AGENDA

Technical Advisory Committee

Committee Members		*Orange County Transportation Authority*
Shaun Pelletier	*City of Aliso Viejo*	*550 South Main Street*
Rudy Emami	*City of Anaheim*	*Orange, California*
Tony Olmos	*City of Brea*	***June 24, 2020 1:30 p.m.***
Nabil S. Henein	*City of Buena Park*	
Raja Sethuraman	*City of Costa Mesa*	
Nardy Khan	*County of Orange*	
Doug Dancs	*City of Cypress*	
Matthew Sinacori	*City of Dana Point*	
Hye Jin Lee	*City of Fountain Valley*	
Meg McWade	*City of Fullerton*	
William Murray	*City of Garden Grove*	
Tom Herbel	*City of Huntington Beach*	
Jaimee Bourgeois	*City of Irvine*	
Chris Johansen	*City of La Habra*	
Michael Belknap	*City of La Palma*	
Mark Trestik	*City of Laguna Beach*	
Ken Rosenfield	*City of Laguna Hills*	
Jacki Scott	*City of Laguna Niguel*	
Akram Hindiyeh	*City of Laguna Woods*	
Tom Wheeler	*City of Lake Forest*	
Chris Kelly	*City of Los Alamitos*	
Mark Chagnon	*City of Mission Viejo*	
David Webb	*City of Newport Beach*	
Christopher Cash	*City of Orange*	
Luis Estevez	*City of Placentia*	
Brendan Dugan	*City of Rancho Santa Margarita*	
Tom Bonigut	*City of San Clemente*	
Tom Toman	*City of San Juan Capistrano*	
William Galvez	*City of Santa Ana*	
Iris Lee	*City of Seal Beach*	
Guillermo Perez	*City of Stanton*	
Doug Stack	*City of Tustin*	
Akram Hindiyeh	*City of Villa Park*	
Marwan Youssef	*City of Westminster*	
Jamie Lai	*City of Yorba Linda*	
Tifini Tran	*Caltrans*	

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

AGENDA

Technical Advisory Committee

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

All documents relative to the items referenced in this agenda are available for public inspection at www.octa.net.

Guidance for Public Access to the Technical Advisory Committee (TAC) Meeting

On March 12, 2020 and March 18, 2020, 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 N2920, and in order to ensure the safety of Orange County Transportation Authority (OCTA) staff and for the purposes of limiting the risk of COVID19, 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 TAC 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 TAC meeting by emailing them to cmorales@octa.net

If you wish to comment on a specific agenda Item please identify the item number in your email. General public comments will be addressed during the general public comment item on the agenda and read into the record. In order to ensure that staff has the ability to provide comments to TAC Members in a timely manner, please submit your public comments by 9:30 a.m. Wednesday, June 24, 2020.

AGENDA

Technical Advisory Committee

Call to Order

Self-Introductions

1. **Approval of Minutes**

   Approval of the Technical Advisory Committee regular meeting minutes of April 22, 2020.

Regular Items

2. **Measure M2 Comprehensive Transportation Funding Programs – Proposed Guideline Modifications – Joe Alcock**

   Overview

   Measure M2 allocates net revenues for the development of various competitive programs which provide funding for transit, environmental cleanup, and local streets and roads projects. Funding for local streets and roads projects is anticipated to be made available (subject to Board of Directors approval) through a 2021 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program. In anticipation of the Board of Director's authorization of a 2021 call for projects later this year, staff has updated the Comprehensive Transportation Funding Programs Guidelines and is seeking direction to advance these proposed revisions to the Orange County Transportation Authority's Board of Directors for consideration and approval.

   Recommendation

   Recommend for Board of Directors approval of updates to the Comprehensive Transportation Funding Programs Guidelines for the 2021 Call for Projects.

3. **Comprehensive Transportation Funding Programs Semi-Annual Review – March 2020 – Charvalen Alacar**

   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. Recommended project adjustments are presented for review and approval.

Recommendations

A. Recommend Board of Directors approval of delays, extensions, scope changes, transfers, and other adjustments for Measure M2 funded projects and also, due to the unique circumstance created by the novel coronavirus, waive appropriate guidelines and requirements in order to incorporate requested project adjustments as submitted.

B. Recommend Board of Directors approval of the delay request for the City of Garden Grove (Project number 19-GGRV-ICE-3938) and an exception to the timely use of funds requirement that the delay request be submitted "no less than ninety days prior to the deadline."

Discussion Items

4. Correspondence

OCTA Board Items of Interest – See Attachment A
Announcements by Email – See Attachment B

5. Committee Comments

6. Local Assistance

Caltrans Local Assistance Risk-Based NEPA Process Improvements

7. Staff Comments

Staff will provide an update on the M2 ordinance amendment which related to MOE requirements in light of COVID-19 impacts which will be considered by the Board at the June 22, 2020 meeting.

8. Items for Future Agendas

9. Public Comments

10. Adjournment

The Technical Advisory Committee is scheduled to convene on the fourth Wednesday of each month, at 1:30 p.m., at OCTA Headquarters.

OCTA

AGENDA

Technical Advisory Committee
Item #1

Minutes from April 22, 2020

Minutes

Technical Advisory Committee

Item #1

Voting Representatives Present:	Orange County Transportation Authority	
Shaun Pelletier	City of Aliso Viejo	550 S. Main Street
Rudy Emami	City of Anaheim	Orange, CA
Tony Olmos	City of Brea	**April 22, 2020 1:30 PM**
Raja Sethuraman	City of Costa Mesa	
Nardy Khan	County of Orange	**Guest Present:**
Matthew Sinacori	City of Dana Point	Oliver Luu, Caltrans
Temo Galvez	City of Fountain Valley	
Meg McWade	City of Fullerton	
Jaimee Bourgeois	City of Irvine	
Chris Johansen	City of La Habra	
Mark Trestik	City of Laguna Beach	
Ken Rosenfield	City of Laguna Hills	
Jacki Scott	City of Laguna Niguel	
Tom Wheeler	City of Lake Forest	**Staff Present:**
Chris Kelly	City of Los Alamitos	Kia Mortazavi
Mark Chagnon	City of Mission Viejo	Kurt Brotcke
David Webb	City of Newport Beach	Adriann Cardoso
Christopher Cash	City of Orange	Joe Alcock
Luis Esteves	City of Placentia	Cynthia Morales
Brendan Dugan	City of Rancho Santa Margarita	
Tom Bonigut	City of San Clemente	
Tom Toman	City of San Juan Capistrano	
Taig Higgins	City of Santa Ana	
Iris Lee	City of Seal Beach	
Doug Stack	City of Tustin	
Akram Hindiyeh	City of Villa Park	
Marwan Youssef	City of Westminster	
Jamie Lai	City of Yorba Linda	
Tifini Tran	Caltrans	

Voting Representatives Absent:

Nabil S. Henein	City of Buena Park
Doug Dancs	City of Cypress
William (Bill) Murray	City of Garden Grove
Michael Belknap	City of La Palma
Guillermo Perez	City of Stanton

The meeting was called to order by Mr. Wheeler at 1:30 p.m.

Self-Introductions

Consent Calendar

1. **Minutes for November 13, 2019**

   Mr. Stack motioned to approve the minutes. The motion was seconded by Mr. Youssef.

   The Minutes were approved, there was no further discussion.

Regular Items

2. **2020 CTFP Project O & P Programming Recommendations** – Joseph Alcock

   Mr. Alcock presented 2020 CTFP Project O and P programming recommendations which included recommendations to fund 8 Regional Capacity Program projects totaling $23.4 million and 6 Regional Traffic Signal Synchronization Program projects totaling $12.1 million.

   Mr. Youssef commented that the amount of funding being recommended left a balance in Project O's available funds, but noted that those balances would go back to the program to support future calls for projects.

   Mr. Sethuraman motioned to approve the item. The motion was seconded by Mr. Galvez.

   The item was passed and there was no further discussion.

Discussion Item

3. **Maintenance of Effort (MOE)** – Kurt Brotcke

   Mr. Brotcke stated that the MOE Benchmark for fiscal year (FY) 2020-21 had been established in April, 2020. He then stated that it was clear, that there would need to be a change to the Measure M Ordinance to address the impacts of COVID-19 on an interim basis.

Mr. Brotcke then explained M2's MOE requirements, which include the submittal of MOE certification forms every FY. He also noted, that for FY 2020-21 MOE certification forms were due by June 30. He then discussed the process for submitting M2 Expenditure Reports, which includes among other things, confirmation that local agencies' have spent general fund revenues for street and road purposes consistent with the MOE requirement. He stated that these submittals were not due until December 31, 2020 for FY 2019-20.

Mr. Brotcke noted that based upon OCTA's analysis, most agencies would be able to meet their FY 2019-20 MOE Requirement. However, he also stated that some might not as a result of COVID-19. He further explained that this is an issue that needs to be addressed. He then mentioned that for OCTA, local agencies' ability to meet their FY 2020-21 MOE requirement is a bigger concern, given known and forecasted reductions in general fund revenues resulting from the pandemic.

Mr. Brotcke then shared that OCTA was in the process of developing MOE related recommendations for Board of Directors (Board) consideration in May. He noted that these recommendations would likely require an M2 Ordinance amendment and would be based upon the following concepts.

- For FY 2019-20, OCTA would allow for what is spent on MOE during the FY to become the required MOE for FY 2019-2020.

- For FY 2020-21, OCTA would establish an MOE target based upon the percent of the FY 2020-21 MOE benchmark, as compared to FY 2018-19 general fund revenues. For example, if a local agencies' MOE benchmark as a percent of FY 2018-19 general funds revenues was 3%, then that will be the MOE target that the local agency would need to meet for FY 2020-21.

Mr. Brotcke noted that this proposed approach gives local agencies the ability to address COVID-19 related drops in general fund revenues, while at the same time maintaining a historic level of investment of general fund revenues for transportation purposes. Mr. Brotcke continued that this proposal would require both Board approval and an M2 Ordinance amendment for FY 2019-20 and FY 2020-21. He also mentioned, that If the Board does endorse and approve these concepts, final approval would require a public hearing, which would likely occur in June. Mr. Brotcke also clarified that OCTA was not suggesting a payback of MOE option, and instead was more focused on managing the current situation.

Ms. Lai asked if what is spent in FY 2019-20 in terms of MOE would become the new MOE Benchmark for FY 2020-21.

Mr. Brotcke responded that OCTA was working on the specific years for the MOE percentage benchmark calculation and clarified that OCTA had not yet finalized the recommendation, which will ultimately be brought forward for Board consideration. He also clarified that the MOE Benchmark percentages, as compared to general fund revenues do not change much over time; and further noted that the proposal staff was considering still required OCTA to work out the details on the specific general fund revenue years that would be recommended to the Board.

Ms. Lai responded, that historically the City of Yorba Linda overspends on MOE and would not like this to dictate future MOE Benchmark adjustments.

Mr. Sethuraman stated that he would like to thank the leadership at OCTA and the committee for considering this issue. He stated that the proposals looked good but noted that he would have liked to have seen the details and more focus on future MOE Benchmark adjustment considerations. He also stated, that in the case of the City of Costa Mesa, its MOE is expected to increase by 10% and the MOE is high in terms of overall percentage of general fund revenues. He also noted this benchmark would be hard to meet in the next FY and asked, if there could be a hold placed on increasing MOE values until the next FY.

