

**CHAPTER 8****CAPITAL IMPROVEMENT PROGRAM****Key Topics:**

- **Legislative Requirements**
- **Legislative Intent and Application to San Francisco**
- **Transportation Investment and System Performance**
- **CIP Components**
- **Relationship to Other Plans and Programming Documents**
- **The Authority's Capital Priorities Programming Process**
- **CIP Review and Amendment Procedures**
- **CIP Project Delivery**
- **Program Overview**
  - **Transit Program**
  - **Roadway Program**
  - **Waterborne Program**
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**BACKGROUND****1. Legislative Requirements**

California Government Code 65089(b)(5) requires that the CMP contain a seven-year Capital Improvement Program (CIP), developed by the CMA, to maintain or improve the traffic LOS and transit performance measures established in the CMP, and

to address impacts on the regional network, as identified through the land use impact analysis program. Capital improvement projects must conform to air quality mitigation measures for transportation-related vehicle emissions, as detailed in the Bay Area Air Quality Management District's 2000 Clean Air Plan and related documents.

**2. Legislative Intent and Application to San Francisco**

The CMP legislation intended that future transportation needs would be estimated through the land use analysis program. Demand would be managed to the extent possible through actions in the trip reduction element, and addressed through a fund programming mechanism to supply new transportation projects and services. That mechanism is the Capital Improvement Program (CIP), which coordinates transportation improvements needed to accommodate land development and manage congestion. The legislation defines the CIP as a seven-year program. This makes it a medium-range programming tool, clearly not intended to replace long-range plans, but rather to provide a vehicle for implementation of improvements consistent with long-range policies.

*“One of the key purposes of the CMP... is to establish a link between transportation investment and system performance.”*

CMP legislation emphasizes expeditious project delivery. However, new projects are typically programmed in the outer two years of each seven-year CIP. This makes it difficult for the CIP to immediately address newly identified needs. In order to be effective, the CIP must at the same time function as a transportation project *delivery* mechanism and as a programming framework, including a re-programming feedback loop, to ensure that changes are incorporated promptly, and that the information is always current. This kind of flexibility is essential to deal with San Francisco's complex and dynamic transportation funding program. The legislation does not provide guidance as to whether the 7-year CIP period is a programming period or a project delivery period. The fact that programming transportation funds through the State Transportation Improvement Program (STIP) also followed a 7-year cycle<sup>1</sup> at the time the CMP legislation was

<sup>1</sup> The STIP now follows a 5-year cycle.

developed gives weight to the interpretation that the CIP's 7-year period is a programming horizon. Of course, the delivery timelines of projects programmed in the second half of the 7-year CIP will likely extend beyond the 7-year programming period.

### 3. Transportation Investment and System Performance

One of the key purposes of the CMP is to link transportation investment with system performance. In fact, the 9-cent-per-gallon state fuel tax increase became politically viable in 1989 only after it was coupled with a requirement for congestion management programs. This was the Legislature's way to reassure Californians that the new revenues would be spent in ways that would make a tangible difference in mobility. Specifically, the legislation established the requirement for a 7-year Capital Improvement Program clearly intended to help maintain or improve operating conditions on the transportation system.

Furthermore, state law establishes that if the CMA finds a local jurisdiction to be in non-conformance with the CMP, the State Controller must withhold revenues from the 9-cent per gallon gas tax increase (Sections 65089.5 (b)(1) and 65089.2 (c)(1)), and the MTC cannot program federal Surface Transportation Program funds or Congestion Mitigation and Air Quality funds to transportation projects in that jurisdiction. With this requirement, the emphasis on system performance is effectively linked to the power of the purse: while transportation investment can be used to address a number of goals, such as community redevelopment, urban beautification, safety, and the like, the CMP *must* focus on transportation system performance, and the CIP must identify improvements that maintain or improve system performance, or the county risks a finding of non-conformance and potential loss of transportation funding.

The changes to CMP law introduced by AB 1963 in 1994 further emphasized the focus of the CMP on performance by mandating a new performance element, which replaced the transit element. Reaching beyond the roadway-oriented approach of the original CMP language, AB1963 calls for a performance element that addresses a *multimodal* system which is concerned with transit, shared ride, bicycle, pedestrian and other types of trips in addition to trips by

single-occupant automobile. (For more details on this topic, please see Chapter 5.) In particular, section 65089(b)(2) explicitly requires that multimodal performance measures developed as part of the performance element be used to inform the decisions about the composition of the CIP.

The CIP is not the only factor affecting system performance. Other key factors influencing the performance of San Francisco's multimodal CMP network are: land use decisions, trip reduction programs, and system operations decisions. Land use decisions and trip reduction programs affect the *demand* for transportation: development decisions result in new trips or in changes in trip patterns, and trip reduction programs eliminate some single-occupant automobile trips. But the CIP is a key determinant of system performance because it can directly affect the *supply* of transportation infrastructure in the city. Any proposed changes to the CIP must first be evaluated to estimate their impacts on expected system performance, to ensure that the established performance standards are maintained and that San Francisco remains in conformance with the CMP.

Chapter 5, the multimodal performance element, guides the establishment of multimodal system performance standards and describes procedures for evaluating the performance of system components. This is in addition to the roadway LOS monitoring and standards described in Chapters 3 and 4.

## CIP CONTENTS AND CONTEXT

### 4. CIP Components

In order to satisfy the State legislative requirements described above, the CIP includes the following components:

All projects and /or expenditures included in previous CMP CIPs, as amended or modified in the 2003 CMP.

All transportation projects and/or expenditures programmed for projects in San Francisco in the Regional Transportation Improvement Program (RTP), in addition to those above.

All transportation projects and/or expenditures programmed for projects in San Francisco in the State Transportation Improvement Program (STIP), in addition to those in (a) above.

All transportation projects and/or expenditures programmed for San Francisco projects in the federal Transportation Improvement Program (TIP), in addition to those in (a) above.

All projects contained in the most recent Proposition K Strategic Plan, 5-Year Prioritization Programs (5YPPs) and in subsequent amendments and updates.

All projects in the Transportation Fund for Clean Air (TFCA) program for San Francisco that were programmed by the Authority as part of the 40% discretionary portion of that program.

Items b, c, and d above include projects located in San Francisco, but sponsored by entities not directly within the City's jurisdiction such as BART and Caltrans.

Appendices (XX1-4XX) contain a list of projects currently in the CIP. Given the new timely use of funds requirements imposed by Caltrans for federal and state funded projects as of federal fiscal year 2005/06, SB45 and MTC requirements issued previously, and Prop K Strategic Plan project delivery and monitoring requirements, tracking is ever increasingly important. The Authority tracks project progress through a variety of mechanisms including 5YPPs and ongoing project management oversight activities, but a more sophisticated project delivery tracking system is needed. Development and implementation of an appropriate system will be a primary work plan task during 2006. Further discussion on project delivery mechanisms is found in Section 8: Project Delivery.

