



**Members of the Board**

Charlene Haught Johnson, Chair  
Anthony J. Intintoli, Jr., Vice Chair  
Gerald Bellows  
Beverly Johnson

**MEETING AGENDA FOR THE WETA  
BOARD OF DIRECTORS**

*Monday, March 31, 2008, 9:00 A.M. to 12:00 P.M.*  
**Port of San Francisco, Bayside Conference Room**  
Pier 1 on the Embarcadero, at the foot of Washington Street  
San Francisco

**AGENDA**

This information will be made available in alternative formats upon request. To request an agenda in an alternative format, please contact the Board Secretary at least five (5) working days prior to the meeting to ensure availability.

**PUBLIC COMMENT** The Water Emergency Transportation Authority welcomes comments from the public. Speakers' cards and a sign-up sheet are available. Please forward completed speaker cards to the Board Secretary.

**Non-Agenda Items:** A 15 minute period of public comment for non-agenda items will be held at the end of the meeting. Please indicate on your speaker card that you wish to speak on a non-agenda item. No action can be taken on any matter raised during the public comment period. Speakers will be allotted no more than three (3) minutes to speak and will be heard in the order of sign-up.

**Agenda Items:** Speakers on individual agenda items will be called in order of sign-up after the discussion of each agenda item and will be allotted no more than three (3) minutes to speak. You are encouraged to submit public comments in writing to be distributed to all Directors.

- |                                       |                           |
|---------------------------------------|---------------------------|
| 1. <u>CALL TO ORDER – BOARD CHAIR</u> | <b><i>Information</i></b> |
| 2. <u>ROLL CALL</u>                   | <b><i>Information</i></b> |
| 3. <u>REPORT OF BOARD CHAIR</u>       | <b><i>Information</i></b> |
| 4. <u>REPORTS OF DIRECTORS</u>        | <b><i>Information</i></b> |
| 5. <u>REPORTS OF STAFF</u>            | <b><i>Information</i></b> |

**Water Emergency Transportation Authority**  
**March 31, 2008 Meeting of the Board of Directors**

---

6. INFORMATIONAL PRESENTATION – ONGOING ACTIVITIES **Information**
- a. Existing Services/WTA Plan
  - b. South San Francisco Ferry Service
  - c. Berkeley Ferry Service
  - d. Hercules Ferry Service
  - e. Richmond Ferry Service
  - f. Funding
7. INFORMATIONAL PRESENTATION – EMERGENCY RESPONSE **Information**
- a. Existing Procedures
  - b. Existing Ferry Capacity
  - c. SB 976 Planning Activities
8. STATUS OF WTA AGREEMENTS **Information/Action**
9. APPROVAL OF FISCAL YEAR 2007/08 BUDGET **Action**
10. APPROVAL OF ADMINISTRATIVE CODE **Action**
11. APPROVAL OF HUMAN RESOURCES GUIDE **Action**
12. ESTABLISHMENT OF STANDING COMMITTEES **Action**
13. PROPOSITION 1B SPENDING PRIORITIES **Information/Action**
14. RECESS INTO CLOSED SESSION – APPOINTMENT OF EXECUTIVE DIRECTOR AND GENERAL COUNSEL **Action**  
Pursuant to Government Code Section 54954.5, Public Employee Appointment/Employment/Performance/ Discipline/Dismissal/ Release
15. REPORT ON CLOSED SESSION **Action**  
Report on closed session as required; potential action regarding closed session discussions
16. OPEN TIME FOR PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

ADJOURNMENT

Water Emergency Transportation Authority (WETA) meetings are wheelchair accessible. Upon request WETA will provide written agenda materials in appropriate alternative formats to individuals with disabilities. Please send a written request to email@watertransit.org or call (415) 291-3377 at least five (5) days before the meeting. Under Cal. Gov't. Code sec. 84308, Directors are reminded that they must disclose on the record of the proceeding any contributions received from any party or participant in the proceeding in the amount of more than \$250 within the preceding 12 months. Further, no Director shall make, participate in making, or in any way attempt to influence the decision in the proceeding if the Director has willfully or knowingly received a contribution in an amount of more than \$250 within the preceding 12 months from a party or such party's agent, or from any participant or his or her agent, provided, however, that the Director knows or has reason to know that the participant has a financial interest in the decision. For further information, Directors are referred to Gov't. Code sec. 84308 and to applicable regulations.

From: Governor's Press Office  
Sent: Thursday, March 20, 2008 3:00 PM  
Subject: Governor Schwarzenegger Announces Appointments to San Francisco Bay Area Water Emergency Transportation Authority

GAAS:141:08

For Immediate Release:  
Thursday, March 20, 2008

Contact: Aaron McLearn  
Rachel Cameron  
916-445-4571

Governor Arnold Schwarzenegger today announced the appointments of Charlene Haight Johnson as chair, Anthony Intintoli Jr. as vice chair and Gerald Bellows as a member of the San Francisco Bay Area Water Emergency Transportation Authority.

"We all know how quickly ground transportation can break down in an earthquake or serious disaster making water transit so vital," said Governor Schwarzenegger. "The San Francisco Bay Area Water Emergency Transportation Authority is a critical part of making the Bay area better prepared for such an emergency. I am confident the people appointed today will work to ensure that the people of the Bay area are safer by expanding the region's emergency preparedness capability."

Johnson, 62, of Colma, served as president of the San Francisco Bay Area Water Transit Authority from 2000 to December 2007. In this capacity, she was actively involved with Interferry, an international trade organization of ferry service providers, and the Passenger Vessel Association, which represents domestic ferry operators. Johnson has served as partner and attorney for the San Francisco based law firm, Hallisey and Johnson, formerly O'Brien and Hallisey, since 1974. She is a graduate of the University of California Hastings College of the Law. Johnson is a Democrat.

Intintoli, 69, of Vallejo, served on the San Francisco Bay Area Water Transit Authority from 2000 to December 2007. He served as mayor of Vallejo from 1987 to 1995 and 1999 to 2007. Intintoli also served on the Vallejo City Council from 1977 to 1985. From 1996 to 2002, he was a GED teacher at the Vallejo Adult School and, from 1981 to 1995, was a teacher of English, Spanish and history at Hogan High School. From 1977 to 1981, Intintoli was a teacher at St. Patrick St. Vincent High School. Prior to that, for two years, he taught business law and Hispanic civilization as an adjunct instructor at Napa Valley College and Solano Community College. Intintoli served as a legal officer in the Judge Advocate General's Department of the U.S. Air Force Reserve from 1965 to his retirement as a lieutenant colonel in 1998 and served as an attorney in private practice from 1968 to 1977. He served as chair of the Solano Transportation Authority in 2007 and is a past member of the California Defense Conversion Council, Solano County Mayors' Committee and Solano County Board of Education. Intintoli is also past president of the League of California Cities North Bay Division and past chair of the Vallejo Redevelopment Agency and the Base Reuse Committee of the Defense Conversion Council. He currently is a member of the board of directors of the Solano County Children's Network and the St. Patrick St. Vincent High School Advisory Board. Intintoli is a Democrat.

Bellows, 58, of Berkeley, has served as logistics management officer for the U.S. Maritime Administration since 2007. From 2004 to 2007, he was a consultant for Smooth Sailing Incorporated and, from 1996 to 2007, served as chief engineer and assistant engineer for Patriot Contract Services, Mormac Company and Marine Transport Lines. Previously, Bellows was an assistant engineer for American President Lines from 1985 to 1996 and an associate professor of engineering at the California Maritime Academy from 1982 to 1985. Prior to that, he was an assistant engineer on various container ships including the SS Spirit of Liberty, SS President Roosevelt and SS Santa Mercedes throughout the Pacific and Indian oceans from 1980 to 1982 and worked for the U.S. Department of Defense from 1976 to 1980 as a port and facility engineer. He is a vice president of the Society of Naval Architects and Marine Engineers and a member of the board of directors for the Society of Port Engineers of San Francisco. Bellows is a Republican.

These positions require Senate confirmation and the compensation is \$100 per diem.

In 2007, the Governor signed SB 976 <[http://www.leginfo.ca.gov/cgi-bin/postquery?bill\\_number=sb\\_976&sess=CUR&house=B&author=torlakson](http://www.leginfo.ca.gov/cgi-bin/postquery?bill_number=sb_976&sess=CUR&house=B&author=torlakson)> by Senator Tom Torlakson (D-Antioch) which consolidated ferry services in the San Francisco Bay area through the new San Francisco Bay Area Water Emergency Transportation Authority (WETA). WETA plans, manages, operates and coordinates the emergency activities of all water transportation and related facilities within the Bay area region except those owned and operated by the Golden Gate Bridge, Highway and Transportation District. During a state of emergency or a local emergency, the authority will coordinate the emergency activities for all water transportation services in the Bay area region in cooperation with the State Office of Emergency Services, the U.S. Coast Guard, the Federal Emergency Management Agency and the Metropolitan Transportation Commission.

###

# Transportation Emergency Response Planning and Management March 2008



**WETA**

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Agenda

### Existing Organizational Structure

#### Important Documents

Emergency response organizational concepts

Organizations and their roles

How transportation response works in a disaster

Acronyms

### Existing Infrastructure

Anticipated problems

Demand and existing capacity

Ferry Building constraints

Other constraints

Additional capacity from expansion

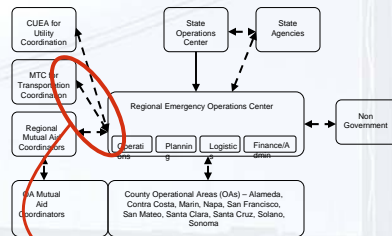
WATER EMERGENCY TRANSPORTATION AUTHORITY



## Existing Emergency Response Documents

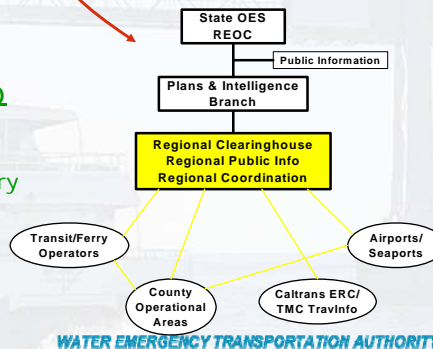
### Regional Emergency Coordination Plan (RECP) (October 2007)

- For use by the State OES to coordinate all-hazards emergency response
- Includes subsidiary plans for Fire and Rescue, Hazardous Materials, Communications, Law Enforcement, Logistics, Care and Shelter, Medical and Health, Short-Term Recovery, and Transportation



### Regional Transportation Coordination and Response Plan (February 2007)

- Establishes MTC's authority as transportation coordinator
- Establishes WETA role to coordinate ferry response
- One of the subsidiary plans of the RECP
- Coordination of transportation assets



WATER EMERGENCY TRANSPORTATION AUTHORITY

## Regional Response Authorities and Roles

### State Office of Emergency Services

- Through Regional Emergency Operations Center (REOC), **coordinates** overall state agency response in all emergency areas **to support of local governments**.
- **Coordinates** regarding prioritization of emergency transportation with MTC, Caltrans and federal agencies.
- **Authority to command** but limited staff makes that unlikely. Focus would likely be in most needed areas where locals can't respond, or in major multijurisdictional disasters.

### County Operational Areas (OAs)

- **Coordinates** information, resources, and priorities among local governments within the operational area.
- Serves as the **coordination** and communication link between the local government (first responders) and the regional level.

### US Coast Guard

- **Command authority** of water transport but other responsibilities make that unlikely

### MTC

- **Coordinates** basic transportation services and serves as information clearinghouse

### First Responders and Local Government

- **Command and control** of staff at field level, often through Unified Command

### Transit Agencies

- **Operational control** of their resources

WATER EMERGENCY TRANSPORTATION AUTHORITY

## How it is supposed to work ...

- After a disaster, **first representative on site would make decisions**, or would look for direction from ICS Commander  
Ferry Captains in control of boats, fire or police in charge of incident  
1 to 4 hours
- Each transit **operator would maintain operational control** of their facilities  
Each operator prioritizing additional service  
2 to 48 hours
- Request for additional service would come from first responders to **Unified Command** (per ICS), then to **OA** (county), then to **REOC**  
Decisions about expanded service made cooperatively  
8 hours to several days
- **REOC would ask MTC to coordinate** with existing operators to provide service.  
Response ultimately up to each operator
- **MTC would ask operators** to provide additional service. **Operators would respond if** capability available.

WATER EMERGENCY TRANSPORTATION AUTHORITY

## How it could go wrong ...

- After a disaster, **first representative on site would make decisions**, or would look for direction from ICS Commander  
Responses might not address greatest regional need
- Each transit **operator would maintain operational control** of their facilities  
Operators may not be able to access additional staff or vehicles or may find physical constraints
- Request for additional service would come from first responders to **Unified Command** (per ICS), then to **OA** (county), then to **REOC**  
Could take a long time to get requests to each operator
- **REOC would ask MTC to coordinate** with existing operators to provide service.  
Response from operators could vary, leaving bad connections between services. Response ultimately up to each operator
- **MTC would ask operators** to provide additional service. **Operators would respond if** capability available.

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Corrective actions ...

- After a disaster, **first representative on site would make decisions**, or would look for direction from ICS Commander **Establish procedures/routes/actions for ferry staff**
- Each transit **operator would maintain operational control** of their facilities **Inventory staff and vessels and establish procedures for off duty staff, charter agreements with private operators, address physical constraints, expand ferry resources**
- Request for additional service would come from first responders to **Unified Command** (per ICS), then to **OA** (county), then to **REOC**
- **REOC would ask MTC to coordinate** with existing operators to provide service. **Train with selected operators in case REOC not able to respond quickly**
- **MTC would ask operators** to provide additional service. **Operators would respond if** capability available. **Continue to work with MTC, OES, and other operators to plan specific emergency scenarios**

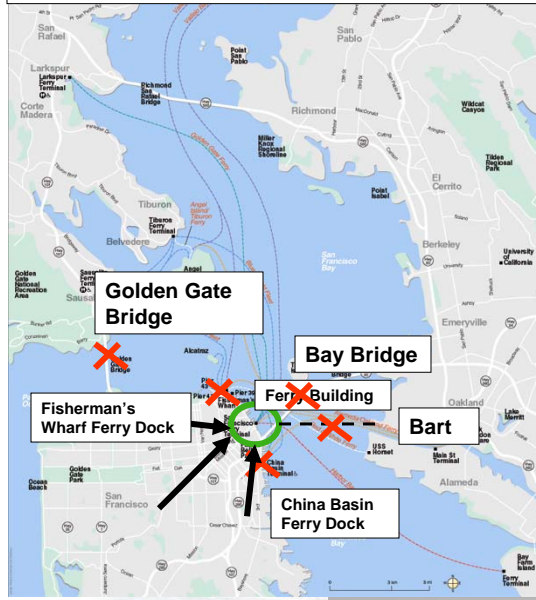
WATER EMERGENCY TRANSPORTATION AUTHORITY

## Definitions/Acronyms

- ICS – Incident Command System establishes command and control procedures for onsite responders
- OA – Operation Area for each County, managed by County OES officials
- OES – The Governors State Office of Emergency Services
- RECP - Regional Emergency Coordination Plan for use by the OES to coordinate all-hazards emergency response
- REOC – Regional Emergency Operations Center is the location of the multiagency coordination effort
- RTEMP - Regional Transportation Emergency Management Plan developed by MTC and Costal OES for coordination of transportation assets
- SEMS – California Standardized Emergency Management System provides procedures for emergency response
- Unified Command – Command structure of Incident Command System when there are multiple jurisdictions or agencies

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Emergency Response – Existing Conditions



Most emergency scenarios affecting ferries have Golden Gate Bridge, Bay Bridge, and BART out of service, due to

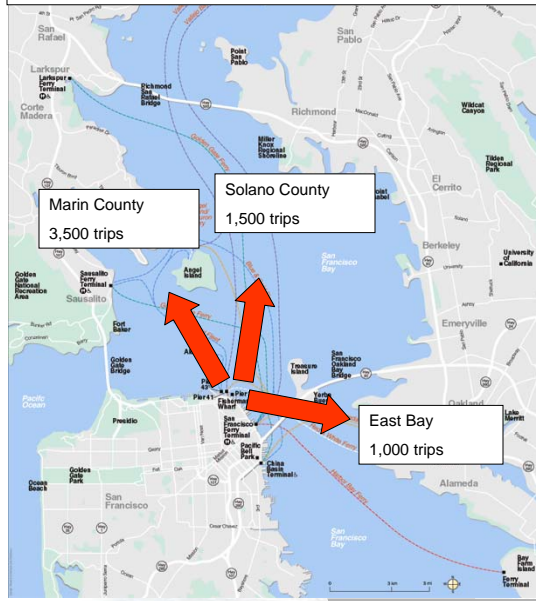
- Failure
- Temporary closure for inspection
- Approaches blocked

Immediate ferry response focus on Ferry Building

- Other SF docks not designed as essential structures, could fail
- People would naturally head to Ferry Building
- Inadequate communications to divert passenger to other docks

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Emergency Response – Existing Conditions



### Typical Day

Ferries take 6,000 ferry passengers home

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Emergency Response – Existing Conditions



### Typical Day

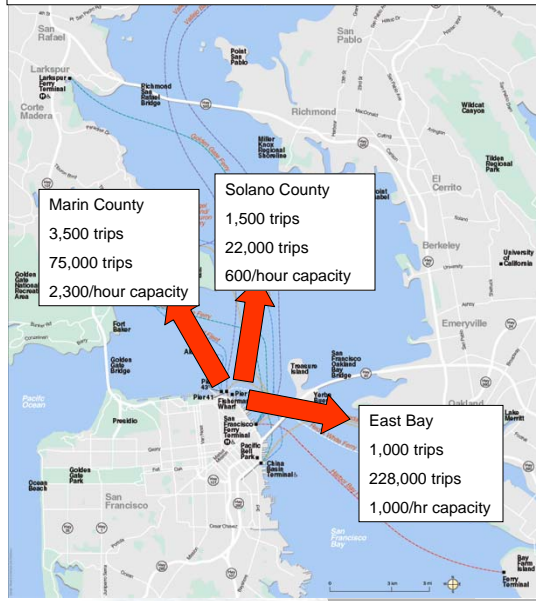
Take 6,000 ferry passengers home

### Emergency Evacuation

Take 325,000 transbay commuters home

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Emergency Response – Existing Conditions



Using all current available boats in each corridor, capacity dwarfs demand and is unbalanced in each corridor

WATER EMERGENCY TRANSPORTATION AUTHORITY



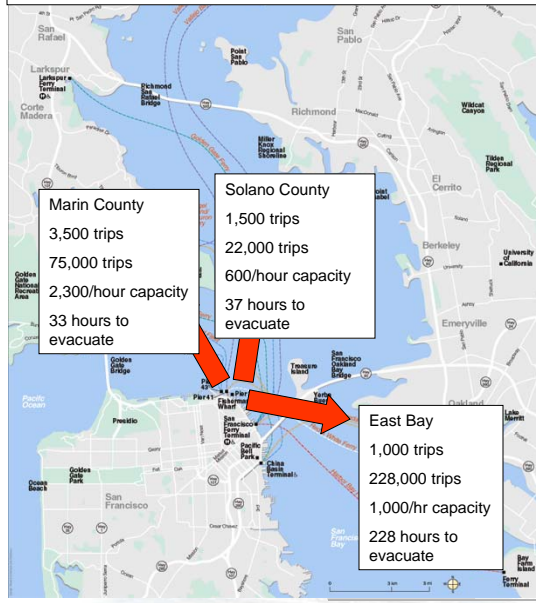
## Emergency Response – Existing Conditions



Using all current available boats in each corridor, capacity dwarfs demand and is unbalanced in each corridor (3,900 trips/hr total capacity)

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Emergency Response – Existing Conditions



Moving all Blue & Gold, all Red & White, all Hornblower, all Angel Island, and Signature vessels balances capacity by corridor, but requires additional docks in San Francisco and Oakland

WATER EMERGENCY TRANSPORTATION AUTHORITY

## Emergency Response – Existing Conditions



Moving all Blue & Gold, all Red & White, all Hornblower, all Angel Island, and Signature vessels balances capacity by corridor, but requires additional docks in San Francisco and Oakland

WATER EMERGENCY TRANSPORTATION AUTHORITY

## East Bay Response – Focus on shortest ferry trip



During first 48 hour of emergency, focus is on transporting maximum number of people

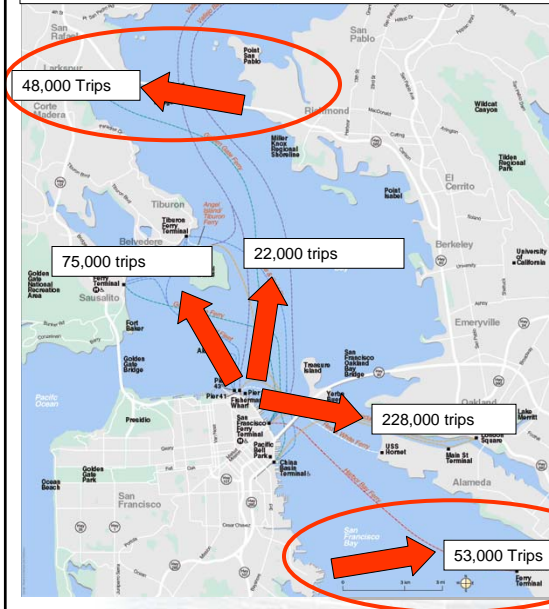
After the first 48 hours, focus will shift to restoring commute patterns

Note about Bay Bridge Corridor during first 48 hours:

- Shorter ferry trips will allow us to carry more people, given a fixed number of boats
- Bus coordination will be needed to distribute trips once they arrive

WATER EMERGENCY TRANSPORTATION AUTHORITY

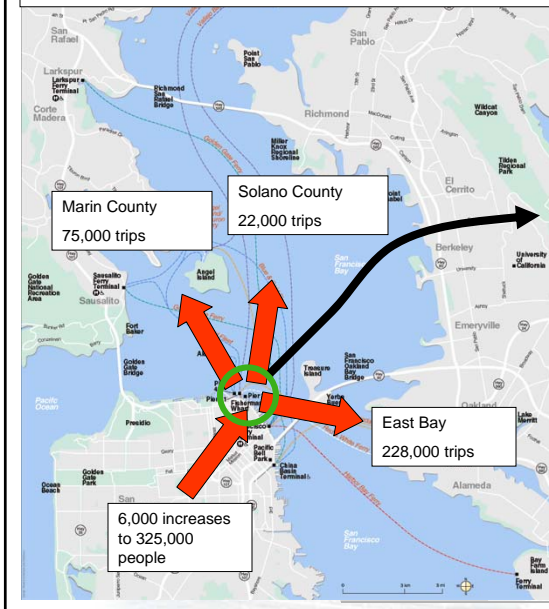
### Emergency Response – Existing Conditions



Evacuation demand in other corridors smaller (biggest problem is Bay Bridge corridor!)

WATER EMERGENCY TRANSPORTATION AUTHORITY

### Emergency Response – Existing Conditions

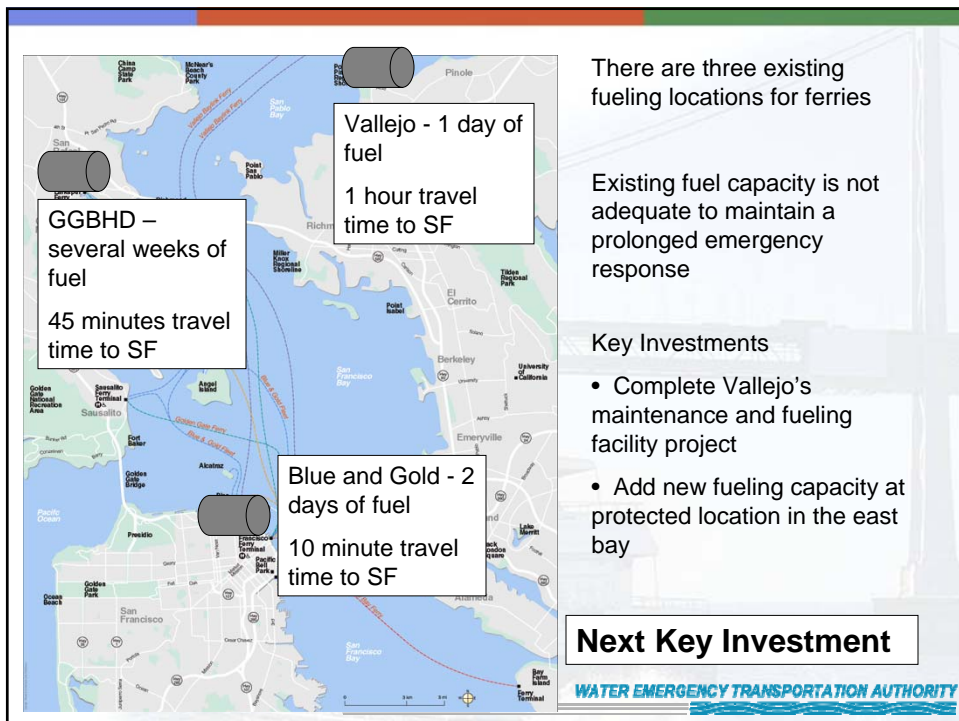
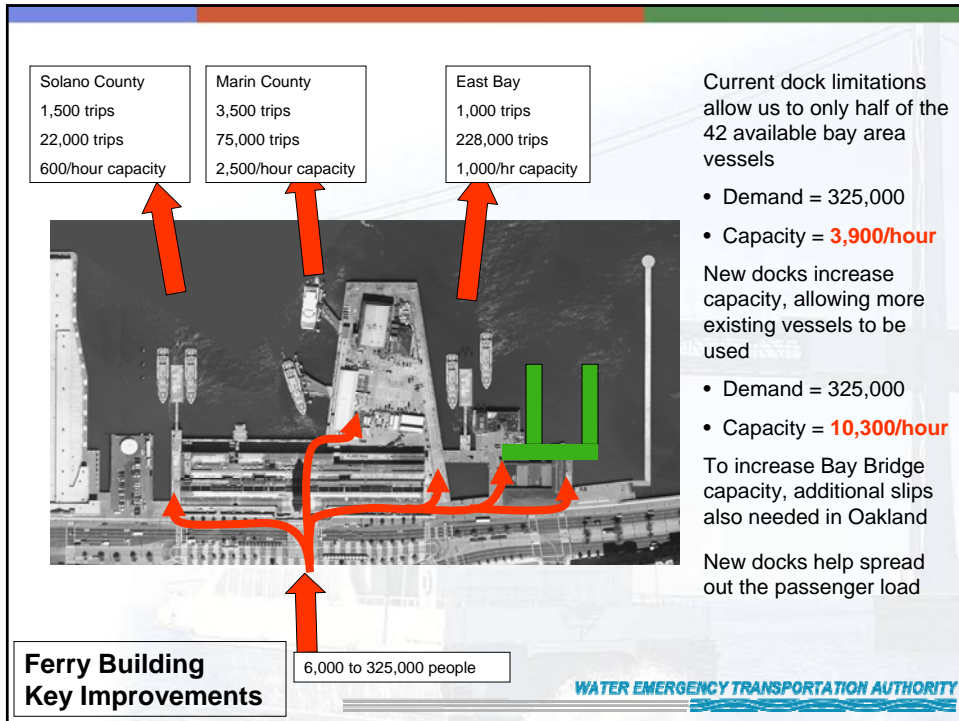


There are key Ferry Building improvements can increase capacity

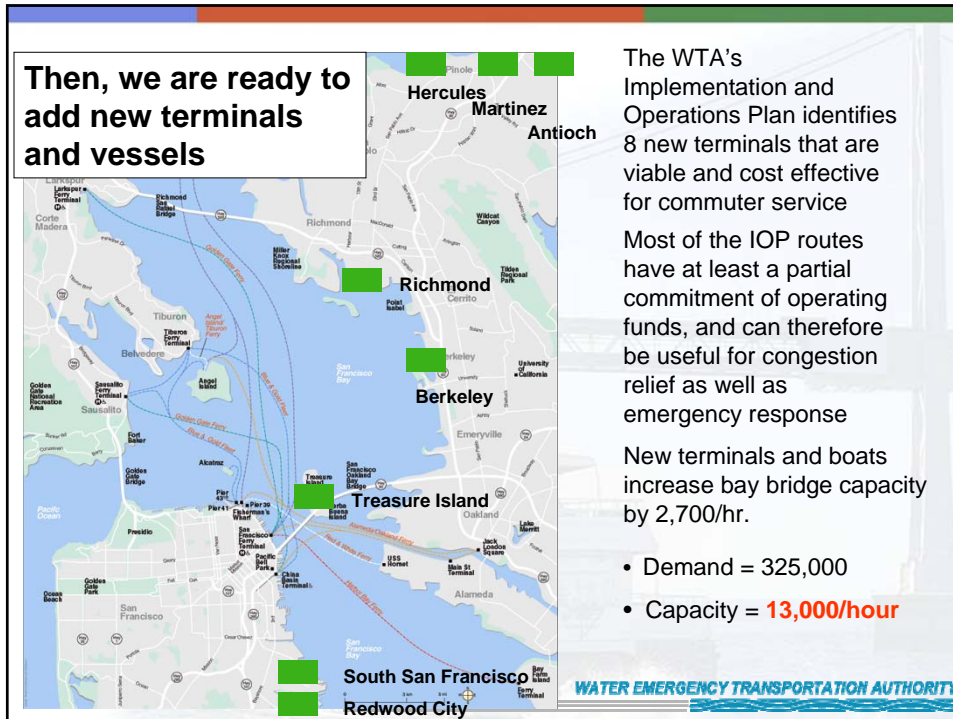
Ferry Building will be flooded with people

WATER EMERGENCY TRANSPORTATION AUTHORITY





Then, we are ready to add new terminals and vessels



The WTA's Implementation and Operations Plan identifies 8 new terminals that are viable and cost effective for commuter service

Most of the IOP routes have at least a partial commitment of operating funds, and can therefore be useful for congestion relief as well as emergency response

New terminals and boats increase bay bridge capacity by 2,700/hr.