Mr. Brotcke replied that the proposal evaluates MOE benchmarks to general fund revenues; and further noted that if general fund revenues drop, a City's MOE benchmark would be held to its MOE benchmark percentage of those general fund revenues.

Mr. Webb stated that he was concerned about taking an overcut in MOE expenditures without much data to support the recommendations. He also stated that he likes the idea of a level of payback and would reserve his comments on the idea of MOE benchmark increase delays until the Board and staff have had more time to look at this.

Mr. Sethuraman stated that at a city council meeting their finance director was forecasting an 18 and a half million-dollar general fund revenue reduction. Mr. Sethuraman also noted that the city was laying off part-time employees and mentioned that other local agencies were also likely experiencing similar issues. Mr. Sethuraman concluded by stating that the City of Costa Mesa has always met or exceeded its MOE benchmark, and further stated that his city council members like the city's high PCI values, but recognize the financial predicament they are in right now. As such, any flexibility in meeting the M2 MOE benchmark would be greatly appreciated.

Ms. McWade stated that the City of Fullerton was also facing a significant reduction in general fund revenues for streets and roads purposes, and also mentioned that her city would appreciate maximum flexibility in meeting the M2 MOE benchmark. However, she also noted that any plan that would require MOE payback was not an option that her city could support.

Mr. Youssef asked if these recommendations would go through a committee before going to the Board.

Mr. Brotcke replied that this was the first public discussion of the issue and noted that an item was going to OCTA's Executive Committee and Board in May.

There was no further discussion.

4. Correspondence

- OCTA Board Items of Interest – See Agenda
- Announcements Sent by Email – See Agenda

5. Committee Comments

Mr. Emami stated that in light of the COVID-19 pandemic, OCTA should also be considering potentially relieving M2 Project S and V ridership requirements.

Mr. Wheeler asked if OCTA had evaluated this request.

Mr. Brotcke replied that OCTA staff is looking into this. He stated there have been several requests to investigate the issue and noted that the cities of Dana Point and Anaheim had submitted some questions in regard to this issue. Mr. Brotcke stated that OCTA was currently in the process of developing responses to these questions.

Mr. Sinacori stated that his city council had discussed the importance of returning to "normalcy" and noted that it would be good for the community to again see the Project V trolley out there and operating. As such, any special consideration of Project V minimum ridership requirements, during this time, would be greatly appreciated by his city council and city manager.

Mr. Brotcke stated that OCTA would take that under advisement.

6. Caltrans Local Assistance Update - Oliver Luu

Mr. Luu stated that the Active Transportation Program (ATP) Call for Projects application deadline was June 15th. He noted that hard copy application submittals were required. He also stated that ATP progress reports were due April 30th with reports needing to be submitted through the Calsmart database. He continued by indicating that project completion reports were due within six months of contract acceptance, the project becoming operable, and/or opening to the public; and also mentioned that project reports were due within 180 days of conclusion of all remaining project activities.

Next, he stated that the deadline to submit an allocation or time extension request for the June California Transportation Commission (CTC) meeting was April 27. He also mentioned that due to the Coronavirus, CTC meetings were being done remotely and also stated that a new timely use of funds policy was anticipated in May.

With respect to projects programmed in FY 2019-20 (but not yet allocated), he mentioned that an extension through December had been granted. He also indicated that projects with construction allocations (in October 2019, December 2019, January 2020, or March 2020), the award deadline had been extended by twelve months. Mr. Luu also mentioned that for projects that had an approved time extension for allocation and construction awards; these projects can request an extension amendments of up to twenty months.

Mr. Luu also directed local agencies to submit project invoices with electronic signatures for the time being, but requested that they note “COVID-19 at the top of the documents, so that there is a record that the invoice was submitted during pandemic. He also stated that inactive invoice submittals for this quarter would be due by May 20 or funding could potentially be jeopardized.

In closing, Mr. Luu noted that the Highway Safety Improvement Program had authorized $106 million dollars for FY 2019-20 and noted that redistribution of these funds is expected in late June or July. He also reiterated the importance of all local agencies complying with Title VI requirements.

7. Staff Comments

Mr. Alcock stated that the Local Streets and Roads Statewide Survey (coordinated through the California State Association of Counties and League of Cities) deadline for submittals had been extended from April 17, 2020 to May 1, 2020. He also noted that twelve Orange County local agencies still needed to provide this information, which is critical in helping with planning, advocacy, and showing efficient use of transportation expenditures.

Mr. Alcock also stated that the Project X Tier I Call for Projects was open and noted that the application deadline has been extended to June 25, 2020, with electronic copies of applications being accepted.

Lastly Mr. Alcock stated that due to the impacts of COVID-19, the March 2019 Semi-Annual Review item would go to the July Technical Advisory Committee meeting and the August OCTA Board meeting.

8. Public comments – None

9. Items for Future Agendas

- MOE Update

10. The meeting was adjourned at 2:27 p.m.

Measure M2 Comprehensive Transportation Funding Programs – Proposed Guideline Modifications

OCTA

June 24, 2020

To: Technical Advisory Committee

From: Orange County Transportation Authority Staff

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

Overview

Measure M2 allocates net revenues for the development of various competitive programs which provide funding for transit, environmental cleanup, and local streets and roads projects. Funding for local streets and roads projects is anticipated to be made available (subject to Board of Directors approval) through a 2021 call for projects for the Regional Capacity Program and Regional Traffic Signal Synchronization Program. In anticipation of the Board of Director's authorization of a 2021 call for projects later this year, staff has updated the Comprehensive Transportation Funding Programs Guidelines and is seeking direction to advance these proposed revisions to the Orange County Transportation Authority's Board of Directors for consideration and approval.

Recommendation

Recommend for Board of Directors approval of updates to the Comprehensive Transportation Funding Programs Guidelines for the 2021 Call for Projects.

Background

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

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

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

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

The CTFP Guidelines identify procedures and requirements that local agencies must adhere to in order to apply for M2 funding (and following award of funds) in order to seek reimbursement. These guidelines were first approved by the OCTA Board of Directors (Board) on March 22, 2010 and were most recently updated and approved in March 2020.

Discussion

As part of original CTFP Guidelines approval (in 2010), the Board made provisions to modify and adjust the guidelines as needed. In anticipation of Board approval of the 2021 RCP and RTSSP annual call for projects later this year, staff has comprehensively reviewed the Guidelines and made updates, where appropriate, to facilitate program administration.

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

Limited changes were made to the RCP (Project O) program. The changes that were made primarily included updated dates for this call cycle, making the sustainability evaluation more comprehensive, and revising the project phasing order listed in order to make it more consistent with the typical project delivery process. The most significant proposed changes are listed below:

- Revised call dates, deadlines, and amount.
- For the Operational Attributes (within the roadway) scoring component for the Arterial Capacity Enhancement (ACE), Intersection Capacity Enhancements (ICE), Freeways Arterials Street and Transitions (FAST) programs, the Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
- For Improvement Characteristics in the ACE program, the definition of the Bridge Crossing improvement characteristic was clarified.

- The project development phases listed under project readiness in the ACE, ICE, and FAST program sections were rearranged in order of reflect actual project development phasing progression.

With respect to the RTSSP (Project P) program, a number of clarifying changes were made. These changes are proposed to incentivize the submittal of projects focused on signal coordination (rather than more capital-intensive projects); expedite project delivery; and emphasize more comprehensive and tangible improvements that enhance the operations of regional corridors. There are also added scoring incentives for projects that synchronize regional corridors in their entirety. The most significant of these proposed changes are listed below:

- Clarified definitions and terminology for required Project P reports and added a definition for offset signals.
- Revised call dates, deadlines, and amount.
- Specified that Supplemental Applications will need to be in the 2021 document format.
- Clarified which agencies are eligible to be project leads.
    - Noted that OCTA-led projects are eligible for this call cycle.
        - Also clarified that if a project is OCTA led, the total project cost for the cost benefit analysis must also include an additional 10% of the total project for OCTA administrative and project management efforts. This is an effort to normalize OCTA led projects with local agency led projects in the scoring.
- Under Selection Criteria:
    - The Transportation Significance and Vehicle Miles Traveled (VMT) categories were merged and made eligible for up to 30 points, with greater emphasis being placed upon signal coordination activities.
    - Clarified how points will be awarded (with emphasis upon signal coordination activities) and also clarified eligibility (and the process for awarding points) in the Project Characteristics categories.
    - For Maintenance of Effort, clarified that a project will not be eligible for additional funding until all maintenance of effort components have been completed.
    - For Project Scale, clarified grid assessment and calculation criteria, and also increased points from 10 to 20.
    - For Number of Local Agencies, reduced available points from 20 to 10.
    - For Current Project, clarified that points for retiming an existing corridor can only be claimed if at least 75% of the previous project is part of a new application, and provided additional points to incentive timelier project delivery.

- For In-Kind match, provided a guide and specified that match beyond 20% is limited to cash only.
- Specified data capability and submittal requirements to OCTA.

The Technical Steering Committee (TSC) met on June 10, 2019 and approved these proposed changes to the Guidelines, with the following additional modification to be considered and reviewed by the Technical Advisory Committee (TAC):

- Evaluate and develop a recommendation to address the eligibility of grading components beyond Master Plan of Arterial Highways cross-sections.

The current grading requirements in the Guidelines provide sufficient flexibility to allow for practical and project-related grading needs in most cases. However, minor edits were made to language in Chapter 7 to address this request and allow for additional case by case reviews, while at the same time continuing to ensure that M2 funds are not supplanting other project-related obligations.

If these proposed changes are approved by the TAC, they will be advanced to the Regional Planning and Highways Committee (RP&H) and to the OCTA Board for further consideration as part of staff's request to initiate the 2021 call, which would proceed according to the general timeline 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

The CTFP Guidelines serves as the mechanism OCTA uses to administer RCP and RTSSP as well as other competitive funding programs. In anticipation of a potential 2021 annual call for projects for the RCP and RTSSP programs, staff is seeking approval of proposed modifications to these Guidelines. If approved by the TAC, these proposed updates will be submitted to the OCTA RP&H and subsequently to the OCTA Board for review and final approval as part of a 2021 call for projects authorization request later this year.

Attachments

A. 2021 CTFP Guidelines (Projects O and P) – Proposed Changes List
B. Comprehensive Transportation Funding Programs, Guidelines Excerpt, Proposed Revisions

ATTACHMENT A

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 correct link: *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	Rough roadway grading may be considered on a case by case basis ~~must be complete prior to project start~~.
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 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	7-26	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, thus, 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. OCTA assumes rough roadway grading is complete prior to project start and is generally considered an ineligible item.
21	Ch.7	Selection Criteria/Current Project Readiness	7-35	Rearranged the phases in order of phasing progression.

