



Measure M2 Taxpayer Oversight Committee Teleconference Notice

Committee Members:

Frank Davies: Orange County Auditor-Controller
Douglas P. Gillen
Pauline E. Merry
Larry Tekler
Mark Kizzar
Ronald T. Randolph
Tuan Nguyen
Larry A. Lang
Michael Pascual
Jeffrey Kaplan
Douglas Anderson

Teleconference Sites:

Orange County Transportation Authority - Headquarters
550 S. Main Street
Conference Room 07
Orange, CA

Guidance for Public Access to this Taxpayer Oversight Committee (TOC) Meeting:

Governor Gavin Newsom enacted Executive Orders N-25-20 and N-29-20 authorizing a local legislative body to hold public meetings via teleconferencing and make public meetings accessible telephonically or electronically to all members of the public to promote social distancing due to the state and local State of Emergency resulting from the threat of Novel Coronavirus (COVID-19).

In accordance with Executive Order N-29-20, and in order to ensure the safety of the Orange County Transportation Authority (OCTA) TOC Members and staff and for the purposes of limiting the risk of COVID-19, in-person public participation at public meetings of the OCTA will not be allowed during the time period covered by the above-referenced Executive Orders.

Instead, members of the public can listen to AUDIO live streaming of the October 13, 2020 5p.m. Taxpayer Oversight Committee meeting by clicking the below link: <http://www.octa.net/About-OCTA/Who-We-Are/Board-of-Directors/Live-and-Archived-Audio/>

Public comments may be submitted for the upcoming October 13, 2020 Taxpayer Oversight Committee meeting by emailing them to publiccomments@octa.net. **If you wish to comment on a specific agenda item, please identify the committee name and item number in your email.** All public comments that are timely received will be part of the public record and distributed to the TOC. Public comments will be made available to the public upon request. In order to ensure that staff has the ability to provide comments to the TOC Members in a timely manner, please submit your public comments 30 minutes prior to the start time of the Committee meeting date.

Agenda Descriptions

The Agenda descriptions are intended to give notice to members of the public of a general summary of items of business to be transacted or discussed.

Any person with a disability who requires a modification or accommodation in order to participate in this meeting should contact the OCTA at (714) 560-5611, 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

- 1. Welcome**
- 2. Pledge of Allegiance**
- 3. Approval of Minutes/Attendance Report for August 11, 2020**
- 4. Action Items**
 - A. Annual Eligibility Review Subcommittee Eligibility Report FY 2020-2021
Harry Sloan, Annual Eligibility Review Subcommittee Chair
- 5. Presentation Items**
 - A. OC Streetcar Project Update
Jim Beil, Executive Director, Capital Programs
Cleve Cleveland, Department Manager, OC Streetcar Operations
Tresa Oliveri, Community Relations Officer, External Affairs
 - B. Measure M2 Quarterly Progress Report – Second Quarter
Francesca Ching, Measure M Program Manager
 - C. Investment Policy Update
Robert Davis, Treasury and Public Finance Manager
- 6. OCTA Staff Updates**
 - A. Measure M2 Sales Tax Forecast Update
Sean Murdock, Finance and Administration Director
 - B. Safe Transit Stops (Project W) 2020 Programming Recommendations
Joseph Alcock, Section Manager, M2 Local Programs
 - C. Senior Mobility Program Temporary Guideline Exceptions
Kia Mortazavi, Executive Director, Planning
 - D. Environmental Cleanup Program (Project X) Tier One Grant Funding Allocation
Joseph Alcock, Section Manager, M2 Local Programs
 - E. I-405 (Project K) Update – Christina Byrne, Department Manager, Public Outreach
 - F. Staff Liaison – Alice Rogan, Marketing and Public Outreach Director
- 7. Annual Eligibility Review Subcommittee Report**
- 8. Audit Subcommittee Report**
- 9. Environmental Oversight Committee Report**
- 10. Committee Member Reports**
- 11. Adjournment**

The next meeting will be held on December 8, 2020 via teleconference

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INFORMATION ITEMS

**Measure M2 Schedule of Revenues, Expenditures and
Changes in Fund Balance**

Q4 (June 30, 2020)

Staff Report Title

Board Meeting Date

- 1. Comprehensive Transportation Funding Programs
Semi-Annual Review - March 2020**
- 2. Measure M2 Comprehensive Transportation
Funding Programs – 2021 Annual Call for Projects**
- 3. Environmental Mitigation Program Endowment
Fund Investment Report for June 30, 2020**
- 4. Interstate 405 Improvement Project Update**

August 10, 2020

August 10, 2020

September 14, 2020

September 28, 2020

Measure M Taxpayer Oversight Committee
Teleconference Site
Orange County Transportation Authority
550 S. Main Street, Orange CA, Room 07
August 11, 2020 @ 5:00 p.m.

MEETING MINUTES

Committee Members Present:

Frank Davies, Orange County Auditor-Controller, Chair
Douglas P. Gillen, First District Representative
Dr. Pauline Merry, First District Representative
Mark Kizzar, Second District Representative
Harry Sloan, Second District Representative
Tuan Nguyen, Third District Representative
Joseph McCarthy, Third District Representative
Larry Lang, Fourth District Representative
Michael Pascual, Fourth District Representative
Douglas Anderson, Fifth District Representative
Jeffery Kaplan, Fifth District Representative, Co-Chairman

Orange County Transportation Authority Staff Present:

Joseph Alcock, M2 Local Programs Section Manager
Jim Beil, Capital Projects Executive Director
Christina Byrne, Public Outreach Manager
Robert Davis, Treasury & Public Finance Department Manager
Sean Murdock, Finance and Administration Director
Dan Phu, Planning Program Manager
Alice Rogan, Director, Marketing & Public Outreach

1. Welcome

Chair Frank Davies welcomed everyone to the Orange County Transportation Authority (OCTA) Taxpayer Oversight Committee (TOC) meeting at 5 p.m. Chair Davies welcomed new members Harry Sloan representing the second district and Joseph McCarthy representing the third district. He asked them to introduce themselves.

Alice Rogan, Staff Liaison, went over protocols and took roll call.

2. Pledge of Allegiance

Chair Frank Davies led the Pledge of Allegiance to the Flag.

3. Approval of Minutes/Attendance Report for June 9, 2020

Chair Frank Davies asked if there are any corrections to the Minutes/Attendance Report for June 9, 2020.

Douglas Gillen said his last name was misspelled in the body of the minutes.

A motion was made by Mark Kizzar, seconded by Douglas Gillen, and carried unanimously to approve the June 9, 2020 TOC Minutes and the Attendance Report with corrections. Two members of the TOC abstained.

4. Presentation Items

A. Capital Action Plan (CAP) Update

Jim Beil provided an update on the CAP. He referenced the staff report in the agenda packet. Jim said OCTA missed the environmental milestone for the El Toro Y Interchange Project due to a lack of agreement on the alternatives by the cities involved in the project. A consultant has been hired to work with the cities to reimagine project alternatives. He said a new schedule would be worked out next month. Jim said OCTA also missed a milestone related to the Anaheim Canyon Metrolink Station. He said OCTA was in the final stages of securing right-of-way (ROW) access for construction when the pandemic hit. OCTA has developed alternative ROW options, and a new agreement is being negotiated. Jim said another missed milestone has to do with the Placentia Metrolink Station. He said a shared-use agreement is being worked out between Metrolink and BNSF regarding the use of the corridor. The last missed milestone is on the I-5 widening between Alicia Parkway and El Toro Road. OCTA anticipates the award of the construction contract by the end of August. He said the bids were ultra-competitive, but there are issues with COVID as well. Jim Beil continued by saying there are 15 milestones in FY 2020/21. He said COVID-19 delays include ROW acquisitions, delivery of materials, and court hearings for eminent domain acquisitions.

Committee Member Comments:

Larry Lang asked about the LA Times article regarding the High-Speed Rail Project mismanagement. Larry expressed that he wanted to make sure OCTA will not run into the same kinds of conflicts. Jim Beil said OCTA has an aggressive quality control program. He said OCTA should not run into those problems. OCTA has project managers that monitor the project closely along with regular reporting to the OCTA Board. He said costs are continually updated through several different plans/documents. OCTA has a high level of transparency.

B. Measure M2 Comprehensive Transportation Funding Programs (CTFP) Update

Joseph Alcock provided an update on the CTFP. He stated that the CTFP includes several different types of competitive transportation funding programs—including the Regional Capacity Program, the Regional Traffic Signal

Synchronization Program (RTSSP), various transit improvement programs, and environmental clean-up programs. Joseph described each funding program in detail and also identified due dates for specific calls for projects.

Committee Member Comments:

Larry Lang asked about delays that have been approved, specifically for the RTSSP project on Harbor Boulevard in the City of Fullerton. Mr. Alcock responded that as part of the M2 semi-annual review process, requests for delays are reviewed to see if the request is required and to determine if delays are based on legitimate technical reasons. If the request seems reasonable, the request is then forwarded to the OCTA Technical Advisory Committee (TAC) and ultimately the OCTA Board for final review and approval.

Mr. Alcock noted that typical delay requests are for delays in securing permitting approvals, stakeholder coordination issues, and/or right-of-way processes taking longer than expected. Mr. Alcock said the pandemic highly influenced this M2 semi-annual review cycle and noted that there were more delay requests than typically see during a March M2 semi-annual review process. He clarified that the additional volume of delay requests was larger the result of needing more time address COVID-19 related impacts.

Larry asked about increased costs and additional scope of work review due to delay requests. Mr. Alcock replied that OCTA's M2 competitive grant awards do not increase as the result of delay requests. Larry said his local community has great frustration with this project and would appreciate anything that can be done to get the project moving.

- C. Measure M2 Environmental Mitigation Program (EMP) Update and Annual Report
Dan Phu provided an update on the EMP and the M2 Natural Community Conservation Plan/Habitat Conservation Plan (NCCP/HCP) Second Annual Report. He provided background on the EMP, and NCCP/HCP. To mitigate freeway projects, OCTA set aside seven Preserves, funded 11 restoration projects, plus a project that removed dams that impeded fish passage. Currently, OCTA is finalizing Fire Management Plans to prevent the destruction of properties during wildfires.

Committee Member Comments:

Doug Gillen asked about the non-governmental agencies OCTA works with on these projects. Dan Phu said the Measure M2 Ordinance created the Environmental Oversight Committee. Members of this committee include Dr. Pauline Merry of the TOC, public members, and two environmental representatives.

5. OCTA Staff Updates

- A. Sales Tax Update – Sean Murdock said this update is normally in October; however, given the magnitude of the forecasted decrease in sales tax revenue, a preliminary update has been developed for the TOC. He provided a recap of the methodology used to predict the sales tax revenue assumptions. Sean said based on forecasts received in April, the early indication was sales tax collection would be \$10.7 billion. He said last year the prediction was \$13.4 billion in sales tax collection. Muni Services, the company used to provide short term forecasts, recently provided OCTA an update which increased the forecast to \$11.6 billion in sales tax collection. Sean cautioned that this is not a final forecast. The final forecast for the fiscal year will be completed in September, and the TOC will receive the information at the October meeting. Staff continues to monitor potential impacts to the M2 Program.

Committee Member Comments:

Larry Lang asked if staff continues to project enough cash on hand to complete the current projects underway. Sean Murdock said yes, there was a certain amount of economic uncertainty built into the freeway mode and staff feels this is enough to cover the current ongoing projects. He said the M2 Program is still strong and liquid.

- B. Annual Credit Update – Robert Davis said this item is the Annual Credit Update to the rating agencies. As part of OCTA's investors' relations program, staff generally meets with the rating agencies on an annual basis in New York. This year the meetings were done remotely for the first time. The meetings focused on the impacts on programs and projects due to COVID-19. OCTA provided an update on sales tax collections, and despite the forecasted decrease in sales tax OCTA's debt service coverage ratios remain strong. Robert also stated that OCTA's TIFIA loan rating, which is updated annually, has been confirmed by Moody's.

Committee Member Comments:

Douglas Anderson asked about the use of bond proceeds if delays will put OCTA out the timeframe to use them. Robert Davis said OCTA is receiving invoices to spend the 2019 bonds. Staff continues to monitor in detail the use of the bonds. He said spending is ramping up, and it is not anticipated that OCTA will have any problem spending the funds.

- C. Community-Based Transit Circulators Program Project V – Joseph Alcock provided background on the M2 Project V program. He said in July, staff provided a report to the OCTA Board, which was included in the TOC Agenda Packet. Mr. indicated that eight Project V services met their respective minimum ridership requirements. He said nine services were inactive during the reporting period, one service (Irvine's iShuttle Route E) which was in its initial start-up

phase, and one existing service (Lake Forest Panasonic Vanpool) did not meet their required minimum ridership requirements.

Next, Mr. Alcock provided an overview of OCTA's efforts to support Project V services during the pandemic. He noted that these efforts included reopening the March M2 Semi-Annual Review Process to incorporate transfers of funds to allow agencies not currently providing services the ability to preserve unspent funds so that they can be used in subsequent years of their grants. OCTA also provided local transit operators with COVID-19 related materials on how to operate transit during the pandemic. He also noted that OCTA polled local agencies to see who would be operating services during the summer season. Mr. Alcock concluded by noting that OCTA was currently evaluating how Project V minimum ridership/productivity requirements might need to be modified in order to support Project V services in a post COVID-19 environment.

- D. I-405 Update – Christina Byrne said an updated bridge construction schedule was provided to TOC members in the agenda packet. The next major milestone is the completion of the McFadden bridge in the late summer of 2020. The next milestones are the Talbert bridge, which is expected to open in early 2021, and the Bushard bridge expected to open the Fall 2020. Christina noted the outreach team continues to meet with the community during the pandemic through virtual meetings reaching more than 400 live participants and 1,700 recorded views. This is a significant increase over past in-person meetings.
- E. Staff Liaison– Alice Rogan said prior to this meeting, staff met with the two new members. Harry Sloan and Joseph McCarthy will both be participating in the AER subcommittee. Alice congratulated Francesca Ching, who will be serving as the Measure M2 Program Manager, previously held by Tamara Warren. Alice said OCTA anticipates the continuation of virtual meetings through the end of 2020.

6. Annual Eligibility Review (AER) Subcommittee Report

Joseph Alcock said the committee has not convened since the last TOC meeting. Staff met with the new members to get them familiar with the subcommittee. There will be an AER subcommittee meeting in mid-September to review FY 2020-21 eligibility submittals. Staff will be contacting subcommittee members to determine the best time to meet. After the September meeting findings will be advanced to the full TOC in October.

7. Annual Audit Subcommittee Report

Chair Frank Davies said there had not been a meeting since the TOC last met. The next meeting of the Audit Subcommittee will be October 13, 2020.

8. Environmental Oversight Committee (EOC) Report

Dr. Pauline Merry will provide her report at the next TOC meeting.

9. Committee Member Reports

Larry Lang asked about the length of agenda packets. Alice said in the agenda packet there are “Action Items” and when you hover over those items you may be linked to a staff report and these are items members really should look at prior to the meeting. Other items that are “Presentation Items” may have staff reports attached to them. You may want to wait until after the presentation to read them if you have further interest. “Information Items” are just an FYI for transparency purposes.

Larry Lang said he feels there is fantastic information in the 300+ pages provided to the committee, but he fears the TOC is glossing over some of this information. Alice Rogan said staff presents items to the TOC that are the most beneficial to the committee.

10. Adjournment

Chair Frank Davies thanked staff for the presentations and setting up the meeting.

The next meeting will be held via teleconference on October 13, 2020 at 5 p.m.

Taxpayer Oversight Committee

Fiscal Year 2020-2021

Attendance Record

X = Present

E = Excused Absence

* = Absence Pending Approval

U = Unexcused Absence

-- = Resigned

Meeting Date	July	11-Aug.	Sept.	13-Oct.	Nov.	8-Dec.	Jan.	6-Feb.	March	9-Apr.	May	8-Jun.
Douglas P. Gillen		X										
Pauline Merry		X										
Joseph McCarthy		X										
Mark Kizzar		X										
Harry Sloan		X										
Tuan Nguyen		X										
Larry A. Lang		X										
Michael Pascual		X										
Jeffrey Kaplan		X										
Douglas Anderson		X										
Frank Davies		X										

Absences Pending Approval

Meeting Date

Name

Reason

Action Items



October 13, 2020

To: Taxpayer Oversight Committee
From: Orange County Transportation Authority Staff
Subject: Measure M2 Annual Eligibility Review

Overview

The Measure M2 Ordinance requires all local agencies in Orange County to annually satisfy eligibility requirements to receive Measure M2 net revenues. The Annual Eligibility Review Subcommittee has convened and completed its review process for the current review cycle and required eligibility items are presented for Taxpayer Oversight Committee confirmation of receipt and review.

Recommendation

Affirm that the Taxpayer Oversight Committee has received and reviewed Pavement Management Plans (for applicable local agencies) and Local Signal Synchronization Plans for all local agencies in Orange County.

Background

According to the Measure M2 (M2) Ordinance, the Taxpayer Oversight Committee (TOC) shall receive and review local agencies' Local Signal Synchronization Plans (LSSP), Mitigation Fee Programs (MFP), Expenditure Reports, the Congestion Management Program (CMP), and Pavement Management Plans (PMP).

The Annual Eligibility Review (AER) Subcommittee has been designated by the TOC to first receive and review eligibility submittals with support from Orange County Transportation Authority (OCTA) staff in order to ensure that required documents have been submitted and reviewed. For this eligibility cycle, PMPs and LSSPs were due.

Discussion

Local agencies are required to annually submit eligibility packages by June 30th. For this eligibility cycle, OCTA staff reviewed local agencies' LSSPs and PMP

submittals to ensure timeliness and accuracy. Staff also worked closely with local agencies to obtain additional information and/or back up materials as needed. For reference, the PMP submittal schedule is included as Attachment A¹.

The AER Subcommittee convened on September 23, 2020 to discuss these two required eligibility components. The AER Subcommittee received, reviewed, and affirmed that all local agencies had submitted appropriate documentation in order to satisfy LSSP and PMP M2 eligibility requirements. As such, summary compliance tables for local agencies' PMPs (Attachment B) and LSSPs (Attachment C) are provided for TOC receipt, review, and affirmation.

Next Steps

Once the TOC has affirmed receipt and review of these eligibility materials, OCTA staff will present the results of the review and recommend a final finding that all 35 Orange County local agencies be deemed eligible to continue to receive net M2 revenues to the OCTA Regional Planning and Highways Committee and the OCTA Board of Directors in December 2020.

Summary

All local agencies in Orange County have submitted required Measure M2 eligibility materials for the current cycle. In addition, the AER Subcommittee has completed its review of required PMP and LSSP documentation and these materials are now offered for TOC confirmation of receipt and review.

Attachments

- A. Local Agency Pavement Management Plan (PMP) Submittal Schedule
- B. 2020 Measure M2 Eligibility Summary Table of Pavement Management Plan (PMP) Elements
- C. 2020/21 Measure M2 Eligibility 2020 Local Signal Synchronization Plan Update Summary

¹ For this eligibility review cycle, PMPs were required from 21 local agencies. The remaining 14 local agencies' PMPs will be submitted and reviewed during the next year's eligibility review cycle.

**Local Agency Pavement Management Plan (PMP)
Submittal Schedule¹**

Local Agency	Updated PMP
Aliso Viejo	June Even Year
Anaheim	June Odd Year
Brea	June Odd Year
Buena Park	June Even Year
Costa Mesa	June Even Year
County of Orange	June Odd Year
Cypress	June Odd Year
Dana Point	June Odd Year
Fountain Valley	June Even Year
Fullerton	June Even Year
Garden Grove	June Even Year
Huntington Beach	June Even Year
Irvine	June Odd Year
La Habra	June Odd Year
La Palma	June Even Year
Laguna Beach	June Even Year
Laguna Hills	June Even Year
Laguna Niguel	June Even Year
Laguna Woods	June Even Year
Lake Forest	June Odd Year
Los Alamitos	June Odd Year
Mission Viejo	June Even Year
Newport Beach	June Odd Year
Orange	June Even Year
Placentia	June Even Year
Rancho Santa Margarita	June Even Year
San Clemente	June Odd Year
San Juan Capistrano	June Odd Year
Santa Ana	June Even Year
Seal Beach	June Even Year
Stanton	June Odd Year
Tustin	June Odd Year
Villa Park	June Even Year
Westminster	June Even Year
Yorba Linda	June Even Year

¹Shaded local agencies submitted a PMP update during this eligibility review cycle.

**2020 Measure M2 Eligibility
Summary Table of Pavement Management Plan (PMP) Elements**

ATTACHMENT B

Local Agency	Current Network PCI	Current MPAH PCI	Current Local PCI	Projected Network PCI	Projected MPAH PCI	Projected Local PCI	7 Year R&R Plan Limits	7 Year R&R Plan Areas	7 Year R&R Plan Class	7 Year R&R Plan PCI	7 Year R&R Plan Inspection Dates	7 Year R&R Plan Treatment Type	7 Year R&R Plan Treatment Cost	7 Year R&R Plan Treatment Year	QA/QC	7 Years Current Budget \$ x 10 ⁶	7 Years Maintain Network PCI \$ x 10 ⁶	7 Years Improve Network PCI \$ x 10 ⁶	Software	Certification Form	Compliant PMP (Y/N)
Aliso Viejo	G	G	G	G	G	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Buena Park	G	G	G	F	G	F	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	SS	✓	Y
Costa Mesa	VG	G	VG	VG	VG	VG	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Fountain Valley	VG	G	VG	VG	G	VG	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Fullerton	F	F	F	P	F	P	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Garden Grove	F	F	F	P	F	P	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Huntington Beach	G	G	G	G	G	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
La Palma	VG	VG	VG	VG	G	VG	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Laguna Beach	VG	VG	VG	VG	G	VG	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Laguna Hills	G	G	VG	G	F	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Laguna Niguel	G	G	G	G	G	F	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Laguna Woods*	VG	VG	N/A	G	G	N/A	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Mission Viejo	G	G	VG	G	F	VG	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	SS	✓	Y
Orange	G	G	G	G	G	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Placentia	F	F	F	G	VG	F	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	SS	✓	Y
Rancho Santa Margarita	VG	G	VG	VG	G	VG	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	SS	✓	Y
Santa Ana	G	F	G	F	F	F	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	SS	✓	Y
Seal Beach	G	G	G	G	F	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Villa Park	G	G	G	G	G	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Westminster	G	G	VG	G	G	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y
Yorba Linda	G	G	G	G	G	G	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	Micro	✓	Y

Legend		
Pavement Quality	Abbreviation	PCI
Very Good	VG	85-100
Good	G	75-84
Fair	F	60-74
Poor	P	41-59
Very Poor	VP	0-40

Acronyms	
Micro	MicroPaver Pavement Management Program
MPAH	Master Plan of Arterial Highways
PCI	Pavement Condition Index
QA/QC	Quality Assurance/Quality Control Plan
R&R	Road Maintenance & Rehabilitation Plan
SS	StreetSaver Pavement Management Program
*	All Laguna Woods local streets are private

I certify that the information contained in this table is an accurate representation of materials submitted to OCTA for purposes of meeting requirements related to the Pavement Management Plan.

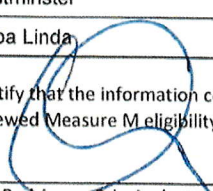


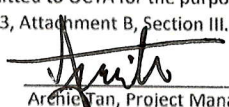
Harry W. Thomas, OCTA

**2020/21 Measure M2 Eligibility
2020 Local Signal Synchronization Plan Update Summary**

Agency	Annual	Every Three Years			
	Traffic Forum	Regional Plan Consistency	3-Year Capital Plan	Status/ Performance	Timing Updates
Aliso Viejo	2 meetings	Compliant	Compliant	Compliant	Compliant
Anaheim	2 meetings	Compliant	Compliant	Compliant	Compliant
Brea	2 meetings	Compliant	Compliant	Compliant	Compliant
Buena Park	1 meeting	Compliant	Compliant	Compliant	Compliant
Costa Mesa	2 meetings	Compliant	Compliant	Compliant	Compliant
County of Orange	2 meetings	Compliant	Compliant	Compliant	Compliant
Cypress	2 meetings	Compliant	Compliant	Compliant	Compliant
Dana Point	2 meetings	Compliant	Compliant	Compliant	Compliant
Fountain Valley	2 meetings	Compliant	Compliant	Compliant	Compliant
Fullerton	2 meetings	Compliant	Compliant	Compliant	Compliant
Garden Grove	2 meetings	Compliant	Compliant	Compliant	Compliant
Huntington Beach	2 meetings	Compliant	Compliant	Compliant	Compliant
Irvine	2 meetings	Compliant	Compliant	Compliant	Compliant
La Habra	2 meetings	Compliant	Compliant	Compliant	Compliant
La Palma	2 meetings	Compliant	Compliant	Compliant	Compliant
Laguna Beach	2 meetings	Compliant	Compliant	Compliant	Compliant
Laguna Hills	2 meetings	Compliant	Compliant	Compliant	Compliant
Laguna Niguel	2 meetings	Compliant	Compliant	Compliant	Compliant
Laguna Woods	2 meetings	Compliant	Compliant	Compliant	Compliant
Lake Forest	2 meetings	Compliant	Compliant	Compliant	Compliant
Los Alamitos	2 meetings	Compliant	Compliant	Compliant	Compliant
Mission Viejo	2 meetings	Compliant	Compliant	Compliant	Compliant
Newport Beach	2 meetings	Compliant	Compliant	Compliant	Compliant
Orange	2 meetings	Compliant	Compliant	Compliant	Compliant
Placentia	2 meetings	Compliant	Compliant	Compliant	Compliant
Rancho Santa Margarita	2 meetings	Compliant	Compliant	Compliant	Compliant
San Clemente	2 meetings	Compliant	Compliant	Compliant	Compliant
San Juan Capistrano	2 meetings	Compliant	Compliant	Compliant	Compliant
Santa Ana	2 meetings	Compliant	Compliant	Compliant	Compliant
Seal Beach	2 meetings	Compliant	Compliant	Compliant	Compliant
Stanton	2 meetings	Compliant	Compliant	Compliant	Compliant
Tustin	2 meetings	Compliant	Compliant	Compliant	Compliant
Villa Park	2 meetings	Compliant	Compliant	Compliant	Compliant
Westminster	2 meetings	Compliant	Compliant	Compliant	Compliant
Yorba Linda	2 meetings	Compliant	Compliant	Compliant	Compliant

I certify that the information contained in this table is an accurate representation of materials submitted to OCTA for the purposes of meeting Renewed Measure M eligibility requirements related to the Signal Synchronization. (Ordinance No. 3, Attachment B, Section III.A.5 & A.6)


Paul Rodriguez, Principal
Rodriguez Consulting Group


Archie Tan, Project Manager
Orange County Transportation Authority

***Presentation
Items***



September 10, 2020

To: Transit Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: OC Streetcar Project Quarterly Update

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is placed to the right of the "From:" field.

Overview

The Orange County Transportation Authority is currently implementing the OC Streetcar project. Updates are provided to the Board of Directors on a quarterly basis. This report provides an update on OC Streetcar project activities from June 2020 through August 2020.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA), in cooperation with the cities of Santa Ana and Garden Grove, is implementing a modern streetcar running between the Santa Ana Regional Transportation Center (SARTC) in the City of Santa Ana (City) and the intersection of Harbor Boulevard and Westminster Avenue in the City of Garden Grove. The OC Streetcar project (Project) will improve transit connectivity and accessibility, increase transit options, relieve congestion, and provide benefits to the community and traveling public. The Project is being implemented as part of Measure M2 Project S – Transit Extensions to Metrolink, approved by Orange County voters in November 2006.

Construction of the 4.15-mile route OC Streetcar line involves complex and specialized work, including the installation of embedded track in streets, an overhead contact system (OCS) to supply power to the vehicles, stops with canopies, bridges, and a maintenance and storage facility (MSF).

The Project includes ten streetcar stops in each direction (four shared center platforms and six side platforms in each direction, for a total of 16 platforms). Each stop includes a canopy, benches, leaning rails, trash cans, lighting,

changeable message signs, video cameras, a public address system, and ticket vending machines, which will be procured separately. Platforms will be 14 inches high to enable level boarding. Also included is the installation of new traffic signals and transit signal priority at intersections.

The MSF can accommodate up to 15 modern streetcar vehicles and accommodates all necessary administration, operations, vehicle maintenance, parts storage, and maintenance-of-way needs for the Project. Secured exterior vehicle storage, including a wye track for turning vehicles end-for-end, a free-standing vehicle wash, employee parking, and fire department/delivery access will also be included.

On March 26, 2018, the Board of Directors (Board) awarded a contract to Siemens Mobility, Inc., (Siemens) for the manufacture and delivery of eight modern streetcar vehicles, spare parts, and special tools. On September 24, 2018, the Board awarded the project construction contract to Walsh Construction Company II, LLC (Walsh). On November 30, 2018, the Federal Transit Administration (FTA) executed the Full Funding Grant Agreement (FFGA), securing \$149 million in federal New Starts discretionary funding for the Project. In February 2019, the FFGA was awarded through the FTA Transit Award Management System, which was the final step necessary to begin the drawdown of federal funding. Through August 2020, \$41,257,690 million has been drawn down on the FFGA.

Discussion

The following is a status of ongoing project activities. Also included is a brief summary of coronavirus (COVID-19) impacts for both the construction contractor and vehicle manufacturer.

Construction Activities

Construction activities continued throughout the Project, with focus on construction of the Santa Ana River and Westminster Avenue bridges, the MSF, and relocation of storm drain, sewer, and water systems within the City's streets. Walsh has continued to follow state and local health care agency requirements regarding COVID-19 safety precautions, including appropriate social distancing and face coverings. Walsh has submitted a force majeure letter and notified OCTA of potential supply chain disruptions. OCTA is coordinating with Walsh to track any impacts of COVID-19 on construction. As of mid-August, Walsh reported that eight staff were infected and has advised that all appropriate safety protocols are being followed.

Bridges and Pacific Electric Right-of-Way (PEROW)

Hauling and disposal of hazardous materials from the PEROW was completed in July. The contractor has completed the majority of grading and installed drainage features (culverts, storm drains, and ditches) within the PEROW. Sections of rail are being delivered to the PEROW, which will be welded into long rail strings in preparation to be placed in the track alignment within the PEROW and streets.

The next scheduled major activity on the Westminster Avenue bridge is placement of the concrete for the bridge deck. The temporary falsework used to support the bridge during construction will be removed after the bridge deck has cured and the girders have been stressed. Construction of retaining walls leading to both ends of the bridge continues.

The Santa Ana River bridge deck reinforcing steel is currently being placed, and retaining walls leading to both ends of the bridge are complete, allowing the bridge approach fill settlement monitoring period to begin.

MSF

Construction of the MSF is critical to the project schedule, as it is needed to accept delivery and conduct final acceptance testing for the eight vehicles being manufactured by Siemens. Construction of the service and inspection pit has been delayed by continuing construction quality issues. The lower service and inspection pit slab was placed in June without the elements required to protect against stray current corrosion. This protection is required for all steel-reinforced concrete structures directly supporting the vehicle, which is powered by direct current electricity. The contractor is required to submit an acceptable repair plan before work on the inspection pit can be completed. Additionally, the contractor proceeded with installation of the wheel truing pit, elevator pit, and the car wash foundation.

City Streets

Nearly all wet utility relocation and installation (sewer, water, and storm drains) is complete. Remaining work includes rehabilitation of a sewer main on Santa Ana Boulevard between Broadway and Mortimer Street, installation of a sewer line on 4th Street at French Street, installation of a storm drain on Main Street, and water service connections. All underground third-party utility work is complete except for sidewalk and roadway restoration work. In addition, there are four remaining overhead relocations by Crown Castle and two by Spectrum/Charter/Time Warner yet to be completed.

Construction of the westbound concrete embedded track slab began in August on Santa Ana Boulevard between Raitt Street and Bristol Street. The north half of Santa Ana Boulevard is closed to traffic and parking, and driveway access is maintained. Traffic is temporarily reduced to one lane eastbound and parking is maintained on the south side of the street.

Foundations for overhead contact system (OCS), streetlight, and traffic signal poles continues to be a challenge with undocumented underground utilities being discovered in approximately half of the locations. This requires the contractor to hand-dig the foundation and submit a request for information to resolve the conflict when identified.

Station Stops

A prototype canopy/station shelter has been assembled and underwent an initial inspection. The contractor is working to address a number of fabrication comments and a subsequent inspection will be performed. Grading for the first stop platform at Fairview Street began in August.

Vehicle Manufacturing and Delivery

Siemens continues the production of the eight S700 streetcar vehicles. The first vehicle (Car 1) is furthest in production and has completed several significant milestones during this quarter, including the interior and exterior equipping of the vehicle. Equipping refers to the installation of electrical components, all wiring, doors, windows, and power trucks. Car 1 was then moved to the water test facility that tests the streetcar in a controlled environment for leaks. The testing includes high-pressure water sprayed on the exterior of the vehicle to verify that the vehicle's electric components are completely sealed to prevent damage from unintended water intrusion. This testing will also ensure that the doors, windows, and seals will not leak during inclement weather.

In August, Car 1 began hi-pot wire size testing and continuity electrical testing. This phase of testing ensures that the vehicle wiring is sized properly for the intended use and that the wires are properly connected. Upon completion and certification of the electrical system, the vehicle was moved to another facility to conduct static testing. During static testing, the vehicle was powered up for the first time, and vehicle components were tested for functionality. Car 1 was then moved to the test track to begin dynamic testing. In dynamic testing, the vehicle is moved under its own power.

A summary of production status of all eight vehicles is provided below:

Vehicle No.	Status
01	<ul style="list-style-type: none">• Moved to test track for dynamic testing
02	<ul style="list-style-type: none">• Internal and external equipping continues
03	<ul style="list-style-type: none">• Carshell integration and water test completed• Equipping continues
04	<ul style="list-style-type: none">• Final paint in process• Staged for trucking
05	<ul style="list-style-type: none">• Subflooring installed
06-08	<ul style="list-style-type: none">• All carshells staged for sand blast and paint

As of August 20, 2020, Siemens has reported 35 cases of COVID-19 at its production facility in Sacramento, California. OCTA does have an on-site resident inspector at the facility to oversee the vehicle manufacturing process and ensure compliance with the technical specifications. Siemens is committed to ensuring the safety of OCTA's on-site inspector, along with its employees, and is following all proper safety protocols. Siemens has submitted two force majeure letters and has reported some initial material shortages and delivery delays from suppliers. OCTA is coordinating with Siemens to track any impacts of COVID-19 on the manufacturing and delivery of the vehicles.

As a result of COVID-19-related travel restrictions, there were no first article inspections (FAI) conducted during the reporting period. However, plans are in development to conduct a virtual FAI for the doors. FAIs are a contract requirement and a critical component of the manufacturing process to ensure that each component of the vehicle is built according to specifications and quality control measures have been met.

Parallel to production of the vehicle carshells, final design review continues for the remaining vehicle components, including the energy absorbing bumper, emergency battery drive, and flange lube system. These items are anticipated to be closed out next quarter.

Coordination is ongoing between Conduent Transportation, OCTA, and Siemens in the design of the computer-aided dispatch and automated vehicle location, as well as the communications equipment on the vehicles. Coordination also continued between OCTA, Siemens, and Walsh in the integration of the streetcar vehicle with the infrastructure, including the tracks, platforms, MSF, and wayside equipment and systems.

Operations and Maintenance (O&M) Contract

On May 22, 2020, the OCTA Board approved the award of the O&M contract to Herzog Transit Services (Herzog). During the quarter, staff coordinated with Herzog on timing for the execution of the contract and preparing for issuance of the Notice to Proceed.

Public Outreach

COVID-19 protocols continued throughout this reporting period, in-person events were cancelled, and outreach staff continued to rely on electronic and phone notifications for the majority of its efforts. Exceptions include in-person notices for interruption of water service and parking limitations. If bilingual outreach staff was not able to talk to the resident or business owner, then a printed bilingual notice was provided to the address. This approach was successful in communicating information in a timely manner.

OCTA outreach staff coordinates closely with the two business associations that received funding approved by the Board in February 2020 for expanded marketing and outreach efforts in the downtown business district. Staff is present at the associations' Board meetings and coordinates efforts with OCTA's Eat Shop Play program. Both associations have submitted an initial quarterly report as required by the agreement. A summary of the associations' activities is provided below.

Downtown, Inc., has created an ad hoc group to review and develop ideas and proposals. Downtown, Inc., explored what other downtowns across the country are doing, solicited ideas from its constituents, and sought input via social media, its newsletter, and the Voice of OC. Downtown, Inc., have established the following principles:

- Prioritize media creation, video, articles, social content, and extend reach and exposure;
- Partner with Santa Ana Business Council (SABC) and the City on banners and downtown business district identity materials, and;
- Create new ways and reasons to access the district wherever possible.

To date, Downtown, Inc., has spent \$4,571 of its first-year allocation of \$100,000, identified future programming opportunities for \$50,000, and continues to develop plans for the remainder.

The SABC has also formed a fund allocation committee to review best practices and has used \$1,110.59 thus far in a partnership with Downtown, Inc., to create a Dine Out Downtown Marketing Program. The SABC's initial expenditure included efforts to support outdoor dining in downtown Santa Ana. The SABC is also are working on future projects to program the remaining funds.

OCTA's Eat Shop Play program produced a video to introduce the program to prospective businesses, and it has been shared by the two Santa Ana business associations and on OCTA's social media platforms. The initial focus of this program was concentrated in the downtown area; however, during this quarter, the program was shared with businesses in the City of Garden Grove and other locations along the corridor.

As the construction activities expanded into the track installation phase, OCTA held a virtual neighborhood meeting on August 19, 2020. More than 3,000 bilingual notices were distributed along the alignment and on social media. In addition, the City and Artesia Pilar Neighborhood Association distributed information. The bilingual virtual neighborhood meeting, attended live by 31 stakeholders and viewed 78 times on replay, included a brief overview of the project alignment and benefits, with a specific focus on the traffic shift in Segment 2, between Raitt Street and Bristol Street on Santa Ana Boulevard. Parking changes were also discussed, specifically recent changes that maintained parking in the Artesia Pilar neighborhood. Overall, viewers appreciated that the information was broadcast in both English and Spanish. A follow-up meeting is scheduled when the next phase of activity is planned approximately eight and ten weeks from now. Outreach staff is also supplying project information materials to the City to support the City's Coronavirus Aid, Relief, and Economic Security kits distributed throughout the City.

Cost and Schedule

The project cost, as included in the FFGA, remains at \$407.7 million, including \$37.96 million in contingency. As of August 2020, approximately \$21.3 million in contingency has been expended or committed. Construction risks realized to date have expended a higher amount of contingency than anticipated. An updated risk analysis is being finalized, which identifies any needed adjustments to the project cost estimate and completion schedule. Staff will return to the Board to present the results of this risk analysis and any cost and schedule adjustments needed to complete the project.

Next Steps

Construction activities in the next quarter will focus on MSF building floor slabs, the start of in-street embedded track installation and ballasted track installation in the PEROW, installation of OCS poles, and starting construction of station stop platforms. Next steps for vehicles include finalizing design for remaining vehicle components, additional first article inspections, and continued production and assembly. Upcoming outreach activities include ongoing coordination with the construction team and the City regarding traffic control measures that are needed for the in-street embedded track installation.

Summary

An OC Streetcar project update is provided for the Orange County Transportation Authority Board of Directors' review.

Attachment

None.

Prepared by:



Mary Shavalier
Program Manager
(714) 560-5856

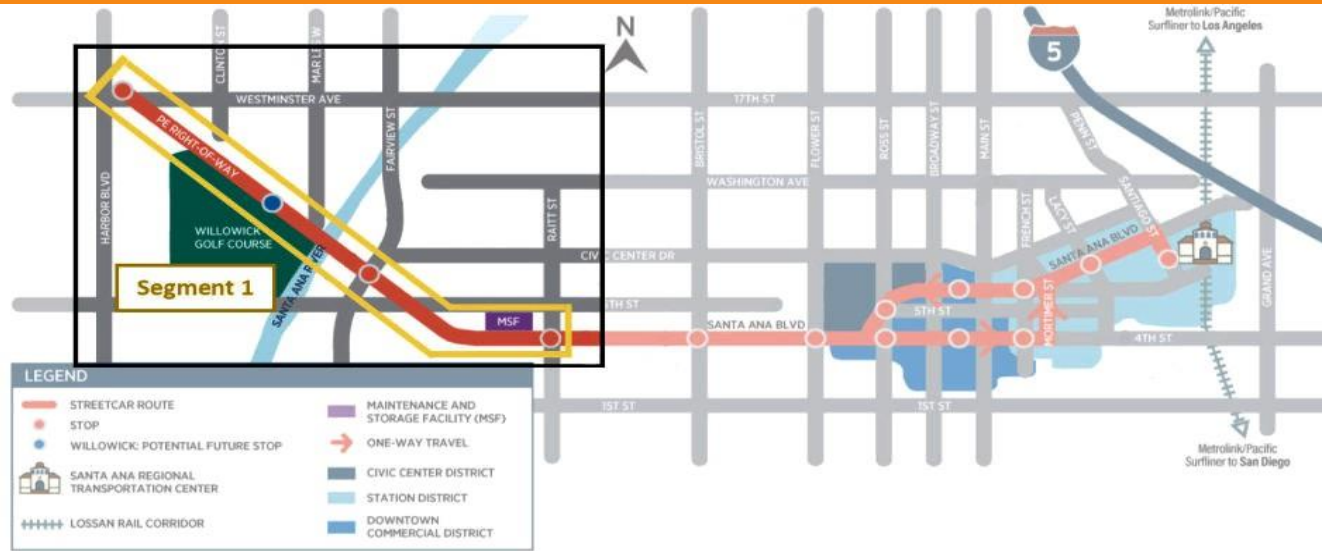
Approved by:



James G. Beil, P.E.
Executive Director, Capital Programs
(714) 560-5646

OC Streetcar Project Quarterly Update

Construction—Segment 1



- Pacific Electric Right-of-Way
 - Hazardous soil disposal completed in July; sticks of rail delivered and are being welded into strings
- Westminster Bridge
 - Bridge deck concrete placement; final bridge approach retaining walls; temporary false work removal next quarter
- Santa Ana River Bridge
 - Bridge deck concrete placement; completed bridge approach retaining walls
- Maintenance and Storage Facility
 - Service and inspection pit delayed due to quality non-compliance; began construction of wash building sump pits and foundations

Westminster Bridge



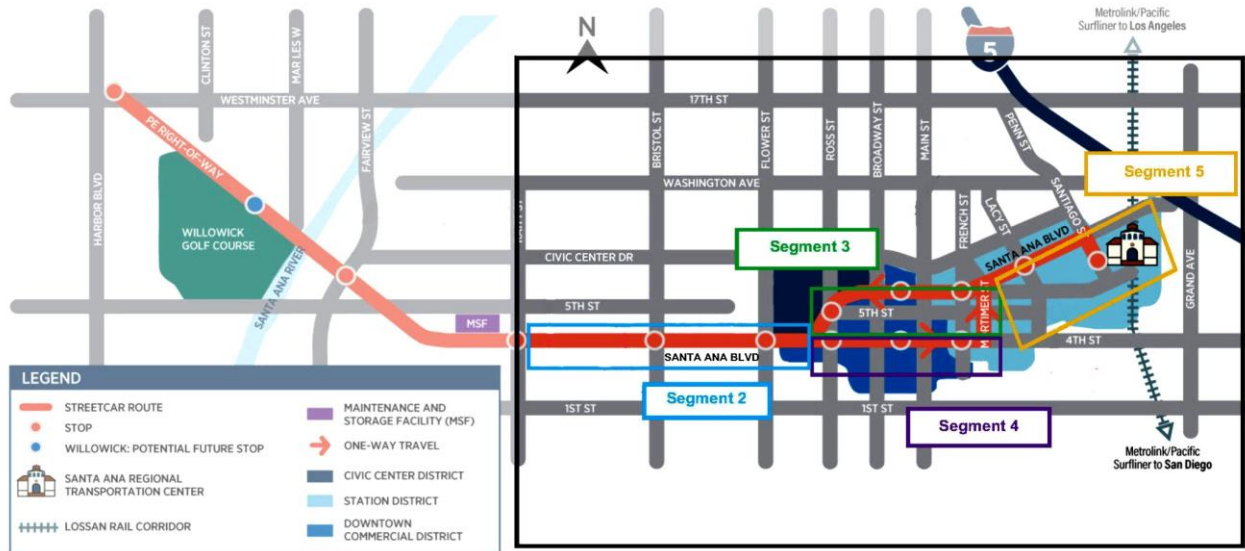
Santa Ana River Bridge



Maintenance and Storage Facility (MSF)



Construction—Segments 2 Through 5



- Wet utility relocation nearing completion
 - Rehabilitate sewer main on Santa Ana Boulevard between Broadway Street and Mortimer Street, install new sewer line on 4th Street at French Street
 - Finalizing water service connections
 - Installing new storm drain on Main Street
- Excavation for westbound embedded track slab on Santa Ana Boulevard from Raitt Street to Bristol Street
- Installation of overhead contact system (OCS), traffic signal, and streetlight pole foundations

Project Challenges

- Unforeseen utility conflicts
- Contaminated soils and materials in Pacific Electric Right-of-Way (PEROW) and city streets
- Compliance with quality requirements
- Oversight and approvals from multiple agencies and third parties
- Dispute resolution and change management
- Schedule impacts and higher use of contingency than anticipated

Upcoming Construction Milestones

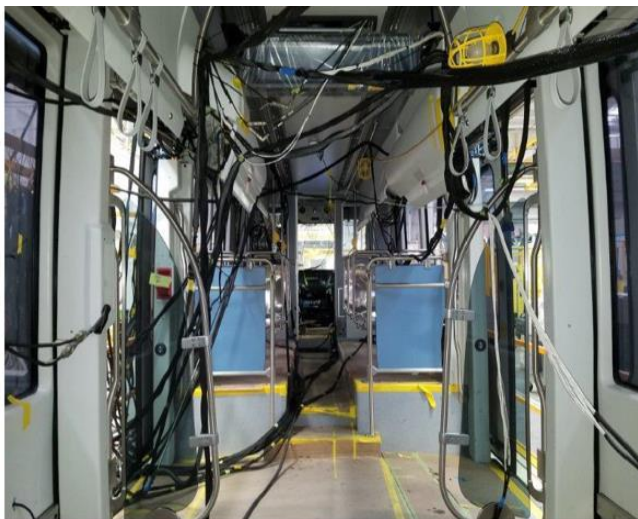
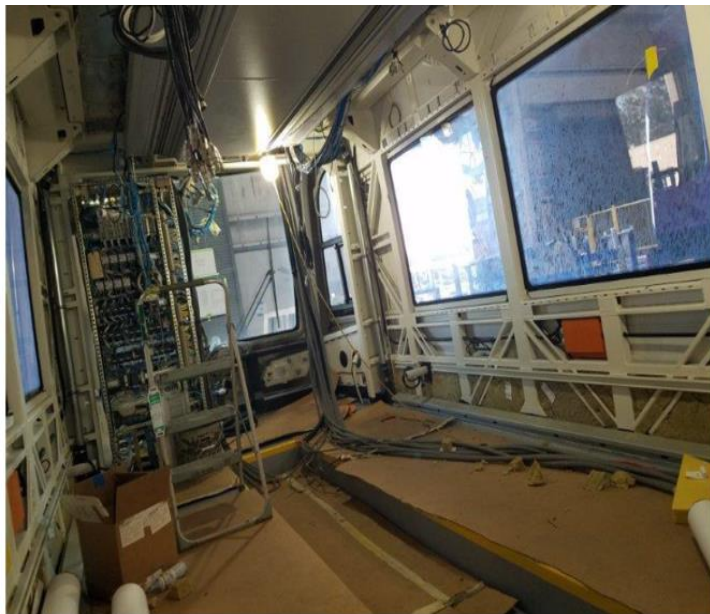
- Installation of in-street embedded track and PEROW ballasted track
- Installation of OCS poles
- Continued construction of MSF slabs and walls
- Site development of Fairview Street station stop platform
- Pouring of the Santa Ana River Bridge deck
- Complete retaining walls, post tensioning, and structural backfill at Westminster Bridge

Vehicles

- All eight vehicles in various stages of production
- The first vehicle, Car 1, has completed several significant milestones during the quarter that include interior/exterior equipping, water testing, hi-pot wire size testing, continuity electrical testing, static testing, and dynamic testing
- Final design review of remaining vehicle components, including the energy absorbing bumper, emergency battery drive, and flange lube system
- Ongoing coordination with Conduent and Siemens on computer-aided dispatch and automated vehicle location design specifications



Vehicles



Outreach – Support


- Santa Ana Business Association activities
- Eat Shop Play Video
- Virtual Open House

ABOUT SANTA ANA BUSINESS COUNCIL

Mission

To Serve Business and Community

The SANTA ANA BUSINESS COUNCIL, INC consists of individual and organizational members representing around 800 businesses in Downtown Santa Ana. The Business Improvement District is made up of 80 blocks that comprise its commercial district. Santa Ana Business Council recognizes Downtown Santa Ana as the County's capital City and seeks to represent the county and city as a preeminent leader of commerce and services while introducing all the amenities of urban community life, including social services and facilities and programs in education, recreation, as well as the arts and entertainment. The Mission of Santa Ana Business Council is to "serve our Business and Community."



MARKETING PROGRAMS & IMPACT



Since the shutdown, we have launched several multi-platform arts showcases that promote downtown businesses and culture.

Digital Artwalk

Digital Artwalk launched in April 2020 with a four-hour online showcase of local talent: music and live art. Since then, we've created 16 hours of Digital Artwalk content watched by thousands of downtown followers.

How does online Artwalk content help downtown businesses?

Businesses are featured on the event including Genesis Bridal, Chevita's, Twisted Tiki, Frida Cinema, AvantGarden and Halle Fine Art Gallery, Proof Bar, CSUF Grand Central Art Center, California Center for Digital Arts, Claudia de la Cruz Flamenco Institute and 4SM. The content is engaging with our online audience and tempers our commercial voice with cool, community content. In addition, we promote take-out/dining options while you enjoy the show.



EAT SHOP PLAY
DOWNTOWN SANTA ANA



Look for businesses displaying the OC Streetcar decal

The Orange County Transportation Authority (OCTA) Eat Shop Play program supports businesses located along the future OC Streetcar route.

Benefits to Customers

- Special deals and coupon promotions
- Invitations to engage community events
- Free parking is available for the first 2 hours
- Learn about the OC Streetcar Project (opening in 2022)

Stay Connected

- 1(844) 746-OCStcar
- 1(844) 746-6272
- octa.net/eatshopplay
- facebook.com/OCStreetcar
- @OCStreetcar
- Download the OC Streetcar app

To help required.




Anuncio en Español

OC Streetcar Virtual Open House August 19, 5:30-6:30 p.m.

Please join the OC Streetcar team to learn about upcoming track installation activities, parking restrictions and property access on Santa Ana Boulevard between Raitt Street and Shelton Street. A 20-minute presentation will be followed by a Q&A session. This meeting will be held in English and Spanish. **It will be hosted online and requires internet access and speakers or headphones.**

To register, click below. Once registered, you will receive directions to join the open house.

[REGISTER](#)

Recordings of the open house will be available on OCstreetcar.com. You can get more project information by visiting the website, emailing OCstreetcar@OCTA.net or calling (844) 746-6272.

Virtual Community Open House OC STREETCAR CONSTRUCTION UPDATES

OCTA's OC Streetcar Outreach Team hosted an online community open house on Wednesday, August 19 to provide construction updates on the OC Streetcar project. This meeting was conducted as a webinar to adhere to Governor Newsom's "stay at home" executive order and to help reduce the spread of COVID-19.

 [CLICK TO VIEW RECORDED MEETING](#)



Casa Abierta Virtual Comunitaria OC STREETCAR ACTUALIZACIONES DE CONSTRUCCIÓN

El equipo de alcance de OCTA OC Streetcar llevo a cabo una casa abierta comunitaria en línea el miércoles, 19 de agosto para proveer actualizaciones de construcción sobre el proyecto OC Streetcar. La reunión fue realizada como un seminario en línea para adherir a la orden ejecutiva del Gobernador Newsom de "quedarse en casa" para ayudar reducir la contaminación del coronavirus.

 [HAGA CLIC PARA VER A LA REUNIÓN GRABADA](#)





September 14, 2020

To: Members of the Board of Directors

From: Darrell E. Johnson, Chief Executive Officer

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over the "From:" line.

Subject: Measure M2 Quarterly Progress Report for the Period of April 2020 Through June 2020

Overview

Staff has prepared the Measure M2 quarterly progress report for the period of April 2020 through June 2020, for consideration by the Orange County Transportation Authority Board of Directors. This report highlights progress on Measure M2 projects and programs and will be available to the public via the Orange County Transportation Authority website.

Recommendation

Receive and file as an information item.

Background

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the Renewed Measure M Transportation Investment Plan (Plan) for the Measure M2 (M2) one half-cent sales tax for transportation improvements. The Plan provides a 30-year revenue stream for a broad range of transportation and environmental improvements, as well as a governing ordinance, which defines the requirements for implementing the Plan. Ordinance No. 3 designates the Orange County Transportation Authority (OCTA) as responsible for administering the Plan and ensuring that OCTA's contract with the voters is followed.

OCTA is committed to fulfilling the promises made in M2. This means not only completing the projects described in the Plan but adhering to numerous specific requirements and high standards of quality called for in the measure, as identified in the ordinance. Ordinance No. 3 requires that quarterly status reports regarding the major projects detailed in the Plan be brought to the OCTA Board of Directors (Board). The Board is also provided with individual project staff reports and overall reports on the status of the capital programs by the Capital Programs Division.

Discussion

This quarterly report reflects current activities and progress across all M2 programs for the period of April 1, 2020 through June 30, 2020 (Attachment A). The report includes budget and schedule information provided from the Capital Action Plan, Local Fair Share and Senior Mobility Program payments made to cities during the quarter, as well as total distributions from M2 inception through June 2020.

Additionally, Attachment A includes a summary of the Program Management Office (PMO) activities that have taken place during the quarter. One area in particular is highlighted below.

Next 10 Delivery Plan/Sales Tax Revenue Forecast

Annually, staff reviews the Board-adopted commitments in the Next 10 Delivery Plan (Next 10) to ensure the plan remains deliverable. From May through July 2020, the Board received updated economic outlook and taxable sales forecasts from MuniServices, University of California, Los Angeles, Chapman University, and California State University, Fullerton. Anticipating a decrease in taxable sales due to the coronavirus (COVID-19) pandemic, OCTA prepared a preliminary update for the M2 sales tax forecast. In August 2020, the preliminary forecast of \$11.6 billion for the M2 Program was shared with the Board, which represents a decline of \$1.8 billion compared to last year's forecast. The preliminary forecast will be updated based on final fiscal year (FY) 2019-20 sales tax receipts. Staff will return to the Board with the final forecast in October 2020.

The updated sales tax forecast will be included in the Next 10 review, along with updated project and program cash flows, and the fall update of the construction market conditions analysis. The updated Next 10 is anticipated to be presented to the Board in November 2020.

Progress Update

The following provides an overview of M2 accomplishments to date by mode, as well as highlights of activities that occurred during quarter four.

Freeway Program

The M2 Freeway Program consists of 30 project segments to be delivered by 2041. Currently, while in year ten of the 30-year program, 12 project segments are complete, four are in construction, and another four are readying for

construction. The remaining ten project segments are in various stages of project development, with six (included in the 2019 Next 10) of those slated to go into construction and be complete or near complete by 2026.

Key freeway project activities taking place this quarter, along with updates, are highlighted below.

- Interstate 5 (I-5) between State Route 55 (SR-55) and State Route 57 (SR-57) - The first of two northbound high-occupancy vehicle (HOV) lanes and the first of two southbound HOV lanes reopened to traffic on June 30 and July 2, 2020, respectively. (Project A)
- I-5 between Alicia Parkway and El Toro Road - The project was advertised for construction on May 11, 2020, and the bid opening was held on June 30, 2020. Construction is anticipated to begin in fall 2020. (Project C)
- SR-55 between Interstate 405 (I-405) and I-5 - A project update was provided to the Regional Planning and Highways (RPH) Committee on May 4, 2020, and to the Board on May 11, 2020. The 100 percent design was submitted, and right-of-way (ROW) acquisition, utility relocation coordination, and public outreach activities are underway. The Board also provided direction to continue implementation of the project through construction. (Project F)
- State Route 91 between SR-55 to SR-57 - The environmental phase of this project was completed with the approval of the final environmental document on June 22, 2020. The project is being delivered in three segments to optimize bidding opportunities. Design work on segment two, between La Palma Avenue and SR-55, commenced on June 17, 2020. Design work on segment one, between SR-55 and Lakeview Avenue, has been underway since March 2020. Design work on segment three, between Acacia Street to La Palma Avenue will be underway in late 2020. (Project I)
- I-405 between State Route 73 and Interstate 605 (I-605) - Construction on the project is proceeding and a full project update was provided to the RPH Committee on May 4, 2020, and to the Board on May 22, 2020. In June 2020, stage one of the Goldenwest Street and Bolsa Chica Road bridges was completed and opened to traffic. (Project K)

- I-605/Katella Interchange Improvements - The request for proposals for design was approved for release by the Board on April 13, 2020. Staff recommendation for consultant selection was approved by the Board on August 10, 2020. Design is anticipated to begin late 2020. (Project M)

Streets and Roads

Since 2011, approximately \$884 million¹ has been allocated to local jurisdictions for transportation improvements through the streets and roads competitive and formula funding programs. Additionally, M2 provided \$149 million, a portion of the \$667 million total project cost, to grade separate seven street and rail crossings, leveraging the majority of the funds (\$518 million) from local, state, and federal sources.

- Regional Capacity Program and Regional Traffic Signal Synchronization Program – On May 11, 2020, the Board approved \$23.4 million of funding for eight arterial and intersection capacity enhancement projects, and \$12.1 million of funding for six signal synchronization projects (Project O and Project P)

Transit

The M2 transit mode includes a number of programs designed to provide additional transportation options. M2 is the main funding source for Metrolink commuter rail service in Orange County and provides funding for rail station improvements and transit connections to extend the reach of the services.

Since 2011, M2 has provided competitive multi-year funding commitments for bus and station van extension services connecting to Metrolink (\$483,133 to date), local community-based transit circulators and planning studies (\$41.8 million to date), bus stop improvements (\$1.9 million to date), and funding to support specific programs to meet the needs of seniors and persons with disabilities (\$80.7 million¹ to date). Key transit project activities taking place this quarter are highlighted below.

- OC Streetcar - A quarterly update was provided to the Transit Committee on June 11, 2020, and to the Board on June 22, 2020. The update included information on status of construction activities, vehicle manufacturing and

¹ Includes disbursements to the City of Santa Ana and City of Stanton. On May 13, 2019, the Board determined that the cities were ineligible to receive net M2 revenues. Funds were suspended until the cities achieved compliance. On April 13, 2020, based on compliance audit results, the Board determined the cities eligible to receive net M2 revenues again.

delivery, award of contract for operations and maintenance services to Herzog Transit Services, and public outreach activities. (Project S)

- Community-Based Transit Circulators - Programming recommendations for six capital and operating reserves and three planning studies, totaling \$9.2 million, were presented to the Transit Committee on April 9, 2020, and to the Board on April 13, 2020. (Project V)

Environmental Programs

The M2 Program includes two innovative programs, the Environmental Cleanup Program (ECP) with specific activity, and the Environmental Mitigation Program (EMP) with funding from the M2 Freeway Program. The ECP improves water quality by addressing transportation-related pollutants, while the EMP offsets biological impacts of freeway projects.

Since 2011, the ECP has allocated approximately \$48.6 million to local jurisdictions for 167 projects for trash removal devices (Tier 1), and 18 projects for large scale water quality best management practices projects (Tier 2). It is estimated that nearly 33 million gallons of trash have been captured since inception of the program, which is the equivalent of filling nearly 78 football fields with one-foot deep of trash.

Additionally, the Board previously authorized \$55 million for the EMP to acquire conservation lands, fund habitat restoration projects, and to develop the Conservation Plan. OCTA has acquired more than 1,300 acres and funded 12 restoration projects to restore habitat on 350 acres of open space across Orange County to fulfill the necessary freeway program mitigation needs. The wildlife and habitat on the acquired lands are protected in perpetuity, and long-term management of the properties will be funded by an established endowment. It is estimated that it will take approximately 12 years to fully fund the endowment with annual deposits, or until the fund totals \$46.2 million. As of June 30, 2020, the balance of the endowment was \$12,419,908. The balance is slightly below the June 30, 2020 target of \$12,440,408, due to capital markets experiencing sharp declines due to COVID-19 and its adverse effects on the economic activity.

- The ECP's tenth Tier 1 call for projects was authorized by the Board on March 9, 2020, for approximately \$2.8 million. Applications deadlines were extended to June 25, 2020. Staff is currently reviewing the applications and is anticipated to provide funding recommendations to the Board in fall 2020. (Project X)

Challenges

COVID-19 Pandemic

On February 27, 2020, OCTA activated its Emergency Operations Center and implemented its Emergency Operations Plan in response to COVID-19. On March 19, 2020, the Governor issued a stay-at-home order to protect the health and well-being of all Californians and slow the spread of COVID-19. Public transportation and infrastructure projects were designated by the state and federal governments as essential. OCTA has continued operations while following best practices and health guidance from local, state, and federal officials to help ensure the health of the public and OCTA employees. As stay-at-home orders are gradually lifted, the PMO continues to monitor COVID-19 impacts to M2 to ensure projects and programs remain deliverable as promised to voters. Pandemic implications on the individual M2 Program areas and revenues are discussed further below.

Freeways

Between March and May 2020, reduced traffic volumes on freeways due to the stay-at-home order allowed for increased productivity of construction work on essential projects. In coordination with OCTA and the California Department of Transportation (Caltrans), construction contractors (at their discretion) could request to take advantage of more daytime lane closures and extended nighttime work windows. As traffic volumes on the freeway increased in late May, Caltrans has had limited additional daytime lane closure opportunities. OCTA will continue to work with Caltrans for opportunities for daytime lane closures and extended work windows.

Risks for schedule-critical ROW acquisition processes continue to be impacted by COVID-19. ROW acquisition offers to owners, associated discussions, negotiations, and meetings are being impacted by business closures and availability of owners and attorneys. There are also additional COVID-19-related ROW impacts due to court closures, filing and service delays, potential temporary easement timeline expirations, land and business valuation challenges, and appraisal and site inspection issues.

Streets and Roads

OCTA completed the March 2020 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process reviews the status of M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications. In response to

COVID-19, OCTA extended the semi-annual review to allow local agencies to assess any potential COVID-19 impacts on project timelines. The number of project adjustment requests increased from 28 to 77 during the extended review period. These adjustment requests were subsequently approved by the Board on August 10, 2020.

Transit

Travel pattern changes due to stay-at-home orders have affected Metrolink ridership, which is down by 83 percent as of June 2020, when compared to June 2019. Since March 26, 2020, Metrolink has reduced service levels by 30 percent. Metrolink is working on a recovery plan framework and ridership recovery scenarios to phase-in post-COVID-19 pandemic operations. The ridership decline has a compounding effect on the level of revenues derived from fares. However, the availability of the federal Coronavirus Aid, Relief, and Economic Security Act funding will mitigate this impact in the near-term.

M2 also provides funding to local jurisdictions for programs that meet the needs of seniors in their communities through the Senior Mobility Program (SMP). Due to COVID-19, services provided have been altered or suspended. In addition, OCTA staff was notified that one transit service provider serving six cities ceased operations in Orange County effective May 31, 2020. On May 22, 2020, the Board approved a temporary suspension of the competitive procurement requirement in the SMP Guidelines through May 31, 2021. This allowed local jurisdictions to quickly secure a replacement provider in the short-term. By June 1, 2021, local jurisdictions will be required to have contracts in place that have been competitively procured meeting the requirements specified in the SMP Guidelines.

The Community-Based Transit Circulators Program continues to be affected by COVID-19 as services have been suspended through the summer. Through the semi-annual review, local jurisdictions were able to preserve unused M2 Project V funds for subsequent FYs. Per Board direction, OCTA will evaluate options for modifying the cooperative agreements with local jurisdictions to extend the terms to accommodate the suspended services.

M2 Eligibility – Maintenance of Effort (MOE)

To proactively address impacts that COVID-19 will have on local jurisdiction general fund revenue sources, an amendment to Ordinance No. 3 was initiated on May 11, 2020. To receive M2 net revenues, local jurisdictions need to maintain eligibility. As a component of eligibility, local jurisdictions need to spend a certain level of local funds for roadway or MOE. On June 22, 2020, the Board

amended Ordinance No. 3 to temporarily adjust the MOE requirement for local jurisdictions for two years. For FY 2019-20, local jurisdictions can report actual MOE that may be below the established target. For FY 2020-21, local jurisdictions may set their MOE as proportional share of roadway expenditures to total local funds instead of the fixed FY 2020-21 MOE benchmark amount to account for the unknown impacts of COVID-19 on local revenues.

Sales Tax Revenue

Through the first eight months of FY 2019-20, revenues were growing by approximately two percent. Due to the impacts of COVID-19, it is estimated that total sales tax collections decreased. Total FY 2019-20 M2 sales tax collection is estimated at \$303 million, or a decrease of 8.8 percent from FY 2018-19. The full magnitude of COVID-19 impacts to the economy is still unknown at this time. The California Department of Tax and Fee Administration normally disburses sales tax two months in arrears, with trueed up numbers in the following quarter. A factor that adds more uncertainty is that the State of California has provided relief to businesses to defer sales tax remittance. Due to these circumstances, OCTA will not have a complete understanding of the true impacts of COVID-19 on sales tax revenues for several months.

OCTA is closely monitoring trends and forecasts to ensure M2 remains deliverable as promised to voters. The M2 cashflow included an allowance for economic uncertainties based on OCTA's conservative approach to financial planning. As a result, all M2 projects that are currently underway are anticipated to continue as planned in the FY 2020-21 budget. As part of the 2020 review of the Next 10, OCTA staff is conducting a strategic assessment of the timing of projects and programs for future years. Staff will continue to monitor COVID-19 impacts to M2 and provide updates to the Board as appropriate.

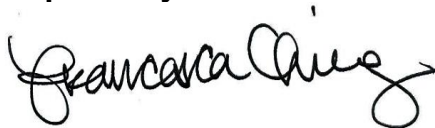
Summary

As required by Ordinance No. 3, a quarterly report covering activities from April 2020 through June 2020, is provided to update progress in implementing the Plan. The above information and the attached details indicate significant progress on the overall M2 Program despite facing challenges. To be cost-effective and to facilitate accessibility and transparency of information available to stakeholders and the public, the M2 Quarterly Progress Report is made available through the OCTA website. Hard copies are available by mail upon request.

Attachment

- A. Measure M2 Progress Report, Fourth Quarter of Fiscal Year 2019-20, April 1, 2020 through June 30, 2020

Prepared by:



Francesca Ching
Section Manager,
M2 Program Management Office
(714) 560-5625

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741



Measure M2 Quarterly Progress Report for the Period of April 2020 Through June 2020



- Highlights activity, status and challenges of M2 project and program delivery including safeguards
- Reports progress on updated Next 10 Plan deliverables and risks
- Provides budget and schedule information
- Includes revenue and expenditure actuals, in addition to program projections and local allocations



ENVIRONMENTAL

-  A total of 5% of OC Go Freeway Program funds is allocated to the Freeway Environmental Mitigation Program
-  A total of 2% of the overall OC Go Program funds is allocated to the Environmental Cleanup Program

In Year Ten of 30-year M2 Program;

- 12 of the 30 freeway segments are complete - \$696 million
- Four in construction and another four on the way - \$2.7 billion*
- Remaining 10 in project development - \$1.5 billion
- 551,274 motorists assisted by the Freeway Service Patrol since June 2012



*without \$475 million non-M2 portion of Interstate 405 (I-405)

4th Quarter Freeway Highlights

- I-5 between SR-55 and SR-57 - Caltrans Partnering Success in Motion Gold Award
- I-5 between Alicia Parkway and El Toro Road - Construction is anticipated to begin in Fall 2020
- SR-55 between I-405 and I-5 – 100 percent design submitted
- SR-91 between SR-55 and SR-57 – Environmental phase completed June 2020.
- I-405, SR-73 and I-605 – Stage 1 of Goldenwest Street and Bolsa Chica Road bridges completed and opened to traffic



Interstate 5 – I-5
Interstate 605 – I-605
State Route 55 – SR-55
State Route 57 – SR-57
State Route 91 – SR-91
State Route 405 – I-405
State Route 73 – SR-73

Approximately \$884 million provided to local jurisdictions to date:

- 144 street capacity improvement projects
- 117 signal synchronization projects
- Over \$455 million in flexible funding

4th Quarter Highlight

- On May 11, 2020, the Board approved programming recommendation totaling \$35.5 million for 8 RCP and 6 RTSSP projects

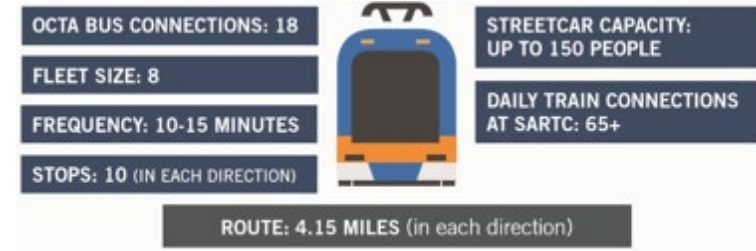


Program Highlights - Transit

- \$205 million used to fund OC Metrolink service
- \$477 million invested in station and grade crossing improvements
- OC's first modern streetcar underway; 59 percent externally funded
- 19 Community-Based Transit/Circulators
- \$2 million allocated to improve 79 transit stops
- \$80.7 million allocated to expand mobility choices for seniors and persons with disabilities



OC STREETCAR BY THE NUMBERS PROJECT FEATURES



- On April 13, 2020, the Board approved programming recommendations totaling \$9.2 million for nine community-based transit circulator projects



Environmental Cleanup Program

- \$48.6 million allocated for 185 water quality improvement projects
 - 33 million gallons of trash captured since inception

Freeway Environmental Mitigation Program

- 1,300 acres of open space preserved and 350 acres restored
- Receipt of biological and water quality permits streamlining freeway projects
- Endowment established to protect acquired lands in perpetuity.
As of June 30, 2020, the balance of the endowment was \$12,419,908.



- Environmental Cleanup Program Tier 1 call for projects was authorized by the Board on March 9, 2020 for approximately \$2.8 million. The application deadline was extended from May 7, 2020 to June 25, 2020.



