



Memorandum

Date: 06.09.16 **RE:** Finance Committee
June 14, 2016

To: Finance Committee: Commissioners Mar (Chair), Cohen (Vice Chair), Campos, Kim, Yee and Wiener (Ex Officio)

From: Cynthia Fong – Deputy Director for Finance and Administration *CF*

Through: Tilly Chang – Executive Director *TC*

Subject: **ACTION** – Recommend Approval of the Revised Administrative Code, the Revised Rules of Order, and the Revised Debt, Equal Benefits, Fiscal, Investment and Travel, Conference, Training and Business Expense Reimbursement Policies, and Adoption of the Title VI Program

Summary

While it is Transportation Authority direction to review the Investment Policy and Debt Policy on an annual basis, it is also important to review the administrative code and all policies periodically, to ensure compliance with current statutes and the Transportation Authority's objectives. Upon the advice of the Transportation Authority's financial advisors, bond counsel and legal counsel, we are recommending changes to the Administrative Code; Rules of Order; Debt, Equal Benefits, Fiscal, Investment and Travel, Conference, Training and Business Expense Reimbursement Policies, and adoption of the Title VI Program to conform to applicable law and to be consistent with state and local government codes.

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. In addition, the Transportation Authority is recommending the adoption of a new Title VI Program to comply with Federal funding requirements.

DISCUSSION

The purpose of this memorandum is to present staff recommendations for updates to the Transportation Authority's policies. Attachment 1 provides a matrix of the proposed changes and explanations of the

changes. The full redline versions of these policies are posted on the meeting page on our website at www.sfcta.org/meetings. Below are brief descriptions of each policy and procedure.

Administrative Code: The Administrative Code prescribes the powers and duties of officers of the Transportation Authority, the method and appointment of employees of the Transportation Authority, and the policies and systems of Transportation Authority operation and management. At the Transportation Authority's request, Wendel, Rosen, Black & Dean LLP (Wendel Rosen), co-general counsel to the Transportation Authority, reviewed the Administrative Code adopted on January 27, 2015 through Ordinance 15-01. Based on that review, we are recommending changes as redlined in Attachment 1.

Rules of Order: The Rules of Order establishes procedures to ensure its Board and Committee meetings are conducted in a clear and efficient manner, while in compliance with current statutes and Transportation Authority objectives. Wendel Rosen reviewed the Rules of Order adopted on January 27, 2015 through Resolution 15-31, and based on that review, we are recommending changes as redlined in Attachment 1.

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), and the Transportation Authority's bond counsel, Nixon Peabody LLP (Nixon Peabody), reviewed the Debt Policy adopted on January 27, 2015 through Resolution 15-31. Based on that review, we are recommending changes as redlined in Attachment 1.

Equal Benefits Policy: The purpose of the Equal Benefits Policy is to enforce nondiscrimination provisions in all Transportation Authority contracts and to prohibit the Transportation Authority from contracting with vendors that discriminate in the provisions of benefits between employees with domestic partners and employees with spouses, and/or between the domestic partners and spouses of such employees. Wendel Rosen reviewed the Equal Benefits Policy adopted on April 29, 1999 through Resolution 99-27, and based on that review, we are recommending a completely revised policy as shown in Attachment 2, which is modeled off of the City's Administrative Code Chapter 12B: Nondiscrimination in Contracts.

Fiscal Policy: 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 Transportation Authority. KNN and Nixon Peabody reviewed the Fiscal Policy adopted on January 27, 2015 through Resolution 15-31, and based on that review, we are recommending changes as redlined in Attachment 1.

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 January 27, 2015 through Resolution 15-31, and based on that review, we are recommending changes as redlined in Attachment 1.

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 January 27, 2015 through Resolution 15-31, we are recommending changes as redlined in Attachment 1.

Title VI Program: Title VI of the Civil Rights Act of 1964 (Title VI) prohibits discrimination by recipients of

Federal financial assistance on the basis of race, color, and national origin, including the denial of meaningful access for limited English proficient persons. In addition, Title VI and U.S. Department of Transportation regulations prohibit recipients from intentionally discriminating against people on the basis of race, color, and national origin. As a recipient and subrecipient of Federal funds, the Transportation Authority is recommending the adoption of the Title VI Program, to ensure services are provided in a non-discriminatory manner. Wendel Rosen reviewed the Title VI Program, and based on that review, we are recommending a program as shown in Attachment 3.

ALTERNATIVES

1. Recommend approval of the revised Administrative Code, the revised Rules of Order, and the revised Debt, Equal Benefits, Fiscal, Investment and Travel, Conference, Training and Business Expense Reimbursement policies, and adoption of the Title VI Program, as requested.
2. Recommend approval of the revised Administrative Code, the revised Rules of Order, and the revised Debt, Equal Benefits, Fiscal, Investment and Travel, Conference, Training and Business Expense Reimbursement policies, and adoption of the Title VI Program, with modifications.
3. Defer action, pending additional information or further staff analysis.

CAC POSITION

The CAC considered this item at its May 25, 2016 meeting and unanimously adopted a motion of support for the staff recommendation.

FINANCIAL IMPACTS

There is no financial impact to the Transportation Authority's proposed FY 2016/17 budget from the requested action.

RECOMMENDATION

Recommend approval of the revised Administrative Code, the revised Rules of Order, and the revised Debt, Equal Benefits, Fiscal, Investment and Travel, Conference, Training and Business Expense Reimbursement policies, and adoption of the Title VI Program.

Attachments (3):

1. Policies Matrix
2. Draft Equal Benefits Policy
3. Draft Title VI Program

Attachment 1

San Francisco County Transportation Authority Policies Matrix

ADMINISTRATIVE CODE			
SECTION	REVISION	REASON	PAGE
2(f) [new §]	<u>(f) The Transportation Authority shall perform other related responsibilities, including but not limited to (i) serving as the county program manager for the Transportation Fund for Clean Air, (ii) serving as the county Congestion Management Agency, and (iii) administering Proposition AA projects.</u>	Clarification to include the other agency responsibilities mentioned in §5.2(a) as being within the Plans & Programs Committee's responsibilities.	1
4(a)(6)	To administer the personnel system of the Transportation Authority, including hiring, controlling, supervising, promoting, transferring, suspending with or without pay or discharging any employee. To this end, the Executive Director shall prepare and maintain a personnel manual, stating the rules of employment of the Transportation Authority, and methods of compensation established by the Transportation Authority <u>(Personnel Manual)</u> ; and	Minor clarification to define Personnel Manual as referenced later in the Administrative Code.	3
5.2(a)	Plans and Programs Committee. The Chairperson of the Transportation Authority shall appoint a Plans and Programs Committee which shall be composed of five Commissioners. Except as otherwise determined by the Chairperson of the Committee, regular meetings shall be held on the third Tuesday of each month <u>in the Committee Room of City Hall or other location as designated with proper notice by the Transportation Authority</u> , except when that day or any preceding Tuesday that month is a holiday, in which case the meeting shall be held on the following Tuesday. The responsibilities of this Committee shall include the following.	Minor clarification regarding meeting location.	4-5
5.2(b)	Finance Committee. The Chairperson of the Transportation Authority shall appoint a Finance Committee which shall be composed of five Commissioners. Except as otherwise determined by the Chairperson of the Committee, regular meetings shall be held on the second Tuesday of each month <u>in the Committee Room of City Hall or other location as designated with proper notice by the Transportation Authority</u> , except when that day is a holiday, in which case the meeting shall be held on the following Tuesday. The responsibilities of this Committee shall include the following:	Minor clarification regarding meeting location.	5
5.3(a)	Citizens Advisory Committee. The Transportation Authority shall appoint eleven members to a Citizens Advisory Committee. This Committee 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. The committee members shall be residents of San Francisco and shall serve without compensation for a two-year period. <u>Any member who is absent for four of any twelve regularly</u>	Clarifications to correspond with CAC's By-Laws.	7

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ADMINISTRATIVE CODE			
SECTION	REVISION	REASON	PAGE
	<p>scheduled consecutive meetings shall be automatically terminated. Any resulting vacancy shall be filled for a new two-year period. Any terminated member who wishes to be reappointed shall contact his or her district Supervisor and shall reappear before the Plans and Programs Committee to speak on his or her behalf.</p> <p>This Committee shall meet at least quarterly and all meetings shall be open to the public. The regular meetings of the Committee shall be held on the fourth Wednesday of each month at 6:00 p.m. at the Transportation Authority's offices at 1455 Market Street, Floor 22, San Francisco, California. The staff of the Transportation Authority will be available to assist the Committee.</p>		

Attachment 1

RULES OF ORDER			
SECTION	REVISION	REASON	PAGE
Rules 1.6, 1.9, 1.17 (first instance only), 2.5, 2.6 (first instance only), 2.9, 2.14 (first and third instances only), 3.1, 3.10 (last instance only), 4.3	Changing “Transportation Authority” to “Board” in each location.	Clarifications to ensure that the Rules of Order use the term “Board” when referring to the governing body, and “Transportation Authority” when referring to the entity.	Various
Rule 1.11	Rule 1.11 “Measure” shall mean and include a proposal, in whatsoever form presented, fulfillment of the purpose of which requires action of the Transportation Authority by Code , amendment, ordinance, resolution or motion, other than a motion designed to accomplish an action strictly parliamentary in character.	Cleanup change.	1
Rule 5.2	Rule 5.2 Smoking Prohibited. Smoking during Board or committee meetings is prohibited.	Cleanup change, smoking already outlawed in public buildings per CA Government Code.	13

Attachment 1

TRAVEL, CONFERENCE, TRAINING AND EXPENSE REIMBURSEMENT POLICY			
SECTION	REVISION	REASON	PAGE
I.C.	Limitations. Travel and meeting expenditures shall not exceed the approved budget, <u>except with justification and documentation</u> , 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.	Minor clarification.	1
II.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. <u>Travel expenses are subject to review by the Deputy Director for Finance and Administration and will only be approved if deemed reasonable and proper.</u> 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 appropriate.	Text moved from Section B.4.a. to apply to all travel expenses.	1
II.B.3.	3. Transportation charges (including commercial carrier fares, rental car charges, private car mileage allowances, parking, bridge and road tolls, and necessary taxi, <u>transportation network company</u> or public transit fares); and	Minor clarification	2
II.B.4.c.	c. Tips to porters, <u>baggage carriers, bellhops, hotel staff, and stewards or stewardesses not to exceed \$2 per bag;</u>	Minor clarification.	2
II.C.2. [new §]	<u>2. Alcoholic beverages and entertainment expenses;</u>	Minor clarification.	2
II.C.4.	4. Expenses which are excessive or unreasonable as determined by the <u>Deputy Director for Finance and Administration</u> Transportation Authority .	Minor clarification.	2
IV.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. <u>Itemized receipts shall be obtained and submitted with the expense report.</u> 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.	Minor clarification.	4
IV.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,	Text moved to Section VII. Lodging Expenses.	4

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TRAVEL, CONFERENCE, TRAINING AND EXPENSE REIMBURSEMENT POLICY			
SECTION	REVISION	REASON	PAGE
	<p>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. 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 to the member of a legislative body at the time of booking. If the group rate is not available, the member of a legislative body shall use comparable lodging that is consistent with the requirements of this policy.</p>		
V.	<p>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.</p>	Minor clarification.	4
VI.A.	<p>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 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.</p>	Minor clarification.	5
VI.D.	<p>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.</p>	Minor clarification.	5
VII.	<p>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, the lodging costs shall not exceed the maximum group rate published by the sponsor of the conference. lodging shall be at the location where the</p>	Text moved from Section IV.G. Minor clarification regarding lodging rates.	6

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TRAVEL, CONFERENCE, TRAINING AND EXPENSE REIMBURSEMENT POLICY			
SECTION	REVISION	REASON	PAGE
	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. If no group rate is available at the time of booking, the Transportation Authority will reimburse its personnel for lodging up to the rates established by the GSA or USDOD as appropriate.		
VIII.B.3. [new §]	3. taxis, cabs, or transportation network companies; and	Minor clarification.	7
VIII.C.	Air and Rail Travel. Transportation Authority personnel shall use Air coach-class (or similar reduced fare equivalent accommodations) shall be used for air and rail travel if it is available 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). All reasonable fare reductions or reduced fare flights as appropriate shall be utilized.	Clarification regarding allowable flight and rail accommodations.	7
VIII.D(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 <u>include justification in attach an explanation to</u> the expense report. In the absence of a satisfactory explanation <u>justification</u> , the mileage expense shall not be allowed.	Cleanup change.	7
VIII.E.	Other Modes of Transportation. Limousine, and 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.	Minor clarification.	8
IX.	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 (\$2 per bag/package) will be allowed.	Cleanup change.	8

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**San Francisco County Transportation Authority
Policies Matrix**

FISCAL POLICY			
SECTION	REVISION	REASON	PAGE
III.A.	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); and San Francisco Program Manager for the Transportation Fund for Clear Air (TFCA); <u>and Proposition AA Vehicle Registration Fee (Prop AA) administrator</u> . 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.	Minor cleanup change.	1
III.B.	The draft budget shall be presented at a public hearing at a publicly noticed Transportation Authority meeting prior to being approved by the Board. Notice of the time and place of the public meeting shall be published pursuant to Sections <u>6060 and</u> 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.	Minor clarification regarding how the notice is published.	2
III.D.	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. <u>Amendments to the budget will be presented at a publicly noticed Transportation Authority meeting prior to being approved by the Board</u> . The Executive Director shall be responsible for proposing amendments to the adopted final budget; the Finance Committee 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 shall be adopted by Board resolution.	Minor clarification consistent with adoption of the budget.	2

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FISCAL POLICY			
SECTION	REVISION	REASON	PAGE
IV.A.3.	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 but not be limited to, outside photocopying expenses, office supplies, meeting and travel expenses, and other practical expenses as determined by the Executive Director to be necessary and/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.	Cleanup change, as there is already a catch-all for anything necessary or convenient.	3
IX.	The selection of <u>providers of</u> 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.	Minor clarifying change.	5