ATTACHMENT A

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	7-36 – 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, thus, 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. OCTA assumes rough roadway grading is complete prior to project start and is generally considered an ineligible item.
27	Ch.7	Selection Criteria/Current Project Readiness	7-45 – 7-46	Rearranged the phases in order of phasing progression.
28	Ch.7	Selection Criteria/ Operational Attributes (within the roadway)	7-46 – 7-47	The Water Conservation Element and Sustainability scoring elements were merged and the definition was updated to make the sustainability evaluation more comprehensive.
29	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.
30	Ch.7	Table 7-4/Operational Attributes (within the roadway)	7-53	The Water Conservation Element and Sustainability scoring elements were merged, thus, the Water Conservation Element was removed from FAST Scoring Criteria
31	Ch.7	Table 7-4/Funding Over-Match	7-53	Made technical correction to points column for Funding Over-Match for the FAST Scoring Criteria.
32	Ch.7	Table 7-4/Coordination with Freeway	7-53	Clarified heading for category: Coordination with Freeway Mainline Improvements
33	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~~.
34	Ch. 8	2021 Call for Projects	8-2	M2 is anticipated to provide approximately **$8 million** for signal coordination across Orange County.
35	Ch. 8	2021 Call for Projects	8-2	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 with the final report ~~according to the payment process~~. 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 ~~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.
36	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.

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2021 CTFP Guidelines (Projects O and P) – Proposed Changes List				
No.	**Section/ Chapter**	**Subsection**	**Page No.**	**Proposed Change**
37	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.
38	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**.
39	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 ...
40	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).
41	Ch. 8	Other Application Materials	8-5	A Supplemental Application (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.**
42	Ch. 8	Other Application Materials/Lead Agency	8-5	Lead Agency: Eligible jurisdictions consistent with Measure M2 ordinance definitions and requirements.
43	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.
44	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.~~
45	Ch. 8	Lead Agency	8-6	This Program is administered through a single lead agency: See Lead Agency definition above.
46	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.
47	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.~~
48	Ch. 8	Lead Agency	8-6	The application will be scored using the criteria outlined in the ~~previous~~ following sections.
49	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.
50	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
51	Ch. 8	Checklist Guide	8-7	The checklist should be provided as a ~~cover sheet~~ table of contents for each application submitted.
52	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.~~

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2021 CTFP Guidelines (Projects O and P) – Proposed Changes List				
No.	**Section/ Chapter**	**Subsection**	**Page No.**	**Proposed Change**
53	Ch. 8	Project Definition	8-8	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: • 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 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.~~
54	Ch. 8	Project Definition	8-9	Therefore, active transportation elements may be included as part of the project, as outlined in the following section.
55	Ch. 8	Eligible Activities	8-9	○ ~~• Signal Coordination~~
56	Ch. 8	Eligible Activities	8-9	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:~~ ~~In addition, e~~Expenditures related to the design of systems, permitting, and environmental clearance are eligible for funding.
57	Ch. 8	Eligible Activities	8-9	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.
58	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.
59	Ch. 8	Selection Criteria	8-10	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 ~~C~~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.
60	Ch. 8	Selection Criteria	8-11	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)
61	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)

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2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/ Chapter	Subsection	Page No.	Proposed Change
62	Ch. 8	Selection Criteria/Project Characteristics	8-11 – 8-14	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 ~~in~~ the "Eligible Activities" section above. • Real-time traffic actuated operations and demonstration projects can be claimed for any one of the following (4 points): 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. o Adaptive traffic signal systems only if all signals, in at least one agency on the project, are included in the system. o 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 the 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: 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. o ADA compliant Pedestrian Signals including, but not limited to, tactile and audible buttons in countdown signal heads. • New or upgraded communication systems (2 points) o New contemporary communication system improvements …. Excess capacity is deemed non-participating and also, cannot be used as part of the required project match. o ~~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 .. (two years after PI acceptance)~~ ~~• Detection Support … (two years after PI acceptance)~~ • Intersection/field system modernization and replacement (2 points) o Traffic signal controller replacement of antiquated 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)~~ o Closed Circuit Television (CCTV ~~(also can perform video detection)~~) o Uninterruptible Power Supply (UPS) for ATMS … intersection field equipment. For ATMS, UPS shall … related communication 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. • Minor signal operational improvements (2 points) o Emergency Vehicle Preempt … o 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. ~~o Improvements to comply with new … as well as the MUTCD~~ • Traffic Management Center … (1 point) o New TMCs or TOCs (any project funded under this category ~~must be~~ should plan~~ned~~ for ~~built to be~~ center-to-center communication (C2C) ~~"ready"~~ with nearby agencies and/or OCTA). o Upgrades to existing TMCs or TOCs (any project funded under this category ~~must be~~should plan~~ned~~ for ~~built to be~~ C2C ~~"ready"~~ with nearby agencies and/or OCTA). o Motorist information systems (up to 10 percent (10%) of total project 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. 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)

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<table>
<tr><th>No.</th><th>Section/ Chapter</th><th>Subsection</th><th>Page No.</th><th>Proposed Change</th></tr>
<tr><td></td><td></td><td></td><td></td><td>~~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.)~~</td></tr>
<tr><td>63</td><td>Ch. 8</td><td>Selection Criteria/Maintenance of Effort</td><td>8-14</td><td>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)</td></tr>
<tr><td>64</td><td>Ch. 8</td><td>Selection Criteria/Project Scale</td><td>8-14 – 8-15</td><td>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 designed as the Main Corridor. (maximum: ~~2~~10 points)</td></tr>
<tr><td>65</td><td>Ch. 8</td><td>Selection Criteria/Number of Local Agencies</td><td>8-15</td><td>Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: ~~1~~20 points)</td></tr>
<tr><td>66</td><td>Ch. 8</td><td>Selection Criteria/Current Project ~~Readiness~~ Status</td><td>8-15</td><td>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 primarily implementation within twelve months. Agencies that receive points for this category cannot request delays or time extensions throughout the life of the project.</td></tr>
<tr><td>67</td><td>Ch. 8</td><td>Selection Criteria/Funding Rate</td><td>8-15</td><td>The percentages shown in Table 8-1 apply to overall match rates ~~above a local agency’s minimum requirement~~.</td></tr>
<tr><td>68</td><td>Ch. 8</td><td>Table 8-1/VMT</td><td>8-16</td><td>Transportation Significance ~~Vehicle Miles Travelled (VMT)~~ Points: ~~3~~20

Inclusion of offset signals within 2700’ — Points
90% or above — 10
50 – 89% — 5
< 50% — 0

AND

▪ Vehicle Miles Traveled (VMT) Range</td></tr>
<tr><td>69</td><td>Ch. 8</td><td>Table 8-1/Economic Effectiveness</td><td>8-16</td><td>○ Cost Benefit (Total $/VMT) Range~~*~~</td></tr>
<tr><td>70</td><td>Ch. 8</td><td>Table 8-1/Project Characteristics</td><td>8-16</td><td>Project Feature — Points
Timing Only, No Capital — 10
Adaptive Traffic & Demonstration Projects — 4
~~TMC/TOC Connections Between Agencies — 4~~
Automated Traffic Signal Perf. Measures — ~~4~~3
Intelligent Cameras — ~~3~~2
Detection for ATSPM and counts — 3
Separate Bicycle/ADA Pedestrian Detection — ~~3~~2
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</td></tr>
</table>

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No.	Section/ Chapter	Subsection	Page No.	Proposed Change
71	Ch. 8	Table 8-1/Transportation Significance	~~8-16~~	~~Transportation Significance Points: 10~~ ~~Corridor Type Points~~ ~~Priority & Signal Synchronization Corridor 5~~ ~~Corridor "Gap Closure" 5~~
72	Ch. 8	Table 8-1/Number of Signals on Main Corridor Coordinated by Project	8-16	**Project Scale** **Points: ~~1~~20** Number of Signals on Main Corridor Coordinated by Project Range / Points 50+ / ~~5~~10 40 - 49 / 48 30 - 39 / ~~3~~6 20 - 29 / ~~2~~4 10 - 19 / ~~1~~2 < 10 / 0
73	Ch. 8	Table 8-1/Percent of Main Corridor Signals Being Retimed	8-16	Percent of Main Corridor Signals Being Retimed Range / Points 90% or above / ~~5~~10 80 - 89% / ~~4~~8 70 - 79% / ~~3~~6 60 - 69% / ~~2~~4 50 - 59% / ~~1~~2 < 50% / 0
74	Ch. 8	Table 8-1/Number of Jurisdictions	8-16	**Number of Jurisdictions** **Points: ~~2~~10** Total Number of Involved Jurisdictions Range / Points 5 or more / ~~20~~10 4 / ~~16~~8 3 / ~~12~~6 2 / ~~8~~4 1 / 0
75	Ch. 8	Table 8-1/Current Project Readiness	8-16	**Current Project ~~Readiness~~ Status** **Points: 10** Project Status / Points Re-timing 75% of prior RTSSP project / 5 Implementation within 12 months / 5
76	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.

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<table>
<tr><th>No.</th><th>Section/ Chapter</th><th>Subsection</th><th>Page No.</th><th>Proposed Change</th></tr>
<tr><td>77</td><td>Ch. 8</td><td>Matching Funds</td><td>8-19</td><td>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.</td></tr>
<tr><td>78</td><td>Ch. 8</td><td>Matching Funds</td><td>8-19</td><td>~~The specific matching requirement by project category type is listed below for city agency led projects:~~
<table>
<tr><th>~~Project category~~</th><th>~~Type of matching allowed*~~</th></tr>
<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>
<tr><td>~~New or upgraded communications systems~~</td><td>~~In-kind match** or cash match~~</td></tr>
<tr><td>~~Communications and detection support~~</td><td>~~In-kind match** or cash match~~</td></tr>
<tr><td>~~Intersection/field system modernization and replacement~~</td><td>~~In-kind match** or cash match~~</td></tr>
<tr><td>~~Minor signal operational improvements~~</td><td>~~In-kind match** or cash match~~</td></tr>
<tr><td>~~TMC/TOC and motorist information systems~~</td><td>~~Cash match~~</td></tr>
<tr><td>~~Real-time traffic actuated operations and demonstration projects~~</td><td>~~Cash match~~</td></tr>
<tr><td>~~Caltrans fees and expenses (labor and capital)~~</td><td>~~In-kind match ** or cash match~~</td></tr>
</table>
~~* 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.~~</td></tr>
<tr><td>79</td><td>Ch. 8</td><td>Matching Funds</td><td>8-20</td><td>New signal system investment (limited to eligible activities)</td></tr>
<tr><td>80</td><td>Ch. 8</td><td>Matching Funds</td><td>8-20–8-21</td><td>Relocated from Lead Agency Section
Additionally, for projects designating OCTA as lead agency...when the local agency develops the application:
•Primary Implementation (PI) (12 months)
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.
For projects designating a local agency...using a different formula (e.g., 2-5 hours per local agency signal for 24 months).</td></tr>
<tr><td>81</td><td>Ch. 8</td><td>Matching Funds</td><td>8-21</td><td>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.</td></tr>
</table>

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No.	**Section/ Chapter**	**Subsection**	**Page No.**	**Proposed Change**
82	Ch. 8	Data Compatibility	8-22	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~~ 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.~~csv~~xls. 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.~~
83	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.**
84	Ch. 8	Exhibit 8-1: Checklist	8-23–8-24	**RTSSP Online Application – submitted through OCFundTracker** 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 **Section 1: Key Technical Information** 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 **Section 2: Regional Significance ~~Lead Agency~~** **Section 3: Acknowledgement of Required Tasks ~~Resolutions of Support from the Project's Traffic Forum Members~~**

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No.	Section/ Chapter	Subsection	Page No.	Proposed Change
				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:~~ ~~Primary Implementation shall include details about the following:~~ ~~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)~~ ~~Ongoing O&M~~ ~~will begin after the PI of the project is completed. It shall include details about the following:~~ ~~a. Monitoring and improving optimized signal timing (required)~~ ~~b. Communications and detection support (optional)~~ ~~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)
85	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.
86	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.