The PMO is proactively monitoring COVID-19 impacts to M2 to ensure projects and programs continue to be delivered as promised to voters.

- Freeways
- Streets and Roads
- Transit
- M2 Maintenance of Effort

- Sales Tax Revenue Forecast
- Construction Cost Pressure Index Update



- Resource for information on all aspects of M2 Plan and activities
- Status of Next 10 Plan delivery progress
- Success and challenges of M2 implementation
- Transparent and fulfills Ordinance No. 3 requirements
- Available to the public via the OCTA website:
[https://www.octa.net/About-OC-Go/OC-Go-\(2011-2041\)/Documents-and-Reports/](https://www.octa.net/About-OC-Go/OC-Go-(2011-2041)/Documents-and-Reports/)



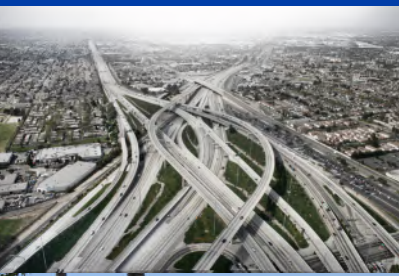


MEASURE M2 PROGRESS REPORT

Fourth Quarter of Fiscal Year 2019 – 20
April 1, 2020 through June 30, 2020

Fourth Quarter Highlights:

- Freeway Projects
- Streets and Roads
- Environmental Cleanup & Water Quality
- Freeway Mitigation Program
- Finance Matters
- Program Management Office
- Summary





MEASURE M2 PROGRESS REPORT

SUMMARY

On November 7, 2006, Orange County voters, by a margin of 69.7 percent, approved the renewal of the Measure M one-half cent sales tax for transportation improvements. Voters originally endorsed Measure M in 1990 with a sunset in 2011. The renewal of Measure M continues the investment of local tax dollars in Orange County's transportation infrastructure for another 30 years to 2041.

As required by the Measure M2 (M2) Ordinance No. 3, a quarterly report covering activities from April 1, 2020, through June 30, 2020, is provided to update progress in implementing the Measure M2 Transportation Investment Plan. On September 25, 2017, the Board of Directors (Board) approved externally rebranding M2 to OC Go to promote OCTA's Measure M awareness and public perception and to avoid confusion with Measure M in Los Angeles County.

To be cost effective and to facilitate accessibility and transparency of information available to stakeholders and the public, Measure M2 progress reports are presented on the Orange County Transportation Authority (OCTA) website. Hard copies are mailed upon request.



The cover photo shows traffic signals in the City of Fountain Valley. On May 11, 2020, the Board approved funding for six projects totaling \$12.1 million as part of the 2020 Call for Projects for the Regional Traffic Signal Synchronization Program (Project P).



MEASURE M2 PROGRESS REPORT

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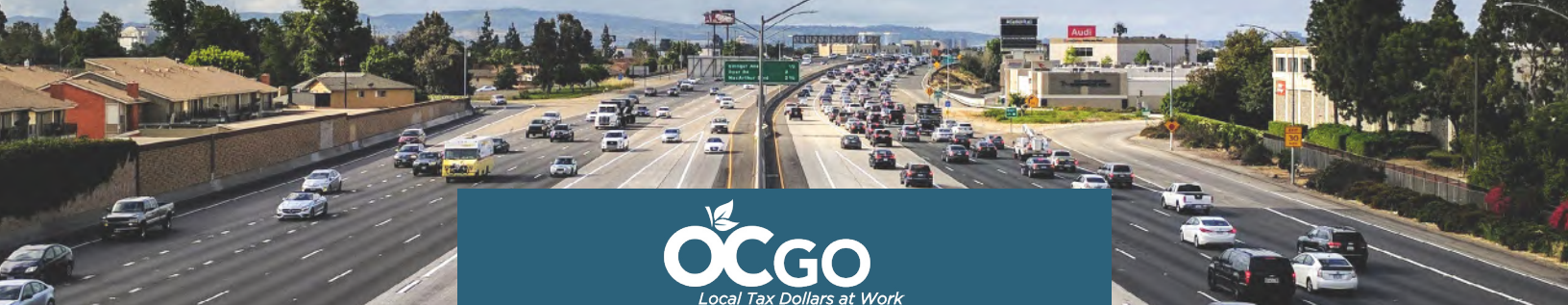
COMMON ABBREVIATIONS

Americans with Disabilities Act	ADA
Annual Eligibility Review	AER
Board of Directors	Board
Burlington Northern Santa Fe	BNSF
California Department of Fish and Wildlife	CDFW
California Department of Tax and Fee Administration	CDTFA
California Department of Transportation	Caltrans
California Transportation Commission	CTC
Capital Action Plan	CAP
Capital Investment Grant	CIG
Chief Executive Officer	CEO
Cost Estimate Review	CER
Congestion Mitigation and Air Quality	CMAQ
Draft Environmental Document	DED
Draft Project Report	DPR
Environmental Cleanup Allocation Committee	ECAC
Environmental Cleanup Program	ECP
Environmental Document	ED
Environmental Impact Report	EIR
Environmental Impact Statement	EIS
Environmental Mitigation Program	EMP
Environmental Oversight Committee	EOC
Federal Highway Administration	FHWA
Federal Transit Administration	FTA
Federal Transportation Improvement Program	FTIP
Freeway Service Patrol	FSP
Full Funding Grant Agreement	FFGA
High Occupancy Vehicle	HOV
Interstate 15	I-15
Interstate 405	I-405
Interstate 5	I-5
Interstate 605	I-605
Invitation for Bids	IFB
Local Faire Share Program	LFSP
Los Angeles – San Diego – San Luis Obispo	LOSSAN
Los Angeles County Metropolitan Transportation Authority	LA Metro
Measure M2 or Renewed Measure M	M2
Memorandum of Understanding	MOU
Metrolink Service Expansion Program	MSEP



COMMON ABBREVIATIONS

Next 10 Delivery Plan	Next 10
Natural Community Conservation Plan/Habitat Conservation Plan	Conservation Plan
Orange County Transportation Authority	OCTA
Orange County Unified Transportation Trust	OCUTT
Pacific Coast Highway	PCH
Plans, Specifications and Estimates	PS&E
Program Management Office	PMO
Project Development Team	PDT
Project Study Report	PSR
Ready to List	RTL
Request for Proposals	RFP
Resource Management Plan	RMP
Right-of-Way	ROW
Riverside County Transportation Commission	RCTC
Santa Ana Regional Transportation Center	SARTC
Senate Bill 1	SB 1
Senior Mobility Program	SMP
Senior Non-Emergency Medical Transportation	SNEMT
Southern California Association of Governments	SCAG
State Route 133	SR-133
State Route 22	SR-22
State Route 241	SR-241
State Route 55	SR-55
State Route 57	SR-57
State Route 71	SR-71
State Route 74	SR-74
State Route 91	SR-91
State Transportation Improvement Program	STIP
State Water Resources Control Board	SWRCB
Southern California Regional Rail Authority	SCRRA
Taxpayer Oversight Committee	TOC
To Be Determined	TBD
Trade Corridors Improvement Funds	TCIF
Transportation Infrastructure Finance and Innovation Act	TIFIA
United States Army Corps of Engineers	ACOE
United States Fish and Wildlife Service	USFWS
United States Department of Transportation	USDOT



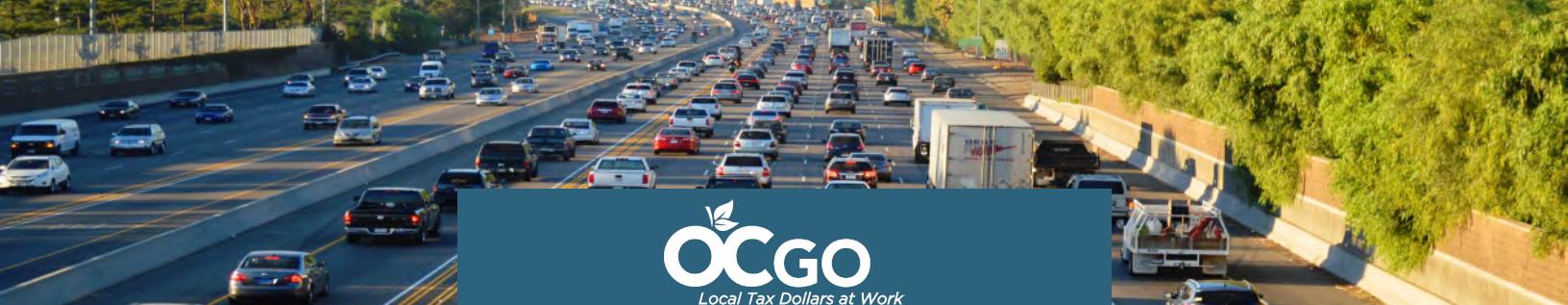

MEASURE M2 PROJECT SCHEDULES

					
Conceptual	Environmental	Design, Advertise, & Award	Design-Build	Construction	Complete

		2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	
A	I-5, SR-55 to SR-57															
B	I-5, I-405 to Yale Avenue															
B	I-5, Yale Avenue to SR-55															
C,D	I-5, Avenida Pico to Avenida Vista Hermosa/Avenida Pico Interchange															
C	I-5, Avenida Vista Hermosa to Pacific Coast Highway															
C	I-5, Pacific Coast Highway to San Juan Creek Road															
C,D	I-5, SR-73 to Oso Parkway/Avery Parkway Interchange															
C,D	I-5, Oso Parkway to Alicia Parkway/La Paz Road Interchange															
C	I-5, Alicia Parkway to El Toro Road															
D	I-5, El Toro Interchange (Further Schedule TBD)															
D	I-5, Ortega Interchange															
E	SR-22, Access Improvements	<i>Completed in 2008</i>														
F	SR-55, I-405 to I-5															
F	SR-55, I-5 to SR-91 (Further Schedule TBD)															
G	SR-57 NB, Katella Avenue to Lincoln Avenue															
G	SR-57 NB, Orangethorpe Avenue to Yorba Linda Boulevard															
G	SR-57 NB, Yorba Linda Boulevard to Lambert Road															
G	SR-57 NB, Lambert Road to Tonner Canyon Road (TBD)															
G	SR-57, Orangewood Avenue to Katella Avenue (Further Schedule TBD)															
H	SR-91 WB, I-5 to SR-57															
I	SR-91 WB, SR-55 to Tustin Avenue Interchange															
I	SR-91, SR-55 to Lakeview Avenue															
I	SR-91, La Palma to SR-55															
I	SR-91, Acacia Street to La Palma															

Project schedules are based on phase start dates. Shown schedules are subject to change.

¹ Projects managed by local agencies



MEASURE M2 PROJECT SCHEDULES

		2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	
J	SR-91, SR-55 to SR-241	■														
J	SR-91, SR-241 to SR-71	Completed in 2011														
J	SR-91, SR-241 to I-15 (TBD)															
K	I-405, SR-55 to I-605	■	■	■	■	■	■	■	■	■	■	■	■	■	■	
L	I-405, I-5 to SR-55 (Further Schedule TBD)			■	■	■	■	■								
M	I-605, Katella Avenue Interchange					■	■	■		■	■	■	■	■		
O	Kraemer Boulevard Grade Separation (Placentia)	■	■													
O	Lakeview Avenue Grade Separation (Anaheim/Placentia)	■	■	■	■	■	■									
O	Orangethorpe Avenue Grade Separation (Anaheim/Placentia)	■	■	■	■	■	■									
O	Placentia Avenue Grade Separation (Placentia)	■	■													
O	Raymond Avenue Grade Separation (Fullerton) ¹	■	■	■	■	■	■	■								
O	State College Blvd Grade Separation (Fullerton) ¹	■	■	■	■	■	■	■								
O	Tustin Ave/Rose Drive Grade Separation (Anaheim/Placentia)	■	■	■	■	■	■									
R	Sand Canyon Grade Separation (Irvine)	■	■	■	■	■	■									
R	Rail-Highway Grade Crossing Safety Enhancement	Completed in 2011														
R	San Clemente Beach Trail Safety Enhancements	■	■													
R	Anaheim Canyon Metrolink Station Improvements					■	■	■	■	■	■	■	■	■		
R	Fullerton Transportation Center Improvements	■	■			■	■	■	■	■	■	■	■	■		
R	Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) Ramps	■	■	■	■	■	■	■								
R	Orange Transportation Center Metrolink Parking Structure	■	■	■	■	■	■	■								
R	Placentia Metrolink Station Improvements and Parking Structure	■	■	■	■	■	■	■		■	■	■	■	■		
R	San Clemente Pier Station Lighting					■	■	■								
R	Laguna Niguel to San Juan Capistrano Metrolink Station Passing Siding Project	■	■	■	■	■	■	■	■	■	■	■	■	■		
R	Tustin Metrolink Station Parking Structure	Completed in 2011														
R,T	Anaheim Regional Transportation Intermodal Center (ARTIC) ¹	■	■	■	■	■	■	■								
S	OC Streetcar	■	■	■	■	■	■	■	■	■	■	■	■	■	■	

Project schedules are based on phase start dates. Shown schedules are subject to change.

¹ Projects managed by local agencies



MEASURE M2 PROGRESS REPORT

M2 DELIVERY RISK UPDATE ▼

This section discusses the risks and challenges related to Measure M2 and the Updated Next 10 Delivery Plan (Next 10) that the Measure M2 Program Management Office (PMO) is monitoring with associated explanations and proposed actions.

Delivery Risk	Explanation	Proposed Action
Financial		
1	The 2019 updated M2 revenue forecast estimate presented in October 2019 was \$13.4 billion. However, due to the unprecedented novel coronavirus (COVID-19) pandemic, the revenue forecast estimate is anticipated to be lower and timing of projects and funding program allocations may need to be reevaluated.	COVID-19 has introduced a new risk of impact to the program. The extent of the economic impacts of COVID-19 are unknown at this time and will require a review of capital project and competitive funding program cash flows as updated revenue forecasts become available.
2	Inability to scale the Freeway Program to available revenue and still deliver the promise.	OCTA will work with the entities that prepare sales tax forecasts for OCTA to update M2 revenue estimates to assess COVID-19 impacts. The revised forecast will likely change in response to how the economy rebounds. This assessment will provide insight on how the Next 10 may need to be revised given the inevitable financial implications. Staff will update the Board as new information becomes available.
3	Schedule and scope changes on critical capital projects impacting delivery and project costs.	OCTA will work closely with Caltrans to apply value engineering strategies on projects to manage costs.
4	Changes as a result of updated highway standards or issues identified in the field regularly impact scope and schedule and ultimate costs.	Work closely with Caltrans and project contractors to limit changes in scope and schedule to a minimum. Work with Caltrans to approve additional lane closures and longer work windows where possible.
4	Sustain Metrolink train service, as an attractive alternative to driving in Orange County with the limits of available revenue.	Operational cost of Metrolink service continues to grow as the system ages, track-sharing arrangements with BNSF are revised, and new air quality requirements are implemented. COVID-19 has introduced new risks as ridership and revenue has been greatly impacted in Orange County.
		In light of COVID-19, Metrolink is working with member agencies on a “new normal” campaign to develop a phased recovery plan framework and ridership recovery scenarios. Staff will work closely with Metrolink and our partners to ensure cost increases are minimized, while seeking external revenue. Metrolink received \$65 million in one-time federal funds through the Coronavirus Aid, Relief and Economic Security (CARES) Act while fare revenues are down.



MEASURE M2 PROGRESS REPORT

Delivery Risk	Explanation	Proposed Action
<p>5 The Next 10 Market Conditions Forecast and Risk Analysis showed a cooling of the prior increasing-cost environment. Current events may cause this to further change during the Next 10 delivery years.</p>	<p>OCTA's economic consultants forecasted a cooling of cost pressures over the next two fiscal years. The economic impacts from COVID-19 may further affect cost pressures.</p>	<p>OCTA will continue to monitor market conditions affecting project costs. If cost pressures significantly decline, this could provide an opportunity to address potential COVID-19 related revenue impacts.</p>
Resource		
<p>6 Substantial work underway in the region, has resulted in significant demand for professional and skilled labor which can impact delivery given the volume of the M2 capital program.</p>	<p>The economic impacts of COVID-19 and changes in unemployment may change the availability of key talent. If shortages continue project delivery costs could rise but if addition labor resources are available if may temper costs and reduce delivery risk.</p>	<p>OCTA will monitor impacts of COVID-19 on the labor market. Expert and timely coordination between OCTA and Caltrans are imperative to manage this risk. Staff is currently working with Caltrans to ensure resource needs are met.</p>
<p>7 New operational responsibilities with the OC Streetcar.</p>	<p>With the implementation of the OC Streetcar service, OCTA will be increasing its overall role in operations. OCTA holds a successful track record in operating various transportation systems including both a fixed and demand-based bus network.</p>	<p>To ensure success of the OC Streetcar, OCTA hired a streetcar operations manager with proven start-up experience to oversee start-up and daily operations. A contractor with extensive experience in operations of rail systems was selected to handle the startup and revenue operation phases of the OC Streetcar.</p>
Regulatory		
<p>8 New federal and statewide directives create additional limitations for use of transportation dollars which could affect freeway projects.</p>	<p>New directives with greenhouse gas reductions and managed lane corridors focus, as well as an emphasis on transit provides new hurdles that eliminate some sources of funding for M2 freeway improvements.</p>	<p>OCTA is tracking the new directives to ensure that M2 projects stay true to the voter commitment and compete for funding as appropriate.</p>



MEASURE M2 PROGRESS REPORT

Next 10 Delivery Plan ▼

Contact: Francesca Ching, PMO Manager • (714) 560-5625

On November 14, 2016, the Board approved the Next 10 Delivery Plan (Next 10), providing guidance to staff on delivery of M2 projects and programs between 2017 and 2026. On November 11, 2019, the Next 10 was updated to incorporate the 2019 sales tax revenue forecast of \$13.4 billion. The 2019 updated Next 10 includes updated project costs and schedules, bonding assumptions, and adjustments ensuring continued delivery of the complete M2 Program by 2041 as promised.

Next 10 Deliverables

The Next 10 is based on ten deliverables intended to provide guidance on program and project delivery during the ten-year period. With three years of the ten-year plan complete, progress on the ten deliverables and accomplishments to date is provided. Significant progress has been made, with projects completing construction, projects in and advancing towards construction, as well as regular funding allocations to local jurisdictions through local programs. Staff is monitoring the impacts of the novel coronavirus (COVID-19) pandemic on the Next 10 delivery commitments and will report to the Board as appropriate.

1. Deliver \$3.5 billion of freeway improvements approved through construction (Projects A-M).

The M2 freeway program is currently made up of 30 projects or project segments (projects). At the point of Next 10 adoption, nine of the 30 total projects were completed for a total cost of \$463 million. Deliverable 1 includes 12 of the 30 projects to be delivered (or underway) within the Next 10 timeframe including SR-91 between SR-57 to SR-55 (Project I), which is funded with 91 Express Lanes excess revenue. Together, the projects designated for completion or near completion) by 2026 currently make up a \$3.1 billion delivery promise. The \$3.5 billion deliverable commitment includes prior completed projects. To date, three projects on Interstate 5 (I-5) between Avenida Pico and San Juan Creek Road opened to traffic, adding six miles of carpool lanes. The remaining nine segments are in design or construction. For more details, see [pages iii-iv](#) (Project Schedules) and the project updates contained in the following pages.

2. Invest approximately \$715 million more in revenues, bringing the completed Freeway Program improvements to \$4.3 billion (Projects A-M).

The final nine remaining project segments (of the 30 total) are environmentally cleared or on track to be environmentally cleared by 2026, making them shelf-ready for further advancement. Using Board adopted guiding principles, the 2019 updated Next 10 identified five projects to be advanced through construction: I-5 between I-405 and Yale Avenue (Project B), I-5 between Yale Avenue and SR-55 (Project B), SR-55 between I-5 and SR-91 (Project F), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), and I-605/ Katella Interchange (Project M). The remaining four projects have specific reasons related to the application of the guiding principles that require additional time prior to being advanced. In all, during the Next 10 time-period, approximately \$4.3 billion in freeway improvements promised to the voters in M2 will be completed or underway by 2026. For more details, see [pages iii-iv](#) (Project Schedules) and the project updates contained in the following pages.



MEASURE M2 PROGRESS REPORT

3. Allocate nearly \$1 billion, with up to \$400 million in competitive funding to local jurisdictions to expand roadway capacity and synchronize signals (Project O and P) and up to \$600 million in flexible funding to local jurisdictions to help maintain aging streets or for use on other transportation needs, as appropriate (Project Q).

Since the adoption of the Next 10 in November 2016, OCTA has awarded approximately \$126 million in competitive funding through the Regional Capacity Program (Project O) and Regional Traffic Signal Synchronization Program (Project P). Additionally, \$219 million¹ in Local Fair Share (Project Q) funds have been distributed to local agencies. This brings the total allocation to date to \$345 million.

On August 12, 2019, the Board approved the release of the 2020 Call for Projects with a target of approximately \$32 million for Project O and \$8 million for Project P funding. Eight applications were received for Project O and seven applications were received for Project P. On May 11, 2020, the Board recommended 14 of the 15 projects for programming, totaling \$35.5 million in Project O and P funds. Additionally, all seven bridges included in the OC Bridges program are complete. For more details, see the project updates on [page 18](#).

¹Includes disbursements to the City of Santa Ana and City of Stanton that were previously suspended. On May 13, 2019, the Board determined that the cities were ineligible to receive net M2 revenues. Funds were suspended until the cities achieved compliance. On April 13, 2020, based on compliance audit results, the Board determined the cities eligible to receive net M2 revenues again.

4. Extend Metrolink service from Orange County into Los Angeles County, contingent upon cooperation and funding participation from route partners; complete six rail station improvements (Project R).

In October 2019, three weekday intracounty round trips operating between Laguna Niguel/Mission Viejo and Fullerton were replaced with two round trips between Laguna Niguel/Mission Viejo (extended from Fullerton) into Los Angeles. Schedules for the extended service were developed consistent with existing schedules. Additional service changes were scheduled to be implemented in April 2020, however, due to the COVID-19 pandemic, it has now been postponed until full service is reinstated.

Within this program, funding is provided for rail corridor and station improvements to accommodate increased passenger train service - including station upgrades, parking expansions, and safety enhancements. The Next 10 Plan identified six projects to be completed by 2026: 1) Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) ramps (completed September 2017), 2) Orange Metrolink Station Parking Structure (completed February 2019), 3) Placentia Metrolink Station (is ready to begin construction, however, it is contingent on a Burlington Northern Santa Fe (BNSF) construction and maintenance agreement being in place), 4) Anaheim Canyon Metrolink Station Improvement Project (construction to begin in January 2021 with completion anticipated in mid-2022), 5) Fullerton Transportation Center elevators (completed May 2019), and 6) San Clemente Pier Metrolink/Amtrak Station Lighting Project (completed March 2017). For more details, see the project updates on [page 23](#).



MEASURE M2 PROGRESS REPORT

5. Complete design and construction, secure vehicles, and begin operating the OC Streetcar (Project S) and work with local agencies to consider recommendations from planning studies to guide development of future transit connections (Project S).

OC Streetcar

With strong Federal Transit Administration (FTA) support for the project, a Full Funding Grant Agreement (FFGA) was executed in November 2018. The streetcar construction contract has been executed and Notice to Proceed was issued on March 4, 2019, and construction activities are underway. The streetcar vehicle manufacturing contract has been executed and the notice to proceed has been issued. Activities this quarter included coordination with third parties on utility relocation, awarded the Operations and Maintenance (O&M) contract, inspection of the first article for the vehicle truck assembly, reviewed final design of the remaining vehicle components and continued coordination with the FTA. Construction is anticipated to be complete in early 2022. See [page 28](#) for more information.

Bristol Street Transit Corridor Study

The study is focused on Bristol Street between West 17th Street and Sunflower Avenue (South Coast Metro); and will also evaluate connections to the John Wayne Airport and the Santa Ana Regional Transportation Center. The study will analyze and develop up to six conceptual transit alternatives for the Bristol Street Corridor. During the quarter, the team focused on developing the transportation forecast model for the four bus alternatives. The OCTA Board has placed any further evaluation of the two streetcar alternatives on pause until the Board has an opportunity to review the Transit Master Plan short-term action plan.

6. Provide up to \$115 million in funding to expand mobility choices for seniors and persons with disabilities (Project U).

Approximately \$42 million² has been provided for the Senior Mobility Program (SMP), the Senior Non-Emergency Medical Transportation (SNEMT) Program, and the Fare Stabilization Program since the Next 10 Plan adoption. See [page 30](#) for more information.

²Includes disbursements to the City of Santa Ana and City of Stanton that were previously suspended. On May 13, 2019, the Board determined that the cities were ineligible to receive net M2 revenues. Funds were suspended until the cities achieved compliance. On April 13, 2020, based on compliance audit results, the Board determined the cities eligible to receive net M2 revenues again.

7. Work with local agencies to develop a plan for the next community circulator projects to provide grant opportunities for local agencies to implement effective local transit services (Project V).

The Board has authorized four Calls for Projects in total since Measure M2 inception, with two occurring since the adoption of the Next 10 in November 2016. During the Next 10 period, the Board awarded 15 projects for a total of \$15.2 million. This includes the fourth Project V Call for Projects in FY 2019-20 that was programmed on April 13, 2020. The Board programmed six local agency projects under the capital and operating reserve category and three local agency projects under the planning category for a combined total of approximately \$9.2 million.

Staff continues to work with local jurisdictions through letters of interest requests, workshops, CTFP Guidelines revisions, and calls for projects, to fine tune this program and facilitate successful project implementation. For additional details and information on current project program performance and service see [page 31](#).



MEASURE M2 PROGRESS REPORT

8. Allocate up to \$7 million in funding to improve the top 100 busiest bus stops and support the modernization of the bus system to enhance the customer experience (Project W).

Through two calls for projects, the Board has approved Project W funds to support 79 local agency-initiated improvements to busy bus stops on the OCTA transit system. Since Next 10 adoption, the Board has made \$3 million available of which \$872,300 was allocated to eligible local agencies. The program is designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, improved lighting, and other passenger related amenities. For additional details see [page 32](#).

9. Ensure the ongoing preservation of purchased open space (Preserves) which provides comprehensive mitigation of the environmental impacts of freeway improvements and higher-value environmental benefits in exchange for streamlined project approvals (Projects A-M).

The Freeway Mitigation Program Preserves includes seven properties (1,300 acres), and 12 restoration projects (350 acres). In 2017, OCTA received biological resource permits after completing a state and federal Natural Community Conservation Plan/Habitat Conservation Plan (Conservation Plan) for the Environmental Mitigation Program, allowing streamlined project approvals for the freeway improvement projects. The Conservation Plan also includes a streamlined process for coordination of streambed alternation agreements. In 2018, the OCTA secured programmatic permits and assurances for federal and state clean water permitting requirements. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and regulatory agencies.

To ensure ongoing preservation of the open space, an endowment was established to pay for the long-term management of the Preserves. Approximately \$2.9 million will be deposited annually. To date, OCTA has made four endowment deposits. Quarterly investment reports are provided to the Board, with the most recent one in June 2020. As of June 30, 2020, the endowment balance is \$12,419,908. A reassessment of the M2 revenue stream as well as the current Conservation Plan endowment balance will need to be completed due to the COVID-19 pandemic. For more details, see the project updates on [page 34](#).

10. Work with the Environmental Cleanup Allocation Committee (ECAC) to develop the next tiers of water quality programs, with a goal of providing \$40 million in grants to prevent the flow of trash, pollutants, and debris into waterways from transportation facilities. In addition, focus on improving water quality on a regional scale that encourages partnerships among the local agencies as part of the Environmental Cleanup Program (ECP) (Project X).

Since adoption of the Next 10 in November 2016, OCTA has issued four calls for Tier 1 ECP projects. With three calls complete, the Board has awarded approximately \$7.6 million funding 39 projects. Applications for the fourth Call for Projects are currently under evaluation and programming recommendations to the Board are anticipated in Fall 2020.

Due to the recent COVID-19 pandemic, staff will be analyzing M2 revenue projections to determine if there is sufficient revenue to continue with annual Tier 1 calls for projects of \$2.8 million moving forward. Staff will also be determining the timing of a future Tier 2 Call for Projects. It was anticipated, prior to the most recent events, that a Tier 2 call could take place in fiscal year 2021 or 2022. For more details, see the project updates on [page 33](#).



FREWAYS

INTERSTATE 5 (I-5) PROJECTS ▾

Segment: I-5, Between SR-55 and SR-57

PROJECT A

Status: Construction Underway – 80% complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will increase high occupancy vehicle (HOV) capacity by adding a second HOV lane in both directions along I-5 between SR-55 and SR-57 for approximately three miles in Santa Ana. Construction began on February 20, 2019. During the quarter, activities included electrical, signage, drainage, median barrier demolition and construction of roadway base under the median space vacated by the HOV ramp bridge at Main Street. The project is anticipated to be completed in late 2020. From March to the end of May, OCTA and Caltrans provided extended lane closure hours / work windows where possible due to significantly less traffic in the construction area as a result of the Governor’s stay-at-home order. These longer work windows provided the contractor (at their discretion) the opportunity to potentially complete some activities sooner than originally anticipated. As the stay-at-home order is gradually lifted and traffic volumes continue to rise, OCTA will continue to work with Caltrans to extend lane closure hours and work windows where possible. In May, this project won the Caltrans Partnering Success in Motion Gold Award. On June 30, 2020, the first of two northbound HOV lanes was reopened to traffic and the first of two southbound HOV lanes is scheduled to be opened on July 2, 2020.

I-5, I-405 to SR-55 is one project broken into two segments in early 2020 . The Final Environmental Document (ED) was approved on January 7, 2020. The Design Standard Decision Document was approved on February 19, 2020 and the Final Project Report was approved on February 28, 2020. This project was approved by the Board in the 2019 updated Next 10 to advance through construction.

Segment: I-5, I-405 to Yale Avenue

PROJECT B

Status: Environmental Phase Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The I-5, I-405 to Yale Avenue (Segment 1) project will add an additional general purpose lane in both directions, improve interchanges and replace auxiliary lanes while adding new auxiliary lanes, where needed, in the City of Irvine. On June 8, 2020, the Board approved the Final Design Cooperative Agreement between OCTA and Caltrans for the I-5, I-405 to SR-55 Project. The Request for Proposals (RFP) for consultant final design services is anticipated to be released in late 2020.



FREEWAYS

Segment: I-5, Yale Avenue to SR-55

Status: Environmental Phase Complete; RFP for design consultant services initiated

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: The I-5, Yale Avenue to SR-55 (Segment 2) project will add an additional general purpose lane in both directions, improve interchanges and replace auxiliary lanes while adding new auxiliary lanes, where needed, in the cities of Irvine and Tustin. On June 8, 2020, the OCTA Board approved the Final Design Cooperative Agreement between OCTA and Caltrans for the I-5, I-405 to SR-55 Project. On June 22, 2020, the Board approved the RFP release for consultant final design services. Final design services are anticipated to begin in Spring 2021.

PROJECT C AND
PART OF PROJECT D

I-5, Avenida Pico to San Juan Creek Road is one project broken into three segments.

Segment: I-5, Avenida Pico to Avenida Vista Hermosa/Avenida Pico Interchange

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: This segment added a carpool lane in each direction on I-5 between Avenida Pico and Avenida Vista Hermosa for approximately 0.7 miles in San Clemente and included major improvements through reconstruction of the Avenida Pico Interchange (part of Project D). The project also added bicycle lanes in both directions on Avenida Pico. Construction began in February 2015 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic on March 13, 2018. The project was officially completed on August 23, 2018, and the one-year plant establishment period for this segment was completed in May 2019.

Segment: I-5, Avenida Vista Hermosa to Pacific Coast Highway

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: This segment added a carpool lane in each direction of I-5 between Avenida Vista Hermosa and Pacific Coast Highway (PCH) for approximately 2.5 miles in San Clemente, and reconstructed on- and off-ramps at Avenida Vista Hermosa and Camino de Estrella. Construction began in September 2014 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic on March 13, 2018. The project was officially completed on July 31, 2017, and the one-year plant establishment period for this segment was completed in May 2018.



FREWAYS

Segment: I-5, Pacific Coast Highway to San Juan Creek Road

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: This segment added one carpool lane in each direction of the I-5 between PCH and San Juan Creek Road for approximately 2.5 miles in the cities of San Clemente, Dana Point, and San Juan Capistrano. Project improvements also reconstructed the on and off ramps at PCH/Camino Las Ramblas. Construction began in March 2014 and all three segments of the I-5 between Avenida Pico to San Juan Creek were opened to traffic on March 13, 2018. The project was officially completed on July 3, 2018, and the one-year plant establishment period for this segment was completed in March 2019.

I-5, SR-73 to El Toro Road is one project broken into three segments in early 2018. With a cost estimate for this project of \$557.11 million, the project was above the \$500 million threshold for a “Major Project” designation, as determined by the Federal Highway Administration (FHWA). Major projects require a Cost Estimate Review (CER) workshop. A CER was conducted by the FHWA, Caltrans, and OCTA in February 2018 and resulted in an estimated project cost of \$612.6 million. The OCTA cost estimate for the three segments is currently \$577.5 million.

Segment: I-5, SR-73 to Oso Parkway/Avery Parkway Interchange

Status: Construction Underway - 6%

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will make improvements along I-5 between SR-73 and Oso Parkway in the cities of Laguna Hills, Laguna Niguel, and Mission Viejo. The improvements include the addition of a 2.2-mile general-purpose lane in each direction and reconstruction of the Avery Parkway Interchange (part of Project D). During the quarter, the consultant continued working on right-of-way (ROW) acquisition and coordination with utility agencies while staff continued coordination with Caltrans on ROW and utility relocations. The project was awarded on December 19, 2019, and the first working day was March 10, 2020. The contractor has completed 90 percent of clearing and grubbing activities and has initiated work on six retaining walls, four southbound and two northbound.

Segment: I-5, Oso Parkway to Alicia Parkway/La Paz Road Interchange

Status: Construction Underway – 12% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will make improvements along I-5 between Oso Parkway and Alicia Parkway in the cities of Mission Viejo, Laguna Hills, and Lake Forest. The proposed improvements include the addition of a 2.6-mile general purpose lane in each direction and reconstruction of the La Paz Road Interchange (Part of Project D). The construction contract was awarded on April 4, 2019 and the first working day was May 29, 2019. Activities



FREEWAYS

this quarter include the completion of two retaining walls, continued construction on four other retaining walls, and grading of slopes on northbound I-5. Pile driving for the northbound off ramp bridge was delayed due to utility conflicts and pile driving for the La Paz bridge was delayed due to contaminated soil within the area. Staff continues coordination of the service contract with Southern California Regional Rail Authority/Metrolink, and with Caltrans on ROW and utility relocations. From March to the end of May, OCTA and Caltrans provided extended lane closure hours / work windows where possible due to significantly less traffic in the construction area as a result of the Governor’s stay-at-home order. These longer work windows provided the contractor (at their discretion) the opportunity to potentially complete some activities sooner than originally anticipated. As the stay-at-home order is gradually lifted and traffic volumes continue to rise, OCTA will continue to work with Caltrans to extend lane closure hours and work windows where possible.

- Segment:** I-5, Alicia Parkway to El Toro Road
- Status:** Design Complete. Construction Contract Award Underway
- Contact:** Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will make improvements along I-5 between Alicia Parkway to El Toro Road in the cities of Lake Forest, Laguna Hills and Laguna Woods. The proposed improvements include the extension of the second HOV lane between El Toro Road and Alicia Parkway in both northbound and southbound directions. This quarter, the project achieved Ready-to-List status on April 14, 2020, was advertised on May 11, 2020 and the bid opening was held on June 30, 2020. The bid results are currently under review and construction is anticipated to begin in Fall 2020. The consultant selection to provide construction management support services was approved by the Board on April 13, 2020. Due to extended ROW coordination with Caltrans and delayed design start date, this project is marked “red” in the CAP, with a delay of over 15 months beyond the original schedule. The Board has approved \$49.9 million in federal funding and OCTA has received \$9.4 million in state funding.

PROJECT D

This project will update and improve key I-5 interchanges at Avenida Pico, Ortega Highway, Avery Parkway, La Paz and El Toro Road. Three interchange improvements at La Paz, Avery Parkway and Avenida Pico are included and discussed as part of the respective segments in Project C.

- Segment:** I-5, Ortega Highway Interchange
- Status:** PROJECT COMPLETE
- Contact:** Rose Casey, Capital Projects • (714) 560-5729



Summary: Construction began in February 2013 to reconstruct the SR-74 Ortega Highway Bridge over I-5 and improve local traffic flow along SR-74 and Del Obispo Street in the City of San Juan Capistrano. All lanes on the new bridge were opened to traffic on September 4, 2015. A dedication ceremony was held on October 1, 2015. The project was officially completed on January 15, 2016.



FREWAYS

Segment: I-5, El Toro Interchange

Status: Environmental Phase In Review

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Caltrans is the lead in the environmental phase of this project, which includes the study of four build alternatives that consider modifications to the existing interchange, ranging from an I-5 southbound direct connector to El Toro Road to modifications in how existing on and off ramp intersections operate. The project area includes the cities of Laguna Hills, Laguna Woods and Lake Forest who are direct stakeholders of the project improvements. The study began in April 2017 and the Draft Initial Study/Environmental Assessment (IS/EA) was completed in March 2019. The three stakeholder cities are not in consensus on a preferred alternative and costs identified for the remaining alternatives are significantly higher than the assumed cost in the Next 10, which creates additional challenges. The environmental phase was anticipated to be completed in late 2019, however without the cities' consensus, OCTA will not support finalization of the document. OCTA has requested Caltrans put completion of the ED on hold while a consultant is retained by OCTA to provide further assessment of the alternatives to help facilitate reaching agreement. Major activities this quarter included the release of request for proposals and consultant selection to provide services for alternatives analysis. Consultant work is anticipated to begin in September 2020 and be completed by March 2021.

STATE ROUTE 22 (SR-22) PROJECTS ▼

PROJECT E

Segment: SR-22 Access Improvements

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: Completed in 2008, Project E made improvements at three key SR-22 interchanges (Brookhurst Street, Euclid Street, and Harbor Boulevard) in the City of Garden Grove to reduce freeway and street congestion in the area. This M2 project was completed early as a “bonus project” provided by the original Measure M (M1).

STATE ROUTE 55 (SR-55) PROJECTS ▼

PROJECT F

Segment: SR-55, I-405 to I-5

Status: Design Phase Underway - 95% Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will widen SR-55 between I-405 and I-5 in the cities of Irvine, Santa Ana and Tustin. The improvements will include a four-mile general purpose lane and a second HOV lane in both directions between the I-405 and I-5. Auxiliary lanes will be added and extended in some segments within the project limits. Through a cooperative agreement, Caltrans and OCTA's consultant initiated the design together and on July 19, 2019, the 95 percent design was completed. The cooperative agreement was subsequently revised to transfer the Supplemental Fact Sheet task from Caltrans to OCTA. The Supplemental Fact Sheet was submitted on April



FREWAYS

10, 2020 and the 100 percent design was submitted on April 29, 2020. On May 11, 2020, a project update was presented to the Board. The project was anticipated to be ROW certified and ready to list (RTL) by December 2020, however the certification and RTL timeframes may be revised due to recent ROW challenges. The Board has approved \$103 million in federal funds and OCTA has received \$80 million in state funds through the 2018 State Transportation Improvement Plan (STIP). Caltrans has committed \$46.8 million in SHOPP funds and OCTA will seek to capture another \$70 million in future Senate Bill 1 (SB 1) funding to fully fund the project.

Segment: SR-55, I-5 to SR-91
Status: Environmental Phase Complete
Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project is studying approximately 7.5 miles of SR-55 between I-5 and SR-91 in the cities of Santa Ana, Tustin, Orange and Anaheim. The environmental study looked at the addition of one general purpose lane in each direction between SR-22 and the I-5 and operational improvements between SR-22 and SR-91. The environment phase of the project was completed with the approval of the Design Standard Decision Document, the Final ED, and the Final Project Report documents on March 30, 2020. This project was approved by the Board in the 2019 updated Next 10 to advance through construction. Based on funding availability, the design of this project is anticipated to begin in early 2022.

STATE ROUTE 57 (SR-57) PROJECTS ▾

PROJECT G

Segment: SR-57 Northbound, Katella Avenue to Lincoln Avenue
Status: PROJECT COMPLETE
Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: This project increased capacity and improved operations on northbound SR-57 between Katella Avenue and Lincoln Avenue in the City of Anaheim with the addition of a new 3-mile general purpose lane, on- and off-ramp improvements, and sound walls. Bridges at Katella Avenue and Douglas Road were also widened in the northbound direction. The project opened to traffic on November 19, 2014 and was completed on April 21, 2015.

Segment: SR-57 Northbound, Orangethorpe Avenue to Yorba Linda Boulevard
Status: PROJECT COMPLETE
Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: This project increased capacity and improved operations on northbound SR-57 with a new 2.5-mile northbound general-purpose lane between Orangethorpe Avenue in the City of Placentia to Yorba Linda Boulevard in the City of Fullerton. In addition to the new lane, capital improvements include reconstruction of northbound on- and off-ramps, widening of seven bridges, and the addition of soundwalls. The project opened to traffic on April 28, 2014 and was completed on November 6, 2014.



FREEWAYS

Segment: SR-57 Northbound, Yorba Linda Boulevard to Lambert Road

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: Completed on May 2, 2014, this project improved capacity, operations, and traffic flow on SR-57 with the addition of a new 2.5-mile northbound general purpose lane between Yorba Linda Boulevard in the City of Fullerton and Lambert Road in the City of Brea. Additional project benefits include on- and off-ramp improvements, the widening and seismic retrofit (as required) of six bridges in the northbound direction and the addition of soundwalls. Existing lanes and shoulders were also widened to standard widths, enhancing safety for motorists. The project opened to traffic on September 23, 2013 and was completed on May 2, 2014.

Segment: SR-57 Northbound, Lambert Road to Tonner Canyon Road

Status: Schedule TBD

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Caltrans previously completed a Project Study Report/Project Development Support document for the Lambert Road to Tonner Canyon Road segment, which would add a northbound truck-climbing lane (approximately 2.5 miles) in the City of Brea. The project will require coordination with Los Angeles County Metropolitan Transportation Authority (LA Metro) on planned improvements or related work across the county line. The mainline project includes interchange and ramp improvements at Lambert Road. Through the SB 1 Trade Corridor Enhancement Program, funds were allocated to initiate the construction phase for interchange improvements at Lambert Road which will complement and serve as a first phase to the freeway improvement project. Construction began in mid-2019 and is anticipated to be complete at the end of 2021. Phase 2, which is the mainline improvements, was initially approved for STIP funding in March 2018 to initiate the environmental phase. However, due to the 2019 STIP reduction, funding was shifted to cover projects already underway. The schedule for this project will be updated during the annual M2 cash flow review and Next 10 update.

Segment: SR-57 Northbound, Orangewood Avenue to Katella Avenue

Status: Environmental Phase Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project studied the addition of a new one mile northbound general purpose lane on SR-57 from Orangewood Avenue to Katella Avenue in the cities of Anaheim and Orange. The northbound general-purpose lane would join the northbound general purpose lane which was opened to traffic in 2014 between Katella Avenue and Lincoln Avenue. The Final ED and Final Project Report were approved on March 29, 2019. This project was approved by the Board in the 2019 updated Next 10 to advance through construction. The design phase is scheduled to begin in late 2021.



FREEWAYS

STATE ROUTE 91 (SR-91) PROJECTS ▼

Segment: SR-91 Westbound, I-5 to SR-57

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



PROJECT H

Summary: This project increased capacity in the westbound direction of SR-91 by adding an additional 4.5-mile general purpose lane in the westbound direction between Anaheim and Fullerton and provided operational improvements at on and off-ramps between Brookhurst Street and State College Boulevard. The project was opened to traffic on March 7, 2016 and was completed on June 23, 2016.

Segment: SR-91, SR-55 to Tustin Avenue Interchange

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



PROJECT I

Summary: This project improved traffic flow at the SR-55/SR-91 interchange by adding a westbound auxiliary lane beginning at the northbound SR-55 to westbound SR-91 connector through the Tustin Avenue interchange in the City of Anaheim in the approximately two-mile area. The project reduced weaving congestion in the area and included reconstruction of the westbound side of the Santa Ana River Bridge to accommodate the additional lane. The project was opened to traffic on May 14, 2016 and was completed on July 15, 2016.

Segment: SR-91, SR-55 to SR-57

Status: Environmental Phase Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will improve traffic flow and operations along SR-91 in the cities of Anaheim, Fullerton, Orange and Placentia in the approximately six-mile study area. 91 Express Lanes excess revenue is designated to pay for the mainline freeway improvements included in M2, as approved by the Board. The study is looking at the addition of one general purpose lane eastbound between SR-57 and SR-55, and one general purpose lane westbound from the NB SR-57 connector to State College Boulevard. Additional features of this project include improvements to various interchanges, added auxiliary lanes in some segments and re-established lane in others within the project limits. The finalization of the ED was delayed due to a requirement by Caltrans that required OCTA to provide a site investigation in the landscape area of the former landfill operating as a metals recycling facility in order to consider approval of necessary design exceptions. The site investigation was completed in January 2020 and the Phase II Investigation Report was approved on April 28, 2020. The Final ED was approved on June 22, 2020. The Design Standard Decision Document and the Final Project Report were both approved on June 24, 2020. This project will be split into three segments for the design phase. The design for segment 1 (SR-55 to Lakeview Avenue) was initiated on March 30, 2020 and the design of segment 2 (La Palma Avenue to SR-55) was initiated on June 17, 2020. The consultant recommendation for segment 3 (Acacia Street to La Palma Avenue) will be presented to the Board and the design is anticipated to begin in late 2020.

FREEWAYS

Segment: SR-91, SR-55 to SR-241

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



PROJECT J

Summary: This completed segment added six miles in the westbound and eastbound direction to a key stretch of SR-91 between SR-55 and SR-241 in the Cities of Anaheim and Yorba Linda. In addition to adding 12 lane miles to SR-91, the project also delivered a much needed second eastbound exit lane at the Lakeview Avenue, Imperial Highway and Yorba Linda Boulevard/Weir Canyon Road off-ramps. Beyond these capital improvements, crews completed work on safety barriers, lane striping and soundwalls. Completion of this project in March 2013 means a total of 18 lane miles have been added to SR-91 since December 2010. The project opened to traffic in December 2012 and was completed on March 5, 2013.

Segment: SR-91, SR-241 to SR-71

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: Completed in January 2011, this segment added six miles through a key stretch of SR-91 between Orange County's SR-241 and Riverside County's SR-71. The project improves mobility and operations by reducing traffic weaving from traffic exiting at SR-71 and Green River Road. An additional eastbound lane on SR-91 was added and all existing eastbound lanes and shoulders were widened. The project opened to traffic on December 2, 2010, and was completed January 31, 2011. Because this project was shovel-ready, OCTA was able to obtain American Recovery and Reinvestment Act funding for this M2 project, saving M2 revenues for future projects.

Segment: SR-91, SR-241 to I-15

Status: RCTC's Design-Build - Initial Phase Complete March 20, 2017

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: Freeway improvements that cross county lines require close coordination to maintain seamless travel. This project adds one general-purpose lane (bringing the total to six lanes in each direction) on SR-91 between SR-241 and I-15. Since the SR-91 corridor is one of the busiest in the region, implementation of this project requires constructing the improvements under multiple segments to coordinate improvements and to capitalize on available funding. While the portion of this project between SR-241 and the Orange County/Riverside County line is part of OCTA's OC Go Project J, the matching segment between the county line and SR-71 is part of RCTC's Measure A. The 6th lane addition requires joint implementation to ensure smooth delivery of the project. With significant SR-91 freeway improvements taking place as a result of both counties sales tax measures, the construction timing of the additional general-purpose lane between SR-241 and SR-71 was anticipated to take place post-2035. However, RCTC requested OCTA's support to accelerate a portion of the ultimate project in the westbound direction (in Orange County) to address a bottleneck issue affecting the City of Corona. With OCTA's support, RCTC has been developing the 91 Corridor Operation Project to initiate



FREEWAYS

construction and the project is anticipated to be complete in late 2021. In addition, OCTA and RCTC will be jointly conducting a feasibility study to determine how best to implement the 6th general-purpose lane while minimizing environmental and construction impacts in the eastbound direction between SR-241 and SR-71. On October 10, 2019, the RFP was released for the SR-91 (SR-241 to SR-71) Eastbound Geometric and Design Alternatives Analysis. The consultant recommendation was approved by the Board on February 10, 2020, and a Notice to Proceed was provided on May 5, 2020.

INTERSTATE 405 (I-405) PROJECTS ▼

PROJECT K

Segment: I-405, SR-73 to I-605

Status: Design-Build Underway

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: OCTA and Caltrans are working together to widen I-405 through the cities of Costa Mesa, Fountain Valley, Garden Grove, Huntington Beach, Los Alamitos, Seal Beach, and Westminster in the approximately 16 mile project area. These improvements will add one general purpose lane, add a second lane to be combined with the existing HOV lane to provide a dual express lanes facility, and improve the local interchanges along the corridor from SR-73 to I-605.³

During the quarter, work continued on ROW acquisition, utility coordination and public outreach. OCTA is in possession of 99 percent of the property necessary for construction with the remaining one percent on schedule. Design is substantially complete. Work continued on the review of various design and construction submittals. OCTA's toll lanes system integrator, Kapsch, is under contract and working with OCTA and the design-builder. Significant roadway construction activities including installation of drainage systems, retaining walls, and paving are underway. Additionally, over 50 walls are under construction or completed. Significant bridge construction continued on Fairview Road, Magnolia Street, Goldenwest Street, Bolsa Chica Road and Westminster Boulevard bridges. These are two-stage bridges, which means traffic is maintained on the remaining portion of the existing bridge while the first half of the new bridge is constructed. Stage 1 of the Goldenwest Street and Bolsa Chica Road bridges were completed and opened to traffic during this quarter. Construction continued at the McFadden Avenue, Talbert Avenue, Bushard Street, and Edwards Street bridges, which are one-stage bridges that are closed to traffic during construction. Construction also continued at the Beach Boulevard, Bolsa railroad crossing, old Navy railroad crossing, Santa Ana River and Harbor Boulevard bridges which consists of widening the existing freeway bridges over those facilities. OCTA also continued targeted public outreach through neighborhood meetings in anticipation of construction activities. Construction is scheduled to be completed in 2023. From March to the end of May, OCTA and Caltrans provided extended lane closure hours / work windows where possible due to significantly less traffic in the construction area as a result of the Governor's stay-at-home order. These longer work windows provided the contractor (at their discretion) the opportunity to potentially complete some activities sooner than originally anticipated. As the stay-at-home order is gradually lifted and traffic volumes continue to rise, OCTA will continue to work with Caltrans to extend lane closure hours and work windows where possible.

³The general purpose lane portion of the project is a M2 project and will be funded by a combination of local, state and federal funds, with the express lanes portion of the project financed and paid for by those who choose to pay a toll and use the 405 Express Lanes.



FREWAYS

Segment: I-405, I-5 to SR-55

PROJECT L

Status: Environmental Phase Complete

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project studied the addition of general purpose lanes for approximately 8.5-miles along the I-405 corridor between I-5 and SR-55 in Irvine. The project development team reviewed the alternatives and public comments received during public circulation and as a result of the effort, recommended adding one general purpose lane in each direction. The final Project Report and ED were completed in August 2018. The Next 10 sets direction through 2026 and is reviewed annually. As projects listed are completed, schedules and revenues are reviewed, the Board adopts an updated delivery plan providing direction on project advancement. To ensure coordination with other projects planned for construction and to avoid unreasonable impacts to the public, this project is currently scheduled to be constructed beyond 2026.

INTERSTATE 605 (I-605) PROJECTS ▾

Segment: I-605, Katella Interchange Improvements

PROJECT M

Status: Environmental Phase Complete; Design Proposals Under Review

Contact: Rose Casey, Capital Projects • (714) 560-5729

Summary: This project will improve freeway access and the arterial connection to I-605 at Katella Avenue in the City of Los Alamitos and the County of Orange. Improvements under this project will include enhancements at the on-ramps and off-ramps in addition to operational improvements on Katella Avenue at the I-605 Interchange. The final ED was approved in October 2018 and the final PR was approved in November 2018. This project was approved by the Board in the 2019 updated Next 10 to advance through construction. The RFP for design services was approved for release in April 2020. During the quarter, staff reviewed the proposals and conducted consultant interviews. A recommendation is anticipated to be presented to the Board in August 2020 to initiate design efforts in late 2020.

FREEWAY SERVICE PATROL ▾

Status: Service Ongoing

PROJECT N

Contact: Cliff Thorne • (714) 560-5975

Summary: Freeway Service Patrol (FSP) provides assistance to motorists whose vehicles have become disabled on Orange County freeways and removes congestion-causing debris from traffic lanes to reduce freeway congestion and collisions. In June 2012, M2 began supporting FSP with local funds to maintain existing service levels and expand services through 2041. During the quarter, FSP provided 17,122⁴ services. Since June 2012, FSP has provided a total of 551,274⁴ services on the Orange County freeway system.

⁴Service calculations are based on all services provided as FSP is funded by M2 and external sources.

STREETS AND ROADS

REGIONAL CAPACITY PROGRAM ▼

Status: 2020 Call for Projects Programmed in May 2020

PROJECT O

Contact: Joseph Alcock, Planning • (714) 560-5372

Summary: This program, in combination with required local matching funds, provides funding for improvements on Orange County’s Master Plan of Arterial Highways. Since 2011, 155 projects totaling more than \$319⁵ million, including \$24 million in external funding, have been awarded through ten calls for projects by the Board. On August 12, 2019, the Board approved the release of the 2020 Call for Projects. The application deadline for the tenth call closed on October 24, 2019. On May 11, 2020, the Board recommended eight applications for programming in the total amount of \$23.4 million.

⁵To date, 15 of the 191 phases awarded by OCTA totaling approximately \$21.2 million have been canceled by the awarded local jurisdictions.

OC Bridges Railroad Program

This program built seven grade separations (either under or over passes) where high volume streets are impacted by freight trains along the BNSF Railroad in North County. With all seven grade separations open to traffic, an OC Bridges completion ceremony was held on October 24, 2017. To date, the Board has approved approximately \$664 million in committed M2 and external funds for all seven of the OC Bridges Program grade separation projects. Minor activities this quarter include the closeout of two projects.

Segment: Kraemer Boulevard Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at Kraemer Boulevard railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the City of Placentia by building an underpass for vehicular traffic. The grade separation was opened to traffic on June 28, 2014, and an event was held on July 8, 2014, to commemorate the opening. Project acceptance by the cities of Anaheim and Placentia, respectively, occurred in December 2014 and the cities assumed full maintenance responsibilities. In December 2015, the one-year warranty period expired with no issues or repairs identified.



STREETS AND ROADS

Segment: Lakeview Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at Lakeview Avenue railroad crossing grade separated the local street from railroad tracks in the cities of Anaheim and Placentia by building a bridge for vehicular traffic over the railroad crossing and reconfiguring the intersection of Lakeview Avenue and Orangethorpe Avenue. Construction began on July 1, 2014.

Lakeview Avenue was reopened on June 6, 2017. Construction acceptance from the cities of Anaheim and Placentia were obtained on June 2, 2017, and OCTA has turned over the maintenance responsibilities to the cities and completed the one-year warranty on some constructed items. The one-year warranty was extended to July 2019 for some minor repair items and close-out activities are completed. Staff presented recommendation for final claim resolution to the Board on July 22, 2019, which was approved. Funding reimbursement and closeout are completed.

Segment: Orangethorpe Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at Orangethorpe Avenue railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge for vehicular traffic over the railroad tracks. On May 17, 2016, a joint-grand opening event was held to commemorate the opening to traffic for the Orangethorpe and Tustin/Rose Grade Separation projects. Construction was completed in October 2016 and construction acceptance was obtained from the cities of Anaheim and Placentia on October 25, 2016. OCTA has turned over the maintenance responsibilities to the cities and completed the one-year warranty on the majority of constructed items. The one-year warranty was extended to June 2019 for some minor repair items. Funding reimbursement and closeout are completed.

Segment: Placentia Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at Placentia Avenue railroad crossing is grade separated and open to traffic. This project separated the local street from railroad tracks in the City of Placentia by building an underpass for vehicular traffic. An event was held on March 12, 2014, to commemorate the opening. Project acceptance by the cities of Anaheim and Placentia occurred in December 2014 and the cities assumed full maintenance responsibilities. In December 2015, the one-year warranty period expired with no issues or repairs identified. Funding reimbursement and closeout are completed.

STREETS AND ROADS

Segment: Raymond Avenue Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at Raymond Avenue railroad crossing grade separated the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton is managing construction and OCTA is providing construction oversight, public outreach, railroad coordination, and ROW support. Construction began on June 2, 2014. Raymond Avenue has been opened to traffic since October 2017. OCTA received construction acceptance on May 14, 2018. Activities this quarter include project closeout with BNSF and processing final invoices. Funding reimbursement and closeout are ongoing.

Segment: State College Boulevard Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at State College Boulevard railroad crossing grade separated the local street from railroad tracks in the City of Fullerton by taking vehicular traffic under the railroad crossing. The City of Fullerton managed the construction and OCTA provided construction oversight, public outreach, railroad coordination, and ROW support. State College Boulevard was opened to through traffic on November 1, 2017. Construction acceptance and maintenance responsibilities from the City of Fullerton was obtained on March 7, 2018, and the one-year warranty began. Activities this quarter include processing final invoices. Funding reimbursement and closeout are ongoing.

Segment: Tustin Avenue/Rose Drive Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project located at Tustin Avenue/Rose Drive railroad crossing is grade separated and open to traffic. The project separated the local street from railroad tracks in the cities of Placentia and Anaheim by building a bridge over the railroad crossing for vehicular traffic. On May 17, 2016, a joint-grand opening event was held to commemorate the opening to traffic for the Orangethorpe and Tustin/Rose Grade Separation projects. Construction was completed in October 2016 and construction acceptance was obtained from the cities of Anaheim and Placentia on October 25, 2016. OCTA has turned over the maintenance responsibilities to the cities and completed the one-year warranty on the majority of constructed items. The one-year warranty was extended to November 2018 for some minor repair items. In November 2018, the warranty period expired with no additional issues or repairs identified. Funding reimbursement and closeout are completed.



STREETS AND ROADS

REGIONAL TRAFFIC SIGNAL SYNCHRONIZATION PROGRAM ▾

Status: 2020 Call for Projects Programmed in May 2020

PROJECT P

Contact: Anup Kulkarni, Planning • (714) 560-5867

Summary: This program provides funding and assistance to implement multi-agency signal synchronization. The target of the program is to regularly coordinate a network of over 2,000 signalized intersections along 750 miles of roadway within Orange County. OCTA also leverages external funding to further enhance the efficiency of the street grid and reduce travel delay.

To date, OCTA and local agencies have synchronized more than 2,800 intersections over more than 746 miles of streets (84 completed projects). Through ten Calls for Projects, 101 projects totaling more than \$107.4 million have been awarded. Overall, OCTA has funded 120 projects⁶ totaling more than \$132.3 million, including \$25.5 million in leveraged external funding.

On May 11, 2020, the Board approved funding for six projects totaling \$12.1 million as part of the 2020 Call for Projects Regional Traffic Signal Synchronization Program.

⁶To date, three projects totaling approximately \$1.6 million have been canceled by the awarded local jurisdictions.

LOCAL FAIR SHARE ▾

Status: Ongoing

PROJECT Q

Contact: Ben Torres, Finance • (714) 560-5692

Summary: In order to help cities and the County of Orange keep up with the rising cost of repairing the aging street system, this program provides flexible funding intended to augment, not replace, existing transportation expenditures by the cities and the County. Annually, all local agencies are reviewed to determine eligibility to receive M2 funds. All local agencies have been found eligible to receive Local Fair Share funds. On a bi-monthly basis, 18 percent of net revenues are allocated to local agencies by formula. Approximately \$455 million⁷ in Local Fair Share payments have been provided to local agencies as of the end of this quarter.

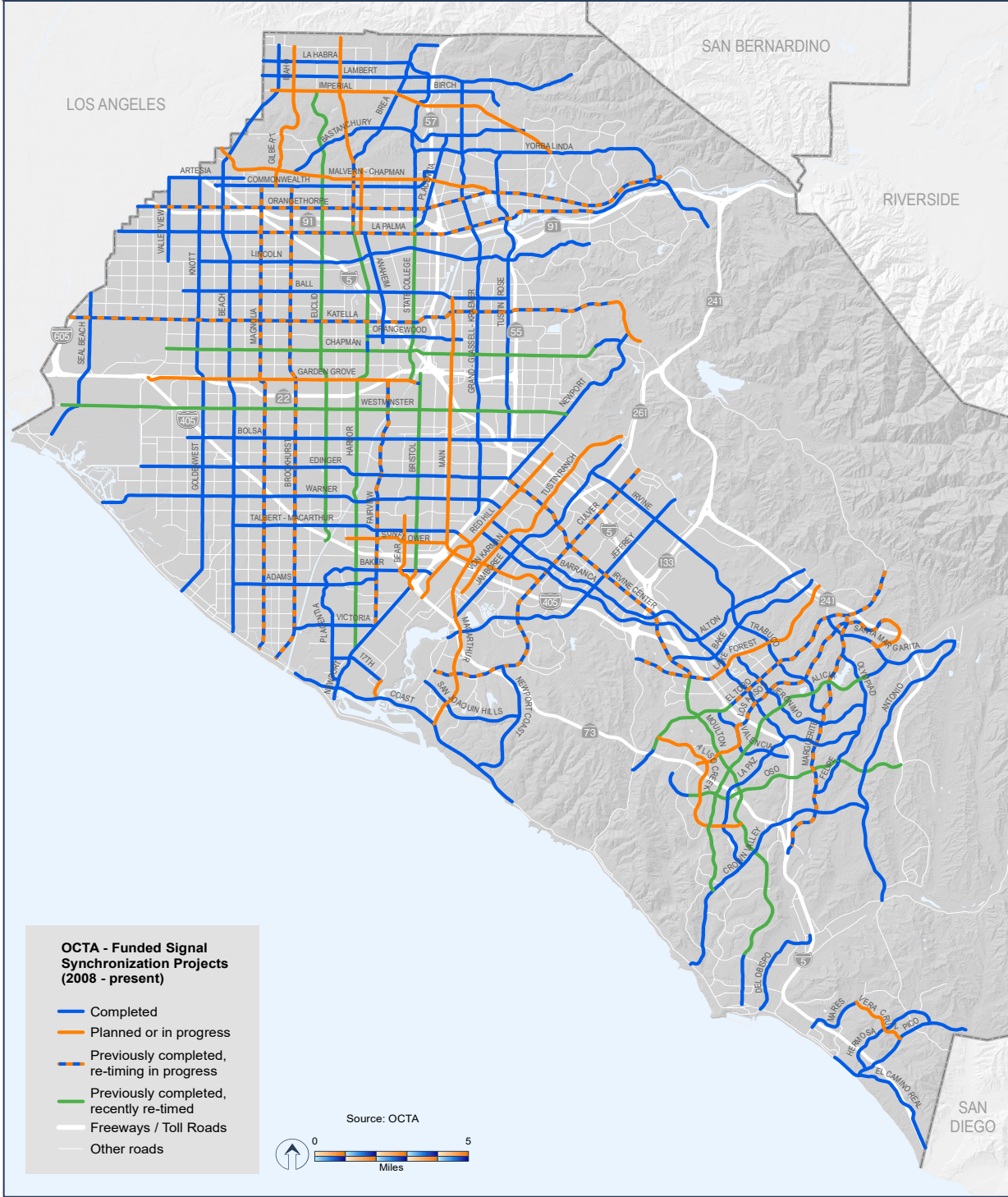
See [pages 49-50](#) for funding allocation by local agency.

⁷Includes disbursements to the City of Santa Ana and City of Stanton that were previously suspended. On May 13, 2019, the Board determined that the cities were ineligible to receive net M2 revenues. Funds were suspended until the cities achieved compliance. On April 13, 2020, based on compliance audit results, the Board determined the cities eligible to receive net M2 revenues again.



STREETS AND ROADS

OCTA-Funded Signal Synchronization Projects (2008 - Present)



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TRANSIT

HIGH FREQUENCY METROLINK SERVICE ▾

PROJECT R

Project R will increase rail services within the County and provides additional Metrolink service north of Fullerton to Los Angeles. The program provides for track improvements, the addition of trains and parking capacity, upgraded stations, and safety enhancements to allow cities to establish quiet zones along the tracks. This program also includes funding for grade crossing improvements at high volume arterial streets, which cross Metrolink tracks.

Project: Metrolink Grade Crossing Improvements

Status: PROJECT COMPLETE

Contact: Jennifer Bergener, Rail • (714) 560-5462



Summary: Enhancement at 50 of the designated 52 Orange County at-grade rail-highway crossings were completed in support of the Metrolink Service Expansion Program (MSEP) in October 2012. As a result of one private crossing which did not allow for OCTA to make enhancements and one street closure that eliminated the need for enhancements, the final count of enhanced rail-highway crossings was 50. Completion of the safety improvements provided each corridor city with the opportunity to establish a “quiet zone” at their respective crossings. Quiet zones are intended to prohibit the sounding of train horns through designated crossings, except in the case of emergencies, construction work, or safety concerns identified by the train engineer. The cities of Anaheim, Dana Point, Irvine, Orange, Santa Ana, San Clemente, San Juan Capistrano, and Tustin have established quiet zones within their communities.

Project: Metrolink Service Expansion Program

Status: Service Ongoing

Contact: Jennifer Bergener, Rail • (714) 560-5462

Summary: Following the completion of the Metrolink Service Expansion Program (MSEP) improvements in 2012, OCTA deployed a total of ten new Metrolink intracounty trains operating between Fullerton and Laguna Niguel/Mission Viejo, primarily during the midday and evening hours.

In October 2019, several intracounty trains were extended to Los Angeles to increase ridership through a redeployment of the trains without significantly impacting operating costs. However, all Metrolink services were impacted by the statewide enforcement of stay-at-home orders that resulted from the COVID-19 pandemic in March 2020. Metrolink implemented a temporary 30 percent service reduction due to the decline in ridership; the service reduction impacted the October service change. The changes and impacts of the service reduction consisted of:

- Orange County (OC) Line: Three weekday intracounty round trips operating between Fullerton and Laguna Niguel/Mission Viejo were replaced with two round trips between Laguna Niguel/Mission Viejo and Los Angeles. Note, one intracounty round trip (trains 642 and 643) was discontinued as part of the COVID-19 related service reduction. As of June 2020, the intracounty round trips (trains 632 and 633) that was extended was averaging 22 passengers per trip.



TRANSIT

- 91/Perris Valley (91/PV) Line: Three round trips within Riverside County between Perris–South and Riverside–Downtown were replaced with one round trip between Perris–South and Los Angeles Union Station via Fullerton. As of June 2020, the round trip that was extended was averaging 35 passengers per trip.

The State of California enforced the statewide lockdown through May 2020. Governor Newsom announced on May 4, 2020 that the State will ease the statewide lockdown in phases. Despite the gradual lifting of the stay-at-home orders, COVID-19 cases continue to rise in California which has impacted ridership through June 2020. In response to the ridership impacts, Metrolink drafted a Recovery Plan Framework. The Recovery Plan Framework is designed to phase in actions to position the Authority for post-pandemic operations and consists of the following:

1. Health and safety: Commuting together, socially distant.
2. Operational transparency: Fast track commuter confidence.
3. The triple bottom line: Economy, environment, equity
4. Future proof operations: More efficient stewardship.
5. Sustainable financial performance.

As stay-at-home orders are slowly being loosened across southern California, Metrolink staff continues to reiterate cleaning and safety as riders return. Note, the 30 percent service reduction that was implemented in March 2020 will remain in place until further notice. As of June 30, 2020, Metrolink rail ridership on the three lines serving Orange County was down 83 percent compared to the prior year.

Plans to implement the addition of two round trips in April 2020 have been postponed until full service is reinstated. The postponed April service changes will include the addition of one evening weekday round trip from Oceanside to Los Angeles on the OC Line. Additional changes to the OC Line include the discontinuation of two intracounty trains due to low ridership levels. To offset the termination of the two intracounty trains, an evening train that currently travels between Los Angeles and Laguna Niguel/Mission Viejo will be extended to Oceanside. Along the 91/PV Line, one weekday round trip will be added between Los Angeles and Perris, south via Fullerton. The above-mentioned changes are in alignment with OCTA's redeployment plan.

Rail Corridor and Station Improvements

Additionally, under MSEF, funding is provided for rail line and station improvements to accommodate increased service. Rail station parking lot expansions, better access to platforms, among other improvements have been made or are underway. For schedule information on station improvement projects, please see the CAP pages on [pages 51-55](#).



TRANSIT

Segment: Anaheim Canyon Metrolink Station Improvements

Status: Design Underway – 99% Complete

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: This OCTA-led project will include construction of a second main track and platform, lengthening the existing platform, and improved pedestrian circulation. The project will also include the addition of benches, shade structures, and ticket vending machines. The design plans have been completed to 98 percent. Plans were expected to be complete and ready to bid in March 2020, but permanent access to railroad signal equipment for maintenance purposes as well as access to the railroad ROW during the construction phase needs to be resolved. It is anticipated that these issues will be resolved and the project will be bid in September 2020. FTA grants provide approximately \$13 million to support rehabilitation and replacement of capital improvements which are not impacted by the COVID-19 pandemic. Construction of the project is anticipated to begin in January 2021 with completion anticipated in mid-2022. This project is marked “red” in the CAP due to delays in ROW negotiations.

Segment: Fullerton Transportation Center Improvements

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646



Summary: Completed early on, a new 5-level parking structure was constructed to provide additional transit parking at the Fullerton Transportation Center for both intercity rail service and commuter rail passengers. This City-led project was completed on June 19, 2012. After completion, an elevator upgrade project was initiated with leftover savings. The elevator project modified the existing pedestrian bridge to add two new traction elevators, one on each side. The City of Fullerton was the lead on this project which was completed May 1, 2019.

Segment: Laguna Niguel/Mission Viejo Metrolink Station Americans with Disabilities Act (ADA) Ramps

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646



Summary: The Laguna Niguel/Mission Viejo station accessibility improvements project was completed in September 2017. Improvements include new ADA-compliant access ramps on either side of the pedestrian undercrossing and a unisex ADA-compliant restroom, vending machine room, and three passenger canopies. Construction acceptance from the cities was obtained on September 20, 2017.