For a detailed discussion of the Authority's process for review and approval of CIP changes, please refer to Section 7: CIP Review and Amendment Procedures.

## 5. Relationship to Other Plans and Programming Documents

### 5.1. Relationship to the Countywide Long-Range Transportation Plan

The CIP is the most significant implementation tool of the CMP. Pursuant to State law, in order to be included in the Regional Transportation Improvement Program, and therefore be eligible to receive state and federal funds, a project must first be included in the CIP. In addition, the CIP is a 7-year document, designed to ensure the delivery of transportation projects needed to maintain system performance. The CIP is intended to serve as a short or medium-range implementation vehicle for a longer-range list of priority projects, such as would be provided by a countywide transportation plan.

San Francisco's inaugural long-range (20-year) Countywide Transportation Plan (CWTP) was released in July 2004. The City's General Plan includes a Transportation Element, updated in July 1995, which contains 40 general objectives and 200 associated policies. Under state law, the Authority, as CMA, must prepare the long-range countywide transportation plan. The plan's action element includes a list of specific investment priorities (i.e., transportation projects and services). By following that list, the CIP will then become the main implementation tool for the countywide transportation plan. The CWTP is discussed in further detail in Chapter 7 (Land Use Impacts Analysis).

The new Prop K sales tax Expenditure Plan was developed as part of the long-range Countywide Transportation Plan. The ability to design a new sales tax expenditure plan as part of the development of the long-range countywide transportation plan offered a rare opportunity to coordinate planning and programming. The long-range plan also provides an analysis of citywide and multimodal need, system performance, and context for other issues in programming and funding strategy.

## 5.2. Relationship to the Prop K Strategic Plan

Proposition B was the half-cent local sales tax for transportation, approved by San Francisco voters in 1989. Proposition K, passed by the voters in November 2003, reauthorized that sales tax for another 30 years. Like Prop B, Prop K includes an Expenditure Plan detailing specific projects and programs that are eligible for the sales tax revenues. Proposition K is expected to generate close to \$2.5 billion for transportation projects in San Francisco. The significance of these revenues is that they are used, in part, to provide the matching funds required to attract state and federal dollars. Depending on the funding program, the proportion may be as low as 11.5% local to 88.5% federal. This is the "leveraging" effect of the Prop K dollars. In addition, some Prop K revenues are used to pay entirely for certain projects that are of local interest but do not compete well for state or federal funding.

The Prop K Expenditure Plan established four categories of investment and attached mandatory percentage shares of total Prop K revenues, as shown below:

|                                                                  |       |
|------------------------------------------------------------------|-------|
| Transit                                                          | 65.5% |
| Streets & Traffic Safety                                         | 24.6% |
| Paratransit                                                      | 8.6%  |
| Transportation Systems Management<br>(TSM) Strategic Initiatives | 1.3%  |
| =                                                                | 100%  |

Appendix VIII provides a summary of each Expenditure Plan line item, including its share of Prop K funds and leveraging goals. In order to achieve these goals, the Authority developed the 2005 Prop K Strategic Plan and subsequent 5-Year Prioritization Programs (5YPPs). The Strategic Plan is intended to provide the Authority with an accurate picture of anticipated transportation funding needs, which are then reconciled with expected revenues to arrive at the most favorable financial strategy for San Francisco's transportation program.

The Prop K Expenditure Plan requires that each programmatic category (i.e. not project specific) develop a 5YPP as a requirement prior to receiving Prop K allocations. The 5YPPs provide a stronger link between project selection and expected project

performance, and support on-time, on-budget project delivery, and timely and competitive use of state and federal matching funds. Specifically, the purpose of these programs is to:

- Establish a clear set of criteria for prioritizing projects,
- Improve agency coordination at the earlier stages of the planning process,
- Allow and ensure public input early and through the planning process, and
- Establish performance measures.

While the Strategic Plan provides the long-term road map for managing Prop K revenue, the 5YPPs ensure that the Authority Board, project sponsors and the public have a clear understanding of how projects are prioritized for funding within each particular programmatic category. Exhibit 8-A is a map of projects contained in the 5YPPs. Appendix IX provides a list of programmatic categories in the Expenditure Plan and its attachments include the 5YPP project lists approved in 2005.

The Strategic Plan and 5YPPs are designed to identify the best possible funding and financing strategy for San Francisco's transportation program and provide a picture of investment need in each transportation area (transit, roads, etc.), but the CIP, because of its focus on system performance, serves as a framework for analysis of trade offs among proposed transportation projects which receive Prop K and other funds. Beyond the analysis of funding feasibility or financial strategy, *the CIP ensures that the proposed investments will result in tangible improvements in mobility* for people using San Francisco's multimodal transportation system. The CMP's overriding emphasis on mobility improvement may from time to time trigger adjustments to the Prop K Strategic Plan and 5YPPs.

## 5.3. Relationship to the RTP

The Authority, as CMA, provides input to the Metropolitan Transportation Commission (MTC) for the periodic updates of the Regional Transportation Plan (RTP). State law provides that where countywide transportation plans have been developed, they will be used by MTC as a basis for RTP assumptions for that county. The countywide transportation plan for San Francisco, currently underway, will be con-

sistent with MTC's guidelines for countywide transportation plans in order to facilitate its incorporation in the RTP. In the absence of a long-range countywide plan, the CIP, complemented by the Proposition B Strategic Plan, serves as a main indicator of transportation investment priority trends in San Francisco.

#### **5.4. Relationship to the RTIP**

Pursuant to state law, the CIP list of projects is used by MTC in compiling the biennial Regional Transportation Improvement Program (RTIP), which in turn feeds into the State Transportation Improvement Program (STIP) and the Federal Transportation Improvement Program (TIP). Under state law, projects proposed for funding through specific federal sources programmed through the STIP/TIP must first be included in the CMP's Capital Improvement Program.

#### **5.5. Relationship to the San Francisco General Plan**

The San Francisco City Charter assigns responsibility to the Planning Department for consistency review of capital improvements with the General Plan. This consistency review function is incorporated into the Authority's programming process as described in Section 6 below. The Planning Department, in consultation with the Authority, will develop specific criteria for the review of the Draft CIP list's consistency with the General Plan. The Authority will work with the Planning Department to establish a timeline for this task.

*"The most significant value added by the Authority's review process is in providing an overall context for transportation programming strategy and system performance, to facilitate Authority Board decisions."*

#### **5.6. Relationship to City Department Activities**

The changes in programming introduced by the 1995 CMP, as explained in this chapter, do not substantially alter programming-related activities currently performed by City departments. The goal of the process is, in fact, to streamline the programming process so that complete and timely information is available to the Authority Board, providing a

well-defined context that facilitates strategic programming policy decisions.