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DEBT POLICY			
SECTION	REVISION	REASON	PAGE
VI.A.	Credit quality is an important consideration and will be balanced with the Transportation Authority's objectives and the associated size, <u>structure</u> 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.	Minor clarification that structure of transaction will also be affected by Transportation Authority's objectives.	2
VI.B.	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 <u>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</u> debt repayment period should not exceed the earliest of the following: (1) 120% of the useful life of the project being financed, (2) the end of the termsunset date of the current sales tax -Expenditure Plan or (23) 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.	Clarification that the 120% test only applies for tax-exempt debt and is applied by comparing the average amortization of debt to the weighted average life of the financed assets.	2
VI.C.	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), short-term debt, commercial paper, <u>lines of credit</u> , 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.	Specifically reference lines of credit, particularly given that the Transportation Authority now has a revolving credit facility.	2
VI.D.	The Transportation Authority shall maintain all debt-related records for a period for no less than the term of the debt <u>plus three years</u> . 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	Minor clarification to make consistent with IRS requirements.	2

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DEBT POLICY			
SECTION	REVISION	REASON	PAGE
	<p>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.</p>		
VI.E.	<p><u>Tax Law Compliance, Rebate Policy and System.</u></p> <p><u>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 with designee to periodically undertake procedures to confirm compliance with such requirements and limitations. In furtherance thereof, the Executive Director with 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.</u></p> <p>TheIn 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.</p>	<p>Clarifying coverage to address tax law compliance more broadly and designating an individual to undertake procedures for compliance.</p>	3

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DEBT POLICY			
SECTION	REVISION	REASON	PAGE
VII.A.2.	Refunding debt is bonds are 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.	Clarifying that refunding could be with debt other than bonds.	4
VII.B.1.	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 the obligations average principal amortization do not exceed the earliest of the following: (a) 120% of the expected weighted average useful life of the project (s) being financed, (b) 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 sales tax -Expenditure Plan or (eb) forty (40) years from the date of issuance.	Clarifying that the 120% test only applies to tax-exempt debt and is applied by comparing the average amortization of debt to the weighted average life of the financed assets.	4
VII.B.2.	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) <i>Commercial Paper Notes</i> 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. In March 2004, the Board approved a \$200 million tax-exempt commercial paper program. Periodic issuances or a retirement of commercial paper notes within the \$200 million Board approved	Reflecting termination of commercial paper program and entry into revolving credit facility, and clarifying limits on term for draws on revolving facility and refinancings thereof.	5-6

Attachment 1

DEBT POLICY			
SECTION	REVISION	REASON	PAGE
	<p>program do not require further Board action. The retirement of commercial paper is most commonly a result of the issuance of long-term bonds or the repaying of principal from cash on hand.</p> <p>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 full 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.</p>		
VII.B.3.	<p>a) Variable Rate Debt Capacity. Except for the existing \$140²⁰⁰ million commercial paper program (which is not covered by 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:</p>	Reflecting termination of commercial paper program and entry into revolving credit facility.	6
VIII.A.	<p>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 to exceed 120% of the expected weighted average useful life of the assets project being financed, and in no event should if the bonds are intended to be federally tax-exempt and the debt repayment period does not exceed the lesser of forty (40) years or the period earliest of time until the following: (a) the sunset date of the current sales tax Expenditure Plan or (b) forty (40) years from the date of issuance.</p>	Clarify that the 120% test only applies to tax-exempt debt and is applied by comparing the average amortization of debt to the weighted average life of the financed assets.	7

Attachment 1

DEBT POLICY			
SECTION	REVISION	REASON	PAGE
VIII.B.	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, 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 <u>and, if permitted under applicable federal tax law</u> , be applied to extend the term of capitalized interest but in no event beyond the authorized term.	Clarify intention to comply with federal tax law.	7
X.C.	The Except for commercial paper and loans under a line of credit (including the current revolving credit facility), the Transportation Authority will refund bonds within the term 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.	Specifically state that refinancing of loans under revolver do not have to meet the requirements of this section.	10
X.E.	The Transportation Authority shall take all necessary steps <u>(permitted under federal tax law when tax-exempt debt is involved)</u> to optimize escrows and to avoid negative arbitrage in its refundings. Any resulting positive arbitrage will be rebated as necessary according to Federal guidelines.	Clarifying intention to comply with federal tax law.	10
X.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 <u>or of borrowing under a revolving credit facility for the purpose of repaying prior loans under the facility, nor shall this Section X apply to long term take out of commercial paper or of loans under a revolving credit facility, subject to limitations otherwise contained in this policy.</u>	Reflecting termination of commercial paper program and entry into revolving credit facility.	10

Attachment 1

DEBT POLICY			
SECTION	REVISION	REASON	PAGE
XI.A.	Participation from Disadvantaged Business Enterprise (DBE) firms is best effort and not required for winning bid.	Minor change since DBE is already defined in glossary.	11
XI.C.	From time to time the Transportation Authority may elect to privately place its debt <u>or borrow directly from a bank or other financial institution</u> . Such placement <u>or borrowing</u> 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.	Updating reference to direct borrowing since the Transportation Authority is party to a revolving credit facility.	12
GLOSSARY	<p><i>Capitalized Interest.</i> 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 commonly<u>sometimes</u> capitalized for the construction period of the project.</p> <p><i>Commercial Paper.</i> Very short-term, unsecured promissory notes issued in either registered or bearer form, and usually backed by a line of credit with a bank <u>that, upon the maturity thereof, successively rolls into other short term promissory notes until the principal thereof is paid by the Transportation Authority.</u></p>	Reflecting that capitalized interest is not used as frequently as “commonly” might suggest. Clarifying that commercial paper typically continues to roll until refinanced with long term bonds or otherwise paid.	17

Attachment 1

INVESTMENT POLICY			
SECTION	REVISION	REASON	PAGE
II.	Bond proceeds shall be invested in the securities permitted pursuant to <u>bond documents approved by the</u> Transportation Authority Board approved of Commissioners (Board) bond documents . 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.	Cleanup change to include complete name of Board.	1
IX.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) <u>and (q)</u> of Section 53601 of the Government Code of California, as it may be amended.	Cleanup change to reflect amendments to CA Government Code 53601 that added a new section q which took effect in 2015.	4



EQUAL BENEFITS POLICY

SECTION 1. ALL CONTRACTS TO INCLUDE NONDISCRIMINATION PROVISIONS; DEFINITIONS.

(a) The San Francisco County Transportation Authority (Transportation Authority) shall include in all contracts hereinafter executed or amended in any manner or as to any portion thereof, a provision obligating the contractor not to discriminate on the basis of the fact or perception of a person's race, color, creed, religion, national origin, ancestry, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability or Acquired Immune Deficiency Syndrome, HIV status (AIDS/HIV status), weight, height, association with members of classes protected under this policy or in retaliation for opposition to any practices forbidden under this policy against any employee of, any Transportation Authority employee working with, or applicant for employment with such contractor and shall require such contractor to include a similar provision in all subcontracts executed or amended thereunder.

(b) The Transportation Authority shall not execute or amend any contract with any contractor that discriminates in the provision of bereavement leave, family medical leave, health benefits, membership or membership discounts, moving expenses, pension and retirement benefits or travel benefits as well as any benefits other than bereavement leave, family medical leave, health benefits, membership or membership discounts, moving expenses, pension and retirement benefits or travel benefits between employees with domestic partners and employees with spouses, and/or between the domestic partners and spouses of such employees, where the domestic partnership has been registered with a governmental entity pursuant to State or local law authorizing such registration, subject to the following conditions. In the event that the contractor's actual cost of providing a certain benefit for the domestic partner of an employee exceeds that of providing it for the spouse of an employee, or the contractor's actual cost of providing a certain benefit for the spouse of an employee exceeds that of providing it for the domestic partner of an employee, the contractor shall not be deemed to discriminate in the provision of benefits if the contractor conditions providing such benefit upon the employee agreeing to pay the excess costs. In addition, in the event a contractor is unable to provide a certain benefit, despite taking reasonable measures to do so, the contractor shall not be deemed to discriminate in the provision of benefits if the contractor proves the employee with a cash equivalent.

(c) Definitions. As used in this policy the following words and phrases shall have the meanings indicated herein:

“Age” shall mean the age of any employee or applicant for employment who has attained the age of 40 years and has not attained the age of 65 years. For the purposes of this policy, discrimination because of age shall mean dismissal from employment of, or refusal to employ or rehire any person because of his or her age, if such person has attained the age of 40 years and has not attained the age of 65 years, if the person is physically able and mentally competent to perform the services required. Age limitations of apprenticeship programs in which the State or its political subdivisions participate shall not be considered discriminatory within the meaning of this policy.

“Amend” shall mean to substantively change the terms of a pre-existing contract, and shall not include amendments to decrease the scope of work or the amount to be paid under a contract. Construction change orders shall not be construed as contract amendments for the purposes of this policy.

“Board” shall mean the Board of Commissioners of the San Francisco County Transportation Authority.



“Contract” shall mean an agreement for public works or improvements to be performed, or for goods or services to be purchased or grants to be provided, at the expense of the Transportation Authority or to be paid out of moneys deposited in the treasury or out of trust moneys under the control or collected by the Transportation Authority, and does not include agreements entered into after June 28, 2016 pursuant to settlement of legal proceedings, contracts for urgent litigation expenses, or contracts for a cumulative amount of \$5,000 or less per vendor in each fiscal year.

“Contractor” means any person or persons, firm, partnership, corporation, or combination thereof, who enters into a contract with the Executive Director or designee empowered by law to enter into contracts on the part of the Transportation Authority.

“Executive Director” shall mean the Executive Director of the Transportation Authority.

“Disability” shall mean a physical or mental impairment which substantially limits one or more major life activities, or a record of such an impairment.

“Domestic partner” shall mean any person who has a currently registered domestic partnership with a governmental body pursuant to State or local law authorizing such registration.

“Gender identity” shall mean a person’s various individual attributes as they are understood to be masculine and/or feminine.

“Qualified disabled employee” shall mean a person able to perform the essential functions of a job with reasonable accommodation.

“Sex” shall mean the character of being male or female.

“Sexual orientation” shall mean the status of being lesbian, gay, bisexual or heterosexual.

“Subcontract” shall mean an agreement to provide goods and/or services, including construction labor, materials or equipment, to a contractor, if such goods or services are procured or used in the fulfillment of the contractor’s obligations arising from a contract with the Transportation Authority.

“Subcontractor” means any person or persons, firm, partnership, corporation or any combination thereof, who enters into a subcontract with a contractor. Such term shall include any person or entity who enters into an agreement with any subcontractor for the performance of 10 percent or more of any subcontract.

“Transportation Authority” shall mean the San Francisco County Transportation Authority.

(d) The requirements of this policy shall apply to any of a contractor’s operations within San Francisco.

SECTION 2. NONDISCRIMINATION PROVISIONS.

Every contract for or on behalf of the Transportation Authority shall incorporate by reference and require the contractor to comply with the provisions of Section 2. In addition, all contractors must incorporate by reference in all subcontracts and require subcontractors to comply with the requirements set forth in Sections 2(a) and 2(c) through 2(h), and failure to do so shall constitute a material breach of contract.

In the performance of a contract the contractor agrees as follows:

(a) The contractor or subcontractor will not discriminate against any employee, Transportation Authority employee working with such contractor or subcontractor, or applicant for employment with



such contractor or subcontractor on the basis of the fact or perception of that person's race, color, religion, ancestry, national origin, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability, weight, height, AIDS/HIV status, or association with members of classes protected under this policy or in retaliation for opposition to any practices forbidden under this policy. Discrimination on the basis of sex includes sexual harassment as defined in Section 16.9-25(b) of the San Francisco Administrative Code. The contractor or subcontractor will take action to ensure that applicants are employed, and that employees are treated equally during employment, without regard to the fact or perception of their race, color, creed, religion, ancestry, national origin, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability or AIDS/HIV status. Such action shall include, but not be limited to, the following: Employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rate of pay or other forms of compensation; and selection for training, including apprenticeship. Nothing in this policy shall require or prohibit the establishment of new classifications of employees in any given craft. The provisions of this Section with respect to age shall not apply to (1) termination of employment because of the terms or conditions of any bona fide retirement or pension plan, (2) operation of the terms or conditions of any bona fide retirement or pension plan which has the effect of a minimum service requirement, and (3) operation of the terms or conditions of any bona fide group or insurance plan.

(b) The prime contractor shall state that the prime contractor does not, and will not during the term of the contract discriminate in the provision of bereavement leave, family medical leave, health benefits, membership or membership discounts, moving expenses, pension and retirement benefits or travel benefits as well as any benefits other than bereavement leave, family medical leave, health benefits, membership or membership discounts, moving expenses, pension and retirement benefits or travel benefits between employees with domestic partners and employees with spouses, and/or between the domestic partners and spouses of such employees, where the domestic partnership has been registered with a governmental entity pursuant to State or local law authorizing such registration, subject to the following conditions. In the event that the contractor's actual cost of providing a certain benefit for the domestic partner of an employee exceeds that of providing it for the spouse of an employee, or the contractor's actual cost of providing a certain benefit for the spouse of an employee exceeds that of providing it for the domestic partner of an employee, the contractor shall not be deemed to discriminate in the provision of benefits if the contractor conditions providing such benefit upon the employee agreeing to pay the excess costs. In addition, in the event a contractor is unable to provide a certain benefit, despite taking reasonable measures to do so, the contractor shall not be deemed to discriminate in the provision of benefits if the contractor provides the employee with a cash equivalent. The Executive Director shall be the final arbiter of a contractor's compliance or substantial compliance with this policy and the Executive Director's determination shall not be appealable to the Board. Contractors shall treat as confidential to the maximum extent allowed by law or the requirements of contractor's insurance provider any request by an employee or applicant for employment for domestic partner or spousal benefits or any documentation of eligibility for domestic partner or spousal benefits submitted by an employee or applicant for employment.

In adopting this Section 2(b), the intent of the Board is to equalize to the maximum extent legally permitted the total compensation between similarly situated employees with spouses and employees with domestic partners.