TRANSIT

Segment: Orange Transportation Center Metrolink Parking Structure

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646



Summary: This project includes a 608-space, 5-level, shared use parking structure that is located on Lemon Street between Chapman Avenue and Maple Street in Orange. Per a cooperative agreement between OCTA and the City of Orange, the City of Orange led the design phase, and OCTA led the construction phase of the project. Construction began on July 17, 2017 and was completed on February 15, 2019. A dedication ceremony was held on February 19, 2019.

Segment: New Placentia Metrolink Station and Parking Structure

Status: Design Complete - Ready for Advertisement subject to BNSF construction and maintenance agreement

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: Plans for the proposed Placentia Metrolink Station Project were near completion when the City of Placentia requested to modify them to include a parking structure to be built where surface parking had been designed. On June 27, 2016, the Board approved a new Cooperative Agreement with the City of Placentia that revised the project's scope and budget, and with the changes the City of Placentia will contribute towards the cost. The station will include platforms, parking, a new bus stop, and passenger amenities. OCTA is the lead agency for design and construction of the project. The project will also include a third track which should assist with the on-time performance of train operations and provide operational flexibility for both freight and passenger trains. BNSF will be the lead on the rail construction. Design plans for the station are complete and will be ready to advertise for bidding once a construction and maintenance (C&M) agreement with BNSF is in place. Due to the dependency on the C&M agreement, this project is marked as a cost/schedule risk in the CAP.

Segment: San Clemente Pier Station Lighting

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646



Summary: This project was completed on March 17, 2017, and project closeout was completed in the same month. OCTA was the lead agency for design and installation of this project which added lighting to the existing platform and new decorative handrails at the San Clemente Pier Station.





TRANSIT

Additional rail corridor improvements include: completed Control Point project at Fourth Street in the City of Santa Ana, which provides rail operational efficiencies; completed Positive Train Control implementation, which improves rail safety by monitoring and controlling train movement; continued with ROW acquisition to replace the San Juan Creek railroad bridge in the City of San Juan Capistrano, which will not preclude a future bike trail on the south end along the creek (design and environmental clearance tasks were completed and ROW acquisition is in progress); completed the construction of the Railroad ROW Slope Stabilization project in June 2020, which includes eight locations within the OCTA-owned Los Angeles - San Diego - San Luis Obispo (LOSSAN) rail corridor that have been identified for improvements to prevent future erosion and slope instability; and continued implementation of video surveillance systems.

Segment: Sand Canyon Grade Separation

Status: PROJECT COMPLETE

Contact: Rose Casey, Capital Projects • (714) 560-5729



Summary: The project separated the local street from railroad tracks in the City of Irvine by constructing an underpass for vehicular traffic. The westbound lanes were opened to traffic on June 12, 2014, and the eastbound lanes were opened to traffic on July 14, 2014. A road opening ceremony was held on August 11, 2014. The project is complete and construction acceptance was obtained from the City of Irvine on January 15, 2016. The project completed the one-year warranty period and no repairs were identified. The project closed out in January 2017.

Segment: Tustin Metrolink Station Parking Structure

Status: PROJECT COMPLETE

Contact: Jim Beil, Capital Programs • (714) 560-5646



Summary: This early completion project, provided additional parking at the Tustin Metrolink Station to meet requirements associated with the MSEP by constructing a new 4-story parking structure with approximately 735 spaces, plus on-site surface parking. The parking structure was opened to the public on September 22, 2011.

Segment: Laguna Niguel to San Juan Capistrano Passing Siding Project

Status: Construction Underway – 70% Complete

Contact: Jim Beil, Capital Programs • (714) 560-5646

Summary: The project is currently in the construction phase and will add approximately 1.8-miles of new passing siding railroad track adjacent to the existing mainline track, which will enhance the operational efficiency of passenger services within the LOSSAN rail corridor. The construction contract was awarded on January 14, 2019, and the Notice to Proceed was issued on March 12, 2019.



TRANSIT

Construction continued with the mainline and pocket track, crossovers, retaining wall #1 and roadway modifications at Camino Capistrano and Rancho Capistrano. Construction of retaining walls #2, #3 and new passing track were completed this quarter. This project is anticipated to be completed by early 2021.

TRANSIT EXTENSIONS TO METROLINK ▼

In order to broaden the reach of Metrolink to other Orange County cities, communities, and activity centers, Project S includes a competitive program which allows cities to apply for funding to connect passengers to their final destination via transit extensions. There are currently two categories for this program: a fixed guideway program (streetcar) and a rubber tire transit program.

PROJECT S

Project: OC Streetcar

Status: Full Funding Grant Agreement (FFGA) Executed November 30, 2018, Construction and Utility Relocation Work Ongoing, Vehicle Production Underway, Operations and Maintenance contract approved by the Board on May 22, 2020.

Contact: Mary Shavalier, Rail • (714) 560-5725

Summary: The OC Streetcar will serve the Santa Ana Regional Transportation Center through downtown Santa Ana, and the Civic Center to Harbor Boulevard in the City of Garden Grove. At the request of the two cities, OCTA is serving as the lead agency for the project.

Construction work continued with in-street utilities nearing completion and final storm work underway, installation of the service and inspection pit and vapor barrier at the Maintenance and Storage Facility (MSF), hand digging and surveying of the Overhead Contact System (OCS) pole foundations, disposal of hazardous soil from the Pacific Electric ROW and other project areas, grading and drainage system installation on the Pacific Electric ROW. The contractor completed the first of two major concrete pours for the superstructure of the Westminster Bridge and deck pour in May. Precast girders at the Santa Ana River Bridge were installed in May and the construction of the retaining walls at the Santa Ana River and Westminster bridges are ongoing.

After a brief closure of the Siemens plant the previous quarter, Siemens returned to a 100 percent production level of the OC Streetcar S700 vehicle in early April. All eight vehicles are in various stages of production. OCTA has not been notified by Siemens of any reported impacts to the overall delivery schedule.

The first article inspection was conducted for the truck assembly. The trucks contain the motor, gearbox, braking system and the vehicle steel wheels. Outstanding first article inspections that require out-of-state travel are on hold due to current travel restrictions. OCTA is in the process of finalizing outstanding items from final design review and continues to coordinate with Conduent and Siemens on Computer Aided Dispatch/Automatic Vehicle Location design specifications.

During the quarter, the Board approved continuing the work to address utility conflicts during underground relocation work and hand digging of OCS, traffic signal and streetlight pole foundations. To support the local community, OCTA continues to directly support Santa Ana’s Business Improvement District and residents during



TRANSIT

construction of the OC Streetcar through the Eat, Shop, Play program and by providing on-going construction alerts.

On May 22, 2020, the Board approved the consultant selection for the O&M contract. Negotiations are underway to finalize and execute the contract to prepare for issuance of the Notice to Proceed.

On June 17, 2020, OCTA and FTA conducted its quarterly meeting to discuss project status and report on the project schedule and cost estimate.

Work continues to progress on other key OC Streetcar activities including coordination with third parties on utility relocation, public outreach and continued coordination with the FTA and project management oversight consultant.

Project: Bus and Station Van Extension Projects

Status: Service Through 2020 for Anaheim Canyon Metrolink Bus Connection

Contact: Joseph Alcock, Planning • (714) 560-5372

Summary: Bus and Station Van Extension projects help enhance the frequency of service in the Metrolink corridor by linking communities within the central core of Orange County to commuter rail. To date, the Board has approved one round of funding for bus and van extension projects, totaling over \$730,000. One project located within the City of Anaheim and three proposals within the City of Lake Forest were approved for funding by the Board on July 23, 2012. Currently, the Anaheim project is in service and the Lake Forest projects have been canceled. The Anaheim Canyon Metrolink Station Bus Connection began service in February 2013 and is anticipated to continue providing service between the station and the Anaheim Resort area through 2020 when the grant expires. In anticipation of the grant expiration, the city applied for Project V funding to continue this service. On April 13, 2020, the Board recommended to fund the service under Project V and extend the service until June 30, 2027.

METROLINK GATEWAYS ▾

Status: PROJECT COMPLETE

Contact: Jennifer Bergener, Rail • (714) 560-5462



PROJECT T

Summary: This project constructed the Anaheim Regional Transportation Intermodal Center (ARTIC) located at 2626 East Katella Avenue in the City of Anaheim. In addition to providing transit connections for OCTA bus service, Metrolink and Amtrak service, shuttle and charter bus service, taxis, bikes, and other public and private transportation services, ARTIC also accommodates future high-speed rail trains. The City of Anaheim, which led the construction effort, opened the facility to rail and bus service on December 6, 2014. A ribbon-cutting ceremony was held on December 8, 2014, with a grand opening celebration hosted on December 13, 2014. This facility replaced the former Anaheim Metrolink Station that was located on the opposite side of the freeway in the Los Angeles Angels of Anaheim Stadium parking lot.



TRANSIT

EXPAND MOBILITY CHOICES FOR SENIORS AND PERSONS WITH DISABILITIES ▾

Project U expands mobility choices for seniors and persons with disabilities, and includes the SMP, the SNEMT Program, and the Fare Stabilization Program. Since inception, approximately \$80.7 million⁹ in Project U funding has been provided under M2.

Project: Senior Mobility Program

PROJECT U

Status: Ongoing

Contact: Beth McCormick, Transit • (714) 560-5964

Summary: This program provides one percent of net M2 revenues to continue and expand local community transportation service for seniors under the SMP. According to the SMP Funding and Policy Guidelines, M2 revenue is allocated to local jurisdictions proportionally, relative to the total county’s senior population, by the residents age 60 and above multiplied by available revenues. Remaining unallocated funds are distributed to the M2 Project U Fare Stabilization Program.

Since inception, approximately \$24 million⁸ and 2,430,500 boardings have been provided for seniors traveling to medical appointments, nutrition programs, shopping destinations, and senior and community center activities. Several local jurisdictions have modified or suspended service during the stay-at-home order as a result of the COVID-19 pandemic. This quarter, approximately \$437,000 was paid out to the 31 participating cities.

⁸Includes disbursements to the City of Santa Ana and City of Stanton that were previously suspended. On May 13, 2019, the Board determined that the cities were ineligible to receive net M2 revenues. Funds were suspended until the cities achieved compliance. On April 13, 2020, based on compliance audit results, the Board determined the cities eligible to receive net M2 revenues again.

Project: Senior Non-emergency Medical Transportation Program

Status: Ongoing

Contact: Beth McCormick, Transit • (714) 560-5964

Summary: This program provides one percent of net M2 revenues to supplement existing county-wide senior non-emergency medical transportation services. Since inception, more than \$25.8 million and 940,720 SNEMT boardings have been provided. This quarter, approximately \$461,598 in SNEMT funding was paid⁹ to the County of Orange.

⁹Payments are made every other month (January, March, May, July, September, and November). July payments are based on June accruals, and therefore counted as June payments. The amount totaled for one fiscal year quarter either covers one or two payments, depending on the months that fall within that quarter.



TRANSIT

Project: Fare Stabilization Program
Status: Ongoing
Contact: Sean Murdock, Finance • (714) 560-5685

Summary: Between years 2011-2015, one percent of net M2 revenues was dedicated to stabilizing fares and providing fare discounts for bus services and specialized ACCESS services for seniors and persons with disabilities. Effective January 28, 2016, an amendment to the M2 Ordinance No. 3, adjusted this amount to 1.47 percent of net M2 revenues to be dedicated to the Fare Stabilization Program.

Approximately \$1,242,000¹⁰ in revenue was allocated this quarter to support the Fare Stabilization Program. The amount of funding utilized each quarter varies based on ridership. During the quarter, based on 100,000 program-related boardings recorded on fixed route and ACCESS services, approximately \$20,000 was utilized. In early April, in response to the COVID-19 pandemic, OCTA began a process of rear-door boarding on fixed-route services. The senior and disabled boardings recorded for the quarter were based off of pass sales and ACCESS boardings figures. Since inception of the program, more than \$31 million and 119 million program-related boardings have been provided.

¹⁰Payments are made every other month (January, March, May, July, September, and November). July payments are based on June accruals, and therefore counted as June payments. The amount totaled for one fiscal year quarter either covers one or two payments, depending on the months that fall within that quarter.

COMMUNITY BASED TRANSIT/CIRCULATORS ▾

Status: Service Updates; 2020 Call for Projects programmed in April 2020
Contact: Joseph Alcock, Planning • (714) 560-5372

PROJECT V

Summary: This program provides funding for local jurisdictions to develop local bus transit services such as community-based circulators and shuttles that complement regional bus and rail services and meet needs in areas not adequately served by regional transit. To date, through a competitive process, OCTA has provided four rounds of funding (June 2013, June 2016, June 2018 and April 2020) which have awarded 35 projects and 10 planning studies totaling approximately \$52 million. Out of the transit circulator projects: 19 are currently active; eight have been canceled (primarily due to low ridership); seven are planned and one has been completed.

In March 2019, OCTA requested letters of interest for a future round of Project V funding. Ten responses from eligible local agencies were received and staff reported these findings to the Board in August 2019. At that meeting, the Board directed staff to develop and evaluate potential revisions for the Project V Comprehensive Transportation Funding Programs Guidelines. The revisions and the request to authorize a fourth Project V call for approximately \$9 million was authorized by the Board on October 14, 2019. On April 13, 2020, the Board made programming recommendations for six local agency projects submitted under the capital and operating reserve categories and for three local agency projects under the planning category for a combined total of approximately \$9.2 million.



TRANSIT

OCTA receives ridership reports from local agencies on a regular basis to monitor the success of these services against performance measures adopted by the Board. Currently, most of these services are generally meeting their required performance standards. The most recent Project V Ridership report was presented to the Transit Committee on January 9 and the Board on January 13, 2020. The next Project V Ridership report is scheduled for July 2020. Lessons learned from the success of implemented services are incorporated into recommendations for future funding guidelines and programming recommendations.

Local jurisdictions have temporarily suspended local transit services beginning mid-March due to the stay-at-home order as a result of the COVID-19 pandemic, and it is unclear at this time as to when services may potentially be re-initiated.

SAFE TRANSIT STOPS ▾

Status: City-Initiated Improvements Underway or Complete

Contact: Joseph Alcock, Planning • (714) 560-5372

PROJECT W

Summary: This program provides funding for passenger amenities at the 100 busiest transit stops across Orange County. Stop improvements are designed to ease transfers between bus lines and provide passenger amenities such as installation of bus benches or seating, shelters, lighting, and other passenger related amenities.

In 2014, the Board approved the first round of funding in the amount of \$1,205,666 to support 51 city-initiated improvements and \$370,000 for OCTA-initiated improvements. The City of Anaheim postponed development of eight stops and the OCTA initiated improvements were funded through another grant source and the funds were de-allocated and returned to the program in June 2019. Improvements funded through the first effort at all 43 stops are now complete.

In October 2018, the Board authorized a second Project W allocation process, providing up to \$3 million (in total) to eligible agencies to support bus stop amenity improvements. Eligible agencies were able to receive between \$20,000 to \$35,000 (per identified bus stop based on ridership). On June 13, 2019, funding recommendations were approved by the Board providing just under \$1 million to support improvements at 36 locations. In May 2020, the Board directed staff to return with additional programming recommendations for Project W. Applications were due on June 30, 2020, and final recommendations will be advanced to the Board for consideration later this Fall.



ENVIRONMENTAL

CLEAN UP HIGHWAY AND STREET RUNOFF THAT POLLUTES BEACHES ▼

Project: Environmental Cleanup Program

Status: Ongoing

PROJECT X

Contact: Dan Phu, Planning • (714) 560-5907

Summary: This program implements street and highway-related water quality improvement programs and projects that assist agencies countywide with federal Clean Water Act standards for urban runoff. It is intended to augment, not replace existing transportation-related water quality expenditures and to emphasize high-impact capital improvements over local operations and maintenance costs. The ECAC is charged with making recommendations to the Board on the allocation of funds for the ECP. These funds are allocated on a countywide, competitive basis to assist agencies in meeting the Clean Water Act standards for controlling transportation-related pollution.

Project X is composed of a two-tiered funding process focusing on early priorities (Tier 1), and a second program designed to prepare for more comprehensive capital investments (Tier 2). To date, there have been nine rounds of funding under the Tier 1 grants program. A total of 177 projects, amounting to more than \$24 million, have been awarded by the Board since 2011. There have been two rounds of funding under the Tier 2 grants program. A total of 22 projects in the amount of \$27.89 million have been awarded by the Board since 2013. To date, all Orange County cities plus the County of Orange have received funding under this program. A tenth Tier 1 Call for Projects was released in March 2020. As a result of the stay-at-home order due to the COVID-19 pandemic, the application deadline was extended until June 25, 2020. The schedule and timing of the Tier 1 funding recommendations is anticipated in October 2020. The impact to M2 sales tax revenue and how this will affect future Project X calls for projects is currently being assessed. Staff will also be determining the timing of a future Tier 2 call for projects. It was anticipated, prior to the COVID-19 pandemic, that a Tier 2 call could be feasible sometime around the fiscal year 2021 or 2022 timeframe.

Staff estimates that over 33 million gallons of trash has been captured as a result of the installation of Tier 1 devices since the inception of the Tier 1 Program in 2011. This is equivalent to over 50 Olympic size swimming pools. Over time, the volume of trash captured is expected to increase. It is estimated that the funded Tier 2 projects, once fully functional, will have an annual groundwater recharge potential of approximately 157 million gallons of water from infiltration or through pumped and treated recharge facilities.



ENVIRONMENTAL

FREEWAY MITIGATION ▼

Project: Environmental Mitigation Program

Status: Biological Permits Issued and Conservation Plan in Place

Contact: Dan Phu, Planning • (714) 560-5907

Summary: In June 2017, the United States Fish and Wildlife Service, and the California Department of Fish and Wildlife (Wildlife Agencies) finalized the issuance of their respective biological opinion, findings, and associated permits, as well as signed the Conservation Plan Implementing Agreement. Receipt of these permits represent the culmination of years of collaboration and support by the Board, environmental community, and Wildlife Agencies. As a result, the environmental process will be streamlined, allowing OCTA to move forward with the M2 freeway projects (as described in the Conservation Plan) with little additional coordination from the Wildlife Agencies. The OCTA Conservation Plan is unique as it is only the second state/federal conservation plan approved in Orange County.

The Conservation Plan also includes a streamlined process for coordination for streambed alteration agreements for portions of freeway projects that cross through streams and riverbeds. In 2017, the United States Army Corps of Engineers (Corps) issued a programmatic permit to OCTA and Caltrans (as owner/operator of the state highway system). The State Board provided a letter to OCTA in 2018, which further secured assurances related to advanced mitigation and freeway project permit issuance. These efforts are the result of years of collaboration between OCTA, the Corps, and State Board, and constitute another groundbreaking milestone for the M2 Environmental Mitigation Program.

The program is proceeding as planned, with seven properties (Preserves) acquired (1,300 acres), and 12 restoration projects approved for funding by the Board, totaling approximately 350 acres. The restoration project plans have been approved by the Wildlife Agencies and are currently at various stages of implementation. The Board authorized \$42 million (inclusive of setting aside funds for long-term land management) for property acquisitions, \$10.5 million to fund habitat restoration activities, and \$2.5 million for conservation plan development and program support, for a total of approximately \$55 million.

As part of the Conservation Plan requirement, an endowment has been established to pay for the long-term management of the Preserves. It was previously estimated that it would take approximately 12 to 15 years to fully fund the endowment with deposits annually. Approximately \$2.9 million has been deposited annually. The most recent deposit was made in November 2019. A reassessment of the M2 revenue stream as well as the current Conservation Plan endowment balance will be completed due to the COVID-19 pandemic. Staff will continue to oversee and provide endowment updates to the Finance and Administration and the Environmental Oversight Committee (EOC) on a regular basis.

Resource management plans (RMPs) for the Preserves were finalized in 2018. These RMPs guide the management of the Preserves as outlined within the Conservation Plan. The RMPs will be reviewed and updated as necessary, approximately every five years. Staff will continue to oversee and manage the Preserves until a long-term manager(s) is established.



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In consultation with the local fire authority, staff has begun to work with a consultant to draft fire management plans (Plans) for the seven Preserves. The Plans will provide guidelines for decision-making at all stages including fire prevention, pre-fire vegetation management, suppression activities, and post-fire responses that are compatible with conservation and stewardship responsibilities. These Plans are a requirement of the Conservation Plan and will require approval by the Wildlife Agencies as well as the local fire authority. The Plans are anticipated to be complete in 2020.

Conservation Plan Annual Reports will be completed every year. These reports will include the tracking of impacts associated with covered freeway improvement projects, other management and monitoring activities on Preserves, status and activities, progress of the restoration projects, plan administration, and public outreach activities. Annual Reports are reviewed and must be approved by the Wildlife Agencies. In summary, the Annual Reports to date document that OCTA's activities through 2019 were in compliance and on target with the Conservation Plan commitments. OCTA will continue with its efforts to complete the required objectives in a timely manner. It is anticipated that the next Annual Report will be provided to the OCTA Board of Directors in mid-2020. The Annual Reports will be available for public review at www.PreservingOurLegacy.org.

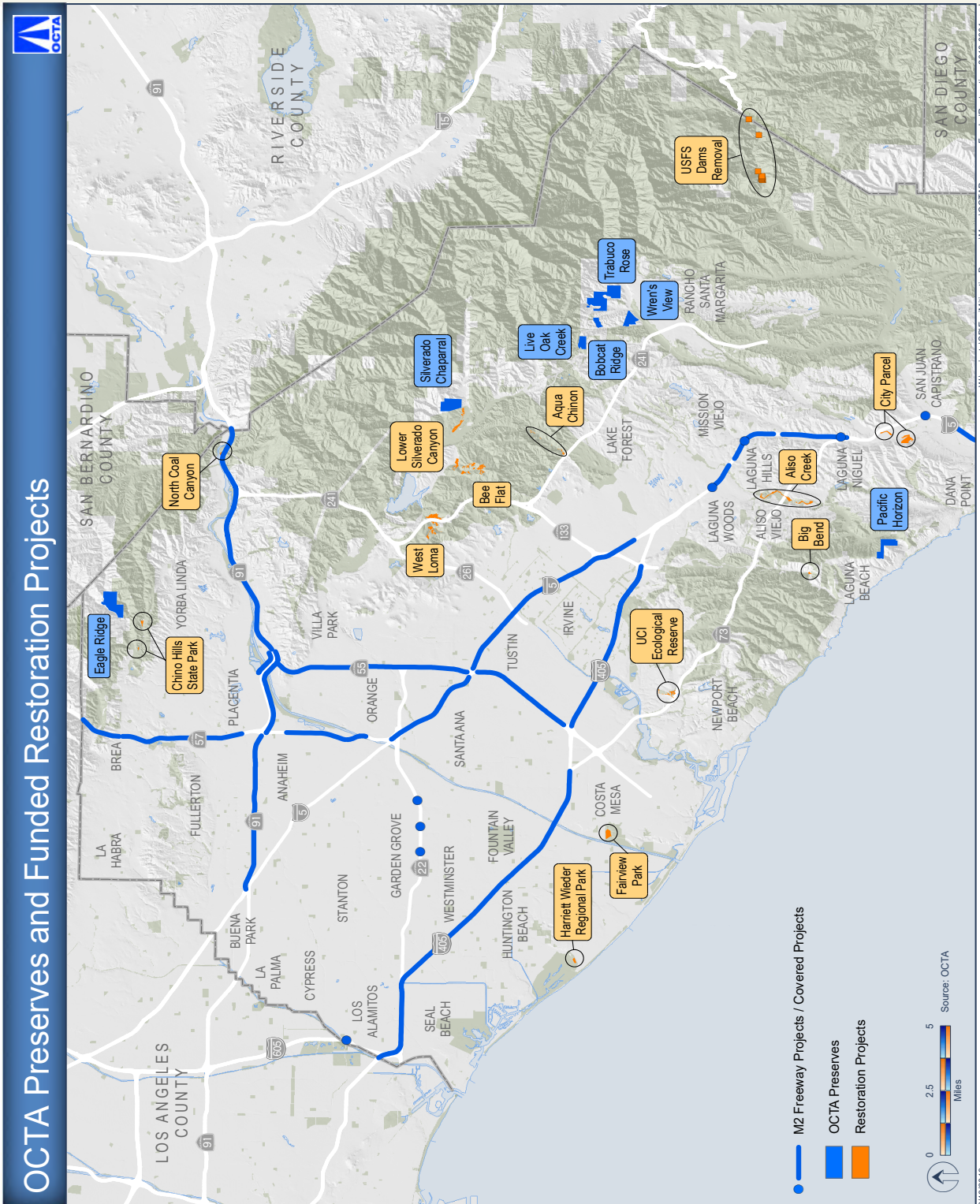
To date, multiple freeway projects have utilized the Conservation Plan and/or the Clean Water Act streamlined permitting process. Some of the projects that benefit from these mechanisms include: Project K (I-405 from SR-73 to I-605), Project C (I-5 from SR-73 to El Toro Road), and Project M (I-605 and Katella Interchange). If these mechanisms were not in place, it is anticipated that these projects would incur an additional \$700,000 to \$2.5 million (in 2018 dollars) in mitigation related costs and unknown schedule risks. Furthermore, a strong partnership has been forged through collaboration with the environmental community.

OCTA provides docent led hikes and equestrian rides in the Preserves. As a result of the stay-at-home order due to the COVID-19 pandemic, OCTA is postponing all scheduled hikes and equestrian rides until further notice. OCTA will release the revised 2020 Wilderness Preserve Hiking and Equestrian Riding Tour calendar once the order has been lifted. A list of scheduled 2020 wilderness Preserve tours will be available on the M2 website at www.PreservingOurLegacy.org.

As part of the safeguards in place for the M2 Program, a 12-member EOC makes recommendations on the allocation of environmental freeway mitigation funds and monitors the implementation of the Conservation Plan between OCTA and state and federal Wildlife Agencies. The EOC has led efforts with policy recommendations to the Board and has operated in an open and transparent manner that has garnered the trust of stakeholders, ranging from the environmental community to the recreational community to Orange County citizens.

See map of Preserves and funded restoration properties on the following page.

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8/13/2019 W:\projects\SP\EM\Millage\tonProgram\Map\psOCTA\Preserves_FundedRestoration_2019-0304.mxd



PROGRAM MANAGEMENT

PROGRAM MANAGEMENT OFFICE ▼

Contact: Francesca Ching, PMO Manager • (714) 560-5625

The M2 PMO provides inter-divisional coordination for all M-related projects and programs. To ensure agency-wide compliance, the PMO holds a bi-monthly committee meeting comprised of executive directors and key staff from each of the divisions, who meet to review significant issues and activities within the M2 programs. This quarter, the focus of the PMO has been on several major items, including the following.

Market Conditions Forecast and Risk Analysis

In September 2017, the Board was presented with a Next 10 Market Conditions Forecast and Risk Analysis Report conducted by Dr. Wallace Walrod and Dr. Marlon Boarnet. The consultant's analysis identified a strong potential for OCTA to experience an increasing cost environment during the Next 10 delivery years. This, coupled with a reduction in revenue, could present the potential for significant challenges in the delivery of M2 and Next 10.

The Board directed staff to continue to work with the consultant to monitor and track key early warning indicators and provide the Board with updates in a timeline consistent with updates on the M2 sales tax revenue forecast. The consultant team continues to analyze trends in material costs, labor costs, and general economic conditions to determine a range of potential cost impacts providing insight on OCTA's capital program twice a year.

The results of the 2019 fall analysis concluded that OCTA may experience a cost increase of between two percent and six percent during the 2020 through 2022 time period of construction activity. Staff incorporated information from this analysis into the M2 cashflow for the 2019 updated Next 10.

The consultant team completed the 2020 spring update of the forecasting model in early March. The report was finalized prior to the COVID-19 pandemic and showed a cooling of the prior increasing-cost environment. It is anticipated that current events may cause this to further change during the Next 10 delivery years. The fall 2020 update is underway and is anticipated to be presented to the Board in October.

Next 10 Delivery Plan

On November 14, 2016, the Board adopted the Next 10 providing staff guidance on the delivery of M2 projects and programs between 2017 and 2026. The PMO monitors the progress on the ten deliverables identified in the Next 10 and reports on them in this report. See [pages 3-6](#) for the status on deliverables.

Annually, OCTA reviews the M2 program assumptions and updates the cash flows and Next 10 assumptions as needed based on changes to the revenue forecast and project cost and schedule updates. The 2019 Next 10 incorporating the updated forecast of \$13.4 billion was presented to the Board at the November 11, 2019 meeting. The 2019 Next 10 identified five projects to be advanced through construction: I-5 between I-405 and Yale Avenue (Project B), I-5 between Yale Avenue and SR-55 (Project B), SR-55 between I-5 and SR-91 (Project



PROGRAM MANAGEMENT

F), SR-57 Northbound from Orangewood Avenue to Katella Avenue (Project G), and I-605 / Katella Interchange (Project M). The result of the Next 10 review demonstrated a delivery plan that remains solvent. COVID-19 pandemic impacts to sales tax revenue forecast and project cost and schedule will be evaluated during the annual Fall review of the delivery plan.

M2 Performance Assessment

The M2 ordinance includes a requirement for a performance assessment to be conducted at least once every three years to evaluate OCTA's efficiency and effectiveness in delivery of M2 as promised to the voters. Four performance assessments have been completed covering fiscal years FY 2006-07 through FY 2008-09, FY 2009-10 through FY 2011-12, FY 2012-13 through FY 2014-15 and FY 2015-16 through FY 2017-18. The most recent report commended OCTA's management of the M2 program with eight recommendations for enhancements. Staff implemented all eight recommendations for enhancements and provided a final report to the Board on January 13, 2020. There are no outstanding action items. Procurement efforts for the next performance assessment will begin late 2020.

M2 Ordinance Tracking Matrix

The M2 Ordinance and Transportation Investment Plan (Ordinance No. 3) includes numerous requirements that staff must follow in order to keep the promise to Orange County voters through the passage of M2. The PMO annually updates the M2 Ordinance Tracking Matrix to verify that OCTA is in compliance with all requirements detailed in Ordinance No. 3. The tracking matrix update for 2019 was finalized and was shared with the Taxpayer Oversight Committee (TOC) on May 12, 2020. This document is for PMO tracking purposes but is also helpful to TOC members during their annual compliance finding. On June 9, 2020, the TOC held the Measure M annual public hearing and determined that Measure M is being delivered as promised to Orange County voters for the 29th consecutive year.

PMO M2 Tracking Tools

The PMO has developed several tracking tools to assist in reporting consistency and increased transparency of the M2 program. See the following for a brief explanation of PMO M2 tracking tools and their current status:

Local Jurisdiction Fact Sheets

Fact Sheets have been created for the County of Orange and each of Orange County's 34 cities. The Fact Sheets provide data on transportation and transit projects (funded through Measure M, state, and federal grants) in a format which emphasizes key points concisely on a single printed page. The City Fact Sheets are utilized when speaking with the jurisdictions to provide a summary overview of how OCTA has provided the local agency with funding (M2 and other) and transportation improvements. During the quarter, staff initiated efforts to update the City Fact Sheets to include the 2020 Measure M2 community-based circulator projects approved by the Board on April 13, 2020, the 2020 Regional Capacity Program and Regional Traffic Signal Synchronization Program projects approved by the Board on May 11, 2020 in addition to programming updates.



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M2 Financial Picture

The M2 Financial Picture report provides a summary of each M2 project’s total expenditures to date (external and internal), programmed funding, current estimate at completion per the latest quarter, and M2 program cash flow assumptions through 2041. This document allows the PMO to appropriately track and answer questions regarding the M2 investment. The FY 2019-20 third quarter Financial Picture was updated in May 2020.

Engineer’s Estimate versus Bids Tracking

The Estimate versus Bid Tracking process allows the PMO to monitor the bidding environment for capital projects in the M2 Program. Capital projects that were planned for and began construction early in the M2 program have shown cost savings due to a favorable bidding environment during the recession. For these earlier M2 projects, savings can be primarily traced back to construction costs.

More recent market conditions analyses have indicated that OCTA will experience an increasing cost environment related to increased demand for construction services, lack of labor resources, and increased construction material costs. It should be noted that the engineer’s estimate is based on a number of factors – such as bidding history and historical and current market rates (materials, labor, equipment, etc.) – and adjusted accordingly for the project’s conditions. Because the estimate uses prior information, there may be a lag between an uptick or downtick in the market.

Project C (I-5 between Alicia Parkway and El Toro Road) was advertised for construction bids on May 11, 2020 and the bid opening was held on June 30, 2020. The apparent low bid is 11.74 percent below the engineer’s estimate and is being assessed for responsiveness.

The next M2 project anticipated to go out to bid in 2020 is Project R (Anaheim Canyon Metrolink Station Improvements). Staff will track and update the spreadsheet as appropriate.

M2 Administrative Safeguards

M2 includes a one percent cap on administrative expenses for salaries and benefits of OCTA administrative staff on an annual basis. In a legal opinion on M2, it was determined that in years where administrative salaries and benefits are above one percent, only one percent can be allocated with the difference borrowed from other, non-M2 fund sources. Conversely, in years where administrative salaries and benefits are below one percent, OCTA can still allocate the full one percent for administrative salaries and benefits but may use the unused portion to repay the amount borrowed from prior years in which administrative salaries and benefits were above one percent.

Based on the original M2 revenue projections, OCTA expected to receive \$24.3 billion in M2 funds, with one percent of total revenues available to fund administrative salaries and benefits over the life of the program. As M2 revenue projections declined (currently \$13.4 billion or 45 percent lower) as a result of economic conditions, the funds available to support administrative salaries and benefits have also declined from the original expectations. While revenue has declined, the administrative effort needed to deliver M2 remains the same. Additionally, the initiation of

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the Early Action Plan (EAP) in 2007 required administrative functions four years prior to revenue collection. While the EAP resulted in project savings and significant acceleration of the program, administrative functions were required during this time with associated administrative costs.

As a result of the aforementioned factors, OCTA has incurred higher than one percent administrative costs. OCTA currently has Board approval to use funds from the Orange County Unified Transportation Trust (OCUTT) fund to cover costs above the one percent, with the understanding that those funds will be repaid with interest in future years that OCTA administrative costs fall below the one percent cap. As of June 30, 2012, OCTA had borrowed approximately \$5.2 million from OCUTT. Over the last few years, OCTA has experienced under-runs in the one percent administration cap and has made payments to OCUTT to reduce the outstanding balance. As of the most recent draft June 2020 Taxpayer Oversight Committee Report, the outstanding principal balance was \$0 and the remaining interest owed to OCUTT was \$1.1 million.

Staff meets quarterly to review all labor costs to ensure proper cost allocation under M2. After the quarter ended, staff met on July 15, 2020 to review labor reports for this quarter to ensure costs attributed to the one percent cap are accurately reported and there were no misplaced project related costs, as well as to ensure project costs were applied to the correct projects.

Taxpayer Oversight Committee

The M2 Ordinance requires a Taxpayer Oversight Committee (TOC) oversee the implementation of the M2 plan and ensure compliance with all requirements of Measure M2 Ordinance No. 3. With the exception of the elected Auditor Controller of Orange County who is identified as the chair in the Ordinance, all other members are not elected or appointed officials. Members are recruited and screened for expertise and experience independently by the Orange County Grand Jurors Association and are selected from the qualified pool by lottery. The TOC is scheduled to meet every other month. The TOC upholds the integrity of the measure by monitoring the use of M2 funds and ensuring compliance. The responsibilities of the 11-member Measure M2 TOC are to:

- Ensure all transportation revenue collected from M2 is spent on the projects approved by the voters as part of the plan.
- Ratify any changes in the plan and recommend any major changes go back to the voters for approval.
- Participate in ensuring that all jurisdictions in Orange County conform with the requirements of M2 before receipt of any tax monies for local projects.
- Hold annual public meetings regarding the expenditure and status of funds generated by M2.
- Review independent audits of issues regarding the plan and performance of the Orange County Local Transportation Authority regarding the expenditure of M2 sales tax monies.
- Annually certify whether M2 funds have been spent in compliance with the plan.



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On March 12, 2020 and March 18, 2020, the Governor enacted Executive Orders N-25-20 and N-29-20 authorizing a local legislative body to hold public meetings via teleconferencing and make public meetings accessible telephonically or electronically to all members of the public due to COVID-19. As a result, the TOC held a special meeting on May 12, 2020 and again on June 9, 2020 via teleconference for the first time in the history of the TOC.

At the May 12, 2020 meeting, the TOC received presentations on the Proposed Measure M2 Maintenance of Effort adjustment, Proposed Changes to Agreed-Upon Procedures and Selection of Cities for Audit, and the M2 Ordinance Compliance Matrix. The TOC also reviewed Measure M2 Audits for Santa Ana and Stanton, received an OCLTA audit from Crowe LLP and approved the Annual Adoption of Audit Charter for the Audit Subcommittee.

The Taxpayer Oversight Committee held its annual Measure M public hearing on Tuesday, June 9, 2020 and unanimously found that the Orange County Transportation Authority is proceeding in accordance with the Measure M2 Ordinance for the 29th consecutive year and the Chair certified that M2 revenues have been spent in compliance with the Plan. In addition, the TOC received a presentation on the Measure M2 Quarterly Progress Report for the first quarter of 2020, reviewed the 2020 Call for Projects and Programming Recommendations for the Comprehensive Transportation Funding Programs and received updates on the Proposed Amendment to OCLTA Measure M2 Ordinance No. 3, the Measure M2 Senior Mobility Program Temporary Guideline Requirement Suspension and the I-405 Improvement Project.

On June 22, 2020, new member recruitment for two member term expirations took place this quarter with two new members selected by lottery by the Board.

Two subcommittees assist the TOC with their safeguard responsibilities: the Annual Eligibility Review (AER) Subcommittee and the Audit Subcommittee. The AER Subcommittee meets a few times per year, as needed, to ensure local jurisdictions have submitted the following documents in order to be deemed eligible to receive M2 funding: Congestion Management Program, Mitigation Fee Program, Local Traffic Signal Synchronization Plan, Pavement Management Plan, and an Expenditure Report. The Audit Subcommittee meets bi-monthly and is responsible for reviewing the quarterly M2 Revenue and Expenditure Reports and the Annual M2 Audit, as well as any other items related to M2 audits.



PROGRAM MANAGEMENT

M2 FINANCING AND SCHEDULE OF FUNDING ▼

Contact: Sam Kaur, Revenue and Grants • (714) 560-5889

Revenue Forecast and Collection

OCTA contracts with three universities (Chapman University; University of California, Los Angeles; and California State University, Fullerton) to provide a long-range forecast of taxable sales to forecast M2 revenues for purposes of planning projects and program expenditures.

In the past, OCTA averaged the three university taxable sales projections to develop a long-range forecast of M2 taxable sales. On March 28, 2016, the Board approved a new sales tax forecast methodology as part of the FY 2016-17 budget development process. This methodology includes a more conservative approach by utilizing the MuniServices, Inc. forecast for the first five years and the three-university average for the remaining years.

Revenue forecast information is updated quarterly based on the actual revenues received for the previous quarter. As required by law, OCTA pays the California Department of Tax and Fee Administration (CDTFA) a fee to collect the sales tax. The M2 Ordinance estimated this fee to be 1.5 percent of the revenues collected over the life of the program.

Current Forecast

Original projections in 2005 during the development of M2 estimated total nominal M2 sales tax collections at \$24.3 billion. Based on the most current forecasts updated in October 2019, OCTA staff forecasts total nominal sales tax collections over the life of M2 to be approximately \$13.4 billion. This is approximately \$10.9 billion (45 percent) less than the original 2005 projection.

OCTA's assumed growth rate for FY 2018-19 budget was 3.7 percent or gross annual sales tax of \$332 million. FY 2018-19 gross actuals were closely in alignment with the budget closing the year at approximately \$332 million.

For FY 2019-20, the assumed budget growth rate is 2.5 percent. However, this forecast does not include the impact of the COVID-19 pandemic that began in March 2020. This pandemic has caused uncertainty to the global, national, and local economy. Locally, the Governor issued stay-at-home order was in effect through the fourth quarter of FY 2019-20. As a result, it has become more challenging to forecast the economic impact, long-term effects of COVID-19, and the stay-at-home order will have on M2 sales tax revenues both in the near and foreseeable future. In the fourth quarter alone, OCTA anticipates M2 sales tax revenues to decline by 33 percent, resulting in an overall 8.7 percent decline year-over-year, when compared to FY 2018-19.

OCTA staff is working closely with MuniServices, Inc. and the three universities to monitor and determine the impact on OCTA's sales tax collections and long-term forecast.

FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2020 (Unaudited) Schedule 1

(\$ in thousands)	Quarter Ended June 30, 2020	Year to Date June 30, 2020 (A)	Period from Inception to June 30, 2020 (B)
Revenues:			
Sales taxes	\$ 48,818	\$ 303,388	\$ 2,717,117
Other agencies' share of Measure M2 costs:			
Project related	14,685	78,575	746,359
Non-project related	-	-	454
Interest:			
Operating:			
Project related	997	932	2,160
Non-project related	662	16,942	69,298
Bond proceeds	1,590	11,751	73,238
Debt service	6	247	1,060
Commercial paper	-	-	393
Right-of-way leases	24	228	1,169
Proceeds on sale of assets held for resale	-	-	12,201
Donated assets held for resale			
Project related	-	-	2,071
Miscellaneous:			
Project related	-	41	311
Non-project related	-	-	100
Total revenues	<u>66,782</u>	<u>412,104</u>	<u>3,625,931</u>
Expenditures:			
Supplies and services:			
Sales tax administration fees	323	3,236	29,528
Professional services:			
Project related	11,222	29,378	411,180
Non-project related	1,275	3,732	30,517
Administration costs:			
Project related	2,524	10,087	83,356
Non-project related:			
Salaries and Benefits	945	2,974	28,081
Other	1,326	5,305	47,320
Other:			
Project related	42	153	5,180
Non-project related	31	103	5,018
Payments to local agencies:			
Project related	32,139	92,703	1,038,560
Capital outlay:			
Project related	118,634	266,810	1,292,793
Non-project related	-	-	31
Debt service:			
Principal payments on long-term debt	-	8,530	59,030
Interest on long-term debt and commercial paper	6	35,615	214,229
Total expenditures	<u>168,467</u>	<u>458,626</u>	<u>3,244,823</u>
Excess (deficiency) of revenues over (under) expenditures	<u>(101,685)</u>	<u>(46,522)</u>	<u>381,108</u>
Other financing sources (uses):			
Transfers out:			
Project related	(26,805)	(56,521)	(261,200)
Transfers in:			
Project related	785	15,301	173,771
Bond proceeds	-	-	804,625
Payment to refunded bond escrow agent	-	-	(45,062)
Total other financing sources (uses)	<u>(26,020)</u>	<u>(41,220)</u>	<u>672,134</u>
Excess (deficiency) of revenues over (under) expenditures and other sources (uses)	<u>\$ (127,705)</u>	<u>\$ (87,742)</u>	<u>\$ 1,053,242</u>

FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2020 (Unaudited) Schedule 2

<i>(\$ in thousands)</i>	Quarter Ended June 30, 2020 (actual)	Year to Date June 30, 2020 (actual)	Period from Inception through June 30, 2020 (actual)	Period from July 1, 2020 through March 31, 2041 (forecast)	Total
		(C.1)	(D.1)	(E.1)	(F.1)
Revenues:					
Sales taxes	\$ 48,818	\$ 303,388	\$ 2,717,117	\$ 7,967,453	\$ 10,684,570
Operating interest	662	16,942	69,298	119,512	188,810
Subtotal	<u>49,480</u>	<u>320,330</u>	<u>2,786,415</u>	<u>8,086,965</u>	<u>10,873,380</u>
Other agencies share of M2 costs	-	-	454	-	454
Miscellaneous	-	-	100	-	100
Total revenues	<u>49,480</u>	<u>320,330</u>	<u>2,786,969</u>	<u>8,086,965</u>	<u>10,873,934</u>
Administrative expenditures:					
Sales tax administration fees	323	3,236	29,528	88,121	117,649
Professional services	1,275	3,732	26,742	76,044	102,786
Administration costs:					
Salaries and Benefits	945	2,974	28,081	81,027	109,108
Other	1,326	5,305	47,320	137,337	184,657
Other	31	84	1,998	6,387	8,385
Capital outlay	-	-	31	-	31
Environmental cleanup	718	2,492	44,357	159,324	203,681
Total expenditures	<u>4,618</u>	<u>17,823</u>	<u>178,057</u>	<u>548,240</u>	<u>726,297</u>
Net revenues	<u>\$ 44,862</u>	<u>\$ 302,507</u>	<u>\$ 2,608,912</u>	<u>\$ 7,538,725</u>	<u>\$ 10,147,637</u>
		(C.2)	(D.2)	(E.2)	(F.2)
Bond revenues:					
Proceeds from issuance of bonds	\$ -	\$ -	\$ 804,625	\$ 298,950	\$ 1,103,575
Interest revenue from bond proceeds	1,590	11,751	73,238	80,824	154,062
Interest revenue from debt service funds	6	247	1,060	4,616	5,676
Interest revenue from commercial paper	-	-	393	-	393
Total bond revenues	<u>1,596</u>	<u>11,998</u>	<u>879,316</u>	<u>384,390</u>	<u>1,263,706</u>
Financing expenditures and uses:					
Professional services	-	-	3,775	1,046	4,821
Payment to refunded bond escrow	-	-	45,062	-	45,062
Bond debt principal	-	8,530	59,030	926,690	985,720
Bond debt and other interest expense	6	35,615	214,229	581,608	795,837
Other	-	19	3,020	-	3,020
Total financing expenditures and uses	<u>6</u>	<u>44,164</u>	<u>325,116</u>	<u>1,509,344</u>	<u>1,834,460</u>
Net bond revenues (debt service)	<u>\$ 1,590</u>	<u>\$ (32,166)</u>	<u>\$ 554,200</u>	<u>\$ (1,124,954)</u>	<u>\$ (570,754)</u>

FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2020 (Unaudited) Schedule 3

Project	Description	Net Revenues through June 30, 2020	Total Net Revenues
(G)		(H)	(I)
(\$ in thousands)			
Freeways (43% of Net Revenues)			
A	I-5 Santa Ana Freeway Interchange Improvements	\$ 102,831	\$ 399,969
B	I-5 Santa Ana/SR-55 to El Toro	65,680	255,470
C	I-5 San Diego/South of El Toro	137,176	533,577
D	I-5 Santa Ana/San Diego Interchange Upgrades	56,447	219,558
E	SR-22 Garden Grove Freeway Access Improvements	26,256	102,120
F	SR-55 Costa Mesa Freeway Improvements	80,077	311,466
G	SR-57 Orange Freeway Improvements	56,601	220,154
H	SR-91 Improvements from I-5 to SR-57	30,630	119,140
I	SR-91 Improvements from SR-57 to SR-55	91,125	354,442
J	SR-91 Improvements from SR-55 to County Line	77,057	299,722
K	I-405 Improvements between I-605 to SR-55	234,716	912,954
L	I-405 Improvements between SR-55 to I-5	69,947	272,065
M	I-605 Freeway Access Improvements	4,376	17,020
N	All Freeway Service Patrol	32,818	127,650
	Freeway Mitigation	56,092	218,174
	Subtotal Projects	1,121,829	4,363,481
	Net (Bond Revenue)/Debt Service	-	-
	Total Freeways	\$ 1,121,829	\$ 4,363,481
	%		
Street and Roads Projects (32% of Net Revenues)			
O	Regional Capacity Program	\$ 260,895	\$ 1,014,776
P	Regional Traffic Signal Synchronization Program	104,353	405,893
Q	Local Fair Share Program	469,604	1,826,575
	Subtotal Projects	834,852	3,247,244
	Net (Bond Revenue)/Debt Service	-	-
	Total Street and Roads Projects	\$ 834,852	\$ 3,247,244
	%		

FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2020 (Unaudited) Schedule 3

Expenditures through June 30, 2020 (J)	Reimbursements through June 30, 2020 (K)	Net M2 Cost (L)
\$ 10,048	\$ 7,421	\$ 2,627
10,429	7,952	2,477
188,274	49,554	138,720
2,344	527	1,817
5	-	5
36,515	20,814	15,701
51,412	12,433	38,979
34,913	824	34,089
24,114	22,958	1,156
7,022	5,618	1,404
718,221	123,391	594,830
9,228	6,954	2,274
2,149	16	2,133
5,944	-	5,944
55,190	2,995	52,195
<u>1,155,808</u>	<u>261,457</u>	<u>894,351</u>
53,565	-	53,565
<u>\$ 1,209,373</u>	<u>\$ 261,457</u>	<u>\$ 947,916</u>
		42.0%
\$ 772,101	\$ 506,689	\$ 265,412
69,396	6,342	63,054
<u>459,703</u>	<u>77</u>	<u>459,626</u>
1,301,200	513,108	788,092
<u>59,495</u>	<u>-</u>	<u>59,495</u>
<u>\$ 1,360,695</u>	<u>\$ 513,108</u>	<u>\$ 847,587</u>
		37.6%

FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2020 (Unaudited) Schedule 3

Project	Description	Net Revenues through June 30, 2020	Total Net Revenues
	(G)	(H)	(I)
	(\$ in thousands)		
Transit Projects (25% of Net Revenues)			
R	High Frequency Metrolink Service	\$ 247,612	\$ 1,012,076
S	Transit Extensions to Metrolink	230,306	895,801
T	Metrolink Gateways	31,690	51,867
U	Expand Mobility Choices for Seniors and Persons with Disabilities	84,698	351,871
V	Community Based Transit/Circulators	52,164	202,899
W	Safe Transit Stops	5,758	22,395
	Subtotal Projects	652,228	2,536,909
	Net (Bond Revenue)/Debt Service	-	-
	Total Transit Projects	\$ 652,228	\$ 2,536,909
	%		
Environmental Cleanup (2% of Revenues)			
X	Clean Up Highway and Street Runoff that Pollutes Beaches	\$ 55,728	\$ 217,468
	Net (Bond Revenue)/Debt Service	-	-
	Total Environmental Cleanup	\$ 55,728	\$ 217,468
	%		
Taxpayer Safeguards and Audits			
	Collect Sales Taxes (1.5% of Sales Taxes)	\$ 40,757	\$ 160,269
	%		
	Oversight and Annual Audits (1% of Revenues)	\$ 27,864	\$ 108,734
	%		

FINANCING

Schedule of Revenues, Expenditures and Changes in Fund Balance as of June 30, 2020 (Unaudited) Schedule 3

Expenditures through June 30, 2020 (J)	Reimbursements through June 30, 2020 (K)	Net M2 Cost (L)
\$ 291,208	\$ 98,743	\$ 192,465
106,115	2,133	103,982
98,220	60,956	37,264
82,411	88	82,323
11,809	1,239	10,570
1,141	26	1,115
<u>590,904</u>	<u>163,185</u>	<u>427,719</u>
<u>33,273</u>	<u>-</u>	<u>33,273</u>
<u>\$ 624,177</u>	<u>\$ 163,185</u>	<u>\$ 460,992</u>
		20.4%
<hr/>		
<u>\$ 44,357</u>	<u>\$ 292</u>	<u>\$ 44,065</u>
<u>-</u>	<u>-</u>	<u>-</u>
<u>\$ 44,357</u>	<u>\$ 292</u>	<u>\$ 44,065</u>
		1.6%
<hr/>		
<u>\$ 29,528</u>	<u>\$ -</u>	<u>\$ 29,528</u>
		1.1%
<hr/>		
<u>\$ 28,081</u>	<u>\$ 217</u>	<u>\$ 27,864</u>
		1.0%

LOCAL FAIR SHARE

M2 Funds		
ENTITY	4TH QUARTER FY 2019-20	FUNDS TO DATE
ALISO VIEJO	191,595.95	\$5,725,771
ANAHEIM	1,657,131.51	\$47,358,459
BREA	271,268.01	\$8,228,606
BUENA PARK	410,245.73	\$12,824,563
COSTA MESA	705,908.04	\$20,959,473
CYPRESS	243,473.36	\$7,576,903
DANA POINT	162,812.55	\$4,782,198
FOUNTAIN VALLEY	291,731.66	\$8,918,468
FULLERTON	613,922.39	\$18,686,637
GARDEN GROVE	700,585.87	\$21,367,836
HUNTINGTON BEACH	932,945.53	\$27,957,227
IRVINE	1,358,225.47	\$38,950,253
LAGUNA BEACH	120,361.75	\$3,667,293
LAGUNA HILLS	160,227.74	\$4,896,539
LAGUNA NIGUEL	311,986.52	\$9,568,990
LAGUNA WOODS	59,117.44	\$1,829,554
LA HABRA	249,710.55	\$7,565,834
LAKE FOREST	384,994.35	\$11,391,354

LOCAL FAIR SHARE

M2 Funds		
ENTITY	4TH QUARTER FY 2019-20	FUNDS TO DATE
LA PALMA	71,092.16	\$2,358,064
LOS ALAMITOS	61,713.65	\$1,866,017
MISSION VIEJO	438,335.89	\$13,435,174
NEWPORT BEACH	524,884.27	\$15,814,557
ORANGE	781,900.38	\$23,684,707
PLACENTIA	223,471.78	\$6,591,810
RANCHO SANTA MARGARITA	198,886.01	\$6,085,747
SAN CLEMENTE	270,902.84	\$8,086,266
SAN JUAN CAPISTRANO	181,412.72	\$5,450,043
SANTA ANA	1,286,627.89	\$39,952,858*
SEAL BEACH	113,106.45	\$3,593,655
STANTON	127,575.34	\$4,288,988*
TUSTIN	429,679.06	\$12,859,615
VILLA PARK	24,498.02	\$749,807
WESTMINSTER	399,630.66	\$12,292,810
YORBA LINDA	287,297.51	\$8,639,760
COUNTY UNINCORPORATED	923,760.78	\$27,137,689
TOTAL M2 FUNDS	15,171,019.83	\$455,143,524

**Includes disbursements to the City of Santa Ana and City of Stanton that were previously suspended. On May 13, 2019, the Board determined that the cities were ineligible to receive net M2 revenues. Funds were suspended until the cities achieved compliance. On April 13, 2020, based on compliance audit results, the Board determined the cities eligible to receive net M2 revenues again.*

CAPITAL ACTION PLAN

Grey = Milestone achieved

Green = Forecast milestone meets or exceeds plan

Yellow = Forecast milestone is one to three months later than plan

Red = Forecast milestone is over three months later than plan

Non-bolded = Planned/Baseline

Bold = Forecasted/Actual

Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
Freeway Projects:					
I-5, SR-55 to SR-57	\$38.1	Jul-11	Jun-15	Dec-17	Apr-21
Project A	\$41.5	Jun-11	Jun-15	Nov-18	Apr-21
I-5, I-405 to Yale Avenue	\$230.5	May-14	TBD	TBD	TBD
Project B	\$230.5	May-14	Sep-21	Jul-25	Jan-29
I-5, Yale Avenue to SR-55	\$200.4	May-14	TBD	TBD	TBD
Project B	\$200.4	May-14	Apr-21	Feb-25	Aug-28
I-5, Pico to Vista Hermosa	\$113.0	Jun-09	Jun-11	Dec-14	Aug-18
Project C	\$83.4	Jun-09	Jun-11	Dec-14	Aug-18
I-5, Vista Hermosa to Pacific Coast Highway	\$75.6	Jun-09	Jun-11	Dec-13	Mar-17
Project C	\$75.4	Jun-09	Jun-11	Jun-14	Jul-17
I-5, Pacific Coast Highway to San Juan Creek Road	\$70.7	Jun-09	Jun-11	Oct-13	Sep-16
Project C	\$74.3	Jun-09	Jun-11	Dec-13	Jul-18
I-5, I-5/Ortega Interchange	\$90.9	Sep-05	Jan-09	Aug-12	Sep-15
Project D	\$79.8	Sep-05	Jan-09	Aug-12	Jan-16
I-5, I-5/Ortega Interchange (Landscape)	N/A	N/A	N/A	N/A	N/A
Project D	N/A	N/A	Jan-14	Sep-15	Sep-16
I-5, SR-73 to Oso Parkway	\$151.9	Sep-11	Mar-15	Dec-18	Apr-25
Project C & D	\$196.1	Oct-11	Mar-15	Dec-19	Apr-25
I-5, Oso Parkway to Alicia Parkway	\$196.2	Sep-11	Nov-14	Jun-18	Nov-23
Project C & D	\$203.1	Oct-11	Nov-14	Mar-19	Nov-23
I-5, Alicia Parkway to El Toro Road	\$133.6	Sep-11	Mar-15	May-19	Jun-23
Project C	\$165.9	Oct-11	Mar-15	Aug-20	Sep-24

*Status through June 2020. For detailed project information, please refer to the individual project section within this report.

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Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
I-5, SR-73 to El Toro Road (Landscape)	TBD	N/A	TBD	TBD	TBD
Project C	\$12.4	N/A	Jul-22	Nov-24	Jun-26
I-5, I-5/El Toro Road Interchange	TBD	Apr-17	TBD	TBD	TBD
Project D Cost/Schedule Risk	TBD	Apr-17	TBD	TBD	TBD
SR-55, I-405 to I-5	\$410.9	Feb-11	Sep-17	Jul-21	Aug-25
Project F Cost/Schedule Risk	\$410.9	May-11	Sep-17	Dec-21	Jan-26
SR-55, I-5 to SR-91	TBD	Dec-16	TBD	TBD	TBD
Project F	TBD	Dec-16	TBD	TBD	TBD
SR-57 Northbound (NB), Orangewood Avenue to Katella Avenue	TBD	Apr-16	TBD	TBD	TBD
Project G	TBD	Apr-16	TBD	TBD	TBD
SR-57 (NB), Katella Avenue to Lincoln Avenue	\$78.7	Apr-08	Jul-08	Aug-11	Sep-14
Project G	\$38.0	Apr-08	Aug-08	Oct-11	Apr-15
SR-57 (NB), Katella Avenue to Lincoln Avenue (Landscape)	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	May-09	Sep-17	Jun-18
SR-57 (NB), Orangethorpe Avenue to Yorba Linda Boulevard	\$80.2	Aug-05	Feb-08	Oct-10	May-14
Project G	\$52.3	Aug-05	Feb-08	Oct-10	Nov-14
SR-57 (NB), Yorba Linda Boulevard to Lambert Road	\$79.3	Aug-05	Feb-08	Oct-10	Sep-14
Project G	\$54.1	Aug-05	Feb-08	Oct-10	May-14
SR-57 (NB), Orangethorpe Avenue to Lambert Road (Landscape)	N/A	N/A	N/A	N/A	N/A
Project G	N/A	N/A	Oct-14	Feb-18	Apr-19
SR-57 (NB), Lambert Road to Tonner Canyon	TBD	TBD	TBD	TBD	TBD
Project G	TBD	Jul-23	TBD	TBD	TBD

*Status through June 2020. For detailed project information, please refer to the individual project section within this report.

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Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
SR-91 Westbound (WB), I-5 to SR-57	\$78.1	Jul-07	Oct-09	Nov-12	Apr-16
Project H	\$59.2	Jul-07	Mar-10	Jan-13	Jun-16
SR-91 Westbound (WB), I-5 to SR-57 (Landscape)	N/A	N/A	N/A	N/A	N/A
Project H	N/A	N/A	Nov-14	Mar-17	Nov-17
SR-91, SR-55 to Lakeview Avenue (Segment 1)	\$100.9	Jan-15	Mar-20	Feb-24	Sep-27
Project I	\$100.9	Jan-15	Mar-20	Feb-24	Sep-27
SR-91, La Palma Avenue to SR-55 (Segment 2)	\$208.4	Jan-15	Jun-20	TBD	TBD
Project I	\$208.4	Jan-15	Jun-20	Apr-24	Dec-27
SR-91, Acacia Street to La Palma Ave (Segment 3)	\$116.2	Jan-15	TBD	TBD	TBD
Project I	\$116.2	Jan-15	Nov-20	Sep-24	May-28
SR-91 (WB), Tustin Interchange to SR-55	\$49.9	Jul-08	Jul-11	Oct-13	Jul-16
Project I	\$42.5	Jul-08	Jun-11	Oct-13	Jul-16
SR-91, SR-55 to SR-241	\$128.4	Jul-07	Jun-09	Sep-11	Dec-12
Project J	\$79.7	Jul-07	Apr-09	May-11	Mar-13
SR-91, SR-55 to SR-241 (Landscape)	N/A	N/A	N/A	N/A	N/A
Project J	N/A	N/A	May-12	Oct-13	Feb-15
SR-91 Eastbound, SR-241 to SR-71	\$104.5	Mar-05	Jul-07	Jul-09	Nov-10
Project J	\$57.8	Mar-05	Jul-07	Aug-09	Jan-11
I-405, I-5 to SR-55	TBD	Dec-14	TBD	TBD	TBD
Project L	TBD	Dec-14	TBD	TBD	TBD
I-405, SR-55 to I-605 (Design-Build)	\$1,900.0	Mar-09	Mar-14	Nov-16	May-23
Project K	\$1,900.0	Mar-09	Mar-14	Nov-16	May-23

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Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
I-605, I-605/Katella Interchange	\$29.0	Aug-16	TBD	TBD	TBD
Project M	\$29.0	Aug-16	Dec-20	Jun-23	Feb-25
Grade Separation Projects:					
Raymond Avenue Railroad Grade Separation	\$77.2	Feb-09	Mar-10	May-13	Aug-18
Project O	\$125.5	Feb-09	Mar-10	Feb-14	May-18
State College Boulevard Railroad Grade Separation (Fullerton)	\$73.6	Dec-08	Jul-06	May-13	May-18
Project O	\$100.2	Dec-08	Jul-06	Feb-14	Mar-18
Placentia Avenue Railroad Grade Separation	\$78.2	Jan-01	Jan-09	Jun-11	Nov-14
Project O	\$64.5	Jan-01	Jan-09	Jul-11	Dec-14
Kraemer Boulevard Railroad Grade Separation	\$70.4	Jan-01	Jan-09	Aug-11	Oct-14
Project O	\$63.8	Jan-01	Feb-09	Sep-11	Dec-14
Orangethorpe Avenue Railroad Grade Separation	\$117.4	Jan-01	Feb-09	May-12	Sep-16
Project O	\$105.9	Jan-01	Feb-09	Jan-13	Oct-16
Tustin Avenue/Rose Drive Railroad Grade Separation	\$103.0	Jan-01	Feb-09	Aug-12	May-16
Project O	\$96.6	Jan-01	Feb-09	Feb-13	Oct-16
Lakeview Avenue Railroad Grade Separation	\$70.2	Jan-01	Feb-09	May-13	Mar-17
Project O	\$110.7	Jan-01	Feb-09	Nov-13	Jun-17
Rail and Station Projects:					
Sand Canyon Avenue Railroad Grade Separation	\$55.6	N/A	Jan-04	Feb-11	May-14
Project R	\$61.9	N/A	Jan-04	Feb-11	Jan-16

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Capital Projects	Cost	Schedule			
	Baseline/Forecast	Plan/Forecast			
	(millions)	Begin Environmental	Begin Design	Award Contract	Complete Construction
Rail-Highway Grade Crossing Safety Enhancement	\$94.4	Jan-08	Jan-08	Aug-09	Dec-11
Project R	\$90.4	Jan-08	Jan-08	Aug-09	Dec-11
San Clemente Beach Trail Safety Enhancements	\$6.0	Sep-10	Feb-12	Oct-12	Jan-14
Project R	\$5.0	Sep-10	Feb-12	May-13	Mar-14
San Juan Capistrano Passing Siding	\$25.3	Aug-11	Mar-15	Dec-16	Feb-21
	\$36.4	Aug-11	Mar-15	Mar-19	Feb-21
Placentia Metrolink Station and Parking Structure	\$34.8	Jan-03	Oct-08	TBD	TBD
Project R Cost/Schedule Risk	\$40.1	Jan-03	Oct-08	May-21	Dec-22
Orange County Maintenance Facility	TBD	Apr-20	TBD	TBD	TBD
Project R	TBD	Apr-20	TBD	TBD	TBD
Anaheim Canyon Station	\$27.9	Jan-16	Mar-19	Nov-19	Mar-21
	\$29.9	Jan-16	Mar-18	Dec-20	Jul-22
Orange Station Parking Expansion	\$33.2	Dec-09	Nov-10	Nov-16	Feb-19
	\$30.9	Dec-09	Nov-10	Jun-17	Feb-19
Fullerton Transportation Center - Elevator Upgrades	\$3.5	N/A	Jan-12	Sep-14	Mar-17
	\$4.2	N/A	Jan-12	Apr-15	May-19
Laguna Niguel/Mission Viejo Station ADA Ramps	\$3.5	Jul-13	Jul-13	Jan-15	Apr-17
	\$5.0	Jul-13	Jul-13	Oct-15	Sep-17
Anaheim Regional Transportation Intermodal Center	\$227.4	Apr-09	Jun-09	Jul-12	Nov-14
Project R & T	\$232.2	Apr-09	Jun-09	Sep-12	Dec-14
OC Streetcar	\$424.4	Aug-09	Feb-16	Aug-18	Dec-21
Project S Cost/Schedule Risk	\$424.4	Aug-09	Feb-16	Sep-18	Apr-22

*Status through June 2020. For detailed project information, please refer to the individual project section within this report.

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January 2018

FREEWAY IMPROVEMENT PROGRAM

Interstate 5 (I-5) Projects

- A** I-5, SR-55 to SR-57
- B** I-5, El Toro "Y" Area to SR-55
- C** I-5, SR-73 to El Toro Road
- C** I-5, Avenida Pico to San Juan Creek Road
- D** I-5 Highway Interchanges

State Route 22 (SR-22) Projects

- E** SR-22 Access Improvements

State Route 55 (SR-55) Projects

- F** SR-55, I-405 to I-5
- F** SR-55, I-5 to SR-91

State Route 57 (SR-57) Projects

- G** SR-57 NB, Orangewood Avenue to Katella Avenue
- G** SR-57 NB, Katella Avenue to Lincoln Avenue
- G** SR-57 NB, Orangethorpe Avenue to Lambert Road
- G** SR-57 NB, Lambert Road to Tonner Canyon Road

State Route 91 (SR-91) Projects

- H** SR-91 WB, I-5 to SR-57
- I** SR-91, SR-57 to SR-55
- J** SR-91, SR-55 to Riverside County Line

Interstate 405 (I-405) Projects

- K** I-405, I-605 to SR-73
- L** I-405, SR-55 to El Toro "Y" Area

Interstate 605 (I-605) Projects

- M** I-605 Katella Interchange Improvements

Freeway Mitigation Restoration Projects

Part of Projects A-M

Freeway Mitigation Acquisition Projects

Part of Projects A-M

STREETS & ROADS

- O** Grade Separation Program (shown)
- P** Signal Synchronization Project Corridors

TRANSIT PROJECTS

- R** Grade Separation and Station Improvement Projects
- S** Transit Extensions to Metrolink
- T** Metrolink Station Conversion to accept Future High-Speed Rail Systems

OC GO PROJECTS NOT SHOWN

- Project N:** Freeway Service Patrol
- Project O:** Streets & Roads - Regional Capacity Program
- Project Q:** Local Fair Share Program
- Project R:** Grade crossing and Trail Safety Enhancements
Metrolink Service Expansion Program
- Project U:** Senior Mobility Program (SMP), Senior Non-emergency Medical Transportation Program (SNEMT), and Fare Stabilization Programs
- Project V:** Community Based Transit/Circulators
- Project W:** Safe Transit Stops
- Project X:** Environmental Cleanup Program



September 23, 2020

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Orange County Transportation Authority Investment and Debt Programs Report – August 2020

Overview

The Orange County Transportation Authority has a comprehensive investment and debt program to fund its immediate and long-term cash flow demands. Each month, the Treasurer submits a report detailing investment allocation, performance, compliance, outstanding debt balances, and credit ratings for the Orange County Transportation Authority's debt program. This report is for the month ending August 31, 2020. The report has been reviewed and is consistent with the investment practices contained in the Investment Policy.

Recommendation

Receive and file as an information item.

Discussion

As of August 31, 2020, the Orange County Transportation Authority's (OCTA) outstanding investments totaled \$2 billion. The portfolio is divided into three managed portfolios: the liquid portfolio for immediate cash needs, the short-term portfolio for future budgeted expenditures, and the bond proceeds portfolio to meet Measure M2 (M2) transportation program needs. In addition to these portfolios, OCTA has funds invested in debt service reserve funds for the 91 Express Lanes Program.

The weighted average book yield for the OCTA portfolio is 1.8 percent. The book yield measures the exact income, or interest, on a bond without regard to market price change. The yield is the income return on an investment, such as the interest received from holding a particular security. The yield is usually expressed as an annual percentage rate based on the investment's cost and market value.

OCTA's month-end balance in the Local Agency Investment Fund was \$10,899,573, with an average monthly effective yield of 0.8 percent. OCTA's month-end balance in the Orange County Investment Pool (OCIP) was \$19,957,998. For the month of July, the monthly gross yield for the OCIP was 1.2 percent. Yields for the month of August will be received in September.

During the month of August, one security held within OCTA's investment portfolio was downgraded. The total number of securities on the Negative Credit Watch remained at seven securities for the month. Please refer to I-8 (Rating Downgrades) and I-9 (Negative Credit Watch) of Attachment A for further details. As of August 31, 2020, the securities reflected on I-8 and I-9 still meet the minimum ratings requirements set forth by OCTA's Investment Policy.

OCTA's debt portfolio had an outstanding principal balance of \$1 billion as of August 31, 2020. Approximately 63 percent of the outstanding balance is comprised of M2 debt, nine percent is associated with the 91 Express Lanes Program, and 29 percent is for the Transportation Infrastructure Finance and Innovation Act Loan.

Summary

The Treasurer is submitting a copy of the Orange County Transportation Authority Investment and Debt Programs report to the Finance and Administration Committee. The report is for the month ending August 31, 2020.

