



SFMTA
Municipal
Transportation
Agency

A grayscale aerial photograph of San Francisco, showing the city's dense urban landscape, the San Francisco Bay, and the Golden Gate Bridge in the distance. The image is used as a background for the title text.

CAPITAL PLAN & PROGRAM POLICIES

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CAPITAL PLAN & PROGRAM POLICIES

Adopted:	June 15, 2011
Amendment 1:	May 9, 2013 (Capital Project Integration)
Amendment 2:	October 9, 2014 (Original and Baseline Budgets and Schedules)
Amendment 3:	November 13, 2014 (Capital Program Manager/CIP Program Manager)
Amendment 4:	April 9, 2015 (Definitions)
Amendment 5:	October 8, 2015 (Scope, Schedule and Budget Definitions)
Amendment 6:	February 11, 2016 (Text Cleanup)
Amendment 7:	December 8, 2016 (Definitions, Transportation Capital Committee, Capital Improvement Program and Competitive Grants Selection Section Policy Additions and Revisions)
Amendment 8:	July 13, 2017 (Definitions, Programmatic Lines, Budget Modification Thresholds)

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Background

Beginning in June 2010, the San Francisco Municipal Transportation Agency (SFMTA) went through a re-engineering process to produce new policies and procedures for the development and management of the SFMTA 20-year Capital Plan, a new SFMTA 5-year Capital Improvement Program (CIP) and a detailed 2-year Capital Budget. These policies were meant to combine and streamline processes inherited from the San Francisco Municipal Railway and the Department of Parking and Traffic, continuing to move toward a culture of one SFMTA.

The original policies represented more than 20 meetings and focus groups. All SFMTA sections participated and commented on the development and finalization of these policies. The policies represent the best effort to accommodate all comments and concerns while creating a clear structure and process in the development of the SFMTA's Capital Plan and Capital Improvement Program.

Consistent, clear and detailed policies are necessary for the proper management and development of the SFMTA's Capital Plan and Capital Improvement Program. These policies and their processes as designed allow for better project integration within the SFMTA by creating a Transportation Capital Committee, which reviews project scopes with the goal of developing a complete street and multi-modal projects. Continuing to move in this direction will result in a more efficient use of staffing and financial resources.

These policies set clear and documented financial constraints on the planning and development of projects meant to guarantee projects remain within their approved scope, schedule, and budget. The policies ensure that projects do not proceed unless adequate funding has been identified, providing for the most efficient use of the Agency's capital resources.

Policies

Section 1: Scope

- 1.1 These policies define how a capital need is identified, included in the SFMTA's Capital Plan, requests for capital funding and adding projects to the 5-year Capital Improvement Program and the SFMTA Board adopted 2-year Capital Budget. It also describes the roles of the SFMTA staff responsible for carrying out these policies.

Section 2: Definitions

#	Term	Definition
2.1	Capital Plan	The list of unconstrained capital needs (20-year) developed by the Planning Section of the Sustainable Streets Division. The Capital Plan is a living document that is revised as needed through the Transportation Capital Committee.
2.2	Capital Improvement Program (CIP)	The list of financially constrained capital projects (5-year) prepared by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division. A project must be included in the Capital Plan and have 90 percent of its funding identified to be included in the Capital Improvement Program.
2.3	Capital Budget	The SFMTA Board adopted list of financially constrained projects (2-year) prepared by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division. Projects must have full funding plans to be included in the Capital Budget.
2.4	DOT/Executive Team	The Director of Transportation and the Directors of each Division of the SFMTA.
2.5	Capital Need	A concept for a Capital Project included in the Capital Plan and has a planning-level scope, schedule and cost estimate.
2.6	Capital Project	A one-time effort to construct, acquire, replace, improve, expand or rehabilitate (beyond routine maintenance) transportation asset(s) which can be capitalized and which are owned by the SFMTA and/or City and County of San Francisco.
2.7	Transportation Capital Committee	The Agency committee tasked with approving capital needs to be added to the Capital Plan, prioritizing capital needs, and approving changes to project funding and scope as described in these policies.
2.8	CIP Program Manager	The Person designated to convene committees or perform the work necessary to refine capital needs for inclusion in the Capital Improvement Program.