ATTACHMENT A

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List

No.	Section/ Chapter	Subsection	Page No.	Proposed Change
87	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.
88	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.
89	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: • Project administration (required) • Developing and implementing optimized signal synchronization timing (required) • Producing a ~~Final~~ PI Report, which includes the Before and After Study for the proposed project (required)
90	Ch. 9	Procedures for Receiving Funds	9-12	Ongoing Operation and Maintenance (O&M) ~~will begin after the PI of the project is completed.~~ ~~I~~includes the following: • Monitoring and improving optimized signal timing (required) Communications support (optional) • Detection support (optional) • ~~Final~~ O&M Report
91	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 r~~R~~eport prior to approving the request. The electronic versions of the forms are available through the OCFundtracker.
92	Ch. 9	Initial Payment Requests for Primary Implementation	9-14	~~Final~~ Report Submission
93	Ch. 9	Example of Initial Reimbursement for Primary Implementation (PI):	9-14	**CTFP Grant Allocation** $960,000.00 — **OCTA Match Rate** 80% — **Local Agency Match Rate** 20% **Step 1** Eligible Expenses x OCTA Match Rate = Product $1,000,000.00 x 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)
94	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 Before and After Study for RTSSP, shall be included as a requirement at the end of the Primar~~il~~y Implementation phase and as part of the Final Report as required by the M2 Ordinance, Attachment B, Section III.A.9 ~~for reimbursement purposes~~.

ATTACHMENT A

2021 CTFP Guidelines (Projects O and P) – Proposed Changes List				
No.	**Section/ Chapter**	**Subsection**	**Page No.**	**Proposed Change**
95	Ch. 9	O&M Project Final Report	9-15 – 9-16	**O&M ~~Project Final~~ Report** The ~~project final~~ O&M ~~r~~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 ~~r~~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

I. Overview

On November 6, 1990, Orange County voters approved Measure M, a 20-year half-cent local transportation sales tax. All major transportation improvement projects and programs included in the original Measure M have been completed or are currently underway.

Expected growth demands in Orange County over the next 30 years will require agencies to continue to invest in transportation infrastructure projects. A collaborative effort between County leaders and the Orange County Transportation Authority (OCTA) identified additional projects to fund through an extension of the Measure M program. Voters approved Measure M2 (M2) on November 7, 2006. Ordinance No. 3 (Ordinance) outlines all programs.

Background

A robust freeway network, high occupancy vehicle & toll lanes, a Master Plan of Arterial Highways (MPAH), extensive fixed route and demand response bus service, commuter rail, and bicycle/pedestrian facilities comprise Orange County's transportation system. Future planning efforts are considering high speed rail service as part of a statewide system. Separate agencies manage and maintain each transportation component with a common purpose: mobility.

OCTA is responsible for planning and coordination of county regional transportation components. Local agencies generally oversee construction and maintenance of roadway improvements using a combination of regional and local funding sources derived from grants and formula distributions.

The Comprehensive Transportation Funding Programs (CTFP) represents a collection of competitive grant programs offered to local agencies. OCTA administers a variety of additional funding sources including M2, state/federal gas taxes, and Transportation Development Act (TDA) revenues.

Guidelines Overview

This document provides guidelines and procedures necessary for Orange County agencies to apply for funding of transportation projects contained within the CTFP through a simplified and consistent process. Each program has a specific objective, funding source and set of selection criteria detailed in separate chapters contained within these guidelines.

Guidelines are updated on a periodic basis in coordination with local agencies working through the Technical Steering Committee (TSC) and Technical Advisory Committee (TAC). Modifications to the guidelines are discussed in detail with the local agency

representatives during the TSC and TAC meetings held to review and approve the updated guidelines.

Additionally, OCTA may add, modify, or delete non-M2 programs over time to reflect legislative action and funding availability.

II. Funding Sources

Renewed Measure M

M2 is a 30-year, multibillion-dollar program extension of the original Measure M (approved in 1990) with a new slate of planned projects and programs. These include improvements to the County freeway system, streets and roads network, expansion of the Metrolink system, more transit services for seniors and the disabled as well as funding for the cleanup of roadway storm water runoff.

OCTA shall select projects through a competitive process for the Regional Capacity Program (RCP) (Project O), the Regional Traffic Signal Synchronization Program (RTSSP) (Project P), the various transit programs (Projects S, T, V and W), and the Environmental Cleanup Program (ECP) (Project X). Each program has a specific focus and evaluation criteria as outlined in the guidelines.

OCTA shall distribute Local Fair Share (LFS) Program (Project Q) funds on a formula basis to eligible local agencies. The program receives 18 percent (18%) of Net Revenues. The formula is based upon three components:

- Fifty percent (50%) based upon population
- Twenty-five percent (25%) based upon centerline miles on the existing MPAH
- Twenty-five percent (25%) based upon local agency's share of countywide taxable sales

Projects that are wholly funded by M2 LFS revenues and/or local sources are not subject to a competitive process. However, program expenditures must maintain certain criteria as outlined in the Ordinance and M2 Eligibility Guidelines. Local agencies must conform to annual eligibility requirements in order to receive LFS funding and participate in the CTFP funding process. Key requirements include:

- Timely use of funds (expend within three years of receipt)
- Meet maintenance of effort requirements
- Use of funding on transportation activities consistent with Article XIX of the California Constitution (Article XIX)
- Include project in seven-year Capital Improvement Plan (CIP)
- Consistency with MPAH, Pavement Management Program, and Signal Synchronization Master Plan

As indicated above, M2 LFS revenues are subject to timely use of funds provisions (must be expended within three years of receipt). If an agency is unable to meet this provision, an extension of up to 24 months can be granted. Requests for extension on the timely use of M2 Fair Share revenues will be made as part of the Semi-Annual Review (SAR)

process. In addition to a written request, the agency will also submit an expenditure plan of how the funds will be expended.

State/Federal Programs

OCTA participates in state and federal transportation funding programs based on competitive and formula distributions. OCTA typically earmarks this funding for major regional transportation projects. From time to time, OCTA may set aside funding, where permitted, for use by local agencies through a competitive selection process.

Call for Projects

OCTA issues calls for projects annually or on an as needed basis. Secure revenue sources, such as M2, will provide funding opportunities on an annual basis. OCTA will update program guidelines and selection criteria periodically. OCTA may offer limited opportunity funding, such as a state-wide bond issuance or federal grants, consistent with funding source requirements. OCTA may conduct concurrent calls for projects when necessary. Detailed funding estimates, application submittal processes and due dates will be updated for each call for projects and will be included in section V of these guidelines.

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

ENR – Engineering News Record

EVP – Emergency Vehicle Preempt

FAST – Freeway Arterial/Streets Transition

FTA – Federal Transit Administration

FY – Fiscal Year

GIS – Geographic Information System

GSRD – Gross Solid Removal Device

HAWK – High-Intensity Activated Crosswalk Signaling Systems

ICE – Intersection Capacity Enhancements

ICU – Intersection Capacity Utilization

ID – Identification

IRWMP – Integrated Regional Water Management Plan

ITS – Intelligent Transportation System

LFS – Local Fair Share

LID – Low-Impact Development

LOS – Level of Service

M2 – Measure M2

MG/yr – Megagrams per Year

MPAH – Master Plan of Arterial Highways

MUTCD – Manual on Uniform Traffic Control Devices

ND – Negative Declaration

NDS – National Data & Surveying Services

NEPA – National Environmental Policy Act

NTP – Notice to Proceed

O&M – Operations and Maintenance

OCTA – Orange County Transportation Authority

OCTAM – Orange County Transportation Analysis Model

PA/ED – Project Approvals/Environmental Documentation

PCI – Pavement Condition Index

PI – Primary Implementation

PSR – Project Study Report

PS&E – Plan, Specification and Estimate

PUC – Public Utilities Commission

RCP – Regional Capacity Program

RGSP – Regional Grade Separation Program

RTSSP – Regional Traffic Signal Synchronization Program

ROADS – Roadway Operations and Analysis Database System

ROW – Right-of-Way

RVH – Revenue Vehicle Hours

SAR – Semi-Annual Review

SBPAT – Structural BMP Prioritization Analysis Tool

SLPP – State-Local Partnership Program

TAC – Technical Advisory Committee

TCE – Temporary Construction Easement

TCIF – Trade Corridors Improvement Funds

TDA – Transportation Development Act

TMC – Traffic Management Center

TOC – Traffic Operations Center

TPC – Total Project Cost

TPI – Transportation Priority Index

TSC – Technical Steering Committee

TSP – Transit Signal Priority

UPS – Uninterruptible Power Supply

UTDF – Universal Traffic Data Format

v/c – Volume/Capacity

VMT – Vehicle Miles Traveled

WFLR – Work Force Labor Rates

WQLRI – Water Quality Load Reduction Index

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.

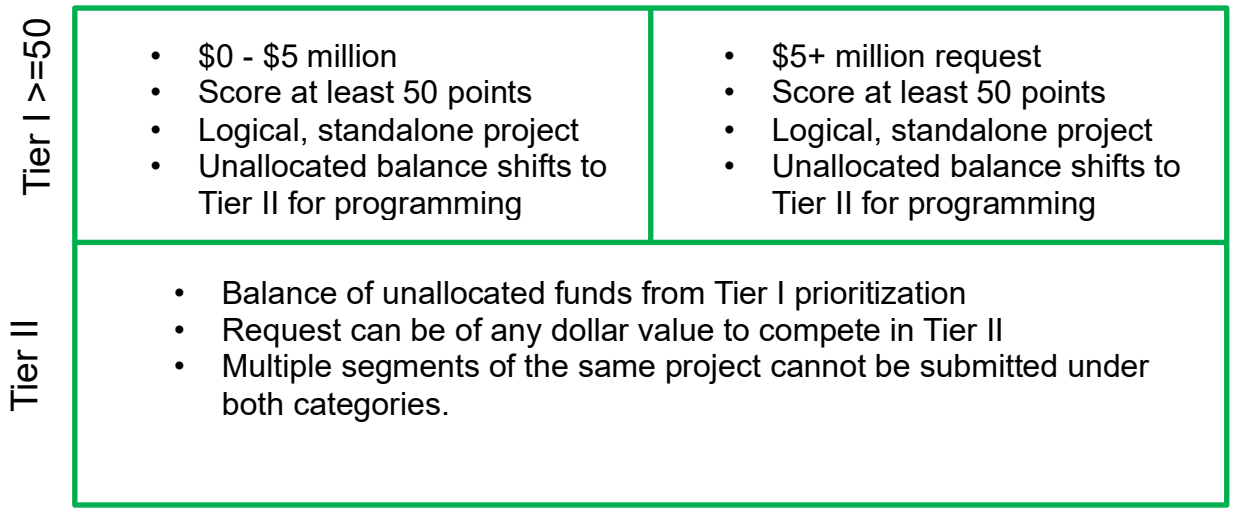
Programming Approach

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).