Attachment

- A. Orange County Transportation Authority Investment and Debt Programs – For the Period Ending August 31, 2020.
- B. Orange County Transportation Authority Portfolio Listing as of August 31, 2020

Prepared by:



Robert Davis
Department Manager
Treasury/Public Finance
(714) 560-5675

Approved by:



Andrew Oftelie
Chief Financial Officer
Finance and Administration
(714) 560-5649

**Treasury/Public Finance Department's
Report On**

**Orange County Transportation Authority
Investment and Debt Programs**



**Presented to the
Finance and Administration Committee**

**For The Period Ending
August 31, 2020**

INVESTMENT PROGRAM

OCTA Investment Dashboard

8/31/2020

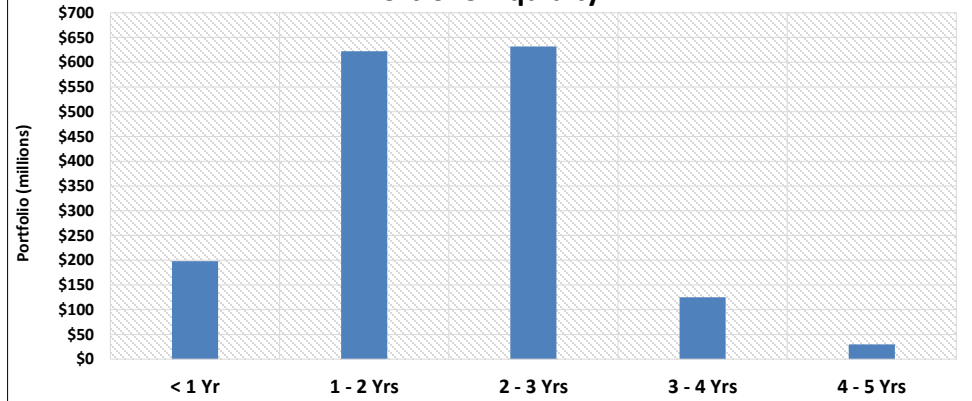
Safety of Principal

Securities that fell below OCTA's minimum credit quality requirements during the month of August 2020:
Not applicable.

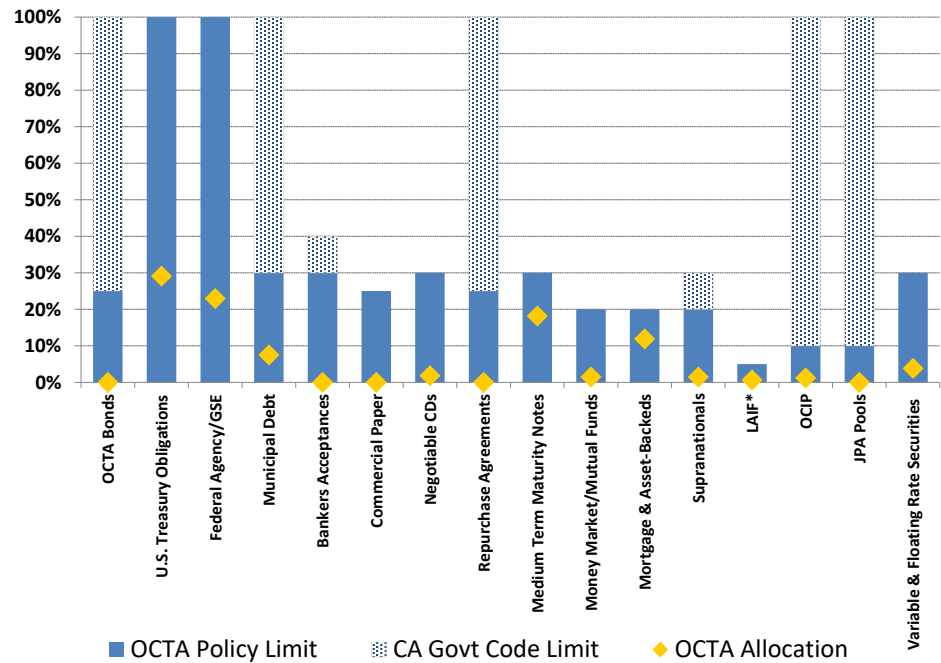
Securities currently held within OCTA's portfolio that fell below OCTA's minimum credit quality requirements during prior reporting periods:

On Thursday, February 20, 2020, Moody's downgraded the long-term debt rating of Nissan to Baa1 from A3. OCTA holds three high quality AAA Nissan Auto/Lease asset backed security positions, respectively 0.3%, 0.4% and 0.6% of the portfolio. However, for asset backed securities, receivables are sold via a legal concept called "true sale" into a bankruptcy-remote issuing trust, therefore isolated from the financial health of the issuer. There has been no negative price action on the asset backed securities on news of the downgrade. The Treasurer reviewed the position and recommended the securities be held for the short-term. The Treasurer presented his recommendation to the Deputy Chief Executive Officer who concurred.

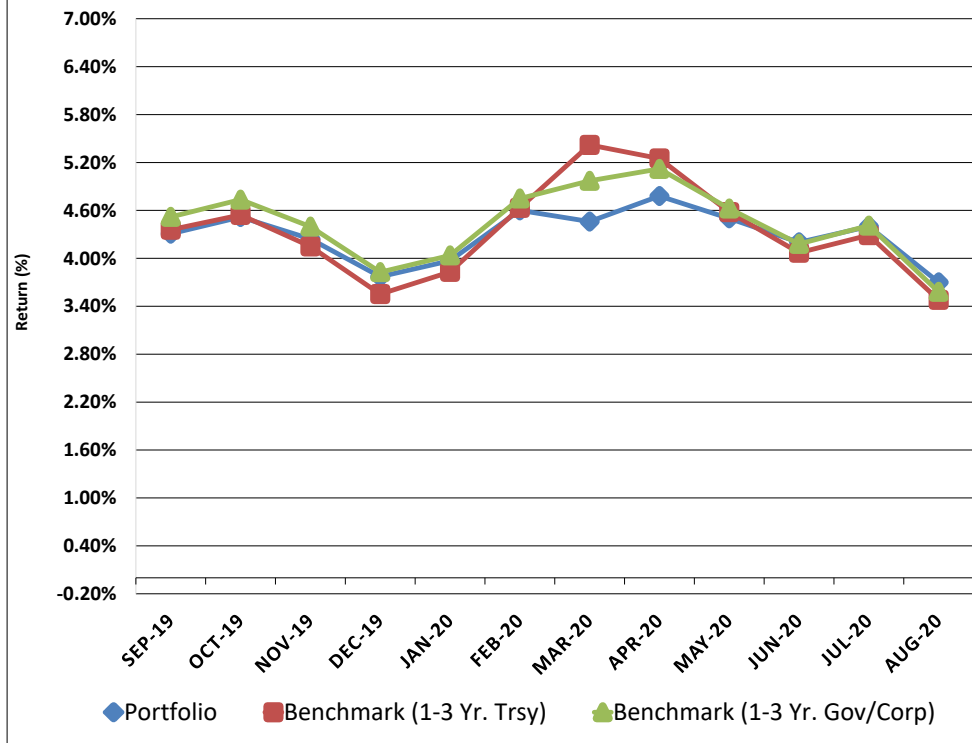
Portfolio Liquidity



Portfolio Diversification



Portfolio Return - 12 Month



*Per CA Government Code LAIF limit is \$75 million

Investment Compliance

8/31/2020

Portfolio Subject to Investment Policy			
	Dollar Amount	Percent Of	Investment Policy
Short-Term/Liquid Portfolio ¹	Invested	Portfolio	Maximum Percentages
U.S. Treasury Obligations	\$ 477,921,765	28.2%	100%
Federal Agency/GSE	377,051,938	22.2%	100%
Municipal Debt	122,888,628	7.2%	30%
Commercial Paper	-	0.0%	25%
Negotiable Certificates of Deposit	29,800,000	1.8%	30%
Repurchase Agreements	53,507,456	3.2%	25%
Medium Term Maturity Notes/Corporates	298,401,277	17.6%	30%
Money Market/Mutual Funds	24,399,794	1.4%	20%
Mortgage & Asset-Backed	195,203,164	11.5%	20%*
Supranationals	23,732,180	1.4%	20%
Local Agency Investment Fund	10,899,573	0.6%	\$ 75 Million
Orange County Investment Pool	19,957,998	1.2%	10%
Joint Powers Authority Pools	-	0.0%	10%
Bank Deposits	250,000	0.0%	5%
Variable & Floating Rate Securities	62,762,653	3.7%	30%
Total Short-Term/Liquid Portfolio	\$ 1,696,776,428	100.0%	

1. Excludes portion of Liquid Portfolio subject to Indenture

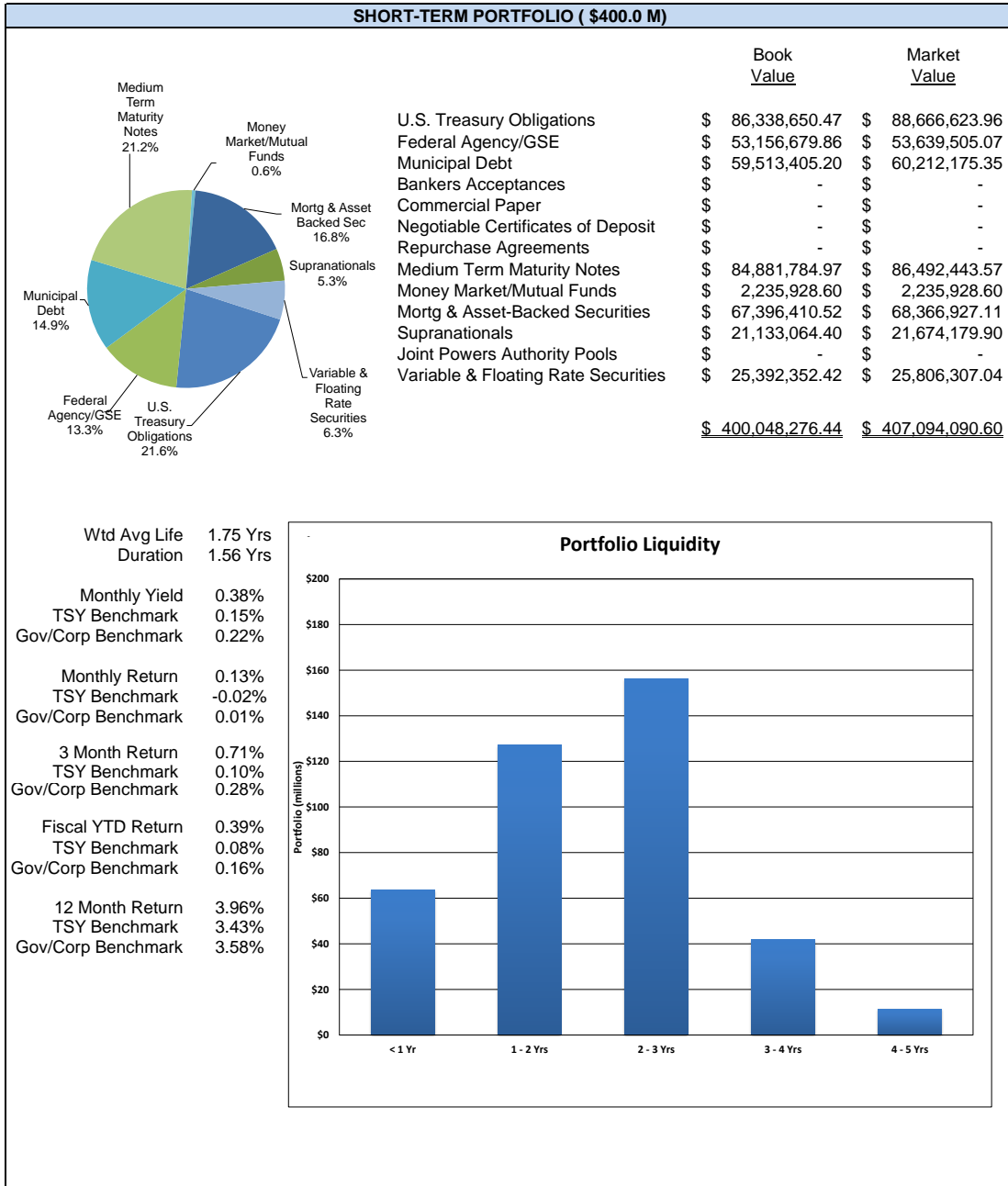
*Asset-backed securities, excluding mortgages, may not exceed 10 percent of the allocation

Portfolio Subject to Indenture						
	Dollar Amount		OCTA		Indenture Requirements	
<u>Liquid Portfolio*</u>	<u>Invested</u>	<u>Credit Quality</u>	<u>Term</u>		<u>Credit Quality</u>	<u>Term</u>
Money Market Funds	\$ 68,981,346	AAA/Aaa	45 days		Min. A2/A	Max. 4 years
Bond Proceeds Portfolio						
Money Market Funds	\$ 25,942,426	AAA/Aaa	45 days		Min. A2/A	Max. 4 years
Commercial Paper	\$ 69,971,493	P-1/F-1/A-1	60-90 days		Min. A2/A	Max. 4 years
Guaranteed Investment Contract	133,600,000	Aa2/AA-/A+	N/A		Min. A3/A-	N/A
Total Bond Proceeds Portfolio	\$ 229,513,919					
Reserve Funds Portfolio						
Commercial Paper	\$ 25,074,541	P-1/F-1	60-90 days		Min. A-1/P-1	Max. 180 days
Bank Deposits	\$ 204,407					
US Treasuries Obligations	288	AAA/Aaa	30 days		Min. A2/A	Max. 5 years
Total Reserve Funds Portfolio	\$ 25,279,235					
Total Portfolio Subject to Indenture	\$ 254,793,154					
Portfolio Total	\$ 2,020,550,928					

*Reflects portion of Liquid Portfolio subject to Indenture

Investment Manager Diversification and Maturity Schedules

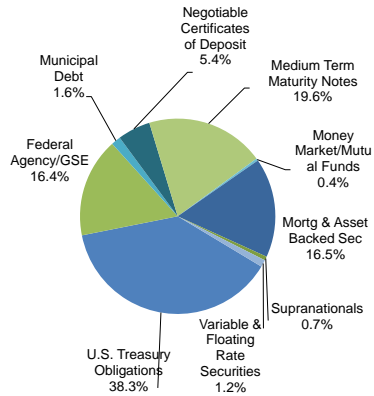
**MetLife Investment Management
8/31/2020**



Investment Manager Diversification and Maturity Schedules

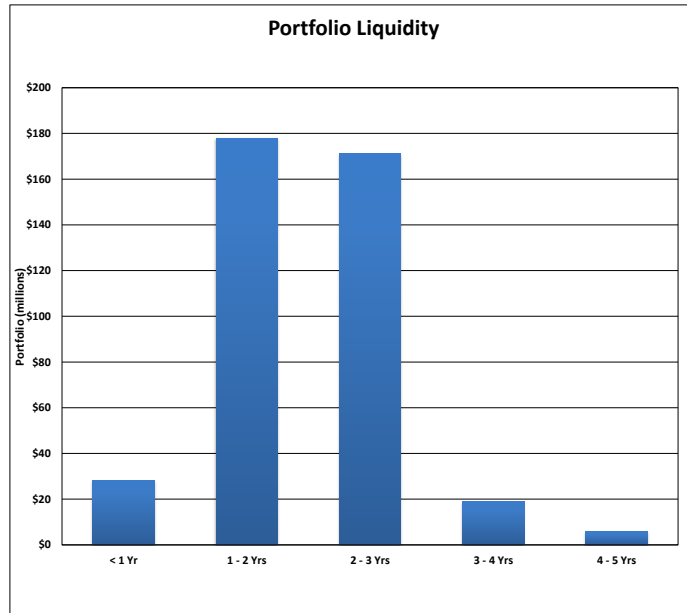
PFM
8/31/2020

SHORT-TERM PORTFOLIO (\$402.0 M)



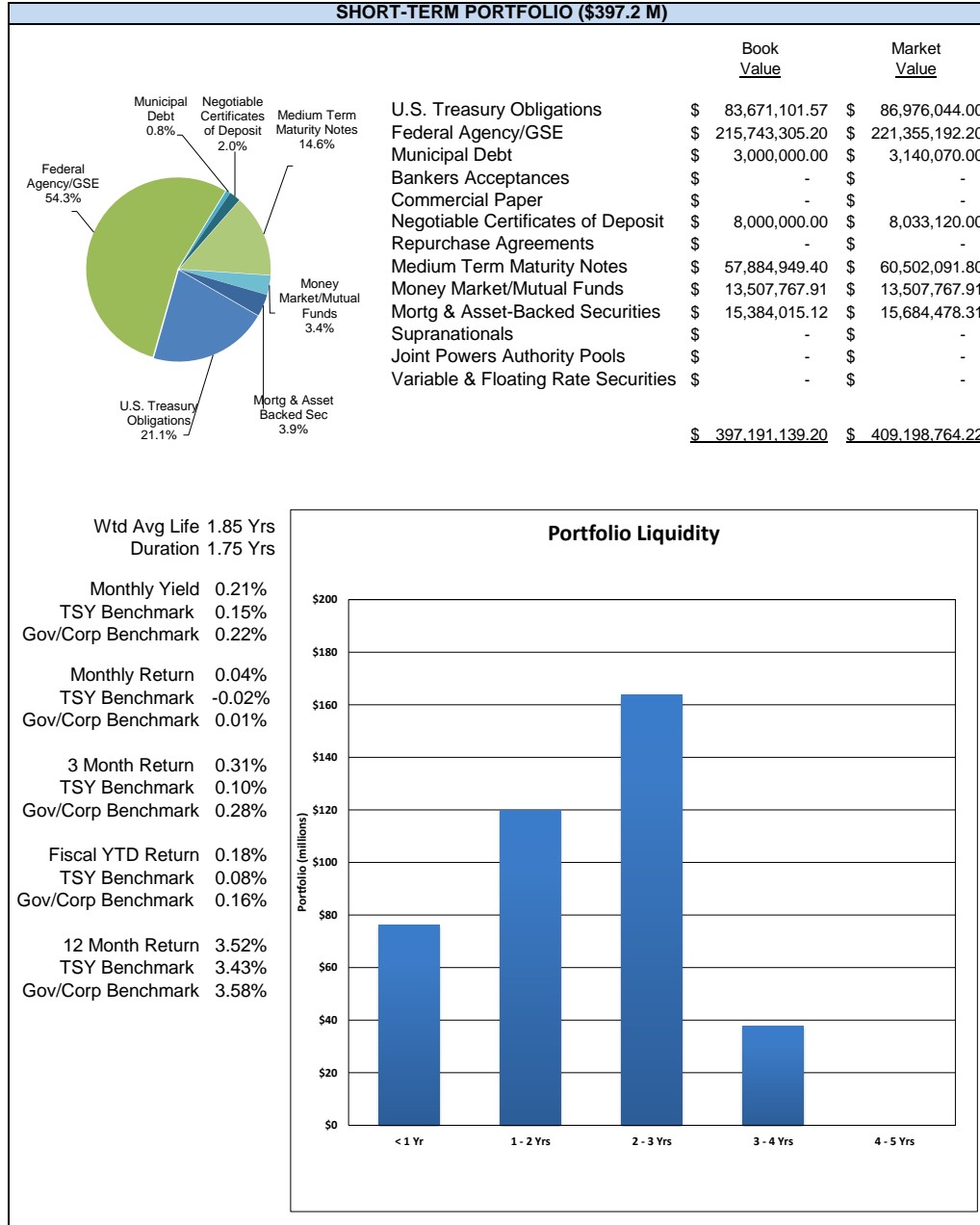
	Book Value	Market Value
U.S. Treasury Obligations	\$ 153,816,218.01	\$ 158,881,335.80
Federal Agency/GSE	\$ 66,084,578.99	\$ 66,498,125.98
Municipal Debt	\$ 6,357,759.95	\$ 6,392,876.40
Bankers Acceptances	\$ -	\$ -
Commercial Paper	\$ -	\$ -
Negotiable Certificates of Deposit	\$ 21,800,000.00	\$ 22,301,967.50
Repurchase Agreements	\$ -	\$ -
Medium Term Maturity Notes	\$ 78,927,520.90	\$ 80,963,169.85
Money Market/Mutual Funds	\$ 1,532,993.92	\$ 1,532,993.92
Mortg & Asset-Backed Securities	\$ 66,209,805.34	\$ 67,486,137.94
Supranationals	\$ 2,599,116.00	\$ 2,617,862.00
Joint Powers Authority Pools	\$ -	\$ -
Variable & Floating Rate Securities	\$ 4,720,686.38	\$ 4,789,804.78
	<u>\$ 402,048,679.49</u>	<u>\$ 411,464,274.17</u>

Wtd Avg Life	1.84 Yrs
Duration	1.79 Yrs
Monthly Yield	0.27%
TSY Benchmark	0.15%
Gov/Corp Benchmark	0.22%
Monthly Return	0.03%
TSY Benchmark	-0.02%
Gov/Corp Benchmark	0.01%
3 Month Return	0.33%
TSY Benchmark	0.10%
Gov/Corp Benchmark	0.28%
Fiscal YTD Return	0.20%
TSY Benchmark	0.08%
Gov/Corp Benchmark	0.16%
12 Month Return	3.63%
TSY Benchmark	3.43%
Gov/Corp Benchmark	3.58%



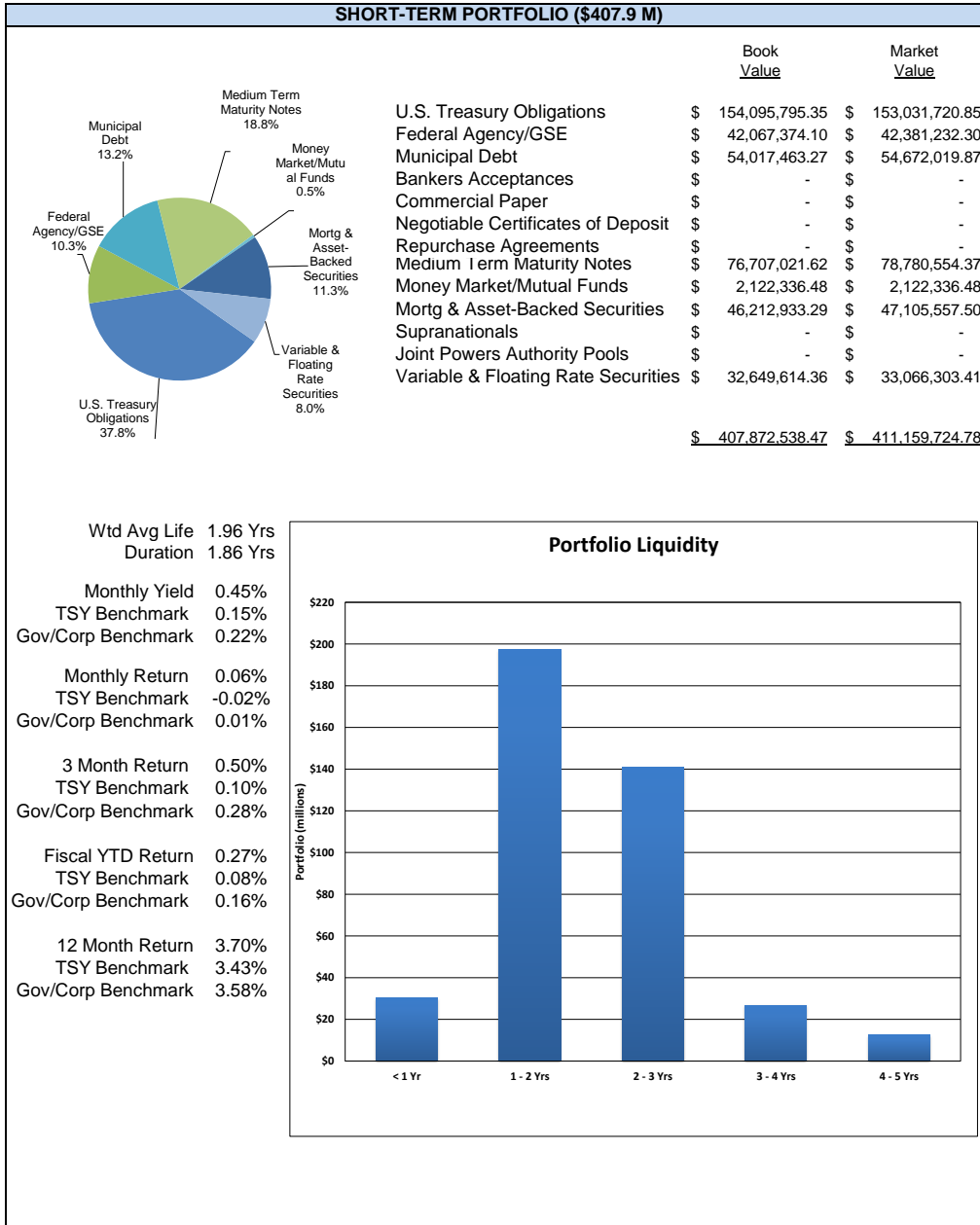
Investment Manager Diversification and Maturity Schedules

**Chandler Asset Management
8/31/2020**



Investment Manager Diversification and Maturity Schedules

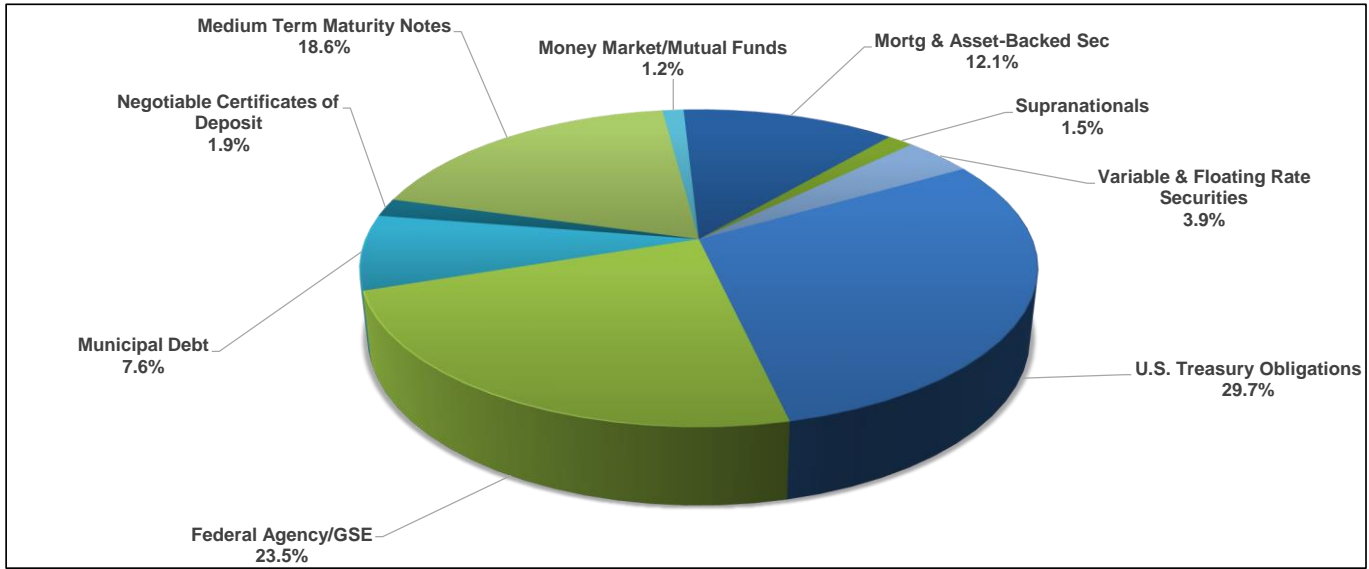
Payden & Rygel
8/31/2020



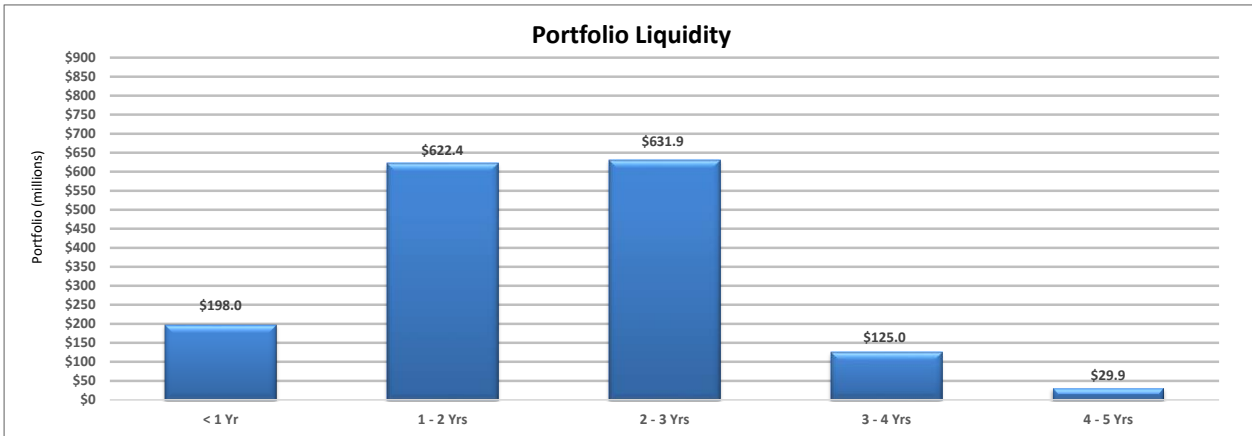
Short-Term Portfolio

8/31/2020

Portfolio Composition



Portfolio Liquidity



Rating Downgrades 8/31/2020

<u>Investment Manager / Security</u>	<u>Par Amount</u>	<u>Maturity</u>	<u>S&P</u>	<u>Moody's</u>	<u>Fitch Ratings</u>
MetLife Investment Management					
<i>Los Angeles International Airport</i>	\$ 1,000,000	5/15/2021	AA-	Aa2	AA
<i>On August 4, 2020, S&P downgraded the long-term ratings of Los Angeles International Airport (LAX) from AA to AA-. The downgrade is due to depressed levels of airline travel as a result of COVID-19. The security remains in compliance with the requirements of the Investment Policy. Based on the airports rate setting ability, strong liquidity and CARES Act funding, the investment manager believes LAX is well equipped to weather this pandemic into the next few years and is comfortable holding the security.</i>					

Negative Credit Watch

8/31/2020

<u>Investment Manager / Security</u>	<u>Par Amount</u>	<u>Maturity</u>	<u>S&P</u>	<u>Moody's</u>	<u>Fitch Ratings</u>
PFM					
<i>Pfizer</i>	\$ 2,300,000	Various*	AA-	A1	A
<i>On June 17, 2019, S&P and Fitch placed the long-term ratings of Pfizer Inc. under review for possible downgrade. The credit watch placement is due to Pfizer's announcement of a debt-funded acquisition as well as an announcement to divest its mature off-patent business Upjohn. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to Pfizer's product diversification and vast revenue streams.</i>					
<i>Merck & Co.</i>	\$ 1,250,000	2/10/2022	AA-	A1	A+
<i>On February 5, 2020, S&P placed the long-term ratings of Merck & Co. under review for possible downgrade. The credit watch placement is due to Merck's announcement that it will be spinning off a large portion of their brand. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to the industry strength of Merck, and their vast pharmaceutical diversification.</i>					
<i>Skandinaviska Enskilda Banken AB (publ.)</i>	\$ 3,875,000	8/26/2022	A+	P-1	AA
<i>On March 31, 2020, Fitch placed the long-term ratings of Skandinaviska under review for possible downgrade. The credit watch placement is due to the negative impact COVID-19 will have on the banks credit profile. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security as they believe the bank should be able to absorb the negative impact of an economic downturn due to the bank being well capitalized.</i>					
<i>Nordea Bank Abp, New York Branch</i>	\$ 3,875,000	8/26/2022	AA-	Aa3	AA
<i>On March 31, 2020, S&P and Fitch placed the long-term ratings of Nordea Bank under review for possible downgrade. The credit watch placement is due to ongoing economic stress faced by the banking industry due to COVID-19, leading to difficulties in achieving financial targets year over year. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to Nordea's major initiatives to simplify group structure as well as implementing cost cutting measures to improve cost efficiencies.</i>					
<i>Walt Disney Co.</i>	\$ 875,000	9/1/2022	A	A2	A
<i>On April 17, 2020, S&P placed the long-term ratings of Disney under review for possible downgrade. The credit watch placement is due to the impact COVID-19 has on a variety of Disney's businesses, in particular their theme parks, which remain closed indefinitely. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to Disney's diverse business.</i>					
<i>Port Authority of New York & New Jersey</i>	\$ 1,125,000	7/1/2023	A+	Aa3	AA-
<i>On June 26, 2020, Fitch placed the long-term ratings of the Port Authority under review for possible downgrade. The credit watch placement reflects elevated stresses to both the agency's operating activities and revenue generation as a result of COVID-19. The security complies with the requirements of the Investment Policy, and the investment manager is comfortable holding the security due to expectations of long-term revenue recoveries.</i>					
MetLife					
<i>State of Hawaii Airport System</i>	\$ 1,430,000	Various**	A+	A2	A
<i>On August 7, 2020, S&P placed the long-term ratings of the State of Hawaii Airport System (HISAPT) under review for possible downgrade. The credit watch placement is due to depressed levels of airline travel as a result of COVID-19. The security remains in compliance with the requirements of the Investment Policy. Based on the airports rate setting ability, strong liquidity and CARES Act funding, the investment manager believes HISAPT is well equipped to weather this pandemic into the next few years and is comfortable holding the security.</i>					

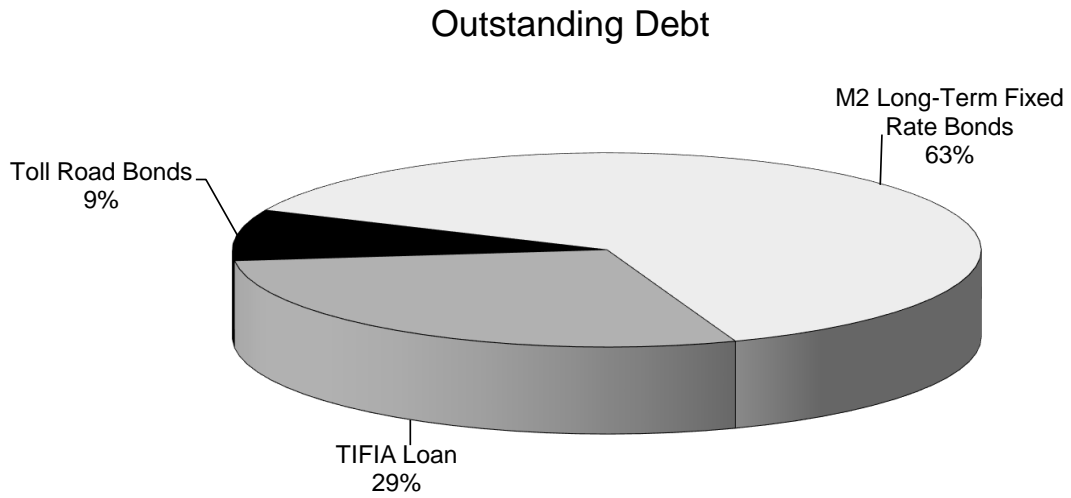
*9/15/21 & 3/11/22

**7/1/22 & 7/1/24

DEBT PROGRAM

Total Outstanding Debt

As of 8/31/20



TOTAL OUTSTANDING DEBT: \$998,955,000

Outstanding Debt

As of 8/31/20

Orange County Local Transportation Authority (OCLTA-M2)

2010 Series A Taxable Build America Bonds - Sales Tax Revenue Bonds

Issued:	\$	293,540,000
Outstanding:		250,000,000
Debt Service FY 2021:		17,270,000
Pledged Revenue Source:	M2 Sales Tax Revenues	
Ratings (Fitch/ Moody's/ S&P):		AA+/Aa2/AA+
Final Maturity:		2041

2019 M2 Sales Tax Bond

Issued:	\$	376,690,000
Outstanding:		376,690,000
Debt Service FY 2021:		26,569,650
Pledged Revenue Source:	M2 Sales Tax Revenues	
Ratings (Fitch/ S&P):		AA+/AA+
Final Maturity:		2041

91 Express Lanes

2013 OCTA 91 Express Lanes Refunding Bonds

Issued:	\$	124,415,000
Outstanding:		85,265,000
Debt Service FY 2021:		10,795,075
Pledged Revenue Source:	91 Toll Road Revenues	
Ratings (Fitch/ Moody's/ S&P):		A+/A1/AA-
Final Maturity:		2030

405 Express Lanes

2017 TIFIA Loan

Outstanding:	\$	287,000,000
Accrued Interest:		17,478,018
Pledged Revenue Source:	405 Toll Road Revenues	
Ratings (Moody's):		Baa2
Final Maturity:		2057

Orange County Transportation Authority
Portfolio Listing
As of August 31, 2020

LIQUID PORTFOLIO				
DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
<i>CASH EQUIVALENTS</i>				
BANK DEPOSITS	8/31/2020	250,000.00	250,000.00	
REPURCHASE AGREEMENT	8/31/2020	53,507,456.00	53,507,456.00	
MONEY MARKET DEMAND ACCOUNT	N/A	5,000,767.12	5,000,767.12	0.40%
FIDELITY TREASURY OBLIGATIONS FUND	N/A	61,288,163.09	61,288,163.09	0.01%
FEDERATED TREASURY OBLIGATIONS FUND	N/A	7,693,182.78	7,693,182.78	0.02%
<i>SUB-TOTAL</i>		<i>127,739,568.99</i>	<i>127,739,568.99</i>	
<i>LOCAL AGENCY INVESTMENT FUND (LAIF)</i>				
	N/A	10,899,573.09	10,899,573.09	0.92%
<i>ORANGE COUNTY INVESTMENT POOL (OCIP)</i>				
	N/A	19,957,998.11	19,957,998.11	1.22%
LIQUID PORTFOLIO - TOTAL		\$ 158,597,140.19	\$ 158,597,140.19	

SHORT-TERM PORTFOLIO				
DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
<i>Money Market Funds</i>				
FIRST AMER:GVT OBLG Z	8/31/2020	2,122,336.48	2,122,336.48	0.05
FIRST AMER:GVT OBLG Z	8/31/2020	2,235,928.60	2,235,928.60	0.05
FIRST AMER:GVT OBLG Z	8/31/2020	13,507,767.91	13,507,767.91	0.05
FIRST AMER:GVT OBLG Z	8/31/2020	1,532,993.92	1,532,993.92	0.05
<i>SUB-TOTAL</i>		<i>19,399,026.91</i>	<i>19,399,026.91</i>	
<i>NEGOTIABLE CERTIFICATES OF DEPOSIT</i>				
Royal Bank of Canada New York Branch	2/19/2021	8,000,000.00	8,033,120.00	0.13
Credit Suisse AG, New York Branch	2/1/2022	3,100,000.00	3,100,558.00	0.51
DNB Bank ASA, New York Branch	12/2/2022	3,875,000.00	4,015,236.25	0.45
Nordea Bank Abp, New York Branch	8/26/2022	3,875,000.00	4,006,323.75	0.16
Skandinaviska Enskilda Banken AB (publ.)	8/26/2022	3,875,000.00	4,006,905.00	0.16
Societe Generale, New York Branch	2/14/2022	4,000,000.00	4,097,760.00	0.12
Sumitomo Mitsui Banking Corporation, New York Bra	7/8/2022	3,075,000.00	3,075,184.50	0.70
<i>SUB-TOTAL</i>		<i>29,800,000.00</i>	<i>30,335,087.50</i>	
<i>U.S. TREASURY OBLIGATIONS</i>				
UNITED STATES TREASURY	6/15/2023	3,800,224.17	3,798,247.39	0.14
UNITED STATES TREASURY	6/15/2023	3,669,943.98	3,666,858.32	0.14
UNITED STATES TREASURY	6/15/2023	8,411,760.35	8,421,939.09	0.14
UNITED STATES TREASURY	6/15/2023	2,631,978.66	1,540,561.92	0.14
UNITED STATES TREASURY	6/30/2022	117,815,741.35	117,829,177.53	0.14
UNITED STATES TREASURY	6/30/2022	-	-	0.14
UNITED STATES TREASURY	5/31/2022	9,635,940.00	9,644,623.20	0.14
UNITED STATES TREASURY	7/15/2021	8,130,206.84	8,130,313.40	0.14
UNITED STATES TREASURY	4/15/2023	5,005,273.44	5,171,500.00	0.14
UNITED STATES TREASURY	4/15/2023	2,927,887.62	3,060,716.02	-1.37
UNITED STATES TREASURY	4/15/2024	1,040,405.13	1,038,457.22	-1.37
UNITED STATES TREASURY	4/15/2024	3,846,140.89	4,060,366.40	-1.40
UNITED STATES TREASURY	4/15/2024	3,845,807.62	4,054,894.21	-1.40
UNITED STATES TREASURY	5/15/2022	2,065,471.90	2,019,238.81	-1.40
UNITED STATES TREASURY	5/15/2022	7,520,793.75	7,689,909.60	0.15
UNITED STATES TREASURY	5/15/2022	2,026,093.75	2,067,180.00	0.15
UNITED STATES TREASURY	5/15/2022	5,901,964.06	6,025,829.70	0.15
UNITED STATES TREASURY	5/15/2022	8,869,816.41	9,023,240.70	0.15
UNITED STATES TREASURY	9/30/2022	1,979,554.69	2,015,500.50	0.15
UNITED STATES TREASURY	9/30/2022	3,799,773.44	3,902,104.25	0.13
UNITED STATES TREASURY	9/30/2022	9,392,172.66	9,654,477.80	0.13
UNITED STATES TREASURY	9/30/2022	7,699,007.81	7,907,575.50	0.13
UNITED STATES TREASURY	9/30/2022	10,407,680.66	10,672,642.75	0.13
UNITED STATES TREASURY	10/15/2022	4,212,140.63	4,341,414.00	0.13
UNITED STATES TREASURY	10/15/2022	6,859,031.25	7,080,021.00	0.14
UNITED STATES TREASURY	10/15/2022	3,944,908.20	4,053,055.50	0.14
UNITED STATES TREASURY	7/31/2022	6,061,226.56	6,405,406.00	0.14
UNITED STATES TREASURY	3/15/2021	7,598,515.63	7,688,464.00	0.22
UNITED STATES TREASURY	8/31/2022	4,470,357.42	4,811,308.50	0.14
UNITED STATES TREASURY	8/31/2022	2,874,960.94	3,104,070.00	0.14
UNITED STATES TREASURY	11/30/2022	7,718,648.44	8,125,728.00	0.14
UNITED STATES TREASURY	11/30/2020	4,499,121.09	4,516,515.00	0.15
UNITED STATES TREASURY	4/30/2023	5,234,208.98	5,456,902.50	0.14
UNITED STATES TREASURY	5/31/2023	7,787,187.50	8,325,280.00	0.14
UNITED STATES TREASURY	10/31/2023	8,007,187.50	8,370,960.00	0.16
UNITED STATES TREASURY	6/30/2022	4,329,843.75	4,632,030.00	0.15
UNITED STATES TREASURY	8/15/2022	6,983,046.88	7,185,360.00	0.14
UNITED STATES TREASURY	10/15/2022	7,957,187.50	8,208,720.00	0.14
UNITED STATES TREASURY	2/28/2022	10,149,609.38	10,145,300.00	0.15
UNITED STATES TREASURY	7/31/2022	4,097,668.75	4,225,501.70	0.14
UNITED STATES TREASURY	7/31/2022	7,004,300.00	7,355,885.60	0.14
UNITED STATES TREASURY	7/31/2022	6,005,625.00	6,198,780.00	0.14
UNITED STATES TREASURY	7/31/2022	5,216,656.25	5,372,276.00	0.14
UNITED STATES TREASURY	9/30/2022	7,534,603.16	7,833,445.20	0.13
UNITED STATES TREASURY	10/31/2022	5,360,733.97	5,606,678.00	0.14
UNITED STATES TREASURY	2/28/2023	5,538,052.36	5,883,424.60	0.14
UNITED STATES TREASURY	1/15/2022	16,576,656.25	17,133,026.00	0.16
UNITED STATES TREASURY	2/15/2022	9,389,351.56	9,721,292.00	0.15
UNITED STATES TREASURY	4/15/2022	6,003,750.00	6,203,880.00	0.15
UNITED STATES TREASURY	12/31/2022	4,326,890.63	4,550,665.50	0.14
UNITED STATES TREASURY	12/31/2022	6,439,408.22	6,893,996.70	0.14
UNITED STATES TREASURY	1/31/2023	1,253,320.31	1,298,725.00	0.13
UNITED STATES TREASURY	1/31/2023	2,911,894.53	3,013,042.00	0.13
UNITED STATES TREASURY	3/31/2023	15,308,789.06	15,525,000.00	0.14
UNITED STATES TREASURY	6/30/2023	4,097,187.50	4,138,120.00	0.15
UNITED STATES TREASURY	11/15/2022	3,995,937.50	4,130,640.00	0.14
UNITED STATES TREASURY	1/31/2022	430,512.50	450,692.00	0.16
UNITED STATES TREASURY	1/31/2022	7,855,625.00	8,194,400.00	0.16
UNITED STATES TREASURY	2/28/2022	1,006,718.75	1,025,820.00	0.15
UNITED STATES TREASURY	4/30/2022	633,273.05	648,112.50	0.15
UNITED STATES TREASURY	4/30/2022	1,974,765.63	2,057,500.00	0.15
UNITED STATES TREASURY	5/31/2022	9,031,289.06	9,251,370.00	0.15
UNITED STATES TREASURY	6/30/2022	2,010,156.25	2,058,680.00	0.15
UNITED STATES TREASURY	10/15/2022	745,312.50	769,567.50	0.14
UNITED STATES TREASURY	1/15/2023	2,713,289.06	2,787,237.00	0.14
UNITED STATES TREASURY	1/15/2023	4,101,875.00	4,129,240.00	0.14
UNITED STATES TREASURY	5/15/2023	2,192,093.75	2,198,790.00	0.15
UNITED STATES TREASURY	6/15/2023	4,003,281.25	4,011,880.00	0.14

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DESCRIPTION	MATURITY DATE	BOOK VALUE	MARKET VALUE	YIELD
BANK OF AMERICA CORP	10/19/2020	1,978,280.00	2,006,240.00	0.28
BANK OF AMERICA CORP	10/1/2021	1,469,790.00	1,502,355.00	0.44
BANK OF NEW YORK MELLON CORP	8/23/2022	1,724,448.00	1,782,459.75	0.26
BANK OF NEW YORK MELLON CORP	1/27/2023	1,099,230.00	1,137,741.00	0.36
BURLINGTON NORTHERN SANTA FE LLC	9/15/2021	1,024,930.00	1,024,400.00	0.35
CATERPILLAR FINANCIAL SERVICES CORP	9/7/2021	374,711.25	385,800.00	0.31
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2021	1,124,460.00	1,143,247.50	0.36
CATERPILLAR FINANCIAL SERVICES CORP	9/6/2022	1,048,540.50	1,082,728.50	0.35
CATERPILLAR FINANCIAL SERVICES CORP	11/18/2022	499,770.00	517,055.00	0.40
CATERPILLAR FINANCIAL SERVICES CORP	7/7/2023	1,124,370.00	1,132,863.75	0.40
CHEVRON USA INC	8/11/2023	450,000.00	450,927.00	0.36
CHEVRON CORP	5/16/2021	49,945.50	50,569.00	0.28
CHEVRON CORP	5/11/2023	875,000.00	893,401.25	0.36
CITIGROUP INC	8/2/2021	1,723,295.00	1,781,867.50	0.36
COMCAST CORP	1/15/2023	1,449,071.25	1,467,716.25	0.01
JOHN DEERE CAPITAL CORP	3/12/2021	149,898.00	152,100.00	0.23
JOHN DEERE CAPITAL CORP	1/10/2022	769,260.80	800,907.80	0.24
JOHN DEERE CAPITAL CORP	6/7/2021	499,660.00	507,995.00	0.21
JOHN DEERE CAPITAL CORP	7/5/2023	399,672.00	403,932.00	0.35
WALT DISNEY CO	9/1/2022	873,101.25	896,953.75	0.39
EXXON MOBIL CORP	3/6/2022	339,237.50	360,367.00	0.19
EXXON MOBIL CORP	3/6/2022	1,212,050.00	1,287,025.00	0.19
GOLDMAN SACHS GROUP INC	4/26/2022	1,513,320.00	1,524,570.00	0.48
HOME DEPOT INC	3/1/2022	498,630.00	522,680.00	0.22
HONEYWELL INTERNATIONAL INC	8/8/2022	779,212.20	805,155.00	0.40
HONEYWELL INTERNATIONAL INC	8/19/2022	1,875,000.00	1,878,562.50	0.29
IBM CREDIT LLC	2/6/2023	1,057,720.00	1,065,420.00	0.30
INTEL CORP	5/19/2021	1,327,659.20	1,342,821.20	0.18
JPMORGAN CHASE & CO	10/29/2020	1,482,105.00	1,502,610.00	0.31
JPMORGAN CHASE & CO	4/1/2023	2,000,000.00	2,085,680.00	0.49
MERCK & CO INC	2/10/2022	1,226,775.00	1,289,375.00	0.16
MICROSOFT CORP	8/8/2021	1,057,023.00	1,112,540.00	0.21
MICROSOFT CORP	2/6/2022	2,049,725.70	2,149,669.50	0.28
MORGAN STANLEY	5/19/2022	993,370.00	1,038,560.00	0.49
MORGAN STANLEY	2/25/2023	1,063,280.00	1,079,440.00	0.53
MORGAN STANLEY	4/21/2021	1,957,500.00	2,028,140.00	0.29
NATIONAL RURAL UTILITIES COOPERATIVE FINANCE CORP	1/21/2022	1,598,592.00	1,633,056.00	0.26
NORTHERN TRUST CORP	8/2/2022	1,012,140.00	1,040,730.00	0.25
ORACLE CORP	9/15/2021	1,187,662.00	1,244,318.25	0.25
PNC BANK NA	11/5/2020	1,615,040.00	1,603,200.00	0.73
PNC BANK NA	2/24/2023	800,000.00	815,632.00	0.42
PACCAR FINANCIAL CORP	5/10/2021	2,354,387.70	2,401,252.20	0.26
PACCAR FINANCIAL CORP	3/1/2022	499,560.00	518,875.00	0.33
PACCAR FINANCIAL CORP	5/10/2022	999,460.00	1,039,740.00	0.29
PACCAR FINANCIAL CORP	8/11/2023	449,410.50	450,085.50	0.34
PEPSICO INC	5/1/2023	923,168.50	936,590.25	0.28
PFIZER INC	9/15/2021	1,872,468.75	1,927,912.50	0.28
PFIZER INC	3/11/2022	424,974.50	441,235.00	0.29
CHARLES SCHWAB CORP	5/21/2021	2,169,934.90	2,210,600.70	0.32
3M CO	9/14/2021	823,308.75	847,357.50	0.15
3M CO	3/1/2022	1,154,457.15	1,197,122.85	0.17
TOYOTA MOTOR CREDIT CORP	1/11/2022	3,686,662.50	3,866,437.50	0.31
UNILEVER CAPITAL CORP	3/7/2022	1,990,320.00	2,083,240.00	0.25
U.S. BANCORP	3/15/2022	509,935.00	519,935.00	0.25
WALMART INC	6/23/2021	1,049,947.50	1,074,864.00	0.20
WELLS FARGO & CO	4/1/2021	<u>1,619,820.00</u>	<u>1,537,440.00</u>	0.31
	SUB-TOTAL	298,401,276.89	306,738,259.59	
MORTGAGE AND ASSET-BACK SECURITIES				
BMWLT 2018-1 A3	7/20/2021	377,513.64	379,646.51	0.28
BMWLT 2018-1 A4	3/21/2022	629,994.39	637,629.30	0.49
BMWOT 2019-A A3	1/25/2024	2,389,678.78	2,443,201.40	0.44
COPAR 2020-1 A3	11/15/2024	2,129,547.16	2,177,200.80	0.61
DRIVE 2020-2 A3	5/15/2024	629,975.93	632,482.20	0.58
FNA 2011-M5 A2	7/25/2021	348,840.34	349,473.03	-0.07
FHMS K-020 A2	5/25/2022	2,714,871.09	2,771,712.00	0.59
FHMS K-SMC A2	1/25/2023	1,483,888.67	1,562,056.40	0.51
FHMS K-SMC A2	1/25/2023	2,030,198.44	2,138,654.40	0.51
FHMS K-SMC A2	1/25/2023	410,500.00	419,344.00	0.51
FHMS K-717 A2	9/25/2021	1,645,224.08	1,657,958.48	0.74
FHMS K-724 A1	3/25/2023	970,899.54	998,765.89	0.86
FHMS K-J23 A2	12/25/2022	1,684,331.25	1,716,768.40	1.06
FHMS K-J30 A1	1/25/2025	1,616,201.20	1,616,021.80	0.52
HDMOT 2019-A A3	2/15/2024	4,299,667.18	4,380,410.00	0.73
HAROT 2017-2 A3	8/16/2021	336,320.14	336,887.39	0.46
HAROT 2017-3 A3	9/18/2021	264,988.81	265,592.60	0.58
HAROT 2017-3 A3	9/18/2021	51,002.59	51,963.77	0.58
HAROT 2019-3 A3	8/15/2023	1,809,984.98	1,844,969.20	0.51
JDOT 2017-B A3	10/15/2021	52,595.10	52,651.55	0.56
JDOT 2019 A3	7/17/2023	1,904,765.88	1,950,434.25	0.76
JDOT 2020 A3	8/15/2024	2,799,828.92	2,838,136.00	0.43
MBART 2019-1 A3	3/15/2024	1,979,727.35	2,030,212.80	0.32
MBART 2020-1 A3	2/18/2025	1,459,885.97	1,467,154.00	0.34
MBALT 2020-A A3	12/15/2022	1,029,864.25	1,047,602.70	0.27
NALT 2018-A A3	9/15/2021	801,003.31	805,407.13	0.48
SDART 2020-2 A3	4/15/2024	859,901.01	860,860.00	0.60
TAOT 2017-B A3	7/15/2021	71,449.91	71,486.11	0.61
TAOT 2020-C A3	10/15/2024	2,129,835.99	2,131,831.80	0.40
TAOT 2018-A A3	5/16/2022	0.00	0.00	0.34
TAOT 2019-C A3	9/15/2023	1,829,984.99	1,870,900.50	0.34
TAOT 2019-A A3	7/17/2023	2,429,557.25	2,489,923.80	0.54
VZOT 2019-C A1A	4/22/2024	1,999,845.80	2,051,100.00	0.11
VWALT 2019-A A3	11/21/2022	849,986.57	864,314.00	0.38
FHMS K-J22 A1	5/25/2023	191,072.78	192,905.28	0.77
AMXCA 2018-8 A	9/15/2021	1,477,496.72	1,486,520.88	0.27
AMXCA 2018-8 A	9/15/2021	662,517.89	666,513.52	0.27
AMXCA 2018-8 A	9/15/2021	930,695.27	936,415.44	0.27
BACCT 2018-2 A	9/15/2023	3,056,678.52	3,061,591.40	0.24
BACCT 2018-2 A	9/15/2023	1,086,593.36	1,088,339.80	0.24
BMWLT 2019-1 A4	8/22/2022	4,789,968.75	4,808,018.25	0.35
CNH 2020-A A2	7/17/2023	1,204,934.57	1,211,181.65	0.46
CARMX 2019-3 A2A	12/15/2022	1,272,328.19	1,281,928.21	0.51
CARMX 2020-1 A3	12/16/2024	1,024,798.90	1,055,176.00	0.62
CCCIT 2014-A1 A1	1/23/2023	1,991,259.38	2,015,368.95	0.25
FH G12952	12/1/2022	175,912.69	175,925.47	0.58
FH G18303	3/1/2024	426,925.22	436,656.98	-0.67
FNR 2011-98 VC	1/25/2023	17,344.48	17,205.96	1.21
FNR 2012-50 VA	7/25/2023	279,489.38	278,351.53	0.72

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NAROT 2018-C A3	6/15/2023	899,827.56	921,744.00	0.64
NAROT 2020-B A3	7/15/2024	1,149,968.49	1,152,714.00	0.39
NAROT 2018-B A3	3/15/2023	1,336,974.17	1,360,629.22	0.76
NAROT 2019-C A3	7/15/2024	899,952.48	925,056.00	0.45
NAROT 2019-A A3	10/16/2023	2,424,632.61	2,488,219.75	0.61
NALT 2019-A A3	3/15/2022	269,980.40	273,207.60	0.34
TAOT 2018-D A3	3/15/2023	999,783.70	1,021,350.00	0.54
TAOT 2018-B A3	9/15/2022	1,043,147.82	1,056,766.22	0.42
TAOT 2019-C A3	9/15/2023	1,099,990.98	1,124,585.00	0.34
VZOT 2020-B A	2/20/2025	799,832.00	799,720.00	0.48
VZOT 2019-C A1A	4/22/2024	1,424,890.13	1,461,408.75	0.11
VZOT 2020-A A1A	7/22/2024	999,882.90	1,027,230.00	0.30
VWALT 2019-A A3	11/21/2022	899,985.78	915,156.00	0.38
VALET 2018-2 A3	4/20/2023	2,308,393.41	2,358,907.80	-0.02
WOART 2020-B A3	5/15/2025	999,921.60	1,004,120.00	0.47
FMMS K-J22 A1	5/25/2023	149,275.61	150,629.13	0.77
SUB-TOTAL		198,203,164.27	198,643,100.86	

Municipal Debt

ALAMEDA CNTY CALIF JT PWRS AUTH LEASE REV	6/1/2022	1,275,187.50	1,302,887.50	0.56
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	3,700,000.00	3,853,661.00	0.56
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2022	1,534,485.00	1,534,530.00	0.66
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2023	790,000.00	820,509.80	0.72
CALIFORNIA HSG FIN AGY REV	8/1/2022	227,194.00	220,127.60	0.64
CALIFORNIA HSG FIN AGY REV	2/1/2021	1,120,000.00	1,127,414.40	0.77
CALIFORNIA ST	3/1/2022	1,802,064.00	1,754,329.50	0.31
CALIFORNIA ST	4/1/2021	3,000,120.00	3,045,330.00	0.21
CALIFORNIA ST PUB WKS BRD LEASE REV	12/1/2021	1,160,759.47	1,130,128.47	2.57
CONNECTICUT ST	7/1/2023	875,193.90	901,206.90	0.72
CONTRA COSTA CALIF CMNTY COLLEGE DIST	8/1/2021	1,000,000.00	1,011,040.00	0.50
LOS ALTOS CALIF SCH DIST	8/1/2023	2,790,000.00	2,791,032.30	1.63
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2020	1,484,164.80	1,446,552.00	0.41
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	1,019,560.00	1,053,580.00	0.50
MASSACHUSETTS (COMMONWEALTH OF)	5/1/2022	1,186,968.00	1,182,123.00	0.40
MASSACHUSETTS (COMMONWEALTH OF)	7/1/2023	1,270,000.00	1,269,657.10	0.52
MASSACHUSETTS (COMMONWEALTH OF)	7/1/2023	65,000.00	64,982.45	0.52
MASSACHUSETTS ST WTR RES AUTH IAM COML PAPER NTS 3	8/1/2023	760,000.00	787,025.60	0.54
OAKLAND-ALAMEDA CNTY CALIF COLISEUM AUTH LEASE REV	2/1/2023	1,058,440.00	1,057,280.00	0.94
OREGON ST	8/1/2023	2,350,000.00	2,344,219.00	0.56
PALM DESERT CALIF REDEV AGY SUCCESSOR AGY TAX ALLO	10/1/2022	1,114,074.90	1,131,266.40	1.14
RIVERSIDE CALIF UNI SCH DIST	2/1/2022	750,000.00	762,547.50	0.62
RIVERSIDE CNTY CALIF PENSION OBLIG	2/15/2023	1,375,000.00	1,427,153.75	0.80
SACRAMENTO CNTY CALIF SANTN DIST FING AUTH REV	12/1/2023	1,500,000.00	1,507,560.00	0.60
SAN BERNARDINO CALIF CMNTY COLLEGE DIST	8/1/2024	890,000.00	896,835.20	0.74
SAN DIEGO CALIF CMNTY COLLEGE DIST	8/1/2021	1,285,000.00	1,302,244.70	0.47
SAN DIEGO CALIF PUB FACS FING AUTH LEASE REV	10/15/2020	1,200,000.00	1,203,240.00	0.60
SAN DIEGO CALIF PUB FACS FING AUTH LEASE REV	10/15/2021	1,325,000.00	1,360,099.25	0.62
SAN DIEGO CALIF PUB FACS FING AUTH WTR REV	8/1/2023	620,000.00	635,717.00	0.45
SAN FRANCISCO CALIF CITY & CNTY PUB UTILS COMMN WT	11/1/2022	630,000.00	649,416.60	0.52
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2021	2,800,000.00	2,835,784.00	1.00
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2022	2,350,000.00	2,425,576.00	1.09
SANTA BARBARA CNTY CALIF SOLID WASTE SYS REV CTFS	12/1/2021	375,000.00	387,866.25	0.54
UNIV CALIF REGTS MED CTR POOLED REV	5/15/2022	1,577,512.50	1,579,248.50	0.77
UNIVERSITY CALIF REVS	5/15/2021	860,000.00	870,311.40	0.41
UNIVERSITY CALIF REVS	5/15/2022	1,926,739.20	2,009,836.80	0.52
UNIVERSITY CALIF REVS	5/15/2023	1,670,000.00	1,681,406.10	0.37
UPPER SANTA CLARA VY JT PWRS AUTH CALIF REV	8/1/2022	2,460,000.00	2,460,910.20	0.51
VALLEJO CALIF WTR REV	5/1/2023	840,000.00	847,383.60	1.13
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2022	2,865,000.00	2,930,952.30	0.66
BAY AREA TOLL AUTH CALIF TOLL BRDG REV	4/1/2022	1,105,500.00	1,125,322.00	0.66
CALIFORNIA HEALTH FACS FING AUTH REV	6/1/2021	2,140,000.00	2,160,565.40	0.61
CALIFORNIA ST	4/1/2024	3,239,373.40	3,353,086.50	0.55
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2024	2,120,000.00	2,122,480.40	0.53
CHAFFEY CMNTY COLLEGE DIST CALIF	6/1/2022	715,000.00	727,376.65	0.61
CONTRA COSTA CALIF CMNTY COLLEGE DIST	8/1/2022	1,000,000.00	1,020,840.00	0.56
EL DORADO CALIF IRR DIST REV	3/1/2023	720,000.00	725,565.60	0.56
EL DORADO CALIF IRR DIST REV	3/1/2024	720,000.00	729,129.60	0.71
HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2022	715,000.00	720,691.40	1.38
HAWAII ST ARPTS SYS CUSTOMER FAC CHARGE REV	7/1/2024	715,000.00	722,385.95	1.73
LOS ANGELES CALIF DEPT ARPTS ARPT REV	5/15/2021	1,006,380.00	1,012,400.00	0.53
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2022	900,000.00	900,198.00	0.51
LOS ANGELES CALIF MUN IMPT CORP LEASE REV	11/1/2023	720,000.00	721,375.20	0.59
LOS ANGELES CNTY CALIF PUB WKS FING AUTH LEASE REV	12/1/2021	1,537,050.00	1,549,425.00	0.53
MASSACHUSETTS ST SCH BLDG AUTH DEDICATED SALES TAX	10/15/2022	1,800,000.00	1,852,956.00	0.57
MASSACHUSETTS ST WTR RES AUTH IAM COML PAPER NTS 3	8/1/2023	2,365,000.00	2,449,099.40	0.54
MISSISSIPPI ST	11/1/2023	4,540,000.00	4,554,709.60	0.32
OHIO ST SPL OBLIG	10/1/2023	1,180,000.00	1,186,431.00	0.39
OHLONE CALIF CMNTY COLLEGE DIST	8/1/2022	800,000.00	817,328.00	0.56
PASADENA CALIF PUB FING AUTH LEASE REV	12/1/2020	275,000.00	276,809.50	0.46
PASADENA CALIF PUB FING AUTH LEASE REV	12/1/2021	400,000.00	413,608.00	0.50
PENNSYLVANIA ST TPK COMMN TPK REV	12/1/2021	876,767.50	886,208.75	1.24
RHODE IS ST TPK & BRDG AUTH TOLL REV	12/1/2021	480,000.00	484,603.20	1.35
RHODE IS ST TPK & BRDG AUTH TOLL REV	12/1/2022	400,000.00	408,172.00	1.24
RIVERSIDE CNTY CALIF PENSION OBLIG	2/15/2022	2,420,000.00	2,473,457.80	0.74
SAN DIEGO CALIF CMNTY COLLEGE DIST	8/1/2022	1,500,000.00	1,540,815.00	0.51
SAN DIEGO CNTY CALIF WTR AUTH WTR REV	5/1/2024	1,440,000.00	1,443,297.60	0.53

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SAN FRANCISCO CALIF BAY AREA RAPID TRAN DIST SALES	7/1/2022	1,484,761.60	1,511,216.80	0.61
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2022	2,138,837.50	2,179,523.90	1.09
SAN FRANCISCO CALIF CITY & CNTY ARPTS COMMN INTL A	5/1/2023	1,635,140.00	1,685,038.25	1.17
SAN FRANCISCO CALIF CITY & CNTY REDEV FING AUTH TA	2/1/2021	1,910,798.40	1,736,532.00	0.53
SAN JOSE EVERGREEN CALIF CMNTY COLLEGE DIST	9/1/2021	290,000.00	290,475.60	0.43
SAN JOSE EVERGREEN CALIF CMNTY COLLEGE DIST	9/1/2022	430,000.00	432,076.90	0.46
TEXAS ST	10/1/2022	2,335,000.00	2,399,842.95	0.28
UNIV CALIF REGTS MED CTR POOLED REV	5/15/2021	1,201,003.20	1,223,662.95	0.61
UPPER SANTA CLARA VY JT PWRS AUTH CALIF REV	8/1/2023	2,590,000.00	2,592,227.40	0.65
UPPER SANTA CLARA VY JT PWRS AUTH CALIF REV	8/1/2024	2,625,000.00	2,628,491.25	0.79
UTAH HSG CORP SINGLE FAMILY MTG REV	1/1/2022	1,535,000.00	1,550,626.30	1.33
UTAH HSG CORP SINGLE FAMILY MTG REV	7/1/2022	640,000.00	650,195.20	1.27
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2022	560,000.00	563,651.20	0.55
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	720,000.00	729,662.40	0.62
VENTURA CNTY CALIF PUB FING AUTH LEASE REV	11/1/2023	722,793.60	729,662.40	0.62
NEW YORK ST	2/15/2024	3,000,000.00	3,140,070.00	0.64
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2022	625,000.00	625,612.50	0.31
CALIFORNIA ST DEPT WTR RES CENT VY PROJ REV	12/1/2023	230,000.00	230,236.90	0.38
CONNECTICUT ST	7/1/2023	226,343.25	233,070.75	0.72
MARYLAND ST	8/1/2023	2,125,000.00	2,126,211.25	0.39
MISSISSIPPI ST	11/1/2023	925,000.00	927,997.00	0.32
PORT AUTH N Y & N J	7/1/2023	1,125,000.00	1,140,075.00	0.61
PORT AUTH N Y & N J	7/1/2023	1,101,416.70	1,109,673.00	0.61
SUB-TOTAL		122,888,628.42	124,417,141.62	
Variable & Floating Rate				
BMWOT 2020-A A3	10/25/2024	899,932.05	902,439.00	0.37
CITIBANK NA	5/20/2022	298,510.50	300,091.70	0.44
CITIBANK NA	5/20/2022	1,319,576.85	1,327,524.30	0.44
FNA 2014-M8 A2	6/25/2024	2,182,207.36	2,176,300.68	0.44
FNA 2018-M5 A2	9/25/2021	638,226.80	602,041.69	0.89
FHMS K-029 A2	2/25/2023	1,078,080.08	1,097,053.00	0.47
FHMS K-029 A2	2/25/2023	1,716,426.56	1,746,764.00	0.47
FHMS K-029 A2	2/25/2023	820,581.64	841,429.00	0.47
FHMS K-029 A2	2/25/2023	1,797,539.45	1,800,019.00	0.47
FHMS K-031 A2	4/25/2023	3,771,482.81	3,783,162.60	0.55
FHMS K-032 A2	5/25/2023	3,806,596.09	4,004,268.40	0.58
FHMS K-033 A2	7/25/2023	3,809,798.44	3,870,995.70	0.57
FHMS K-504 A2	9/25/2020	19,287.03	19,282.68	1.23
FHMS K-504 A2	9/25/2020	18,319.89	18,417.99	1.23
FHMS K-105 A	7/25/2024	1,729,946.32	1,733,544.61	0.36
FIRST REPUBLIC BANK	2/12/2024	500,000.00	514,790.00	0.00
GOLDMAN SACHS GROUP INC	10/31/2022	1,573,456.50	1,582,544.25	0.63
JPMORGAN CHASE & CO	6/18/2022	770,000.00	789,142.20	0.39
KEYBANK NA	11/22/2021	1,570,646.00	1,561,408.00	0.47
PNC BANK NA	12/9/2022	1,640,000.00	1,672,931.20	0.44
PACCAR FINANCIAL CORP	5/10/2021	700,000.00	700,791.00	0.35
WELLS FARGO BANK NA	9/9/2022	1,990,000.00	2,021,362.40	0.53
CATERPILLAR FINANCIAL SERVICES CORP	3/15/2021	2,466,577.50	2,717,742.15	0.31
CATERPILLAR FINANCIAL SERVICES CORP	5/17/2021	2,100,000.00	2,105,523.00	0.29
CITIGROUP INC	11/4/2022	3,140,000.00	3,202,580.20	0.81
FNA 2014-M6 A2	5/25/2021	127,216.23	129,841.35	0.99
FHMS K-010 A2	10/25/2020	661,625.92	642,834.66	1.07
FN AL3382	3/1/2023	740,798.88	754,900.61	0.82
FN FN0004	12/1/2020	203,426.64	200,329.37	2.91
INTERNATIONAL BUSINESS MACHINES CORP	5/13/2021	2,223,019.75	2,231,118.75	0.27
KEYBANK NA	2/1/2022	4,180,000.00	4,201,318.00	0.56
PNC BANK NA	2/24/2023	4,045,000.00	4,052,321.45	0.45
PACCAR FINANCIAL CORP	5/10/2021	3,754,687.50	3,754,237.50	0.35
STATE STREET CORP	3/30/2023	1,750,000.00	1,813,560.00	0.52
BANK OF AMERICA CORP	5/19/2024	1,425,000.00	1,460,653.50	0.82
CARMX 2020-3 A3	3/17/2025	774,867.17	778,324.75	0.45
CITIGROUP INC	11/4/2022	600,000.00	611,958.00	0.81
FHMS K-714 A2	10/25/2020	345,819.21	327,974.28	-0.73
JPMORGAN CHASE & CO	6/1/2024	1,575,000.00	1,610,894.25	0.97
SUB-TOTAL		62,762,653.17	63,662,415.23	
Supranationals				
INTER-AMERICAN DEVELOPMENT BANK	4/14/2022	1,934,593.40	1,977,400.80	0.23
INTER-AMERICAN DEVELOPMENT BANK	4/14/2022	1,177,726.00	1,203,858.00	0.23
INTER-AMERICAN DEVELOPMENT BANK	4/14/2022	811,863.00	829,693.60	0.23
INTER-AMERICAN DEVELOPMENT BANK	9/14/2022	10,484,250.00	10,822,980.00	0.23
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	6/24/2021	3,835,530.00	3,861,826.00	0.25
INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOP	6/19/2023	2,889,102.00	2,978,221.50	0.26
INTER-AMERICAN DEVELOPMENT BANK	5/24/2023	2,599,116.00	2,617,862.00	0.25
SUB-TOTAL		23,732,180.40	24,292,041.90	
SHORT-TERM PORTFOLIO - TOTAL		1,607,160,633.61	1,621,061,770.77	
BOND PROCEEDS PORTFOLIO				
GUARANTEED INVESTMENT CONTRACT (GIC)				
<i>THE BANK OF NOVA SCOTIA</i>	4/1/2021	133,600,000.00	133,600,000.00	3.01%
<i>BNY MELLON-MONEY MARKET FUND</i>	N/A	25,942,425.50	25,942,425.50	0.27%
<i>BNY MELLON-COMMERCIAL PAPER</i>	9/14/2020	24,987,993.06	24,987,993.06	0.19%
<i>BNY MELLON-COMMERCIAL PAPER</i>	10/5/2020	44,983,500.00	44,983,500.00	0.15%
BOND PROCEEDS PORTFOLIO-TOTAL		\$ 229,513,918.56	\$ 229,513,918.56	
DEBT SERVICE RESERVE FUNDS				
DESCRIPTION	MATURITY DATE	BOOK VALUE	REQUIRED AMOUNT	YIELD
<i>91 EXPRESS LANES 2013 BONDS</i>	2030		10,799,437.46	
US BANK COMMERCIAL PAPER	9/14/2020	11,479,980.60		0.14%
FIRST AMERICAN TREAS OBLIGATIONS	N/A	288.13		0.01%
<i>91 EXPRESS LANES 2013 BONDS - OPERATING & MAINTENANCE RESERVES</i>			13,000,000.00	
BANK DEPOSITS	N/A	204,406.50		
OPERATING RESERVE	10/13/2020	3,098,760.00		0.16%
MAINTENANCE RESERVE	10/13/2020	10,495,800.00		0.16%
DEBT SERVICE RESERVE FUNDS - TOTAL		\$ 25,279,235.23		
TOTAL PORTFOLIO				
		Book Value	Market Value	
TOTAL PORTFOLIO		\$ 2,020,550,927.59	\$ 2,034,452,064.75	

Staff Update
Items



October 14,2020

To: Finance and Administration Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: 2020 Measure M2 Sales Tax Forecast

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over the "From:" line of the header.