- Demand = 325,000
- Capacity = **13,000/hour**

## Next Steps

1. Training for existing crews on response procedures and interchangeability of vessels and terminals
2. Get charter agreements in place to mobilize private operators
3. Begin work on additional docking capacity in Oakland
4. Begin work on expanded fueling capabilities and support Vallejo in completing fueling project
5. Begin work on Ferry Building improvement projects
6. Work with OES, MTC, and other operators to improve coordination of expanded operations

[www.watertransit.org](http://www.watertransit.org)



# **WETA Board of Directors**

March 2008



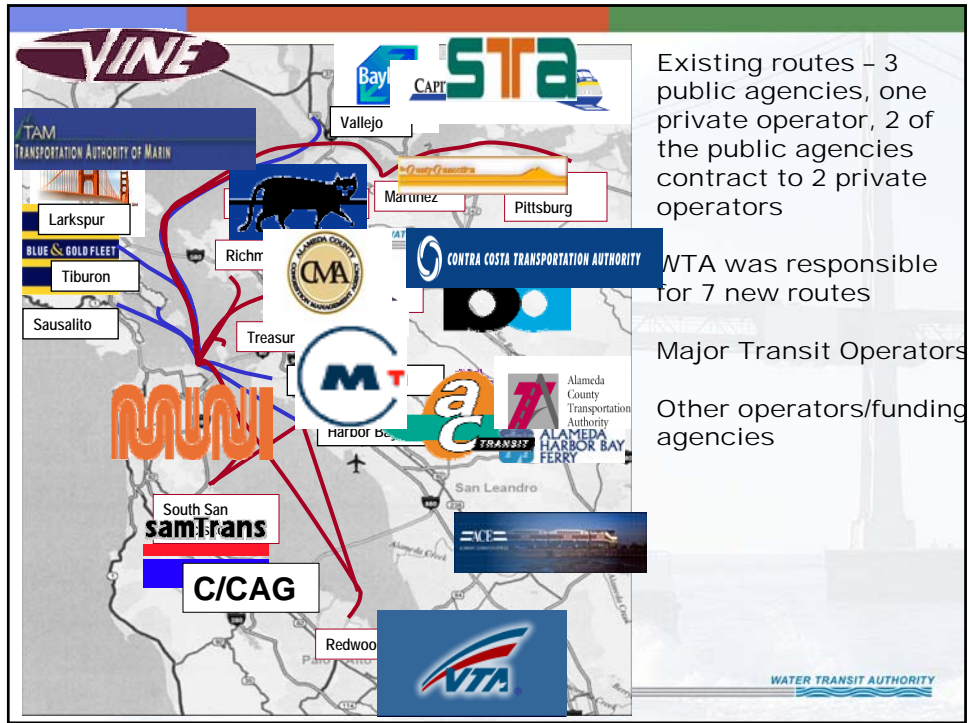
**WETA**

WATER EMERGENCY TRANSPORTATION AUTHORITY

## **Status Report**

- Existing services/WTA
- South San Francisco
- Berkeley
- Hercules
- Richmond
- Other Routes
- Other Projects
- Funding

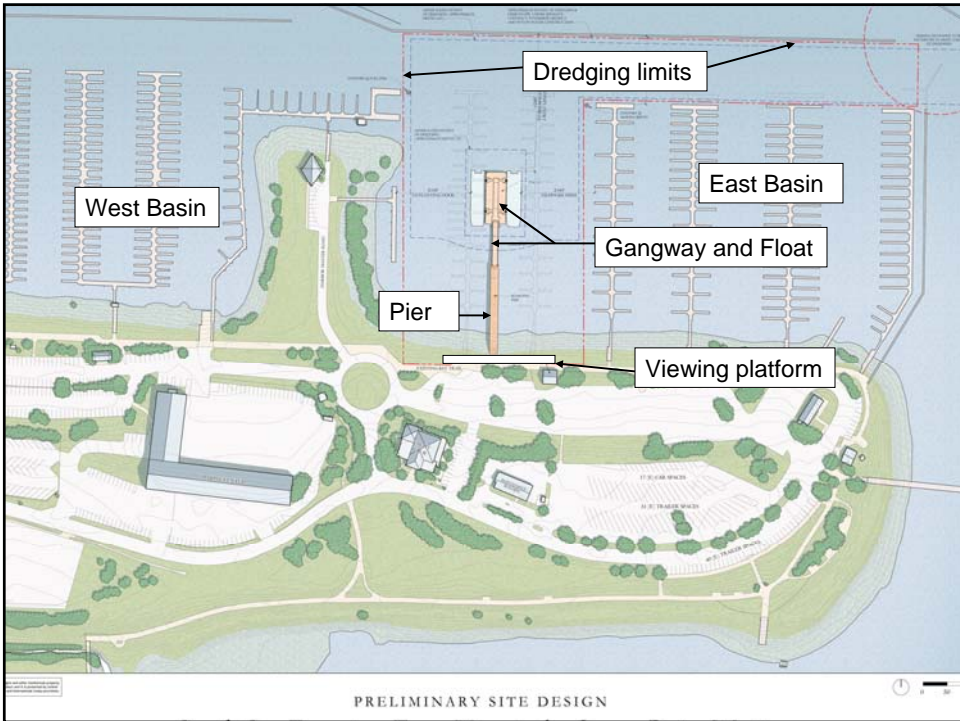
WATER EMERGENCY TRANSPORTATION AUTHORITY



## South San Francisco Ferry Service

- Funding obtained in 2004, Environmental Clearance begun in November 2004, certified in March 2006
- Funded with RM 2, San Mateo County Sales Tax, and Federal Funds
- Service Between Oyster Point Marina and Jack London Square
- Ridership forecast at 900 trips per day







### South San Francisco Ferry Terminal - Oyster Point Marina

*Prepared for the San Francisco Bay Area Water Transit Authority by ROMA Design Group in association with Moffatt & Nichol*

MARCH 19, 2008

## South San Francisco Ferry Service

### 10 Year Cash Flow

SSF Ferry Service	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	Annual Increase
	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	
<b>Service Provided</b>											
Service Hours	2,560	2,560	2,560	2,560	2,560	2,560	2,560	2,560	2,560	2,560	0%
Passenger Trips	185,600	190,518	195,567	200,750	206,070	211,530	217,136	222,890	228,797	234,860	2.7%
Average Fare	5.40	5.56	5.73	5.90	6.08	6.26	6.45	6.64	6.84	7.05	3.0%
Cost Per Service Hour	955	984	1,013	1,044	1,075	1,107	1,140	1,175	1,210	1,246	3.0%
Farebox Recovery Ratio	41%	42%	43%	44%	46%	47%	48%	49%	51%	52%	
<b>Budget</b>											
<b>Total Expense</b>	2,445,021	2,518,371	2,593,922	2,671,740	2,751,892	2,834,449	2,919,483	3,007,067	3,097,279	3,190,197	
<b>Revenue</b>											
Fare Revenue	1,002,240	1,059,663	1,120,377	1,184,569	1,252,439	1,324,197	1,400,067	1,480,284	1,565,097	1,654,769	
Other Op Revenue											
Subsidies											
RM2	1,442,781	1,458,708	1,473,546	1,487,171	1,499,454	1,510,252	1,519,416	1,526,783	1,532,182	1,535,429	
Measure J											
<b>Total Revenue</b>	2,445,021	2,518,371	2,593,922	2,671,740	2,751,892	2,834,449	2,919,483	3,007,067	3,097,279	3,190,197	
<b>Variables</b>											
Vessel Service Hours	10										
Svc days/yr	256										
Passenger Trips/Day	725										

BART fare (Lake Merit to SFIA) \$5.40, trip time 44 minutes

WATER EMERGENCY TRANSPORTATION AUTHORITY

## SSF Ferry Capital Costs

SSF Ferry Construction Costs		SSF Revenues	
Cost Item	Estimate	Source	Estimate
Environmental and Design	\$3,400,000	RM 2 General	\$3,400,000
Vessels	\$17,000,000	RM 2 SSF Specific	\$12,000,000
Terminal		Federal Earmarks – SSF Vessels	\$2,516,250
Waterside (includes East Basin dredging, float, and pier)	\$18,000,000	Federal Earmark – SSF Terminal	\$8,320,750
Landside	\$1,400,000	San Mateo Measure A/SSF	\$15,000,000
Management/Permitting	\$1,000,000	Total Available	\$41,237,000
Environmental Mitigation	\$275,000	Unsecured	\$5,000,000
Misc/Contingency	\$1,642,000		
Site Improvements/SMCHD Lease	\$3,520,000		
Total Cost	\$46,237,000		

WATER EMERGENCY TRANSPORTATION AUTHORITY

## SSF Next Steps

- Continue construction of vessels
- Complete terminal design and permitting
- Obtain approval of Ca Boating and Waterways for lease and continue site preparation activities, such as dredging
- Finalize allocation of Measure A funds and secure additional \$5 million from Proposition 1B prior to July 2008
- Award construction contracts for pier and for float

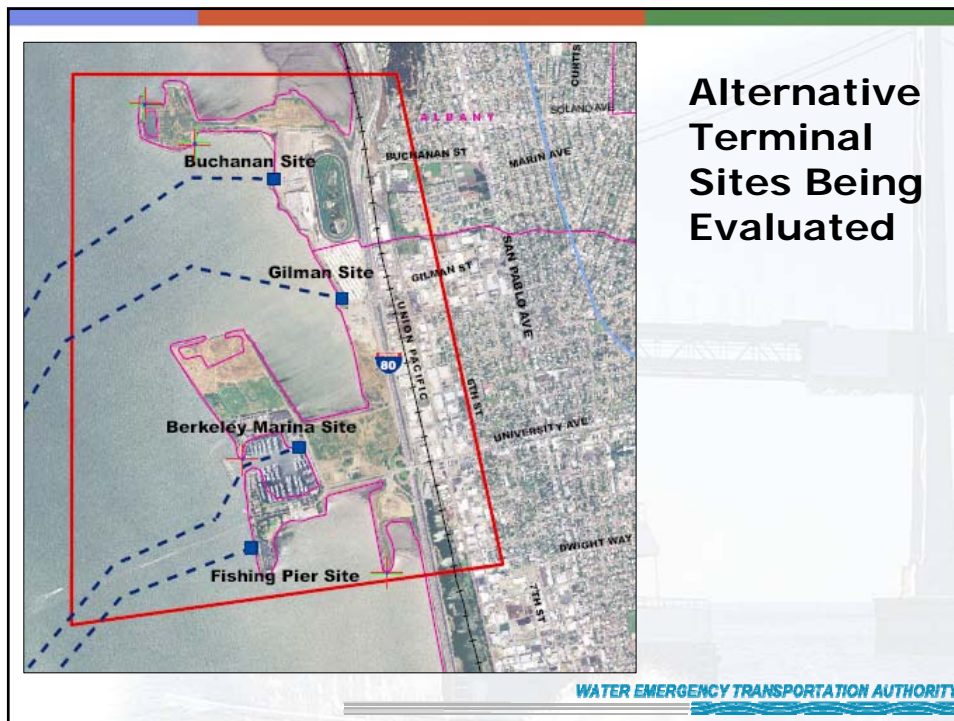
WATER EMERGENCY TRANSPORTATION AUTHORITY



## **Berkeley Ferry Service**

- Environmental Clearance begun in May 2006, draft environmental document to be circulated for public comment in Spring 2008
- Environmental document investigating 4 sites, 2 are controversial
- Partially funded with RM 2 and Federal Funds
- Service Between Berkeley and San Francisco
- Ridership forecast at 1,730 trips per day

WATER EMERGENCY TRANSPORTATION AUTHORITY





## **Berkeley Next Steps**

- Hearing on Draft Environmental Document
- Select preferred alternative
- Certify environmental document
- Secure funding for terminal construction
- Begin final terminal design

WATER EMERGENCY TRANSPORTATION AUTHORITY



## **Hercules Ferry Service**

- Environmental Clearance began in May 2006, draft environmental document to be circulated for public comment in Spring 2008
- Partially funded with Contra Costa County Sales Tax Funds
- Terminal co-located with new Amtrak terminal
- Ridership forecast at 1,100 trips per day

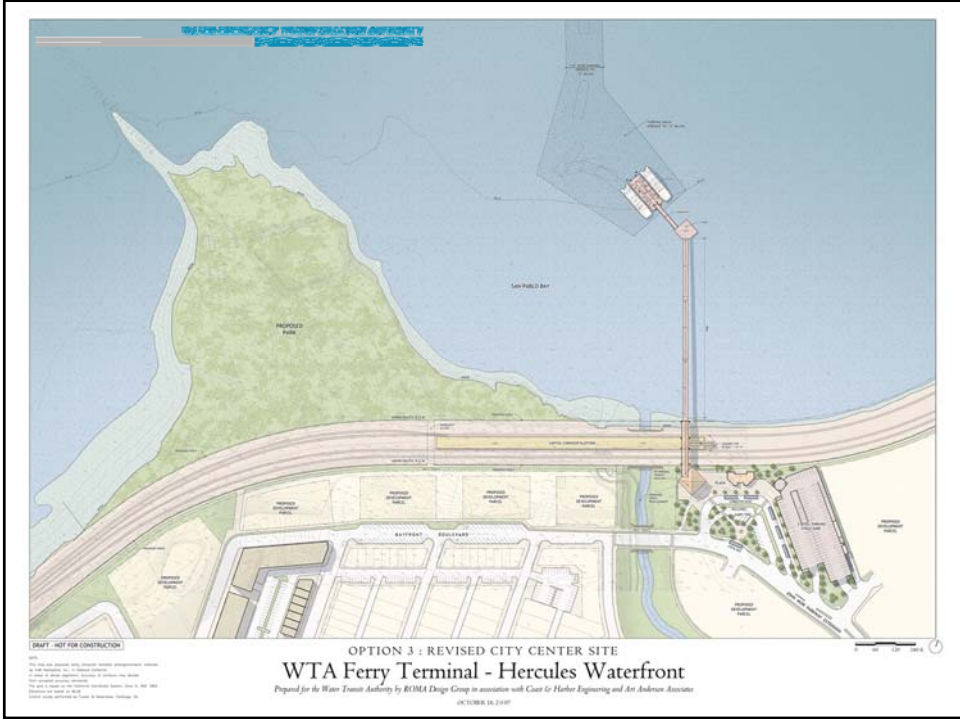
WATER EMERGENCY TRANSPORTATION AUTHORITY

## Terminal Planning

- Direct access from Highway 4, I-80
- New neighborhoods being developed around intermodal terminal



WATER EMERGENCY TRANSPORTATION AUTHORITY





## **Hercules Next Steps**

- Certify environmental document
- Secure funding for terminal construction
- Begin final terminal design

WATER EMERGENCY TRANSPORTATION AUTHORITY



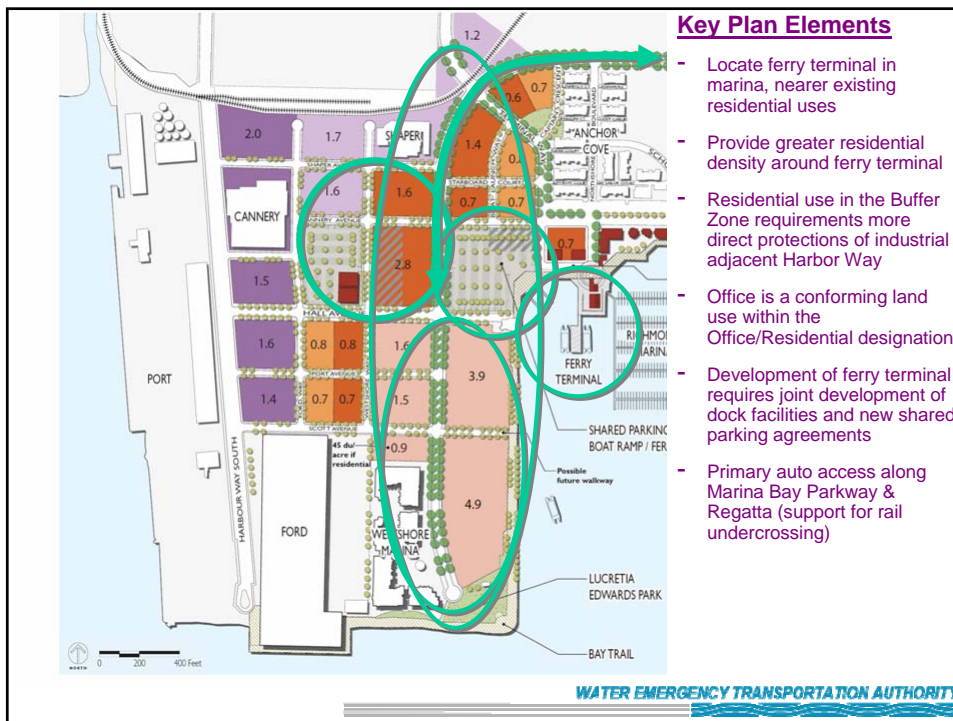
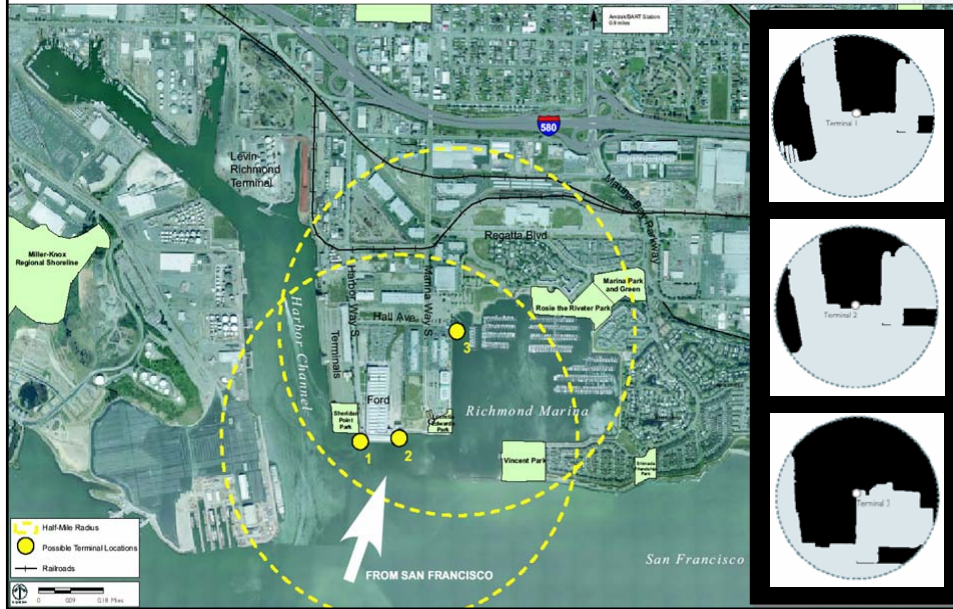
## **Richmond Ferry Service**

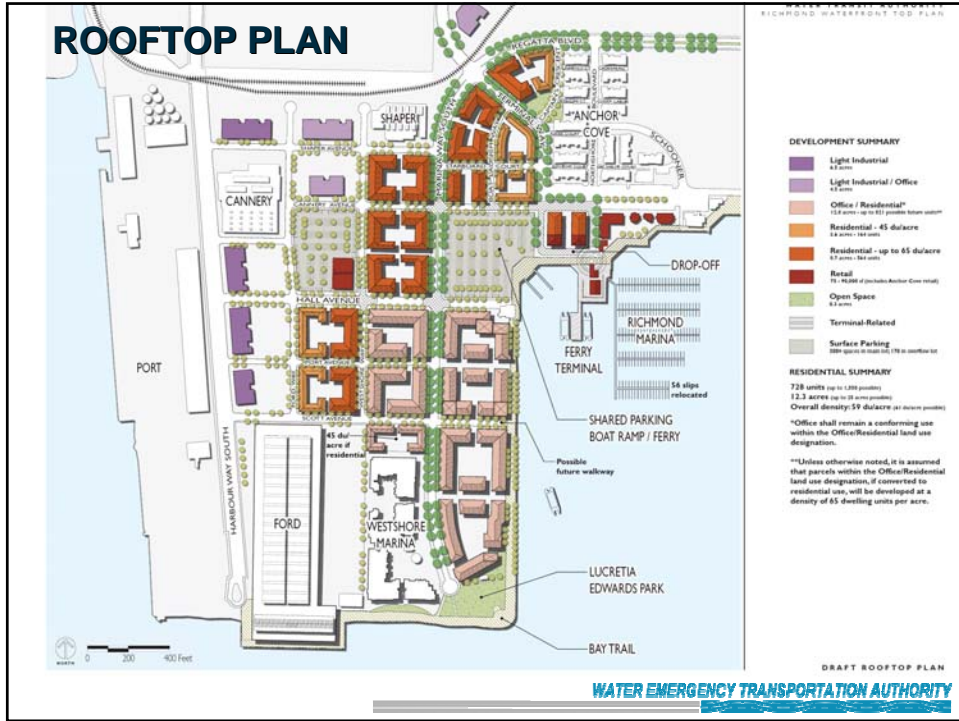
- Land use studies completed in 2007
- Partially funded with Contra Costa County Sales Tax Funds
- Ridership forecast at 2,100 trips per day

WATER EMERGENCY TRANSPORTATION AUTHORITY



# Potential Terminal Locations







## Richmond Next Steps

- City to adopt land uses as part of General Plan update
- Negotiate cost sharing agreement to begin environmental analysis
- Secure funding for terminal construction

WATER EMERGENCY TRANSPORTATION AUTHORITY

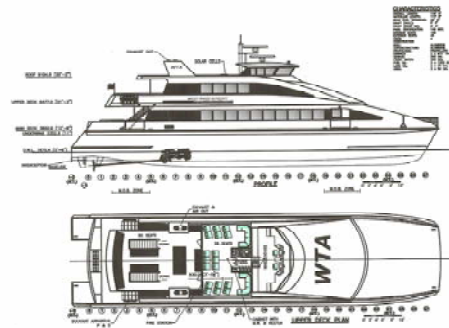
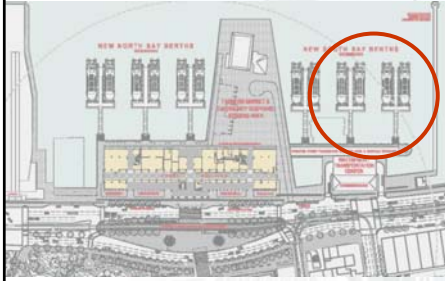
## Other Routes

- Redwood City – awaiting funding for EIR
- Martinez – awaiting funding for EIR
- Antioch – awaiting funding for EIR
- Treasure Island – awaiting development approval
- Alameda Point – awaiting new development plan



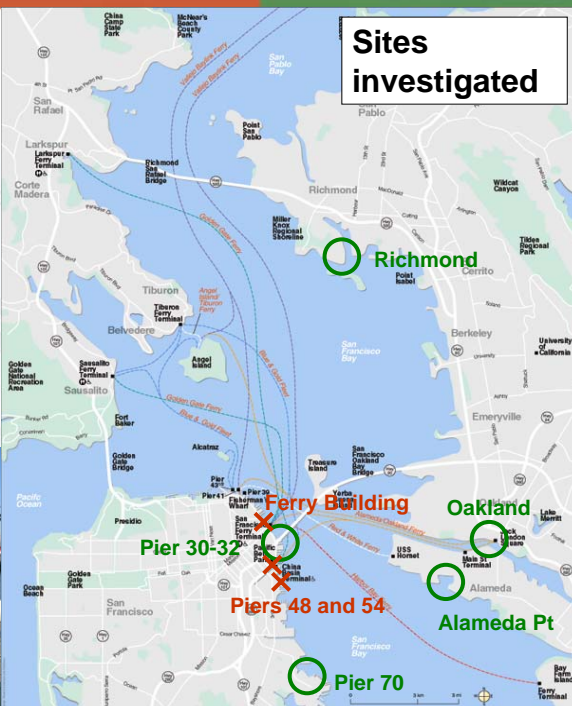
## Other Projects

- Spare Vessels – Under construction
- Ferry Building – Conceptual plans for expansion



## Other Projects

- Maintenance/fueling/berthing facilities - Criteria include minimizing dead head trips, accessibility in an emergency, cost to develop and availability of funding





### WETA Funding

Project	Capital Funds	Operating Funds	Sources
Staff/ Administration	N/A	Yes, \$3 mil/yr	RM2
South San Francisco	Yes	Yes	RM 2, Federal, Measure A
Berkeley	Partial	Yes	RM 2, Federal
Richmond	No	Partial	Measure J
Hercules	No	Partial	Measure J
Antioch	No	No	
Martinez	No	No	
Redwood City	No	Partial	Measure A
Ferry Building	Partial	N/A	RM 2
Spare Vessels	Yes	N/A	RM 2, Federal
Berthing/Fueling	No	N/A	

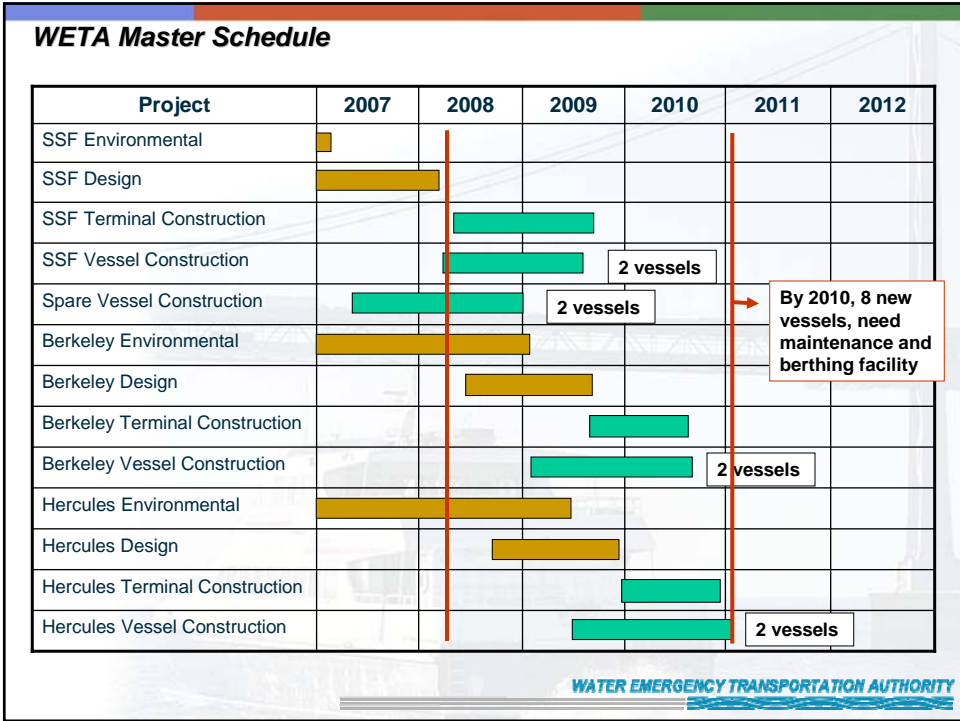
Does not reflect proposition 1B funds

WATER EMERGENCY TRANSPORTATION AUTHORITY

### WETA Master Schedule

Project	2007	2008	2009	2010	2011	2012
SSF Environmental	■					
SSF Design	■					
SSF Terminal Construction			■			
SSF Vessel Construction		■				
Spare Vessel Construction	■					
Berkeley Environmental	■					
Berkeley Design		■				
Berkeley Terminal Construction			■			
Berkeley Vessel Construction			■			
Hercules Environmental	■					
Hercules Design		■				
Hercules Terminal Construction			■			
Hercules Vessel Construction			■			

WATER EMERGENCY TRANSPORTATION AUTHORITY



Water Emergency Transportation  
Authority  
Board of Directors

General Counsel  
**Stanley Taylor**

Auditor

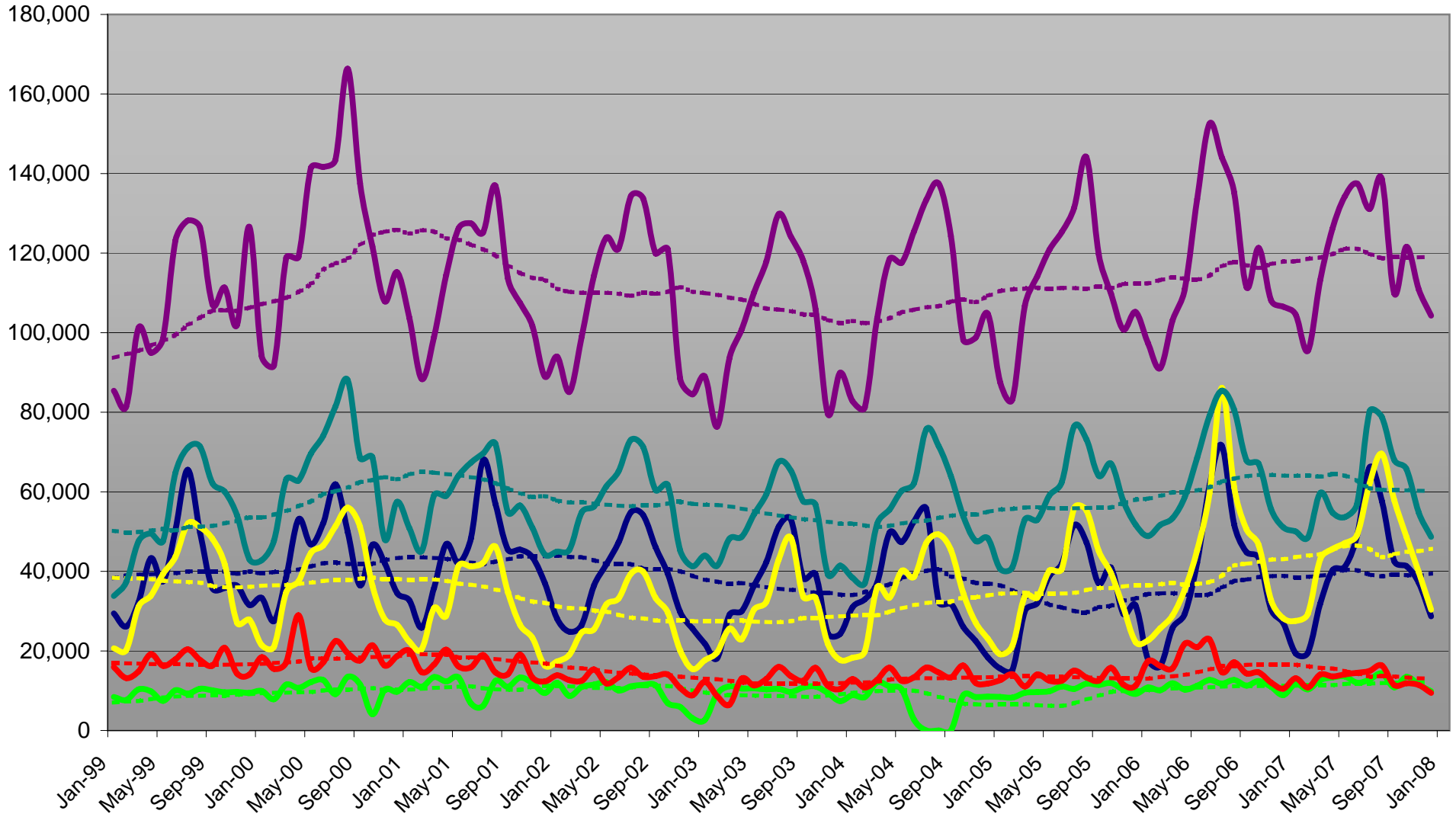
Advisory Committees

Chief Executive Officer  
**Steven Castleberry**

Deputy Director of Finance & Admin  
**Nina Rannells**

<p>Operations <b>Keith Stahnke</b></p>	<p>Marine Engineering &amp; Maintenance <b>Mary Frances Culnane</b></p>	<p>Community &amp; Government Relations <b>Shirley Douglas</b></p>	<p>Planning &amp; Development <b>John Sindzinski</b></p>	<p>Grants, Budgets, &amp; Finance <b>Nina Rannells</b></p>	<p>Administration &amp; Business Services <b>Melanie Jann</b></p>
<p>Terminal Operations</p> <p>Vessel Operations</p> <p>Service Planning &amp; Scheduling</p> <p>Bus Operations</p> <p>Local Shuttles</p> <p>Bus Planning &amp; Scheduling</p>	<p>Research &amp; Development</p> <p>Vessel Design &amp; Construction</p> <p>Marine Engineering</p> <p>Communications</p> <p>Maintenance</p>	<p>Governmental Relations</p> <p>Funding Advocacy &amp; Coordination</p> <p>Marketing</p> <p>Media Affairs</p> <p>Customer Relations</p> <p>Community Relations</p> <p>DBE Program</p>	<p>New Service Plans</p> <p>Patronage Forecast</p> <p>Terminal Development</p> <p>Intermodal Plans</p> <p>Environmental Permitting</p> <p>Facilities Engineering &amp; Maintenance</p>	<p>Grants Management &amp; Administration</p> <p>Budgets &amp; Accounting</p> <p>Financial Planning</p> <p>Intergovernmental Liaison</p> <p>Fiscal Compliance</p>	<p>Administrative &amp; Business Services</p> <p>Contracts</p> <p>Human Resources</p> <p>Safety &amp; Training</p> <p>Labor Relations</p> <p>Information Technology</p> <p>Risk Management</p> <p>Bookkeeping</p>
					<p>Board Secretary</p>

## Bay Area Monthly Ferry Ridership January 1999 to December 2007



**San Francisco Bay Area Monthly Ferry Ridership  
January 1999 - December 2007 (Excluding Alcatraz & Angel Island Service)**

MONTH/YR	Alameda Oakland	12 Month Running Avg	Sausalito GGBHTD	12 Month Running Avg	Larkspur GGBHTD	12 Month Running Avg	Vallejo Baylink	12 Month Running Avg	Harbor Bay	12 Month Running Avg	Tiburon	12 Month Running Avg
<b>Jan-99</b>	29,429	38,270	20,649	38,390	85,409	93,652	33,798	50,178	8,441	7,031	15,920	16,913
Feb-99	26,162	38,964	20,180	38,289	81,373	94,571	37,266	49,717	7,658	7,265	13,196	16,889
Mar-99	32,198	39,165	31,068	38,256	101,217	95,447	47,547	49,911	10,321	7,423	14,849	16,834
Apr-99	43,285	39,305	33,828	38,039	94,928	96,773	49,538	50,286	9,842	7,891	19,182	16,712
May-99	37,510	39,419	39,400	37,649	98,609	98,035	47,638	50,570	7,435	8,268	16,259	16,649
Jun-99	50,430	39,545	43,677	37,478	123,185	99,398	64,795	50,290	10,115	8,514	17,912	16,716
Jul-99	65,549	39,973	52,003	37,326	128,192	101,893	71,080	51,090	9,256	8,670	20,396	16,592
Aug-99	49,728	39,973	51,057	37,140	126,375	103,782	71,370	51,267	10,488	8,700	17,722	16,486
Sep-99	35,774	39,973	48,200	36,321	107,117	105,494	62,175	51,433	10,084	8,831	16,271	16,514
Oct-99	35,821	39,973	41,756	36,012	111,338	105,603	60,017	52,123	9,580	8,788	20,772	16,536
Nov-99	36,388	39,376	27,082	35,964	101,943	105,512	54,061	52,651	9,678	8,978	14,303	16,595
Dec-99	31,535	39,973	27,860	36,109	126,596	106,288	43,041	53,527	9,442	9,092	14,027	16,654
<b>Jan-00</b>	33,307	39,484	21,446	36,397	94,107	107,190	42,783	53,527	9,919	9,362	18,411	16,734
Feb-00	27,484	39,807	21,062	36,463	91,770	107,915	47,741	54,276	7,841	9,485	15,485	16,942
Mar-00	38,540	39,917	34,753	36,537	118,817	108,781	63,151	55,149	11,540	9,500	17,107	17,132
Apr-00	53,094	40,446	37,504	36,844	119,031	110,248	62,818	56,449	10,695	9,602	28,954	17,321
May-00	46,760	41,263	44,600	37,150	141,405	112,257	69,548	57,556	12,131	9,673	15,737	18,135
Jun-00	52,093	42,034	46,488	37,583	141,649	115,823	74,065	59,382	12,681	10,064	17,066	18,091
Jul-00	61,877	42,173	51,355	37,818	143,449	117,362	81,462	60,154	9,147	10,278	22,488	18,021
Aug-00	49,842	41,867	55,991	37,764	166,337	118,633	88,047	61,019	13,491	10,269	19,404	18,195
Sep-00	36,450	41,876	51,122	38,175	137,498	121,963	68,520	62,409	11,550	10,519	17,610	18,335
Oct-00	46,684	41,933	36,376	38,418	121,659	124,495	68,679	62,938	4,077	10,641	21,431	18,447
Nov-00	42,058	42,838	27,950	37,970	107,883	125,355	48,012	63,660	10,224	10,183	16,318	18,502
Dec-00	34,589	43,310	26,556	38,042	115,192	125,850	57,489	63,156	9,762	10,228	18,669	18,670
<b>Jan-01</b>	32,723	43,565	22,329	37,934	103,710	124,900	50,846	64,360	12,182	10,255	20,089	19,057
Feb-01	25,854	43,516	20,457	38,007	88,351	125,700	45,098	65,032	10,966	10,443	14,642	19,197
Mar-01	35,777	43,380	30,765	37,957	98,932	125,415	59,117	64,811	13,441	10,704	16,553	19,126
Apr-01	46,844	43,150	28,826	37,624	114,510	123,758	58,979	64,475	12,327	10,862	20,313	19,080
May-01	42,059	42,629	41,428	36,901	126,212	123,381	64,061	64,155	13,324	10,998	16,082	18,360
Jun-01	48,228	42,238	41,226	36,637	127,504	122,115	67,309	63,698	6,838	11,098	15,892	18,389
Jul-01	67,999	41,915	42,134	36,198	125,223	120,936	69,640	63,135	6,225	10,611	18,972	18,291
Aug-01	56,909	42,426	46,210	35,430	136,901	119,418	72,035	62,150	12,478	10,367	14,605	17,998
Sep-01	45,491	43,015	34,846	34,615	113,723	116,965	54,834	60,815	10,985	10,283	14,131	17,598
Oct-01	45,471	43,768	26,545	33,259	107,446	114,983	56,571	59,675	13,314	10,236	19,070	17,308
Nov-01	43,534	43,667	23,268	32,439	101,606	113,799	50,930	58,666	11,890	11,006	13,310	17,111
Dec-01	37,096	43,790	16,301	32,049	88,988	113,276	44,245	58,909	9,419	11,144	12,328	16,861
<b>Jan-02</b>	28,114	43,999	17,362	31,195	93,998	111,092	44,982	57,805	11,977	11,116	13,849	16,332
Feb-02	24,842	43,615	19,036	30,781	85,107	110,283	45,397	57,317	8,661	11,099	12,674	15,812
Mar-02	26,526	43,530	24,640	30,662	99,000	110,013	54,846	57,342	10,948	10,907	12,508	15,648
Apr-02	36,457	42,759	25,433	30,152	114,356	110,018	56,326	56,986	11,517	10,699	15,346	15,311
May-02	41,764	41,894	31,710	29,869	123,894	110,005	61,377	56,765	12,129	10,631	11,836	14,897
Jun-02	47,263	41,869	33,153	29,059	121,133	109,812	65,125	56,541	10,053	10,532	13,409	14,543
Jul-02	54,869	41,789	39,396	28,387	134,355	109,281	73,085	56,359	11,110	10,800	15,743	14,337
Aug-02	54,148	40,695	39,925	28,158	133,701	110,042	71,227	56,646	11,428	11,207	13,533	14,067
Sep-02	46,096	40,465	33,360	27,635	119,903	109,776	60,429	56,579	11,363	11,119	13,678	13,978
Oct-02	39,403	40,515	29,623	27,511	120,941	110,291	61,669	57,045	6,872	11,151	14,057	13,940
Nov-02	29,789	40,009	20,094	27,767	88,451	111,415	45,289	57,470	5,901	10,614	10,710	13,523