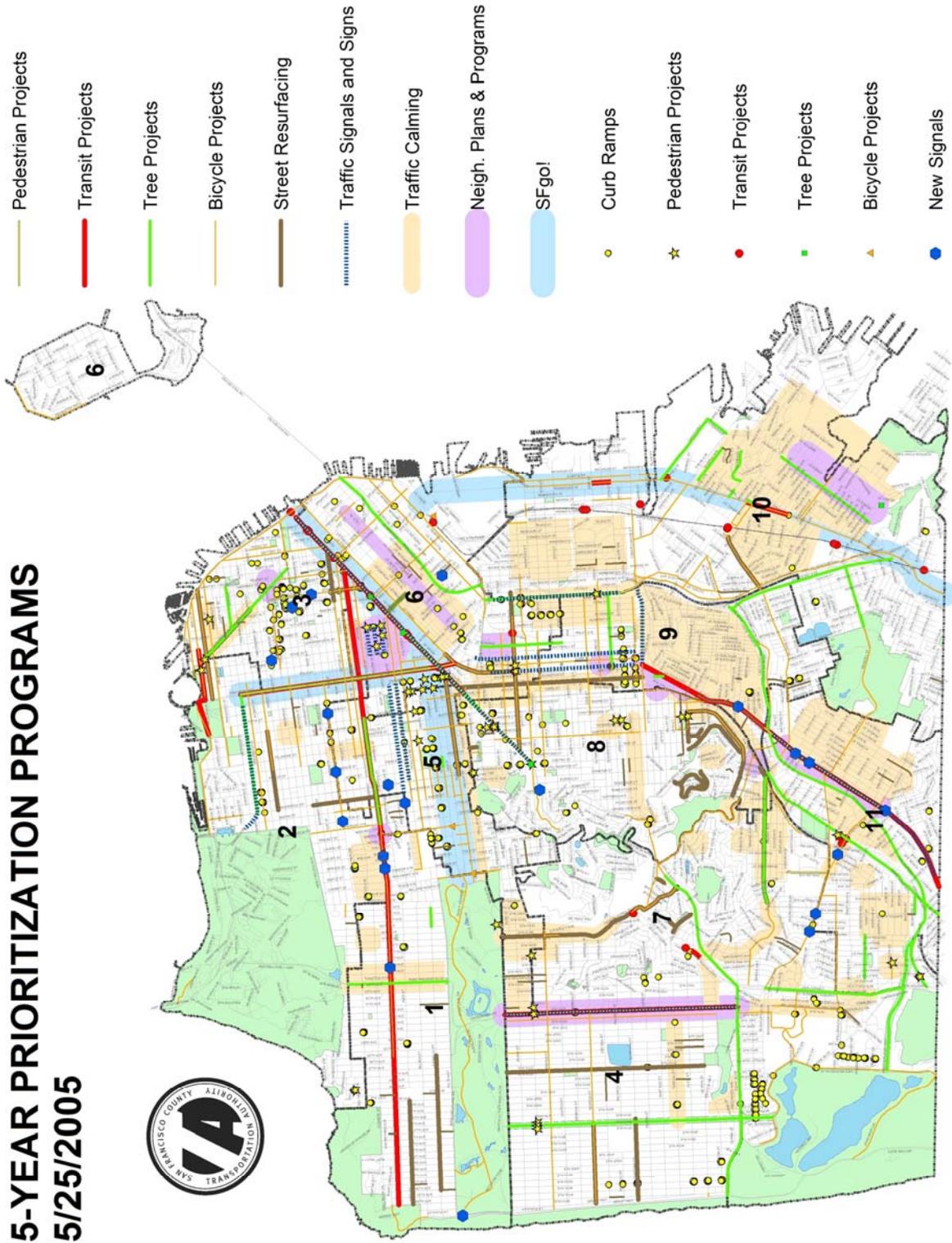
It is important to note, for example, that individual City departments will continue to develop their own capital investment plans. The Authority's intent is not to suggest changes to the priorities within those plans, but rather to steer the overall programming strategy and analysis of trade-offs.

The Authority review process, as explained in the following sections, provides the required structure to analyze programming and performance data that will inform those Authority Board decisions. It is important to note that the process is intended to function using information already developed by City departments, and that except as requested by the Authority Board, no new information will be required.

The most significant value added by the Authority's review process is in providing an overall context for transportation programming strategy and system performance, to facilitate Authority Board decisions.

Exhibit 8-B provides a summary of key roles and responsibilities of the Authority and City Departments in the transportation programming process.

Exhibit 8-A



**Exhibit 8-B****Transportation Programming Roles and Responsibilities****A. City Departments**

1. Prepare plans, prioritize capital improvement programs and financial plans on an annual basis
2. Use financial constraints and strategies imposed by external agencies in addition to those established by the Authority and departments for various funding sources
3. Revise financial plans at regular intervals to reflect changes in project scope, budget or schedule, and changes in funding projections
4. Process CIP Amendments through the Authority, and obtain Authority Board approval or administrative review before submittal of new information to outside agencies
5. Check eligible project list consistency with the San Francisco General Plan before adoption by Authority Board (Performed by the Planning Department)
6. Make prioritization recommendations at the time of eligible project consistency review.
7. Planning Department assessment of priorities based on the General Plan.

**B. Authority**

1. Develop, adopt and update the CMP and its CIP
2. Process CIP Amendments according to the established procedures
3. Input into the MTC, and state and federal agencies' process for the preparation and updates of the Regional, State and Federal Transportation Improvement Programs (RTIP, STIP and TIP).
4. Provide Prop K revenue estimates and advise on financial strategies
5. Develop Strategic Plan updates to respond to revisions in department capital and financial plans and to reflect CIP Amendment decisions
6. Notify outside programming agencies of decisions on CIP Amendments
7. Program the local (40%) portion of the TFCFA funds

## 5.7 Relationship to Short Range Transit Plans

In addition to Muni, five regional transit operators serve San Francisco: BART, AC Transit, Sam-Trans, Golden Gate Transit, and Caltrain. The Short Range Transit Plans (SRTPs) developed by these operators are the basis for their programming requests to the Authority for inclusion in the San Francisco CIP.

The Authority uses the SRTPs as an input into its programming process, to ensure better coordination of San Francisco programming decisions with regional priorities.

## PROCESS AND PROCEDURES

### 6. The Authority's Capital Priorities Programming Process

Figure 8-1 describes the Authority's Capital Priorities Programming Process. As a result of the Authority's combined role as Prop K administrator and CMA, this process, though focused on funds that are required by state law to be programmed through the CMP (i.e., state and federal dollars), also incorporates Prop K programming strategy.