Overview

The Orange County Transportation Authority contracts with MuniServices, LLC and three universities to forecast Measure M2 taxable sales. Within the past six months, MuniServices, LLC and the three universities have each provided updated forecasts and staff has incorporated the new information into the annual update for the long-range forecast of Measure M2 taxable sales.

Recommendation

Direct staff to determine the impacts of the updated forecast to Measure M2 programs and projects and return to the Board of Directors with options to address the decrease in projected sales tax revenue.

Background

On March 28, 2016, the Orange County Transportation Authority (OCTA) Board of Directors (Board) directed staff to forecast taxable sales in Orange County by utilizing MuniServices, LLC (MuniServices) forecasted taxable sales growth rates for the first five years of the forecast period, and average growth rates based on forecasted taxable sales from three universities: Chapman University (Chapman), California State University, Fullerton (CSUF), and University of California, Los Angeles (UCLA), for the remaining years.

Due to the significant decrease in forecasted taxable sales due to the coronavirus (COVID-19) pandemic, OCTA prepared a preliminary Measure M2 (M2) Sales Tax Forecast update that was presented to the Board in August 2020. OCTA received final tax receipts for fiscal year (FY) 2019-20 in September 2020, and has prepared the final 2020 M2 sales tax forecast update. OCTA staff has also incorporated updated forecasts for MuniServices, UCLA, and CSUF. Chapman's previous forecast remains unchanged.

Discussion

The 2020 M2 sales tax forecast was completed based on final sales tax receipts for FY 2019-20 and updated sales tax forecasts provided by MuniServices, CSUF, and UCLA. Despite final sales tax receipts for FY 2019-20 being higher than anticipated and updated forecasts, total anticipated sales tax available to support the M2 Program remained at \$11.6 billion over the 30-year period, which is consistent with the figure provided to the Board in August 2020.

Final sales tax receipts for FY 2019-20 came in at \$318 million, which was \$15 million higher than anticipated in August. It was originally anticipated that the impact of COVID-19 would result in an 8.8 percent decrease in sales tax for FY 2019-20, however economic activity was stronger than anticipated and the decrease was only 4.3 percent. In addition, The California Department of Tax and Fee Administration offered small business taxpayers with less than \$5 million in taxable annual sales, a 12-month, interest-free, payment plan for up to \$50,000, of sales and use tax liability. The payment plans must be paid in full by July 31, 2021, to qualify for zero interest. While deferral payments were permissible, MuniServices informed OCTA that only a small number of businesses took advantage of the one-year extension program and that the impact was minimal to FY 2019-20 sales tax receipts.

Despite better than anticipated sales tax receipts for FY 2019-20, total anticipated sales tax available to support the M2 Program remained at \$11.6 billion due to a more conservative forecast provided by MuniServices. MuniServices lowered the growth rate for each of the next three years by approximately 1.7 percent due to the uncertainty of any near-term stimulus programs, the potential of a second wave of COVID-19, vaccine schedule, and unemployment recovery. MuniServices anticipates unemployment and the correlated weak consumer confidence to remain a barrier to strong sales tax performance over the next few years and anticipates recovering to FY 2018-19 sales tax levels in FY 2023-24. The updates to the CSUF and UCLA forecasts were minor with both being more optimistic over the next two years. The changes in these forecasts did not impact the final M2 forecast given they occurred during the first five years of the forecast period, which is during the period MuniServices forecast is used.

The MuniServices forecast includes the period from FY 2020-21 through FY 2024-25. The average annual sales tax growth rate over that period based on the MuniServices forecast is 1.7 percent. The three-university average annual growth rate for the remaining years (FY 2025-26 through FY 2040-41) is 3.2 percent and the average annual growth rate over the entire forecast period is 2.9 percent.

Staff will continue to monitor the short- and long-term impacts of COVID-19 on M2 sales tax revenues. Staff will also determine the impacts of the updated M2 sales tax forecast to M2 programs and projects and return to the Board with the impacts over the coming months as the Next 10 Plan is updated.

Summary

OCTA has finalized sales tax receipts for FY 2019-20 and received updated sales tax forecasts from MuniServices, CSUF, and UCLA. It is anticipated that total sales tax available to support the M2 Program will be \$11.6 billion, which is consistent with the preliminary forecast provided to the Board in August 2020. This represents a year-over-year decline of \$1.8 billion (-13.5 percent) in forecasted sales tax when compared to last year's forecast. Staff will determine the impacts of the forecast to M2 programs and projects and return to the Board with those impacts over the coming months as the Next 10 Plan is updated.

Attachment

- A. Orange County Transportation Authority M2 Sales Tax Revenue Forecast – 2020

Prepared by:



Sam Kaur
Department Manager,
Revenue Administration
(714) 560-5889

Approved by:



Andrew Oftelie
Chief Financial Officer,
Finance and Administration
(714) 560-5649



Orange County Transportation Authority
M2 Sales Tax Revenue Forecast - 2020
In Nominal Dollars

Fiscal Year	Actual Growth	Chapman		UCLA		CSUF		MuniServices		Board Approved Forecast	
		Gross Sales Tax*	Growth Rate	Gross Sales Tax	Growth Rate	Gross Sales Tax	Growth Rate	Gross Sales Tax	Growth Rate	Gross Sales Tax	Blended Growth Rate
2011 **	6.50%	61,756,868	-	61,756,868	-	61,756,868	-	61,756,868	-	61,756,868	-
2012	6.20%	250,892,931	-	250,892,931	-	250,892,931	-	250,892,931	-	250,892,931	-
2013	6.17%	266,384,076	-	266,384,076	-	266,384,076	-	266,384,076	-	266,384,076	-
2014	4.96%	279,599,946	-	279,599,946	-	279,599,946	-	279,599,946	-	279,599,946	-
2015	4.30%	291,615,675	-	291,615,675	-	291,615,675	-	291,615,675	-	291,615,675	-
2016	3.20%	300,944,523	-	300,944,523	-	300,944,523	-	300,944,523	-	300,944,523	-
2017	2.60%	308,768,664	-	308,768,664	-	308,768,664	-	308,768,664	-	308,768,664	-
2018	4.12%	321,480,529	-	321,480,529	-	321,480,529	-	321,480,529	-	321,480,529	-
2019	3.38%	332,358,188	-	332,358,188	-	332,358,188	-	332,358,188	-	332,358,188	-
2020	-4.33%	317,963,821	-	317,963,821	-	317,963,821	-	317,963,821	-	317,963,821	-
2021		308,453,933	-2.99%	323,625,625	1.78%	328,153,656	3.20%	304,892,373	-4.11%	304,892,373	-4.11%
2022		338,040,641	9.59%	354,081,975	9.41%	343,866,582	4.79%	315,406,587	3.45%	315,406,587	3.45%
2023		349,315,549	3.34%	371,216,120	4.84%	357,266,568	3.90%	326,159,503	3.41%	326,159,503	3.41%
2024		358,392,908	2.60%	387,650,397	4.43%	369,170,095	3.33%	337,065,618	3.34%	337,065,618	3.34%
2025		367,498,734	2.54%	401,134,459	4.48%	383,168,314	3.79%	345,094,010	2.38%	345,094,010	2.38%
2026		376,857,451	2.55%	416,077,170	3.73%	397,974,000	3.86%	356,753,273	3.38%	356,753,273	3.38%
2027		386,512,677	2.56%	431,541,719	3.72%	412,719,363	3.71%	368,625,896	3.33%	368,625,896	3.33%
2028		396,607,526	2.61%	447,501,537	3.70%	428,494,332	3.82%	381,075,996	3.38%	381,075,996	3.38%
2029		407,080,425	2.64%	463,963,747	3.68%	445,123,875	3.88%	394,032,883	3.40%	394,032,883	3.40%
2030		418,212,578	2.73%	480,775,494	3.62%	462,524,376	3.91%	407,518,361	3.42%	407,518,361	3.42%
2031		429,808,189	2.77%	497,874,281	3.56%	481,073,772	4.01%	421,563,657	3.45%	421,563,657	3.45%
2032		441,648,187	2.75%	515,552,665	3.55%	498,656,052	3.65%	435,559,976	3.32%	435,559,976	3.32%
2033		453,879,397	2.77%	533,550,874	3.49%	516,033,651	3.48%	449,708,975	3.25%	449,708,975	3.25%
2034		466,375,541	2.75%	551,880,045	3.44%	533,340,459	3.35%	464,013,195	3.18%	464,013,195	3.18%
2035		479,151,763	2.74%	570,703,158	3.41%	550,796,390	3.27%	478,588,066	3.14%	478,588,066	3.14%
2036		492,301,521	2.74%	589,937,392	3.37%	568,188,584	3.16%	493,380,101	3.09%	493,380,101	3.09%
2037		505,829,140	2.75%	609,619,848	3.34%	585,760,850	3.09%	508,472,397	3.06%	508,472,397	3.06%
2038		519,768,895	2.76%	629,735,796	3.30%	603,654,098	3.05%	523,913,479	3.04%	523,913,479	3.04%
2039		534,134,605	2.76%	650,292,000	3.26%	621,792,130	3.00%	539,688,216	3.01%	539,688,216	3.01%
2040		549,023,279	2.79%	671,285,409	3.23%	640,493,303	3.01%	555,920,901	3.01%	555,920,901	3.01%
2041 **		423,269,223	2.79%	519,537,348	3.19%	494,918,607	3.03%	429,468,960	3.00%	429,468,960	3.00%
Total		\$ 11,733,927,384	2.79%	\$ 13,149,302,280	3.79%	\$ 12,754,934,279	3.54%	\$ 11,568,667,643	2.85%		

*Fiscal years 2011 through 2017, and 2020 represent actual sales tax receipts. Fiscal Year 2018 is based on estimated sales tax revenues from MuniServices, LLC. Fiscal Year 2019 represent actual sales tax receipts plus \$1.58 million additional revenues received for Fiscal Year 2018 above MuniServices Fiscal Year 2018 estimate.

** Fiscal year 2011 includes sales tax receipts for one quarter and fiscal year 2041 represents forecasted sales tax receipts for three quarters.



September 10, 2020

To: Transit Committee

From: Darrell E. Johnson, Chief Executive Officer

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over the "From:" line.

Subject: Measure M2 Project W Safe Transit Stops – 2020 Programming Recommendations

Overview

In April 2020, the Board of Directors requested that staff reopen the Measure M2 Project W Safe Transit Stops – 2019 Programming Recommendations to consider additional projects. As a result, the Orange County Transportation Authority issued a notification to all eligible applicants to submit project proposals by June 30, 2020. Review of these applications is now complete and additional programming recommendations are presented for Board of Directors' consideration and approval.

Recommendation

Approve the award of \$1.03 million in 2020 Project W Safe Transit Stops Program funds to the City of Santa Ana for 35 bus stop improvements.

Background

Within Measure M2 (M2), Project W provides funding for passenger amenity improvements at the 100 busiest bus stops in Orange County. Project W's first call for projects (call) occurred in 2014, and a second call was issued in 2019. Since the initial call, the program has provided funding for amenity improvements at many of the County's busiest bus stops.

In April 2020, staff was directed to evaluate the performance of the previous Project W call (completed in June 2019), and to gauge eligible local agencies' interest in participating in a potential second round of Project W funding evaluation. Based upon responses received, it was determined that there was sufficient demand to warrant another round of Project W funding consideration.

All eligible local agencies were then notified of this funding opportunity and Comprehensive Transportation Funding Programs (CTFP) Guidelines for Project W and application materials were provided for eligible agencies to consider and complete, as appropriate. The application deadline was June 30, 2020, and as of that date, the Orange County Transportation Authority (OCTA) received a funding request from the City of Santa Ana (City) to support improvements at 35 qualifying bus stop locations.

Discussion

Staff has reviewed each of the City's 35 bus stop proposals (22 high-load¹ and 13 normal-load²) and worked with the City to address technical issues and clarify scope descriptions, as appropriate. This process is now complete, and staff is recommending that \$1.03 million in M2 Project W funds be programmed to support improvements at all 35 bus stops. Improvements at the 35 bus stops include replacement of existing shelters, benches, trash receptacles, advertising cases, and necessary concrete improvements.

For more information on these programming recommendations, please refer to Attachment A, which provides project specifics, as well as information with respect to each proposed bus stop amenity improvement. Attachment B provides a map of proposed bus stop improvement locations.

Next Steps

If these programming recommendations are approved by the Board, Project W funding for the 35 bus stops for the City will be incorporated into the City's master funding agreement with OCTA, which will allow the City and OCTA staff to monitor project development, implementation, and status via the M2 semi-annual review and quarterly review processes.

Summary

Staff is recommending that the Board approve the use of \$1.03 million in Project W funding to provide significant transit amenities for passengers, including providing seating structures and shelters (from the rain and sun) at 35 of the busiest bus stops in the City. These improvements, if approved, will significantly enhance the overall transit experience for OC Bus riders.

¹ Per the CTFP Project W Guidelines, high-load bus stops are eligible for up to a \$35,000 dollar allocation.

² Per the CTFP Project W Guidelines normal-load bus stops are eligible for up to a \$20,000 dollar allocation.

Attachments

- A. 2020 Project W Programming Recommendations Listing
- B. 2020 Project W Programming Recommendations

Prepared by:



Alfonso Hernandez
Senior Transportation Funding Analyst
(714) 560-5363

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741

2020 Project W Programming Recommendations Listing

List No.	City	Stop ID No.	Project Location	Proposed Scope	Bus Stop Type
1	Santa Ana	6068	Bristol Street/17th Street	Replace existing shelter with two shelters, two benches, three trash receptacles, two leaning rails, advertising case, and prepare concrete as necessary.	High-Load
2	Santa Ana	5928	17th Street/Main Street	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
3	Santa Ana	6077	Bristol Street/McFadden Avenue	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
4	Santa Ana	5947	1st Street/Harbor Boulevard	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
5	Santa Ana	6513	Main Street/17th Street	Replace existing shelter with two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
6	Santa Ana	5902	17th Street/Bristol Street	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
7	Santa Ana	6412	Harbor Boulevard/1st Street	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
8	Santa Ana	6556	McFadden Avenue/Bristol Street	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
9	Santa Ana	6035	Bristol Street/Sunflower Boulevard	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load

2020 Project W Programming Recommendations Listing

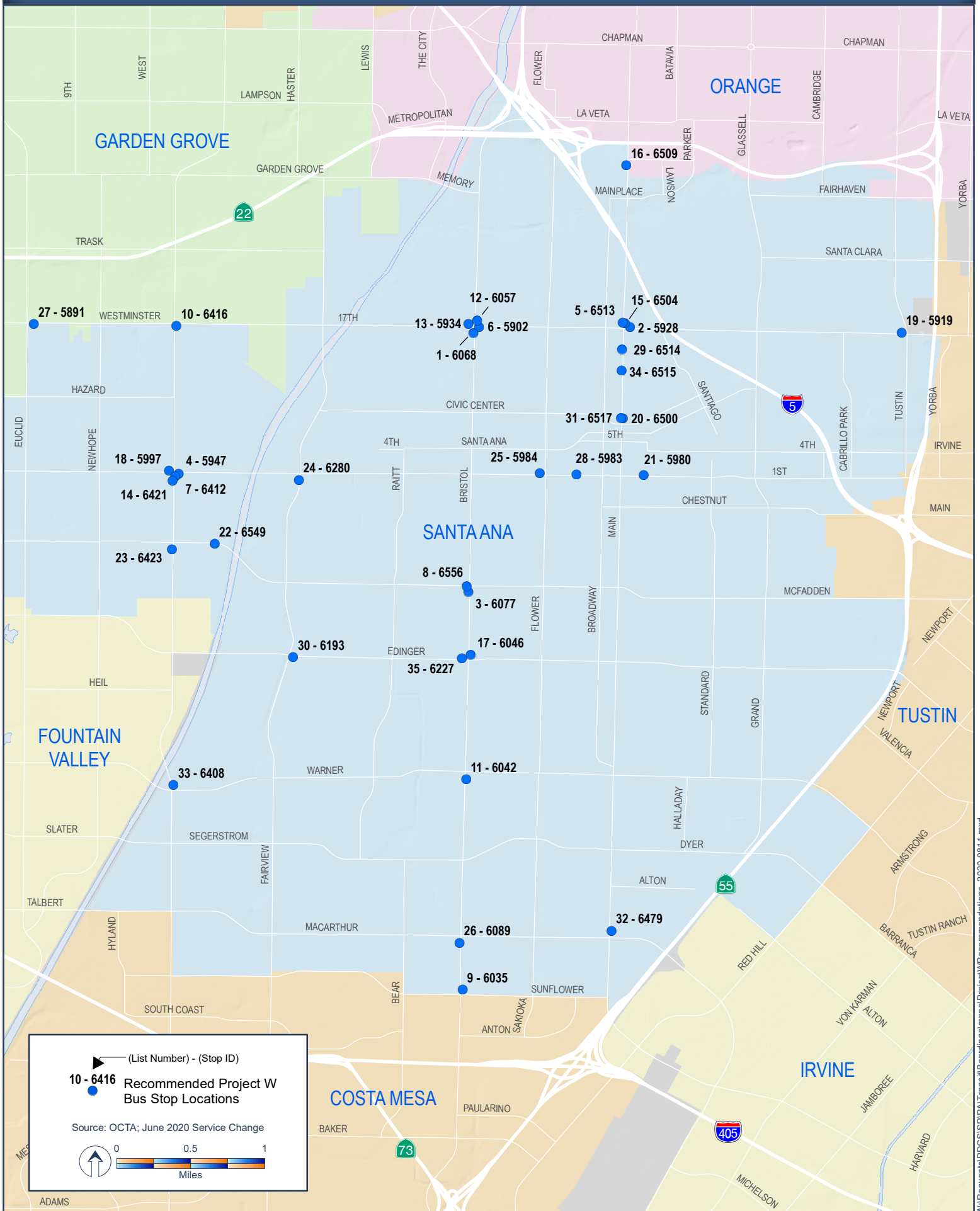
List No.	City	Stop ID No.	Project Location	Proposed Scope	Bus Stop Type
10	Santa Ana	6416	Harbor Boulevard/Westminster Avenue	Replace existing shelter with new single shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
11	Santa Ana	6042	Bristol Street/Warner Avenue	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
12	Santa Ana	6057	Bristol Street/17th Street	Replace existing shelter with two shelters, two benches, three trash receptacles, and advertising case, and prepare concrete as necessary.	High-Load
13	Santa Ana	5934	17th Street/Bristol Street	Replace existing shelter with one shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
14	Santa Ana	6421	Harbor Boulevard/1st Street	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
15	Santa Ana	6504	Main Street/17th Street	Replace existing shelter with one shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
16	Santa Ana	6509	Main Street/Main Place	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
17	Santa Ana	6046	Bristol Street/Edinger Avenue	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
18	Santa Ana	5997	1st Street/Harbor Boulevard	Replace existing shelter with two shelters, two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
19	Santa Ana	5919	17th Street/Tustin Avenue	Replace existing shelter with two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load

2020 Project W Programming Recommendations Listing

List No.	City	Stop ID No.	Project Location	Proposed Scope	Bus Stop Type
20	Santa Ana	6500	Main Street/Civic Center	Add one new shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
21	Santa Ana	5980	1st Street/Downtown Plaza	Replace existing shelter with one shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
22	Santa Ana	6549	McFadden Avenue/Jackson Street	Add one shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
23	Santa Ana	6423	Harbor Boulevard/McFadden Avenue	Replace existing shelter with one shelter, one bench, one trash receptacles, and advertising case.	Normal-Load
24	Santa Ana	6280	Fairview Avenue/1st Street	Add two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
25	Santa Ana	5984	1st Street/Flower Street	Add two shelters, two benches, two trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
26	Santa Ana	6089	Bristol Street/MacArthur Boulevard	Replace existing shelter with one shelter, one bench, one trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
27	Santa Ana	5891	Westminster Avenue/Euclid Avenue	Add one shelter, one bench, one trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
28	Santa Ana	5983	1st Street/Ross Street	Add one shelter, one bench, one trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
29	Santa Ana	6514	Main Street/15th Street	Add one shelter, one bench, one trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
30	Santa Ana	6193	Edinger Avenue/Fairview Avenue	Replace existing shelter with two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load

2020 Project W Programming Recommendations Listing


List No.	City	Stop ID No.	Project Location	Proposed Scope	Bus Stop Type
31	Santa Ana	6517	Main Street/Civic Center Drive	Replace existing shelter with one shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
32	Santa Ana	6479	Main Street/MacArthur Boulevard	Replace existing shelter with one shelter, one bench, two trash receptacles, advertising case, and prepare concrete as necessary.	Normal-Load
33	Santa Ana	6408	Harbor Boulevard/Warner Avenue	Replace existing shelter with two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
34	Santa Ana	6515	Main Street/Washington Street	Replace existing shelter with two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load
35	Santa Ana	6227	Edinger Avenue/Bristol Street	Replace existing shelter with two shelters, with two benches, three trash receptacles, advertising case, and prepare concrete as necessary.	High-Load





October 5, 2020

To: Executive Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Measure M2 Senior Mobility Program Temporary Guideline Exceptions

Overview

The Measure M2 Senior Mobility Program provides funding to eligible jurisdictions to provide transit services that best meet the needs of their senior communities. Due to the impacts of the coronavirus pandemic, some jurisdictions have suspended operation of their Senior Mobility Program, and some have modified their services to continue to meet the needs of their senior communities in different ways, such as providing home-delivered meals in lieu of transporting the seniors to their nutrition programs. Staff recommends temporary exceptions to the Senior Mobility Program Guidelines to assist local jurisdictions in continuing to meet the needs of their senior communities through these unprecedented times. Board of Directors' approval of the proposed temporary guideline modifications is requested.

Recommendations

- A. Approve a temporary exception of the Senior Mobility Program guideline requirements related to service guidelines and service plan amendments, allowing agencies to use funds to provide the delivery of meals to seniors who had previously used city-provided transportation to travel to nutrition programs, from March 4, 2020 until Governor Newsom lifts the State of Emergency.
- B. Approve a temporary exception to the Senior Mobility Program guideline requirement related to funding distribution to suspend and hold allocations in reserve for agencies with suspended services until the State of Emergency is lifted or transportation services resume, whichever happens first.

Background

The Measure M2 (M2) Project U – Senior Mobility Program (SMP) provides funding to support local, community-based transportation services for seniors. Originally established in 2001, using limited state funding for bus operations, M2 Project U SMP funding was established to continue and expand the existing program. A formula funding allocation was established for all Orange County participating cities and eligible agencies based upon their senior population as determined from the most recent census. One percent of M2 net revenue is used to fund the SMP. Consistent with prior Board actions, there are currently three non-profit agencies included in the SMP. These non-profits are funded with non-M2 local funds but are managed according to the M2 SMP Guidelines to promote consistency. Participating cities and eligible non-profit agencies (collectively referred to as “agencies”) must provide a minimum 20 percent local match of the total annual program expenditures.

To ensure compliance with the M2 Ordinance No. 3 (M2 Ordinance), the SMP Funding and Policy Guidelines (Guidelines) were established and approved by the Orange County Transportation Authority (OCTA) Board of Directors (Board) on February 14, 2011. The Guidelines (Attachment A) are updated as needed, with the latest revision adopted by the Board on November 26, 2018. On May 22, 2020, the Board approved a temporary suspension to the competitive procurement requirement in Section 6.0 of the Guidelines to provide relief after a transportation company ceased providing services in Orange County on short notice, affecting several SMPs’ ability to contract for replacement providers.

The SMP is a vital connection for seniors to travel to medical appointments, grocery shopping, and senior center nutrition programs. Without the SMP, many seniors would have more limited transportation options.

Discussion

On March 4, 2020, Governor Newsom proclaimed a State of Emergency to exist in California as a result of the threat of the coronavirus (COVID-19). As Orange County residents heeded public health directives, transit ridership experienced a sharp decline. Community programs for seniors have also been impacted because the senior population is considered to be particularly vulnerable to COVID-19. At its core, the intent of this M2 element is to provide transportation services for seniors, but the services have been altered or suspended due to the current State of Emergency.

In compliance with Governor Newsom's Executive Order, agencies have closed their senior centers. Some agencies have modified their SMP service to deliver meals to seniors, as they are unable to attend nutrition programs at the senior center. In particular, Section 6.0 of the Guidelines details the types of senior transportation trips that are eligible for funding through the SMP. Section 7.0 of the Guidelines also requires that each agency formally adopt a service plan and amend the service plan if there are any revisions. Staff recommends a temporary exception to the Guidelines to allow meal delivery in lieu of transportation to the senior center, and to accept a letter from the city manager or the non-profit official representative outlining the temporary use of SMP funds for meal delivery until Governor Newsom lifts the State of Emergency.

In addition, the M2 Ordinance requires that M2 net revenues be expended within three years of receipt. OCTA may grant an extension to the three-year limit, but an extension shall not be granted beyond a total of five years from the date of allocation. To provide relief to agencies that have suspended their SMP services, staff recommends that OCTA suspend distribution of SMP funds to agencies with suspended services and to hold the funds in reserve for the agencies with suspended services until Governor Newsom lifts the State of Emergency or when the agency notifies OCTA that they have reinitiated SMP services, whichever occurs first. This change will temporarily modify Section 4.0 of the Guidelines. OCTA will send letters to agencies with suspended services to notify them of fund distribution suspension. To release the reserved funds, the agency will be required to send a letter from the city manager or the non-profit official representative to notify OCTA of service resumption. OCTA will send the reserve balance to the agency within 14 days. The three-year expenditure timely-use of funds will be based on when the funds were released to the agency. If SMP services do not resume within 30 days of Governor Newsom lifting the State of Emergency, the reserved funds will be returned to the program and distributed to the Fare Stabilization Program per the Board-approved Guidelines.

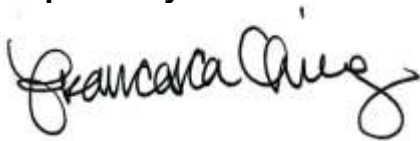
Summary

To provide flexibility and relief to agencies during the coronavirus pandemic, staff recommends the Board authorize the Chief Executive Officer to grant temporary exceptions to the Guidelines until Governor Newsom lifts the State of Emergency. The exceptions will allow for meal delivery to seniors who are unable to attend nutrition programs at senior centers and preserve SMP funds for agencies.

Attachment

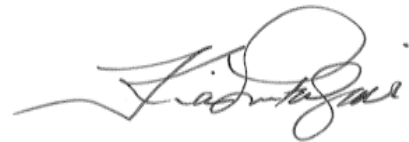
- A. Senior Mobility Program, Project U Funding and Policy Guidelines

Prepared By



Francesca Ching
Section Manager,
M2 Program Management Office
(714) 560-5625

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

1.0 Overview

The Measure M2 (M2) Project U – Senior Mobility Program (SMP) provides funding to support local, community-based transportation service for seniors. Originally established in 2001 using limited state funding for bus operations, M2 Project U SMP funding was established to continue and expand the existing program. A formula funding allocation was established for all Orange County participating cities and eligible agencies based upon their senior population. One percent of M2 net revenue is used to fund the program, and participating cities and eligible agencies must provide a minimum 20 percent local match of the total annual program expenditures.

Included in the SMP are eligible non-profits. These agencies are funded locally and must also comply with the SMP Funding and Policy Guidelines (Guidelines).

2.0 Objectives

- To provide for local, community-based senior transportation services.
- To allow participating cities and eligible agencies to develop and implement senior transportation services to serve their community.
- To provide transit options for seniors which complement rather than duplicate the Orange County Transportation Authority (OCTA) fixed-route and ACCESS paratransit service.

3.0 Eligibility Requirements

Participation in the SMP is contingent upon maintaining M2 eligibility. Participating cities and eligible agencies must be eligible to receive M2 funding, established on an annual basis as specified in the M2 Ordinance Requirements for Eligible Jurisdictions, to receive the formula allocation for this program.¹ Adherence to strict funding guidelines is required.

Participating cities and eligible agencies are required to submit a service plan as described in Section 7.0 and must enter into a cooperative funding agreement with OCTA that defines the conditions of use of SMP funds prior to receiving their SMP funding allocation.

¹ OCTA Ordinance No. 3, Attachment B, Section III

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

4.0 Funding Allocation Method and Distribution

Funding for the program is identified as one percent of M2 net sales tax revenue and will be allocated to eligible participating cities and eligible agencies based upon the participating cities and eligible agencies' percentage of the senior population of the county. Senior population is determined by using the most current official decennial Census information provided by the United States Census Bureau.

Funding allocations are based on actual sales tax receipts. Funding will be distributed on a bimonthly basis. SMP funds must be expended within three years of receipt.

OCTA may grant a two-year extension beyond the three-year expenditure limitation; however, an extension may not exceed five years from the date of the initial funding allocation. Participating cities and eligible agencies requesting an extension beyond the three-year limitation must submit a justification letter for review and approval by OCTA at least 90 days prior to the end of the third fiscal year.

In the event the time limits for use of SMP funds are not satisfied, any retained SMP funds that were allocated to an eligible participating city and eligible agency, including interest, shall be returned to OCTA.

5.0 Match Requirements

Participating cities and eligible agencies must provide a minimum 20 percent local match of the total annual program expenditures. Match funding may be made up of cash subsidies, fare revenues, donations, or in-kind contributions such as salaries and benefits for the participating cities and eligible agencies' employees who perform work on the program. Participating cities and eligible agencies may also be required to submit supporting documentation to substantiate local match expenditures. Participating cities and eligible agencies are not required to contribute the minimum match requirement on a monthly basis; however, the minimum 20 percent match requirement must be met by the end of each fiscal year, defined as June 30.

Participating cities and eligible agencies not satisfying the annual 20 percent match shall be subject to withholding of funds from future bimonthly allocations equal to the difference between the amount of Measure M funds actually spent and the amount of Measure M funds actually matched.

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

Example:

Total Program Expenditures	\$100,000
Total M2 Funding Allocation	\$ 80,000
20 Percent Required Match	\$ 20,000
Actual Reported Match	\$ 15,000

Withholding Calculation:

Total M2 Funds Spent	\$ 80,000
M2 Funding Eligibility Based on Actual Reported Match	- <u>\$ 60,000</u>
Withholding from Future Allocation(s)	\$ 20,000

6.0 Service Guidelines

Services provided under the SMP are available to individuals 60 years of age and older. Participating cities and eligible agencies have discretion in the types of trips provided within Orange County, such as trips to/from senior centers, medical appointments, shopping, personal care, and social/recreational activities. Participating cities and eligible agencies should use discretion when providing trips for social/recreational activities when developing their service plan to ensure prudent and appropriate use of taxpayer funds. SMP trips outside Orange County are restricted to medical trips only within approximately ten miles of the Orange County border.

Participating cities and eligible agencies also have discretion in how the service is operated. Senior transportation services may be operated using employees, volunteers, or the jurisdiction may contract with a third-party service contractor. Contractors must be selected using a competitive procurement process and the participating city and eligible agency must ensure the contractor is in compliance with program guidelines and provisions included in the cooperative funding agreement.

Participating cities and eligible agencies whose program offers subsidized taxi service for seniors must ensure trips provided with SMP funding are consistent with the trip types as specified in these Guidelines.

Wheelchair accessible vehicles must be available for SMP service.

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

Participating cities and eligible agencies will perform, or ensure that a contractor performs, maintenance of all vehicles used in the SMP. Participating cities and eligible agencies will ensure that its operators, or its contracted operators, are properly licensed and trained to proficiency to perform duties safely, and in a manner which treats its riders with respect and dignity.

Participating cities and eligible agencies may receive one retired OCTA ACCESS paratransit vehicle per year, free of charge, to support their senior transportation programs subject to availability. Any retired ACCESS vehicles in excess of one per year may be purchased for a cost equivalent to the refurbishment cost incurred by OCTA.

7.0 Service Plan Adoption

Participating cities and eligible agencies shall submit to OCTA a SMP Service Plan (Service Plan) which defines program services (Exhibit A). The Service Plan must be submitted using a template provided by OCTA and must be adopted by the participating cities and eligible agencies' governing body and approved by the OCTA Board of Directors (Board). Any revision to the adopted SMP Service Plan must be submitted to OCTA in advance for review and approval. Revisions to the trips listed on the service plan will require an amendment to the cooperative funding agreement prior to implementing a change in program services.

8.0 Insurance

Participating cities and eligible agencies shall procure and maintain insurance coverage as specified in their SMP cooperative agreements with OCTA.

9.0 Drug and Alcohol Testing

Participating cities and eligible agencies shall establish and implement an alcohol and drug testing program that complies with 41 U.S.C. sections 701-707, (the Drug Free Workplace Act of 1988), and will produce any documentation necessary to establish its compliance with sections 701-707.

10.0 Marketing and Outreach

Participating cities and eligible agencies shall participate as appropriate in OCTA marketing and outreach efforts to encourage the use of fixed route transit service by older adults.

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

11.0 Recognition of OCTA Sponsorship

Participating cities and eligible agencies shall note OCTA sponsorship in any promotional material for senior mobility services funded by OCTA and shall display an OCTA-provided OC Go SMP decal on vehicles used in this program, excluding taxis.

12.0 Vehicle Maintenance

Participating cities and eligible agencies shall perform or ensure that a contracted vendor performs maintenance of all vehicles used in the program, including:

- Daily pre-trip inspections and completion of checklists identifying each vehicle component and system inspected.
- Scheduled preventive maintenance that meets or exceeds the vehicle manufacturer's standards.
- Maintaining maintenance records for each vehicle for five years. If required, cooperation in annual motor coach carrier terminal inspections conducted by the California Highway Patrol.

13.0 Eligible Expenses

Participating cities and eligible agencies shall ensure M2 funds are used for eligible direct program-related expenses, which may include contract service providers, staff time, vehicle maintenance, fuel, insurance, vehicle acquisition, program supplies and materials, marketing materials, and community outreach. Participating cities and eligible agencies shall ensure all costs are program-related and are fair and reasonable. Administrative costs up to ten percent are allowed and considered eligible program expenses. All program expenses are subject to audit.

No M2 funding shall be used by a participating city and eligible agency for other than transportation purposes authorized in the M2 Ordinance.

14.0 Program Revenue

Participating cities and eligible agencies must maintain adequate controls for collecting and reporting program revenue, including donations, fees, and cash fares. Program revenue must be used to support the transportation service and may be used as part of the participating cities and eligible agencies' 20 percent local match requirement.

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

15.0 Reporting

Participating cities and eligible agencies are required to submit reports using templates provided by OCTA. Required reporting data will include, but not be limited to, the following:

A. Operational Reports

- Number of trips by category,
- Vehicle service hours,
- Operational reports are due 30 days after the end of the service month,
- Vehicle service miles.

B. Financial Reports

- Program cost detail by expense category and percent of total operating cost,
- Fares, fees, and other operating revenue,
- Participating city and eligible agency total contribution and source,
- Participating city and eligible agency share as percent of total operating cost,
- Cumulative participating city and eligible agency share to date,
- OCTA contribution,
- OCTA contribution as percent of total operating cost,
- Cumulative contribution received from OCTA,
- Total monthly program operating cost,
- Cumulative total program operating cost.

Financial reports are due 60 days after the end of the quarter. Reports must be certified by the participating city and eligible agency's finance director or finance director's financial designee.

Participating cities and eligible agencies shall be required to maintain supporting documentation to substantiate reporting data. Supporting documentation may include, but is not limited to, actual receipts, contractor invoices, trip sheets, payroll, timesheets, fuel logs, and maintenance records/receipts.

**Senior Mobility Program
Project U Funding and Policy Guidelines
November 2018**

- C. Annual Questionnaire and Document Request (AQDR)
Participating cities and eligible agencies shall certify their compliance with these Guidelines annually by having their city manager or city manager's department director designee sign a completed version of a questionnaire sent out by OCTA. Jurisdictions shall also submit all compliance-related documents requested by OCTA. Completed AQDRs must be submitted to OCTA within 90 days of the end of the fiscal year reported upon. Failure to meet the established reporting deadlines for any of these reports may result in future withholding of funding and/or other sanctions to be determined.

16.0 Audits & Inspection of Records

M2 funding is subject to audit. Participating cities and eligible agencies shall maintain program documentation and records for a period of no less than five years. Program documents and records, including but not limited to payroll, trip sheets, invoices, vehicle maintenance, fuel, and other program-related expenses, shall be available for review by OCTA SMP administrators, auditors, and authorized agents upon request. Participating cities and eligible 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 withholding or loss of future funding. Failure to comply with the approved Service Plan will require remediation which may include repayment, reduction in overall allocation, and/or other sanctions to be determined by the Board.

Audits shall be conducted by the OCTA Internal Audit Department, or other authorized agent, as determined by OCTA.

OCTA's failure to insist in any one or more instances of a participating city and eligible agency's performance of the provisions set forth in these Guidelines shall not be construed as a waiver or relinquishment of the participating city and eligible agency's obligation to comply with these Guidelines.

Moreover, only the Board shall have the authority to alter and/or waive any requirements/obligations set forth in these Guidelines.



Senior Mobility Program Agency Service Plan

Cities and eligible agencies participating in the Orange County Transportation Authority (OCTA) Senior Mobility Program (SMP) must complete the following Service Plan in order to receive SMP funding. The Service Plan must be developed in accordance with SMP Guidelines and submitted to OCTA for review. Upon review from OCTA, the Service Plan must be formally adopted by the agency's council or governing body and approved by the OCTA Board of Directors. Any modifications to trip types (Item 3 below) requires submittal of a new Service Plan.

Participant Information:

Agency _____ Date _____

Program Contact _____

Phone _____ Email _____

Service Description:

1. Program goals and objectives:

2. Indicate how SMP service will be operated: *(Please check all that apply)*

Directly-Operated

Subsidized Taxi Program

Contract Service Provider

Other (Please Describe)

Volunteers

3. Eligible trips provided under the SMP are limited to the following categories.

Amusement parks Aquariums/zoos Beaches and parks Charity and social group events Community/cultural events Education/employment-related Family and friends Funerals/memorial services Government offices and services Libraries/museums/cultural sites	Medical Movie theaters/concerts Nutrition programs Personal care Religious institutions Restaurants Senior Centers Shopping Sporting/fitness Transit hubs/centers
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Describe any other types of trip provided in the box below:

4. SMP Guidelines restricts trips outside of Orange County to medical trips within approximately 10 miles of the Orange County border. Do you intend to provide medical trips outside of Orange County?

Yes

No

If yes, please list any destinations outside Orange County: (*ex. - medical trips to the VA Hospital in Long Beach*)

5. Fare structure:

6. Number of vehicles:

7. Projected annual ridership:

8. Source(s) of 20 percent match funding:

IN WITNESS WHEREOF, _____ (Agency Name) _____ has formally adopted the Senior Mobility Program Agency Service Plan as written above.

AGENCY REPRESENTATIVE

(Signature)

Name: _____

Title: _____

OCTA REPRESENTATIVE

(Signature)

Name: _____

Title: _____



October 5, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over the "From:" line.

Subject: 2020 Project X – Environmental Cleanup Program Tier 1 Call for Projects – Programming Recommendations

Overview

The Orange County Transportation Authority's Environmental Cleanup Program provides Measure M2 funding for water quality improvement projects to address transportation-related pollution. The fiscal year 2020-21 Tier 1 Grant Program call for projects was issued on March 9, 2020. Evaluations are now complete, and a list of projects and recommended funding allocations are presented for review and approval.

Recommendation

Approve 12 projects, in the amount of \$2,800,000, for the 2020 Tier 1 Environmental Cleanup Program Tier 1 call for projects.

Background

In May 2010, the Orange County Transportation Authority (OCTA) Board of Directors (Board) approved a two-tiered approach to fund the Measure M2 (M2) Project X Environmental Cleanup Program (ECP). The Tier 1 Grant Program is designed to mitigate the more visible forms of pollutants, such as litter and debris, which collect on roadways and in catch basins (i.e., storm drains) prior to being deposited in waterways and the ocean. The Tier 2 Grant Program provides funding for larger (i.e., treating catchment areas of 50 acres or greater) potentially multijurisdictional, capital-intensive structural treatment best management practice (BMP) types of projects.

Tier 1 funds are made available through a call for projects (call) to Orange County local governments to purchase equipment and provide upgrades to existing catch basins and other related BMPs that supplement current requirements. Examples include screens, filters, and inserts for catch basins, as well as other devices designed to remove the above-mentioned pollutants.

Proposed projects must demonstrate a direct nexus to the reduction of transportation-related pollution, as developed and defined by the OCTA Environmental Cleanup Allocation Committee (ECAC).

To date, the Board has approved funding for 177 Tier 1 projects, totaling approximately \$25 million. It is estimated that nearly 33 million gallons of trash have been captured since inception of the ECP in 2011. On March 9, 2020, the Board approved issuance of the current fiscal year 2020-21 ECP Tier 1 call, making available up to \$2.8 million to support a tenth call.

Discussion

The initial deadline for the ECP Tier 1 call applications was May 7, 2020. However, due to the coronavirus (COVID-19) pandemic and Governor Newsom's statewide stay-at-home order (issued during the call), the application deadline was extended to June 25, 2020. As of that date, 13 applications were submitted from 13 local agencies. Subsequently, the City of Lake Forest elected to withdraw their application due to anticipated budget uncertainties resulting from impacts of COVID-19. The applications were reviewed and evaluated by an application review committee consisting of OCTA staff, the ECAC Chairman, and an additional member of the ECAC. Project applications were evaluated based on key Board-approved criteria for project applications, which included the following:

- Effectiveness at removing trash and debris;
- Cost/benefit analyses;
- Pollution reducing benefits;
- Project readiness;
- Adequacy of proposed operations and maintenance plans; and
- Submission of clear and detailed work plans with specific implementation timing documented.

The ECAC met on September 10, 2020, and at that meeting the ECAC approved recommending to the Board that 12 projects be awarded ECP Tier 1 funds, in an amount equaling \$2,800,000. The projects that are recommended for funding primarily consist of catch basin debris screen devices, including 1,346 connector pipe screens (CPS), 963 automatic retractable screens (ARS) devices, 32 catch basin inlet filters, one trash interceptor, one debris separating baffle box, and one continuous deflection separator.

All 12 projects met overall program objectives and satisfied key Board-approved criteria for project applications (listed above).

A brief overview of the project types that are recommended for funding is provided below. Attachment A includes project-specific information, final scores, and recommended award amount.

- Catch basin debris screen devices: These devices prevent trash and debris from entering storm drain systems through catch basins and primarily consist of CPS and/or ARS types of devices.
- Catch basin inserts consist of filters inserted into storm drains and/or catch basins, which filter and remove trash and debris from storm water flowing through them.
- A trash interceptor (also referred to as a trash wheel) includes a floating boom system that captures trash and directs it toward a conveyor system that is powered by stream flow and solar power. Trash is lifted by a conveyor system and then dropped into a haul-off container, which is then collected and emptied as part of regular maintenance and operations.
- A debris-separating baffle box is an advanced storm water treatment system utilizing a non-clogging screen technology and hydrodynamic separation to capture pollutants. The non-clogging screening system stores trash and debris in a dry state, suspended above sedimentation chambers, thereby allowing for easier maintenance.
- A continuous deflection separator device, which allows storm water to be conveyed through 5mm-diameter perforated metal sheets while trapping trash, debris, and solids for subsequent maintenance and removal.

As part of this program, local agencies agree to contribute a minimum cash match of 20 percent of total project costs. All recommended projects meet this requirement and are recommended for programming approval.

Next Steps

If these programming recommendations are approved by the OCTA Board, each funded agency will be required to execute a letter amendment to the Comprehensive Transportation Funding Programs (CTFP) Master Agreement prior to project implementation. OCTA will then monitor project status and implementation through the CTFP semi-annual review process.

Summary

In order to assist local agencies in delivering projects that support water quality improvements related to transportation infrastructure, staff is seeking Board approval to program \$2,800,000 in ECP funds to 12 local agency projects.

Attachment

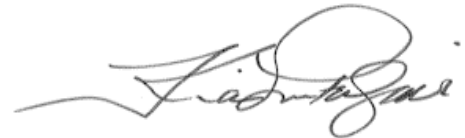
- A. Project X 2020 Tier 1 Call for Projects, Programming Recommendations

Prepared by:



Alfonso Hernandez
Senior Transportation Funding Specialist
(714) 560-5363

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741

**Project X 2020 Tier 1 Call for Projects
Programming Recommendations**

Projects Recommended for Funding					
Agency	Project	Project Description	Score	Funding	Cumulative
San Clemente	San Clemente Eastern Pico Corridor Runoff Treatment Project	Install 100 CPS units and 244 ARS devices	86.33	\$ 220,000	\$ 220,000
Mission Viejo	Mission Viejo Trash and Runoff Abatement Project – Central City Area	Install 60 CPS units and 184 ARS devices	84.17	\$ 160,000	\$ 380,000
Placentia	Catch Basin Insert Project - Phase 6	Install 108 CPS units and 116 ARS devices	83.50	\$ 160,000	\$ 540,000
Fullerton	Installation of Full Capture Trash Devices in Catch Basins - 2020	Install 100 CPS units	83.33	\$ 95,244	\$ 635,244
Laguna Hills	Laguna Hills CPS-Mod and ARS-CL Screen Project Phase IX	Install 109 CPS units and 237 ARS devices	81.83	\$ 200,000	\$ 835,244
Anaheim	Storm Drain Full Capture Catch Screen Project	Install 625 CPS units	81.50	\$ 499,552	\$ 1,334,796
Newport Beach	Newport Bay Trash Interceptor Project	One trash interceptor	79.67	\$ 500,000	\$ 1,834,796
Yorba Linda	Yorba Linda Arterial Roadway Automatic Retractable Screens Retrofit Project	Install 182 ARS devices	77.83	\$ 160,000	\$ 1,994,796
Irvine	Irvine Citywide Catch Basin Connector Pipe Screen Installation Phase 1 Project	Install 223 CPS units	75.73	\$ 113,819	\$ 2,108,615
City of Orange	DSBB and CPS BMP Installation - 2020	Install 13 CPS units and one DSBB device	72.17	\$ 308,803	\$ 2,417,418
Laguna Woods	City-Maintained Catch Basins Full Capture Systems Retrofit Project	Eight CPS units and 32 catch basin inlet filters	63.67	\$ 31,641	\$ 2,449,059
Costa Mesa	Placentia Avenue Stormwater Quality Improvement Project	Install one continuous deflection separator	62.17	\$ 350,941	\$ 2,800,000

CPS - Connector Pipe Screen
ARS - Automatic Retractable Screen
BMP - Best Management Practice
DSBB - Debris Separating Baffle Box

*Information
Items*



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer

A handwritten signature in blue ink, appearing to read "Darrell E. Johnson", is written over the "From:" line.

Subject: Comprehensive Transportation Funding Programs Semi-Annual Review – March 2020

Overview

The Orange County Transportation Authority recently completed the March 2020 semi-annual review of projects funded through the Comprehensive Transportation Funding Programs. This process reviews the status of Measure M2 grant-funded projects and provides an opportunity for local agencies to update project information and request project modifications. This semi-annual review cycle was unique since it was heavily influenced by project and personnel impacts of the coronavirus and the Governor's stay-at-home order. Project adjustments and proposed guidelines exemptions are presented for review and approval.

Recommendations

- A. Approve requested adjustments to the Comprehensive Transportation Funding Programs projects and Local Fair Share Program funds.
- B. Due to the unique circumstances created by the coronavirus, exempt certain Comprehensive Transportation Funding Programs and Measure M2 Eligibility Guidelines (documented in this staff report and attachments) in order to incorporate requested project adjustments.

Background

The Comprehensive Transportation Funding Programs (CTFP) is the mechanism which the Orange County Transportation Authority (OCTA) uses to administer funding for street, road, signal, transit, and water quality projects. The CTFP contains a variety of funding programs and sources, including Measure M2 (M2) revenues, State-Local Partnership Program funds,

and Local Partnership Program funds. The CTFP provides local agencies with a comprehensive set of guidelines for administration and delivery of various transportation funding grants.

Throughout the semi-annual review, OCTA meets with representatives from local agencies as necessary to review the status of projects and proposed project changes. This process is known as the semi-annual review. The goals of the semi-annual review are to review project status, determine the continued viability of projects, address local agency concerns, confirm availability of local match funds, and ensure timely closeout of all projects funded through the CTFP.

Discussion

The March 2020 semi-annual review process was originally scheduled to close on March 13, 2020. However, within a few days of its original closing, Governor Newsom issued Executive Order N-33-20 (stay-at-home order), which mandated that all California residents stay at home in order to combat the spread of the coronavirus (COVID-19). It quickly became apparent that the stay-at-home order was going to have significant impacts upon local agencies' abilities to conduct normal business, such as conducting city council meetings, awarding contracts, and scheduling procurements. As a result, OCTA reopened the semi-annual review process in order to accommodate new project adjustment requests. In total, after the March semi-annual review process was reopened, OCTA received an additional 51 project adjustment requests.

In total, 77 project adjustment requests including 18 delays, 11 timely use of funds extensions for CTFP projects, 15 timely use of funds extensions for the Local Fair Share Program, four scope changes, 24 project transfers, one cancellation, and four "other" requests are being recommended for Board of Directors (Board) approval. All recommended adjustment requests are itemized in Attachment A and described in Attachment B.

Local agencies identified several reasons for proposed project adjustment requests, which generally included the following.

- Delays were requested due to procurement, staffing, COVID-19-related impacts, utility, construction, and/or federal funding coordination issues.
- Extensions were requested because of delays in obtaining approvals and/or permits, right-of-way processes taking longer than expected, COVID-19-related impacts, design, staffing, project closeout, contractor scheduling, and coordination issues.
- Scope changes were requested due to either improvements on the original scope of work or to address design issues that emerged.

- Transfers of savings were requested by M2 Project V service providers (who ceased operations during COVID-19) in order to preserve unspent funds for use in subsequent fiscal years.
- A cancellation was requested due to the inability to resolve utility and contractor coordination issues.
- “Other” changes were required in order to document Project P administrative changes toward evaluation of multi-phased projects and a CTFP Guidelines exception, which was required during the CTFP Project O call for projects.

A summary of projects by phase and funding is included in the table below. Since inception of M2, OCTA has awarded approximately half a billion dollars in competitive funds, including approximately \$38 million in state and federal funds. Changes to this original allocation amount reflect the reduction in programming of approximately \$3.6 million, resulting in a cumulative total revised allocation of \$497.9 million as of March 31, 2020.

M2 CTFP Summary Table				
Project Status	September 2019 Semi-Annual Review		March 2020 Semi-Annual Review	
	Project Phases	Allocation	Project Phases	Allocations ¹ (after adjustments)
Planned ²	66	\$ 33.7	51	\$ 29.0
Started ³	125	\$204.2	111	\$178.5
Pending ⁴	86	\$ 54.1	96	\$ 82.4
Completed ⁵	341	\$166.9	367	\$169.6
Cancelled ⁶	50	\$ 37.9	50	\$ 38.4
Total	668	\$496.8	675	\$497.9

¹ Allocations in millions, subject to change pending final reconciliation.
² Planned - indicates that funds have not been obligated and/or are pending contract award.
³ Started - indicates that the phase is underway, and funds are obligated.
⁴ Pending - indicates that phase work is completed, and final report submittal/approval is pending.
⁵ Completed - indicates that phase work is complete, final report is approved, and final payment has been made.
⁶ Cancelled - indicates that the phase work will not be completed, and project savings will be returned to the program.

* Note: the project phase and allocations listed above are subject to frequent and regular changes due primarily to project status updates, final reconciliations, and project closeout processes.

As shown above, local agencies have made considerable progress since the last semi-annual review cycle in delivering and closing out CTFP projects. Demonstrating that progress, 15 projects have advanced from “planned” to “started” phase, and 96 projects are “pending” (meaning work is complete and final submittals are pending and/or need to be finalized). Additionally, 26 projects were completed between September 2019 and March 2020.

Furthermore, additional progress not reflected in the table includes over \$1.2 million in program savings due to projects being completed under programmed amounts. In total, this brings cumulative program savings to an estimated \$48 million (including both completed and cancelled projects). All savings are returned to the source program after closeout and are made available to all agencies in subsequent competitive funding cycles.

Additionally, OCTA takes every step possible to maintain M2 requirements consistent with its various guiding policy documents and requirements. However, as discussed above, this semi-annual review cycle was highly unique due to COVID-19-related impacts. As such, some requirements identified in either the CTFP Guidelines or the M2 Eligibility Guidelines require exemption (for this cycle only) in order to approve the recommended project adjustment requests. In total, there are seven guidelines exemption requests, which are primarily related to when submittals, city council approvals, or when back up and/or supporting documentation were due. These instances are noted and/or described in the attachments A, B, and C.

From a CTFP administrative perspective, the proposed project adjustments identified in this report are appropriate and necessary. With respect to the recommended guidelines exemptions, while exceedingly rare, staff is recommending Board approval given the unique, challenging, and unforeseen environment that emerged during the COVID-19 pandemic.

This report and its recommendations were reviewed by the OCTA Technical Advisory Committee in June. Board approval of the proposed March 2020 semi-annual review adjustments and waivers is recommended. If these recommendations are approved by the Board, staff will monitor implementation of these changes through both the OCFundtracker database and future semi-annual review cycles, which are reported to the Board biannually.

Summary

OCTA has recently reviewed the status of 312 active project phases funded through the CTFP. Staff recommends approval of the recommendations, project adjustments, and waivers requested by local agencies for the March 2020 semi-annual review cycle.

Attachments

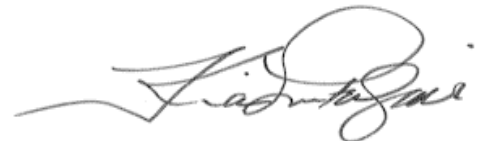
- A. Comprehensive Transportation Funding Programs, March 2020
Semi-Annual Review Adjustment Requests
- B. Comprehensive Transportation Funding Programs, March 2020
Semi-Annual Review Adjustment Request Descriptions
- C. Summary of Proposed Guidelines Exemptions

Prepared by:



Charvalen Alacar
Transportation Funding Analyst, Senior
(714) 560-5401

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741

Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Requests

Delay Requests									
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Delay (Months)	Proposed FY
1	Anaheim	19-ANAH-STIS-3928 ¹	W	Anaheim Safe Transit Stop Improvements	CON	19/20	\$ 480,000	24	21/22
2	Costa Mesa	19-CMSA-STIS-3929 ²	W	Costa Mesa Safe Transit Stop Improvements	CON	19/20	\$ 74,500	24	21/22
3	Fullerton	19-FULL-TSP-3936 ^{1,3}	P	Harbor Boulevard Corridor	IMP	19/20	\$ 2,105,395	24	21/22
4	Fullerton	19-FULL-TSP-3936 ^{1,3}	P	Harbor Boulevard Corridor	O&M	20/21	\$ 69,600	24	22/23
5	Irvine	17-IRVN-ICE-3863 ⁵	O	University/Ridgeline Intersection Improvement	CON	19/20	\$ 1,724,024	24	21/22
6	Laguna Hills	19-LHLL-STIS-3931 ¹	W	Laguna Hills Safe Transit Stop Improvements	CON	19/20	\$ 35,000	12	20/21
7	Laguna Niguel ⁷	19-LNIG-CBT-3954 ^{1,3}	V	Laguna Niguel Summer Trolley - Southern Section	CAP	19/20	\$ 218,160	24	21/22
8	Laguna Niguel ⁷	19-LNIG-CBT-3954 ^{1,3}	V	Laguna Niguel Summer Trolley - Southern Section	O&M	19/20	\$ 667,922	24	21/22
9	Mission Viejo	18-MVJO-ACE-3904 ^{3,6}	O	La Paz Bridge and Road Widening from Muirlands to Chrisanta	CON	19/20	\$ 3,300,843	12	20/21
10	Newport Beach ⁸	19-NBCH-ECP-3950 ³	X	Newport Bay Trash Mitigation Project Phase 2	CON	19/20	\$ 55,099	12	20/21
11	OCTA	19-OCTA-STIS-3953 ^{3,5}	W	OCTA Safe Transit Stop Improvements (Laguna Hills Transit Center and Newport Beach Transit Center)	CON	19/20	\$ 15,000	12	20/21
12	OCTA	16-OCTA-TSP-3794 ⁵	P	Brookhurst Street Traffic Signal Synchronization (Commonwealth Avenue to Pacific Coast Highway)	O&M	19/20	\$ 111,360	12	20/21
13	OCTA	16-OCTA-TSP-3795 ⁵	P	Magnolia Avenue Traffic Signal Synchronization (Commonwealth Avenue to Banning Avenue)	O&M	19/20	\$ 96,000	12	20/21
14	OCTA	18-OCTA-TSP-3894 ¹	P	Katella Avenue / Villa Park Road / Santiago Canyon Road RTSSP	O&M	19/20	\$ 53,280	24	21/22
15	OCTA	18-OCTA-TSP-3897 ¹	P	Garden Grove Boulevard TSSP (Valley View Street to Bristol Street)	O&M	19/20	\$ 36,720	24	21/22
16	OCTA	18-OCTA-TSP-3901 ¹	P	Main Street RTSSP	O&M	19/20	\$ 50,688	24	21/22
17	OCTA	18-OCTA-TSP-3905 ¹	P	Los Alisos Boulevard Route Project	O&M	19/20	\$ 31,140	24	21/22
18	Orange	19-ORNG-STIS-3933 ^{3,5}	W	Orange Safe Transit Stop Improvements	CON	19/20	\$ 98,300	12	20/21
Delays - Total Phase Allocations (18)							\$ 9,223,031		

Reasons for Project Adjustments

1. Procurement related
2. Staffing issue
3. Coronavirus (COVID-19) related
4. Utility coordination
5. Construction coordination
6. Federal funding coordination

Exemption requests

7. CTFP Guidelines - city council concurrence to be submitted with semi-annual review requests and prior to Board approval.
8. CTFP Guidelines - Project X Tier I projects are not eligible for delay requests.

Acronyms

- Board - Board of Directors
- CAP - Capital
- CON - Construction
- CTFP - Comprehensive Transportation Funding Programs
- FY - Fiscal Year
- IMP - Implementation
- O&M - Operations and Maintenance
- OCTA - Orange County Transportation Authority
- RTSSP - Regional Traffic Signal Synchronization Program
- TSSP - Traffic Signal Synchronization Program

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Timely Use of Funds Extension Requests - CTFP Programs*									
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Time Extension (Months)	Proposed Expenditure Deadline
1	Anaheim	17-ANAH-ACE-3860 ^{1,2}	O	Lincoln Avenue Widening (East Street to Evergreen Street)	ROW	17/18	\$ 1,147,669	24	9/27/2022
2	Brea	16-BREA-FST-3802 ²	O	SR-57 & Lambert Road Interchange Improvements	ROW	17/18	\$ 3,109,857	24	6/6/2022
3	County of Orange	17-ORCO-ACE-3868 ^{3,7}	O	Cow Camp Road Segment 2A & 2B Construction	CON	17/18	\$ 4,522,774	12	6/15/2022
4	Irvine	17-IRVN-TSP-3875 ⁴	P	Irvine Boulevard Signal Synchronization Project	O&M	18/19	\$ 80,640	24	5/22/2024
5	Irvine	18-IRVN-TSP-3902 ⁵	P	Culver Drive / Bonita Canyon Drive / Ford Road RTSSP	IMP	18/19	\$ 1,064,848	24	4/24/2024
6	Irvine	18-IRVN-TSP-3902 ⁵	P	Culver Drive / Bonita Canyon Drive / Ford Road RTSSP	O&M	19/20	\$ 74,880	24	6/2/2025
7	Laguna Woods	14-LWDS-TSP-3707 ^{3,6}	P	El Toro Road Regional Traffic Signal Synchronization	O&M	15/16	\$ 28,800	24	6/17/2022
8	Laguna Woods	14-LWDS-TSP-3708 ^{3,6}	P	Moulton Parkway Regional Traffic Signal Synchronization	O&M	15/16	\$ 71,040	24	6/17/2022
9	Santa Ana	16-SNTA-ACE-3814 ²	O	Warner Avenue Improvements and Widening (Main Street to Oak Street)	ROW	16/17	\$ 1,697,153	24	8/16/2022
10	Santa Ana	17-SNTA-ACE-3869 ²	O	Warner Avenue Improvements - Oak Street to Grand Avenue	ENG	17/18	\$ 811,125	24	8/14/2022
11	Santa Ana	17-SNTA-ACE-3870 ²	O	Warner Avenue Improvements from Main Street to Orange Avenue	ROW	17/18	\$ 8,586,900	24	8/16/2022
CTFP Timely Use of Funds Extensions (11) - Total Phase Allocations							\$ 21,195,686		

Reasons for Project Adjustments

1. Delays in obtaining necessary plan approvals and/or permits
2. ROW issues and/or delays
3. COVID-19 related
4. Design issues
5. Staffing issue
6. Project closeout
7. Contractor scheduling and utility coordination

Acronyms

- ROW - Right-of-Way
- SR-57 - State Route 57
- ENG - Engineering

*Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request a one-time extension of up to 24 months.

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Timely Use of Funds Extension Requests - LFS*							
No	Agency	FY	Disbursement Date	Disbursement	Proposed Extension Amount	Proposed Interest Extension Amount	Extension Deadline
1	Brea	17/18	11/7/2017	\$ 155,700	\$ 155,700	\$ -	11/7/2022
2	Costa Mesa	17/18	11/7/2017	\$ 405,346	\$ 405,346	\$ -	11/7/2022
3-11	Villa Park ^{1,2}	15/16	6/30/2016	\$ 15,339	\$ 15,339	\$ -	6/30/2021
		16/17	9/13/2016	\$ 13,599	\$ 13,599	\$ -	9/13/2021
			11/15/2016	\$ 13,711	\$ 13,711	\$ -	11/15/2021
			1/10/2017	\$ 16,538	\$ 16,538	\$ -	1/10/2022
			3/14/2017	\$ 14,465	\$ 14,465	\$ -	3/14/2022
			5/23/2017	\$ 12,731	\$ 12,731	\$ -	5/23/2022
			6/30/2017	\$ 15,345	\$ 15,345	\$ -	6/30/2022
		17/18	9/12/2017	\$ 13,650	\$ 13,650	\$ -	9/12/2022
			11/7/2017	\$ 14,509	\$ 14,509	\$ -	11/7/2022
12-15	Yorba Linda	16/17	5/23/2017	\$ 146,012	\$ 146,012	\$ -	5/23/2022
			6/30/2017	\$ 175,993	\$ 175,993	\$ -	6/30/2022
		17/18	9/12/2017	\$ 157,305	\$ 157,305	\$ -	9/12/2022
			11/7/2017	\$ 167,004	\$ 167,004	\$ -	11/7/2022
LFS Timely Use of Funds Extensions (15) - Total					\$ 1,337,247		

*The Expenditure Guidelines specify that net revenues received by local jurisdictions through the LFS Program shall be expended or encumbered within three years. An extension may be granted but is limited to a total of five years from the date of receipt of funds. OCTA uses the check date as the date of receipt of funds. Requests for extension must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds. Requests for extension must include a plan of expenditure.

Exemption requests

1. M2 Eligibility Guidelines - funds extensions must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds.
2. CTFP and M2 Eligibility Guidelines - a plan of expenditure be submitted with semi-annual review timely use of funds extension requests.

Acronyms

LFS - Local Fair Share
 M2 - Measure M2

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Scope Change Requests								
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Allocation
1	Fullerton	15-FULL-TSP-3769 ¹	P	Malvern Avenue/Chapman Avenue Corridor RTSSP	O&M	18/19	\$ 127,200	\$ 127,200
2	Irvine	16-IRVN-TSP-3791 ²	P	Irvine Center Drive/Edinger Avenue Signal Synchronization	IMP	16/17	\$ 1,714,560	\$ 1,714,560
3	Irvine	16-IRVN-TSP-3792 ²	P	Von Karman Avenue/Tustin Ranch Road Signal Synchronization	IMP	16/17	\$ 1,353,580	\$ 1,353,580
4	La Habra	15-LHAB-TSP-3773 ²	P	Imperial Highway/State Route-90 Corridor	IMP	15/16	\$ 1,745,240	\$ 1,745,240
Scope Changes (4) - Total Phase Allocations							\$ 4,940,580	\$ 4,940,580

Reasons for Project Adjustments

1. Technology upgrades/ enhanced project benefits
2. Design Issue

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Transfer Requests										
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Transfer Amount	Proposed Allocation	
1	County of Orange	16-ORCO-CBT-3822 ¹	V	Orange County RanchRide	O&M	19/20M	\$ 1,929,137	TBD	TBD	
2	Dana Point	14-DPNT-CBT-3742 ¹	V	Summer Weekend Trolley/Harbor Shuttle	O&M	19/20M	\$ 420,576	TBD	TBD	
3	Dana Point	16-DPNT-CBT-3823 ¹	V	Dana Point PCH Trolley	O&M	19/20M	\$ 388,272	TBD	TBD	
4,5	Dana Point	18-DNPT-CBT-3911 ¹	V	Dana Point Trolley Continuity and Expansion and Weekend Service	CAP	19/20M	\$ 110,250	TBD	TBD	
					O&M	19/20M	\$ 1,082,566	TBD	TBD	
6	La Habra	16-OCTA-CBT-3835 ¹	V	La Habra Special Event Shuttle Services	O&M	19/20M	\$ 89,757	TBD	TBD	
7,8	Laguna Beach	18-OCTA-CBT-3912 ¹	V	Summer Breeze Bus Service	CAP	19/20M	\$ 4,680	TBD	TBD	
					O&M	19/20M	\$ 536,725	TBD	TBD	
9,10	Laguna Niguel	19-LNIG-CBT-3954 ¹	V	Laguna Niguel Summer Trolley - Southern Section	CAP	19/20M	\$ 218,160	TBD	TBD	
					O&M	19/20M	\$ 667,922	TBD	TBD	
11	Lake Forest*	16-LFOR-CBT-3829 ¹	V	Shuttle Service between train station and Panasonic	O&M	19/20M	\$ 778,035	TBD	TBD	
12,13	Mission Viejo	16-OCTA-CBT-3836 ¹	V	Mission Viejo Local Transit Circulator	CAP	19/20M	\$ 475,300	TBD	TBD	
					O&M	19/20M	\$ 2,445,982	TBD	TBD	
14,15	Newport Beach	16-NBCH-CBT-3832 ¹	V	Balboa Peninsula Trolley	CAP	19/20M	\$ 262,768	TBD	TBD	
					O&M	19/20M	\$ 348,705	TBD	TBD	
16,17	Newport Beach	18-NBCH-CBT-3913 ¹	V	The Balboa Peninsula Shuttle Expansion Program	CAP	19/20M	\$ 110,400	TBD	TBD	
					O&M	19/20M	\$ 168,000	TBD	TBD	
18	Irvine	16-OCTA-CBT-3833 ¹	V	Irvine iShuttle Route West - Tustin Station - Irvine Business Complex	O&M	19/20M	\$ 2,168,913	TBD	TBD	
19	Irvine	16-OCTA-CBT-3834 ¹	V	Irvine iShuttle Route East - Irvine Station - East	O&M	19/20M	\$ 2,162,639	TBD	TBD	
20	San Clemente	16-SCLM-CBT-3840 ¹	V	San Clemente Summer Trolley	O&M	19/20M	\$ 510,598	TBD	TBD	
21	San Clemente	16-SCLM-CBT-3841 ¹	V	San Clemente Rideshare Services	O&M	19/20M	\$ 845,283	TBD	TBD	
22	San Clemente	18-SCLM-CBT-3914 ¹	V	San Clemente Trolley Expansion	O&M	19/20M	\$ 1,104,215	TBD	TBD	
23, 24	San Juan Capistrano	18-SJCP-CBT-3915 ¹	V	Special Event and Weekend Summer Trolley Service	CAP	19/20M	\$ 304,164	TBD	TBD	
					O&M	19/20M	\$ 654,478	TBD	TBD	
Transfer Requests (24) - Total Project Allocations							\$ 17,787,525	\$ -	\$ -	

Reasons for Project Adjustment

1. COVID-19 related: project savings in earlier phases/years can support work in later awarded phases/years.

Acronyms

PCH - Pacific Coast Highway

* Note: This project is currently pending cancellation in August 2020.

