- **Safety:** *Projects that address high injury corridors or other locations consistent with the City's Vision Zero policy will be given higher priority. Project sponsors must clearly define and provide data to support the safety issue that is being addressed and how the project will improve or alleviate the issue.*
- **Multi-modal Benefits:** *Projects that directly benefit multiple system users (e.g. pedestrians, cyclists, transit passengers, motorists) will be prioritized.*
- **Multiple Project Coordination:** *Projects that are coordinated with non-OBAG funded, but related improvements, such as making multi-modal improvements on a street or road that is scheduled to undergo repaving, will receive higher priority. Project sponsors must clearly identify related improvement projects, describe the scope, and provide a timeline for major milestones for coordination (e.g. start and end of design and construction phases).*
- **Community Support:** *Projects with clear and diverse community support will receive a higher priority. This can be shown through letters of support, specific reference to adopted plans that were developed through a community-based planning process (e.g. community-based transportation plan, the Neighborhood Transportation Improvement Program, corridor improvement plan), or community meetings regarding the project. SR2S infrastructure projects that come from documented walking audits with school officials and community members also will be prioritized.*
- **Core Capacity:** *Projects that increase capacity and reliability needs such as those identified in MTC's Bay Area Core Capacity Transit Study will receive a higher priority. Core corridors include the Muni Metro and Rapid Network, Transbay and Peninsula travel corridors. Includes transit capacity and travel demand management to increase person throughput and transit reliability in freeway corridors.*
- **Alternate Funding Source:** *This factor will be considered to prioritize projects with limited alternate funding sources.*
- **Project Sponsor Priority:** *For project sponsors that submit multiple OBAG applications, the Transportation Authority will consider the project sponsor's relative priority for its applications.*

Geographic Equity: *This factor will be applied program-wide.*

As is customary, the Transportation Authority will work closely with project sponsors to clarify scope, schedule and budget; and modify programming recommendations as needed to help optimize the projects' ability to meet timely use of funds requirements.

If the amount of OBAG funds requested exceeds available funding, we reserve the right to negotiate

³ Information regarding Air District CARE Communities can be found online (<http://www.baaqmd.gov/plans-and-climate/community-air-risk-evaluation-care-program>).

⁴ Information regarding Air District Planning for Healthy Places can be found online (<http://www.baaqmd.gov/plans-and-climate/planning-healthy-places>).

Attachment 3.

with project sponsors on items such as scope and budget changes that would allow us to develop a recommended OBAG project list that best satisfies all of the aforementioned prioritization criteria.

Attachment 4.
San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Call for Projects
Summary of Staff Recommendations¹

Sponsor Agency ²	Project Name	Recommended Phase(s)	District(s)	Total Project Cost	OBAG 2 Requested	Recommended OBAG 2 Programming
SFPW	Better Market Street	Design	3, 5, and 6	\$ 603,720,000	\$ 37,123,000	\$ 15,980,000
PCJPB	Peninsula Corridor Electrification Project	Construction	6, 10	\$ 1,980,253,000	\$ 16,100,000	\$ 11,187,736
SFMTA	Geary Bus Rapid Transit Phase 1	Construction	1, 2, 3, 5, and 6	\$ 64,656,000	\$ 6,939,000	\$ 6,939,000
SFPW	John Yehall Chin Elementary Safe Routes to School	Construction	3	\$ 4,200,000	\$ 3,366,000	\$ 3,366,000
DPH	San Francisco Safe Routes to School Non-Infrastructure Project (2019-2021)	Construction (Non-Infrastructure)	all	\$ 3,879,016	\$ 3,879,016	\$ 2,813,264
BART	Embarcadero Station: New Northside Platform Elevator and Faregates	Construction	3, 6	\$ 15,000,000	\$ 9,200,000	\$ 2,000,000
TOTAL				\$ 2,671,708,016	\$ 76,607,016	\$ 42,286,000

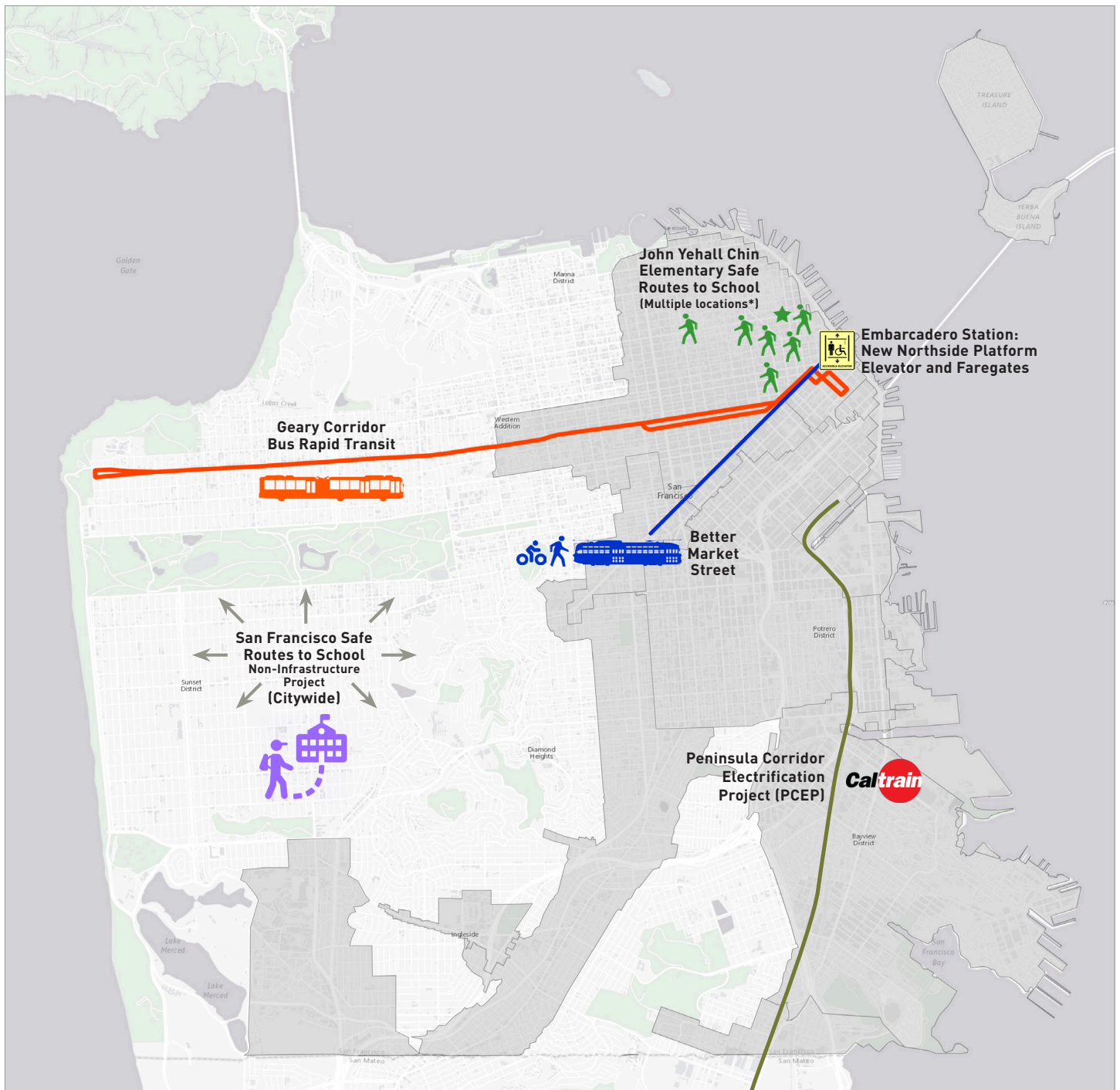
TOTAL OBAG 2 FUNDS AVAILABLE FOR PROJECTS	\$ 42,286,000
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¹ Projects are sorted by recommended OBAG 2 programming from highest to lowest.

² Sponsor abbreviations include: Bay Area Rapid Transit (BART), Peninsula Corridor Joint Powers Board (PCJPB), San Francisco Department of Public Health (DPH), San Francisco Municipal Transportation Agency (SFMTA), and San Francisco Public Works (SFPW).



San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Call for Projects—Recommended Projects




 Grey backgrounds denote Priority Development Areas (PDAs)

- * John Yehall Chin Elementary (★) Safe Routes to School Intersection Improvement locations:
- Broadway and Cyrus Place
 - Pacific and Stockton
 - Kearny and Jackson
 - Bush and Kearny
 - Battery and Washington
 - Battery and Pacific



Memorandum

Date: July 5 2017
To: Transportation Authority Board
From: Amber Crabbe – Assistant Deputy Director for Policy and Programming 
Subject: 07/11/17 Board Meeting: Approval of San Francisco’s One Bay Area Grant Cycle 2 Program of Projects

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p>	<p><input type="checkbox"/> Fund Allocation <input checked="" type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input type="checkbox"/> Contracts <input type="checkbox"/> Procurement <input type="checkbox"/> Other:</p>
<p>Approve San Francisco’s One Bay Area Grant Cycle 2 (OBAG 2) Program of Projects</p>	
<p>SUMMARY</p>	
<p>Program \$42.286 million in San Francisco’s OBAG 2 county share for six projects:</p> <ul style="list-style-type: none"> ● Better Market Street (\$15.98 million) ● Peninsula Corridor Electrification Project (\$11.188 million) ● Geary Bus Rapid Transit Phase 1 (\$6.939 million) ● John Yehall Chin Elementary Safe Routes to School (\$3.366 million) ● San Francisco Safe Routes to School Non-Infrastructure Project (2019-2021) (\$2.813 million) ● Embarcadero Station: New Northside Platform Elevator and Faregates (\$2 million) 	
<p>As San Francisco’s Congestion Management Agency (CMA), the Transportation Authority is responsible for issuing a call for projects and recommending programming of San Francisco’s county share of the OBAG 2 program, consistent with guidelines established by the Metropolitan Transportation Commission (MTC). MTC’s OBAG program directs federal funding to projects that integrate the region’s transportation program with California’s climate law and Plan Bay Area, the Regional Transportation Plan/Sustainable Communities Strategy. As shown in Attachment 3, we are recommending fully or partially funding six of eight requests that we received, asking for over \$87 million, more than double the funds available.</p>	

DISCUSSION

Background.

About 45% of OBAG 2 funds are directed to congestion management agencies (CMAs), including the Transportation Authority for San Francisco. Provided that the CMAs comply with MTC’s OBAG

requirements, CMAs have flexibility to program funds to a wide variety of project types from transit capacity and enhancement projects to pedestrian and bicycle safety projects to street resurfacing to transportation demand management. MTC has established many requirements for the program, some meant to help ensure compliance with federal timely use of funds requirements to avoid loss of funds to the region and others to help achieve the program’s objectives. One of the key requirements is that at least 70% of San Francisco’s OBAG 2 funds must be spent within or provide proximate access to Priority Development Areas (PDAs), which are areas San Francisco previously nominated to focus future growth in a transit-oriented manner (see Attachment 1).

This is the second cycle of OBAG projects. The Transportation Authority approved OBAG Cycle 1 projects on June 25, 2013 through Resolution 13-63 and has subsequently approved a few amendments for projects that had trouble meeting federal timely use of funds requirements. Attachment 2 contains a map of OBAG 1 projects and a table showing project delivery status.

Available Funds.

Consistent with the Board-adopted OBAG 2 framework, we have a total of \$42,286,000 available for San Francisco’s OBAG 2 call for projects. Of that amount, MTC requires that \$1,797,000 be reserved for Safe Routes to Schools (SRTS) projects, which the Transportation Authority Board prioritized for non-infrastructure projects due to the relative difficulty of funding non-infrastructure projects (e.g. education, safety training) compared to securing funds for capital improvements.

San Francisco OBAG 2 County Program Funding (\$ millions)	
SRTS	\$1.797
Countywide OBAG 2	\$40.489
TOTAL	\$42.286

Prioritization Process.

On March 13, 2017, we issued the OBAG 2 call for projects. In response, we received eight project applications, requesting \$87,059,404, more than double the funds available, as shown in Attachment 3.

We evaluated the OBAG 2 applications using the Board-adopted screening and prioritization criteria (Attachment 4), and follow-up communications with sponsors and MTC. We first screened project submissions for eligibility and, upon consultation with MTC, confirmed that one project (the Port of San Francisco’s Mission Bay Ferry Landing Project) was ineligible to receive funding due to lack of a funding plan for the construction phase, for which OBAG 2 funds were requested. Further, we also work with MTC and projects sponsors to identify ineligible scope elements for two projects (SF Public Works’ Better Market Street and the Department of Public Health’s SRTS Non-Infrastructure Project (2019-2021)) which was accounted for in our staff recommendation (see next section below).

We then evaluated the projects using the prioritization criteria detailed in Attachment 4. These include a number of location-specific prioritization criteria that reward projects in or near other geographic definitions (e.g., PDA, Communities of Concern) and project-specific criteria (e.g. project readiness, safety, community support, and the extent of transit core capacity and reliability improvements).

Agenda Item 9

Resulting project scores are shown in Attachment 5.

Staff Recommendations.

We are recommending fully funding three of the eight candidate projects and partially funding three additional projects, as detailed in Attachment 3 and summarized in Attachment 6. Our recommendation largely follows score order, funding the highest scoring projects first until available funds are exhausted.

Partial funding for the Better Market Street project (\$15.98 M vs. \$37.12 M requested) fully funds the design phase, but does not include funding for the construction phase which lacks a full funding plan at this time to qualify for OBAG 2 funds. The partial funding recommendation for the Safe Routes to School Non-Infrastructure Project (\$2.8 M vs. \$3.9 M requested) excludes OBAG-ineligible scope elements. The only diversion from score order in our recommendation is our recommendation to not fund the Bayshore Multimodal Facility and to instead direct the remaining funds to partially fund the Embarcadero Station: New Northside Platform Elevator and Faregates project (\$2.0 M vs. \$9.2 M). BART staff has indicated that with the recommended OBAG funds and another \$1 million in Prop K sales tax that we are recommending from the Prop K facilities category, BART will fully fund the project.

With respect to the Planning Department's Bayshore Multimodal Facility project, we recommend instead working the Planning Department and the SFMTA to fund the project (\$452,388 requested in OBAG fund for environmental review and design) from the Prop K Bi-County category if it moves forward. This avoids federalizing the project at this stage, which is more efficient and mitigates delivery risk given strict federal requirements and SF Planning's lack of a federal funding master agreement with Caltrans.

Attachment 7 includes a map showing projects recommended to receive OBAG 2 funding and their proximity to PDAs. Nearly 100% of our OBAG 2 projects are within or provide proximate access to PDAs, exceeding MTC's 70% requirement.

Attachment 8 contains project summaries showing additional scope, schedule, and funding plan detail for the projects recommended for funding.

Next Steps.

We are currently working with MTC and project sponsors to align the staff-recommended funding with the timing and type of federal money available across the 5-year OBAG 2 program. After the Transportation Authority Board acts to approve a program of projects, we will submit it to MTC by July 31, 2017 and its Commission will then act to approve it.

FINANCIAL IMPACT

There are no impacts to the Transportation Authority's adopted Fiscal Year 2017/18 budget associated with the recommended action.

CAC POSITION

The CAC was briefed on this item at its June 28, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

Attachment 1 – Map of San Francisco PDAs

Attachment 2 – OBAG 1 Map and Project Updates

Attachment 3 – OBAG 2 Projects Received and Detailed Staff Recommendations

Attachment 4 - OBAG 2 Screening and Prioritization Criteria

Attachment 5 – OBAG 2 Project Evaluation

Attachment 6 – OBAG 2 Program of Projects – Summary of Staff Recommendations

Attachment 7 – OBAG 2 Program of Projects – Map of Staff Recommendations

Attachment 8 – OBAG 2 Project Summaries

Attachment 2
One Bay Area Grant Cycle 1 Project Updates (updated June 2017)

Project Name (Sponsor)	Description	Construction Start	Open for Use	Total Project Cost	OBAG Funds as Last Amended
Broadway Chinatown Streetscape Improvement (San Francisco Public Works (SFPW))	Design and construct a complete streets project on Broadway from Columbus to the Broadway Tunnel, including bulb-outs, special crosswalk paving, new medians, street trees, bus stop improvements, and repaving. Construction is 20% complete.	June 2016	August 2017	\$7,102,487	\$3,477,802 ^{1,2}
ER Taylor Elementary School Safe Routes to School (SFPW)	Design and construct four pedestrian bulb outs at the intersection of Bacon and Gottingen near ER Taylor Elementary School to improve pedestrian safety. The project is open for use.	June 2015	November 2015	\$604,573	\$400,115 ^{2,3}
Longfellow Elementary School Safe Routes to School (SFPW)	Design and construct pedestrian safety improvements at the intersections of Mission & Whittier, Mission & Whipple, and Mission & Lowell near Longfellow Elementary School. The project is open for use.	August 2015	March 2016	\$852,855	\$670,307
Mansell Corridor Improvement (San Francisco Municipal Transportation Agency (SFMTA))	Design and construct a complete streets project on Mansell Street from Visitacion Avenue to Brazil Street including reduction in number of vehicular lanes and creating a multiuse path for pedestrians and bicyclists. The project is open for use.	September 2015	January 2017	\$6,807,348	\$1,762,239
Masonic Avenue Complete Streets (SFMTA)	Construct complete streets improvements on Masonic Avenue from Fell to Geary, including reallocation of space to calm traffic, dedicated bicycle space (raised cycle track), and pedestrian enhancements. Construction is 27% complete.	June 2016	April 2018	\$22,785,900	\$0 ⁴
Second Street Streetscape Improvement (SFPW)	Design and construct a complete streets project on Second Street from Market to Townsend, including pedestrian safety improvements, a buffered cycle track, landscaping, and repaving. Design is complete. Construction contract was re-advertised in April 2017 due to higher-than-anticipated bids received in response to the original contract advertisement.	October 2017	October 2019	\$15,415,115	\$10,567,997 ³
Transbay Transit Center Bike and Pedestrian Improvements (Transbay Joint Powers Authority)	Construct pedestrian and bicycle projects associated with the Transbay Transit Center, including a pedestrian walkway, sidewalks, path-finding signage, real time passenger information, bike racks and channels, pedestrian lighting, and public art. OBAG work will be implemented as part of various construction contracts for the Transbay Transit Center project, which is anticipated to open for use in early 2018.	January 2017	December 2017	\$11,480,440	\$6,000,000
Light Rail Vehicle (LRV) Procurement (SFMTA)	Purchase 175 replacement LRVs and 25 expansion LRVs to help meet projected vehicle needs through 2020, including for the Central Subway. The first new train arrived in January 2017 ; 4 vehicles are currently in non-revenue service testing; revenue service expected to start in late summer 2017.	September 2014	Through 2020 (procurement)	\$175,000,000	\$10,227,540 ⁴

Attachment 2
One Bay Area Grant Cycle 1 Project Updates (updated June 2017)

Lombard Street US-101 Corridor Improvement (SFPW)	Design and construct safety improvements along Lombard Street between Van Ness Avenue and Richardson Avenue, including curb extensions (pedestrian and transit bulb-outs), daylighting at intersections, signal timing improvements, advance stop bars and high visibility curb crosswalks.	February 2018	October 2019	\$24,263,920	\$1,910,000 ¹
	Design is 95% complete. Due to a change in the Caltrans design standards midway through project design, SFPW has had to request a design variance from Caltrans, which is currently being negotiated and is anticipated to delay the start of project construction.				

Please visit www.sfcta.org/MyStreetsSF for more information.

Total OBAG: \$35,016,000

¹ \$1.91 million in OBAG funds programmed to the Broadway Chinatown Streetscape Improvement Project were swapped with SFMTA local revenue bond funds because the OBAG funds were unavailable when needed. In October 2015, the Transportation Authority Board reprogrammed the OBAG funds to SFPW's Lombard Street US-101 Corridor Improvement via 2016 Regional Transportation Improvement Program, as requested by SFMTA and SFPW.

² On December 15, 2015, the Transportation Authority Board approved SFPW's request to reprogram \$67,265 cost savings from the recently completed ER Taylor SR2S to Chinatown Broadway, which has received a higher-than-anticipated bid to its original construction contract advertisement.

³ On June 28, 2016, the Transportation Authority Board approved SFPW's request to reprogram additional \$51,215 from the completed ER Taylor SR2S to Second Street to cover the cost of the pedestrian lighting, which has been added per the community's request.

⁴ In order to minimize risk of losing federal funds due to project delays, in February 2015, the Transportation Authority Board reprogrammed \$10,227,540 in OBAG funds from SFMTA's Masonic Avenue project to the LRV Procurement project, with the condition that SFMTA continue to follow OBAG reporting requirements for the Masonic Avenue project. See the Plans and Programs Committee memo (February 3, 2015) and Resolution 15-42 for more detail.

**Attachment 5.
San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Call for Projects
Project Evaluation¹**

Projects	Location-Specific Criteria					Project-Specific Criteria							Total (max 47)	
	PDA (3 pts)	High- Impact Project Area (2 pts)	COC (3 pts)	BAAQMD CARE Community (2 pts)	PDA with affordable housing preservation and creation strategy (3 pts)	Project Readiness (10 pts)	Planning for Healthy Places (2 pts)	Safety (4 pts)	Multi- modal Benefits (3 pts)	Multiple Project Coordination (3 pts)	Community Support (3 pts)	Core Capacity (6 pts)		Alternate Funding Source (3 pts)
Geary Bus Rapid Transit Phase 1	3.0	2.0	3.0	2.0	2.0	7.2	1.7	4.0	2.7	0.8	2.2	4.5	1.0	36.1
Better Market Street Peninsula Corridor Electrification Project	3.0	2.0	3.0	2.0	3.0	5.0	1.8	4.0	2.8	1.0	2.0	4.0	1.0	34.6
San Francisco Safe Routes to School Non-Infrastructure Project (2019-2021)	2.5	2.0	2.0	2.0	2.0	9.0	1.0	0.0	1.0	1.0	3.0	6.0	1.5	33.5
John Yehall Chin Elementary Safe Routes to School						6.3	1.2	2.3	2.0	0.2	2.3	0.0	3.0	27.8
Bayshore Multimodal Facility	2.0	1.5	2.0	2.0	2.0	8.3	1.0	4.0	0.3	0.0	2.3	0.0	1.2	26.6
Mission Bay Ferry Landing	3.0	2.0	2.0	2.0	0.5	5.7	1.3	0.7	3.0	1.0	1.5	1.0	0.7	24.4
Embarcadero Station: New Northside Platform Elevator and Faregates	2.5	2.0	0.0	2.0	0.0	3.7	1.0	0.0	2.3	1.0	2.3	3.8	1.3	21.9
	2.0	2.0	0.0	2.0	0.0	6.7	0.0	0.0	1.0	0.0	1.0	2.0	0.7	17.4

Abbreviations include:
 Priority Development Areas (PDA)
 Community of Concern (COC)
 Bay Area Air Quality Management District (BAAQMD)
 Community Air Risk Evaluation (CARE)

¹ See Attachment 4 for Board-adopted prioritization criteria.

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Better Market Street**Sponsor:** San Francisco Public Works**Recommended OBAG 2 Programming:** \$15,980,000**Recommended Phase:** Design**Districts:** 3, 5, and 6**Scope:**

Completely reconstruct 2.2 miles of Market Street from Octavia Boulevard to the Embarcadero, prioritizing transit, providing safe pedestrian access for people of all ages and abilities, and building safe bicycle facilities and quality public spaces and streetscapes. The program will advance several key City policies: Transit First, Vision Zero, the SF Bicycle Plan, and the Better Streets Plan through a series of three interdependent project scopes:

1. Better Market Street Core Capacity Improvements. Increase transit capacity through improved efficiency for the 14 surface transit lines that converge on Market Street through upgrades such as: wider and longer transit boarding islands; red Muni-only lanes; new F-Line track loop; full repaving of the roadway; signal replacement; private vehicle restrictions; protected cycling facility along the length of the corridor; traction power upgrades including a new substation; and a new Overhead Contact System.
2. Better Market Street Streetscape Enhancements. Revitalize Market Street with major streetscape and safety improvements including: simplifying north side intersections to make it easier and safer to cross; sidewalk bulb-outs; crosswalk realignment and reconstruction; ensuring generous minimum sideway widths; replacing sidewalk bricks; modernizing wayfinding systems; planting new and replacement street trees; and installing streetscape improvements, furnishings, and public art.
3. Better Market Street State of Good Repair. Replace aging transit and utility infrastructure with in-kind facilities: streetcar tracks, sewer, water distribution infrastructure, streetlight conduit and wiring, and high-speed internet conduit.

Better Market Street is a joint project of SF Public Works, the San Francisco Municipal Transportation Agency, SF Public Utilities Commission, and the Department of Technology, with work on facilities owned by all four agencies. SF Public Works is leading the implementation and will coordinate the design drawings and bid the construction contracts. The project team also includes the Planning Department.

Schedule:

Phase	Start (Mo/Yr)	End (Mo/Yr)
Planning/Conceptual Engineering (typically 30% design)	1/2011	6/2019
Environmental Studies (PA&ED)	1/2015	6/2019
Design Engineering (PS&E)	7/2019	6/2021
Construction	1/2022	12/2024

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Funding Plan (\$1,000):

Source	Status	PLAN	ENV	PS&E	ROW	CON	Total by Fund Source
OBAG 2	Planned			\$15,980		\$21,143	\$37,123
General Fund	Allocated	\$2,480	\$2,620				\$5,100
Octavia Land Sales	Allocated		\$3,050				\$3,050
Market Octavia Impact Fees	Allocated		\$1,000				\$1,000
Prop A GO Bond	Programmed	\$12,807	\$4,685	\$18,841		\$60,413	\$96,746
PUC	Planned			\$7,218		\$63,151	\$70,369
Prop B General Fund setaside	Programmed					\$10,055	\$10,055
FTA 5337 Fixed Guideway	Programmed					\$11,700	\$11,700
SFMTA 2021 Revenue Bond	Programmed					\$18,870	\$18,870
Prop K sales tax	Planned					\$1,250	\$1,250
SFMTA CIP	Planned					\$7,073	\$7,073
Senate Bill 1 (STIP/ATP)	Planned					\$50,000	\$50,000
Regional Measure 3	Planned					\$100,000	\$100,000
OBAG 3	Planned					\$16,000	\$16,000
TBD New revenues (e.g. vehicle license fee, bonds, sales tax)	Planned					\$76,000	\$76,000
FTA 5309	Planned					\$99,384	\$99,384
Total by Phase		\$15,287	\$11,355	\$42,039		\$535,039	\$603,720

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Peninsula Corridor Electrification Project

Sponsor: Peninsula Corridor Joint Powers Board (PCJPB)

Recommended OBAG 2 Programming: \$11,187,736

Recommended Phase: Construction

Districts: 6 and 10

Scope:

The Peninsula Corridor Electrification Project (PCEP) will electrify and upgrade the performance, operating efficiency, capacity, and reliability of Caltrain's commuter rail service.

The PCEP includes two components: infrastructure and rolling stock. The infrastructure component includes installation of an Overhead Contact System over the rail system beginning at the 4th and King Caltrain Station in San Francisco and ending at Tamien Station in San Jose to provide power to the electric rolling stock, allowing the system to accommodate high speed rail service in the future. The rolling stock component includes the design and procurement of 98 high-performance Electric Multiple Units (EMUs) to replace approximately 75% of the existing diesel rolling stock. EMUs, which are much lighter than the diesel trains, can accelerate and decelerate faster than diesel trains, providing the flexibility to increase the frequency of service without adding travel time and/or reduce the overall travel time from one end of the corridor to the other. This important improvement allows for increased capacity on the corridor and makes it possible for Caltrain to serve more customers at more stations.

The design-build contract for the infrastructure component was awarded to Balfour Beatty in July 2016. PCJPB awarded a contract for the EMU component to Stadler in July 2016. PCEP is scheduled to be in place by 2020 and is vital to reducing traffic congestion and enhancing quality of life in the Bay Area by providing a commuter rail system that can accommodate the region's dramatic job and population growth.

Schedule:

Phase	Start (Mo/Yr)	End (Mo/Yr)
Planning/Conceptual Engineering (typically 30% design)	1/13	4/15
Environmental Studies (PA&ED)	1/13	1/15
Design Engineering (PS&E)	4/14	2/15
Right-of-way	2/15	11/17
Construction	9/16	12/21

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Funding Plan:

Caltrain Electrification Funding Plan
Updated: August 2016

Source	Type	Status	Project Phases					EMU	Electrification	EMU's	Amount	TOTAL
			PE/ENV	PS&E	DB	EMU	Electrification					
FHWA and FTA Prior Funding	Federal	Allocated	\$15,680,000					\$15,680,000		\$15,680,000	\$15,680,000	
	Federal	Planned								\$0	\$0	
FTA Formula Funds (Caltrain)	Federal	Allocated		\$5,230,000					\$5,230,000	\$5,230,000	\$315,000,000	
	Federal	Planned				\$309,770,000			\$309,770,000	\$309,770,000	\$315,000,000	
Congestion Mitigation and Air Quality	Federal	Allocated	\$4,000,000					\$4,000,000		\$4,000,000	\$4,000,000	
	Federal	Planned								\$0	\$0	
FTA Core Capacity	Federal	Allocated			\$72,900,000					\$72,900,000	\$647,000,000	
	Federal	Planned			\$574,000,000					\$574,100,000	\$647,000,000	
Prop 1A High Speed Rail Bonds	State	Allocated								\$0	\$600,000,000	
	State	Planned			\$600,000,000					\$600,000,000	\$600,000,000	
High Speed Rail Cap & Trade/ Other	State	Allocated								\$0	\$113,000,000	
	State	Planned								\$113,000,000	\$113,000,000	
Non Prop 1A, including Transit and Intercity Rail Program	State	Allocated								\$20,000,000	\$20,000,000	
	State	Planned								\$0	\$20,000,000	
Prop 1B-Caltrain	State	Allocated						\$8,000,000		\$8,000,000	\$8,000,000	
	State	Planned								\$0	\$8,000,000	
Caltrain Low Carbon Transportation Operations Program	State	Allocated								\$1,940,000	\$9,000,000	
	State	Planned								\$7,060,000	\$9,000,000	
Bridge Tolls	Regional	Allocated								\$39,400,000	\$39,400,000	
	Regional	Planned								\$0	\$39,400,000	
Carl Moyer Program	Regional	Allocated								\$20,000,000	\$20,000,000	
	Regional	Planned								\$0	\$20,000,000	
VTA	Local	Allocated								\$21,730,000	\$60,970,000	
	Local	Planned								\$19,240,000	\$60,970,000	
SMCTA	Local	Allocated								\$21,730,000	\$59,540,000	
	Local	Planned								\$17,810,000	\$59,540,000	
Prop K	Local	Allocated								\$6,400,000	\$10,300,000	
	Local	Planned								\$3,260,000	\$10,300,000	
San Francisco	Local	Allocated								\$640,000	\$16,100,000	
	Local	Planned								\$0	\$16,100,000	
SF General Obligation Bonds	Local	Allocated								\$31,240,000	\$31,240,000	
	Local	Planned								\$0	\$31,240,000	
Previous Local Commitment	Local	Allocated								\$11,020,000	\$11,020,000	
	Local	Planned								\$0	\$11,020,000	
Totals	Totals	Allocated								\$221,630,000	\$1,980,250,000	
	Totals	Planned								\$385,120,000	\$1,980,250,000	

\$11.188 million recommended from OBAG 2.

