



# AGENDA

Technical Advisory Committee

### Committee Members

Shaun Pelletier	City of Aliso Viejo
Rudy Emami	City of Anaheim
Tony Olmos	City of Brea
Nabil S. Henein	City of Buena Park
Raja Sethuraman	City of Costa Mesa
Nardy Khan	County of Orange
Doug Dancs	City of Cypress
Matthew Sinacori	City of Dana Point
Mark Lewis	City of Fountain Valley
Meg McWade	City of Fullerton
William Murray	City of Garden Grove
Travis Hopkins	City of Huntington Beach
Mark Linsenmayer	City of Irvine
Chris Johansen	City of La Habra
Michael Belknap	City of La Palma
Mark Trestik	City of Laguna Beach
Ken Rosenfield	City of Laguna Hills
Jacki Scott	City of Laguna Niguel
Akram Hindiyeh	City of Laguna Woods
Tom Wheeler	City of Lake Forest
Dave Hunt	City of Los Alamitos
Mark Chagnon	City of Mission Viejo
David Webb	City of Newport Beach
Christopher Cash	City of Orange
Luis Estevez	City of Placentia
Brendan Dugan	City of Rancho Santa Margarita
Tom Bonigut	City of San Clemente
Steve May	City of San Juan Capistrano
William Galvez	City of Santa Ana
Steve Myrter	City of Seal Beach
Guillermo Perez	City of Stanton
Doug Stack	City of Tustin
Akram Hindiyeh	City of Villa Park
Marwan Youssef	City of Westminster
Thom Coughran	City of Yorba Linda

Orange County Transportation Authority  
 550 South Main Street, Room 09  
 Orange, California  
**July 24, 2019 1:30 p.m.**

*Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the Measure M2 Local Programs section, telephone (714) 560-5372, no less than two (2) business days prior to this meeting to enable OCTA to make reasonable arrangements to assure accessibility to this meeting.*

*Agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Committee may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.*

*All documents relative to the items referenced in this agenda are available for public inspection at [www.octa.net](http://www.octa.net) or through the Measure M2 Local Programs office at the OCTA Headquarters, 600 South Main Street, Orange, California.*



## Call to Order

## Self-Introductions

## Consent Calendar

*All items on the Consent Calendar are to be approved in one motion unless a Technical Advisory Committee member requests separate action on a specific item.*

### 1. Approval of Minutes

Approval of the Technical Advisory Committee regular meeting minutes of May 22, 2019

## Regular Items

### 2. CTFP Guidelines Update – Joseph Alcock

#### **Overview**

Measure M2 allocates net revenues for the development of various competitive programs which provide funding for transit, environmental cleanup, and local streets and roads projects. Funding for local streets and roads projects is anticipated to be made available (subject to Board of Director's approval) through a 2020 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program. In anticipation of the Board of Director's authorization of a 2020 call for projects later this year, staff has updated the Comprehensive Transportation Funding Programs Guidelines and is seeking direction to advance these proposed revisions to the Orange County Transportation Authority's Board of Directors for consideration and approval.

#### **Recommendation**

Recommend for Board of Directors approval of proposed updates to the Comprehensive Transportation Funding Programs Guidelines

## Discussion Items

### 3. Semi-Annual Review Trend Analysis – Joseph Alcock

### 4. Senate Bill 1 (SB1) Update – Louis Zhao

### 5. Guidance to Assist OCTA Decision Making when Requested to Lead Locally Sponsored Projects – Tamara Warren

### 6. Correspondence



## OCTA Board Items of Interest

- **Monday, May 24, 2019**  
*Item 15: Master Agreement for Transit and Intercity Rail Capital Program*
- **Monday, June 10, 2019**  
*Item 11: Capital Programming Update*  
*Item 12: Funding Recommendations for the 2019 Bicycle Corridor Improvement Program*  
*Item 13: Orange County Transportation Authority State and Federal Grant Programs*  
*Item 18: Comprehensive Transportation Funding Programs – 2019 Call for Projects Programming Recommendations*  
*Item 19: Comprehensive Transportation Funding Programs Semi-Annual Review*  
*Item 20: Measure M2 Quarterly Progress Report for the Period of January 2019 Through March 2019*
- **Monday, June 24, 2019**  
*Item 13: Measure M2 Project W Safe Transit Stops – 2019 Programming Recommendations*
- **Monday, July 8, 2019**  
*Item 7: Measure M2 Eligibility Review Recommendations for Fiscal Year 2017-18 Expenditure Reports*

## Announcements by Email

- May 22, 2019 Technical Advisory Committee Meeting Agenda, *sent 5/17/2019*
- May 22, 2019 TAC Meeting-Request Follow-Up Materials, *sent 5/29/2019*
- June OCTA Technical Steering Committee Meeting Cancellation, *sent 6/3/2019*
- June OCTA Technical Advisory Committee Meeting Cancellation, *sent 6/21/19*
- July 10, 2019 Technical Steering Committee Meeting Agenda, *sent 7/1/2019*

7. **Committee Comments**
8. **Local Assistance Update**
9. **Staff Comments**
10. **Items for Future Agendas**
11. **Public Comments**
12. **Adjournment**

*The Technical Advisory Committee is scheduled to meet on the fourth Wednesday of each month.*



**Approval of Minutes**  
**May 22, 2019**



# AGENDA

Technical Advisory Committee

Item #1

### **Voting Representatives Present**

Shaun Pelletier	City of Aliso Viejo
Rudy Emami	City of Anaheim
Tony Olmos	City of Brea
Mina Mikhael	City of Buena Park
Jennifer Rosales	City of Costa Mesa
Nardy Kahn	County of Orange
Matthew Sinacori	City of Dana Point
Mark Lewis	City of Fountain Valley
Temo Galvez	City of Fountain Valley
Meg McWade	City of Fullerton
Mark Linsenmayer	City of Irvine
Mark Trestik	City of Laguna Beach
Ken Rosenfield	City of Laguna Hills
Jacki Scott	City of Laguna Niguel
Tom Wheeler	City of Lake Forest
Mark Chagnon	City of Mission Viejo
Christopher Cash	City of Orange
Frank Sun	City of Orange
Brendan Dugan	City of Rancho Santa Margarita
Taig Higgins	City of Santa Ana
Doug Stack	City of Tustin
Marwan Youssef	City of Westminster
Rick Yee	City of Yorba Linda
Tiffany Trans	Caltrans

Orange County Transportation Authority  
 550 S. Main Street, Room 09  
 Orange, CA  
**May 22, 2019 1:30 PM**

### **Guests Present**

Bob Stachelski, Huntington Beach  
 Oliver Luu, Caltrans  
 Carlos Barragan, Caltrans  
 Raquel Garcia, La Habra

### **Staff Present:**

Joe Alcock  
 Christina Moore  
 Greg Nord  
 Adriann Cardoso  
 Christina Perez  
 Kurt Brotcke  
 Cynthia Morales

### **Voting Representatives Absent:**

Nabil S. Henein	City of Buena Park
Raja Sethuraman	City of Costa Mesa
Doug Dancs	City of Cypress
William (Bill) Murray	City of Garden Grove
Travis Hopkins	City of Huntington Beach
Chris Johansen	City of La Habra
Michael Belknap	City of La Palma
Dave Hunt	City of Los Alamitos
David Webb	City of Newport Beach
Luis Estevez	City of Placentia
Tom Bonigut	City of San Clemente
Steve May	City of San Juan Capistrano
Steve Myrter	City of Seal Beach
Guillermo Perez	City of Stanton
Akram Hindiyeh	City of Villa Park
Thom Coughram	City of Yorba Linda



*Meeting was called to order by Mr. Lewis at 1:30 p.m.*

## **Self-Introductions**

## **CONSENT CALENDAR**

### **1. The Minutes for the March 27, 2019 meeting were approved.**

Mr. Stack motioned to approve the item. The motion was seconded by Mr. Emami.

## **REGULAR ITEMS**

### **2. March 2019 Semi-Annual Review – Christina Moore**

Ms. Moore presented an overview on March 2019 Semi-Annual Review (SAR) findings.

Mr. Lewis asked if at a future TAC meeting, staff could provide a report documenting M2 project delivery and performance.

Mr. Alcock replied in the affirmative.

Ms. Khan inquired whether the current number of project delays was typical.

Ms. Moore stated the overall number of requests is similar to what the Orange County Transportation Authority (OCTA) has seen during previous SAR cycles. Ms. Moore also mentioned that the March SAR cycle typically includes more delays and fund extension requests, as compared to the September cycle, given that agencies are focused upon project delivery and end of fiscal year deadlines.

Mr. Alcock also stated that the universe of the M2 projects has gotten bigger over time, which is causing the numbers to seem bigger, but on a percentage basis they remain fairly consistent.

Mr. Wheeler motioned to approve the item. The motion was second by Mr. Youssef.

## **DISCUSSION ITEM**

### **3. Senate Bill 743 (SB 743) Update – Greg Nord**

Mr. Nord presented an overview of OCTA's findings and perspectives on SB 743 implementation.



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Mr. Cash noted that the City of Orange was coordinating with other North Orange County agencies to discuss and review SB 743 implementation and stated that based upon his understanding, OCTA would not be doing any regional efforts with respect to SB 743 implementation. Mr. Cash asked if that was still OCTA's position.

Mr. Nord replied in the affirmative but also noted that OCTA was looking at approaches currently being employed by other counties.

Mr. Cash stated that he was concerned that they (local agencies) will run out of time to comply with the state's deadline for July 2020 implementation.

Mr. Stachelski asked if OCTA had any idea how SB 743 would affect CTFP project and project applications.

Mr. Alcock stated that as far as he knew SB 743 would not affect CTFP projects or project applications. He also stated that SB 743 would implement mitigation thresholds for California Environmental Quality Act purposes only.

#### **4. Correspondence**

Mr. Lewis inquired about the status of M2 Eligibility for the cities of Santa Ana and Stanton (cities).

Mr. Alcock stated that an item was taken to OCTA's Board (Board) with a recommendation to find the cities ineligible to receive net M2 revenues; and noted that this included suspension of payments of net M2 revenues until the cities can demonstrate compliance with M2 eligibility requirements and the Board of Directors (Board) acts to find the cities eligible. Mr. Alcock also stated that the recommendation also included direction for: the cities to pay for Fiscal Year (FY) 2018-19 audit costs (from any future Net M2 payments); to increase the cities' MOE requirement for FY 2018-2019 by the amount of expenditures that were not met in FY 2017-2018; and direction for the OCTA Chief Executive Officer to negotiate and execute settlement agreements with the cities.

Mr. Lewis asked, if based upon this recommendation, Local Fair Share (LFS) payments would also be suspended.

Mr. Alcock replied that payment of all M2 Net revenues had been suspended and noted that this included LFS, Senior Mobility, and all M2 competitive funds.

Mr. Lewis asked if this Board action will affect the 2019 Project O and P Call.



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Mr. Alcock responded in the affirmative stating that this would impact two of Santa Ana's projects, which were originally recommended for funding by the Technical Steering Committee and Technical Advisory Committee.

Mr. Lewis also asked for an update on the status of the City of Irvine and Laguna Beach projects, which were not recommended for funding.

Mr. Alcock responded that the 2019 M2 O and P Call for Project's Programming Recommendations had not been taken to the OCTA Regional Planning and Highways Committee (RP&H) or Board. Mr. Alcock stated that the item would be heard during the June series of RP&H and Board meetings.

There was no further discussion.

## 5. Committee Comments – None

## 6. Local Assistance Update

### Active Transportation Program (ATP):

Mr. Luu stated that Caltrans would be providing a webinar series for Cycle 5 ATP applications. He also stated that Cycle 5 workshops would be hosted by the California Transportation Commission (CTC) later in the year.

Mr. Luu further noted that Exhibit 22-G form had been revised and was available on Caltrans website. He also informed the group that the next ATP progress report submittal deadline was July 12, 2019, and further noted that completion reports would be due within six months of contract acceptance, or the project becoming operable (i.e. open to the public), or if all non-infrastructure activities were deemed complete.

### CTC Allocations:

Mr. Luu stated the deadline to submit allocations or time extension requests for the August CTC meeting was June 17, 2019. He also noted that if local agencies wanted to submit major scope change requests (for the ATP programs), which would alter the project's the cost/benefit ratio, the CTC would need solid justification given that the const/benefit analysis is a major component of ATP application scoring.



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## Training:

Mr. Luu stated that Caltrans Headquarters was looking for suggestions on what training to provide. He also noted that on September 11, 2019 the Southern California Local Assistance Management Meeting would be held in District 12.

## Disadvantage Business Enterprise (DBE) Exhibit 9-B and Americans with Disabilities Act (ADA) Exhibit 9-C:

Mr. Barragan stated that June 14, 2019 was the deadline for local agencies to submit the DBE Annual Submittal Form (Exhibit 9-B) and Local Agency ADA Annual Certification Form (Exhibit 9-C) to Caltrans District 12 for Federal FY 2019-2020. Mr. Barragan also stated the DBE Exhibit 9-B and ADA Exhibit 9-C forms needed to be submitted for agencies in order to qualify for federal transportation funds and noted that the forms were available on Caltrans' website.

## Inactive Invoices:

Mr. Barragan announced that August 20, 2019 was the deadline for invoice submittals for the next quarter. He also stated that Caltrans would continue to contact local agencies weekly to ensure that inactive invoices are submitted.

## New Dynamic Invoice 5-A Form:

Mr. Barragan also stated that October 1, 2019 was the projected mandatory deadline for implementation of new Invoice 5-A Forms. He shared that this form was available on Caltrans' website and further stated that Caltrans was looking to see if it was possible to provide new invoice training to local agencies and he would keep the TAC posted.

## Caltrans Web Accessibility for All (CWAA)

Mr. Barragan concluded his comments by stating effective July 1, 2019 Caltrans Headquarters will have completed their ADA website compliance remediation. He stated that this remediation was completed in order to provide better access to Caltrans' resources and information.

## **7. Staff Comments**

Mr. Alcock stated that programming recommendations for M2 Project W (The Safe Transit Stops Program) would be going to Board in June. He also stated that a final



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M2 Eligibility findings for FY 2018-2019 would be going to OCTA Board for approval in July.

Mr. Alcock also stated that M2 Eligibility submittal materials for FY 2019-2020 would be due to OCTA by June 28, 2019.

Mr. Emami inquired if any cities were interested in discussing electric scooters.

Mr. Lewis asked if OCTA can provided any assistance/insights on this topic.

Mr. Brotcke shared that OCTA provided a best practice guideline last year and noted that staff would be happy to provide the document to all local agencies. Mr. Brotcke also stated that if the TAC wants to set up an Ad Hoc Committee on this item, OCTA would be happy to facilitate those discussions.

Mr. Emami stated he thought it would be beneficial to further entertain this topic.

There was no further discussion.