2.9 Capital Program Manager	Person responsible to manage a group of related projects by overseeing multiple project teams, accountable for an overall strategic outcome; monitoring and measuring overall program strategic objectives, and using innovative thinking and resource management techniques to make difficult and complex decisions; or, a person responsible for a technical component of the project delivery lifecycle that is needed across multiple Capital Programs.
2.10 Capital Need Request Form	The document and information required for a capital need to be considered for inclusion in the Capital Plan.
2.11 Capital Funding Request Form	The document and information required for a Capital Project to be considered for inclusion in the Capital Improvement Program.
2.12 Capital Funding Recommendation (CFR)	A recommendation prepared for the Transportation Capital Committee and/or the DOT/Executive Team regarding an impact to the Capital Plan or Capital Improvement Program.
2.13 Original Budget	The estimated cost at the time a project or phase of a project is initiated through the inclusion in the Capital Improvement Program.
2.14 Baseline Budget	A one-time approved change to the Original Budget at a predetermined project milestone, such as pre-development, planning, conceptual engineering, or detail design.
2.15 Amended Budget	A reflection of the full funding currently set aside for a project after the Baseline Budget has been established.
2.16 Original Schedule	The absolute dates used at the time a project or phase of a project is initiated through the inclusion in the Capital Improvement Program.
2.17 Baseline Schedule	A one-time approved change to the Original Schedule at the end of the Preliminary Engineering phase.
2.18 Amended Schedule	A reflection of all approved changes to the schedule after the Baseline Schedule has been established.
2.19 Scope	Describes the quantity, features or functions to be accomplished by completing the project.
2.20 Project Manager	Person responsible for, and with the authority to decide, what and how things should be done from a project's inception to completion to achieve an objective defined in partnership with the client or primary stakeholder; and is accountable for balancing cost, schedule and scope while ensuring quality, performing appropriate outreach, and escalating issues as necessary.
2.21 CIP ID	The unique identifier distinguishing each Capital Project, Capital Reserve and Programmatic Line included in the

	Capital Improvement Program.
2.22 Capital Reserve	Available funding in the Capital Improvement Program programmed to specific Capital Program by fiscal year but not committed to a specific Capital Project.
2.23 Programmatic Line	Available funding in the Capital Improvement Program programmed to unspecified Capital Projects aimed at supporting one-time efforts, ongoing maintenance and funding with unusual limitations and/or spending constraints such as developer contributions.
2.24 Other/Non-Capital Program	A Capital Program that supports initiatives that do not meet the definition of Capital Project, such as education or traffic enforcement programs that receive capital grant funds. The Other/Non-Capital Program budgets may not reflect the entire budget of a project but only the grant-funded portion.

Section 3: Capital Needs and the Capital Plan

- 3.1 Capital Needs are unfunded and involve the replacement, renewal, improvement, expansion or acquisition of capital assets.
- 3.2 The sum of all of the Capital Needs is reflected in the Capital Plan.
- 3.3 Capital Needs are submitted to the Planning Section of the Sustainable Streets Division by submitting a Capital Need Request Form.
- 3.4 Capital Need Request forms require the approval of a Division Director before being submitted to the Planning Section for review.
- 3.5 Capital Needs will be reviewed for accuracy, consistency and an appropriate level of detail by the Planning Section.
- 3.6 Capital Needs with insufficient project descriptions, cost estimates and other pertinent information as identified by the Planning Section staff will be returned to the appropriate division for revision.
- 3.7 Capital Needs with sufficient project descriptions, cost estimates, and other pertinent information will be recommended for approval to the Transportation Capital Committee.
- 3.8 Capital Needs will be added to the Capital Plan once approved by the Transportation Capital Committee.
- 3.9 Approved additions to the Capital Plan will be reviewed by the DOT/Executive Team as needed.
- 3.10 Capital Needs that have a specific grant or designated funding source, may be added to the Capital Improvement Program with the approval of the DOT/Executive Team, even if the need has not been included in the Capital Plan.