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Cancellation Requests								
No	Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Allocation
1	Cypress	14-CYPR-ECP-3731 ^{1,2}	X	Priority Sediment/ Pollution Removal	CON	14/15	\$ 211,840	\$ -
Cancellations (1) - Total Phase Allocations							\$ 211,840	\$ -

Reasons for Project Adjustments

1. Utility coordination issues
2. Contractor coo 2. Contractor coordination issues

Comprehensive Transportation Funding Programs
 March 2020 Semi-Annual Review Adjustment Requests

Other: CTFP Requests										
No	Agency	Project Number	Project	Project Title	Phase	Initial Contract Award Date ¹	Notice to Proceed Date ²	Expenditure Deadline (Based off NTP)	Board Approved Time Extension (Months)	Updated Expenditure Deadline
1	Buena Park	14-BPRK-TSP-3703	P	Artesia Boulevard Corridor Signal Synchronization (Valley View Avenue to Dale Street)	O&M	6/23/2015	9/26/2018	9/26/2021	24 ³	9/26/2023
2	Santa Ana	14-SNTA-TSP-3710	P	Harbor Boulevard Corridor Traffic Signal Synchronization	O&M	4/21/2015	4/30/2018	4/30/2021	24 ⁴	4/30/2023
3	Santa Ana ⁵	20-SNTA-ACE-3968	O	Bristol Street Improvements Phase 3A - Civic Center Drive to Washington Avenue	CON	N/A	N/A	N/A	N/A	N/A
4	Santa Ana ⁵	20-SNTA-ACE-3969	O	Bristol Street Improvements Phase 4 - Warner Avenue to St. Andrew Place	CON	N/A	N/A	N/A	N/A	N/A

¹ Initial contract constitutes the combined contract for both PI and O&M phases.

² Per the CTFP Guidelines, local agencies should issue a separate NTP while combining contracts for both the PI and O&M phases. NTP date will be considered the date of encumbrance for the O&M phase.

³ Approved by the Board on December 12, 2016 during September 2016 semi-annual review.

⁴ Approved by the Board on June 12, 2017 during March 2017 semi-annual review.

Exemption request

⁵ Due to the COVID-19 pandemic and the timing of when OCTA reinstated the City of Santa Ana's (City) eligibility to receive M2 funds, the City was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.

Acronyms

NTP - Notice to Proceed

PI - Primary Implementation

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Delays

Local agencies may request up to an additional 24-months to obligate funds. During the March 2020 semi-annual review cycle, the following delay requests were submitted:

The City of Anaheim (Anaheim) is requesting a 24-month delay for the construction (CON) phase of the Anaheim Safe Transit Stop Improvements Project (19-ANAH-STS-3928). Anaheim is engaged in a bus shelter maintenance and operations contract, which is set to expire in December 2020. Upon expiration, a request for proposals for a new contract will be released, which will include new shelter types and designs. The additional time will allow Anaheim to procure bus shelters under the new contract and ensure consistency in shelter design throughout the city.

The City of Costa Mesa is (Costa Mesa) requesting a 24-month delay for the CON phase of the Costa Mesa Safe Transit Stop Improvements Project (19-CMSA-STS-3929) due to limited staff availability.

The City of Fullerton is requesting a 24-month delay for both the primary implementation (IMP) and the operation and maintenance (O&M) phases of the Harbor Boulevard Corridor Project (19-FULL-TSP-3936) to allow additional time to finalize the award of an engineering consultant contract. This request is due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to the coronavirus (COVID-19).

The City of Irvine (Irvine) is requesting a 24-month delay for the CON phase of the University/Ridgeline Intersection Improvement Project (17-IRVN-ICE-3863). The additional time will bring the timing of the construction in line with the construction of another street improvement project: University Drive Widening from Ridgeline Drive to Interstate 405. Aligning the construction schedules of the two projects on University Drive will minimize construction impacts on commuters and residents.

The City of Laguna Hills (Laguna Hills) is requesting a 12-month delay for the CON phase of the Laguna Hills Safe Transit Stop Improvements Project (19-LHLL-STS-3931). The project is currently under design and the additional time will allow Laguna Hills to finalize the award of a construction contract.

The City of Laguna Niguel (Laguna Niguel) is requesting a 24-month delay for the Capital (CAP) and (O&M) phases of the Laguna Niguel Summer Trolley – Southern Section (19-LNIG-CBT-3954) to allow additional time to finalize selection and execution of a contractor agreement. This request is due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19. Note: as part of this adjustment, Board of Directors' (Board) approval of a waiver to the Comprehensive

Comprehensive Transportation Funding Programs March 2020 Semi-Annual Review Adjustment Request Descriptions

Transportation Funding Programs (CTFP) requirement that city council concurrence be submitted with semi-annual review delay requests and prior to Board approval is requested.

The City of Mission Viejo (Mission Viejo) is requesting a 12-month delay for the CON phase of the La Paz Bridge and Road widening from Muirlands to Chrisanta Project (18-MVJO-ACE-3904). This project includes federal grant funding and Mission Viejo is requesting a delay due to unforeseen delays in the federal authorization process, as well as the unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19. The additional time will bring the timing for the Measure M2 (M2) grant funding in line with the federal grant funding.

The City of Newport Beach (Newport Beach) is requesting a 12-month delay for the CON phase of the Newport Bay Trash Mitigation Project Phase 2 Project (19-NBCH-ECP-3950) due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19. Note: as part of this adjustment, Board approval of a waiver to the CTFP requirement that Project X Tier I projects not be granted delays is requested.

The Orange County Transportation Authority (OCTA) is requesting a 12-month delay for the CON phase of the OCTA Safe Transit Stop Improvements at Laguna Hills Transit Center and Newport Beach Transit Center (19-OCTA-STS-3953) due to unforeseen delays in construction, as well as unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

OCTA, as administrative lead is requesting two 12-month delays for the O&M phase for the following projects. The request is due to unforeseen delays in construction.

- Brookhurst Street Traffic Signal Synchronization from Commonwealth Avenue to Pacific Coast Highway Project (16-OCTA-TSP-3794)
- Magnolia Avenue Traffic Signal Synchronization from Commonwealth Avenue to Banning Avenue Project (16-OCTA-TSP-3795)

OCTA, as administrative lead, is requesting 24-month delays for the O&M phase for the following projects. The request is due to protracted procurement efforts necessary to execute the contract and start the implementation phase (IMP).

- Katella Avenue/Villa Park Road/Santiago Canyon Road Regional Traffic Signal Synchronization Project (RTSSP [18-OCTA-TSP-3894])
- Garden Grove Boulevard Traffic Signal Synchronization Project (TSSP) from Valley View Street to Bristol Street (18-OCTA-TSP-3897)

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

- Main Street RTSSP (18-OCTA-TSP-3901)
- Los Alisos Boulevard Project (18-OCTA-TSP-3905)

The City of Orange is requesting a 12-month delay for the CON phase of the Orange Safe Transit Stop Improvements Project (19-ORNG-STS-3933) to allow additional time for cost benefit analysis with regard to shelter installation/construction coordination, as well as unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

CTFP Timely Use of Funds Extensions

Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request an extension(s) of up to 24 months. During this semi-annual review cycle, the following CTFP timely use of funds extension requests were submitted:

Anaheim is requesting a 24-month timely use of funds extension for the right-of-way (ROW) phase of the Lincoln Avenue Widening Project (17-ANAH-ACE-3860) from September 2020 to September 2022. Additional time is required due to delays in obtaining necessary permits and ROW acquisitions.

The City of Brea (Brea) is requesting a 24-month timely use of funds extension for the ROW phase of the State Route 57 and Lambert Road Interchange Improvements Project (16-BREA-FST-3802) from June 2020 to June 2022. Additional time is required to finalize ROW processes, which include sign relocation work, site restoration, and relinquishment of a ROW portion that will be under California Department of Transportation's (Caltrans) purview.

The County of Orange is requesting a 12-month timely use of funds extension for the CON phase of the Cow Camp Road Segment 2A and 2B Construction Project (17-ORCO-ACE-3868) from June 2021 to June 2022. Additional time is required due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19, including contractor scheduling and utility relocation coordination challenges.

Irvine is requesting a 24-month timely use of funds extension for the O&M phase of the Irvine Boulevard Signal Synchronization Project (17-IRVN-TSP-3875) from May 2022 to May 2024. The request is due to reassessment and redesign of the initial signal synchronization plans during the IMP that contributed to the protracted length of time for construction.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Irvine is requesting a 24-month timely use of funds extension for both the IMP and O&M phases of the Culver Drive/Bonita Canyon Drive/Ford Road RTSSP (18-IRVN-TSP-3902) from April 2023 to April 2025. The request is due to staffing changes that contributed to the protracted length of time for the entire project.

The City of Laguna Woods is requesting a 24-month timely use of funds extension from June 2020 to June 2022 for the following two projects listed below to allow additional time for project closeout due to unforeseen closing delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

- The O&M phase of the El Toro Road RTSSP (14-LWDS-TSP-3707)
- The O&M phase of the Moulton Parkway RTSSP (14-LWDS-TSP-3708)

The City of Santa Ana (Santa Ana) is requesting a 24-month timely use of funds extension from August 2020 to August 2022 for the following three projects. Additional time will allow for negotiation with remaining property and business owners to provide relocation assistance and to carry out the design improvements until acquisition is completed.

- The ROW phase of the Warner Avenue Improvements and Widening from Main Street to Oak Street Project (16-SNTA-ACE-3814)
- The engineering (ENG) phase of the Warner Avenue Improvements from Oak Street to Grand Avenue Project (17-SNTA-ACE-3869)
- The ROW phase of the Warner Avenue Improvements from Main Street to Orange Avenue Project (17-SNTA-ACE-3870)

Local Fair Share (LFS) Timely Use of Funds Extensions

Once issued, LFS funds expire 36 months from the check issuance date. Local agencies may request an extension(s) of up to 24-months. During this semi-annual review cycle, the following timely use of funds LFS extension requests were submitted:

Brea is requesting a 24-month timely use of funds extension of \$155,700 from November 2020 to November 2022. The funds being considered for extension were disbursed in one installment and must be expended by the extension deadline provided in Attachment A.

Costa Mesa is requesting a 24-month timely use of funds extension of \$405,346 from November 2020 to November 2022. The funds being considered for extension were disbursed in one installment and must be expended by the extension deadlines provided in Attachment A.

Comprehensive Transportation Funding Programs March 2020 Semi-Annual Review Adjustment Request Descriptions

The City of Villa Park is requesting a 24-month timely use of funds extension for \$129,887. The funds being considered for the extension were disbursed in nine separate installments and must be expended by the extension deadlines provided in Attachment A. Note: as part of this adjustment, Board approval of a waiver to the M2 Eligibility Guidelines requirement that funds extensions must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds is requested. A waiver to the CTFP and Eligibility Guidelines requirement that a plan of expenditure be submitted as part of an LFS timely use of funds extension request is also requested.

- \$15,339, from June 2019 to June 2021
- \$13,599, from September 2019 to September 2021
- \$16,538, from January 2020 to January 2022
- \$14,465, from March 2020 to March 2022
- \$12,731, from May 2020 to May 2022
- \$15,345, from June 2020 to June 2022
- \$13,650, from September 2020 to September 2022
- \$14,509, from November 2020 to November 2022

The City of Yorba Linda is requesting a 24-month timely use of funds extension for \$646,314. The funds being considered for extension were disbursed in four separate installments and must be expended by the extension deadlines provided in Attachment A.

- \$146,012, from May 2020 to May 2022
- \$175,993, from June 2020 to June 2022
- \$157,305, from September 2020 to September 2022
- \$167,004, from November 2020 to November 2022

Scope Changes

Local agencies may request minor scope changes for CTFP projects if they can assure that project benefits as committed to in the initial application can still be delivered. During this semi-annual review cycle, the following scope change requests were submitted:

The City of Fullerton, as administrative lead for the Malvern Avenue/Chapman Avenue Corridor RTSSP (15-FULL-TSP-3769), is requesting a scope change to the O&M phase. The change includes central system software/hardware upgrades at respective city management centers, video detection installation upgrades, uninterruptible power supply system upgrades in traffic signal cabinets, and communication upgrades. These scope changes were identified during construction and were deemed to be beneficial to the overall intent and goals of the project.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Irvine, as administrative lead for the Irvine Center Drive/Edinger Avenue Signal Synchronization Project (16-IRVN-TSP-3791), is requesting a scope change to the IMP phase. The change includes the addition of an Automated Traffic Signal Performance Measures (ATSPM) application, the Signal Performance Measures (SPM) application installed for Irvine, and the Centracs SPM module for the City of Tustin (Tustin). The scope change will improve the monitoring of the signal timing at all project intersections.

Irvine, as administrative lead for the Von Karman Avenue/Tustin Ranch Road Signal Synchronization Project (16-IRVN-TSP-3792), is requesting a scope change to the IMP phase. The scope change includes the addition of an ATSPM application, the SPM application installed for both Irvine and Tustin and the addition of a television monitor to Tustin's traffic management center. The scope changes will improve the monitoring of the signal timing at all project intersections.

The City of La Habra (La Habra), as administrative lead for the Imperial Highway/State Route 90 Corridor Project (15-LHAB-TSP-3773), is requesting a scope change to the IMP phase. The proposed change includes removing communications equipment installation, which was included in the initial application at the direction of Caltrans. The security and firewall equipment necessary for video sharing communication requested by Caltrans will be purchased and implemented through the Caltrans Integrated Corridor Management instead. The scope change also includes installation of additional conduit needed to separate power cable from fiber optic connections at various intersections due to conduit-overfill conditions, which were identified during the inventory and design stages. The cost savings from removing the communications equipment will go towards funding the additional conduit. As such, the proposed modifications will be accommodated within the existing approved grant allocation.

Transfers

The CTFP Guidelines allow agencies to request to transfer 100 percent of savings of funds between subsequent phases or years within a project. Funds can only be transferred to a phase or year that has already been awarded competitive funds. Such requests must be made prior to the acceptance of a final report and submitted as part of the semi-annual review. During this review cycle, the following transfer requests were submitted as a result of the impacts of COVID-19 and the need to suspend Project V services:

The County of Orange is requesting a transfer for the Orange County Ranch Ride (16-ORCO-CBT-3822). The transfer includes savings from fiscal year (FY) 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions

The City of Dana Point (Dana Point) is requesting a transfer for the Summer Weekend Trolley/Harbor Shuttle (14-DPNT-CBT-3742). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Dana Point is requesting a transfer for the Dana Point Pacific Coast Highway Trolley (16-DPNT-CBT-3823). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Dana Point is requesting a transfer for the Dana Point Trolley Continuity and Expansion and Weekend Service (18-DNPT-CBT-3911). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

La Habra is requesting a transfer for the La Habra Special Event Shuttle Services (16-OCTA-CBT-3835). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

The City of Laguna Beach is requesting a transfer for the Summer Breeze Bus Service (18-OCTA-CBT-3912). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Laguna Niguel is requesting a transfer for the Laguna Niguel Summer Trolley - Southern Section (19-LNIG-CBT-3954). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

The City of Lake Forest is requesting a transfer for the Shuttle Service between the Irvine Metrolink Station and Panasonic (16-LFOR-CBT-3829). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis. Note: this project is currently pending cancellation in August 2020. As such, this proposed transfer is only being advanced in the event that the proposed cancellation either does not occur or occurs later than currently anticipated.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

Mission Viejo is requesting a transfer for the Mission Viejo Local Transit Circulator (16-OCTA-CBT-3836). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Newport Beach is requesting a transfer for the Balboa Peninsula Trolley (16-NBCH-CBT-3832). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Newport Beach is requesting a transfer for the Balboa Peninsula Shuttle Expansion Program (18-NBCH-CBT-3913). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Irvine is requesting to transfer project savings from FY 2019-20 and from all FYs moving forward from the O&M phase in amounts to be determined and to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis for the following two projects.

- Irvine iShuttle Route West – Tustin Station – Irvine Business Complex (16-OCTA-CBT-3833)
- Irvine iShuttle Route East – Irvine Station – East (16-OCTA-CBT-3834)

The City of San Clemente (San Clemente) is requesting a transfer for the San Clemente Summer Trolley (16-SCLM-CBT-3840). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

San Clemente is requesting a transfer for the San Clemente Rideshare Services (16-SCLM-CBT-3841). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

San Clemente is requesting a transfer for the San Clemente Trolley Expansion (18-SCLM-CBT-3914). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the O&M phase in an amount to be determined and is to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Comprehensive Transportation Funding Programs March 2020 Semi-Annual Review Adjustment Request Descriptions

The City of San Juan Capistrano is requesting a transfer for the Special Event and Weekend Summer Trolley Service (8SJCP-CBT-3915). The transfer includes savings from FY 2019-20 and from all FYs moving forward from the CAP and O&M phases in amounts to be determined and are to be distributed to FY 2020-21 or the immediate subsequent year on a go forward basis.

Cancellations

Local agencies may request to cancel projects. Cancelled projects are eligible to reapply upon resolution of the issues that led to the original project cancellation. During this review cycle, the following cancellation request was received:

The City of Cypress is requesting to cancel the CON phase for the Priority Sediment/Pollution Removal Project (14-CYPR-ECP-3731) due to utility conflicts and the contractor's availability.

Other

Once obligated, CTFP funds expire 36 months from the contract award date. Local agencies may request an extension(s) of up to 24 months. For Project P grants, local agencies should issue a single Notice to Proceed (NTP) for the O&M phase when a combined contract/agreement is awarded for both the primary implementation (PI) and O&M phases. The NTP date will be considered the date of encumbrance for the O&M phase. The following timely use of funds extension deadlines were approved by the Board in previous semi-annual reviews and fund expenditure deadlines are being updated based off the O&M NTP issuance date.

The City of Buena Park received Board approval for a 24-month timely use of funds extension during the September 2016 semi-annual review for the O&M phase of the Artesia Boulevard Corridor Signal Synchronization, Valley View Avenue to Dale Street Project (14-BPRK-TSP-3703). The extension to June 23, 2020 was based off the combined contract award date of June 23, 2015 for both the PI and O&M phases. The NTP for O&M was issued on September 26, 2018, thus the expenditure deadline for the O&M phase is September 26, 2021. With the previously Board-approved action, the updated expenditure deadline is now September 26, 2023.

The City of Santa Ana (Santa Ana) received Board approval for a 24-month timely use of funds extension during the March 2017 semi-annual review for the O&M phase of the Harbor Boulevard Corridor Traffic Signal Synchronization Project (14-SNTA-TSP-3710). The extension to April 21, 2020 was based off the combined contract award date of April 21, 2015 for both the PI and O&M phases. The NTP for O&M was issued on April 30, 2018, thus the expenditure deadline for the O&M phase is April 30, 2021.

**Comprehensive Transportation Funding Programs
March 2020 Semi-Annual Review Adjustment Request Descriptions**

With the previously Board-approved action, the updated expenditure deadline is now April 30, 2023.

Santa Ana was programmed by the Board to receive Regional Capacity Program construction funds in May 2020 for the following two projects.

- Bristol Street Improvements Phase 3A – Civic Center Drive to Washington Avenue
20-SNTA-ACE-3968
- Bristol Street Improvements Phase 4 – Warner Avenue to St. Andrew Place
20-SNTA-ACE-3969

Due to the COVID-19 pandemic and the timing of when OCTA reinstated Santa Ana's eligibility to receive M2 funds, Santa Ana was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the Board. As such, this CTFP Guidelines exception is noted here (along with all other guidelines exceptions) for documentation purposes.

Summary of Proposed Guidelines Exemptions


Guidelines Document	Requirement	Rationale	Resolution/Remedy	Project Phases Requesting Exemption(s)
CTFP Guidelines	City council concurrence to be submitted with semi-annual review requests and prior to Board approval.	Due to limited staffing and competing challenges as a result of the COVID-19 pandemic, evidence of council approval was not submitted as of the publishing of this staff report.	City council concurrence submitted on July 22, 2020.	19-LNIG-CBT-3954 (CAP)
CTFP Guidelines	City council concurrence to be submitted with semi-annual review requests and prior to Board approval.	Due to limited staffing and competing challenges as a result of the COVID-19 pandemic, evidence of council approval was not submitted as of the publishing of this staff report.	City council concurrence submitted on July 22, 2020.	19-LNIG-CBT-3954 (O&M)
CTFP Guidelines	Project X Tier I projects are not eligible for delay requests.	Due to competing challenges as a result of the COVID-19 pandemic and the timing of the encumbrance deadline, the City of Newport Beach was unable to meet its encumbrance deadline and comply with the CTFP Guidelines requirement.	Remedy for this requirement provided through the Board action.	19-NBCH-ECP-3950
M2 Eligibility Guidelines	Funds extensions must be submitted as part of the semi-annual review process prior to the end of the third year from the date of receipt of funds.	Due to staffing turnover and competing challenges, this request was not submitted prior to the third year from the date of receipt of funds.	Remedy for this requirement provided through the Board action.	9 Local Fair Share Funds Allocations
CTFP Guidelines and M2 Eligibility Guidelines	A plan of expenditure must be submitted with semi-annual review timely use of funds extension requests.	Due to limited staffing, competing challenges, and the need to locate older documents, a plan of expenditure was unable to be submitted as of the publishing of this staff report. This plan is anticipated to be submitted with future M2 eligibility submittals.	The actual expenditures for FY 2016-17, FY 2017-18, and FY 2018-19 will be provided with the annual expenditure reports that are being submitted for the current eligibility cycle.	9 Local Fair Share Funds Allocations
CTFP Guidelines	Final city council resolutions need to be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	Due to the COVID-19 pandemic and the timing of when OCTA reinstated the City of Santa Ana's eligibility to receive M2 funds, the City of Santa Ana was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	The Santa Ana City Council resolution was approved on April 21, 2020.	20-SNTA-ACE-3968
CTFP Guidelines	Final city council resolutions need to be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	Due to the COVID-19 pandemic and the timing of when OCTA reinstated the City's eligibility to receive M2 funds, the City of Santa Ana was unable to comply with the CTFP Guidelines requirement specifying that final city council resolutions be submitted at least four weeks prior to the consideration of programming recommendations by the OCTA Board.	The Santa Ana City Council resolution was approved on April 21, 2020.	20-SNTA-ACE-3969
Exemption Requests - (7) Total				

Acronyms
 CTFP - Comprehensive Transportation Funding Programs
 Board - Board of Directors
 M2 - Measure M2
 OCTA - Orange County Transportation Authority
 COVID-19 - Coronavirus pandemic
 FY - Fiscal year



August 3, 2020

To: Regional Planning and Highways Committee

From: Darrell E. Johnson, Chief Executive Officer 

Subject: Measure M2 Comprehensive Transportation Funding Programs - 2021 Annual Call for Projects

Overview

The Measure M2 Comprehensive Transportation Funding Programs Guidelines provide the mechanism for administration of the annual competitive call for projects for Measure M2 programs, including the countywide Regional Capacity Program (Project O) and the Regional Traffic Signal Synchronization Program (Project P). The 2021 Regional Capacity Program and Regional Traffic Signal Synchronization Program call for projects is presented for review and approval.

Recommendations

- A. Approve proposed revisions to the Comprehensive Transportation Funding Programs Guidelines.
- B. Authorize staff to issue the 2021 annual call for projects for the Regional Capacity Program.
- C. Authorize staff to issue the 2021 annual call for projects for the Regional Traffic Signal Synchronization Program.

Background

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

The Regional Traffic Signal Synchronization Program (RTSSP) provides 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 the Orange County Transportation Authority (OCTA) administers the RCP and RTSSP, as well as other competitive transit (projects S, T, and V), and environmental cleanup programs (Project X).

The CTFP Guidelines (Guidelines) identify procedures and requirements that local agencies must adhere to in order to apply for M2 funding and after award, to seek reimbursement. These guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010, and were most recently updated in March 2020.

Discussion

Updates to the Guidelines have been prepared in anticipation of the Board's authorization of the upcoming 2021 annual call for projects (call) for the RCP and RTSSP. OCTA worked closely with the Technical Steering Committee (TSC) and Technical Advisory Committee (TAC) to determine areas of the Guidelines that needed to be adjusted and/or updated. Issues and lessons learned from previous calls were also reviewed and considered. The Guidelines were reviewed and updated, as appropriate, to provide for both better consistency and streamlining throughout the document.

Guideline updates for Project O (RCP), include call dates, deadlines, and amounts. Based on available funding, staff is recommending to make \$22 million available for Project O project awards, which is lower than has been made available in past cycles due to the anticipated reduction in M2 revenues associated with the coronavirus pandemic. The updated Guidelines also include:

- Merging of environmental-related items into the sustainability category;
- Clarification that the CTFP funds may only be used toward the portion of bridge widening that is consistent with the MPAH; and
- Modified language related to rough grading based on input from the TAC.

Changes are also being proposed for the Project P (RTSSP) program. Similar to Project O changes, call dates, deadlines, and amounts were updated. For this cycle, staff is proposing making \$8 million available, which is consistent with prior calls due to the high interest in this program. Unlike the last call, OCTA

will offer to lead projects for local jurisdictions (if requested), contingent on available resources. The updated Guidelines also include:

- Clarified scoring narrative sections;
- Clearer eligibility component descriptions for various scoring categories;
- Revisions to some scoring categories to emphasize signal coordination (over capital improvements) and faster project delivery;
- Streamlined in-kind match discussions; and
- General submittal and point determination discussions were simplified, where possible.

A more detailed summary of the proposed Guidelines changes is included in Attachment A, which provides a table of the changes, as well as in Attachment B, which provides a marked-up version of the Guidelines. Proposed changes that were deemed to be non-substantive (i.e., wording/grammatical, streamlining, and clarifications) are generally not identified here but are shown in the attachments.

These proposed Guidelines changes were presented to the TSC and TAC in June. Both committees requested broader eligibility consideration for rough grading project components. Accordingly, a change in rough grading requirements has been incorporated into the proposed Project O Guidelines. It should be noted that this change does not go as far as the TSC and TAC had requested in terms of broadening rough grading eligibility requirements. However, the proposed revisions provide an increased level of flexibility, which was previously not available to local agencies, while at the same time maintaining ease of implementation and adherence to basic M2 requirements.

The proposed Guidelines changes are being submitted to the Board for final consideration and approval. Authorization is also being requested to initiate the 2021 call, making \$30 million available for both the M2 RCP (\$22 million) and RTSSP (\$8 million) programs to support local streets and roads improvement projects through Orange County.

Next Steps

If the Board approves these recommendations, staff will send out letters and e-blast announcements notifying local agencies of the call's initiation and any other pertinent information.

Applications would be due to OCTA by October 22, 2020, and based upon project selection criteria as specified in the Guidelines, projects will be prioritized for Board, TSC, and TAC consideration in spring 2021. Project funds would

become available to local agencies starting July 1, 2021, and may be programmed as late as fiscal year 2023-24. A summary of the call's proposed timeline is identified below.

- Board authorization to issue call: August 2020
- Application submittal deadline: October 22, 2020
- TSC/TAC review: February/March 2021
- Committee/Board approval: May 2021

Summary

M2 provides funding for arterial and intersection improvements through the RCP and signal synchronization improvements through the RTSSP. The Guidelines serve as the mechanism that OCTA uses to administer these competitive funding sources. Proposed changes to these Guidelines were presented and approved by both the TSC and TAC in June, and staff is now seeking approval of proposed modifications to the Guidelines and authorization to initiate the 2021 RCP and RTSSP annual call.

Attachments

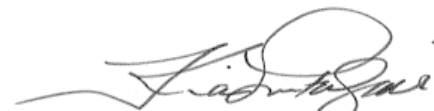
- A. 2021 CTFP Guidelines (Projects O and P) – Proposed Changes List
- B. Comprehensive Transportation Funding Programs, Guidelines Excerpt, Proposed Revisions

Prepared by:



Alfonso Hernandez
Senior Transportation Funding Analyst
(714) 560-5363

Approved by:



Kia Mortazavi
Executive Director, Planning
(714) 560-5741

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change
1	III. Definitions	N/A	x	20. "Primary Implementation (PI) Report" refers to the report required at the end of the PI phase. It is a technical report that documents the work completed during the PI phase, which contains the Before and After Study. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
2	III. Definitions	N/A	x	21. "Operations and Maintenance (O&M) Technical Memorandum Report" refers to the report required at the conclusion of O&M phase. It is a technical report that documents the work completed during the O&M phase. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
3	III. Definitions	N/A	xi	30. The term "offset signal" refers to traffic signalized intersections within 2,700 feet from either direction of the project corridor. (Project P Only)
4	IV. Acronyms	N/A	xii	CTO – Contract Task Order
5	Ch. 1	MPAH Consistency Review and Amendment Process	1-1	Link updated to: http://www.octa.net/pdf/mpah_guidlines.pdf
6	Ch. 2	Programming Policies	2-6	For the RTSSP (Project P) program, changes to project costs with respect to the phase allocations will be considered based upon the issuance of contract or the contract task order (CTO), provided that the readjusted phase allocations are timely and do not increase the overall grant.
7	Ch.7	2021 Call for Projects	7-3	Updated the approximate amount available for the 2021 Call, \$22 million, and the three-year period for programming of projects, FY21/22 – FY23/24.
8	Ch.7	2021 Call for Projects	7-4	Applications for the 2021 call for projects by 5:00 p.m. on Thursday, October 22, 2020.
9	Ch.7	Application Review Process	7-13	Board authorization to issue call: August 2020 Application submittal deadline: October 22, 2020 TSC/TAC Review: February/March 2021 Committee/Board approval: May 2021
10	Ch.7	Potentially Eligible Items	7-15	Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
11	Ch.7	Potentially Eligible Items	7-16	Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.
12	Ch.7	Selection Criteria	7-21 - 7-22	New facilities must be modeled through OCTAM and requests should be submitted to OCTA a minimum of six (6) weeks prior to application submittal deadline. This deadline is September 10, 2020 for the 2021 Call for Projects.
13	Ch.7	Selection Criteria/Current Project Readiness	7-22	Rearranged project development phases in order of actual phasing progression.
14	Ch.7	Selection Criteria/Operational Attributes (within the roadway)	7-23 – 7-24	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
15	Ch.7	Selection Criteria/Improvement Characteristics	7-24	Bridge crossing: Widening of bridge crossing within the project limits to full MPAH width. Widening beyond MPAH shall not qualify for Project O funding.
16	Ch.7	New Facilities	7-25 – 7-26	Any request for modeling must be submitted to OCTA no later than September 10, 2020 for the 2021 Call for Projects.
17	Ch.7	Table 7-2/Operational Attributes (within the roadway)	7-30	The Water Conservation Element and Sustainability scoring elements were merged, and the Water Conservation Element was removed from ACE Scoring Criteria
18	Ch.7	Table 7-2/Funding Over-Match	7-30	Made technical correction to points column for Funding Over-Match for the ACE Scoring Criteria.
19	Ch. 7	Potentially Eligible Items	7-32	Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
20	Ch. 7	Ineligible Items	7-33	Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.
21	Ch.7	Selection Criteria/Current Project Readiness	7-35	Rearranged project development phases in order of actual phasing progression.

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change
22	Ch.7	Selection Criteria/Operational Attributes (within the roadway)	7-36	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
23	Ch.7	Selection Criteria/LOS Improvement	7-37	If an alternative methodology is proposed, all analysis must be submitted to OCTA for review no later than September 10, 2020 for the 2021 Call for Projects.
24	Ch.7	Table 7-4/Operational Attributes (within the roadway)	7-41	The Water Conservation Element and Sustainability scoring elements were merged, and the Water Conservation Element was removed from ICE Scoring Criteria
25	Ch. 7	Potentially Eligible Items	7-43	Additional grading (e.g. over excavation for poor soil conditions) will be considered on a case by case basis.
26	Ch. 7	Potentially Eligible Items	7-44	Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.
27	Ch.7	Selection Criteria/Current Project Readiness	7-45 – 7-46	Rearranged project development phases in order of actual phasing progression.
28	Ch.7	Selection Criteria/ Operational Attributes (within the roadway)	7-46	Operational Attributes (within the roadway)
29	Ch.7	Selection Criteria/ Operational Attributes (within the roadway)	7-47	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
30	Ch.7	Selection Criteria/LOS Improvement	7-47	If HCM 2010 is proposed for intersections as an alternative methodology, all analysis must be submitted to OCTA no later than September 10, 2020 and the cost for independent review shall be reimbursed by the applicant.
31	Ch.7	Table 7-6/Operational Attributes (within the roadway)	7-53	The Water Conservation Element and Sustainability scoring elements were merged and the Water Conservation Element was removed from FAST Scoring Criteria
32	Ch.7	Table 7-6/Funding Over-Match	7-53	Made technical correction to points column for Funding Over-Match for the FAST Scoring Criteria.
33	Ch.7	Table 7-6/Coordination with Freeway	7-53	Clarified heading for category: Coordination with Freeway Mainline Improvements
34	Ch. 8	Regional Traffic Signal Synchronization Program	8-1	The Master Plan will be revised and updated by OCTA every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period.
35	Ch. 8	2021 Call for Projects	8-2	M2 is anticipated to provide approximately \$8 million for signal coordination across Orange County.
36	Ch. 8	2021 Call for Projects	8-2	<p>5. Projects are funded for a grant period of three (3) years and are divided into two phases:</p> <ol style="list-style-type: none"> a. <u>Primary Implementation (PI)</u> – includes the required implementation of optimized signal timing as well as any signal improvements proposed as part of a project. A Project Rreport is required at the conclusion of this phase to document work completed during the PI phase. This PI Project Report shall be submitted with the final report according to the payment process. b. <u>Ongoing Operations and Maintenance (O&M)</u> – 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). A Final O&M Report is required at the conclusion of this phase to document work completed during the O&M phase and shall be submitted with the final report.

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37	Ch. 8	2021 Call for Projects	8-2 – 8-3	6. This information shall be collected both before and after any signal timing changes have been made and after the PI implemented and approved by all agencies. . . The Before and After Study shall be submitted after the PI phase is completed as part of the PI Project Report.
38	Ch. 8	2021 Call for Projects	8-3	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 and a final report has been submitted to OCTA.
39	Ch. 8	Applications	8-3	OCTA shall require agencies to submit applications for the call for projects by 5:00 p.m. on Thursday, October 22, 2020.
40	Ch. 8	Application Process	8-4	Agencies seeking funding must complete an online application, a supplemental application in the OCTA's latest format, and provide supporting . . .
41	Ch. 8	Application Process	8-4	However, the total number of corridors per route or grid corridor projects will be limited to three (3) and the total number of intersections between these corridors are limited to fifty (50).
42	Ch. 8	Other Application Materials	8-5	A Supplemental Application (available on the OCTA website and OCFundtracker) is <u>required</u> to be completed for each project application and included in the electronic submittal. Any Supplemental Application not submitted in the 2021 format will NOT be considered.
43	Ch. 8	Other Application Materials/Lead Agency	8-5	<u>Lead Agency:</u> Eligible jurisdictions consistent with Measure M2 ordinance definitions and requirements.
44	Ch. 8	Other Application Materials/Participating Agencies	8-5	If a draft copy of these resolutions of support . . . by OCTA's Board of Directors. If the application claims Caltrans as a participant, then it shall contain a letter of support from Caltrans for the specific project and letters of support from all applicable agencies pledging to sign a cooperative agreement with Caltrans at the start of the project. The lead agency shall also pledge this commitment in the cover letter of the application. The required Caltrans fee will be a line item in the improvements list. The applicable agencies will be required to cover the required 20% match for the Caltrans line items. All agencies that have a Caltrans intersection/ramp in their jurisdiction is required to sign a cooperative agreement with Caltrans in order for the entire project to claim Caltrans as a participant.
45	Ch. 8	Other Application Materials/Project Support	8-5 – 8-6	Project Support: If proposed project has . . . asked for detailed information only if necessary, to adequately evaluate the project application.
46	Ch. 8	Lead Agency	8-6	This Program is administered through a single lead agency: See Lead Agency definition above.
47	Ch. 8	Lead Agency	8-6	OCTA Lead: [NOT AVAILABLE FOR 2020 CALL FOR PROJECTS] OCTA may, . . . work and cost elements by project. For example, accounting for OCTA's administrative and project management efforts by incorporating an additional 10 percent of the total project cost when calculating the Cost Benefit of the project.
48	Ch. 8	Lead Agency	8-6	Applications must be prepared by a designated local agency acting in a lead capacity during grant preparation. Projects nominated for OCTA lead shall be discussed at the Traffic Forum.
49	Ch. 8	Lead Agency	8-6	The application will be scored using the criteria outlined in the previous following sections.
50	Ch. 8	OCFundTracker Application Components	8-7	Transportation Significance VMT , Cost Benefit, Project Characteristics, Transportation Significance , Maintenance of Effort, Project Scale, Project Scale, Number of Local Agencies, Current Project Status Readiness , and Funding Match Rate.
51	Ch. 8	Application Review and Program Adoption	8-7	Board authorization to issue call: August 2020 Application submittal deadline: October 22, 2020 TSC/TAC Review: February/March 2021 Committee/Board approval: May 2021
52	Ch. 8	Checklist Guide	8-7	The checklist should be provided as a cover sheet table of contents for each application submitted.
53	Ch. 8	Project Definition	8-8	Projects previously awarded RTSSP funding must be complete with a Final Report submitted and approved by to OCTA. . . . Communication system improvements. Signal Synchronization Corridor project.

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/ Chapter	Subsection	Page No.	Proposed Change
54	Ch. 8	Project Definition	8-8	<p>Applicant agency and owning agency must . . . form a route. A “grid” project shall consist of one main corridor that is specifically identified in the application with a maximum of two crossing corridors to make a grid. Grid projects shall also be multijurisdictional with a minimum of two local agencies, excluding Caltrans. For a grid project, applicant agency and owning agency must demonstrate through simulation or actual vehicle counts the following:</p> <ul style="list-style-type: none"> • Show that timing changes on the main corridor will greatly impact the crossing corridor(s) • Crossing corridors shall have closely spaced signals in close proximity to the main corridor with timing changes along these crossings impacting the operation of the main corridor <p>All corridors in the grid shall individually meet the Minimum Eligibility Requirements and, as part of the project, travel time studies shall also be collected along all corridors making the grid. Linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (TO) for future Zone operations.</p>
55	Ch. 8	Project Definition	8-9	Therefore, active transportation elements may be included as part of the project, as outlined in the following section.
56	Ch. 8	Eligible Activities	8-9	<ul style="list-style-type: none"> o Signal Coordination
57	Ch. 8	Eligible Activities	8-9	<p>These improvements are restricted to the signal synchronization project limits but may include synchronization with traffic signalized intersections on intersection corridors where new optimized timing has occurred within the past three years; maximum distance for either direction from crossing arterial within intersection is 2,700 feet from either direction of the project corridor. These offset signals; however, will not be counted towards the total number of signals on the project (for implementation of timing plans only). 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:</p> <p>In addition, Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.</p>
58	Ch. 8	Eligible Activities	8-9 – 8-10	Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees are eligible activities. This includes Caltrans labor, such as 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.
59	Ch. 8	Funding Estimates	8-10	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. Note that any offset signals will not be counted towards the total number of signals on the project.
60	Ch. 8	Selection Criteria	8-10 – 8-11	<p>Transportation Significance: Vehicle Miles Traveled (VMT): Points are awarded for projects that include offset signals along the project corridor, route, or grid. These offset signals do not count towards the project cap; however, are in relatively close proximity to affect the operation of the corridor(s). The applicant shall identify the number of offset signals on the corridor and the percentage of those offset signals that will be included in the project.</p> <p>Vehicle miles traveled (VMT) is calculated as the Centerline length of segment(s) on the corridor, route, or grid proposed for synchronization multiplied by the existing average daily traffic (ADT) for the proposed segment(s) length.</p>
61	Ch. 8	Selection Criteria	8-11	<p>VMT should be calculated by the smallest segmentation on which the city typically collects ADT data. (maximum: 20 points)</p> <p>ADT must be based upon actual count information taken within the 36 months preceding the application date and include 24-hour, midweek, bi-directional counts for each segment. All supporting data shall be organized in order in which they appear for the calculation of the VMT. Data from the OCTA Traffic Flow Map may not be used. Furthermore, outdated and/or non-compliant counts may result in project ineligibility (maximum: 30 points)</p>
62	Ch. 8	Cost Benefit	8-11	Cost Benefit: Total project cost divided by Existing VMT. If the applicant is electing OCTA to be the lead agency, the total project cost in this calculation must also include an additional 10% of the total project for OCTA administrative and project management efforts. This additional 10% is used to determine the project effectiveness only and is not counted towards the overall project budget cap. (maximum: 10 points)
63	Ch. 8	Selection Criteria/Project Characteristics	8-11 – 8-14	<p>Project Characteristics: Points are awarded based on the type and relevance of the proposed project. For instance, maximum points are awarded to projects that are timing only without any capital improvements or points accumulate if a signal synchronization project is combined with improvements as defined below per the “Eligible Activities” section above. <list relocated from Eligible Activities – note that changes are only shown for any addition or deletion not relocation or formatting></p> <ul style="list-style-type: none"> • Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points): <ul style="list-style-type: none"> o Traffic Responsive only if all signals, in at least one agency on the project, are included in the system. o Peer-to-Peer program on traffic control devices.

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No.	Section/ Chapter	Subsection	Page No.	Proposed Change
				<ul style="list-style-type: none"> ○ Adaptive traffic signal systems only if all signals, in at least one agency on the project, are included in the system. ○ Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the project. If implemented, these items will require a data sharing agreement with OCTA. ● Automated Traffic Signal Performance Measures (ATSPM) system can only be claimed (4 points) if all signals, in at least one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA. ● Intelligent cameras that include analytics, such as automated continuous counts and other metrics can only be claimed (3 points) if a minimum of three (3) implementations are included on the project. Furthermore, confirmation that an analytics module or camera with built-in analytics will be purchased for this category to receive points. If implemented, these cameras will require a data sharing agreement with OCTA. ● Detection system that will increase the number of inputs into the signal controller for the purpose of signal performance measures (e.g. ATSPM) and traffic counts can only be claimed (3 points) if a minimum of three (3) implementations are included on the project. ● Installation of new and/or improved traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists can be claimed (3 points) if a minimum of three (3) implementations are included on the project. This can include: <ul style="list-style-type: none"> ○ Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller. ○ ADA compliant Pedestrian Signals including, but not limited to, tactile and audible buttons in countdown signal heads. ● New or upgraded communication systems (2 points) <ul style="list-style-type: none"> ○ 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 and also, cannot be used as part of the required project match. ○ 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). ○ Communication 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. Only communication links that are installed from a central location and/or communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible. ● Intersection/field system modernization and replacement (2 points) <ul style="list-style-type: none"> ○ Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with latest industry standards. ○ Controller cabinet (assemblies) replacements that can be shown to enhance signal synchronization. ○ Closed Circuit Television (CCTV). ○ 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. UPS for ATMS is not intended to provide power to entire TMC and approval of request for UPS is at the sole discretion of OCTA. ○ Active Transportation/Pedestrian Safety related elements <ul style="list-style-type: none"> ▪ High-Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules. ▪ Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage. ● Minor signal operational improvements (2 points) <ul style="list-style-type: none"> ○ 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 protected permissive left turn phasing and shared pedestrian phasing, excluding display equipment and other ineligible activities as mentioned in these guidelines. ● Traffic Management Center (TMC)/Traffic Operations Centers (TOC) and motorist information (1 point) <ul style="list-style-type: none"> ○ New TMCs or TOCs (any project funded under this category should plan for center-to-center communication (C2C) with nearby agencies and/or OCTA). ○ Upgrades to existing TMCs or TOCs (any project funded under this category should plan for C2C with nearby agencies and/or OCTA). ○ Motorist information systems (up to 10 percent (10%) of total project costs for PI phase only).

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No.	Section/Chapter	Subsection	Page No.	Proposed Change																																																				
				<ul style="list-style-type: none"> o 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). • New or upgraded vehicle, pedestrian, and bicycle detection that does not already meet the above categories can be claimed (1 point) if there are a minimum of three (3) implementations 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. <p>Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the "Separate Bicycle/ADA Pedestrian Detection" or "New/Upgraded Detection", but not both. (maximum: 10 points)</p>																																																				
64	Ch. 8	Selection Criteria/Maintenance of Effort	8-14	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. Note that the project will not be eligible for funding until after the completion of all maintenance commitments. (maximum: 5 points)																																																				
65	Ch. 8	Selection Criteria/Project Scale	8-14 – 8-15	Project Scale: Points are earned for including more intersections along signal synchronization network or serving as a signal corridor "gap closure" . For a grid, the number of signals and percent of signals being retimed will only be calculated for the corridor that is designated as the Main Corridor. (maximum: 240 points)																																																				
66	Ch. 8	Selection Criteria/Number of Local Agencies	8-15	Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 120 points)																																																				
67	Ch. 8	Selection Criteria/Current Project Readiness-Status	8-15	Current Project Readiness-Status: Points are earned based on the current status of the project development. Points for re-timing of a corridor can be claimed only if at least 75% of the previous project is part of the new application. Evidence of actual preliminary engineering performed for proposals requesting funding for implementation phases must be provided to qualify for points related to this attribute. Points can also be claimed for applicants who provide evidence that they can complete primary implementation within twelve months. Agencies that receive points for this category cannot request delays or time extensions throughout the life of the project.																																																				
68	Ch. 8	Selection Criteria/Funding Rate	8-15	The percentages shown in Table 8-1 apply to overall match rates above a local agency's minimum requirement.																																																				
69	Ch. 8	Table 8-1/VMT	8-16	<table border="0"> <tr> <td>Transportation Significance</td> <td>Vehicle Miles Travelled (VMT)</td> <td>Points:</td> <td>320</td> </tr> <tr> <td colspan="4"><hr/></td> </tr> <tr> <td></td> <td>Inclusion of offset signals within 2700'</td> <td>Points</td> <td>90% or above 10</td> </tr> <tr> <td></td> <td>50 – 89%</td> <td>5</td> <td></td> </tr> <tr> <td></td> <td>< 50%</td> <td>0</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: center;">AND</td> </tr> <tr> <td></td> <td>Vehicle Miles Traveled (VMT) Range</td> <td></td> <td></td> </tr> </table>	Transportation Significance	Vehicle Miles Travelled (VMT)	Points:	320	<hr/>					Inclusion of offset signals within 2700'	Points	90% or above 10		50 – 89%	5			< 50%	0		AND					Vehicle Miles Traveled (VMT) Range																										
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70	Ch. 8	Table 8-1/Economic Effectiveness	8-16	o Cost Benefit (Total \$/VMT) Range* —																																																				
71	Ch. 8	Table 8-1/Project Characteristics	8-16	<table border="0"> <tr> <td><u>Project Feature</u></td> <td><u>Points</u></td> <td><u>Timing Only, No Capital</u></td> <td><u>10</u></td> </tr> <tr> <td>Adaptive Traffic & Demonstration Projects</td> <td>4</td> <td></td> <td></td> </tr> <tr> <td>TMC/TOC Connections Between Agencies</td> <td>4</td> <td></td> <td></td> </tr> <tr> <td>Automated Traffic Signal Perf. Measures</td> <td>43</td> <td></td> <td></td> </tr> <tr> <td>Intelligent Cameras</td> <td>32</td> <td></td> <td></td> </tr> <tr> <td>Detection for ATSPM and counts</td> <td>3</td> <td></td> <td></td> </tr> <tr> <td>Separate Bicycle/ADA Pedestrian Detection</td> <td>32</td> <td></td> <td></td> </tr> <tr> <td>New/Upgraded Communications Systems</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>Intersection/Field System Modernization</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>Minor Signal Operational Improvements</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>New Protected/Permissive Signals</td> <td>2</td> <td></td> <td></td> </tr> <tr> <td>TMC/TOC and Motorist Information</td> <td>1</td> <td></td> <td></td> </tr> <tr> <td>New/Upgraded Detection</td> <td>1</td> <td></td> <td></td> </tr> </table>	<u>Project Feature</u>	<u>Points</u>	<u>Timing Only, No Capital</u>	<u>10</u>	Adaptive Traffic & Demonstration Projects	4			TMC/TOC Connections Between Agencies	4			Automated Traffic Signal Perf. Measures	43			Intelligent Cameras	32			Detection for ATSPM and counts	3			Separate Bicycle/ADA Pedestrian Detection	32			New/Upgraded Communications Systems	2			Intersection/Field System Modernization	2			Minor Signal Operational Improvements	2			New Protected/Permissive Signals	2			TMC/TOC and Motorist Information	1			New/Upgraded Detection	1		
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72	Ch. 8	Table 8-1/Transportation Significance	8-16	<table border="0"> <tr> <td>Transportation Significance</td> <td>Points: 10</td> <td>Corridor Type</td> <td>Points</td> <td>Priority & Signal Synchronization Corridor</td> <td>5</td> <td>Corridor "Gap Closure"</td> <td>5</td> </tr> </table>	Transportation Significance	Points: 10	Corridor Type	Points	Priority & Signal Synchronization Corridor	5	Corridor "Gap Closure"	5																																												
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73	Ch. 8	Table 8-1/Number of Signals on Main Corridor Coordinated by Project	8-16	<p>Project Scale Points: 420</p> <p>Number of Signals on Main Corridor Coordinated by Project</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>50+</td> <td>510</td> </tr> <tr> <td>40 - 49</td> <td>48</td> </tr> <tr> <td>30 - 39</td> <td>36</td> </tr> <tr> <td>20 - 29</td> <td>24</td> </tr> <tr> <td>10 - 19</td> <td>12</td> </tr> <tr> <td>< 10</td> <td>0</td> </tr> </tbody> </table>	Range	Points	50+	510	40 - 49	48	30 - 39	36	20 - 29	24	10 - 19	12	< 10	0
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74	Ch. 8	Table 8-1/Percent of Main Corridor Signals Being Retimed	8-16	<p>Percent of Main Corridor Signals Being Retimed</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>90% or above</td> <td>510</td> </tr> <tr> <td>80 - 89%</td> <td>48</td> </tr> <tr> <td>70 - 79%</td> <td>36</td> </tr> <tr> <td>60 - 69%</td> <td>24</td> </tr> <tr> <td>50 - 59%</td> <td>12</td> </tr> <tr> <td>< 50%</td> <td>0</td> </tr> </tbody> </table>	Range	Points	90% or above	510	80 - 89%	48	70 - 79%	36	60 - 69%	24	50 - 59%	12	< 50%	0
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75	Ch. 8	Table 8-1/Number of Jurisdictions	8-16	<p>Number of Jurisdictions Points: 210</p> <p>Total Number of Involved Jurisdictions</p> <table border="1"> <thead> <tr> <th>Range</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>5 or more</td> <td>2010</td> </tr> <tr> <td>4</td> <td>168</td> </tr> <tr> <td>3</td> <td>126</td> </tr> <tr> <td>2</td> <td>84</td> </tr> <tr> <td>1</td> <td>0</td> </tr> </tbody> </table>	Range	Points	5 or more	2010	4	168	3	126	2	84	1	0		
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76	Ch. 8	Table 8-1/Current Project Readiness	8-16	<p>Current Project Readiness-Status Points: 10</p> <table border="1"> <thead> <tr> <th>Project Status</th> <th>Points</th> </tr> </thead> <tbody> <tr> <td>Re-timing 75% of prior RTSSP project</td> <td>5</td> </tr> <tr> <td>Implementation within 12 months</td> <td>5</td> </tr> </tbody> </table>	Project Status	Points	Re-timing 75% of prior RTSSP project	5	Implementation within 12 months	5								
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77	Ch. 8	Matching Funds	8-18-8-19	Examples of staffing commitment . . . directly enhance the signal synchronization project. 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.														
78	Ch. 8	Matching Funds	8-19	Allowable signal system investment . . .made by the agency. For OCTA-led projects, match for equipment shall be in cash except when an agency elects to purchase equipment per the application.														
79	Ch. 8	Matching Funds	8-19	<p>The specific matching requirement by project category type is listed below for city agency led projects:</p> <table border="1"> <thead> <tr> <th>Project category</th> <th>Type of matching allowed*</th> </tr> </thead> <tbody> <tr> <td>Signal coordination</td> <td>In-kind match** or cash match</td> </tr> <tr> <td>New or upgraded detection</td> <td>In-kind match** or cash match</td> </tr> </tbody> </table>	Project category	Type of matching allowed*	Signal coordination	In-kind match** or cash match	New or upgraded detection	In-kind match** or cash match								
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2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

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80	Ch. 8	Matching Funds	8-20	New signal system investment (limited to eligible activities)														
81	Ch. 8	Matching Funds	8-20–8-21	<p>Relocated from Lead Agency Section</p> <p>Additionally, for projects designating OCTA as lead agency . . . when the local agency develops the application:</p> <ul style="list-style-type: none"> • Primary Implementation (PI) (12 months) <ul style="list-style-type: none"> o Project Administration - Each local . . . administration). o Signal Synchronization Timing - Each local . . . agency intersection. o Before and After Study - Each local . . . local agency. o Engineering design/review - Each local . . . local agency intersection. o System integration - Each local . . . on improvements). o Construction management - Each local . . . depending on improvements. • Ongoing O&M (24 months) - Each local . . . project O&M report. <p>For projects designating a local agency . . . using a different formula (e.g., 2-5 hours per local agency signal for 24 months).</p>														
82	Ch. 8	Matching Funds	8-21	Participating agencies pledging in-kind services shall be responsible for keeping track of said hours and/or improvements. For OCTA-led projects, an in-kind services match report will be requested throughout the project to ensure agencies meet their promised in-kind match. All submissions shall include backup documentations, such as accounting/payroll detailed summaries, third-party invoices (consultant, contractor, and equipment) and are subject to Audit.														
83	Ch. 8	Data Compatibility	8-22	<p>All count data, including average daily traffic (ADT) and intersection turning movement (ITM), collected as part of any funded project shall be provided to OCTA in one of the two following digital formats: 1) Microsoft Excel format. NDS/Southland Car Counters style Excel spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS). Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored and maintained by OCTA. OCTA shall provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data file name shall adhere to the following file naming describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number. or .esv. As an example, a turning movement count file recently collected for the intersection of Harbor Boulevard and Wilson Street in the City of Costa Mesa would be given the filename 2020_CostaMesa_ITM_Harbor-Wilson_2020_ITM_4534.esv.xls.</p> <p>All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 10 esv latest Universal Traffic Data Format (UTDF) format and version combined data UTDF-format. This data shall include the validated network layout, node, link, lane, volume, timing, and phase data for all coordinated times. The nodes for these files shall also correspond to the OCTA node ID numbers. All such data shall be consistent with the OCTA ROADS database.</p>														
84	Ch. 8	Project Summary Information	8-22	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.														

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/ Chapter	Subsection	Page No.	Proposed Change
85	Ch. 8	Exhibit 8-1: Checklist	8-23– 8-24	<p>RTSSP Online Application – submitted through OCFundTracker</p> <ol style="list-style-type: none"> 1. Transportation Significance Vehicle Miles Traveled 2. Benefit Cost Ratio 3. Project Characteristics 4. Transportation Significance 4. Maintenance of Effort 5. Project Scale 6. Number of Jurisdictions 7. Current Project Readiness Status 8. Funding Over-Match <p>Section 1: Key Technical Information</p> <ol style="list-style-type: none"> a. Name of Project Corridor/Grid Route Limits b. Project Limits c. Project Length d. Number of Signalized Intersections Along Corridor e. Participating Agencies/Traffic Forum Members f. Lead Agency g. Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor h. Project start date and end date, including any commitment to operate signal synchronization beyond the three-year grant period i. Previous funding j. Contact Information k. Signalized intersections that are part of the project Traffic Forum members l. Project Map Depicting the Project Limits <p>Section 2: Regional Significance Lead Agency</p> <p>Section 3: Acknowledgement of Required Tasks Resolutions of Support from the Project's Traffic Forum Members</p> <p>Section 4: Funding Needs/Costs Preliminary Plans for the Proposed Project by Task The plans shall include details about both phases of the project: Preliminary Implementation (PI) and Ongoing Operations and Maintenance (O&M). The plan should be organized using the following setup:</p> <p>Primary Implementation shall include details about the following:</p> <ul style="list-style-type: none"> –Task 1: Project Administration (required) –Task 2: Data Collection (required) –Task 3: Field Review and Plans Specifications and Estimates (required) –Task 4: Corridor “Before” Study (required) –Task 5: Signal Timing Optimization and Implementation (required) –Task 6: Corridor “After” Study (required) –Task 7: Synchronization System Construction (required) –Task 8: Project Report (required) –Task 9: On-going Operations and Maintenance (required) <p>Ongoing O&M will begin after the PI of the project is completed. It shall include details about the following:</p> <ol style="list-style-type: none"> a. Monitoring and improving optimized signal timing (required) b. Communications and detection support (optional)

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/ Chapter	Subsection	Page No.	Proposed Change
				c. O&M Final Memorandum (required) a. Summary of Project Cost b. Summary of Cost by Agency c. Table I: Agency Improvement Preferences d. Table II: Description of Work by Intersection Section 5: Detailed Local Match Commitment Total Proposed Project Cost by Task a. Table I: Summary of Improvements b. Table II: Detailed Improvement Breakdown Section 6: Project Schedule for the 3 Year Grant Period by Task a. Project State and End Dates b. Project Schedule by Task c. Agency Commitment of Extended Monitoring and Maintenance Section 7: Matching Funds Section 8: Environmental Clearances and Other Permits Section 9: Calculations Used for Develop Selection Criteria Inputs Section 10: Any additional Information Deemed Relevant by the Applicant Appendices a. Agency Resolutions b. Vehicle Miles Traveled (VMT) c. Calculations and Estimated Points d. Additional Information (Optional)
86	Ch. 8	Exhibit 8-2 Resolution	8-25	The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Regional Traffic Transportation Signal Synchronization Program.
87	Ch.9	Payment Requests	9-4	3. Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name, contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order or Notice to Proceed (NTP) that includes the project-specific scope of work for the contractor.
88	Ch.9	Payment Requests	9-4	5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases on the Engineering & Construction Phase Initial Report Form 10-1A.
89	Ch. 9	Final Payment Documentation Requirements	9-7	5. Final Report Form – The local agency shall prepare a final report form using the Engineering & Construction Phase Final Report Form 10-5A.
90	Ch. 9	Procedures for Receiving Funds	9-12	O&M will begin after the PI of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years. Primary Implementation (PI) includes the following: • Producing a Final PI Report, which includes the Before and After Study for the proposed project (required)
91	Ch. 9	Procedures for Receiving Funds	9-12	Ongoing Operation and Maintenance (O&M) will begin after the PI of the project is completed. Includes the following: • Final O&M Report
92	Ch. 9	Initial Payment Requests for Primary Implementation	9-13	The PI final report has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on the PI final rReport prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.
93	Ch. 9	Initial Payment Requests for Primary Implementation	9-14	Final Report Submission

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/Chapter	Subsection	Page No.	Proposed Change																
94	Ch. 9	Example of Initial Reimbursement for Primary Implementation (PI):	9-14	<table border="0" style="width: 100%;"> <tr> <td style="text-align: center;">CTFP Grant Allocation</td> <td style="text-align: center;">OCTA Match Rate</td> <td style="text-align: center;">Local Agency Match Rate</td> </tr> <tr> <td style="text-align: center; border: 1px solid black;">\$960,000.00</td> <td style="text-align: center; border: 1px solid black;">80%</td> <td style="text-align: center; border: 1px solid black;">20%</td> </tr> </table> <p>Step 1 Eligible Expenses x OCTA Match Rate = Product \$1,000,000.00 x 80% = \$800,000.00</p> <p>Step 2 Check if Product is greater than or less than CTFP Grant Allocation Amount: \$800,000 vs \$960,000</p> <p>Step 3 Use the lower of the Product or CTFP Grant Allocation In this case, the \$800,000.00 amount is lower</p> <p>Step 4 Then multiply the amount by 75% (Initial Payment Percentage)</p> <table border="0" style="width: 100%;"> <tr> <td style="text-align: center; border: 1px solid black;">\$800,000.00</td> <td style="text-align: center;">x</td> <td style="text-align: center; border: 1px solid black;">75%</td> <td style="text-align: center;">=</td> <td style="text-align: center; border: 1px solid black;">\$600,000.00</td> </tr> <tr> <td colspan="4"></td> <td style="text-align: center; border: 1px solid black;">Invoice Amount</td> </tr> </table>	CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate	\$960,000.00	80%	20%	\$800,000.00	x	75%	=	\$600,000.00					Invoice Amount
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				Invoice Amount																
95	Ch. 9	Final Payment Requests for Primary Implementation	9-15	A template for the before and after study is available. The PI Report, which includes the <u>Before and After Study</u> for RTSSP, shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report as required by the M2 Ordinance, Attachment B, Section III.A.9 for reimbursement purposes.																
96	Ch. 9	O&M Project Final Report	9-15 – 9-16	O&M Project Final Report The project final O&M Report shall be completed in accordance with all CTFP Guidelines upon the end of the three-year grant period O&M phase. In addition, the final O&M Report shall summarize the O&M period, full project through the three-year grant period, include the Before and After Study from the PI phase, and report on additional updates/information that result from the Ongoing Operation and Maintenance phase. documenting the O&M efforts and procedures for continuing maintenance. At a minimum, the O&M Report shall include when travel runs were conducted and issues and solutions throughout the phase. The report shall document all planned and programmed improvements on the study corridor as well as recommendations for further infrastructure improvements that would likely enhance the corridor signal coordination project results.																

- Acronyms
 CTFP – Comprehensive Transportation Funding Program
 O&M – Operations & Maintenance
 N/A – Not applicable
 OCTA – Orange County Transportation Authority
 RTSSP – Regional Transportation Signal Synchronization Program
 RCP – Regional Capacity Program
 Board – Board of Directors
 M2 – Measure M2
 PI – Primary Implementation
 CCTV -Closed Circuit Television
 ADA – Americans with Disabilities Act
 Caltrans – California Department of Transportation

**Comprehensive Transportation Funding Programs,
Guidelines Excerpt, Proposed Revisions**

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 project’s environmental clearance.
8. For the purpose of these guidelines, the terms “excess right-of-way” and “surplus right-of-way” shall interchangeably refer to ROW acquired for a specific transportation purpose that is not needed for that purpose. ROW designation shall be acknowledged by applicant to OCTA within sixty calendar days of designation. Furthermore, surplus property plan must also be provided to OCTA at time of designation.
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.
10. The term “Fully Burdened Labor Rates” include Work Force Labor Rate (WFLR) plus overhead (see Chapter 9).
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.
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.
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.
 14. The term “lead agency” shall refer to the agency responsible for the submission of the grant application.
 15. The term “Master Funding Agreements” or any form thereof shall refer to cooperative funding agreements described in Precept 4.
 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.
 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.
 18. The term “obligate” or any variation thereof shall refer to the process of encumbering funds.
 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. “Primary Implementation (PI) Report” refers to the report required at the end of the PI phase. It is a technical report that documents the work completed during the PI phase, which contains the Before and After Study. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
 - ~~20.~~21. “Operations and Maintenance (O&M) Technical Memorandum Report” 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 phase. This is a separate report from the project final report required by the M2 Ordinance, Attachment B, Section III.A.9.
 - ~~21.~~22. 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.

~~22.~~23. Programming for RCP (Project O) follows a sequential process related to Planning and Implementation elements as described more fully in Chapter 2. The Planning step includes environmental evaluation, planning and engineering activities. The Implementation step includes ROW and construction activities.

~~23.~~24. The term “project phase completion” refers to the date that the local agency has paid the final contractor/consultant invoice (including retention) for work performed and any pending litigation has been adjudicated for the engineering phase or for the ROW phase, and all liens/claims have been settled for the construction phase. 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.

~~24.~~25. The term “Public-Private Partnerships” is defined as direct financial contributions, sponsorships or ROW dedications for eligible program activities.

~~25.~~26. The term “reasonable” in reference to project phase costs shall refer to a cost that, in its nature and amount, does not exceed that which would normally be incurred under the circumstances prevailing at the time the decision was made to incur the cost. Factors that influence the reasonableness of costs: whether the cost is of a type generally recognized as ordinary and necessary for the completion of the work effort and market prices for comparable goods or services.

~~26.~~27. The term “savings” or “project savings” in reference to projects awarded through the CTFP are any grant funds remaining on a particular project phase after all eligible items within the approved project scope have been reimbursed.

~~27.~~28. “Sustainability”, as it applies to capacity enhancing infrastructure projects, refers to project elements that support environmental benefits such as use of renewable or recycled resources.

29. The term “Work Force Labor Rates (WFLR)” include direct salaries plus direct fringe benefits.

~~28.~~30. The term “offset signal” refers to traffic signalized intersections within 2,700 feet from either direction of the project corridor. (Project P Only)

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 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

CTO – Contract Task Order

ECAC – Environmental Cleanup Allocation Committee

ECP – Environmental Cleanup Program

EIR – Environmental Impact Report

Chapter 1 - Eligibility

Overview

To apply for the CTFP, local agencies must fulfill an annual eligibility process. OCTA established this process to ensure that improvements are consistent with regional plans. The cities and county approved a process reflecting the eligibility criteria found in Measure M. Eligibility packages are due to OCTA by June 30 of each year.

In order to receive CTFP and M2 LFS funds, OCTA must deem agencies as eligible. OCTA shall annually distribute an eligibility information package to local agencies. Below is a brief list of requirements:

- Adoption of a Capital Improvement Program (CIP)
- Adoption of a General Plan Circulation Element which does not preclude implementation of the MPAH
- Adoption of a Pavement Management Plan
- Adoption of a Local Traffic Signal Synchronization Plan
- Satisfied Maintenance of Effort requirements
- Approved agreement to expend funds within three years of receipt (based upon award date for competitive M2 projects and based on the date OCTA issues check to local agency for LFS and Senior Mobility Programs)
- Adopt an annual Expenditure Report
- Submit Project Final Report for all Net Revenue projects

The M2 Eligibility Guidelines outline the eligibility requirements in detail. OCTA updates the Eligibility Preparation Manual annually and encourages agencies to use it as a reference when preparing items to meet eligibility requirements (see <http://www.octa.net/pdf/M2EligibilityGuidelines.pdf>). Agencies will submit a CIP through an electronic database application (see <http://ocfundtracker.octa.net/> <http://websmartcip.octa.net/>). OCTA develops a manual and workshops to prepare local agency staff for the annual eligibility process.

MPAH Consistency Review and Amendment Process

Through a transfer agreement with the County of Orange, OCTA assumed responsibility for administering the MPAH starting in mid-1995. As the administrator, OCTA is responsible for maintaining the integrity of the MPAH through coordination with cities and the County and shall determine an agency's consistency with the MPAH. In order to provide a mechanism to communicate MPAH policies and procedures, OCTA prepared the Guidance for the Administration of the Orange County Master Plan of Arterial Highways (see http://www.octa.net/pdf/mpah_guidlines.pdf). The guidance document is to assist

OCTA, the County, and the cities of Orange County to maintain the MPAH as a vital component of transportation planning in the County. The guidance document outlines, in detail, the MPAH consistency review and amendment process. Agencies can find contact information for OCTA staff assigned to MPAH administration in the manual.

Additional Information Regarding MPAH

The agency's General Plan Circulation Element must be consistent with the MPAH. In order for an agency's circulation element to be consistent with the MPAH, it shall have a planned-carrying capacity equivalent to the MPAH for all MPAH links within the agency's jurisdiction. "Planned capacity" shall be measured by the number of through lanes on each arterial highway as shown on the local circulation element. Agencies are not considered "inconsistent" as a result of existing capacity limitations on arterials which are not yet constructed to the circulation element design.

The agency must also submit a resolution attesting that no unilateral reduction in lanes has been made on any MPAH arterials. For a sample resolution, see the Measure M2 Eligibility Guidelines.

Chapter 2 – Project Programming

Program Consolidation

The M2 RCP improvement categories (see Chapter 7) will combine projects into one application review process. The programs of the CTFP will act as the project funding source. The consolidation of programs will help eliminate confusion among the various requirements and allow the greatest flexibility for programming projects. Other funding programs (Projects S, T, V, W, and X) have similar eligibility requirements, but OCTA will evaluate and approve these projects through a separate process.

Sequential Programming Process – RCP

Timely and efficient use of funding is a critical success factor for the CTFP. Historically, agencies were encouraged to develop long term projects spanning three or more years which often led to delays in implementing final project phases. This dynamic led to larger-than-anticipated funding program cash balances and an inability to fund smaller time sensitive projects in the interim.

In response to concerns raised by the Board and the Taxpayers Oversight Committee responsible for M2 oversight, OCTA will use annual calls that serve a near term programming window (3 years), as well as a sequential funding approach for M2 projects. OCTA expects this new approach to aid in a timelier use of funding and limit the potential for unanticipated project completion delays inherent with long lead time projects.

Sequential funding is a two-step process. Step One, also known as the planning phase, includes funding requests for planning/environmental, engineering and ROW engineering activities. Step Two, also known as the implementation phase, includes ROW engineering/acquisition and construction activities. ROW engineering can be requested in either the planning or implementation phases. Projects must complete the planning phase before an agency requests implementation phase funding during a call for projects. Exceptions to this rule include the following:

- An agency may request implementation funding prior to completion of the planning phase if the jurisdiction can demonstrate that the planning phase activities are underway, are substantially complete and the agency will complete the activities within six months of the start of the new phase programmed year.

OR

- An agency may request a Fast Track approach, seeking funds for planning and implementation phase at the same time. The agency must demonstrate that the policy variance is necessary due to the project schedule and waiting until the next annual call for projects to apply for implementation phase funding presents undue hardship or could jeopardize the overall project delivery and milestones. The

agency will waive the opportunity to request a project delay under this approach. The Fast Track approach is permitted only for projects that do not have ROW acquisition needs. If seeking engineering funds, the local agency must have received environmental clearance and demonstrate that all necessary easements and titles are in place for local agency use. Under no circumstances will the Fast Track option be considered for local agency convenience as this could delay implementation of other projects that are shelf ready.

Each call for projects will cover a three-year period that overlaps subsequent future cycles. Funding targets for each cycle are based upon prior funding commitments, anticipated revenues, reprogramming of unused grants (cancellations and savings), and a set aside for future funding cycles.

As part of each call for projects, OCTA will determine an appropriate balance between grants made for the planning and implementation phases.

Tiered Funding

Project funding for RCP (Project O) will follow a tiered funding process that differentiates between large and small projects. The tiered process is described in detail in Chapter 7.