## **8. Items for future Agendas**

- CTFP project delivery report
- Update on Board's action to approve 2019 O and P Call's programming recommendation.

## **9. Public Comments – None**

## **10. Meeting was adjourned at 2:15 p.m.**



# **2019 CTFP Guidelines Update**



**July 24, 2019**

**To:** Technical Advisory Committee

**From:** Orange County Transportation Authority Staff

**Subject:** Measure M2 Comprehensive Transportation Funding Programs – Proposed Guideline Modifications

**Overview**

Measure M2 allocates net revenues for the development of various competitive programs which provide funding for transit, environmental cleanup, and local streets and roads projects. Funding for local streets and roads projects is anticipated to be made available (subject to Board of Directors approval) through a 2020 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program. In anticipation of the Board of Director’s authorization of a 2020 call for projects later this year, staff has updated the Comprehensive Transportation Funding Programs Guidelines and is seeking direction to advance these proposed revisions to the Orange County Transportation Authority’s Board of Directors for consideration and approval.

**Recommendation**

Recommend for Board of Directors approval of proposed updates to the Comprehensive Transportation Funding Programs Guidelines.

**Background**

The Regional Capacity Program (RCP) provides Measure M2 Project O funding for improvements to the Orange County Master Plan of Arterial Highways (MPAH). The program also provides for intersection improvements and other projects to help improve street operations and reduce congestion.

The Regional Traffic Signal Synchronization Program (RTSSP) provides Measure M2 Project P funding for multi-agency, corridor-based signal synchronization throughout Orange County.

These programs allocate funds through a competitive process and target projects that improve traffic by considering factors such as degree of congestion relief, cost effectiveness, and project readiness.

The Comprehensive Transportation Funding Programs (CTFP) document serves as the mechanism with which Orange County Transportation Authority (OCTA) staff administer the RCP and RTSSP, as well as other competitive transit (Projects S, T, and V) and environmental cleanup programs (Project X).

The CTFP Guidelines identify procedures and requirements that local agencies are required to follow in order to apply for M2 funding (and following award of funds) in order to seek reimbursement. These guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010 and were most recently updated and approved in August 2019.

### ***Discussion***

As part of original CTFP Guidelines approval (in 2010), the Board made provisions to modify and adjust the guidelines as needed. In anticipation of Board approval of the 2020 RCP and RTSSP annual call for projects later this year, staff has comprehensively reviewed the Guidelines and made updates, where appropriate, to facilitate program administration.

A general summary of proposed substantive changes is provided below. For a more detailed summary of proposed changes see Attachment A, which provides a table of proposed changes as well as Attachment B, which provides a marked-up version of the Guidelines (in track changes format). It should also be noted that for simplicity, proposed changes that were deemed to be non-substantive (i.e. wording/grammatical, streamlining, and clarifications) are generally not identified.

The most significant proposed changes include the following:

- Project O
  - Revised the point spread for Economic Effectiveness in the Scoring Criteria.
- Project P
  - Noted that OCTA-led projects are not available for this call.
  - Revised total number of corridors per project from two to three.
  - Revised description of eligible activities so that the activities are clearer to applicants.
  - Included three new eligible project features for Project Characteristics.
- Excess Right-of-Way (ROW) Reimbursement
  - Added language clarifying excess property acquired through ROW process for reimbursement.

The Technical Steering Committee (TSC), which met on July 10, 2019, approved the proposed changes to the guidelines, with the following additional modifications to be considered and reviewed by the Technical Advisory Committee (TAC):

- Maintaining the consistency of ineligible item change throughout Chapter 7 for gateway treatment projects (pgs. 7-18 and 7-44 in Guidelines)
- Modification of OCTA staff's recommendations on revising the excess right-of-way disposal policy (pgs. 7-9 and 9-9). The TSC provided specific language that suggested potential use of deed restrictions or liens. However, staff had discussions with the Department Manager of Real Property, who has indicated that this proposed change would be overly burdensome to the process and worked with staff on language that is consistent with Measure M2 requirements for Chapter 9 of the CFTP Guidelines.
- Following TSC action, an additional comment was made regarding having the CFTP Guidelines clarify the maximum amount of fiber capacity that is required to support an M2 Project P traffic signal synchronization project (pg. 8-10)

These TSC proposed changes have been incorporated into Attachments A and B, as appropriate. If the TAC approves these proposed modifications, they will then be submitted to the OCTA Board for further consideration as part the 2020 call, which would proceed according to the general timeline identified below.

- Board authorization to issue call: August 2019
- Application submittal deadline: October 24, 2019
- TSC/TAC Review: February/March 2019
- Committee/Board approval: May 2019

### ***Summary***

The CTFP serves as the mechanism OCTA uses to administer the Regional Capacity Program and Regional Traffic Signal Synchronization Program as well as other competitive programs. In anticipation of a potential 2020 annual call for projects for the Regional Capacity Program and the Regional Traffic Signal Synchronization Program, staff is seeking approval of proposed modifications to the CFTP Guidelines. If approved by the Technical Steering Committee, these proposed updates will be submitted to the OCTA Technical Advisory Committee and subsequently to the OCTA Board of Directors for review and final approval as part of a 2020 call for projects authorization request later this year.

***Attachments***

- A. 2020 CFTP Guidelines (Projects O and P) – Proposed Changes List
- B. Comprehensive Transportation Funding Programs, Guidelines Excerpt, Proposed Revisions

<b>2020 CTFP Guidelines (Projects O and P) – Proposed Changes List</b>				
<b>No.</b>	<b>Section/Chapter</b>	<b>Subsection</b>	<b>Page No.</b>	<b>Proposed Change</b>
1	III. Definitions	8. Excess Right-of-Way and Surplus Right-of-Way	ix	Definition revised
2	III. Definitions	20. O&M Technical Memorandum	x	Added definition for new term
3	III. Definitions - Acronyms	N/A	xii - xiv	Adding new section for Acronyms
4	III. Precepts	2	xvi	Typo corrected
5	III. Precepts	4	xvi	Clarified that a separate cooperative funding agreement will be issued for Project V funded projects and any OCTA-led Project P (RTSSP) funded projects.
6	III. Precepts	32	xix	Revise “shall” to “intent is to”
7	III. Precepts	35	xx	Revised to coincide with language from Chapter 9
8	Chapter 7	Programming Approach	7-2	Revised language to read as “Typically, OCTA has made approximately \$32 million available for each RCP (Project O) programming cycle”
9	Chapter 7	2020 Call for Projects	7-3	Revised language to read as” Contingent on OCTA’s Board approval, the 2020 Call for Projects (call) for RCP (Project O) – under M2 is anticipated to provide approximately \$32 million for...”
10	Chapter 7	Applications	7-4	Contact information updated
11	<del>Chapter 7</del>	<del>ROW Acquisition/Disposal Plan</del>	<del>7-9</del>	<del>Added language clarifying excess property acquired through ROW process for reimbursement</del>
12	Chapter 7	Application Review Process	7-14	Dates and years have been updated for 2020 Call
13	Chapter 7	Ineligible Expenditures	7-18	Added “gateway treatments”
14	Chapter 7	Operational Attributes/Sustainability Elements	7-24	To clarify section related to the scoring criteria, added “Points are awarded at construction phase only”
15	Chapter 7	Table 7-2	7-30	Due to majority of past applicants scoring in the top ranges (9 & 10), recommended reducing the ranges to make category more competitive
16	Chapter 7	Potentially Eligible Items	7-43	Revised “should not” to “shall not”
17	Chapter 7	Ineligible Projects	7-44	Added “gateway treatments”
18	Chapter 8	Objectives	8-2	Added “intersecting crossing arterial”
19	Chapter 8	2020 Call for Projects	8-2	Revised language to read as “Contingent on OCTA’s Board approval, the 2020 Call for Projects (call) for RTSSP (Project P)– under M2 is anticipated to provide approximately \$8 million...”
20	Chapter 8	2020 Call for Projects	8-2	Revised total number of corridors per project from “two (2)” to “three (3)”. Other sections with same language in Chapter were also changed

<b>2020 CTFP Guidelines (Projects O and P) – Proposed Changes List</b>				
<b>No.</b>	<b>Section/Chapter</b>	<b>Subsection</b>	<b>Page No.</b>	<b>Proposed Change</b>
21	Chapter 8	2020 Call for Projects – 5(a)	8-2	Added “A Project Report is required at the conclusion of this phase to document work completed during the PI phase. This PI Project Report shall be submitted according to the payment process”
22	Chapter 8	2020 Call for Projects – 5(b)	8-2	Revised “project final report” to O&M Technical Memorandum”
23	Chapter 8	2020 Call for Projects – 6	8-3	Added “as part of the PI Project Report”
24	Chapter 8	Applications	8-3	Removed “CD” and added “thumb drive, memory stick, or via electronic file upload and/or email”
25	Chapter 8	Applications	8-4	Contact information updated
26	Chapter 8	Application Process	8-4 – 8-6	The 2020 Call will not include OCTA-led projects. Given this, language referring to OCTA-led projects has been removed
27	Chapter 8	Application Review and Program Adoption	8-8	Dates and years have been updated for the 2020 Call, including in other applicable sections throughout Chapter 8
28	Chapter 8	Sample Resolution Form	8-8	In order to clarify ordinances needed for local agencies’ resolutions, added “Local agencies, at a minimum, must include items a-h from the sample resolution.”
29	Chapter 8	Project Definition	8-9	Added “This includes construction or modifications of an Intelligent Transportation Systems communications link between intersections or to the Agency’s Traffic Management Center. This link may be off of the main line but is necessary for a Regional Traffic Signal Synchronization Corridor project.”
30	Chapter 8	Project Definition	8-9	Change from “Two linked corridors” to “Linked corridors”
31	Chapter 8	Eligible Activities/New or Upgraded Communication Systems	8-10	Added “not to exceed 120 strands” in order to clarify the maximum amount of fiber capacity required to support a M2 Project P Traffic Signal Synchronization project.
32	Chapter 8	Eligible Activities/CCTV	8-11	Added “Intelligent cameras that include analytics, such as automated continuous counts and other metrics. If implemented, these items will require a data sharing agreement with OCTA.”
33	Chapter 8	Eligible Activities/Caltrans labor	8-12	Clarified section to reflect eligible items under Caltrans labor activities
34	Chapter 8	Eligible Activities/Active Transportation/Pedestrian Safety related elements	8-12	Added three-line items under Active Transportation/Pedestrian Safety related elements.

<b>2020 CTFP Guidelines (Projects O and P) – Proposed Changes List</b>				
<b>No.</b>	<b>Section/Chapter</b>	<b>Subsection</b>	<b>Page No.</b>	<b>Proposed Change</b>
35	Chapter 8	Ineligible Expenditures	8-12	Added “Rewiring of complete intersection because of age or isolated mitigation”
36	Chapter 8	Selection Criteria/Transportation Significance	8-13	Revised language
37	Chapter 8	Table 8-1 Point Breakdown	8-15	Added three eligible project features for Project Characteristics
38	Chapter 8	Matching Funds	8-17	Added “in-kind match” as eligible for Caltrans fees and expenses
39	Chapter 8	Matching Funds	8-17	Added” Please note, overmatch is subject to the same audit and requirements as in-kind match”
40	Chapter 8	Matching Funds	8-17	Added “In-kind match services are subject to audit”
41	Chapter 8	Matching Funds	8-18	Removed OCTA-led language
42	Chapter 8	Exhibit 8-1 Project P Application Checklist	8-20 & 8-21	Revised/updated Application Checklist
43	Chapter 9	Excess Right-of-Way	9-9 – 9-11	Clarified excess right-of-way reimbursement policies

### III. Definitions

1. The term "agency," "agencies," "local agency" or any form thereof shall be described in Precept 2.
2. "Competitive funds" refers to funding grants received through the Comprehensive Transportation Funding Programs (CTFP).
3. The term "complete project" is inclusive of acquiring environmental documents, preliminary engineering, Right-of-Way (ROW) acquisition, construction, and construction engineering.
4. The term "cost overrun" in reference to projects awarded through the CTFP shall refer to any and all costs beyond the original estimate that are necessary to complete the approved project scope.
5. The term "encumbrance" or any variation thereof shall mean the execution of a contract or other action (e.g. city council award of a primary contract or issuance of a purchase order and Notice to Proceed (NTP)) to be funded by Net Revenues.
6. The term "escalation" or "escalate" is the inflationary adjustment, as determined by the Engineering News Record (ENR) Construction Cost Index (CCI) 20-city average, added to the application funding request (current year basis) for ROW and construction phases (see Precept 13).
7. The term "environmental mitigation" is referred to as environmental clean-up/preservation measures made as part of that projects environmental clearance.
8. ~~For the purpose of these guidelines, the terms "excess right-of-way" and "surplus right-of-way" shall interchangeably refer to excess ROW parcel(s), where parcel(s) are acquired for a specific transportation purpose and a remainder of that parcel(s) is not needed for the transportation. The term "excess right-of-way" is ROW acquired for projects and deemed excess to the proposed transportation use. Excess ROW designation shall be acknowledged by applicant during the grant application process.~~
- 8.9. The term "Fast Track" shall refer to projects that apply for both planning and implementation phase funding in a single competitive application/call for projects.
- 9.10. The term "Fully Burdened Labor Rates" include Work Force Labor Rate (WFLR) plus overhead (see Chapter 9).
- 10.11. The term "funding grant," "grant," "project funding," "competitive funds," "project programming" shall refer to the total amount of funds approved by the Board through the CTFP competitive process.

- ~~11.12.~~ The term "Gap Closure" shall refer to the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- ~~12.13.~~ The term "implementing agency" is the agency responsible for managing the scope, cost and schedule of the proposed project as defined in the grant application.
- ~~13.14.~~ The term "lead agency" shall refer to the agency responsible for the submission of the grant application.
- ~~14.15.~~ The term "Master Funding Agreements" or any form thereof shall refer to cooperative funding agreements described in Precept 4.
- ~~15.16.~~ The term "match rate", "local match", "local matching funds", or any variation thereof, refers to the match funding that an agency is pledging through the competitive process and disposed of through procedures in Chapter 9.
- ~~16.17.~~ A "micro-purchase" is any purchase that does not exceed \$2,500. For the purposes of proof of payment, only an invoice is required.
- ~~17.18.~~ The term "obligate" or any variation thereof shall refer to the process of encumbering funds.
- ~~18.19.~~ "OCFundtracker" refers to the online grant application and payment system used by OCTA to administer the competitive programs awarded through the CTFP. Refer to <https://ocfundtracker.octa.net/>.
20. "Operations and Maintenance (O&M) Technical Memorandum" refers to the report required at the conclusion of O&M phase. It is a technical report that documents the work completed during O&M.
- ~~19.21.~~ The term "project phase" or any form thereof shall refer to the three distinct project phases (engineering, right-of-way, and construction) OCTA funds through the CTFP. Additionally, the "engineering phase" shall include the preparation of environmental documents, preliminary engineering, and ROW engineering. The "ROW phase" shall include ROW acquisition, utility relocation and adjustment to private property as contained in the ROW agreements, private improvements taken, Temporary Construction Easements (TCE), severance damages, relocation costs that are the legal obligation of the agency, as well as loss of good will, fixtures and equipment including legal cost. The "construction phase" shall include construction and construction engineering. A fourth phase defined as "Operations & Maintenance" applies to select programs and is described more fully in the applicable program chapter.