Geary Bus Rapid Transit Phase 1

Sponsor: San Francisco Municipal Transportation Agency

Recommended OBAG 2 Programming: \$6,939,000

Recommended Phase: Construction

Districts: 1, 2, 3, 5, and 6

Scope:

Together, Phase 1 and Phase 2 of the Geary Bus Rapid Transit Project will create dedicated bus-only lanes along the six-mile 38/38R route on Geary Street, O'Farrell Street, and Geary Boulevard from Market Street to 34th Avenue. It will also provide other pedestrian- and transit-supportive improvements such as bulb-outs, optimized stops with upgraded amenities, and signal improvements.

Phase 1 of the Geary BRT project will improve transit and multimodal performance and address pedestrian safety issues on the segment from Market Street to Stanyan Street. Specific improvements will include:

- Extension of existing dedicated bus-only lanes to Stanyan Street, including filling gaps in the existing bus-only lanes between Gough Street and Market Street
- Optimized stop locations with passenger amenities
- More than 50 curb bulb-outs and new curb ramps at many street corners, increasing the visibility of people crossing, slowing down right-turning vehicles, shortening crossing distances for people walking, and improving access for people with disabilities
- Upgraded traffic signals with more reliable transit signal priority, pedestrian countdown signals where they are currently missing, leading pedestrian intervals to give crossing pedestrians a head-start, and optimized traffic signal timing to improve traffic and transit flow
- Coordinated roadway repaving and separately-funded utility upgrades.

Programming OBAG funding to Phase 1 of the Geary BRT project will allow an equal amount of Prop K and Prop AA funds to shift to the Phase 2 of the project, which will implement the rest of the upgrades to the corridor.

Schedule (Phase 1):

Phase	Start (Mo/Yr)	End (Mo/Yr)
Planning/Conceptual Engineering (typically 30% design)	10/2014	10/2015
Environmental Studies (PA&ED)	5/2007	9/2017
Design Engineering (PS&E)	10/2015	5/2018
Construction	3/2018	9/2020

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Funding Plan (Phase 1):

San Francisco OBAG 2 Application
Funding Plan (\$1,000)

Source	Type	Status ²	Project Phases ¹						Total by Fund Source	TOTAL PROJECT FUNDING
			CER	ENV	PS&E	ROW	CON			
OBAG 2		Planned						\$6,939	\$6,939	\$64,656
Transit Performance Initiative - Investment		Allocated						\$9,600	\$9,600	
General Fund		Allocated						\$360	\$360	Total Cost Entered
General Fund		Planned						\$3,287	\$3,287	\$64,656
Prop A T2030 Bond										
Pedestrian Safety Improvements		Allocated	\$350		\$1,257				\$1,607	
Prop A T2030 Bond										
Pedestrian Safety Improvements		Programmed						\$11,693	\$11,693	
Prop AA Vehicle Registration Fee		Planned						\$2,397	\$2,397	
Prop K Sales Tax		Allocated	\$117		\$1,862				\$1,979	
SFMTA Revenue Bond Series 2014		Allocated						\$700	\$700	
SF PUC		Planned						\$23,400	\$23,400	
Transportation and Street Infrastructure Program - Follow the Paving (General Fund)		Allocated	\$95						\$95	
Total by Phase			\$562		\$5,718			\$58,376	\$64,656	

<i>Cost Entered by Phase (\$1,000)</i>		\$562	<i>Geary BRT</i>	\$5,718	-	\$58,376
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Please identify the responsible agency(ies) and funding sources for ongoing maintenance of the project, including but not limited to lighting and landscaping. Funding for operations and maintenance of the proposed project would come from existing revenue sources for SFMTA, which include fare and parking revenues, operating grants (e.g., State Transit Assistance), traffic fees, and fines.

¹ Acronyms for project phases include: CER - Conceptual Engineering; ENV - Environmental Studies; PS&E - Plans, Specifications & Estimates or Final Design; ROW- Right of Way, and CON - Construction.
² Allocated - funds have been approved for expenditure for the subject project by the funding authority; Programmed - funds have been assigned to the subject project but not yet approved for expenditure; Planned - funds have not yet been committed.

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

John Yehall Chin Elementary Safe Routes to School**Sponsor:** San Francisco Public Works**Recommended OBAG 2 Programming:** \$3,366,000**Recommended Phase:** Construction**District:** 3**Scope:**

The John Yehall Chin Elementary Safe Routes to School (SRTS) project seeks to improve the safety and convenience of walking, bicycling, and taking transit for both students traveling to the school and others living and working in the surrounding neighborhood. John Yehall Chin Elementary School is ranked as one of the schools with greatest need of safety improvements on the San Francisco Municipal Transportation Agency's SRTS prioritization list, which was created to better select SRTS projects and includes criteria such as rates of free or reduced lunch, number of students enrolled living within one mile of the school, and high levels of collisions involving a pedestrian.

The project would install significant pedestrian improvements at the following intersections, selected based on the potential to improve walking conditions, proximity to the school, location on a high-injury street, difficulty of funding the projects from other sources, and confidence of being able to meet the grant implementation deadlines. The curb extensions and raised crosswalk will reduce vehicle speeds, provide additional pedestrian space at corners, increase visibility, shorten crossing distances, and improve visibility for the 30 percent of the student population who currently walk to school.

1. Kearny and Bush – curb extension
2. Kearny and Jackson – curb extension
3. Pacific and Stockton – curb extension
4. Battery and Pacific – curb extension
5. Battery and Washington – curb extension
6. Broadway and Cyrus Place – raised crosswalk

SFMTA has estimated that 148,500 pedestrians use the selected intersections every day.

Schedule:

Phase	Start (Mo/Yr)	End (Mo/Yr)
Planning/Conceptual Engineering (typically 30% design)	7/14	6/15
Environmental Studies (PA&ED)	09/15	09/17
Design Engineering (PS&E)	01/16	5/18
Construction	3/19	10/19

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Funding Plan (\$1,000):

Source	Status	PLAN	ENV	PS&E	ROW	CON	Total by Fund Source
OBAG 2	Planned					\$3,366	\$3,366
ATP	Allocated		\$21	\$337			\$358
Prop K sales tax	Allocated	\$40					\$40
Prop K sales tax	Planned					\$436	\$436
Total by Phase		\$40	\$21	\$337		\$3,802	\$4,200

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

Safe Routes to School Non-Infrastructure Project (2019-2021)

Sponsor: San Francisco Department of Public Health

Recommended OBAG 2 Programming: \$2,813,264

Recommended Phase: Construction (Non-Infrastructure)

Districts: citywide

Scope:

The Safe Routes to School (SRTS) Non-Infrastructure Project will implement an additional two years (2019-2021) of the Department of Public Health's SRTS program that includes educational, encouragement, and evaluation activities. The program is currently funded through August 30, 2019. The intent is to increase the percentage of students actively commuting or commuting in non-single-family vehicles to participating schools, and to improve safety of walking and bicycling routes to schools. The scope currently includes comprehensive services at 35 elementary schools (listed below by district), and special activities at four middle schools and 2 high schools. Any interested public school in the City can receive technical assistance and resources, and can participate in events such as Walk and Roll to School Day and Bike and Roll to School Week.

Specific tasks to be accomplished through the grant include:

- Staff neighborhood SRTS task forces – Identify clusters of schools with common routes to school and connect parents and community members (with multi-lingual translation services) to perform walking audits for safety of existing infrastructure, identify needs, request improvements, and engage in ongoing planning processes
- Hold neighborhood skills building, encouragement, and outreach events to help reach parent/guardian champions, including weekend bike rodeos at shared schoolyards; parent-led walking school buses and bike trains; annual Walk and Roll to School Day and Bike and Roll to School week
- Provide technical assistance and education to expand the Tenderloin's "Safe Passage" program into other disadvantaged communities where real and perceived violence prevents families from walking and biking to school
- Implement "City Street Investigators" afterschool programs, teaching children about safety and transportation planning through hands-on activities including mapping, observation of pedestrians', bicyclists', and motorists' behaviors, and monitoring traffic speed
- Teach safe bike riding/street skills programs through 10-day Physical Education curricula in 4 middle and 2 high schools
- Promote carpooling and/or ridesharing at five or more SF Unified School District (SFUSD) schools
- Support staff person at SFUSD to coordinate implementation of unfunded SF SRTS policies

The Department of Public Health will administer the grant and evaluate the effectiveness of the program, contracting with public agencies and non-profit organizations to implement the scope of work, including:

Attachment 8

San Francisco One Bay Area Grant Cycle 2 (OBAG 2) Project Summaries

SFUSD, SF Department of the Environment, the San Francisco Bicycle Coalition, Walk SF, Presidio YMCA, and Safe Passage.

Participating Elementary Schools (current):

<u>District 1:</u> Alamo Argonne George Peabody Lafayette	<u>District 2:</u> Sherman	<u>District 3:</u> Gordon Lau Jean Parker John Yehall Chin Spring Valley
<u>District 4:</u> Dianne Feinstein Lawton RL Stevenson Sunset	<u>District 5:</u> Chinese Immersion at de Avila Grattan Rosa Parks	<u>District 6:</u> Bessie Carmichael
<u>District 7:</u> Commodore Sloat Sunnyside	<u>District 8:</u> Alvarado Fairmount Glen Park	<u>District 9:</u> Buena Vista Horace Mann Cesar Chavez ER Taylor Leonard Flynn Marshall Paul Revere
<u>District 10:</u> Bret Harte El Dorado GW Carver	<u>District 11:</u> Cleveland Longfellow Monroe SF Community	

Schedule:

Phase	Start	End
Construction (Non-Infrastructure)	9/1/19	8/31/21

Funding Plan (\$1,000):

Source	Status	PLAN	ENV	PS&E	ROW	CON	Total by Fund Source
OBAG 2	Planned					\$2,813	\$2,813
In-Kind Match	Planned					\$364	\$364
Total by Phase						\$3,178	\$3,178

Embarcadero Station: New Northside Platform Elevator and Faregates

Sponsor: Bay Area Rapid Transit District

Recommended OBAG 2 Programming: \$2,000,000

Recommended Phase: Construction

Districts: 3 and 6

Scope:

This project will purchase and install a new vertical elevator between the BART platform and the concourse level at the north end of the Embarcadero BART/Muni Station. A glass-enclosed cab and hoistway will provide visual transparency and accessible faregates will be added to accommodate wheelchairs. The elevator will serve the BART platform only, but an emergency stop will be provided at the Muni platform. The existing elevator will then be used exclusively to access the Muni platform. Since both elevators will be able to stop at both platforms, if one elevator is taken out of service, the other can be used to maintain accessible service for both operators.

Schedule:

Phase	Start (Mo/Yr)	End (Mo/Yr)
Planning/Conceptual Engineering (typically 30% design)	Jun 2016	Jan 2017
Design Engineering (PS&E)	Feb 2017	Mar 2018
Construction	Jul 2019	Jul 2021

Funding Plan (\$1,000):

Source	Status ²	PLAN	ENV	PS&E	ROW	CON	Total by Fund Source
OBAG 2	Planned					\$2,000	\$2,000
BART Measure RR	Allocated			\$1,910		\$3,890	\$5,800
Prop K	Planned					\$1,000	\$1,000
BART Other Revenue	Planned					\$6,200	\$6,200
Total by Phase				\$1,910		\$13,090	\$15,000

RESOLUTION ADOPTING THE REVISED GUIDING PRINCIPLES FOR EMERGING MOBILITY SERVICES AND TECHNOLOGIES

WHEREAS, The San Francisco Charter mandates Transit First – charging the City and County of San Francisco with providing for the safe and efficient movement of people and goods in San Francisco; and

WHEREAS, In the last decade, San Francisco has seen dramatic growth of many emerging mobility services and technologies (EMST) that present opportunities while also challenging that core policy; and

WHEREAS, These services and technologies include everything from mobile applications that connect passengers with demand-responsive transportation vehicles to self-driving and connected vehicles; and

WHEREAS, These technological advances in transportation services have resulted in services that may complement and conflict with the City's Transit First and other policies and likely require updates to existing transportation infrastructure, rules, regulations and policies; and

WHEREAS, Together with the San Francisco Municipal Transportation Agency (SFMTA), the Transportation Authority has engaged in an EMST study that includes several core tasks such as documentation of existing services and technology, developing a policy framework, and evaluating existing services and their ability to meet San Francisco Transportation Plan and citywide goals; and

WHEREAS, The SFMTA and Transportation Authority collaboratively developed Guiding Principles based on existing local policies and subsequently received feedback from community stakeholders, focus groups, and working groups representing partner agencies in the city; and

WHEREAS, At its June 13, 2017 meeting, the Board was presented the draft Guiding Principles and provided input and feedback to staff which has been incorporated into the revised



principles as shown in Attachment 1; and

WHEREAS, At its June 28, 2017 meeting, the Citizens Advisory Committee was briefed on and unanimously adopted a motion of support for the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby adopts the revised Guiding Principles for EMST; and be it further

RESOLVED, That the Executive Director is hereby authorized to communicate this information to all relevant agencies and interested parties.

Attachment:

1. Proposed Guiding Principles

Attachment 1

**June 20, 2017 Revised Guiding Principles for
Management of Emerging Mobility Services and Technologies**

Safety	Emerging Mobility Services and Technologies must be consistent with the City and County of San Francisco's goal for achieving Vision Zero, reducing conflicts, and ensuring public safety and security.
Transit	Emerging Mobility Services and Technologies must complement rather than compete with public transit services, must support and account for the operational needs of public transit and encourage use of high-occupancy modes.
Equitable Access	Emerging Mobility Services and Technologies must promote equitable access to services. All people, regardless of age, race, color, gender, sexual orientation and identity, national origin, religion, or any other protected category, should benefit from Emerging Mobility Services and Technologies, and groups who have historically lacked access to mobility benefits must be prioritized and should benefit most.
Disabled Access	Emerging Mobility Services and Technologies must be inclusive of persons with disabilities. Those who require accessible vehicles, physical access points, services, and technologies are entitled to receive the same or comparable level of access as persons without disabilities.
Sustainability	Emerging Mobility Services and Technologies must support sustainability, including helping to meet the city's greenhouse gas (GHG) emissions reduction goals, promote use of all non-auto modes, and support efforts to increase the resiliency of the transportation system.
Congestion	Emerging Mobility Services and Technologies must consider the effects on traffic congestion, including the resulting impacts on road safety, modal choices, emergency vehicle response time, transit performance and reliability.
Accountability	Emerging Mobility Services and Technologies providers must share relevant data so that the City and the public can effectively evaluate the services' benefits to and impacts on the transportation system and determine whether the services reflect the goals of San Francisco.
Labor	Emerging Mobility Services and Technologies must ensure fairness in pay and labor policies and practices. Emerging Mobility Services and Technologies should support San Francisco's local hire principles, promote equitable job training opportunities, and maximize procurement of goods and services from disadvantaged business enterprises.
Financial Impact	Emerging Mobility Services and Technologies must promote a positive financial impact on the City's infrastructure investments and delivery of publicly-provided transportation services.
Collaboration	Emerging Mobility Services and Technology providers and the City must engage and collaborate with each other and the community to improve the city and its transportation system.

Use of Guiding Principles: The SFCTA and SFMTA will use these Guiding Principles to shape our approach to Emerging Mobility Services and Technologies. For the SFMTA, these Guiding Principles will

serve as a framework for the consistent application of policies and programs. The SFCTA will use these Guiding Principles to evaluate these services and technologies; identify ways to meet city goals, and shape future areas of studies, policies and programs. Every Guiding Principle may not be relevant to every consideration associated with Emerging Mobility Services and Technologies, and in some cases a service may not meet all of the principles consistently. SFMTA and SFCTA Directors and staff will consider whether a service or technology is consistent with the Guiding Principles, on balance. If a service provider or technology does not support these Guiding Principles, SFMTA and SFCTA will work with the service provider to meet the principles, or may choose to limit their access to City resources.



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Jeff Hobson – Deputy Director for Planning
Subject: 07/11/17 Board Meeting: Adoption of Revised Guiding Principles for Emerging Mobility Services & Technologies

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <p>Adopt the revised Guiding Principles for Emerging Mobility Services & Technologies (EMST)</p> <p>SUMMARY</p> <p>This memo summarizes community feedback related to EMST Guiding Principles, a draft of which were presented last month. As shown in Attachment 2, the revised Principles were collaboratively developed by the Transportation Authority and the San Francisco Municipal Transportation Agency (SFMTA) and are based on existing local policies. This memo also provides updates on other related EMST studies and the California Public Utilities Commission (CPUC) Rulemaking activities.</p>	<p><input type="checkbox"/> Fund Allocation</p> <p><input type="checkbox"/> Fund Programming</p> <p><input checked="" type="checkbox"/> Policy/Legislation</p> <p><input checked="" type="checkbox"/> Plan/Study</p> <p><input type="checkbox"/> Capital Project Oversight/Delivery</p> <p><input type="checkbox"/> Budget/Finance</p> <p><input type="checkbox"/> Contract/Agreement</p> <p><input type="checkbox"/> Procurement</p> <p><input type="checkbox"/> Other: _____</p>
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DISCUSSION

Background.

The San Francisco Charter mandates Transit First – charging the City and County of San Francisco (CCSF) with providing for the safe and efficient movement of people and goods in San Francisco. In the last decade, San Francisco has seen dramatic growth of many emerging mobility services and technologies that present opportunities while also challenging that core policy. These services and technologies include everything from mobile applications that connect passengers with demand-responsive transportation vehicles to self-driving and connected vehicles. While they each provide new conveniences, access, and mobility options, their impacts remain unclear with respect to our established policies and goals.

We previously presented a draft set of Guiding Principles at the May 24 Citizens Advisory Committee (CAC) and June 13 Board meetings. SFTMA and Transportation Authority staff has conducted outreach to gather feedback from community stakeholders and conducted three focus groups with over twenty advocacy groups representing transportation safety, equity, and accessibility issues in San Francisco. Staff also attended standing committee and working group meetings representing partner agencies in the city. Finally, staff received input from EMST providers. See Attachment 1 for full list of feedback participants.

Community Feedback and Revised Guiding Principles

Based on the feedback described above, staff revised the proposed Guiding Principles for EMST as shown in Attachment 2. The following is a summary of community feedback and adjustments to the Guiding Principles:

‘Safety’ modified to include modal conflicts. Following the modal focus group, several members suggested we extend our consideration beyond fatalities to include conflicts that may occur at crosswalks, bike lanes and at curbs when evaluating safety in the public right of way.

‘Transit’ and ‘Sustainability’ were clarified and strengthened. Both the EMST providers and focus groups encouraged staff to more explicitly promote sustainability, the use of non-auto modes, and high-occupancy vehicles.

‘Disabled Access’ now extends beyond EMST vehicles. During the Accessibility focus group, advocates encouraged staff to consider the software application and its technology when evaluating EMST.

‘Labor’ was strengthened to consider additional factors. Several parties identified additional goals the city should strive for including job training, and diversity of business ownership. ‘Consumers’ was removed from this principle’s title because consumer issues were strengthened in several other principles.

‘Innovative Collaboration’ added as a guiding principle. Following feedback from focus groups, EMST providers and the Board, staff was encouraged to recognize the providers’ innovative role and to collaborate with providers to ultimately meet CCSF goals.

Guiding Principles adjusted to identify ideals. Several commenters encouraged staff to delineate positive ideals for each principle (what we ‘want’) as opposed to describing negative outcomes to be avoided (what we ‘don’t want’). In response, staff rephrased the Guiding Principles to state objectives in a more positive form.

Next Steps for the EMST Study.

The joint agency team will use these principles as a framework to evaluate these services and technologies; identify areas for improvement or policy intervention; identify outstanding questions to shape future areas of research and study; and proactively develop pilots and programs to address research questions. We expect to present the results of this evaluation in early fall.

Regulatory Landscape Study of Technology Network Companies (TNCs).

Following the recent release of the TNCs Today report, we have initiated an additional study that complements the findings in the report and follows up on Commissioner requests. The “TNC Regulatory Landscape” report will provide information related to how TNC companies, such as Uber and Lyft, are regulated in California compared to other states. Additionally, the report will identify case studies for policy responses in other states and outline potential policy responses we may pursue here in San Francisco and California. We plan to provide this report to the CAC and Board in the coming months and gather additional feedback related to the outlined policy response options.

Recent Legislative and Regulatory Activities.

Earlier in the month we joined SFMTA staff for a meeting with CPUC staff to discuss our concerns and the upcoming Phase 3 TNC rulemaking process. The CPUC has revised the schedule of its proposed rulemaking on TNCs to accelerate the “TNC Data” track (Track 3). In this track, the CPUC will invite comments on the value of sharing TNC data publicly; the effectiveness of third-party hosted

Agenda Item 10

websites for sharing that data; and issues related to customer privacy and market sensitive data among others. The CPUC cited growing interest from local governments as a reason for accelerating this portion of their rulemaking. We have identified this track as an important one for the Transportation Authority to engage in and provide comments to CPUC. Following recommendations from the June 13 Board meeting, we are taking steps to become an official party to the CPUC rulemaking process. Staff from the Transportation Authority, SFMTA, and San Francisco International Airport are collaborating to develop comprehensive comments on desired TNC data provisions. CPUC asks that comments be submitted by July 15, 2017 and plans to submit replies by July 31, 2017.

FINANCIAL IMPACT

The recommended action would not have an impact on the adopted Fiscal Year 2017/18 budget.

CAC POSITION

The CAC was briefed on this item at its June 28, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

Attachment 1 – Guiding Principles Feedback Participants

Attachment 2 – Proposed Guiding Principles for Emerging Mobility Services & Technology

Attachment 3 – CPUC Scoping Memo Phase III

Attachment #1 - Guiding Principles Feedback Participants**Focus Groups***Focus Group 1: Safety*

Livable City
SF Bicycle Coalition,
SF Transit Riders Union
Vision Zero
WalkSF

Focus Group 2: Equity

Greenlining Institute
Transform

Focus Group 3: Accessibility

Department of Aging and Adult Services
Independent Living Resource Center
Lighthouse for the Blind
Mayor's Office on Disability
Senior Disability Action
SF In-Home Supportive Services Public Authority

Emerging Mobility Service Providers

A3 Ventures (AAA)
Cruise GM
EasyMile
Lyft
Scoop
Zagster

Committee Meetings

Vision Zero Task Force
SFMTA PAG
Director's Working Group
Taxi Task Force



LR1/ek4 6/12/2017

FILED
6-12-17
9:20 AM

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Order Instituting Rulemaking on
Regulations Relating to Passenger Carriers,
Ridesharing, and New Online-Enabled
Transportation Services.

Rulemaking 12-12-011
(Filed December 20, 2012)

**AMENDED PHASE III. B. SCOPING MEMO AND RULING
OF ASSIGNED COMMISSIONER**

Summary

This Amended Phase III.B. Scoping Memo and Ruling adjusts the ordering of the subject tracks, clarifies the scope of issues for party comments as to the newly identified Track 3 (Transportation Network Company data), and adds a new Track 4 (Is Uber Technologies, Inc. a Transportation Network Company) of the Phase III.B. Scoping Memo and Ruling that I issued on April 7, 2017. The remaining Tracks of Phase III.B. are the same but some have been renumbered.

1. Scope of Issues

As noted in the Phase III. B. Scoping Memo and Ruling, the priority for resolving the various Phase III. B. issues may shift depending on the facts known to the Commission regarding the Transportation Network Company (TNC) operations, the need to issue decisions in conformity with the directives from the Legislature, public policy, and safety considerations. Recently, the Commission has learned of the heightened interest that governmental entities have expressed in obtaining and analyzing TNC trip data in order to gauge the TNC vehicles' environmental, traffic, and infrastructural impacts on the cities and counties in

California where these TNC vehicles operate.¹ As a result, I have designated this topic as part of the newly identified Track 3.

In addition, I have added a new Track 4 to address whether the Commission should reconsider its earlier determination in Decision (D.) 13-09-045 (Finding of Fact 25), that Uber Technologies, Inc. (Uber) is not a TNC. I have raised this issue since the Commission has more information about the extent of Uber’s involvement in the TNC operations than what was known at the time that D.13-09-045 was issued.

In light of the foregoing, the Tracks are revised as follows:

Track Numbers	Issues	Questions
1	Background check requirements that should be applicable to TNCs	<ol style="list-style-type: none"> 1. What public policy and or safety objectives would be achieved by requiring all existing and prospective TNC drivers to undergo a biometric (<i>i.e.</i> the use of a person’s physical characteristics and other traits) background check? 2. Does subjecting all TNC drivers to a biometric background check adversely affect the chances of persons of different races or ethnicities to pass the background checking process? Explain why or why not. 3. In addition to a biometric

¹ For example, on June 5, 2017, the Office of the City Attorney for the City and County of San Francisco hand delivered a Public Records Act request to the Commission’s custodian of records for, *inter alia*, Uber and Lyft trip data.

Track Numbers	Issues	Questions
		<p>background check, are there other background check protocols that the Commission should consider adopting? Explain why or why not.</p> <p>4. How would any other background check protocols described in #3 above satisfy California's public policy and or safety objectives?</p> <p>5. What background check protocol should the Commission adopt to comply with the requirements and goals of Assembly Bill 1289, codified at Pub. Util. Code §5445.2?</p>
2	Regulatory status of Uber.	<p>1. What is Uber for purposes of determining the full extent of the Commission's jurisdiction over Uber's California operations and its subsidiaries?</p> <p>2. Should Uber be considered a Charter-Party Carrier (TCP)?</p> <p>3. Should Uber USA be considered a TCP?</p> <p>4. Should any other Uber subsidiary or Uber affiliated business conducting or assisting in the conducting of transportation service be considered a TCP?</p>

Track Numbers	Issues	Questions
3.	TNC data: (a) Should the Commission establish a website portal for TNC data; and (b) Should the Commission share TNC trip data with interested California government entities?	<ol style="list-style-type: none"> 1. What is the public and/or research value of a website, database, or other publicly accessible means to host data about transportation for hire that is under the Commission's jurisdiction? 2. What has been the effectiveness of third-party hosted websites that provide data about Commission programs? 3. What concerns, if any, are there about the ability of a Commission-sponsored website to protect customer privacy and market sensitive data? 4. What characteristics or design specifications are needed to ensure that a Commission-sponsored website would be flexible enough to adjust to future legislative action including, but not limited to: new background check standards that are germane to the Commission's jurisdiction over TNCs? 5. Should the Commission share TNC trip data with interested California governmental entities? 6. What factors should the Commission take into account in determining if TNC trip data should be shared with

Track Numbers	Issues	Questions
		<p>interested California governmental entities?</p> <p>7. What steps should the Commission consider implementing to protect the market sensitivity of trip data?</p>
4.	Is Uber a TNC?	<p>1.Should the Commission reconsider its determination from Decision 13-09-045 (Finding of Fact # 25) that Uber is not a TNC? Set forth all facts, arguments, law, and documents that support your answer.</p> <p>2.Does Uber exercise control over the screening and selection of its TNC drivers that operate on the Uber platform? Set forth all facts, arguments, law, and documents that support your answer.</p> <p>3. Does Rasier-CA, LLC (Rasier-CA) exercise control over the screening and selection of its TNC drivers that operate on the Uber platform? Set forth all facts, arguments, law, and documents that support your answer.</p> <p>4.Does Uber terminate the accounts of drivers who do not perform up to Uber’s standards? Set forth all facts, arguments, law, and documents that support your answer.</p> <p>5.Does Rasier-CA terminate the</p>

Track Numbers	Issues	Questions
		<p>accounts of drivers who do not perform up to Uber's standards? Set forth all facts, arguments, law, and documents that support your answer.</p> <p>6.Does Uber deactivate the accounts of passengers for low ratings or inappropriate conduct? Set forth all facts, arguments, law and documents that support your answer.</p> <p>7.Does Rasier-CA deactivate the accounts of passengers for low ratings or inappropriate conduct? Set forth all facts, arguments, law and documents that support your answer.</p> <p>8.Does Uber investigate passenger complaints that a TNC driver operating on the Uber platform was driving while impaired? Set forth all facts, arguments, law and documents that support your answer.</p> <p>9.Does Rasier-CA investigate passenger complaints that a TNC driver operating on the Uber platform was driving while impaired? Set forth all facts, arguments, law and documents that support your answer.</p> <p>10.Provide the name and job title</p>

Track Numbers	Issues	Questions
		<p>of the person(s) most knowledgeable employed by or associated with Uber who is involved in determining the fare calculation methodology via the Uber App (i.e. Uber’s smartphone application that allows an individual to send a request to providers of transportation services for transportation service).</p> <p>11. Provide the name and job title of the person(s) most knowledgeable employed by or associated with Rasier-CA who is involved in determining the fare calculation methodology via the Uber App.</p> <p>12. Provide the most current organizational structure of Uber and Rasier-CA. For Uber and Rasier-CA:</p> <ul style="list-style-type: none"> • Specify each company’s address; • Specify the names and job descriptions of all corporate officers; • Specify the number of workers employed in California; • Specify the number of persons who work as independent contractors in California; • Specify the physical address of Uber and Rasier-CA; • Specify the number of board meetings that have been held; • Specify in what form board meeting minutes are maintained; • Specify who maintains possession

Track Numbers	Issues	Questions
		<p>of the board-meeting minutes;</p> <ul style="list-style-type: none"> • Specify the names and addresses of in-house legal counsel; and • Specify the names and addresses of outside legal counsel.
5.	Accessible vehicle requirements for TNCs.	<ol style="list-style-type: none"> 1. What is the percentage of accessible vehicles that TNCs make available? 2. Are there any opportunities for the TNCs to provide increased accessible vehicle services to TNC customers?
6.	Requirements that should be applicable to TNCs concerning the incidental transportation of minors	<ol style="list-style-type: none"> 1. Provide the Commission with any updates to your plans, submitted previously in response to the May 23, 2016 and June 6, 2016 Assigned Commissioner’s Rulings that asked for information regarding the the handling and incidental transportation of minors. Should the Commission adopt any additional requirements for regulating TNCs that handle the incidental transportation of minors? Explain why or why not.
7	Requirements that should be applicable to TNCs to ensure public safety	<ol style="list-style-type: none"> 1. Are there any additional issues that the Commission has not addressed in the prior phases of this proceeding, regarding TNC operations that impact public safety? 2. Should the Commission adopt any additional regulations to

Track Numbers	Issues	Questions
		address these issues?
8	Regulation of Autonomous Vehicles	<p>1. If a person or entity partners with, or enters into an agreement with, a TNC to supply autonomous vehicles for passenger transportation service:</p> <ul style="list-style-type: none"> • Should the person or partnering entity be required to obtain authority from the Commission to operate as a TNC, TCP, or should the Commission designate an alternate regulatory category; and • Should the TNC that is a party to the partnership or agreement be required to obtain authority from the Commission to operate as a TCP, or should the Commission designate an alternate regulatory category? <p>2. Should any interested party be permitted to file a petition to modify any of the existing Commission decisions, rules, or general orders in order for autonomous vehicles to lawfully provide passenger transportation service? If so, identify all such decisions, rules, and general orders and</p>

Track Numbers	Issues	Questions
		explain how they should be modified.