Funding Projections – Call for Projects

Revenue estimates for M2 are updated annually. Programming decisions are based upon conservative economic assumptions provided by Southern California academic institutions. In the future, OCTA will add project cancellations and realized savings from completed projects to anticipated revenues for redistribution in the first year of each funding cycle.

Project Cost Escalation

OCTA will escalate approved ROW and construction projects in years two and three. The match rate percentage identified by implementing agencies in the project grant application shall remain constant throughout the project. This includes projects where the programming has been escalated for future years. OCTA will base escalation rates for future years on ENR CCI 20 City Average escalation rates.

Programming Adjustments

OCTA bases funding grants on cost estimates that agencies provide and that OCTA validates against industry norms during the evaluation process. Agencies must provide estimates in current year dollars.

Projects programmed in Year Two or Year Three of each funding cycle include a CCI-based adjustment factor for the ROW and construction phases only. Lead agencies shall not receive grant increases. Cost overruns are the responsibility of local agencies and

may count against agencies' match rate commitment for eligible activities. Local agencies may request scope adjustments to meet budget shortfalls when the agency can demonstrate substantial consistency and attainment of proposed transportation benefits compared to the original project scope.

When agencies are preparing applications, **all cost estimates must be in current year dollars with Month and Year cited.** OCTA will review each cost estimate thoroughly and will escalate ROW and construction costs based on the year OCTA programs the project grant. For example, if an agency's cost estimate lists construction costs for a project and OCTA programs the project for Year Three of the funding cycle, then OCTA will escalate the costs by the CCI-based adjustment factor, compounded annually, beginning in Year One of the funding cycle.

Project Readiness

In an effort to better utilize project funding and maintain project schedules, programming of funding for CTFP under the sequential approach has been revised. In general, to program grants for Step Two (ROW or construction phases), a project must either have:

1. Project-level approval for environmental clearance, California Environmental Quality Act (CEQA), for M2 programs, (National Environmental Policy Act (NEPA) and CEQA for federally funded programs), or;
2. Exempt (categorically or statutorily) under CEQA and/or NEPA (as applicable).

OCTA will not consider any projects for funding for ROW and construction without final adopted project level environmental clearance documentation at the time of application.

Programming Policies

OCTA will not increase grants after the initial programming for each phase except through project savings transfers, where applicable. Project savings are defined as the grant value remaining after one project phase (such as engineering) has been completed. Transfers should be identified during the SAR phase. Formal request of savings transfers must be accompanied by updated information and justification for the intended phase. Scope reductions are not considered project savings. Overall projects savings at the conclusion of a project are returned to the original program for reprogramming in a subsequent call for projects. This section is intended to clarify rather than replace the transfer policy identified in Precept 22.

In order to receive ROW and construction grants, a project must have all environmental clearances in place. OCTA shall not release final payment for the planning stage (includes final design) until confirmation of environmental clearance is provided.

Agencies are responsible for costs that exceed the project grant, maintaining the project schedule, and maintaining the project scope.

An agency's grant will be cancelled if the agency does not encumber the funds within the programmed fiscal year. An agency may request a delay in accordance with the time extension policy described in the precepts.

An agency must have a fully executed Letter Agreement prior to the obligation of funds.

As stated above, an agency's grant is based on the project's cost as requested and programmed with established escalation rates. If project costs escalate beyond original estimates and the agency is unable to cover additional costs, a request to reduce the project scope or limits will be considered where feasible. For the RTSSP (Project P) program, changes to project costs with respect to the phase allocations will be considered based upon the issuance of contract or contract task order (CTO), provided that the readjusted phase allocations are timely and do not increase the overall grant. All requests for changes in scope and limits must be submitted to OCTA in advance of the change. This request will be evaluated on a case-by-case basis and must be approved by the TAC and the Board prior to initiation of the change by the lead agency. The lead agency must submit a letter to OCTA no later than June 30th of the year in which funds are programmed stating the reasons for cost increases, a proposal for project scope or limit reduction, and an explanation of why approval of the request is warranted. The review process is similar to the appeals process mentioned above.

Schedule change requests

Grants approved as part of the CTFP process are subject to timely delivery requirements. Implementation schedules are determined by the lead agency (applicant). Contract work must be awarded prior to the end of the programmed fiscal year to encumber the funds. If work cannot be initiated within this time frame, a request to defer funding may be submitted to OCTA for consideration. Project status is reviewed every six months during the SAR process. Expired project funding is subject to withdrawal from project and reprogramming in a subsequent call for projects.

Funding delays must be submitted to OCTA in conjunction with the SAR process. These reviews are typically held in Fall and Spring. Emergency extensions after the Spring SAR may be considered on a case by case basis, but no less than ninety (90) calendar days prior to the encumbrance deadline. The M2 Ordinance permits a delay for up to 24 months. Implementing agencies may request a one-time delay of up to 24 months per project grant. Agencies shall justify this request, receive City Council/Board of Supervisor concurrence, and seek approval of OCTA staff, the TAC and Board as part of the SAR process. Projects that are expected to incur extensive delays beyond the parameters of the program should consider cancellation and reapplication at a future date. Advancement requests may be considered during the review process and may be approved subject to funding availability.

Timely use of funds

For project phases, excluding ROW, funds will expire after 36 months from encumbrance. For the ROW phase, funds will expire after 36 months from the date of the first offer letter. Extensions up to 24 months may be granted through the SAR. Extension requests must be received no less than ninety (90) calendar days prior to the encumbrance deadline. Additional extensions may be considered on a case by case basis for the RCP (Project O) and the RTSSP (Project P).

Project Advancements

Agencies wishing to advance a project by one fiscal year, or more may request project advancement. Advancement requests will be considered only if program funds are available. The grant will be de-escalated according to the original escalation rate.

Requests must be submitted as part of the SAR. All advancements will be reviewed by the TAC and approved by the Board. If approved, the agency and project will be required to meet the new fiscal year award or encumbrance deadline.

Should OCTA be unable to accommodate an advancement request due to cash flow constraints, the agency may still move forward with the project using local funding. (See Precept 6) The lead agency must have a fully executed letter agreement prior to beginning work. The lead agency may subsequently seek reimbursement of CTFP funds in the fiscal year in which funds are programmed. Reimbursement shall follow the standard CTFP process (see Chapter 9). Prior approval is not necessary if the project is being advanced through local funds.

Semi-Annual Review

OCTA staff will conduct a comprehensive review of CTFP projects on a semi-annual basis to determine the status of projects. Project updates will be provided by the local agencies and uploaded to OCFundtracker. Follow-up meetings to these updates will be held as needed. Semi-annual project reviews are usually scheduled to occur in March and September of each year.

Projects are reviewed to:

1. Update project cost estimates. For any project experiencing cost increases exceeding 10 percent (10%) of the originally contracted amount, a revised cost estimate must be submitted to OCTA. This is applicable even if the increase is within the overall grant amount.
2. Review the project delivery schedule
3. Determine the project's continued viability
4. Verify project O&M expenditures (e.g. ECP (Project X))

5. Discuss any potential issues with external fund sources committed as match against the competitive funds

Prior to each review meeting, OCTA staff will distribute a list of active projects to each local agency. Each agency will be contacted as needed and asked to participate in the upcoming review where each agency's project schedules, cost estimates, and scope will be reviewed. Agencies will be given the opportunity to request program changes (e.g. delaying and advancing funds from one fiscal year to another) and each adjustment will be considered on a case-by-case basis. The agency should be prepared to explain any changes and provide all necessary supporting documentation. Generally, the local agency is responsible for the implementation of the projects as approved by OCTA, however consideration will be given for circumstances beyond the lead agency's control that affect scope, cost, or schedule.

Based on the semi-annual review meetings, OCTA staff will develop and present recommendations for project adjustments to the TAC. Requests for project changes (delays, advancements, scope modifications, etc.) will be considered on an individual basis. The following action plan has been developed for the semi-annual review process:

- Require local agencies to submit status reports, project worksheets, and supporting documentation to OCTA for all project adjustments.
- Require local agencies to abide by the **Time Extension Policy**:
 - Agencies may request a delay of up to 24 months per grant. Local agencies will be required to justify this request and seek approval of OCTA staff, the TAC, and the Board as part of the semi-annual review process.
 - Approved schedule changes will require an update of the local jurisdiction's seven-year CIP and the OCTA cooperative funding agreement.
 - Evidence of Council approval (resolution, minute order, or notification) must be provided prior to Board approval of delays.
 - An administrative extension may be granted for expiring M2 funds for a project phase that is clearly engaged in the procurement process (advertised but not yet awarded). The local agency must notify OCTA, submit a written request, for an extension, and provide evidence of advertisement prior to the award deadline.
 - Agencies that have requested Fast Track funding cannot request time extensions.

Environmental Cleanup Program Operations and Maintenance Reporting

For Tier 1 of the ECP (Project X), cash match is required. Ongoing Operations and Maintenance (O&M) of the project can no longer be pledged as a match.

Chapter 7 – Regional Capacity Program (Project O)

Overview

The RCP (Project O) is a competitive program that will provide more than \$1 billion over a thirty-year period. The RCP replaces the Measure M local and regional streets and roads competitive programs (1991-2011).

Although each improvement category described in this chapter has specific eligible activities, the use of RCP funding is restricted to and must be consistent with the provisions outlined in Article XIX and the California State Controller’s [Guidelines Relating to Gas Tax Expenditures for Cities and Counties](#) (March 2019). These Guidelines are available at the following link: https://www.sco.ca.gov/Files-AUD/gas_tax_guidelines31219.pdf.

The MPAH serves as the backbone of Orange County’s arterial street network. Improvements to the network are required to meet existing needs and address future demand. The RCP is made up of three (3) individual program categories which provide improvements to the network:

- The ACE improvement category complements freeway improvement initiatives underway and supplements development mitigation opportunities on arterials throughout the MPAH.
- The ICE improvement category provides funding for operational and capacity improvements at intersecting MPAH roadways.
- The FAST focuses upon street to freeway interchanges and includes added emphasis upon arterial transitions to interchanges.

Projects in the arterial, intersection, and interchange improvement categories are selected on a competitive basis. All projects must meet specific criteria in order to compete for funding through this program.

Also included under the RCP is the Regional Grade Separation Program (RGSP), which is meant to address vehicle delays and safety issues related to at-grade rail crossings. Seven rail crossing projects along the MPAH network were identified by the California Transportation Commission (CTC) to receive TCIF. TCIF allocations required an additional local funding commitment. The RGSP captures these prior funding commitments. Future calls for projects for grade separations are not anticipated.

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

2021~~0~~ Call for Projects

Contingent on OCTA’s Board approval, the 2021 Call for Projects (call) for RCP (Project O) – under M2 is anticipated to provide approximately **\$22 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 21/22 – 23/24), 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 202¹ call for projects by **5:00 p.m. on Thursday, October 22, 2020**. **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
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

Exhibit 7-1

Arterial Capacity Enhancement (ACE)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- ADT Counts and LOS Calculations
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses)*
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*
- ADT and LOS Calculations

Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*
- ADT and LOS Calculations

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Exhibit 7-2

Intersection Capacity Enhancement (ICE)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) *
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS/ICU Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report *
- Approved Project Construction Plans*

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Exhibit 7-3

Freeway Arterial/Streets Transition (FAST)

CTFP Application Checklist Guide

Planning – Environmental & Engineering

- CTFP Online Application – submitted through OCFundtracker
- Project Description, Scope of Work and Project Limits
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, ADT for arterial and ramp exit volumes
- Caltrans Letter of Support
- Aerial Photo w/ Proposed Improvements Shown

Right-of-Way

- CTFP Online Application – submitted through OCFundtracker
- Project Description Detail (include plat maps and legal descriptions for proposed acquisitions)
- Detailed right-of-way Acquisition/Disposal Plan using the OCTA provided right-of-way acquisition/disposal plan form available for download at <https://ocfundtracker.octa.net>.
- Cost Estimate for Complete Project - ALL PHASES
 - Estimated right-of-way Cost by Parcel (Land, Improvements Taken, Severance, Goodwill, Incidental Expenses) *
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Aerial Strip Map w/ Existing and Proposed Improvements Shown
 - Include right-of-way Improvements and Parcels to be Acquired
- Preliminary Construction Layout Plans*

Construction

- CTFP Online Application – submitted through OCFundtracker
- Project Construction Specifications
- Cost Estimate for Complete Project - ALL PHASES
- General Application Sample Resolution
- Peak Hour Turning Movement Counts, LOS Calculations, and ADT for each leg of the intersection
- CEQA Compliance Form (CE, Negative Declaration, EIR)
- Project Development Documents - Project Report or Materials Report*
- Approved Project Construction Plans*
- Appropriate agreements between Caltrans and the project lead agency need to be in draft form and/or in place.

NOTE: To qualify for the 10 percent (10%) local match discount for measurable improvement of PCI, please include documentation from the last two PMP biennial Measure M Eligibility submittals that provide average PCI for Overall System.

****Items are due after first application review. OCTA staff will contact you regarding those projects that will require this additional information.***

Attachments

OC Fundtracker Application

Agencies must submit a copy of the OCFundtracker application and scoring information with all application submittals. This document is created within the OCFundtracker web-based application.

"Project Cost Estimate" Form

Include a separate attachment listing all expenditures and costs for the project. Accurate unit prices and a detailed description of work, including design, will be critical when the candidate project is reviewed. For example, design applications should include major tasks that will be performed. ROW cost estimate should include parcel information (including project area needed), improvements taken, severance damages, ROW engineering, appraisal and legal costs. Construction should include a listing of all bid items including a maximum 10 percent (10%) allowance for contingencies and a maximum 15 percent (15%) allowance for construction engineering/project management. The anticipated disbursement of costs (e.g., Agency, Other, Non-Eligible) must also be completed. Agencies should reference the program from which funding is expected to be allocated when completing this portion of the form. Each of the funding programs described in these guidelines may have differing matching fund requirements.

If more than one project phase is requested to be funded, a separate project cost estimate form is to be completed for each phase, or each phase must be clearly indicated, and a subtotal prepared on this form. Separate forms should also be prepared if funding for project phases is being requested over multiple fiscal years.

"Sample Resolution" Form

A resolution or minute action must be approved by the local jurisdiction's governing body prior to the Board approval of grant funds. A sample resolution is included as Exhibit 7-4. Local agencies, at a minimum, must include items a-h. The mechanism selected shall serve as a formal request for CTFP funds and states that matching funds will be provided by the agency, if necessary. All project requests must be included in this action. **If a draft copy of the resolution is provided, the local jurisdiction must also provide the date the resolution will be finalized by the local jurisdiction's governing body.**

ROW Acquisition/Disposal Plan

For all projects requesting ROW phase funding, a detailed plan for acquisition/disposal of excess right-of-way, along with any reasonable labor costs expected, must be included. The ROW acquisition/disposal plan and labor cost estimate must be submitted using the

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

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:

If a project includes more than one jurisdiction and is being submitted as a joint application, one agency shall act as lead agency and must provide a resolution of support from the other agency.

1. Letters of support for the candidate project (optional).
2. Geotechnical\materials reports for all applicable candidate projects (e.g., widening, intersection improvement, new roadway). The reports should contain sufficient detail for an accurate assessment of improvements needed and costs, since funding will be jeopardized if a project is unable to meet proposed schedule and costs.

3. Preliminary plans, if available for the project. The plans (1"=40' preferred) should include:
 - a. Existing and proposed ROW (include plat maps and legal descriptions for proposed acquisitions).
 - b. Agency boundaries, dimensions and station numbers.
 - c. Existing and proposed project features such as: pavement width and edge of pavement, curb, gutter and sidewalk, raised median, driveway reconstruction, signal pole locations, etc.
 - d. Typical cross sections.
 - e. Proposed striping.
 - f. Structural sections per the materials report.
 - g. Proposed traffic signals, storm drains, bridges, railroad crossing improvements, safety lighting, etc.
 - h. If requesting funds for traffic signals, include a traffic signal warrant(s) prepared by the City Traffic Engineer or City Engineer.
 - i. If the project includes construction, relocation, alteration or widening of any railroad crossing or facility, include a copy of the letter of intent sent to the railroad, a copy of which must be sent to the Public Utilities Commission (PUC). Any project including work of interest to a railroad will not be considered for eligibility until the railroad and PUC have been notified.
 - j. If the project is proposed as a staged project and additional funds will be necessary in subsequent calls for projects, the preliminary project statement should be accompanied with a complete preliminary estimate and schedule for the completion of the entire project.
 - k. If the project is proposed as a safety improvement, provide justifying accident data for the past three years and show the expected decrease in intersection or mid-block accident rate.
4. Current 24-hour traffic counts (taken for a typical mid-week period within the preceding 12-month period) for the proposed segment. Projects submitted without "current counts" will be considered incomplete and non-responsive.

Exhibit 7-4

**Sample Resolution for Candidate Orange County
Comprehensive Transportation Programs Projects**

A resolution of the _____ City Council approving the submittal of _____ improvement project(s) to the Orange County Transportation Authority for funding under the Comprehensive Transportation Program

THE CITY COUNCIL OF THE CITY OF _____ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- (a) WHEREAS, the City of _____ desires to implement the transportation improvements listed below; and
- (b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive M2 "Fair Share" funds; and
- (c) WHEREAS, the City's Circulation Element is consistent with the County of Orange Master Plan of Arterial Highways; and
- (d) WHEREAS, the City of _____ will not use M2 funds to supplant Developer Fees or other commitments;
- (e) WHEREAS, the City/County must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Measure M2 Ordinance eligibility requirement.
- (f) WHEREAS, the City of _____ will provide a minimum in __% in matching funds for the _____ project as required by the Orange County Comprehensive Transportation Funding Programs Guidelines; and
- (g) WHEREAS, the Orange County Transportation Authority intends to allocate funds for transportation improvement projects, if approved, within the incorporated cities and the County; and
- (h) WHEREAS, the City/County authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the Comprehensive Transportation Funding Programs. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in the improvement of the following street(s):

ADOPTED BY THE CITY COUNCIL on _____, 20____.

SIGNED AND APPROVED on _____, 20____.

City Clerk

Mayor

*Required language a-h

Application Review Process

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, request supplemental information (i.e., plans, aerial/strip maps, CEQA forms) for projects that appear to rank well during initial staff evaluations, and prepare a recommended program for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications such as, but not limited to, project scope, cost estimates, ADT and LOS. These applications will be selected through a random process.

The following guidelines will be used in reviewing project applications. Any application that does not meet these minimum guidelines must include an explanation of why the guidelines were not met:

1. The travel lane width should be no less than 11 feet (12 feet if adjacent to a raised median or other obstruction) for all arterial highways.
2. For divided roadways, the minimum median width should be no less than 10 feet to allow for turning movements. Divided roadways are defined as those with either a painted or raised median.
3. Arterial highways that are designated for uses in addition to automobile travel (e.g., bicycle, pedestrian, parking) shall provide additional ROW consistent with local jurisdiction standards to facilitate such uses.
4. An eight-lane roadway should provide for a continuous median, protected dual or single left-turn pockets as warranted at signalized intersections, single left-turn pockets at non-signalized intersections, and a right-turn lane at signalized intersections where determined necessary by traffic volumes. ROW for a free right-turn lane should be provided at locations warranted by traffic demand.
5. A six-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets as warranted by existing traffic at all signalized intersections, and single left-turn pockets at non-signalized intersections. A right-turn option lane should also be provided as warranted by traffic demand.
6. A four-lane divided roadway should provide a continuous median, protected dual or single left-turn pockets at all signalized intersections, and a left-turn pocket at all non-signalized intersections. A right-turn lane should also be provided as warranted by traffic demand.
7. A four-lane undivided roadway shall provide for a single left-turn pocket at all intersections as warranted by traffic demand.

Applications will be reviewed by OCTA for consistency, accuracy and concurrence. Applications determined complete in accordance with the program requirements will be

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 2020](#)

Application submittal deadline: October [22, 2020](#)

TSC/TAC Review: February/March [2021](#)

Committee/Board approval: May [2021](#)

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.**

Arterial Capacity Enhancements (ACE)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Improvements to the network are required to meet existing needs and address future traffic demand. The ACE improvement category complements freeway improvement initiatives underway, supplements development mitigation activities and enables improvements based upon existing deficiencies.

Projects in the ACE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

Objectives

- Complete MPAH network through gap closures and construction of missing segments
- Relieve congestion by providing additional roadway capacity where needed
- Provide timely investment of M2 Revenues
- Leverage funding from other sources

Project Participation Categories

The ACE category provides capital improvement funding (including planning, design, ROW acquisition and construction) for capacity enhancements on the MPAH for the following:

- 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 segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- Roadway widening where additional capacity is needed
- New roads / extension of existing MPAH facility

Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including curb-to-curb, lighting, drainage, etc.)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by ACE (subject to limitations identified in precepts)
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- 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)
- ITS infrastructure (advance placement in anticipation of future project)
- 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 (inclusive of any TCE and/or ROW agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading ~~(e.g. over excavation for poor soil conditions)~~ will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.
- Additional ROW to accommodate significant pedestrian volumes or bikeways shown on a Master Plan of Bikeways or in conjunction with the "Complete Streets" effort. These will be considered for eligibility on a case by case basis during the application process.
- Installation of a pedestrian activated traffic signal where necessitated by pedestrian traffic warrants or other engineering criteria.

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 construction 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 construction 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 ACE Program 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 designated by aforementioned criteria.

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

Soundwalls are eligible only if they are required as part of the environmental mitigation for the proposed project and the Measure M contribution to the cost of soundwalls shall not exceed 25 percent (25%) of the total eligible construction costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in this section above.

Roadway grading is eligible for structural sections if within the standard MPAH cross section for the facility (inclusive of any TCEs). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.

~~Roadway grading will be eligible for structural sections within the roadway ROW. Additional grading required within the project limits will be subject to OCTA's review. OCTA will make the determination based on the additional documentation provided to demonstrate local agency's financial obligation to pay for such improvements. Rough roadway grading must be complete prior to project start.~~

Utility Relocations

The expenses associated with the relocation of utilities are eligible for RCP reimbursement only when all conditions listed below have been met:

- 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 not eligible in the construction phase subject to the limitations previously described. New or relocated fire hydrants are ineligible.

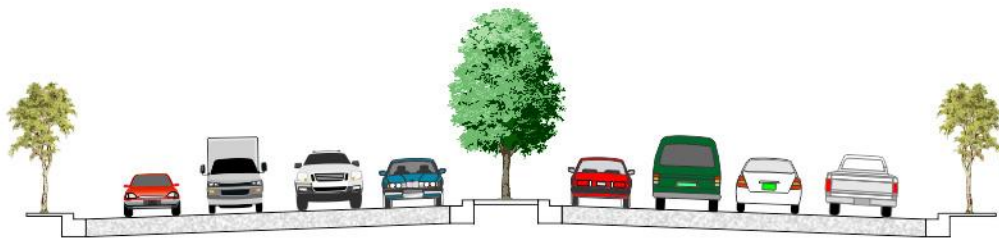
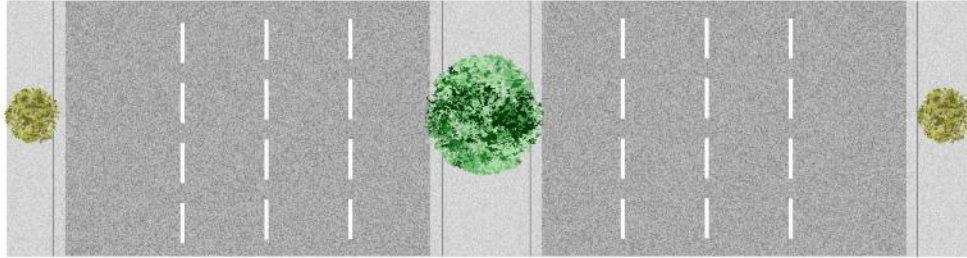
In all cases, eligible costs shall only include "in-kind" relocation. No reimbursements will be made for betterments above the cost of "in-kind" relocation. Additionally, costs submitted for program reimbursement must include any salvage credits received.

Ineligible Expenditures

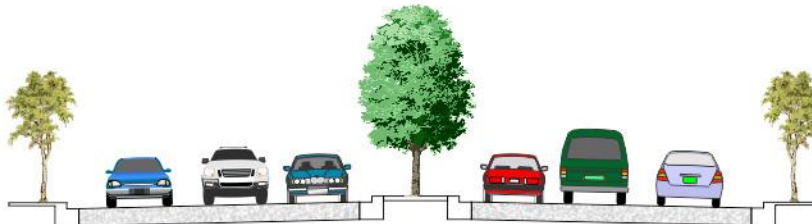
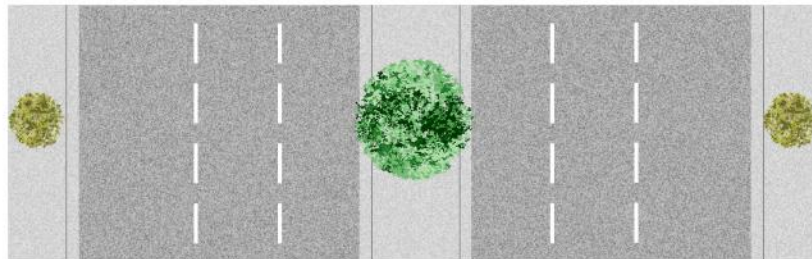
Items that are not eligible under the ACE Program are:

- 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, 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

Exhibit 7-5 Standard MPAH Cross Sections

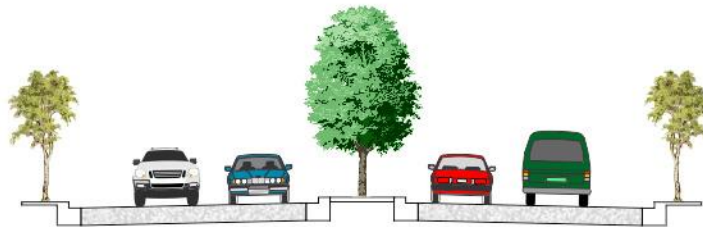
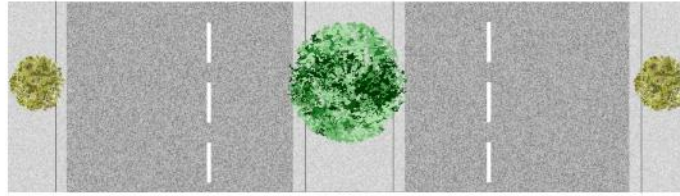


PRINCIPAL
144 FT
(8 LANES, DIVIDED)

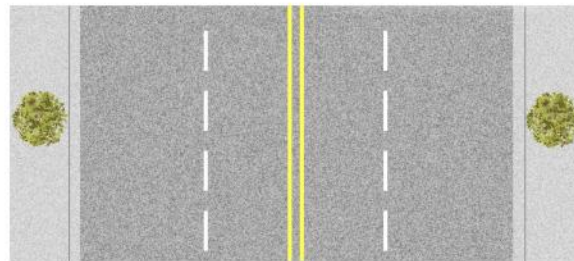


MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-5 *continued*
Standard MPAH Cross Sections

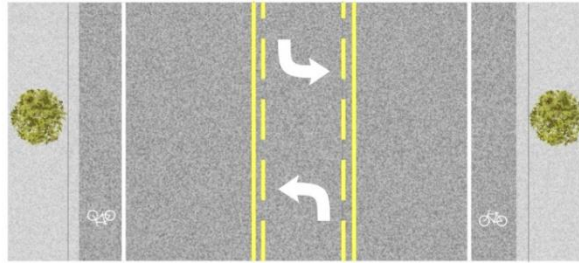


PRIMARY
100 FT
(4 LANES, DIVIDED)

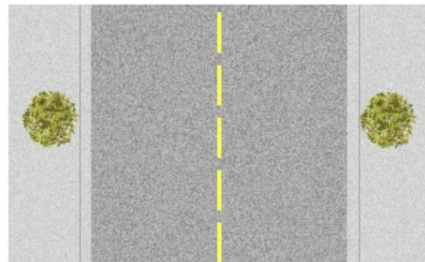


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

Exhibit 7-5 *continued*
Standard MPAH Cross Sections



DIVIDED COLLECTOR
80 FT
(2 LANES, DIVIDED)



COLLECTOR
56 FT
(2 LANES, UNDIVIDED)

Master Plan of Arterial Highway Capacities

Below are the approximate roadway capacities that will be used in the determination of LOS:

<u>Type of Arterial</u>	<u>Level of Service (LOS)</u>				
	A .51 - .60 v/c	B .61 - .70 v/c	C .71 - .80 v/c	D .81 - .90 v/c	E .91 - 1.00 v/c
8 Lanes Divided	45,000	52,500	60,000	67,500	75,000
6 Lanes Divided	33,900	39,400	45,000	50,600	56,300
4 Lanes Divided	22,500	26,300	30,000	33,800	37,500
4 Lanes (Undivided)	15,000	17,500	20,000	22,500	25,000
2 Lanes Divided	9,000	12,000	15,000	20,000	22,000
2 Lanes (Undivided)	7,500	8,800	10,000	11,300	12,500

Note: Values are maximum Average Daily Traffic

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, proposed Vehicle Miles Traveled (VMT), level of services benefits, local match rate funding and overall facility importance. Technical categories and point values are shown on Tables 7-1 and 7-2. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding “current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Projects submitted without “current counts” will be considered incomplete and non-responsive. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the 36 months preceding the release date of the current call. **Note:** New facilities must be modeled through OCTAM and requests should be submitted to OCTA a minimum of six (6) weeks prior to application submittal deadline. **This deadline is September 10,**

2020 for the 2021 Call for Projects. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application will not be considered. For agencies where event, weekend, or seasonal traffic presents a significant issue, Average Annual Daily Traffic (AADT) counts can be used, provided the agency gives sufficient justification for the use of AADT.

VMT: Centerline length of segment proposed for improvement multiplied by the existing ADT for the proposed segment length. Measurement must be taken proximate to capacity increase. VMT for improvements covering multiple discrete count segments are calculated on a weighted average basis.

Current Project Readiness: This category is additive. Points are earned for the highest qualifying designation at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.
- ~~ROW (All easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.~~
- ~~ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction.~~
- ~~Final Design (Plan, Specification and Estimate (PS&E)) – applies where the jurisdiction’s City engineer or other authorized person has approved the final design.~~
- ~~Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.~~
- ~~Environmental Approvals – applies where all environmental clearances have been obtained on the project.~~

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum local match rate requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match differential. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Transportation Significance: Roadway classification as shown in the current MPAH.

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 multiple complete street elements, recycled materials during the roadway construction process (recycled aggregate or rubberized asphalt) or the installation of solar lighting within the roadway cross section, or water conservation 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. 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 segment or for completing the terminus of an MPAH roadway. This applies to increased roadway capacity only as it relates to vehicular traffic.
- **New Facility/Extensions:** Construction of new roadways.
- **Bridge crossing:** Widening of bridge crossing within the project limits to full MPAH width. Widening beyond MPAH shall not qualify for Project O funding.
- **Adds capacity:** Addition of through traffic lanes.
- **Improves traffic flow:** Installation of a median, restricting cross street traffic, adding midblock turn lanes, or elimination of driveways.

LOS Improvement: This category is a product of the existing or projected LOS based upon volume/capacity– or v/c -- and LOS improvement "with project". **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) "without project" condition to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for the proposed segment. However, for projects where traffic volumes follow unconventional patterns, unidirectional volumes may be proposed as an acceptable alternate methodology for determining LOS. If unidirectional volumes are used for LOS calculations, ADT for the proposed direction of improvement shall serve as the basis for ADT, cost benefit and vehicle miles travelled (VMT) scoring categories. Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects

with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in this chapter.

Complete application

- Funding needs by phase and fiscal year
- Local committed match funding source, confirmed through city council resolution or minute order
- Supporting technical information (including current traffic counts)
- Project development and implementation schedule
- ROW status and detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
- Any additional information deemed relevant by the applicant
- Grants subject to Master Funding Agreement

Calls are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

New Facilities

New facilities must be modeled through OCTAM. A local agency planning on submitting a request for funding for a new facility must submit a modeling request a minimum of six (6) weeks prior to the application submittal deadline. If modeling requests are not submitted six (6) weeks prior to the application submittal deadline, the application associated with the related project will not be considered. Any request for modeling **must**

be submitted to OCTA no later than September 10, 2020 for the 2021 Call for Projects.

Facility Modeling: For consistency purposes, all proposed new facilities will be modeled by OCTA using the most current version of OCTAM. Applicants may supplement their application with a locally-derived model with OCTAM used for validation purposes. The facility will be modeled with the lane capacity reflected in the application.

Average Daily Trips Determination: OCTAM will provide an “existing” ADT using a “with project” model run under current conditions. The ADT for the proposed segment will serve as the ADT value to be considered in the application.

LOS Improvement: LOS on existing facilities may be positively or negatively affected by a proposed new roadway segment through trip redistribution. A current condition model run is generated “with” and “without” the proposed project. The intent is to test the efficacy of the proposed segment. A comparison of these before and after project runs (using current traffic volumes) yields potential discernable changes in LOS. The greatest benefit is generally on a parallel facility directly adjacent to the proposed project. Trip distribution changes generally dissipate farther from the project. For evaluation purposes, the segment LOS (determined through a simple volume / capacity calculation) for the “with” and “without project” will be used for the existing LOS and LOS improvement calculations.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent (50%) with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **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 Documentation: 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. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information if necessary, to adequately evaluate the project application.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for 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.**

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report, and consistency with Master Funding Agreement or cooperative agreement if federal funds are awarded. The reimbursement process is more fully described in Chapter 9 of this manual.

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 during the planning phase 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. All ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. All construction funding received prior to cancellation shall be repaid upon cancellation.

Cancelled projects will be eligible to reapply upon resolution of issues that led to original project termination. Agencies can resubmit an application for funding consideration once either the cancellation of the existing funding grant has been approved by the OCTA Board or is in the process of approval through the semi-annual review. In the event the OCTA Board does not approve the cancellation, the lead agency will be required to withdraw the application.

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 misrepresentation of M2 funding will require remediation, which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

**Table 7-1
Regional Capacity Program
Street Widening Selection Criteria**

Category	Points Possible	Percentage
Facility Usage		30%
Existing ADT	10	10%
Existing VMT	10	10%
Current Project Readiness	10	10%
Economic Effectiveness		15%
Cost Benefit	10	10%
Funding Over-Match	5	5%
Facility Importance		20%
Transportation Significance	10	10%
Operational Efficiency	10	10%
Benefit		35%
Improvement Characteristics	10	10%
Level of Improvement and Service	25	25%
Total	100	100%

Table 7-2 Street Widening Point Breakdown

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

Facility Usage Points: 30		
<u>Existing ADT Range</u>		<u>Points</u>
45+	thousand	10
40 – 44	thousand	8
35 – 39	thousand	6
30 – 34	thousand	5
25 – 29	thousand	4
20 – 24	thousand	3
15 – 19	thousand	2
10 – 14	thousand	1
<10	thousand	0
<u>VMT Range</u>		<u>Points</u>
31+	thousand	10
26 – 30	thousand	8
22 – 25	thousand	6
18 – 21	thousand	5
14 – 17	thousand	4
11 – 13	thousand	3
08 – 10	thousand	2
04 – 07	thousand	1
<4	thousand	0
<u>Current Project Readiness</u>		<u>Max Points: 10</u>
ROW (All Easement and Titles)		5
Final Design (PS&E)		4
Environmental Approvals		2
Preliminary Design (35%)		2
ROW (All Offers Issued)		2
Points are additive. Design and ROW limited to highest qualifying designation.		
Economic Effectiveness Points: 15		
<u>Cost Benefit (Total \$/ADT)</u>		<u>Points</u>
<u>Range*</u>		
< 49		10
50 – 74		9
75 – 99		7
100 – 149		5
150 – 199		4
200 – 249		3
250 – 299		2
300 – 349		1
350+		0
Funding Over-Match (local match/project cost) minus minimum local match requirement.		
<u>Range*</u>		<u>Points</u>
25+%		5
20 – 24%		4
15 – 19%		3
10 – 14%		2
05 – 09%		1
00 – 04%		0
*Range refers to % points above agency minimum requirement.		
Facility Importance Points: 20		
<u>Transportation Significance Range</u>		<u>Points</u>
Principal or CMP Route		10
Major		8
Primary		6
Secondary		4
Collector		2
<u>Operational Attributes (within the roadway)</u>		<u>Max Points: 10</u>
Pedestrian Facilities (New)		3
Meets MPAH Configs.		3
Bike Lanes (New)		3
Active Transit Route(s)		2
Bus Turnouts		2
Median (Raised)		2
Remove On-Street Parking		2
Water Conservation Elements		2
Safety Improvements		2
Sustainability Elements		2
Other		2
Benefit Points: 35		
<u>Improve Characteristics</u>		<u>Points</u>
Gap Closure		10
New Facility/Extension		8
Bridge Crossing		8
Adds Capacity		6
Improves Traffic Flow		2
<u>LOS Improvement</u>		<u>Max Points: 25</u>
<u>Existing LOS Starting Point Range (LOS Imp x LOS Starting Pt)</u>		<u>Points</u>
1.01+		5
.96 – 1.00		4
.91 – .95		3
.86 – .90		2
.81 – .85		1
<.81		0
LOS Improvements with Project (exist. Volume)		
<u>Existing LOS Starting Point Range</u>		<u>Points</u>
.20+		5
.16 – .20		4
.10 – .15		3
.05 – .09		2
.01 – .05		1
<.01		0

Intersection Capacity Enhancements (ICE)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Intersections at each intersecting MPAH arterial throughout the County will continue to require improvements to mitigate current and future needs. The ICE improvement category complements roadway improvement initiatives underway and supplements development mitigation opportunities.

Projects in the ICE improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

For the purposes of the ICE improvement category, the limits of an intersection shall be defined as the area that includes all necessary (or planned) through lanes, turn pockets, and associated transitions required for the intersection. Project limits of up to a maximum of 600 feet for each intersection leg are allowable. Projects that, due to special circumstances, must exceed the 600-foot limit, shall include in their application the request for a technical variance. The project shall be presented to the TSC by the local agency to request approval of the variance.

Objectives

- Improve MPAH network capacity and throughput along MPAH facilities
- Relieve congestion at MPAH intersections by providing additional turn and through lane capacity
- Improve connectivity between neighboring jurisdiction by improving operations
- Provide timely investment of M2 revenues

Project Participation Categories

The ICE category provides capital improvement funding (including planning, design, ROW acquisition and construction) for intersection improvements on the MPAH network for the following:

- Intersection widening – constructing additional through lanes and turn lanes, extending turn lanes where appropriate, and signal equipment
- Street to street grade separation projects

Eligible Activities

- Planning, environmental clearance
- Design (plans, specifications, and estimates)
- ROW acquisition

- Construction (including bus turnouts, curb ramps, median, and striping)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Required environmental mitigation for projects funded by ICE
- Storm drains/catch basins/detention basins/bioswales/other pollutant discharge mitigation devices
- Sound walls (in conjunction with roadway improvement mitigation measures)
- 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)
- Signal equipment (as incidental component of program), including the installation or upgrade of pedestrian countdown heads
- Bicycle detection systems
- 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 and are located within the roadway right-of-way.
- Roadway grading within the ROW (inclusive of any TCEs and/or ROW agreement related improvements) should not exceed a depth for normal roadway excavation (e.g. structural section). Additional grading (~~e.g. over excavation for poor soil conditions~~) will be considered on a case by case basis. Agencies shall provide supporting documentation (e.g. soils reports, ROW agreements) to justify the additional grading.

Ineligible Items

- Grading outside of the roadway ROW not related to a TCE or ROW agreement.
- ROW acquisition greater than the typical ROW width for the applicable MPAH Roadway Classification. Additional turn lanes not exceeding 12 feet in width needed to maintain an intersection LOS D requiring ROW in excess of the typical ROW width for the applicable MPAH classification shall be fully eligible. 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 State

statutes and the acquisition/disposal plan submitted in accordance with these guidelines.

- Enhanced landscaping and aesthetic improvements (landscaping that exceeds that necessary for normal erosion control and ornamental hardscape).

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 ICE 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 clearance for the proposed project and shall not exceed 25 percent (25%) of the total eligible project costs. Aesthetic enhancements and landscaping in excess of minimum environmental mitigation requirements are subject to limitations described in the "Potentially Eligible Item" section above.

The relocation of detention basins/bioswales/other pollutant discharge mitigation devices are potentially eligible dependent on who has prior rights and will be given 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). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.

~~Roadway grading is eligible for structural sections. 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 all conditions listed below have been met:

- 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 include any salvage credits received.

Selection Criteria

Specific selection criteria will be used to evaluate competitive program project applications. Emphasis is placed on existing usage, LOS benefits, local match funding, and overall facility importance. Technical categories and point values are shown on Tables 7-3 and 7-4. Data sources and methodology are described below.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project's projected ADT, current ADT, the delta, and justification of the increase. Regarding "current" counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without "current" counts will be deemed incomplete and non-responsive. Average ADT for the east and west legs of the intersection will be added to the average ADT for the north and south legs.

For agencies where event or seasonal traffic presents a significant issue, AADT counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- Environmental Approvals – applies where all environmental clearances have been obtained on the project.
- Preliminary design (35 percent (35%) level) – will require certification from the City Engineer and is subject to verification.
- Final Design (PS&E) – applies where the jurisdiction’s City Engineer or other authorized person has approved the final design.
- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.

Cost Benefit: Total project cost (included unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction’s minimum match rate requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction’s minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Contiguous project: Projects that complement a proposed arterial improvement project with a similar implementation schedule earn points in this category. This category is intended to recognize large projects that segregate intersection components from arterial components for funding purposes.

Transportation Significance: Roadway classification as shown in the current MPAH.

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

- Bike Lanes: Extension of bike lanes through intersection
- Bus Turnouts: Construction of a bus turnout as a new feature.
- Lowers density: Addition of through travel lanes.
- Channels traffic: Addition and/or extension of turn pockets (other than free right turn).

- Free right turn: installation of new free right or conversion of an existing right turn to free right
- Protected/permissive left turn: Convert from protected to protected/permissive
- Pedestrian Facilities: Placement of a new sidewalk if none currently exists.
- Grade separations: Street to street grade separations and do not apply to rail grade separation projects which are covered by the grade separation program category.
- Sustainability -Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation 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. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only.~~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.~~
- ~~• Water Conservation: Includes elements that reduce water consumption. 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.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" using ICU calculation with 1,700 vehicles per lane per hour and a .05 clearance interval. Calculations will be based upon "current" arterial link and turning movement counts projected to opening year. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using peak hour traffic counts/turning movements AM/PM peak periods) for the proposed segment utilizing ICU methodology and using 1,700 vehicles per lane/per hour and a .05 clearance interval.

For projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) HCM 2010 may be proposed

as an alternate methodology for determining LOS. HCM calculations must use SYNCHRO and be supported with complete calculation documentation using standard industry approaches and current signal timing plans. If an alternative methodology is proposed, all analysis **must be submitted to OCTA for review no later than September 10, 2020** for the 2021 Call for Projects. OCTA will contract with an independent third-party firm to review the technical analysis. The cost for the review will be charged to the applicant.

Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below. Detailed instructions and checklists are provided in this chapter.

- Complete application
 - Funding needs by phase and fiscal year
 - Local match funding source, confirmed through city council resolution or minute order
 - Supporting technical information (including current arterial link and turning movement counts)
 - Project development and implementation schedule
 - ROW status and a detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
 - Any additional information deemed relevant by the applicant
- Grants subject to master funding agreement

Calls for projects are expected to be issued on an annual basis, or as determined by the Board. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program.

All project roadways must be identified on the MPAH network. Local streets not shown on the MPAH are not eligible for funding through this program.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, the minimum local match requirement is 50 percent (50%) with potential to reduce this amount if certain eligibility requirements are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Approval: A Council Resolution or Minute Order action authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **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 Documentation: 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. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary, to adequately evaluate the project application.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for 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.**

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement or cooperative agreement. The reimbursement process is more fully described in Chapter 9 of this manual.

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 during the planning phase 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. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

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 misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and the Master Funding Agreement.

**Table 7-3
Regional Capacity Program
Intersection Improvement Selection Criteria**

Category	Points Possible	Percentage
Facility Usage		25%
Existing ADT	15	15%
Current Project Readiness	10	10%
Economic Effectiveness		20%
Cost Benefit	10	10%
Funding Over-Match	5	5%
Coordination with Contiguous Project	5	5%
Facility Importance		30%
Transportation Significance	10	10%
Operational Efficiency	20	20%
Benefit		25%
LOS Improvement	25	25%
Total	100	100%

Table 7-4 Intersection Widening Point Breakdown

ICE SCORING CRITERIA

Point Breakdown for Intersection Capacity Enhancement Projects Maximum Points = 100

Facility Usage Points: 25			Facility Importance Points: 30																																																								
<table border="1"> <thead> <tr> <th>ADT Range*</th> <th></th> <th>Points</th> </tr> </thead> <tbody> <tr><td>60+</td><td>thousand</td><td>15</td></tr> <tr><td>55 – 59</td><td>thousand</td><td>13</td></tr> <tr><td>50 – 54</td><td>thousand</td><td>11</td></tr> <tr><td>45 – 49</td><td>thousand</td><td>9</td></tr> <tr><td>40 – 44</td><td>thousand</td><td>7</td></tr> <tr><td>35 – 39</td><td>thousand</td><td>5</td></tr> <tr><td>30 – 34</td><td>thousand</td><td>3</td></tr> <tr><td>25 – 29</td><td>thousand</td><td>1</td></tr> </tbody> </table> <p>*AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection.</p>			ADT Range*		Points	60+	thousand	15	55 – 59	thousand	13	50 – 54	thousand	11	45 – 49	thousand	9	40 – 44	thousand	7	35 – 39	thousand	5	30 – 34	thousand	3	25 – 29	thousand	1	<table border="1"> <thead> <tr> <th>Transportation Significance Range</th> <th></th> <th>Points</th> </tr> </thead> <tbody> <tr><td>Principal or CMP Route</td><td></td><td>10</td></tr> <tr><td>Major</td><td></td><td>8</td></tr> <tr><td>Primary</td><td></td><td>6</td></tr> <tr><td>Secondary</td><td></td><td>4</td></tr> <tr><td>Collector</td><td></td><td>2</td></tr> </tbody> </table>			Transportation Significance Range		Points	Principal or CMP Route		10	Major		8	Primary		6	Secondary		4	Collector		2									
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Freeway Arterial/Streets Transitions (FAST)

Overview

The MPAH serves as the backbone of Orange County's arterial street network. Current and future needs at existing interchanges along MPAH highways and freeways will need to be addressed in order to improve connectivity between freeways and MPAH arterials. The interchange improvement program complements roadway improvement initiatives underway as well, and supplements development mitigation opportunities.

Projects in the FAST improvement category are selected on a competitive basis. Projects must meet specific criteria in order to compete for funding through this program.

Objectives

- Improve transition to and from Orange County freeways with emphasis on MPAH performance
- Provide timely investment of M2 revenues

Project Participation Categories

The FAST category provides capital improvement funding (including planning, design, ROW acquisition and construction) for interchange improvements on the MPAH network for the following:

- MPAH facility interchange connections to Orange County freeways (including on-ramp, off-ramp and arterial improvements)

Eligible Activities

- Planning, environmental clearance
- Design
- ROW acquisition
- Construction (including ramps, intersection and structural improvements/reconstruction incidental to project)
- Signal equipment (as incidental component of the program)

Potentially Eligible Items

Below is a list of potentially eligible items. However, final determination of the eligibility of all project related costs will be made at the time of reimbursement. Prior to the submittal of an application for funding, or at any point in the project life cycle, local agencies may meet with OCTA staff to review the eligibility of project related costs.

Application review and approval does not guarantee the eligibility of all items.

- Direct environmental mitigation for projects funded by FAST (details below)
- 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 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). Rough roadway grading may be considered partially eligible within the MPAH cross section and will be evaluated by OCTA on a case by case basis.

~~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 generally 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, 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.

Projected/Current Average Daily Trips (ADT): Current ADT is the preferred method of measuring congestion. However, traffic counts and ramp volumes projected to the year of opening for the project will be allowed as part of the competitive evaluation. These must be submitted along with current 24-hour traffic counts for the proposed segment for comparison purposes. The agency must submit the project projected ADT, current ADT, the delta, and justification of the increase. Regarding “current” counts, these are defined as those taken for a typical mid-week period within the preceding 12-months. Project applications using projected ADT must use traffic counts taken within the preceding 12 months. Project applications not using projected ADT may use traffic counts taken within the preceding 36 months. Project applications without “current” counts will be deemed incomplete and non-responsive. Average ramp intersection volume for each interchange ramp will be used for the current counts. New facilities will rely on projected ramp volume based upon Caltrans approved projection.

For agencies where event or seasonal traffic presents a significant issue, AADT counts can be used, provided the agency gives sufficient justification for the use of AADT.

Current Project Readiness: This category is additive. Points are earned for each satisfied readiness stage at the time applications are submitted. Local agency should select the most current phase of the project.

- ROW (all offers issued) – applies where offers have been made for every parcel where acquisition is required and/or offers of dedication or orders of immediate possession have been received by the jurisdiction. Documentation of ROW possession will be required with application submittal.
- ROW (all easements and titles) – applies where no ROW is needed for the project or where all ROW has been acquired/dedicated.
- Project Approvals/Environmental Documentation (PA/ED) – applies where a Project Report-level analysis has been completed and environmental approvals have been attained. Furthermore, Environmental Approvals and Preliminary Design (35 percent (35%) level) are included with the PA/ED phase for FAST.
- Project Study Report (PSR) or equivalent – applies where the proposed project has completed initial planning activities, such as Environmental Impact Report (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.

- ~~• ROW (all easements and titles) — applies where no ROW is needed for the project or where all ROW has been acquired/dedicated).~~
- ~~• ROW (all offers issued) — applies where offers have been made for every parcel where acquisition is required and/or offers of dedication have been received by the jurisdiction.~~
- ~~• Final Design (PS&E) — applies where the jurisdiction's City engineer or other authorized person has approved the final design.~~
- ~~• Preliminary design (35 percent (35%) level) — will require certification from the City engineer and is subject to verification.~~
- ~~• Project Approvals/Environmental Documentation (PA/ED) — applies where a Project Report-level analysis has been completed and environmental approvals have been attained.~~

Cost Benefit: Total project cost (including unfunded phases) divided by the existing ADT (or modeled ADT for new segments).

Funding Over-Match: The percentages shown apply to match rates above a jurisdiction's minimum local match requirement. M2 requires a 50 percent (50%) local match for RCP projects. This minimum match can be reduced by up to 25 percentage points if certain eligible components are met. If a jurisdiction's minimum match target is 30 percent (30%) and a local match of 45 percent (45%) is pledged, points are earned for the 15 percent (15%) over-match. The pledged amount is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project.

Coordination with Freeway Project: Interchanges planned to coincide with or accommodate programmed freeway improvements receive points in this category.

Transportation Significance: Roadway classification as shown in the current MPAH.

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

- Eliminate left turn conflicts: Ramp intersection reconfiguration which does not permit left turns onto ramps.
- Coordinated signal: Ramp intersections within a coordinated corridor where coordination did not previously exist.
- Add turn lanes: Increase in number of turn lanes on arterial.
- Add traffic control: Signalization of ramp intersection.

- Enhanced ramp storage: Extension or widening of existing ramp to improve off-street storage capacity.
- Pedestrian facilities: Add crosswalk and/or sidewalk to ramp or bridge crossing within context of interchange improvements.
- Active Transit Route: facility contains a currently active OCTA transit route
- Sustainability Elements: Includes the use of multiple complete street elements, the installation of solar lighting within the roadway cross section, or water conservation 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. Other elements of sustainability may be considered on a case by case basis. Points are awarded at construction phase only. ~~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.~~
- ~~Water Conservation: Includes elements that reduce water consumption. This includes 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: intersection median barriers, curb extensions, pedestrian crossing islands, 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.

LOS Improvement: This category is a product of the existing or projected LOS based upon v/c and LOS improvement "with project" for arterial based improvements and ICU for intersection-based improvements. **Projects must meet a minimum existing or projected LOS of "D" (.81 v/c) to qualify for priority consideration for funding.** Existing LOS is determined using current 24-hour traffic counts for arterials and peak hour turning movements at intersections for the proposed segment. However, for projects where traffic volumes follow unconventional patterns (e.g. unidirectional congestion, large disparity between AM and PM peaks, etc.) alternate methodologies for determining LOS can be proposed. If HCM 2010 is proposed for intersections as an alternative methodology, all analysis **must be submitted to OCTA no later than September 10, 2020** and the cost for independent review shall be reimbursed by the applicant. Projects that do not meet the minimum LOS "D" can be submitted but are not guaranteed consideration as part of the competitive process.

If during the competitive process, it is determined that additional programming capacity exists after all eligible projects with LOS "D" have been funded, a consideration of projects with a minimum LOS "C" (.71 v/c) may be undertaken. Such consideration will be at the discretion of OCTA. Projects with a LOS better than "C" (.70 v/c) will not be considered.

Improvement Characteristics: Select the attribute that best fits your project definition.

- New facility: New interchange where none exists.
- Partial facility: New interchange which does not provide full access.
- Interchange reconstruction: improvement of existing interchange to provide additional arterial capacity (widening of overcrossing or undercrossing).
- Ramp reconfiguration: Widening of ramp or arterial to improve turning movements or other operational efficiencies.
- Ramp metering: Installation of metering on ramp.

Application Process

Project grants are determined through a competitive application process. Local agencies seeking funding must complete a formal application and provide supporting documentation that will be used to evaluate the project proposal as outlined below.

- Complete application
 - Funding needs by phase and fiscal year
 - Local match funding source
 - Supporting technical information
 - Project development and implementation schedule
 - ROW status and a detailed plan for acquisition/disposal of excess right-of-way. The ROW acquisition/disposal plan must be submitted using the "ROW acquisition/disposal plan" form provided by OCTA and available for download at <https://ocfundtracker.octa.net>.
 - Any additional information deemed relevant by the applicant
- Grants subject to a Master Funding Agreement or cooperative agreement if federal funds are awarded

Calls for projects are expected to be issued on an annual basis, or as determined by the OCTA Board of Directors. Complete project applications must be submitted by the established due date to be considered eligible for consideration.

Minimum Eligibility Requirements

Projects must have an existing or projected LOS "D" (.81 v/c) or worse to qualify for priority consideration for funding in this program. Worst peak hour period is used for this evaluation and eligibility purposes.

Matching Funds

Local agencies are required to provide local match funding for each phase of the project. As prescribed by the M2 Ordinance, a 50 percent (50%) minimum local match is required. A lower local match may be permitted if certain eligibility criteria are met. The amount pledged during the application process is considered the committed match rate and will be required, at a minimum, from the local agency throughout the life of the project. Actual project contributions by the local agency are dependent on final project costs and may not be equal to the committed match rate in the event of cost overruns. OCTA will not increase the funding grant to cover cost overruns. Ineligible expenditures do not contribute to the local match rate.

Reimbursements

This program is administered on a reimbursement basis for capital improvements, planning, design, and ROW acquisition. Reimbursements will be disbursed upon review and approval of an acceptable initial payment submittal, final report and consistency with Master Funding Agreement. The reimbursement process is described in Chapter 9.

Caltrans Coordination

Caltrans is not eligible to submit applications or receive payment under this program. Only cities or the County of Orange may submit applications and receive funds. This program was designed to benefit local agencies.

Coordination with Caltrans will be essential for most, if not all, of the projects submitted for this program. Local agencies should therefore establish contacts with the Caltrans District 12 Office (Project Development Branch) to ensure that candidate projects have been reviewed and approved by Caltrans. All other affected agencies should be consulted as well.

Agencies submitting projects for this program must have confirmation from Caltrans that the proposed improvement is consistent with other freeway improvements as evidenced by an agreement or other formal document.

Applications should be submitted so that interchange projects are done in conjunction with construction of other freeway improvements whenever possible. However, if the interchange project can be done in advance of the freeway project, verification and/or supporting documentation must be submitted showing the interchange improvement has merit for advanced construction and that it will be compatible with the freeway design and operation. Additionally, the interchange improvements should take into account the ultimate freeway improvements if the interchange is to be improved in advance.

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 during the planning phase 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. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation even if property has been acquired. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

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 misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA's Internal Audit department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board (see Chapter 10).

Proceeds from the sale of excess ROW acquired with program funding must be paid back to the project fund as described in Chapter 9 and Master Funding Agreement.

Other Application Materials

Supporting documentation will be required to fully consider each project application. In addition to the funding plan described above, local agencies will be required to submit the following materials:

Council Approval: A Council Resolution or minute order authorizing request for funding consideration with a commitment of local match funding must be provided with the project application. **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 Documentation: 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 of planning

phases. An electronic copy of the PSR and/or environmental document must be supplied as applicable. The applicant will be asked for additional detailed information only if necessary, to adequately evaluate the project application.

Project Summary Information: With each application being recommended for funding, the agency shall submit a PowerPoint presentation summarizing the pertinent project information for 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.**

**Table 7-5
Freeway/Arterial Street Transitions
Interchange Improvement Selection Criteria**

Category	Points Possible	Percentage
Facility Usage		20%
Existing ADT	10	10%
Current Project Readiness	10	10%
Economic Effectiveness		25%
Cost Benefit	10	10%
Matching Funds	10	10%
Coordination with Freeway Project	5	5%
Facility Importance		25%
Transportation Significance	10	10%
Operational Efficiencies	15	15%
Benefit		30%
Existing LOS	10	10%
LOS Reduction w/ Project	10	10%
Improvement Characteristics	10	10%
Total	100	100%

Table 7-6 Interchange Improvement Point Breakdown

FAST SCORING CRITERIA

Point Breakdown for Freeway/Arterial Street Transitions Projects Maximum Points = 100

Facility Usage Points: 20			Facility Importance Points: 25		
<u>ADT Range*</u>			<u>Transportation Significance Range</u>		
55+	thousand	10	Principal or CMP Route		10
50 – 54	thousand	9	Major		8
45 – 49	thousand	8	Primary		6
40 – 44	thousand	6	Secondary		4
35 – 39	thousand	4	Collector		2
30 – 34	thousand	3			
25 – 29	thousand	2			
20 – 24	thousand	1			
<10 – 19	thousand	0			
*Arterial plus daily ramp exit volume			<u>Operational Attributes (within the roadway)</u> Max Points: 15		
<u>Current Project Readiness</u> Max Points: 10			Eliminate Left Turn Conflict		3
ROW (All Easement and Titles)		6	Add Turn Lanes		3
ROW (All Offers Issued)		4	Enhanced Ramp Storage		3
Final Design (PS&E)		4	Pedestrian Facilities (New)		3
PA/ED		2	Coordinated Signal		2
Project Study Report or Equiv.		1	Water Conservation Elements		2
			Safety Improvements		2
			Sustainability <u>Elements</u>		2
			Add Traffic Control		1
Points are additive. ROW is the highest qualifying designation.			Benefit Points: 30		
Economic Effectiveness Points: 25			LOS Improvement Max Points: 20		
<u>Cost Benefit (Total \$/ADT) Range*</u>			Calculation: Avg. LOS Imp + Avg. LOS Starting Point		
< 20		10	LOS Reduction w/ Project (existing Volume) Range		
20 – 39		8	.20+		10
40 – 79		6	.16 – .19		8
80 – 159		4	.10 – .15		6
160 – 319		2	.05 – .09		4
320 – 640		1	<.05		2
>640		0	<u>Existing LOS Range</u>		
Funding Over-Match (local match/project cost) minus minimum local match requirement.			1.06+		10
<u>Range*</u>			1.01 – 1.05		8
30+%		10	0.96 – 1.00		6
25 – 29%		8	0.91 – 0.95		4
20 – 24%		6	0.86 – 0.90		2
15 – 19%		4	0.81 – 0.85		1
10 – 14%		2	Improvement Characteristics Max Points: 10		
05 – 09%		1	<u>Improvement Characteristics</u>		
Range refers to % points above agency minimum requirement			New Facility (Full Interchange)		10
Coordination with Freeway <u>Mainline Improvements</u>			New Facility (Partial Interchange)		8
<u>Project Range</u>			Interchange Reconstruction		6
Yes		5	Ramp Reconfiguration		4
No		0	Ramp Metering		2

Regional Grade Separation Program (RGSP)

Background

Seven rail crossing projects along the MPAH network were identified by the CTC to receive Trade Corridors Improvement Funds (TCIF). These TCIF allocations required an additional local funding commitment. To meet this need, the Board approved the commitment of \$160 million in RCP (Project O) funds to be allocated from M2. The RGSP captures these prior funding commitments.

Future calls for projects for grade separations are not anticipated.

Chapter 8 – Regional Traffic Signal Synchronization Program (Project P)

Overview

The RTSSP (Project P) includes competitive funding for the coordination of traffic signals across jurisdictional boundaries including Project based operational and maintenance funding. OCTA will provide funding priority to programs and projects, which are multi-jurisdictional in nature.

The RTSSP is based on the Traffic Signal Synchronization Master Plan (Master Plan). The Board adopted the Master Plan as an element of the MPAH on July 26, 2010. The Master Plan defines the foundation of the RTSSP. The Master Plan consists of the following components:

- Regional signal synchronization network
- Priority corridors for accelerated signal synchronization
- Definition of Traffic Forums
- Model agreements presenting roles and responsibilities for Project P
- Signal synchronization regional assessment every three years
 - NOTE: For Call for Projects 202~~1~~, Priority Corridors are an eligible inclusion, but no additional points will be awarded. A Priority Corridor is on the Signal Synchronization Network.

The Master Plan will be reviewed and updated by OCTA ~~every three years and will provide details on the status and performance of the traffic signal synchronization activities over that period~~. Local agencies are required to adopt and maintain a Local Traffic Signal Synchronization Plan (Local Plan) that is consistent with the Master Plan and shall issue a report on the status and performance of its traffic signal synchronization activities. Details on both the Master Plan and requirements for Local Plan development are available in the "Guidelines for the Preparation of Local Signal Synchronization Plans". A hard copy of these guidelines can be requested from OCTA.

The remainder of this chapter details the key components of the RTSSP:

- Funding guidelines for the competitive call for projects
- 202~~1~~ Call for Projects

Projects compete for funding as part of the RTSSP. Projects submitted by local agencies as part of the call must meet specific criteria. Projects are rated based on scoring criteria and are selected based on their competitive ratings.

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.

2021~~0~~ Call for Projects

Contingent on OCTA's Board approval, the 2021~~0~~ Call for Projects (call) for RTSSP (Project P)– under M2 is anticipated to provide approximately **\$8 million** for signal coordination across Orange County. The following information provides an overview of the 2021~~0~~ RTSSP Call for Projects:

1. Projects must result in new, optimized, and field-implemented coordination timing.
2. Project shall be a single contiguous corridor or set of contiguous corridors related to each other. Multiple corridors and related systems of 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) 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 R~~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~~with the final report.
 - b. Ongoing Operations and Maintenance (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). A ~~O&M Report Technical Memorandum~~ is required at the conclusion of this phase to document work completed during the O&M phase and shall be submitted with the final report.
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 and after~~any~~ signal

timing changes have been ~~made implemented and approved by all agencies and after the PI.~~ The study shall compare the information collected both before and after the timing changes. Comparisons should 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 and a final report has been submitted to OCTA.
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. Applications 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 22, 2020.** 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 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

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 in the OCTA's latest format, 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 (default – local agency)
- 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 exceed one million dollars in capital improvements. Original photos 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 or grid corridor projects will be limited to three (3) and the total number of intersections between 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~~ (available on the OCTA website and OCFundtracker) is required to be completed for each project application and included in the electronic submittal. **Any Supplemental Application not submitted in the 2021 format will NOT be considered.** ~~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 jurisdictions consistent with Measure M2 ordinance definitions and requirements.

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. If the application claims Caltrans as a participant, then it shall contain a letter of support from Caltrans for the specific project and letters of support from all applicable agencies pledging to sign a cooperative agreement with Caltrans at the start of the project. The lead agency will shall also pledge this commitment in the cover letter of the application. The required Caltrans fee will be a line item in the improvements list. The applicable agencies will be required to cover the required 20% match for the Caltrans line items. All agencies that have a Caltrans intersection/ramp in their jurisdiction are required to sign a cooperative agreement with Caltrans in order for the entire project to claim Caltrans as a participant.

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: [See Lead Agency definition above.](#)

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. [For example, accounting for OCTA's administrative and project management efforts by incorporating an additional 10 percent of the total project cost when calculating the Cost Benefit 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.** [Applications must be prepared by a designated local agency acting in a lead capacity during grant preparation.](#) ~~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~~ [following](#) sections. Based on local agency interest and OCTA resource availability, a limited number of projects [can](#) 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%)).

[<match discussion moved to Matching Funds section>](#)

OCFundtracker Application Components

Final applications MUST be submitted via OCFundtracker and in hard copy format. Selection criteria must be inputted as part of the OCFundtracker online application and includes the following categories of information:

Transportation Significance VMT, Cost Benefit, Project Characteristics, Transportation Significance, Maintenance of Effort, Project Scale, Project Scale, Number of Local Agencies, Current Project Status Readiness, and Funding Match Rate.

Application Review and Program Adoption

OCTA staff will conduct a preliminary review of all applications for completeness and accuracy, may request supplemental information for projects during initial staff evaluations, and prepare a recommended program of projects for the TSC. In addition, OCTA may hire a consultant(s) to verify information within individual applications including, but not limited to, project scope, cost estimates, vehicle miles traveled, and average daily traffic.

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 2020

Application submittal deadline: October 22, 2020

TSC/TAC Review: February/March 2021

Committee/Board approval: May 2021

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 table of contents 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 include 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~~ Final report ~~Report~~ submitted ~~and approved by to~~ 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 text moved to Selection Criteria section>

Applicant agency and owning agency must demonstrate through simulation, or actual vehicle counts showing Origin – Destination that proposed linked corridors ~~tdo~~ form a route. A "grid" project shall consist of one main corridor that is specifically identified in the application with a maximum of two crossing corridors to make a grid. Grid projects shall also be multijurisdictional with a minimum of two local agencies, excluding Caltrans. For a grid project, applicant agency and owning agency must demonstrate through simulation or actual vehicle counts the following:

- Show that timing changes on the main corridor will greatly impact the crossing corridor(s)
- Crossing corridors shall have closely spaced signals in close proximity to the main corridor with timing changes along these crossings impacting the operation of the main corridor

All corridors in the grid shall individually meet the Minimum Eligibility Requirements summarized—and, as part of the project, travel time studies shall also be collected along all corridors making the grid. ~~Linked corridors may also combine at the point of intersection to form a single local Master offset Control Point (T₀) 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 as outlined in the following section.

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 synchronization with 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 within intersection in 2,700 feet from either direction of the project corridor. These offset signals; however, will not be counted towards the total number of signals on the project (for implementation of timing plans only). ~~<communication text moved to Selection Criteria section>~~-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:~~

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

<eligible items moved and re-organized under Selection Criteria section>

Caltrans encroachment permits and agency to Caltrans Cooperative Agreement fees are eligible activities. ~~This~~ Includes Caltrans labor, such as 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.

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. Note that any offset signals will not be counted towards the total number of signals on the project.

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.

Transportation Significance: ~~Vehicle Miles Traveled (VMT)~~: Points are awarded for projects that include offset signals along the project corridor, route, or grid. These offset signals do not count towards the project cap; however, are in relatively close proximity to affect the operation of the corridor(s). The applicant shall identify the number of offset signals on the corridor and the percentage of those offset signals that will be included in the project.

Vehicle miles traveled (VMT) is calculated as the centerline length of segment(s) on the corridor, route, or grid 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 and include 24-hour, midweek, bi-directional counts for each segment. All supporting data shall be organized in order in which they appear for the calculation of the VMT. Data from the OCTA Traffic Flow Map may not be used. Furthermore, outdated and/or non-compliant counts may result in project ineligibility. (maximum: 30 points)

Cost Benefit: Total project cost divided by Existing VMT. If the applicant is electing OCTA to be the lead agency, the total project cost in this calculation must also include an additional 10% of the total project for OCTA administrative and project management efforts. This additional 10% is used to determine the project effectiveness only and is not counted towards the overall project budget cap. (maximum: 10 points)

Project Characteristics: Points are awarded based on the type and relevance of the proposed project. For instance, maximum points are awarded to projects that are timing only without any capital improvements or points accumulate if a signal synchronization project is combined with improvements as defined ~~in~~ below per the "Eligible Activities" section above. ~~as follows:for an~~ <list relocated from Eligible Activities – note that changes are only shown for any addition or deletion not relocation or formatting>

- Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points):
 - Traffic Responsive only if all signals, in at least one agency on the project, are included in the system.
 - Peer-to-Peer program on traffic control devices.
 - Adaptive traffic signal systems only if all signals, in at least one agency on the project, are included in the system.
 - Bluetooth and/or connected vehicle roadside units for at least three (3) signals on the project. If implemented, these items will require a data sharing agreement with OCTA.
- Automated Traffic Signal Performance Measures (ATSPM) system can only be claimed (4 points) if all signals, in, at least, one agency on the project, are included in the system, which will also be used during the O&M phase of the project. If implemented, these items will require a data sharing agreement with OCTA. ~~(must be connected to OCTA SPM Dashboard)~~

- Intelligent cameras that include analytics, such as automated continuous counts and other metrics can only be claimed (3 points) if a minimum of three (3) implementations are included on the project. Furthermore, confirmation that an analytics module or camera with built-in analytics will be purchased for this category to receive points. If implemented, these ~~items~~ cameras will require a data sharing agreement with OCTA.
- Detection system that will increase the number of inputs into the signal controller for the purpose of signal performance measures (e.g. ATSPM) and traffic counts can only be claimed (3 points) if a minimum of three (3) implementations are included on the project.
- Installation of new and/or improved traffic control devices to improve the accessibility, mobility and safety of the facility for pedestrians and bicyclists can be claimed (3 points) if a minimum of three (3) implementations are included on the project. This can include:
 - Inductive loops, video detection, radar, sonar, thermal, hybrids thereof, and other types of detection systems that can distinguish bicycles. This includes implementing a separate bicycle minimum and/or clearance parameter in the traffic signal controller.
 - ADA compliant Pedestrian Signals including, but not limited to, tactile and audible buttons in countdown signal heads.
- New or upgraded communication systems (2 points)
 - 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 and also, cannot be used as part of the required project match.
 - 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~~ Communication 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. Only ~~Gap~~ closure communications links that are installed from a central location and/or

- communications hub to the project corridor that does not currently have a fiber connection to a central location are eligible.
- ~~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 (2 points)
 - Traffic signal controller replacement of antiquated units with Advanced Transportation controller (ATC) units. ATC shall comply with version 6.24 or better of latest industry standards. 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)~~.
 - 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. UPS for ATMS is not intended to provide power to entire TMC and Approval of request for UPS is at the sole discretion of the AUTHORITY OCTA.
 - Active Transportation/Pedestrian Safety related elements
 - High-Intensity Activated crosswalk signaling systems (HAWK) Pedestrian detection modules Bicycle detection modules.
 - Rectangular Rapid Flashing Beacon Systems (RRFB) including striping, legends, and signage.
 - Minor signal operational improvements (2 points)
 - 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 protected permissive left turn phasing and shared

- pedestrian phasing, excluding display equipment and other ineligible activities as mentioned in these guidelines.
- ~~○ 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~~
- Traffic Management Center (TMC)/Traffic Operations Centers (TOC) and motorist information (1 point)
 - New TMCs or TOCs (any project funded under this category ~~must be~~should planned ~~for~~ ~~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~~should planned ~~for~~ ~~built to be~~ C2C ~~“ready”~~ with nearby agencies and/or OCTA).
 - Motorist information systems (up to 10 percent (10%) of total project costs for PI phase only).
 - 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).
- New or upgraded vehicle, pedestrian, and bicycle detection that does not already meet the above categories can be claimed (1 point) if there are a minimum of three (3) implementations:
 - ~~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.