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 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 may be considered on a case by case basis~~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.

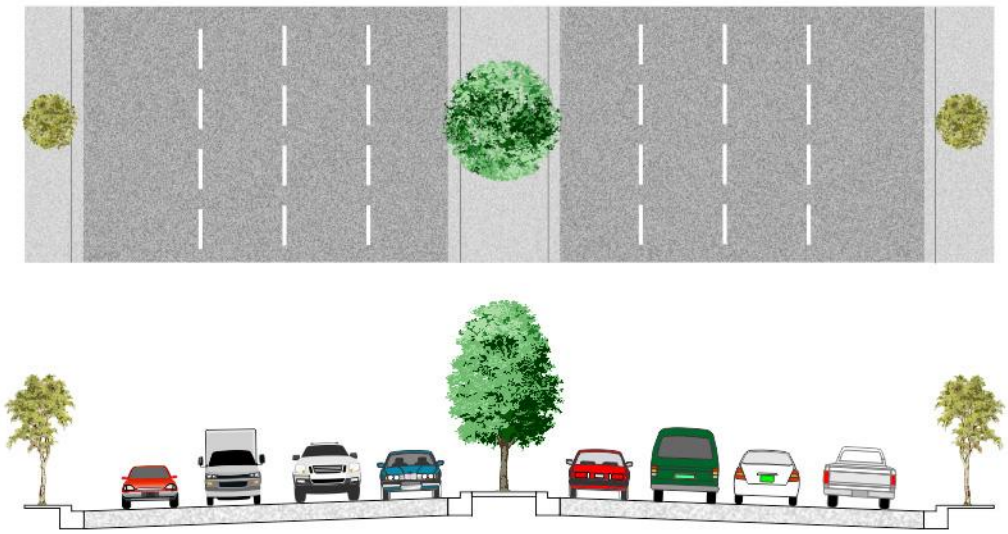
Ineligible Expenditures

Items that are not eligible under the ACE Program are:

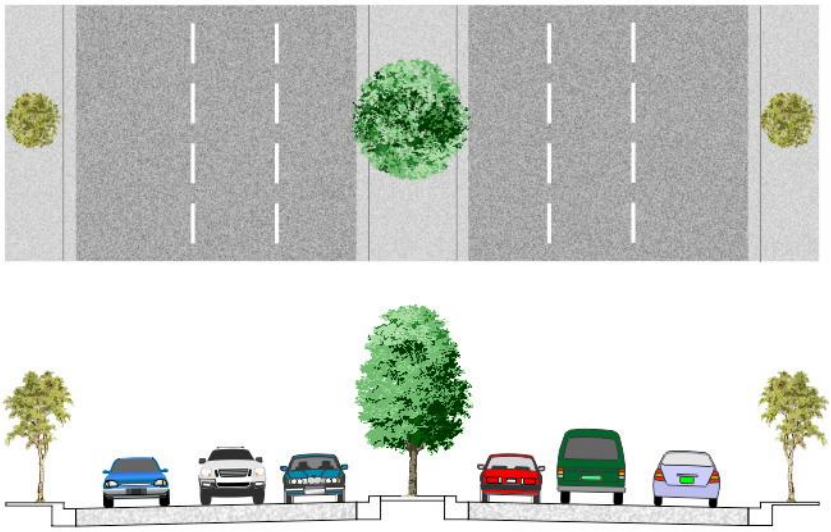
- Grading outside of the roadway ROW not related to a TCE or ROW agreement.
- Rehabilitation (unless performed as component of capacity enhancement project)
- Reconstruction (unless performed as component of capacity enhancement project)
- Grade Separation Projects
- Enhanced landscaping, aesthetics 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



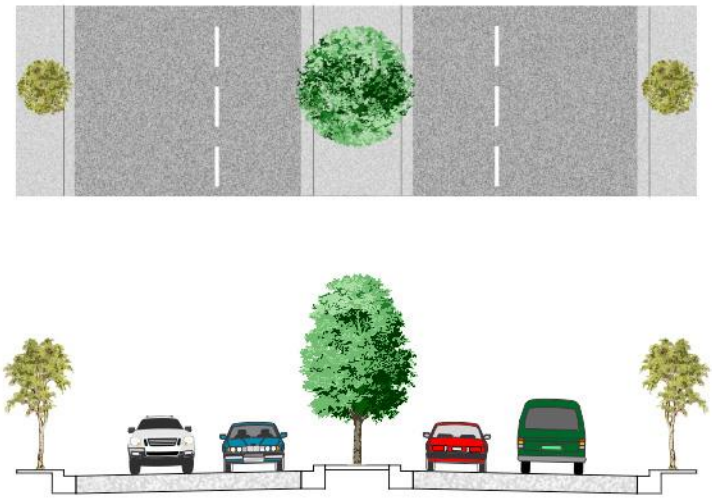
PRINCIPAL
144 FT
(8 LANES, DIVIDED)



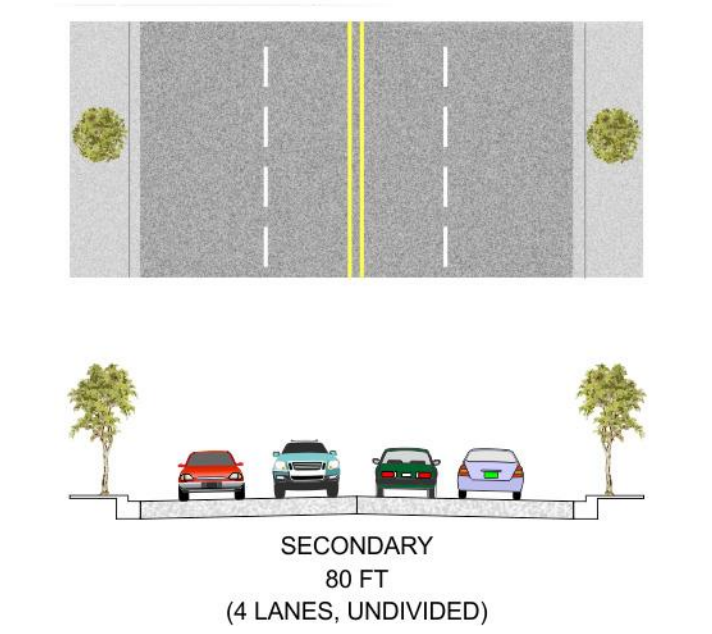
MAJOR
120FT
(6 LANES, DIVIDED)

Exhibit 7-5 *continued*

Standard MPAH Cross Sections



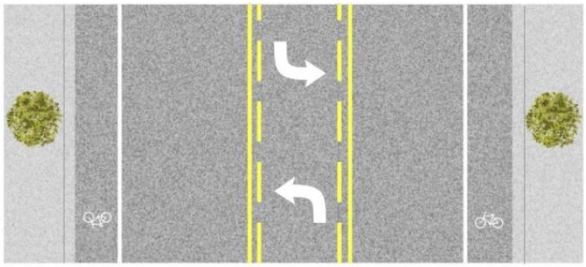
PRIMARY
100 FT
(4 LANES, DIVIDED)

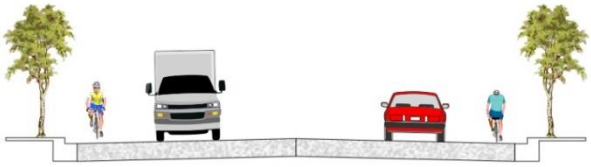


SECONDARY
80 FT
(4 LANES, UNDIVIDED)

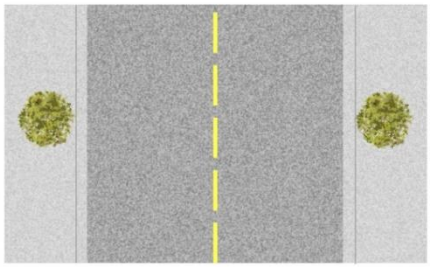
Exhibit 7-5 *continued*

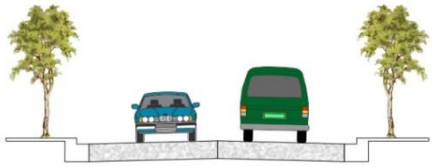
Standard MPAH Cross Sections





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:

	Level of Service (LOS)				
Type of Arterial	**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**

Existing ADT Range		Points
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

VMT Range		Points
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

Current Project Readiness	Max Points: 10
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**

Cost Benefit (Total $/ADT)

Range*	Points
< 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.

Range*	Points
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**

Transportation Significance Range	Points
Principal or CMP Route	10
Major	8
Primary	6
Secondary	4
Collector	2

Operational Attributes (within the roadway)	Max Points: 10
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**

Improve Characteristics	Points
Gap Closure	10
New Facility/Extension	8
Bridge Crossing	8
Adds Capacity	6
Improves Traffic Flow	2

LOS Improvement Max Points: 25

Existing LOS Starting Point Range

(LOS Imp x LOS Starting Pt)	Points
1.01+	5
.96 – 1.00	4
.91 – .95	3
.86 – .90	2
.81 – .85	1
<.81	0

LOS Improvements with Project (exist. Volume)

Existing LOS Starting Point Range	Points
.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. 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 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**

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

*AVG ADT for east and west legs plus AVG ADT for north and south legs of intersection.

Current Project Readiness	Max Points: 10
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: 20**

Cost Benefit (Total $/ADT)

Range*	Points
< 20	10
21 – 30	9
31 – 50	7
51 – 75	5
76 – 100	3
>100	1

*= Total Cost/Average ADT

Funding Over-Match (local match/project cost) minus minimum local match requirement.

Range*	Points
25+%	5
20 – 24%	4
15 – 19%	3
10 – 14%	2
05 – 09%	1
00 – 04%	0

Coordination with Contiguous Project Range	Points
Yes	5
No	0

Coordination with ACE Project with similar implementation schedule.

Facility Importance **Points: 30**

Transportation Significance Range	Points
Principal or CMP Route	10
Major	8
Primary	6
Secondary	4
Collector	2

Operational Attributes (within the roadway)	Max Points: 20
Grade Separations	10
Bus Turnouts	4
Bike Lanes	4
Ped. Facilities (New)	4
Free Right	4
Lowers Density	3
Channels Traffic	3
Protected/Permissive Left Turn	2
~~Water Conservations Elements~~	~~2~~
Safety Improvements	2
Sustainability Elements	2

Benefit **Points: 25**

LOS Improvement Max Points: 25

Calculation: LOS Imp x LOS Starting Point

Existing LOS (Peak Hour) Range	Points
1.01+	5
.96 – 1.00	4
.91 – .95	3
.86 – .90	2
.81 – .85	1
<.81	0

LOS Reduction w/ Project (existing Volume) Range	Points
.20+	5
.16 – .20	4
.10 – .15	3
.05 – .09	2
.01 – .05	1
<.01	0

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). 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 Desgin (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**

ADT Range*		Points
55+	thousand	10
50 – 54	thousand	9
45 – 49	thousand	8
40 – 44	thousand	6
35 – 39	thousand	4
30 – 34	thousand	3
25 – 29	thousand	2
20 – 24	thousand	1
<10 – 19	thousand	0

*Arterial plus daily ramp exit volume

Current Project Readiness	Max Points: 10
ROW (All Easement and Titles)	6
ROW (All Offers Issued)	4
Final Design (PS&E)	4
PA/ED	2
Project Study Report or Equiv.	1

Points are additive. ROW is the highest qualifying designation.