2. Schedule for Comments, to file a Petition for Modification, and for Comments on the Workshop Report

Track 1	April 30, 2017	Opening comments filed and served
Track 1	May 15, 2017	Reply comments filed and served
Track 2	May 31, 2017	Opening comments filed and served
Track 2	June 15, 2017	Reply comments filed and served
Track 3	July 15, 2017	Opening comments filed and served
Track 3	July 31, 2017	Reply comments filed and served
Track 4	August 15, 2017	Opening comments filed and served
Track 4	August 31, 2017	Reply comments filed and served
Tracks 5, 6, 7, and 8	Dates for opening and reply comments TBD	
	4 th Quarter 2017	Issue proposed decision

For Track 2, the parties shall respond to the questions above in Section 1 of this Amended Scoping Memo and Ruling. In addition, Uber shall respond to the questions in the Attachment A to this Amended Scoping Memo and Ruling. Other parties may also respond to the questions in the Attachment A to this

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Amended Scoping Memo and Ruling if they have information relevant to the questions.

In addition to the above schedule, this Amended Scoping Memo and Ruling imposes the following deadline for Track 8 for the parties to file a petition for modification of any prior Commission decision issued in this proceeding to address the necessary categorizations and parameters for: (a) the entities that supply autonomous vehicles; (b) the entities who partner with other entities subject to the Commission's jurisdiction in order to provide autonomous vehicles; and (c) the existing TNCs who wish to utilize autonomous vehicles in their transportation service:

- A party seeking a modification of the Commission's prior decisions, rules, and general orders in order for autonomous vehicles to lawfully provide passenger transportation, shall file a petition for modification within 90 days from the issuance of this Scoping Memo and Ruling.
- If no party files a petition for modification by the 90-day deadline, the assigned Commissioner or ALJ may issue a ruling (including an amended Scoping memo and Ruling) proposing the appropriate classification and accompanying parameters for regulating autonomous vehicles.

Finally, following the February 17, 2017 Workshop: Criminal Background Checks for TNC Drivers, the Commission's staff stated it would issue a workshop report within 45 days of the Workshop for public comment. This deadline has been delayed and the workshop report will be issued as soon as possible. Opening Comments shall be filed and served 30 days after the workshop report has been served on the service list, and Reply Comments shall be filed and served 15 days after the filing and service of the Opening Comments.

To the extent necessary, the Assigned Commissioner or the assigned Administrative Law Judge (ALJ) may adjust or supplement the schedule for submitting opening and reply comments regarding the scoped issues, the workshop report, as well as the time period for filing petitions for modification.

Consistent with Pub. Util. Code § 1701.5(a), I intend to complete this proceeding within 18 months from the date of this Amended Scoping Memo and Ruling.

3. Categorization

In the Order Instituting Rulemaking, issued on December 20, 2012, the Commission preliminarily determined that the category of the proceeding was quasi-legislative. The Scoping Memo and Ruling from Phase I of this proceeding, issued on April 2, 2013, confirmed that categorization.

4. Need for Hearing

The Commission in the Order Instituting Rulemaking also preliminarily determined that hearings are not required.

5. *Ex Parte* Communications

In a quasi-legislative proceeding such as this one, *ex parte* communications with the assigned Commissioner, other Commissioners, their advisors, and the ALJ are permitted without restriction or reporting as described at Pub. Util. Code § 1701.4(c) and Article 8 of the Commission's Rules of Practice and Procedure.

6. Assigned Commissioner

Liane M. Randolph is the assigned Commissioner and Robert M. Mason III is the assigned ALJ.

7. Outreach Effort

Cal. Pub. Util. Code § 1711(a) states:

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Where feasible and appropriate, except for adjudication cases, before determining the scope of the proceeding, the commission shall seek the participation of those who are likely to be affected, including those who are likely to benefit from, and those who are potentially subject to, a decision in that proceeding. The commission shall demonstrate its efforts to comply with this section in the text of the initial scoping memo of the proceeding.

R.12-12-011 was served on city, county, and state governmental agencies interested in the Commission's regulation of the TCP industry. The service and notice of R.12-12-011 occurred prior to the enactment of Cal. Pub. Util. Code § 1711(a) and was therefore not subject to the requirements of Cal. Pub. Util. Code § 1711(a) with respect to the Preliminary Scoping Memo for this rulemaking proceeding.

8. Service of this Amended Phase III. B. Scoping Memo and Ruling

Given the importance of Phase III B. of R.12-12-011, we direct the Executive Director to serve this Amended Scoping Memo and Ruling on the following:

- All California counties, incorporated cities, and incorporated towns, to the extent practical.
- All California agencies responsible for regulating vehicles entering and exiting airports.

Such service does not confer party status in this rulemaking proceeding or result in any person or entity being added to the service list for this proceeding.

9. Filing, Service, and Service List

The official service list has been created and is on the Commission's website. Parties should confirm that their information on the service list is correct, and serve notice of any errors on the Commission's Process office, the service list, and the ALJ. Persons may become a party pursuant to Rule 1.4.

When serving any document, each party must ensure that it is using the current official service list on the Commission's website.

This proceeding will follow the electronic service protocols set forth in Rule 1.10. All parties to this proceeding shall serve documents and pleadings using electronic mail, whenever possible, transmitted no later than 5:00 p.m., on the date scheduled for service to occur. Parties are reminded, when serving copies of documents, the document format must be consistent with the requirements set forth in Rules 1.5 and 1.6. Additionally, Rule 1.10 requires service on the ALJ of both an electronic and a paper copy of filed or served documents.

Rules 1.9 and 1.10 govern service of documents only and do not change the Rules regarding the tendering of documents for filing. Parties can find information about electronic filing of documents at the Commission's Docket Office at www.cpuc.ca.gov/PUC/efiling. All documents formally filed with the Commission's Docket Office must include the caption approved by the Docket Office and this caption must be accurate.

Persons who are not parties but wish to receive electronic service of documents filed in the proceeding may contact the Process Office at process_office@cpuc.ca.gov to request addition to the "Information Only" category of the official service list pursuant to Rule 1.9(f).

10. Discovery

Discovery may be conducted by the parties consistent with Article 10 of the Commission's Rules. Any party issuing or responding to a discovery request shall serve a copy of the request or response simultaneously on all parties. Electronic service under Rule 1.10 is sufficient, except Rule 1.10(e) does not apply to the service of discovery and discovery shall not be served on the ALJ.

Deadlines for responses may be determined by the parties. Motions to compel or limit discovery shall comply with Rule 11.3.

11. Public Advisor

Any person interested in participating in this proceeding who is unfamiliar with the Commission's procedures or who has questions about the electronic filing procedures is encouraged to obtain more information at <http://consumers.cpuc.ca.gov/pao> or contact the Commission's Public Advisor at 866-849-8390 or 415-703-2074 or 866-836-7825 (TTY), or send an e-mail to public.advisor@cpuc.ca.gov.

12. Schedule for Completion

It is the Commission's intent to complete this proceeding within 18 months of the date this Amended Scoping Memo and Ruling is issued. This deadline may be extended by order of the Commission pursuant to Pub. Util. Code § 1701.5(a).

IT IS RULED that:

1. The category of this proceeding continues to be quasi-legislative.
2. The scope of the issues for Phase III.B. of this proceeding is as stated in Section 1 of this Amended Scoping Memo and Ruling, and that the schedule for Phase III.B. is as set forth in Section 2 of this Amended Scoping Memo and Ruling.
3. Hearings are not necessary.

4. *Ex parte* communications are permitted without restriction or reporting as described at Pub. Util. Code § 1701.4(c) and Article 8 of the Commission's Rules of Practice and Procedure.

Dated June 12, 2017, at San Francisco, California.

/s/ LIANE M. RANDOLPH

Liane M. Randolph
Assigned Commissioner

Attachment A
Track 2 Questions

In its July 1, 2015 Response to Assigned Commissioner and Administrative Law Judge's Ruling, Uber Technologies, Inc. (hereinafter Uber or UTI) answered Question 3 (Explain the roles that Uber, Rasier LLC, Rasier-CA, LLC, and UberX play in facilitating the provision of prearranged transportation services using the Uber App), in part, as follows:

UTI has also granted a perpetual and non-exclusive license to Uber USA, LLC (Uber USA) to use Uber's intellectual property, including the Uber platform and the registered trademark "Uber." Uber USA, which, in California, is primarily focused on providing the Uber Service for TCP Holders, provides riders access to the Uber rider app (Uber Rider APP), subject to Terms of Use.

These questions are a follow up to the responses Uber previously filed and served. While it is possible that Uber may be the only party with information sufficient to answer the questions, the Assigned Commissioner invites all parties to respond to the extent that they have information germane to this inquiry.

1. Does Uber USA, LLC (Uber USA) still possess a perpetual and non-exclusive license to use Uber's intellectual property, including the Uber platform and the registered trademark "Uber"? If so, state all facts, legal arguments, and identify all documents, that support your answer. If not, state all facts, legal arguments, and identify all documents, that support your answer.
2. Is Uber USA still primarily focused on providing the Uber Service for TCP Holders? If so, state all facts, legal arguments, and identify all documents, that support your answer. If not, state all facts, legal arguments, and identify all documents, that support your answer.
3. What legal authority permits Uber USA to provide the Uber Service for TCP Holders in California?

4. Has Uber USA filed any legal papers with the California Secretary of State, and/or any other California state agency, in order to conduct business in California? If so, identify all legal papers that have been filed with the California Secretary of State and/or any other California state agency.
5. What legal authority permits Uber to grant a perpetual and non-exclusive license to Uber USA to use Uber's intellectual property, including the Uber Platform and the registered trademark "Uber" in California?
6. Identify Uber and Uber USA's business address in California.
7. List the current officers and directors of Uber and Uber USA. For each person listed, indicate their full name, title, job function, and work address. Production of an organization chart with this information is preferred.
8. Identify the number of Uber and Uber USA employees working in California.
9. Identify Uber and Uber USA's workers compensation carriers including policy numbers, dates of coverage, and policy limits.
10. Has Uber USA held annual meetings of its directors, shareholders, or members? If so, list the dates of the meetings and the directors, shareholders, or members who were in attendance.
11. Does Uber USA maintain records or minutes of the annual meetings? If so, who at Uber USA maintains these records or minutes?
12. Has Uber USA adopted company bylaws? If so, produce a copy of Uber USA's current company bylaws.
13. Describe the steps that Uber USA takes to ensure that its officers and agents abide by Uber USA's bylaws.
14. Does Uber USA maintain accounts with any banks, savings and loans, and/or other financial institutions? If so, identify the names and addresses of the banks, savings and loans, and/or other financial institutions.
15. Does Uber maintain accounts at the same banks, savings and loans, and/or other financial institutions as Uber USA? If so, identify the names and addresses of the banks, savings and loans, and /or other financial institutions.

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16. Are Uber and Uber USA joint account holders at any banks, savings and loans, and/or other financial institutions? If so, identify the names and addresses of the banks, savings and loans, and /or other financial institutions.
17. Describe how Uber USA satisfies the requirement of Pub. Util. Code § 5374 (a)(1)(A) that “it is financially and organizationally capable of conducting an operation that complies with the rules and regulations of the Department of the California Highway Patrol governing highway safety.”
18. Does Uber USA provide riders access to the Uber rider app (Uber Rider APP)? If so, explain how Uber USA provides riders access to the Uber Rider APP.
19. Does any other Uber subsidiary or affiliated entity provide or assist in providing riders access to the Uber Ride APP to be connected to a TCP Holder? If so, identify each subsidiary or affiliated entity and explain its role.
20. Is Uber USA a TCP? If so, state all facts, legal arguments, and identify all documents, that support your answer. If not, state all facts, legal arguments, and identify all documents, that support your answer.
21. Is Uber a TCP? If so, state all facts, legal arguments, and identify all documents, that support your answer. If not, state all facts, legal arguments, and identify all documents, that support your answer.
22. Does Uber play any role in ensuring that TCP Holders that are provided the Uber Service comply with the requirements of General Order (GO) 157-D? If so, state all facts, legal arguments, and identify all documents, that support your answer.
23. Does Uber play any role in ensuring that TCP Holders that are provided the Uber Service comply with the requirements of The Charter-Party Carriers Act (Pub. Util. Code §§ 5381-5389)? If so, state all facts, legal arguments, and identify all documents, that support your answer.
24. Does Uber USA play any role in ensuring that TCP Holders that are provided the Uber Service comply with the requirements of The Charter-Party Carriers Act (Pub. Util. Code §§ 5381-5389)? If so, state all facts, legal arguments, and identify all documents, that support your answer.

25. Does Uber USA play any role in ensuring that TCP Holders that are provided the Uber Service comply with the requirements of GO 157-D? If so, state all facts, legal arguments, and identify all documents, that support your answer.
26. Besides granting a perpetual and non-exclusive license to Uber USA, what role, if any, does Uber play in providing the Uber Service to TCP Holders?
27. In the event a passenger, pedestrian, or driver of another vehicle claims that the TCP Holder providing the Uber Service has caused either personal injury or property damage, what role, if any, does UTI play in investigating and/or resolving these claims?
28. In the event a passenger, pedestrian, or driver of another vehicle claims that the TCP Holder providing the Uber Service has caused either personal injury or property damage, what role, if any, does Uber USA play in investigating and/or resolving these claims? If your answer is none, explain your answer (including references to any supporting facts, documents, law, rules, statutes, or orders).
29. If the insurance held by the TCP Holder providing the Uber Service is either insufficient or unavailable to pay a claim made against the TCP Holder by a passenger, pedestrian, or driver of another vehicle, will UTI pay the balance of the claim? If your answer is no, explain your answer (including references to any facts, documents, supporting law, rules, statutes, or orders).
30. If the insurance held by the TCP Holder providing the Uber Service is either insufficient or unavailable to pay a claim made against the TCP Holder by a passenger, pedestrian, or driver of another vehicle, will Uber USA pay the balance of the claim? If your answer is no, explain your answer (including references to any facts, documents, supporting law, rules, statutes, or orders).
31. Produce the most current version of the Uber USA Software License and Online Services Agreement.

(END OF ATTACHMENT A)

RESOLUTION APPROVING THE REVISED DEBT, FISCAL, INVESTMENT, PROCUREMENT, AND TRAVEL, CONFERENCE, TRAINING AND BUSINESS EXPENSE REIMBURSEMENT POLICIES

WHEREAS, The Transportation Authority develops and implements policies and procedures to organize and formalize agency activities, and to ensure compliance with current statutes and Transportation Authority objectives; and

WHEREAS, It is Transportation Authority direction to review its Debt Policy annually, to maintain prudent debt management principles and to maximize the Transportation Authority's debt capacity, and its Investment Policy annually, to ensure policy language remains consistent with its governing code, while continuing to meet the primary investment objectives of safety of principal, liquidity, and a return on investment consistent with both the risk and cash flow characteristics of the Transportation Authority's portfolio; and

WHEREAS, While the Transportation Authority is not required to annually review its Fiscal, Procurement, and Travel, Conference, Training and Business Expense Reimbursement Policies, it is good management practice to do so on a regular basis, and

WHEREAS, The Debt Policy's purpose is to organize and formalize debt issuance-related policies and procedures; and

WHEREAS, The Fiscal Policy guides decisions pertaining to internal fiscal management, including day-to-day operations, annual budget development and sales tax revenue allocation requirements; and

WHEREAS, The Investment Policy sets out policies and procedures that enhance opportunities for a prudent and systematic investment policy and to organize and formalize investment-related activities.; and



WHEREAS, The Procurement Policy is designed to guide decisions pertaining to procurement, including the modes, methods and procedures for acquiring the materials, equipment and services necessary to carry out the operations of the Transportation Authority; and

WHEREAS, The Travel, Conference, Training and Business Expense Reimbursement Policy establishes a set of policies relating to travel, conference, training and business expenses, and establishes procedures for reimbursement of commissioners and employees; and

WHEREAS, With assistance and guidance from the Transportation Authority's financial advisors, bond counsel, disclosure counsel, and legal counsel, staff are updating the policies to conform to applicable law and keep consistent with state and local government codes; and

WHEREAS, At its June 28, 2017 meeting, the Citizens Advisory Committee considered the subject request and unanimously adopted a motion of support for the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby adopts the Debt Policy as presented in Attachment 1; and be it further

RESOLVED, That the Transportation Authority hereby adopts the Fiscal Policy as presented in Attachment 2; and be it further

RESOLVED, That the Transportation Authority hereby adopts the Investment Policy as presented in Attachment 3; and be it further

RESOLVED, That the Transportation Authority hereby adopts the Procurement Policy as presented in Attachment 4; and be it further

RESOLVED, That the Transportation Authority hereby adopts the Travel, Conference, Training and Business Expense Reimbursement Policy as presented in Attachment 5; and be it further

RESOLVED, That the Executive Director is hereby authorized to communicate the policies to all relevant parties

Attachments (5):

1. Proposed Debt Policy
2. Proposed Fiscal Policy
3. Proposed Investment Policy
4. Proposed Procurement Policy
5. Proposed Travel, Conference, Training and Business Expense Reimbursement Policy



DEBT POLICY

I. INTRODUCTION

The purpose of this Policy is to organize and formalize debt issuance-related policies and procedures for the San Francisco County Transportation Authority (Transportation Authority) and to establish a systematic debt policy (Debt Policy). The Debt Policy is, in every case, subject to and limited by applicable provisions of state and federal law and to prudent debt management principles.

II. DEBT POLICY OBJECTIVE

The primary objectives of the Transportation Authority's debt and financing related activities are to

- Maintain cost-effective access to the capital markets through prudent yet flexible policies;
- Moderate debt principal and debt service payments through effective planning and project cash management in coordination with Transportation Authority project sponsors; and
- Achieve the highest practical credit ratings that also allow the Transportation Authority to meet its objectives.

III. SCOPE AND DELEGATION OF AUTHORITY

This Debt Policy shall govern, except as otherwise covered by the Transportation Authority's adopted Investment Policy and the Transportation Authority's adopted Fiscal Policy, the issuance and management of all debt funded through the capital markets, including the selection and management of related financial and advisory services and products.

This Policy shall be reviewed and updated at least annually and more frequently as required. Any changes to the policy are subject to approval by the Transportation Authority Board of Commissioners (Board) at a legally noticed and conducted public meeting. Overall policy direction of this Debt Policy shall be provided by the Board. Responsibility for implementation of the Debt Policy, and day-to-day responsibility and authority for structuring, implementing, and managing the Transportation Authority's debt and finance program, shall lie with the Executive Director. The Board's adoption of the Annual Budget does not constitute authorization for debt issuance for any capital projects. This Debt Policy requires that the Board specifically authorize each debt financing. Each financing shall be presented to the Board in the context of and consistent with the Annual Budget.

While adherence to this Policy is required in applicable circumstances, the Transportation Authority recognizes that changes in the capital markets, agency programs and other unforeseen circumstances may from time to time produce situations that are not covered by the Policy and require modifications or exceptions to achieve policy goals. In these cases, management flexibility is appropriate, provided specific authorization from the Board is obtained.

IV. ETHICS AND CONFLICTS OF INTEREST

Officers, employees or agents of the Transportation Authority involved in the debt management program will not engage in any personal business activities or investments that would conflict with proper and lawful execution of the debt management program, or which could impair their ability to make impartial decisions.



V. STRATEGIC PLAN INTEGRATION

The Transportation Authority's multi-year Strategic Plan, which programs the Proposition K Sales Tax (Prop K) Expenditure Plan (Expenditure Plan), shall be used in combination with this Debt Policy and the Fiscal Policy to ensure proper allocation and financing of Prop K eligible projects. The Strategic Plan sets priorities and strategies for allocating Prop K funds under its guiding principles, while the Debt Policy provides policy direction and limitations for proposed financing and the Fiscal Policy provides guidance on decisions pertaining to internal fiscal management. Debt issuance for capital projects shall not be recommended for Board approval unless such issuance has been incorporated into the Strategic Plan.

VI. STANDARDS FOR USE OF DEBT FINANCING

The Transportation Authority's debt management program will promote debt issuance only in those cases where public policy, equity and economic efficiency favor debt over cash (pay-as-you-go) financing.

A. Credit Quality.

Credit quality is an important consideration and will be balanced with the Transportation Authority's objectives and the associated size, structure and frequency of issuances of debt. All Transportation Authority debt management activities for new debt issuances will be conducted in a manner conducive to receiving the highest credit ratings possible consistent with the Transportation Authority's debt management objectives, and to maintaining or improving the current credit ratings assigned to the Transportation Authority's outstanding debt by the major credit rating agencies.

B. Long-Term Capital Projects.

The Transportation Authority will issue long-term debt only to finance and refinance long-term capital projects. When the Transportation Authority finances capital projects by issuing bonds, the average principal amortization should not exceed 120% of the weighted average useful life of the project being financed if the bonds are intended to be federally tax-exempt and the debt repayment period should not exceed the earliest of the following: (1) the sunset date of the current Expenditure Plan or (2) forty (40) years from the date of issuance. Inherent in its long-term debt policies, the Transportation Authority recognizes that future taxpayers will benefit from the capital investment and that it is appropriate that they pay a share of the asset cost. Long-term debt financing shall not be used to fund operating costs unless such costs qualify as capital expenditures under federal tax principles.

C. Debt Financing Mechanism.

The Transportation Authority will evaluate the use of available financial alternatives including, but not limited to, tax-exempt and taxable debt, long-term debt (both fixed and variable rate), short-term debt, commercial paper, lines of credit, sales tax revenue and grant anticipation notes, private placement and inter-fund borrowing. The Transportation Authority will utilize the most advantageous financing alternative that effectively balances the cost of the financing with the risk of the financing structure to the Transportation Authority.



D. Ongoing Debt Administration and Internal Controls.

The Transportation Authority shall maintain all debt-related records for a period for no less than the term of the debt plus three years. At a minimum, this repository will include all official statements, bid documents, ordinances, indentures, trustee reports, continuing disclosure reports, material events notices, tax certificates, information regarding the investment of and project costs paid with bond proceeds, underwriter and other agreements, etc. for all Transportation Authority debt. To the extent that official transcripts incorporate these documents, possession of a transcript will suffice (transcripts may be hard copy or stored on CD-ROM). The Transportation Authority will develop a standard procedure for archiving transcripts for any new debt. The Transportation Authority will establish internal controls to ensure compliance with the Debt Policy, all debt covenants and any applicable requirements of applicable law.

E. Tax Law Compliance, Rebate Policy and System.

Debt issued by the Transportation Authority, the interest on which is intended to be federally tax-exempt, is subject to requirements and limitations in order that such debt initially qualify for tax-exemption and on an ongoing basis until such debt is fully repaid in order that such debt remain tax-exempt. Failure to comply with such requirements and limitations could cause an issue of the Transportation Authority's debt to be determined to fail to qualify for tax-exemption, retroactive to the date of issuance. The Transportation Authority designates the Executive Director, ~~and his or her~~with designee, to periodically undertake procedures to confirm compliance with such requirements and limitations. In furtherance thereof, the Executive Director, ~~with~~~~and his or her~~ designee, will consult with the Transportation Authority's bond counsel or others as deemed necessary regarding such periodic procedures or in the event that it is discovered that noncompliance has or may have occurred.

In addition, in furtherance of the above, the Transportation Authority will accurately account for all interest earnings in debt-related funds. These records will be designed to ensure that the Transportation Authority is in compliance with all debt covenants, and with applicable laws. The Transportation Authority will maximize the interest earnings on all funds within the investment parameters set forth in each respective indenture, consistent with consideration of applicable yield limits and arbitrage requirements and as permitted by the Investment Policy. The Transportation Authority will develop a system of reporting interest earnings that relates to and complies with any tax certificates relating to its outstanding debt and Internal Revenue Code rebate, yield limits and arbitrage, and making any required filings with State and Federal agencies. The Transportation Authority will retain records as required by its tax certificates. The Transportation Authority shall have the authority to retain the services of an Arbitrage Rebate Consultant.

VII. FINANCING CRITERIA

A. Purpose of Debt.

When the Transportation Authority determines the use of debt is appropriate, the following criteria will be utilized to evaluate the type of debt to be issued.



1. NEW MONEY FINANCING.

New money issues are financings that generate funding for capital projects. Eligible capital projects for allocation of Transportation Authority funds include the acquisition, construction or major rehabilitation of capital assets. In accordance with the philosophy of the Debt Policy, long-term debt proceeds generally may not be used for operating expenses. Capital project funding requirements are outlined in the annual budget, the Strategic Plan and the Expenditure Plan.

2. REFUNDING FINANCING.

Refunding debt is issued to retire all or a portion of an outstanding bond issue or other debt. Refunding issuances can be used to achieve present-value savings on debt service, to modify interest rate risk, or to restructure the payment schedule, type of debt instrument used, or covenants of existing debt. The Transportation Authority must analyze each refunding issue on a present-value basis to identify economic effects before approval. Policies on the administration of refunding financings are detailed further in Section X: Refinancing Outstanding Debt.

B. Types of Debt.

When the Transportation Authority determines that the use of debt is appropriate, the following criteria will be utilized to evaluate the type of debt to be issued.

1. LONG-TERM DEBT.

The Transportation Authority may issue long-term debt (e.g. fixed or variable rate revenue bonds) when funding allocations cannot be financed from current revenues. The proceeds derived from long-term borrowing will not be used to finance current operations or normal maintenance. Long-term debt will be structured such that average principal amortization do not exceed 120% of the weighted average useful life of the project being financed if the bonds are intended to be federally tax-exempt and the debt repayment period does not exceed the earliest of the following: (a) the sunset date of the current Expenditure Plan or (b) forty (40) years from the date of issuance.

Fixed Rate

- a) *Current Coupon Bonds* are bonds that pay interest periodically and principal at maturity. They may be used for both new money and refunding transactions. Bond features may be adjusted to accommodate the market conditions at the time of sale, including changing dollar amounts for principal maturities, offering discount and premium bond pricing, modifying call provisions, utilizing bond insurance, and determining how to fund the debt service reserve fund and costs of issuance.
- b) *Zero Coupon and Capital Appreciation Bonds* pay interest that is compounded and paid only when principal matures. Interest continues to accrue on the unpaid interest, and these types of bonds typically bear interest at rates that are higher than those on current-coupon bonds, therefore representing a more expensive funding option. In the case of zero-coupon bonds, principal paid at maturity is discounted back to the initial investment amount received at issuance. In the case of capital appreciation bonds, interest on the bond accretes until maturity.
- c) *Special Government Obligations (both tax-exempt and taxable)*, such as the Build America Bond program authorized for calendar years 2009 and 2010 or any other type of new municipal security, structure or tax credit authorized by the Federal Government to



assist local governments in accessing the capital markets. So long as the new program's requirements allow the Transportation Authority to adhere to its Debt Policy, the Transportation Authority will evaluate it along with traditional financing structures in order to determine which is the most appropriate for a particular issuance.

Variable Rate

- a) *Variable Rate Demand ~~Notes—Bonds~~ (VRDBs)* are long-term bonds with a fixed ~~principal~~principle amortization, but the interest rate resets at certain established periods such as daily, weekly, monthly, or such other period as the Transportation Authority deems advisable, given current market conditions. VRDBs often require credit enhancement and third party liquidity in the forms of Letters or Lines of Credit and/or bond insurance. VRDBs generally allow bondholders to “put” their bonds back to the Transportation Authority on any rate reset date, given certain notice. The Transportation Authority will need to retain an investment bank to remarket bonds that are “put.”
- b) *Indexed Notes* are forms of variable rate debt that do not require Letters or Lines of Credit. These forms of variable rate debt have a fixed spread to a certain identified index such as SIFMA. The rate will reset either on a weekly, monthly, or other basis.

2. SHORT-TERM DEBT.

Short-term borrowing may be utilized for the temporary funding of operational cash flow deficits or anticipated revenues, where anticipated revenues are defined as an assured revenue source with the anticipated amount based on conservative estimates. In the case of the Transportation Authority's revolving credit facility or any future commercial paper program, short-term borrowings may also be utilized for funding of the Transportation Authority's capital projects. The Transportation Authority will determine and utilize the least costly method for short-term borrowing. The Transportation Authority may issue short-term debt when there is a defined repayment source or amortization of principal, subject to the following policies:

- a) *Commercial Paper Notes* may be issued as an alternative to fixed rate debt, particularly when the timing of funding requirements is uncertain. The Transportation Authority may maintain an ongoing commercial paper program to ensure flexibility and immediate access to capital funding when needed.
- b) *Grant Anticipation Notes (GANs)* are short-term notes that are repaid with the proceeds of State or Federal grants of any type. The Transportation Authority shall generally issue GANs only when there is no other viable source of funding for the project.
- c) *Sales Tax and Revenue Anticipation Notes* shall be issued only to meet sales tax revenue cash flow needs consistent with a finding by bond counsel that that the sizing of the issue fully conforms to Federal tax requirements and limitations for tax-exempt borrowings.
- d) *Letters or Lines of Credit* shall be considered as an alternative to or credit support for other short-term borrowing options. In 2015, the Transportation Authority replaced its prior commercial paper program with a \$140 million revolving credit facility. Amounts can be repaid and reborrowed without further Board action. The average amortization of amounts drawn under the revolving credit facility may not exceed 120% of the weighted average useful life of the project being financed if the borrowing is intended to be federally tax-exempt and the borrowing must be fully repaid by the earliest of the



following: (a) the sunset date of the current Expenditure Plan or (b) forty (40) years from the date of issuance. The repayment of loans under a revolving credit facility is often facilitated by the issuance of long-term bonds or the repaying of principal from cash on hand. If proceeds of long-term bonds are used to repay loans under the revolving credit facility, the amortization and the repayment of the long-term bonds must satisfy the limits set forth above.

- e) *Transportation Infrastructure Finance Innovation Act (TIFIA) Loan* is a loan provided by the United States Department of Transportation for certain transportation projects of regional importance. The Transportation Authority may elect to apply for a TIFIA loan if it is determined that it is the most cost effective debt financing option available.
- f) *Grant Anticipation Revenue Vehicle Financing (GARVEE)* are bonds issued by the State and enable entities to fund transportation projects that are secured by certain federal grants. The Transportation Authority may consider the issuance of GARVEEs to meet cash flow shortfalls of grant revenues.

3. VARIABLE RATE DEBT.

To maintain a predictable debt service burden, the Transportation Authority may give preference to debt that carries a fixed interest rate. An alternative to the use of fixed rate debt is floating or variable rate debt. It may be appropriate to issue short-term or long-term variable rate debt to diversify the Transportation Authority's debt portfolio, reduce interest costs, provide interim funding for capital projects and improve the match of assets to liabilities. Variable rate debt typically has a lower initial cost of borrowing than fixed rate financing and shorter maturities but carries both interest rate and liquidity risk. Under no circumstances will the Transportation Authority issue variable rate debt solely for the purpose of earning arbitrage. The Transportation Authority, however, may consider variable rate debt in certain instances.