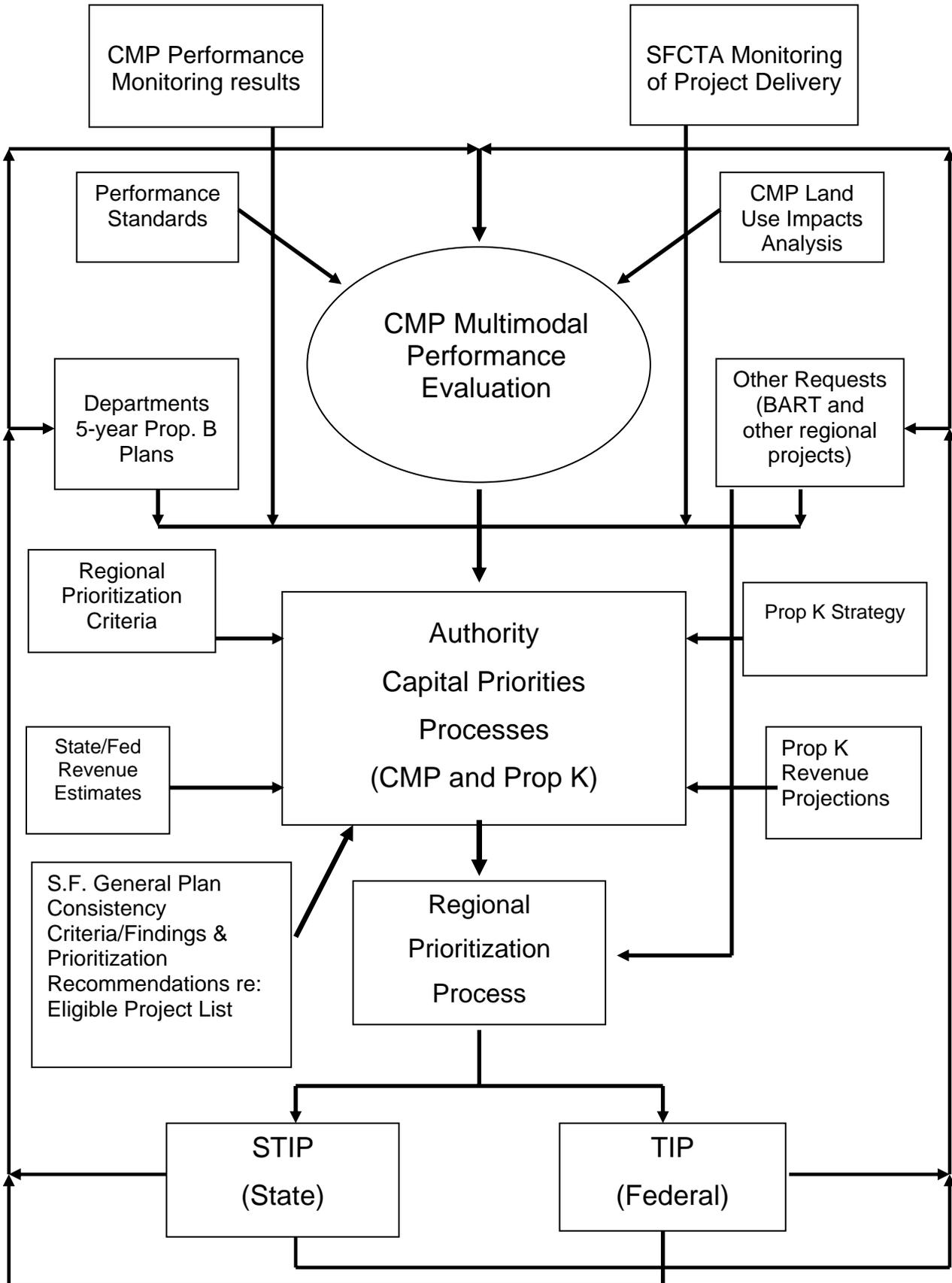
The process starts with an evaluation of transportation demand or need, as evidenced by two general categories of information: programming requests from City Departments and other transportation agencies, and data about expected travel patterns and monitoring of system performance. At the center of this evaluation are the CMP's multimodal system performance standards, which provide guidance on what constitutes an acceptable level of mobility. For example: should the level of service on the roadway network be set at "E" (congested) or at "B" (almost free-flow), or should transit service headways be 20 minutes or 5 minutes.

The multimodal performance standards are a *policy* decision, arrived at by weighing what kinds and amounts of transportation we would *like* against how much of it we can *afford*, and against other competing policy objectives (such as air quality or

other environmental or community impacts). This requires coordination with General Plan goals and objectives and it necessitates periodic consultation with Muni and other transit providers serving San Francisco, to ensure that the established standards are realistic and can be met. The Authority's Capital Priorities process takes into account those standards, as well as current information from the Authority's own monitoring of project delivery (to further understand potential impacts on system performance), and draws up a list of transportation investment priorities that considers Prop K financing strategy, regional prioritization criteria (to ensure that San Francisco projects will compete well for state and federal funds), and adjusts the list to revenue projections for Prop K and state and federal funding sources. The result is the recommended CIP list, which is adopted by the Authority Board and submitted to MTC.

The CIP list then enters the regional prioritization process, where San Francisco projects compete with projects from the other eight Bay Area counties for state and federal funds. The result of this process is a final regional priorities list, which is adopted as part of the Regional Transportation Improvement Program (RTIP), which, in turn, becomes the basis for the State Transportation Improvement Program (STIP) and for the federal Transportation Improvement Program (TIP) for California. San Francisco projects included in the STIP and TIP will then be ready to receive state and federal funds. Note that the programming of projects considered regional, such as certain BART projects, can be initiated at the regional level (MTC).

**Figure 8-1**  
Authority Programming Process



At this point, there is an important feedback loop that takes place as part of the Authority's programming process. Programming documents and performance standards will need to be adjusted to reflect the projects that did *not* receive funding. For example, if a project in Muni's Short Range Transit Plan (SRTP) does not receive federal funds, it may become infeasible, or it may require a change in the Authority's Strategic Plan to devote more Prop K funds to close the gap left by the lack of federal funds, and it may require re-prioritization or rescheduling of other Muni projects to ensure that system performance is maintained. On a broader scale, it may require revisiting General Plan policies as well. This feedback loop is therefore an essential step to reconcile transportation investment and transportation system performance.

## 6.1. CIP Development - Schedule

### 6.1.1. Programming of CMP-Based Funds

The CIP development process follows the biennial CMP cycle for funding sources subject to programming through the CMP by state law. Pursuant to regional agreements, development of the CIP is ideally tied to the development of the STIP and the TIP. It typically starts with a call for projects, issued by the Authority, as CMA, around September/October of the first year of the cycle.