## IV. Acronyms

AADT – Average Annual Daily Traffic

ACE – Arterial Capacity Enhancements

ADA – Americans with Disabilities Act of 1990

ADT – Average Daily Trips

A/E – Architectural/Engineering

APIRI – Applications Programming Interface with Referenced Implementations

ATC – Advanced Transportation Controller

ATMS – Advanced Transportation Management System

BMP – Best Management Practices

B/RVH – Boardings Divided by the Revenue Vehicle Hours

C2C – Center-to-Center Communication

CASQA – California Stormwater Quality Association

CAPPM – Cost Accounting Policies and Procedures Manual

CCI – Construction Cost Index

CCTV – Closed Circuit Television

CDS – Continuous Deflection Separator

CFS – Climate Forecast System

CE – Categorical Exemption/Exclusion

CEQA – California Environmental Quality Act

CIP – Capital Improvement Plan

CPI – Catchment Prioritization Index

CSPI – Corridor System Performance Index

CTC – California Transportation Commission

CTFP – Comprehensive Transportation Funding Programs

ECAC – Environmental Cleanup Allocation Committee

ECP – Environmental Cleanup Program

EIR – Environmental Impact Report

ENR – Engineering News Record

EVP – Emergency Vehicle Preempt  
FAST – Freeway Arterial/Streets Transition  
FTA – Federal Transit Administration  
FY – Fiscal Year  
GIS – Geographic Information System  
GSRD – Gross Solid Removal Device  
HAWK – High-Intensity Activated Crosswalk Signaling Systems  
ICE – Intersection Capacity Enhancements  
ICU – Intersection Capacity Utilization  
ID – Identification  
IRWMP – Integrated Regional Water Management Plan  
ITS – Intelligent Transportation System  
LFS – Local Fair Share  
LID – Low-Impact Development  
LOS – Level of Service  
M2 – Measure M2  
MG/yr – Megagrams per Year  
MPAH – Master Plan of Arterial Highways  
MUTCD – Manual on Uniform Traffic Control Devices  
ND – Negative Declaration  
NEPA – National Environmental Policy Act  
NTP – Notice to Proceed  
O&M – O&M  
OCTA – Orange County Transportation Authority  
OCTAM – Orange County Transportation Analysis Model  
PA/ED – Project Approvals/Environmental Documentation  
PCI – Pavement Condition Index  
PI – Primary Implementation  
PSR – Project Study Report

PS&E – Plan, Specification and Estimate  
PUC – Public Utilities Commission  
RCP – Regional Capacity Program  
RGSP – Regional Grade Separation Program  
RTSSP – Regional Traffic Signal Synchronization Program  
ROADS – Roadway Operations and Analysis Database System  
ROW – ROW  
RVH – Revenue Vehicle Hours  
SAR – Semi-Annual Review  
SBPAT – Structural BMP Prioritization Analysis Tool  
SLPP – State-Local Partnership Program  
TAC – Technical Advisory Committee  
TCE – Temporary Construction Easement  
TCIF – Trade Corridors Improvement Funds  
TDA – Transportation Development Act  
TMC – Traffic Management Center  
TOC – Traffic Operations Center  
TPC – Total Project Cost  
TPI – Transportation Priority Index  
TSC – Technical Steering Committee  
TSP – Transit Signal Priority  
UPS – Uninterruptible Power Supply  
UTDF – Universal Traffic Data Format  
v/c – Volume/Capacity  
VMT – Vehicle Miles Traveled  
WFLR – Work Force Labor Rates  
WQLRI – Water Quality Load Reduction Index

## **IV.V. Precepts**

The OCTA Board of Directors (Board) approved these guidelines on March 22, 2010. The guidelines subsequently have been amended and approved by the Board as needed. The purpose is to provide procedures that assist in the administration of the CTFP under M2 where other superseding documents lack specificity. OCTA, or an agent acting on the authority's behalf, shall enforce these guidelines.

1. All eligible Orange County cities and the County of Orange may participate in the M2 competitive programs and federal funding programs included in the CTFP. Other agencies (e.g. Department of Transportation or local jurisdiction) may participate on a project, however, one local agency shall be designated as the implementing agency, shall be responsible for all funding requirements associated with the project, and shall be the recipient of funds through the program.
2. To participate in the CTFP, OCTA must declare that an agency is eligible to receive M2 Net Revenues which include LFS~~LFS~~ distributions. Failure to meet minimum eligibility requirements after programming of funds will result in deferral or cancellation of funding.
3. The lead agency must execute a Master Funding Agreement with the OCTA. OCTA and lead agencies will periodically amend the agreement via letter to reflect funding changes through competitive calls for projects.
4. A separate cooperative funding agreement will be issued for Project V funded projects and any OCTA-led Project P (RTSSP) ~~(Project P) projects~~ funded projects.
5. An agency must have a fully executed letter agreement prior to the obligation of funds. Local agencies may be granted pre-award authority for M2 funded projects. Local agencies, at their own risk, may use this pre-award authority to obligate funds for an M2 funded project prior to the programmed year. Expenditures prior to the Board approved programmed year will not be eligible for reimbursement (see Chapter 9).
6. For transit programs not covered by the letter agreement process (e.g. Projects S, V and W), pre-award authority is granted upon Board approval of the funding grant. See Precept 5 above for pre-award authority provisions.
7. Local agencies shall scope projects, prepare estimates, and conduct design in cooperation with and in accordance with the standards and procedures required by the local agencies involved with the project (e.g., Caltrans, County, state/federal resource agencies).
8. Local agencies should select consultants based upon established contract management and applicable public contracting practices, with qualification-based selection for architectural/engineering (A/E) services, and competitive bidding

Intersection Capacity Utilization (ICU) calculations shall use 1,700 vehicles per hour per lane with a .05 clearance interval.

25. OCTA shall consider matching fund credit(s) for an implementing agency's proposed projects current and applicable environmental clearance expenditures. OCTA will review and consider these expenditures on a case-by-case basis at the time of funding approval.
26. An approved CTFP project may be determined ineligible for funding at any time if it is found that M2 funding has replaced all or a portion of funds or commitments that were to be provided by other sources such as: development conditions of approval, development deposits, fee programs, redevelopment programs or other dedicated local funding sources (i.e., assessment districts, community facilities districts, bonds, certificates of participation, etc.). Appeals may be made in accordance with Precept 39.
27. OCTA may fund environmental mitigation, up to 25 percent (25%) of the total eligible project cost by phase, as required for the proposed project contained in the environmental document. Participating environmental mitigation expenditures are eligible for funding under certain programs, but not all.
28. Construction Engineering, Construction Management, Materials Testing, Engineering Support and/or Project Management shall not exceed 15 percent (15%) of the total eligible project cost based upon the engineers' estimate. The cap is applied to the sum of eligible expenses, contract change orders (within the scope of work), equipment and materials (e.g. eligible traffic signal equipment).
29. Contract change orders are only eligible for reimbursement of work due to unforeseen changed conditions within the original scope of work and not exceeding 10 percent (10%) contingency provided in the application cost estimate.
30. OCTA shall evaluate "whole" projects during the initial review process. Subsequent phase application reviews shall not include prior phases in the evaluation unless locally funded and pledged as a match and are subject to OCTA verification. The criteria for ranking project applications is included in these guidelines as part of each program component chapter.
31. Projects that receive competitive CTFP funds shall not use other M2 competitive funds as a local match source. Lead agencies may request project consolidation. The TAC and Board must approve consolidation requests. OCTA shall use the weighted average match rate of the consolidated project's individual segments.
32. OCTA shall conduct a SAR of all active CTFP projects. All agencies shall participate in these sessions through a process established by OCTA. Currently, OCTA administers the SAR through OCFundtracker. OCTA's intent is to~~shall~~: 1) verify project schedule, 2) confirm project's continued viability, 3) discuss project changes

- to ensure successful and timely implementation, 4) request sufficient information from agencies to administer the CTFP, and 5) address any potential issues with external fund sources committed as match against the competitive funds.
33. For any project experiencing cost increases exceeding 10 percent (10%) of the originally contracted amount, a revised cost estimate must be submitted to OCTA as part of the SAR process. This is applicable even if the increase is within the overall grant amount.
  34. Agencies shall submit payment requests to OCTA in a timely fashion. Agencies may request an initial payment for M2 (generally up to 75 percent (75%) of programmed amount or eligible expenditures, see Chapter 9) once the funds have been encumbered. The final 25 percent (25%) of the available programmed balance will be released upon the submission of an approved final report.
  35. For situations where a grant amount exceeds \$2,000,000, the amount withheld pending the submittal of an approved final report shall be capped at \$500,000 per project phase but shall in no case be less than 10 percent (10%) of the grant or the contract amount, whichever is less. Should the 75 percent/25 percent (75%/25%) payment distribution ratio result in a final payment retention that exceeds \$500,000, the payment percentages will be adjusted to meet the \$500,000 cap until the 10 percent (10%) threshold is reached. At no time will the final payment retention be less than 10 percent (10%).
  36. When a project phase is complete, an agency shall notify OCTA in writing within thirty (30) calendar days of completion. The date of project phase completion will begin the 180-day requirement for the submission of a project final report as required by the M2 Ordinance, Attachment B, Section III.A.9.
  37. An agency shall provide final accounting in an approved final report format (see Chapter 9) within 180 calendar days of project phase completion. The process for untimely final reports is described in Chapter 9. Failure to provide a final accounting shall result in repayment of applicable M2 funds received for the project phase in a manner consistent with the Master Funding Agreement. Projects funded with M2 funding require a project final report within 180 calendar days of project phase completion as part of eligibility compliance. Failure to meet eligibility requirements, including submittal of final reports within 180 calendar days of project phase completion may result in suspension of all net revenues including fair share funds.
  38. The payment distribution ratio referenced in Precept 35 may be modified to a reimbursement process, at the discretion of the Board, in the event that financing, or bonding is required to meet OCTA's cash flow needs.
  39. Agencies may appeal to the TAC on issues that the agency and OCTA staff cannot resolve. An agency may file an appeal by submitting a brief written statement of the

## Funding Estimates

Funding will be provided on a pay-as-you go basis. The RCP will make an estimated \$1.1 billion (in 2005 dollars) available during the 30-year M2 program. Programming estimates are developed in conjunction with periodic calls for projects. Funding is shared with intersection, interchange and grade separation improvement categories. No predetermined funding has been set aside or established for street widening.

## Programming Approach

Programming decisions are based upon project prioritization ranking, feasibility and readiness. Each round of funding has resulted in a diverse range of activities, cost and competitive score. Funding applications may seek financial assistance for planning, engineering, ROW, construction or a combination of these activities. Effective grant programs include a combination of project development as well as implementation projects. In order to ensure continued distribution of funding opportunities between small and large-scale projects, a tiered funding approach will be used.

~~Typically, OCTA has made approximately \$32 million available for each RCP (Project O) programming cycled during the 2020 Call for Projects.~~ Category 1 projects are limited to those projects requesting \$5 million or less. Category 2 projects are defined as those requesting more than \$5 million in Measure M2 funds.

**Tiered Funding Approach:** The two-tiered funding (Tier 1 and Tier 2) approach will only be applicable to the RCP. This approach is proposed to prioritize high scoring projects while providing a balanced program with funding availability for small and large projects. The first tier is for projects scoring 50 points or higher, and the second tier is for all projects after first satisfying the Tier I ranking. Within Tier 1, two categories would be established with 60 percent (60%) (Category 1) of the M2 funds available for smaller projects (requesting \$5 million or less), and 40 percent (40%) (Category 2) of the M2 funds available for larger projects (requesting \$5 million or more). This approach is intended to broaden the distribution of M2 funds to higher scoring/lower cost projects and retain the ability to fund larger projects without placing formal funding caps on allocations. Any M2 funds not programmed in Tier I will be designated for Tier 2 allocation. A funding split between small and large projects is not recommended for Tier 2.

Applications may be for any project phase provided it represents a meaningful, logical terminus and is consistent with scoping from a previously funded project if applicable (i.e., if engineering was previously funded, the ROW and/or construction request must be for the same project scope).

	Category 1 (60%)	Category 2 (40%)
Tier I >=50	<ul style="list-style-type: none"> <li>• \$0 - \$5 million</li> <li>• Score at least 50 points</li> <li>• Logical, standalone project</li> <li>• Unallocated balance shifts to Tier II for programming</li> </ul>	<ul style="list-style-type: none"> <li>• \$5+ million request</li> <li>• Score at least 50 points</li> <li>• Logical, standalone project</li> <li>• Unallocated balance shifts to Tier II for programming</li> </ul>
Tier II	<ul style="list-style-type: none"> <li>• Balance of unallocated funds from Tier I prioritization</li> <li>• Request can be of any dollar value to compete in Tier II</li> <li>• Multiple segments of the same project cannot be submitted under both categories.</li> </ul>	

**2020 Call for Projects**

Contingent on OCTA’s Board approval, the 2020 Call for Projects (call) for RCP (Project O) – under M2 is anticipated to provide approximately **\$32 million** for streets and roads improvements across Orange County.

Funding will be provided for the three RCP funding programs: ACE, ICE, and FAST. Chapter 7 details the specific program’s intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds. Each section should be read thoroughly before applying for funding. Application should be prepared for the program that best fits the proposed project.

For this call, OCTA shall program projects for a three-year period (FY 19/20 – 21/22), based upon the current estimate of available funds. For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

**Applications**

In order for OCTA to consider a project for funding, applications will be prepared by the lead agency. A separate application package must be completed for each individual project. Multiple variations of the same project (i.e. with different local match rates) will not be considered. If funding is requested under multiple program components for a single project (i.e. arterials and intersections) a separate application must be prepared

for each request. OCTA shall require agencies to submit both online and hardcopy applications for the 2020 call for projects by **5:00 p.m. on ~~Thursday~~Friday, October 24~~18~~, 2019~~8~~**. **Late and/or incomplete submittals will not be accepted.**

Since each funding program has slightly different application requirements, an "Internal Application Checklist Guide" has been provided for the three programs under the RCP (Exhibits 7-1, 7-2, and 7-3). The checklist guide identifies the basic forms and documentation required for each of the program components. In addition, items required at the time of project submittal are differentiated from supplemental items due later. The appropriate **checklist must be provided as a cover sheet for each application submitted**. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application. In addition to this checklist guide, please review the **Attachments/Additional Information** section of each program component for a description of supplementary documentation which may be required to support your agency's project application in specific cases.