Note: that only one feature can be selected for any qualifying improvement; for example, an implementation of a new video detection system that can distinguish bicycles can be selected for points under the “Separate Bicycle/ADA Pedestrian Detection” or “New/Upgraded Detection”, but not both. (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 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. Note that the project will not be eligible for funding until after the completion of all maintenance commitments. (maximum: 5 points)

Project Scale: Points are earned for including more intersections along signal synchronization network ~~or serving as a signal corridor “gap closure”.~~ For a grid, the

number of signals and percent of signals being retimed will only be calculated for the corridor that is designated ~~ed~~ as the Main Corridor. (maximum: ~~2~~10 points)

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: ~~1~~20 points)

Current Project ~~Readiness~~ Status: Points are earned based on the current status of the project development. Points for re-timing of a corridor can be claimed only if at least 75% of the previous project is part of the new application. Points can also be claimed for applicants who ~~will~~ provide evidence that they can complete ~~—complete~~ primary implementation within twelve months. Agencies that receive points for this category **cannot request delays or time extensions throughout the life of the project.** ~~Evidence of actual preliminary engineering performed for proposals requesting funding for implementation phases must be provided to qualify for points related to this attribute a is.~~ (maximum for category: 10 points)

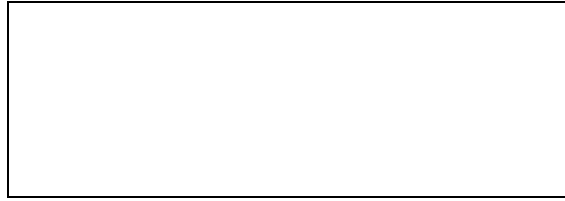
Funding Rate: The percentages shown in Table 8-1 apply to overall match rates ~~above a local agency's minimum match requirement~~. M2 requires a 20 percent (20%) local match for RTSSP projects. Project match rates above 20 percent (20%) are limited to dollar match only. (maximum: 5 points)

Table 8-1 Point Breakdown

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

<p>Transportation Significance Vehicle Miles Travelled (VMT) Points: 320</p> <p><u>Inclusion of offset signals within 2700'</u> Points</p> <table border="1"> <tr><td>90% or above</td><td>10</td></tr> <tr><td>50 - 89%</td><td>5</td></tr> <tr><td>< 50%</td><td>0</td></tr> </table> <p style="text-align: center;">AND</p> <p><u>Vehicle Miles Traveled (VMT)</u></p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>250+ thousand</td><td>20</td></tr> <tr><td>200 - 249 thousand</td><td>15</td></tr> <tr><td>150 - 199 thousand</td><td>10</td></tr> <tr><td>100 - 149 thousand</td><td>6</td></tr> <tr><td>50 - 99 thousand</td><td>3</td></tr> <tr><td>0 - 49 thousand</td><td>1</td></tr> </table> <p><u>Calculation:</u> ADT x segment length (Applies only to coordinated segments of project)</p>	90% or above	10	50 - 89%	5	< 50%	0	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	<p>Project Scale Points: 210</p> <p>Number of Signals <u>on Main Corridor</u> Coordinated by Project</p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>50+</td><td>510</td></tr> <tr><td>40 - 49</td><td>84</td></tr> <tr><td>30 - 39</td><td>63</td></tr> <tr><td>20 - 29</td><td>42</td></tr> <tr><td>10 - 19</td><td>21</td></tr> <tr><td>< 10</td><td>0</td></tr> </table> <p style="text-align: center;">AND</p> <p>Percent of <u>Main Corridor</u> Signals Being Retimed</p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>90% or above</td><td>510</td></tr> <tr><td>80 - 89%</td><td>84</td></tr> <tr><td>70 - 79%</td><td>63</td></tr> <tr><td>60 - 69%</td><td>42</td></tr> <tr><td>50 - 59%</td><td>21</td></tr> <tr><td>< 50%</td><td>0</td></tr> </table> <p><u>Calculation:</u> Number of signals in project divided by total signals in full corridor length.</p>	Range	Points	50+	510	40 - 49	84	30 - 39	63	20 - 29	42	10 - 19	21	< 10	0	Range	Points	90% or above	510	80 - 89%	84	70 - 79%	63	60 - 69%	42	50 - 59%	21	< 50%	0
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<p>Economic Effectiveness Points: 10</p> <p>Cost Benefit (Total \$/VMT)</p> <table border="1"> <tr><th>Range*</th><th>Points</th></tr> <tr><td>< 3</td><td>10</td></tr> <tr><td>3 - 5</td><td>9</td></tr> <tr><td>6 - 8</td><td>8</td></tr> <tr><td>9 - 11</td><td>7</td></tr> <tr><td>12 - 14</td><td>6</td></tr> <tr><td>15 - 17</td><td>5</td></tr> <tr><td>18 - 20</td><td>4</td></tr> <tr><td>21 - 23</td><td>3</td></tr> <tr><td>24 - 26</td><td>2</td></tr> <tr><td>27+</td><td>1</td></tr> </table>	Range*	Points	< 3	10	3 - 5	9	6 - 8	8	9 - 11	7	12 - 14	6	15 - 17	5	18 - 20	4	21 - 23	3	24 - 26	2	27+	1	<p>Number of Jurisdictions Points: 120</p> <p>Total Number of Involved Jurisdictions</p> <table border="1"> <tr><th>Range</th><th>Points</th></tr> <tr><td>5 or more</td><td>1020</td></tr> <tr><td>4</td><td>816</td></tr> <tr><td>3</td><td>612</td></tr> <tr><td>2</td><td>408</td></tr> <tr><td>1</td><td>0</td></tr> </table>	Range	Points	5 or more	1020	4	816	3	612	2	408	1	0														
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Range	Points																																																
5 or more	1020																																																
4	816																																																
3	612																																																
2	408																																																
1	0																																																
<p>Project Characteristics Max Points: 10</p> <table border="1"> <tr><th>Project Feature</th><th>Points</th></tr> <tr><td>Timing Only, No Capital</td><td>10</td></tr> <tr><td>Adaptive Traffic & Demonstration Projects</td><td>4</td></tr> <tr><td>TMC/TOC Connections Between Agencies</td><td>4</td></tr> <tr><td>Automated Traffic Signal Perf. Measures</td><td>34</td></tr> <tr><td>Intelligent Cameras</td><td>32</td></tr> <tr><td><u>Detection for ATSPM and counts</u></td><td>3</td></tr> <tr><td><u>Separate Bicycle/ADA Pedestrian Detection</u></td><td>32</td></tr> <tr><td>New/Upgraded Communications Systems</td><td>2</td></tr> <tr><td>Intersection/Field System Modernization</td><td>2</td></tr> <tr><td>Minor Signal Operational Improvements</td><td>2</td></tr> <tr><td>New Protected/Permissive Signals</td><td>2</td></tr> <tr><td>TMC/TOC and Motorist Information</td><td>1</td></tr> <tr><td>New/Upgraded Detection</td><td>1</td></tr> </table>	Project Feature	Points	Timing Only, No Capital	10	Adaptive Traffic & Demonstration Projects	4	TMC/TOC Connections Between Agencies	4	Automated Traffic Signal Perf. Measures	34	Intelligent Cameras	32	<u>Detection for ATSPM and counts</u>	3	<u>Separate Bicycle/ADA Pedestrian Detection</u>	32	New/Upgraded Communications Systems	2	Intersection/Field System Modernization	2	Minor Signal Operational Improvements	2	New Protected/Permissive Signals	2	TMC/TOC and Motorist Information	1	New/Upgraded Detection	1	<p>Current Project Readiness Points: 10 Status</p> <table border="1"> <tr><th>Project Status</th><th>Points</th></tr> <tr><td>Re-timing <u>75%</u> of prior RTSSP project</td><td>5</td></tr> <tr><td>Implementation within 12 months</td><td>5</td></tr> </table>	Project Status	Points	Re-timing <u>75%</u> of prior RTSSP project	5	Implementation within 12 months	5														
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<p>Maintenance of Effort Points: 5</p> <table border="1"> <tr><th>MOE After Grant Period</th><th>Points</th></tr> <tr><td>3 years</td><td>5</td></tr> </table>	MOE After Grant Period	Points	3 years	5	<p>Funding Match Points: 5</p> <table border="1"> <tr><th>Overall Match %</th><th>Points</th></tr> <tr><td>50+%</td><td>5</td></tr> <tr><td>40 - 49%</td><td>4</td></tr> <tr><td>35 - 39%</td><td>3</td></tr> <tr><td>30 - 34%</td><td>2</td></tr> <tr><td>25 - 29%</td><td>1</td></tr> <tr><td>< 25%</td><td>0</td></tr> </table>	Overall Match %	Points	50+%	5	40 - 49%	4	35 - 39%	3	30 - 34%	2	25 - 29%	1	< 25%	0																														
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25 - 29%	1																																																
< 25%	0																																																

2 years	3
1 year	1
None	0
Transportation Significance	Points: 10
<u>Corridor Type</u>	<u>Points</u>
Priority & Signal Synchronization Corridor	5
Corridor "Gap Closure"	5



Minimum Eligibility Requirements

All local agencies may participate in the RTSSP. Caltrans facilities are eligible for the RTSSP, but Caltrans cannot act as the lead agency. Local agencies will be required to provide a minimum of 20 percent (20%) matching funds for eligible projects (see definition of matching funds below).

The goal of the RTSSP is to provide regional signal synchronization that cross jurisdictional, geographical, or physical boundaries. To be eligible for funding through this Program, a project must meet the following requirements:

1. Be on a street segment that is part of the signal synchronization network, or the MPAH. The project must be consistent with Local Signal Synchronization Plans and support the Regional Traffic Signal Synchronization Master Plan goals.

2. Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum of 20 signals

or

Be multi-jurisdictional, have documented support from all participating local agencies (cities, County, or Caltrans) and a minimum distance of five miles

or

Include at minimum three local agencies, have documented support from all participating local agencies (cities, County, or Caltrans), and have a minimum intersection density of four intersections per mile with a minimum of eight signals

or

Include the full length of the signal synchronization network corridor, or MPAH corridor

Matching Funds

Local agencies along the corridor are required to provide a minimum local match funding of 20 percent (20%) for each project. As prescribed by the M2 Ordinance, this includes local sources, M2 Fair Share, and other public or private sources (herein referred to as a “cash match”). Projects can designate local matching funds as cash match, in-kind match provided by local agency staff and equipment, or a combination of both.

“In-kind match” is defined as those actions that local agencies will do in support of the project including staffing commitment and/or new signal system investment related to improved signal synchronization. Examples of staffing commitment include, but are not limited to, implementation of intersection or system timing parameters, review of timing documentation, meeting participation, conducting or assisting in before/after studies, and other similar efforts that directly enhance the signal synchronization project. [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.

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. For OCTA-led projects, match for equipment shall be in cash except when an agency elects to purchase equipment per the application.

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

Project category	Type of matching allowed*
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)	In-kind match** or cash match

~~* 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 (limited to eligible activities)
 - Cost of any signal system investment
 - Benefit to project

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.

<relocated from Lead Agency section> 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.
 - Before and After Study - Each local agency traffic engineer or equivalent reviews consultant developed draft and final project Before and After Study, approximately 2-5 hours per local agency.
 - Engineering design/review - Each local agency traffic engineer or equivalent reviews consultant developed engineer design within the local agency, approximately 2-4 hours per affected local agency intersection.
 - System integration - Each local agency traffic engineer or equivalent provides support for this function (hours vary depending on improvements).
 - Construction management - Each local agency traffic engineer or equivalent provides construction management support including inspection (hour vary depending on improvements).

- Ongoing O&M (24 months) - Each local agency's traffic engineer or equivalent participates in continued project level meetings of 2-5 hours per local agency per month to review consultant traffic engineering progress. In addition, each local agency's traffic engineer or equivalent reviews consultant developed draft and O&M Report.

For projects designating a local agency as lead, the above may be used as a guide with additional local match related to implementation, development, design, monitoring and other costs that the local agency may choose to include as local match. For instance, O&M may be performed by in-house staff and be calculated using a different formula (e.g., 2-5 hours per local agency signal for 24 months).

Participating agencies pledging in-kind services shall be responsible for keeping track of said hours and/or improvements. For OCTA-led projects, an in-kind services match report will be requested throughout the project to ensure agencies meet their promised in-kind match. All submissions shall include backup documentations, such as accounting/payroll detailed summaries, third-party invoices (consultant, contractor, and equipment) and are subject to Audit.

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 when 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 misrepresentation of M2 funding will require remediation which may include repayment, reduction in overall grant, and/or other sanctions to be determined. Audits shall be conducted by OCTA Internal Audit Department or other authorized agent either through the normal annual process or on a schedule to be determined by the Board.

Data Compatibility

All count data, including average daily traffic (ADT) and intersection turning movement (ITM), collected as part of any funded project shall be provided to OCTA ~~in one of the two following digital formats: 1) Intersection Turning Movement (ITM) counts in Microsoft Excel spreadsheet; and 2) Average Daily Traffic (ADT) counts in Excel spreadsheet format. NDS/Southland Car Counters style Excel spreadsheet; or 2) JAMAR comma separated value style text file. The data shall then be loaded into the OCTA Roadway Operations and Analysis Database System (ROADS).~~ Any data files containing numeric intersection or node identifiers shall use the same node identification (ID) numbers as is stored and maintained by OCTA. OCTA ~~shall~~ will provide a listing of intersections and corresponding unique node ID numbers upon request. Each count data file ~~name shall adhere to the following file naming describe the year the counts were collected, agency, type of count file, intersection name, and OCTA node ID number.~~ or csv. As an example, a turning movement count file recently collected for the intersection of Harbor Boulevard and Wilson Street in the City of Costa Mesa would be given the filename 2020_CostaMesa_ITM_Harbor-Wilson_2020_ITM_4534.csvxls.

All traffic signal synchronization data collected and compiled as part of any funded project for both existing (before) and final optimized (after) conditions shall be provided to OCTA in Synchro version 10 ~~csv latest Universal Traffic Data Format (UTDF) format and version combined data UTDF~~ format. This data shall include the validated network layout, node, link, lane, volume, timing, and phase data for all coordinated times. The nodes for these files shall also correspond to the OCTA node ID numbers. ~~All such data shall be consistent with the OCTA ROADS database.~~

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.

Exhibit 8-1

Project P – Regional Traffic Signal Synchronization Program Application Checklist

Project P Application Checklist	Page
<p>RTSSP Online Application – submitted through OCFundTracker</p> <ol style="list-style-type: none"> 1. <u>Transportation Significance</u>Vehicle Miles Traveled 2. Benefit Cost Ratio 3. Project Characteristics 4. Transportation Significance 5.4. Maintenance of Effort 6.5. Project Scale 7.6. Number of Jurisdictions 8.7. Current Project <u>Readiness Status</u> 9.8. Funding Over-Match 	Online
<p>Section 1: Key Technical Information</p> <ol style="list-style-type: none"> a. <u>Name of Project Corridor/Grid/Route</u>Limits b. <u>Project Limits</u> c. <u>Project Length</u> d. <u>Number of Signalized Intersections Along Corridor</u> e. <u>Participating Agencies/Traffic Forum Members</u> f. <u>Lead Agency</u> b.g. <u>Designation of the co</u>Designation of the corridor to synchronize: priority corridor, signal synchronization network corridor, or master plan of arterial highways corridor h. <u>Project start date and end date, including any commitment to operate signal synchronization beyond the three-year grant period</u> i. <u>Previous funding</u> e.i. <u>Contact Information</u> d. Signalized intersections that are part of the project k. <u></u> e.l. <u>Project Map Depicting the Project Limits</u>Traffic Forum members 	
<p>Section 2: Lead AgencyRegional Significance</p>	
<p>Section 3: Resolutions of Support from the Project's Traffic Forum MembersAcknowledgement of Required Tasks</p>	
<p>Section 4: Preliminary Plans for the Proposed ProjectFunding Needs/Costs for Proposed Project by Task</p> <ol style="list-style-type: none"> a. The plans shall include details about both phases of the project: <u>Primary Implementation (PI)</u> and <u>Ongoing Operations and Maintenance (O&M)</u>. The plan should be organized using the following setup: b. c. <u>Primary Implementation</u> shall include details about the following: d. Task 1: Project Administration (required) e. Task 2: Data Collection (required) f. Task 3: Field Review and Plans Specifications and Estimates (required) g. Task 4: Corridor "Before" Study (required) h. Task 5: Signal Timing Optimization and Implementation (required) i. Task 6: Corridor "After" Study (required) j. Task 7: Synchronization System Construction (required) k. Task 8: Project Report (required) l. Task 9: On-going Operations and Maintenance (required) m. Ongoing O&M will begin after the <u>PI</u> of the project is completed. It shall include details about the following: n.a. <u>Monitoring and improving optimized signal timing (required)</u><u>Summary of Project Cost</u> e.b. <u>Communications and detection support (optional)</u><u>Summary of Cost by Agency</u> c. <u>Table I: Agency Improvement Preferences</u> 	

<p>p.d. Table II: O&M Final Memorandum (required) <u>Description of Work by Intersection</u></p>	
<p>Section 5: Total Proposed Project Cost by Task <u>Detailed Local Match Commitment</u> Table I: Summary of Improvements Table II: Detailed Improvement Breakdown</p>	
<p>Section 6: Project Schedule for the 3 Year Grant Period by Task <u>a. Project State and End Dates</u> <u>b. Project Schedule by Task</u> <u>a.c. Agency Commitment of Extended Monitoring and Maintenance</u></p>	
<p>Section 7: Matching Funds</p>	
<p>Section 8: Environmental Clearances and Other Permits</p>	
<p>Section 9: Calculations Used to Develop Selection Criteria Inputs</p>	
<p>Section 10: Any additional Information Deemed Relevant by the Applicant</p>	
<p>Appendices <u>a. Agency Resolutions</u> <u>b. Vehicle Miles Traveled (VMT)</u> <u>c. Calculations and Estimated Points</u> <u>a.d. Additional Information (Optional)</u></p>	

Exhibit 8-2

Sample Resolution for Orange County Regional Traffic Signal Synchronization Program Projects

A resolution of the _____ City Council approving the submittal of _____ improvement project(s) to the Orange County Transportation Authority for funding under the competitive Measure M2 Regional Traffic Signal Synchronization Program.

THE CITY COUNCIL OF THE CITY OF _____ HEREBY RESOLVES, DETERMINES, AND ORDERS AS FOLLOWS THAT:

- a) WHEREAS, the Measure M2 Regional Traffic Signal Synchronization Program targets over 2000 signalized intersections across Orange County to maintain traffic signal synchronization, improve traffic flow, and reduce congestion across jurisdictions; and
- b) WHEREAS, the City of _____ has been declared by the Orange County Transportation Authority to meet the eligibility requirements to receive revenues as part of Measure M2;
 - c) WHEREAS, the CITY must include all projects funded by Net Revenues in the seven-year Capital Improvement Program as part of the Renewed Measure M Ordinance eligibility requirement.
- d) WHEREAS, the CITY authorizes a formal amendment to the seven-year Capital Improvement Program to add projects approved for funding upon approval from the Orange County Transportation Authority Board of Directors, if necessary.
- e) WHEREAS, the City of _____ has currently adopted a Local Signal Synchronization Plan consistent with the Regional Traffic Signal Synchronization Master Plan as a key component of local agencies' efforts to synchronizing traffic signals across local agencies' boundaries; and
 - f) WHEREAS, the City of _____ will provide matching funds for each project as required by the Comprehensive Transportation Funding Programs Procedures Manual; and
- g) WHEREAS, the City of _____ will not use Renewed Measure M funds to supplant Developer Fees or other commitments; and
- h) WHEREAS, the City of _____ desires to implement multi-jurisdictional signal synchronization listed below; and

NOW, THEREFORE, BE IT RESOLVED THAT:

The City Council of the City of _____ hereby requests the Orange County Transportation Authority allocate funds in the amounts specified in the City's application to said City from the ~~Transportation~~ Regional Traffic Signal Synchronization Program. Said funds, if approved, shall be matched by funds from said City as required and shall be used as supplemental funding to aid the City in signal synchronization along the following street(s):

*Required language a-h

Chapter 9 – Reimbursements and Reporting

Procedures for Receiving Funds

An implementing agency must encumber funds OCTA awards to a project phase within the fiscal year the grant is programmed (July 1-June 30). Prior to the encumbrance of funds, an agency must have a fully executed letter agreement with OCTA. An agency encumbers funds by awarding a contract, completing the appraisal or issuing an offer letter for one parcel of right-of-way, or by providing expense reports with supporting documentation to prove an agency's workforce costs (provided that the agency intends to complete the phase with agency staff). OCTA shall consider the primary contract or the contract with the largest dollar amount, associated with the phase's tasks, when an agency uses a contract to show encumbrance of CTFP funds. Once an agency encumbers CTFP funds for a phase, it can begin the process for receiving payment of the funds.⁹

OCTA will release funds through two payments. The initial payment will provide up to 75 percent (75%) of the contract award or programmed amount, whichever is less. OCTA will disburse the final payment, 25 percent (25%) of eligible funds, after it approves the final report (See Precept 34).

For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase but shall in no case be less than 10 percent (10%) of the grant for that phase. Should the 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 (See Precept 35).

Agencies shall submit payment requests to OCTA in a timely fashion. The M2 Ordinance requires the submittal of a final report within 180 days of the project phase completion date (See M2 Ordinance/definitions/Precept 36). Failure to submit a final report within the 180-day time frame will result in an agency being found ineligible to receive net revenues. Per the M2 Ordinance, no provision for extension is allowed. The term "project phase completion" refers to the date that the local agency has paid the final contractor/consultant invoice (including retention) for work performed and any pending litigation has been adjudicated for the engineering phase or for the ROW phase, and all liens/claims have been settled for the construction phase.

⁹ Funds from state and federal sources funds will undertake a separate process. Local agencies must contact Caltrans local assistance for reimbursement.

OCTA will provide a separate CTFP payment supplement that includes sample forms and instructions for payment submittals and can be downloaded from the OCFundtracker database. Payment submittals are described in this chapter and must be submitted through OCTA's online database, OCFundtracker: <http://ocfundtracker.octa.net>. Detailed instructions for OCFundtracker are available online at the previously mentioned website. Staff is also available to assist agencies with this process. Agencies must upload appropriate backup documentation to the database. OCTA may request hardcopy payment requests.

Availability of Funds

The funds granted by OCTA for each phase will be available on July 1, the first day of the fiscal year in which the funds are programmed and upon implementation of the letter agreement for the specific project.

Cancellation of Project

If a local agency decides to cancel a project, for whatever reason, the agency shall notify OCTA as soon as possible. Projects deemed infeasible during the planning phase 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. ROW funding received for property acquisition prior to cancellation shall be repaid upon cancellation, regardless of whether property has been purchased or not. Construction funding received prior to cancellation shall be repaid upon cancellation.

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

Project O - Regional Capacity Program Initial Payment

Payment Requests

An agency shall use the report and checklist provided in the CTFP Payment Supplement (see https://ocfundtracker.octa.net/report_payment_excel.asp) in order to determine the reporting and documentation requirements for initial payment requests. Payment requirements are located in the Guidelines. Staff may request additional documentation that is not listed on the checklist prior to approving the request.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker at <http://ocfundtracker.octa.net>.

OCTA usually releases funds through two payments. The initial payment will constitute 75 percent (75%) of the eligible contract award or allocation amount, whichever is less. In addition to the bid abstract, OCTA will require local agencies to submit appropriate backup documentation for all project phases to support the initial payment request. OCTA will release the final payment of remaining balance, usually the final 25 percent (25%) of CTFP grant funds, when the project is complete and OCTA accepts the final report. The balance is determined based on final costs for CTFP eligible program expenditures. Prior to submitting the report, review the program specific section in these guidelines that addresses the final report process.

OCTA will reimburse costs associated with the Measure M informational signs (fabrication, installation, and removal) and do not count against a project's grant. Measure M informational "Funded By" sign removal costs should be requested in the Final Report.

Prior to submitting an initial payment request, a local agency may request a meeting with OCTA staff to determine eligible/ineligible items prior to requesting reimbursement.

Below is additional information regarding the documentation requirements of initial payment requests:

1. Invoice – For initial payments, an agency shall invoice for 75 percent (75%) of the contract amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, the final report retention shall be capped at \$500,000 per project phase but shall in no case be less than 10 percent (10%) of the grant for that phase. Should the 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 (See Precept 35). Agencies seeking initial payment for the planning, environmental and preliminary engineering work performed by local agency forces, must submit payroll records and City Council budget allocation with the initial payment request. The payroll records should identify the project name, date of expenditures, amount, and employee position. It is recommended that a unique project key be created for each project and

all project charges be billed under that job code. OCTA staff can provide a sample of acceptable form of payroll report upon local agency request.

2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form 10-2. This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 21.
3. Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name, contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order or Notice to Proceed (NTP) that includes the project-specific scope of work for the contractor.
4. Revised Cost Estimate – The agency shall use the format provided in the Revised Costs Estimate Form 10-3.
5. Work Schedule – OCTA prefers a complete project schedule, but an agency may provide as little as the expected start and completion dates for preliminary engineering, final engineering, right-of-way, and construction phases on the Engineering & Construction Phase Initial Report Form 10-1A.
6. ROW Documents – Each parcel shall include an appraiser’s report, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map. Initial payments for ROW will be considered after submittal of a signed ROW agreement with the property owners and/or upon City Council Resolution initiating a property acquisition in accordance with the Code of Civil Procedure per §1230.010, et. seq.
7. Plans, Specifications, & Estimate (PS&E) Certification – Agencies shall submit a PS&E certification using the PS&E Certification Form 10-4. The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.
8. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches.
9. Documentation of Decision to Use Local Agency Forces – For all project phases, for any work performed by local agency forces in lieu of a primary contract, local agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.

- Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency’s counsel.

Reimbursement

OCTA shall not reimburse for a project prior to the beginning of the fiscal year of the grant. If an agency receives an advancement and begins work prior to the start of the fiscal year of the grant, the agency may request an initial payment against the grant. If an agency receives an advancement and completes a project prior to the start of the fiscal year of the grant, OCTA shall disburse the grant in a single payment. OCTA must accept the final report prior to issuing a payment.

Calculation of Payment

Once an agency encumbers Measure M funds, the agency may request a maximum of 75 percent (75%) of the contract award amount or programmed amount, whichever is less. For situations where a grant exceeds \$2 million, (See Precept 36). An example of calculating the initial funding request for a standard 75/25 payment is described below.

Example:

CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate
\$200,000	80%	20%

Step 1

Eligible Expenses x OCTA Match Rate = **Product**
 $\$ 225,000.00 \times 80\% = \$ 180,000.00$

Step 2

Check if Product is greater than or less than
CTFP Allocation Amount: **\$200,000**

Step 3

Use the lower of the **Product** or **Allocation** **\$ 180,000.00**
 In this case the \$180,000 amount is less

Step 4

Then multiply the **\$180,000** amount by 75% (Initial Payment Percentage)

\$180,000	X	75%	=	\$135,000.00
				Invoice Amount

Project O - Regional Capacity Program Final Report and Payment Process

The remaining CTFP funds are reimbursed to the lead agency following completion of the final reporting process. This final payment is calculated by considering the grant allocation amount, the minimum local agency match rate, how much has been previously reimbursed as part of the initial payment, and the total eligible costs that can be applied to the grant (see program specific eligibility sections). M2 funds are applied proportionally to all eligible project expenses. Prior to submitting the Final Report, review the following section which includes items important to the final reporting process. The CTFP Payment Supplement provides additional instructions and sample forms to complete payment requests. Payment requirements are located in this chapter.

Project Cost Changes

If the contract price is lower than the amount programmed, and the agency requested additional items and/or change orders during construction/study, OCTA may approve the additional costs during the review of the final report. OCTA will review these reports to:

1. Determine that the agency submitted proper justification for the change order(s)
2. Determine if the items are eligible for reimbursement
3. Confirm that expenses are within the project's original scope of work
4. The lead agency should provide information supporting the need for the change orders in the final report. Changes in project limits for construction projects are not eligible for reimbursement.

Final Payment Documentation Requirements

The items listed below are to be submitted to complete the final reporting process.

1. Invoice - For final payments, an agency shall invoice for the remaining balance of the contract amount or programmed amount, whichever is less. Final payment request invoices shall normally be approximately 25 percent (25%) of the eligible funds. Interest earned by an agency for initial payments received shall be applied to and deducted from the final payment balance amount.
2. Project Certification Letter – The public works director, or appropriate equivalent, shall submit a certification letter, with applicable statements, using the Project Certification Form 10-2. This will include the certification that the project being reimbursed has meet the signage requirements laid out in Precept 21.
3. Documentation of the Contract Award – The agency shall submit a minute order, agency resolution, or other council/board action showing award of the contract and the contract amount. After contract award, the agency shall submit the project name,

contractor/consultant company name, and project scope including bid/task list, for each contract. The city clerk, clerk of the board, or appropriate equivalent shall certify minutes. Agencies that use on-call consultants shall submit a purchase order that includes the scope of work for the contractor.

4. PS&E Certification – Agencies shall submit a PS&E certification using the PS&E Certification Form 10-4. The agency engineer shall certify that the local agency properly prepared and approved plans and specifications in accordance with authorized procedures and adopted standards, followed approved scope of work, and incorporated materials report.
5. Final Report Form – The local agency shall prepare a final report form using the Engineering & Construction Phase Final Report ~~final report~~ Form 10-5A.
6. Division of Costs – The Division of Costs Form 10-6. Supportive material shall equal the division of costs totals that are located in the final report form.
7. OCTA shall reimburse general lump sum pay items, appraisal cost, design, and construction engineering in the same ratio as the total ROW acquisition or construction costs.
8. Proof of Project Payment – The required documentation that will be submitted includes approved contract invoices and may also include, but is not limited to, supportive material for agency work forces, equipment, material, and corresponding proof of payment. Additional records are required to be maintained as outlined in the Audit (Chapter 10).
9. Layout Plans – An agency shall not submit layout plans that print on paper larger than 11 inches by 17 inches (where applicable).
10. Documentation of Decision to Use Local Agency Forces – For all project phases, for any work performed by local agency forces in lieu of a primary contract, local agency must document that local agency forces could perform the work more cost effectively or timely than a contractor; and documentation of this decision can be supplied in case of audit.
11. Documentation Supporting Local Agency Liability for Utility Relocation Costs – Local agency liability can be supported by the documentation of property rights, franchise rights/agreements, state and local statutes/ordinances, permits, or a finding by the local agency's counsel.
12. ROW Documents – Each parcel shall include an appraiser's report, written offer letter, plat map, and legal description. Agencies attempting to acquire five or more parcels for a project shall include a parcel location map.

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 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.

The agency shall submit a 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 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.

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 acceptance 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:	<u>\$100,000</u>
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
Value of excess ROW for parcel 2:	\$105,000
Value of excess ROW for parcel 3:	\$ 0
Value of excess ROW for parcel 4:	<u>\$ 0</u>
Total Value of excess ROW:	\$305,000

OCTA contribution to ROW acquisition:

CTFP ROW contribution ÷ Agency total cost of right-of-way

$$\$500,000 \div \$900,000 = 56\%$$

OCTA’s shall reduce the final ROW payment by:

Parcel 1:	\$200,000 x 56% =	\$112,000
Parcel 2:	\$105,000 x 56% =	+ <u>\$58,800</u>
Total:		\$170,800
Payment (incorporating excess right-of-way):		\$500,000
	-	<u>\$170,800</u>
		\$329,200

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 (CAPPM) 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 CAPPM 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:

- review ROW acquisitions and the potential for excess right-of-way
- compare hourly breakdown of staff time compared to staff time sheets
- conduct a project field review – ensure improvements are within scope
- review items that agencies self-certify
- verification of the reasonableness of project costs

OCTA may review all phases of the project.

OCTA will use the project cost estimate forms submitted with the application and revised where appropriate, project accounting records and the final report as the primary items to conduct the review. Agencies must maintain separate records for projects (i.e., expenditures, interest) to ensure compliance. OCTA will only reimburse eligible CTFP items listed on the cost estimate. The implementing agency is expected to complete the entire scope of work as presented in the original application.

See Chapter 10 for independent audit requirements beyond the technical/field review.

Reporting of Local Fair Share (LFS)

For the purposes of reporting non-project work (maintenance, repair, and other non-project related costs) funded by Measure M LFS funds, the Measure M2 expenditure report cited M2 Ordinance, Section III(B)(8) shall satisfy reporting requirements. If LFS funds are used for projects, the local agency shall also include a list of those funds and/or other Measure M2 funds in the Project Final Report cited in Section III(B)(9).

Project P - Regional Traffic Signal Synchronization Program Reimbursements and Reporting Requirements

The previous sections of this chapter outline the process and requirements regarding reimbursements and reporting for all competitive programs that are part of Measure M2. A lead agency shall also use the following additional reporting and documentation requirements specific to any competitive project funded through RTSSP (Project P) as part of the reimbursement process.

Procedures for Receiving Funds

RTSSP (Project P) funds projects with a three (3) year grant. Projects are divided into two components for the purposes of reimbursements and reporting: PI and Ongoing O&M. ~~O&M will begin after the PI of the project is completed and be required for the remainder of the project and last for a minimum of two (2) years.~~

Primary Implementation (PI) includes the following:

- Project administration (required)
- Developing and implementing optimized signal synchronization timing (required)
- Producing a PI Report, which includes the Before and After Study for the proposed project (required)
- Engineering design of signal improvements for the project (optional)
- System integration (optional)
- Proposed signal improvements, construction support, and contingency (optional):
 - New or upgraded detection
 - New or upgraded communication systems
 - Intersection/field system modernization and replacement
 - Minor signal operation improvements
 - Traffic management centers
 - Real-time traffic actuated operations and demonstration projects
- Contingencies (optional)
- Construction management (optional)

Ongoing Operation and Maintenance (O&M) ~~will begin after the PI of the project is completed.~~ It includes the following:

- Monitoring and improving optimized signal timing (required)
- Communications support (optional)
- Detection support (optional)
- ~~Final~~ O&M report (required)

A lead agency must encumber funds OCTA allocates to a project within the fiscal year of the grant and after funding agreements with OCTA are executed. A lead agency encumbers funds by awarding a contract or providing expense reports to prove the lead or a participating agency's workforce costs, provided that the lead agency intends to complete the PI with lead agency or participating agency staff. Once an agency encumbers RTSSP (Project P) funds for PI, it can begin the process for receiving payment of the funds. Note that only the lead agency will receive payment of funds from OCTA. Any funds that are due to other participating agencies are the responsibility of the lead agency and not OCTA.

The project lead agency must submit payment requests through OCTA's online database, [OCFundtracker](#). Additional details about the retention caps, timely payment requests, project closeout, and payment are available in Chapter 9.

Availability of Funds

The funds allocated for projects will be available to project lead agencies July 1st of the programmed year and after funding agreements with OCTA are executed.

Initial Payment Requests for Primary Implementation

The initial payment will provide up to 75 percent (75%) of funds for the PI of the project. The following information specific to the RTSSP (Project P) Project is provided regarding the documentation requirements for initial payment of PI after an agency encumbers funds for the project.

The interactive electronic versions of all payment forms can be downloaded via OCFundtracker.

The PI-final report has been provided so a lead agency can determine the reporting and documentation required for an initial payment request. Staff may request additional documentation that is not listed on the PI Report prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.

Below is additional information regarding documentation requirements for RTSSP payment requests. The CTFP Payment Supplement provides instructions and sample forms for the items listed.

- Invoice - For initial payments, the lead agency shall invoice for 75 percent (75%) of the contract amount or programmed amount of the project's PI, whichever is less. For final payments of the PI, the lead agency shall invoice the remaining balance of the project's PI phase contract amount or programmed amount, whichever is less
- Project Certification Letter (initial and final)

- Revised Cost Estimate (initial)
- PS&E Certification (initial and final)
- Certification of Phase (initial)
- ~~Final~~ Report Submission
- Division of Cost Schedule (final)
- Work Schedule - OCTA requires a complete project schedule, including expected start and completion dates for tasks in the PI and Ongoing O&M phases (initial and final)
- ROW Documents - No requirements as ROW is not a part of RTSSP

Detail on other aspects on Initial Payment Requests for PI including project advancement and reimbursement is available in this chapter.

Example of Initial Reimbursement for Primary Implementation (PI):

CTFP Grant Allocation	OCTA Match Rate	Local Agency Match Rate
\$960,000.00	80%	20%

Step 1

$$\text{Eligible Expenses} \times \text{OCTA Match Rate} = \text{Product}$$

$$\$1,000,000.00 \times 80\% = \$800,000.00$$

Step 2

Check if **Product** is greater than or less than **CTFP Grant Allocation Amount**:
\$800,000 vs **\$960,000**

Step 3

Use the lower of the **Product** or **CTFP Grant Allocation**
 In this case, the **\$800,000.00** amount is lower

Step 4

Then multiply the amount by **75%** (Initial Payment Percentage)

\$800,000.00	x	75%	=	\$600,000.00
				Invoice Amount

Final Payment Requests for Primary Implementation

OCTA will release the remaining balance to the lead agency, approximately 25 percent (25%) of funds for the PI, when the project's PI phase is complete and OCTA receives the project Before and After Study. The balance is determined based on the final costs for the eligible RTSSP expenditures. The Before and After Study is defined as the following:

This study shall at minimum collect morning and evening peak period using travel times, average speeds, green lights to red lights, stops per mile, and the derived CSPI metric. In addition, greenhouse gas and gasoline savings should be identified. This information shall be developed 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.).

~~A template for the before and after study is available.~~ The PI Report, which includes the Before and After Study for RTSSP, shall be included as a requirement at the end of the Primary Implementation phase and as part of the Final Report as required by the M2 Ordinance, Attachment B, Section III.A.9~~for reimbursement purposes.~~

Payment Requests for Ongoing Operations and Maintenance

The payments for the Ongoing O&M portion of the project award will cover the remainder of the grant period after the PI phase is completed and will be paid as a reimbursement upon proof of work/payment and receipt of invoice. The invoice should include the Final O&M report with details on the ongoing O&M work done including the required (1) work monitoring and improving optimized signal timing; and optional (2) communications and detection support.

~~O&M Project Final~~ O&M Report

The ~~project final~~ O&M Rreport shall be completed in accordance with all CTFP Guidelines upon the end of the ~~three-year grant period~~ O&M phase. In addition, the ~~final O&M R~~report shall summarize the ~~full project through the three-year grant period~~ O&M period, ~~include the Before and After Study from the PI phase, and report on additional updates/information that result from the Ongoing Operation and Maintenance phase.~~ documenting the O&M efforts and procedures for continuing maintenance shall be prepared. At ~~the~~ a minimum, the ~~f~~O&M rReport shall include when travel runs were conducted and issues and solutions throughout the phase. The ~~memorandum~~ report shall document all planned and programmed improvements on the study corridor as well as

recommendations for further infrastructure improvements that would likely improve enhance the corridor signal coordination project results.



September 9, 2020

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Subject: Environmental Mitigation Program Endowment Fund Investment Report for June 30, 2020

Overview

The Orange County Transportation Authority has developed a Natural Community Conservation Plan/Habitat Conservation Plan, acquired conservation properties, and funded habitat restoration projects to mitigate the impacts of Measure M2 freeway programs. The California Community Foundation manages the non-wasting endowment required to fund the long-term management of the conservation properties. Each quarter, the California Community Foundation publishes a comprehensive report detailing the composition of the pool and its performance.

Recommendation

Receive and file as an information item.

Background

On September 26, 2016, the Board of Directors approved the selection of the California Community Foundation (CCF) as an endowment fund manager for the Measure M2 Environmental Mitigation Program. Annually, approximately \$2.9 million will be deposited in the endowment. As of June 30, 2020, the Orange County Transportation Authority has made four deposits to the CCF Endowment Pool, each in the amount of \$2,877,000. These annual deposits are expected to continue for ten to 12 years, or until the fund totals approximately \$46.2 million.

Discussion

Per Attachment A, the balance as of June 30, 2020, was \$12,419,908. The balance is slightly below the June 30, 2020 target of \$12,440,408, due to capital markets experiencing sharp declines due to the coronavirus and its adverse effects on the economic activity. Throughout the second quarter, markets continued to experience various price swings with United States stocks ending the quarter on a positive note, but with continued high volatility. The CCF's Endowment Pool portfolio is well diversified, with various asset classes that can handle changes in market volatility.

Per Attachment B, as of June 30, 2020, total pool assets in the CCF Endowment Pool were \$1.14 billion. Total foundation assets were \$1.9 billion. Performance for the CCF Endowment Pool was 1.2 percent for the month, 0.6 percent below the benchmark; 11.5 percent for the quarter, 1.4 percent below the benchmark. The one-year return was 0.1 percent, 1.2 percent below the benchmark.

Summary

The Orange County Transportation Authority is submitting a copy of the California Community Foundation Investment Report to the Board of Directors. The report is for the quarter ending June 30, 2020.

Attachments

- A. California Community Foundation Fund Statement – 4/1/2020 – 6/30/2020
- B. California Community Foundation Endowment Pool Investments – June 2020

Prepared by:



Robert Davis
Department Manager
Treasury and Public Finance
714-560-5675

Approved by:



Andrew Oftelie
Chief Financial Officer
Finance and Administration
714-560-5649



Fund Name OCTA - Measure M2 Environmental Mitigation Program Fund
Fund Start Date 2/28/2017
Investment Pool(s) Endowment Pool

FUND STATEMENT

OCTA - Measure M2 Environmental Mitigation Program Fund (V398)

4/1/2020 - 6/30/2020

Fund Summary

	Report Period 4/1/2020 - 6/30/2020	Calendar YTD 1/1/2020 - 6/30/2020
Opening Fund Balance	\$11,137,651.05	\$13,034,838.42
Contributions	0.00	0.00
Investment Activity, net	1,282,256.95	(580,482.09)
Administration & Grant Management Fees	0.00	(34,448.33)
Net Changes to Fund	1,282,256.95	(614,930.42)
Ending Balance	\$12,419,908.00	\$12,419,908.00

Investment Pool Performance as of 6/30/2020

	This Qtr.	1-Year	3-Years	5-Years	10-Years
Endowment Pool	11.5%	0.1%	4.7%	4.6%	6.5%
Social Impact Endowment Pool	15.4%	9.8%	8.4%	7.4%	8.8%
Conservative Balanced Pool	7.6%	5.0%	5.3%	4.8%	n/a
Short Duration Bond Pool	1.8%	5.4%	3.4%	2.6%	n/a
Capital Preservation Pool	0.5%	1.9%	1.8%	1.2%	0.7%

Endowment Pool - invested for long-term growth and appreciation while providing a relatively predictable stream of distributions that keeps pace with inflation over time. The target asset allocation is 50% equities, 14% hedge funds, 22% fixed income and 14% real assets. Investment management fees are 66 basis points.

Social Impact Endowment Pool - invested in a diversified pool aiming for capital growth for long-term grantmaking; underlying instruments undergo rigorous environmental and social analysis, with an asset allocation of approximately 60%-75% equities and 25%-40% fixed income. Investment management fees are 68 basis points.

Conservative Balanced Pool - designed to aim for moderate growth and to offer diversified exposure to the U.S. equity market and to investment grade fixed income with maturities from one to five years and an asset allocation of 70% fixed income and 30% equities investments. Investment management fees are 9 basis points.

Short Duration Bond Pool - invested to offer diversified exposure to investment grade fixed income with maturities from one to five years for the purposes of grants over a near-term one to four year horizon. Investment management fees are 5 basis points.

Capital Preservation Pool - designed to preserve principal and provide liquidity for present grantmaking needs through investment in short-term fixed income and cash instruments. Investment management fees are 10 basis points.



Endowment Pool

June 2020

INVESTMENTS

The Endowment Pool returned 1.2% for the month of June 2020, 60 basis points behind its benchmark. For the trailing year, the pool returned 0.1%, 120 basis points behind its benchmark.

Total Pool Assets

\$1.14 billion (Endowment Pool), \$1.90 billion (total foundation assets) as of June 30, 2020.

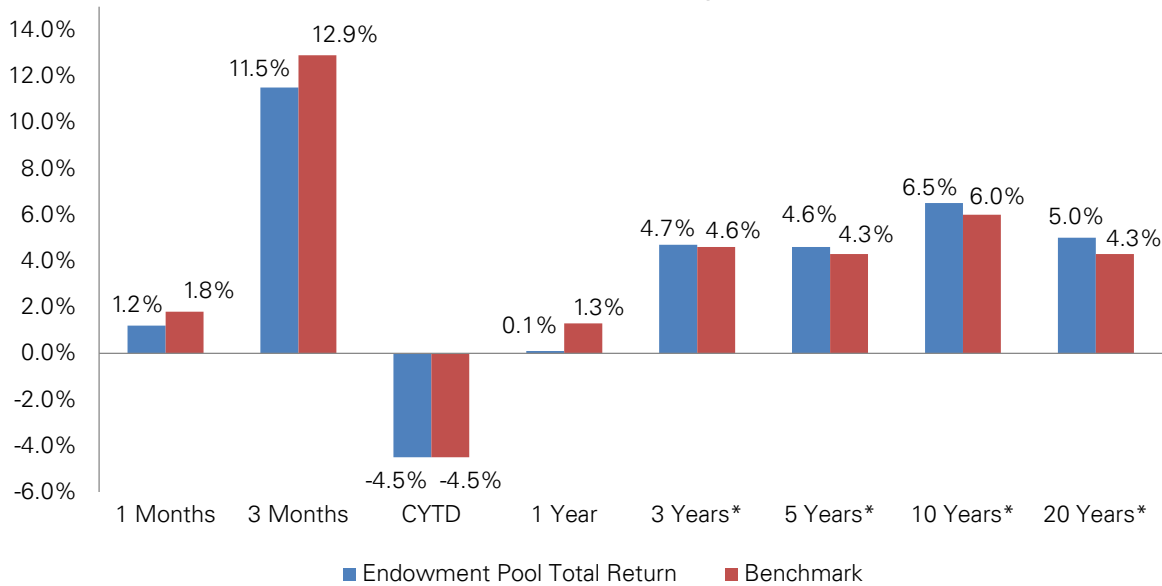
Pool Objective

Preserve the real (i.e., inflation-adjusted) purchasing power of the investment pool net of annual distributions for grants and expenses. An additional objective is to provide a relatively predictable, stable stream of distributions for grants and expenses that keep pace with inflation over time.

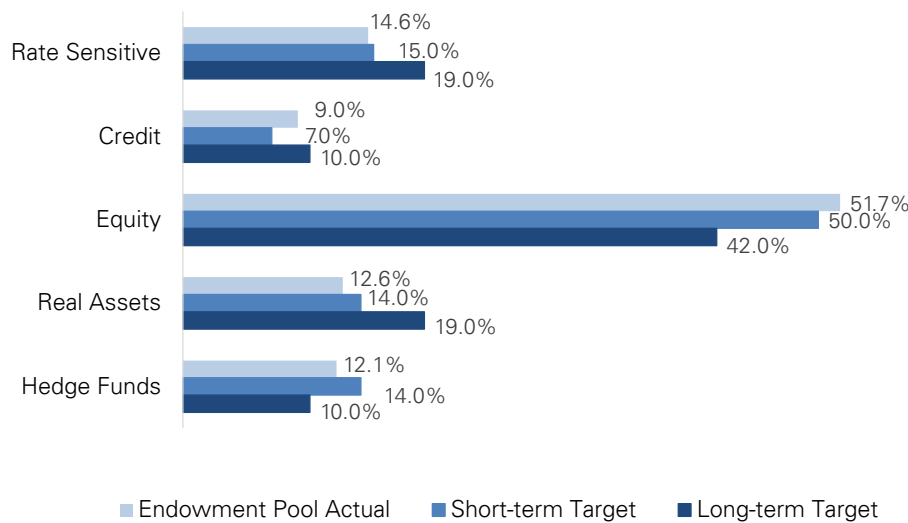
Investment Consultant

Meketa Investment Group

Performance History



Asset Allocation



*Represents annualized returns.

1) Investment expense ratio approximates 0.60%, excluding fund manager incentive fees.
 2) Investment performance is presented net of investment expenses, including fund manager incentive fees.
 3) Total Fund Benchmark is a combination of: 48% MSCI ACWI - 2% Cambridge PE Index 1-Qtr Lag / 14% HFR FOF / 5% ODCE - 5% S&P Global Large Mid NR - 4% S&P Global Infrastructure / 9% Barc Agg. - 3% Barc 1-5 Yr. Gov/Cr - 3% Barc 0-5 Yr. US Treasury TIPs / 2% Barc High Yield - 2% S&P/LSTA Leveraged Loan - 3% JP Morgan EMBI Global Diversified.
 4) Short-term target allocation is over 1-4 years, long-term target allocation is over 4-9 years.



September 3, 2020

To: Regional Planning and Highways Committee
From: Darrell E. Johnson, Chief Executive Officer
Subject: Interstate 405 Improvement Project Update

A handwritten signature in blue ink, appearing to read "Darrell Johnson", is written over the "From:" line of the header.

Overview

The Orange County Transportation Authority is currently underway with the implementation of the Interstate 405 Improvement Project. This report provides a project update.

Recommendation

Receive and file as an information item.

Background

The Orange County Transportation Authority (OCTA), in cooperation with the California Department of Transportation and the cities of Costa Mesa, Fountain Valley, Huntington Beach, Seal Beach, and Westminster, is implementing the Interstate 405 (I-405) Improvement Project between State Route 73 (SR-73) and Interstate 605 (I-605) (Project). The Project will add one general purpose lane in each direction from Euclid Street to I-605, consistent with Measure M2 Project K, and will add an additional lane in each direction that will combine with the existing high-occupancy vehicle lane to provide dual express lanes in each direction of I-405 from SR-73 to I-605, otherwise known as the 405 Express Lanes.

On November 14, 2016, the OCTA Board of Directors (Board) awarded the design-build (DB) contract to OC 405 Partners (OC405), a joint venture. OCTA executed the DB contract with OC405 and issued Notice to Proceed (NTP) No. 1 on January 31, 2017. NTP No. 1 was a limited NTP for mobilization, design, and administrative activities. On July 26, 2017, the Transportation Infrastructure Finance and Innovation Act (TIFIA) loan agreement was executed between OCTA and the United States Department of Transportation (USDOT). On July 27, 2017, OCTA issued NTP No. 2 to OC405. NTP No. 2 was a full NTP for all activities, including construction.

Discussion

A number of activities are ongoing as the construction work continues to advance. The following provides a more detailed status of Project activities.

Financing and TIFIA Loan

On July 26, 2017, OCTA executed a TIFIA loan agreement with the USDOT for up to \$628.93 million. Pursuant to the terms identified in the loan agreement, OCTA staff submits periodic reimbursement requisitions to the USDOT Build America Bureau and Federal Highway Administration. OCTA has received two TIFIA loan disbursements to date and anticipates receiving the third disbursement later this year.

Tolling Contracts

On February 26, 2018, the Board selected Kapsch TrafficCom USA, Inc., (Kapsch) to provide toll lanes system integration services for design, installation, operation, and maintenance of the electronic toll and traffic management (ETTM) system on both the 405 and 91 Express Lanes. Kapsch is currently under contract and is working closely with the design-builder to deliver fully functional express lanes upon opening in 2023. Kapsch has received approval for the ETTM infrastructure final design to be used for the 405 Express Lanes, including equipment types and configurations. Kapsch continues to review the design-builder's plans and construction activities and has provided input on requirements for the Toll Operations Center (TOC) improvements. The TOC will be located at OCTA's Santa Ana Bus Base and will be staffed by Kapsch for 405 Express Lanes operations.

Staff developed a request for proposals for the back-office support and customer service center contract for the 405 Express Lanes, the Board approved its release on June 22, 2020, and proposals are due on October 8, 2020.

Design

The final design is substantially complete at this time. The DB process allows for design refinements, and that process will continue throughout the remainder of construction.

Right-of-Way (ROW) Acquisition

Construction of the Project impacts 288 properties, including 179 residential properties, 71 commercial/industrial properties, 37 public properties, and one railroad property. There are 287 properties identified as partial acquisitions

and one property identified as a full acquisition at the owner's request. The ROW required to construct the Project is comprised of a combination of fee acquisitions, permanent easements, temporary construction easements, permanent and temporary ground lease reductions, and access control rights. This ROW is required for roadway and bridge construction, soundwalls and retaining walls, drainage systems, and for the installation of above ground and underground facilities, including electrical, telecommunication, water, sewer, gas, and storm drain systems.

The ROW acquisition program is on schedule. As of July 2020, OCTA has possession of the required property rights needed for all 288 property impacts, which retires a significant risk to OCTA. The overall ROW process continues as OCTA works with certain property owners to finalize remaining agreements on costs related to certain acquisitions. As this is a DB project, minor additional ROW needs may become necessary in the future as construction continues. Of the 288 total properties impacted, 288 offers were presented and the ROW is in OCTA's possession for construction. There were 60 resolutions of necessity (RONs) approved by the Board and no additional RONs are anticipated at this time.

Utility Relocations

There are currently 129 utilities that require relocation to accommodate the Project. OCTA is coordinating with 22 impacted utility owners to identify and resolve conflicts and relocation issues. To date, OCTA has executed 91 of the 109 utility relocation agreements (over 80 percent) needed for utility relocations, and is in the process of finalizing the remaining utility agreements. There are several remaining potential utility relocation risks, including several Southern California Edison (SCE) transmission facilities for which staff continues to develop and implement mitigation plans, as utilities are a shared risk between OCTA and OC405. Many critical utility relocations that had once been considered to pose some risk, such as facilities owned by Frontier Communications, Chevron USA, Crimson Pipeline, and SCE have been successfully completed. Additionally, a major Southern California Gas line relocation within the Navy property posed a significant risk to the Project schedule; however, the relocation has been successfully completed on schedule.

Construction

OC405 began construction on March 6, 2018. Initial construction activities included restriping portions of the freeway and setting up concrete barriers on the outside of the freeway to protect work areas for activities such as tree removals and grading. These initial construction activities are complete. Clearing and grubbing, including tree and ground cover removal, and rough grading activities are also substantially complete at this time.

Significant roadway construction activities, including installation of drainage systems, retaining walls and soundwalls, and paving operations began in earnest in 2019, and will continue through the end of the Project. Construction at Oceanview Channel, Greenville-Banning Channel, and East Valley Channel, three major drainage facilities that cross under the freeway, is well underway. Additionally, over 70 retaining walls and soundwalls are under construction or complete. Recently, the first soundwalls on the Project were completed.

After the opening of the Slater Avenue overcrossing bridge in late August 2019, demolition and construction activities commenced on Bushard Street and Talbert Avenue. The Bushard Street and Talbert Avenue overcrossing bridge construction is actively progressing, and the bridges are anticipated to be open to traffic in late 2020 and early 2021, respectively. Construction on the McFadden Avenue overcrossing bridge also continues, and the bridge is anticipated to be open to traffic in late September 2020. Recently, the Edwards Street overcrossing bridge was demolished and construction began on the new bridge at this location. Bushard Street, Talbert Avenue, McFadden Avenue, and Edwards Street are all one-stage bridges, which means the bridges are closed to traffic on both sides of I-405 during demolition and reconstruction.

Significant bridge construction also continued at Fairview Road, Magnolia Street, Bolsa Avenue, Goldenwest Street, Westminster Boulevard, and Bolsa Chica Road overcrossings. These are two-stage bridges, which means traffic is being maintained on the remaining portion of the bridge while the first half of the new bridge is constructed. The first half of the new Magnolia Street overcrossing bridge opened in late March, and construction began on the second half of the bridge immediately thereafter. Similarly, the first halves of the new Goldenwest Street and Bolsa Chica Road overcrossing bridges opened this summer, and construction began on the second half of these key bridges. The first halves of the new Fairview Road, Bolsa Avenue, and Westminster Boulevard overcrossing bridges are anticipated to be opened in the next six months.

This past quarter, the widening of existing freeway bridges continued over Harbor Boulevard, Santa Ana River, Beach Boulevard, Bolsa overhead railroad crossing, and an old Navy railroad crossing.

Lastly, the Heil pedestrian overcrossing bridge was recently demolished and a new pedestrian overcrossing is under construction at this location.

Looking ahead, the remainder of 2020 will remain busy related to bridge, wall, and pavement construction.

Project Challenges

As would be expected on a project of this magnitude, certain challenges have been encountered, including the following:

- Oversight and approvals from many different agencies and third parties
- Cost and availability of construction resources in this active construction market
- Dispute resolution and change management
- Minimizing impacts and disruptions to the public
- Timely performance of third-party utility work
- Project schedule impacts and mitigations

OCTA has worked closely with its partners and OC405 to mitigate schedule delays when identified. Schedule mitigations implemented to date include building the Slater Avenue and Edwards Street overcrossing bridges in one stage instead of two stages, improvements to the construction staging at Oceanview Channel, and the long-term closure of one of the two off-ramps from northbound I-405 to Westminster Boulevard. Additional schedule mitigations that have been implemented include extended overnight and daytime freeway lane closures to take advantage of the significantly reduced traffic volumes on the freeway in the spring related to the coronavirus (COVID-19) pandemic. More recently, staff worked with several of the cities involved to expedite construction of several key bridges on the Project. The objectives of the schedule mitigations are to minimize delay impacts to the original Project completion date while balancing the minimization of traffic impacts.

Additionally, in September 2019, there was a discovery of archaeological resources within the Project site. OCTA is following established state procedures for this type of discovery, and is working with the appropriate parties to ensure appropriate and respectful procedures are followed. This discovery impacted construction at a specific location; however, construction has since resumed. A mitigation plan was implemented to reduce the impacts to the overall Project schedule.

Project Cost/Contingency

The overall Project cost remains \$1.9 billion, and the Project contingencies have been approximately 40 percent expended to date. This is in line with the percent complete for the Project from both a time and earned value standpoint.

Public Outreach

Over the past few months, the Outreach team has fine-tuned its approach to community and stakeholder meetings during the COVID-19 pandemic. All meetings with residents, business owners, and key stakeholders have become virtual, and outreach is being conducted primarily through electronic means. In addition, postcards and flyers continue to be used to alert the community to major activities, with canvassers wearing masks and gloves. These methods combined allow the team to continue being flexible and nimble with notifications despite COVID-19 concerns.

The team has conducted ten virtual community meetings this year with more than 2,200 people participating live or viewing recordings, which are accessible via the Project website and posted on OCTA's YouTube channel. The reach of these meetings is more than four times that of traditional neighborhood meetings. In addition, the cost per participant is lower, as labor and other direct costs are reduced for virtual meetings. In the last three months, the meetings have focused on activities at the Bolsa Chica Road, Goldenwest Street, Edwards Street, and McFadden Avenue bridges, and at the Heil Avenue pedestrian overcrossing. To date, more than 1,100 participants either joined those meetings live or have viewed the recordings.

The Project is marking a major milestone in late September, with the anticipated opening of the McFadden Avenue bridge. The Outreach team is coordinating a unique event to celebrate the opening. The event will be a compilation of recorded interviews with local business owners, Project partners, and elected officials on the importance of the opening, as well as footage of bridge construction. The video, with versions in Spanish and Vietnamese, will be broadcast via Facebook Live on the morning of the bridge opening.

Meanwhile, the team anticipates conducting at least three additional virtual neighborhood meetings in the next several months to notify communities of the completion of bridge work at Bushard Street, the start of bridge work at Brookhurst Street and Edinger Avenue, and the next phase of bridge activities at Westminster Boulevard. The team also will continue to meet with key stakeholders, such as emergency responders, on a quarterly basis, and coordinate with community partners, such as school districts, in navigating the process of returning students to schools within the Project corridor.

Constituent comments and questions have increased over the last three months, averaging approximately 180 per month, up from about 130 per month earlier in the year. An average of 13 construction alerts are sent out each month to more than 10,000 recipients. In addition, the Outreach team has expanded its toolkit, adding location-based advertising on mobile devices and tablets to engage constituents in specific geographic areas with short, relevant messages about upcoming activities.

Next Steps

Staff will continue to work closely with the design-builder to continue construction. This involves obtaining permits, utility relocation coordination, and coordinating construction activities.

Summary

Construction continues to advance. Currently, utility relocations, public outreach, and other activities are in process to continue the construction phase of the Project.

Attachment

None.

Prepared by:



Jeff Mills, P.E.
Senior Program Manager
(714) 560-5925

Approved by:



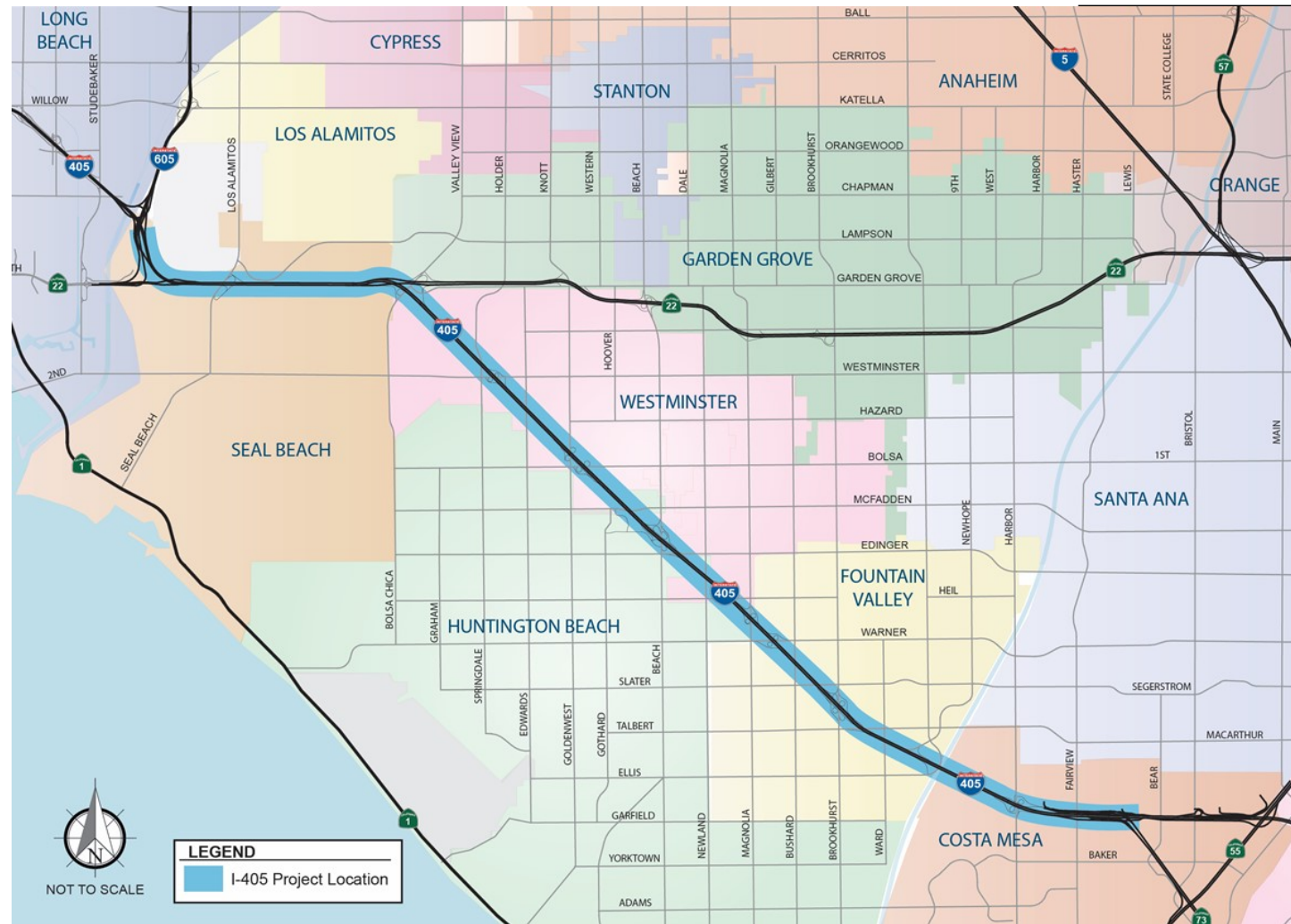
James G. Beil, P.E.
Executive Director, Capital Programs
(714) 560-5646



Interstate 405 Improvement Project Update



Project Location and Key Features



Background



Milestone	Completion Date
Environmental clearance	May 2015
Orange County Transportation Authority Board of Directors (Board) awards design-build (DB) contract to OC 405 Partners	November 2016
Notice to Proceed (NTP) No. 1 issued	January 2017
TIFIA* loan executed	July 2017
NTP No. 2 issued	July 2017
Construction began	March 2018

* Transportation Infrastructure Finance and Innovation Act



Design

- Project design is substantially complete
- Future design refinements allowed in DB process

Right-of-Way

- 288 properties impacted – on schedule overall
- 288 properties in possession
- 60 resolutions of necessity adopted by the Board

Construction

- Construction approaching 40 percent complete
- Over 1,000 workers involved in the Interstate 405 Improvement Project (Project) each working day

Construction Update



Wall construction

Construction Update



Jun 23, 2020 at 12:56:37 PM
Greenville-Banning Channel Culvert



Jul 9, 2020 at 9:49:16 AM
Greenville Banning Channel Culvert



Greenville-Banning Channel

Construction Update



Santa Ana River bridge construction

Construction Update



Edwards Street bridge demolition

Construction Update



McFadden Avenue bridge construction

Look Ahead for Bridge Construction



July – December 2020

- Started Heil Avenue pedestrian overcrossing
- McFadden Avenue bridge fully opens to traffic
- Start Edinger Avenue bridge
- Bushard Street fully opens to traffic
- Start Brookhurst Street bridge (first half)
- Westminster Boulevard bridge (first half) opens to traffic

January – June 2021

- Talbert Avenue bridge fully opens to traffic
- Start Ward Street bridge
- Fairview Road bridge (first half) opens to traffic
- Bolsa Avenue bridge (first half) opens to traffic

Bridge Construction Map



LEGEND

- Project Limits
- Bridge Closed to Traffic During Construction
- Bridge Open to Traffic During Construction

Anticipated Start of Construction*

- 2018
- 2019
- 2020
- 2021

*Subject to Change

Bridge Map as of 08/10/2020

Project Challenges



- Oversight and approvals from many different agencies and third parties
- Cost and availability of construction resources in this active construction market
- Dispute resolution and change management
- Minimizing impacts and disruptions to the public
- Timely performance of third-party utility work
- Schedule impacts and mitigations

Schedule Mitigations Implemented



Previously Implemented

Slater Avenue and Edwards Street bridges from two-stage to one-stage construction

Work-around to take area near archaeological discovery off the future schedule critical path

Improvements to staging of Oceanview Channel construction

Daytime lane closures due to current lower traffic volumes

Longer ramp closure durations

Extended and/or multiple night closures

Recently Implemented

Starting construction on Brookhurst Street bridge concurrent with the end of Talbert Avenue construction

Warner Avenue bridge from two-stage to one-stage construction

Re-sequencing of Edinger Avenue and Newland Street bridges

- Mitigations intended to minimize impacts to Project completion date
- To be balanced with minimizing traffic impacts

Community Engagement



Category	Average Per Month
Public comments, questions	179 constituents
Social media engagement	1,651 users
Construction alerts	13 sent (28% open rate)
Interactive map	1,130 users
Geofencing advertising	69,037 impressions
Website closure lists	300 downloads

Upcoming Outreach



- Virtual neighborhood meetings
 - Brookhurst Street Phase 1
 - Edinger Avenue
 - Westminster Boulevard Phase 2
- Major activity notifications
 - Extended ramp closures
 - Full freeway/ramp/road closures
 - Temporary construction easements
- Key stakeholder briefings
 - Emergency responders
 - School districts
 - Civic/community groups

CONSTRUCTION ALERT

For more information about this project, please contact the 405 Community Outreach Team at 405projects@cta.net or 888-400-8994.

Si prefiere recibir información en español, por favor llame este número 888-400-8994.
Nếu quý vị muốn nhận được thông tin này bằng tiếng Việt, xin vui lòng liên lạc với cô Lý Gia 888-662-6569.

[CLICK HERE TO VIEW CONSTRUCTION ACTIVITIES ON THE INTERACTIVE MAP](#)

To view and print a detailed list of closures and detours [CLICK HERE!](#)

UPDATE! Magnolia Street bridge to close weekly for concrete pours

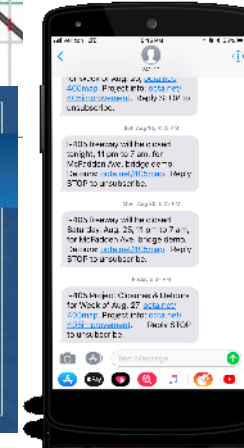
I-405 Improvement Project. Please see all signs at Magnolia Street.
Dự Án Cải Thiện I-405. Những đường tạm dùng khi cầu Magnolia đóng.

Detours for Magnolia Street Bridge Closure
Đường tránh tạm dùng khi cầu Magnolia đóng.



CONSTRUCTION ALERT

I-405 Closure for McFadden Falsework Erection



CONSTRUCTION ALERT

Westminster City Channel Settlement Fill Construction

WHAT There will be channel settlement fills to prevent the widening of the Westminister City Channel.

WHERE Settlement fills will be needed to prevent the widening of the Westminister City Channel.

WHEN 4:00 am to 7:00 am, Monday, Aug. 5 to Friday, Aug. 11, on weekends.

Waze