MONTH/YR	Alameda Oakland	12 Month Running Avg	Sausalito GGBHTD	12 Month Running Avg	Larkspur GGBHTD	12 Month Running Avg	Vallejo Baylink	12 Month Running Avg	Harbor Bay	12 Month Running Avg	Tiburon	12 Month Running Avg
Dec-02	25,630	38,864	15,441	27,503	84,480	110,319	41,254	57,000	3,097	10,115	8,825	13,306
<b>Jan-03</b>	21,821	37,908	17,655	27,431	88,992	109,943	43,965	56,751	2,628	9,588	12,274	13,014
Feb-03	18,153	37,384	19,657	27,456	76,367	109,526	41,396	56,666	9,211	8,809	8,636	12,883
Mar-03	29,073	36,827	25,625	27,507	93,561	108,798	48,210	56,332	11,088	8,855	6,459	12,546
Apr-03	29,994	37,039	22,918	27,589	100,836	108,345	48,679	55,779	10,535	8,866	13,065	12,042
May-03	36,422	36,500	30,416	27,380	110,118	107,218	54,339	55,142	10,615	8,785	11,325	11,852
Jun-03	42,354	36,055	32,368	27,272	117,938	106,070	59,400	54,556	10,319	8,658	12,966	11,810
Jul-03	51,251	35,646	42,988	27,207	129,825	105,804	67,537	54,079	10,457	8,681	15,981	11,773
Aug-03	53,105	35,345	48,471	27,506	124,112	105,426	65,334	53,616	9,688	8,626	13,686	11,792
Sep-03	38,362	35,258	33,629	28,218	118,042	104,627	57,588	53,125	10,802	8,481	12,508	11,805
Oct-03	39,293	34,613	33,385	28,240	105,887	104,472	56,741	52,888	11,081	8,434	15,746	11,708
Nov-03	24,397	34,604	21,773	28,554	79,569	103,217	39,200	52,478	9,399	8,785	11,260	11,848
Dec-03	24,270	34,155	17,724	28,694	89,941	102,477	41,453	51,970	7,379	9,077	10,429	11,894
<b>Jan-04</b>	30,958	34,041	18,310	28,884	82,799	102,932	38,416	51,987	8,901	9,434	12,892	12,028
Feb-04	32,980	34,803	19,863	28,939	81,209	102,416	37,006	51,524	8,387	9,956	10,790	12,079
Mar-04	37,091	36,038	35,992	28,956	103,546	102,820	51,926	51,159	12,086	9,888	12,751	12,259
Apr-04	49,735	36,706	33,345	29,820	118,484	103,652	55,479	51,468	11,087	9,971	15,787	12,783
May-04	47,370	38,352	40,116	30,689	117,588	105,123	60,273	52,035	10,309	10,017	12,480	13,010
Jun-04	52,567	39,264	38,666	31,497	125,490	105,745	62,184	52,529	2,696	9,991	13,410	13,106
Jul-04	55,682	40,115	47,171	32,022	133,446	106,374	75,748	52,761	0	9,356	15,826	13,143
Aug-04	32,269	40,484	49,255	32,370	137,446	106,676	71,459	53,446	0	8,485	14,558	13,130
Sep-04	31,931	38,748	45,371	32,436	124,249	107,787	63,914	53,956	0	7,677	13,341	13,203
Oct-04	26,054	38,212	34,508	33,414	98,202	108,305	53,856	54,483	8,849	6,777	16,324	13,273
Nov-04	22,530	37,109	27,162	33,508	98,706	107,664	47,657	54,243	8,412	6,591	11,967	13,321
Dec-04	18,353	36,953	23,038	33,957	104,726	109,259	48,308	54,948	8,520	6,509	11,796	13,380
<b>Jan-05</b>	15,568	36,460	19,170	34,400	87,478	110,491	40,598	55,519	8,434	6,604	12,663	13,494
Feb-05	15,246	35,178	21,337	34,471	83,318	110,881	41,089	55,701	8,280	6,565	14,142	13,474
Mar-05	29,974	33,700	33,795	34,594	106,783	111,057	53,042	56,041	9,466	6,556	11,073	13,754
Apr-05	31,958	33,107	33,342	34,411	114,094	111,326	52,922	56,134	9,654	6,338	14,068	13,614
May-05	38,877	31,625	40,216	34,411	120,874	110,961	59,126	55,921	9,862	6,218	12,506	13,471
Jun-05	41,946	30,917	40,600	34,419	125,322	111,234	62,455	55,825	11,055	6,181	12,503	13,473
Jul-05	51,612	30,032	55,910	34,580	131,376	111,220	76,427	55,848	10,442	6,878	15,059	13,397
Aug-05	47,309	29,693	55,330	35,309	144,105	111,048	73,178	55,904	11,760	7,748	13,345	13,333
Sep-05	36,947	30,947	45,124	35,815	119,693	111,603	63,993	56,048	11,474	8,728	12,500	13,232
Oct-05	40,908	31,365	39,508	35,794	109,804	111,223	67,062	56,054	11,916	9,684	15,748	13,162
Nov-05	29,332	32,602	31,001	36,211	100,784	112,190	57,708	57,155	10,263	9,940	11,543	13,114
Dec-05	31,462	33,169	22,213	36,531	105,217	112,363	51,749	57,992	9,191	10,094	11,265	13,079
<b>Jan-06</b>	17,883	34,262	22,634	36,462	97,429	112,404	48,872	58,279	10,793	10,150	17,403	13,035
Feb-06	16,128	34,455	25,673	36,751	91,078	113,233	51,657	58,969	10,114	10,346	16,252	13,430
Mar-06	25,754	34,528	28,904	37,112	103,086	113,880	53,382	59,849	11,857	10,499	15,626	13,605
Apr-06	29,400	34,176	35,488	36,705	111,067	113,572	58,745	59,878	10,267	10,698	21,833	13,985
May-06	42,191	33,963	45,337	36,883	133,589	113,320	68,577	60,363	11,240	10,750	20,932	14,632
Jun-06	61,592	34,239	59,592	37,310	152,549	114,379	79,091	61,150	12,678	10,864	22,901	15,334
Jul-06	71,614	35,877	86,142	38,893	144,028	116,648	85,437	62,537	11,762	11,000	14,677	16,201
Aug-06	51,817	37,543	61,147	41,412	135,259	117,702	80,611	63,288	12,694	11,110	17,137	16,169
Sep-06	44,808	37,919	50,617	41,897	111,468	116,965	67,887	63,907	11,293	11,187	14,349	16,485
Oct-06	43,337	38,574	46,530	42,355	121,309	116,280	67,002	64,232	12,423	11,172	14,593	16,639
Nov-06	30,444	38,777	32,703	42,940	108,118	117,239	55,636	64,227	10,977	11,215	12,055	16,543
Dec-06	27,015	38,869	28,194	43,082	106,522	117,850	51,074	64,054	8,887	11,274	10,500	16,585
<b>Jan-07</b>	19,378	38,499	27,547	43,580	104,606	117,959	50,025	63,998	11,746	11,249	13,117	16,522
Feb-07	19,555	38,623	29,361	43,990	95,460	118,557	48,518	64,094	10,330	11,328	10,814	16,164

MONTH/YR	Alameda Oakland	12 Month Running Avg	Sausalito GGBHTD	12 Month Running Avg	Larkspur GGBHTD	12 Month Running Avg	Vallejo Baylink	12 Month Running Avg	Harbor Bay	12 Month Running Avg	Tiburon	12 Month Running Avg
Mar-07	31,912	38,909	43,058	44,297	113,245	118,922	59,724	63,832	12,669	11,346	14,063	15,711
Apr-07	40,292	39,422	45,621	45,476	126,219	119,768	54,758	64,361	13,329	11,414	13,569	15,581
May-07	41,163	40,330	47,124	46,321	134,286	121,031	53,638	64,028	13,589	11,669	14,116	14,892
Jun-07	49,079	40,244	49,193	46,470	137,479	121,089	57,038	62,783	12,019	11,865	14,488	14,324
Jul-07	66,152	39,201	62,054	45,603	131,088	119,833	80,190	60,946	12,790	11,810	14,949	13,623
Aug-07	57,728	38,746	69,554	43,596	138,615	118,755	78,800	60,508	14,339	11,896	16,332	13,646
Sep-07	42,624	39,239	57,955	44,296	109,897	119,035	68,059	60,358	10,837	12,033	11,427	13,579
Oct-07	41,334	39,057	48,655	44,908	121,612	118,904	65,683	60,372	13,490	11,995	11,864	13,335
Nov-07	37,116	38,890	39,786	45,085	110,834	118,929	54,745	60,262	11,524	12,084	11,426	13,108
Dec-07	28,682	39,446	30,340	45,675	104,285	119,155	48,669	60,188	9,858	12,129	9,438	13,055

**NOTES:**

- All counts are based on monthly ridership numbers received from operators.
- Calculations include weekdays and weekends (Harbor Bay runs Monday-Friday only).
- 12 month running average is based on the previous 12 consecutive months.
- For periods of time where terminals are closed or there is a major disruption in service, those months are not included in the 12 month running average.
- Definition of a month is a calendar month.
- Calculations do not include charter or recreational service runs.
- Tiburon Service only includes commuter ridership numbers (no mid-day service).
- Ridership counts for Alcatraz and Angel Island are excluded from this analysis.
- Counts are based on one way ferry rides (not round trip).

**Alameda Oakland:** Mon-Sun (except for weekends in January & February when there is no service).  
Operated by The City of Alameda [www.eastbayferry.com](http://www.eastbayferry.com)

**Harbor Bay:** M-F (no regular service on weekends).  
Operated by The City of Alameda, [www.alamedaharborbayferry.com](http://www.alamedaharborbayferry.com)

**Tiburon:** M-F (commuter Schedule).  
Operated by Blue and Gold Fleet, [www.blueandgoldfleet.com](http://www.blueandgoldfleet.com)

**Vallejo:** Mon-Sun  
Operated by Vallejo Baylink Ferry, [www.baylinkferry.com](http://www.baylinkferry.com)

**Larkspur:** Mon-Sun  
Operated by Golden Gate Ferry, [www.goldengateferry.org](http://www.goldengateferry.org)

**Sausalito:** Mon-Sun  
Operated by Golden Gate Ferry, [www.goldengateferry.org](http://www.goldengateferry.org)

*Compiled by Scott Houston, Water Emergency Transportation Authority  
Contact: (415) 291-3377 or [houston@watertransit.org](mailto:houston@watertransit.org)*



# *WETA Board of Directors*

March 2008



WATER EMERGENCY TRANSPORTATION AUTHORITY

**WETA**



# Status Report

- Existing services/WTA
- South San Francisco
- Berkeley
- Hercules
- Richmond
- Other Routes
- Other Projects
- Funding



Existing routes – 3 public agencies, one private operator, 2 of the public agencies contract to 2 private operators

MTA was responsible for 7 new routes

Major Transit Operators

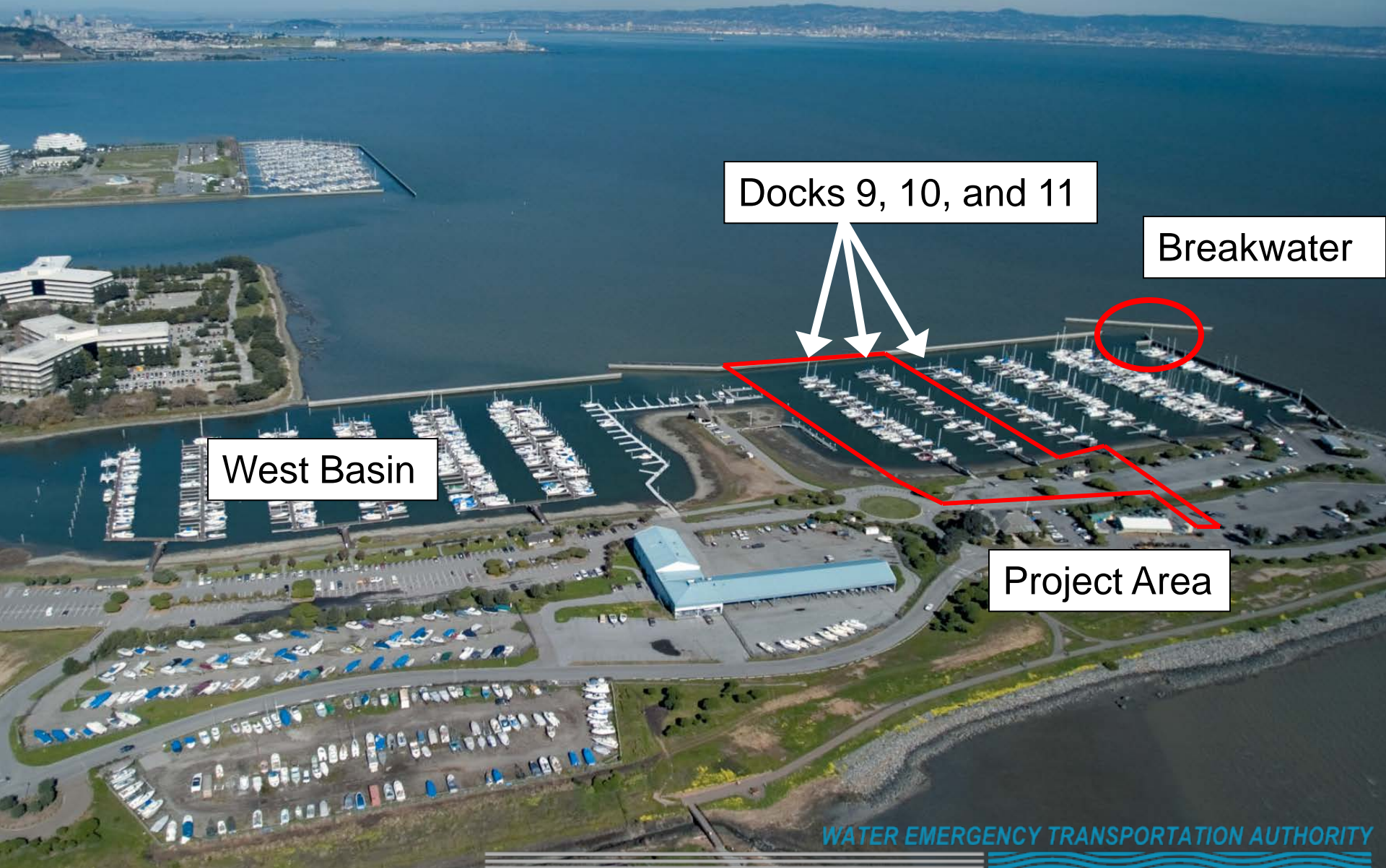
Other operators/funding agencies

# South San Francisco Ferry Service

- Funding obtained in 2004, Environmental Clearance begun in November 2004, certified in March 2006
- Funded with RM 2, San Mateo County Sales Tax, and Federal Funds
- Service Between Oyster Point Marina and Jack London Square
- Ridership forecast at 900 trips per day



# Oyster Point Marina



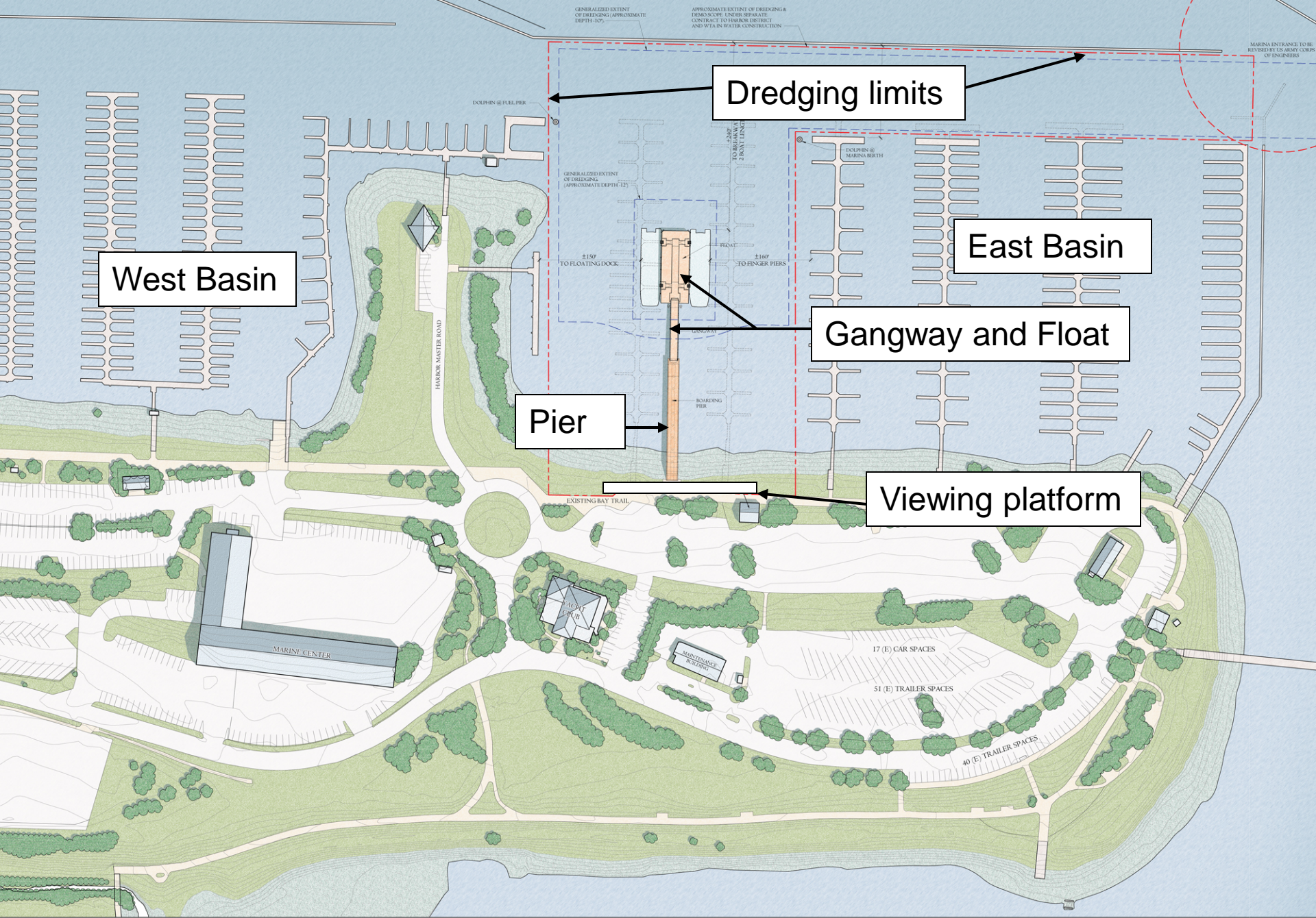
Docks 9, 10, and 11

Breakwater

West Basin

Project Area





West Basin

Dredging limits

East Basin

Gangway and Float

Pier

Viewing platform

MARINE CENTER

MAINTENANCE BUILDING

17 (E) CAR SPACES

51 (E) TRAILER SPACES

40 (E) TRAILER SPACES

PRELIMINARY SITE DESIGN

rights and other intellectual property product and it is protected by United States and International treaty provisions.





## South San Francisco Ferry Terminal - Oyster Point Marina

*Prepared for the San Francisco Bay Area Water Transit Authority by ROMA Design Group in association with Moffatt & Nichol*

MARCH 19, 2008

# SSF Next Steps

- Continue construction of vessels
- Complete terminal design and permitting
- Obtain approval of CA Boating and Waterways for lease and continue site preparation activities, such as dredging
- Finalize allocation of Measure A funds
- Award construction contracts for pier and for float

# Berkeley Ferry Service

- Environmental Clearance begun in May 2006, draft environmental document to be circulated for public comment in Spring 2008
- Environmental document investigating 4 sites, 2 are controversial
- Partially funded with RM 2 and Federal Funds
- Service Between Berkeley and San Francisco
- Ridership forecast at 1,730 trips per day





# Alternative Terminal Sites Being Evaluated

# **Berkeley Next Steps**

- Hearing on Draft Environmental Document
- Select preferred alternative
- Certify environmental document
- Secure funding for terminal construction
- Begin final terminal design

# Hercules Ferry Service

- Environmental Clearance began in May 2006, draft environmental document to be circulated for public comment in Spring 2008
- Partially funded with Contra Costa County Sales Tax Funds
- Terminal co-located with new Amtrak terminal
- Ridership forecast at 1,100 trips per day



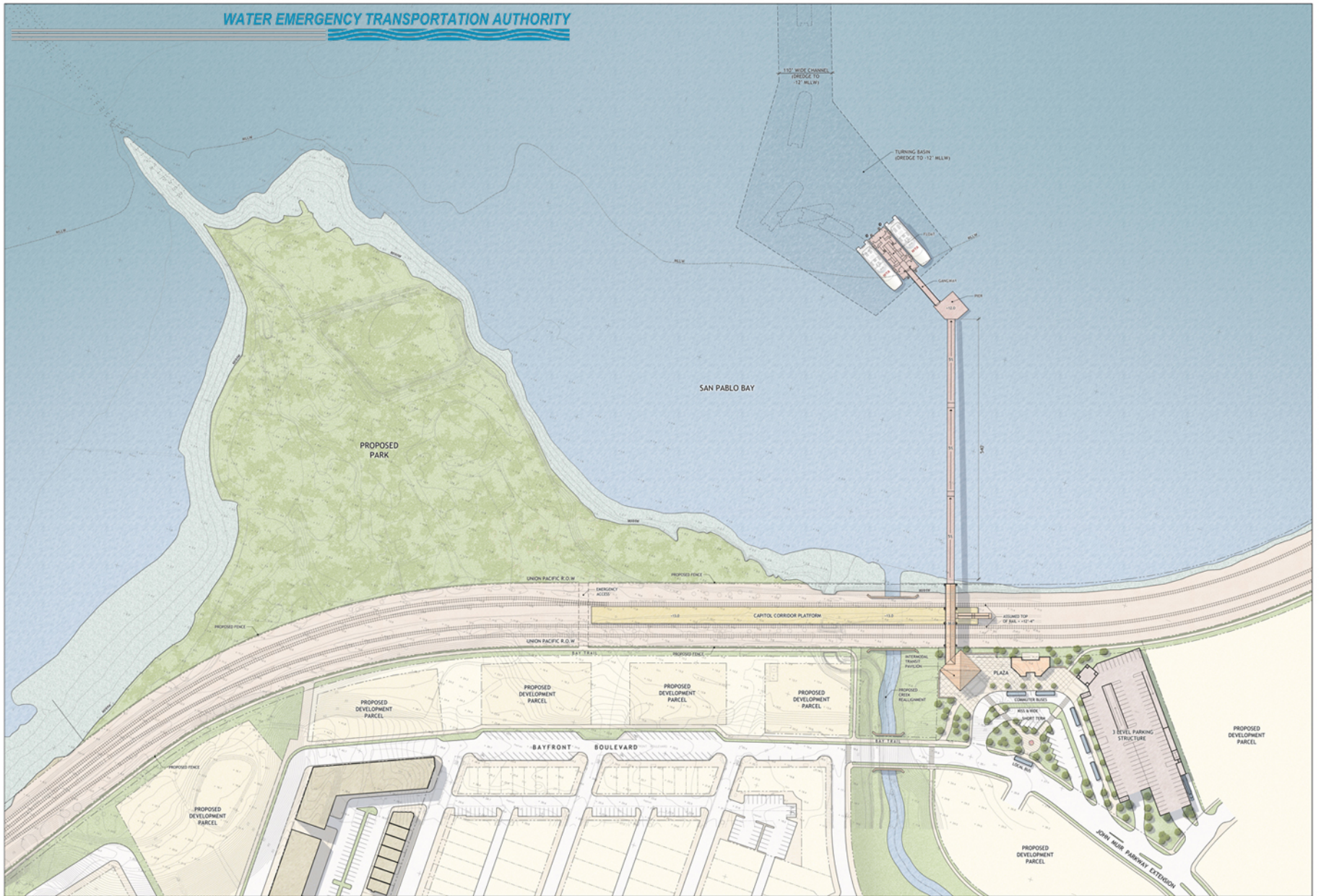
# Terminal Planning

- Direct access from Highway 4, I-80
- New neighborhoods being developed around intermodal terminal



Proposed  
ferry  
terminal  
location





DRAFT - NOT FOR CONSTRUCTION

NOTE:  
 This map was prepared using computer assisted, photogrammetric methods by HUN Geospatial, Inc., in Oakland California.  
 In areas of dense vegetation, accuracy of contours may deviate from accepted accuracy standards.  
 The grid is based on the California Coordinate System, Zone II, NAD 1983.  
 Elevations are based on MLLW.  
 Control survey performed by Tucker & Associates, Colton, CA.

OPTION 3 : REVISED CITY CENTER SITE

WTA Ferry Terminal - Hercules Waterfront

Prepared for the Water Transit Authority by ROMA Design Group in association with Coast & Harbor Engineering and Art Anderson Associates

OCTOBER 18, 2007



# Hercules Next Steps

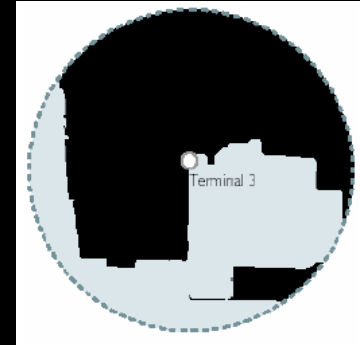
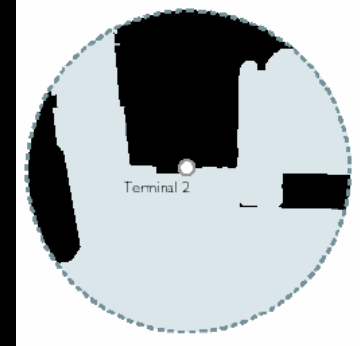
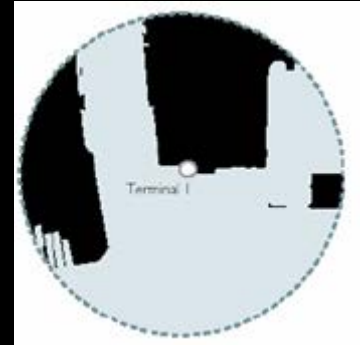
- Certify environmental document
- Secure funding for terminal construction
- Begin final terminal design



# Richmond Ferry Service

- Land use studies completed in 2007
- Partially funded with Contra Costa County Sales Tax Funds
- Ridership forecast at 2,100 trips per day

# Potential Terminal Locations





## Key Plan Elements



- Locate ferry terminal in marina, nearer existing residential uses
- Provide greater residential density around ferry terminal
- Residential use in the Buffer Zone requires more direct protections of industrial adjacent Harbor Way
- Office is a conforming land use within the Office/Residential designation
- Development of ferry terminal requires joint development of dock facilities and new shared parking agreements
- Primary auto access along Marina Bay Parkway & Regatta (support for rail undercrossing)

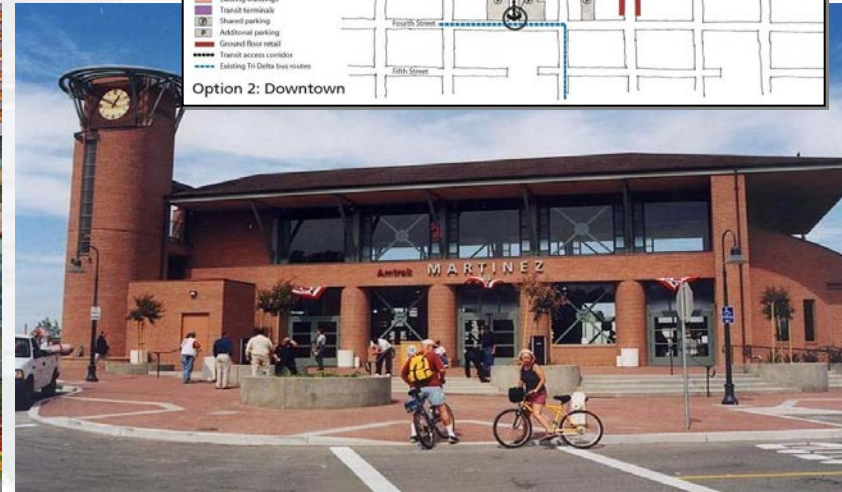
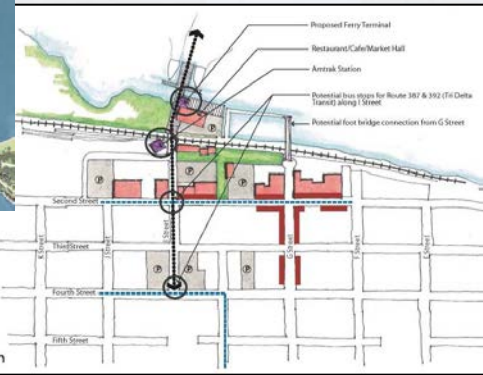
# Richmond Next Steps

- City to adopt land uses as part of General Plan update
- Negotiate cost sharing agreement to begin environmental analysis
- Secure funding for terminal construction