- a) *Variable Rate Debt Capacity.* Except for the existing \$140 million revolving credit facility (to which the following requirements of variable rate debt do not apply), the Transportation Authority will maintain a conservative level of outstanding variable rate debt in consideration of general rating agency guidelines recommending a maximum of a 20-30% variable rate exposure, in addition to maintaining adequate safeguards against risk and managing the variable revenue stream both as described below:
 - (1) *Adequate Safeguards Against Risk.* Financing structure and budgetary safeguards are in place to prevent adverse impacts from interest rate shifts; such structures could include, but are not limited to, interest rate swaps, interest rate caps and the matching of assets and liabilities.
 - (2) *Variable Revenue Stream.* The revenue stream for repayment is variable, and is anticipated to move in the same direction as market-generated variable interest rates, or the dedication of revenues allows capacity for variability.
 - (3) *As a Component to Synthetic Fixed Rate Debt.* Variable rate bonds may be used in conjunction with a financial strategy, which results in synthetic fixed rate debt, subject to other provisions of the Debt Policy regarding Financial Derivative Products.



4. FINANCIAL DERIVATIVE PRODUCTS.

Financial Derivative Products such as interest rate swaps will be considered appropriate in the issuance or management of debt only in instances where it has been demonstrated that the derivative product will either provide a hedge that reduces the risk of fluctuations in expense or revenue, or alternatively where the derivative product will significantly reduce total project cost. Financial Derivative Products shall be considered only: (1) after a thorough evaluation of risks associated therewith, including counterparty credit risk, basis risk, tax risk, termination risk and liquidity risk, (2) after consideration of the potential impact on the Transportation Authority's ability to refinance bonds at a future date and (3) after the Board has adopted separate policy guidelines for the use of interest rate swaps and other Financial Derivative Products. Derivative products will only be utilized with prior approval from the Board.

VIII. TERMS AND CONDITIONS OF BONDS

The Transportation Authority shall establish all terms and conditions relating to the issuance of bonds, and will control, manage, and invest all bond proceeds. Unless otherwise authorized by the Transportation Authority, the following shall serve as bond requirements:

A. Term.

All capital improvements financed through the issuance of debt will be financed for a period such that average principal amortization of the debt does not exceed 120% of the weighted average useful life of the project being financed, if the bonds are intended to be federally tax-exempt and the debt repayment period does not exceed the earliest of the following: (a) the sunset date of the current Expenditure Plan or (b) forty (40) years from the date of issuance.

B. Capitalized Interest.

The nature of the Transportation Authority's revenue stream is such that funds are generally continuously available and the use of capitalized interest should not normally be necessary. However, certain types of financings may require the use of capitalized interest from the issuance date until the project sponsor has constructive use of the financed project. Unless otherwise required, including as may be required by statute with respect to the deposit of original issue premium, the Transportation Authority will avoid the use of capitalized interest to obviate unnecessarily increasing the bond issuance size. Interest shall not be funded (capitalized) beyond three (3) years or a shorter period if further restricted by statute. The Transportation Authority may require that capitalized interest on the initial series of bonds be funded from the proceeds of the bonds. Interest earnings may, at the Transportation Authority's discretion and, if permitted under applicable federal tax law, be applied to extend the term of capitalized interest but in no event beyond the authorized term.

C. Lien Levels.

Senior and Junior Liens for each revenue source will be utilized in a manner that will maximize the most critical constraint, typically either cost or capacity, thus allowing for the most beneficial use of the revenue source securing the bond.

D. Additional Bonds Test.

Any new senior lien debt issuance must not cause the Transportation Authority's debt service, net of any Federal subsidy or credit, to be expected to exceed the level at which the incoming revenues are less than one and a half times (1.5x) the maximum annual principal, interest, and debt service, ~~net of any Federal subsidy or credit~~, for the aggregate outstanding senior lien bonds including the debt service for the new issuance.

E. Debt Service Structure.

Debt issuance shall be planned to achieve relatively rapid repayment of debt while still matching debt service to the useful life of facilities. The Transportation Authority will amortize its debt within each lien to achieve overall level debt service (though principal may be deferred in the early years of a bond issue to maximize the availability of pay-as-you-go dollars during that time) or may utilize more accelerated repayment schedules after giving consideration to bonding capacity constraints. The Transportation Authority shall avoid the use of bullet or balloon maturities except in those instances where these maturities serve to level existing debt service.

F. Call Provisions.

In general, the Transportation Authority's securities will include a call feature, based on market conventions, which is typically no later than ten and one-half (10.5) years from the date of delivery of tax-exempt bonds. The Transportation Authority may determine that no call feature or a different call feature is appropriate in some circumstances.

G. Original Issue Discount.

An original issue discount or original issue premium will be permitted only if the Transportation Authority determines that such discount or premium results in a lower true interest cost on the bonds and that the use of an original issue discount or original issue premium will not adversely affect the project identified by the bond documents.

H. Deep Discount Bonds.

Deep discount bonds may provide a lower cost of borrowing in certain markets though they may also limit opportunities to refinance at lower rates in the future. The Transportation Authority will carefully consider their value and the effect on any future refinancings as a result of the lower-than-market coupon.

I. Derivative Products.

The Transportation Authority will consider the use of derivative products only in instances where it has been demonstrated that the derivative product will either provide a hedge that reduces risk of fluctuations in expense or revenue, or alternatively, where the derivative product will reduce the total project cost. If interest rate swaps are considered, the Transportation Authority shall develop and maintain an Interest Rate Swap Policy governing the use and terms of these derivative products. For derivatives other than interest rate swaps, the Transportation Authority will undertake an analysis of early termination costs and other conditional terms given certain financing and marketing assumptions. Such analysis will document the risks and benefits associated with the use of a particular derivative product. Derivative products will only be utilized with prior approval from the Board.



J. Multiple Series.

In instances where multiple series of bonds are to be issued, the Transportation Authority shall make a final determination as to which allocations are of the highest priority. Projects chosen for priority financing, based on funding availability and proposed timing, will generally be subject to the earliest or most senior of the bond series.

IX. CREDIT ENHANCEMENTS

The Transportation Authority will consider the use of credit enhancement on a case-by-case basis, evaluating the economic benefit versus cost for each case. Only when a clearly demonstrable savings or positive impact on overall debt capacity can be shown shall enhancement be considered. The Transportation Authority will consider each of the following enhancements as alternatives by evaluating the cost and benefit of such enhancement.

A. Bond Insurance.

The Transportation Authority shall have the authority to purchase bond insurance when such purchase is deemed prudent and advantageous. The predominant determination shall be based on such insurance being less costly than the present value of the difference in the interest expense on insured bonds versus uninsured bonds.

B. Debt Service Reserves.

When required, a reserve fund equal to not more than the lesser of ten percent (10%) of the original principal amount of the bonds, maximum annual debt service or one-hundred-and-twenty-five (125%) percent of average annual debt service (Reserve Requirement) shall be funded from the proceeds of each series of bonds, subject to federal tax regulations and in accordance with the requirements of credit enhancement providers, rating agencies and/or other investors requirements.

The Transportation Authority shall have the authority to purchase reserve equivalents (i.e., the use of a reserve fund surety) when such purchase is deemed prudent and advantageous. Such equivalents shall be evaluated in comparison to cash funding of reserves on a net present value basis.

C. Liquidity Facilities and Letters of Credit.

The Transportation Authority shall have the authority to enter into liquidity facilities and letter-of-credit agreements when such agreements are deemed prudent and advantageous. Only those financial institutions with short-term ratings of not less than VMIG 1/P1, A-1 and F1, by Moody's Investor Services, Standard & Poor's and Fitch Ratings, respectively, and with ratings from at least two of the three aforementioned ratings agencies, may participate in Transportation Authority liquidity facilities and letter of credit agreements.

X. REFINANCING OUTSTANDING DEBT

The Transportation Authority shall have the responsibility to analyze outstanding bond issues for refunding opportunities that may be presented by underwriting and/or financial advisory firms. The Transportation Authority will consider the following issues when analyzing possible refunding opportunities:



A. Debt Service Savings.

The Transportation Authority has established a minimum present value savings threshold goal of three (3) percent of the refunded bond principal amount, unless there are other compelling reasons for undertaking the refunding. Additionally, the Transportation Authority has established a minimum present value savings threshold goal of five (5) percent of the refunded bond principal amount for refinancings involving derivative products such as the issuance of synthetic fixed rate refunding debt service, unless there are other compelling reasons for undertaking the refunding. For this purpose, the present value savings will be net of all costs related to the refinancing. The decision to take savings on an upfront or deferred basis must be explicitly approved by the Board.

B. Restructuring.

The Transportation Authority will refund debt when in its best interest to do so. Refundings will include restructuring to meet unanticipated revenue expectations, terminate swaps, achieve cost savings, mitigate irregular debt service payments, release reserve funds or remove unduly restrictive bond covenants.

C. Term of Refunding Issues.

-Except for commercial paper and loans under a line of credit (including the current revolving credit facility), the Transportation Authority generally will refund bonds ~~within~~ without extending the ~~term~~ maturity beyond that of the originally issued debt. However, the Transportation Authority may consider maturity extension, when necessary to achieve a desired outcome, provided that such extension is legally permissible. The Transportation Authority may also consider shortening the term of the originally issued debt to realize greater savings. The remaining useful life of the financed facility and the concept of inter-generational equity should guide this decision.

D. Escrow Structuring.

The Transportation Authority shall utilize the least costly securities available in structuring refunding escrows. The Transportation Authority will examine the viability of an economic versus legal defeasance on a net present value basis. A certificate from a third party agent, who is not a broker-dealer, is required stating that the securities were procured through an arms-length, competitive bid process (in the case of open market securities), that such securities were more cost effective than State and Local Government Obligations (SLGS), and that the price paid for the securities was reasonable within Federal guidelines. Such certificate shall not be required in the case of SLGs purchased directly from the U.S. Treasury. Under no circumstances shall an underwriter, agent or financial advisor sell escrow securities to the Transportation Authority from its own account.

E. Arbitrage.

The Transportation Authority shall take all necessary steps (permitted under federal tax law when tax-exempt debt is involved) to optimize escrows and to avoid negative arbitrage in its refundings. Any resulting positive arbitrage will be rebated as necessary according to Federal guidelines.



F. Commercial Paper Program, Revolving Credit Facility.

The requirements of this Section X shall not apply to or restrict the issuance of commercial paper notes for the purpose of refunding maturing commercial paper notes, or of borrowing under a revolving credit facility for the purpose of repaying prior loans under the facility or under a prior facility, nor shall this Section X apply to ~~long-long-term~~ ~~take-out~~ withdrawal of commercial paper or of loans under a revolving credit facility, subject to limitations otherwise contained in this policy.

XI. METHODS OF ISSUANCE

The Transportation Authority will determine, on a case-by-case basis, whether to sell its bonds competitively or through negotiation.

A. Competitive Sale

In a competitive sale, the Transportation Authority's bonds shall be awarded to the bidder providing the lowest true interest cost as long as the bid adheres to the requirements set forth in the official notice of sale. Conditions under which a competitive sale would be preferred are as follows:

- a) Bond prices are stable and/or demand is strong
- b) Market timing and interest rate sensitivity are not critical to the pricing
- c) Participation from DBE firms is best effort and not required for winning bid
- d) There are no complex explanations required during marketing regarding issuer's projects, media coverage, political structure, political support, funding or credit quality
- e) The bond type and structure are conventional
- f) Bond insurance is included or pre-qualified (available)
- g) Manageable transaction size
- h) Issuer has strong credit rating
- i) Issuer is well known to investors

B. Negotiated Sale.

The Transportation Authority recognizes that some securities are best sold through negotiation. Conditions under which a negotiated sale would be preferred are as follows:

- a) Bond prices are volatile
- b) Demand is weak or supply or competing bonds is high
- c) Market timing is important, such as for refundings
- d) Issuer has lower or weakening credit rating
- e) Issuer is not well known to investors
- f) Sale and marketing of the bonds will require complex explanations about the issuer's projects, media coverage, political structure, political support, funding, or credit quality
- g) The bond type and/or structural features are non-standard, such as for a forward delivery bond sale, issuance of variable rate bonds, or where there is the use of derivative products
- h) Bond insurance is not available or not offered



- i) Early structuring and market participation by underwriters are desired
 - j) The par amount for the transaction is significantly larger than normal
 - k) Demand for the bonds by retail investors is expected to be high
 - l) Participation from DBE firms is required
- C. Private Placement.

From time to time the Transportation Authority may elect to privately place its debt or borrow directly from a bank or other financial institution. Such placement or borrowing shall only be considered if this method is likely to result in a cost savings to the Transportation Authority relative to other methods of debt issuance on a net present value basis, using the Transportation Authority's investment rate as the appropriate measure of the discount rate.

- D. Issuance Method Analysis.

The Transportation Authority shall evaluate each method of issuance based on the factors set forth above.

- E. Investor Outreach.

The Transportation Authority shall participate in informational meetings or conference calls with institutional investors in advance of bond or note sales to the extent such meetings are advantageous to the sale of such bonds or notes.

- F. Feasibility Analysis.

Issuance of revenue bonds will be accompanied by a finding that demonstrates the projected revenue stream's ability to meet future debt service payments.

XII. MARKET RELATIONSHIPS

- A. Rating Agencies and Investors.

The Executive Director shall be responsible for maintaining the Transportation Authority's relationships with Moody's Investors Service, Standard & Poor's and Fitch Ratings. The Transportation Authority may, from time-to-time, choose to deal with only one or two of these agencies as circumstances dictate. In addition to general communication, the Executive Director shall: (1) meet with credit analysts prior to each sale (competitive or negotiated) to the extent as advantageous, and (2) prior to each competitive or negotiated sale, offer conference calls or meetings with agency analysts in connection with the planned sale.

- B. Transportation Authority Communication.

The Executive Director shall include in the annual report to the Board feedback from rating agencies and/or investors regarding the Transportation Authority's financial strengths and weaknesses and recommendations for addressing any weaknesses.

- C. Continuing Disclosure.

After entering into a Continuing Disclosure undertaking (~~i.e., a contract~~), the Transportation Authority shall comply with the terms of such undertaking. ~~The failure to make timely filings must be disclosed and reflects negatively on the Transportation Authority. Not only must all filings be made in a timely manner, if for any reason there is a failure to make a timely filing,~~



such failure also must be disclosed (and could reflect negatively on the Transportation Authority). The Executive Director will take all reasonable steps to ensure that the Transportation Authority's files timely annual reports and "listed event" (there are currently 15 such events) ~~event~~ notices with the Municipal Securities Rulemaking Board's (MSRB's) Electronic Municipal Market Access system ~~("EMMA")~~, and that all such filings are (i) complete and accurate under the law and (ii) clear, concise, and readable for the investing community. To help ensure that the Transportation Authority establishes and maintains a "culture of good disclosure" and Continuing Disclosure undertaking compliance, the Transportation Authority will promote communication among its departments so that disclosure documents/filings are being reviewed by the staff persons who have the knowledge and ability to assess the accuracy and completeness of the document and understand the importance of "getting it right." accurate records retention. The Transportation Authority may also (i) select certain staff members to be the Transportation Authority's "disclosure team" that, with the Executive Director, develops and employs disclosure practices and procedures that are effective, reasonable, and defensible and (ii) engage with an external disclosure counsel to provide additional guidance and training. The Transportation Authority may also, from time to time, evaluate using the services of a dissemination agent, such as the Transportation Authority's Financial Adviser or Digital Assurance Certification, LLC, to assist with compliance.

D. Rebate Reporting.

The use of bond proceeds and their investments must be monitored to ensure compliance with arbitrage restrictions. Existing regulations require that issuers calculate annual rebates related to any bond issues, with rebate paid every five years and as otherwise required by applicable provisions of the Internal Revenue Code and regulations. Therefore, the Executive Director shall take all reasonable steps to ensure that proceeds and investments are tracked in a manner that facilitates accurate, complete calculation, and timely rebates, if necessary.

E. Other Jurisdictions.

From time to time, the Transportation Authority may issue bonds on behalf of other public entities. While the Transportation Authority will make every effort to facilitate the desires of these entities, the Executive Director will take all reasonable steps to ensure that only the highest quality financings are done and that the Transportation Authority is insulated from all risks. The Transportation Authority shall require that all conduit financings achieve a rating at least equal to the Transportation Authority's ratings (including, where necessary, through the use of credit enhancement).

F. Fees.

The Transportation Authority will charge recipients of debt issuance proceeds an administrative fee equal to the recipient's pro rata share of administrative costs incurred by the Transportation Authority by issuing debt.

XIII. CONSULTANTS

The Transportation Authority shall select its primary consultant(s) by competitive qualifications-based process through Request for Proposals.

A. Selection of Financing Team Members.

The Executive Director will make recommendations for all financing team members, with the Board providing final approval.

B. Financial Advisor.

The Transportation Authority shall utilize a financial advisor to assist in its debt issuance and debt administration processes as prudent. Selection of the Transportation Authority's financial advisor(s) shall be based on, but not limited to, the following criteria:

- a) Experience in providing consulting services to complex issuers
- b) Knowledge and experience in structuring and analyzing complex issues
- c) Experience and reputation of assigned personnel
- d) Fees and expenses

Financial advisory services provided to the Transportation Authority shall include, but shall not be limited to the following:

- a) Evaluation of risks and opportunities associated with debt issuance
- b) Monitoring marketing opportunities
- c) Evaluation of proposals submitted to the Transportation Authority by investment banking firms
- d) Structuring and pricing
- e) Preparation of request for proposals for other financial services such as trustee and paying agent services, printing, credit facilities, remarketing agent services, etc.
- f) Advice, assistance and preparation for presentations with rating agencies and investors
- g) Assisting in preparation of official statements

The Transportation Authority also expects that its financial advisor will provide the Transportation Authority with objective advice and analysis, maintain the confidentiality of Transportation Authority financial plans, and be free from any conflicts of interest.

C. Bond Counsel.

Transportation Authority debt will include a written opinion by legal counsel affirming that the Transportation Authority is authorized to issue the proposed debt, that the Transportation Authority has met all constitutional and statutory requirements necessary for issuance, and a determination of the proposed debt's federal income tax status. The approving opinion and other documents relating to the issuance of debt will be prepared by nationally-recognized counsel with extensive experience in public finance and tax issues. Counsel will be selected by the Transportation Authority through its request for proposal process.

The services of bond counsel may include , but are not limited to:

- a) Rendering a legal opinion with respect to authorization and valid issuance of debt obligations including whether the interest paid on the debt is tax exempt under federal and State of California law;
- b) Preparing all necessary legal documents in connection with authorization, sale, issuance and delivery of bonds and other obligations;



- c) Assisting in the preparation of the preliminary and final official statements and commercial paper memorandum;
- d) Participating in discussions with potential investors, insurers and credit rating agencies, if requested; and
- e) Providing continuing advice, as requested, on the proper use and administration of bond proceeds under applicable laws and the indenture, particularly arbitrage tracking and rebate requirements.

D. Disclosure Counsel

For Transportation Authority debt issued and sold through the use of an official statement or offering memorandum, the Transportation Authority shall have the right to select separate, nationally-recognized disclosure counsel with extensive experience in public finance and securities law issues. –Disclosure counsel will be selected by the Transportation Authority through its Request For Proposal (RFP) process.

The services of disclosure counsel may include, but are not limited to:

- a) Assisting the internal due diligence process by reviewing financial statements and other available information, including information on the issuer’s website, management’s responses to auditor’s findings, litigation reports, and similar materials;
- b) Preparation and review of disclosure documents necessary for the sale and delivery of securities, including preliminary and final official statements (or offering memoranda) and continuing disclosure agreements, and deliver a negative assurance letter regarding the disclosure document;
- c) Post-issuance; coordinateion of the preparation of required periodic filings and event notices preparation and their dissemination to and posting on the MSRB’s Electronic Municipal Market Access-EMMA system (EMMA);
- d) Providing notice of, and counsel regarding, any changes to disclosure requirements and the regulatory environment that have or may have an impact on the Transportation Authority and its issuances;
- e) Review and discussion of the Transportation Authority’s current disclosure policies and procedures, and make suggestions for any changes to them, and discussion of how the Transportation Authority can staff a disclosure team and how that team should operate; and
- f) Customize and provide training annually to staff members (and as needed to newly added staff) related to disclosure counsel topics.

XIV. UNDERWRITER SELECTION

A. Senior Manager Selection.

The Transportation Authority shall have the right to select a senior manager for a proposed negotiated sale. The criteria shall include but not be limited to the following:

- a) The firm’s ability and experience in managing complex transactions
- b) Demonstrated ability to structure debt issues efficiently and effectively
- c) Prior knowledge and experience with the Transportation Authority



- d) The firm's willingness to risk capital and demonstration of such risk
 - e) The firm's ability to sell bonds
 - f) Quality and experience of personnel assigned to the Transportation Authority's engagement
 - g) Financing plan presented
- B. Co-Manager Selection.
- Co-managers will be selected on the same basis as the senior manager. In addition to their qualifications, co-managers appointed to specific transactions will be a function of transaction size and the necessity to ensure maximum distribution of the Transportation Authority's bonds.
- C. Selling Groups.
- The Transportation Authority may establish selling groups in certain transactions. To the extent that selling groups are used, the Transportation Authority may make appointments to selling groups from within the pool of underwriters or from outside the pool, as the transaction dictates.
- D. Underwriter's Counsel.
- In any negotiated sale of Transportation Authority debt, in which legal counsel is required to represent the underwriter, the lead underwriter will make the appointment, subject to Transportation Authority consent.
- E. Underwriter's Discount.
- a) The Transportation Authority will evaluate the proposed underwriter's discount against comparable issues in the market. If there are multiple underwriters in the transaction, the Transportation Authority will determine the allocation of fees with respect to the management fee. The determination will be based upon participation in the structuring phase of the transaction.
 - b) All fees and allocation of the management fee will be determined prior to the sale date; a cap on management fee, expenses and underwriter's counsel will be established and communicated to all parties by the Transportation Authority. The senior manager shall submit an itemized list of expenses charged to members of the underwriting group. Any additional expenses must be substantiated.
- F. Evaluation of Financing Team Performance.
- The Transportation Authority will evaluate each bond sale after its completion to assess the following: costs of issuance, including underwriters' compensation, pricing of the bonds in terms of the overall interest cost and on a maturity-by-maturity basis, and the distribution of bonds and sales credits.
- Following each sale, the Transportation Authority shall provide a post-sale evaluation on the results of the sale to the Board.
- G. Syndicate Policies.
- For each negotiated transaction, the Executive Director will prepare syndicate policies that will describe the designation policies governing the upcoming sale. The Executive Director shall



ensure receipt of each member's acknowledgement of the syndicate policies for the upcoming sale prior to the sale date.

H. Designation Policies.

To encourage the pre-marketing efforts of each member of the underwriting team, orders for the Transportation Authority's bonds will be net designated, unless otherwise expressly stated. The Transportation Authority shall require the senior manager to:

- a) Equitably allocate bonds to other managers and the selling group
- b) Comply with MSRB regulations governing the priority of orders and allocations
- c) Within 10 working days after the sale date, submit to the Executive Director a detail of orders, allocations and other relevant information pertaining to the Transportation Authority's sale.

I. Disclosure by Financing Team Members.

All financing team members will be required to provide full and complete disclosure, relative to agreements with other financing team members and outside parties. The extent of disclosure may vary depending on the nature of the transaction. However, under no circumstances will agreements be permitted which could compromise the firm's ability to provide independent advice which is solely in the Transportation Authority's best interests or which could reasonably be perceived as a conflict of interest.



GLOSSARY

Arbitrage. The difference between the interest paid on an issue of tax exempt debt and the interest earned by investing the debt proceeds in higher-yielding taxable securities. IRS regulations govern arbitrage earned pursuant to the investment of the proceeds of tax-exempt municipal securities.

Balloon Maturity. A maturity within an issue of bonds that contains a disproportionately large percentage of the principal amount of the original issue.

Bullet Maturity. ~~The maturity of an issue of bonds~~ Maturity for which there are no ~~sinking principal~~ fund payments prior to the final stated maturity date.

Call Provisions. The terms of the bond contract giving the issuer the right to redeem all or a portion of an outstanding issue of bonds prior to their stated dates of maturity at a specific price, usually at or above par.

Capitalized Interest. A portion of the proceeds of an issue that is set aside to pay interest on the securities for a specific period of time. Interest is sometimes capitalized for the construction period of the project.

Commercial Paper. Very short-term, unsecured promissory notes issued in either registered or bearer form, and usually backed by a line of credit with a bank that, upon the maturity thereof, successively rolls into other short term promissory notes until the principal thereof is paid by the Transportation Authority.

Competitive Sale. A sale of securities by an issuer in which underwriters or syndicates of underwriters submit sealed bids to purchase the securities in contrast to a negotiated sale.

Continuing Disclosure. ~~The principle that accurate and complete information material to the transaction which potential investors would be likely to consider material in making investment decisions with respect to the securities be made available on an ongoing basis. The ongoing disclosure provided by an issuer to comply with a continuing disclosure undertaking. Generally includes annual updates of operating and financial information, audited financial statements, and notice of events specifically identified in the undertaking.~~

Credit Enhancement. Credit support purchased by the issuer to raise the credit rating of the issue. The most common credit enhancements consist of bond insurance, direct or standby letters of credit, and lines of credit.

DBE. Disadvantaged Business Enterprises as defined by the Transportation Authority's current DBE policy.

Debt Service Reserve Fund. The fund in which moneys are placed which may be used to pay debt service if pledged revenues are insufficient to satisfy the debt service requirements.

Deep Discount Bonds. Bonds that are priced for sale at a substantial discount from their face or par value.

Derivatives. (1) Financial instruments whose return profile is linked to, or derived from, the movement of one or more underlying index or security, and may include a leveraging factor, or (2) financial contracts based upon notional amounts whose value is derived from an underlying index or security (interest rates, foreign exchange rates, equities or commodities).

Designation Policies. Outline as to how an investor's order is filled when a maturity in an underwriting syndicate is oversubscribed. The senior managing underwriter and issuer decide how the bonds will be allocated among the syndicate. There are three primary classifications of orders, which form the



designation policy. The highest priority is given to Group Net orders; the next priority is given to Net Designated orders and Member orders are given the lowest priority.

Escrow. A fund established to hold moneys pledged and to be used to pay debt service on an outstanding issue.

Expenses. Compensates senior managers for out-of-pocket expenses including: underwriters counsel, DTC charges, travel, syndicate expenses, dealer fees, overtime expenses, communication expenses, computer time and postage.

Grant Anticipation Notes (GANs). Short-term notes issued by the government unit, usually for capital projects, which are paid from the proceeds of State or Federal grants of any type.

Grant Anticipation Revenue Vehicle Financing (GARVEE) are bonds issued by the State and enable entities to fund transportation projects that are secured by certain federal grants.

Letters of Credit. A bank credit facility supporting the payment of bonds wherein the bank agrees to lend a specified amount of funds for a limited term.

Management Fee. The fixed percentage of the gross spread which is paid to the managing underwriter for the structuring phase of a transaction.

Members. Underwriters in a syndicate other than the senior underwriter.

Negotiated Sale. A method of sale in which the issuer chooses one underwriter to negotiate terms pursuant to which such underwriter will purchase and market the bonds.

Original Issue Discount. The amount by which the original par amount of an issue exceeds its public offering price at the time it is originally offered to an investor.

Original Issue Premium. The amount by which the public offering price of an issue exceeds its original par amount at the time it is originally offered to an investor.

Pay-As-You-Go. An issuer elects to finance a project with existing cash flow as opposed to issuing debt obligations.

Present Value. The current value of a future cash flow.

Private Placement. The original placement of an issue with one or a limited number of investors as opposed to being publicly offered or sold.

Rebate. A requirement imposed by the Tax Reform Act of 1986 whereby the issuer of the bonds must pay the IRS an amount equal to its profit earned from investment of bond proceeds at a yield above the bond yield calculated pursuant to the IRS code together with all income earned on the accumulated profit pending payment subject to certain exceptions.

Sales Tax and Revenue Anticipation Notes (TRANs). Short-term notes issued by a government unit, usually for operating purposes, which are paid from the proceeds of sales tax or other anticipated revenue sources.

Selling Groups. The group of securities dealers who participate in an offering not as underwriters but rather as those who receive securities less the selling concession from the managing underwriter for distribution at the public offering price.

Syndicate Policies. The contractual obligations placed on the underwriting group relating to distribution, price limitations and market transactions.



Transportation Infrastructure Finance Innovation Act (TIFIA). Loans and loan guaranty program provided by the United States Department of Transportation for transportation projects of regional importance.

Underwriter. A dealer that purchases new issues of municipal securities from the Issuer and resells them to investors.

Underwriter's Discount. The difference between the price at which the Underwriter buys bonds from the Issuer and the price at which they are reoffered to investors.

Variable Rate Debt. An interest rate on a security, which changes at intervals according to an index or a formula or other standard of measurement as, stated in the bond contract.



FISCAL POLICY

I. INTRODUCTION

The Fiscal Policy is designed to guide decisions pertaining to internal fiscal management, including day-to-day operations, annual budget development and sales tax revenue allocation requirements of the San Francisco County Transportation Authority (Transportation Authority). It is intended to be consistent with the Transportation Authority's adopted Administrative Code, the current Proposition K Sales Tax Expenditure Plan (Expenditure Plan), federal and state regulations, and general prudent accounting and financial management practices.

II. SCOPE AND AUTHORITY

The Fiscal Policy applies only to the operations of the Transportation Authority and is not applicable to the operations of any project sponsoring agencies of the Transportation Authority, unless specifically provided. The Fiscal Policy is separate from, but should be applied in conjunction with, the Transportation Authority's Strategic Plan, adopted Debt Policy, and adopted Investment Policy. Overall policy direction shall be the responsibility of the Transportation Authority Board of Commissioners (Board). Responsibility for implementation of the Policy, and day-to-day responsibility and authority for structuring, implementing, and managing the Transportation Authority's policies, goals, and objectives, shall lie with the Transportation Authority Executive Director (Executive Director). This Policy will be reviewed and updated as required or deemed advisable at least once every three years. Any changes to the policy are subject to approval by the Board at a public meeting.

III. ANNUAL BUDGET PROCESS

The Board shall adopt an Annual Budget by the beginning of each fiscal year. The purpose of the Annual Budget is to provide management guidance and control over disbursement of the Transportation Authority's revenues in accordance with the goals and objectives as determined by the Board and as set forth in other policies including, but not limited to, the Transportation Authority's investment, debt, procurement and disadvantaged business enterprise policies. The Transportation Authority's fiscal year extends from July 1 of each calendar year through June 30 of the following calendar year. The sections below further define the process involved in the development of the final budget.

A. PREPARATION AND REVIEW OF A DRAFT BUDGET

The Executive Director is charged with responsibility for the preparation of a draft budget for each fiscal year. The draft budget will consist of line items for Revenues, including investment income, Administrative Operating Expenses, Debt Service Expenses as applicable, Program and Operating Reserve, and a single line item for each of the Transportation Authority's capital expenditure programming roles as Proposition K Sales Tax (Prop K) Administrator; San Francisco Congestion Management Agency (CMA); San Francisco Program Manager for the Transportation Fund for Clear Air (TFCA); and Proposition AA Vehicle Registration Fee (Prop AA) ~~administrator~~ Administrator. Supplemental budget documentation shall provide a detailed listing of the capital programs and projects that support the Capital Expenditures line items. The draft budget may also include other functional categories as deemed appropriate.