Additionally, **three (3) unbound hardcopies** of the application and any supporting documentation must be submitted to OCTA by the application deadline.

Hardcopy applications should be mailed to:

OCTA  
Attention: ~~Alfonso Hernandez~~Joe Alcock  
600 S. Main Street  
P.O. Box 14184 Orange, CA 92863-1584

Hardcopy applications can be hand delivered to:

600 S. Main Street  
Orange, CA 92868

“ROW acquisition/disposal plan” form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.

~~Property that is acquired through the right-of-way acquisition process that is not required for construction or is excess after construction is complete is considered ineligible for ROW funding. OCTA will reimburse the local agency for the M2 eligible portion of the property acquisition required for the project, with the “project portion” calculated as the sales price (at purchase) times the percentage of the acreage actually required for the project. If the reimbursement has already been made, the local agency must return the funds used toward excess ROW to OCTA based on the reimbursement calculation described above.~~

## Project Summary Information

For each application that is recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for TAC review and discussion purposes. The presentation shall be no more than three (3) slides and should contain, at a minimum, a project description, project benefits, location map, and cost estimate. **OCTA staff will request the PowerPoint when/if a project is recommended for funding.**

## Pavement Management Supporting Documentation

The M2 Ordinance provides for a 10 percent (10%) reduction in the required local match if the agency can either:

- a. Show measurable improvement of paved road conditions during the previous reporting period defined as an overall weighted (by area) average system improvement of one Pavement Condition Index (PCI) point with no reduction in the overall weighted (by area) average PCI in the MPAH or local street categories;

or

- b. Road pavement conditions during the previous reporting period within the highest 20% of the scale for road pavement conditions in conformance with OCTA Ordinance No. 3, defined as a PCI of 75 or higher, otherwise defined as in “good condition”.

If an agency is electing to take the 10 percent (10%) local match reduction, **supporting documentation indicating either the PCI improvement or PCI scale must be provided.**

## Additional Information

The following documentation should be included with your completed project application:

scored, ranked and submitted to the TSC, TAC and Board for consideration and funding approval.

Local agencies awarded funding will be notified as to which projects have been funded and from what sources after the Board takes action. A tentative call schedule is detailed below:

Board authorization to issue call: August 201~~9~~8

Application submittal deadline: October ~~24~~18, 201~~9~~8

TSC/TAC Review: February/March 20~~20~~19

Committee/Board approval: May 20~~20~~19

## Funding

M2 RCP (Project O) funding will be used for this call.

The CTFP Guidelines include a provision that allows applicants to request ROW and/or construction funding prior to completion of the planning phase (including final design) provided that the phase is underway, substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year. A thorough review of eligible activities is not always possible during the call for projects evaluation period. As a result, it is possible that cost elements contained within an application and included in a funding recommendation may ultimately be deemed ineligible for program participation. The applicant is responsible for ensuring projects are implemented according to eligible activities contained within the program guidelines.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are not eligible in the construction phase subject to the limitations previously described. New or relocated fire hydrants are ineligible.

In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

## Ineligible Expenditures

Items that are not eligible under the ACE Program are:

- Grading outside of the roadway ROW not related to a TCE or ROW agreement.
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping, ~~and~~ aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape)
- ROW acquisition and construction costs for improvements greater than the typical ROW width for the applicable MPAH Roadway Classification. (See standard MPAH cross sections in Exhibit 7-5) Where full parcel acquisitions are necessary to meet typical ROW requirements for the MPAH classification, any excess parcels shall be disposed of in accordance with the provisions of these guidelines, State statutes as outlined in Article XIX and the California State Controllers Guidelines Relating to Gas Tax Expenditures.
- Utility Betterments
- Construction of new utilities

Operational Attributes (within the roadway): This category is additive. Each category, except Active Transit Routes, must be a new feature added as a part of the proposed project.

- **Pedestrian Facilities**: Placement of a new sidewalk where **none currently exists** along an entire segment of proposed project.
- **Meets MPAH configuration**: Improvement of roadway to full MPAH standard for the segment classification.
- **Active Transit Route(s)**: Segments served by fixed route public transit service.
- **Bus Turnouts**: Construction of bus turnouts.
- **Bike Lanes**: Installation of new bike lanes
- **Median (Raised)**: Installation of a mid-block raised median where none exists today. Can be provided in conjunction with meeting MPAH standards.
- **Remove On-street Parking**: Elimination of on-street parking in conjunction with roadway widening project. Can be provided in conjunction with meeting MPAH standards and installation of new bike lanes.
- **Sustainability Elements**: Includes the use of recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.
- **Water Conservation**: Includes elements that reduce water consumption, compared to current usage within project limits, such as the replacement of existing landscaping with hardscape and/or "California Native" drought tolerant type landscaping; the replacement of existing sprinklers with drip irrigation systems; the installation of new "grey" or recycled water systems where such does not currently exist.
- **Safety Improvements**: Project features that increase the safety of pedestrians. These elements can include the new installation of: median barriers, curb extensions, residential traffic diverters, pedestrian crossing islands, pedestrian activated signals, crosswalk enhancements, safety signage, and the addition, modification, or improvement of existing pedestrian signals. Other elements of safety may be considered on a case by case basis.
- **Other** (Golf cart paths in conformance with California Vehicle Code and which are demonstrated to remove vehicle trips from roadway).

Improvement Characteristics: Select one characteristic which best describes the project:

- **Gap Closures**: the construction of a roadway to its full MPAH build-out for the purpose of connecting two existing ends of that roadway by filling in a missing

## Table 7-2 Street Widening Point Breakdown

### ACE SCORING CRITERIA Point Breakdown for Arterial Capacity Enhancement Projects Maximum Points = 100

<b>Facility Usage</b>			<b>Points: 30</b>	<b>Facility Importance</b>			<b>Points: 20</b>
Existing ADT Range			Points	Transportation Significance Range			Points
45+	thousand		10	Principal or CMP Route			10
40 – 44	thousand		8	Major			8
35 – 39	thousand		6	Primary			6
30 – 34	thousand		5	Secondary			4
25 – 29	thousand		4	Collector			2
20 – 24	thousand		3	<b>Operational Attributes</b>			
15 – 19	thousand		2	(within the roadway)			<b>Max Points: 10</b>
10 – 14	thousand		1	Pedestrian Facilities (New)			3
<10	thousand		0	Meets MPAH Configs.			3
<b>Existing ADT Range</b>			<b>Points</b>	Bike Lanes (New)			3
31+	thousand		10	Active Transit Route(s)			2
26 – 30	thousand		8	Bus Turnouts			2
22 – 25	thousand		6	Median (Raised)			2
18 – 21	thousand		5	Remove On-Street Parking			2
14 – 17	thousand		4	Water Conservation Elements			2
11 – 13	thousand		3	Safety Improvements			2
08 – 10	thousand		2	Sustainability			2
04 – 07	thousand		1	Other			2
<4	thousand		0	<b>Benefit</b>			<b>Points: 35</b>
<b>Current Project Readiness</b>			<b>Max Points: 10</b>	<b>Improve Characteristics</b>			<b>Points</b>
ROW (All Easement and Titles)			5	Gap Closure			10
Final Design (PS&E)			4	New Facility/Extension			8
Environmental Approvals			2	Bridge Crossing			8
Preliminary Design (35%)			2	Adds Capacity			6
ROW (All Offers Issued)			2	Improves Traffic Flow			2
Points are additive. Design and ROW limited to highest qualifying designation.				<b>LOS Improvement</b>			<b>Max Points: 25</b>
<b>Economic Effectiveness</b>			<b>Points: 15</b>	Existing LOS Starting Point Range			<b>Points</b>
Cost Benefit (Total \$/ADT Range*)			<b>Points</b>	(LOS Imp x LOS Starting Pt)			
< 499			10	1.01+			5
<del>50100</del> – <del>14974</del>			9	.96 – 1.00			4
<del>1750</del> – <del>199</del>			7	.91 – .95			3
<del>1200</del> – <del>1249</del>			5	.86 – .90			2
<del>1250</del> – <del>1299</del>			4	.81 – .85			1
<del>2300</del> – <del>2349</del>			3	<.81			0
<del>2350</del> – <del>3299</del>			2	<b>LOS Improvements with Project (exist. Volume)</b>			
<del>4300</del> – <del>349499</del>			1	Existing LOS Starting Point Range			<b>Points</b>
<del>350500+</del>			0	.20+			5
Funding Over-Match (local match/project cost) minus minimum local match requirement.				.16 – .20			4
Range*			<b>Points</b>	.10 – .15			3
25+%			10	.05 – .09			2
20 – 24%			9	.01 – .05			1
15 – 19%			7	<.01			0
10 – 14%			5				
05 – 09%			4				
00 – 04%			3				
*Range refers to % points above agency minimum requirement.							

- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices (details below)
- Aesthetic improvements including landscaping within the project ROW (eligible improvements up to 10 percent (10%) of construction costs, provided costs are reasonable for the transportation benefit)
- Rehabilitation and/or resurfacing of existing pavement when necessitated by proposed improvement (such as change in profile and cross section)
- Improvements to private property if part of a ROW settlement agreement
- Utility relocation where the serving utility has prior rights as evidenced by a recorded legal document
- Roadway grading within the ROW ~~shall~~ not ~~to~~ exceed a depth for normal roadway excavation (e.g. structural section) or as required by TCEs, and/or ROW agreement related improvements. Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
- Auxiliary lanes if necessitated by interchange improvements
- Soundwalls (in conjunction with roadway improvement mitigation measures)

Environmental mitigation will be allowed only as required for the proposed roadway improvement, and only as contained in the environmental document. Program participation in environmental mitigation shall not exceed 25 percent (25%) of the total eligible project costs.

Longitudinal storm drains are eligible for program participation when the storm drain is an incidental part (cost is less than 25 percent (25%) of the total eligible improvement cost) of an eligible improvement. Program participation shall not exceed 10 percent (10%) of the cost of storm drain longitudinal/parallel and main lines. Storm drain inlets, connectors, laterals and cross culverts shall have full participation in FAST improvement category funding. Storm drains outside standard MPAH ROW widths are not eligible, excluding catch basins within reasonable distance and in general proximity to a project intersection (e.g. within ten feet of the curb return). Catch basins and drainage systems extending into adjacent areas (including public streets) shall not be eligible past the first catch basin.

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and shall not exceed 25 percent (25%) of the total eligible project cost. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are eligible at up to 10 percent (10%) of the total eligible construction costs, provided costs are reasonable for the transportation benefit.

The relocation of detention basins/bioswales are potentially eligible dependent on prior rights and will be giving consideration on a case by case basis (see utility relocations below).

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). OCTA assumes rough roadway grading is complete prior to project start and is considered an ineligible item.

## Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when:

- The relocation is made necessary due to conflict with proposed improvements.
- The facility to be relocated is within the project right-of-way.
- It has been determined that the local agency is legally liable for either a portion of or all of the relocation costs.

Liability can be determined by property rights, franchise rights/agreements, state and local statutes/ordinances, permits, a finding by the local agency's counsel, or other recorded legal document. Documentation providing proof of the local agency's liability for the costs of utility relocation must be submitted with an initial payment request (see Chapter 9). Utilities funded through enterprise funds shall not be eligible for reimbursement.

If a relocation is eligible to be reimbursed, and to be performed by the utility owner or by the utility owner's contractor, the work should be included in the ROW phase costs and clearly identified in the project application submittal. For eligible relocations to be performed during the construction phase by the local agency's contractor, the work should be included in the plans and specifications similar to other construction activities. Adjustment of existing utilities to grade (e.g. water valves, manhole frames and covers), due to new roadway cross sections are generally eligible in the construction phase.

In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must be reduced by any salvage credits received.

## Ineligible Projects

- Seismic retrofit projects (unless combined with eligible capacity enhancements)
- Enhanced landscaping, ~~and~~ aesthetics and gateway treatments (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

## Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, level of services benefits, local match funding and overall facility importance. Technical categories and point values are shown on Tables 7-5 and 7-6. Data sources and methodology are described below.

## Objectives

- Synchronize traffic signals across jurisdictions
  - Monitor and regularly improve the synchronization.
  - Synchronize signals on a corridor, intersecting crossing arterial and/–or route basis reflecting existing traffic patterns in contiguous zones or road segments that have common operations.

## 2020 Call for Projects

Contingent on OCTA's Board approval, Tthe 2020 Call for Projects (call) for RTSSP (Project P)– under M2 is anticipated to will–provide approximately **\$8 million** for signal coordination across Orange County. The following information provides an overview of the 2020 RTSSP Call for Projects:

1. Projects must result in new, optimized, and field-implemented coordination timing.
2. Project may be a single contiguous corridor or set of contiguous corridors related to each other. Multiple corridors, related systems of corridors, and corridors that form a “grid” may be submitted as a single optimized timing project. However, the total number of corridors per project will be limited to three (3) two (2) and the total number of intersections between these corridors are limited to fifty (50).
3. Projects selected will be programmed after July 1 of the programmed year (July 1 – June 30).
4. Project delays resulting in a time extension request will fall within the process outlined in the CTFP Guidelines.
5. Projects are funded for a grant period of three (3) years and are divided into two phases:
  - a. Primary Implementation (PI) – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. A Project Report is required at the conclusion of this phase to document work completed during the PI phase. This PI Project Report shall be submitted according to the payment process.
  - b. Ongoing O&M – includes the required monitoring and improving optimized signal timing in addition to any optional communications and/or detection support. O&M will begin after the optimized signal timing is implemented and be required for the remainder of the project (typically 2 Years). An O&M Technical Memorandum project final report is required at the conclusion of this phase to document work completed during the O&M phase.
6. Projects shall include a Before and After Study. This study shall collect morning, mid-day, and evening peak periods using travel times, average speeds, green lights to red lights, stops per mile, and the derived corridor system performance index (CSPI) metric. This information shall be collected both before any signal timing changes have been made and after the PI. The study shall compare the information

collected both before and after the timing changes. Comparisons shall identify the absolute and percent differences for the entire corridor, by segment, direction, and time period. Segments will be defined by major traffic movements as observed during the project (e.g. commuting segments between freeways, pedestrian-friendly segments in a downtown area, etc.). The Before and After study shall also include field inventory, count data, modeling data, and Greenhouse Gas calculations. The Before and After Study shall be submitted after the PI phase is completed as part of the PI Project Report.

7. Any corridor or portion of a corridor funded through this call cannot re-apply for funding until the three-year grant period or commitment to operate signal synchronization beyond the three-year grant period is completed, whichever ends later.
8. This chapter identifies the selection criteria for projects, eligible activities, minimum project requirements, data compatibility required as part of any funded project, and other key information.

Additional details of the specific program's intent, eligible project expenditures, ineligible project expenditures, and additional information that may be needed when applying for funds are included in this chapter. Each section should be read thoroughly before applying for funding. Application should be prepared for the program that best fits the proposed project.