# Other Routes

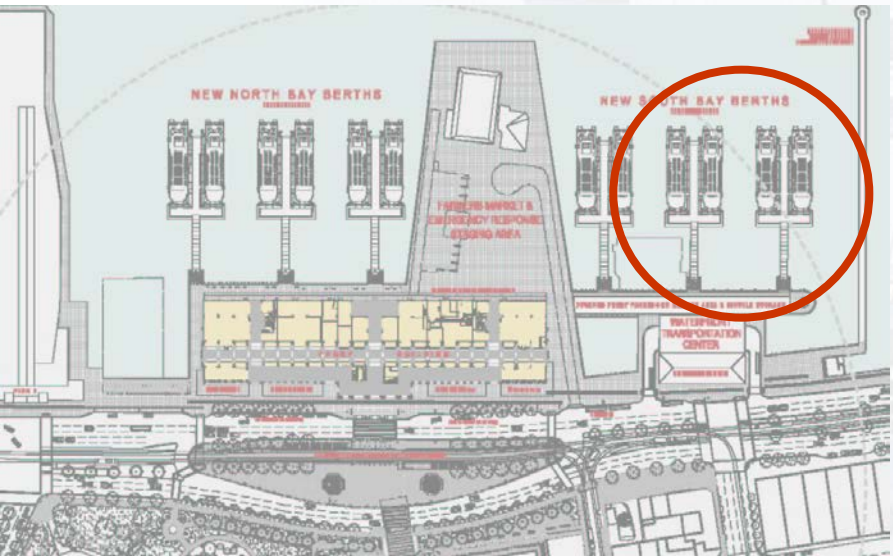
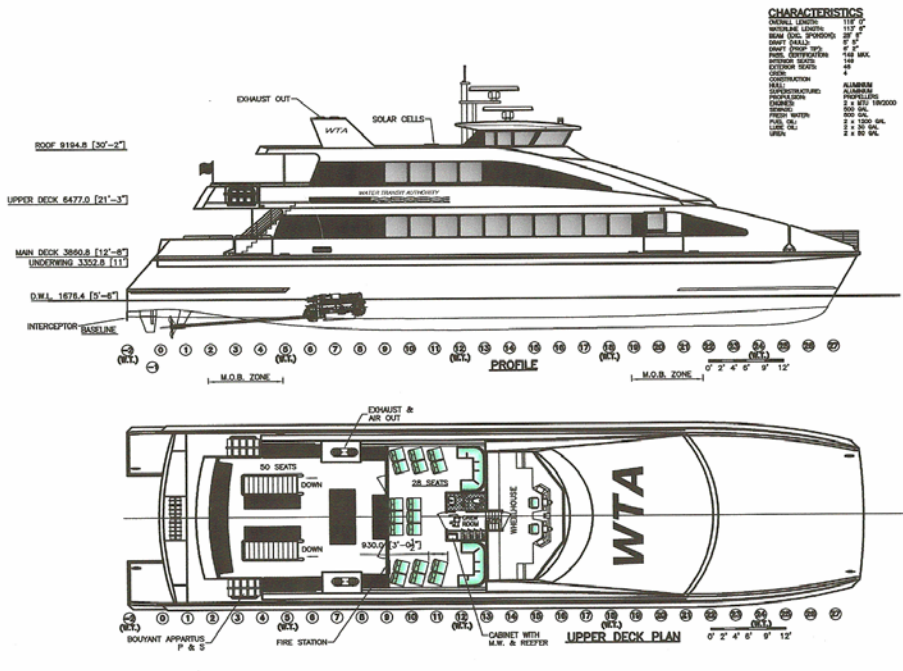
- Redwood City
- Martinez
- Antioch
- Treasure Island – awaiting development approval
- Alameda Point – awaiting new development plan





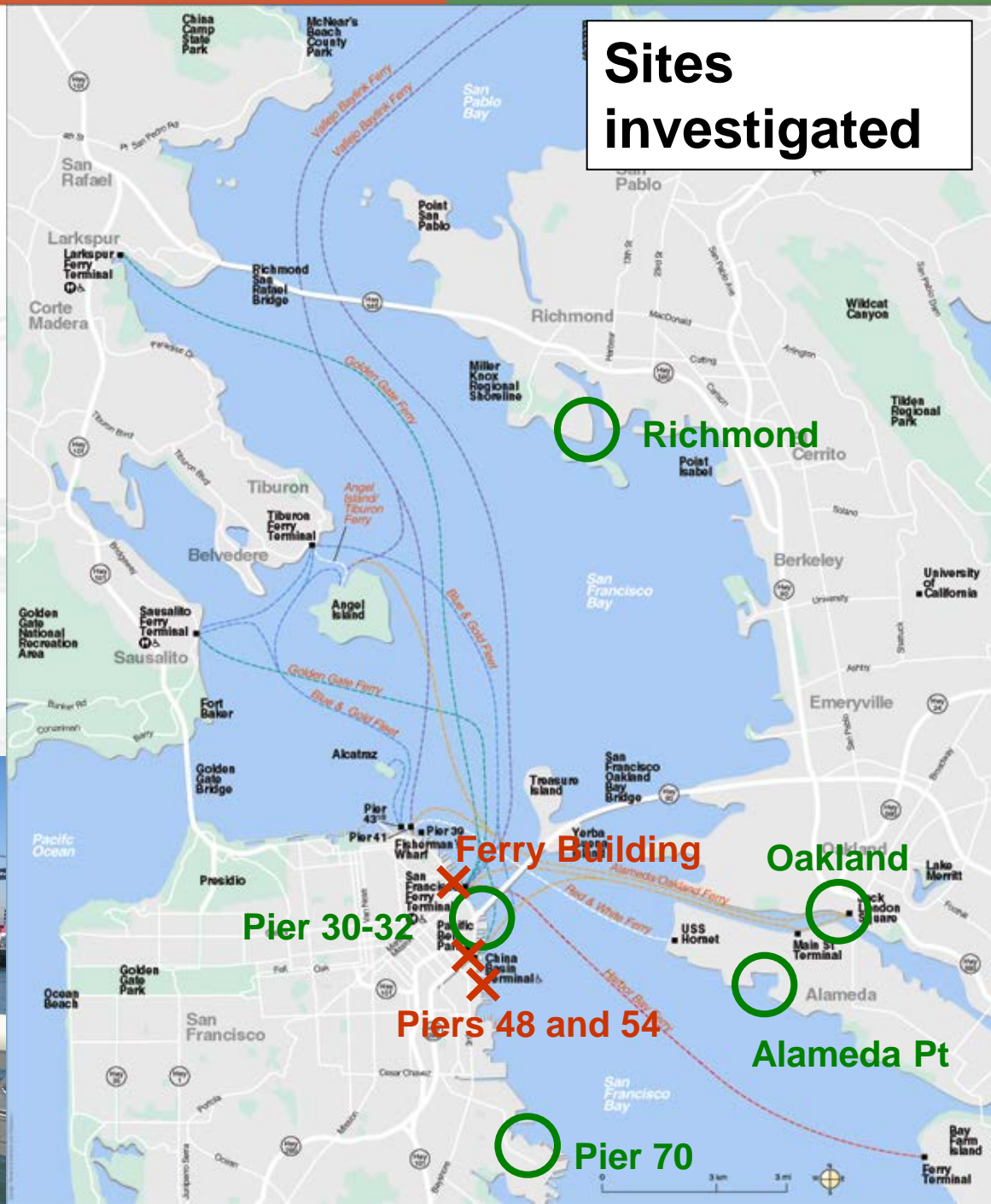
# Other Projects

- Spare Vessels – Under construction
- Ferry Building – Conceptual plans for expansion



# Other Projects

- Maintenance/fueling/berthing facilities - Criteria include minimizing dead head trips, accessibility in an emergency, cost to develop and availability of funding





[www.watertransit.org](http://www.watertransit.org)



**WATER EMERGENCY TRANSPORTATION AUTHORITY**



# Transportation Emergency Response Planning and Management March 2008



WATER EMERGENCY TRANSPORTATION AUTHORITY

**WETA**

# Agenda

## Existing Organizational Structure

**Important Documents**

**Emergency response organizational concepts**

**Organizations and their roles**

**How transportation response works in a disaster**

**Acronyms**

## Existing Infrastructure

**Anticipated problems**

**Demand and existing capacity**

**Ferry Building constraints**

**Other constraints**

**Additional capacity from expansion**

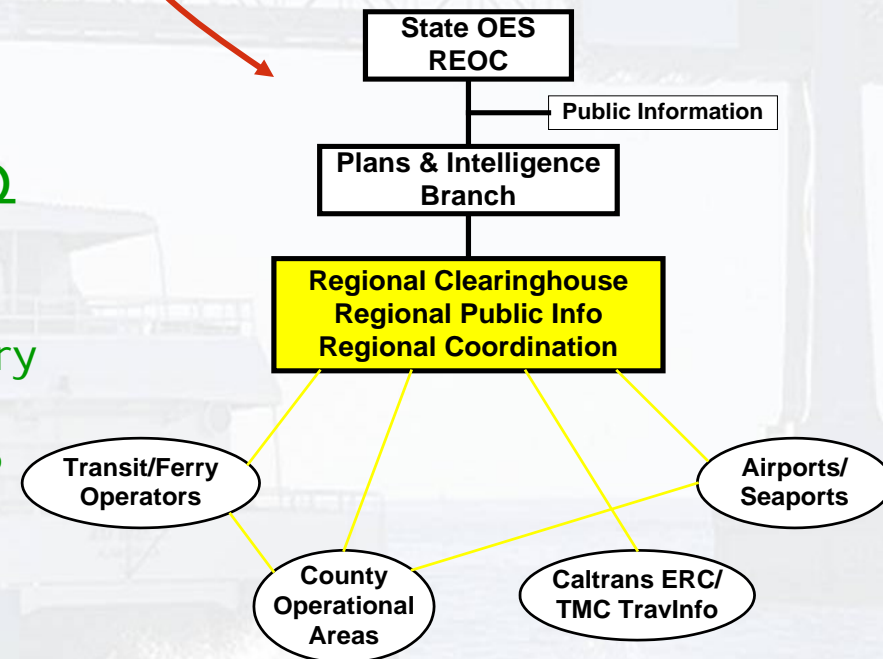
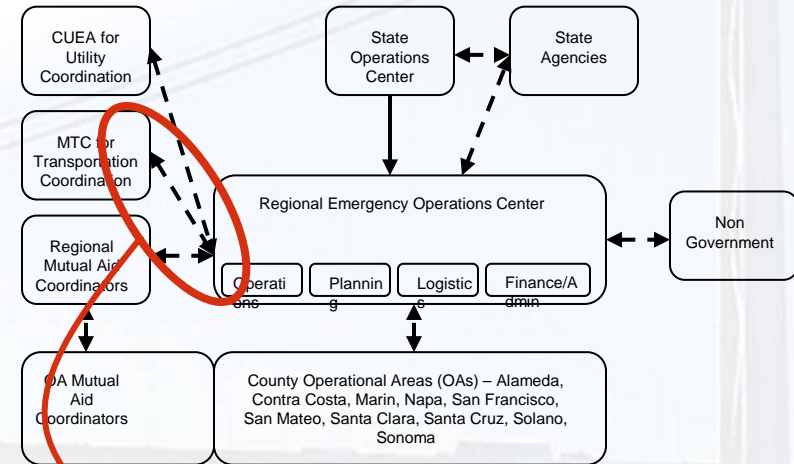
# Existing Emergency Response Documents

## Regional Emergency Coordination Plan (RECP) (October 2007)

- For use by the State OES to coordinate all-hazards emergency response
- Includes subsidiary plans for Fire and Rescue, Hazardous Materials, Communications, Law Enforcement, Logistics, Care and Shelter, Medical and Health, Short-Term Recovery, and Transportation

## Regional Transportation Coordination and Response Plan (February 2007)

- Establishes MTC's authority as transportation coordinator
- Establishes WETA role to coordinate ferry response
- One of the subsidiary plans of the RECP
- Coordination of transportation assets





# Regional Response Authorities and Roles

## State Office of Emergency Services

- Through Regional Emergency Operations Center (REOC), **coordinates** overall state agency response in all emergency areas to support of local governments.
- **Coordinates** regarding prioritization of emergency transportation with MTC, Caltrans and federal agencies.
- **Authority to command** but limited staff makes that unlikely. Focus would likely be in most needed areas where locals can't respond, or in major multijurisdictional disasters.

## County Operational Areas (OAs)

- **Coordinates** information, resources, and priorities among local governments within the operational area.
- Serves as the **coordination** and communication link between the local government (first responders) and the regional level.

## US Coast Guard

- **Command authority** of water transport but other responsibilities make that unlikely

## MTC

- **Coordinates** basic transportation services and serves as information clearinghouse

## First Responders and Local Government

- **Command and control** of staff at field level, often through Unified Command

## Transit Agencies

- Operational **control** of their resources

# How it is supposed to work ...

- After a disaster, **first representative on site would make decisions**, or would look for direction from ICS Commander
- Each transit **operator would maintain operational control** of their facilities
- Request for additional service would come from first responders to **Unified Command** (per ICS), then to **OA** (county), then to **REOC**
- **REOC would ask MTC to coordinate** with existing operators to provide service.
- **MTC would ask operators** to provide additional service. **Operators would respond if** capability available.

Ferry Captains in control of boats, fire or police in charge of incident

1 to 4 hours

Each operator prioritizing additional service

2 to 48 hours

Decisions about expanded service made cooperatively

8 hours to several days

Response ultimately up to each operator

## How it could go wrong ...

- After a disaster, **first representative on site would make decisions**, or would look for direction from ICS Commander
  - Responses might not address greatest regional need
- Each transit **operator would maintain operational control** of their facilities
  - Operators may not be able to access additional staff or vehicles or may find physical constraints
- Request for additional service would come from first responders to **Unified Command** (per ICS), then to **OA** (county), then to **REOC**
  - Could take a long time to get requests to each operator
- **REOC would ask MTC to coordinate** with existing operators to provide service.
  - Response from operators could vary, leaving bad connections between services. Response ultimately up to each operator
- **MTC would ask operators** to provide additional service. **Operators would respond if** capability available.



## Corrective actions ...

- After a disaster, **first representative on site would make decisions**, or would look for direction from ICS Commander
  - Establish procedures/routes/actions for ferry staff
- Each transit **operator would maintain operational control** of their facilities
  - Inventory staff and vessels and establish procedures for off duty staff, charter agreements with private operators, address physical constraints, expand ferry resources
- Request for additional service would come from first responders to **Unified Command** (per ICS), then to **OA** (county), then to **REOC**
  - Train with selected operators in case REOC not able to respond quickly
- **REOC would ask MTC to coordinate** with existing operators to provide service.
  - Continue to work with MTC, OES, and other operators to plan specific emergency scenarios
- **MTC would ask operators** to provide additional service. **Operators would respond if** capability available.

# Definitions/Acronyms

ICS – Incident Command System establishes command and control procedures for onsite responders

OA – Operation Area for each County, managed by County OES officials

OES – The Governor's State Office of Emergency Services

RECP - Regional Emergency Coordination Plan for use by the OES to coordinate all-hazards emergency response

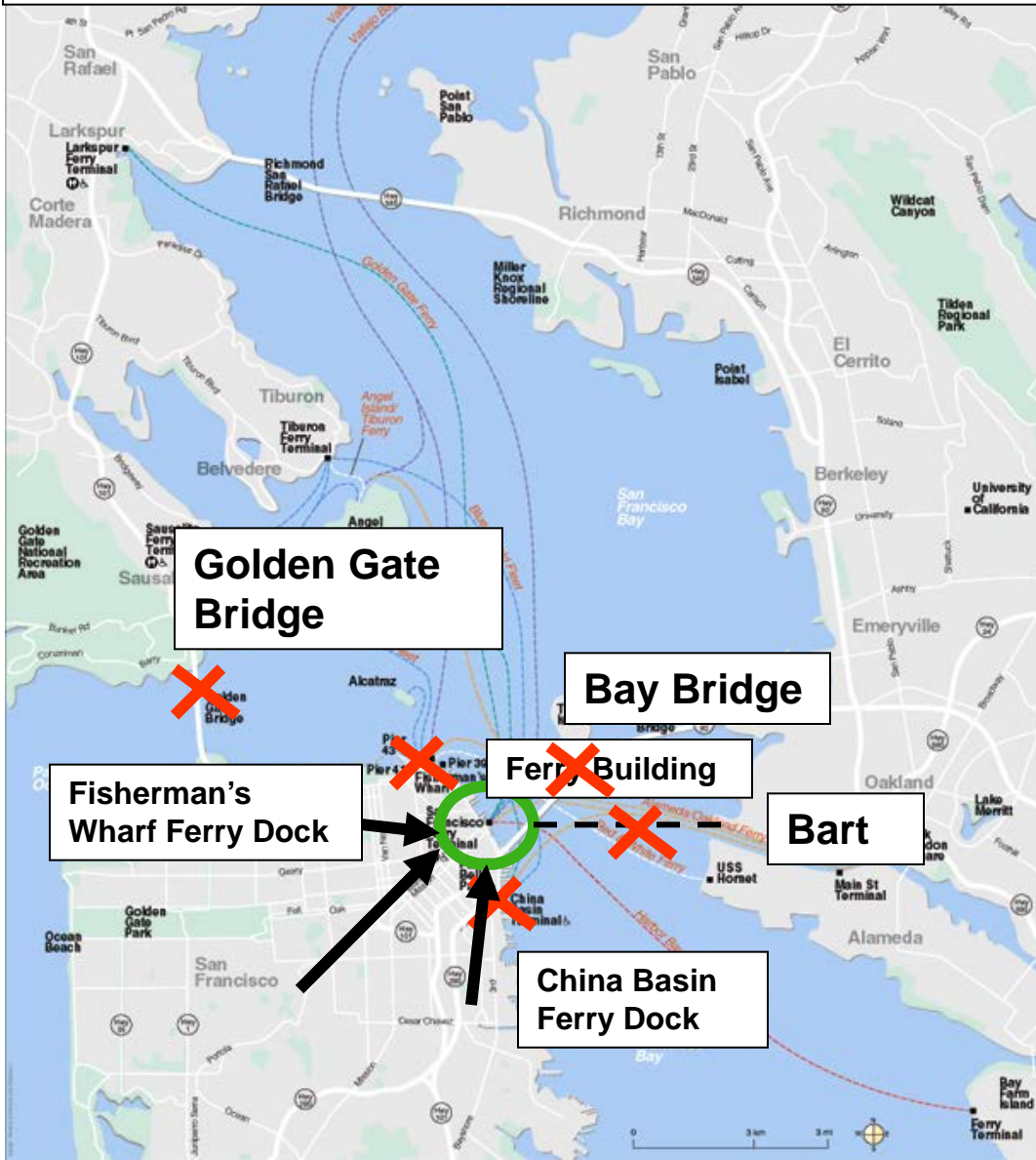
REOC – Regional Emergency Operations Center is the location of the multiagency coordination effort

RTEMP - Regional Transportation Emergency Management Plan developed by MTC and Coastal OES for coordination of transportation assets

SEMS – California Standardized Emergency Management System provides procedures for emergency response

Unified Command – Command structure of Incident Command System when there are multiple jurisdictions or agencies

# Emergency Response – Existing Conditions



Most emergency scenarios affecting ferries have Golden Gate Bridge, Bay Bridge, and BART out of service, due to

- Failure
- Temporary closure for inspection
- Approaches blocked

Immediate ferry response focus on Ferry Building

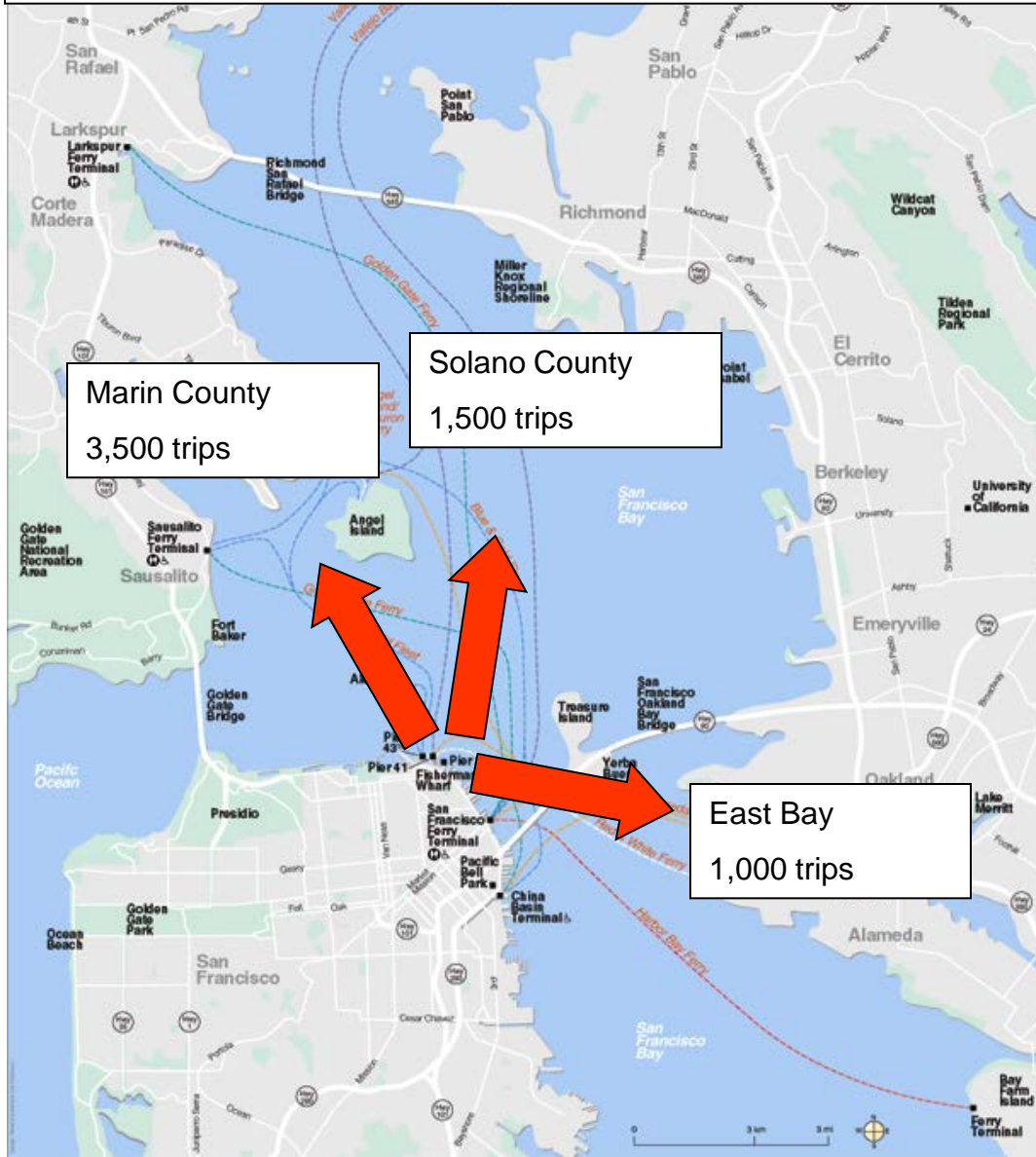
- Other SF docks not designed as essential structures, could fail
- People would naturally head to Ferry Building
- Inadequate communications to divert passenger to other docks



# Emergency Response – Existing Conditions

## Typical Day

Ferries take 6,000 ferry passengers home



# Emergency Response – Existing Conditions



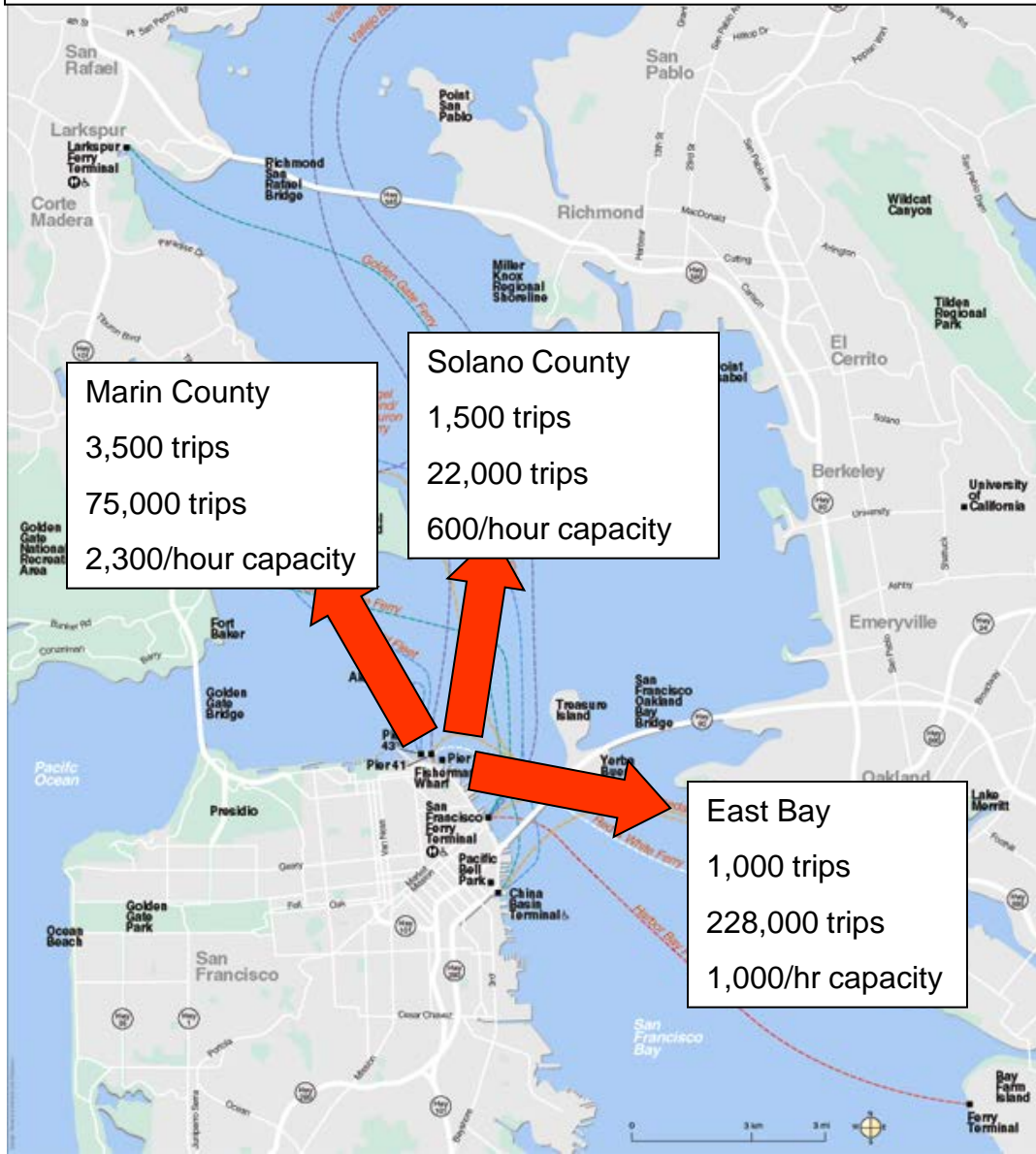
## Typical Day

Take 6,000 ferry passengers home

## Emergency Evacuation

Take 325,000 transbay commuters home

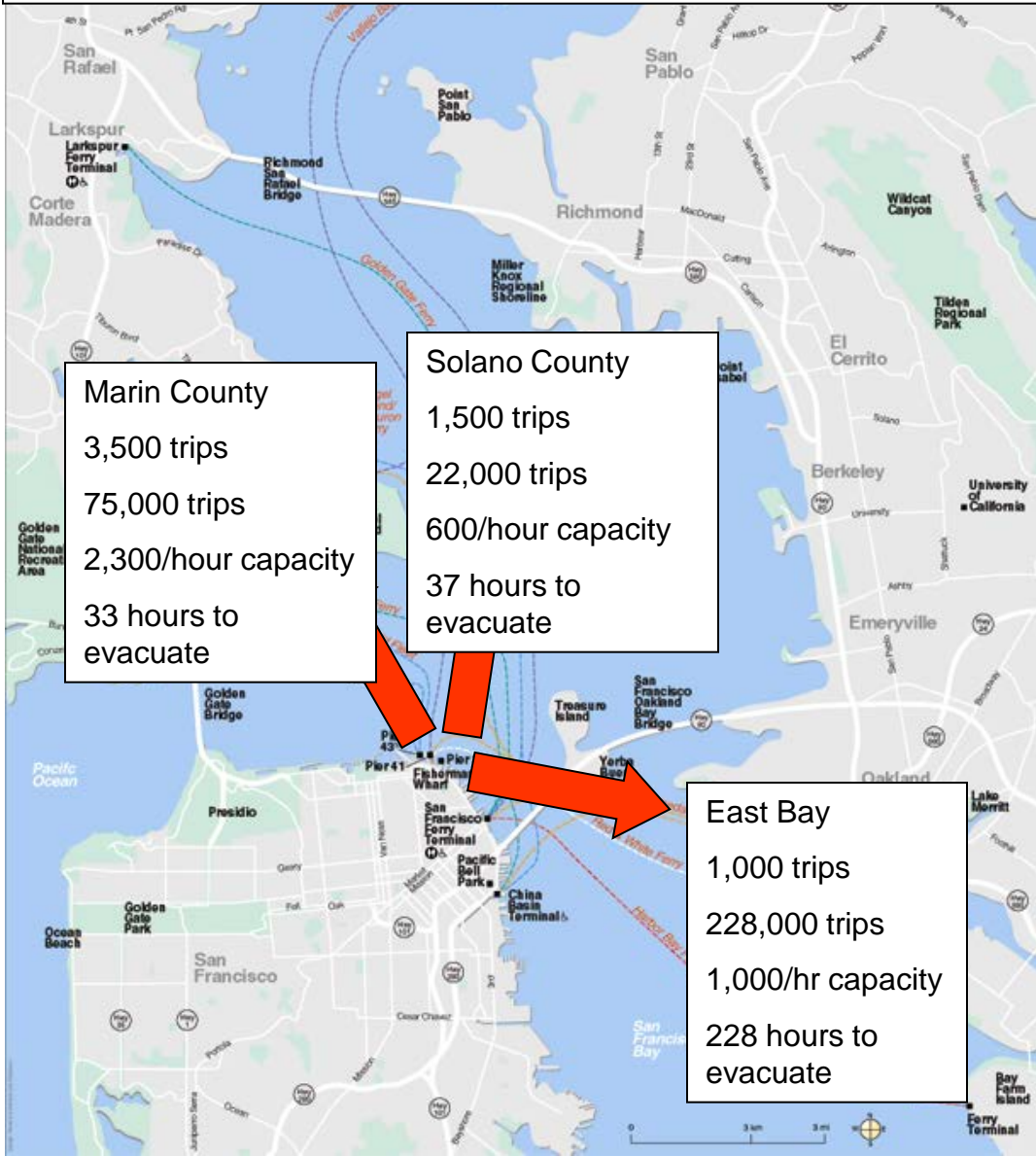
# Emergency Response – Existing Conditions



Using all current available boats in each corridor, capacity dwarfs demand and is unbalanced in each corridor