B. PUBLIC REVIEW OF DRAFT BUDGET

The draft budget shall be presented at a public hearing at a publicly noticed Transportation Authority Board or Committee meeting prior to being approved by the Board. Notice of the time and place of the public meeting shall be published pursuant to Sections 6060 and 6061 of the California Government Code no later than the 15th day prior to the day of the hearing, and the draft budget shall be available for public inspection at least 15 days prior to the hearing.

C. ADOPTION OF A FINAL BUDGET

As established by the Administrative Code, the Transportation Authority ~~Finance Committee~~Board shall be responsible for review of the proposed overall operating and capital budget of the Transportation Authority. The ~~Finance Committee~~Board shall set the budget parameters (spending limits) by budget line item as detailed in Section III.A. Preparation and Review of a Draft Budget, and shall recommend adoption of ~~the a~~ draft budget to the Board.

The final budget for a given fiscal year shall be approved and adopted by resolution of the Board by June 30 of the prior fiscal year. If the Transportation Authority is unable to adopt a final budget by June 30, it must adopt a resolution to continue services and payment of expenses, including debt service. The continuing resolution shall include a date certain by which the annual budget will be adopted.

D. AMENDMENTS TO THE ADOPTED BUDGET

Except as otherwise provided in this section, the adopted final budget is not subject to further review or reopener after the Board resolution has passed. The adopted final budget may be amended during the fiscal year to reflect actual revenues and expenses incurred to the date of amendment during the fiscal year. Amendments to the budget will be presented at a publicly noticed Transportation Authority Board or Committee meeting prior to being approved by the Board. The Executive Director shall be responsible for proposing amendments to the adopted final budget; the ~~Finance Committee Board~~ shall be responsible for review of the proposed amended adopted final budget, ~~and for making a recommendation regarding the amended final budget to the Board. The amended final budget which~~ shall be adopted by Board resolution.

IV. BUDGET REQUIREMENTS

A. ADMINISTRATIVE OPERATING EXPENSES

Administrative operating expenses include all expenses related to the operations and maintenance of the Transportation Authority, including, among others, staff salaries, staff benefits, office lease costs, equipment rental, supplies, and travel. Specific requirements with respect to certain budgeted expenses are set forth below.

1. SALARIES AND BENEFITS

The Board shall budget annually for the compensation (salaries and benefits) of ~~its the~~ Transportation Authority's staff. Pursuant to the Transportation Authority's enabling legislation (Sections 131100 et seq of the California Public Utilities Code), the Transportation Authority will observe the statutory limit of one percent (1%) of the annual net amount of Prop K revenues for the salaries and benefits of Prop K program administrative personnel, and will follow applicable statutes for all other staff expenses.



2. EMERGENCY EXPENDITURES

The Executive Director is authorized to exceed the overall administrative operating expense line items by up to seventy-five thousand dollars (\$75,000), for the actual cost of emergency expenditures that are made to protect the health, safety, and welfare of the agency or the public, or to repair/restore damaged/destroyed property for the Transportation Authority. The Executive Director shall submit a report to the ~~Finance Committee~~Board within thirty (30) days of the emergency explaining the necessity of the action, a listing of expenditures, and future recommended actions.

3. PETTY CASH

A petty cash revolving account in the amount of one thousand dollars (\$1,000) may be established and maintained by the Executive Director for the purposes of paying miscellaneous expenses of the Transportation Authority. Individual expenditures may not exceed two hundred and fifty dollars (\$250). Such miscellaneous expenses include outside photocopying expenses, office supplies, meeting and travel expenses, and other practical expenses as determined by the Executive Director to be necessary or convenient for proper administration. The Executive Director is authorized from time to time to seek reimbursement of this account to the maximum balance by allocation from the operating budget.

B. DEBT SERVICE

Proposed debt service includes debt service of outstanding debt as well as of anticipated financings within the fiscal year. Decisions to fund capital expenditures through debt issuance must adhere to the policies outlined in the Transportation Authority's most current adopted Strategic Plan and Debt Policy.

C. CAPITAL EXPENDITURES

Capital Expenditures shall be listed as a single line item for each of the Transportation Authority's capital expenditure programming roles, which currently are Prop K Administrator, Proposition AA Administrator, and CMA and TFCA local administrator. Supplemental budget documentation shall provide a detailed listing of the capital programs and projects that support the Capital Expenditures line items.

D. PROGRAM AND OPERATING RESERVE

The Transportation Authority shall allocate not less than five percent (5%) and up to fifteen percent (15%) of the estimated net annual sales tax revenue as a hedge against an emergency occurring during the budgeted fiscal year. The adopted final budget, as it may be amended as provided in this Policy, will demonstrate the percentage and amount set aside in the reserve as a separate budget line item.

E. OTHER FUNCTIONAL CATEGORIES

The Executive Director may designate other functional categories as deemed appropriate or necessary.

V. CAPITAL EXPENDITURE ALLOCATIONS

As provided by the Administrative Code, the ~~Plans & Programs Committee~~Board shall be responsible for recommending allocation of funding for those capital expenditure programs and projects in the adopted final budget. The Board shall also be responsible for ~~reviewing the Plans~~



~~& Programs Committee's recommendation and~~ allocating project funds by resolution. The Transportation Authority will adopt, maintain and periodically update a multi-year strategic plan that derives from the provisions of the Expenditure Plan and outlines the categories, funding and delivery priority of projects to be funded. The Strategic Plan shall encompass the period remaining on the Expenditure Plan and shall be updated periodically as necessary. The Strategic Plan and its governing policies shall be used in combination with the Fiscal and Debt Policies to ensure the proper allocation of funds for and timely financing of eligible programs and projects. No allocations shall be approved that are inconsistent with the adopted Strategic Plan in force at the time of the allocation.

Changes in the capital expenditure supplemental budget documentation do not constitute a budget revision unless such changes exceed authorization for the respective budget line item. Any changes that exceed the amount of the budget line item will require an amendment to the approved final budget to be ~~recommended by the Finance Committee and~~ adopted by the Board. The total allocated capital funding for each Transportation Authority role should be no greater than the respective Capital Expenditures budget line item for the fiscal year.

For allocations with multi-year cash distributions, the ~~allocation~~ resolution shall spell out the maximum reimbursement level per fiscal year, and only the reimbursement amount authorized in the year of allocation shall count against the Capital Expenditures line item for that budget year. The Capital Expenditures line item for subsequent year annual budgets shall reflect the maximum reimbursement schedule amounts committed through the original and any subsequent allocation actions. The Transportation Authority will not guarantee reimbursement levels higher than those adopted in the original and any subsequent allocation actions.

VI. DEBT ISSUANCE

As defined by the Administrative Code and the Debt Policy, the ~~Finance Committee~~Board shall be responsible for oversight of the debt issuance program for the Transportation Authority. Please refer to the current version of the Debt Policy maintained by the Transportation Authority, for guidelines regarding the issuance and management of debt for financing eligible programs and projects.

VII. INVESTMENTS

As defined by the Administrative Code and the Investment Policy, the ~~Finance Committee~~Board shall be responsible for oversight of the investment program for Transportation Authority funds. Please refer to the current version of the Investment Policy maintained by the Transportation Authority, for the investment program guidelines regarding all funds and investment-related activities of the Transportation Authority.

VIII. REPORTING REQUIREMENTS

The Executive Director shall report to the ~~Finance Committee~~Board at least on a quarterly basis on the Transportation Authority's actual expenditures, budgetary performance, authorized variances that have been implemented pursuant to this Fiscal Policy, the Transportation Authority debt program and the Transportation Authority investment program. The ~~Finance Committee~~Board shall cause the Transportation Authority's financial transactions and records to be audited by an independent, certified public accountant firm at least annually and a report to be submitted to the Board on the results of the audit.



IX. PROCUREMENT OF GOODS AND SERVICES

It shall be the policy of the Transportation Authority to competitively bid the procurement of goods and services. Procurements in amounts greater than seventy-five thousand dollars (\$75,000) shall require a formal bid process including advertising requests for bids and/or proposals in appropriate local newspapers or other media outlets. Pursuant to California Public Utilities Code Sections 131285 and 131286, formal procurement of supplies, equipment, and materials in excess of \$75,000 shall be awarded to the lowest responsible bidder after competitive bidding, except in an emergency declared by the vote of two-thirds of the voting membership of the Transportation Authority, or, if after rejecting bids received, the Transportation Authority determines and declares by a two-thirds vote of all of its voting members that, in its opinion the supplies, equipment or materials may be purchased at a lower price in the open market.

Procurements of supplies, equipment, and materials in amounts equal to or less than \$75,000 shall be awarded to the lowest responsive bidder following an informal competitive bid process.

The selection of providers of professional services, such as legal, financial advisory, private architectural, landscape architectural, engineering, environmental, land surveying, or construction project management firms, shall be on the basis of demonstrated competence and on the professional qualifications necessary for the satisfactory performance of the services required in accordance with the Transportation Authority's Procurement Policy.

All procurement transactions, regardless of dollar value and regardless of whether by sealed bid, informal quote, or by negotiation, shall be conducted in a manner that promotes free and open competition.

A. DISADVANTAGED BUSINESS ENTERPRISE REQUIREMENT

Any procurement whether formal or informal shall comply with the Transportation Authority's applicable non-discrimination, minority/local/women-owned business and other applicable contracting policies in place at the time of procurement.

B. CONFLICT OF INTEREST

No employee, officer or agent of the Transportation Authority shall participate in the selection or in the award or administration of a contract if such participation would result in a conflict of interest, real or apparent, as defined by state statute and applicable case law. No employee, officer, or agent shall solicit or accept gratuities, favors or anything of monetary value from contractors, potential contractors or parties to sub-agreements.

C. CONTRACTS

Approval of the Board is required prior to the execution of any contract for the procurement of goods or professional services that authorizes payments that in the aggregate exceed seventy-five thousand dollars (\$75,000) in a fiscal year. The Executive Director is authorized to approve and execute all such contracts that authorize payments not in excess of \$75,000 per fiscal year, provided that the amounts are consistent with the adopted final budget, as amended in accordance with this Policy for the current fiscal year or, in the event that the contract was not completed in a single fiscal year, the contiguous fiscal year(s). The Executive Director is authorized to amend contracts to extend time, to add or delete tasks of similar scope and nature, and to increase or reduce the total amount of the contract. The Executive Director may execute such amendments



without prior Board approval, if the amount of the amendment does not exceed \$75,000 and so long as the amendment is consistent with the adopted final budget.

The foregoing notwithstanding, the Executive Director is authorized to execute, without prior Board approval, all standard grant agreements based upon a grant award to a sponsoring agency for programs and projects defined in the adopted final budget supplemental documentation, or as approved by specific Board action.

No contractual obligations, administrative or capital, shall be assumed by the Transportation Authority in excess of its ability to pay, as defined by the adopted final budget and the Strategic Plan. All expenditures shall comply with all federal, state, and local statutory and other legal restrictions placed on the use of said funds.

The Transportation Authority shall establish contracts for banking, investment and standard accounting services. Said contracts shall include provisions for the receipt, maintenance, investment and disbursement of funds, payroll functions, and ongoing financial data reports as required by the Transportation Authority.



INVESTMENT POLICY

I. INTRODUCTION

The purpose of this document is to set out policies and procedures that enhance opportunities for a prudent and systematic investment policy and to organize and formalize investment-related procedures.

The investment policies and procedures of the San Francisco County Transportation Authority (Transportation Authority) are, in every case, subject to and limited by applicable provisions of state law and to prudent money management principles. All funds will be invested in accordance with the Transportation Authority's Investment Policy, and applicable provisions of Chapter 4 of Part 1 of Division 2 of Title 5 of the California Government Code (Section 53600 et seq.). The investment of bond proceeds will be further restricted by the provisions of relevant bond documents.

II. SCOPE

This policy covers all funds and investment activities under the jurisdiction of the Transportation Authority.

Bond proceeds shall be invested in the securities permitted pursuant to bond documents, including a tax certificate, approved by the Transportation Authority Board of Commissioners (Board). If the bond documents are silent as to the permitted investments, bond proceeds will be invested in the securities permitted by this policy. In addition to the securities listed in Section IX below, bond proceeds may also be invested in investment and forward delivery agreements. Notwithstanding the other provisions of this Investment Policy, the percentage or dollar portfolio limitations listed elsewhere in this Investment Policy do not apply to bond proceeds.

III. PRUDENT INVESTOR STANDARD

In managing its investment program, the Transportation Authority will observe the "Prudent Investor" standard as stated in Government Code Section 53600.3, applied in the context of managing an overall portfolio. Investments will be made with care, skill, prudence and diligence, taking into account the prevailing circumstances, including, but not limited to general economic conditions, the anticipated needs of the Transportation Authority and other relevant factors that a prudent person acting in a fiduciary capacity and familiar with those matters would use in the stewardship of funds of a like character and purpose.

IV. OBJECTIVES

The primary objectives, in priority order, for the Transportation Authority's investment activities are:

- 1) **Safety.** Safety of the principal is the foremost objective of the investment program. Investments of the Transportation Authority will be undertaken in a manner that seeks to ensure preservation of the principal of the funds under its control.
- 2) **Liquidity.** The Transportation Authority's investment portfolio will remain sufficiently liquid to enable the Transportation Authority to meet its reasonably anticipated cash flow requirements.



- 3) **Return on Investment.** The Transportation Authority's investment portfolio will be managed with the objective of attaining a market rate of return throughout budgetary and economic cycles commensurate with the Transportation Authority's investment risk parameters and the cash flow characteristics of the portfolio.

V. DELEGATION OF AUTHORITY

Management's responsibility for the investment program is derived from the Board and is hereby delegated to the Executive Director acting as Transportation Authority Treasurer. Pursuant to the requirements of the California Government Code, the Board may renew the delegation pursuant to this section each year. No person may engage in an investment transaction except as provided under the limits of this policy. The Transportation Authority may retain the services of an investment advisor to advise it with respect to investment decision-making and to execute investment transactions for the Transportation Authority. The advisor will follow the policy and such other written instructions as are provided by the Executive Director.

VI. ETHICS AND CONFLICT OF INTEREST

Officers, employees and agents of the Transportation Authority involved in the investment process will not engage in any personal business activities that could conflict with proper and lawful execution of the investment program, or which could impair their ability to make impartial decisions.

VII. INTERNAL CONTROLS

The Transportation Authority will establish internal controls to ensure compliance with the Investment Policy and with the applicable requirements of the California Government Code.

VIII. AUTHORIZED FINANCIAL INSTITUTIONS AND DEALERS

The Executive Director will establish and maintain a list of financial institutions and other financial services providers authorized to provide investment services. In addition, the Transportation Authority will establish and maintain a list of approved security broker/dealers, selected on the basis of credit worthiness, that are authorized to provide investment services in the State of California. These include primary dealers or regional dealers that meet the net capital and other requirements under Securities and Exchange Commission Rule 15c3-1. No public deposit will be made except in a qualified public depository as established by state law.

IX. PERMITTED INVESTMENT INSTRUMENTS

California Government Code Section 53601 governs and limits the investments permitted for purchase by the Transportation Authority. Within those investment limitations, the Transportation Authority seeks to further restrict eligible investment to the investments listed below. The portfolio will be diversified by security type and institution, to avoid incurring unreasonable and avoidable concentration risks regarding specific security types or individual financial institutions.

Percentage limitations, where indicated, apply at the time of purchase. Rating requirements where indicated, apply at the time of purchase. In the event a security held by the Transportation Authority is subject to a rating change that brings it below the minimum specified rating requirement, the Executive Director will notify the Board of the change. The course of action to be followed will then be decided on a case-by-case basis, considering such factors as the reason



for the rating reduction, prognosis for recovery or further rating reductions and the current market price of the security.

1. United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest. There is no limitation as to the percentage of the portfolio that may be invested in this category.
2. Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government-sponsored enterprises. There is no limitation as to the percentage of the portfolio that may be invested in this category.
3. Repurchase Agreements not to exceed one year duration. There is no limitation as to the percentage of the portfolio that may be invested in this category. The following collateral restrictions will be observed: Only U.S. Treasury securities or Federal Agency securities are acceptable collateral. All securities underlying repurchase agreements must be delivered to the Transportation Authority's custodian bank versus payment or be handled under a properly executed tri-party repurchase agreement. The market value of securities that underlay a repurchase agreement will be valued at 102 percent or greater of the funds borrowed against those securities and the value will be adjusted no less than quarterly. Since the market value of the underlying securities is subject to daily market fluctuations, the investments in repurchase agreements will be in compliance if the value of the underlying securities is brought back up to 102 percent no later than the next business day.
4. Obligations of the State of California or any local agency within the state, including bonds payable solely out of revenues from a revenue-producing property owned, controlled or operated by the state or any local agency; provided that the obligations are rated in one of the two highest categories by a nationally recognized statistical-rating organization (NRSRO). There is no limitation as to the percentage of the portfolio that may be invested in this category.
5. Registered treasury notes or bonds of any of the other 49 United States in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 United States, in addition to California, provided that the obligations are rated in one of the two highest categories by a nationally recognized statistical-rating organization (NRSRO). There is no limitation as to the percentage of the portfolio that may be invested in this category.
6. Bankers' Acceptances issued by domestic or domestic branches of foreign banks, which are eligible for purchase by the Federal Reserve System, the short-term paper of which is rated in the highest category by a NRSRO. Purchases of Banker's Acceptances may not exceed 180 days maturity or 40 percent of the Transportation Authority's portfolio. No more than 30 percent of the Transportation Authority's portfolio may be invested in the Banker's Acceptances of any one commercial bank.
7. Commercial paper of "prime" quality rated the highest ranking or of the highest letter or number rating as provided by a NRSRO. The entity that issues the commercial paper will



meet all of the criteria in either (1) or (2) as follows: (1) the corporation will be organized and operating within the United States as a general corporation, will have assets in excess of five hundred million dollars (\$500,000,000), and will issue debt, other than commercial paper, if any, that is rated “A” or higher by a NRSRO; or (2) the corporation will be organized within the United States as a special purpose corporation, trust, or limited liability company, has program wide credit enhancements including, but not limited to, over collateralizations, letters of credit, or surety bond; has commercial paper that is rated “A-1” or higher, or equivalent by a NRSRO. Eligible commercial paper may not exceed 270 days’ maturity nor represent more than 10% of the outstanding paper of an issuing corporation, or 25% of the Transportation Authority’s portfolio.

8. Medium-term corporate notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the U.S. or any state and operating within the U.S. Medium-term corporate notes will be rated in a rating category “A” or better by a NRSRO. Purchases of medium-term notes will not exceed 30 percent of the Transportation Authority’s portfolio.
9. FDIC insured or fully collateralized time certificates of deposit in financial institutions located in California. Purchases of time certificates of deposit may not exceed 1 year in maturity or 10 percent of the Transportation Authority’s portfolio.

To be eligible to receive local agency money, a bank, savings association, federal association, or federally insured industrial loan company shall have received an overall rating of not less than “satisfactory” in its most recent evaluation by the appropriate federal financial supervisory agency of its record of meeting the credit needs of California’s communities, including low- and moderate-income neighborhoods, pursuant to Section 2906 of Title 12 of the United States Code. The FFIEC provides an overall assessment of the insured depositories’ ability to meet the credit needs of their communities, consistent with safe and sound operations.

10. Negotiable certificates of deposit or deposit notes issued by a nationally or state-chartered bank, a savings association or a federal association, a state or federal credit union or by a state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit may not exceed 30 percent of the Transportation Authority’s portfolio.
11. State of California’s Local Agency Investment Fund (LAIF). The LAIF portfolio should be reviewed periodically. There is no limitation as to the percentage of the portfolio that may be invested in this category. However, the amount invested may not exceed the maximum allowed by LAIF.
12. The California Asset Management Program, as authorized by Section 53601 (p) of the California Government Code. The Program constitutes shares in a California common law trust established pursuant to Section 6509.7 of Title 1, Division 7, Chapter 5 of the Government Code of the State of California which invests exclusively in investments permitted by subdivisions (a) to (o) and (q) of Section 53601 of the Government Code of California, as it may be amended.
13. Insured savings account or money market account. To be eligible to receive local agency deposits, a financial institution must have received a minimum overall satisfactory rating



for meeting the credit needs of California communities in its most recent evaluation. There is no limitation as to the percentage of the portfolio that may be invested in this category. Bank deposits are required to be collateralized as specified under Government Code Section 53630 et. seq. The collateralization requirements may be waived for any portion that is covered by federal deposit insurance. The Transportation Authority shall have a signed agreement with any depository accepting Transportation Authority funds per Government Code Section 53649.

14. Placement Service Certificates of Deposit (CDs). Certificates of deposit placed with a private sector entity that assists in the placement of certificates of deposit with eligible financial institutions located in the United States (Government Code Section 53601.8). The full amount of the principal and the interest that may be accrued during the maximum term of each certificate of deposit shall at all times be insured by federal deposit insurance. The combined maximum portfolio exposure to Placement Service CDs and Negotiable CDs is limited to 30%. The maximum investment maturity will be restricted to five years.
15. The San Francisco City and County Treasury Pool. There is no limitation as to the percentage of the portfolio that may be invested in this category. Any loans or investments of Transportation Authority funds invested in the San Francisco City and County Treasury Pool to agencies of the City and County of San Francisco will specifically require the approval of the Board prior to purchase or acceptance.
16. Shares of beneficial interest issued by diversified management companies that are money market funds registered with the Securities and Exchange Commission under the Investment Company Act of 1940. To be eligible for investment pursuant to this subdivision these companies shall ~~have~~ meet either of the following criteria:
 - Attain the highest ranking or highest letter and numerical rating provided by not less than two NRSROs.
 - Have an investment advisor registered or exempt from registration with the Securities and Exchange Commission with not less than five years' experience managing money market mutual funds with assets under management in excess of five hundred million dollars (\$500,000,000).

The purchase price of shares of beneficial interest purchased will not include any commission that these companies may charge and will not exceed 20 percent of the Transportation Authority's portfolio.

X. INELIGIBLE INVESTMENTS

The Transportation Authority will not invest any funds in inverse floaters, range notes, or interest-only strips that are derived from a pool of mortgages, or in any security that could result in zero interest accrual if held to maturity.

XI. MAXIMUM MATURITY

Investment maturities will be based on a review of cash flow forecasts. Maturities will be scheduled so as to permit the Transportation Authority to meet all projected obligations.

Where this Policy does not specify a maximum remaining maturity at the time of the investment, no investment will be made in any security, other than a security underlying a repurchase



agreement, that at the time of the investment has a term remaining to maturity in excess of five years, unless the Board has granted express authority to make that investment either specifically or as a part of an investment program approved by the Board no less than three months prior to the investment.

XII. REPORTING REQUIREMENTS

The Executive Director will submit a quarterly list of transactions to the Board. In addition, the Executive Director will submit to the Board an investment report each quarter, which will include, at a minimum, the following information for each individual investment:

- Type of investment instrument
- Issuer name
- Purchase date
- Maturity date
- Purchase price
- Par value
- Amortized cost
- Current market value and the source of the valuation
- Credit rating
- Overall portfolio yield based on cost
- Sale Date of any investment sold prior to maturity

The quarterly report also will (i) state compliance of the portfolio to the statement of investment policy, or manner in which the portfolio is not in compliance, (ii) include a description of any of the Transportation Authority's funds, investments or programs that are under the management of contracted parties, and (iii) include a statement denoting the ability of the Transportation Authority to meet its expenditure requirements for the next six months, or provide an explanation as to why sufficient money may, or may, not be available. For all of the Transportation Authority's investments held in the City and County of San Francisco's Treasury Pool the Executive Director will provide the Board with the most recent investment report furnished by the Office of the Treasurer and Tax Collector.

XIII. SAFEKEEPING AND CUSTODY

All security transactions entered into by the Transportation Authority will be conducted on a delivery-versus-payment basis. Securities will be held by an independent third-party custodian selected by the Transportation Authority. The securities will be held directly in the name of the Transportation Authority as beneficiary.

XIV. INVESTMENT POLICY REVIEW

The Executive Director will annually render to the Board a statement of investment policy, which the Board will consider at a public meeting. Any changes to the policy will also be considered by the Board at a public meeting.



GLOSSARY

AGENCIES. Federal agency securities and/or Government-sponsored enterprises.

ASKED. The price at which securities are offered.

BANKERS' ACCEPTANCE (BA). A draft or bill of exchange accepted by a bank or trust company. The accepting institution guarantees payment of the bill, as well as the issuer.

BENCHMARK. A comparative base for measuring the performance or risk tolerance of the investment portfolio. A benchmark should represent a close correlation to the level of risk and the average duration of the portfolio's investments.

BID. The price offered by a buyer of securities. (When you are selling securities, you ask for a bid.) See Offer.

BROKER. A broker brings buyers and sellers together for a commission.

CERTIFICATE OF DEPOSIT (CD). A time deposit with a specific maturity evidenced by a Certificate. Large-denomination CD's are typically negotiable.

COLLATERAL. Securities, evidence of deposit or other property, which a borrower pledges to secure repayment of a loan. Also refers to securities pledged by a bank to secure deposits of public monies.

COUPON. (a) The annual rate of interest that a bond's issuer promises to pay the bondholder on the bond's face value. (b) A certificate attached to a bond evidencing interest due on a payment date.

DEALER. A dealer, as opposed to a broker, acts as a principal in all transactions, buying and selling for his own account.

DEBENTURE. A bond secured only by the general credit of the issuer.

DELIVERY VERSUS PAYMENT. There are two methods of delivery of securities: delivery versus payment and delivery versus receipt. Delivery versus payment is delivery of securities with an exchange of money for the securities. Delivery versus receipt is delivery of securities with an exchange of a signed receipt for the securities.

DERIVATIVES. (1) Financial instruments whose return profile is linked to, or derived from, the movement of one or more underlying index or security, and may include a leveraging factor, or (2) financial contracts based upon notional amounts whose value is derived from an underlying index or security (interest rates, foreign exchange rates, equities or commodities).

DISCOUNT. The difference between the cost price of a security and its maturity when quoted at lower than face value. A security selling below original offering price shortly after sale also is considered to be at a discount.

DISCOUNT SECURITIES. Non-interest bearing money market instruments that are issued at a discount and redeemed at maturity for full face value, e.g., U.S. Treasury Bills.

DIVERSIFICATION. Dividing investment funds among a variety of securities offering independent returns.

FEDERAL CREDIT AGENCIES. Agencies of the Federal government set up to supply credit to various classes of institutions and individuals, e.g., S&L's, small business firms, students, farmers, farm cooperatives, and exporters.



FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC). A federal agency that insures bank deposits, currently up to \$100,000 per deposit.

FEDERAL FUNDS RATE. The rate of interest at which Fed funds are traded. This rate is currently pegged by the Federal Reserve through open-market operations.

FEDERAL HOME LOAN BANKS (FHLB). Government sponsored wholesale banks (currently 12 regional banks), which lend funds and provide correspondent banking services to member commercial banks, thrift institutions, credit unions and insurance companies. The mission of the FHLBs is to liquefy the housing related assets of its members who must purchase stock in their district Bank.

FEDERAL NATIONAL MORTGAGE ASSOCIATION (FNMA). FNMA, like GNMA was chartered under the Federal National Mortgage Association Act in 1938. FNMA is a federal corporation working under the auspices of the Department of Housing and Urban Development (HUD). It is the largest single provider of residential mortgage funds in the United States. Fannie Mae, as the corporation is called, is a private stockholder-owned corporation. The corporation's purchases include a variety of adjustable mortgages and second loans, in addition to fixed-rate mortgages. FNMA's securities are also highly liquid and are widely accepted. FNMA assumes and guarantees that all security holders will receive timely payment of principal and interest.

FEDERAL OPEN MARKET COMMITTEE (FOMC). Consists of seven members of the Federal Reserve Board and five of the twelve Federal Reserve Bank Presidents. The President of the New York Federal Reserve Bank is a permanent member, while the other Presidents serve on a rotating basis. The Committee periodically meets to set Federal Reserve guidelines regarding purchases and sales of Government Securities in the open market as a means of influencing the volume of bank credit and money.

FEDERAL RESERVE SYSTEM. The central bank of the United States created by Congress and consisting of a seven member Board of Governors in Washington, D.C., 12 regional banks and about 5,700 commercial banks that are members of the system.

FINANCIAL STATEMENTS. Financial statements are an overview of the agency's finances and shall be prepared in accordance with generally accepted accounting principles and shall be accompanied by a report, certificate, or opinion of an independent certified public accountant or independent public accountant.

GOVERNMENT NATIONAL MORTGAGE ASSOCIATION (GNMA or Ginnie Mae). Securities influencing the volume of bank credit guaranteed by GNMA and issued by mortgage bankers, commercial banks, savings and loan associations, and other institutions. Security holder is protected by full faith and credit of the U.S. Government. Ginnie Mae securities are backed by the FHA, VA or FmHA mortgages. The term "pass-throughs" is often used to describe Ginnie Maes.

LIQUIDITY. A liquid asset is one that can be converted easily and rapidly into cash without a substantial loss of value. In the money market, a security is said to be liquid if the spread between bid and asked prices is narrow and reasonable size can be done at those quotes.

LOCAL GOVERNMENT INVESTMENT POOL (LGIP). The aggregate of all funds from political subdivisions that are placed in the custody of the State Treasurer for investment and reinvestment.

MARKET VALUE. The price at which a security is trading and could presumably be purchased or sold.

MASTER REPURCHASE AGREEMENT. A written contract covering all future transactions between the parties to repurchase—reverse repurchase agreements that establishes each party's rights in the



transactions. A master agreement will often specify, among other things, the right of the buyer-lender to liquidate the underlying securities in the event of default by the seller borrower.

MATURITY. The date upon which the principal or stated value of an investment becomes due and payable.

MONEY MARKET. The market in which short-term debt instruments (bills, commercial paper, bankers' acceptances, etc.) are issued and traded.

OFFER. The price asked by a seller of securities. (When you are buying securities, you ask for an offer.) See Asked and Bid.

OPEN MARKET OPERATIONS. Purchases and sales of government and certain other securities in the open market by the New York Federal Reserve Bank as directed by the FOMC in order to influence the volume of money and credit in the economy. Purchases inject reserves into the bank system and stimulate growth of money and credit; sales have the opposite effect. Open market operations are the Federal Reserve's most important and most flexible monetary policy tool.

PORTFOLIO. Collection of securities held by an investor.

PRIMARY DEALER. A group of government securities dealers who submit daily reports of market activity and positions and monthly financial statements to the Federal Reserve Bank of New York and are subject to its informal oversight. Primary dealers include Securities and Exchange Commission (SEC)-registered securities broker-dealers, banks, and a few unregulated firms.

PRUDENT PERSON RULE. An investment standard. In some states the law requires that a fiduciary, such as a trustee, may invest money only in a list of securities selected by the custody state—the so-called legal list. In other states the trustee may invest in a security if it is one which would be bought by a prudent person of discretion and intelligence who is seeking a reasonable income and preservation of capital.