Project sponsors submit applications in the regionally developed standard format for state Regional Improvement Program (RIP) Funds and federal STP and CMAQ funds. Project sponsors are responsible for scoring their proposed projects, when applicable, according to the rules detailed in the application packet. Project sponsors typically have about two months to complete this step. The Authority screens all projects for eligibility, checks project scores (when applicable), reconciles funding assumptions with the Prop K Strategic Plan, and develops a draft eligible project list for San Francisco. At this point the list is submitted to the Planning Department for a consistency check with the General Plan. The Authority has approximately one month to complete its review (including General Plan consistency input from the Planning Department and evaluation

of system performance), adopt the prioritized draft CIP list, and submit it to MTC for the regional competitive process. After clarification is sought from project sponsors on any project details affecting eligibility, scores or ranking, a draft regional list is developed in June and adopted by MTC. The state and federal approval of the TIP happens in September/October.

The final list for San Francisco is adopted by the Authority Board, and it becomes the final CIP list for the biennial CMP cycle. CMP updates, addressing not just the CIP but the entire CMP document, as necessary, are also adopted in October/November of the second year of each biennial cycle.

It should be noted that the above process is subject to change depending upon various factors external to the Authority. For instance, delays in approval of the federal transportation bill (the successor to TEA21) or release of the State Fund Estimate can impact the programming schedule. Interested parties should contact the Authority for the latest information on programming processes and schedules.

### 6.1.2. Programming of Other Funds

The programming process described above does not include all funding sources available for transportation projects in San Francisco. Below is a description of the programming process for the main sources of funding not covered in Section 6. Because of the implications for the overall transportation programming strategy for San Francisco, programming applications for these sources will require review and concurrence consistent with the procedures described in Section 7 below.

**a. FTA Funds:** These are funds that are specifically designated for transit projects as set forth in the Federal Transit Act Amendments of 1991 (the "Act"). Sections 3 (Fixed Guideway – now called 5309) and 9 (now called 5307) provide for formula-based block grant programs based on population, population density, and level of transit service. Section 5309 funds are programmed for capital projects only, while Section 5307 funds are available for both capital and operating assistance. Section 5309 also contains discretionary capital

grant programs for bus equipment and facilities, and for new rail starts. Required matching funds for these programs come from various state, regional and local sources including Prop K.

In the Bay Area, FTA funding is programmed through a process established by the Metropolitan Transportation Commission. MTC Resolution 2553 spells out the rules by which transit operators in the region make programming applications which are then ranked in a regional master list, by funding source.

**b. Prop K Funds:** These are the half-cent sales tax revenues collected for specific transportation expenditures in San Francisco. The Authority administers this process through the development of a Strategic Plan and 5YPPs. Details of these documents are in Section 5 above. The Strategic Plan is updated triennially, and it may need to be amended if significant discrepancies appear between what was originally programmed in the Plan, and the actual level of project funding requested at any given time. These documents provide information not only about the anticipated demand for Prop K funds, but also about preliminary programming of other local funds.

## 6.2 Documentation of Project Programming Status: Cost/Funding Matrices

For every project included in the CIP according to the criteria discussed in Section 4 above, there will be a separate cost/funding matrix including project name, project identification number, a detail of specific project costs covering the following specific cost categories:

- Planning
- Environmental
- Design
- ROW Acquisition
- Procurement
- Construction
- Contingency
- Incremental O&M Costs

Details of funds programmed to each project by year of programming and by funding source are

available from the Authority. Any changes to current programming status information affecting one or more projects will trigger the development of a new cost/funding matrix for the affected projects. All cost/funding matrices will be stored in the Authority's computerized Programming Information Management System (PIMS). The data contained in the PIMS will be updated to reflect programming changes every time they are approved through the CIP Amendment process described in Section 7 below, as well as after adoption by the Authority board of periodic updates of the Prop K Strategic Plan. Information contained in the PIMS then serves as the basis for the Authority's monitoring of projects to facilitate compliance.

## 7. CIP Review and Amendment Procedures

Changes to the CIP project list that need to be processed outside the biennial CMP updates are subject to administrative review and in some cases must be approved by the Authority Board through CIP Amendments.

### 7.1. Applicability

The previous sections describe the central role of the CMP in establishing standards and measuring or otherwise assessing the performance of the multi-

modal transportation system, and the role of

*“[Policy-level CIP amendments]... apply to changes that are deemed by the Authority to be significant enough that they have the potential to affect the performance of the multimodal transportation*

the CIP in helping to maintain that level of performance. Any proposed changes to projects included in the CIP must therefore first be assessed by the Authority, for potential effects on the performance of the multimodal transportation system. This requirement applies to changes in the scope, schedule, or programming package for all CIP components, as described in Section 4: *CIP Components*. Because project viability can be affected by changes in any component of its funding package, the requirement for Authority review applies to all funding components of CIP projects,

whether they are directly programmed by the Authority or not.

The Authority's review process applies not just to proposed programming changes to the CIP, but also to initial programming applications for funds not directly administered by the Authority, but which are part of the CIP (see Section 4). Note that this requirement applies to the programming of funds, not to applications for receipt of already programmed funds (also known as *grant applications*). This is true unless the grant application introduces changes in programming.

## 7.2. Kinds of Amendments

There are two kinds of CIP Amendments: policy level and administrative level.

### 7.2.1. Policy-Level CIP Amendments

These apply to changes that are deemed by the Authority to be significant enough that they have the potential to affect the performance of the multimodal transportation system.

Policy-level CIP Amendments are required for all programming or schedule changes to CIP projects where the change will affect the scope of the project, or the year of delivery (completion) of the project, or the amount or availability of operating funds for that project, or the year of programming of Authority-programmed funds for that project, or the fund source designation or any other aspect of the funding packet requiring action by the Metropolitan Transportation Commission (MTC) or the California Transportation Commission. See exceptions to this under 7.2.2 below.

Policy level CIP Amendments require approval by the Authority Board prior to processing of the change by the implementing department. The requirement for policy level CIP Amendments will apply to all pertinent actions (as noted above) for at least the following funding sources: STIP, CMAQ, county share TEA, FCR, RIP, CMAQ Match (state STIP funds), State TSM, FTA 5309 and 5307, State Rail Bonds (Props. 108 and 116), and Emergency Relief Funds.

### 7.2.2. Administrative-Level CIP Amendments

These apply mostly to programming changes that can alter the overall transportation programming strategy for San Francisco, even though their individual effects on system performance may only be very marginal. Such programming changes will trigger the need for administrative level CIP review even if they are not tied to a specific project listed in the CIP, as long as they affect San Francisco's share of a transportation funding source listed in the CIP.