For specifics on the funding policies that apply to this call, refer to the Program Precepts as found in Section IV of these guidelines.

## Applications

In order for OCTA to consider a project for funding, applications will be prepared by the local agency responsible for the project application. OCTA shall require agencies to submit applications for the call for projects by **5:00 p.m. on Thursday, October 24, 2019**. Late and/or incomplete submittals will not be reviewed or considered. The local agency responsible for the project application must submit the application and any supporting documentation via OCFundtracker as outlined below.

A separate application package must be completed for each individual project and uploaded to OCFundtracker. **Three (3) unbound printed copies and one electronic copy on a ~~CD or~~ USB, thumb drive, memory stick, or via electronic file upload and/or email** of each complete application shall also be mailed or delivered to:

Orange County Transportation Authority  
550 South Main Street  
P.O. Box 14184  
Orange, California 92863-1584  
Attn: Alfonso Hernandez

[Email: AHernandez@octa.net](mailto:AHernandez@octa.net)

## Application Process

Project grants are determined through a competitive application process administered by OCTA. Agencies seeking funding must complete an online application, a supplemental application, and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Key information to be provided as part of the application process includes:

- Funding needs by phase and fiscal year
- Percent match rate including funds type, source, and description (minimum 20 percent (20%))
- Lead agency ~~Option 1~~ (default – local agency) ~~or Option 2 (OCTA)~~
- Lead and supporting agencies names
- Supporting technical information
- Project development and implementation schedule
- Environmental clearances and other permits
- Any additional information deemed relevant by the applicant
- Complete photographic field review (including cabinet interiors and communication facilities) for all projects that ~~either exceed one million dollars in capital improvements or request OCTA serve as lead agency regardless of capital improvement budget.~~ Original photos shall be uploaded to OCFundtracker or included with electronic copy of application.
- ~~Current City Specifications (including specific equipment specifications, inspection requirements, etc.) if OCTA is requested to be the lead agency. Refer to the 2019 Supplemental Application for additional information. This shall be uploaded to OCFundtracker or included with electronic copy of application.~~

A call for projects for the funding cycle will be issued as determined by the Board. Complete project applications must be submitted by the established due dates to be considered eligible for consideration.

An application should be submitted for a single corridor or route corridor project. Multiple corridors that form a "grid" may be submitted as separate or single project(s). However, the total number of corridors per route corridor project will be limited to three (3) and the total number of intersections between the these corridors are limited to fifty (50). A single corridor project not proposed as a connected route or grid project may be submitted and is not subject to the 50-intersection limit. The following instructions should be used in developing project applications.

Applications will be reviewed by OCTA for consistency, accuracy, and concurrence. Once applications have been completed in accordance with the Program requirements, the

projects will be scored, ranked, and submitted to the TSC, TAC, and the Board for consideration and funding approval. OCTA reserves the right to evaluate submitted project costs for reasonableness as part of the review and selection process and suggest potential revisions to make the cost more appropriate. Grants will be subject to funding agreements with OCTA.

## Other Application Materials

Supporting documentation is required to fully consider each project application. A Supplemental Application Template is required to be completed for each project application. Note: There is a new section for all costs, on a line item basis, in excel format for both project phases. The template is distributed with other application materials at the issuance of the Call for Projects. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Lead Agency: Eligible local agency. ~~Lead agency for the project must be identified: local agency or OCTA.~~

Participating Agencies: All participating agencies must be identified and adopted City Council resolutions or Minute Order actions authorizing the participating agency's support of the project under the lead agency must be included. **If a draft copy of these resolutions of support are provided, the local agency must also provide the date the resolution will be finalized by the participating agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of project local match funding must be provided with the project application from all participating agencies. **If a draft copy of the resolution is provided, the local agency must also provide the date the resolution will be finalized by the local agency's governing body.** A final copy of the City Council approved resolution must be provided at least four (4) weeks **PRIOR** to the consideration of programming recommendations by OCTA's Board of Directors.

Project Support: If proposed project has completed initial planning activities (such as PSR or equivalent, EIR, or design), evidence of approval should be included with the application. Satisfactory evidence includes project approval signature page, engineer-stamped site plan, or other summary information to demonstrate completion or planning phases. The applicant will be asked for detailed information only if necessary to adequately evaluate the project application.

## Lead Agency

This Program is administered through a single lead agency: a local eligible city ~~or OCTA.~~

Local Agency Lead: Only the lead agency will receive payments in accordance with the CTFP Guidelines regarding payment for costs related to project for optimized signal timing development, capital improvements, planning, and related design. Payments will be disbursed consistent with Chapter 9. The lead agency is responsible for reimbursing other agencies as part of the effort. Additionally, the lead agency is also responsible for ensuring that all agencies participating in the project provide the local match proposed in the project application.

OCTA Lead: **[NOT AVAILABLE FOR 2020 CALL FOR PROJECTS]** OCTA may, at the request of the involved local agencies, act as the lead agency for RTSSP projects. If the involved local agencies would like OCTA to implement a project on the signal synchronization network, the local agency shall work cooperatively with OCTA to develop the scope of work and cost elements of the project. The lead local agency shall contact OCTA with a **written request at least four weeks prior to deadline for submittal of the project grant application**. Projects nominated for OCTA lead shall be discussed at the Traffic Forum. Applications must include a complete photographic field review (as outlined above) when submitted. The application will be scored using the criteria outlined in the previous sections. Based on local agency interest and OCTA resource availability, a limited number of projects will be developed and implemented by OCTA.

If any projects that are designated as OCTA lead are awarded funding, OCTA will then be responsible for implementation of the project including optimized signal timing development, capital improvements, planning, and related design. OCTA will implement the project based on the cost estimates developed in the application. Project elements may be modified based on final costs with the agreement of all participating agencies. OCTA will be responsible for ensuring that all agencies participating in the project provide the local match as identified in the project application (minimum 20 percent (20%)).

Additionally, for projects designating OCTA as lead agency, a consultant traffic engineering firm may be contracted to provide staff and services to implement the project. Therefore, in-kind match designated as staffing commitment under an OCTA lead agency option shall be limited. The following will be used as a guide for staffing commitment, when the local agency develops the application:

- Primary Implementation (PI) (12 months)
  - Project Administration - Each local agency traffic engineer or equivalent participates in approximately 10-15 hours per month of project administration (meetings, review of reports, minutes, and other administration).
  - Signal Synchronization Timing - Each local agency traffic engineer or equivalent reviews consultant developed draft and final timing plans for intersections within the local agency, approximately 2-4 hours per local agency intersection.

Final programming recommendations will be provided to the TSC and TAC for approval. Recommendations will be presented to the Board, who will approve projects for funding under the CTFP.

OCTA shall distribute copies of the approved program to each participating local jurisdiction with any qualifying conditions stipulated for the jurisdiction's funded project(s). Local agencies awarded funding will be notified as to which projects have been funded and from what sources after the Board takes action. A tentative call schedule is detailed below:

Board authorization to issue call: August 201~~98~~

Application submittal deadline: October ~~2418~~, 201~~98~~

TSC/TAC Review: February/March 20~~2019~~

Committee/Board approval: April 20~~2019~~

## Checklist Guide

The "Project P Regional Traffic Signal Synchronization Program Application Checklist" has been provided for the RTSSP (Exhibit 8-1). The checklist identifies the basic documentation required for the program. In addition to items required at the time of project submittal, additional items that are not specified may be requested later. The checklist should be provided as a cover sheet for **each** application submitted. For any items that are required for the candidate project or program that are missing or incomplete, an explanation should be included in a cover letter with the application.

## Sample Resolution Form

A resolution or minute action must be approved by the local agency's governing body. A sample resolution is included as Exhibit 8-2. Local agencies, at a minimum, must include items a-h from the sample resolution. The mechanism selected shall serve as a formal request for RTSSP funds and states that matching funds will be provided by the agency, if necessary. All project requests (i.e., multiple corridors proposed for RTSSP funds) must be included in this action.

## Project Definition

Local agencies are required to submit complete projects that, at minimum, result in field-implemented coordinated timing. Project tasks that are eligible for funding can consist of design, engineering, construction, and construction management. Partial projects that design improvements, but do not field implement the improvements are ineligible.

Projects must consist of a corridor along the priority corridor network, signal synchronization network, or the MPAH. Projects previously awarded RTSSP funding must

be complete with a final report submitted and approved by OCTA. Projects can be the full length of the corridor or a segment that complies with the project requirements identified later in the chapter. **Communication system improvements that directly benefit signal synchronization along the project corridor limits, but are not physically within the project corridor, are eligible for inclusion in a project.** This includes construction or modifications of an Intelligent Transportation Systems communications link between intersections or to the Agency's Traffic Management Center. This link may be off of the main line but necessary for a Regional Traffic Signal Synchronization Corridor project.

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors form a route. ~~Two~~ Linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (T<sub>0</sub>) for future Zone operations.

Multimodal consideration of bicyclists and pedestrians along or crossing the intersection or roadway may enhance overall circulation. Therefore, active transportation elements may be included as part of the project.

## Eligible Activities

The primary purpose of the Program is to provide funding for projects that develop and maintain corridor-based, multi-jurisdictional signal synchronization along corridors throughout Orange County. All projects funded by this Program must be corridor-based and have a signal coordination component that includes the following:

- Signal Coordination
  - Developing and implementing new signal synchronization timing parameters based on current travel patterns, and federal and state traffic signal timing mandates and guidance, including but not limited to the Manual on Uniform Traffic Control Devices (MUTCD)
  - Monitor, maintain (minimum quarterly/maximum monthly) and/or regularly improve the newly implemented signal synchronization timing and parameters for the remainder of the project
  - "Before" and "after" studies for the project comparing travel times, average speeds, ratio of green lights passed to red lights stopped (greens per red), average stops per mile, and emissions of greenhouse gases

In addition to developing optimized signal timing, a project may include other improvements as long as they contribute to the goal of multi-agency signal synchronization of corridors throughout Orange County. These improvements are restricted to the signal synchronization project limits but may include traffic signalized intersections on intersecting corridors where new optimized timing has occurred within the past three years; maximum distance for either direction from crossing arterial

intersection in 2,700 feet. Gap closure communications links that are installed from a central location and/or communications hub to the project corridor are eligible. All improvements must be designed to enhance the specific project. The following are a list of potentially eligible items as part of a signal coordination project:

- New or upgraded vehicle, pedestrian, and bicycle detection
  - Upgrade detection along the signal synchronization corridors to ensure necessary conditions for signal synchronization: inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems.
- New or upgraded communication systems
  - New contemporary communication system improvements (e.g. Ethernet) including all conduits, pull boxes, fiber optic and/or copper cabling (not to exceed 120 strands), network switches and distribution systems. These systems should be sufficiently sized for the need capacity of the Intelligent Transportation System (ITS) network. Excess capacity is deemed non-participating.
  - Replacement fiber optic or copper cabling for network communication
    - Fiber optic is the preferred medium and includes pull boxes, network switches and distribution systems
  - Software and hardware for system traffic control
  - Control and monitoring interconnect conduit (including upgrades or replacement of existing systems)
  - Gap closure systems of conduit, cable, and associated equipment that are outside of project limits but complete a designated communications link to an existing network for the Advanced Transportation Management System (ATMS) for an agency or agencies.
  - Communications Support
    - Monitor, maintain, and repair signal communication systems and infrastructure along synchronized corridors to ensure necessary conditions for signal synchronization including interconnect and Central Systems and Local Systems communications equipment (two years after PI acceptance)
  - Detection Support
    - Monitor, maintain, and repair all detection systems and infrastructure associated with the PI Phase of a specific project along synchronized corridors to ensure necessary conditions for signal synchronization including local intersection and System Sampling Detection equipment (two years after PI acceptance)
- Intersection/field system modernization and replacement

- Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with version 6.24 or better of ATC standard 5201 and ATC standard 5401 Applications Programming Interface with Referenced Implementations (APIRI)
- Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization
- Closed Circuit Television (CCTV (also can perform video detection))
- Intelligent cameras that include analytics, such as automated continuous counts and other metrics. If implemented, these items will require a data sharing agreement with OCTA.
- Uninterruptible Power Supply (UPS) for ATMS and intersection field equipment
  - For ATMS, UPS shall solely provide electrical power for ATMS Server(s), one dedicated workstation (console terminal) and related communications devices
    - Limited cost and scale
    - UPS not intended to provide power to entire TMC
    - Approval of request for UPS is at the sole discretion of the AUTHORITY
- Minor signal operational improvements (new)
  - Emergency Vehicle Preempt (EVP) intersection control equipment only
  - Transit Signal Priority (TSP) intersection control equipment only
  - Channelization (signing, striping, raised pavement markers, in lane flashing guidance or warning marking systems, and legends) improvements required for traffic signal phasing.
  - Traffic signal phasing improvements that will improve traffic flow and system performance including protective permissive left turn phasing and shared pedestrian phasing
  - Improvements to comply with new federal or state standards for traffic signal design as related to signal synchronization including pedestrian, bicycle, and vehicular timing intervals, as well as the MUTCD
- ADA compliant Pedestrian Signal countdown heads
- Traffic Management Center (TMC)/Traffic Operations Centers (TOC) and motorist information
  - New TMCs or TOCs (any project funded under this category must be planned or built to be center-to-center communication (C2C) "ready" with nearby agencies and/or OCTA
  - Upgrades to existing TMCs or TOCs (any project funded under this category must be planned or built to be C2C "ready" with nearby agencies and/or OCTA
  - Motorist information systems (up to 10 percent (10%) of total project costs)

- Video display equipment, including wall monitors, screens, mounting cabinets, and optical engines (up to 10 percent (10%) of total construction costs for PI phase only)
- Automated Traffic Signal Performance Measures (must be connected to OCTA SPM Dashboard)
- Real-time traffic actuated operations and demonstration projects
  - Adaptive traffic signal systems
- Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees
  - Includes ~~eligible~~ Caltrans labor, such as capital, and permitting fees and expenses for reviewing signal timing plans, providing signal timing parameters, and providing existing timing sheets, etc. Applicant must specify how to handle Caltrans intersections on project.
- Active Transportation/Pedestrian Safety related elements
  - Installation of new and/or improved traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists
    - ADA compliant Accessible Pedestrian Push Button Systems
    - High-Intensity Activated crosswalk signaling systems (HAWK)
  - Pedestrian detection modules
  - Bicycle detection modules
  - Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage

In addition, expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.

## Ineligible Expenditures

- Isolated traffic signal improvements
- Traffic hardware (pole, mast arms, lights, electrical, signs, etc.)
- Regular signal operation and maintenance (such as replacement of light bulbs)
- Field display equipment (Traffic signal heads other than pedestrian countdown, or special bicycle, or Transit Vehicle signal heads)
- Feasibility studies
- Relocation of utilities except for electrical service requirements
- Right-of-way
- Rewiring of complete intersection because of age or isolated mitigation

## Funding Estimates

The streets and roads component of M2 is to receive 32 percent (32%) of net revenues, 4 percent (4%) of which are allocated for the RTSSP. The RTSSP will make an estimated \$270 million (2009 dollars) available over the course of the 30-year M2 Program. Programming estimates are developed in conjunction with a call for projects cycle corresponding to concurrent funding agreements with all local agencies.