Section 4: Transportation Capital Committee

- 4.1 The Transportation Capital Committee will meet on a monthly basis to consider any changes to the Capital Plan or Capital Improvement Program.
- 4.2 The number of members and makeup of the Transportation Capital Committee will be decided by the DOT/Executive Team.
- 4.3 The Transportation Capital Committee will include representatives assigned by the Directors of each of the SFMTA Divisions.
- 4.4 As it is critical for the Transportation Capital Committee to consider the needs of the entire Agency and the impact of projects among Divisions, subdivisions and sections of the SFMTA on a timely basis, attendance by appointed Transportation Capital Committee members is mandatory.
- 4.5 If a member of the Transportation Capital Committee is unable to attend a scheduled meeting, their Division Director will appoint an alternate for that meeting.
- 4.6 The Transportation Capital Committee members will have the responsibility to gain consensus from within their respective Division, have the authority to make recommendations for their Division and report back to their Division Director.
- 4.7 The Transportation Capital Committee is responsible for approving new Capital Needs for inclusion in the Capital Plan and prioritizing the needs based on the criteria established by the DOT/Executive Team.
- 4.8 The Transportation Capital Committee must approve budget adjustments for Capital Project phases with modifications in excess of both \$250,000 and 10 percent.
- 4.9 The Transportation Capital Committee must approve all Capital Project scope modifications once the pre-development report has been issued.
- 4.10 The Transportation Capital Committee will be co-Chaired by the Manager of Capital Planning and the Manager of Capital Financial Planning and Analysis, who will be responsible for the scheduling, agenda and minutes of the meeting.
- 4.11 Requests for agenda items should run through the Chairs of the Transportation Capital Committee.
- 4.12 Agendas for the Transportation Capital Committee will be distributed one week prior to the Transportation Capital Committee meetings.
- 4.13 Decisions of the Transportation Capital Committee will be made based on consensus.
- 4.14 Any member of the Transportation Capital Committee may call for a vote of the members if not satisfied with a consensus built decision of the Transportation Capital Committee. Each member will get one vote.
- 4.15 The Transportation Capital Committee must approve all Capital Project schedule modifications.

Section 5: Transit Fixed Guideway Program and Committee

- 5.1 The Director of Transit serves as the CIP Program Manager for the Transit Fixed Guideway Program and may convene the Fixed Guideway Committee at his or her discretion.
- 5.2 The Transit Fixed Guideway Committee will meet as needed to review and amend the Transit Fixed Guideway Capital Program.
- 5.3 The Transit Fixed Guideway Committee will be co-chaired by Deputy Director – Maintenance of Way from the Transit Division and a Capital Planner designated by the Director of Sustainable Streets.
- 5.4 The number of voting members and make-up of the Transit Fixed Guideway Committee will be decided by the Director of Transit.
- 5.5 The Transit Fixed Guideway Committee will also include a member from the Finance & Information Technology Division, Sustainable Streets Division, and Capital Programs and Construction, however, these will be non-voting members.
- 5.6 Recommendations to add projects or amend existing projects in the Transit Fixed Guideway Program require a majority vote from the Fixed Guideway Committee and will be referred to Capital Financial Planning and Analysis as a funding request.

Section 6: Security Capital Program and Committee

- 6.1 The Director of Security, Investigations and Enforcement serves as the CIP Program Manager for the Security Capital Program and may convene the Security Capital Program Committee at his or her discretion.
- 6.2 The Security Program Committee will meet as needed to review and amend the Security Capital Program.
- 6.3 The Security Program Committee will be chaired by the Director of Safety and Security.
- 6.4 The number of voting members and makeup of the Security Program Committee will be decided by the Director of Safety and Security.
- 6.5 Members of the Security Program Committee must sign an agreement of confidentiality and not disclose the scopes of work associated with the Security Capital Program unless authorized by the Director of Security, Investigations and Enforcement.
- 6.6 The Security Program will also include a member from the Finance & Information Technology Division, Transit Operations Division and Capital Programs and Construction Division, however, these will be non-voting members.
- 6.7 Recommendations to add projects or amend existing projects in the Security Capital Program require a majority vote from the Security Program Committee and will be referred to Capital Financial Planning and Analysis as a funding request.
- 6.8 Due to the sensitive nature of security-related projects, the projects that the Chief Financial Officer/Director of Finance & Information Technology may at their discretion bypass Capital

Financial Planning and Analysis and the Transportation Capital Committee as necessary for scope, schedule and budget approval. These projects would need to be approved by the DOT/Executive Team.