Economic Effectiveness **Points: 25**

Cost Benefit (Total $/ADT)

Range*	Points
< 20	10
20 – 39	8
40 –79	6
80 – 159	4
160 – 319	2
320 – 640	1
>640	0

Funding Over-Match (local match/project cost) minus minimum local match requirement.

Range*	Points
30+%	10
25 – 29%	8
20 – 24%	6
15 – 19%	4
10 – 14%	2
05~~0~~ – 09%	1

Range refers to % points above agency minimum requirement

Coordination with Freeway Mainline Improvements

Project Range	Points
Yes	5
No	0

Facility Importance **Points: 25**

Transportation Significance Range	Points
Principal or CMP Route	10
Major	8
Primary	6
Secondary	4
Collector	2

Operational Attributes (within the roadway)	Max Points: 15
Eliminate Left Turn Conflict	3
Add Turn Lanes	3
Enhanced Ramp Storage	3
Pedestrian Facilities (New)	3
Coordinated Signal	2
~~Water Conservations Elements~~	~~2~~
Safety Improvements	2
Sustainability Elements	2
Add Traffic Control	1

Benefit **Points: 30**

LOS Improvement Max Points: 20

Calculation: Avg. LOS Imp + Avg. LOS Starting Point

LOS Reduction w/ Project (existing Volume) Range	Points
.20+	10
.16 – .19	8
.10 – .15	6
.05 – .09	4
<.05	2

Existing LOS Range	Points
1.06+	10
1.01 – 1.05	8
0.96 – 1.00	6
0.91 – 0.95	4
0.86 – 0.90	2
0.81 – 0.85	1

Improvement Characteristics Max Points: 10

Improvement Characteristics	Points
New Facility (Full Interchange)	10
New Facility (Partial Interchange)	8
Interchange Reconstruction	6
Ramp Reconfiguration	4
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 2021, 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
- 2021 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 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 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 ~~t~~do 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 (T_0) 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, e~~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 ~~I~~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 ~~C~~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 vehicles * 1 mile + 300 vehicles * 1 mile + 400 vehicles * 1 mile = 900 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~~ communication~~s~~ 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 ~~A~~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 plan~~ned~~ 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 plan~~ned~~ 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~~1~~0 points)

Number of Local Agencies: Points are earned for including multiple local agencies as part of the project. (maximum: 1~~2~~0 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 attributea 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

Transportation Significance~~Vehicle Miles Travelled (VMT)~~ **Points: 3~~2~~0**

Inclusion of offset signals within 2700'	Points
90% or above	10
50 – 89%	5
< 50%	0

AND

Vehicle Miles Traveled (VMT)

Range		Points
250+	thousand	20
200 - 249	thousand	15
150 - 199	thousand	10
100 - 149	thousand	6
50 - 99	thousand	3
0 - 49	thousand	1

Calculation: ADT x segment length
(Applies only to coordinated segments of project)

Economic Effectiveness **Points: 10**

Cost Benefit (Total $/~~V~~MT)

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

Project Characteristics **Max Points: 10**

Project Feature	Points
Timing Only, No Capital	10
Adaptive Traffic & Demonstration Projects	4
~~TMC/TOC Connections Between Agencies~~	~~4~~
Automated Traffic Signal Perf. Measures	3~~4~~
Intelligent Cameras	3~~2~~
Detection for ATSPM and counts	3
Separate Bicycle/ADA Pedestrian Detection	3~~2~~
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

Maintenance of Effort **Points: 5**

MOE After Grant Period	Points
3 years	5

Project Scale **Points: 2~~1~~0**

Number of Signals on Main Corridor Coordinated by Project

Range	Points
50+	~~5~~10
40 - 49	8~~4~~
30 - 39	6~~3~~
20 - 29	4~~2~~
10 - 19	2~~1~~
< 10	0

AND

Percent of Main Corridor Signals Being Retimed

Range	Points
90% or above	~~5~~10
80 - 89%	8~~4~~
70 - 79%	6~~3~~
60 - 69%	4~~2~~
50 - 59%	2~~1~~
< 50%	0

Calculation: Number of signals in project divided by total signals in full corridor length.

Number of Jurisdictions **Points: 1~~2~~0**

Total Number of Involved Jurisdictions

Range	Points
5 or more	10~~20~~
4	8~~16~~
3	6~~12~~
2	4~~8~~
1	0

Current Project ~~Readiness~~ Status **Points: 10**

Project Status	Points
Re-timing 75% of prior RTSSP project	5
Implementation within 12 months	5

Funding Match **Points: 5**

Overall Match %	Points
50+%	5
40 - 49%	4
35 - 39%	3
30 - 34%	2
25 - 29%	1
< 25%	0

2 years	3
1 year	1
None	0

~~**Transportation Significance** **Points: 10**~~

~~Corridor Type~~	~~Points~~
~~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.~~csv~~xls.

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
RTSSP Online Application – submitted through OCFundTracker 1. Transportation Significance~~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 ~~Readiness~~ Status ~~9.~~8. Funding Over-Match	Online
Section 1: Key Technical Information 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 ~~b.~~g. Designation of the co~~Designation of the co~~rridor 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 ~~c.~~j. Contact Information ~~d.~~ Signalized intersections that are part of the project k. ~~e.~~l. Project Map Depicting the Project Limits~~Traffic Forum members~~	
Section 2: ~~Lead Agency~~Regional Significance	
Section 3: ~~Resolutions of Support from the Project's Traffic Forum Members~~Acknowledgement of Required Tasks	
Section 4: ~~Preliminary Plans for the Proposed Project~~Funding Needs/Costs for Proposed Project by Task ~~a. The plans shall include details about both phases of the project: Primary Implementation (PI) and Ongoing Operations and Maintenance (O&M). The plan should be organized using the following setup:~~ ~~b.~~ ~~c. Primary Implementation 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 PI of the project is completed. It shall include details about the following:~~ ~~n.~~a. ~~Monitoring and improving optimized signal timing (required)~~Summary of Project Cost ~~o.~~b. ~~Communications and detection support (optional)~~Summary of Cost by Agency c. Table I: Agency Improvement Preferences	

~~p.~~d. Table II: ~~O&M Final Memorandum (required)~~Description of Work by Intersection	
Section 5: ~~Total Proposed Project Cost by Task~~Detailed Local Match Commitment ~~Table I: Summary of Improvements~~ ~~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 ~~a.~~c. Agency Commitment of Extended Monitoring and Maintenance	
~~**Section 7: Matching Funds**~~	
~~**Section 8: Environmental Clearances and Other Permits**~~	
~~**Section 9: Calculations Used to 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 ~~a.~~d. Additional Information (Optional)	

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 Fform 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.

10. 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 **X** 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:			$100,000
Total ROW Costs:			$900,000
Payment with no excess ROW:			$500,000
Excess right-of-way			
Value of excess ROW for parcel 1:			$200,000
Value of excess ROW for parcel 2:			$105,000
Value of excess ROW for parcel 3:			$ 0
Value of excess ROW for parcel 4:			$ 0
Total Value of excess ROW:			$305,000
OCTA contribution to ROW acquisition:			
CTFP ROW contribution ÷ Agency total cost of right-of-way			
$500,000 ÷ $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% =	+	$58,800
Total:			$170,800
Payment (incorporating excess right-of-way):			$500,000
		-	$170,800
			$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.~~ ~~I~~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 competition 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

Eligible Expenses x OCTA Match Rate = Product

$1,000,000.00 x 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 Primar~~il~~y 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 f~~F~~inal~~O&M R~~r~~eport 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~~r~~eport 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~~FO&M ~~r~~Report 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.

Project X - Environmental Cleanup Program Reimbursements & Reporting Requirements

The CTFP Payment Supplement provides instructions and sample forms for ECP (Project X) projects. The interactive electronic versions of all payment forms can be downloaded via OCFundtracker. These processes are applicable to the Tier 1 and Tier 2 Grant Programs:

Initial payments:

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).
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.
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. Revised Cost Estimate – The agency shall use the format provided in the Revised Costs Estimate Form 10-3.
5. PS&E Certification Form 10-4.
6. The ECP (Project X) Initial Report Form 10-15 must be submitted
7. Location Maps of Installation.

Final Reporting Process:

The items listed below are to be submitted to complete the final reporting process. A final report must be filed within 180 days of the project phase completion. Additionally, an exception to Precept 29: agencies may appeal to the ECAC and the OCTA Board on any issues that the agency and OCTA cannot resolve, as such are the approving bodies for this program.

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.
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.
5. Final Report Division of Costs Schedule -The agency shall use the format provided in form 10-6.
6. Notice of Completion – An agency shall submit The Notice of Completion form to certify the phase completion date. See definition 22 for phase completion date.
7. The ECP (Project X) Final Report Form 10-16.
8. Location Maps of Installation.
9. 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. Form 10-17 (where applicable) Supporting documentation for O&M costs (if used as local match).

For Tier 1 of the ECP (Project X), where ongoing O&M of the project were pledged as a local match, as part of the semi-annual review reporting process, OCTA will verify local agency O&M expenditures to ensure local match commitments are being met. Local agencies must complete the In-Kind O&M Report Form 10-17 for each ECP (Project X) grant as part of their semi-annual review updates.

Chapter 10 – Audits

Independent Audit Process Overview

Independent audits of CTFP projects may be initiated by OCTA's Internal Audit Department (or agent thereof). The project information on file at OCTA will serve as the primary source of information for each audit. However, additional information may be requested of local agencies.

Accurate records detailing specific expenditures for each CTFP project must be maintained by local agencies. These records must show that proper accounting and cash management procedures were followed, the project was completed in accordance with the application and the CTFP guidelines, and that all records and documentation related to the project were adequately maintained. Consistent with the M2 Ordinance, local agencies must also establish a separate fund accounting system for Measure M funds transactions and expenditures.

Local agencies must maintain a complete set of records in accordance with generally accepted accounting principles, and with reasonable notice, shall permit the authorized representatives of OCTA to inspect and audit all work, materials, payroll, contracts, books, accounts, and other data and for a period of five (5) years after final payment by OCTA for CTFP projects. For the LFS program, it shall be for a period of five (5) years after expenditure of funds or five (5) years after final payment of debt service where LFS revenues were pledged, whichever is longer. OCTA has the right to reproduce any such books, records, and accounts. The provision with respect to audits should be extended to/and included in contracts with the local agency's contractor(s).

Record Requirements to Demonstrate Compliance

A description of the required records is given below.