In particular, consistent with the severability clause set forth in Section 5 below, the Board intends that if a court or agency of competent jurisdiction finds that a State or federal law, rule or regulation invalidates (1) the application of this Section to any business, person, type of compensation or benefit, or location;



or (2) any other requirement of this Section, then the court or agency should sever the invalid clause and leave in effect the remainder of this Section.

(c) The contractor or subcontractor shall provide reasonable accommodation for qualified disabled applicants for employment and for qualified disabled employees. Said contractor or subcontractor need not provide reasonable accommodation if such would present an undue hardship. An undue hardship may include but not be limited to more than a de minimis cost, violation of the seniority rights of other co-workers as established by a bona fide seniority system, or a health or safety risk to the employee or co-employees. The burden of establishing an undue hardship rests on the employer.

(d) The contractor or subcontractor will in all solicitations or advertisements for employees placed by or on his or her behalf, state that qualified applicants will receive consideration for employment without regard to the fact or perception of their race, creed, religion, color, ancestry, national origin, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability, weight, height or AIDS/HIV status.

(e) The contractor or subcontractor will send to each labor union or representative of workers with which he or she has a collective bargaining agreement or other agreement or understanding, a notice advising the said labor union or workers' representative of the contractor's or subcontractor's commitments under this Section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(f) The contractor or subcontractor shall permit access to its records of employment, employment advertisements, application forms, and other pertinent data and records by the Transportation Authority, for the purposes of investigation to ascertain compliance with the nondiscrimination provisions of this policy, and upon request shall provide evidence that the contractor has complied or will comply with the nondiscrimination provisions of this policy.

(g) A breach of the nondiscrimination provisions in the performance of a contract or subcontract shall be deemed by the Transportation Authority to be material breach of contract and the basis for determination by the Transportation Authority that the contractor or subcontractor is an irresponsible bidder as to all future contracts for which such contractor or subcontractor may submit bids. Such contractor or subcontractor shall not for a period of up to two years thereafter, or until it shall establish and carry out a program in conformity with the nondiscrimination provisions of this policy, be allowed to act as a contractor or subcontractor under any contract.

(h) If a finding of discrimination is made by the Executive Director, the Transportation Authority shall submit a report to the Board that provides details of what actions, if any, the Transportation Authority undertook under this policy.

(i) Nothing contained in this policy shall be construed in any manner so as to prevent the Transportation Authority from pursuing any other remedies that may be available at law, equity or under any contract.

(j) The contractor or subcontractor will meet the following standards for compliance:

(1) If the contractor or subcontractor has been held to be an irresponsible bidder under Section 2(g) hereof, the contractor or subcontractor shall furnish evidence that it has established and is carrying out a program in conformity with the nondiscrimination provisions of this policy.

(2) The contractor or subcontractor may be required to file with the Transportation Authority a



basic compliance report, which may be a copy of the federal EEO-1, or a more detailed report as determined by the Transportation Authority. Willful false statements made in such reports shall be punishable as provided by law. No contractor or subcontractor shall be held in noncompliance for not filing such a report with the Transportation Authority unless it has been specifically required to do so in writing by the Transportation Authority.

(3) Personally, or through its representatives, the contractor or subcontractor shall, through negotiations with the unions with whom it has collective bargaining or other agreements requiring the contractor or subcontractor to obtain or clear its employees through the union, or when the contractor or subcontractor otherwise uses a union as an employment resource, attempt to develop an agreement which will:

- (A) Define and outline responsibilities for nondiscrimination in hiring, referral, upgrading and training;
- (B) Otherwise implement a nondiscrimination program in terms of the unions' specific areas of skill and geography, such as an apprenticeship program, to the end that minority workers will be available and given an equal opportunity for employment.

(4) The contractor or subcontractor shall notify the awarding authority of opposition to the nondiscrimination provisions of a contract by individuals, firms or organizations during the term of the contract.

SECTION 3. POLICY APPLIES ONLY TO DISCRIMINATORY EMPLOYMENT PRACTICES.

(a) This policy shall not confer upon the Transportation Authority or Board thereof any power not otherwise provided by law to determine the legality of any existing collective bargaining agreement and shall have application only to discriminatory employment practices by contractors or subcontractors engaged in the performance of Transportation Authority contracts.

SECTION 4. NONAPPLICABILITY, EXCEPTIONS AND WAIVERS.

(a) The Executive Director shall waive the requirements of this policy under the following circumstances:

(1) That there is only one prospective contractor willing to enter into a contract with the Transportation Authority, or that the needed goods, services, construction services for a public work or improvement, or interest in or right to use real property are available only from a sole source and the prospective contractor is not currently disqualified from doing business with the Transportation Authority, or from doing business with any governmental agency based on any contract compliance requirements;

(2) The contract is necessary to respond to an emergency which endangers the public health or safety and no entity which complies with the requirements of this policy capable of responding to the emergency is immediately available;

(3) Where the Transportation Authority's legal counsel certifies in writing to the Transportation Authority that the contract involves specialized litigation requirements such that it would be in the best interests of the Transportation Authority to waive the requirements of this policy.

(b) This policy shall not apply where the prospective contractor is a public entity and the Transportation Authority finds that goods, services, construction services for a public work or



improvement or interest in or right to use real property of comparable quality or accessibility as are available under the proposed contract are not available from another source, or that the proposed contract is necessary to serve a substantial public interest.

(c) This policy shall not apply where the Transportation Authority finds that the requirements of this policy will violate or are inconsistent with the terms or conditions of a grant, subvention or agreement with a public agency or the instructions of an authorized representative of any such agency with respect to any such grant, subvention or agreement, provided that the contracting officer has made a good faith attempt to change the terms or conditions of any such grant, subvention or agreement to authorize application of this policy.

(d) Upon the request of a potential contractor or upon the Transportation Authority own initiative, after taking all reasonable measures to find an entity that complies with the law, the Transportation Authority may waive any or all of the requirements of this policy for any contract, property contract or bid package advertised and made available to the public, or any competitive or sealed bids received by the Transportation Authority as of the date of the enactment of this ordinance under the following circumstances:

(1) Where the Transportation Authority determines that there are no qualified responsive bidders or prospective contractors who could be certified by the Transportation Authority as being in compliance with the requirements of this policy and that the contract is for goods, a service or a project that is essential to the Transportation Authority; or

(2) Where the Transportation Authority determines that transactions entered into pursuant to bulk purchasing arrangements through federal, State or regional entities which actually reduce the Transportation Authority's purchasing costs would be in the best interests of the Transportation Authority; or

(3) Where the Transportation Authority determines that the requirements of this policy would result in the Transportation Authority's entering into a contract with an entity that was set up, or is being used, for the purpose of evading the intent of this policy, which is to prohibit the Transportation Authority from entering into contracts with entities that discriminate based on the criteria set forth in this policy;

(4) Nothing in this Section 4(d) shall limit the right of the Board to waive the provisions of this policy.

(e) This policy shall not apply to (i) the investment of trust moneys or agreements relating to the management of trust assets, (ii) Transportation Authority moneys invested in U.S. government securities or under pre-existing investment agreements, or (iii) the investment of Transportation Authority moneys where the Executive Director finds that:

(1) No person, entity or financial institution doing business in the City and County of San Francisco which is in compliance with this policy is capable of performing the desired transactions(s); or

(2) The Transportation Authority will incur a financial loss which in the opinion of the Executive Director would violate his or her fiduciary duties.



This subparagraph (e) shall be subject to the requirement that Transportation Authority moneys shall be withdrawn or divested at the earliest possible maturity date if deposited or invested with a person, entity or financial institution other than the U.S. government which does not comply with this policy.

(f) Sections 1(b) and 2(b) shall not apply to any contracts executed or amended prior to June 28, 2016, or to bid packages advertised and made available to the public, or any competitive or sealed bids received by the Transportation Authority, prior to June 28, 2016, unless and until such contracts or property contracts are amended after Transportation Authority, and would otherwise be subject to this policy.

SECTION 5. SEVERABILITY.

This policy shall be construed so as not to conflict with applicable federal or State laws, rules or regulations. Nothing in this policy shall authorize the Transportation Authority to impose any duties or obligations in conflict with limitations on municipal authority established by federal law at the time such agency action is taken.

In the event that a court or agency of competent jurisdiction holds that the State or federal law, rule or regulation invalidates any clause, sentence, paragraph or section of this policy or the application thereof to any person or circumstances, it is the intent of the Board that the court or agency sever such clause, sentence, paragraph or section so that the remainder of this policy shall remain in effect.



TITLE VI PROGRAM

I. INTRODUCTION

Created in 1989, the San Francisco County Transportation Authority (Transportation Authority) is responsible for long-range transportation planning for the City, and it analyzes, designs and funds improvements for San Francisco's roadway and public transportation networks. The Transportation Authority administers and oversees the delivery of the Prop K half-cent local transportation sales tax program. It also serves as the designated Congestion Management Agency for San Francisco under state law, and acts as the San Francisco Program Manager for grants from the Transportation Fund for Clean Air. In 2010, the Transportation Authority began serving as the administrator of Prop AA, a \$10 annual vehicle registration fee on motor vehicles registered in San Francisco, and allocates funds to street repair and reconstruction, pedestrian safety, and transit reliability and mobility improvement projects. The Transportation Authority was designated as the Treasure Island Mobility Management Agency in 2014, and thereby charged with planning for sustainable mobility on Treasure Island, including coordinating new ferry and regional bus service, on-island shuttles, and bike share and car share opportunities, projected to begin in 2019.

Title VI of the Civil Rights Act of 1964 (Title VI) prohibits discrimination by recipients of Federal financial assistance on the basis of race, color, and national origin, including the denial of meaningful access for limited English proficient (LEP) persons. In addition, Title VI and U.S. Department of Transportation (DOT) regulations prohibit recipients from intentionally discriminating against people on the basis of race, color, and national origin.

It is the policy of the Transportation Authority that the Transportation Authority shall not execute or amend any contract with any contractor that discriminates on the basis of race, color, or national origin. The Transportation Authority has several measures in place to ensure language accessibility to its programs and services for its limited-English proficient customers.

The Transportation Authority's Title VI Program (Program) describes general requirements that must be fulfilled under the Federal Title VI program as a subrecipient to the San Francisco Municipal Transportation Agency (SFMTA), who is a direct recipient of Federal Transit Administration (FTA) funds. Responsibility for implementation of the Title VI Program, 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 Program will be reviewed and updated as required or deemed advisable at least once every three years.

II. TITLE VI NOTICE TO THE PUBLIC

As required, the Transportation Authority shall post multilingual Title VI notices informing the public of the Transportation Authority's compliance with Title VI, where to find further information and how to file a Title VI complaint form.

III. TITLE VI COMPLAINT PROCEDURES AND COMPLAINT FORM

As a recipient of federal dollars, the Transportation Authority is required to comply with Title IV and ensure that services are provided in a non-discriminatory manner. As part of this requirement,



the Transportation Authority is required to develop and post a Title VI complaint form and complaint procedures that instruct the public on how to file a Title VI discrimination complaint. Any person who believes that he or she has been discriminated against on the basis of race, color, or national origin by the Transportation Authority may file a Title VI complaint by completing and submitting the Transportation Authority Title VI Complaint form.

The Transportation Authority has the following Title VI Complaint Procedure in place, which outlines a process for local disposition of Title VI complaints.

The complaint procedures are outlined below:

1. **Submission of Complaint:** Any person (Complainant) who feels that he or she, individually, or as a member of any class of persons, on the basis of race, color or national origin status has been excluded from or denied the benefits of, or subjected to discrimination under any program or activity receiving federal financial assistance through the Transportation Authority may file a written complaint with the Deputy Director of Finance and Administration. Such Complaint must be filed within 180 calendar days after the date the person believes the discrimination occurred. The Transportation Authority's Title VI Complaint Form is provided in Appendix A, and is also available at the link below.
 - o [Transportation Authority's Title VI Complaint Form](#) (PDF)
2. **Referral to Review Officer:** Upon receipt of a Complaint, the Transportation Authority's Executive Director, shall appoint one or more staff review officers, as appropriate, to evaluate and investigate the Complaint, in consultation with the Transportation Authority's General Counsel. The staff review officer(s) shall complete the review and issue a written response to the Complainant no later than 60 calendar days after the date the Transportation Authority received the Complaint. If more time is required, the review officer(s) shall notify the Complainant of the estimated time-frame for completing the review. Upon completion of the review, the staff review officer(s) shall make a recommendation regarding the merit of the Complaint and whether remedial actions are available to provide redress. Additionally, the staff review officer(s) may recommend improvements to Transportation Authority's processes relative to Title VI and environmental justice, as appropriate. The staff review officer(s) shall forward their recommendations to the Deputy Director of Finance and Administration, for concurrence. If s/he concurs, s/he shall issue Transportation Authority's written response to the Complainant.
3. **Request for Reconsideration:** If the Complainant disagrees with the response, he or she may request reconsideration by submitting a request, in writing, to the Executive Director within 10 calendar days after receipt of the written response. The request for reconsideration shall be sufficiently detailed to explain why the Complainant feels the response was inadequate or incorrect, and/or the Deputy Director of Finance and Administration did not fully understand the basis of the Complaint. The Executive Director will notify the Complainant of his or her decision either to accept or reject the request for reconsideration within 10 calendar days. If the Executive Director accepts the reconsideration request, the matter shall be returned to the review officer(s) for reevaluation in accordance with Paragraph 2 above.
4. **Appeal:** If the request for reconsideration is denied, or if the Complainant disagrees with a response after the matter is reconsidered, the Complainant may submit a further written



appeal to the Transportation Authority Board no later than 10 calendar days after receipt of the Executive Director's written decision rejecting reconsideration or after receipt of a further response following a reconsideration. The Board will then set a hearing at the next available Board meeting at which time the Complainant and staff may make brief presentations prior to the Board's consideration of the matter.

5. **Submission of Complaint to the applicable federal funding agency:** The Complainant may also file a complaint directly with the FTA, Federal Highway Administration, or other applicable federal funding agency.
6. **Tracking Title VI Complaints:** The Transportation Authority will keep track of all Complaints filed concerning Title VI and related matters, including the disposition of such Complaints and any actions related to such Complaints. A report of all such Complaints (if any) will be made annually to the Board and to the SFMTA.