Section 7: Capital Improvement Program

- 7.1 All Capital Needs must be in the Capital Plan to be considered for inclusion in the Capital Improvement Program.
- 7.2 CIP Program Managers are responsible for convening committees necessary or desired to refine and prioritize Capital Needs for inclusion in the Capital Improvement Program based on criteria approved by the Transportation Capital Committee.
- 7.3 CIP Program Managers are appointed by the DOT/Executive Team for each of the Capital Programs included in the Capital Improvement Program.
- 7.4 Capital Projects are Capital Needs where the total project budget has no less than 90 percent of the total project funds identified and is included in the Capital Improvement Program.
- 7.5 Divisions must fill out a Capital Funding Request Form to with a basic scope, schedule and budget for evaluation by Capital Financial Planning and Analysis.
- 7.6 If a Capital Project has less than 90 percent of the funding identified, the requesting division can:
 - (1) Reduce the total scope of the request to meet the 90 percent threshold. The remaining scope will remain a Capital Need until funding is available.
 - (2) May defer the project until adequate funding is available.
- 7.7 Capital Projects may be added to the Capital Improvement Program with less than 90 percent of identified funds with the approval of the DOT/Executive Team.
- 7.8 Capital Projects are established by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division.
- 7.9 Capital Projects may be subdivided into separate sub-projects, as may be necessary to administer, manage and deliver the originally approved scope of the project without further action by the Transportation Capital Committee.
- 7.10 Capital Project Scopes, Schedules and Budgets must be approved by the Transportation Capital Committee.
- 7.11 The Capital Financial Planning and Analysis section may administratively approve Capital Project budget adjustments in instances when the total adjustment by phase does not exceed the thresholds which would require the approval of either the Transportation Capital Committee or DOT/Executive Team.
- 7.12 Capital Improvement Program modifications can be made by the Capital Financial Planning and Analysis section administratively in an amount not to exceed 10 percent of the Capital

Program total in any one fiscal year.

- 7.13 The DOT/Executive team must approve Capital Project budget adjustments for project phases greater than \$1,000,000 with modifications in excess of 20 percent or \$5,000,000.
- 7.14 A Capital Project Scope, once approved through the inclusion in the Capital Improvement Program, can only be modified with the approval of the Transportation Capital Committee.
- 7.15 The Original Budget is established when a new Capital Project is approved either by the SFMTA Board of Directors through the approval of the Capital Improvement Program or the Capital Budget, or by an action of the Transportation Capital Committee establishing a new Capital Project.
- 7.16 The Original Budget cannot be modified and will remain unchanged throughout the Capital Project's life.
- 7.17 The Baseline Budget is established at the completion of a predetermined non-construction phase (planning, preliminary engineering, or detail design). If the Baseline Budget exceeds the levels permitted under the administrative authority of the Capital Financial Planning and Analysis Section when compared with the Original Budget, the Baseline Budget must be approved by the Transportation Capital Committee.
- 7.18 The Amended Budget starts as the Baseline Budget. If the Amended Budget exceeds the levels permitted under the administrative authority of the Capital Financial Planning and Analysis section when compared to the last approved budget, the Amended Budget must be approved by the Transportation Capital Committee.
- 7.19 Performance in the implementation of a Capital Project will be evaluated against the Amended Budget.
- 7.20 The Original Schedule is established when a new Capital Project is approved either by the SFMTA Board of Directors through the approval of the Capital Improvement Program or the Capital Budget, or by an action of the Transportation Capital Committee establishing a new Capital Project.
- 7.21 The Original Schedule cannot be modified and will remain unchanged throughout the Capital Project's life.
- 7.22 The Baseline Schedule is established at the end of the preliminary engineering phase, with the completion of the preliminary engineering report. If the Original Schedule is maintained, the Baseline Schedule is set without additional approvals. Any change from the Original Schedule would require the approval of the Transportation Capital Committee. Once approved, the Baseline Schedule will be the Amended Schedule.
- 7.23 The Amended Schedule starts as the Baseline Schedule and at the discretion of the Project Manager can be modified with the approval of the Transportation Capital Committee.
- 7.24 Performance in the implementation of a Capital Project will be evaluated against the Amended Schedule.
- 7.25 The Capital Financial Planning and Analysis section may approve funding requests for Capital Projects requesting funding for up to two concurrent phases when:

- (1) One or both of the phases have a duration shorter than six months; or
 - (2) It can be demonstrated that construction phase funding is needed during the time of detailed design in order to procure and/or install necessary equipment as a precursor to the complete construction phase.
- 7.26 Capital Project cost savings will be initially reprogrammed into the Capital Reserves of the original Capital Program.
- 7.27 The Capital Financial Planning and Analysis section has the discretion to seek the approval of the Transportation Capital Committee for any item that impacts the Capital Improvement Program.
- 7.28 The DOT/Executive Team or CFO shall have the final determination over which projects meet the definition of Capital Project.
- 7.29 The Capital Improvement Program consists of three subcategories of capital resources: Capital Projects, Programmatic Lines and Capital Reserves.
- 7.30 A Programmatic Line must result in at least one Capital Project.
- 7.31 A Programmatic Line Scope describes the types of Capital Project that will result.
- 7.32 A Programmatic Line must adhere to all policies related to the Original, Baseline and Amended Budget.
- 7.33 A Capital Project originating from a Programmatic Line will establish an Original Budget through:
- (1) An administrative approval by the Capital Financial Planning and Analysis section in instances where the proposed budget impacts no other Capital Project, Programmatic Line or Capital Reserves.
 - (2) An approval by the Transportation Capital Committee in instances where the proposed budget impacts either another Capital Project, Programmatic Line or Capital Reserves.
- 7.34 A Capital Project originating from a Programmatic Line must establish a Scope and Original Schedule through an approval by the Transportation Capital Committee.
- 7.35 A Programmatic Line will not be subject to policies pertaining to Original, Baseline and Amended Schedule for a Capital Project. The Programmatic Line Schedule will be used for planning purposes only.

Section 8: Capital Project Naming Conventions

- 8.1 Capital Projects will have a standard naming convention, as developed by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division.
- 8.2 Capital Project names should be generated by the appropriate Division project manager at the time of a funding request to be added to the Capital Improvement Program.

8.3 Capital Project names must contain a location identifier. The identifier must include one of the following:

- (1) Transit Line;
- (2) Street or Intersection;
- (3) Facility Name; or
- (4) Asset Name (procurement of assets such as vehicles).

Section 9: Capital Funds

9.1 Capital Funds are capital grants or revenues approved for capital purposes as part of the Capital Improvement Program and Capital Budget.

9.2 Capital Funds will have a standard naming convention, as developed by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division.

9.3 Any use of Capital Funds shall be documented and approved through a Capital Funding Recommendation developed by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division.

9.4 Transfers of Capital Funds is within the administrative authority of the Capital Financial Planning and Analysis section of the Finance & Information Technology Division in the following circumstances:

- (1) From Project “A” to Project “B” if:
 - a) Project A is complete and has savings; or
 - b) Project A has not been completed and a newly revised funding plan has been approved by the Transportation Capital Committee that confirms project savings at completion.
- (2) Between funding sources within a project if the total project budget remains the same.

9.5 Capital Funds must be approved by the Transportation Capital Committee to be included in the Capital Improvement Program.

Section 10: Competitive Grant Selection

10.1 Competitive Grants are those that are local, regional, state or federal funds available to multiple agencies other than the SFMTA and are not guaranteed.

10.2 Capital Financial Planning and Analysis will prepare an informational Capital Funding Recommendation when competitive grants are available.

10.3 Project sponsors may request projects for competitive grants at the next regularly scheduled Planning, Policy, Partnership Meeting.