Administrative level CIP Amendments will only require notification to,

*"[Administrative-level CIP amendments]... apply mostly to programming changes which can alter the overall transportation programming strategy for San Francisco, even though their individual effects on system performance may only be very marginal."*

and concurrent review by the Authority's Executive Director. The purpose of this requirement is to ensure that the Authority has the required information to evaluate programming strategy and the performance of CIP projects in the context of the entire universe of programming and project delivery decisions in San Francisco. Administrative level CIP Amendments may involve any of the following funding sources:

|           |                                       |
|-----------|---------------------------------------|
| Federal:  | TEA (programmed by MTC),<br>TLC, TSCP |
| State:    | ITIP, TCI, and SHOPP                  |
| Regional: | STA, TDA, TFCA (60%)                  |
| Local:    | SFMRIC, TIDF, TFCA (40%)              |

In addition, proposed changes to Prop K programming will automatically trigger administrative-level review and, at the Executive Director's discretion, may require policy level CIP Amendments.

### 7.2.3. Sources Not Covered By CIP Amendments

Certain funding sources, such as HES, are programmed through state or regional processes. Typically, the funds become available to City project sponsors through a separate application procedure. In some cases, the funds are allocated on a first-come, first-served basis, so that the ability of City departments to act quickly is crucial. For funding sources in this category (listed below), which are not subject to a local programming action, there is still a need to include the data in the Authority's database, but no CIP amendments are required. Project sponsors are required to submit to the Authority a copy of the grant application request at the same time as the application is made to the funding agency. Project sponsors are also required to submit to the Authority a copy of the grant award letter, as soon as it is received.

Funds subject to this requirement include at least the following:

State: Gas Tax, HES, HBRR, SLPP, and TEE.

### 7.2.4 Exceptions to Policy-Level Amendments

Regardless of the funding source or other programming aspects affected, the Executive Director may rule that a requested CIP Amendment is administrative if the proposed changes, involving one or more projects and one or more funding sources requires programming actions that can be authorized at the staff level at MTC or CTC, or at the Regional Office level for Federal Agencies, such as administrative TIP amendments, or if it results in the following:

no net change in the total amount of funds allocated to each of the projects involved; and

no change to the total amount of dollars of each funding source, all affected projects combined; and

no increase in Prop K match required, all affected projects combined; and

when a programming year change is involved, it will have no effect on the delivery schedule for the project because that schedule is determined by documented external factors.

## 7.3. Requirements for Submittal of CIP Amendment Requests

### 7.3.1. Application Contents - Format

In order to avoid additional reporting burdens on City departments, there is no specific form or format for submittals to the Authority. However, project sponsors wishing to make application to regional, state or federal programming agencies for changes affecting current CIP programming, or sponsors who are planning to submit initial applications for new programming to regional, state, or federal agencies, must submit two (2) copies of those preliminary applications to the Authority, for review prior to filing their applications with those programming agencies. If this is not available at the time, a short note explaining the reasoning behind the change, and accounting for the full amount of the funds being programmed should be submitted to the Authority. In addition, a marked-up copy of the cost/funding matrix for each project for which programming actions are being proposed must be included with the application, editing all cells that are affected by the proposed programming action.

It is not the Authority's intent to question the priorities of City departments, or to suggest different projects (particularly regarding applications for new programming), but rather to evaluate their programming requests for impacts on multimodal system performance and for impacts on Prop K and overall CIP strategy.

## 7.4. The Authority's Review Process

The sections below detail the Authority's process, which includes an initial administrative level review, to determine the need for further application information as well as to suggest the appropriate level of CMP Amendment required. This is followed by detailed, concurrent reviews for programming and performance implications. The process also calls for discussions with project

sponsors to resolve any issues identified by the Authority's review, and establishes basic procedures to ensure disposition of the requests for review within a reasonable period of time.

#### 7.4.1. Application In-take Review

Upon receipt of an application for programming changes, the Authority will perform an initial staff-level review. Within ten (10) working days after receipt of the application, the Authority will communicate in writing to the applicant the need for any additional information, necessary in order to further process the application.

Within ten (10) working days after receipt of all information necessary to complete the application, the Authority will issue a *letter of initial findings*, notifying the applicant in writing about the level of CIP Amendment required.

If the Authority finds that a policy-level CIP Amendment will be required (involving Authority Board action), the communication will include:

- a schedule for Authority Board approval;
- a preliminary list of unresolved conformance or consistency issues identified in connection with the application; and
- a proposed course of action for resolution of these issues, including, at least, consultation and joint efforts with the applicant.

#### 7.4.2. Detailed Review

Unless otherwise specified in the proposed schedule for resolution of issues, within ten (10) working days after issuance of the letter of initial findings, the Authority will complete a detailed review of the application. The detailed review will include two components: a programming review, and a performance review. To expedite the process, both reviews will be carried out concurrently at the Authority. The conclusions from the detailed review will form the basis for an administrative finding of concurrence or for a recommendation to the Authority Board, as appropriate.

### A. Programming Review

The programming review will evaluate issues of Proposition B Strategic Plan consistency and CMP CIP conformance.

#### Programming Review Criteria

The evaluation of impacts of proposed programming changes on the CIP (including the Prop. B program) is structured to provide information about three key strategic programming and fiscal policy factors for the Authority:

- a) **Cost of Money.** The analysis will address questions such as: does the proposed change limit availability of funding by Prop K category or by State or federal funding source? Does it require or bring the Authority closer to the need to bond in order to deliver the Prop K program? Does it otherwise affect other CIP funding sources so as to increase the cost of money?
- b) **Leveraging Capacity.** The analysis will address questions such as: Does the proposed programming change improve or worsen the Authority's prospective ability to capture state and federal funds for San Francisco projects? Does it increase the required local (Prop K or other) match?
- c) **Other Programming Policy Consistency.** The analysis will address questions such as does the proposed programming change result in a skew of the funding category targets established in the Prop K Strategic Plan? Does it substantially alter the programming priorities established in the Strategic Plan of 5YPPs? Does it substantially alter the programming priorities established in the latest CMP CIP?

In addition, the Planning Department will be asked to provide a consistency review on the basis of General Plan criteria. This review will be incorporated into the Authority's process subject to the Department's ability to meet strict turnaround timelines specified in 7.4.1. and 7.4.2. above, to ensure timely response to other City departments.

### B. Performance Review

The performance review will evaluate impacts on the performance of San Francisco's multimodal transportation system.

### Performance Review Criteria

The evaluation of potential impacts of proposed programming changes on multimodal system performance will be performed according to the criteria described below. These analyses are intended to provide order-of-magnitude findings about future system performance, particularly cumulative impacts on operating conditions at the facility, corridor, or systemwide level. The process is not focused on prediction of minor changes in individual CMP network segments. As required by state law, the Authority's Transportation Analysis Database (TAD) will support these analyses. The TAD will be improved incrementally over time and complemented with information from city departments and other available sources. For a more detailed discussion of multimodal system performance, please refer to Chapter 5.