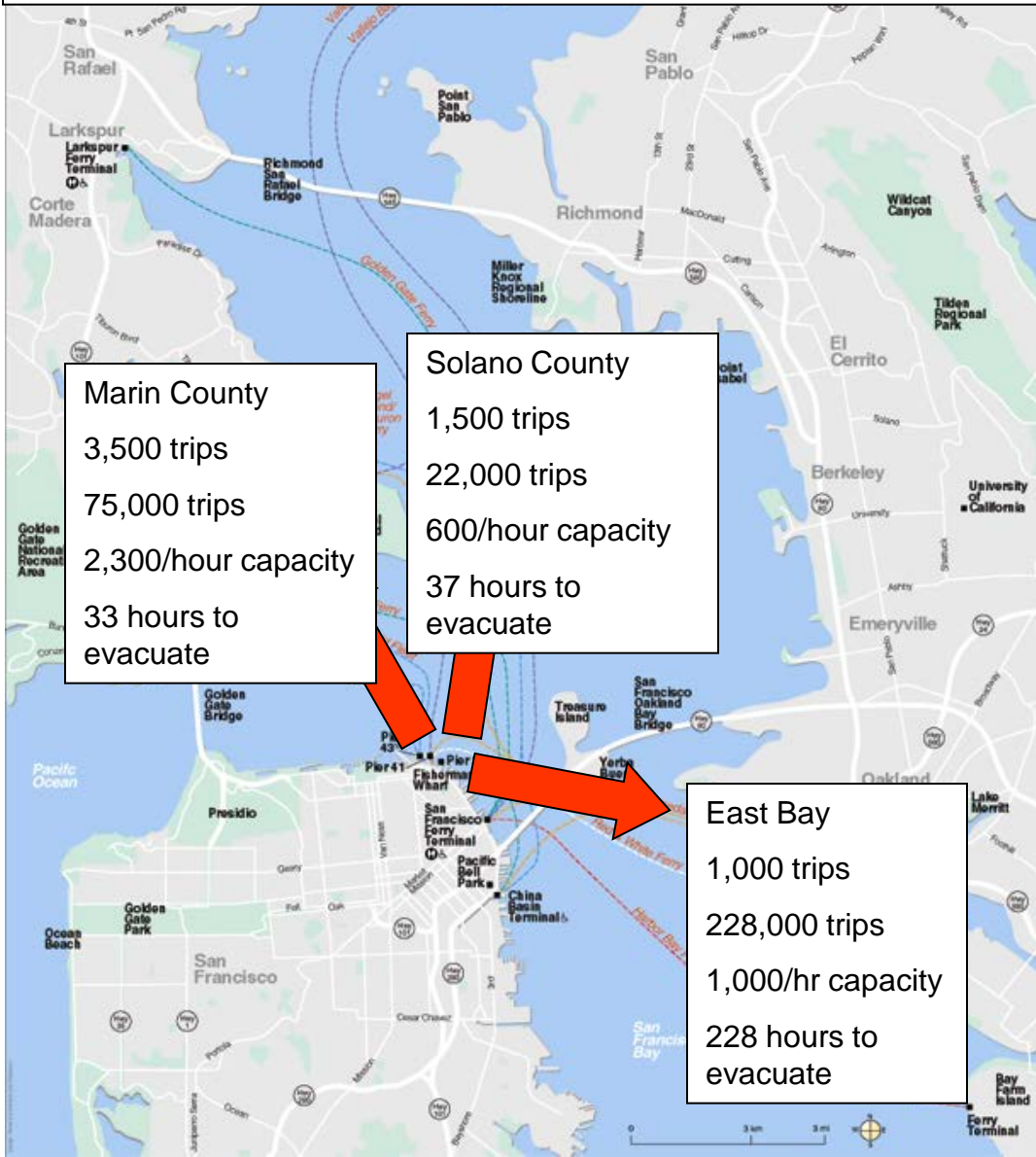


# Emergency Response – Existing Conditions



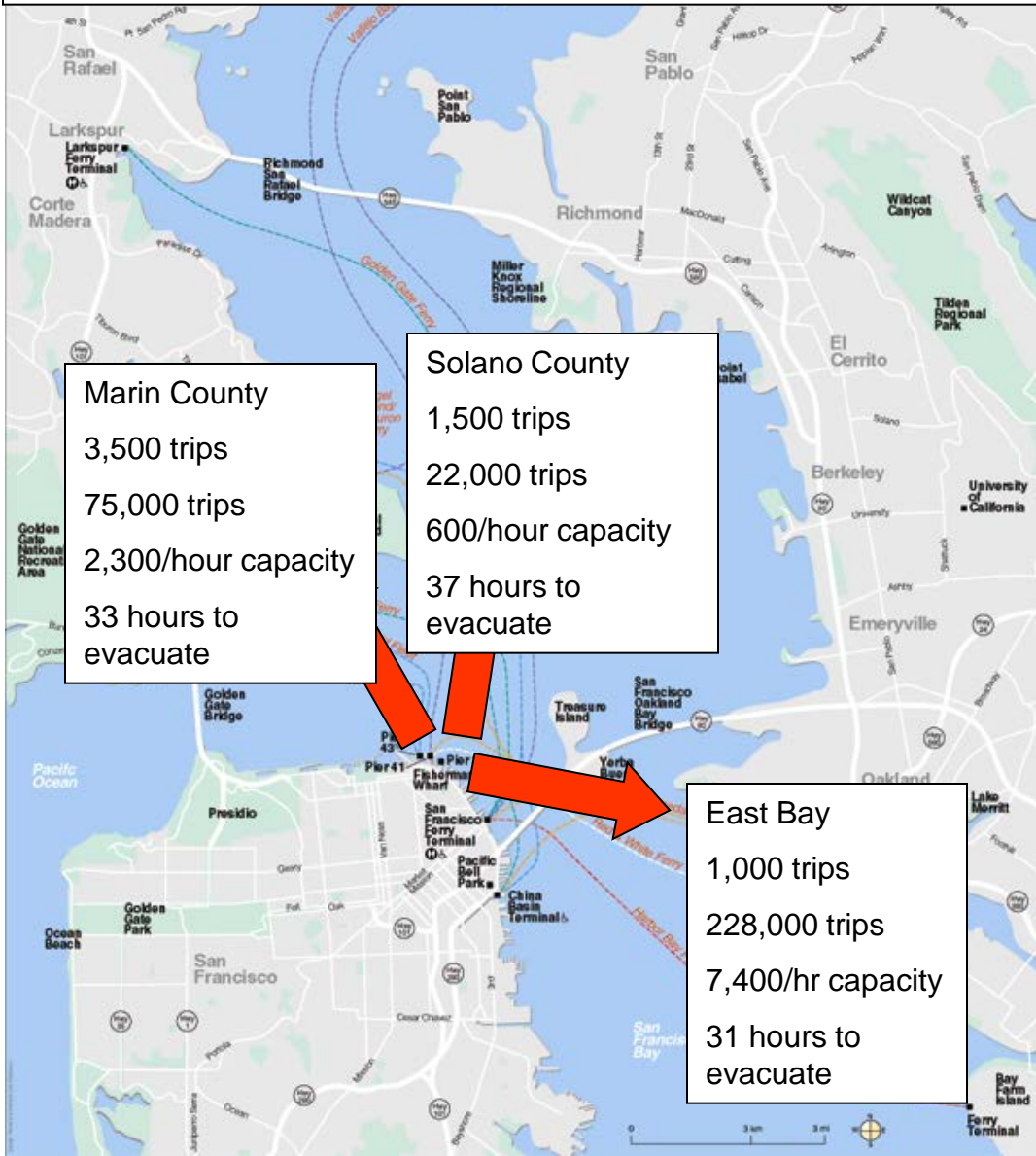
Using all current available boats in each corridor, capacity dwarfs demand and is unbalanced in each corridor (3,900 trips/hr total capacity)

# Emergency Response – Existing Conditions



Moving all Blue & Gold, all Red & White, all Hornblower, all Angel Island, and Signature vessels balances capacity by corridor, but requires additional docks in San Francisco and Oakland

# Emergency Response – Existing Conditions



Moving all Blue & Gold, all Red & White, all Hornblower, all Angel Island, and Signature vessels balances capacity by corridor, but requires additional docks in San Francisco and Oakland



# East Bay Response – Focus on shortest ferry trip



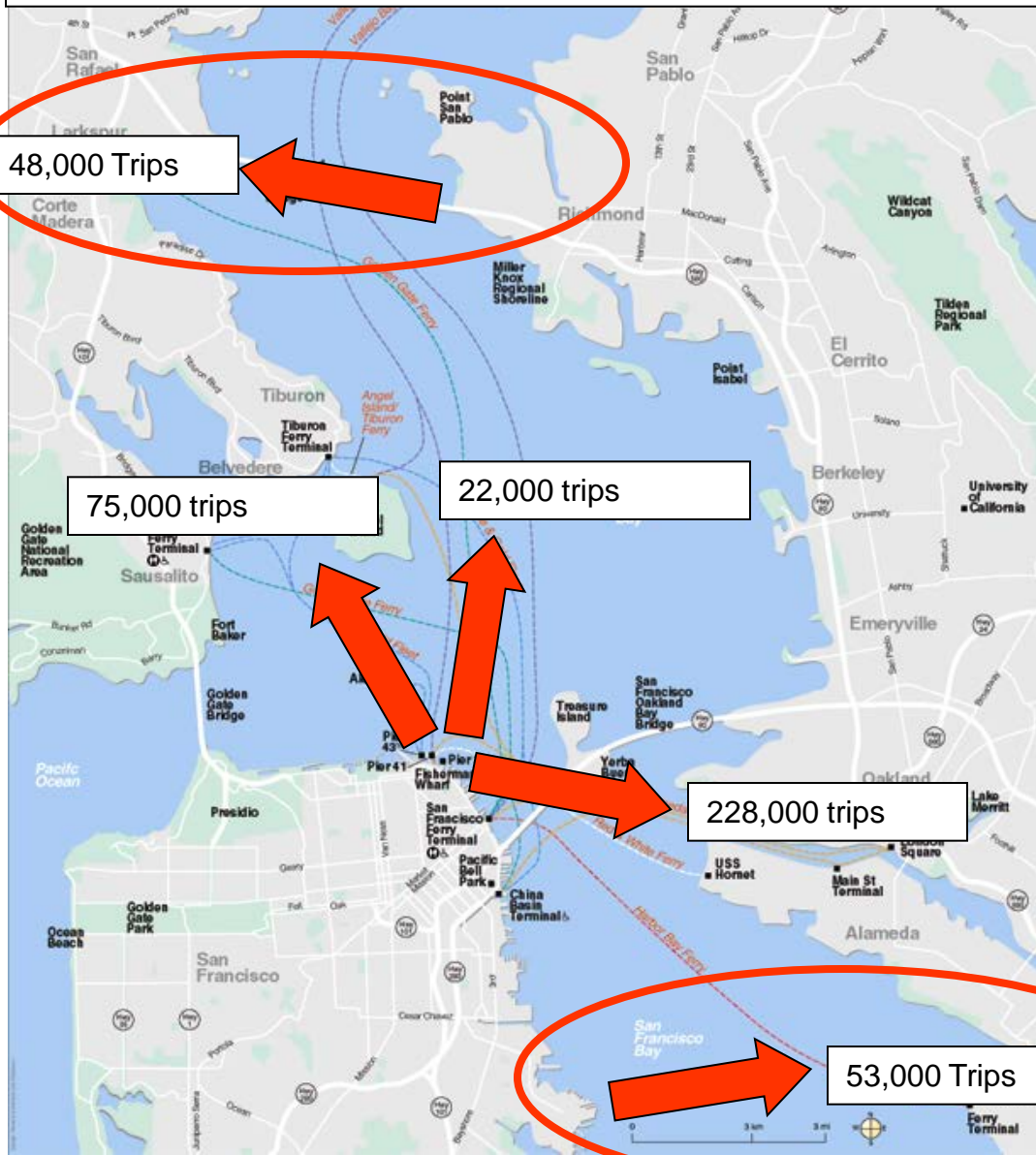
During first 48 hour of emergency, focus is on transporting maximum number of people

After the first 48 hours, focus will shift to restoring commute patterns

## Note about Bay Bridge Corridor during first 48 hours:

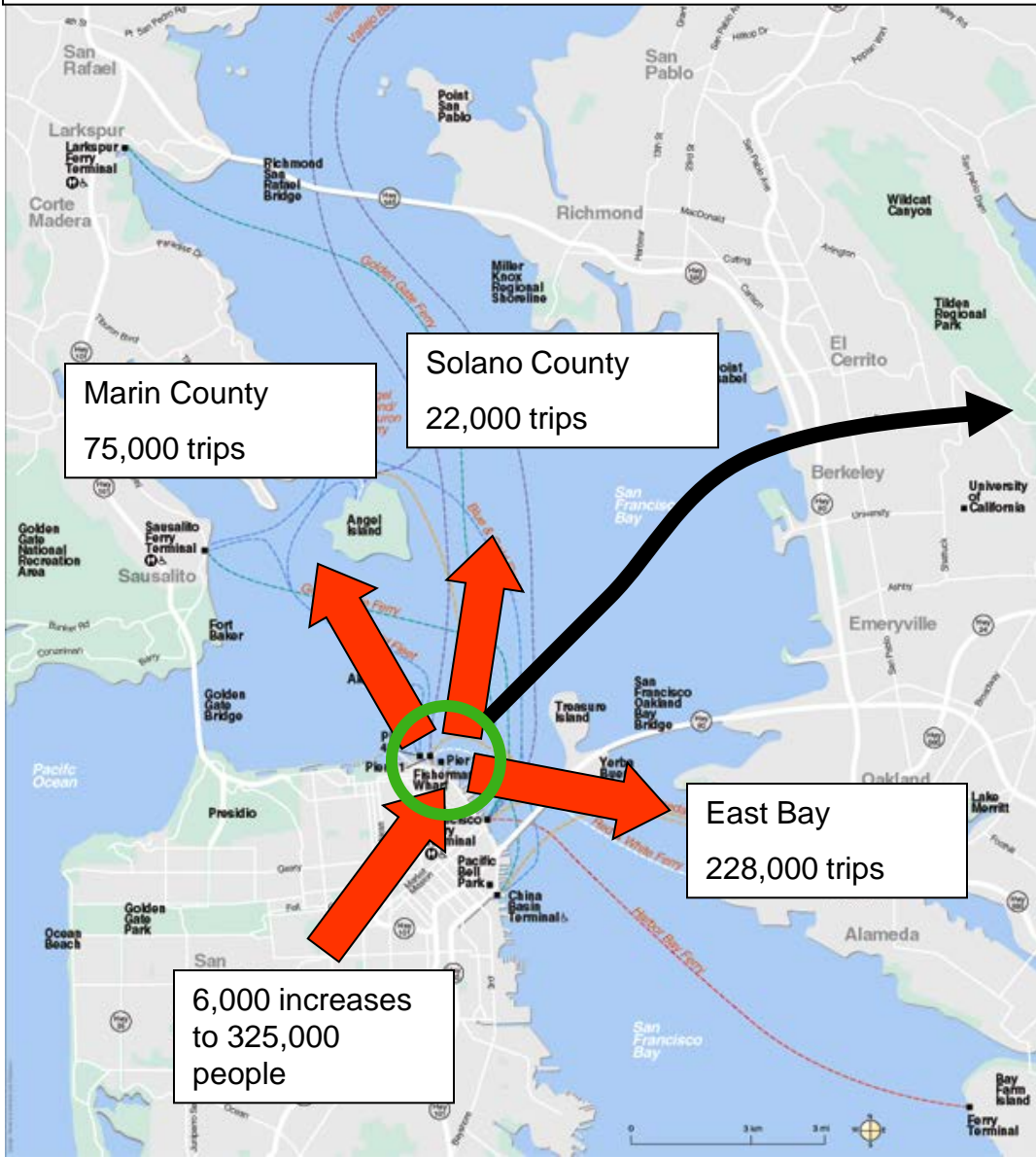
- Shorter ferry trips will allow us to carry more people, given a fixed number of boats
- Bus coordination will be needed to distribute trips once they arrive

# Emergency Response – Existing Conditions



Evacuation demand in other corridors smaller (biggest problem is Bay Bridge corridor!)

# Emergency Response – Existing Conditions



There are key Ferry Building improvements can increase capacity

Ferry Building will be flooded with people



Solano County  
1,500 trips  
22,000 trips  
600/hour capacity

Marin County  
3,500 trips  
75,000 trips  
2,500/hour capacity

East Bay  
1,000 trips  
228,000 trips  
1,000/hr capacity



Current dock limitations allow us to only half of the 42 available bay area vessels

- Demand = 325,000
- Capacity = **3,900/hour**

New docks increase capacity, allowing more existing vessels to be used

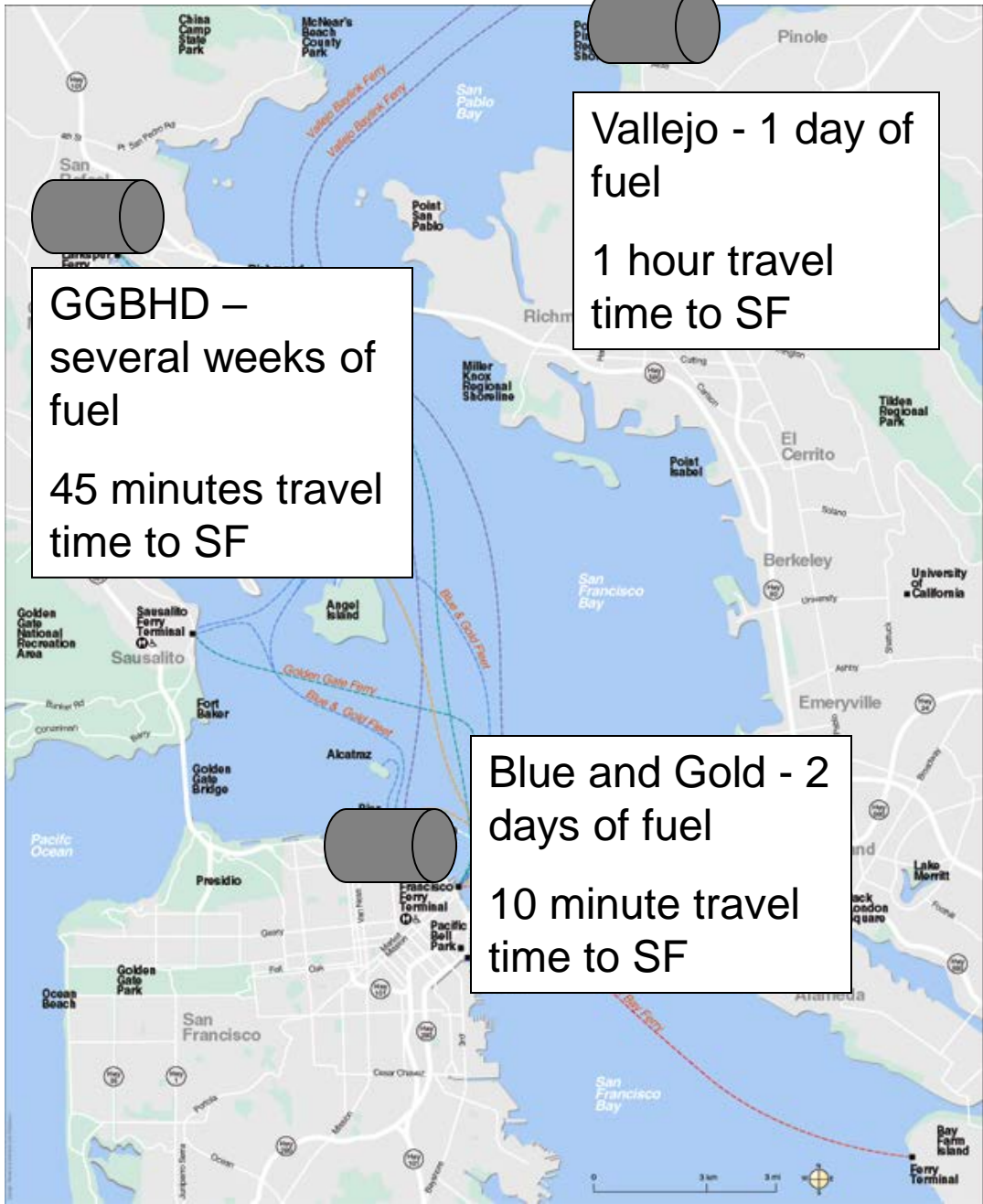
- Demand = 325,000
- Capacity = **10,300/hour**

To increase Bay Bridge capacity, additional slips also needed in Oakland

New docks help spread out the passenger load

# Ferry Building Key Improvements

6,000 to 325,000 people



There are three existing fueling locations for ferries

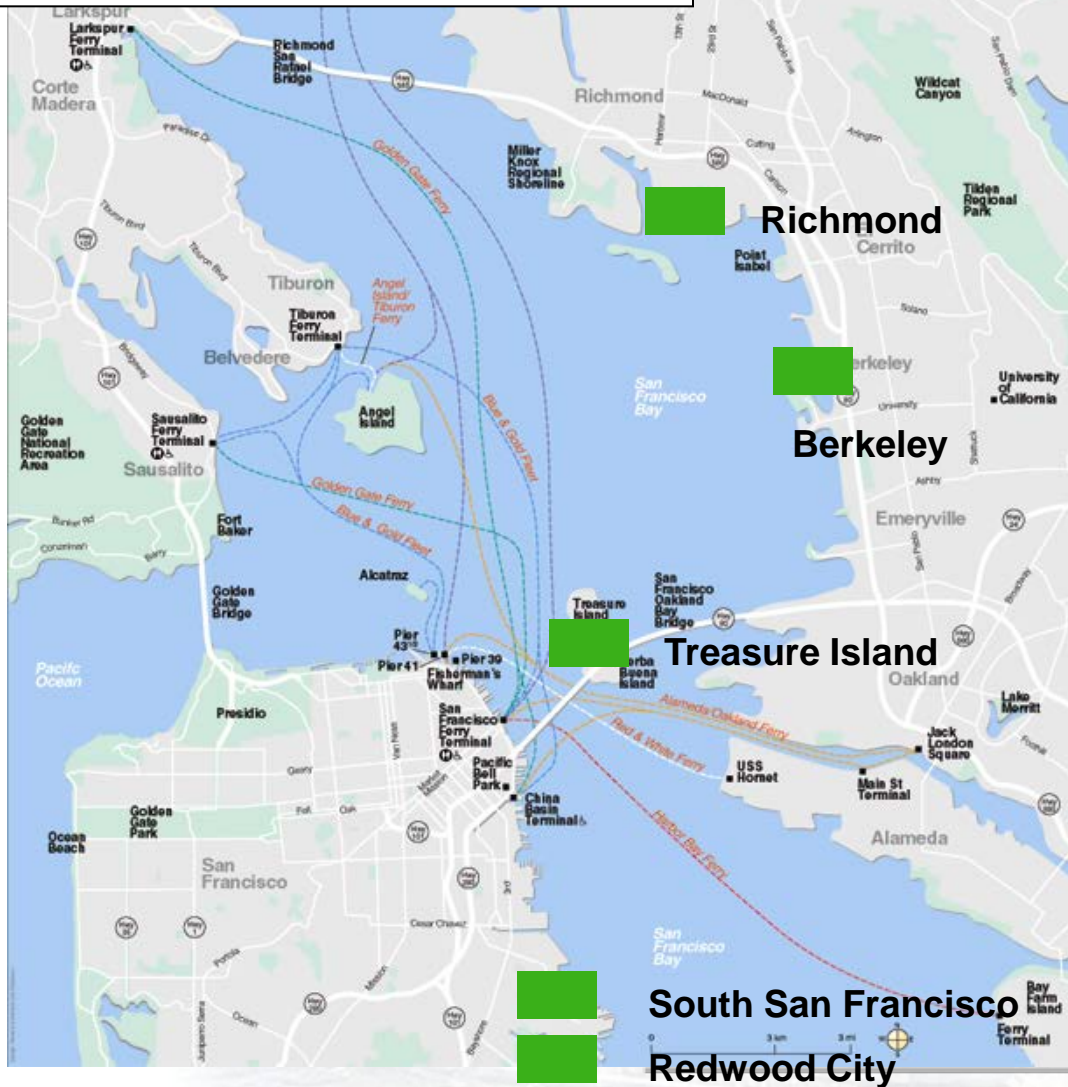
Existing fuel capacity is not adequate to maintain a prolonged emergency response

**Key Investments**

- Complete Vallejo’s maintenance and fueling facility project
- Add new fueling capacity at protected location in the east bay

**Next Key Investment**

Then, we are ready to add new terminals and vessels



The WTA's Implementation and Operations Plan identifies 8 new terminals that are viable and cost effective for commuter service

Most of the IOP routes have at least a partial commitment of operating funds, and can therefore be useful for congestion relief as well as emergency response

New terminals and boats increase bay bridge capacity by 2,700/hr.

- Demand = 325,000
- Capacity = **13,000/hour**



# Next Steps

1. Training for existing crews on response procedures and interchangeability of vessels and terminals
2. Get charter agreements in place to mobilize private operators
3. Begin work on additional docking capacity in Oakland
4. Begin work on expanded fueling capabilities and support Vallejo in completing fueling project
5. Begin work on Ferry Building improvement projects
6. Work with OES, MTC, and other operators to improve coordination of expanded operations

[www.watertransit.org](http://www.watertransit.org)



**WATER EMERGENCY TRANSPORTATION AUTHORITY**

MEMORANDUM

---

**TO: Board Members**

**FROM: Nina Rannells, Deputy Director of Finance & Administration  
Melanie Jann, Manager, Administration & Business Services**

**SUBJECT: Status of WTA Agreements**

**Recommendation**

No action required.

**Background**

Government Code 66540.10 (as amended by SB 976) directs that WTA agreements be transferred to WETA. The language is as follows:

66540.10. The San Francisco Bay Area Water Transit Authority shall transfer the title and ownership of all property within its control and ownership to the authority. Funds necessary for the establishment and organization of the authority, as determined by the board of the authority, shall be transferred immediately upon request by the authority. All other transfers shall be consistent with the transition plan required under subdivision (b) of Section 66540.32 and shall include, but not be limited to, all of the following:

(a) All real and personal property, including, but not limited to, all terminals, ferries, vehicles or facilities, parking facilities for passengers and employees, and related buildings and facilities convenient or necessary to operate, support, maintain, and manage the water transportation services system and its services to customers.

(b) All contracts with tenants, concessionaires, leaseholders, and others.

(c) All financial obligations secured by revenues and fees generated from the operations of the water transportation services system, including, but not limited to, bonded indebtedness associated with the water transportation services system.

(d) All financial reserves, including, but not limited to, sinking funds and other credits.

(e) All office equipment, including, but not limited to, computers, records and files, software required for financial management, personnel management, and accounting and inventory systems.

Attached is a list of existing and active WTA agreements. No specific action is required to accept or continue these agreements. The Board may evaluate them on a case-by-case basis.

**Financial Implications**

There is no direct financial impact.

\*\*\*END\*\*\*



FIRM NAME	Description of services	CONTRACT	TOTAL PAID	Original		
		BUDGET	INVOICES	Status	Contract Date	
<b>Salaries and Benefits</b>						
	<b>Employment Contracts &amp; Benefits</b>	1,475,000		Ongoing	2007	
	Steven Castleberry	Employee contract				
	Mary Culnane	Employee contract				
	Shirley Douglas	Employee contract				
	Scott Houston	Employee contract				
	Melanie Jann	Employee contract				
	Nina Rannells	Employee contract				
	John Sindzinski	Employee contract				
	Keith Stahnke	Employee contract				
	California PERS	Employee benefits				
	CoPower - Delta Dental	Employee benefits				
	CoPower - Vision Service Plan	Employee benefits				
	Claremont Employee Assistance	Employee benefits				
	Principal Life Insurance	Employee benefits				
	State Compensation Insurance Fund	Employee benefits				
<b>Services</b>						
	<b>Hanson, Bridgett, Marcus, Vlahos &amp; Rudy LLP</b>	Legal	25,000	15,048	Nearing completion	2004
	<b>Nossaman, Guthner, Knox &amp; Elliott, LLP</b>	Legal	400,000	400,000	Renewed annually	2004
	<b>Lindsay, Hart, Neil &amp; Weigler</b>	Federal lobbyist	160,000	68,149	Renewed annually	2001
	<b>Broad &amp; Gusman, LLP</b>	State lobbyist	60,000	40,211	Renewed annually	2004
	<b>Bay Crossings</b>	Advertising	60,000	45,000	Renewed annually	2001
	<b>Johnson-Ukropina</b>	Marketing	115,000	81,474	Nearing completion	2005
	<b>Linda Mitchell</b>	Marketing	25,000		Ongoing	2005
	<b>Molly Duggan Associates</b>	Marketing	25,000	10,563	Ongoing	2006
	<b>The Next Generation</b>	Outreach	165,000	144,042	Nearing completion	2004
	<b>Molly Duggan Associates-Website</b>	Website design	22,000	13,500	Nearing completion	2007
	<b>Association of Bay Area Governments</b>	Financial	95,000	47,465	Renewed annually	2001
	<b>Eaton &amp; Associates</b>	IT support	25,000	625	Just starting	2007
	<b>ADP</b>	Payroll services	1,740	968	Ongoing	2007
	<b>Japan Janitorial Service</b>	Janitorial services	25,000	13,390	Ongoing	2006
	<b>HSM Electronic Protection Services</b>	Security services	1,752	1,189	Ongoing	2007
<b>Insurance</b>						
	<b>Alliant</b>	Insurance	32,000	31,764	Ongoing	2003
<b>Leases and Rentals</b>						
	<b>Port of San Francisco</b>	Office rent	1,246,325	379,649	Ongoing	2006
	<b>Port of San Francisco</b>	NextBus signs	700	300	Ongoing	2007
	<b>Toshiba America</b>	Copier leasing	8,992	5,377	Ongoing	2007
	<b>Golden Gate Office Systems</b>	Copier maintenance	3,692	1,851	Ongoing	2007

FIRM NAME	Description of services	CONTRACT	TOTAL PAID	Original	
		BUDGET	INVOICES	Status	Contract Date
<b>Capital Projects</b>					
Winzler & Kelly	Berkeley - engineering/architecture	528,000	357,899	Ongoing	2006
URS - Berkeley/Albany Terminal	Berkeley - environmental	1,184,700	739,913	Ongoing	2005
Roma Design Group - Hercules Terminal Design	Hercules - architecture/engineering	450,000	287,369	Ongoing	2006
Impact Sciences	Hercules - environmental	600,000	256,450	Ongoing	2006
Walther Engineering Services Vessel Construction	Spare vessels - construction inspection	600,000	243,525	Ongoing	2005
Nichols Brothers Boat Builders, Inc	Spare Vessels - vessel construction	16,170,000	9,636,709	Ongoing	2007
Ghiradelli Associates, Inc.	SSF - construction inspection	500,000	44,106	Just starting	2007
PBS&J/EIP Associates	SSF - environmental	775,000	549,311	Nearing completion	2004
Roma Design Group - South San Francisco Terminal Design	SSF - terminal design	2,700,000	1,614,244	Ongoing	2005
SMCHD - San Mateo County Harbor District - Oyster Point	SSF - terminal design support	11,000	2,890	Ongoing	2007
SMCHD - Moffatt & Nichol - Oyster Point Marina	SSF - terminal design support	127,738	118,826	Ongoing	2007
SMCHD - Treadwell & Rollo - Oyster Point Marina	SSF - terminal design support	135,000	92,292	Ongoing	2007
Seaworthy Systems Inc	SSF vessels - construction inspection	600,000	73,737	Just starting	2007
Moffatt & Nichol - Berthing & Maintenance Facility	San Francisco docking - preliminary design	2,000,000	230,748	Ongoing	2005
U.S. Geological Survey	Systemwide bird studies	225,000	224,999	Nearing completion	2004
Coast & Harbor Engineering	Marine engineering	500,000	498,109	Nearing completion	2004
NextBus	Real time signs	450,000	326,452	Nearing completion	2005
Cambridge Systematics	Ridership forecasting	1,160,000	1,145,665	Nearing completion	2001

MEMORANDUM

---

**TO: Board Members**

**FROM: Steve Castleberry, CEO  
Nina Rannells, Deputy Director of Finance & Administration**

**SUBJECT: Approval of Fiscal Year 2007/08 Budget**

**Recommendation**

Approve by motion the Fiscal Year 2007/08 Budget for a six month period from January 1 through June 30, 2008.

**Background**

Senate Bill 976 amended Title 7.10 of the Government Code to create the San Francisco Bay Area Water Emergency Transportation Authority and establish the basic operating requirements of this agency. Chapter 5, Article 4, Section 66540.41 of the code requires WETA to prepare and implement annual budgets to support the agency operation. This item contains the proposed combined operating and capital budget for Fiscal Year 2007/08 as required. In order to provide an annual context, the budget is discussed in terms of the proposed WETA six month expenditures from January 1 through June 30, 2008, and in terms of the annual combined WTA/WETA work plan and expenditures for the period July 1, 2007 through June 30, 2008.

While SB 976 expanded the Authority's responsibilities for emergency response and provided potential for expanded flexibility of existing Regional Measure 2 (RM2) and other ferry operating funds, this budget does not anticipate receipt of additional operating funds in FY 2007/08 beyond RM2 funds previously available to WTA. Staff anticipates planning for use of any additional operating funds that might be available through the FY 2008/09 budget and grant allocation process established by MTC. Similarly, this budget assumes no additional capital funds beyond those previously available to WTA through RM2, San Mateo Transportation Authority and Federal grants. To date, Proposition 1B funds designated for ferry disaster response have not been released for use by the State Office of Emergency Services.

**Discussion**

**Budget Summary**

The proposed FY 2007/08 Budget, for the period January 1 through June 30, 2008, as provided in **Attachment 1** to this report, totals \$22,289,450, including \$1,636,350 in operating expenses and \$20,653,100 in capital projects and studies. Revenues to support this budget are available from RM2 capital and operating grants, Federal planning and capital grants and San Mateo sales tax measure funds. This represents an annual combined budget with WTA of \$28,915,600 including \$3,008,770 operating and \$25,906,830 capital expenses.

Budgeted WETA activities focus on continuing work planned and undertaken by WTA during the first half of fiscal year 2007/08. This includes continuing Spare Vessels construction and advancing South San Francisco (SSF) service development activities



including continuing service planning and outreach, concluding terminal design, and beginning both terminal and vessel construction activities. Planning activities to continue include development of environmental and preliminary design studies for Berkeley and Hercules services and investigation of opportunities for expanded berthing facilities in San Francisco and in the East Bay.

A more extensive discussion of the proposed FY 2007/08 Operating and Capital budgets follows.

**Operating Budget**  
**Operating Expense**

Operating expenses are budgeted to be \$1,636,350 for the six months from January through June (\$3,008,770 full year) and include general agency planning and administrative activities and real-time information systems and marketing activities to promote Authority programs and ferry services. Specific marketing activities undertaken this year included SSF outreach, Spare Vessels Groundbreaking Ceremony and the Lunch Bunch ferry promotion. DBE outreach efforts will take place this spring.

Operating budget line items are described in more detail below.

Wages and Fringe Benefits	FY 2007/08 wages and fringe benefits are budgeted at \$694,810 (\$1,385,000 full year) and includes the cost of benefits consistent with those provided under WTA and as stated in employee contracts. Benefits currently cost approximately 40% of salaries. The budget figure assumes full staffing (9 FT employees) and transfer of a portion of wages and benefits to capital projects requiring staff support. There are currently 8 FT employees.
Services	Contract and professional services are budgeted to cost \$719,720 (\$1,163,340 full year), in FY 2007/08. This expense category includes professional service contracts for legal, lobbying, accounting, finance, human resources, information technology, marketing, system planning, and other management and technical services. It also includes maintenance and security for Authority offices. The FY 2007/08 budget includes funds for the above general services as well as funds to support preliminary disaster preparedness planning efforts.
Materials And Supplies	Materials and Supplies are budgeted to cost \$35,760 (\$50,820 full year) in FY 2007/08. This expense category includes printing, office supplies, furniture and equipment, freight and postage, and promotional materials.
Utilities	Utilities are budgeted to cost \$10,320 (\$16,420 full year) in FY 2007/08. This expense category includes such items as electric, gas, water/sewer, and telephone expenses.
Insurance	Insurance is budgeted to cost \$0 (\$31,770 full year – paid by WTA) in FY 2007/08 consistent with prior year expenses. This amount will increase in future years when vessels are received and operating facilities are built.

Miscellaneous Expense	The FY 2007/08 budget for Miscellaneous Expense is \$49,500 (\$81,420 full year). This budget category includes items such as dues and subscriptions, travel and meetings, advertising, and other miscellaneous expenses.
Leases and Rentals	Leases and Rentals are budgeted to cost \$126,240 (\$280,000 full year) in FY 2007/08. This includes rent for the administrative offices at Pier 9 as well as meeting facility rent, tenant improvements, and equipment leases.