- 10.4 Project sponsors may only request projects that are in the Capital Plan.
- 10.5 Capital Financial Planning and Analysis will review funding requests and prepare a Capital Funding Recommendation that will be reviewed at a Planning, Policy, Partnership meeting.
- 10.6 Capital Funding Recommendations for competitive grants that are eligible to only one Division within the Agency may be approved by that Division's Director.
- 10.7 Capital Funding Recommendations for competitive grants that are eligible to multiple Divisions within the Agency require the approval of the DOT/Executive Team.
- 10.8 In cases where Capital Financial Planning & Analysis' initial screening of a funding opportunity does not appear to be a good fit to the Agency's needs, a Capital Funding Recommendation will be prepared for approval by the Capital Financial Planning and Analysis section. Situations include:
 - (1) Candidate projects do not match fund guidelines and/or evaluation criteria do not align with local conditions.
 - (2) Candidate projects are premature, not yet ready for implementation.
 - (3) The anticipated field of competitors does not favor SFMTA candidate projects.
 - (4) Use of the competitive grant is a poor business decision. Administration and/or reimbursement rates would be a financial burden outweighing the potential award.
 - (5) Candidate project activities are outside of the SFMTA's core functions and may be better suited for direct implementation by other agency partners.
 - (6) Candidate projects do not appear to have either clear support within the Agency or do not have political support.

Section 11: Planning, Policy, Partnership

- 11.1 Planning, Policy, Partnership meetings are monthly and allow the Agency to collaboratively review upcoming projects, project integration, major policy initiatives and long-range funding strategies.
- 11.2 Planning, Policy, Partnership meetings are designed to include representatives from all portions of the Agency.
- 11.3 Competitive Grant opportunities will be discussed and recommendations presented at the Planning, Policy, Partnership meetings to allow all areas of the Agency an opportunity to access these capital, and, in some cases, operating sources.

Section 12: Capital Funding Requests and Budget Revisions

- 12.1 Budget Revisions and Requests for Index Codes are necessary to book allocated funds into the City and County of San Francisco's Financial System.
- 12.2 Budget Revisions and Requests for Index Codes must be consistent with approved Project

Funding Plans as approved by the Transportation Capital Committee.

12.3 Budget Revisions and Requests for Index Codes must be approved by the Capital Financial Planning and Analysis section of the Finance & Information Technology Division if:

- (1) The Budget Revision or Index Code Involves Capital Funds; or
- (2) The Budget Revision of Index Code Involves a Capital Project

12.4 Budget Revisions and Requests for Index Codes associated with Capital Funding Plans or Capital Funding Plan Modifications approved by the DOT/Executive Team do not require the approval of the Capital Financial Planning and Analysis Section.

Section 13: Amendments

13.1 These policies can be amended at any time by a $\frac{3}{4}$ vote of the Transportation Capital Committee.

13.2 These policies can be amended at any time by the Director of Transportation.

Section 14: Emergency Capital Projects

14.1 An “emergency” is defined as a situation, which would result in an unacceptable hazard to life or an immediate, unforeseen, and significant impact to the public if corrective action is not undertaken within a time period of fewer than 45 days.

14.2 Any SFMTA Division Director may submit a memo to the co-Chairs of the Transportation Capital Committee naming a project and declaring it an emergency project based on 14.1 with the concurrence of the Director of Transportation and the Director of System Safety.

14.3 Capital Funding Recommendation will be prepared by CFO/Director of Finance & Information Technology immediately to fully fund the proposed project with the approval of the Director of Transportation.

14.4 Upon project completion, the Division declaring the emergency must report back to the Transportation Capital Committee documenting the following:

- (1) Describing the nature of the stated emergency consistent with Policy 14.1.
- (2) Detailing how the emergency was resolved and the determined cause.
- (3) Recommendations on how to prevent an emergency of this type from reoccurring.

14.5 Divisions not complying with Policy 14.4 will be prohibited from declaring any future emergency projects. This will remain in effect until a documented report has been presented to the Transportation Capital Committee.

14.6 Emergency Capital Projects are not required to go through the Capital Project Integration Process, as defined in Section 15.