An evaluation form will be prepared for each CIP Amendment request, addressing all applicable questions from the sections below:

- a) **Effects of Schedule Changes on Performance.** The analysis will address questions such as does the proposed programming change involve or result in a delay in the delivery (completion) of any CIP projects? Are there significant anticipated impacts on system performance because of completion delays?
- b) **Effects of Scope Changes on Performance.** The analysis will address questions such as does the proposed programming change result in a downsizing of CIP projects?
- c) **Potential Deficiencies.** The analysis will address questions such as does the proposed programming change create the potential for a deficiency on the CMP network? Does it adversely affect the City's ability to implement already adopted deficiency plans? Does it adversely affect the likely effectiveness or

delivery timelines for an already adopted deficiency plan?

- d) **Multimodal Balance.** The analysis will address questions such as does the proposed programming change affect the multimodal balance of the CIP? Does it significantly degrade performance conditions for one mode vis-à-vis other modes? Is it likely to significantly affect certain categories of travelers vs. others (e.g., will it adversely affect off-peak transit riders vs. drivers, or local vs. through trips?)
- e) **Subarea Impacts.** The analysis will address questions such as is the proposed programming change likely to result in disproportionate adverse impacts to system performance for one subarea of the City vs. the others?

### 7.4.3. Disposition of Amendment Requests

#### For Administrative-Level Amendments

If the outstanding issues identified during the review process are resolved, the Authority will issue a *letter of concurrence* with the proposed programming change. If there is no resolution within 30 days of the issuance of the *letter of initial findings*, the request will be scheduled for Authority Board consideration at the next meeting.

#### For Policy-Level Amendments

If there are no outstanding issues identified during the review process, the item will be scheduled for Authority Board action at the next meeting, with a recommendation for approval. If the review process identifies issues, and they are not resolved within the time frame specified in the Authority's *letter of initial findings*, the Authority will establish a schedule for final resolution of these issues, and invite the pertinent programming agencies to facilitate the process. The findings and recommendations from this process will be agendized for Authority Board action on a schedule determined by the Executive Director.

*"One of the key purposes of the CMP is to establish the link between transportation investment and system performance."*

### 7.5. Adjustments to Prop. B Strategic Plan

As part of the evaluation process for all CIP Amendments, the Authority will explicitly consider and recommend adjustments to the Prop K Strategic Plan and to the TFCA program, to maintain consistency. Such adjustments will be scheduled for Authority Board action concurrently with the corresponding CIP Amendments.

### 7.6. Notification of Programming Agencies

The Authority will notify the pertinent regional, state, or federal agencies, in writing, within 5 working days of Authority Board action on policy level CIP Amendments, and/or staff-level approval of Administrative-Level CIP Amendments.

## 8. Project Delivery

One of the key purposes of the CMP is to establish the link between transportation investment and system performance. In the CMP, this is primarily achieved through the CIP (see Section 3: Transportation Investment and System Performance). Programming projects in the CIP is only half of the picture. In order to be effective, the CIP must also function as a transportation project *delivery* mechanism.

Failure to deliver projects or delays in implementation can affect system performance. Further, depending upon the fund source, delay in obligating funds or implementing a project can result in loss of funds to the project and/or permanent lost to San Francisco. In the long run, poor project delivery rates can influence state and federal authorization levels for transportation funding, leading to fewer resources to dedicate to maintaining and improving the transportation system.

The Authority has mechanisms in place for tracking Prop K project delivery (i.e., the Strategic Plan, 5YPPs, and ongoing project management oversight activities). As CMA, the Authority continues to work with the MTC to monitor project delivery rates for projects programmed in the RTIP. In

2006 we will develop a more formalized process and new system for tracking project delivery in order to respond to the increasingly stringent timely use of funds requirements for state and federal funds, which are in response to concerns about poor project delivery. This will allow us to be more pro-active in identifying and helping to resolve project delivery issues for sponsors and help sponsors keep track of and meet timely use of funds requirements.

## 9. Program Overview

Appendices VIII, IX, X, and XI contain CIP improvements programmed through the 2005 San Francisco CMP. Information for these projects is consistent with data reflected in the adopted 2005 Prop K Strategic Plan and 5YPPs, the 2004 State Transportation Improvement Program (STIP) project list for San Francisco, and in the region's federal Transportation Improvement Program (TIP). The project lists will be modified as necessary to reflect the 2006 STIP, expected to be adopted by the California Transportation Commission by April 2006.

The CIP includes transit, bicycle, pedestrian, waterborne transportation and roadway improvements funded with a variety of local, regional, state and federal transportation sources. San Francisco's program is truly multimodal, with the majority of funds going to transit, pedestrian and bicycle projects.

Since the inception of the Transportation Funds for Clean Air (TFCA) program in 1992, the Authority has programmed a total of \$10,939,000 to eligible San Francisco projects. These funds are devoted to projects that improve air quality. Highlights of the TFCA program include significant commitments to clean air vehicles, shuttles to high employment centers, various bicycle projects, and two compressed natural gas (CNG) fueling facilities.

## 9.1. Transit Program

Many of the projects included in the Capital Improvement Program of the 2001 CMP are large-scale multi-year transit projects that were already reflected in previous CMPs, amounting to more than \$1.4 billion in funds from a variety of sources. The program addresses maintenance and rehabilitation as well as construction of new lines and facilities. The CIP includes Muni projects, as well as BART, Golden Gate Transit, JPB (Caltrain) and other regional transit projects that benefit San Francisco.

### Muni Projects

Among the most significant projects are:

- implementation of Bus Rapid Transit on Geary/O'Farrell and Van Ness Ave (Authority-led)
- replacement of the entire (136-vehicle) Light Rail Vehicle (fleet) which provides service in the Muni+ Metro system (subway and surface);
- replacement of the trolley bus and diesel bus fleets;
- improvements to key transit stops and stations to comply with the accessibility requirements of the Americans with Disabilities Act (ADA);
- extensive streetcar track replacement.
- installation of signal traffic signal preemption devices along diesel coach and trolley bus routes;
- replacement of trolley bus overhead wires;
- purchase of historic streetcars for F-line service;
- Balboa Park Intermodal station improvements;
- construction of the new Islais Creek bus maintenance facility;
- completion of the first segment of the 3<sup>rd</sup> Street Light Rail Line and Metro East maintenance facility; and
- completion of the Supplemental EIR and subsequent preliminary engineering for the Central Subway project.