### **Operating Revenue**

Regional Measure 2	Up to \$3 million Regional Measure 2 funds are available annually to WTA/WETA on a reimbursement basis to support annual operating expenses. The FY 2007/08 budget anticipates use of the full \$3 million to support combined WTA/WETA activities and contracts.
Other	This revenue category includes \$60,000 in interest revenue and \$10,000 in other miscellaneous revenues.

### **Capital Program of Projects**

The Capital Budget includes 10 projects totaling \$72,112,700 million over the life of the projects. Of those costs, \$20,653,100 million is included in the WETA FY 2007/08 budget (\$25,906,830 million combined WTA/WETA expenses for the full year). This program includes construction of spare and SSF ferry vessels, construction of the SSF ferry terminal and multiple planning and environmental studies such as environmental and preliminary design work for Hercules and Berkeley terminals and planning for SF terminal improvements. It also includes a project to install mooring facilities/floats at the Pier 9 office site so that vessels can be docked at this space. Each project is described briefly below.

2 Spare Vessels	This \$17,000,000 project includes construction of 2 new vessels to be used to support Authority and other Bay Area spare vessel needs. These will initially be used to support SSF services. Work associated with this project includes vessel construction and delivery, construction management, inspection services, and purchase of spare parts. It is anticipated that all but \$1.6 million of the \$17 million budget will be spent through FY 2007/08, and that the first vessel will be delivered in Fall 2008.
SSF Vessels	This \$19,500,000 project will construct two 199 passenger-only ferry vessels for use in Authority services. WTA expenses in FY 2007/08 supported the RFP development and advertisement process and contract negotiation and award. Work is scheduled to proceed on vessel construction in Spring 2008 under WETA.
SSF Terminal Design	This \$2,500,000 project supports development of final design documents for the South San Francisco/Oyster Point ferry terminal and terminal facilities. Work on this project began in January 2007 and is expected to be completed in Spring 2008.

SSF Permitting/ Mitigation Study	This \$275,000 project includes funds to support oyster monitoring studies in Oyster Point as required by the SSF EIR mitigation plan and as approved by the WTA Board in May 2007.
SSF Terminal Construction	This \$26,000,000 project is for the construction of SSF terminal and related facilities at the Oyster Point Marina. The budget assumes WETA is able to secure San Mateo County Sales Tax funds and award a construction contract by the end of March 2008 in order to meet the construction window to complete this project in FY 2008/09.
Berkeley Environmental	This \$1,782,700 project includes development of the environmental studies for the Berkeley/Albany ferry terminal and service. An integral part of this work is development of the conceptual design for the proposed terminal and site. Environmental and conceptual design contracts were awarded in September 2005 and April 2006, respectively, and revised by the WTA Board in September 2006 to expand the number of sites studied as a part of the environmental process. It is anticipated that preliminary environmental documents will be available for review and comment in Spring 2008.
Hercules Environmental	This \$1,080,000 project includes developing a conceptual terminal design and layout and completing environmental studies related to the Hercules ferry terminal and associated multi-modal transit facilities. Environmental and conceptual design contracts were awarded in April 2006. It is anticipated that preliminary environmental documents will be available in Fall 2008.
Pier 9 Mooring/ Floats	This \$2,750,000 project includes design and implementation of mooring improvements/floats in order to enable vessels to dock at the Pier 9 administration/operations facility. Preliminary planning and environmental work is underway and staff hopes to advertise the project for construction in Spring 2008.
SF Terminal/ Berthing Studies	This \$600,000 project involves continuation of activities associated with developing terminal and berthing facilities for WTA services at the SF Ferry Building terminal. Staff anticipates bringing forward future study activities for Board consideration as discussions move forward with the Port of SF during the year.
Wake Wash and Rafting Bird Studies	This project included multi-year studies required as a part of WTA's initial operations plan. These studies have been largely completed and final invoices are being processed. Any additional wake wash studies required will be conducted as a part of specific project and service development plans.

**Capital Revenues**

Regional Measure 2	\$14,246,395 Regional Measure 2 capital funds are budgeted to support the majority of FY 2007/08 capital planning and construction activities. Combined WTA/WETA revenues for the year total \$19,500,125.
-----------------------	--



- Federal Federal capital construction funds in the amount of \$3,306,705 from the Ferry Boat Discretionary and SAFETEA-LU are anticipated to be used in FY 2007/08 to support the construction of the SSF terminal and SSF vessels.
- San Mateo Sales Tax San Mateo Measure A sales tax funds in the amount of \$3,100,000 are budgeted to be used in FY 2007/08 to support construction of the SSF ferry terminal. These funds still remain to be allocated by the San Mateo County Transportation Authority, which will be required to support terminal construction.

**Financial Implications**

This item establishes the work plan and related six month budgeted expenditures for WETA in FY 2007/08.

**Options**

Approve or revise expenditure plan to meet different priorities for delivering plans and services.

\*\*\*END\*\*\*

Attachment 1

San Francisco Bay Area Water Emergency Transportation Authority  
FY 2007/08 Capital Budget

Expense

Project Description	Total Project	Prior Years	FY 2007/08 WTA Actual	FY 2007/08 WETA Budget	FY 2007/08 Combined	Future Year
2 Spare Vessels	17,000,000	2,616,100	3,755,690	8,994,310	12,750,000	1,633,900
South San Francisco Service						
SSF Vessels	19,500,000	40,970	62,960	3,937,040	4,000,000	15,459,030
SSF Terminal Design	2,500,000	371,400	680,960	1,447,640	2,128,600	-
SSF Permitting/Mitigation Studies	275,000	2,390	38,700	188,910	227,610	45,000
SSF Terminal Construction	26,000,000	-	-	5,000,000	5,000,000	21,000,000
Subtotal SSF Service	48,275,000	414,760	782,620	10,573,590	11,356,210	36,504,030
Berkeley/Albany Environmental/Prelim Design	1,782,700	501,920	532,030	548,750	1,080,780	200,000
Hercules Environmental/Prelim Design	1,080,000	466,900	84,780	178,320	263,100	350,000
Pier 9 Mooring/Floats	2,750,000	-	5,500	244,500	250,000	2,500,000
SF Terminal/Berthing Studies	600,000	147,990	82,220	107,780	190,000	262,010
Wake Wash and Rafting Birds	625,000	608,260	10,890	5,850	16,740	-
<b>Total Project Expense</b>	<b>72,112,700</b>	<b>4,755,930</b>	<b>5,253,730</b>	<b>20,653,100</b>	<b>25,906,830</b>	<b>41,449,940</b>

Revenues

	Total Project	Prior Years	FY 2007/08 WTA Actual	FY 2007/08 WETA Budget	FY 2007/08 Combined	Future Year
RM 2 Capital	40,928,200	4,755,930	5,253,730	14,246,395	19,500,125	16,672,145
San Mateo Sales Tax	15,000,000	-	-	3,100,000	3,100,000	11,900,000
Federal	16,184,500	-	-	3,306,705	3,306,705	12,877,795
Other	-	-	-	-	-	-
<b>Total Revenues</b>	<b>72,112,700</b>	<b>4,755,930</b>	<b>5,253,730</b>	<b>20,653,100</b>	<b>25,906,830</b>	<b>41,449,940</b>

**MEMORANDUM**

---

**TO: Board Members**

**FROM: Steven Castleberry, CEO**

**SUBJECT: Approval of Administrative Code**

**Recommendation**

Approve by motion WETA Administrative Code.

**Background**

The agency's Administrative Code establishes the rules and procedures under which the agency operates. The WTA Administrative Code (Code) was approved early in the existence of the organization, and has been amended over the years as necessary.

The Code includes sections on the following topics.

- Standing Board Committees
- Contract approval procedures
- Budgeting approvals
- Policies for the payment of goods and services
- Travel and travel reimbursement policies
- Conflicts of interest
- Contracting policies, including competitive bidding, approvals, invitations for bids, contract awards, and contract amendments
- Equipment leasing

WETA needs to adopt an Administrative Code to guide its actions. WETA will be subject to both Federal and local audits on the use outside funding. Key to passing those audits will be the agencies conformance to the rules it establishes for itself (as well as conformance to Federal and other requirements).

The WTA Administrative Code is attached. There are three options for developing a WETA Administrative Code.

1. Approve the WTA Administrative Code as is (with appropriate revisions to reflect the new agency name and Government Code references), and amend it over time as needed.
2. Approve the WTA Administrative Code as is, and assign a Board Committee to develop amendments for approval of the full Board.
3. Do not approve an Administrative Code and assign a Board Committee to develop a new code for Board approval.

**Financial Implications**

There is no direct financial affect of this action.

**Options**

Discussed above.

\*\*\*END\*\*\*



MEMORANDUM

---

**TO: Board Members**

**FROM: Nina Rannells, Deputy Director of Finance & Administration**

**SUBJECT: Approval of Human Resources Guide**

**Recommendation**

Approve by motion WETA Human Resources Guide.

**Background**

WETA needs to adopt a Human Resources Guide to establish the rules and procedures under which the agency hires and retains employees and to establish guidelines for employee conduct. The agency is currently operating under WTA's guidelines, which were approved by WTA's Board of Directors in December 2007. Prior to this, WTA employees worked under guidelines provided by Local Government Services, a Joint Powers Authority that provided contract employees and HR services to WTA.

The Human Resources Guide developed and used by WTA include a comprehensive set of policies covering the following employment areas:

- Legal requirements
- Employment practices
- Employee benefits
- Agency rules and regulations

These policies were assembled through survey of similar-sized Bay Area transportation agencies and review and input from WTA attorneys to ensure that the policies are comprehensive and up-to-date.

Staff recommends that WETA adopt the WTA Human Resources policies for permanent use by WETA. The proposed WETA Human Resources Guide is provided as **Attachment 1** to this report.

**Financial Implications**

There is no direct financial impact related to this action.

**Options**

1. Approve the WETA Human Resources Guide as is, and assign a Board Committee to develop amendments for approval of the full Board.
2. Do not approve a Human Resources Guide and assign a Board Committee to develop a new set of Human Resources policies for Board approval.

\*\*\*END\*\*\*

# **Human Resources Guide**

## **San Francisco Bay Area Water Emergency Transportation Authority**

February 2008

# ***Table of Contents***

	Policy #
<b>Section I: Legal</b>	
Introduction/Right to Revise	101
Equal Employment Opportunity	102
Americans with Disabilities	103
Workers' Compensation Program	104
Unlawful Harassment	105
Protection Against Retaliation	106
Employment Eligibility	107
Employment At Will	108
Business Ethics	109
<b>Section II: Employment Practices</b>	
Recruitment and Selection	201
Employment Status	202
Introductory Period	203
Compensation Policy	204
Performance Management	205
Personnel Records	206
Employment of Relatives	207
Hours of Work	208
Overtime Pay	209
Mandatory Meetings/Training	210
Payment of Wages	211
Attendance and Tardiness	212
Progressive Discipline	213
Standards of Conduct	214
Termination of Employment	215
<b>Section III: Benefits</b>	
Health and Welfare Benefits	301
Holidays	302
Vacation	303
Sick Leave	304
Leaves of Absence	305
<b>Section IV: Rules and Regulations</b>	
Gratuities	401
Conflict of Interest	402
Substance Abuse	403
Security and Privacy	404
Computer/E-Mail/Electronic Media	405

Agency Property	406
Safety and Workplace Violence	407
Dress Code	408
Visitors and Solicitations	409
Driving Policy	410





# **HUMAN RESOURCES POLICY**

**POLICY #101**

**SUBJECT: INTRODUCTION/RIGHT TO REVISE**

## **POLICY**

The Human Resources Policy Manual contains the human resources policies, practices, guidelines and procedures that the San Francisco Bay Area Water Emergency Transportation Authority (“the Authority”) has in effect at the time of publication. All employees should read, understand, and comply with all provisions of the handbook. It describes many of the responsibilities as an employee and outlines the programs developed by the Authority to benefit employees. One of our objectives is to provide a work environment that is conducive to both personal and professional growth.

All previously issued human resources manuals, handbooks and/or policy statements or memoranda are superseded by this policy manual.

The Authority reserves the right to revise, modify, delete or add to any and all policies, procedures, work rules or benefits stated in this manual or in any other document except for the policy of at-will employment. Any changes must be in writing and must be signed by the Chief Executive Officer of the Authority or authorized designee. Any such written changes to this manual will be generally distributed so that managers and employees will be aware of the new policies or procedures. No oral statements or representations can in any way change or alter the provisions of this manual.

The policies and practices set out in this manual or in any other personnel document, including benefit plan descriptions, are not intended to imply a contractual relationship, nor are they intended to create a promise or representation of continued employment for any employee.

Reference to the Authority throughout this manual refers to the organization, The San Francisco Bay Area Water Emergency Transportation Authority, and its staff. It is intended that wherever reference is made in this manual to decisions/recommendations being made or actions taken by the Authority, those decisions/recommendations are being made by the Chief Executive Officer and/or his/her authorized designee.

This manual will specifically reference the Authority’s Governing Board when decisions/ recommendations are referred to that level.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

# **HUMAN RESOURCES POLICY**

**POLICY#102**

**SUBJECT: EQUAL EMPLOYMENT OPPORTUNITY**

## **POLICY**

The Authority is an equal opportunity employer and makes employment decisions on the basis of merit. The Authority's policy prohibits unlawful discrimination based on race, color, sex, religion, marital status, age, national origin or ancestry, physical or mental disability, medical condition, pregnancy or pregnancy related condition, sexual orientation, or any other consideration made unlawful by federal, state or local law, ordinance or regulation. All such discrimination is unlawful.

Discrimination is prohibited on the basis of a perception that a person has any of the above characteristics, or that the person is associated with a person who has, or is perceived to have, any of the above characteristics. Federal and state laws and Authority policy also prohibit retaliation against anyone who has expressed a good faith concern about unlawful discrimination or harassment against the employee or another individual, or who has participated in the investigation of any such concern.

The Authority is committed to complying with all applicable laws (including federal, state, or local law or ordinance or regulation), providing equal employment opportunities. This commitment applies to all persons involved in the operations of the Authority and prohibits unlawful discrimination by any employee of the Authority and to all phases of the employment relationship.

To comply with applicable laws ensuring equal employment opportunities to qualified individuals with a disability, Authority will make reasonable accommodations for the known physical or mental limitations of an otherwise qualified individual with a disability who is an applicant or an employee unless undue hardship would result.

Any applicant or employee who requires an accommodation in order to perform the essential functions of the job should contact the Chief Executive Officer or his/her designee and request such an accommodation. The individual with the disability should specify what accommodation he or she needs to perform the job. The Authority then will conduct an investigation to identify the barriers that make it difficult for the applicant or employee to have an equal opportunity to perform his or her job. The Authority will identify possible accommodations, if any, that will help eliminate the limitation. If an accommodation is reasonable and will not impose an undue hardship, the Authority will make an accommodation.

In summary: the Authority is an equal opportunity employer and discriminatory behavior is not acceptable at the Authority. It is inexcusable and the Authority is committed to not tolerating it in its work environment.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

# **HUMAN RESOURCES POLICY**

**POLICY#103**

**SUBJECT: AMERICANS WITH DISABILITIES**

## **POLICY**

It is the Authority's policy and practice to comply with the Americans with Disabilities Act and ensure equal employment opportunity for all qualified persons with disabilities. The Authority is committed to ensuring non-discrimination in all terms, conditions and privileges of employment. The Authority will make reasonable accommodations for the known physical or mental limitations of an otherwise qualified individual with a disability who is an applicant or an employee unless undue Authority hardship would result.

Qualified individuals with disabilities are entitled to equal pay and other forms of compensation as well as equal treatment and reasonable accommodation in job assignments. Employment decisions are based upon the essential responsibilities of the position, in accordance with defined criteria, not the disability of the individual.

## **GUIDELINES**

1. An applicant or employee who requires an accommodation in order to perform the essential functions of the job should contact the Chief Executive Officer or authorized designee and specify what accommodation is needed to perform the job.
2. The Chief Executive Officer or authorized designee will conduct an investigation to identify the barriers that make it difficult for the applicant or employee to have an equal opportunity to perform the job. The applicant or employee will be required to present a certification from a healthcare provider as to what job functions he or she can perform, for which job functions he or she needs an accommodation and what accommodation is recommended. The Authority will analyze all information and identify possible accommodations, if any, that will help eliminate the limitation. If the accommodation is reasonable and will not impose an undue hardship, the Authority will make the accommodation.
3. An employee who believes that he/she have been subject to any form of unlawful discrimination shall provide a verbal or written complaint to their manager, the Chief Executive Officer or authorized designee. The complaint should be specific and should include the names of the individuals involved and the names of any witnesses.
4. The Chief Executive Officer or authorized designee will immediately

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**



undertake an effective, thorough and objective investigation and attempt to resolve the situation. If the Chief Executive Officer or authorized designee determines that unlawful discrimination has occurred, effective remedial action will be taken commensurate with the severity of the offense. Appropriate action will also be taken to deter any future discrimination. Whatever action is taken will be made known to the affected employee and the Authority will take appropriate action to remedy any loss to the employee as a result of the discrimination.

5. The Authority will not retaliate against the employee for filing a complaint and will not knowingly permit retaliation by management employees or coworkers.
6. During the recruiting and interviewing process, managers may inquire generally as to whether a prospective employee can perform the essential functions of a job, with or without accommodation, but cannot inquire as to whether or not an individual has any type of disability.

# ***HUMAN RESOURCES POLICY***

**POLICY#104**

**SUBJECT: WORKERS' COMPENSATION PROGRAM**

## **POLICY**

Workers' Compensation is a State-mandated benefit provided to employees who are injured on the job or who become injured as a result of employment. Employees are entitled to medical treatment that is reasonably required to cure or relieve the injury or illness. For more information about the Authority's workers' compensation insurance policy and insurance carrier, please ask the Chief Executive Officer or authorized designee.

# **HUMAN RESOURCES POLICY**

**POLICY#105**

## **SUBJECT: UNLAWFUL HARASSMENT**

### **POLICY**

Federal and state laws and Authority policy prohibits employment harassment against applicants for employment and employees on the basis of race, color, religion and religious creed, sex, pregnancy, marital status, age, national origin, ancestry, physical and mental disability, medical condition, or sexual orientation, Harassment is also prohibited on the basis of a perception that a person has any of the above characteristics, or that the person is associated with a person who has, or is perceived to have, any of the above characteristics.

The Authority is committed to complying with all applicable laws (including federal, state, or local law or ordinance or regulation), prohibiting harassment. This commitment applies to all phases of the employment relationship and to all persons involved in the operations of the Authority and prohibits unlawful harassment by any employee of the Authority. All Authority employees are responsible for helping to assure that the Authority avoid unlawful harassment.

Federal and state laws and Authority policy also prohibits retaliation against anyone who has expressed a good faith concern about unlawful or harassment against the employee or another.

The Authority does not allow anyone, including any supervisor, any employee, partner, vendor, or client, to unlawfully harass Authority employees or applicants for employment. Harassment is also prohibited against any person providing services to the Authority pursuant to a contract, as that term is defined by the Fair Employment and Housing Act. Further, this policy applies at all Authority locations, Authority-sponsored social or other events, as well as activities at which employees represent the Authority.

Harassment consists of unwelcome conduct, whether verbal, physical, or visual. The Authority will not tolerate harassing conduct on these bases that affects tangible job benefits, that interferes unreasonably with an individual's work performance, or that creates an intimidating, hostile, or offensive working environment. For example, it is unlawful for males to sexually harass females or other males, and for females to sexually harass males or other females. Sexual harassment on the job is unlawful whether it involves co-worker harassment, harassment by a partner, or by persons doing business with or for the Authority.

Prohibited unlawful harassment includes, but is not limited to, the following behavior:

- A. Verbal conduct such as making or using sexually suggestive or

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

derogatory comments, epithets, derogatory jokes or comments, slurs or unwanted sexual advances, invitation or comments about an employee's body or dress;

B. Visual conduct such as leering, making sexual gestures, or displaying sexually suggestive or derogatory objects, pictures and/or sexually oriented posters, photography, cartoons, drawings, or e-mails;

C. Physical conduct such as assault, unwanted touching, blocking normal movement or interfering with work because of sex, race or any other protected basis;

D. Verbal abuse of a sexual nature, graphic verbal commentary about an individual's body, sexually suggestive or derogatory words to describe an individual, suggestive or obscene letters, notes or invitations;

E. Threats and demands to submit to sexual requests as a condition of continued employment, or to avoid some other loss, and offers of employment benefits in return for sexual favors; and

F. Retaliation for having reported or threatened to report harassment. In summary: Harassment is not acceptable and inexcusable behavior. The Authority is absolutely serious about eradicating it from the work environment.

## **Procedures for Handling Complaints of Discrimination and/or Harassment**

All supervisors are expected to uphold Authority standards by providing a climate of open communication for employees without fear of retaliation or reproach. If you believe that you have been subjected to any form of unlawful discrimination and/or harassment, you should immediately notify and provide a written complaint to your supervisor or the Chief Executive Officer or authorized designee as soon as possible after the incident. The Authority encourages all employees to report any incidents of discrimination and/or harassment forbidden by this policy immediately so that complaints can be quickly and fairly resolved.

Your complaint should include details of the incident(s) and the names of the individuals involved and the names of any witnesses. Supervisors will refer all complaints to the Chief Executive Officer or authorized designee, as soon as possible. In the event the complaint involves the Chief Executive Officer, the complaint will be referred to the President of the Board of Directors. The Authority will immediately undertake an investigation and attempt to resolve the situation. To the fullest extent that it is practical, the concern, the investigation, and the resolution of the concern will be kept confidential. Failure on the part of a supervisor to report



allegations of discrimination and/or harassment will lead to disciplinary action up to and including termination, if it is determined that a supervisor had knowledge but did not report the discrimination and/or harassment to the Chief Executive Officer or authorized designee.

If the Authority determines that unlawful discrimination and/or harassment has occurred, effective remedial action will be taken in accordance with the circumstances involved. Any employee determined by the Authority to be responsible for unlawful discrimination and/or harassment will be subject to appropriate disciplinary action, up to and including termination of employment. Pursuant to California law, any employee who engaged in unlawful harassment may be held personally liable for damages.

An Authority representative will advise all parties concerned of the results of the investigation and whatever action is taken will be made known to the complainant. The Authority will not retaliate against you for filing a complaint or against anyone participating in any investigation and will not tolerate or permit retaliation by management, partners, employees or co-workers (see below).

You should also be aware that the Federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing Commission are the two agencies that investigate and prosecute complaints of prohibited discrimination and harassment in employment. If you think you have been discriminated against, that you have been harassed, or that you have been retaliated against for resisting or complaining, you may file a complaint with the appropriate agency. You may also contact the nearest office of the EEOC at (800) 669-4000 or DFEH at (800) 884-1684.

# ***HUMAN RESOURCES POLICY***

**POLICY #106**

**SUBJECT: PROTECTION AGAINST RETALIATION**

## **POLICY**

The Authority prohibits any employee from retaliating against another employee for reporting, filing, testifying, assisting or participating in any investigation, proceeding or hearing conducted by the Authority or a federal or state enforcement agency. Please report any suspected retaliation to your supervisor or the Chief Executive Director or authorized designee as soon as possible. Any report of retaliatory conduct will be immediately, objectively and thoroughly investigated. If a report of retaliation is substantiated, appropriate corrective action, up to and including termination, will be taken.

# ***HUMAN RESOURCES POLICY***

**POLICY #107**

**SUBJECT: EMPLOYMENT ELIGIBILITY**

## **POLICY**

In accordance with The Immigration and Control Act of 1986, the Authority hires only those individuals who are lawfully authorized to work in the United States.

Each new employee must provide documentation to the Authority to establish employment eligibility and identification. A completed Employment Eligibility Verification Form I-9 must be furnished to the Authority within seventy-two (72) hours of date of hire. Providing false documentation or making false statements on the verification form shall be grounds for immediate termination.

# ***HUMAN RESOURCES POLICY***

**POLICY#108**

**SUBJECT: EMPLOYMENT AT WILL**

## **POLICY**

The Authority personnel are employed on an at-will basis. Employment at-will may be terminated with or without cause and with or without notice at any time by the employee or the Authority.

Nothing in this Handbook shall limit the right to terminate at-will employment. No manager, supervisor or associate of the Authority has any authority to enter into an agreement for employment for any specified period of time or to make an agreement for employment on other than at-will terms. Only the Board of Directors of the Authority has the authority to make any such agreement, which is binding only if it is in writing and signed by the Board.



# **HUMAN RESOURCES POLICY**

**POLICY #109**

## **SUBJECT: BUSINESS ETHICS**

It is the policy of the Authority to conduct business in accordance with the letter and the spirit of the law and in conformity with ethical standards.

Accordingly, employees must not take any action on behalf of the Authority that violates any law or regulation. Employees must adhere to high moral and ethical standards in the conduct of business. Employees may not engage in activity that results in conflict of interest with the Authority or that reflects unfavorably on its integrity. Employees violating these standards are subject to disciplinary action, up to and including termination.

In situations and on issues involving ethical or moral judgments, employees may sometimes have difficulty in determining the correct course of action. In such situations, employees are urged to discuss the matter with the Chief Executive Officer or authorized designee.

## **GUIDELINES**

The following are guidelines for ethical conduct that the Authority employees are expected to practice.

1. The Authority considers itself the primary employer. An employee may not engage in employment or outside business activity that may constitute a conflict of interest for the employee or the Authority. An employee must advise a Manager or the Chief Executive Officer before engaging in any secondary employment or business activity.
2. The Authority funds and property may not be used for any unlawful purpose. This prohibition includes, but is not limited to: (i) unlawful political contributions, (ii) payments to governmental officials or employees, (iii) illegal rebates or refunds and (iv) payments or commitments made with the understanding or under circumstances that would indicate that these payments are kickbacks, bribes or to obtain influence.
3. No unrecorded fund shall be established or maintained for any purpose.
4. All financial transactions shall be promptly recorded on the books of the Authority. No false or misleading entry shall be made for any reason. All substantive commitments and agreements must be documented, properly authorized and disclosed to the Board of Directors.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

5. Employees shall not make commitments or agreements beyond what is authorized by the Board of Directors. This authorization may be in the budget document or by explicit policy or resolution, or minute order.
6. No payments shall be made with the understanding that any part is to be used for any purpose other than that described by the records supporting the payment.
7. Gifts of cash or cash equivalents are never permissible regardless of amount. Gifts, favors and entertainment may be given to others at the Authority expense only if they are consistent with accepted business practices and are of such limited value that they cannot be considered as a bribe or pay-off (see "Gratuities", policy 401);
8. The highest standards of honorable and ethical conduct must be observed in all relationships with other agencies and the public. It is prohibited to make disparaging statements, take any other unfair actions or participate in any activity intended to damage other agencies or the public.
9. If an employee is asked by another employee or supervisor to (a) perform any act that appears improper, (b) make any improper entry on the Authority's records or reports, (c) omit any entry that should be made, (d) suppress or hide any information that may result in detriment to the Authority or be in violation of the law or (e) disclose information of a confidential nature except when legitimately required, it is that employee's duty and responsibility to bring the matter to the attention of the Chief Executive Officer or authorized designee. An employee who files a grievance of this nature will not be retaliated against.
10. The Authority letterhead/stationery may be used only for Authority matters and not for personal or non-official correspondence.
11. Employees are expected to treat each other with courtesy, honesty, respect and understanding. Job-related problems should be discussed openly and differences resolved fairly, professionally and promptly. Confidential matters pertaining to employees will be respected.
12. Employees are expected to be polite, courteous, prompt and attentive to every person who calls or visits the Authority office. When a situation arises where the employee does not feel comfortable or capable of handling an issue from the public, the employee's supervisor should be contacted immediately for assistance.
13. Employees are responsible for safeguarding confidential information obtained during employment. In the course of the work, employees may have access

to confidential information regarding the Authority, its elected officials or fellow employees. It is the employee's responsibility to protect and in no way reveal any such information unless it is necessary for the employee to do so in the performance of duties or required by law. Employees may be approached for interviews or comments by the news media. Only contact people designated by the Chief Executive Officer may comment to news reporters on policies or events that have an impact on the Authority.

It would be virtually impossible to cite examples of every type of activity that might give rise to a question of unethical conduct. Therefore, it is important that employees rely on their own good judgment in the performance of their duties and responsibilities. When those situations occur where proper course of action is unclear, employees are to request advice and counsel from the Chief Executive Officer of the Authority. The reputation and good name of the Authority depends upon the honesty and integrity of each employee.

# **HUMAN RESOURCES POLICY**

**POLICY #201**

## **SUBJECT: RECRUITMENT AND SELECTION**

### **POLICY**

The Authority follows the following procedure when filling open positions.

### **GUIDELINES**

#### **1. Open Posting**

All vacant positions are posted and advertised to the general public. Qualified Authority employees may compete in the process. However, the Chief Executive Officer and Authority's Governing Board retain the discretion to promote from within without posting or advertising.

#### **2. Job Announcement and Application Package**

The job announcement and other advertisement shall clearly state when applications must be submitted.

All job applicants shall complete and sign an application form. The form must be complete and accurate, regardless of whether or not a resume is attached. Refusal to provide a completed application form may automatically disqualify an applicant from further consideration.

A facsimile of the application form is acceptable by the Final Filing Date but must be followed by a hard-copy of the application form.

#### **3. Application Review**

The Chief Executive Officer, or authorized designee, shall review all of the application packages and determine which applicants are most qualified and should be further considered for employment. After such review and selection, all applicants shall be notified of their status.

#### **4. Examination/Interview Process**

A candidate may be required to participate in a variety of examination processes which may include an interview and/or written examination, physical ability or skills, or any combination thereof.



## **5. Reference Checking**

All job applicants shall provide information on previous employment and other references as required on the application form. Candidates shall also sign a release form to permit the Authority to obtain other appropriate background reference information.

The Chief Executive Officer, or authorized designee, shall be responsible for checking and verifying all reference sources. The information obtained during the background and reference review shall not be discussed with current or prospective employees. An offer of employment shall not be made until the reference checking is completed.

## **6. Offer**

Only the Chief Executive Officer or authorized designee is authorized to make a written offer to any prospective employee.

## **7. Hire Date**

The employee's first day of work shall be considered the employee's anniversary date for purposes of seniority and benefits determination.

An employee's anniversary date may change if the employee receives a promotion or is granted a leave of absence that requires bridging two periods of uninterrupted employment.

The Chief Executive Officer or authorized designee shall provide a confirming written letter of offer.

## **8. New Employee Registry (NER)**

Effective July 1, 1998, all employers are required to report newly hired employees to the New Employee Registry (NER). This program is designed to help law enforcement identify and collect child support payments from delinquent parents. The Authority will submit form DE 34 to the Employment Development Department, within 20 days of hiring a new employee.

# **HUMAN RESOURCES POLICY**

**POLICY #202**

**SUBJECT: EMPLOYMENT STATUS**

## **POLICY**

The Authority employs people in one of four different kinds of status: Introductory, Regular Full-Time, Regular Part-Time, and Temporary.

### **1. Employment Categories**

#### **A. Introductory Employee**

New employees shall serve a period of close supervision and evaluation in order to assess their ability and adaptation. This period shall be six (6) months from the date of hire into a regular position. Introductory employment may be terminated by the Chief Executive Officer at any time with or without notice and with or without cause.

Introductory employees will accrue benefits, such as vacation and sick leave at the designated accrual rate.

#### **B. Regular Full-Time Employee**

Employees in this category are those who regularly work forty (40) hours per week on a continuous scheduled basis following satisfactory completion of a introductory period. Employees in this category are eligible to participate in all benefit programs offered by the Authority.

#### **C. Regular Part-Time Employee**

Employees in this category are those who complete a satisfactory introductory period and regularly work twenty (20) hours or more but less than forty (40) hours per week on a continuous basis. Employees in this category are required to participate in the Public Employees Retirement System (PERS), and may participate in the other benefit programs on a pro-rated basis.

#### **D. Temporary Employee**

Employees in this category are those holding jobs of limited or specified duration arising out of special projects, a position vacancy pending appointment, the absence of a position incumbent, abnormal work loads, emergencies, or other reasons

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

established by the Authority. Temporary employees are not eligible to participate in any benefits other than those that are mandated by state and/or federal laws and regulations. Temporary employee status is not considered for seniority or benefit longevity purposes if the employee is subsequently hired as a regular full-time or part-time employee. (See Policy #301, *Health and Welfare Benefits*, for additional information.)

## **2. Employment Classifications**

All Authority positions are classified as either exempt or non-exempt according to federal and state legal guidelines.

### **A. Exempt Employee**

If the position is administrative, professional or executive, as defined by federal and applicable state law, then it shall be classified as an exempt position. No overtime compensation will be paid to exempt employees.

### **B. Non-exempt Employees**

Employees designated as non-exempt are paid on an hourly basis with overtime compensation paid for more than 8 hours in a day and more than 40 hours in one week. Non-exempt employees may also choose to take compensatory time off in lieu of overtime pay.

# **HUMAN RESOURCES POLICY**

**POLICY #203**

## **SUBJECT: INTRODUCTORY PERIOD**

### **POLICY**

The introductory period is an intrinsic part and extension of the employee selection process during which the employee will be considered in training and under careful observation and evaluation by supervisory personnel. Generally, this period will be utilized to train the employee for his/her job responsibilities and to provide for the release of any probationary employee, with or without cause at the sole discretion of the Chief Executive Officer.