QUALIFIED PUBLIC DEPOSITORY. A financial institution which does not claim exemption from the payment of any sales or compensating use or ad valorem taxes under the laws of this state, which has segregated for the benefit of the commission eligible collateral having a value of not less than its maximum liability and which has been approved by the Public Deposit Protection Commission to hold public deposits.

RATE OF RETURN. The yield obtainable on a security based on its purchase price or its current market price. This may be the amortized yield to maturity on a bond the current income return.

REPURCHASE AGREEMENT (RP OR REPO). A holder of securities sells these securities to an investor with an agreement to repurchase them at a fixed price on a fixed date. The security "buyer" in effect lends the "seller" money for the period of the agreement, and the terms of the agreement are structured to compensate him for this. Dealers use RP extensively to finance their positions. Exception: When the Fed is said to be doing RP, it is lending money that is, increasing bank reserves.

SAFEKEEPING. A service to customers rendered by banks for a fee whereby securities and valuables of all types and descriptions are held in the bank's vaults for protection.

SECONDARY MARKET. A market made for the purchase and sale of outstanding issues following the initial distribution.

SECURITIES AND EXCHANGE COMMISSION (SEC). Agency created by Congress to protect investors in securities transactions by administering securities legislation.



SEC RULE 15C3-1. See Uniform Net Capital Rule.

STRUCTURED NOTES. Notes issued by Government Sponsored Enterprises (FHLB, FNMA, SLMA, etc.) and Corporations, which have imbedded options (e.g., call features, step-up coupons, floating rate coupons, derivative-based returns) into their debt structure. Their market performance is impacted by the fluctuation of interest rates, the volatility of the imbedded options and shifts in the shape of the yield curve.

TREASURY BILLS. A non-interest bearing discount security issued by the U.S. Treasury to finance the national debt. Most bills are issued to mature in three months, six months, or one year.

TREASURY BONDS. Long-term coupon-bearing U.S. Treasury securities issued as direct obligations of the U.S. Government and having initial maturities of more than 10 years.

TREASURY NOTES. Medium-term coupon-bearing U.S. Treasury securities issued as direct obligations of the U.S. Government and having initial maturities from two to 10 years.

UNIFORM NET CAPITAL RULE. Securities and Exchange Commission requirement that member firms as well as nonmember broker-dealers in securities maintain a maximum ratio of indebtedness to liquid capital of 15 to 1; also called net capital rule and net capital ratio. Indebtedness covers all money owed to a firm, including margin loans and commitments to purchase securities, one reason new public issues are spread among members of underwriting syndicates. Liquid capital includes cash and assets easily converted into cash.

YIELD. The rate of annual income return on an investment, expressed as a percentage. (a) *INCOME YIELD* is obtained by dividing the current dollar income by the current market price for the security. (b) *NET YIELD* or *YIELD TO MATURITY* is the current income yield minus any premium above par or plus any discount from par in purchase price, with the adjustment spread over the period from the date of purchase to the date of maturity of the bond.



PROCUREMENT POLICY

I. INTRODUCTION

The Procurement Policy is designed to guide decisions pertaining to procurement, including the modes, methods and procedures for acquiring the materials, equipment and services necessary to carry out the operations of the San Francisco County Transportation Authority (Transportation Authority). This policy is intended to establish the manner in which all Transportation Authority procurement activities shall be conducted, and define the requirements and/or limitations for the Transportation Authority and those individuals, firms or agencies doing business with the Transportation Authority. It is intended to be consistent with the Transportation Authority's Administrative Code, the Proposition K Sales Tax Expenditure Plan (Expenditure Plan), federal and state regulations, and general prudent accounting and financial management practices.

II. SCOPE AND AUTHORITY

The Procurement Policy applies to the operations of the Transportation Authority and is not applicable to the operations of any project sponsoring agencies of the Transportation Authority, unless otherwise specifically provided. The Transportation Authority may enter into an agreement to solicit and award contracts on behalf of a sponsoring agency, if requested and if it is determined to be in the best interest of the Transportation Authority and the sponsoring agency. The award of such contracts shall be for goods and services for programs or projects contained in the Expenditure Plan.

The Procurement Policy provides guidelines for procuring materials and supplies, professional and technical services, and lease and rental agreements. The Procurement Policy is separate from, but shall be applied in conjunction with, the Transportation Authority's Strategic Plan, adopted Fiscal Policy and Disadvantaged Business Enterprise (DBE) and Local Business Enterprise (LBE) Policy, as applicable. Overall policy direction shall be the responsibility of the Transportation Authority Board (Board). Responsibility for implementation of the Procurement Policy, and day-to-day responsibility and authority for structuring, implementing, and managing the Transportation Authority's policies, goals, and objectives, shall lie with the Executive Director. This Policy will be reviewed and updated as required or deemed advisable at least once every three years. Any changes to the policy are subject to approval by the Board at a public meeting.

III. PROCUREMENT PROCESS

Open competition is the basis for efficient, economic and fair public procurement. It is the policy of the Transportation Authority to competitively bid the procurement of all goods and services, and to encourage small and local firms to do business with the Transportation Authority. All procurement activities are considered to be contractual obligations encompassing financial compensation in return for the rendering of specific goods and/or services. All procurements are to be negotiated on a fixed-price or cost plus fee basis.



A. General Provisions

All procurement transactions, regardless of purchasing methodology or dollar value, shall be conducted in a manner that maximizes open and free competition. Solicitation for offers, whether by an informal or formal bid process or through competitive negotiation shall:

1. incorporate a clear and accurate description of the technical requirements for the materials, product or services to be procured; and
2. clearly set forth all requirements which bidders must fulfill, and all other factors to be used in evaluating the proposals.

All bids or proposals must be submitted to and received at the location designated no later than the exact time and date stated in bid or proposal requirements, and must be date- and time-stamped and logged as received by Transportation Authority personnel. Bids or proposals received after the date and time deadline will be returned unopened and will be considered as disqualified. A bid or proposal may be withdrawn prior to bid or proposal opening for any reason by a bidder or his/her authorized representative, provided a written request to withdraw is received by the Transportation Authority prior to bid or proposal opening. After bid or proposal opening, a bid or proposal may be withdrawn only for material obvious error(s) and subject to written approval by the Executive Director.

The Transportation Authority reserves the right to modify and/or suspend any and all aspects, terms, conditions and requirements of any procurement, to obtain further information from any firm or person responding to the procurement, to waive any informality or irregularity as to form or content of the procurement document or any response thereto, to be the sole judge of the merits of the bids or proposals received, and to reject any or all bids or proposals for any reason provided that such actions are made in accordance with federal and state laws.

Contract awards shall be made only to responsive and responsible contractors that possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration shall be given to such matters as compliance with public policy, record of past performance, and financial and technical resources. False statements in proposals will be a basis for disqualification. All contract awards shall be documented by written purchase order, written contract or written memorandum. Contracts, including all options therein, will generally be limited to a maximum period of five (5) years.

The Transportation Authority annual budget establishes the monetary limits for the procurement of goods and services subject to this Policy. All procurements, whether formal or informal, shall be in compliance with the Transportation Authority's non-discrimination policy, DBE/LBE Policy, if applicable, and any other Transportation Authority contracting policy in effect at the time of the procurement.

B. Conflict of Interest

No employee, officer or agent of the Transportation Authority shall participate in the procurement process, or in the award or administration of a contract, if such participation would result in a conflict of interest, real or apparent, as defined by state and federal laws. No employee, officer, or agent shall solicit or accept gratuities, favors or anything of monetary value from contractors, potential contractors or parties to sub-agreements. The



Transportation Authority shall be subject to Articles 1 and 3 of Title 9, Chapter 7 of the California Government Code and the regulations which implement those provisions as well as the San Francisco County Transportation Authority Conflict of Interest Code.

C. Informal Bid Process

Solicitations for goods and services that are anticipated to be equal to or less than \$75,000 may go through an informal Request for Proposal (RFP) or bid process. Quotes may be requested by telephone, via the Internet or through the mail from known qualified vendors or from current vendor catalogs and/or websites. Routine purchases in the amount of \$25,000 or less should be distributed equitably among qualified competitively priced suppliers, with consideration given to DBE/LBE utilization as applicable and as permitted by law. It is not permissible to segment the contract or use multiple solicitations for similar goods or services in order to circumvent the limitation for formal solicitation.

The informal bid or solicitation process shall include a minimum of three quotes from potential providers to ascertain that the proposed price is fair and reasonable. Transportation Authority files shall maintain support documentation demonstrating that a sufficient number of quotes were obtained.

Except in the case of an emergency, or a finding by the Board by two-thirds vote of all its voting members that, in its opinion, the supplies, equipment or materials may be purchased at a lower price in the open market, awards of contracts for supplies, equipment and materials in excess of \$25,000 shall be awarded to the lowest responsible and responsive bidder. Awards of contracts for supplies, equipment and materials not in excess of \$25,000 will generally be awarded to the lowest bidder after a competitive process, but other factors including but not limited to delivery date and known performance and, if applicable and permitted by law, DBE/LBE participation may be considered in selecting the vendor.

Awards of contracts for professional services, including legal, financial advisory, private architectural, landscape architectural, engineering, environmental, land surveying, or construction project management firms shall be on the basis of demonstrated competence and on the professional qualifications necessary for the satisfactory performance of the services required, and at a price that is fair and reasonable, in accordance with state and federal laws.

D. Formal Bid Process

Solicitation of goods and/or services that are anticipated to be in excess of \$75,000 shall be required to go through a formal Request for Proposal (RFP) or Invitation for Bid (IFB) process. An RFP process will also be used to procure professional and technical services as applicable in accordance with the provisions of California Government Code Section 4526 and applicable federal laws and regulations. Award of a contract for professional services will be qualifications-based and will consider multiple factors that will be clearly stated in the RFP, although price may be considered during the negotiation of the contract. Procurement for establishing an on-call or preapproved list of professional services providers shall be based on a qualifications-based process in accordance with state and federal law, and price may be taken into consideration when negotiating a contract with a firm selected from such a list to fulfill task orders.



For procurements anticipated to be in excess of \$75,000, an Invitation for Bids (IFB) process will be used to procure all supplies, equipment, or materials that are standard in nature, character, and quality; easily defined; and/or reasonably accessible in the open market. Award will be made to the lowest responsive and responsible bidder after competitive bidding, except in an emergency declared by the vote of two-thirds of the voting membership of the Board pursuant to California Public Utilities Code Section 131285. If, after rejecting bids received, the Transportation Authority, pursuant to California Public Utilities Code Section 131286, determines and declares by a two-thirds vote of the voting membership of the Board that, in its opinion, the supplies, equipment, or materials may be purchased at a lower price in the open market, the Transportation Authority may proceed to purchase these supplies, equipment, or materials in the open market without further observance of the provisions regarding contracts, bids, or advertisement.

Solicitation for offers in the formal bid process shall include the following:

1. A clear and accurate written description of the project scope and deliverables, and technical requirements for the materials, product, or service being procured;
2. Special conditions or restricting policies, policy goals such as DBE/LBE goals, if applicable, patents, liquidated damages and performance, bid or indemnification requirements;
3. Proposed timetable for the project or service;
4. General format requirements and number of copies/items (if applicable) to be delivered;
5. Date of pre-proposal conference, if applicable;
6. A clear definition of the evaluation criteria to be used in evaluating the bids or proposals; and
7. Date, time, and place for submission of final bids or proposals.

If a pre-proposal conference is held, a listing of those in attendance showing name(s) of attendees and agency or company represented shall be maintained in the resulting contract files.

Responses to RFPs for professional and technical services shall require identification of the bidders or proposer's key employees and subcontractors. Bidders or proposers shall be required to notify the Transportation Authority of any pending lawsuits or labor disputes that may interfere with the delivery of services.

Procurements in amounts greater than \$75,000 shall require a formal notice process including advertising requests for bids or proposals in local appropriate newspapers or other media outlets. Notice should occur with sufficient time to allow bidders or proposers reasonable time in which to respond. The term "reasonable time" may vary depending on the complexity of the proposed project. Thirty (30) calendar days shall be considered the standard time allotted in notification to potential bidders or proposers. More or less time may be allotted at the determination of the Executive Director.

RFPs and IFBs will be reviewed by a selection panel appointed by the Executive Director. The Executive Director may elect to assemble a separate cost evaluation panel to review cost



proposals and evaluate cost assumptions. Based on their reviews and analysis, the selection panel and cost evaluation panel, if any, shall rank bids or proposals. The Executive Director will recommend to the Board award of a contract, based on the results of the procurement process and the recommendations the selection panel and cost evaluation panel, if any, to the bidder or proposer most advantageous to the Transportation Authority. In the case of IFBs, the Executive Director will recommend award to the lowest responsive and responsible bidder or proposer.

Copies of all correspondence, including negative response letters, copies of evaluation sheets/scores, and copies of all bids or proposals not being considered further shall be maintained in the files.

In the event that only a single bid or proposal is submitted, the Transportation Authority shall document its efforts in soliciting responses; and record the history of all correspondence, negotiations, including parties involved, etc. that took place with reference to the award of the resulting contract.

IV. NONCOMPETITIVE NEGOTIATED AGREEMENTS (SOLE SOURCE)

A noncompetitive, negotiated contract may be developed when special conditions arise. These types of agreements are defined as “Sole Source” agreements. Conditions under which noncompetitive, negotiated contracts may be acceptable include:

1. A unique commodity or specialized professional service is known to be available from only one vendor;
2. An emergency of such magnitude that cannot permit delay; or
3. Competition is determined to be inadequate after solicitation of a number of sources.

In these cases, the Transportation Authority will develop an adequate scope of work, evaluation factors and cost estimate, and conduct negotiations with the vendor to ensure a fair and reasonable cost. The Transportation Authority will document details of the special conditions and retain those details in the respective contract file for audit and grant review purposes.

V. PROCUREMENT PROTEST AND APPEAL PROCEDURES

It shall be the policy of the Transportation Authority to have established protest procedures which shall apply to all procurements of supplies, equipment, and services. A copy of these policies and procedures shall be maintained in the Transportation Authority’s offices for general inspection and review by the public. In addition, the Transportation Authority shall provide, upon request, a copy of these protest policies and procedures to all individuals, associations, corporations, and companies with which the Transportation Authority conducts business.

A bidder or proposer that has timely submitted a bid or proposal in response to a procurement of the Transportation Authority may file a protest asserting that the Transportation Authority has failed to follow applicable policies or procedures relative to seeking, evaluating, and/or awarding a contract or has failed to comply with relevant specifications or procedures contained in the bid documents or request for proposals. In order to file a protest, the protester must be an actual bidder or proposer whose direct economic interests would be affected by the award of a procurement contract or by the failure to award a procurement contract.



Such protests must be filed within the earlier of five (5) business days after (i) notice, actual or constructive, of the Transportation Authority's finding that the bidder or proposer's bid or proposal is not being considered further or (ii) an award of the contract by the Transportation Authority to another bidder or proposer.

A protest shall be deemed filed when the Transportation Authority actually receives the protest by mail or personal delivery. Failure to file a timely protest shall constitute a waiver of the right to file a protest under these procedures. Within five (5) business days of receipt of an untimely protest, the Transportation Authority shall notify the individual or entity that the protest was untimely and is being rejected. Such notice shall constitute the final decision of the Transportation Authority relative to the untimely protest.

All protests filed must be filed by an actual bidder or proposer responding to the procurement and must be in writing and include the following information:

1. Name of individual or entity filing protest;
2. Business address and telephone number of individual or entity;
3. Name and title of contact person;
4. Description of specific procurement and the action or decision being protested;
5. A clear and concise statement of the protest, including identification of:
 - a) procedures or specifications contained in bid documents or request for proposals which were allegedly not complied with, or
 - b) specific instance(s) of Transportation Authority failure to follow its policies and procedures;
6. Detailed factual support for the protest, including relevant documents or correspondence;
7. Desired resolution of the protest; and
8. Dated signature of individual, or authorized representative of entity, filing the protest.

The Executive Director shall review and consider all stated concerns and issues alleged to be in non-compliance and issue a decision within five (5) business days of receipt of the protest. If the decision of the Executive Director is not satisfactory to the protesting party, the protesting party may appeal that decision to the Board. The appeal must be filed within five (5) business days of the date of the decision. The appeal must clearly state the basis for disputing the decision of the Executive Director.

The appeal shall be referred to the ~~Finance Committee Board~~, which shall consider whether to accept the appeal and hold a hearing on the matter. If a majority of the ~~Finance Committee Board~~ does not wish to accept the appeal, the ~~Finance Committee Board~~ shall ~~find recommend to the Board that defer to~~ the decision of the Executive Director ~~shall be a~~ final.

If a majority of the ~~Finance Committee Board~~ agrees to accept the appeal and hold a hearing on the matter, the protesting party shall be notified of the hearing date and time, which shall be scheduled at the earliest convenience of the ~~Finance Committee Board~~. At the hearing, the protesting party shall be allowed fifteen (15) minutes to present its case. The Transportation



Authority staff shall then be allowed fifteen (15) minutes to present the Transportation Authority's case. The ~~Finance Committee~~Board may extend these time periods at its discretion.

~~Upon conclusion of the hearing, or if the Finance Committee's determination is to agree with the decision of the Executive Director and reject the appeal without a hearing, its recommendation shall be submitted to the Board. The Board shall review and act upon the Finance Committee's recommendation appeal at its next regularly scheduled meeting, unless it determines that additional time to consider the appeal is required. The Board may accept the recommendation of the Finance Committee or determine to take action inconsistent with the recommendation of the Finance Committee.~~ The Board shall issue written notification to the protester of its decision which shall constitute the final decision of the Transportation Authority.

VI. CONTRACT ADMINISTRATION

No contractual obligations, administrative or capital, shall be assumed by the Transportation Authority in the excess of its ability to pay as defined by the adopted final budget and the Strategic Plan. Approval of the Board is required prior to the execution of any contract for the procurement of goods or professional services that authorizes payments that in the aggregate exceed \$75,000 in a fiscal year. The Executive Director is authorized to approve and execute all such contracts that authorize payments not in excess of \$75,000 per fiscal year, provided that the amounts are consistent with the adopted final budget, as amended in accordance with the Fiscal Policy for the current fiscal year or, in the event that the contract was not completed in a single fiscal year, the contiguous fiscal year(s). The Executive Director is authorized to amend contracts to extend time, to add or delete tasks of similar scope and nature, and to increase or reduce the total amount of the contract. The Executive Director may execute such amendments without prior Board approval, if the amount of the amendment does not exceed \$75,000.

All expenditures shall comply with all federal, state and local statutory requirements and other legal restrictions placed on the use of said funds. The Executive Director shall execute all contracts in conformance with the monetary limits established in the adopted final budget. The Executive Director and/or his/her designee has the responsibility for monitoring all contractual agreements for compliance with the terms and conditions established in the contract and for rendering payment upon completion of services or delivery of goods and materials as agreed.



TRAVEL, CONFERENCE, TRAINING AND BUSINESS EXPENSE REIMBURSEMENT POLICY

I. PURPOSE AND GENERAL POLICY

- A. Purpose. This document establishes a set of policies relating to travel, conference, training and business expenses, and establishes procedures for reimbursement of eligible San Francisco County Transportation Authority (Transportation Authority) Commissioners and employees, herein referred to as Transportation Authority personnel, for such expenses. These rules and guidelines are designed to safeguard public funds and to ensure the Transportation Authority and its personnel are using the most economical and well-documented procedures in a consistent manner.
- B. General Policy. The Transportation Authority recognizes that in some instances it is necessary and/or convenient for authorized Transportation Authority personnel to incur expenses for travel, training and other business purposes in connection with the official business of the Transportation Authority. Additionally, the Transportation Authority recognizes the benefit of attendance at meetings, conferences and other functions which advance professional knowledge and provide opportunities to exchange information related to transportation, government operations and issues. The policy of the Transportation Authority is to pay or reimburse Transportation Authority personnel for such expenses, travel and fees that a reasonable and prudent person would incur when traveling on official business and which serve a Transportation Authority purpose and are deemed necessary and/or advantageous to the Transportation Authority.
- C. Limitations. Travel and meeting expenditures shall not exceed the approved budget, except with justification and documentation, and shall be consistent with associated policies established by the Transportation Authority. Eligible Transportation Authority personnel are entitled to claim reimbursement for actual, reasonable and necessary expenses for eligible expenses incurred in the discharge of their official duties, subject to the limitations set forth herein.

II. ELIGIBILITY

- A. Eligible Personnel. Expenses are authorized for Transportation Authority Commissioners and employees (Transportation Authority personnel). Travel expenses may be authorized for the purpose of conducting business on behalf of the Transportation Authority, including employment interviews.
- B. Eligible Travel Expenses. The following expenses are eligible for reimbursement in connection with authorized Transportation Authority business, travel, conferences, meetings, and training, subject to the restrictions identified in this policy. Travel expenses are subject to review by the Deputy Director for Finance and Administration and will only be approved if deemed reasonable and proper. Reimbursements shall be for actual expenditures (receipts required for expenses greater than \$25) for amounts not to exceed the per diem rates and allowances established by the



General Services Administration (GSA) and/or United States Department of Defense (USDOD) as appropriate¹:

1. Meals;
 2. Lodging;
 3. Transportation charges (including commercial carrier fares, rental car charges, private car mileage allowances, parking, bridge and road tolls, and necessary taxi, transportation network company or public transit fares); and
 4. Miscellaneous expenses:
 - a. Local and long distance business telephone calls, faxes and internet access by the most economical practicable commercial service;
 - b. Registration fees for attending conferences, seminars, conventions, meetings, or other training of professional societies or community organizations;
 - c. Tips to porters, baggage carriers, bellhops, hotel staff, and stewards or stewardesses;
 - d. Purchase of necessary training or conference materials or supplies;
 - e. Business expenses in connection with the preparation of clerical or official reports while on training or travel status; and
 - f. Unforeseen or unusual expenses which are justified, necessary and substantiated.
- C. Non-Eligible Travel Expenses. Transportation Authority personnel are not eligible to claim reimbursement for the following items:
1. Personal telephone calls;
 2. Alcoholic beverages and entertainment expenses;
 3. Constructive expenses, which are those which might have been incurred for Transportation Authority business but were not; such as:
 - a. if two individuals traveled together to a meeting in one car and each claimed full transportation costs, then one would be making a “constructive” claim; or
 - b. if an individual on a trip stayed with friends or relatives, it would be “constructive” to claim a lodging expense.
 4. Expenses which are excessive or unreasonable as determined by the Deputy Director for Finance and Administration.
- D. Expense Limitations. Reimbursement of costs shall be based on the minimum number of days and hours required to transact Transportation Authority business. Costs incurred due to early or late arrival shall be at the traveler’s expense unless it is shown that the savings in airfare outweighs other costs. In that event, it is up to the traveler’s discretion as to whether he or she wishes to take advantage of the reduced airfare by traveling at an earlier/later date.
- E. Cash Advance. Cash advances may be requested to cover anticipated travel expenses for out-of-area or overnight travel if requested a minimum of ten working days before departure. Cash advances

¹ Per diem is an allowance for lodging (excluding taxes), meals and incidental expenses. The GSA establishes per diem rates for destinations within the Continental United States. The United States Department of State establishes the foreign rates.



shall not be less than \$100 nor more than the estimated expenses listed on the approved travel authorization form. Advances must be refunded immediately when an authorized trip is canceled or indefinitely postponed.

III. TRAVEL AUTHORIZATION

- A. Approval. Before any Transportation Authority paid or reimbursed overnight or out-of-area travel may take place, Transportation Authority personnel must first submit a travel authorization form to their supervisor for approval, who will forward the approved form to the Deputy Director for Finance and Administration to verify that sufficient funds are available in the Transportation Authority's budget for the travel. The Deputy Director for Finance and Administration will forward the approved form to the Executive Director for final approval. Transportation Authority Commissioners must submit the travel authorization form to the Executive Director for pre-approval. The Executive Director is authorized to approve travel requests for Transportation Authority personnel consistent with this policy. The Executive Director will inform the ~~Chairperson of the Finance Committee and the~~ Chairperson of the Transportation Authority of all Commissioner travel requests in excess of \$5,000. All travel requests must be approved in advance, prior to incurring any reimbursable expenses.
- B. Local Travel. Local travel, which does not involve overnight travel, can be reimbursed by the Transportation Authority without pre-verification of travel funds availability but staff shall obtain verbal approval from their respective supervisor and the Executive Director. If overnight travel is necessary, a travel authorization form shall be submitted prior to incurring reimbursable expenses.
- C. Out-of-Area Travel. Out-of-area travel is defined as 50 miles or more beyond the San Francisco city limits.
- D. Travel Authorization Form. The travel authorization form shall list the destination, purpose and justification for the trip, departure and return dates, and the estimated costs for transportation, meals, lodging, registration, and other expenses.

IV. PROCEDURES FOR CLAIMING EXPENSE REIMBURSEMENT

- A. Expense Report. Any reimbursement for expenses incurred on behalf of the Transportation Authority shall be claimed on an expense report. Expense reports shall be submitted within 45 days of incurring the expenses, and the reports shall be accompanied by adequate documentation supporting the expenses.

The total amount of all expenses pertaining to a particular trip should be accounted for the traveler on an expense report form. If the total actual cost of a trip exceeds the amount listed on the travel authorization form, justification and documentation of the excess cost must be provided. In the absence of a satisfactory explanation, any amount in excess of the estimated cost approved on the travel authorization form shall not be allowed. If the cash advance exceeds the actual reimbursable expense, then the traveler shall immediately return the excess amount with the expense report.

- B. Nature of Claim. Claims must be for actual and necessary expenses consistent with this document; not for "constructive" expenses.



- C. Per Diem Adjustments. Per diem claims will be adjusted, using the appropriate per meal rate, in those instances where meals are provided gratis or as part of a registration or any other fee claimed on the expense report.
- D. Required Information. Each claim must clearly indicate the date, nature of expense and amount for which reimbursement is being claimed.
- E. Receipts. Receipts or proof of payment must be submitted with the claim to substantiate expenditures for public carrier fares, rental cars, lodging (indicating the single rate), meals, conference or seminar registration fees, and for any unusual items or items not specifically related to travel. Claims must be recorded and certified on an expense report. For any official business in-transit travel destination, Transportation Authority personnel must provide a receipt and narrative to substantiate claimed travel expenses for lodging and a receipt for any authorized expenses incurred costing over \$25. Itemized receipts shall be obtained and submitted with the expense report. If a receipt cannot be obtained or has been lost for expenses greater than \$25, a statement to that effect shall be made on the expense report and the reason given. In absence of a satisfactory explanation, the amount involved shall not be allowed.
- F. Commissioner Reports. Transportation Authority Commissioners attending a meeting, conference, or training at the expense of the Transportation Authority shall provide a brief **written and oral** report of such at the next regular Board meeting of the Transportation Authority. The report must include a statement of how the Commissioner's attendance has an impact on, or was associated with, Transportation Authority business, and include any materials distributed at the meeting, conference, or training that could be helpful to other Commissioners.
- G. Expenses Not Covered by Transportation Authority Policy. In the event where an expense does not qualify for reimbursement under this policy, to be reimbursable, the expense shall be approved by the Transportation Authority Board, in a public meeting before the expense is incurred, unless the expense is related to lodging in connection with a conference or organized educational activity conducted in compliance with California Government Code s. 54952.2(c), including but not limited to ethics training required by Article 2.4 (commencing with §. 53234) of the Government Code.

V. PREPAYMENT OF CONFERENCE/SEMINAR/TRAINING FEES

All requests for prepayment of conference/seminar/training will be submitted for approval a minimum of ten working days in advance of the conference/seminar/training, unless reasonable justification is provided. If the ten-day requirement cannot be met, Transportation Authority personnel may personally pay registration fees and other expenses at their own risk and seek reimbursement on the expense report.

VI. MEAL EXPENSE

- A. General. Transportation Authority personnel may incur expenses for the purchase of meals for persons not employed by the Transportation Authority, with whom the Transportation Authority is transacting business. The name and business affiliation of the person, as well as the purpose of the business meeting, must be included in the expense report. The maximum per-person expenditure shall not exceed a reasonable amount under the particular circumstances and shall not exceed the set per diem amount established by the GSA or USDOD as appropriate. Actual



costs shall include reasonable and customary gratuities, but not the cost of alcoholic beverages. All such expenditures for personnel must be approved in advance by the Executive Director.

- B. **Restrictions.** The purchase of non-travel-related meals is authorized only when Transportation Authority personnel are required, and where approved in advance by the Executive Director in the following circumstances:
1. to attend a breakfast, lunch or dinner meeting concerning Transportation Authority business affairs because of the official position or duties of the individual;
 2. to attend a meeting between Commissioners and staff when required to conduct Transportation Authority business outside of normal business hours;
 3. to attend consecutive or continuing morning and afternoon and night sessions of a Transportation Authority, Board of Supervisors, city council, commission, district or other public agency meeting to cover an agenda;
 4. to act as host for official guests of the Transportation Authority, such as members of examining boards, official visitors, and speakers or honored guests at banquets or other official functions; and
 5. to attend off-site training events (training workshops, seminars, and retreats) and ready access to reasonably priced meals is not available. The Executive Director may elect to either provide meals to the attendees or authorize individuals to purchase their own meals and claim reimbursement in accordance with provisions of this document.
- C. **Local Area Meals.** Reimbursement for employee meals in the local area must be associated with Transportation Authority business and must be approved in advance by the Executive Director. Meal expenses incurred prior to authorization will be at the risk of the employee. Meals should not exceed the per diem rates and allowances established by the GSA or USDOD as appropriate. Unusual costs must be justified in writing.
- D. **Out-of-Area Meals.** Reimbursement for employee meals during periods of approved trips out-of-area must be approved on the travel authorization form. Reimbursement for out-of-area meals will be based on either actual costs, for which receipts must be provided for expenditures exceeding \$25, and in accordance with the per diem of the federal standard meal allowance, including single day and total trip meal rates, as established by the GSA or USDOD as appropriate. Unusual costs must be justified in writing.
- E. **Special Functions.** Reimbursement for meals at special functions, such as banquet meals at authorized conferences, professional meetings, or special events or functions, may be eligible for reimbursement at rates different than the per diem allowances. Eligibility for such reimbursements is based on pre-approval by the Executive Director or the Transportation Authority Board in accordance with this policy.

VII. LODGING EXPENSES

Reimbursement is allowable for single-room lodging expenses associated with attendance at out-of-area conferences or meetings. The cost of a single room will be reimbursed when travel exceeds the day's duration. Where available, government and group rates must be requested. No reimbursement is authorized for overnight accommodations within the nine Bay Area counties of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano and Sonoma unless prior authorization is granted.



Transportation Authority personnel will be expected to be prudent in the choice of lodging and will submit proper documentation to justify the expense. The Executive Director will approve the lodging as part of the approval of the travel request, and reserves the right to determine which lodging is prudent, based on economic, comfort, safety, and reasonability considerations. If lodging is required in connection with a conference or activity, lodging shall be at the location where the conference or activity is being held. Lodging costs shall not exceed the maximum group rate published by the conference or activity sponsor, provided that the lodging at the group rate is available at the time of booking. If the group rate is not available and the hotel has no remaining vacancies, comparable lodging that is consistent with the requirements of this policy shall be used. No lodging shall be reimbursed on the final day of a conference or activity unless reasonable justification is provided or unless authorized by the Executive Director.