The RTSSP targets over 2,000 intersections across Orange County for coordinated operations. Because of the limited amount of funds available for the RTSSP, project cap of \$75,000 per signal or \$250,000 per project corridor mile included as part of each project (whichever is higher) has been established for this call for projects.

## Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on furthering the overall goal of multi-jurisdictional, corridor-based signal synchronization.

Vehicle Miles Traveled (VMT): Centerline length of segment(s) on the corridor proposed for synchronization multiplied by the existing average daily traffic (ADT) for the proposed segment(s) length. For instance, for a three-mile segment with one-mile interval ADT data at of 200 vehicles, 300 vehicles, and 400 vehicles, the VMT would be calculated as:

$$200 \text{ vehicles} * 1 \text{ mile} + 300 \text{ vehicles} * 1 \text{ mile} + 400 \text{ vehicles} * 1 \text{ mile} = 900 \text{ vehicle miles.}$$

VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. (maximum: 20 points)

ADT must be based upon actual count information taken within the 36 months preceding the application date. Data from the OCTA Traffic Flow Map may not be used.

Cost Benefit: Total project cost divided by Existing VMT. (maximum: 10 points)

Project Characteristics: Points are awarded based on the type and relevance of the proposed project. For instance, points accumulate if a signal synchronization project is combined with improvements as defined in the "Eligible Activities" section above. (maximum: 10 points)

Transportation Significance: Points are earned based on the corridor being on the signal synchronization network. (maximum: 5 points) (Priority signal network corridors are eligible, but will not be a part of the 2020 Call for Projects. No points will be awarded for being on a Priority Corridor.)

Maintenance of Effort: Points are earned for a commitment to operate the project signal synchronization timing for a defined period of time beyond the three-year grant period. (maximum: 5 points)

**Table 8-1 Point Breakdown**

**RTSSP SCORING CRITERIA**  
**Point Breakdown for Regional Traffic Signal Synchronization Program Projects**  
**Maximum Points = 100**

<table border="1"> <thead> <tr> <th colspan="2">Vehicle Miles Travelled (VMT)</th> <th>Points: 20</th> </tr> <tr> <th>VMT Range</th> <th></th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>250+ thousand</td> <td></td> <td>20</td> </tr> <tr> <td>200 - 249 thousand</td> <td></td> <td>15</td> </tr> <tr> <td>150 - 199 thousand</td> <td></td> <td>10</td> </tr> <tr> <td>100 - 149 thousand</td> <td></td> <td>6</td> </tr> <tr> <td>50 - 99 thousand</td> <td></td> <td>3</td> </tr> <tr> <td>0 - 49 thousand</td> <td></td> <td>1</td> </tr> <tr> <td colspan="3"><i>Calculation: ADT x segment length (Applies only to coordinated segments of project)</i></td> </tr> </tbody> </table>	Vehicle Miles Travelled (VMT)		Points: 20	VMT Range		Points	250+ thousand		20	200 - 249 thousand		15	150 - 199 thousand		10	100 - 149 thousand		6	50 - 99 thousand		3	0 - 49 thousand		1	<i>Calculation: ADT x segment length (Applies only to coordinated segments of project)</i>			<table border="1"> <thead> <tr> <th colspan="2">Project Scale</th> <th>Points: 10</th> </tr> <tr> <th>Number of Signals Coordinated by Project Range</th> <th></th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>50+</td> <td></td> <td>5</td> </tr> <tr> <td>40 - 49</td> <td></td> <td>4</td> </tr> <tr> <td>30 - 39</td> <td></td> <td>3</td> </tr> <tr> <td>20 - 29</td> <td></td> <td>2</td> </tr> <tr> <td>10 - 19</td> <td></td> <td>1</td> </tr> <tr> <td>&lt; 10</td> <td></td> <td>0</td> </tr> <tr> <td colspan="3" style="text-align: center;"><b>AND</b></td> </tr> <tr> <th colspan="2">Percent of Corridor Signals Being Retimed Range</th> <th>Points</th> </tr> <tr> <td>90% or above</td> <td></td> <td>5</td> </tr> <tr> <td>80 - 89%</td> <td></td> <td>4</td> </tr> <tr> <td>70 - 79%</td> <td></td> <td>3</td> </tr> <tr> <td>60 - 69%</td> <td></td> <td>2</td> </tr> <tr> <td>50 - 59%</td> <td></td> <td>1</td> </tr> <tr> <td>&lt; 50%</td> <td></td> <td>0</td> </tr> <tr> <td colspan="3"><i>Calculation: Number of signals in project divided by total signals in full corridor length.</i></td> </tr> </tbody> </table>	Project Scale		Points: 10	Number of Signals Coordinated by Project Range		Points	50+		5	40 - 49		4	30 - 39		3	20 - 29		2	10 - 19		1	< 10		0	<b>AND</b>			Percent of Corridor Signals Being Retimed Range		Points	90% or above		5	80 - 89%		4	70 - 79%		3	60 - 69%		2	50 - 59%		1	< 50%		0	<i>Calculation: Number of signals in project divided by total signals in full corridor length.</i>		
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Administrative staff time for documentation of in-kind services is ineligible. Staff time charged to a project is limited to the caps as described in these guidelines. Allowable signal system investment would be improvements that are “eligible activities” per the funding guidelines, which can be shown to improve signal synchronization and would not include any prior investments made by the agency.

The specific matching requirement by project category type is listed below for city led projects:

<b>Project category</b>	<b>Type of matching allowed*</b>
Signal coordination	In-kind match** or cash match
New or upgraded detection	In-kind match** or cash match
New or upgraded communications systems	In-kind match** or cash match
Communications and detection support	In-kind match** or cash match
Intersection/field system modernization and replacement	In-kind match** or cash match
Minor signal operational improvements	In-kind match** or cash match
TMC/TOC and motorist information systems	Cash match
Real-time traffic actuated operations and demonstration projects	Cash match
Caltrans fees and expenses (labor and capital)	<u>In-kind match ** or Cash match</u>

\* Project match beyond 20 percent (20%) is limited to cash match only. Please note, overmatch is subject to the same audit and requirements as in-kind match.

\*\* In-kind match services are subject to audit.

In-kind match must be defined for each local agency as part of the supplemental application. In-kind match must be identified as staffing commitment and/or new signal system investment. The supplemental application template will include a section to input in-kind match type as well as additional data related to the match:

- Staffing commitment
  - Staff position
  - Number of hours

- Hourly (fully burdened) rate
- Total cost
- New signal system investment
  - Cost of any signal system investment
  - Benefit to project

~~Projects submitted as OCTA led require a 20 percent cash match for Primary Implementation activities with a nominal in-kind allowance for local agency oversight.~~ O&M activities will be permitted in-kind match only for local agency oversight functions. Contract activities will require cash match. Local agency contributions identified as cash match in the application cannot be converted into in-kind match.

OCTA staff will review in detail the presented cash and in-kind match by local agency for reasonableness. Additional requirements on in-kind match as part of the upcoming call are provided in this chapter.

## Project Cancellation

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible shall bring that phase to a logical conclusion, file a final report, and cancel remaining phases so that remaining funds can be reprogrammed without penalty.

Cancelled projects will be eligible for re-application upon resolution of issues that led to original project termination.

If a lead agency decides to cancel a project before completion of the entire project, for whatever reason, the agency shall notify OCTA as soon as possible. It is the responsibility of the project lead agency to repay OCTA for any funds received.

## Project Extensions

Local agencies are provided 36 months to expend the funds from the date of encumbrance. Agencies can request timely use of funds extensions through the SAR in accordance with the CTFP guidelines. Local agencies should issue a separate NTP while combining contracts for both the PI and O&M phases. NTP requirement should be identified in the initial contract/agreement to avoid obligation of both phases at the same time. If this procedure is followed by the local agency the NTP date will be considered the date of encumbrance for the O&M phase.

## Audits

All M2 payments are subject to audit. Local agencies must follow established accounting requirements and applicable laws regarding the use of public funds. Failure to submit to an audit in a timely manner may result in loss of future funding. Misuse or

Exhibit 8-1

Project P – Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Page Included
<p><b>RTSSP Online Application – submitted through OCFundTracker</b></p> <ol style="list-style-type: none"> <li>1. Vehicle Miles Traveled</li> <li>2. Benefit Cost Ratio</li> <li>3. Project Characteristics</li> <li>4. Transportation Significance</li> <li>5. Maintenance of Effort</li> <li>6. Project Scale</li> <li>7. Number of Jurisdictions</li> <li>8. Current Project Readiness</li> <li>9. Funding Over-Match</li> </ol>	<p><u>Online</u></p>
<p><b>Section 1: Key Technical Information</b></p> <ol style="list-style-type: none"> <li>a. Project <del>Corridor Limits</del>limits of the corridor to synchronize</li> <li>b. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor</li> <li>c. Project start date and end date, including any commitment to operate signal synchronization beyond the three-year grant period</li> <li>d. Signalized intersections that are part of the project</li> <li>e. Traffic Forum members</li> </ol>	
<p><b>Section 2: Lead Agency</b></p>	
<p><b>Section 3: Resolutions of Support from the Project’s Traffic Forum Members</b></p>	
<p><b>Section 4: Preliminary Plans for the Proposed Project</b></p> <p>The plans shall include details about both phases of the project: <u>Primary Implementation (PI)</u> and <u>Ongoing Operations and Maintenance (O&amp;M)</u>. The plan should be organized using the following setup:</p> <p><u>Primary Implementation</u> shall include details about the following:</p> <ul style="list-style-type: none"> <li><u>Task 1: Project Administration (required)</u></li> <li><u>Task 2: Data Collection (required)</u></li> <li><u>Task 3: Field Review and Plans Specifications and Estimates (required)</u></li> <li><u>Task 4: Corridor “Before” Study (required)</u></li> <li><u>Task 5: Signal Timing Optimization and Implementation (required)</u></li> <li><u>Task 6: Corridor “After” Study (required)</u></li> <li><u>Task 7: Synchronization System Construction (required)</u></li> <li><u>Task 8: Project Report (required)</u></li> <li><u>Task 9: On-going Operations and Maintenance (required)</u> <ol style="list-style-type: none"> <li><del>a. Developing and implementing optimized signal synchronization timing (required)</del></li> <li><del>b. Producing a Before and After study for the proposed project (required)</del></li> <li><del>c. Proposed signal improvements (optional):</del> <ol style="list-style-type: none"> <li><del>i. New or upgraded detection</del></li> <li><del>ii. New or upgraded communication systems</del></li> <li><del>iii. Intersection/field system modernization and replacement</del></li> <li><del>iv. Minor signal operation improvements</del></li> <li><del>v. Traffic Management centers</del></li> <li><del>vi. Real-time traffic actuated operations and demonstration projects</del></li> </ol> </li> </ol> </li> </ul> <p><u>Ongoing O&amp;M perations and Maintenance</u> will begin after the <u>PIrimary Implementation</u> of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> <li>a. Monitoring and improving optimized signal timing (required)</li> <li>b. Communications and detection support (optional)</li> <li><del>b.c. O&amp;M Final Memorandum (required)</del></li> </ol>	

<b>Section 5: Total Proposed Project Cost by Task</b> a. <a href="#">Table I: Summary of Improvements</a> b. <a href="#">Table II: Detailed Improvement Breakdown</a>	
<b>Section 6: Project Schedule <del>for the 3 Year Grant Period by Task for the 3 Year Grant Period</del></b>	
<b>Section 7: Matching Funds</b>	
<b>Section 8: Environmental Clearances and Other Permits</b>	
<b>Section 9: Calculations Used to Develop Selection Criteria Inputs</b>	
<b>Section 10: Any additional Information Deemed Relevant by the Applicant</b>	
<b><a href="#">Appendices</a></b>	

13. Summary of ROW Acquisition – Agencies shall submit a summary of ROW acquisition as described in the Summary of ROW acquisition Form 10-5B.
14. Notice of Completion – An agency shall submit The Notice of Completion form to certify the phase completion date (Form 10-7). See Definition 22 for phase completion date.
15. Before and After Project Photos (where applicable) – photographs showing the project before and after the improvements.

Electronic copies of all payment forms can be downloaded from OCFundtracker.

## Timely Final Reports

OCTA will work with local agencies to ensure the timeliness of final reports by utilizing the following procedures:

1. Local agencies to notify OCTA of the project phase completion date within 30 days of completion.
2. Local agencies to file a final report within 180 days of project phase completion date.
3. OCTA to issue a notification to the project manager, public works directors or TAC representative(s) 90 days after the project completion date, as reported in OCFundtracker, to remind local agencies that the final report is due in 90 days. OCTA staff will provide guidance to assist in preparation of the final report.
4. OCTA to issue a final notice letter to the project manager, public works directors or TAC representative(s) with a copy to the agency's management and finance director if OCTA does not receive the final report within 180 days of the project completion date. The final notice letter will inform the local agencies that if OCTA does not receive a response to the final notice letter and the final report within 180 days, then the funds will be unencumbered and OCTA shall request that the agency return disbursed funds, plus interest.
5. OCTA to issue the final payment to local agencies within 60 days of receiving the complete final report and all supporting documentation.

## Failure to Submit Final Report

Agencies who fail to submit a Final Report will be required to repay applicable M2 funds received for the project in a manner consistent with the Master Funding Agreement and/or will be found ineligible to receive M2 Net Revenues.

## Excess Right-of-Way

Agencies that use Net Revenues (through CTFP or LFS programs) to acquire project ROW shall dispose of land deemed in excess of the proposed transportation use. Excess land

sold by the lead agency will be disposed of in accordance with the process established in state law including Government Code, Article 8, Surplus Land, Section 54220-54232, etc. Seq. and the ROW acquisition/disposal plan submitted as part of the application process. The agency shall return proceeds from the sale to OCTA. OCTA shall return the funds to the program of origin for future use.

~~Proceeds from the sale of excess ROW shall be returned to OCTA in proportion to the amount of M2 funds used in the purchase.~~

Agencies shall submit ROW documents for all parcels utilizing M2 Net Revenues. Agencies must submit the following documents:

- Summary of the ROW required for the project
- Plat maps and legal descriptions for ROW acquisitions
- Parcel location map
- Identification of anticipated excess right-of-way, if any
- Appraisal reports for excess right-of-way
- ROW acquisition/disposal plan

OCTA shall consider excess ROW with a value of \$10,000.00 or less as an uneconomic remnant. OCTA shall determine if excess ROW is to be considered an uneconomic remnant.