### **GUIDELINES**

1. With the exception of temporary employees, all other newly appointed employees shall serve an introductory period of six months. This period can, with notice, be extended up to one year at the recommendation of the supervisor and the approval of the Chief Executive Officer or authorized designee.
2. During the introductory period, the Chief Executive Officer or authorized designee may dismiss an employee for any reason, with or without cause and with or without notice, at the Chief Executive Officer's or authorized designee's sole discretion.
3. A new employee terminated during the introductory period needs to be told only that the introductory period was not satisfactorily completed and the employee is terminated.
4. Employees promoted or transferred to a new position shall serve an introductory period before obtaining regular status in the position to which the employee was promoted or transferred.



# **HUMAN RESOURCES POLICY**

**POLICY #204**

## **SUBJECT: COMPENSATION POLICY**

### **POLICY**

The Authority's compensation program is designed to attract, retain, motivate and reward the best possible work force in an equitable manner. To accomplish this, the Authority has established the following plan, provisions and standards for employee compensation.

### **GUIDELINES**

#### **1. Salary and Wage Plan**

A salary program is designed to pay each employee a salary determined by the competitive job market, job responsibilities and the required level of expertise. The compensation program is designed to reward individual performance.

The Board periodically authorizes a Salary and Benefits Resolution establishing appropriate salary ranges and benefits for employees. The Chief Executive Officer or authorized designee has overall responsibility for recommending, interpreting, and monitoring the salary and performance management systems. Managers are responsible for participating and providing input in the performance management program. The Chief Executive Officer or authorized designee discusses performance and salary-related issues with all employees.

#### **2. Salary Structure**

The salary structure assigns each Authority position to a salary range that identifies minimum and maximum rates, based on comparable positions in both the public and private sectors, according to the skills, responsibilities and qualifications that the position requires, rather than individual job performance or qualifications of the incumbent in that position. Each position is then assigned an appropriate salary range.

Prior to the Board's review and adoption of the Salary and Benefits Resolution, the Chief Executive Officer or authorized designee will review the compensation plan to evaluate current market value and labor market inflation. If appropriate, the Chief Executive Officer or authorized designee will recommend that ranges be adjusted to reflect market changes.

### **3. Performance Review**

Accurate performance reviews are particularly important and will be the basis for any salary adjustments. Managers are responsible for reviewing each employee's performance on an annual basis. Based upon the results of the annual performance review, the Chief Executive Officer will make salary adjustments, within the approved salary ranges and the adopted budget for the following fiscal year.

### **4. Timing of Increases**

Increases will be considered on an annual basis unless a promotion occurs during the year, in which case the raise will be pro-rated.

### **5. Start Salary**

The starting rate of pay for a newly hired employee shall be determined by the Chief Executive Officer or authorized designee. The decision as to where to hire the person within the pre-determined salary range is made according to the skills, abilities, knowledge and experience the employee brings to the Authority.

### **6. Promotions**

An employee who is promoted to a higher classification within the established compensation plan should receive an increase that reflects the employee's performance and experience. Whether or not the employee should have a salary increase is determined upon job knowledge and abilities and others performing at a similar level within the same position class.

# **HUMAN RESOURCES POLICY**

**POLICY #205**

**SUBJECT: PERFORMANCE MANAGEMENT**

## **POLICY**

The performance management system at the Authority is designed to motivate, recognize and reward employees' efforts and achievements. The Authority strives to create a work environment in which employees are recognized and rewarded for their contributions and where employees understand, contribute and help meet the Authority's overall goals.

Managers are encouraged to give individual feedback to employees on a regular basis. The Authority's performance management system is designed so that each employee shall be evaluated formally at least once during the year.

## **GUIDELINES**

### **1. Feedback**

Managers shall give feedback throughout the year regarding an employee's success in achieving job expectations and job requirements. Employees need to know if they are completing performance objectives satisfactorily. Regular feedback also enables managers to determine if performance objectives require adjusting due to changes in agency or job priorities.

New employees, or employees who are not performing as well as expected, should receive more frequent feedback to provide additional guidance. Disciplinary action may be needed for an employee who is not performing at a satisfactory level.

### **2. Performance Objectives**

Goal-oriented performance objectives are mutually agreed upon between the manager and the employee at the beginning of the evaluation period and documented on the evaluation form. It is important that employees understand the manager's expectations. Both performance and behavioral objectives may be established.

### **3. Types of Review**

#### **A. Introductory Period**

An introductory period progress evaluation is given to new employees at three months and at six months to determine if the individual is well suited for

the position to which they are assigned. Before the end of the six-month introductory period, a determination should be made regarding retention or termination of the employee.

**B. Informal Feedback**

Managers shall conduct informal feedback sessions during the year and document those sessions for use in completing the employee's annual performance evaluation.

**C. Annual Review**

An annual written review is required for each employee. Except as approved by the Chief Executive Officer or authorized designee, all employees will be evaluated within a one-month time period. That timeframe, established by the Chief Executive Officer or authorized designee, will take place in the spring of each year.

The evaluation shall include documented information regarding past performance, the success of meeting goals and objectives previously agreed to and include goals and objectives for the upcoming year. The preparation of a developmental plan is optional. The performance appraisal shall cover the entire period of evaluation

The manager shall complete the Performance Appraisal form during this review referencing the employee's job description and objectives previously agreed to. The Chief Executive Officer or authorized designee will review the manager's completed performance appraisal before it is provided to the employee. The employee will then be provided a draft copy of the completed performance appraisal.

After the employee has had an opportunity to review the written evaluation, the employee, his/her supervisor and the Chief Executive Officer or authorized designee will meet to discuss its contents. If appropriate and agreed to, changes can be made to the draft document.

**4. Performance Appraisal Form Processing**

After the performance appraisal interview is completed, a copy of the completed performance appraisal form will be provided to the employee. The employee may submit a written response or written comments, which will be attached to the form for retention in the employee's personnel file. After the manager and the employee have signed the form, the form will be submitted for review and signature to the Chief Executive Officer or authorized designee.



After all signatures are affixed, a copy will be made for the employee and the supervisor and the original will be retained in the employee's personnel file.

# **HUMAN RESOURCES POLICY**

**POLICY #206**

## **SUBJECT: PERSONNEL RECORDS**

### **POLICY**

#### **1. Maintenance of Records**

Personnel records are confidential documents maintained in accordance with State and Federal law. All personnel evaluations, as well as other forms, letters, and memorandums are to be addressed to or signed by the employee, acknowledging receipt of a copy prior to being placed in the employee's personnel file. If an employee refuses to sign a form or letter, the supervisor shall sign as a witness to the fact that an employee has refused to sign, and the document shall then be placed in the employee's personnel file.

#### **2. Update**

Each employee is responsible for notifying the Chief Executive Officer or authorized designee of changes in name, address, telephone number, driver's license, number of dependents, marital status, beneficiary, education certificates or any other pertinent information.

#### **3. Access/Confidentiality**

Personnel employment records and employee health records are confidential and the Authority will restrict access to and disclosure of personnel files to authorized individuals within the Authority who have a legitimate business reason to see such files. Each employee has a right to inspect his/her own personnel file and is entitled to make notes. An employee does not have an absolute right to a copy of the file, except for documents which the employee has previously signed. Employees may review their own file upon request by scheduling an appointment with the Chief Executive Officer or authorized designee. Files must be reviewed in the Authority office in the presence of a manager. Supervisors may review the personnel file of those employees they supervise.

The Authority will also disclose personnel files to law enforcement agents if required by law.

#### **4. Employment Reference/Credit Inquiries**

The Authority is authorized to verify position and employment dates only. No other reference information will be released. Any other information, including address and phone numbers, may be released only with a written authorization from the employee. All reference inquiries regarding Authority employees shall be referred to the Chief Executive Officer or authorized designee.

# ***HUMAN RESOURCES POLICY***

**POLICY #207**

## **SUBJECT: EMPLOYMENT OF RELATIVES**

### **POLICY**

Members of the immediate family of elected or appointed Authority board members or alternates shall not be appointed to Authority employment.

Members of the immediate family of regular employees shall not be appointed to the same division, nor shall they be transferred, promoted or demoted into the same division, nor be placed in such a position as to evaluate a relative or be in the same line of supervision, if doing so could result in actual or potential problems in supervision, security, safety, or morale, or if doing so could create potential conflicts of interest. Each situation shall be addressed based on the individual circumstances of that situation.

Members of the immediate family of regular employees shall not be hired on a temporary basis.

If two employees marry or become related, causing actual or potential problems such as those described above, only one of the employees will be retained with the Authority, unless reasonable accommodations can be made to eliminate the actual or potential problems. The employees will have 30 days to decide which relative will stay with the Authority. If this decision is not made with the time allowed, the Chief Executive Officer or authorized designee will make the decision, taking the employment history and job performance of both employees into account.

The Authority defines "relatives" as spouses, children, siblings, parents, in-laws, grandparents, grandchildren and step-relatives and domestic partners and their children.

# ***HUMAN RESOURCES POLICY***

**POLICY #208**

**SUBJECT: HOURS OF WORK**

## **POLICY**

The Chief Executive Officer or authorized designee establishes working hours that are consistent with the operating requirements and responsibilities of the Authority. Work shifts, days, hours, and periods can be established and modified by the Chief Executive Officer or authorized designee within the limits prescribed by law, based on operating conditions and requirements of the Authority. Employees may not change their own work schedule without the express approval of their supervisor and/or the Chief Executive Officer or authorized designee.

The supervisor and/or Chief Executive Officer or authorized designee may require an employee to work overtime which may occur anytime before or after the standard workweek including weekends, evenings, and/or holidays. The supervisor will attempt to provide advance notification, if possible.



# **HUMAN RESOURCES POLICY**

**POLICY #209**

**SUBJECT: OVERTIME PAY**

## **POLICY**

All Authority positions shall be classified as either exempt or non-exempt in accordance with the federal Fair Labor Standards Act (see policy 202: Employment Status). In accordance with that Act, exempt positions are defined as being primarily administrative, professional and/or executive in the performance of their job duties and are not eligible for overtime compensation. Non-exempt employees are eligible to earn overtime compensation and/or compensatory time off at overtime rates.

## **GUIDELINES**

### **1. Non-Exempt Employees**

All hours worked in excess of 8 hours in one workday or 40 hours in one workweek will be treated as overtime.

Compensation for hours in excess of 40 for the workweek or in excess of 8 and not more than 12 for the workday and for the first 8 hours on the seventh consecutive day of work in one workweek, shall be paid at a rate one-and-one-half times the employee's regular rate of pay.

Compensation for hours in excess of 12 in one workday and/or in excess of 8 on the seventh consecutive workday in a workweek shall be paid at double the regular rate of pay.

An employee may elect, by so stating, in writing, on the appropriate time card, a preference to earn compensatory overtime in lieu of overtime pay. An employee may accumulate up to a maximum of forty-five (45) hours of compensatory time. Those hours reflect thirty (30) hours of straight time worked. An employee who has reached the maximum balance shall be paid overtime until such time that the accrual is below the stated ceiling.

### **2. Exempt Employees**

Exempt employees will not be compensated for hours worked in excess of 8 hours per day or 40 hours per week. Administrative Leave may be granted at the discretion of the Chief Executive Officer or authorized designee.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

# **HUMAN RESOURCES POLICY**

**POLICY #210**

## **SUBJECT: MANDATORY MEETINGS/TRAINING**

### **POLICY**

The Authority will pay employees for attendance at meetings, seminars and training programs under the following conditions:

- The Authority requires attendance or if attendance is requested by the employee and prior approval was granted by the employee's supervisor and Chief Executive Officer or authorized designee.
- The meeting or seminar is directly related to the employee's job.
- The employee who is required to attend such meetings, seminars or training programs will be notified of the necessity for such attendance by his/her supervisor.
- Any hours in excess of the employee's normal working day will be paid at the appropriate overtime rate, if applicable, at the hourly rate in effect at the time the overtime work is being performed, and upon approval by the supervisor.
- In lieu of overtime pay, non-exempt employees may choose compensatory time off at the rate of one and one-half (1 1/2) times the regular hourly rate of pay. Use of compensation time shall have the supervisor's approval.

### **GUIDELINES**

If an employee voluntarily schedules to attend a one-day seminar or conference on his/her regularly scheduled day off, the Authority shall not pay overtime for attendance.

In the event that the program requires overnight accommodations, overtime will not be paid for any portion of these programs. Accommodations and meals may be paid for by the Authority or reimbursed to the employee.

Employees requesting approval to attend a budgeted seminar or conference in excess of two (2) days shall complete a written request, including estimated expenses. The request shall be submitted to the supervisor and Chief Executive Officer or authorized designee for approval. Appropriate meals shall be reimbursed with the registration fee or by submitting an employee expense form, with attached receipts.

If the employee uses his/her own car, mileage reimbursement will be made at the current IRS rate. Travel expenses will be reimbursed upon presentation of receipts and an employee expense form. Approval of reimbursement must be provided by the employee's supervisor or by the Chief Executive Officer or authorized designee.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

No advances for reimbursable expenses shall be made for one-day seminars or workshops.

# **HUMAN RESOURCES POLICY**

**POLICY #211**

## **SUBJECT: PAYMENT OF WAGES**

### **POLICY**

The Authority pays its employees on a semi-monthly basis. Following are the guidelines used for payment of wages.

### **GUIDELINES**

#### **1. Pay Dates/Pay Periods**

A yearly pay date calendar will be distributed to all employees prior to the first pay period in the calendar year. If there is a discrepancy in pay or the employee feels that payroll made a mistake, he/she should notify the Chief Executive Officer or authorized designee who will address the issue within a reasonable amount of time.

#### **2. Timekeeping Requirements**

All non-exempt employees are required to record time worked on a timesheet for payroll purposes. Employees must record their own time at the start and at the end of each work period, including before and after the lunch break.

Any handwritten marks or changes on the timesheet must be initialed by a supervisor. Any errors on a timesheet should be reported immediately to the supervisor, who will attempt to correct legitimate errors.

#### **3. Automatic Payroll Deposit**

The Authority requires automatic payroll deposit for all employees. To begin automatic payroll deposit, the employee must inform the Chief Executive Officer or authorized designee of the account number that funds are to be deposited to. The employee should monitor their payroll deposit for the first two pay periods after the service begins.

#### **4. Advances**

The Authority does not permit advances against paychecks, except in an extreme emergency and upon approval by the Chief Executive Officer or authorized designee. If an advance against pay is approved, the employee must sign a written authorization permitting the deduction of the advancement on the employee's next paycheck. An amount exceeding the net pay of the employee's next paycheck will not be allowed under any circumstances.

# **HUMAN RESOURCES POLICY**

**POLICY #212**

## **SUBJECT: ATTENDANCE AND TARDINESS**

### **POLICY**

Consistent attendance and punctuality are required standards for the Authority's business operation, and therefore an integral part of each employee's performance standard. Poor, uncertain, or irregular attendance produces disruptive results for operations, lowers overall productivity and continuity of work, and is burdensome to other employees.

Employees are expected and required to report to their designated work location at the prescribed time work activity is to commence. Tardiness, un-excused absence, or failure to report as required is not acceptable.

In all cases of an employee's absence, the employee shall provide the supervisor with a truthful reason for the absence and, if applicable, the probable duration of absence.

### **GUIDELINES**

1. If an employee is unable to report to work as scheduled due to illness or injury, the employee shall notify his/her immediate supervisor, or if that person is unavailable, the receptionist followed with a voice mail message, of reason for the absence to the employee's supervisor by 9 a.m. (See Human Resources Policy, *Sick Leave #304*, for additional information.)
2. An employee unable to report to work on time shall notify his/her immediate supervisor, or if that person is unavailable, the receptionist, followed with a voice mail message of reason for the absence to the employee's supervisor as soon as possible.
3. Excessive tardiness or absenteeism, regardless of reason(s), which renders an employee insufficiently available for work or negatively impairs the operations of the Authority, will be evaluated on a case-by-case basis to determine the merits of disciplinary action, up to and including termination of employment.
4. Employees absent for three consecutive workdays without calling in to report the absence are considered to have voluntarily resigned as of the first day of absence. This "no call/no show" applies to all situations other than extreme emergencies.

Employees unable to adhere to the Authority's attendance policy will be subject to disciplinary action, up to and including termination.



# ***HUMAN RESOURCES POLICY***

**POLICY #214**

## **SUBJECT: STANDARDS OF CONDUCT**

Like all other organizations, the Authority requires order, discipline, and performance to succeed and to promote efficiency, productivity, and cooperation among employees. It is not possible to list all the forms of behavior that are considered unacceptable in the workplace. Examples of conduct that is prohibited and will not be tolerated by the Authority are listed below. This list is illustrative only; other types of conduct that threaten security, personal safety, employee welfare and the Authority's operations also may be prohibited. Any such actions and the examples of misconduct listed below will be cause for the Authority to discipline the employee, up to and including termination of employment. These statements of prohibited conduct do not alter the Authority's policy of at-will employment. Either the employee or the Authority remains free to terminate the employment relationship at any time, with or without reason or advance notice.

1. Falsifying employment records, employment information, or other Authority records;
2. Theft and deliberate or careless damage or destruction of any Authority property or the property of any employee or customer;
3. Removing or borrowing Authority property without prior authorization;
4. Unauthorized use of Authority equipment, time, materials or facilities;
5. Provoking a fight or fighting during working hours or on Authority property
6. Carrying firearms or any other dangerous weapons on Authority premises at any time;
7. Engaging in criminal conduct whether or not related to job performance;
8. Causing, creating or participating in a disruption of any kind during working hours on Authority property;
9. Insubordination, including but not limited to, failure or refusal to obey the orders or instructions of a supervisor or member of management, or the use of abusive or threatening language toward a supervisor or member of management;
10. Using abusive language at any time on Authority premises;
11. Failing to notify a supervisor when unable to report to work;
12. Unreported absence of three consecutive scheduled workdays;
13. Sleeping or malingering on the job;
14. Working overtime without authorization or refusing to work assigned overtime;
15. Wearing disturbing, unprofessional or inappropriate styles of dress or hair while working;
16. Violating any safety, health, security or Authority policy, rule or procedure;
17. Committing a fraudulent act or a breach of trust under any circumstances; and
18. Committing or involvement in any act of unlawful harassment of another individual.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

# **HUMAN RESOURCES POLICY**

**POLICY #215**

**SUBJECT: TERMINATION OF EMPLOYMENT**

## **POLICY**

The last day worked is the last day of employment for employees who resign or are terminated from Authority employment. Employees shall be advised of the Consolidated Omnibus Budget Reconciliation Act (COBRA) and the Health Insurance Portability and Accountability Act (HIPAA), if applicable. (See Policy #301 for an explanation of these options.)

## **GUIDELINES**

### **1. Notification**

Managers are encouraged to give thirty (30) working days notice of intent to resign. All other employees are encouraged to give ten (10) working days notification.

Employees are required to return all equipment, keys, and other Authority property prior to leaving the Authority.

### **2. Organizational Changes**

The Authority exercises complete control and discretion over its organization and the methods of performing its work. Whenever in the judgment of the Authority it becomes necessary in the interest of economy and efficiency or because the need for the performance of duties no longer exists, the Board, with a formal recommendation provided by the Chief Executive Officer or authorized designee, may eliminate or consolidate any positions.

### **3. Reduction in Force**

At times, the Authority may need to restructure or reduce its workforce. If it becomes necessary to restructure operations or reduce the number of employees, the Authority will attempt to provide advance notice, if possible, so as to minimize the impact on those affected.

In determining which employees will be subject to layoff, the Authority will take into account, among other things, operation and requirements, the skill, productivity, ability and past performance of those involved and also, where feasible, the employee's length of service.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

# **HUMAN RESOURCES POLICY**

**POLICY #301**

## **SUBJECT: HEALTH AND WELFARE BENEFITS**

### **POLICY**

The Authority provides its eligible employees access to comprehensive health and welfare insurance protection including medical, dental, vision, long-term disability, workers' compensation and unemployment insurance protection. The Authority's benefit plans are outlined below.

### **GUIDELINES**

#### **1. Health Benefits**

- The Authority offers medical insurance through the PERS Public Employees' Medical and Hospital Care Act. Employees may elect the plan which best meets their individual medical needs from a variety of different carriers. Employees may enroll their spouse, eligible children or domestic partners and eligible children of domestic partners, according to PERS' rules and guidelines.
- The cost of health benefit coverage and Agency contribution rates for the active employee and his/her spouse, eligible children, or domestic partner and eligible children of domestic partner, differs by year based upon the PERS rates and required minimum contributions. A rate sheet will be prepared and made available to employees annually during open enrollment.
- After retirement, the Authority's contribution for PERS retiree health coverage shall be the minimum required medical contribution as prescribed by Government Code 22892(b)(1). If the Employee retires from the Agency with a PERS retirement with at least ten (10) years of agency service (combined LGS and WTA years), the Agency will pay for the retiree only, an additional longevity stipend in an amount not to exceed the PERS Care single rate less the minimum required medical contribution as prescribed by Government Code 22892(b)(1). This amount will be reimbursed by the Agency to the retiree on a monthly basis and can be used to pay for the cost of providing health benefit coverage for the retiree or his/her dependents.

#### **2. Dental Benefits**

Dental benefits, paid by the Authority, are offered to both the employee and dependents. Coverage for dental care is with the DELTA DENTAL PLAN OF CALIFORNIA. Any questions on dental coverage can be answered by calling

**Human Resources Guide**  
**Water Emergency Transportation Authority**  
**Effective: March 2008**

Delta's Customer and Member Service department at 1-888-335-8227 or contact the Authority's Chief Executive Officer or designee.

If the Employee has worked for the Agency for a minimum of ten (10) years (combined LGS and WTA years) and retires with a PERS retirement, the Agency will allow Employee only to stay on the Agency's dental insurance plan provided Employee pays the full premium(s) plus a 2% administration fee.

### **3. Health Insurance Portability and Accountability Act (HIPAA)**

Health plan portability under HIPAA is available to Authority employees and their dependents provided they have had prior medical coverage for 18 months under the CAL-PERS group plan. Employees and dependents who meet the prior coverage requirements may not be denied insurance coverage for pre-existing conditions. It is critical, however, that the employee maintain continuous coverage. Upon termination of employment from the Authority, the employee's health plan carrier will notify the employee of the availability of HIPAA to individuals leaving a group plan on a guarantee issue basis (meaning that a qualified individual cannot be denied an individual policy on the basis of health underwriting). Continuation of coverage is paid by the employee directly to the health plan carrier.

### **4. Consolidated Omnibus Budget Reconciliation Act (COBRA)**

Employees and dependents who lose group coverage due to termination of employment or other "qualifying events" (i.e., death of employee, divorce or separation) may continue health and dental coverage on a self-pay basis under the COBRA option.

Upon an employee's termination of employment, the Chief Executive Officer or designee will issue a Notice of Right to Elect COBRA Continuation Coverage for health and dental coverage. To continue health care coverage under COBRA, the employee shall fill out form HBD-85 and submit it to PERS. To continue dental care coverage under COBRA, the employee shall sign forms provided by the Finance and Administration Manager. Continuation of coverage is paid by the terminating employee directly to the health plan carrier.

### **5. Vision Care**

The Authority provides vision care through an independent carrier as a part of the employee benefit program. An explanation of the plan can be provided by the Chief Executive Officer or authorized designee.

If the Employee has worked for the Agency for a minimum of ten (10) years (combined LGS and WTA years) and retires with a PERS retirement, the Agency will

allow Employee only to stay on the Agency's vision insurance plan provided Employee pays the full premium(s) plus a 2% administration fee.

## **6. Disability**

Authority employees are offered both short-term and long-term disability insurance through group coverage. The benefits of this program, covered under the staff benefits program, can be explained in more detail by the Chief Executive Officer or authorized designee.

## **7. Unemployment Insurance**

Unemployment insurance provides compensation payable to people unemployed through no fault of their own, who are actively seeking employment and are available and able to work. The Authority pays the entire cost of unemployment benefits for former employees through taxes paid to the state. To receive more detailed information regarding the coverage, please contact the Chief Executive Officer or authorized designee.

## **8. Retirement Benefits**

Full-time employees are required to participate in the Public Employees Retirement System (PERS). Part-time employees participate in PERS if employed 20 hours per week for one year or longer. Temporary employees are required to participate after being employed by the Authority for more than one thousand hours (1000) annually. Each full-time employee is covered under the 1959 Survivor Benefits Program in the event of death prior to retirement. The benefit formula for retirement is 2.5% at age 55, based on single highest annual salary.

The Authority pays for both the employer's and employee's share of PERS. To receive more detailed information regarding the coverage, please contact the Chief Executive Officer or authorized designee.

## **9. Group Term Life Insurance**

The Authority provides group term life insurance for its employees, with coverage of one times the employee's salary up to a maximum of \$200,000. To receive more detailed information regarding the coverage, please contact the Chief Executive Officer or authorized designee.

## **10. Deferred Compensation Plan**

The Authority provides all full-time and part-time regular employees access to an IRS Section 457 Deferred Compensation Retirement Plan. This plan allows



employees to voluntarily save a portion of their total salary, tax deferred, up to a maximum annual limit set by the IRS. This plan is provided through a third-party administrator. To receive more detailed information regarding this benefit, please contact the Chief Executive Officer or authorized designee.

## **11. Employee Assistance Program**

The Authority provides all full-time regular employees access to an employee assistance program through agreement with Claremont EAP. This program provides Employees access to up to 3 approved counseling visits per year as well as access to telephone consultation and referral services for legal, financial and family care issues. To receive more detailed information regarding this benefit, please contact the Chief Executive Officer or authorized designee.

# **HUMAN RESOURCES POLICY**

**POLICY #302**

## **SUBJECT: HOLIDAYS**

### **POLICY**

Regular full time employees receive thirteen (10) paid holidays per year:

(1)	January 1	New Year's Day
(2)	Third Monday in January	Martin Luther King, Jr., Day
(3)	Third Monday in February	Presidents' Day
(4)	Last Monday in May	Memorial Day
(5)	July 4	Independence Day
(6)	First Monday in September	Labor Day
(7)	November 11	Veterans' Day
(8)	Fourth Thursday in November	Thanksgiving Day
(9)	Fourth Friday in November	Day after Thanksgiving
(10)	December 25	Christmas

If any of the listed holidays falls on a Saturday, the Friday preceding shall be celebrated as a holiday; if the holiday falls on a Sunday, the following Monday shall be celebrated as the holiday.

### **GUIDELINES**

1. Regular part-time employees working a minimum of twenty (20) hours per week accrue holiday benefits on a pro-rated basis.
2. Holiday pay is at straight time wages.
3. If an employee is required to work on a holiday, the employee shall select another day to be taken as an in lieu of the holiday and that day shall be taken off within thirty (30) days of the worked holiday. The employee shall receive regular straight time pay for the holiday worked, unless working on the holiday results in working more than 40 hours per week, in which case the employee will be compensated at overtime rates.

# **HUMAN RESOURCES POLICY**

**POLICY #303**

**SUBJECT: VACATION**

## **POLICY**

Full-time employees working 40 hours per week accrue vacation from date of hire in accordance with the schedule shown below. Exceptions to this schedule may be granted by the Chief Executive Officer on a case-by-case basis based upon Employee's years of relevant work experience.

Part-time employees working 20 hours or more per week are entitled to earn prorated vacation based on the hours regularly scheduled to work each week. Temporary and contract employees are not eligible to earn vacation time.

## **GUIDELINES**

### **1. Vacation Accrual**

Vacation is accrued monthly in accordance to the following schedule for full-time employees:

<b>Years of Service</b>	<b>Annual Entitlement</b>	<b>Annual Vacation Hours</b>	<b>Maximum Carry-Over</b>
0-3	10 working days	80	160
4-10	15 working days	120	240
11+	20 working days	160	320

Part-time employees accrue vacation leave based upon number of hours worked.

### **2. Scheduling & Usage**

Scheduling for vacations shall be made in such a manner as to insure continuous and efficient operations for the Authority. All vacations are subject to cancellation in cases of emergency conditions.

A written request for vacation time of at least three (3) consecutive days shall be presented for approval at least ten (10) calendar days prior to the time requested and the request must be approved by the employee's supervisor before the time can be taken.

If an Authority holiday occurs during vacation leave, the employee's vacation accrual

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

shall not be charged for that day.

If an employee or his/her immediate family member suffers a bonafide illness or injury during a vacation and is able to provide a doctor's certification regarding that illness or injury, the employee may request that sick leave be substituted for vacation leave. Granting sick leave in lieu of vacation is at the discretion of the Chief Executive Officer.

### **3. Maximum Vacation Accrual**

An employee can accrue a maximum of one hundred twenty (160) vacation hours for the first 3 years, two hundred forty (240) vacation hours after three years, and three hundred twenty (320) vacation hours after ten years of Authority service, or up to two years' vacation, at any one time unless authorized in writing by the Chief Executive Officer. Vacation accrued in excess of the maximum allowed will be liquidated annually by monetary payment during the month of December.

### **4. Vacation Pay-Out At Separation**

An employee who separates from the Authority service shall be paid for unused accrued vacation at straight time rates.

# **HUMAN RESOURCES POLICY**

**POLICY #304**

**SUBJECT: SICK LEAVE**

## **POLICY**

Sick leave with pay is an insurance or protection granted in circumstances of adversity to promote the health of the individual employee. It is not an earned right to time off from work and is not to be confused with vacation or other types of leave. It is a request for a benefit to be exercised under appropriate circumstances.

Excessive absenteeism, regardless of reason(s) which renders an employee insufficiently available for work will be evaluated on a case-by-case basis to determine the merits of disciplinary action up to and including termination of employment.

## **GUIDELINES**

### **1. Accrual and Usage of Sick Leave**

- A. Regular full-time employees accrue sick leave credit at the rate of eight (8) hours per month. Unused sick leave may be accrued without limit.

### **2. Definitions**

#### **A. Personal Sick Leave**

Sick leave is the absence from duty of an employee because of illness, injury, or exposure to a contagious disease that incapacitates the employee and prevents the employee from performing assigned duties.

#### **B. Family Sick Leave**

An employee is entitled to use sick leave for the care of the employee's ill or injured immediate family member (as defined in Emergency Leave) for up to one-half of the employee's annual sick leave accrual (6 days a year).

#### **C. Immediate Family Members**

Immediate family members shall mean spouse, parent, child, step-child, mother/ father-in-law, domestic partner, or other person who is living within the household and is in a dependent category according to IRS regulations.

#### **D. Medical Appointments**

Employees may use earned sick leave for routine physical checkups, medical and dental procedures for themselves and their family members. Whenever



possible, requests for preventative sick leave usage shall be made sufficiently in advance to provide the supervisor/manager with proper notification for scheduling considerations.

### **3. Administration**

#### **A. Notice of Illness**

It is the responsibility of the employee to personally notify his/her immediate supervisor before 9 a.m. of illness or injury. If the supervisor is not available, the employee shall leave a voice mail message and inform the receptionist that he/she will not be in.

#### **B. Documentation**

The employee's supervisor or the Chief Executive Officer may request a doctor's certification for any illness for which an employee requests sick leave, including family sick leave.

#### **C. Denial of Sick Leave Benefits**

Sick leave with pay may be denied if it is substantiated that the employee's absence did not meet the definitions as specified in Section 2, *Definitions*, of this Sick Leave Policy and may be grounds for disciplinary action.

An employee who is on unscheduled sick leave and has no sick leave accrual in his/her account and who has been counseled and noticed for sick leave abuse, may not use vacation for that time off. The employee shall be on a leave of absence without pay.

#### **D. Sick Leave Abuse Review**

In reviewing each employee's sick leave usage, the supervisor and the Chief Executive Officer will pay particular attention to specific indicators to determine if abuse of sick leave may be occurring. The indicators to be reviewed include, but are not limited to:

- (1) Patterns of sick leave usage (including Monday/Friday absences, absences occurring in conjunction with authorized days off or in conjunction with pay days);
- (2) Unscheduled sick leave usage;
- (3) Demonstrated use of sick leave when neither employee nor family member is ill.

Based upon a review of the above indicators, the supervisor and the Chief

Executive Officer will determine if counseling and/or disciplinary action is appropriate.

#### **4. Termination of Employment**

Except for retirement, employees are not paid for accrued sick leave upon separation or termination.

An employee who leaves the Authority and returns to Authority service within six (6) months, or an employee who is on an extended approved leave of absence, may have the unused but accrued and unpaid sick leave balance reinstated to his/her account.

#### **5. Sick Leave Accruals at Separation/Retirement**

The Agency's PERS contract provides the option of allowing employees service credit for accrued sick leave for employees who retire with a PERS retirement benefit. For more detailed information on this retirement benefit, refer to the PERS booklet or contact the Chief Executive Officer or authorized designee.

# **HUMAN RESOURCES POLICY**

**POLICY #305**

**SUBJECT: LEAVES OF ABSENCE**

## **POLICY**

All leave time covered under this policy must be requested and approved by the Chief Executive Officer.

## **GUIDELINES**

### **1. Emergency Leave**

Employee is entitled to Emergency Leave for attendance of a member of his immediate family, critically ill and requiring the care and attendance of a licensed physician and the employee.

Immediate family is defined as a spouse, domestic partner, parent, sibling, child, step-child, foster child, step-parent, foster parent or other persons whose relationship to the Employee is essentially similar to the aforesaid relationships. No more than forty (40) hours in any twelve (12) month period may be utilized for illness in the immediate family. Such leave is charged against Employee's accrued sick leave credit.

Employees must secure approval from the immediate supervisor prior to the requested leave and must submit a leave request form for emergency leave. If submitting a form before taking time off is not possible, the employee shall do so within three working days following the employee's return to work. The employee shall provide appropriate documentation as proof for the reason of the absence.