Title VI Complaint Forms and information on how to file a Title VI complaint are currently available in English, Spanish and Chinese on the Transportation Authority's website at <http://www.sfcta.org/doing-business-us/title-vi-complaint-procedure>. The Title VI Complaint Form will soon be also available in Russian, Tagalog, Vietnamese, Korean, Japanese, French and Thai. (Please see Appendix A for Transportation Authority's Title VI Complaint Forms)

Title VI Complaint Forms can be submitted as follows:

San Francisco County Transportation Authority
Clerk of the Board
1455 Market Street, 22nd Floor
San Francisco, CA 94103
Fax: 415.522.4829
Email: clerk@sfcta.org

Complaints can also be submitted directly to the FTA at the following address:

Federal Transit Administration
Office of Civil Rights
1200 New Jersey Avenue SE
Washington, D.C. 20590

Customers can contact San Francisco's Telephone Customer Service Center for more information and free language assistance:

Voice within San Francisco: 311
Voice, outside San Francisco: 415.701.2311
TTY: 415.701.2323

To obtain a disability-related modification or accommodation, including auxiliary aids or services, customers can contact the Transportation Authority at 415.522.4800 or via email at clerk@sfcta.org.

IV. SUMMARY OF TITLE VI INVESTIGATIONS, COMPLAINTS, AND LAWSUITS

To date, the Transportation Authority has not received any Title VI lawsuits or investigations. Pursuant to FTA guidance, the Transportation Authority shall maintain written complaints



received during the timeframe and include the date the complaint was received, a summary of the allegation(s), the status of the complaint and action taken.

V. PUBLIC PARTICIPATION PLAN

As part of its overall Title VI Program, the Transportation Authority is required to have an established public participation plan (or process) that explicitly describes the proactive strategies, procedures and desired outcomes of its public participation activities. As a subrecipient to the SFMTA, the Transportation Authority has reviewed the SFMTA's Public Participation Plan (PPP) and has agreed to adopt certain sections of the PPP (highlighted in Appendix B) as it relates to activities that the Transportation Authority performs to solicit public participation, including public outreach and involvement strategies. Since the Transportation Authority is not a transit operator, public participation activities related to fare and service changes are not applicable. Please see Appendix C for a summary of major public participation activities conducted in 2015.

VI. LANGUAGE ASSISTANCE PLAN

Pursuant to FTA guidance, the Transportation Authority must take reasonable steps to ensure meaningful access to benefits, services, information and other important portions of their programs and activities for individuals who are limited-English proficient (LEP). The Transportation Authority has reviewed SFMTA's Language Assistance Plan (LAP) and will rely on its survey results and analysis that identified LEP individuals who need language assistance. The goal of the LAP is to provide language assistance to persons with limited English proficiency in a competent and effective manner to help ensure that its services are safe, reliable, convenient and accessible to its LEP customers.

VII. MEMBERSHIP OF NON-ELECTED COMMITTEES AND COUNCILS

As part of its Title VI Program, the Transportation Authority must provide a table depicting the racial breakdown of the membership of any transit-related, non-elected planning boards, advisory councils or committees. The Transportation Authority has two non-elected citizen committee for which it selects the full membership – the Citizens Advisory Committee (CAC) and the Geary Corridor Bus Rapid Transit CAC (GCAC).

The CAC and GCAC each strive for ethnic diversity and geographic representation, but accept applications for all districts on a rolling basis. The CAC has traditionally had one member from each supervisorial district represented on the CAC, though this is not a requirement. The GCAC requires that 8 of the 13 seats be occupied by residents of certain neighborhoods, such as the Richmond, Japantown/Fillmore, and Tenderloin/Downtown areas, while the remaining 5 seats are considered at-large and can be occupied by all residents along the Geary Corridor.

CAC and GCAC applications are distributed and accepted on a continuous basis. Applications are solicited through the Transportation Authority's website, Commissioners' offices, and email notifications 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. In addition, announcements for GCAC vacant positions are broadly targeted to the entire corridor. If members of the public are interested in participating in the CAC or GCAC, they are asked to submit an application and attend an upcoming Plans and Programs Committee meeting to speak to their interests and qualifications. The Plans and Programs Committee will then make recommendations for appointments to the full Transportation Authority Board, which



makes the final decision. Once an application is received, it will remain active for two years and will be considered for any openings, unless the applicant submits in writing a withdrawal of his/her candidacy.

CAC

The Transportation Authority has appointed a CAC consisting of eleven members representing a broad spectrum of transportation and community concerns. The CAC's mission is to assist the Transportation Authority by reflecting community values in the development of the mission and programs of the Transportation Authority; and communicating information about the Transportation Authority's mission and programs back to the community. The CAC accomplishes this by providing the Commissioners and staff of the Transportation Authority with input on nearly all matters that go before the Transportation Authority Board and its standing committees. This includes providing comments on transportation plans, programs and studies; the Prop K (half-cent sales tax) and Prop AA (\$10 vehicle registration fee) Strategic Plans; funding priorities; transportation-related legislation; and community transportation concerns. The CAC also assists in publicizing transportation projects and plans to neighborhoods, and solicits community input for feedback to the Transportation Authority.

Per the CAC's By-Laws, 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. The committee members shall be residents of San Francisco and shall serve without compensation. Committee members are appointed by the Transportation Authority Board to serve two-year terms and can be reappointed upon term expiration.

GCAC

Geary Bus Rapid Transit (BRT) is one of the signature projects included in the Prop K Expenditure Plan. The Transportation Authority is currently leading environmental analysis for Geary Corridor BRT, in partnership with the SFMTA. The environmental analysis will identify the benefits and impacts of BRT alternatives, a preferred alternative, and strategies to mitigate any environmental impacts. Engineering work for this phase will entail preparation of designs for project alternatives as needed to clarify potential impacts and support identification of a preferred alternative, as well as development of design solutions for complex sections of the corridor. Because of the detailed nature and significance of the study, the Geary Corridor BRT Citizens Advisory Committee (GCAC) is distinct from the Transportation Authority CAC. The role of the GCAC is to advise Transportation Authority staff throughout the environmental analysis of the Geary BRT project by providing input representative of varying interests along the corridor, as well as broader, citywide interests related to the project. The GCAC currently meets approximately bi-monthly.

The GCAC consists of 13 members, representing corridor and at-large interests. Members are appointed by the Transportation Authority Board to serve two-year terms and can be reappointed upon term expiration.

The following table illustrates the current membership of the CAC and GCAC. Ethnicity information is optional to provide on the applications. Any responses are self-selected on applications.



Table 1: Membership of Committees, Broken Down by Race

Committee	Asian	Caucasian	Hispanic	Not Provided	Total
CAC	1 out of 11 members or 9%	4 out of 11 members or 36%	1 out of 11 members or 9%	5 out of 11 members or 46%	11 members
GCAC	4 out of 13 members or 31%	3 out of 13 members or 23%	0 out of 13 members or 0%	6 out of 13 members or 46%	13 members

VIII. SUBRECIPIENT ASSISTANCE AND MONITORING

As the Transportation Authority is not a direct recipient of FTA funds, it is not required to perform subrecipient monitoring procedures.

IX. TITLE VI EQUITY ANALYSIS FOR FACILITY CONSTRUCTION

As the Transportation Authority has not constructed a facility, it is not required to perform a Title VI equity analysis for facility construction.

X. DOCUMENTATION OF TITLE VI PROGRAM APPROVAL BY TRANSPORTATION AUTHORITY BOARD OF COMMISSIONERS

The Transportation Authority submitted a draft Title VI Program to the SFMTA for review and comment in January 2016, prior to seeking approval from the Transportation Authority Board. The Title VI Program is anticipated to be approved by the Board by June 2016. A copy of the approved resolution will be forwarded to the SFMTA.

APPENDIX A: TITLE VI COMPLAINT FORM

San Francisco County Transportation Authority

1455 Market Street, 22nd Floor
San Francisco, California 94103
415.522.4800 FAX 415.522.4829
info@sfcta.org www.sfcta.org



San Francisco County Transportation Authority Title VI Complaint Form

Complaints must be filed within 180 days of the alleged act of discrimination

COMPLETE FORM, PRINT, SIGN, AND SUBMIT BY MAIL, FAX, OR EMAIL.

IF USING ADOBE ACROBAT, SAVE TO A NEW FILE NAME BEFORE BEGINNING.
IF USING ADOBE ACROBAT READER, YOU CAN ONLY PRINT, NOT SAVE.

SECTION I

NAME: _____

STREET ADDRESS: _____

CITY/STATE/ZIP: _____

HOME PHONE: _____ WORK PHONE: _____

EMAIL ADDRESS: _____

Accessible format requirements? (CHECK ALL THAT APPLY)

Large print Audio tape TDD Other: _____

SECTION II

Are you filing this complaint on your own behalf? YES NO

If you answered YES to this question, go to Section III

If you answered NO to this question, please supply the name of the person for whom you are filing this complaint and your relationship to him/her:

Please explain why you are filing for this person:

Please confirm that you have obtained permission from the complaining person if you are filing on their behalf:

YES NO

SECTION III

(CHECK ALL THAT APPLY)

I believe the discrimination I experienced was based on: Race Color National Origin

Date of alleged discrimination (Month, Day, Year): _____

Please turn over the page and continue on the back. 

San Francisco County Transportation Authority Title VI Complaint Form (continued)

Explain as clearly as possible what happened and why you believe you were discriminated against. Describe all persons who were involved. Include the name and contact information of the person(s) who discriminated against you (if known) as well as the names and contact information of any witnesses. Attach additional page(s) if necessary.

Have you filed a lawsuit regarding this complaint? If yes, please specify:

SECTION IV

Have you previously filed a Title VI complaint with this agency? YES NO

SECTION V

Have you filed a complaint with any other Federal, State, or Local agency, or with any Federal or State court?

YES NO

If yes, check all that apply: Federal Agency Federal Court
 State Agency State Court Local Agency

DATE(S) FILED: _____

Provide contact information for the additional agency or court:

NAME: _____

STREET ADDRESS: _____

CITY/STATE/ZIP: _____

WORK PHONE: _____ EMAIL ADDRESS: _____

SECTION VI

Please attach any additional written material or other information that you think is relevant to your complaint.

SIGN HERE: _____ **DATE:** _____

NOTE: The Transportation Authority cannot accept your complaint without a signature.

Submit the signed complaint form by mail, fax, or email to:

San Francisco County Transportation Authority
Clerk of the Board
1455 Market Street, 22nd Floor
San Francisco, CA 94103
FAX: 415.522.4829
EMAIL: clerk@sfcta.org



SFMTA

Municipal Transportation Agency



PUBLIC PARTICIPATION PLAN

June 2013

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A. INTRODUCTION

The purpose of the San Francisco Municipal Transportation Agency's (SFMTA) Public Participation Plan ("Plan") is to provide a framework of options and strategies from which to guide a customized, systematic and strategic public involvement approach that seeks out and considers the viewpoints of the general public and other stakeholders in the course of conducting public outreach and involvement activities. Of particular importance are those methodologies that specifically address linguistic, institutional, cultural, economic, historical or other barriers that may be preventing minority, low-income and limited English proficient (LEP) populations from participating effectively in the SFMTA's decision-making process.

The Plan also reflects and reinforces the primary goal of the SFMTA's public involvement activities: to offer early and continuous opportunities for the public to learn about a particular project or initiative while meeting the particular needs of the groups being presented to, such as language, schedule or location accommodations, in order to maximize their involvement in the identification of social, economic and environmental impacts of proposed transportation decisions.

The concerns, issues, creative ideas and needs of community members that are gathered through the public involvement process will inform the outreach efforts throughout the course of the project or Agency activity and allow Agency staff and decision-makers to make better informed decisions.

As stated in Federal Transit Administration (FTA) Circular 4702.1A, the SFMTA has "wide latitude to determine how, when and how often specific public involvement measures should take place and what specific measures are most appropriate." (FTA C 4702.1A, Section IV-5) The SFMTA makes these determinations based on a variety of factors, including the composition of the population affected by its actions, the type of public involvement process planned for the particular project or initiative and the resources available to the agency.

In further response to the FTA guidance and the recommendation regarding implementing the Department of Transportation's LEP policy guidance as an effective practice to help overcome barriers to public participation, this Plan also integrates findings from primary research (focus groups, surveys and interviews) conducted during the 2012 update of the SFMTA's Language Assistance Plan (LAP), which focused on receiving feedback from minority, low-income and LEP populations through a series of focus groups.

B. AGENCY OVERVIEW

Established by voter proposition in 1999, the SFMTA, a department of the City and County of San Francisco, oversees the Municipal Railway (Muni), parking and traffic, bicycling, walking and taxis within the City and County of San Francisco. With five modes of transit, Muni has approximately 700,000 passenger boardings each day. Founded in 1912, Muni is one of the oldest transit systems in the world. It is the largest transit system in the Bay Area and seventh largest in the nation, serving more than 200 million customers a year. The Muni fleet is unique and includes: historic streetcars, biodiesel and electric hybrid buses and electric trolley coaches, light rail vehicles, paratransit cabs and vans, and the world-famous cable cars. Muni has 80 routes throughout the City and County San Francisco with stops within two blocks of 90 percent of all residences in the City. Muni provides service 24 hours a day, seven days a week.

Demographic Overview of San Francisco

The SFMTA service area comprises the City and County of San Francisco. According to the 2010 U.S. Census, San Francisco is diverse both with regards to ethnicity and income levels, as can be seen in the following table:

Race/Ethnicity

Category	Percentage
African American/Black	6.1%
American Indian/Alaskan Native	0.5%
Asian/Asian American	33.3%
Native Hawaiian/Other Pacific Islander	0.4%
Hispanic	15.1%
White (not Hispanic)	41.9%
Multiracial	4.7%

Income Per Household

Median Household Income (2006-2010)	\$71,304
Per Capita Income (2006-2010)	\$45,478
Persons Below Federal Poverty Level (2006-2010)	11.9%

Source: 2010 U.S. Census and 2006-2010 American Community Survey

Limited English Proficiency Populations: With regard to LEP populations, data is gathered from the 2008-2010 ACS Three-Year Estimate, as the 2010 Census data did not address language proficiency. ACS data shows a total population of 764,274 for San Francisco City and County. Of this population, an estimated 182,745 people, or 23.91% of San Francisco's population, speak English less than "very well". Of these persons: 95,079 (or 52.03% of the LEP population) speak Chinese; 39,609 (21.67%) speak Spanish; 10,844 (5.93%) speak Tagalog; 8,814 (4.82%) speak Russian; 6,893 (3.77%) speak Vietnamese; 3,969 (2.17%) speak Korean; 2,797 (1.53%) speak Japanese; 1,421 (0.78%) speak French; and 1,130 (0.62%) speak Thai. Maps included in the Factor One LAP analysis show concentrations of LEP groups by language within the City and County of San Francisco and will be utilized for targeted customer outreach in those languages.