~~To make this excess ROW determination, t~~The agency shall submit a highest and best use fair market-value appraisal report for the excess land of each parcel. Appraisers must conduct appraisals in accordance with the Uniform Standards of Professional Appraisal Practice (USPAP). If an agency suspects that the excess ROW has a value of \$10,000.00 or less, the agency may conduct a limited fair market value appraisal to confirm the value of the excess right-of-way. The agency shall submit the appraisals with the ROW final report.

OCTA shall retain from the final payment the identified value of excess ROW that is proportional to OCTA's percentage match rate to the project up to OCTA's match rate of ROW grant. ~~However, if the local agency provided additional funds beyond what was original estimated, OCTA will be reimbursed based on its proportional share of the cost of right of way. The identified value shall be determined from the following three options, whichever results in the greatest value for the excess ROW:~~

- a) Appraisal (as noted above) based on the "highest and best use;"

- b) Original purchase amount,<sup>9</sup> ;
- c) Sales proceeds

If the appraisal cannot be accepted by OCTA, the local agency will transfer the title of the property to OCTA. OCTA will then be responsible for disposing of the excess property and return any fundingsale proceeds –to the local agency based on their original participation percentage rate used to purchase the excess property. –and value identified; either the original acquisition amount or appraisal using the highest and best use, whichever is greater. However, –if the local agency provided additional funds beyond what was originally estimated, OCTA will be reimbursed based on its proportional share of the cost of right-of-way.

An agency may include incidental expenditures from the disposal of property in their final report for the ROW grant.

An agency shall begin the process to sell excess ROW within 60 days after project phase completion foracceptance of the construction-improvements.

OCTA shall not close-out the ROW grant or construction grant until the agency and OCTA resolve questions regarding excess right-of-way.

***Example:***

OCTA's ROW grant: \_\_\_\_\_ \$500,000

OCTA grant match rate \_\_\_\_\_ 75%

**Parcel Costs:**

Cost Parcel 1: \_\_\_\_\_ \$300,000

Cost Parcel 2: \_\_\_\_\_ \$380,000

Cost Parcel 3: \_\_\_\_\_ \$120,000

Cost Parcel 4: \_\_\_\_\_ \$100,000

Total ROW Costs: \_\_\_\_\_ \$900,000

Payment with no excess ROW: \_\_\_\_\_ \$500,000

Excess right-of-way

Value of excess ROW for parcel 1: \_\_\_\_\_ \$200,000

<sup>9</sup> Calculated as the sales price (at purchase) times the percentage of the acreage that is identified as excess parcel(s) not required for the transportation project.

Value of excess ROW for parcel 2:	\$105,000
Value of excess ROW for parcel 3:	\$ 0
Value of excess ROW for parcel 4:	\$ 0
<b>Total Value of excess ROW:</b>	<b>\$305,000</b>
<b>OCTA contribution to ROW acquisition:</b>	
<b>CTFP ROW contribution : Agency total cost of right-of-way</b>	
	<b>\$500,000 : \$900,000 = 56%</b>
<b>OCTA's shall reduce the final ROW payment by:</b>	
Parcel 1:	\$200,000 x 56% = \$112,000
Parcel 2:	\$105,000 x 56% = \$58,800
<b>Total:</b>	<b>\$170,800</b>
<b>Payment (incorporating excess right-of-way):</b>	<b>\$500,000</b>
	<b>\$170,800</b>
	<b>\$329,200</b>

## Agency Workforce and Equipment Rental

An agency must provide supporting documentation for work completed by agency staff. It is recommended that a unique project job key be created for each project and all project charges be billed under that job code. The agency shall multiply the fully burdened labor rate by the number of hours for each staff person assigned to the project. An agency may add actual overhead costs at an allowable rate up to 30 percent (30%) of payroll and fringe benefits. Where an agency due to size cannot calculate its specific overhead rate, an agency may refer to the Cost Accounting Policies and Procedures Manual (CAPP) of the California Uniform Public Construction Cost Accounting Commission, which allows for a fixed overhead rate billing dependent on city size. Where an agency has actual overhead costs that exceed 30 percent (30%), these will be accepted when a fully audited cost allocation plan is provided and approved by the appropriate governmental entity listed in the CAPP or 2 Code of Federal Regulations Part 225.

An agency must provide supporting documentation for equipment used by local agency staff. An agency may use local agency or Caltrans surcharge and equipment rental rates.

### Technical and/or Field Review

Once an agency submits a final report for a project, OCTA shall review the report for compliance with the CTFP Guidelines and may conduct a technical and/or field review. As part of the technical/field review of a CTFP project, OCTA may:



# **Semi-Annual Review Trend Analysis**

## Semi-Annual Review Adjustment Trend Analysis March 2019

### Programming Findings:

As of March 31, 2019, OCTA had allocated (after adjustments) approximately \$485.5 million in M2 discretionary funds to support up to 645 project phases for Projects O, P, S, V, W, and X.

- 182 Regional Capacity Program (RCP) Project O project phases totaling more than \$295.2 million (including \$24 million in external funding) have been awarded to local agencies through nine calls for projects (call).
- 208 Regional Traffic Signal Synchronization (RTSSP) Project P projects phases totaling more than \$97.7 million (including \$18 million in external funding) have been awarded to local agencies through nine calls.
- 5 Transit Extensions to Metrolink Project S project phases totaling more than \$.710 million have been awarded to local agencies through one call.
- 55 Community Based Transit Circulator (CBT) Project V project phases totaling more \$40.3 million (including planning phase allocations of \$.323 million) have been awarded to local agencies through three calls.
- 7 Safe Transit Stops Project W (transit stop amenity improvements) phases totaling more than \$1.2 million have been awarded through two calls.
- 166 Environmental Cleanup Program (ECP) Project X Tier I project phases totaling more than \$22.5 million have been awarded through nine calls; and
- 22 Environmental Cleanup Program X Tier 2 project phases totaling more than \$27.9 million have been awarded through two calls.

<b>M2 CTFP Summary Table</b>				
Project Status	September 2018 Semi-Annual Review		March 2019 Semi-Annual Review	
	Project Phases	Allocation	Project Phases	Allocations <sup>1</sup> (after adjustments)
Planned <sup>2</sup>	95	\$ 84.5	69	64.2
Started <sup>3</sup>	138	\$ 209.7	128	183.4
Pending <sup>4</sup>	71	\$ 28.5	73	60.4
Completed <sup>5</sup>	308	\$ 142.4	337	154.8
Cancelled <sup>6</sup>	33	\$ 20.4	39	22.7
<b>Total</b>	<b>645</b>	<b>\$ 485.5</b>	<b>645</b>	<b>485.5</b>

<sup>1.</sup> Allocations in millions, pending Board of Directors (Board) approval of the March 2019 semi-annual review.

<sup>2.</sup> Planned - indicates that funds have not been obligated and/or are pending contract award.

<sup>3.</sup> Started - indicates that the project is underway and funds are obligated.

<sup>4.</sup> Pending - indicates that the project work is completed and the final report submittal/approval is pending.

<sup>5.</sup> Completed - indicates that the project work is complete, final report approved, and final payment has been made.

<sup>6.</sup> Cancelled - indicates that the project work will not be completed (project savings will be returned to the program).

## Semi-Annual Review Adjustment Trend Analysis March 2019

### Project Delivery Findings:

- Semi-annual review adjustment request types have generally broken down accordingly to the following percentages:
  - Funds extension (38%),
  - Scope change (20%),
  - Delay requests (20%),
  - Transfer (9%),
  - Cancellation (10%), and
  - Advancements (2%).

There tends to be seasonal trends with respect to semi-annual review adjustment requests. The March semi-annual review process typically experiences a higher volume of adjustment requests than the September semi-annual review cycle. Based upon trend data, the increase in March semi-annual review adjustment requests appears to be linked to the timing of both encumbrance and fund expenditure deadlines associated with the end of the fiscal year.

- There also appears to be an upward trend in the volume of adjustment requests with each successive semi-annual review cycle. These increases appear to be attributable to the overall increase in total active project phases within the M2 program. Even year semi-annual review statistics are listed below:

Year	Requests (March and September)	Total active Phases	% of Total Active Phases
2012	8	256	3%
2014	33	248	13%
2016	53	358	15%
2018	60	373	16%

- In terms of funds extension requests (**Note:** once obligated, M2 Comprehensive Transportation Funding Program funds expire 36 months from the contract award date. Funds extension requests allow local agencies to request a one-time extension of up to 24-months) the RTSSP and RCP programs required the most adjustments. The RTSSP accounted for the largest number of requests (68%) followed by the RCP at (27%). With respect to the RTSSP, it appears the high volume of funds extension requests are likely tied to the large amount of utility conflicts the program experiences. With respect to the RCP, these requests generally appear to be the result of procurement, right-of-way (ROW), and/or construction activities taking longer than anticipated. Also, both the RTSSP and RCP require a significant amount of coordination and interface with neighboring local agencies/project partners, which frequently impacts project initiation and delivery schedules.

## Semi-Annual Review Adjustment Trend Analysis March 2019

- Most scope change adjustment requests have occurred within the RTSSP (42%) and the ECP (35%) programs. This trend is likely due to the nature of each of these respective programs. These programs' scope adjustments have typically either been for location changes, site constraint issues, and/or for device type/technology modifications. It should be noted that with respect to these programs, site constraint issues do not appear to be well known nor readily apparent until after project initiation. Also, both programs are dependent upon technological devices, which continue to evolve during project delivery processes.
- For transfer requests, most of these adjustments (59%) have occurred within the RCP. This is likely due to engineering and/or ROW phase project savings being transferred to the subsequent construction phase. To a lesser extent the RTSSP (23%) and CBT (18%) programs also experience project savings which can be transferred to subsequent phases.

For the RTSSP program these requests typically involve transferring primary implementation phase funds to the subsequent operations and maintenance phase.

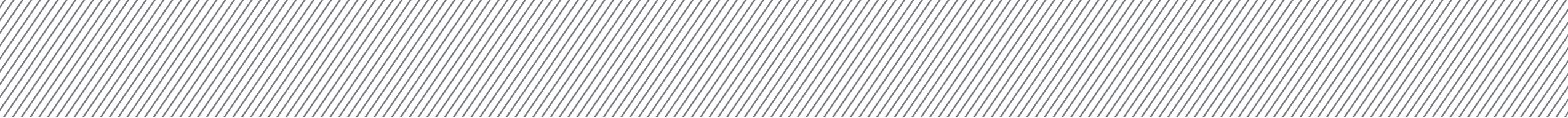
For the CBT Program, these requests typically involve transferring operations and maintenance funds from one fiscal year to another. Based upon past observations in the CBT Program, these requests typically occurred between years one and two of the program and have been attributed to taking longer to "ramp-up" service than initially anticipated.

- Most funds cancellation requests have been for the RCP program at 33% and to a lesser extent also distributed amongst the RTSSP and ECP programs at 22% and the CBT program at 14%. Typical issues resulting in project cancellations have generally included stakeholder coordination challenges, lack of resolution of ROW impact/negotiations, site constraints, and for the CBT Program, low ridership.
- Project advancements have occurred much less frequently than other semi-annual review adjustment requests. Most of these requests have been associated with the RCP. Project advancement requests are primarily needed to accommodate procurements and/or earlier project develop phases being completed sooner than anticipated.

Staff will continue to monitor and report on M2 requested project adjustments to further identify, understand, and anticipate future trends which may emerge with respect to M2 project delivery.



## **Senate Bill (SB) 1 Update**



Senate Bill 1  
The Road Repair and Accountability Act of 2017  
Road Maintenance and Rehabilitation Account

Local Streets and Road Program Update

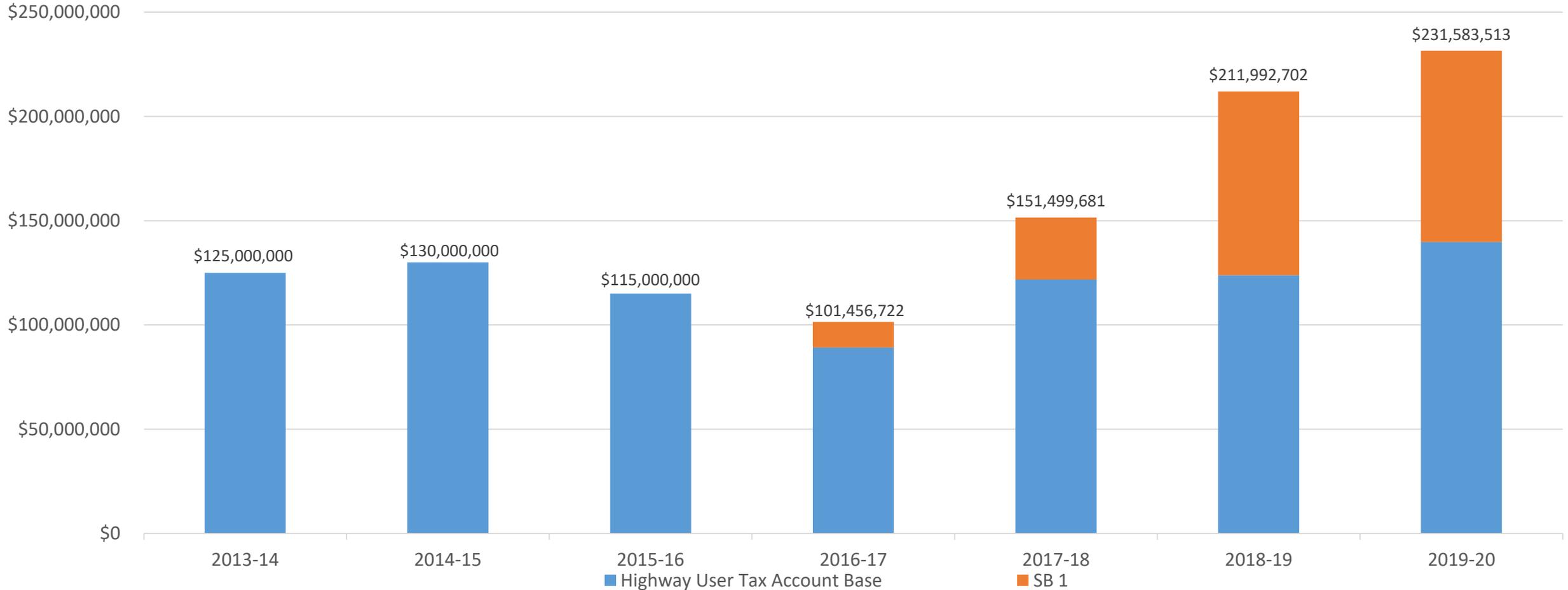
Technical Advisory Committee  
July 24, 2019

# Overview

- Signed April 28, 2017
- Invests \$52.5 billion over the next decade
- Augments existing programs and creates new funding programs
- Creates the Road Maintenance and Rehabilitation Account (RMRA) to allocate a portion of revenues
- Includes accountability measures for California Department of Transportation (Caltrans) and local agencies