Section 15: Capital Project Integration Process

15.1 This section defines the purpose and procedures of the Project Integration Process.

15.2 Roles & Responsibilities

- (1) Project Sponsor - The Project Sponsor is the individual or group recommending a project for adoption into the CIP. The Project Sponsor may be a Division Director, CIP Program Manager, or SFMTA staff. The Project Sponsor is responsible for providing a project description, duration, and cost estimate for the project they are recommending for adoption into the CIP.
- (2) CIP Program Manager - CIP Program Managers are responsible for providing guidance on the appropriate scope for integrated projects and identifying major conflicts or policy issues. CIP Program Managers are encouraged to communicate with the PIC prior to Transportation Capital Committee meetings regarding any agenda items of interest. The CIP Program Managers are responsible for ensuring that projects adopted into the CIP are integrated to the greatest extent practicable.
- (3) Project Integration Committee (PIC) – A committee comprised of staff members appointed by the CIP Program Managers to review project integration checklists for integration opportunities. Each Capital Program will have one PIC member appointed by the associated CIP Program Manager. A single staff member may be appointed as the PIC member for multiple Capital Programs.
- (4) Planning – Responsible for initiating and completing the project integration checklist, coordinating the informal meetings with PIC members, and presenting completed and reviewed project integration checklists to the Transportation Capital Committee. The Planning Team is responsible for initiating and shepherding projects through the Project Integration process.
- (5) DOT/Executive Team will provide guidance when major project conflicts or policy issues are identified that cannot be resolved by the CIP Program Managers or the Transportation Capital Committee.

15.3 Project Integration Committee

- (1) The Project Integration Committee is comprised of staff members appointed by the CIP Program Managers to review project integration checklists for integration opportunities.
- (2) Each Capital Program will have a PIC member appointed by the associated CIP Program Manager.
- (3) A single staff member may be appointed to the PIC for multiple Capital Programs.

15.4 Project Integration Process

- (1) The project integration process is not intended to focus on in-depth or technical aspects of planning or engineering. The goal of the project integration process is to review project scopes and identify potential project integration opportunities based on existing plans, policies, and projects.
- (2) For all capital projects proposed for addition to the CIP, including the bi-annual CIP updates, Planning will submit a complete Project Integration Checklist to the Transportation Capital Committee, in conjunction with the Project Sponsor.

- (3) PIC members will review the completed checklist within three days of its submission by Planning. PIC members will document their comments and any proposed changes to the project scope in the Project Integration Process Cover Sheet.
- (4) Projects, where no opportunities for integration were identified, will be presented to the Transportation Capital Committee as consent items.
- (5) Projects, where Planning and PIC members agree on the potential opportunities for integration, will be presented to the Transportation Capital Committee as consent items. The agreed upon project scope will be documented in the Project Integration Process Cover Sheet.
- (6) Projects where Planning and PIC members are unable to reach a consensus on the integration opportunities, identify potential conflicts between integration opportunities or identify policy or major project conflicts will be discussion items at the Transportation Capital Committee. A meeting to discuss and review the integration opportunities will be scheduled by Planning prior to the Transportation Capital Committee.
- (7) Major project or policy conflicts that are not resolved by the Transportation Capital Committee in a timely manner will be elevated to the DOT Team or Pre-TASC.
 - a) Policy or project conflicts will be presented by CIP Program Managers and appropriate staff at a DOT Team meeting.
 - b) When conflicts regarding limited street Right-of-Way are not able to be resolved by the Transportation Capital Committee, the project can be referred to Pre-TASC. CIP Program Managers and appropriate staff will present the project and Right-of-Way conflicts at Pre-TASC and work to resolve identified conflicts.
 - c) If after completing the Project Integration Process there are changes to a project scope that require approval by the Transportation Capital Committee, the Transportation Capital Committee has the authority to require the project to complete the Project Integration Process again.

15.5 Project Integration Reporting

- (1) An annual report will be prepared by Planning for the DOT Team and CIP Program Managers. The annual report will detail the actions and progress made toward SFMTA project integration. The report will include statistics, accomplishments, areas for improvement, and anticipated major actions over the coming year.

15.6 Projects with an estimated cost (total project cost for all phases) of less than \$100,000 may use a streamlined Project Integration Process under the following conditions:

- (1) Project Sponsor indicates (initials) in Part 1 the Project Integration Checklist that the total project cost estimate at less than \$100,000, and
- (2) Planning staff responsible for Project Integration review indicates that there is no possibility of Project Integration for this project and indicates such on the Project Integration Checklist (initials).

15.7 Projects with an estimated cost greater than \$100,000 may use a streamlined Project Integration Process under the following conditions:

- (1) Project Sponsor indicates (initials) in Part 1 the Project Integration Checklist that there is no possibility of Project Integration for this project.
- (2) Planning staff responsible for Project Integration review concur with the Project Sponsor and indicates such on the Project Integration Checklist.