### **2. Bereavement Leave**

In case of death within the immediate family, Employee shall be entitled to remain absent from duty with pay in order to attend the funeral or memorial service for a maximum of three (3) consecutive workdays.

If the Employee must travel outside the state of California and at least four hundred (400) miles, Employee shall be entitled to remain absent from duty with pay in order to attend the funeral or memorial service for a maximum of five (5) consecutive workdays.

For the purpose of this Section, immediate family is defined as a spouse, domestic partner, parent, sibling, child, step-child, foster child, step-parent, foster parent or

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

other persons whose relationship to the Employee is essentially similar to the aforesaid relationships. Such leave shall not be charged against Employee as leave without pay nor deducted from Employee's annual leave.

Employees must submit a leave request form and secure approval from the immediate supervisor prior to the requested leave. If submitting a form before taking time off is not possible, the employee shall do so within three working days following the employee's return to work. The employee shall provide appropriate documentation as proof for the reason of the absence including: the nature of emergency, name of person, relationship, name, address and phone number of hospital, mortuary or organization handling the case and an estimate of time off required.

### **3. Military Leave**

An employee who is a member of the Reserve Corps of the Armed Forces of the United States or of the National Guard shall be allowed time off in accordance with current provisions of Federal and California law. An employee shall be provided up to thirty (30) days with pay. Employees may be entitled to reinstatement upon completion of military service, provided they return or apply for reinstatement within the time required by law.

### **4. Jury Duty**

Employees who are subpoenaed to appear as jurors or witnesses in court cases, other than those of a personal nature, shall be paid their full salaries, provided that they turn in to the Authority all juror fees or witness fees, other than mileage allowance, received. These fees are due to the Chief Executive Officer within fifteen (15) days of receipt.

The employee shall submit to his/her immediate supervisor a completed leave request form which indicates the day (s) required for attendance if known beforehand or submit the leave request form immediately after. Upon return, the employee shall submit the stamped verification of jury duty receipt issued by the Court to his/her immediate supervisor.

### **5. Voting Time**

The Authority wishes to support and encourage employees in their opportunities and responsibilities as citizens to cast their ballots in general election years. Under most circumstances, it is possible for employees to vote either before coming to work or after the end of the workday. If the employee does not have sufficient time outside

of working hours to vote at a state-wide election, a maximum of two hours time off with pay at the beginning or end of the regular work day shall be given. The employee must request this time off at least two working days before the election if this time off is necessary.

## **6. Administrative Leave**

Administrative Leave days are provided to all full-time employees for the purpose of celebrating religious holidays, tending to personal business, family illness, attending the funeral of a family friend or relative outside immediate family, or other reasons.

Administrative leave should be arranged at least two (2) weeks in advance of the day(s) desired, when possible, and must be approved by the employee's supervisor or the Chief Executive Officer. Annual administrative leave shall be prorated based on the date of hire during a calendar year and cannot be carried over from one year to the next.

## **7. Family Care Leave**

Under the California Family Rights Act of 1993 (CFRA), employees who have more than 12 months of service with a covered employer, and have worked at least 1,250 hours in the preceding 12-month period, may have a right to an unpaid family care or medical leave (CFRA leave). This leave may be up to 12 workweeks in a 12-month period for the birth, adoption, or foster care placement of your child or for your own serious health condition or that of your child, parents or spouse.

In order to be eligible for leave under CFRA, employees must work at an Agency facility employing at least 50 employees in a 75-mile radius. Because the Authority employs fewer than 50 individuals, Authority employees are not eligible to take a leave under CFRA.

Even if not eligible for CFRA, if an employee is disabled by pregnancy, childbirth or related medical conditions, she is entitled to take a pregnancy disability leave of up to four (4) months, depending on the period(s) of actual disability. If the employee is CFRA-eligible, she has certain rights to take BOTH a pregnancy disability leave and a CFRA leave for reason of the birth of her child. Both leaves contain a guarantee of reinstatement to the same or to a comparable position at the end of the leave, subject to any defense allowed under the law.

If possible, the employee must provide at least 30 days' advance notice for foreseeable events (such as the expected birth of a child or a planned medical treatment for the employee or of a family member). For events that are unforeseeable, the employee must notify the Authority, at least verbally, as soon as



they learn about the need for a leave. Failure to comply with these notice rules is grounds for, and may result in, deferral of the requested leave until the employee complies with this notice policy.

The Authority may require certification from the employee's health care provider before allowing a leave for pregnancy or own serious health condition or certification from the health care provider of the employee's child, parent or spouse who has a serious health condition before allowing a leave to take care of that family member. When medically necessary, leave may be taken on an intermittent or reduced work schedule.

If a leave is taken for the birth, adoption or foster care placement of a child, the basic minimum duration of the leave is two weeks and the employee must conclude the leave within one year of the birth or placement for adoption or foster care.

Taking a family care or pregnancy disability leave may impact certain of the employee's benefits and his/her seniority date. Identified below are some of the more significant aspects of this leave. Please contact the Chief Executive Officer or authorized designee for more information or forms for completion.

## **8. Medical and Pregnancy Disability Leave of Absence**

If an employee becomes unable to perform the duties of their position as a result of a medical disability, including pregnancy, childbirth, or related medical conditions, the employee may be eligible for placement on medical or pregnancy disability leave. The leave of absence shall be extended to the employee for the duration of the non-work-related disability, up to a maximum of four (4) months, measured from the onset of the disability. Any leave does not need to be taken in one continuous period of time.

### **A. Notice of Medical or Pregnancy Disability Leave**

Any employee planning to take medical or pregnancy disability leave should advise their supervisor as early as possible. The individual should make an appointment with the supervisor to discuss the following conditions:

**Duration and Scheduling of Leave:** Employees who need to take medical or pregnancy disability leave must inform the Authority when a leave is expected to begin and how long it will likely last. If the need for a leave is foreseeable, employees must provide notification at least 30 days before the medical or pregnancy disability leave is to begin. Employees must consult with the Chief Executive Officer or authorized designee regarding the scheduling of any planned medical treatment or supervision in order to minimize disruption to the Authority's operations. Any such scheduling is

subject to the approval of the employee's health care provider. If 30 days' advance notice is not possible, notice must be given as soon as practical.

**Change of Work Assignment:** In the case of a pregnancy disability or other medical condition, upon the request of an employee and recommendation of the employee's physician, the employee's work assignment may be changed if necessary to protect the health and safety of the employee and her child.

**Job Duties:** In the case of a pregnancy disability or other medical condition, requests for transfers of job duties will be reasonably accommodated if the job and security rights of others are not breached.

**Temporary transfers:** Temporary transfers due to pregnancy related or other health considerations will be granted when possible. However, the transferred employee will receive the pay that accompanies the job, as is the case with any other temporary transfer due to temporary health reasons.

**Physician Certification:** Medical or pregnancy disability leave usually begins when ordered by the employee's physician. The employee must provide the Authority with a certificate from a health care provider. The certification should contain:

- The date on which the employee became disabled due to pregnancy or medical condition;
- The probable duration of the period or periods of disability; and
- A statement that, due to the disability, the employee is unable to perform one or more of the essential functions of their position without undue risk to themselves or to other persons.

**Return from Leave:** Leave returns will be allowed only when the employee's physician sends a release.

**Use of Sick Leave and Other Paid Leave:** The employee will be required to use any accrued unused sick leave and will be allowed to use any other accrued leave (if otherwise eligible to take the time) during a medical or pregnancy disability leave.

**Duration of Leave:** The duration of the leave will be determined by the advice of the employee's physician. Employees disabled by pregnancy or other medical condition may take up to a maximum of four months off. Part-time employees are entitled to leave on a pro-rata basis. The four months of leave include any period of time for actual disability caused by the employee's medical condition, pregnancy, childbirth, or related medical condition. This includes leave for severe morning sickness and for prenatal care.

**B. Medical and Pregnancy Disability Leave Time Periods**

Leave does not need to be taken in one continuous period of time and may be taken in increments of not less than one hour.

**C. Accrual of Benefits**

Employees on a medical or pregnancy disability leave shall not accrue sick leave, vacation, or holiday benefits during the period of the unpaid absence. All Authority benefits shall continue to accrue during the period of integration with workers' compensation or disability benefits and accrued vacation/sick leave.

**D. Health Insurance Coverage during Medical or Pregnancy Disability Leave**

The Authority will continue paying for medical coverage at the present level for each month in which the employee is paid the equivalent of at least one half ( $\frac{1}{2}$ ) of the month. Effective dates for health coverage are always the first day of each month. If an employee's leave is effective any time after the first of the month, health insurance will automatically be effective through the end of that same month.

The employee may elect to continue health insurance coverage for each complete month on an authorized unpaid leave of absence. The employee will be responsible for paying any healthcare premiums directly to the healthcare provider under COBRA.

**E. Return to Work from a Pregnancy Disability Leave**

Under most circumstances, upon submission of a medical certification that an employee is able to return to work from a pregnancy disability leave, an employee will be reinstated to her same position held at the time the leave began or to an equivalent position, if available. An employee returning from a pregnancy disability leave has no greater right to reinstatement than if the employee had been continuously employed.

**F. Return to Work from a Medical Leave**

Every effort will be made to reinstate an employee returning from a medical leave to the same position held at the time the leave began or to an equivalent position, if available. However, the Authority reserves the right to refuse reinstatement due to legitimate business reasons.

# ***HUMAN RESOURCES POLICY***

**POLICY #401**

**SUBJECT: GRATUITIES**

## **POLICY**

An employee's obligation under this policy is in addition to and does not in any way change his/her obligation under the Authority's Business Ethics Policy (*Policy #109*).

An employee may not receive a gratuity from any individual, organization, or vendor doing business with the Authority that has an estimated aggregate value of more than fifty dollars (\$50) per occasion. All gratuities received or offered to the employee shall be reported to the employee's supervisor.

Gratuities in excess of \$50 in value should be refused or returned and the offer should be reported to the supervisor.

For the purpose of this policy, a gratuity is defined as a gift or service rendered to an individual. Gifts shall include, but are not limited to money, candy, alcoholic beverages, tickets to events, trips, or the use of equipment or property. Trivial items such as note pads, calendars, pens and pencils, etc., are excluded from the intent of this policy.

If an expression of appreciation is accepted, the employee shall be encouraged to present and share it with the entire staff.

Employees are required to comply with the Political Reform Act of 1974 and file Form 700-FPPC, which is a public document intended to disclose potential conflicts of interest.

# **HUMAN RESOURCES POLICY**

**POLICY #402**

**SUBJECT: CONFLICT OF INTEREST**

## **POLICY**

A conflict of interest exists when an employee engages in any activity that may compromise him/her, another employee, the Authority, or Authority's relationship with a client, vendor, association, or competitor. Potential conflicts of interest with a client, vendor, or competitor may include soliciting business for personal gain, accepting gifts other than those of nominal value, and requesting favors, discounts, or services. Further, employees shall not accept any offer of repair or construction at the employee's home by an outside vendor or client.

Supervisor-subordinate and/or co-employee romantic or personal relationships also can lead to supervisory problems, possible claims of sexual harassment and morale problems. An employee involved in any of the types of relationships or situations described in this policy should immediately and fully disclose the relevant circumstances to his/her immediate supervisor, any other appropriate supervisor, or the Chief Executive Officer or authorized designee, for a determination as to whether a potential or actual conflict exists. If an actual or potential conflict is determined, the Authority may take whatever corrective action appears appropriate according to the circumstances.

Failure to disclose a potential conflict of interest or engaging in a practice determined to be a conflict of interest may result in disciplinary action, up to and including termination. If an employee has questions regarding what may be a conflict of interest, he/she should contact his/her supervisor or the Chief Executive Officer or authorized designee to discuss the circumstances.



# **HUMAN RESOURCES POLICY**

**POLICY #403**

**SUBJECT: SUBSTANCE ABUSE**

## **POLICY**

The Authority is committed to protecting the health, well-being and safety of employees and the public from the hazards caused by misuse of drugs and alcohol. Accomplishing this goal requires the full commitment and support of all levels of management as well as the support of all employees.

The Authority complies with federal regulations and maintains a Drug-Free Workplace. This policy prohibits unlawful manufacturing, distribution, possession, sale or use of controlled substances at work and also requires that employees convicted under a criminal drug statute for any incident at work to notify the Chief Executive Officer or authorized designee within five days of conviction.

For the purposes of this policy, a drug will be considered an “illegal drug” if its use is prohibited or restricted by law and an employee improperly uses or possesses the drug, regardless of whether such conduct constitutes an illegal act or whether the employee is criminally prosecuted and/or convicted for such conduct.

Legally prescribed medications are only excluded from this rule and permitted to the extent that the use of such medications does not adversely affect the employee’s work ability, job performance, or the safety of that individual or others.

## **GUIDELINES**

The following policy on substance abuse is adopted as an initial step toward reaching this goal:

1. Employees shall not possess, use, furnish, sell, or offer alcohol, illegal drugs or other controlled substances (as defined under Federal and California Law) while on the job. An employee who has distributed, sold, or offered illegal drugs or controlled substances while on the job will face termination of employment. Possession or use of illegal drugs or controlled substances and the use of alcohol by an employee while on the job will be cause for disciplinary action up to and including termination of employment.
2. Employees who see, observe or encounter evidence that employees possess, use, or are involved in distribution, selling, or offering illegal drugs while on the job or on Authority premises shall report this information to the employee's supervisor, and/or the Chief Executive Officer or authorized designee. Any questionable substance found shall be submitted to the

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

appropriate law enforcement agency for testing and employees distributing, selling, using or possessing such illegal substances may be subject to criminal investigation.

3. Employees who engage in off-the-job or off-premises alcohol or illegal drug activity that impairs their work performance, causes damage to Authority premises, jeopardizes their own safety or that of co-workers, or the general public, or undermines the public's confidence in the Authority to provide service will also be subject to disciplinary action up to and including termination of employment.
4. Employees are required to perform their duties in a safe and efficient manner, and supervisors have a responsibility to assure that this is done. If a supervisor becomes aware that an employee is working in an unsafe manner, the supervisor is responsible for taking those actions necessary to assure that safe work conditions are maintained.
5. Employees who are using prescription drugs or other medication that may affect their ability to work safely are responsible for bringing the matter to their supervisor's attention. Supervisors should be alert to the effects of medication or illness on an employee's capabilities to perform work safely and efficiently.
6. Employees and supervisors are encouraged to seek assistance before drug or alcohol abuse affects job performance. If an employee comes forward, prior to disciplinary action, and requests time off without pay to address that problem, the Authority may provide assistance in identifying appropriate treatment programs and will make reasonable accommodation to assist the employee. Participation in a program is at employee expense, although some health plans may partially cover some expenses.
7. An employee's participation in an assistance program does not relieve the employee of responsibility to meet work performance requirements.
8. An employee reporting to work under the influence of alcohol will be sent home for the day without pay.
9. Gifts of alcohol shall be removed from the premises as soon as possible.
10. Prescribed drugs will be allowed only when taken according to a physician's prescription when such use will not adversely affect the employee's ability to properly and safely perform his or her duties.
11. Employees are expected to fully cooperate in any interview or investigation of

possible violation of the substance abuse rules. The Authority reserves the right to require employees, while on duty or on Authority owned or leased properties, including the parking lot, to agree to inspections of Authority property or employees and/or their personal property and to implement other measures necessary to deter and detect abuse of this policy. An employee's refusal to consent to such an inspection or to otherwise cooperate in a proper investigation conducted under this policy is grounds for discipline, up to and including termination.

### **Inspections to Administer and Enforce Policy**

To promote a safe, productive and efficient work place, the Authority reserves the right to inspect employees, as well as any articles and property in their possession, to detect inappropriate materials. The Authority also reserves the right to inspect lockers, desks, Authority vehicles, personal vehicles on Authority property, packages, lunch boxes, containers, articles in such areas, and other objects brought onto Authority premises that might conceal alcohol, illegal drugs, and/or other inappropriate materials.

An employee may be asked to submit to testing procedures designed to detect the presence of drugs and/or alcohol if he/she is acting in a manner that leads to a suspicion that he/she either possesses, controls, or is under the influence of a drug and/or alcohol or has been involved in the use, possession, and/or sale of drugs or alcohol while on duty.

# **HUMAN RESOURCES POLICY**

**POLICY #404**

**SUBJECT: SECURITY AND PRIVACY**

## **POLICY**

Desks, storage areas, work areas, lockers, file cabinets, credenzas, computer systems, software, communication systems including E-mail, office telephones, modems, facsimile machines and duplicating machines are Authority property and must be maintained according to this policy. Because all these items are Authority property, employees do not have, and should not expect, any right of privacy regarding this property or the contents of the property.

## **GUIDELINES**

### **1. Neatness**

All work areas and items must be kept clean and are to be used only for work purposes, except as provided in this policy.

### **2. Right of Inspection**

The Chief Executive Officer or authorized designee reserves the right, at all times, and without prior notice, to inspect and search any and all Authority property for the purpose of determining whether this policy or any other Authority policy has been violated, or whether further inspection and investigation is necessary for purposes of promoting safety in the workplace or compliance with state and federal laws. Such inspections may be conducted before, during or after business hours.

### **3. Prior Authorization**

Prior authorization must be obtained from the Chief Executive Officer or authorized designee before any Authority property may be removed from the premises.

### **4 Use of Telephones**

The Authority recognizes that employees may occasionally find it necessary to use Authority telephones for personal use. Such calls must be kept to a minimum. Abuse of telephone privileges may result in disciplinary action up to and including termination.

Any personal long distance call shall only be made using a personal billing card.

# **HUMAN RESOURCES POLICY**

**POLICY #405**

**SUBJECT: COMPUTER /E-MAIL /ELECTRONIC MEDIA**

## **POLICY**

The Authority's computer systems, including any voicemail or E-mail systems, are made available for business purposes. The Chief Executive Officer or authorized designee reserves the right to listen to voice mail messages and to access, copy and retain e-mail messages to ensure compliance with this rule, with or without notice to the employee and/or in the employee's absence. The Authority reserves the right to access and review electronic files, messages, mail, etc., and to monitor the use of electronic communications as is necessary to ensure that there is no misuse or violation of any law or Authority policy as described below.

### **1. Use of the Authority Equipment**

Employees are permitted to use the Authority equipment for occasional, non-Authority purposes during rest and meal periods. Nevertheless, the employee has no right of privacy as to any information or file maintained in or on the Authority property or transmitted or stored through the Authority computer systems, voice mail, E-mail or other technical resources.

### **2. Review of Computerized Information**

For business necessity and/or for reasonable cause, the Chief Executive Officer or authorized designee may inspect, investigate or search employees' computerized files or transmissions, voice mail, or E-mail. The Authority may override any applicable passwords or codes in accordance with the best interests of the Authority and its employees.

### **3. Computer Privacy**

Employees may access only files or programs, whether computerized or not, that they have permission to enter. Unauthorized review, duplication, dissemination, removal, damage or alteration of files, passwords, computer systems or programs, or other property of the Authority, or improper use of information obtained by unauthorized means, may be cause for disciplinary action, up to and including termination.

### **4. Software Licensing**

The Authority's policy is to purchase appropriate software licenses for each computer program required for employees to perform their job functions in a timely

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**



and efficient manner. It is the Authority's policy to respect all computer software copyrights and adhere to the terms of all software licenses. Software may only be installed on hardware explicitly allowed under the terms and conditions of that particular software's license. Normally, the software is copyrighted by the software developer, and unless explicitly allowed by an existing license, the Authority or its employees have no right to make copies of the software except for backup or archival purposes.

No unregistered software of any kind is allowed on any Agency-owned computers. Registration of software means that the Agency supplying the software has acknowledged its proper installation, in writing, with a registration number and a record of it kept on file.

Any unregistered software that is detected through random or regular searches, will be removed at the moment of detection. A note of record will be sent to the subject user that such software has been removed for violation of Agency policy.

Any software required by any user must be justified and properly approved, registered, installed and recorded.

This policy is meant to protect the Agency from the ramifications of illegal software installations. Those ramifications can include heavy fines, disruption of the Agency network, seizure of computers, attorney fees, and other detrimental costs to the day-to-day business operations.

## **6. Use of Electronic Media**

Data that is composed, transmitted, accessed, or received via the Internet must not contain content that could be considered discriminatory, offensive, obscene, threatening, harassing, intimidating, or disruptive to any employee or other person. Examples of unacceptable content may include, but are not limited to, sexual comments or images, racial slurs, gender-specific comments, or any other comments or images that could reasonably offend someone on the basis of race, age, sex, religious or political beliefs, national origin, disability, sexual orientation, or any other characteristic protected by law.

Employees who misuse electronic communications and engage in defamation, copyright or trademark infringement, misappropriation of trade secrets, discrimination, harassment or related actions will be subject to disciplinary action, up to and including termination.

While employees may occasionally use electronic mail for personal messages, such messages are also property of the Authority and will be treated no differently from any other messages. The Authority reserves the right to access and disclose all

messages sent over its electronic mail system.

## **7. Computer Passwords**

Personal passwords may be used for purposes of security, but the use of a personal password does not affect the Authority's ownership of the electronic information. Employees are to provide all passwords to the Chief Executive Officer or authorized designee, who will keep them confidential.

## **8. Blogging**

Employees are prohibited from engaging in web logging or "blogging" during working time or while using Authority equipment. Employees "blogging" while not on working time and while not using the Authority's equipment must avoid the disclosure of Authority's information or trade secrets regarding the Authority, and must avoid making statements regarding the Authority or any of its board members, managers or employees which would constitute trade libel or defamation.

# **HUMAN RESOURCES POLICY**

**POLICY #406**

**SUBJECT: AGENCY PROPERTY**

## **POLICY**

All equipment provided by the Authority, including but not limited to desks, lockers, file cabinets, computers, computer systems, and software is considered to be Authority property and to be used for business purposes only. The Authority reserves the right to inspect all Authority property to ensure compliance with its rules and regulations, without notice to the employee and/or in the employee's absence.

Voice mail and/or Electronic mail (E-mail) are to be used for business purposes only. The Authority reserves the right to listen to voice mail messages and to access E-mail messages to ensure compliance with this rule, without notice to the employee and/or in the employee's absence.

It may be necessary to assign and/or change "passwords" and personal codes for voice mail, E-mail, and computers. These items are to be used for Agency business and they remain the property of the Authority. The Authority may keep a record of all passwords/codes used and/or may be able to override any such password system.

Prior authorization must be obtained before any Authority property may be removed from the premises.

For security reasons, employees should not leave personal belongings of value in the workplace. Personal items are subject to inspection and search, with or without notice, with or without the employee's prior consent.

Terminated employees should remove any personal items at the time they leave the Authority. Personal items left in the workplace by previous employees are subject to disposal if not claimed at the time of the employee's termination.

# **HUMAN RESOURCES POLICY**

**POLICY #407**

**SUBJECT: SAFETY AND WORKPLACE VIOLENCE**

## **POLICY**

The Authority has developed guidelines to help maintain a secure workplace. This security policy is intended to keep the Authority's employees safe and to protect its possessions, confidential information and equipment. Employees must be aware of persons loitering for no apparent reason in parking areas, walkways, entrances and exits. Employees must report any suspicious persons or activities to the Chief Executive Officer or designee.

Threatening or intimidating behavior, threats, or acts of violence will not be tolerated and may be grounds for immediate termination, arrest and prosecution, or a civil harassment action. Any individual who engages in threatening behavior or violent acts (or who makes comments about inflicting self-harm or harming others) while on Authority property will be removed from the premises and may not return until the incident is fully investigated. The Authority reserves the right to have any such incident assessed by a professional who specializes in threat assessment.

Threats to or intimidation of employees in the workplace by individuals outside the Authority are also not tolerated and must be reported to the Chief Executive Officer or authorized designee. This may include acts of domestic violence and threats of harm from customers or vendors toward employees or Authority property.

If an employee witnesses or receives a threat, or learns that another person has witnessed or received a threat, they must notify their supervisor or the Chief Executive Officer or designee immediately. Reports must be made of all incidents no matter who was involved or their relationship to each other. If an employee applies for or obtains a protective or restraining order that lists Authority locations as protected, they must send a copy to the Chief Executive Officer or authorized designee. The Authority understands the sensitivity of such information and uses confidentiality procedures that recognize and respect employees' privacy.

Employees must secure their desk, office or vehicle at the end of the day. When called away from the work area for an extended length of time, employees should not leave valuable and/or personal articles in or around the workstation/vehicle that may be accessible. The Authority is not responsible for loss or damage to any personal property or equipment that is brought to an office location or the Authority function.

The security of the office as well as the welfare of employees depends upon the

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

alertness and sensitivity of every individual to potential security risks. Employees should immediately notify management when unknown persons are acting in a suspicious manner in or around the office.



# ***HUMAN RESOURCES POLICY***

**POLICY #408**

**SUBJECT: DRESS CODE**

## **POLICY**

An employee's personal appearance reflects the Authority's image to the public, applicants, consultants, visitors and other employees. All employees are representatives of the Authority and therefore impact the Authority's image as a professional organization. Personal appearance includes grooming, cleanliness and appropriate attire. Employees are expected to dress in professional office clothing and maintain a businesslike and well-groomed appearance.

# **HUMAN RESOURCES POLICY**

**POLICY #409**

## **SUBJECT: VISITORS AND SOLICITATIONS**

### **POLICY**

To prevent inconvenience and disruption in operations and to ensure efficient operation of Authority business, it is necessary to control visitations and solicitations on Authority property.

### **GUIDELINES**

#### **1. Visitors**

All visitors must be met at the reception desk by the employee and escorted to and from the employee's worksite.

Personal visits by friends and relatives shall be kept to a minimum and be of short duration, preferably during break and lunch time. Visitors who are disruptive to the office or its employees should be reported to the Chief Executive Officer/designee and will be asked to leave.

#### **2. Employee Solicitation**

It is against Authority policy to use Authority stationery, supplies or equipment (including bulletin boards, photocopy machines, fax machines, interoffice mail, etc.) for solicitation or distribution of other business or charitable items or offers.

Employees may not solicit during working time for any purpose. Employees may not distribute literature at any time for any purpose in working areas. Working time includes the working time of both the employees doing the soliciting or distributing and the employee to whom the solicitation or distribution is being directed. Working time does not include break periods, meal periods, or any other specified periods during the workday when employees are not engaged in performing their work tasks.

#### **3. Non-Employee Solicitation**

Solicitation or distribution of literature by non-employees of the Authority is prohibited. Access to working areas is limited to employees, on-site consultants to the Authority, and authorized personnel.

Individuals from organizations representing outside interests may not conduct their business on Authority premises unless authorized by the Chief Executive Officer or authorized designee. This includes service organizations; community and education groups; product and sales organizations; and any other club, group or organization. A manager should politely but firmly ask the visitors to leave and call Security to report solicitors in the building.

**Human Resources Guide  
Water Emergency Transportation Authority  
Effective: March 2008**

# **HUMAN RESOURCES POLICY**

**POLICY #410**

**SUBJECT: DRIVING POLICY**

## **POLICY**

Employees are required to maintain their own car insurance and a valid California Driver's License if they drive their own personal vehicle on Authority business. Employees who are required to drive their own vehicle on Authority business will be required to show proof of current, valid licenses and current effective insurance coverage. Employees driving their own vehicles on business will be reimbursed at the mileage rate established by the Authority or through a monthly mileage allowance.

All employees must wear a seat belt at all times.

In the interest of the safety of its employees and other drivers, Authority employees are encouraged to refrain from using cell phones while driving on Authority business and /or time. If the job requires that an employee keep his/her cell phone turned on or in use while driving, the employee must use a hands-free device while conducting business.

If an employee is injured in an automobile accident while driving on Authority business, the employee should contact the Chief Executive Officer or authorized designee as soon as possible to report the incident.

**MEMORANDUM**

---

**TO: Board Members**

**FROM: Steven Castleberry, CEO**  
**Shirley Douglas, Manager, Community Relations**

**SUBJECT: Establishment of Standing Committees**

**Recommendation**

Establish by motion WETA standing committees.

**Background**

The WTA operated with four standing committees. Two of the committees were mandated in the original enabling legislation (SB428-1999).

- A Community Advisory Committee (CAC) was created “to assist and advise the WTA Board of Directors in carrying out its functions.” The legislation stipulated that the legislation include “one member representing each local jurisdiction in which a water terminal exists or is proposed and one member representing each special district providing public water transit services”. The appointments to the CAC were made “by the county board of supervisors and city council of each county or city in which a water terminal is located or is proposed to be located, with one member appointed by the Golden Gate Bridge, Highway and Transportation District.” The WTA CAC consisted of approximately 20 members who were primarily elected officials from around the bay. It met regularly over the past 7 years and was chaired by Redwood City Council Member Diane Howard.
- A Technical Advisory Committee (TAC) was created “to assist and advise the WTA Board of Directors in carrying out its functions.” The TAC consisted of members of local, state and federal agencies, operating ground and water transit agencies. In addition, one member was required to represent interests of fish and wildlife, recreational boating, private environmental protection entities, business, real estate development, architecture, urban planning, private sector vessels operators, organized labor, and the public at large. The TAC had approximately 70 members, and met regularly during the creation of the WTA Implementation Plan. The TAC has not met in several years as most technical issues were addressed on a project by project basis as part of the project development process.
- The WTA Board created an Administration, Legislation, and Finance Committee, comprised of Board members, to review issues related to the administration of the agency. It met several weeks before the Board meetings and made recommendations on Board action items.
- The WTA Board also created a Planning, Development, and Operations Committee, comprised of Board members, to review issues related to the agency’s construction program.

Legislation creating the WETA (SB976) did not mandate the development of committees, but that it could “create advisory committees from other interested public and private groups.” (Chapter 4, 66540.17).

The WTA CAC, at their December meeting, indicated a desire to continue to meet and give input to the new WETA Board. It is recommended that the WETA establish a CAC, to continue to advise and provide local input in its decision making. In addition, staff is requesting Board direction in reestablishing an Administrative and Planning Board Committees.

**Financial Implications**

There is no direct financial affect of this action.

**Options**

Options include postponing the establishment of committees or establishing fewer or different committees.

\*\*\*END\*\*\*

**MEMORANDUM**

---

**TO: Board Members**

**FROM: Steve Castleberry, CEO**  
**John Sindzinski, Manager, Planning & Development**  
**Nina Rannells, Deputy Director of Finance & Administration**

**SUBJECT: Proposition 1B Spending Priorities**

**Recommendation**

No action requested at this time.

**Background**

The November 2006 Prop 1B included funds for a number of statewide transportation investments. Included in the proposition was \$1 billion to be appropriated by the Legislature "to increase the capacity of transit operators, including waterborne transit operators, to develop disaster response transportation systems that can move people, goods, and emergency personnel and equipment in the aftermath of a disaster impairing the mobility of goods, people, and equipment."

Earlier at this meeting, staff presented an analysis of existing ferry capacity for responding to emergencies, as well as an assessment of the existing institutional organization for responding to disasters. That analysis showed docking capacity at the Ferry Building and in Oakland is inadequate to handle the evacuation capacity of the existing ferry fleet. After those improvements are made, expansion of new IOP routes, including the new South San Francisco route, would add emergency response capability.

The recently approved state budget included a transportation omnibus bill (SB 88) that allocates a portion of the Proposition 1B funds. SB 88 allocates the \$1 billion in emergency response funds described above in the following manner.

- 60% of available funds are allocated to STA eligible transit agencies for capital projects that provide increased protection or enhanced security of transit systems. The funds will be distributed by existing formulas for distributing state transit funds.
- 25% of available funds are allocated to regional public waterborne transit agencies authorized to operate regional public water transit systems and who are not otherwise eligible to receive STA funds. These funds are for capital projects that increase capacity of public waterborne transit agencies to provide disaster response. These funds will be administered by State OHS as a grant program for eligible agencies.
- 15% of the available funds are allocated for intercity passenger rail systems for capital project to increase protection against a security or safety threat.



Based on this language, \$250 million may be available to the WETA over the life of the bond, and \$25 million will be available for allocation to the WETA this fiscal year.

**Discussion**

In the next month, State OHS will issue project guidelines and a call for projects to be funded with the 2007/2008 allocation of \$25 million.

Staff has not yet developed a comprehensive spending plan for these funds. However, based on emergency response analysis, we believe general priorities for these funds would be as follows.

1. Increased docking, storage and light maintenance capacity at key San Francisco and East Bay locations
2. Increased fueling capacity in San Francisco, in the East Bay, and in Vallejo (until these first two items are completed, we would not have the capacity to use all of the existing ferry vessels available in the bay area)
3. Close the funding gap for the South San Francisco ferry terminal
4. Advance completion to the extent possible of new ferry routes for which a source of operating funds exist (Berkeley, Richmond, Hercules, and Redwood City)
5. Planning for other routes (Martinez and Antioch)

Given the limited funding for the next fiscal year, specific projects could include:

- Design and permitting for ferry building dock expansion
- South San Francisco terminal construction
- Study, environmental clearance, and design of additional docks and fueling facilities in the East Bay
- Completion of design, right-of-way purchase, and construction of a fueling facility in Vallejo
- Advance Berkeley terminal and vessel design and construction
- Start of preliminary design and environmental clearance for Richmond, Martinez, Antioch, and Redwood City (these activities are already funded for Berkeley)

Each of these projects should include a cooperative agreement with the affected local agencies to require a financial local match or commitment to assist with the delivery of these projects. However, staff recommends these as the necessary initial steps to complete the priority projects listed above.

**Recommendation**

Agendize discussion of funding priorities.

\*\*\*END\*\*\*