C. PUBLIC OUTREACH AND INVOLVEMENT STRATEGIES

This Plan details numerous communication strategies and tactics that offer early and continuous opportunities for the public to be involved in the identification of social, economic and environmental impacts of proposed transportation decisions.

One of the first steps before commencing any public involvement effort is the identification of stakeholders. Stakeholders are those who are either directly or indirectly affected by a proposed plan, project or initiative or the resulting recommendations. Those who may be adversely affected, or who may be denied the benefits of a plan's recommendations, are of particular interest in this initial identification process. Stakeholders can include many different individuals, populations, groups or entities, including general citizens, SFMTA/Muni customers, minority and low-income persons, public agencies, and private organizations and businesses.

Once the stakeholders have been identified, project managers and other SFMTA staff can consult the available public involvement and outreach methods to customize a plan to maximize public outreach and involvement opportunities for a particular project or initiative.

The following table summarizes existing public involvement and outreach methods used by the SFMTA; detailed descriptions of each method used are included below. It's important to note that not every method listed will be used on every project or initiative; the project manager, along with the community outreach team, will establish a customized approach for each public involvement/ outreach process, choosing from the options discussed below, that will best meet the needs of the target audience and best accomplish the goals of the particular project or activity. Note that indications of additional steps needed are specific plan enhancements resulting from the LAP research process.

AVAILABLE PUBLIC INVOLVEMENT METHODS

	Method	Description	Status
1	Community Meetings	Community briefings that allow interested stakeholders, customers and the general public to receive current information and provide feedback at key decision points.	In use. Additional relationships with CBOs will increase effectiveness.
2	Website Support	Contains information in Chinese, Spanish, Russian, French, Japanese, Korean, Tagalog, Thai and Vietnamese	In use.
3	Ethnic Media Relations	Press Releases and media events are employed to disseminate project and Agency activity information and accomplishments to local, national and trade media outlets.	In use. Media outreach is conducted to varying degrees in the following languages: English, Chinese, Spanish, and Russian.
4	Community Events	Information booths at community events, fairs and street festivals	In use.
5	Community Organizations	Coordination with individuals, institutions, community and faith-based organizations, and groups to reach out to members in affected minority, low-income and/or LEP communities	In use and efforts increasing.
6	Accessibility (locations, times)	Utilization of locations, facilities, and meeting times that are convenient and accessible to the targeted audiences, including minority and low-income communities	In use. Decisions made in coordination with CBOs.
7	Flexible Public Participation Opportunities	Utilization of different meeting sizes and formats, times of day and other accessibility factors , as well as the type and number of news media used to announce public participation opportunities, so that communications are tailored to the particular community or population	In use. Decisions made in coordination with CBOs.
8	Translation Assistance	Free in-person language assistance is available at SFMTA's multilingual Customer Service Center or via telephone through the City's multilingual 311 Customer Call Center, which has access to a language line with over 175 languages. Translation assistance at community meetings and workshops is available via bilingual SFMTA staff and through outside translators.	In use.

	Method	Description	Status
9	Multilingual Materials	Development and publication of collateral material, including information sheets and newsletters, in multiple languages	In use.
10	Street Level Outreach	Street level outreach informs customers, residents and businesses of on-going outreach activities, and to engage the public at a personal level.	In use.
11	Social Media	Use of social media, such as project blogs, Facebook, Twitter, Flickr, and YouTube	In use and increasing.
12	Community Advisory Groups	A Community Advisory Group (CAG) is comprised of members representing various communities, backgrounds, professions and interests	Used when appropriate; examples include the Central Subway Project and the Transit Effectiveness Project
13	Public Noticing	A public information strategy publicizes various aspects of the project, including construction updates and service impacts.	In use now in English, Chinese, Spanish; depending on LEP concentration in particular area, the SFMTA may produce materials in additional languages.
c14	Community-based Organization Outreach	Outreach to contractors and community-based organizations regarding the SFMTA's Small Business Enterprise (SBE) and employment training programs	In use.
15	Email Communications	Use of project-specific email addresses and blast e-mails to facilitate communication to, and feedback from, the public.	In use.
16	SFMTA Board of Directors Meetings	Board meetings, which are open to the public, are held on the first and third Tuesday of every month.	Language assistance available upon request.
17	Citizens Advisory Council Meetings	The SFMTA also includes a Citizens Advisory Council (CAC), which draws from a broad set of stakeholders and represents the diversity of San Francisco residents.	In use.

	Method	Description	Status
18	Metropolitan Transit Commission/Public Participation Plan	For additional outreach and public participation opportunities with regard to long-term regional planning efforts, the SFMTA relies on its metropolitan planning organization, the Metropolitan Transportation Commission (MTC), and their efforts via their Public Participation Plan.	In use.

Detailed descriptions of the methodologies summarized in the previous table are included below. As technology advances, and depending on particular situations, other methods may be incorporated. As mentioned above, very few Agency activities or initiatives will require utilization of all of the listed methods. The intention of the list is to provide a comprehensive menu of approaches that are at SFMTA staff's disposal. It is up to the project team and the SFMTA's Corporate Communications team to determine the appropriate mix on a case-by-case basis, once the stakeholders for a particular project or initiative have been identified.

1) Project Open Houses and Community Briefings:

Publicly noticed project open houses and community briefings allow interested stakeholders to receive the most current information in an interactive setting, direct from SFMTA staff. Project open houses and community briefings range from full presentations with full proposal review to small informational sessions. Comment cards, letters of support and written statements are compiled to document the reception and the reaction of the public. Attendees are further directed to other sources of information (e.g., SFMTA website, project website, project emails and phone numbers, social media, etc.) to continue interaction and dialogue. The SFMTA works with community partners to leverage already-scheduled meetings in low-income, minority and LEP communities in order to maximize outreach and participation. Using locations, facilities and meeting times that are convenient and accessible to these populations encourages attendance and further promotes public involvement. In addition, rather than asking the public to attend additional meetings to gather information, SFMTA staff seeks to integrate public participation efforts into existing community and neighborhood activities.

Meetings that are scheduled by SFMTA staff are accessible by Muni and scheduled at various times of the day and on weekends to accommodate working families, individuals, and seniors. For example, input from the LAP focus groups tended to indicate that meetings held during the day, whether during the week or on weekends, were ideal for seniors, who felt safer meeting at community centers during the daytime. SFMTA staff will continue working with community-based organizations and other community partners when scheduling these events in order to meet the needs of the particular communities and maximize participation.

2) **Website Support:**

Creation, branding and maintenance of an interactive project website is a critical public information tool. By visiting a project website, the general public learns about the purpose of the project, the communities it will serve, construction schedules, community engagement, project history and more. As circumstances allow, the project website may contain dedicated landing pages for each project element. A Google Translate widget could also be added to allow visitors to translate the site into any of the 53 languages Google Translate supports.

3) **Media Outlets:**

Press Releases and media events are used to disseminate project and Agency activity information and accomplishments to local, national and trade media outlets. A variety of available resources, including media contact lists and website and social media, are used to communicate with the general public. The media strategy incorporates written press releases, press conferences, interviews, roundtables, site tours, events, and, as appropriate, television and radio talk and call-in shows, online chats, editorial boards and op-ed pieces. Media outreach is ongoing. Press releases and media events are coordinated with SFMTA Corporate Communications, and the appropriate SFMTA staff. Multilingual print media, such as El Mensajero, Sing Tao and Kstati and local neighborhood newspapers are included in the media strategy. Based on LAP-related focus group feedback, multilingual broadcast media (radio, TV) and ethnic newspapers

were highly favored methods for outreach and providing notice and they should be utilized to the extent possible, as circumstances and resources allow.

4) Community Events:

SFMTA staff participate in community events throughout the city to establish a presence and publicize achievements and milestones. Outreach includes information booths and tables at festivals, job fairs, street parades and other community events. At these events, updated collateral material (fact sheets, meeting notices, project design renderings, etc.) and other pertinent project information is disseminated to the general public in multiple languages. Interested members of the public are further directed to online resources and the City's multilingual 311 call center.

5) Community Organizations:

SFMTA staff identifies and engages with individuals, institutions, community and faith-based organizations with low-income, minority and/or LEP constituents to ensure they understand the latest proposals and to listen and respond to their concerns. Appendix A contains a list of individuals, institutions, organizations and groups to be considered for outreach efforts depending on project, location, etc.; Appendix B lists the CBOs and other community organizations and leaders involved in the focus group and LAP revision effort and with whom relationships will be sustained and utilized in both future LAP and PPP initiatives.

6) Flexible Public Participation Opportunities:

SFMTA staff varies the size and format of meetings depending on the community's needs. A town hall meeting with the local member of the San Francisco Board of Supervisors, for example, will differ in size and format from a gathering of a neighborhood group in the impacted area.

7) Translation Assistance:

As appropriate, SFMTA will host community meetings with translation assistance provided by bilingual SFMTA staff, external translators or by community members. Comment cards are provided and follow-up is conducted by the SFMTA's Community Outreach staff post-meeting.

8) Multilingual Materials:

Multilingual collateral material is used to give the public useful information about current and upcoming activities. Collateral material can include fact sheets, FAQs, newsletters, media/press packets and flyers. Fact sheets are revised and updated as needed. FAQs are updated as feedback and questions from the general public are received either through email, written or social media correspondence. As appropriate, collateral material is translated and posted on the project website and www.sfmta.com disseminated at public events and distributed via postings inside transit vehicles, transit stations and shelters and on transit platforms and station kiosks. Information is also distributed via direct mail to affected customers, residents and business owners and via email blast to community outreach partners and interested individuals. Primary languages for translation are Spanish and Chinese; depending on the document, the scope of the project and the concentrations of relevant LEP populations, materials may also be translated into Russian, Vietnamese and other languages, as required.

9) Presentations and Visual Aids:

In an effort to overcome language barriers and enhance communication with the public, the SFMTA project staff will use various illustrative visual aids, such as design renderings and drawings, charts, graphs, photos, maps and the Internet, as appropriate and as circumstances allow. PowerPoint presentations are often used and can be translated as necessary, for example, with the Central Subway Project and its presentations in Chinatown, which were produced in Chinese and given in Cantonese.

10) Street Level Outreach:

Many SFMTA customers and San Francisco residents may have no interest or ability to participate in a meeting or review a website. Street level outreach attempts to capture the opinions and needs of these stakeholders. This includes knowledgeable staff and ambassadors engaging in conversations, recording comments via written notes or via mobile applications that allows transit users to comment while talking with an ambassador out in the field. For corridor-level outreach, project staff engages residents, businesses and customers that live and conduct business along the route to articulate the potential impact of a proposed project or initiative, build support and address in-person concerns or ideas. Local neighborhood and merchant group meetings are leveraged and, where appropriate, staff can go door-to-door. This outreach corresponds with ongoing public meetings and offers an additional opportunity to extend invitations for attendance.

11) Social Media:

By creating and maintaining an online and social media presence through project blogs, Facebook, Twitter and YouTube to engage stakeholders and encourage maximum participation in the outreach process, the SFMTA reaches out to and hears from those who are unable to attend, or do not regularly participate in, traditional public meetings and board hearings. For those who can participate in person, an online and social media presence allows two-way communication between meetings, strengthening the dialogue and reinforcing process transparency.

12) Community Advisory Groups (CAGs):

The mission of a CAG is to accomplish the following: (1) to discuss and study the planning, design and implementation of the project; (2) to examine the primary issues surrounding the project, such as construction approaches and operations; and (3) to develop a community consensus and benefits strategy for all levels of activity associated with the project. CAG meetings should be scheduled during times and in locations that maximize participation by CAG members as well as low-income, minority

and LEP populations. An example of a current project that utilizes a CAG is the Central Subway Project.

13) Public Noticing:

In addition to the collateral materials listed above, project staff may also distribute leaflets door-to-door and use other forms of public advertisement to notify the public of crucial project information (e.g., billboards, bus shelters, bus ads, AT&T Baseball Park ads, etc.).

14) CBO and Contractor Outreach:

Outreach to contractors and community-based organizations regarding the SFMTA's Small Business Enterprise (SBE) and employment training programs provides businesses with information about opportunities to bid and compete for upcoming contracts. These outreach events inform the contracting community of upcoming bid packages, assist small contractors in developing relationships with prime contractors and examine ways to increase diversity in workforce participation.

15) Email Communication:

Project-specific email addresses are created in order to facilitate communication and feedback from the public. Email blasts to Community Based Organizations (CBOs), stakeholders, advocacy groups, faith-based organizations, merchants' organizations, neighborhood groups and other interested individuals are also used.

16) SFMTA Board of Directors' (SFMTAB) Meetings:

Agendas are available 72 hours prior to the Board meetings and are posted at City Hall, the Main Library and on www.sfmta.com. Additional Board information is available at SFMTA headquarters in San Francisco and at the San Francisco 311 Customer Service Center, which provides language assistance through trained bilingual staff and a multilingual Language Line. Board meetings that involve fare and service changes are advertised on a broader scale: meeting times are communicated via multilingual notices posted in revenue vehicles, transit stations and faxed to distribution lists. Radio ads

and media placements in English, Spanish, Chinese newspapers and other ethnic media outlets are utilized as circumstances dictate and resources allow. All Board meetings have a public comment period and translators are available upon 72-hour request. The meetings are held in City Hall, which is easily accessible by transit. Regular SFMTA Board meetings and select other meetings are broadcast on cable via SFGTV and streamed on the Internet. Board Agendas and Meetings Minutes are available to the public at www.sfmta.com.