VIII. MEANS OF TRANSPORTATION

A. General. All travel must utilize the most efficient, direct and economical mode of available transportation. Transportation Authority personnel shall use government and group rates offered by providers of transport where available. If for personal convenience, Transportation Authority personnel travel an indirect route and travel is interrupted, any resulting extra expense will be borne by the individual except for reasons beyond the control of the individual. For employees, any resulting excess travel time, except where beyond the control of the employee, will not be considered work time, but will be charged the appropriate type of leave.

Charges or loss of refunds resulting from failure to cancel reservations in accordance with the carrier's rules and time limits will not be reimbursed, unless it can be shown that such failure resulted from circumstances beyond the control of Transportation Authority personnel.

Unused portions of transportation tickets are subject to refund and, when purchased by the Transportation Authority, the individual traveler is responsible to see that they are turned in promptly to secure such a refund.

B. Local Travel. Transportation Authority personnel are encouraged to make optimum use of available public transit services and carpooling for local area travel. The following modes of transportation are to be used in the following priority:

1. public transportation;
2. privately-owned motor vehicles;
3. taxis, cabs, or transportation network companies; and
4. rental cars, after exhausting all other available options.

C. Air and Rail Travel. Transportation Authority personnel shall use coach-class or equivalent accommodations for air and rail travel whenever possible. Any additional fees for seat location upgrades, seat spacing upgrades, or preferential boarding will not be reimbursed unless documentation is provided that there were no other reasonable options available and unless authorized by the Executive Director for special circumstances (e.g. physical or medical conditions).

D. Automobiles

1. Privately-owned Automobile for Official Business

- a. In instances where Transportation Authority personnel use their private automobiles for transportation between their normal work location and other designated work locations (e.g., the site of a meeting), Transportation Authority personnel may be reimbursed for such mileage based upon the standard mileage rate as established by the GSA. When actual mileage exceeds by 10% the reasonable distance between points, Transportation Authority personnel must justify such excess. Inability to do so will result in the reimbursement being based on mileage for the most direct route. Mileage rate of reimbursement will be adjusted as required. Mileage reimbursement for out-of-area trips shall not exceed the cost of the most efficient and economical direct air rate. Transportation Authority personnel who use their privately-owned motor vehicles for transportation while on official Transportation Authority business must carry at least the minimum automobile liability insurance for privately-owned motor vehicles as required by the State of California. Reimbursement for this minimum automobile liability insurance coverage shall not be allowed. When using privately-owned motor vehicles, Transportation Authority personnel will not be reimbursed for any damages that may occur.
- b. Charges for ferries, bridges, tunnels, or toll roads will be allowed. Reasonable charges will also be allowed for necessary parking.
- c. Property damage to the automobile owned by Transportation Authority personnel incurred without fault or cause of the traveler shall be reimbursed in an amount up to \$250 or the amount of the deductible on the traveler's auto insurance policy, whichever is the lesser amount, for each accident. The Transportation Authority will assume an assignment of subrogation rights up to the amount expended, for recovery of such sums from third parties, known or unknown at the time of such payment.
- d. In order to be paid mileage for travel which originates other than at the normal work location, the mileage must be in excess of that normally driven from the traveler's residence to and from the normal work location. The requesting traveler will include justification in the expense report. In the absence of satisfactory justification, the mileage expense shall not be allowed.

2. Rental Automobiles

- a. Rental automobiles may be used when such rental is considered to be more advantageous to the Transportation Authority than the use of other means of transportation. Advance reservations should be made whenever possible and Transportation Authority personnel are expected to be prudent in the selection of an automobile model.
- b. The traveler must obtain full collision coverage. Any additional charge for this coverage will be allowed for reimbursement.
- c. Charges for ferries, bridges, tunnels, or toll roads will be allowed. Reasonable charges will also be allowed for necessary parking.

E. Other Modes of Transportation. Limousine, taxi and transportation network company fares will be allowed for travel where public transportation is not practical or available. Examples may include,



but are not limited to, travel between transportation terminal and hotel, between hotel and place of business, and between places of business.

- F. Reimbursement. Unless otherwise provided above, the Transportation Authority will reimburse its personnel for transportation at the rates established by the GSA or USDOD as appropriate.

IX. BAGGAGE

Charges incurred for excess baggage will be reimbursed if justified as necessary for the purpose of the trip. An explanation of the circumstances and payment receipts must accompany the claim for reimbursement. Charges for checking and handling of baggage, including reasonable and customary gratuities will be allowed.



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Cynthia Fong – Deputy Director for Finance and Administration
Subject: 07/11/17 Board Meeting: Approval of the Revised Debt, Fiscal, Investment, Procurement and Travel, Conference, Training and Business Expense Reimbursement Policies

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <p>Approve the revised policies:</p> <ul style="list-style-type: none"> • Debt • Fiscal • Investment • Procurement • Travel, Conference, Training and Business Expense Reimbursement <p>SUMMARY</p> <p>The purpose of this memorandum is to present staff recommendations for updates to the Transportation Authority’s policies. Below are brief descriptions of each policy and procedure, and attached are the proposed policies with red-line changes.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Fund Allocation <input type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input type="checkbox"/> Contract/Agreement <input type="checkbox"/> Procurement <input checked="" type="checkbox"/> Other: <u>Policies</u>
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DISCUSSION

Background.

The Transportation Authority develops and implements policies and procedures to organize and formalize agency activities, and to ensure compliance with current statutes and Transportation Authority objectives.

It is Transportation Authority direction to review its Debt Policy annually, to maintain prudent debt management principles and to maximize the Transportation Authority’s debt capacity, and its Investment Policy annually, to ensure policy language remains consistent with its governing code, while continuing to meet the primary investment objectives of safety of principal, liquidity, and a return on investment consistent with both the risk and cash flow characteristics of the Transportation Authority’s portfolio. While the Transportation Authority is not required to annually review its Administrative Code, Rules of Order, Equal Benefits, Fiscal, Procurement, and Travel, Conference, Training and Business Expense Reimbursement Policies, it is good management practice to do so on a regular basis.

Debt Policy: The purpose of the Debt Policy is to organize and formalize debt issuance-related policies and procedures. At the Transportation Authority’s request, the Transportation Authority’s

financial advisor, KNN Public Finance (KNN), the Transportation Authority's bond counsel, Nixon Peabody LLP (Nixon Peabody) and Squire Patton Boggs LLP, reviewed the Debt Policy adopted on June 28, 2016 through Resolution 16-56. Based on that review, we are recommending changes as redlined in Attachment 1.

Fiscal Policy: The purpose of the Fiscal Policy is to guide decisions pertaining to internal fiscal management, including day-to-day operations, annual budget development and sales tax revenue allocation requirements of the Transportation Authority. KNN and Nixon Peabody reviewed the Fiscal Policy adopted on June 28, 2016 through Resolution 16-56, and based on that review, we are recommending changes as redlined in Attachment 2.

Investment Policy: The purpose of the Investment Policy is to set out policies and procedures that enhance opportunities for a prudent and systematic investment policy and to organize and formalize investment-related activities. KNN and Nixon Peabody reviewed the Investment Policy adopted on June 28, 2016 through Resolution 16-56, and based on that review, we are recommending changes as redlined in Attachment 3.

Procurement Policy: The Procurement Policy is designed to guide decisions pertaining to procurement, including the modes, methods and procedures for acquiring the materials, equipment and services necessary to carry out the operations of the Transportation Authority. Staff reviewed the Procurement Policy adopted on January 28, 2014 through Resolution 14-43, and based on that review, we are recommending changes as redlined in Attachment 4.

Travel, Conference, Training and Business Expense Reimbursement Policy: This document establishes a set of policies relating to travel, conference, training and business expenses, and establishes procedures for reimbursement of commissioners and employees. These rules and guidelines are designed to safeguard public funds and to ensure the Transportation Authority and its personnel are using the most economical and well-documented procedures in a consistent manner. Based on the Transportation Authority's review of the Travel, Conference, Training and Business Expense Reimbursement Policy adopted on June 28, 2016 through Resolution 16-56, we are recommending changes as red-lined in Attachment 5.

FINANCIAL IMPACT

The recommended action would not have an impact on the adopted Fiscal Year 2017/18 budget.

CAC POSITION

The CAC considered this item at its June 28, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

Attachment 1 – Proposed Debt Policy

Attachment 2 – Proposed Fiscal Policy

Attachment 3 – Investment Policy

Attachment 4 – Proposed Procurement Policy

Attachment 5 – Travel, Conference, Training and Business Expense Reimbursement Policy

RESOLUTION EXECUTING AMENDMENT NO. 1 TO THE MEMORANDUM OF AGREEMENT WITH THE TREASURE ISLAND DEVELOPMENT AUTHORITY FOR YERBA BUENA ISLAND VISTA POINT OPERATION SERVICES TO INCREASE THE AMOUNT BY \$100,000 TO A TOTAL AMOUNT NOT TO EXCEED \$600,000 AND EXTENDING THE AGREEMENT THROUGH JUNE 30, 2018, AND AUTHORIZING THE EXECUTIVE DIRECTOR TO MODIFY AMENDMENT TERMS AND CONDITIONS

WHEREAS, In anticipation of the new Eastern Span bicycle/pedestrian path extension to YBI, which was completed in fall 2016, the Transportation Authority, the Treasure Island Development Authority (TIDA), Caltrans, Bay Area Toll Authority (BATA), and the United States Coast Guard collectively determined it would be advantageous to design and construct temporary trail landing Vista Point improvements on Yerba Buena Island (YBI), adjacent to the San Francisco-Oakland Bay Bridge bicycle/pedestrian path touch down area; and

WHEREAS, These improvements were opened to the public in early May 2017 and provide a temporary larger, more amenable Vista Point type setting, including but not limited to a hydration station, portable restrooms, bike racks, shuttle from Treasure Island and pedestrian crosswalk; and

WHEREAS, With the Vista Points improvements opened to the public, ongoing maintenance, security and operational activities are required; and

WHEREAS, In October 2016, through Resolution 17-08, the Transportation Authority approved a Memorandum of Agreement (MOA) with TIDA for the YBI Vista Point Operation Services in an amount not to exceed \$500,000 through June 30, 2017; and

WHEREAS, Under the terms of the MOA, TIDA will utilize its existing resources to provide janitorial, landscape maintenance, security, transportation shuttle, and other services for the Vista Point area, and the Transportation Authority will compensate TIDA for these service expenses; and



WHEREAS, The Vista Point improvements are planned to be in service until December 31, 2018, or until the realigned and reconstructed Macalla Road (constructed by TIDA) is completed, whichever occurs first; and

WHEREAS, Since November 2016, Vista Point Operations costs incurred are approximately \$245,000, with an anticipated cost of \$355,000 for Fiscal Year 2017/18, mostly due to the increased level of transportation shuttle services provided; and

WHEREAS, The total estimated cost for the Vista Point improvements is \$2 million, with BATA providing \$1 million of Toll Bridge Funds and the Transportation Authority's providing \$1 million of Federal Highway Bridge Program and State Prop 1B Seismic Retrofit funds, previously awarded to the Transportation Authority from Caltrans; and

WHEREAS, The Fiscal Year 2017/18 year's activities of the MOA are included in the Transportation Authority's adopted Fiscal Year 2017/18 budget; and

WHEREAS, At its June 28, 2017 meeting, the Citizens Advisory Committee considered the subject request and unanimously adopted a motion of support for the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby authorizes the Executive Director to execute Amendment No. 1 to the MOA with TIDA for YBI Vista Point operation services to increase the amount by \$100,000 to a total amount not to exceed \$600,000 and extend the agreement through June 30, 2018; and be it further

RESOLVED, That the Executive Director is authorized to modify amendment terms and conditions.



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Eric Cordoba – Deputy Director for Capital Projects
Subject: 07/11/17 Board Meeting: Execution of Amendment No. 1 to the Memorandum of Agreement with the Treasure Island Development Authority for Yerba Buena Island Vista Point Operation Services to Increase the Amount by \$100,000, to a Total Amount Not to Exceed \$600,000, and Extend the Agreement through June 30, 2018

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <ul style="list-style-type: none"> • Execute Amendment No. 1 to the Memorandum of Agreement (MOA) with the Treasure Island Development Authority (TIDA) for the Yerba Buena Island (YBI) Vista Point Operation Services to increase the amount by \$100,000, to a total amount not to exceed \$600,000, and extend the agreement through June 30, 2018 • Authorize the Executive Director to modify amendment terms and conditions <p>SUMMARY</p> <p>The Transportation Authority has been working in collaboration with TIDA to operate and maintain the YBI Vista Point facility since November 2016. Amendment No. 1 to the MOA will increase the total agreement amount to \$600,000 and extend the termination date to June 30, 2018.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Fund Allocation <input type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input checked="" type="checkbox"/> Contract/Agreement <input type="checkbox"/> Procurement <input type="checkbox"/> Other: _____
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DISCUSSION

Background.

In anticipation of the new Eastern Span bicycle/pedestrian path extension to YBI, which was completed in fall 2016, the Transportation Authority, TIDA, Caltrans, Bay Area Toll Authority (BATA), and the United States Coast Guard (USCG) collectively determined it would be advantageous to design and construct temporary trail landing Vista Point improvements on YBI, adjacent to the San Francisco-Oakland Bay Bridge bicycle/pedestrian path touch down area. These improvements were opened to the public in early May 2017 and provide a temporary larger, more amenable Vista Point type setting (on USCG property – Quarters 9), including but not limited to a hydration station, portable restrooms, bike racks, shuttle from Treasure Island and pedestrian crosswalk. The opening of Vista Point coincided with Caltrans’ expansion of the hours of the bicycle/pedestrian path to weekdays as well as weekends. The Vista Point is open the same hours as the bicycle/pedestrian path. Shuttle operations started in November 2016 and constitute the majority of the operations cost. With the Vista Points improvements opened to the public, ongoing maintenance, security and operational activities are required.

Memorandum of Agreement.

In October 2016, through Resolution 17-08, the Transportation Authority approved a MOA with TIDA for the YBI Vista Point Operation Services in an amount not to exceed \$500,000 through June 30, 2017. Under the terms of the MOA, TIDA will utilize its existing resources to provide janitorial, landscape maintenance, security, transportation shuttle, and other services for the Vista Point area, and the Transportation Authority will compensate TIDA for these service expenses. The Vista Point improvements are planned to be in service until December 31, 2018, or until the realigned and reconstructed Macalla Road (constructed by TIDA) is completed, whichever occurs first. Since November 2016, Vista Point Operations costs incurred are approximately \$245,000, with an anticipated cost of \$355,000 for Fiscal Year 2017/18, mostly due to the increased level of transportation shuttle services provided. A shuttle, equipped to transport up to eight bicycles, operates 15- to 20-minute service between Vista Point and Treasure Island on Saturdays and Sundays.

Amendment No. 1 to the MOA will increase the total agreement amount by \$100,000 to a total amount not to exceed \$600,000 and extend the termination date to June 30, 2018. By June 30, 2018, the Transportation Authority will seek Board approval again to extend the term through the end of service.

FINANCIAL IMPACT

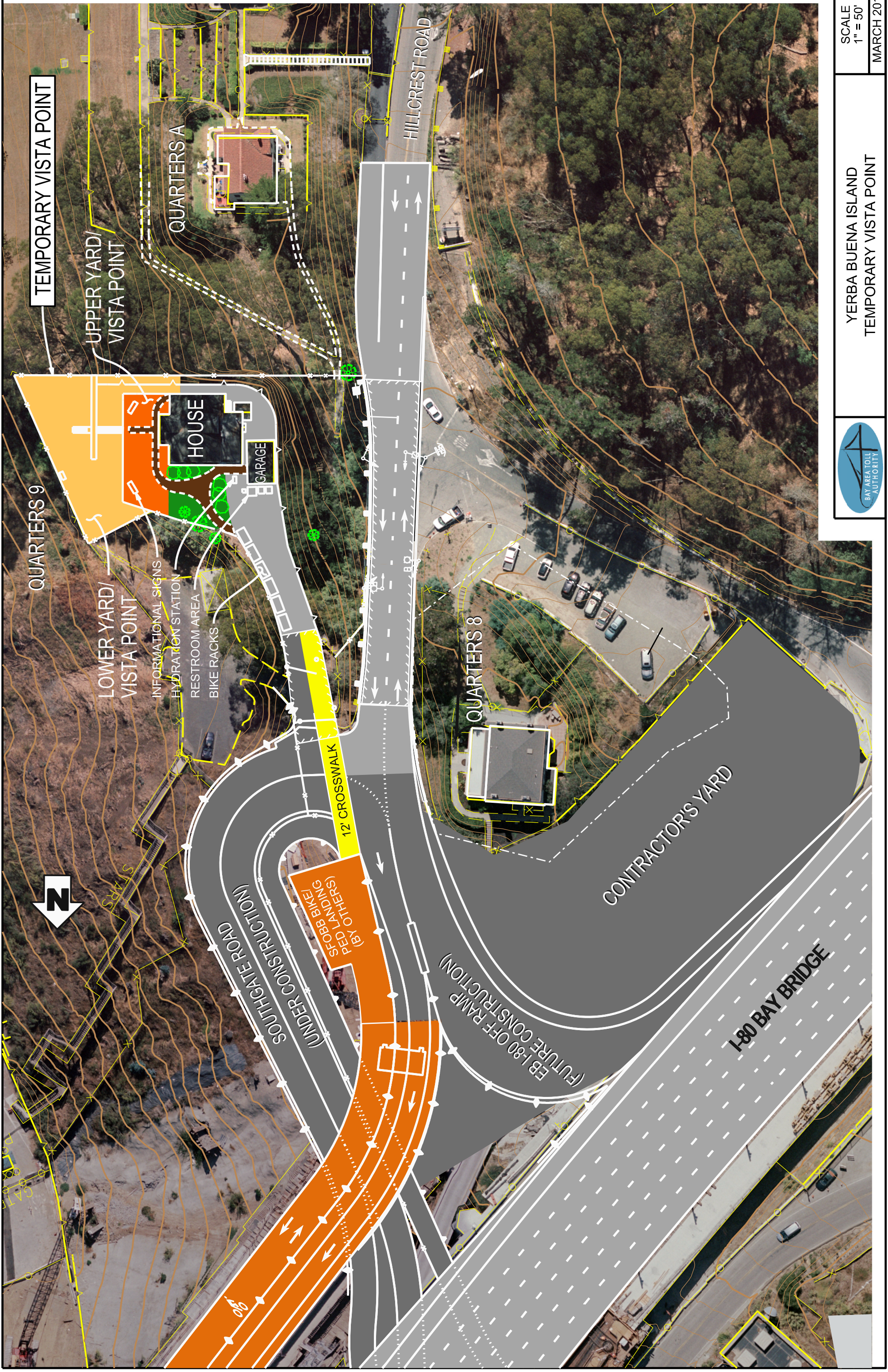
The total estimated cost for the Vista Point improvements is \$2 million. BATA will provide \$1 million of Toll Bridge Funds for its share of the cost and the Transportation Authority's \$1 million share will be funded with Federal Highway Bridge Program and State Prop 1B Seismic Retrofit funds, previously awarded to the Transportation Authority from Caltrans. Fiscal Year 2017/18 year's activities of the MOA are included in the Transportation Authority's adopted Fiscal Year 2017/18 budget.

CAC POSITION

The CAC considered this item at its June 28, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

Attachment 1 – Map of Yerba Buena Island Vista Point Improvements





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RESOLUTION AWARDING A FOUR-YEAR PROFESSIONAL SERVICES CONTRACT TO WSP USA, INC. IN AN AMOUNT NOT TO EXCEED \$5,500,000 FOR CONSTRUCTION MANAGEMENT SERVICES FOR THE YERBA BUENA ISLAND WESTSIDE BRIDGES PROJECT, AND AWARDING A TWO-YEAR PROFESSIONAL SERVICES CONTRACT TO S&C ENGINEERS, INC. IN AN AMOUNT NOT TO EXCEED \$3,000,000 FOR CONSTRUCTION MANAGEMENT SERVICES FOR THE YERBA BUENA ISLAND SOUTHGATE ROAD REALIGNMENT IMPROVEMENTS PROJECT, AND AUTHORIZING THE EXECUTIVE DIRECTOR TO NEGOTIATE CONTRACT PAYMENT TERMS AND NON-MATERIAL CONTRACT TERMS AND CONDITIONS

WHEREAS, The Transportation Authority has been working jointly with the Treasure Island Development Authority (TIDA) and the Office of Economic and Workforce Development on the development of the I-80/Yerba Buena Island (YBI) Interchange Improvement Project; and

WHEREAS, The Transportation Authority is in the process of completing the YBI Ramps Improvement Project – Phase 1, which included constructing new westbound on and off ramps to the new Eastern Span of the San Francisco-Oakland Bay Bridge, and is now proceeding with implementation of two additional construction projects including the YBI Westside Bridges and YBI Southgate Road Realignment Improvements Projects; and

WHEREAS, The YBI Westside Bridges encompasses eight existing bridge structures on the west side of YBI; and

WHEREAS, The project purpose is to bring the bridge structures up to current seismic safety standards, and to accomplish this, five structures will be seismically retrofitted and three structures will be demolished and replaced with realigned roadway, an overcrossing structure, and new retaining walls; and



WHEREAS, The YBI Southgate Road Realignment Improvements are Phase 2 of the YBI Ramps project and are being fast-tracked since they are required to be completed before the YBI Westside Bridges Project can be constructed; and

WHEREAS, The YBI Southgate Road Realignment Improvements will increase the length of the on-ramp and off-ramp on a new alignment to allow the YBI Westbound Ramps Project to function as designed; and

WHEREAS, On May 12, 2017, the Transportation Authority issued a Request for Proposals (RFP) for construction management services for these projects; and

WHEREAS, The Transportation Authority received three proposals in response to the RFP by the due date of June 12, 2017; and

WHEREAS, A multi-agency technical review panel comprised of staff from the Transportation Authority, TIDA and the San Francisco Municipal Transportation Agency interviewed all three firms on January 22, 2017; and

WHEREAS, Based on the results of this competitive selection process, the panel recommended award of professional services contracts to WSP USA Inc. (WSP) to provide construction management services for the YBI Westside Bridges Project and S&C Engineers, Inc. (S&C Engineers) to provide construction management services for the YBI Southgate Road Realignment Improvement Project; and

WHEREAS, The contract for the YBI Westside Bridges project will be 100% reimbursed through a combination of Federal Highway Bridge Program (HBP), State Prop 1B and TIDA funds, and the contract for the Southgate Road Realignment Improvements project will be 100% reimbursed through a combination of Federal HBP, State Prop 1B, and Bay Area Toll Authority funds; and

WHEREAS, The first year's activities for both contracts are included in the adopted Fiscal Year 2017/18 budget and sufficient funds will be included in future year budgets to cover the remaining cost of the contracts; and

WHEREAS, At its June 28, 2017 meeting, the Citizens Advisory Committee considered and unanimously adopted a motion of support for the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby awards a four-year professional services contract to WSP in an amount not to exceed \$5,500,000 for construction management services for the YBI Westside Bridges Project, and a two-year professional services contract with S&C Engineers in an amount not to exceed \$3,000,000 for construction management services for the YBI Southgate Road Realignment Improvements Project; and be it further

RESOLVED, That the Executive Director is hereby authorized to negotiate contract payment terms and non-material contract terms and conditions; and be it further

RESOLVED, That for the purposes of this resolution, "non-material" shall mean contract terms and conditions other than provisions related to the overall contract amount, terms of payment, and general scope of services; and be it further

RESOLVED, That notwithstanding the foregoing and any rule or policy of the Transportation Authority to the contrary, the Executive Director is expressly authorized to execute agreements and amendments to agreements that do not cause the total agreement value, as approved herein, to be exceeded and that do not expand the general scope of services.

Attachments (2):

1. Scope of Services for the YBI Westside Bridges Project
2. Scope of Services for the YBI Southgate Road Realignment Improvements

Attachment 1

Construction Management Services for the Yerba Buena Island Westside Bridges Project Scope of Services

The Transportation Authority will be using the Construction Manager/General Contractor (CM/GC) project delivery method for the YBI Westside Bridges project. The construction management contract for the Yerba Buena Island Westside Bridges Project will consist of a three-phase effort with Phase 1 consisting of pre-construction services; Phase 2 consisting of construction phase management services, and Phase 3 consisting of post construction phase services.

The construction management (CM) services required will include:

Phase 1 - Pre-Construction Services with CM/GC Project Delivery Method

- Resident Engineer or a small team from the CM services team will be involved in the pre-construction phase, along with other participants including Design Consultant, CM/GC and Independent Cost Estimator (ICE), Owner, etc.
- Provide ICE with the following experience construction cost estimator knowledge, skills, and experience:
 - For the Lead Structure and Civil Cost Estimator roles (may be performed by the same person), preference will be given to individuals who have:
 - Proficiency in production-based, heavy civil estimation software platforms
 - Experience performing contractor-style, production-based cost estimates for major bridge, tieback walls and soil nail walls of projects of similar scope, size and complexity to the YBI Westside Bridges project, including experience with:
 - Tall bridge piers,
 - CIDH and CISS foundations,
 - Bridge seismic retrofit,
 - Bridge demolition,
 - Large retaining walls,
 - Steep terrain,
 - Hard rock excavation, and
 - Roadway and interchange work.
 - Experience estimating costs for projects in locations that encounter geotechnical and environmental conditions similar to those encountered at the Project site.
 - Ten or more years of recent and relevant estimating experience in all trades of heavy civil and transportation, along with a knowledge of construction means, methods, and equipment in these areas.
 - Experience with identifying, assessing and pricing risk.

- Experience working on CM/GC projects and an understanding of the CM/GC delivery method, including the roles and responsibilities of the various parties (owner, CM/GC, Design Consultant, ICE, CM) involved.
 - Experience working with owners, designers, and CM/GCs, serving as an Independent Cost Estimator on a CM/GC project(s).
 - Experience working for a construction contractor estimating and/or managing construction projects that are relevant to the YBI Westside Bridges project.
 - Experience estimating projects with Disadvantage Business Enterprise (DBE) including experience in DBE outreach and pricing of DBE work in construction contracts.
- The ICE construction cost estimating scope of services to be provided includes, but is not limited to, the following:
 - Provide an early (prior to 35% Opinion of Probable Construction Cost (OPCC)) independent analysis of cost and schedule impacts for design alternatives (e.g., bridge and wall types) under consideration.
 - Provide independent cost estimates during final design, utilizing contractor style (production-based) methodologies and production-based heavy civil estimating software platforms. Cost estimates are expected to occur at three pricing milestones during the design phase (35%, 65%, 95%) and for the bid for each construction contract (work package). The bid will take place at the point in time when the Transportation Authority, the Design Consultant, and the CM/GC Contractor agree that the Project has been designed to a sufficient level of detail to allow the CM/GC Contractor to accurately bid the Project or work package.
 - Provide summary and detailed cost breakdowns and translate production-based estimates into Transportation Authority unit price estimate format. Utilize Transportation Authority standards with a demonstrated familiarity of California labor laws.
 - Bid review and assessment for recommendation in award of a construction contract.
 - Attend reconciliation meetings between the Transportation Authority and the CM/GC Contractor at pricing milestones and after bid submittal (as necessary) for each contract or work package. The CM/GC Contractor's responsibility at these meetings is to gain a common understanding of bidding assumptions (including means and methods, equipment, material costs, and risk assignment) and advise the Project Team if there are more cost effective ways of accomplishing the work.
 - Provide feedback on risk management which may include risk identification, assessment, cost quantification, and assignment of the probability of occurrence. Document cost savings and efficiencies through the risk management process.
 - Provide assistance to the Project Team with respect to determining cost impacts of: project phasing, labor availability, mobilization and site access, sequence of design and construction, and availability and procurement of equipment and materials.
 - Attend and participate in the following meetings:
 - Initial Kickoff Meeting;
 - Design workshops prior to each pricing milestone and bid;

- Risk workshops prior to each pricing milestone and bid;
 - Price reconciliation meeting(s) following each pricing milestone and bid; and
 - Regular Project Team meetings/conference calls (anticipated to occur each week) during the pre-construction phase of the Project to discuss work in progress, work completed, upcoming priorities, issues, and risks to the Project scope, schedule review and update, and any budget or contract issues. It is anticipated that the ICE will be required to attend, in-person, one of these meetings per month at a co-located project facility, to be determined in the San Francisco areas. The ICE will be expected to participate remotely (conference call/web) in the remaining regularly scheduled Project Team meetings.
- Maintain meeting minutes, including participation, topics, actions items, and decisions made.
 - The construction of this Project will be funded, in part, by Federal Funds and will include a DBE goal for each federally funded construction contract. The CM/GC Contractor will be expected to engage in DBE outreach, including interviewing potential DBEs, to estimate the cost of construction while meeting the specified goal.
 - Demonstrate practicality in approach and concentrate remarks and discussions on critical path and high-risk activities as identified in the Risk /Opportunity Register that will be developed during the Risk Workshops and maintained by the Transportation Authority and the Design Consultant.
 - Provide schedule and cost analysis, as needed, for any change orders issued during the construction phase of the Project.

Phase 2 – Construction Phase Services

- Process construction contract for execution by the contractor.
- Arrange for, coordinate and conduct a pre-construction conference, including preparation of meeting minutes.
- Complete review, comment and approval of the Construction Contractor’s baseline schedule of work.
- Perform all necessary construction administration functions as required by the Transportation Authority’s Construction Contract Administration Procedures, Caltrans Standard Specifications, the project Special Provisions, and Caltrans Construction and Local Assistance Procedures Manual including:
 - Perform all required field inspection activities, monitor contractor’s performance and enforce all requirements of applicable codes, specifications, and contract drawings.
 - Provide inspectors for day-to-day on the job observation/inspection of work. The inspectors shall make reasonable efforts to guard against defects and deficiencies in the work of the Construction Contractor and to ensure that provisions of the contract documents are being met.
 - Prepare daily inspection reports documenting observed construction activities.

- Hold weekly progress meetings, weekly or as deemed necessary, between contractors, the Transportation Authority, Caltrans oversight, USCG, TIDA, the City and other interested parties. Prepare and distribute minutes of all meetings.
- Take photographs and videotape recordings of pre-construction field conditions, during construction progress, and post construction conditions.
- Prepare and recommend contractor progress payments including measurements of bid items. Negotiate differences over the amount with the contractor and process payments through the Transportation Authority Project Manager.
- Monitor project budget, purchases and payment.
- Prepare monthly progress reports documenting the progress of construction describing key issues cost status and schedule status.
- Prepare quarterly project status newsletters.
- Establish and process project control documents including:
 - Daily inspection diaries
 - Weekly progress reports
 - Monthly construction payments
 - Requests for Information (RFI)
 - Material certifications
 - Material Submittals
 - Weekly Statement of Working Days
 - Construction Change Orders
 - Review of certified payrolls
- Review of construction schedule updates:
 - Review construction contractor's monthly updates incorporating actual progress, weather delays and change order impacts. Compare work progress with planned schedule and notify construction contractor of project slippage. Review Construction Contractor's plan to mitigate schedule delay. Analyze the schedule to determine the impact of weather and change orders.
- Evaluate, negotiate, recommend, and prepare change orders. Perform quantity and cost analysis as required for negotiation of change orders.
- Analyze additional compensation claims submitted by the Construction Contractor and prepare responses. Perform claims administration including coordinating and monitoring claims responses, logging claims and tracking claims status.
- Process all Construction Contractor submittals and monitor design consultant and Caltrans review activities.
- Review, comment and facilitate responses to RFI's. Prepare responses to RFI on construction issues. Transmit design related RFI's to designer. Conduct meetings with Construction Contractor and other parties as necessary to discuss and resolve RFI's.