Contracts

For all contract expenses the following records must be maintained:

1. The original executed contract
2. Evidence the procurement of contracted public works and architectural and engineering services followed applicable state laws and local agency procurement requirements
3. All contractor invoices received
4. All contract change order documents
5. Proof of payment to contractors
6. Project "as built" or other final plans

7. Sign-off on completion by Local Agency (letter of acceptance)

Materials and other

For all materials and other miscellaneous expenses charged to the Comprehensive Transportation Programs project, the following records must be maintained:

1. Original invoice and purchase order
2. Proof of delivery
3. Evidence of reasonableness of price, if total cost of purchase is over $1,000
4. Proof of payment

Direct labor

For all direct labor charged to a project, including engineering labor, the following records must be maintained:

1. Summary time sheets showing total time charged to the project by the different individuals working on it
2. Individual time sheets or timecards showing the total time worked by the individual for each period (day, week, etc.) and the different tasks to which the individual's time was charged
3. Personnel files showing the individuals' pay rates
4. Payroll reports showing the computations of paychecks for the applicable periods

Equipment

Equipment rental charges related to a project shall be documented by the following records:

1. Vendor's or local agency's invoice showing hours, rate, and type of equipment and location of rented equipment
2. Evidence of quotes obtained to determine best rate (documented phone quotes are acceptable)
3. Documentation of project need for equipment

Local agency force work

For all construction phase work performed by local agency forces and the decision that local agency forces could perform the work more cost effectively or timely than a contractor must be documented.

Comprehensive Transportation Funding Programs Semi-Annual Review – March 2020

June 24, 2020

To: Technical Advisory Committee

From: Orange County Transportation Authority Staff

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. Recommended project adjustments are presented for review and approval.

Recommendations

A. Recommend Board of Directors approval of delays, extensions, scope changes, transfers and other adjustments for Measure M2 funded projects and also, due to the unique circumstance created by the novel coronavirus, waive appropriate guidelines and requirements in order to incorporate requested project adjustments as submitted.

B. Recommend Board of Directors approval of the delay request for the City of Garden Grove (Project number 19-GGRV-ICE-3938) and an exception to the timely use of funds requirement that the delay request be submitted “no less than ninety days prior to the deadline.”

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.

As needed, OCTA meets with representatives from local agencies 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

Typically, the semi-annual review process is conducted twice during the fiscal year, once in March, and once in September. However, as this year's March semi-annual review process was coming to a close, the Governor, in response to the novel coronavirus (COVID-19) pandemic, issued Executive Order N-33-20 (Stay-at-Home Order). Accordingly, the Stay-at-Home order significantly impacted local agencies' abilities to conduct normal business—including approving and awarding contracts, completing projects, operating Project V related services, and performing non-COVID-19 related routine administrative and approval actions.

Given these challenges, and the fact that most local agencies had not foreseen or anticipated the emerging significant and continued impacts of COVID-19, OCTA reopened the March semi-annual review process. OCTA's goal in doing this was to allow for an additional round of project related adjustment requests to be submitted, which were not initially contemplated when the original March 2020 semi-annual review process closed. OCTA's review of these requests is now complete and a summary and overview of proposed project adjustments is provided below.

For the March 2020 semi-annual review process, there are a total of 76 project adjustment requests recommended for approval. These include 19 delays, 11 timely-use of funds extensions for CTFP projects, 15 timely-use of funds extensions for the Local Fair Share Program, 4 scope changes, 24 project transfers, 1 cancellation, and 2 other.

Local agencies identified several reasons for proposed project adjustments, which generally included the following:

- Delays were requested due to procurement related issues, staffing issues, lack of communication required for utility coordination, COVID-19, construction coordination, and federal funding coordination that impeded their ability to award contracts and encumber funds.

- Extensions were requested because agencies could not obtain plan approvals and/or permits, they experienced right-of-way issues and/or

delays, COVID-19 issues, design issues, staffing issues, project closeout, and inability to carry out contractor scheduling and utility coordination.

- Scope changes were requested due to technology upgrades/ enhanced project benefits and design issues.

- Transfer of funds were requested in order to use COVID-19 project savings, primarily for transit services that had suspended service in the future.

- Cancellations were needed due to unresolvable utility coordination issues and contractor coordination issues.

- Other changes were required in order to document administrative changes two multi-phased projects.

For detailed descriptions of projects and adjustment requests see Attachments A and B.

OCTA has taken every step possible to maintain Measure M (M2) project delivery requirements consistent with its various guiding policy documents and requirements. However, this semi-annual review cycle was highly unique and presented several unique challenges, primarily resulting from either the COVID-19 pandemic itself or the challenges associated with performing routine business while the Stay-at Home Order was in effect.

As a result, some of the more specific semi-annual review requirements identified in either the CTFP Guidelines or the M2 Eligibility Guidelines need to be waived in order to approve project adjustment requests as submitted during this semi-annual review cycle. These waivers are primarily related to when: submittals, board/council approvals; and/or when back up and/or supporting documentation was due. In every instance, where a guidelines waiver is being requested, it is noted in Attachment A and further discussed in Attachment B.

Also, one project in the City of Garden Grove (project number 19-GGRV-ICE-3938) requires an M2 Ordinance exception. Specifically, the requested exception is related to the M2 Ordinance requirement, which specifies, that requests for extensions to encumbrance deadlines be submitted “no less than ninety days prior to the deadline.” While the City made every attempt to comply with this requirement, due to the COVID-19 pandemic (and its impact to City workflows), the City was unable to comply with this timing requirement.

From staff’s perspective, the proposed project adjustments are appropriate and necessary from a CTFP administration perspective. With respect to the proposed waivers (and exception), while not common; staff is recommending approval in

this case, given the unique environment which emerged during the COVID-19 pandemic. Further, these proposed waivers (and exception) are focused upon due dates and submittal requirements. Thus, approval of these waivers (and exception) do not substantively change fundamental M2 principles or requirements, but rather grant relief from M2 administrative requirements, which do not negatively impact project delivery or the M2 program.
As such, staff is requesting that the Technical Advisory Committee (TAC) recommend for OCTA Board of Directors (Board) approval the semi-annual review adjustments and waivers (and exception) identified in this report. If these recommendations are ultimately approved by the Board, staff will monitor the implementation of these proposed changes through both the OCFundtracker database and future semi-annual review cycles, which are reported on to the TAC and Board biannually.

Summary

OCTA has recently reviewed the status of 312 active project phases funded through the M2 CTFP. Staff recommends the approval of the recommendations, project adjustments, and waivers requested by local agencies for this semi-annual review cycle. The next semi-annual review is scheduled for September 2020.

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

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

ATTACHMENT A

Delay Request(s)								
Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Delay (Months)	Proposed FY
Anaheim	19-ANAH-STS-3928 [1]	W	Anaheim Safe Transit Stop Improvements	CON	19/20	$ 480,000	24	21/22
Costa Mesa	19-CMSA-STS-3929 [2]	W	Costa Mesa Safe Transit Stop Improvements	CON	19/20	$ 74,500	24	21/22
Fullerton	19-FULL-TSP-3936 [1,3]	P	Harbor Boulevard Corridor	IMP	19/20	$ 2,105,395	24	21/22
Fullerton	19-FULL-TSP-3936 [1,3]	P	Harbor Boulevard Corridor	O&M	20/21	[illegible]	24	22/23
Garden Grove [8,9]	19-GGRV-ICE-3938 [3,4]	O	Euclid Street and Westminster Avenue Intersection Improvement	CON	19/20	$ 834,721	24	21/22
Irvine	17-IRVN-ICE-3863 [5]	O	University/Ridgeline Intersection Improvement	CON	19/20	$ 1,724,024	24	21/22
Laguna Hills	19-LHLL-STS-3931 [1]	W	Laguna Hills Safe Transit Stop Improvements	CON	19/20	$ 35,000	12	20/21
Laguna Niguel	19-LNIG-CBT-3954 [1,3]	V	Laguna Niguel Summer Trolley - Southern Section	CAP	19/20	$ 218,160	24	21/22
Laguna Niguel	19-LNIG-CBT-3954 [1,3]	V	Laguna Niguel Summer Trolley - Southern Section	O&M	19/20	$ 667,922	24	21/22
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
Newport Beach [10]	19-NBCH-ECP-3950 [3]	X	Newport Bay Trash Mitigation Project Phase 2	CON	19/20	$ 55,099	12	20/21
OCTA	19-OCTA-STS-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
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
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
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
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
OCTA	18-OCTA-TSP-3901 [1]	P	Main Street RTSSP	O&M	19/20	$ 50,688	24	21/22
OCTA	18-OCTA-TSP-3905 [1]	P	Los Alisos Boulevard Route Project	O&M	19/20	$ 31,140	24	21/22
Orange	19-ORNG-STS-3933 [3,5]	W	Orange Safe Transit Stop Improvements	CON	19/20	$ 98,300	12	20/21
						Delays - Total Phase Allocations (19)		**$ 10,057,752**

Reasons for Project Adjustments

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

Exception/Waiver requests

8. M2 Ordinance - submit delay request 90 days before deadline.
9. CTFP Guidelines - City Council concurrence submitted with semi-annual review request prior to Board approval.
10. CTFP Guidelines - Project X Tier I projects are not eligible for delay requests.

Acronyms

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

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

Timely-Use of Funds Extension Requests - Comprehensive Transportation Funding Programs*								
Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Time Extension (Months)	Proposed Expenditure Deadline
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
Brea	16-BREA-FST-3802 [2]	O	SR-57 & Lambert Road Interchange Improvements	ROW	17/18	$ 3,109,857	24	6/6/2022
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
Irvine	17-IRVN-TSP-3875 [4]	P	Irvine Boulevard Signal Synchronization Project	O&M	18/19	$ 80,640	24	5/22/2024
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
Irvine	18-IRVN-TSP-3902 [5]	P	Culver Drive / Bonita Canyon Drive / Ford Road RTSSP	O&M	19/20	$ 74,880	24	TBD
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
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
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
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
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
		Comprehensive Transportation Funding Programs 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

FY - Fiscal Year
ROW - Right-of-Way
SR-57 - State Route 57
CON - Construction
O&M - Operations and Maintenance
RTSSP - Regional Traffic Signal Synchronization Program
IMP - Implementation
ENG - Engineering

*Once obligated Comprehensive Transportation Funding Programs 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*						
Agency	FY	Disbursement Date	Disbursement	Proposed Extension Amount	Proposed Interest Extension Amount	Extension Deadline
Brea	17/18	11/7/2017	$ 155,700	$ 155,700	$ -	11/7/2022
Costa Mesa	17/18	11/7/2017	$ 405,346	$ 405,346	$ -	11/7/2022
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
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. The Orange County Transportation Authority 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.

Waiver 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 - that a plan of expenditure be submitted with semi-annual review timely use of funds extension requests.