17) Citizens' Advisory Council Meetings:

The CAC meets monthly in a public setting and provides recommendations to the SFMTA Board of Directors on key policy issues facing the Agency. CAC meetings are posted at the library and on SFMTA website. Meetings are recorded and minutes are created and posted at www.sfmta.com.

18) Metropolitan Transportation Commission (MTC) / Public Participation Plan:

This plan details a comprehensive outreach program that includes outreach to minority and low-income communities throughout the region. Components of the plan include telephone surveys and focus groups comprising the demographic composition of the individual Bay Area communities, including San Francisco. MTC conducts limited outreach to San Francisco-based CBOs in minority/low-income areas and provides grants to CBOs throughout the region to help fund individual outreach efforts, recruitment efforts for meeting participation and help meet language assistance needs via translators and production of multilingual collateral. The SFMTA is part of a regional working group, led by MTC that is working on collaborating on public outreach and involvement strategies, piggybacking on translation contracts and production of shared multilingual materials.

D. FARE AND MAJOR SERVICE CHANGES

This section details the San Francisco Charter and local law requirements for soliciting and considering public input before changing any fare or implementing a major service change. The SFMTA is strongly committed to the right and need for participation by riders and other members of the public in the decision making process concerning fares and major service changes.

Fare Changes

SFMTA has a locally-developed process for soliciting and considering public comment prior to implementing any fare change. SFMTA's procedures exceed the requirements of the Federal Transit Administration (FTA), which requires that federally funded transit agencies only provide an opportunity for a public hearing to obtain the views of the public regarding a proposed fare change.¹ SFMTA's practice is to publish its intention to change fares in the City's official newspaper for five days and to hold a public hearing not less than 15 days after publication in compliance with both San Francisco Charter section 16.112 and the SFMTA Board of Directors' Rules of Order.

With respect to the City Charter, Section 16.112 requires published notice in the City's official newspaper prior to any public hearing to consider instituting or changing any fee, schedule of rates, charges or fares which affects the public. This section states:

“The publication of and full public access to public documents, except for those subject to confidentiality, shall be as required by law. Notice shall be published in a timely manner before any public hearing, and shall include a general description of said hearing. Notice shall be given, and public hearings held before: ... (c) Any fee, schedule of rates, charges or fares which affects the public is instituted or changed; should any such notice be approved, the result shall also be noticed; ...”

¹ 49 U.S.C. §5307

Although Charter section 16.112 does not specify how far in advance the City must publish notice of the public hearing, most City departments publish notice at least thirty-six hours prior to a public meeting.

In addition, the governing board of the SFMTA, the Municipal Transportation Agency Board (MTAB), has promulgated an additional requirement regarding how far in advance the SFMTA must publish notice for changes involving rates, charges, fares, fees and fines. SFMTA Board Rules of Order, Article 4, §10 provides:

“Before adopting or revising any schedule of rates, charges, fares, fees or fines, the Board shall publish in the official newspaper of the City and County for five days notice of its intention to do so and shall fix the time for a public hearing or hearings thereon, which shall be not less than fifteen days after the last publication of said notice, and at which any person may present his or her objection to or views on the proposed schedule of rates, fare or charges.”

In compliance with state and local law, the SFMTA posts its meeting agenda in a location accessible to the public, the San Francisco Public Library, and on the SFMTA’s website, www.sfmuni.com, at least seventy-two hours prior to an MTAB meeting. Minutes from the meeting are kept and are available to the public via the SFMTA’s website. Letters from the public are placed in a public review file accessible to members of the public, and provided to the members of the MTAB. With respect to public comment, members of the public have the right to speak at all meetings of the MTAB. Typically, the public is permitted to speak for up to three minutes on each item considered by the MTAB although the body has the discretion to limit public comment to less than three minutes if circumstances warrant. Language assistance, such as oral interpreters, is provided if 48 hours advance notice is given, pursuant to S. F. Administrative Code, Section 91.6. The MTAB may respond to comments made by the public and take other actions, such as amending the item or delaying a decision, as it deems appropriate.

Once the MTAB approves the proposed fare change, it is sent to the San Francisco Board of Supervisors pursuant to Section 8A.108 of the Charter. Section 8A.108(a) provides that: “Except as otherwise provided in this Section, any proposed change in fares or route abandonments shall be submitted to the Board of Supervisors as part of the Agency’s budget or as a budget amendment under 8A.106, and may be rejected at that time by a seven-elevenths vote of the Board on the budget or budget amendment. Any changes in fares or route abandonments proposed by the Agency specifically to implement a program of service changes identified in a system-wide strategic route and service evaluation such as the Transit Effectiveness Project may only be rejected by a single seven-elevenths’ vote of the Board of Supervisors on the budget or budget amendment.”

In compliance with state and local law, the public is provided an opportunity to comment on the proposed fare change at any scheduled committee meeting of the Board of Supervisors considering the fare change, and during general public comment before the full Board of Supervisors. Minutes of Board of Supervisors meetings are kept and available to members of the public via the Board of Supervisors’ website. Letters from the public sent to the Board of Supervisors concerning the proposed fare change are placed in a public review file, and made available to the Members of the Board of Supervisors.

Depending on whether circumstances warrant, the SFMTA may supplement the procedures described above with one or more of the public outreach and involvement strategies discussed in Section C of this document, some of which are listed below in the discussion of Major Service Changes. As is the SFMTA’s standard practice, the needs of our limited English proficient customers are taken into account in any public outreach efforts concerning proposed fare changes.

Major Service Changes

SFMTA also has a locally-developed process for soliciting and considering public comment prior to implementing a major service change. SFMTA defines “a major service change” as a change in transit service that would be in effect for more than a 12-month period, and that would consist of any of the following criteria:

- A schedule change (or series of changes) resulting in a system-wide change in annual revenue hours of five percent or more proposed at one time or over a rolling 24 month period;
- A schedule change on a route with 25 or more one-way trips per day resulting in:
 - Adding or eliminating a route;
 - A change in annual revenue hours on the route of 25 percent or more;
 - A change in the daily span of service on the route of three hours or more; or
 - A change in route-miles of 25 percent or more, where the route moves more than a quarter mile.

Corridors served by multiple routes will be evaluated based on combined revenue hours, daily span of service, and/or route-miles.

- The implementation of a New Start, Small Start, or other new fixed guideway capital project, regardless of whether the proposed changes to existing service meet any of the criteria for a service change described above.

Charter section 16.112 requires published notice in the City’s official newspaper prior to any public hearing in which the MTAB considers a significant change in the operating schedule or route of a street railway, bus line, trolley bus line or cable car line. Although Charter section 16.112 does not specify how far in advance the City must publish notice of the public hearing, the SFMTA’s practice is to publish its intention to consider any significant transit service change in the City’s official newspaper for five days and to hold a public hearing not less than 15 days after publication.

In situations where the SFMTA is proposing a “route abandonment” for a particular line or service corridor, the SFMTA must seek approval from both the MTAB, and the Board of Supervisors pursuant to Charter section 8A.108. Under the Charter, a “route abandonment” means the permanent termination of service along a particular line or service corridor where no reasonably comparable substitute service is offered.

If the SFMTA proposes a route abandonment at any time other than as part of its budget process, the agency must first submit the proposal to the Board of Supervisors. The Board of Supervisors may, after a noticed public hearing, reject the proposed route abandonment by a seven-elevenths vote taken within 30 days after the proposal is submitted by the SFMTA.

If the proposed route abandonment is submitted as part of the SFMTA’s budget, it must be rejected by a seven-elevenths vote of the Board on the budget or budget amendment.

As with the public process for fare changes, SFMTA’s procedures exceed the requirements of the FTA. Language assistance, such as oral interpreters, is provided if 48 hours advance notice is given. Once published notice has been provided and a meeting agenda posted as described above, the major service change can be considered by the MTAB at a regular or special meeting. Minutes from the meeting are kept, and are available to the public via SFMTA’s website. Letters from the public are placed in a public review file accessible to members of the public, and provided to members of the MTAB. With respect to public comment, members of the public have the right to speak at all meetings of the MTAB. Typically, the public is permitted to speak for up to three minutes on each item considered although the body has the discretion to limit public comment to less than three minutes if circumstances warrant. The MTAB may respond to comments made by the public and take other actions, such as amending the item or delaying a decision, as it deems appropriate.

In circumstances involving a route abandonment, the public is provided an opportunity to comment on the proposed service change at any scheduled committee meeting of the Board of Supervisors considering the service change, and during general public comment before the full Board of Supervisors. Minutes of Board of Supervisors meetings are kept and available to members of the public via the Board of Supervisors' website. Letters from the public sent to the Board of Supervisors concerning the proposed service change are placed in a public review file, and made available to the Members of the Board of Supervisors.

Once SFMTA has proposed a major service change or fare change, the SFMTA may provide additional notification to any affected neighborhood(s) and riders regarding the proposed changes and the time and location of any public meeting where public comment will be solicited. SFMTA will also provide information about proposed fare or major service changes on its website. The SFMTA provides such notification in one or more of the following ways, depending on the circumstances:

- Posting meeting notices on transit vehicles used by affected riders;
- Posting meeting notices at transit stops and/or on utility poles;
- Mailing or e-mailing a form letter and/or meeting announcements to neighborhood organizations and to residents and businesses on affected streets and/or mass-distributed to addresses in affected areas;
- Publishing meeting notices in neighborhood papers or multilingual or alternative language newspapers;
- Sending meeting notices to identifiable affected groups (for example, Caltrain riders if Caltrain feeder routes are affected);
- Circulating an attendance sheet at the meeting to create a contact list;
- Sending letters to names on contact lists including revised versions of the original proposal, and information regarding upcoming MTA Board meeting;
- Using public service announcements for radio and TV (for issues of citywide impact, when circumstances dictate and resources allow);
- Issuing a press release (for issues with citywide impact).

D. COMMUNITY OUTREACH AND COMMENT

To ensure that the outreach tools indicated in SFMTA's Public Participation Plan (PPP) hit the mark, community input was sought through presentations and surveys at five meetings with community-based organizations. Five separate neighborhoods were chosen throughout the City and County of San Francisco in order to represent a cross-section of the City's diverse communities:

1. Bayview Hunters Point
2. Fillmore/Western Edition
3. Mission
4. Chinatown
5. Sunset District

Within these neighborhoods a total of 40 community organizations were identified, including those that had participated in SFMTA's Language Assistance Plan community-based organization (CBO) focus group effort. Out of the 40, five were selected for community meetings based on the diversity of the neighborhoods they represent. The meetings included a presentation, a question and answer session and a survey to be completed on-site by meeting attendees concerning their preferences for receiving agency information and keeping in touch with the SFMTA.

In order to keep the conversation focused during the presentation, the stakeholders were told that the purpose of the presentation was to seek their input not on Muni

services specifically but on how best to communicate with them and how they prefer to offer their input back to the SFMTA.

Presentations included a description of the PPP,



including an overview of the current communication tools used by SFMTA to reach its stakeholders. Copies of the plan were made available and stakeholders were also told they could obtain copies by calling the 311 information line, which was stressed as a good way to register questions and receive information in both English and multiple other languages. Presenters stressed the variety of outreach methods available to the public. Staff worked with the leadership of the CBOs to determine in advance any language needs of the participants and translation services were provided for Chinese and Spanish-language participants. The survey was translated into Spanish and Chinese. Presentations were made to the following five groups in October and November 2012:

	Neighborhood	Organization	# of Surveys
1	Chinatown	Chinatown Community Development Center	19
2	Western Addition	Ida B. Wells Senior Center	59
3	Bayview	True Hope Baptists Church	14
4	Mission District	Mission Neighborhood Center	23
5	Sunset District	Sunset Neighborhood Beacon Center	35
6	CBO Leadership	12 community-based organizations	12
Total Surveys			162

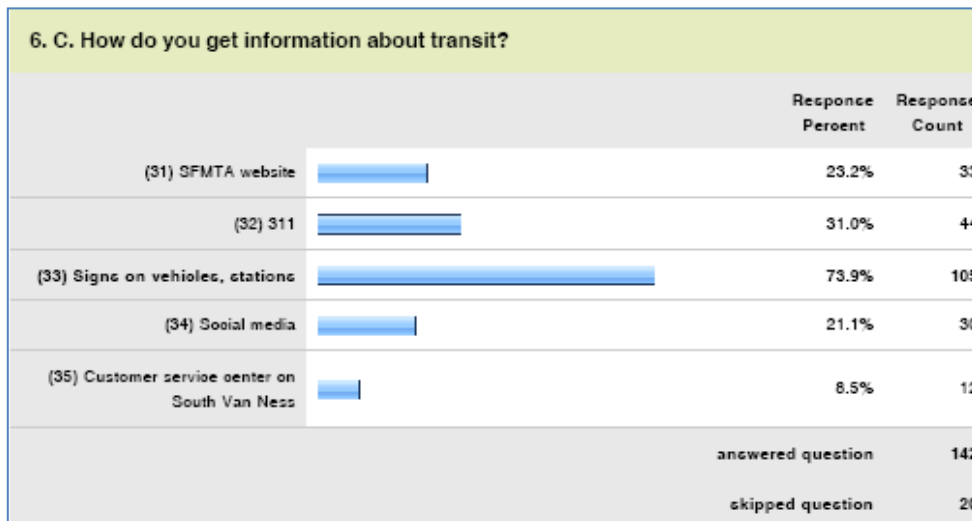
An SFMTA community outreach professional was on hand at all meetings to answer specific questions about Muni services, and those questions were also logged and included in the survey report. All audiences were attentive and responsive and expressed appreciation for the presentations.

Survey Highlights

How do you get information about transit?

Overwhelmingly, respondents (73.9%), get information from signs on vehicle and in stations, with this option also ranking as one of the top three preferred methods by

which to get transit-related information. The City’s 311 information line serves more than 30% of respondents, with the customer service line also placing in the top three preferences in terms of sources of information for nearly 44% of respondents. About 23% obtain information from the SFMTA website and nearly 48% place that source in their top three.