# Highway User Tax Account and SB 1 Revenues

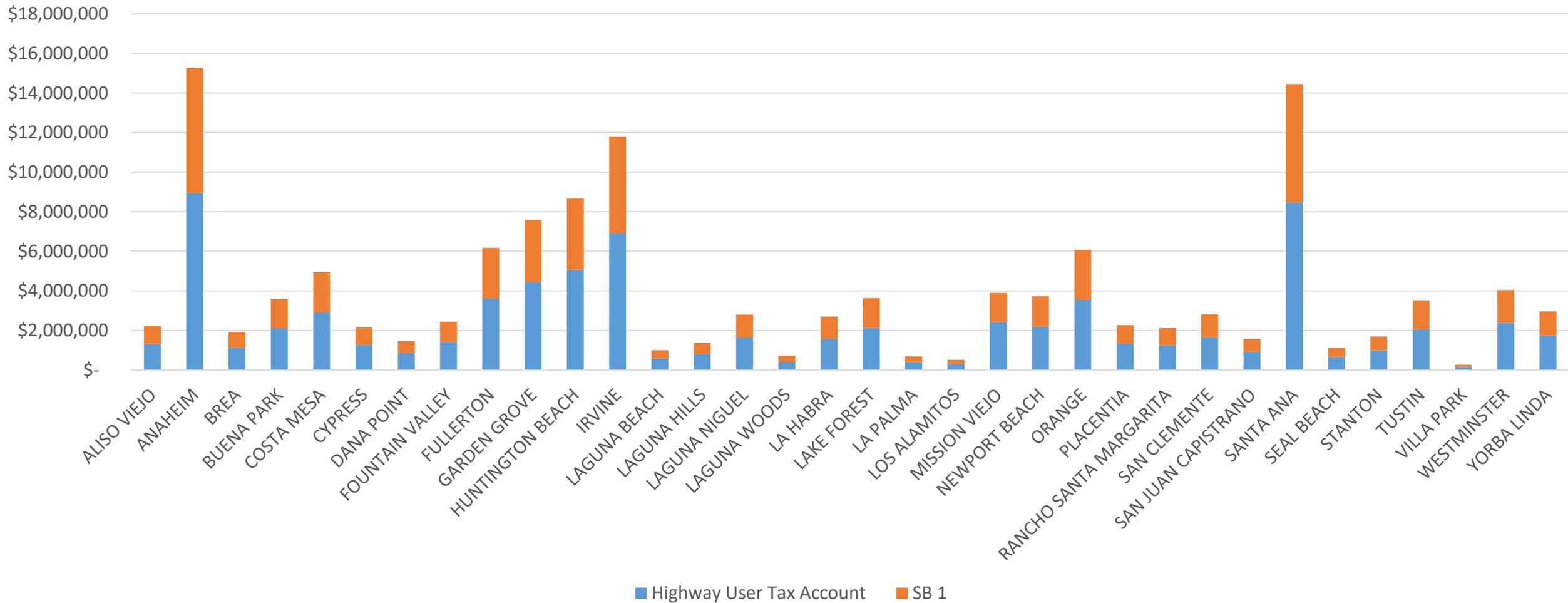
Orange County Totals



*\*Revenue estimates provided by the League of California Cities.*

# Local Streets & Roads Projected 2019-20 City Revenues

Local Streets & Roads Projected 2019-20 Revenues. Total to Cities = \$132.2 million\*



County of Orange is projected to receive \$99.4 million

\*Revenues are estimates provided by the League of California Cities.

# Local Streets & Roads 2018-19 SB1 RMRA Projects

- Total 147 Projects for FY2018-2019
  - 109 Street Rehabilitation/Resurfacing/Safety/Improvements
  - 18 Bridge Maintenance
  - 9 Design
  - 4 Drainage
  - 4 Traffic Signal Upgrade
  - 3 Active Transportation Projects

# Local Streets & Roads 2018-19 SB1 RMRA Projects

Agency	Street rehab/ resurfacing	Sidewalk Rehab	Drainage	Guard Rail Repair	Road Edge Support	ADA Upgrade	Bridge Maint	Design	Street Imprvmt	Safety Imprvmt	Traffic Signal Upgrade	Bikeway	Total
Aliso Viejo	3												3
Anaheim	18	1											19
Brea	2												2
Buena Park	2												2
Costa Mesa	2												2
Cypress	1												1
Dana Point	1												1
Fountain Valley	2												2
Fullerton	2												2
Garden Grove	3		1										4
Huntington Beach	2												2
Irvine	2												2
La Habra	2												2
La Palma	5												5
Laguna Beach	3		1	1	1								6
Laguna Hills	1												1
Laguna Niguel	2												2
Laguna Woods	1												1
Lake Forest	3												3
Los Alamitos	2												2
Mission Viejo	2												2
Newport Beach	2												2
Orange	1												1
Placentia	2												2
Rancho Santa Margarita	3												3
San Clemente	2												2
San Juan Cap	2												2
Santa Ana	12							1					13
Seal Beach	1												1
Stanton	1												1
Tustin	6										2		8
Villa Park	1												1
Westminster	2												2
Yorba Linda	1												1
COUNTY	6		2			1	18	8	2	2	2	1	42
<b>TOTAL</b>	<b>103</b>	<b>1</b>	<b>4</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>18</b>	<b>9</b>	<b>2</b>	<b>2</b>	<b>4</b>	<b>1</b>	<b>147</b>

\*Revenues are estimates provided by the League of California Cities.

# Maintenance of Effort

Maintenance of Effort reporting is required to ensure that SB 1 Local Streets and Roads funding does not supplant existing levels of general revenue spending on streets and roads

- One time fund sources that are not received on an on-going basis may be excluded from this calculation.
- State Controller's Office (SCO) may perform audits to ensure compliance.
- If the agency fails to comply, funds are to be returned to the State Controller's Office to be re-distributed.

# Important Dates

Project Lists Due *	May 1
Commission Adopts Initial List of Projects *	June CTC Meeting
Subsequent Eligibility list due to CTC	August 1
CTC Adopts Subsequent List of Projects	August CTC Meeting
Expenditure Reports due to CTC	October 1
Annual Road Report due to SCO (MOE)	October 1

\* All Orange County agencies submitted and were found eligible

# Questions?

- **CTC SB1 Local Streets and Roads Webpage:**

<https://catc.ca.gov/programs/sb1/local-streets-roads-program>

- **SB1 CALSMART Reporting Login:**

<https://calsmart.dot.ca.gov/login/auth>

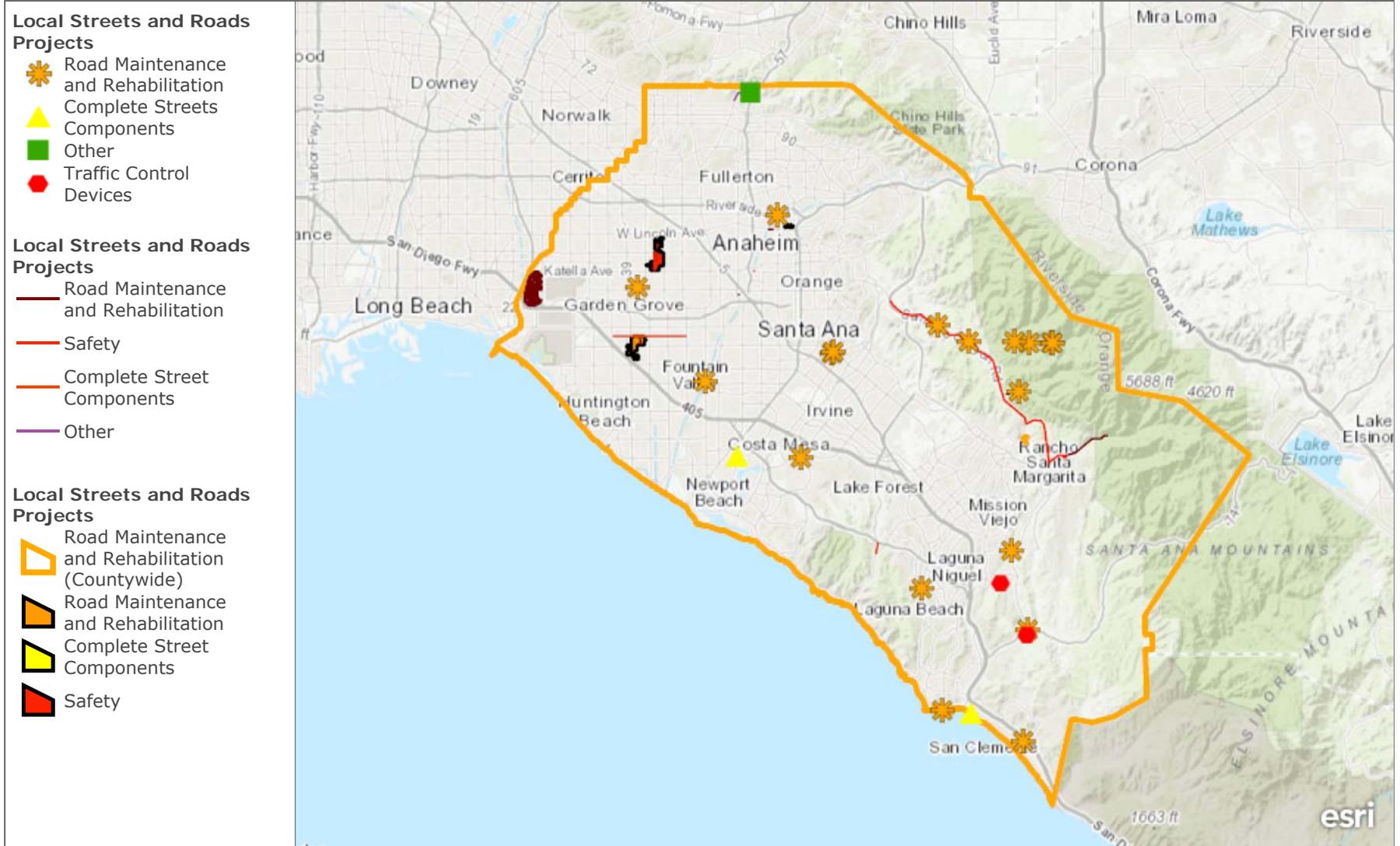
- **LSR Program Contact:**

[LSR@catc.ca.gov](mailto:LSR@catc.ca.gov)

- **State Controller's Office MOE Contact:**

[AUDstreetsroads@sco.ca.gov](mailto:AUDstreetsroads@sco.ca.gov)

# County of Orange Local Streets and Roads Program Fiscal Year 2018-2019



Map depicting Local Streets and Roads Projects



## **Guidance to Assist OCTA Decision Making when Requested to Lead Locally Sponsored Projects**



## **LOCAL JURISDICTION REQUESTS FOR OCTA TO SERVE AS LEAD AGENCY FOR A LOCALLY SPONSORED CAPITAL PROJECT DRAFT GUIDANCE**

### **I. PURPOSE**

The purpose of this guidance is to provide parameters for when the Orange County Transportation Agency (OCTA) would accept a request to take over as lead for a local jurisdiction sponsored transportation capital project.

### **II. POLICY**

Prior to OCTA accepting a request to serve as lead of a local jurisdiction sponsored transportation capital project, the following criteria must be met;

1. Project purpose and need must be clearly defined.
2. Project deemed to have regional transportation significance.
3. OCTA determined to have sufficient capacity to take on project delivery responsibility and maintain existing priorities.
4. The project must have project level environmental clearance following both the California Environmental Quality Act (CEQA) and the National Environmental Policy Act (NEPA) process.
  - a. Following the federal environmental clearance process for the project ensures maximum funding flexibility for future phases and is critical to reducing cost risk.
  - b. Obtaining federal clearance is not optional unless reviewed and agreed in advance by OCTA that it is unnecessary.
5. A funding plan developed and formally approved by both agencies defining responsibility for all direct and indirect costs.
6. A cost sharing agreement must be negotiated up front specifying shared responsibility for project cost increases resulting from unforeseen issues during project implementation.
7. Parties must agree to mutual indemnification for project legal issues/claims.
8. Agreement on utility and right-of-way assignments and timeframe for local agency acceptance of the transfer of rights and defined actions if transfer extends beyond.
9. Defined public outreach responsibilities and cost ensuring successful delivery.
10. Both agencies agree that prior to entering into right-of-way phase and prior to the completion of the design phase, the project will be re-evaluated for benefit versus cost risk of project delivery before committing to construction.
11. A formal request must be sent to OCTA from the local jurisdiction's legislative body (i.e. city council or Board of Supervisors) requesting OCTA consideration to serve as lead for project design and construction.
12. OCTA Board of Director's review and approve serving as lead for the proposed project.

**OCTA REQUESTS TO SERVE AS LEAD AGENCY FOR A  
LOCAL JURISDICTION INITIATED CAPITAL PROJECT  
DRAFT GUIDANCE**

**III. RESPONSIBILITIES**

Local Agency Responsibility

1. Environmentally clear the project following CEQA and NEPA process prior to formally requesting OCTA's involvement as lead agency.
2. Submit an official written request to OCTA from the agencies legislative body seeking OCTA's approval to take over as lead of the federally environmentally cleared regionally significant transportation project including justification.
3. Provide documentation on why the project should be deemed regionally significant for transportation.
4. Sign a cooperative agreement for project implementation with OCTA as lead including provisions addressing cost sharing responsibilities in the event of unforeseen cost increasing project issues during delivery.
5. Agree to mutual indemnification for project legal issues/claims.
6. Agree to utility and transfer of rights assignments and timeline for acceptance.
7. Conduct a risk workshop with OCTA during or after environmental clearance to identify issues impacting successful delivery.
8. Agree to a review by OCTA prior to entering the right-of-way phase and the completion of the design phase, to assess the project risk of moving forward and benefit of completing the project before initiating the construction phase.

OCTA Responsibility

1. Review and make a determination that the proposed transportation capital project is regionally significant and not merely locally significant.
2. Conduct a constructability review upfront to gain insight on the challenges and issues in delivery of the project.
3. Perform an internal review to determine staff and agency resources necessary for project delivery and current workload capability.
4. Make a determination that taking on the responsibility as lead of the requested project will not impact OCTA's first priority of delivering on the promise of Measure M2 or other OCTA primary responsibilities.
5. Develop a cooperative agreement for local agency and OCTA signature including cost sharing provisions to address unforeseen cost increasing project issues ensuring equity and fairness.
6. Agree to mutual indemnification for any project lawsuits.
7. Conduct a review prior to entering the right-of-way phase and prior to completion of the design phase, to assess the project risk of moving forward and benefit of completing the project before agreeing to initiate the construction phase.
8. Seek OCTA Board approval to serve as lead for the delivery of the proposed project as presented by the local agency including the determinations required in this policy.