Funding for this capital program involves many sources, most importantly Federal funds (about 65%) and local transportation sales tax (about 35%). The remainder of needed funds is programmed from local and regional sources, such as bridge tolls, transit impact development fees, and the regional allocations of TDA and STA funds.

### Regional Transit Operator Projects

Programmed regional transit projects include STIP funds for a new lay berth and rehabilitation of San Francisco Ferry Terminal facilities for Golden Gate Transit, rapid rail improvements and electrification for Caltrain, and station rehabilitation and accessibility improvements for BART (e.g., replacement of platform edge tiles). Moreover, to fulfill local matching requirements for a future Transportation for Livable Communities (TLC) grant from MTC and to fully fund the project, the Authority has programmed over \$2.5 million in Prop K funds for BART's planned improvements to the northeast plaza above its 16<sup>th</sup> Street Mission Station.

The CIP also contains several Caltrain commuter rail projects, with the Peninsula Joint Powers Board (JPB) as lead agency, including track rehabilitation, locomotive rebuild, railcar rehabilitation, centralized train control system, final design for electrification, and completion of the EIR for the downtown extension to a reconstructed transbay terminal.

While most of our regional transit projects involve maintenance and rehabilitation or system operations improvements intended to enhance the safety and efficiency of the existing transit system, there have been some expansion projects (e.g. new or extended service) as well.

In 2001 MTC adopted its Regional Transit Expansion Program, Resolution 3434, which identified nine new rail extensions, including a downtown Caltrain extension to a rebuilt Transbay Terminal and MUNI's Central Subway project.

The passage of Prop K provided for San Francisco sales tax funds for the first time to be programmed to regional transit operators. As such, the 2005 Prop K Strategic Plan includes funding for Caltrain Electrification, Caltrain CIP, Transit

Vehicles, Facilities and Guideways for BART and Caltrain, and the Transbay Terminal.

## 9.2. Roadway Program

All roadway projects included in the 2005 CMP involve rehabilitation, replacement, maintenance, and/or efficiency (including safety) improvements for existing facilities. Significant projects include the Traffic Calming Program, street resurfacing, roadway widening, continued implementation of the Integrated Traffic Management System for San Francisco, and construction of the Illinois Street Intermodal Bridge. See Appendix IX for Prop K 5YPP project lists.

The Traffic Calming Program began in response to neighborhood concern about traffic speed and commuters "cutting through" their streets. The program seeks to reduce traffic impacts and increase safety for pedestrians and other street users through the redesign of streets and sidewalks. A Technical Working Group and a Community Working Group developed guidelines for the program. A number of projects have been proposed to serve as program examples, such as a Bernal Heights Pilot Project, the Broadway Streetscape Plan, and a speed humps/speed tables test currently in development. Prop K sales tax funds are programmed for several traffic calming studies and improvements implementation.

The Integrated Traffic Management System (ITMS) includes a recently completed Traffic Management Control Center and installation of Traffic Operating System (TOS) devices primarily in the downtown area. The system will improve traffic flow and dissemination of related information to city departments, transportation agencies, and the public. Funding for ITMS deployment on Oak and Fell Streets is secured.

The Illinois Street Intermodal Bridge will cross Islais Creek, connecting the two existing segments of Illinois Street. The bridge will allow for more direct truck access to and between the Port's marine container facilities located to the north and south of Islais Creek. The bridge will also provide a needed alternate route for trucks that currently use Third Street, since the construction of the Third Street light rail line will reduce vehicle ca-

capacity and increase congestion on Third Street. The bridge will also include tracks to allow more direct rail access between the Port's container facilities.

Finally, the environmental and preliminary design work for the replacement of Doyle Drive, the southern approach to the Golden Gate Bridge, is well underway. This work is funded by a \$7.2 million federal grant (ISTEA Section 204), and is being led by the Authority. Replacement of Doyle Drive and the seismic retrofit of the Golden Gate Bridge (with the Golden Gate Bridge Highway and Transportation District as the lead agency) are major capital projects necessary to accommodate travel between San Francisco and the peninsula and the North Bay. The Draft EIR is expected to be released in December 2005. The Authority has secured funding for the final design of Doyle Drive, and is actively seeking funding for construction.

## 9.3. Waterborne Program

This section of the program focuses on improvements to the Downtown Ferry Terminal complex, which are intended to allow for increased frequency and reliability of ferry service to the East and South Bay. These improvements are part of the master plan for the Downtown Ferry Terminal. Project components that are currently under design or construction include: provision of a second, publicly accessible landing facility, gangway and trestle to the south of the Ferry Plaza, construction of a "essential deck" (a design capable of withstanding a major earthquake and remaining functional) structure connecting the landing facility to the Ferry Plaza (which is also an "essential" structure) relocation of the north publicly accessible landing facility (south of its present location), construction of an "essential" deck structure connecting the landing facility to The Embarcadero, restoration of the central concourse in the Ferry Building providing a direct connection from the Embarcadero to the ferry landing facilities, and fabrication of signs, railing, lighting, benches, trash can, and other pedestrian amenities throughout the project area.

The project does use Proposition 116 funds (Clean Air and Transportation Improvement Act),

but also includes grants from Section 1064 (FY 93 and 94) the Ferry Boat Discretionary Fund under ISTEA, the Transportation Enhancement Activities (TEA) fund (FY 94), and 2002 RIP funds. Proposition 116 funds will provide the local match for the federal grants.

monitor for efficient use of Prop K sales tax funds  
– Ongoing

The CIP will also be updated to include projects resulting from Water Transit Authority studies.

#### **9.4. Bicycle and Pedestrian Program**

The 2005 CMP includes funds for several new bicycle and pedestrian projects. Many of these projects fall under the Municipal Transportation Agency's (formerly DPT's) Livable Streets program, which incorporates traffic calming, pedestrian and bicycle safety, and school area safety. Other projects fall under the MTA's Bicycle and Pedestrian Programs. STIP funds are programmed for several projects including the installation of ladder crosswalks and fluorescent yellow green signs, constructing accessible median refuges, and installing audible pedestrian signals and ADA pushbuttons.

The City has received funding for bicycle, pedestrian, and traffic calming projects from various sources, including TDA, TFCA, TEA, TLC, Prop K, STP, BTA, SR2S, and RBPP. In addition, state and federal programming guidelines and the Authority's prioritization process (see 5YPP, RBPP, and TFCA project lists in Appendices IX, X, and XI) support the inclusion of bicycle and pedestrian friendly features in roadway and transit projects, as appropriate.

### **10. Work Program Items – Key Milestones**

Process CIP amendments and update description of CIP in CMP – Ongoing

Develop a next-generation database and tracking system for all projects in the CIP, utilizing our new accounting software, PIMS, and other existing databases where possible – By June 2006

Track project delivery as needed to ensure compliance with all state and federal timely use of funds requirements and obligation deadlines, and to