Survey Comment Card Response (Accessible Diagram)

6.C. How do you get information about transit?

Source	Number of Responses Received	Response Percentage	Response Count
SFMTA website	31	23.2%	33
311	32	31.0%	44
Signs on vehicles, stations	33	73.9%	105
Social media	34	21.1%	30
Customer service center on South Van Ness	35	5.5%	12

Total of answered questions	142
Total of skipped questions	20

These same sources were cited by respondents in relatively similar percentages when respondents were asked to select *three options that you think are the best ways to reach community members*.

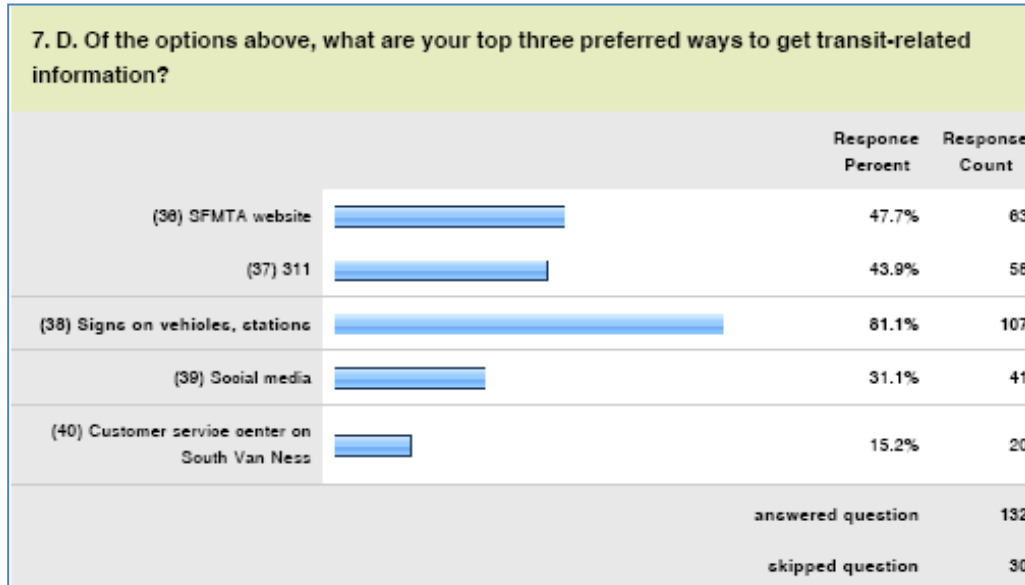
These findings underscore the importance of these information sources and reaffirm the SFMTA’s focus on these methods in terms of ongoing community outreach while keeping an eye on the organization’s flexible list of outreach tools. All of these notification methods are included in the PPP.

Preferences for receiving information and sharing comments

When respondents are in direct contact with SFMTA staff (at community meetings, for example), they favor information via handouts (62.4%) and prefer recording their questions and comments in writing on comment cards. The CBOs also tend to be willing to display SFMTA service bulletins or fliers in their offices and are on SFMTA email blasts and contact lists. The topics of most importance reported in the meetings and surveys were, in top three order, *fare and service changes, safety and transit services in general*.

How do you get information about SFMTA meetings?

Results are very diverse, with literally all forms of notification receiving answers. Importantly, nearly half of respondents indicated *information cards* on Muni vehicles. *Radio, TV, Ethnic media* and information via *community-based organizations* were also recognized as significant information sources.



Survey Comment Card Response (Accessible Diagram)

7.D. Of the options above, what are your top three preferred ways to get transit-related information?

Source	Number of Responses Received	Response Percentage	Response Count
SFMTA website	36	47.7%	63
311	37	43.9%	58
Signs on vehicles, stations	38	81.1%	107
Social media	39	31.1%	41
Customer service center on South Van Ness	40	15.2%	20
Total of answered questions			132
Total of skipped questions			30

Attending Public Meetings

While most respondents (71%) have never attended a public meeting on transit-related issues, when asked what factors would enable them to come, two topped the list: location (71.4%) and time of day (53.6%). A variety of other factors were considered and recorded. While time of day is seen as important, respondents were fairly equally divided about the best time of day, although weekdays were favored over weekends. Another factor that registered to many was the availability of language assistance.



A Variety of Comments

When offered an opportunity to comment on topics of interest, those comments dealt universally with Muni services (complaints and observations), rather than communication topics. This variety of comments is included in the survey response document in the appendix.

Community-based Organization Leadership Surveys

Because SFMTA’s relationship with community-based organizations is a vital link to its stakeholders, the feedback from those leaders, who were instrumental in setting up meetings and focus groups throughout the project, is equally important. Twelve CBO leaders were surveyed for their feedback on the Public Participation Plan, including the five leaders who facilitated presentations to their groups:

Name	Title	Organization
LaShon A. Walker	Vice President	Bayview Merchants Association
Cathy Davis	Executive Director	Bayview Hunters Point Multipurpose Senior Services

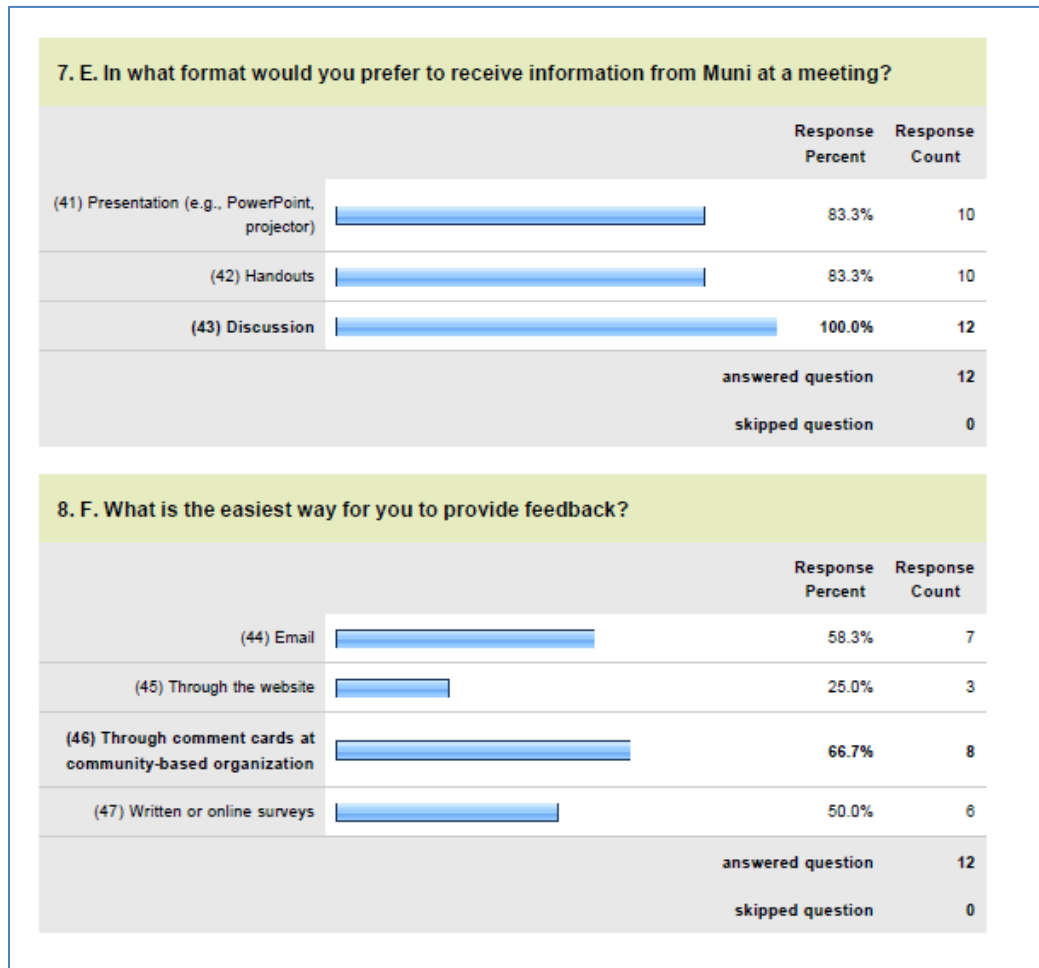
Neal Hatten	Associate Executive Director	Bayview Hunters Point YMCA
Cathie Lam	Senior Community Organizer	Chinatown Community Development Center
Michael Hamman	President	India Basin Neighborhood Association
Martha Ehrenfeld	Board Member	Inner Sunset Park Neighbors
Mariana Romero	Family and Community Partnerships Manager	Mission Neighborhood Center
Sarah Huck	Neighborhood and Family Services Program Manager	Richmond Village Beacon
Patrick Montgomery	Evening Program Coordinator	Sunset Neighborhood Beacon Center
Reverend Allen	Reverend	Third Baptist Church
Tachina Alexander	Community Liaison	True Hope COGIC
Mike Stancil	Senior Director	YMCA, Richmond District

The leaders know their stakeholders well and represent them fully when it comes to SFMTA services and information. In terms of their preference for methods of contact, the leaders favored emails from SFMTA staff. They also stated that they gather SFMTA information through community meetings and information placed on Muni vehicles. They, like their stakeholders, cite public notices – including through their CBOs – as a good method of getting information distributed.

In addition to these standard methods, CBO leaders are far more likely (45.5% vs. 23.2% for their stakeholders) to go to the SFMTA website for information. Even more telling, about 78% of CBO leaders rank the website, along with signage at stations and vehicles, as a “top three” preferred method of receiving updates. This supports SFMTA efforts to reach through CBO leaders to their stakeholders by distributing emails to leaders and encouraging website visitation as a means of keeping abreast of information they can share with their own communities. The fact that nearly half of survey respondents see the website as a good source is encouraging.

Also reflecting the expected preferences of leaders, 100% of these 12 individuals indicated that they would rather receive information from SFMTA via discussion than through presentations or handouts. They support email, surveys and comment cards as good ways to provide their input to SFTMA.

Finally, these CBO leaders are far more likely to attend meetings on transit related issues, given the fact that more than 83% of them have done so in the past. To them, location is far and away the most important factor for attendance.



Survey Comment Card Response (Accessible Diagram)

7.E. In what format would you prefer to receive information from Muni at a meeting?

Source	Number of Responses Received	Response Percentage	Response Count
Presentation (e.g., PowerPoint, projector)	41	83.3%	10
Handouts	42	83.3%	10
Discussion	43	100.0%	12
Total of answered questions			12
Total of skipped questions			0

8.F. What is the easiest way for you to provide feedback?

Source	Number of Responses Received	Response Percentage	Response Count
Email	44	58.3%	7
Through the website	45	25.0%	3
Through comment cards at community-based organization	46	66.7%	8
Written or online surveys	47	50.0%	6
Total of answered questions			12
Total of skipped questions			0

Comparisons Between Respondents in the Five Meetings

Survey tabulations include a breakout of results from the five different neighborhood meetings. In general, it is considered more useful to use the combined totals because the varying numbers of respondents from meeting-to-meeting make those results less projectable over the entire population, as is always the case with relatively limited distribution. Averaging results from among 150 respondents is seen as more conclusive and useful in determining public outreach preferences.

Comparisons with LEP Focus Groups and PPP Surveys

Comparing several critical areas of community outreach reveals similar thinking between respondents from the PPP Public Meetings, CBO leadership and those from the LEP focus groups.

Responses from:	PPP Public Meetings	LEP Focus Group	CBO Leadership
Where do you get your Muni information?			
Signs in stations	X	X	X
Radio/TV/Ethnic Media	X		
Information in vehicles	X	X	X
311 Information Line		X	
Importance of/Preference for Information Source			
Signage	X	X	X
Brochures	X		
311	X	X	X
Website	X	X	X
Information/services most important to respondents			
Fare and service changes (schedules)	X	X	X
Safety	X	X	X
Transit services in general		X	X
Information at bus shelters	X		

This finding informs SFMTA that its efforts in these particular delivery methods and key information are relatively universal over the organization's entire stakeholder population.

Conclusion

Input from the public meetings and the accompanying surveys confirms that the SFMTA Public Participation Plan outreach tools provide ample opportunities for public input and are inclusive of the preferences of the community. There are varied community opinions on important questions such as the best way to reach individuals in various communities and



what is most useful in attracting individuals to transit information meetings. Because attendance at traditional transit meetings (e.g., board meetings) are of minimal importance to these groups (and, research would likely show, to SFMTA's other stakeholders as well), consultation with community-based organizations when the need arises to communicate with their particular stakeholders can ensure the best outreach approach.

In correlating these results from findings in the Language Assistance Plan, it is clear that regardless of language, customers find information about fares and service changes (schedules) – the survey language used above -- most important, as reflected in the routes-schedules-fares priorities below, from the LAP. Similarly, findings in both the LAP and the PPP indicate that on-site information is relied on the most regardless of language, indicating a priority for providing signage and on-board information in more than one language.

The importance indicated in the research in both plans also supports SFMTA's investment in the 311 system and its website. While respondents reported less use of these two media, when both were discussed, respondents saw the value in them, leading to the conclusion that more promotion to the website and 311 may lead to greater acceptance and use.

The results of both studies provide guidelines for what works best not only for language-proficiency outreach but also for connecting with low-income and underserved populations. With the variety of outreach tools available to SFMTA, it is possible to select them on a case-by-case basis, depending on the stakeholder audience, when planning an outreach effort.

E. REVIEW AND MONITORING OF THE PUBLIC PARTICIPATION PLAN

The Public Participation Plan will be reviewed, at a minimum, every three years for its effectiveness and relevance based on changing demographics, new technologies, updated guidance and the requirements and needs of particular projects, among other factors. The Plan will also be considered a “living document” that requires the SFMTA to continue its commitment to involve minority and low-income communities by sharing this Plan with those populations, asking for feedback and new ideas and staying connected with stakeholders who represent those populations as an ongoing activity.