Acronyms

FY - Fiscal Year

LFS - Local Fair Share

Comprehensive Transportation Funding Programs

March 2020 Semi-Annual Review Adjustment Requests

Scope Change Requests

Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Allocation
Fullerton	15-FULL-TSP-3769 [1]	P	Malvern Avenue/Chapman Avenue Corridor RTSSP	O&M	18/19	$ 127,200	$ 127,200
Irvine	16-IRVN-TSP-3791 [2]	P	Irvine Center Drive/Edinger Avenue Signal Synchronization	IMP	16/17	$ 1,714,560	$ 1,714,560
Irvine	16-IRVN-TSP-3792 [2]	P	Von Karman Avenue/Tustin Ranch Road Signal Synchronization	IMP	16/17	$ 1,353,580	$ 1,353,580
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

Acronyms

FY - Fiscal Year

RTSSP - Regional Traffic Signal Synchronization Program

O&M - Operations and Maintenance

IMP - Implementation

Comprehensive Transportation Funding Programs

March 2020 Semi-Annual Review Adjustment Requests

Transfer Requests

Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Transfer Amount	Proposed Allocation
County of Orange	16-ORCO-CBT-3822 [1]	V	Orange County RanchRide	O&M	19/20M	$ 1,929,137	TBD	TBD
Dana Point	14-DPNT-CBT-3742 [1]	V	Summer Weekend Trolley/Harbor Shuttle	O&M	19/20M	$ 420,576	TBD	TBD
Dana Point	16-DPNT-CBT-3823 [1]	V	Dana Point PCH Trolley	O&M	19/20M	$ 388,272	TBD	TBD
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
La Habra	16-OCTA-CBT-3835 [1]	V	La Habra Special Event Shuttle Services	O&M	19/20M	$ 89,757	TBD	TBD
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
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
Lake Forest	16-LFOR-CBT-3829 [1]	V	Shuttle Service between train station and Panasonic	O&M	19/20M	$ 778,035	TBD	TBD
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
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
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
OCTA	16-OCTA-CBT-3833 [1]	V	Irvine iShuttle Route West - Tustin Station - Irvine Business Complex	O&M	19/20M	$ 2,168,913	TBD	TBD
OCTA	16-OCTA-CBT-3834 [1]	V	Irvine iShuttle Route East - Irvine Station - East	O&M	19/20M	$ 2,162,639	TBD	TBD
San Clemente	16-SCLM-CBT-3840 [1]	V	San Clemente Summer Trolley	O&M	19/20M	$ 510,598	TBD	TBD
San Clemente	16-SCLM-CBT-3841 1	V	San Clemente Rideshare Services	O&M	19/20M	$ 845,283	TBD	TBD
San Clemente	18-SCLM-CBT-3914 [1]	V	San Clemente Trolley Expansion	O&M	19/20M	$ 1,104,215	TBD	TBD
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

FY - Fiscal Year

O&M - Operations and Maintenance

CAP - Capital

PCH - Pacific Coast Highway

OCTA - Orange County Transportation Authority

Comprehensive Transportation Funding Programs

March 2020 Semi-Annual Review Adjustment Requests

Cancellation Requests

Agency	Project Number	Project	Project Title	Phase	Current FY	Current Allocation	Proposed Allocation
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 coordination issues

Acronyms

FY - Fiscal Year

CON - Construction

Comprehensive Transportation Funding Programs

March 2020 Semi-Annual Review Adjustment Requests

Other: Timely-Use of Funds Extension Updated Requests - Comprehensive Transportation Funding Programs									
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
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
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

[1] Initial contract constitutes the combined contract for both Primary Implementation (PI) and Operations and Maintenance (O&M) phases.

[2] Per CTFP Guidelines, local agencies should issue a separate Notice to Proceed (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 Board of Directors (Board) on December 12, 2016 during September 2016 semi-annual review

[4] Approved by Board on June 12, 2017 during March 2017 semi-annual review

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 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 COVID-19 contract.

The City of Garden Grove is requesting a 24-month delay for the (CON) phase of the Euclid Street and Westminster Avenue Intersection Improvement Project (19-GGRV-ICE-3938), due to utility relocation coordination difficulties, as well as 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 Director's (Board) approval of an exception to the Measure M2 (M2) Ordinance requirement that requests for extensions to encumbrance deadlines be submitted no less than ninety days prior to the deadline. A waiver to the Comprehensive Transportation Funding Programs (CTFP) requirement that City Council concurrence be submitted with semi-annual review requests prior to Board approval is also requested.

The City of 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 is requesting a 24-month delay for the (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.

The City of Mission Viejo (Mission Viejo) is requesting a 12-month delay for the construction (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 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 of Director's (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 four 24-month delays for the (O&M) phase for the following projects. The request is due to the protracted procurement efforts necessary to execute the contract and start the IMP phase.

- 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)

- Main Street RTSSP (18-OCTA-TSP-3901)

- Los Alisos Boulevard Route 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 due to unforeseen delays and impacts caused by Executive Order N-33-20 issued in response to COVID-19.

Comprehensive Transportation Funding Programs (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 timely use of funds extension requests were submitted.

The City of 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 right-of way acquisitions.

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

The City of Irvine (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 phase that contributed to the protracted length of time for construction.

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 Regional Traffic Signal Synchronization Project (18-IRVN-TSP-3902). 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 September 2020 for the following two projects listed below to allow additional time for project closeout due to unforeseen 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 Regional Traffic Signal Synchronization Project (14-LWDS-TSP-3707)

- The (O&M) phase of the Moulton Parkway Regional Traffic Signal Synchronization Project (14-LWDS-TSP-3708)

The City of 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 (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 (17-SNTA-ACE-3870)

Local Fair Share (LFS) Timely-Use of Funds Extensions

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

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

The City of Villa Park is requesting 24-month timely-use of funds extensions for $129,887. The funds being considered for 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 that a plan of expenditure be submitted as part of an LFS timely-use of funds extension requests is also requested.

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.

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 (UPS) 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.

The City of Irvine (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. The scope change will improve the monitoring of the signal timing at all project intersections.

The City of Irvine (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 the City of Tustin (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 (ICM) 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.

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 RanchRide (16-ORCO-CBT-3822). The transfer includes savings from fiscal year (FY) 2019-20 and from all fiscal years 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 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 fiscal years 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 fiscal years 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 fiscal years 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 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 fiscal years 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 (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 fiscal years 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 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 fiscal years 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 train station and Panasonic (16-LFOR-CBT-3829). The transfer includes savings from FY 2019-20 and from all fiscal years 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 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 fiscal years 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 Newport Beach (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 fiscal years 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 fiscal years 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.

Orange County Transportation Authority, as administrative lead, is requesting to transfer project savings from FY 2019-20 and from all fiscal years 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 fiscal years 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 (18-SCLM-CBT-3841). The transfer includes savings from FY 2019-20 and from all fiscal years moving forward from the (O&M) phase in an amount to be determined and is to be distributed to FY202021 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 fiscal years 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 San Juan Capistrano is requesting a transfer for the Special Event and Weekend Summer Trolley Service (18-SJCP-CBT-3915). The transfer includes savings from FY 2019-20 and from all fiscal years 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 (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 PI and O&M phases. The NTP date will be considered the date of encumbrance for the O&M phase. During this semi-annual review cycle, the following timely use of funds extension deadlines were approved by the Board in previous semi-annual reviews. The fund expenditure deadlines are updated based off the O&M NTP issuance date.

The City of Buena Park (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 Sync, 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 September 26, 2023.

The City of 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. With the previously Board approved action, the updated expenditure deadline is April 30, 2023.

Correspondence

Item 5, Attachment A: OCTA Board Items of Interest

- **Monday, May 11, 2020**

  Item #6: 2020 State Transportation Improvement Program Update
  Item #11: Comprehensive Transportation Funding Programs – 2020 Call for Projects Programming Recommendations
  Item #13: Proposed Amendment to the Orange County Local Transportation Authority Measure M2 Ordinance No. 3

- **Monday, June 8, 2020**

  Item #16: Measure M2 Eligibility Review Recommendation for Fiscal Year 2018-19 Expenditure Reports
  Item # 17: Measure M2 Quarterly Progress Report for the of January 2020 Through March 2020

Item 5, Attachment B: Announcements by Email

- Message from Darrell Johnson, OCTA re. OCTA's Efforts to Respond to COVID-19, *sent 4/10/2020*
- Project X Tier I Call for Projects Application Deadline Extended to June 25, 2020, *sent 4/21/2020*
- SB1 Program Schedule Updates – As of April 29th, 2020, *sent 4/30/2020*
- Message Sent on Behalf of the Southern California Association of Governments re. MAP-21 Performance Measures Virtual Workshop, *sent 5/4/2020*
- Message Sent on Behalf of Caltrans Local Assistance – Highway Safety Improvement Program (HSIP) Cycle 10 Call, *sent 5/7/2020*
- Message Sent on Behalf of the Southern California Association of Governments, *sent 5/12/2020*
- May 27, 2020 Technical Advisory Committee Meeting Cancellation Notice, *5/26/2020*
- June 10, 2020 Technical Steering Committee Meeting Agenda, *sent 6/5/2020*
- 6/10/2020 TSC Meeting Following Ups, *sent 6/10/2020*

Caltrans Local Assistance Risk Based NEPA Process Improvements

Caltrans Local Assistance Risk-Based NEPA Process Improvements

Office of NEPA Assignment & Environmental Compliance

Neil Peacock, Senior Environmental Planner

6-24-2020

District 12 Local Assistance Environmental Team

Brian Liu
Environmental Planner

Lisa Sato
Biologist

Jonathan Wright
Archaeologist

Charles Baker
Environmental Planner
D12 Local Assistance Environmental Branch Chief

HAIYAN ZHANG
Environmental Planner
Headquarters Environmental Liaison

Risk Based NEPA Process Improvements

- **Statewide Initiatives:**
  - NEPA Process Improvements
  - Risk Based Stewardship and Oversight

Risk Based NEPA Process Improvements

- **Statewide Initiatives:**
  - NEPA Process Improvements
    - Lead by Division of Environmental Analysis (DEA)
    - Local Assistance Involved in DEA Subcommittees to Help Streamline Process for Local, Off-System Projects
  - Risk Based Stewardship and Oversight
    - Lead by Division of Local Assistance (DLA)
    - DEA Involved in Approving Policy Proposals for Streamlining NEPA Implementation within Local Assistance

Risk Based NEPA Process Improvements

- **Statewide Initiatives:** NEPA Process Improvements

  Focus Areas:

  - MOU Renewal & NEPA Implementation Process Improvements
    - Assignment In General vs. Policy, Procedure, & Guidance
    - Covers both Off-System (Local Assistance) & On-System (Capital) Projects & Process
    - NEPA Monitoring Reviews, Streamlining How We Conduct Monitoring & Address Findings
  - CE Process
    - Elimination Redundant Documentation
  - Annotated Outlines
    - Reducing Size of Environmental Documents
  - QA/QC
    - Creating a more efficient document review process

Risk Based NEPA Process Improvements

- **Statewide Initiatives:** Risk Based Stewardship and Oversight

Focus Areas:

- PES Smart-Form
  - "Mistake-Proofing" Project Intake & "Automating" Simple Analysis
- NEPA Documentation Requirements
  - Reducing technical studies & Supporting New PES Smart-Form
- NEPA-Only Environmental Assessment Template
  - Streamlined Annotated Outline for Local Assistance EAs

Risk Based NEPA Process Improvements

Other HQ Initiatives

Revamped Training Program

- District Internal Trainings
- Local Agency External Trainings
- Web-Based On-Demand Trainings:
  - Emergency Relief
  - Active Transportation
  - “Preliminary Environmental Scoping”; “Local Agency Do's & Don’ts”; “Expectations for Environmental Consultants”
  - Various Technical Topics

District & Agency Specific Assistance

- CDFW Incidental Take Permit Financial Assurance Process

Risk Based NEPA Process Improvements

Timeline:

Due to COVID-19, effort pushed out

Local Agency Participation:

On-going Engagement

Forth-coming Opportunities to Review

Piloting New PES Smart Form on Local Projects

Questions, Comments, Concerns?