- Act as construction project coordinator and the point of contact for all communications and interaction with the Construction Contractor, Caltrans, USCG, TIDA, the City, US Navy, project designer and all affected parties.
- Schedule, manage and perform construction staking in accordance with the methods, procedures and requirements of Caltrans Surveys Manual and Caltrans Staking Information Booklet.
- Schedule, manage, perform and document all field and laboratory testing services. Ensure the Construction Contractor furnishes Certificates of Compliance or source release tags with the applicable delivered materials at the project site. Materials testing shall conform to the requirements and frequencies as defined in the Transportation Authority's Construction Contract Administration Procedures, Caltrans Construction Manual and the Caltrans Materials Testing Manuals.
- Coordinate and meet construction oversight requirements of Caltrans, USCG, TIDA, the City and the US Navy for work being performed within the respective jurisdictions. Construction Manager shall be responsible for coordinating with Caltrans, USCG, TIDA and the City regarding traffic control measures, press releases, responses to public inquiries, and complaints regarding the project.
- Oversee environmental mitigation monitoring performed under a separate contract by the Transportation Authority's design and environmental consultant team. Monitor and enforce Construction Contractor SWPPP compliance.
- Enforce safety and health requirements and applicable regulations for the protection of the public and project personnel.
- Facilitate all necessary utility coordination with respective utility companies.
- Provide coordination and review of Construction Contractor's detours and staging plans with Caltrans, and SFOBB construction management staff.
- Maintain construction documents per Federal and State requirements. Enforce Labor Compliance requirements.
- Quality Assurance/Quality Control (QA/QC) – Establish and implement a QA/QC procedure for construction management activities undertaken by in-house staff and by subconsultants. The QA/QC procedure set forth for the project shall be consistent with Caltrans' most recent version of the "Guidelines for Quality Control/Quality Assurance for Project Delivery". Enforce Quality Assurance requirements.

Phase 3 - Post-Construction Services

- Perform Post Construction Phase activities including:
 - Prepare initial punch list and final punch list items.
 - Finalize all bid item, claims, and change orders. Provide contract change order documentation to project designer. Coordinate preparation of record drawings (as-built drawings) by project designer.

- Provide final inspection services and project closeout activities, including preparation of a final construction project report per Federal and State requirements.
- Turn all required construction documents over to Transportation Authority and Caltrans for archiving.

General Project Administration

The Construction Manager will also perform the following general project administrative duties:

- a) Prepare a monthly summary of total construction management service charges made to each task. This summary shall present the contract budget for each task, any re-allocated budget amounts, the prior billing amount, the current billing, total billed to date, and a total percent billed to date. Narratives will contain a brief analysis of budget-to-actual expenditure variances, highlighting any items of potential concern for Transportation Authority consideration before an item becomes a funding issue.
- b) Provide a summary table in the format determined by the Transportation Authority indicating the amount of DBE firm participation each month based upon current billing and total billed to date.
- c) Provide a monthly invoice in the standard format determined by the Transportation Authority that will present charges by task, by staff members at agreed-upon hourly rates, with summary expense charges and subconsultant charges. Detailed support documentation for all Construction Manager direct expenses and subconsultant charges will be attached.

The selected Construction Manager shall demonstrate the availability of qualified personnel to perform construction engineering and construction contract administration.

The Construction Manager shall maintain a suitable construction field office in the project area for the duration of the project. Under a separate contract with the Transportation Authority, the Construction Contractor will be required to provide a construction trailer for the construction management team's use which shall include desks, layout table, phone, computers, fax machine, reproduction machine, file cabinets and for use for weekly construction meetings. The Construction Manager shall provide all necessary safety equipment required for their personnel to perform the work efficiently and safely. The Construction Manager personnel shall be provided with radio or cellular-equipped vehicles, digital camera, and personal protective equipment suitable for the location and nature of work involved.

The Construction Manager shall provide for the consultant field personnel a fully operable, maintained and fueled pick-up truck which is suitable for the location and nature of work to be performed (automobiles and vans without side windows are not suitable). Each vehicle shall be equipped with an amber flashing warning light visible from the rear and having a driver control switch.

The Construction Manager field personnel shall perform services in accordance with Caltrans and FHWA criteria and guidelines and subject to the following general requirements:

All reports, calculations, measurements, test data and other documentation shall be prepared on forms specified and/or consistent with Caltrans standards.

All construction management services and construction work must comply with the requirements of the Transportation Authority, Caltrans, USCG and TIDA. The selected Construction Manager will report directly to Eric Cordoba, the Transportation Authority's Project Manager.

The Construction Manager shall demonstrate competency in all fields of expertise required by this RFP. The Transportation Authority is undertaking this effort in its capacity as the Congestion Management Agency (CMA) for San Francisco and in cooperation with TIDA, the City's Mayor's Office, and Caltrans District 4.

Attachment 2
Construction Management Services for the Yerba Buena Island Southgate Road
Realignment Improvements
Scope of Services

The Transportation Authority will be using the more traditional Design-Bid-Build project delivery method for Yerba Buena Island (YBI) Southgate Road Realignment Improvements. The construction management contract for the YBI Southgate Road Realignment Improvements project will consist of a three-phase effort with Phase 1 consisting of pre-construction services; Phase 2 consisting of construction phase management services, and Phase 3 consisting of post construction phase services.

The construction management (CM) services required will include:

Phase 1 – Pre-Construction Services

- Perform constructability review of the construction contract documents (construction plans, special provisions, bid proposal and relevant information) for the project and submit a constructability report on discrepancies, inconsistencies, omissions, ambiguities, proposed changes and recommendations.
- Perform biddability review of the 100% contract documents (construction plans, special provisions, bid proposal and relevant information) for the project and submit a biddability report on discrepancies, inconsistencies, omissions, ambiguities, proposed changes and recommendations.
- Prepare a detailed CPM construction schedule including pre-construction and construction activities.
- Management of the construction contract bidding phase; and management of the pre-bid conference and bid opening procedures including review of bids, bid bonds, insurance certificates and related contractor bid proposal submittals; and assist the Transportation Authority in selecting the recommended lowest qualified bidder.
- Process construction contract for execution by the contractor.
- Arrange for, coordinate and conduct a pre-construction conference, including preparation of meeting minutes.
- Complete review, comment and approval of the Construction Contractor’s baseline schedule of work.

Phase 2 – Construction Phase Services

- Perform all necessary construction administration functions as required by the Transportation Authority’s Construction Contract Administration Procedures, Caltrans Standard Specifications, the project Special Provisions, and Caltrans Construction and Local Assistance Procedures Manual including:
 - Perform all required field inspection activities, monitor contractor’s performance and enforce

- all requirements of applicable codes, specifications, and contract drawings.
- Provide inspectors for day-to-day on the job observation/inspection of work. The inspectors shall make reasonable efforts to guard against defects and deficiencies in the work of the Construction Contractor and to ensure that provisions of the contract documents are being met.
 - Prepare daily inspection reports documenting observed construction activities.
 - Hold weekly progress meetings, weekly or as deemed necessary, between contractors, the Transportation Authority, Caltrans oversight, USCG, TIDA, the City and other interested parties. Prepare and distribute minutes of all meetings.
 - Take photographs and videotape recordings of pre-construction field conditions, during construction progress, and post construction conditions.
 - Prepare and recommend contractor progress payments including measurements of bid items. Negotiate differences over the amount with the contractor and process payments through the Transportation Authority Project Manager.
 - Monitor project budget, purchases and payment.
 - Prepare monthly progress reports documenting the progress of construction describing key issues cost status and schedule status.
 - Prepare quarterly project status newsletters.
 - Establish and process project control documents including:
 - Daily inspection diaries
 - Weekly progress reports
 - Monthly construction payments
 - Requests for Information (RFI)
 - Material certifications
 - Material Submittals
 - Weekly Statement of Working Days
 - Construction Change Orders
 - Review of certified payrolls
 - Review of construction schedule updates:
 - Review construction contractor's monthly updates incorporating actual progress, weather delays and change order impacts. Compare work progress with planned schedule and notify construction contractor of project slippage. Review Construction Contractor's plan to mitigate schedule delay. Analyze the schedule to determine the impact of weather and change orders.
 - Evaluate, negotiate, recommend, and prepare change orders. Perform quantity and cost analysis as required for negotiation of change orders.
 - Analyze additional compensation claims submitted by the Construction Contractor and prepare responses. Perform claims administration including coordinating and monitoring claims

responses, logging claims and tracking claims status.

- Process all Construction Contractor submittals and monitor design consultant and Caltrans review activities.
- Review, comment and facilitate responses to RFI's. Prepare responses to RFI on construction issues. Transmit design related RFI's to designer. Conduct meetings with Construction Contractor and other parties as necessary to discuss and resolve RFI's.
- Act as construction project coordinator and the point of contact for all communications and interaction with the Construction Contractor, Caltrans, USCG, TIDA, the City, US Navy, project designer and all affected parties.
- Schedule, manage and perform construction staking in accordance with the methods, procedures and requirements of Caltrans Surveys Manual and Caltrans Staking Information Booklet.
- Schedule, manage, perform and document all field and laboratory testing services. Ensure the Construction Contractor furnishes Certificates of Compliance or source release tags with the applicable delivered materials at the project site. Materials testing shall conform to the requirements and frequencies as defined in the Transportation Authority's Construction Contract Administration Procedures, Caltrans Construction Manual and the Caltrans Materials Testing Manuals.
- Coordinate and meet construction oversight requirements of Caltrans, USCG, TIDA, the City and the US Navy for work being performed within the respective jurisdictions. Construction Manager shall be responsible for coordinating with Caltrans, USCG, TIDA and the City regarding traffic control measures, press releases, responses to public inquiries, and complaints regarding the project.
- Oversee environmental mitigation monitoring performed under a separate contract by the Transportation Authority's design and environmental consultant team. Monitor and enforce Construction Contractor SWPPP compliance.
- Enforce safety and health requirements and applicable regulations for the protection of the public and project personnel.
- Facilitate all necessary utility coordination with respective utility companies.
- Provide coordination and review of Construction Contractor's detours and staging plans with Caltrans, and San Francisco Bay Bridge construction management staff.
- Maintain construction documents per Federal and State requirements. Enforce Labor Compliance requirements.
- Quality Assurance/Quality Control (QA/QC) – Establish and implement a QA/QC procedure for construction management activities undertaken by in-house staff and by subconsultants. The QA/QC procedure set forth for the project shall be consistent with Caltrans' most recent version of the "Guidelines for Quality Control/Quality Assurance for Project Delivery". Enforce Quality Assurance requirements.

Phase 3 – Post-Construction Services

- Perform Post Construction Phase activities including:
 - Prepare initial punch list and final punch list items.
 - Finalize all bid item, claims, and change orders. Provide contract change order documentation to project designer. Coordinate preparation of record drawings (as-built drawings) by project designer.
 - Provide final inspection services and project closeout activities, including preparation of a final construction project report per Federal and State requirements.
 - Turn all required construction documents over to Transportation Authority and Caltrans for archiving.

General Project Administration

The Construction Manager will also perform the following general project administrative duties:

- a) Prepare a monthly summary of total construction management service charges made to each task. This summary shall present the contract budget for each task, any re-allocated budget amounts, the prior billing amount, the current billing, total billed to date, and a total percent billed to date. Narratives will contain a brief analysis of budget-to-actual expenditure variances, highlighting any items of potential concern for Authority consideration before an item becomes a funding issue.
- b) Provide a summary table in the format determined by the Transportation Authority indicating the amount of DBE firm participation each month based upon current billing and total billed to date.
- c) Provide a monthly invoice in the standard format determined by the Transportation Authority that will present charges by task, by staff members at agreed-upon hourly rates, with summary expense charges and subconsultant charges. Detailed support documentation for all Construction Manager direct expenses and subconsultant charges will be attached.

The Construction Manager shall demonstrate the availability of qualified personnel to perform construction engineering and construction contract administration.

The Construction Manager shall maintain a suitable construction field office in the project area for the duration of the project. Under a separate contract with the Transportation Authority, the Construction Contractor will be required to provide a construction trailer for the construction management team's use which shall include desks, layout table, phone, computers, fax machine, reproduction machine, file cabinets and for use for weekly construction meetings. The Construction Manager shall provide all necessary safety equipment required for their personnel to perform the work efficiently and safely. The Construction Manager personnel shall be provided with radio or cellular-equipped vehicles, digital camera, and personal protective equipment suitable for the location and nature of work involved.

The Construction Manager shall provide for the consultant field personnel a fully operable, maintained and fueled pick-up truck which is suitable for the location and nature of work to be performed (automobiles and vans without side windows are not suitable). Each vehicle shall be equipped with an amber flashing warning light visible from the rear and having a driver control switch.

The Construction Manager field personnel shall perform services in accordance with Caltrans and FHWA criteria and guidelines and subject to the following general requirements:

All reports, calculations, measurements, test data and other documentation shall be prepared on forms specified and/or consistent with Caltrans standards.

All construction management services and construction work must comply with the requirements of the Authority, Caltrans, USCG and TIDA. The selected Construction Manager will report directly to Eric Cordoba, the Transportation Authority's Project Manager.

The successful Construction Manager shall demonstrate competency in all fields of expertise required by this RFP. The Transportation Authority is undertaking this effort in its capacity as CMA for San Francisco and in cooperation with TIDA, the City's Mayor's Office, and Caltrans District 04.



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Eric Cordoba – Deputy Director for Capital Projects
Subject: 07/11/17 Board Meeting: Approve a Four-Year Professional Services Contract with WSP USA, Inc. for Construction Management Services for the Yerba Buena Island Westside Bridges Project in an Amount Not to Exceed \$5,500,000, and a Two-Year Professional Services Contract with S&C Engineers, Inc. for Construction Management Services for the Yerba Buena Island Southgate Road Realignment Improvements Project in an Amount Not to Exceed \$3,000,000

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <ul style="list-style-type: none"> • Approve a Four-Year Professional Services Contract with WSP USA Inc. (WSP) for Construction Management Services for the Yerba Buena Island (YBI) Westside Bridges Project in an Amount Not to Exceed \$5,500,000 • Approve a Two-Year Professional Services Contract with S&C Engineers, Inc. (S&C Engineers) for Construction Management Services for the YBI Southgate Road Realignment Improvements Project in an Amount Not to Exceed \$3,000,000 • Authorize the Executive Director to Negotiate Contract Payment Terms and Non-Material Contract Terms and Conditions <p>SUMMARY</p> <p>The Transportation Authority will be administering the YBI Westside Bridges and YBI Southgate Road Realignment Improvements construction work. A Request for Proposals (RFP) for construction management services for both projects was issued in May, three proposals were received, and a multi-agency technical review panel recommended WSP to provide construction management services for the YBI Westside Bridges Project and S&C Engineers to provide construction management services for the YBI Southgate Road Realignment Improvements Project.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Fund Allocation <input type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input checked="" type="checkbox"/> Contract/Agreement <input type="checkbox"/> Procurement <input type="checkbox"/> Other: <hr/>
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DISCUSSION

Background.

The Transportation Authority has been working jointly with the Treasure Island Development Authority (TIDA) and the Office of Economic and Workforce Development (OEWD) on the development of the I-80/YBI Interchange Improvement Project. The Transportation Authority is in the process of completing the YBI Ramps Improvement Project – Phase 1, which included

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constructing new westbound on and off ramps (on the east side of YBI) to the new Eastern Span of the San Francisco-Oakland Bay Bridge (SFOBB). It is now proceeding with implementation of two additional construction projects including the YBI Westside Bridges and YBI Southgate Road Realignment Improvements Projects.

Project Description.

The YBI Westside Bridges encompasses eight existing bridge structures on the west side of YBI. These structures generally comprise a viaduct along Treasure Island Road, just north of the SFOBB. The project limits along Treasure Island Road are from the SFOBB to approximately 2,000-feet northward. This stretch of Treasure Island Road includes the bridge structures and portions of “at-grade” roadway. The project purpose is to bring the bridge structures up to current seismic safety standards. To accomplish this, five structures will be seismically retrofitted and three structures will be demolished and replaced with realigned roadway, an overcrossing structure, and new retaining walls.

The YBI Southgate Road Realignment Improvements are Phase 2 of the YBI Ramps project. The YBI Ramps Project – Phase 1 consisted of replacing the existing westbound on-ramp and the westbound off-ramp located on the eastern side of YBI with a new westbound on-ramp and a new westbound off-ramp that would improve the functional roles of the current ramps. The YBI Southgate Road Realignment Improvements will increase the length of the on-ramp and off-ramp on a new alignment to allow the YBI Westbound Ramps Project to function as designed. Southgate Road as realigned would effectively function as an extension of the on- and off-ramps for the YBI Westbound Ramps Project, and would separate traffic heading to westbound and eastbound I-80, thereby eliminating queue spillback onto I-80 and the LOS F intersection. The extended ramps would provide direct access from Hillcrest Road to the westbound on-ramp, and would ensure all truck turning movements are accommodated. In addition, the eastbound off-ramp is being reconstructed.

Project Status and Schedule.

For the YBI Westside Bridges project, environmental clearance for all five bridges that will be seismically retrofitted has been completed, also known as Bridge numbers 1, 4, 7A, 7B and 8. The Categorical Exemptions were approved on December 18, 2012. The plans for seismically retrofitting these five bridges are 35% complete. Environmental clearance for the portion of the project which replaces three bridges (numbers 2, 3, and 6) with realigned roadway, ramp reconstruction, retaining walls and a culvert/tunnel structure is underway. The Area of Potential Effect map that covers the entire project area was approved in December 2015. The Southgate Road Realignment Improvements Project and the Macalla Road Reconstruction Project will need to be completed before construction of the project can begin. The Transportation Authority will be using the Construction Manager/General Contractor (CM/GC) delivery method for the YBI Westside Bridges project. Preliminary engineering has been completed and the planned milestone schedule for the remaining activities is as follows:

<u>Activity</u>	<u>Completion Date</u>
• Notice to Proceed (NTP) Pre-construction Services	August 2017
• Perform Pre-construction Services	August 2017 – December 2018
• Notice to Proceed (NTP) Construction Services	January 2019
• Perform Construction Management Services	January 2019 – December 2020

The YBI Southgate Road Realignment Improvements Project is being fast-tracked and is required to be completed before the YBI Westside Bridges Project can be constructed. Preliminary engineering has been completed and the planned milestone schedule for the remaining activities is as follows:

<u>Activity</u>	<u>Completion Date</u>
• NTP Pre-construction Services	August 2017
• Perform Pre-construction Services	August 2017 – March 2018
• NTP Construction Services	April 2018
• Perform Construction Management Services	April 2018 – June 2019

Procurement Process.

On May 12, 2017 a RFP was issued for construction management services for these projects. A pre-proposal conference was held on May 22, 2017, which provided opportunities for small businesses and larger firms to meet and form partnerships. A total of 24 firms attended.

We took particular steps to encourage participation from small and disadvantaged business enterprises (DBEs), including outreach efforts to connect many small, disadvantaged and local businesses with potential prime consultants, and advertisements in six local newspapers. We also distributed the RFP, sign-in sheets for the pre-proposal conference, and periodic updates on the RFP to certified small, disadvantaged and local businesses, the Bay Area and cultural Chambers of Commerce, and the Small Business Councils.

On June 12, 2017 three proposals were received in response to the RFP. A multi-agency technical review panel, comprised of staff from the Transportation Authority, TIDA and San Francisco Municipal Transportation Agency evaluated the proposals based on qualifications and other criteria identified in the RFP, including the proposers' understanding of project objectives, technical and management approach, and capabilities and experience. The panel interviewed all three firms on June 22, 2017. Based on the competitive selection process, staff recommends the Board approve professional services contracts with WSP to provide construction management services for the YBI Westside Bridges Project and S&C Engineers to provide construction management services for the YBI Southgate Road Realignment Improvement Project. The panel unanimously agreed both firms were the highest qualified firms given their strong technical understanding of the projects and Caltrans related experience.

The Transportation Authority will receive federal and state financial assistance to fund these contracts from the U.S. Department of Transportation through Caltrans and will adhere to federal regulations pertaining to DBEs. We have established a DBE goal of 10.2% for these contracts. Proposals from all teams met or exceeded the DBE goal. The WSP team includes 18.74% DBE participation from four subconsultants: African-American-owned and San Francisco-based firms, Transamerican Engineers & Associates, Inc. and BioMaAS, Inc., Asian Subcontinent-owned firm, Applied Materials & Engineering, Inc., and Women-owned firm, KL Bartlett Consulting. The S&C Engineers team includes 33.73% DBE participation from three subconsultants: African-American-owned and San Francisco-based firm, Transamerican Engineers & Associates, Inc., and Women-owned firms, Inspection Services, Inc. and KL Bartlett Consulting.

Funding.

The contract for the YBI Westside Bridges project will be 100% reimbursed through a combination of Federal Highway Bridge Program (HBP), State Prop 1B and TIDA funds. The contract for the

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Southgate Road Realignment Improvements project will be 100% reimbursed through a combination of Federal HBP, State Prop 1B, and Bay Area Toll Authority funds.

As provided for in the MOA for Construction Services for the YBI Ramps Improvement Project between the Transportation Authority and TIDA, TIDA is responsible for reimbursing the Transportation Authority for all project costs and any and all costs not covered by state or federal funds. Prior to the project being advertised for construction, the Memorandum of Agreement (MOA) for Construction Services for the YBI Ramps Improvement Project between the Transportation Authority and TIDA will need to be amended to include the Southgate Road Realignment Improvements.

FINANCIAL IMPACT

The first year's activities for both contracts are included in the adopted Fiscal Year 2017/18 budget. Sufficient funds will be included in future year budgets to cover the remaining cost of the contracts.

CAC POSITION

The CAC considered this item at its June 28, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

SUPPLEMENTAL MATERIALS

- Attachment 1 – Construction Management Services for the YBI Westside Bridges Project – Scope of Services
- Attachment 2 – Construction Management Services for the YBI Southgate Road Realignment Improvements – Scope of Services



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RESOLUTION AWARDING A PROFESSIONAL SERVICES CONTRACT FOR INDEPENDENT ANALYSIS AND OVERSIGHT SERVICES TO SJOBERG EVASHENK CONSULTING, INC. FOR A ONE-YEAR PERIOD IN AN AMOUNT NOT TO EXCEED \$100,000, WITH OPTIONS TO EXTEND FOR TWO ADDITIONAL ONE-YEAR PERIODS, AND AUTHORIZING THE EXECUTIVE DIRECTOR TO NEGOTIATE CONTRACT PAYMENT TERMS AND NON-MATERIAL CONTRACT TERMS AND CONDITIONS

WHEREAS, At the January 2017 Board meeting, Chair Peskin called for the Board to enter into a contract for independent analysis and oversight services to assist in a variety of potential areas as a means to supporting Commissioners and their staffs, as well as to augment the capacity of Transportation Authority staff; and

WHEREAS, The contract will be administered on an as-needed task order basis, and the Chair or his designee will approve all task orders, and may directly manage tasks or delegate task management to other Commissioners or Transportation Authority staff; and

WHEREAS, It is anticipated that a contract will be awarded for a one-year term, with options to renew for two additional one-year terms, which may be exercised at the discretion of the Transportation Authority; and

WHEREAS, On May 9, 2017, the Transportation Authority issued a Request for Proposals (RFP) for independent analysis and oversight services; and

WHEREAS, The Transportation Authority received five proposals in response to the RFP by the proposal due date of June 8, 2017; and

WHEREAS, A multi-agency review panel comprised of staff from the Transportation Authority, Board of Commissioners' and Controller's Office interviewed three of the firms on June 29, 2017; and



WHEREAS, Based on the competitive selection process, the panel recommends the Board approve a professional services contract with Sjoberg Evashenk Consulting, Inc. (Sjoberg) to provide independent analysis and oversight services; and

WHEREAS, The Transportation Authority has budgeted \$100,000 for the initial contract year, and the first year's activities for the contract are included in the adopted Fiscal Year 2017/18 budget and sufficient funds will be included in future year budgets to cover the remaining cost of the contract; and

WHEREAS, Due to the timing of interviews the item was not considered by the CAC at its June 28, 2017 meeting, however the CAC considered and approved the scope of services for the contract at its April 26, 2017 meeting; now, therefore, be it

RESOLVED, That the Transportation Authority hereby awards a professional services contract to Sjoberg for a one-year period in an amount not to exceed \$100,000, with options to extend for two additional one-year periods, for independent analysis and oversight services; and be it further

RESOLVED, That the Executive Director is hereby authorized to negotiate contract payment terms and non-material contract terms and conditions; and be it further

RESOLVED, That for the purposes of this resolution, "non-material" shall mean contract terms and conditions other than provisions related to the overall contract amount, terms of payment, and general scope of services; and be it further

RESOLVED, That notwithstanding the foregoing and any rule or policy of the Transportation Authority to the contrary, the Executive Director is expressly authorized to execute agreements and amendments to agreements that do not cause the total agreement value, as approved herein, to be exceeded and that do not expand the general scope of services.

Attachment:

1. Scope of Services

Attachment 1
Scope of Services

The scope for the independent analysis and oversight services would include three core areas of focus:

- A. Capital Program
 - i. Perform fiscal analyses or special studies (benchmarking, peer reviews) of capital projects or programs
 - ii. Assess funding/financing plans for major capital projects or multi-year funding commitments
- B. Policy/Legislative
 - i. Conduct legislative or policy research on transportation topics
 - ii. Support legislative initiatives of the Transportation Authority
- C. Management/Budget
 - i. Conduct management or performance audits of programs or agencies
 - ii. Perform general budget analyses



Memorandum

Date: July 5, 2017
To: Transportation Authority Board
From: Cynthia Fong – Deputy Director for Finance and Administration
Subject: 07/11/17 Board Meeting: Approve a Professional Services Contract for Independent Analysis and Oversight Services with Sjoberg Evashenk Consulting, Inc. for a One-Year Period in an Amount Not to Exceed \$100,000, with an Option to Extend for Two Additional One-Year Periods

<p>RECOMMENDATION <input type="checkbox"/> Information <input checked="" type="checkbox"/> Action</p> <ul style="list-style-type: none"> • Approve a professional services contract for independent analysis and oversight services with Sjoberg Evashenk Consulting, Inc. (Sjoberg) for a one-year period in an amount not to exceed \$100,000, with an option to extend for two additional one-year periods • Authorize the Executive Director to Negotiate Contract Payment Terms and Non-Material Contract Terms and Conditions <p>SUMMARY</p> <p>The Transportation Authority is seeking consultant services for independent analysis and oversight work to be administered on an as-needed task order basis. A Request for Proposals (RFP) for independent analysis and oversight services was issued in May. By the proposal due date, five proposals were received, and following interviews with three firms, a multi-agency review panel recommended Sjoberg to provide the requested services.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Fund Allocation <input type="checkbox"/> Fund Programming <input type="checkbox"/> Policy/Legislation <input type="checkbox"/> Plan/Study <input type="checkbox"/> Capital Project Oversight/Delivery <input type="checkbox"/> Budget/Finance <input checked="" type="checkbox"/> Contract/Agreement <input type="checkbox"/> Procurement <input type="checkbox"/> Other: _____
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DISCUSSION

Background.

At the January 2017 Board meeting, Chair Peskin called for the Board to enter into a contract for independent analysis and oversight services to assist in a variety of potential areas as a means to supporting Commissioners and their staffs, as well as to augment the capacity of Transportation Authority staff. The contract is to be administered on an as-needed task order basis. The Chair or his designee will approve all task orders, and may directly manage tasks or delegate task management to other Commissioners or Transportation Authority staff. It is anticipated that a contract will be awarded for a one-year term, with options to renew for two additional one-year terms, which may be exercised at the discretion of the Transportation Authority.

Scope of Services.

The scope of services includes capital program tasks, policy/legislative tasks, and management/budget tasks. Capital program could include fiscal analyses or special studies (benchmarking, peer reviews) of

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capital projects or programs, as well as assessing funding/financing plans for major capital projects or multi-year funding commitments. Policy or legislative tasks could include conducting legislative or policy research on transportation topics and supporting legislative initiatives of the Transportation Authority. Some notable topics of interest include: California Public Utilities Commission regulatory activities related to Transportation Network Companies and Autonomous Vehicles, alternative financing and innovative project delivery methods, and new transportation revenues. Management or budget tasks could include conducting management or performance audits of investment programs or agencies as well as performing general budget analyses.

Procurement Process.

On May 9, 2017, a RFP was issued for independent analysis and oversight services. While a pre-proposal conference was not held, proposers were able to submit questions to the Transportation Authority and receive responses by May 18.

We took particular steps to encourage participation from small and disadvantaged business enterprises, including outreach efforts to connect many small, disadvantaged and local businesses with potential prime consultants, and advertisements in five local newspapers. We also distributed the RFP and Questions & Answers to certified small, disadvantaged and local businesses, the Bay Area and cultural Chambers of Commerce, and the Small Business Councils.

On June 8, 2017, five proposals were received in response to the RFP. A multi-agency review panel, comprised of staff from the Transportation Authority, Board of Commissioners' and Controller's Office evaluated the proposals based on qualifications and other criteria identified in the RFP, including the proposers' understanding of project objectives, technical and management approach, capabilities and experience, cost and Disadvantaged Business Enterprise/Local Business Enterprise/Small Business Enterprise (DBE/LBE/SBE) participation. The panel interviewed three of the firms on June 29, 2017. Based on the competitive selection process, the panel recommends the Board approve a professional services contract with Sjoberg to provide independent analysis and oversight services. The panel unanimously agreed that the firm was the highest qualified given its strong understanding of the proposed scope and emphasis on developing actionable/implementable recommendations; good communication skills and team dynamics; deep and broad expertise and experience in transportation including policy, capital project delivery, understanding of grantor and grantee roles and perspectives, etc.

We have established a DBE/LBE/SBE goal of 10% for this contract. Proposals from three of the five firms met or exceeded the goal, all of which were interviewed. The Sjoberg team includes 100% DBE and 100% SBE participation as it is a woman-owned and certified small business enterprise.

FINANCIAL IMPACT

The Transportation Authority has budgeted \$100,000 for the initial contract year, funded by sales tax operating funds. The first year's activity is included in the Transportation Authority's adopted FY 2017/18 budget. Sufficient funds will be included in future fiscal year budgets to cover the remaining cost of the contract.

CAC POSITION

Due to the timing of interviews the item was not considered by the CAC at its June 28, 2017 meeting, however the CAC considered and approved the scope of services for the contract at its April 26, 2017 meeting.

SUPPLEMENTAL MATERIALS

Attachment 1 – Scope of Services