APPENDIX 1: COMMUNITY OUTREACH DATABASE

18th Street Merchants Association
 28th Ave. Neighbors
 40th Ave. Neighbors
 45th Ave. Neighbors
 7th Ave. Presbyterian Church
 Advisory Council to the Commission on Aging and Adult Services
 Asian Family Support Center
 Asian Inc.
 Asian Neighborhood Design
 Asian Pacific American Community Center
 Asian Pacific Chamber of Commerce
 Bartol Alley Neighborhood Group
 Bayview Hill Neighborhood Association
 Bayview Merchants Association
 Bayview PAC Transportation and Land Use Committee
 Bayview YMCA
 Bayview Hunters Point Multipurpose Senior Center
 Bayview Hunters Point PAC
 Bernal Heights Neighborhood Center
 Buena Vista Neighborhood Association
 Castro/Eureka Valley Neighborhood Association
 Catholic Charities/OMI Senior Center
 Cayuga Improvement Association
 Charity Cultural Service Center
 Chinatown Beacon Center
 Chinatown Community Development Center
 Chinatown Merchants Association
 Chinatown Public Health Center
 Chinatown TRIP
 Chinatown Youth Center
 Chinatown/North Beach Childcare Center
 Chinese Chamber of Commerce
 Chinese Education Center
 Chinese for Affirmative Action
 Chinese Hospital
 Chinese Newcomers Service Center
 ClementinaSF
 Coalition for San Francisco Neighborhoods
 Coalition for Transit Justice
 Coit Depression Preservationists
 Cole Valley Improvement Association
 College Hill Neighborhood Association
 Community Design Center
 Community Learning Center
 Community Youth Center
 Corbett Heights Neighbors
 Country Acres Country Club
 Cow Hollow Association
 Crestlake Property Owners Association
 Diamond Heights Community Meeting
 Dogpatch Neighborhood Association
 Dolores Heights Improvement Club
 Donaldina Cameron House
 Downtown Association of San Francisco
 East Mission Improvement Association
 Edgewood Neighborhood Association
 Edgewood Park Center
 Ella Hill Hutch
 Excelsior District Improvement Association
 Fisherman's Wharf Community Benefit District
 Fisherman's Wharf Merchants Association
 Fook Chong Hong Friendly Society
 Francis Scott Key School
 Friends of Noe Valley
 Glen Park Association Town Hall
 Golden Gate Breakfast Club
 Golden Gate National Recreation Area
 Golden Gate Valley Neighborhood Association
 Goodwill Industry One Stop
 Grace Evangelical Free Church
 Grace Local Organizing Committee of the San Francisco Organizing Project (San FranciscoOP)
 Green Street Neighbors
 Growth & Learning Opportunities
 Haight Ashbury Improvement Association
 Haight Ashbury Neighborhood Council
 Hayes Valley Neighborhood Association
 Hip Sen Benevolent Association
 Holy Name Church and School
 Hoy Ping Benevolent Association
 Inner Sunset Merchants Association
 Inner Sunset Neighborhood Association
 Irving Street Merchants
 Japanese Chamber of Commerce
 Japantown Taskforce
 Judah Street/Ocean Beach Merchants and Professional Association
 Ka Yin Benevolent Association
 Kinship Support Network
 La Playa Park
 La Playa/SAFE
 Laurel Village Merchants Association
 L'Chaim Senior Center
 LGBT Community Center
 Liberty Hill Neighborhood Association
 Lincoln Park Homeowners Association Incorporated (LPHA)
 Lincoln Park Presbyterian Church Senior Center
 Lombard Hill Improvement Association
 Lower 24th Street Merchant and Neighborhood Association
 Lower Polk Neighborhood Association
 Lyon-Martin Women's Health Services
 Maiden Lane Association
 Marina Civic Improvement & Property Owners

- Marina Cove Tenants Association
- Marina Merchants Association
- Marina Neighborhood Association
- Market Street Railway
- Mayor's Office of Neighborhood Services
- Mayor's Office on Disability
- Mayor's Disability Council
- Mid Polk Neighborhood Association
- Mid-Sunset Neighborhood Association
- Mission Bay CAC
- Mission Dolores Neighborhood Association
- Mission Hiring Hall
- Mission Merchants Association
- Mission Small Business Association
- Moscone Temple
- Mount Olympus Neighbors Association
- Neighbors of Ardenwood
- New Mission Terrace Improvement Association
- Ninth Avenue Neighbors
- Nob Hill Association
- Nob Hill Neighbors
- Noriega-Lawton Street Merchants Association
- North Beach Chamber of Commerce
- North Beach Neighbors
- North East Medical Services (NEMS)
- North of Panhandle Neighborhood Association (NOPA)
- North Point Neighborhood Association
- Ocean Beach Neighbors
- OMI Neighbors In Action
- On Lok Senior Health Services
- Outer Mission Merchants and Residents Association
- Pacific Avenue Neighborhood Association (PANA)
- Pedestrian Safety Advisory Committee
- Ping Yuen Residents Improvement Association
- Planning Association for the Richmond (PAR)
- Polk Street Merchants Association
- Portola Neighborhood Steering Committee
- Positive Resource Center
- Potrero Hill Boosters
- POWER
- Presidio Trust
- Presidio YMCA
- Renew SF
- Rescue Muni
- Richmond Democratic Club
- Richmond District Advisory Council
- Richmond District Afterschool Collaborative
- Richmond District Neighborhood Center
- Richmond District YMCA
- Richmond Neighborhood Center
- Richmond Village Beacon Center
- Russian Hill Neighbors
- Safety Network
- Sam Yup Benevolent Association
- San Francisco African American Chamber of Commerce
- San Francisco Beautiful
- San Francisco Bicycle Coalition
- San Francisco Conservation Corps
- San Francisco Food Bank
- San Francisco Hispanic Chamber of Commerce
- San Francisco Neighborhood Network
- San Francisco Neighbors Association (San FranciscoNA)
- San Francisco Organizing Project (SFOP)
- San Francisco Surf Riders Foundation
- San Francisco Tenants Union
- San Jose/Guerrero Coalition
- SanchezProsper Community Association
- Senior Action Network
- San Francisco Chamber of Commerce
- San Francisco League of Conservation Voters
- San Francisco Transit Riders Union
- San Francisco Young Democrats
- SFCTA Citizens Advisory Committee
- Sierra Club
- Small Business Commission
- South of Market Employment Center
- South Sunset Senior Center
- Southeast Community Facility
- Southwestern Neighborhood Improvement Group
- SPUR
- St. Anne of Sunset
- St. Cecilia's Sewing and Art Club/Collins Center
- St. Francis Lutheran Church Senior Center
- Stonestown YMCA
- Sunnydale Boys and Girls Club
- Sunnydale Residents' Association
- Sunnyside Neighborhood Association
- Sunset District Neighborhood Coalition
- Sunset Heights Association of Responsible People (SHARP)
- Sunset Neighborhood Beacon Center
- Sunset Recreation Center
- Sunset Senior Center
- Sunset Youth Services
- Sunset-Parkside Education and Action Committee (SPEAK)
- Telegraph Hill Dwellers
- Tenderloin Housing Clinic
- Third Baptist Church
- Tzu Chi Foundation
- Union Square Merchants Association
- Upper Noe Neighbors
- Valencia Corridor Merchants Association
- Vicente Square Park Neighborhood Association
- Visitacion Valley Beacon Center
- Visitacion Valley Boys and Girls Club
- Visitacion Valley Community Center

Visitacion Valley Community Development Corporation
Visitacion Valley Merchants Association
Visitacion Valley Planning Alliance
Visitacion Valley Task Force
Walk SF
West Portal Avenue Association
West Sunset Playground
Western Addition Beacon Center

Western Addition CAC
Western SoMa Citizens Task Force
Westside Neighbors to End Homelessness
Westwood Highlands Association
Young Community Developers
Young Ladies Institute
Youth Commission

APPENDIX 2: CBO LEP FOCUS GROUPS/LEADERSHIP SURVEYS

Agency	Address
Leadership Interview – Focus Group CBOs	
Cameron House (Chinese)	920 Sacramento St (Yulanda Kwong)
Chinatown Community Development Center (CCDC) (Chinese)	Bayside Elderly Housing 777 Broadway (Cathie Lam, Director)
Russian-American Community Services (Russian)	300 Anza St. (Olga Medvedko, Director)
Asian Pacific American Community Center (Chinese)	2442 Bayshore Blvd (Selina Lee, Executive Director)
Vietnamese Community Center	766 Geary (Thuy Doan)
Mission Neighborhood Center (Spanish – 2 sessions)	362 Capp Street (Maria Bermudez, Director)
Veterans Equity Center (Filipino)	1010 Mission Street (Luisa M. Antonio Executive Director)
Jewish Family and Children’s Services (Russian)	2150 Post Street (Masha Gutkin)
Leadership Interviews – Additional CBOs	
Korean Community Center	765 Buchanan St. (Mi Kim)
San Francisco Institute of English	3301 Balboa St. (Anna Toth Mulway)
Bayview Multi-Purpose Senior Center	1250 La Salle Ave. (Kathy Davis)
South of Market Health Center	229 7 th St. (Charles Range, Director)
Southeast Asian Community Center	875 O’Farrell St. (Philip Nguyen)
Renaissance Entrepreneurship Center	275 5th St.
Hunters Point Family	1800 Oakdale Ave. (Lena Miller)
Neighborhood Jobs Initiative	1323 Evans (Angelo King)
Chinese for Affirmative Action	17 Walter U. Lum Place (Jenny Lam, Director)



APPENDIX C: SUMMARY OF MAJOR PUBLIC PARTICIPATION ACTIVITIES

The Transportation Authority employs various methods to encourage public participation and to inform and include low-income, minority and LEP communities in major transportation decisions. Below are examples of some of the major public outreach and public involvement activities that have occurred in 2015.

Potrero Hill Neighborhood Transportation Plan (NTP): The Transportation Authority is leading this community-based transportation plan funded by grants from the Metropolitan Transportation Commission (MTC) and the California Department of Transportation (Caltrans) intended to fund planning efforts in Communities of Concern. In March 2015, the project team conducted a final round of outreach, gathering input on potential designs for pedestrian safety improvements at five intersections throughout the Potrero Terrace and Annex housing sites. The final report was approved by the Board in June 2015. In addition, funding for the two sets of pedestrian improvement projects (those mentioned above as well as a lighting project along the back of the Potrero Hill Recreation Center) has been fully identified. The San Francisco Planning Department – through the SFMTA – will deliver the intersection parklet/stoplet treatments, and the San Francisco Recreation and Parks Department will implement the lighting project. For more information, please visit www.sfcta.org/potrero.

Geneva-Harney Bus Rapid Transit Feasibility Study: The Geneva-Harney BRT team has been tabling at farmers markets, presenting at neighborhood association meetings, and holding community workshops in San Francisco and San Mateo Counties to share planning updates and recommendations. This outreach round responded to feedback heard in previous rounds and included direct mail, multi-lingual gatherings, and on-foot outreach to corridor businesses, as well as some new outreach tools, including event postings on NextDoor. Along with study partners at the SFMTA and Daly City Department of Public Works, the Geneva BRT team finalized the study report and obtained Board approval in July 2015. More information is available on the project's website at <http://www.sfcta.org/geneva-harney-bus-rapid-transit-feasibility-study>.

Plan Bay Area 2040: In May 2015, the MTC and the Association of Bay Area Governments hosted an open house in San Francisco as part of an initial round of outreach to kick off the update of Plan Bay Area, the regional transportation plan/sustainable communities' strategy. Staff used this opportunity to share with the public the relationship between the San Francisco Transportation Plan and Plan Bay Area, and discussed the process for updating San Francisco's Plan Bay Area 2040 project list. During 2015, staff worked closely with partner agencies to update existing projects and select new ones to include in the plan, and members of the public submitted project ideas through the web form at www.sfcta.org/rtp or by phone. Plan Bay Area 2040 was presented at the June 2015 Plans and Programs Committee and Citizens Advisory Committee meetings and the final project list was approved by the Board in October 2015.

Chinatown Neighborhood Transportation Plan (NTP): The Chinatown NTP final report was approved by the Board in July 2015. The report provides pedestrian safety improvement concepts for two high pedestrian injury corridors in Chinatown: Broadway and Kearny Street. The recommendations for Kearny Street will be further refined and developed by the SFMTA and the Planning Department as part of a larger study expected to begin in summer 2016. To support that work, the Transportation Authority and SFMTA held meetings with community members representing key stakeholder organizations in Chinatown, including the Chinatown Transportation Research and Improvement Project, the Chinese Newcomer's Service



Center, the Chinatown Neighborhood Association, and others. The interviews focused on identifying community perspectives and concerns to be addressed during the next phase of study.

Treasure Island Mobility Management Program: In November 2015, the Transportation Authority partnered with the Treasure Island Development Authority (TIDA) on a series of community outreach events in support of the Treasure Island transportation improvement program. The events included several resident focus groups organized by the Treasure Island Homeless Development Initiative; focus groups with Treasure Island businesses; and open houses. The purpose of the outreach was to share ideas for transportation policy adjustments based on feedback from the summer's stakeholder and Board outreach. Information on the time and location of outreach events is posted to www.timma.org.

Geary Corridor Bus Rapid Transit Project: The November 5 public comment meeting was a productive event, with over 120 attendees submitting more than 90 comments via written card or court-reporter dictation service. The public comment period on the Geary Draft Environmental Impact Statement /Environmental Impact Report concluded on November 30, closing an extensive outreach effort to solicit comments that began with release of the document on October 2. Over 300 comment submissions were received, and the project team has begun the process of reviewing and responding to them. The project team has also reached out to community groups and stakeholders that submitted comments regarding location-specific project design and implementation details in order to better understand all perspectives and seek potential solutions to issues identified. Members of the joint Transportation Authority/SFMTA project team held a meeting in Japantown to discuss concerns related to project proposals in that neighborhood, and are scheduling meetings with the business community as well. In addition, nearly 6,000 people have used the digital viewfinder devices known as OWLs at 17th Avenue and Webster Street to view images of the proposed improvements. Over 1,000 responses were received to a survey administered through the devices, approximately 75% of which expressed positive views about the proposed project. The Final Environmental Document, including all comments received and responses, is scheduled to be released in summer 2016, after which there will be a publicly noticed action item to the Transportation Authority and SFMTA Boards to complete the environmental and approval and project selection process. For more information please visit the Geary BRT website at www.sfcta.org/gearybrt.